

DORMITORY AUTHORITY OF THE  
STATE OF NEW YORK (DASNY)

on behalf of the

HIGHER EDUCATION CAPITAL MATCHING (HECap) GRANT  
PROGRAM BOARD

REQUEST FOR  
GRANT APPLICATIONS #5545

July 30, 2019

**KEY DATES**

Eligible Project Dates	September 1, 2020 – September 1, 2023
Issuance of RGA	January 29, 2020
Deadline for RGA Questions	February 21, 2020
Post Responses to RGA Questions (not earlier than)	March 6, 2020
DASNY Webinar (application process/Q&A Summary)	March 26, 2020
Application Due By	May 8, 2020
Awards Expected (not earlier than)	July 22, 2020

# TABLE OF CONTENTS

<b>Section 1: Program Overview.....</b>	<b>2</b>
<b>Section 2: Competitive Round for Eligible HECap Projects.....</b>	<b>3</b>
• College Defined	
• Types of Eligible/Ineligible Projects	
• Project Date Range	
<b>Section 3: Grant Funding Levels and Award Allocation.....</b>	<b>5</b>
• Supporting Documentation for Budget	
• Funding Levels	
<b>Section 4: Matching Requirement.....</b>	<b>6</b>
• Match Defined	
• Documentation to Support Financial Resources	
• Guidelines for Qualifying Matching Funds	
<b>Section 5: Special Conditions of Award.....</b>	<b>8</b>
• Prevailing Wage and MWBE Requirements	
<b>Section 6: Grant Notification and Grant Disbursement Agreement.....</b>	<b>10</b>
<b>Section 7: Overview of the Review Process.....</b>	<b>10</b>
• Site Control	
• Federal and State Statutory Requirements	
• Ineligible Religious Projects	
• State Environmental Quality Review (SEQR)	
• Matching Funds	
• Vendor Responsibility Questionnaire (VRQ)	
• Bond Review	
<b>Section 8: Key Events/Dates, General Inquires and Questions .....</b>	<b>12</b>
• Key Events/Dates	
• General Inquiries	
• Questions Relevant to RGA and Applicant Webinar	
<b>Section 9: Submission of Application and Required Supporting Documentation.....</b>	<b>13</b>

## Section 1. Program Overview

The Higher Education Capital (“HECap”) Matching Grant Program (the “HECap Program”) (established by Part U of Chapter 57 of the Laws of 2005, as amended by Chapter 63 of the Laws of 2005, as amended, together the “HECap Act,” attached to this RGA) provided \$150 million in matching capital grants (“HECap Grants”) to finance capital projects and equipment purchases by independent institutions of higher learning in New York State (each a “College”). Since that time, the HECap Program has been extended and additional funding has been added to the HECap Program to be awarded in future Competitive Rounds (as defined below).<sup>1</sup>

Although certain provisions of the HECap Act are summarized in this Request for Grant Applications (“RGA”), Colleges are strongly encouraged to review the HECap Act itself for additional information. While waivers were accepted in the non-competitive round, no waivers will be given in any Competitive Round unless otherwise disclosed.

The HECap Program is governed by the HECap Board (the “Board”). The Board is comprised of three persons appointed by the Governor, one of whom is appointed upon the recommendation of the Temporary President of the Senate, and one of whom is appointed upon the recommendation of the Speaker of the Assembly. The HECap Act empowers and directs the Board to approve or deny Applications received from Colleges for the HECap Grant Program and to award such Grants.

The HECap Program awards matching capital Grants to Colleges for the design, acquisition, construction, reconstruction, rehabilitation, or equipping of a facility on or near a college campus within the State, including critical academic facilities, economic development and/or high technology projects, and urban renewal and/or historical preservation projects that would enhance the programmatic offerings or the student life at the College or provide economic development benefits to the area surrounding such college campus.

