GUIDELINES AND BID INSTRUCTIONS

New York State

Department of Environmental Conservation

Division of Water

Harmful Algal Bloom Research Grant Program

NYS SFS Grants Management Bid Event ID No.:

HAB 2026

Amendment 1 - 5/26/2026

Apply through the SFS Vendor Portal

Bid Due Date: September 15th 2026 3:00 pm ET

Timetable of Key Events:

Bid Period Begins	May 7th, 2026
Webinar	May 27th 2026 2:00 pm ET
Question & Answer Period Ends	August 14th 2026
Bids Due	September 15th 2026 3:00 pm ET
Award(s) Announced By (anticipated)	October 31st 2026

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Amendment 1 is a change in the designated contact email address found on page 5

1. Grant Information

The New York State Department of Environmental Conservation (DEC) is pleased to announce funding for projects that will implement objectives of the DEC HAB Roadmap and the DEC HABs Research Guide.

a) Funding

Approximately $2,500,000 is available for the New York State DEC Harmful Algal Bloom (HAB) Research Grant Program. Funding for this grant opportunity is provided from the Environmental Protection Fund. There is a 10% match requirement for this grant opportunity.

b) Nature of Projects to be Funded

The DEC HAB Research Grant Program is intended to support research projects that may range in structure from small, targeted laboratory or field studies by individual investigators or small teams, to regional-scale studies involving larger teams of investigators that will conduct multi-disciplinary projects. The projects must specifically address at least one of the focus area topics identified within the DEC HABs Research Guide. DEC has identified the following as priority topics for funding (see the guide for more detail about each topic):

Focus Area	Topic
Prevention and Mitigation	In-lake mitigation strategies Watershed nutrient control strategies
Causes of HABs	Nutrient sources and dynamics Climate change HABs in oligotrophic lakes Food web dynamics Mechanisms of cyanotoxin production HAB Paleolimnology
Monitoring and Modeling	HAB predictive modeling Watershed Management
Communication, Engagement, and Outreach	Communication methods

c) Proposed Project Timeframes

All projects must have defined objectives, tasks, and deliverables accounted for in performance measures that can be completed and invoiced within a three-year contract term. Costs outside of the contract period/term are ineligible. State of New York Contract for Grants must be fully approved by DEC, and if applicable, approved by the Attorney General and the State Comptroller. Time extensions beyond the contract term end date (no cost time extensions will be considered) will be determined by DEC based upon written justification from the Bidder. However, bidders should not submit a bid if they do not anticipate their project can be completed within the specified contract term.

d) Minimum and Maximum Award Amounts

Minimum grant amount is $250,000; Maximum grant amount is $750,000.

e) Bid Limit/Award limit

Bidders may apply as a “Lead” on only one application but may be listed as collaborators on no more than two additional applications. Bidders are eligible to receive a grant award as a “Lead” in this grant round on only one grant award.

f) Eligible Project Locations

Eligible projects for grant funding must be located within New York State and describe how the project objectives and results will benefit New York State. Documentation must include a map or other statement of geographic extent.

2. Eligible Bidders

For the purposes of this grant program, the following entities are considered eligible bidders:

Governmental entities, academic institutions, Public Benefit Corporations, Public Authorities, Municipal Corporations, Soil and Water Conservation Districts, School Districts, Academic Institutions, and not-for-profit corporations (NFP) acting on behalf of a public ownership interest in the property or acting on behalf of a public property owner are eligible to apply.

Governmental Entities: municipalities, including counties, cities, towns, villages; improvement district within a county, city, town or village; municipal corporations; soil and water conservation districts; and Indian nations or tribes recognized by the State or the United States with a reservation wholly or partly within the boundaries of New York State.

Academic Institutions: educational institutions dedicated to education and research, which grant higher education academic degrees. For-profit academic institutions are not considered eligible for this grant opportunity.

Not For Profit: An eligible bidder must be a not-for-profit corporation (NFP) community-based organization, or a community-based organization may partner with a NFP that will serve as their fiscal sponsor.

For the purposes of this grant opportunity, a community-based organization is an organization that:

- Serves the residents of an area equal to or smaller than a town or city outside of New York City, or an area equal to or smaller than one of the five boroughs within New York City; and
- Cannot have its charter revoked or otherwise be dissolved through the action of another organization; and
- Can enter into legal agreements independent of any affiliated nonprofit organization, government body, university or other entity that would be ineligible to apply for this grant; and
- Has more than 50 percent of its members residing in the affected community, or more than 50 percent of the people served by the bidder community group residing in the affected community.

For this grant opportunity, a NFP is subject to New York State's Not-For-Profit Corporation Law, is qualified for tax-exempt status under Section 501(c)(3) of the Federal Internal Revenue Code, has an IRS 501(c)(3) determination letter to be incorporated in New York State and is current in their charities reporting requirements with the Office of the Attorney General.

Bidders must possess the knowledge, skills, and /or track record to successfully implement the project.

A fiscal sponsor is a New York State nonprofit organization that applies to DEC on behalf of individuals or unincorporated organizations or groups. The fiscal sponsor accepts responsibility to serve as a fiscal conduit for a DEC-funded project, receiving and disbursing funds related to the grant, and administering the requirements throughout the DEC grant process, including final reporting of grant activity. The unincorporated organization or group completes the project activity.

Multi-Partner and Inter-Municipal Projects

If a proposed project involves a cooperative agreement or partners, only one eligible, designated lead bidder can submit the bid for grant funding. The lead bidder must assume the responsibility for the project bid, performance of work consistent with this RFA, and the State of New York Contract for Grants. Letters substantiating the collaboration from each partner are required. These letters are to be uploaded to the SFS Grants Management system in a single PDF under the appropriate question for the bid. If applicable, please attach to Vendor Question 7 in SFS with your bid.

3. Inquiries, Designated Contact Information, and Webinar Information

For general information on completing this bid and for clarification of bid requirements, contractual terms and procedures, contact:

Brian Duffy

Contact Information: HABResearchGrant@dec.ny.gov and (518) 402-8179

For technical information regarding the Grants Management Bid Event, direct questions to:

NYS SFS Grants Management

Contact Information: helpdesk@sfs.ny.gov | 877-737-4185 toll-free | 518-457-7737

Include "*DEC Harmful Algal Bloom Research Grant Program*" in the subject line of the email. Questions regarding this grant opportunity will be accepted by the Department until C.O.B. August 14th, 2026. All questions, and answers, will be uploaded in the Grants Management System bid event for all bidders to view.

Webinar Information:
Webinar topic: Harmful Algal Bloom Research Grant Program
Date and time: Wednesday, May 27, 2026, 2:00PM-3:30PM | (UTC-04:00) Eastern Time (US & Canada)

Register link: https://meetny-gov.webex.com/weblink/register/re23dcaa4f6a214529cd141b764305b72

4. Bid Submission

Bids must be submitted through the NYS SFS Grants Management System. Using **Google Chrome** to access the SFS Grants Management System (GM) is recommended. Using other browsers may cause errors.

If you do not have access to the SFS Vendor Portal and if your organization is already established within the SFS Vendor portal, an SFS Delegated Administrator has been authorized within your organization to provision user login credentials, unlock accounts, or reset passwords. Please reach out to your SFS Delegated Administrator directly. Also, if you do not have a login and if you are new to the SFS Vendor portal and would like to establish an account for the purposes of doing business with the State of New York, contact the SFS Help Desk at 518-457-7717, 855-233-8363 or HelpDesk@sfs.ny.gov for more information.
The NYS SFS Grants Management system offers a Vendor User Manual, training videos and webinars for bidders requiring assistance. Please visit https://grantsmanagement.ny.gov/transition-SFS.

