

RFA #15-DOSTA-5

**New York State
Department of State/Thruway Authority
New NY Bridge Waterfront Revitalization Projects
2015 REQUEST FOR APPLICATIONS**

Key Dates:

- RFA Release Date:** October 22, 2015. This Request for Applications (RFA) has been emailed to representatives of the eligible participants.
- RFA Updates/Questions:** Any updates and/or modifications to this RFA will be posted at emailed to the designated representatives of the eligible participants.
- Written questions will be accepted until November 12, 2015. Questions on this grant program should be directed by e-mail or in writing to George Paschalis, as shown below. When corresponding by e-mail, clearly indicate the subject as: "15-DOSTA-5 RFA Questions". To the degree possible, each inquiry should cite the RFA section and paragraph to which it refers. All questions received and answers shall be emailed to the designated representatives of all eligible participants.
- Applications Due:** Applications are due by December 11, 2015, and must be submitted as noted below.
- Contact:** George Paschalis, Outreach Deputy Director
The New NY Bridge Project
George.Paschalis@NewNYBridge.com
914 524-5478
- Application Submission:** To apply, please complete the attached fillable PDF form and submit to George Paschalis via email by the due date (December 11, 2015)
- 1. Save the application to your computer*
 - 2. Complete the entire form*
 - 3. Save the application again when complete*
 - 4. Attach the application to an email addressed to George.Paschalis@NewNYBridge.com*

New NY Bridge Waterfront Revitalization Projects 2015 REQUEST FOR APPLICATIONS

I. INTRODUCTION:

The New York State Thruway Authority (“Authority”), in partnership with the New York State Department of State (“Department”), is making up to \$1,500,000 available to nine waterfront communities adjacent to the New NY Bridge in Westchester and Rockland Counties. Funding is available for the design and construction of revitalization projects with an emphasis on improving the recreational, cultural, environmental and economic value and quality of the waterfront.

This is a reimbursement program. State assistance awarded and paid shall not exceed 100% of the total eligible project costs set forth in the application and as approved by the Authority. Grant recipients are responsible for all operating and maintenance costs associated with these facilities.

Applicants are required to demonstrate that projects are ready to move forward quickly. Contracts will not exceed three years. Special consideration for extensions due to extreme extenuating circumstances will only be granted on a case-by-case basis. Applicants will be required to prepare and submit a project work schedule and timeline that includes major tasks and milestones with completion dates.

For general questions on this grant program, please contact:

George Paschalis, Outreach Deputy Director
The New NY Bridge Project
George.Paschalis@NewNYBridge.com
(914) 524-5478

II. ELIGIBLE APPLICANTS:

- Villages of Tarrytown, Sleepy Hollow, and Irvington in Westchester County.
- Villages of Upper Nyack, Nyack, South Nyack, Grand View on Hudson, Piermont and the Town of Orangetown in Rockland County.

Applicants may also partner with other organizations and each other; however, only applications from eligible applicants will be evaluated for funding. If successful, all applicable procurement requirements must be met for such partnerships. Applications submitted by not-for-profit organizations (including, but not limited to, community-based organizations, neighborhood groups) and for-profit organizations are ineligible and will not be scored.

Amendments cannot be made to the original contracted scope of work, for example, applicants that receive funding for project-specific planning, feasibility, design, and/or marketing projects may use this funding for these purposes only.

III. FUNDING OPPORTUNITY:

The Authority is making \$1,500,000 available to fund applications for Waterfront Revitalization Project grants.

IV. NEW YORK STATE SMART GROWTH PUBLIC INFRASTRUCTURE POLICY ACT

Awards made through this grant program shall be consistent with the State's Smart Growth Public Infrastructure Policy Act (Environmental Conservation Law, Article 6), where applicable.