For the non-competitive round of Grants, the HECap Act required Colleges to provide notification of their intent to apply for a HECap Grant to DASNY no later than March 31, 2008, and to have applied for the HECap Grant no later than March 31, 2009. The HECap Act provided that in the event that any College that did not apply for HECap Grants by March 31, 2009, or in the event they apply for and are awarded but did not use the full amount of such Grants, then the unused funds associated with the non-competitive Round of such Grants must thereafter be awarded to Colleges on a competitive basis in accordance with certain priorities as described in more detail below. It is currently anticipated that the funding availability will not exceed \$65,000,000 (sixty-five million dollars) in connection with this fourth Competitive Round. The actual amount may be less, depending upon when Colleges that were awarded

---

<sup>1</sup> The attached provisions of law represent unofficial reproductions of the legislation establishing the HECap Program (Part U of chapter 57 of the laws of 2005, as added by chapter 63 of the laws of 2005), including a series of amendments to the initial legislation.

Please note that although the legislation enacting the HECap program was originally codified in the Public Authorities Law and still appears in its original form in the Public Authorities Law and on some legal research websites, that legislation was supplanted by Part U of chapter 57 of the laws of 2005, as added by Chapter 63 of the Laws of 2005. Neither the original legislation in 2005 nor any of the subsequent amendments were codified in the Consolidated Laws of New York. Therefore, the HECap Act exists as a series of chapter laws, which show deletions or additions of language from previous chapters or codified laws that are being amended. The chapter laws that have been provided as an attachment to this RGA have preserved the strikethroughs, underlining and highlighting.

Grants in the prior HECap Rounds (non-competitive or competitive) complete and close out previously approved projects. The amount to be awarded in the fourth Competitive Round will be determined prior to the application due date of May 8, 2020.

***PLEASE NOTE: The HECap Act requires all Colleges receiving a HECap Grant to pay Prevailing Wage on the entire project and comply with MWBE requirements.*** Please see the HECap Act for additional information. Colleges that do not comply with these provisions will not receive HECap Grant funds. Neither the HECap Board nor DASNY, acting as staff to the HECap Board, has any discretion to waive or modify this statutory requirement.

## **Section 2. Competitive Round for Eligible HECap Projects**

The Board is now seeking Applications from Colleges for the fourth Competitive Round of HECap Grants (Higher Education Capital Matching (HECap) Grant Program Standard Application or the “Application”). Pursuant to the HECap Act, and for purposes of this RGA, College means “independent institutions of higher learning, as described in Education Law § 6401(2).” Applicants are advised to consult with their Counsel to determine whether they are eligible to apply for this funding; as well as whether or not the ultimate use of the facility(ies) meets the criteria set forth in the RGA including whether or not the College can meet the requirements outlined in Section 5 of this RGA.

Grant funds awarded pursuant to this RGA shall be used for the purchase, acquisition, design, construction, reconstruction, rehabilitation, or equipping of a facility on or near a college campus within the State, including critical academic facilities, economic development and/or high technology projects, and urban renewal and/or historical preservation projects that would 1) enhance the programmatic offerings at the College; 2) provide economic development benefits to the area surrounding the college campus; and/or 3) enhance student life at the College (the “HECap Project”).

HECap Grants may be used to renovate or equip property owned by or leased by the College so long as the term of the lease is for a term extending at least ten years from the date of Application.

There is no requirement that the project be shovel ready, with all plans and permits approved by the Application due date. There is also no requirement that the HECap project be located at a single site, as long as the nature of the project necessitates improvements to be made at multiple locations. Please note, that the HECap program is intended to support a single capital project and not a series of unrelated campus-wide facility renovations. If an Applicant is trying to determine if a Phased project is or is not acceptable, the Applicant is encouraged to consult with their design and construction professional in order to determine whether it is possible to phase the project which complies with the requirements outlined in the RGA. In addition, equipping a facility does not include building system components that are considered an integral component to the construction, reconstruction, or rehabilitation of a facility (i.e., HVAC, elevator, etc.). Such systems are considered construction and will therefore need to comply with MWBE and Prevailing Wage Requirements.

Ineligible uses of HECap funds include, but are not limited to: working capital, rent, utilities, supplies, advances, deposits, down payments, lease payments, maintenance agreements, training, the repayment of existing long-term debt, payment of legal fees and other non-capital costs as determined by DASNY and DASNY’s bond and tax counsel.

