

2008 Central Catskill Park/Mountains Smart Growth Grant Program

Application and Instructions

Deadline: June 20, 2008

Governor David Paterson
Commissioner Alexander B. Grannis
New York State Department of Environmental
Conservation
April 2008



**New York State Department of Environmental Conservation
Commissioner Alexander B. "Pete" Grannis
Central Catskill Park/Mountains Smart Growth Program
Environmental Protection Fund
2008-2009
REQUEST FOR APPLICATIONS (RFA)**

The Department of Environmental Conservation (DEC) is soliciting applications from towns, villages and not-for-profit corporations, located along the Route 28 corridor of the Central Catskill Mountains, for Central Catskill Park/Mountains Smart Growth Grant projects. The Route 28 corridor of the Central Catskill Mountains is an area subject to increasing development pressure. DEC seeks proposals for capital projects which protect the region's natural resources and accommodate economic growth by revitalizing existing village, hamlet and town centers. Projects must be located wholly within the Program Area, which consists of the Towns of Andes, Middletown, Olive and Shandaken, and the Villages of Fleischmanns and Margaretville. For the purposes of this grant program, these towns and villages will be referred to as the eligible municipalities.

Projects must be consistent with the Smart Growth principles outlined herein. DEC anticipates approximately \$500,000 in funding will be made available from an Environmental Protection Fund capital appropriation for State Fiscal Year 2008-2009.

APPLICATION SUBMISSION

An application form is attached. **An original and 6 copies** of each application must be sent to:

**THE NEW YORK STATE
CENTRAL CATSKILL PARK/MOUNTAINS SMART GROWTH
GRANT PROGRAM
New York State Department of Environmental Conservation
625 Broadway
Albany, NY 12233-4250**

**Contact: Dylan Walrath
Phone: (518) 402-9405**

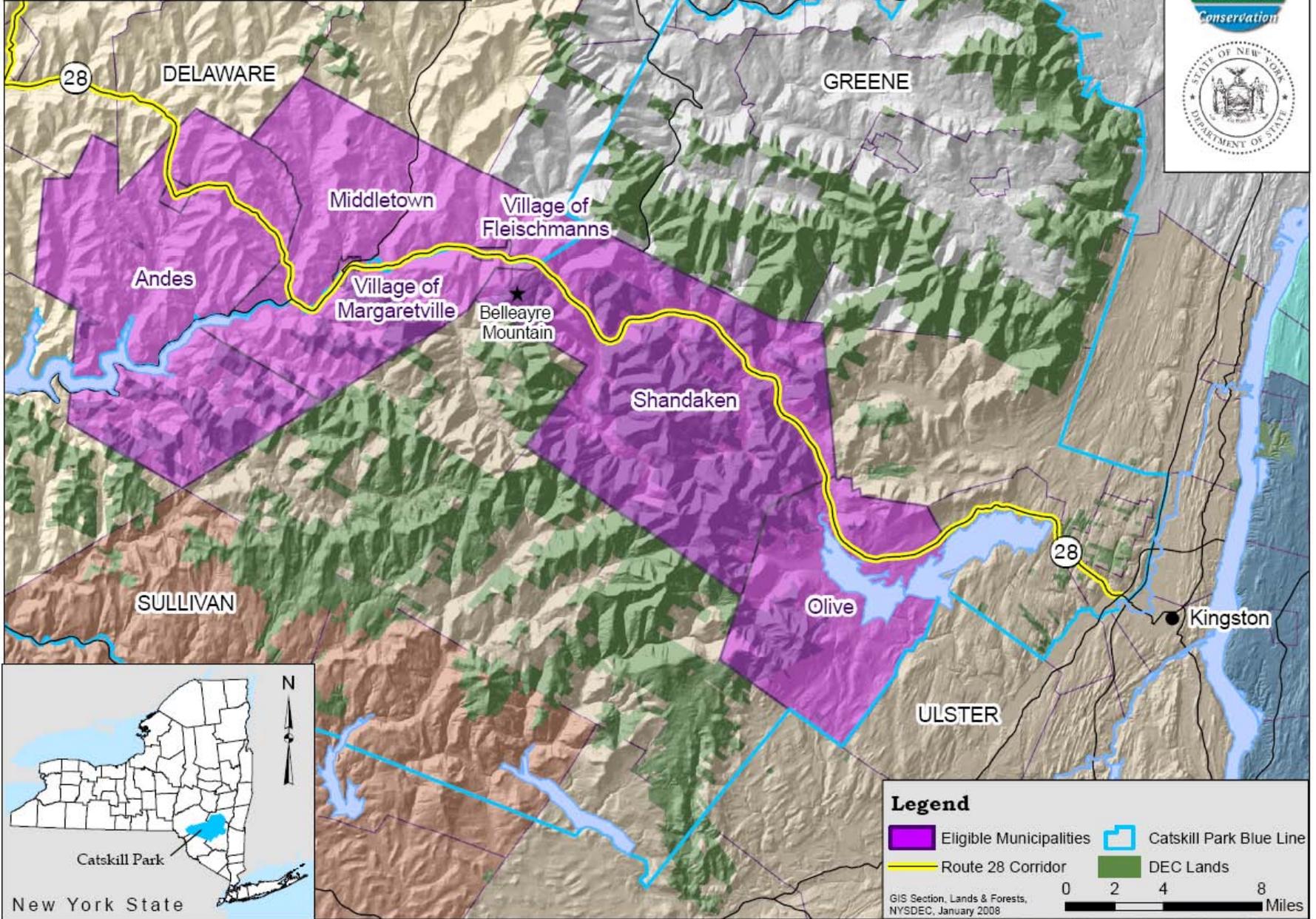
E-mail: lflands@gw.dec.state.ny.us (Subject: Catskill Smart Growth)

