2019 NYS WATER GRANTS WEBINAR

WATER INFRASTRUCTURE IMPROVEMENT ACT
INTERMUNICIPAL WATER INFRASTRUCTURE GRANTS PROGRAM

TUESDAY JULY 30th, 2019
Today’s Webinar

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

- Public benefit corporation that provides low-cost capital and grants for water-quality improvement projects
- New York’s Water Infrastructure Bank
- Provides financial assistance for local wastewater and drinking water infrastructure through the Clean Water (CW) and Drinking Water (DW) State Revolving Fund (SRF) Programs
National Leader in Water Infrastructure Investment

- NYS leads the nation with the largest annual investment in water-quality infrastructure
- Since 2011, EFC has provided more than $18 billion in subsidized loans, grants and loan re-financings to local governments
SRF Financial Assistance Available

- Participation in SRF financing to fund the balance of the total project costs is not a requirement in order to receive a grant.
- EFC offers financing through either the CWSRF or DWSRF in conjunction with a NYS Water Infrastructure Improvement Act grant or a NYS Intermunicipal Water Infrastructure Grants Program grant.
- 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.
SRF Intended Use Plans

- The CWSRF and DWSRF annual Intended Use Plans describe the SRF programs and identify funds and the use of those funds for each FFY (October 1 through September 30)

- EFC and DOH assign a project priority score based on water quality and public health impacts

- A project does not have to be listed on the current Intended Use Plan (IUP) to apply for a grant, but project will be listed if applying for SRF financing
GRANT PROGRAM
INTRODUCTION
Clean Water Infrastructure Act of 2017 (CWIA)

Water Infrastructure Improvement Act at least $1 Billion

Intermunicipal Water Infrastructure Grants Program at least $150 Million

$350 Million Available in 2019

Water Infrastructure Improvement Act (WIIA) grants and Intermunicipal Water Infrastructure Grants Program (IMG) grants are administered by EFC and DOH. In 2018, an additional $200 million was added to the program to support projects addressing emerging contaminants.
School districts are ineligible for CWSRF financial assistance.
WATER INFRASTRUCTURE IMPROVEMENT ACT (WIIA)
WIIA Clean Water Grant

- The lesser of 25% of total net eligible project costs, including phases of the project, or

<table>
<thead>
<tr>
<th>Project Cost</th>
<th>Maximum Grant Award</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than $50 Million</td>
<td>$5 Million</td>
</tr>
<tr>
<td>Equal to or greater than $50 Million but less than $100 Million</td>
<td>$12.5 Million</td>
</tr>
<tr>
<td>Equal to or greater than $100 Million</td>
<td>$25 Million</td>
</tr>
</tbody>
</table>
WIIA Clean Water Grant

- No municipality may receive more than $5 million in CWSRF grant and/or WIIA grant per year

- If awarded grant(s) exceeds $5 million, grant(s) will be allocated over multiple years in increments not to exceed $5 million per year
Total Eligible Project Costs – Previously Awarded Grant Funding

= **Net Eligible Project Costs**

**Example:**

$10,000,000 - $400,000 = $9,600,000

**Total Eligible Project Costs – Previously Awarded Grant Funding**

= **Net Eligible Project Costs**

**Max Grant Amount:**

$9,600,000 \times .25 = $2,400,000
WIIA Drinking Water Grant

- No municipality may receive more than **$3 million** in DWSRF grant and/or WIIA grant per year

- The lesser of **60%** of total net eligible project costs, including phases of the project, or **$3 million**
WIIA Drinking Water Grant

Total Eligible Project Costs – Previously Awarded Grant Funding  
= Net Eligible Project Costs

Example:

$1,000,000 - $400,000 = $600,000

Total Eligible Project Costs – Previously Awarded Grant Funding  
= Net Eligible Project Costs

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 drinking water or wastewater infrastructure
  - Compliance with federal or state environmental and public health laws/regulations
- Applicants must meet the following criteria:
  - Result in construction of the project
  - Construction cannot have started before October 1, 2018
  - Construction cannot have been completed before May 1, 2019
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
WIIA Clean Water Project Examples

