



Village of Highland Falls

# NY Forward Project Form

The Village of Highland Falls has been awarded funds through the New York State NY Forward program to fund catalytic projects in the downtown to spur revitalization. The Local Planning Committee (LPC) is seeking project proposals from the public for potential projects to be included in Highland Falls' Strategic Investment Plan. Projects included in the Strategic Investment Plan will be reviewed by New York State and may receive funding from a total allocation of \$4.5 million. Project proposals must be received by:

**5:00pm on Friday, August 9, 2024**

Office hours to learn more about the Open Call for Projects and eligibility requirements and ask questions to the NY Forward Project Team will be held virtually at the following times:

- **Thursday, June 20; 4:30 - 5:30pm**
- **Tuesday, July 9; 12:00 - 1:00pm**
- **Tuesday, July 16; 8:30 - 9:30am**

Please check the website, [www.highlandfallsnyf.com](http://www.highlandfallsnyf.com), for information about how to join the virtual office hours.

# How to Submit Your Project

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- 1 Review the Eligibility Criteria and Project Requirements**  
on pages 2-4 to learn about requirements for projects and to make sure your project is eligible to be considered for NY Foward funding.
- 2 Review the Local Vision, Goals, and Evaluation Criteria**  
on pages 5-6 to learn about the vision and goals for Highland Falls' downtown and about how the Local Planning Committee (LPC) and State will evaluate projects.
- 3 Fill out the Project Proposal Submission Form**  
on pages 7-14. Address each topic thoroughly and completely. The LPC will use this information to consider projects to be included in Highland Falls' Strategic Investment Plan.
- 4 Submit your Completed Application**  
Submit your completed application (and any supplemental materials) either electronically, in-person, or by mail no later than 5:00pm on Friday, August 9, 2024.

➔ **To submit via email:**

Email your completed application and any supplemental materials to [highlandfallsnyf@vhb.com](mailto:highlandfallsnyf@vhb.com)

➔ **To submit a hard copy, mail or hand-deliver:**

Highland Falls Village Treasurer  
303 Main Street  
Highland Falls, NY 10928

If mailing, send to Gabrielle Ferrier, Village Treasurer.

If hand-delivering, deliver to Gabrielle Ferrier, Village Treasurer.



Questions regarding project eligibility, evaluation, or the project forms can be directed to the project team at [highlandfallsnyf@vhb.com](mailto:highlandfallsnyf@vhb.com)

# Project Types & Requirements

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It is expected that NY Forward funds will be used for capital projects that will transform the physical environment of the downtown in ways that will benefit current residents and future generations. However, certain non-capital projects or projects that may lead to capital investment will also be considered to the extent that they will contribute to the revitalization of the downtown. The following is a description of eligible and ineligible project types.

## Eligible Project Types

- **Public Improvement Projects.** These may include projects such as streetscape and transportation improvements, recreational trails, wayfinding signage, new and upgraded parks, plazas, public art, green infrastructure, and other public realm projects that will contribute to the revitalization of the downtown.
- **New Development and/or Rehabilitation of Existing Downtown Buildings.** Projects in this category may include the development or redevelopment of real property for mixed-use, commercial, residential, not-for-profit, or public uses. All projects should be capital investments or should lead to capital investments. They should have a visible and functional impact on the downtown, serving as catalytic or transformative projects that will provide employment opportunities, housing choices, and/or services for the community.
- **Small Project Fund.** A locally managed matching small project fund may be proposed to undertake a range of smaller downtown projects such as facade enhancements, building renovation improvements to commercial or mixed-use spaces, business assistance, or public art. Funds are capped at \$600,000 for DRI communities and \$300,000 for NYF communities. However, an NYF community may receive up to \$600,000 if substantial demand is demonstrated.
- **Branding and Marketing.** Examples include downtown branding and marketing projects that may target residents, investors, developers, tourists, and/or visitors. The costs eligible under this category must be one-time expenses, such as those to develop materials and signage.

