

New York State Energy Research and Development Authority (NYSERDA)
 Cleaner, Greener Communities (CGC) Program, Phase II Implementation Grants, Round 3
 Program Opportunity Notice (PON) 3106

Funding Available: Up to \$30 million

APPLICATION DUE DATES

Category 1 – Incentive Applications (open enrollment): NYSERDA will continue to accept applications through the *existing program*, PON 2721 - Category 1, which was released in 2013, until 4:00p.m. Eastern Time on September 30, 2019, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first.

Category 2 – Flexible Funding Pilots (Rolling Applications - Competitive): NYSERDA will continue to accept applications for Category 2 under PON3106 on a rolling basis until 4:00p.m. Eastern Time on September 30, 2019, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first.

Category 3 – Community-Scale Sustainability Projects (Due Date Competitive): Applications for Category 3 under PON3106 are due by 4:00p.m. Eastern Time on July 31, 2015.

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INTRODUCTION

The [Cleaner, Greener Communities \(CGC\) Program](#) was announced by Governor Cuomo in his 2011 State of the State address as a competitive grant program to encourage communities to develop and implement regional sustainable growth strategies. The CGC Program builds on the [Climate Smart Communities Program](#), which was established in 2009 by the New York State Department of Environmental Conservation and the New York State Energy Research and Development Authority (NYSERDA) as a network of local governments across New York that have committed, by voluntarily adopting the Climate Smart Communities Pledge, to reduce their greenhouse gas (GHG) emissions and to prepare for unavoidable changes in climate. The CGC Program provides enhanced support for development and implementation of regional sustainability plans to help ensure that New York State's (NYS) ongoing and substantial investments in infrastructure help to shift communities and NYS as a whole toward a more environmentally and economically sustainable future. The primary goal of the CGC Program is to encourage communities to create public-private partnerships and develop regional sustainable growth strategies in such areas as emissions control, energy efficiency, renewable energy, low-carbon transportation, and other carbon reductions. [Phase I of CGC](#) provided funding to the 10 Regional Economic Development Council (REDC) regions in NYS for the development of Regional Sustainability Plans. [Phase II of CGC](#) (CGC II) offers grant funding for projects that support the goals of each region's respective sustainability planning effort. This solicitation, PON3106, is the third and final round in a series of funding rounds to support these types of projects. A total of \$90 million in potential funding awards is available over the three-year life of the CGC Program. The CGC Program is funded with proceeds from the Regional Greenhouse Gas Initiative (RGGI), the purpose of which is to lower carbon emissions in the participating states.

PROGRAM DESCRIPTION

Through Round 3 of CGC II, NYSERDA is offering competitive grants for the implementation of market-transforming sustainability initiatives and projects that accelerate the adoption of sustainable planning and development practices, are innovative, create multiple community benefits, reduce carbon emissions, leverage public and private resources, and propel NYS toward an environmentally and economically vibrant and resilient future. Funding will support policy and plan development, technical assistance, and implementation of projects and initiatives that have the ability to be inspirational and replicated to expand market adoption and overall impact. Funding will also support communities taking action to move toward a self-sustaining clean energy future. Projects will stimulate environmentally sustainable economic growth consistent with the [CGC Phase I Regional Sustainability Plans](#) and [REDC Strategic Plans](#). These projects will be holistic in nature, exhibit positive impacts at a scale larger than typical NYSERDA-funded projects, and contribute to an improved quality of life through a systems approach of connecting the natural, built, and human environments. Projects and initiatives selected under CGC II will not only save energy and reduce carbon emissions; they will also make NYS a better place to live, work, and do business.

All projects must demonstrate a contribution to the reduction of carbon emissions either through direct outcomes or indirect influence in areas such as future growth and development patterns. Finally, CGC II is a unique program that should fill gaps and leverage other sources of funding in ways that could not otherwise be accomplished. Round 3 of CGC II is flexible in that it supports a variety of project types; however, it is focused in its priority objective of achieving significant market transformation to reduce carbon pollution.

FUNDING CATEGORIES - SUMMARY

Category 1 – Photovoltaic and Electric Vehicle Supply Equipment Permitting Incentive Applications (Open-Enrollment): This category is a continuation of Category 1 in NYSERDA PON 2721, which was released in 2013. Please reference the Category 1 Fact Sheet, which can be found at the CGC [Guidance Documents](#) webpage, for more detailed program requirements and application instructions. Approximately \$1 million is available for communities to adopt streamlined permitting and other ordinances for photovoltaic systems and electric vehicle charging stations, with awards of up to \$10,000 per applicant. NYSERDA may add other permitting or model ordinances as they become available for communities to adopt and apply for incentives under this category. **NYSERDA will continue to accept applications through the [Consolidated Funding Application](#) for Category 1 until 4:00p.m. Eastern Time on September 30, 2019, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first.**

Category 2 – Flexible Funding Pilots (Rolling Applications - Competitive): Up to \$5 million will be available to communities for assistance with completing transformative clean energy and sustainability projects that have both an immediate and long-term impact on carbon mitigation. In order to qualify for funding, municipalities will have to complete four of six Steps in order to submit an application for funding. These projects will prepare a community, region, or project for a more sustainable and resilient future; thereby creating direct or indirect community benefit and carbon reductions. This category is intended to be flexible in that NYSERDA may periodically add and remove eligible project types based on the needs identified in the market over time. Any changes will be communicated on the CGC [Guidance Documents](#) webpage. Projects must be ready to commence within three months of NYSERDA award notification and should be completed within three years of contract execution. Applicants may not commence work on any portion of the project until there is a fully executed contract with NYSERDA. Awards will range from \$25,000 to \$250,000 per project, with a cap of \$250,000 per applicant per year and a 25% minimum cost share requirement. Award amounts will be primarily based on the innovative and transformative merits of the application in its ability to advance energy efficiency, renewable energy, or carbon mitigation as well as economic development benefits. **NYSERDA will continue to accept applications for Category 2 on a rolling basis until 4:00p.m. Eastern Time on September 30, 2019, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first.** For specific application requirements, please see the section of this document entitled “FUNDING CATEGORIES – DETAILED PROGRAM REQUIREMENTS.”

Category 3 – Community-Scale Sustainability Projects (Due Date Applications - Competitive): Up to \$25 million will be available for community-scale sustainability projects that are innovative and transformational in their contributions to advancing energy efficiency, renewable energy, or carbon mitigation, as well as economic development benefits; thereby creating direct community benefit and reduction of carbon emissions. Project types include showcase or anchor construction projects, as well as innovative projects or programs that stimulate market transformation. Projects must be ready to commence within three months of NYSERDA award notification and should be completed within three years of contract execution. Applicants may not commence work on any portion of the project until there is a fully executed contract with NYSERDA. Awards will range from \$500,000 to \$3 million per project with a 25% cost share requirement. Award amounts will be primarily based on the innovative and transformative merits of the application in its ability to advance energy efficiency, renewable energy, or carbon mitigation as well as economic development benefits. **Proposals for Category 3 are due by 4:00p.m. Eastern Time on July 31, 2015.** For specific application requirements, please see the section of this document entitled “FUNDING CATEGORIES – DETAILED PROGRAM REQUIREMENTS.”

