



Department of
Environmental
Conservation

GUIDELINES AND APPLICATION INSTRUCTIONS

New York State
Department of Environmental Conservation
Mohawk River Basin Program

*Round 5
2019 Mohawk River Watershed Grants
For
Mohawk River Basin Action Agenda Implementation*

NYS Grants Gateway Application ID No.: DEC01-MRBR5-2019

Application Due Date: (3:00 PM, January 21, 2020)

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Introduction

The New York State Department of Environmental Conservation is pleased to announce funding for projects that implement priorities of the *Mohawk River Basin Action Agenda* to conserve, preserve, and restore the environmental quality of the Mohawk River and its watershed.

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

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

Timetable of Key Events

Event:	Date:
Application Period Begins	December 2, 2019
Question & Answer Period Ends	January 15, 2020
Applications Due	January 21, 2020
Award(s) Announced By (anticipated)	March 20, 2020

Applicant Eligibility

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

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

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

For Multi-Partner and Inter-Municipal Projects: If a proposed project involves a cooperative agreement or partners, only one eligible, designated lead applicant must submit the application for grant funding. The lead applicant must assume the responsibility for the project application, performance of work consistent with this RFA, and the State of New York Master Contract for Grants (MCG). Letters substantiating the collaboration from each partner are required. These letters are to be uploaded to the Grants Gateway in a single PDF (see "Applicant Partners" on page 11).

Grant Opportunity General Information and Conditions

1. Funding

Approximately \$500,000 is available for Mohawk River Watershed Grants – Round 5. Funding for this grant opportunity is provided by the Mohawk River Basin Program through the NYS Environmental Protection Fund

2. Proposed Project Timeframes

All projects must have defined objectives, tasks, and deliverables accounted for in performance measures that can be completed and invoiced within a two-year contract period/term. Applicants should not begin their projects or incur costs until a Master Contract for Grants (MCG) has been fully approved by DEC, and if applicable approved by the Attorney General and the State Comptroller. Time extension requests beyond the contract term end date will be determined by the Department based upon written request and justification from the Grantee.

Applicants should not submit an application if they do not anticipate their project can be completed within the specified contract term.

3. Minimum and Maximum Award Amounts

Minimum grant amount \$15,000; Maximum grant amount \$100,000.

4. Application Limit/Award limit

Applicants may submit up to two (2) applications. Multiple applications may not be for the same project location. Additionally, applicants who submit more than one grant application will only be eligible to receive one grant award in this grant round, unless additional funding remains after all qualifying grant awards are made (at one per grantee). Additional grants for qualifying projects will be awarded to an entity already receiving a grant award in this grant round, starting with the next highest scoring application, in accordance with the scoring criteria on page 24.

5. Eligible Project Locations

Eligible projects for grant funding must be located within the defined geographic boundaries of the Mohawk River watershed. The Mohawk River watershed lies entirely within the boundaries of New York State and includes all of Montgomery County, most of Schoharie County, much of Schenectady, Greene, Fulton, Herkimer and Oneida Counties, and smaller parts of Albany, Saratoga, Delaware, Hamilton, Madison and Lewis Counties. Sections of the Mohawk River also serve as the New York State Barge (Erie) Canal. A map of eligible project boundaries included on page 21 of this RFA may also be viewed at <https://www.dec.ny.gov/lands/53752.html>.

6. Match Requirement and Expenditures

Grant funds are available for up to 85% of the total project cost. For this grant opportunity, applicants must match at least 15% of the grant funding amount.

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

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

7. Inquiries & Designated Contact Information

For general information on completing this application and for clarification of application requirements, contractual terms and procedures, contact:

Katherine Czajkowski, Mohawk Watershed Coordinator
katherine.czajkowski@dec.ny.gov

Include **2019 Mohawk River Watershed Grants RFA** in the **subject line** of the email. Questions regarding this grant opportunity will be accepted by the DEC until C.O.B. **January 15, 2020**. All questions, and answers will be uploaded in the Grants Gateway application for all applicants to view.

8. Department of Environmental Conservation Oversight

The Department of Environmental Conservation reserves the right to:

- Award additional and available funding for scored and ranked projects consistent with this grant opportunity.
- Partially fund an application if the partially-funded portion can be demonstrated to meet the criteria for this RFA.
- Reject any or all applications in response to the RFA at the agency's sole discretion.
- Reduce an award from the amount requested in the application, so long as the reduced funding does not jeopardize the viability of the project to proceed at the reduced funding level.
- Reduce an award from the amount requested in the application, should the project budget contain costs considered ineligible under this grant program.
- Award an agreement for any or all parts of the RFA in accordance with the method of award, or withdraw the RFA at any time, at DEC's sole discretion.
- Award to the next highest scoring application in the event a grantee fails to negotiate a grant contract with DEC within 60-90 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.

9. Application Submission

Applications must be submitted through the NYS Grants Gateway (<https://grantsgateway.ny.gov>).

Paper applications will NOT be accepted. Applicants are strongly encouraged to submit their applications prior to the application deadline. Late applications will not be accepted.

All Applicants must be **Registered** with Grants Gateway to submit an application. In addition to registration, **not-for-profits** must also be **Prequalified** at the time and date that the application is due. If you are not Prequalified at that time and date, your application will not be considered. For more information about Grants Gateway and Prequalification, please visit the Grants Management website (<https://grantsmanagement.ny.gov/>) or contact the Grants Gateway Team at: grantsgateway@its.ny.gov. The [Grants Gateway help desk](#) can be reached at (518) 474-5595.