HECap Grants awarded in the fourth Competitive Round must be used for HECap Projects commenced on or after September 1, 2020 and which are expected to be completed by September 1, 2023. HECap Projects that were started prior to this date, including equipment purchased prior to September 1, 2020, may not be funded with this HECap Grant. Design, engineering and other preliminary planning activities may commence prior to September 1, 2020, however, costs incurred prior to this date may not be reimbursed from grant funds.

It is currently anticipated that the funding availability will not exceed \$65,000,000 (sixty-five million dollars) in connection with this fourth Competitive Round. The actual amount may be less, depending upon when Colleges that were awarded Grants in the prior HECap Rounds (non-competitive or competitive) complete and close out previously approved projects. The amount to be awarded in the fourth Competitive Round will be determined prior to the application due date of May 8, 2020.

Each College may apply for **one** HECap Grant at **one** of the Grant Funding Levels set forth in Section 3 of this RGA. If multiple Applications are submitted by a College, only the first received will be considered. Each Application will be reviewed, evaluated and scored on the basis of the information provided in the Application and the extent to which the Project complies with the criteria set forth in this RGA. The RGA does not set forth a preference for particular project types.

**[INTENTIONALLY LEFT BLANK]**

### Section 3. Grant Funding Levels and Award Allocation

Grants shall be awarded based on the criteria set forth in Sections 7 and 9 of this RGA. ***Each College may apply for one HECap Grant at one of the Grant Funding Levels set forth below.*** The amount of a Grant award to a College shall be based upon the total cost of the HECap Project to be funded with the HECap Grant. Please note that the total project cost must be at least four (4) times the amount of the HECap Grant award requested in order to comply with the 3:1 Match Requirement.

Documentation must be provided with the College’s HECap Application to support the total cost of the HECap Project. It is anticipated that Grants will be funded in the following funding amounts (each a “Grant Funding Level”):

Grant Funding Level	HECap Project Cost	Maximum Total Funding per Grant Funding Level*
\$3,000,001 - \$5,000,000	\$12,000,004 - \$20,000,000	\$26,000,000
\$1,500,001 - \$3,000,000	\$6,000,004 - \$12,000,000	\$15,000,000
\$500,001- \$1,500,000	\$2,000,004 - \$6,000,000	\$11,000,000
\$50,000 - \$500,000	\$200,000 - \$2,000,000	\$4,000,000
Total Amount of Awards by Grant Funding Level:		\$56,000,000
Base Pool Amount Allocable to Grant Applications based upon Score:		Est. \$9,000,000

***\*Maximum Total Funding column assumes a not to exceed amount of \$65,000,000 will be available for this Competitive Round. If additional funds become available, the Maximum Total Funding per Grant Funding Level amounts shall be increased such that the amount awarded to Applicants by Grant Funding Level is equal to 85% of the total amount of funds available; and the Base Pool Amount (“Base Pool”) allocable to Grant Applications based upon score, after the grants awarded by Grant Funding Level have been awarded, is 15% of the total amount available for competitive HECap awards.***

The total number of Grants awarded will depend upon the amount of funds available; the number of Applications received at each Grant Funding Level; and the score awarded to each application based upon responsiveness to the criteria set forth in this RGA. During the grant evaluation process, a panel of reviewers will review each Application and assign a score to each. In order to receive a HECap grant, an Application must receive a minimum average score of 70. The Applications with the highest scores at each Grant Funding Level shall be awarded a HECap grant, up to the Maximum Total Funding per Grant Funding Level.

Once the highest scoring Applications at each Grant Funding Level have been awarded without exceeding the Maximum Total Funding for that Grant Funding Level, any residual funds remaining at

that Grant Funding Level shall be added to the Base Pool and used to make additional HECap grant awards. Grants from the Base Pool shall be awarded to those Applications receiving the next highest scores across all Grant Funding Levels; provided, however, that in order to achieve a broader distribution of HECap Grant funds throughout the State, the HECap Board may award a HECap Grant to an application from another region so long as the average score of the application is 70 or above, in order to achieve regional diversity across the State.