FUNDING CATEGORIES – DETAILED PROGRAM REQUIREMENTS

CATEGORY 1: PHOTOVOLTAIC AND ELECTRIC VEHICLE SUPPLY EQUIPMENT PERMITTING INCENTIVES

This category is a continuation of Category 1 in NYSERDA Program Opportunity Notice (PON) 2721, which was released in 2013. Please reference the Category 1 Fact Sheet, which can be found at the CGC [Guidance Documents](#) webpage, for more detailed program requirements and application instructions. Approximately \$1 million is available for communities to adopt streamlined permitting and other ordinances for photovoltaic systems and electric vehicle charging stations, with awards of up to \$10,000 per applicant. NYSERDA may add other permitting or model ordinances as they become available for communities to adopt and apply for incentives under this category. **NYSERDA will continue to accept applications through the [Consolidated Funding Application](#) for Category 1 until 4:00p.m. Eastern Time on September 30, 2019, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first.**

ELIGIBLE APPLICANTS – CATEGORY 2

Local governments (county, city, town, village, or Indian tribal government or nation located within NYS) in New York State are eligible to apply for funds. Municipalities may form partnerships and submit a joint proposal, but one entity must be identified as the lead applicant on behalf of the group or consortium. All involved municipalities must meet the eligibility criteria outlined in the section of this document titled “Category 2 Project Eligibility: Required Steps.” A single municipality, or a group or consortium of municipalities, may choose to designate a non-municipal entity (private, non-profit, etc) to be the lead applicant, but the lead applicant must provide letters of support from each municipality involved in the project. The lead applicant, if successful, will have a contractual obligation to NYSERDA and will act as the main point of contact for NYSERDA for all project-related matters.

ELIGIBLE APPLICANTS – CATEGORY 3

Local governments (county, city, town, village, or Indian tribal government or nation located within NYS), private companies, non-governmental organizations, and other entities with projects located in New York State are eligible to apply for funds. NYS governmental or quasi-governmental agencies, authorities, or entities are NOT eligible applicants. Public-private and public-public partnerships are encouraged to maximize the opportunity for innovation, impact, and leveraging of other sources of funds. Applicants may form partnerships and submit a joint proposal, but one entity must be identified as the lead applicant on behalf of the group or consortium. NYS governmental or quasi-governmental agencies, authorities, or entities may be project partners, but cannot be the lead applicant and cannot contribute funding toward any required applicant cost share. The lead applicant, if successful, will have a contractual obligation to NYSERDA and will act as the main point of contact for all project-related matters.

CATEGORY 2: FLEXIBLE FUNDING PILOTS

Funding Available: \$25,000 to \$250,000 per project with a 25% minimum cost share requirement

Category 2 Project Eligibility: Required Steps

In order to qualify for funding, all Category 2 applicants must first complete four of six relatively low-cost Steps and submit proof of completion for each Step. The six Steps, including more information on how to meet the requirements for each Step, are outlined in the PON3106 – Category 2 Required Steps and Project Types document, which can be found on the [CGC Guidance Documents](#) website. Required Steps and eligible Project Types are subject to change. NYSERDA will communicate any changes on the [CGC Guidance Documents](#) website.

Applicants may request a pre-review of the documentation of completion of required Steps by sending an email, with all requested documentation attached, to CGC@nyserderda.ny.gov.

Note that applicants may be eligible to earn points towards certification through the [Climate Smart Communities \(CSC\) Certification Program](#) by completing the Steps and for completing one or more projects under this category.

Category 2 Project Eligibility: General Eligibility Criteria

Eligible applicants may choose to include only one specific project in their application, but proposals targeting multiple projects or initiatives are also eligible under this category. All proposals must demonstrate how initiatives are innovative, support local or regional sustainable economic development, and will serve to transform future market practice in a manner that will have multiple long term community benefits and reduction of carbon emissions.

Applicants may request between \$25,000 and \$250,000 of NYSERDA funding per project, with a cap of \$250,000 per applicant per year. NYSERDA may make award offers at amounts lower than those for which the applicant proposed pursuant to the scope and merit of the proposal received, but will not make awards less than \$25,000. NYSERDA, in order to avoid double-funding projects or measures within projects, may also adjust awarded funding amounts at any time based on new information regarding other project funding secured. A minimum cost-share of 25% of total project cost is required. For example, if an applicant requests \$75,000 from NYSERDA, the applicant must also commit a minimum cost share of \$25,000, for a total minimum project cost of \$100,000. The applicant cost-share and the NYSERDA share must contribute to the same project or tasks within the project intended to reduce carbon emissions, promote energy efficiency, or increase use of renewable energy. All proposed cost-share must be confirmed by signed commitments from contributing parties. Other NYS funding sources, including other NYSERDA funding, shall not count toward the proposer's cost-share. Cost share may include private equity, private or federal grants, loans, in-kind or volunteer services documented in dollar value, or other non-NYS government funding sources. For the purposes of this solicitation, "NYS government funding" is defined as a grant or an incentive that is received from a NYS governmental entity. This funding cannot be counted as any portion of the applicant cost share. For the purposes of this solicitation, annual NYS funding going toward standard operating costs for an organization is not considered "NYS government funding."

Applications will be evaluated based on the degree to which the project supports the criteria outlined in the section of this document entitled "Category 2 Selection Criteria." Applicants may not commence work on any portion of the project until there is a fully executed contract with NYSERDA. This shall include any activity funded by NYSERDA or other activity included as part of the proposed applicant cost share. Projects must be ready to commence within three months of award notification and should be complete within three years of contract execution. Applicants are required to append a proposed scope of work, including a budget and project timeline, with their application. Applications that do not include the required appendix with complete information in the format requested will be deemed ineligible. Applicants must also agree, or provide written exceptions, to NYSERDA's standard contracting Terms and Conditions, which can be found on the [CGC Guidance Documents](#) webpage. NYSERDA reserves the right to condition awards pending applicant acceptance of industry-appropriate or other NYSERDA program equipment performance, measurement and verification, or commissioning requirements that are not specifically outlined in this guidance document. Applicants with projects that contain measures that are eligible for existing or upcoming NYSERDA programs will be required to meet the performance specifications outlined in those programs. NYSERDA may reach out to applicants via email with specific follow-up questions after reviewing proposals. Should NYSERDA request additional information, applicants will have five business days to respond in order for that information to be considered in

the evaluation process.

Category 2 Eligible Project Types

Subject to the approval of the required documentation for four of the six required Steps referenced above, applicants may apply for funding for one or more of the eligible project types outlined in the PON3106 – Category 2 Required Steps and Project Types document, which can be found on the [CGC Guidance Documents](#) website. Brief descriptions of each project type are included within this document and applicants may be eligible to earn points towards certification through the [CSC Certification Program](#) for completion of one or more of the project types.

All project proposals must demonstrate how projects support local or regional sustainable economic development, and will serve to transform future market practice in a manner that will have multiple long term community benefits and reduction of carbon emissions.

Category 2 Ineligible Project Types

Projects that are not listed under the section of this document entitled “Category 2 Eligible Project Types.”

Category 2 Application Process

Applications will be accepted through the [Consolidated Funding Application \(CFA\)](#). NYSERDA will continue to accept applications for Category 2 on a rolling basis through September 30, 2019, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first. A separate CFA must be completed for each project.

Category 2 Selection Criteria

Projects will be scored and awarded on a competitive, rolling basis. No project or applicant is guaranteed funding. However, no one applicant may receive more than \$250,000 per year. NYSERDA may condition awards upon applicant acceptance of requests for minor modifications to project scopes to ensure that CGC Program goals are met. NYSERDA’s selection criteria are based on the five program objectives outlined below, with a total number of available points allocated to each.

