

**SUBJECT: COMMUNITY SUPPORT**

**1.0 SCOPE**

The Authority plays a significant role in providing electric energy in New York State. In light of the extensive facilities and activities of the Authority throughout the State which often impact local communities, and recognizing its role as a responsible corporate citizen, the Authority may provide support to various community organizations and state and local governmental units which conduct a variety of projects, programs and activities in the categories outlined below. This policy provides rules governing Authority support of these various groups and procedures assuring proper allocation and use of the Authority's contributions. Activities undertaken in conjunction with the licensing and construction of generating and/or transmission facilities are not addressed by this policy.

In general, Authority support may be provided for projects, programs and activities in the following five major categories:

- Economic Development – such as chambers of commerce and other business councils or groups
- Educational and Cultural – such as museums, historical societies, schools and libraries
- First Responders – such as rescue squads, hospitals, police and fire departments
- Community and Local and State Government Support – such as local sports and youth clubs, farm bureaus, county fairs and festivals
- State Assistance – such as departments responsible for tourism, parks and agriculture

Religious and political organizations are NOT eligible for support.

**2.0 IMPLEMENTATION**

All Authority officers and employees shall adhere to this policy. Implementing procedures shall be prepared as necessary to provide appropriate guidance in meeting the management controls described. Recommendations for changes to this policy or a new corporate policy shall be processed in accordance with CP1-1 "Corporate Policy Program Administration."

### **3.0 DISCLOSURE OF CONFLICT OF INTEREST**

#### **3.1.1. Requesting Organization**

NYPA requires the reporting of any conflicts of interest in conjunction with application for community support. Requesting organizations must disclose on the application form any Authority Trustees, officers and employees that are affiliated with their organizations.

#### **3.1.2 Authority Officers and Employees**

All Authority officers and employees who are affiliated with the requesting organization shall abstain from any involvement in the process outlined in this Policy.

### **4.0 MANAGEMENT CONTROLS**

#### **4.1 Responsibilities**

The Senior Vice President for Public and Governmental Affairs shall be responsible for the development, implementation, and maintenance of this Policy and for developing additional policies and procedures to implement it. The Policy shall apply to all departments and functional areas of the Authority.

#### **4.2 Procedures**

##### **4.2.1 Grant Application and Certification**

- a) Organizations requesting support must complete the Grant Application Form (attached hereto as appendix A) including the required certification set forth in that form. This form is available on the Authority's Web Site ([www.nypa.gov](http://www.nypa.gov)) and at our Headquarters in White Plains.

##### **4.2.2 Management Approval and Oversight**

- a) **Support Awards valued at \$5,000 or more**  
All support awards valued at \$5,000 or more annually must be approved by the President and CEO, Executive Vice President – Corporate Services & Administration and Senior Vice President for Public & Governmental Affairs. Site specific support also requires the approval of the Regional Manager.

- b) **Support Awards valued at less than \$5,000**  
All support awards valued at less than \$5,000 annually must be approved by the Executive Vice President – Corporate Services & Administration and the Senior Vice President for Public and Governmental Affairs. Site specific support also requires the approval of the Regional Manager.
- c) In the event that an Authority Officer abstains from approving a support award, the Authority’s General Counsel will approve such requests in his or her absence.
- d) Corporate credit cards of any type are not to be used for any support payments associated with this Policy.
- e) All support payments are to be made only to the requesting organization. NYPA payments to third-party vendors of that organization are prohibited.

#### 4.2.3 **Funding Request for Community Support**

A Funding Request for Community Support Form (attached hereto as Appendix B) must be completed by Public & Governmental Affairs for all approved support awards. The following information must be provided on the form: support amount, account codes, recipient information and approval signatures. Each support payment is to be charged only to the Cost Elements and WBS Codes approved by the Budget Division for community support. These codes are shown on the drop down menu of the Funding Request Form and are the only ones authorized for use.

#### 4.2.4 **Reports**

- a) Organizations receiving Community Support must submit an accounting report on the form provided by the Authority (See Grant Application Accounting Report attached hereto). Grantees must acknowledge that the reports submitted are subject to audit by the Authority.
- b) By no later than the March Executive Management Committee meeting, the Senior Vice President for Public and Governmental Affairs will present a report to the Executive Management Committee detailing the Community Support expenditures for the prior year.

**5.0 REFERENCES**

**5.1 CP 1-1 Corporate Policy Program Administration**

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**President and Chief Executive Officer**

**New York Power Authority**

**Community Grant Program**

**Application**

**INTRODUCTION**

The Authority plays a significant role in providing electric energy in New York State. In light of the extensive facilities and activities of the Authority throughout the State which often impact local communities, and recognizing its role as a responsible corporate citizen, the Authority may provide support to various community organizations and state and local governmental units which conduct a variety of projects, programs and activities in the categories outlined below. This policy provides rules governing Authority support of these various groups and procedures assuring proper allocation and use of the Authority's contributions. Activities undertaken in conjunction with the licensing and construction of generating and/or transmission facilities are not addressed by this policy.

