

NOTICE OF AVAILABILITY

2018 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 <http://regionalcouncils.ny.gov>. The funding solicitation opens on Monday, May 1, 2018 and applications will be accepted through the CFA until 4:00 pm on Friday, July 27, 2018.

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

For more information or questions regarding the CFA, please contact the appropriate Empire State Development Regional Office covering the project area: <https://esd.ny.gov/regions>.

Funding is available through the following programs:

2018 Available Resources

Direct Assistance to Business and Other Organizations: Up to \$242.37 million

- **Empire State Development**
 - Up to \$150 million for ESD Grant Funds
 - Up to \$75 million for Excelsior Jobs Program
 - Up to \$1.37 million for Business Incubator Program
 - Up to \$1 million for Strategic Planning and Feasibility Studies
 - Up to \$15 million for Market New York

Community Development: Up to \$55.7 million

- **New York State Council on the Arts**
 - Up to \$5 million for Arts, Culture and Heritage Projects
 - Up to \$5 million for Arts & Cultural Facilities Improvement Program – Large Capital Project Fund
- **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 \$19.5 million for Environmental Protection Fund Grants Program for Parks, Preservation and Heritage (EPF)

Waterfront Revitalization: Up to \$16 million

- **Department of State**
 - Up to \$15 million for the Local Waterfront Revitalization Program
- **New York State Canal Corporation**
 - Up to \$1 million for the Canalway Grants Program

Energy: Up to \$45 million

- **New York State Energy Research and Development Authority**
 - Up to \$35 million for Energy Efficiency Programs
 - Up to \$10 million for Net Zero Energy for Economic Development
- **New York State Power Authority**
 - Up to 143MW for the ReCharge NY Program

Environmental Improvements: Up to \$97 million

- **Department of Environmental Conservation**
 - Up to \$3 million for NYS DEC/EFC Wastewater Infrastructure Engineering Planning Grant
 - Up to \$79 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 \$12.78 million

- **Department of Environmental Conservation**
 - Up to \$8.78 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

SUCCESSFUL APPLICANT REQUIREMENTS:

Because awards are offered as an incentive to undertake a project, the project should not begin, and expenses should not be incurred, before funding awards have been announced. Expenses incurred prior to submission of a CFA should not be included in CFA project budgets, nor should expenses that will be incurred after submission of a CFA but prior to an award announcement.

The amount of an award from ESD is based on a number of factors including, but not limited to, the project's alignment with the state and regional priorities, as well as the potential for direct and indirect job creation, direct and indirect fiscal benefit to the state and local governments, overall economic activity, community development and private investment. Generally, applicants should not apply for, nor will be considered for, more than twenty percent (20%) of the financing for any particular project based on the eligible total project cost. Typically, awards will be less than 20% of the eligible total project cost and the likelihood of winning an award improves as the percentage of ESD assistance is reduced and private investment or other sources are better leveraged. Exceptions to this limit may be made at the sole discretion of ESD in cases where it is found that a project or projects will have an unusual or extraordinary regional or statewide impact.

ESD requires that the Applicant contribute a minimum of ten percent (10%) of the total project cost in the form of equity contributed after the Applicant's acceptance of ESD's incentive proposal. Equity is defined as cash injected into the project by the Applicant or by investors and should be auditable through the Applicant's financial statements or accounts, if so requested by ESD. Equity cannot be borrowed money secured by the assets in the project or grants from a government source.

The Applicant must always disclose whether it is pursuing or intends to pursue multiple ESD funding sources, including grants, loans and tax incentives.

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 targeted industries such as biotechnology, pharmaceutical, high-tech, clean-technology, green technology, financial services, agriculture and manufacturing, not inclusive. Firms in these industries that create and maintain net 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:

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.

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, biogenetics, 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.

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.

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.

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.

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.

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

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

New York State Business Incubator Program

Funding Available: \$1.375 Million

DESCRIPTION

The New York State Business Incubator 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

Empire State Development (ESD) is administering the competitive process for the designation of New York State Business Incubators. Applications will be received and reviewed through the Consolidated Funding Application (CFA) process by both the Regional Councils and ESD. In the Round VIII competition, ESD anticipates making eleven (11) Business Incubator designations. Awardees will receive operating funds from ESD to expand and create services.

The goal of the program is to improve the quantity and quality of incubator services provided to young companies, thereby enabling these businesses to successfully transition from start-up phase to larger scale production 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 Business Incubator 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 (no more than fifty percent of such match shall be in-kind).
- Applicants are strongly encouraged to demonstrate regional partnerships with incubators or organizations assisting entrepreneurs and early stage companies.
- Applicants should demonstrate a track record of transitioning academic research to the marketplace.

FUNDING

Successful applicants will be awarded operating grants to expand the services and programs provided to start-up companies served by the incubator. Up to \$125,000¹ will be provided annually for five years to entities designated as a New York State Business Incubators. Eleven (11) awards are anticipated in this category for CFA Round VIII 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*

¹ The funding is reimbursement based.

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

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

Assistance is available in the following two categories:

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

INELIGIBLE ACTIVITIES: For Site Assessment and Site Planning grants:

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

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

Market New York

Funding Available: Up to \$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 2018-2019 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;**
(only minimum requests of \$50,000 or more will be considered); and
- 2) **Tourism Capital- \$8 million;**
(only minimum requests of \$150,000 or more will be considered).

*Applicants with projects that include both marketing and capital expenditures will need to meet the requirements for both funding tracks and 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. Projects that are statewide or multi-regional will be scored by the REDC where the project is mainly located headquartered, or by the REDC sponsoring the project.

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, SUNY schools and NYS agencies 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. It is strongly advised that all Not-For-Profit organizations register with Grants Gateway upon application.

FUNDING CATEGORY INFORMATION

I. Regional Tourism Marketing (Working Capital)

Up to \$7 million

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

Any grant requests under \$50,000 will be found ineligible and will not be scored.

