

ZOOS, BOTANICAL GARDENS and AQUARIUMS

Z B G A

GRANTS PROGRAM

FY 2013 - 2016

GUIDELINES

For a Three Year Contract Term

April 1, 2013 - March 31, 2016



State of New York
Andrew M. Cuomo, Governor



Office of Parks, Recreation and
Historic Preservation
Rose Harvey, Commissioner

An Equal Opportunity/Affirmative Action Agency

ZBGA GUIDELINES

INTRODUCTION

The Zoos, Botanical Gardens and Aquariums Program (ZBGA) is administered by the New York State Office of Parks, Recreation and Historic Preservation (OPRHP). The ZBGA Program, which is funded through annual appropriations from the state Environmental Protection Fund (EPF), provides the stimulus to develop educational, cultural and recreational programs interpreting our natural heritage as well as support for the permanent collections of eligible institutions, throughout the State of New York. ZBGA grants provide eligible local governments and not-for-profit organizations timely and stable annual funding for operating and program support. Applicants will be evaluated based on the administrative and fiscal strength of the organization, the quality and care of its collections, and the level of service to the public.

FUNDING CYCLE

This grant application will be for a three year contract. The baseline for each institution's award will be the greater of its 2010-11 or 2011-12 award.

Organizations will be grouped into four categories:

- 1 Very large** – those organizations receiving >\$300,000 annually
- 2. Large** – those organizations receiving between \$95,000 and \$300,000 annually
- 3. Medium** - those organizations receiving between \$30,000 and \$95,000 annually
- 4. Small** - those organizations receiving up to \$30,000 annually.

The Statement of Expense (Page 9 of the application) will determine each organization's direct expenses for programs and services and collection care only – in other words, the organization's ZBGA-eligible expenses. See Page 4 (Program Restrictions) for examples of expenses that are not eligible.

New organizations or those organizations which received an initial minimum grant within the last three years will be categorized as small to very large based on their direct expenses in comparison to the range of expenses of existing organizations within each size grouping. The projected award for these new and emerging organizations will be based on the most similarly sized organization that currently is receiving full funding. In the event these calculations result in total amount of grants that is higher than available funding, awards for all organizations projected to receive more than \$95,000 will be pro-rated down to meet the appropriation authority.

Each organization's grant funding amount in the second and third years will be a pro-rated share of the total ZBGA appropriation in those years in comparison to the 2010-11 appropriation. In the event new eligible institutions enter the program in the second or third year, they will be given an introductory grant of \$15,000 until the next application cycle starting April 1, 2013. The deadline for new applicants in the second year will be March 15, 2014 and for the third will be March 15, 2015.

To accommodate new eligible institutions, as well as make adjustments if any organizations drop out of the program in the second or third year of this grant cycle, grants will be further pro-rated; however, no eligible organization will receive less than the \$15,000 minimum.

Regardless of the results of the grant award calculations, in no case will an institution receive an award more than one third of the organization's total operating budget. In addition, there will be a maximum award to any applicant/parent organization of no more than one third of the annual appropriation; however, when the amount of the appropriation is such as would require a reduction in the amount awarded to any applicant/parent organization as compared to its award in the prior funding cycle, the Agency may elect to hold harmless that applicant from any such reduction.

ELIGIBILITY

Municipalities and not-for-profit organizations which own, house or care for living or systematically organized collections of objects of natural origin and which primarily provide such services to the general public on a regular and predictable basis are eligible for funding under the Zoos, Botanical Gardens and Aquariums Program.

For narrative purposes within this application, such organizations are referred to as NATURAL HERITAGE INSTITUTIONS, and the collections which they own, manage and interpret for the public are referred to as NATURAL HERITAGE COLLECTIONS. Both of these terms are defined below as they are applied to the Zoos, Botanical Gardens and Aquariums Program:

Definition: *Natural Heritage Institution*

Zoos, botanical gardens, herbariums, arboretums, aquariums, bird sanctuaries, natural habitat preserves, natural science museums, and nature and environmental centers which own, care for and interpret for the public living or systematically organized collections of biological specimens.

Definition: *Natural Heritage Collections*

- (a) preserved and systematically organized biological objects such as vascular and nonvascular plants, vertebrate and invertebrate animals and fossils which are interpreted in conjunction with living collections;
- (b) living animals and plants which are cared for and interpreted for the public in artificial or substitute habitats as captives or transplants;
- (c) natural habitats of New York State which are formally dedicated in perpetuity to be maintained as viable, natural ecological associations for wild animals and plants, and which are interpreted for the public.