- Stimulate Market Transformation (20 possible points)
- Support Clean Energy and Sustainable Planning Projects or Services (20 possible points)
- Create Regional and Community Benefit (20 possible points)
- Leverage CGC Funds (20 possible points)
- Reduce Carbon Emissions (20 possible points)

Applications will be accepted on a rolling basis and reviewed by a small team of internal and external subject matter experts as outlined below.

- Review meetings will be held periodically, on at least a quarterly basis, depending on the volume of applications.
- Applicants must earn a minimum of 50% of available points in each program objective area to be considered eligible.
- To receive an eligibility determination in any given quarter, applications must be finalized and submitted through the CFA by the first business day of the last month of the quarter. Otherwise, applications will be reviewed the following quarter.
- Eligible applications will be awarded funding in the order in which they were received.

- NYSERDA reserves the right to reject proposals that would otherwise be eligible for other existing NYSERDA or other New York State funding opportunities. However, NYSERDA will assist the applicant in accessing those other funding opportunities.

Under each program objective area is a set of questions to provide guidance in responding to the program objective. Applicants do not need to respond to every guiding question and are encouraged to use other descriptions to demonstrate how their project meets each objective.

1. Stimulate Market Transformation (20 possible points)

- *Does the initiative include the application of an innovative or new approach to plan or better prepare for a sustainable future?*
- *Does the initiative apply best practices from other regions or states that are not readily applied in the region or NYS? If so, give examples that are being duplicated.*
- *Does the initiative create the potential for replication and transfer to other regions or locales to create the potential for larger scale impact?*
- *Is a new planning practice, method or approach being introduced?*
- *Is the initiative inspirational in that it will engage and inspire stakeholders or stimulate action by others?*
- *Is the initiative a demonstration or pilot that has not been attempted previously?*
- *Is the initiative ready to begin? Provide a status of necessary approvals and any entitlements received.*
- *How will the initiative be shared or used to promote broader transformation and adoption in other communities?*

2. Support Clean Energy and Sustainable Planning Projects or Services (20 possible points)

- *Are new methods of sustainable planning practices being applied or introduced to the community? i.e., complete streets, form based codes, smart land use planning, etc.*
- *Are new or advanced clean energy technologies being applied or introduced to the community? i.e. LED street lighting, alternative fuel vehicles, anaerobic digesters, etc.*
- *Are sustainability and resiliency criteria included in the initiative? If so, provide references for sources or standards being utilized and why they were chosen.*
- *If pre-development project assistance is requested, how will the future project be enhanced in the area of sustainability through this specialized technical support? i.e., design charrette, community needs or vulnerability assessment, market or technical feasibility, surveys, etc.*
- *If subcontractors are to be used for the initiative how will they be selected to ensure they have the required expertise to address issues of energy efficiency, renewable energy, or carbon mitigation as well as economic development? i.e., credentials, certificates or other specialized training. Please note that if the applicant intends to select a subcontractor after an award by NYSERDA, then the applicant must follow NYSERDA's subcontracting requirements as detailed in Article V of the Sample Terms and Conditions, which can be found on the [CGC Guidance Documents](#) webpage.*

3. Create Regional and Community Benefit (20 possible points)

- *How will the initiative provide direct or indirect economic benefit to the region? i.e., jobs creation or retention, retention of local dollars through export substitution, increase income levels, new local dollars generated, etc.*
- *How will the initiative provide direct or indirect social value to the region? i.e., retention of cultural or historical assets, vulnerable populations addressed, improved access to community assets, expand educational opportunities, etc.*

- *How will the initiative provide environmental value to the region? i.e., enhance and protect natural assets, green infrastructure planning, restoration of ecological assets, etc.*
 - *How will the impacted community be engaged in the planning and communications process for the initiative?*
 - *Is there local support for the initiative? Please provide letters of support.*
 - *Does the initiative align with the applicable Regional Sustainability Plan? What goals or Sustainability Indicators are being addressed?*
 - *Does the initiative demonstrate an integrated approach with benefits across multiple areas of the locale or region?*
 - *What efforts will be made to transfer knowledge and educate the broader community and region about the initiative?*
 - *Is the project located in a Climate Smart Community, a Certified Climate Smart Community, an environmental justice area, a brownfield opportunity area, REDC Opportunity Agenda Area, or other relevant special areas?*
 - *Is the project included in a NY Rising Community Reconstruction Program Plan or a NY Rising Countywide Resiliency Plan (For more information, please visit: <http://stormrecovery.ny.gov/community-reconstruction-program>)?*
- 4. Leverage CGC Funds** (20 possible points): a minimum 25% non-NYS funded cost share must be demonstrated. In-kind and volunteer support documented as dollar equivalent may contribute to this requirement.
- *How will CGC funds fill a unique initiative funding gap that cannot be filled elsewhere?*
 - *What is the total initiative cost and what assumptions have been applied to develop this cost? i.e., is it based on actual bids, comparable initiatives, etc?*
 - *What other funds (document both NYS government and non-NYS government funds) will be applied to this initiative and for what components? A minimum of a 25% non-NYS government funding cost share must be confirmed by signed commitments from contributing parties.*
 - *What type of in-kind support will be provided and what is the estimated dollar value?*
 - *What type of volunteer support will be provided and what is the estimated dollar value?*
 - *If this is a pre-development initiative do you anticipate applying for future NYS project funding?*
 - *How will this initiative leverage private investment dollars?*
 - *How cost-effective is the initiative? i.e., what is cost per metric ton of carbon reduced (calculated as CGC Investment \$ per GHG Savings (MTCDE / year)?*
- 5. Reduce Carbon Emissions** (20 possible points): NYSERDA understands that many planning type initiatives may not have direct carbon emission reductions attributable to the initiative. Please respond to this objective based on either indirect or directly quantifiable carbon reductions based on the type of initiative proposed.
- *Does the initiative provide a quantifiable reduction of carbon emissions? If so, provide the numbers and explain the methodology used to calculate the reduction.*
 - *How does the initiative support and promote smart land use and growth principles?*
 - *How does the initiative directly or indirectly reduce energy consumption or provide strategies/policies to achieve reductions?*
 - *How does the initiative directly or indirectly increase deployment of renewable energy or provide strategies/policies to achieve increased deployment of renewable energy technologies?*
 - *In what ways will the initiative modify or inform current policies or programs that may create barriers to energy use reduction or renewable energy deployment?*

Category 2 Examples of Eligible Project Types

Please see the PON3106 – Category 2 Required Steps and Project Types document, which can be found on the [CGC Guidance Documents](#) website that outlines high-level hypothetical project descriptions to provide some examples of what NYSERDA considers “eligible” project types under Category 2. The hypothetical project type descriptions are not exhaustive, are not a list of preferred project types, and are intended only to provide an additional level of clarity. Applications for project type examples included are not guaranteed to receive funding and will be evaluated according to the aforementioned criteria along with every other application. Please contact CGC@nyserda.ny.gov with any questions.

CATEGORY 3: COMMUNITY-SCALE SUSTAINABILITY PROJECTS

Funding Available: Up to \$25 million

Category 3 Project Eligibility

Category 3 projects must fit into one of the two following descriptions. Research and development activities are not eligible.

1. Showcase or anchor construction projects that deliver one or more key elements of a defined sustainable neighborhood development effort. To be eligible, the effort must: (i) be either a project(s) identified as part of an approved neighborhood master plan that consists of several buildings OR an actual development project that consists of several buildings; (ii) meet prerequisites (see prerequisites below) for smart location, walkable streets, compact development, neighborhood connections, and green infrastructure and buildings; AND (iii) demonstrate that the project strategy has the potential to lead to replication or other spill-over effects.

