



**NEW YORK STATE
ENVIRONMENTAL FACILITIES CORPORATION
GREEN INNOVATION GRANT PROGRAM 2010 (GIGP 2010)**

2010 APPLICATION GUIDANCE DOCUMENT



It is important that interested parties thoroughly read this guidance document and the application in their entirety prior to completing any portion of the application. This document is intended to guide the applicant through each section of the application.

PLEASE NOTE – This document contains live links which you will need to access via the internet.

Applicants are required to submit (1) hardcopy AND (1) electronic copy (CD or DVD) of ALL necessary application materials.

Mailed application packages must be postmarked by December 3, 2010.

Hand delivered application packages must be received by 4 pm December 3, 2010.

Incomplete or Late Application Packages WILL NOT BE CONSIDERED.

Fax Transmissions WILL NOT BE ACCEPTED.

What is the Green Innovation Grant Program?

The Green Innovation Grant Program 2010 (GIGP 2010) will provide seed money for projects which spur green innovation, build green capacity, and facilitate technology transfer throughout the State. Eligible projects will improve water quality and demonstrate sustainable wastewater infrastructure in communities across the State.

GIGP 2010 is a highly competitive grant program that uses funding from the US EPA and is administered under the CWSRF. It will be implemented by EFC, expanding upon last year's program.

GIGP 2010 will only consider projects which are both eligible for CWSRF funding and meet criteria for funding under the [EPA's 2010 Green Project Reserve guidance](#). Guidance for determining project eligibility may be found at www.nysefc.org/GIGP. These projects include capital projects, technologies and activities that support or establish environmentally and economically sustainable facilities which exceed traditional infrastructure goals associated with basic regulatory requirements for water quality protection. The broad definition of green projects established by the US EPA and the CWSRF includes technologies and activities that protect water quality and fall into one or more of the following project categories:

- Water Efficiency, Reuse or Conservation - projects that deliver equal or better services with less water.
- Energy Efficiency - projects that reduce energy consumption or produce renewable energy of water quality projects.

- Green Wet Weather Infrastructure - projects that maintain, restore, or mimic natural systems to infiltrate, evapotranspire, or recycle stormwater.
- Environmental Innovation - projects that demonstrate new and /or innovative approaches for delivering services or managing water resources in a more sustainable way.

How will projects be evaluated?

Evaluation of proposed eligible projects, or any portion thereof, shall include but not be limited to an assessment of how each project meets the following criteria:

- Protects water quality and other environmental resources with a measurable impact on water quality;
- Builds green capacity locally and throughout NYS;
- Spurs green innovation;
- Feasibility of transferring new technology / activities to other NYS water quality issues;
- Provides outreach and educational opportunities;
- Leverages co-funding;
- Greens-up existing infrastructure / fixes existing facilities first;
- Supports community revitalization / advances a project in a municipal center;
- Land recycling / retrofit / infill;
- Reduces Greenhouse gas emissions;
- Improves air quality;
- Reduces dependence on oil / produces renewable energy;
- Supports economic development;
- Regional distribution of projects;
- Compliance with state and federal laws, rules and regulations; and
- Applicant commitment to asset management / operation and maintenance.

What Type of Grants are Available?

Applicants may be required to identify separate project components for funding consideration. Funding will be provided to selected eligible projects to the extent that funds are available. Based on the US EPA CWSRF FY 2010 Guidance, EFC will provide two different types of GIGP 2010 grants:

1. **Design Grants** (50% grant with a minimum 50% funding match from the eligible applicant required. The GIGP 2010 Design grant maximum is \$50,000 per project.) Design grants will fund the development of an Engineering Report, Stormwater Pollution Prevention Plan, or equivalent document for a specific green demonstration project. By providing for design grants, EFC will be able to assist eligible projects that spur innovation and help build green capacity.
2. **Construction Grants** (90% grant with a minimum 10% funding match from the eligible applicant. The GIGP 2010 Construction grant maximum is \$750,000 per project.)

The construction grants will be similar to ARRA GIGP 2009 grants. These grants will fund up to 90% of a project cost, up to a maximum of \$750,000, for construction including eligible planning and design costs. Funding for demonstration and/or

innovative projects throughout the State will support and foster a shift to a greener approach to water and wastewater infrastructure management.