Paper bids will NOT be accepted. Bidders are strongly encouraged to submit their bids prior to the bid deadline. Late bids will not be accepted. Please note staff with a Bid Response Initiator role can begin a bid, but only staff with the Bid Response Submitter role can submit the bid response.

All Bidders must be Registered with SFS Grants Management to apply. Please visit https://grantsmanagement.ny.gov/transition-SFS to register.

In addition to registration, not-for-profits must also be Prequalified at the time and date that the application is due. If you are not Prequalified at that time and date, your application will not be considered.

PLEASE DO NOT DELAY IN BEGINNING AND COMPLETING THE PREQUALIFICATION PROCESS. PLEASE VISIT THE GRANTS MANAGEMENT Prequalification Page TO GET STARTED.

THE STATE RESERVES 5 DAYS TO REVIEW SUBMITTED PREQUALIFICATION APPLICATIONS. PREQUALIFICATION APPLICATIONS SUBMITTED TO THE STATE FOR REVIEW LESS THAN 5 DAYS PRIOR TO THE DEC HARMFUL ALGAL BLOOM RESEARCH GRANT PROGRAM APPLICATION DUE DATE MAY NOT BE CONSIDERED.

APPLICANTS SHOULD NOT ASSUME THAT THEIR PREQUALIFICATION INFORMATION WILL BE REVIEWED IF THEY DO NOT ADHERE TO THIS TIMEFRAME.

a) Bidder Prequalification

   Pursuant to the New York State Division of Budget Bulletin H-1032 Revised, effective July 16, 2014, New York State has instituted key reform initiatives to the grant contract. Information on these initiatives can be found on the Grants Management Website.

All Bidders must be Prequalified in the SFS Grants Management System at the time and date that the bid is due. Bids from non-prequalified entities will be rejected. The system will not allow you to submit your bid.

The SFS Handbook: SFS Training for Vendors guide is available on SFS Coach and includes guidance for prequalification. Additional training is available on SFS Coach.

If you are not familiar with SFS Grants Management, there are many resources available to help you register and become Prequalified on the NYS Grants Management Website https://grantsmanagement.ny.gov/transition-sfs including:

- Video tutorials on Grants Management Registration or Prequalification
- SFS Handbook: SFS Training for Vendors includes walkthroughs for the Bid process

5. Grant Opportunity General Information and Conditions

a. Grant Bid Requirements and Conditions

Please be sure to include with your bid, information on the following requirements, if applicable to your project:

Bid must meet the following minimum requirements to be eligible:

1. Project Proposal Document

   Bidders must complete a Project Proposal and attach to Vendor Question 6 in SFS with their bid.

   Proposals must include the following five elements:
   a) Cover Letter
   b) Abstract
   c) Project Proposal (five-page maximum)
   d) Citations
   e) Description of Qualifications

See below for detail regarding each element. The complete proposal must be uploaded as a single PDF document to. Proposals must contain all information requested and meet the format requirements to be eligible for consideration.

a. **Cover Letter**

A one-page cover letter on official letterhead must be signed by an authorized representative of the lead agency, entity, or institution. The cover letter must include the following to be eligible for consideration:

- Title of the project
- DEC HABs Research Guide focus area(s) and prioritized research topic(s) to be addressed
- Statement that the bidder is applying for funds under this grant program
- Name of the “Lead” applicant and their affiliation
- List of key collaborators and/or project partners and their affiliations

b. **Abstract**

The abstract must be no more than 250 words. The abstract must accurately describe the project being proposed and include (1) the goal and tasks of the project, (2) the methodology to be used (with an accurate description of the project as described in the proposal), and (3) the expected deliverables and outcomes.

c. **Project Proposal**

The proposal must not exceed five (5) consecutively numbered, single-spaced, typed 8.5" x 11" pages with 11 or 12-point font with 1-inch margins. The length requirement includes tables, figures, and images. The five pages must include the following elements:

1) Background: Provide brief introductory information and a description of project rationale as well as how it specifically addresses knowledge gaps in the research focus area(s) and topic(s) described in the DEC HABs Research Guide. The goal of this RFA is to fund innovative, novel, and well-integrated research studies that specifically address the prioritized research topics indicated in the "**1. Grant Information** b) Nature of Projects to be Funded" section in this document.

2) Objectives: Identify the objects of the proposal. The proposal must specifically describe what the investigator(s) intend to do and how those objectives will further research and the field of knowledge regarding HABs in New York State. Provide documentation stating or showing the project location or geographic extent within New York State and describe how the project objectives and results will benefit New York State.

3) Methodology: Outline the project's design and describe the methods, techniques, and process that will be used to meet the project's stated objectives. There should be enough detail for the reviewers to be able to adequately evaluate how the work will be conducted and potentially analyzed.

4) Deliverables and Outcomes: Describe the project's expected deliverables and outcomes; list and describe each of the specific deliverables and end-products. Specify the type of information that is to be gained and how it could be used in the future. Include a description of education and outreach components of the project.

5) Roles and Responsibilities: Define the roles and responsibilities of all project participants, collaborators and partners.

6) Project Timeline: Summarize the timeframe of the project and clearly demonstrate completion of project objectives, tasks and deliverables within three years of contract start date.

d. **Citations**

Provide full bibliographic citations for any relevant literature that was cited in the proposal. Include: name of authors, title, and location in the literature, the majority of which should be peer reviewed. The citation list does not count towards the project proposal five-page maximum limit.

e. **Description of Qualifications**

Applicants must submit a narrative description or short resume/curriculum vitae for the professional qualifications of the "Lead" team member and any other key collaborators. The description of qualifications should not exceed two-pages, and does not count towards the project proposal five-page maximum limit.

b. Expenditure Based Budget

Bidders must complete an Expenditure Based Budget with their bid in the SFS Grants Management System that provides details of the proposed project-related expenses. Budget detail must clearly distinguish between expenses to be claimed under the State grant share and expenses comprising the match. The itemized budget should also include appropriate level of information for the breakdown of costs for each budget item (depending on the budget category this information is provided in the budget detail and/or budget narrative). Eligible and ineligible costs are identified in this RFA. A project's reasonableness of costs is at least 20% of the evaluation factor in the scoring of the bid therefore, attention to budget accuracy will increase your project score.

c. Match Requirement and Expenditures

Match is the portion of project expenditures not paid for with grant funds. Match can be from local and/or in-kind contributions. Local sources can include funding from other non-state and/or non-federal grant sources or from project partners. In-Kind contributions are non-cash donations provided by non-state and/or non-federal third parties which can include equipment, supplies, services, and other expendable property. Matching share contributions must support the objectives outlined in the work plan.

Eligible sources of match funds cannot come from other New York State or federal funding sources. Bidders will be required to provide the sources of all matching funds using the Match Worksheet in the GM.

Grant funds are available for up to 90% of the requested budget. Bidders must match at least 10% of the grant funding amount.

d. Work Plan

Bidders must complete a Work Plan with their bid in the SFS Grants Management System that provides a clear overview of the project. Bids must include proposed project objectives, tasks associated with meeting each objective, and the performance measures associated with each task (performance measures can include desired project outcomes or deliverables). The work plan may include anticipated time frames in meeting project objectives, tasks and deliverables. Time frames must be consistent with the timeline bidders are required to upload in the GM.

e. Debriefing Request

In accordance with section 163 of the NY State Finance Law, DEC must, upon request, provide a debriefing to any unsuccessful offeror that responded to the Program Overview, regarding the reasons that the proposal or bid submitted by the unsuccessful offeror was not selected for an award. An unsuccessful offeror wanting a debriefing must request a debriefing in writing, within fifteen calendar days of receipt of the notice that their proposal did not result in an award. Debriefings requested after fifteen calendar days may be denied.

f. Protest Procedure

DEC does not have a formal protest procedure; therefore, a bidder may file an initial protest with OSC's Bureau of Contracts (BOC) after the Department has made a contract award. The protest must be in writing and filed with BOC within ten business days of notice of the contract award or if a debriefing has been requested by the interested party, within five business days of the debriefing (whichever is later). If the interested party is not provided with notice of the contract award, the interested party may file a protest with BOC at any time after the contract award and prior to the Comptroller's final action on the contract.