**Applications must be postmarked by June 20, 2008.
Hand delivered applications must be received by 4:00pm on June 20, 2008.**

**Incomplete Or Late Applications WILL NOT BE CONSIDERED.
Fax And E-Mail Transmissions WILL NOT BE ACCEPTED.**

Electronic versions of the application are located at the DEC Website at <http://www.dec.ny.gov/pubs/37874.html> Check back for updates and frequently asked questions. To request a copy of the application or for any additional questions on the application process, the eligibility of your grant application, or its content, please call the DEC Smart Growth Program at (518) 402-9405 or e-mail at lflands@gw.dec.state.ny.us (Subject: Catskill Smart Growth)

Central Catskill Park / Mountains Smart Growth Grant Program



Legend

- Eligible Municipalities
- Catskill Park Blue Line
- Route 28 Corridor
- DEC Lands

0 2 4 8 Miles

GIS Section, Lands & Forests, NYSDEC, January 2008

Central Catskill Park/Mountains Smart Growth Program

Smart growth is planned growth that balances the need for economic development with the desire to enhance our natural and built environments. As an overriding principle, Smart Growth promotes, directs, and provides incentives for growth in populated, developed areas with infrastructure and amenities to sustain such growth.

The Central Catskill Park/Mountains Smart Growth Program supports the implementation of capital projects in a primary corridor of the Park and mountains that apply Smart Growth principles adapted, as appropriate, to the special conditions found in the Catskill Park and region. The State, through other programs such as the Department of State's Watershed Planning and Implementation grants, has previously provided funding for comprehensive plans, strategic investment plans, revision of land use regulations, stormwater management plans, and qualified capital improvement projects. The Central Catskill Park/Mountains Smart Growth Program builds on these and other efforts by offering opportunities for eligible applicants to further enhance historic hamlets within the Program Area. These hamlets, located within or proximate to the Park, complement the region's protected natural and historic resources, and give the area its special sense of place. The Program seeks to enhance the connection of residents and visitors to the area's exceptional natural resources.

I. SPECIAL CONDITIONS OF THE CATSKILL PARK

All six of the Central Catskill eligible municipalities lie entirely or partially within the Catskill Park and the New York City Watershed. The Catskill Park, created by an act of the State legislature in 1904, consists of approximately 705,000 acres, almost half of which are "forever wild" lands of the Catskill Forest Preserve. The forest preserve has thousands of acres of forests with meadows, remnants of old farmsteads, lakes, rivers, springs, waterfalls, cliffs, fire towers, rare plants, bears and other wildlife. Also, there are hundreds of miles of public trails to enjoy. Today, it serves as watershed, recreation area and ecological and scenic reserve. In addition, the City of New York holds open for recreation some 11,000 acres of public land, adjacent to State land within the Catskill Park. A combination of the beautiful natural environment, significant recreational opportunities and proximity to large population centers and ready access make the Catskill Park and mountains desirable for development.

Given the significant public land holdings, and the mountainous topography of the Catskill Park, the economy of the Central Catskills largely depends on tourism, outdoor recreation, arts and culture, and natural resource based businesses. This Park and mountain economy is anchored by vibrant, compact hamlets, with historic architecture, small businesses, and pedestrian-friendly main streets. Collectively, this mosaic of public and private lands reflects traditional settlement patterns that are not largely impacted by automobile-dependent development (e.g. strip malls, drive-through businesses, large parking lots) and associated traffic congestion. As regional development pressures on the Route 28 corridor increase, this Program is designed to reinforce the assets

of the villages and hamlets and help preserve the heritage of the Catskill Park. Development in historic centers helps maintain the scenic qualities of the Route 28 corridor which are vital to tourism and the economic well-being of the region and the Park.

The Catskill region has benefited from a significant amount of comprehensive and community planning. The New York State Department of State (DOS) has awarded competitive grants to municipalities in the New York City Watershed for four types of planning projects. The Catskill Center for Conservation and Development has facilitated numerous Community Empowerment Initiatives, which are locally driven processes that identify specific priority projects for implementation. The Catskill Watershed Corporation administers the Local Technical Assistance Program, a competitive grant program that supports comprehensive planning and zoning initiatives. Communities have taken advantage of these and other resources and have well positioned themselves to implement projects and practices that further realize sustainable economic development in the Central Catskills. The Central Catskill Park/Mountains Smart Growth Program helps support such planning initiatives by providing funding, on a competitive basis, for proposed capital improvement projects that demonstrate the criteria identified in this application.

II. SMART GROWTH PRINCIPLES

Proposed eligible projects must be for implementation of capital projects that will be consistent with the aforementioned conditions and applicable laws, rules and regulations of the State, and be consistent with the following general Smart Growth Principles adapted from the Smart Growth Network (www.smartgrowth.org) as they apply within the special conditions of the Catskill Park.

Smart Growth Principles:

1. Mix land uses – A mix of land uses can convey substantial fiscal and economic benefits by placing commercial uses in close proximity to residential areas as a critical component of achieving viable places to live.
2. Take advantage of green building design – Smart Growth involves energy conservation measures such as proper building placement for passive solar heating and the use of locally produced building materials.
3. Create a range of housing opportunities and choices – Provide quality housing with efficient access to resources for people of all income levels.
4. Create walkable neighborhoods – Walkable communities make pedestrian activity possible by mixing land uses and building compactly, thus expanding transportation options, and creating a streetscape that better serves a range of users, including pedestrians, bicyclists, transit riders, and automobiles.

