

Climate Smart Communities Grant Program

Funding Available: Up to \$8,789,000

Contents

Program Description	3
Eligibility	3
Implementation Projects.....	3
Adaptation Category	4
Mitigation Category	5
Certification Projects.....	6
Certification Actions	7
Eligible Expenses	7
Ineligible Expenses	7
Requirements.....	8
Resolution.....	8
Partnerships	8
Climate Change Mitigation Easement.....	8
Application Review and Scoring	9
Minimum Eligibility (Pass/Fail Criteria).....	9
Selection Criteria	9
Scoring Overview for Implementation Project Categories	10
Implementation - Scoring Criteria and Values	10
Scoring Overview for Certification Project Categories	14
Certification - Scoring Criteria and Values	14
Significant Statewide Programs	18
Downtown Revitalization Initiative	18
Opportunity Agenda Related Projects.....	19
Veterans’ Related Projects	19
Department of Environmental Conservation Oversight.....	19
Project Location	19
Application Limit	19
NYS Grants Gateway	19
Smart Growth Infrastructure Policy Act.....	20
Notification of Award.....	20
Program-specific Contract Terms and Conditions	21
State of New York Master Contract for Grants	21

Projected Periods/Terms.....	23
Permits.....	23
Historic Preservation Review Requirements.....	23
Americans with Disabilities Act	23
Payment and Reporting.....	23
Procurement of Contractors/Subcontractors.....	24

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.

Adaptation Project Types

Eligible adaptation project types include any project designed to reduce risk associated with climatic hazards projected to become more severe or frequent as the result of climate change. Such projects include, but are not limited to, reduction of future flood risks and improving preparedness for extreme events, such as heat waves.

Examples of eligible project types include the following:

- Increasing or preserving natural resilience, including, but not limited to, construction of living shorelines and other nature-based landscape features to decrease vulnerability to the effects of climate change, and to improve or facilitate conservation, management, and/or restoration of natural floodplain areas and/or wetland systems, based on assessment of projected future conditions.
- Flood-risk reduction, including, but not limited to, strategic relocation or retrofit of climate-vulnerable critical municipal facilities or infrastructure to reduce future climate-change induced risks to those facilities, or programs to support homeowner risk reduction.
- Replacing or right-sizing flow barriers, including, but not limited to, right-sizing bridges or culverts, or improving flow barriers to facilitate emergency response or protection of population centers, critical facilities, infrastructure, and/or natural resources, based on assessment of projected future conditions.
- Extreme-heat preparation, including, but not limited to, establishment of cooling centers, construction of permanent shade structures, and implementation of other cooling features or programs.
- Emergency preparedness, including, but not limited to, establishment of emergency warning systems or implementation of emergency preparedness and/or response programs (excluding radio communications).

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.

Mitigation Project Types

Mitigation projects shall be one of the following project types:

- Reduction of vehicle miles traveled (VMT), including but not limited to, the following:
 - Construction of on-road or off-road facilities for non-motorized forms of transportation for the purpose of facilitating access to daily needs and/or commutes (i.e., non-recreational uses)
 - Implementation of transit improvements that have the potential to substantially increase ridership or access to daily needs, and/or increase commuting by mass transit
 - Implementation of projects or programs to reduce the distance commuted in individual gas-powered vehicles, such as densification, or implementation of smart-growth strategies
- Organic waste reduction for the purpose of diverting food waste and other organic material from landfills (where it produces methane), including, but not limited to, the following:
 - Establishment or expansion of food-donation programs, including purchase and installation of cooling or storage equipment for food, purchase and use of edible-food collection vehicles, and infrastructure for the storage and management of edible food
 - Establishment or expansion of residential education and outreach programs concerning food donation, food purchasing practices, home composting, and other related topics
 - Construction or installation of equipment to facilitate acceptance of food waste at existing anaerobic digesters at wastewater treatment facilities or existing composting facilities
 - Implementation or piloting of a food-waste pick-up service for residents and/or commercial establishments, prior to delivery to an organics recycling facility
 - Implementation of food donation and food-waste collection in municipal buildings
 - Implementation of onsite composting or anaerobic digestion at municipal facilities
- Enhanced landfill gas capture to reduce methane leakage at landfills, including, but not limited to, the following:

- Installation of new methane capture systems or switching from passive to active capture
- Installation of methane leak-detection equipment and programs to improve monitoring as part of a greenhouse gas mitigation plan
- Reduction of refrigerant leakage to reduce emissions of hydro-fluorocarbons (HFCs) from refrigeration and air-conditioning equipment, and convert to non-HFC alternatives, including, but not limited to, the following:
 - Replacement or retrofit of refrigeration, chillers, or air-conditioning equipment (e.g., food-storage or ice-rink equipment) to use low global-warming-potential refrigerants
 - Installation of refrigerant leakage monitoring equipment, and establishment of a monitoring and repair plan
 - Establishment of enhanced disposal programs to recover and recycle refrigerants or properly dispose of equipment to minimize leakage
 - Adoption of codes or standards to encourage the use of alternative refrigerants

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.