Formal protests concerning a pending contract award must be received within five (5) business days after the protesting party knows or should have known of the facts that constitute the basis of the formal protest.

The protest must be filed with:

Bureau Director
at bidprotests@osc.ny.gov or
Bureau of Contracts
New York State Office of the State Comptroller
110 State Street, 11th Floor.
Albany, NY 12236

g. Department of Environmental Conservation Oversight

The Department of Environmental Conservation reserves the right to:

- Award additional and available funding for scored and ranked projects consistent with this grant opportunity.
- Award an agreement for any or all parts of the RFA in accordance with the method of award or withdraw of the RFA at any time at the Department's sole discretion.
- Award only one bid for funding in the event there are multiple bid submissions for a single project or for pieces of a single project.
- Award to the next highest scoring bid in the event bidder fails to negotiate a grant contract with the Department within 60 days of a grant award.
- Monitor the progress of all grant awards and withdraw grant funding if the bidder fails to make significant and timely progress on the project or fails to receive the necessary permissions and permits for the project.
- Consider regional distribution in the determination of awards and funding allocations, to the extent practicable.
- Reduce an award from the amount requested in the application, should the project budget contain costs considered ineligible under this grant program.
- Reduce an award from the amount requested in the application, as long as the reduced funding does not jeopardize the viability of the project to proceed at the reduced funding level.
- Deny a change in workplan tasks from the application project description because of fairness to competitive process.
- Not to fund projects that are determined not to be consistent with NYS's Smart Growth Public Infrastructure Policy Act.

- Not to fund projects that are determined not to be consistent with the Climate Change Leadership and Community Protection Act or its' implementing regulations.
- Reject any or all bids in response to the RFA at the agency's sole discretion.
- Reach out for clarification to bidders during the review process once all bids are received.
- Limit all or some funding for a project in the final scored ranked list if the same activities have been awarded funding by another funding source.
- Amend the RFA specifications, prior to application due date, to correct errors or to supply additional information as it becomes available.
- Seek clarifications of applications after the close of the application window.
- Round an award to the nearest dollar.
- Request and review data related to the awarded research project.
- Share the results of the research project, giving recognition to the researchers.

h. Sexual Harassment Prevention Certification

State Finance Law §139-l requires all bidders of grant funding to certify that they have a written policy addressing sexual harassment prevention in the workplace and provide annual sexual harassment training (that meets the Department of Labor's model policy and training standards) to all its employees.

Where applying for grant funding is required pursuant to statute, rule or regulation, every bid submitted to the state or any public department or agency of the state must contain the following statement: "By submission of this bid, each bidder and each person signing on behalf of the bidder certifies, and in the case of a partnering bid each party thereto certifies as to its own organization, under penalty of perjury, that the bidder has and has implemented a written policy addressing sexual harassment prevention in the workplace and provides annual sexual harassment prevention training to all of its employees. Such policy shall, at a minimum, meet the requirements of section two hundred one g of the labor law."

Bids that do not contain the certification will not be considered for award; provided however, if the bidder cannot make the certification, the bidder may provide a signed statement with their bid detailing the reasons why the certification cannot be made. After review and consideration of such statement, the Department may reject the bid or may decide there are sufficient reasons to accept the bid without such certification.

ALL bidders must sign and upload the Sexual Harassment Prevention Certification form located in Appendix B or upload a signed statement with their bid detailing the reasons why the certification cannot be provided. The certification form or statement must be signed by an authorized staff of the contractor, and dated after the application start date.

i. Executive Order 16

Executive Order No. 16 provides that "all Affected State Entities are directed to refrain from entering into any new contract or renewing any existing contract with an entity conducting business operations in Russia." The complete text of Executive Order No. 16 can be found at https://www.governor.ny.gov/executive-order/no-16-prohibiting-state-agencies-and-authorities-contracting-businesses-conducting. The Executive Order remains in effect while sanctions against Russia imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless

encouraged to respond to solicitations to preserve their contracting opportunities in case the sanctions are lifted during a solicitation or even after award in the case of some solicitations. As defined in Executive Order No. 16, an "entity conducting business operations in Russia" means an institution or company, wherever located, conducting any commercial activity in Russia or transacting business with the Russian Government or with commercial entities headquartered in Russia or with their principal place of business in Russia in the form of contracting, sales, purchasing, investment, or any business partnership. Vendors responding to this solicitation are required to complete and submit the form entitled "Certification Under Executive Order No. 16 Prohibiting State Agencies and Authorities from Contracting with Businesses Conducting Business in Russia".

ALL bidders must sign and submit the Executive Order 16 form located in Appendix D. The certification form must be signed by an authorized staff of the contractor, and dated after the application start date.

j. Gender-Based Violence and the Workplace Certification

State Finance Law §139-m requires bidders on state procurements to certify that they have a written policy addressing gender-based violence and the workplace and have provided such policy to all of its employees, directors and board members. Such policy shall, at a minimum, meet the requirements of subdivision 11 of section five hundred seventy-five of the executive law.

Where competitive bidding is required pursuant to statute, rule or regulation, for work or services performed or to be performed or goods sold or to be sold, every bid made to the state or any public department or agency of the state must contain the following statement:

"By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that the bidder has and has implemented a written policy addressing gender-based violence and the workplace and has provided such policy to all of its employees, directors and board members. Such policy shall, at a minimum, meet the requirements of subdivision 11 of section five hundred seventy-five of the executive law."

Bids that do not contain the certification will not be considered for award; provided however, that if the bidder cannot make the certification, the bidder shall provide a signed statement with their bid detailing the reasons why the certification cannot be made. After review and consideration of such statement, the Department may reject the bid or may decide that there are sufficient reasons to accept the bid without such certification.

ALL bidders must sign and submit the Gender-Based Violence and the Workplace Certification form located in Appendix C. If the bidder cannot make the certification then a signed statement must be submitted with the bid detailing the reasons why the certification cannot be made. The certification form must be signed by an authorized staff of the contractor, and dated after the application start date.

k. State Environmental Quality Review Act (SEQRA) and Permits

The bidder is responsible for assuring that any SEQR determinations, permits, approvals, lands, easements and rights-of way that may be required to carry out the activities of the project are

obtained. You may be required to upload approved permit cover letters (in a single PDF file) into the NYS SFS Grants Management System.

l. Letters of Permission/Municipal Endorsement

The bidder must own the property, or obtain an applicable access agreement, for the proposed project site. This includes:

- If the property is owned by the bidder– a copy of the current deed.
- If the property owner is a municipality – A resolution by the municipality supporting the project.
- If the property is not owned by the bidder– a formal written agreement between the bidder and landowner which allows the bidder access to the property, and represent the landowner, to accomplish the proposed project.
- If the bidder is a not-for-profit proposing a project on municipal property - a signed Municipal Endorsement. A municipal endorsement provides authorization for the not-for-profit to conduct the proposed project on municipal property.

If applicable, please attach to Vendor Question 7 in SFS with your bid.

m. Partnerships/Stakeholder Engagement

Proposed projects that will build and/or sustain partnerships and/or volunteerism, including contribution or participation by appropriate stakeholders and municipal government, will receive points in the evaluation of their bid. Bids that include a letter (or letters) of support from each partnering organization which clearly states their role in the project will receive additional points. Support letters from the government body offering the grant, or institutions or organizations who are fiscal sponsors and/or will provide services under the grant, will not be considered and no points will be awarded.

