2022 NYS Water Grants Webinar

Water Infrastructure Improvement & Intermunicipal Grants Program

August 16, 2022
Today’s Webinar

- EFC Overview
- Grant Program Introduction
- Water Infrastructure Improvement Grants (WIIA)
- Intermunicipal Grants (IMG)
- WIIA & IMG Program Requirements
- Applying for WIIA and IMG Grants
- Review of WIIA andIMG
- Q&A Session
NYS EFC Overview
EFC Overview

- New York State Environmental Facilities Corporation

- Provides financial assistance including low-cost capital and grants
  - Sewer and wastewater treatment projects through the Clean Water State Revolving Fund (CWSRF)
  - Drinking water projects through the Drinking Water State Revolving Fund (DWSRF)
  - Various NYS grant programs

- Since 1990, EFC has provided:
  - Over $31 billion to Clean Water projects
  - Over $7 billion to Drinking Water projects
SRF Financial Assistance Available

- EFC has low-cost financing available for the loan portion of a project’s financing plan, as well as the convenience of one-stop shopping for all financial needs.

- EFC offers financing through either the CWSRF or DWSRF in conjunction with a WIIA or an IMG grant.

- Participation in SRF financing to fund the balance of the total project costs is not a requirement in order to receive a grant.
  - Applicants must be prepared to fund the balance of the project with funding they have determined to be similarly low cost to SRF financial assistance.
Intended Use Plan (IUP)

- IUP is prepared annually to:
  - Describe each SRF program
  - List available funds
  - Identify the use of funds
  - Identify projects eligible for funding

- EFC/DOH assigns a project priority score based on water quality and public health impacts as described in the documents submitted

- A project does not have to be listed on the current Intended Use Plan (IUP) to apply for a grant
  - Projects will be listed if applying for SRF financing
Grant Program Introduction
What is the WIIA/IMG program?

- State grants
- Funded from $4.5 billion in clean water infrastructure investment since 2017
  - $2.5 Billion NYS Clean Water Infrastructure Act (CWIA) of 2017
  - $4 Billion in additional annual appropriations
- For infrastructure projects that protect public health and/or improve water quality or address emerging contaminants
- Can be paired with EFC’s financial assistance through the CWSRF or DWSRF programs for low- and zero- interest financing
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WIIA/IMG Program

$2.5 Billion NYS Clean Water Infrastructure Act (CWIA) of 2017

Water Infrastructure Improvement Grants
at least
$1 Billion

Intermunicipal Grants
at least
$150 Million

$225 Million Available in 2022

WIIA and IMG grants are jointly administered by EFC and DOH
Who is Eligible?

- City
- Town
- Village
- County or Town Improvement District
- Indian Nation or Tribe\(^1\)
- Public Authority
- Public Benefit Corporation
- School District

\(^1\) With Reservation wholly or partly within NYS
Water Infrastructure Improvement Grants (WIIA)
WIIA Clean Water Grant

- Available for sewage treatment works projects
  - Stormwater projects are only eligible if proposed scope is addressing a sanitary sewer issue (e.g. combined sewer separation)

- Municipalities will be awarded 25% of total net eligible project costs, including the costs for all phases of the project, up to $25 million

- If your awarded grant(s) exceeds $5 million, grant(s) will be allocated over multiple years in increments not to exceed $5 million per year

- Grants administered through EFC will not be used to calculate net eligible project costs (GIGP, CWSRF)
WIIA Clean Water Grant

Total Eligible Project Costs - Awarded Non-EFC Grant Funding = Net Eligible Project Costs

Example:
$10,000,000 costs - $400,000 Non-EFC grant = $9,600,000

Max Grant Amount:
$9,600,000 x .25 = $2,400,000
WIIA Drinking Water Grant

- Available for drinking water projects
- Municipalities will be awarded 60% of total net eligible project costs, including the costs for all phases of the project, up to $5 million
- The maximum a municipality can receive is $5 million in DWSRF grant and/or WIIA grant per year
- Projects addressing an emerging contaminant above the State determined Maximum Contaminant Level (MCL) may be awarded 60% of total net eligible project costs with no cap
WIIA Drinking Water Grant

Total Eligible Project Costs - Other Awarded Grant Funding
= **Net Eligible Project Costs**

**Example:**
$1,000,000 costs - $400,000 Other grant = $600,000

**Max Grant Amount:**
$600,000 x .60 = $360,000
WIIA Project Eligibility Criteria

Water quality infrastructure projects at municipally-owned sewage treatment works and public water systems for:

