



New York Clean Water State Revolving Fund

Project Scoring Criteria

EFC scores CWSRF eligible projects in Categories A, B, C, D, and E using the criteria stated in 6 NYCRR § 649.13. The criteria are summarized as follows:

- A. Existing Source
- B. Water Quality Improvement
- C. Consistency With Management Plans
- D. Intergovernmental Needs
- E. Financial Need (*municipal projects only*)
- F. Economic Need

The total numerical score for the project or project segment being scored shall be the sum of the applicable scores for criteria A, B, C, D, E and F.

The project score(s) will be computed based on information in the approved or approvable facilities plan, engineering report, or other equivalent document. Projects without approved or approvable facilities plans or engineering reports will be scored based on information from other sources and adjusted when a facilities plan or engineering report is determined to be approvable or is approved. Projects must be adequately supported by technical documentation, data, reports, etc.

*NOTE: For purposes of project scoring, the term **wastewater** shall mean any water that contains pollutants that may cause or reasonably be expected to cause pollution of the waters of the state in contravention of the standards adopted, as provided under Article 17 of the Environmental Conservation Law. This includes, as a minimum, sewage, nonpoint source, stormwater, septage, and other pollutants.*



A. Existing Source Criterion

The project receives a score based on whichever of the factors (1-5) listed below best describes the source of pollution associated with the impairment of use, scored under criterion B, which may be resolved by the project.

Factor	Points
<p>1. A critical source of pollution</p> <p>a. A raw, partially treated or intermittent point or nonpoint source causing or significantly contributing to a priority water problem which has been identified on Priority Waterbodies List (PWL) as “precluded” or “impaired” or is resulting in documented use impairment of surface and/or groundwater quality equivalent to “precluded” or “impaired”, or</p> <p>b. A source from which bioaccumulative chemicals of concern (BCCs) would be reduced or eliminated.</p>	50
<p>2. A significant source of pollution</p> <p>A raw, partially treated or intermittent point or nonpoint source causing or significantly contributing to a priority water problem which has been identified on Priority Waterbodies List (PWL) as “stressed” or “threatened” or causing a documented use impairment of surface and/or groundwater quality equivalent to “stressed” or “threatened”.</p>	25
<p>3. A potential source of pollution</p> <p>a. A point or nonpoint source causing or significantly contributing to a water use impairment that is not identified on the Priority Waterbodies List (PWL) nor causing a documented use impairment or surface water or groundwater quality, or</p> <p>b. A point or nonpoint source project necessary to maintain or protect existing facilities, conditions or water quality.</p>	10
<p>4. Other</p> <p>A point or nonpoint source project that was necessary to preserve, protect and/or improve surface and/or groundwater quality from a source of pollution identified in 1, 2, or 3 above and which construction was complete as defined in section 649.2(a)(9) of this Part prior to being listed in a final IUP.</p>	5
<p>5. None of the above.</p>	0

B. Water Quality Improvement Criterion (WQIC)

The WQIC is determined by the following three factors: 1) Classification Points Factor (CPF); 2) Impairment Factor (IF); and 3) Potential Improvement Factor (PIF). Based on the existing source identified for criterion A, points are allotted to a project on the basis of the State-assigned classification of the receiving water at the point of discharge, or where higher, the classification of downstream surface waters, the use of which is impacted or potentially impacted by the existing discharge. The points are modified depending upon the severity of impairment of the desired best usage of the receiving water and the potential for the proposed project to improve water quality.

The WQIC is calculated using the following equation: $WQIC = CPF \times IF \times PIF$

1. Classification Points Factor (CPF)

Points are allotted to a project on the basis of the State-assigned classification of the receiving water at the point of discharge, or where higher, the classification of downstream surface waters, the use of which is impacted or potentially impacted by the existing discharge.

