

St. Lawrence River Valley Redevelopment Agency

Community Development and Environmental Improvement Fund

Proposal Solicitation and Project Application – 2021

To Prospective Applicants:

This document explains the application process, evaluation criteria, and reporting requirements for St. Lawrence River Valley Redevelopment Agency (“RVRDA”) Community Development and Environmental Improvement Fund (“CD/EI Fund”).

Please read this document carefully. Return the completed and signed application and any additional supporting documentation, together with the application fee, to:

St. Lawrence County Industrial Development Agency
Local Development Corporation
Ernest J. LaBaff Industrial Building
Attention: Mrs. Kimberly Gilbert
19 Commerce Lane, Suite 1
Canton, New York 13617

If you have any questions regarding the application, please feel free to contact the St. Lawrence County Industrial Development Agency Local Development Corporation (the “Corporation”) at 315-379-9806 or kgilbert@slcida.com.

All applications are due by 3:00 P.M. on April 16, 2021.

**An application fee of \$100 made payable to the
“St. Lawrence County IDA - Local Development Corporation”
must accompany each application submitted.**

GENERAL INFORMATION AND PROJECT ELIGIBILITY

General Requirements

The governing agreements authorize the RVRDA Fund to commit and/or expend **up to but no more than \$100,000** through the CD/EI Fund in 2021. Please note that **nothing in this document should be construed to require that the full amount of the 2021 allocation must be committed or expended.**

Eligible applicants include communities and not-for-profit organizations that are planning to undertake a project that will provide a clear and demonstrable economic, environmental or community benefit to St. Lawrence County.

Applicants must principally be located in St. Lawrence County and the projects proposed must be located principally in St. Lawrence County.

There is no minimum application amount, but **the maximum that may be applied for is \$20,000** though the Board retains the discretion to make exceptions to this maximum if it determines that the circumstances so warrant. Multiple year applications will not be considered. Organizations may submit more than one application for CD/EI funding but not more than one application per organization will be funded in any one year. If an applicant chooses to submit multiple applications, each application must be accompanied by a separate, non-refundable \$100 application fee.

No applications proposing that the CD/EI Fund resources will be used to defray, in whole or in part, normal operating costs will be funded. For example, if an applicant proposed to reimburse itself for regular staff time spent administering a successful application, the compensation costs for such staff would be ineligible for payment from the award. Proposed in-kind match that can be categorized as operating costs will not be accepted. Operating costs are defined to include hiring consultants to do organizational and/or administrative work that normally would be done by internal organizational personnel.

Except in cases where very special and specifically defined emergency conditions are present, no request will be funded that does not have at least a 10% match – at least one-half of which must be new **cash** provided by the applicant. Such match can be provided by funds secured (or to be secured) from federal, state, local, or foundation grants and/or loans. Applications that propose more than the minimum in match will score more highly than those that do not. Any application that proposes to provide some of the required 10% (minimum) match for its CD/EI request in the form of in-kind contributions of equipment and personnel time and effort (e.g., municipal employees' labor or use of municipal equipment) **must** itemize and certify **in the application** the estimated hourly rates and estimated time that will be used to calculate the value of the in-kind work.

Applications that request retroactive funding for projects that have already been started or even completed will not be eligible for consideration.

Applications projecting completion within a year of award are expected and encouraged, **except in cases where the applicant proposes to use a CD/EI funding commitment to provide local match for grants to be secured from other sources** (e.g., federal or State or foundation programs) that the applicant proposes to apply for in the near future.

The CD/EI program encourages applicants to submit applications that propose to leverage such funds from federal, State, and regional programs, foundations, or other such external sources. In effect, all other things being equal, the CD/EI program will score more highly applications that propose to use CD/EI funding commitments to access outside funding sources. In special cases – provided details of the applicant’s plans are described in the application in detail – funds may be committed from the CD/EI Fund as match for applications for funds from such funding sources for up to two years from the date of the CD/EI award, provided that the applicant describes in detail in its application the grant it plans to apply for and the timelines for application and award. The two boards (see p. 4 below) are aware that the timeline of such funding programs could be quite extended. Therefore, the boards will consider making contingent CD/EI Fund commitments that match the funding source timelines. However, if an applicant’s effort to secure such funding proves unsuccessful, then the CD/EI Fund’s commitment will expire and the funds will be de-obligated and returned to the general RVRDA Fund.