- Construction, replacement or repair of infrastructure
- Compliance with federal or state environmental and public health laws/regulations

Projects must meet the following criteria:

- Result in construction of the project
- Construction cannot have started before October 1, 2021
- Include the applicable EFC terms and conditions in contracts under construction
- Construction cannot have been completed before July 1, 2022
WIIA Project Evaluation Criteria

EFC and DOH will consider factors such as:

- Water quality improvement or reduction in risk to public health
- Financial needs of the community
- Readiness to advance to construction
- Level of demonstrated community support
- Consideration for Environmental Justice Areas
WIIA Clean Water Project Examples

- Construction, repair, rehabilitation, or replacement of wastewater treatment facilities or sanitary sewers
- Combined sewer overflow (CSO) and sanitary sewer overflow (SSO) projects that reduce discharges of rainwater and untreated sewage
- New sanitary sewer infrastructure to replace on-site septic systems
- Sludge treatment or disposal facilities
WIIA Drinking Water Project Examples

- Construction, upgrade or replacement of drinking water infrastructure
- Address current noncompliance with federal or state drinking water health standards and protect against future violations
- Construction of new drinking water infrastructure to replace private wells
- Combat emerging contaminants such as PFOA, PFOS, & 1,4-Dioxane
Intermunicipal Grants (IMG)
Intermunicipal Grants (IMG)

More than one municipality undertaking a capital improvement project jointly, such as:

- a shared water quality infrastructure project
- consolidation of intermunicipal facilities (e.g., regional facilities)
- the interconnection of multiple municipal water systems

Available for both drinking water and clean water projects
IMG Grant Award Overview

- Available for clean water and drinking water projects
- Municipalities will be awarded 40% of total net project costs, up to $30 million
  - No longer limited to SRF market-rate loans
- One municipality must be the “lead municipality” and apply on behalf of all cooperating municipalities
- Municipalities may apply for this grant on more than one project
- Each municipality is limited to receiving no more than a $10 million allocation per year.
IMG Grant

Total Eligible Project Costs - Other Awarded Grant Funding = Net Eligible Project Costs

Example:
$10,000,000 - $400,000 Other Grant = $9,600,000

Max Grant Amount:
$9,600,000 x .40 = $3,840,000
IMG Project Eligibility Criteria

- Municipally-owned sewage treatment works projects OR municipally-owned public water system projects that construct, replace, or repair infrastructure, or for compliance with environmental and public health laws and regulations related to water quality.

- Must have a current, valid, and binding project Intermunicipal Agreement (IMA) between at least two cooperating municipalities related to the financing of the project.
Projects must meet the following criteria:

- Result in construction of the project
- Have not started construction before October 1, 2021
- Include the applicable EFC terms and conditions in contracts under construction
- Not have completed construction before July 1, 2022
- May not be for the construction of water infrastructure that exclusively supports new development, whether residential or commercial
IMG Project Evaluation Criteria

EFC and DOH will consider factors such as:

- Water quality improvement or reduction in risk to public health
- Readiness to advance to construction
- Level of demonstrated community support
- The benefits to multiple municipalities
- Consideration for Environmental Justice Areas
IMG Project Examples

- Consolidation of two existing treatment plants to a single jointly-owned facility to treat flows from both municipalities
- Interconnection of multiple municipal water systems to provide source redundancy and improve water quality
- A project that includes more than one municipality undertaking a capital improvement project jointly
WIIA & IMG Program Requirements

All awarded projects must comply with the following state requirements:

- Environmental Review (SEQR/SHPO)
- Smart Growth
- MWBE/EEO

Awarded projects with SRF financing must also comply with the following federal requirements:

- American Iron and Steel
- Davis-Bacon Federal Prevailing Wage

Awarded projects without SRF financing must also comply with the following state requirements:

- Service-Disabled Veteran-Owned Business (SDVOB)
WIIA & IMG Program Requirements

- All contracts executed by recipients that are to be paid for with WIIA funds, IMG funds, or SRF financial assistance must demonstrate compliance with program requirements by including the applicable EFC Terms and Conditions (formerly known as bid packets).

- Any contracts, including those that are executed prior to grant application, that do not include the SRF T&Cs will be ineligible from funding.

