



WASTEWATER INFRASTRUCTURE ENGINEERING PLANNING GRANT (EPG) APPLICATION INSTRUCTIONS

Thank you for your interest in the EPG Program! We are using a [web-based application](#) to make it easier for eligible entities to apply for this program. There are six (6) sections in the application. Please complete all required fields before submitting your application.

INTRODUCTION TO PORTAL

On the left side of the portal, there are 3-page options:

Home – Provides a summary of your ongoing and submitted applications.

Applications – Provides a list of all your current applications with details on each and their status.

1. To create a new application - use the button located at the top of the page “**New Application**”.
 - i. From this Applications page, you can return to a previously created application to edit, validate, submit, delete, or print an application.
2. Click on the desired project, which will be highlighted pink.
3. Select any action at the bottom of the screen shown in the “**Action on Selected Application**” box.

Help – This page has the portal’s user manual. You can also submit any questions you may have.

To edit an application:

1. Double click the application you are looking to edit.
2. Sections are listed as tabs along the top of the page. You can navigate through and make changes at any time by clicking on them.
3. To make changes to a section, you must first click the “**Edit**” button at the top of the page.
4. Once you have made changes, click the “**Save**” button, as you will be unable to go to other sections until you have saved.

Validating and submitting your application: At any point while working on an application, you can select the “**Validate**” button on the top right of the screen. This will check the application and provide a list of information that is missing, or any issues associated with your application. To submit an application, there must be no errors on the validation report.

Uploading Documentation: If applicants are required to upload supporting documentation for any questions throughout the application, they must use the “**Documents**” tab to upload the files. Additionally, they should include a brief description indicating which question the documentation is relevant to. Additionally, you can use the “**Print**” button at the top right corner of the page, to download or print a copy of the application at any time. The copy will denote if the application has been submitted or not.

Saving and resuming your application: Applications can be saved and resumed at any time within the application period. Each section is saved individually. To save the section you are working on, click the “**Save**” button at the top of the section page. Once the section you were working on is saved, you may exit the portal and resume the application at any time.

References: Links to the Instructions, Signature Page / Application Certification, and Program Summary can be found at the top of the portal.

APPLICATION INSTRUCTIONS BY SECTION

Note: The “**Edit**” button at the top of each section page must be pressed to enter data

A. APPLICANT

Please provide the following information:

Name of Applicant: Name of Entity seeking the EPG grant.

Note: If the Applicant is a state entity, please list the specific municipalities served by the project.

Unique Identifier (SAM ID): Provide the Applicant’s Unique Entity Identifier (UEI). Information regarding the UEI is provided at <https://sam.gov/content/home>. This is required for submission.

Project County: Select the county associated with the project from the dropdown list.

Highest Elected Official (HEO): Provide the contact information for the highest elected official of the Applicant. Official correspondence will be addressed to this contact.

Authorized Representative (AR): Provide the contact information for the individual authorized by the Applicant to act on its behalf. The authorized representative should be authorized by a resolution of the Applicant’s governing board.

Note: For the HEO and AR, additional fields for contact information will populate once a name is entered. Please ensure you have included the mailing address, phone number, and email address associated with the contact.

B. GENERAL INFORMATION

1. **Project Name:** Provide the specific name of the project for which the Applicant is seeking grant assistance.

2. **Project Location:** Provide the specific location of where the project will be taking place, such as an address or various locations throughout the municipality.

Note: If the project has multiple locations describe the locations in detail under the “Project Description” in Section C – Project Information.

3/4. **Latitude/Longitude:** Provide the latitude and longitude in decimal format for the location of the project. Please do not use the location of the project office unless it is located on the project site.

5. **CWSRF Project Number:** If applicable, please provide the CWSRF project number of any projects associated with the scope of work in this application.

6. **Legislative Districts:** List the legislative districts where the project is located and served by the project. If the project is within or serves more than one district, list all districts. If you do not know your districts, you can find both a map of districts and a list of elected officials here:

<https://www.elections.ny.gov/district-map.html>.

To add a District:

1. To add your district, select “**Add District**” button.
2. Select Type from the dropdown menu. Provide information for all three types: NY Assembly, NY Senate, and NY Congress.
3. Enter the number of the district.
4. The Office Holder will automatically update.
5. Select “**Update**” to save the entry.
6. Repeat steps 1-5 to provide additional district types.

7. **Project Schedule:** Fill out the following dates and be sure to indicate whether the date is a target date or actual date.

Note: Target date indicates that you anticipate the task to be completed at that time. Actual date indicates the contract or task has already been executed.

8. **Is the project for new or existing infrastructure?**

Select the applicable option.

9. **Does the applicant currently have 2 active EPG awards?**

If yes, provide the Active Project Number (6-digit number) and the status of the engineering report (i.e., submitted or not submitted) for each active EPG project.

Note: An applicant may not have more than 2 active EPG awards at one time.