Prerequisites for showcase or anchor construction projects:

A. SMART LOCATION

- a. Reinvests in existing neighborhoods, connects to adjacent development, is served by transit or neighborhood amenities, or cleans up a contaminated site
- b. Avoids habitats for endangered species or creates a habitat conservation plan
- c. Avoids wetlands and leaves a buffer of at least 100 feet
- d. Avoids prime agricultural land
- e. Avoids floodplains

B. WALKABLE STREETS

- a. Includes public-facing building entries (other than a parking lot) on 90% of building frontage
- b. Includes a minimum of 15% of street length with building-height-to-street-width ratio of at least 1 to 3
- c. Includes a minimum of 90% of street length with sidewalks
- d. Includes no more than 20% of street length with garage doors

C. COMPACT DEVELOPMENT

- a. Provides at least 7 dwelling units per acre for residential
- b. Meets a minimum 0.5 floor-area ratio for non-residential

D. NEIGHBORHOOD CONNECTIONS

- a. Includes streets or pathways into the development at least every 800 feet
- b. Includes at least 140 intersections per square mile
- c. If the project has no internal streets, is surrounded within a ¼ mile by an existing street network of at least 90 intersections a square mile

- d. Provides for bicycle paths and bicycle parking
- E. GREEN INFRASTRUCTURE AND BUILDINGS
 - a. Targets making 90% of building square footage a minimum of 10% more efficient than the energy code
 - b. Targets reducing water usage 20% over baseline requirements or use
 - c. Uses a green building rating system to certify at least one project building

For more detail regarding how to meet these pre-requisites, please reference the U.S. Green Building Council's Leadership in Environmental and Energy Design (LEED) for Neighborhood Development rating system¹.

2. Innovative projects or programs that either: (i) facilitate, develop, or expand a private-sector business model targeting delivery of community-wide clean energy services or sustainability projects as described in number 1 above; OR (ii) utilize innovative and well integrated community engagement or aggregation strategies to accelerate community-wide demand for clean energy projects or services. Eligible applicants must demonstrate their program's ability to affect or deliver impact at community scale, and how their program will facilitate the development of self-sustaining mechanisms for the applicable clean energy installations or services, or sustainability projects as described in number 1 above. Eligible project strategies or measures must reduce GHG emissions, and include, but are not limited to, the types described below:
 - A. Implementing an innovative financing mechanism
 - B. Implementing an innovative outreach or aggregation strategy
 - C. Providing *scalable* technical assistance services addressing specific market barriers
 - D. Other innovative projects or programs that break down market barriers

NYSERDA anticipates awarding projects that are innovative and transformational in their contributions to advancing sustainable development; thereby creating direct community benefit and reduction of carbon emissions. All projects must also support energy efficiency, renewable energy, or carbon mitigation. Projects for which the main goal is to increase deployment of Electric Vehicles (EVs) in New York State are eligible for bonus points.

Applicants must request \$500,000 to \$3,000,000 of NYSERDA funding per project. NYSERDA may make award offers at amounts lower than those for which the applicant proposed, pursuant to the scope and merit of the proposal received, but will not make awards less than \$500,000. NYSERDA, in order to avoid double-funding projects or measures within projects, may also adjust awarded funding amounts at any time based on new information regarding other secured project funding. A minimum cost-share of 25% of the total project cost is required. For example, if an applicant requests \$750,000 from NYSERDA, the applicant must commit a minimum cost share of \$250,000, for a total minimum project cost of \$1,000,000. The applicant cost-share and the NYSERDA share must contribute to the same project or tasks within the project intended to reduce carbon emissions, promote energy efficiency, or increase use of renewable energy. All demonstrated cost-share must be confirmed by signed commitments from contributing parties. Other NYS funding sources, including other NYSERDA funding, shall not count toward the proposer's cost-share. Cost share may include private equity or grants, loans, in-kind or volunteer services documented in dollar value, or other non-NYS government funding sources. For the purposes of this solicitation, "NYS government funding" is defined as a grant or an incentive that is received from a NYS governmental entity. This funding cannot be counted as any portion of the applicant cost-

¹ <http://www.usgbc.org/resources/leed-neighborhood-development-v2009-current-version>

share. For the purposes of this solicitation, annual NYS funding going toward standard operating costs for an organization is not considered “NYS government funding.” A retainage equal to 10% of the NYSEDA award will be withheld throughout the project and will be payable upon project completion and acceptance by NYSEDA of all required reporting.

Applications will be evaluated against one another based on the degree to which the project supports the criteria outlined in the section of this document entitled “Category 3 Selection Criteria.” Applicants may not commence work on any portion of the project until there is a fully executed contract with NYSEDA. This shall include any activity funded by NYSEDA or other activity included as part of the proposed applicant cost share. Projects must be ready to commence within three months of contract execution and should be complete within three years of contract execution. Applicants are required to append a proposed scope of work, including a budget and project timeline, with their application. Applications that do not include the required appendix with complete information in the format requested will be deemed ineligible. Applicants must also agree, or provide written exceptions, to NYSEDA’s standard contracting Terms and Conditions, which can be found on the [CGC Guidance Documents](#) webpage. NYSEDA reserves the right to condition awards pending applicant acceptance of industry-appropriate or other NYSEDA program equipment performance, measurement and verification, or commissioning requirements that are not specifically outlined in this guidance document. Applicants with projects that contain measures that are eligible for existing or upcoming NYSEDA programs will be required to meet the performance specifications outlined in those programs. NYSEDA may reach out to applicants via email with specific follow-up questions after reviewing proposals. Should NYSEDA request additional information, applicants will have five business days to respond in order for that information to be considered in the evaluation process.

Category 3 Ineligible Projects

Projects must meet eligibility requirements outlined in the section of this document entitled “Category 3 Project Eligibility.” The following project types or measures are **NOT** eligible for Category 3 funding:

- Projects or measures within projects that are required by law or regulations
- Projects that have an aggregate adverse effect on indoor or outdoor air quality, carbon emissions, or public health in general
- Development, implementation, or funding of outreach, education, or technical assistance programs targeting municipal or other local governments that are not services being targeted under the below referenced Communities Local Support Framework preferred project type under this category.
- Natural gas, electricity, or other “fuel distribution or supply lines” including, but not limited to, gas pipelines and electricity lines. For the purposes of this solicitation, combined heat and power systems and district energy systems are not considered “fuel distribution or supply lines”
- Design and construction costs for projects comprised of only residential buildings consisting of between one and four units
- Research and development (R&D) or commercialization efforts for products, processes, or other activities
- Biomass heating or biomass energy generation equipment that combusts or gasifies any fuel other than premium wood pellets. Premium wood pellet biomass measures are eligible, but must comply with NYSEDA’s CGC Biomass Heating System Program Requirements, which can be accessed at the [CGC Guidance Documents](#) webpage. For the purposes of this solicitation, landfill gas energy generation equipment, bio-digesters, and the fuels produced as a result of their processes, are not considered biomass. Projects that duplicate or exceed the incentives available under the Renewable Heat NY Program are ineligible for funding under this solicitation. District heating biomass projects are eligible

but either must include a completed thorough feasibility study (if requesting funding for implementation) or request funding for completion of a thorough feasibility study (if requesting funding for design).

- Costs of consumables, including, but not limited to, fuels such as gasoline, wood pellets, fuel oil, and biodiesel
- Projects consisting of a single building that is not part of a larger (multiple buildings) approved community or neighborhood plan
- Projects focused on the installation of a single technology into a building or site
- Research studies

Category 3 Application Process

Applications will be accepted through the [Consolidated Funding Application \(CFA\)](#). Applications for Category 3 are due by 4:00p.m. Eastern Standard Time on July 31, 2015. It is expected that resulting awards will be announced in Fall 2015. A separate CFA must be completed for each unique project.

