

New York State Department of Economic Development
EXPLORE NY MATCHING FUNDS PROGRAM

GUIDELINES

2007/2008

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I. GENERAL INFORMATION

A. These guidelines address specifically the Explore NY Matching Funds program and have no binding authority with respect to the State's already existent Matching Funds program. Eligibility in the State's matching funds programs does not automatically grant eligibility in the Explore NY program or vice versa. Under this program, the State, on the recommendation of the Commissioner of Economic Development, will match funds with eligible entities, eligible entities are defined as two or more counties or duly recognized applicant tourist promotion agencies or a collection of thematically related entities desiring to market multiple related activities. The Department will be accepting applications that fall under one of the three thematic components identified as key to the strategic vision of the I Love NY campaign -- the outdoors, arts & local culture, and culinary/agri-tourism. Grantees may use any or all of, but are not limited to, the following methods:

- The purchase of recognized media advertising, which may include but not be limited to, television, radio, magazines, newsprint, internet, outdoor advertising and multimedia;
- Production costs of audio/visual, photography, video or film presentations to be used for approved advertising and marketing projects; and licensing/ talent fees to ensure ownership of finished product;
- Costs for Toll-Free telephone charges;
- Website design/updates;
- Mailing Project for fulfillment of program collateral, costs of direct mail campaigns, costs of brochure and film distribution services and mailing house costs;
- Research projects designed to stimulate and increase the volume of tourist travel, resort, vacation, culture and convention activities within New York State;

B. \$1,000,000 has been appropriated by the legislature for this program in FY 2007/2008. In the event the level of funds available for the Explore NY Matching Funds program changes, either an increase or decrease, the Department will take necessary action in accordance with Article 5 of the Economic Development Law. Funds will be awarded to applicants by the Commissioner of Economic Development for purposes which, based on their assessment of the proposed project, relate and adhere to thematically related activities marketed in a single marketing plan which and present an economical and effective plan for promoting tourism in New York State and which conforms to Economic Development Law Article 5 and to these Guidelines. In the event that the \$1,000,000 in funding is not all utilized during the FY 2007/2008, the Department will accept applications later in 2008, on a date to be determined, presuming that Explore NY funding has been re-appropriated by the Legislature.

C. The department will match up to \$1 for each dollar incurred by the applicant up to a \$50,000 match, pursuant to statute and these guidelines (1:1 match).

D. State funding for Explore NY matching funds shall not exceed fifty thousand dollars (\$50,000) annually per applicant. A project considered for such funds may receive partial funding if the Department, in consultation with the Tourism Advisory Council (TAC), deems it necessary. Applicants may also receive partial funding if more than one application is submitted by the same applicant.

E. For the purposes of the instructions, "Department" will mean the Department of Economic Development, and "Commissioner" will mean the Commissioner of Economic Development, "Grantee" will mean organization which the Explore New York grant will be reimbursed to, and "Program" will refer to the Explore NY program, and "Project" will refer to the applicants initiative.

F. APPLICATION TERMS AND CONDITIONS

▪ In regards to any application received for this program by the Department, the applicant certifies that **(1) by applying for such grant, it agrees to the terms and conditions set forth in the Explore NY guidelines in their entirety;** (2) State funds shall not substitute for customary support from sources other than DED; (2) to the best of his or her personal knowledge, all information contained herein is accurate and there are no misstatements or misrepresentations in the information submitted herein or as a supplement to this application; **(3) the receipt of funds under this program is for grant purposes only and not a gift of State funds in violation of the New York State Constitution; and (4) in order to receive such grant, applicant must fully carry out its thematic marketing program as outlined in this application and accompanying materials within the confines of the Explore NY guidelines.**

▪ Also, the applicant hereby releases DED and the State of New York, their employees and agents, from any liability and/or responsibility concerning damage to or loss of materials submitted to DED and the State of New York whether or not such damage or loss is caused by the negligence of DED, the State of New York, their employees and/or agents.)

▪ Executory Clause.

In accordance with Section 41 of State Finance Law, the State shall have no liability under this contract to the Contractor or to anyone else beyond funds appropriated and available for this contract.

II. APPLICATION & PROGRAM REQUIREMENTS

A. Eligible entities may apply for the Explore NY matching funds, and are defined as two or more counties, Tourism Promotion Agencies (TPA), or a series or collection of two or more thematically related entities choosing to market multiple, assets or activities in a single marketing campaign. These entities may include, but are not limited to, municipalities, not-for-profit and/or for-profit businesses.

B. The Department will be accepting applications which fall under one of the three thematic components identified as key to the strategic vision of the I Love NY campaign -- the outdoors, arts & local culture, and culinary/agri-tourism. Applications with themes other than these prescribed will be accepted. Applicant must provide information to justify why the theme should be considered and/or provide proof of its competitive advantage.