- Available at [www.efc.ny.gov](http://www.efc.ny.gov)
WIIA & IMG MWBE/SDVOB Goals

- **WIIA or IMG GRANT WITH SRF ASSISTANCE**
  - 20% MWBE PARTICIPATION

- **WIIA or IMG GRANT WITHOUT SRF ASSISTANCE**
  - 30% MWBE PARTICIPATION
  - 6% SDVOB PARTICIPATION
Bipartisan Infrastructure Law (BIL) Notice

- Projects co-funded with Bipartisan Infrastructure Law (BIL) federal grant or loan funds are subject to additional federal programmatic requirements
  - Architectural/Engineering (A/E) Services Procurement
  - Build America Buy America (BABA)

- Additional information and updates on BIL are available at www.efc.ny.gov/BIL

- Applicants that apply for WIIA/IMG grant only without SRF financing are not eligible for BIL funds
A/E Procurement Requirements

1. Public announcement of the solicitation;

2. Evaluation and ranking of the submitted qualifications statements based on established, publicly available criteria;

3. Discussion with at least three firms to consider anticipated concepts and compare alternative methods for furnishing services;

4. Selection of at least three firms considered to be the most highly qualified to provide the services required; and

5. Contract negotiation with the most highly qualified firm to determine compensation that is fair and reasonable.

Guidance Document available on EFC’s website
Applying for WIIA & IMG Grants
Thank you for your interest in the WIIA/IMG Program! Please fill out this application and make sure all required fields are entered.

Saving and Continuing Later: as you work on this application, you are able to save it and continue filling it in at a later time. To do this, click “Save” at the bottom of your application screen. Choose “Skip Create An Account.” Enter your email address and you will receive a link to access your application at a later date/time. If you are working on multiple applications, we recommend you save this email in your files under the “Applicant Name” so that you can quickly access the correct application when you want to continue. Each time you work on the application, make sure you save it before closing your browser if you are not ready to submit so that your work is saved.

For FAQs including tips for working on multiple applications at once, go to https://www.epcsc.org/frequently-asked-questions-about-water-grants.

For more information or assistance with this application, please see our Application Instructions guide.

For more information on the types of financing options available, please visit EFC’s website.

Please choose if you are submitting a Clean Water or Drinking Water WIIA/IMG application.

- Clean Water
- Drinking Water

Are you applying for Grant Only or Grant + State Revolving Fund (SRF) Financing?

- Grant Only
- Grant + SRF Financing

WIIA & IMG Grant Application

- New online application
- One application for both WIIA & IMG grant programs
- Identify if you are applying for a Clean Water or Drinking Water project
- Can save progress of draft application

FOUND AT:  WWW.EFC.NY.GOV/WIIA
WWW.EFC.NY.GOV/IMG
WIIA & IMG Grant Application

A. Applicant Information
B. Grant Category
C. General Information
D. Project Information
E. Total Project Budget
F. Plan of Finance
G. Required Documents
H. Acknowledgements
I. MWBE/SDVOB/EEO Workplan
J. Signature
WIIA & IMG Grant Application continued

- Getting Started

Please choose if you are submitting a Clean Water or Drinking Water WIIA/IMG application. *

- Clean Water
- Drinking Water

Are you applying for Grant Only or Grant + State Revolving Fund (SRF) Financing? *

- Grant Only
- Grant + SRF Financing

SRF Project Number

You should only list a number if you are currently on the IUP, otherwise leave blank.

SRF Financing Amount

Amount listed on the IUP or the amount you would need in loans.

Note: Projects that are not using State Revolving Fund (SRF) financial assistance for the balance of their project:

- will not be added to the SRF Intended Use Plan,
- will not be eligible for Bipartisan Infrastructure Law (BIL) funding, and
- must demonstrate that you will fund the balance of the project with funding similarly low cost to SRF financial assistance.
Application Sections

- Section A: Applicant

- Please provide current and accurate contacts related to the project.

- If a Sewer or Water Authority, provide each municipality served.
Application Sections

- Section B: Grant Category

Applicants can check both boxes if they wish to apply for both grant programs.
Application Sections

- Section C: General Information

If project has multiple locations, provide all. Do not provide a central location.

http://www.elections.ny.gov/district-map.html

Provide the breakdown of municipalities involved. (e.g. Cities, Towns, Villages)
Application Sections

- Section C: General Information

If construction has started on any contracts, provide copies of plans and specs

Contract documents must include EFC Terms and Conditions to be eligible or funding
Application Sections

- **Section D: Project Information**

If applying for an IMG Grant, describe the relationship between the municipalities undertaking the joint project, how the joint project benefits the cooperating municipalities and is the best solution for an identified water quality problem.