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

**THE STATE RESERVES 5 DAYS TO REVIEW SUBMITTED PREQUALIFICATION
APPLICATIONS. PREQUALIFICATION APPLICATIONS SUBMITTED TO THE
STATE FOR REVIEW LESS THAN 5 DAYS PRIOR TO THE DEADLINE FOR THIS
APPLICATION MAY NOT BE CONSIDERED.**

**APPLICANTS SHOULD NOT ASSUME THAT THEIR PREQUALIFICATION
INFORMATION WILL BE REVIEWED IF THEY DO NOT ADHERE TO THIS
TIMEFRAME.**

Applicant Prequalification

Pursuant to the New York State Division of Budget Bulletin H-1032, dated June 7, 2013, New York State has instituted key reform initiatives to the grant contract process which require nonprofits to register in the Grants Gateway and complete the Vendor Prequalification process in order for applications to be evaluated.

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

Below is a summary of the steps that must be completed to meet registration and Prequalification requirements. [Vendor Prequalification](#) on the Grants Management Website provides details the requirements and an online tutorial is available to further explain the process. **PLEASE NOTE: The information included here regarding Prequalification is not intended to be exhaustive, and Applicants should visit the Grants Management website (<http://www.grantsmanagement.ny.gov/Grantees>) or contact the Grants Gateway Team (grantsgateway@its.ny.gov) for more information about Grants Gateway and Prequalification. The Grants Gateway help desk/hotline can be reached at (518) 474-5595.**

1. Register for the Grants Gateway

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

2. Complete your Prequalification Application

- Log in to the Grants Gateway. **If this is your first time logging in**, you will be prompted to change your password at the bottom of your Profile page. Enter a new password and click SAVE.
- Click the *Organization(s)* link at the top of the page and complete the required fields including selecting the State agency you have the most grants with. This page should be completed in its entirety before you SAVE. A *Document Vault* link will become available near the top of the page. Click this link to access the main Document Vault.
- Answer the questions in the *Required Forms* and upload *Required Documents*. This constitutes your Prequalification application. Optional Documents are not required unless specified in this document.
- Specific questions about the Prequalification process should be referred to your agency representative or to the Grants Gateway Team at grantsgateway@its.ny.gov. The [Grants Gateway help desk](#) can be reached at (518) 474-5595.

3. Submit Your Prequalification Application

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

- Once your Prequalification application has been approved, you will receive a Gateway notification that you are now Prequalified to do business with New York State.

Once you are Prequalified, please check the status of your document vault on a regular basis to ensure that none of your documents expire prior to the application due date. Refer to **Section 4.7 of the Grants Gateway Vendor User Guide** for more information about maintaining prequalification status. ***Expired documents will lead to the loss of Prequalification status.***

Applicants are strongly encouraged to begin the prequalification process as soon as possible in order to participate in this grant opportunity. **Please do not delay in beginning and completing the prequalification process. The State reserves 5 days to review submitted Prequalification applications. Prequalification applications submitted to the State for review less than 5 days prior to the application deadline may not be considered. Applicants should not assume that their Prequalification information will be reviewed if they do not adhere to this timeframe.**

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

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

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

You can also contact the Grants Gateway Team for additional assistance: Phone: (518) 474-5595; Email: grantsgateway@its.ny.gov

Grant Application Requirements and Conditions

1. Project Types

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

Project Type 1: Flood Hazard Risk Reduction and Enhanced Flood Resiliency

Applicants may apply for projects that will promote flood hazard risk reduction and enhanced flood resiliency of Mohawk River watershed communities. Eligible projects are:

- Inventory and map critical infrastructure and facility assets and assess options to reduce flood risk. Assessment of options to mitigate risk may include: adaptation, relocation, building, decommissioning, or innovative approaches to reduce flood risk. Assessment of options must include a detailed cost-benefit analysis as well as identification of any environmental benefits and/or trade-offs, such as impacts to water quality and habitat.
- Projects, including project plans and conceptual designs, or actions recommended in the Milone and MacBroom, Inc (MMI) *Emergency Transportation Infrastructure Recovery Water Basin Assessment(s) and Flood Hazard Mitigation Alternatives (April 2014)*, *Bellinger Brook Watershed Analysis Report (May 2018)*, and *Flood Mitigation Study - Schoharie Watershed (April 2017)* as listed below:
 - Bellinger Brook at the Village of Herkimer, Herkimer County
 - Bellinger Brook Watershed, Herkimer County
 - East Canada Creek, Herkimer County
 - Fulmer Creek, Herkimer County
 - Maltanner Creek, Herkimer County
 - Moyer Creek, Herkimer County
 - Nowadaga Creek, Herkimer County
 - Steele Creek, Herkimer County
 - West Canada Creek, Herkimer County
 - Otsquago Creek, Montgomery County
 - Big Creek, Oneida County
 - Mud Creek, Oneida County
 - Oriskany Creek, Oneida County
 - Sauquoit Creek, Oneida County
 - Schoharie Watershed: Schoharie, Albany, Montgomery, Otsego and Schenectady Counties (*eligible projects must be in the portion of the Schoharie Watershed located within the boundaries of the Mohawk River watershed*)

Project Type 2: Environmental Education, Stewardship and Community Engagement

Applicants may apply for projects that improve stewardship of the Mohawk River watershed through creating and fostering partnerships and stakeholder engagement through education, outreach and collaboration. Projects may include development of plans, purchase of equipment, development of web sites or mobile phone apps, and/or construction or physical improvements, as described under “eligible projects.” Note that the word “plan” is deemed too broadly include: plans, feasibility studies, designs and related permitting activities, etc. Eligible projects are:

- Community-based environmental education programs that enhance education about the Mohawk River and its watershed and which make opportunities to learn about the Mohawk River and its watershed more accessible for a wide range of people.

