

NYSDA 2022 OFFSHORE WIND SOLICITATION ORECRFP22-1

# Chapter 18 Appendices

Public version

Community Offshore Wind LLC  
Lease OCS-A 0539



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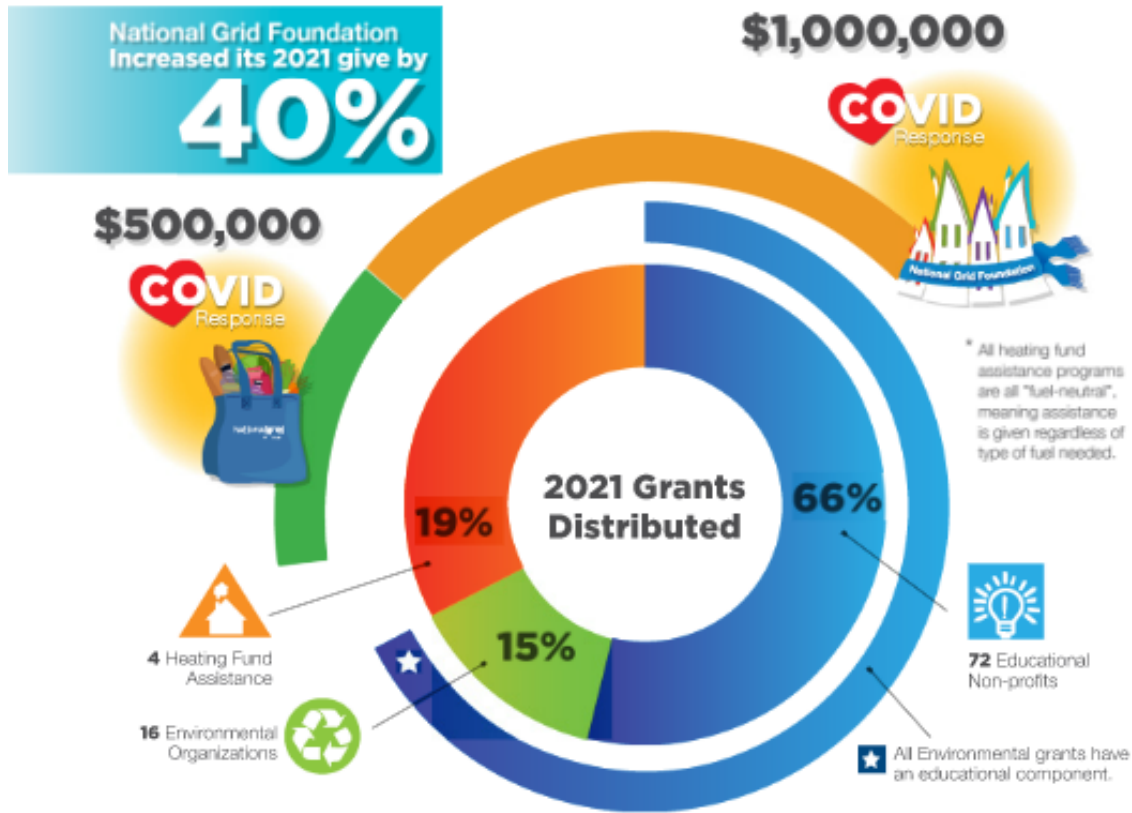
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United Way Childcare Program

## 18-1 National Grid Giving 202121

## 2021 National Grid Foundation Concentration of Giving

In 2021, National Grid Foundation supported **16** environmental organizations and **72** educational non-profits with **\$1,771,800**. Four regional non-profits which provide heating fund assistance\* programs received **\$1 million** in grants. The Foundation provided program grants and Covid relief totaling **\$3,771,800**.

National Grid Foundation concentrates its giving and support to organizations that focus on education and the environment. The Foundation also provides funding for fuel-neutral emergency heating programs.



The Foundation funds organizations that administer educational programs assisting people of all ages giving them opportunities to become more self-reliant. Classroom-based education and skills training for those in underserved communities are priorities.

Commitment to the environment also is important to the Foundation. Grants are provided to organizations that share our passion for environmental stewardship. Programs that teach sustainability of natural resources and preservation of the environment are primary projects.

## 2021 Quarterly Distribution Including Covid Response

# \$3,771,800

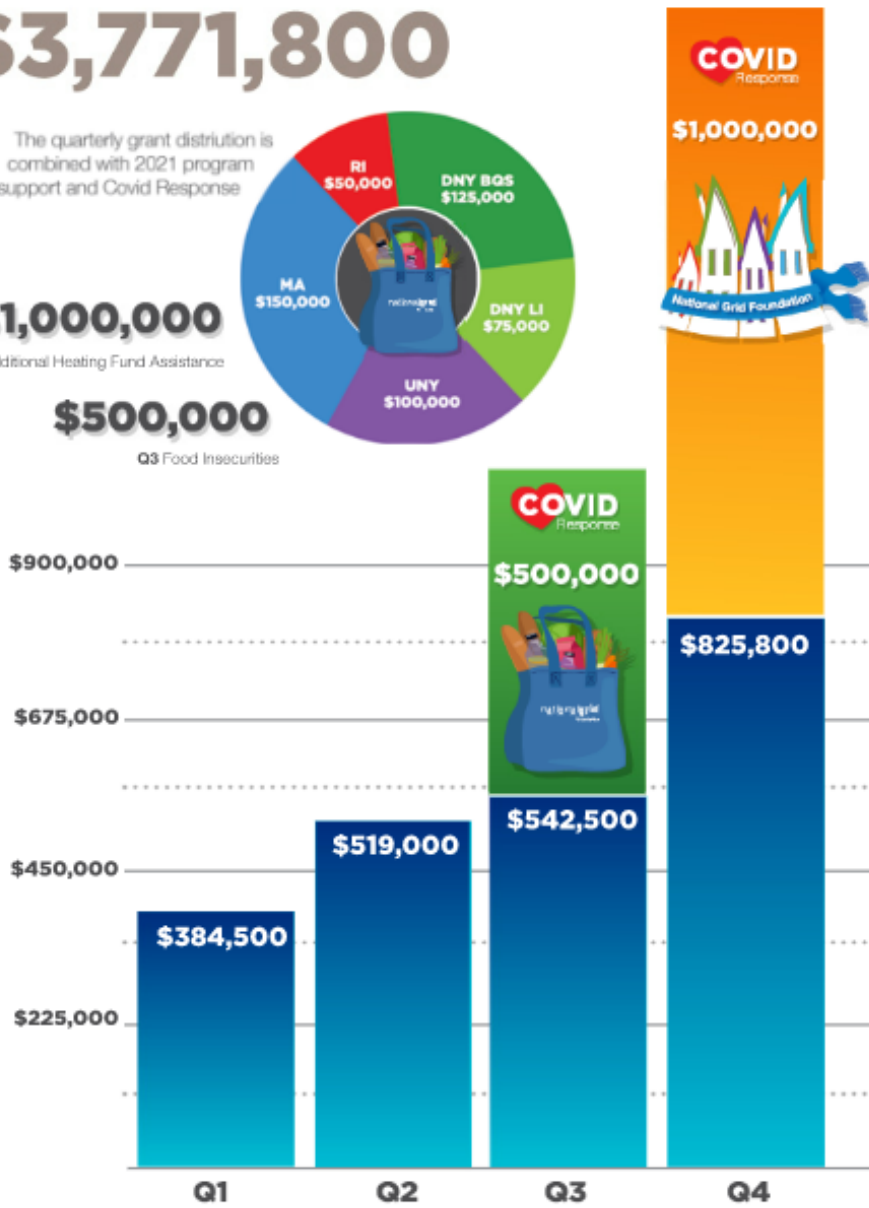
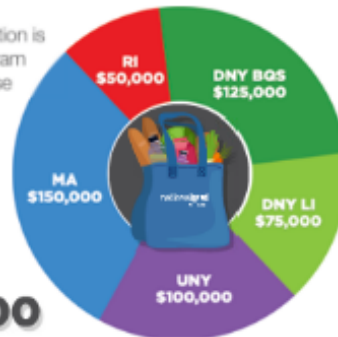
The quarterly grant distribution is combined with 2021 program support and Covid Response

**\$1,000,000**

\* Additional Heating Fund Assistance

**\$500,000**

Q3 Food Insecurities





**Case 20-E-0380 and 20-G-0381**

**Economic Development  
Grant Programs**

**ANNUAL REPORT**

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**MARCH 31, 2022**

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# I. REVIEW OF 2020/21 GRANT ACTIVITY AND RESULTS

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## 1. INTRODUCTION

Section I of the Annual Report details Niagara Mohawk Power Corporation d/b/a National Grid's ("National Grid" or the "Company") Economic Development grant program activity during the reporting period from April 1, 2020 through December 31, 2021.<sup>1</sup> In addition to the reporting period, data specific to calendar year 2021 is also provided in some instances. Future Annual Reports will be limited to the calendar year. This section also summarizes the cumulative results and economic impacts of the programs since their introduction in 2003 as part of the National Grid – Niagara Mohawk Merger Joint Proposal in Case 01-M-0075. The grant programs are now in their twentieth year of existence and currently governed by the Joint Proposal adopted in Cases 20-E-0380 and 20-G-0381. Also included in this section is a review of grant activity in terms of applications and funding, and an analysis of program impacts based on the results of a survey of grant recipients and other sources.

For reporting purposes, the programs are divided into six subject areas: Capital Investment, Marketing, Energy Solutions & Productivity, Site Development, Revitalization & Urban Development, and Pricing Programs.

## 2. SUMMARY AND HIGHLIGHTS

The 2020/21 reporting period was very active in terms of grant applications received, applications approved, and customer reimbursements. A total of 298 electric and gas grant applications were approved by the Company during the period, representing almost \$24.7 million in funding. A total of 254 electric and gas projects were completed during the period, and \$18.7 million in funds were reimbursed to customers. During calendar year 2021, the number of completed projects and funds reimbursed were 134 and \$9.4 million, respectively. Tables 1 and 2 summarize approved applications and expenditures by program during the reporting period.

On the electric side, the two active capital investment programs accounted for 18 completed projects and over \$3.7 million in assistance, more than 21 percent of total electric funds reimbursed during the reporting period. Those projects generated over \$207 million in new capital investment and helped create or retain 1,532 jobs in Upstate New York (*See* Tables 11 and 13). The **Capital Investment Incentive** program, which provides funding to offset the cost of energy infrastructure improvements for expanding commercial and industrial customers, accounted for 15 completed projects and \$3.1 million in assistance. These included major investments by customers in the agribusiness, food processing, industrial machinery, and lubricant manufacturing industries. A \$280,000 grant was provided to Time Release Sciences, enabling this Western New York packaging manufacturer to undertake a major

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<sup>1</sup> This reporting period was utilized because the Company's previous Annual Report, filed on November 2, 2020, covered the period from April 1, 2019 through March 31, 2020.



expansion at the former Bethlehem Steel site in Lackawanna. The \$33 million project is expected to create twenty new jobs and retain 103 existing employees in the region. This program also funded four agribusiness projects during the reporting period, including a new \$120 million greenhouse in Madison County and an expansion by an early-stage company in Orleans County that manufactures biological organisms for the greenhouse industry.

The **3-Phase Power Incentive** typically helps expanding businesses in rural locations that are outgrowing their single-phase electric infrastructure by funding a portion of the costs to upgrade to 3-phase service. Three projects were completed during the reporting period, representing over \$650,000 in funding. This program is also designed to help growing customers *avoid* costly three-phase conversions through the installation of alternative energy technologies. Strigo Vineyards received such a grant for construction of its new vineyard and winery complex in Lysander (Onondaga County). Strigo's investment in photovoltaics and battery storage technology allowed it to meet its full electricity requirements through a sustainable "non-wire alternative" to traditional infrastructure upgrades.

The Company's two economic development marketing programs (**Strategic Economic Development Outreach and Cooperative Business Recruitment**) are designed to support regional and local business attraction outreach and capacity-building initiatives. The two programs accounted for a combined total of 43 completed projects and \$1.6 million in reimbursed grants during the reporting period. These projects ranged from relatively small, targeted business attraction efforts for individual counties, to larger projects aimed at multi-county regions and regionally significant sites with strong development potential.

A large proportion of this funding was awarded to the regional organizations charged with developing the highest-potential sites in Upstate New York for the semiconductor and other advanced manufacturing industries. The Company has been a partner in these strategic development efforts for years, in collaboration with those regional organizations and New York State Empire State Development. These key sites include:

- **The Marcy Nanocenter (Oneida County)**. Wolfspeed (formerly Cree) is in the final stages of constructing a \$1.2 billion, 600-employee Silicon Carbide wafer fabrication facility to serve the rapidly growing electric vehicle ("EV"), telecom, and other markets. Additional growth at the Nanocenter is extremely likely, through a combination of future expansion by Wolfspeed and/or the attraction of additional new customers. Mohawk Valley EDGE, the site developer, is working with several companies who have expressed serious interest in locating at the site.
- **Science, Technology and Advanced Manufacturing Park (Genesee County)**. The "STAMP" site has been selected by Plug Power, a Latham, New York based fuel cell manufacturer, as the location for a \$290 million "green hydrogen" production facility that will primarily serve the alternative fuel vehicle markets. Like the Marcy Nanocenter, the STAMP site continues to attract serious interest from semiconductor manufacturers evaluating locations for multi-billion-dollar investments. The Company will continue to work with the site developer, Genesee County Economic Development Center, and state economic development officials on site development.

- White Pine Commerce Park (Onondaga County). This 1,400-acre property in the town of Clay is a prime location for semiconductor manufacturing due to its size, robust utility capabilities (electric, gas, water, and wastewater) and other key site requirements for the industry. The Company has supported the development and marketing of this site for over ten years, working closely with the Onondaga County Office of Economic Development, who has been spearheading the New York effort with a team that includes state, regional, local, and utility economic development representatives. Like the other New York “mega-sites,” White Pine is receiving serious attention from prospective customers, including a semiconductor manufacturer who is in the process of siting an \$84 billion chip fabrication campus that would employ over 8,000 and transform the Central New York regional economy.

National Grid’s Energy Solutions and Productivity programs continue to generate widespread customer participation and economic impact. These programs are focused primarily on existing customers in the manufacturing and agribusiness sectors, and while the grants tend to be relatively small on average their aggregate impact is impressive due to the large number of participating customers. During the reporting period these programs accounted for a combined total of 90 completed projects, almost \$1.5 million in funding, and a total of 14,036 jobs retained or created in National Grid served communities. A total of 19 **Agri Business Productivity** projects were completed in fifteen different counties during the reporting year, totaling over \$400,000 in assistance. Funding was provided for various efficiency and productivity technologies, and nine projects involved renewable energy installations at dairy farms and food processing facilities. A \$25,000 grant also was provided to a Washington County dairy farm to offset the costs of investigating and remediating a stray voltage issue that was seriously impacting milk production levels. The **Energy Efficiency in Empire Zones** program assisted one company during the year, providing \$25,000 in funding to a metals manufacturer for energy efficiency measures that would otherwise could not have been supported due to the customer’s exemption from the System Benefits Charge.

The **Manufacturing Productivity Program** (MPP) provides matching grants for “lean manufacturing” and other productivity assistance, as well as for growth-oriented projects designed to utilize excess capacity and increase top-line revenues. Delivered in collaboration with the six New York Manufacturing Extension Partnership centers across National Grid’s service territory, the MPP continues to be one of the company’s most active and impactful programs. A total of 70 electric MPP projects were completed during the reporting year, providing over \$1 million in assistance to manufacturing businesses across 17 upstate counties. Thirty-six projects were completed in Erie and Niagara Counties alone, reflecting the size and diversity of the manufacturing base in Western New York.

The Company’s site development programs provided almost \$4.2 million in grants to customers, representing 23.6 percent of total electric grant program expenditures during the reporting year. The **Brownfield Redevelopment Assistance** program, which supports the remediation and redevelopment of contaminated sites and vacant buildings, accounted for the majority of the total activity, delivering \$2.8 million in assistance to 15 projects. Eight Brownfield Redevelopment projects were completed in Erie County, including the remediation and renovation of the former Schoellkopf/Buffalo Color powerhouse. The 100-year-old industrial facility had stood vacant and deteriorating for over 20 years and has now been repurposed into an events and entertainment center. A \$300,000 grant was provided to an

Onondaga County telecommunications manufacturer in support of a major expansion they are undertaking in the City of Syracuse. The \$25 million project will revitalize several vacant buildings in an economically challenged section of the City, and the developing company has committed to training and employing local neighborhood residents to work at the new facility.

Seven reimbursements totaling almost \$680,000 were made to customers through the Company's **CleanTech Incubation** program during the reporting year, providing support for both the physical build-out and programming associated with high-tech incubator facilities. Two grants totaling \$568,000 in assistance were reimbursed through the **Shovelready Incentive** program, which provides funding for energy infrastructure engineering, planning, and installation to make targeted, high-potential development sites more marketable and attractive to prospective customers. One of these projects involves the Bradley Street Commerce Park in Jefferson County, a New York State designated "Shovel Ready" site. In addition to electric and gas infrastructure, the project also included improvements to transportation, water, storm, sewer, and communications infrastructure, which will help fast-track the development of this site.

The Company's two urban revitalization programs are designed to encourage sustainable, smart growth through the redevelopment of vacant commercial and mixed-use buildings and underutilized urban corridors. The **Main Street Revitalization** program accounted for 54 projects and almost \$5.3 in grant reimbursements, spread across 16 upstate counties in cities, towns, and villages of all sizes. **The Urban Center/Commercial District Revitalization** program supports larger scale projects and is limited to a subset of the larger municipalities. Five projects totaling over \$908,000 were completed through this program during the reporting period, including redevelopment projects in the cities of Cohoes, Troy, Oswego, North Tonawanda, and Olean.

Finally, as summarized in Table 2, the Company's natural gas grant programs provided a total of over \$1,000,000 in assistance during the reporting period. In addition to eight Natural Gas Manufacturing Productivity Program grants totaling \$107,000 in assistance, five projects were funded through the **Natural Gas Capital Investment Incentive**, representing over \$925,000 in support for customer gas infrastructure improvements. These customers included a Madison County metals manufacturer who opted to invest \$56 million in their Chittenango, New York facility rather than at a competing facility in Ohio.

**TABLE 1 REPORTING PERIOD <sup>1</sup> – ELECTRIC GRANT ACTIVITY – PROGRAM DETAIL**

	<u>Applications Approved</u>	<u>Funding Approved</u>	<u>Projects Completed</u>	<u>Funding Disbursed</u>
<b>Capital Investment Programs</b>				
Capital Investment Incentive	26	\$6,428,161	15	\$3,091,875
3 Phase Power Initiative	5	\$1,265,681	3	\$652,382
25-Cycle Investment Incentive	0	\$0	0	\$0
<b>Subtotal</b>	<b>31</b>	<b>\$7,693,842</b>	<b>18</b>	<b>\$3,744,257</b>
<b>Marketing Programs</b>				
Cooperative Business Recruitment	16	\$99,270	13	\$73,127
Strategic Economic Development	34	\$1,976,584	30	\$1,548,378
<b>Subtotal</b>	<b>50</b>	<b>\$2,075,854</b>	<b>43</b>	<b>\$1,621,505</b>
<b>Energy Solutions &amp; Productivity Programs</b>				
Energy Efficiency in Empire Zones	0	\$0	1	\$25,000
Agribusiness Productivity	22	\$558,555	19	\$418,555
Power Quality Enhancement	0	\$0	0	\$0
Manufacturing Productivity	93	\$1,380,581	70	\$1,005,259
Renewable Energy Eco Dev	0	\$0	0	\$0
<b>Subtotal</b>	<b>115</b>	<b>\$1,939,136</b>	<b>90</b>	<b>\$1,448,814</b>
<b>Site Development Programs</b>				
Brownfield Redevelopment	24	\$5,177,261	15	\$2,846,867
Building Ready Upstate	2	\$211,250	0	\$0
Industrial Building Redevelopment	2	\$171,463	1	\$71,463
Shovelready Incentive	1	\$465,307	2	\$568,144
Clean Tech Incubation	4	\$172,500	7	\$679,151
<b>Subtotal</b>	<b>33</b>	<b>\$6,197,781</b>	<b>25</b>	<b>\$4,165,625</b>
<b>Revitalization &amp; Urban Dev Programs</b>				
Urban Center/Commercial District	5	\$835,257	5	\$907,531
Mainstreet Revitalization	53	\$4,345,000	54	\$5,273,355
<b>Subtotal</b>	<b>58</b>	<b>\$5,180,257</b>	<b>59</b>	<b>\$6,180,886</b>
<b>Competitive Financial Assistance</b>				
Targeted Financial Assistance	2	\$600,000	1	\$100,000
Small Business Growth (Demand Charge Reduction)	0	\$0	0	\$0
<b>Subtotal</b>	<b>2</b>	<b>\$600,000</b>	<b>1</b>	<b>\$100,000</b>
<b>Communications</b>	<b>n/a</b>	<b>n/a</b>	<b>n/a</b>	<b>\$409,901</b>
<b>TOTAL for 2020/2021 reporting period</b>	<b>289</b>	<b>\$23,686,870</b>	<b>236</b>	<b>\$17,670,988</b>
<b>TOTAL for Calendar Year 2021</b>	<b>159</b>	<b>\$11,656,493</b>	<b>131</b>	<b>\$9,069,696</b>

Notes: 1. This report covers the 21-month period from April 2020 – December 2021.

2. These numbers reflect applications approved, funding disbursed, and projects completed during the reporting period, regardless of when the applications were received. Some of the approvals are associated with applications received in prior years.

**TABLE 2      REPORTING PERIOD <sup>1</sup> – GAS GRANT ACTIVITY – PROGRAM DETAIL**

	<u>Applications Approved</u>	<u>Funding Approved</u>	<u>Projects Completed</u>	<u>Funding Disbursed</u>
<b><u>Natural Gas Capital Investment Programs</u></b>				
Natural Gas Capital Investment Incentive	4	\$220,197	5	\$926,525
<b>Subtotal</b>	<b>4</b>	<b>\$900,413</b>	<b>5</b>	<b>\$926,525</b>
<b><u>Energy Solutions &amp; Productivity Programs</u></b>				
Natural Gas Manufacturing Productivity	5	\$95,484	8	\$107,154
Sustainable Gas & Economic Development	0	\$0	0	\$0
<b>Subtotal</b>	<b>5</b>	<b>\$95,484</b>	<b>8</b>	<b>\$107,154</b>
<b>TOTAL for 2020/2021 reporting period</b>	<b>9</b>	<b>\$995,897</b>	<b>13</b>	<b>\$1,033,679</b>
<b>TOTAL for Calendar Year 2021</b>	<b>6</b>	<b>\$374,511</b>	<b>3</b>	<b>\$325,381</b>

*Notes: 1. This report covers the 21-month period from April 2020 – December 2021.*

*2. These numbers reflect applications approved, funding disbursed, and projects completed during the reporting period, regardless of when the applications were received. Some of the approvals are associated with applications received in prior years.*

### **3.      CUMULATIVE PROGRAM ACTIVITY**

Tables 3, 4, and 5 summarize the Company’s cumulative Economic Development grant activity since 2003. On the electric side, a total of 3,045 applications have been received since the program’s inception. Of those applications, 2,445 have been approved, representing almost \$188 million in funding commitments. Through December 31, 2021, a total of more than \$142 million has been reimbursed to applicants, leaving \$46 million that has been committed to projects that are unfinished and therefore not yet eligible for reimbursement. However, it should be noted that a significant portion of this committed funding is associated with projects that will never be completed, either because the applicant was unable to secure sufficient funding from other sources, or because the project did not fulfill program requirements. The Company is in the process of identifying these projects, some of which have been inactive for over ten years, and notifying the applicants that their funding commitment is being withdrawn.

**TABLE 3 GRANT APPLICATION HISTORY – ELECTRIC**

	<b>Applications Received</b>	<b>Funding Approved</b>	<b>Funding Disbursed</b>
2003	79	\$1,165,197	\$492,905
2004	112	\$4,013,979	\$1,316,925
2005	146	\$6,579,316	\$4,587,485
2006	85	\$6,237,435	\$4,254,963
2007	92	\$6,588,081	\$5,914,279
2008	80	\$5,931,453	\$6,228,724
2009	94	\$6,655,876	\$3,692,686
2010	136	\$8,775,411	\$7,177,460
2011	140	\$10,409,079	\$8,636,024
2012	194	\$14,200,949	\$9,856,003
2013/2014	191	\$10,987,202	\$9,167,585
2014/2015	181	\$11,669,473	\$6,998,126
2015/2016	222	\$15,425,588	\$10,910,849
2016/2017	216	\$12,534,704	\$13,559,191
2017/2018	225	\$14,705,466	\$10,954,466
2018/2019	218	\$12,924,209	\$9,948,887
2019/2020	254	\$15,099,175	\$11,086,076
2020/2021*	380	\$23,686,870	\$17,670,988
<b>Total</b>	<b>3045</b>	<b>\$187,589,463</b>	<b>\$142,453,622</b>

\*21-month period from April 2020 through December 2021

For the natural gas grant programs, a total of 52 applications have been received since the program’s inception in 2013. Of those applications, 42 have been approved, representing over \$4 million in funding commitments. Through December 31, 2021, a total of almost \$3.7 million has been reimbursed to applicants, leaving approximately \$360,000 that has been committed to projects that are unfinished and therefore not yet eligible for reimbursement.

**TABLE 4. GRANT APPLICATION HISTORY – GAS**

	<b>Applications Received</b>	<b>Funding Approved</b>	<b>Funding Disbursed</b>
2014/2015	5	\$669,300	\$525,000
2015/2016	3	\$794,300	\$420,324
2016/2017	3	\$194,667	\$194,667
2017/2018	10	\$122,088	\$376,743
2018/2019	8	\$955,031	\$309,341
2019/2020	12	\$292,215	\$804,485
2020/2021*	11	\$995,897	\$1,033,679
<b>Total</b>	<b>52</b>	<b>\$4,023,498</b>	<b>\$3,664,239</b>

\*21-month period from April 2020 through December 2021

As illustrated in Table 5 below, the three most active electric programs in terms of cumulative funding are the Capital Investment Incentive (\$31.3 million reimbursed to customers),

Brownfield Redevelopment Assistance programs (\$25.4 million), and the Mainstreet Revitalization Program (\$21.1 million). With respect to the gas programs, the Natural Gas Capital Investment Incentive has been by far the most active, accounting for over 85 percent of total expenditures for the gas program portfolio.

**TABLE 5 CUMULATIVE GRANT ACTIVITY – ELECTRIC PROGRAM DETAIL**

	<u>Applications Approved</u>	<u>Funding Approved</u>	<u>Projects Completed</u>	<u>Funding Disbursed</u>
<b>Capital Investment Programs</b>				
Capital Investment Incentive	217	\$39,561,118	175	\$31,293,017
3 Phase Power Incentive	64	\$5,684,731	56	\$4,115,052
25-Cycle Investment Incentive	27	\$2,420,102	27	\$2,372,507
<b>Subtotal</b>	<b>308</b>	<b>\$47,665,951</b>	<b>258</b>	<b>\$37,780,576</b>
<b>Marketing Programs</b>				
Cooperative Business Recruitment	206	\$1,528,940	159	\$1,197,271
Strategic Economic Development	308	\$25,260,943	286	\$20,665,767
<b>Subtotal</b>	<b>514</b>	<b>\$26,789,883</b>	<b>445</b>	<b>\$21,863,038</b>
<b>Energy Solutions &amp; Productivity Programs</b>				
Energy Efficiency in Empire Zones	98	\$1,728,445	78	\$1,467,141
Agribusiness Productivity	186	\$3,719,255	149	\$3,048,780
Power Quality Enhancement	13	\$1,154,832	11	\$1,049,898
Manufacturing Productivity	564	\$7,873,109	392	\$5,468,950
Renewable Energy Eco Dev	11	\$6,495,070	5	\$2,010,864
<b>Subtotal</b>	<b>872</b>	<b>\$20,970,711</b>	<b>635</b>	<b>\$13,045,633</b>
<b>Site Development Programs</b>				
Brownfield Redevelopment Assistance	174	\$36,243,667	130	\$25,410,513
Building Ready Upstate	20	\$731,073	11	\$359,118
Industrial Building Redevelopment	15	\$1,747,933	15	\$1,574,794
Shovelready Incentive	46	\$5,128,562	38	\$3,704,911
Clean Tech Incubation	37	\$4,136,045	32	\$2,995,024
<b>Subtotal</b>	<b>292</b>	<b>\$47,987,280</b>	<b>226</b>	<b>\$34,044,360</b>
<b>Revitalization &amp; Urban Dev Programs</b>				
Urban Center/Commercial District	39	\$10,952,212	30	\$8,721,823
Mainstreet Revitalization	410	\$30,762,026	303	\$21,097,963
<b>Subtotal</b>	<b>449</b>	<b>\$41,714,238</b>	<b>333</b>	<b>\$29,819,786</b>
<b>Competitive Financial Assistance</b>				
Targeted Financial Assistance	10	\$2,461,400	8	\$1,961,400
<b>Subtotal</b>	<b>10</b>	<b>\$2,461,400</b>	<b>8</b>	<b>\$1,961,400</b>
<b>Communications</b>				
	n/a		n/a	<b>\$3,690,663</b>
<b>TOTAL – ALL PROGRAMS (2003-2021)</b>	<b>2445</b>	<b>\$187,589,463</b>	<b>1905</b>	<b>\$142,453,622</b>

**CUMULATIVE GRANT ACTIVITY – GAS PROGRAM DETAIL**

	<u>Applications Approved</u>	<u>Funding Approved</u>	<u>Projects Completed</u>	<u>Funding Disbursed</u>
Natural Gas Capital Investment Incentive	16	\$3,192,941	14	\$3,119,577
<b>Subtotal</b>	<b>16</b>	<b>\$3,192,941</b>	<b>14</b>	<b>\$3,119,577</b>
<b>Energy Solutions &amp; Productivity Programs</b>				
Natural Gas Manufacturing Productivity	25	\$381,376	22	\$294,662
Sustainable Gas & Economic Development	1	\$250,000	1	\$250,000
<b>Subtotal</b>	<b>26</b>	<b>\$631,376</b>	<b>23</b>	<b>\$544,662</b>
<b>GRAND TOTAL (2014-2021)</b>	<b>42</b>	<b>\$3,824,317</b>	<b>37</b>	<b>\$3,664,239</b>

Table 6 provides the geographic distribution of funding within National Grid’s service territory. Over the life of the programs, funds have been widely distributed, with the two most active regions being Western/Frontier and Capital/Northeast, with 38 percent and 27 percent of cumulative funding, respectively.

As indicated in Table 7, the Capital/Northeast and Central regions have been the most active in terms of cumulative funding for the natural gas programs.

**TABLE 6 Electric FUNDING DISBURSED BY NATIONAL GRID DIVISION/REGION**

<u>Divison/ Region</u>	<u>Capital/ Northeast</u>	<u>Central</u>	<u>Mohawk Valley/ Northern</u>	<u>Western/ Frontier</u>	<u>Total</u>
<b>2003</b>	\$198,095	\$100,000	\$0	\$38,904	<b>\$336,999</b>
<b>2004</b>	\$534,876	\$298,008	\$64,900	\$462,699	<b>\$1,360,483</b>
<b>2005</b>	\$1,431,628	\$793,988	\$370,000	\$1,737,249	<b>\$4,332,865</b>
<b>2006</b>	\$1,038,616	\$408,559	\$541,378	\$1,888,200	<b>\$3,876,753</b>
<b>2007</b>	\$1,119,872	\$1,028,607	\$740,343	\$2,806,199	<b>\$5,695,021</b>
<b>2008</b>	\$1,790,350	\$811,053	\$1,543,767	\$1,884,762	<b>\$6,029,932</b>
<b>2009</b>	\$466,498	\$779,762	\$189,097	\$2,096,659	<b>\$3,532,016</b>
<b>2010</b>	\$2,585,293	\$1,040,091	\$1,080,670	\$2,384,171	<b>\$7,090,225</b>
<b>2011</b>	\$3,196,641	\$2,129,065	\$89,400	\$2,985,558	<b>\$8,400,664</b>
<b>2012</b>	\$2,206,553	\$1,391,110	\$1,887,576	\$4,227,989	<b>\$9,713,228</b>
<b>2013/2014</b>	\$1,301,763	\$2,250,423	\$892,053	\$4,355,638	<b>\$8,799,877</b>
<b>2014/2015</b>	\$995,244	\$1,797,088	\$1,596,942	\$2,419,026	<b>\$6,808,300</b>
<b>2015/2016</b>	\$2,465,565	\$1,887,226	\$2,002,623	\$4,235,563	<b>\$10,590,977</b>
<b>2016/2017</b>	\$2,888,563	\$2,778,286	\$2,099,432	\$5,526,106	<b>\$13,292,387</b>
<b>2017/2018</b>	\$2,972,415	\$2,713,402	\$1,406,683	\$3,613,800	<b>\$10,706,300</b>
<b>2018/2019</b>	\$2,302,118	\$3,430,446	\$1,087,625	\$2,872,345	<b>\$9,692,534</b>
<b>2019/2020</b>	\$3,166,651	\$1,384,769	\$2,213,880	\$4,080,374	<b>\$10,845,674</b>
<b>2020/2021*</b>	\$6,809,934	\$4,157,820	\$1,922,083	\$4,371,250	<b>\$17,261,087</b>
<b>Total</b>	<b>\$37,470,675</b>	<b>\$29,179,703</b>	<b>\$19,728,452</b>	<b>\$51,986,492</b>	<b>\$138,365,322</b>

*Note: Communications expenditures are not included in the regional totals*

*\*21-month period from April 2020 through December 2021*



**TABLE 7 Gas FUNDING DISBURSED BY NATIONAL GRID DIVISION/REGION**

<u>Divison/ Region</u>	<u>Capital/ Northeast</u>	<u>Central</u>	<u>Mohawk Valley/ Northern</u>	<u>Total</u>
<b>2014/2015</b>	\$500,000	\$0	\$25,000	<b>\$525,000</b>
<b>2015/2016</b>	\$0	\$292,507	\$127,817	<b>\$420,324</b>
<b>2016/2017</b>	\$0	\$194,667	\$0	<b>\$194,667</b>
<b>2017/2018</b>	\$0	\$0	\$376,743	<b>\$376,743</b>
<b>2018/2019</b>	\$250,000	\$59,341	\$0	<b>\$309,341</b>
<b>2019/2020</b>	\$105,381	\$513,171	\$185,933	<b>\$804,485</b>
<b>2020/2021*</b>	\$585,453	\$433,226	\$15,000	<b>\$1,033,679</b>
<b>Total</b>	<b>\$1,440,834</b>	<b>\$1,492,912</b>	<b>\$730,493</b>	<b>\$3,664,239</b>

\*21-month period from April 2020 through December 2021

#### 4. SURVEY RESULTS AND IMPACT ANALYSIS

To help evaluate the effectiveness of the Economic Development grant programs and the impact of completed projects, an online survey was distributed to all companies and organizations that completed a project and received a grant reimbursement during the reporting period. The Company achieved an overall survey response rate of 98 percent (*see* Table 8). Companies and organizations that received progress payments during the reporting year were not surveyed because their projects are not yet fully completed.

