

UPDATED 12:00PM Friday, September 16, 2016

This document has been revised to include responses to the questions of general interest submitted via the survey tool by the deadline date of August 17, 2016. In addition, the slides from the Applicant Webinar conducted on September 1, 2016 have also been included. We are unable to respond to questions received after the deadline date of August 17, 2016. The questions and responses are organized by survey category as identified by Potential Applicants.

Applicants are encouraged to review all questions and answers and the webinar slides in this document. Please note that the information provided is intended to provide general guidance with respect to the application process and NICIP program, and should not be construed as final approval or disapproval of any particular project or project costs. Often, the determination as to eligibility is fact specific and is made on a case by case basis. Applicants are encouraged to provide a robust description of the project that will be funded by the NICIP grant, as well as how the project is consistent with the NICIP enabling legislation and the RFA.

In addition, if an Applicant is encountering technical difficulties on the Grants Gateway including: issues applying for the Grant opportunity, prequalification, or other data entry problems, please direct your questions to the Grants Gateway Help Desk at 518-474-5595 or e-mail at grantsreform@its.ny.gov.



Nonprofit Infrastructure Capital Investment Program (NICIP)

Answers to Questions Received via Survey Tool

Sorted by Survey Categories as identified by Potential Applicants

Allowable Number of Applications

My organization is applying to upgrade the fire detection and protection systems at several group homes. Each home needs slightly different renovations. Example: House 1 needs a partial sprinkler system and fire rated doors, House 2 needs a full sprinkler system, House 3 needs a upgraded fire alarm system. All renovations are specific to fire protection and detection equipment. Would this be considered a single-purpose project at multiple sites?

An Applicant must be able to demonstrate in the application how a project is serving a single purpose at multiple sites, but an individual determination will need to be made based on the information provided. In the scenario described, it would appear that the project would qualify. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

Organization 1 (ORG1) and Organization 2 (ORG2) are separate corporations with their own federal ID numbers and 990 submissions. ORG1 manages ORG2 and audited financial statement is one consolidated statement. Do we apply under both corporations or only one on behalf of both?

For purposes of this RFA, to be considered a separate and distinct nonprofit organization, each Applicant must have a unique Federal employer identification number or a unique SFS Vendor identification number and must be separately registered and prequalified in the Grants Gateway. See the definition of "Applicant" in Section 2.11 of the RFA.

Can an organization submit more than one application?

No, each nonprofit organization may submit only one application.

Can one agency submit two construction applications? One application would request funds for renovations of a specific program site, the second application would request funds for energy efficient windows at multiple sites.

No, each nonprofit organization may submit only one application.

Our organization has sites in two counties that are in different economic regions. Can we submit two applications - one for each region? If not how do we apply to?

No, each nonprofit organization may submit only one application. The region selected should be where the project is located, or if the project is located in multiple regions, the region where the administrative headquarters is located.

Allowable Number of Applications

If a nonprofit organization submits an application, is it acceptable for it to also be identified as a partner in another application where a separate nonprofit is the lead?

No, group applications are not permitted. See Section 2.19 of the RFA. Nonprofit organizations may submit one application for a NICIP grant. See also Section 2.18 of the RFA. Grant funding must be used for the primary benefit of the Applicant and the Applicant's eligible programs.

Application Materials

What documents are need by the application deadline to demonstrate site control of properties included in the application?

A deed or lease is not required at time of application, but if awarded a grant, a deed or lease must be produced prior to entering into a Grant Disbursement Agreement (GDA).

Good morning NYS Dormitory Authority - we will be applying for the grant in the formentioned subject line...can you please advise if there is a Microsoft Office version of Appendix 1, and Appendix 3.....or will we have to type the Appendix questions in our own attachment and upload it to your website...

Appendix 1 are the questions you are required to answer in the Grants Gateway. It is not a document to be uploaded. The questions are provided in the RFA for your convenience, but there is no need to type them into a template, as they will be entered within the Grants Gateway. For instructions on how to enter the answers in the Grants Gateway, there are several options: 1.) Grants Gateway Application or NICIP Technical Webinars. For information, see the Training Calendar at: <http://grantsreform.ny.gov/training-calendar>; 2.) Grants Gateway Vendor User Guide at: <http://grantsreform.ny.gov/sites/default/files/nys-grants-gateway-vendor-user-guide-V2031615.pdf> (Section 6.2); 3.) Contact the Grants Gateway Help Desk at: Phone: (518) 474-5595 or Email: GrantsReform@its.ny.gov. Appendix 3 is a sample Grant Disbursement Agreement. It will not be utilized until awards are made. It is in the RFA so applicants can see what an agreement will consist of.

What are the differences between this RFA and the RFA previously released in December 2015 which was withdrawn?

Applicants must read the RFA and appendices as no awards will be made under the NICIP RFA issued in December 2015. Applicants who previously submitted an application are encouraged to reapply by submitting a new application in response to the \$100 million RFA released on August 5, 2016.

My organization submitted an application for this RFA when it was first released in December of 2105. I've compared the two RFAs, but I wanted to know if there are any major substantive differences between the two applications. Thank you.

Applicants must read the RFA and appendices as no awards will be made under the NICIP RFA issued in December 2015. Applicants who previously submitted an application are encouraged to reapply by submitting a new application in response to the \$100 million RFA released on August 5, 2016.

Are there any formatting or word or character count restrictions?

Character limits are listed within the Grants Gateway under the questions themselves. For formatting, HTML is not allowed.

In Appendix 1, question 1b. calls for considerable detail on state contracts. If this is being used to document and verify receipt of State funding, would it suffice to submit the detail on only a few of the contracts or must an agency that has many different state contracts submit information on all of them?

If the Applicant receives multiple forms of payment from the State or has multiple contracts, it would be helpful to include more than one example, but the Applicant does not need to provide an exhaustive list. At least one form of State payment must be verified – if the Applicant submits payment documentation that is outdated or that cannot be verified, the Applicant will not be eligible for funding.

Application Materials

In Appendix 1, Questions 1b-1e, would you prefer that an applicant provide a documentation-supported response for multiple/ALL four of those methods of showing evidence of State funding (for those applicants that can)--or would you prefer that an applicant choose simply any one example that satisfies the requirement and then enter "not applicable" for other methods of proof (even if they are available but not being provided to reduce paperwork and administrative burden on applicant and funder)?

If the Applicant receives multiple forms of payment from the State or has multiple contracts, it would be helpful to include more than one example, but the Applicant does not need to provide an exhaustive list. At least one form of State payment must be verified – if the Applicant submits payment documentation that is outdated or that cannot be verified, the Applicant will not be eligible for funding.

In Appendix 1, Question 1 on state contracts—do you want all of our state funding accounted for through the various options provided, or are you looking for evidence of state funding in one form or another and will accept any one of 1b, 1c, 1d, or 1e?

If the Applicant receives multiple forms of payment from the State or has multiple contracts, it would be helpful to include more than one example, but the Applicant does not need to provide an exhaustive list. At least one form of State payment must be verified – if the Applicant submits payment documentation that is outdated or that cannot be verified, the Applicant will not be eligible for funding.

Under the application, question 1b, there is a request to “[p]rovide a State contract number(s).” If an agency has multiple state contracts, is that agency required to list 1) all state contracts in this section, 2) only those that are directly related to the program(s)/building included for construction renovations in the application, or 3) only one state contract to show that the agency meets the eligibility requirements as delineated in section 2.10?

If the Applicant receives multiple forms of payment from the State or has multiple contracts, it would be helpful to include more than one example, but the Applicant does not need to provide an exhaustive list. At least one form of State payment, that meets the criteria specified in the RFA, must be verified. If the Applicant submits payment documentation that is outdated or that cannot be verified or does not meet the criteria specified in the RFA, the Applicant will not be eligible for funding.

I understand that the funds available increased from \$50 to \$100m due to no awards in 2015. Are entities who applied in 2015 having to update their applications?

No awards will be made under the prior RFA. Applicants who previously submitted an application in response to the prior RFA are encouraged to apply in response to this RFA by submitting a new application for either the same or a different project.

Are letters of support allowed and can they be put in the grantee document folder?

No. See Section 3.10 of the RFA for Evaluation Criteria. Letters of support will not be considered as part of the evaluation process.

Application Materials

Re Question 7: Did or will the applicant Organization begin to incur costs for which it is seeking a NICIP grant on or after April 1, 2016? This two-part question confuses me. I can say "no" to the first part (Did I ...), but everyone who is funded would say "yes" to the second part of the question. All of us will begin to incur costs on or after April 1, 2016.

Questions 6 and 7 in the application are to establish when an Applicant's project has commenced. If an Applicant began to incur project costs after 4/1/15, but prior to 4/1/16, the answer to question 6 would be "Yes" while the answer to Question 7 will be "No". Conversely, if an Applicant's project is scheduled to begin in December 2016, the answer to question 6 would be "No" and the Answer to Question 7 would be "Yes".

Please provide a specific list of materials needed to complete the RFA application process.

See Appendix 1 of the RFA for the application questions including required information.

What does it mean by: describe the scope of organizations that will be using the technology and the scope of information to be exchanged

See Application question 24c. For example: Describe what organizations the applicant Organization will interact with through the technology.

Question1a - Should DSRIP funds received from a Partnership Agreement with a PPS Lead be reported here?

See Section 2.11 of the RFA, Eligible Entities, for information about State contracts, State-authorized payments and State payments rates. Generally, the funding must come directly from New York State or the funding was appropriated by New York State and is passed through to a local government which then provides that funding directly to the nonprofit organization. Funding received from another nonprofit organization does not meet this definition.

If Medicaid pass-through dollars go through a Medicaid Long Term Care (MLTC) Agency (e.g. Personal care Attendant Services or Consumer Directed Personal Assistance Services), do the funds count as "state dollars"?

See Section 2.11 of the RFA, Eligible Entities, for information about State contracts, State-authorized payments and State payments rates. Generally, the funding must come directly from New York State or the funding was appropriated by New York State and is passed through to a local government which then provides that funding directly to the nonprofit organization. Funding received from another nonprofit organization does not meet this definition.

On the Project Site Addresses on the Forms menu, we are asked to input a county. Our organization's only office is in New York County, but we serve all of New York City, including Queens, Kings, Richmond, and Bronx counties. Should we enter New York County?

See Section 2.17 of the RFA. The region assigned for purposes of the grant will coincide with the site location if the project involves a single site.

Application Materials

Are (3) bids for: architecture, engineering, design, or construction costs required as attachments to the application, If so, must bids include a women/minority owned business?

See Section 2.20 of the RFA for information regarding cost estimates. There are no prescribed number of estimates that must be obtained, and although "quotes from contractors" and "bids" are not specifically required, higher scores will be awarded to Applicants who have provided professional estimates or quotes to support their budget. The Applicant should provide compelling "narratives that explain how the Applicant arrived at the cost estimates" and how those cost estimates are reasonable. If an applicant is awarded a grant, the award recipient will need to document its good faith efforts to provide meaningful opportunities for participation by MWBEs as subcontractors and suppliers in the performance of the project being funded by the grant. In accordance with Section 4.70 of the RFA, an MWBE utilization plan will need to be submitted in conjunction with the execution of the Grant Disbursement Agreement, except as otherwise authorized by DASNY.

After reading section 1.20 Purpose of Funding from the Request for Application document we are unclear as to who will be approving the grant application? Would it be DASNY or the local government?

See Section 3.20 of the RFA. DASNY will oversee the application evaluation process.

What if the items requested by nature will benefit everyone you service regardless of program - new handicap ramp? Because question 3b talks about keeping them separate.

See Sections 2.11 and 2.13 of the RFA. In the example provided, it would appear that the project would be eligible provided that all other criteria set forth in the enabling NICIP statute and the RFA are satisfied. See Section 2.18 of the RFA for requirements regarding the primary benefit to the Applicant. NICIP grant funding must be used for the primary benefit of the Applicant and the Applicant's eligible programs.

What documents have to be submitted from the grant application to pre qualify 5 days before the deadline.....is it the entire grant or do you mean the registration process to get on with grants.gov - registration with the gateway??

The 5 day information language refers to prequalification. All applicants must be prequalified at the due date and time of the application. In order to ensure a grantee's document vault is reviewed by NYS, it must be submitted at least 5 days prior to the due date and time of the application. Therefore, it is best to start this process far before the 5 day window.

Regarding Appendix One/ Questions 18-23 - For each of these questions are they related to the overall organization or the program/project within the organization?

The Applicant should address both.

Required Information, Question 2. The second sentence of question 2 states, in part, that should the applicant Organization have contracts or licenses/certifications with a specific State agency, that the agency be identified and the specific programs for which funding is received be described. Is this portion of the question only requesting information for programs that will benefit from the NICIP grant or all programs provided by the applicant Organization?

The Applicant should provide information for programs that will benefit from the NICIP grant.

Application Materials

If approved we understand that the funding will pass from the State to local government. In the past we worked with the Economic Development Corporation (EDC) in trying to secure a grant to renovate a building that had a mortgage with a bank. The EDC required first mortgage position on the property. The bank was not willing to give up 1st position so we had to walk away from the grant. Since NICIP funding is being passed through to local government will these position requirements apply?

The NICIP grant funding will flow directly from DASNY to the Grantee once the Grant Disbursement Agreement (GDA) has been executed and the Grantee has submitted approved requisitions for payment. No mortgage interest will be taken on the property to be improved with the NICIP grant.

Will the webinar be available in a PowerPoint presentation online?

The webinar slides will be made available and will be posted along with the questions and answers.

Will the webinar on September 1st 2016 be recorded ? and if so do you know when it will become available ?

The webinar slides will be made available and will be posted along with the questions and answers.

No one from our office is available to attend the Applicant webinar scheduled for September 1, 2016 regarding the Nonprofit Infrastructure Capital investment Program. Please let us know whether the webinar will be available for later viewing or whether a transcript of questions and answers will be made available.

The webinar slides will be made available and will be posted along with the questions and answers.

Except for questions 17 and 18 in Appendix 1, which specify character limitations of 1,000 characters, are all other questions open to responses of any length needed to answer the question effectively and efficiently?

There are character limits on all responses. The specific character limits are listed within the Grants Gateway under the questions themselves.

This may be a technical question, I'm not sure. I just clicked on the NICIP opportunity in Grants Gateway, and was told that we have already applied for it! That is not the case. Please advise, as I can't access the documents I need.

To retrieve an application that has already been started: Please see: Grants Gateway Vendor User Guide at: <http://grantsreform.ny.gov/sites/default/files/nys-grants-gateway-vendor-user-guide-V2031615.pdf> (Section 6.3)

Many of the narrative questions are written in future-tense (what will be done). However we are now in the process of renovations proposed initially in our first NICIP application; these are near completion. We intend to seek reimbursement through NICIP. Should we discuss completed renovations as part of the Project Description?

Yes, assuming all project costs were incurred after 4/1/15. Any completed components of the project should be described in the Project Description.

Application Materials

If more than one State agency shares substantial oversight of an applicant (for example, NYS OASAS oversees a licensed substance use treatment program while NYS OMH oversees a licensed mental health treatment program co-located in the same central facility -- with clients of both programs equally benefiting from the proposed infrastructural enhancements), is it allowable to respond that the applicant has two agencies that SHARE PRIMARY oversight for the programs that will benefit from the NICIP... and to then detail BOTH such state agencies in response to the relevant questions presented?

Yes. Not only is this allowable it is highly encouraged.

Is the application online for applicants to be type in and fill out...

Yes. There are several options for help with navigating and completing the online application: 1.) Grants Gateway Application or NICIP Technical Webinars. For information, see the Training Calendar at: <http://grantsreform.ny.gov/training-calendar>; 2.) Grants Gateway Vendor User Guide at: <http://grantsreform.ny.gov/sites/default/files/nys-grants-gateway-vendor-user-guide-V2031615.pdf> (Section 6.2); 3.) Contact the Grants Gateway Help Desk at: Phone: (518) 474-5595 or Email: GrantsReform@its.ny.gov

We applied to the NICIP in 2015. We are planning to put a new application in for 2016. However, it seems that the 2015 submission was entered by different people as a mosaic document and (not being experienced in grants management) they did not save an intact document. Can I somehow retrieve a copy of last years submission?

You can retrieve any applications in the Grants Gateway for your organization. Please see: Grants Gateway Vendor User Guide at: <http://grantsreform.ny.gov/sites/default/files/nys-grants-gateway-vendor-user-guide-V2031615.pdf> (Section 6.3) for instructions on retrieving any application in the system.

Can we access the application submitted in response to the previous December 2015 RFA that was withdrawn?

You can retrieve any applications in the Grants Gateway for your organization. Please see: Grants Gateway Vendor User Guide at: <http://grantsreform.ny.gov/sites/default/files/nys-grants-gateway-vendor-user-guide-V2031615.pdf> (Section 6.3) for instructions on retrieving any application in the system.

Why are the NICIP 2005 application materials no longer accessible to those who applied previously?

You can retrieve any applications in the Grants Gateway for your organization. Please see: Grants Gateway Vendor User Guide at: <http://grantsreform.ny.gov/sites/default/files/nys-grants-gateway-vendor-user-guide-V2031615.pdf> (Section 6.3) for instructions on retrieving any application in the system.

Committed Financial Resources (Project Funding)

How does the base pool work?

If an application receives a score of 70 or above and is not funded in the Applicant's specified Grant Funding Level; then the application will be considered for an award from the Base Pool. See Section 1.30 of the RFA for further information. For example, suppose there are only \$10M of applications with a score above 70 for Level C1. The remaining \$4M would be deposited in the base pool, bringing the total to be awarded out of the base pool to \$14M. The same goes for all other levels, so the final total of the base pool cannot be determined at this time. The highest scoring applications from each funding level will be awarded first. So suppose that within level T1, applications with scores above 81 fully utilized the \$3M available. After the highest scoring applications for each funding level have been awarded, and any residual funds from each level have been added to the base pool, the base pool awards will then be made. Let's say there is \$15M in the base pool after all awards for the levels have been made. Regardless of funding level category, all applications with scores above 70 will then be eligible for an award out of the base pool until the funding runs out. The awards are made to the highest scores first. Please refer to page 21 of the webinar slides for the Grant Allocation Table.