10. **Describe how the scope of this study will differ from previous studies or phases.**

If you have previously received an EPG award or have an active one, please describe how the scope of the study you are submitting for this application differs from previous studies or phases.

11. If submitting multiple EPG applications in a single round, please prioritize the applications.

Assign the level of priority for the project you are submitting. One (1) indicates the highest level of priority. Please note, that awards may be limited to one project per round.

12. If applying on behalf of and/or in connection with another municipality, describe the intermunicipal relationship and roles of each municipality.

If applicable, upload the Intermunicipal Agreement within the “Documents” tab.

13. Will this project address improvements to a publicly-owned treatment works?

Examples of publicly owned treatment works projects include:

- a. New, expanded, or rehabilitated wastewater treatment plants;
- b. Security and cybersecurity for wastewater treatment plants and collection systems;
- c. Sludge treatment and disposal facilities including biosolids reuse;
- d. Collector, trunk, and interceptor sewers;
- e. Sewer rehabilitation and infiltration/inflow correction;
- f. Combined sewer overflow (CSO) and sanitary sewer overflow (SSO) abatement;
- g. Landfill leachate collection, storage, and treatment;
- h. Energy efficiency projects for publicly owned treatment works

14. Describe how local officials are committed to this planning project and its future implementation.

Include information about the commitments of local officials to executing this project.

15. Have the public and stakeholders who will be affected by the project been notified or engaged in project planning?

If yes, describe your public participation activities and outcomes.

16. Are there Letters of Support for the project?

If yes, upload a copy within the “Documents” tab.

17. Has an agreement for Engineering Services been executed?

If yes, upload a copy of the fully executed service agreement within the “Documents” tab.

Note: Applicants must follow Federal Architectural/Engineering (A/E) Services Procurement process for A/E services, if looking to pay for those services through this grant.

C. PROJECT INFORMATION

1. Applicable Project Types:

From the provided list, select all the applicable project types associated with this application.

2. Project Description:

Provide a brief project description that summarizes the proposal and scope of the project. Be sure to include the location and water quality issues that will be addressed in the study.

3. Statement of Need:

Provide a statement of need explaining the specific water quality issues the project will address including, but not limited to: system deficiencies, permit violations, combined and/r sanitary sewer overflows, harmful algae blooms (HABs), and impacts from flooding. Include the waterbody affected by the specific issue, as well as the cause and magnitude.

4. SPDES Permit Number:

If applicable, provide the State Pollutant Discharge Elimination System (SPDES) permit number for the treatment works. The number must begin with NY or SR followed by seven (7) digits.

5. Upgrading a Collection System?

If the project will include proposed upgrades to a collection system, identify the system, owner, POSS number, and receiving facility name.

6. For Towns/Counties, identify the sewer district, proposed study area, or census-designated place (CDP)

Provide the district name and/or specific project service area (e.g., sewershed, sewer district, water district, or sewer extension). Please submit a location map of the district or service area served by the project with your application under the Documents tab.

7. Potential Environmental Justice Area (PEJA) or Disadvantaged Community (DAC)

Note: Maps available at: <https://gisservices.dec.ny.gov/gis/dil/>.

If yes, describe whether the project will have any negative or positive effects on a designed PEJA area or DAC.

If no, provide a statement that no PEJA areas or DAC are served by your project.

8. Enforcement Actions:

If the project is required to be undertaken by an executed enforcement instrument, identify the instrument and describe how the project is required to be undertaken. This includes a Notice of Violation, Consent Order, Judicial Order, Compliance Schedule, DEC approved Long Term Control Plan, DEC Water Withdrawal Permit, and upload relevant documents under the “Documents” tab.

9. Local or Regional Plans:

If the project is **specifically** identified in an adopted local or regional planning document, identify the plan(s) including page numbers and upload a copy of the plan(s) under the “Documents” tab.

10. Watershed Plans:

If the project is identified in or will address a pollutant of concern in a DEC-approved watershed implementation plan, identify the plan(s) including page numbers or section, describe how the project will meet the goals of the plan, and upload a copy of the plan(s) under the “Documents” tab.

11. Provide the name of the waterbody that will be restored or protected by the project.

Provide the name and segment ID of the receiving waterbody as indicated on the DECinfo Locator Waterbody Inventory / Priority Waterbodies List layer (<https://gisservices.dec.ny.gov/gis/dil/>).

12. Will the project address documented failing on-site septic systems?

If yes, explain the impairment, and upload supporting document(s) within the Documents tab.

13. Describe any additional water quality benefits provided by the project.

D. TOTAL PROJECT BUDGET

Does the applicant have the local match for the project available and fully committed?

Indicate whether the applicant has secured a fully committed local match funding source for the project by selecting “Yes” or “No” from the dropdown menu.

If no, please describe your plan to secure the funding for the required local match in the provided text box. *Note:* the required local match for the EPG assistance program is 20%.

Budget Table: The table below is intended to assist Applicants with preparing the Total Project Budget section of the application by:

- Providing an explanation of the project costs that should be captured within each Cost Category.
- Identifying the supporting documents typically needed to complete the eligibility review process for each Cost Category

Note: **Estimates must be within the past six (6) months** from the submission of this application.