- Construction, repair, rehabilitation, or replacement of wastewater treatment facilities or sanitary sewers
- CSO/SSO projects that reduce discharges of rainwater and untreated sewage
- 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
- Combat emerging contaminants such as PFOA, PFOS, & 1,4-Dioxane
INTERMUNICIPAL WATER INFRASTRUCTURE GRANTS (IMG) PROGRAM
Intermunicipal Water Infrastructure Grants (IMG) Program

- A project that serves multiple municipalities, such as:
  - a shared water quality infrastructure project
  - the interconnection of multiple municipal water systems

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

- Grant amount is limited to the lesser of $10 million or 40% of total net project costs
- One municipality must be the “lead municipality” and apply on behalf of all cooperating municipalities
- IMG grant awardees seeking CWSRF and DWSRF financing may only receive market-rate financing
Total Eligible Project Costs – Previously Awarded Grant Funding
\[ \text{= Net Eligible Project Costs} \]

Example:
\[ \$10,000,000 - \$400,000 = \$9,600,000 \]

Max Grant Amount:
\[ \$9,600,000 \times .40 = \$3,840,000 \]
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.
IMG Project Eligibility Criteria (continued)

- Applicants must meet the following criteria:
  - Result in construction of the project
  - Have not closed on an SRF financing
  - Have not started construction before October 1, 2018
  - Not have completed construction before May 1, 2019
  - 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
IMG Project Examples

- Construction, repair, or replacement of a wastewater treatment facility or sanitary sewers that serve multiple municipalities
- Construction, upgrade or replacement of drinking water infrastructure that serves multiple municipalities
- Combat emerging contaminants such as PFOA, PFOS, & 1,4-Dioxane
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 Programmatic Requirements

• All contracts entered into by recipients that are to be paid for with WIIA funds, IMG funds, or SRF financial assistance must demonstrate compliance with program requirements, and must include the required contractual language from the applicable EFC bid packet.

• Any contracts, including those that are executed prior to grant application, that do not include the required contractual language will be ineligible from funding.
WIIA & IMG MWBE/SDVOB Goals

- **23%** MWBE PARTICIPATION
  - WIIA GRANT WITH CWSRF ASSISTANCE

- **24%** MWBE PARTICIPATION
  - IMG GRANT WITH CW or DW SRF ASSISTANCE

- **26%** MWBE PARTICIPATION
  - WIIA GRANT WITH DWSRF ASSISTANCE

- **30%** MWBE PARTICIPATION
  - GRANT WITHOUT SRF ASSISTANCE

- **6%** SDVOB PARTICIPATION
APPLYING FOR WIIA & IMG GRANT
WIIA & IMG Grant Application

- One application for both WIIA & IMG grant programs
- Separate applications for a Clean Water or Drinking Water project

FOUND AT: WWW.EFC.NY.GOV/WIIA
WWW.EFC.NY.GOV/IMG
Previous Applicants

- Acceptable applications that were received during previous rounds of the WIIA and/or IMG grant program and were NOT awarded grant funding will be considered for the WIIA and/or IMG 2019 grant program if the reply form requesting that the project be considered in a subsequent round was returned.

- Annotated applications will be provided via email to acceptable applications highlighting areas for which the applicant should consider providing updated information.
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. Signature
Application Sections

- **Section A: Applicant**
  
  If a Sewer or Water Authority, provide each municipality served.

  Please provide current and accurate contacts related to the project.
Application Sections

- Section B: Grant Category

Identify the grant program(s) for which you are applying by checking the appropriate box or boxes below.

- New York Water Infrastructure Improvement Act (WIIA) grant
- Intermunicipal Water Infrastructure Grants (IMG) Program grant
Application Sections

- Section C: General Information

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

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

  - Check the website: [http://www.elections.ny.gov/district-map/district-map.html](http://www.elections.ny.gov/district-map/district-map.html)
Application Sections

- Section D: Project Information

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

For IMG applicants only

9. 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 services agreements, detailed project schedule, and plans and specifications.