5. Foster distinctive, attractive communities with a strong sense of place – Smart Growth encourages communities to craft a vision and set standards for development and construction which respond to community values of architectural beauty and distinctiveness, as well as expanded choices in housing and transportation.
6. Preserve open space, forests, farmland, natural beauty, and critical environmental areas – Open space preservation bolsters local economies, preserves critical environmental areas, improves communities' quality of life, and guides new growth into existing communities.
7. Strengthen and direct development towards existing communities – Smart Growth directs development towards existing communities already served by infrastructure, seeking to utilize the resources that existing neighborhoods offer, and to conserve open space and irreplaceable natural resources on the urban fringe.
8. Provide a variety of transportation choices – Providing people with efficient and alternative transportation choices fosters greater community opportunities for housing, shopping, and jobs compliant with Smart Growth principles.
9. Make development decisions predictable, fair and cost effective – It is important to create a fertile environment for innovative, pedestrian-oriented, mixed-use projects, where government can provide leadership for Smart Growth.
10. Encourage community and stakeholder collaboration in development decisions – Collaborative efforts can lead to creative resolutions of development issues and greater community understanding of the importance of good planning and investment which results in great places to live, work, shop and play.
11. Foster long term comprehensive planning – Smart Growth involves reconciling local and regional plans to better protect natural and cultural resources and foster more efficient development and maintenance of infrastructure. Project resulting from greater comprehensive planning and implementation including capital projects by municipalities will call for coordination between local, regional and state goals and should foster improved opportunities, such as having greater financial support for necessary local infrastructure.
12. Foster strong, sustainable businesses in community centers – Smart Growth involves fostering sustainable economic developments in urbanized areas as opposed to scattered economic development. In the case of the Catskill Park, hamlets, and town and village centers are the center for services in a tourism economy and should have the ability to

establish necessary infrastructure to support additional sustainable businesses.

III. CENTRAL CATSKILL PARK/MOUNTAINS SMART GROWTH GRANT PROGRAM ELIGIBLE PROJECTS

Capital Improvements in Village, Hamlet and Town Centers

Villages and hamlets, including town centers, are the mainstay of the Central Catskill economy and are integral to the Park's culture, social life, and services supporting recreational access to natural resources. These centers must protect existing assets to maintain their historic, economic and aesthetic value, and continue to be the service centers for Park residents and visitors. Main Street revitalization can enhance community quality-of-life, bolster tourism, attract private sector investment, generate cultural amenities, create jobs and discourage inefficient land development practices, i.e. sprawl. Capital improvements provide an opportunity to enhance and protect the unique scenic assets that define the Catskill Park, Route 28 travel corridor.

Capital improvements are an integral part of any downtown or main street revitalization effort. Projects eligible for this Program include but are not limited to the following.

Examples of Eligible Project Activities that achieve the goals of the Smart Growth Program

- Capital improvements to Main Street areas that incorporate the Smart Growth Principles
- Inviting public spaces
 - pocket parks, squares and greens
 - sidewalks and frontages
- Pedestrian-oriented and bicycle-friendly streetscape design and amenities
 - sidewalk "bulb-outs"
 - medians and marked cross-walks
 - roadside park benches and furniture
 - traditional, pole-mounted traffic lights
 - roadside plantings, greenery and street trees
- Main Street facade improvements
- In-fill construction in hamlets
 - re-development/re-use of abandoned or underutilized buildings and sites
 - revitalization of existing roads and infrastructure
- Retrofitting of existing buildings in hamlets
 - energy retrofits
 - conversion to workforce housing
- Aesthetic signage that creates an enhanced visual appearance compatible with its location within the historic Catskill Park/Mountains
 - dark-sky-friendly lighting

- Landscaping and tree-planting
- Wayside and other Park and/or resource interpretation
 - informational and interpretive kiosks
 - trailhead information
 - publicly displayed maps or descriptive signage
 - topographic models

IV. GENERAL GUIDELINES

What are the geographic boundaries of the Central Catskill Park/Mountains Program Area?

The geographic boundaries of the Program Area shall be the jurisdictional boundaries of the Towns of Andes, Middletown, Olive, and Shandaken, and the Villages of Fleischmanns and Margaretville. Eligible projects must be located wholly within the Program Area.

Who is eligible to apply?

Not-for-profit corporations and eligible municipalities (specifically the Towns of Andes, Middletown, Olive, and Shandaken, and the Villages of Fleischmanns and Margaretville) having projects located wholly within the Program Area. Eligible applicants may submit more than one application under this grant program.

A "Not-for-Profit Corporation" shall mean an organization formed pursuant to the not-for-profit corporation law and qualified for tax-exempt status under Section 501(c)(3) of the Federal Internal Revenue Code. Not-for-profit corporations should be engaged in planning, revitalization, or development in the Catskill Park or region and must have a valid charities registration number.

Are partnerships and inter-municipal applications encouraged?

Yes, partnership projects are encouraged between eligible applicants. There can only be one designated project applicant named on the grant application. If the project involves a partnership, the designated project applicant is considered to be the one eligible applicant designated as the lead applicant. The counties of Ulster and Delaware are not eligible applicants and can not be designated as lead applicant, but they may serve as a partner to an eligible applicant. If the designated project applicant ultimately receives a grant award, that applicant will be required to assume the responsibility for entering into a state assistance contract with the DEC, and will be responsible for any subcontracting associated with the project.

A resolution will be required from the designated lead applicant's governing body. In addition, not-for-profit s must submit a letter of support from an eligible municipality, demonstrating support for the project. Letters of support/commitment must be provided at the time of application from all participating partners stating they will support or will participate in the proposed project.

How much funding is available for Smart Growth grants?