CD/EI Fund awards will be disbursed only **after** the applicant has submitted acceptable evidence documenting that **all of the awarded funds and the match described in the application have actually been disbursed**. Though exceptions to allow progress payments may be permitted in special cases, the applicants in general must have the capacity to “bridge” all expenditures up front. By signing and submitting an application, an applicant is by definition certifying that it expects to and has (or will) make all necessary arrangements to fund **all** project expenses pending reimbursement.

In special cases, recognizing the difficulties small organizations sometimes have in forward funding project expenses, special arrangements may be made for the Corporation to pay CD/EI funds directly to vendors, provided that the awardee has convinced the award administrators that the project described in the application will be completed on time and in accordance with the program rules and the application’s project description.

Generally, and in all cases, those activities which most clearly support and advance community development, environmental improvement and employment opportunities will be given higher scores during the review process. Examples of such features that would help an applicant demonstrate such support and advancement are:

- Projects that clearly execute provisions of the County’s Comprehensive Economic Development Strategy or other current County or community development plans.
- Projects that directly promote local entrepreneurial and small business development.
- Projects that target funds to maintain or rehabilitate existing infrastructure that relates to economic development projects that service existing businesses/industries or new businesses.
- Projects that target funds to extend existing infrastructure related to economic development projects (such as infrastructure that services existing businesses, industry or new businesses).
- Projects that utilize Brownfield sites and/or underutilized/abandoned properties and buildings.
- Projects that promote building development or redevelopment for business use.
- Projects that support development of research/technology/IT facilities and businesses.
- Projects that directly support local energy production and/or utilization and/or energy conservation.

It is the applicant’s responsibility explicitly to describe how its proposed project will advance specific community development, environmental improvement and employment opportunities. A mere assertion that the project will (or should) provide such support will not be enough.

REVIEW PROCESS AND TIMELINE

Two separate governing boards must both approve all decisions on project funding. The RVRDA and the Corporation must both approve every project award. Both organizations' reviews shall be structured pursuant both to the process outlined in this document and to the June 2, 2010 CD/EI Fund creation documents.

When reviewing Community Development and Environmental Improvement Fund applications, the RVRDA and the Corporation will score higher those projects which they judge most clearly support and advance community development, environmental improvement, and employment opportunities.

The 2021 CD/EI timeline is as follows:

	Deadline
Final Approval of the 2021 CD/EI Solicitation	January 2021
Publication of the 2021 Solicitation	January 31, 2021
Deadline for Receipt of Applications	April 16, 2021
Anticipated Final Approval of Awards by the RVRDA & Corporation Boards	June 2021

Scoring

Baseline scoring categories and the maximum point assignments are as follows:

Scoring Category	Description	Max. Pts
Leverage of Funds	The investment of funds in this project will leverage additional funds from sources external to the CD/EI Fund and the applicant. (Both the absolute amount of leveraged funds and the amount of external funds leveraged compared with the project total will be taken into consideration.)	25 points
Employment Impact/Wage Impact	The project will create a specified number of Full-Time Equivalent (FTE) jobs and the jobs created will provide a specified level of high-wage/skill jobs with commensurate wage/benefit packages.	10 points
Market Based Impact	The project builds upon the competitive advantages and assets of the region. The project supports and advances innovation and productivity.	15 points
Environmental/Standard of Living Improvements	The project helps improve the environmental quality or standard of living within the community.	15 points
Economic Diversification	The project encourages growth of different, emerging clusters, introduces strategic industries, and encourages or assists in areas that experience significant growth.	15 points
Return on Investment	The project generates a return on public dollars by attracting (for example) tourism dollars, private investment, and/or high-wage/skill jobs with	10 points

	commensurate wage/benefit package.	
Support	The project is supported by local groups and/or supports an existing community or economic development plan or strategy.	10 points

In addition, applications may be awarded up to 30 bonus points to projects that, in the sole judgments of the boards, have special characteristics that contribute to community and economic development. Examples of such characteristics include, but are by no means limited to, that the applicant is proposing to use CD/EI funds to furnish the match of yet-to-be-awarded foundation, regional, State, or federal outside funding for a proposed project; or that an applicant is requesting CD/EI funds in the form of a loan, rather than a grant.