- PE2 Action: Government Operations Greenhouse Gas Inventory
- PE2 Action: Community Greenhouse Gas Inventory
- PE2 Action: Government Operations Climate Action Plan
- PE2 Action: Community Climate Action Plan
- PE3 Action: Fleet Inventory
- PE3 Action: Fleet Efficiency Policy
- PE5 Action: Construction and Demolition Waste Policy
- PE6 Action: Comprehensive Plan with Sustainability Elements
- PE6 Action: Complete Streets Policy
- PE6 Action: Planning and Infrastructure for Bicycling and Walking (planning only)
- PE6 Action: Natural Resource Inventory
- PE7 Action: Climate Vulnerability Assessment
- PE7 Action: Climate-Smart Resiliency Planning
- PE7 Action: Climate Adaptation Strategies
- PE7 Action: Heat Emergency Plan
- PE7 Action: National Flood Insurance Program Community Rating System

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

Requirements

Match Requirements

Per New York State Environmental Conservation Law §54-1511(3), a local match equal to 50 percent of total eligible project costs is required.

All eligible expenses listed above may be used as match, with approval by the Department of Environmental Conservation (DEC), with the exception of costs that are supported by other New York State or federal funding. The applicant must identify all sources of match at the time the application is submitted. *Projects for which a complete 50-percent match is not identified will have the award reduced to the eligible match amount, or may be deemed ineligible if available funding is unlikely to ensure successful completion of the project.*

The cost of acquisition of land that is necessary for, and directly related to, the proposed project may be used as match but cannot be supported with the grant itself. The applicant must submit all requested acquisition documentation, including a map identifying the property, current appraisal report, and copy of the recorded deed conveying title at the time the application is submitted. *Projects for which complete land-acquisition documentation is not submitted, where applicable, will be deemed ineligible.*

Resolution

A municipal resolution, adopted by the legislative body of the lead municipal applicant, authorizing application submittal and documenting the availability of local match in the event of grant award must be submitted at the time of application.

Partnerships

Two or more municipalities, or one municipality and a quasi-governmental entity or non-profit organization, may collaborate on a project. However, only one eligible municipality, designated as the lead applicant, may submit the application for grant funding. Letters or other written agreements substantiating the collaboration of each partner are required at the time of application. The lead applicant must assume the responsibility for the project application, performance of work consistent with this RFA, and compliance with the State of New York Master Contract for Grants.

Climate Change Mitigation Easement

For development, improvement, restoration, and/or rehabilitation projects, the applicant must own the property or obtain, pursuant to the requirements of Title 15 of the Environmental Protection Fund, a climate change mitigation easement from the owner of the project site. At the time of application, the applicant will be required to submit proof of property ownership and/or landowner agreement as follows:

- If the property owner is a municipality – a certified resolution by the municipal property owner in support of the project, indicating an agreement to enter into a climate change mitigation easement with the applicant.

- If the property owner is not a municipality – a notarized written statement from the property owner in support of the project, indicating an agreement to enter into a climate change mitigation easement with the applicant.

During the term of any Climate Smart Communities grant award contract for development, improvement, restoration, and/or rehabilitation projects, the municipality must develop, execute, and file with the appropriate county clerk’s office a climate change mitigation easement that ensures the following:

- The property shall be accessible to the municipality for any necessary work to achieve the funded purpose throughout the anticipated life of the project.
- The property shall provide the identified public benefit throughout the anticipated life of the project.
- The property shall be used to achieve climate protection and mitigation goals pursuant to ECL Article 54 Title 15 “Climate Smart Community Projects” throughout the anticipated life of the project.
- The property owner shall provide information and data to the municipality, or will provide access to the municipality for collection of data, as specified in the grant contract.
- A ten-year minimum term for the easement is required to adequately reflect the expected useful life of the project.

Application Review and Scoring

Minimum Eligibility (Pass/Fail Criteria)

A failure to meet any one criterion below will disqualify the application from further consideration:

- The applicant is a county, city, town or village of the State of New York, or a borough of New York City.
- A copy of a municipal resolution authorizing application submittal and 50-percent match has been included.
- The application directly addresses one of the eligible project categories.
- The application clearly describes the need for the project based on an assessment of future climate conditions derived from scientifically supported climate projections.
- The applicant provides a completed expenditure budget in the requested format that itemizes costs and an eligible match.
- The applicant provides a detailed work program and timeline for work, outlining individual work tasks and their sequence, from initiation through completion.
- If applicable, documentation of land ownership and/or the necessary land access and use agreement(s) are provided.

Selection Criteria

Each eligible application will be scored by an evaluation team consisting of technical reviewers from DEC. Using information provided by the applicant, reviewers will score each eligible project according to the selection criteria outlined below. Technical reviewer scores will be averaged, and regional economic development council priority points will be incorporated to develop a numerical score and ranking for all eligible projects. An application must score a minimum of 40 points, out of a possible 100 points. Funding will be recommended based on highest to lowest ranks within each funding category, within the expressed funding limits for municipalities with population sizes over 100,000 and/or any single municipality, and accommodating amounts set

aside for grants of less than \$10,000 for municipalities of less than 40,000 population size, as described in this RFA, until available funding has been exhausted.