If applicable, please attach to Vendor Question 7 in SFS with your bid.

n. Local/Community Support

A letter of support is optional but encouraged. Bids with a letter of support from an elected official, government body, educational institution or other organization with knowledge or expertise related to the proposed project will receive additional points in the evaluation and score process. Support letters from the government body offering the grant, or institutions or organizations who are fiscal sponsors and/or will provide services under the grant, will not be considered and no points will be awarded. Support letters must be uploaded as a single pdf file in the GM by the bid due date.

o. Environmental Justice and Disadvantaged Communities

DEC is committed to underserved and vulnerable populations, and providing remedies for communities that may be burdened by negative environmental consequences. Environmental Justice (EJ) is defined by DEC as the fair treatment and meaningful involvement of all people, regardless of race, color, or income, with respect to the development, implementation and enforcement of environmental laws, regulations, and policies. Potential EJ Areas (PEJA) are U.S. Census block groups of 250 to 500 households each that, in the Census, had populations that met or exceeded at least one of the following statistical thresholds: at least 52.42% of the

population in an urban area reported themselves to be members of minority groups; or at least 26.28% of the population in a rural area reported themselves to be members of minority groups; or at least 22.82% of the population in an urban or rural area had household incomes below the federal poverty level. Disadvantaged Communities (DAC) are identified by New York's Climate Justice Working Group (CJWG) using indicators that include climate related risks, environmental burdens, health vulnerabilities, and socio-economic factors.

Maps of PEJA and DAC areas in New York State are available at: https://dec.ny.gov/get-involved/environmental-justice/gis-tools and https://climate.ny.gov/resources/disadvantaged-communities-criteria/, respectively.

To qualify for EJ or DAC points, your bid must include the following details:

I. The exact street location(s) where the project is to be implemented (no P.O. Box) or where the benefit will be provided.

II. A brief (few sentences) description of how the project will benefit minority or low-income populations that experience disproportionate adverse environmental impacts such as pollution from multiple industrial facilities, sub-standard water quality, concentrated diesel emissions from bus depots, or other heavy vehicle traffic, adverse health effects related to environmental impacts (high asthma), lack of access to green benefits such as open space, environmental education or parks, or other such impacts.

p. Quality Assurance

Quality assurance applies to all programs/projects that involve the collection, generation or use of environmental data associated with the mapping, modeling, monitoring, and assessment of water quality data intended for use by the New York State Department of Environmental Conservation (DEC) for its regulatory purposes. This includes the design or use of water quality focused environmental technology. Guidance and resources for DEC's quality assurance can be found on DEC's quality assurance webpage. Activities associated with these types of programs/projects, conducted in the field or laboratory, shall be:

1. Performed in accordance with an effective quality system for planning and assessing environmental measurements and tests, and for conducting required quality assurance and quality control procedures to promote and maintain the accuracy and reliability of environmental measurements and test results. An effective Quality System includes a Quality Assurance Project Plan (QAPP) based on guidance provided by the USEPA IT/IM Directive: Quality Assurance Project Plan Standard (QA/G-5 May 2006), or American National Standard ASQ/ANSI E4:2014: Quality management systems for environmental information and technology programs—Requirements with guidance for use, approved February 4, 2014
2. The fulfillment of the data verification, validation, and usability component of QAPP is to be documented in the Data Usability Assessment Report (DUAR).
3. Performed by a laboratory certified by the New York State Department of Health (NYSDOH) under the Environmental Laboratory Approval Program (ELAP)

pursuant to Section 502 of the Public Health Law. This requirement shall not apply to specific parameters where NYSDOH ELAP has not issued a certificate for the specific parameter.

4. Performed in a manner that ensures all requisite quality control and calibration requirements are met, including field testing, sample collection, preservation, and record-keeping. Basic quality assurance and quality control requirements defined in 40 CFR Part 136.7 shall be followed as well as any specific method requirements.
5. Required to submit environmental monitoring data electronically to US EPA Water Quality Exchange (WQX) following the guidance as set by US EPA's WQX Submission Instructions.
6. Covered under the Publicity clause (article IV.G.) of the State of New York Contract for Grants – Standard Terms and Conditions. Specifically, the Contractor agrees that any work products, including but not limited to, water quality data or environmental information; measured, generated, or developed under this contract shall not be released, published, cited, or shared in draft or final form without prior written authorization from the Department.
7. At a minimum, performed in accordance with water quality standards in 6 NYCRR Part 703 (https://govt.westlaw.com/nycrr/Browse/Index?bhcp=1&transitionType=Default&contextData=%28sc.Default%29) and/or guidance values in Technical and Operational Guidance Series (TOGS) 1.1.1. (https://dec.ny.gov/sites/default/files/2024-10/togs111.pdf) projects designed to assess water quality or inform regulatory decisions must measure parameter with applicable water quality standards and/or guidance values.

q. Historic Preservation Review Requirements

For projects that involve properties listed on the State or National Registers of Historic Places, all work undertaken as part of a grant-assisted project must conform to the Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation.

Questions about or proposals for listing on the State or national Register should be directed to the OPRHP National Register Unit at (518) 237-8643. To ensure the public benefit from the investment of state funding, preservation covenants or conservation easements will be conveyed to the State (OPRHP) for all historic property grants.

r. Coastal Consistency Requirements

SEQR Type I and Unlisted actions located within the NYS Department of State's coastal zone boundaries must meet the consistency requirements of the Secretary of State's Coastal Management Program. This consistency determination will be performed by the Department as part of the grant review process. If the proposed project is located within a municipality that has an approved Local Waterfront Revitalization Plan (LWRP), the policies of that LWRP apply. Projects in other areas will need to be consistent with the State's 44 coastal policies. The

coastal policies can be found at https://dos.ny.gov/system/files/documents/2020/02/coastalpolicies.pdf. Bidders are encouraged to determine if their project is located within the coastal zone, and to include in their site plan or sketch map their project's location within the coastal zone boundaries if applicable. Maps of the coastal zone boundaries can be found at https://dos.ny.gov/coastal-consistency-review.

6. Bidder Evaluation, Scoring and Selection

All bids will be reviewed and scored by a review team in accordance with the evaluation and scoring criteria contained in this RFA. Bidders are strongly encouraged to read and address the Bid Review and Scoring Standards in the process of developing a bid. Knowledge of the scoring criteria is valuable for designing and proposing a relevant and quality project. Scoring consists of:

Step 1: Bid and Project Eligibility Determination

Each application is initially assessed for eligibility based on the pass/fail criteria listed below. A "Fail" to any of the Pass/Fail Criteria will disqualify the application. Applications that fail one or more of the eligibility criteria will be disqualified from further review or funding. Applications that pass all the eligibility criteria will be further evaluated and scored (see Step 2). A failure to meet any one criterion below will disqualify the application from further consideration:

1. Bidder Type: The applicant is eligible as provided in the "**2. Eligible Bidders**" section of this RFA. A not-for-profit organization must also be pre-qualified in the NYS SFS Grants Management by the application due date to be determined eligible under this grant opportunity.
2. Complete Application: All required questions are answered, and mandatory documents are uploaded in the NYS SFS Grants Management. The mandatory documents are:
    a. Sexual Harassment: Did the bidder upload the Sexual Harassment Prevention Certification form or upload a signed statement with their bid detailing the reasons why the certification cannot be made? Upload to the question in SFS GM.
    b. Executive Order 16: Executive Order No. 16: Did the bidder sign and upload the document associated with Executive Order No. 16? Upload to the question in SFS GM.
    c. Gender-Based Violence and the Workplace: Did the bidder upload the Gender-Based Violence and the Workplace Certification form or upload a signed statement with their bid detailing the reasons why the certification cannot be made? Upload to the questions in SFS GM.
3. Project Location: Project location documentation that shows that the project will take place within New York State (NYS) and benefit NYS.
4. Project Proposal Document: Summary document that must include:
    a. Cover Letter
    b. Abstract
    c. Project Proposal (five-page maximum)
        i. Background: Including a brief and clear statement of how the project addresses one of the prioritized research topics listed in this RFA and

further described in DEC HABs Research Guide.
ii. Objectives
iii. Methodology
iv. Deliverables and Outcomes: Including an education and outreach component.
v. Roles and Responsibilities
vi. Project Timeline: Including a project timeline that demonstrates completion within a three-year contract term. Project start and end dates must be between April 1, 2027 and December 31, 2030.

d. Citations

e. Description of Qualifications

5. Itemized Work Plan: Proposed project objectives, tasks associated with meeting each objective, and the performance measures associated with each task. The work plan should include anticipated time frames in meeting project objectives, tasks, and deliverables.
6. Itemized Budget: Proposed project-related expenses with appropriate level of information for the breakdown of costs for each budget item.

Step 2: Project Evaluation, Scoring and Selection

Applications that pass the eligibility pass/fail determination will receive a further evaluation review by a DEC scientific review panel. Applications will be evaluated and scored based on multiple factors grouped into the following categories:

A. Quality Factors (45% of total points)

B. Success Factors (35% of total points)

C. Cost Factors (20% of total points)

DEC reserves the right to determine the amount of state assistance to be awarded, as well as the right to award a portion rather than the full grant request, if it is in the best interest of the state. Reduced awards will include a justification by DEC as to why the grant is being reduced (i.e. ineligible costs, extraneous cost, etc.) and the project can be completed with the reduced amount.

Up to 100 points are available, as defined in Appendix A: Evaluation and Scoring Criteria. Applications must receive a minimum of 50 points to be eligible for funding. Applications that receive 0 points for Cost Factors will not be funded.

All eligible bids will be individually evaluated and scored by at least 3 technical review team members.

7. Method of Award

All eligible applications submitted by the due date will be reviewed and scored by members of the DEC scientific review panel in accordance with Appendix A: Evaluation and Scoring Criteria contained in this RFA.

Applications will receive a final score and be ranked from highest to lowest score. Applications with the higher scores will be chosen for grant awards.

If there is a numerical tie in an application's final score, the application that scores the highest in "Quality Factors" in the evaluation criteria will determine placement on the ranked list. If a tie remains, the application that scores the highest in "Success Factors" in the evaluation criteria number will determine placement on the ranked list. If a tie remains, a project's reasonableness of costs will be evaluated. If the individual scoring categories do not break the tie, the time the application was received, as noted in the GM system, will be used as the final tie breaker.

8. Grant Program Payment

Advance payments of up to 25% of the awarded grant amount may be available to not-for-profit bidders once a State of New York Contract for Grants has been fully approved by all applicable State agencies. Only not-for-profits are eligible to receive advance payments under State Finance Law. Requests must be made in writing.

Project costs eligible for reimbursement and project match must be incurred between the State of New York Contract for Grants term start and end dates. Costs incurred prior to the State of New York Contract for Grants term start date or after the State of New York Contract for Grants term end date will not be considered eligible for grant reimbursement or match. Copies of supporting cost documentation (paid invoices, receipts, cancelled checks, etc.) must be audited and approved by the DEC for costs to be eligible for grant reimbursement.

9. Eligible and Ineligible Expenditures

a. Eligible Project Expenditures

- Personal Service: staff salaries, including fringe, directly devoted to the project implementation are eligible up to 30% of the total requested budget. Itemize salaries according to job title and roles/responsibilities on the project. Bidders will be required to document time worked, tasks, pay ratio and payment.
- Contractual Services: The value of services provided by responsible professional and technical personnel and consultants (i.e., engineering, and architectural services, surveys, plans and specifications, research, design and development of a project, consultant services directly related to a project, feasibility study for a facility, archaeological field work, report writing)
- Supplies and materials: directly required to implement the project and must not exceed 30% of the total budget.
- Equipment: (purchase/rental) directly required to implement the project and must not exceed 30% of the total budget.

- Travel costs within State that are directly required to implement the project.
- Administrative costs directly related to implementing the project, defined as follows:
    - Procuring sub-contractors and materials needed to implement the project. Reviewing and paying invoices for materials and sub-contractors associated with the project.

b. Ineligible Project Expenditures

- State and/or federal funding: project costs funded from other state and/or federal funding sources are not eligible for grant reimbursement.
- Travel costs: Costs that are not directly associated and required to implement the project.
- Out-of-state travel.
- Indirect costs: overhead or operating expenses (space, rent, utilities).
- Legal Services.
- Routine operation and maintenance of equipment.
- Software subscriptions.
- Costs incurred outside the start and end date of the contract (no earlier than April 1, 2027)
- Administrative costs not directly related to implementing the project, defined as follows:
    - Preparing, completing, submitting the DEC HAB Research Grant Program application for funding.
    - Preparing, completing, submitting information and documents needed to get a contract in place.
    - Preparing, completing, submitting information for progress reporting, payment requests and contract amendments.
    - Preparing, completing and submitting environmental regulatory approvals/permits needed to implement the project.
- Administrative salaries: administrative salaries are not eligible. For the purposes of this RFA, administrative salaries are defined as follows:
    - Preparation of equal employment opportunity and women and minority business enterprises documentation.
    - Preparation of quarterly narrative and expenditure reports.
    - Preparation of payment reimbursement request forms and backup cost documentation.
    - Preparation of Final Report upon project completion.

c. Match Requirements and Expenditures

Grant funds are available for up to 90% of the requested budget. Bidders must provide the remaining 10% in match funds.

Formula: Requested Budget x 10% = Required Match

d. Eligible Forms of Match

Cash: Includes other grants from non-state or federal funding sources.

- Personal Services: Staff salaries devoted to the project, including fringe benefits expenses. Itemize salaries according to job title or job assignment on the project. Bidders will be required to document time worked, tasks, pay ratio and payment.

- Contractual Services: The value of services provided by responsible professional and technical personnel and consultants (i.e., engineering, and architectural services, surveys, plans and specifications, research, design and development of a project, consultant and legal services directly related to a project, feasibility study for a facility, archaeological field work, report writing, curation of artifacts and interpretation, etc.).

- Supplies and materials: The current market value of items warehoused (not yet installed); use value current at time items were obtained.

- Equipment: Compute the value according to its fair market rental value in the project location.

e. Ineligible Forms of Match

- Indirect costs overhead or operating expenses (space, rent, utilities).

- Other State or Federal funding: project costs paid from other state and/or federal funding sources.

- Volunteer Labor: Skilled and professional labor can be computed at the job rate. Unskilled labor and work performed by professionals or skilled laborers in an area outside of their area of expertise must be computed at the minimum wage (For example, a lawyer donating legal services may compute the value based on the standard billing rate, but the same lawyer donating time painting walls must calculate the value using minimum wage).

- Administrative Salaries: For the purposes of this RFA, administrative salaries are defined as follows:

- Preparation of equal employment opportunity and women and minority business enterprises documentation.

- Preparation of quarterly narrative and expenditure reports.

- Preparation of payment reimbursement request forms and backup cost documentation.

- Preparation of Final Report upon project completion.

