



***New York State
Departments of State and Environmental Conservation
Brownfield Opportunity Areas Program Application***

– Applications will be accepted on a continuous basis --

This application consists of: Parts A - H (pages 1- 7); and How to Fill Out the Application (pages 8 - 10).

Part A.1. - BOA STEP (Check Only One)	
<input type="checkbox"/> Step 1: PRE-NOMINATION STUDY	
<input type="checkbox"/> Step 2: NOMINATION - A Pre-Nomination Study prepared in accordance with the Guidance for Applicants must be included as an attachment, if applicant is entering at Step 2.	
<input type="checkbox"/> Step 3: IMPLEMENTATION STRATEGY (may include SITE ASSESSMENT) - If site assessment funding is being requested, a Step 3 Application Site Assessment Supplement for each site assessment must be included as an attachment.	
Part A.2. - BOA NAME, LOCATION and SIZE	
1. BOA Name:	2. County(ies):
3. NYS Senate District Number(s): NYS Assembly District Number(s):	4. Census Tract Number(s):
5. BOA size in acres: _____ (recommend: 50 - 500 acres)	6. DEC BOA No. _____ (existing contracts only)
7. USGS 7.5 Minute Quadrangle Map (1 inch represents 2000 feet) showing the BOA location must be attached.	
Part B.1. - APPLICANT INFORMATION	
1. Applicant Name(s): Fiscal Administrator and Point of Contact: _____ (for single or joint applications)	
2. Type of Applicant(s): <input type="checkbox"/> Municipality <input type="checkbox"/> Community Based Organization <input type="checkbox"/> New York City Community Board <input type="checkbox"/> Joint Application (including two or more of the above)	
3. Applicant's Transmittal Letter - Application package must include transmittal letter addressed to the New York State Secretary of State and Commissioner of the Department of Environmental Conservation indicating the applicant's intent to participate in the NYS Brownfield Opportunity Areas Program.	
4. Notice of Intent to Participate - Application package must include a copy of a notice from a local or regional newspaper, dated no later than the certification date of the application, that indicates: 1) the applicant's intent to apply for BOA Program funds; and 2) the availability of such application for review for a period of 30 days from the date of the notice.	
5. Public Meeting Summary - A Step 2 application must include a description of a public meeting held on the draft application. Attach summary from a public meeting conducted on the draft Step 2 application. It should include: the date, time, and location; attendees; and a summary of substantive comments.	

Part B.2. - FOR APPLICANTS THAT ARE MUNICIPALITIES
Each municipality, whether sole or a joint applicant, must complete this Part.

1. Name of Municipality:

2. Name and Title of Municipality's Authorized Representative:

3. Mailing Address:

4. City/Town:

5. Zip Code:

6. Federal Tax Identification Number:

7. Phone:

8. Fax:

9. E-mail:

Part B.3. - MUNICIPAL AUTHORIZATION AND CERTIFICATION
Each municipality, whether sole or a joint applicant, must complete this Part.

New York State municipalities are defined as cities, towns, villages, counties, local public authorities or public benefit corporations, school districts, improvement districts, and Indian nations or tribes. Municipal applicants must clearly demonstrate that their respective chief executive official and governing or organizational body is fully aware of the Brownfield Opportunity Areas grant application, and has authorized the submission of the application through one or more of the methods listed below. Items 1 and 2 are required for all applicants except cities, villages, and towns. Item 3 is required for all applicants.

Place a check in the box for those items that are included with the application.

- 1. A statement of support from the chief elected official representing the city, town, or village within which the proposed Brownfield Opportunity Area is located is required, and is included.
- 2. The entity's charter, by-laws, or other governing instrument must clearly indicate the applicant's authority to apply for and accept grants. A copy of the provision from the applicant's appropriate document that substantiates its authority is required and is included. For Indian nations or tribes, documentation of authority from the appropriate governing tribal authority is required and included.
- 3. A completed BOA standard resolution is required and is included. It identifies the applicant's authorized representative by title, commitment to complete Step and fund applicant's share. (Form available on DOS website at http://www.nyswaterfronts.com/BOA_package.asp)

The undersigned on behalf of the municipality does hereby certify that:

- All statements made for the purpose of obtaining state assistance for the proposed Step either are set out in full in this application, or are set out in full in the documents attached to this application and incorporated by reference, and are true to the best of my knowledge and belief. False statements made herein are punishable as a Class A misdemeanor pursuant to Section 210.45 of the Penal law.
- The individual whose signature appears hereon is the municipality's chief executive officer or authorized representative and is authorized to sign this application for the municipality.