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 and those elements highlighted above in **Significant Tourism Initiatives**. 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 other 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)

Any grant requests under \$150,000 will be found ineligible and will not be scored.

Applications will be accepted for projects that include plans to expand, construct, restore or renovate New York State tourism destinations and attractions. Applicants must demonstrate how the tourism capital project will work to promote and forward the tourism goals of the corresponding REDC's strategic plan, 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 and those elements highlighted in **Significant Tourism Initiatives**. 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 other 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 and/or a convention center 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 518.292.5727.

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 FY2019 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 Initiative makes grant awards in all ten of the state's regions. Priority will be given to applicants that have not received NYSCA REDC Initiative funding in previous years.

All NYSCA's REDC Initiative funding must be distinct from applications for support already submitted for or currently funded by other NYSCA programs in FY 2019.

Award announcements are expected to be made in December.

GOALS:

Funding opportunities are available through the REDC Initiative 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 Initiative, arts and cultural projects focused on economic and community development will:

- Develop the arts and cultural workforce sector
- 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/eligibility>

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: <https://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/how-applicants-are-evaluated>

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/eligibility>

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

GENERAL ELIGIBILITY REQUIREMENTS:

- Applicants **may submit only one application** to the NYSCA REDC Initiative. Organizations **are not** restricted from applying to other NYS agencies' REDC Initiatives. Please review the resource guide materials for the other agencies thoroughly.
- Applicants **may not** request funding for the same project through the FY2019 REDC Initiative and another FY2019 NYSCA grant program, including activities receiving continuing multi-year funding.
- **No applicant** may apply through a fiscal sponsor.
- Proposals involving regranting of funds **are not** eligible for support.
- Capital requests for equipment, design, feasibility studies or construction **are not** eligible for support.
- Out of state travel costs are not eligible for support.

FY2019 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 are encouraged.

New York State is celebrating two landmark events of great historical significance. The NYSCA REDC Initiative 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
- One-year contract and work period is from March 2019 through February 2020
- This category is open only to initiatives that are not part of a current NYSCA FY2019 request and not included in activities receiving continuing multi-year funding

For the FY19 grant cycle funds must be directed in the Arts and Cultural Impact Programming category in any ONE of the following focus areas:

FOCUS 1

Erie Canal Bicentennial Celebration

FOCUS 2

Women's Suffrage Commemoration

FOCUS 3

Art and Artists In Public Places

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 \$1,000,000. 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.

- **Organizations that have already received REDC Workforce Investment funding are not eligible to apply in this category**
- Only nonprofit arts and cultural organizations may apply in this category
- In every case grant funds received can fund only a SINGLE position
- Applications for multiple positions are not eligible
- The Workforce Investment category is offered as a single-year grant contract

- One-year contract and work period is from March 2019 through February 2020
 - **NOTE:** Up to a six-month extension may be requested to spend down funds over a longer period if needed. Extensions will be approved on a case by case basis.
- This category is open only to initiatives that are not part of a current NYSCA FY2019 request and not included in activities receiving continuing multi-year funding

For the FY19 grant cycle, funds in the Workforce Investment category must be directed toward any ONE of the following focus areas:

FOCUS 1

Administrative Position

FOCUS 2

Artistic Position

FOCUS 3

Resident Artist Position

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 30% 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 at least 2 or more participants as part of the proposed program
- The Workforce Readiness category is offered as a single-year grant contract
- One-year contract and work period is from March 2019 through February 2020
- This category is open only to initiatives that are not part of a current NYSCA FY2019 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 FY19 grant cycle, funds in the Workforce Readiness must be directed category towards any ONE of the following focus areas:

FOCUS 1

Arts Career Development Fellowships for Underrepresented Communities

FOCUS 2

Arts Career Training Programs

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

New York State Council on the Arts - Arts & Cultural Facilities Improvement Program – Large Capital Project Fund

Funding Available: Up to \$5 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 2019-2020 Fiscal Year, up to \$5 million will be available through the *Large Capital Project Fund*.

For the *Large Capital Project Fund*, only request amounts between \$250,000 and \$1,000,000 will be considered. For request amounts below \$250,000, please see the Mid-Size Capital Project Fund guidelines on the [NYSCA website](#). Award announcements are expected to be made in December 2018, with grant contracts starting in March 2019.

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 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.
- Organizations that have already received 2017 *Arts and Cultural Facilities Improvement Program* funding.
- Organizations applying to the Mid-Size Capital Project Fund.

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 NYSCA.

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

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 2018, 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>	<u>Maximum</u>
Counties, Towns, Cities or Villages	\$750,000
*With NYS Co-Funding Initiative	\$1,000,000
Joint Applicants	\$900,000
*Joint w/Co-Funding Initiative	\$1,250,000
<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 individual caps listed above for counties, cities, towns and villages, with the exception of single and joint 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

Applicants may propose one activity for a 2018 New York Main Street (NYMS) application. Four NYMS activities are available in the 2018 CFA New York Main Street application:

1. Technical Assistance Project

Applicants may request up to \$20,000 to complete a project that improves community or property owner readiness to participate in a future New York Main Street renovation activity. Examples of eligible NYMS-TA activities include, but are not limited to the projects described below. Please contact the Office of Community Renewal at 518-474-2057 or HCR_CFA@nyshcr.org to discuss project eligibility prior to applying.

- Building Reuse or Feasibility Analysis - Analysis of rehabilitation or adaptive re-use options for downtown, mixed-use building(s) to provide property owners with the resources necessary to make informed decisions regarding the feasibility of rehabilitation projects. These studies may include: historic and architectural analysis; building condition assessment; building code analysis; structural engineering study, proposed uses for the building including opportunities for upper story apartments; plan drawings; green technology potential; cost estimates; and funding strategies, including historic tax credits; and pro-forma analysis.
- Design Guidelines - The importance of preserving downtown architecture must not be overlooked in repairing and renovating buildings for new occupants and uses. Design Guidelines should be an educational tool for property owners and provide technical assistance and practical recommendations for repairing and renovating downtown, potentially historic, building facades and storefronts. Proposals to produce Design Guidelines must provide clear community support, and a plan for formal adoption and implementation once produced.