Eligible applicants are encouraged to submit their **one best** project application. While an eligible applicant may submit more than one grant application, EFC reserves the right to limit GIGP 2010 funding to one grant award per applicant. Further, EFC reserves the right to fund all, or a portion of, an eligible proposed project. All GIGP 2010 grant agreements must be executed no later than September 30, 2011. The recipient must provide their match from local or state funds.

How many projects will be funded?

GIGP 2010 is funded by NY State's US EPA Capitalization Grant administered under the NYS Clean Water State Revolving Fund (CWSRF), authorized by NYS Public Authorities Law sections 1285-j and 1285-m. This round will be implemented through the New York State (NYS) Clean Water State Revolving Fund (CWSRF) with an estimated 15 million dollars available to the GIGP 2010. Based on funding, it is estimated that 10-15 design grant projects and 20 construction grant projects will be funded. The actual number of funded projects for each category will be determined by the application demand. Although applicants may have several projects that are eligible for a GIGP 2010 grant, we strongly encourage applicants to submit their **one best** project for consideration.

PART A - GRANT ELIGIBILITY CRITERIA

This section should be answered by all grant applicants.

In order to be considered for a GIGP grant, applicants will first need to verify they (and their projects) are eligible to apply. (Grant Eligibility Criteria questions #1, 2, 2a)

Question 1. Do you believe your project is CWSRF eligible? To determine if your project is eligible please [click here](#).

Question 2. Do you believe you are an eligible applicant under CWSRF? Depending on the applicable section of the Clean Water Act, (CWA) different ownership and state and federal environmental review requirements may apply. All point source (CWA Section 212) projects are required to be municipally owned. Nonpoint source (CWA Section 319) and National Estuary (CWA Section 320) projects may have a range of ownership scenarios.

Non-municipal applicants, please answer the following questions to verify that you are eligible for funding under GIGP for your project:

1. Is the project specifically required by a MS4 permit, Combined Sewer Permit, Long Term Control Plan, or Consent Order?

2. Does construction of the project trigger the requirement of a SPDES Permit for both: (1) Construction Erosion and Sedimentation Control **and** (2) Post Construction Stormwater Management Practices?

3. Is your project a Wastewater Facility or part of one?

If you answered “No” to all of the questions above, your project may be categorized as a CWA Section 319 or CWA Section 320 project. Please contact EFC GIGP Staff at 1-800-200-2200 to confirm that determination before proceeding with the application process. If you answered “Yes” to any of the above questions and are not a municipal applicant, your project is **not eligible** for funding under GIGP.

Please note, all CWA Section 212 projects **must** be publicly owned and will be reviewed as CWA Section 212 projects under SERP. CWA Section 212 projects which are not publicly owned are **not eligible** for GIGP funds.

Question 3. Do you believe your project is Green Project Reserve (GPR) Eligible? Once you have reviewed the eligibility criteria for projects and applicants, you need to verify that the proposed project is categorically eligible under [EPA’s 2010 Green Project Reserve guidance](#), Part A – CWSRF Technical Guidance (pg 5). This technical guidance is organized by four categories of projects: green infrastructure, water efficiency, energy efficiency, and environmentally innovative activities. If your proposed project falls within the scope of one of these categories, then the project is deemed categorically eligible. If a project is not categorically eligible, applicants may be able to make a business case. For example: a green streets project might cite as follows: “1.2-1”.

PLEASE NOTE: This round of GIGP funding is only available for Clean Water projects.

If you have determined that you and your project are eligible under the CWSRF and the project is eligible under the EPA Green Project Reserve, then you qualify to apply for a GIGP grant and may continue to complete the application.

Question 4. Please indicate which type of grant for which you are applying. Choose **one**; if none or both are selected your application will **not** be considered.

Construction - These grants will fund up to 90% of a project cost, up to a maximum grant of \$750,000, for construction including eligible planning and design costs. By funding demonstration projects throughout the State, EFC can continue fostering a shift to a greener approach to water and wastewater infrastructure.