- Development or expansion of Mohawk River watershed-based curricula and educational materials; development of programs such as festivals, recreational events, or art installations that promote the natural, cultural, recreational and historic resources of the Mohawk River watershed.
- Projects on or in sight of the shoreline of the Mohawk River to plan, design, equip and/or construct facilities (including signage, exhibits and art installations) to be used for education of family, tourists and residents so that they may learn about the Mohawk River watershed and understand its value and the benefits it provides, and which encourage active engagement in stewardship of the Mohawk River and its watershed or to undertake related citizen science projects.
- The purchase, construction, or repair of vessels or vehicles specifically used as floating or mobile classrooms with education programming purposely focused on watershed ecology, natural history, and water quality. Such projects should strive to be inclusive of individuals with diverse needs and abilities.
- Creation of web applications for engaging the use of the internet, mobile devices or social media designed to expand the audience for science-based information about the natural history of the Mohawk River watershed, promote a natural-history-based sense of place, and engage users in stewardship of the Mohawk River and its watershed. Such projects should strive to be inclusive of individuals with diverse needs and abilities.

Project Type 3: Fish, Wildlife and Habitat Management

Applicants may apply for projects that seek to conserve, protect or enhance fish, wildlife and associated aquatic and riparian habitats in the Mohawk River watershed. Eligible projects are:

- Inventory, monitor and assess the condition of important fish, wildlife and habitat resources; define functional relationships between these resources (e.g. species population, community, ecosystem) and key drivers/stressors such as temperature, discharges, and water quality at the watershed, river, tributary or reach levels. Project may include process-oriented research on trophic pathways, food webs and important interactions.
- Survey, classify and inventory the quality of habitats within the Mohawk River watershed, prioritizing those in need of either protection (high-quality and threatened) or restoration (impaired). Creation of restoration or protection plan(s) and long-term monitoring program(s) for these habitats that assess the effectiveness and functional benefits of restoration or protection measures on targeted resources.
- Management and control of aquatic or terrestrial invasive species in the watershed through implementation of achievable and targeted invasive species management and eradication projects. Projects will require development and approval of an Invasive Species Management Plan that includes using a modeling program for success called IPMDAT (www.ipmdat.org). In addition, partners will also be required to use iMap Invasives for treatment reports for historical and reference purposes to monitor future outcomes of dollars spent.
- Conduct a natural resource inventory (NRI) that compiles, describes, and maps important natural resources in a municipality, county, watershed, or region. The NRI can be a stand-alone municipal plan or be included in a municipal comprehensive plan, open space plan, conservation plan, or a watershed plan. An NRI may include scenic and cultural resources as long as natural resources are fully covered by the NRI. Communities may choose which resources are included in the inventory or plan; however, to be eligible for this RFA, inventories/plans must include the following:
 - Water resources;
 - Habitats and wildlife; and
 - Natural areas important for climate resilience.
- Develop a connectivity plan that identifies opportunities and strategies for acquiring lands and waters to preserve important connections for wildlife habitat, stream corridors, large forests, and overall ecological resiliency. The project should be science-based and include at least two municipalities, or a municipality with a conservation partner such as a land trust.

Note: Applicants are strongly encouraged to use or refer to *New York State's Local Open Space*

Planning Guide (http://www.dos.ny.gov/lg/publications/Local_Open_Space_Planning_Guide.pdf), and if applicable, should refer to any existing municipal inventories or plans that will provide foundations for the grant project, or which are proposed to be updated. Applications should also include a process for public participation and/or education to engage stakeholders and build support for implementation.

2. Project Timeline

Applicants **MUST** provide a timeline for meeting project objectives and identified tasks between the contract term of **June 1, 2020 to May 31, 2022**.

Project expenditures prior to Master Contract for Grants (MCG) start date and after the MCG end date are not eligible for reimbursement or match.

3. Applicant Partners

The Applicant Partner is a collaborator who has a significant role in the conduct of the project and is fundamentally a co-applicant for the grant. Projects involving an Applicant Partner (i.e. multi-partner and inter-municipal projects, pages 3-4) require letters substantiating the commitment to collaborate that include the designation of a “Lead” applicant from each partner. A single PDF file of all letters should be uploaded to meet this requirement, if applicable for your project.

4. Key Stakeholder Engagement

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

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

Brief letters indicating such support from key stakeholders will improve the scoring of an application (higher points are available for applicants submitting such letters). Support letters from the government body offering the grant, or institutions or organizations who are fiscal sponsors and/or will provide services under the grant, will not be considered and no points will be awarded. If letters are submitted, the letters must be submitted at the time of application. Applicants will be asked in the Grants Gateway to upload, in a single PDF file, a copy of all letters of key stakeholder support.

5. Engagement of Mohawk River Basin Program Staff

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

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

6. Implementation Commitment

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

7. Knowledge, Skills and Experience (Qualifications)

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

8. Project Cost Effectiveness

The cost-effectiveness of the proposed project will be evaluated as provided in the Application Review and Scoring Standards in Appendix III. The answer to this question, as well as the information provided in the Expenditure Budget will be used to determine scoring for cost effectiveness. Applicants that provide 30% eligible match or more above the minimum 15% may be eligible for additional points for cost effectiveness (see Appendix III, page 33). Applicants are encouraged to provide quotes from vendors/contractors for the work to be completed to help justify cost effectiveness.