Examples of completed NYMS-TA Projects are available for review online, here:
<http://www.nyshcr.org/Programs/NYMainStreet/TA/>

2. **Traditional NYMS Target Area Building Renovation Project**

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.

- 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 target area.
- Administration: Applicants may request up to 7.5% of the grant amount for salaries and other costs associated with the administration of the grant. The administrative funds must be requested at the time of application, and must be included within the maximum request amount.
- Soft Costs: Applicants may request funds to cover architectural and engineering work, required environmental testing and clearances, and filing fees. These expenses must be included in the per-building activity funding limits, require matching funds and may not exceed 18% of the NYMS renovation funds for a specific project. Project costs incurred for work on buildings that eventually prove infeasible and do not receive other investments will not be reimbursed with NYMS funds. Funds for Soft Costs must be requested at the time of application, and must be included within the maximum request amount.

Funds for Administration and Soft Costs are available on a reimbursement basis, and will therefore be reviewed for eligibility prior to disbursement of funds. Applicants are not required to request NYMS program funds for Administration or Soft Costs, but are encouraged to identify

alternate sources of funds for administrative expenses and soft costs. Additional funding commitments for administrative expenses and soft costs strengthen an application.

3. NYMS Downtown Anchor Project:

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

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.

- Administration: Applicants may request up to 5% of the grant amount for salaries and other costs associated with the administration of the Downtown Anchor Project grant. The administrative funds must be requested at the time of application, and must be included within the maximum request amount.

- Soft Costs: Applicants may request funds to cover architectural and engineering work, required environmental testing and clearances, and filing fees. These expenses must be included in the per-building activity funding limits, requires matching funds and may not exceed 18% of the NYMS renovation funds for the project. Project costs incurred for work on buildings that eventually prove infeasible and do not receive other investments will not be reimbursed with NYMS funds. Funds for Soft Costs must be requested at the time of application, and must be included within the maximum request amount.

Funds for Administration and Soft Costs are available on a reimbursement basis, and will therefore be reviewed for eligibility prior to disbursement of funds. Applicants are not required to request NYMS program funds for Administration or Soft Costs, but are encouraged to identify alternate sources of funds for administrative expenses and soft costs. Additional funding commitments for administrative expenses and soft costs strengthen an application.

4. NYMS Downtown Stabilization Project

Applicants may request \$50,000 to \$500,000 to complete a Downtown Stabilization Project. Funds are available to assist with environmental remediation and associated construction costs, as well as other innovative approaches to stabilizing and developing a downtown, mixed-use project. NYMS Downtown Stabilization Project 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 support, financial commitments and a compelling need for substantial public investment.

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: An applicant is encouraged to focus its efforts on one project type. For this reason, applicants may propose only one NYMS activity in an application.

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. General planning activities are not eligible under the four NYMS program activities.

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/>

Funding Priorities:

- Ready to go or “shovel ready” projects. Project readiness is best demonstrated by clear funding commitments for permanent and construction financing, documented site control, completed pre-development planning work, local approvals and administrative capacity.
- A proposed NYMS service area should include a mix of uses, such as residential, commercial, and civic buildings. Individual assisted buildings are not required to include both residential and civic or commercial spaces; however, applications should propose a comprehensive approach to strengthen both the commercial and residential sectors. Affordable housing in upper-floor spaces and on adjacent streets helps to strengthen the social and economic vitality of the business district. Incorporating residential units on the upper floors is strongly encouraged and those projects will receive priority consideration.
- For NYMS there is a preference for funding proposals where contiguous buildings will be assisted, maximizing the impact of the investment.
- Applicants able to successfully demonstrate broad local support and linkages between the proposed project and local planning and development efforts, and applicants documenting high percentages of committed matching and leveraged funds will receive the highest scores.

Matching Fund Requirements:

Each of the NYMS activities require matching funds, and only funds directly invested in eligible project activities are eligible as the required match. In kind match is not eligible, and costs incurred for ineligible activities or prior to award and contract execution are not eligible.

- New York Main Street Technical Assistance Project
NYMS-TA funds may reimburse up to 95% of the project cost, not to exceed \$20,000. The remaining 5% must be provided as a cash match, in kind match will not be accepted. A total project cost of at least \$21,053 must be presented to request a \$20,000 NYMS-TA grant.
- New York Main Street Building Renovation Project
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 a minimum of two residential units.

- New York Main Street Downtown Anchor Project
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 Project
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 Project request is \$100,000.

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 \$19.5 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 the total eligible project cost; up to 75% if the project is located in a high-poverty area as defined below. 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 7, 2018, or September 6, 2018, 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) 268-2213.
 - 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.
 - The expense of packing/storing of furnishings and artwork is allowed when required to complete an awarded project for grant-assisted interior work, such as installation of a fire suppression system, or plaster/decorative finishes.
 - For projects on sectarian properties, grant assistance can fund only costs necessary for historically accurate restoration to restore and preserve the historic integrity of the

historic property, and only to the extent that those costs exceed the cost of basic rehabilitation. Information and instructions on how to structure/present a sectarian project can be found at <http://nysparks.com/grants/consolidated-funding-app.aspx>.

- **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.

ALLOWABLE COSTS:

All expenditures under these grants must be for goods and services procured in a manner so as to assure the prudent and economical use of public money in the best interests of the taxpayers of the State of New York, to facilitate the acquisition of goods and services of maximum quality at the lowest possible cost under the circumstances, and to guard against nepotism, favoritism, improvidence, extravagance, fraud and corruption. Such procedures may include, but are not limited to, competitive bidding, the solicitation of three price quotes, written requests for proposals, etc.