C. PROJECT DIRECTORS.

- Each application/project shall designate a Project Director, who shall be responsible for the conduct of the project and who shall represent the eligible entity in dealing with the Department on matters relating to the project. The Project Director must have a demonstrated background of tourism promotion, or a similar related field, which is acceptable to the Department. **The Project Director will be responsible for all aspects of the day-to-day administration of the project, for the preparation and submission of required reports/vouchers and preparation of cost estimate of the entire project. The project director should be the only contact with the Department, unless specific arrangements have been made with the Department.**
- Should the Project Director or Lead Applicant be changed during the life of the matching funds program, the original lead applicant/original Project Director must secure the Department of Economic Development's approval, in writing, of a new Project Director/Lead Applicant, or the original Lead Applicant must either terminate the project and return any funds reimbursed by the State.

- Administrative fees to pay a Project Director are not allowable under this program.

D. Projects shall use, without fee, the logotype and similar branding construct in use by the Department. All materials and advertising produced under this program must follow central conceptual themes/branding guidelines used by the Department. These branding guidelines are subject to revision by the Department. In addition, the logo must be used in all advertising and shall be prominently displayed. Use of the logo must conform to the logo type specifications which will be provided to grant awardees.

E. Applications that meet the requirements in the legislation and guidelines of the program and the requirement of these guidelines shall be reviewed by TAC and the Department in a timely manner. TAC shall then make a recommendation to the Commissioner of the Department, as to which applications shall be awarded funding. In the event an application before TAC relates to an entity that one of the TAC members is engaged in or with, such TAC member shall notify the Department of their involvement and shall be recused from that application. The applications will be evenly distributed to TAC members so that each application is scored by a set number of TAC members, making sure that if a TAC member is involved in any way with a project that they will not review that particular application.

F. Applications shall be submitted for projects under this program on application forms provided by the Department. These forms may be found at the end of this document.

Electronic Submissions:

- Applications can be submitted electronically via email and sent to : exploreny@empire.state.ny.us
- - **Emailed applications in addition must mail the signed original “Application” and “Project Participant” forms**, to the Department by either certified mail or a signed, trackable type of mail, i.e. Fed Ex, etc., at the following address: Explore NY Matching Funds Program, Division of Tourism, Thirty South Pearl Street, Albany, New York 12245.
- Applications and material may also be burned onto a CD. Applications on CD, **are required to include the signed original “Application” and “Project Participant” forms**, and must be sent to the Department by either certified mail or a signed, trackable type of mail, i.e. Fed Ex, etc., at the following address: Explore NY Matching Funds Program, Division of Tourism, Thirty South Pearl Street, Albany, New York 12245.
- Put the project directors name on all materials

- Hard Copy Submissions:

- Submit 2 copies (one with original signatures) of all required materials.
- Collated on single-sided 8 ½ x 11 paper
- Set margins to 1” and do not use a typeface smaller than 11 pt
- Number and put Project Directors last name on all pages
- Applications must be typewritten
- Paper clip only; NO BINDERS and NO STAPLES
- Applications in hard copy format must be sent to the Department by either certified mail or a signed, trackable type of mail, i.e. Fed Ex, etc., at the following address: Explore NY Matching Funds Program, Division of Tourism, Thirty South Pearl Street, Albany, New York 12245 (*Put the project directors name on all materials*).

- **Faxed applications will NOT be accepted.**

- **Late or incomplete applications will NOT be considered.**

- **DEADLINE: March 7, 2008 (must arrive by 5pm)**

- A decision on granting matching funds will be made by the Commissioner no later than **May 2, 2008**, after consultation with the Tourism Advisory Council. Recipients will be notified of awards via certified/registered mail.

- G. Applications must be kept to a 10 page maximum (not including graphic illustrations or exhibits), and include the information, and be presented in the same order, as the following outline:
1. Key Objectives of your marketing campaign, including measurable outcomes and impact. Who is your target audience? What research supports this opportunity?
 2. Partnerships
What is each partner's role and their financial contribution?
 3. Summary of Project Concepts
What is your marketing message? How does it distinguish itself from others in the market place? Please summarize your concept of this project.
 4. Marketing Plan & Timeline
What marketing tools will you use to drive increased tourism? Applicants should present marketing plans that are in alignment with the marketing strategy and branding concept of their Tourism Vacation Region, whenever practical. Efforts should be made to coordinate creative concept and media outlet strategy to better leverage the funding provided by the Explore NY grant program.
Please include a timeline for each of your proposed marketing components.
 5. Budget (to be completed on budget template below)

In addition, please reference scoring criteria for further insight to complete your application.