9. Statewide Priority

- **Alignment with Regional Economic Development (REDC) Strategies**

Governor Andrew Cuomo directed the establishment of Regional Economic Development Councils (REDCs) to analyze the most significant business clusters in their respective areas. Any grants awarded by the State of New York shall take into consideration the recommendation of the relevant REDC or the Commissioner's determination that the proposed project aligns within the regional strategic priorities of the region where the proposed project is located.

Provide a brief narrative describing the economic benefits of the proposed project and how the project aligns with the strategies of the REDC plan for the project's region (cite specific sections of the respective REDC plan, as applicable). The narrative must be included with the Application to receive points in the application review. If not applicable to your project, you must answer "N/A" in the appropriate area in the Grants Gateway for this question.

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

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

DEC demonstrates a commitment to Environmental Justice (EJ) and remedies for communities that may be burdened by negative environmental consequences. Environmental Justice is defined by the DEC as the fair treatment and meaningful involvement of all people, regardless of race, color or income, with respect to the development, implementation and enforcement of environmental laws, regulations and policies. A proposed project that is located in an EJ community or will directly benefit an EJ community, or a project that gives appropriate consideration to under-served urban neighborhoods (all potential neighborhoods whose demographic, geographic, or economic characteristics impede or prevent their access to adequate canopy cover and other benefits of trees) will receive points in the evaluation of an application. Maps of EJ areas in New York State are available at: <http://www.dec.ny.gov/pubs/103459.html>.

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

- a. To demonstrate location in an EJ area - The exact street location(s) where the project is to be implemented (no P.O. Box) or where the benefit will be provided; or
- b. To demonstrate location in an underserved neighborhood - A brief description of how the project

will benefit underserved populations that experience disproportionate adverse environmental impacts such as pollution from multiple industrial facilities, sub-standard water quality, concentrated diesel emissions from bus depots, or other heavy vehicle traffic, adverse health effects related to environmental impacts (high asthma), lack of access to green benefits such as open space, environmental education or parks, or other such impacts.

10. Expenditure Based Budget

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

11. Work Plan

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

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

12. Quality Assurance (Required for Water Quality Assessment and Monitoring projects)

For projects that involve the assessment or monitoring of water quality, all monitoring and measurement activities conducted in the field or laboratory shall be:

- a. Performed in accordance with an effective Quality System for planning and assessing environmental measurements and tests, and for conducting required quality assurance and quality control procedures to promote and maintain the accuracy and reliability of environmental measurements and test results. Quality System Documentation includes a Quality Assurance Project Plan (QAPP) based on guidance provided by the USEPA Guidance for Quality Assurance Project Plans (QA/G-5 May 2006) or a similarly structured and purposed protocol;
- b. Performed by a laboratory certified by the New York State Department of Health (NYSDOH) under the Environmental Laboratory Approval Program (ELAP) pursuant to Section 502 of the Public Health Law. This requirement shall not apply to specific parameters when ELAP has not issued a certificate for the specific parameter; and
- c. Performed in a manner that ensures all requisite quality control and calibration requirements of the method are met including field testing, sample collection, preservation, and record keeping. When the method does not detail requirements for any or all of these items, the basic quality assurance and quality control requirements defined in 40 CFR Part 136.7 shall be followed.

The QAPP may be submitted at time of application. If the QAPP is not submitted as part of the application, QAPP development must be included as an Objective/Task in the Work Plan. Example language for this Work Plan requirement is shown in Appendix II. The QAPP will need to be approved by the DEC's Quality Assurance Officer before the project may proceed under the grant contract.

Costs related to QAPP development may be included in the budget as needed, however, *no more than 50% of*

the grant request may be allocated to monitoring expenses. A template for the QAPP is provided in the Pre-Submission Uploads section of the Grants Gateway.

13. Pre-Submission Upload: Sexual Harassment Prevention Certification

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

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

Applications that do not contain the certification will not be considered for award; provided however, that if the applicant cannot make the certification, the applicant may provide a signed statement with their application detailing the reasons why the certification cannot be made.

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

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

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

Questions about or proposals for listing on the State or national Register should be directed to the 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 State (OPRHP) for all historic property grants.

Application Evaluation, Scoring and Selection

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

Step 1: Application and Project Eligibility Determination

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

Step 2: Project Evaluation, Scoring and Selection

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

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

All eligible applications will be individually evaluated and scored by at least 3 technical review team members. Technical reviewer scores will be averaged, and statewide priority points will be added to the average score to determine a final composite score.

Award limit – Applicants will only be eligible to receive one grant award in this grant round (the applicant's highest scoring application) regardless of the score of subsequent qualifying applications (up to 2 applications can be submitted by a single applicant). However, in the event additional funding remains after all qualifying grant awards are made (at one per grantee), additional grants for qualifying projects will be awarded to an entity already receiving a grant award in this grant round, starting with the next highest scoring application. In the event there is a tie among remaining applications submitted by same organizations, the tie breaker will be addressed as described in the following paragraph.

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

Grant Program Payment

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

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

Eligible and Ineligible Expenditures

Eligible Project Expenditures

- Personnel Services: Staff salaries including fringe benefits, directly devoted to the project. Itemize salaries according to job title and roles/responsibilities on the project. Grantees will be required to document time worked, tasks, pay ratio and payment.

- Contractual Services: The value of services provided by responsible professional and technical personnel and consultants (i.e. engineering and architectural services, surveys, plans and specifications, research, design and development of a project, consultant and legal services directly related to a project, feasibility study for a facility, archaeological field work, report writing, curation of artifacts and interpretation, etc.). Equipment and other non-property rentals directly required to implement the project.
- Supplies and materials: Directly needed to implement the project.
- Equipment: Equipment that is directly necessary to implement the project.
- Travel: Travel costs directly required to implement the project (within New York State only).