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 Planning/Master Planning/Management Plans/Open Space 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 (RGA) for your county (see list below).

<u>Western New York Region</u> Kathleen McIsaac 2221 Taughannock Park Road Trumansburg, NY 14886 (607) 387-7041, FAX (607) 387-3390 COUNTIES: Allegany, Cattaraugus, Chautauqua, Erie and Niagara	<u>Central New York Region</u> Jean Egenhofer Clark Reservation State Park 6105 East Seneca Turnpike Jamesville, NY 13078-9516 (315) 492-1756, FAX (315) 492-3277 COUNTIES: Cayuga, Cortland, Madison, Onondaga and Oswego
<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

Waterfront Revitalization

Department of State - Local Waterfront Revitalization Program

Funding Available: Up to \$15 million

INTRODUCTION:

The Department of State (Department) is soliciting applications through the New York State Consolidated Funding Application (CFA) under Title 11 of the Environmental Protection Fund Local Waterfront Revitalization Program (EPF LWRP) from eligible villages, towns, and cities, and counties (with the consent and acting on behalf of one or more villages, towns, cities) located along New York's coasts or designated inland waterways to advance the preparation or implementation of strategies for community and waterfront revitalization through the following grant categories:

- Preparing or Updating a Local Waterfront Revitalization Program (LWRP)
- Preparing an LWRP Component, including a Watershed Management Plan
- Updating an LWRP to Mitigate Future Physical Climate Risks
- Implementing a Local Waterfront Revitalization Program or a completed LWRP Component.
- Celebrating the Bicentennial of the Erie Canal - Improving Public Waterfront Access for Canal Communities

ELIGIBLE APPLICANTS:

Eligible applicants are villages, towns, or cities and counties (with the consent and on behalf of one or more villages, towns, or cities) which are located along New York's coasts or inland waterways as designated pursuant to Executive Law, Article 42. The list of coastal waterbodies and designated inland waterways is available at <http://www.dos.ny.gov/funding/>. Applicants may also partner with counties or 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 and neighborhood groups) and for-profit organizations are ineligible and will not be scored.

Eligible applicants working in partnership with counties or 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 acting 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 in Section V, an applicant must be a village, town, city, or county with the consent and on behalf of one or more villages, towns 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 acting on behalf of one or more villages, towns or cities currently preparing an LWRP or LWRP Component or with an approved LWRP or LWRP Component. The proposed project must be located within the LWRP or LWRP Component boundary.

- For construction of projects needed to advance eligible activities, an applicant must be a village, town, city with an approved or substantially completed LWRP or relevant LWRP Component, or a county with the consent and acting on behalf of one or more eligible villages, towns, or cities with an approved or substantially completed LWRP or relevant LWRP Component. The proposed project must be located within the LWRP or LWRP Component boundary.

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.

FUNDING OPPORTUNITY:

The Department is making approximately \$15 million available to fund applications for the Local Waterfront Revitalization Program grants, with up to \$2 million for updates to existing LWRPs to mitigate future physical climate risks. Approximately \$9 million 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

The maximum State assistance request per grant application is \$2 million. There is no minimum State assistance request amount.

ELIGIBLE ACTIVITIES:

New York State's approach to managing waterfront areas recognizes that while State government can promote development and provide protection for critical resources and environments, municipalities are in the best position to determine their own waterfront objectives and to adapt statewide approaches to specific local needs. Accordingly, the Department of State, pursuant to the State Waterfront Revitalization and Coastal Resources Act, has encouraged waterfront communities to prepare Local Waterfront Revitalization Programs (LWRPs).

An LWRP is a comprehensive land and water use plan that expresses a vision for a community's waterfront area, refines State Coastal Policy to reflect local or regional needs, and outlines the organizational structure, local laws, and projects necessary to implement the plan. The State Coastal Policies, set forth in the State of New York Coastal Management Program and Final Environmental Impact Statement, include enforceable coastal policies for managing the State's coastal resources by preserving and using coastal resources in a manner that balances natural resource protection and the need to accommodate economic development. By preparing an LWRP, community stakeholders have the opportunity to evaluate local waterfront resources, develop goals and a comprehensive strategy for the best use of those resources, propose future projects, and adopt a local program that will guide appropriate development. Development of LWRPs can also provide a regional framework to cooperatively address revitalization issues and advance ongoing and emerging state initiatives including, but not limited to, regional economic development, community sustainability, smart growth, public health outcomes and environmental justice.

The benefits of preparing, and implementing an LWRP include development of a consensus-driven, unified vision for the community; technical assistance from the Department of State; increased chances for obtaining financial assistance from public and private funding sources; and, coordinated review between federal, State, and local agencies as appropriate for proposed projects and government actions within the LWRP boundary.

Preparing or Updating a Local Waterfront Revitalization Program (LWRP)

Preparing a Local Waterfront Revitalization Program Component

Updating an LWRP to Mitigate Future Physical Climate Risks

Implementing a Local Waterfront Revitalization Program or Local Waterfront Revitalization Program Component

LWRP Component: Watershed Management Plan (Planning or Implementation)

Celebrating the Bicentennial of the Erie Canal - Improving Public Waterfront Access for Canal Communities

FUNDING AND BUDGET GUIDANCE

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, and fringe benefits for activities related to project work by municipal employees, including project management, capacity building, and grant administration. Fringe benefits must be outlined in the application and include the organizations documented rate.

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.

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.

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 sustainable organizational capacity, such as through creating and recruiting new positions or enlisting external professional assistance to oversee revitalization efforts. Allowable activities under capacity building shall be within the scope of the RFA and undertaken in direct furtherance of the purpose of the grant application.

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.

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 will neither be accepted as the required local match nor reimbursed with grant funds:

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 funding

Other Environmental Protection Fund awards

Land acquisition (except as noted above)

Taxes, insurance, fines, deficit funding

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.

