

The New York State Environmental Facilities Corporation



New York State
Clean Water State Revolving Fund
Program Updates

Technical Assistance Partnership Forum
September 6, 2012

The Environmental Facilities Corporation

Primary Programs:

Clean Water State Revolving Fund

- 1987 Clean Water Act Amendments
- Provides financial assistance for wastewater and water quality infrastructure

Drinking Water State Revolving Fund

- 1996 Safe Drinking Water Act
- Provides financial assistance for drinking water infrastructure

Green Innovation Grant Program

- 2009 ARRA and 2010 SRF grant
- Green infrastructure, water and energy efficiency, and innovative technology



How SRF Programs Work



SRF Funding

Clean Water	Drinking Water
Leveraged rate financing with <u>50%</u> subsidy for up to 30 years	Leveraged rate financing with <u>33%</u> subsidy for up to 20 years
Hardship financing as low as 0% interest for up to 30 years	Grants up to \$2 million for hardship projects + financing as low as 0% interest for up to 30 years
Subsidy financing determined on priority scoring system, based on water quality and public health	
Short-term financing for 3 years at 0% interest	
Market Rate Programs (AAA tax free rate)	



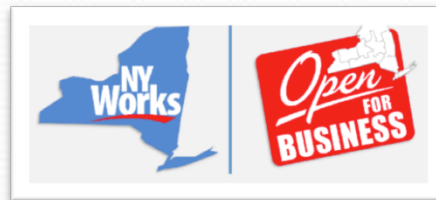
Green Project Reserve (GPR)

- EPA defines four categories of GPR as CWSRF eligible projects which include:
 - Water Efficiency:
 - Reuse, Conserve or Improve Water Efficiency
 - Energy Efficiency:
 - Reduce Energy Consumption or Produce Clean Energy
 - Green Wet Weather Infrastructure:
 - Maintain and restore natural hydrology by infiltrating, evapotranspiring and harvesting and using stormwater
 - Environmental Innovation:
 - Manage Water Resources to Prevent or Remove Pollution in more Sustainable Way
- **GPR for FFY 2013 is not yet known**



Green Innovation Grant Program

- EFC is using \$13 million in funding for GIGP projects from the FFY 2012 appropriation
 - 90% Grant & 10% Local match
 - Application process is through the Governor's Consolidated Funding Application (CFA)
 - www.nyworks.ny.gov
- Funding for GIGP in FFY 2013 is not yet known



CWSRF Hardship

Projects may be eligible for reduced interest or zero interest loans based on financial hardship

- Hardship offer has a 2 year expiration date
- Projects serving residential areas
- Projects with a majority of seasonal residents may require an income survey
- 2010 Census data for MHI and population



Intended Use Plan (IUP)

The Intended Use Plan (IUP), published on an annual basis, identifies funds available to the SRF and uses of those funds.

- Effective October 1st through September 30th
- Project Priority Lists of potentially eligible projects
 - Annual List – expecting financing in current year)
 - Multi-Year List – Projects to be financed in future years



Clean Water Project Listing Requirements

- Project Contact Information
- Project Description & Schedule
- Project Budget & Funding Sources
- MWBE and EEO Participation Goals
- Smart Growth Acknowledgement
- Davis-Bacon Requirements Acknowledgement
- Authorization by Municipality, Not-For-Profit organization, or other Non-Municipal entity



State Smart Growth Public Infrastructure Act

- All projects to be financed must be evaluated for compliance
- A Smart Growth Assessment is required with all Engineering Reports
- Guidance is posted on the EFC website



Project Listing & Update System (PLUS)

- Web-based database
- Portal for applicants to update existing project information and add new projects
- Engineering reports and other documents can be uploaded to PLUS
- Visit the PLUS website <http://plus.efc.ny.gov>
- Or contact EFC to set up an account



CWSRF Funding FFY 2013

- Federal Capitalization Grant amount is unknown
 - Estimate **\$90.95 million** including state match, based on House of Representative's budget legislation
 - Estimate **\$155.1 million** including state match, based on the President's budget
 - CWSRF Funds are not sufficient for all needs. There is a subsidy line in Categories A, B & C.
- Additional subsidization is expected in the FFY 2013 budget. Amount is not yet known.