In the event of a tie score, in which two or more applicants for funding are judged on the basis of their written applications to be equal in quality, the applicant with the highest combined scores on project criticality and effectiveness of proposal will receive the award. In the event of a tie on combined scores on project criticality and effectiveness of proposal, the applicant with the highest score on implementation readiness will receive the award. In the event of a tie score on project readiness, the applicant with the highest score on reasonableness of cost will receive the award.

Scoring Overview for Implementation Project Categories

	Max. Points				Min. Points
Financial Hardship (4)	4	2	0	-	0
CSC Status (8)	8	6	3	0	0
Potential Environmental Justice Area (2)	2	0	-	-	0
Significant Statewide Initiatives (1)	1	0	-	-	0
Project Criticality (15)	15	8	3	0	0
Effectiveness of Proposal (14)	14	10	5	0	0
Planning Context (6)	6	3	0	-	0
Implementation Readiness (5)	5	3	2	0	0
Reasonableness of Cost (20)	20	15	7	3	0
Quality of Application (5)	5	3	1	0	0
Regional Economic Development Priority (20)	20	<i>To be awarded by the regional economic development council</i>			
Total Available Points	100				

Implementation - Scoring Criteria and Values

Scoring Criterion	Point Values
Financial Hardship (4)	<ul style="list-style-type: none"> a) Applicant is a community with a Median Household Income (MHI)¹ less than 80% of the 2016 Statewide MHI (<i>i.e.</i>, MHI less than \$48,593). 4 points b) Applicant is a community with a MHI less than the 2016 Statewide MHI but not less than 80% of the 2016 MHI (<i>i.e.</i>, MHI greater than or equal to \$48,593 but less than \$60,741). 2 points c) Applicant is not a financial-hardship community, as defined above. 0 points
CSC Status (8)	<ul style="list-style-type: none"> a) Applicant is a certified silver Climate Smart Community. 8 points b) Applicant is a certified bronze Climate Smart Community. 6 points c) Applicant is a registered Climate Smart Community. 3 point

¹ Median Household Income (MHI) may be established using publicly available census data and does not require detailed demographic and economic data from the municipality. Per the U.S. Census American Community Survey (<https://www.census.gov/acs/www/data/data-tables-and-tools/data-profiles/2016/>), the 2016 Statewide MHI for New York State is \$60,741.

	d) All other applicants.0 points
Potential Environmental Justice Area (2)	a) Project site is located in a DEC potential environmental justice area. 2 points b) Project site is not located in a DEC potential environmental justice area. 0 points
Significant Statewide Initiatives (1)	a) The proposed project is part of one of the following initiatives (see Significant Statewide Initiatives below): <ul style="list-style-type: none"> • Downtown Revitalization Initiative • Opportunity Agenda Related Projects • Veterans' Related Projects 1 point
Project Criticality (15)	a) Application identifies <ul style="list-style-type: none"> • specific <u>climate vulnerabilities</u>, including populations and resources at risk, and describes, <u>quantitatively</u>, the scientifically supported projections of future local or regional climate conditions² that will create or exacerbate those vulnerabilities; <i>or</i> • the results of local and/or regional <u>greenhouse gas emissions inventories</u>³ and the greenhouse gas emissions to be targeted by this project. 15 points b) Application generally <ul style="list-style-type: none"> • identifies climate vulnerabilities, including populations and resources at risk, and generally describes the scientifically supported projections of future climate conditions at any scale that will create or exacerbate those vulnerabilities; <i>or</i> • describes information or data on greenhouse gas emissions at any scale and the greenhouse gas emissions to be targeted by this project. 8 points c) Application generally <ul style="list-style-type: none"> • describes a relationship between climate change and vulnerable populations or resources; <i>or</i> • describes the value of greenhouse gas emission reduction. 3 points d) Application does not provide sufficient information to demonstrate a climate vulnerability expected to be exacerbated by climate change or expected greenhouse gas emission reduction. 0 points
Effectiveness of Proposal (14)	a) Application specifically identifies and provides quantifiable evidence (e.g., model results, calculations, data) that demonstrates the value of the project in improving local or regional climate resilience, minimizing local or regional effects of climate change, <i>or</i> achieving a meaningful reduction in greenhouse gas emissions. 14 points b) Application generally and credibly identifies and describes the value of the project in improving local or regional climate resilience, minimizing local or regional effects of climate change,

² See, e.g., New York State "ClimAID" report (<https://www.nyserda.ny.gov/climaid>), National Climate Assessment (<http://nca2014.globalchange.gov/>) and New York State Climate Change Science Clearinghouse (<https://www.nyclimatescience.org>).

³ See NYS regional greenhouse gas emissions inventories and other inventory information at <http://www.dec.ny.gov/energy/57170.html>.