**TABLE 8 SURVEY RESPONSE BY ELECTRIC AND GAS PROGRAM CATEGORY**

<u>Program Category</u>	<u>Survey Population</u>	<u>Survey Responses</u>	<u>Response Rate</u>
Electric Capital Investment	18	16	89%
Gas Capital Investment	5	5	100%
Marketing	43	43	100%
Energy Solutions & Productivity	90	87	97%
Gas MPP	8	8	100%
Site Development	25	25	100%
Revitalization & Urban Dev	59	58	98%
Sustainable Gas	0	0	n/a
Competitive Financial Assistance	1	1	100%
<b>TOTAL</b>	<b>249</b>	<b>243</b>	<b>98%</b>

#### Influence of National Grid Assistance

Grant recipients were asked to provide feedback on the role that National Grid funding played in the completion and timing of their project. As in past years, the majority of respondents indicated that the grant led them to either take actions they otherwise would not have taken, to take actions more quickly than they otherwise would have, or both.

	<u>Capital Investment</u>	<u>Energy Solutions &amp; Productivity</u>	<u>Site Development</u>	<u>Revitalization &amp; Urban Dev</u>	<u>Marketing Programs</u>	<u>Gas Programs</u>	<u>Competitive Financial Assistance</u>
<b><u>Did National Grid funding lead you to :</u></b>							
Take actions you would not have otherwise taken	82%	87%	80%	79%	98%	80%	100%
Take actions more quickly	65%	93%	80%	66%	98%	80%	100%

### **Leveraged Funds**

Survey respondents were also asked to report on the mix of funding they received from sources other than National Grid, including local, state, and federal programs.

As indicated in Table 9 below, grant recipients in the Capital Investment and Revitalization & Urban Development programs reported the broadest range of funding sources. Local government funds were leveraged most frequently in the Revitalization & Urban Development category. State government funding sources were also commonly reported in this category, reflecting the impact of New York State’s Downtown Revitalization Initiative and other programs. Leveraged funds in general were least commonly reported by grantees in the marketing category, suggesting that projects involving business attraction outreach are often not eligible for funding from government sources.

**TABLE 9 SOURCES OF LEVERAGED FUNDS**

<b><u>Program Category</u></b>	<b><u>Local Gov’t</u></b>	<b><u>State Gov’t</u></b>	<b><u>Fed Gov’t</u></b>
Capital Investment	29%	35%	6%
Marketing	8%	10%	2%
Energy Solutions & Productivity	0%	32%	11%
Site Development	10%	40%	7%
Revitalization & Urban Dev	34%	45%	7%

**Customer Operational Impacts**

Grant recipients in the Capital Investment, Revitalization & Urban Development, and Energy Solutions/Productivity programs were asked about the impacts of their project in terms of cost savings, increased productivity, increased sales, and improved power quality and/or reliability.

As presented in Table 10, energy efficiency and productivity benefits were frequently recognized by grant recipients across all program categories, including projects in the Capital Investment and Urban Revitalization categories. While those programs do not specifically require installation of energy efficiency measures, they do encourage sustainable development and adoption of energy efficient technologies as part of the larger project investments. The Company expects to see an even higher energy efficiency response going forward, due to recently implemented program modifications that require applicants to fully investigate energy efficiency measures. Power quality/reliability improvements were commonly cited in the survey results for Capital Investment and Revitalization/Urban Development programs, and less frequently cited by customers in the Energy Solutions & Productivity categories.

**TABLE 10 OPERATIONAL BENEFITS (MULTIPLE RESPONSES PERMITTED)**

	<u>Capital Investment</u>	<u>Revitalization &amp; Urban Dev</u>	<u>Energy Solutions &amp; Productivity</u>
<b><i>Project Benefits:</i></b>			
<i>Cut costs through energy efficiency</i>	83%	86%	84%
<i>Increase productivity</i>	94%	71%	74%
<i>Improve power quality or reliability</i>	94%	89%	47%
<i>Increase in annual sales</i>	78%	56%	26%

**Regional Economic Impacts**

The survey also asked grant recipients to report on the impact of their projects in terms of new capital investment, new and retained jobs, and other economic benefits.

*Capital investment* is perhaps the single most important measurement for the National Grid Economic Development grant programs. Not only is it directly tied to regional economic output, but also companies that decide to invest in Upstate New York in many cases have chosen the area over other competing locations. The flow of capital among facilities is a good indicator of their relative long-term viability, particularly for manufacturing companies with facilities in multiple states.

Many of the Company’s Economic Development grant programs include eligibility requirements and funding guidelines tied directly to investment in energy infrastructure, new building construction, and/or purchase of machinery and equipment. The Company tracks investment impacts through the annual survey process, and that survey information is

supplemented with data obtained through the project verification process that occurs before the release of grant funds. This process involves a detailed review of paid invoices, receipts, and other documentation, which is summarized and compared to information provided on the approved application. New capital investment is not an eligibility requirement for the marketing programs, as discussed below.

Tables 11 and 12 summarize the capital investment impacts of grant program funding for the reporting year, and the cumulative investment impacts since the inception of the programs in 2003. The total investment associated with projects completed and reimbursed during 2020/21 was \$404 million. Since 2003, a total of \$10.4 billion has been invested in Upstate New York as a result of projects receiving National Grid funding.

**TABLE 11 CAPITAL INVESTMENT IMPACTS – REPORTING PERIOD <sup>1</sup>**

<b><u>Program Category</u></b>	<b><u>2020/2021 Investment</u></b>
Electric Capital Investment Programs	\$207,546,415
Gas Capital Investment Programs	\$67,775,680
Energy Solutions & Productivity Programs	\$3,544,900
Site Development Programs	\$29,869,729
Revitalization & Urban Development Programs	\$95,127,913
Competitive Financial Assistance	\$568,369
<b>GRAND TOTAL</b>	<b>\$404,433,007</b>

1. 21-month period from April 2020 through December 2021

**Table 12 CUMULATIVE CAPITAL INVESTMENT IMPACTS – 2003-2021**

<b><u>Program Category</u></b>	<b><u>2003-2021 Investment</u></b>
Electric Capital Investment Programs	\$3,333,379,910
Gas Capital Investment Programs	\$198,553,261
Energy Solutions & Productivity Programs	\$149,416,767
Site Development Programs	\$1,382,825,445
Revitalization & Urban Development Programs	\$781,904,932
Competitive Financial Assistance	\$2,073,138
GLOBALFOUNDRIES/Luther Forest Technology Campus*	\$4,600,000,000
<b>GRAND TOTAL</b>	<b>\$10,448,153,453</b>

\*National Grid assistance for the Global Foundries/LFTC project has crossed multiple programs and multiple program years.

*Job creation and retention* are also extremely important social and economic outcomes of National Grid’s economic development programs and activities. The level of employment is a key indicator of a healthy economy and a strong community and is also a very important metric from a political perspective. However, unlike capital investment, job creation, *per se*, is not necessarily a priority for growing businesses, many of which make investments in new technology, machinery, and equipment in order to reduce the labor content of their products or services and to increase productivity.

Unlike many federal and state economic development programs, job creation/retention performance generally is not an eligibility requirement for National Grid grant programs. The Company does not require job commitments in the grant application, approval, and reimbursement process. Projected employment data is collected from applicants when they apply for funding, and job creation potential is among the evaluation criteria for several programs. Actual employment impacts are gathered through the annual survey of grant recipients, and this information is supplemented by news releases (from the customer, local development officials, and/or New York State), commercially available databases, and other secondary sources. Again, funding eligibility is not tied specifically to job commitments, and there are no ongoing job performance monitoring or “claw back” provisions that accompany the grant award. Job creation and retention results are not measured or tracked for the marketing grant programs, as discussed below.

Tables 13 and 14 summarize the employment impacts of projects receiving National Grid grant funding during the current reporting period and cumulative job impacts since 2003. The total job creation and retention benefit associated with projects reimbursed during the reporting period was 6,171. Cumulatively, over 564,000 jobs have been created or retained in projects that have received funding through National Grid’s economic development grant programs.

**TABLE 13 JOB CREATION AND RETENTION IMPACTS – REPORTING PERIOD <sup>1</sup>**

<b><u>Program Category</u></b>	<b><u>2020/21 JOBS</u></b>
Electric Capital Investment Programs	1,532
Gas Capital Investment Programs	673
Energy Solutions & Productivity Programs	2,077
Site Development Programs	1,314
Revitalization & Urban Development Programs	531
Competitive Financial Assistance	44
<b>TOTAL</b>	<b>6,171</b>

1. 21-month period from April 2020 through December 2021

**Table 14 CUMULATIVE JOB CREATION AND RETENTION IMPACTS - 2003-2021**

<b><u>Program Category</u></b>	<b><u>2003-2021 JOBS</u></b>
Electric Capital Investment Programs	27,707
Gas Capital Investment Programs	2,662
Energy Solutions & Productivity Programs	14,036
Site Development Programs	13,124
Revitalization & Urban Development Programs	5,138
Competitive Financial Assistance	168
GLOBALFOUNDRIES/Luther Forest Technology Campus*	1,450
<b>TOTAL</b>	<b>64,285</b>

\*National Grid assistance for the GLOBALFOUNDRIES/LFTC project has crossed multiple programs and multiple program years.

**Marketing Results**

Table 15 summarizes the types of marketing and sales activities funded by National Grid’s grant programs during the reporting period. Lead identification/qualification was the most commonly funded activity, followed by creation/distribution of promotional materials, direct sales calls, and website improvements. Participation in industry trade shows and conferences was also a commonly funded activity.

**TABLE 15      MARKETING GRANT ACTIVITIES (MULTIPLE RESPONSES PERMITTED) – REPORTING PERIOD<sup>1</sup>**

<u>Activity</u>	<u>Completed Projects</u>
Create & Distribute Print Materials	23
Website Improvements/Redesign	21
Create/Distribute CD/DVD	1
Print Advertising	12
Sales Calls	22
Direct Mail	2
Lead Identification and Qualification	36
Internet Advertising	15
Trade Shows/Conferences	19

1. 21-month period from April 2020 through December 2021

Applicants for marketing assistance are required to develop goals for each project, including new capital investment and jobs, and these potential economic impacts are among the criteria used to evaluate marketing applications. However, while it is understood that successful strategic marketing will ultimately lead to new business attraction/expansion projects, the long cycle times associated with economic development sales and marketing initiatives makes it unreasonable to expect or require new jobs and capital investment in the near term.

The results of economic development marketing grants are more reasonably measured in terms of marketing progress – specifically, responses, leads, prospect visits, and project commitments. National Grid collects this information through the annual survey. Table 16 summarizes the activity and results reported by grant recipients for marketing projects completed during the reporting period. The results reflect a typical economic development marketing “funnel,” with a large number of initial responses and early leads, followed by lower levels of more serious interest in the form of site visits and – ultimately – business attraction and expansion commitments from customers.

**TABLE 16      MARKETING PROGRESS – REPORTING PERIOD<sup>1</sup>**

<b>Marketing Results</b>	
Marketing responses	4,334
Leads	3,462
Prospect Visits/Meetings	195
Project Commitments	14

1. 21-month period from April 2020 through December 2021

The annual survey also asks marketing and site development grant recipients for information on their primary and secondary target markets. As presented in Table 17, the majority of marketing activities were primarily focused on attracting new businesses from outside of New York State, with 63 percent of projects targeting other US states, 4 percent targeting Canada, and 6 percent targeting other international markets. Thirty-seven (37) percent of respondents reported that they marketed to an audience within New York State; however, many of those applicants reported that their project also targeted “secondary” markets outside of New York with the same marketing initiatives.

**TABLE 17      PRIMARY TARGET MARKETS**

<b><u>Geographic Region</u></b>	<b><u>Primary Target</u></b>
<b>Total Marketing Outside of NY State</b>	<b>63%</b>
Out of state, within US	53%
Canada	4%
Other International	6%
<b>Total Marketing within NY State</b>	<b>37%</b>
Local/Regional/Upstate NY	31%
Elsewhere in NY state	6%

**Recipient Experience with National Grid**

The survey asked grant recipients how their organization first learned about National Grid’s grant programs. As in the past, the results (*see* Table 18) indicate that grant recipients most often hear about the programs through outreach by National Grid’s economic development, account management, energy efficiency, and contact center organizations. The regional/local economic development network is another major source of outreach and education for National Grid’s programs. New York State economic development agencies are not cited as a frequent source of referrals, but projects funded through the Company’s grant programs often include direct involvement and assistance from Empire State Development and other state agencies. Also, many projects that originate as “leads” from New York State may ultimately contact National Grid through the regional or local economic development organization that is managing the referral on behalf of the State. The “Other” category represented 16 percent of



cited information sources, and these are typically energy efficiency contractors, solar energy companies, and financial institutions.

**TABLE 18. HOW DID YOU FIRST FIND OUT ABOUT THIS GRANT PROGRAM?**

<b><i>Information Source</i></b>	<b><i>Percent</i></b>
National Grid Staff	42%
Regional/Local Economic Development Entity	39%
Website (shovelready.com)	2%
State Economic Development Agency	1%
Other	16%

Finally, the survey asked grant recipients to provide their opinions regarding National Grid’s economic development programs, staff assistance, and the application process. The results for the 2020/21 reporting period, as summarized in Table 19, were very positive and continue to improve year-over-year due to continuous improvement efforts on the part of the Company’s program management team.

**TABLE 19 SATISFACTION WITH PROGRAMS AND ADMINISTRATIVE PROCESS**

	<b><i>% Agree or Strongly Agree</i></b>	<b><i>% Disagree</i></b>	<b><i>% Strongly Disagree</i></b>
<i>National Grid programs meet my needs exactly</i>	100%	0%	0%
<i>National Grid staff assistance was important in completing our application</i>	99%	1%	0%
<i>National Grid Economic Development Rep provided excellent service</i>	99%	1%	0%
<i>The application is easy to understand</i>	97%	3%	0%
<i>The application is easy to complete</i>	98%	2%	0%
<i>The required funding match is reasonable</i>	99%	1%	0%
<i>Response to my application was timely</i>	99%	1%	0%

## II. 2022/23 ECONOMIC DEVELOPMENT PROGRAM PROPOSAL

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### 1. OVERVIEW

National Grid's 2022/23 Economic Development Grant Program Proposal is designed to support sustainable economic growth in Upstate New York by:

- Helping customers solve energy infrastructure issues and improve their productivity, efficiency, and profitability so that they will remain and grow in the region;
- Promoting sustainable, “smart” growth and infrastructure utilization by redeveloping vacant commercial buildings, brownfield sites, and urban centers;
- Supporting projects that promote the development and deployment of new, clean energy solutions for the future, while creating assets for economic growth and prosperity in the region;
- Working with state, regional, and local economic development organizations to market the region to growing companies in advanced manufacturing and other strategic industry sectors; and
- Providing incentives for new commercial and industrial customers to locate in National Grid's service territory, and for existing customers to expand their operations here.

### 2. PROPOSED 2022/23 PROGRAM MODIFICATIONS

No new programs are proposed for 2022/2023.

#### **Proposed Changes to Existing Programs**

- **Electric Capital Investment Incentive.**

This program provides grants to help offset electric infrastructure upgrade costs associated with customer expansion or attraction projects. The program description currently contains language that includes natural gas system improvements and natural gas service classifications in the funding and eligibility criteria. Those natural gas references predate the creation of the Company's Natural Gas Capital Investment Incentive program, which is the gas “counterpart” to the electric program. The Company therefore proposes to remove the gas references from the electric program. The proposed changes are included in red in the program description below.

- **Electric and Gas Manufacturing Productivity Programs**

This program provides support for “lean manufacturing” and other productivity initiatives, as well as funding for new product development and other top-line growth efforts. The program was developed in partnership with the New York State designated Regional Technology and Development Centers, which are now known as the New York Manufacturing Extension Partnership (NY MEP) centers. The Company is proposing to reflect this name change throughout the program descriptions. In addition, the Company is proposing to include FuzeHub as an eligible NY MEP center for this program. FuzeHub has been designated by New York State as the “statewide” NY MEP center, and it provides services to manufacturers which are complementary to those offered by the regional NY MEP centers. The proposed changes are included in red in the program description below.

### **3. 2022/23 FUNDING REQUIREMENTS**

As detailed in Sections IV and V, the forecast for total 2022/23 Economic Development grant program expenditures is \$11 million for the electric programs and \$1.0 million for the gas programs. These expenditures are equal to the annual electric and gas funding provided in Cases 20-E-0380 and 20-G-0381. As in the past, National Grid seeks continued flexibility to shift funds between programs – but within the electric and gas portfolios – during the year in response to customer demand, regional economic development priorities, and market conditions.

The Company is projecting that it will fully utilize the rate allowances for its electric and gas grant programs in 2022/23, and there is potential for the allowed funding to be exceeded over the term of the current rate agreement. As detailed in the Joint Proposal in Cases 20-E-0380 and 20-G-0381, in the event of any anticipated over-expenditures the Company may petition the Commission for deferral treatment of the amounts in excess of the three-year aggregate rate allowance for future recovery. In addition, there are existing electric and gas deferral balances associated with under-spending during the previous two rate agreements, totaling approximately \$2.8 million and \$4.6 million for electric and gas, respectively. Those under-expenditures were deferred for future use in the Company’s economic development grant programs, and the Company would seek to utilize those funds in the event of any anticipated over-expenditures, prior to petitioning the Commission for deferral treatment of additional funding.

The Company proposes to work with DPS Staff to clarify the regulatory process that may be required for the Company to utilize these existing deferral balances, with the intent of making such a process as streamlined as possible, to respond quickly and minimize the potential for program operations to be disrupted in the event of anticipated over-expenditures.

### **III. 2022/23 Proposed Electric Program Descriptions**



## **ELECTRIC CAPITAL INVESTMENT INCENTIVE PROGRAM**

*Note to state, regional, and local economic developers: If you intend to use this program as part of an overall incentive offer to a company, you must submit a written request to National Grid's Economic Development Department in advance of the project announcement.*

### **Program Summary**

Major economic development projects that create a large number of jobs are generally eligible for a wide range of public assistance from Empire State Development and/or local industrial development agencies. These existing economic development programs may overlook projects, which may not be significant job generators, but are nonetheless extremely important to a business and to its regional economy.

The **Capital Investment Incentive Program** provides funds to help offset the customer costs associated with upgrading utility infrastructure to accommodate a business expansion or new construction project. Specifically, this program supports business attraction or expansion projects located in National Grid's Upstate New York service territory. The applicant must demonstrate that they are unable to secure sufficient funding for the project through federal, state, or local economic development programs.

Application requests may include but are not limited to, the following:

- Improvements to National Grid's electric system, such as line extensions or upgrades to transmission lines or distribution feeders, that require a customer contribution.
- Conduit, trenching, and backfill associated with National Grid owned infrastructure.
- Customer owned substations, transformers, pads, switchgear, meter cabinets, and metering devices in the case where a new or expanding customer is required to increase the size of their service.
- Funding for engineering, design, and other analyses necessary to determine the feasibility and cost effectiveness of extending or expanding electric service.
- Additional grant funds may be available for applicants that demonstrate a need for employee training.

**Minimum Program Requirements:** *Please review the program requirements and guidelines below prior to completing an application for funding.*

*Note: Program assistance is only available to customers in good standing, located within National Grid's Upstate New York franchise territory. Applicants must be current in payments with National Grid or have executed a deferred payment agreement with the Company.*

To be eligible for this program, the **applicant** must:

- ❑ Be the customer of record (owner or lessee) of an eligible facility or prospective eligible facility;
- ❑ Demonstrate efforts to obtain state and local economic development incentives for the facility;
- ❑ Demonstrate the ability to retain and/or attract jobs and capital investment to the eligible facility; **and**
- ❑ Make a capital investment that requires electric infrastructure improvements.

To be eligible for this program, the **facility (business) or prospective facility** must:

- ❑ Be located in National Grid's Upstate New York service territory;
- ❑ Demonstrate Industrial Development Agency ("IDA") or other public development agency support for the project;
- ❑ Have electric infrastructure that is clearly a barrier to attracting new industrial or commercial activity;
- ❑ Have a National Grid electric service classification of SC 2 (**demand metered customers**), 3, 3A, or 4; **and**
- ❑ Be used for a business that can be classified in one of the following industry sectors:
  - Manufacturing
  - Regional warehousing/distribution center
  - Scientific research and development
  - Data Centers
  - "Back office" operations, such as data processing or customer service operations
  - Regional/national administrative centers or headquarter facilities
  - Agri-Business

### **Funding and Eligibility Guidelines**

Program funding and parameters are established annually by National Grid. Grants are available on a continual basis until all funding is expended or until the end of National Grid's current rate agreement. Funding is released to a grant award recipient only after the recipient has met all conditions of the program. In all circumstances, funding should be viewed by the applicant as a reimbursement for work completed following grant approval in the form of an award letter.

The grant award recipient should expect to execute a Funding Agreement with National Grid. The Agreement will outline expectations of the grant program and the conditions for the release of funds.

Grant amounts listed are the maximum allowable award for each program. Each application is evaluated on a variety of factors, resulting in some not receiving the maximum grant award.

If you are applying to more than one program for the same project, you must clearly indicate that on the application.

Under no circumstance will funding be released after the expiration of the Company's current rate agreement or without prior written consent from National Grid.

Grant amounts are determined based on the **total** capital investment being made in plant and equipment (including energy and non-energy related investments) as follows:

<u>Total Capital Investment</u>	<u>Total Available Funding not to Exceed:</u>
Under \$1 Million	\$50,000
\$1 Million to \$5 Million	\$100,000
\$5 Million to \$10 Million	\$250,000
\$10 Million to \$25 Million	\$500,000
Over \$25 Million	\$750,000**

\*\*To qualify for the highest level of funding, energy infrastructure investments must be \$2 million or more, in addition to the above \$25 million total capital investment requirement. Projects must require transmission level (115kV and above) service.

Program funds cannot represent more than thirty percent (30%) of the total capital investment costs (energy infrastructure and other related capital improvements).

Program funds cannot exceed the final cost of energy related infrastructure improvements related to the project.

Funding for engineering, design, and other analyses necessary to determine the feasibility and cost effectiveness of extending or expanding electric service is available up to maximum of \$50,000 per project.

Project must show evidence that a comprehensive assessment of energy efficiency measures was fully investigated and provide documentation pertaining to any completed or pending applications for energy efficiency incentives.

To be eligible for employee training under this program, the applicant must:

- Meet the criteria of the Electric Capital Investment Program; and
- Provide a statement of need and a training plan

The maximum allowable grant award for existing and new employee training is \$50,000.

- Program funds cannot exceed fifty percent (50%) of training costs; and
- The applicant must document its contribution of matching funds to equal twenty-five percent (25%) of the training project costs.
- Priority consideration during the grant award process will be given to projects that are clean energy related

## **How to Apply**

To apply for the Capital Investment Incentive Program please:

- Complete the program application online; and
- Upload all required documentation as noted at the end of your online application.

*If you need assistance in completing the application, please contact Karen Mousaw via email at [Karen.Mousaw@nationalgrid.com](mailto:Karen.Mousaw@nationalgrid.com).*





### 3-PHASE POWER INCENTIVE PROGRAM

*Note to state, regional, and local economic developers: If you intend to use this program as part of an overall incentive offer to a company, you must submit a written request to National Grid's Economic Development Department in advance of the project announcement.*

#### Program Summary

National Grid's Upstate New York service territory includes a significant number of small businesses and agri-business customers, whose growth at their current location is limited by the lack of three-phase power to the site. Often these customers are located in remote locations, on electric distribution circuits that do not have enough other customers to share the cost of extending three-phase service and make it economical.

The **3-Phase Power Incentive Program** provides grants to help fund the extension of three-phase electric service to eligible National Grid customers.

**Minimum Program Requirements:** *Please review the program requirements and guidelines below prior to completing an application for funding.*

*Note: Program assistance is only available to customers in good standing, located within National Grid's Upstate New York franchise territory. Applicants must be current in payments with National Grid or have executed a deferred payment agreement with the Company.*

To be eligible for this program, the **applicant** must:

- ❑ Be the owner of the eligible facility;
- ❑ Demonstrate that they have evaluated alternatives to a three-phase power extension, such as on-site generation using renewable energy alternatives or written pole motors;
- ❑ Demonstrate the ability to retain and/or attract jobs and capital investment; **and**
- ❑ Demonstrate that three-phase power is necessary to serve an increase in the customer's electric load at that facility.

To be eligible for this program, the **facility** must:

- ❑ Receive electric service from National Grid; **and**
- ❑ Be classified as one of the following industry sectors:
  - Manufacturing
  - Regional warehousing/distribution center
  - Scientific research and development
  - Agri-Business
  - Tourism related NAICS code
  - Mining & Quarrying

**Funding and Eligibility Guidelines:**

Program funding and parameters are established annually by National Grid. Grants are available on a continual basis until all funding is expended or until the end of National Grid's current rate agreement. Funding is released to a grant award recipient only after the recipient has met all conditions of the program. In all circumstances, funding should be viewed by the applicant as a reimbursement for work completed following grant approval in the form of an award letter.

The grant award recipient should expect to execute a Funding Agreement with National Grid. The Agreement will outline expectations of the grant program and the conditions for the release of funds.

Grant amounts listed are the maximum allowable award for each program. Each application is evaluated on a variety of factors, resulting in some not receiving the maximum grant award.

If you are applying to more than one program for the same project, you must indicate that clearly on the application.

Under no circumstance will funding be released after the expiration of the Company's current rate agreement or without prior written consent from National Grid.

- ❑ Total amount of grant available to an applicant for a facility is \$300,000, except as noted below.
- ❑ Program funds may only be used to reduce the applicant's cost for extending three-phase service to the eligible facility, except as noted below.
- ❑ At a minimum, the customer must fund at least twenty-five percent (25%) of total project costs.
- ❑ Program funds cannot exceed the estimated cost of electric service infrastructure improvements related to the project.
- ❑ Project must show evidence that a comprehensive assessment of energy efficiency measures was fully investigated and provide documentation pertaining to any completed or pending applications for energy efficiency incentives.
- ❑ Where National Grid and the customer agree that an alternative to three-phase electric delivery service should be implemented using renewable energy technologies (examples include wind, solar, biomass, or hydropower), the grant may be used to offset up to fifty percent (50%) of the customer contribution to the project. The renewable generation must be for the customer's sole use and cannot be resold to other customers. The renewable generation installation must be connected and operated in accordance with the Company's Tariff. The total amount of funding available to an applicant installing renewable energy technologies on their premise is \$400,000. Grant funds cannot exceed the estimated cost of the otherwise applicable three-phase line extension. Renewable funding requests should also be submitted to the New York State Energy Research and Development Authority (NYSERDA). Information about NYSERDA programs is available at [www.nyserda.org](http://www.nyserda.org).

## **How to Apply**

To apply for the 3-Phase Power Incentive Program please:

- Complete the program application online; and
- Upload all required documentation as noted at the end of your online application.

*If you need assistance in completing the application, please contact Karen Mousaw via email at [Karen.Mousaw@nationalgrid.com](mailto:Karen.Mousaw@nationalgrid.com).*



## COOPERATIVE BUSINESS RECRUITMENT PROGRAM

*Note to state, regional, and local economic developers: If you intend to use this program as part of an overall incentive offer to a company, you must submit a written request to National Grid's Economic Development Department in advance of the project announcement.*

### Program Summary

Regional, county, and local economic development organizations have limited resources to devote to “marketing” their communities to attract business investment and jobs. This is true even of counties that possess extraordinary assets for business attraction – such as prime industrial sites or available buildings and infrastructure. While the cost of business attraction activities typically relies on local and regional resources, community expectations tend to be very high in terms of success in recruiting wealth-generating businesses.

The **Cooperative Business Recruitment Program** provides incremental matching funds for cooperative marketing initiatives between National Grid and regional or local economic development partners.

Application requests may include, but are not limited to, the following:

- The creation of collateral material and direct mail campaigns;
- Sales initiatives related to major business development events, such as Industrial Asset Management Forums, Area Development Consultants Forums, and other events where site location consultants and corporate real estate executives gather;
- Support research and assistance with site selection familiarization tours, industry trade shows, and sales missions;
- Sales initiatives directed at industry trade groups;
- Support for the creation and distribution of industry-specific publications; and
- Advertising and public relations activities.

**Minimum Program Requirements:** *Please review the program requirements and guidelines below prior to completing an application for funding.*

*Note: Program assistance is only available to customers in good standing, located within National Grid's Upstate New York franchise territory. Applicants must be current in payments with National Grid or have executed a deferred payment agreement with the Company.*

To be eligible for this program, the **applicant** must:

- ❑ Be a regional or local economic development corporation in the National Grid Upstate service territory; **and**
- ❑ Provide economic development business attraction services to a community or region located within the National Grid Upstate service territory.

To be eligible for this program, the **marketing project** must:

- ❑ Promote community attributes or resources that represent a major asset for business attraction;
- ❑ Be targeted to decision makers who can influence the attraction of new jobs and investment to the National Grid Upstate New York service territory; **and**
- ❑ Be designed to attract new business, investment, and jobs to the Upstate New York National Grid service territory, based on the following factors:
  - The extent to which the project compliments (and not duplicates) other local, regional, and state business attraction efforts;
  - The economic development potential of the asset that is being promoted;
  - The project sponsor's ability to accomplish and sustain the effort of the project;
  - The project sponsor's ability to leverage federal, state, and local matching funds; and
  - The extent to research proposed does not duplicate previous research and is "actionable" (e.g. refining the targets, messages, materials and activities generated by the research proposed).

### **Funding and Eligibility Guidelines**

Program funding and parameters are established annually by National Grid. Grants are available on a continual basis until all funding is expended or until the end of National Grid's current rate agreement. Funding is released to a grant award recipient only after the recipient has met all conditions of the program. In all circumstances, funding should be viewed by the applicant as a reimbursement for work completed following grant approval in the form of an award letter.

The grant award recipient should expect to execute a Funding Agreement with National Grid. The Agreement will outline expectations of the grant program and the conditions for the release of funds.

Grant amounts listed are the maximum allowable award for each program. Each application is evaluated on a variety of factors, resulting in some not receiving the maximum grant award.

If you are applying to more than one program for the same project, you must indicate that clearly on the application.

Under no circumstance will funding be released after the expiration of the Company's current rate agreement or without prior written consent from National Grid.

- National Grid funds for cooperative projects must be matched on a 1:1 basis.
- Maximum grant per project is \$10,000.
- Grant funds cannot be applied to past business attraction efforts.
- Collateral materials must recognize National Grid's contribution.

## **How to Apply**

To apply for the Cooperative Business Recruitment Program please:

- Complete the program application online; and
- Upload all required documentation as noted at the end of your online application.

*If you need assistance in completing the application, please contact Karen Mousaw via email at [Karen.Mousaw@nataionalgrid.com](mailto:Karen.Mousaw@nataionalgrid.com).*



## STRATEGIC ECONOMIC DEVELOPMENT PROGRAM

*Note to state, regional, and local economic developers: If you intend to use this program as part of an overall incentive offer to a company, you must submit a written request to National Grid's Economic Development Department, in advance of the project announcement.*

### Program Summary

Competition for economic development projects among states and regions continues to grow. This program is designed to increase effective marketing and sales initiatives aimed at “strategic targets.”

The **Strategic Economic Development Program** provides expertise and incremental resources to leverage more and better macro-level business attraction research, marketing, and sales efforts. The goal is to generate out-of-state prospects for direct investment in National Grid's Upstate New York service territory.

Application requests may include, but are not limited to, the following:

- Support for target industry analysis for business attraction marketing and sales purposes;
- Outreach initiatives directed towards industry trade groups;
- Support for the creation and distribution of industry-specific publications, profiles and studies;
- Support for early stage planning or feasibility studies that prepare assets to be marketed, such as economic development “mega sites,” industrial parks, multi-use facilities, and
- Support for efforts to attract major tourism destination facilities including infrastructure assistance.
- Regional workforce development projects such as training initiatives, talent attraction, and workforce development plans.