10. Grant Program Reporting

Quarterly Narrative Reports must be submitted in narrative form, no later than 30 days from the end of the calendar quarter. The reports will summarize how the project progressed toward meeting project objectives and deliverables during the respective quarter. Quarterly reports shall be submitted via email to the grant manager that is assigned.

Quarterly Expenditure Reports, detailed by object of expense as defined in the State of New York Contract for Grants Attachment B-1 Expenditure Based Budget, must accompany the quarterly Narrative Reports, no later than 30 days from the end of the calendar quarter. These reports must correlate to subsequent vouchers submitted for payment.

Quarterly State of New York Contract for Grants payment reimbursement requests will be accepted prior to submission of a final closeout reimbursement request. Approved project design required permits and landowner permissions must be in place to submit a reimbursement request.

Final Report must be submitted and approved by the DEC prior to the release of the final contract payment to the Contractor. The final report must include a detailed write up of the methods, results and conclusions from the study in a narrative document with supporting figures as needed. Raw data may be appended to the final report. The Contractor must submit the Final Report no later than 60 days after the end of the contract period. The Final Report should report on all aspects of the program and detail how the use of grant funds was utilized in achieving the goals set forth in the approved State of New York Contract for Grants Attachment C Work Plan. Copies of appropriate documents (i.e., inventory and/or management plan) must be submitted and approved by the DEC.

A DEC on-site inspection may be required to confirm all work was completed in accordance with the approved project work plan.

Any project involving volunteer time will be required to report the number of volunteers and the number of volunteer hours in their project quarterly status reports. The total number of volunteers and volunteer hours for the entire project must be reported in the Final Report.

Projects already receiving funds from another NYS or Federal assistance grant program are not eligible to receive funding for the same project activities identified in this RFA.

Any education and public outreach presentation or materials will require DEC review and approval.

11. What to Expect If You Receive an Award

a. Notification of Award

Bidders selected to receive a grant award will be notified by email and in an official Department award letter. The SFS GM will also provide you with an award status.

IMPORTANT NOTE: By accepting an award, the bidder agrees to abide by all State of New York Contract for Grants or purchase order terms and conditions. Any changes to the terms and conditions will not be accepted and may affect bidder's award.

State of New York Contract for Grants Bidders selected to receive a grant award will be required to execute a State of New York Contract for Grants within 60 - 90 days from the time of their award notification. Failure to submit timely required State of New York Contract for Grants documents could cause a bidder to lose their grant award. Bidders should review and be prepared to comply with all State of New York Contract for Grants terms and conditions should grant funding be awarded. The State of New York Contract for Grants and attachments include:

- State of New York Contract for Grants Face Page
- State of New York Contract for Grants Standard Terms and Conditions (NYS standard terms and conditions)

- Appendix A – Statewide Terms and Conditions
- Attachment A-1 Agency Specific Terms and Conditions
- Attachment A-2 Program Specific Terms and Conditions
- Attachment B-1 Expenditure Based Budget (project expense categories and detail)
- Attachment C Work Plan (project objectives, tasks and performance measures)
- Attachment D Payment and Reporting Schedule (claims for reimbursement and grant reporting provisions)

IMPORTANT NOTE: Project related costs must be incurred within the term of the State of New York Contract for Grants to be considered eligible for reimbursement or match. Contract payments will not be approved or processed by the DEC until a State of New York Contract for Grants is fully approved by the DEC, and as applicable the Attorney General and the State Comptroller. All contracts must be approved by the contract start date of which will be determined at the time of an official award.

Bidders (referred to as "Contractor" following award of Grant Contract) Should Be Prepared to Comply with the Following State of New York Contract for Grants Requirements:

b. Insurance Requirements

Contractor will be required to carry appropriate insurance as specified in the MGC or LOA, Attachment A-1 Agency Specific Terms and Conditions, and agree that each project consultant, project contractor and project subcontractor secures and delivers to the contractor appropriate policies of insurance issued by an insurance company licensed to do business in the State of New York. Policies must name the contractor as an additional insured, with appropriate limits, covering contractor's public liability and property damage insurance, contractor's contingency liability insurance, "all-risk" insurance and workers compensation/disability benefits coverage for the project.

II. Permit Requirements (if applicable)

Contractors agree to obtain all required permits, including but not limited to, local, state and federal permits prior to the commencement of any project related work. The Contractor agrees that all work performed in relation to the project by the Contractor or its agents, representatives, or contractors will comply with all relevant federal, state and local laws, rules, regulations and standards, zoning and building codes, ordinances, operating certificates for facilities, or licenses for an activity.

III. State Environmental Quality Review (SEQR) Documentation

With respect to the project, the Contractor certifies that it has complied, and shall continue to comply with all requirements of the State Environmental Quality Review Act (SEQRA). The Contractor agrees to provide all environmental documents as may be required by the DEC. The Contractor has notified, and shall continue to notify, the DEC of all actions proposed for complying with the environmental review requirements imposed by SEQRA.

c. Vendor Responsibility Questionnaire

Not-For-Profit contractors and/or subcontractors are subject to a vendor responsibility review by the State to ensure public dollars are being spent appropriately with responsible contractors. A

vendor responsibility review may include a contractor and/or subcontractor to present evidence of its continuing legal authority to do business in NYS, integrity, experience, ability, prior performance, and organizational and financial capacity. To enroll in and use the NYS VendRep System, see the VendRep System instructions, or log in at https://onlineservices.osc.state.ny.us.

d. Iran Divestment Act

As a result of the Iran Divestment Act of 2012 (Act), Chapter 1 of the 2012 Laws of New York, a new provision has been added to the State Finance Law (SFL), § 165-a, effective April 12, 2012. By entering into a Contract, the Contractor certifies that it is not on the "Entities Determined To Be Non-Responsive Bidders/Offerers Pursuant to The New York State Iran Divestment Act of 2012" list ("Prohibited Entities List") posted on the OGS website at: http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf and further certifies that it will not utilize on such Contract any subcontractor that is identified on the Prohibited Entities List. Additional detail on the Iran Divestment Act can be found in the State of New York Contract for Grants, Attachment A-1 Program Specific Terms and Conditions.

e. Minority and Women Business Enterprise (MWBE) and Equal Employment Opportunity (EEO) Requirements

The Department is required to implement the provisions of New York State Executive Law Article 15-A and 5 NYCRR Parts 142-144 (MWBE Regulations) for all State contracts with a value (1) in excess of $25,000 for labor, services, equipment, materials, or any combination of the foregoing or (2) in excess of $100,000 for real property renovations and construction.

Bidders subject to executing a future State of New York Contract for Grants agree, in addition to any other nondiscrimination provision of the State of New York Contract for Grants and at no additional cost to the Department, to fully comply and cooperate with the Department in the implementation of New York State Executive Law Article 15-A. These requirements include Equal Employment Opportunities (EEO) for minority group members and women and contracting opportunities for certified Minority and Women Owned Business Enterprises (MWBEs). Contractor's demonstration of Good Faith Efforts (GFEs) pursuant to 5 NYCRR §142.8 shall be a part of these requirements. These provisions shall be deemed supplementary to, and not in lieu of, the nondiscrimination provisions required by New York State Executive Law Article 15 (the "Human Rights Law") or other applicable federal, state or local laws.

Failure to comply with MWBE and EEO requirements may result in a Department finding of non-responsiveness, non-responsibility and/or a breach of contract, leading to the withholding of funds or such other actions, liquidated damages, or enforcement proceedings.

Please refer to the State of New York Contract for Grants- Article IV (J) and Attachment A-1 Program Specific Terms and Conditions - Article X, to review MWBE and EEO requirements.

- The local government is responsible for designating someone to serve as their Affirmative Action representative. The governing body should make this designation through official means.