DEC anticipates approximately \$500,000 from the Environmental Protection Fund will be available, for State Fiscal Year (SFY) 2008-2009, for Central Catskill Park/Mountains Smart Growth Grants. To the fullest extent practicable, a minimum of \$40,000 will be available for use within each eligible municipality, contingent on the submission of a qualified application for a project located within the municipality. This distribution of funding ensures that at least \$240,000 can be distributed evenly among the six eligible municipalities along the Route 28 corridor to meet the goals of the Smart Growth Program along the length of the corridor. Remaining funds will be distributed on a competitive basis as described herein.

The minimum grant award available under this Program is \$40,000 and the maximum is \$83,333. The minimum amount is intended to encourage each municipality to submit applications for projects that will have a significant scope and impact. Should each municipality's highest scoring application seek the maximum award, the DEC will be able to fully fund each project up to the maximum of \$83,333. The DEC reserves the right to award a portion of a grant request if it is in the best interest of the State.

Are matching funds required?

No, Central Catskill Park/Mountains Smart Growth Grants do not require the applicant to provide matching funds. The state assistance award may fund up to 100% of a project's costs; however, additional points will be awarded to grant applications that demonstrate a commitment from additional funding sources, other than the applicant, to provide matching funds between 25-100% of the grant amount requested (See Grant Selection Criteria, below).

When can a successful applicant begin work on their project?

Recipients of a grant will be notified of an official grant award via a letter of award signed by the Commissioner of the Department of Environmental Conservation. Work on the awarded grant project may begin once a State assistance contract is executed between the grantee and the DEC. The contract must include a project scope of work, performance time line, project budget, Appendix A (Standard State Clauses), and Appendix B (DEC Standard Clauses). Contracts greater than \$50,000 will require approval by the Attorney General's Office (AG), and the Office of the State Comptroller (OSC), to be fully executed.

Eligible municipalities will be required to hire contractors in accordance with General Municipal Law and any other applicable laws. Costs incurred by an applicant prior to the date of an award letter will not be eligible for reimbursement.

When will grant monies be made available to successful applicants?

This is a reimbursement grant program and grantees must plan their financial arrangements accordingly. Grantees will be required to document and provide copies of all project-related expenditures in order to receive reimbursement of

state assistance funds. No reimbursement payments will be made until a contract has been approved by DEC and if necessary the AG and OSC.

Will advance funding be made available to successful applicants?

Not-for-profits may request an advance payment of up to 25% of the grant amount. Ordinarily, under State Finance Law, municipalities are not eligible to receive advance payment of funds. However, under this Program, municipalities may be able to request up to a 25% advance on their grant amount if project-related costs are for construction.

How long will a successful applicant have to complete a grant project?

The DEC anticipates projects will be completed within a three-year term beginning with the date of the official grant notification award letter. However, the DEC may approve two additional one-year term extensions upon written request from a grantee justifying the need for an extension.

How does a successful applicant demonstrate progress?

It is imperative that the grantee complete the project as set forth in the agreed scope of work and performance time line. Failure to render satisfactory progress or to complete the project to the satisfaction of the State may be deemed an abandonment of the project and may cause the suspension or termination of any obligation of the State. Satisfactory progress toward implementation of your planning project includes, but is not limited to: executing contracts and submitting reimbursement payment requests in a timely fashion, retaining consultants, and completing plans, designs, reports, or other tasks identified in the scope of work within the time allocated for their completion. The DEC may recapture awarded funds if satisfactory progress is not being made on the implementation of the grant project. Applicants should not submit applications if they do not expect to initiate the project on a timely basis after receiving an approved contract.

What are the State Environmental Quality Review Act requirements?

All applicants must fulfill the requirements of the State Environmental Quality Review Act (SEQR). Applications will not be considered eligible for a grant without the completion of the SEQR **Part 1 of the Full Environmental Assessment Form (EAF)**. Information about SEQR and forms are available and downloadable on the DEC's website: <http://www.dec.ny.gov/public/357.html>

Not-For-Profit Corporations:

The DEC will conduct lead agency SEQR review for all not-for-profit applicants. Not-for-profit corporations are required to complete and submit **Part 1 of the Full Environmental Assessment Form (EAF)**. Applications must include clear drawings, maps, or plans of existing and proposed natural and man-made conditions on the project site and the areas immediately adjacent to the site.

Municipalities: The eligible municipality will likely be the lead agency for SEQR if the DEC is the only other involved State agency, **or** will be

responsible for initiating lead agency designation procedures if there are other involved State agencies. The lead agency designation is required to classify the environmental significance of the project under SEQR.

Type II projects (no significant impact) are not subject to further SEQR review. In this case, provide a statement selecting one or more specific reasons in section 617.5 of the SEQR regulations that qualifies your project as Type II. If any permits are required, list them in your statement.

If your project is not Type II, it is subject to SEQR. Consult section 617.4 of the SEQR regulations to determine if it is classified Type I or Unlisted. If the project is classified as Type I or Unlisted, submit a Full Environmental Assessment Form (EAF).

If the project's impacts have been previously reviewed under SEQR, supporting documentation must be submitted (e.g., FEIS and SEQR Findings Statement).

Are there special requirements that grantees will be required to meet?

Minority and Women-Owned Business Enterprises/Equal Opportunity Goals

All grantees will be required to comply with Minority and Women-Owned Business Enterprises (M/WBE)/Equal Opportunity (EEO) goals. DEC staff can provide information on how these and other applicable M/WBE statutes may impact your project. Please see Attachment A for additional information.

Historic Review Requirements

Projects undertaken with state assistance funds must comply with the New York State Historic Preservation Act. Applicants should make note of historic properties involved and may be asked to provide the DEC with additional information to ensure compliance. For projects that involve properties listed on, or eligible for, the State/National Register, all work undertaken as part of a grant-assisted project must conform to the Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation. Projects involving the rehabilitation of historic properties must also conform to the Secretary of the Interior's Standards for Rehabilitation.