	<p><i>or</i> achieving a meaningful reduction in greenhouse gas emissions. 10 points</p> <p>c) The proposed project may lead to indirect, secondary, or partial benefits associated with local or regional resilience <i>or</i> the minimization of climate-change effects, or may indirectly facilitate reduction of greenhouse gas emissions. 5 points</p> <p>d) The proposed work will not lead to an identifiable climate change resilience benefit <i>or</i> reduce greenhouse gas emissions; or the application does not provide sufficient information to evaluate the effectiveness of the proposed project. 0 points</p>
Planning Context (6)	<p>a) The proposed project is specifically recommended by an adopted local or regional plan or is a documented initiative of a climate, energy or greenhouse gas task force or committees. 6 points</p> <p>b) The proposed project identifies and is consistent with the purpose of, or provides indirect benefit related to, a local or regional plan or documented initiative of a climate, energy or greenhouse gas task force or committee. 3 points</p> <p>c) The application does not describe a local or regional planning context, or does not provide sufficient information to evaluate the relationship of the proposed project with local or regional plans, task forces or committees. 0 points</p>
Implementation Readiness (5)	<p>a) Application clearly describes <u>all of the following</u>:</p> <ul style="list-style-type: none"> • the planning used for identification, prioritization, selection, and design of the project as proposed • a realistic schedule for obtaining all necessary permits or approvals • an available source of eligible match • project participants and their roles • necessary project partnerships and agreements • ownership of and/or permission to use the property or facilities proposed for work 5 points <p>b) Application clearly describes <u>at least 4 of the above factors, including the following</u>:</p> <ul style="list-style-type: none"> • the planning used for identification, prioritization, selection, and design of the project as proposed • a realistic schedule for obtaining all necessary permits or approvals • an available source of eligible match 3 points <p>c) Application clearly describes <u>at least 3 of the above factors, including the following</u>:</p> <ul style="list-style-type: none"> • a realistic schedule for obtaining all necessary permits or approvals. • an available source of eligible match. 2 points <p>d) Application does not identify an available source of eligible match, has not outlined a realistic schedule for obtaining all necessary permits or approvals, and/or does not clearly describe the factors listed above. 0 points</p>
Reasonableness of Cost (20)	To determine the reasonableness of cost, the following ten questions will be considered:

	<ol style="list-style-type: none"> 1. Have costs been thoroughly explained and estimated using specifically identified, typical, historical, or published supplier costs? 2. Does the project demonstrate a new technology or innovative approach? 3. Will the work or the approach be transferable to other communities or replicable in other sectors? 4. Will the project catalyze additional action related to the project's purpose that will not require state funding? 5. Are the size and scope of the project suitable to accomplish the desired outcome? 6. Will the completed project provide a meaningful climate mitigation or adaptation benefit relative to anticipated project costs? 7. Does the project build on previous investment and/or advance or otherwise improve previous projects or initiatives? 8. Where appropriate, does the applicant leverage municipal staff or other non-contractual services or other resources to accomplish the proposed work? 9. Are the proposed costs comparable to costs for similar projects in the same geographic area and/or comparable to market prices and/or comparable to previously-funded projects? 10. Does the applicant provide at least 10% more than the required 50% in local matching funds? <ol style="list-style-type: none"> a) Projects that meet 8 or more of the criteria listed above, including criterion 1. 20 points b) Projects that meet at least 6 of the criteria listed above, including criterion 1. 15 points c) Projects that meet at least 4 of the criteria listed above, including criterion 1. 7 points. d) Projects that meet at least 3 of the criteria listed above. 3 points e) Projects that meet fewer than 3 of the criteria listed above. 0 points
Quality of Application (5)	<ol style="list-style-type: none"> a) The application is complete, including an anticipated schedule and a detailed budget breakdown, and all necessary questions have been answered. The purpose of the project and the work proposed are clearly and specifically described and all supporting information and documentation are included. 5 points b) The application generally describes the purpose of the project and the work proposed, but some questions have not been fully or adequately answered, supporting documentation is missing, and/or the budget or schedule generalizes across broad categories. 3 points c) The application does not clearly describe the purpose of the project or the work proposed for funding, and/or there are discrepancies in the proposal or between the work proposed and the included budget. 1 point d) The application is missing a significant amount of information, does not address the stated purpose of the grant program and its eligible project categories, and/or does not provide sufficient

	budget information to understand the amount of funding requested. 0 points
Regional Economic Development Priority (20)	<i>To be awarded separately by the Regional Economic Development Councils</i>
Total Available Points:	100 Points

Scoring Overview for Certification Project Categories

	Max. Points				Min. Points
Financial Hardship (6)	6	2	0	-	0
CSC Status (8)	8	7	6	0	0
Certification Readiness (12)	12	10	6	4	2
Project Criticality (6)	6	4	2	0	0
Effectiveness of Proposal (12)	12	6	2	0	0
Planning Context (6)	6	3	0	-	0
Implementation Readiness (5)	5	3	2	0	
Reasonableness of Cost (20)	20	15	7	3	0
Quality of Application (5)	5	3	1	0	0
Regional Economic Development Priority (20)	20	<i>To be awarded by the regional economic development council</i>			
Total Available Points	100				