Category 3 Selection Criteria

Projects will be scored and awarded on a competitive basis. No project, region, or applicant is guaranteed funding. No one project, region, or applicant may receive more than 25% of available Category 3 funding. NYSERDA may condition awards upon applicant acceptance of requests for minor modifications to project scopes to ensure that CGC Program goals are met. NYSERDA's selection criteria are based on the program objectives outlined below with a total number of points allocated to each.

- Stimulate Market Transformation (15 possible points)
- Support Clean Energy and Sustainable Development Projects or Services (15 possible points)
- Create Regional and Community Benefit (10 possible points)
- Leverage CGC Funds (10 possible points)
- Reduce Carbon Emissions (20 possible points)
- Preferred Eligible Project Types (5 possible points)
- Electric Vehicle Market Development Project Types (5 possible points)

Because proposals will be submitted through the CFA process, the REDCs will score projects based on consistency with their respective Regional Strategic Plan and the relative level of priority. The REDCs will provide 20% of the total score. NYSERDA will convene a Technical Evaluation Panel (TEP) to review and rank eligible proposals for technical merit pursuant to the project selection criteria noted below and to assign the remaining 80% of the score. NYSERDA reserves the right to adjust awards based on statewide portfolio or regional distribution needs. Under each program objective area is a set of questions to provide guidance in responding to the program objective. Applicants do not need to respond to every guiding question and are encouraged to use other descriptions to demonstrate how their project meets each objective.

1. Stimulate Market Transformation (15 possible points)

- *Does the project include the application of an innovative or new approach to projects in the region or state of a comparable size and type?*
- *Does the project apply best practices or technologies from other regions or states that are not readily applied in the region or NYS? If so, give examples that are being duplicated.*
- *Does the project create the potential for replication and transfer to other regions or locales to create the potential for larger scale impact? To what extent does the proposer document the potential for replication?*

- *How will the project be promoted or used as an educational opportunity to transfer knowledge and stimulate future projects of this type?*
 - *Does the proposal identify the anticipated market barriers, infrastructure deficiencies, and/or regulatory issues and propose solutions for how they will be overcome?*
 - *Is a new technology, system, practice, method or approach being introduced?*
 - *Is the project a demonstration or pilot that has not been attempted previously?*
 - *What efforts have been taken to assess and reduce risk during implementation?*
 - *Is the project inspirational in that it will engage and excite stakeholders or stimulate action by others?*
 - *Will the project be ready to begin within 3 months of contract execution? Provide a status of necessary approvals and documentation of any entitlements received.*
- 2. Support Clean Energy and Sustainable Development Projects or Services** (15 possible points)
- *Are new methods of sustainable design and construction being applied or introduced through the project?*
 - *Are new or advanced clean energy technologies being applied or introduced to the community? e.g. LED street lighting and electric vehicles.*
 - *Are sustainability and resiliency criteria included in the project? If so, provide references for sources or standards being utilized and why they were chosen.*
 - *Does the project support and promote smart land use and growth principles?*
 - *Has the project applied LEED ND or other equivalent sustainability rating systems? Include a summary of the score sheet results with an explanation on how it was derived.*
 - *What features or strategies used in the project respond to regional Sustainability Indicators?*
 - *If subcontractors are to be used for the project how will they be selected to ensure they have the required expertise to address issues of sustainability? e.g., credentials, certificates or other specialized training or project experience. Please note that if the applicant intends to select a subcontractor after an award by NYSERDA, then the applicant must follow NYSERDA's subcontracting requirements as detailed in Article V of the Sample Terms and Conditions, which can be found on the [CGC Guidance Documents](#) webpage.*
- 3. Create Regional and Community Benefit** (10 possible points)
- *To what extent has the proposer demonstrated that the project will support economic development in the region or all applicable regions if a project overlays more than one REDC region?*
 - *How will the project provide direct economic benefit to the region? i.e., jobs creation or retention, retention of local dollars through export substitution, increase income levels, new local dollars generated.*
 - *To what extent has the proposer discussed the current state of the supply chain as well as anticipated changes in the next 6 to 12 months?*
 - *To what extent has the proposer described targeted activities as well as anticipated changes in the next 6 to 12 months?*
 - *How will the project provide direct social value to the region? i.e., retention of cultural or historical assets, vulnerable populations addressed, improved access to community assets, expand educational opportunities, etc.*
 - *How will the project provide direct environmental value to the region? i.e., enhance and protect natural assets, green infrastructure, and restoration of ecological assets.*
 - *How will the affected community be engaged in the planning and communications process for the project?*
 - *Does the project provide benefits to a culturally diverse population that is inclusive of varying income levels, vulnerable populations, and mixed age populations?*

- *Is there local support for the project? What approvals have been secured? Please provide letters of support.*
- *Does the project align with the applicable Regional Sustainability Plan? What goals or Sustainability Indicators are being addressed?*
- *Does the project demonstrate an integrated approach with benefits across several areas of the project?*
- *What efforts will be made to transfer knowledge and educate the broader community and region about the project?*
- *Is the project located in a Climate Smart Community, a Certified Climate Smart Community, an environmental justice area, a brownfield opportunity area, REDC Opportunity Agenda Area, or other relevant special areas?*
- *Is the project included in a NY Rising Community Reconstruction Program Plan or a NY Rising Countywide Resiliency Plan? (For more information, please visit: <http://stormrecovery.ny.gov/community-reconstruction-program>)*

4. Leverage CGC Funds (10 possible points):

- *How will CGC funds fill a unique project funding gap that cannot be filled through other means?*
- *What is the total project cost and what assumptions have been applied to develop this cost? i.e., is it based on actual bids, and comparable projects?*
- *What other funds (document both NYS government and non-NYS government funds) will be applied to this project and for what components? A minimum of a 25% non-NYS government funding cost share funding must be documented. Please see the “Example Funding Breakout” below for one way a project may submit.*
- *What type of in-kind support will be provided and what is the estimated dollar value?*
- *What type of volunteer support will be provided and what is the estimated dollar value?*
- *How will this initiative leverage private investment dollars?*
- *How cost-effective is the initiative? i.e., what is cost per metric ton of carbon reduced (calculated as CGC Investment \$ per GHG Savings (MTCDE / year)?*

5. Reduce Carbon Emissions (20 possible points):

- *Does the project provide direct reduction of carbon emissions? What is the amount of reduction and how was it calculated?*
- *How does the initiative directly reduce energy consumption? What is the amount of reduction and how was it calculated?*
- *How does the project provide renewable sources of energy? What is the amount of renewable energy supplied and how was it calculated?*
- *Do the project plans include methods for evaluating the anticipated reduction in energy use and carbon emissions?*

6. Preferred Eligible Project Types (5 possible points)

- *Does the project fall under one of the preferred eligible project types in this solicitation?*
- *If so, to what extent has the applicant demonstrated that the project will meet the goals identified under that preferred eligible project type?*

7. “Electric Vehicle Market Development” Project Types (5 possible points)

- *Does the project fall under the preferred project type “Electric Vehicle Market Development?”*
- *If so, to what extent does the project include innovative solutions that will stimulate and expand the market for electric vehicle purchases in New York State?*

- *What will be the cost per new electric vehicle purchase generated by this project?*
- *How many new electric vehicle sales will result from this project?*
- *EV Market Development projects should expand EV adoption by using NYSERDA funds in a cost-effective manner. Successful projects will leverage significant private funds to match NYSERDA funds and should be able to demonstrate increased EV sales in the three years following the award. To be considered cost-effective, the proposed project should be able to generate additional new EV sales at a rate of one battery electric vehicle or more per \$3,000 of NYSERDA funds, or one plug-in hybrid vehicle or more per \$1,500 of NYSERDA funds.*

Category 3 Examples of Eligible Projects

Preferred eligible project types:

The following project types outline what NYSERDA considers preferred “eligible” project types under Category 3. Although applications for these project types are not guaranteed to receive funding, they will be evaluated according to the aforementioned criteria along with every other project application and given preference over project types not listed in this section.

