



ROUND 2 NYS WATER INFRASTRUCTURE IMPROVEMENT ACT GRANT APPLICATION DRINKING WATER

Part 1 – GENERAL INFORMATION

A. APPLICANT

Name of Applicant: _____ County: _____

Federal I.D. Number: _____ DUNS Number: _____

Authorized Representative: _____ Phone Number: _____

Title: _____ Email Address: _____

Mailing Address: _____

Daily Contact Name: _____ Phone Number: _____

Title: _____ Email Address: _____

Company: _____ Mailing Address: _____

Engineering Consultant: _____ Phone Number: _____

Title: _____ Email Address: _____

Company: _____ Mailing Address: _____

B. PROJECT INFORMATION

Project Name: _____

Project Location: _____

Service Area: _____

Population Served: _____

Legislative Districts (you may include two districts)		
US	NY	NY
Congress	Senate	Assembly
_____	_____	_____

Public Water Supply ID Number: _____

Total Estimated Project Cost: \$ _____

Applicants seeking DWSRF financing must complete Table 1 – Total Project Budget on the following page only if a DWSRF application has previously been submitted to DOH/EFC, in order to reflect current project costs. Applicants seeking grant-only must complete Table 2.

Design Start Date: _____ (T or A) Environmental Review Completion Date: _____ (T or A)

Construction Start Date: _____ (T or A) Construction End Date: _____ (T or A)

Circle "T" for a target date and "A" for an actual date



TOTAL PROJECT BUDGET

Please add line items to the budget as needed. Refer to the Instructions for an explanation of the need to submit signed contracts or agreements prior to release of DWSRF disbursements. If you have additional questions, please either call DOH/EFC or refer to the Intended Use Plan.

COST CATEGORY	COLUMN A Total Project Costs	COLUMN B Ineligible Costs and/or Costs to be Paid by Sources other than DWSRF
1. Total Construction Costs	\$	\$
a) Source	\$	\$
b) Treatment	\$	\$
c) Storage	\$	\$
d) Distribution	\$	\$
2. Engineering Costs (Firm Name and Date)		
	\$	\$
	\$	\$
	\$	\$
3. Other Expenses		
a) Local Counsel	\$	\$
b) Bond Counsel	\$	\$
c) Work Force		
- Technical	\$	\$
- Administrative	\$	\$
d) Fiscal Services	\$	\$
e) Net Interest	\$	\$
f) Miscellaneous (please describe)		
	\$	\$
	\$	\$
	\$	\$
4. Equipment	\$	\$
5. Land Acquisition	\$	\$
6. Contingencies	\$	\$
7. Subtotal - Project Costs	\$	\$
8. Less: Other Sources	\$	
9. Subtotal – Project Costs to be Financed	\$	
10. Issuance Costs (if applicable)		
a) Short-Term Administration ¹		
b) Program Administration ²		
a) Direct Expenses ³	\$	
b) State Bond Issuance Charge ⁴	\$	
11. SUBTOTAL Issuance Costs (sum of 10.a & b)	\$	
12. TOTAL (sum of Project Costs and Issuance Costs Subtotals; 9&11)	\$	

1. Direct Expenses (10 a) equal 1.0% of Subtotal - Project Costs to be Financed (9).

2. The State Bond Issuance Charge (10 b) of up to 0.84% applies to the total Bonds issued by EFC. For planning purposes, the Applicant should estimate this charge at 0.84% of the sum of (9) (Subtotal-Project Costs to be Financed) and (10 a) (Direct Expenses). The issuance charge applies only to leveraged and bond guarantee pool financings.



Is the project currently listed on the 2016 DOH/EFC Intended Use Plan (IUP) Project Priority List or are you interested in DWSRF loan financing?

- Yes, we are currently on the IUP
- No, but we intend to list our project on the 2017 IUP
- No, we are not interested in DWSRF financing and are applying for a NYS Water Grant only

If you answered yes above, please provide your DWSRF project number below:

DWSRF Project Number: _____

C. ACKNOWLEDGEMENTS

1. Upon submission of this application, you acknowledge your community’s responsibility to comply with New York State Executive Law, Article 15-A with respect to MWBE and to the State Smart Growth Public Infrastructure Policy Act. By checking this box, you acknowledge that you are aware of these obligations and that you are authorized to make this acknowledgment on behalf of the applicant.

MWBE goals with DWSRF financial assistance	26%
MWBE goals for Grant-Only applicants	30%

Acknowledged

2. In order to receive financing assistance through the DWSRF, you will need to meet various other New York State and federal requirements. These requirements include, but not limited to, Davis-Bacon and related acts, and American Iron and Steel requirement. Recipients of SRF financial assistance will be required to perform certain actions to verify the compliance and ensure certain provisions are contained in all contracts and subcontracts. By checking this box, you acknowledge that you are aware of this requirement and that you are authorized to make this acknowledgment on behalf of the applicant.