It must be understood that the point system described above is the starting point in the scoring system, and that the scoring results do not by themselves determine the final awards. In all cases the boards reserve the right to use their discretion to determine which projects they think most deserve funding, after they have considered all elements of a proposed project – not just those related to the seven scoring categories described above.

Other Relevant Information

Applications for projects that project a rapid commencement and completion will receive more points – with the exception of those projects that propose to use CD/EI Fund resources to help them secure additional outside funds for otherwise competitive projects. Otherwise, applicants are encouraged to submit applications for projects that can be completed before the end of 2021. Extensions to this deadline may be authorized by the boards upon review of applicants’ progress in meeting their contractual objectives and timelines.

The level and form of assistance provided by the CD/EI Fund will be determined on a case-by-case basis. The RVRDA and Corporation reserve the right to negotiate the final terms of any award – including its amount – with any and all applicants.

All funding is provided only on a reimbursement basis, after the project has been completed. (In special cases, progress payments are possible, but the applicant must request such payments in its application; in addition, such progress payments must be itemized in the Funding Agreement between the applicant and the Corporation. See next section.) The CD/EI Fund may provide loans, grants, combinations thereof, or other means of financial assistance. Funds may be used for a number of purposes, including real estate acquisition, building construction and rehabilitation, machinery and equipment, and working capital. However, proposals that request for funds for application preparation and submittal costs will not be reviewed, nor will proposals that request funds to defray normal operating costs.

As noted above, some projects may be structured through loans or other instruments that require repayment to the RVRDA and Corporation. Where applicable all such payments – including principal, interest, penalties, claw-backs and fees – will be returned to the RVRDA Fund unless otherwise approved by the Board and Corporation.

AWARD AND PROJECT STARTUP

The boards expect to make awards in April but reserve the right to delay making some or all the awards at their convenience. One factor that may prompt delay in making some or all the awards as scheduled is the boards' need to request additional information from applicants.

Once the two boards have announced the awards, the Corporation staff will issue a Notice of Award letter (the "Award Letter"), usually within 15 days of the date of the awards. Each applicant will have 30 days to return a fully executed copy of the Award Letter to the Corporation. Within 30-45 days of the Corporation's receipt of the executed Award Letter, the Corporation staff will forward a Grant or Loan Agreement (Funding Agreement) to the applicant for execution by the applicant. Each applicant will have 30 days to return a fully executed copy of the Funding Agreement to the Corporation. This latter agreement, together with the original application (which will be attached to it), will define the final project and its approved expenditure plan and timeline.

REPORTING REQUIREMENTS

Each entity receiving CD/EI funding shall provide, within thirty days after completion of each project, a statement by an authorized official certifying that the project is complete; that all funds were disbursed as authorized in the application and/or Funding Agreement; and that the "Certification of Completion of a Project" (see Exhibit 1) is true and complete. The entity will verify to the Corporation that the use of the funds was for the sole purpose of funding the costs and expenses of each project in the amounts set forth for such project in the approved spending plan.

Each entity receiving CD/EI funding shall be required to submit to the Corporation, at the Corporation's request and within the timeframe allotted, any financial and employment information required by the Corporation to fulfill Corporation's reporting requirements to New York State.

The Corporation will disburse any approved funds pursuant to its accounting policies and procedures. Determination of the method of payment shall be made by the RVRDA and Corporation on a case-by-case basis.

The Corporation reserves the right, upon reasonable notice, to conduct or cause to be conducted one or more audits regarding compliance with both the funding application and the Funding Agreement and especially with the approved spending plan that is part of the latter. Each entity, as part of its agreement to receive CD/EI funding, shall cooperate with the Corporation with respect to each such audit.

In the event that the funds are not used in accordance with the approved spending plan, the entity may be required to repay the amount of the misused funds. Said matter may be referred to the appropriate authorities for prosecution. The Corporation shall be entitled to exercise any other rights and seek any other remedies provided by law.