Please explain how the available financial resources for funding a project would be distributed (eg is funding based on project size, are there limitations, client population/demographics, etc)?

See Section 1.30 of the RFA for available funding and funding levels. The amount of funding available to an Applicant is determined by the size of the Applicant Organization.

Can these funds be used to retrofit an existing building that we are looking to purchase to be used as a year round drop-in/code blue center?

Yes, it would appear that the project would qualify provided that all other criteria set forth in the enabling NICIP statute and the RFA are satisfied. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination. Please also note that the acquisition of the real property is an ineligible expense (see Section 2.13 and 2.14 of the RFA for eligible and ineligible costs.

If the RFP indicates that based on our agency's revenue we can request funds between \$150K and \$1 million - does that mean our ask has to be at least \$150K?

Yes, the grant request must be at least \$150,000 in the scenario described.

Eligible Costs - Construction / Renovation Project

Can a single purpose for multiple sites be "accessibility" as long as the same work is being done at multiple locations? For example - creating single bedrooms in homes where individuals who utilize wheelchairs are currently sharing in rooms too small to accommodate wheel chairs and adding exterior ramps?

An Applicant must be able to demonstrate in the application how a project is serving a single purpose at multiple sites, but an individual determination will need to be made based on the information provided. In the scenario described, it would appear that the project would qualify. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

Can an agency with multiple NYS-funded residential and program sites apply to the NICIP RFA in one proposal for facility upgrades/renovations that address accessibility in 9 sites even if the actual renovations are different. (ramps in 4 and bathrooms in 5)

An Applicant must be able to demonstrate in the application how a project is serving a single purpose at multiple sites, but an individual determination will need to be made based on the information provided. In the scenario described, it would appear that the project would qualify. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

Can an agency with multiple NYS-funded residential and program sites apply to the NICIP RFA in one proposal for facility upgrades/renovations that address accessibility and energy efficiency at 9 sites, even if 1/3 need accessibility renovations only, 1/3 need energy efficiency upgrades only and 1/3 need both types of work?

An Applicant must be able to demonstrate in the application how a project is serving a single purpose at multiple sites, but an individual determination will need to be made based on the information provided. In the scenario described, the Applicant must choose one project with a common theme. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

Where should Construction Administration professional fees be accounted for? In the Design portion or Construction portion of the Budget.

Construction administration costs should be included in the construction section of the budget.

If a project has two or more distinct phases, can a single phase of a multi-phase project be eligible for funding?

If NICIP grant funds will be utilized for a phase of an overall project – the phase must be a standalone project with a recognized capital asset upon completion of that phase.

Under the RFA, section 2.13, eligible construction costs include "Health and safety renovations, such as installing an alarm or sprinkler system...". Would the inclusion of security alarm system/security cameras in an application for other health and safety construction renovations be deemed eligible or would the inclusion of such items be considered an improvement that could be added only under a technology application?

In the example provided, it would appear that the project would be eligible as a construction project. Incidental technology costs integral to complete the project would be permissible. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

Eligible Costs - Construction / Renovation Project

I read in the application that “one application can cover a single-purpose or multipurpose project at a single site or a single-purpose project at multiple sites,” and the accompanying examples (RFP p. 13). We want to install HVAC systems in 2 separate program locations. However, in order for the HVAC systems to function in both locations, we also have to carry out certain electrical upgrades, without which the HVACs will not work. Would this 2 phase project (electrical and HVAC) at 2 locations count as multiple projects at multiple locations and disqualify us? Or is this permissible? Thank you.

In the example provided, it would appear that the project would be eligible. Incidental electrical costs integral to complete the project would be permissible. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

Would replacement windows to make a building more energy efficient be an allowable cost

In the example provided, it would appear that the project would be eligible. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

My question is to ask for a clarification under 2.14 (Ineligible Costs) to provide several more specific examples of ineligible accessibility renovations. Would replacement of an existing ramp or accessible bathroom (as opposed to repair of a ramp or bathroom) be an eligible renovation (to maintain or expand accessibility) or be an ineligible accessibility renovation that would considered “routine maintenance”? Would renovation of a kitchen to enhance accessibility (variable height counters and other changes to facilitate use of the kitchens by people with disabilities) be considered an eligible accessibility renovation? Thanks.

In the example provided, it would appear that the project would be eligible. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

Are sidewalk and ADA sidewalk upgrades to the sidewalks eligible ?

More information is needed to make a determination.

We will occupy 18000 square ft; our tenant (another not-for-profit) for four years will occupy 7000 ft. Then we will occupy entire 25000 sq ft. Any concerns about us as the primary beneficiary of building renovations (elevator, roof, our office space)?

More information is needed to make a determination. See Section 2.18 of the RFA for requirements regarding the primary benefit to the Applicant. NICIP grant funding must be used for the primary benefit of the Applicant and the Applicant's eligible programs.

We are in need of an elevator for our clients. Many are unable to enter our programs due to their inability to get to upper floor apartments.

More information is needed to make a determination. See Section 2.18 of the RFA for requirements regarding the primary benefit to the Applicant. NICIP grant funding must be used for the primary benefit of the Applicant and the Applicant's eligible programs.

Eligible Costs - Construction / Renovation Project

The RFP states construction funding can be used for renovations or expansions of space used for direct program services; modifications to make spaces more sustainable and energy efficient resulting in overall cost and energy savings; and accessibility renovations. Can funding be used for new construction?

New construction is not ineligible to be funded with a NICIP grant, however, the Applicant will still need to demonstrate how it otherwise meets all criteria set forth in the enabling NICIP statute and the RFA including that it is a renovation or expansion of space used for direct program services.

Will new construction of space for direct program services be considered to replace an existing structure where repair is not cost effective and the location is no longer safe for the residents? Residents will be relocated to the new build.

New construction is not ineligible to be funded with a NICIP grant, however, the Applicant will still need to demonstrate how it otherwise meets all criteria set forth in the enabling NICIP statute and the RFA including that it is a renovation or expansion of space used for direct program services.

Is construction of small, accessible IRAs an allowable request for funding?

New construction is not ineligible to be funded with a NICIP grant, however, the Applicant will still need to demonstrate how it otherwise meets all criteria set forth in the enabling NICIP statute and the RFA including that it is a renovation or expansion of space used for direct program services.

Can these funds be used for a new construction project that would provide an additional 12 SRO beds?

New construction is not ineligible to be funded with a NICIP grant, however, the Applicant will still need to demonstrate how it otherwise meets all criteria set forth in the enabling NICIP statute and the RFA including that it is a renovation or expansion of space used for direct program services.

Can an agency apply to the NICIP RFA for costs involving the construction of new program space in order to relocate a current program.

New construction is not ineligible to be funded with a NICIP grant, however, the Applicant will still need to demonstrate how it otherwise meets all criteria set forth in the enabling NICIP statute and the RFA including that it is a renovation or expansion of space used for direct program services.

We have a long waiting list for services. Is construction of a new building to house additional program space an allowable expense? This will allow us to expand capacity and serve more people.

New construction is not ineligible to be funded with a NICIP grant, however, the Applicant will still need to demonstrate how it otherwise meets all criteria set forth in the enabling NICIP statute and the RFA including that it is a renovation or expansion of space used for direct program services.

Will this new funding cover completed capital project costs necessary for health and safety that were not funded in the last round?

No awards will be made under the prior RFA. Applicants who previously submitted an application in response to the prior RFA are encouraged to apply in response to this RFA by submitting a new application for either the same or a different project.

Eligible Costs - Construction / Renovation Project

The RFP specifies that construction/renovation must be of space for direct program services, further defined as space where people being served come on a regular basis. Our question is as follows: Our organization provides services to home bound, so the direct care staff come on a regular basis but the clients do not. The renovation would be for space that is used for the essential activities of administrative staff who recruit, hire, deploy, supervise, and compensate the in-home staff. Would this be a qualifying project?

No, it would appear that the example provided would be ineligible for a NICIP grant.

Would vehicles used to transport food to / from our food pantry be eligible?

No, it would appear that the project would not qualify. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination. See Section 2.14 of the RFA. Vehicles, unless the vehicle is used to provide direct service such as a mobile clinic or a mobile food pantry, are ineligible under the NICIP program (vehicles used for transportation only are ineligible).

Are we able to place a request for construction AND technology? And, if so, do we have to put in two proposals or one?

No, you cannot apply for both. An Applicant may apply for either a construction or technology grant.

Is the purchase of a building to enable an agency to consolidate its programs under one roof, an allowable cost?

No. See Sections 2.13 & 2.14 of the RFA for eligible and ineligible costs. Acquisition of real property is an ineligible expense.

I want to purchase properties and do renovation for consumers with mental disabilities. What is the process step by step needed to be performed. Is there a standard size the property must be?

No. See Sections 2.13 & 2.14 of the RFA for eligible and ineligible costs. Acquisition of real property is an ineligible expense.

In the prior RFA, funding could not be used to undertake renovation projects in buildings owned by the New York City Housing Authority (NYCHA). I did not see that prohibition in this RFA. Does this mean that non-profits leasing space within a NYCHA building are eligible to receive funds to undertake renovation projects on those buildings?

No. See Sections 2.13 & 2.14 of the RFA for eligible and ineligible costs. Building or property maintenance or improvements, structural maintenance or improvements, or building systems maintenance or improvements in a publicly owned building are ineligible.

Looking at questions 6 and 7 on page 4 of Appendix 1, if an organization is seeking reimbursement for costs for a project that began after April 1, 2015 and for which it continued to incur costs after April 1, 2016, how should the organization answer these two questions?

Questions 6 and 7 in the application are to establish when an Applicant's project has commenced. If an Applicant began to incur project costs after 4/1/15, but prior to 4/1/16, the answer to question 6 would be "Yes" while the answer to Question 7 will be "No". Conversely, if an Applicant's project is scheduled to begin in December 2016, the answer to question 6 would be "No" and the Answer to Question 7 would be "Yes".

Eligible Costs - Construction / Renovation Project

We want to replace a roof, is that eligible?

Roof replacement is not ineligible to be funded with a NICIP grant. However, the Applicant will still need to demonstrate how it otherwise meets all criteria set forth in the enabling NICIP statute and the RFA. See Section 2.18 of the RFA for requirements regarding the primary benefit to the Applicant.: "For example, if a nonprofit organization shares a building with other businesses or organizations, the nonprofit organization cannot apply to replace the roof of the entire building." The determination as to whether a project is eligible for NICIP funding is dependent upon the ultimate use of the facility and the extent to which it meets the criteria set forth in the RFA.

We are in need of new roof at our owned buildings. Will this be part of the grant funds?

Roof replacement is not ineligible to be funded with a NICIP grant. However, the Applicant will still need to demonstrate how it otherwise meets all criteria set forth in the enabling NICIP statute and the RFA. See Section 2.18 of the RFA for requirements regarding the primary benefit to the Applicant.: "For example, if a nonprofit organization shares a building with other businesses or organizations, the nonprofit organization cannot apply to replace the roof of the entire building." The determination as to whether a project is eligible for NICIP funding is dependent upon the ultimate use of the facility and the extent to which it meets the criteria set forth in the RFA.

Would the purchase and installation of a security/surveillance system be considered an eligible health and safety renovation for a construction project?

Security systems as a stand alone project may be funded as a technology project even if incidental construction costs integral to complete the project are incurred.

Is a project that is now 100% complete ineligible? If completed projects are ineligible for funding, how complete can a project be before DASNY will find it ineligible? What information will DASNY use to assess whether a project is complete/incomplete? Will the complete/incomplete status of a project affect the point score on this RFP?

See Section 1.30 of the RFA to determine If the project falls within the eligible date range for the NICIP grant.

Since this RFA was previously announced in a previous fiscal period, will expenditures from FY15 and/or FY16 be considered as eligible costs?

See Section 1.30 of the RFA to determine If the project falls within the eligible date range for the NICIP grant.

Our Agency purchased a building and will be relocating two programs that provide direct services to approx 100 consumers daily. would any program items such as new tables and chairs for consumers comfort be an eligible expense?

See Section 2.14 of the RFA. Furniture, unless undertaken with a larger renovation project, is ineligible under the NICIP program.

Eligible Costs - Construction / Renovation Project

Ineligible costs includes furniture. We plan to replace dining room tables used by families housed in an emergency shelter with floor-mounted tables similar to those found in fast food restaurants like McDonalds. This allows for ease in cleaning, less wear-and-tear on flooring, and offers a more durable structure able to withstand severe use. Would these tables be considered furniture or would be eligible expenses?

See Section 2.14 of the RFA. Furniture, unless undertaken with a larger renovation project, is ineligible under the NICIP program.

Must Construction projects take place at a location where the grantee has a minimum 3-year lease, as with Technology projects, or is there a different parameter?

See Section 2.15 of the RFA for site control requirements. NICIP grants may be used for a construction project on real property owned by the nonprofit organization or on leased property when the term of the nonprofit organization's lease extends at least 7 years from the date of application and landlord approval has been secured for the capital improvements.

Our nonprofit facility is located in a rural area and relies on well water with low water pressure. A qualified Engineer has suggested that we add a water tank to improve water pressure, accommodate days with high water use needs and if necessary, improve fire suppression. The water tank is not a 'program space', but all of the program spaces use water. Is funding for the water tank an eligible project?

See Section 2.18 of the RFA for requirements regarding the primary benefit to the Applicant. NICIP grant funding must be used for the primary benefit of the Applicant and the Applicant's eligible programs. In the scenario described, it would appear that the project would qualify if it involves space that is exclusively or primarily a location where direct services are provided, meaning the individual/family or groups of individuals/families being served come to the location on a regular basis. If you feel this project satisfies the criteria set forth in the RFA, please include justification in your application materials. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

If we have multiple sites that require various level of renovations - but all in order to meet life safety code - could meeting life safety code be a common project to be done at multiple sites, even if the specific renovations to meet life safety code were different at each site?

See Section 2.19 of the RFA. More information is needed to make a determination. An individual determination will need to be made based on the information provided in the application. Applicant must be able to demonstrate in the application how a project is serving a single purpose at multiple sites.

The application indicates that one application can be submitted for multiple sites for a "single purpose." How broad can that single purpose be? Can energy efficiency be a single purpose so that we could replace lighting fixtures and install spray foam installation at 10 locations? Or would we have to pick just one?

See Section 2.19 of the RFA. This would appear to meet the requirements for a single purpose project across multiple sites, but an individual determination will need to be made based on the information provided in the application. The Applicant must be able to demonstrate in the application how a project is serving a single purpose at multiple sites.

Eligible Costs - Construction / Renovation Project

Do we need bids/quotes for construction projects prior to submitting the grant or after? If yes, how many per project? For example, to replace the roof how many bids do we need? If no, how should we indicate the cost of the project?

See Section 2.20 of the RFA for information regarding cost estimates. There are no prescribed number of estimates that must be obtained, and although "quotes from contractors" and "bids" are not specifically required, higher scores will be awarded to Applicants who have provided professional estimates or quotes to support their budget. The Applicant should provide compelling "narratives that explain how the Applicant arrived at the cost estimates" and how those cost estimates are reasonable.

Do we need to have a bid from a contractor prior to submission? If yes how many? If no, what information should we submit in order to demonstrate costs of a project?

See Section 2.20 of the RFA for information regarding cost estimates. There are no prescribed number of estimates that must be obtained, and although "quotes from contractors" and "bids" are not specifically required, higher scores will be awarded to Applicants who have provided professional estimates or quotes to support their budget. The Applicant should provide compelling "narratives that explain how the Applicant arrived at the cost estimates" and how those cost estimates are reasonable.

Are multiple bids for construction required for the application?

See Section 2.20 of the RFA for information regarding cost estimates. There are no prescribed number of estimates that must be obtained, and although "quotes from contractors" and "bids" are not specifically required, higher scores will be awarded to Applicants who have provided professional estimates or quotes to support their budget. The Applicant should provide compelling "narratives that explain how the Applicant arrived at the cost estimates" and how those cost estimates are reasonable.

Please define "eligible cost" for projects related to construction and/or renovation?

See Sections 2.13 & 2.14 of the RFA for eligible and ineligible costs. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

The RFA clearly states that hard construction costs are eligible but also states that operating costs are not eligible. However, soft construction costs such as interest on a site survey, engineering, architecture, interest on a construction loan, permits, insurance, owner's rep, temporary utilities, etc. are not addressed. Also, are a contingency line and a development fee allowed? All these are essential parts of construction.

See Sections 2.13 & 2.14 of the RFA for eligible and ineligible costs. Soft costs such as engineering and architecture costs are generally eligible, while interest costs are ineligible. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination. Also, please note that certain costs would not qualify to be a capital work or purpose pursuant to Section 67-a of the State Finance Law.

Wanted to make sure that we could fund the cost of an engineer's report or an architect's review and estimates through this grant.

See Sections 2.13 & 2.14 of the RFA for eligible and ineligible costs. These costs would qualify provided that they are included in a larger renovation project and all other criteria set forth in the enabling statute and the RFA are satisfied. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

Eligible Costs - Construction / Renovation Project

We are in the process of getting quotes/bids for our construction project we will apply for in this grant. We lease our space and our landlord is actively assisting us with quotes/bids. Can the quotes/bids from contractors list the landlord's name or does or name (as the applicant) need to be on the bid/quote?

The bids/quotes may be submitted to the landlord, but the Applicant should be referenced on any such documents. The Applicant should describe the relationship between the parties in the application materials. In addition, prior to entering into a GDA, there must be a contractual basis showing the tenant will be paying for project costs either in the lease or in a side agreement with the landlord.