Authorized Representative

Department/Entity: _____

Print name: _____

Title: _____

Signature: _____

Date: _____

Part B.4. - FOR APPLICANTS THAT ARE COMMUNITY BOARDS
Each community board, whether sole or a joint applicant, must complete this Part.

1. Name of Community Board:		
2. Name and Title of Community Board's Authorized Representative:		
3. Mailing Address:		
4. City/Town:	5. Zip Code:	
6. Federal Tax Identification Number:		
7. Phone:	8. Fax:	9. E-mail:

Part B.5 - COMMUNITY BOARD AUTHORIZATION AND CERTIFICATION
Each community board, whether sole or joint applicant, must complete this Part.

Community Boards are defined as New York City Community Boards as set forth in Section 2800 of the New York City Charter. Community Boards must clearly demonstrate that their respective chief executive official and governing or organizational body is fully aware of the Brownfield Opportunity Areas grant application, and has authorized the submission of the application as indicated below:

Place a check in the box for those items that are included with the application.

- 1. A statement of support from the chief elected official representing the City of New York is required and is included.
- 2. A completed BOA standard resolution is required and is included. It identifies the applicant's authorized representative by title, commitment to complete Step and fund applicant's share. (Form available on DOS website at http://www.nyswaterfronts.com/BOA_package.asp)

The undersigned on behalf of the community board does hereby certify that:

- All statements made for the purpose of obtaining state assistance for the proposed Step either are set out in full in this application, or are set out in full in the documents attached to this application and incorporated by reference, and are true to the best of my knowledge and belief. False statements made herein are punishable as a Class A misdemeanor pursuant to Section 210.45 of the Penal law.
- The individual whose signature appears hereon is the community board's chief executive officer or authorized representative and is authorized to sign this application for the community board.

Authorized Representative Department/Entity: _____

Print name: _____ Title: _____

Signature: _____ Date: _____

Part B.6 - FOR APPLICANTS THAT ARE COMMUNITY BASED ORGANIZATIONS			
Each community based organization, whether sole or a joint applicant, must complete this Part.			
1. Name of Community Based Organization (CBO):			
2. Name and Title of CBO Authorized Representative:			
3. Mailing address:			
4. City/Town:		5. Zip Code:	
6. Federal Tax Identification Number:		7. Charities Registration Number:	
8. Phone:	9. Fax:	10. E-mail:	
Part B.7. - COMMUNITY BASED ORGANIZATION (CBO) AUTHORIZATION and CERTIFICATION			
Each community based organization, whether sole or a joint applicant, must complete this Part.			
<p>Community based organizations (CBO) must clearly demonstrate that their respective chief executive official and governing or organizational body is fully aware of the Brownfield Opportunity Areas (BOA) grant application and has authorized the submission of the application. All items below are required except 3, if the municipality is also a joint applicant.</p> <p>Place a check in the box for the items below which must be included with the application.</p> <ul style="list-style-type: none"> <input type="checkbox"/> 1. BOA standard resolution identifying the applicant’s authorized representative by title, and commitment to complete Step and fund applicant’s share. (Form available on DOS website at http://www.nyswaterfronts.com/BOA_package.asp) <input type="checkbox"/> 2. A copy of the CBO’s by-laws and mission statement indicating that the CBO’s stated mission is to promote community revitalization (reuse of brownfield sites) within the geographic area in which the CBO is located. <input type="checkbox"/> 3. A statement of support from the chief elected official representing the city, town, or village within which the proposed BOA is located, if municipality is not a joint applicant. <input type="checkbox"/> 4. Proof of up-to-date filings with the Attorney General’s Charities Bureau, including all required periodic or annual written reports. <input type="checkbox"/> 5. Appropriate documentation demonstrating that the CBO represents a community with a demonstrated financial need as indicated by high unemployment, low resident incomes, depressed property values, or high commercial vacancy rates. <input type="checkbox"/> 6. Appropriate documentation demonstrating that the CBO is a not-for-profit corporation, incorporated and exempt from taxation under Section 501 (c) (3) of the Internal Revenue Code, at time of application through completion of the Step applied for. CBO must also be listed on the appropriate IRS website. <input type="checkbox"/> 7. Appropriate documentation demonstrating that the CBO has 25 percent or more of its board of directors residing in the BOA community. <input type="checkbox"/> 8. Not more than 25 percent of the CBO’s members, officers, or directors are or were employed by or receiving compensation from any person responsible for a site under Titles 13 or 14 of Article 27 of the Environmental Conservation Law, Article 12 of the Navigation Law or under applicable principles of statutory or common law liability. Appropriate documentation that demonstrates compliance is included. <p>The undersigned on behalf of the CBO does hereby certify that:</p> <ul style="list-style-type: none"> • All statements made for the purpose of obtaining state assistance for the Step either are set out in full in this application, or are set out in full in the documents attached to this application and incorporated by reference, and are true to the best of my knowledge and belief. False statements made herein are punishable as a Class A misdemeanor pursuant to Section 210.45 of the Penal law. • The individual whose signature appears hereon is the CBO’s chief executive officer or authorized representative and is authorized to sign this application for the CBO. <p><u>Authorized Representative</u> Department/Entity: _____</p> <p>Print Name _____ Title: _____</p> <p>Signature: _____ Date: _____</p>			

