



ROUND 2 NYS WATER INFRASTRUCTURE IMPROVEMENT ACT GRANT SUMMARY CLEAN WATER

OVERVIEW

The New York State Water Infrastructure Improvement Act of 2015 (the Act) authorizes the New York State Environmental Facilities Corporation (EFC) to provide grants to assist municipalities in funding water quality infrastructure (NYS Water Grants program). NYS water grants are available for both drinking water and sewage treatment works (clean water) projects that protect or improve water quality and/or protect public health.

ROUND 2

EFC is currently offering \$175 million in NYS Water Grants for clean and drinking water projects in Round 2. This document provides a summary of the requirements for clean water projects in this second round of the NYS Water Grants program.

The amount of available NYS Water Grants may not be sufficient to offer grants to all eligible applicants. EFC will evaluate all projects for which applications have been received by the deadline (5:00 p.m. June 20, 2016) based on protection of water quality and the readiness of the project to proceed expeditiously to financing and construction.

BENEFIT

Applicants with eligible clean water projects may receive a NYS Water Grant award as described below:

- Projects are limited to the lesser of \$5 million or 25% of net eligible project costs.
- Municipalities are limited to \$5 million of combined clean Water State Revolving Fund (CWSRF) grant¹ and NYS Water Grant over a five-year period (October 1, 2011 to September 30, 2016).
- No municipality can receive more than \$5 million in grant for any combination of projects or phases of project, and no single project (if shared by more than one municipality) can receive more than \$5 million.

¹ CWSRF grant does not include grants through the Green Innovation Grant Program or the Engineering Planning Grant Program.



TIMING

Applications and information sufficient for a project to be considered for the second round of NYS Water Grants must be submitted to EFC no later than **5:00 p.m., June 20, 2016**. Applications that are submitted without all required information and requested documents may be deemed incomplete and not be processed. Applications must be submitted to NYSWaterGrants@efc.ny.gov. Documents submitted to supplement the application can be submitted through the EFC [dropbox](https://secure.jotform.us/form/41354310903141) (<https://secure.jotform.us/form/41354310903141>).

ELIGIBLE MUNICIPAL ENTITIES

A NYS Water Grant is available only to a municipality: a county, city, town, village, district corporation, county or town improvement district, school district, Indian nation or tribe recognized by the state or the United States with a reservation wholly or partly within the boundaries of New York State, any public benefit corporation or public authority established pursuant to the laws of New York or any agency of the State that is empowered to construct and operate a water quality infrastructure project. (School districts are eligible for NYS Water Grants but are ineligible for Clean Water State Revolving Fund (CWSRF) financial assistance.) All candidates for the second round of NYS Water Grant funding must meet the following criteria:

- Must be a municipally-owned sewage treatment works²;
- Must submit a NYS Water Grant Application to EFC, even if they are listed in the current IUP;
- Project must be for planning, design, and construction services;
- Have not closed on a CWSRF financing OR short-term financing was closed on or after October 1, 2014; and
- Construction cannot have been completed before October 1, 2015.

ELIGIBLE PROJECTS

Consistent with the Act, water quality infrastructure projects funded through the NYS Water Grants program will be awarded to projects at municipally-owned sewage treatment works for:

- replacement or repair of infrastructure; or
- compliance with environmental and public health laws and regulations related to water quality

Participation in the CWSRF program is not a requirement to receive a NYS Water Grant. EFC, however, encourages you to take advantage of the low cost financial assistance

² Sewage treatment works as defined in Environmental Conservation Law Section 17-1903: a facility for the purpose of treating, neutralizing or stabilizing sewage, including treatment or disposal plants, the necessary intercepting, outfall and outlet sewers, pumping stations integral to such plants or sewers, equipment and furnishings thereof and their appurtenances.



and one-stop convenience of jointly financing a project with NYS Water Grant and CWSRF financial assistance. NYS Water Grant awardees not utilizing CWSRF financial assistance will be required to provide proof of obtaining similarly low cost financing or funding from another source. Applicants seeking CWSRF financial assistance along with NYS Water Grant fund must submit sufficient information to have their projects listed on the Annual Project Priority List in the 2017 CWSRF IUP, if not already listed on the Annual List in the CWSRF 2016 IUP.

All awarded projects must comply with the state MWBE, Smart Growth and environmental review requirements. The MWBE goal for projects funded with a NYS Water Grant and CWSRF financial assistance is 23% combined MBE/WBE participation. For projects that are awarded a NYS Water Grant only, the MWBE goal is 30% combined participation. Eligible projects using CWSRF financial assistance will also be required to meet all other applicable CWSRF requirements, such as American Iron and Steel and Davis-Bacon. All requirements to execute a CWSRF financing are discussed in the current IUP.

APPLICATIONS

Applicants who would like to be considered for a NYS Water Grant in Round 2 must submit a NYS Water Grant Application and the following documentation:

- Project Listing Form submitted through EFC's Project Listing and Update System (PLUS) (only for projects not currently on the 2016 CWSRF IUP. See 2016 IUP for details on how to list your project)
- Engineering Report, including project schedule and budget (if not previously submitted)
- Smart Growth Assessment Form (if not previously submitted)
- Complete CWSRF Financing Application, if not previously submitted. (not applicable to Grant only applicants)
 - Bond Resolution (Certified)
 - Proof of District Formation (If applicable)
 - Environmental Review documentation (SHPO/SEQR Review)
- Plan of Finance (**only** for those not seeking CWSRF financial assistance)

An application with all supporting documents must be submitted by the June 20, 2016 deadline. Projects newly listed on the 2017 CWSRF IUP that are awarded a NYS water grant may be delayed in closing their financing.

For municipalities that are NOT seeking CWSRF financial assistance, the submission of a CWSRF Financing Application is not required. However, such municipalities will be required to submit a complete Plan of Finance [Exhibit 1 to the application] that describes all sources of funding to complete the proposed project. EFC may require additional documentation to substantiate the sources of funds.



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www.efc.ny.gov/nyswatergrants

Water Grant Applications submitted without an approvable engineering report, an incomplete CWSRF Financing Application, or an incomplete NYS Water Grant application may not be processed.

Unless the applicant has notified EFC that it does not wish to be considered for grant in Round 2, applications received during Round 1 of the NYS Water Grant program that were not awarded a grant will automatically be considered in Round 2, provided that the required documents described above are received and/or updated as appropriate by June 20, 2016.

CONTACT US

Please direct all questions about the NYS Water Grants program and application for clean water projects to:

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