Certification - Scoring Criteria and Values

Scoring Criterion	Point Values
Financial Hardship (6)	<ul style="list-style-type: none"> a) Applicant is a community with a Median Household Income (MHI)⁴ less than 80% of the 2016 Statewide MHI (<i>i.e.</i>, MHI less than \$48,593). 6 points b) Applicant is a community with a MHI less than the 2016 Statewide MHI but not less than 80% of the 2016 MHI (<i>i.e.</i>, MHI greater than or equal to \$48,593 but less than \$60,741). 2 points c) Applicant is not a financial hardship community, as defined above. 0 points
CSC Status (8)	<ul style="list-style-type: none"> a) Applicant is a certified silver Climate Smart Community. 8 points b) Applicant is a certified bronze Climate Smart Community. 7 points c) Applicant is a registered Climate Smart Community. 6 points d) All other applicants. 0 points
Certification Readiness (12)	<ul style="list-style-type: none"> a) The application includes a detailed work plan and schedule for completion of the requirements for six or more of the certification actions listed below. 12 points

⁴ Median Household Income (MHI) may be established using publicly available census data and does not require detailed demographic and economic data from the municipality. Per the U.S. Census American Community Survey (<https://www.census.gov/acs/www/data/data-tables-and-tools/data-profiles/2016/>), the 2016 Statewide MHI for New York State is \$60,741.

	<p>b) The application includes a detailed work plan and schedule for completion of the requirements for five of the certification actions listed below. 10 points</p> <p>c) The application includes a detailed work plan and schedule for completion of the requirements for four of the certification actions listed below. 6 points</p> <p>d) The application includes a detailed work plan and schedule for completion of the requirements for three of the certification actions listed below. 4 points</p> <p>e) The application includes a detailed work plan and schedule for completion of the requirements for fewer than three of the certification actions listed below. 2 points</p> <ul style="list-style-type: none"> • PE2 Action: Government Operations Greenhouse Gas Inventory • PE2 Action: Community Greenhouse Gas Inventory • PE2 Action: Government Operations Climate Action Plan • PE2 Action: Community Climate Action Plan • PE3 Action: Fleet Inventory • PE3 Action: Fleet Efficiency Policy • PE5 Action: Construction and Demolition Waste Policy • PE6 Action: Comprehensive Plan with Sustainability Elements • PE6 Action: Complete Streets Policy • PE6 Action: Planning and infrastructure for Bicycling and Walking (planning only) • PE6 Action: Natural Resource Inventory • PE7 Action: Climate Vulnerability Assessment • PE7 Action: Climate-Smart Resilience Planning • PE7 Action: Climate Adaptation Strategies • PE7 Action: Heat Emergency Plan • PE7 Action: National Flood Insurance Program Community Rating System
--	--

Project Criticality (6)	<p>a) Application identifies</p> <ul style="list-style-type: none"> • specific <u>climate vulnerabilities</u>, including populations and resources at risk, and describes, <u>quantitatively</u>, scientifically supported projections of future local or regional climate conditions⁵ that will exacerbate these vulnerabilities; <i>or</i> • the results of local and/or regional <u>greenhouse gas emissions inventories</u>⁶ and how the proposed project addresses identified priorities for emissions reduction identified from those results. 6 points <p>b) Application generally</p> <ul style="list-style-type: none"> • identifies climate vulnerabilities, including populations and resources at risk, and generally describes scientifically supported projections of future climate conditions at any scale that will exacerbate these vulnerabilities; <i>or</i> • describes information or data on greenhouse gas emissions at any scale and how the proposed project addresses identified priorities for emissions reduction. 4 points <p>c) Application generally</p> <ul style="list-style-type: none"> • describes a relationship between climate change and vulnerable populations or resources; <i>or</i> • describes the value of greenhouse gas emission reduction. 2 points <p>d) Application does not provide sufficient information to demonstrate a climate vulnerability expected to be exacerbated by climate change or expected <u>greenhouse gas emission reduction</u>. 0 points</p>
Effectiveness of Proposal (12)	<p>a) Application identifies and describes how <u>the proposed project will lead to specific implementation projects</u> that improve local or regional resilience in the community and/or natural systems, minimize local or regional impacts of climate change, or achieve a meaningful reduction in greenhouse gas emissions. 12 points</p> <p>b) Application describes how <u>the proposed project will generally lead to additional efforts</u> that improve local or regional resilience in the community and/or natural systems, minimize local or regional impacts of climate change, or achieve a meaningful reduction in greenhouse gas emissions. 6 points.</p> <p>c) The proposed project <u>may lead to indirect, secondary, or partial benefits</u> for local or regional resilience or the minimization of climate change impacts, or may indirectly support or facilitate reduction of greenhouse gas emissions. 2 points</p> <p>d) The proposed project will not lead to an identifiable climate change resilience benefit or reduce greenhouse gas emissions; or the application does not provide sufficient information to evaluate the effectiveness of the proposed project. 0 points</p>
Planning Context (6)	<p>a) The proposed project is specifically recommended by an adopted local or regional plan or is a documented initiative of a climate, energy or greenhouse gas task force or committees. 6 points</p>

⁵ See, e.g., New York State “ClimAID” report (<https://www.nyscrda.ny.gov/climaid>), National Climate Assessment (<http://nca2014.globalchange.gov/>) and New York State Climate Change Science Clearinghouse (<https://www.nyclimatescience.org>).

⁶ See NYS regional greenhouse gas emissions inventories and other inventory information at <http://www.dec.ny.gov/energy/57170.html>.