Electric Vehicle Market Development:

This preferred project type includes innovative solutions that will complement and not overlap with existing efforts stimulate and expand the market for electric vehicle purchases in New York State. For more information on NYSERDA’s current efforts in electric vehicle market development, please visit

<http://www.nysesda.ny.gov/chargeny>. Potential examples of initiatives or projects under this category include:

- Community-based electric vehicle purchase incentives: Funding for the design and implementation of a program to reduce the purchase cost of electric vehicles to end-users and generate a sustained increase in demand for electric vehicles. This would involve development of a program to increase awareness, engage stakeholders, and offer incentives to market participants including municipalities, private companies, and/or residents. In their application applicants should detail their strategic approach for how this type of initiative can be implemented to increase electric vehicle sales in a cost-effective manner. Potential strategies could include:
 - Incentives for consumer EV purchases paired with a multi-stakeholder, consumer-focused marketing and educational campaign and an effort to increase charging station access;
 - Community-based aggregation of electric vehicle purchases that raises consumer interest in electric vehicles through grassroots marketing and brings down the price of the cars for individual consumers through economies of scale;
 - Bulk electric vehicle purchasing collaborative for public and/or private fleets;
 - Employers offering incentives to employees for purchasing electric vehicles coupled with the installation of charging stations at the business location for employee use; and
 - Dealer engagement initiative to generate more widespread marketing of EVs and offer incentives to car dealers for selling more EVs.
- Model Electric Vehicle (EV) Communities or Regions: Applicants can apply to design and implement a model EV community or region project to offer a suite of incentives and services to accelerate the purchase of EVs in their community. These incentives and services can include: free parking for electric vehicles; reduced or free charging of electric vehicles at public charging stations; incorporation of EVs into car sharing fleets and public transit fleets; collaborative events with stakeholders such as employers, car dealers, and non-profits; integration of EVs into public and private fleets; and installation of new public charging stations. Applicants must include signed letters of support from the local government or local governments (if project targets several local governments) included in the project application.

Low-to-Moderate Income (LMI) Innovative Solutions

This preferred project includes innovative solutions that will complement and not overlap with existing efforts, including initiatives administered by NYSERDA, other New York State agencies, and utilities and serve as a pilot for potential expansion statewide for initiatives that show promise for increasing energy affordability and access to energy efficiency and clean energy solutions for LMI households and communities. Potential examples of initiatives or projects under this project type include:

- Affordability strategies, such as oil to gas conversions on a community scale or bulk fuel purchases for low-income consumers: municipalities can access the Empire State Purchasing Group bid system for bulk fuel purchases. Local governments could include fuel purchases for Home Energy Assistance Program (HEAP) recipients, with the procurement of municipal fuel purchases, thus decreasing the commodity cost and stretching the HEAP dollars. A bulk fuels purchase pilot should include strategies that offset greenhouse gas emissions associated with the bulk fuel source;
- Minimum efficiency standards for low-income rental housing (e.g. Housing Choice Voucher program): Under this project type, applicants could work with local governments and/or applicable state and federal affordable housing program administrators to establish energy efficiency standards for these units; and
- Aggregation or other innovative strategies to increase access to energy efficiency and clean energy services for LMI households and communities.

K-12 schools program

This preferred project includes innovative solutions that will complement and not overlap with existing efforts for K-12 schools, including initiatives administered by NYSERDA and other New York State agencies, such as the [K-Solar](#) Program. K-12 schools are a key element of a community and local governments should work together with these institutions to leverage clean energy education to community residents. Potential examples of initiatives or projects under this category for communities to work with K-12 schools include:

- Anchor Demonstration Projects: Funding available for implementation of energy efficiency and renewable energy projects at the school. This funding would include funding for educational components, such as educational kiosks and a plan for education and outreach on the benefits of the technology/project to the school and local community. This would allow the school to demonstrate the benefits of the technology implemented so that it can serve as an educational component for the school as well as the local community.
- Energy Manager and Energy and Sustainability Master Plan: Funding available for a sustainability and energy manager who would be charged with developing an energy and sustainability master plan for the school, tracking energy performance against goals defined in the master plan, and developing curriculum for energy and sustainability classes to be taught at the school, which could include student participation in identifying opportunities for energy improvements.

Communities Local Support Framework

The New York State Communities Partnership (NYSCP) is New York State's new, unified approach to driving clean energy action and energy literacy in local governments and communities across the state. As an inter-agency effort administered by NYSERDA, the NYSCP will streamline municipal and community access to currently diffuse state energy programs, resources, and tools. By working closely with municipalities, local partners, community organizations, and market actors, the NYSCP will leverage whole-community involvement in clean energy deployment, scaling the penetration of cost effective energy actions across the state. Under this preferred project type, NYSERDA seeks proposals from qualified organizations to provide regionally-based education, customer relationship services, and technical assistance to communities in support of the NYSCP as Regional Support Contractors (RSCs). Services to be provided by projects awarded under this project type may include, but not be limited to:

1. Increase participation in NYSCP related programs and initiatives.
2. Engage Local Partners that increase NYSCP's outreach and education in the Territory.
3. Assist communities with accessing other local, state and federal resources to assist in the execution of projects. Act as an ombudsman, assisting municipalities by facilitating introductions to community business development partners, investors or other agents of business growth and development.
4. Provide technical assistance and consulting services to communities undertaking advanced and high impact energy actions and projects. Examples of technical assistance services include:
 - a. Develop and customize existing templates, workbooks, checklists, and other guidance documents for communities to use to undertake activities and projects;
 - b. Meet with communities to assess clean energy progress to date and develop a plan prioritizing the next, most impactful step(s) or action(s);
 - c. Provide on-demand, but limited, technical support including, but not limited to, expert land use planning advice, assistance with basic energy efficiency and emissions calculations, explaining benefits of certain actions or projects in more detail.
5. Assist communities with becoming Climate Smart Communities (CSCs) and with CSC Program Certification.
6. Conduct consumer marketing and education about NYSCP programs to educate community leaders, business owners, and the general public on the benefits of energy efficiency and renewable resources.
7. Reporting and data management.

Applicants must apply to provide services in a minimum of three contiguous [Economic Development Regions](#) as defined by Empire State Development, with the exception of Long Island and New York City that can be its own combined service territory. Regions include: North Country, Capital District, Mid-Hudson, Long Island, New York City, Mohawk Valley, Southern Tier, Central New York, Finger Lakes and Western New York. More detail on this example project type, including potential services to be provided can be found in the Category 3 Example Statement of Work found on the [CGC Guidance Documents](#) website.

Other example eligible project types:

The following hypothetical project descriptions provide some examples of what NYSERDA considers “eligible” project types under Category 3. The hypothetical project descriptions below and additional list of project types that follow are not exhaustive, are not a list of preferred project types, and are intended only to provide an additional level of clarity. Applications for project examples or types included are not guaranteed to receive funding and will be evaluated according to the aforementioned criteria along with every other project application. Please contact CGC@nyserda.ny.gov with any questions.

