Environmental Investment Program - Technical Assistance

1. **Question Ref:** Q_1225
   Question Type: Threshold

   Do any of the statements below apply to your project? This project:

   -Will bring my company/organization into compliance with environmental laws or regulations;
   -Recycles, reuses or otherwise processes DEC regulated hazardous waste or hazardous substances that were not used in the company?s own process (out of process);
   -Shifts waste from one medium to another with no net environmental benefit (such as end of pipe pollution control technologies or scrubbers);
   -Involves the substitution of one hazardous substance, product or output with another with no net environmental benefit;
   -Focuses on storm water run-off;
   -Is for energy recovery (includes refuse derived fuel) or incineration;
   -Has a primary purpose of cleaning up or remediating contaminated site(s);
   -Has a primary purpose of energy conservation or energy efficiency;
   -Is a municipal waste treatment project, such as a water or sewage treatment facility;
   -Is a municipal waste reduction or waste recycling project eligible for funding through DEC;
   -Has recyling or pollution prevention outcomes that occur only once. (example ? incorporating recycled feedstock into a building to achieve LEED status.)

   HELP SECTION

   For more information contact the Environmental Investment Program (EIP) at environment@esd.ny.gov or 518-292-5340.

2. **Question Ref:** Q_1226
   Question Type: Threshold

   Is the project a Material Recycling Facility (MRF) that will only include basic processing of residential recyclables (aggregating, sorting, baling, etc) with no intermediate or advanced processing?

   HELP SECTION

   For more information contact the Environmental Investment Program (EIP) at environment@esd.ny.gov or 518/292-5340.

3. **Question Ref:** Q_1049
   Question Type: Basic

   Contact Last Name

4. **Question Ref:** Q_1050
   Question Type: Basic

   Contact Title

5. **Question Ref:** Q_1051
   Question Type: Basic

   Additional Contact Title

6. **Question Ref:** Q_1052
   Question Type: Basic

   Additional Project Contact First Name

7. **Question Ref:** Q_1053
   Question Type: Basic

   If project review pursuant to the National Environmental Policy Act (NEPA) has been completed has a Finding of No Significant Impact or Record of Decision been issued?

8. **Question Ref:** Q_1054
   Question Type: Basic

   If National Environmental Policy Act (NEPA) Record of Decision has been issued, please explain (include date of Record of Decision).

9. **Question Ref:** Q_1056
   Question Type: Basic

   If review of the project is underway pursuant to the State Environmental Quality Review Act (SEQRA), please indicate the lead agency (if applicable).

10. **Question Ref:** Q_1603
    Question Type: Basic

    Was this project or a phase of this project awarded funding in CFA Round I ?

11. **Question Ref:** Q_1604
    Question Type: Basic

    If yes, with which agency(s)?

12. **Question Ref:** Q_1605
    Question Type: Basic

    If funding was received in a prior round of the CFA, indicate the amount of
    funding received.

13. **Question Ref:** Q_184
    Question Type: Basic

    NYS Assembly District(s) where the project is located. (please enter a number
    between 1 and 150 that represents your Assembly District)

    HELP SECTION

    Click HERE to determine your Assembly district.

14. **Question Ref:** Q_190
    Question Type: Basic

    NY Senate District(s) where the project is located. (please enter a number
    between 1 and 62 that represents your Senate District)

    HELP SECTION

    Click HERE to determine your Senate district.

15. **Optional Question Header:**

    Applicant Information

    Question Ref: Q_546
    Question Type: Basic

    Legal Name of Applicant

16. **Question Ref:** Q_547
    Question Type: Basic

Contact First Name

17. **Question Ref:** Q_549
    Question Type: Basic

    Type of Applicant (select all that apply)

18. **Question Ref:** Q_550
    Question Type: Basic

    If you are a DBA, what is your DBA name?

19. **Question Ref:** Q_551
    Question Type: Basic

    Applicant Street Address

20. **Question Ref:** Q_552
    Question Type: Basic

    Applicant City

21. **Question Ref:** Q_553
    Question Type: Basic

    Applicant State

22. **Question Ref:** Q_554
    Question Type: Basic

    Applicant Zip Code. (please use Zip+4 if known)

23. **Question Ref:** Q_555
    Question Type: Basic

    Applicant Email Address

24. **Question Ref:** Q_556
    Question Type: Basic

    Select an applicant ID type from the list below that you normally use to identify your organization on application forms.

    HELP SECTION

Applicants will be required to provide the specified ID number upon request by the funding agencies.

