



## RISE : NYC, Q&A

Information Session, February 3<sup>rd</sup>, 2014

### Q&A Response

Terms not otherwise defined herein shall have their respective meanings as set forth in the Competition Brief.

#### General Program Information

**1. Will there be a process for matching project sites with technologies and solutions?**

NYCEDC will provide more information on opportunities for connecting technologies and project sites in Stage 2 of the RISE : NYC competition. Applicants are not required to identify a project site for Stage 1 submissions.

Eligible small businesses, building owners/managers and real estate developers that have not identified a specific resiliency technology can register their interest to be a project site via the [Adopt a Technology page](#) on the RISE : NYC website. In future stages of the competition, they may have the opportunity to connect with technology providers to potentially receive a resiliency technology or solution installed at no cost to the small business(es). Additional guidance on project site eligibility will be provided in later project stages.

**2. Can Applicants submit a building's address to determine if it is an eligible project site? Can data sets be made available to help determine whether a proposed project site is eligible?**

Location alone is not sufficient to determine eligibility as a project site. Small business sites are eligible if it can be demonstrated that they:

- i. sustained physical damages as a result of the storm; or
- ii. were located in the inundation area of the storm and can demonstrate direct or indirect impact from the storm; or
- iii. sustained a loss of power or utility connection as a result of the storm; or

- iv. are located within the best available 100-year floodplain and can demonstrate direct or indirect impact from the storm (i.e., are evaluating whether to expand or even continue operations in these vulnerable areas)

While the City has compiled data sets on the location of Hurricane Sandy impacted areas, NYCEDC is not able to supply those data sets at this time. However, NYCEDC will transmit this request to the Mayor's Office of Data Analytics.

The Federal Emergency Management Agency (FEMA) Modeling Task Force (MOTF) Hurricane Sandy Impact Analysis map can be found [here](#). And the FEMA MOTF Hurricane Sandy Impact Analysis Data can be accessed [here](#).

**3. Is there a mechanism for potential project partners to connect?**

If interested in joining or forming a team, potential Applicants can register on the [NYCEDC website](#) to be listed as a potential subcontractor or a supplier for companies applying to the competition. We also encourage potential Applicants to attend in-person information sessions to connect with other potential Applicants. Contact information for information session attendees will be posted on the RISE : NYC website. Contact information for the February 3, 2014 information session has been posted [here](#).

**4. What is the relationship of RISE : NYC with other Sandy recovery programs, such as Build it Back?**

While there are many post-Sandy recovery opportunities, RISE : NYC focuses on identifying and deploying *new and innovative measures* to benefit local small businesses that were impacted by Hurricane Sandy by making their building systems, energy infrastructure and telecommunications networks more resilient to the impacts of future storms, sea level rise and other effects of climate change.

NYCEDC is coordinating the RISE : NYC effort with other Sandy programs administered by the City. As the scope of this competition and the technologies that we are seeking are unique, we do not anticipate much overlap with other Sandy recovery programs such as Build it Back. However, the RISE : NYC team will conduct a check for duplication of benefits once Applications have been submitted. Applicants will be required to disclose any funding applied for or received from sources such as insurance, private grants, or government sources, including City, State or Federal programs.

**5. What is NYCEDC's interaction with Sandy-affected community groups? Consequently, what is the responsibility of Applicants to interact with those communities?**

The RISE : NYC team conducted extensive outreach and continues to engage with local Sandy-impacted community and business organizations to inform them of the competition and provide necessary additional information. There is no requirement for

RISE : NYC Applicants to conduct additional outreach to impacted communities; however, Applicants should be aware of the needs of these communities, the potential to replicate their projects at the community- and city-level, and the benefits that scaling their technology would provide.

**6. Will the City of New York take ownership of the winning technologies and solutions? Will the City continue to contract with awardees to replicate the technology?**

No, the City of New York will not take any ownership of intellectual property submitted by Applicants. However, all *Applications* do become the property of NYCEDC. All Applications and other materials submitted to NYCEDC in response to this competition may be disclosed in accordance with the standards specified in the Freedom of Information Law (FOIL), Article 6 of the Public Officers Law. However, the entity submitting an Application may provide in writing, at the time of submission, a detailed description of the specific information contained in their Application which it has determined is a trade secret and which, if disclosed, would substantially harm such entity's competitive position. This characterization shall not be determinative, but will be considered by NYCEDC when evaluating the applicability of any exemptions in response to a FOIL request.