Classification	Description	Points
AA, SA, GA (primary water supply aquifer), AA special	Specially protected high quality drinking water and shellfish.	8
A, A special, GA (other), GSA	Other drinking water.	6
B, SB, C(T) ¹ , C(TS)	Contact recreation, trout and trout propagation.	4
C ² , SC, I	Other fishing.	3
D, SD, GSB	Other water uses.	2
	Impairment of resources which have important environmental quality impacts such as odor, sludge disposal, sewer maintenance equipment, etc. or for a project which received a score under Existing Source Criterion, Factor 4.	
	No resource is impaired.	0

¹ (T) and (TS) indicate the application of standards to protect trout and trout spawning, respectively.

² Classification C without (T) or (TS) appended.

2. Impairment Factor (IF)

Points are allotted to a project based on the severity of impairment of the desired best usage of the affected surface water or groundwater caused by the existing discharge, as indicated in the Priority Waterbodies List (PWL), or verifiable documentation of the surface water and/or groundwater impairment.

Impairment	Definition	Points
Precluded	A use is not possible (<i>i.e., frequent/persistent water quality or quantity conditions prevents all aspects of the waterbody use</i>).	6
Impaired	A use cannot be fully met (<i>i.e., occasional water quality or quantity conditions periodically prevent or discourage the use of the waterbody</i>).	4
Stressed	A water quality problem is evident, but impairment is not clearly demonstrated (<i>i.e., waterbody uses are not significantly limited or restricted, but occasional water quality or quantity conditions periodically discourage the use of the waterbody</i>).	2
Threatened or None	There is a threat to future water quality but no existing evidence of impairment (<i>i.e., water quality currently supports waterbody uses, however, existing or changed land use patterns may result in restricted use</i>) or if a project maintained or protected water quality and was complete as defined in section 649.2(a)(9) of this Part prior to being listed in a final IUP.	1

3. Potential Improvement Factor (PIF)

Points are allotted to the project based on the potential for the project to improve water quality.

Factor	Points
1. Degree of impairment reduced by three levels (<i>i.e., from “Precluded” to “Threatened or None”</i>).	4
2. Degree of impairment reduced by two levels (<i>i.e., from “Precluded” to “Stressed” or from “Impaired” to “Threatened or None”</i>).	3
3. Degree of impairment reduced by one level (<i>i.e., from “Precluded” to “Impaired”, from “Impaired” to “Stressed”, or from “Stressed” to “Threatened or None”</i>).	2
4. No reduction in impairment level.	1



C. Consistency With Management Plan Criterion

Factor	Points
<p>1. A project that:</p> <p>(a) significantly addresses the <u>highest priority</u> water quality problem or solution identified in one of the following management plans: Peconic Estuary CCMP, South Shore Estuary Reserve CMP, Long Island Sound CCMP, New York/New Jersey Harbor CCMP, Hudson River Estuary Plan, Lake Champlain Management Plan, Onondaga Lake Plan, or Great Lakes Program, or</p> <p>(b) is a land acquisition project whose primary purpose is to protect water quality, and that has been included as a priority in the most recent State Open Space Conservation Plan prepared pursuant to article 49-0207 of the ECL.</p>	15
<p>2. A project that:</p> <p>(a) significantly addresses the <u>secondary or priority</u> water quality problem or solution identified in one of the following management plans: Peconic Estuary CCMP, South Shore Estuary Reserve CMP, Long Island Sound CCMP, New York/New Jersey Harbor CCMP, Hudson River Estuary Plan, Lake Champlain Management Plan, Onondaga Lake Plan, or Great Lakes Program, or</p> <p>(b) is a land acquisition project whose secondary purpose is to protect water quality, and that has been included as a priority in the most recent State Open Space Conservation Plan prepared pursuant to article 49-0207 of the ECL.</p>	10
<p>3. A project which is consistent with water quality policies or recommendations in the New York State Nonpoint Source Management Plan, the State's Open Space Conservation Plan or in a DEC approved watershed management plan.</p>	5
<p>4. None of the above.</p>	0

Points may be allocated under C.1, C.2, C.3 or C.4.