*Note: Program assistance is only available to customers in good standing, located within National Grid's Upstate New York franchise territory. Applicants must be current in payments with National Grid or have executed a deferred payment agreement with the Company.*

**Minimum Program Requirements:** *Please review the program requirements and guidelines below prior to completing an application for funding.*

To be eligible for this program, the **applicant** must:

- Be a state or regional economic development entity in National Grid's Upstate New York service territory; **or**
- Be a county economic development entity in National Grid's Upstate New York service territory with a project of regional scope.

To be eligible for this program, the **project** must:

- ❑ Develop, prepare, or promote a specific asset or group of assets that enhance the competitiveness of the Upstate New York region or of all of Upstate New York;
- ❑ Be targeted to decision makers who can influence the attraction of new jobs and investment to the National Grid’s Upstate New York service territory;
- ❑ Demonstrate the economic development potential of the asset that is being developed and/or promoted through the project; **and**
- ❑ Demonstrate the ability to accomplish and sustain the effort of the project and leverage federal, state, and local matching funds.

Research and marketing projects must:

- ❑ Not duplicate previous projects;
- ❑ Be “actionable,” refining the targets, messages, materials, and activities generated by the research or marketing; **and**
- ❑ Target decision makers and specific industries.

Workforce development projects must:

- ❑ Demonstrate alignment with regional priorities;
- ❑ Produce a statement of need and regional impact analysis; **and**
- ❑ Demonstrate partnerships and alignment with business attraction strategies.

For workforce development projects, priority consideration during the grant award process will be given to projects that are clean energy focused or address low-to-moderate income, high-need communities.

**Funding and Eligibility Guidelines**

Program funding and parameters are established annually by National Grid. Grants are available on a continual basis until all funding is expended or until the end of National Grid’s current rate agreement. Funding is released to a grant award recipient only after the recipient has met all conditions of the program. In all circumstances, funding should be viewed by the applicant as a reimbursement for work completed following grant approval in the form of an award letter.

The grant award recipient should expect to execute a Funding Agreement with National Grid. The Agreement will outline expectations of the grant program and the conditions for the release of funds.

Grant amounts listed are the maximum allowable award for each program. Each application is evaluated on a variety of factors, resulting in some not receiving the maximum grant award.

If you are applying to more than one program for the same project, you must indicate that clearly on the application.

Under no circumstance will funding be released after the expiration of the Company’s current rate agreement or without prior written consent from National Grid.

- Maximum grant per project is \$500,000.
- Maximum grant per workforce project is \$250,000



- National Grid funds for strategic economic development projects must be matched on a 1:1 basis.

### **How to Apply**

To apply for the Strategic Economic Development Program please:

- Complete the program application online; and
- Upload all required documentation as noted at the end of your online application.

*If you need assistance in completing the application, please contact Karen Mousaw via email at [Karen.Mousaw@nationalgrid.com](mailto:Karen.Mousaw@nationalgrid.com).*



## **ENERGY EFFICIENCY IN EMPIRE ZONES PROGRAM**

*Note to state, regional, and local economic developers: If you intend to use this program as part of an overall incentive offer to a company, you must submit a written request to National Grid's Economic Development Department in advance of the project announcement.*

### **Program Summary**

New York State designated Empire Zones are fertile ground for demand-side management energy initiatives. Many Empire Zones are in highly urbanized areas and dominated by relatively old, inefficient buildings with aging infrastructure. Because these customers do not pay the New York State System Benefit Charge ("SBC") on their Empire Zone Rider ("EZR") eligible usage, they are not eligible for assistance through the New York State Energy Research and Development Authority's ("NYSERDA") commercial energy efficiency programs. A complete list of NYSERDA programs and guidelines may be found at <http://www.nyserda.org/programs.html>.

The **Energy Efficiency in Empire Zones Program** provides assistance to Empire Zone businesses in the Company's service territory. The program provides incentives to eligible customers for installation of energy-efficient lighting, controls, HVAC equipment, motors/electronic speed controls, and other systems that reduce energy use and/or enhance productivity.

Application requests may include, but are not limited to, the following:

- Energy efficiency lighting, ballasts, fixtures, and lighting controls;
- AC Energy Efficient Motors and electronic speed control devices;
- Ventilation fans driven by AC Motors;
- Centrifugal pumps driven by AC Motors;
- Process equipment driven by AC Motors and controls;
- Refrigeration Equipment;
- Heat Recovery Equipment;
- Limited Building Envelope Modifications;
- Compressed Air Systems;
- Boiler/Boiler Controls;
- HVAC Components;
- Air Handling Systems;
- Load Management Equipment and Systems;
- Building Automation and Energy Management Systems; and
- Equipment associated with green building technologies and LEEDS building initiatives (Leadership in Energy & Environmental Design).

**Minimum Program Requirements:** *Please review the program requirements and guidelines below prior to completing an application for funding.*

*Note: Program assistance is only available to customers in good standing, located within National Grid's Upstate New York franchise territory. Applicants must be current in payments with National Grid or have executed a deferred payment agreement with the Company.*

To be eligible for this program, the **applicant** must:

- ❑ Be the owner of the eligible business;
- ❑ Be a certified Empire Zone customer; **and**
- ❑ Be receiving energy delivery benefits under National Grid's Empire Zone Rider (EZR) Program **OR** undertaking an EZR qualifying expansion.

### **Funding and Eligibility Guidelines**

Program funding and parameters are established annually by National Grid. Grants are available on a continual basis until all funding is expended or until the end of National Grid's current rate agreement. Funding is released to a grant award recipient only after the recipient has met all conditions of the program. In all circumstances, funding should be viewed by the applicant as a reimbursement for work completed following grant approval in the form of an award letter.

The grant award recipient should expect to execute a Funding Agreement with National Grid. The Agreement will outline expectations of the grant program and the conditions for the release of funds.

Grant amounts listed are the maximum allowable award for each program. Each application is evaluated on a variety of factors, resulting in some not receiving the maximum grant award.

If you are applying to more than one program for the same project, you must indicate that clearly on the application.

Under no circumstance will funding be released after the expiration of the Company's current rate agreement or without prior written consent from National Grid.

- ❑ Incentives must be installed within two (2) years of the grant approval date.
- ❑ Grants only apply to energy efficiency equipment identified through the application process.
- ❑ Projects involving construction of a new building are not eligible for funding under this program.
- ❑ Building renovation and expansion projects are eligible to the extent that they yield energy efficiency savings through replacement of equipment and systems
- ❑ Grants will not exceed \$25,000.
- ❑ At a minimum, the customer must fund at least twenty-five percent (25%) of total project costs, and the National Grid Upstate funding must represent no more than fifty percent (50%) of the total project costs.
- ❑ Customers must be Empire Zone certified and receiving discounted energy delivery service through National Grid's Empire Zone Rider, or certified and undertaking an EZR qualifying expansion project.

### **How to Apply**

To apply for the Energy Efficiency in Empire Zones Program please:

- Complete the program application online; and
- Upload all required documentation as noted at the end of your online application.

*If you need assistance in completing the application, please contact Karen Mousaw via email at [Karen.Mousaw@nationalgrid.com](mailto:Karen.Mousaw@nationalgrid.com).*



## AGRI-BUSINESS PRODUCTIVITY PROGRAM

*Note to state, regional, and local economic developers: If you intend to use this program as part of an overall incentive offer to a company, you must submit a written request to National Grid's Economic Development Department in advance of the project announcement.*

### Program Summary

The agri-business industry is a critical component of the Upstate New York economy, both as a direct employer and wealth generator, and as a key input to a large number of “downstream” manufacturing industries.

The **Agri-Business Productivity Program** provides incentives for the installation of energy efficiency, renewable energy delivery, and/or productivity improvements undertaken by dairy farms, commercial farms, food processing businesses and controlled environment agricultural facilities located within the Company's service territory.

Application requests may include, but are not limited to, the following:

- Energy efficiency lighting, ballasts, fixtures, and lighting controls;
- AC Energy Efficient Motors and electronic speed control devices;
- Ventilation fans driven by AC Motors;
- Centrifugal pumps driven by AC Motors;
- Process equipment driven by AC Motors and controls;
- Renewable energy projects directly serving the facility (anaerobic digestion, solar, biomass, or hydro power); **and**
- In addition, the project costs can include the costs associated with renovating/retrofitting customer distribution systems (*i.e.* building wiring/grounding).

**Minimum Program Requirements:** *Please review the program requirements and guidelines below prior to completing an application for funding.*

*Note: Program assistance is only available to customers in good standing, located within National Grid's Upstate New York franchise territory. Applicants must be current in payments with National Grid or have executed a deferred payment agreement with the Company.*

To be eligible for this program, the **applicant** must:

- Be a dairy farm, commercial farm, food processing business and/or controlled environment agriculture facility in the National Grid Upstate service territory.

To be eligible for this program, the **facility (business or farm)** must:

- Receive electric service from National Grid; **and**
- Be undertaking an energy efficiency project through any public agency or utility program; **OR**
- Purchasing/installing equipment for a renewable energy project to serve facility; **OR**

- ❑ Constructing/upgrading (for increased energy efficiency) a new controlled environment agriculture facility.

**Funding and Eligibility Guidelines**

Program funding and parameters are established annually by National Grid. Grants are available on a continual basis until all funding is expended or until the end of National Grid’s current rate agreement. Funding is released to a grant award recipient only after the recipient has met all conditions of the program. In all circumstances, funding should be viewed by the applicant as a reimbursement for work completed following grant approval in the form of an award letter.

The grant award recipient should expect to execute a Funding Agreement with National Grid. The Agreement will outline expectations of the grant program and the conditions for the release of funds.

Grant amounts listed are the maximum allowable award for each program. Each application is evaluated on a variety of factors, resulting in some not receiving the maximum grant award.

If you are applying to more than one program for the same project, you must indicate that clearly on the application.

Under no circumstance will funding be released after the expiration of the Company’s current rate agreement or without prior written consent from National Grid.

- ❑ Grant amounts will be determined based on the size of the **total** capital investment you are making in your project/facility (including energy and non-energy related investments) as follows:

<u>Total Capital Investment</u>	<u>Total Avail Funding not to Exceed:</u>
Under \$25,000	\$5,000
\$25,000 up to \$100,000	\$10,000
\$100,000 up to \$500,000	\$25,000
Above \$500,000	\$50,000

Grant amounts listed are the maximum allowable award for each program. All applications are evaluated on a wide variety of factors. Most applications will not be scored at a level that will result in them receiving the maximum grant award.

- ❑ Program funds will be provided after funding from public agency or utility program resources have been secured.
- ❑ Applicant must document its contribution of matching funds to equal twenty-five percent (25%) of the total project costs.
- ❑ Eligible renewable generation projects must be connected and operated in accordance with the Company’s Tariff.

## **How to Apply**

To apply for the Agri-Business Productivity Program please:

- Complete the program application online; and
- Upload all required documentation as noted at the end of your online application.

*If you need assistance in completing the application, please contact Karen Mousaw via email at [Karen.Mousaw@nationalgrid.com](mailto:Karen.Mousaw@nationalgrid.com).*



## RENEWABLE ENERGY AND ECONOMIC DEVELOPMENT PROGRAM

*Note to state, regional, and local economic developers: If you intend to use this program as part of an overall incentive offer to a company, you must submit a written request to National Grid's Economic Development Department in advance of the project announcement.*

### Program Summary

Upstate New York has an opportunity to distinguish itself as a leader in sustainable energy research, technology development, commercialization, and manufacturing. The region's research capabilities, natural resources, and diverse economy are distinguishing characteristics – as is New York State's strong leadership in promoting clean energy through the Renewable Portfolio Standard and a robust menu of tax credits, net metering policies, and other incentives. Within this supportive environment, National Grid can play a role in ensuring that the region's alternative energy strengths are fully utilized to create economic development assets and business development opportunities.

**The Renewable Energy and Economic Development Program** will fund a limited number of projects in the National Grid Upstate service territory that demonstrate alternative generation technologies while producing significant economic development benefits for the region. The program will provide matching grants of up to \$750,000 for collaborative projects that involve an upstate research institution, one or more renewable energy, energy storage, or clean transportation technology partners, and a regional economic development sponsor. Eligible generation technologies include, but are not limited to, solar, photovoltaic, geothermal, biomass, and anaerobic digestion.

**Minimum Program Requirements:** *Please review the program requirements and guidelines below prior to completing an application for funding.*

*Note: Program assistance is only available to customers in good standing, located within National Grid's Upstate New York franchise territory. Applicants must be current in payments with National Grid or have executed a deferred payment agreement with the Company.*

To be eligible for this program, the **applicant** must be:

- ❑ A regional economic development entity in National Grid's Upstate New York service territory; **or**
- ❑ A university-based research organization with the endorsement of the authorized municipality where the project is taking place; **or**
- ❑ A 501(c)(3), 501(c)(6), or 501(c)(4) corporation, working in tandem with a municipality, university, or regional economic development organization.

To be eligible for this program, the **project** must:

- ❑ Be located within the National Grid Upstate New York service area; **and**
- ❑ Result in the installation of grid-connected renewable generation such as solar, photovoltaic, and biomass/biogas technologies; **OR**
- ❑ Result in the installation of energy storage technologies; **OR**



- ❑ Development and deployment of new clean transportation technologies including distributed storage (Vehicle to Grid) and charging infrastructure; **and**
- ❑ Obtain matching funds on at least a 3:1 basis from other sources; **and**
- ❑ Include involvement of a regional university research institution; **and**
- ❑ Have one or more renewable energy or related clean technology partners; **and**
- ❑ Have a regional economic development sponsor; **and**
- ❑ Show specific evidence of regional economic development benefits by:
  1. Creating an asset that will enhance regional business attraction efforts; **OR**
  2. Serving as a learning center for renewable energy, energy storage, electric vehicle technology research, or development and technology transfer; **or**
  3. Helping to address long-term workforce development goals and issues in the “green” energy/technology sectors.

### **Funding and Eligibility Guidelines**

Program funding and parameters are established annually by National Grid. Grants are available on a continual basis until all funding is expended or until the end of National Grid’s current rate agreement. Funding is released to a grant award recipient only after the recipient has met all conditions of the program. In all circumstances, funding should be viewed by the applicant as a reimbursement for work completed following grant approval in the form of an award letter.

The grant award recipient should expect to execute a Funding Agreement with National Grid. The Agreement will outline expectations of the grant program and the conditions for the release of funds.

The maximum allowable grant award for this program is \$750,000. All applications are evaluated on a variety of factors. Some applications may not result in the maximum grant award. If you are applying to more than one program for the same project, you must indicate that clearly on the application.

Under no circumstance will funding be released after the expiration of the Company’s current rate agreement or without prior written consent from National Grid.

- ❑ Program funds may only be used to offset twenty percent (20%) of project costs (4:1 funding match required).
- ❑ Eligible renewable generation projects must be connected and operated in accordance with National Grid’s Tariff.

## **How to Apply**

To apply for the Renewable Energy and Economic Development Program please:

- Complete the program application online; and
- Upload all required documentation as noted at the end of your online application.

*If you need assistance in completing the application, please contact Karen Mousaw via email at [Karen.Mousaw@nationalgrid.com](mailto:Karen.Mousaw@nationalgrid.com).*



## **POWER QUALITY ENHANCEMENT PROGRAM**

*Note to state, regional, and local economic developers: If you intend to use this program as part of an overall incentive offer to a company, you must submit a written request to National Grid's Economic Development Department in advance of the project announcement.*

### **Program Summary**

This program offers financial incentives to qualified customers for the installation of power quality mitigation equipment and controls. Qualifying applicants must demonstrate their facility has a power quality problem that results in production, operational, or quality constraints, including, but not limited to, downtime and outage costs.

The **Power Quality Enhancement Program** provides assistance to qualifying businesses in the Upstate service territory of National Grid. The program helps fund installation of customer or utility-owned power quality mitigation equipment and services.

National Grid Service Classification 3, 3A and 4 customers in manufacturing, research and development, or health care sectors are eligible to submit an application for a reimbursement grant from the program.

Application requests may include, but are not limited to, the following:

- Voltage Ride-Through Equipment;
- Harmonic Filters;
- Voltage Regulators;
- Power Conditioning Equipment;
- Harmonic Rated Isolation Transformers;
- Transient Voltage Surge Suppression;
- Uninterruptible Power Supplies;
- Power Quality Controls;
- Diagnostic Services;
- Power Quality Monitoring; and
- Power Quality Measurements and Verification.

**Minimum Program Requirements:** *Please review the program requirements and guidelines below prior to completing an application for funding.*

*Note: Program assistance is only available to customers in good standing, located within National Grid's Upstate New York franchise territory. Applicants must be current in payments with National Grid or have executed a deferred payment agreement with the Company.*

To be eligible for this program, the **applicant** must:

- ❑ Be the owner of the eligible business; **and**
- ❑ Be a Service Classification 3, 3A, or 4 customer.

To be eligible for this program, the **facility (business)** must:

- ❑ Receive electric service from National Grid; **and**
- ❑ Be classified as one of the following industry sectors:
  - Manufacturing
  - Research and development
  - Health Care Sectors
  - Data Centers

### **Funding and Eligibility Guidelines**

Program funding and parameters are established annually by National Grid. Grants are available on a continual basis until all funding is expended or until the end of National Grid's current rate agreement. Funding is released to a grant award recipient only after the recipient has met all conditions of the program. In all circumstances, funding should be viewed by the applicant as a reimbursement for work completed following grant approval in the form of an award letter.

The grant award recipient should expect to execute a Funding Agreement with National Grid. The Agreement will outline expectations of the grant program and the conditions for the release of funds.

Grant amounts listed are the maximum allowable award for each program. Each application is evaluated on a variety of factors, resulting in some not receiving the maximum grant award.

If you are applying to more than one program for the same project, you must indicate that clearly on the application.

Under no circumstance will funding be released after the expiration of the Company's current rate agreement or without prior written consent from National Grid.

- ❑ Incentives must be installed within two (2) years of the grant approval date.
- ❑ Grants only apply to power quality equipment or services identified through the application process and can include customer or utility-owned infrastructure or equipment.
- ❑ Projects involving construction of a new building are not eligible for funding under this program.
- ❑ Building renovation and expansion projects are eligible to the extent that they identify and mitigate power quality problems resulting in operational, production, or quality constraints.
- ❑ Grants will not exceed \$250,000.
- ❑ At a minimum, the customer must fund at least twenty-five (25%) of total project costs and the National Grid funding must represent no more than fifty percent (50%) of the total project costs.

- ❑ When a proposed power quality project will benefit more than one customer, multiple customers may apply to the program and receive grant funding based on the system needs of each applicant.
- ❑ Project must show evidence that a comprehensive assessment of energy efficiency measures was fully investigated and provide documentation pertaining to any completed or pending applications for energy efficiency incentives.

### **How to Apply**

To apply for the Power Quality Enhancement Program please:

- ❑ Complete the program application online; and
- ❑ Upload all required documentation as noted at the end of your online application.

*If you need assistance in completing the application, please contact Karen Mousaw via email at [Karen.Mousaw@nationalgrid.com](mailto:Karen.Mousaw@nationalgrid.com).*



## MANUFACTURING PRODUCTIVITY PROGRAM

*Note to state, regional, and local economic developers: If you intend to use this program as part of an overall incentive offer to a company, you must submit a written request to National Grid's Economic Development Department in advance of the project announcement.*

### Program Summary

Manufacturing employs over 550,000 New Yorkers and contributes \$61 billion annually to New York State's gross domestic product. Every manufacturing job creates more than 2.5 related jobs in other sectors, and every dollar spent generates an additional \$1.37 in economic activity.\* Small and medium-sized upstate New York manufacturers are challenged by high costs and regulatory pressures. They must continually improve productivity and performance to remain competitive in the global economy. In order to grow, they must develop new products and improve their return on investment from sales and marketing activities by finding new customers, markets, and export opportunities. This program was developed ~~in partnership with the Regional Technology Development Centers ("RTDCs")~~ with New York State Manufacturing Extension Partnership (NY MEP) centers from the Western New York, Finger Lakes, Central New York, Mohawk Valley, North Country, and Capital ~~regions and FuzeHub, a statewide NY MEP center,~~ and is delivered in conjunction with these NY MEPs—centers ~~RTDCs.~~ RTDC Contact information for each NY MEP center is provided at the end of this program description.

*\*Source: Manufacturers Association of Central New York*

The **Manufacturing Productivity Program** provides matching grants of up to \$15,000 or forty percent (40%) (whichever is less) of the costs incurred by eligible applicants whose top management commits the time and resources to “lean manufacturing” projects or manufacturing assistance projects that result in eliminating waste and increasing productivity on the “shop floor” and in the office.

Further, the program provides matching grants of up to \$15,000 or fifty percent (50%) (whichever is less) of the costs incurred by eligible applicants whose top management commits the time and resources to growth-targeted activities that will result in greater utilization of manufacturing capacity.

Finally, the program provides matching grants of up to \$40,000 or sixty percent (60%) (whichever is less) of the costs incurred by eligible applicants whose top management commits the time and resources to projects that combine and coordinate the productivity and growth activities described above.

Grant awards will be funded in conjunction with ~~RTDCs~~ NY MEP centers upon verification of increased productivity and capacity, improvement of the bottom-line, and pursuit of additional sales with the same work force. Priority consideration will be given to projects that involve energy efficiency, energy utilization, and/or environmental solutions.

Applications for matching grant assistance must meet the following program requirements.

## Minimum Program Requirements

To be eligible for this program, the **applicant** must:

- ❑ Be an SC 2D, SC 3, SC 3A or SC 4 customer in good standing within National Grid's Upstate New York service territory;
- ❑ Be a business that is classified in the North American Industry Classification System (NAICS\*\*) as Manufacturing (NAICS codes 31, 32 or 33);
- ❑ Execute an agreement that commits top management to the processes that result in the productivity and development improvements articulated in this program distribution; **and**
- ❑ Provide evidence of funding from the applicant and other sources that is sufficient to complete the proposed project. The applicant must provide a minimum of twenty-five (25%) of the total funding from its own capital.
- ❑ Project must show evidence that a comprehensive assessment of energy efficiency measures was fully investigated and provide documentation pertaining to any completed or pending applications for energy efficiency incentives.

\*\*NAICS classifications can be found online at <http://www.census.gov/epcd/www/naics.html>

*Note: Program assistance is only available to customers in good standing, located within National Grid's Upstate New York franchise territory. Applicants must be current in payments with National Grid or have executed a deferred payment agreement with the Company.*

To be eligible for this program, the **project** must accomplish one or more of the following:

- ❑ Optimize the current facility
- ❑ Increase machine effectiveness
- ❑ Improve product quality
- ❑ Reduce costs
- ❑ Reduce lead times
- ❑ Improve process-flow
- ❑ Increase inventory turns
- ❑ Expand markets
- ❑ Develop new customers
- ❑ Develop new products

## Funding and Eligibility Guidelines

Program funding and parameters are established annually by National Grid. Grants are available on a continual basis until all funding is expended or until the end of National Grid's current rate agreement. Funding is released to a grant award recipient only after the recipient has met all conditions of the program. In all circumstances, funding should be viewed by the applicant as a reimbursement for work completed following grant approval in the form of an award letter.

The grant award recipient should expect to execute a Funding Agreement with National Grid. The Agreement will outline expectations of the grant program and the conditions for the release of funds.

Grant amounts listed are the maximum allowable award for each program. Each application is evaluated on a variety of factors, resulting in some not receiving the maximum grant award.

If you are applying to more than one program for the same project, you must indicate that clearly on the application.

Under no circumstance will funding be released after the expiration of the Company's current rate agreement or without prior written consent from National Grid.

### **How to Apply**

To apply for the Manufacturing Productivity Program please:

- Complete the program application online; and
- Upload all required documentation as noted at the end of your online application.

*If you need assistance in completing the application, please contact Karen Mousaw via email at [Karen.Mousaw@nationalgrid.com](mailto:Karen.Mousaw@nationalgrid.com).*



**Capital Region**

**Center for Economic Growth**

41 State Street, Suite 705  
Albany, NY 12207  
Phone: 518-465-8975  
[www.ceg.org](http://www.ceg.org)

**Statewide NY MEP Center**

FuzeHub  
25 Monroe St, Suite 201  
Albany, NY  
Phone: 518-768-7030  
[Info@fuzehub.com](mailto:Info@fuzehub.com)

**North Country**

**Council for International Trade, Technology, Education and Communication (CITEC)**

Peyton Hall, Clarkson University  
Main Street, Box 8561  
Potsdam, NY 13669-8561  
Phone: 315-268-3778  
[www.citec.org](http://www.citec.org)

**Mohawk Valley**

**AIM: Advanced Institute for Manufacturing**

**Mohawk Valley Community College**

1101 Sherman Dr.  
Utica, NY 13501  
Phone: 315-624-9800  
[www.mvatc.com](http://www.mvatc.com)

**Central New York**

**CNY Technology Development Organization, Inc.**

445 Electronics Parkway, Suite 206  
Liverpool, NY 13088  
Phone: 315-425-5144  
Fax: 315-233-1259  
[mail@tdo.org](mailto:mail@tdo.org) or [www.cnytdo.org](http://www.cnytdo.org) or [www.tdosolutions.com](http://www.tdosolutions.com)

**Finger Lakes**

**NextCorps**

**Growth Services**

260 East Main St., Suite 6000  
Rochester, New York 14604  
Phone: 585-214-2400  
[www.htr.org](http://www.htr.org)

**Western New York**

**Insyte Consulting**

**C/O Northland Workforce Training Center**

683 Northland Ave. Door E Suite 1109  
Buffalo NY 14211  
Phone: 716-636-3626  
FAX: 716-845-6418  
[www.insyte-consulting.com](http://www.insyte-consulting.com)



## **BROWNFIELD REDEVELOPMENT ASSISTANCE PROGRAM**

*Note to state, regional, and local economic developers: If you intend to use this program as part of an overall incentive offer to a company, you must submit a written request to National Grid's Economic Development Department in advance of the project announcement.*

### **Program Summary**

Nearly every community in New York State is affected by brownfield sites and abandoned properties. Contaminated and abandoned properties exist in big cities, small towns, sprawling suburbs, and across the rural landscape. Left untouched, brownfields pose environmental, legal, and financial burdens on a community and its taxpayers. However, after cleanup, these sites can resume their status as powerful engines for economic vitality, job creation and community pride.

The **Brownfield Redevelopment Assistance Program** provides grants to fund utility related infrastructure improvements, demolition, and other costs that are necessary to progress the redevelopment of a brownfield site or abandoned building.

Application requests may include, but are not limited to, the following:

- Demolition that results in the clean-up and reuse of a contaminated site or building;
- Electric and gas infrastructure improvements;
- Costs associated with the local match for NYS DEC Environmental Restoration Program ("ERP") and the Brownfield Opportunity Area Program ("BOA"); and
- Phase I and Phase II environmental site assessments.

Priority will be given to site or building redevelopment projects that have obtained a sufficient amount of funding to fulfill the project redevelopment goals.

**Minimum Program Requirements:** *Please review the program requirements and guidelines below prior to completing an application for funding.*

*Note: Program assistance is only available to customers in good standing, located within National Grid's Upstate New York franchise territory. Applicants must be current in payments with National Grid or have executed a deferred payment agreement with the Company.*

To be eligible for this program, the **applicant** must be:

- A municipality and/or its authorized development corporation, **or**
- A 501(c)(3), 501(c)(6), or 501(c)(4) corporation, working in tandem with a municipality and/or its Industrial Development Agency or Local Development Corporation, **or**
- The owner or developer of the eligible site with the endorsement of the municipality.

To be eligible for this program, the **project (site or building)** must:

- ❑ Receive electric or gas service from National Grid; **and**
- ❑ Have a viable commercial or industrial end use strategy for the site, based on some or all of the following factors:
  - Physical condition of building or site
  - Potential for land acquisition or site control
  - Regional economic impact (new jobs and capital investment) of successful reuse
  - Demonstrated ability to accomplish and sustain reuse as a commercial or industrial site
  - Demonstrated ability to obtain federal, state and other funding
  - Demonstrated ability to market the site or building to attract economic investment
  - Eligibility for state and federal development funds for the total project costs
  - Strength of development partnerships and community support
  - Eligible projects may include photovoltaic (PV) generation or other renewable energy development as one component of the viable end use strategy, but renewable energy development cannot represent the sole end use of the eligible site or building

### **Funding and Eligibility Guidelines**

Program funding and parameters are established annually by National Grid. Grants are available on a continual basis until all funding is expended or until the end of National Grid's current rate agreement. Funding is released to a grant award recipient only after the recipient has met all conditions of the program. In all circumstances, funding should be viewed by the applicant as a reimbursement for work completed following grant approval in the form of an award letter.

The grant award recipient should expect to execute a Funding Agreement with National Grid. The Agreement will outline expectations of the grant program and the conditions for the release of funds.

Grant amounts listed are the maximum allowable award for each program. Each application is evaluated on a variety of factors, resulting in some not receiving the maximum grant award.

If you are applying to more than one program for the same project, you must indicate that clearly on the application.

Under no circumstance will funding be released after the expiration of the Company's current rate agreement or without prior written consent from National Grid.

- ❑ The maximum grant allowable for a project is \$300,000.
- ❑ Program funds may be used for up to twenty-five percent (25%) of the eligible costs of a project.
- ❑ The maximum program funding that can be allocated to the completion of both Phase I and Phase II Environmental investigations and other preliminary site/building investigations is \$25,000, which is included in the maximum allowable grant of \$300,000.
- ❑ National Grid funds may be used as matching funds for other public grants. In this instance, National Grid will commit dollars contingent upon the successful awarding of the grant but will not release funding until all required project funding is in place.

## **How to Apply**

To apply for the Brownfield Redevelopment Assistance Program please:

- Complete the program application online; and
- Upload all required documentation as noted at the end of your online application.

*If you need assistance in completing the application, please contact Karen Mousaw via email at [Karen.Mousaw@nationalgrid.com](mailto:Karen.Mousaw@nationalgrid.com).*



## **BUILDING READY UPSTATE PROGRAM**

*Note to state, regional, and local economic developers: If you intend to use this program as part of an overall incentive offer to a company, you must submit a written request to National Grid's Economic Development Department in advance of the project announcement.*

### **Program Summary**

Many Upstate New York communities lack an inventory of quality buildings to attract new businesses. Another hurdle to overcome is the length of the approval process for constructing a new building. Empire State Development has started a program (the Shovelready certification) to address the length of time necessary in permitting sites. The Building Ready Upstate Program would follow the same principles of reducing the upfront time required in gaining the necessary approvals for new building construction.

The **Building Ready Upstate Program** provides grants to fund building drawings, site plans, and design specifications to meet local planning board approval and other costs that are required to reduce the upfront time needed to construct a new facility.

**Minimum Program Requirements:** *Please review the program requirements and guidelines below prior to completing an application for funding.*

*Note: Program assistance is only available to customers in good standing, located within National Grid's Upstate New York franchise territory. Applicants must be current in payments with National Grid or have executed a deferred payment agreement with the Company.*

To be eligible for this program, the **applicant** must:

- Be the owner or developer of an appropriate site endorsed by the local IDA; **or**
- Be the local ED organization; **and**
- Be willing to actively market the building to out-of-state prospects.

To be eligible for this program, the **project** must:

- Receive electric or gas service from National Grid;
- Receive the endorsement of an IDA or the principal development agency for the community;
- Be suitable for use by one of the following "economic growth" industries:
  - Manufacturing
  - Distribution Centers
  - Regional warehousing or storage
  - Research and development
  - "Back office" such as data processing or customer service operations;
- Be a minimum of 20,000 square feet; **and**
- At project conclusion, show evidence of project completion and certification by the local planning board.

## **Funding and Eligibility Guidelines**

Program funding and parameters are established annually by National Grid. Grants are available on a continual basis until all funding is expended or until the end of National Grid's current rate agreement. Funding is released to a grant award recipient only after the recipient has met all conditions of the program. In all circumstances, funding should be viewed by the applicant as a reimbursement for work completed following grant approval in the form of an award letter.

The grant award recipient should expect to execute a Funding Agreement with National Grid. The Agreement will outline expectations of the grant program and the conditions for the release of funds.

Grant amounts listed are the maximum allowable award for each program. Each application is evaluated on a variety of factors, resulting in some not receiving the maximum grant award.

If you are applying to more than one program for the same project, you must indicate that clearly on the application.

Under no circumstance will funding be released after the expiration of the Company's current rate agreement or without prior written consent from National Grid.

- Program funds may only be used for up to 75% of total costs for building drawings, design work, and marketing.
- Priority will be given to projects that have a sufficient amount of funding committed.
- Priority will be given to applicants who have aggressive marketing plans designed to attract new businesses.
- Grant amounts will be limited to a maximum of \$125,000 and cannot exceed seventy-five percent (75%) of the total project cost.

## **How to Apply**

To apply for the Building Ready Upstate Program please:

- Complete the program application online; and
- Upload all required documentation as noted at the end of your online application.

*If you need assistance in completing the application, please contact Karen Mousaw via email at [Karen.Mousaw@nationalgrid.com](mailto:Karen.Mousaw@nationalgrid.com).*



## INDUSTRIAL BUILDING REDEVELOPMENT PROGRAM

*Note to state, regional, and local economic developers: If you intend to use this program as part of an overall incentive offer to a company, you must submit a written request to National Grid's Economic Development Department in advance of the project announcement.*

### Program Summary

National Grid's Upstate New York service territory has many vacant and underutilized buildings or complexes (integrated groups of buildings) that were originally built for and occupied by a single, large end-user. These buildings and complexes are unlikely to attract single end-users and thus must be marketed as multi-tenant, industrial properties. One of the challenges to the marketability of these properties is the expense of separating the utility services.

