



GUIDELINES AND APPLICATION INSTRUCTIONS

New York State
Department of Environmental Conservation
Hudson River Estuary Program

*Round 40
2023 Hudson River Estuary Grants
for
Local Stewardship Planning*

*NYS Grants Gateway Application ID No.:
DEC01-HRE40-2023*

Application Due Date: (3:00 P.M. EST, July 12, 2023)

Table of Contents

Contents

Table of Contents.....	1
Introduction	3
Timetable of Key Events.....	3
Applicant Eligibility.....	3
Grant Opportunity General Information and Conditions	4
1. Funding	4
2. Proposed Project Timeframes	4
3. Minimum and Maximum Award Amounts	4
4. Application Limit/Award limit.....	4
5. Eligible Project Locations.....	4
6. Match Requirement and Expenditures.....	4
7. New for this Grant Round.....	5
8. Inquiries & Designated Contact Information	5
9. Department of Environmental Conservation Oversight.....	5
10. Application Submission	5
Applicant Prequalification	6
1. Register for the Grants Gateway.....	6
2. Complete your Prequalification Application	6
3. Submit Your Prequalification Application	7
Grant Application Requirements and Conditions	8
1. Project Objectives	8
2. Minimum Eligibility (Pass/Fail criteria)	9
3. Project Types (Program Question 3)	9
4. Project Objective and Conservation Impact (Program Question 5)	16
5. <i>Action Agenda</i> Measures of Success (Program Question 7)	16
6. Project Timeline (Program Question 8)	16
7. Applicant Partners (Program Question 10)	16
8. Key Stakeholder Engagement (Program Question 11)	17
9. Engagement of Hudson River Estuary Staff (Program Question 13)	17
10. Implementation Commitment (Program Question 15)	17
11. Knowledge, Skills and Experience (Qualifications) (Program Question 16)	18

12.	Project Cost Effectiveness (Program Question 17)	18
13.	Points for Minimum Standards for Key Stakeholder Support, Qualifications, Implementation Commitment, and Cost Effectiveness (Program Questions 11, 15, 16, 17)	18
14.	Statewide Priority (Program Questions 18-20).....	18
15.	Additional Points	19
16.	Expenditure Based Budget	20
17.	Work Plan.....	20
18.	Quality Assurance.....	20
19.	Pre-Submission Upload: Sexual Harassment Prevention Certification.....	21
20.	Pre-Submission Upload: Executive Order 16	21
21.	Historic Preservation Review Requirements (if applicable to your project).....	22
Application Evaluation, Scoring and Selection		23
Grant Program Payment.....		25
Eligible and Ineligible Expenditures		25
Eligible Project Expenditures		25
Ineligible Project Expenditures		25
Match Requirement and Expenditures		26
Eligible Forms of Match		26
Ineligible Forms of Match		27
Grant Program Reporting.....		27
What to Expect If You Receive an Award.....		27
1.	Notification of Award	27
2.	State of New York Master Contract for Grants (MCG)	28
3.	Applicants (referred to as “Contractor” following award of Grant Contract) Should Be Prepared to Comply With the Following MCG Requirements:.....	28
Appendix I: Map of Eligible Project Locations.....		33
Appendix II: Budget and Work Plan Guidance		34
Appendix III: Application Evaluation and Scoring Criteria		36
Appendix IV: Reporting on Measures of Success		40
Appendix V: Certification for Sexual Harassment Prevention.....		44
Appendix VI: Application Checklist.....		45

Introduction

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

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

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

Timetable of Key Events

Event:	Date:
Application Period Begins	May 10, 2023
Question & Answer Period Ends	July 5, 2023
Applications Due	July 12, 2023; 3:00 p.m. ET
Award(s) Announced By (anticipated)	Approximately December 2023

Applicant Eligibility

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

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

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

For Multi-Partner and Inter-Municipal Projects: If a proposed project involves a cooperative agreement or partners, only one eligible, designated lead applicant must submit the application for grant funding. The lead applicant must assume the responsibility for the project application, performance of work consistent with this RFA, and the State of New York Master Contract for Grants (MCG). Letters substantiating the collaboration from each partner are required. These letters are to be uploaded to the Grants Gateway in a single PDF (see "Applicant Partners" on page 16).

Grant Opportunity General Information and Conditions

1. Funding

Approximately \$900,000 is available from the NYS Environmental Protection Fund.

2. Proposed Project Timeframes

All projects must have defined objectives, tasks, and deliverables accounted for in performance measures that can be completed and invoiced within a two-year contract period/term of February 1, 2024 through January 31, 2026. Costs outside of the contract period/term are ineligible. The Master Contract for Grants (MCG) must be fully approved by DEC, and if applicable approved by the Attorney General and the State Comptroller. Time extensions beyond the contract term end date will be determined by the DEC based upon written justification from the Grantee. Applicants should not submit an application if they do not anticipate their project can be completed within the specified contract term.

3. Minimum and Maximum Award Amounts

The minimum grant amount is \$10,500. The maximum grant amount is \$75,000.

4. Application Limit/Award limit

Applicants may submit up to three (3) applications. Multiple applications may not be for the same project or project location. Additionally, applicants who submit more than one grant application will only be eligible to receive one grant award in this grant round, unless additional funding remains after all qualifying grant awards are made (at one per grantee). Additional grants for qualifying projects will be awarded to an entity already receiving a grant award in this grant round, starting with the next highest scoring application, in accordance with the scoring criteria on page 23.

5. Eligible Project Locations

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

6. Match Requirement and Expenditures

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

For this grant opportunity, applicants must match at least 15% of the grant funding amount. Applicants providing 30% match or more will receive additional points in the scoring.

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

7. New for this Grant Round

- Revisions were made to the eligible project types. Review descriptions of project types carefully.
- The maximum amount for a grant has been increased from \$50,000 to \$75,000.

8. Inquiries & Designated Contact Information

For general information on completing this application and for clarification of application requirements, contractual terms and procedures, contact: Susan Pepe, Hudson River Estuary Program Grants Coordinator, HREPgrants@dec.ny.gov.

For technical information regarding the Grants Gateway application, direct questions to: NYS Grants Management, grantsgateway@its.ny.gov or (518) 474-5595.

Include **2023 Round 40 Stewardship RFA** in the **subject line** of the email. Questions regarding this grant opportunity will be accepted by the DEC until C.O.B. July 5, 2023. All questions, and answers, will be uploaded in the Grants Gateway application for all applicants to view.

9. Department of Environmental Conservation Oversight

The Department of Environmental Conservation reserves the right to:

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

10. Application Submission

Applications must be submitted through the NYS Grants Gateway (<https://grantsgateway.ny.gov>). Using **Microsoft Edge** to access the Grants Gateway is recommended. Using other browsers may cause errors in the Work Plan section of the application.

Paper applications will NOT be accepted. Applicants are strongly encouraged to submit their applications prior to the application deadline. **Late applications will not be accepted under any circumstances.** Please note: those logged in as Grantees may work on the application, only those logged in as a Grantee Contract Signatory or a Grantee System Administrator can submit the application to the State. When the application is ready for submission, click the Status Changes tab, then click the "Apply Status" button under "Application Submitted."

All Applicants must be **Registered** with Grants Gateway to submit an application. In addition to

registration, **not-for-profits** must also be **Prequalified** at the time and date that the application is due. If you are not Prequalified at that time and date, your application will not be considered.

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

**THE STATE RESERVES 5 DAYS TO REVIEW SUBMITTED
PREQUALIFICATION APPLICATIONS. PREQUALIFICATION APPLICATIONS
SUBMITTED TO THE STATE FOR REVIEW LESS THAN 5 DAYS PRIOR TO
THE DEADLINE FOR THIS APPLICATION MAY NOT BE CONSIDERED.
APPLICANTS SHOULD NOT ASSUME THAT THEIR PREQUALIFICATION
INFORMATION WILL BE REVIEWED IF THEY DO NOT ADHERE TO THIS
TIMEFRAME.**

Applicant Prequalification

Pursuant to the New York State Division of Budget Bulletin H-1032, Revised, effective July 16, 2014, New York State has instituted key reform initiatives to the grant contract. Information on these initiatives can be found on the [Grants Management Website](#).

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

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

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

1. Register for the Grants Gateway

- On the Grants Management Website, download a copy of the [Registration Form for Administrator](#). A signed, notarized original form must be sent to the NYS Grants Gateway Team at the address provided in the instructions. You will be provided with a Username and Password allowing you to access the Grants Gateway.
- If you have previously registered and do not know your Username please email grantsgateway@its.ny.gov. If you do not know your Password please click the Forgot Password link from the main log in page and follow the prompts.

2. Complete your Prequalification Application

- Log in to the Grants Gateway. **If this is your first time logging in**, you will be prompted to change your password at the bottom of your Profile page. Enter a new password and click SAVE.
- Click the *Organization(s)* link at the top of the page and complete the required fields including selecting the State agency you have the most grants with. This page should be completed in its entirety before you SAVE. A *Document Vault* link will become

- available near the top of the page. Click this link to access the main Document Vault.
- Answer the questions in the *Required Forms* and upload *Required Documents*. This constitutes your Prequalification application. Optional Documents are not required unless specified in this document.
- Specific questions about the Prequalification process should be referred to your agency representative or to the Grants Gateway Team at grantsgateway@its.ny.gov. The [Grants Gateway help desk](#) can be reached at (518) 474-5595.

3. Submit Your Prequalification Application

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

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

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

- [The NYS Grants Management Website](#)
- [Video: Grants Gateway Registration](#)
- [Grants Gateway FAQ](#) and [Prequalification FAQ](#)
- [Twice-weekly Document Vault webinars](#). All information can be found on the Grants Management website - <https://grantsmanagement.ny.gov/live-webinars>

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

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

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

Grant Application Requirements and Conditions

1. Project Objectives

This Hudson River Estuary Grant RFA for Local Stewardship Planning seeks to assist Hudson Valley municipalities and organizations build their capacity to implement the *2021-2025 Hudson River Estuary Action Agenda* (<https://www.dec.ny.gov/lands/5104.html>) and provide the following benefits:

Hudson River Estuary Action Agenda Benefits:

- A Vital River Ecosystem
 - Sustainable estuarine fisheries
 - Robust river habitats
 - Clean Hudson River water
- A Thriving & Resilient Watershed
 - Healthy tributaries
 - Climate-adaptive communities
 - Conserved natural areas for wildlife, source water, climate resilience, and scenery
- People Living Well With Nature
 - An informed and engaged public
 - An accessible Hudson River for people of all ages and abilities

The Estuary Program provides training and technical assistance to improve local stewardship, so the river and its ecosystem continue to provide these benefits. This RFA is designed to help local organizations and communities build on that technical assistance to advance the following four types of local projects and programs through planning, feasibility studies and/or design.

