

# Field Guide of Financial Support for Sustainable Capital Projects

New York Upstate  
Chapter Edition



New York  
Upstate Chapter



Prepared by The Green Building Group of Maxwell 2007 MPA Students



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An Environmental Finance Center Publication

This *Field Guide of Financial Support for Sustainable Capital Projects: New York Upstate Chapter Edition* was compiled as part of a capstone workshop project by M.P.A. candidates at the Maxwell School of Citizenship and Public Affairs at Syracuse University in May-June 2007. The objective of the Green Capital Projects for Municipalities capstone project was to identify barriers—real or perceived—that prevent local governments from initiating sustainable capital projects, specifically LEED certified projects. Based on this information, the group cataloged resources and generated strategic recommendations that enable communities to overcome these obstacles. This publication is specifically focused on financial assistance opportunities and funding resources available to municipalities within the U.S. Green Building Council, New York Upstate Chapter region.

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Green Capital Projects for Municipalities Capstone Workshop is sponsored by the U.S. Green Building Council, New York Upstate Chapter, and Environmental Finance Center, U.S. Environmental Protection Agency Region 2.

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## Preface

### WHY A “FIELD GUIDE”?

This publication was created to provide a navigation tool for municipalities and local governments in New York State who are looking for capital project funding, specifically with the U.S. Green Building Council’s (USGBC) Leadership in Energy and Environmental Design (LEED) program. Local governments seeking to construct and update buildings to become more sustainable and environmentally sound are faced with the challenge of finding assistance programs to meet the developing market of green building. The building and design world is in the midst of a green revolution, but the culture and markets are still in transition, with resources scattered and harder to find. Through our research and assistance from the USGBC’s New York Upstate Chapter and the EPA Region 2 Environmental Finance Center, we generated a list of financial and technical assistance resources that local governments can use to help implement and finance LEED green building projects.

This guide is limited to assistance programs that tailor to local governments and municipalities as the primary applicant and recipient of funds. We recognize that public-private partnerships, the teaming of governments with private or nongovernmental organizations, are transforming the way that projects may be funded.

However, we also recognize such partnerships are not uniformly available, and with this in mind, we have focused on assistance programs that do not require the presence of these partnerships for eligibility. In addition we have added a list of organizations that can provide further resources about green building projects and initiatives in New York State and nationally.

We hope this guide will become a useful starting point for local governments and municipalities on their way to successfully completing sustainable building projects and achieving LEED certification. Thank you for contributing to the growing efforts in New York State to transform our built environment and create a more sustainable future!

## How to Use This Guide

### GENERAL ORGANIZATION

**Identification:** The funding resources listed within this guide are categorized by the U.S. Green Building Council's (USGBC) six principles that make up the Leadership in Energy and Environmental Design (LEED) system: energy efficiency, indoor environmental quality, sustainable sites, materials and resources, water conservation, and innovation in design. A seventh category has been added for general purpose funds that may be applied to three or more of the six principles. Each funding resource is identified by the name of the funding program, the source agency or organization, and the source agency's contact information, if available. Some federal funds may be listed with their corresponding Catalog of Federal Domestic Assistance identification number for easy recognition. (See "Further Resources.")

**Description:** This section outlines the general purpose and application of each funding resource. A brief description is provided to outline the mission of the funding program and/or the organization's or agency's grant objectives.

**What It Funds:** A description of the kinds of activities, project requirements, types of funding (e.g. equipment, building/renovation) or project type (e.g. schools, sustainability) is listed in this section.

**Recipient Eligibility:** Although this guide was created as a resource for New York State local governments, eligibility may still be limited by such factors as geographic limitations, type/level of government, area demographics, economic factors, or other restrictions.

**Application Process:** This section provides a brief description of the application process in terms of procedure, deadlines, processing time frame, and possible reporting requirements. Elements of the application process may change over time. Individuals interested in applying for funding sources listed within this guide should check with the funding agency to obtain up-to-date application procedures.

**Other:** Any additional information not categorized above will be listed in this section.

### "SEE ALSO"

This section provides a link to find related resources in other sections of the guide. The final page of each funding category section contains a cross-referencing of resources with multiple applicable categories. Each funding source is listed in a specific category, but may have other categories that apply, indicated by additional color-coded symbols at the top of each entry. Resources with three or more applicable categories are listed in the "General" category.

## Reference Symbols

The top of each entry in the guide features a set of symbols for easy reference. The symbols represent the principle(s) applicable to the funding resource, the amount of financial assistance offered by the funding source (range and/or average), the type of assistance offered (grant, matching grant, or loan), and a rating of the time commitment involved in the funding acquisition process.

### LEED PRINCIPLES

The six LEED principles, plus a seventh category for general purpose funds, are represented by color-coded symbols. Each entry may have more than one symbol applicable to these categories.

- En** Energy Efficiency
- In** Indoor Environmental Quality
- Ma** Materials and Resources
- Su** Sustainable Sites
- Wa** Water Conservation
- De** Innovation in Design
- Ge** General

### TYPE OF ASSISTANCE

**G** = Grant      **MG** = Matching Grant      **L** = Loan/Loan Subsidy

### COMMITMENT RATING



Commitment ratings are reported on a scale of 1-5 clocks: one clock indicating the lowest time commitment, five clocks indicating the highest. The commitment scale is based on the following information: number of steps, length of application, rigor of writing required (e.g. fill-in-the-blank, program summary, technical documents by building professionals), online vs. paper form, supporting documents requirements (e.g. financial reporting), and follow-up (e.g. number of reports, monitoring). The scale is based on a comparison of the required procurement efforts for each resource listed.

## Helpful Hints for Obtaining Financial Assistance

- A project's financial development (and the municipality's credibility) is dependent on the quality and quantity of partnerships, especially alliances within the public sector, such as the State Energy Office.
- It may be strategically wise to create public-private partnerships to access a greater number of grants that are specifically designed to provide money to nonprofit organizations, not government entities.
- In order to maximize a project's fundability and visibility, consider incorporating some aspect of photovoltaic energy generation in the project. Current trends indicate that funding providers are increasingly interested in supporting this high profile source of clean, renewable energy.
- As the field of sustainable development grows, there are also many funding opportunities available for green building projects that demonstrate new technologies, such as wind and solar energy and nontoxic, sustainable materials.
- Be holistic. Consider coordinating the capital project with other sustainable measures, such as wetlands preservation or public transportation expansion projects.

### ABOUT PRIVATE LENDING OPTIONS

**LEASE/LOAN APPLICATION PROCESS:** The municipality will hire a financial advisor to contact the lending institution with a project proposal. The local government must provide current financial statements, a project description, and its bond rating to lending institutions. The lender sends the municipal financial advisor a proposal for how to structure the deal and what interest rate it can offer, along with its fee structure, terms, and conditions. The advisor reviews all lenders' proposals and makes a recommendation to the governance body with contract authority to accept a proposal. (Based on information provided by a commercial loans advisor from All Points Capital Corporation).

**TAX-EXEMPT MUNICIPAL FINANCING:** This type of agreement, also called a "lease purchasing agreement," allows municipalities to purchase essential equipment and facilities while conserving their working capital. The tax-exempt municipal lease is the market alternative to a cash purchase or tax-exempt municipal bond issue. Over the term of the agreement, the municipality builds equity interest in the assets and retains free and clear ownership when the lease expires. Structured to meet all the requirements of federal, state, and local finance laws, the tax-exempt municipal lease agreement enables lessees to obtain the capital they need to address growth, emergencies, unexpected expenses, or project cost overruns. Low, tax-exempt interest rates are fixed for the term of the lease, which ensures significant savings over bonds and eliminates the complexity of obtaining voter approval for a bond issue. (Based on information provided by a leasing manager at Alliance Leasing Inc.).





## Financial Assistance Opportunities





GRANT RANGE: **\$25,000-\$75,000**

**Name of Funding Source:** Demonstration of Energy-Efficient Developments (DEED)  
**Source Organization/Agency:** American Public Power Association

**Contact Information:** *www.appanet.org*  
click "Research & Development (DEED)"  
and then "Scholarships & Grants"  
*DEED@APPAnet.org* or 202-467-2960

**DESCRIPTION:** The DEED program was established in 1980 by the American Public Power Association. The purpose of this research, development, and demonstration program is to sponsor and conduct activities related to energy innovation, improving efficiencies, and lowering the cost of providing energy services to the customers of publicly owned electric utilities. The program sponsors grants intended for demonstration or early commercialization projects at DEED member utilities. Public utilities can gain membership in DEED and apply for funding through DEED grants. Members are encouraged to apply for grants to help finance innovation projects.

**WHAT IT FUNDS:** Grants can be used to improve utilities by increasing efficiency, reducing costs, investigating new technologies, offering new service, and improving processes and practices to better serve customers. The grants are intended to support pilot, demonstration, or early commercialization projects and development of best practices. Any issue encountered by members (such as reliability, safety, security, energy efficiency, telecommunications, and the environment) is appropriate for a grant.

**RECIPIENT ELIGIBILITY:** Only members of APPA's DEED program are eligible to apply. Any other organizations involved in the project would serve as the subcontractor to the host utility, which would have responsibility for oversight. Applications must be sent from a DEED member utility or organization and must be dated and signed on the last page by an authorized individual at that utility.

### **Application**

**PROCEDURE:** Applications are available on its web site in two formats: MS Word and PDF. The application is relatively minimal. Applicants answer 12 questions, including information on project description and budget. The length of the application should be no longer than seven pages including a cover sheet, single-spaced, with one-inch margins. Two copies of the application must be mailed. The site also includes resources for filling out the application and lists of past successful projects.

**DEADLINES AND PROCESSING:** There are two deadlines: February 15 and August 15. These dates coincide with the spring and fall meetings of the DEED Board.

**REPORTING REQUIREMENTS:** None are listed in the application materials.



**GRANT AMOUNT: up to \$1.5 million**

**Name of Funding Source:** New York Energy \$mart<sup>SM</sup> Loan Fund  
**Source Organization/Agency:** New York State Energy Research and Development Authority (NYSERDA)

**Contact Information:** 17 Columbia Circle  
Albany NY 12203-6399  
1-866-NYSERDA or 518-862-1090  
[www.nyserdera.org/loanfund](http://www.nyserdera.org/loanfund)  
[loanfund@nyserdera.org](mailto:loanfund@nyserdera.org)

**DESCRIPTION:** The New York Energy \$mart<sup>SM</sup> Loan Fund program is a subsidy for an interest rate reduction off a participating lender’s normal loan interest rate for up to 10 years on loans for certain energy efficiency improvements and/or renewable technologies. Typical rate reduction is up to 4 percent but facilities, including government buildings, may be eligible for up to 6.5 percent.