Explore NY Budget Plan

(Please list the total \$ amount allocated to each marketing activity and the \$ amount from the matching funds grants)

Marketing Activity	Total Budget	Explore NY Program
Advertising		
- Print Media		
- On line/Digital		
- Radio, Television		
Collateral, i.e. maps, guides		
Mailing		
Travel Show/Information Centers		
Sales Meetings/Events and FAM Tours		
Customer Response, i.e. toll-free number, answering service		
Web site creation		
Audio/Visual		
Research/Analysis		
Public Relations		

H. Advertising and promotion funded through the program shall not contain any reference whatsoever, whether real or intended, to the name of any public official of the State of New York or any of its political subdivisions.

I. Each application must describe briefly how the proposal will accomplish the general requirements listed in these Guidelines and the Application Instructions, and must be accompanied by all exhibits that are required.

J. No fee may be charged for the sale of any project collateral or supporting materials, produce as a result of this program.

K. In the event an application will not be awarded a grant under this program, the Commissioner shall notify the applicant in writing via certified/registered mail by **May 9, 2008**.

L. In the event that an application part of an application shall be deficient of minor information, that will not change the scope of the overall application, the Department may request and the applicant may supply information which completes the application. Amendments must be received by a date prescribed by the Department.

M. In the event that an application shall be found to be partially defective or partially without merit, the Commissioner may award Explore NY matching funds on a conditional basis. Such conditions will be explained in writing by the Commissioner.

N. The Department reserves the right, at its' discretion, to reject any application that is not in compliance with the statutory requirements and the requirements of these guidelines.

O. "In-Kind" matches are not an acceptable match for this program. An example of an "in-kind" match is if a partner were to offer a service (advertising, graphic design, etc.) in return for being part of the project, and a dollar amount is established for the service being rendered. This "dollar figure" can not be used as a match for this grant program

P. Within ten days of notification of approval, the Grantee must notify the Commissioner via certified/registered mail of its acceptance of the matching funds offer or its inability to accept.

Q. All materials produced with funds under this program must be submitted to the Department for final approval prior to printing or production. **If materials are not submitted to the Department before printing/production the Department may deem project pieces ineligible for reimbursement.**

R. Any release or written consent required by New York State Civil Rights Law Section 50, or State or Federal copyright law is the responsibility of the eligible entity and not the Department.

S. For the procurement of goods or services under this program, entities that have been awarded grants are expected to use responsibility and obtain quotes as appropriate. Such entities may be asked to submit proof of obtaining such bids as back up.

II. APPLICATIONS- SCORING

A. The Tourism Advisory Council (TAC) will review and score each application, and make final recommendations to the Department of Economic Development (DED). DED has the authority to accept or reject those recommendations, and may also accept applications not recommended by the TAC.

B. Applications will be scored in the following three categories:

- Thematic Based Tourism (40 points total)

- How well does the project propose to market multiple, thematically related assets/activities in a single campaign? How well does it illustrate that the project is tourism driven? How sufficient is the evidence of consumer demand?

- Would the theme/project drive overnight tourism? Encourage visitors to drive 50+ miles? Bring in visitors from outside of NY State?

- Does the theme of this project fall under one of the three thematic components identified as key to the strategic vision of the I Love NY campaign -- the outdoors, arts & local culture, and culinary/agri-tourism*. Examples of these themes, but are not limited to:

Scenic Outdoors & Recreation- projects featuring scenic beauty and recreational activities of New York State, including outdoor recreation, soft adventure, hiking, biking, golfing, eco-tourism, etc.

Arts & Local Culture- projects featuring distinct personality and history of a region, including historic sites, local crafts/artists, antiques or a theme that builds on a distinct historical feature of the area.

Culinary & Agri-Tourism- projects featuring experiences of local foods and farms of New York State, including wineries, breweries, cooking schools/classes, farm tours, local agriculture, etc.

* Applications that do not have themes that relate to these categories will be accepted, but will not receive points under this scoring category.

•Marketing Capability(40 points total)

- How realistic was timeline provided, did it include individual steps of the overall project, including specific dates these steps are to take place? How detailed/Clear was the marketing plan? How clear/detailed was the budget which demonstrates detailed anticipated or actual costs? How clear financial match information?
- How appropriate is the mix of partners including both tourism and business partners? How well are the specific roles/duties of the partners outlined? And are they appropriate?
- Did the project provide any information and/or research to show past success of similar project? Or same project from the past rounds? Does the application provide clear metrics to determine impact quantitatively or qualitatively for overall project? Does it provide target audience/geographic/demographic data?