	<p>b) The proposed project identifies and is consistent with the purpose of, or provides indirect benefit related to, a local or regional plan or documented initiative of a climate, energy or greenhouse gas task force or committee. 3 points</p> <p>c) The application does not describe a local or regional planning context, or does not provide sufficient information to evaluate the relationship of the proposed project with local or regional plans, task forces or committees. 0 points</p>
Reasonableness of Cost (20)	<p>To determine the reasonableness of cost, the following ten questions will be considered:</p> <ol style="list-style-type: none"> 1. Have costs been thoroughly explained and estimated using specifically identified, typical, historical, or published supplier costs? 2. Does the project demonstrate a new technology or innovative approach? 3. Will the work or the approach be transferable to other communities or replicable in other sectors? 4. Will the project catalyze additional action related to the project's purpose that will not require state funding? 5. Are the size and scope of the project suitable to accomplish the desired outcome? 6. Will the completed project provide a meaningful climate mitigation or adaptation benefit relative to anticipated project costs? 7. Does the project build on previous investment and/or advance or otherwise improve previous projects or initiatives? 8. Where appropriate, does the applicant leverage municipal staff or other non-contractual services or other resources to accomplish the proposed work? 9. Are the proposed costs comparable to costs for similar projects in the same geographic area and/or comparable to market prices and/or comparable to previously-funded projects? 10. Does the applicant provide at least 10% more than the required 50% in local matching funds? <p>a) Projects that meet 8 or more of the criteria listed above, including criterion 1. 20 points</p> <p>b) Projects that meet at least 6 of the criteria listed above, including criterion 1. 15 points</p> <p>c) Projects that meet at least 4 of the criteria listed above, including criterion 1. 7 points</p> <p>d) Projects that meet at least 3 of the criteria listed above. 3 points</p> <p>e) Projects that meet fewer than 3 of the criteria listed above. 0 points</p>
Implementation Readiness (5)	<p>a) Application clearly describes <u>all of the following</u>:</p> <ul style="list-style-type: none"> • the planning used for identification, prioritization, selection, and design of the project as proposed • a realistic schedule for obtaining all necessary approvals • an available source of eligible match • project participants and their roles • necessary project partnerships and agreements • ownership of and/or permission to use the property or facilities proposed for work 5 points

	<p>b) Application clearly describes <u>at least 4 of the above factors, including the following:</u></p> <ul style="list-style-type: none"> • the planning used for identification, prioritization, selection, and design of the project as proposed • a realistic schedule for obtaining all necessary permits or approvals • an available source of eligible match 3 points <p>c) Application clearly describes <u>at least 3 of the above factors, including the following:</u></p> <ul style="list-style-type: none"> • a realistic schedule for obtaining all necessary permits or approvals. • an available source of eligible match. 2 points <p>d) Application does not identify an available source of eligible match, has not outlined a realistic schedule for obtaining all necessary permits or approvals, and/or does not clearly describe the factors listed above. 0 points</p>
Quality of Application (5)	<p>a) The application is complete, including an anticipated schedule and a detailed budget breakdown, and all necessary questions have been answered. The purpose of the project and the work proposed are clearly and specifically described and all supporting information and documentation are included 5 points</p> <p>b) The application generally describes the purpose of the project and the work proposed, but some questions have not been fully or adequately answered, supporting documentation is missing, and/or the budget or schedule generalizes across broad categories 3 points</p> <p>c) The application does not clearly describe the purpose of the project or the work proposed for funding, and/or there are discrepancies in the proposal or between the work proposed and the included budget. 1 point</p> <p>d) The application is missing a significant amount of information, does not address the stated purpose of the grant program and its eligible project categories, and/or does not provide sufficient budget information to understand the amount of funding requested. 0 points</p>
Regional Economic Development Priority (20)	<i>To be awarded separately by the Regional Economic Development Councils</i>
Total Available Points:	100 Points

Significant Statewide Programs

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 Related Projects

Each REDC may develop region-wide strategies, or may focus its efforts by designating one or more chronically distressed community as an “Opportunity Area.” Projects seeking to apply CFA funds for the purpose of eliminating barriers to skilled employment by poor people in your region, as identified by the Opportunity Agenda and Strategic Plan, should provide evidence of such in their application.

Veterans’ Related Projects

New York State is home to more than 900,000 veterans, 72 percent of whom served in combat. In 2014, the REDCs were asked to create a Veterans Work Group to promote participation by Veterans in the CFA, and develop strategies to encourage other potential CFA applicants to include workforce goals related to Veteran’s employment. This is part of a comprehensive approach to improving services to the veterans and military families in New York. Applicants should provide any information that links their project proposals to the Veteran’s Initiative strategies identified by the REDCs.

Department of Environmental Conservation Oversight

The Department of Environmental Conservation reserves the right to

- award additional and available funding for scored and ranked projects consistent with this grant opportunity;
- award an agreement for any or all parts of this RFA in accordance with the method of award, or withdraw the RFA at any time at the Department’s sole discretion;
- award only one application for funding in the event there are several application submittals for a single project or for portions of a single project;
- award to the next highest scoring application in the event a grantee fails to negotiate a grant contract with the Department within 90 days of a grant award;
- monitor the progress of all grant awards and withdraw grant funding if the grantee fails to make significant and timely progress on the project, or fails to receive the necessary permissions and permits for the project;
- not fund projects that are determined not to be consistent with the New York State Smart Growth Public Infrastructure Policy Act (Environmental Conservation Law Article 6).

