



Consolidated Funding Application Canalway Grants

Program Guidelines

www.canals.ny.gov

<http://nyworks.ny.gov/>



**CONSOLIDATED FUNDING APPLICATION
CANALWAY GRANTS PROGRAM**

INFORMATION FOR APPLICANTS

Application Deadline: (October 31, 2011)

DESCRIPTION:

The "Canalway Grants Program" includes a total of \$1 million in competitive grants available to eligible municipalities and 501(c)(3) non-profit organizations along the New York State Canal System. The minimum grant request amount is \$50,000. The maximum grant request is \$150,000. Grant administration and pre-development costs shall not exceed 10% of the grant amount. Additional funding of up to \$517,000 is available for state agency canal related education and interpretive capital projects.

Projects are intended to meet the objectives of the Regional Economic Development Councils and the NYS Canal Recreationway Plan. Projects must preserve and rehabilitate canal infrastructure, enhance recreational opportunities for water-based and land-side users or promote tourism and revitalization of the canal corridor. The envisioned projects should expand public access, increase recreational use, provide improved services for motorized and non-motorized boaters, expand and promote tourism, private investment and economic development, offer a greater appreciation and understanding of canal and community history, and protect environmental and historic canal resources.

ELIGIBLE TYPES OF APPLICANTS:

List types of (to include minimum number of employees, staff criteria, if applicable):

- Municipalities
- State Agencies
- Public Authorities
- Not-for-profit Corporations

Not-for-profit corporations are subject to New York State's Not-For-Profit Corporation Law. In order to apply under this program, a not-for-profit corporation must have proof of incorporation (or equivalent document) from the NYS Department of State or NYS Board of Regents, a charities registration number from the NYS Office of the Attorney General, and proof of tax-exempt status under the IRS code.

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

Eligible canal capital projects include, but may not be limited to: constructing new buildings or structures, additions which enlarge, expand or extend existing buildings or structures; new systems in existing buildings or structures (HVAC, plumbing, electrical, mechanical); substantial renovations of existing buildings or structures, including reconfigurations (removal or construction of walls, ceilings and flooring, windows, window frames); site preparation and improvements associated with a project (excavation, demolition, roadways, sidewalks, exterior lighting, sprinkler systems, utility hook-ups); acquisition of furnishings, fixtures, machinery and equipment with a useful life in excess of five years; and/or hazardous waste clean-up associated with a project.

PRE-APPLICATION REQUIREMENTS:

Boundary Eligibility: Projects must be located along one of the four canals of the Canal System (Erie, Champlain, Oswego and Cayuga-Seneca), trail linkages or connections to existing Canalway Trail segments, or the historic canal alignment. See map and list of eligible communities at <http://www.canals.ny.gov/corporation/grant-muni.html>.

Beginning on September 2, 2011, eligible 501-c(3) not-for-profit organizations, municipalities, and agencies can apply for Canalway Grant funding through the CFA by visiting <http://nyworks.ny.gov>.

The applicant is responsible for obtaining all required permits and approvals from federal, state, and local agencies, such as the U.S. Army Corps of Engineers, NYS Department of Environmental Conservation and NYS State Office of Parks, Recreation and Historic Preservation, and any others that may be required by the NYS Thruway Authority/Canal Corporation.

Please note that the New York State Canal Corporation is subject to the State Smart Growth Public Infrastructure Act (Chapter 433 of the Laws of 2010) and must, to the extent possible, make funding decisions consistent with the provisions of the Act.

SUCCESSFUL APPLICANT REQUIREMENTS:

For projects proposed by a municipality, the municipality will be lead agency for purposes of the State Environmental Quality Review Act (SEQRA) or will be responsible for initiating lead agency designation procedures, if there are other involved agencies. For new projects initiated after receipt of the grant award letter, the Canal Corporation shall be an involved agency. The municipality shall meet the procedural and substantive requirements of SEQRA and any other state, federal or local law, rules, regulations, ordinances, codes and requirements. For non-profit organizations, the Canal Corporation will determine whether it will proceed as lead agency, initiate the lead agency designation procedures or refer lead agency to the local municipality. If the project is a Type I or Unlisted Action, the Environmental Assessment Form will be required prior to contract for award. If a Determination of Significance has been established, documentation will be required prior to contract for award. (See <http://www.dec.ny.gov/permits/357.html>)

Grant funds will be provided on a reimbursement basis ONLY. Receipts, invoices and other documentation must meet the requirements of the Canal Corporation and the Office of the State Comptroller. Reimbursement will only be provided for projects or portions of a project initiated after the date of the grant award letter from the Canal Corporation. Projects may be initiated prior to receipt of the award letter, but reimbursement will only be provided for portions of the project initiated after the date of the award letter.

The Canal Corporation reserves the right to reallocate funding based upon grant requests.

FUNDING PRIORITIES:

The following four (4) categories list the primary target areas of the grant program.