Corporation staff will use such documents as may be appropriate to create a legally binding and enforceable obligation on the applicant, including, where appropriate, security interest and claw-back provisions. Applicants must pay their own legal fees from non-project funds.

The applicant shall from time to time at a minimum provide the Corporation, at its request and as may be specified in the Funding Agreement, financial, employment, and any other information the Corporation deems necessary to ascertain compliance with the project application's goals.

By signing and submitting the project application, the applicant agrees to abide by the reporting requirements and the program rules and guidelines described above in this document.

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Application

This document is intended to provide an initial introduction to the project or project idea and may be followed up by requests for additional information.

Section I: Applicant Information

Applicant: _____

Applicant Location/Community: _____

Applicant Contact Name: _____

Applicant Contact Title: _____

Applicant Address: _____

Applicant Landline Phone: _____

Applicant Mobile Phone: _____

Applicant Email: _____

Project Request:

Total Estimated Project Cost: _____

Requested Amount: _____

Project Description:

Provide a Brief Project Description or Statement of the Proposed Project. (Use additional pages if necessary.)

Project Status / Readiness to Proceed:

- The project is ready for construction/implementation within 30 days from funding approval. This project will be completed or substantially completed within 12 months.
- This project can be ready for implementation between 31 and 90 days from funding approval. The project will be completed or substantially completed within 12 months.
- This project is in the planning stages. This project can be ready for implementation after 90 days from funding approval. It is probable that the project will be completed or substantially completed within 12 months.
- This project is in the early planning stages. It is very unlikely that the project will be completed or substantially completed within 12 months.
- This project provides local match for an external funding application whose timeline is described below. It is very unlikely that the project will be completed or substantially completed within 12 months.

The investment of funds in this project, leveraged with those of a private entity or other public entity, must achieve a significant public benefit that could not otherwise be achieved at the desired level without the funding requested. Summarize in detail the proposed project timeline in the space below. If the project falls into the last category directly above, specify the sources and amounts of external funding being sought or to be sought, together with a brief description of the status of the application or proposed application and the anticipated timeline for decision, together with the project's expected timeline after award. (Use additional pages if necessary.)

Briefly summarize the current status of the project. (What preliminary actions, if any, have already been taken; what studies have been completed; what impediments are in the way?) (Use additional pages if necessary.)

Section II: Project Financing and Employment Impacts

In the Sources of Funds table below please specify the sources and amounts of the all of the funds needed to execute the project. Also specify the status of the funding from each funding source (committed/to be secured). In the columns provided specify the sources, amounts, and statuses of the match proposed for the project (10% minimum, of which at least one-half (5% of the total project) must be new cash).

In the text box below please specify the bank involved (if any) and provide contact information for the bank officer who is handling the loan. If in-kind funding is being proposed, please specify in detail in the same text box its sources, amounts, and the rates/hours being used to calculate it. Please explain any special conditions related to the sources of funding in the same box.

Also, please specify whether all or part of the CD/EI funds requested will be in the form of a loan. If there is a loan involved, specify the loan terms being proposed. (Use more pages if necessary.)

Sources of Funds	Amount	% of Total	Match In-kind/Cash	Committed/To Be Secured
CD/EI Fund Financing	\$	%		
Bank Financing	\$	%		
Other:	\$	%		
Other:	\$	%		
Other:	\$	%		
Other:	\$	%		
Applicant Contribution	\$	%		
Applicant Contribution	\$	%		
Total	\$	%		

In the Uses of Funds table below please specify the uses of all funds required to implement the project. Please be as specific as possible. Explain any special conditions or variations from normal expectations in the text box below.

Uses of Funds	Amount	% of Total
Acquisition of Land	\$	
Building Purchase	\$	
Equipment Purchase	\$	
Renovations	\$	
Inventory	\$	
Purchase of Furniture or Fixtures	\$	
Other:	\$	
Other:	\$	
Other:	\$	
Other:	\$	
Total	\$	

Collateral:

If the applicant is proposing that all or part of its CD/EI funding be in the form of a loan, provide a summary of all available collateral on the chart below.