Our landlord/property owner works with a preferred GC - we have no control over selection of the GC. The GC has provided a cost estimate that includes itemized costs from multiple subcontractors. Is the GC cost estimate sufficient or do we also need to provide supporting documentation/quotes from the GC's subcontractors?

The cost estimate provided by the GC should be sufficient. See Section 2.20 of the RFA for information regarding cost estimates. There are no prescribed number of estimates that must be obtained, and although "quotes from contractors" and "bids" are not specifically required, higher scores will be awarded to Applicants who have provided professional estimates or quotes to support their budget. The Applicant should provide compelling "narratives that explain how the Applicant arrived at the cost estimates" and how those cost estimates are reasonable.

We own a building in which we provide a group residence for adolescent girls in the foster care system who have emotional/behavioral difficulties which prevent them from being able to be placed with a foster family. In order to ensure that the young women are kept safe and comfortable during power disruptions, we would like to install a generator for the building in order to be fully prepared for any emergency situations. For example, the building was without power for many days after Hurricane Sandy. Would this be an acceptable construction project for NICIP?

The purchase and installation of a generator is not ineligible to be funded with a NICIP grant, however, the Applicant will still need to demonstrate how it otherwise meets all criteria set forth in the enabling NICIP statute and the RFA including that it is a renovation or expansion of space used for direct program services.

The RFA does not mention generators. Are they eligible or ineligible?

The purchase and installation of a generator is not ineligible to be funded with a NICIP grant, however, the Applicant will still need to demonstrate how it otherwise meets all criteria set forth in the enabling NICIP statute and the RFA including that it is a renovation or expansion of space used for direct program services.

Eligible Costs - Construction / Renovation Project

Question 25 states, "...For construction projects, the proposed project must involve a space that is exclusively or primarily a location where direct services are provided, meaning that the clients physically come to the location on a regular basis. If an agency has a state-of-the-art habilitation program that always operated a one-on-one integrated program in the community and that agency needs space to house the employees that directly serve the consumers, but the consumers only occasionally come to the agency, can the infrastructure dollars be used to create new offices in order to house and expand our program and relieve our waiting list of consumers requesting services?

The purpose of NICIP is to provide funds for targeted investments for spaces utilized to provide direct services. Based on the description provided, it would appear that the project is ineligible. In order to be considered eligible for funding, the Applicant would need to demonstrate that the proposed project will "involve a space that is exclusively or primarily a location where direct services are provided meaning the individual/family or groups of individuals/families being served come to the location on a regular basis." See Sections 2.13 and 2.14 of the RFA for more information about eligible and ineligible costs. Eligible costs include "renovations or expansions of space used for direct program services". Ineligible costs include "meeting rooms/offices that are not primarily used for meeting with clients".

Similar to the initial NICIP RFA released in October 2015, this RFA does not indicate whether escalation costs may be included for construction projects. Because budgeted costs at the time of application may be outdated by the time construction work is actually undertaken, we believe it is important to include escalation costs in our budget, given the financial risks and burdens that applicant Organizations are expected to undertake with these funds. Additionally, the cancellation of the initial RFA, the potential for additional delays in the State's procurement and contracting processes, and the increased construction and labor costs associated with these delays make it even more critical that escalation costs be included. We therefore ask for clarification as to whether escalation costs may be included in our proposed budget (and if so, on what basis, and whether a quantitative and qualitative justification should be included). If escalation costs cannot be used, please advise whether construction bids and quotes from contractors may include escalation costs/rates as an alternative.

There is no prohibition on incorporating escalation costs if they reasonably justified. See Section 2.20 of the RFA for information regarding cost estimates. There are no prescribed number of estimates that must be obtained, and although "quotes from contractors" and "bids" are not specifically required, higher scores will be awarded to Applicants who have provided professional estimates or quotes to support their budget. The Applicant should provide compelling "narratives that explain how the Applicant arrived at the cost estimates" and how those cost estimates are reasonable.

If we commence work on elements of the scope prior to the award announcement, would we be reimbursed for work we've already done if we receive the grant?

Yes, as long as those costs were incurred after April 1, 2015. See Section 2.13 of the RFA. Design, engineering, and other preliminary planning activities may commence prior to April 1, 2015. Costs incurred prior to this date, however, may not be reimbursed from grant funds.

Can an organization use NICIP grant funds to renovate a recently acquired facility that is not yet being utilized for the delivery of direct services? (In other words, the organization will use the site to provide direct services. However, service delivery at this site will not have commenced by the date of application submission as the site was just acquired.)

Yes, however, the Applicant will still need to demonstrate how it otherwise meets all criteria set forth in the enabling NICIP statute and the RFA including that it is a renovation or expansion of space used for direct program services.

Eligible Costs - Construction / Renovation Project

We applied for this funding last fall to have a roof fixed. Since then the leaking roof has caused the carpet to be destroyed during a bad storm. We need to repair the floor, remove the carpet and tile the floor. The costs of repairing and replacing the floor have already been paid. Can we include these costs in the round of funding to be reimbursed?

Yes, if the project falls within the eligible dates as specified within Section 1.30 of the RFA and is located at a single site. However, see Section 2.18 of the RFA for requirements regarding the primary benefit to the Applicant.: "For example, if a nonprofit organization shares a building with other businesses or organizations, the nonprofit organization cannot apply to replace the roof of the entire building." The determination as to whether a project is eligible for NICIP funding is dependent upon the ultimate use of the facility and the extent to which it meets the criteria set forth in the RFA.

Regarding purchasing energy efficient lighting. What if purchasing energy efficient lighting is part of a larger renovation; for example, a bathroom or kitchen were renovated in a setting used for respite or for habilitative services, would the cost of that lighting then be allowable?

Yes, in the example provided, it would appear that the project would be eligible so long as the costs are part of an overall construction/renovation project. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

If the project (sprinkler system) began in February 2016 and will be completed by September 2016 as part of a larger expansion, are the costs eligible for funding?

Yes, it appears that the project falls within the eligible dates as specified within Section 1.30 of the RFA. However, more information is needed to make a determination regarding the project's eligibility. See Section 2.18 of the RFA for requirements regarding the primary benefit to the Applicant. NICIP grant funding must be used for the primary benefit of the Applicant and the Applicant's eligible programs.

Two of our residential buildings, one housing 52 individuals with a diagnosed mental illness; the other an addiction crisis center, carrying for over 600 hundred individuals struggling with substance abuse is greatly in need of fencing...for safety and security reasons. Is this an allowable cost/expense under NICIP?

Yes, it would appear that the project would qualify provided that all other criteria set forth in the enabling NICIP statute and the RFA are satisfied. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

Would installation of solar panels qualify as a eligible expense?

Yes, it would appear that the project would qualify so long as it is located at a site that provides direct services. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

We have a building/SRO which has been and continues to be used for our men's After-Care program...approximately 55 men per year participate in this 6-9 month program. The concrete steps at building's main are crumbling. Can NICIP funds be used to repair these steps?

Yes, it would appear that the project would qualify so long as it is located at a site that provides direct services. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination. See Section 2.18 of the RFA for requirements regarding the primary benefit to the Applicant. NICIP grant funding must be used for the primary benefit of the Applicant and the Applicant's eligible programs.

Eligible Costs - Construction / Renovation Project

Are we allowed to request “construction” funds for furniture, webcams or security cameras, if they are an integral part of the space that is renovated and upgraded in infrastructure?

Yes, purchasing furniture in conjunction with a larger renovation project and the installation of security cameras are eligible under the NICIP program. More information is needed to make a determination regarding the use of a webcam; its eligibility is dependent upon the use of the device. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

The RFP specifies that replacement furniture is not eligible unless part of a larger renovation. If the program is relocating and renovating its new location, would furniture be an eligible expense? Could an applicant apply for the cost of furnishings without applying for grant funds to cover the cost of the renovation itself?

Yes, purchasing furniture in conjunction with a larger renovation project is eligible under the NICIP program. No, an Applicant may not seek NICIP funding solely for the purpose of purchasing furnishings.

Are construction/renovation contract expenses incurred after April 1, 2016, but before award announcements November 1, 2016, eligible for reimbursement?

Yes, see Section 1.30 of the RFA for the eligible date range for a NICIP grant.

If an HVAC project was designed, planned, AND implemented between April 1, 2015 and August 1, 2016 (with implementation occurring/being completed as the applicant was still waiting to hear results of its prior [Dec. 2015] DASNY request for the NICIP program), is the applicant-organization ELIGIBLE to apply for/receive funding to cover part or all of those costs, if such costs are detailed as part of a larger proposal that includes further infrastructure enhancements at the same site?

Yes, see Section 3.13 of the RFA. Design, engineering, and other preliminary planning activities may commence prior to April 1, 2015. Costs incurred prior to this date, however, may not be reimbursed from grant funds.

Eligible Costs - Technology Project

Please define routine training that is not eligible for funding under the NICIP grant.

“Train the trainer” is an eligible cost for specialized equipment or software applications. That is, the Grant funds may be used to pay the costs incurred to train one person within the Applicant organization who will be responsible to train the other users. See Sections 2.13 & 2.14 of the RFA for eligible and ineligible

Can you tell us if the following technology project would be eligible as described: The project is a client database system with a web-based platform; the project budget will include paying the developers to develop and customize their software to suit our specific needs and to help us migrate our data, and purchasing backup and replication servers to enable us to back up and replicate our data on our own premises. Although it is a cloud-based system, our data will also be backed up to a remote server that allows segregated and secure storage of our data, and we will not include ongoing license and maintenance fees in the budget.

Cloud based software cannot be funded by a NICIP grant. These costs may otherwise be included in the project if funded by other eligible sources of funds. See Sections 2.13, 2.14 & 2.20 of the RFA for eligible and ineligible costs and a general description of eligible software costs. Please be advised that software and licenses generally are not eligible for funding unless they are part of a new IT system with customized software. Even then, in certain instances, only partial funding may be available. Whether or not a consultant would be an eligible expense would depend on the nature of the work. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

We are a legal service provider. We provide direct service to clients in NY. Aside from telling us to apply anyways, could you provide a clear “yes” or “no” answer as to whether a cloud-based case management system, which would eliminate the use of multiple databases among our organization, would be eligible?

Cloud based software cannot be funded by a NICIP grant. These costs may otherwise be included in the project if funded by other eligible sources of funds. See Sections 2.13, 2.14 & 2.20 of the RFA for eligible and ineligible costs and a general description of eligible software costs. Please be advised that software and licenses generally are not eligible for funding unless they are part of a new IT system with customized software. Even then, in certain instances, only partial funding may be available. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

The RFA indicates that cloud-based software is an ineligible expense. In the event that an applicant proposes a cloud-based technology solution that meets all DOH security requirements (multifactor authentication, etc), would such a solution be eligible? If not, can you explain why cloud-based software is ineligible, particularly if it is part of a new IT system?

Cloud based software cannot be funded by a NICIP grant. These costs may otherwise be included in the project if funded by other eligible sources of funds. See Sections 2.13, 2.14 & 2.20 of the RFA for eligible and ineligible costs and a general description of eligible software costs. Please be advised that software and licenses generally are not eligible for funding unless they are part of a new IT system with customized software. Even then, in certain instances, only partial funding may be available. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

Eligible Costs - Technology Project

On page 11 of the RFA it states that "purchasing cloud-based software" is ineligible for funding. Yet for electronic health records software, which the RFA seems to suggest would be an eligible project, cloud-based software is an industry standard, both for data security and for global staff access regardless of location. Can you please clarify?

Cloud based software cannot be funded by a NICIP grant. These costs may otherwise be included in the project if funded by other eligible sources of funds. See Sections 2.13, 2.14 & 2.20 of the RFA for eligible and ineligible costs and a general description of eligible software costs. Please be advised that software and licenses generally are not eligible for funding unless they are part of a new IT system with customized software. Even then, in certain instances, only partial funding may be available. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

The RFA lists "cloud-based software" as an ineligible cost. Would the consulting costs for a technology project that included existing customized cloud-based software be eligible or ineligible under this RFA?

Cloud based software cannot be funded by a NICIP grant. These costs may otherwise be included in the project if funded by other eligible sources of funds. See Sections 2.13, 2.14 & 2.20 of the RFA for eligible and ineligible costs and a general description of eligible software costs. Please be advised that software and licenses generally are not eligible for funding unless they are part of a new IT system with customized software. Even then, in certain instances, only partial funding may be available. Whether or not a consultant would be an eligible expense would depend on the nature of the work. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

Would purchase of a cloud-based electronic health record to be utilized in multiple counties be eligible?

Cloud based software cannot be funded by a NICIP grant. These costs may otherwise be included in the project if funded by other eligible sources of funds. See Sections 2.13, 2.14 & 2.20 of the RFA for eligible and ineligible costs and a general description of eligible software costs. Please be advised that software and licenses generally are not eligible for funding unless they are part of a new IT system with customized software. Even then, in certain instances, only partial funding may be available. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

The software we want to purchase has both desktop and cloud based applications. The cloud based part will allow our RN's in the field to use tablets to enter patient information while on home visits. Would this be allowed?

Cloud based software cannot be funded by a NICIP grant. These costs may otherwise be included in the project if funded by other eligible sources of funds. See Sections 2.13, 2.14 & 2.20 of the RFA for eligible and ineligible costs and a general description of eligible software costs. Please be advised that software and licenses generally are not eligible for funding unless they are part of a new IT system with customized software. Even then, in certain instances, only partial funding may be available. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

Eligible Costs - Technology Project

What is the definition of "cloud based software"? Many 'enterprise' systems for electronic records are based on an off-site server. Is adoption of SalesForce [<https://www.salesforce.com/>] for a program data base an eligible project? We understand that software for human resources and fundraising are not eligible.

Cloud based software cannot be funded by a NICIP grant. These costs may otherwise be included in the project if funded by other eligible sources of funds. See Sections 2.13, 2.14 & 2.20 of the RFA for eligible and ineligible costs and a general description of eligible software costs. Please be advised that software and licenses generally are not eligible for funding unless they are part of a new IT system with customized software. Even then, in certain instances, only partial funding may be available. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

Does an information management system implementation that is designed to eliminate the use of multiple databases – and that is built upon Amazon Web Services (infrastructure as a service, but not software as a service) -- qualify as an eligible project?

Cloud based software cannot be funded by a NICIP grant. These costs may otherwise be included in the project if funded by other eligible sources of funds. See Sections 2.13, 2.14 & 2.20 of the RFA for eligible and ineligible costs and a general description of eligible software costs. Please be advised that software and licenses generally are not eligible for funding unless they are part of a new IT system with customized software. Even then, in certain instances, only partial funding may be available. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

Would distance-learning equipment including software, cameras, monitors and wiring be an eligible expense?

More information is needed to make a determination. In order to be eligible for NICIP funding, projects must be used to provide direct human services and comply with the eligibility requirements outlined in Sections 2.11 and 2.13 of the RFA.

Our organization uses telephones for direct services to clients-- legal services for individuals in rural communities, support for parents with a child admitted to a mental health in-patient unit, and advocacy services for children involved in the court system, among other services. We need a new phone system, which is only allowable within certain parameters. Would these purposes make our phone system an eligible technology expense?

More information is needed to make a determination. See Section 2.14 of the RFA. Telephones and telephone systems are generally ineligible unless such system is the primary method utilized for direct service such as a suicide prevention hotline.

Our application will tentatively be for 'enterprise' database to track program participants attendance [classes, counseling, meals etc.] and milestone outcomes [graduation, housing, jobs etc.]. The primary expense is to pay a consulting company customizing the software. Is this an allowable expense?

More information is needed to make a determination. The Applicant must demonstrate how the project will impact direct human services. See Sections 2.13 for a list of eligible costs, 2.14 & 2.20 of the RFA for a general description of eligible software costs. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

Eligible Costs - Technology Project

If an applicant has secured funding from other sources to purchase an Electronic Health Record system, but still needs funding (over \$50,000) to support expert-consulting during each phase of the installation, implementation, execution and establishment of sound maintenance of the customized system by our staff, can this NICIP funding be used to pay for the expert consulting surrounding such EHR implementation efficiencies?

More information is needed to make a determination. The Applicant must demonstrate how the project will impact direct human services. See Sections 2.13 for a list of eligible costs, 2.14 & 2.20 of the RFA for a general description of eligible software costs. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

To expand and update the agency's IT Hardware and Software some of our computers have been in use for over ten years. Our servers need to be upgrades and have been patched to keep up with the volume and compliance and billing volume required for our newly developed. We intend to install more state of the art software at the main office and field program.

More information is needed to make a determination. The Applicant must demonstrate how the project will impact direct human services. See Sections 2.13 for a list of eligible costs, 2.14 & 2.20 of the RFA for a general description of eligible software costs. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

For technology grants, are the following both eligible costs under this grant: the consultants that customize the software, and the IT consultants that will be part of the team working with them to implement the project at our agency.

More information is needed to make a determination. The purpose of NICIP is to provide funds for targeted investments for projects utilized to provide direct services. Whether or not a consultant would be an eligible expense would depend on the nature of the work. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

Can grant funds be used to purchase customized enterprise-wide accounting package that can better link with and support electronic health record and service billing?

More information is needed to make a determination. While elements of a customized electronic health record system may be eligible, the inclusion of an accountin package would be ineligible. The Applicant must demonstrate how the project will impact direct human services. See Sections 2.13 for a list of eligible costs, 2.14 & 2.20 of the RFA for a general description of eligible software costs. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

We are looking at purchasing mobile phone app technology to better communicate with patients. Would this be allowed?

No. See Sections 2.13 & 2.14 of the RFA for eligible and ineligible costs.

Are personnel costs related to updating electronic medical records an eligible cost?

No. See Sections 2.13 & 2.14 of the RFA for eligible and ineligible costs. Personnel costs are ineligible.

Eligible Costs - Technology Project

Is it allowable to purchase a printer/copier?