2013 DRAFT CWSRF INTENDED USE PLAN

Annual CWSRF Project Priority List

Project Category: A

(in descending order of score)

Project Number	Applicant Name	Service Area	Project Description	Estimated Amount	Additional above STF	Cumul Excl 2012 Costs	Notes	SPDES No	Score
C9-6610-05-00	ELICOTTVILLE, VILLAGE OF		STP UP [PHASE II]	\$1,425,000	\$1,425,000	\$1,425,000	P	NY0023574	2049
C4-5440-01-02	CAIRO, TOWN OF		SAWS	\$351,800	\$351,800	\$1,776,600		NY0260819	2041
C5-5571-01-00	LAKE GEORGE, VILLAGE OF	SHEPARD PARK PS	VI CORR, PS REHAB, SEW F	\$1,800,000	\$0	\$1,776,600		NY0094366	1282
C3-5314-01-00	NORTH SALEM, TOWN OF	PEACH LAKE	COLL, FM, PS, STP [PHASE	\$2,812,000	\$2,812,000	\$4,588,600		NY0274526	1097
C3-5314-01-70	NORTH SALEM, TOWN OF	PEACH LAKE	COLL, FM, PS, STP [PHASE	\$3,172,191	\$979,295	\$5,567,895		NY0274526	1097
C3-5340-06-70	SOUTHEAST, TOWN OF	PEACH LAKE	COLL, FM, PS, STP [PHASE	\$1,202,080	\$344,102	\$5,911,997		NY0274526	1097
C7-6313-03-00	EAST SYRACUSE, VILLAGE OF	VILLAGE OF EAST SYRACUS	VI CORR [VILLAGE WIDE IM	\$2,800,000	\$76,000	\$5,987,997		NY0027081	1097
C7-6313-03-01	EAST SYRACUSE, VILLAGE OF	VILLAGE OF EAST SYRACUS	SSO MITIGATION PHASE 2	\$2,000,000	\$2,000,000	\$7,987,997		NY0027081	1097
C3-5340-06-00	SOUTHEAST, TOWN OF	PEACH LAKE	COLL, FM, PS, STP [PHASE	\$988,000	\$988,000	\$8,975,997		NY0274526	1092
C7-6343-01-00	LYSANDER, TOWN OF	WHISPERING OAKS SEWER	FM, PS	\$1,950,000	\$1,496,720	\$10,472,717		NY0231321	1084
C4-5411-03-00	ALTAMONT, VILLAGE OF	VILLAGE	VI CORR, STP IMP	\$4,068,000	\$558,000	\$11,030,717		NY0031534	1072
C4-5453-01-01	CHATHAM, VILLAGE OF	VILLAGE	VI CORR, SEW REPL, STP II	\$725,000	\$725,000	\$11,755,717	P	NY0023582	1064
C4-5453-01-00	CHATHAM, VILLAGE OF	VILLAGE	VI CORR, STP IMP	\$3,100,000	\$535,000	\$12,290,717		NY0023582	1059
C9-6656-01-00	WARSAW, TOWN OF	NYS ROUTE 19 SEWER DIST	COLL, FM, PS	\$900,000	\$0	\$12,290,717		NY0021504	1046
C5-5505-01-00	CHATEAUGAY, VILLAGE OF		FM REPL, PS	\$1,100,000	\$1,100,000	\$13,390,717		NY0024830	1039
C8-6420-04-00	ERWIN, TOWN OF	SD #1 - COOPERS PLAINS - L	COLL [GRAVITY SEWERS]	\$4,874,000	\$4,874,000	\$18,264,717		NY0023906	209
C8-6456-01-00	CANANDAIGUA, TOWN OF	PURDY/ MOBILE ROAD SEW	COLL, FM, PS	\$1,017,000	\$1,017,000	\$19,281,717	P	NO SPDES	209
C8-6802-01-00	WOLCOTT, TOWN OF	WOLCOTT/HURON JOINT PO	COLL [WOLCOTT/HURON J	\$10,700,000	\$10,700,000	\$29,981,717		NY0095737	107
C8-6802-02-00	WOLCOTT, TOWN OF	BLIND SODUS BAY SEWER	D COLL [BLIND SODUS BAY S	\$2,355,000	\$2,355,000	\$32,336,717		NY0095737	107