**WHAT IT FUNDS:** Participants can qualify for reduced interest rates on loans for energy efficiency improvements and renewable technologies, including energy efficient appliances, heating and air conditioning systems, lighting, windows, hot water heaters, insulation, duct sealing, weather stripping, and solar and wind systems. New commercial buildings, which have been evaluated through the New York Energy \$mart<sup>SM</sup> New Construction Program or qualify for Smart Equipment Choices incentives, may also qualify for the loan fund. The maximum loan amount that may be subsidized is \$1 million plus an additional maximum of \$500,000 for Green Building Improvements.

**RECIPIENT ELIGIBILITY:** Eligibility is limited to improvements made to a facility which

- pays the System Benefits Charge (SBC) to Central Hudson Gas & Electric Corp., National Grid, New York State Electric & Gas Corporation, Orange and Rockland Utilities Inc., or Rochester Gas and Electric Corporation;
- pays the SBC and/or the Monthly Adjustment Clause to Consolidated Edison Company of New York Inc.; and/or
- pays the Monthly Rate Adjustment applicable to Con Edison Firm Gas Commercial customers under rate classifications SC 1, SC 2, SC 3, SC 13, or SC 9 firm transportation customers.

The borrower must also receive approval for financing from program participating lenders. A list can be found on the NYSERDA web site.

**Application**

**PROCEDURE:** Applicants must submit a project approval under the categories of Custom Improvements or Pre-Qualified Measures. Separate applications are available for both. A letter of commitment is also required from the participating lender. The application must be submitted before starting a project.

**DEADLINES AND PROCESSING:** Deadlines are posted on the NYSERDA web site and may be subject to change.

**OTHER/NOTES:** The application is 30 pages with mostly fill-in-the-blank responses. A loan from a participating lender must be secured before applying. This may not be a continuous program.



GRANT AMOUNT: **more than \$25,000**

**Name of Funding Source:** Environment Climate Change Programme: North America  
**Source Organization/Agency:** Oak Foundation

**Contact Information:** 511 Congress Street, Suite 800  
Portland ME 04101  
[www.oakfnd.org](http://www.oakfnd.org)  
[naep@oakfnd.org](mailto:naep@oakfnd.org)

**DESCRIPTION:** The Oak Foundation addresses global climate change by advocating for renewable energy and energy efficiency in the power and transport sectors through education, research, and policy change in Europe, Canada, and the Northeastern United States. It seeks to support leadership projects that include the following criteria: target root causes, demonstrate solutions that can be adopted by permanent providers and/or by government, mobilize financial commitment from a range of different sources, promote collaboration among organizations and funding providers, involve the target population in the planning and implementation of the project, and demonstrate good financial and organizational management.

**WHAT IT FUNDS:** The foundation will consider requests for funding of special projects, core costs, capital needs, technical assistance, or collaborative activities. Multi-year projects are subject to regular progress reviews.

**RECIPIENT ELIGIBILITY:** Grants will not be awarded to religious organizations for religious purposes to support candidates for office, for general fund-raising drives or events, or in amounts under \$25,000 (except in special circumstances).

### **Application**

**PROCEDURE:** Interested applicants should submit a two- to three-page letter of inquiry with a brief description of the project and the organization seeking funding. The foundation will respond within two months on whether or not the organization should submit a complete project proposal. If selected, specific directions will be provided for the project proposal.

**DEADLINES AND PROCESSING:** There are no formal deadlines.

**OTHER:** The foundation may also seek to stimulate initiatives in its areas of interest by convening policymakers and practitioners to explore solutions to critical issues.

*\*\* For other energy efficiency funding opportunities, see also: Strategic Environmental Project Pipeline (StEPP) Foundation.*



**GRANT AMOUNT: up to \$1 million**

**Name of Funding Source:** Healthy Homes Demonstration Grants, CFDA No. 14.901  
**Source Organization/Agency:** U.S. Department of Housing and Urban Development,  
Office of Healthy Homes and Lead Hazard Control

**Contact Information:** 451 Seventh Street, SW, Room P-3206  
Washington DC 20140  
336-547-4002 (x2067)  
[www.hud.gov/offices/lead/](http://www.hud.gov/offices/lead/)

**DESCRIPTION:** The purpose of this program is to develop, demonstrate, and promote cost-effective, preventive measures to correct multiple safety and health hazards in the home environment that produce serious diseases and injuries in children of low-income families. Through the Healthy Homes Demonstration program, HUD will initiate projects to promote implementation of risk reduction techniques for the control of key hazards. Four to six grants will be awarded.

**WHAT IT FUNDS:** This program focuses on demonstration projects that implement housing assessment, maintenance, renovation, and construction techniques to identify and correct housing-related illness and injury risk factors. Funded projects may also include outreach and education activities.

**RECIPIENT ELIGIBILITY:** Nonprofit institutions and for-profit firms located in the United States, state and local governments, federally-recognized Native American tribes, and colleges and universities are eligible. For-profit firms are not allowed to profit from the project.

### **Application**

**PROCEDURE:** The competitive Notification of Funding Availability (NOFA) for each fiscal year provides information about the application procedure. All grants must be submitted electronically through [grants.gov](http://grants.gov), unless a waiver from electronic submission is received. Copies of the NOFA and required forms can be obtained at [grants.gov](http://grants.gov).

**DEADLINES AND PROCESSING:** The date is specified in the NOFA.

**REPORTING REQUIREMENTS:** Quarterly financial management and performance reports and benchmark standards are required, along with audits, in accordance with OMB Circular No. A-133.

**OTHER:** Healthy Homes grants are awarded for a period of performance up to 36 months from the effective date of the award. HUD reserves the right to approve no-cost time extensions. Payment is on a cost-reimbursable basis. For questions related to the application process, e-mail [support@grants.gov](mailto:support@grants.gov), or call 800-518-GRANTS or via TTY through the toll-free Federal Information Relay Service at 1-800-877-8339.

**\*\* For other indoor environmental quality funding opportunities, see also: U.S. Environmental Protection Agency, Office of Prevention, Pesticides, and Toxic Substances, Source Reduction Assistance (SRA) Grants Program, CFDA No. 66.717.**



## GRANT AMOUNT: **90 percent of costs**

**Name of Funding Source:** Brownfield Opportunity Areas (BOA) Program  
**Source Organization/Agency:** New York State Division of Coastal Resources

**Contact Information:** Regional offices can be found on the department's homepage.  
[www.nyswaterfronts.com](http://www.nyswaterfronts.com)

**DESCRIPTION:** The BOA Program provides municipalities and community-based organizations with assistance to complete revitalization plans and implementation strategies for areas affected by brownfield sites. The BOA Program enables communities to put strategies in place to return dormant sites and areas back to productive use and simultaneously restore environmental quality. The program's purpose is to establish a community-based revitalization plan and implementation strategy to achieve brownfield redevelopment in a proactive and systematic way. The program's aim is to address problems caused by the presence of multiple brownfield sites rather than deal with a singular brownfield site in isolation. Funding is available to cover 90 percent of the costs to complete pre-nomination studies, nomination studies, and implementation strategies, including site assessments. The local cost share is 10 percent.

**WHAT IT FUNDS:** This program may be applied to the following types of programs: residential, commercial, industrial/manufacturing areas or corridors, waterfronts, or downtowns. The BOA Program will enable local governments and community-based organizations to do the following:

- address a range of problems posed by multiple brownfield sites,
- build consensus on the future uses of strategic or priority brownfield sites, and
- establish the multi-agency and private-sector partnerships necessary to leverage assistance and investments to revitalize neighborhoods and communities.

Funding preferences may have one or more of the following characteristics:

- established partnerships or expressed support between municipalities and community-based organizations to pursue an area-wide plan,
- areas with concentrations of brownfield sites,
- areas with indicators of economic distress, including low incomes, high unemployment, high commercial vacancy rates, and depressed property values, or
- areas with brownfield sites presenting strategic opportunities to stimulate economic development, encourage community revitalization, or locate new public amenities.

**RECIPIENT ELIGIBILITY:** Those eligible are Native American nations or tribes and New York State municipalities that are defined as villages, towns, cities, counties, local public authorities or public benefit corporations, school districts, and special improvement districts.

**Application**

**PROCEDURE:** The application procedure is broken down into three steps: pre-nomination study; nomination; implementation strategy and/or site assessments.

The pre-nomination study is intended for communities that are uncertain about existing conditions and have minimal or no information about brownfields that are impacting their community. The pre-nomination study provides a preliminary description and analysis of the proposed BOA. The pre-nomination study will be reviewed by the New York State Department of State and New York State Department of Environmental Conservation to determine if a community should proceed with a nomination and implementation strategy to designate a BOA.

The nomination stage is intended for communities that have enough information to generate a pre-nomination study on their own, but need assistance to prepare a nomination that describes existing conditions, issues, and opportunities. The nomination provides an in-depth description and analysis, including an economic and market trends analysis of existing conditions, opportunities, and reuse potential for properties located in the proposed BOA. The emphasis is on the identification and reuse potential of strategic sites that are catalysts for revitalization.

The implementation strategy step provides a description of the techniques and actions to implement the area-wide plan and describes how the requirements of the New York State Environmental Quality Review Act have been met. Site assessments are completed for strategic brownfield sites that are identified in the nomination stage, concurrent with progress on the implementation strategy. Key findings from the site assessment reports are factored into the implementation strategy. Remedial investigations are used to design a conceptual level remediation strategy for priority brownfield sites.

**DEADLINES AND PROCESSING:** Deadlines are listed online. Interested parties should contact their New York State Division of Coastal Resources regional office for more information. Regional offices are listed by New York State county groupings.

**REPORTING REQUIREMENT:** Reporting is required for each step. Reporting requirements are detailed online. Available materials include application forms, a guidance assistance document, a sample resolution, and a schedule for application workshops.



GRANT AMOUNT: **Varies**

**Name of Funding Source:** Federal Transit Capital Investment Grants, CFDA No. 20,500  
(Fixed Guideway Modernization, Bus and Bus Facilities, New Starts)  
**Source Organization/Agency** U.S. Department of Transportation, Federal Transit Authority  
**Contact Information:** FTA Office of Transit Programs, Mary Martha Churchman  
400 Seventh Street SW  
Washington DC 20590  
202-366-2053  
[www.fta.dot.gov](http://www.fta.dot.gov)

**DESCRIPTION:** These programs were created to assist in financing the acquisition, construction, reconstruction, and improvement of facilities, rolling stock, and equipment for use in public transportation. Funds are currently made available in three program categories: Fixed Guideway Modernization formula program, Bus and Bus Facilities discretionary program, and New Starts discretionary program (new fixed guideway systems and extensions of existing systems).

**WHAT IT FUNDS:** Funds may be used to assist state and local governmental authorities in financing:

- capital projects for new fixed guideway systems and extensions to existing fixed guideway systems, including the acquisition of real property, the initial acquisition of rolling stock for the systems, and the acquisition of rights of way, and relocation for fixed guideway corridor development for projects in the advanced stages of alternatives analysis or preliminary engineering;
- capital projects for the acquisition, construction, reconstruction, and improvement of facilities and equipment for use by operation or lease or otherwise in mass transportation service, including property and improvements needed for an efficient and coordinated mass transportation system, including buses and bus facility equipment;
- the capital costs of coordinating transit with other transportation; and
- the introduction of new technology, through innovative and improved transportation and products.