In addition, each applicant must meet **ALL** of the following criteria in order to be eligible for the program:

- have well-defined program goals;
- be organized as a public or private non-profit institution and exist on a permanent basis to act as or for a natural heritage institution with, as a primary purpose, ongoing education programs servicing children and adults;
- support a facility from which to operate these programs and interpret the collection which is open to the general public on a regular and predictable basis for at least seven consecutive months of the year with a continual full schedule of programs and services for the public during that time;
- support an organized and systematic program for care of the collection, in accordance with State and Federal standards;
- be a municipality or a not-for-profit organization;
- if **not-for-profit**, be able to provide: a letter from the U.S. Treasury Department granting federal tax exemption under Section 501(c)(3) of the U.S. Internal Revenue Code; OR a copy of the Charter issued by the Board of Regents of the State of New York under Section 216 of the Education Law; AND a Charities Registration number or proof of exemption;
- have proven financial, administrative and public service stability for a minimum of two years;
- conduct all institutional operations in accordance with requirements of Title VI of the Federal Civil Rights Act of 1964 and of the Rehabilitation Act of 1963, as amended, which bar discrimination on the basis of race, age, color, nationality, handicap or place of residence;

- hold all captive animals and plants in accordance with State and Federal laws and maintain them in accordance with current professional standards of humane treatment and conservation;
- if affiliated with a larger organization, the applicant must have a separate budget; and
- comply with the Equal Employment Opportunity (EEO) and Minority and Women-Owned Business Enterprise (M/WBE) requirements of Article 15A of the Executive Law.

PROGRAM RESTRICTIONS

The following entities, programs and activities **are not eligible** for funding under the Zoos, Botanical Gardens and Aquariums Program:

- natural history or history museums or collections;
- science-technology centers/museum or collections;
- planetariums;
- gardens and plantings which are primarily decorative, ornamental or commercial;
- programs which deal primarily with interpretation, utilization and/or maintenance of genetically domesticated plants and/or animals;
- public school districts or their components;
- archeological or anthropological museums or collections;
- Federal agencies and their programs;
- New York State agencies and departments;
- research projects;
- land acquisitions;
- program activities solely restricted to or directed towards an organization's membership or clients;
- lobbying or political activities;
- fundraising activities;
- food services; or
- overhead and other indirect expenses.

NOTE: Institutions with collections or programs which include both eligible and ineligible categories and otherwise meet all program eligibility criteria are eligible **ONLY** for assistance in areas **relating to the natural heritage portions** of their collections and public service programs.

APPLICATION, SUBMISSION AND REVIEW

The completed application must be postmarked no later than April 1, 2013. An independent field survey of any **new** applicant institution will be conducted by OPRHP staff. Based on the criteria for funding, recommendations are transmitted to the Commissioner of OPRHP for final determination.

Applicants must submit one copy of the ZBGA program application to:

Office of Parks, Recreation and Historic Preservation

Attention: Catherine Class

Program Manager ZBGA- 2nd Floor Grants

Albany, NY 12238

APPLICATIONS MUST BE POST-MARKED OR HAND-DELIVERED BY THE DEADLINE.

LATE AND INCOMPLETE APPLICATIONS WILL NOT BE CONSIDERED FOR FUNDING.

DISBURSEMENT OF FUNDS

Once OPRHP has finalized the grant awards, the agency will provide each eligible organization a formal contractual agreement. After the organization's agreement is fully executed, vouchers for payment will be processed according to terms and conditions outlined in APPENDIX C of the contract agreement.

REPORTS

Prior to receiving funds for each year of this award, the recipient ZBGA institution must submit to the Albany Office one copy of a report containing a reconciliation of the contract as written compared to the project as completed. Further details of interim and final report requirements are outlined in the contract Appendix C. For the most part, they will consist of a Final Report Certification signed by the authorized official, Grant Payment Summary Sheet, and a brief narrative explaining what was accomplished with grant funds.

AFFIRMATIVE ACTION

OPRHP is committed to programs of Affirmative Action and agency staff will assist organizations in undertaking Affirmative Action initiatives. Article 15A of the Executive Law pertains to Minority and Women-owned Business Enterprises (MWBE) and Equal Employment Opportunity (EEO). State agencies are required to insure that all state contracts in excess of \$25,000 comply with EEO requirements. Projects in excess of \$25,000 for labor, services, supplies, equipment, materials or a combination thereof, or \$100,000 for capital construction projects may be assigned specific goals for participation by MWBEs. These goals will be based on the scope of the project and the availability of MWBEs to perform work in the project area. The grantee will be required to report on their utilization of MWBEs with each payment request and final report.

Projects which fall below the \$25,000 threshold for goods and services and \$100,000 for capital construction will be requested to show "good faith efforts" to solicit MWBEs during the project and document these efforts with each payment request and final report.

ACKNOWLEDGEMENT

All materials, public information and publications developed with funds from the ZBGA grant must acknowledge funding assistance by inclusion of the phrase; “This project was funded by the Zoos, Botanical Gardens and Aquariums Grant Program which is administered by the New York State Office of Parks, Recreation and Historic Preservation.”

ZBGA CONTACT

For additional information contact:

Catherine Class

518-474-0428

Catherine.Class@parks.ny.gov