Contingency costs

Lobbying expenses

Cost incurred prior to the contract start date

Costs that are not adequately justified or that do not directly support the project

Failure to adequately justify direct project costs will deem costs ineligible. Ineligible costs will be eliminated from the total project costs in the grant application.

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, with equal consideration, for the following:

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/>

Priority in this round of funding is being given to projects that recognize and support the bicentennial of the Erie Canal between 2017 and 2025 and result in noteworthy and sustainable recognition of the Canal System's significance, relevance, and heritage during and after the 2017-2025 bicentennial of Erie Canal construction.

The Canal Corporation's goal for the Erie Canal Bicentennial Celebration is to strengthen the Canal's identity by raising public awareness of the historical and current impact of the Canal, expand community engagement and participation in canal programs; and increase investment in the canal to generate economic and cultural benefits for all communities ensuring an enduring legacy. Information on the history of the canal can be found at: <http://www.canals.ny.gov/history/history.html>

If an application is made for trail related construction, priority in this round will be given to projects that connect to or enhance the Empire State Trail initiative.

Applicants are also encouraged to explore additional state agency funding sources for historic preservation, waterfront development, recreational access and tourism marketing projects and/or programs.

Projects proposed for Canal funding should preserve and rehabilitate canal infrastructure, enhance recreational opportunities for water-based and land-side users, promote tourism, economic development, and revitalization in the canal corridor and enhance the connections between the canal and the corresponding region. Funding can be used to expand public access, increase recreational use, improve services for motorized and non-motorized boaters, improve services and access for Canalway trail users, and stimulate private investment along the NYS Canal System. Canal CFA projects are expected to offer a greater appreciation and understanding of canal and community history, and to promote the protection of environmental and historic canal resources.

In addition, proposed projects that are part of the following state wide initiatives will be looked upon favorably:

Downtown Revitalization Initiative

Opportunity Agenda Related Projects

Veterans' Related Projects

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, trail sections, vessels or structures; constructing additions or improvements that enlarge, expand, enhance or extend existing buildings, trail sections, vessels or structures; new systems in existing buildings, vessels or structures (HVAC, plumbing, electrical, mechanical, propulsion); substantial renovations or preservation of existing buildings, trail segments, 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 including signs and interpretive exhibits, constructing or rehabilitating segments of Canalway Trail; constructing or rehabilitating docks or bulkheads 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 \$35 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 distribution customers of a participating utility company, who pay into the System Benefits Charge (SBC). The SBC may be a line item on the customer's utility bills.

Eligible Applicants include, but are not limited to:

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

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

Customers who are in need of a service provider may choose from NYSERDA's FlexTech Consultant list comprised of firms under NYSERDA contract who have been competitively selected to provide technical services across the state. The current list of FlexTech Consultants is available on NYSERDA's website at www.nyserda.ny.gov/flextech. 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.

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.nyserdera.ny.gov/flextech

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

1-866-NYSERDA

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).

FUNDING PRIORITIES:

- Funding is available on a first-come, first-served basis until funds are exhausted;
- All applications to the CNCP are given equal consideration; and
- To ensure eligibility to participate in all services available through the CNCP and to maximize CNCP benefits, NYSERDA recommends that applications be submitted in the early schematic design phase or sooner.

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.nyserderda.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.

ADDITIONAL RESOURCES:

Website: www.nyserdera.ny.gov/ipe

NYSERDA Net Zero Energy for Economic Development

Funding Available: Up to \$10 million available

Program Opportunity Notice (PON) 3881

DESCRIPTION

The New York State Energy Research and Development Authority (NYSERDA) has \$10 million of incentives available to support economic development projects across New York State. All projects must demonstrate that the project will help achieve the goals of the Regional Economic Development Council's (REDC's) Strategic Plans or State Priority Areas. The purpose of the funding available in this program is to help the site be designed and operate at net zero energy performance.

Eligibility Note:

- Projects located in one of the following REDCs must pay into the System Benefits Charge at that site: Capital Region, Central New York, Finger Lakes, Mid-Hudson, Mohawk Valley, New York City, North Country, Southern Tier and Western New York.
- Projects located in Long Island are not subject to this restriction.

Incentives are available for the incremental cost of design, construction, and installation of all technologies (as compared to the cost to build/renovate to a code compliant standard) utilized to achieve net zero energy performance. Project awards will be up to up to 70 percent of eligible costs or \$1,000,000. Additional funding may be available to projects that meet certain criteria, depending on availability of funds.

The Net Zero Energy for Economic Development Program provides eligible New York State commercial, industrial, and institutional applicants with incentives on a competitive basis, for the construction of, or renovation to existing, buildings designed to achieve net zero energy performance.

ELIGIBLE TYPES OF APPLICANTS

Eligible Applicants include, but are not limited to:

- Commercial Facilities (not including multifamily or retail)
- Light-Industrial Facilities
- Food Processing Facilities
- Public and Private K-12 schools
- Colleges and Universities
- Healthcare Facilities
- Agricultural Facilities
- Municipalities (Local Government)
- State Agencies & Other State Government
- Not-for-profit Corporations
- Mixed Use
- Warehouse & Distribution Facilities
- Waste Water Treatment Plants

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS

Net zero energy performance, for the purposes of this program, is defined as an energy-efficient facility where the actual annual energy used on site is less than or equal to the on-site renewable energy produced.

If fossil fuels must be utilized for a project due to energy requirements for process loads, the Applicant must demonstrate that there is not an all-electric process that can replace the fossil fuel usage. In this instance, NYSERDA will consider the project's use of the US Department of Energy's Common Definition of Zero Energy Buildings

https://www.energy.gov/sites/prod/files/2015/09/f26/bto_common_definition_zero_energy_buildings_093015.pdf in determining eligibility.