#### **Section 4. Matching Requirement**

The HECap Act requires Eligible Applicants to contribute Non-State matching funds towards the HECap Project in a 3:1 ratio. Therefore, for every HECap Grant dollar received, the College must contribute at least three dollars of Non-State matching funds towards the HECap Project (“Matching Funds”). Eligible Applicants must also demonstrate the ability to provide the remainder of the funds necessary to complete the Project if the total Project budget exceeds the sum of the HECap Grant and the Matching Funds contributed by the College (“Completion Funds”). There is no requirement that matching funds be secured by September 1, 2020, but Colleges do need to demonstrate the ability to provide the remainder of the funds necessary to complete the Project. The degree to which matching funds have been secured will be a factor in scoring.

***PLEASE NOTE:*** the State and Municipal Facilities Program (SAM) grant cannot be used as a match or local share to any other state program including HECap. In addition, while waivers were accepted in the non-competitive round, no waivers will be given in any Competitive Round unless otherwise disclosed.

For purposes of this RGA, “Non-State funds” shall mean “funds except funds requested or obtained from the State of New York and accessible by the College for the HECap Project, including but not limited to federal funds, local funds, private funds, and in-kind contributions.”

A financial analysis will be undertaken in connection with each Application. The financial analysis will verify that sufficient funds in excess of the Grant amount have been secured in the amount necessary to complete the HECap Project, and that such funds meet all applicable criteria set forth in the HECap Act and this RGA. Documentation to support the committed financial resources must be included with the Application and may include, but is not limited to, any or all of the following:

- Bank account and investment account statements
- Donor pledges, agreements and receipts
- Grant award letters, agreements and contracts
- Loan agreements, commitment letters, terms and conditions
- Bond documents
- Personal service contracts
- Bills of sale and paid invoices evidencing payment by the College for an eligible cost. **In order to qualify as a matching cost, the payment must have been in furtherance of a component of the HECap Project that complied in all respects with the requirements of the statute (prevailing wage, MWBE, etc.); and**

- If the College will be using institution funds for any part of the Non-State match, the most recent audited financials should be provided with the Application.

The following guidelines should be utilized by the College to assess whether certain funds qualify as matching funds:

- Private funds consist of donations, contributions, grants and loans from private sources (including persons, corporations, foundations and not-for-profit entities). Private donations, contributions and grants are received when they are actually in the accounts of the College (“in hand”) AND available to spend by the College (i.e. - all restrictions have been satisfied).
- If a condition of grant receipt requires that the College expend funds and be subsequently reimbursed for such expenditures, the grant is received when there is documentation of a final and irrevocable award of grant funds. Private loans are received when they are available for an immediate draw by the College.
- Local funds consist of grants and loans from local municipal entities and other political subdivisions of the State that are not private funds. The provisions set forth above with respect to private funds would apply to local funds.
- Federal funds consist of grants and loans from the Federal government. The provisions set forth above with respect to private funds would apply to Federal funds.
- Borrowed funds consist of any form of College contractual indebtedness. Borrowed funds are received when all requirements have been met for the funds to be available for an immediate draw down by the College to finance an eligible HECap Project.
- Own source funds consist of any funds provided by the College from its own financial resources, interest earnings free from any restrictions and cash from current operations which have been specifically dedicated to eligible HECap Projects by the College as evidenced by a Board resolution. Own source funds are received when they are earned and on deposit in one or more accounts of the College the date that they are earned.
- In-kind contributions consist of goods and services donated to the College specifically related to an eligible HECap Project. It is suggested that goods be deemed received at the time the College has use and possession of them for the eligible HECap Project purpose. Services shall be received at the time they are performed, or when it can be documented that they will be contractually performed for an eligible HECap Project purpose. All in-kind contributions must be valued at their fair market value at the time they are received or expected to be received and the College must document the determination of fair market value at the time of Application.



- Eligible HECap Project expenditures already made by the College may be counted as Non-State matching funds contributed by the College so long as such expenditures did not occur prior to September 1, 2020. However, the funds used to make the expenditures must be sourced back to one or more categories of matching funds and documented for each source of funds.

***PLEASE NOTE:*** that pledges or award letters with unsatisfied contingencies, pending loan applications, and other non-final commitments will not be considered to be secured Matching or Completion Funds in the evaluation process. Applications demonstrating that Matching Funds and Completion Funds have been secured shall be evaluated more favorably than Applications that do not provide evidence of committed funding sources necessary to complete the HECap Project.

