



**Department
of Health**

Drinking Water State Revolving Fund (DWSRF) & Water Infrastructure Improvement Act (WIIA)

**Municipal Infrastructure Funding Roundtable
Hurleyville
November 6, 2019**

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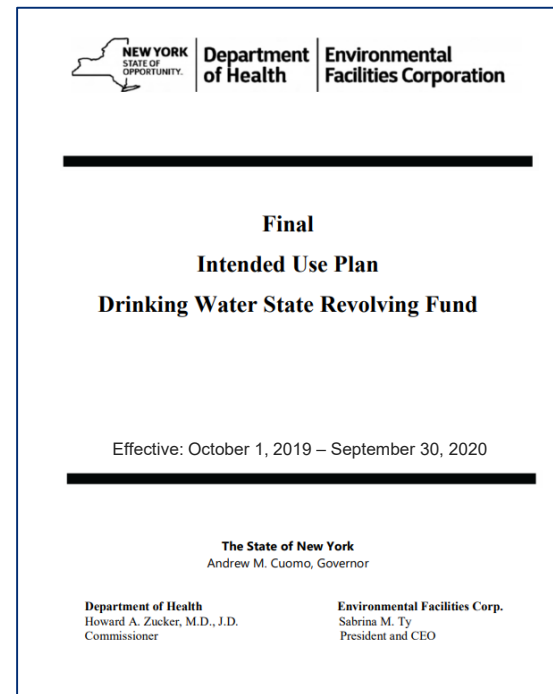
Drinking Water State Revolving Fund (DWSRF)



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DWSRF - Program Overview

- Provides low-cost financial assistance for drinking water infrastructure projects
- Administered by EFC and DOH
- Operate on the Federal Fiscal Year (FFY): **October 1 to September 30**
- Intended Use Plan (IUP)
- Annual Project Priority List (Annual List)



DWSRF – Program Eligibility

Eligible Systems

- Public and privately owned community water systems
- Non-profit, non-community public water systems



Eligible Projects

- New/upgrade/replace infrastructure to comply or remain in compliance with federal or state health standards
- Source, transmission, treatment, storage, pumping, distribution, metering, controls, security.....
- Public water system creation/extension

DWSRF - Ineligible Projects

- Projects with the primary purpose of:
 - ✓ Fire protection
 - ✓ Growth/Development
- Also:
 - ✓ Dams
 - ✓ Reservoirs
 - ✓ Acquisition of land not integral to an eligible project



DWSRF - First Step to Funding – Listing Form

A municipality must first:

- ✓ Complete a project Listing Form
 - PDF form available at efc.ny.gov
 - E-mail Listing Form to DOH project Manager or: bpwsp@health.ny.gov
- ✓ Submit approvable engineering plan/technical report for project to be placed on Annual List
- ✓ Submit a smart growth assessment form

Drinking Water State Revolving Fund (DWSRF) Listing Form Preliminary Project Schedule And Cost Estimate For Intended Use Plan (IUP) Listing Purposes (Instructions on Back)		Date Prepared: ____/____/____	DOH Use Only PWS I.D. No. _____ Project Tracking No. _____ Date Received: ____/____/____
PROJECT INFORMATION Name of Water System: _____ County: _____ Municipality: _____ Legislative Districts - Congressional: _____ NYS Senate: _____ NYS Assembly: _____ Project Description/Location: _____			
If an engineering report has not been provided with this form, please attach a narrative description including details with respect to the issues the project will be solving as related to the priority ranking system (see Attachment 1 in the IUP). Population Served by Water System: _____ Population Served by Project: _____			
Has this project been listed in a DWSRF Intended Use Plan (IUP)? Yes or No. If yes, please indicate the DWSRF project tracking number: _____			
Are there other funding sources anticipated for the project? Yes or No. If yes, list funding source here: And attach a separate sheet with details about the source of funding, amount of funding, type of funding, and letter of confirmation.			
CONTACT INFORMATION Name of Borrower: _____ Consulting Engineer: _____ Contact Person, Title: _____ Contact Person, Title: _____ Address: _____ Address: _____ Phone #: _____ Phone #: _____ E-Mail Address: _____ E-Mail Address: _____			
If applicable, provide a separate sheet with contact information for additional parties who should be included on project mailing/emailing lists, including system owner (if different than borrower) and person responsible for completing subsequent application package.			
PROJECT SCHEDULE		DATES (T) TARGET OR (A) ACTUAL	
1. Submit Engineering Report.		() _____ (Date)	
2. When will all Technical Submittals be completed?		() _____ (Date)	
3. Start of construction date (date Notice to Proceed was issued)?		() _____ (Date)	
5. Is this project being submitted for Refinancing? Yes or No? If yes, Construction Completion Date (actual date)?		() _____ (Date)	
PROJECT COST ESTIMATE Construction Costs \$ _____ Engineering Fees \$ _____ Other Expenses \$ _____ Equipment Costs \$ _____ Land Acquisition \$ _____ Contingencies (____% used) \$ _____ Subtotal Project Costs \$ _____ Deduct other funding sources (HUD, RD, etc.) \$ _____ Add Est. Issuance Costs \$ _____ (Estimated issuance costs are approximately 3% of project costs) Total Amount to Finance \$ _____		Please return completed form to: New York State Department of Health Bureau of Water Supply Protection Corning Tower, Room 1135 Empire State Plaza Albany, New York 12237 Phone: (518) 402-7650 Or Email to: bpwsp@health.ny.gov	
Form Revised July 8, 2015			