Incentives will be paid for the incremental cost to design and build the project to net zero energy performance above the cost of building to the applicable New York State Energy Conservation Construction Code (i.e. the cost of installing a ground source heat pump to heat and cool the building, less the cost of installing a code-minimum heating and cooling system, etc.). The calculation of incentives will include all technologies that contribute to the building achieving net zero energy performance (i.e. energy efficiency, renewable energy, battery storage, electric vehicle charging infrastructure, etc.), thus providing the Applicant with “single-point” access to clean energy incentives for the entire project. Applicants selected for award under this opportunity, will be ineligible to apply for other NYSERDA or utility energy-related incentives for any aspect of the project. Applicants applying for NYSERDA’s Net Zero Energy for Economic Development Program incentives must clearly describe the scope, schedule and budget for the project.

While NYSERDA may consider some design costs that occur prior to award to be eligible, all physical work conducted to make capital improvements to the facility prior to a contract being executed will not be eligible for cost-sharing.

Projects that receive an award under this Net Zero Energy for Economic Development Program will not be eligible to apply for any other efficiency or renewable energy incentives from NYSERDA or their utility. However, Applicants that are not awarded through this competitive selection process may be eligible to participate in NYSERDA’s Commercial New Construction Program, NYSERDA’s renewable energy programs, or utility programs as applicable.

GRANT FUNDS MAY BE USED FOR

- Design, Energy Modeling and Integrated Project Delivery
- Energy Efficiency Improvements
- On-site Renewable Energy Systems (photovoltaics, wind, or solar thermal)
- Ground-Source or Air-Source Heat Pumps
- Electric Vehicle Charging Stations
- Battery Storage
- Or other efficiency or renewable energy technologies.

At NYSERDA’s sole discretion, NYSERDA may determine additional costs to be eligible if the Applicant is able to demonstrate to NYSERDA’s satisfaction that these additional cost categories were specifically necessary to achieve net zero energy performance as compared to what would have been necessary to complete a project that complied with New York State Energy Conservation Construction Code, or otherwise result in significant CO₂ savings at the site.

INELIGIBLE APPLICANTS AND ACTIVITIES

- Heavy Industrial Facilities
- Residential (including single family and multifamily)
- Retail
- Applicants receiving an award from this opportunity may not obtain incentives through other NYSERDA or utility programs for any efficiency or renewable energy expenses incurred, even if the incentive cap is reached; and
- Applicants may not obtain incentives for measures installed before an application is submitted.

ADDITIONAL FUNDING

- Proposed projects that are located on sites that meet any of the following criteria may be eligible for additional funding:

Opportunity Zones: An Opportunity Zone is a low-income census tract with an individual poverty rate of at least 20 percent and median family income no greater than 80 percent of the median area income. Designation of a census tract, by New York State, in the community development Opportunity Zone program may be considered for up to \$250,000 of additional funding, if available.

Brownfield Redevelopment: To promote the cleanup and redevelopment of brownfield sites, projects located on a NYS Department of Environmental Conservation-designated brownfield site may be considered for up to \$250,000 of additional funding, if available.

Downtown Revitalization Initiative: Each Regional Council may nominate communities for selection in the Downtown Revitalization Initiative (DRI) based on the downtown's potential for transformation of downtown neighborhoods into vibrant communities. Projects located in areas that had formal plans submitted to their REDC for the DRI program, should provide evidence as such in their application. Projects within communities that proposed a plan for the DRI may be considered for up to \$250,000 of additional funding, if available.

New York Stretch Code: Communities may adopt NYSERDA's New York State Stretch Code to increase the energy performance of new buildings. Projects located in communities that have adopted the New York State Stretch Code may be considered for up to \$250,000 of additional funding, if available.

ADDITIONAL RESOURCES

For more information, applicants should contact the New York State Energy Research and Development Authority, 17 Columbia Circle, Albany, New York 12203, call (518) 862-1090 ext 3004, email lori.borowiak@nyserda.ny.gov or visit: <https://www.nyserda.ny.gov/>.

New York Power Authority - ReCharge New York

Amount available: Up to 143 Megawatts (availability as of 4/1/18)

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 \$100,000² are available to finance engineering and planning services for the production of an engineering report.

The ultimate goal of the EPG program is to advance water quality projects to construction so successful applicants can use the engineering report funded by the grant to seek financing through the CWSRF program, Water Quality Improvement Project program, or other funding entities to further pursue the identified solution.

Eligible Applicants

- Municipalities as defined in the Definitions section of this document; and
- Median household income (MHI) of the municipality must be:
 - Equal to or less than \$65,000 according to the United States Census, 2015 American Community Survey for municipalities located in REDC regions of Capital District, Southern Tier, North Country, Mohawk Valley, Central NY, Finger Lakes, or Western NY; or
 - Equal to or less than \$85,000 according to the United States Census, 2015 American Community Survey for municipalities located in REDC regions of Long Island, New York City and Mid-Hudson.

A summary of the United States Census, 2015 American Community Survey MHI data can be found on the EPG page on the EFC website at www.efc.ny.gov/epg.

- Municipalities may have no more than two active EPG awards at the same time. An active EPG award includes a project that has been awarded funding and is awaiting an executed grant agreement or currently has an executed grant agreement with EFC.

Eligible Activities

Funding can be used by municipalities for the preparation of an engineering report³. This includes planning activities to determine the scope of water quality issues, evaluation of alternatives, and the recommendation of a capital improvement project. In addition, the costs to conduct an environmental review for the recommended alternative are eligible. Design and construction costs for projects are not eligible costs

² See the "Grant Award Details" section of this document for details of funding amounts.

³ See the "Definitions" section of this document for specific information on the required contents of the engineering report.