1. Creating climate vulnerability assessments, adaptation plans, and strategies for waterfront communities in the Hudson River estuary watershed to adapt to climate risks like flooding, sea-level rise, heat, and drought, using natural and nature-based solutions and considering social equity.
2. Engineering Plans/Designs to make water infrastructure more resilient to flooding and/or sea-level rise.
3. Planning for conservation of natural resources by creating a natural resources inventory, open space inventory/index, open space plan, conservation overlay zone, open space funding feasibility study, or connectivity plan.
4. Water Quality Monitoring, Watershed Characterization, Water Quality Improvement Planning and Design, and Source Water Protection

Consistency with respective adaptation and resiliency actions listed in the NYS Climate Smart Communities program (<https://climatesmart.ny.gov/>) is encouraged.

Throughout this RFA, the word “plan,” as used to describe a deliverable, is deemed to include the following plans and planning processes:

- Plans
- Visioning statements
- Feasibility studies
- Assessments
- Inventories
- Designs and related permitting activities
- Development of regionally-applicable guidance documents, handbooks or fact sheets that help people adopt conservation best management practices.

2. Minimum Eligibility (Pass/Fail criteria)

Level 1 Review:

- The applicant must be eligible, as shown on page 3 of this RFA. A not-for-profit organization must also be prequalified in the Grants Gateway by the application due date to be determined eligible under this grant opportunity.
- The project must be located within the defined geographic boundaries of the Hudson River Estuary.
- Projects must implement one of the eligible project types identified in this RFA.
- Quality Assurance requirements for sampling are demonstrated to be met or are not applicable.
- The uploaded project timeline indicates completion of project objectives, tasks and deliverables on or before January 31, 2026.
- All project funding comes from eligible sources and at least 15% in eligible match is identified.
- If applicable, letters of collaboration are provided from all applicant partners, which must include “Lead” applicant designation.
- The applicant must provide the required certification for sexual harassment prevention, as required by State Finance Law §139-l.
- Application completeness: The application is broken out into four sections in the Grants Gateway: Program Information, Expenditure Budget, Work Plan, and Pre-Submission Uploads. To be eligible, applicants must complete all of these sections and upload the required documentation. See the checklist in this RFA as a reference.

3. Project Types (Program Question 3)

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

(1) Creating climate vulnerability assessments, adaptation plans, and strategies for waterfront communities in the Hudson River estuary watershed to adapt to climate risks like flooding, sea-level rise, heat, and drought, using natural and nature-based solutions and considering social equity.

Applicants may apply for municipal or intermunicipal planning projects in the Hudson River estuary watershed to adapt to climate change, including flooding, sea-level rise, intense storms, heat, and drought, using ecologically-sound principles that conserve natural resources while also protecting human life and property. Projects must inclusively engage community stakeholders, consider impacts on social equity, and include opportunities to improve diversity, equity, justice, and inclusion (DEIJ).

Eligible projects are:

- Create a community-led climate vulnerability assessment and/or climate adaptation plan or chapter in a relevant plan (See [PE7 Action: Climate Vulnerability Assessment](#) and [PE7 Action: Climate Adaptation Plan](#) in NYS Climate Smart Communities).
- Incorporate adaptation and resilience into a comprehensive plan or hazard mitigation plan (see [PE6 Action: Comprehensive Plan with Sustainability Elements](#) and [PE7 Action: Climate-resilient Hazard Mitigation Plan](#)).
- Increase design flood elevation, update flood maps, increase freeboard elevation and/or extend freeboard requirement area to improve community resilience to flooding and sea-level rise (see [PE7 Action: Design Flood Elevation & Flood Maps](#) and PE7 Action: Freeboard Policies).
- Develop (or update) and adopt a plan for strategic relocation out of flood-prone areas, amend zoning or adopt other regulations to implement one or more strategies from the relocation plan, and/or establish a buy-out program or participate in an existing buy-out program for properties in the flood zone (see [PE7 Action: Strategic Relocation](#)).

- Complete a strategy or recommendation listed in a climate adaptation and resilience plan or NY Rising Plan.
- Develop and implement an inclusive community engagement and education campaign on climate adaptation and resilience (see [PE9 Action: Climate Change Education & Engagement](#)).

Additional information on climate risks, including guidance documents and examples of plans and tools for decision-making, can be found at <https://www.dec.ny.gov/lands/39786.html> and <https://wri.cals.cornell.edu/udson-river-estuary/climate-change-udson-river-estuary/>. Best practices for inclusive community engagement can be found at <https://wri.cals.cornell.edu/udson-river-estuary/climate-change-udson-river-estuary/resources-resilience/inclusive-planning-community-resilience/>.

The following resources may be useful in developing an application:

- Climate Projections for the Hudson Valley
https://www.dec.ny.gov/docs/remediation_hudson_pdf/cphv.pdf
- Hudson River Flood Impact mapper: <http://www.ciesin.columbia.edu/hudson-river-flood-map/>
- Hudson River Sustainable Shorelines: <https://www.hrnerr.org/hudson-river-sustainable-shorelines>
- Scenic Hudson's Protecting the Pathways: Sea-Level Rise Affecting Marsh Migration
<https://scenichudson.org/wp-content/uploads/legacy/protecting-the-pathways.pdf>
- Scenic Hudson's Revitalizing Hudson Waterfronts
<https://www.scenichudson.org/sites/default/files/u2/revitalizing-hudson-riverfronts.pdf>
- NYS WRI <https://wri.cals.cornell.edu/udson-river-estuary/climate-change-udson-river-estuary/resources-resilience/>
- NYS Community Risk and Resiliency Act (CRRA)
 - Model Local Laws to Increase Resilience <https://dos.ny.gov/model-local-laws-increase-resilience>
 - Using Natural Measures to Reduce the Risk of Flooding
https://www.dec.ny.gov/docs/administration_pdf/crranaturalmeasuresgndc.pdf
 - NYS Flood Risk Management Guidance (SFRMG)
https://www.dec.ny.gov/docs/administration_pdf/crrafloodriskmgmtgdnc.pdf
 - Estimating Guideline Elevations
https://www.dec.ny.gov/docs/administration_pdf/crraestelevguidelines.pdf
 - Guidance for Smart Growth Public Infrastructure Assessment
https://www.dec.ny.gov/docs/administration_pdf/crrasmartgrowth.pdf
 - Sea-level Rise Projections (6 NYCRR Part 490)
<https://www.dec.ny.gov/energy/102559.html>
- NY Sea Grant's Hudson Dynamic Shorelines Storymap on flooding and shoreline resiliency
<https://storymaps.arcgis.com/collections/804750dafc1a4ef9a4a230134303e9cb>.
- Climigration Network's Lead with Listening: A Guidebook for Community Conversations on Climate Migration: <https://www.climigration.org/guidebook>
- Inclusive Community Engagement Primer
<https://climatesmart.ny.gov/fileadmin/csc/documents/InclusiveEngagement-Primer-CSC-Cert-2022-09-01.pdf>

Points for coordinated planning: Applicants who demonstrate that they are achieving a Climate Smart

Communities certification through adaptation and resilience actions (<https://climatesmart.ny.gov/actions-certification/actions/>), or are implementing a planning element of a (i) Greenway Plan, (ii) Local Waterfront Revitalization Plan, (iii) an adopted Watershed Plan, a (iv) Drinking Water Source Protection Program (DWSP2) plan, or (v) a municipal comprehensive or master plan will receive points for coordinated planning in the scoring.

(2) Engineering Plans/Designs to make water infrastructure more resilient to flooding and/or sea level rise

Applicants may apply for engineering designs or reports related to making municipal wastewater, or stormwater infrastructure at risk of flooding more resilient. Projects must aim to help reduce flood risk to water infrastructure, as well as assess factors that may affect the practicality of these options, and should identify any environmental benefits and trade-offs, such as impacts to water quality and habitat.

- Practicality factors to be considered may include: zoning codes, ordinances and municipal plans, population and economic development projections, long term risk of flooding and sea level rise, lifespan of infrastructure, public opinion, efficiency in timing of upgrades, energy efficiency and renewable energy generation, value of existing at-risk feasibility property for other uses, cost-benefit analyses, potential relocation areas, engineering feasibility, etc.
- Infrastructure and facilities to be studied must focus on water resources and may include wastewater treatment plants, sewer collection systems including pump stations, and/or on-site wastewater systems.

The intent of this project type is to prepare projects for implementation. Designs must include all details and approvals necessary for securing implementation funding. The intended funding source for implementation should be identified in the application (e.g. NYSDEC's Water Quality Improvement Project or Environmental Facility Corporation's Grant Program, Climate Smart Community grant, NYSDOS) as well as the related requirements for funding that would be satisfied by the grant.

Points for coordinated planning: Applicants who demonstrate that they are achieving a Climate Smart Communities certification through adaptation and resilience actions (<https://climatesmart.ny.gov/actions-certification/actions/>), or are implementing a planning element of a (i) Greenway Plan, (ii) Local Waterfront Revitalization Plan, (iii) an adopted Watershed Plan, a (iv) Drinking Water Source Protection Program (DWSP2) plan, or (v) a municipal comprehensive or master plan will receive points for coordinated planning in the scoring

(3) Planning for conservation of natural resources by creating a natural resources inventory, open space inventory/index, open space plan, conservation overlay zone, open space funding feasibility study, or connectivity plan

Applicants may apply for projects that develop municipal, inter-municipal, or regional plans that identify and/or prioritize natural resources or identify land use strategies which conserve important lands and waters in the estuary watershed and/or preserve or restore the interconnectedness of habitats on the landscape. Eligible projects are:

- A natural resource inventory (NRI) that compiles, describes, and maps important natural resources in a municipality, county, watershed, or region. The NRI can be a stand-alone municipal plan or be included in a municipal comprehensive plan, open space plan, conservation plan, or a watershed plan. An NRI may include scenic and cultural resources as long as natural resources are fully covered by the NRI.
- An open space inventory (OSI) that uses an NRI to analyze natural areas and list them in priority order for acquisition, preservation or restoration. The OSI can be a stand-alone document or part

of an open space planning process.

- An open space plan (OSP) or community preservation project plan (CPPP) that identifies priorities and strategies for conserving municipal, inter-municipal, or regional open space values, especially important lands and waters. The OSP can be a stand-alone plan or included in a municipal comprehensive plan. The CPPP should be consistent with Community Preservation Fund legislation.
- A conservation overlay zone or natural resource protection regulations for priority lands and waters identified as important in a municipal or inter-municipal plan, with standards designed to accomplish conservation objectives such as prevention of habitat fragmentation, or protection of wetlands and watercourses. Regulations may take the form of a standalone local law or may be integrated into the zoning and subdivision laws.
- A critical environmental area (CEA) for priority lands and waters as identified as important in a municipal or inter-municipal plan, with required submission materials for designation and guidance for municipal planners on implementation to achieve the intended conservation goals.
- An open space funding feasibility study that evaluates public financing options for a municipality to preserve priority open spaces and natural areas that have been identified in a community's OSP. It can include a cost of community services study.
- A connectivity plan that identifies opportunities, strategies, and recommendations for acquiring lands and waters to preserve important connections for wildlife habitat, stream corridors, large forests, and overall ecological resiliency. The project should be science-based and include at least two municipalities, or a municipality with a conservation partner such as a land trust and can include field-based data collection needed to inform the plan.

