

NOTICE OF AVAILABILITY

2017 Consolidated Funding Application

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

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

This announcement is meant to provide a general overview of the programs included in this year's REDC/CFA competition and does not contain all program requirements and guidelines. Full solicitations, application materials, and details for CFA workshops are available online at www.regionalcouncils.ny.gov. The funding solicitation opens on Monday, May 1, 2017 and applications will be accepted through the CFA until 4:00 pm on Friday, July 28, 2017.

This year, there are over 30 programs available through 12 state agencies, including Empire State Development; NYS Canal Corporation; NYS Energy Research and Development Authority; Environmental Facilities Corporation; Homes and Community Renewal; Department of Labor; New York Power Authority; Office of Parks, Recreation and Historic Preservation; Department of State; Department of Environmental Conservation, Department of Agriculture & Markets, and Council on the Arts. In an effort to provide the most appropriate state resources through this process, participating agencies will be able to review and potentially provide funding to a project that did not specifically apply to that program, if the materials submitted at time of application satisfy the requirements for that program and allow for fair review under the circumstances. In addition, all programs contained in this document will use regional distribution standards to ensure projects are funded throughout the state.

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

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

Funding is available through the following programs:

2017 Available Resources

Direct Assistance to Business and Other Organizations: Up to \$247.25 million

- **Empire State Development**
 - Up to \$150 million for ESD Grant Funds
 - Up to \$75 million for Excelsior Jobs Program
 - Up to \$1.25 million for Innovation Hot Spot Support Program
 - Up to \$1 million for Strategic Planning and Feasibility Studies
 - Up to \$15 million for Market New York
- **NYS Department of Agriculture and Markets**
 - Up to \$5 million for NYS Grown & Certified Agricultural Producers' Grant Program

Community Development: Up to \$73.1 million

- **New York State Council on the Arts**
 - Up to \$5 million for Arts, Culture and Heritage Projects
 - Up to \$20 million for NYSCA/ESD Arts & Cultural Facilities Improvement Program
- **Homes and Community Renewal**
 - Up to \$20 million for New York State Community Development Block Grant Program
 - Up to \$6.2 million for New York Main Street Program
- **Office of Parks, Recreation and Historic Preservation**
 - Up to \$20 million for Environmental Protection Fund Grants
 - Up to \$1.9 million for Recreational Trails Program (RTP)

Waterfront Revitalization: Up to \$16.2 million

- **Department of State**
 - Up to \$15.2 million for the Local Waterfront Revitalization Program
- **New York State Canal Corporation**
 - Up to \$1 million for the Canalway Grants Program

Energy: Up to \$40 million

- **New York State Energy Research and Development Authority**
 - Up to \$40 million for Energy Efficiency Programs
- **New York State Power Authority**
 - Up to 157MW for the ReCharge NY Program

Environmental Improvements: Up to \$105 million

- **Department of Environmental Conservation**
 - Up to \$3 million for NYS DEC/EFC Wastewater Infrastructure Engineering Planning Grant
 - Up to \$87 million for the Water Quality Improvement Projects (WQIP) Program
- **Environmental Facilities Corporation**
 - Up to \$15 million for the Green Innovation Grant Program

Sustainability Planning and Implementation: Up to \$14 million

- **Department of Environmental Conservation**
 - Up to \$10 million for the Climate Smart Communities Program
- **Department of State**
 - Up to \$4 million for Local Government Efficiency Grants

Education/Workforce Development: Up to \$5 million

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

Low Cost Financing: Up to \$300 million

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

Direct Assistance to Businesses and Other Organizations

Empire State Development Grant Funds

Funding Available: Up to \$150 million

DESCRIPTION:

ESD has \$150 million of capital grant funding from the Regional Council Capital Fund available for the State's Regional Economic Development Council Initiative, which helps drive regional and local economic development across New York State in cooperation with ten Regional Economic Development Councils ("Regional Councils").

Capital grant funding is available for capital-based economic development projects intended to create or retain jobs; prevent, reduce or eliminate unemployment and underemployment; and/or increase business or economic activity in a community or Region.

Grant funding will be allocated among the ten regions, each represented by a Regional Council. Funding decisions will be based on each Regional Council's development and implementation of a five-year strategic plan that sets out a comprehensive vision for economic development and specific strategies to implement that vision, coupled with New York State's economic growth priorities. Funding will be allocated to projects, including priority projects identified by the Regional Councils, identified as significant, regionally supported and capable of stimulating economic investment.

In addition, special consideration shall be given to projects supporting Regional Economic Development Council Opportunity Agenda priorities, Veterans' Related Projects, and Downtown Revitalization Initiative projects.

Funding will be awarded by the New York State Urban Development Corporation (d/b/a Empire State Development) at its discretion.

ELIGIBLE TYPES OF APPLICANTS:

Eligible Applicants include but are not limited to: for-profit businesses, not-for-profit corporations*, business improvement districts, local development corporations, public benefit corporations (including industrial development agencies), economic development organizations, research and academic institutions, incubators, technology parks, municipalities, counties, regional planning councils, tourist attractions and community facilities.

* If awarded funding, prior to ESD Directors' approval and execution of a contract with ESD, a not-for-profit corporation must be registered and up-to-date with filings with the New York State Office of the Attorney General's Charities Bureau and the New York State Office of the State Comptroller's VendRep System and must be prequalified in the New York State Grants Gateway.

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

Applicants applying for ESD Grant Funds should clearly describe the scope and budget for the "project" for which funds are being requested. For example, an Applicant may be planning a larger project that would include multiple phases, such as in the case of a major infrastructure project or redevelopment of a specific geographic area. However, the "project" for which funds are being requested via the CFA might consist of only one phase of the larger project. In such situations, the request for ESD Grant funds should be specific to the phase, NOT the overall multi-phase project.

Assistance generally falls into three categories:

1. Business Investment

2. Infrastructure Investment

3. Economic Growth Investment

GRANT FUNDS MAY BE USED FOR:

- Acquisition of land, buildings, machinery and/or equipment;
- Demolition and environmental remediation;
- New construction, renovation or leasehold improvements;
- Acquisition of furniture and fixtures;
- Soft costs of up to twenty-five percent (25%) of total project costs; and
- Planning and feasibility studies related to a specific capital project or site.

INELIGIBLE ACTIVITIES:

The following types of expenses may be included in budgets but shall not be eligible for reimbursement by grant funds:

- Developer fees;
- Training;
- Residential development, although program funds may only be used for the commercial component of a mixed-use project; and
- Block grant projects or revolving loan funds

ADDITIONAL RESOURCES:

For more information, eligible Applicants should contact the local Empire State Development Regional Office. A complete list of the ESD Regional Offices can be found at <http://esd.ny.gov/RegionalOverviews.html>

Excelsior Jobs Program

Funding Available: Up to \$75 million

DESCRIPTION: The Excelsior Jobs Program, established in Chapter 59 of the Laws of 2010, provides job creation and investment incentives to firms in such targeted industries as biotechnology, pharmaceutical, high-tech, clean-technology, green technology, financial services, agriculture and manufacturing. Firms in these industries that create and maintain new jobs or make significant financial investment are eligible to apply for up to four tax credits. The Program encourages businesses to expand in and relocate to New York while maintaining strict accountability standards to guarantee that businesses deliver on job and investment commitments. Program costs are capped at \$500 million annually to maintain fiscal affordability and ensure that New Yorkers realize a positive return on their investment.

Firms in the Excelsior Jobs Program may qualify for four, fully refundable tax credits. Businesses claim the credits over a multi-year period. To earn any of the following credits, firms must first meet and maintain the established job and investment thresholds.

The Excelsior Jobs Tax Credit: A credit of 6.85 percent of wages per new job to cover a portion of the associated payroll cost.

The Excelsior Investment Tax Credit: Valued at two percent of qualified investments.

The Excelsior Research and Development Tax Credit: A credit of 50 percent of the Federal Research and Development credit up to six percent of eligible research expenditures in NYS.

The Excelsior Real Property Tax Credit: Available to firms locating in certain distressed areas and to firms in targeted industries that meet higher employment and investment thresholds (Regionally Significant Project).

ELIGIBLE TYPES OF APPLICANTS: For-profit business entities including corporations, limited liability companies, partnerships, sole proprietorships.

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

Manufacturing: the process of working raw materials into products suitable for use or which gives new shapes, new quality or new combinations to matter which has already gone through some artificial process by the use of machinery, tools, appliances, or other similar equipment. "Manufacturing" does not include an operation that involves only the assembly of components, provided, however, the assembly of motor vehicles or other high value-added products shall be considered manufacturing.

Software Development: the creation of coded computer instructions and includes new media; the application of information technology to traditional communications outlets, particularly through interactive modes such as the Internet, including video games, web search portals, interactive web-based content, and interactive advertising.

Scientific Research And Development: conducting research and experimental development in the physical, engineering, and life sciences, including but not limited to agriculture, electronics, environmental, biology, botany, biotechnology, computers, chemistry, food, fisheries, forests, geology, health, mathematics, medicine, oceanography, pharmacy, physics, veterinary, and other allied subjects. For the purposes of this article, scientific research and development does not include medical or veterinary laboratory testing facilities.

Agriculture: agricultural production (establishments performing the complete farm or ranch operation, such as farm owner-operators, tenant farm operators, and sharecroppers) and agricultural support (establishments that perform one or more activities associated with farm operation, such as soil preparation, planting, harvesting, and management, on a contract or fee basis).

Back Office Operations: a business function that may include one or more of the following activities: customer service, information technology and data processing, human resources, accounting and related administrative functions.

Distribution Center: a large scale facility involving processing, repackaging and/or movement of finished or semi-finished goods to retail locations across a multi-state area.

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

Entertainment Company: means a corporation, partnership, limited partnership, or other entity principally engaged in the production or post production of (I) motion pictures, which shall include feature-length films and television films, (II) instructional videos, (III) televised commercial advertisements, (IV) animated films or cartoons, (V) music videos, (VI) television programs, which shall include, but not be limited to, television series, television pilots, and single television episodes, or (VII) programs primarily intended for radio broadcast. Entertainment Company shall not include an entity (I) principally engaged in the live performance of events, including, but not limited to, theatrical productions, concerts, circuses, and sporting events, (II) principally engaged in the production of content intended primarily for industrial, corporate or institutional end-users, (III) principally engaged in the production of fundraising films or programs, or (IV) engaged in the production of content for which records are required under section 2257 of Title 18, United States Code, to be maintained with respect to any performer in such production.

Financial Services: “Financial services data centers or financial services customer back office operations” means operations that manage the data or accounts of existing customers or provide product or service information and support to customers of financial services companies, including banks, other lenders, securities and commodities brokers and dealers, investment banks, portfolio managers, trust offices, and insurance companies.

Life Sciences: means agricultural biotechnology, biogenerics, bioinformatics, biomedical engineering, biopharmaceuticals, academic medical centers, biotechnology, chemical synthesis, image analysis, marine biology, medical devices, medical nanotechnology, natural product pharmaceuticals, proteomics, regenerative medicine, RNA interference, stem cell research, medical and neurological clinical trials, health robotics and veterinary science.

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

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

New York State Innovation Hot Spot Support Program **Funding Available: \$1.25 Million**

DESCRIPTION

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

Business incubation is the process of accelerating the development of entrepreneurial companies through a structured array of business support resources and services targeted to the needs of start-up companies. The business incubator is the entity responsible for organizing and managing these support services. Innovation Hot Spots are business incubators that are charged with coordinating regional entrepreneurial ecosystems, and can offer certain tax benefits to client businesses.

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

In this Round VII competition, ESD anticipates making five Innovation Hot Spot designations. ESD anticipates that one Innovation Hot Spot will be designated in each of the following economic development regions: Long island, New York City, Hudson Valley, Capital Region and Mohawk Valley.