Ineligible Project Expenditures

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

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

Match Requirement and Expenditures

Applicants must provide at least **15% in match funds based on the amount of grant funds.**

<p><u>Formula</u>: Requested Budget x 15% = Required Match</p>
--

Eligible Forms of Match

- Cash: Includes other grants from non-state or non-federal funding sources.
- Personal Services: Staff salaries devoted to the project, including fringe benefits expenses. Itemize salaries according to job title or job assignment on the project. Grantees will be required to document time worked, tasks, pay ratio and payment.
- Contractual Services: The value of services provided by responsible professional and technical personnel and consultants (i.e. engineering and architectural services, surveys, plans and specifications, research, design and development of a project, consultant and legal services directly related to a project, feasibility study for a facility, archaeological field work, report writing, curation of artifacts and interpretation, etc.).

- Supplies and materials: The current market value of items warehoused (not yet installed); use value current at time items were obtained.
- Volunteer Labor: Skilled and professional labor can be computed at the job rate. Unskilled labor and work performed by professionals or skilled laborers in an area outside of their area of expertise must be computed at the minimum wage (For example, a lawyer donating legal services may compute the value based on the standard billing rate, but the same lawyer donating time painting walls must calculate the value using minimum wage).
- Equipment: Compute the value according to its fair market value in the project location.
- Travel: Travel costs directly required to implement the project (within New York State only).
- Administrative Salaries: Administrative salaries must be documented and identified by task and must fall within the grant contract term to be eligible as match. For the purposes of this RFA, administrative salaries are defined as follows:
 - Preparation of equal employment opportunity and women and minority business enterprises documentation.
 - Preparation of quarterly narrative and expenditure reports.
 - Preparation of payment reimbursement request forms and backup cost documentation.
 - Preparation of Final Report upon project completion.

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

Ineligible Forms of Match

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

Grant Program Reporting

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

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

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

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

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

Any project involving volunteer time will be required to report the number of volunteers and the number of volunteer

hours in their project quarterly status reports. The total number of volunteers and volunteer hours for the entire project must be reported in the Final Report.

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

What to Expect If You Receive an Award

1. Notification of Award

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

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

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

Applicants selected to receive a grant award will be required to execute a MCG **within 60 - 90 days** from the time of their award notification. Failure to submit timely required MCG documents could cause a grantee to lose their grant award. Applicants should review and be prepared to comply with all MCG terms and conditions should grant funding be awarded. The MCG and attachments can be reviewed and/or downloaded in the Grants Gateway Mohawk River Watershed application under the screen named 'Contract Document Properties'. The MCG and attachments include:

- MCG Face Page
- Standard Terms and Conditions (NYS standard terms and conditions)
- Attachment A-1 Program Specific Terms and Conditions (*Agency and Program specific terms and conditions*)
- Attachment A-2 Federally Funded Grant Terms and Conditions
- Attachment B-1 Expenditure Based Budget (*project expense categories and detail*)
- Attachment C Work Plan (project objectives, tasks and performance measures)
- Attachment D Payment and Reporting Schedule (claims for reimbursement and grant reporting provisions)

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

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

a. Insurance Requirements

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

insurance, contractor's contingency liability insurance, "all-risk" insurance and workers' compensation/disability benefits coverage for the project.

b. Permit Requirements (if applicable)

Contractors agree to obtain all required permits, including but not limited to, local, state and federal permits prior to the commencement of any project-related work. The Contractor agrees that all work performed in relation to the project by the Contractor or its agents, representatives, or contractors will comply with all relevant federal, state and local laws, rules, regulations and standards, zoning and building codes, ordinances, operating certificates for facilities, or licenses for an activity.

c. State Environmental Quality Review Documentation

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

d. Vendor Responsibility Questionnaire

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

e. Iran Divestment Act

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

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

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

Applicants subject to executing a future NYS Master Contract for Grants agree, in addition to any other nondiscrimination provision of the MCG and at no additional cost to the Department, to fully comply and cooperate with the Department in the implementation of New York State Executive Law Article 15-A. These requirements include equal employment opportunities for minority group members and women ("EEO") and contracting opportunities for certified minority and women-owned business enterprises ("MWBEs"). Contractor's demonstration of "good faith efforts" pursuant to 5 NYCRR §142.8 shall be a part of these requirements. These provisions shall be deemed supplementary to, and not in lieu of, the nondiscrimination provisions required by New York State Executive Law Article 15 (the "Human Rights Law") or other applicable federal, state or local laws.

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

Please refer to the NYS Master Contract for Grants - Article IV (J) and Attachment A-1 Program Specific Terms and Conditions - Article X, to review M/WBE and EEO requirements. Required M/WBE and EEO related forms can be found at <http://www.dec.ny.gov/about/48854.html>

- The local government is responsible for designating someone to serve as their Affirmative Action representative. The governing body should make this designation through official means.
- A list of certified M/WBE enterprises can be obtained via the internet from the NYS Department of Economic Development at <https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp?TN=ny&XID=9885>
- Contracts which meet the established M/WBE-EEO thresholds require the Contractor to submit Quarterly Reports, http://www.dec.ny.gov/docs/administration_pdf/quarterlyversion7.pdf, detailing payments made by the Prime Contractor to NYS Certified M/WBEs.
- The following M/WBE-EEO “Fair Share” goals are established as follows:

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

Construction/Engineering – 20%
 Commodities – 20%
 Services/Technologies – 20%

Equal Employment Opportunity (EEO) Participation Goals

EEO Minority Workforce Participation Goals (DEC Regions 1- 9) 0%

EEO Female Workforce Participation Goals (DEC Regions 1-9) 0%

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

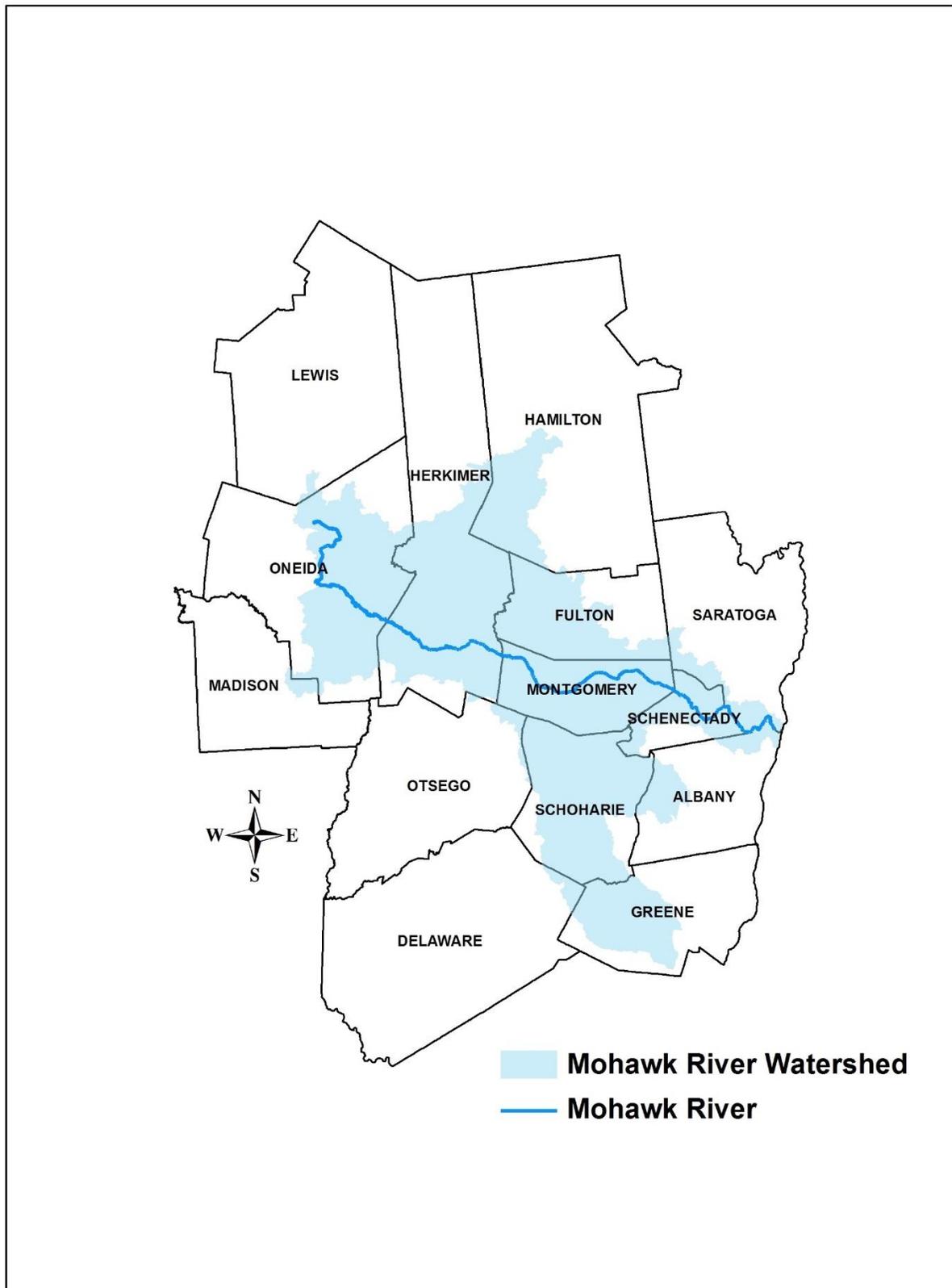
4. Procurement of Contractors/Subcontractors

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

5. Americans With Disabilities Act

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

Appendix I: Map of Eligible Project Locations



Appendix II: Budget and Work Plan Guidance

BUDGET

General:

Eligible expenditures for grant and match are noted on pages 16-17 of this RFA.

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

- Projects that include monitoring:

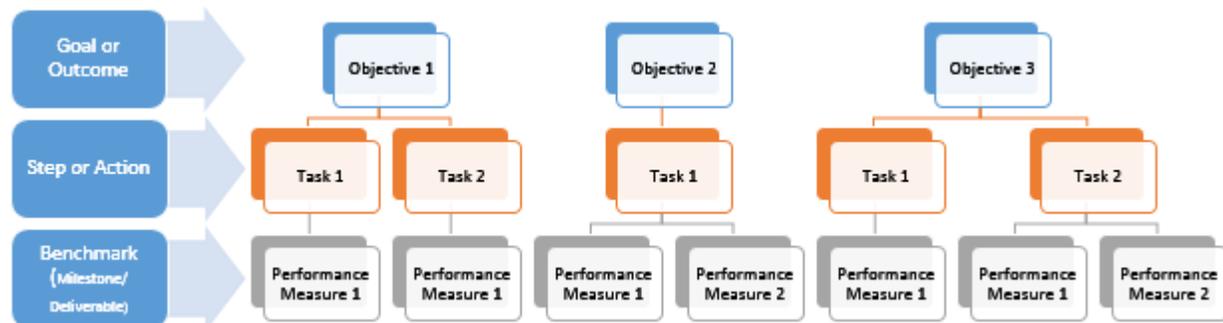
A QAPP is required for all projects that include monitoring. Funds may be allocated toward QAPP development if a QAPP is not submitted at time of application.