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DWSRF - Public Health Priority Ranking Criteria

- **Priority Ranking Criteria**

1. Acute public health risks
2. Chronic/long term risks
3. Infrastructure needs

- **Scoring Factors**

- ✓ MCL Violations
- ✓ Sanitary Code Violations
- ✓ System Reliability/Dependability Issues
- ✓ Financial Need



**Refer to IUP
Attachment I**

DWSRF - Types of Financing

Short-term [Up to five years to provide funding for design and initiate construction]

- Interest-Free or market-rate loans

Long-term [Up to 30 years]

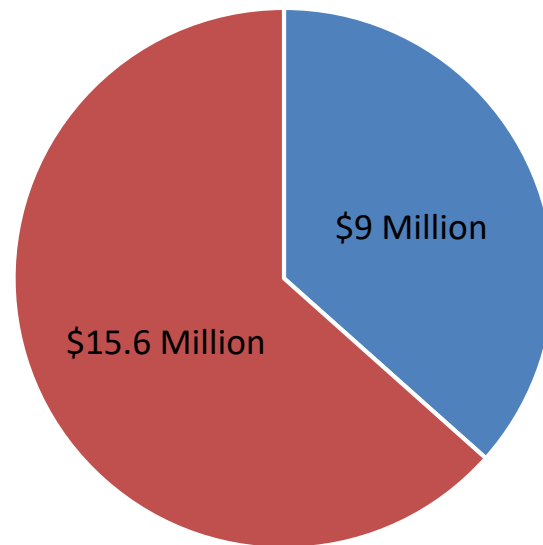
- Subsidized loans (2/3 of market rate) or market rate loans
- Interest-Free Loans and Grants (Hardship)
- Typically convert to long-term after construction completion and costs finalized



DWSRF - Hardship Program

- Interest-free loans and/or grants to assist financially disadvantaged communities
- Maximum grant award is 60% of total project costs, not to exceed \$3 Million
- For FFY 2019
 - \$9 million grant awarded for 4 Projects
 - \$15.6 million 0% loan awarded

Federal Fiscal Year (FFY) 2019



■ Grant ■ 0% Loan



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DWSRF - Hardship Program

Hardship Eligibility Criteria

Public Health Priority and Economic Need

- ❖ Project must be on Annual List at score equal to or above Hardship Line score
- ❖ Community or service area must have a Median Household Income (MHI) that is less than Statewide MHI (2017 American Community Survey NYS MHI = \$62,765)
 - Municipally-owned or PSC regulated privately owned system
 - Serve a population of less than of 300,000
 - Projects are limited to \$14 million in 0% loan and \$3 million in grant

(see IUP for further details)



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DWSRF – Program Accomplishments

Since Program Inception in 1996

- Total of \$7 billion in project financings, including:
 - Over \$450 million in 0% loans
 - \$375 million in grants to 290 disadvantaged communities
 - 479 public water systems received DWSRF assistance



NYS Water Infrastructure Improvement Act (WIIA)



NYS Water Infrastructure Improvement Act (WIIA)

- State grants for drinking water and clean water infrastructure projects
- Created in 2015 with \$400 million for 3 years
- Added \$1 billion to be used over 5 state fiscal years in 2017
- Administered by EFC and DOH



WIIA - Program Summary

WIIA

- Grant up to 60% of eligible net project costs
- Maximum grant = \$3 Million
- No single project or municipality can receive more than \$3 million in DWSRF grant and/or WIIA grant per year

*(excludes IMG grants)

Intermunicipal Grant Program (IMG)

- Project must serve multiple municipalities – lead muni applies on behalf of all
- Grant up to 40% of eligible net project costs
- Maximum grant = \$10 Million

WIIA – Program Eligibility

Eligible Applicants:

- Municipalities
 - County
 - City
 - Town
 - Village
- District Corporation
- County/Town Improvement District
- School District
- Indian Nation or Tribe
- Public Benefit Corp. or Authority



Eligible Projects:

- Infrastructure projects defined as eligible by the DWSRF program

WIIA – Application Requirements

Requirements for Complete WIIA Application:

- Submit Engineering Report to DOH
- Complete State Environmental Quality Review (SEQR)
- State Historic Preservation Office (SHPO) acknowledgement letter
- Smart Growth Act Compliance
- Bond Resolution Adopted
- Completion of water district formation (if applicable)

WIIA - Evaluation Criteria

- Protection of public health
- Financial Need
- Community Support
- **Readiness of project to move forward**



WIIA/IMG – Program Accomplishments

Drinking Water Awards

- 2015: \$20 Million for 12 projects
- 2016: \$87 Million for 51 projects
- 2017: \$114 Million for 72 projects
- 2018: \$154 Million for 69 projects

Emerging Contaminants (EC)

- \$27 Million for 9 projects (Awarded July 2019)

Emerging Contaminants Project Planning Group (ECPPG)

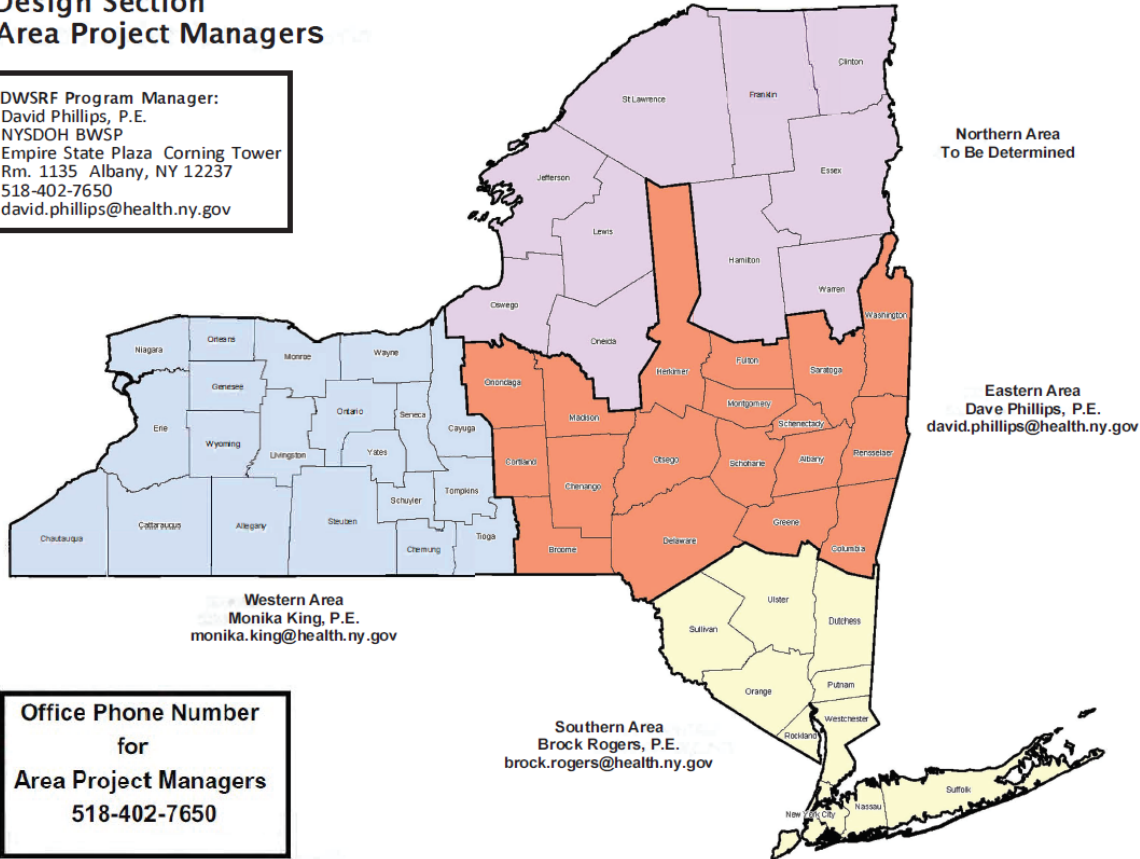
- \$360,000 for 14 projects (Awarded July 2019)

- **2019 WIIA: \$350 million for DW and CW projects (Application deadline September 2019)**

DOH Central Office Contacts

Design Section Area Project Managers

DWSRF Program Manager:
David Phillips, P.E.
NYS DOH BWSP
Empire State Plaza Corning Tower
Rm. 1135 Albany, NY 12237
518-402-7650
david.phillips@health.ny.gov



(Attachment VIII of the IUP)

Office Phone Number
for
Area Project Managers
518-402-7650



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For More DWSRF or WIIA Information

- Visit www.efc.ny.gov,
- Contact the DOH staff member shown in Attachment VIII of the IUP
- Contact:
 - 518-402-7650
 - brock.rogers@health.ny.gov
- Contact Michael Montysko, P.E, Design Section Chief
 - 518-402-7650
 - michael.montysko@health.ny.gov