•Innovation/Effectiveness (20 points total)

- Did the project introduce a new tourism approach/product? Will the project offer a distinct/differentiated product? Or offer a competitive advantage? Does the project offer a unique product of New York State or the region?
- How well does the applicant demonstrate an effective implementation? Are unique tools utilized to carry out this project? And appropriate are these methods or tools? Is there sufficient supporting evidence of how the project will effectively be executed?

ALL APPLICATIONS SUBMITTED FOR EXPLORE NY MATCHING FUNDS MUST INCLUDE A MARKETING PLAN IDENTIFYING THE SPECIFIC MARKETING METHODS PROPOSED, BY CATEGORY. FOR EACH MARKETING METHOD, REVIEW THE INFORMATION REQUESTED AND FEEL FREE TO PROVIDE MATERIALS THAT YOU DEEM NECESSARY TO DESCRIBE YOUR PROJECT ADEQUATELY. PROJECTS MAY INCLUDE MORE THAN ONE METHOD.

IV. ADVERTISING

A. An advertising project whose purpose is to further market multiple thematically related activities shall be eligible under this program.

B. Requirements:

- A description of the objectives of the project, including target markets, and the rationale for selection for each campaign.
- Tentative schedule of advertising, including proposed media placement schedule for all print, radio, TV and/or multimedia, frequency of ads and estimated costs.

- Sample of advertising, including theme, art, layout, copy and photos for printed materials; script for radio, or story boards/scripts for television.
- Such other materials as applicant feels necessary to describe proposed advertising adequately.
- Advertising must not focus on or be restricted to a single attraction or business, but rather an overall thematically related promotion scheme.

C. Guideline for the use of I LOVE NEW YORK music/song:

- Approval of any new composition of the music/song must come directly from I LOVE NEW YORK.
- Any use of the I LOVE NEW YORK music/song requires license payments to Elsmere Music, Inc., Box 185, Bedford, NY, 10506, Attention: Steve Karmen. Contact number for Steve Karmen/Elsmere Music, Inc. is 914-234-9201.
- The copyright notice “©1977 Elsmere Music, Inc. All rights reserved.” should appear on audio packaging and any other reproduction materials including sheet music.
- Commercials containing the unauthorized use of the music will be ineligible for Explore NY matching funds use.

D. Eligible Expenses.

Under the advertising project, only the costs of placing media advertising such as radio, television, magazine, newsprint, and/or multimedia and associated production costs are eligible.

E. Ineligible Expenses.

State funds granted under this program may not be used for travel, food, lodging, entertainment, or other expenses.

F. Approvals.

ALL ADVERTISEMENTS PRODUCED UNDER THIS PROGRAM MUST BE SUBMITTED TO THE DEPARTMENT FOR APPROVAL PRIOR TO BEING PLACED. ART FOR PRINT MAY BE SENT ELECTRONICALLY OR BY REGULAR MAIL. FAX COPIES ARE NOT ACCEPTABLE FOR COLOR ADS.

V. COLLATERAL

A. A collateral project whose purpose is to further market multiple thematically related activities shall be eligible under this Program. Funds requested under this project may be used to produce regional Accommodations, Camping, Restaurant Guides, Tour Planning Directories, County and/or regional Calendars of Events, Direct Mail Materials, Meeting Planners Guide, Package Guide, Travel Guides, special interest guides for response to specific advertising/marketing plans, postcards, bumper stickers, buttons and pins, or other promotional materials. Collateral shall also be deemed to include multimedia. Specialty items eligible for the general consumer are restricted to the bumper sticks, buttons and pins. Other materials may be approved by the Department on a case by case basis.

B. All applications for collateral production must contain:

- A description of the intent and use of the materials and a distribution plan and schedule.
- A tentative schedule that details layout, design, copy, photography, and printing dates.
- A production estimate for the materials.

C. Approvals:

ALL COLLATERAL MATERIALS PRODUCED UNDER THIS PROGRAM MUST BE SUBMITTED TO THE DEPARTMENT FOR INITIAL APPROVAL OF COPY, LAYOUT, DESIGN, AND THEME, WHILE PRODUCTION IS IN THE ROUGH LAYOUT STAGE. THE DEPARTMENT MAINTAINS THE RIGHT TO INSPECT MATERIALS AT ANY TIME, AND SUCH MATERIALS MUST RECEIVE FINAL APPROVAL BY THE DEPARTMENT PRIOR TO PRINTING OR FINAL PRODUCTION.

E. Eligible Expenses.

Under the collateral production category, the costs of designing, producing and printing travel guides, meeting planners guide, calendars of events, package brochures, special interest guides in response to specific advertising/marketing plans, regional tour planning directory, regional accommodation, camping and restaurant guides, or direct mail collateral under the specifications developed herein, or other approved promotional materials, will be eligible.