Depending on the needs and interests of the community, the NRI, OSI, and OSP can be developed individually or in combination.

Communities may choose which resources are included in the inventory, plan, or conservation policy; however, to be eligible for this RFA, they must include the following:

- Water resources
- Wildlife habitat
- Natural areas important for climate resilience and adaptation.

It is recommended that consideration also be given to:

- Scenic resources
- Watersheds of drinking water supplies
- Conservation priorities that cross more than one municipal boundary

These may factor into the evaluation of the conservation and social impact of the project.

Applicants should refer to any existing municipal inventories or plans that will provide foundations for the grant project, or which are proposed to be updated, and refer to specific plan recommendations that would be implemented by the proposed project. Applications should also include a process for public participation and/or education to engage diverse and under-represented stakeholders and build support for implementation, and address how the grant-funded inventory, plan, or conservation policy will be adopted and implemented.

Funding-related feasibility studies should ascertain optimal financing mechanisms for open space conservation for a particular municipality or municipalities, and explore outcomes, including the likelihood of success. The study should include recommendations to officials on the appropriate timing of introducing a financing initiative, outreach language, and selection of the most appropriate finance tool and funding request level to meet community conservation goals.

The following resources may be useful in developing an application:

- *Conservation Planning in the Hudson River Estuary Watershed* website [<https://hudson.dnr.cals.cornell.edu/>]
- Creating a Natural Resources Inventory: A Guide for Communities in the Hudson River Estuary Watershed [https://www.dec.ny.gov/docs/remediation_hudson_pdf/nriall.pdf]
- New York State's Local Open Space Planning Guide [<https://dos.ny.gov/system/files/documents/2023/01/local-open-space-planning-guide.pdf>]
- Creating Conservation Overlay Zoning: A Guide for Communities in the Hudson River Estuary Watershed [https://www.dec.ny.gov/docs/remediation_hudson_pdf/overlayzones.pdf]
- Model Local Laws to Increase Resilience [<https://dos.ny.gov/model-local-laws-increase-resilience>]
- The Hudson River Estuary Wildlife and Habitat Conservation Framework [https://www.dec.ny.gov/docs/remediation_hudson_pdf/hrebcf.pdf]
- *Hudson Valley Natural Resource Mapper* website [<https://www.dec.ny.gov/lands/112137.html>].

Points for coordinated planning: Applicants who demonstrate that they are achieving a Climate Smart Communities certification through adaptation and resilience actions (<https://climatesmart.ny.gov/actions-certification/actions/>), or are implementing a planning element of a (i) Greenway Plan, (ii) Local Waterfront Revitalization Plan, (iii) an adopted Watershed Plan, a (iv) Drinking Water Source Protection Program (DWSP2) plan, or (v) a municipal comprehensive or master plan will receive points for coordinated planning in the scoring

(4) Water Quality Monitoring, Watershed Characterization, Water Quality Improvement Planning and Design, and Source Water Protection

Applicants may apply for projects to: A. Assess and monitor watershed water quality in specific waterbody segments, B. Develop a watershed characterization, C. Plan and design water quality improvement projects that directly address sources of impairment in documented impaired waters, or D. Implement a protection strategy and/or management method identified in a source water protection plan, as described below. In describing the Project Objective (Program Question 5), applicants should identify which of the following four project categories is most applicable to the proposed project. Projects may include elements from more than one project category, as warranted.

- A. Assess and Monitor Watershed Water Quality in Specific Waterbody Segments through Watershed assessments and monitoring projects to address unassessed waterbodies, or confirm or resolve uncertainty (e.g., suspected impairments, high quality streams) in the DEC's Waterbody Inventory/Priority Waterbody List. The specific waterbody and segments, as identified in the Waterbody Inventory/Priority Waterbodies List (WI/PWL) must be referenced, identified, and described in the application. See the DEC's Waterbody Inventory/Priority Waterbodies List and current water quality assessment information by using the NYS DECinfo Locator Tool which can be found here: <https://giservices.dec.ny.gov/gis/dil/> (Navigate to the "Environmental Monitoring" tab and activate the "Waterbody Inventory/ Priority Waterbodies List" layer).
- B. Develop a Watershed Characterization. A watershed characterization is a summary of existing information about a particular waterbody, including a delineation of the watershed area and subwatershed boundaries, description of the physical and biological characteristics of the watershed, existing land use and land cover patterns, causes and sources of pollution, water quality trends, and identification of unique or high-quality resources. While not required, additional information about natural resources, history, water flows, habitats, recreation, scenery, access

and other relevant information and data may also be included in the characterization. Watershed characterizations can address high quality, unimpacted streams or watersheds.

The intent of this project type is to complete a watershed characterization that can be included in a comprehensive watershed plan in the future, which would require additional community engagement, quantification of pollutant sources, establishment of pollutant reductions goals (if needed), land use protection practices, and development of an implementation plan. Future comprehensive watershed plans may include clean water plans (such as TMDLs or Nine Element Plans) or watershed management plans that meet Department of State criteria.

C. Plan and Design Water Quality Improvement Projects (Planning and Engineering)

Applicants may apply to create a plan and design for water quality improvement projects that directly address the source of impairment in documented, impaired waters.

If the waterbody affected has an existing clean water plan, the project type or project area must be an identified priority in that plan. If the waterbody affected does not have a plan, then the project must address the known or suspected impairment in that waterbody, as characterized in the WI/PWL.

The intent of this project type is to prepare projects for implementation. Designs must include all details and approvals necessary for implementation funding, including such requirements as a feasibility study or engineering plan and cost estimates. The intended funding source for implementation should be identified in the application (e.g. DEC's Water Quality Improvement Project or Environmental Facility Corporation's Green Infrastructure Grant Program).

D. Implement a restoration or protection strategy and/or management method identified in a source water protection plan. The intent of this project type is to support actions that will increase protections to public drinking water sources. Applicants may apply to implement an identified strategy for public drinking water source protection. The intent of this project type is to support the implementation (including planning and design) of actions, policies, and practices that protect and enhance watersheds that provide public drinking water. Approaches may include, but are not limited to, implementing stormwater best management practices; developing land use strategies and policies at local and intermunicipal scales; developing an enhanced water quality monitoring program, restoring streamside buffers, wetlands, and floodplains; protecting land through acquisition or easement; or addressing specific resilience needs to public drinking water systems due to climate change.

If the project is intended to support planning and/or engineering, the intended funding source for full implementation should be identified in the application (e.g., DEC's Water Quality Improvement Project)

If applying for a Category 4A or 4B project, the applicant must define the size of the watershed area, whether a tributary of the Hudson River, a sub-watershed of a tributary, or a watershed contributing to a source of drinking water. There is no established minimum or maximum area for purposes of this RFA. Watershed delineations should be appropriately sized for the project goals and funding available. Funds for this program can only be spent within New York State, even if the watershed delineation includes other states.

If applying for a Category 4D project, submit a copy of or link to source water protection plan. Local governments should utilize the comprehensive process outlined in the Drinking Water Source Protection Program (DWSP2) framework. Section 3.2 of the DWSP2 framework details the

development of an implementation strategy and timeline for a protection plan.

All projects focusing on a watershed where existing watershed planning or management initiatives are underway must refer to the existing or in development watershed plan or characterization, demonstrate collaboration with municipalities and the local watershed group, and obtain letters of support from those partner groups. New watershed efforts must demonstrate local support, including the watershed municipalities.

As part of the response for Program Question 5 (Project Objective and Conservation Impact), applicants should clearly describe how the planning project will help them to implement strategic projects to improve or maintain water quality, water resources, and/or stream health. To the extent that the implementation of prioritized next steps in a plan would position a community or watershed to gain specific benefits, such as improving the ability of a watershed/waterbody to compete for water quality improvement grants. The next step should be specified and will be factored into the scoring for project impact. For example: an assessment/monitoring project could inform DEC's WI/PWL, or a water quality improvement design project could lead to construction support.

If a proposed project includes collection of environmental water quality data, a DEC-approved Quality Assurance Project Plan (QAPP) is required to ensure that proper sampling methods are being followed, and that traceable, reproducible results are generated. Additional Environmental Laboratory Approval Program (ELAP) requirements may also apply. For more information about quality assurance requirements, including applicability of ELAP and Work Plan requirements for the QAPP, see #18 on page 20. *No more than 50% of the grant request may be allocated to water quality monitoring field, lab, and analysis expenses.*

The following resources may be useful in developing an application:

- New York State (NYS) Department of Health (DOH) and Department of Environmental Conservation (DEC), Drinking Water Source Protection Program (DWSP2) [\[https://www.dec.ny.gov/chemical/115250.html\]](https://www.dec.ny.gov/chemical/115250.html)
- NYS DWSP2 Framework: [\[https://www.dec.ny.gov/docs/water_pdf/dwsp2draftframework.pdf\]](https://www.dec.ny.gov/docs/water_pdf/dwsp2draftframework.pdf)
- US Environmental Protection Agency (EPA) Source Water Protection [\[https://www.epa.gov/sourcewaterprotection\]](https://www.epa.gov/sourcewaterprotection)
- NYS DOH, Source Water Assessment Program [\[https://www.health.ny.gov/environmental/water/drinking/swap.htm\]](https://www.health.ny.gov/environmental/water/drinking/swap.htm)
- New York Rural Water Association <https://www.nyruralwater.org/>
- NYS DEC Water Quality Improvement Program <https://www.dec.ny.gov/pubs/4774.html>
- NYS DEC and NYS Department of State (DOS), Watershed Plans: Protecting and Restoring Water Quality [\[https://dos.ny.gov/major-components-watershed-plan\]](https://dos.ny.gov/major-components-watershed-plan)
- NYS DEC, Nine Element Watershed Plans [\[https://www.dec.ny.gov/chemical/23835.html\]](https://www.dec.ny.gov/chemical/23835.html)
- NYS DEC, Nine Element Watershed Plan Reviewer Guidance [\[https://www.dec.ny.gov/docs/water_pdf/reviewguidance19.pdf\]](https://www.dec.ny.gov/docs/water_pdf/reviewguidance19.pdf)
- NYS DOS Watershed Planning Framework and Watershed Management Plans [\[https://dos.ny.gov/water-resources-management\]](https://dos.ny.gov/water-resources-management)
- EPA's Healthy Watersheds Program [\[https://www.epa.gov/hwp/what-epa-doing-healthy-watersheds\]](https://www.epa.gov/hwp/what-epa-doing-healthy-watersheds)
- NYS DEC's Lower Hudson River Waterbody Inventory/Priority Waterbodies List [\[https://www.dec.ny.gov/chemical/36730.html\]](https://www.dec.ny.gov/chemical/36730.html); [\[https://gisservices.dec.ny.gov/gis/dil/\]](https://gisservices.dec.ny.gov/gis/dil/)
- NYS DEC Non-Agricultural Nonpoint Source Planning Grants [\[https://www.dec.ny.gov/pubs/116725.html\]](https://www.dec.ny.gov/pubs/116725.html)
- USGS Stream Stats (to delineate watersheds) [\[https://streamstats.usgs.gov/ss/\]](https://streamstats.usgs.gov/ss/)

- NYS DEC's *Hudson Valley Natural Resource Mapper* [<https://www.dec.ny.gov/lands/112137.html>]
- NYS Source Water Assessment Program reports (contact the appropriate county health department) [https://www.health.ny.gov/contact/contact_information/]
- NYS DEC's Hudson River Estuary Program, Clean Water for the Hudson River Estuary [<https://www.dec.ny.gov/lands/5098.html>]
- New York Natural Heritage Program Riparian Opportunities Assessment [<https://www.nynhp.org/treesfortribsny>]
- NYS Water Resources Institute Aquatic Connectivity and Barrier Removal [<https://wri.cals.cornell.edu/hudson-river-estuary/watershed-management/aquatic-connectivity-and-barrier-removal-culvert-dams/>]

Points for coordinated planning: Applicants who demonstrate that they are achieving a Climate Smart Communities certification through adaptation and resilience actions (<https://climatesmart.ny.gov/actions-certification/actions/>), or are implementing a planning element of a (i) Greenway Plan, (ii) Local Waterfront Revitalization Plan, (iii) an adopted Watershed Plan, a (iv) Drinking Water Source Protection Program (DWSP2) plan, or (v) a municipal comprehensive or master plan will receive points for coordinated planning in the scoring.