## **Section 5. Special Conditions of Award**

As a condition of receiving an award in the fourth Competitive Round, the HECap Act requires Colleges to execute an undertaking to voluntarily comply with the State Finance Law (“SFL”) Article 9 (except SFL § 135); Executive Law Article 15-A; and Labor Law Article 8, Article 9 and Article 10 (“Standard Clauses for Higher Education Capital Matching Grant Program Contracts”, attached to this RGA), insofar as those provisions would be applicable to the contracts of public colleges. The HECap Act also states that “[e]ach contract entered into by a college...shall be subject to the approval of the comptroller and, as to form and manner of execution, by the attorney general of the state of New York.” DASNY will forward each contract to the New York State Attorney General (“Attorney General”), whereby Appendix B will be appended to each, to be approved as to form and then the College will be required to certify that DASNY has done so on behalf of the College by providing a signed Appendix C.

The HECap Board and DASNY recognize their obligation to promote opportunities for the maximum feasible participation of certified Minority and Women-owned Business Enterprises (“MWBEs”) and the employment of minority group members and women in the performance of administering the HECap Program. Accordingly, in furtherance of the goals of New York State Executive Law Article 15-A, a participation goal of 18% for Minority-owned Business Enterprises (“MBE”) and a participation goal of 12% for Women-owned Business Enterprises (“WBE”) is required on: (i) any award resulting from this solicitation in excess of \$25,000 for commodities and services or (ii) any award resulting from this solicitation in excess of \$100,000 for construction.

By submitting an Application, the College agrees that if awarded a grant it will utilize “good faith efforts” to obtain MWBE participation and provide supporting documentation in such form as shall be required by DASNY. Each College must document its good faith efforts to provide meaningful opportunities for participation by MWBEs as subcontractors and suppliers in the performance of the project to be described in each Application and subsequently the Grant Disbursement Agreement. The College understands that payment may be withheld pending receipt of the required MWBE documentation. The directory of MWBEs can be viewed at: <https://ny.newnycontracts.com>. DASNY will utilize the “good faith efforts” set forth in 5 NYCRR § 142.8 as guidance to assess whether the Grantee has exercised “good faith efforts” to obtain MWBE participation.

In accordance with 5 NYCRR § 142.13, each College acknowledges that if, upon audit, it is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth, such finding constitutes a breach of contract and the State may seek damages.

Additionally, the College may be required to submit the following documents and information as evidence of compliance with the foregoing:

- a) An MWBE Utilization Plan, which shall be submitted in conjunction with the review process and subsequently the execution of the Grant Disbursement Agreement. DASNY will review the submitted MWBE Utilization Plan and advise the College of acceptance or issue a notice of deficiency within 30 days of receipt. Any modifications or changes to the MWBE Utilization Plan must be reported on a revised MWBE Utilization Plan and submitted to DASNY for review.
- b) If a notice of deficiency is issued, the College will be required to respond to the notice of deficiency within seven (7) business days of receipt by submitting to DASNY a written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found to be inadequate, DASNY shall notify the College and direct the College to submit, within five (5) business days, a request for a partial or total waiver of MWBE participation goals. Failure to file the waiver form in a timely manner may be grounds for cancellation of the grant award.

A Grant Disbursement Agreement shall not be provided to the College, or may be terminated, if DASNY becomes aware that the College:

- a) fails to submit a MWBE Utilization Plan;
- b) fails to comply with the MWBE Utilization Plan;
- c) fails to submit a written remedy to a notice of deficiency;
- d) fails to submit a request for a waiver;
- e) fails to document good faith efforts; or
- f) did not pay Prevailing Wage on the entire Project.

The College will be required to attempt to utilize, in good faith, any MBE or WBE identified within its MWBE Utilization Plan, during the performance of the project. Requests for a partial or total waiver of established goal requirements may be made at any time during the term of the project, but must be made no later than prior to the submission of a request for final payment under the Grant Disbursement Agreement.