Possibly. The costs may be eligible for NICIP funding provided that all other criteria set forth in the enabling NICIP statute and the RFA are satisfied, so long as it is undertaken as part of a larger technology project that affects areas that provide direct services.

Please explain further the ineligibility of purchasing telephone systems as part of a Technology Project. Is there any way we can include telephone / voicemail hardware and installation, if it is part of an improved communication and record-keeping system?

See Section 2.14 of the RFA. Telephones and telephone systems are generally ineligible unless such system is the primary method utilized for direct service such as a suicide prevention hotline.

In Section 2.14, Personnel Costs are listed as ineligible costs. In the case of building an information management system, would full-time technology employees hired to specifically develop the system be considered an ineligible cost?

See Sections 2.13 & 2.14 of the RFA for eligible and ineligible costs. Personnel costs are ineligible.

We successfully applied and were awarded funding through the BIP grant for a new EHR system we would like to purchase a billing service that will streamline our current archaic process. The billing service that we are looking at will require some customization - would the NICIP grant cover customization of this billing software? thanks for your time.

See Sections 2.13 for a list of eligible costs, 2.14 & 2.20 of the RFA for a general description of eligible software costs. No, it would not appear that these costs would qualify. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

Page 14 of the RFA indicates that "Please note that software and licenses generally are not eligible for funding unless they are part of a new IT system and involve customization. Even then, in certain instances only partial funding may be available." please clarify the instances when only partial funding will be available

The determination as to eligibility is fact specific and is made on a case by case basis. Applicants are encouraged to provide a robust description of the project that will be funded by the NICIP grant, as well as how the project is consistent with the NICIP enabling legislation and the RFA. The expectation is that all costs set forth in the application are eligible for NICIP funding. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination. See Section 4.50 of the RFA, DASNY reserves the right to exclude ineligible expenses from the grant amount requested.

I have building that needs security cameras, computer, intercoms etc. How do I apply for a RIF grant to update some older buildings.

The intent of the question is unclear. More information is needed to make a determination.

Can we include the cost of a consultant to install new equipment?

The purpose of NICIP is to provide funds for targeted investments for projects utilized to provide direct services. Whether or not a consultant would be an eligible expense would depend on the nature of the work. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

Eligible Costs - Technology Project

Can we hire a consultant to train staff on new equipment purchased through the grant?

The purpose of NICIP is to provide funds for targeted investments for projects utilized to provide direct services. Whether or not a consultant would be an eligible expense would depend on the nature of the work. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination. "Train the trainer" is an eligible cost for specialized equipment or software applications. That is, the Grant funds may be used to pay the costs incurred to train one person within the Applicant organization who will be responsible to train the other users.

As part of a technology project's implementation, can you specify what kinds of consulting costs are or are not eligible? For example: business analysts, implementation engineers, database administrators, and training consultants?

The purpose of NICIP is to provide funds for targeted investments for projects utilized to provide direct services. Whether or not a consultant would be an eligible expense would depend on the nature of the work. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination. "Train the trainer" is an eligible cost for specialized equipment or software applications. That is, the Grant funds may be used to pay the costs incurred to train one person within the Applicant organization who will be responsible to train the other users. Personnel costs are ineligible.

Please verify that costs already incurred are eligible as long as they were after April 1, 2015.

Yes, assuming all project costs were incurred after 4/1/15. Any completed components of the project should be described in the Project Description.

Can funds be used to purchase and install a security system for a residential housing facility for residents escaping domestic violence and/or recovering from substance abuse issues?

Yes, it would appear that the project would qualify so long it is located at a site that provides direct services. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

Eligible Entities

We are a 501(c)(3) not-for-profit program that supplies free legal assistance to low-income individuals facing serious civil law matters. We are currently a grantee of several New York State agencies. Would our program be eligible under the definition of "justice services" as listed on the Grant Opportunity Profile?

The entity described is not ineligible to apply. See Section 2.11 of the RFA. An Applicant would be eligible to apply for funding if it meets the requirements set forth in the enabling NICIP statute and the RFA. Please see Appendix 1 of the RFA for the information required to be submitted with the application, including documentation demonstrating that they currently receive funding for providing direct human services from New York State in the form of a State contract, State authorized payment, or State payment rate as further defined in Section 2.11 of the RFA. The determination as to whether an Applicant is eligible for NICIP funding is dependent upon the extent to which it meets the criteria set forth in the RFA including that renovations or expansions of space are limited to space used for direct services and that technology projects be limited to those that directly impact clients.

We are a rural health care network that provides a range of services – both direct service as well as training. Among our direct services is a Child Advocacy Center which provides services to child victims of abuse and their non-offending caregiver. Are we eligible?

The entity described is not ineligible to apply. See Section 2.11 of the RFA. An Applicant would be eligible to apply for funding if it meets the requirements set forth in the enabling NICIP statute and the RFA. Please see Appendix 1 of the RFA for the information required to be submitted with the application, including documentation demonstrating that they currently receive funding for providing direct human services from New York State in the form of a State contract, State authorized payment, or State payment rate as further defined in Section 2.11 of the RFA. The determination as to whether an Applicant is eligible for NICIP funding is dependent upon the extent to which it meets the criteria set forth in the RFA including that renovations or expansions of space are limited to space used for direct services and that technology projects be limited to those that directly impact clients.

Is a provider of free civil legal services an eligible entity?

The entity described is not ineligible to apply. See Section 2.11 of the RFA. An Applicant would be eligible to apply for funding if it meets the requirements set forth in the enabling NICIP statute and the RFA. Please see Appendix 1 of the RFA for the information required to be submitted with the application, including documentation demonstrating that they currently receive funding for providing direct human services from New York State in the form of a State contract, State authorized payment, or State payment rate as further defined in Section 2.11 of the RFA. The determination as to whether an Applicant is eligible for NICIP funding is dependent upon the extent to which it meets the criteria set forth in the RFA including that renovations or expansions of space are limited to space used for direct services and that technology projects be limited to those that directly impact clients.

Eligible Entities

According to the RFP, the entity needs to be a non-profit organization that provides programs and services in NYS that protect the health and well-being of individuals and families living in NYS and then later talks about "State contracts." We have several programs in our agency that provide these services. However only one of them currently receives funding from the State. When Question 3b asks if "any ineligible programs will receive the primary benefit from any funds awarded through this grant," does it mean programs that simply provide human services or programs that provide human services AND are also receiving State funds?

A program that is funded by New York State for direct human services as that term is defined in Section 2.11 of the RFA should be a beneficiary, however the NICIP grant may benefit other direct human services programs provided by the Applicant at the same location. Section 2.11 of the RFA lists types of organizations that are deemed not to be human services organizations offering direct services and are not eligible to apply for a NICIP grant. This list is not exhaustive.

Does having 1 state contract with one or more programs make all programs within the agency that provide direct client services eligible programs, or only the program with the state contract?

A program that is funded by New York State to provide direct human services should be a beneficiary of NICIP funding, however the NICIP grant may benefit other eligible programs provided by the Applicant at the same location.

Do the State Contracts the agency has have to be for programs directly related to the costs associated with the application?

A program that is funded by New York State to provide direct human services should be a beneficiary of NICIP funding, however the NICIP grant may benefit other eligible programs provided by the Applicant at the same location.

We lease space from a Church, if we state in our application that we are completely separate entities and the Church does not impact our clients or services in any way, are we still eligible to apply?

A space leased from a Church is not ineligible so long as it is not located in a house of worship. Generally, NICIP funds may not be used to improve a house of worship. Therefore, any renovations that would benefit a house of worship such as a roof, facade, or HVAC system, would not be eligible for funding. Interior renovations to spaces limited to non-religious uses, so long as there is a separate entrance to such space may be eligible for NICIP funding. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination. The intent is to provide funding to a range of nonprofit organizations that provide direct human services to a consumer or group of consumers. The purpose of NICIP is to provide funds for targeted investments for spaces utilized to provide direct services. Public funds may not be used to finance religious programs or programs that may favor one religion over another. As the issuer of the bonds, DASNY must be certain that it is in compliance with all applicable Federal and State laws, including tax laws.

Eligible Entities

We are a 501c3 organization that receives state funding from New York State Council on the Arts and Regional Economic Development Council. While typically categorized as a cultural organization rather than a human service organization, reading through the grant criteria, it seems that we might qualify. We provide programs & services that protect the well being of individuals and families; provide direct "intervention" services through a Writing Center with free programming for teens; do this through state grant funding; are complete qualified on grants gateway, etc. We are not covered on the list of entities NOT eligible for this RFP. Can you please clarify whether we are eligible to apply. Thanks -

Based on the information provided, it does not appear that the organization meets the definition of a human services organization that provides direct services. See Section 2.11 of the RFA.

Define habilitative

For purposes of this grant, "habilitative" means services that help individuals acquire, retain, and/or improve the skills needed to live at home or in a community-based setting.

Our nonprofit organization works in NY to provide supportive services to residents in our communities on behalf of State and local governments. Overall, our organization serves 14 states, with NY benefiting among others. Can we pursue this opportunity?

In order to be eligible for NICIP funding, Applicants must meet all eligibility requirements outlined in Section 2.11 of the RFA. Providing services in other states does not make an organization ineligible for NICIP funding, but the project may only benefit those services provided in New York State and not services provided in other states.

Our agency meets all eligibility requirements outlined in section 2.10 of the Request for Applications, providing services to adults with I/DD through various programs regulated by OPWDD. However, we also run a school program, and are listed as a private school on our tax return. I trust we are eligible to apply for funds under the Nonprofit Infrastructure Capital Investment Program?

In order to be eligible for NICIP funding, project site(s) must be used to provide direct human services and comply with the eligibility requirements outlined in Sections 2.11 and 2.13 of the RFA. Entities listed as ineligible in Section 2.11 of the RFA are not eligible to apply for funding even if they have eligible programs. Multi-service nonprofit organizations that include both eligible and ineligible entities/ programs are eligible to apply for NICIP funding as long as the proposed project will primarily benefit a program that would be considered an eligible entity and not the ineligible program(s).

The RFA states that elementary or secondary schools are ineligible to apply. What about a special education school that contracts with NYS OPWDD to provide family support services, including respite, habilitation and service coordination? Can they apply for funding for renovations to the space where they conduct family support programming?

In order to be eligible for NICIP funding, project site(s) must be used to provide direct human services and comply with the eligibility requirements outlined in Sections 2.11 and 2.13 of the RFA. Entities listed as ineligible in Section 2.11 of the RFA are not eligible to apply for funding even if they have eligible programs. Multi-service nonprofit organizations that include both eligible and ineligible entities/ programs are eligible to apply for NICIP funding as long as the proposed project will primarily benefit a program that would be considered an eligible entity and not the ineligible programs. The school cannot benefit but other space used by the Applicant can.

Eligible Entities

We provide group therapy and individual mental-health therapy and treatment at our facilities, however not all of our programs and/or activities would be eligible under this RFA. Would we still be eligible to apply?

In order to be eligible for NICIP funding, project site(s) must be used to provide direct human services and comply with the eligibility requirements outlined in Sections 2.11 and 2.13 of the RFA. Entities listed as ineligible in Section 2.11 of the RFA are not eligible to apply for funding even if they have eligible programs. Multi-service nonprofit organizations that include both eligible and ineligible entities/ programs are eligible to apply for NICIP funding as long as the proposed project will primarily benefit a program that would be considered an eligible entity and not the ineligible programs.

We operate 2 Programs, a 4410 Preschool and a 853 School Aged Non Public school programs that are also Day Treatment programs funded by the NYS OMH. Because these programs operate in an integrated model, can we apply for an IT grant for customized software for the preschool, school aged or both Day Treatment programs ?

In order to be eligible for NICIP funding, project site(s) must be used to provide direct human services and comply with the eligibility requirements outlined in Sections 2.11 and 2.13 of the RFA. Entities listed as ineligible in Section 2.11 of the RFA are not eligible to apply for funding even if they have eligible programs. Multi-service nonprofit organizations that include both eligible and ineligible entities/ programs are eligible to apply for NICIP funding as long as the proposed project will primarily benefit a program that would be considered an eligible entity and not the ineligible program(s). The 853 school aged non public school program is ineligible.

What is an eligible program (not entity) vs. and ineligible program

In order to be eligible for NICIP funding, project site(s) must be used to provide direct human services and comply with the eligibility requirements outlined in Sections 2.11 and 2.13 of the RFA. Multi-service nonprofit organizations that include both eligible and ineligible entities/ programs are eligible to apply for NICIP funding as long as the proposed project will primarily benefit a program that would be considered an eligible entity.

We are interested in applying for capital funding through the Nonprofit Infrastructure Capital Investment Program. I am writing to inquire about our eligibility. The passage below, taken from information found at https://grantsgateway.ny.gov/IntelliGrants_NYSGG/module/nysgg/goportal.aspx?NavItem1=3, indicates that we need provide services through a State contract. The Nonprofit Infrastructure Capital Investment Program will make targeted investments throughout the State in capital projects that will improve or maintain the quality, efficiency, accessibility, and reach of nonprofit human services organizations that provide direct services to New Yorkers through State contracts, State payment rates, or State authorized payments which represent funding appropriated by the State and passed through to a local government which then provides that funding directly to the nonprofit organization. The only state contracts we have ever had are small, one-time Legislative Grants obtained by our NYS representatives. Could you please tell me if we would qualify for the Nonprofit Infrastructure Capital Investment Program?

More information is needed to make a determination. In order to be eligible to receive funding, an organization must demonstrate that it received funding from New York State to provide direct human services through a State contract, State-authorized payment, or State payment rate that began, ended or spanned the 2015-2016 State fiscal year or the 2016-2017 State fiscal year. See Section 2.11 of the RFA. All eligibility criteria set forth in the RFA must be satisfied.

Eligible Entities

We lease space in a facility that has various other not-for-profit direct serving agencies as tenants. Can we apply as a group with one agency as the lead applicant, but the grant will impact all of our direct service space?

No -- group applications are not permitted. See sections 2.18 and 2.19 of the RFA. Each nonprofit organizations may submit one application for a NICIP grant, and the Applicant must be able to show that it will be the primary beneficiary of funding.

If an application for the 2015 Nonprofit Infrastructure Capital Investment Program was submitted in December 2015, is a new application required for the 2016 RFA. The Grants Gateway is blocking access to the application stating "you have already applied for this opportunity". Will the 2015 application be rolled over to 2016?

No awards will be made under the prior RFA. Applicants who previously submitted an application in response to the prior RFA are encouraged to apply in response to this RFA by submitting a new application for either the same or a different project. To retrieve an application that has already been started: Please see: Grants Gateway Vendor User Guide at: <http://grantsreform.ny.gov/sites/default/files/nys-grants-gateway-vendor-user-guide-V2031615.pdf> (Section 6.3)

We lease direct service space in a building with various other non-for-profit tenants. The roof is in desperate need of repairs and has impacted our programs and services for our clients. It is a 3 story facility and we use the entire first floor for our direct service programs. Can we request funding to replace the entire roof? Repairing sections of the roof in the past has not worked to solve the issue of the roof leaking which is currently destroying the floors on the first floor.

No, it would appear that the example provided would be ineligible for a NICIP grant. See Section 2.18 of the RFA for requirements regarding the primary benefit to the Applicant.: "For example, if a nonprofit organization shares a building with other businesses or organizations, the nonprofit organization cannot apply to replace the roof of the entire building." The determination as to whether a project is eligible for NICIP funding is dependent upon the ultimate use of the facility and the extent to which it meets the criteria set forth in the RFA.

We lease space in a facility with other not-for-profit agencies. Can we apply for funding as a group (to repair direct service space we all use) and have one lead applicant?

No, see Section 2.19 of the RFA. Each Applicant may submit one application for a NICIP grant. See Section 2.18 of the RFA for requirements regarding the primary benefit to the Applicant. NICIP grant funding must be used for the primary benefit of the Applicant and the Applicant's eligible programs.

Is NYC Health + Hospitals eligible to apply as a system?

No.

Is there a list or database of the NYS contracts made to non-profits for direct human services?

No.

Eligible Entities

I was curious about NICIP program and I saw that eligible applicants were non-profits that provide direct human services within NYS. I also noticed though that applicants must also be current recipients of NYS contracts to provide these services. Is there a list or database of the NYS contracts made to non-profits for direct human services? I already looked into the New York State Office of General Services Procurement Services page and looked up the contracts listed there, but I could not find anything that related to direct human services. Please let me know if you could guide me in this matter, and thank you in advance for your assistance.

No.

Is an Aquarium an eligible applicant

No.

Can an umbrella organization apply on behalf of each affiliation associated with the umbrella organization?

No. Membership or Umbrella organizations that represent service providers but do not themselves provide direct services are ineligible to apply. Additionally, group applications are not permitted.

We have 6 years left on our current lease, with an option to renew for another 5 years. Will this fulfill the minimum requirement of a 7-year lease?

No. Options to renew in a lease do not qualify as part of an acceptable lease term for the purpose of demonstrating site control. See Section 2.15 of the RFA for site control requirements prior to entering into a Grant Disbursement Agreement (GDA)

We are a not-for-profit local governmental unit that operates a number of mental health program licensed by NYS OMH and NYS OASAS and funded via federal and state funds. Are we eligible to apply for the Nonprofit Infrastructure Capital Investment Program Grants Gateway # PBC01-NICIP-2016?

No. See section 2.11 of the RFA. Municipal corporations are not eligible for this grant opportunity.

Are hospitals eligible?

No. See Section 2.11 of the RFA. Hospitals are not eligible to apply.

Are non-profit hospitals eligible entities to apply?

No. See Section 2.11 of the RFA. Hospitals are not eligible to apply.

Are New York State nonprofit theater companies that provide discounted and free tickets to students, senior citizens and underserved New York State residents, as well as provide art services in schools and at senior centers throughout New York City eligible to apply?