Consideration may also be given for projects that enhance urban economic development, establish new or enhanced coordination between transit and other transportation, or enhance the effectiveness of a transit project and are related physically or functionally to that transit project.

It could also include financing for transit projects planned, designed, and carried out to meet the special needs of elderly individuals and individuals with disabilities. Financing could also fund development of corridors to support fixed guideway systems, including protecting rights of way through acquisition, construction of dedicated bus and high occupancy vehicle lanes and park-and-ride lots, and other non-vehicular capital improvements that the secretary may decide would result in increased transit usage in the corridor.

**RECIPIENT ELIGIBILITY:** Those eligible are public agencies, including states; municipalities and other subdivisions of states; public agencies and instrumentalities of one or more states; and public corporations, boards, and commissions established under state law. The applicant must have legal, financial, and technical capacity to carry out the proposed project, including safety and security aspects, and maintain facilities and equipment purchased with federal assistance. Fixed guideway formula funds are apportioned by formula to urbanized areas with a population greater than 200,000 with fixed guideway segments at least one-mile long that are more than seven years old. Bus and New Starts programs are allocated entirely to projects designated by Congress. Private nonprofit organizations are not eligible direct recipients.



**Application**

**PROCEDURE:** If the state has selected the program for review, applicants should consult the office or official designated as the single point of contact in their state for more information on the process the state requires to be followed in applying for assistance. An environmental impact assessment may be required for this program.

**DEADLINES AND PROCESSING:** Funds designated by Congress for Bus or New Starts projects must be obligated within three fiscal years, unless extended by Congress. Fixed Guideway Modernization formula funds must be obligated within four fiscal years. In FY 2005, the Federal Transit Authority (FTA) obligated Section 5309 Capital Grants in an average of 41 days after submission of a complete application.

**REPORTING REQUIREMENTS:** 1) Progress reports, (2) financial status reports (submitted quarterly for recipients in urbanized areas with a population greater than 200,000, annually for other recipients and states), (3) construction reports, where applicable. Nonfederal entities that expend \$500,000 or more in a year in federal awards shall have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in federal awards are exempt from federal audit requirements for that year with certain exceptions as stated in OMB Circular No. A-133. The recipient is required to retain intact all project contract documents, financial records, and supporting documents for three years following submission of final expenditure report, pending resolution of audit findings.

**OTHER:**

**Fixed Guideway Modernization:** In FY 2006, apportionments ranged from \$32,173 to \$388,971,544 with an average of \$22,313,621.

**Bus and Bus Facilities:** In FY 2006 earmarks ranged from \$9,518 to \$11,137,500 with an average of \$865,268.

**New Starts:** In FY 2006 earmarks ranged from \$392,040 to \$333,234,000 with an average of \$22,319,550.

**GRANT AMOUNT: Varies**

**Name of Funding Source:** Federal Transit Formula Grants, CFDA No. 20.507  
(Urbanized Area Formula Program)

**Source Organization/Agency:** U.S. Department of Transportation, Federal Transit Authority

**Contact Information:** FTA Office of Program Management  
Office of Resource Management and State Programs  
400 Seventh Street SW  
Washington DC 20590  
202-366-1659  
[www.fta.dot.gov](http://www.fta.dot.gov)

**DESCRIPTION:** The Urbanized Area Formula Grant Program was created to support public transportation services in urbanized areas (cities with a population greater than 50,000).

**WHAT THEY FUND:** Funds may be used for capital projects to finance the planning, acquisition, construction, cost-effective lease, improvement, and maintenance of equipment and facilities for use in transit. One percent of the funds apportioned to urbanized areas with a population of at least 200,000 must be expended for transit enhancements. For urbanized areas with populations under 200,000, funds may be used to finance transit-operating costs. Recipients of these grants are required to make information available to the public and to publish a program of projects to afford affected citizens opportunities through public hearings to submit comments on the proposed program and the performance of the recipient.

**RECIPIENT ELIGIBILITY:** Funds will be made available to urbanized areas (as defined by the U.S. Census Bureau) through designated recipients, which must be public entities and have the legal capacity to receive and dispense federal funds. The governor, responsible local officials, and publicly owned operators of mass transportation services must jointly select the designated recipient(s) for an urbanized area with a population of 200,000 or more. The governor or governor's designee is the recipient for an urbanized area with a population of 50,000 to 199,999. Recipients must submit a program of projects to FTA, submit a program application to FTA, enter into formal agreements with FTA, and certify that public notification has been conducted.

**Application**

**PROCEDURE:** An environmental impact assessment and an environmental impact statement may each be required. Applicants should contact their state field office. Applications are to be submitted in the Transportation Electronic Award Management system (TEAM-Web), which is the FTA electronic grant making and record keeping system.

**DEADLINES AND PROCESSING:** Applications may be submitted throughout the fiscal year. Funds are usually available for obligation approximately 10 days after the president signs the appropriation bill for a particular fiscal year. In FY 2005, FTA obligated Urbanized Area formula grants in 23 days (on average) after submission of a completed application.

**REPORTING REQUIREMENTS:** 1) Progress reports, (2) financial status reports, which must be submitted quarterly for recipients in urban areas with a population greater than 200,000, annually for other recipients and states, (3) construction reports, where applicable, and (4) annual report to the National Transit Database (NTD) are required. Nonfederal entities that expend \$500,000 or more in a year in federal awards shall have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in federal awards are exempt from federal audit requirements for that year with certain exceptions as stated in OMB Circular No. A-133. Recipient is required to retain intact all project contract documents, financial records, and supporting documents for three years following submission of the final expenditure report, pending resolution of audit findings.



GRANT AMOUNT: **\$286,780-\$129,144,702**

**Name of Funding Source:** Home Investment Partnerships Programs (HOME), CFDA No. 14.239

**Source Organization/Agency:** U.S. Department of Housing and Urban Development, Community Planning and Development

**Contact Information:** Office of Affordable Housing Programs  
Room 7164, 451 Seventh Street SW  
Washington DC 20140  
202-708-2470  
[www.hud.gov/offices/cpd/affordablehousing/](http://www.hud.gov/offices/cpd/affordablehousing/)

DESCRIPTION: These programs were created to achieve the following:

- expand the supply of affordable housing, particularly rental housing, for low-income Americans,
- strengthen the abilities of state and local governments to design and implement strategies for achieving adequate supplies of decent, affordable housing,
- provide both financial and technical assistance to participating jurisdictions, including the development of model programs for developing affordable low-income housing, and
- strengthen partnerships among all levels of government and the private sector, including for-profit and nonprofit organizations, in the production and operation of affordable housing.

Grants have ranged from \$286,780 to \$129,144,702. The average grant amount is \$3,088,433.

WHAT THEY FUND: For use by participating jurisdictions or insular areas for housing rehabilitation, tenant-based rental assistance, assistance to homebuyers, acquisition of housing, and new construction of housing. Funding may also be used for other necessary and reasonable activities related to the development of non-luxury housing, such as site acquisition, site improvements, demolition, and relocation. Ten percent of a participating jurisdiction's allocation may be used for administrative costs. Funds may not be used for public housing modernization, matching funds for other federal programs, reserve accounts or operating subsidies for rental housing, Annual Contributions Contracts, or activities under the Low Income Housing Preservation Act except for priority purchasers.

Technical assistance is available to help HOME participating jurisdictions design and implement HOME programs, including improving their ability to design and implement housing strategies and incorporate energy efficiency into affordable housing, facilitating the exchange of information to help participating jurisdictions carry out their programs, facilitating the establishment and efficient operation of employer-assisted housing programs and land bank programs, and/or encouraging private lenders and for-profit developers of low-income housing to participate in public-private partnerships.

RECIPIENT ELIGIBILITY: States, cities, urban counties, and consortia (of contiguous units of general local governments with a binding agreement) are eligible to receive formula allocations. Eligible technical assistance applicants may be a for-profit and nonprofit professional and technical services company or firm that has demonstrated capacity to provide technical assistance services; a HOME participating jurisdiction (PJ) or agency thereof; a public purpose organization responsible to the chief elected official of a PJ and established pursuant to state or local legislation; an agency or authority established by two or more PJs to carry out activities consistent with the purposes of the HOME program; or a national or regional nonprofit organization that has membership composed predominantly of entities or officials of entities of PJs or PJs' agencies or established organizations.

*Continued on next page*

## Home Investment Partnerships Programs, CFDA No. 14.239

*(Continued from previous page)*

### **Application**

**PROCEDURE:** Submit a consolidated plan, an annual action plan, and certifications to HUD. The annual action plan must describe how the funds will be used. The technical assistance funds are awarded on a competitive basis through a national competition, under the Notice of Fund Availability (NOFA). An application package prescribing the specific information an applicant must submit will be available from HUD when the NOFA is published in the Federal Register.

**DEADLINES AND PROCESSING:** Action plans should be submitted to HUD at least 45 days before the start of the program year. In no event will HUD accept a submission earlier than November 15 or later than August 16 of the federal fiscal year for which funds are allocated. The NOFA for technical assistance for competitive grants announces deadlines for applications. HUD will review applications for completeness and consistency with the purposes of the program, within 45 days of receipt from a jurisdiction. The selection of successful competitive technical assistance applicants will take place at HUD headquarters.

**REPORTING REQUIREMENTS:** Financial management and annual performance reports. Nonfederal entities that expend financial assistance of \$500,000 or more in federal awards will have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in federal awards are exempt from federal audit requirements for the year, except as noted in Circular No. A-133. Records that enable HUD to determine whether the participating jurisdiction has met the requirements of the program must be kept for the most recent five-year period.

**OTHER:** All funds must be committed within 24 months and expended within five years.

*\*\* For other sustainable sites, see: U.S. Department of Commerce; Economic Development Administration; Public Works and Economic Development Program and Oak Foundation; and Environment Climate Change Programme: North America.*

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FUNDING AMOUNT: **\$250,000-\$50 million**

**Name of Funding Source:** Equipment Leasing  
**Source Organization/Agency:** Chase Commercial Banking

**Contact Information:** [www.chase.com](http://www.chase.com)  
Search for "Equipment Leasing Government and Municipalities"

DESCRIPTION: Chase offers two types of financing options: tax-exempt lease purchase agreement (LPA) and true lease. An LPA is a financing alternative where Chase takes a security interest in the equipment and enables a municipality to acquire essential-use equipment. A tax-exempt LPA results in a significantly lower interest rate than conventional vendor or taxable financing. The lease, often referred to as a traditional lease, allows a municipality to use the equipment in exchange for rental payments. Chase holds title to the equipment. Depending on the structure, at lease end, a municipality can renew the lease, return the equipment, or purchase it at fair market value. Small loans can range from \$250,000 to \$10 million, whereas large loans range from \$500,000 to \$50 million.