## Ineligible Project Types

- **Planning activities.** Following the preparation of the Strategic Investment Plan, all NY Forward funds must be used for projects that directly implement the plan.
- **Operations and maintenance.** NY Forward funds cannot be used for on-going or routine expenses, such as staff salaries and wages, rent, utilities, and property up keep.
- **Pre-award costs.** Reimbursement for costs incurred before the completion of the Strategic Investment Plan and the announcement of funding awards is not permitted.
- **Property acquisition.** The cost of property acquisition can be included in the overall project budget, but the acquisition must be funded by another funding source.
- **Training and other program expenses.** The NY Forward program is a one-time infusion of funds and cannot be used to cover continuous costs, such as training costs and expensed related to existing programs.
- **Expenses related to existing programs.** NY Forward funds cannot be used to supplement existing programs or replace existing resources.

## Project Requirements

The following are the requirements for projects to be considered for NY Forward funding. Recognizing several requirements must be met to qualify for NY Forward funding, each project sponsor will have access to technical support from State agencies and a consultant team to assist with project development (i.e. construction cost estimates, renderings, climate resilient design, meeting decarbonization requirements, etc).

- **Project Location.** Projects must be located within the Montgomery NY Forward boundary. If your project is located outside the NY Forward boundary, please provide a brief description of how the project relates to the downtown and supports the stated goals of NY Forward. Minor boundary modifications may be considered by the LPC.
- **Project Timing.** Projects must be able to break ground within two years or sooner of receiving NY Forward funding.
- **Project Size and Scale.** Projects must be large enough to be truly transformative for the downtown area. Standalone NY Forward projects must be at least \$75,000 in total project cost.\* Projects less than \$75,000 can be submitted through this process as demonstration of demand for a Small Project Fund. If you have a project that is under \$75,000 in total project costs, please contact the consultant team at [highlandfallsnyf@vhb.com](mailto:highlandfallsnyf@vhb.com) for more information.
- **Project Funding.** Projects should have financing commitments largely secured or be able to demonstrate a clear path to securing sufficient financing. It is strongly encouraged that all projects, especially private projects, use non-NY Forward funds that leverage requested public funding. Projects that use other funding sources will be more competitive for funding awards.  
  
For projects with a private sponsor, there is a minimum match requirement of 25% of the total project cost, the match requirement may be lowered to 10% if hardship is demonstrated. There is no minimum match requirement for public or not-for-profit projects.
- **Project Sponsors.** Every project must have an identified project sponsor. Sponsors may be public, not-for-profit, or private entities with the capacity and legal authority to undertake the proposed project.
- **Building Decarbonization.** For NY Forward communities, all public, private, and not-for-profit projects that meet the criteria for new construction, substantial renovation, or a building addition shall include decarbonization techniques. Each project that meets the criteria will be required to select a method of demonstrating that the project satisfies the requirements *More information on this requirement can be found in the [DRI/NYF Guidebook](#).*

**If your project does not meet all of the criteria described in this section, we still want to hear your project idea! Please share your ideas at <https://www.highlandfallsnyf.com/>.**

\*A project may be exempt from the \$75,000 minimum project cost under special circumstances. This exemption can only be sought after consultation with the consultant and State team.

# Highland Falls NY Forward Boundary



\*Transformative Projects outside the NY Forward Boundary may be submitted and the LPC may consider boundary adjustments.

# Highland Falls' Vision and Goals

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The following draft vision and goals were established by the Highland Falls Local Planning Committee (LPC) using feedback received from the public during earlier public engagement events. Alignment with the Highland Falls' vision and goals will be a criteria that the LPC will be using to evaluate submitted projects.