The **Industrial Building Redevelopment Program** provides grants of up to \$250,000 (based on the amount of capital investment per the chart below) to property owners who are upgrading electric and/or natural gas infrastructure to return these properties to active industrial use.

<u>Total Capital Investment</u>	<u>Available Funding Not to Exceed</u>
Under \$1Million	\$50,000
\$1Million to \$5Million	\$100,000
\$5Million and above	\$250,000

**Minimum Program Requirements:** *Please review the program requirements and guidelines below prior to completing an application for funding.*

*Note: Program assistance is only available to customers in good standing, located within National Grid's Upstate New York franchise territory. Applicants must be current in payments with National Grid or have executed a deferred payment agreement with the Company.*

To be eligible for this program, the **applicant** must:

- Be the owner, or contract purchaser of the eligible facility;
- Demonstrate a willingness and ability to actively market the building to out-of-state companies or occupy the building as an end user; **and**
- Obtain Industrial Development Agency (IDA) or other public development agency support for the project.

To be eligible for this program, the **project** must:

- ❑ Be a building or integrated group of buildings that were at one time occupied by a single user;
- ❑ Receive electric or natural gas service from National Grid;
- ❑ Be vacant or underutilized (underutilized means that at least 50% of the usable space is vacant);
- ❑ Be at least **50,000** square feet or larger;
- ❑ At project conclusion, provide a certificate of occupancy or a certificate of compliance from the local building codes department; **and**
- ❑ Be suitable for use by one of the following industry sectors:
  - Manufacturing
  - Regional warehousing/distribution center
  - Scientific research and development
  - Data Centers
  - “Back office” operations such as data processing or customer service operations

### **Funding and Eligibility Guidelines**

Program funding and parameters are established annually by National Grid. Grants are available on a continual basis until all funding is expended or until the end of National Grid’s current rate agreement. Funding is released to a grant award recipient only after the recipient has met all conditions of the program. In all circumstances, funding should be viewed by the applicant as a reimbursement for work completed following grant approval in the form of an award letter.

The grant award recipient should expect to execute a Funding Agreement with National Grid. The Agreement will outline expectations of the grant program and the conditions for the release of funds.

Grant amounts listed are the maximum allowable award for each program. Each application is evaluated on a variety of factors, resulting in some not receiving the maximum grant award.

If you are applying to more than one program for the same project, you must indicate that clearly on the application.

Under no circumstance will funding be released after the expiration of the Company’s current rate agreement or without prior written consent from National Grid.

- ❑ Program funds may only be used to offset fifty percent (50%) of construction costs associated with upgrading, segregating, or otherwise making the property’s electric and/or gas infrastructure suitable for occupancy by multiple tenants. This could include costs associated with planning, design, engineering, and construction costs associated with new infrastructure.
- ❑ Priority will be given to applicants who furnish aggressive marketing plans designed to attract new businesses to the completed project.



## **How to Apply**

To apply for the Industrial Building Redevelopment Program please:

- Complete the program application online; and
- Upload all required documentation as noted at the end of your online application.

*If you need assistance in completing the application, please contact Karen Mousaw via email at [Karen.Mousaw@nationalgrid.com](mailto:Karen.Mousaw@nationalgrid.com).*



## SHOVEL READY INCENTIVE PROGRAM

*Note to state, regional, and local economic developers: If you intend to use this program as part of an overall incentive offer to a company, you must submit a written request to National Grid's Economic Development Department in advance of the project announcement.*

### Program Summary

National Grid's Upstate New York service area contains many sites that have completed either the NYS Shovelready Certification Program, or the NYS BuildNow NY Program.<sup>2</sup> These sites have received a "shovel-ready" certification or are in the process of receiving a "shovel-ready" certification. While these sites may be considered a premium economic development "product", many lack the necessary infrastructure to make them marketable to economic development prospects that require a fully developed site for fast-tracked location decisions. Additionally, economic development organizations are preparing new, large-user sites to add to the existing "shovel-ready" product. National Grid has created this program to help make these sites more marketable for the attraction or expansion of job creating companies.

The **Shovel Ready Infrastructure Program** provides grants of up to \$125,000 for engineering and planning, and \$500,000 for the installation of electric and natural gas infrastructure to a designated BuildNow NY and Shovel-Ready Certified Sites served by National Grid, and for engineering studies that will advance a site in the Shovelready development process.

\*Proposed changes to existing programs are identified in red.

**Minimum Program Requirements:** *Please review the program requirements and guidelines below prior to completing an application for funding.*

*Note: Program assistance is only available to customers in good standing, located within National Grid's Upstate New York franchise territory. Applicants must be current in payments with National Grid or have executed a deferred payment agreement with the Company.*

To be eligible for this program, the **applicant** must:

- Be the owner of the eligible site or have an option to purchase the site; **and**
- Have a plan for marketing the site.

To be eligible for a grant of up to \$250,000 for infrastructure from this program, the **project (site)** must:

- Be located within the National Grid Upstate New York franchise area;
- Be a designated BuildNow NY or Shovel-Ready Certified site; **and**
- Be fully served (all infrastructure in place) upon completion of the project.

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<sup>2</sup> There are currently 110 BuildNow-NY sites across New York State and 31 are certified Shovel Ready sites. For a list of BuildNow-NY, Shovel-Ready Certified sites and more information on the program go to <http://www.esd.ny.gov/BusinessPrograms/Data/BuildNow/CetifiedSites.htm>

To be eligible for a grant of up to \$125,000 for engineering and planning from this program, the **project (site)** must:

- ❑ Be located within the National Grid Upstate New York franchise area;
- ❑ Have a high economic development value (*i.e.* be suitable to attract a large, job-creating, user, or users); **and**
- ❑ Be Shovel-Ready Certified site by NYS upon completion (*i.e.* grant funds will not be paid out until NYS certifies the site as ShovelReady).

### **Funding and Eligibility Guidelines**

Program funding and parameters are established annually by National Grid. Grants are available on a continual basis until all funding is expended or until the end of National Grid's current rate agreement. Funding is released to a grant award recipient only after the recipient has met all conditions of the program. In all circumstances, funding should be viewed by the applicant as a reimbursement for work completed following grant approval in the form of an award letter.

The grant award recipient should expect to execute a Funding Agreement with National Grid. The Agreement will outline expectations of the grant program and the conditions for the release of funds.

Grant amounts listed are the maximum allowable award for each program. Each application is evaluated on a variety of factors, resulting in some not receiving the maximum grant award.

If you are applying to more than one program for the same project, you must indicate that clearly on the application.

Under no circumstance will funding be released after the expiration of the Company's current rate agreement or without prior written consent from National Grid.

- ❑ Grant funds may be used for the installation of National Grid-owned electric and natural gas infrastructure. These grant funds will provide a maximum of twenty-five percent (25%) of total site development costs.
- ❑ Grant funds may also be used for engineering studies that will result in site being certified by NYS as Shovel-Ready.
- ❑ These grant funds must be matched 1:1 and cannot exceed \$125,000.
- ❑ Retail oriented sites are excluded, unless they will result in a major tourism destination for Upstate New York.

***Applicants awarded a planning and engineering grant, whose site becomes certified by NYS as ShovelReady as a result, are eligible for up to \$250,000 for infrastructure from this program.***

## **How to Apply**

To apply for the Shovel Ready Incentive Program please:

- Complete the program application online; and
- Upload all required documentation as noted at the end of your online application.

*If you need assistance in completing the application, please contact Karen Mousaw via email at [Karen.Mousaw@nationalgrid.com](mailto:Karen.Mousaw@nationalgrid.com).*



## CleanTech Incubation Program

*Note to state, regional, and local economic developers: If you intend to use this program as part of an overall incentive offer to a company, you must submit a written request to National Grid’s Economic Development Department in advance of the project announcement.*

### Program Summary

This program supports the development of a self-sustaining entrepreneurial and innovation “ecosystem” in Upstate New York that will stimulate and support high growth new businesses generating new jobs and new investment in the National Grid service territory. National Grid has created this program to support initiatives that facilitate formation of new ventures or growth of high potential small ventures. The program was also created to make buildings more marketable for the creation of new jobs in the clean tech industry and other advanced technology industry sectors.

The **CleanTech Incubation Program** provides grants up to \$250,000 to support entrepreneurial ventures, connect new companies to key resources, address their critical problems, and assist them in capitalizing on emerging opportunities.

Application requests may include, but are not limited to, the following;

- The costs associated with market research;
- Commercialization efforts,
- Consulting support that includes entrepreneurs-in-residence (“EIR”); training; and
- Costs related to performance tracking and documentation of lessons learned (for replication purposes).

Priority will be given to applicants who have undertaken similar projects elsewhere and concluded them successfully.

The program also offers matching grants of up to \$250,000 for the fit-up of buildings that provide business incubation services for companies in the clean tech industry sector based on the following levels of capital investment as follows:

<u>Total Capital Investment</u>	<u>Available Funding Not to Exceed</u>
Under \$1 Million	\$50,000
\$1 Million to \$5 Million	\$100,000
\$5 Million and above	\$250,000

### Minimum Program Requirements:

*Note: Program assistance is only available to customers in good standing located within the National Grid Upstate New York franchise territory. Applicants must be current in payments with National Grid, or have executed a deferred payment agreement, and be operating under a franchise agreement with the Company.*

To be eligible for the entrepreneur venture support, the **applicant** must:

- ❑ Be a NYS Center for Advanced Technology (CAT), or Center of Excellence (COE), or a 501(c)(3), 501(c)(4) or 501(c)(6) corporation dedicated to entrepreneur support;
- ❑ Have experience and a track record of successful performance in economic development and entrepreneurship; **and**
- ❑ Have a history of working and interacting with entrepreneurs and organizations that support entrepreneurs.

To be eligible for the entrepreneur venture support, the **project** must:

- ❑ Have a physical location in National Grid's Upstate New York service territory that receives electric and/or natural gas service;
- ❑ Focus on business-related issues that facilitate the creation, sustainability and/or growth of for-profit entrepreneurial ventures;
- ❑ Include hands-on implementation assistance involving direct interaction with entrepreneurs and their ventures;
- ❑ Include metrics and a tracking method related to increases in entrepreneurial activity including ventures started or growth in existing ventures, jobs created and/or retained, new capital investment and/or revenue growth; **and**
- ❑ Be based on a replicable model with a final report that outlines lessons learned from the funded and substantiated financial results.

To be eligible for the building fit-up assistance, the **applicant** must:

- ❑ Be the owner of the eligible site or building; **or**
- ❑ Be a municipality or not-for-profit 501(c)(3) or 501(c)(6) economic development agency responsible for the development of the site or building.

To be eligible for building fit-up assistance the **project** must:

- ❑ Have a physical location in National Grid's Upstate New York service territory that receives electric and/or natural gas service;
- ❑ Have existing infrastructure that is a barrier to new investment; **and**
- ❑ Include a plan for marketing the building to Clean Tech and other advanced technology industries.

### **Funding and Eligibility Guidelines**

Program funding and parameters are established annually by National Grid. Grants are available on a continual basis until all funding is expended or until the end of National Grid's current rate agreement. Funding is released to a grant award recipient only after the recipient has met all conditions of the program. In all circumstances, funding should be viewed by the applicant as a reimbursement for work completed following grant approval in the form of an award letter.

The grant award recipient should expect to execute a Funding Agreement with National Grid. The Agreement will outline expectations of the grant program and the conditions for the release of funds.

Grant amounts listed are the maximum allowable award for each program. All applications are evaluated on a variety of factors. Some applications may not result in the maximum grant award.

If you are applying to more than one program for the same project, you must indicate that clearly on the application.

Under no circumstance will funding be released after the expiration of the Company's current rate agreement or without prior written consent from National Grid.

- ❑ National Grid funds may only be used to offset fifty percent (50%) of project costs (minimum 1:1 funding match required).
- ❑ Funding will be limited to one application per organization per year.
- ❑ Entrepreneur funding is intended to provide one time support for new entrepreneur initiatives.
- ❑ A maximum of twenty percent (20%) of the total grant award can be given to any individual entrepreneur or company.
- ❑ Building fit-up funds can only be used to offset the costs for building drawings, design work, and/or construction.

### **How to Apply**

To apply for the CleanTech Incubation Program please:

- ❑ Complete the program application online; and
- ❑ Upload all required documentation as noted at the end of your online application.

*If you need assistance in completing the application, please contact Karen Mousaw via email at [Karen.Mousaw@nationalgrid.com](mailto:Karen.Mousaw@nationalgrid.com).*



## URBAN CENTER/COMMERCIAL DISTRICT REVITALIZATION PROGRAM

*Note to state, regional, and local economic developers: If you intend to use this program as part of an overall incentive offer to a company, you must submit a written request to National Grid's Economic Development Department in advance of the project announcement.*

### **Program Summary**

National Grid's Upstate New York service territory includes approximately thirty-four (34) urban centers with populations above 10,000. In addition to a rising demand for urban living spawned by "empty nesters" and accelerated commercial district improvements created by urban university investments in their neighborhoods, many communities are evaluating sustainable growth opportunities and enhancements to the downtown core that presents a unique opportunity to utilize excess utility infrastructure and create new employment and capital investment in Upstate New York cities. This program is designed to assist these metro centers in the Company's service territory achieve revitalization goals, increase property tax bases, and promote "smart growth" and sustainable investment in central business districts and commercial corridors.

The **Urban Center/Commercial District Revitalization Program** provides matching grants of up to \$250,000 to local municipalities, development corporations, universities, and medical complexes undertaking major neighborhood revitalization projects. Eligible projects must be endorsed by appropriate municipal authorities, and tied to specific investments in vacant/underutilized structures, neighborhoods, and sites within the urban core. Projects that capitalize on the distinctive character of historic city neighborhoods focus on energy efficiency strategies and demonstrate an aggressive approach toward attracting retail pioneers and reclaiming vacant structures will be considered favorably in the application process.

Application requests may include, but are not limited to, the following activities:

- Electric and gas infrastructure and lighting installations associated with pedestrian corridor improvements, site preparation, and building rehabilitation.
- The development of pre-construction drawings to advance an urban redesign plan associated with lighting improvements is also eligible, to the maximum extent possible lighting designs will promote energy efficiency.
- Alternative fuel transportation infrastructure as part of a larger urban revitalization effort.

Applicants must match National Grid funding on a 3:1 basis with other public and/or private resources to obtain funds under this program.

**Minimum Program Requirements:** *Please review the program requirements and guidelines below prior to completing an application for funding.*



*Note: Program assistance is only available to customers in good standing, located within National Grid's Upstate New York franchise territory. Applicants must be current in payments with National Grid or have executed a deferred payment agreement with the Company.*

To be eligible for this program, the **applicant** must be:

- ❑ A municipality and/or its authorized development corporation; **or**
- ❑ A 501(c)(3) or 501(c)(6), university, or medical complex with the endorsement of the authorized municipality where the project is taking place.

To be eligible for this program, the **project** must:

- ❑ Reside within the National Grid franchise area;
- ❑ Be located in a central business district or commercial area;
- ❑ Have existing utility infrastructure that is underutilized;
- ❑ Have a 3:1 match of other public and private funds to National Grid's dollars;
- ❑ Show specific evidence of job creation and capital investment by businesses or other economic entities attracted or retained by the project;
- ❑ Show evidence of concurrent commitment to the renovation of vacant or underutilized sites and structures within the urban core; **and**
- ❑ Reside within an urban center with population above 10,000. Based on current Census information, these are:

**Eligible Urban Cities**

<u>COUNTY</u>	<u>NAME</u>
Albany County	Albany city
Albany County	Cohoes city
Albany County	Watervliet city
Cattaraugus County	Olean city
Chautauqua County	Dunkirk city
Chautauqua County	Fredonia village
Chautauqua County	Jamestown city
Cortland County	Cortland city
Erie County	Buffalo city
Erie County	Depew village
Erie County	Kenmore village
Erie County	Lackawanna city
Erie County	Lancaster village
Erie County	Tonawanda city
Fulton County	Gloversville city
Genesee County	Batavia city
Jefferson County	Watertown city
Madison County	Oneida city
Montgomery County	Amsterdam city
Niagara County	Lockport city
Niagara County	Niagara Falls city
Niagara County	North Tonawanda city
Oneida County	Rome city
Oneida County	Utica city
Onondaga County	Syracuse city
Oswego County	Fulton city

Oswego County	Oswego city
Rensselaer County	Troy city
Saratoga County	Saratoga Springs city
Schenectady County	Schenectady city
St. Lawrence County	Massena village
St. Lawrence County	Massena village (pt.)
St. Lawrence County	Ogdensburg city
Warren County	Glens Falls city

### **Funding and Eligibility Guidelines**

Program funding and parameters are established annually by National Grid. Grants are available on a continual basis until all funding is expended or until the end of National Grid's current rate agreement. Funding is released to a grant award recipient only after the recipient has met all conditions of the program. In all circumstances, funding should be viewed by the applicant as a reimbursement for work completed following grant approval in the form of an award letter.

The grant award recipient should expect to execute a Funding Agreement with National Grid. The Agreement will outline expectations of the grant program and the conditions for the release of funds.

Grant amounts listed are the maximum allowable award for each program. Each application is evaluated on a variety of factors, resulting in some not receiving the maximum grant award.

If you are applying to more than one program for the same project, you must indicate that clearly on the application.

Under no circumstance will funding be released after the expiration of the Company's current rate agreement or without prior written consent from National Grid.

- ❑ Program funds may only be used to offset twenty-five percent (25%) of costs (3:1 funding match required) associated with planning, design, engineering, and construction related to the enhancement of a Urban Center/Commercial District involving lighting projects.
- ❑ Priority will be given to applicants who demonstrate smart growth strategies and partnerships designed to attract new investment and jobs in the urban core.

Maximum funding per project is \$250,000. Maximum funding for municipalities with a population between 10,000-14,999 is \$100,000.

### **How to Apply**

To apply for the Urban Center/Commercial District Revitalization Program please:

- Complete the program application online; and,
- Upload all required documentation as noted at the end of your online application.

*If you need assistance in completing the application, please contact Karen Mousaw via email at [Karen.Mousaw@nationalgrid.com](mailto:Karen.Mousaw@nationalgrid.com).*



## MAIN STREET REVITALIZATION PROGRAM

*Note to state, regional, and local economic developers: If you intend to use this program as part of an overall incentive offer to a company, you must submit a written request to National Grid's Economic Development Department in advance of the project announcement.*

### Program Summary

National Grid's Upstate New York service territory includes a substantial number of small to medium sized urban centers and main street corridors that possess unrealized potential and are located where National Grid often has existing utility infrastructure and capacity. This program is designed to assist communities in promoting "smart growth" and private sector investment in central business districts and commercial corridors which helps their competitive viability to attract investment, and to capitalize on their distinct development potential.

The **Main Street Revitalization Program** provides matching grants to eligible property owners, municipalities and non-for-profit development corporations undertaking efforts to revitalize critical main streets and commercial corridors.

Application requests may include, but are not limited to, the following:

- Development of pre-construction documents that advance an existing community accepted design plan, site preparation, and construction of commercial and industrial adaptive re-use projects; and
- Renovation and rehabilitation of commercial, industrial, or mixed-use buildings.

Priority projects will be sustainable and take advantage of energy efficiency and renewable energy initiatives. This program is not intended to provide grants for civic facilities (*e.g.* sports and recreation complexes, libraries, public buildings, or other municipal amenities). Projects must be located in an underutilized central business district/commercial area/corridor. The building itself should be vacant or within a targeted area as specified in the eligibility requirements below. Projects must demonstrate potential job creation. Those projects that demonstrate the ability to stimulate ancillary public and private investment will be reviewed favorably in the evaluation process. Applications showing commitments from public funding resources such as the NYS Downtown Revitalization Initiative, NYS Housing & Community Renewal, Restore NY Programs, and Empire State Development are encouraged.

**Minimum Program Requirements:** *Please review the following program requirements and guidelines carefully. They will help you decide whether you want to apply for this program.*

*Note: Program assistance is only available to customers in good standing, located within National Grid's Upstate New York franchise territory. Applicants must be current in payments with National Grid or have executed a deferred payment agreement with the Company.*

To be eligible for this program, the **applicant** must be:

- ❑ A municipality and/or its authorized development corporation; **or**
- ❑ A 501(c)(3), 501(c)(6), or 501(c)(4) corporation, working in tandem with a municipality and/or its Industrial Development Agency or Local Development Corporation; **or**
- ❑ Be the owner or developer of the eligible site with the endorsement of the municipality.

To be eligible for this program, the **project** must:

- ❑ Receive electric or natural gas service on a commercial rate from National Grid;
- ❑ Be located in a central business district or commercial area/corridor;
- ❑ Have existing electric or natural gas infrastructure that is underutilized;
- ❑ Show evidence of private sector job creation/retention and capital investment; **and**
- ❑ Reside in a building/site that is completely vacant OR is located within a targeted redevelopment area in which at least fifty percent (50%) of the commercial or mixed-use buildings are 100% vacant. The subject/applicant building must be at least 90% vacant.

### **Funding and Eligibility Guidelines**

Program funding and parameters are established annually by National Grid. Grants are available on a continual basis until all funding is expended or until the end of National Grid’s current rate agreement. Funding is released to a grant award recipient only after the recipient has met all conditions of the program. In all circumstances, funding should be viewed by the applicant as a reimbursement for work completed following grant approval in the form of an award letter.

The grant award recipient should expect to execute a Funding Agreement with National Grid. The Agreement will outline the expectations of the grant program and the conditions upon which funds will be released.

Grant amounts listed are the maximum allowable award for each program. All applications are evaluated on a variety of factors. Some applications may not result in the maximum grant award.

If you are applying to more than one program for the same project, you must indicate that clearly on the application.

Under no circumstance will funding be released after the expiration of the Company’s current rate agreement or without prior written consent from National Grid.

- ❑ Funding for eligible mixed-use projects will be appropriately scaled based on the proportion of commercial versus residential square footage and/or construction costs.
- ❑ Grant amounts will be determined based on the size of the **total** capital investment you are making in your project/facility (including energy and non-energy related investments) as follows:

<u>Total Capital Investment</u>	<u>Total Avail Funding not to Exceed:</u>
\$50,000 to \$250,000	\$25,000
\$250,000 to \$1 Million	\$50,000
\$1 Million to \$5 Million	\$100,000

\$5 Million to \$25 Million	\$250,000
Above \$25 Million **	\$500,000

\*\*To qualify for highest level of funding the building must be:

- 100% vacant for more than three (3) years; and
- greater than 250,000 sq ft.

- Program funds may only be used to offset fifty percent (50%) of costs (1:1 funding match required).
- Project must show evidence that a comprehensive assessment of energy efficiency measures was fully investigated and provide documentation pertaining to any completed or pending applications for energy efficiency incentives.

### **How to Apply**

To apply for the Main Street Revitalization Program please:

- Complete the program application online; and
- Upload all required documentation as noted at the end of your online application.

*If you need assistance in completing the application, please contact Karen Mousaw via email at [Karen.Mousaw@nationalgrid.com](mailto:Karen.Mousaw@nationalgrid.com).*



## TARGETED FINANCIAL ASSISTANCE PROGRAM

*Note to state, regional, and local economic developers: If you intend to use this program as part of an overall incentive offer to a company, you must submit a written request to National Grid's Economic Development Department in advance of the project announcement.*

### Program Summary

National Grid New York has a number of energy discount programs, including Service Classification No. 12 and the Empire Zone Rider (EZR). These programs are designed to attract new business customers to Upstate New York, help existing National Grid customers expand their businesses, and provide financial assistance to business customers who have severe competitive challenges.

The **Targeted Financial Assistance Program** is intended to fill gaps (either timing and/or other special circumstances related to the competitive position of the plant for new investment) in the National Grid energy discount programs by providing energy price reductions to business customers that have significant growth opportunities and severe competitive challenges. Applications must demonstrate that they have sought and are receiving benefits/incentives from state, federal, and/or local development agencies.

**Minimum Program Requirements:** *Please review the program requirements and guidelines below prior to completing an application for funding.*

*Note: Program assistance is only available to customers in good standing, located within National Grid's Upstate New York franchise territory. Applicants must be current in payments with National Grid or have executed a deferred payment agreement with the Company.*

To be eligible for this program, the **applicant** must:

- ❑ Be the owner of the eligible facility; **and**
- ❑ Demonstrate **one** of the following competitive threats or opportunities to your facility:
  - Facility closure due to financial reasons; **or**
  - Facility relocation from Niagara Mohawk service territory to a location outside of Niagara Mohawk service territory; **or**
  - Ability to attract new jobs and investment.

To be eligible for this program, the **facility** must:

- ❑ Be located within the National Grid Upstate service territory;
- ❑ Have an end use that may be classified in one of the following industry sectors:
  - Manufacturing
  - Wholesale Trade
  - Regional warehousing or storage
  - Professional, scientific, or technical services
  - Administrative or support services

- ❑ Have an average metered monthly electric demand of at least 500 kW<sup>3</sup>; **and**
- ❑ Meet **one** of the following conditions that indicates your facility is an intense user of energy or a critical regional employer:
  1. Your facility imposes or is likely to impose monthly electric peak demand of more than 5,000 kW; **or**
  2. Your facility’s electricity bills represent at least eight percent (8%) of your facility’s annual gross revenue from sales<sup>4</sup>; **or**
  3. Your facility has an average monthly load factor of at least 70%<sup>5</sup>; **or**
  4. Have at least 500 employees at that single facility/location.

**Funding and Eligibility Guidelines**

Program funding and parameters are established annually by National Grid. Grants are available on a continual basis until all funding is expended or until the end of National Grid’s current rate agreement. Funding is released to a grant award recipient only after the recipient has met all conditions of the program. In all circumstances, funding should be viewed by the applicant as a reimbursement for work completed following grant approval in the form of an award letter.

The grant award recipient should expect to execute a Funding Agreement with National Grid. The Agreement will outline expectations of the grant program and the conditions for the release of funds.

Grant amounts listed are the maximum allowable award for each program. Each application is evaluated on a variety of factors, resulting in some not receiving the maximum grant award.

If you are applying to more than one program for the same project, you must indicate that clearly on the application.

Under no circumstance will funding be released after the expiration of the Company’s current rate agreement or without prior written consent from National Grid.

- ❑ Discounts are available to eligible customers for up to a three-year period.
- ❑ Maximum discounts may not exceed \$250,000 per customer in any year.
- ❑ The total amount of discounts a customer may receive may not exceed \$500,000.
- ❑ Priority will be given to customers who are not currently receiving the benefits of other National Grid Economic Development or other energy discount programs.

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<sup>3</sup> If you do not know your average metered monthly demand, please refer to the facility’s National Grid bill for this information.

<sup>4</sup> You can derive this figure by dividing your total annual electric bills by your annual gross sales.

<sup>5</sup> If you are unsure of your load factor, use the following calculator:

**Load Factor Estimator**

$$\text{Load Factor} = \frac{\text{Monthly Usage (kWh)}}{\text{Monthly Peak Demand (kW) x 720}}$$



- ❑ Average delivery rates will never fall below National Grid’s prevailing Empire Zone Rider (“EZR”) prices.
- ❑ If deemed eligible based on above criteria, awards will be granted and used on the following job requirements:

Jobs retained or <u>attracted</u>	Total Avail Funding <u>not</u> <u>to Exceed:</u>
Under 100	\$100,000
100-199	\$250,000
200-299	\$350,000
300 & above	\$500,000

**How to Apply**

To apply for the Targeted Financial Assistance Program please:

- ❑ Complete the program application online; and
- ❑ Upload all required documentation as noted at the end of your online application.

*If you need assistance in completing the application, please contact Karen Mousaw via email at [Karen.Mousaw@nationalgrid.com](mailto:Karen.Mousaw@nationalgrid.com).*

*Please do not submit an application unless you have reviewed it with your National Grid Account Manager.*



## SMALL BUSINESS GROWTH (DEMAND CHARGE REDUCTION)

*Note to state, regional, and local economic developers: If you intend to use this program as part of an overall incentive offer to a company, you must submit a written request to National Grid's Economic Development Department in advance of the project announcement.*

### Program Summary

Growing medium size companies are responsible for an enormous amount of job growth in the service territory of National Grid Upstate. This program is designed to ensure that those growing businesses can continue their success and provide an incentive to do so.

The **Demand Charge Reduction Program** provides eligible businesses two (2) years of electric service demand charge discounts.

**Minimum Program Requirements:** *Please review the program requirements and guidelines below prior to completing an application for funding.*

*Note: Program assistance is only available to customers in good standing, located within National Grid's Upstate New York franchise territory. Applicants must be current in payments with National Grid or have executed a deferred payment agreement with the Company.*

To be eligible for this program, the **applicant** must:

- Be the owner of the eligible business;
- Have an executed Service Classification No. 12 (SC-12) contract with National Grid;
- Have been a SC2D customer prior to beginning their SC-12 contract term;
- Be scheduled to complete the SC-12 contract term before December 31, 2013; **and**
- Have a metered monthly electric demand greater than 100kW but less than 500kW.<sup>6</sup>

### Funding and Eligibility Guidelines:

Program funding and parameters are established annually by National Grid. Grants are available on a continual basis until all funding is expended or until the end of National Grid's current rate agreement. Funding is released to a grant award recipient only after the recipient has met all conditions of the program. In all circumstances, funding should be viewed by the applicant as a reimbursement for work completed following grant approval in the form of an award letter.

The grant award recipient should expect to execute a Funding Agreement with National Grid. The Agreement will outline expectations of the grant program and the conditions for the release of funds.

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<sup>6</sup> A customer's service classification and average monthly demand is located on its National Grid Upstate bill.

Grant amounts listed are the maximum allowable award for each program. Each application is evaluated on a variety of factors, resulting in some not receiving the maximum grant award.

If you are applying to more than one program for the same project, you must indicate that clearly on the application.

Under no circumstance will funding be released after the expiration of the Company's current rate agreement or without prior written consent from National Grid.

### **How to Apply**

To apply for the Small Business Growth (Demand Charge Reduction) Program please:

- Complete the program application online; and
- Upload all required documentation as noted at the end of your online application.

*If you need assistance in completing the application, please contact Karen Mousaw via email at [Karen.Mousaw@nationalgrid.com](mailto:Karen.Mousaw@nationalgrid.com).*

*Please do not submit an application unless you have reviewed it with your National Grid Account Manager.*

#### IV. Electric Program Financial Summary & 2021/22 Forecast

<b>IV. ELECTRIC Program Financial Summary &amp; 2022/23 Forecast</b>				
<i>Program</i>	<i>2020/21 Actuals Expenditures</i>	<i>2022/23 Estimated Completed Projects</i>	<i>2022/23 Estimated Average Cost Per Project</i>	<i>2022/23 Estimated Expenditures</i>
<b><u>Capital Investment Programs</u></b>				
Capital Investment Incentive	\$3,091,875	10	\$ 250,000	\$2,500,000
3-Phase Power	\$652,382	4	\$ 150,000	\$600,000
<b><u>Marketing Programs</u></b>				
Strategic Economic Development	\$1,548,378	12	\$ 85,000	\$1,020,000
Cooperative Business Recruitment	\$73,127	10	\$ 10,000	\$100,000
<b><u>Energy Efficiency &amp; Productivity Programs</u></b>				
Energy Solutions in Empire Zones	\$25,000	2	\$ 16,000	\$32,000
Agribusiness Productivity	\$418,555	16	\$ 25,000	\$400,000
Power Quality Enhancement	\$0	8	\$ 50,000	\$400,000
Manufacturing Productivity	\$1,005,259	25	\$ 20,000	\$500,000
Renewable Energy Eco Dev	\$0	1	\$ 500,000	\$500,000
<b><u>Site Development Programs</u></b>				
Brownfield Redevelopment	\$2,846,867	12	\$ 150,000	\$1,800,000
Building Ready Upstate	\$0	1	\$ 30,000	\$30,000
Industrial Bldg Redevelopment	\$71,463	1	\$ 50,000	\$50,000
ShovelReady Infrastructure	\$568,144	1	\$ 200,000	\$200,000
Clean Tech Incubation	\$679,151	2	\$ 150,000	\$300,000
<b><u>Revitalization &amp; Urban Dev Programs</u></b>				
Main Street Revitalization	\$5,273,355	35	\$ 50,000	\$1,750,000
Urban Center/Commercial Revitalization	\$907,531	2	\$ 250,000	\$500,000
<b><u>Competitive Financial Assistance</u></b>				
Targeted Financial Assistance	\$100,000	0	\$ 500,000	\$0
<b><u>ED Plan Communications</u></b>				
	\$409,901	n/a	n/a	\$318,000
<b>Total -- Proposed Economic Development Grant Programs</b>	<b>\$ 17,670,988</b>	<b>142</b>	<b>n/a</b>	<b>\$11,000,000</b>

## **V. 2022/23 Proposed Natural Gas Program Descriptions**



## ECONOMIC DEVELOPMENT AND THE FUTURE OF HEAT

*Note to state, regional, and local economic developers: If you intend to use this program as part of an overall incentive offer to a company, you must submit a written request to National Grid's Economic Development Department in advance of the project announcement.*

### Program Summary

National Grid is committed to providing a wide range of energy solutions to assist businesses in our service territory and helping New York State reach its aggressive clean energy goals. The Economic Development and Future of Heat program supports economic development by investing in technologies that enable customers to become more efficient and productive while contributing to New York's ongoing energy transformation.

**Economic Development and the Future of Heat Program** provides matching grants of up to \$500,000 to fund projects in the National Grid Upstate service territory that involve an investment in “non-pipeline alternatives” to traditional natural gas delivery, installation of emerging and efficient natural gas utilizing technologies, and the creation of new jobs and new capital investment in the service territory. The two eligible investment tracks are Customer and Community. Projects involving a single customer facility are eligible for customer track and larger scale multiple building projects may be eligible for community track.