WHAT IT FUNDS: Transportation, medical, production machinery, technology, and industrial equipment can be funded.

RECIPIENT ELIGIBILITY: State and local government entities are eligible.

#### **Application**

PROCEDURE: Applicants should consider standard loan procedures. Chase Commercial Banking is a participating lender in the New York Energy \$mart<sup>SM</sup> Loans program.

DEADLINES AND PROCESSING: No deadlines

OTHER: The typical transaction size for this program is \$1 million or greater. Typical terms are up to 120 months. Repayment terms can be monthly, quarterly, semi-annually, or annually. See also New York Energy Research and Development Authority's New York Energy \$mart Loan Fund, which offers a subsidy for an interest rate reduction program.



FUNDING AMOUNT: **Dependent on project size**

**Name of Funding Source:** Municipal Finance  
**Source Organization/Agency:** Alliance Leasing Inc.

**Contact Information:** 120 Madison Street, Tower II, 17th Floor  
Syracuse NY 13202  
315-475-2501  
[www.allianceleasing.com](http://www.allianceleasing.com)

**DESCRIPTION:** Structured to meet all the requirements of federal, state, and local finance laws, the tax-exempt municipal lease agreement enables lessees to obtain the capital they need to address growth, emergencies, unexpected expenses, or project cost overruns.

**WHAT IT FUNDS:** Leases typically are used for fire apparatus, utility vehicles, office equipment, emergency back-up equipment, school equipment, and hospital equipment.

**RECIPIENT ELIGIBILITY:** States, counties, cities, school districts, townships, and villages are eligible.

**Application**

**PROCEDURE:** Applicants should consider standard loan procedures. This program is a participating lender in the New York Energy Smart<sup>SM</sup> Loans program.

**DEADLINES AND PROCESSING:** Dependent on the proposal

**OTHER:** See: New York Energy Research and Development Authority's New York Energy Smart Loan Fund, which offers a subsidy for an interest rate reduction program.



**GRANT AMOUNT: up to \$2 million**

**Name of Funding Source:** Municipal Waste Reduction and Recycling Program  
**Source Organization/Agency:** New York State Department of Environmental Conservation

**Contact Information:** Division of Solid and Hazardous Materials  
625 Broadway  
Albany NY 12233-7253  
Attn: Recycling Grants  
[www.dec.ny.gov](http://www.dec.ny.gov)

**DESCRIPTION:** This program provides state assistance for projects that enhance municipal recycling infrastructure through purchasing of equipment or construction of facilities. Funded projects can vary in scope and size, ranging from recycling facilities and state-of-the-art composting facilities to purchasing recycling containers and new recycling vehicles. Payments are limited to 50 percent of the eligible costs incurred by the applicant or a maximum of \$2 million.

**WHAT IT FUNDS:** Eligible projects are those that enhance municipal capacity to collect, aggregate, sort, and process recyclable materials. Recycling equipment includes structures, machinery, or devices providing for the environmentally sound recovery of recyclables, including source separation equipment and recyclables recovery equipment. Examples of eligible projects include the following:

- materials recycling, recovery, or storage facilities (capital costs),
- dedicated recycling processing equipment (balers, shredders, grinders, loaders, etc.),
- dedicated recycling vehicles,
- curbside collection containers for recycling, and
- composting facilities or equipment.

**RECIPIENT ELIGIBILITY:** Eligible parties include counties, cities, towns, villages, local public authorities, local public benefit corporations, school districts, supervisory districts, and improvement districts, and Native American tribes or nations residing in New York State.

### **Application**

**PROCEDURE:** A pre-application must be submitted to the DEC Albany office to determine the eligibility of a proposed project. Once eligible, a final application form must be filed with the DEC within 60 days. A complete application is provided by the DEC ([www.dec.ny.gov](http://www.dec.ny.gov)). Required information includes a project budget, description, and an estimation of work force account costs (the costs of construction service/time provided by municipal employees). A list of regional contacts can be found on the application materials provided by the DEC. The application is 31 pages with multiple information requirements including marketing procedures, contracting and payment, and equal employment opportunities.

**DEADLINES AND PROCESSING:** Proposals are put on a waiting list and processed on a first-in first-out basis. Proposals may be submitted year-round.

**OTHER:** Payments are made after a state contract for the eligible portions of the proposed project is executed by all required agencies. Upon execution and implementation of a contract, the municipality may periodically request up to 50 percent reimbursement for the eligible costs of completed portions of the project. In general, this program has a high level of reporting involved.



FUNDING AMOUNT: **Dependent on project size**

**Name of Funding Source:** Public Sector Equipment Leasing  
**Source Organization/Agency:** SunTrust Banks

**Contact Information:** *www.suntrust.com*  
*leasing@suntrust.com*  
866-624-3084

DESCRIPTION: Compared with other financing options that often involve high issuance fees and payments beyond the useful life of the asset, SunTrust Banks' equipment-leasing solutions can often provide significant cost savings.

WHAT IT FUNDS: It offers tax-exempt financing alternatives for a variety of equipment purchases—from 911 systems and telecommunications systems to public works vehicles and portable classrooms.

RECIPIENT ELIGIBILITY: State and local governments, school districts, emergency system providers, and other public sector entities are eligible

**Application**

PROCEDURE: Applicants should consider standard leasing procedures.

DEADLINES AND PROCESSING: No deadlines

*\*\* For other materials funding opportunities, see: U.S. Environmental Protection Agency, Office of Prevention, Pesticides and Toxic Substances, Source Reduction Assistance (SRA) Grants Program, CFDA No. 66.717; and U.S. Department of Housing and Urban Development, Office of Healthy Homes and Lead Hazard Control, Healthy Homes Demonstration Grants, CFDA No. 14.901.*





**FUNDING AMOUNT: up to \$1.5 million**

**Name of Funding Source:** Commercial Septic and West of Hudson (WOH) Mandates Loan Program  
**Source Organization/Agency:** Catskills Watershed Corporation (CWC)

**Contact Information:** PO Box 569, Main Street  
Margaretville NY 12455  
845-586-1400  
Fax: 845-586-1401  
Toll free: 1-877-WATSHED (1-877-928-7433)  
[www.cwconline.org](http://www.cwconline.org)

**DESCRIPTION:** The Commercial Septic and WOH Mandates Loan Program was established to provide loans to fund commercial septic systems and other environmentally related projects required solely due to the applicant's WOH location.

**WHAT IT FUNDS:** An applicant may apply for up to 100 percent of the project costs if the applicant is seeking a loan for the repair or replacement of a nonresidential septic system pursuant to receipt of an Notice of Violation (NOV) or NOF from the NYCDEP; the required upgrade or replacement of a nonresidential septic system due to the loss of its non-complying regulated activity status under the Watershed Regulations; or a project that is required solely due to the location of the project in the WOH.

**RECIPIENT ELIGIBILITY:** Any governmental entity that has the authority to levy taxes may apply for a Catskills Fund for the Future (CFF) loan if the purpose of the loan is to enhance or protect water quality. Unlike the majority of the CWC programs, loan eligibility is not restricted by New York City watershed boundaries. Loans may be awarded to entities in watershed towns, even if the site/business is not within the watershed.

**Application**

**PROCEDURE:** All applications must include a business plan and other documentation as required by the checklist provided with the application. There is also a \$100 application fee.

**DEADLINES AND PROCESSING:** No deadlines

**OTHER:** An equity contribution of 10 percent is required, but it may be reduced or waived by the board, if recommended by the Loan Committee, due to the special financial conditions of the applicant. Staff, in conjunction with the Loan Committee, will set the loan maturity for board review and approval.



FUNDING AMOUNT: **Varies**

**Name of Funding Source:** Catskills Municipal Lateral Hookup and Decommissioning Loan Fund  
**Source Organization/Agency:** Catskills Watershed Corporation

**Contact Information:** PO Box 569, Main Street  
Margaretville NY 12455  
845-586-1400  
Fax: 845-586-1401  
Toll free: 1-877-WATSHED (1-877-928-7433)  
[www.cwconline.org](http://www.cwconline.org)

**DESCRIPTION:** The Catskills Municipal Lateral Hookup and Decommissioning Loan Fund was created to provide low-interest loans to eligible municipalities to assist property owners who are connecting structures to sewage collection systems being constructed or extended under the New Infrastructure Program (NIP) and Sewer Extension Program (SEP).

**WHAT IT FUNDS:** Loans can be applied to related costs, expressly limited to costs to construct laterals, connect exterior waste line to laterals, and decommission existing septic tanks, as applicable.

**RECIPIENT ELIGIBILITY:** Municipalities must be listed in the New York City Watershed Memorandum of Agreement sections 122 and 123, only (listed below). Municipalities must have applied for all grants available to assist low-income residents with the payment of related costs, including the Housing and Urban Development (HUD) Grant for such purpose. **This program is only available to the following communities:** Village of Hunter, Village of Fleischmanns, Town of Windham, Town of Andes, Town of Roxbury, Town of Shandaken (Phoenicia), Town of Prattsville, Town of Shandaken (Pine Hill), Town of Neversink, Town of Roxbury (Grand Gorge), Town of Hunter (Tannersville), and Town of Middletown/Village of Margaretville.

#### **Application**

**PROCEDURE:** All applications must include a business plan and other documentation, as required by the checklist provided with the application. There is also a \$100 application fee.

**DEADLINES AND PROCESSING:** No deadlines

**OTHER:** Equity contribution by the municipality will not be required. The maturity of the loan shall be no more than 15 years.



**FUNDING AMOUNT: up to \$1.5 million**

**Name of Funding Source:** Catskills Fund for the Future (CFF)  
**Source Organization/Agency:** Catskills Watershed Corporation (CWC)

**Contact Information:** PO Box 569, Main Street  
Margaretville NY 12455  
845-586-1400  
Fax: 845-586-1401  
Toll free: 1-877-WATSHED (1-877-928-7433)  
[www.cwconline.org](http://www.cwconline.org)

**DESCRIPTION:** The Catskill Fund for the Future’s mission is to support responsible, environmentally sensitive economic development projects in the West of Hudson (WOH) Watershed by making loans or grants to qualified economic development projects.

**WHAT IT FUNDS:** Loans shall be for projects or organizations that encourage environmentally sound development and the goals of WOH Watershed protection and job growth in the WOH Watershed communities.

**RECIPIENT ELIGIBILITY:** Any governmental entity that has the authority to levy taxes (taxing unit) may apply for a CFF loan if the purpose of the loan is to enhance or protect water quality. Unlike the majority of the CWC programs, loan eligibility is not restricted by New York City watershed boundaries. Loans may be awarded to entities in watershed towns, even if the site/business is not within the watershed. Except as permitted under specific program rules, loan proceeds may not be used to finance the preliminary design stage or finance the acquisition, development, or improvement of housing purchase or improvement of property for private, non-business use.

