

**APPENDIX D**

**Dam Mitigation Funding Guide for New York State**

American Rivers published a document in 2000 entitled, “Paying for Dam Removal, A Guide to Selected Funding Sources” (<http://www.americanrivers.org/damremovalguide>). Another useful dam removal funding fact sheet has been developed by the Commonwealth of Massachusetts Riverways Program ([http://www.mass.gov/dfwele/river/pdf/damremoval\\_factsheet\\_funding.pdf](http://www.mass.gov/dfwele/river/pdf/damremoval_factsheet_funding.pdf)). Our objective with this appendix is not to duplicate information in those documents, but identify potential funding sources that are particularly relevant for activities in New York State.

**United States Army Corps of Engineers (USACE)** - Section 206 of the Water Resources Development Act of 1996 authorizes the USACE to participate in planning, engineering and design, and construction of projects to restore degraded ecosystem structure, function, and dynamic processes to a less degraded, more natural condition. Projects require partnering with a non-Federal sponsor that may be a public agency, state or local government, or a large national non-profit environmental organization. The maximum Federal cost is \$5 Million. Funds from this program can be utilized to remove lowhead dams as a way to improve water quality and fish and wildlife habitat. This funding source is listed under the Continuing Authorities Program, which allows for certain types of improvements without individual authorizations. There may be other sources of USACE funding for dam mitigation, such as via Section 506 of the Water Resources Development Act of 2000 (Great Lakes Fishery and Ecosystem Restoration). <http://www.nae.usace.army.mil/pservices/206.htm>

**National Fish Passage Program (United States Fish and Wildlife Service - USFWS)** – This program provides funding and technical assistance to remove or develop fish passage structures at barriers. There is an August deadline to submit proposals.

<http://www.fws.gov/fisheries/FWSMA/FishPassage/fpprgs/Getinvolved.htm>

The USFWS Partners for Fish and Wildlife Program also performs habitat restoration projects that may include re-establishing fish passage. <http://www.fws.gov/partners/>

**National Fish Habitat Initiative Brook Trout Habitat Restoration Program** – This Initiative is a Nationwide program to focus attention on common fisheries restoration priorities, such as for brook trout. There is a November deadline for grant submissions in the \$10,000 to \$100,000 range. Grants will be awarded by the National Fish and Wildlife Foundation (NFWF) for habitat restoration and protection, water quality improvement, aquatic vegetation management, landowner outreach and stewardship training, and watershed planning and management.

[www.fishhabitat.org](http://www.fishhabitat.org)

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**National Fish and Wildlife Foundation (NFWF) General Matching Grant Program** - The NFWF awards matching grants to projects that promote conservation of fish and wildlife and their habitats. They have contributed funds to dam removal projects. Of particular importance is the Five Star Restoration Program, which provides modest financial assistance on a competitive basis to support community-based wetland, riparian, and coastal habitat restoration projects that build diverse partnerships and foster local natural resource stewardship through education, outreach and training activities. In 2006, 39 projects across the country out of 126 applications received grants of an average \$13,000. <http://www.nfwf.org/programs/5star-rfp.cfm> The NFWF also provides funding through its Great Lakes Watershed Restoration Program, designed to provide funding to organizations working to protect, restore or enhance the habitat of fish, wildlife and plants of the Great Lakes watershed. The funding range for NFWF projects is generally \$10,000 - \$150,000. <http://www.nfwf.org/guidelines.cfm>

**Corporate Wetlands Restoration Partnership (CWRP)** – Coastal America strives to preserve and restore coastal ecosystems using corporate and other funds. Projects can include aquatic habitat restoration and fish passage improvements. Projects are selected by a CWRP advisory board in each state. <http://www.coastalamerica.gov/text/cwrp.html>

**Fish Enhancement, Mitigation and Research Fund (FEMRF)** – A \$24 million fund has been established as part of a settlement agreement reached in the licensing of the St. Lawrence – Franklin D. Roosevelt Power Project. The purpose of the fund is to benefit fisheries resources in the LakeOntario/St. Lawrence River Basin and continue research on the American eel and other species that may be affected by the project. This fund is managed by the U.S. Fish and Wildlife Service; there is an open request for proposals. <http://www.fws.gov/northeast/nyfo/FEMRFfactsheet.pdf>