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

- required by an executed Order on Consent; or
- required by a draft or final State Pollutant Discharge Elimination System (SPDES) permit (e.g. nutrient removal, inflow and infiltration, disinfection, etc.); or
- upgrading or replacing an existing wastewater system; or
- constructing a wastewater treatment and/or collection system for an area with failing onsite septic systems; or
- 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:

- No-action alternative;
- Green infrastructure, in combination with gray infrastructure or individually, is 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 (if it is 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 Projects

- 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.⁴
- Projects and scope that are listed on the 2018 CWSRF Intended Use Plan Annual Project Priority List.

Grant Award Details

There are three grant categories, as listed below, for the planning of wastewater infrastructure project. The first two options are for any wastewater infrastructure-related, including disinfection, projects. The third option is for inflow and infiltration projects as a result of an Order on Consent or SPDES Permit Compliance Schedule

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 website at www.efc.ny.gov/epg.

⁴ See the "Definitions" section of this document on what is considered an eligible publicly-owned treatment works activity.

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.

Option 3 - \$100,000 grant (only for inflow and infiltration projects as a result of an Order on Consent or SPDES Permit Compliance Schedule)

- Population of Municipality: no limit

Multiple Application Submissions

EFC/DEC reserve the right to limit the number of awards per municipality to one per Round. If an applicant chooses to submit multiple applications for their municipality, please prioritize the applications. Please note, municipalities may only have two active EPG awards.

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 \$79 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 25% of the award amount as a local share of the project for high priority Wastewater Treatment Improvement projects, Non-agricultural Nonpoint Source Abatement and Control, Land Acquisition for Source Water Protection, Aquatic Habitat Restoration, and Municipal Separate Storm Sewer System projects; 60% of the award amount as a local share of the project for General Wastewater Infrastructure Improvement projects; and 50% of the award amount as a local share of the project for Salt Storage.

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 13, 2018.

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 \$79 million available for WQIP projects.

The Department may potentially receive additional funding for qualifying projects in specific geographic areas or for specific types of 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 are 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)

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/costs as described in the project type descriptions
- Projects that fail to submit required documentation as specified in the project type descriptions
- Not for profit applicants who do not have a current pre-qualification in Grants Gateway as of the application deadline
- Applications that fail to meet the minimum scoring criteria as detailed in the Scoring Rubric at the end of the RFA

Applicant Guidance

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 15. Also, applicants who have not previously been awarded a WQIP grant but whose Round 15 application does not demonstrate the experience and ability to carry out the project will not be funded in Round 15.

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 or ineligible costs may be deemed ineligible. See individual project types for a list of ineligible activities/costs 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>).

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
- Two or more municipalities with a shared green infrastructure project
- 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 10 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

INELIGIBLE ACTIVITIES:

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

- Capital equipment costs such as street sweepers, sewer cleaners, and vacuum 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 \$8,789,000

Program Description

Funding is available for inventory, assessment, planning, and implementation projects that advance the work of municipalities to address climate change. Priorities for the 2018 round include adaptation actions that reduce flood risk and increase preparedness for future extreme-weather conditions, greenhouse-gas mitigation activities related to transportation and reduction of food waste, and specific Climate Smart Communities certification actions that advance a municipality's ability to implement adaptation and mitigation projects.

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, 625 Broadway, Albany, NY 12233-1030, 518-402-8448, cscgrants@dec.ny.gov or see <https://www.dec.ny.gov/energy/76483.html>.

Eligibility

All municipalities in the State of New York are eligible to apply for funding in response to this request for applications (RFA). For the purpose of this RFA, a municipality is defined as a county, city, town, village, or borough of the City of New York. Political subdivisions such as municipal corporations, school districts, district corporations, boards of cooperative educational services, fire districts, public benefit corporations, industrial development authorities and similar organizations are not eligible to serve as lead municipal applicants in response to this RFA.

A municipality applying through this RFA must commit to providing at least 50 percent of the project cost. Neither state nor federal funds may be the source of the municipal match. If the demonstrated eligible match is less than 50 percent of the requested grant, the grant award will be reduced to be no more than the documented eligible municipal match. Applications not demonstrating adequate match to ensure project completion or to qualify for applicable minimum award amounts will be disqualified and not considered for funding.

Both implementation and certification projects will be considered for funding, as follows:

Implementation Projects

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

Total available - up to \$8,239,000.

Minimum award - \$10,000.

Maximum award - \$2,000,000.

Design & engineering - limited to a maximum of 15% of the grant request

No more than fifty (50) percent of the total available funds for implementation projects will be awarded to municipalities with populations greater than 100,000 or to any single municipality.

Adaptation Category

Eligible projects in the adaptation categories will be evaluated for their potential to provide a meaningful response, at the municipal level, to anticipated future conditions resulting from climate change. Scores will be based on the anticipated effectiveness of the project to reduce risk to residents, infrastructure or natural resources under projected climate conditions. Applications must include the source of data used in the analysis, current climatic conditions (e.g., flood or flow levels, number of extreme-heat days), anticipated changes to relevant climatic conditions, anticipated risk-reduction associated with the project (e.g., value of property protected, population served), and methods used to estimate anticipated risk reduction. The evaluation criteria and scoring for implementation projects can be found below.

Mitigation Category

Eligible projects in the mitigation category will be evaluated for their potential to provide a meaningful reduction in greenhouse gas (GHG) emissions. Applications should describe the source of GHG emissions data, current GHG emissions, future GHG emissions due to project implementation, and the methods used to estimate GHG reductions.

Certification Projects

Certification projects focus on assessments, inventories and planning activities that are part of becoming a Certified Climate Smart Community. Such assessments should also provide the basis for future grant applications for implementation projects. Certification projects must align with one or more of the Climate Smart Communities (CSC) certification actions listed below.

Total available - up to \$550,000.

Minimum award - \$10,000, except that up to five grants of between \$2500 and \$9999 each may be awarded to municipalities of population sizes less than 40,000.

Maximum award - \$100,000.

No more than 50 percent of the total available funds for certification projects will be awarded to municipalities with populations greater than 100,000 or to any single municipality.