Acknowledged

Please refer to the current IUP for your responsibilities under these programs.



Part 2 – PROJECT APPLICATION

Application guidance materials can be found on EFC’s website at:
www.efc.ny.gov/nyswatergrants.

A. PROJECT INFORMATION

1. Provide a brief project description explaining the need for your project:

2. Which of the following categories does the project scope address?

- Source Treatment Storage Distribution

3. Has any portion of your distribution or treatment system been compromised or created a situation where the system users were without water?



B. REQUIRED DOCUMENTS

The following documents are **required and must be submitted with the application** if not previously submitted to DOH/EFC. See Grant Application Instructions for future guidance on these requested items.

Enclosed	Previously Submitted to DOH	Not Applicable	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>NYSWG Project Listing Form <i>(new listings only)</i> Applicants not currently on the DWSRF Intended Use Plan (IUP) and are interested in receiving DWSRF financial assistance must submit a NYS Water Grant Project Listing Form.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Engineering Report An approvable engineering report for your project must be submitted with the NYS Water Grant application or have previously been submitted to DOH.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Smart Growth Assessment Form Projects applying for a NYS Water Grant are subject to the State Smart Growth Public Infrastructure Policy Act. In order to comply with the Act, DOH/EFC requires that applicants submit a Smart Growth Assessment for all projects when submitting an engineering report. This form is located on the EFC website at www.efc.ny.gov/nyswatergrants.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Plan of Finance Projects that are applying for a NYS Water Grant and are not seeking DWSRF financial assistance will be required to submit a Plan of Finance to EFC with their application. A copy of the Plan of Finance is available in Part 3.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>DWSRF Application <i>(if not previously submitted)</i> A complete DWSRF Financing Application is required for projects that are applying for a NYS Water Grant that have not previously submitted an application. This application is located at www.efc.ny.gov/nyswatergrants and the definition of a complete application is found in the 2016 IUP.</p>



Enclosed	Previously Submitted to DOH	Not Applicable
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Bond Resolution (Certified)

A Bond Resolution must be adopted establishing the legal authority to issue debt for the project and submitted to EFC along with proof of publications of permissive referendum (if applicable) and estoppel notice.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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SHPO Project Review Determination Letter

Projects will need to solicit a letter from Office of Parks, Recreation, and Historic Preservation (OPRHP) indicating that a suitable State Historic Preservation Office (SHPO) review of potential impacts on historic properties and resources has been initiated or completed.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Environmental Review Determination

Projects will need to comply with the State Environmental Quality Review (SEQR) Act and the State Environmental Review Process (SERP) as appropriate.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Water District Formation, District Extension or Other OSC Approvals

A water district must be established or expanded, or the maximum amount to be expended for such district increased, and Office of State Comptroller (OSC) approval obtained, if required (this is only applicable to towns and counties).



C. SIGNATURE FOR APPLICATION FORM

CERTIFICATION: On behalf of the applicant, and in accordance with the Resolution by

(governing body of municipal applicant)

authorizing me to do so, I apply for NYS Water Grant Assistance for the project described in this application. By signing this application, I certify and agree on behalf of the applicant and its governing body that all of the information contained in this application, in other statements and exhibits attached hereto or referenced herein, and in all statements, data and supporting documents which have heretofore been made or furnished for the purpose of receiving NYS Water Grant Assistance for the project described herein, are true, correct and complete to the best of my knowledge and belief.

I further agree on behalf of the applicant that, if DWSRF Assistance is provided for the project described in this application, the applicant shall comply with all applicable provisions of the Federal Safe Drinking Water Act, 42 U.S.C. §§300f, et seq., and applicable provisions of state law, codified under Chapter 413 of the Laws of New York of 1996, 10 NYCRR Part 53, and 21 NYCRR Part 2604, as amended, regarding DWSRF Assistance.

I further agree that the applicant will comply with the provisions of the Minority and Women’s Business Enterprise – Equal Employment Opportunity requirements of Article 15-A of the New York State Executive Law and other requirements as prescribed by the Environmental Facilities Corporation by providing opportunities for MBE/WBE participation, and will maintain such records and take such actions necessary to demonstrate such compliance throughout the construction of the project.

Further, I acknowledge that offering a written instrument knowing that the written instrument contains a false statement or false information, with the intent to defraud the State or any political subdivision, public authority or public benefit corporation of the State, with the knowledge or belief that it will be filed with or recorded by the State or any political subdivision, public authority or public benefit corporation of the State, constitutes a crime under New York State Law.