The recipient must contribute at least 10% local or state matching funds under this program, which may include direct cash funding or documented in-kind services. Payments will be made on an incurred cost basis, with Disbursement Requests

accepted by EFC not more than once every 30 days. Notwithstanding the above, no disbursements will be made (e.g. for eligible planning and design costs) until project construction contracts have been fully executed.

- OR -

Design – These grants will fund up to 50% of a project cost, up to a maximum grant of \$50,000 for the development of an Engineering Report, Stormwater Pollution Prevention Plan (SWPPP), or equivalent document for a specific green demonstration project possible. By providing for design grants, EFC will be able to assist eligible projects that spur green innovation and help build green capacity.

The recipient must contribute at least 50% local or state matching funds under this program, which may include direct cash funding or documented in-kind services. Payments will be made on an incurred cost basis, with Disbursement Requests accepted by EFC not more than once every 30 days. Notwithstanding the above, no disbursements will be made until project design contracts have been fully executed.

PART B – APPLICANT INFORMATION

This section should be answered by all grant applicants.

- Question 1. Name of Applicant: Provide the name of the applicant, either municipal entity or private.
- Question 2. Applicant's Mailing Address: Provide the mailing address, zip code, city/town/village, and county of applicant.
- Questions 3-5. Primary Contact Person: Provide the name, title, telephone number, fax number, email address, mailing address, and zip code for the primary contact person regarding the project.
- Question 6. Federal Employer Identification Number: Provide the applicant's Federal Employer Identification Number (EIN).
- Question 7. Type of Applicant: Check whether the applicant is municipal or non-municipal. Then indicate if it is a joint application, if applicable. If non-municipal, indicate the type; such as corporation, partnership, association, not for profit, school, etc. If non-municipal, provide supporting documentation such as partnership agreement, certificate of incorporation or articles of organization. Non-municipal applicants must complete the W-9 form, sign, and enter a social security number or Federal Employer Identification Number (EIN). If two or more applicants are acting jointly in connection with the project, please indicate by checking the appropriate box. Please provide contact info for the primary project contact. Please submit only one (1) application for a joint project and provide contact information for the primary contact for the project.

Question 8. Legislative District of Applicant: Provide all Legislative Districts of the Applicant.

PART C – PROJECT LOCATION

This section should be answered by all grant applicants.

Question 1. Project Name: Provide a brief name for the project.

Question 2. Project Location and Zip Code(s): Provide the mailing address of the project location. Identify the project location by providing the county(ies) and zip code(s). In some instances, the project may be located in more than one county.

Question 3. Provide the Coordinates (GPS): Provide the latitude and longitude (degrees, minutes, and seconds) where the project is located. This information can be obtained from www.earth.google.com.

Question 4. Population of Municipality where Project is located: Provide the population of the city, town or village where the project is located and the source and date of the information.

Question 5. Legislative District of Project: Provide the legislative districts where the project is located. In some instances, the project location might be in more than one district. In addition, the project may be located in a different district than the applicant.

PART D – PROJECT CATEGORY & METRICS

This section should be answered by all grant applicants.

Question 1a. Please list the receiving waterbody / waterbodies that your project will impact. You must include a map depicting the project and the receiving waterbody / waterbodies with your application package.

GIGP will use the information you provide to determine which **one** of the following descriptions best describes the impacts on the receiving waterbody that your project proposes to address / resolve.

- A. A critical source of pollution: A raw, partially treated or intermittent point or nonpoint source contributing to a priority water problem which has been identified on the 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”.

- B. A significant source of pollution: A raw, partially treated or intermittent point or nonpoint source contributing to a priority water problem which has been identified on the 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”.
- C. A potential source of pollution: A point or nonpoint source 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.
- D. A point or nonpoint source project that is necessary to preserve, protect and/or improve surface and/or groundwater quality.
- E. A project with an indirect water quality benefit.

Refer to the following website for more information on priority waterbodies: **NYS Department of Environmental Conservation Waterbody Inventory / Priority Waterbodies List** (<http://www.dec.ny.gov/chemical/23846.html>)

Question 1b. If your project wholly or partially involves a wastewater treatment facility, please list the SPDES (State Pollution Discharge Elimination System) Facility Permit Number.