**Application**

**PROCEDURE:** All applications must include a business plan and other documentation as required by the checklist provided with the application. There is also a \$100 application fee.

**DEADLINES AND PROCESSING:** No deadlines

**REPORTING REQUIREMENTS:** The grantee shall submit the following in accordance with the time periods established in the loan agreement:

- documentation of completion,
- documentation of the use of the CFF proceeds and any matching requirements,
- financial reporting for all loan amounts, and
- other information as requested by the board or CWC staff to confirm conformance to loan contact.

**FUNDING AMOUNT: Varies**

**Name of Funding Source:** Clean Water State Revolving Fund (CWSRF)  
**Source Organization/Agency:** New York State Environmental Facilities Corporation

**Contact Information:** Division of Engineering and Program Management  
625 Broadway  
Albany NY 12207-2997  
1-800-882-9721 (in New York State only) or 518-402-7433  
[www.epa.gov/owmitnet/cwfinance/cwsrf](http://www.epa.gov/owmitnet/cwfinance/cwsrf)

**DESCRIPTION:** The CWSRF offers low-cost financing to help communities, and in some cases private entities, finance critical water quality projects. The CWSRF finances projects to protect, maintain, or improve water quality. As project financings are repaid to each SRF, the funds become available to be used again to help other recipients. This program relies on lending, repayment, and recycling of funds. Grants are not available through the CWSRF. Short-term financing, up to three years, is available to applicants with projects listed in the Annual Project Priority List (Annual List) of the Intended Use Plan (IUP) provided the project meets the following criteria. The project must:

- have a project score above any funding line in its project category on the Annual List,
- have an approved technical planning report,
- meet environmental significance criteria,
- have completed the State Environmental Review Process (SERP),
- have formed any necessary special improvement districts, and
- not be more than 50 percent complete.

Long-term financing is available up to 30 years. The interest rate charged most applicants is approximately one-half the market interest rate at which the Environmental Facilities Corporation's (EFC's) bonds are sold. Municipalities provide the EFC with general obligation bonds as security. Issuance costs for long-term leveraged financing are 1 percent direct expenses and a state bond issuance charge of 0.14 percent to 0.70 percent based on amount financed. There is an annual fee of 0.25 percent based on the outstanding balance. A Reduced Interest Rate or Hardship Financings are available to communities with demonstrated financial hardship for projects serving residential areas. Money is available through direct financing or leveraged financing.

**WHAT IT FUNDS:** The program funds a large variety of projects aimed at water quality improvement. Projects must be on the approved CWSRF Intended Use Plan (IUP) Project Priority List (PPL) before being eligible for funding. Funds are provided as they become available and more applicants may apply than the amount of funds available for the year. Eligible projects include treatment works projects (new, expanded, or rehabilitated), nonpoint source pollution control projects, and estuary conservation management plans and projects.

RECIPIENT ELIGIBILITY: Money is available for financing community water supply systems, both public and privately owned, and nonprofit, noncommunity water supply systems. The focus is on applicants associated with publicly owned water quality improvement projects.

**Application**

PROCEDURE: To be considered for CWSRF financing, applicants must complete two major steps and submit a Project Listing Form for EFC staff to score, rank, and list projects in the Intended Use Plan (IUP) and a complete CWSRF Financing Application. This application provides details regarding the project costs, applicant credit information, and other information to size the financing and prepare documentation. Projects will be scored and listed on the Project Priority List of the IUP and financing for projects will be targeted using the scores.

DEADLINES: Although CWSRF financing applications are accepted on a continuous basis, deadlines have been established for receipt of complete applications for an IUP period according to the type of financing requested (winter pool: long-term financing; summer pool: long-term financing, long-term direct financing, and short-term financing).

OTHER: For similar projects, the EFC also has a Drinking Water Revolving Fund on its web site.



GRANT MINIMUM: **\$25,000**

**Name of Funding Source:** Strategic Environmental Project Pipeline (StEPP)  
**Source Organization/Agency:** StEPP Foundation

**Contact Information:** 1536 Wynkoop Street, Suite 403  
Denver CO 80202  
303-277-0932  
[www.stepfoundation.org](http://www.stepfoundation.org)

**DESCRIPTION:** The StEPP Foundation matches projects with funders, offering opportunities for organizations across the country to demonstrate the positive benefits of energy efficiency, renewable energy, and pollution prevention projects.

**WHAT IT FUNDS:** Projects are funded based upon consideration of the maximum environmental benefit the project will have for the dollars spent. The StEPP Foundation awards funding to projects that best meet the specific project criteria defined by the funding source or that are the most appropriate match with the available funding. Projects in the implementation stage that allocate the majority of funds to capital equipment will receive greater weight than those that do not.

**RECIPIENT ELIGIBILITY:** Government entities (local, state, and national), nonprofit organizations, academic institutions, and other organizations are all encouraged to enter project ideas into the StEPP Project Pipeline for funding consideration.

### **Application**

**PROCEDURE:** To apply for funding from the StEPP Foundation, applicants first must submit a project idea online at [www.stepfoundation.org](http://www.stepfoundation.org). This officially logs a project idea into the Strategic Environmental Project Pipeline (StEPP) and allows a project idea to be considered for current funding and future funding opportunities over a 12-month period. Applicants will periodically receive e-mail updates on their project's status. If a match for funding becomes available, the applicant will be asked to submit a full proposal based upon specific project criteria, such as geographic location, environmental category, minimum dollar request, segment of society benefited, etc., defined by the funding source. When applying for a specific project, applicants must, upon request, submit four copies of the online application along with information about how the project meets the specific criteria, organizational capability, budget and timeline, maps, and additional support.

**DEADLINES AND PROCESSING:** Available in the Specific Project Criteria for specific funding sources

**REPORTING REQUIREMENTS:** The StEPP Foundation provides project oversight to enhance the success of projects, increasing the number of energy efficiency, clean energy, and pollution prevention projects implemented at the local, state, and national levels.

**OTHER:** The maximum grant amount given to date is \$210,000. Also to date, grants have only been given in Colorado, but the foundation is looking to work with communities all across the United States.



GRANT RANGE: **\$50,000-\$100,000**

**Name of Funding Source:** Green Building Initiative Grants  
**Source Organization/Agency:** Kresge Foundation

**Contact Information:** 3215 West Big Beaver Road  
Troy MI 48084  
248-643-9630  
[www.kresge.org](http://www.kresge.org)  
click "Green Building Initiative"

**DESCRIPTION:** This Green Building Initiative offers educational resources and special grants to help nonprofits during the planning phase for green buildings. The initiative's planning grant program encourages nonprofits working in the arts, health, and human service areas to consider green for the first time. Grant guidelines in this program encourage environmentally focused organizations to innovate, creating new models of sustainable design.

**WHAT IT FUNDS:** Planning grants cover some of the costs associated with planning a green building. Grant funds are not meant to cover feasibility studies or routine architectural costs. Rather, they can cover the added costs of a fully integrated design approach, such as the following:

- Professional services to facilitate charrette(s) during the pre-design period that involve stakeholders and members of your design team,
- Materials analysis, including products and technology that support green building development,
- Commissioning expenses associated with the planning process, and
- Costs associated with LEED (Leadership in Energy and Environmental Design) registration with the USGBC (U.S. Green Building Council) and initial documentation.

**RECIPIENT ELIGIBILITY:** Government or municipal entities are eligible for consideration, only if there is a nonprofit organization operating the programs offered within the current/planned facilities or if there is a support arm that raises private funds to support its operations.

### **Application**

**PROCEDURE:** The process is a written application that begins with a cover letter, one-page letters, and resumes from the lead architect, mechanical engineering professional (MEP), and key consultants. A summary work plan must be provided in addition to narrative information about the organization and project, which runs six to eight pages. The grantee also requests a series of attachments, including board and building committee lists, audited financial statements, accreditation reports, and a map of the project site. In total, the application runs 15 to 17 pages, not including the attachments. A request may be submitted when the nonprofit organization has made a commitment to construct or renovate a facility, secured site control of property, and hired the architect and MEP.

**DEADLINES AND PROCESSING:** Accepted year-round. Decisions are made within 90 days.

**REPORTING REQUIREMENTS:** A planning grant will be paid within approximately 30 days of approval. The foundation will require a final report describing the use of the Kresge funds and outcomes of the planning process.

*\*\* For other Innovation in Design funding opportunities, see: U.S. Department of Housing and Urban Development, Community Planning and Development, Home Investment Partnership Programs, CFDA No. 14.239; and U.S. Department of Transportation, Federal Transit Authority, Federal Transit Capital Investment Grants, CFDA No. 20.500 (Fixed Guideway Modernization, Bus and Bus Facilities, New Starts).*



FUNDING AMOUNT: **Dependent on project size**

**Name of Funding Source:** CitiCapital Municipal Leasing  
**Source Organization/Agency:** CitiBank

**Contact Information:** [www.citicapital.com/tax-exempt/](http://www.citicapital.com/tax-exempt/)

DESCRIPTION: CitiCapital Municipal Leasing, with more than 25 years of experience, is a leading provider of municipal lease programs and a recognized market expert. Their team of seasoned financing experts will design a financing program specific to the unique project and work with municipalities during every step of the process.

**Application**

PROCEDURE: Applicants should consider standard loan procedures. This program is a participating lender in the New York Energy \$mart<sup>SM</sup> Loans program.

DEADLINES AND PROCESSING: No deadlines

OTHER: See New York Energy Research and Development Authority's New York Energy \$mart Loan Fund, which offers a subsidy for an interest rate reduction program.





FUNDING RANGE: **\$3,000-\$11 million**

**Name of Funding Source:** Community Facilities Loan Program  
**Source Organization/Agency:** U.S Department of Agriculture

**Contact Information:** [www.rurdev.usda.gov](http://www.rurdev.usda.gov)

**DESCRIPTION:** The Community Facilities Loan Program provides loans for the development of essential community facilities in rural areas and towns with populations of up to 20,000. Priority is given to projects located in communities with low populations and low incomes. Repayment of the loan is based upon tax assessments, revenue, fees, and other sources of income. Average loan amount is \$847,971.

**WHAT IT FUNDS:** Loan funds may be used for the construction, enlargement, or improvement of community facilities for health care, public safety, and community and public service. This can include costs to acquire land, pay professional fees, and purchase equipment. Interest rates are set at three levels: poverty, intermediate, and market. The poverty rate starts at 4.5 percent. Loan repayment may not exceed the useful life of the facility or a maximum of 40 years.

**RECIPIENT ELIGIBILITY:** Loans are available to public entities such as municipalities, counties, and special purpose districts. Applicants must have the legal authority to construct, operate, and maintain the proposed facilities and must be unable to obtain needed funds from commercial sources at reasonable rates and terms.