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

WORK PLAN

General:

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



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

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

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

The following items must be included in the Work Plan:

All projects:

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

Projects that include monitoring:

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

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

Appendix III: Application Evaluation and Scoring Criteria

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

Level 1

- The applicant is eligible as provided on page 3 of this RFA. A not-for-profit organization must also be prequalified in the Grants Gateway by the application due date to be determined eligible under this grant opportunity.
 - The project is located within the defined geographic boundaries of the Mohawk River Watershed (see map in Appendix I).
 - The project implements one of the specified eligible project types.
 - Quality Assurance requirements for sampling or monitoring are demonstrated to be met or are not applicable. Proposed projects that include a sampling or monitoring component that do not address development of a Quality Assurance Project Plan will not be funded.
 - For projects that propose sampling, ELAP requirements are met, or are not applicable. Projects that include a sampling component that do not address ELAP requirements will not be funded.
 - The uploaded project timeline/schedule demonstrates completion of project objectives, tasks and deliverables within a two-year contract term.
 - All project funding sources are eligible, and at least 15% in eligible matching funds is identified.
 - If applicable, letters of collaboration, or resolutions/cooperative agreements that include the “Lead” applicant designation are provided from all applicable partners.
 - No project that is deemed harmful to Species of Greatest Conservation Need (SGCN) or federally listed endangered species will be deemed eligible for funding.
 - For projects involving work on property owned by an entity that is not the applicant, the applicant must provide as an upload to the application, a letter from the landowner indicating willingness for the project to take place on their property. For example, a “Friends of the Park” group must have a letter from the park owner.
 - The applicant must provide the required certification for sexual harassment prevention, as required by State Finance Law §139-l.
 - Application is complete and all required paperwork is submitted.
-

Mohawk River Watershed Grants Round 5 – Scoring Rubric (Maximum 165 Points)

PROJECT PRIORITY POINTS: Up to **60** Project Priority points are available as defined below. Applications must receive a minimum of **20** Project Priority points to be eligible for funding.

How well does the project, its location, statement of need, methods and deliverables impact the primary objective of this RFA to implement the priority goals and objectives of the *Mohawk River Basin Action Agenda*. **Applicants must explicitly state which goal(s) of the Mohawk River Basin Action Agenda their project works to fulfill and how the project as proposed will meet the specified goal(s).**

Available Points:	60 points	40 points	20 points	0 points
	Project as scoped (location, statement of need, methods deliverables) clearly addresses the primary objective of this RFA and <i>clearly</i> meets two or more goals of the Mohawk River Basin Action Agenda.	Project as scoped (location, statement of need, methods deliverables) clearly addresses the primary objective of this RFA and <i>clearly</i> meets at least one goal of the Mohawk River Basin Action Agenda.	Project as scoped (location, statement of need, methods deliverables) clearly contributes to the primary objective of this RFA, but project as described does not <i>clearly</i> meet at least one goal of the Mohawk River Basin Action Agenda.	Project as scoped (location, statement of need, methods deliverables) does not meet the primary objective of this RFA.

PROJECT SUCCESS FACTORS: Up to **50** Project Success Factor points are available as defined below. Applications must receive a minimum of **10** Stakeholder Engagement and Implementation Commitment points to be eligible for funding. **Note: Applications that receive 0 points for Experience and Ability will not be funded**

STAKEHOLDER ENGAGEMENT AND IMPLEMENTATION COMMITMENT: How well does the project engage key stakeholders (local and regional) whose support is needed for the project to succeed and for project implementation.

Available Points:	30 points	20 points	10 points	0 points
	Application identifies key stakeholders necessary for success as well as an implementation plan that explains robust engagement and how stakeholders will be engaged. Includes letters of support from stakeholders detailing how they will be involved in supporting the project. Includes letters of support from local, county, or state elected officials.	Application identifies key stakeholders necessary for success as well as an implementation plan that explains robust engagement and how stakeholders will be engaged. Includes letters of support from stakeholders, but does not include support letters from local, county or state elected officials.	Acceptable engagement strategies are demonstrated with key stakeholders identified; however, letters of support are not provided, or letter(s) of support detailing robust stakeholder engagement is not well articulated in the narrative of the letter.	Known, crucial, key stakeholders are not engaged, or stakeholder engagement appears insufficient to ensure project success.

STAKEHOLDER ENGAGEMENT AND IMPLEMENTATION COMMITMENT BONUS POINTS: Up to 10 Stakeholder Engagement and Implementation Commitment Bonus points are available as defined below.

Available Points:	10 points	5 points	2 points	0 points
	Project includes 3 or more stakeholder partners.	Project includes 2 stakeholder partners.	Project includes one stakeholder partner.	Project has no stakeholder partners indicated.