Question 2. Check the appropriate box(es) to indicate which category your project addresses. Note, some projects may involve multiple categories. For each selection, provide estimated values for the appropriate metrics which support your selection. Please submit an estimated value (not a range of values).

- **Water Efficiency:** The use of improved technologies and practices to deliver equal or better services with less water. Water efficiency encompasses conservation and reuse efforts, as well as water loss reduction and prevention, to protect water resources for the future. Please refer to [EPA’s 2010 Green Project Reserve guidance](#) Part A – CWSRF 2.0 Water Efficiency for examples of categorically eligible water efficiency projects.

Construction grant applicants that indicate their project has a water efficiency component are required to provide metrics such as gallons of water per year conserved and/or gallons of water per year saved with the completion of the proposed project.

Design grant applicants are encouraged to provide these metrics, if possible. You may include a 1 page description qualifying the water efficiency footprint reduction that will result from your proposed project.

- **Energy Efficiency:** The use of improved technologies and practices to reduce the energy consumption of water quality projects at treatment plants, use energy in a more efficient way, and/or produce/utilize renewable energy. Projects should meet or exceed the energy management “Best Practices” in the

NYSDERDA [Water and Wastewater Energy Management Best Practices Handbook](#) (March 2010).

Construction grant applicants that indicate their project has an energy efficiency component are required to provide metrics such as kilowatt hours per year conserved, kilowatt hours per year produced, and gallons per year of fuel oil saved with the completion of the proposed project.

Design grant applicants are encouraged to provide these metrics, if possible. You may include a 1 page description qualifying the energy efficiency footprint reduction that will result from your proposed project.

- **Green Infrastructure:** Wet weather or stormwater management infrastructure designed to maintain, restore, or mimic natural systems to infiltrate, evapotranspire, or recycle stormwater. Eligible green infrastructure projects may be incorporated into water or wastewater facilities design or may be separate projects. These projects should preferably be redevelopment or retrofit projects (as opposed to new construction) which meet, exceed, or demonstrate an application of the green infrastructure design requirements/practices found in the [New York State Stormwater Management Design Manual](#) (August 2010).

Construction grant applicants indicating their project has a green infrastructure component are required to provide metrics such as waterbody pollutant load reductions for pollutants such as sediment, road salt, phosphorous and nitrogen. Additional data should be provided on wetlands, streambanks, and shoreline protected/restored with the completion of the proposed project where applicable.

Design grant applicants are encouraged to provide these metrics, if possible. You may include a 1 page description qualifying the waterbody pollutant load reductions and/or wetlands, streambanks, and shoreline protected/restored that will result from your proposed project.

- **Environmentally Innovative** projects include those that demonstrate new and/or innovative approaches to delivering services or managing water resources in a more sustainable way. For examples of environmentally innovative projects please refer to [EPA's 2010 Green Project Reserve guidance Part A – CWSRF 4.0 Environmentally Innovative](#).

Construction and design grant applicants that indicate their project has an environmentally innovative component are required to describe, in the space provided, what makes their project innovative. If your project is environmentally innovative, please make a best attempt to describe how many projects similar to yours already exist in the county that your proposed project will take place. Please provide similar information about

the number of similar projects in New York State and throughout the country.

Question 3. Construction and design grant applicants, please provide any additional quantitative and qualitative benefits that your project will provide for upon completion. Additional water quality items to consider may include, but are not limited to; increased dissolved oxygen, reduced toxics, reduced pathogens and reduced stormwater volume and/or discharge rate. Be sure to include supporting calculations in your application package.

Question 4. Does the project require a business case? Please indicate yes or no. If yes, you must submit your business case with your application. A business case is a due diligence document for those projects, or portions of projects, which are not included in the categorical projects lists (water efficiency, energy efficiency, green infrastructure, or environmentally innovative) found in the EPA Guidance for Determining Project Eligibility but may also have green innovation benefits. A business case will be required to demonstrate that an assistance recipient has thoroughly researched anticipated 'green' benefits of a project. Business cases will be approved by EFC. Please review [EPA's 2010 Green Project Reserve guidance](#), 'Business Case Development' for more information.