	Present Market Value	Present Lien Balance	Cost Less Depreciation
Land and Building	\$	\$	\$
Inventory	\$	\$	\$
Accounts Receivable	\$	\$	\$
Machinery/Equipment	\$	\$	\$
Furniture/Fixtures	\$	\$	\$
Other:	\$	\$	\$
Total Collateral	\$	\$	\$

Employment Impact / Wage Impact Effects:

The applicant must submit an employment plan and show, for each major category, current employment and projected employment for three years following completion of the project. Use the form below.

1. Employment Comparison (Pre-Project to Post-Project)

(Non-construction jobs relating directly to this project)

	Pre-Project Employment Level (St. Lawrence County jobs)		Post-Project Employment Levels (St. Lawrence County jobs)			
	Base Annual Salary/Wage (Pre-Project)	Existing # of Employees (Pre-Project)	New Jobs <u>Added</u>	New Jobs <u>Added</u>	New Jobs <u>Added</u>	Total New Jobs <u>Added</u>
			1st Year	2nd Year	3rd Year	
Full Time	\$					
Part Time	\$					
Seasonal	\$					
Total	\$					

Please describe and quantify any anticipated indirect, construction or other employment creation as a result of this project:

Section III: Other Critical Project Information

Market-Based Project:

Explain how this project builds upon the competitive advantages and assets of this region. If not applicable, mark "N/A".

Environmental Improvements/Standard of Living:

Explain how this project supports and advances environmental improvement, and/or helps improve the standard of living within this community. If not applicable, mark "N/A".

Economic Diversification:

Explain how this project encourages the growth of new or emerging business clusters, introduces or supports strategic industries, and/or encourages or assists the community's efforts to foster significant growth. If not applicable, mark "N/A".

Return on Investment:

Projects can generate a return on public dollars by, for example, attracting tourism dollars, private investment and/or high-wage/skill jobs with a commensurate wage-benefit package. If applicable, explain and calculate how this project will maximize the return on investment from the requested funds. If not applicable, mark "N/A".

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Support:

Explain how this project is supported by local groups, and/or supports an existing community or economic development plan or strategy. Attach letters of support if available. If not applicable, mark "N/A".

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Project Comments:

Use this space for any additional comments you would like to make about this project. Keep in mind that the two governing boards have significant discretion to bring considerations other than the seven scoring criteria described in the Scoring section in the Instructions.

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Section IV: State Environmental Quality Review (“SEQR”) and Certification

ENVIRONMENTAL IMPACT

Is the project subject to SEQR?

Yes No

If a SEQR is required, has the applicant organization completed a SEQR application?

Yes No If yes, date of application _____

Signature of Organization Official completing the application _____

CERTIFICATION

By signing below, the applicant certifies the following:

- All information in this application is true and complete, and the applicant understands that incomplete applications may not receive full consideration.
- The applicant will comply with §112 and 113 of Vol.13, CFR, prohibiting discrimination on the grounds of race, color, sex, religion, marital status, handicap, age or national origin.
- The applicant (and any subsequent owners, as applicable) will comply with all requests for reports and access to bookkeeping records, as appropriate. In addition, the applicant agrees to comply with the reporting requirements outlined in this application package (page 3).

Authorized Signature of Applicant

Date of Application

EXHIBIT 1
ST. LAWRENCE RIVER VALLEY REDEVELOPMENT AGENCY
COMMUNITY DEVELOPMENT/ENVIRONMENTAL IMPROVEMENT FUND
 Certification of Completion of a Project

Project Name	Funds Awarded	Funds Disbursed	Funds Remaining	Project Completion Date

Comments:

In the event that CD/EI funds have not been used in accordance with the approved spending plan, the entity may be required to repay the amount of the misused funds. Said matter may be referred to the appropriate authorities for prosecution. The St. Lawrence County Industrial Development Agency Local Development Corporation shall be entitled to exercise any other rights and seek any other remedies provided by law.

I hereby certify that (i) the project noted above is complete, (ii) all funds for this project were disbursed, as approved, and (iii) this report is true and complete.

Signature

Printed Name and Title

Date

An updated report must be filed no more than 30 days after the completion of each project

Submit reports to: St. Lawrence County Industrial Development Agency Local Development Corporation
 Attention: Mrs. Kimberly Gilbert
 Ernest J. LaBaff Industrial Building
 19 Commerce Lane, Suite 1
 Canton, New York 13617