V. ELIGIBLE ACTIVITIES:

Applicants may apply for funding for site-specific community and waterfront redevelopment projects to design and construct:

- new public parks, open spaces and improvements to existing facilities
- "complete streets", including streetscape and gateway improvements, pedestrian walkways, sidewalks, and trails; crosswalks and other pedestrian safety enhancements
- land and water based trails, launch sites, and directly related infrastructure and improvements
- storm water management improvements
- green infrastructure projects

Funding is available for the design and construction of revitalization projects with an emphasis on improving the recreational, cultural, environmental and economic value and quality of the waterfront. This is a reimbursement program. State assistance awarded and paid shall not exceed 100% of the total eligible project costs set forth in the application and as approved by the Authority. Applicants are required to demonstrate that projects are ready to move forward quickly. Contracts will not exceed three years in duration.

VI. FUNDING RESTRICTIONS

Construction

Construction must be on public property, or where a permanent public interest such as conservation easement has been established.

Eligible Costs

Costs must be adequately justified and directly support the project. Proposed total project costs must be essential to project completion.

Grant funds may be used for the following costs:

Direct salary costs - including wages, salaries, fringe benefits, and supplemental compensation paid to employees of the municipality for personal services.

Direct non-salary costs - including consultant and contractual services, costs for printing, travel, equipment, materials, supplies, and other goods and services, essential to project completion and dedicated 100% to the project.

Grant Administration – including wages, salaries, and fringe benefits to employees for preparation of reports, vouchers and contract related administration not to exceed 15% of the award.

Ineligible Costs

The following costs not be reimbursed with grant funds:

Indirect or overhead costs of the municipality, such as rent, telephone service, and general administrative support, computers, office equipment, general office supplies, general operations costs, membership fees, subscription costs.

Salaries and other expenses of elected officials, whether incurred for purposes of project direction, execution, or legislation.

Fund raising events/expenses

Land acquisition

Taxes, insurance, fines, deficit funding

Bond interest and associated fees. The interest associated with a Bond or Bond Anticipation Note (BAN) cannot be calculated into project cost.

Contingency costs

Lobbying expenses

Cost incurred prior to the contract start date

Costs that are not adequately justified or that do not directly support the project

These costs will be eliminated from the total project costs in the grant application.

Sub-contracts

Sub-contracts should be competitively procured based on the applicable provisions of New York State General Municipal Law. Bids should be inclusive of all costs related to the project, or portion thereof. Bids can be structured as deliverable based or line item (reimbursement) costs. Bid formats cannot be a mixed format.

VII. AWARD METHOD

A total score of 100 points is possible for any application.

The Authority will fund the highest scoring applications until the allocated funds are exhausted. Up to \$1,500,000 is anticipated for awards for this procurement. **Minimum grant funding will be \$5,000 per project, and maximum grant funding will be \$300,000 per project with a maximum per eligible community of \$300,000 for the total of all projects submitted. There are no match requirements.**

The Authority may make an award under the RFA in whole or in part, and may offer partial funding if a particular phase of a project is not ready to move forward. The Authority may award no funding to an applicant if its application cannot be fully funded within the funds remaining, in which case funding may be awarded to the next highest-scoring unfunded application. In the event that an awardee fails to satisfactorily negotiate a proper contract within a reasonable amount of time, that funding may be awarded to the next highest-scoring unfunded application.

VIII. APPLICATION EVALUATION CRITERIA

Applications will be reviewed according to the specific criteria presented below.

Minimum Criteria

Eligible applicants are the nine waterfront communities identified under Section II above. Failure to meet this criterion will result in immediate disqualification of the application, which will not be further evaluated.

Program Criteria

Applications will be evaluated to assess the degree to which they meet the elements of each criterion.

The criteria (with **total available points**) and elements are:

1. Regional Economic Development Council – Priority Project (maximum of 10 points)

How does the proposed project align with the goals and strategies of the Mid-Hudson Regional Economic Development Council's Strategic Plan? (located at <http://www.nyscfaprojectdata.ny.gov/>).