KNOWLEDGE, SKILLS AND EXPERIENCE: Up to 10 Knowledge, Skills and Experience points are available as defined below. Applications must receive a minimum of 5 Experience and Ability points to be eligible for funding. **Note: Applications that receive 0 points for Knowledge, Skills and Experience will not be funded**

Available Points:	10 points	0 points		
	<p>Applicant possesses the knowledge, skills and ability to complete the proposed project and has prior experience with DEC's Mohawk River Watershed grants and completed all tasks in a timely manner.</p> <p>OR</p> <p>Applicant possesses the knowledge, skills and ability to complete the proposed project, but has no prior experience with DEC's Mohawk River Watershed grants.</p>	<p>Applicant does not possess the knowledge, skills and ability to complete the proposed project.</p> <p>OR</p> <p>Applicant has prior experience with DEC's Mohawk River Watershed grants and did not complete all tasks in a timely manner.</p>		

ENGAGEMENT OF MOHAWK RIVER BASIN PROGRAM STAFF (MAXIMUM 10 POINTS):

Available Points:	10 points	5 points	2 points	0 points
	<p>Project timeline demonstrates early consultation with Mohawk River Basin Program staff and offers an invitation to attend stakeholder meetings and to provide technical assistance in the planning process.</p>	<p>Project timeline demonstrates early consultation with Mohawk River Basin Program staff but offers no invitation for further participation.</p>	<p>Demonstration of Mohawk River Basin Program staff engagement is vague or not defined.</p>	<p>No engagement of Mohawk River Basin Program staff initiated.</p>

REASONABLENESS OF COST (MAXIMUM 20 POINTS): Note: Applications that receive 0 points for Reasonableness of Cost will not be funded.

Available Points:	20 points	10 points	5 points	0 points
	<p>Budget is well-balanced and does not contain any extraneous expenses. Cost-to-benefit ratio is appropriate for the complexity and size of the project.</p> <p>AND</p> <p>Project provides 25% match or more.</p>	<p>Budget is well-balanced and does not contain any extraneous expenses. Cost-to-benefit ratio is appropriate for the complexity and size of the project.</p> <p>AND</p> <p>Project meets minimum 15% match.</p>	<p>Budget appears well-balanced, but cost-to-benefit ratio is unclear or not well-defined for the complexity and size of the project.</p> <p>AND</p> <p>Project meets minimum 15% match.</p>	<p>Budget does not clearly detail costs associated with project and does not appear to be cost effective or well-aligned with the project as proposed.</p> <p>OR</p> <p>Project does not meet the minimum 15% match.</p>

STATEWIDE PRIORITY POINTS (MAXIMUM 10 POINTS):				
<i>Regional Economic Development Plan</i>				
Available Points:	5 points	0 points		
	The proposed project implements a goal or objective of a Regional Economic Development Council (REDC) Plan.	The proposed project is not a goal or objective of a Regional Economic Development Council (REDC) Plan.		
<i>Environmental Justice</i>				
Available Points:	5 points	0 points		
	The proposed project benefits a designated Environmental Justice Community and the necessary Environmental Justice application information has been provided.	The proposed project does not benefit a designated Environmental Justice Community.		
ADDITIONAL POINTS (MAXIMUM 15 POINTS):				
<i>Map of Project Location</i>				
Available Points:	5 points			
	A map clearly depicting the entire area of the project location has been uploaded for Program Question 1.			
<i>New Partnerships</i>				
Available Points:	5 points			
	The applicant is a new organization, municipality or watershed group that has not previously received a Mohawk River Watershed grant.			
<i>Open/Current Grant Workload (uncompleted grants) with the Mohawk River Basin Program</i>				
Available Points:	5 points			
	Applicant does not have any open or current grants with the Mohawk River Basin Program.			

Appendix IV: Certification for Sexual Harassment Prevention

Attachment S

Sexual Harassment Prevention Certification Form

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

Company Name: _____

Signature: _____

Print Name and Title: _____

Date: _____

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

Company Name: _____

Signature: _____

Print Name and Title: _____

Date: _____

Appendix V: Application Checklist

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

• **PASS/FAIL CRITERIA**

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

- Applicant is registered in the Grants Gateway as an eligible applicant for this program.
- NOT-FOR-PROFIT ORGANIZATIONS*: Applicant is prequalified in the Grants Gateway by the application due date.
- Project is located within the defined geographical boundaries of the Mohawk River watershed.
- Project implements one or more of the specified eligible project types.
- ELAP requirements are met, or are not applicable, for projects that propose sampling.
- Quality Assurance requirements for sampling or monitoring are demonstrated to be met or are not applicable.
- Project timeline indicates completion between June 1, 2020 and May 31, 2022.
- All project funding sources are eligible and at least 15% in eligible match has been identified.
- If applicable, letters of collaboration or resolutions/cooperative agreements that include the “Lead” applicant designation are provided for all applicant partners.
- For projects involving work on property owned by another entity that is not the applicant, the applicant has provided a letter from the landowner indicating willingness for the project to take place on their property.
- The required certification for sexual harassment prevention is uploaded (Mandatory Upload in Pre-Submission Uploads section in the Grants Gateway).
- Project is not harmful to Species of Greatest Conservation Need or federally listed endangered species.
- Application is complete in the Grants Gateway (make sure to “Check Global Errors”).

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

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

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

Mandatory uploads:

- Program Question 7: A project timeline, showing project start date of June 1, 2020 with a completion date of May 31, 2022. Engagement of the Mohawk River Program Staff should be included as an element in the timeline.

Optional uploads, as applicable:

- Program Question 1: Location map showing the project area.
- Program Question 10: Letters of support as evidence of stakeholder engagement.
- Program Question 16: Documentation (i.e. vendor quotes) for cost-effectiveness.
- Program Question 26: QAPP for monitoring projects (uploaded under Pre-Submission Uploads).
- The expenditure-based budget is completed, including justifications for all budget items.
- The work plan is provided with clear objectives, tasks, and performance measures.

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

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

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