F. Ineligible Expenses.

State funds granted under this program may not be used for travel, food, lodging, entertainment, or other expenses.

VI. MAILING

A. A mailing project whose purpose is to further market multiple thematically related activities shall be eligible under this Program.

B. Eligible Expenses.

- Postage and shipping costs for collateral material produced with Explore NY matching funds;
- Contracts with operators of film or brochure distribution companies on a fee for service basis;
- Expenses for mailing house services such as answering inquiries for the approved advertising/marketing program and direct mail campaigns.

C. Ineligible Expenses.

State funds granted under this program may not be used for travel, food, lodging, entertainment, or other expenses. Also, matching funds may not be used to support the mailing costs for a single tourism business or events brochure.

D. Approvals.

ALL MAILING PIECES PRODUCED UNDER THIS CATAGORY MUST BE SUBMITTED TO THE DEPARTMENT FOR APPROVAL PRIOR TO BEING DISTRIBUTED.

VII. TRAVEL SHOWS AND INFORMATION CENTER

A. Travel shows and information center projects whose purpose is to further market multiple thematically related activities shall be eligible under this Program.

B. All applications submitted for the attendance Travel (Consumer & Trade) Show projects must contain:

- A description of the objectives of the project, including show schedules and rationale for their selection;
- Listing of all related expenses.
- Listing of each individual show and its location.

C. Eligible Expenses.

The costs of space rentals; service contracts for such items as tables, chairs, electricity, etc.; exhibit shipping, drayage and storage costs; costs of production of photos/graphics; and visual branding techniques used to identify booths or show sections. Eligible costs are only allowable for a specific show. Also, travel, food and lodging are allowable for the Project Director only, at the prevailing state rates at the time of the show, and approved on a case by case basis by the Department.

D. Ineligible Expenses.

Exhibit construction costs are ineligible. State funds granted under this program may not be used for travel, food, lodging, entertainment, or other expenses for anyone other than the Project Director or upon approval by the Department. Long-term rentals, purchase of equipment, entertainment, alcoholic beverages, or other expenses unrelated to the approved program are ineligible.

VIII. SALES MEETINGS, EVENTS AND FAM TOUR

A. Sales meetings, events and FAM tours whose purpose is to further market multiple thematically related activities shall be eligible under this Program.

B. All applications submitted must contain a description of the objectives of this phase of the project, along with a schedule for approval, including a rationale for the site selections.

C. Eligible Expenses.

The cost or your share of the cost, of hiring the motor coach, van, or auto and fee for service contracts are eligible. Also, travel, food and lodging are allowable for the Project Director only, at the prevailing state rates at the time of the show, and approved on a case by case basis by the Department.

D. Ineligible Expenses.

State funds granted under this program may not be used for travel, food, lodging (except as noted above) alcoholic beverages, costs of equipment purchases, entertainment, or other expenses or upon approval by the Department. For FAM tours, ineligible expenses include cost of transportation, food, and lodging for visitors.

IX. DISSEMINATION OF INFORMATION TO CONSUMERS

A. Projects categorized as one which dissemination of information to consumers, and whose purpose is to further market multiple thematically related activities shall be eligible under this Program.

B. Toll Free Telephone Project

- Funds granted under this program may be used to defray the actual costs of incoming toll-free number telephone calls and monthly service charges if a dedicated phone line has been established for the project.

Ineligible Expenses.

- Equipment purchase costs, costs relating to services other than answering services or telecommunication services are ineligible. State funds granted under this project may not be used for travel, food, lodging, or entertainment or other expenses.

C. Telephone Answering Services.

- Contracts will be allowed, on a fee for service basis, with operators of telephone answering services to respond to inquiries developed under the approved marketing project.

Ineligible Expenses.

- Funds granted under this project may not be used to defray the costs of equipment rental or purchase, or personnel other than contractors. State funds granted under this program may not be used for travel, food, lodging, or entertainment or other expenses.

X. WEBSITE CREATION

A. Website Creation projects whose purpose is to further market multiple thematically related activities shall be eligible under this Program. **Such website must be entirely dedicated to the**

project.

B. Website Templates/Proofs/Layouts **must** be approved by the Department before going live on the internet.

C. Eligible Expenses.

Contracts will be allowed, on a fee for service basis, to defray the costs of design, construction, and hosting of databases and web sites, as well as updating thereof.

D. Ineligible Expenses.

Funds granted under this program may not be used to defray the costs of equipment rental or purchase and costs relating to personnel other than contractors. In addition, State funds granted under this program may not be used for travel, food, lodging, entertainment, or other expenses.