No. See Section 2.11 of the RFA. Libraries, museums, theatres, parks, and gardens are not considered human services providing direct services for purposes of this grant and are not eligible to apply.

Eligible Entities

One of the requirements state we must submit “Documentation that the Applicant receives funding from New York State through State contracts, State payment rates, or State authorized payments which represent funding appropriated by the State and passed through to a local government which then provides that funding directly to the nonprofit organization for providing direct human services and a description of those services.” Our organization is new and an affiliate of a larger organization that does receive NYS funding. While we do not currently receive any NYS funding directly, would our affiliation with an organization that is a recipient of numerous NYS contracts, allow us to apply for this funding opportunity?

No. To be eligible for a NICIP grant, the Applicant must be able to demonstrate it receives funding from New York State to provide direct human services as those terms are defined in Section 2.11 of the RFA. Applicants must be able to demonstrate that any pass-through funding received from another government entity contains State funding. Funds received as pass-through from another nonprofit organization do not meet the definition of State funding.

We are recipients of a Capital Restructuring Financing Program grant. Does this disqualify us?

No. Under the RFA released on August 5, 2016, organizations that have received CRFP funding are not ineligible to apply for NICIP funding.

Who is eligible for this funding?

See Section 2.11 of the RFA.

We are applying for a construction grant for one of our low-income housing sites. This building is owned by an HDFO fully under the control of the main organization. Both entities are 501(c)(3), tax exempt organizations. The main organization provides management and social services at the site and receives city and state funding for this programming. Can the application be made by the main organization using this organization's financial information and experience?

See Section 2.11 of the RFA. An organization is eligible to apply if it meets the criteria outlined in the RFA. Please also see Section 2.19 of the RFA. An organization may submit one application for a NICIP grant. Based on the information provided, the organization that is providing the direct services and will benefit from the NICIP grant should apply if they meet all eligibility criteria outlined in the RFA and they only submit one application.

We applied for the original NICIP grant in January of 2016 and uploaded 17 files with state contracts, letters from the county identifying all state funds, provider agreements with the state, copies of payment receipts from the state, etc. For the new grant, do we need to include new contracts for 2016, new letters from the county with current levels of state funding, etc. or can we upload the documents provided in January's grant application?

See Section 2.11 of the RFA. In order to be eligible to receive funding, an organization must demonstrate that they received State funding for providing direct human services from New York State in for form of a State contract, State-authorized payment, or State payment rate that began, ended or spanned the 2015-2016 State fiscal year or the 2016-2017 State fiscal year. If the Applicant receives multiple forms of payment from the State or has multiple contracts, it would be helpful to include more than one example, but the Applicant does not need to provide an exhaustive list. At least one form of State payment, that meets the criteria specified in the RFA, must be verified. If the Applicant submits payment documentation that is outdated or that cannot be verified or does not meet the criteria specified in the RFA, the Applicant will not be eligible for funding.

Eligible Entities

For the nonprofit infrastructure grant an entity must currently receive funding from NY State...would an agency receiving HPNAP funds administered through a state contracted agency be considered eligible? or Would receiving FEMA funds make an agency eligible? or Would receiving USDA foods/grants?

See Section 2.11 of the RFA. In order to be eligible to receive funding, an organization must receive funding from New York State to provide direct human services through a State contract, State-authorized payment, or State payment rate as defined in the RFA. Funds received as pass-through from another nonprofit organization do not meet the definition of State funding. Applicants must be able to demonstrate how their funding originated from a State source. If the Applicant receives multiple forms of payment from the State or has multiple contracts, it would be helpful to include more than one example, but the Applicant does not need to provide an exhaustive list. At least one form of State payment, that meets the criteria specified in the RFA, must be verified. If the Applicant submits payment documentation that is outdated or that cannot be verified or does not meet the criteria specified in the RFA, the Applicant will not be eligible for funding.

In the original RFA, providers that were based in publicly owned buildings were not eligible to apply for NICIP funding. This shut out many high-quality nonprofit providers serving the community in spaces owned by entities like the New York City Housing Authority (NYCHA). In the revised RFA it appeared that these entities would be allowed to apply for technology projects; is this still the case in this RFA? What is the rationale in excluding these groups with site control from applying for physical site improvements?

See Section 2.14 of the RFA. Nonprofit human services providers located in publicly owned buildings are eligible to apply for technology projects as long as they meet all other Site Control requirements outlined in Section 2.15 of the RFA as well as all other eligibility requirements. Per Section 2.14 of the RFA, "Building or property maintenance or improvements, structural maintenance or improvements, or building systems maintenance or improvements in a publicly owned building" are ineligible to receive funding.

We have an Article 28 license as a community primary care provider but also are a comprehensive service provider of OASAS services, syringe exchange, nutrition, housing, care coordination, etc. with several locations. Are we eligible to apply ?

See Section 2.18 of the RFA. Organizations that operate more than one program must demonstrate how the Applicant's eligible programs, and not any of its ineligible programs, will receive the primary benefit of funds awarded through this grant.

We have three funded programs: CSBG, Weatherization and Early/Head Start. The revenue for all three programs are filed on our IRS form 990. Both CSBG and Weatherization are funded through New York State but Early/Head Start is directly paid to our agency and not through the state. May we use the revenue for all three programs? Or, as Early/Head Start funds come directly to us and not through the state, may we not include their funding in the determination of grant funding levels.

See Sections 1.30 and 2.11 of the RFA. Applicants must provide their annual revenue as reported on line 12 of their most recently filed IRS form 990 as included in their prequalification application.

Eligible Entities

Can the Non-profit entity use the funding to expand the OASAS Recovery Center it oversees to expand the space to hold Family support services that require separate group rooms for parents and their children, plus a space for them to come together as well?

See Sections 2.11 and 2.14 of the RFA. In order to be eligible for NICIP funding, renovations must be limited to locations where direct services are provided. Based on the information provided, it appears that your project would be eligible to benefit from NICIP funding. The determination as to whether an Applicant is eligible for NICIP funding is dependent upon the extent to which it meets the criteria set forth in the RFA.

As a regional food bank, we distribute food to our network of community-based food assistance organizations as well as providing food directly to clients through our own pantries and mobile assistance programs. We have administrated the NYSDOH Hunger Prevention Nutrition Assistance Program. Because we distribute food to other 501 c 3 organizations (our member network of pantries and soup kitchens) is this part of what we do excluded from benefiting from the NICIP funding? Are our direct service distribution programs only eligible to benefit?

See Sections 2.11 and 2.14 of the RFA. In order to be eligible for NICIP funding, renovations must be limited to locations where direct services are provided. The determination as to whether an Applicant is eligible for NICIP funding is dependent upon the extent to which it meets the criteria set forth in the RFA. Vehicles, unless the vehicle is used to provide direct service such as a mobile clinic or a mobile food pantry, are ineligible under the NICIP program (vehicles used for transportation only are ineligible).

This question is in reference to question 2 of Appendix 1 of the RFP. Our qualified 501(c)(3) nonprofit organization would like to request funding for a food service center renovation project. The food service center facility itself is not certified by a New York State agency, nor does it receive state funding, but it provides meals for our permanent supportive housing, adult home and shelter programs that are state-certified and/or state-funded. The food service center is an essential part of our state-funded and certified housing and shelter programs because it provides the only source of meals to clients in these programs. Is the food service center construction project eligible for this grant? If so, how should we determine which state agency would have oversight of the program, as there are multiple agencies overseeing and/or funding our housing and shelter programs?

See Sections 2.11 and 2.14 of the RFA. In order to be eligible for NICIP funding, renovations must be limited to locations where direct services are provided. The determination as to whether an Applicant is eligible for NICIP funding is dependent upon the extent to which it meets the criteria set forth in the RFA. If multiple agencies oversee and/or fund a program, please provide the name of the agency that licenses/certifies your organization (if applicable) or the agency that you feel has the largest oversight or funding role with your organization or you may also provide information for each agency.

Eligible Entities

we are a voluntary foster care agency that serves New York State. As such we contract with counties who receive money from the state and pay us the state payment rate. Therefore, we have contracts with over 50 counties for foster care, group home and residential services. Do we need to provide each of these contracts? As i recall, the last time we attempted to upload contracts (and leases and deeds) there was a limit in the Grants Gateway system. How can we satisfy this requirement in order to demonstrate the scope of our state-funded programming?

See Sections 2.11 and 2.31 of the RFA. Applicants must provide sufficient documentation to establish that they receive funding from New York State for direct human services through State contracts, State payment rates, or State authorized payments. It is not necessary to provide documentation for every form of State funding received. If the Applicant receives multiple forms of payment from the State or has multiple contracts, it would be helpful to include more than one example, but the Applicant does not need to provide an exhaustive list. At least one form of State payment, that meets the criteria specified in the RFA, must be verified. If the Applicant submits payment documentation that is outdated or that cannot be verified or does not meet the criteria specified in the RFA, the Applicant will not be eligible for funding.

How will applicants' responses to Yes/No questions 6 and 7 (in Appendix 1, just before the Pass/Fail questions) impact the funding decision, if at all? (This is regarding costs associated with the period of April 1, 2015 through March 31, 2016 vs. April 1, 2016 and going forward.) Can you offer context to help applicants understand why these yes/no questions are being asked (and why they are 'yes'/'no' vs asking for specific dollar allocations for each period?)

The enabling statutes require that no more than \$50 million in funding can be allocated for projects that began before April 1, 2016. Also, no project costs incurred prior to April 1, 2015 are eligible for funding.

According to the RFP, elementary schools are not eligible. Are preschools eligible?

The entity described (preschool) is not ineligible to apply. See Section 2.11 of the RFA. An Applicant would be eligible to apply for funding if it meets the requirements set forth in the enabling NICIP statute and the RFA. Please see Appendix 1 of the RFA for the information required to be submitted with the application, including documentation demonstrating that they currently receive funding for providing direct human services from New York State in the form of a State contract, State authorized payment, or State payment rate as further defined in Section 2.11 of the RFA. The determination as to whether an Applicant is eligible for NICIP funding is dependent upon the extent to which it meets the criteria set forth in the RFA including that renovations or expansions of space are limited to space used for direct services and that technology projects be limited to those that directly impact clients.

Is an Early Childhood Education (age birth through pre-k) and/or After-School program an eligible potential recipient?

The entity described is not ineligible to apply. See Section 2.11 of the RFA. An Applicant would be eligible to apply for funding if it meets the requirements set forth in the enabling NICIP statute and the RFA. Please see Appendix 1 of the RFA for the information required to be submitted with the application, including documentation demonstrating that they currently receive funding for providing direct human services from New York State in the form of a State contract, State authorized payment, or State payment rate as further defined in Section 2.11 of the RFA. The determination as to whether an Applicant is eligible for NICIP funding is dependent upon the extent to which it meets the criteria set forth in the RFA including that renovations or expansions of space are limited to space used for direct services and that technology projects be limited to those that directly impact clients.

Eligible Entities

Is a Infant & Toddler Child care Center an eligible Applicant for this Grant?

The entity described is not ineligible to apply. See Section 2.11 of the RFA. An Applicant would be eligible to apply for funding if it meets the requirements set forth in the enabling NICIP statute and the RFA. Please see Appendix 1 of the RFA for the information required to be submitted with the application, including documentation demonstrating that they currently receive funding for providing direct human services from New York State in the form of a State contract, State authorized payment, or State payment rate as further defined in Section 2.11 of the RFA. The determination as to whether an Applicant is eligible for NICIP funding is dependent upon the extent to which it meets the criteria set forth in the RFA including that renovations or expansions of space are limited to space used for direct services and that technology projects be limited to those that directly impact clients.

Are Licensed Home Care Services Agencies eligible to apply for this funding?

The entity described is not ineligible to apply. See Section 2.11 of the RFA. An Applicant would be eligible to apply for funding if it meets the requirements set forth in the enabling NICIP statute and the RFA. Please see Appendix 1 of the RFA for the information required to be submitted with the application, including documentation demonstrating that they currently receive funding for providing direct human services from New York State in the form of a State contract, State authorized payment, or State payment rate as further defined in Section 2.11 of the RFA. The determination as to whether an Applicant is eligible for NICIP funding is dependent upon the extent to which it meets the criteria set forth in the RFA including that renovations or expansions of space are limited to space used for direct services and that technology projects be limited to those that directly impact clients.

Are Certified Home Care Providers under Article 36 eligible to apply?

The entity described is not ineligible to apply. See Section 2.11 of the RFA. An Applicant would be eligible to apply for funding if it meets the requirements set forth in the enabling NICIP statute and the RFA. Please see Appendix 1 of the RFA for the information required to be submitted with the application, including documentation demonstrating that they currently receive funding for providing direct human services from New York State in the form of a State contract, State authorized payment, or State payment rate as further defined in Section 2.11 of the RFA. The determination as to whether an Applicant is eligible for NICIP funding is dependent upon the extent to which it meets the criteria set forth in the RFA including that renovations or expansions of space are limited to space used for direct services and that technology projects be limited to those that directly impact clients.

Is a not-for-profit organization (501c3) which provides preschool and afterschool services to children from low-income families eligible for this FRA?

The entity described is not ineligible to apply. See Section 2.11 of the RFA. An Applicant would be eligible to apply for funding if it meets the requirements set forth in the enabling NICIP statute and the RFA. Please see Appendix 1 of the RFA for the information required to be submitted with the application, including documentation demonstrating that they currently receive funding for providing direct human services from New York State in the form of a State contract, State authorized payment, or State payment rate as further defined in Section 2.11 of the RFA. The determination as to whether an Applicant is eligible for NICIP funding is dependent upon the extent to which it meets the criteria set forth in the RFA including that renovations or expansions of space are limited to space used for direct services and that technology projects be limited to those that directly impact clients.

Eligible Entities

We are a not-for-profit corporation that provides direct legal services to individuals and families in NYS. We also provide community education on topics related to immigration, housing and workers' rights legal issues. Do we qualify as a human services organization eligible to apply under this RFP?

The entity described is not ineligible to apply. See Section 2.11 of the RFA. An Applicant would be eligible to apply for funding if it meets the requirements set forth in the enabling NICIP statute and the RFA. Please see Appendix 1 of the RFA for the information required to be submitted with the application, including documentation demonstrating that they currently receive funding for providing direct human services from New York State in the form of a State contract, State authorized payment, or State payment rate as further defined in Section 2.11 of the RFA. The determination as to whether an Applicant is eligible for NICIP funding is dependent upon the extent to which it meets the criteria set forth in the RFA including that renovations or expansions of space are limited to space used for direct services and that technology projects be limited to those that directly impact clients.

In section 2.10, on page 8, the RFP states that "organizations whose primary function is volunteer recruitment and placement" are not eligible. Our primary function is to provide legal assistance to low-income New Yorkers. To accomplish our primary function, our staff provides direct service to clients, and also recruits, trains, and supervises volunteer lawyers. In many cases, our staff will work together with volunteer lawyers on matters, or will work on some matters for clients while volunteer lawyers work on different matters for the same client. Our primary function, however, is always to provide free legal assistance to low-income New Yorkers. Will the Dormitory Authority find us ineligible or decrease our overall score due to our effective use of volunteer lawyers?

The use of volunteers to assist in the provision of direct human services does not make an organization ineligible to receive NICIP funding. Organizations whose primary function is recruiting and placing volunteers with other organizations are ineligible to apply for funding. See Section 2.11 or the RFA.

Can a nonprofit that serves as the local workforce development board apply for the grant? Funding originates at the Federal level, but is appropriated to the local areas by the state and is awarded to the county as the grant recipient.

To be eligible for a NICIP grant, the Applicant must be able to demonstrate it receives funding from New York State to provide direct human services as those terms are defined in Section 2.11 of the RFA. Applicants must be able to demonstrate that any pass-through funding received from another government entity contains State funding. It may originate at the Federal level as long as the funding is then appropriated by New York State.

Our agency received HEAL NY funding in the past. Are we eligible for NICIP funding?

Under the RFA released on August 5, 2016, organizations that have received HEAL funding are eligible to apply for NICIP funding.

Providers who received HEAL funds we're not eligible to apply last year. Is this still the case for this year?

Under the RFA released on August 5, 2016, organizations that have received HEAL funding are eligible to apply for NICIP funding.

Evaluation Process

Assuming the evaluation process is related to the RFA itself, what is the criteria for successful submission.

An Applicant should thoroughly read the RFA, see Appendix 1 of the RFA for the application questions including required information, review the entire Questions & Answers document and review the webinar slides.

Are there differences in the evaluation process between the application in January and this application?

Applicants must read the RFA and appendices as no awards will be made under the NICIP RFA issued in December 2015. Applicants who previously submitted an application are encouraged to reapply by submitting a new application in response to the \$100 million RFA released on August 5, 2016. See sections 3.10 and 3.20 of the RFA for more information about the evaluation criteria and the evaluation process.

The NYS Grants Gateway indicates that the previous grant proposal we submitted for the Nonprofit Infrastructure Capital Investment Program (PBC01-NICIP-2015) is still under consideration. Is this the case or are all previously submitted applications no longer viable?

No awards will be made under the prior RFA. Applicants who previously submitted an application in response to the prior RFA are encouraged to apply in response to this RFA by submitting a new application for either the same or a different project.

Will preferred consideration be given to applicants that submitted a proposal during the first RFP round?

No.

Will there be another DASNY Applicant Webinar on Thursday, September 1, 2016, 1:00 – 3:00 p.m (due to the holiday weekend, it may be difficult for candidates to participate that day).

No. However, the webinar slides are available for review and have been posted in the Grants Gateway and on the DASNY website.

Given the provision of "no more than 40% of the funding will be allocated to any one region of the State", would further consideration be given to an IT proposal from an organization who provides services in multiple counties overlapping 3 Economic Development Regions if the region where it's headquarters is reaches the 40% but the other regions are considered underserved? All of the regions' clients would benefit from the proposal.