#### **Application**

**PROCEDURE:** Applications are filed with the USDA Rural Development Field Offices. Each applicant's needs and the services available will be assessed by the field office staff. An environmental assessment is required for this program. For direct loans and grants, applicants must file Standard Form SF-424 and supporting documentation at their local Rural Development Area Office. After the pre-application has been reviewed by the Rural Development Area Office, it is forwarded to the Rural Development State Office for review and processing instructions. Upon completion of the application processing and approval by the State Office, funds are made available to the Rural Development Area Office for delivery.

**FILING DEADLINE(S):** No deadlines. Approval time range is between 30 and 90 days. A time limitation is not specified for the use of Community Facilities loan funds. Funds will be awarded when all program requirements are met and the project can be completed on a timely basis. Funds may be advanced on an as needed basis.

**REPORTING REQUIREMENTS:** Periodic reports are made to Rural Development. Each borrower will monitor and report to the Rural Housing Service on actual performance during the construction of each project financed, or to be financed, in whole or in part with Community Facilities loan funds. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet the terms and conditions of the loan and other agreements.



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GRANT AMOUNT: **\$5,000-\$25,000**

**Name of Funding Source:** Civic Affairs Grant  
**Source Organization/Agency:** Central New York Community Foundation

**Contact Information:** 500 South Salina Street, Suite 428  
Syracuse NY 13202-3302  
315-422-9538  
[www.cnycf.org](http://www.cnycf.org)

**DESCRIPTION:** The Central New York Community Foundation’s mission is to enhance the quality of life for those who live and work in Onondaga and Madison counties. It awards competitive grants four times a year for innovative programs in the areas of arts and culture, civic affairs, education, environment, health, and human services.

**WHAT IT FUNDS:** The Central New York Community Foundation funds projects in two areas.

- **Community Impact**—Supports innovative programs in the areas of human services, arts and culture, education, health, environment, and civic affairs. Successful projects address community needs through programs and activities that demonstrate sustainable impacts and measurable outcomes.
- **Community Building**—Increases civic participation and community vitality. Successful projects build community connections, especially among diverse groups, and build mutual trust and reciprocity in community relationships.

**RECIPIENT ELIGIBILITY:** Tax-exempt, not-for-profit organizations certified by the Internal Revenue Service under Section 501(c)(3), publicly supported organizations such as schools and municipalities, and qualified organizations in Onondaga and Madison counties are all eligible. The Community Foundation, as a rule, does not make grants for annual operating budgets (except when it is “seed” or “bridge” funding), endowments, religious purposes, loans or assistance to individuals, or research.

### **Application**

**PROCEDURE:** Applicants should speak with someone on the foundation staff before submitting a grant application. Upon recommendation from Community Foundation staff, organizations and agencies should submit an application (including narrative, financial history, proposed project budget, and budget explanation) with attachments (including three vendor quotes for capital expenditure requests, and an operating budget with financial statements).

**DEADLINES AND PROCESSING:** There are four deadlines annually: early August, mid-October, mid-February, and mid-April. Applications are considered at quarterly board meetings usually one to two months after the application deadline. Applicants are notified after quarterly board meetings.

**REPORTING REQUIREMENTS:** All grant recipients are required to provide progress reports. Both interim and final reports may be necessary, depending upon the length and scope of the awarded project. Reports should detail how dollars were expended and what the project achieved.



GRANT AMOUNT: **\$1,000-\$10,000**

**Name of Funding Source:** CommuniFund, the foundation's general fund  
**Source Organization/Agency:** Community Foundation for South Central New York

**Contact Information:** 70 Front Street  
Binghamton NY 13905  
607-772-6773  
Fax: 607-722-6752  
[www.cfscny.org](http://www.cfscny.org)  
[cfscny@stny.rr.com](mailto:cfscny@stny.rr.com)

**DESCRIPTION:** The Community Foundation for South Central New York offers caring individuals an effective way to endow their community in a manner that is responsible and lasting. The foundation invites grant proposals that address a specific need, adopt a practical approach to community problems, promote cooperation among agencies with similar programs, and incorporate a plan for evaluating the success of funded programs.

**WHAT IT FUNDS:** It funds capital proposals for property purchase, facilities improvement, and equipment (excluding purchase of new or replacement equipment routinely used by the organization, such as office equipment, team sports equipment, highway equipment, and construction equipment).

**RECIPIENT ELIGIBILITY:** The Community Foundation will consider requests from any 501(c)(3) where the benefit of a Community Foundation grant will accrue primarily to residents of the foundation's service area: Broome, Chenango, Cortland, Delaware, and/or Tioga counties. The foundation may also consider requests from certain local government agencies, municipalities, and public school systems within the foundation's service area. The foundation will not fund the following activities: operating or program deficits, operating funds for existing programs where no improvement is proposed, mortgages, individuals, musical/theatrical productions, special events (such as music or arts festivals), conference sponsorships, scholarships, religious organizations, or organizations with multiple counterparts (e.g. scout troops, PTAs).

### **Application**

**PROCEDURE:** Contact the Community Foundation to confirm agency/project eligibility. If the project idea is approved, organizations and agencies should submit an application that includes an executive summary, program/project narrative (maximum six pages), project budget, competitive pricing for equipment and quotes for construction, and organizational budget.

**DEADLINES AND PROCESSING:** Applications accepted twice a year, typically in March and September. Decisions are announced approximately eight weeks after submission deadline.

**OTHER:** An organization may submit only one proposal during the calendar year. If an organization currently has an open, or active, grant awarded in a previous grant cycle, it cannot apply, regardless of whether all grant payments have been made. If an organization received an award in one grant cycle, it must skip a cycle before it can apply for another. Organizations may not resubmit a proposal that has been previously declined by the Community Foundation.



## GRANT RANGE: **up to 75 percent of project costs**

**Name of Funding Source:** Community Facilities Grant Program  
**Source Organization/Agency:** U.S. Department of Agriculture

**Contact Information:** [www.rurdev.usda.gov](http://www.rurdev.usda.gov)

**DESCRIPTION:** The Community Facilities Grant Program provides assistance to the development of essential community facilities in rural areas and towns with populations under 20,000. Priority is given to communities with small populations and low incomes. The maximum grant size is determined by the median household income and population size of the community and the current availability of grant funds. Up to 75 percent of project costs may be covered. Historically, grants have ranged from \$570 to \$120,750. The average grant is \$36,753.

**WHAT IT FUNDS:** Funds may be used for the construction, enlargement, or improvement of community facilities for health care, public safety, and community and public service. This can include the purchase of equipment required for a facility's operation.

**RECIPIENT ELIGIBILITY:** Grants are available to public entities such as municipalities, counties, and special purpose districts. Applicants must have the legal authority to construct, operate, and maintain the proposed facilities and must be unable to obtain needed funds from commercial sources at reasonable rates and terms.

### **Application**

**PROCEDURE:** Applications are filed with the USDA Rural Development Field offices. Each applicant's needs and the services available will be assessed by the field office staff. An environmental assessment is required for this program. For direct loans and grants, applicants must file Standard Form SF-424 and supporting documentation at their local Rural Development Area Office. After the pre-application has been reviewed by the Rural Development Area Office, it is forwarded to the Rural Development State Office for review and processing instructions. Upon completion of application processing and approval by the State Office, funds are made available to the Rural Development Area Office for delivery.

**DEADLINES AND PROCESSING:** No deadlines. Approval time range is between 30 and 90 days. A time limitation is not specified for the use of Community Facilities grant funds. Funds will be awarded when all program requirements are met and the project can be completed on a timely basis. Funds may be advanced on an as needed basis.

**REPORTING REQUIREMENTS:** Periodic reports are made to the Rural Development State Office. Each borrower will monitor and report to the Rural Housing Service on actual performance during the construction of each project financed, or to be financed, in whole or in part with Community Facilities loan funds. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of the grant and other agreements.



GRANT RANGE: **\$5,000-\$100,000**

**Name of Funding Source:** Source Reduction Assistance (SRA) grants program CFDA No. 66.717  
**Source Organization/Agency:** Office of Prevention, Pesticides, and Toxic Substances,  
U.S. Environmental Protection Agency (EPA)

**Contact Information:** US EPA Region 2  
290 Broadway  
New York NY 10007-1866  
212-637-3660  
[www.epa.gov/oppt/p2home/](http://www.epa.gov/oppt/p2home/)

**DESCRIPTION:** The SRA grants program provides grants to support such pollution prevention activities as source reduction and resource conservation. The term "pollution prevention" used for the purposes of this grant is defined as "any practice which reduces or eliminates the creation of pollutants through increased efficiency in the use of raw materials, energy, water, or other resources, or protection of natural resources by conservation." The term "resource conservation" is defined as "preventing pollution, promoting reuse of materials, reducing the use of toxic chemicals, and/or conserving energy and materials." Grants awarded through this program are expected to reduce and/or eliminate harmful pollutants that may enter the air, water, and/or land. The EPA requires a minimum 5 percent match of the total allowable project cost. Assistance agreements are awarded for a project period not to exceed two years. Funds are released by a letter of credit.

**WHAT IT FUNDS:** Funded projects must be designed to aid in reducing hazardous substances, pollutants, or contaminants entering waste streams or otherwise released into the environment (including fugitive emissions) prior to recycling, treatment, or disposal. Grant activities may involve, but are not limited to, equipment or technology modifications, process or procedure modifications, reformulation or redesign of products, substitution of raw materials, and improvements in housekeeping, maintenance, training, or inventory control.

**RECIPIENT ELIGIBILITY:** Assistance under this program is available to the 50 states, the District of Columbia, the U.S. Virgin Islands, the Commonwealth of Puerto Rico, any territory or possession of the United States, local governments, city or township governments, independent school district governments, state-controlled institutions of higher education, federally recognized tribal governments, nonprofits other than private institutions of higher education, and community-based grassroots organizations. All activities in the pre-proposals and/or applications must be eligible under one or more of these statutory authorities: the Clean Air Act, Section 103(b) and (g), as amended; Clean Water Act, Section 104(b)(3), as amended; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, as amended; Safe Drinking Water Act, Section 1442 (a)(1) and (c), as amended; Solid Waste Disposal Act, Section 8001(a), as amended; and Toxic Substances Control Act, Section 10, as amended.

### **Application**

**Procedure:** Forms may be obtained via the Internet by visiting [www.epa.gov/ogd/AppKit/application.htm](http://www.epa.gov/ogd/AppKit/application.htm). Consult the Source Reduction Assistance program notice posted on the EPA's Pollution Prevention Grant web site at [www.epa.gov/oppt/p2home/grants/index.htm](http://www.epa.gov/oppt/p2home/grants/index.htm) for more information. Additionally, this program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." Availability of funds may change by region and time.

**DEADLINES AND PROCESSING:** Deadlines vary according to each EPA Regional Program Office. Consult the EPA's Pollution Prevention Grant web site, see above for more information. The range of approval/dismissal time is approximately 90 to 120 days.