The City, through the RISE : NYC competition, does not intend to contract with awardees to replicate the technology beyond the project sites identified in selected applications.

**7. How can the artist community find out about this competition?**

RISE : NYC aims to reach as many and as diverse a participant pool as possible, seeking the involvement of technology developers and providers as well as those located in Sandy-impacted areas or areas at future risk that are interested in having a technology installed at their building or site. The RISE : NYC team continues to conduct outreach through community and business organizations to inform potential Applicants of the competition and provide necessary information. In addition to our efforts, we appreciate and encourage community members and leaders to inform their respective networks of this opportunity. Further, if you have any suggestions for additional areas of outreach for the RISE : NYC project team, please email them to [info@rise-nyc.com](mailto:info@rise-nyc.com).

**8. Are there similar competitions and projects from other regions that Applicants may look at as examples when developing their Applications?**

RISE : NYC is not modeled after any one particular competition; however, it was based on best practices from a number of competitions and was informed by resiliency efforts in other locations that have experienced extreme weather events. Unlike many other competitions, RISE : NYC is focused on new technologies that are ready for installation but are not yet widely deployed in New York City.

## Eligibility

### **9. Many small businesses do not own their buildings – can capital improvements be made through the building owners?**

At this time, businesses, property owners/managers and real estate developers can apply as project sites if:

- i. They are either a small business or if their building houses small business as defined by the US Small Business Administration (SBA); and if
- ii. The proposed sites:
  1. Sustained physical damage as a result of Hurricane Sandy
  2. Experienced flooding during Hurricane Sandy
  3. Sustained a loss of power or utility connection as a result of Hurricane Sandy
  4. Are located in the best available 100-year floodplain and are therefore evaluating whether to continue or expand operations

RISE : NYC will provide additional information to and request additional information from Applicants in later competition stages to help determine eligibility. Final eligibility determination will be based on information provided as part of the Application process and ultimately, eligibility is contingent upon compliance with federal CDBG-DR rules. To facilitate these eligibility determinations, Applicants may provide as much information as they have on whether the site is owned or leased, as well information on the tenants and landlords, including if known, whether they are small businesses as [defined by the SBA](#).

### **10. What are the restrictions for non-small businesses that can provide a solution?**

All assistance disbursed through this program must benefit small businesses by installing resiliency technologies/solutions that benefit small businesses at no cost to them. The manufacturers, developers, or providers of the resiliency technologies/solutions that will benefit small businesses, however, are not required to be small businesses. Local, national and international technology or solution manufacturers, developers, or providers are welcome to apply. Please note that private utilities are prohibited from receiving CDBG-DR funding through this program. More information on eligibility can be found [here](#) on our website.

### **11. Is a project that benefits an entire building, and not exclusively the small business tenants on site, still eligible?**

If applying with a project site identified, your Application must demonstrate how a small business(es) will be the beneficiary of the project. A project that benefits an entire building with multiple tenants is potentially eligible; however, we encourage Applicants

to provide as much detail as possible in order for evaluators to determine eligibility. This can include information on how the technology/solution works, where and how it will be installed, what equipment/materials it will protect, whether the project site is owned or leased, as well as information on the tenants and landlords, including if known, whether they are small businesses. Final eligibility determinations will be based on information provided as part of the Application process and ultimately, eligibility is contingent upon compliance with applicable federal CDBG-DR rules.

**12. Would a project involving the installation of a technology or solution on a small business-owned building be eligible, even if the building manager is a larger company?**

At this time, small business building owners may apply regardless of the size of their management company. Final eligibility determinations will be based on information provided as part of the Application process and ultimately, eligibility is contingent upon compliance with applicable federal CDBG-DR rules. To facilitate these determinations, Applicants may provide as much information as possible regarding how the technology/solution works, where and how it will be installed, what equipment/materials it will protect, whether the site is owned or leased, as well as information on the tenants and landlords, including if known, whether they are small businesses.