**Minimum Program Requirements:** *Please review the program requirements and guidelines below prior to completing an application for funding.*

*Note: Program assistance is only available to customers in good standing, located within National Grid's Upstate New York franchise territory. Applicants must be current in payments with National Grid or have executed a deferred payment agreement with the Company.*

To be eligible for this program, the **applicant** must:

- ❑ Be the owner or developer of the eligible site or building with documented support of a state, regional or local development agency; **or**
- ❑ A municipality with documented support of a state, regional or local development agency; **or**
- ❑ Not-for-profit (501C3 or 501C6) economic development agency responsible for development of the site or building

To be eligible for the **Customer Track**, the **facility (business)** must:

- ❑ Be in the National Grid's Upstate New York gas service territory; **and**
- ❑ Currently served under or expected to be served under a non-residential National Grid gas rate service classification; **and**
- ❑ Be used for business purposes that can be classified in one of the following industry sectors:
  - Manufacturing

- Regional warehousing/distribution centers
- Scientific research and development
- Data centers
- “Back office” operations such as data processing or customer service operations
- Regional/national administrative centers or headquarter facilities
- Agri-Business
- Projects that are eligible for Excelsior Jobs Program tax credits from New York State, (must have active or pending award) regardless of their industry classification; **and**
- Undertaking a business attraction or expansion project generating new jobs with energy and non- energy related investment in the National Grid service territory; **and**
- Result in the installation of a non-pipeline alternative to traditional gas service or emerging natural gas technology including but not limited to geothermal, solar thermal, thermal storage, combined heat and power (“CHP”), fuel cells, biomass, microgrids, anaerobic digestion, and thermal cooling/chilling; **and**
- Be receiving funding through a federal, state, local or utility clean energy program.

Within the **Customer Track**, projects including digesters involved in producing pipeline quality natural gas for injection into National Grid’s gas distribution system could be eligible for additional funding up to \$150,000 under the following requirements, the facility (business) must:

- Be in National Grid’s Upstate New York service territory; **and**
- Currently served under or expected to be served under a non-residential or ag-residential National Grid rate service classification - **and** produce natural gas for injection into National Grid’s gas distribution system (as documented in an agreement between the applicant and National Grid); **and**
- Be used for business purposes as classified above; **and**
- Undertaking investment that will create or retain jobs in the National Grid service territory; **and**
- Result in the development and deployment of sustainable gas “Renewable Natural Gas” such as bio-methane or gas blends processed to pipeline quality standards produced from landfill gas recovery, municipal wastewater operations, municipal solid wastes, wood and pulp wastes, food waste, farm or dairy wastes, or any other renewable material that is both produced and processed in NY State for delivery in National Grid’s gas distribution system; **and**
- Receiving funding through a federal, state, local or utility clean energy program; **and**
- Development and deployment of the project must be in accordance with National Grid system and regulatory standards.

To be eligible for the **Community Track**, the **project** must:

- ❑ Be located within the Upstate New York gas service area; **and**
- ❑ Currently served under or expected to be served under a non-residential national grid gas rate service classification; **and**
- ❑ Result in the installation of a non-pipeline alternative to traditional gas service or an emerging natural gas technology including but not limited to geothermal, solar thermal, thermal storage, combined heat and power (“CHP”), fuel cells, biomass, microgrids, anaerobic digestion, and thermal cooling/chilling; **or**
- ❑ Be undertaking a feasibility analysis related to such an installation **and**
- ❑ Have a regional economic development sponsor; **and**
- ❑ Be receiving funding through a federal, state, local or utility clean energy program; **and**
- ❑ Show specific evidence of job creation and capital investment by businesses or other economic entities attracted or retained by the project; **and**
- ❑ Demonstrate a larger regional economic impact in the project area; **and**
- ❑ Have a marketing plan to attract or be used for commercial, industrial, or mixed-use businesses. For mixed use facilities, the minimum total square footage associated with commercial use must be at least 25 percent of the total project square footage.
- ❑ Preference may be given to projects located in low-moderate income and/or underserved communities.

### **Funding and Eligibility Guidelines**

Program funding and parameters are established annually by National Grid. Grants are available on a continual basis until all funding is expended or until the end of National Grid’s current rate agreement. Funding is released to a grant award recipient only after the recipient has met all conditions of the program. In all circumstances, funding should be viewed by the applicant as a reimbursement for work completed following grant approval in the form of an award letter.

The grant award recipient should expect to execute a Funding Agreement with National Grid. The Agreement will outline expectations of the grant program and the conditions for the release of funds.

The maximum allowable grant award for the **Customer Track** is \$250,000, except for projects involving renewable natural gas installations as described above, which may qualify for up to an additional \$150,000 as noted below.

The maximum allowable grant award for the **Community Track** is \$500,000. All applications are evaluated on a variety of factors. Some applications may not result in the maximum grant award. If you are applying to more than one program for the same project, you must indicate that clearly on the application.



Under no circumstance will funding be released after the expiration of the Company's current rate agreement or without prior written consent from National Grid.

- Grant amounts will be determined based on the size of the **total** investment made in the project/facility (including energy and non-energy related investments) as follows:

<u>Total Investment</u>	<u>Total Avail Funding not to Exceed*:</u>
Below \$50,000	\$15,000
\$50,000 to \$250,000	\$25,000
\$250,000 to \$1 Million	\$50,000
\$1 Million to \$3 Million	\$100,000
\$3 Million to \$5 Million	\$250,000
Above \$5 Million (community track only)	\$500,000

\*Customer Track projects involving renewable natural gas installations as described above may qualify for up to an additional \$150,000 at any of the above levels of Total Investment.

- Program funds may only be used to offset twenty-five percent (25%) of project costs (3:1 funding match required).
- Grant program funds must not exceed applicant's equity or repayable debt contribution to the project (applicant must provide a minimum of 25% of the total funding from its own capital).
- Funding for feasibility analyses will be capped at \$100,000. Recipients of feasibility analysis funding may apply for an additional grant for project implementation.

### **How to Apply**

To apply for the Future of Gas and Economic Development Program please:

- Complete the program application online, **and**
- Upload all required documentation as noted at the end of your online application.

*If you need assistance in completing the application, please contact Karen Mousaw via email at [Karen.Mousaw@nationalgrid.com](mailto:Karen.Mousaw@nationalgrid.com).*



## NATURAL GAS CAPITAL INVESTMENT INCENTIVE PROGRAM

The **Natural Gas Capital Investment Incentive Program** provides funds to help offset customer costs associated with upgrading natural gas infrastructure and installing efficient, emerging gas technologies in support of business expansion or new construction project. Applicants must demonstrate that they are unable to secure sufficient funding for the project through federal, state, or local economic development programs.

Application requests may include, but are not limited to, the following:

- Improvements to National Grid’s natural gas system, such as line extensions or upgrades to existing gas delivery infrastructure that require a customer contribution in aid of construction.
- Customer costs associated with conversion from oil or other fuels to National Grid natural gas delivery service.
- Customer investments in “non-pipeline alternatives” to traditional gas delivery infrastructure, and/or emerging natural gas technologies. These technologies may include, but are but not limited to, geothermal, solar thermal, thermal storage, combined heat and power, fuel cells, biomass, microgrids, anaerobic digestion, and thermal cooling/chilling. Funding for these alternative measures may be available in combination with, or in lieu of, support for a traditional natural gas infrastructure improvement.
- Customer costs associated with engineering, design and other analysis necessary to determine the feasibility and cost effectiveness of extending natural gas service to an eligible facility.
- Additional grant funds may be available for applicants that demonstrate a need for employee training.

**Minimum Program Requirements:** *Please review the program requirements and guidelines below prior to completing an application for funding.*

*Note: Program assistance is only available to customers in good standing, located within National Grid’s upstate New York franchise territory. Applicants must be current in payments with National Grid or have executed a deferred payment agreement with the Company.*

To be eligible for this program, the **applicant** must:

- ❑ Be the customer of record (owner or lessee) of an eligible facility or prospective eligible facility;
- ❑ Demonstrate efforts to obtain state and local economic development incentives for the facility; **and**
- ❑ Demonstrate the ability to attract and/or retain jobs and generate capital investment in the eligible facility.

In addition, the **applicant** must either:

- ❑ Make a capital investment (building, machinery and or equipment) that requires improvements to National Grid’s natural gas delivery infrastructure; **or**
- ❑ Incur costs related to determining the feasibility and cost effectiveness of converting to natural gas.

To be eligible for this program, the **facility (business) or prospective facility** must:

- ❑ Be located in National Grid’s Upstate New York service territory;
- ❑ Demonstrate Industrial Development Agency (IDA) or other public development agency support for the project;
- ❑ Be currently served under – or expected by National Grid to be served under – one of the following natural gas service classifications: SC3, SC4, SC5, SC6, SC8 or SC9; **and**
- ❑ Be used for business purposes that can be classified in one of the following industry sectors:
  - Manufacturing
  - Regional warehousing/distribution center
  - Scientific research and development
  - Data Centers
  - “Back office” operations such as data processing or customer service operations
  - Regional/national administrative centers or headquarter facilities
  - Agri-Business.

**Funding and Eligibility Guidelines**

Program funding and parameters are established annually by National Grid. Grants are available on a continual basis until all funding is expended or until the end of National Grid’s current rate agreement. Funding is released to a grant award recipient only after the recipient has met all conditions of the program. In all circumstances, funding should be viewed by the applicant as a reimbursement for work completed following grant approval in the form of an award letter

The grant award recipient should expect to execute a Funding Agreement with National Grid. The Agreement will outline expectations of the grant program and the conditions for the release of funds.

Grant amounts listed are the maximum allowable award for each program. Each application is evaluated on a variety of factors, resulting in some not receiving the maximum grant award.

If you are applying to more than one program for the same project, you must indicate that clearly on the application.

Under no circumstance will funding be released after the expiration of the Company’s current rate agreement or without prior written consent from National Grid.

Grant amounts are determined based on the **total** capital investment being made in infrastructure, plant, and equipment (including energy and non-energy related investments) as follows:

<u>Total Capital Investment</u>	<u>Total Available Funding not to Exceed:</u>
Under \$1 Million	\$50,000
\$1 Million to \$5 Million	\$250,000
\$5 Million and above	\$500,000

Program funds cannot exceed the final cost of natural gas infrastructure improvements and technology investments.

Program funding for natural gas technologies must be in combination with support from other federal, state, local or utility clean energy programs, but it must not be redundant with such funding.

Funding for engineering, design, and other analysis necessary to determine the feasibility and cost effectiveness of extending gas service is available up to maximum of \$50,000 per project.

Project must show evidence that a comprehensive assessment of energy efficiency measures was fully investigated and provide documentation pertaining to any completed or pending applications for energy efficiency incentives.

To be eligible for employee training under this program, the applicant must:

- Meet the criteria of the Natural Gas Capital Investment Program; and
- Provide a statement of need and training plan

The maximum allowable grant award for existing and new employee training is \$50,000.

- Program Funds cannot exceed fifty percent (50%) of training costs; and
- The applicant must document its contribution of matching funds to equal twenty-five percent (25%) of the training project costs.
- Priority consideration during the grant award process will be given to projects that are clean energy related.

## **How to Apply**

To apply for the Natural Gas Capital Investment Incentive Program please:

- Complete the program application online; and
- Upload all required documentation as noted at the end of your online application.

*If you need assistance in completing the application, please contact Karen Mousaw via email at [Karen.Mousaw@nationalgrid.com](mailto:Karen.Mousaw@nationalgrid.com).*



## SUSTAINABLE GAS AND ECONOMIC DEVELOPMENT PROGRAM

**The Sustainable Gas and Economic Development Program** will fund a limited number of projects in the National Grid service territory that demonstrate sustainable gas technologies while producing significant economic development benefits for the region. The program will provide matching grants of up to \$250,000 for collaborative projects that involve an Upstate research institution, one or more sustainable gas or gas transportation technologies, and a regional economic development sponsor. Eligible technologies include, but are not limited to, those that produce or utilize pipeline quality gas from biogas resulting from anaerobic digestion or gasification of waste materials for delivery in local distribution systems or use in natural gas vehicles.

**Minimum Program Requirements:** *Please review the program requirements and guidelines below prior to completing an application for funding.*

*Note: Program assistance is only available to customers in good standing, located within National Grid's Upstate New York franchise territory. Applicants must be current in payments with National Grid or have executed a deferred payment agreement with the Company.*

To be eligible for this program, the **applicant** must be:

- ❑ A regional economic development entity in National Grid's Upstate New York service territory; **or**
- ❑ A University-based research organization with the endorsement of the authorized municipality where the project is taking place; **or**
- ❑ A 501(c)(3), 501(c)(6), or 501(c)(4) corporation, working in tandem with a municipality, university, or regional economic development organization.

To be eligible for this program, the **project** must:

- ❑ Be located within the National Grid Upstate NY service area;
- ❑ Involve development and deployment of sustainable gas or gas transportation technologies such as bio-methane or gas blends processed to pipeline quality standards produced from landfill gas recovery, municipal wastewater operations, municipal solid wastes, wood and pulp wastes, farm or dairy wastes, or any other renewable material that is both produced and processed in NY State for delivery in a local distribution system or use in natural gas vehicles;
- ❑ Obtain matching funds on at least a 3:1 basis from other sources;
- ❑ Include involvement of a regional university research institution;
- ❑ Have one or more sustainable gas or related sustainable gas technology partners;
- ❑ Have a regional economic development sponsor; **and**
- ❑ Show specific evidence of regional economic development benefits by:
  1. Creating an asset that will enhance regional business attraction or expansion efforts;**or**

2. Serving as a learning center for sustainable gas or sustainable gas transportation technologies.

### **Funding and Eligibility Guidelines**

Program funding and parameters are established annually by National Grid. Grants are available on a continual basis until all funding is expended or until the end of National Grid's current rate agreement. Funding is released to a grant award recipient only after the recipient has met all conditions of the program. In all circumstances, funding should be viewed by the applicant as a reimbursement for work completed following grant approval in the form of an award letter

The grant award recipient should expect to execute a Funding Agreement with National Grid. The Agreement will outline expectations of the grant program and the conditions for the release of funds.

The maximum allowable grant award for this program is \$500,000. All applications are evaluated on a variety of factors. Some applications may not result in the maximum grant award.

If you are applying to more than one program for the same project, you must indicate that clearly on the application.

Under no circumstance will funding be released after the expiration of the Company's current rate agreement or without prior written consent from National Grid.

- Program funds may only be used to offset twenty percent (20%) of project costs (4:1 funding match required).

### **How to Apply**

To apply for the Sustainable Gas and Economic Development Program please:

- Complete the program application online; and
- Upload all required documentation as noted at the end of your online application.

*If you need assistance in completing the application, please contact Karen Mousaw via email at [Karen.Mousaw@nationalgrid.com](mailto:Karen.Mousaw@nationalgrid.com)*



## NATURAL GAS MANUFACTURING PRODUCTIVITY PROGRAM

*Note to state, regional, and local economic developers: If you intend to use this program as part of an overall incentive offer to a company, you must submit a written request to National Grid's Economic Development Department in advance of the project announcement.*

### Program Summary

Manufacturing employs over 550,000 New Yorkers and contributes \$61 billion annually to New York State's gross domestic product. Every manufacturing job creates more than 2.5 related jobs in other sectors, and every dollar spent generates an additional \$1.37 in economic activity.\* Small and medium-sized upstate New York manufacturers are challenged by high costs and regulatory pressures. They must continually improve productivity and performance to remain competitive in the global economy. In order to grow, they must develop new products and improve their return on investment from sales and marketing activities by finding new customers, markets, and export opportunities. This program was developed ~~in partnership with the Regional Technology Development Centers ("RTDCs")~~ with New York State Manufacturing Extension Partnership (NY MEP) centers from the Western New York, Finger Lakes, Central New York, Mohawk Valley, North Country, and Capital regions and FuzeHub, a statewide NY MEP center, and is delivered in conjunction with these NY MEPs—centers ~~RTDCs~~. ~~RTDC~~ Contact information for each NY MEP center is provided at the end of this program description.

*\*Source: Manufacturers Association of Central New York*

The **Manufacturing Productivity Program** provides matching grants of up to \$15,000 or forty percent (40%) (whichever is less) of the costs incurred by eligible applicants whose top management commits the time and resources to "lean manufacturing" projects or manufacturing assistance projects that result in eliminating waste and increasing productivity on the "shop floor" and in the office.

Further, the program provides matching grants of up to \$15,000 or fifty percent (50%) (whichever is less) of the costs incurred by eligible applicants whose top management commits the time and resources to growth-targeted activities that will result in greater utilization of manufacturing capacity.

Finally, the program provides matching grants of up to \$40,000 or sixty percent (60%) (whichever is less) of the costs incurred by eligible applicants whose top management commits the time and resources to projects that combine and coordinate the productivity and growth activities described above.

Grant awards will be funded in conjunction with ~~RTDCs—NY-MEP centers~~ upon verification of increased productivity and capacity, improvement of the bottom-line and pursuit of

additional sales with the same work force. Priority consideration will be given to projects that involve energy efficiency, energy utilization, and/or environmental solutions.

Applications for matching grant assistance must meet the following program requirements.

### **Minimum Program Requirements**

*Note: Program assistance is only available to customers in good standing, located within National Grid's Upstate New York franchise territory. Applicants must be current in payments with National Grid or have executed a deferred payment agreement with the Company.*

To be eligible for this program, the **applicant** must:

- ❑ Be an SC3, SC5, SC6, SC7, SC8 or SC9 customer in good standing within National Grid's Upstate New York gas service territory;
- ❑ Be a business that is classified in the North American Industry Classification System (NAICS)<sup>7</sup> as Manufacturing (NAICS codes 31, 32 or 33);
- ❑ Execute an agreement that commits top management to the processes that result in the productivity and development improvements articulated in this program distribution;  
**and**
- ❑ Provide evidence of funding from the company and other sources that is sufficient to complete the proposed project. The company must provide a minimum of twenty-five percent (25%) of the total funding from its own capital.
- ❑ Project must show evidence that a comprehensive assessment of energy efficiency measures was fully investigated and provide documentation pertaining to any completed or pending applications for energy efficiency incentives.

To be eligible for this program, the **project** must accomplish one or more of the following:

- ❑ Optimize the current facility;
- ❑ Increase machine effectiveness;
- ❑ Improve product quality;
- ❑ Reduce costs;
- ❑ Reduce lead times;
- ❑ Improve process-flow;
- ❑ Increase inventory turns;
- ❑ Expand markets;
- ❑ Develop new customers; and/or
- ❑ Develop new products.

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<sup>7</sup> NAICS classifications can be found online at <http://www.census.gov/epcd/www/naics.html>.



## **Funding and Eligibility Guidelines**

Program funding and parameters are established annually by National Grid. Grants are available on a continual basis until all funding is expended or until the end of National Grid's current rate agreement. Funding is released to a grant award recipient only after the recipient has met all conditions of the program. In all circumstances, funding should be viewed by the applicant as a reimbursement for work completed following grant approval in the form of an award letter.

The grant award recipient should expect to execute a Funding Agreement with National Grid. The Agreement will outline expectations of the grant program and the conditions for the release of funds.

Grant amounts listed are the maximum allowable award for each program. Each application is evaluated on a variety of factors, resulting in some not receiving the maximum grant award.

If you are applying to more than one program for the same project, you must indicate that clearly on the application.

Under no circumstance will funding be released after the expiration of the Company's current rate agreement or without prior written consent from National Grid.

## **How to Apply**

To apply for the Manufacturing Productivity Program please:

- Complete the program application online; and
- Upload all required documentation as noted at the end of your online application.

*If you need assistance in completing the application, please contact Karen Mousaw via email at [Karen.Mousaw@nationalgrid.com](mailto:Karen.Mousaw@nationalgrid.com).*

**Capital Region**

Center for Economic Growth  
41 State Street, Suite 705  
Albany, NY 12207  
Phone: 518-465-8975  
[www.ceg.org](http://www.ceg.org)

**Statewide NY MEP Center**

FuzeHub  
25 Monroe St, Suite 201  
Albany, NY  
Phone: 518-768-7030  
[Info@fuzehub.com](mailto:Info@fuzehub.com)

**North Country**

Council for International Trade, Technology, Education and Communication (CITEC)  
Peyton Hall, Clarkson University  
Main Street, Box 8561  
Potsdam, NY 13669-8561  
Phone: 315-268-3778  
[www.citec.org](http://www.citec.org)

**Mohawk Valley**

AIM: Advanced Institute for Manufacturing  
Mohawk Valley Community College  
1101 Sherman Dr.  
Utica, NY 13501  
Phone: 315-624-9800  
[www.mvatc.com](http://www.mvatc.com)

**Central New York**

CNY Technology Development Organization, Inc.  
445 Electronics Parkway, Suite 206  
Liverpool, NY 13088  
Phone: 315-425-5144  
Fax: 315-233-1259  
[mail@tdo.org](mailto:mail@tdo.org) or [www.cnytdo.org](http://www.cnytdo.org) or [www.tdosolutions.com](http://www.tdosolutions.com)

**Finger Lakes**

NextCorps  
Growth Services  
260 East Main St., Suite 6000  
Rochester, New York 14604  
Phone: 585-214-2400  
[www.htr.org](http://www.htr.org)

**Western New York**

Insyte Consulting  
C/O Northland Workforce Training Center  
683 Northland Ave. Door E Suite 1109  
Buffalo NY 14211  
Phone: 716-636-3626  
FAX: 716-845-6418  
[www.insyte-consulting.com](http://www.insyte-consulting.com)

# Appendix A – Electric & Gas Project List 2021/22

Electric & Gas Project List 2021/2022

AP #	Organization	Program Name	County	Approval Date	Disbursement Amount	Disbursement Date	Description
5214	XXXX	3-Phase Power Incentive	Jefferson	4/24/2020	\$226,499	1/28/2021	3-phase line extension to serve dairy farm expansion
5289	XXXX	3-Phase Power Incentive	Onondaga	11/7/2019	\$173,711	5/7/2020	Agribusiness installing "non-wire alternatives" to avoid costly 3-phase upgrade
5403	XXXX	3-Phase Power Incentive	Saratoga	10/11/2019	\$252,172	9/3/2020	3- phase line extension and service upgrade to enable farm expansion
5066	XXXX	Agribusiness Productivity	Monroe	7/10/2020	\$25,000	3/11/2021	Vegetable processor installing energy efficient processing equipment and lighting
5254	XXXX	Agribusiness Productivity	Niagara	5/4/2021	\$10,625	8/9/2021	Apple farm in Burt, NY installing new refrigeration controls to improve efficiency and product quality in its atmosphere-controlled storage facility
5292	XXXX	Agribusiness Productivity	Madison	6/7/2019	\$10,000	4/21/2020	Madison County farm installing PV panels and optimizers on barn rooftop
5324	XXXX	Agribusiness Productivity	Lewis	1/24/2020	\$50,000	7/7/2020	Dairy farm in Copenhagen, NY constructing two new buildings and installing high-efficiency milking parlor
5341	XXXX	Agribusiness Productivity	Rensselaer	11/16/2020	\$50,000	12/16/2020	Troy, NY food processor is expanding its facility and upgrading equipment to improve efficiency and productivity
5357	XXXX	Agribusiness Productivity	Oswego	5/26/2020	\$25,000	5/4/2020	Oswego County orchard and food processor installing a new roof-mounted, 40 kW PV system.
5436	XXXX	Agribusiness Productivity	Saratoga	1/24/2020	\$25,000	9/24/2020	Brewery in South Glens Falls installing PV system, solar hot water system and EV charging station.
5453	XXXX	Agribusiness Productivity	Herkimer	12/18/2019	\$10,000	4/17/2020	Support for PV installation at a Herkimer County farm.
5497	XXXX	Agribusiness Productivity	Jefferson	3/10/2020	\$10,000	7/7/2020	Dairy Farm in Evans Mills is installing 20 kW roof-mounted solar PV system.
5552	XXXX	Agribusiness Productivity	Orleans	8/31/2020	\$10,000	11/4/2020	Support for 18 KW ground-mounted PV system at Kendall, NY farm
5646	XXXX	Agribusiness Productivity	Herkimer	7/10/2020	\$50,000	11/16/2020	Robotic milking equipment and state-of-the-art mixing/feeding system will improve efficiency and productivity at Herkimer County dairy farm
5652	XXXX	Agribusiness Productivity	Cortland	7/31/2020	\$50,000	2/22/2021	Support for new milking parlor and robotic equipment at dairy farm in East Homer, NY.
5653	XXXX	Agribusiness Productivity	Genesee	8/31/2020	\$10,000	12/16/2020	Dairy farm in the town of Le Roy is installing high-efficiency ventilation equipment.
5680	XXXX	Agribusiness Productivity	Rensselaer	6/10/2021	\$10,000	8/9/2021	New PV system designed to offset all electric usage at a Community Supported Agriculture farm in Cropseyville, NY
5708	XXXX	Agribusiness Productivity	Niagara	10/29/2020	\$25,000	1/13/2021	Niagara County winery installing solar PV system
5751	XXXX	Agribusiness Productivity	Lewis	1/14/2021	\$2,930	3/11/2021	Support for installation of high-efficiency lighting and variable speed fans at Lewis County dairy farm
5772	XXXX	Agribusiness Productivity	Washington	9/16/2021	\$25,000	10/29/2021	Funding to support diagnosis and mitigation of stray voltage issue, which was seriously impacting milk production
5842	XXXX	Agribusiness Productivity	Chautauqua	5/4/2021	\$10,000	8/9/2021	New PV system installed on roof of old storage building at fruit and vegetable farm in Fredonia
5858	XXXX	Agribusiness Productivity	Albany	6/10/2021	\$10,000	8/9/2021	Albany food processor investing in new technology to automate production
3054	XXXX	Brownfield Redevelopment	Erie	6/25/2020	\$300,000	10/23/2020	Complete gut and rehab of long-vacant, 140,000-square-foot building into mixed commercial/industrial space
3119	XXXX	Brownfield Redevelopment	Oneida	1/30/2015	\$114,355	4/24/2020	Remediation of 45-acre site in Rome, NY
4581	XXXX	Brownfield Redevelopment	Oneida	4/13/2017	\$300,000	4/28/2020	Funding for asbestos abatement and structural repairs to restore historic building in downtown Utica to commercial use.
4820	XXXX	Brownfield Redevelopment	Rensselaer	10/3/2017	\$54,312	6/30/2021	Demolition and asbestos abatement at abandoned building in downtown Troy, to prepare the site for commercial re-use.
4905	XXXX	Brownfield Redevelopment	Lewis	1/19/2018	\$150,000	4/3/2020	Continued support for environmental remediation of structures and property on the site of former paper mill in Lyons Falls.
5176	XXXX	Brownfield Redevelopment	Albany	4/10/2019	\$300,000	9/24/2020	Demolition, environmental testing and asbestos remediation at a vacant building in the Village of Menands.
5305	XXXX	Brownfield Redevelopment	St Lawrence	6/7/2019	\$21,831	10/8/2020	Remediation and adaptive reuse at the site of a former paper mill waste treatment facility in Northern New York
5321	XXXX	Brownfield Redevelopment	Erie	8/18/2019	\$300,000	1/13/2021	Soil remediation of vacant 2.5 acre site in downtown Buffalo, for mixed-use redevelopment
5356	XXXX	Brownfield Redevelopment	Erie	11/7/2019	\$131,250	6/4/2020	Internal demolition and remediation of an abandoned 44,000-square-foot industrial building located in the City of Buffalo.
5374	XXXX	Brownfield Redevelopment	Erie	8/18/2019	\$70,718	6/30/2021	Remediation and adaptive reuse of a former school building in Tonawanda NY
5500	XXXX	Brownfield Redevelopment	Erie	2/26/2021	\$300,000	5/2/2021	Remediation and rehabilitation of a former industrial site to enable development of a new retail and entertainment complex
5519	XXXX	Brownfield Redevelopment	Erie	4/24/2020	\$118,376	9/9/2021	Adaptive reuse of a vacant, 50,000-square-foot former medical building in downtown Buffalo
5549	XXXX	Brownfield Redevelopment	Onondaga	6/25/2020	\$300,000	5/30/2021	Syracuse-based telecommunications company is remediating and redeveloping multiple distressed properties in the City as the site for a major expansion of its operations.
5609	XXXX	Brownfield Redevelopment	Erie	6/25/2020	\$86,025	9/25/2020	Remediation of an abandoned railway spur to accommodate construction of \$1.5M self storage facility in Buffalo.
5670	XXXX	Brownfield Redevelopment	Erie	10/29/2020	\$300,000	1/28/2021	Remediation of the long-vacant, 38,000- square-foot former Schoellkopf power house, enabling development of an events and entertainment center and accompanying mixed-use space.
4983	XXXX	CleanTech Incubation	Saratoga	4/10/2019	\$91,049	5/1/2020	Support for new and expanded incubator services for young tech companies in Saratoga County
5064	XXXX	CleanTech Incubation	Erie	9/4/2018	\$29,977	4/23/2020	Entrepreneur-in-residence program for start-up and early stage companies in Buffalo
5112	XXXX	CleanTech Incubation	Oneida	2/6/2019	\$100,500	12/3/2021	Support for business accelerator programming aimed at the cybersecurity, data analytics and unmanned aerial system (UAS) industries in the Mohawk Valley.
5121	XXXX	CleanTech Incubation	Albany	12/14/2018	\$250,000	6/17/2020	Funding for new services to be delivered by Capital Region innovation and commercialization center targeting early stage companies in the life science sectors.
5394	XXXX	CleanTech Incubation	Onondaga	11/25/2019	\$100,000	12/9/2020	Development of co-working and office space for entrepreneurs in the City of Syracuse.
5482	XXXX	CleanTech Incubation	Erie	1/24/2020	\$100,000	9/1/2020	Support for physical build-out of space at incubator facility in Buffalo.
5616	XXXX	CleanTech Incubation	Albany	7/10/2020	\$7,625	11/16/2020	Mentoring and commercialization services for student entrepreneurs launching new business enterprises.
5192	XXXX	Cooperative Business Recruitment	Fulton	2/26/2019	\$9,994	4/16/2020	Support for a wide range of industry outreach and marketing events to attract business to Fulton County and the surrounding region.
5378	XXXX	Cooperative Business Recruitment	Onondaga	9/11/2019	\$2,744	6/16/2020	Funding to enable regional economic development participation in the Site Selectors Guild event
5439	XXXX	Cooperative Business Recruitment	Oswego	11/25/2019	\$10,000	8/9/2021	Targeted business attraction marketing aimed at the food processing, advanced manufacturing and logistics industries.
5484	XXXX	Cooperative Business Recruitment	Albany	2/27/2020	\$10,000	8/6/2020	Matching support for a comprehensive business attraction outreach strategy aimed at the semiconductor and advanced materials manufacturing industries
5524	XXXX	Cooperative Business Recruitment	Erie	4/13/2020	\$3,569	9/25/2020	Marketing initiative to attract businesses to the the Lake Erie Commerce Center in Hamburg NY
5569	XXXX	Cooperative Business Recruitment	Montgomery	5/26/2020	\$5,000	6/3/2021	Comprehensive business attraction strategy coordinated by the City of Amsterdam and intended to leverage funding awarded through New York State's Downtown Revitalization Initiative.