D. Intergovernmental Needs Criterion

1. Intergovernmental Needs

Factor	Points
a. A project to abate water pollution, which is required by an executed enforcement instrument or required by a SPDES permit to be undertaken.	25
b. A project that will maintain or protect the integrity of existing wastewater treatment facilities to insure continued SPDES compliance.	10
c. A land acquisition project that is identified as a high priority for acquisition in the most recent State Open Space Conservation Plan, prepared pursuant to Article 49-0207 of the ECL.	5
d. None of the above.	0

Points may be allocated under either 1.a, 1.b, 1.c or 1.d.

2. Construction Start

Factor	Points
A project that has commenced construction, as defined in section 649.2(a)(8) of this Part.	5

E. Financial Need Criterion *(municipal projects only)*

Factor	Points
If a project receives points under <i>A - Existing Source Criterion</i> and <i>B - Water Quality Improvement Criterion</i> , or <i>D.1.a - Enforcement Status Criterion</i> and the Median Household Income (MHI) of the recipient in which the project service area is located is below the Statewide MHI, the project receives 10 points for financial need.	10

The MHI of the recipient in which the project service area is located and the Statewide MHI will be determined from income data in the most recent United States census. If there is reason to believe that the census data are not an accurate representation of the MHI within the area to be served, the reasons must be documented and the applicant will furnish, or the department may obtain, additional information regarding the MHI. Information will consist of reliable data from local, regional, State or Federal sources or from an income survey.



F. Economic Need Criterion

Factor	Points
1. If a project receives points under <i>A – Existing Source Criterion</i> and <i>B - Water Quality Improvement Criterion</i> , or <i>D.1.a - Enforcement Status Criterion</i> , and the project is located in or serving an Empire Zone, the project receives 10 points for economic need.	10
2. If a land acquisition project has received a commitment for purchase by State as part of its most recent Open Space Conservation Plan, prepared pursuant to article 49-0207 of the ECL, the project receives 5 points for economic need.	5

Tie Breaking

In the event of equal total scores, preference shall be given: first to the project having the highest existing condition criterion raw score; then, if not resolved, to the project receiving the highest water quality improvement points; and finally to the project serving the greatest population. Projects are listed in the Annual Project Priority List in accordance with these criteria.



CWSRF Project Score Sheet

CWSRF Project Number: C _ - _ - _ - _ - _ - _ -

Applicant Name: _____

DEC Region: _____ County: _____ Project Category: _____

Project Description: _____

Total Project Cost: \$ _____

Construction Start Date (Target or Actual T/A): / /

Comments: _____

A. EXISTING CONDITIONS CRITERION
Paragraph # _____ (0-50 pts) A. _____

B. WATER QUALITY IMPROVEMENT CRITERION (WQIC)
Drainage Basin Code: _____
Receiving Water Name: _____
Classification Points Factor (CPF) (0 to 8) _____
Impairment Factor (IF) (1 to 6) _____
Potential Improvement Factor (PIF) (1 to 4) _____
 $WQIC = CPF \times IF \times PIF =$ B. _____

C. MANAGEMENT PLAN CONSISTENCY CRITERION
Paragraph # _____ (0-15 pts) C. _____

D. INTERGOVERNMENTAL NEEDS CRITERION
(check all that apply)
D1. Enforcement or Management Plan (0-25 pts) D1. _____
D2. Construction Started (0 or 5 pts) D2. _____ D. _____

E. FINANCIAL NEED CRITERION
Median Household Income (0 or 10 pts) _____ E. _____

F. ECONOMIC NEED CRITERION
Included in Empire Zone (0-10 pts) _____
NYS Open Space Plan (0-5 pts) _____ F. _____

CORE PROJECT SCORE (A+B+C+D+E+F): _____

IS THIS PROJECT INCLUDED IN A PROJECT FINANCING AGREEMENT (PFA)?
No (0 pts) _____
Yes - STF (1000 pts) _____
Yes - LTS (2000 pts) _____

TOTAL PROJECT SCORE (A+B+C+D+E+F+PFA): _____