**13. Do technologies and solutions need to be approved by FEMA?**

No, that is not a requirement of this competition.

**14. Are new development and construction projects that involve the use of new and innovative resiliency measures eligible?**

While it is possible for new construction to be eligible, in all cases, Applicants must demonstrate that small businesses that were impacted by Hurricane Sandy are benefiting from the installation of the technology/solution. Further, all projects must be able to comply with the timing for disbursement of federal CDBG-DR funding.

**15. Are projects that are currently underway or have been recently completed eligible for funds through this competition?**

RISE : NYC will not award funds to reimburse costs associated with previously completed projects. However, Applicants could propose to replicate completed or currently underway resiliency technology/solution installations at alternative eligible project sites across the city.

**16. If we plan to install an eligible resiliency technology/solution at several sites, and have only installed the technology on a few of those sites, can we apply for funding to deploy the technology on the remaining sites?**

Yes, you can apply for funding if the technology/solution and remaining sites are eligible under RISE : NYC. Final eligibility determinations will be based on information provided as part of the application process and ultimately, eligibility is contingent upon compliance with applicable federal CDBG-DR rules.

**Application Requirements**

**17. In Stage 1, how should Applicants identify themselves as a consortium?**

Consortia are welcome to apply; however, a lead organization must be identified in the Application. The lead Applicant should be indicated in Question 1 of the Application. The lead Applicant then has the opportunity to indicate that they are applying as a member of a consortium in Question 2 of the Application. More detailed information on the team's composition and structure can be included in Question 3 of the Application.

**18. Can Applicants identify more than one project site? Is it beneficial to reach out to several project sites?**

Yes, Applicants can identify multiple project sites.

Applicants should propose an appropriate and sufficient number of project sites that best demonstrate their technology or solution and demonstrate a value equivalent to the funding requested.

**19. Is there an ideal mix of organizations for consortium Applicants?**

No, there is no ideal team composition. Applicants should structure their teams to best allow them to meet the objectives of the RISE : NYC competition.

**20. Do specific small business beneficiaries need to be identified in Stage 1 Applications?**

No, small business beneficiaries and/or project sites do not need to be identified in the Stage 1 Application; however, we encourage Applicants to provide as much information about the location and type of business the technology would benefit. Successful Stage 1 Applicants that move on to Stage 2 will be required to identify small business beneficiaries and project sites.

**21. Can Applicants submit a single application involving multiple sites or multiple technologies?**

Applications should be technology- or solution-specific, but multiple project sites using the same technology can be submitted as an integrated proposal.

**22. Is there a limit to the number of proposals a small business can submit/be a party to?**

No, small business project sites can apply to receive multiple technologies and can join multiple project teams as the installation site.

Technology/solutions providers can submit multiple Applications for different technologies and can join multiple teams.

**23. Can two separate Applicants from Stage 1 collaborate in the later stages?**

Yes, we encourage collaboration between prospective participants. Applications to Stage 2 can include collaboration among previously separate Applicants.

**24. What kind of technical information is required for the Stage 1 Application?**

In Stage 1, Applicants are asked to describe the proposed technology or solution: what it does, how it works and how it differs from more conventional solutions. More detailed technical specifications will be required in later stages of the competition.

**25. Are cost estimates needed in Stage 1 Applications?**

In Stage 1, Applicants are asked to provide *general* information on the total estimated project costs, the proposed funding request for RISE : NYC and how the funds would be used. More detailed cost breakdowns will be required in later stages of the competition.

**Evaluation and Selection**

**26. Will citywide replicability and scalability or degree of innovation and value proposition be weighted more when evaluating Applications?**

In Stage 1, Applications are scored out of a possible 100 total points. Applications can receive up to 10 points for the replicability and scalability of the proposed project. Applications can receive up to 12 points for the degree of innovation and value proposition of the proposed project.

**27. Will M/WBE goals be considered when selecting projects?**

RISE : NYC encourages companies who have been certified with the New York City Department of Small Business Services (SBS) as Minority and Women Owned Business Enterprises (M/WBE) to apply. More information on M/WBE goals will be provided in Stage 2 of the competition.