Awardees will receive operating funds from ESD to expand and create services. Designation as an Innovation Hot Spot brings significant state income and sales tax benefits for the start-up companies within the Hot Spot, for a period of five years. These benefits¹ include:

- Corporation franchise tax benefit
- Personal income tax benefit; and
- Sales and use tax benefit.

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

ELIGIBILITY

- Any entity seeking designation as a New York State Innovation Hot Spot must currently be a business incubator program that has been in existence for three or more years.
- Applicants must provide a strategic plan for their incubator and demonstrate that their services align with industry best practices.
- Applicants must demonstrate how this funding will enable and/or expand services they provide to their tenant clients and demonstrate a 2:1 match of state funds.
- Applicants must demonstrate a strong affiliation with one or more colleges, universities or independent research institutions by providing a Memorandum of Understanding (MOU) describing such affiliation.
- Applicants are strongly encouraged to demonstrate regional partnerships with incubators or organizations assisting entrepreneurs and early stage companies.

¹ More information: www.tax.ny.gov/pdf/memos/multitax/m14_1c_1i_2s.pdf

- Applicants should demonstrate a track record of transitioning academic research to the marketplace.
- Only applicants within the New York State economic development regions of Long island, New York City, Hudson Valley, Capital Region and Mohawk Valley will be eligible for a New York Innovation Hot Spot Designation in this round.

FUNDING

Successful applicants will be awarded operating grants to expand the services and programs provided to start-up companies served by the incubator. Up to \$250,000² will be provided annually for five years to entities designated as a New York State Innovation Hot Spot. Five awards are anticipated in this category for CFA Round VII funding.

ESD Strategic Planning and Feasibility Studies

Funding Available: Up to \$1 Million

DESCRIPTION

ESD's Urban and Community Development Program promotes economic development in the State of New York by encouraging economic and employment opportunities and stimulating development of communities and urban areas. Total program funding of up to \$1 million is available for working capital grants of up to \$100,000 each to support 1) strategic development plans for a city, county, or municipality or a significant part thereof and 2) feasibility studies for site(s) or facility(ies) assessment and planning. Projects should focus on economic development purposes, and preference shall be given to projects located in highly distressed communities. In addition, special consideration shall be given to projects supporting Regional Economic Development Council Opportunity Agenda priorities and Downtown Revitalization Initiative projects. Each grant requires a minimum of 50% of total project costs in matching funds, which should include at least 10% of total project costs in the form of cash equity contributed by the Applicant organization. Funding will be awarded by the New York State Urban Development Corporation (d/b/a Empire State Development) at its discretion.

ELIGIBLE TYPES OF APPLICANTS:

- Cities
- Counties
- Municipalities
- Business Improvement Districts
- Local Development Corporations
- Not-for-profit Economic Development Organizations*

* If awarded funding, prior to ESD Directors' approval and execution of a contract with ESD, a not-for-profit corporation must be registered and up-to-date with filings with the New York State Office of the Attorney General's Charities Bureau and the New York State Office of the State Comptroller's VendRep System and must be prequalified in the New York State Grants Gateway.

² The funding is reimbursement based.

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

Assistance is available in the following two categories:

- Preparation and development of strategic development plans for a city, county or municipality or a significant part thereof; and
- Studies, surveys or reports, and feasibility studies and preliminary planning studies to assess a particular site or sites or facility or facilities for any economic development purpose other than residential, though mixed-use facilities with a residential component are allowed.

INELIGIBLE ACTIVITIES: For Site Assessment and Site Planning grants:

- Residential development, although program funds may be used for a study involving a mixed-use project.

ADDITIONAL RESOURCES: For more information, eligible Applicants should contact the local Empire State Development Regional Office. A complete list of the ESD Regional Offices can be found at <http://esd.ny.gov/RegionalOverviews.html>.

Market New York

Funding Available: Up to \$15 Million

Description

Market New York is a grant program established to strengthen tourism and attract visitors to New York State by promoting destinations, attractions and special events. Funding is available for tourism marketing initiatives, capital/construction projects and the recruitment and/or execution of special events, including meetings, conferences, conventions, festivals, agritourism/craft beverage events, athletic competitions and consumer and industry trade shows. The Market New York program and each funded proposal will work to support the long term strategic plans for economic growth as put forth by the Regional Economic Development Councils (REDCs). For the 2017-2018 Fiscal Year, up to \$15 million will be available through *Market New York*.

Funding is available for eligible projects that will create an economic impact by increasing tourism throughout the state. Grant funding will be allocated among the ten (10) REDC regions, based on each REDC's five-year strategic plan that sets out a comprehensive vision for economic development and specific strategies to implement that vision. REDC strategic plan information can be found at: <http://regionalcouncils.ny.gov/>.

There are two categories of funding available under *Market New York*, each with varying requirements. Up to **\$15 million total** is available for the following project categories:

1) Regional Tourism Marketing (Working Capital) - \$7 million;

Working capital includes marketing projects such as advertising, as well as non-capital costs associated with high quality, proven, new-to-the-state tourism special events that build tourism (only minimum requests of \$50,000 or more will be considered); and

2) Tourism Capital- \$8 million;

Tourism Capital includes funds for construction and/or renovation, as well as to purchase fixed assets/equipment for high quality, proven, new-to-the-state tourism special events that build tourism (only minimum requests of \$150,000 or more will be considered).

From the collective \$15 million available through Market NY, at least \$1 million will be awarded for projects around high quality, proven, new-to-the-state tourism special events that

build tourism, and \$2 million will be awarded for projects that promote visitation related to agritourism, including but not limited to craft beverage tourism.

*Applicants with projects that include both marketing and capital expenditures will need to clearly indicate that in their CFA application (select both capital and working capital when requested).

ELIGIBILITY REQUIREMENTS

Applicants must complete and submit a Consolidated Funding Application (CFA) which will be reviewed by Empire State Development (ESD) and the REDC for the primary region in which the project is located or Headquarters if there is not one single project location.

Projects must clearly demonstrate in both the CFA application and the project plan that the project is tourism related. Projects that fail to establish a direct tourism impact will be determined ineligible and will not be scored.

Entities that may apply for funding include not-for-profit corporations, municipalities, Tourism Promotional Agencies (TPAs), public benefit corporations and for-profit companies. **Individuals are not eligible to apply for this grant.** Businesses must be certified in New York State. Not-for-profit corporations are subject to New York State's Not-For-Profit Corporation Law, and must have proof of incorporation (or equivalent document) from the NYS Department of State or NYS Board of Regents, a charities registration number from the NYS Office of the Attorney General and proof of tax-exempt status under the IRS code.

Note to Not-For-Profit Organizations:

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

FUNDING CATEGORY INFORMATION

I. Regional Tourism Marketing (Working Capital)

Up to \$7 million

Only minimum requests of \$50,000 or more will be considered.

Applications will be accepted for projects that market New York State regional tourism destinations or attractions. Applicants must demonstrate how the tourism marketing project will promote and forward the tourism goals of the corresponding REDC's strategic plan, in addition to increased visitation or increase spending per visitor.

Successful tourism marketing projects will also complement the goals and strategies of I LOVE NY, namely to make New York State the destination of choice for families looking to create meaningful memories. Special measurement criteria include: increases in room nights, visitor frequency, visitor spending and length of stay. New York State will employ strategies to achieve these goals including television, digital, out-of-home and other advertising, activations at live events, international marketing, public relations efforts, social media engagement and others initiatives.

*Projects developed collaboratively between businesses and tourism promotion agencies (TPA) will be looked upon favorably.

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

II. Regional Tourism Capital

Up to \$8 million

(only minimum requests of \$150,000 or more will be considered)

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

Successful tourism marketing projects will also complement the goals and strategies of I LOVE NY, namely to make New York State the destination of choice for families looking to create meaningful memories.

Special measurement criteria include: increases in room nights, visitor frequency, visitor spending and length of stay. New York State will employ strategies to achieve these goals including television, digital, out-of-home and other advertising, activations at live events, international marketing, public relations efforts, social media engagement and others initiatives.

*Projects developed collaboratively between businesses and tourism promotion agencies (TPA) will be looked upon favorably.

Projects that include a hotel with more than 15 employees as a principal function are required to demonstrate compliance with Section 2879-b of Public Authorities Law regarding labor peace.

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

MORE INFORMATION/ASSITANCE

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

New York State Grown & Certified Agricultural Producer's Grant Program

Funding Available: Up to \$5 million

Description

The New York State Grown & Certified Agricultural Producers' Grant Program (the Program) will provide grants on a competitive basis to eligible applicants (Program Administrator) who will administer a grant program for NYS agricultural producers to meet food safety standards necessary for participation in the New York State Grown & Certified program (NYSG&C). The Program will be administered by the NYS Department of Agriculture and Markets (the Department).

The goals of the Program are to assist NYS agricultural producers with the capital costs of meeting food safety standards and increase participation in the NYSG&C program. Agricultural producers receiving grant funds from the program administrator will be required to participate the NYSG&C program.

Eligible Applicants:

Eligible applicants include: Counties and Municipalities, Local Development Corporations, Regional Development Corporations, Public Benefit Corporations, Industrial Development Agencies, and Not-for-profit corporations. Eligible Applicants will apply for a block grant for the purposes of providing grants to individual agricultural producers. Eligible Applicants will enter into a grant agreement with agricultural producers to complete individual projects.

Funding Available:

A total of \$5 million is available for the Program. A \$500,000 block grant will be awarded to a single entity in each NYS Regional Economic Development Council Region, of which not more than 15% (\$75,000) may be used for program delivery and administration cost directly related to the execution of the program. The NYS Regional Economic Development Councils are identified as follows: Long Island REDC, New York City REDC, Mid-Hudson REDC, Capital District REDC, North Country REDC, Mohawk Valley REDC, Central New York REDC, Southern Tier REDC, Finger Lakes REDC, and Western New York REDC.

Program Administrator Responsibilities:

Program Administrators will be responsible for day to day administration of the Program, including, but not limited to, marketing activities to ensure participation, accepting and evaluating proposals received from agricultural producers, awarding grants, contracting with eligible agricultural producers, ensuring the agricultural producers enrolls in the NY Grown and Certified Program, contract administration, and reporting to The Department as required.

Agricultural Producer Grant Program

Eligible Agricultural Producers

Agricultural producers located wholly within New York State which produce an agricultural product. Agricultural producers are defined in section 328(2) of the NY Agriculture and Markets Law as a commercial operation that involves land and on-farm buildings, equipment and

practices which contribute to the production, preparation and marketing of crops, livestock and livestock products. Agricultural product is defined as any agricultural or aquacultural product of the soil or water, including but not limited to fruits, vegetables, eggs, dairy products, meat and meat products, poultry and poultry products, fish and fish products, grain and grain products, honey, nuts, preserves, maple sap products, apple cider, and fruit.

Eligible Agricultural Producer Projects:

Capital projects that will enable agricultural producers to meet food safety standards necessary for participation in the New York State Grown & Certified program (NYSG&C).

Eligible Costs:

Eligible costs are direct capital costs of meeting food safety standards of the NYSG&C program for the agricultural product(s) produced by the eligible agricultural producer.

1. Machinery and Equipment
2. Construction
3. Acquisition of buildings

Ineligible Costs:

1. Working capital
2. Purchase of land

Community Development

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

Funding Available: Up to \$5 million

DESCRIPTION:

Funding for arts and culture initiatives is available to eligible non-profit and local units of government through the Regional Economic Development Program (REDC). The New York State Council on the Arts (NYSCA) welcomes applications in FY2018 for requests to REDC categories described below. This Local Assistance support is provided under Article 3 of NYS Arts and Cultural Affairs Law for the planning, presentation and staffing of the performing, literary and visual arts, to encourage broader participation and public interest in the cultural, heritage of the state, and to promote economic development.

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

All NYSCA's REDC Program funding must be distinct from applications for support already submitted to or currently funded by other NYSCA programs in FY 2018.