LED Streetlights Community Aggregation Project

Organization XYZ is planning to work with the Villages of Model and Trial, the Town of Sample, the City of Sample, and the City of Example to implement an innovative group purchasing initiative for LED Streetlights. All communities either already own their streetlights or are planning to work with Utility ABC to take advantage of a newly launched LED rate tariff. Organization XYZ will work with Engineering Firm, PC, which specializes in lighting, to undertake a detailed inventory of all streetlights and to conduct a thorough Feasibility Study to determine if an LED streetlight conversion is desirable and economical in each community. For all communities with positive results from the Feasibility Study, Organization XYZ will work with Engineering Firm, PC and representatives from each of the communities to design a Request for Proposals (RFP) to solicit a qualified firm to install LED streetlights in each community, including final lighting design work. The RFP will include detailed requirements regarding different streetlight fixture specifications (maximum lumen out, color rendering, color temperature, uniformity, glare, etc), desired lighting controls (dimmiability, emergency notification capabilities, etc), energy savings, and minimum investment payback periods. Organization XYZ will also work with Sample Financial Institution on behalf of the municipalities to design and secure a financing option that will allow each of the participating communities to maintain their current operational budgets and services without increasing taxes for their residents.

Neighborhood Watershed Green Streets Project

Example Neighborhood lies on a slope that backs into Example River and was built in the early 20th-century with a combined sanitary and stormwater sewer. A wastewater treatment plant abuts the river, treating sewage water before releasing it. The growing intensity of summer storms in recent years has caused an increase in both upstream sewer back-ups and direct overflow discharge into the river. This has resulted in recurring damages to public and private property, endangers human safety during and immediately after storms, and may be placing Example Water District at risk of a lawsuit for violating the Clean Water Act. As part of the recently completed Example Neighborhood Master Plan, which has achieved Stage 1 LEED ND certification, the District has put in place a plan to reduce the total load and peak loads on the sewer system and the treatment plant by installing green street features such as planted swales and connected vegetated detention basins. The plan also includes a program to assist homeowners who install green roofs and rain gardens on their property. Load reductions at the Wastewater Treatment Plant are expected to result in up to a 50% reduction in energy use for water treatment. Example Water District has partnered with Green Development, Inc. to seek assistance from the Cleaner, Greener Communities program for \$1.5 million of this \$6.25 million project, part of which will be covering green street features in upstream parts of the Neighborhood. The NYSERDA funding would support the green street feature development on two residential blocks and on a group of recently approved mixed use developments spanning 40 acres. The cost of construction for the new mixed use building developments is being paid for by Green Development, Inc. NYSERDA would also support the installation of energy improvement covering the incremental cost of installing LED street, path, and area lighting in the affected areas. This NYSERDA work would include the stormwater structures and rain gardens associated with the street layout and construction. Green Development would pay for the construction of the roads, improved pedestrian amenities, renovations to the buildings, and the stormwater conveyances to connect the green infrastructure for drainage; and connections for rooftop drainage to the new stormwater infrastructure. The Green Development group has identified two other sites in nearby Example 1 City and Example 2 City that have Brownfield Redevelopment Areas currently nearing completion of remediation for which the same type of development would be applicable. If successful, they intend to replicate the development described in the Example Neighborhood Master Plan at these two additional locations as well as undertake a statewide marketing campaign showcasing the benefits of the additional green project features.

Rooftop Solar Power Systems for Low-Income Housing Redevelopment Project in a High-Priority Area

Example Community Developer seeks funding to help develop an abandoned 10-acre site into a mixed-use community featuring 300 rental apartment units with commercial space on the ground floor of all buildings. 35% of the units will be affordable housing and the rest will be rented at market rate. The site is located in a U.S. Department of Housing and Urban Development designated Qualified Census Tract making the Developer eligible for the Low Income Housing Tax Credit. As part of efforts to control costs for low-income residents and to enhance the quality of life for all residents, Developer intends to integrate enhanced pedestrian and public transportation amenities, such as wide sidewalks, pedestrian signaling, covered bus shelters and additional bus stops, on site water recycling, rooftop community gardens, energy efficiency, and technologies including solar thermal systems and solar photovoltaic panels. A gap analysis completed by Green Consulting Firm using the LEED ND rating system identified these project elements as opportunities to help the project achieve certification. However, the added cost of energy efficiency and green design features is difficult to include in low income housing. Developer has applied separately for other NYSERDA and US Department of Energy funding for the extra costs of energy efficiency design features. Preliminary design studies have estimated the total incremental cost of wider sidewalks, enhanced pedestrian signaling, and increased bus stops, which will increase pedestrian activity and reduce vehicle miles traveled in the area, at \$1 million. Developer is seeking \$750k in assistance from the Cleaner Greener Communities program for these amenities and will provide the remaining \$250k in sub-contracted services paid for by Developer. The total cost of the full construction project, including all building construction and enhanced energy and sustainability features, is estimated at \$20 million. As part of the LEED ND gap analysis, Green Consulting Firm determined that the project, as designed, meets all prerequisites for the program. Developer has registered the project and, pending the results of an updated cost-benefit analysis by the same firm, plans to pursue LEED ND certification for the project.

Sustainable Community Rent-to-Own Project

Low to medium income homes are often in older buildings that are not energy efficient. New, energy efficient homes are often out of reach financially for this population. Project Developer is seeking funding to finance construction, marketing and initial operation of a new, mixed-use rent-to-own condominium project in Example City. Project design, site acquisition and zoning permits have been completed for a 2-acre infill site that would feature 60 apartment units of varying size and 5,000 square feet of retail space. The proposed design has received Stage 1 LEED ND Conditional Approval, including points for planning of infrastructure energy efficiency, water efficiency, and on-site renewable energy production and water recycling. Under the Developer's proposed business model, a specially-created housing corporation would own and manage the apartments, retail space and landscape. Residents would be selected on income-based criteria, and would "purchase" an apartment with no money down and an agreed monthly rent payment, where a portion of each month's rent goes to paying for a predetermined "sale price". The buildings have been designed at a cost that enables the monthly rent for a unit not to exceed 30% of area median income for a family of four. Once total rent payments on a unit match the "sale price," the renter becomes a full owner and shareholder in the housing corporation, with the same rights as a condominium owner.

The project includes the following features:

- *60 apartment units for low to middle income households*
- *5,000 square feet of retail space to provide walkable access to neighborhood services and jobs*
- *Stage 1 LEED ND conditional approval will plan for reduced energy/emission footprints of the development*
- *Innovative financing plan to facilitate home ownership by low/medium income heads of households*

Arrangements have been made with Example Local Bank so that renters can obtain mortgages to become full owners once their total rent payments are equal to the previously agreed upon sale price. Project Developer is seeking a \$5 million grant from the Cleaner Greener Communities program to leverage a \$100,000 from the NYS Department of State Community Development Block Grant program plus Project Developer's initial \$2 million investment and to meet Example Local Bank's requirements for an \$8 million loan that will enable construction to begin within 3 months. Project Design is built on a scalable model to enable similar projects on sites 1 to 5 acres in size, and if successful Project Developer intends to reproduce this model on up to 5 pre-identified sites in Example Region and to showcase the design at industry trade shows at the state and national level.