25. **Question Ref:** Q_561
    Question Type: Basic

    Additional Contact Email Address

26. **Question Ref:** Q_562
    Question Type: Basic

    Additional Contact Phone Number. (please include area code)

27. **Question Ref:** Q_565
    Question Type: Basic

    Project City

28. **Question Ref:** Q_568
    Question Type: Basic

    Project State

29. **Question Ref:** Q_572
    Question Type: Basic

    Project Latitude

    HELP SECTION

    Click HERE to determine Latitude

30. **Question Ref:** Q_573
    Question Type: Basic

    Project Longitude

    HELP SECTION

    Click HERE to determine Longitude

31. **Optional Question Header:**

<div style="background-color:#3a5f8a;color:white;padding:4px;">

Project Description

</div>

Question Ref: Q_575
Question Type: Basic

Project Description. Concisely describe the project, indicating the location, what will be planned, designed, and/or constructed, the issues/opportunities to be addressed, and expected outcomes and deliverables. Additional details will be collected later in the application process.

32. **Question Ref:** Q_580
Question Type: Basic

Status of Permits

33. **Question Ref:** Q_651
Question Type: Basic

Applicant Telephone Number, (please include area code)

34. **Question Ref:** Q_928
Question Type: Basic

Project Street Address: if the project does not have a definite street address, please skip to "Project without a Street Address" below.

35. **Question Ref:** Q_929
Question Type: Basic

Current State of Project Development (i.e. planning, preliminary engineering, final design, etc)

36. **Question Ref:** Q_930
Question Type: Basic

Explain what makes your project a regional economic priority - for example creates jobs, economic investment, sustainability and community revitalization, etc.

37. **Question Ref:** Q_969
    Question Type: Basic

    If you are a business, have you been certified as an Minority or Women-owned Business Enterprise (MWBE)?

38. **Question Ref:** Q_970
    Question Type: Basic

    Additional Project Contact Last Name

39. **Question Ref:** Q_971
    Question Type: Basic

    Project Without a Street Address: please enter a description of the project location. Include project starting/ending street addresses, cities & zip codes if applicable.

40. **Question Ref:** Q_972
    Question Type: Basic

    Project county or counties.

41. **Question Ref:** Q_973
    Question Type: Basic

    Status of State and/or Federal Environmental Review.

42. **Question Ref:** Q_975
    Question Type: Basic

    Estimated Project Timeline: including project start/completion dates, estimates for design, permitting and construction or other major steps.

43. **Question Ref:** Q_976
    Question Type: Basic

    Statement of Need

    HELP SECTION

    Provide a brief summary of the need for the project in the geographic area proposed, the project's financing needs, including funding gaps and, where applicable, describe the additional short and long term jobs that will be created through the development of the proposed project.

44. **Question Ref:** Q_1034
   Question Type: Basic

   Project Zip Code. (please use Zip+4 if known)

45. **Optional Question Header:**

Required Supporting Documentation

Question Ref: Q_1337
Question Type: Attachment

For privately owned companies, IDAs, not-for-profits, educational institutions, start-ups, municipalities, or any business organization other than publicly traded companies, provide: (a) Three years of historical financials; (b) If most recent financials are over 180 days old, add the most recent interim statements, certified by a company officer; (c) Organizational chart and/or description of ownership structure, including the percentage of ownership structure by each individual entity. If the company is a parent, subsidiary and/or affiliate of another company, please provide a description. (d) Additional financial information may be requested.

HELP SECTION

Financial statements should be audited or reviewed. If the statements are only compiled, they must be accompanied by copies of signed Federal tax returns (3 yrs). Source of financial statements: financial statements should be provided by the Parent company of the grantee (50% or greater ownership) unless the grantee prepares separate audited or reviewed financial statements or files separate tax returns from the parent.

For information about this requirement, contact your local ESD Regional Office. http://esd.ny.gov/RegionalOverviews.html

46. **Question Ref:** Q_1057
   Question Type: Attachment

If review of the project has been completed pursuant to State Environmental Quality Review Act (SEQRA), please submit the Negative Declaration or Findings Statement.

47. **Question Ref:** Q_1055
    Question Type: Attachment

    Project review pursuant to the State Environmental Quality Review Act (SEQRA) must be completed prior to the award of any state funds. For projects classified as Type I or Unlisted actions, submit a short or long Environmental Assessment Form. See "View Help" for links to forms.

    HELP SECTION

    Information and forms can be found at http://www.dec.ny.gov/permits/357.html and http://www.dec.ny.gov/permits/6191.html . If you are a not-for-profit, please complete and attach the following form: http://nysparks.com/grants/documents/cfa/EMBFormNFPGrants.pdf

48. **Question Ref:** Q_1450
    Question Type: Standard Question

    Will the proposed project result in the creation of construction jobs? If so, estimate the number of construction jobs to be created.