Upon DASNY's request, each College may be required to submit a Quarterly MWBE Contractor Compliance & Payment Report to DASNY, over the term of the project, in such form and at such time as DASNY shall require, documenting the progress made toward achievement of the MWBE goals established for the project.

**Colleges that do not comply with the above-referenced provisions will not be able to receive HECap Grant funds.** The directory of MWBEs can be viewed at: <https://ny.newnycontracts.com>.

## **Section 6. Grant Notification and Grant Disbursement Agreement**

Upon notification by the Board to DASNY of the award of a HECap Grant in this fourth Competitive Round, DASNY will forward an award letter to the College outlining the reviews that will need to be undertaken prior to sending a Grant Disbursement Agreement (GDA – the contract between the College and the HECap Board) to the College.

Once a GDA is sent to the College and returned to DASNY for processing, the GDA will be reviewed for completeness and accuracy, which will include verification that the budget has not changed (or that a valid rationale is given for the change and the change does not materially affect the approved HECap Project, timeline or budget), the exhibits are properly completed, an appropriate opinion of counsel has been provided, and no other issues have arisen that would affect the status of the Grant. Once this review is complete, DASNY will arrange for execution of the GDA by all parties to the GDA, which includes the HECap Board, the Attorney General, and the New York State Comptroller (“Comptroller”).

The GDA will become effective only upon receipt by DASNY of the fully executed document and will be effective for five (5) years from the date the HECap Board awarded the grant.

Once the GDA is fully executed, one fully executed GDA will be returned to the College. The College may then begin to requisition funds using the forms included as exhibits to the GDA. The College must forward requisitions directly to DASNY’s Accounts Payable Department.

DASNY will perform an audit with respect to each requisition received from the College, which will include, but shall not be limited to: verification that proper documentation has been received, verification that the named College is the legal entity responsible for paying the project costs, and confirmation that the costs to be paid from the HECap Grant are consistent with the HECap Act. DASNY will then recommend payment by the Comptroller and subsequently the Comptroller will pay the College.

## **Section 7. Overview of Review Process**

Each College seeking a HECap Grant in the fourth Competitive Round in response to this RGA must submit an Application using the “Higher Education Capital Matching (HECap) Grant Program Standard Application (the “Application”). Each Application will be initially screened to verify that it is a complete Application, and then evaluated based upon the quality of the responses to the required Application components.

**Please be sure that all sections of the Application are completed and all requested information and supporting documentation is provided. While some of the information provided in the Application will not be scored, if an Application is missing critical elements, it may be rejected without further notice to the Applicant.**

**Please also note that in accordance with NYS Comptroller guidelines, please be sure that the College maintains and updates the Vendor Responsibility Questionnaire (“VRQ”) on file through the New York State VendRep System (<https://portal.osc.state.ny.us/Enrollment/login>); and in accordance with the New York State Grants Reform Gateway (<https://grantsreform.ny.gov/>) guidelines as well as DASNY’s Policy, please be sure that the College updates, maintains and**

**updates the College's Document Vault and the status of Prequalification or exemption is kept current.**

The reviewers will review the following in connection with each Application received:

- Verify that the Application is complete and contains all of the required Application components as set forth in Section 9 and as further described below.
- Verify that the HECap Project as described in the Application meets Federal and State statutory requirements, including compliance with the provisions set forth in Section 5 of this RGA.
- Verify that the HECap Project as described in the Application meets the requirements set forth in the HECap Act and this RGA.
- Verify that the grant funds will not be used in connection with any religious program or to further any particular religion.
- Verify that the Application contains evidence of commitments for the required Matching Funds, meets the statutory requirements and the requirements set forth in this RGA, and have been secured.
- Verify that the Vendor Responsibility Questionnaire (VRQ) has been completed and the Applicant has been prequalified in the Grants Gateway.
- Verify that DASNY bond proceeds may be used to reimburse the State for project costs paid under the HECap Program.