PART E – PROJECT DESCRIPTION

This section should be answered by all grant applicants.

Questions 1 – 6 should be answered in the space provided, and should **not** include additional paper to answer these questions. The answers that you provide to these questions will be used to determine how well an applicant meets the objectives of the program as stated in the State Register notice on 9/29/10.

Question 1. **Please provide an Executive Summary style project description.** This description should accurately and concisely describe the proposed project.

Question 2. **How will your project spur innovation in New York State?** Describe how your project will demonstrate excellence and help keep New York at the forefront of green innovation. Explain how this project will lead to the adoption of other green innovative practices across the State.

Question 3. **How will your project build green capacity locally and throughout New York State?** As new technologies and practices are adopted, it takes time to develop the necessary work force skills for widespread adoption. Describe how your project will help build work force capacity to implement green projects.

- Question 4. **Will your project facilitate technology transfer?** Describe the extent to which the technology / process / approach used in your proposed project can be implemented at other sites throughout New York.
- Question 5. **Describe your plan for outreach and educational opportunities as it relates to your project.** Discuss how you will raise awareness about your project and how the project will be used to educate various stakeholders about green technology.
- Question 6. **a) How will you provide for long-term operation and maintenance of the project?** Please describe your operation and maintenance plan for your project. How will you care for the facility in the immediate future and throughout the life of the project? How will you identify any problems associated with project performance? How will you provide for the financial support of these activities?
- b) How will you address repair or replacement if needed in the first five years of operation?** You should address who will perform the work and how you will pay for it.

Additional Benefits

- Question 7.a. From the list of additional benefits provided, please indicate which of the benefits below (if any) will result from your project.
- Question 7.b. For all of the additional benefit(s) you indicate, provide a detailed explanation that addresses how your project will achieve this / these benefit(s). Combined answers for this question should total a maximum of (3) THREE pages.

The potential additional benefits include:

- **Leverages co-funding** – Does your project demonstrate that you have coordinated and collaborated with state and local government and intermunicipal and regional planning to obtain other sources of funding?
- **Green-up existing infrastructure (fix it first)** – Does this project use, maintain, or improve existing infrastructure consistent with the US EPA Green Project Reserve?
- **Supports community revitalization / advances a project in a municipal center** – Does your project support reinvestment in an existing community / municipal centers?
- **Land recycling / retrofit / infill** – Does this project contribute to the advancement of projects in developed areas or areas designated for concentrated infill development in a municipally approved comprehensive land use plan, local waterfront revitalization plan and/or brownfield opportunity area plans?
- **Reduces greenhouse gas emissions** – Has this project indirectly or directly resulted in a reduction in greenhouse gas emissions?
- **Improves air quality** – Does this project directly or indirectly protect, preserve or enhance the air quality?

- **Reduces dependence on oil / produces renewable energy** – Does this project make smart energy choices? For example: does it reduce dependence on oil either directly or indirectly and / or generate renewable energy?
- **Supports economic development** – Does this project directly or indirectly strengthen existing communities, foster mixed land uses and compact development, downtown revitalization, brownfield redevelopment, the enhancement of beauty in public spaces, the diversity and affordability of housing in proximity to places of employment, recreation and commercial development and the integration of all income and age groups?
- **Other** – What additional community benefits not addressed above does this project provide? Some examples might include: Will this project contribute to a Climate Smart Community’s Local Climate Action Plan? Does the project use all recycled materials? Will the project result in a zero energy facility?

PART F – PROJECT SCHEDULE AND BUDGET

This section should be answered by all grant applicants.

Part F is broken into Section 1 ‘Project Schedule,’ Section 2 ‘Engineering Contact Information,’ and Section 3 ‘Project Budget.’ Section 1 has a Part A which is to be filled out by Construction Grant applicants, and a Part B which is to be filled out by Design Grant applicants. Sections 2 and 3 must be completed by all applicants.