    Enter zero if not applicable.

49. **Question Ref:** Q_1459
    Question Type: Standard Question

    Will the proposed project directly or indirectly result in the creation of permanent jobs? If so, estimate the number of permanent full-time equivalent jobs that will be created.

    Enter zero if not applicable.

50. **Question Ref:** Q_1371
    Question Type: Standard Question

    Does the project involve demolition or rehabilitation of a building(s) more than 50 years old and/or demolition or rehabilitation of a building(s) or new construction on or contiguous to a site listed on or eligible for listing on the

State or National Registers of Historic Places? Indicate Y/N/NA. If Y, click "Help" for more information.

HELP SECTION

If "yes", the project requires consultation with the State Historic Preservation office (SHPO) www.nysparks.state.ny.us/shpo. If the project requires SHPO consultation, please explain the status. If consultation is complete, please provide a link to SHPO's Letter of Determination of No Adverse Effect or Letter of Resolution to Mitigate Adverse Effect.

51. **Question Ref:** Q_1041
Question Type: Standard Question

Provide a list of all federal, state, and local environmental and other reviews, approvals, or permits needed, including the dates by when they are expected. If Not Applicable, indicate "NA".

52. **Question Ref:** Q_1043
Question Type: Standard Question

Is the project owner/occupant/operator or any facilities which are under the supervision of the project owner/occupant/operator in violation of any federal, state or local environmental or other laws, or listed on the registry of Inactive Hazardous Waste Disposal Sites? Indicate Y/N/NA. If "Y", explain.

53. **Question Ref:** Q_1418
Question Type: Standard Question

Has the company/applicant ever received prior ESD funding? Y/N. If ?Yes?, describe each project and include the type of assistance received, amount of assistance received, status of the project, and project number (if available).

54. **Optional Question Header:**

Environmental Investment Program: Technical Assistance (For Capital and RD&D indicate N/A)

Question Ref: Q_1231
Question Type: Standard Question

Describe the types of businesses and if known, the number of businesses that this project will serve. Describe the challenges they face that this project will address.

55. **Question Ref:** Q_1343
    Question Type: Standard Question

    Provide a description of the services that will be offered and how they will assist the businesses described above.

56. **Question Ref:** Q_1244
    Question Type: Standard Question

    Explain why clients will respond well to the services you intend to offer and the delivery strategies you will use. Include any unique or important elements of the project that will ensure its success, such as:
    -key people are well suited, well-positioned, have special expertise to carry out the project;
    -the reputation and capability of the organization;
    -established relationships with target clients;
    -timing or location of the project;
    -the approach you intend to take to address clients needs and why it is well suited for this group of clients;
    -the support offered by other project investors or partners;
    -the strength of databases, software or other technologies on which you intend to rely.

57. **Question Ref:** Q_1346
    Question Type: Standard Question

    Describe your prior experience serving the targeted businesses and in delivering the services proposed by this project.

58. **Question Ref:** Q_1517
    Question Type: Standard Question

    All EIP projects are required to identify at least one environmental outcome and one economic outcome to be achieved by the end of the project. In this question and the four that follow identify the environmental and economic outcomes for this project. All approved projects will be expected to provide documentation to verify that outcomes have been achieved. See ?View Help? for more information.

    Identify the type of environmental outcomes your project will achieve by checking the boxes that apply, below.

    Required: Yes
    Answer Type:
    Choice Options: Solid or industrial process waste recycling reuse or remanufacturing (includes food waste), Water usage prevention reduction or recycling, BOD/COD/TSS

prevention or reduction, Solid or industrial process waste prevention, In-process hazardous waste prevention/reduction, Toxic materials purchase prevention/reduction in conjunction with hazardous waste reduction, NOx/ SOx/ VOC (with or without HAPs) prevention/reduction, Other regulated air emissions prevention/reduction
Default Answer:

HELP SECTION

During the course of the project, EIP TA contractors will be required to provide documentation verifying that milestone(s) toward achieving the outcomes have been completed, as a prequisite to reimbursement. Contact the EIP program staff for more information. environment@esd.ny.gov; 518-292-5340

59. **Question Ref:** Q_1237
    Question Type: Standard Question

    During the course of the project, how much waste recycling, waste reduction or pollution prevention may occur (over and above the baseline) as a result of the project. What is the material or waste? In this question and the two questions following, choose one or more boxes to enter the information.