4. Project Objective and Conservation Impact (Program Question 5)

Describe the objective for the proposed project, including methods, deliverables, and the need for the project. Explain how completing this work would help you make future decisions and why. Projects must set the stage for future implementation of conservation projects. Projects that do not address future implementation will be assigned to Tier 5* - see scoring criteria starting on page 23. Higher points will be awarded to projects that have a regional conservation impact.

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

5. Action Agenda Measures of Success (Program Question 7)

Describe how the project will help achieve one or more Measures of Success as outlined in the *2021-2025 Hudson River Estuary Action Agenda*. *Action Agenda Measures of Success, by Benefit, can be found in Appendix IV of this RFA. As noted in Appendix IV, reporting for grants arising under this RFA will require updates on how the project is achieving specific Measure(s) of Success.*

6. Project Timeline (Program Question 8)

Applicants **MUST** provide a timeline for meeting project objectives and identified tasks between February 1, 2024 and January 31, 2026. **Project expenditures prior to Master Contract for Grants (MCG) start date and after the MCG end date are not eligible for reimbursement or match.**

All project timelines must include consultation with Estuary Program Staff for project management purposes as step one in the timeline.

7. Applicant Partners (Program Question 10)

The Applicant Partner is a collaborator who has a significant role in the project and is fundamentally a co-applicant for the grant regardless of whether or not the partner is included in the budget. Projects involving an Applicant Partner (i.e. multi-partner and inter-municipal projects, page 3) require letters substantiating the commitment to collaborate that include the designation of a “Lead” applicant from each Partner. A single PDF file of all letters should be uploaded to meet this requirement, if applicable for your project.

8. Key Stakeholder Engagement (Program Question 11)

Projects should demonstrate effective engagement of local and regional stakeholders, and at a minimum, must include those whose support is crucial to project success. Stakeholders may consist of, but are not limited to, county and local planning officials as well as organizations, community or watershed groups, property owners, or individuals whose contribution, approval, endorsement, etc. is integral to successful conduct of the project. Applicants are encouraged to engage a variety of local, county, or state appointed or elected officials in their application process to generate awareness of the project and its objectives.

For this program question, applicants must demonstrate how stakeholders will be engaged in the project, including specific role(s) of the stakeholder (to provide information/data, provide feedback, act as a liaison for other projects, help prioritize or evaluate options, etc.). Wherever possible, applicants should strive to employ multiple methods of outreach when engaging stakeholders. Relevant stakeholder engagement should also be included in the work plan component of the Grants Gateway, where applicable.

Brief letters indicating such support from key stakeholders will improve the scoring of an application (higher points are available for applicants submitting such letters). Support letters from Applicant Partners (see #6 above) will NOT qualify for key stakeholder points since letters from Applicant Partners are required to substantiate a commitment to collaborate on the proposed project, and are evaluated under pass/fail criteria. Likewise, support letters from the government body offering the grant, or institutions or organizations who are fiscal sponsors and/or will provide services under the grant, will not be considered and no points will be awarded. If letters are submitted, the letters must be submitted at the time of application. Applicants will be asked in the Grants Gateway to upload, in a single PDF file, a copy of all letters of key stakeholder support.

Applicants are strongly encouraged to fully address this application requirement. Failure to earn any points for this Program Question will result in the application being ranked “Low” (tied to Points for Minimum Standards [page 18]). Also see Application Evaluation, Scoring and Selection starting on page 23 of this RFA.

9. Engagement of Hudson River Estuary Staff (Program Question 13)

At a minimum, project timelines must include consultation with Estuary Program Staff for project management purposes as step one in the timeline (e.g. a project kick-off meeting). Additionally, applicants are strongly encouraged, but are not required, to invite Estuary Program staff to attend stakeholder meetings and to provide technical assistance in the planning process. An invitation for such additional participation should be included as a step in the project timeline schedule and deliverables (see Program Question 8) to qualify for additional points. Estuary Program staff may choose to participate, or not, in response to the invitation, as time allows. Please note that engagement of Estuary Program staff is not a substitute for stakeholder engagement by the applicant.

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

10. Implementation Commitment (Program Question 15)

The applicant must demonstrate how the proposed plan/project or best practices will ultimately be implemented or adopted after completion. How will the results of the project be used in future decision-making? Identify and describe the commitment to use the results, and how implementation/adoption will be attained. If known, include information about funding sources that will be earmarked for implementation. Outreach or training to help people utilize the proposed plans, designs or guidance may be included, and is encouraged where applicable.

Applicants are strongly encouraged to fully address this application requirement. Failure to earn any

points for this Program Question will result in the application being ranked “Low” (tied to Points for Minimum Standards [page 18]). Also see Application Evaluation, Scoring and Selection starting on page 23 of this RFA.

11. Knowledge, Skills and Experience (Qualifications) (Program Question 16)

Applicants must possess the knowledge, skills, and/or track record to successfully implement the project. Priority is given to applicants with excellent qualifications or a successful track record with this type of project.

Applicants are strongly encouraged to fully address this application requirement. Failure to earn any points for this Program Question will result in the application being ranked “Low” (tied to Points for Minimum Standards [page 18]). Also see Application Evaluation, Scoring and Selection starting on page 23 of this RFA.

12. Project Cost Effectiveness (Program Question 17)

The cost-effectiveness of the proposed project will be evaluated as provided in the Application Review and Scoring Standards in Appendix III. The answer to this question, as well as the information provided in the Expenditure Budget will be used to determine scoring for cost effectiveness. Applicants that provide 30% eligible match or more (the minimum match is 15%) may be eligible for additional points for cost effectiveness (see Appendix III, page 38). Applicants are encouraged to provide quotes from vendors/contractors for the work to be completed to help justify cost effectiveness.

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

Applicants are strongly encouraged to fully address this application requirement. Failure to earn any points for this Program Question will result in the application being ranked “Low” (tied to Points for Minimum Standards [page 18]). Also see Application Evaluation, Scoring and Selection starting on page 23 of this RFA.

13. Points for Minimum Standards for Key Stakeholder Support, Qualifications, Implementation Commitment, and Cost Effectiveness (Program Questions 11, 15, 16, 17)

Applicants receiving points for all of these program questions (do not score zero points on any of these questions) will receive **68 points**. *Failure to earn these points will result in the application being ranked “Low” (see Application Evaluation, Scoring and Selection starting on page 23 of this RFA).*

14. Statewide Priority (Program Questions 18-20)

• Alignment with Regional Economic Development (REDC) Strategies

Any grants awarded by the State of New York shall take into consideration the recommendation of the relevant Regional Economic Development Councils (REDC) or the Commissioner’s determination that the proposed project aligns within the regional strategic priorities of the region where the proposed project is located.

For Program Question 18, provide a brief narrative describing the economic benefits of the proposed project and how the project aligns with the strategies of the REDC plan for the project’s region (cite specific sections of the respective REDC plan, as applicable). The narrative must be included with the

Application to receive points in the application review. If not applicable to your project, you must answer “N/A” for Program Question 18.

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

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

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

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

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

- **Coordinated Planning**

Applicants who demonstrate that they are achieving a Climate Smart Communities certification through adaptation and resilience actions (<https://climatesmart.ny.gov/actions-certification/actions/>), or are implementing a planning element of a (i) Greenway Plan, (ii) Local Waterfront Revitalization Plan, (iii) an adopted Watershed Plan, a (iv) Drinking Water Source Protection Program (DWSP2) plan, or (v) a municipal comprehensive or master plan will receive points for coordinated planning in the scoring

15. Additional Points

- **New Hudson River Estuary Program partner (Program Question 21)**

Applicants that have not previously received a Hudson River Estuary grant are encouraged to apply and will receive points for being a new partner. Estuary Program records will be used in conjunction with the answer to this program question to make this determination.

- **Community Support (Program Question 22)**

Applicants are encouraged to engage public officials in their application process to generate awareness of the project and its objectives. Applications which demonstrate support from a variety of county or state appointed or elected officials above and beyond those essential to the project (Program Question 11), as evidenced by letters of support uploaded with the application, will receive extra points in the scoring.

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

In order to help new applicants to receive grants and to encourage speedy completion of grants, points

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

16. Expenditure Based Budget

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

17. Work Plan

Applicants must complete a work plan in the NYS Grants Gateway that provides a clear overview of the project. Applications must include proposed project objectives, tasks associated with meeting each objective, and the performance measures associated with each task (performance measures should include desired project outcomes or deliverables). The work plan should include anticipated time frames in meeting project objectives, tasks and deliverables. Time frames must be consistent with the timeline applicants are required to upload in the Grants Gateway for Program Question 8.