Section 1. Project Schedule

Part A – Construction Grant Applicants Only:

- Question 1. Provide the actual or target date the project Engineering Report or Conceptual Plan and Feasibility Study was completed. Confirm that this is an actual date by checking the correct indicator. You **must include** a copy of an Engineering Report (212 Projects) OR a Conceptual Site Plan AND a feasibility study (319 or 320 Projects) in order to apply for a construction grant. If you cannot qualify for a construction grant you may want to consider applying for a design grant.
- Question 2-4. Project Plans & Specifications, and Notices: Provide the actual or target dates for the milestones noted in the application. Indicate if these dates are actual or target by checking the correct indicator. For target dates, provide your best estimate.
- Questions 5-6. Project Timing: Provide the actual or target construction commencement date and the expected construction completion date of the project or portion thereof. “Commencement of Construction” is defined as having

all project construction contracts fully executed. For target dates, provide your best estimate.

Part B – Design Grant Applicants Only:

Question 1. Provide the actual date of that the Conceptual Plan or Feasibility Study was completed. Confirm that this is an actual date by checking the correct indicator. You **must include** a complete Feasibility Study (required for 212 projects, optional for 319 and 320 projects) OR a complete Conceptual Site Plan (accepted alternative for 319 and 320 projects) in order to apply for a design grant.

Question 2-4. Project Plans & Specifications, and Notices: Provide the actual or target dates for the milestones noted in the application. Indicate if these dates are actual or target by checking the correct indicator. For target dates, provide your best estimate.

Questions 5-6. Project Timing: Provide the actual or target construction commencement date and the expected construction completion date of the project or portion thereof. “Commencement of Construction” is defined as having all project construction contracts fully executed. For target dates, provide your best estimate.

Section 2. Engineering Contact Information

Please provide the contact information for the Consulting Engineer or person(s) responsible for the Engineering Report, Conceptual Site Plan or Feasibility Study.

Section 3. Project Budget

This table is intended to document costs categories that pertain to the project. If actual contract or agreement amounts are not available, use the best available estimates.

Total Construction Costs: Include contractors performing the construction related to the project. Typical construction contracts include General, Electrical, Plumbing and HVAC. Enter the sum of all construction contracts as the total construction costs.

Total Engineering Costs: Enter the total engineering costs and include a breakdown of the preliminary planning, design, and other engineering costs. These costs can include construction and inspection related work performed by the consulting engineer or other consultant. If agreements are not in place, use the work description and estimated costs.

Administrative Consulting Costs: In some instances the applicant may contract an outside firm to provide administrative support for the project or grant administration. Include administrative consulting costs under this category. For work performed by the applicant please see ‘Administrative Force Account Costs.’

Equipment Costs: Include those costs not already included in Construction Costs to purchase or lease associated equipment and material costs related to the project construction.

Legal Costs: Include costs performed by the applicant's attorney in relation to the project.

Administrative Force Account Costs: Include clerical work related to the project performed by workers employed by the applicant. Administrative Costs are also referred to as Administrative Force Account.

Technical Work Force Account Costs: Consists of municipal employees performing engineering and construction tasks.

Miscellaneous Costs: Costs not generally contracted, including photocopying, postage, telephone, travel, etc.

PART G – PROJECT FUNDING

This section should be answered by all grant applicants.

For construction grants, GIGP will fund 90% of the total GIGP project cost, with a maximum award amount of \$750,000. For design grants, GIGP will fund 50% of the total GIGP project cost, with a maximum award amount of \$50,000.

We understand that project costs are subject to change. In the event the cost of your construction or design project fluctuates from the values you provide below, the respective grant amount awarded will not increase. However, it may decrease. Please note, in the event that the costs increase, the recipient will be responsible for providing the funds needed to complete the project.

Please fill out the funding portion for the respective grant for which you are applying.

Construction Grants

1. Grant funds requested from the GIGP.
2. Local Match – The applicant is required to fund a **minimum of 10%** of the project costs through local or state funds. Successful applicants will be required to document the source of local funding and all other sources of funding prior to grant award. The maximum construction grant award under GIGP 2010 is \$750,000.
3. Other Sources of Funding – If you have other grants these must be listed here.
4. Total Project Costs – Please list the total estimated project costs.