Please be aware that the amounts financed/disbursed will be limited to the thresholds and conditions indicated in the supporting document(s). Funds cannot be disbursed until the supporting documents have been submitted, and approval by the proper regulatory agency has been obtained.

Note: All contracts entered by recipients that are to be paid for with EPG funds, must demonstrate compliance with EFC’s program requirements and must include the required contractual language from the applicable EFC Mandatory Terms and Conditions. Any contracts, including those that are executed prior to grant application, that do not include the required contractual language will be disqualified from funding.

Select **“Edit Budget”** to get started. To save your progress select **“Save Budget”**.

Total Project Budget Cost Category	Description/Explanation	Supporting Documentation
Engineering	Engineering work including preliminary planning	Engineering Agreement
Technical Work Force	Technical Work Force, also referred to as Technical Force Account, is construction or engineering related work performed by workers employed by the applicant.	Certification of Technical Work Force and related proposal. The proposal should include a description of the work being performed, a listing of the employees performing the work, their qualifications and an estimate of the cost of the work.
Administrative Work Force	Administrative Work Force, also referred to as Administrative Force Account, is clerical related work performed by workers employed by the applicant.	A proposal describing the work performed, identifying the employees performing the work, and an estimate of the cost of the work.
Miscellaneous	Please individually list any other costs necessary for the project, e.g. smoke testing, cctv, field work, etc.	Applicable professional contracts/agreements
Other Cost Description	Please identify any other costs associated with the completion of the project.	
Total Project Costs	This amount automatically sums all previous costs entered.	

Co-funding Table: Identify all applicable sources of funding for the project you are submitting the application for. Please include all funding sources that have been awarded and/or applied for.

Steps to insert a Funding Source:

1. Click **“Save Budget”** before moving to the Co-funding table
2. Click **“Add Line”** button to start a new entry
3. Select the Funding Source from the dropdown menu, if one of those options does not fit the funding source select other
 - i. For any grants provide the name of the funding agency and name of the grant program
 - ii. For any loans, explain the type of debt (e.g., Bonds, Bond Anticipation Notes, etc.)
4. In “Applied” enter in the date that the funding source was applied for
5. In “Approved” enter in the date that the funding source was awarded if the funding has not been awarded do not enter in a date.
6. Enter in the amount of the funding source. If the funding has been awarded enter in the awarded amount. If the project has not been awarded, enter in the amount you applied for

E. SUPPORTING DOCUMENTS

Supporting Document Table: This table is pre-populated based on your answers given throughout the application and indicates all the required documents needed to be submitted to complete the application. The right column indicates the document type. The left column indicates whether the document has been uploaded. The table will update itself. “No” means the document still needs to be uploaded. “Yes” means the document has been successfully uploaded.

Steps to Upload a Document:

1. Select a Document Type – Select the type of document you want to upload from the dropdown.
2. Enter a Description (optional) – Provide a brief description of the document you’d like to upload.
3. Select a File – Click the “**Select files...**” button to add files. Accepted file types are: PDF, DOCX, XLSX, JPED, JPEG, or PNG. With a maximum file size of 50MB. If the file is larger than 50MB please use our large documents form: <https://form.jotform.com/240104597190049>. Use EPG@efc.ny.gov as the recipient email.
4. Click “**Upload**” to add the document to the Uploaded Documents table.

F. ACKNOWLEDGEMENTS

By selecting the Acknowledge button, you are confirming that you are aware of these obligations and are authorized to make this acknowledgement on behalf of the applicant for the following:

Financial Assistance Acknowledgement: Upon submission of this application, you acknowledge that should financial assistance be provided for the project described in this application, the applicant shall comply with all laws, regulations, provisions, and program requirements with respect thereto.

GRANT APPLICATION CERTIFICATION

A grant application certification is required for submission. The form can be downloaded at the top of the application form by selecting “**Signature Page**”. The signed document can be added when the application is submitted. Note, you will not be prompted to upload the form until you press the Submit button, it is not necessary to add this under the Documents tab.

The application package will not be processed without authorization as indicated by the signature page. The signature form must be signed by an authorized member of the entity applying for EPG funding.

How to Submit an Application & Attach the Signature Page:

1. Select “**Applications**” in the left pane.
2. From the list of applications, select the application you’d like to submit, it will be highlighted in pink.
3. Select the “**Submit**” button at the bottom of the page.
4. A pop-up screen will appear – Upload Signature Page and Submit. If you have not already downloaded the signature page, you can do so now by selecting “**Download Blank Signature Page**”.
5. If you have already signed and saved the signature page. “**Select files...**” button will let you attach the file.
6. Upon finding and opening the file. Select “**Upload**”. File successfully uploaded message will appear if uploaded.
7. Select “**Finalize Submittal**” button.

For additional information please contact: EPG@efc.ny.gov