Type here...

Will the impacts of the proposed water quality improvement project demonstrate a benefit to an EJ area, community, or street location as indicated on maps available at DEC’s website and DECinfo Locator mapper.

- No
- Yes

The DECinfo Locator mapper can be found at https://gisservices.dec.ny.gov/gis/dil/.

If yes, please describe. If no, include a statement that no EJ areas are served by your project.

Type here...

**For IMG applicants only**

Attach documentation that demonstrates community impacts and/or project readiness as applicable

**New for 2022**

Refer to DEC InfoLocator online mapper to determine if EJ areas are affected by the proposed project
Describe the current status of the project and your ability to demonstrate readiness to proceed including, but not limited to, an executed engineering agreement for design services, executed professional service agreements, detailed project schedule, and plans and specifications.

Will the project require the formation of a new Water/Sewer district or will it extend the district?
- [ ] No
- [x] Yes

Does the project require district formation approval from the Office of the State Comptroller (OSC)?
- [ ] No
- [x] Yes

Describe the status. If the district formation has been approved, attach the OSC approval letter in the “Supporting Documents” section of this application.

New for 2022
If your project requires the formation or extension of a sewer or water district, provide details.
Application Sections

- Section E: Total Project Budget

All fields marked with * are required and must be filled.

Please add line items to the categories below as needed. If you have any additional questions, please call EFC or refer to the Intended Use Plan. All costs must be based on estimates that are not more than 6 months old.

**Construction Costs**

<table>
<thead>
<tr>
<th>Contract</th>
<th>Amount</th>
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</thead>
<tbody>
<tr>
<td>Contract 1</td>
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<td>Contract 2</td>
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<tr>
<td>Contract 3</td>
<td></td>
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<tr>
<td>Contract 4</td>
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**Engineering Costs**

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<th>Category</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Planning</td>
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<tr>
<td>Design</td>
<td></td>
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<tr>
<td>Construction</td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
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</table>

**Other Expenses**

<table>
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<tr>
<th>Category</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Local Counsel</td>
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</tr>
<tr>
<td>Bond Counsel</td>
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</tr>
<tr>
<td>Work Force - Technical</td>
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<tr>
<td>Work Force - Administrative</td>
<td></td>
</tr>
<tr>
<td>Fiscal Services</td>
<td></td>
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<tr>
<td>Net Interest</td>
<td></td>
</tr>
<tr>
<td>Miscellaneous</td>
<td></td>
</tr>
</tbody>
</table>

If applicable, please describe "Miscellaneous" costs and provide a breakdown of each cost.

If applicable...

**Additional Costs**

<table>
<thead>
<tr>
<th>Category</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equipment</td>
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<tr>
<td>Land Acquisition</td>
<td></td>
</tr>
<tr>
<td>Contingencies</td>
<td></td>
</tr>
</tbody>
</table>

**Total Project Costs**

DO NOT CHANGE: Calculated Field

All costs must be based on estimates that are not more than 6 months old.
Application Sections

- Section F: Plan of Finance

Identify all sources of funding for the non-WIIA/IMG grant portion of your project.

For any sources you do not intend to use, indicate that they are Not Applicable.

Additional Rows can be added by clicking +.
Application Sections

- Section G: Required Documents

These items must be submitted for EVERY project.

Bond Resolution required if seeking SRF financial assistance

Board Resolution with Plan of Finance for WIIA/IMG grant only
Section G: Required Documents (as indicated)

- Project Intermunicipal Agreement (Valid and Binding) *
  - Previously submitted to EFC
  - Enclosed

- SRF Financing Application (required if applying for WIIA or IMG grants with SRF Financing) *
  - Previously submitted to EFC
  - Enclosed

- If available, Sewer or Water District Documentation, including any OSC Approvals (required for WIIA or IMG if applicable to your project) *
  - Previously submitted to EFC
  - Enclosed
  - Not applicable or not available

- Award letter for any awarded grant related to project (required for projects that have received co-funding) *
  - Previously submitted to EFC
  - Enclosed
  - Not Applicable
Application Sections

- Section I: MWBE/SDVOB/EEO Workplan

All fields marked with * are required and must be filled.