Information on these standards and guidelines is available from the Smart Growth Program or on the National Park Service web pages listed below.

Archaeology and Historic Preservation
http://www.nps.gov/history/local-law/arch_stnds_0.htm

Rehabilitation Projects

<http://www.nps.gov/history/hps/tps/tax/rehabstandards.htm>

Grants may be awarded on the condition of securing all necessary permits prior to receiving final grant approval from DEC.

Accessibility

Projects undertaken with state assistance funds must comply with all applicable laws requiring accessibility. These requirements include those established by Article 4A of the New York State Public Buildings Law, relevant sections of the New York State Uniform Fire Prevention and Building Code, the Americans with Disabilities Act, the Americans with Disabilities Act Accessibility Guidelines, and Proposed ABA Accessibility Guidelines for Outdoor Developed Areas (36 CFR Part 1195)

<http://www.access-board.gov/outdoor/http://www.access-board.gov/outdoor/>.

Ground Disturbance

Applicants must determine to what extent, if any, ground disturbance will be involved in the proposed project (such as for grading, installation of underground utilities, etc.). Submit any maps or site plans that show the areas to be disturbed. Describe the relevant sections of any archeological studies that have been conducted or archaeological proposals that have been prepared for this project/property.

Ownership

If the applicant or a partner is not the owner of property involved in the proposed project, the applicant must secure the landowner(s) support. The landowner must stipulate that he/she will enter into a legally binding agreement (eg. façade easement) with the applicant, if there is not one already in place, to ensure access to improve and maintain the property throughout the useful life of the project. The application must be accompanied by **either** a letter of support from the landowner or a copy of said legally binding agreement. The applicant must enter into a legally binding agreement with the landowner before entering into a state assistance contract with the DEC.

Projects that meet the eligibility requirements and achieve a minimum score of 70 on the grant selection criteria of the Central Catskill Park/Mountains Smart Growth Program as established here-in, will be considered to have displayed a clearly defined “public benefit.” The legally binding agreement ensures that any benefit a landowner may gain as a result of state assistance occurs incidentally to the project’s public benefit.

Additional Requirements

All projects must comply with the Uniform Fire Prevention and Building Code, the State Labor Law, and the Workers' Compensation Law and any other applicable State, Federal or Local laws.

What types of costs will be eligible for reimbursement?

Grant funds may be used for the following costs:

1. Direct salary costs for applicant employees while working directly on awarded project, including personal service salaries and fringe benefits. Fringe benefits are limited to 15% of direct salary costs for applicant employees while working directly on awarded project.
2. Direct non-salary costs, including costs for administrative printing, photocopying, travel, materials, supplies, equipment (incl. rental), consultant and contractual services, legal and other goods and services **directly** associated with the project.

What types of costs are ineligible for reimbursement?

The following will **not** be paid with grant funds:

1. Indirect or overhead costs of the municipality or Not-for-Profit, such as rent, telephone service, and general administrative support.
2. Salaries and other expenses of elected officials, whether incurred for purposes of project direction, execution, or legislation, are not an eligible cost.
3. Costs of preparing the grant application.
4. Costs associated with planning activities not integral to implementation of capital projects

V. Grant Selection Criteria

All Eligible applications will be reviewed according to the following grant selection criteria. A successful proposal is not expected to meet all of these grant selection criteria. Each element of the grant selection criteria is rated using the following numerical evaluation to assess the degree to which the application meets the grant selection criteria:

High - 5 points - substantially meets criterion

Medium - 3 points - moderately meets criterion

Low - 1 point - minimally meets criterion

Does not meet criteria 0 points (a resource or factor is present, but the proposal has been determined to have no value or to not have an intended benefit)

Not applicable (a resource or factor is not present) - NA

A. General Evaluation Criteria

(All eligible applications will be scored on these criteria. Total number of points: 80)

Suitability

1. Is the project consistent with the aforementioned special conditions of the Central Catskills?
2. Is the project consistent with the aforementioned smart growth principles?

Improving the Sustainable Place-Based Economy

3. Does the project promote walkability and/or mobility without use of the auto in hamlets and community centers?
4. Will the project enhance community appearance and be in or adjacent to the public realm (e.g. on main streets, public recreation corridors, municipally-owned land, within park or civic spaces)?
5. Does the project promote sustainable economic growth in hamlets and community centers by bolstering main street or niche business while advancing efforts in historic preservation, adaptive reuse, and “green” building?
6. Does the project provide visitor services that attract park-based tourism, promote environmentally appropriate recreation and increase the public profile of unique places?

Connecting People to Nature

7. Does the project enhance or promote physical connections with the Catskill Forest Preserve or other public nature-based recreational lands?
8. Does the project protect or enhance natural resources or scenic assets of the Catskill Park Route 28 travel corridor?
9. Does the project provide education/interpretation of the Catskill Park and NYC Watershed?

Implementing Existing Plans

10. Does the project help implement goals of any county, regional, or state plans or policies?

11. Will the project build on previous community planning and economic development activities by implementing a specific strategy or objective or by achieving a broader goal or policy?

Furthering Regional Cooperation, Partnership and Involvement

12. Will the project foster partnerships between local governments and/or between different levels of government?
13. Does the project have one or more partners (municipalities, not-for-profit corporations or professionals) with skills and capabilities that will contribute to and improve the final product?
14. Does the project demonstrate involvement of community volunteers or civic groups and/or does it have a public participation component?
15. Is the project likely to leverage matching funds from other funding sources that are not grant applicants for this Program?: **10 points** if 75-100% matching funds are demonstrated; 6 points for 50-74% matching funds; or 2 points for 25-49% matching funds. (Note: Matching funds for both planning services and capital improvements shall qualify under this criterion.)