## GRANT AMOUNT: **Various**

**Name of Funding Source:** Community Grant  
**Source Organization/Agency:** Northern New York Community Foundation

**Contact Information:** HSBC Building  
120 Washington Street, Suite 400  
Watertown NY 13601  
315-782-7110  
Fax: 315-782-0047  
*www.nnycf.org*  
*info@nnycf.org*

**DESCRIPTION:** The Northern New York Community Foundation makes grants to support the work of nonprofit, tax-exempt organizations in or serving Jefferson and/or Lewis counties. Governmental units are also eligible to receive foundation support, provided the purpose of the grant request goes beyond the expected limits of government service.

**WHAT IT FUNDS:** The foundation encourages proposals for innovative and creative projects that address problems to be solved or opportunities to be seized in the Northern New York area. The general policy of the foundation is to make grants to programs that are responsive to changing community needs in the areas of health, human services, education, and cultural affairs.

**RECIPIENT ELIGIBILITY:** Nonprofit organizations and governmental units serving the residents of Jefferson and/or Lewis counties. Grants are made only for capital items and for seed money for new agencies or new projects by established agencies. The foundation does not fund operations or pay off deficits. Grants are not made to individuals.

### **Application**

**PROCEDURE:** Contact the foundation by letter, phone, or e-mail to provide a brief summary of the program and needs, and to request grant application guidelines. After an initial discussion with the director, organizations or agencies then submit a written application.

**DEADLINES AND PROCESSING:** Grant applications are reviewed four times a year. Grant requests \$5,000 and less may be approved at the committee level. Larger grant requests are referred to the board of directors with a committee recommendation. The applicant will be notified of the grant award or denial by letter after the committee meeting or board of directors meeting. Grant application deadlines and board meeting dates are posted on the Community Foundation's web site.

**REPORTING REQUIREMENTS:** Agencies receiving grants will be asked to submit a written evaluation of the project after all work has been completed. Foundation staff will be available to make site visits and assist in the evaluation process.



## GRANT AMOUNT: **up to \$50,000**

**Name of Funding Source:** Legislative Member Item Program Manual  
**Source Organization/Agency:** New York State Division of Housing and Community Renewal

**Contact Information:** [www.dhcr.state.ny.us](http://www.dhcr.state.ny.us)  
Addresses for regional offices may be obtained online. Questions and applications should be directed to the appropriate regional office.

**DESCRIPTION:** The Legislative Member Item Program (MIP) is funded by the New York State Legislature and administered by the Division of Housing and Community Renewal (DHCR). Awards are given to projects relating to housing, community development, community renewal, preservation, or promotional activities such as newsletters and community meetings. MIP funds are generally used for administration, planning, capital funds, and other costs necessary for initiating or continuing specified community activities.

**WHAT IT FUNDS:** MIP funds are typically used for the following:

- payment of salaries and wages to employees of the award recipient who are involved in providing MIP activities,
- consultant and professional fees for planning and performing MIP activities,
- any cost and expense directly related to the employees, consultants, and professionals as presented in the MIP activities,
- costs of acquisition, construction, repair, renovation, rehabilitation, or demolition, or
- other community improvement, development, or preservation activities as set forth in the approved legislative initiative form.

Grants may not be used for expenses related to entertainment, contributions to other organizations, lobbying, or other political activities.

**RECIPIENT ELIGIBILITY:** Recipients of awards made under the Legislative Member Item Program (MIP) are selected by members of the New York State Senate and Assembly.

### **Application**

**PROCEDURE:** Application procedures and reporting requirements vary by grant size (<\$25,000, \$25,001-\$50,000, >\$50,000). Related documents are available online in PDF form or may be completed using the provided OniForm software.

**REPORTING REQUIREMENTS:** Record keeping must be done in accordance with generally accepted accounting standards. The DHCR may request award-related reporting at any time during or after the contract term. Changes in contracting, work plans, or purpose must be submitted for approval by the State Legislature.

**OTHER:** Applications are online and fill-in-the-blank, so they are easy to complete. However, there are many different applications, and the grant requires legislative nomination, so it is more difficult to obtain.



GRANT AMOUNT: **\$69,000-\$4,046,270**

**Name of Funding Source:** Public Works and Economic Development Program, CFDA No. 11.300  
**Source Organization/Agency:** U.S. Department of Commerce Economic Development Administration

**Contact Information:** New York Representative Office  
620 Erie Boulevard West, Suite 104  
Syracuse NY 13204-2442  
315-448-0938  
[www.eda.gov](http://www.eda.gov)

**DESCRIPTION:** This grant program is designed to support the construction or rehabilitation of essential public infrastructure and facilities for the promotion of private sector jobs and investments, to attract private sector capital, and to promote regional competitiveness, including the support of technology-led development, the redevelopment of brownfield sites, and eco-industrial development. Priority is given to projects that support existing or emerging industry or that attract new economic drivers in economically distressed communities. Assistance may not exceed 50 percent of the project cost. Higher rates may be eligible based on special circumstances.

**WHAT IT FUNDS:** Funds may be used for such facilities as water and sewer systems, industrial access roads, industrial and business parks, port facilities, railroad sidings, distance-learning facilities, skill-training facilities, business incubator facilities, redevelopment of brownfields, eco-industrial facilities, and telecommunications infrastructure improvements needed for business retention and expansion. Eligible activities include the acquisition or development of public land and improvements for use for a public works, public service, or development facility. Other eligible activities include acquisition, design and engineering, construction, rehabilitation, alteration, expansion, or improvement of publicly owned and operated development facilities, including related machinery and equipment.

**RECIPIENT ELIGIBILITY:** States, cities, or counties are eligible for this fund. Proposed investments must be consistent with the currently approved Comprehensive Economic Development Strategy for the region in which the project will be located, and the applicant must have the required local share of funds committed, available, and unencumbered.

### **Application**

**PROCEDURE:** Applicants should contact the EDA regional or state representative office to determine the eligibility of a project proposal. EDA offices will provide forms and assistance to interested parties. Funds are disbursed for costs incurred and generally not distributed until all contracts for construction have been awarded. Regional offices determine project feasibility.

**DEADLINES AND PROCESSING:** Applicants are given 30 days to submit a formal application after being invited by the EDA offices to submit a completed application. Processing is approximately 60 days after a completed application is submitted.





## GRANT RANGE: **up to \$300,000**

**Name of Funding Source:** Rural Economic Development Grant Program  
**Source Organization/Agency:** U.S. Department of Agriculture, Rural Development

**Contact Information:** USDA Rural Development State Office  
441 South Salina Street, Suite 357  
Syracuse NY 13202  
315-477-6400  
[www.rurdev.usda.gov/rbs/busp/redlg.htm](http://www.rurdev.usda.gov/rbs/busp/redlg.htm)

**DESCRIPTION:** The Rural Economic Development Loan and Grant (REDLG) program provides funding to rural projects through local utility organizations. Under the REDLoan program, USDA provides zero-interest loans to local utilities, which they, in turn, pass through to local businesses (ultimate recipients) for projects that will create and retain employment in rural areas. The ultimate recipients repay the lending utility directly. The utility is responsible for repayment to the agency. Under the REDGrant program, USDA provides grant funds to local utility organizations, which use the funding to establish revolving loan funds. When the revolving loan fund is terminated, the grant is repaid to the agency.

**WHAT IT FUNDS:** Examples of eligible projects include the following:

- capitalization of revolving loan funds,
- technical assistance in conjunction with projects funded under a zero-interest REDLoan,
- community development assistance to nonprofits and public bodies (particularly for job creation or enhancement),
- facilities and equipment for education and training for rural residents to facilitate economic development,
- facilities and equipment for medical care to rural residents, and
- telecommunications networks for distance learning or long-distance medical care.

**RECIPIENT ELIGIBILITY:** To receive funding under the REDLG program (which will be forwarded to selected eligible projects) an entity must:

- Have borrowed and repaid or pre-paid an insured, direct, or guaranteed loan received under the Rural Electrification Act,
- Be a nonprofit utility that is eligible to receive assistance from the Rural Development Electric or Telecommunication Program, and
- Be a current Rural Development Electric or Telecommunication Programs Borrower.

### **Application**

**PROCEDURE:** To apply for funding for the REDLG program, contact the New York State office. The application includes an application for federal assistance, proposed scope of work, proposed budget, and a variety of assurance agreements in accordance with federal policies.

**AVAILABILITY OF FUNDS:** During FY 2007, approximately \$25.2 million nationally was available for loans and approximately \$10 million for grants.



## GRANT AMOUNT: **up to \$400,000**

**Name of Funding Source:** Supportive Housing Program, CFDA No. 14.235  
**Source Organization/Agency:** U.S. Department of Housing and Urban Development,  
Community Planning and Development

**Contact Information:** Office of Special Needs Assistance Programs  
451 7th Street SW  
Washington DC 20410  
202-708-2140  
[www.hud.gov/offices/cpd/homeless/programs/shp/index.cfm](http://www.hud.gov/offices/cpd/homeless/programs/shp/index.cfm)

**DESCRIPTION:** The Supportive Housing Program (SHP) is designed to promote the development of supportive housing and supportive services to assist homeless persons in the transition from homelessness and to enabling them to live as independently as possible. Program funds may be used to provide the following:

- transitional housing within a 24-month period, as well as up to six months of follow-up services to former residents to assist their adjustment to independent living and
- supportive housing that is, or is part of, a particularly innovative project for, or alternative method of, meeting the immediate and long-term needs of homeless individuals and families.

Please see web site for additional descriptors.

**WHAT IT FUNDS:** Eight types of assistance may be provided for supportive housing: acquisition of structures for use as supportive housing or in providing supportive services; rehabilitation of structures for use as supportive housing or in providing supportive services; new construction of buildings for use as supportive housing under limited circumstances; leasing of structures for use as supportive housing or in providing supportive services; operating costs of supportive housing; costs of providing supportive services to homeless persons; costs of implementing and operating management information systems; and administrative costs not to exceed 5 percent of the SHP grant.

**RECIPIENT ELIGIBILITY:** States, local governments, other governmental entities, private nonprofit organizations, and community mental health associations that are public nonprofit organizations are all eligible.

### **Application**

**PROCEDURE:** The standard application forms as furnished by HUD must be used for this program. Any proposed project under this program must be consistent with the applicable HUD-approved consolidated plan and must be permissible under applicable zoning ordinances and regulations. HUD reviews applications, rates and ranks those meeting threshold requirements, and prepares a grant agreement for those applications selected.

**REPORTING REQUIREMENTS:** Each recipient must keep any records and make any reports as specified by HUD. Nonfederal entities that expend financial assistance of \$500,000 or more in federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in federal awards are exempt from federal audit requirements for the year.

**OTHER:** HUD imposes the following limitations:

- acquisition and/or rehabilitation construction grants for the Supportive Housing Program may not exceed \$200,000 (up to \$400,000 in high cost areas) and new construction may not exceed \$400,000,
- funding of up to 75 percent for operating costs,
- funding of up to 80 percent for supportive services and HMIS costs, and
- grants for leasing costs for up to 3 years.