GOALS:

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

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

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

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

Grant awards will assist communities and organizations in the following ways:

- Attract visitors to experience the cultural assets of the community
- Broaden and encourage public access and participation in arts and culture
- Create new jobs in the arts and culture sector that will increase capacity, impact and efficiency of the organization(s), their programs and operations
- Expand business opportunities by harnessing the power of the creative economy
- Develop new and catalytic initiatives to expand public participation in arts and culture
- Bring public, private, and non-profit sectors together as partners with community members and artists, to strategically enhance local economy and sense of place

ELIGIBLE APPLICANTS AND ACTIVITIES:

The New York State Council on the Arts awards grants to nonprofit organizations either incorporated in or registered to do business in New York State, Indian tribes in New York State, and units of local government in New York State. An organization must have its principal place of business located in New York serving the state's constituents.

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

Organizations must be prequalified in Grants Gateway to be considered for funding. Prequalification must be completed by the CFA application deadline. Units of local government and Indian Tribes are exempt from the prequalification requirement. Please click here to register for Grants Gateway and apply for prequalification: <http://www.grantsreform.ny.gov/>

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

Please note: The Council rarely funds more than 25% of an organization's overall operating budget for the most recently completed fiscal year. This should be taken into consideration when determining an applicant's request amount. Please click here to review general NYSCA funding restrictions: http://www.arts.ny.gov/public/grants/nysca_does_not.htm

An application made to the NYSCA REDC Program **is exempt** from NYSCA's two-grant request limit per applicant per year.

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

Applicants **may not** request funding for the same project through the FY2018 REDC Program and another FY2018 NYSCA grant program, including activities receiving continuing multi-year funding.

No applicant may apply through a fiscal sponsor.

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

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

FY2017 CATEGORIES OF SUPPORT:

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

1. Arts and Cultural Impact Programming
2. Workforce Investment
3. Workforce Readiness

CATEGORY DESCRIPTIONS & REQUIREMENTS:

1) Arts and Cultural Impact Programming

Support is provided for the implementation of new, bold programming initiatives designed to have a measurable economic and community development impact in a community or region. Initiatives developed through partnerships among non-profit, for-profit and government entities will be given priority.

New York State is celebrating two landmark events of great historical significance. The NYSCA REDC Program is supporting arts and culture projects that are inspired by either of these two events and that broadly engage the general public, including temporary programs for art in public places.

- Nonprofit organizations and local units of government may apply in this category
- The Arts and Cultural Impact Programming category is offered as a single-year grant contract
- This category is open only to initiatives that are not part of a current NYSCA FY2018 request and not included in activities receiving continuing multi-year funding

For the FY18 grant cycle funds must be directed in the Arts and Cultural Impact Programming category in any ONE of the following three focus areas:

2) Workforce Investment

Workforce Investment support is designed to expand the capacity of New York State's arts and cultural organizations with operating budgets from the organization's last completed fiscal year that do not exceed \$750,000. Please note there is no limit on the organizational budget size for applications submitted in the Resident Artist focus area.

Grant awards will support ONE expanded staff position or ONE new staff position. Applicants must demonstrate the critical need for the employee and provide a substantial sustainability plan to ensure continued employment after the grant term ends. Positions to be occupied by members of communities underrepresented in arts and cultural professions are encouraged. Applicants should demonstrate how this position will contribute to the organizational goals relating to diversity and inclusion.

- Only nonprofit arts and cultural organizations may apply in this category
- In every case grant funds received can fund a SINGLE position. Applications for multiple positions are ineligible
- The Workforce Investment category is offered as a single-year grant contract
NOTE: One year contract and work period is from January 2018 through December 2018
- This category is open only to initiatives that are not part of a current NYSCA FY2018 request and not included in activities receiving continuing multi-year funding
- **Organizations that have already received REDC Workforce Investment funding are not eligible to apply in this category.**

For the FY18 grant cycle, funds in the Workforce Investment category must be directed toward any ONE of the following focus areas:

3) Workforce Readiness

Workforce Readiness support is designed to prepare emerging professionals for careers in the arts through innovative training, mentoring and professional development programs. A successful Workforce Readiness Program will include one or more of the following: work experiences such

as summer and year-round employment, on-the-job training, apprenticeships, internships and job-shadowing opportunities.

These opportunities must not replace or supplement an applicant organization's existing staff.

Projects involving pathways that incorporate multiple stages in the development of an arts career, including training and exposure in schools or arts organizations, employment and on-going support are welcomed.

At least 35% of the overall proposed program budget must be used to compensate participants for their time as part of the program.

- Only nonprofit arts and cultural organizations may apply in this category
- In every case the grant will cover direct costs associated with the proposed program intended to benefit 2 or more participants as part of the proposed program
- The Workforce Readiness category is offered as a single-year grant contract
NOTE: One-year contract and work period is from January 2018 through December 2018
- This category is open only to initiatives that are not part of a current NYSCA FY2018 request and not included in activities receiving continuing multi-year funding.
- **Organizations that have already received REDC Workforce Readiness funding in this category are not eligible to apply**

For the FY18 grant cycle, funds in the Workforce Readiness must be directed category towards any ONE of the following focus areas:

CONTACT/ADDITIONAL PROGRAM INFORMATION:

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

Please visit *About NYSCA Grants* at <http://www.arts.ny.gov/public/grants/index.htm> for information on NYSCA's grant process, requirements and evaluative criteria.

NYSCA/ESD Arts & Cultural Facilities Improvement Program

Funding Available: Up to \$20 million

Description

The *Arts & Cultural Facilities Improvement Program* is a capital grant program established to strengthen tourism; promote business development, and improve the quality, efficiency and accessibility of New York State arts and cultural organizations through targeted investments.

Funding is available for, but not limited to, renovations and/or expansions of space(s) that are open to the public; modifications to provide for sustainable, energy efficient spaces that would result in overall cost savings; accessibility renovations; as well as technology and other equipment that would benefit the public. The *Arts & Cultural Facilities Improvement Program* and each funded proposal will work to support the long term strategic plans for economic growth as put forth by the Regional Economic Development Councils (REDCs). For the 2017-2018 Fiscal Year, up to \$20 million will be available through the *Arts & Cultural Facilities Improvement Program*.

Only minimum request amounts of \$500,000 or more will be considered.

Funding is available for eligible projects that include plans to improve the quality, efficiency, and accessibility of arts and cultural organizations within New York State, thereby increasing the economic impact in the corresponding region as a result of increased visitation and visitor spending. . Grant funding will be allocated among the ten (10) REDC regions, based on each REDC's five-year strategic plan that sets out a comprehensive vision for economic development and specific strategies to implement that vision. REDC strategic plan information can be found at: <http://regionalcouncils.ny.gov/>.

ELIGIBILITY REQUIREMENTS

Applicants must complete and submit a Consolidated Funding Application (CFA) which will be reviewed by Empire State Development (ESD), the New York State Council on the Arts (NYSCA) and the REDC for the primary region in which the project is located or headquartered if there is not one single project location.

Applications must clearly demonstrate that the project is related to arts and culture in both the CFA application and the project plan. Projects that fail to establish this focus will be determined ineligible and will not be scored.

Only Not-For-Profit arts and cultural organizations incorporated in NY State or registered to do business in NY State may apply for funding. Not-for-profit corporations are subject to New York State's Not-For-Profit Corporation Law, and must have proof of incorporation (or equivalent document) from the NYS Department of State or NYS Board of Regents, a charities registration number from the NYS Office of the Attorney General and proof of tax-exempt status under the IRS code.

These organizations are not eligible:

- Religious institutions or arts organizations requesting funds for a facility they share with or lease from a religious institution.
- Public school districts, public universities, or state agencies, or arts organizations leasing their facility from such an entity.

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

If applicable, projects that include a hotel with more than 15 employees as a principal function, are required to demonstrate compliance with Section 2879-b of Public Authorities Law regarding labor peace.

*Please note that it is **required for applicants to include a project plan** outlining the specifics of the project, the budget and specifically how the grant funds and the grantee equity will be used and any other information that the applicant would like to share with the scoring teams. Additionally it should include the following documents as appropriate: architect(s), engineer(s) and other key project contractor resume(s), facility images and/or images of architect(s); further,*

a fundraising plan for the required 50% cash match. It is also strongly advised that applicants provide information that clearly and specifically addresses the Scoring Criteria listed later in these guidelines. Additionally, the project plan budget should reflect the same expenditures costs and total project costs indicated in the CFA application budget section.

Eligible Project Activities

The general purpose of this program is to fund capital expenditures which are defined as: funds spent to acquire/upgrade physical non-consumable fixed assets in order to maintain or increase the scope of operations (e.g. property, renovations/upgrades, building construction, long term assets, etc.).

Therefore, eligible arts and culture costs include, but are not limited to, the following:

- Acquisition of land and/or buildings, new construction, renovation or expansion of leasehold improvements;
- Acquisition of fixed capital equipment;
- Acquisition of fixtures;
- Soft costs of up to 15% of total project costs;
- Design studies related to a specific capital project including conceptual, schematic, design development through construction documents.

Use Restrictions

Ineligible expenses include, but are not limited to, the following:

- developer fees;
- training;
- recapitalization/refinancing;
- expenses reimbursed from any other source or agency;
- food and/or beverages for consumption, including alcoholic beverages;
- legal fees, insurance/liability insurances and / or membership fees;
- any costs incurred for capital costs outside New York State;
- competition prizes, prize money and monies paid to participants;
- in-kind, donated, volunteer services (not reimbursable nor can they be used towards the match);
- fringe benefits (such as health insurance, retirement benefits and other non-mandated benefits);
- wayfinding signage (permanent signage produced to be placed on city, county, state roads);
- operational/overhead expenditures (e.g. rent, utilities, etc.);
- residential development, although program funds may be used for the commercial component of a mixed-use project; and
- other expenses deemed ineligible by ESD/NYSCA.

CONTACT INFORMATION:

Please submit questions to: NYSCA.REDC@arts.ny.gov

Community Development Block Grant Program

Funding Available: Up to \$20 million

Description:

The Community Development Block Grant (CDBG) Program is a federally funded program authorized by Title I of the Housing and Community Development Act of 1974. The CDBG Program is administered by the Office of Community Renewal (OCR) under the direction of the Housing Trust Fund Corporation (HTFC). For 2017, the OCR may make up to \$20 million available.

NYS CDBG funds provide small communities and counties in New York State with a great opportunity to undertake activities that focus on community development needs such as creating or expanding job opportunities, providing safe affordable housing, and/or addressing local public infrastructure and public facilities issues. The primary statutory objective of the CDBG program is to develop viable communities by providing decent housing and a suitable living environment by expanding economic opportunities, principally for persons of low and moderate income. The state must ensure that no less than 70% of its CDBG funds are used for activities that benefit low- and moderate-income persons. A low- and moderate income person is defined as being a member of a household whose income is less than 80% of the area median income for the household size. A principal benefit to low- and moderate-income persons requires at least 51% of the project beneficiaries to qualify as low- and moderate-income.

Eligible Activities / Program Benefit Requirements:

NYS CDBG applicants must address and resolve a specific community or economic development need within one of the following areas: (1) Public Infrastructure (2) Public Facilities (3) Microenterprise (4) Community Planning.

1) Public Infrastructure

The NYS CDBG Public Infrastructure program consists of two funding activities: drinking water/ clean water/stormwater and public works. Eligible projects for NYS CDBG Public Infrastructure may include the repair or replacement of existing systems, construction of new systems, or expansion of existing systems into areas previously unserved that are in compliance with the NYS Smart Growth Public Infrastructure Act (Chapter 433 of the Laws of 2010) and principally benefit low- and moderate-income persons. Under the Public Infrastructure category, the benefit to low- and moderate-income persons is most commonly achieved through an area benefit. For more information regarding National Objective Compliance, refer to the Application Guidance located on the HCR website: <http://www.nyshcr.org/AboutUs/Offices/CommunityRenewal/FundingOpportunities.htm>.