B. Cost Effectiveness Criteria:

(All eligible applications will be scored on this criteria. Total number of points: 20)

1. Project’s budget is exceptionally cost-effective, well-balanced and does not contain extraneous expenses. Funding is accurately described 20
2. Project’s budget is of average cost-effectiveness..... 10
3. Project’s budget is not cost-effective, or is extraneous or excessive 0

VI. PROCESS FOR REVIEW AND SELECTION OF PROJECTS

Pre-Review

All applications will first be reviewed according to the following:

1. Is the applicant an eligible municipality or not-for-profit corporation (eligible applicants must provide a valid federal ID number and not-for-profit corporations must also provide a valid charities registration number)?
2. Is the project located wholly within the geographic boundaries of the defined Program Area?
3. Was the application received or postmarked by June 20, 2008?

4. If the applicant is a Not-for-Profit corporation, is the application accompanied by a letter of support from an eligible municipality?

If the answer to any of the above questions is "No", your application will not be considered eligible for further review or evaluation.

Evaluation and Selection

If the answer to all of the above questions is "Yes", the application meets eligibility criteria and will be further evaluated and scored by a review panel comprised of DEC and other involved State agency staff. The review panel will evaluate and score all eligible applications using both sets of criteria: general evaluation criteria and cost effectiveness criteria. Reviewer scores will be averaged to produce a final score for both sets of evaluation criteria.

- General criteria will account for 80% of the final score.
- Cost effectiveness criteria will account for 20% of the final score.

The following procedure will ensure that funding will be available for use within each of the six eligible municipalities. Applicant final scores will be ranked and placed on one of six eligible municipality lists from highest to lowest scores. The six eligible municipality lists will correspond with the geographic locations of the projects. The highest ranked project on each eligible municipality list will be funded (municipalities without eligible applications will not be considered for awards). If any funds remain, a parkwide list will be created from all of the remaining projects regardless of their geographic location. The parkwide list will be ranked from highest to lowest score. Applicants having the highest total scores will be selected for funding, beginning with the highest down to the lowest ranked proposal, until available funding is exhausted. DEC reserves the right to award a portion of the amount of grant funding requested, if it is in the best interest of the State.

VII. INSTRUCTIONS FOR COMPLETING THE APPLICATION FORM

Part A. Applicant Information

1. **Project Applicant:** The applicant is responsible for entering into a contract with the State and for any subcontracting associated with the project. For projects that have multiple partners, one partner must serve as the lead applicant.
2. **Project Applicant's Address and Telephone Number:** Provide the postal address, telephone and fax number of the applicant.
3. **Applicant ID:** Provide the applicant's Federal Tax Identification number. If an applicant is a not-for-profit, a charities registration number must be provided.

- 4-7. Contact Information:** Provide the name, telephone and fax number, e-mail and postal address (if different from the applicant) of the person to contact regarding the proposed project.

Part B. General Project Information

- 1. Project Name:** Provide a brief but descriptive name for your project.

- 2. Project Location:** Provide County and Village or Town. The application **must include a site map which clearly shows the location of the project.** Please include one original USGS topographic map. Where relevant, include photos showing overall property and project in enough detail to clearly indicate current conditions. Photos should be keyed to maps. Applicants may use U.S. topographical sheets on-line available at www.topozone.com It is important that the map clearly displays the project location in relation to municipal boundaries, the Route 28 Corridor and hamlet/community centers and/or natural resource assets/recreational lands.

- 2-2. Ownership Information:** Identify owner(s) of property(ies) involved in the project and explain the applicant's interest in the property (eg. the applicant may own, lease or possess easement over the property, or they may have no legal interest in the property) If the applicant is not the owner, please enter the deed liber/page of the property and .

Part C. Project Timing and Cost

- 1-2. Schedule:** Provide an estimated start and end date for the project. A more thorough completion timeline should be provided in Part H - Scope of Work.

- 3-4. Project cost:** Provide an estimate of the total project cost and the amount of State assistance requested. The dollar amounts entered must match what is calculated in the budget pages. (Parts J/K)

Part D. Resolution

All applicants (municipalities and not-for-profit corporations) must submit a certified resolution of the governing body designating, by title (Mayor, Town Supervisor, Manager, Chairman, President, etc.), the representative authorized to act on behalf of that body in all matters related to their application for state assistance. Not-for-profit applicants must also submit a letter of support from the municipal government within whose borders the project is located (if the project is located in multiple municipal jurisdictions, a letter of support is needed from all involved municipal governments).

All partners (municipal and not-for-profits) listed who have an active role in the project are also required to submit a letter of agreement with the application. The letter of agreement should contain an explanation of the specifics of the role of the partner and any commitment of resources from the partner. (For a sample resolution, see Attachment B)

Part E. Project Summary

Provide a short and direct summary statement that describes the proposed project in three or fewer sentences. Include the project purpose and location; the variety of work to be performed; the need for the project and what will result if the project is undertaken. A more detailed explanation should be provided in Part H - Scope of Work.

Part F. Project Partners

Provide the contact name, address and telephone number of each project partner identified in the application. Briefly state their role in the project.

Part G. Project Personnel

Identify the key personnel who will work on the project and describe their qualifications and role in the project.

Part H. Scope of Work

Describe the proposed project, including a description of the objectives to be achieved and problem(s) to be addressed. Identify only the project's component tasks or stages to be funded by this Program, their costs as they relate to the amounts in the budget and a schedule for their completion. List specific deliverables (capital improvements) that will be provided as a result of project completion. Please attach additional pages as necessary.

Part I. Grant Selection Criteria

Describe the extent to which the proposed project is consistent with the specific grant selection criteria outlined in this RFA guidance. This description is an important component of the application scoring by the grant reviewers.