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

18. Quality Assurance

Required for Water Quality Assessment and Monitoring projects

Quality assurance applies to all programs/projects that involve the collection, generation or use of environmental data associated with the mapping, modeling, monitoring, and assessment of water quality data intended for use by the New York State Department of Environmental Conservation (DEC) for its regulatory purposes. This includes the design or use of water quality focused environmental technology. Guidance and resources for DEC's quality assurance can be found on DEC's quality assurance webpage (<https://www.dec.ny.gov/chemical/23850.html>). Activities associated with these types of programs/projects, conducted in the field or laboratory, shall be:

- a. Performed in accordance with an effective quality system for planning and assessing environmental measurements and tests, and for conducting required quality assurance and quality control procedures to promote and maintain the accuracy and reliability of environmental measurements and test results. An effective Quality System includes a Quality Assurance Project Plan (QAPP) based on guidance provided by the USEPA Guidance for Quality Assurance Project Plans (QA/G-5 May 2006), or American National Standard ASQ/ANSI E4:2014: Quality management systems for environmental information and technology programs—Requirements with guidance for use, approved February 4, 2014;
- b. The fulfillment of the data verification, validation, and usability component of QAPP is to be documented in a Data Usability Assessment Report (DUAR);
- c. Performed by a laboratory certified by the New York State Department of Health (NYSDOH) under the Environmental Laboratory Approval Program (ELAP) pursuant to Section 502 of the Public Health Law. This requirement shall not apply to specific parameters where NYS DOH

- ELAP has not issued a certificate for the specific parameter;
- d. Performed in a manner that ensures all requisite quality control and calibration requirements are met, including field testing, sample collection, preservation, and record-keeping. Basic quality assurance and quality control requirements defined in 40 CFR Part 136.7 shall be followed as well as any specific method requirements;
- e. Required to submit environmental monitoring data electronically to US EPA Water Quality Exchange (WQX) following the guidance as set by US EPA's WQX Submission Instructions.
- f. Covered under the Publicity clause (article IV.G.) of the Master Contract for Grants – Standard Terms and Conditions. Specifically, the Contractor agrees that any work products, including but not limited to, water quality data or environmental information; measured, generated, or developed under this contract shall not be released, published, cited, or shared in draft or final form without prior written authorization from the Department; and
- g. At a minimum, performed in accordance with water quality standards in 6 NYCRR Part 703 and/or guidance values in Technical and Operational Guidance Series (TOGS) 1.1.1. Projects designed to assess water quality or inform regulatory decisions must measure parameters with applicable water quality standards and/or guidance values

Costs related to QAPP development may be included in the budget as needed. *No more than 50% of the grant request may be allocated to monitoring expenses.* A template for the QAPP is provided in the Pre-Submission Uploads section of the Grants Gateway.

19. Pre-Submission Upload: Sexual Harassment Prevention Certification

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

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

Applications that do not contain the certification will not be considered for award; provided however, that if the applicant cannot make the certification, the applicant may provide a signed statement with their application detailing the reasons why the certification cannot be made. After review and consideration of such statement, the Department may reject the application or may decide there are sufficient reasons to accept the application without such certification.

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

20. Pre-Submission Upload: Executive Order 16

Executive Order No. 16 provides that "all Affected State Entities are directed to refrain from entering into any new contract or renewing any existing contract with an entity conducting business operations in Russia." The complete text of Executive Order No. 16 can be found at <https://www.governor.ny.gov/executive-order/no-16-prohibiting-state-agencies-and-authorities-contracting-businesses-conducting>. The Executive Order remains in effect while sanctions against

Russia imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case the sanctions are lifted during a solicitation or even after award in the case of some solicitations. As defined in Executive Order No. 16, an “entity conducting business operations in Russia” means an institution or company, wherever located, conducting any commercial activity in Russia or transacting business with the Russian Government or with commercial entities headquartered in Russia or with their principal place of business in Russia in the form of contracting, sales, purchasing, investment, or any business partnership. Vendors responding to this solicitation are required to complete and submit the form entitled “Certification Under Executive Order No. 16 Prohibiting State Agencies and Authorities from Contracting with Businesses Conducting Business in Russia”.

In the Grants Gateway pre-submission upload section of the application, ALL applicants must download, complete and save the Executive Order No. 16 Certification form, prior to uploading the completed form back into the Grants Gateway.

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

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

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

Application Evaluation, Scoring and Selection

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

Step 1: Application and Project Eligibility Determination

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

Step 2: Project Evaluation, Scoring and Selection

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

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

All eligible applications will be individually evaluated and scored by at least 3 technical review team members. Technical reviewer scores will be averaged and statewide priority points will be added to the average score to determine a final composite score. Based on the average score for project objective and impact (Program Question 5 in the Grants Gateway and evaluation criteria #1 in Appendix III of this RFA), applications will be assigned to one of five tiers.

Tiers are determined as follows:

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

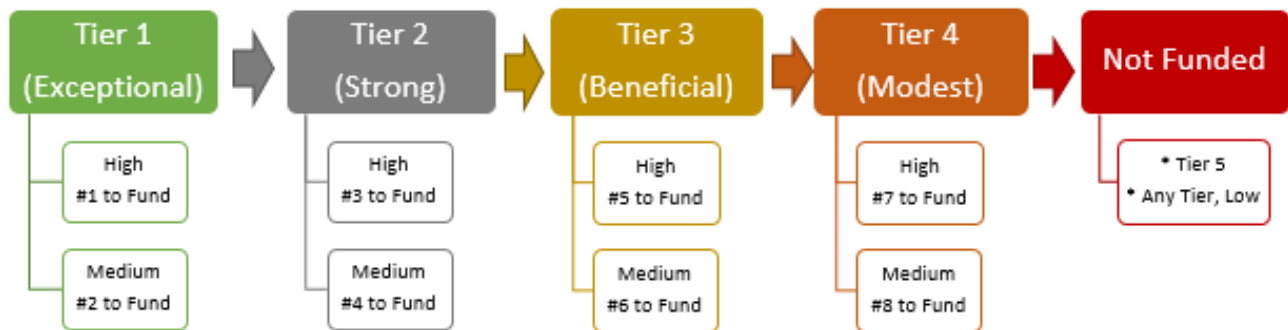
Applications will then be ranked within each tier as high, medium, or low based on the final composite score.

Ranks within Tiers are determined as follows:

Tier Number	Rank		
	High	Medium	Low
Tier 1	225.0 – 175.0	174.9 – 147.0	≤146.9
Tier 2	215.0 – 165.0	164.9 – 137.0	≤136.9
Tier 3	205.0 – 155.0	154.9 – 127.0	≤126.9
Tier 4	195.0 – 150.0	149.9 – 117.0	≤116.9
Tier 5	N/A	N/A	N/A

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

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



Award limit – Applicants are permitted to submit up to 3 applications for funding under this grant opportunity, and qualifying applications will be awarded until funding is exhausted. However, an award limit will apply to applications scoring Tier 2 and lower. In accordance with the award method, applications in Tier 1 will be funded first, by rank and total score, and no award limit will apply. If funding remains after all Tier 1 applications are awarded, additional applications from an entity already receiving a grant award under Tier 1 will be eligible for funding. In the event there is a tie among remaining applications submitted by same organizations, the tie breaker will be addressed as described in the following paragraph.

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

Grant Program Payment

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

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

Eligible and Ineligible Expenditures

Eligible Project Expenditures

- Personal Services: Staff salaries including fringe benefits, directly devoted to the project. Itemize salaries according to job title and roles/responsibilities on the project. Grantees will be required to document time worked, tasks, pay ratio and payment.
- Contractual Services: The value of services provided by responsible professional and technical personnel and consultants (i.e. engineering and architectural services, surveys, plans and specifications, research, design and development of a project, consultant and legal services directly related to a project, feasibility study for a facility, archaeological field work, report writing, curation of artifacts and interpretation, etc.). Equipment and other non-property rentals directly required to implement the project.
- Supplies and materials: Directly needed to implement the project.
- Equipment: Equipment that is directly necessary to implement the project.
- Travel: Travel costs directly required to implement the project (within New York State only).

Ineligible Project Expenditures

- Indirect costs: Overhead or operating expenses (space, real property, rent, utilities, etc.).
- Travel: Out-of-state travel costs, and any travel not directly required to implement the project.
- Administrative salaries: Administrative salaries are NOT eligible for grant reimbursement but may be used as match funds. For the purposes of this RFA, administrative salaries are defined as follows:
 - Preparation of equal employment opportunity and women and minority business enterprises documentation.
 - Preparation of quarterly narrative and expenditure reports.
 - Preparation of payment reimbursement request forms and backup cost documentation.
 - Preparation of Final Report upon project completion.

- State and/or federal funding: project costs funded from other state and/or federal funding sources are not eligible for grant reimbursement.

Budget limitation: For projects that include monitoring, no more than 50% of the grant request may be allocated to monitoring expenses.

Match Requirement and Expenditures

Applicants must provide at least **15% in match funds based on the amount of grant funds**. Applicants who provide double the minimum match (30%) or more will qualify for extra points in the scoring.

Formula: Requested Budget x 15% = Required Match

Eligible Forms of Match

- Cash: Includes other grants from non-state or non-federal funding sources.
- Personal Services: Staff salaries devoted to the project, including fringe benefits expenses. Itemize salaries according to job title or job assignment on the project. Grantees will be required to document time worked, tasks, pay ratio and payment.
- Contractual Services: The value of services provided by responsible professional and technical personnel and consultants (i.e. engineering and architectural services, surveys, plans and specifications, research, design and development of a project, consultant and legal services directly related to a project, feasibility study for a facility, archaeological field work, report writing, curation of artifacts and interpretation, etc.).
- Supplies and materials: The current market value of items warehoused (not yet installed); use value current at time items were obtained.
- Volunteer Labor: Skilled and professional labor can be computed at the job rate. Unskilled labor and work performed by professionals or skilled laborers in an area outside of their area of expertise must be computed at the minimum wage (For example, a lawyer donating legal services may compute the value based on the standard billing rate, but the same lawyer donating time painting walls must calculate the value using minimum wage).
- Equipment: Compute the value according to its fair market value in the project location.
- Travel: Travel costs directly required to implement the project (within New York State only).
- Administrative Salaries: Administrative salaries must be documented and identified by task, and must fall within the grant contract term to be eligible as match. For the purposes of this RFA, administrative salaries are defined as follows:
 - Preparation of equal employment opportunity and women and minority business enterprises documentation.
 - Preparation of quarterly narrative and expenditure reports.
 - Preparation of payment reimbursement request forms and backup cost documentation.
 - Preparation of Final Report upon project completion.

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

Ineligible Forms of Match

- Indirect costs: Overhead or operating expenses (space, real property, rent, utilities, etc.).
- Travel costs: Out-of-state travel costs, and any travel not directly required to implement the project.
- Other State or Federal funding: Project costs paid from other state and/or federal funding sources.

Grant Program Reporting

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

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

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

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

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

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

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

What to Expect If You Receive an Award

1. Notification of Award

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

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

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

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

- MCG Face Page
- Standard Terms and Conditions (NYS standard terms and conditions)
- Attachment A-1 Program Specific Terms and Conditions (*Agency and Program specific terms and conditions*)
- Attachment B-1 Expenditure Based Budget (*project expense categories and detail*)
- Attachment C Work Plan (project objectives, tasks and performance measures)
- Attachment D Payment and Reporting Schedule (claims for reimbursement and grant reporting provisions)

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

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

a. Insurance Requirements

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

b. Permit Requirements (if applicable)

Contractors agree to obtain all required permits, including but not limited to, local, state and federal permits prior to the commencement of any project-related work. The Contractor agrees that all work performed in relation to the project by the Contractor or its agents, representatives, or contractors will comply with all relevant federal, state and local laws, rules, regulations and

standards, zoning and building codes, ordinances, operating certificates for facilities, or licenses for an activity.

c. State Environmental Quality Review Documentation

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

d. Vendor Responsibility Questionnaire

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

e. Iran Divestment Act

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

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

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

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

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

Please refer to the NYS MCG - Article IV (J) and Attachment A-1 Program Specific Terms and Conditions - Article X, to review MWBE and EEO requirements.