2) Public Facilities

The NYS CDBG Public Facility program activities include, but are not limited to, structures to house or serve special-needs populations; senior services; child care centers; removal of architectural barriers for the disabled (installing lifts, automatic doors, ramps, etc.); sidewalks; and multi-purpose buildings housing several qualifying activities where benefits are provided principally to low- and moderate-income persons. Removal of architectural barriers is not eligible in new construction. Under the Public Facilities category, the benefit to low- and moderate-income persons is achieved most commonly through a presumed benefit, which is applicable for seniors, the severely disabled, or abused children. National Objective compliance for public facilities can also be met through the Low/Mod Area (LMA) benefit. For more information regarding National Objective Compliance, refer to the Application Guidance located on the HCR website: <http://www.nyshcr.org/AboutUs/Offices/CommunityRenewal/FundingOpportunities.htm>.

3) Microenterprise

The NYS CDBG Economic Development program through the CFA includes Microenterprise activities. Eligible applicants must apply on behalf of the business seeking CDBG funds. Awards are made to the applicant community and not directly to businesses. Eligible uses of NYS CDBG funds include, but are not limited to: financing of machinery, furniture, fixtures and equipment; working capital; inventory; and employee training expenses. Funds awarded under the Microenterprise activity may be used for all other uses, with the exception of construction or other improvements where Davis Bacon and Related Acts apply.

4) Community Planning

The NYS CDBG Planning program consists of two activities: Community Needs Assessments and Preliminary Engineering Reports. Any planning proposal must address an activity which, if implemented, meets at least one of two national objectives under the CDBG program. That is, it must be shown that either 1) at least 51% of the persons who would benefit from implementation of the plan are low- and moderate- income persons, or 2) the plan addresses a slum or blighted area in the community.

Activity Funding Limits:

| | |
|-------------------------------------|-----------------------|
| <u>Public Infrastructure</u> | <i>Maximum</i> |
| Counties, Towns, Cities or Villages | \$750,000 |
| Joint Applicants | \$900,000 |
| *With NYS Co-Funding Initiative | \$1,000,000 |
| <u>Public Facilities</u> | |
| Counties, Towns, Cities or Villages | \$300,000 |
| <u>Microenterprise</u> | |
| Counties, Towns, Cities or Villages | \$200,000 |
| <u>Planning</u> | |
| Counties, Towns, Cities or Villages | \$50,000 |

Eligible Types of Applicants:

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

Applicants may submit multiple applications up to the maximum per activity. The total amount requested by the applicant between the two categories of Public Infrastructure and Public Facilities cannot exceed the individuals caps listed above for counties, cities, towns and villages, with the exception of single projects that qualify under the higher threshold as described above. Applicants may request up to the maximums listed for Microenterprise regardless of any applications submitted for other categories of assistance. Applicants may also request up to the maximum listed for Planning regardless of any other applications submitted for any other categories of assistance. However, as noted above, demonstrated capacity to carry out each

grant activity in a timely manner is a factor in the application review process, so funding requests should be determined with this in consideration.

Ineligible Activities:

The State CDBG Program deems any activity that is not included in the Housing and Community Development Act of 1974, as amended, ineligible. Generally, CDBG funding cannot be used for projects that involve buildings used for the general conduct of government business, general government expenses, or political activities with the exception of handicapped accessibility improvements to comply with the Americans with Disabilities Act (ADA). In addition, any project that does not present satisfactory evidence of compliance with a national objective will be considered ineligible and will not be considered for funding.

Additional Resources:

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

New York Main Street Program

Funding Available: Up to \$6,200,000

Description:

The New York Main Street (NYMS) Program was created by the Housing Trust Fund Corporation (HTFC) in 2004 to provide resources to assist New York's communities with Main Street and downtown revitalization efforts. Article XXVI was added to NYS Private Housing Finance Law in 2009 to formally establish the New York Main Street Program in statute. The NYMS Program is administered by the Office of Community Renewal (OCR) under the direction of the Housing Trust Fund Corporation.

NYMS provides resources to invest in projects that provide economic development and housing opportunities in downtown, mixed-use commercial districts. A primary goal of the program is to stimulate reinvestment and leverage additional funds to establish and sustain downtown and neighborhood revitalization efforts.

Eligible Types of Applicants:

Eligible applicants for NYMS Program applications are Units of Local Government or organizations incorporated under the NYS Not-for-Profit Corporation Law that have been providing relevant service to the community for at least one year prior to application.

Eligible Target Area:

All NYMS activities must be located in an eligible target area. Applicants must clearly identify how the target area meets each of the three components of the statutory definition of an eligible target area. Applications that do not address each of the three statutory criteria, or do not provide clear source documentation will be deemed ineligible. Please note, based on the statutory criteria there are areas within NYS that are not eligible; therefore vague or unclear responses cannot be interpreted to present an eligible target area.

Article XXVI of the Private Housing Finance Law indicates that an eligible target area shall mean an area:

- (i) that has experienced sustained physical deterioration, decay, neglect, or disinvestment;

(ii) has a number of substandard buildings or vacant residential or commercial units; **and** (iii) in which more than fifty percent of the residents are persons whose incomes do not exceed ninety percent of the area median income for the county or metropolitan statistical area (MSA) in which the project is located, or which is designated by a state or federal agency to be eligible for a community or economic development program.

Applicants are encouraged to identify well-defined Main Street areas to maximize the impact that the funds will have on the community. The proposed activities must be carried out in a program target area of generally no more than three contiguous blocks which has experienced sustained physical deterioration, decay, neglect, or disinvestment, and has a number of substandard buildings or vacant residential or commercial units.

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

Eligible Activities:

1. Traditional NYMS Target Area Building Renovation Projects

Applicants may request between \$50,000 and \$500,000 for Target Area Building Renovation Activities. Requests must not exceed an amount that can be reasonably expended in the identified target area, within a 24-month term. Requests generally should not exceed the amount of documented property owner need in the target area.

- **Building Renovation:** Matching grants available for renovation of mixed-use buildings. Recipients of NYMS funds may award matching grants of up to \$50,000 per building, not to exceed 75% of the total project cost in a designated target area. Renovation projects that provide direct assistance to residential units may be awarded an additional \$25,000 per residential unit, up to a per-building maximum of \$100,000, not to exceed 75% of the total project cost.
- **Streetscape Enhancement:** Applicants may request up to \$15,000 in grant funds for streetscape enhancement activities, such as: planting trees, installing street furniture and trash cans, or other activities to enhance the NYMS target area.
 - Streetscape enhancement grant funds will be awarded only for activity ancillary to a traditional NYMS building renovation project and cannot be applied for on its own. NYMS Downtown Anchor or Downtown Stabilization applicants may not request Streetscape funds.
 - Streetscape enhancement activities must be reviewed for eligibility and approved by HTFC prior to commencement of construction or installation.
 - Streetscape activities must be completed within the proposed building renovation target area.

2. NYMS Downtown Anchor Project:

Applicants may request between \$100,000 and \$500,000 for a standalone, single site, “shovel ready” renovation project. The NYMS Downtown Anchor Project funds may not exceed 75% of the Total Project Cost.

NYMS Downtown Anchor Project funds are intended to help establish or expand cultural, residential or business anchors that are key to local downtown revitalization efforts through substantial interior and/or exterior building renovations.

Applicants for NYMS Downtown Anchor Project funds must:

- Document a compelling need for substantial public investment.
- Document project readiness, as evidenced by funding commitments, developer site control, pre-development planning completed, and local approvals secured;
- Provide cost estimates to substantiate the request amount;
- Identify source(s) of available construction financing and matching funds;
- Demonstrate the importance of the project for the neighborhood, community and region;
- Provide a Business Plan and Market Analysis to demonstrate project viability.

3. NYMS Downtown Stabilization Program

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

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

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

New York Main Street (NYMS) Program Ineligible Activities

Please note: Applicants are encouraged to focus their efforts on one project type. For this reason, NYMS Downtown Anchor Project funds may not be requested in addition to a NYMS Target Area Building Renovation Program. NYMS Downtown Anchor Project funds are intended for standalone, single site, “shovel ready” renovation projects.

Ineligible uses of NYMS funds include, but are not limited to: demolition; new construction; improvements to structures owned by religious or private membership organizations; improvements to municipally-owned buildings used for municipal purposes; the purchase of non-permanent fixtures, such as furnishings, appliances, electronics, and business equipment; general organizational operating expenses; capitalizing a revolving loan fund; site work or ancillary activities on a property, including septic systems and laterals, grading, parking lots, sidewalks, landscaping, fences, free standing signs, and general maintenance. Pre-development planning and associated expenses are ineligible uses of Target Area Building Renovation and Downtown Anchor Projects as these activities must result in a completed, occupied space.

Costs that are not adequately justified or that do not directly support the project are not eligible for reimbursement with NYMS funds. Contact the Office of Community Renewal prior to submitting an application to discuss project eligibility, and review the NYMS Program Guide for more detailed guidance on NYMS program rules: <http://www.nyshcr.org/Programs/NYMainStreet/>

Matching Fund Requirements:

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

Additional Resources:

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

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

Funding Available: Up to \$20 Million

DESCRIPTION:

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

EPF Parks, Preservation and Heritage grant funding is available for the acquisition, planning, development, and improvement of parks, historic properties, and heritage areas located within the physical boundaries of the State of New York. Grants can fund up to 50% of total project cost, up to 75% if the project is located in a high-poverty district. Grant awards are capped at \$500,000.

ELIGIBLE TYPES OF APPLICANTS:

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

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

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

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT AND LONG TERM PROTECTION

REQUIREMENTS: Funding under the EPF Parks, Preservation and Heritage Grants program is available for the activities and programs described below. An application will be evaluated in all categories for which it qualifies. Applicants should be alert to the requirements for each category for which they wish the application to be considered.

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

- **Parks Program** - for the acquisition, development or planning of parks and recreational facilities to preserve, rehabilitate or restore lands, waters or structures for park, recreation or conservation purposes and for structural assessments and/or planning for such projects. Examples of eligible projects include: playgrounds, courts, rinks, community gardens, and facilities for swimming, boating, picnicking, hunting, fishing, camping or other recreational activities.
 - Public access covenants will be conveyed to the State for all park development projects undertaken by not-for-profit corporations.
 - Conservation easements will be conveyed to the State for parkland acquisition projects undertaken by not-for-profit corporations.
 - Parkland acquired or improved by a municipality must remain parkland in perpetuity. Information is available in the "Handbook on the Alienation and Conversion of Municipal Parkland," located at <http://nysparks.com/publications/>.
- **Historic Preservation Program** - to acquire, improve, protect, preserve, rehabilitate or restore properties listed on the State or National Register of Historic Places and for structural assessments and/or planning for such projects. All work must conform to the Secretary of the Interior's Standards for the Treatment of Historic Properties and professional qualifications as defined in "Historic Preservation Terms and Professional Qualifications" available at <http://nysparks.com/grants/consolidated-funding-app.aspx>.
 - Properties not currently listed, but scheduled for nomination review at the State Board for Historic Preservation meeting of either June 15, 2017, or September 14, 2017, are eligible to apply for funding. Questions about or proposals for listing on the State or National Register should be directed to the OPRHP National Register Unit at (518) 237-8643.
 - Preservation covenants or conservation easements will be conveyed to the State for all Historic Preservation grants.