- A list of certified MWBE enterprises can be obtained via the internet from the NYS Department of Economic Development at https://ny.newnycontracts.com/FrontEnd/searchcertifieddirectory.asp

MWBE reporting for Department of Environmental Conservation contracts must now be completed using the New York State Contract System (NYSCS). https://ny.newnycontracts.com/.

All contracts of $25,000 or more will be assessed for MWBE goals. Contracts which meet the established MWBE-EEO thresholds require the Contractor to submit the Utilization Plan prior to the execution of the contract and Monthly Compliance Audits in the NYSCS after the contract is executed. To submit the required MWBE Utilization Plan, log-in to NYSCS and access the Utilization Plans section displayed on the user dashboard. Plans requiring action will be displayed in red.

All contractors shall complete an Equal Employment Opportunity (EEO) Policy Statement and Staffing Plan form and submit it prior to the execution of the contract.

For more information regarding MWBE compliance and reporting guidelines, and to download required forms, please visit: https://www.dec.ny.gov/about/61016.html#MWBE.

• The following MWBE "Fair Share" goals are established as follows:
• Minority and Women Owned Business Enterprise (MWBE) Overall Participation Goals:

Construction/Engineering – up to 30%
Commodities – up to 30%
Services/Technologies –up to 30%

DEC MWBE Compliance Unit
NYS Department of Environmental Conservation
Bureau of Contract and Grant Development/MWBE Program
625 Broadway, 10th Floor.
Albany, New York 12233-5028
Mwbe@dec.ny.gov
Phone: (518) 402-9240

f. Service-Disabled Veteran-Owned Business (SDVOB) Participation Requirements

The Department is required to implement the provisions of New York State Veteran's Law Article 3. The contractor must make Good Faith Efforts to subcontract a goal of 6% of the contract amount to New York State Certified Service-Disabled Veteran-Owned Businesses (SDVOBs), for purposes of providing meaningful participation by SDVOBs.

The contractor is required to complete and submit a SDVOB Utilization Plan detailing how the contractor intends to meet the SDVOB goal. In addition, the contractor must complete and submit quarterly compliance reports detailing the amount spent on SDVOBs in the previous quarter. In addition, all forms and guidance can be located at; Division of Service-Disabled Veterans' Business Development Compliance and Reporting | Office of General Services (ny.gov). Please contact the Department's SDVOB compliance staff with any questions at:

DEC SDVOB Compliance Unit
NYS Department of Environmental Conservation
Bureau of Contract and Grant Development/SDVOB Program
625 Broadway, 10th Floor.

Albany, New York 12233-5028
SDVOB@dec.ny.gov
Phone: (518) 402-9240

g. Procurement of Contractors/Subcontractors

Municipalities must comply with General Municipal Law Sections 103 (competitive bidding) and 104-b (procurement policies and procedures). Not-for-profit corporations must follow procurement policies that ensure prudent and economical use of public money. Failure to comply with these requirements could jeopardize full reimbursement of your approved eligible project costs.

h. Americans With Disabilities Act

In the event the monies defined herein are to be used for the development of facilities, outdoor recreation areas, transportation or written or spoken communication with the public, the Contractor shall comply with all requirements for providing access for individuals with disabilities as established by Article 4A of the New York State Public Buildings Law, Americans with Disabilities Act, and relevant sections of the New York State Uniform Fire Prevention and Building Code. Standards for certain Recreation Facilities are found in the 2010 ADA Standards for Accessible Design while others are found in the Architectural Barriers Act Accessibility Guidelines for Outdoor Recreation Areas https://www.access-board.gov/guidelines-and-standards.

i. Signage

For infrastructure projects, the contractor shall install signage on-site that identifies the site as a clean vehicle charging/refueling facility; promotes public use of the facility; and acknowledges rebate funding from the Department of Environmental Conservation through Title 15 of the New York State Environmental Protection Fund. Signage developed for use at a rebate-funded facility shall be subject to review and approval by the Department prior to installation.

j. Diesel Emissions Reduction Act 2006

In 2007, New York State passed legislation establishing the Diesel Emissions Reduction Act 2006 (DERA). This Act amended the Environmental Conservation Law (ECL) by adding Section 19-0323 which requires the use of best available retrofit technology (BART) and ultra-low sulfur diesel fuel (ULSD) for heavy duty vehicles owned or operated by, including on behalf of, state agencies and state or regional public authorities. The Department has promulgated regulations (6 NYCRR Part 248) to provide guidance on provisions of the law. The regulations may be found on the Department's website at https://dec.ny.gov/regulatory/regulations/chapter-iii.

If applicable, the contractor must comply with the specifications and provisions of ECL Section 19-0323 and 6 NYCRR Part 248, which require the use of BART and ULSD, unless specifically waived by the Department. Qualifications for a waiver under this law are the responsibility of the Contractor.

Appendix A: Evaluation and Scoring Criteria

Up to 100 points are available, as defined below. Applications must receive a minimum of 50 points to be eligible for funding. Applications that receive 0 points for Cost Factors will not be funded.

QUALITY FACTORS

Project Description: Does the Proposal meet the requirements in Grant Application Requirements and Conditions and include a rigorous scientific design with a schedule of project deliverables? Is the problem or opportunity to be addressed by the project clearly identified? Are research questions or hypotheses stated? Have permitting or other requirements been identified?	
(A) Proposal includes all information in response to requirements. Document is organized, detailed, accurate, and clearly indicates the objectives of the project. Description thoroughly identifies a research problem to be addressed.	20 pts.
(B) Proposal includes most information in response to requirements. Document is organized, detailed, and clearly indicates the objectives of the project. Description adequately identifies a research problem.	10 pts.
(C) Proposal does meet all requirements. Document is inadequately organized, detailed, and does not clearly indicate the objectives of the project. Description fails to identify a research problem.	0 pts.

Product and Results: Are the expected products, results, and quality assurance of the project clearly outlined in the Proposal and achievable in the time frame given? Will the products address one or more of the prioritized topics from HAB Research Guide listed in this RFA (See: Nature of Projects to be Funded)?	
(A) Description identifies expected products and results and how they will be achieved in the given time frame. The project describes quality assurance measures and how the project addresses multiple priority topics and additional topics described in the Research Guide.	10 pts.
(B) Description partially identifies expected products and results and/or how they will be achieved in the given time frame. The description partially describes the quality assurance measures and/or how the products or results contribute to Research Guide priority topics.	5 pts.
(C) Description does not identify expected products and results and/or how they will be achieved in the given time frame. The project does not describe quality assurance measure and is not likely to contribute to Research Guide priority topics.	0 pts.

Impact and Innovation: Will the findings have potential to augment DEC programmatic activities?* Are the methods innovative or are novel techniques or approaches used in the project?	
(A) Project outcomes have high potential for augmenting several aspects of DEC programmatic activities and/or the project uses innovative methods and techniques.	15 pts.
(B) Project outcomes have moderate potential for augmenting DEC programmatic activities and/or some methods and approaches are novel.	10 pts.

(C) Project outcomes have low potential for augmenting DEC programmatic activities. Methods are not innovative, and the project does not use novel techniques.	0 pts.

*For information on DEC HABs programmatic activities, see: https://dec.ny.gov/environmental-protection/water/water-quality/harmful-algal-blooms#Research

SUCCESS FACTORS

Work Plan: Does the Work Plan itemize objectives, tasks and deliverables to complete the project as described within the three-year contract term?	
(A) Work Plan provides significant detail outlining the organization's ability to complete the project within the three-year contract term.	5 pts.
(B) Work Plan does not provide adequate details outlining the organization's ability to complete the project within the three-year contract term.	0 pts.