**28. How will the job creation aspect of a proposed project be considered? Will the competition consider whether projects are implemented using resources (materials, labor, etc.) from impacted areas?**

Applications will be evaluated based on their economic impact. The deployment of proposed solutions should provide measurable economic benefits to areas impacted by Hurricane Sandy, particularly for small businesses and for low-moderate-income individuals and areas. These economic benefits could include direct project-related job creation and business growth, or from the implementation of resiliency measures that would limit the impacts of future storms.

Please note that all projects will also be required to comply with applicable federal CDBG-DR rules. Specific requirements will vary based on project type. For example, contracts/subcontracts in excess of \$100,000 will be required to comply with Section 3 of Housing and Urban Development Act of 1968, which addresses the provision of employment and other economic opportunities for low-moderate income residents and businesses. Additional information on CDBG-DR rules can be found in the Competition Brief.

**29. Are specific locations within the city ranked with higher preferences based on significance and type of impact experienced from Hurricane Sandy?**

No, there is no preference given for project location or the type of impact experienced as a result of Hurricane Sandy.

Eligible projects that can demonstrate a benefit to small businesses that incurred extensive physical damages as a result of the storm may be given preference, at the discretion of NYCEDC and the City.

**30. With respect to the proposed technologies: is there a preference between an integrated solution that is installed on one site or a single technology installed on several sites? Does a system qualify as a technology/solution?**

There is no preference for projects that involve the integration of multiple technologies on a single eligible project site or a single technology on multiple eligible project sites. Applicants should propose an appropriate and sufficient number of project sites that best demonstrate the technology or solution and demonstrate a value equivalent to the

funding requested. Further, proposed technologies and solutions should be cost-effective and scalable with significant potential to be replicated throughout New York City.

Integrating technologies into a comprehensive solution qualifies under RISE : NYC.

## **Funding and Awards**

### **31. How will contracts with RISE : NYC winners be structured?**

Prior to receiving any award funds, selected Applicants will be required to enter into a Grant Agreement with NYCEDC in compliance with HUD regulations and subject to approval by the City of New York acting by and through its Office of Management and Budget (OMB). Upon entering into a Grant Agreement with NYCEDC, award funds will be disbursed to selected Applicants in accordance with the Grant Agreement upon satisfying certain conditions to disbursement which will be specified in the Agreement.

### **32. Is there a limit on the amount of matching funds that can be leveraged by the Applicant from other sources?**

RISE : NYC encourages Applicants to leverage other funding sources without limit. Applicants must disclose all other funding and how that funding will be used. Further, projects are still eligible even if they have received other Sandy-related federal disaster assistance; however, Applicants will be required to report all financial assistance offered, received, rejected, or yet to be received, including from insurance, private grant-making institutions, and any local, state or federal government entity. The RISE : NYC team will conduct a check for duplication of benefits once Applications have been submitted.

### **33. Is there a target funding amount for each project?**

Awards for all selected finalists in the RISE : NYC competition may total up to \$30 million in funding, with individual projects anticipated to receive between \$500,000 and \$10 million each, allowing for multiple, impactful projects to be implemented.

NYCEDC reserves the right, at its sole discretion, to make fewer, additional, or no awards and/or to make awards of different amounts than those noted above.

### **34. Will there be the opportunity for additional funding under the RISE : NYC competition?**

Up to \$30 million is available through RISE : NYC for the installation of selected technologies – additional funding is not anticipated at this time. However, selected

technologies may be eligible to apply for funding through other City, State or Federal programs.

**35. Can up to 100% of a project's cost be funded through RISE : NYC?**

Outside funding sources are not required but are encouraged.

Applicants may request funding for 100% of a project's costs through RISE : NYC. However, please note that, as outlined in the Competition Brief, all Applications will be evaluated for cost-reasonableness based on the appropriate level of detail requested during each Competition stage. Final eligibility determinations will be based on information provided as part of the Application process and ultimately, eligibility is contingent upon compliance with applicable federal CDBG-DR rules, including a prohibition against undue enrichment that requires that award funds not exceed the minimum amount needed to make the proposed project financially feasible. Additional information on CDBG-DR rules can be found in the Competition Brief.