AP #	Organization	Program Name	County	Approval Date	Disbursement Amount	Disbursement Date	Description
5630	XXXX	Cooperative Business Recruitment	Fulton	6/25/2020	\$10,000	1/28/2021	Development of a business attraction marketing publication targeting site selectors and real estate professionals in other states and countries.
5636	XXXX	Cooperative Business Recruitment	Oneida	7/10/2020	\$1,703	2/23/2021	Support for participation of the SEMICON West industry trade show for semiconductor manufacturers, including economic development organizations in the Mohawk Valley, Central NY, Western NY and the Capital region.
5739	XXXX	Cooperative Business Recruitment	Oneida	10/29/2020	\$625	2/22/2021	Support for Mohawk Valley economic development organization's participation in major site selector event.
5783	XXXX	Cooperative Business Recruitment	Albany	1/22/2021	\$2,500	4/20/2021	Matching funds to enable regional participation in the SEMI Industry Strategy Symposium (ISS), a key trade event for the semiconductor manufacturing industry.
5795	XXXX	Cooperative Business Recruitment	Onondaga	5/4/2021	\$3,270	6/30/2021	Funding for participation in the 2021 Site Selectors Guild Annual Conference, which includes a large contingent of state, regional and local economic development organizations.
5836	XXXX	Cooperative Business Recruitment	Fulton	4/6/2021	\$8,900	6/30/2021	Business attraction initiative aimed at promoting high-priority development sites to targeted industry clusters in other states/regions.
5941	XXXX	Cooperative Business Recruitment	Oneida	8/1/2021	\$4,822	10/29/2021	Support for advertising in major national site selection publication, leveraging the successful location of Cree/Wolfspeed to the Marcy Nanocenter
4289	XXXX	Electric Capital Investment Incentive	Onondaga	6/24/2016	\$500,000	9/1/2020	Construction of 115 KV substation necessary to enable major expansion of Syracuse dairy manufacturer.
4957	XXXX	Electric Capital Investment Incentive	Madison	11/7/2019	\$500,000	4/10/2020	Funding to offset a portion of electric infrastructure upgrade costs associated with construction of a massive controlled environment agriculture facility in Madison County.
5251	XXXX	Electric Capital Investment Incentive	Genesee	6/7/2019	\$100,000	8/19/2020	Grant provided to offset a portion of electric upgrade costs for expanding lubricant manufacturer in Batavia.
5280	XXXX	Electric Capital Investment Incentive	Genesee	6/7/2019	\$59,846	4/3/2020	Support for advanced manufacturing expansion project in Batavia.
5300	XXXX	Electric Capital Investment Incentive	Albany	3/24/2020	\$34,642	4/3/2020	Service upgrade required to enable expansion of a Capital Region cidery/brewery
5313	XXXX	Electric Capital Investment Incentive	Schenectady	1/24/2020	\$379,485	11/16/2020	Grant will fund a portion of the costs associated with electric infrastructure to serve a new cheese manufacturing facility in the Glenville Business and Technology Park.
5329	XXXX	Electric Capital Investment Incentive	Erie	1/14/2021	\$280,013	12/2/2021	Existing Western NY manufacturer undertaking a major expansion at the former Bethlehem Steel site in Lackawanna.
5353	XXXX	Electric Capital Investment Incentive	Onondaga	7/10/2020	\$71,371	3/11/2021	Funding for electric infrastructure upgrades required for consolidation/expansion of an existing manufacturer's operations into a new 76,000-square-foot facility in Central New York.
5358	XXXX	Electric Capital Investment Incentive	Erie	11/7/2019	\$50,000	1/28/2021	Back office/headquarters expansion of a Western New York financial services company
5415	XXXX	Electric Capital Investment Incentive	Onondaga	6/25/2020	\$71,271	11/4/2020	Grant to offset a portion of electric upgrade costs associated with expansion of a large Central New York agribusiness.
5416	XXXX	Electric Capital Investment Incentive	Essex	1/24/2020	\$13,536	5/4/2020	New electric service required for major expansion of regional brewery
5460	XXXX	Electric Capital Investment Incentive	Orleans	3/24/2020	\$12,753	9/24/2020	Electric infrastructure upgrades required by expanding manufacturer of biological organisms for the greenhouse industry.
5561	XXXX	Electric Capital Investment Incentive	Rensselaer	7/10/2020	\$500,000	11/16/2020	Grant to offset a portion of electric infrastructure costs associated with a new 1 million-square-foot warehouse/distribution facility.
5634	XXXX	Electric Capital Investment Incentive	Oswego	8/31/2020	\$18,958	1/13/2021	Electric upgrade costs present a barrier to the expansion of a Central NY manufacturer of air purification systems.
5787	XXXX	Electric Capital Investment Incentive	Erie	6/10/2021	\$500,000	9/17/2021	Funding for major electric infrastructure upgrades necessary to serve new plastic container manufacturing facility
5352	XXXX	Energy Efficiency in the Empire Zones	Onondaga	8/18/2019	\$25,000	4/16/2020	Central New York primary metals manufacturer currently on the Empire Zone Rider is installing a high-efficiency, variable speed air compressor.
5619	XXXX	Industrial Building Redevelopment	Onondaga	7/31/2020	\$71,463	1/21/2021	Conversion of a vacant, 56,000-square-foot manufacturing building into multi-tenant commercial space
3172	XXXX	Mainstreet Revitalization Program	Erie	4/11/2016	\$50,000	9/10/2020	Renovation of a vacant 1920's-era building in Buffalo for mixed commercial/residential end use
4243	XXXX	Mainstreet Revitalization Program	Rensselaer	12/14/2015	\$100,000	11/1/2021	Redevelopment of a vacant, historic structure in downtown Troy into 95,000 square feet of mixed use, mixed income space.
4490	XXXX	Mainstreet Revitalization Program	Fulton	10/27/2016	\$50,000	1/21/2021	Adaptive reuse of a vacant 35,000 square-foot building in downtown Gloversville to create a small business incubator facility.
4564	XXXX	Mainstreet Revitalization Program	Albany	10/27/2016	\$50,000	4/3/2020	Redevelop of a vacant building in downtown Cohoes for mixed use.
4732	XXXX	Mainstreet Revitalization Program	Washington	7/21/2017	\$50,000	9/1/2020	Renovation of a vacant commercial office building in Hudson Falls, with the intent of restoring it to its original use as a theater, with adjoining retail space.
4773	XXXX	Mainstreet Revitalization Program	Washington	10/3/2017	\$50,000	10/5/2020	Redevelopment of a deteriorating vacant building in Greenwich into a full service restaurant, pub, and brewery.
4779	XXXX	Mainstreet Revitalization Program	Onondaga	3/23/2018	\$50,000	1/21/2021	Renovation and mixed-use redevelopment of an historic 3-story building on Syracuse's North Side.
4811	XXXX	Mainstreet Revitalization Program	Washington	10/3/2017	\$50,000	8/9/2021	Redevelopment of vacant building on Main Street in Greenwich for commercial use.
4870	XXXX	Mainstreet Revitalization Program	Essex	1/10/2018	\$100,000	6/3/2021	Adaptive reuse of an iconic, 100-year-old sawmill building in Crown Point, seven years vacant, into a distillery, tasting room and restaurant.
4873	XXXX	Mainstreet Revitalization Program	Onondaga	10/31/2018	\$100,000	1/28/2021	\$3 million mixed-use redevelopment of a historic building in downtown Syracuse that has been partially or fully vacant for over 30 years.
4900	XXXX	Mainstreet Revitalization Program	Erie	2/7/2018	\$50,000	2/17/2021	Restoration of a former library building in downtown Buffalo that has stood vacant since 2008.
4947	XXXX	Mainstreet Revitalization Program	Schenectady	9/4/2018	\$250,000	1/21/2021	Mixed-use redevelopment project in Schenectady, part of a larger \$14 million effort encompassing seven downtown buildings.
4980	XXXX	Mainstreet Revitalization Program	Saratoga	8/18/2019	\$50,000	8/19/2020	Adaptive reuse of a former auto repair shop in Saratoga Springs, to be occupied by a restaurant and/or other retail end users.
5014	XXXX	Mainstreet Revitalization Program	Niagara	6/27/2018	\$100,000	9/24/2020	Interior and exterior reconstruction project involving multiple vacant structures in the City of Niagara Falls
5024	XXXX	Mainstreet Revitalization Program	Rensselaer	4/26/2019	\$50,000	9/9/2021	Former bank building in downtown Troy being redeveloped for other commercial use
5034	XXXX	Mainstreet Revitalization Program	Rensselaer	9/4/2018	\$100,000	9/24/2020	Vacant building on River Street in downtown Troy is being redeveloped for mixed use.
5046	XXXX	Mainstreet Revitalization Program	Jefferson	9/11/2019	\$100,000	7/7/2020	Former cheese factory on the Black River in Carthage is being redeveloped into a 4,500-square-foot restaurant and event space.
5103	XXXX	Mainstreet Revitalization Program	Onondaga	10/31/2018	\$50,000	4/3/2020	Mixed-use redevelopment of a circa 1879 factory building in Syracuse, encompassing 9,000 square feet over three floors.
5117	XXXX	Mainstreet Revitalization Program	Rensselaer	1/17/2019	\$100,000	1/21/2021	Reconstruction project involving vacant/underutilized parcels in downtown Troy.
5135	XXXX	Mainstreet Revitalization Program	Albany	12/14/2018	\$250,000	9/7/2021	Vacant building in Albany redeveloped into theatre, box office, community event space and administrative offices.
5166	XXXX	Mainstreet Revitalization Program	Onondaga	4/10/2019	\$250,000	8/5/2021	Reconstruction/Infill project on a 1.6 acre parcel in the City of Syracuse, involving a first floor market, second floor commercial space, and mixed income residential space on the upper 2 floors.
5182	XXXX	Mainstreet Revitalization Program	Wyoming	6/7/2019	\$25,000	6/30/2021	Renovation and rehabilitation project of an historic hotel property in Attica, NY.
5185	XXXX	Mainstreet Revitalization Program	Oneida	2/26/2019	\$250,000	6/16/2020	Redevelopment of a large vacant commercial building in the Baggs Square area of downtown Utica
5194	XXXX	Mainstreet Revitalization Program	Onondaga	2/26/2019	\$50,000	12/9/2020	Mixed use redevelopment of a 3-story building on N. Salina Street in Syracuse.
5197	XXXX	Mainstreet Revitalization Program	Oneida	5/15/2019	\$100,000	11/4/2020	Support for the multi-phase rehabilitation of a vacant 5-story building in downtown Utica, with occupants to include a variety of retail, manufacturing and service sector businesses.
5248	XXXX	Mainstreet Revitalization Program	Onondaga	6/7/2019	\$100,000	4/15/2021	Redevelopment of a former trucking terminal in Syracuse -- built in 1959 and vacant since 1985 -- into mixed retail and office space

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5260	XXXX	Mainstreet Revitalization Program	Erie	4/26/2019	\$250,000	8/4/2021	Support for a mixed-use development project on a vacant commercial block in the Larkin District of Buffalo.
5265	XXXX	Mainstreet Revitalization Program	Oneida	5/15/2019	\$25,000	4/15/2021	Renovation of vacant building to create artist live/work space in Downtown Utica
5287	XXXX	Mainstreet Revitalization Program	Oswego	6/7/2019	\$133,000	5/1/2021	Mixed use redevelopment of a vacant building and empty lot in downtown Oswego
5290	XXXX	Mainstreet Revitalization Program	Oswego	6/7/2019	\$65,355	6/3/2021	5-story vacant building in Oswego will be converted into 5,900 of mixed commercial and residential space
5298	XXXX	Mainstreet Revitalization Program	Saratoga	9/11/2019	\$100,000	9/24/2020	Reconstruction project in South Glens Falls will accommodate expansion of an existing brewery destroyed by fire
5302	XXXX	Mainstreet Revitalization Program	Erie	6/22/2019	\$100,000	8/4/2021	Redevelopment of two parcels in the Larkin District, City of Buffalo
5303	XXXX	Mainstreet Revitalization Program	Erie	10/11/2019	\$250,000	4/15/2021	Adaptive reuse of vacant 20,000-square-foot warehouse into modern flexible office concept and residential apartments
5322	XXXX	Mainstreet Revitalization Program	Albany	8/19/2019	\$250,000	4/30/2021	Renovation of landmark 105,000-square-foot former hotel building into a mix of office, retail, restaurant, residential and rooftop event space.
5326	XXXX	Mainstreet Revitalization Program	Saratoga	9/11/2019	\$100,000	2/23/2021	Grant to support the redevelopment of a vacant historic building in Saratoga Springs into a craft brewery and café.
5339	XXXX	Mainstreet Revitalization Program	Albany	8/18/2019	\$250,000	5/30/2021	Historic vacant building in downtown Albany will be renovated to include restaurant, residential and coworking space for non-profits.
5379	XXXX	Mainstreet Revitalization Program	Erie	11/7/2019	\$50,000	9/9/2021	Mixed-use development on Niagara Street in Downtown Buffalo
5386	XXXX	Mainstreet Revitalization Program	Albany	10/11/2019	\$50,000	11/16/2020	Redevelopment of long-vacant building in Albany into multiple-tenant restaurant facility
5388	XXXX	Mainstreet Revitalization Program	Albany	2/27/2020	\$50,000	4/23/2020	Renovation of a vacant, deteriorating building in Albany
5390	XXXX	Mainstreet Revitalization Program	Albany	11/7/2019	\$25,000	7/28/2020	Large, prominently located vacating building on Sheridan Avenue in Albany will be redeveloped for mixed use.
5392	XXXX	Mainstreet Revitalization Program	Rensselaer	10/11/2019	\$250,000	6/30/2021	Adaptive reuse of a historic former factory in Troy, vacant for more than 20 years.
5396	XXXX	Mainstreet Revitalization Program	Onondaga	11/7/2019	\$250,000	11/1/2021	\$7.5 million redevelopment of a vacant former industrial complex to construct an 80,000-square-foot warehouse/distribution center.
5422	XXXX	Mainstreet Revitalization Program	Albany	12/18/2019	\$50,000	2/18/2021	Renovation of two long-vacant, side-by-side buildings on North Pearl Street in Albany
5431	XXXX	Mainstreet Revitalization Program	Onondaga	11/25/2019	\$50,000	8/26/2020	Vacant former industrial building in the City of Syracuse "Lake Front Zone" will be converted to a fitness facility and accompanying office.
5455	XXXX	Mainstreet Revitalization Program	Rensselaer	3/24/2020	\$25,000	3/11/2021	Mixed-use redevelopment of an historic vacant building in Downtown Hoosick Falls.
5502	XXXX	Mainstreet Revitalization Program	Schenectady	7/31/2020	\$100,000	6/30/2021	Renovation of a vacant 4-story, 25,000-square-foot complex in Schenectady for mixed commercial and residential use.
5528	XXXX	Mainstreet Revitalization Program	Erie	4/13/2020	\$50,000	1/13/2021	Support for a small mixed-use redevelopment project in the Grant/Amherst district of Buffalo.
5529	XXXX	Mainstreet Revitalization Program	Erie	4/24/2020	\$50,000	11/4/2020	Renovation of a 4,800-square-foot building in the Grant/Amherst business district in the City of Buffalo
5530	XXXX	Mainstreet Revitalization Program	Erie	6/25/2020	\$50,000	6/3/2021	Support for a redevelopment project involving a circa 1890 vacant building in downtown Buffalo
5633	XXXX	Mainstreet Revitalization Program	St Lawrence	9/29/2020	\$25,000	12/21/2020	Vacant building in Ogdensburg will be renovated and reused as a fitness facility
5642	XXXX	Mainstreet Revitalization Program	Jefferson	2/12/2021	\$50,000	12/2/2021	Mixed-use redevelopment of a deteriorating vacant building near Public Square in the City of Watertown.
5721	XXXX	Mainstreet Revitalization Program	Montgomery	12/14/2020	\$50,000	4/15/2021	Redevelopment and reuse of a prominent vacant building on Market Street in the City of Amsterdam.
5782	XXXX	Mainstreet Revitalization Program	St Lawrence	2/12/2021	\$25,000	9/2/2021	Adaptive reuse of a vacant building in Ogdensburg.
5910	XXXX	Mainstreet Revitalization Program	Orange	6/25/2021	\$25,000	10/12/2021	Support for renovation of a long-vacant commercial building in downtown Schenectady.
1443	XXXX	Manufacturing Productivity Program	Erie	1/24/2020	\$4,240	6/16/2020	Optimization of warehouse/shipping processes for medical products manufacturer
4691	XXXX	Manufacturing Productivity Program	Monroe	4/13/2017	\$6,000	6/16/2020	Distilled spirits manufacturer undertaking top-line sales growth initiatives including digital media strategy and branding
4728	XXXX	Manufacturing Productivity Program	Genesee	6/16/2017	\$9,000	8/6/2020	Strategic sales and marketing support expected to double the sales of this Batavia manufacturer within 5 years.
4910	XXXX	Manufacturing Productivity Program	Albany	3/1/2018	\$10,000	12/3/2021	Funding for productivity improvements at Latham, NY manufacturing facility
4974	XXXX	Manufacturing Productivity Program	Erie	4/18/2018	\$15,000	4/17/2020	Implementation of ERP solution to reduce inventory, increase operational effectiveness and improve delivery times
4975	XXXX	Manufacturing Productivity Program	Monroe	4/18/2018	\$27,120	4/3/2020	Combined productivity improvement and top-line growth project undertaken by biotech company in Rush, NY.
5148	XXXX	Manufacturing Productivity Program	Schenectady	12/14/2018	\$2,976	7/7/2020	Combined productivity and growth project including training in the areas of Lean Kaizen, Export Controls, and Cyber Security.
5183	XXXX	Manufacturing Productivity Program	Oswego	4/26/2019	\$3,600	10/12/2021	"Lean manufacturing" support for rapidly expanding Oswego manufacturer.
5231	XXXX	Manufacturing Productivity Program	Niagara	4/10/2019	\$5,200	5/20/2020	Productivity improvement project will generate cost savings by reducing in-process waste and rework
5236	XXXX	Manufacturing Productivity Program	Livingston	6/22/2019	\$17,000	4/3/2020	Combination Lean manufacturing and top-line growth project
5266	XXXX	Manufacturing Productivity Program	Onondaga	8/18/2019	\$3,200	11/16/2020	East Syracuse manufacturer is seeking ISO 9001 certification in order to expand customer base and increase sales.
5269	XXXX	Manufacturing Productivity Program	Monroe	6/22/2019	\$33,125	1/21/2021	Combination productivity improvement and top-line growth project for metal manufacturing/machining company in Honeoye Falls.
5362	XXXX	Manufacturing Productivity Program	Erie	8/18/2019	\$12,640	8/6/2020	Western NY manufacturer seeking ISO 9001:2015 certification to attract new customers and increase sales to existing accounts.
5389	XXXX	Manufacturing Productivity Program	Erie	10/11/2019	\$32,100	9/1/2020	Buffalo manufacturer of sensing equipment seeking support for both ISO 9001:2015 quality management system and NIST cybersecurity assessment in order to secure USDOD customers/contracts.
5395	XXXX	Manufacturing Productivity Program	Genesee	10/11/2019	\$5,500	7/7/2020	Support for new product development by Batavia manufacturer
5411	XXXX	Manufacturing Productivity Program	Cattaraugus	11/7/2019	\$5,250	11/1/2021	New product development and sales process improvements undertaken by manufacturing customer in Ellicottville.
5413	XXXX	Manufacturing Productivity Program	Onondaga	11/7/2019	\$1,800	1/13/2021	Lean manufacturing assistance for Syracuse area manufacturer.
5414	XXXX	Manufacturing Productivity Program	Erie	10/11/2019	\$6,400	9/1/2020	Lean manufacturing project to reduce cycle times and improve on-time delivery performance
5425	XXXX	Manufacturing Productivity Program	Genesee	11/7/2019	\$40,000	6/16/2020	Batavia manufacturer undertaking a combination productivity and growth project to generate cost savings and increase sales
5430	XXXX	Manufacturing Productivity Program	Erie	11/7/2019	\$7,920	9/24/2020	Project will help this Buffalo manufacturer establish a new process for identifying and engaging local/regional suppliers
5432	XXXX	Manufacturing Productivity Program	Erie	12/18/2019	\$40,000	11/16/2020	The two inter-related lean and growth projects are expected to reduce inventory by \$150,000, improve quote to delivery lead times by 10%, reduce scrap and waste by at least \$95,000 per year, preserve about \$8 Million in existing sales volume, and add over \$2 Million in new sales revenues per year, because of DFARS Compliance.
5435	XXXX	Manufacturing Productivity Program	Albany	1/24/2020	\$4,500	5/15/2021	Top-line growth project for distilled spirits manufacturer in Albany.
5467	XXXX	Manufacturing Productivity Program	Onondaga	1/24/2020	\$13,104	4/15/2021	Central New York manufacturer pursuing ISO 9001:2015 certification, and utilizing Lean manufacturing and workforce development tools.

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5470	XXXX	Manufacturing Productivity Program	Erie	1/24/2020	\$14,500	4/17/2020	Sales growth initiatives expected to stabilize and subsequently increase employment over the next 2-5 years in a rapidly restructuring industry
5478	XXXX	Manufacturing Productivity Program	Chautauqua	1/24/2020	\$3,400	6/16/2020	Dunkirk electronics manufacturer seeking quality certification related to the aerospace market.
5499	XXXX	Manufacturing Productivity Program	Onondaga	2/27/2020	\$12,540	8/5/2021	Support for Syracuse company's participation in lean manufacturing and Sandler training to improve productivity and increase sales, respectively.
5507	XXXX	Manufacturing Productivity Program	Lewis	3/24/2020	\$29,265	11/4/2020	Northern NY manufacturer undertaking a combined productivity and growth project
5513	XXXX	Manufacturing Productivity Program	Onondaga	2/27/2020	\$7,500	1/13/2021	Central NY MEP center is providing customized productivity training to Syracuse manufacturer of industrial materials handling equipment
5518	XXXX	Manufacturing Productivity Program	Chautauqua	2/27/2020	\$26,667	9/11/2020	Support for optimizing plant layout and undertaking a NIST assessment for cybersecurity which is required for US government defense contractors.
5522	XXXX	Manufacturing Productivity Program	Erie	2/27/2020	\$6,000	8/26/2020	New product development support for Buffalo Rubber/foam products manufacturer
5553	XXXX	Manufacturing Productivity Program	Albany	4/13/2020	\$35,100	8/26/2020	Combined productivity and growth project to help Capital Region manufacturer pivot quickly to COVID-related medical products
5559	XXXX	Manufacturing Productivity Program	Erie	4/24/2020	\$27,480	12/21/2020	Combined lean manufacturing and top-line growth project for Buffalo packaging/printing manufacturer
5563	XXXX	Manufacturing Productivity Program	Niagara	5/6/2020	\$15,000	9/25/2020	Lockport manufacturer receiving assistance from Insyte Consulting related to quality management and ISO 9001:2015 certification.
5594	XXXX	Manufacturing Productivity Program	Erie	5/26/2020	\$18,840	12/21/2020	Support for a combination of lean manufacturing (Quality Management System) and growth (NIST cybersecurity assessment) assistance for manufacturer in Akron, NY
5596	XXXX	Manufacturing Productivity Program	Oswego	5/26/2020	\$5,800	2/11/2021	Manufacturer of gas springs in Central Square is pursuing ISO 9001 certification to remain competitive in their market, which crosses multiple industry sectors.
5602	XXXX	Manufacturing Productivity Program	Erie	5/26/2020	\$39,525	11/16/2020	Two projects delivered through Insyte consulting to help this Buffalo customer acquire/retain customers in the healthcare and aerospace markets.
5617	XXXX	Manufacturing Productivity Program	Erie	6/25/2020	\$9,925	8/9/2021	Grant will support training necessary for Tonawanda manufacturer to export defense-related articles, and to obtain contracts with military and aerospace customers.
5620	XXXX	Manufacturing Productivity Program	Erie	6/25/2020	\$3,520	2/23/2021	Quality Management System support for Buffalo manufacturer is expected to generate cost savings of \$15,000 per year.
5625	XXXX	Manufacturing Productivity Program	Erie	7/10/2020	\$8,200	7/20/2020	Process optimization work to help Buffalo packaging manufacturer improve capacity utilization.
5650	XXXX	Manufacturing Productivity Program	Onondaga	7/31/2020	\$6,280	2/23/2021	Manufacturer of lighting products in Manlius, NY seeking process efficiencies and increased sales through ISO 9001:2015 certification.
5657	XXXX	Manufacturing Productivity Program	Ontario	1/14/2021	\$10,200	2/11/2021	Support for top-line growth initiatives undertaken by brewery in Honeoye, focused on digital marketing and new product development.
5658	XXXX	Manufacturing Productivity Program	Orleans	8/31/2020	\$40,000	10/18/2021	Marketing and sales consulting to help a Medina, NY manufacturer increase revenues.
5663	XXXX	Manufacturing Productivity Program	Erie	8/31/2020	\$15,000	2/23/2021	Funding for NIST cybersecurity compliance audit to help Western NY manufacturer pursue federal contracting opportunities. MPP grant will help North Tonawanda manufacturer comply with requirements of the National Aerospace and Defense Contractors Accreditation Program, thereby reducing costs and increasing sales.
5667	XXXX	Manufacturing Productivity Program	Niagara	7/31/2020	\$7,480	11/16/2020	Customized Lean manufacturing and leadership development training will help Oneida manufacturer improve quality and productivity.
5683	XXXX	Manufacturing Productivity Program	Madison	8/31/2020	\$15,000	12/2/2021	Manufacturer of measurement and calibration equipment is seeking Laboratory Management System certification in order to increase sales and reduce costs.
5691	XXXX	Manufacturing Productivity Program	Erie	8/31/2020	\$15,000	11/16/2020	Top-line growth project is expected to generate \$250,000 in new sales, enabling additional hiring over the next 2-3 years.
5694	XXXX	Manufacturing Productivity Program	Erie	9/29/2020	\$6,000	1/13/2021	Top-line growth project is expected to generate \$250,000 in new sales, enabling additional hiring over the next 2-3 years.
5698	XXXX	Manufacturing Productivity Program	Onondaga	9/29/2020	\$15,000	9/9/2021	Funding to help metal finishing company in downtown Syracuse develop an information security program to assess their security stature and meet DoD Cybersecurity standards.
5705	XXXX	Manufacturing Productivity Program	Albany	9/29/2020	\$21,750	11/1/2021	Ceramics manufacturer in Menands, NY undertaking a combined productivity and growth project.
5709	XXXX	Manufacturing Productivity Program	Niagara	9/29/2020	\$15,000	1/28/2021	Support for North Tonawanda manufacturer's initiative to comply with NIST 800-171 Cybersecurity standard, which is a requirement for participating in the aerospace, Department of Defense (DoD), and military supply chains.
5717	XXXX	Manufacturing Productivity Program	Niagara	9/29/2020	\$15,000	8/9/2021	Compliance with 21 CFR 820 quality system requirements is expected to help this customer generate cost savings of \$8,000 per year, retain \$3.7 Million in current business, and add at least \$2 million in sales annually within 2 years.
5723	XXXX	Manufacturing Productivity Program	Erie	10/29/2020	\$15,000	6/30/2021	Top-line growth project for this Buffalo manufacturer includes development of a new sales process and continued expansion into the medical, process equipment, and telecom markets.
5737	XXXX	Manufacturing Productivity Program	Erie	10/29/2020	\$5,800	2/26/2021	Warehouse optimization project is expected to generate up to 50 percent growth in volume over the next 3 years and reduce costs by at least \$7,500 per year
5744	XXXX	Manufacturing Productivity Program	Albany	2/26/2021	\$22,937	12/3/2021	Albany manufacturer of venting systems is undertaking growth project aimed at increasing revenues for existing and new products, domestically and in Canada.
5745	XXXX	Manufacturing Productivity Program	Monroe	11/16/2020	\$11,180	6/30/2021	Precision machining company in Rush, NY seeks to obtain ISO 13485 Quality Management System Certification, allowing them to attract customers in the medical device market
5762	XXXX	Manufacturing Productivity Program	Erie	12/14/2020	\$2,600	1/21/2021	Redesign of manufacturing plant layout will increase efficiency, reduce lead times and reduce costs by an estimated \$100,000 annually.
5765	XXXX	Manufacturing Productivity Program	Onondaga	1/14/2021	\$3,000	6/30/2021	Support for employee training across a wide range of lean manufacturing objectives
5778	XXXX	Manufacturing Productivity Program	Onondaga	1/14/2021	\$10,500	9/9/2021	Syracuse manufacturer undertaking a combined productivity and growth project including market analysis and optimization of shop floor layout.
5805	XXXX	Manufacturing Productivity Program	Erie	1/22/2021	\$4,640	6/30/2021	Lean manufacturing project for WNY pharmaceutical company expected to yield \$10,000 per year in cost reductions, increased manufacturing capacity, and sales revenue growth.
5811	XXXX	Manufacturing Productivity Program	Oneida	2/26/2021	\$13,250	11/5/2021	Support for Utica area manufacturer's product development efforts, which center around airborne infection control and other COVID-related technologies.
5823	XXXX	Manufacturing Productivity Program	Erie	2/26/2021	\$9,760	10/29/2021	Quality Management System implementation project is expected to help Buffalo manufacturer reach \$3.5 Million in annual sales within 2 years, while reducing costs related to non-conformance and rework by \$10,000 per year.
5829	XXXX	Manufacturing Productivity Program	Niagara	2/26/2021	\$40,000	8/9/2021	Niagara Falls manufacturer seeking to achieve AS9100D and ITAR compliance in order to qualify for bidding on new military/aerospace market opportunities.
5830	XXXX	Manufacturing Productivity Program	Erie	2/26/2021	\$11,800	6/30/2021	Top-line growth project aimed at diversifying this Buffalo industrial controls manufacturer's customer base.
5844	XXXX	Manufacturing Productivity Program	Erie	4/6/2021	\$7,880	11/10/2021	Maintaining ISO/IEC Laboratory Management System (LMS) certification will help this Buffalo customer reduce costs and retain \$800,000 per year in sales.
5852	XXXX	Manufacturing Productivity Program	Erie	4/6/2021	\$40,000	6/30/2021	Support for a combined productivity and growth project that will improve operational performance and increase sales.
5854	XXXX	Manufacturing Productivity Program	Cattaraugus	4/6/2021	\$4,400	12/3/2021	Grant will help Olean manufacturer obtain cybersecurity certification, enabling them to bid on US military contracts.
5874	XXXX	Manufacturing Productivity Program	Niagara	5/4/2021	\$12,625	9/9/2021	Installation of a customized sales process to facilitate continued growth of this manufacturer in the Town of Wheatfield
5903	XXXX	Manufacturing Productivity Program	Erie	6/10/2021	\$14,360	12/2/2021	Productivity improvement project will help this Buffalo manufacturer reduce inventories and eliminate redundancies associated with recent facility consolidation.
5929	XXXX	Manufacturing Productivity Program	Erie	6/25/2021	\$15,000	9/14/2021	Comprehensive assessment will provide insight into current processes and areas of concern related to cybersecurity.
5987	XXXX	Manufacturing Productivity Program	Niagara	9/7/2021	\$9,880	12/3/2021	Lean manufacturing project will help Niagara Falls manufacturer assess current operations and identify/implement process improvements.
4723	XXXX	Natural Gas Capital Investment Incentive	Onondaga	4/28/2020	\$19,066	5/1/2020	Support for natural gas service upgrades necessary to serve this Syracuse manufacturer's continued growth.
5445	XXXX	Natural Gas Capital Investment Incentive	Schenectady	1/24/2020	\$85,453	11/16/2020	Grant will offset a portion of the cost to establish natural gas service to a new cheese manufacturing facility in the Capital Region.