Part B.8. - DESCRIPTIVE PROFILE of COMMUNITY ORGANIZATION

Each community based organization and community board, whether sole or a joint applicant, must complete this Part.

Include, as an attachment, a response that addresses the four items below.

1. **RELATIONSHIP BETWEEN THE COMMUNITY ORGANIZATION AND MUNICIPALITY** - Describe the relationship between the organization and the municipality (city, town, or village) within which the proposed Brownfield Opportunity Area is located; the organization’s experience in working with the municipality; and the municipality's support for the project.
2. **RELATIONSHIP TO THE BOA AREA** - Describe the relationship between the organization and the BOA area.
3. **EXPERIENCE IN COMPLETING PLANNING PROJECTS** - Describe the organization’s experience in conducting and completing community based planning projects.
4. **FINANCIAL AND INSTITUTIONAL ACCOUNTABILITY** - Describe how the organization is held, or holds itself, accountable for its financial and institutional decisions and practices. Describe how the organization will handle the cash flow issues associated with the BOA Program being a reimbursement program (i.e. applicants are reimbursed for 90% of costs incurred in accordance with BOA Program Record Keeping and Payment Guide available on DOS website at http://www.nyswaterfronts.com/BOA_package.asp).

Part C. - PROJECT DESCRIPTION AND OTHER CRITERIA

Include, as an attachment, a response that addresses the four items below.

1. **SUMMARY PROJECT DESCRIPTION** - Describe the proposed project in four sentences or less. Include primary objectives to be achieved, issues or problems to be addressed, and anticipated community benefits in terms of economic and environmental improvements and community revitalization. Present your project description in the following format:

The [applicant name] intends to complete a [Pre-Nomination Study, Nomination, or Implementation Strategy] for an approximate ___ acre area characterized with ___ potential brownfield sites that are located at [name of community, neighborhood or geographic area]. The primary community revitalization objectives to be achieved by this project include: description of economic and environmental objectives. Anticipated community benefits resulting from this project include ___.
2. **IN-DEPTH PROJECT DESCRIPTION** - Provide a clear and thorough description of the proposed project and describe how the project meets the Application Evaluation Criteria and Scoring System described in the Guidance for Applicants.
3. **COMPLEMENTARY PROJECTS** - Describe other public or private planning, development initiatives and projects proposed or in progress in or adjacent to the proposed Brownfield Opportunity Area, and how the project proposed for funding, as represented by this application, complements related activities funded or proposed for funding under other local, state, or federal programs.
4. **INVOLVEMENT BY THE PUBLIC AND GOVERNMENT AGENCIES** - Describe the process, manner and extent to which the public and government agencies with jurisdiction over relevant issues have been or will be involved in the process to establish the proposed Brownfield Opportunity Area.