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**New York Power Authority  
GRANT APPLICATION**

1. Organization name: \_\_\_\_\_ Date: \_\_\_\_\_

2. Address: \_\_\_\_\_ City, State & Zip: \_\_\_\_\_

3. Contact Person & Title: \_\_\_\_\_ Phone No.: \_\_\_\_\_

4. Person responsible for the Program: \_\_\_\_\_ Phone No.: \_\_\_\_\_

5. Amount Requested: \_\_\_\_\_

6. Project Title: \_\_\_\_\_ Project start date: \_\_\_\_\_

7. Type of request:

Economic Development       Educational and Cultural       State Assistance

First Respondents       Community and Local Government Support

8. Purpose of The Request (Add additional sheets if necessary)

9. Previous funding from the Authority?       Yes       No

If yes, please list the amount and dates of the grants received.

10. List any Board members, officers and employees of your organization who are affiliated with the Authority.

**Attachments**

In addition to the information required on the Grant Application Form, please provide the following:

- A. An itemized list of expected expenditures showing dates and purpose including payees for the grant requested.
- B. Organization's current year operating budget, including income and expenses.
- C. Listing of current board members and Senior Management (include member affiliation and other pertinent information).
- D. Most recent audited financial statement or appropriate substitute as approved by the Authority.
- E. The Authority considers grant applications only from public charities as defined under the Internal Revenue Code and applicable regulations or governmental entities. A charity applicant must have obtained a 501(c)(3) determination letter prior to submitting an application and must include a copy with this application. If the applicant is not required to have obtained a 501(c)(3) letter, it must provide a copy of an IRS letter or a legal opinion certifying that the applicant is a public charity as described in section 509(a) (1), (2), or (3).

Certification

I hereby certify and agree, on behalf of the organization making this request, that:

- A. Any funds awarded will be used solely for the purpose for which the grant was approved.
- B. A detailed report on the use of the funds (See Report form attached hereto) will be submitted to the Authority no later than 90 days after the organization's expenditure of the funds awarded, and such report is subject to audit by the Audit department of the Authority.
- C. Any funds not used will be returned to the Authority no later than thirty days after the Authority requests the return of those funds.
- D. The information contained in the application and accompanying documents is true and complete in every respect.

\*Signature of Authorized Representative \_\_\_\_\_

Name (type or print) \_\_\_\_\_ Title \_\_\_\_\_

Date \_\_\_\_\_

\*The application must be signed by the President/CEO, or other responsible official of the requesting organization.

NEW YORK POWER AUTHORITY  
GRANT APPLICATION  
ACCOUNTING REPORT

Organization \_\_\_\_\_

Grant Time Period \_\_\_\_\_

INCOME

<u>Source</u>	<u>Amount</u>
<i>Support</i>	
1. NYPA Grant Funds Received _____	\$ _____
2. Other Funding (Specify) _____	\$ _____
3. _____	\$ _____
<b>Total Income</b>	<b>\$ _____</b>

EXPENSES

<u>Item</u> (Please be specific and add lines as needed including payees)	<u>Amount</u>
1. _____	\$ _____
2. _____	\$ _____
3. _____	\$ _____
4. _____	\$ _____
5. _____	\$ _____
6. _____	\$ _____
7. _____	\$ _____
8. _____	\$ _____
9. _____	\$ _____
10. _____	\$ _____
11. _____	\$ _____
12. _____	\$ _____
13. _____	\$ _____
14. _____	\$ _____
15. _____	\$ _____
<b>Total Expenses</b>	<b>\$ _____</b>
<b>Difference (Income Less Expenses)</b>	<b>\$ _____</b>

By signing this report, I confirm that the funds were spent only for which the grant was approved, and that all of the information contained herein is true and accurate.

Signature \_\_\_\_\_

Name & Title \_\_\_\_\_

Date \_\_\_\_\_

**NEW YORK POWER AUTHORITY  
FUNDING REQUEST FOR COMMUNITY SUPPORT**

**Cost Information**

Cost Center: \_\_\_\_\_

Cost Element: \_\_\_\_\_

WBS Code: \_\_\_\_\_

Amount: \_\_\_\_\_

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**RECIPIENT INFORMATION**

Please make check payable to: \_\_\_\_\_

Federal ID #: \_\_\_\_\_

Mail to: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Contact Person: \_\_\_\_\_ Phone: \_\_\_\_\_

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Describe Type of Request: \_\_\_\_\_

(Include NYPA Program Supported): \_\_\_\_\_

Attachments: \_\_\_\_\_

Recommended by: \_\_\_\_\_  
Name Department/Facility

Reviewed by: \_\_\_\_\_  
Office Manager, P&GA Date of Request

Approval Signature: \_\_\_\_\_ (Date) Y/N  
President

Approval Signature: \_\_\_\_\_ (Date) Y/N  
EVP – Corporate Services & Admin.

Approval Signature: \_\_\_\_\_ (Date) Y/N  
SVP – Public & Governmental Affairs

Approval Signature: \_\_\_\_\_ (Date) Y/N  
Regional Manager