1. **Development & Tourism Promotion.** Projects may include the development of Canal public parks, park improvements, parking facilities at sites on or related to one of the four canals of the Canal System (Erie, Champlain, Oswego and Cayuga-Seneca), improvements to or restoration of historic canal vessels, structures or sites, canal tourism-related facilities or structures including but not limited to permanent, interpretive, informational kiosks, and permanent signs designed to promote sites or facilities related to one of the four canals of the NYS Canal System.
2. **Canalway Land Trail.** Projects may help to construct and/or enhance the Canalway Trail, or may be trail linkages or connections to existing Canalway Trail segments.
3. **Canal Community Infrastructure Projects.** Projects can be designed to restore, develop and expand the infrastructure along the Canal for the benefit of local communities. Priority projects will include improved amenities for cyclist and boaters including connectivity (WI-FI) amenities, repair or rehabilitation of existing dock infrastructure and other canal side capital improvements.

4. **State Agency Educational & Interpretive Projects.** An additional \$517,000 in funding is available for state agency canal related education and interpretive capital projects.

INELIGIBLE ACTIVITIES:

- Use of grant funds for land acquisition is prohibited (however the costs of acquisition may be used as a local match)
- Grant funds cannot be used to cover operating expenses

SELECTION CRITERIA: Each project will be rated with the following evaluation criteria. Each criteria is assigned 10 points for a total of 100 points. Criteria #1, Regional Council Endorsement will carry 20% weight and an independent weighting committee will assign weights for criteria 2 through 9. Final ranking of project applications will be based on a weighted scoring matrix consistent with the Strategic Plan Scoring Criteria for the Regional Economic Development Council Strategic Plans found on page 37 of the Regional Council Guidebook.

- Is the project endorsed by the corresponding Regional Economic Development Council? *
- Is the project consistent with the goals and objectives of the NYS Canal Recreationway Plan? Does it enhance or is it located on or near an existing harbor, service port or lock project or the Canalway Trail?
- Does the project demonstrate sensitivity to the environmental/cultural/ historic nature of the Canal System?
- Is the project budget clearly defined and reasonable, are cost saving strategies identified?
- Is the project consistent with regional or inter-municipal plans such as NYS Department of State "Local Waterfront Revitalization Program" (LWRP) Plans, Erie Canalway National Heritage Corridor Management Plan, or other regional and local plans?
- Are multiple funding sources and project stakeholders identified?
- Can the project help attract and serve new canal users including those outside the community?
- Does the proposal reflect a reasonable and achievable timeframe for completion?
- Is there a strategy identified to monitor project performance?
- Is there a strategy for the long-term operation and maintenance of the project?

*Carries 20% weight

AWARD CRITERIA DETAILS

A 50% match will be required on all grants and must be fully documented according to the requirements of the Canal Corporation and the Office of the State Comptroller. Canal Corporation assistance toward the costs of the project shall not exceed 50% of the approved project cost. The Canal Corporation shall not be responsible for any increases in the total project costs beyond the grant approval amount indicated in the award letter from the Canal Corporation. Qualifying match types include in-kind services, federal funding, other state funding, donated services or volunteer labor, force account (paid labor), supplies, materials and land acquisition (however, grant funds CANNOT be used for land acquisition.) Donated professional services will be valued at the prevailing hourly rate with overhead costs.

Maintenance and operation of facilities receiving grants will be the responsibility of the applicant. All successful applicants will be required to enter into a formal contract and agree to other legal documents with the Canal Corporation to ensure the long term protection of the property and also restrict changes in the use of the property. A preservation covenant or conservation easement must be conveyed for work involving historic resources.

The liability for projects constructed, owned and maintained by awardees on real property not under the jurisdiction of the Canal Corporation will remain with the grant awardees. Projects on Canal Corporation real property must be designed and constructed with Canal Corporation approval and in accordance with engineering and design standards of the Canal Corporation. Projects must provide for public safety and must not interfere with canal operations or navigation. Projects will be required to meet all applicable insurance requirements. Trail projects must be built according to current AASHTO guidelines for the development of bicycle facilities.

Projects on Canal Corporation real property may require the purchase, lease or permitting of the real property from the Canal Corporation, in accordance with all applicable laws and regulations and the Canal Corporation's "Canal Real Property Management Policy" and standard operating procedures.

Project plans must be reviewed and approved by the Canal Corporation before advertisement or contract letting.

All work undertaken as part of a grant-assisted project that involves properties listed or eligible for the State/National Historic Register must conform to the Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation. (See www.nysparks.state.ny.us/shpo)

All projects must comply with all applicable local, state and federal laws, rules, regulations, requirements, ordinances and codes.

ADDITIONAL RESOURCES: For additional information on these infrastructure investment opportunities, please contact Sharon Leighton at the New York State Canal Corporation at Sharon.Leighton@canals.ny.gov or (518) 436-3055.