**The Nature Conservancy/NOAA Habitat Restoration Partnership** – The Nature Conservancy partners with NOAA to fund marine and diadromous fish habitat restoration projects. The proposal must be submitted by a Nature Conservancy local chapter. The funding range is \$25,000 - \$85,000, with a March deadline. <http://www.nature.org/initiatives/marine/strategies/community.html>

**Trout Unlimited/NOAA Partnership** – Projects sponsored by a TU Chapter or State Council for habitat restoration can be considered for matching funds from NOAA. Typical awards are from \$10,000 - \$100,000. [http://www.nmfs.noaa.gov/habitat/restoration/projects\\_programs/crp/partners/troutunlimited.html](http://www.nmfs.noaa.gov/habitat/restoration/projects_programs/crp/partners/troutunlimited.html)

**NOAA Open Rivers Initiative** - The NOAA Open Rivers Initiative (ORI) provides funding and technical expertise for community-driven, small dam and river barrier removals, primarily in coastal states. Projects are expected to provide an economic boost for communities, enhance public safety, and improve populations of NOAA trust resources such as striped bass, Atlantic and shortnose sturgeon, Atlantic and Pacific salmon, American eel, American shad, blueback

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herring, and alewife. Proposals selected for funding through this solicitation will be implemented through a cooperative agreement. The funding range is generally \$50,000 - \$250,000 and there is a January submission deadline. The last request for proposals had a due date of January 13, 2007, with potential available funding of \$6 million for FY 07.

<http://www.nmfs.noaa.gov/habitat/restoration/ORI/>

National Association of Counties, Coastal Counties Restoration Initiative/NOAA Partnership – The National Association of Counties (NACo) has partnered with NOAA in a *Coastal Counties Restoration Initiative*. The *Initiative* provides financial assistance on a competitive basis to innovative, high quality, county-led or supported projects to improve stream, river, estuarine and other important marine habitat. Grants range from \$50,000 to \$100,000.

<http://www.naco.org/ccri>

**Great Lakes Coastal Watershed Restoration Program** – Congress appropriated \$30 million to NOAA in 2001 for grants to Great Lakes states for projects that protect and restore coastal resources and water quality in the Great Lakes watershed. The New York State Department of State, Division of Coastal resources, in cooperation with the Department of Environmental Conservation, is administering New York's share of this program. New York's share of the Great Lakes Coastal Watershed Restoration Program was \$4.5 million and has been awarded for 24 projects in the region. Projects for improved fish passage are among those considered for funding. [http://www.nyswaterfronts.com/initiatives\\_greatlakes.asp](http://www.nyswaterfronts.com/initiatives_greatlakes.asp)

**American Rivers-NOAA Community-Based Restoration Program River Grants** Since 2001, American Rivers has been providing financial and technical assistance for river restoration projects involving diadromous species in the Northeast, Northwest and California. Funding is provided for stream barrier removal projects. During the first 6 years of the partnership, the program provided over \$2 million to support 100 community driven restoration projects. Funding is provided through the NOAA Open Rivers Initiative. The average grant will fall within the range of \$25,000 to \$50,000.

[http://www.americanrivers.org/site/PageServer?pagename=AMR\\_content\\_63c9](http://www.americanrivers.org/site/PageServer?pagename=AMR_content_63c9)

**FishAmerica Foundation** - The FishAmerica Foundation unites the sportfishing industry with conservation groups, government natural resource agencies, corporations, and charitable foundations to invest in fish and habitat conservation and research across the country. The funding range is generally \$5,000 - \$50,000.