(Signature of Authorized Municipal Representative)

(Date)

(Name and Title)

(Applicant)



**Department
of Health**

**Environmental
Facilities Corporation**

625 Broadway
Albany, New York 12207-2997
(518) 402-6924 (p)
(518) 402-6954 (f)
NYSWaterGrants@efc.ny.gov
[www.efc.ny.gov/
nyswatergrants](http://www.efc.ny.gov/nyswatergrants)

PART 3

PLAN OF FINANCE

NYS WATER INFRASTRUCTURE IMPROVEMENT ACT

PLAN OF FINANCE INSTRUCTIONS

ROUND 2

1. PLAN OF FINANCE AND FUNDING SOURCES

A Plan of Finance must be completed by Applicants that are applying for a NYS Water Grant only but are not interested in seeking DWSRF financial assistance, and should reflect all known or anticipated sources of funding.

If you have previously issued any debt associated with this project(s), EFC will contact you for specific information to document such project debt. EFC will also work with you to obtain, and assist in the development as necessary, of a long-term plan of finance.

2. INTERFUND BORROWINGS

An interfund borrowing occurs when an applicant temporarily borrows available money in one fund for another fund purpose with the intent to repay the money from future proceeds. Generally, the applicant must adopt a resolution pursuant to General Municipal Law, Section 9, or have authorization in a bond resolution to reimburse the money from the proceeds of BANs or bonds.

Interfund borrowing reimbursements may be subject to certain limitations under applicable tax regulations. EFC staff will work with you and your bond counsel to determine if there are any restrictions which may affect such reimbursement.

Indicate if reimbursement is requested for Interfund Borrowings. If yes, please provide a copy of the municipal authorizing resolution and cost documentation for the interfund borrowing.

3. INTERMUNICIPAL OR OTHER AGREEMENTS

Please provide a copy of existing or proposed Intermunicipal Agreements or other contracts, if any, relating to the project, the district or the system for the ownership, construction, payment, use, operation or management. Including agreements with any local, state or federal agency (i.e. State Department of Corrections), or regional water or sewer authority. A copy of any draft agreement critical to the project will also need to be provided to EFC before a short-term financing can be closed. The expiration date of any significant intermunicipal agreement should be the same as the term of a DWSRF long-term financing. An intermunicipal agreement is significant to the project, if it is necessary for the continued operation of the project (i.e. an agreement for water use) or relates to the financial viability of the project (i.e. payments received).

4. PLANNED DEBT ISSUANCE

This information is available from the applicant's Chief Fiscal Officer. If the applicant has a current capital plan, including a comprehensive fiscal performance plan (associated with the AIM state aid program), please submit that plan to EFC if requested.



NYS WATER INFRASTRUCTURE IMPROVEMENT ACT GRANT PLAN OF FINANCE

Applicant _____
Project Name: _____

This form is required for Applicants that are applying for a NYS Water Grant only and are **not** seeking DWSRF financial assistance. The Plan of Finance should reflect all known or anticipated sources of funding. Please complete a separate form for each project.

1. PLAN OF FINANCE AND FUNDING SOURCES

Total Project Costs: \$ _____
(Should equal the project budget)

NYS Water Grant Request: \$ _____

Other Funding Sources

1. Grants (list separately)

_____ \$ _____
_____ \$ _____
_____ \$ _____

2. Municipal Contribution

\$ _____

3. Long-Term Loans

SRF

\$ _____

Other (list source)

\$ _____

_____ \$ _____

_____ \$ _____

_____ \$ _____

4. Short-Term Loans

(expected to be retired with funds from 1, 2 or 3 above)

\$ _____

\$ _____

\$ _____

Status (provide dates)

Applied Approved Received

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Have you issued any debt with respect to this project? Yes No Amount Outstanding: \$ _____

Note: "Loans" above may include funds borrowed from banks or other lenders, in the form of Notes, Bonds or other debt.



2. INTERFUND BORROWINGS

Will this financing reimburse an interfund borrowing? Yes No

If yes, please provide a copy of the municipal authorizing resolution and cost documentation for the interfund borrowing.

3. INTERMUNICIPAL OR OTHER AGREEMENTS

Has the applicant entered into, or is the applicant contemplating entering into, any agreement(s) between itself and any other municipality (or municipalities) or any other entity regarding the sharing of responsibility for ownership, construction, payment, use, operation or maintenance of the project?

Yes No

If yes, please name the parties below, the term (in years of the agreement) and include a copy of any and all such agreement(s) with the application submission.

4. PLANNED DEBT ISSUANCE

Describe current plans for debt issuance for the next three years. (Please include any authorized debt which is not project-related).