- Grant funds cannot be used for constructing contemporary additions on an historic property unless that work will provide universal access and/or eliminate code deficiencies for access/egress, such as an elevator or stair tower.
- Multi-purpose additions to historic buildings and free-standing new construction on historic properties are not eligible for this grant program.
- **Heritage Area Program** - for projects to acquire, preserve, rehabilitate or restore lands, waters or structures identified in the approved management plans for Heritage Areas designated under section 35.03 of the Parks, Recreation and Historic Preservation Law, and for structural assessments or planning for such projects. The designated Heritage Areas with approved Management Plans are listed at <http://nysparks.com/grants/heritage-areas/default.aspx>, which also provides links to maps showing exact Heritage Area boundaries.
 - To ensure a public benefit from the investment of state funds, appropriate long-term protections in the form of public-access covenants, preservation covenants or conservation easements will be conveyed to the State for all Heritage Area grants.

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

- Work completed prior to award is not eligible for reimbursement or for match. There are two exceptions:
 - Professional services and materials purchased or donated, but not installed, up to three years prior to the application deadline may be applied toward the matching share.
 - Acquisition costs retroactive no more than one year prior to the application deadline are eligible costs.
- Comprehensive open space or management plans.
- Application preparation.
- Contingencies, training, travel, OJT wages, working capital, marketing, taxes, interest, purchase of operational or maintenance equipment, salaries and wages, overhead or operating expenses, rent/lease are ineligible unless noted otherwise above.
- Fundraising events/expenses.
- Bond interest and associated fees. The interest associated with a Bond or Bond Anticipation Note (BAN) cannot be calculated into project cost, whether for reimbursement or local match.
- Lobbying expenses.
- Costs that are not adequately justified or that do not directly support the project.

ADDITIONAL RESOURCES:

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

Western New York Region

Noelle Kardos
 Beaver Island State Park
 2136 West Oakfield
 Grand Island, NY 14072
 (716) 773-5292, FAX (716) 773-4150

Central New York Region

Jean Egenhofer
 Clark Reservation State Park
 6105 East Seneca Turnpike
 Jamesville, NY 13078-9516
 (315) 492-1756, FAX (315) 492-3277

| | |
|---|---|
| COUNTIES: Allegany, Cattaraugus, Chautauqua, Erie and Niagara | COUNTIES: Cayuga, Cortland, Madison, Onondaga and Oswego |
| <u>Finger Lakes Region</u> Kathleen McIsaac 2221 Taughannock Park Road Trumansburg, NY 14886 (607) 387-7041, FAX (607) 387-3390 COUNTIES: Genesee, Livingston, Monroe, Ontario, Orleans, Seneca, Wayne, Wyoming and Yates | <u>Mohawk Valley Region</u> Jean Egenhofer Clark Reservation State Park 6105 East Seneca Turnpike Jamesville, NY 13078-9516 (315) 492-1756, FAX (315) 492-3277 COUNTIES: Fulton, Herkimer, Montgomery, Oneida, Otsego and Schoharie |
| <u>Long Island Region</u> Traci Christian Belmont Lake State Park PO Box 247 Babylon, NY 11702 (631) 321-3543, FAX (631) 321-3721 COUNTIES: Nassau and Suffolk | <u>Southern Tier Region</u> Kathleen McIsaac 2221 Taughannock Park Road Trumansburg, NY 14886 (607) 387-7041, FAX (607) 387-3390 COUNTIES: Broome, Chemung, Chenango, Delaware, Schuyler, Steuben, Tioga and Tompkins |
| <u>New York City Region</u> Merrill Hesch NYS OPRHP Adam Clayton Powell, Jr. State Office Building 163 West 125 th Street, 17 th Floor New York, NY 10027 (212) 866-2599, FAX (212) 866-3186 COUNTIES: Bronx, Kings, New York, Queens and Richmond | <u>Mid-Hudson Region</u> Erin Drost NYS OPRHP Taconic Regional Office 9 Old Post Road Staatsburg, NY 12580 (845) 889-3866, FAX (845) 889-8321 COUNTIES: Dutchess, Orange, Putnam, Rockland, Sullivan, Ulster and Westchester |
| <u>Capital Region</u> Danielle Dwyer Saratoga Spa State Park 19 Roosevelt Drive Saratoga Springs, NY 12866-6214 (518) 584-2000, FAX (518) 584-5694 COUNTIES: Albany, Columbia, Greene, Rensselaer, Saratoga, Schenectady, Warren and Washington | <u>North Country Region</u> Sunshine Jenkins Keewaydin State Park Alexandria Bay, NY 13607 (315) 482-2593, FAX (315) 482-9413 COUNTIES: Clinton, Essex, Franklin, Hamilton, Jefferson, Lewis, and St. Lawrence |

**Office of Parks, Recreation & Historic Preservation (OPRHP) –
Recreational Trails Program (RTP)**

Funding Available: Up to \$1.9 Million

DESCRIPTION:

The Recreational Trails Program (RTP) is an assistance program of the U.S. Department of Transportation's Federal Highway Administration (FHWA). In New York, RTP is a program of the New York State Department of Transportation (NYSDOT) administered by the Office of Parks, Recreation and Historic Preservation (OPRHP).

The RTP was reauthorized on December 4, 2015, when the President signed into law the Fixing America's Surface Transportation (FAST) Act (Pub. L. No. 114-94). The FAST Act authorizes funding for the Recreational Trails Program for fiscal years 2016 through 2020. More information on the Federal legislation and program guidance can be found at: http://www.fhwa.dot.gov/environment/recreational_trails/.

The Recreational Trails Program provides funds to states to develop and maintain recreational trails for both motorized and non-motorized recreational trail use. Funding is available for the maintenance and restoration of existing recreational trails, development and rehabilitation of trailside and trailhead facilities and trail linkages for recreational trails, purchase and lease of recreational trail construction and maintenance equipment, construction of new recreational trails, acquisition of easements and fee simple title to property for recreational trails or recreational trail corridors, and assessment of trail conditions for accessibility and maintenance. Grants can fund up to 80% of the total project cost, or, up to 95% if the applicant is a federal agency. The minimum grant award for restoration, development and property acquisition projects is \$25,000. The minimum equipment purchase award is \$5,000. All grant awards are capped at \$200,000. Should project costs increase post award, the grant award will not be adjusted upward.

PROGRAM MANDATES:

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

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

1. Non-Motorized project for a Single Use: A project primarily intended to benefit only one mode of non-motorized recreational trail use, such as pedestrian only or equestrian only. Projects serving various pedestrian uses (such as walking, hiking, wheelchair use, running, bird-watching, nature interpretation, backpacking, etc.) constitute a single use for the purposes of this category. *Note: wheelchair use by mobility-impaired people, whether operated manually or powered, constitutes pedestrian use, not motorized trail use.* Projects serving various non-motorized human-powered snow uses (such as skiing, snowshoeing, etc.) constitute a single use for this category.

2. Non-Motorized Diverse Use project: A project primarily intended to benefit more than one mode of non-motorized recreational trail use such as: walking, bicycling, and skating; both

pedestrian and equestrian use; or pedestrian use in summer and cross-country ski use in winter.

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

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

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

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

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

Projects in categories 4 and 5 count toward the 30 percent motorized use requirement. *For equipment-only purchases and assessment projects, the selection criteria will be based on the primary use of the trail system that the project impacts.*

ELIGIBLE TYPES OF APPLICANTS:

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

The applicant must have an ownership interest in the project property. Where the applicant is not the property owner:

- A clear and legible copy of the documentation showing such interest in the property (i.e. lease, operating or management agreement) must be provided along with a letter of support for the project from the owner/managing entity stipulating that they will agree to enter into a legally binding agreement.
- In the case of State Property, an authorization (i.e. permit) must be submitted if a lease, operating, or management agreement is not already in place. A letter of support from the Capital Facilities Manager must be submitted with the application.
- If the project involves acquisition of property, describe the status of purchase negotiations and document the owner's intent to sell (signed purchase contract, option agreement, or letter of intent).
- If the project involves the purchase of equipment, a list of landowners and a copy of the land use agreement must be provided.

ELIGIBLE ACTIVITIES/PROGRAM BENEFIT REQUIREMENTS:

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

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

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

- **Maintenance and restoration of existing trails** may be interpreted broadly to include any kind of trail maintenance, restoration, rehabilitation, or relocation. This category may include maintenance and restoration of trail bridges or providing appropriate signage along a trail.
- **Development and rehabilitation of trailside and trailhead facilities and trail linkages for recreational trails** may be interpreted broadly to include development or rehabilitation of any trailside and trailhead facility. The definition of “rehabilitation” means extensive repair needed to bring a facility up to standards suitable for public use (not routine maintenance). Trailside and trailhead facilities should have a direct relationship with a recreational trail; a highway rest area or visitor center is not an appropriate use of RTP funds.
- **Purchase and lease of recreational trail construction and maintenance equipment** includes purchase and lease of any trail construction and maintenance equipment, including lawn mowers and trail grooming machines, provided the equipment is used primarily to construct and maintain recreational trails. This provision does not include purchase of equipment to be used for purposes unrelated to trails. For example, a lawn mower purchased under this program must be used primarily for trail and trailside maintenance, not to maintain open lawn areas or sport fields.
- **Construction of new recreational trails** includes construction of new trail bridges or providing appropriate signage along a trail. In the case of new recreational trails crossing Federal lands, construction of the trails shall be:
 - permissible under other law;
 - necessary and recommended by a Statewide Comprehensive Outdoor Recreation Plan (SCORP);
 - approved by New York State Office of Parks, Recreation and Historic Preservation (OPRHP); and
 - approved by each Federal agency having jurisdiction over the affected lands under such terms and conditions as the head of the Federal agency determines to be appropriate, except that the approval shall be contingent on compliance by the Federal agency with all applicable laws, including the National Environmental Policy Act of 1969 (42 U.S.C. 4321 et seq.), the Forest and Rangeland Renewable Resources Planning Act of 1974 (16 U.S.C. 1600 et seq.), and the Federal Land Policy and Management Act of 1976 (43 U.S.C. 1701 et seq.).
- **Acquisition of easements and fee simple title to property** is self-explanatory. This category may include acquisition of old road or railroad bridges to be used as recreational trail bridges. However, §206(g)(1) prohibits condemnation of any kind of interest in property. Therefore, acquisition of any kind of interest in property must be from a willing landowner or seller.

- **Assessment of trail conditions for accessibility and maintenance** authorizes specific projects to assess trails to determine the level of accessibility for people who have disabilities, to develop programs to provide trail access information, and to assess trails for current or future maintenance needs.

INELIGIBLE COSTS:

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

ADDITIONAL RESOURCES:

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

Western New York Region

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

Central New York Region

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

Finger Lakes Region

Kathleen McIsaac
2221 Taughannock Park Road
Trumansburg, NY 14886
(607) 387-7041, FAX (607) 387-
3390
COUNTIES: Genesee, Livingston,
Monroe, Ontario, Orleans, Seneca, Wayne,
Wyoming and Yates

Mohawk Valley Region

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

Long Island Region

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

Southern Tier Region

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

New York City Region

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

Mid-Hudson Region

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

Capital Region

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

North Country Region

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

Waterfront Revitalization

Department of State - Local Waterfront Revitalization Program

Funding Available: Up to \$15.2 million

Description:

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

State assistance awarded and paid shall not exceed 75% of the total eligible project costs set forth in the application and as approved by the Department, except where the proposed project is located in an environmental justice community, in which case state assistance awarded and paid shall not exceed 85% of the total eligible project costs set forth in the application and as approved by the Department.

Eligible Types of Applicants:

Eligible applicants are villages, towns, or cities, and counties (with the consent and on behalf of one or more towns, villages, or cities) which are located along New York's coasts or inland waterways designated pursuant to Executive Law, Article 42. A list of coastal water bodies and designated inland waterways is available at <http://www.dos.ny.gov/funding/>. Applicants may also partner with other organizations; however, only applications from eligible applicants will be evaluated for funding. If successful, all applicable procurement requirements must be met for such partnerships. Applications submitted by not-for-profit organizations (including, but not limited to, community-based organizations, neighborhood groups) and for-profit organizations are ineligible and will not be scored.