- Conservation Grants - FishAmerica offers grants for stock enhancement, freshwater fisheries habitat restoration, non-habitat marine and estuarine enhancements, and family fishing waters improvement projects. Applications are accepted year-round. The review period is nine to twelve months.
- Marine and Anadromous Fish Habitat Restoration Grants - FishAmerica, in partnership with the NOAA Restoration Center, awards grants to local communities and government agencies to restore habitat for marine and anadromous fish species. Successful proposals

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have community-based restoration efforts with outreach to the local communities. There is generally an annual request for proposals. Proposals are currently due by February 5, 2007. <http://www.fishamerica.org/grants/>

**Natural Resource Damage Assessments (NRDAR) and other Settlement Funds –**

Opportunities for funding in New York may exist using funds associated with natural resource damage assessment activities. These funds are negotiated with responsible parties as compensation for injuries to natural resources caused by hazardous substances or oil. Funds negotiated must be used for restoration of injured resources. For further information, contact the natural resource trustees, which in New York State are the New York State Department of Environmental Conservation, U.S. Fish and Wildlife Service, National Oceanic and Atmospheric Administration and all New York Indian Tribes.

**Great Lakes Protection Fund** – There is \$3.4 million available to projects that result in tangible benefits to the health of the Great Lakes ecosystem. The Great Lakes Protection Fund is a private, nonprofit corporation formed in 1989 by the Governors of the Great Lakes States. It is a permanent environmental endowment that supports collaborative actions to improve the health of the Great Lakes ecosystem. The Fund's Board of Directors is comprised of two governor appointed representatives from each member state. The Board of Directors meets quarterly and governs the Fund's operation. Members of the Fund staff perform the day-to-day functions. To date, the Fund had made 208 grants and program related investments representing more than \$48 million in regional projects to improve the health of the Great Lakes ecosystem.

The Fund seeks projects that:

- lead to tangible improvements in the health of the Great Lakes ecosystem,
- promote the interdependence of healthy ecological and economic systems, and
- are innovative, creative, and venturesome. <http://www.glpf.org/about/index.html>

**Potential Private Funding Sources for Environmentally-Oriented Projects:**

Andrew W. Mellon Foundation,  
[http://www.mellon.org/internet/grant\\_programs/programs/conservation](http://www.mellon.org/internet/grant_programs/programs/conservation)

C.S. Mott Foundation, <http://www.mott.org/Home/about/programs/environment.aspx>

Joyce Foundation, <http://www.joycefdn.org/Programs/Environment/>

Doris Duke Foundation, <http://www.ddcf.org/>

Frey Foundation, <http://www.freyfdn.org/>

George Gund Foundation, <http://www.gundfdn.org/>

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Pew Charitable Trusts, <http://www.pewtrusts.org/>

Rockefeller Family Fund, <http://www.rffund.org/>

Surdna Foundation, <http://www.surdna.org/>

Weeden Foundation, <http://www.weedenfdn.org/>

Wege Foundation, <http://www.tgci.com/funding/fdnresultnew.asp?thisID=5226>

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**Typical Sources of Funding Dam Mitigation Projects in New York State**

Funding Source	Type of Dam Mitigation Project								
	Diadromous Fish Passage	Riverine Fish Passage	FW Mussels	Great Lakes	Water Quality	Ecosystem Restoration	Coastal Ecosystem Restoration	Recreational Fishing	Recreational Boating
USACE	X	X	X	X	X	X	X	X	
USFWS	X	X	X	X		X	X	X	
NFWF Brook Trout		X							
NFWF General	X	X	X	X	X	X	X		
CWRP	X	X	X	X	X	X	X		
FEMRF		X		X		X St. Lawrence & Lake Ontario	X St. Lawrence & Lake Ontario		
NOAA –The Nature Conservancy	X				X Marine		X Marine		
NOAA – Trout Unlimited	X Trout & Salmon	X Trout & Salmon					X Trout & Salmon	X Trout & Salmon	
NOAA – ORI	X				X Coastal only	X Coastal only	X		
NOAA - Great Lakes	X GL only	X GL only	X GL only	X	X GL only	X GL only	X GL only	GL only	
NOAA – American Rivers	X						X Diadromous and Marine		
NRDAR	X	X	X	X	X	X	X	X	X
FishAmerica	X	X		X	X	X	X	X	
Great Lakes Protection Fund	X GL only	X GL only	X GL only	X	X GL only	X GL only	X GL only		