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

- Section D: Project Information

4. Indicate whether the project scope includes any of the following by checking all that apply.

- Increase in flow or expansion of treatment facility
- Change to the treatment process
- Change in outfall location or design
- Increase or alter the content of the wastes discharged (physical, chemical or biological)
- None

For Clean Water applicants only – Indicate if your project will require a SPDES Permit modification

Please be aware if your project includes any of the elements checked, DEC will require a full permit application (NY-2A) and permit review/issuance before the design documents can be approved and before construction can proceed.
Application Sections

- Section E: Total Project Budget

<table>
<thead>
<tr>
<th>Category</th>
<th>Estimated Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Construction Costs</td>
<td>$</td>
</tr>
<tr>
<td>Contract 1</td>
<td>$</td>
</tr>
<tr>
<td>Contract 2</td>
<td>$</td>
</tr>
<tr>
<td>Contract 3</td>
<td>$</td>
</tr>
<tr>
<td>Contract 4</td>
<td>$</td>
</tr>
<tr>
<td>2. Engineering Costs</td>
<td>$</td>
</tr>
<tr>
<td>a. Planning</td>
<td>$</td>
</tr>
<tr>
<td>b. Design</td>
<td>$</td>
</tr>
<tr>
<td>c. Construction</td>
<td>$</td>
</tr>
<tr>
<td>d. Other</td>
<td>$</td>
</tr>
<tr>
<td>3. Other Expenses</td>
<td>$</td>
</tr>
<tr>
<td>a. Local Counsel</td>
<td>$</td>
</tr>
<tr>
<td>b. Bond Counsel</td>
<td>$</td>
</tr>
<tr>
<td>c. Work Force</td>
<td>$</td>
</tr>
<tr>
<td>- Technical</td>
<td>$</td>
</tr>
<tr>
<td>- Administrative</td>
<td>$</td>
</tr>
<tr>
<td>d. Fiscal Services</td>
<td>$</td>
</tr>
<tr>
<td>e. Net Interest</td>
<td>$</td>
</tr>
<tr>
<td>f. Miscellaneous (please describe)</td>
<td>$</td>
</tr>
<tr>
<td>4. Equipment</td>
<td>$</td>
</tr>
<tr>
<td>5. Land Acquisition</td>
<td>$</td>
</tr>
<tr>
<td>6. Contingencies</td>
<td>$</td>
</tr>
<tr>
<td>7. Total Project Costs (sum lines 1-6)</td>
<td>$</td>
</tr>
</tbody>
</table>

Sum all above lines and provide the total project cost. Do not deduct any cofunding.
Application Sections

- **Section F: Plan of Finance**

Please include all sources of funding available to pay the total project costs from Line 7 of the Total Project Budget on Page 5.

- Municipal Contributions
  - Amount: $ [Blank]
  - Source: [Blank]

- Municipal Interfund Borrowing
  - Amount: $ [Blank]

- DWSRF Financial Assistance
  - Amount: $ [Blank]

  - The project is currently listed on 2019 Intended Use Plan (IUP)
  - DWSRF Project Number: [Blank]

  - A project listing for the 2020 IUP will be submitted

Note: If awarded an IMG grant, the project will not be eligible for subsidized financing through EFC and will only be eligible to apply for market rate financing.