2. Vision (maximum of 4 points)

Describes a project that will advance and/or implement a vision creating significant opportunities for addressing resolution of problems in the context of a regional or local vision for capitalizing on community assets

3. Process (maximum of 10 points)

Public Engagement (*maximum of 5 points*)

- Demonstrates an effective approach and process that will be followed to ensure ongoing public participation and engagement during project development, including the involvement of partnering municipalities and the general public

- Demonstrates that the public and stakeholders who would be affected by, or who can advance the project, will be engaged in project planning and implementation

Local Commitment and Previous Performance (*maximum of 5 points*)

- Demonstrates a committed local leadership and provides an ongoing educational component for local officials and/or community residents
- Demonstrates strong support for addressing regional land use, community development, and resource and/or environmental opportunities
- Demonstrated high quality performance under previous contracts with the Department and completed work within three years

4. Strategies (*maximum of 32 points*)

Regional Significance (*maximum of 8 points*)

- The project described improves or protects natural, cultural or economic resources of regional significance
- Ensures an appropriate balance between development, open space and natural resource protection within the regional context
- Advances efforts to resolve shared issues through creative intermunicipal partnerships
- Redevelops and/or revitalizes a regional center
- Provides facility of greater than local importance
- Advances the completion or implementation of a plan or strategy that addresses critical issues and opportunities of regional significance

Local Significance (*maximum of 4 points*)

- Creates or implements a plan for community resiliency
- Protects, preserves, enhances or restores archeological, historic and/or cultural resources
- Implements public amenity that is an identified priority for a community
- Addresses environmental justice issues
- Advances the completion or implementation of a plan or strategy that addresses critical issues and opportunities of local significance

Public Value (*maximum of 4 points*)

- Promotes or implements strategies that include integration of all income, ethnic and age groups
- Ensures predictability in land use regulations and procedures
- Incorporates and advances pedestrian, bicycle and paddling trails that connect people to parks, nature and public spaces; community landscaping using native species; and accessible neighborhood parks
- Advances the completion of a plan or strategy that enhances the quality and availability of public resources within a community or region

Community Livability (*maximum of 4 points*)

- Improves or expands visual/physical access to public resources, provides new/enhanced public spaces, or enhances community character/visual environment
- Improves or expands water-dependent recreation opportunities

Sustainability (*maximum of 4 points*)

- Ensures that governmental decision-making is based on sound science and considers cumulative effects, including sea-level rise
- Promotes a mix of land uses and concentrates new development in urban centers where infrastructure and public services are adequate
- Incorporates and advances green infrastructure through preservation and restoration of natural landscapes, or green infrastructure policies that reduce watershed imperviousness and preserve groundwater infiltration
- Provides a framework that encourages development or redevelopment of communities in sustainable locations

Economic Value (*maximum of 4 points*)

- Generates economic activity, creates immediate and future jobs, offers realistic economic development potential, or contributes to restoration of municipalities' tax bases
- Advances the completion of a plan or strategy that enhances economic vitality in a community or region
- Provides for downtown/hamlet revitalization
- Supports water-dependent commercial and industrial uses, tourism development or agriculture

Natural Resource Value (*maximum of 4 points*)

- Promotes conservation and protection of ecosystem integrity
- Protects, enhances or restores designated significant coastal fish and wildlife habitat, or natural protective features (wetland, floodplain, active river area, beach, dune)
- Protects, enhances or restores a scenic area of statewide significance
- Protects agricultural land as a resource that provides for farmland uses and open space
- Implements New York State's Coastal Nonpoint Pollution Control Program, or otherwise protects groundwater or surface water quality and hydrology
- Advances the completion of a plan or strategy that protects, restores, or enhances natural resources

5. Implementation (*maximum of 12 points*)**Scope of Work (*maximum of 4 points*)**

- Proposal clearly defines what is to be done, where and how it will be done, who will do it, and when it will be completed
- Project deliverables are clearly defined and consistent with program objectives
- Is an integral part of a set of actions that comprehensively addresses an issue or opportunity
- Application clearly represents/articulates a single phase or distinguishes between phases where applicable

Time Frame (*maximum of 4 points*)

- Project will be completed within a maximum of three years. Application demonstrates sufficient experience and ability of key project personnel to successfully complete the project within the time allowed
- Project presents a clear and realistic schedule and time line that includes major tasks, milestones and completion dates. Application demonstrates that the project is ready to move forward quickly