Local Smart Grid Improvement Service

Example Utility has expressed a desire to strengthen grid capacity while reducing fossil fuel use at power plants and enabling customers to produce small-scale renewable energy using solar panels. However, due to stagnant revenue and outstanding debt, Example Utility does not have the capital to fully finance improvements that would allow the injection of excess power produced by homes and commercial buildings into a smart grid. If improvements were implemented, customers could receive discounts on their power bills based on injected power, providing a powerful incentive to install small-scale renewable energy production solutions on buildings. Example Renewable Energy Services, LLC (ERES), an electrical equipment and construction contractor based in Example City, NY, proposes to fill the gap by implementing smart grid improvements in targeted areas and sharing a portion of the resulting electricity bill discounts with customers who install new renewable power production capacity on their property. ERES seeks a \$900,000 grant from the Cleaner, Greener Communities program, matching a \$300k commitment from Example Utility, in order to launch this project in Example Pilot Area. As part of this project a formal, binding agreement on payments for renewable power production will be developed between Example Utility, ERES, and local property owners. The total project cost is \$1.2 million. If successful, ERES will scale this project to offer grid improvement services to utilities throughout New York State, without the need for any additional NYS subsidies.

Category 3: Example Funding Breakout

In the first hypothetical Category 3 example above, the applicant is proposing a \$6,250,000 project that is seeking \$1,500,000 from NYSERDA to help fund \$250,000 in engineering fees and an additional \$1,150,000 for the installation of energy efficient lighting, rain gardens, rooftop gardens, drainage conveyances, and appurtenant structures to lower energy use and reduce the discharge of water to a combined sewer system. The cost breakout is provided in the budget table below. The Community Master Plan focuses on the components of a complete neighborhood plan consistent with LEED-ND goals. An engineering supplement will provide plans for the construction of the stormwater structures, and the project will conclude with the actual construction of the lighting and the infrastructure required to connect the rooftops and street drainage to rain gardens.

Category 3: Example Schedule

A schedule, presented as a table or chart, should highlight the anticipated period of performance for each task, and key milestones should be displayed. A simplified example follows the funding breakout below.

Example Budget Disclosure

Project Component	Cost Share	Cost-Share Description	Other Funding	Other Funding Description	NYSERDA/Cleaner, Greener Communities Share	NYSERDA-Share Description	Total
Purchase and installation of LED street, path, and area lighting (incremental cost vs. traditional lighting)	\$20,000	Direct cash contribution from Example Community	n/a	n/a	\$200,000	NYSERDA funding will pay for remaining incremental cost of lighting fixtures	\$220,000
Engineering design	\$75,000	Sub-contracted Engineering support from the Example Water District, including utilization of the District's on-call engineering firm	n/a	n/a	\$150,000	NYSERDA funding will pay for the remainder of the engineering consulting	\$225,000
Construction of rooftop and rain garden infrastructure and connections to stormwater retention devices	\$0	n/a	\$155,000	Grant from New York State Department of Environmental Conservation	\$900,000	NYSERDA to pay for green infrastructure construction	\$1,055,000
Community redevelopment aid for porous pavement, renovations of old buildings, and district co-gen system	\$4,500,000	All construction of pavement, building renovations, purchase of energy equipment, and open space improvements will be paid by the District with a grant that has been approved by HUD.	n/a	n/a	\$250,000	NYSERDA funding will pay for the design and installation of the energy system renovations in existing buildings to ensure compatibility with the new district co-gen system.	\$4,750,000
Total:	\$4,595,000		\$155,000		\$1,500,000		\$6,250,000

Simplified example schedule

Project Task	Q1/Y1	Q2/Y1	Q3/Y1	Q4/Y1	Q1/Y2	Q2/Y2	Q3/Y2	Q4/Y2	Q1/Y3	Q2/Y3	Q3/Y3	Q4/Y3
Contract Executed / Completed												
Task 1: Project Administration, reports												
Task 2: Site plans and permitting												
Task 3: Construction												

SUSTAINABILITY INDICATORS

Anticipated benefits associated with CGC II projects under Categories 2 and 3 should be measured, to the extent feasible, using statistics tracked by sustainability indicators outlined in every Regional Sustainability Plan. Each successful applicant shall, throughout the course of the contract with NYSERDA, collect the required metrics described in the attached Project Benefits Metrics Report Template. Descriptions of these metrics are available in the Sustainability Indicator Guidance Document, which can be found on the [CGC Guidance Documents](#) webpage. To encourage consistent quantification methodology and adherence to the goals outlined in each Regional Sustainability Plan, project proposals shall also focus on sustainability indicators that were specifically targeted in the sustainability plan applicable to the region in which the project is located. Every project application must positively influence at least one sustainability indicator in its region's sustainability plan. State-wide initiatives should address at least one of the five required common indicators included in all Regional Sustainability Plans.

- Number of permanent jobs created (full-time equivalent [FTE])
- Energy cost savings/year (\$)
- Other investment (\$)
- Total energy savings by fuel type/year (million British thermal units[MMBTU]); and
- GHG savings/year (metric tons carbon dioxide equivalents [MTCDE]).

Project benefits should be estimated, with methods described in the Sustainability Indicator Guidance Document. These benefits should be reported using the Project Benefits Metrics Report Template and attached to the CFA. Both of these documents are available on the [CGC Guidance Documents](#) webpage. The benefits will be refined and demonstrated again in a final report prepared by each successful applicant at the conclusion of the project.

For more information on the Cleaner, Greener Communities Program or to reference your region's Regional Sustainability Plan, please visit <http://www.nyserdera.ny.gov/Statewide-Initiatives/Cleaner-Greener-Communities.aspx>

GENERAL CONDITIONS

Proprietary Information: Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserdera.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

Procurement Lobbying Requirements - State Finance Law sections 139-j and 139-k

NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>

The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a – NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

Omnibus Procurement Act of 1992 - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:
Empire State Development
Division For Small Business
625 Broadway
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:
Empire State Development
Minority and Women's Business Development Division
625 Broadway
Albany, NY 12207

CONTRACT AWARD

NYSERDA may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Category 2, 3 and 4 Sample Agreements to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

LIMITATION

This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement.

DISCLOSURE REQUIREMENT

The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States, and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation, or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

DISCLAIMER

Projects identified in the appendices and the content of the CGC Phase I Regional Sustainability Plans are meant to provide examples of potential ways to address the strategies identified in the reports and were submitted to the planning consortiums as part of the public outreach efforts by the consortium. These projects are in no way prioritized or guaranteed to receive funding through Phase II Implementation Funding of the CGC Program. Projects not listed in the appendices section or content of the plans will have equal opportunity to submit an application for funding through Phase II. Regardless of being listed in the plan, a CFA must be submitted in order to be considered for funding in CGC II. All projects must address the qualifications and eligibility requirements listed in this Guidance Document. NYSERDA reserves the right to issue revisions to this solicitation at any time. Any revisions will be announced and posted on NYSERDA's website at www.nyserda.ny.gov.

ADDITIONAL RESOURCES

All CGC program resources and guidelines can be found on the CGC Guidance Documents webpage at the following location: <http://www.nyserda.ny.gov/cgc>. NYSERDA may host an interactive online webinar-based information session to answer questions about this solicitation. Webinar information will be posted on NYSERDA's [CGC Guidance Documents](#) webpage. Within two weeks of the information session, NYSERDA will issue a "Frequently Asked Questions" document specific to this solicitation and will post it on this website. All other questions about this solicitation should be submitted to NYSERDA, in writing, at CGC@nyserda.ny.gov. Due to the large number of inquiries expected, NYSERDA may not be able to return phone calls.