Prior to entering into a GDA with a College, DASNY will also require the completion of the following:

- Verify that a deed, lease or contract of sale has been provided. If the HECap project will take place on leased property, the term of the lease must extend at least (10) ten years from the date of Application. If grant funds will be used to purchase real property, the contract of sale with all evidence that all contingencies have been satisfied must be provided, along with an appraisal meeting all USPAP requirements.
- Verify whether an appropriate SEQR or CEQR review has been undertaken for the HECap Project.
- Verify any other land use or other requirements that must be met prior to construction including, as applicable, ULURP (required in connection with certain actions in New York City); compliance with zoning codes, compliance with section 14.09 of the State Historic Preservation Act, and any other Federal, State and/or Local regulatory approvals necessary to undertake the project.

- Verify (if available) contracts have been submitted and meet the prevailing wage and MWBE requirements as outlined in the RGA.
- Verify that Workers' Compensation Coverage and Proof of Disability Benefits Coverage is current.
- Verify that the VRQ is current and that the Grants Reform Gateway Document Vault is prequalified throughout the process.

## **Section 8: Key Events/Dates, General Inquires and Questions**

### **Key Events/Dates**

Provided below is a schedule of milestones for this RGA. DASNY reserves the right, on behalf of the HECap Board, to change any or all of these dates as it deems necessary or convenient in its discretion. In the event of any modification, a notice will be posted on DASNY's website at [www.dasny.org](http://www.dasny.org). Please refer to DASNY's website throughout the RGA process for these updates.

Eligible Project Dates	September 1, 2020 – September 1, 2023
Issuance of RGA	January 29, 2020
Deadline for RGA Questions	February 21, 2020
Post Responses to RGA Questions (not earlier than)	March 6, 2020
DASNY Webinar (application process/Q&A Summary)	March 26, 2020
Application Due By	May 8, 2020
Awards Expected (not earlier than)	July 22, 2020

### **General Inquiries**

From the issuance of this RGA until awards are announced, any general inquiries related to the procurement must be directed to the RFP Coordinator. All inquiries regarding this RGA should be addressed to:

RFP Coordinator  
 Email: [HECapRFPCoordinator@DASNY.org](mailto:HECapRFPCoordinator@DASNY.org)  
 Subject: HECap RGA #5545 Inquiry

### **Questions Relevant to RGA and Applicant Webinar**

DASNY has set up a survey tool to handle all questions for the HECap RGA. The program tool requires that the Applicant choose a relevant category from the drop-down box, enter the question and submit. Each question must be entered as a separate entry in the survey. The deadline to submit questions is **4:00 pm on February 21, 2020**. Detailed instructions are provided in the survey tool which may be accessed via the web link below:

<https://www.surveymonkey.com/r/HECAP2020>

To maintain a fair and open process, DASNY will only accept questions regarding this RGA received via the survey tool link. Answers to questions of a substantive nature will be posted to the DASNY website ([www.dasny.org](http://www.dasny.org)) no earlier than **March 6, 2020**. Applicants should note that all clarifications and exceptions are to be resolved prior to the submission of an Application.

DASNY will host an **Applicant Webinar on Thursday, March 26, 2020**. DASNY will address questions and clarify specific elements of the RGA announcement during this webinar. Potential applicants are strongly encouraged to attend this webinar. Registration details for the Applicant Webinar will be posted on the DASNY website ([www.dasny.org](http://www.dasny.org)) no earlier than March 12, 2020.

## **Section 9: Submission of Application and Required Supporting Documentation**

Colleges seeking a HECap Grant in this Competitive Round must submit one original signed Application along with all backup documentation as well as one copy of the Application and backup documentation on USB flash drive on or before 4:00 p.m. on May 8, 2020 to:

HECap Board  
c/o Sean Rosney  
Dormitory Authority of the State of New York  
Grants Administration Unit  
515 Broadway  
Albany, NY 12207-2964

It is the responsibility of each Applicant to see that Applications are delivered to the address noted above prior to 4:00 pm on May 8, 2020. DASNY will not consider Applications that are late due to delivery delays.

DASNY reserves the right, on behalf of the HECap Board, to:

- Reject any or all Applications received in response to this RGA.
- If DASNY is unsuccessful in reviewing the Application within an acceptable timeframe because documentation is lacking and the College is nonresponsive, the HECap Board may award the funds to the next most qualified Applicant(s) in order to satisfy the best interests of the State.
- Reject any Application submitted by an Applicant which is not in compliance with all State requirements.