Design Grants

1. Grant funds requested from the GIGP.
2. Local Match – The applicant is required to fund a **minimum of 50%** of the project costs through local or state funds. Successful applicants will be required to document the source of local funding and all other sources of funding prior to grant award. The maximum design grant award under GIGP 2010 is \$50,000.
3. Other Sources of Funding – If you have other grants these must be listed here.
4. Total Project Costs – Please list the total estimated project costs.

For both construction and design applicants, please provide documentation regarding the source of funds from which the applicant's percent match will be obtained, and indicate all other sources of funding for the project. The matching funds may include direct cash funding or documented in-kind services. The applicant must identify all sources of funds from which the match will be obtained. The minimum local match must be provided through local or state funds. Federal funds may not be used for the match.

PART H – ENVIRONMENTAL REVIEWS / PERMITTING

Construction Grant Applicants ONLY

This section should be answered by construction grant applicants ONLY.

Construction grant applicants with a point source project (CWA 212 project) must submit an Engineering Report, along with the application to be considered for funding. Construction grant applicants with a non-point source project (CWA 319 project) or a national estuary project (CWA 320 project) are required to submit at a minimum a conceptual site plan **and** a feasibility study along with the application to be considered for funding.

Section 1. SERP / SEQR / SHPO

Compliance with the New York State Environmental Review Process (SERP), which brings into consideration compliance with certain aspects of the federal National Environmental Policy Act (NEPA) and its implementing regulations, is required for all projects receiving funding through the State Revolving Fund. In addition, projects funded through GIGP need to comply with the New York State Environmental Quality Review Act (SEQR).

Provide an appropriate response for each of the questions regarding SEQR and SHPO. Please refer to the [State Environmental Review Requirements](#) Guidance for more detailed information about how to comply with SERP.

Applicants should submit all necessary SEQR/SERP documents to the New York State Department of Environmental Conservation (DEC). Selected projects will be asked to provide copies of SEQR / SERP and SHPO documentation prior to entering a Grant Agreement with EFC. Please be sure to include EFC as an involved agency, if appropriate.

Section 2. Project Permits and Approvals

Review with the consulting engineer or other consultant and regulatory agencies known to have jurisdiction over the project to identify the permits and approvals that are applicable to the project. Summarize the status of any and all regulatory approvals required to complete the project, and provide application(s) and approval dates.

PART I – CERTIFICATION AS TO TITLE OF PROJECT

This section should be answered by all grant applicants.

Prior to the execution of a Grant Agreement, the applicant must certify that:

- 1) It holds a valid fee simple title to, or other appropriate estate or interest in, the project site(s) (including all necessary easements and rights-of-way) as needed for its undisturbed use and possession during the construction, operation and maintenance of the project; or
- 2) If a municipality, the applicant has initiated formal condemnation proceedings and has filed an acquisition map to acquire the necessary property interest in the project site(s) and has the right of entry to the property. (Proof that the acquisition map has been filed with the court is required).

Title to or other interest in the project site must be for the useful life of the project. "Useful life" means the applicable period of probable usefulness for the project as defined in NYS Local Finance Law Section 11.00.

PART J – MINORITY AND WOMEN BUSINESS ENTERPRISE - EQUAL EMPLOYMENT OPPORTUNITY PROGRAM (MWBE-EEO)

Applicants that receive funding from the GIGP are required to comply with New York State Executive Law, Article 15-A and all applicable federal laws with respect to MWBE. Please refer to the "Minority & Women's Business Enterprise – Equal Employment Opportunity Program" guidance document in this application package or at GIGP website www.nysefc.org/GIGP. The minimum program goals for MWBE construction contract or service contract participation and EEO labor force participation are provided in the guidance.

Provide the name and contact information for the person designated as your project's MWBE-EEO officer, along with MWBE-EEO Participation Goals.

If you should have questions or need assistance regarding the MWBE-EEO program requirements, please contact a MWBE Representative at (800) 882-9721 or (518) 402-7398.

PART K – ENFORCEMENT STATUS

Please check the box that applies. If Yes, please provide a copy of the enforcement instrument.

PART L – CERTIFICATION

This section should be answered by all grant applicants.

The applicant must certify that the information contained in the application is true to the best of his or her knowledge and belief. The Certification must be signed and dated.