Eligible applicants working in partnership with neighboring municipalities to address regional land use, waterfront revitalization, community development, and resource and/or environmental issues or opportunities are encouraged to apply. Only the municipality identified as the applicant (one village, town, or city, or a county with the consent and on behalf of one or more villages, towns, cities) will be awarded a contract.

- For general planning needed to advance any of the eligible activities listed below, an applicant must be a village, town, city, or county with the consent and on behalf of one or more towns, villages, or cities located along New York's coast or a designated inland waterway.
- For project-specific planning, feasibility, design, and/or marketing needed to advance eligible activities, an applicant must be a village, town, city, or county with the consent and on behalf of one or more towns, villages, or cities, currently preparing a LWRP or component, or with an approved LWRP or component.
- For construction of projects needed to advance eligible activities, an applicant must be a village, town, city with an approved LWRP or the relevant LWRP component substantially completed, or a county with the consent and on behalf of one or more eligible town, village, or city with an approved LWRP or relevant LWRP component substantially completed.

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

Amendments cannot be made to the original contracted scope of work, for example, applicants that receive funding for general planning or for project-specific planning, feasibility, design, and/or marketing projects may use this funding for these purposes only.

Eligible Activities / Program Benefit Requirements:

Local Waterfront Revitalization Program Grant Funding will be available for program planning, feasibility, design, or marketing of specific projects, and construction projects, to advance the preparation or implementation of strategies for community and waterfront revitalization through the following grant categories:

- Preparing or Implementing a Local Waterfront Revitalization Program (LWRP)
- Updating an LWRP to Mitigate Future Physical Climate Risks
- Redeveloping Hamlets, Downtowns and Urban Waterfronts
- Planning or Constructing Land and Water-based Trails
- Preparing or Implementing a Lakewide or Watershed Management Plan
- Implementing a Community Resilience Strategy
- Celebrating the Bicentennial of the Erie Canal - Improving Public Waterfront Access for Canal Communities

Eligible Costs:

Costs must be adequately justified and directly support the project. Proposed total project costs must be essential to project completion. Grant funds may be used for the following costs:

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

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

NOTE: Capacity building may include: investment in existing staff, such as training, purchasing equipment or automating systems that will improve a community's ability to carry out projects and/or deliver programs funded under this RFA; or developing organizational capacity, such as through creating and recruiting new positions to oversee revitalization efforts.

NOTE: Grant administration activities may include, but are not limited to, preparation of reports, vouchers, contract related administration and compliance with grant record keeping and reporting requirements. Grant administration may not exceed 15% of the award amount or \$50,000, whichever is less.

NOTE: Land acquisition – land acquired (e.g., purchase or donation) may only be used as local match for construction projects. Land acquired must directly support the project and be acquired within three years prior to the contract start date or within the executed contract term. A map identifying the property, current appraisal report and copy of the recorded deed conveying title will be required to document property value and ownership.

Ineligible Costs:

The following costs are ineligible costs and will neither be reimbursed with grant funds nor accepted as the required local match:

- Indirect or overhead costs of the municipality, such as rent, telephone service, general administrative support, computers, office equipment, general office supplies, general operations costs, membership fees, subscription costs
- Salaries and other expenses of elected officials, whether incurred for purposes of project direction, execution, or legislation. However, volunteer services contributed by these officials to the project may be used as local match, provided that such services are outside the performance of their official duties
- Fund raising events/expenses
- Federal assistance
- Other Environmental Protection Fund awards
- Land acquisition (except as noted above)
- Taxes, insurance, fines, deficit funding
- Bond interest and associated fees
- Contingency costs
- Lobbying expenses
- Costs incurred prior to the contract start date
- Costs that are not adequately justified or that do not directly support the project

Ineligible costs will be eliminated from the total project costs in the grant application.

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

Approximately \$10,000,000 will be awarded for projects which are in, or primarily serve, areas where demographic and other relevant data demonstrate that the areas are: densely-populated and have sustained physical deterioration, decay, neglect, or disinvestment, or where a substantial proportion of the residential population is of low income, or is otherwise disadvantaged and is underserved with respect to the existing recreational opportunities.

Additional Resources:

The Request for Applications is available on the Department of State's website:

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

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

For general questions on this grant program, please submit written questions by email to opd@dos.ny.gov or New York State Department of State, Office of Planning and Development, Attn: LWRP RFA Questions, 99 Washington Avenue, Suite 1010, Albany, New York 12231.

Canalway Grants Program

Funding Available: Up to \$1 million

DESCRIPTION:

The "Canalway Grants Program" includes up to \$1.0 million in competitive grants available to eligible municipalities, and 501(c)(3) non-profit organizations along the New York State Canal System for canal related capital projects. The minimum grant request amount is \$25,000. The maximum grant request is \$150,000. Grant administration and pre-development costs shall not exceed 10% of the grant award amount. These costs may be used as part of the applicant match though, with no cap.

FUNDING PRIORITIES:

Priority will be given to projects that are intended to further the goals and objectives of the NYS Canal Recreationway Plan <http://www.canals.ny.gov/news/crc/plan.html> and Regional Economic Development Councils Strategic Plans <http://regionalcouncils.ny.gov/>

ELIGIBLE TYPES OF APPLICANTS:

- Municipalities
- Not-for-profit Corporations

Not-for-profit corporations are subject to New York State's Not-For-Profit Corporation Law. In order to apply under this program, a not-for-profit corporation must have proof of incorporation (or equivalent document) from the NYS Department of State or NYS Board of Regents, a charities registration number from the NYS Office of the Attorney General, and proof of tax-exempt status under the IRS code.

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

Eligible canal capital projects include, but may not be limited to: constructing new buildings, vessels or structures; constructing additions or improvements that enlarge, expand, enhance or extend existing buildings, vessels or structures; new systems in existing buildings, vessels or structures (HVAC, plumbing, electrical, mechanical, propulsion); substantial renovations or preservation of existing buildings, vessels or structures, including reconfigurations (removal or construction of walls, ceilings and flooring, windows, window frames, hulls); site preparation and improvements associated with a project (excavation, demolition, roadways, sidewalks, exterior lighting, sprinkler systems, utility hook-ups); acquisition of furnishings, fixtures, machinery and equipment with a useful life in excess of five years; constructing or rehabilitating segments of Canalway Trail; constructing or rehabilitating docks or bulkeaheds for the purpose of public access to and from the Canal System; and/or hazardous waste clean-up associated with a project.

INELIGIBLE ACTIVITIES:

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

ADDITIONAL RESOURCES

For more information, eligible applicants should contact the New York State Canal Corporation, 30 South Pearl Street, Albany NY 12207 www.canals.ny.gov
<http://www.canals.ny.gov/community/grant.html>
procurement@canals.ny.gov

Energy

NYSERDA Energy Efficiency Programs

Funding Available: Up to \$40 million available

NYS Energy Research and Development Authority - Flexible Technical Assistance

DESCRIPTION:

Program provides eligible New York State commercial, industrial, and institutional end users with objective and customized engineering analysis to help make informed energy decisions.

ELIGIBLE TYPES OF APPLICANTS:

FlexTech is funded on a first-come, first served basis until funds are exhausted. Eligible Applicants are New York State electricity customers of a participating utility company, who pay into the System Benefits Charge (SBC). The SBC may be a line item on the customer's utility bills.

Eligible Applicants include, but are not limited to:

- Commercial Facilities
- Industrial Facilities
- Public and Private K-12 schools
- Colleges and Universities
- Healthcare Facilities
- Agricultural Facilities
- Municipalities (Local Government)
- State Agencies & Government
- Not-for-profit Corporations

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

Customers who are in need of a service provider may choose from NYSERDA's FlexTech Consultant list comprised of firms under NYSERDA contract who have been competitively selected to provide technical services across the state. The current list of FlexTech Consultants is available on NYSERDA's website at www.nyserderda.ny.gov/flextech. Alternatively, customers may select their own service provider. Potential service providers include, but are not limited to: ESCOs, energy consultants, and engineering companies.

Eligible study categories include:

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

PRE-APPLICATION REQUIREMENTS:

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

FUNDING PRIORITIES:

Eligible applications are accepted on a first-come, first-served basis until funds are exhausted.

INELIGIBLE ACTIVITIES:

- New facilities or those that have undergone substantial renovations, which have not been occupied for more than one year are not eligible for funding.
- Whole building, new construction, new equipment commissioning and retro-commissioning is not eligible for funding under this program.
- Detailed engineering design is not eligible for funding under this program.
- Applications seeking funding for single, multifamily, or Publicly Assisted Housing are not eligible under this program, but may apply under NYSERDA's one of NYSERDA's other programs.
- Applications seeking funds to support the sale or distribution of energy are not eligible for funding under this program except as defined in NYSERDA's CHP requirements.
- Equipment purchases are not eligible for funding under this program, except for metering equipment, software costs, and other data collection hard costs. To be eligible for funding, the equipment must be a necessary component of the funded study.
- No service provider may apply for more than 25% of the funds available under this program.
- Power quality, power factor, and power conditioning studies are not eligible for funding under this program.
- Utility billing error analysis is not eligible for funding under this program.
- Organizations that generate, transmit, or distribute energy for sale are not eligible for funding under this component of the program.
- Applications for generation studies without a heat recovery component are not eligible for funding.
- Applications for studies proposing to evaluate generation systems utilizing fuel sources other than natural gas are not eligible for funding.
- Applications seeking assistance with evaluating CHP systems for which the potential generation capacity would be larger than 50 MW or mechanical equivalent in total prime mover capacity, including back up, are not eligible for funding.
- Applications seeking assistance with evaluating CHP systems for which less than 75% of the electricity generated would be used on-site are not eligible for funding.

ADDITIONAL RESOURCES:

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

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

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

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

ELIGIBLE TYPES OF APPLICANTS:

- State and local governments, businesses, not-for-profit and private institutions, public and private K-12 schools, colleges and universities, and health care facilities in New York State that are electricity customers of a participating utility company, and that pay, or will pay, into the System Benefits Charge, are eligible for incentives.

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

- Projects for which an architect or engineer is preparing and certifying construction documents, including:
 - New buildings, or space within a new building.
 - Substantial renovations to existing buildings where the space has been, or will be, vacant for at least 30 consecutive days; or where there is a change of use (e.g. warehouse to office).

SUCCESSFUL APPLICANT REQUIREMENTS:

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

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

INELIGIBLE ACTIVITIES:

- Applicants may not obtain incentives for the same energy efficiency measures through other NYSERDA programs or from programs offered by their local utility;
- Ineligible projects include renovations and equipment upgrades at existing facilities where the facility will remain occupied during construction;
- Applicants who do not, or will not, pay into the System Benefits Charge through their local utility company are ineligible for participation in the program;
- Applicants may not obtain incentives for energy efficiency measures installed before an application is submitted and an CNCP incentive offer is issued by NYSERDA; and
- Energy-efficiency measures must be cost effective.

ADDITIONAL RESOURCES:

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

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

The New York State Energy Research and Development Authority (NYSERDA)'s Industrial and Process Efficiency (IPE) Program provide performance-based assistance to manufacturers and data centers implementing energy efficiency and process improvements.

IPE assists commercial and industrial manufacturers and data centers in identifying ways to improve energy efficiency through capital investments and process improvements by offering capital incentives and practical technical assistance while recognizing the importance of sustaining reliability and maximizing uptime. IPE's goal is to help manufacturers and data centers increase product output and

improve data processing as efficiently as possible. IPE focuses on projects that improve manufacturing process productivity and data center efficiency. For example, projects that increase throughput, reduce scrap, improve productivity, and prioritize and optimize server loads all have an energy component. Manufacturing, industrial, and data center facilities are eligible for participation in this program and are engaged through effective marketing, which includes key account strategies to build ongoing relationships as the primary energy efficiency resource for customers.