See Section 2.17 of the RFA. If an Applicant has locations in multiple regions throughout the State, the region assigned for purposes of this grant will coincide with the site location (if the project involves a single site) or the location of the Applicant's administrative headquarters (if the project involves sites in multiple regions).

Evaluation Process

An eligible applicant is constructing new program space to accommodate multiple NYS-funded culturally competent programs for an underserved population in one accessible location. The proposed capital project furthers the NYS Medicaid redesign goals of fostering integrated care while addressing social determinants of health and improving the financial viability of the safety net provider. The agency is applying to the SHCFTP for capital funding for the portion of the new building to be utilized by its existing licensed Article 31 clinic and program expansion to add co-located primary care services. The agency plans to apply to the NICIP RFA for the capital costs associated with new program space for two existing OPWDD program to be located in the same facility. Will either proposal be disadvantaged in scoring so long as there is no duplication in the budget request?

See Section 3.10 of the RFA for Evaluation Criteria. DASNY cannot speculate on the eligibility criteria of other funding sources. These costs may be included in the project if funded by other eligible sources of funds.

Financial Review

Regarding State contracts, State payment rates, and State authorized payments -- are there proportional targets, individual targets, or limits that are acceptable (or not) for this grant?

An applicant Organization must demonstrate that it receives funding from New York State to provide direct human services, but there are no established targets for the amount of State funding an applicant Organization must receive in order to be eligible.

I just want to clarify that we are not expected to submit an agency annual operating budget or audited financials for fiscal year 2016, ending 6/30/16.

This is not required as part of the application.

Grant Disbursement Agreement Process

How are the grants distributed in regard to specific number of grants?, as well as funding disbursement, how frequent are funds released?

See Section 1.30 of the RFA for the Grant Allocation Table, Available Funding and Funding Levels. The Grantee has the option to submit for reimbursement of eligible expenses incurred and paid or to be paid on invoice. See Section 5 of Appendix 3 (Grant Disbursement Agreement) pertaining to disbursements. Grant funds may not be used for advances, deposits, or downpayments. Payments are typically processed within 4-6 weeks after the requisition has been audited by DASNY.

How frequent will the reporting be? Will it include both narrative and financial reporting? Will we be asked to evaluate the effectiveness of the project after it is finished? How long after the conclusion of the project will the final report be due? Will the final report follow our timetable, if it is shorter than the maximum 3-year project duration?

Successful applicant Organizations will be asked to report periodically on the progress they are making; project completion; and whether or not they achieved the short-term and long-term benefits described in the application. It is expected that there will be brief narratives as well as financial reporting.

I am confused as to what to do with the Appendices. 1. For example, Appendix 3 Grant Disbursement Agreement – do we need to fill this out and attach it to the application in Grants Gateway? Or is this document just an example of what the contract will look like? The Grant Disbursement Agreement has sub-sections – should we fill those out as well? For example, the budget, opinion of legal counsel, payment requisition form, payment requisition cover letter.

The Grant Disbursement Agreement (GDA) as shown in Appendix 3 to the RFA, is an example of the contract that will be executed and provides the terms and conditions therein. The GDA is not part of the NICIP application process, and should not be completed at this time. See Section 4.20 of the RFA for prerequisites to the GDA. The Grantee Questionnaire (GQ) is a required exhibit to the DASNY Grant Disbursement Agreement. Therefore, successful Applicants will need to complete the GQ in the contract phase, not as part of the application process.

Grantee Questionnaire: Our Grants Gateway organization account is up to date, however I can't find any "Grantee Questionnaire" form in the organization document vault. Does this mean we have not filled out this form? If so, should we fill out this form and attach it to the grant application? Or should it be in the organizational document vault? It looks like a document that should be filled out electronically – how should I go about doing that?

The Grant Disbursement Agreement (GDA) as shown in Appendix 3 to the RFA, is an example of the contract that will be executed and provides the terms and conditions therein. The GDA is not part of the NICIP application process, and should not be completed at this time. See Section 4.20 of the RFA for prerequisites to the GDA. The Grantee Questionnaire (GQ) is a required exhibit to the DASNY Grant Disbursement Agreement. Therefore, successful Applicants will need to complete the GQ in the contract phase, not as part of the application process.

How long will it take to access funds? Will it be a reimbursement process or will funds be available as the contractors invoices are sent in?

The Grantee has the option to submit for reimbursement of eligible expenses incurred and paid or to be paid on invoice. See Section 5 of Appendix 3 (Grant Disbursement Agreement) pertaining to disbursements. Grant funds may not be used for advances, deposits, or downpayments. Payments are typically processed within 4-6 weeks after the requisition has been audited by DASNY.

Grant Disbursement Agreement Process

When does the funding have to be spent by

The project should be completed within the three year term of the Grant Disbursement Agreement (GDA). Per Section 10 of Appendix 3, DASNY, in its sole discretion, may extend the term of the Agreement upon receipt of sufficient justification from the Grantee.

The RFP states that award(s) will be announced by November, 2016 and Section Four of the RFP describes the prerequisites and process of the Grant Disbursement Agreement, but doesn't include any time frames for how long the process will take. Timelines for starting and completing work will depend in part on when funds become available. Does DASNY know when the start date of these contracts will be?

The start date would be when the Grant Disbursement Agreement is executed by all parties.

M/WBE

Since the nature of our project is that it can only be done by one vendor, does the entire project need to be done by an M/WBE/SDVOB?

An award recipient needs to demonstrate that it made a good faith effort to utilize an MWBE. If that is not feasible, the award recipient may request a waiver. Sometimes the sole vendor may be in a position to utilize an MWBE supplier, which should be documented.

If funded we will be seeking reimbursement for costs incurred and will likely be unable to meet the W/MBE requirements. Are we able to request a waiver?

If an award recipient is unable to demonstrate that it can meet the MWBE requirements at the time that the Grant Disbursement Agreement is to be executed, the award recipient may request a partial or total waiver. Documentation will be required to show that the award recipient attempted to utilize, in good faith, MBE or WBEs identified within its MWBE Utilization Plan during the performance of the project. If the project was completed without required MWBE participation, a request for a waiver will only be considered if pre-existing documentation demonstrates that the award recipient made a good faith effort to utilize MWBEs.

Again if the project is completed before this application and criteria were received, but falls within the eligible dates for funding, but does not meet the standard for M/WBE, is the project eligible for funding or must we prove that a certified vendor was unavailable?

If an award recipient is unable to demonstrate that it can meet the MWBE requirements at the time that the Grant Disbursement Agreement is to be executed, the award recipient may request a partial or total waiver. Documentation will be required to show that the award recipient attempted to utilize, in good faith, MBE or WBEs identified within its MWBE Utilization Plan during the performance of the project. If the project was completed without required MWBE participation, a request for a waiver will only be considered if pre-existing documentation demonstrates that the award recipient made a good faith effort to utilize MWBEs.

If an organization is in the middle of receiving their MWBE certification and anticipate having it by the time of the award can they answer that question affirmatively at the time of application?

In order to qualify as an MWBE for purposes of this Program, an entity would need to have received its certification prior to it beginning to undertake work on the project.

We are a large agency providing critical services to many vulnerable NY seniors, with a Management Information System (MIS) that is a patchwork and is in need of a major rewrite. Many lives depend on the MIS 24/7. By its very nature, the MIS rewrite requires one company to both design and integrate the new MIS in real time, which is a niche expertise. Prior to this RFP, we engaged in an extensive competitive bidding process and selected an experienced vendor that came in with the best bid. The vendor is not MBE, WBE or SDVOB, although it is an EEO employer with a very diverse staff. Could we qualify for a waiver, or do we need to begin looking for another vendor? If we are required to look for another vendor, given the short time frame, can the process of bidding the job out to vendors who qualify begin post-contract award?

More information is needed to make a determination. No documentation is required at the time of application. If an applicant is awarded a grant, the award recipient will need to document its good faith efforts to provide meaningful opportunities for participation by MWBEs as subcontractors and suppliers in the performance of the project being funded by the grant. In accordance with Section 4.70 of the RFA, an MWBE utilization plan will need to be submitted in conjunction with the execution of the Grant Disbursement Agreement, except as otherwise authorized by DASNY.

M/WBE

What information regarding M/WBE and SDVOB utilization needs to be included with application?

No documentation is required at the time of application. If an applicant is awarded a grant, the award recipient will need to document its good faith efforts to provide meaningful opportunities for participation by MWBEs as subcontractors and suppliers in the performance of the project being funded by the grant. In accordance with Section 4.70 of the RFA, an MWBE utilization plan will need to be submitted in conjunction with the execution of the Grant Disbursement Agreement, except as otherwise authorized by DASNY.

What sort of documentation must be included with the NICIP grant application to demonstrate good faith efforts to comply with MWBE participation goals?

No documentation is required at the time of application. If an applicant is awarded a grant, the award recipient will need to document its good faith efforts to provide meaningful opportunities for participation by MWBEs as subcontractors and suppliers in the performance of the project being funded by the grant. In accordance with Section 4.70 of the RFA, an MWBE utilization plan will need to be submitted in conjunction with the execution of the Grant Disbursement Agreement, except as otherwise authorized by DASNY.

Will consideration be given in the evaluation process to whether MWBE vendors have been already been selected and included in the project budget, or can the selection of MWBE vendors be made after grants have been awarded?

No documentation is required at the time of application. If an applicant is awarded a grant, the award recipient will need to document its good faith efforts to provide meaningful opportunities for participation by MWBEs as subcontractors and suppliers in the performance of the project being funded by the grant. In accordance with Section 4.70 of the RFA, an MWBE utilization plan will need to be submitted in conjunction with the execution of the Grant Disbursement Agreement, except as otherwise authorized by DASNY.

Can you clarify exactly what M/WBE forms are required for submission? May a request for waiver form be submitted?

No documentation is required at the time of application. If an applicant is awarded a grant, the award recipient will need to document its good faith efforts to provide meaningful opportunities for participation by MWBEs as subcontractors and suppliers in the performance of the project being funded by the grant. In accordance with Section 4.70 of the RFA, an MWBE utilization plan will need to be submitted in conjunction with the execution of the Grant Disbursement Agreement, except as otherwise authorized by DASNY.

What if your non-profit organization does not have a policy for this in place at the time the application is due-will you instantly be disqualified?

The non-profit organization will need to meet MWBE requirements at the time the project being financed with the grant funds is undertaken.

We understand that there is an 18% MBE, 12% WBE and 2% SDVOB requirement. Do we need to meet the exact goals for each group, as long as 32% of the total budget is awarded to a contractor who meets the profile of one of these groups?

There is some flexibility between the MBE and WBE requirements in that the percentages do not have to be exact so long as they total 30%. The 2% SDVOB requirement, however, is a separate independent goal that the grantee must strive to meet.

Primary Benefit to Applicant

On page 13 of the RFP, Section 2.18 indicates "Grant funding must be used for the primary benefit of the Applicant and the Applicant's eligible programs". On page 2 of Appendix 3, question 3b asks applicants to "describe how the applicant Organization's eligible program(s), and not any of its ineligible program(s), will receive the primary benefit from any funds awarded through this grant." While it is clear that the grant funds must inure to the benefit of the applicant Organization (and not to other organizations operating in the same facility), the RFP does not define what are considered "eligible" and "ineligible" programs within the applicant Organization, nor does it provide an explanation as to why a secondary level of review (i.e., programmatic eligibility) is required as a condition of funding. Please define "eligible" and "ineligible" programs within the applicant Organization, and explain why programmatic eligibility is relevant in determining funding eligibility.

In order to be eligible for NICIP funding, project site(s) must be used to provide direct human services and comply with the eligibility requirements outlined in Sections 2.11 and 2.13 of the RFA. Entities listed as ineligible in Section 2.11 of the RFA are not eligible to apply for funding even if they have eligible programs. Multi-service nonprofit organizations that include both eligible and ineligible entities/ programs are eligible to apply for NICIP funding as long as the proposed project will primarily benefit a program that would be considered an eligible entity and not the ineligible programs.

In Appendix 1, NICIP Application Questions, Question 3B on Page 2 asks applicants to: "describe how the applicant organization's eligible program (s), and not any of its ineligible program (s), will receive the primary benefit from any funds awarded through this grant." Can you clarify what would constitute an "ineligible program?" And would an ineligible program be permitted occasional use of the space benefiting from state funds, so long as the eligible programs receive the primary benefit?

In order to be eligible for NICIP funding, project site(s) must be used to provide direct human services and comply with the eligibility requirements outlined in Sections 2.11 and 2.13 of the RFA. Entities listed as ineligible in Section 2.11 of the RFA are not eligible to apply for funding even if they have eligible programs. Multi-service nonprofit organizations that include both eligible and ineligible entities/ programs are eligible to apply for NICIP funding as long as the proposed project will primarily benefit a program that would be considered an eligible entity and not the ineligible programs.

In the RFA, on page 15, under Required Information, we need to provide a description of how our eligible programs, and not any ineligible programs will receive the primary benefit from funds awarded. We have many programs (prevention, foster care, residential) that fall under child welfare programs. Can you explain what you mean by "eligible" vs. "ineligible" programs within the same organization?

In order to be eligible for NICIP funding, project site(s) must be used to provide direct human services and comply with the eligibility requirements outlined in Sections 2.11 and 2.13 of the RFA. Entities listed as ineligible in Section 2.11 of the RFA are not eligible to apply for funding even if they have eligible programs. Multi-service nonprofit organizations that include both eligible and ineligible entities/ programs are eligible to apply for NICIP funding as long as the proposed project will primarily benefit a program that would be considered an eligible entity and not the ineligible programs.

Primary Benefit to Applicant

We lease space and use multiple rooms for direct services. When our programs are not in operation other tenants may use some of the space. However, we have primary usage of the space and occupy the space about 75% of the time each week. Does this allow to apply for funding to fix the roof over this space?

More information is needed to make a determination. Roof replacement is not ineligible to be funded with a NICIP grant. However, the Applicant will still need to demonstrate how it otherwise meets all criteria set forth in the enabling NICIP statute and the RFA. See Section 2.18 of the RFA for requirements regarding the primary benefit to the Applicant.: "For example, if a nonprofit organization shares a building with other businesses or organizations, the nonprofit organization cannot apply to replace the roof of the entire building." The determination as to whether a project is eligible for NICIP funding is dependent upon the ultimate use of the facility and the extent to which it meets the criteria set forth in the RFA.

If a proposed technology project is collaborative among several organizations and results in a technology solution implemented by multiple partners, must the equipment/software be physically located at the applicant organization, or can an organization apply on behalf of the collaboration with the equipment/software located at the physical address of another of the collaborative partners?

No, group applications are not permitted. See sections 2.18 and 2.19 of the RFA. The equipment/software must be physically located at the Applicant organization, and the Applicant must demonstrate that it will be the primary beneficiary of funding.

We are a human services organization which conducts programs that provide direct services to individuals with disabilities at a six-story building that we own. These programs take place on the 2nd and 6th floors of our building, and we lease out the 3rd, 4th & 5th floors to other organizations. We want to replace the building's two elevators as well as the building's fire alarm and sprinkler systems, for our clients' access needs and for their safety. Would we, as the buildings' owner and as a provider of direct services, be considered having the primary benefit of this construction project and therefore be eligible for NICIP funding, even though tenants would indirectly benefit from these improvements as well?

No, in the situation you describe, you would not be considered to have the primary benefit of this project and this project would be ineligible for NICIP funding. See section 2.18 of the RFA for requirements regarding the primary benefit to the Applicant.

We lease space in a facility that includes other not-for-profit agencies. We primarily use the first floor for our direct services. The leaking roof has impacted our services and programs on the first floor (it is a 3-story building) to the point we have had to close sections during program hours due to flooded floors. Can we use this funding to replace the entire roof (the entire roof is over our entire direct service space)?

No, it would appear that the example provided would be ineligible for a NICIP grant. See Section 2.18 of the RFA for requirements regarding the primary benefit to the Applicant.: "For example, if a nonprofit organization shares a building with other businesses or organizations, the nonprofit organization cannot apply to replace the roof of the entire building." The determination as to whether a project is eligible for NICIP funding is dependent upon the ultimate use of the facility and the extent to which it meets the criteria set forth in the RFA.

Primary Benefit to Applicant

Narrative for #36 which says no response required. The last sentence of this paragraph says that it is one of the goals of NICIP to great the greatest possible impact on individuals and communities. Are you expressly referring to clients or do you want us to address the general impact on the surrounding community at large/neighborhood as well. If so which of the Project Impact questions that follow is most relevant to respond to the project's impact on the surrounding community at large.

Please carefully review each question to determine if responses should discuss the impact on clients specifically or if responses could discuss a more broad impact.

Project Budget

In the first round of NICIP, DASNY provided applicants with a PDF file of the budget forms to make it easier for us to develop our budgets prior to entry into Grants Gateway. Will a similar PDF for the budget be made available to us for the current round?

No PDF file of the budget forms will be provided. For instructions on how to complete the Capital Based Budget within the Grants Gateway, see appendix 5 in the RFA.

We operate residential and day programs. The RFA doesn't mention costs related to temporary displacement of clients due to renovations. Are these allowable costs to request funds for?

No, they are not eligible costs under this grant program.

Required Information, Questions 4d and 4e In the original October 15, 2015 RFA, applicants were encouraged to complete the entire project with DASNY funds. Does the same apply to this request? Will projects completed entirely with DASNY funds be favored over those funded by DASNY and other sources, as needed?

No. The project will be evaluated based on the application materials submitted as described in Section 3.20 of the RFA.

Can the project budget be based on an average of the price quotes obtained to date without selecting the specific vendors that will be used for each component of the project?

See Section 2.20 of the RFA for information regarding cost estimates. There are no prescribed number of estimates that must be obtained, and although "quotes from contractors" and "bids" are not specifically required, higher scores will be awarded to Applicants who have provided professional estimates or quotes to support their budget. The Applicant should provide compelling "narratives that explain how the Applicant arrived at the cost estimates" and how those cost estimates are reasonable.