## Draft Vision for Downtown

A revitalized Downtown Highland Falls will weave its history into the needs of the future, maintaining its close-knit character while becoming a more walkable and vibrant neighborhood with beautiful streetscapes, prosperous local businesses, and spaces for all ages to meet. As a hub of activity in an area surrounded by natural and historic attractions, Highland Falls will celebrate the downtown's connection to West Point, the Hudson River, and other regional attractions, while providing diverse amenities for residents and visitors alike. Highland Falls will live up to its name of Hometown USA, becoming a place where visitors will come, and residents will thrive.

## Draft Goals for Downtown Revitalization

1. Attract West Point tourists and visitors from the West Point community and nearby natural and historic sites, such as Bear Mountain, to Main Street.
2. Cultivate a diverse and sustainable mixed-use downtown corridor with thriving small businesses and reactivated storefronts.
3. Activate downtown with inviting streetscapes, public spaces, and amenities that encourage people to stay and explore.

# Evaluation Criteria

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The following criteria have been established by the Highland Falls Local Planning Committee (LPC) for project evaluation. These criteria were developed based on the State's evaluation criteria, which are listed at the bottom of the page. The LPC will use these criteria when discussing and evaluating proposed projects throughout the NY Forward planning process.

## **State and Local Goals**

- Alignment with State goals
- Alignment with the REDC goals
- Alignment with the local vision and goals

## **Project Readiness**

- Scope of work and project activities are clearly identified
- Capacity to implement the project and manage a state contract
- Ability to begin implementation in the near-term (~2 years from award)
- Project has other funding available needed to proceed
- Ability to proceed without any significant regulatory hurdles
- Sponsor can demonstrate site control

## **Catalytic Effect**

- Significant and transformative impact on downtown
- Potential to attract other private investment

## **Co-Benefits**

- Provides public benefit
- Draws visitors to the downtown
- Grows the local tax base
- Encourages visitors and residents to stay and explore the downtown

## **Cost Effectiveness**

- Adequate budget information is provided and reflects a prudent expenditure of NYF funds
- Demonstrated need for NYF funds
- Ability to leverage other private or non-state investment
- Sponsor provides matching funds

## **Public Support**

- Level of public support

# NY Forward Project Form

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Please complete this form in order for your project to be considered for LPC and potential NY Forward funding. Please address each topic thoroughly and completely. The LPC will use this information to consider projects to be included in Highland Falls' Strategic Investment Plan. Project sponsors are expected to provide timely responses to requests for any additional information from New York State and/or the NY Forward consultant.

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## Project Sponsor

Provide the contact information for the project sponsor, which is the entity proposing to implement the project. The project sponsor can be different from the property owner.

**Name:**

**Sponsor business or organization  
(if applicable):**

**Title (if applicable):**

**Mailing Address:**

**Phone:**

**Email:**

If there are additional people who should be contacted as part of this proposal, please provide their contact information.

**Name:**

**Phone:**

**Email:**

**Affiliation:**

**Name:**

**Phone:**

**Email:**

**Affiliation:**



2

## **Project Location**

Please indicate the location of the proposed project.

### **Project Address or Location:**

If the project is located outside the NY Forward boundary shown on page 4, please provide a brief description and justification of how the project relates to the downtown and supports the stated goals of the NY Forward program. The LPC may consider minor boundary adjustments.

3

## **Project Type**

Please indicate your project type:

**Public Improvement**

**New Development**

**Redevelopment and/or Renovation of an Existing Building(s)**

**Small Project (Less than \$75,000 in Total Cost)**

\*If you are interested in submitting a Small Project, do not complete this form; instead, please use the Small Project Fund Interest Form, which can be found at [highlandfallsNYF.com](http://highlandfallsNYF.com).

**Branding and Marketing**

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## **Existing Conditions**

Describe the project site's existing conditions, including a description of why the proposed project is needed.

## 5 Project Title

Please provide a title for your project that summarizes the goal of your proposed project (e.g., Renovate 10 Main Street into a Childcare Center).