C3-5354-02-00	GREENWOOD LAKE, VILLAGE OF	GREATER GREENWOOD LAKE	COLL, FM, PS, STP	\$10,184,000	\$10,184,000	\$42,520,717		NEW SPDES	103
C5-5586-03-00	BOLTON, TOWN OF	MOUTH FINKLE BROOK AT L	NPS [FINKLE BROOK DRED	\$288,000	\$288,000	\$42,808,717	P	NO SPDES	87
C5-5564-04-00	HAGUE, TOWN OF	MOUTH OF HAGUE BROOK @	NPS [WATERBODY RESTOI	\$1,300,000	\$1,300,000	\$44,108,717	P	NO SPDES	87
C5-5511-04-00	WILLSBORO, TOWN OF		STP UP, I/II CORR	\$11,964,000	\$11,964,000	\$56,072,717		NY0239682	76
C9-6098-01-00	MINA, TOWN OF	RINDLEY LAKE SEWER SYST	COLL, STP	\$11,810,000	\$11,810,000	\$67,882,717	P	NEW SPDES	56
C4-5424-01-00	NELLISTON, VILLAGE OF	VILLAGE	COLL, SEW REPL	\$7,010,000	\$7,010,000	\$74,892,717		NY0107565	56
C8-6482-01-00	WAYNE, TOWN OF	SYLVAN BEACH/WANETA LA	COLL, STP	\$7,300,000	\$7,300,000	\$82,192,717	P	NEW SPDES	52
C5-5511-05-00	WILLSBORO, TOWN OF		WTP MOD	\$872,000	\$872,000	\$83,064,717		NO SPDES	51
C7-6342-02-00	PHOENIX, VILLAGE OF	VILLAGE OF PHOENIX	VI CORR, PS UP, STP MOD/	\$6,239,000	\$6,239,000	\$89,303,717		NY0020664	49
C4-5452-01-00	FORT PLAIN, VILLAGE OF	VILLAGE	VI CORR	\$1,112,000	\$1,112,000	\$90,415,717		NY0107565	49
C6-6296-01-00	SYLVAN BEACH, VILLAGE OF	SYLVAN BEACH, VIENNA, VE	VI CORR, STP IMP	\$6,212,000	\$6,212,000	\$96,627,717		NY0036790	49
C5-5512-03-00	LAKE PLACID, VILLAGE OF	VILLAGE	LAKE PLACID VILLAGE SEV	\$4,080,000	\$4,080,000	\$100,707,717		NY0022187	48
C4-5439-01-00	RAVENA, VILLAGE OF	VILLAGE	STP	\$7,333,000	\$7,333,000	\$108,040,717	P	NEW SPDES	44
C4-5495-01-00	COBLESKILL, TOWN OF	ROUTE 7 FROM VILLAGE TO	COLL, FM, PS [ROUTE 7 SE	\$3,386,000	\$3,386,000	\$111,426,717		NO SPDES	41
C7-6352-05-00	HASTINGS, TOWN OF	"Subsidy Line"	ROUTE 37 WEST CORRIDOR	\$6,133,000	\$6,133,000	\$117,559,717		NY0157376	39
C7-6392-02-00	LANSING, TOWN OF	SD #1	COLL, FM, STP	\$9,751,000	\$9,751,000	\$127,310,717			38
C6-6073-01-00	WEBB, TOWN OF	PHASE I	STP IMP	\$2,368,000	\$2,368,000	\$129,678,717		NY0021351	38
C5-5579-01-00	MALONE, TOWN OF	ROUTE 11 WEST SEWER DIS	COLL [PUMP STATION ELIM	\$357,000	\$357,000	\$130,035,717		NY0030376	37
C9-6676-02-00	WILSON, VILLAGE OF		Wastewater Treatment Plant I	\$1,880,000	\$1,880,000	\$131,915,717		NY0020419	36
C4-7498-03-00	GREENVILLE, TOWN OF	SEWER DISTRICT NO. 1	COLL, PS, STP MOD/EXP	\$4,097,000	\$4,097,000	\$136,012,717		NY0094854	36
C7-6401-02-00	UNION SPRINGS, VILLAGE OF		STP IMP	\$1,121,000	\$1,121,000	\$137,133,717		NY0024228	36