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5562	XXXX	Natural Gas Capital Investment Incentive	Rensselaer	7/10/2020	\$500,000	11/16/2020	Infrastructure funding in support of a new 1-million-square-foot distribution center. Scannell Properties No. 262, LLC purchased a greenfield site in Schodack NY to construct a new 1 million sf distribution facility for its tenant, Amazon. The site has no natural gas, this grant will help offset a portion of the cost to establish natural gas utility service.
5635	XXXX	Natural Gas Capital Investment Incentive	Onondaga	7/10/2020	\$42,979	3/9/2021	Support for this gas infrastructure project will enable this growing Syracuse manufacturer to create/retain 140 jobs at its new facility.
5712	XXXX	Natural Gas Capital Investment Incentive	Madison	9/7/2021	\$279,027	12/3/2021	Gas infrastructure work required for this Ohio-based metals manufacturer to undertake a \$56 million expansion project at their existing facility in Chittenango, NY.
4631	XXXX	Natural Gas Manufacturing Productivity Program	Oneida	2/15/2017	\$15,000	6/16/2020	Funding to support updates to this Mohawk Valley manufacturer's Quality Management System to comply with ISO 9001:2015.
5052	XXXX	Natural Gas Manufacturing Productivity Program	Onondaga	9/4/2018	\$40,000	8/6/2020	Combined lean manufacturing and top-line growth project for this Syracuse-based architectural millwork manufacturer
5150	XXXX	Natural Gas Manufacturing Productivity Program	Onondaga	4/26/2019	\$5,400	8/6/2020	Training Within Industry (TWI) program will help this Central NY food processor increase productivity and improve occupational safety
5271	XXXX	Natural Gas Manufacturing Productivity Program	Onondaga	6/7/2019	\$13,289	4/3/2020	Assessment of policies, practices and controls vs. federal cybersecurity standards will identify risks and establish a path for mitigating them, thereby providing opportunities for this Syracuse manufacturer to bid on DoD contracts.
5308	XXXX	Natural Gas Manufacturing Productivity Program	Madison	7/23/2019	\$12,880	6/16/2020	Support for Cazenovia, NY manufacturer's product development and marketing strategy.
5309	XXXX	Natural Gas Manufacturing Productivity Program	Onondaga	7/9/2019	\$3,375	8/5/2021	Lean manufacturing project will enable this North Syracuse air filtration company to reduce manufacturing costs and waste
5310	XXXX	Natural Gas Manufacturing Productivity Program	Onondaga	7/9/2019	\$11,250	7/7/2020	"Go to Market Discovery" project will create a strategic plan for this Manlius manufacturer, to ensure top-line sales growth while stabilizing their existing customer/revenue base.
5399	XXXX	Natural Gas Manufacturing Productivity Program	Madison	10/11/2019	\$5,960	8/6/2020	Project will provide foundational training for this Oneida manufacturer to address urgent quality needs and initiate a complete a "lean transformation."
5249	XXXX	ShovelReady Incentive	St Lawrence	4/26/2019	\$125,000	6/3/2021	Support for engineering studies to advance the development of this site in Potsdam, which may become a multi-tenant industrial park.
5457	XXXX	ShovelReady Incentive	Jefferson	1/14/2021	\$443,144	10/29/2021	"Shovel Ready" project involves upgrades to electric, gas, water, sewer, communications and transportation infrastructure at this high-potential development site in Jefferson County
4574	XXXX	Strategic Economic Development Outreach	Albany	6/16/2007	\$11,250	11/15/2021	Matching funds for a semiconductor industry analysis that will provide competitive intelligence on New York's semiconductor manufacturing sites compared to competing sites in other states and countries.
5028	XXXX	Strategic Economic Development Outreach	Genesee	6/27/2018	\$15,000	6/4/2020	Funding for a strategic assessment and regional economic analysis conducted by the Rockefeller Institute of Government (RIG).
5074	XXXX	Strategic Economic Development Outreach	Onondaga	2/6/2019	\$500,000	8/21/2020	Matching grant to offset engineering and other costs associated with advancing the development of the White Pine Commerce Park, a 1,500-acre site near Syracuse which is attracting serious interest from major semiconductor manufacturing companies worldwide.
5107	XXXX	Strategic Economic Development Outreach	Erie	9/28/2018	\$42,863	5/4/2020	Support for Invest Invest Buffalo Niagara's Digital Marketing strategy targeting advanced manufacturing industry sectors
5149	XXXX	Strategic Economic Development Outreach	Jefferson	12/14/2018	\$33,486	11/5/2021	Marketing assistance for Northern New York economic development organization, focused on website updates, marketing materials and a social media campaign aimed at attracting businesses to the North Country.
5240	XXXX	Strategic Economic Development Outreach	Genesee	4/26/2019	\$8,239	4/3/2020	Matching funds to support marketing of the Science, Technology and Advanced Manufacturing Park (STAMP) near Batavia, a high-potential site for advanced manufacturing.
5243	XXXX	Strategic Economic Development Outreach	Genesee	4/26/2019	\$12,000	4/3/2020	Marketing support for promotion of the STAMP site in Western New York to the semiconductor industry and site selection consultants
5259	XXXX	Strategic Economic Development Outreach	Onondaga	7/9/2019	\$127,500	3/30/2021	Support for multiple initiatives aimed at attracting investment in the Unmanned Aerial Systems (UAS) industry, which is a strategic economic development sector in the Central New York and Mohawk Valley regions.
5301	XXXX	Strategic Economic Development Outreach	Oneida	6/22/2019	\$50,000	4/9/2020	Matching grant for Mohawk Valley regional economic development strategy to develop "shovel ready" sites and engage with site selection consultants
5330	XXXX	Strategic Economic Development Outreach	Erie	7/23/2019	\$50,023	1/29/2021	Support for Western NY economic development organization's digital media marketing strategy for business attraction
5336	XXXX	Strategic Economic Development Outreach	Erie	7/23/2019	\$18,170	8/20/2020	Funding for site location consultant outreach, including "familiarization tour" of the Buffalo Niagara Region
5345	XXXX	Strategic Economic Development Outreach	Erie	8/31/2020	\$15,000	8/5/2021	Matching support for business attraction efforts aimed at advanced technology and the food/beverage industries
5347	XXXX	Strategic Economic Development Outreach	Erie	8/18/2019	\$5,629	8/20/2020	Support for Western NY outreach to prospective businesses outside New York
5376	XXXX	Strategic Economic Development Outreach	Erie	9/11/2019	\$133,500	9/1/2020	Matching funds for a comprehensive industrial site inventory and development strategy for Western NY.
5412	XXXX	Strategic Economic Development Outreach	Oneida	12/6/2019	\$120,000	7/27/2020	Mohawk Valley business development initiative aimed at recruiting advanced manufacturing companies to the Marcy Nanocenter near Utica, NY
5454	XXXX	Strategic Economic Development Outreach	Albany	12/18/2019	\$34,279	7/7/2020	Matching grant to support the Capital Region's regional marketing and workforce attraction efforts
5463	XXXX	Strategic Economic Development Outreach	Onondaga	1/24/2020	\$7,214	7/7/2020	Support for regional participation in a key national site selection consultants' forum
5486	XXXX	Strategic Economic Development Outreach	Albany	2/27/2020	\$20,674	9/1/2020	Strategic Marketing Grant to support Capital Region business attraction activities
5491	XXXX	Strategic Economic Development Outreach	Albany	3/24/2020	\$12,235	11/4/2020	Matching support for Capital Region economic development outreach to targeted industries and businesses
5527	XXXX	Strategic Economic Development Outreach	Erie	5/26/2020	\$13,883	8/9/2021	Grant to offset costs associated with executing the Buffalo-Niagara region's workforce development/talent attraction initiative.
5542	XXXX	Strategic Economic Development Outreach	Monroe	4/13/2020	\$14,000	4/21/2021	Support for regional marketing efforts aimed at attracting food and beverage manufacturers from the Midwest US and Canada.
5546	XXXX	Strategic Economic Development Outreach	Genesee	5/26/2020	\$4,500	8/9/2021	Matching funds for strategic marketing of the STAMP site in Western NY.
5621	XXXX	Strategic Economic Development Outreach	Erie	7/31/2020	\$7,602	6/30/2021	Support for Western NY workforce development efforts in support of regional business attraction strategy
5626	XXXX	Strategic Economic Development Outreach	Oneida	7/31/2020	\$6,473	2/23/2021	Grant will support targeted outreach strategy for continued development of the Marcy Nanocenter site near Utica.
5627	XXXX	Strategic Economic Development Outreach	Oneida	7/10/2020	\$7,440	2/18/2021	Matching funds to support Mohawk Valley economic development organization's participation in a major site selection consultants' forum.
5637	XXXX	Strategic Economic Development Outreach	Oneida	7/10/2020	\$120,000	8/9/2021	Continued support for the business development initiative that was key to the successful attraction of Cree/Wolfspeed to the Marcy Nanocenter near Utica, NY
5640	XXXX	Strategic Economic Development Outreach	Genesee	7/10/2020	\$26,750	9/23/2021	Economic development outreach to promote the Science, Technology and Advances Manufacturing Park (STAMP) in Genesee County.
5641	XXXX	Strategic Economic Development Outreach	Genesee	8/31/2020	\$7,500	8/9/2021	Matching grant to support business attraction efforts in the Genesee/Livingston/Orleans/Wyoming county region
5724	XXXX	Strategic Economic Development Outreach	Albany	11/16/2020	\$7,668	6/30/2021	Strategic outreach grant for targeted business attraction activities in the Capital Region.
5733	XXXX	Strategic Economic Development Outreach	Saratoga	4/8/2021	\$115,500	9/7/2021	Funding to offset engineering/permitting costs associated with continued development of the Luther Forest Technology Campus in Saratoga County
5952	XXXX	Targeted Financial Assistance	Erie	9/16/2021	\$100,000	12/7/2021	Funding to help a metal processing company overcome serious competitive challenges and secure additional investment at their Western NY facility.
4570	XXXX	Urban Center/Commercial District Revitalization	Albany	11/15/2017	\$250,000	4/3/2020	Support for a major downtown revitalization initiative in the City of Cohoes.
5137	XXXX	Urban Center/Commercial District Revitalization	Niagara	2/6/2019	\$241,000	5/1/2021	Funding for a major redevelopment and "green infrastructure" project in the City of North Tonawanda
5170	XXXX	Urban Center/Commercial District Revitalization	Cattaraugus	2/26/2019	\$100,000	10/20/2021	Support for efforts to revitalize and improve the "walkability" of a key corridor in the City of Olean.
5191	XXXX	Urban Center/Commercial District Revitalization	Rensselaer	7/31/2020	\$66,531	9/3/2021	Matching grant for revitalization efforts in the City of Troy
5270	XXXX	Urban Center/Commercial District Revitalization	Oswego	6/7/2019	\$250,000	11/4/2020	Support for a high-priority downtown revitalization project that also includes funding from New York State and the City of Oswego.

18-2 New York State YMCA Proposal



## Sponsorship Agreement

This Sponsorship Agreement (“**Agreement**”) is made by and between the New York State YMCA Foundation Inc. (“**YMCA**”) a **nonprofit 501(c)(3) corporation located at Albany, New York, NY 12205** and COMMUNITY OFFSHORE WIND, LLC, a Delaware limited liability company located at 353 North Clark St., 30<sup>th</sup> floor, Chicago, IL 60654 (“**Community Offshore Wind**”)(hereinafter individually a Party, and collectively the “Parties,”) effective as of the date payment is made pursuant to Section 2 and Appendix A (the “**Effective Date**”) and sets forth the terms and conditions pursuant to which the Parties agree to work together.

WHEREAS, YMCA is a 501(c)(3) nonprofit organization, with swimming and swimming safety programs for youths throughout New York State; and

WHEREAS, Community Offshore Wind desires to purchase a sponsorship of a swimming safety program known as “Safety Around Water” pursuant to the terms and conditions herein and YMCA desires that Community Offshore Wind provide program funding for such sponsored programs.

NOW THEREFORE, for good and valuable consideration, the Parties agree as follows:

**1. Sponsorship Package.** The sponsorship package will include the following elements. The responsibilities of each Party for each element of the sponsorship are outlined in **Appendix A**.

- a. **Program Promotion.** The YMCA is the leading nonprofit charity committed to strengthening community by empowering young people, improving the health and well-being of people of all ages and inspiring action in communities. We are a well-known organization with a proven track record of effective impact and service. The YMCA looks forward to cobranding this statewide initiative with Community Offshore Wind.
- b. **Social Media.** YMCA will promote and assist with Community Offshore Wind social media to promote the Community Offshore Wind name and logo using a designated hash tag or other methods as mutually agreed upon by the Parties throughout the ten year Sponsorship Term (as set forth in Section 3 below).

**2. Expenses and Compensation.**

Subject to Section 4, Community Offshore Wind agrees to pay YMCA the sum of Eleven Million Dollars (\$11,000,000) (the “Payment”) over the entire term of this Agreement for the purchase and utilization of Community Offshore Wind signage as provided on Appendix A. The Payment shall be contingent on Community Offshore Wind executing an OREC agreement with the New York State Energy Research and Development Authority (“NYSERDA”) with respect to the NYSERDA 2022 RFP and paid in equal annual installments of \$2,200,000 in each year of the five year Term (as set forth below), where such first payment shall be payable within ninety (90) days of the execution date of an OREC agreement between NYSERDA and Community Offshore Wind (the “Effective Date”) and thereafter on the twelve month anniversary date of the Effective Date and succeeding payment dates for the remainder of the term of the Agreement. Each annual installment of the Payment shall be subject to YMCA providing Community Offshore Wind a written report that summarizes the exposure and effectiveness of the Community Offshore Wind signage being sponsored and displayed in the previous year by YMCA, in a format that is mutually agreeable to the Parties.

### 3. Term; Termination.

This Agreement shall commence on the Effective Date set forth above and shall continue for five (5) years (the "Term") from the Effective Date, unless earlier terminated as described herein. However, the sponsorship activities and duties of the YMCA owed to Community Offshore Wind (as set forth in Section 1 above shall continue for ten (10) years from the Effective Date (the "Sponsorship Term").

Community Offshore Wind reserves the right to terminate this Agreement and any payments under this Agreement at any time subsequent to Community Offshore Wind executing an OREC purchase agreement with NYSERDA (as set forth in Section 2 above), should COSW decide for any reason to terminate the pursuit of its offshore wind project with respect to Federal BOEM lease area OCS-A 0539 and for which such OREC purchase agreement relates to under NYSERDA ORECRFP 22-1.

Each Party reserves the right to terminate this Agreement (a) in the event of a material breach of any provision of this Agreement, which breach goes uncured for 30 days after written notice, or (b) immediately in the event that either Party should commit or otherwise become associated with, for any reason, any act that would reasonably be expected to have a material adverse impact on the reputation or public image of the terminating Party.

### 4. Exclusivity

YMCA agrees to utilize Community Offshore Wind as its exclusive offshore wind developer sponsor from the undersigned execution date of the Agreement to the date of the NYSERDA announcement of the winning bids for offshore renewable energy certificates ("ORECs") and where such continued exclusivity shall be contingent on Community Offshore Wind receiving such a winning bid award in response to NYSERDA's 2022 offshore wind solicitation.

### 5. Trademarks and Proprietary Rights.

Subject to the terms and conditions of this Agreement, Community Offshore Wind hereby grants to YMCA during the Term of this Agreement a limited, non-exclusive, non-transferable, non-sublicensable, revocable license to use the Community Offshore Wind logos, including identifying Community Offshore Wind on YMCA's website and for use in YMCA's promotional materials, subject to the restrictions contained in this Section 5 and Community Offshore Wind's inspection and objection rights in Section 9(c) of this Agreement. The subject matter of the license granted in this Section shall hereinafter be referred to as "**Licensed Property**".

YMCA shall not use the Licensed Property in a manner that disparages Community Offshore Wind or its products or services, or portrays Community Offshore Wind or its products or services in a false, competitively adverse or poor light ("**Prohibited Uses**"). YMCA shall comply with Community Offshore Wind's requests as to the use of Community Offshore Wind's Licensed Property and will not undertake any action that diminishes the value of such Licensed Property or is of poor quality.

Subject to the limited licenses granted to YMCA under this Section, each Party owns and shall retain all right, title and interest in its trade names, logos, trademarks, service marks, trade dress, internet domain names, copyrights, patents, trade secrets, know how, and proprietary technology, including without limitation those trade names, logos, trademarks, service marks, trade dress, internet domain names, copyrights, patents, trade secrets, know how, and proprietary technology currently owned by the other Party, which may be used, sold, produced, published, display, perform, or prepare derivative works, or otherwise use any of the Intellectual Property of the other Party without the express written consent of such other Party.

## 6. Confidentiality.

In connection with entering into and performing under this Agreement each Party may receive or have access to commercially valuable technical and non-technical confidential or proprietary information of the other Party, including information, in whatever form, relating to the business of such Party that is not generally known or available to others, including but not limited to trade secrets, know how, customer lists, pricing strategies, payment terms, conversion rates, the terms of this Agreement and each applicable Exhibit and Appendix, marketing and business plans, information concerning such Party's vendors, and such Party's contemplated plans, strategies and prospects ("**Confidential Information**"). Except as expressly allowed herein or in any Exhibit or Appendix, the receiving Party will hold in confidence and not use for any purpose other than as necessary to perform its obligations under this Agreement or disclose to any third Party any Confidential Information of the disclosing Party and will similarly bind its employees and agents who have access to such Confidential Information. Each Party acknowledges and agrees that any Confidential Information received or obtained from the other Party will be the sole and exclusive property of the disclosing Party and, except as expressly provided herein, and nothing in this Agreement shall be interpreted as granting the receiving Party any right or license with respect to such Confidential Information. If disclosure of the other Party's Confidential Information is required by law, the Party required to disclose Confidential Information shall reasonably cooperate with the other Party (at the other Party's request and expense) so that the other Party may preserve the confidentiality of the Confidential Information to the extent reasonably possible. Notwithstanding the foregoing, Confidential Information shall not include, and neither Party will be liable for disclosure of, any information received by the receiving Party under this Agreement if the information: (a) is or becomes generally available to or known to the public through no wrongful act of the receiving Party; (b) was previously known by the receiving Party through no wrongful act of receiving Party and without any obligation of confidentiality with respect to such information; or (c) was independently developed by the receiving Party without use or reference to the Confidential Information.

## 7. Indemnification.

YMCA shall indemnify, defend and hold harmless Community Offshore Wind and its officers, directors, employees, and agents from and against any and all third Party claims, demands, costs, damages, settlements and liabilities (including all attorneys' fees and court costs) of any kinds whatsoever (the "**Losses**"), directly and to the extent arising out of (i) the breach by YMCA of any of the provisions of this Agreement, (ii) any claims arising out of YMCA's operations and the under this Agreement (including any use not specifically permitted by this Agreement) or (iii) the negligence or willful misconduct by YMCA. For the purpose of clarity, YMCA is solely responsible for all actions taken with respect to its activities under this Agreement and Community Offshore Wind shall have no obligations or liability in connection therewith.

Community Offshore Wind shall indemnify, defend and hold harmless YMCA and its officers, directors, employees, and from and against any and all Losses directly and to the extent arising out of claims relating to the (i) the breach by Community Offshore Wind of any of the provisions of this Agreement, or (ii) the negligence or willful misconduct of Community Offshore Wind.

**8. Insurance.** YMCA warrants that it will maintain throughout the term of this Agreement, a General Liability Insurance policy covering all risks associated with its programs and services for an amount not less than One Million (\$1,000,000.00) Dollars per occurrence. Such policy shall be

endorsed to show the Community Offshore Wind and its affiliates as an additional insured and YMCA shall provide Community Offshore Wind with a certificate of insurance proving coverage and evidencing the endorsement and such certificate shall also provide that the insurance may not be cancelled or reduced without thirty (30) days prior written notice to Community Offshore Wind.

## **9. General.**

**a. Representations and Warranties.** Each Party represents and warrants to the other Party that: (i) such Party has all necessary right, power and authority to enter into this Agreement and to perform its obligation under it and the execution of this Agreement by the individual signing on behalf of such Party is duly authorized and (ii) nothing contained in this Agreement or any executed attachment or required by such Party's performance under this Agreement or any executed attachment will place such Party in breach of any other contract or agreement to which it is bound.

**b. Relationship of the Parties.** The relationship of Community Offshore Wind and YMCA established pursuant to this Agreement is that of independent contractors, and no joint venture, partnership, agency, franchise or employment relationship will be deemed to exist between them. Neither Party shall have the authority to bind such other Party. For the avoidance of doubt, YMCA shall be solely responsible for all aspects of the boating program and for the relationship with all persons and/or entities who use the services of YMCA.

**c. Right to Inspect.** In order to ensure that YMCA is complying with its obligations under this Agreement, at the request of Community Offshore Wind, YMCA shall allow Community Offshore Wind to inspect advertising materials and any products bearing the Licensed Property, any other Intellectual Property of Community Offshore Wind (to the extent approved by Community Offshore Wind ) and YMCA agrees to cease using the Licensed Property and Intellectual Property in specific instances upon the objection and reasonable written request of Community Offshore Wind.

**d. Reputation.** YMCA agrees to safeguard and maintain the reputation and good will with respect to the Licensed Property and avoid any use of the Licensed Property which would adversely impact the reputation of Community Offshore Wind as the owner of such Licensed Property. Each Party agrees that it will not state, suggest, imply, do, say or express (orally or in writing) any disparaging or unfavorable remarks, comments, or criticisms with regard to the other Party and/or its Intellectual Property, products or services.

**e. Remedies.** All remedies available to a Party under or with respect to this Agreement are cumulative and in addition to all other remedies, if any, available at law or in equity. The Parties acknowledge that a breach of Section 1 (including Appendix A), Section 5, Section 6 and Section 8 could cause irreparable damages and money damages may not be an adequate remedy. In addition to all other remedies available hereunder, either Party may obtain equitable relief without the necessity of proving damages or posting a bond.

**f. Entire Agreement.** This Agreement constitutes the entire Agreement between the Parties relative to the subject matter hereof, and supersedes all proposals or agreements, written or oral, and all other communications between the Parties relating to the subject matter of this Agreement. The invalidity, illegality or unenforceability of any provision of this Agreement shall in no way affect the validity, legality or enforceability of any other provision of this Agreement. This Agreement may be executed in duplicate counterparts, which, when taken together, shall constitute one instrument and each of which shall be deemed to be an original instrument.

**g. Amendments and Waivers.** No provision of this Agreement shall be waived, amended, modified, superseded, canceled, terminated, renewed or extended except in a written instrument signed by both Parties hereto. Any waiver shall be limited to the particular instance and for the particular purpose when and for which it is given.

**h. Jointly Drafted.** The Parties agree this Agreement will be deemed to have been jointly drafted by the Parties and, in the event of a dispute, shall not be construed in favor of or against any Party by reason of the contribution of all Parties to the drafting of this Agreement.

**i. Successors and Assigns.** This Agreement shall be binding upon and inure to the benefit of the Parties hereto and their successors and assigns.

**j. Governing Law.** This Agreement and all aspects of the relationship between the Parties hereto shall be construed and enforced in accordance with and governed by the internal laws of the State of New York, without regard to the conflict of law principles thereof. Any claims or legal actions by one Party against the other shall be commenced and maintained exclusively in any state or federal court located in New York, New York, and both Parties hereby submit to the jurisdiction and venue of any such courts.

**k. Force Majeure.** Neither Party will be liable for any failure or delay in its performance under this Agreement due to any cause beyond its reasonable control, including acts of war, acts of God, earthquake, flood, fire, embargo, riot, sabotage, governmental act or failure of third Party power or telecommunications networks, provided that the delayed Party: (a) gives the other Party prompt notice of such cause, and (b) uses its reasonable commercial efforts to promptly correct such failure or delay in performance. Notwithstanding the foregoing, if such event causes a delay in performance of more than thirty (30) days, the other Party shall have the right to terminate this Agreement without penalty and shall be entitled to any refund as provided in Section 4 upon written notice at any time prior to the affected Party's resumption of performance.

**l. Notice.** Any notice required or permitted to be given hereunder will be effective upon receipt and shall be given in writing and delivered via email with a confirmation of receipt by the recipient, via nationally recognized overnight express courier (with confirmation of receipt), confirmed facsimile, or registered or certified mail with postage prepaid and return receipt requested, to the Parties at their respective addresses given herein or at such other address designated by written notice.

**m. Survival of Terms.** The rights and obligations contained in Sections 5, 6, 7, and 8 shall survive the expiration or earlier termination of this Agreement.

[Remainder of Page Left Blank. Signature Page follows.]

IN WITNESS WHEREOF, the Parties hereto have caused their duly authorized representatives to execute a counterpart of this Agreement as of the Effective Date.

YMCA

  
Signature of Authorized Officer

Kyle A Stewart  
Printed Name

Executive Director  
Title

1/13/2023  
Date

Community Offshore Wind, LLC

DocuSigned by:  
  
Signature of Authorized Officer

Douglas Perkins  
Printed Name

President and Project Director  
Title

1-25-2023  
Date

DocuSigned by:  


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Signature of Authorized Officer

Patrick Johnson  
Printed Name

Vice President and Project Deputy Director  
Title

1-25-2023  
Date

**APPENDIX A – Duties of the Parties.**

<b>Community Offshore Wind -YMCA Sponsorship Agreement</b>	
<b>Community Offshore Wind Responsibility/Commitment</b>	<b>YMCA Responsibility/Commitment</b>
<b>Sponsorship Activity</b>	
<p>Community Offshore Wind shall pay YMCA <b>\$1,100,000</b> in the first agreement year (upon the Effective Date) to cover the costs of YMCA safety around water initiative</p>	<ul style="list-style-type: none"> <li>- Provide NYS school age students in kindergarten through third grade with the YMCA Safety Around Water program.</li> <li>- Annually serve approximately 10,000 students in kindergarten through third grade over a 10-year period.</li> </ul>
<b>Social Media Promotion</b>	
	<ul style="list-style-type: none"> <li>- YMCA shall advertise, market and promote the Community Offshore Wind brand and events.</li> <li>- YMCA to use reasonable efforts to encourage as many of its members and visitors as possible to post COSW images on social media throughout the year of agreement.</li> </ul>
<b>Other Commitments</b>	
<ul style="list-style-type: none"> <li>- Community Offshore Wind may also engage at select events on the YMCA events schedule throughout the year (mutually agreed upon by the Parties).</li> </ul>	<ul style="list-style-type: none"> <li>- YMCA to display the Community Offshore Wind Logos on their website.</li> <li>- YMCA to create a newsletter feature of the Community Offshore Wind sponsorship</li> </ul>

## 18-3 National Grid Payment Assistance News Release



## National Grid Encourages Customers to Enroll in Payment Assistance Programs

*National Grid offers a variety of payment assistance programs under the Winter Customer Savings Initiative*

November 1, 2022

CONTACT: Media Relations – 781-907-3980

**WALTHAM, MA** – National Grid is urging customers facing rising winter energy bills to consider company-offered programs that can spread bills across several months and explore payment assistance programs offered by state and federal agencies and regional non-profits.

The effort is part of National Grid's [Winter Customer Savings Initiative](#), which was launched last month to help customers reduce their energy use and save money, manage their bills, and secure available energy assistance.

The initiative brings together and expands National Grid's many [customer resources](#), including numerous payment assistance programs for income-eligible customers, extensive residential and business energy efficiency programs and incentives, low-cost and no-cost bill management solutions, and flexible payment programs.

One of the bill management programs offered by National Grid includes the [Budget Plan](#). The Budget Plan is designed to take the guesswork out of the monthly billing process. The program takes the amount customers usually pay on their National Grid bills in a year and breaks that amount into twelve balanced monthly payments to help offset high seasonal bills. Customers will still pay only for the total amount of energy they use in a year, but the Budget Plan makes it easier to anticipate monthly energy costs and plan household budgets. For more information customers may view the [Even Payments-Making Budgeting Easier](#) brochure.

Along with this, National Grid will refer income-eligible families and customers needing special assistance to meet their energy needs. Programs include but are not limited to:

- [The Home Energy Assistance Program \(HEAP\)](#), also known as the Fuel Assistance Program, helps income-eligible households pay their heating bills with federally funded grants.
- [Discount Rates](#) where qualifying income-eligible customers may receive a discounted rate on electric and gas service, as well as no-cost energy efficiency upgrades.
- The [Massachusetts Good Neighbor Energy Fund](#) is available to any Massachusetts residents who, because of temporary financial difficulty, cannot meet a month's energy expense and is not eligible for state or federal energy assistance

Last week, National Grid [announced](#) the company is committing \$17 million in philanthropic funding to local community and philanthropic support organizations. The funds will be distributed through National Grid and the National Grid Foundation to existing networks and community partners across Massachusetts and New York that are set up to help individuals, families and communities who need it most. As part of this philanthropic funding, earlier this week National Grid in New England [announced](#) that the first \$1 million of those funds would be distributed to three Massachusetts brands of the United Way and the Good Neighbor Energy Fund.

National Grid is also hosting a series of [customer energy savings events](#) across Massachusetts to provide customers with information on available assistance and help them prepare for the winter season. Throughout the end of the year, National Grid and other partners will be hosting customer energy savings events where National Grid customer advocates and representatives from partnering non-profits, will be on site to help customers explore options and determine eligibility for assistance programs.

For more information, customers can visit [ngrid.com/heretohelp](http://ngrid.com/heretohelp) to learn more.

#### **About National Grid**

About National Grid: National Grid (NYSE: NGG) is an electricity, natural gas, and clean energy delivery company serving more than 20 million people through our networks in New York and Massachusetts. National Grid is focused on building a path to a more affordable, reliable clean energy future through our [fossil-free vision](#). National Grid is transforming our electricity and natural gas networks with smarter, cleaner, and more resilient energy solutions to meet the goal of reducing greenhouse gas emissions.

For more information, please visit our [website](#), follow us on [Twitter](#), watch us on [YouTube](#), like us on [Facebook](#) and find our photos on [Instagram](#)

18-5 Minority Millennials Agreement

## GRANT AGREEMENT

This Grant Agreement (“**Agreement**”) is made by and between Minority Millennials (“Minority Millennials”) located at 629 Broadway, N Amityville, NY 11701 and Community Offshore Wind, LLC, a Delaware limited liability company located at 353 North Clark St., 30<sup>th</sup> floor, Chicago, IL 60654 (“**Community Offshore Wind**”)(hereinafter individually a Party, and collectively the “Parties,”) effective as of the date payment is made pursuant to Section 2 and Appendix A (the “**Effective Date**”) and sets forth the terms and conditions pursuant to which the Parties agree to work together.

**WHEREAS**, Minority Millennials is a community-based organization on Long Island dedicated to assisting young people of color to access jobs, build wealth, and become civically engaged, to pursue offshore wind education and career exploration resources to DACs across Long Island; and

**WHEREAS**, Minority Millennials’ central goal is to build a diverse talent pipeline by implementing a social media outreach and awareness campaign that includes a robust first of its kind offshore wind candidate database; and

**WHEREAS**, Minority Millennials’ initiative will be funded over the next five years to target education and career exploration for Black and Brown both youth (ages 16-18) and millennials (born from 1981 to 1996) across disadvantaged Long Island communities including those identified in small pockets throughout Long Island that tend to be overlooked and underserved based on census reporting. We will prioritize those in our project area but will also serve those DAC’s outside of it; and

**WHEREAS**, Minority Millennials will endeavor to (1) Partner with workforce programs, including: (i) Opportunities Long Island (LI’s pre-apprenticeship program that connects individuals aged from underserved communities to union construction); (ii) Ignite LI; and (iii) local school districts; community colleges; faith-based institutions, and others; (2) Build upon their existing employer relationships to include offshore wind developers, suppliers, and original equipment manufacturers; (3) Develop an education forum curriculum on the offshore wind industry, the NY projects, and the types of career opportunities, including a “career and resume workshop” where participants can upload and work with mentors at the event about their unique career goals and needs; and (4) Create a database that will be designed to serve as a repository for the offshore wind industry’s future workforce (collectively, the “Programs”);

**WHEREAS**, Community Offshore Wind desires to make a grant to Minority Millennials as further set forth below in support of the Programs pursuant to the terms and conditions herein, and Minority Millennials desires that Community Offshore Wind provide such Program funding;

**NOW THEREFORE**, for good and valuable consideration, the Parties agree as follows:

**1. Grant Package.** The grant package will include the elements and respective Parties’ responsibilities for each element as set forth in **Appendix A** (the “Grant Package”) and subject to the terms and conditions as further set forth below in the Agreement.

## **2. Grant Amount, Payment and Allocation.**

Subject to Section 4, Community Offshore Wind agrees to pay Minority Millenials the sum of Two Hundred and Fifty Thousand Dollars (\$250,000) in one installment, which shall be contingent on Community Offshore Wind executing a definitive OREC agreement with the New York State Energy Research and Development Authority (“NYSERDA”) in connection with NYSEDA’s 2022 offshore wind solicitation, and payable on any date within ninety (90) days of such OREC agreement execution date (the Effective Date) and subject to Minority Millenials providing a written “impact report” to Community Offshore Wind that summarizes the effectiveness of the Minority Millenials publicity efforts (set forth in Section 4 below) of the prior year, for the publicity of the “Community Offshore Wind” name and attendant logos as provided in **Appendix A.**

## **3. Term; Termination.**

This Agreement shall commence on the Effective Date set forth above and shall continue for one year from the Effective Date, with the option to renew for another two years subject to the written agreement of the Parties, unless earlier terminated as described herein.

Community Offshore Wind reserves the right to terminate this Agreement and any payments under this Agreement at any time subsequent to Community Offshore Wind executing an OREC purchase agreement with NYSERDA (as set forth in Section 2 above), should COSW decide for any reason to terminate the pursuit of its offshore wind project with respect to Federal BOEM lease area OCS-A 0539 and for which such OREC purchase agreement relates to under NYSERDA ORECRFP 22-1.

Each Party reserves the right to terminate this Agreement (a) in the event of a material breach of any provision of this Agreement, which breach goes uncured for 30 days after written notice, or (b) immediately in the event that either Party should commit or otherwise become associated with, for any reason, any act that would reasonably be expected to have a material adverse impact on the reputation or public image of the terminating Party.

## **4. Donor Recognition; Publicity**

Pursuant to Exhibit A, Minority Millenials may announce and publicize the Grant in recognition of Community Offshore Wind’s support, subject to the provisions of this Agreement governing exclusivity, trademarks and confidentiality (in Sections 4, 5 and 6, respectively), as well as subject to all other provisions of this Agreement. Minority Millenials may each disclose Community Offshore Wind’s name, logo, and the amount of the Grant, and use such information in internal and external communications, including, without limitation, on its website and in its outreach materials, and as may otherwise be required by law. Neither Minority Millenials nor Community Offshore Wind will make any other public communications related to the Grant without the prior written consent of the other Party.

- a. **Social Media.** Subject to the agreement of the Parties, Minority Millenials will promote and assist with Community Offshore Wind social media to promote the Community Offshore Wind name and logo using a designated hash tag or other methods as mutually agreed upon by the Parties.

## **5. Exclusivity**

Minority Millenials agrees to utilize Community Offshore Wind as its exclusive offshore wind developer sponsor with respect to the particular Minority Millenials Programs underlying this Agreement from the undersigned execution date of the Agreement to the date of the announcement of the winning bids for offshore renewable energy certificates (“ORECs”) by NYSERDA and where

such continued exclusivity shall be contingent on Community Offshore Wind receiving such a winning bid award in response to NYSEDA's 2022 offshore wind solicitation.

## **6. Trademarks and Proprietary Rights.**

Subject to the terms and conditions of this Agreement, Community Offshore Wind hereby grants to Minority Millennials during the Term of this Agreement a limited, non-exclusive, non-transferable, non-sublicensable, revocable license to use the Community Offshore Wind logos, including identifying Community Offshore Wind on Minority Millennials' website and for use in Minority Millennials' promotional materials, subject to the restrictions contained in this Section 5 and Community Offshore Wind's inspection and objection rights in Section 9(c) of this Agreement. The subject matter of the license granted in this Section shall hereinafter be referred to as "**Licensed Property**".

Minority Millennials shall not use the Licensed Property in a manner that disparages Community Offshore Wind or its products or services, or portrays Community Offshore Wind or its products or services in a false, competitively adverse or poor light ("**Prohibited Uses**"). Minority Millennials shall comply with Community Offshore Wind's requests as to the use of Community Offshore Wind's Licensed Property and will not undertake any action that diminishes the value of such Licensed Property or is of poor quality.

Subject to the limited licenses granted to Minority Millennials under this Section, each Party owns and shall retain all right, title and interest in its trade names, logos, trademarks, service marks, trade dress, internet domain names, copyrights, patents, trade secrets, know how, and proprietary technology, including without limitation those trade names, logos, trademarks, service marks, trade dress, internet domain names, copyrights, patents, trade secrets, know-how and proprietary technology currently used or which may be developed and/or used by it in the future and the Licensed Property ("**Intellectual Property**"). Except as provided in this Agreement or in any executed attachment, neither Party may distribute, sell, reproduce, publish, display, perform, prepare derivative works, or otherwise use any of the Intellectual Property of the other Party without the express written consent of such other Party.