FUNDING AMOUNT: **\$250,000-\$20 million**

**Name of Funding Source:** Municipal Funding  
**Source Organization/Agency:** All Points Capital Corporation

**Contact Information:** 275 Broadhollow Road  
Melville NY 11747  
631-531-2024  
Fax: 631-531-2701  
[www.allpointscapital.com](http://www.allpointscapital.com)

**DESCRIPTION:** All Points Capital's Public Finance Group is a direct lender/investor staffed by a specialized team of seven experienced public finance professionals with extensive backgrounds in tax-exempt leasing, public finance investment banking, and municipal credit.

**WHAT IT FUNDS:** Energy management, real property/facilities (construction and renovation), emergency services vehicles and equipment, general infrastructure (roads, water, sewer), public works vehicles and equipment, school buses/transit buses, medical equipment, and telecommunications equipment/technology/furniture, fixtures, and equipment.

**RECIPIENT ELIGIBILITY:** Special-purpose governmental entities, municipal/public hospitals, state governments and state agencies, public colleges and universities, 501(c)3 nonprofit organizations, and educational institutions are eligible. The entity must have borrowing authority.

#### **Application**

**PROCEDURE:** Applicants should consider standard loan procedures. This program is a participating lender in the New York Energy \$mart<sup>SM</sup> Loans program.

**DEADLINES AND PROCESSING:** Dependent on the proposal

**REPORTING REQUIREMENTS:** Progress reports on the project are required throughout until the date of completion.

**OTHER:** Borrowing costs depend on the credit quality of the municipality and revenue source for the project. The loan program offers new money and refinancing for commitments of 3 to 25 years. See also the New York Energy Research and Development Authority's New York Energy \$mart Loan Fund, which offers a subsidy for an interest rate reduction program.

## Additional Resources

*Searching for project funding is a dynamic process. New programs are becoming available over time, as others become obsolete. The resources listed in this publication are by no means a complete record of all funding sources, and the availability of funds may change over time. To assist readers with keeping up with these changes, here is a brief directory of places to search for new and updated technical and financial resources.*

**Catalog of Federal Domestic Assistance (CFDA)** ([www.cfda.gov](http://www.cfda.gov)): This catalog provides access to a database of all federal programs available to state and local governments, federally recognized tribal governments, territories of the United States, private and nonprofit organizations, specialized groups, and individuals. The database may be searched in a variety of ways to find financial and technical assistance programs that meet project criteria. Once a relevant assistance program is identified, follow the directions ascribed by that program. Each program is unique and has its own requirements and procedures. The office that administers the program can also be contacted to find out how to apply. In addition, this web site offers several aids to guide in writing a proposal to apply for assistance.

**Database of State Incentives for Renewables and Efficiency (DSIRE)** ([www.dsireusa.org](http://www.dsireusa.org)): This is a comprehensive source of information on state, local, utility, and federal incentives that promote renewable energy and energy efficiency. Information specific to New York State is available.

**Department of Energy (DOE)** ([www.doe.gov](http://www.doe.gov)): This site provides helpful resources for a number of programs. The Office of Energy Efficiency and Renewable Energy ([www.eere.energy.gov](http://www.eere.energy.gov)) is the primary source for DOE-sponsored technical information and resources for energy-efficient construction, with access to more than 600 links and 80,000 documents (including funding information). The EERE houses a number of green building programs and initiatives:

- Building Technologies Program offers a range of energy-related financial and technical assistance resources. ([www.eere.energy.gov/buildings](http://www.eere.energy.gov/buildings))
- Clean Cities Program supports local decisions to adopt practices that contribute to the reduction of petroleum consumption. ([www.eere.energy.gov/cleancities](http://www.eere.energy.gov/cleancities))
- High Performance Buildings features case histories and exemplary buildings. ([www.eere.energy.gov/buildings/highperformance](http://www.eere.energy.gov/buildings/highperformance))

**Energy Star program** ([www.energystar.gov](http://www.energystar.gov)): The Department of Energy's Energy Star program provides resources for technical assistance related to energy-saving initiatives in buildings, partner resources, and energy service and product providers. Organizations that participate in the Energy Star Buildings Program receive technical assistance, customized support services, public relations assistance, and access to a broad range of tools to reduce their building's total energy consumption.

**Environmental Finance Center (EFC)** ([www.maxwell.syr.edu/efc](http://www.maxwell.syr.edu/efc)): The EFC was established by the Environmental Protection Agency (EPA) as a provider of a large variety of environmental financing activities. The EFC, located at Syracuse University, serves programs throughout New York State. This resource provides useful links to funding sources from other agencies. In addition to funding information, the site also provides links to technical assistance providers for community development, capital budgeting, development and economic growth, and environmental programs.

**Environmental Grantmakers Association (EGA)** ([www.ega.org](http://www.ega.org)): Membership includes a variety of environmental funding institutions, with more than 250 foundations represented. The EGA helps member organizations become more effective environmental grantmakers through information sharing, collaboration, and networking.

**Environmental Protection Agency (EPA)** ([www.epa.gov](http://www.epa.gov)): The EPA maintains a variety of informational sites directed at sustainable practices concerning development and design, products, and materials. It houses a web site devoted to green buildings that provides useful references and a listing of federal, state, and private funding sources. ([www.epa.gov/greenbuilding](http://www.epa.gov/greenbuilding)).

**Forest Stewardship Council (FSC)** ([www.fscus.org](http://www.fscus.org)): The FSC has established a wood certification program for sustainable forestry practices. The site is a good resource for information on Leadership in Energy and Environmental Design (LEED)-approved green building materials ([www.fscus.org/green\\_building/](http://www.fscus.org/green_building/)) and contains helpful information about designing and building, and green products and markets.

**Funders Network for Smart Growth and Livable Communities:** This organization, composed of major grant-funding agencies, informs and strengthens philanthropic funders' individual and collective abilities to support and connect organizations working to enhance quality of life by improving livable communities and protecting natural resources. At least 30 major grant-making agencies are among the charter members. The list of these environmental and energy-oriented foundations appears on the network's web site ([www.fundersnetwork.org](http://www.fundersnetwork.org)).

**Grantmakers in Health (GIH)** ([www.gih.org](http://www.gih.org)): GIH is a nonprofit, educational organization dedicated to helping foundations and corporate giving programs improve the health of all people. Although their members are not fully active in green building, the health-funding community has considerable untapped potential in terms of finding funds for green initiatives relating to indoor air quality.

**Grants.gov** ([www.grants.gov](http://www.grants.gov)): Another valuable source for searching available government grant opportunities, this is one of the 24 federal cross-agency e-government initiatives focused on improving citizens' access to services via the Internet. It provides the ability to search through available grant opportunities and to sign up for e-mail notification of future grant opportunities. The site may be used as a complement to the CFDA to identify available grant opportunities, look up deadlines, and obtain application forms.

**New York Planning Federation (NYPF)** ([www.nypf.org](http://www.nypf.org)): This organization promotes sound planning, land use, and zoning practices in New York State to balance community growth and development with environmental conservation. The site offers valuable information on community programs, training opportunities, and funding information. The organization focuses largely on information about green building and sustainable design.

**New York State Environmental Facilities Corporation (NYEFC)** ([www.nysefc.org](http://www.nysefc.org)): The NYEFC provides low-cost financing and technical assistance to municipalities, businesses, and state agencies for environmental projects. The site offers a directory of assistance programs and information tailored to municipalities and local government. The EFC focuses largely on clean water and air and land acquisition programs.

**New York State Department of Environmental Conservation (DEC)** ([www.dec.ny.gov](http://www.dec.ny.gov)): The DEC offers a number of grants for municipalities and communities interested in environmental protection and improvement projects with a focus on land and water conservation, waste management, and environmental remediation. Information about green building and tax credits can be found in the "Energy and Climate" section of the web site, and grant opportunities are under the title "Publications, Forms, Maps" on the DEC homepage.

**New York State Energy Research and Development Authority (NYSERDA)** ([www.nyserda.org](http://www.nyserda.org)): NYSERDA maintains a web page for numerous funding opportunities related to energy issues for public and private entities. Descriptions, deadlines, and contact information for various programs are summarized for easy perusal. Additional resources can be found under "External Funding." This provides a link to a PDF file titled "External Sources for Financial, Technical, and Marketing Assistance: NY State, Federal, and Private Sources."

**New York State Quality Communities Clearinghouse** ([www.qualitycommunities.org](http://www.qualitycommunities.org)): This site is devoted to providing a wide range of information for local government community development grant and assistance programs in New York State, including economic development and planning, transportation, partnerships, conservation and the environment, revitalization, and technology.

**Northeast Sustainable Energy Association (NESEA)** ([www.nesea.org](http://www.nesea.org)): NESEA has programs for clean energy, green buildings, sustainable transportation, and K-12 education. The homepage contains value resources that are organized by user group, including a list for local governments and municipalities as well as school districts, homeowners, and private organizations.

**Office for Small Cities: Housing Trust Fund Corporation** ([www.nysmallcities.com](http://www.nysmallcities.com)): This site offers funding and information for community development block grants for cities, towns, and villages with populations under 50,000, or counties with area populations under 200,000, to revitalize neighborhoods, enhance housing and economic opportunities, and improve community facilities and services.

**Smart Communities Network** ([www.smartcommunities.ncat.org](http://www.smartcommunities.ncat.org)): The DOE's Smart Communities Network offers comprehensive resources related to sustainable development. Topics include green building, land use planning, sustainable business practices, and transportation. The web site provides access to a menu of energy-efficiency and renewable-energy programs and features tools for environmental and business excellence, such as an interactive checklist for environmental quality and efficiency, an eco-audit tool kit, and environmental indicator software for business performance.

**Sustainable Buildings Industry Council (SBIC)** ([www.sbicouncil.org](http://www.sbicouncil.org)): Considered the foremost resource for sustainable design and product information, SBIC provides professional training, consumer information, and energy analysis tools.

**U.S. Green Building Council (USGBC)** ([www.usgbc.org](http://www.usgbc.org)): The USGBC is a leader in the green building revolution and promotes the Leadership in Energy and Environmental Design (LEED) system for designing, refurbishing, and certifying old and new construction green buildings. The USGBC web site provides useful information and resources for the facilitation of green building research, including links to funding resources.

For a more in-depth look at the USGBC in the upstate and Central New York area, visit the New York Upstate Chapter ([www.greenupstateny.org](http://www.greenupstateny.org)). This site provides users with information related to events and resources specific to New York State.

**U.S. Department of Agriculture (USDA)** ([www.usda.gov](http://www.usda.gov)): The USDA provides a variety of financial and technical assistance programs for communities. Its rural development department ([www.rurdev.usda.gov](http://www.rurdev.usda.gov)) is an especially useful site for finding resources and information for small, low-income communities.

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