The Applicant will comply with the provisions of New York State Executive Law Article 15-A, 5 NYCR 8 Parts 140-145, Executive Law Article 17-B, 9 NYCR Part 252, 40 CFR Part 33, Titles VI and VII of the Civil Rights Act of 1964, 40 CFR Part 17, 41 CFR Part 60-1 Subpart A, and 41 CFR Part 60-6, and other requirements prescribed by the New York State Environmental Facilities Corporation (EFC) relating to the participation of minority- and women-owned business enterprises (MWBEs), the participation of service-disabled veteran-owned business enterprises (SDVOBEs), equal employment opportunities (EEO), and affirmative action, throughout the life of the project.

Designated Minority- & Women-Owned Business Enterprise Officer (MBO): The MBO is the individual responsible for administering the Applicant’s MWBE, SDVOBE, and EEO programs. A document containing guidance for the MBO can be obtained from your Program Compliance Specialist at EFC.

MBO Name* MBO Title*
MBO Phone Number • MBO Email Address *

(000) 000-0000
example@example.com

New for 2022
Provide information on who will be the designated MBO for the Applicant
Application Sections

- Section J: Signature

In order to submit this application, you must upload the signature form which can be found at [https://efc.ny.gov/wia-img-app]. The form must be signed by the Highest Elected Official or the Authorized Representative for the applicant.

You will receive a confirmation email and a PDF copy of your application after you submit.
Application Sections

- Saving Your Progress

New for 2022
Save Button on every page of online application

Choose “Skip Create an Account” and enter your email address

Click “Get Shareable Link” to share the applications with others
Review of WIIA & IMG
<table>
<thead>
<tr>
<th>Grant 2022</th>
<th>Eligible Projects</th>
<th>MWBE &amp; SDVOB Goals</th>
<th>Required Documentation</th>
<th>Additional Programmatic Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clean Water</td>
<td>• Municipally-owned sewage treatment works</td>
<td>If not seeking SRF financing:</td>
<td>For ALL applicants:</td>
<td>For ALL applicants:</td>
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<tr>
<td>WIIA Grant</td>
<td>• Must result in construction of the project</td>
<td>MWBE Goal 30%</td>
<td>• Grant Application</td>
<td>• Smart Growth</td>
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<tr>
<td></td>
<td>• Have not closed a long-term financing</td>
<td>SDVOB Goal 6%</td>
<td>• Engineering Report</td>
<td>• Environmental Review</td>
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<tr>
<td></td>
<td>• Have not started construction prior to October 1, 2021</td>
<td>If seeking SRF financing:</td>
<td>• Smart Growth Assessment</td>
<td>(SEQR/SHPO)</td>
</tr>
<tr>
<td></td>
<td>• Construction not completed prior to July 1, 2022</td>
<td>MWBE Goal 20%</td>
<td>• Environmental Review (SEQR/SHPO)</td>
<td>• EEO</td>
</tr>
<tr>
<td>Drinking Water</td>
<td>• Municipally-owned public water system</td>
<td>If not seeking SRF financing:</td>
<td>All of the above AND</td>
<td>For ALL executed contracts, applicable</td>
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<tr>
<td>WIIA Grant</td>
<td>• Must result in construction of the project</td>
<td>MWBE Goal 30%</td>
<td>• Current, valid, and binding project IMA between at least two cooperating</td>
<td>Mandatory Terms and Conditions must</td>
</tr>
<tr>
<td></td>
<td>• Have not closed a long-term financing</td>
<td>SDVOB Goal 6%</td>
<td>municipalities</td>
<td>be included</td>
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<tr>
<td></td>
<td>• Have not started construction prior to October 1, 2021</td>
<td>If seeking SRF financing:</td>
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<td>IMG Grant</td>
<td>• Municipally-owned sewage treatment works and public water systems</td>
<td>If not seeking SRF financing:</td>
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<td>(Clean Water &amp;</td>
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<td>MWBE Goal 30%</td>
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<td>Drinking Water</td>
<td>• Have not closed on SRF financing</td>
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APPLICATION DUE DATE:

Friday, September 9, 2022

Submit by 5:00 pm

Submit Applications via online Jot Form available on our website

www.efc.ny.gov/WIIA
or
www.efc.ny.gov/IMG

Contact Us:

Máire Cunningham
NYS Environmental Facilities Corporation
Phone: (518) 402-6924
NYSWaterGrants@efc.ny.gov
Any Questions?

Liz Ricci, P.E.
Manager, Western Projects
Division of Engineering
NYSEFC

Máire Cunningham
Program Manager
NYSEFC

NYSWaterGrants@efc.ny.gov

www.efc.ny.gov  518.402.6924