Project Location

Eligible projects for grant funding must be located in the State of New York.

Application Limit

Applicants may submit several applications, but no more than one application may be submitted for the same project or project location.

NYS Grants Gateway

Eligible applicants must be registered in the NYS Grants Gateway. Applicants must have a valid Federal Employee Identification Number (FEIN) and a New York State Vendor Identification Number to complete their Grants Gateway registration. If a municipality (for example, a county) passes a governing resolution authorizing a department under its jurisdiction to apply for funding, that department can apply only if it is registered in the NYS Grants Gateway.

Registration in the NYS Grants Gateway is necessary to be eligible to

- apply for a New York State grant opportunity,
- enter into a grant contract,
- amend an existing contract,
- apply for grant payments.

*Registration is NOT an online process.
Register now to allow time for processing and postal mail.*

Grants Gateway Registration Instructions

- 1) Visit the Grants Gateway website at https://grantsgateway.ny.gov/IntelliGrants_NYSGG/module/nysgg/goportal.aspx and click on the “Request Access Now” link in the bottom right of the web page, then click on #2 Grants Gateway Registration Form.
- 2) Complete the form according to the instructions provided. The completed form must be signed and notarized.
- 3) Mail the original hard copy, signed and notarized to the Division of Budget at the address provided in the instructions.
- 4) After the form is received and reviewed, the “Grantee Delegated Administrator” will be provided with a username and password allowing access the Grants Gateway.
- 5) Log in to the Grants Gateway at https://grantsgateway.ny.gov/IntelliGrants_NYSGG/module/nysgg/goportal.aspx. Change the password at the bottom of the profile page when prompted. Enter a new password and click the SAVE button located on the top, right-hand side of the page.
- 6) The Grantee Delegated Administrator must create roles for the “Grantee” and “Grantee Contract Signatory.” The “Grantee” is often the project manager or consultant who will upload all the required documentation and edit the work plan and budget. The “Grantee Contract Signatory” is the municipal CEO that is legally authorized to sign the state assistance contract. Refer to Section 4.2 of the “Grantee User Guide,” located on the Grants Reform website at www.grantsreform.ny.gov/grantees, for instructions on creating user roles in the Grants Gateway system.

If you have previously registered and do not know your username, please email grantsreform@budget.ny.gov. If you do not know your password, please click the Forgot Password link from the main log in page and follow the prompts.

Smart Growth Infrastructure Policy Act

New York State’s Smart Growth Public Infrastructure Policy Act (ACT), Environmental Conservation Law Article 6, requires the Department and all State infrastructure agencies to assess whether each public infrastructure project that receives state funding is consistent with the state smart growth public infrastructure criteria specified in ECL §0107, or that compliance is considered to be impracticable, before making any commitment to fund such project(s). The applicant will be required to provide smart growth assessment information as part of the Consolidated Funding Application process.

Notification of Award

Applicants selected to receive grant awards will be notified by email and in an official Department award letter.

Program-specific Contract Terms and Conditions

- For climate mitigation projects, including the Clean Transportation and Reduction and Recycling of Food Waste categories, the grant recipient shall provide estimates of emissions reduction in the final project report as required by the Department.
- For certification actions funded in the Climate Smart Communities Certification Project category, the grant recipient shall adhere to the relevant requirements and standards described in the Climate Smart Communities Certification Portal at <https://www.ClimateSmart.ny.gov>.
- Work plans for certification actions funded in the Climate Smart Communities Certification Project category must include submittal of documentation required for certification approval through the Climate Smart Communities Certification Portal at <https://www.ClimateSmart.ny.gov>.
- If the grant recipient develops, improves, restores, or rehabilitates real property that is not owned by the Grantee as part of the funded project, the grant recipient shall obtain a climate change mitigation easement from the owner of the real property. Enforcement of climate change mitigation easements shall adhere to applicable enforcement provisions described in ECL §49-0305.
- Construction projects require the installation of an Environmental Protection Fund funding acknowledgement sign. An approved sign design will be provided to the grantee upon full execution of the contract.

State of New York Master Contract for Grants

Applicants selected to receive a grant award will be required to execute a master contract for grants (MCG) within 90 days of the time of their award notifications. Failure to submit timely required MCG documents could cause a grantee to lose its grant award. Applicants should review and be prepared to comply with all MCG terms and conditions if grant funding is awarded. The MCG and attachments can be reviewed and/or downloaded on DEC's website at <http://www.dec.ny.gov/energy/109181.html>.

The MCG and attachments include the following:

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

Important Note: The contract start date for all contracts awarded through this request for applications will be March 15, 2019. Project costs must be incurred on or after March 15, 2019 to be considered eligible for reimbursement or match. Payments will not be approved or processed by the Department until a MCG is fully approved by the Department and, as applicable, the Attorney General and the State Comptroller, and work has been completed under the contract. Advance payments are not authorized as part of the Climate Smart Communities program.