<p>Part D. - LEVEL of SUPPORT - (Fill out for Step 2 only.)</p>
<p>Include a response as an attachment.</p> <p>Describe the level of support from owners of vacant, underutilized and brownfield sites, residents of the BOA, and local and state officials representing the BOA. Letters of support do not substitute for a summary description.</p>
<p>Part E. - APPLICANT’S PROJECT PERSONNEL and MANAGEMENT TEAM</p>
<p>Include a response as an attachment.</p> <p>Identify the applicant’s employees that are key personnel that will oversee the project and manage the grant. Briefly describe their qualifications and relevant experiences.</p>
<p>Part F. - PROJECT SCOPE of WORK and SCHEDULE</p>
<p>Include a response as an attachment.</p> <p>Describe the project’s primary tasks and provide a schedule with estimated time-frames (using months) to complete the project.</p>
<p>Part G. - APPLICANT SHARE</p>
<p>Include a response as an attachment.</p> <p>APPLICANT SHARE - Explain how the applicant will fund its 10% share of eligible costs incurred identified in Part H. Applicant should indicate revenue sources that will be used. Describe all revenue sources, other than the BOA grant, that are committed to the project.</p>
<p>Part H. - PROJECT BUDGET</p>
<p>The budget will be evaluated and scored based on the Application Evaluation Criteria and Scoring System in the Guidance for Applicant’s.</p> <p>By submission of this application, the applicant certifies that all components of the requested Total Eligible Project Budget are eligible, reasonable and relevant for the conduct of the proposed project and that prudent analysis has been undertaken, as described herein, to insure that all costs are consistent with current prevailing costs for such goods and services in the geographic area benefitting from the project. Describe how it was determined that the relevant costs were reasonable (i.e., quotes, historic pricing, etc.).</p>

Budget Category Provide, as an attachment, sufficient details to justify the estimated budget. See Budget Requirements for details.	Column 1 Planning Budget for Steps 1, 2, or 3	Column 2 Site Assessment Budget for Step 3 See Note 1	Total Project Budget Columns 1 &2
1. Personal Services a. Salaries and Wages b. Fringe Benefits <p style="text-align: right;"><i>Subtotal</i></p>	\$ _____ \$ _____ \$ _____	\$ _____ \$ _____ \$ _____	\$ _____ \$ _____ \$ _____
2. Nonpersonal Services a. Supplies and Materials b. Equipment c. Travel d. Contractual e. Other Note: Indirect costs of the Applicant are not eligible costs. <p style="text-align: right;"><i>Subtotal</i></p>	\$ _____ \$ _____ \$ _____ \$ _____ \$ _____ \$ _____ \$ _____	\$ _____ \$ _____ \$ _____ \$ _____ \$ _____ \$ _____ \$ _____	\$ _____ \$ _____ \$ _____ \$ _____ \$ _____ \$ _____ \$ _____
Total Eligible Project Budget	\$ _____	\$ _____	\$ _____
State Assistance Amount Requested (90% of Total Eligible Project Budget):			\$ _____
Required Applicant Share (10 % of Total Eligible Project Budget):			\$ _____
Note 1: This column must include the total estimated budget to complete all the site assessments requested in this application. A Step 3 Application Site Assessment Supplement must be completed for each site and included in the Step 3 Application package.			

Application Format and Submission

Application Format Requirements and Number of Copies: Applicants must submit 6 copies of their grant application (3 paper copies including one signed original; and 3 compact disks, each disk shall contain one copy of the application in Adobe Acrobat Portable Document Format). See Guidance for Applicants for more detail.

Application Submission: Applications will be accepted on a continuous basis and must be sent to the:

BROWNFIELD OPPORTUNITY AREAS PROGRAM
 Bureau of Fiscal Management, 11th Floor, Suite 1110
 New York State Department of State
 99 Washington Avenue
 Albany, New York 12231-0001

Facsimile and e-mail transmissions will not be accepted.

HOW to FILL OUT the APPLICATION

Instructions:

Please read and then refer to the Guidance for Applicants when completing the Application. When including attachments indicate the appropriate Part of the Application it relates to. For purposes of the Application, “project” refers to the BOA Step of the application. This application consists of: Parts A - H (pages 1- 7); and How to Fill Out the Application (pages 8 - 9). Complete all applicable Parts of the application. If any information is missing, the application will be deemed incomplete and may not be considered for funding.