Description of Qualifications: Are Lead applicant and additional key personnel qualifications listed in the Description of Qualifications in the Proposal? Are there sufficient qualified personnel associated with the project to achieve the objectives and the anticipated outcomes?	
(A) Project staff are clearly listed with credentials, project responsibilities, and indication of substantial related research experience.	10 pts.
(B) Project staff listed with credentials, project responsibilities, with a moderate amount of related research experience.	5 pts.
(C) Project staff not listed with credentials, project responsibilities and/or very little related research experience	0 pts.

Timeline: Does the Project Timeline include a summary of the timeframe of the project that clearly demonstrates completion of project objectives, tasks and deliverables within three years of contract start date?	
(A) Proposed project includes a summary of the timeframe of the project that clearly demonstrates completion of project objectives, tasks and deliverables within three years of contract start date.	5 pts.
(B) Timeline is inadequate and/or does not indicate that the project can be completed within three years of contract start date.	0 pts.

Partner Support: Does the project have support from partnering organizations? Were letters provided that clearly state how the project will build and/or sustain partnerships and/or volunteerism, including contribution or participation by appropriate stakeholders, or wherein there is capacity of the project to develop and implement outreach and/or education methods?	
(A) One or more partner support letter(s) were uploaded and indicate the project has support from partnering organizations.	5 pts.
(B) No partner support letters were uploaded.	0 pts.

Environmental Justice and Disadvantaged Communities: Would the project provide specific benefits in a Potential Environmental Justice Area or Disadvantaged Community?

(A) The proposed project would benefit a Potential Environmental Justice Area or Disadvantaged Community.	5 pts.
(B) The proposed project is not in an Potential Environmental Justice or Disadvantaged Community and/or the applicant did not adequately describe the location or benefits.	0 pts.

DEC Management Plans: Does the proposed project address objectives of approved DEC management plans?*	
(A) The proposed project addresses objectives of DEC management plans and the specific overlap is identified in the narrative provided.	5 pts.
(B) The proposed project addresses objectives that support an action or priority identified in a DEC Watershed Action Agenda (i.e., Mohawk, Hudson River Estuary, Great Lakes Action Agendas) or a DEC accepted plan or report (i.e., Drinking Water Source Protection Program [DWSP2] Plan) that will reduce nonpoint source pollution.	2 pts.
(C) No overlap in additional management plans was provided.	0 pts.
*For information on DEC management plans and action agendas, see: HAB Action Plans, Clean Water Plans, Great Lakes Action Agenda, Mohawk River Action Agenda, Hudson River Action Agenda, Drinking Water Source Protection Plans	

COST FACTORS

Reasonableness of cost and cost effectiveness: Is the budget reasonable and contains is balanced? Is the cost appropriate?	
(A) Budget is well-balanced and does not contain any extraneous expenses. Cost is appropriate for the complexity and size of the project.	20 pts.
(B) Budget is well-balanced and does not contain any extraneous expenses. Costs are high for the expected benefit.	15 pts.
(C) Budget appears well-balanced, but cost-to-benefit ratio is unclear or not well-defined for the complexity and size of the project	5 pts.
(D) Budget does not clearly detail costs associated with project or does not appear to be cost effective or well-aligned with the project as proposed.	0 pts.

Total possible score: 100 points

Appendix B: Sexual Harassment Prevention Certification Form

By submission of this application, each applicant and each person signing on behalf of any applicant certifies, and in the case of a partnering application each party thereto certifies as to its own organization, under penalty of perjury, that the applicant has and has implemented a written policy addressing sexual harassment prevention in the workplace and provides annual sexual harassment prevention training to all of its employees. Such policy shall, at a minimum, meet the requirements of section two hundred one-g of the labor law.

Company Name:_____

Signature:_____

Print Name and Title:_____

Date:_____

If the above certification cannot be made, the applicant must submit a signed statement below detailing the reasons why the certification cannot be made.

_____

_____

_____

_____

_____

Company Name:_____

Signature:_____

Print Name and Title:_____

Date: _____

Office for the Prevention of Domestic Violence

DEC State Assistance Attachment G

Gender-Based Violence and the Workplace Certification

New York State Finance Law §139-M requires bidders on competitive state procurements to certify that they have a written policy addressing gender-based violence and the workplace and that such policy meets the following minimum requirements:

- **Share Information:** Employers must provide information regarding gender-based violence where employees can see and access it, including displaying the NYS Domestic and Sexual Violence Hotline information and a gender-based violence and the workplace poster.
- **Refer Employee-Survivors to Services:** The policy must require that the employer refer employees who disclose current or past victim status to the NYS Domestic and Sexual Violence Hotline and/or a local service provider. For bidders outside of New York State, referrals should be made to a local provider or statewide hotline. While referrals are required to be provided by the employer, it is not required for the employee to access services.
- **Prohibit Retaliation:** The policy must clearly state that discrimination or retaliation against employees who identify as victims or survivors of gender-based violence is prohibited.
- **Comply with Laws:** Ensure your policy follows State law. For employers based in New York State, this means that the policy must follow the SAFE Leave Act, New York State Human Rights Law, and any other relevant laws and regulations.
- **Offer Implementation Support:** OPDV is able to assist employers in developing and implementing this policy. Employers must provide information to supervisors and human resources, where available, about this technical assistance from OPDV. OPDV can be contacted at workplace@opdv.ny.gov.

By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that the bidder has and has implemented a written policy addressing gender-based violence and the workplace and has provided such policy to all of its employees, directors and board members. Such policy shall, at a minimum, meet the requirements of subdivision 11 of section five hundred seventy-five of the executive law.

Organization's signature below certifies its compliance with State Finance Law §139-M.

Organization: _____

By (signature): _____

Name (Please Print): _____

Title: _____

Date: _____

This form must be signed by an authorized executive or legal representative.

If the organization cannot make the above certification, they must provide an attached statement with their bid detailing the reasons therefor.

Certification Under Executive Order No. 16
Prohibiting State Agencies and Authorities from Contracting with Businesses Conducting Business in Russia

Executive Order No. 16 provides that "all Affected State Entities are directed to refrain from entering into any new contract or renewing any existing contract with an entity conducting business operations in Russia." The complete text of Executive Order No. 16 can be found here.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case the sanctions are lifted during a solicitation or even after award in the case of some solicitations.

As defined in Executive Order No. 16, an "entity conducting business operations in Russia" means an institution or company, wherever located, conducting any commercial activity in Russia or transacting business with the Russian Government or with commercial entities headquartered in Russia or with their principal place of business in Russia in the form of contracting, sales, purchasing, investment, or any business partnership.

Is Vendor an entity conducting business operations in Russia, as defined above? Please answer by checking one of the following boxes:

☐ 1. No, Vendor does not conduct business operations in Russia within the meaning of Executive Order No. 16.

☐ 2. a. Yes, Vendor conducts business operations in Russia within the meaning of Executive Order No. 16 but has taken steps to wind down business operations in Russia or is in the process of winding down business operations in Russia. (Please provide a detailed description of the wind down process and a schedule for completion.)

☐ 2.b. Yes, Vendor conducts business operations in Russia within the meaning of Executive Order No. 16 but only to the extent necessary to provide vital health and safety services within Russia or to comply with federal law, regulations, executive orders, or directives. (Please provide a detailed description of the services being provided or the relevant laws, regulations, etc.)

☐ 3. Yes, Vendor conducts business operations in Russia within the meaning of Executive Order No. 16.

The undersigned certifies under penalties of perjury that they are knowledgeable about the Vendor's business and operations and that the answer provided herein is true to the best of their knowledge and belief.

Vendor Name: (legal entity) _____

By: (signature) _____

Name: _____

Title: _____

Date: _____