

2022 CAPITAL GUIDELINES

1. PROJECTS MUST PROVIDE A PUBLIC BENEFIT.

2. ELIGIBLE PURPOSES.

Include economic development, athletic, arts, childcare, community redevelopment, cultural, education, parks and recreation, housing, port development, transportation, workforce training and employment development, or other purposes related to the improvement of communities within the State.

3. ELIGIBLE EXPENSES FOR CAPITAL GRANTS.

- The acquisition, construction, reconstruction, rehabilitation, demolition or replacement of a fixed asset or assets;
- The major repair or renovation of a fixed asset, or assets which materially extend its useful life or materially improves or increases its capacity; or
- The planning or design of the acquisition, construction, demolition, replacement, major repair or renovation of a fixed asset or assets, including the preparation and review of plans and specifications including engineering and other services, field services and related sub-surface investigations.

4. FUNDING MUST BE FOR AN ELIGIBLE CAPITAL PURPOSE.

Funds must be used for an eligible capital purpose as defined under the guidelines. Examples of eligible costs are stated above (see #3). Where the capital funding is derived from bond proceeds, the improvement and/or asset must have a life that exceeds the maturity date of the issued bonds.

5. SITE CONTROL.

The grant recipient must demonstrate that they either hold or will hold title to the capital asset or have entered into a long-term lease with the respective owner for a period that exceeds the maturity date of the issued bonds.

6. PROJECT SOLVENCY.

- Projects must have secured or must be able to demonstrate a reasonable expectation of securing total funding for completion.
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- The project must have an identified, recurring source of revenue which provides a reasonable expectation that ongoing operations and maintenance can be supported.
- The project must have received all necessary regulatory approvals and secured all necessary permits, or must be able to demonstrate a reasonable expectation that such approvals and permits will be obtained (i.e., State Environmental Quality Review Act, building permits, zoning variances).

7. FUNDS ARE NOT TO BE USED FOR RETROACTIVE FINANCING.

Funds are not to be used for projects that are already completed at the time of application. Furthermore, it is strongly recommended that grantees do not start any work or make any project expenditures prior to the date of the preliminary application in order to be fully eligible for reimbursement from the State.

8. BONDED PROJECTS MUST BE ELIGIBLE FOR TAX-EXEMPT FINANCING UNDER THE PROVISIONS OF THE UNITED STATES INTERNAL REVENUE CODE.

9. FUNDS ARE NOT TO BE SUBALLOCATED FROM THE DESIGNATED PROJECT TO OTHER RELATED OR UNRELATED PROJECTS, UNLESS THE SCOPE OF THE PROJECT IS IDENTIFIED.

10. GRANTS MAY ONLY BE DESIGNATED FOR NOT-FOR-PROFIT ORGANIZATIONS, MUNICIPALITIES OR THEIR AFFILIATED DEPARTMENTS/AGENCIES, UNIVERSITIES, COLLEGES, SCHOOL DISTRICTS, OR LOCAL DEVELOPMENT CORPORATIONS.

11. BEGINNING IN 2013, THE STATE OF NEW YORK IMPLEMENTED A NEW STATEWIDE PREQUALIFICATION PROCESS DESIGNED TO FACILITATE PROMPT CONTRACTING FOR NOT-FOR-PROFIT VENDORS. ALL NON-PROFIT ORGANIZATIONS MUST MEET THIS REQUIREMENT TO BECOME ELIGIBLE FOR ANY STATE GRANT. MUNICIPALITIES AND PUBLIC SCHOOL DISTRICTS ARE EXEMPT FROM THIS REQUIREMENT. FOR ADDITIONAL INFORMATION, PLEASE VISIT WWW.GRANTSREFORM.NY.GOV/GRANTEES.

12. GRANTS ARE SUBJECT TO THE ESTABLISHED ELIGIBILITY CRITERIA OF THE RESPECTIVE CAPITAL PROGRAM FROM WHICH THE PROJECT WILL BE FUNDED. IN ADDITION, CAPITAL COMMITMENTS MUST ADHERE TO THE FOLLOWING MINIMUM FUNDING RECOMMENDATION THRESHOLDS:

- Three of the capital funding recommendations must be at least \$250,000; and
- The remaining capital funding recommendations must be at least \$125,000.
- Members may pool their capital resources to fund the same project, provided that the total of the combined Member resources meets the minimum thresholds listed above.

NEW CAPITAL PROGRAM FUNDING GUIDELINES FOR NON-SAM FUNDED PROJECTS: ANTICIPATED USEFUL LIFE

*These are general examples to help determine useful life during the grant award process.
DASNY bond and tax counsel will make the final determination as to useful life.*

PROJECTS WITH A USEFUL LIFE OF GREATER THAN TEN YEARS - Must be in the possession of the grantee for at least a term of 10 years or more – ideally throughout the useful life:

Construction:

- Architectural, Engineering & Design
- New facilities
- Expansion
- Reconstruction, Renovation & Rehabilitation:
 - Demolition
 - Windows & Doors
 - Siding
 - Roofs
 - Lighting
 - Plumbing
 - Electrical
- Paving (Initial & repaving surfaces, **not** resurfacing)

Road & Bridge Construction

Water & Sewer Infrastructure

Flood Mitigations and Shoreline Stabilization

Landscaping – Hardscaping, i.e. retaining walls & walkways

Real Property Acquisition

Fixed Equipment:

- HVAC
- Generators
- Appliances
- Durable Medical Equipment
- Playground Infrastructure

Vehicles:

- Heavy Duty Construction Vehicles
- Heavy Duty Road Maintenance Vehicles
- Heavy Duty Emergency Vehicles
- Garbage and Recycling Vehicles

PROJECTS WITH A USEFUL LIFE OF LESS THAN TEN YEARS - Must be in possession of grantee for full extent of useful life:

Technology

- Computers
- Laptops
- Tablets
- Servers
- Monitors
- Whiteboards
- Pagers
- Radios
- Cameras:
 - License Plate Readers
 - Dash Cameras
 - Security Cameras
- EKG Monitors
- Defibrillators

Equipment:

- Turnout Gear
- Stretchers
- Classroom
- Laboratory

Vehicles:

- Light Duty Emergency (cars, trucks, SUVs & Inflatable Boats)
- ATVs

Some Projects Not Eligible for Capital funding include:

- Repairs & Maintenance
- Administrative Costs
- Software not pre-installed on equipment
- Cloud based systems or programs
- Training more than the 'Trainier'
- Feasibility Studies
- Extended Warranties
- Painting, Carpeting & Landscaping – unless within the finishing phase of construction or reconstruction project