Projects will be scored based on the effectiveness of the project or plan to address future climate conditions and/or support greenhouse gas reduction. Applications must identify all CSC certification actions to be completed and how the products will be used by the municipality in the future. Any project designed to satisfy the requirements of one or more of the certification actions listed below is eligible for this funding. The evaluation and scoring criteria for certification projects can be found below. More information about certification actions and requirements for certification approval and documentation can

be found at the Climate Smart Communities certification portal (“the portal”), <https://www.ClimateSmart.ny.gov>.

Work plans for projects funded in the certification category must include completion of the minimum requirements for the selected certification actions. Work plans must also include submittal to the portal of the required documents for each action.

Certification Actions

Eligible projects include completion of any of the following CSC certification actions. See the CSC certification portal for individual certification action descriptions and requirements. Proposals based on a plan to complete several actions and that demonstrate a commitment to achieving CSC certification will be preferred.

Eligible Expenses

The following expenses will be eligible for reimbursement:

- personal services (salary and fringe)
- contractual services
- in-kind services directly related to the project, including value of volunteer time
- supplies and materials
- equipment
- project-related travel

Ineligible Expenses

The following expenses will not be eligible for reimbursement:

- costs for purchase of zero-emission vehicles and/or installation of electric vehicle service equipment 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
- federal and other New York State funds

Department of State - Local Government Efficiency Program

Funding Available: Approximately \$4 Million

DESCRIPTION

The Local Government Efficiency (LGE) Grant program provides funding to local governments to 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 consolidation and shared services, city or county charter revisions that include functional consolidation, and establishment of regional service delivery.

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

ELIGIBLE APPLICANTS

Counties, cities, towns, villages, special improvement districts, fire districts, public libraries, association libraries, public library systems - if they advance a joint application on behalf of member libraries, water authorities, sewer authorities, regional planning and development boards, school districts, and Boards of Cooperative Educational Services (BOCES) only to the extent they advance certain joint applications.

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 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 maximum funding for implementation 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, the local cost share must be at least 50% of the total project cost.
- For an implementation project, the local cost share must be at least 10% of the total project cost. (For projects that implement a planning grant previously funded under the LGE program, the grant award for implementation will be increased by the amount of the local matching funds provided for the planning grant).

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

INELIGIBLE ACTIVITIES:

For this application, projects shall not include plans for a local government re-organization eligible to receive funding pursuant to the New York Department of State Local Government Citizens Re-Organization Empowerment Grant (CREG). CREG assists local governments with planning and implementation actions for consolidation or dissolution pursuant to General Municipal Law 17-A. Applications for CREG funding can be submitted monthly. Please visit <http://www.dos.ny.gov/funding/> for more information on submitting a CREG application.

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

Education/Workforce Development

Department of Labor - Workforce Development

Funding Available: Up to \$5 million

DESCRIPTION

Provides grants on a competitive basis for occupational skills training of employed, 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.

Middle-skills occupations are defined as those requiring a medium level of preparation to work in that occupation and typically require some education and training beyond high school but less than a bachelor's degree. The postsecondary education and/or training may include an associate's degree, vocational certificates, significant on-the-job training, previous work experience, or some college.

The position(s) targeted for training must exist and be filled at the time the proposal is submitted. Part-time employees are eligible for training under this grant if they have a permanent, year-round attachment to the applicant. Temporary employees, seasonal employees, public (federal, state, county, municipal, public authority and public benefit corporation) employees and volunteers are not eligible for training under the EET Program.

Allowable costs under this program include:

- The costs of outside vendors or in-house trainers to provide on-site or off-site classroom training. Training provided by in-house staff may not be billed at a per trainee rate. NYSDOL will only reimburse for the actual hourly wage rate (salary only, no fringe benefits) of the in-house trainer. Training by in-house staff must be for a minimum of two trainees per course;
- Textbooks or training materials directly associated with the training;
- Distance learning fees (i.e., the fee for the training slot and software required to deliver the program of training). This grant will not pay for the cost of any hardware that may need to be purchased in order to access the instruction; and
- Credentialing exam fees.

The method of selection will be based on a point system with the program design worth 60% of the total score and program cost worth 20% of the total score. The REDC will also review the proposal and award a maximum of 20 points (20%) based on the proposal's alignment with regional priorities. Scores for the EET Program will be tabulated separately from the other NYSDOL program available under the 2018 Consolidated Funding Application. EET Program proposals will be awarded in rank order beginning with the proposal(s) with the highest total points until the funds allocated to the program have been exhausted.

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 additional points in scoring for proposals indicating a plan for training unemployed and/or underemployed individuals in 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.

Training is to be provided in a classroom setting, and there must be a commitment from business(es) to interview individuals who successfully complete the training. Program proposals that focus on priority populations will receive additional points in the scoring process.

Allowable costs under this program include:

- The cost of providing occupational skills training course(s) as a published tuition rate, if available, or an itemized non-published tuition rate, which may include admissions, career development, work readiness, job placement, staff compensation, and operational expenses as part of the occupational skills training;
- The cost of credentialing exam fees;
- The costs of textbooks or training materials directly associated with the training;
- The cost of software that is required to deliver the program of training;
- Distance learning fees (i.e., the fee for the training slot and software required to deliver the program of training). This grant will not pay for the cost of any hardware that may need to be purchased in order to access the instruction; and
- Supportive services for trainees which may include: miscellaneous participant expenses; incentives for reaching benchmarks; payments for transportation, child care, housing, and dependent care.

The method of selection will be based on a point system, with the program design worth 60% of the total score and program cost worth 20% of the total score. The REDC will also review the proposal and award a maximum of 20 points (20%) based on the applicant's alignment with regional priorities. Proposals will be awarded in rank order beginning with the proposal(s) with the highest total points until the funds allocated to the UWT program have been exhausted.

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 18, 2018. 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 20, 2018.

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 2018 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.