Part J/K. Budget Summary and Detail

Include all project-related costs, including costs to be funded by the state assistance. The minimum State Assistance amount is \$40,000 and the maximum is \$83,333. All projects will be scored on the reasonableness of cost information.

Note: Make sure that all items of cost in the budget are clearly described in Part H - Scope of Work, and justified as necessary to the project.

1. Salaries and Wages

For each **applicant employee** assigned to this project, indicate the title, annual salary (if an hourly employee, please indicate rate and approximate number of hours to be worked on the project) including fringe benefits, and total dollar amount to be charged to the project. (Fringe benefits include social security, workers compensation, unemployment insurance, health insurance and any other benefits. Fringe benefits are limited to 15% of direct salary costs for applicant employees while working directly on awarded project.)

2. Travel

Describe the purpose, start and end points, mode of travel, costs and how they are calculated. (Vehicle mileage at the federal rate, fuel costs, commercial carrier costs, and other similar expenses must not exceed Federal Travel guidelines.)

<http://www.irs.gov/newsroom/article/0,,id=163828,00.html>

3. Supplies, Materials and Equipment

State the cost and describe briefly the supplies, materials, and equipment to be purchased with grant funding. Equipment purchased for more than \$250 will remain the property of New York State, unless otherwise authorized by the DEC.

4. Contractual Services

State the cost and briefly describe the extent and purpose of contractual services. Municipalities must procure services pursuant to the General Municipal Law.

VIII. CHECKLIST OF MANDATORY APPLICATION SUBMITTALS

Use the following checklist to review completeness of the application package, including required number of copies. If any application requirements are not included, the application may not be eligible for further review.

- _____ Application Forms (*An original and six copies of each project application*)
- _____ Certified Resolution from the Governing Body of the lead applicant (*must be submitted with application or received by DEC no later than July 18, 2008*)
- _____ Certified Resolution from Municipal Partners (*A letter of commitment is acceptable at the time of application; however, a certified resolution must be received by DEC no later than July 18, 2008*)
- _____ Letter(s) of support/commitment to document partnerships with municipalities, not-for-profit corporations and community support, if applicable.
- _____ Federal Tax ID Number and Charities Registration Number, if applicable
- _____ A complete and accurate budget and scope of work
- _____ SEQR Requirements (See IV - General Guidelines)
- _____ Map and photos of project location (See Part B - Project Location)

Other Information

- _____ If the applicant is not the owner of property involved in the proposed project, a letter of commitment or legal agreement from the landowner(s) must be included in the application.
(See General Guidelines - Special Requirements)
- _____ Documentation of Historic Preservation compliance, if applicable
- _____ Documentation of prior Ground Disturbance, if applicable
- _____ If project implements an approved plan, provide relevant texts

FORMAT - Submit application on standard 8.5" x 11" paper with a single corner staple. Please do not use 3-ring binders, spiral bindings, side stapling, etc.

**Minority and Women-Owned Business Enterprises (M/WBE)
/Equal Employment Opportunity (EEO)**

Pursuant to Article 15-A of the Executive Law, and any applicable regulations promulgated thereunder, applicants for state assistance programs must implement a comprehensive Minority and Women-Owned Business Enterprises-Equal Employment Opportunity (M/WBE-EEO) program when the requested assistance amount equals or exceeds \$25,000 for equipment, services and supplies; or if the requested assistance amount equals or exceeds \$100,000 for the acquisition, construction, major repair or renovation of real property.

Additionally, applicants will ensure to the fullest extent possible that the Affirmative Action and EEO requirements of Title VI of the Civil Rights Act of 1964 and any applicable federal rules and regulations are applied to federal funds for prime contracts or subcontracts for construction, equipment, supplies and services. The M/WBE-EEO goals are required to be placed on the entire project cost, not only on the State/Federal assistance being provided. All contracts that are funded with Federal monies are required to have M/WBE-EEO goals regardless of the expected value.

A list of Certified M/WBE enterprises can be obtained via the internet from the NYS Department of Economic Development at <http://205.232.252.35/>.

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

Minority Business Enterprise (MBE) Participation Goals

<u>Location/Commodity Group</u>	<u>MBE Goals</u>
Upstate Region (DEC Regions 3-9)	
Construction/Engineering	6.0%
Commodities	8.8%
Service/Technologies	8.8%

Women’s Business Enterprise (WBE) Participation Goals

<u>Location/Commodity Group</u>	<u>MBE Goals</u>
Upstate Region (DEC Regions 3-9)	
Construction/Engineering	6.0%
Commodities	8.8%
Services/Technologies	8.8%

Equal Employment Opportunity (EEO) Participation Goals

<u>EEO Minority Workforce Participation Goals</u> (DEC Regions 1- 9)	10%
<u>EEO Female Workforce Participation Goals</u> (DEC Regions 1-9)	10%

Sample Governing Body Resolution of Support Authorizing Submission of Grant Application

I, , the [*the duly elected and qualified secretary*] [*of (the Town/Village of Municipality, New York)(not-for-profit)*], do hereby certify that the following resolution was adopted at a (*regular*) (*special*) meeting of the (*governing body*)(*board*) held on (*date*) and is [incorporated in the original minutes of said meeting] **OR** [on file and of record], and that said resolution has not been altered, amended or revoked and is in full force and effect.

RESOLVED:

That (*individual's name*), as (*title*), of [(*municipality*)(*not-for-profit*)], or such person's successor in office, is hereby authorized and directed to file an application for funds from the Central Catskill Park/Mountains Smart Growth Grants Program of the New York State Department of Environmental Conservation in an amount not to exceed \$ (*grant request*), and upon approval of said request to enter into and execute a project agreement with the Department of Environmental Conservation for such financial assistance to this [(*municipality name*)(*not-for-profit name*)] for (*grant project name*).