Is there a required number of estimates that must be secured to determine anticipated expenses, or will NICIP accept an applicant's internal best practice for estimating these expenses?

See Section 2.20 of the RFA for information regarding cost estimates. There are no prescribed number of estimates that must be obtained, and although "quotes from contractors" and "bids" are not specifically required, higher scores will be awarded to Applicants who have provided professional estimates or quotes to support their budget. The Applicant should provide compelling "narratives that explain how the Applicant arrived at the cost estimates" and how those cost estimates are reasonable.

In Appendix 1 Question 5, applicants for technology grants are asked to break down how much is being requested in each subcategory: IT equipment—hardware, Equipment—customized software, and IT equipment—Licenses. On p. 14 of the RFA it says: Include additional lines as needed in the "Other" category to describe non-IT related costs not already specified." If we do have other costs that do not fit into these three categories, where would we put them in Q.5, or do we omit them?

The Applicant should use the "Other" category to capture these costs.

Regarding the total project budget and ongoing costs: If our project can be implemented in 18 months, but we will have regular, ongoing costs that we plan to fund ourselves, should we use a budget timeframe of 18 months and indicate only that portion of the ongoing costs that will be incurred during those 18 months?

The budget timeframe should be until the end of the project or when all of the capital costs are expected to be incurred.

Project Budget

Is there a prevailing wage requirement for construction/renovation projects?

The grant does not require that prevailing wage be paid. However, if the Grantee is otherwise obligated to pay prevailing wage, the Grant does not negate that requirement.

Is the labor prevailing wage or Davis-Bacon?

The grant does not require that prevailing wage be paid. However, if the Grantee is otherwise obligated to pay prevailing wage, the Grant does not negate that requirement.

We applied for the original NICIP grant in January of 2016 and secured professional bids for that grant. Do we need to get new bids for the new grant due in September of 2016 or can we use the original bids?

The project budget should be substantiated by a recent estimate (within one year), quotation or statement of probable cost from a qualified professional. For equipment purchases, DASNY would expect to see recent quotations (within one year) from vendors.

In response to questions 29 a, b, and c in Appendix 1, to what extent is it allowable/acceptable to include competitive bid information that was gathered just prior to last December's deadline for the prior RFP--the solicitation that resulted in no awards to any applicants. Do most/all capital estimates absolutely need to be updated from every possible vendor, or can an applicant use valid cost-data gathered late last year as a means of helping benchmark whether costs proposed are reasonable, fair, and objective? (We raise this question because some vendors may feel resistance in that they're being asked to continue providing repeated, very detailed cost estimates without any compensation or earned sense of trust that the funding agency, DASNY, will make award announcements in the timeframe promised.)

The project budget should be substantiated by a recent estimate (within one year), quotation or statement of probable cost from a qualified professional. For equipment purchases, we would expect to see recent quotations (within one year) from vendors.

For technology or construction projects, is the budget allowed to include line item(s) covering the hiring of consultants or subject matter experts pertinent to successful implementation and/or evaluation of the overall project?

Yes. However, whether or not a consultant would be an eligible expense would depend on the nature of the work. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

Project Timeline

When do you expect to announce the grant recipients?

Per the RFA, DASNY intends to announce the NICIP grant awards by November 1, 2016.

How much time do you need for processing the grant award paper work? Are there any required forms that need to be completed prior to the start of the projects?

Per the RFA, DASNY intends to announce the NICIP grant awards by November 1, 2016. See Section 4.20 of the RFA for prerequisites to the Grant Disbursement Agreement (contract).

Please clarify Item 1.30 on page 4 of the RFA about dates. There is language that appears to be from the last RFA referencing dates in 2015 and early 2016.

See Appendix 1 of the RFA for the Application questions. Questions 6 and 7 in the application are to establish when an Applicant's project has commenced. If an Applicant began to incur project costs after 4/1/15, but prior to 4/1/16, the answer to question 6 would be "Yes" while the answer to Question 7 will be "No". Conversely, if an Applicant's project is scheduled to begin in December 2016, the answer to question 6 would be "No" and the Answer to Question 7 would be "Yes".

When is the latest date the project can start and finish?

The project should be completed within the three year term of the Grant Disbursement Agreement (GDA). Per Section 10 of Appendix 3, DASNY, in its sole discretion, may extend the term of the Agreement upon receipt of sufficient justification from the Grantee.

For new construction, is there a time frame by which the project must be completed? It takes a while to go through the planning board and permitting process.

The project should be completed within the three year term of the Grant Disbursement Agreement (GDA). Per Section 10 of Appendix 3, DASNY, in its sole discretion, may extend the term of the Agreement upon receipt of sufficient justification from the Grantee.

Requisition of Funds

My organization submitted an application in January 2016. We've heard of no announcement of grant recipients. When will the grant announcements be made for the first round of NICIP applications?

No awards will be made under the prior RFA. Applicants who previously submitted an application in response to the prior RFA are encouraged to apply in response to this RFA by submitting a new application for either the same or a different project.

Will this funding be paid upfront or will it be reimbursed? Do we need to pay for the work and then be reimbursed by the State? If yes, what will be the expected turn around once you receive the bills? If no, and you do pay upfront what is the expected turn around to receive funds?

The Grantee has the option to submit for reimbursement of eligible expenses incurred and paid or to be paid on invoice. See Section 5 of Appendix 3 (Grant Disbursement Agreement) pertaining to disbursements. Grant funds may not be used for advances, deposits, or downpayments. Payments are typically processed within 4-6 weeks after the requisition has been audited by DASNY.

Are the funds being provided during the work, or as reimbursement after completion?

The Grantee has the option to submit for reimbursement of eligible expenses incurred and paid or to be paid on invoice. See Section 5 of Appendix 3 (Grant Disbursement Agreement) pertaining to disbursements. Grant funds may not be used for advances, deposits, or downpayments. Payments are typically processed within 4-6 weeks after the requisition has been audited by DASNY.

Is the funding in this grant paid up front or must we pay bills and then be reimbursed through this funding? If reimbursed, what will be the expected turn around to receive payment once bills are received by you from the applicant?

The Grantee has the option to submit for reimbursement of eligible expenses incurred and paid or to be paid on invoice. See Section 5 of Appendix 3 (Grant Disbursement Agreement) pertaining to disbursements. Grant funds may not be used for advances, deposits, or downpayments. Payments are typically processed within 4-6 weeks after the requisition has been audited by DASNY.

Is there a match for Financial Match for this RFA?

There is no financial match requirement for this program. However, the total project cost must be justified as explained in Section 2.20 of the RFA and all sources needed to complete the project must be included with the application materials.

Is this a bond-funded program? If so, what are the time limitations/prohibitions, if any, as to time-frames in which we could pay back bonds?

Yes, this is a State bond-funded program but NICIP funds are a grant that do not have to be repaid.

The RFP states eligible projects may not have begun by April 1, 2015. That was also the date designated in NICIP round 1 which we submitted in January 2016. Should we infer that no applications received funding in round 1?

Yes. No awards will be made under the prior RFA. Applicants who previously submitted an application in response to the prior RFA are encouraged to apply in response to this RFA by submitting a new application for either the same or a different project.

Site Control

If my organization does not have a lease lasting at least 7 years at a site, but is able to secure a letter of commitment that we will be able to renew the site's lease for at least a 7-year period, is this site eligible to receive funding?

A deed or lease is not required at time of application, but if awarded a grant, a deed or lease meeting the 7 year requirement must be produced prior to entering into a GDA.

What sort of documentation must be included with the NICIP grant application to demonstrate site control?

A deed or lease is not required at time of application, but if awarded a grant, a deed or lease must be produced prior to entering into a GDA.

We are currently in the process of purchasing the piece of property. Will signed purchase agreements qualify as evidence of site control? Deed will be in our possession at the time of grant disbursement.

A deed or lease is not required at time of application, but if awarded a grant, a deed or lease must be produced prior to entering into a GDA.

Can an applicant organization propose to renovate a facility that it does not currently own but that it will own by the time NICIP awards are expected to be made? Or must an organization own the site at the time of application submission in order for its project to be considered eligible?

An Applicant may apply for a NICIP grant to renovate a facility it does not currently own since a deed or lease is not required at time of application. However, if awarded a grant, a deed or lease must be produced prior to entering into a GDA. Please also note that the acquisition of the real property is an ineligible expense (see Section 2.13 and 2.14 of the RFA for eligible and ineligible costs).

We are a registered non-Profit with the Gate way, If we have Site Control of a building for community support / programs ?can we apply for the RFA?The building needs Renovation.

More information is needed to make a determination. See Sections 2.11 and 2.13 of the RFA. A Project would be eligible for funding if it meets the requirements set forth in the enabling NICIP statute and the RFA. Please see Appendix 1 of the RFA for the information required to be submitted with the application, including a narrative to clearly describe the benefits of the proposed NICIP Project and how it satisfies the criteria set forth in the RFA. The determination as to whether a project is eligible for NICIP funding is dependent upon the ultimate use of the facility and the extent to which it meets the criteria set forth in the RFA. Also see Section 2.15 of the RFA for site control requirements that would need to be met prior to entering the GDA.

We are building a web-based system that can be hosted in-house or on an Amazon server. Given the cost savings of outsourcing vs. in-house hosting, would we be allowed to host on the Amazon server?

No, it would appear that the example provided would be ineligible for a NICIP grant. Cloud based software cannot be funded by a NICIP grant. These costs may otherwise be included in the project if funded by other eligible sources of funds. See Sections 2.13, 2.14 & 2.20 of the RFA for eligible and ineligible costs and a general description of eligible software costs. Please be advised that software and licenses generally are not eligible for funding unless they are part of a new IT system with customized software. Even then, in certain instances, only partial funding may be available. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

Site Control

The Q&A from the FY16 RFP clarified that grant funds may not be used for either technology or construction projects within publicly owned buildings. This significantly limits opportunities to enhance capital infrastructure for many nonprofits. Does this clause still hold for the FY17 RFP? If so, is there a way this can be reconsidered so that nonprofits operating in buildings leased from government entities can address their capital needs and strengthen their capacity to deliver quality human services?

No, this clause has been modified. See Sections 2.13 & 2.14 of the RFA for eligible and ineligible costs. Building or property maintenance or improvements, structural maintenance or improvements, or building systems maintenance or improvements in a publicly owned building are ineligible. Technology, however, would be eligible.

Is site control required for an IT proposal to develop bring up a server infrastructure to utilize a secure hosted client information management system as all of the network equipment acquired will be moveable assets that are not tied to the multiple sites that will be accessing the hosted database system?

See Section 2.15 of the RFA for site control requirements. Yes, site control criteria must be met for each site. For grants to install or upgrade technology, Applicants must either own the real property where the technology equipment will be located, or have entered into a lease with a term extending at least three years from the date of application.

Our lease will be up for renewal on November 1, 2023, approximately seven years and one month after the September 29th, 2016 application deadline. Do we have the site control required to be eligible for this grant? Could the fact that our lease renewal date is only a month past the seven year requirement affect our overall score?

See Section 2.15 of the RFA. NICIP For a construction project on real property owned by the nonprofit organization or on leased property when the term of the nonprofit organization's lease extends at least 7 years from the date of application and landlord approval has been secured for the capital improvements

Our nonprofit has constructed two centers on publicly owned land that is leased to us for periods of 50 years. Given that our nonprofit has long-term control of the buildings for the next 40+ years, are we eligible to apply?

See Sections 2.13 & 2.14 of the RFA for eligible and ineligible costs. Building or property maintenance or improvements, structural maintenance or improvements, or building systems maintenance or improvements in a publicly owned building are ineligible.

Several of my organization's supportive residences are currently leased from DASNY for an undefined period of time with the expectation that complete ownership will eventually be transferred to my organization. Though these leases are not 7 years, but will result in eventual ownership by my organization, are these sites eligible for funding?

See Sections 2.13 & 2.14 of the RFA for eligible and ineligible costs. Building or property maintenance or improvements, structural maintenance or improvements, or building systems maintenance or improvements in a publicly owned building are ineligible. Technology, however, would be eligible.

Site Control

Required Information, Question 3a. Our organization owns the land on which the project will take place. Per pg. 12, section 2.15 (site control) of the RFA, site control is required the prove applicants have sufficient authorization and control to undertake the project, however a copy of the deed is NOT required during at the time of application. Please confirm that this is correct. In the original October 15, 2015 RFA, site control and the submission of a deed or lease was of utmost importance.

That is correct. A deed or lease is not required at time of application, but if awarded a grant, a deed or lease must be produced prior to entering into a GDA.

If we are applying for a technology grant and our lease expires three years to the day from the due date of the application, and if our project will take far less than the 3 year maximum time frame, will our application still be eligible if the deadline on this RFP is extended for any reason?

Yes. Per section 2.15 of the RFA, the lease term must extend at least 3 years from the date of application.

What if the Applicant operates and provides services at a location for which a related entity such as a housing development corporation with a common Board of Directors holds the title, would this meet the requirement for sufficient authorization and control?

Yes. See Section 2.15 of the RFA for site control requirements. A deed or lease is not required at time of application, but if awarded a grant, a deed or lease must be produced prior to entering into a GDA.

If project is at a confidential location, can we use a separate address to help maintain that confidentiality?

Yes. The Applicant should state that the address is confidential in the application materials. However, the appropriate region should be selected where the project is located, or if the project is located in multiple regions, the region where the administrative headquarters is located. If the Applicant is awarded a grant, a deed or lease must be produced prior to entering into a Grant Disbursement Agreement (GDA) to satisfy the site control requirements set forth in Section 2.15 of the RFA.



Nonprofit Infrastructure Capital Investment Program (NICIP)

Applicant Webinar

September 1, 2016

Greetings

We would like to welcome potential Applicants to this webinar in connection with the NICIP Request for Applications (RFA) released on August 5, 2016. Here is a brief outline of the topics that will be addressed today:

- Overview of Program
- Summary of Questions Received via Survey Link
- Areas of Clarification Based on Questions Received
- Guidelines for Submitting a Complete Application
- Prerequisites to Grant Disbursement Agreement (GDA)

PROGRAM OVERVIEW

The Nonprofit Infrastructure Capital Investment Program

Background

The Nonprofit Infrastructure Capital Investment Program (NICIP) was created to provide capital funding to nonprofit human services organizations that provide direct services on behalf of the State. A total of \$100 million will be awarded for NICIP through this grant opportunity.

Purpose

The purpose of the grant is to make targeted investments in capital projects that will improve the QUALITY, EFFICIENCY, ACCESSIBILITY, AND REACH of nonprofit human services organizations.

The Nonprofit Infrastructure Capital Investment Program

Available Funding

A total of \$100 million is available for NICIP.

- No awards will be made under the NICIP RFA issued in December 2015.
- Applicants who previously submitted an application are encouraged to reapply by submitting a new application in response to the \$100 million RFA released on August 5, 2016.

Unique Opportunity

- Available to a large portion of the nonprofit human services sector.
- Provides funding for a broad range of Applicant-directed projects.
- Involves multiple State agencies.

Opportunity Posting

Grant Opportunity Portal

<https://grantsgateway.ny.gov>

Search for a keyword such as “nonprofit” (this is to find the RFA, not to start an application; there is no option to search for the ID in the Portal, only by name).

Dormitory Authority of the State of New York (DASNY) Website

<http://www.dasny.org/RFP-BidOpportunities-Solicitations/Details.aspx?id=578a9f69-355f-45ad-bb0e-a7803aca0fef>

Disclaimer

This Applicant webinar is for informational purposes only. The information provided is intended to provide general guidance with respect to the application process and NICIP program, and should not be construed as final approval or disapproval of any particular project or project costs.

Potential Applicants must read the RFA to determine if a project would be eligible for funding and if it meets the requirements set forth in the enabling NICIP statute. If you feel the proposed project satisfies the criteria set forth in the RFA, please include justification in your application materials.

Often, the determination as to eligibility is fact specific and is made on a case by case basis. Applicants are encouraged to provide a robust description of the project that will be funded by the NICIP grant, as well as how the project is consistent with the NICIP enabling legislation and the RFA.

Technical Inquiries

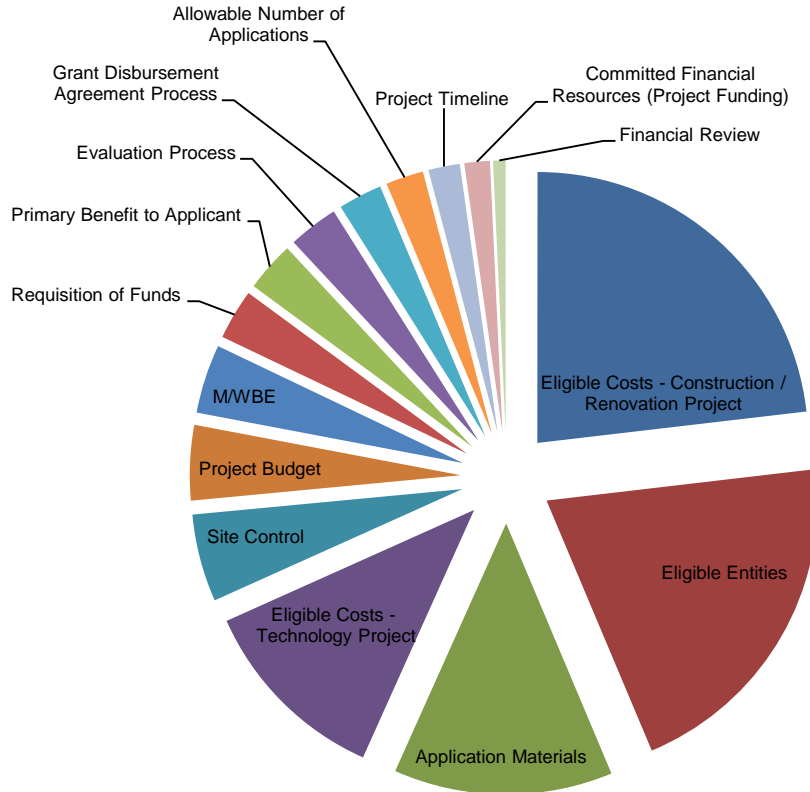
There are several NICIP specific webinars available for Applicants. Technical webinars will focus on the Grants Gateway, such as login / password, prequalification status, application entry, completing online forms or uploading documentation.