ELIGIBLE TYPES OF APPLICANTS:

All of New York State manufacturing, industrial and data center facilities that pay into the System Benefits Charge (SBC):

- Manufacturing facilities, or support operations such as warehousing and distribution sites:
 - Example: Plastics and Packaging, Chemicals, Petrochemicals, Metals, Paper and Pulp, Transportation, Biotechnology, Pharmaceutical, Food and Beverage, Mining and Mineral Processing, General Manufacturing and Equipment Manufacturers.
- Data Centers located in various business sectors:
 - Example: Manufacturing, Financial, Higher Education, Health Care, Commercial Real Estate, Service Provider, Co-location Facilities, Government, Legal, Insurance, and Telecom.

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

Applications will be accepted on a first-come, first-served basis, or until funds are exhausted.

- NYSERDA's focus is on projects that improve manufacturing process productivity and data center efficiency. NYSERDA's performance-based incentives are calculated from the total annual energy savings that result from implementing energy efficiency measures.
 - For example, projects that increase throughput, reduce scrap, improve productivity, and prioritize and optimize server loads all have an energy component and may be eligible for a NYSERDA incentive.
- NYSERDA also provides incentives for improvements to support system efficiency (related to process) such as process cooling, heat recovery, pumping systems, compressed air, air flow management (hot isle/cold isle), and UPS system upgrades.
- O&M incentives are available for projects that deliver verifiable annual energy savings resulting from upgrades or initiatives to improve operations. Projects may involve: Compressed air system leak management, replacement of leaking steam traps, installation of cogged style fan belts, burner tune-up, server power management, air flow controls optimization, or dynamic temperature monitoring and adjustment.

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

- Consolidated Edison Company of New York, Inc.
 - Central Hudson Gas & Electric Corporation
 - National Grid Generation d/b/a National Grid
 - New York State Electric & Gas Corporation
 - Orange and Rockland Utilities, Inc.
 - Rochester Gas and Electric Corporation
- Projects must qualify for an incentive of at least \$25,000.

- A facility may receive an incentive for a specific energy efficiency measure either through NYSERDA or a utility company, but not both.

SUCCESSFUL APPLICANT REQUIREMENTS:

- Engineering Study: Incentives are based on a site/process specific engineering analysis. NYSERDA's Technical Reviewers are available to assist with the required engineering analysis at no cost to the facility.
- Measurement and Verification (M&V): NYSERDA may use metering and other M&V tools at the Applicant's facility. In addition to the installation incentives described above, any incremental M&V costs will be performed by NYSERDA's technical reviewer at no additional cost to the applicant.
- Project approval is in the form of a purchase order issued to the Applicant by NYSERDA. Generally, the purchase order is issued as soon as a reasonably accurate estimate of the energy savings is available. For straightforward projects, a purchase order is issued within a few weeks of application. For more complex projects, a site visit by NYSERDA staff and/or a NYSERDA technical reviewer may be required to develop a clear understanding of the project and to estimate energy savings. In either case, the goal is to approve projects as quickly as possible.

ADDITIONAL RESOURCES:

Website: www.nysesda.ny.gov/ipe

New York Power Authority - ReCharge New York

Amount available: Up to 157 Megawatts (availability as of 4/1/17)

Description:

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

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

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

Environmental Improvements

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

Funding Available: Up to \$3 million

Description

The New York State Department of Environmental Conservation (DEC), in conjunction with the New York State Environmental Facilities Corporation (EFC), will offer grants to municipalities to help pay for the initial planning of eligible Clean Water State Revolving Fund (CWSRF) water quality projects. Up to \$3 million has been made available for this round of the Wastewater Infrastructure Engineering Planning Grant (EPG) program.

Grants of up to \$100,000³ to finance engineering and planning services for the production of an engineering report will be provided to municipalities with a Median Household Income (MHI) of:

- Equal to or less than \$65,000 in the following Regional Economic Development Council (REDC) regions
 - Capital District
 - Southern Tier
 - North Country
 - Mohawk Valley
 - Central NY
 - Finger Lakes
 - Western NY
- Equal to or less than \$85,000 in the following REDC regions
 - Long Island
 - New York City
 - Mid-Hudson

The ultimate goal of the EPG program is to advance water quality projects to construction for needy communities. Successful applicants can use the engineering report funded by the grant to seek financing through the CWSRF program or other funding entities to further pursue the identified solution.

Eligible Activities

Funding can be used by municipalities for the preparation of an engineering report⁴ and planning activities to determine the scope of water quality issues, evaluate alternatives, and propose a capital improvement project. In addition, the costs to conduct an environmental review for the recommended alternative in the report are eligible.

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

- required by an executed Order on Consent;
- required by a draft or final State Pollutant Discharge Elimination System (SPDES) permit;
- upgrading or replacing an existing wastewater system;
- constructing a wastewater treatment and/or collection system for an area with failing onsite septic systems; or

³ See the "Grant Award Details" section of this document for details of funding amounts.

⁴ See the "Key Definitions" section of this document for specific information on the required contents of the engineering report.

- identified in a Total Maximum Daily Load (TMDL) implementation plan.

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

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

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

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

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

Ineligible Activities

- Projects that do not lead to the restoration or protection of a surface waterbody.
- Projects that do not address improvements to a publicly-owned treatment works.⁵
- Projects and scope listed on the 2017 CWSRF Intended Use Plan Annual Project Priority List.
- Design and construction costs for any projects.

Grant Award Details

Option 1 - \$30,000 Grant

- Population of Municipality: 50,000 or less according to the United States Census, 2015 American Community Survey. Population data can be found on the EFC EPG website at www.efc.ny.gov/epg.
- Type of Planning Project: any wastewater infrastructure-related, including disinfection projects.
- Engineering Report Requirements: Due within 12 months of grant agreement execution.

Option 2 - \$50,000 grant

- Population of Municipality: Greater than 50,000 according to the United States Census, 2015 American Community Survey. Population data can be found on the EFC EPG website at www.efc.ny.gov/epg.
- Type of Planning Project: any wastewater infrastructure-related, including disinfection projects.
- Engineering Report Requirements: Due within 12 months of grant agreement execution.

⁵ See the "Key Definitions" section of this document on what is considered an eligible publicly-owned treatment works activity.

Option 3 - \$100,000 grant

- Population of Municipality: no limit
- Type of Planning Project: Only for wastewater infrastructure inflow and infiltration issues as a result of an Order on Consent or SPDES Permit Compliance Schedule.
- Engineering Report Requirements: Due within 18 months of grant agreement execution.

Multiple Application Submissions

Only one project per municipality may be awarded in this Round. If an applicant is submitting multiple applications for their municipality, they are asked to prioritize their applications. In addition, municipalities may only have two *active* EPG awards, they are not eligible to receive a third.

Additional Resources

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

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

Funding Available: Up to \$87 million

DESCRIPTION

The Water Quality Improvement Project (WQIP) program is a competitive, statewide reimbursement grant program open to local governments and not-for-profit corporations for implementation projects that directly address documented water quality impairments or protect a drinking water source. This grant program requires recipients to provide 15% of the award amount as a local share of the project for high priority Wastewater Treatment Improvement projects; 25% of the award amount as a local share of the project for Non-agricultural Nonpoint Source Abatement and Control, Land Acquisition for Source Water Protection, Salt Storage, Aquatic Habitat Restoration, and Municipal Separate Storm Sewer System projects; and 60% of the award amount as a local share of the project for General Wastewater Infrastructure Improvement projects.

Additional Resources

The RFA is available on the Department of Environmental Conservation's (Department's) website: <http://www.dec.ny.gov/pubs/4774.html>. Updates and/or modifications to the RFA, along with answers to questions received, will be posted on the Department's website. Questions should be submitted to user.water@dec.ny.gov no later than July 10, 2017.

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

Funding

The Department anticipates having up to \$87 million available for WQIP projects, including up to \$1 million available for projects to abate nitrogen loading in Long Island.

The Department may potentially receive additional funding for qualifying projects (e.g., wastewater treatment, nonpoint source abatement and control, aquatic habitat restoration) located in Nassau and Suffolk counties. Should such funding become available, the Department reserves the right to award funding for scored and ranked projects, consistent with the method of award described in this grant opportunity. In addition, the Department may potentially receive additional funding for qualifying beach restoration projects. Should such funding become available, the Department reserves the right to award funding for scored and ranked projects, consistent with the method of award described in this grant opportunity.

Eligible Types of Applicants

Generally, applicants meeting the following criteria are eligible for WQIP funds. There is some variability among eligible applicants for specific project types. Applicant eligibility criteria is more clearly identified under each specific WQIP project type contained in this Request for Applications (RFA).

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

The “Legal Name of Applicant” listed in the application must be the name of the entity that will enter into the contract if awarded. The Legal Name of Applicant field should not list an individual. Be sure to select the correct entity that is applying for the grant because the name cannot be switched in any way (i.e. change from the County to the County Office of Planning) after award.

Applicants who have demonstrated poor management of past WQIP contract(s) will not be funded in Round 14. Also applicants who have not previously been awarded a WQIP grant but whose Round 14 application does not demonstrate the experience and ability to carry out the project will not be funded in Round 14.

Projects must have secured at least some of the necessary approvals and be ready to proceed with project implementation to be funded.

Projects that include ineligible activities will be deemed ineligible. See individual project types for a list of ineligible activities for each project type.

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

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

Eligible Types of Projects

- Wastewater Treatment Improvement
- Non-agricultural Nonpoint Source Abatement and Control
- Land Acquisition Projects for Source Water Protection
- Salt Storage
- Aquatic Habitat Restoration
- Municipal Separate Storm Sewer Systems (MS4s)

Ineligible WQIP Projects

- Application proposals that do not address water quality impairment or protect a drinking water source
- Projects that provide no matching funds
- Projects that are seeking funding for planning or design only
- Projects that include ineligible activities as described in the project type descriptions
- For Aquatic Habitat Restoration projects, projects which do not provide any species miles and have a pre-existing condition of minor or less

Eligibility Criteria:

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

1. Eligible Applicant
 - a. Municipality
 - b. Municipal Corporation
 - c. Regulated traditional Municipal Separate Storm Sewer Systems (MS4s)
 - d. Soil and Water Conservation District
 - e. Not-for-Profit Corporation (**Only** land acquisition for source water protection projects OR aquatic habitat restoration projects)
2. Eligible Project Type
 - a. Wastewater Treatment Improvement
 - b. Non-agricultural Nonpoint Source Abatement and Control
 - c. Land Acquisition Projects for Source Water Protection
 - d. Salt Storage
 - e. Aquatic Habitat Restoration
 - f. Municipal Separate Storm Sewer Systems (MS4s)
3. Registration in the NYS Grants Gateway
 - a. Municipalities, Municipal Corporations and Soil and Water Conservation Districts must be registered in the NYS Grants Gateway by the time of project award.
 - b. Not-for-Profit Corporations must be registered and pre-qualified in the NYS Grants Gateway by the application due date.

Environmental Facilities Corp. - Green Innovation Grant Program

Funding Available: \$15 million

DESCRIPTION:

The Green Innovation Grant Program (GIGP) provides grants on a competitive basis to projects that improve water quality and demonstrate green stormwater infrastructure in New York. GIGP is administered by the New York State Environmental Facilities Corporation (EFC).

Green infrastructure practices treat rainwater as a valuable resource to be harvested and used on site, or filtered and allowed to soak back into the ground, recharging our aquifers, rivers and streams. The plants used in green infrastructure help to cool our surroundings and improve air quality through the process of evapotranspiration. These green practices have multiple benefits, which include restoring habitat, protecting against flooding, providing cleaner air, and beautifying our streets to spur economic development and community revitalization.

Projects selected for funding go beyond offering a greener solution. They maximize opportunities to leverage the multiple benefits of green infrastructure, spur innovation in the field of stormwater management, build capacity to construct and maintain green infrastructure, and/or facilitate the transfer of new technologies and practices to other areas of the State.