Date _____

Print Name (Signature of Clerk)

Official Seal

CERTIFICATE OF RECORDING OFFICER

That the attached Resolution is a true and correct copy of the Resolution, authorizing the signing of a State Assistance Application for the Adirondack Park Community Smart Growth Grant Program, as adopted at a legally convened meeting of the

(Name of Governing Body of Applicant)

duly held on the _____ day of _____

20____; and further that such Resolution has been fully recorded in the

_____ in my office.
(Title of Record Book)

In witness whereof, I have hereunto set my hand this _____ day of _____, 20_____.

If the Applicant has an Official Seal, Impress here.

Signature of Recording Officer

Title of Recording Officer

**ENVIRONMENTAL PROTECTION FUND
APPLICATION FOR STATE ASSISTANCE PAYMENTS
NEW YORK STATE CENTRAL CATSKILL PARK/MOUNTAINS SMART GROWTH
GRANT PROGRAM, YEAR 2008-2009**

PART A – APPLICATION INFORMATION

1. APPLICANT: _____
(name of applicant/lead applicant) (Town - Village - Not-For-Profit Corporation)

Partners: _____

(Town - Village - County - Not-For-Profit Corporation)

2. APPLICANT MAILING ADDRESS:

(no. & street) _____

(city) _____ NY (zip) _____

PHONE: (____) _____ FAX: (____) _____

Federal Tax Identification No.

Charities Registration No. (if applicable)

3. APPLICANT ID: _____

Co-Applicant(s) ID: _____

4. CONTACT PERSON: _____ TITLE: _____

5. PHONE: (____) _____ FAX: (____) _____

6. E-MAIL: _____

7. CONTACT MAILING ADDRESS *(if different from applicant)*

(no. & street) _____

(city) _____ NY (zip) _____

PART B – GENERAL PROJECT INFORMATION

- 1. PROJECT NAME: _____
- 2. PROJECT LOCATION: _____ (Attach Map of Project Location)

Classification of Land: Public Land _____ Private Land _____ Combination _____

Ownership Information:

Owner(s) _____ (Use additional sheets if necessary)

***If applicant is not the owner, please refer to General Guidelines – Special Requirements**
Applicant’s interest in property, if not fee simple ownership (e.g. lease, easement)

Termination Date of Applicant’s Interest _____

Deed Liber _____ Page _____

PART C – PROJECT TIMING AND COST

- 1. Proposed Start Date: _____
- 2. Expected Completion Date: _____
- 3. Total Project Costs: _____
- 4. State Assistance Requested: _____

State Assistance Requested Not to Exceed 100% of Cost

PART D – RESOLUTION AND CERTIFICATION

- Resolution(s) is attached.
- Resolution(s) will be submitted by July 18, 2008.

I hereby affirm under penalty of perjury that information provided on this form and the attached statements and exhibits is true to the best of my knowledge and belief. False statements made herein are punishable as a Class A misdemeanor pursuant to Section 210.45 of the Penal Law.

Print name: _____ Title _____ of (entity) _____

Date: _____ Signature _____

PART E – PROJECT SUMMARY

Provide a short and direct summary statement that describes the proposed project in three or fewer sentences. Include the project purpose and location; the variety of work to be performed; the need for the project and what will result if the project is undertaken. A more detailed explanation should be provided in Part H - Scope of Work.

PART F – PROJECT PARTNERS

Please list each partner with their contact name, address and telephone number. Briefly state their role in this project.

PART G – PROJECT PERSONNEL

Identify the key personnel who will work on the project and describe their qualifications and role in the project.

PART H – SCOPE OF WORK

Describe the proposed project, including a description of the objectives to be achieved and problem(s) to be addressed. Identify the project’s component tasks or stages to be funded by this program, their costs as they relate to the amounts in the budget and a schedule for their completion. List separately, those Project components that may be funded by matching funds from other funding sources. List specific deliverables (capital improvements) that will be provided as a result of project completion. Please attach additional pages as necessary.

PART I – GRANT SELECTION CRITERIA

Describe the extent to which the proposed project is consistent with the specific grant selection criteria on pages 9-10 of the Request for Applications. How you address the following Criteria is an important component in how grant reviewers will score your application.

1. General Criteria

2. Cost Effectiveness Criteria

PART J – BUDGET SUMMARY

Budget Category	State Assistance	Other Funding Sources	Total
Salaries and Wages			
Travel			
Supplies, Materials and Equipment			
Contractual Services			
Total			

PART K – BUDGET DETAIL

1. SALARIES & WAGES, including fringe benefits (List by title and affiliation)

TITLE	ANNUAL SALARY	AMOUNT CHARGED TO THIS PROJECT

SUBTOTAL \$ _____

2. TRAVEL (Describe the purpose, start and end points, mode of travel, associated costs, and how calculated.)

SUBTOTAL \$ _____

3. SUPPLIES/MATERIALS AND EQUIPMENT (Describe and indicate cost by type.)

SUBTOTAL \$ _____

4. CONTRACTUAL SERVICES (Describe services to be acquired and cost of each, if more than one type of service will be secured.)

SUBTOTAL \$ _____

PROJECT TOTAL \$ _____

APPLICATION COMPLETENESS CHECKLIST

Do You Have?

- _____ Application Forms (An original and six copies of each project application)
- _____ Certified Resolution from the Governing Body (must be submitted with application or received by DEC no later than July 18, 2008)
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Other Information

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- _____ If project implements an approved plan, provide relevant texts

FORMAT - Please eliminate 3-ring binders, spiral bindings, side stapling, etc. Submit application on standard 8.5" x 11" paper with a single corner staple.

For questions regarding this application – Phone – 518-402-9405