## **7. Confidentiality.**

In connection with entering into and performing under this Agreement each Party may receive or have access to commercially valuable technical and non-technical confidential or proprietary information of the other Party, including information, in whatever form, relating to the business of such Party that is not generally known or available to others, including but not limited to trade secrets, know how, customer lists, pricing strategies, payment terms, conversion rates, the terms of this Agreement and each applicable Exhibit and Appendix, marketing and business plans, information concerning such Party's vendors, and such Party's contemplated plans, strategies and prospects ("**Confidential Information**"). Except as expressly allowed herein or in any Exhibit or Appendix, the receiving Party will hold in confidence and not use for any purpose other than as necessary to perform its obligations under this Agreement or disclose to any third Party any Confidential Information of the disclosing Party and will similarly bind its employees and agents who have access to such Confidential Information. Each Party acknowledges and agrees that any Confidential Information received or obtained from the other Party will be the sole and exclusive property of the disclosing Party and, except as expressly provided herein, and nothing in this Agreement shall be interpreted as granting the receiving Party any right or license with respect to

such Confidential Information. If disclosure of the other Party's Confidential Information is required by law, the Party required to disclose Confidential Information shall reasonably cooperate with the other Party (at the other Party's request and expense) so that the other Party may preserve the confidentiality of the Confidential Information to the extent reasonably possible. Notwithstanding the foregoing, Confidential Information shall not include, and neither Party will be liable for disclosure of, any information received by the receiving Party under this Agreement if the information: (a) is or becomes generally available to or known to the public through no wrongful act of the receiving Party; (b) was previously known by the receiving Party through no wrongful act of receiving Party and without any obligation of confidentiality with respect to such information; or (c) was independently developed by the receiving Party without use or reference to the Confidential Information.

## **8. Indemnification.**

Minority Millenials shall indemnify, defend and hold harmless Community Offshore Wind and its officers, directors, employees, and agents from and against any and all third Party claims, demands, costs, damages, settlements and liabilities (including all attorneys' fees and court costs) of any kinds whatsoever (the "**Losses**"), directly and to the extent arising out of (i) the breach by Minority Millenials of any of the provisions of this Agreement, (ii) any claims arising out of Minority Millenials' operations and under this Agreement (including any use not specifically permitted by this Agreement) or (iii) the negligence or willful misconduct by Minority Millenials. For the purpose of clarity, Minority Millenials is solely responsible for all actions taken with respect to its activities under this Agreement and Community Offshore Wind shall have no obligations or liability in connection therewith.

Community Offshore Wind shall indemnify, defend and hold harmless Minority Millenials and its officers, directors, employees, and from and against any and all Losses directly and to the extent arising out of claims relating to the (i) the breach by Community Offshore Wind of any of the provisions of this Agreement, or (ii) the negligence or willful misconduct of Community Offshore Wind .

**9. Insurance.** Minority Millenials warrants that it will maintain throughout the term of this Agreement, a General Liability Insurance policy covering all risks associated with its programs and services for an amount not less than One Million (\$1,000,000.00) Dollars per occurrence. Such policy shall be endorsed to show Community Offshore Wind and its affiliates as an additional insured and Minority Millenials shall provide Community Offshore Wind with a certificate of insurance proving coverage and evidencing the endorsement and such certificate shall also provide that the insurance may not be cancelled or reduced without thirty (30) days prior written notice to Community Offshore Wind .

## **10. General.**

**a. Representations and Warranties.** Each Party represents and warrants to the other Party that: (i) such Party has all necessary right, power and authority to enter into this Agreement and to perform its obligation under it and the execution of this Agreement by the individual signing on behalf of such Party is duly authorized and (ii) nothing contained in this Agreement or any executed attachment or required by such Party's performance under this Agreement or any executed attachment will place such Party in breach of any other contract or agreement to which it is bound.



**b. Relationship of the Parties.** The relationship of Community Offshore Wind and Minority Millenials established pursuant to this Agreement is that of independent contractors, and no joint venture, partnership, agency, franchise or employment relationship will be deemed to exist between them. Neither Party shall have the authority to bind such other Party. For the avoidance of doubt, Minority Millenials shall be solely responsible for all aspects of the SYEP program and for the relationship with all persons and/or entities who use the services of Minority Millenials.

**c. Right to Inspect.** In order to ensure that Minority Millenials is complying with its obligations under this Agreement, at the request of Community Offshore Wind, Minority Millenials shall allow Community Offshore Wind to inspect advertising materials and any products bearing the Licensed Property, any other Intellectual Property of Community Offshore Wind (to the extent approved by Community Offshore Wind ) and Minority Millenials agrees to cease using the Licensed Property and Intellectual Property in specific instances upon the objection and reasonable written request of Community Offshore Wind.

**d. Reputation.** Minority Millenials agrees to safeguard and maintain the reputation and good will with respect to the Licensed Property and avoid any use of the Licensed Property which would adversely impact the reputation of Community Offshore Wind as the owner of such Licensed Property. Each Party agrees that it will not state, suggest, imply, do, say or express (orally or in writing) any disparaging or unfavorable remarks, comments, or criticisms with regard to the other Party and/or its Intellectual Property, products or services.

**e. Remedies.** All remedies available to a Party under or with respect to this Agreement are cumulative and in addition to all other remedies, if any, available at law or in equity. The Parties acknowledge that a breach of Section 1 (including Appendix A), Section 5, Section 6 and Section 8 could cause irreparable damages and money damages may not be an adequate remedy. In addition to all other remedies available hereunder, either Party may obtain equitable relief without the necessity of proving damages or posting a bond.

**f. Entire Agreement.** This Agreement constitutes the entire Agreement between the Parties relative to the subject matter hereof, and supersedes all proposals or agreements, written or oral, and all other communications between the Parties relating to the subject matter of this Agreement. The invalidity, illegality or unenforceability of any provision of this Agreement shall in no way affect the validity, legality or enforceability of any other provision of this Agreement. This Agreement may be executed in duplicate counterparts, which, when taken together, shall constitute one instrument and each of which shall be deemed to be an original instrument.

**g. Amendments and Waivers.** No provision of this Agreement shall be waived, amended, modified, superseded, canceled, terminated, renewed or extended except in a written instrument signed by both Parties hereto. Any waiver shall be limited to the particular instance and for the particular purpose when and for which it is given.

**h. Jointly Drafted.** The Parties agree this Agreement will be deemed to have been jointly drafted by the Parties and, in the event of a dispute, shall not be construed in favor of or against any Party by reason of the contribution of all Parties to the drafting of this Agreement.

**i. Successors and Assigns.** This Agreement shall be binding upon and inure to the benefit of the Parties hereto and their successors and assigns.

**j. Governing Law.** This Agreement and all aspects of the relationship between the Parties hereto shall be construed and enforced in accordance with and governed by the internal laws of the State of New York, without regard to the conflict of law principles thereof. Any claims or legal actions by one Party against the other shall be commenced and maintained exclusively in any state or federal court located in New York, New York, and both Parties hereby submit to the jurisdiction and venue of any such courts.

**k. Force Majeure.** Neither Party will be liable for any failure or delay in its performance under this Agreement due to any cause beyond its reasonable control, including acts of war, acts of God, earthquake, flood, fire, embargo, riot, sabotage, governmental act or failure of third Party power or telecommunications networks, provided that the delayed Party: (a) gives the other Party prompt notice of such cause, and (b) uses its reasonable commercial efforts to promptly correct such failure or delay in performance. Notwithstanding the foregoing, if such event causes a delay in performance of more than thirty (30) days, the other Party shall have the right to terminate this Agreement without penalty and shall be entitled to any refund as provided in Section 4 upon written notice at any time prior to the affected Party's resumption of performance.

**l. Notice.** Any notice required or permitted to be given hereunder will be effective upon receipt and shall be given in writing and delivered via email with a confirmation of receipt by the recipient, via nationally recognized overnight express courier (with confirmation of receipt), confirmed facsimile, or registered or certified mail with postage prepaid and return receipt requested, to the Parties at their respective addresses given herein or at such other address designated by written notice.

**m. Survival of Terms.** The rights and obligations contained in Sections 5, 6, 7, and 8 shall survive the expiration or earlier termination of this Agreement.

[Remainder of Page Left Blank. Signature Page follows.]

IN WITNESS WHEREOF, the Parties hereto have caused their duly authorized representatives to execute a counterpart of this Agreement as of the Effective Date.

**Minority Millenials**

*Daniel Lloyd*

Signature of Authorized Officer

Daniel Lloyd

Printed Name

Founder & President

Title

1/13/23

Date

**Community Offshore Wind, LLC**

*Douglas Perkins*

Signature of Authorized Officer

Douglas Perkins

Printed Name

President & Project Director

Title

1/25/2023

Date

*Patrick Johnson*

Signature of Authorized Officer

Patrick Johnson

Printed Name

Vice President & Deputy Project Director

Title

1/25/2023

Date

**APPENDIX A**

**GRANT PACKAGE**

<b>Community Offshore Wind - Minority Millenials Grant</b>	
<b>Community Offshore Wind Responsibility/Commitment</b>	<b>Minority Millenials Responsibility/Commitment</b>
<b>Minority Millenials PROGRAM GRANT</b>	
Community Offshore Wind shall pay Minority Millenials (\$ ) each year for ( ) years upon the Effective Date for a total of \$( ) to cover the costs of the Grant.	Minority Millenials shall furnish impact reports to Community Offshore Wind summarizing the effectiveness of its publicity campaign for the benefit of Community Offshore Wind prior to the release of subsequent, annual installment payments to Minority Millenials
	<b>Minority Millenials PUBLICITY</b>
-	Minority Millenials to describe in detail, what specific publicity, name and logo displays it will conduct for the benefit of Community Offshore Wind:
<b>Social Media Promotion</b>	
	<ul style="list-style-type: none"><li>- Minority Millenials shall advertise, market and promote the Community Offshore Wind brand;</li><li>- Minority Millenials to use reasonable efforts to encourage as many of its members and visitors as possible to post images of its program activities on social media throughout the year of the Agreement.</li></ul>
<b>Other Commitments</b>	
<ul style="list-style-type: none"><li>- Community Offshore Wind may also engage at select events on the Minority Millenials events schedule throughout the year (mutually agreed upon by the Parties).</li></ul>	<ul style="list-style-type: none"><li>- Minority Millenials to display the Community Offshore Wind Logos on their website.</li><li>- Minority Millenials to create a newsletter feature of the Community Offshore Wind Grant</li></ul>

## 18-6 NWS & SUNY Maritime Pathways Program

**SUNY Maritime**  
**Memorandum of Understanding to enter into a**  
**Grant Agreement with Community Offshore Wind, LLC**

This **MEMORANDUM OF UNDERSTANDING (“MOU”)** is made as of this day (the **“Effective Date”**), by and between Community Offshore Wind, LLC, a Delaware limited liability company (**“COSW”**), and SUNY Maritime (**“SUNY Maritime”**) (each referred to herein as a **“Party”** and collectively as the **“Parties”**).

**WHEREAS**, SUNY Maritime operates the OSW Technical Skills Summer Enrichment Program and a Simulated Ownship Models program, which have been transferred to SUNY Maritime from Kongsberg Simulation (collectively the **“Programs”**) and seeks to significantly expand diversity, equity, and inclusion (DEI) efforts by National Wind Services and SUNY Maritime to increase diversity in the future workers of the offshore wind industry; and;

**WHEREAS**, Additional Ownships, target ships, and tugs in SUNY Maritimes Simulator Library will be used for the exercises. SUNY Maritime will prepare Simulation exercises utilizing the Ownship and Area transferred; simulations can include but are not limited to:

- Application of COLREGS and route optimization.
- SAR operations within the Wind Field
- Meeting and overtaking in close-quarters situations
- Maneuvering in various Weather conditions;

**NOW THEREFORE**, the Parties agree to collaborate to enter into a future definitive grant agreement with the Proposed Terms:

**Grant Amount, Payment and Allocation.**

- Community Offshore Wind agrees to pay SUNY Maritime the sum of one million five hundred thousand dollars (\$1,500,000) contingent upon COSW entering into an OREC agreement with NYSERDA with respect to the NYSERDA 2022 wind solicitation, in equal annual installments of \$500,000;
- Grant payment installment, payable first, within 90 days of the execution date of such OREC agreement (**“the Grant Effective Date”**)
- Subsequent grant payments to be paid on the twelve month anniversary following the Effective Date over the entire three (3) year term as set forth in Section 3.
- Payments to SUNY Maritime shall be subject to SUNY Maritime providing a written **“impact report”** to Community Offshore Wind that summarizes the effectiveness of the SUNY Maritime publicity efforts (set forth in Section 4 below) of the prior year for the

publicity of the “Community Offshore Wind” name and attendant logos as provided in Appendix A of Grant Agreement.

The Parties understand and acknowledge that neither Party is bound to pursue the subject matter of this MOU, which is intended as a non-binding statement of mutual interest and engagement, rather than a formal partnership.

This MOU shall expire and be of no further force or effect on the execution of a definitive Grant Agreement between the Parties with respect to the subject matter hereof (the “**Expiration Date**”).

This MOU may not be assigned by either Party hereto without the consent of the other Party, which consent shall not be unreasonably withheld or delayed.

This MOU shall be governed by, interpreted under, and construed and enforced in accordance with the laws of the State of New York without regard to its conflict of law provisions that would cause the application of the laws of any jurisdiction other than New York.

Neither Party, nor any of their respective successors or assigns, nor the respective affiliates, shareholders, partners, assigns, directors, officers, agents, employees, or representatives of any of them, shall be liable to the other for any losses or damages arising out of this MOU.

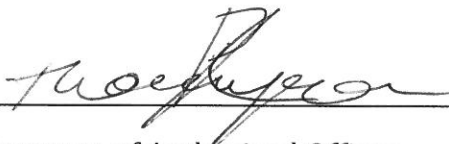
This MOU comprises the entire understanding of the Parties with respect to its subject matter and may not be amended except in writing, except through the execution of a definitive agreement between the Parties with respect to the subject matter hereof.

This MOU may be executed in counterparts, and all such counterparts shall together constitute one and the same agreement. Any Party may deliver an executed copy of this MOU by electronic means including facsimile or PDF.

[Signature page follows]

**IN WITNESS WHEREOF**, the Parties have caused this MOU to be executed by their duly authorized representatives as of the Effective Date.

**SUNY Maritime**

  
\_\_\_\_\_

Signature of Authorized Officer

*Roxanne Thompson*  
\_\_\_\_\_

Printed Name

*VP of Finance & Campus  
Operations*  
\_\_\_\_\_

Title

*1/13/23*  
\_\_\_\_\_

Date

**Community Offshore Wind, LLC**

  
\_\_\_\_\_

Signature of Authorized Officer

Douglas Perkins  
\_\_\_\_\_

Printed Name

President & Project Director  
\_\_\_\_\_

Title

1/25/2023  
\_\_\_\_\_

Date

**Community Offshore Wind, LLC**

  
\_\_\_\_\_

Signature of Authorized Officer

Patrick Johnson  
\_\_\_\_\_

Printed Name

VP & Deputy Project Director  
\_\_\_\_\_

Title

1/25/2023  
\_\_\_\_\_



18-7 United Way Childcare Program

## GRANT AGREEMENT

This Grant Agreement ("**Agreement**") is made by and between United Way of New York State ("**United Way**") located at 800 Troy-Schenectady Road, Latham , NY 12210 and Community Offshore Wind, LLC, a Delaware limited liability company located at 353 North Clark St., 30<sup>th</sup> floor, Chicago, IL 60654 ("**Community Offshore Wind**") (hereinafter individually a Party, and collectively the "Parties,") effective as of the date payment is made pursuant to Section 2 and Appendix A (the "**Effective Date**") and sets forth the terms and conditions pursuant to which the Parties agree to work together.

**WHEREAS**, modeled after the Work/Life Solutions program offered by the United Way of Buffalo & Erie County, United Way of New York State proposes to provide a dedicated 211 Community Resource Specialist to work with individuals actively training or working in the offshore wind industry to identify needs, barriers, and other life challenges that they are facing and connect them to programs and services in the community to address those needs, including: (1) childcare for individuals in offshore wind trainings; (2) 211 dedicated staff member for people in offshore wind trainings and workers; and (3) emergency funds for students (individually, "Program Component," and collectively, the "United Way Programs")

**WHEREAS**, by tracking needs data amongst trainees and workers, the 211 Community Resource Specialist associated with the United Way Programs will develop programming and outreach activities that are preventive in nature as well as be able to work with human resource departments and workforce development to proactively develop interventions to address challenges before they become problems that could lead to job loss or drop outs. and

**WHEREAS**, Community Offshore Wind desires to make a grant to the United Way as further set forth below in support of the United Way Program pursuant to the terms and conditions herein, and United Way desires that Community Offshore Wind provide such United Way Programs funding;

**NOW THEREFORE**, for good and valuable consideration, the Parties agree as follows:

**1. Grant Package.** The grant package will include the elements and respective Parties' responsibilities for each element as set forth in **Appendix A** (the "Grant Package") and subject to the terms and conditions as further set forth below in the Agreement.

**2. Grant Amount, Payment and Allocation.**

Subject to Section 4, and contingent on Community Offshore Wind executing an OREC agreement with the New York State Energy Research and Development Association ("NYSERDA") with respect to the NYSERDA 2022 RFP, Community Offshore Wind agrees to pay United Way the sum of ten million dollars (\$10,000,000) in equal annual installments of \$2,000,000, payable within ninety (90) days of such OREC agreement execution date ("the Effective Date") and thereafter on the twelve month anniversary date of each year following the Effective Date over the entire five year Term of the Agreement (as set forth in Section 3 below)(the "Program Grant"), and where such payments paid to the United Way shall be subject to United Way providing a written "impact

report” to Community Offshore Wind that summarizes programming results, demographics served, barrier reporting, success stories identified by a Resource Specialist, and the effectiveness of the United Way’s publicity efforts (as set forth in Section 4 below) of the prior year for the publicity of the “Community Offshore Wind” name and attendant logos as provided in Appendix A.

Allocation of funds with respect to the Program Grant will be made pursuant to the United Way’s budget for the United Way Programs as further set forth in Appendix B, and whereby any allocation of such funds that remains unused for a particular Program Component may be reallocated to a different Program Component and carried over to subsequent years within the Term, subject to the discretion of Community Offshore Wind and pursuant to quarterly, written financial reports provided by United Way to Community Offshore Wind of how such funds are allocated across the Program Components and in what amounts they are actually used each year of the Term.

### **3. Term; Termination.**

This Agreement shall commence on the Effective Date set forth above and shall continue for five (5) years from the Effective Date (the “Term”), with the option to renew for another two years subject to the written agreement of the Parties, unless earlier terminated as described herein.

Community Offshore Wind reserves the right to terminate this Agreement and any payments under this Agreement at any time subsequent to Community Offshore Wind executing an OREC purchase agreement with NYSERDA (as set forth in Section 2 above), should COSW decide for any reason to terminate the pursuit of its offshore wind project with respect to Federal BOEM lease area OCS-A 0539 and for which such OREC purchase agreement relates to under NYSERDA ORECRFP 22-1.

Each Party reserves the right to terminate this Agreement (a) in the event of a material breach of any provision of this Agreement, which breach goes uncured for 30 days after written notice, or (b) immediately in the event that either Party should commit or otherwise become associated with, for any reason, any act that would reasonably be expected to have a material adverse impact on the reputation or public image of the terminating Party.

### **4. Donor Recognition; Publicity**

Pursuant to Exhibit A, United Way may announce and publicize the Grant in recognition of Community Offshore Wind’s support, subject to the provisions of this Agreement governing exclusivity, trademarks and confidentiality (in Sections 4, 5 and 6, respectively), as well as subject to all other provisions of this Agreement. United Way may each disclose Community Offshore Wind’s name, logo, and the amount of the Grant, and use such information in internal and external communications, including, without limitation, on its website and in its outreach materials, and as may otherwise be required by law. Neither United Way nor Community Offshore Wind will make any other public communications related to the Grant without the prior written consent of the other Party.

- a. **Social Media.** Subject to the agreement of the Parties, United Way will promote and assist with Community Offshore Wind social media to promote the Community Offshore Wind name and logo using a designated hash tag or other methods as mutually agreed

upon by the Parties. Promotion by United Way will be correlated to the United way Programs funded by the Program Grant.

## 5. Exclusivity

United Way agrees to utilize Community Offshore Wind as its exclusive offshore wind developer sponsor with respect to the particular United Way Programs underlying this Agreement from the undersigned execution date of the Agreement to the date of the announcement of the winning bids for offshore renewable energy certificates (“ORECs”) by the New York State Energy Research and Development Authority (“NYSERDA”) and where such continued exclusivity shall be contingent on Community Offshore Wind receiving such a winning bid award in response to NYSERDA’s 2022 offshore wind solicitation.

## 6. Trademarks and Proprietary Rights.

Subject to the terms and conditions of this Agreement, Community Offshore Wind hereby grants to United Way during the Term of this Agreement a limited, non-exclusive, non-transferable, non-sublicensable, revocable license to use the Community Offshore Wind logos, including identifying Community Offshore Wind on United Way’s website and for use in United Way’s promotional materials, subject to the restrictions contained in this Section 5 and Community Offshore Wind’s inspection and objection rights in Section 9I of this Agreement. The subject matter of the license granted in this Section shall hereinafter be referred to as “**Licensed Property**”.

United Way shall not use the Licensed Property in a manner that disparages Community Offshore Wind or its products or services, or portrays Community Offshore Wind or its products or services in a false, competitively adverse or poor light (“**Prohibited Uses**”). United Way shall comply with Community Offshore Wind’s requests as to the use of Community Offshore Wind’s Licensed Property and will not undertake any action that diminishes the value of such Licensed Property or is of poor quality.

Subject to the limited licenses granted to United Way under this Section, each Party owns and shall retain all right, title and interest in its trade names, logos, trademarks, service marks, trade dress, internet domain names, copyrights, patents, trade secrets, know how, and proprietary technology, including without limitation those trade names, logos, trademarks, service marks, trade dress, internet domain names, copyrights, patents, trade secrets, know-how and proprietary technology currently used or which may be developed and/or used by it in the future and the Licensed Property (“**Intellectual Property**”). Except as provided in this Agreement or in any executed attachment, neither Party may distribute, sell, reproduce, publish, display, perform, prepare derivative works, or otherwise use any of the Intellectual Property of the other Party without the express written consent of such other Party.

## 7. Confidentiality.

In connection with entering into and performing under this Agreement each Party may receive or have access to commercially valuable technical and non-technical confidential or proprietary information of the other Party, including information, in whatever form, relating to the business of such Party that is not generally known or available to others, including but not limited to trade secrets, know how, customer lists, pricing strategies, payment terms, conversion rates, the terms of this Agreement and each applicable Exhibit and Appendix, marketing and business plans,

information concerning such Party's vendors, and such Party's contemplated plans, strategies and prospects ("**Confidential Information**"). Except as expressly allowed herein or in any Exhibit or Appendix, the receiving Party will hold in confidence and not use for any purpose other than as necessary to perform its obligations under this Agreement or disclose to any third Party any Confidential Information of the disclosing Party and will similarly bind its employees and agents who have access to such Confidential Information. Each Party acknowledges and agrees that any Confidential Information received or obtained from the other Party will be the sole and exclusive property of the disclosing Party and, except as expressly provided herein, and nothing in this Agreement shall be interpreted as granting the receiving Party any right or license with respect to such Confidential Information. If disclosure of the other Party's Confidential Information is required by law, the Party required to disclose Confidential Information shall reasonably cooperate with the other Party (at the other Party's request and expense) so that the other Party may preserve the confidentiality of the Confidential Information to the extent reasonably possible. Notwithstanding the foregoing, Confidential Information shall not include, and neither Party will be liable for disclosure of, any information received by the receiving Party under this Agreement if the information: (a) is or becomes generally available to or known to the public through no wrongful act of the receiving Party; (b) was previously known by the receiving Party through no wrongful act of receiving Party and without any obligation of confidentiality with respect to such information; or (c) was independently developed by the receiving Party without use or reference to the Confidential Information.

## **8. Indemnification.**

United Way shall indemnify, defend and hold harmless Community Offshore Wind and its officers, directors, employees, and agents from and against any and all third Party claims, demands, costs, damages, settlements and liabilities (including all attorneys' fees and court costs) of any kinds whatsoever (the "**Losses**"), directly and to the extent arising out of (i) the breach by United Way of any of the provisions of this Agreement, (ii) any claims arising out of United Way's operations and under this Agreement (including any use not specifically permitted by this Agreement) or (iii) the negligence or willful misconduct by United Way. For the purpose of clarity, United Way is solely responsible for all actions taken with respect to its activities under this Agreement and Community Offshore Wind shall have no obligations or liability in connection therewith.

Community Offshore Wind shall indemnify, defend and hold harmless United Way and its officers, directors, employees, and from and against any and all Losses directly and to the extent arising out of claims relating to the (i) the breach by Community Offshore Wind of any of the provisions of this Agreement, or (ii) the negligence or willful misconduct of Community Offshore Wind .

**9. Insurance.** United Way warrants that it will maintain throughout the term of this Agreement, a General Liability Insurance policy covering all risks associated with its programs and services for an amount not less than One Million (\$1,000,000.00) Dollars per occurrence. Such policy shall be endorsed to show Community Offshore Wind and its affiliates as an additional insured and United Way shall provide Community Offshore Wind with a certificate of insurance proving coverage and evidencing the endorsement and such certificate shall also provide that the insurance may not be cancelled or reduced without thirty (30) days prior written notice to Community Offshore Wind .

## **10. General.**

**a. Representations and Warranties.** Each Party represents and warrants to the other Party that: (i) such Party has all necessary right, power and authority to enter into this Agreement and to perform its obligation under it and the execution of this Agreement by the individual signing on behalf of such Party is duly authorized and (ii) nothing contained in this Agreement or any executed attachment or required by such Party's performance under this Agreement or any executed attachment will place such Party in breach of any other contract or agreement to which it is bound.

**b. Relationship of the Parties.** The relationship of Community Offshore Wind and United Way established pursuant to this Agreement is that of independent contractors, and no joint venture, partnership, agency, franchise or employment relationship will be deemed to exist between them. Neither Party shall have the authority to bind such other Party. For the avoidance of doubt, United Way shall be solely responsible for all aspects of the United Way Programs and for the relationship with all persons and/or entities who use the services of United Way.

**c. Right to Inspect.** In order to ensure that United Way is complying with its obligations under this Agreement, at the request of Community Offshore Wind, United Way shall allow Community Offshore Wind to inspect advertising materials and any products bearing the Licensed Property, any other Intellectual Property of Community Offshore Wind (to the extent approved by Community Offshore Wind ) and United Way agrees to cease using the Licensed Property and Intellectual Property in specific instances upon the objection and reasonable written request of Community Offshore Wind.

**d. Reputation.** United Way agrees to safeguard and maintain the reputation and good will with respect to the Licensed Property and avoid any use of the Licensed Property which would adversely impact the reputation of Community Offshore Wind as the owner of such Licensed Property. Each Party agrees that it will not state, suggest, imply, do, say or express (orally or in writing) any disparaging or unfavorable remarks, comments, or criticisms with regard to the other Party and/or its Intellectual Property, products or services.

**e. Remedies.** All remedies available to a Party under or with respect to this Agreement are cumulative and in addition to all other remedies, if any, available at law or in equity. The Parties acknowledge that a breach of Section 1 (including Appendix A), Section 5, Section 6 and Section 8 could cause irreparable damages and money damages may not be an adequate remedy. In addition to all other remedies available hereunder, either Party may seek equitable relief without the necessity of providing damages..

**f. Entire Agreement.** This Agreement constitutes the entire Agreement between the Parties relative to the subject matter hereof, and supersedes all proposals or agreements, written or oral, and all other communications between the Parties relating to the subject matter of this Agreement. The invalidity, illegality or unenforceability of any provision of this Agreement shall in no way affect the validity, legality or enforceability of any other provision of this Agreement. This Agreement may be executed in duplicate counterparts, which, when taken together, shall constitute one instrument and each of which shall be deemed to be an original instrument.

**g. Amendments and Waivers.** No provision of this Agreement shall be waived, amended, modified, superseded, canceled, terminated, renewed or extended except in a written instrument signed by both Parties hereto. Any waiver shall be limited to the particular instance and for the particular purpose when and for which it is given.

**h. Jointly Drafted.** The Parties agree this Agreement will be deemed to have been jointly drafted by the Parties and, in the event of a dispute, shall not be construed in favor of or against any Party by reason of the contribution of all Parties to the drafting of this Agreement.

**i. Successors and Assigns.** This Agreement shall be binding upon and inure to the benefit of the Parties hereto and their successors and assigns.

**j. Governing Law.** This Agreement and all aspects of the relationship between the Parties hereto shall be construed and enforced in accordance with and governed by the internal laws of the State of New York, without regard to the conflict of law principles thereof. Any claims or legal actions by one Party against the other shall be commenced and maintained exclusively in any state or federal court located in New York, , and both Parties hereby submit to the jurisdiction and venue of any such courts.

**k. Force Majeure.** Neither Party will be liable for any failure or delay in its performance under this Agreement due to any cause beyond its reasonable control, including acts of war, acts of God, earthquake, flood, fire, embargo, riot, sabotage, governmental act or failure of third Party power or telecommunications networks, provided that the delayed Party: (a) gives the other Party prompt notice of such cause, and (b) uses its reasonable commercial efforts to promptly correct such failure or delay in performance. Notwithstanding the foregoing, if such event causes a delay in performance of more than thirty (30) days, the other Party shall have the right to terminate this Agreement without penalty and shall be entitled to any refund as provided in Section 4 upon written notice at any time prior to the affected Party's resumption of performance.

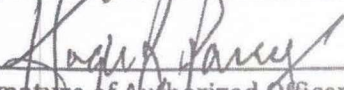
**l. Notice.** Any notice required or permitted to be given hereunder will be effective upon receipt and shall be given in writing and delivered via email with a confirmation of receipt by the recipient, via nationally recognized overnight express courier (with confirmation of receipt), confirmed facsimile, or registered or certified mail with postage prepaid and return receipt requested, to the Parties at their respective addresses given herein or at such other address designated by written notice.

**m. Survival of Terms.** The rights and obligations contained in Sections 5, 6, 7, and 8 shall survive the expiration or earlier termination of this Agreement.

[Remainder of Page Left Blank. Signature Page follows.]

IN WITNESS WHEREOF, the Parties hereto have caused their duly authorized representatives to execute a counterpart of this Agreement as of the Effective Date.

**United Way of New York State**

  
\_\_\_\_\_  
Signature of Authorized Officer

Hugh R. Parry  
\_\_\_\_\_  
Printed Name

Pres. CEO, and NYs/RI/NY  
\_\_\_\_\_  
Title

Jan. 24, 2023  
\_\_\_\_\_  
Date

**Community Offshore Wind, LLC**

DocuSigned by:  
  
\_\_\_\_\_  
Signature of Authorized Officer

Douglas Perkins  
\_\_\_\_\_  
Printed Name

President & Project Director  
\_\_\_\_\_  
Title

1/25/2023  
\_\_\_\_\_  
Date

DocuSigned by:  
  
\_\_\_\_\_  
Signature of Authorized Officer

Patrick Johnson  
\_\_\_\_\_  
Printed Name

Vice President & Deputy Project Director  
\_\_\_\_\_  
Title

1/25/2023  
\_\_\_\_\_  
Date



**APPENDIX A**

**GRANT PACKAGE**

Community Offshore Wind – United Way Grant	
Community Offshore Wind Responsibility/Commitment	United Way Responsibility/Commitment
<b>United Way PROGRAM GRANT</b>	
<p>Community Offshore Wind shall pay United Way \$2,000,000 each year for 5 years upon the Effective Date for a total of \$10,000,000 to fund the Grant.</p>	<p>United Way shall furnish impact reports to Community Offshore Wind summarizing the effectiveness of its COSW publicity campaign per Section 4 of the Agreement for the benefit of Community Offshore Wind prior to the release of subsequent, annual installment payments to United Way</p>
<b>United Way PUBLICITY</b>	
-	<p>United Way to describe in detail, what specific publicity, name and logo displays it will conduct for the benefit of Community Offshore Wind with respect to Section 4 of the Agreement and as it relates to contracted services provided by United Way under the Agreement.</p> <p style="margin-left: 40px;">- NOTE TO UNITED WAY: COSW would like you to spell out here how specifically you intend to display the COSW name and logo.</p>
<b>Social Media Promotion</b>	
	<ul style="list-style-type: none"> <li>- United Way shall advertise, market and promote the Community Offshore Wind partnership with United Way ;</li> <li>- United Way to use reasonable efforts to encourage as many of its members and visitors as possible to post images of its program activities on social media throughout the year of the Agreement.</li> </ul>
<b>Other Commitments</b>	

<ul style="list-style-type: none"><li>- Community Offshore Wind may also engage at select events on the United Way events schedule throughout the year (mutually agreed upon by the Parties).</li></ul>	<ul style="list-style-type: none"><li>- United Way to display the Community Offshore Wind Logos on their website.</li><li>- United Way may create a feature story of the Community Offshore Wind Grant</li></ul>
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## Appendix B

### United Way of New York State Budget:

	Year 1	Year 2	Year 3	Year 4	Year 5	Total
211 Resource Specialist	\$ 73,150	\$ 75,345	\$ 79,112	\$ 83,067	\$ 87,221	\$ 397,894
10 - 4k emergency grants	\$ 40,000	\$ 40,000	\$ 40,000	\$ 40,000	\$ 40,000	\$ 200,000
67 Child Care Slots	\$ 1,675,000	\$ 1,675,000	\$ 1,675,000	\$ 1,675,000	\$ 1,675,000	\$ 8,375,000
Marketing, Supplies, Other	\$ 10,000	\$ 10,000	\$ 10,000	\$ 10,000	\$ 10,000	\$ 50,000
<b>Programming total</b>						<b>\$ 9,022,894</b>
A&OH	\$ 195,421	\$ 195,421	\$ 195,421	\$ 195,421	\$ 195,421	\$ 977,106
				<b>Project Total</b>		<b>\$ 10,000,000</b>