ELIGIBLE APPLICANTS INCLUDE:

- Municipalities
- Intermunicipalities
- Interstate Agencies
- State Agencies
- Private Entities
- Soil and Water Conservation Districts

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

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

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

Bioretention

Downspout Disconnection

Establishment or Restoration of, Floodplains, Riparian buffers, Streams or Wetlands

Green Roofs

Green Walls

Permeable Pavements

Stormwater Harvesting and Reuse, e.g. Rain Barrel and Cistern Projects

Stormwater Street Trees / Urban Forestry Programs Designed to Manage Stormwater

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

INELIGIBLE ACTIVITIES:

Projects which are **NOT ELIGIBLE** for GIGP funding include:

- Capital equipment costs such as street sweepers, sewer cleaners, and vector trucks
- Costs not directly attributable to water quality including: asbestos abatement and site amenities e.g. bus shelters, benches, light poles, traffic devices, etc.
- Green infrastructure practices which are being implemented to comply with the requirements of the New York State Department of Environmental Conservation SPDES General Permit for Stormwater Discharges from Construction Activity Permit No. GP-0-15-002 (“Permit”). (Note: practices which are over and above Permit requirements will be considered for funding)
- Hardening, channelizing or straightening streams and/or stream banks
- In-line and end-of-pipe treatment systems that only filter or detain stormwater
- Potable water irrigation systems
- Stormwater controls that have impervious or semi-impervious liners and provide no compensatory evapotranspirative or harvesting function for stormwater retention
- Stormwater conveyance systems that are not soil/vegetation based (swales) such as pipes and concrete channels
- Stormwater ponds that serve an extended detention function and/or extended filtration, including dirt-lined detention basins
- Underground stormwater control and treatment devices such as swirl concentrators, hydrodynamic separators, baffle systems for grit, trash removal/floatables, oil and grease, inflatable booms and dams for in-line underground storage and diversion of flows
- Wetlands construction or restoration required as compensation (mitigation) for adverse impacts to wetlands or other environmental damage caused through construction activities. This ineligible category includes both tidal and freshwater wetland mitigation projects

ADDITIONAL RESOURCES:

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

Sustainability Planning and Implementation

Climate Smart Communities Grant Program

Funding Available: Up to \$10 million

DESCRIPTION

Funding will be available for inventory, assessment, planning and implementation projects that advance the work of municipalities in addressing climate change. Priorities for the 2017 round include specific adaptation actions that reduce flood risk and increase preparedness for future extreme weather conditions, specific mitigation activities related to transportation and reduction of food waste, and specific Climate Smart Communities certification actions that advance municipal ability in the future to implement adaptation and mitigation projects in the identified implementation categories.

A municipal resolution from the lead applicant authorizing application submission and documenting the availability of local match in the event of grant award must be submitted at the time of application.

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

Eligible Applicants

Counties, cities, towns, villages and boroughs of the State of New York are eligible for funding.

Partnership projects are encouraged, but only one eligible, designated lead applicant can submit the application for grant funding. The lead applicant must assume the responsibility for the project application, performance of work consistent with this RFA, and compliance with the State of New York Master Contract for Grants. Letters or other written agreements substantiating the collaboration of each partner are required at the time of application.

Eligible Activities

Both implementation and certification (planning) projects will be considered, as follows:

1. Implementation Projects

Implementation projects must advance specific climate adaptation and greenhouse gas (GHG) mitigation activities in one of the categories described under a. and b. below.

| | |
|--|---|
| <i>Total available -</i> | up to \$9.5 million |
| <i>Minimum award -</i> | \$10,000 |
| <i>Maximum award -</i> | \$2,000,000 |
| <i>Design & engineering -</i> | up to a maximum of 15% of the grant request |

No more than 50% of the total available funds for implementation projects will be awarded to cities or towns with a population greater than 100,000 or to any single municipality.

a. Adaptation Categories:

Eligible projects in the adaptation categories will be evaluated based on their potential to provide a meaningful response at the municipal level to anticipated future conditions as a result of climate change. *You will be scored based on the anticipated future effectiveness of your response to projected climate conditions. Please review the evaluation criteria and scoring for implementation projects.*

b. Mitigation Categories:

Eligible projects in the mitigation categories will be evaluated based on their potential to provide a meaningful reduction in GHG emissions at the municipal level. *You will be scored based on the greenhouse gas emission reduction potential of your project. Please review the evaluation criteria and scoring for implementation projects.*

2. Certification Projects

Certification projects will encompass assessment, inventory and planning work necessary to advance one or more of the Climate Smart Communities certification actions identified (numbers in parentheses) for each category of actions below.

| | |
|--------------------------|-----------------|
| Total available - | up to \$500,000 |
| Minimum award - | \$10,000 |
| Maximum award - | \$100,000 |

No more than 50% of the total available funds for certification projects will be awarded to cities or towns with a population greater than 100,000 or to any single municipality.

You will be scored based on the anticipated effectiveness of your strategy to address future climate conditions and/or your planning and assessments supporting greenhouse gas reduction. Please review the evaluation criteria and scoring for certification projects.

- a. Climate Smart Adaptation Strategies (CSC certification action #)**
- b. Climate Smart Land Use Planning (CSC Certification Action #)**
- c. Climate Smart Transportation Strategies (CSC Certification Action #)**
- d. Climate Smart Organic Waste Management Strategies (CSC Certification Action #)**

Ineligible Costs

Ineligible budget items include:

- costs for purchase of zero-emission vehicles (ZEV) and/or installation of electric vehicle service equipment (EVSE) or other charging or re-fueling infrastructure;
- indirect or overhead costs of the municipality, such as rent, telephone service, general administrative support, general-use computers, office equipment, general office supplies, general operations costs, membership fees, or subscription costs.

- Salaries and other expenses of elected officials, whether incurred for purposes of project direction, execution, or legislation;
- fund raising expenses;
- taxes, insurance, fines, deficit funding, bond interest and associated fees;
- contingency costs; and
- federal and other New York State funds.

Department of State - Local Government Efficiency Program

Funding Available: Approximately \$4 Million

DESCRIPTION

For the 2017-2018 program year approximately \$4 million is available under the Local Government Efficiency (LGE) Grant program to assist local leaders identify best practices and implement actions focused on reducing municipal expenditures, limiting the growth in property taxes and increasing efficiencies in service delivery. Projects can include local government reorganization, functional or service delivery consolidation, city or county charter revisions that include functional consolidation, cooperative service agreements, and establishment of regional service delivery mechanisms.

ELIGIBLE APPLICANTS

Local government efficiency projects must implement new opportunities for financial savings or exhibit great potential to modernize existing services. Additional benefits may include improving organization or management structures or improving public access to services.

Generally local governments must apply cooperatively for an LGE grant. However, in certain instances the program can provide direct assistance to fiscally stressed local governments to implement internal reorganizations or service delivery modifications.

ELIGIBLE ACTIVITIES / PROGRAM FUNDING:

Local governments may apply for implementation planning and implementation projects.

- The maximum funding for planning is \$12,500 for each local government involved in the project, not to exceed \$100,000.
- The total maximum cumulative funding for a project is \$200,000 for each local government involved in the project, not to exceed \$1,000,000.

Applicants are required to provide matching funds for all projects.

- For a planning grant, matching funds equal to at least 50% of the total project cost shall be required. Upon implementation, the original matching funds required will be refunded up to 90% of the eligible costs.
- For an implementation project, matching funds equal to at least 10% of the total project cost shall be required.

All grants are reimbursement grants. In order to receive full funding, the awardees must demonstrate that the project has received all appropriate public consideration, referenda where required.

For projects that implement a previously funded planning grant under the Local Government Efficiency (LGE) Grant program, the grant award from this RFA will be increased by the amount of the local matching funds provided for the planning grant.

INELIGIBLE ACTIVITIES:

For this application, projects shall not include plans for a local government re-organization eligible to receive a funding pursuant to the New York Department of State Local Government Citizens Re-Organization Empowerment Grant (CREG). CREG can assist those local governments that are developing plans for consolidation or dissolution pursuant to the terms of General Municipal Law 17-A, the “New N.Y. Government Reorganization and Citizen Empowerment Act”. CREG funding is available on a monthly basis. Please visit the LGE program website at <http://www.dos.ny.gov/funding/> for more information on submitting a CREG grant.

ADDITIONAL RESOURCES: <http://www.dos.ny.gov/lq/lqe/index.html>

Education/Workforce Development

Department of Labor - Workforce Development

Funding Available: Up to \$5 million

DESCRIPTION

Provides grants on a competitive basis for occupational skills training of employed, underemployed and unemployed individuals, commensurate with Regional Economic Development Council (REDC) priorities.

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

ELIGIBLE PROJECT TYPE DESCRIPTIONS

Two project types are described:

1. Existing Employee Training (EET) Program; and
2. Unemployed Worker Training (UWT) Program.

1. Existing Employee Training (EET) Program

This program provides \$2 million in WIOA funds to train existing employees in specific occupational skills leading to attainment or retention of middle-skills occupations. Eligible bidders include private for-profit or private not-for-profit businesses or a lead bidder for a consortium of businesses that has two or more employees and are physically located in New York State.

2. Unemployed Worker Training (UWT) Program

This program provides \$3 million in WIOA funds to provide occupational skills training to unemployed and/or underemployed workers, with emphasis on serving priority populations, to qualify them for full-time (35-hours per week or more) or part-time employment or higher level of employment. Priority populations include but are not limited to: veterans, individuals with disabilities, formerly incarcerated individuals, long-term unemployed, and TANF and SNAP recipients. The complete list of priority populations under this program is presented in Attachment 11 of the solicitation.

ELIGIBLE BIDDERS

EET Program

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

UWT Program

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

- Public sector not-for-profit business with two or more employees, or the equivalent of two full-time employees;
- Local Workforce Development Boards (LWDBs) with two or more employees; or
- Training providers with two or more employees, or the equivalent of two full-time employees.

CONTACT / ADDITIONAL PROGRAM INFORMATION:

The contact for this program is Krista Barringer, New York State Department of Labor, Division of Employment and Workforce Solutions, State Office Campus, Building # 12, Room # 440, Albany, New York, 12240, (518) 457- 8392.

Bidders may submit questions via electronic mail (CFA@labor.ny.gov). Questions regarding this solicitation will be accepted no later than July 19, 2017. No telephone inquiries will be accepted. All inquiries should reference "CFA Question" in the Subject line. Answers to all questions will be posted on NYSDOL's website (<http://labor.ny.gov/businessservices/funding.shtm>) on an ongoing basis, with the final posting taking place no later than July 21, 2017.

The full Request for Proposals (RFPs) and any related questions and answers are available on NYSDOL's web site at <http://www.labor.ny.gov/businessservices/funding.shtm> and at <http://labor.ny.gov/cfa/index.shtm>.

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

Low Cost Financing

Federal Industrial Development Bond Cap

Available Funding: Up to \$300 million

DESCRIPTION:

Up to \$300 million of the 2017 statewide private activity bond allocation (“volume cap”) authority under Federal guidelines will be dedicated to facilitate lower cost tax-exempt bond financing for qualified projects by authorized State and/or local government issuers.

ELIGIBLE APPLICANTS/PROJECT TYPES:

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

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

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

Projects must meet the eligibility requirements of the federal IRC and any laws, rules, or regulations governing the provision of financial assistance by the authorized issuer. In addition, special consideration shall be given to projects supporting Regional Economic Development Council Opportunity Agenda priorities and Downtown Revitalization Initiative projects.

Downtown Revitalization Initiative

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

Opportunity Agenda Summary

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

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

CONTACT/ADDITIONAL PROGRAM INFORMATION:

For more information eligible applicants should visit

<http://www.empire.state.ny.us/BusinessPrograms.html>

or contact George LaPointe at Empire State Development by calling (518) 292-5307.