    For recycling projects indicate how many new tons may be recycled during the course of the project as a result of your efforts, and identify the material(s) or waste(s) that will be recycled.

    HELP SECTION

    Each EIP technical assistance project must commit to achieving measurable economic and environmental outcomes. Only include outcomes that will be measured and verified. For assistance with developing them, contact the Environmental Services Unit program staff at 518-292-5340 or environment@esd.ny.gov. For more information about the Environmental Investment Program, visit esd.ny.gov/businessprograms/eip.html.

60. **Question Ref:** Q_1290
    Question Type: Standard Question

    For pollution prevention projects, how many tons of waste may be prevented; and/or how many tons of hazardous materials will no longer be purchased during the course of the project and as a result of your efforts. Also identify the waste(s) that will be prevented.

61. **Question Ref:** Q_1293
    Question Type: Standard Question

    For water recycling or prevention projects, how many million gallons water
    may be recycled or prevented during the course of the project and as a result
    of your efforts.

62. **Question Ref:** Q_1259
    Question Type: Standard Question

    Identify at least one economic outcome that will be achieved during the
    course of the project. These must result from the environmental
    improvement(s) described above. They must be expressed as dollars of new
    sales and/or dollars saved (e.g., from avoided disposal or purchasing costs,
    resource conservation, efficiency improvements, reduced regulatory
    management costs).

    HELP SECTION

    These statments are key to Environmental Investment Program projects. For assistance
    with developing them, contact the Environmental Investment Program staff at (518) 292-
    5340 or environment@esd.ny.gov.

63. **Question Ref:** Q_1304
    Question Type: Standard Question

    Explain how you derived each environmental outcome and each associated
    economic outcome stated above. For example, explain how the tons of
    material to be recycled was calculated and state the assumptions that were
    used.

    HELP SECTION

    An example of a derivation for a recycling outcome is: 7,000 cartridges recycled @ 4
    lb/cartiridge = 28,000 lbs., / 2,000 lbs per ton = 14 tons

64. **Question Ref:** Q_1309
    Question Type: Standard Question

    For each project outcome describe what you will provide to verify it has been
    achieved (when the project is over).

65. **Question Ref:** Q_1318
   Question Type: Standard Question

   Describe any other benefits (environmental, economic, social, etc) resulting from the project that are not articulated in the project outcomes. These may include reductions in electricity usage, improvements to quality of life (e.g. use of a brownfield site), improvements to customer service or to Identify other environmental benefits or environmental outcomes or to product quality, etc.

66. **Question Ref:** Q_1232
   Question Type: Standard Question

   What other tasks and steps need to be completed before the project begins (e.g. obtaining permits, licenses, staff, etc.) ?

67. **Question Ref:** Q_1705
   Question Type: Standard Question

   I understand that costs incurred prior to the date of application approval that is referenced in the written EIP award committment letter are not eligible and cannot be included in the project budget for the Environmental Investment Program (EIP).

   HELP SECTION

   Costs incurred prior to the date of application approval that is referenced in the written EIP award committment letter are not eligible and cannot be included in the project budget for the Environmental Investment Program (EIP). For more information on this requirement contact EIP staff at 518-292-5340 or environment@esd.ny.gov.

68. **Optional Question Header:**

   General Certifications

   Question Ref: Q_1037
   Question Type: Certification

   By entering your name in the box below, you certify and agree that you are authorized on behalf of the applicant and its governing body to commit the applicant to comply with the requirements of Article 15-A of the New York State Executive Law: Participation By Minority Group Members and Women With Respect To State Contracts by providing opportunities for MBE/WBE

participation. You further certify that the applicant will maintain such records and take such actions necessary to demonstrate such compliance throughout the completion of the project.

69. **Question Ref:** Q_1038
    Question Type: Certification

    By entering your name in the box below, you certify that you are authorized on behalf of the applicant and its governing body to submit this application. You further certify that all of the information contained in this Application and in all statements, data and supporting documents which have been made or furnished for the purpose of receiving Assistance for the project described in this application, are true, correct and complete to the best of your knowledge and belief. You acknowledge that offering a written instrument knowing that the written instrument contains a false statement or false information, with the intent to defraud the State or any political subdivision, public authority or public benefit corporation of the State, with the knowledge or belief that it will be filed with or recorded by the State or any political subdivision, public authority or public benefit corporation of the State, constitutes a crime under New York State Law.

70. **Question Ref:** Q_1044
    Question Type: Certification

    Is the company delinquent on any of its state, federal or local tax obligations? Indicate "Yes" or "No". If your answer is "Yes" provide an explanation.