Project Priority List Modifications FFY 2013

- 2010 US Census Bureau population data
 - Some projects moved between categories A and B
- 2010 American Community Survey data for Median Household Income (MHI)
 - Some project scores changed by 10 points
- 2010 statewide MHI for New York is \$55,603



CWSRF Hardship FFY 2013

- **The maximum total project cost for hardship projects is \$25 million**
- **Reduced interest rate financing for up to \$18 million in project costs**



Annual List Requirements FFY 2013

- To be included on the Annual Year Project Priority List:
 - Approvable Engineering/Technical Report or “Land Acquisition Plan” & Targeted Parcels List for Land Acquisition
- And***
- **Executed contract for engineering planning services for listings after October 1, 2012**



Finance Application Process FFY2013

- Beginning October 1, 2012, all financing applications are required to include:
 1. SEQR (complete) and SHPO (signed off)
 2. Sewer District Formation (where applicable)
 3. Bond Resolution adopted
- Applications not complete by February 1, 2013 are considered bypassed



Application Expiration FFY 2013

- Applications for CWSRF financing submitted prior to October 1, 2010 will no longer be considered valid
- Affected communities will have to submit a complete application by February 1, 2013 to be considered for CWSRF Financing



Engineering Planning Grants FFY 2013

- Grants were offered in FFY 2012. Funds will also be available in 2013
- Grants available to communities for planning of CWSRF-eligible projects
- Grants will be administered in conjunction with NYS DEC
- Application process is through the CFA
 - www.nyworks.ny.gov



Davis-Bacon Requirements FFY 2013

- All projects funded in FFY 2013 are required to comply with federal Davis-Bacon Prevailing Wage requirements
- Davis-Bacon provisions are expected to continue for the foreseeable future



MWBE/EEO Program Changes FFY 2013

- Statewide participation goal of 20% combined MBE/WBE
 - Goal applies to:
 - Non-construction contracts/service agreements exceeding \$25,000
 - Construction contracts exceeding \$100,000
 - Any change order exceeding \$25,000
 - Goal can be met through:
 - Any combination of MBE and/or WBE participation equal or greater than 20% per contract; or
 - Adequate demonstration of good-faith efforts exerted to achieve the goal
 - Visit the MWBE/EEO section of EFC's Resource Library for additional information: www.efc.ny.gov/DocumentCentral.aspx



FFY 2013 CWSRF IUP Critical Dates

<u>September 10, 2012</u>	Close of Public Comment period; Cut-off date for listing additional projects in the final IUP
<u>October 1, 2012</u>	FFY 2013 IUP effective date
<u>February 1, 2013</u>	Applications Due for Subsidized Financing for projects in Cat. D and above the subsidy lines in Cat. A and B
<u>May 1, 2013</u>	Deadline to submit <u>Hardship Applications</u> for inclusion in Category D of the 2014 IUP
<u>September 30, 2013</u>	End of FFY 2013 IUP financing period



Helpful Hints

- File listing forms & applications early
- Contact staff of the NYSDEC Regional Permit Administrator to discuss environmental reviews
- Initiate district formation early (if applicable)
- Submit engineering report and executed engineering agreements early
- Identify and apply for all required permits as early as possible
- Involve your local counsel and bond counsel early, including bond authorization
- Municipal representatives need to be involved



EFC Client Services



- EFC staff is available for assistance with project specific questions
 - Application Assistance
 - Legal, Engineering, Financial Expertise
 - Individual Project Consultations
 - On-site Visits
 - Field Offices
 - Public Outreach and Education
 - Co-Funding



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