- The local government is responsible for designating someone to serve as their Affirmative Action representative. The governing body should make this designation through official means.
- A list of certified M/WBE enterprises can be obtained via the internet from the NYS Department of Economic Development at <https://ny.newnycontracts.com/FrontEnd/searchcertifieddirectory.asp>

MWBE reporting for Department of Environmental Conservation contracts must now be completed using the New York State Contract System (NYSCS). <https://ny.newnycontracts.com/>.

All contracts of \$25,000 or more will be assessed for MWBE goals. Contracts which meet the established MWBE-EEO thresholds require the Contractor to submit the Utilization Plan prior to the execution of the contract and Monthly Compliance Audits in the NYSCS after the contract is executed. To submit the required MWBE Utilization Plan, log-in to NYSCS and access the Utilization Plans section displayed on the user dashboard. Plans requiring action will be displayed in red.

All contractors shall complete an Equal Employment Opportunity (EEO) Policy Statement and Staffing Plan form and submit it prior to the execution of the contract. These EEO forms are to be uploaded to the Grants Gateway in the grantee document folder.

For more information regarding MWBE compliance and reporting guidelines, and to download required forms, please visit <https://www.dec.ny.gov/about/61016.html#MWBE>.

The following M/WBE-EEO “Fair Share” goals are established as follows:

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

Construction/Engineering – up to 30%
Commodities – up to 30%
Services/Technologies – up to 30%

DEC M/WBE Compliance
NYS Department of Environmental Conservation
Bureau of Contract and Grant Development/MWBE Program
625 Broadway, 10th Floor
Albany, New York 12233-5028
Mwbe@dec.ny.gov
Phone: (518) 402-9240
Fax: (518) 402-9023

g. Service-Disabled Veteran-Owned Business Participation Requirements

The Department is required to implement the provisions of New York State Veteran’s Law Article 3. The contractor must make Good Faith Efforts to subcontract a goal of 6% of the contract amount to New York State Certified Service-Disabled Veteran-Owned Businesses

(SDVOBs), for purposes of providing meaningful participation by SDVOBs.

The contractor is required to complete and submit a SDVOB Utilization Plan detailing how the contractor intends to meet the SDVOB goal. In addition, the contractor must complete and submit quarterly compliance reports detailing the amount spent on SDVOBs in the previous quarter. Please upload all required forms to the Grants Gateway. In addition, all forms and guidance can be located at <https://ogs.ny.gov/veterans/division-service-disabled-veterans-business-development-compliance-and-reporting>. Please contact the Department's SDVOB compliance staff with any questions at:

DEC SDVOB Compliance Unit
NYS Department of Environmental Conservation
Bureau of Contract and Grant Development/SDVOB Program
625 Broadway, 10th Floor
Albany, New York 12233-5028
SDVOB@dec.ny.gov
Phone: (518) 402-9240

h. Procurement of Contractors/Subcontractors

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

i. Americans With Disabilities Act

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

j. Diesel Emissions Reduction Act 2006

In 2007, New York State passed legislation establishing the Diesel Emissions Reduction Act 2006 (DERA). This Act amended the Environmental Conservation Law (ECL) by adding Section 19-0323 which requires the use of best available retrofit technology (BART) and ultra-low sulfur diesel fuel (ULSD) for heavy duty vehicles owned or operated by, including on behalf of, state agencies and state or regional public authorities. The Department has promulgated regulations (6 NYCRR Part 248) to provide guidance on provisions of the law. The regulations may be found on the Department's website at <https://www.dec.ny.gov/regs/2492.html>.

If applicable, the contractor must comply with the specifications and provisions of ECL Section 19-0323 and 6 NYCRR Part 248, which require the use of BART and ULSD, unless specifically waived by the Department. Qualifications for a waiver under this law are the responsibility of the Contractor.

k. Debriefing Request

In accordance with section 163 of the NY State Finance Law, DEC must, upon request, provide a debriefing to any unsuccessful offeror that responded to the Program Overview, regarding the reasons that the proposal or bid submitted by the unsuccessful offeror was not selected for an award. An unsuccessful offeror wanting a debriefing must request a debriefing in writing, within fifteen calendar days of receipt of the notice that their proposal did not result in an award. Debriefings requested after fifteen calendar days may be denied.

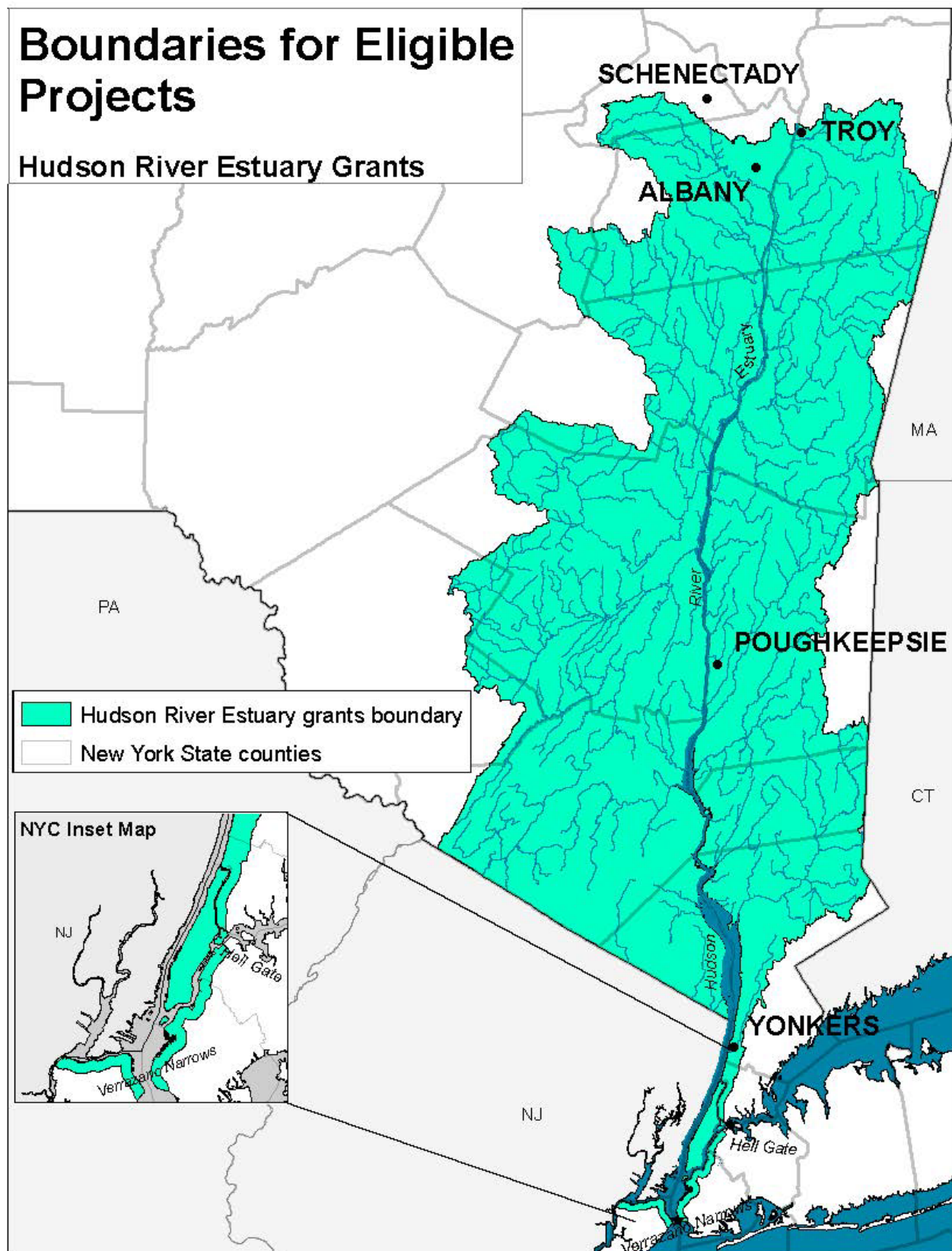
l. Protest Procedure

DEC does not have a formal protest procedure, therefore an applicant may file an initial protest with OSC's Bureau of Contracts (BOC) after the Department has made a contract award. The protest must be in writing and filed with BOC within ten business days of notice of the contract award or if a debriefing has been requested by the interested party, within five business days of the debriefing (whichever is later). If the interested party is not provided with notice of the contract award, the interested party may file a protest with BOC at any time after the contract award and prior to the Comptroller's final action on the contract.

Formal protests concerning a pending contract award must be received within five (5) business days after the protesting party knows or should have known of the facts that constitute the basis of the formal protest.

The protest must be filed with:
Bureau Director at bidprotests@osc.ny.gov or
Bureau of Contracts
New York State Office of the State Comptroller
110 State Street, 11th Floor
Albany, NY 12236

Appendix I: Map of Eligible Project Locations



Appendix II: Budget and Work Plan Guidance

BUDGET

General:

Eligible expenditures for grant and match are noted on pages 25-27 of this RFA.

The following item should be included in the budget (as applicable):

- Projects that include monitoring:

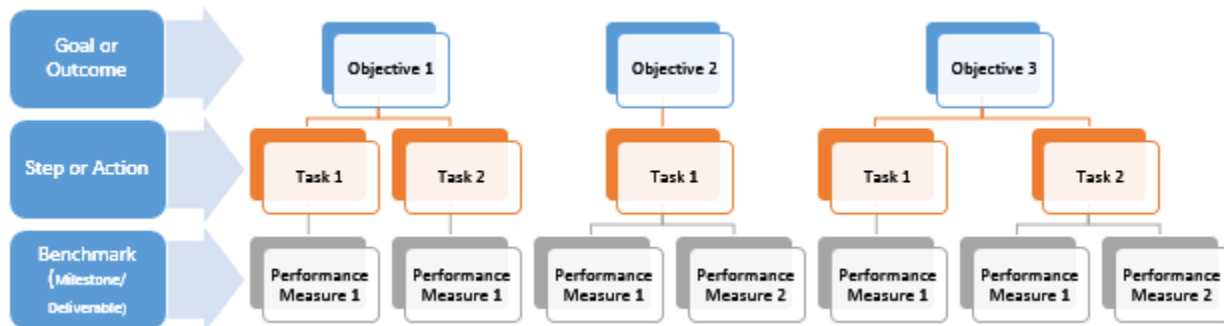
A QAPP is required for all projects that include monitoring. Funds may be allocated toward QAPP development if a QAPP is not submitted at time of application.

No more than 50% of the grant request may be allocated to monitoring expenses.

WORK PLAN

General:

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



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

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

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

in the Work Plan Detail as Objectives, Tasks, and Performance Measures.