Project Readiness (*maximum of 4 points*)

- Demonstrates that an effective organizational structure, (including intermunicipal where applicable) exists to advance and complete the proposed project.
- Demonstrates work needed to advance the proposed project phase has been completed (for example, a team has been organized to begin project planning, or designs have been prepared, permits and/or other approvals obtained to facilitate construction)

6. Leveraging (*maximum of 12 points*)**Resources (*maximum of 4 points*)**

- Complements related activities and projects and leverages funding under any New York State grant programs, federal grant programs, or other sources of public, not-for-profit and private funds, including any local share to be applied to the proposed project
- Makes efficient use of/protects public investment in resources and infrastructure
- Necessary to enable community and/or region to build public/private partnerships or leverage financial resources to make better use of private funds

Advancing Plans (*maximum of 4 points*)

- Advances an approved or substantially completed local plan, such as a Comprehensive Plan, Local Waterfront Revitalization Program, Brownfield Opportunity Area Plan or other revitalization strategy

Development of Partnerships (*maximum of 4 points*)

- Demonstrates a record of developing public/private partnerships
- Creates or advances regional, intermunicipal, intergovernmental, public, private, or not-for-profit partnerships to address development issues
- Creates or advances regional, intermunicipal and intergovernmental partnerships in order to increase efficient, planned, and cost-effective delivery of government services

7. Evaluation of Budget and Cost (*maximum of 20 points*)

Applications will also be evaluated to assess the degree to which they meet the elements of each criterion below.

- Application describes and documents how the budget and cost were determined. Identifies the person(s) responsible for compiling the budget including relevant experience and background of all parties and the method/approach used to arrive at estimates. (*maximum of 5 points*)
- Costs meet eligibility requirements of the program. (*maximum of 5 points*)
- Costs clearly relate to and support activities in the proposed work plan. Budget narrative demonstrates logical justification for all expenses proposed. (*maximum of 5 points*)
- Budget includes adequate detail for all project components involved, is cost-effective, presents necessary and realistic costs, and does not contain extraneous or ineligible expenses. Budget is accurate and thorough. Budget narrative includes an explanation for the estimate of each budget line and clearly supports the applicant's need for financial resources requested to achieve project outcome. Budget narrative describe show the grant recipient will monitor expenditures during the life of the project to ensure that the project stays on schedule and within budget. (*maximum of 5 points*)

IX. CONTRACT REQUIREMENTS

New York State Thruway Authority Funding Agreement

Successful grant applicants will be required to enter into a funding agreement with the NYS Thruway Authority, a copy of which is attached hereto as Attachment B.

X. SATISFACTORY PROGRESS

It is imperative that the grant recipient complete the project as set forth in the agreed upon work program and individual monitoring plan. Failure to render proof of satisfactory progress or to complete the project to the satisfaction of the Authority may be deemed an abandonment of the project and may cause the suspension or termination of any obligation of the Authority. Satisfactory progress toward implementation includes, but is not limited to, executing contracts and submitting status reports and payment requests in a timely fashion, retaining consultants, written certification of compliance with procurement requirements, completing plans, designs, permit applications, reports, or other tasks identified in the work program within the time allocated for their completion. The Authority may recapture awarded funds if satisfactory progress is not being made on the implementation of a grant project. Applicants should not submit applications if they do not expect to initiate the project within a reasonable time period after receiving an executed contract and will not be able to complete the project within the time period cited in the application.

XI. OTHER GRANT REQUIREMENTS FOR CONSTRUCTION PROJECTS

Grant funded work must be done on public property or where there is a permanent public interest established, such as a conservation easement, and the predominant purpose is to provide a public benefit. Property where improvements are made must remain available to the public and provide direct public benefit for the intended useful life of the project. Property sold or transferred prior to the useful life may require that grant funds are returned to the Authority.

Projects intended to be open to the public must be open to the general public and not limited to residents of the municipality receiving a grant. Signage to this effect must be provided at these sites.