Each Application will be evaluated for responsiveness and the extent to which the HECap Project as described in the Application will further the objectives of the HECap Act, as further set forth below. This evaluation will serve as the basis for determining whether a HECap Grant will be awarded. Therefore, Applicants are strongly encouraged to provide robust narratives, and any necessary backup documentation, that fully and clearly describe the benefits of the proposed HECap Project for the objectives set forth below.

Each Application submitted in response to this RGA shall include the following information. Please provide your response in the same order in which it is requested using numbered side tabs that correspond with each of the numbered tabs below.

*TAB 1 APPLICATION*

Provide a completed “Higher Education Capital Matching (HECap) Grant Program Standard Application for the Competitive Round (CR-4)” (“Application”) attached to this RGA. The Application must be signed by an individual authorized to bind the College contractually. Indicate the title or position that the signer holds within the College. The Grants Reform Gateway Document Vault has been prequalified and remains to be prequalified throughout the process. DASNY reserves the right to reject submissions that contain an unsigned Application.

*TAB 2 PROJECT DESCRIPTION/NARRATIVE*

Provide a detailed description of the HECap Project to be undertaken with Grant funds and the goals that are expected to be achieved as a result of undertaking the Project. The description must include a statement confirming that construction had not begun on the HECap Project prior to September 1, 2020 and is expected to be completed no later than September 1, 2023 or, if the HECap Grant is to be used for the purchase of equipment, that such equipment was not purchased prior to September 1, 2020. Applications for HECap Projects that have not yet started, but are expected to be completed by September 1, 2023 are preferred.

The description must discuss how the proposed HECap Project would accomplish one or more of these objectives: 1) enhance the programmatic offerings at the College; 2) provide economic development benefits to the surrounding area; or 3) enhance the student life at the College. Applications should clearly describe the extent to which the project will provide benefits in any or all of the above three categories.

If applicable, detail how undertaking the HECap Project would enhance the programmatic offerings at the College and how many students would benefit. For example, Colleges are encouraged to discuss whether completion of the HECap Project would result in new degree offerings, the hiring of additional faculty, or attract more students to the College.

If applicable, describe whether the HECap Project would provide economic development benefits to the surrounding area and document the basis for quantification of the economic development benefits.

If applicable, describe how undertaking the HECap Project would enhance student life at the College and how many students would benefit. For example, Colleges are encouraged to discuss and document demand for the HECap Project to be funded by the Grant.

### *TAB 3 PROJECT BUDGET*

Provide a project budget setting forth the sources and uses of funds and funds necessary at each stage of project completion (include a separate page from the Application, if necessary) and whether a recurring source of revenue shall be available to support facility operations and maintenance for the HECap Project.

Provide the amount of Grant requested, and the total amount of the HECap Project to be funded with the HECap Grant. Grant funds are to be utilized for capital costs only, and no Grant funds may be used to supplant any direct or indirect costs of the Grant recipient.

### *TAB 4 ESTIMATE*

Provide a professional estimate(s) describing the HECap Project to be funded with the HECap Grant and setting forth the cost to complete such Project.

### *TAB 5 FUNDING SOURCES*

Provide a detailed description of the type or types of Matching Funds to be utilized to complete the HECap Project, including the source of such funds, and documentation of each committed funding source in one or more of the formats set forth in Section 4 above.

Applications for HECap Projects that have secured Matching Funds and Completion Funds, except for the portion to be funded by the Grant, are preferred.

Applications demonstrating a higher level of Completion Funds or the ability to leverage the HECap Funds to obtain additional funding for the HECap Project are preferred.

Please note that pledges, award letters with unsatisfied contingencies, pending loan applications, and other non-final commitments are not considered to be secured Matching or Completion Funds in the evaluation process.

State whether the HECap Project has the participation and financial support of a consortium of Colleges and/or public or private partnerships and if so, provide a description of such participation and/or financial support and documentation evidencing such support.

In conclusion, once DASNY has undertaken the review and scores the Applications based upon the above criteria, DASNY will provide the Application and relevant information to the HECap Board for its review and selection of Grant recipients.