XI. AUDIO/VISUAL

A. Audio/Visual projects whose purpose is to further market multiple thematically related activities shall be eligible under this Program.

B. All applications submitted for this marketing method must include:

- A description of the objectives of the projects, including targeted projects use, and rationale for selection.
- Samples, rough visual copy or copies of storyboards and scripts describing the presentation.
- Such other materials as applicant deems necessary to describe proposal adequately.

C. Eligible Expenses.

Under this program, the expenses relating to production, distribution and other related costs of audio/visual, video and film presentations are eligible.

D. Ineligible Expenses.

Costs for audio/visual, video or film equipment are ineligible. State funds granted under this program may not be used for food, travel, lodging, entertainment, or other expenses.

XII. RESEARCH

A. Research projects relating to tourism research and statistics whose purpose is to further market multiple thematically related activities shall be eligible under this Program. These costs may include the cost of contracts, on a fee for service basis, with individuals or firms, to design, conduct and analyze such research programs.

B. Applications submitted under this section must contain:

- Detailed description of the proposed research project, its objectives and future use.
- Information relating to the background or qualifications of the contractor and/or firm.
- Any other materials as applicant deems necessary to describe the proposal adequately.

C. Ineligible Expenses.

Payroll costs for current staff to conduct research are ineligible. State funds granted under this program may not be used for food, travel, lodging, entertainment, or other expenses.

XIII. PUBLIC RELATIONS

A. Public Relations projects whose purpose is to further market multiple thematically related activities shall be eligible under this Program. Costs may include expenses relating to public relations costs including the cost of contracts, on a fee for service basis, with individuals or firms, to design, conduct and analyze such projects.

B. Applications submitted under this section must contain:

- Detailed description of the proposed public relations project, its objectives and future use.
- Information relating to the background or qualifications of the contract or and/or firm.
- Any other material as applicant deems necessary to describe the proposal adequately.

C. Eligible Expenses.

Fee for service contracts to include the production and distribution of press releases, kits, mailings; press visitations; and/or related publicity expenditures.

D. Ineligible Expenses.

Payroll costs for staff to conduct public relations are ineligible. State funds granted under this program may not be used for food, travel, lodging, entertainment, or other expenses. Also retainer fees, local press conferences, interviews, resident FAM tours, local campaign, etc. and/or internal programs such as newsletters are not eligible.

XIV. ADMINISTRATIVE REQUIREMENTS

A. The Explore NY Program is a matching grants program. After an application has been approved by the Commissioner these are the procedures that must be followed in order to obtain your funds.

B. Payment of State Matching Funds

- The Project Director is required to account for an amount equal to or greater than the grant awarded.
- All requests for reimbursement of the matching funds grant must come from the Project Director, on behalf of the Lead Applicant. All standard vouchers must be made out in the name of the Lead Applicant. Also, the Department will only make payment to the Lead Applicant.
- The Grantee's match must be actual cash matches. Each financial partner must provide a notarized letter of encumbrance detailing the amount of their portion of the match. Other State monies/funds may not be used as a match for this grant program.
- If expenses are reimbursed from any other source or agency, they may not be claimed under matching funds.

C. Extension of Spending Deadline

- All funds must be expended by June 30, 2009, unless an extension of time has been applied for, and upon showing good cause, and will be granted by the Commissioner.

D. Claming Travel Expenses

Travel expenses allowed under this program are subject to the following rules and regulations:

- You must supply a copy of the Departments travel expense form, to be provided upon

award. Or you may submit an alternative internal travel document if substantially similar to the Departments. Support material, when applicable, must include:

- Copies of hotel/motel bills, with proof of payment, for overnight travel.
- Copies of transportation ticket receipts for payment, and a copy of the ticket.
- Statement of mileage traveled [NOTE: Travel at a show, etc., such as between hotel and show, going out to dinner, entertainment, etc., is not eligible. The exception is when making bona fide business calls, while at a travel show, to motor coach companies, travel agents, travel writers, etc.] An explanation of these expenses must be attached when you claim them.
- Copies of toll receipts.
- Copies of parking receipts.

- Expenses will be reimbursed at the current State rates and subject to State requirements and definitions, as follows :

- TIME LIMIT ON MEALS

Meals will be allowed when time of departure from home or office at the beginning of trip necessarily occurs before the following hours- Breakfast - 7:00 am Dinner - 7:00 pm

Meals will be allowed when the time of return to home or office at the end of a trip necessarily occurs after the following hours- Breakfast – 7:00 am Dinner - 7:00 pm
No receipts are required for meal allowances.