## 6 Project Description

Please provide a detailed description of the proposed project's scope of work, as applicable:

- The proposed use (e.g., commercial, industrial, public improvement, mixed-use).
- The goal of the project.
- Any work or planning done previously on the proposed project.
- The size of the project (e.g., square footage of the building and space to be renovated (if applicable), number of floors, acreage, number of units, type of housing, commercial tenants, etc.).
- The types of activities to be completed as part of this project (e.g., sidewalk construction, replacement of flooring, exterior siding, interior walls, plumbing and electricity in upper floors).

***It is important to provide as much detail on the proposed project scope as possible. The information submitted on this form does not need to be final and may change as the project becomes more developed.***

***\*\*If your project involves new construction or renovation of a building, please complete Question 13 about decarbonization.\*\****

## **7** Project Alignment with Vision and Goals

How does your proposed project help advance the community's vision and goals? Please be specific in explaining exactly how your project or components of your project advances the vision and goals.

## **8** Property Ownership

Identify the owner of the property on which the proposed project will be located. If the project sponsor and the property owner are not the same, please describe how the project sponsor will obtain the legal authority to implement the project at this site.

## **9** Capacity

Describe the project sponsor's experience in implementing projects similar in scope/complexity to the proposed project, including any experience with grant administration.

Describe any partner entities or organizations that will help implement the project (e.g., funding, operating, or business partners).

*\*\*Private project sponsors will be expected to submit information about the long-term financial feasibility of their project. At a minimum, project sponsors will be required to submit documentation demonstrating the ability to financially maintain the business/building after project completion. This may include a pro-forma (strongly encouraged from projects requesting \$500,000 or more from DRI/NYF), a business plan, or other documents showing cash flow. It is strongly encouraged that this documentation be provided when submitting this form, but it may be submitted later.\*\**

**10****Private Project Match**

If the project sponsor is a private entity, a partial waiver from the 25% total project cost match requirement may be requested. Waivers are granted on the basis of the project sponsor providing documentation of economic hardships over the past 18 months. Examples of hardship include significant reduction in gross receipts, unexpected expenses due to storm recovery, etc. Note that project sponsors are still required to demonstrate the annual profitability of their business as well as the market potential for continued growth.

If applying for partial waiver please describe unique circumstances contributing to hardship:

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**Preliminary Funding Estimate**

What is the total estimated project cost and the amount of NY Forward funds requested?

**Total Project Cost:**

**Total NY Forward Request:**

**Please complete the budget table below. Please identify different activities associated with the project, their costs, the funding source, and the status. Please use the following definitions to guide the response for the Budget.**

**Secured:** This funding source and amount of funding is guaranteed.

**Anticipated:** This funding source is reasonably expected to be available at the time of project implementation, but the project sponsor does not have the funds currently available. This status may apply for funding sources such as loans, bonds, or fees.

**Requested:** The project sponsor has submitted a request to a funding entity for the amount identified but has not received confirmation of funding. This category is appropriate for the DRI/NYF funding source or other grants.

**Undetermined:** This funding source has not been secured, and the project sponsor has not fully identified the funding sources and amounts.

**Note:** NY Forward funds are structured as reimbursable grants. If NY Forward funds are awarded, the grant recipient may need to finance the total project cost using a bridge loan, owner equity, or another financing mechanism. In this situation, grant funds will be released once the project is completed per the contracted scope of work.

*\*If a proposed project has not yet developed cost estimates or identified sources of funding, please provide as much detail as possible at this stage.*

*\*A project may include the cost of acquisition in the project budget, but the acquisition must be covered by another funding source, as NY Forward funds cannot be used to acquire property.*

Action	Cost	Funding source	Status of Funds
<b>Total NY Forward funding request</b>	<b>\$</b>		
<b>Total funds from other sources</b>	<b>\$</b>		
<b>Total project cost</b>	<b>\$</b>		

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## **Project Readiness and Timeframe for Implementation**

Describe any work that is underway or has already been completed to advance the project, such as feasibility studies, market studies, preliminary site design, permits obtained, and/or funding or financing that has been secured.