The following items must be included in the Work Plan:

All projects:

At a minimum, consultation of Hudson River Estuary Program Staff must be included in the Work Plan for project management purposes. It is strongly encouraged to incorporate opportunities for Estuary Program staff to attend stakeholder meetings and to provide technical assistance in the planning process.

Projects that include monitoring:

A QAPP is required for all projects that include monitoring. If a QAPP is not submitted at time of application (see the Pre-Submission Uploads for the template), then QAPP Development must be included ***at the beginning of the Work Plan***. Example as follows:

OBJECTIVE	TASKS	PERFORMANCE MEASURES
1: Develop QAPP for DEC Review and Approval	a. Draft and Submit QAPP - Draft a QAPP and submit it to DEC's Quality Assurance Officer for review and approval.	i. QAPP Submitted - QAPP is submitted to DEC's Quality Assurance Officer for review and approval.
	b. Approved QAPP - As needed, work with DEC's Quality Assurance Officer to modify QAPP until it is approved.	i. QAPP approved - QAPP is approved by DEC's Quality Assurance Officer, and the remaining Work Plan Objectives can move forward.

Appendix III: Application Evaluation and Scoring Criteria

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

Level 1

- The applicant is eligible as provided on page 3 of this RFA. A not-for-profit organization must also be prequalified in the Grants Gateway by the application due date to be determined eligible under this grant opportunity.
- Location: The project must be located within the defined geographic boundaries of this RFA (see map in Appendix I).
- The project implements one of the specified eligible project types.
- Quality Assurance requirements for sampling are demonstrated to be met, or are not applicable.
- The uploaded project timeline/schedule demonstrates completion of project objectives, tasks and deliverables within a two-year contract term.
- All project funding sources are eligible, and at least 15% in eligible matching funds is identified.
- If applicable, letters of collaboration are provided from all applicant partners, which must include “Lead” applicant designation.
- The applicant must provide the required certification for sexual harassment prevention, as required by State Finance Law §139-I.
- Application is complete and all required paperwork is submitted.

PROJECT OBJECTIVES AND TYPEmaximum 35 points

Project Objective and Conservation Impact (maximum 35 points):

1. How well does the project, its location, statement of need, methods, and deliverables impact the objective of this RFA: to prepare plans, designs, studies, etc. that will lead to the implementation of conservation in the eligible project type for which it is submitted?
 - Project as scoped (location, method, deliverables, budget details) clearly addresses the RFA objective for the project type and the plan, if implemented as described, is likely to have an exceptional conservation impact:

Regional *	35 Points
Non-Regional	30 Points
 - Project as scoped (location, method, deliverables, budget details) clearly addresses the RFA objective for the project type and the plan, if implemented as described, is likely to have a strong conservation impact:

Regional *	25 Points
Non-Regional	20 Points
 - Project as scoped (location, method, deliverables, budget details) clearly addresses the RFA objective for the project type and the plan, if implemented as described, is likely to have a beneficial conservation impact:

Regional *	15 Points
Non-Regional	10 Points
 - Project as scoped (location, method, deliverables, budget details) clearly addresses the RFA objective for the project type, but conservation impact is modest (regional* or non-regional),..... 5 Points
 - Application meets one or more of the following:
 - (i) one or more aspects of the methodology is flawed in some way that affects meeting the primary RFA objective;
 - (ii) application may have an impact, but it does NOT address how the proposed project will

- create a plan or set the stage for future implementation of conservation projects resulting from the plan;
- (iii) the project duplicates work in progress or already completed by others based on public information; and/or
- (iv) the proposed project method, statement of need, and/or deliverables are insufficiently described to determine objective or impact.
-0 points

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

PROJECT SUCCESS FACTORS.....maximum 42 points

Stakeholder Engagement and Implementation Commitment (maximum 12 points):

2. How well does the project engage key stakeholders (local & regional) whose support is needed for the project to succeed and for planning to be implemented? **Note: letters from Applicant Partners (see page 16) will not count toward evaluation of stakeholder engagement since documenting an Applicant Partner's commitment to the project is a pass/fail criteria, and is required by the application.**
- Application identifies key stakeholders necessary for success in planning the project as well as implementation of project results, explains robust engagement and their role(s)/how they will be engaged, and includes such engagement in the timeline/workplan. Stakeholder engagement is demonstrated with letters of support describing how they will be involved in supporting the project, AND local or county officials (who are not the applicant) have provided a letter of support.....12 points
 - Application identifies key stakeholders necessary for success in planning the project as well as implementation of project results, explains robust engagement and their role(s)/how they will be engaged, and includes such engagement in the timeline/workplan. Stakeholder engagement is demonstrated with letters of support describing how they will be involved in supporting the project, but the letters do NOT include local or county officials.....10 points
 - Application identifies key stakeholders necessary for success in planning the project as well as implementation of project results, explains robust engagement and their role(s)/how they will be engaged, and includes such engagement in the timeline/workplan. However, no letters of support are provided.....8 points
 - Acceptable engagement strategies are demonstrated and key stakeholders are identified, indicating project success is likely.....4 points
 - Known, crucial, key stakeholders are not engaged, or stakeholder engagement appears insufficient to assure project success.....0 points

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

3. How are Hudson River Estuary Program Staff engaged in the proposed project?
- Project timeline demonstrates early consultation with Estuary Program staff and offers an invitation to attend stakeholder meetings and to provide technical assistance in the planning process.....5 points
 - Project timeline only demonstrates early consultation with Estuary Program staff, or invitation to participate is late in the process.....2 points
 - Hudson River Estuary Program Staff engagement is vague or not defined.....0 points

Implementation Commitment (maximum 15 points):

4. How well has the applicant demonstrated that the results of the plan or project will be adopted or implemented once the plan is complete?
 - Project includes a defined path for the results of the project to be used; commitment to use the results is clearly demonstrated; and/or legitimate funding sources for the implementation are identified.....15 points
 - Plans to use the results are broadly defined, and are likely to be implemented.....8 points
 - Project is an assessment or inventory with potential for implementation.....4 points
 - No realistic path to implementation is identified.....0 points

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

5. Does the applicant demonstrate the knowledge, skills, and/or track record to successfully undertake a project of this nature?
 - Exceptionally well-qualified and/or superior track record for this type of project.....10 points
 - Very well qualified and/or established track record for this type of project.....8 points
 - Qualified and/or satisfactory track record.....5 points
 - Not well qualified and/or has a poor track record.....0 points

PROJECT COST EFFECTIVENESS.....maximum 45 points

6. How well does the budget demonstrate value for cost? Cost effectiveness will be evaluated from the standpoint of both cost match, balance, and value. Applicants may compare the project costs to other similar work and explain the balance of expenses across budget categories. If applicable, provide justification for costs that exceed what is customary for the work to be completed. To sufficiently respond to this question, applicants are encouraged to upload documentation to support specific budget items, such as standard government wage rates, current market prices for equipment, and cost-estimates from potential contractors / vendors.
 - Exceptional value for the cost: Projects that meet both of the following two criteria will score 45 points:
 - Project provides 30% match or more, and
 - Budget is well-balanced, and does not contain any extraneous expenses. Cost-to-benefit ratio is appropriate for the complexity and size of the project. Anticipated benefits are at a scale and cost equivalent to the fair market value of the proposed budget.
 - Cost-effectiveness is reasonable: Budget is well-balanced, and does not contain any extraneous expenses. Cost-to-benefit ratio is appropriate for the complexity and size of the project. Anticipated benefits are at a scale and cost equivalent to the fair market value of the proposed budget. (36 points)
 - Project is not cost effective: Budget is unreasonable, not cost-effective, is confusing, extraneous, excessive or not well aligned with the project purpose. Budget does not conform well to project deliverables and/or expenses are unrelated to project objectives (0 points)

Points for meeting minimum standards for key stakeholder support, implementation commitment qualifications, and cost effectiveness (maximum 68 points):

7. Does applicant receive points in key stakeholder support, implementation commitment, qualifications, and cost effectiveness?
 - Yes.....68 points
 - No.....0 points

STATEWIDE PRIORITY POINTS.....maximum 15 points

Regional Economic Development Plan:

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

Environmental Justice:

9. Will the proposed project benefit a designated Environmental Justice Community and has the necessary EJ application information been provided?
- If yes, add5 points

Coordinated Planning:

10. Has the applicant demonstrated that the proposed planning project helps accomplish one of the following: (i) implementing an adopted Climate Smart Communities pledge through adaptation planning actions outlined in the Climate Smart Communities Certification Program (<https://climatesmart.ny.gov/actions-certification/actions/>), (ii) implementing a planning element of a Greenway Plan; (iii) implementing a planning element of a Local Waterfront Revitalization Plan; (iv) implementing a protection or management strategy identified in a Drinking Water Source Protection (DWSP2) Plan; or (v) implementing planning element of an adopted Watershed Plan; or (v) implementing a municipal comprehensive or master plan?
- If yes, add.....5 points

ADDITIONAL POINTS.....maximum 20 points

Map of Project Location:

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

New Partnerships:

12. Is the applicant an organization or municipality or watershed group that has not previously received a Hudson River Estuary grant?
- If yes, add5 points

Support from State Elected Officials:

13. Above and beyond essential project support (Program Question 11), does the application demonstrate support from state elected officials?
- If yes, add5 points

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

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

TOTAL ELIGIBLE POINTS.....225 points

Appendix IV: Reporting on Measures of Success

As part of reporting requirements for a grant under this RFA, grantees will be expected to report on how their project is helping to achieve the Measures of Success outlined in the [2021-2025 Hudson River Estuary Action Agenda](#). Measures of Success, by Benefit, are bulleted below. Benefit(s) that apply to this specific grant opportunity are **highlighted in yellow**.

A Vital River Ecosystem

1. **Benefit: Sustainable estuarine fisheries**

- By 2025, our understanding of Atlantic sturgeon spawning habitat locations and seasonal habitat use has been refined, **the Atlantic States Marine Fisheries Commission (ASMFC) Atlantic sturgeon management plan has been implemented, and sturgeon are making measurable progress toward interim recovery goals**. By 2030, they are on track to meet 2050 management goals for sustainable fisheries developed by the ASMFC.
- By 2025, river herring populations are at sustainable levels, **and by 2030, that status has continued**.
- By 2025, factors contributing to the failure of American shad populations to recover have been determined, and a shad management plan with identified benchmarks has been adopted. **By 2030, shad are making measurable progress toward interim recovery goals**.
- **Annually**, the “Best Technology Available” standard has been implemented or scheduled in order to minimize or avoid fish kills at industrial and municipal facilities that use water withdrawals for non-contact cooling, and for **the remaining** steam electric power plants.
- By 2025, **an index** of abundance for the Hudson River striped bass spawning stock has been developed. **Factors contributing to the recent decline of striped bass populations have been determined and are actively being managed in accordance with the ASMFC management plan. By 2030, striped bass show a reverse in the apparent decline in size and number of spawning adult females**.
- By 2025, a black bass management plan has been developed and implemented, **and by 2030, black bass are sustainably managed**.
- By 2025, contaminants (PCBs, dioxins, cadmium) in blue crab have been reduced to levels at or approaching safety for human consumption, as established by the New York State Department of Health (DOH), **and by 2030, contaminant level remain at or below these levels**.
- By 2025, **plans are in place to address potential invasions of invasive/exotic fauna**, and by 2030, they have been minimized through preventive measures **such as education, outreach, regulatory efforts, and control projects**.