- MEAL ALLOWANCES

When you are in travel status for less than a full day, and lodging charges are not incurred, reimbursement will be made as follows:

All other locations in New York State: Breakfast \$5.00; Dinner \$12.00

- Mileage will be paid at the rate of 50.5¢ per mile.
- Rental fees for transportation are eligible. Or use of your own car is eligible with claiming mileage fees.
- Official Station - The official station is used to determine allowable travel expenses. You will be considered in travel status when you are on official business at a distance of more than 35 miles from either your official station or place of residence. You will not be allowed meals or lodging within this 35 mile limit.
- When in official travel status for less than three hours, meals and/or lodging are not allowed.
- Expense Forms – These are provided with other necessary forms for program.

- Maximum Reimbursements - the maximum reimbursements for lodging and meal expenses incurred may not exceed the lodging and meal allowances for the area of assignment. If the cost of lodging exceeds the maximum allowance for lodging in the area of assignment, the meal allowance must be used to offset the higher lodging expense.
- Under no circumstances will approval be granted to exceed the total per diem allowances.
- All rates are available on the General Service Administration (GSA), Travel and Transportation Management Policy Division's web site:

•STATE AID VOUCHER PREPARATION

-The deadline for requesting reimbursement through this matching funds program is June 30, 2009. The Department may not pay after this date.

-Our Finance Department and Audit & Control require that the Project Director submit **THREE COMPLETE, SEPARATE AND COLLATED SETS** of each state voucher complete with all supporting documentation. Supporting documentation includes:

- State Aid Voucher Worksheet
- Itemized Expenditure Report Worksheet
- Invoices on work with breakout and itemization of services and creative production
- Printing and production costs for collateral, CD/DVD and other media
- Copies of show contracts and related travel expenses
- Tear Sheets from print media (or copies of ads if tear sheets are not yet available)
- Affidavits of performance from radio and TV stations and copies of scripts
- Copies of cancelled checks, vouchers authorized for payment by the project director, or signed receipts; and
- Such other documents as may be requested by the Department to ascertain how the project funds were expended.

• **If you are applying for your total grant on one voucher:**

- Follow the instructions above and show expenditures of total project budget.

• **If you are submitting more than one voucher:**

- Follow the instructions above and show expenditures paid to date, for each reimbursement request. That total must equal the amount of requested reimbursement + your match equal to the same amount. See example below.
- Please submit no more than **one** voucher per month.
- Subsequent reimbursement requests must show expenditures from last date of reimbursement request to date of current request.
- The following example illustrates how to voucher more than once throughout the year and complete the State Aid Voucher Worksheet: The ABC Promotion Department has been awarded a total grant of \$50,000. They have already vouchered, twice, and received State amounts of \$10,000 and \$20,000, and are now requesting its third payment of \$20,000. The total amount they must account for is \$100, as listed below:

Sample State Aid Voucher Worksheet

VOUCHER REQUESTS:

Amount of Request #1 \$10,000 (must show \$20,000 in paid expenditures)

State Match Received \$10,000

Amount of Request #2 \$20,000 (show additional \$40,000 in paid expenditures)

State Match Received \$20,000

Amount of Voucher #3 \$20,000 (show another additional {new} \$40,000 in paid expenditures)

State Match Received (to be reimbursed)

Amount of Current Voucher Request \$20,000

Total Expenses Incurred : \$100,000

- **The Department reserves the right to modify the content of reporting form/worksheets as it deems necessary.**

E. Unused Funds.

In the case that the Lead Applicant does not expend the total project amount the Project Director may request reallocation of said funds of the grant balance in writing to the Department. The Department will then review the request and at its discretion may approve the reallocation.

F. Semi- Annual & Final Reports

- It is essential that the Department be kept informed of the progress under this Program. The Project Director will be required to report at a semi-annual date and final date, both dates to be designated by the Department. These reports will be completed on worksheets provided to the Grantee upon notice of their grant award. If a project concludes prior to the designated semi-annual date the Grantee may submit, in writing, that the semi-annual report will also serve as their final report.
- The Semi- Annual Report is a financial report on actual expenditures, and is due no later than January 1, 2009. This report must also include the information on three (3) or more businesses that may be positively, directly affected by this project. In addition to a one page narrative of the progress of your project, including successes and challenges.
- Final Reports- includes three reports. These reports are due on June 30, 2009 and address the overall effectiveness of your project. They include the Final Report Narrative Worksheet, the Final Expenditures Report A Worksheet and Final Expenditures Report B Worksheet. The two expenditure reports will also require the following supporting material:
 - Invoices on work with breakout and itemization of services and creative production
 - Printing and production costs for collateral, CD/DVD and other media
 - Copies of show contracts and related travel expenses
 - Collateral shall now require three competitive bids for its printing, lowest bid is not a necessity, however Program Directors are requested to utilize discretion in their decision making
 - Tear Sheets from print media (or copies of ads if tear sheets are not yet available)
 - Affidavits of performance from radio and TV stations and copies of scripts
 - Copies of cancelled checks, vouchers authorized for payment, or signed receipts; and
 - Such other documents as may be requested to ascertain how the project funds were expended.
- *Additional notes:*
 - An additional report may be filed by a Grantee who has received a project

extension. This report will cover any unreported expenses through the extension period.