- Webinar dates and times:
 - ✓ Thursday, September 8, 2016 1:30 pm
 - ✓ Thursday, September 15, 2016 1:30 pm
 - ✓ Thursday, September 22, 2016 1:30 pm

All training opportunities and details (including how to access webinars) can be found on the Grants Gateway Training Calendar: <http://grantsreform.ny.gov/training-calendar>. Any technical questions regarding the Grants Gateway and Prequalification should be directed to the Grants Reform Team at: grantsreform@its.ny.gov. The Grants Reform help desk/hotline can be reached at (518) 474-5595.

SUMMARY OF QUESTIONS

Questions Received by Survey Category



- ✓ Based on the categories identified by potential Applicants, the majority of questions received relate to a potential Applicant's eligibility and eligible costs regarding both construction and technology projects. We will try to address the areas of most concern in the following sections of the presentation.
- ✓ Note: The areas of clarification are not intended to replace the RFA or to be exhaustive, rather they are clarifying areas where there were questions.

AREAS OF CLARIFICATION

Eligibility

This is not an exhaustive list. Please read the RFA and carefully review [Section 2.11](#) for more details about eligible entities.

Eligible Entities:

- ✓ HEAL
- ✓ Nonprofit organizations whose advocacy is limited to a form of direct client service (i.e. legal aid, disability advocacy) and otherwise meet eligibility criteria are eligible to apply.

Ineligible Entities:

- ✓ Aquariums
- ✓ Theaters
- ✓ Membership or Umbrella organizations that represent service providers but do not themselves provide direct services are ineligible to apply.
- ✓ Elementary and Secondary Schools
- ✓ Article 28 Facilities

Eligibility

State Funding

- Applicants must provide sufficient documentation to establish that they receive funding from New York State for direct human services through State contracts, State payment rates, or State authorized payments (see Section 2.11 of the RFA). It is not necessary to provide documentation for every State dollar that you receive.
- A program that is funded by New York State should be a beneficiary of NICIP funding, however the NICIP grant may benefit other eligible programs provided by the Applicant at the same location.

Example:

- If an organization receives State funding for their needle exchange program but not their HIV counseling/testing program, they are eligible to apply for funding for a project that will benefit both programs.

Eligibility

Eligible Program vs. Eligible Entity

In order to be eligible for NICIP funding, project site(s) must be used to provide direct human services and comply with the eligibility requirements outlined in Sections 2.11 and 2.13 of the RFA. Multi-service nonprofit organizations that include both eligible and ineligible entities/programs are eligible to apply for NICIP funding as long as the proposed project will primarily benefit a program that would be considered an eligible entity.

Example:

- A hospital (ineligible entity) cannot apply for funding for any of its programs or services.
- An organization that provides direct services to foster children (eligible entity) and both provides residential services for the children (eligible program) and operates a school (ineligible program) can apply for funding to repair residences but not the school.

Primary Benefit to Applicant/ Multiple Projects/Single Project

- ✓ Grant funding must be used for the primary benefit of the Applicant and the Applicant's eligible programs.
- ✓ Nonprofit organizations may submit one application for a NICIP grant and that application must be for either construction or technology. However, one application can cover a single-purpose or multi-purpose project at a single site or a single-purpose project at multiple sites.
- ✓ An Applicant must be able to demonstrate in the application how a project is serving a single purpose at multiple sites, but an individual determination will need to be made based on the information provided. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.

Construction / Renovation Costs

Eligible Costs:

- ✓ New construction is not ineligible to be funded with a NICIP grant, however, the Applicant will still need to demonstrate how it otherwise meets all criteria set forth in the enabling NICIP statute and the RFA including that it is a renovation or expansion of space used for direct program services.

Ineligible Costs:

- ✓ Building or property maintenance or improvements, structural maintenance or improvements, or building systems maintenance or improvements in **publicly owned buildings**.
- ✓ Acquisition of real property.

Technology Costs

Eligible Costs:

- ✓ Security systems as a stand alone project may be funded as a technology project.
- ✓ Whether or not a consultant would be an eligible expense would depend on the nature of the work. Please be aware that the determination as to eligible and ineligible costs is a fact specific determination.
- ✓ Technology projects within **publicly owned buildings**.

Ineligible Costs:

- ✓ Cloud based software cannot be funded by a NICIP grant. These costs may otherwise be included in the project if funded by other eligible sources of funds.
- ✓ Lease payments or paying down existing debt incurred to finance the purchase of equipment.
- ✓ Internal labor or personnel costs.

Technology Costs

Eligible Costs:

- ✓ “Train the trainer” on specialized equipment or software applications. That is, the Grant funds may be used to pay the costs incurred to train one person within the Applicant organization who will be responsible to train the other users.

Ineligible Costs:

- ✓ If training expenses are incurred to train groups of users, or to train users on general use software, then these costs are operational in nature and may not be reimbursed with Grant proceeds.
- ✓ Purchase of a maintenance plan, service agreement or extended warranty. Such costs would be considered working capital, or operating costs, as opposed to a capital cost. Grant funds may not be used to pay for service agreements or extended warranties unless they were required by the terms of the contract with the vendor to be purchased at the time of equipment purchase and are reflected as such on the equipment invoice.

Grant Allocation Table

CATEGORY	CATEGORY ALLOCATION	LEVELS OF NONPROFIT SIZE (based on annual revenue reported in the most recently filed IRS form 990)	GRANT FUNDING LEVEL	MAXIMUM TOTAL FUNDING PER GRANT FUNDING LEVEL
Construction	\$75 million	Level C1: \$100,000 - \$2 million	\$50,000 - \$250,000	\$14M
		Level C2: More than \$2 million - \$5 million	\$100,000 - \$500,000	\$17M
		Level C3: More than \$5 million - \$17.5 million	\$150,000 - \$1 million	\$21M
		Level C4: More than \$17.5 million	\$150,000 - \$1 million	\$23M
Technology	\$15 million	Level T1: \$100,000 - \$2 million	\$50,000 - \$100,000	\$3M
		Level T2: More than \$2 million - \$5 million	\$50,000 - \$250,000	\$3M
		Level T3: More than \$5 million - \$17.5 million	\$100,000 - \$1 million	\$4M
		Level T4: More than \$17.5 million	\$100,000 - \$1 million	\$5M
Base Pool	\$10 million	Level 1: \$100,000 - \$2 million	Depends on type of project (same as above)	\$10M
		Level 2: More than \$2 million - \$5 million		
		Level 3: More than \$5 million - \$17.5 million		
		Level 4: More than \$17.5 million		

The amount of funding to be awarded to each Applicant is dependent upon the Applicant's annual revenue, as reported on line 12 of its most recently filed IRS form 990 as included in its prequalification application (**see Section 2.11 for additional information**), and the type of project proposed. **ONLY ONE TYPE OF PROJECT MAY BE PROPOSED; EITHER CONSTRUCTION OR TECHNOLOGY – NOT BOTH.** Applicants that request funding outside of the allowable range or applications for which both categories of funding are chosen will be disqualified. Grants will range in size from a minimum of \$50,000 for the smaller nonprofit human services organizations to a maximum of \$1 million for the larger nonprofit human services organizations.

Grant Allocation Table – Base Pool

Pursuant to Section 1.30 of the RFA, once the highest scoring applications at each Grant Funding Level have been awarded (without exceeding the Maximum Total Funding for that Grant Funding Level) any residual funds remaining at each Grant Funding Level shall be added to the Base Pool and used to make additional NICIP awards (the “Base Pool”). Grants from the Base Pool shall be awarded to those applications receiving the next highest scores across all Grant Funding Levels; provided, however, a grant may be awarded to an Applicant from an underrepresented geographic region so long as the Applicant achieves a minimum average score of 70 out of 100, in order to ensure regional diversity across the State.

Grant Allocation Table – Base Pool Example

CATEGORY	CATEGORY ALLOCATION	LEVELS OF NONPROFIT SIZE (based on annual revenue reported in the most recently filed IRS form 990)	GRANT FUNDING LEVEL	MAXIMUM TOTAL FUNDING PER GRANT FUNDING LEVEL
Construction	\$75 million	Level C1: \$100,000 - \$2 million	\$50,000 - \$250,000	\$14M
		Level C2: More than \$2 million - \$5 million	\$100,000 - \$500,000	\$17M
		Level C3: More than \$5 million - \$17.5 million	\$150,000 - \$1 million	\$21M
		Level C4: More than \$17.5 million	\$150,000 - \$1 million	\$23M
Technology	\$15 million	Level T1: \$100,000 - \$2 million	\$50,000 - \$100,000	\$3M
		Level T2: More than \$2 million - \$5 million	\$50,000 - \$250,000	\$3M
		Level T3: More than \$5 million - \$17.5 million	\$100,000 - \$1 million	\$4M
		Level T4: More than \$17.5 million	\$100,000 - \$1 million	\$5M
Base Pool	\$10 million	Level 1: \$100,000 - \$2 million	Depends on type of project (same as above)	\$10M
		Level 2: More than \$2 million - \$5 million		
		Level 3: More than \$5 million - \$17.5 million		
		Level 4: More than \$17.5 million		

An Applicant organization (AO) applies for a technology grant in the T1 category and receives a score of 81. If other Applicants within the same level (T1) receive higher scores that fully subscribe the maximum funding (\$3M), then AO will not be funded through the T1 category. Since AO received a score above 70, they would be eligible for funding from the base pool. AO would receive a grant from the base pool so long as the \$10M (plus any residual funds) is not fully subscribed to other Applicants receiving higher scores across all funding levels.

GUIDELINES FOR SUBMITTING A COMPLETE APPLICATION

- ✓ The NICIP application must be completed and submitted in the Grants Gateway. Applicants are strongly encouraged to submit their applications at least 48 hours prior to the due date and time. This will allow sufficient opportunity for the Applicant to obtain assistance and take corrective action should there be a technical issue with the submission process.
- ✓ Any technical questions regarding the Grants Gateway and Prequalification should be directed to the Grants Reform Team at: grantsreform@its.ny.gov. The Grants Reform help desk/hotline can be reached at (518) 474-5595.
- ✓ 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 RFA due date and time may not be considered. Applicants should not assume that their Prequalification information will be reviewed if they do not adhere to this timeframe.

- ✓ Carefully read the RFA and Questions and Answers.
- ✓ An Applicant organization **may not** apply for both a construction and technology grant.
- ✓ Be certain that the amount of NICIP funds requested is within the allowable range of the Grant Allocation table as described in Section 1.30 of the RFA.
- ✓ Provide a response to each question individually. The Application will be evaluated based on the responses provided for each question.
- ✓ Certain questions within the application require a document upload. Please carefully follow directions on where to upload each document. Also, please organize each upload in a manner that evaluators may find the information easily. Referencing a page number in the question or providing a cover page to the uploads are helpful.

PREREQUISITES TO GRANT DISBURSEMENT AGREEMENT (GDA)

- DASNY will forward a GDA to the Grantee upon successful completion of the following reviews as described in Section 4.20 of the RFA:
 - ✓ Financial Review
 - ✓ Compliance with the State Environmental Quality Review Act
 - ✓ Site Control
 - ✓ Bond and Tax Counsel Review
 - ✓ Due Diligence Review
- The GDA expires 3 years after execution. The project should be completed by then.

Financial Review

- Upon award of the NICIP Grant, DASNY will undertake a financial review of the project to be funded by Grant proceeds. The financial review ensures that State funding will be utilized on its own, or in conjunction with other funding sources to finance a fully functional capital project. As set forth in Section 2.20 of the RFA, the full project amount must be secured. Below you will find guidelines for preparing information in connection with the Project Description section of the application:

✓ PROJECT BUDGET

- a. DASNY may require an updated budget prior to entering into a Grant Disbursement Agreement or other supporting documentation. If so, an established project budget with attachments justifying how the budget was developed. The budget should be substantiated by including a **recent** estimate (within one year), quotation or statement of probable cost from a qualified professional. For equipment purchases, we would expect to see **recent** quotations (within one year) from vendors.

Financial Review

- b. If the project has commenced, you may provide awarded bids or contracts, AIA documents, or other pertinent documentation that establishes the budget. Please provide a summary document outlining the components of the budget.

If Grant funds will be utilized for a phase of an overall project – the phase must be a standalone project with a recognized capital asset upon completion.

Grant funds cannot be utilized to pay for internal labor, personnel costs, stockpiled materials, rental equipment or use of equipment owned by the Grantee.

Financial Review

- **PROJECT FUNDING SOURCES**

If other sources of funding will be utilized to fully fund the project, the Applicant must provide evidence that all funding sources have been secured, committed and available to complete the project.

If the project will be funded by the following, we would expect to see:

- ✓ **Grantee Equity**– We would expect to see a letter from the Grantee's Financial Officer committing the funds necessary to complete the project. The letter should be accompanied by a bank statement or recently audited financial statements specifically lining out the accounts that will fund the project.
- ✓ **Adopted Budget**– If any portion of the project will be funded by a line item from an adopted budget, a letter from the Grantee's Financial Officer along with an adopted board resolution must be provided. The resolution should commit the funds necessary to complete the project and identify the source of such funds.

Financial Review

- ✓ **Bonds** – Grant funds may not be used to reimburse project costs initially paid from bond proceeds. Therefore, the amount of bonds issued for this project cannot equal the total project budget. There must be a gap of non-bonded project funding at least equal to the Grant. We would expect to see a letter from the Grantee's Financial Officer confirming that Grant proceeds will not be used to reimburse any costs financed by bonds. The allocation of bond proceeds applicable to the project should also be included (i.e. sources and uses from Official Statement, or account balances).
- ✓ **Capital Campaign / Fundraising / Donations** –Please show the amount that has been committed to date and the amount that has been received in the Grantee's accounts. You may only show the amount received to date as committed to the project and you must demonstrate how the gap will be bridged until such time all monies are received.

Financial Review

- ✓ **Other Grants** – If the project will be funded by other Grants, we would like to see the executed agreement or contract. If the agreement or contract has not yet been executed, please provide an explanation regarding timing of execution and submit any award letters or indicia of Grant awards.
- ✓ **Loans / Line of Credit** – Short term loans (2 years or less) or lines of credit incurred to pay project costs until Grant funds become available may be paid off with Grant proceeds. The purpose of such loan should be clearly stated. Please provide the executed loan documents if available. If the loan has not closed yet, please provide the executed commitment letter along with an estimated timeline for satisfying any conditions to closing. Long term loans **may not** be paid off with Grant proceeds.

Financial Review

- **COMPLETED PROJECT**
- ✓ If the Project has been completed, you must provide an accounting of sources and uses for the Project.

State Environmental Quality Review Act (SEQRA)

- DASNY Office of Environmental Affairs will review each NICIP project in accordance with SEQRA. The nonprofit organization may be asked to complete certain forms and return them to DASNY. Please do so promptly, as delays in returning these forms will delay the process and, ultimately, the disbursement of Grant funds.
 - ✓ For those projects requiring an environmental review pursuant to SEQRA, provide either the Findings Statement or the Negative Declaration prepared by the SEQRA Lead Agency in connection with the project.
 - ✓ If no SEQRA review has been undertaken in connection with a construction project that is currently underway or has not started, DASNY will undertake the necessary review if a NICIP grant is awarded to the Applicant.
 - ✓ If applicable, please provide evidence of completion if a ULURP review or Section 14.09 of the Historic Preservation Act review was completed in connection with the NICIP project.

Site Control

- Site control is required to prove that the Applicant has sufficient authorization and control to undertake the project at the project location. In order to determine that the Applicant owns, leases, or otherwise has control over the site or sites where the project will be located, Applicants must provide a copy of the deed or lease for the site to be improved with the Grant funds or the site where technology purchased with Grant funds will be located. The Applicant must be able to demonstrate site control of all properties included in an application. If an application includes multiple leased properties, the Applicant must show that the terms for all leases are in accordance with the provisions set forth in Section 2.15 of the RFA. Please note that, a deed or lease is not required at time of application, but if awarded a grant, a deed or lease must be produced **prior to entering into a GDA**.
- Options to renew in a lease do not qualify as part of an acceptable lease term for the purpose of demonstrating site control.

Site Control

- Construction / Renovation Projects
 - ✓ The real property may be owned by the nonprofit organization or on leased property when the term of the nonprofit organization's lease extends at least 7 years from the date of application and landlord approval has been secured for the capital improvements.
- Technology Projects
 - ✓ The real property where the technology equipment will be located must be owned by the nonprofit organization, or the nonprofit organization must have entered into a lease with a term extending at least 3 years from the date of application. The useful life of these technology projects should be at least 3 years.

Bond and Tax Counsel Review

- As the issuer of the bonds, DASNY must take great care to ensure that it is in compliance with all applicable Federal and State laws, including tax laws and regulations promulgated by the Securities and Exchange Commission. Therefore, DASNY relies on its bond and tax counsel to review each grant to determine whether it may be funded under the relevant statute and in accordance with relevant tax laws.
- In addition, DASNY will rely on counsel's determination of eligible and ineligible costs pursuant to each project.

Closing

Thank you for participating in today's webinar. We hope that we sufficiently addressed the areas of most concern and also guided you through what is expected in the application and contract phase of this opportunity.

Reminder: Answers to questions of a substantive nature submitted via the survey tool will be posted to the DASNY website (www.dasny.org) by **September 16, 2016** and also can be found in the Grant Opportunity Profile for this Grant Opportunity on the Grants Gateway Portal.