It is required that project design and construction be undertaken under the supervision of an architect and/or engineer licensed to practice in the State of New York. In addition, proper certification from a licensed architect or engineer, as appropriate to the task, will be required for the preparation of designs and specifications and for the submission of as-built plans upon completion of the project.

In addition to responsibility for compliance with local regulations, the grant recipient is responsible for complying with applicable State and Federal regulations, including, but not limited to:

- State Environmental Quality Review Act
- State Freshwater and Tidal Wetlands Acts
- US Army Corps of Engineer permits
- Coastal Erosion Hazards Areas Act
- Floodplain Management criteria
- State and Federal laws and regulations for Historic Preservation
- Coastal Zone Management Act (federal)

XII. GENERAL SPECIFICATIONS

1. By signing the “Application Form” each applicant attests to its express authority to sign on behalf of the applicant and to the accuracy of the information contained therein. Applications containing false or inaccurate information may be disqualified upon verification of information.
2. Contractors will possess, at no cost to the Authority, all qualifications, licenses and permits to engage in the required business as may be required within the jurisdiction where the work specified is to be performed. Workers to be employed in the performance of this contract will possess the qualifications, training, licenses and permits as may be required within such jurisdiction.
3. Submission of any application indicates the applicant’s acceptance of all conditions and terms contained in this RFA and the model agreement attached hereto as Attachment B.
4. Provisions upon default:
 - a. The services to be performed by the applicant shall be at all times subject to the direction and control of the Authority as to all matters arising in connection with or relating to the contract resulting from this RFA
 - b. In the event that the applicant, through any cause, fails to perform any of the terms, covenants or promises of any contract resulting from this RFA, the Authority shall thereupon have the right to terminate the contract by giving notice of the fact and date of such termination to the applicant
 - c. If, in the judgment of the Authority, after consultation with the Department, the applicant acts in such a way which is likely to or does impair or prejudice the interests of the Authority or the Department, the Authority shall thereupon have the right to terminate any contract resulting from this RFA by giving notice of the fact and date of such termination to the contractor. In such case, the contractor shall receive equitable compensation for such services as shall, in the judgment of the Authority, after consultation with the Department, have been satisfactorily performed by the contractor up to the date of the termination of the contract, which such compensation shall not exceed the total cost incurred for the work in which the contractor was engaged at the time of such termination, subject to audit by the State Comptroller.
5. The Authority reserves the right including but not limited to:
 - a. Reject any or all applications received in response to this RFA
 - b. Withdraw the RFA at any time, at the Authority’s discretion
 - c. Make an award under the RFA in whole or in part
 - d. Disqualify any applicant whose conduct and/or application fails to conform to the requirements of the RFA
 - e. Seek clarifications and revisions of applications
 - f. Use proposal information obtained through site visits, management interviews and the Department's and/or Authority’s investigations of an applicant's qualifications, experience, ability or financial standing, and any material or information submitted by the applicant in response to the Department’s or Authority’s requests for clarifying information in the course of evaluation and/or selection under the RFA
 - g. Prior to the application due date, amend the RFA specifications to correct errors or oversights, or to supply additional information, as it becomes available

- h. Prior to the application due date, direct applicants to submit proposal modifications addressing subsequent RFA amendments
- i. Change any of the scheduled dates
- j. Eliminate any mandatory, non-material specifications that cannot be complied with by all of the prospective bidders
- k. Waive any requirements that are not material
- l. Negotiate with applicants responding to this RFA within the scope of the RFA to serve the best interests of the Authority.
- m. If unsuccessful in negotiating a state contract with the selected applicant within an acceptable time frame, the Authority may begin contract negotiations with the next ranked qualified applicant(s) in order to serve and realize the best interests of the Authority.
- n. Utilize any and all ideas submitted in the proposals received
- o. Require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an applicant's proposal and/or to determine an applicant's compliance with the requirements of the solicitation
- p. Waive or modify minor irregularities in applications received
- q. Not to fund an application that fails to submit a clear and concise work plan or budget