71. **Question Ref:** Q_1045
    Question Type: Certification

    Has the company or any of its affiliates, been cited for a violation of State, Federal, or local laws or regulations with respect to labor practices, hazardous wastes, environmental pollution or other operating practices? Indicate "Yes" or "No". If yes, provide an explanation.

72. **Question Ref:** Q_1069
    Question Type: Certification

    Litigation: Is the company presently a party to any litigation or is any litigation pending or anticipated that could have an adverse material effect on the company?s financial condition? Indicate "Yes" or "No". If your answer is "Yes", please provide explanation in space provided.

73. **Question Ref:** Q_1070
    Question Type: Certification

Does the company have any contingent liabilities that could have a material effect on its solvency? Indicate "Yes" or "No". If your answer is "Yes", please explain in space provided.

74. **Question Ref:** Q_1071
   Question Type: Certification

Has the company, its affiliates or any member of its management or any other concern with which such members of management have been officers or directors, ever been involved in bankruptcy, creditor's rights, or receivership proceedings or sought protection from creditors or has any senior manager or principal of the company ever been charged with or convicted of any felony, or misdemeanor other than minor traffic offenses, or been a member of the management, an owner or majority stockholder of any firm or corporation convicted of any felony? Indicate "Yes" or "No". If your answer is "Yes", please provide an explanation.

75. **Question Ref:** Q_1072
   Question Type: Certification

Are there any outstanding judgments or liens pending against the company other than liens in the normal course of business? Indicate "Yes" or "No". If your answer is "Yes", please provided explanation in space provided.

76. **Optional Question Header:**

Funding Sources (Enter dollar amounts below)

Question Ref: Q_657
Question Type: Budget

Total Project Cost

77. **Question Ref:** Q_659
   Question Type: Budget

Amount provided directly by applicant toward project

78. **Question Ref:** Q_660
   Question Type: Budget

State sources committed to project

HELP SECTION

For each source, list: program name, type of assistance (loan, grant, interest rate subsidy, etc), and amount of assistance. For loans, list interest rate and term.

79. **Question Ref:** Q_662
    Question Type: Budget

    Federal sources committed to project

80. **Question Ref:** Q_664
    Question Type: Budget

    Local (municipal) sources committed to project, if different than applicant.

81. **Question Ref:** Q_665
    Question Type: Budget

    Private sources committed to project

    HELP SECTION

    For each source, list: program name, type of assistance (loan, grant, interest rate subsidy, bond financing, sales tax exemption on construction materials and/or non-manufacturing machinery or equipment, mortgage recording tax waiver, etc), and amount of assistance. For loan and bond financing, list interest rate and term.

82. **Question Ref:** Q_668
    Question Type: Budget

    Not-for-Profit/foundation funding committed to project

83. **Optional Question Header:**

    Budget Categories (Enter dollar amounts below)

    Question Ref: Q_681
    Question Type: Budget

    Salaries and Wages

    HELP SECTION

For each person assigned by the applicant, indicate the position, title, annual salary including fringe benefits, and dollar amount to be charged to the project. (Fringe benefits include social security, workers' compensation, unemployment insurance, health insurance, and any other benefits).

84. **Question Ref:** Q_679
    Question Type: Budget

    Marketing, Outreach, Advertising

85. **Question Ref:** Q_682
    Question Type: Budget

    Supplies/Materials

    HELP SECTION

    State the cost and describe briefly the supplies and materials to be purchased by the applicant. Note that the donation of supplies and materials should be listed in Other

86. **Question Ref:** Q_685
    Question Type: Budget

    Travel

    HELP SECTION

    State the purpose and the estimated cost of travel by the applicant

87. **Question Ref:** Q_686
    Question Type: Budget

    Contractual Services

    HELP SECTION

    State the cost and describe briefly the extent and purpose of contractual services to be procured directly by the applicant. Each activity should be listed separately, unless procured together under one subcontract.

88. **Question Ref:** Q_721
    Question Type: Budget

    Rent

    HELP SECTION

    State the terms and cost of rent to be incurred by the applicant.

89. **Question Ref:** Q_688
    Question Type: Budget

    Other

    HELP SECTION

    State the cost and describe briefly budget items that do not fit in the categories above
    For actual costs to be incurred list the type of cost, purpose and total cost.
    For Volunteer Services – provide a generalized description and the total value.
    For Donated Professional Services - indicate the service being provided and the total value.
    For Donated Supplies and Materials – indicate the supplies and materials being provided and the total value
    For Equipment Usage or Donated Equipment - indicate the purpose of its use and the total value.

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