Describe the proposed timeline for project implementation that includes major project milestones.

Is there any environmental investigation or cleanup needed so that the project can proceed? If yes, please explain.

What permits or approvals will your proposed project require?

What challenges or issues, if any, would affect the implementation of your proposed project?

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## **Supplemental Information**

If available at this time, indicate the types of supplemental information that will be provided with this application:

**Images of the existing project site**

**Images/renderings of the proposed project**

**Documentation of project readiness**

**Other (please specify)**

Supplemental project information may be submitted either electronically or as a hard copy. Include the project title and project sponsor contact information on each page of supplemental information.

**If you are submitting supplemental information that is confidential, please label it as such.**

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**Decarbonization (only applicable to new construction, building additions, and substantial rehabilitation)**

Projects involving new construction, building additions, or renovations equal to or greater than 5,000 square feet may be subject to decarbonization compliance. *More information on decarbonization criteria and requirements can be found in the DRI/NYF Guidebook.* Please answer the following questions to help determine whether or not your project will require decarbonization.

**Project Square Footage:**

**Which types of improvements will be made in this project? Check all that apply.**

Removal and/or replacement of 50% or more of the area of interior wall-covering material

Removal and/or replacement of 50% or more of the area of the exterior wall-covering material, including doors and windows

Replacement of equipment that makes up 50% or more of the total heating and cooling capacity serving the building

Replacement of equipment making up 50% or more of the total water heating equipment serving the building

Replacement of 50% or more of the interior and exterior lighting that is powered from the building

Unsure about if my project will meet any of the above items

**Are interested in learning more about how to make your building more energy efficient and reduce long-term operating costs?**

Yes

No

**Learn more about decarbonization on one of our upcoming webinars!**

Decarbonization 101 for DRI/NY Forward Projects: An Introduction to Better Use of Energy in Buildings

Date: Thursday, June 27  
Time: 11:00am - 12:00pm

OR

Thursday, July 11  
Time: 3:00 - 4:00pm

Registration Link: <https://meetny.webex.com/webappng/sites/meetny/webinar/webinarSeries/register/bb50780d632242d697c44571f15db9a6>

## Certifications

I hereby certify that the information provided in this form is true and correct to the best of my knowledge. In order to be considered for NY Forward funding, I understand that additional information may be requested about the project and may involve meeting(s) with the NY Forward consultant. I agree to provide the requested information in a timely manner in order for the LPC, consultant team, and State team to consider my project for funding.

**Project Sponsor Signature:**

**Date:**

I understand that submission of this form does not constitute an application for or guarantee of funding from New York State, that the information provided herein will be reviewed and considered by the NY Forward Local Planning Committee for possible inclusion in the NY Forward Strategic Investment Plan. I further understand that inclusion in the NY Forward Strategic Investment Plan does not constitute a guarantee of funding from New York State, that all funding decisions will be made by New York State, and if funded I will comply with all State funding requirements.

**Project Sponsor Signature:**

**Date:**

Further, I hereby acknowledge that I have read the NY Forward project criteria and understand that any NY Forward funding provided for projects will be made available on a reimbursement basis only after expenses are incurred or in some cases, after a project has been successfully completed in its entirety. I also understand that NY Forward funding will be subject to all applicable New York State requirements, including, but not limited to MWBE utilization, competitive procurement for goods and services, and project status reporting.

**Project Sponsor Signature:**

**Date:**

### → To submit via email:

Email your completed application and any supplemental materials to the NY Forward project team at [highlandfallsnyf@vhb.com](mailto:highlandfallsnyf@vhb.com)

### → To submit a hard copy, mail or hand-deliver to:

Highland Falls Village Treasurer    If mailing, send to Gabrielle Ferrier.  
303 Main Street

Highland Falls, NY 10928            If hand-delivering, deliver to Gabrielle Ferrier.

**Deadline for Submission:**

**5:00pm on Friday, August 9, 2024**