Applicants should be prepared to comply with the following MCG requirements:

- **Insurance Requirements**
Grantees will be required to carry appropriate insurance as specified in the MCG Attachment A-1 Program Specific Terms and Conditions and to agree that each project consultant, project contract, and project subcontractor secures and delivers to the Grantee appropriate policies of insurance issued by an insurance company licensed to do business in the State of New York. Policies must name the Grantee as an additional insured, with appropriate limits, covering Grantee's public liability and property damage insurance, Grantee's contingency liability insurance, "all-risk" insurance and workers' compensation and disability coverage for the project.
- **Permit Requirements (if applicable)**
Grantees agree to obtain all required permits including, but not limited to, local, state, and federal permits prior to the commencement of any project-related work. The Grantee agrees that all work performed in relation to the project by the Grantee or its agents, representatives, or Grantees will comply with all relevant federal, state, and local laws, rules, regulations and standards, zoning and building codes, ordinances, operating certificates for facilities, or licenses for an activity.
- **State Environmental Quality Review (SEQR) Documentation**
With respect to the project, the Grantee certifies that it has complied, and shall continue to comply, with all requirements of the State Environmental Quality Review Act (SEQRA). The Grantee has notified, and shall continue to notify, the Department of all actions proposed for complying with the environmental review requirements imposed by SEQRA. The Grantee agrees to provide all SEQR documentation, and other environmental documents as may be required by the Department, to the Department upon their completion and/or approval.
- **Vendor Responsibility Questionnaire**
Not-for-profit grantees and/or subcontractors are subject to a vendor responsibility review by the state to ensure public dollars are being spent appropriately with responsible Grantees. A vendor responsibility review may require a grantee and/or subcontractor to present evidence of its continuing legal authority to do business in New York State, integrity, experience, ability, prior performance, and organizational and financial capacity. To enroll in and use the New York State VendRep System, the Grantee can consult the VendRep System instructions available at http://www.osc.state.ny.us/vendrep/info_vrsystem.htm, or access the VendRep System directly at <https://portal.osc.state.ny.us>.
- **Iran Divestment Act**
As a result of the Iran Divestment Act of 2012 (Act), Chapter 1 of the 2012 Laws of New York, a new provision has been added to the State Finance Law (SFL), § 165-a, effective April 12, 2012. By entering into a Contract, the Grantee certifies that it is not on the "Entities Determined To Be Non-Responsive Bidders/Offerers Pursuant to The New York State Iran Divestment Act of 2012" list ("Prohibited Entities List") posted on the OGS website at <http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf> and further certifies that it will not utilize on such Contract any subcontractor that is identified on the Prohibited Entities List. Additional detail on the Iran Divestment Act can be found in the MCG, Attachment A-1 Program Specific Terms and Conditions.

Projected Periods/Terms

All projects must have defined objectives, tasks, and deliverables accounted for in performance measures that can be completed and invoiced within a five-year contract term. Applicants should not begin their projects or incur costs until a Master Contract for Grants has been fully approved by DEC, and if applicable, approved by the Attorney General and the State Comptroller. Applicants should not submit applications in response to this RFA if they do not anticipate they can complete their projects within five years of the contract start date, i.e., by March 14, 2024.

Permits

The applicant is responsible for assuring that any SEQR determinations, permits, approvals, lands, easements, and rights-of way that may be required to carry out the activities of the project are obtained.

Historic Preservation Review Requirements

For projects that involve properties listed on the State or National Registers of Historic Places, all work undertaken as part of a grant-assisted project must conform to the secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation. Questions about or proposals for listing on the state or national register should be directed to the Office of Parks, Recreation and Historic Preservation (OPRHP) National Register Unit at (518) 237-8643. To ensure the public benefit from the investment of state funding, preservation covenants or conservation easements will be conveyed to the OPRHP for all historic property grants.

Americans with Disabilities Act

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

Payment and Reporting

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

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

Quarterly narrative reports must be submitted in narrative form, no later than 30 days from the end of each quarter, beginning with the first full quarter after contract execution. Quarterly reports must summarize project progress toward meeting project objectives and deliverables during the quarter. Expenditure reports (section VI Financial Status of the quarterly report), detailed by object of expense as defined in the MCG Attachment B-1 Expenditure Based Budget, must accompany the quarterly reports.

A final report must be submitted and approved by the Department prior to the release of the final contract payment to the Grantee. The Grantee must submit the final report no later than 60 days after the end of the contract period. The final report should report on all aspects of the program, include photographs and copies of media promotion, detail how grant funds were utilized in achieving the goals set forth in the work plan, and summarize the obstacles experienced and how they were overcome. For Clean Transportation, and Reduction and Recycling of Food Waste projects, an estimate of greenhouse gas reduction must be included. Draft copies of appropriate deliverables (e.g., inventory and/or management plan) must be submitted by the Grantee and approved by the Department before a final draft is produced.

An onsite inspection by the Department may be required to confirm all work was completed in accordance to the approved project work plan.

Procurement of Contractors/Subcontractors

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