- Non-EFC Debt

<table>
<thead>
<tr>
<th>Type</th>
<th>Amount</th>
<th>Issue Date</th>
<th>T/A*</th>
<th>Call Date**</th>
</tr>
</thead>
<tbody>
<tr>
<td>(BAN, Bonds, other)</td>
<td>$ [Blank]</td>
<td>[Blank]</td>
<td>[Blank]</td>
<td>[Blank]</td>
</tr>
</tbody>
</table>
Application Sections

- Section G: Required Documents

These items must be submitted for EVERY project.
Application Sections

- Section G: Required Documents (as indicated)

<table>
<thead>
<tr>
<th>Enclosed</th>
<th>Previously Submitted to EFC</th>
<th>Not Applicable</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

- Project Intermunicipal Agreement (Valid and Binding)  
  *(Required if applying for IMG)*

- DWSRF Financing Application  
  *(Required if applying for WIIA or IMG grants with DWSRF Financing)*

- Water District Documentation, including any OSC Approvals  
  *(Required for WIIA or IMG if applicable to your project)*

Parenthesis indicate when these items are required.
REVIEW OF WIIA AND IMG
<table>
<thead>
<tr>
<th>Grant 2019</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><strong>Clean Water WIIA Grant</strong></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>
</tr>
<tr>
<td></td>
<td>• Must result in construction of the project</td>
<td>MWBE Goal 30% SDVOB Goal 6%</td>
<td>• Grant Application</td>
<td>• Smart Growth</td>
</tr>
<tr>
<td></td>
<td>• Have not closed a long-term financing</td>
<td>If seeking SRF financing:</td>
<td>• Engineering Report</td>
<td>• Environmental Review</td>
</tr>
<tr>
<td></td>
<td>• Have not started construction prior to October 1, 2018</td>
<td>MWBE Goal 23%</td>
<td>• Smart Growth Assessment</td>
<td>(SEQR/SHPO)</td>
</tr>
<tr>
<td></td>
<td>• Construction not completed prior to May 1, 2019</td>
<td>If seeking SRF financing:</td>
<td>• Environmental Review (SEQR/SHPO)</td>
<td>• EEO</td>
</tr>
<tr>
<td><strong>Drinking Water WIIA Grant</strong></td>
<td>• Municipally-owned public water system</td>
<td>MWBE Goal 30% SDVOB Goal 6%</td>
<td>Bond Resolution (Certified) and/or Board Resolution (Certified)</td>
<td>Additionally, if seeking SRF financing:</td>
</tr>
<tr>
<td></td>
<td>• Must result in construction of the project</td>
<td>If seeking SRF financing:</td>
<td>• Proof of District Formation</td>
<td>• American Iron and Steel</td>
</tr>
<tr>
<td></td>
<td>• Have not closed a long-term financing</td>
<td>MWBE Goal 26%</td>
<td></td>
<td>• Davis-Bacon</td>
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<td></td>
<td>• Have not started construction prior to October 1, 2018</td>
<td></td>
<td></td>
<td>For ALL executed contracts, applicable EFC bid packet must be included</td>
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<tr>
<td></td>
<td>• Construction not completed prior to May 1, 2019</td>
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<td></td>
<td></td>
</tr>
<tr>
<td><strong>IMG Grant</strong> (Clean Water &amp;</td>
<td>• Municipally-owned sewage treatment works</td>
<td>If not seeking SRF financing:</td>
<td>All of the above AND</td>
<td></td>
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<tr>
<td>Drinking Water)</td>
<td>• and public water systems</td>
<td>MWBE Goal 30% SDVOB Goal 6%</td>
<td>• Current, valid, and binding project IMA between at least two cooperating</td>
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<td></td>
<td>• Must result in construction of the project</td>
<td>If seeking SRF financing:</td>
<td>municipalities</td>
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<td></td>
<td>• Have not closed on SRF financing</td>
<td>MWBE Goal 24%</td>
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<td>• Have not started construction prior to October 1, 2018</td>
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<tr>
<td></td>
<td>• Construction not completed prior to May 1, 2019</td>
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</tbody>
</table>
APPLICATION DUE DATE:

September 13, 2019
Submit by 5:00pm
Submit to NYSWaterGrants@efc.ny.gov

Use the Large File Upload Submission Form available at www.efc.ny.gov for files larger than 30MB

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

Contact Us:
Mr. Dwight Brown
Division of Engineering & Program Management
Phone: (518) 402-6924
NYSWaterGrants@efc.ny.gov
Q&A SESSION