2. **Benefit: Robust river habitats**

- **By 2025, geospatial data on contaminants and habitat value are integrated to prioritize removal of contaminated source areas that can affect ecosystem function. By 2030, prioritized areas are actively being remediated**.
- By 2025, **invasive species infestations and pathways have been identified and prioritized**, with treatments proposed or implemented, **where feasible**, and monitored for success. By 2030, newly discovered invasive species have been treated to prevent establishment.
- By 2025, **habitat value (increased structural complexity and vegetation) has been increased for at least one new mile of shoreline, and by 2030, the number of new miles has doubled, an increase over the 2015 baseline of 3,250 linear feet of habitat value increased to date through sustainable shoreline best management practices (BMPs)**.
- By 2025, **20 new acres of shallow/intertidal habitats have been enhanced or restored, and 30 acres by**

2030, an increase over the baseline of 103 acres restored since 2005.

- **By 2025, 375 new acres of floodplain pathway for wetland migration have been conserved by New York State, and by 2030, that number has doubled to provide future habitat in response to sea-level rise.**
- **By 2025, 10 new acres of oyster habitat have been enhanced/restored in Hudson River Park's Estuarine Sanctuary, and by 2030, 50 new acres of oyster habitat have been enhanced/restored in the brackish waters of the estuary, an increase over the 2020 baseline of 16 acres restored to date in the NY/NJ Harbor and the Tappan Zee reach of the estuary.**

3. **Benefit: Clean Hudson River water**

- **By 2025, updated water quality monitoring has been completed using accepted DEC methods, and any trends of concern have been identified. By 2030, a characterization is complete, and plans have been developed to address such concerns.**
- **By 2025, all permittees with chronic SSOs are in compliance with permits, consent orders, and associated schedules, and by 2030, they are implementing corrective plans if required.**
- **By 2025, all nine permittees with CSOs are on schedule to meet their priority Long Term Control Plan (LTCP) actions, and by 2030, all nine are making progress in addressing overflows to attain water quality standards.**
- **By 2025, 15 wastewater infrastructure improvement and stormwater management projects are underway that address priority water quality and resilience concerns within tidal tributary mouths, the Hudson mainstem, and river cities, and by 2030, that number has doubled to 30 projects underway.**

A Thriving & Resilient Watershed

1. **Benefit: Healthy tributaries**

- **By 2025, the stream segments of three or more watersheds have been fully assessed to identify potential water quality impairments, and by 2030, a Nine Element Watershed (9E) plan, a TMDL, or a plan for the development of BMPs that address impaired waters is underway in 5 tributaries with impacted stream segments.**
- **By 2025, five or more new miles of streamside vegetation have been planted, and revegetation goals have been established that indicate effectiveness of streamside plantings. By 2030, that number has doubled, with a cumulative total of 35 miles since the Trees for Tribes program began in 2007, with at least 5 miles demonstrating effectiveness.**
- **By 2025, culverts have been assessed in 75% of the watershed, sites have been prioritized for restoring connectivity and resiliency, and implementation has started to restore 5 miles of habitat in priority locations. By 2030, 25 miles of stream have been restored through dam removal and culvert replacement. (At the start of 2021, 60% of the culverts in the watershed were assessed.)**
- **By 2025, 10 watersheds have one or more of the following: a watershed-based assessment, characterization, intermunicipal cooperative agreement, management plan, Drinking Water Source Protection Program plan, stream habitat study, or flood risk and mitigation studies (e.g., Resilient NY flood studies). By 2030, that number is doubled.**
- **By 2025, all permittees with chronic SSOs are in compliance with permits, consent orders, and associated schedules, and by 2030, they are implementing corrective plans, if required.**
- **By 2025, at least 1,000 acres have been conserved for source water protection, and by 2030 that number has tripled. Watershed protection is encouraged for drinking water protection, including an emphasis on Environmental Justice communities.**

2. **Benefit: Climate-adaptive communities**

- By 2025, 100 new Climate Smart Communities (CSC) adaptation and resilience actions have been completed that increase adaptive capacity and physical climate resilience, and by 2030, 250 have been completed. (Baseline is zero. Measurement is for new projects started after January 1, 2021.)
- By 2025, 10 communities have completed Climate-Adaptive Design Phase I (Engaged Studio), or a similar process, and 5 have completed Phase II (Design Advancement). By 2030, 15 communities have completed Phase I, or a similar process, and 10 have completed Phase II. (Baseline is five Phase 1s and two Phase 2s completed as of January 2021.)
- By 2025, 27 (10%) local governments are working together in the Flood Resilience Network, and by 2030, 53 (20%) local governments are working together in the Flood Resilience Network. (Baseline is 14 local governments or 5%, as of January 2021.)
- By 2025, 100% of new adaptation plans include **natural and nature-based solutions and consider** social equity factors and are developed using inclusive **engagement best practices**. **By 2030, this has continued annually.** (Baseline is zero. Measurement is for new projects started after January 1, 2021.)

3. **Benefit: Conserved natural areas for wildlife, source water, climate resilience, and scenery**

- By 2025, at least 12,000 acres of natural area in the watershed, including 2,000 acres along the estuary, have been newly conserved by New York State and partners. By 2030, those numbers increase to 20,000 and 3,000 acres, **respectively. (At the start of 2021, approximately 617,000 acres, or 18% of the watershed, were protected.)**
- By 2025, five **new** planning projects have been completed to support landscape-scale **conservation, regional biodiversity priorities**, and habitat connections (e.g., core forests, stream corridors, wetland complexes, source watersheds). **By 2030, the number of completed connectivity planning projects increases to 10.**
- By 2025, two municipalities in the watershed have successfully established **new** local land acquisition programs (e.g., Community Preservation Act or open space **bond**) **for** the protection of conservation priorities, and by **2030, that number increases to five municipalities.**
- By 2025, new or updated conservation practices, plans, and policies have been completed in 25 municipalities, including 10 in Significant Biodiversity Areas, on the estuary shoreline, or in other areas identified as conservation **and/or environmental justice priorities**, and by **2030, those numbers increase to 50 and 20, respectively.**
- By 2025, **40%** of municipalities with natural resource inventories (NRIs) **completed since 2015** have used their NRIs for a **conservation plan or policy (e.g., open space plan or conservation overlay zone) or comprehensive plan**. **By 2030, that number increases to 50%. (At the start of 2021, 30% of the 20 NRIs completed since 2015 were used in a plan or policy.)**

People Living Well With Nature

1. **Benefit: An informed and engaged public**

- Annually, at least 80% of educators trained will implement or intend to use our professional development content in their classrooms.
- By 2025, **effective curricula and programs have engaged 125,000 students, educators, volunteers, and decision-makers in Hudson River environmental education, and by 2030, that number has doubled, (an increase over our previous engagement of 100,000 people for the period 2015–2020)**
- By 2025, at least 10,000 people have participated in **community science and public programs focused on the Hudson River and its watershed—an increase over our 2020 baseline of 2,000 annually—and by 2030, that number has doubled.**

- By 2025, at least 30% of participants who have been engaged in education programs delivered by the Estuary Program or through grants and technical assistance to partners are from environmental justice areas—**an increase over the 25% 2020 baseline—and by 2030, that number has doubled.**
- By 2025, **10 or more** locally based facilities for learning about the river have been enhanced with state-of-the-art exhibits, **as well as improved programs, materials, and visitor experiences, and by 2030, continued investments are made in enhancing these 10 facilities, sustaining our 2015–2020 level of support with deeper engagement at participating facilities.**
- By 2030, up to 25% of school districts in the estuary watershed, and 50% of districts that border the shoreline, have participated in **river studies at multiple grade levels or in-depth study within a grade, sustaining our 2015–2020 level of support with deeper engagement at participating schools.**

2. Benefit: An accessible Hudson River for people of all ages and abilities

- By 2025, accessibility **for people of all ages and abilities** has been improved at 10 new or existing Hudson River estuary and harbor access sites **by the State and partners**, and by 2030, accessibility has been improved at a minimum of 20 **new or existing sites, with 50% having the ability to serve (via location or programmatically) disadvantaged communities, sustaining or exceeding our 2015–2020 level of support.**
- By 2025, ecologically sound flood-resiliency plans have been developed for 10 access sites in the anticipated 2050 floodplain, **with 50% being in underserved areas, an increase over the 2020 baseline number of four such sites. Implementation of resilience practices is underway at three sites by 2025. By 2030, those numbers have doubled.**

Appendix V: Certification for Sexual Harassment Prevention

Attachment S

Sexual Harassment Prevention Certification Form

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

Company Name: _____

Signature: _____

Print Name and Title: _____

Date: _____

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

Company Name: _____

Signature: _____

Print Name and Title: _____

Date: _____

Appendix VI: Application Checklist

Use this checklist to ensure applicant eligibility, project eligibility, and proper application completion. Incomplete or ineligible applications will not be evaluated for funding.

- **PASS/FAIL CRITERIA**

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

1. ☐ Applicant is registered in the Grants Gateway as an eligible applicant for this program.
2. ☐ **NOT-FOR-PROFIT ORGANIZATIONS:** Applicant is prequalified in the Grants Gateway by the application due date.
3. ☐ Project is located within the defined geographical boundaries of the Hudson River Estuary.
4. ☐ Project implements one or more of the specified eligible project types.
5. ☐ ELAP requirements are met, or are not applicable, for projects that propose sampling.
6. ☐ Project timeline indicates completion of project objectives, tasks and deliverables within a two-year contract term.
7. ☐ All project funding sources are eligible and at least 15% in eligible match has been identified.
8. ☐ If applicable, letters of collaboration are provided for all applicant partners.
9. ☐ The required certification for sexual harassment prevention is uploaded (Mandatory Upload in Pre-Submission Uploads section in the Grants Gateway).
10. ☐ Application is complete in the Grants Gateway (make sure to “Check Global Errors”).

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

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

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

Mandatory uploads:

- a. ☐ Program Question 8: A project timeline, showing project start date of February 1, 2024 with a completion date of January 31, 2026. Engagement of the Estuary Staff should be included as an element in the timeline.

Optional uploads, as applicable:

- a. ☐ Program Question 1: Location map showing the project area.
 - b. ☐ Program Question 11: Letters of support as evidence of stakeholder engagement.
 - c. ☐ Program Question 17: Documentation (i.e. vendor quotes) for cost-effectiveness.
 - d. ☐ Program Question 28: QAPP for monitoring projects (uploaded under Pre-Submission Uploads)
2. ☐ The expenditure-based budget is completed, including justifications for all budget items.
 3. ☐ The work plan is provided with clear objectives, tasks, and performance measures.

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

1. ☐ This *Application Checklist* is completed and uploaded into the Grants Gateway.

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