<i>Application Part</i>	<i>Comment</i>	<i>List of Attachments</i>
Part A.1. - BOA Step	Place a check next to the BOA Step the applicant is applying for.	[] Pre-Nomination Study if entering program at Step 2 application.
Part A.2. (1-6) - BOA Name, Location and Size	Self-explanatory. Identify the counties, districts and tracts located wholly or partially within the BOA boundary. DEC BOA Number is required if previous Step has been awarded and number assigned. Recommended BOA size 50 - 500 acres.	[] USGS 7.5 Minute Quadrangle Map.
Part B.1. (1-5) - Applicant Information	Fill in names of all the applicants. Indicate the type of applicants. Identify which entity is the point of contact and fiscal administrator for the application and State Assistance Contract.	[] Applicant’s transmittal letter. [] Notice of intent to participate. [] Public meeting summary for Step 2.
Part B.2. (1-9) - Municipal Applicants	Self-explanatory. Each municipality, whether sole or joint applicant, must complete.	None required.
Part B.3. - Municipal Authorization and Certification	Self-explanatory. Each municipality, whether sole or joint applicant, must complete.	[] Statement of support. [] Documentation of authority. [] BOA standard resolution.
Part B.4. (1-9) - Community Board Applicants	Self-explanatory. Each community board, whether sole or joint applicant, must complete.	None required.
Part B.5. - Community Board Authorization and Certification	Self-explanatory. Each community board, whether sole or joint applicant, must complete. Community Boards must be in existence the date the application is signed.	[] Statement of support. [] BOA standard resolution.
Part B.6. (1-9) - CBO Applicants	Self-explanatory. Each community based organization, whether sole or joint applicant, must complete.	None required.
Part B.7. - CBO Authorization and Certification	Self-explanatory. Each community based organizations, whether sole or joint applicant, must complete. Must be 501(c) (3) at the time application is signed.	[] BOA standard resolution [] CBO by-laws/mission statement [] Statement of support [] Proof of filing [] Proof of financial need [] Proof of 501(c)(3) status [] Proof of residency [] Certification of no conflict

HOW to FILL OUT the APPLICATION continued

Application Part	Comment	List of Attachments
Part B.8. (1-4) Descriptive Profile of Community Organization	A written response that addresses the four issues must be provided. Community organizations, whether sole or joint applicant, must complete.	<input type="checkbox"/> Descriptive profile.
Part C (1-4) - Project Description and Other Criteria	A written response that addresses the four issues must be provided. Prior to filling out this part, review Section 11 Application Evaluation Criteria and Scoring System in the Guidance for Applicants.	<input type="checkbox"/> Project description and other criteria response.
Part D - Level of Support	Self-explanatory.	<input type="checkbox"/> Description of project support.
Part E - Applicant's Project Personnel/Management Team	Self-explanatory.	<input type="checkbox"/> Identification of applicant's key personnel and qualification
Part F - Project Scope of Work and Schedule	Self-explanatory.	<input type="checkbox"/> Project scope of work and schedule
Part G - Applicant's Share	Self-explanatory.	<input type="checkbox"/> Explanation of applicant's share
Part H - Project Budget	Self explanatory. List the estimated project budgets for Personal Services and Nonpersonal Services; the amount of state assistance requested; and required applicant share. Provide sufficient details to justify the estimated budget.	<input type="checkbox"/> Project budget <input type="checkbox"/> Description of reasonableness of cost.

HOW to FILL OUT the APPLICATION continued**Budget Guidance and Requirements**

Include, as an attachment, the information required below for each budget category. Include the total budget for each category in column 1 and 2 as appropriate.

1. Personal Services for Applicant's Employees Only
 - a. Salaries or Wages - Indicate the title, affiliation, services to be performed, rate (hourly or salary), estimated number of hours and total budget (hourly rate x est. number of hours) for each title and total Personal Services budget. Relate services to be provided to scope of work.
 - b. Fringe Benefits - Indicate the fringe benefits rate and what is included in the rate. Show calculation (rate x total PS) of fringe benefit budget.
2. Nonpersonal Services
 - a. Supplies and Materials - Describe the type of supplies and materials to be purchased, estimated budget and how they relate to the scope of work.
 - b. Equipment Rental - Describe the type of equipment to be rented, estimated budget and how it relates to the scope of work. Equipment must be essential and dedicated to the BOA project.
 - c. Travel - Describe the anticipated project related travel, including travel for program related training and estimated budget.
 - d. Contractual - Describe the type of services to be procured (e.g., planning, urban design, environmental, architectural, landscape architectural, economic, economic development, real estate, engineering, community outreach, legal, other), type of contract and the estimated budget. Indicate how the estimated budget was determined reasonable and how it relates to the scope of work.
 - e. Other - Include an estimated budget for costs not included in other budget categories. Provide sufficient details to justify the estimated budget and its relationship to the scope of work.