- Grantee's delinquent with Semi- Annual and Final reports will not have their State Aid Voucher processed until the reports are up to date. Additionally, Grantee's that have not filed a complete and acceptable Final Report, under the discretion of the Department, may be unable to apply for the Explore NY Program for the subsequent program years.
- If any required items (other than proof of payment) are missing from a report, a letter must be attached listing the missing items. When the items become available and are sent in, they must be identified showing the report they pertain to.
- Failure to maintain proper accountability can lead to termination of grant authorization.

XV. TERMINATION OF EXPLORE NY MATCHING FUNDS AUTHORIZATION

A. Matching funds authorization may be terminated the Commissioner determines that:

- Determines that an application does not meet the criteria and guidelines,
- That an eligible entity is not complying with the original program as outlined in its application,
- if any funds have been lost, misapplied or otherwise diverted or expended for purposes other than those for which they were provided as outlined in the application.

IF YOU HAVE QUESTIONS ON THESE GUIDELINES OR THE EXPLORE NY MATCHING FUNDS PROGRAM CONTACT:

Explore New York Matching Funds Coordinator
Attn; Kelly L. Rabideau
Empire State Development
30 South Pearl Street
Albany, New York 12245
518.292.5163 (phone)
518.292.5888 (fax)

Application

(To be completed by Grantee only)

LEAD APPLICANT/Potential Grantee: _____

Address: _____

City: _____ County: _____ State: ___ Zip: _____

Main Phone: _____ Fax: _____

URL: _____

Project Director Name: _____

Title: _____

Phone: _____ Fax: _____

Email: _____

Project Summary: (Brief summary of project)

Project Budget: _____ **Amount Requested:** _____

* Lead Applicant must also fill out a Project Participation form if they are providing funds towards the match.

This certification must be signed by a principal officer of your organization with legal authority to obligate it and having knowledge of the matters contained herein.

Applicant certifies that **(1) by applying for such grant, it agrees to the terms and conditions set forth in the Explore NY guidelines in their entirety;** (2) State funds shall not substitute for customary support from sources other than DED; (2) to the best of his or her personal knowledge, all information contained herein is accurate and there are no misstatements or misrepresentations in the information submitted herein or as a supplement to this application; **(3) the receipt of funds under this program is for grant purposes only and not a gift of State funds in violation of the New York State Constitution; and (4) in order to receive such grant, applicant must fully carry out its thematic marketing program as outlined in this application and accompanying materials within the confines of the Explore NY guidelines.**

Applicant hereby releases DED and the State of New York, their employees and agents, from any liability and/or responsibility concerning damage to or loss of materials submitted to DED and the State of New York whether or not such damage or loss is caused by the negligence of DED, the State of New York, their employees and/or agents.)

Authorized Official _____

Title _____

Signature: _____

Date: _____

Project Participant Form

(To be completed by all participants including Grantee)

Project Director's Last Name: _____

PARTICIPANT INFORMATION

Company: _____

Address: _____

City: _____ County: _____ State: ___ Zip: _____

Main Phone: _____ Fax: _____

URL: _____

Taxpayer status: _____

Taxpayer ID #: _____

Cash Commitment to Project (*if any*): _____

(IN-KIND MATCHES ARE **NOT** ELIGIBLE FOR THIS PROGRAM)

Role Summary: (Summarize your role in the partnership/consortium.)

*This form does NOT serve as the letter of encumbrance for financial partners. Letters of encumbrance must be notarized and included on a **separate document**, for each partner, with this form.

Partner certifies that **(1) by taking part in this application for such grant, it agrees to the terms and conditions set forth in the Explore NY guidelines in their entirety;** (2) State funds shall not substitute for customary support from sources other than DED; (2) to the best of his or her personal knowledge, all information contained herein is accurate and there are no misstatements or misrepresentations in the information submitted herein or as a supplement to this application; **(3) the receipt of funds under this program is for grant purposes only and not a gift of State funds in violation of the New York State Constitution;** and **(4) in order to receive such grant, the partner must fully carry out its agreed to responsibility of the overall thematic marketing program as outlined in this application and accompanying materials within the confines of the Explore NY guidelines.**

Authorized Official _____

Title _____

Signature: _____

Date: _____