



**Department  
of Health**

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

**Association of Towns Conference  
New York, NY  
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# Drinking Water State Revolving Fund (DWSRF)

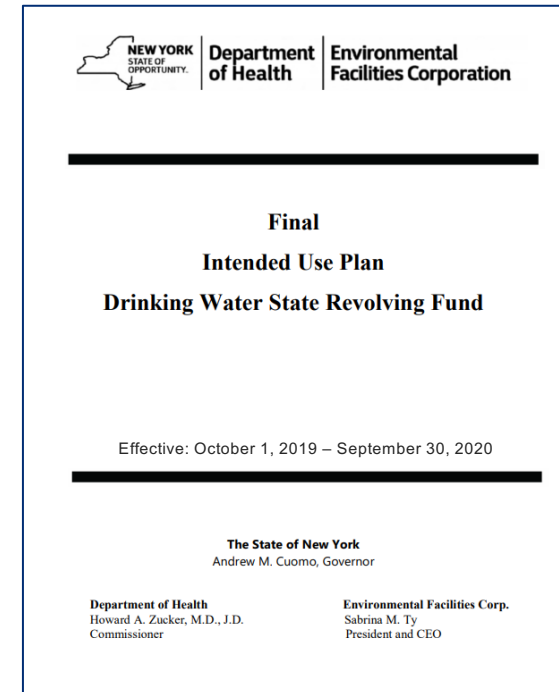


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# DWSRF - Program Overview

- 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](http://efc.ny.gov)
  - E-mail Listing Form to DOH project Manager or: [bpwsp@health.ny.gov](mailto: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: ____/____/____
<b>PROJECT INFORMATION</b> 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: _____			
<b>Has this project been listed in a DWSRF Intended Use Plan (IUP)? Yes or No.</b> If yes, please indicate the DWSRF project tracking number: _____			
<b>Are there other funding sources anticipated for the project? Yes or No.</b> 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.			
<b>CONTACT INFORMATION</b> 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.			
<b>PROJECT SCHEDULE</b>		<b>DATES</b> (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)	
<b>PROJECT COST ESTIMATE</b> Construction Costs \$ _____ Engineering Fees \$ _____ Other Expenses \$ _____ Equipment Costs \$ _____ Land Acquisition \$ _____ Contingencies (____% used) \$ _____ <b>Subtotal Project Costs</b> \$ _____ Deduct other funding sources (HUD, RD, etc.) \$ _____ <b>Add Est. Issuance Costs</b> \$ _____ (Estimated issuance costs are approximately 3% of project costs) <b>Total Amount to Finance</b> \$ _____		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 <b>Or Email to: <a href="mailto:bpwsp@health.ny.gov">bpwsp@health.ny.gov</a></b>	
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

## 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)

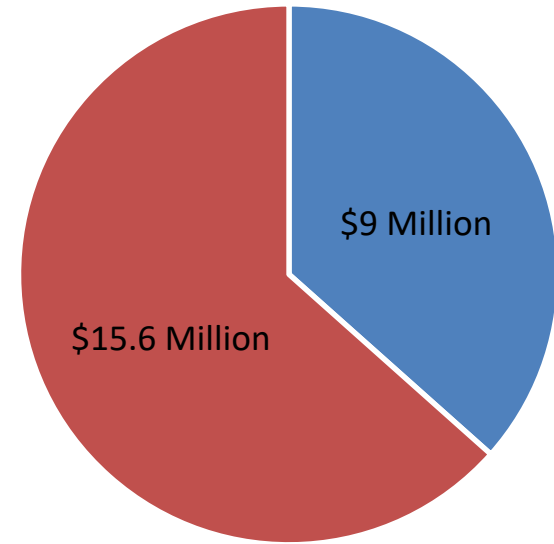


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# DWSRF - Hardship Program

- Interest-free loans and/or grants to assist financially disadvantaged communities
- Maximum grant award is 60% of net eligible 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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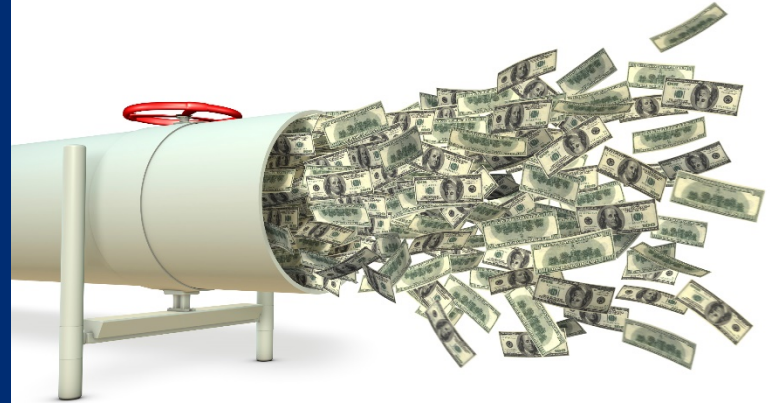
# DWSRF – Program Accomplishments

## 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 50 projects
- 2017: \$119 Million for 72 projects
- 2018: \$179 Million for 78 projects
- 2019: \$282 Million for 109 projects

## Emerging Contaminants (EC)

- \$163 Million for 40 projects

## Emerging Contaminants Project Planning Grant (ECPPG)

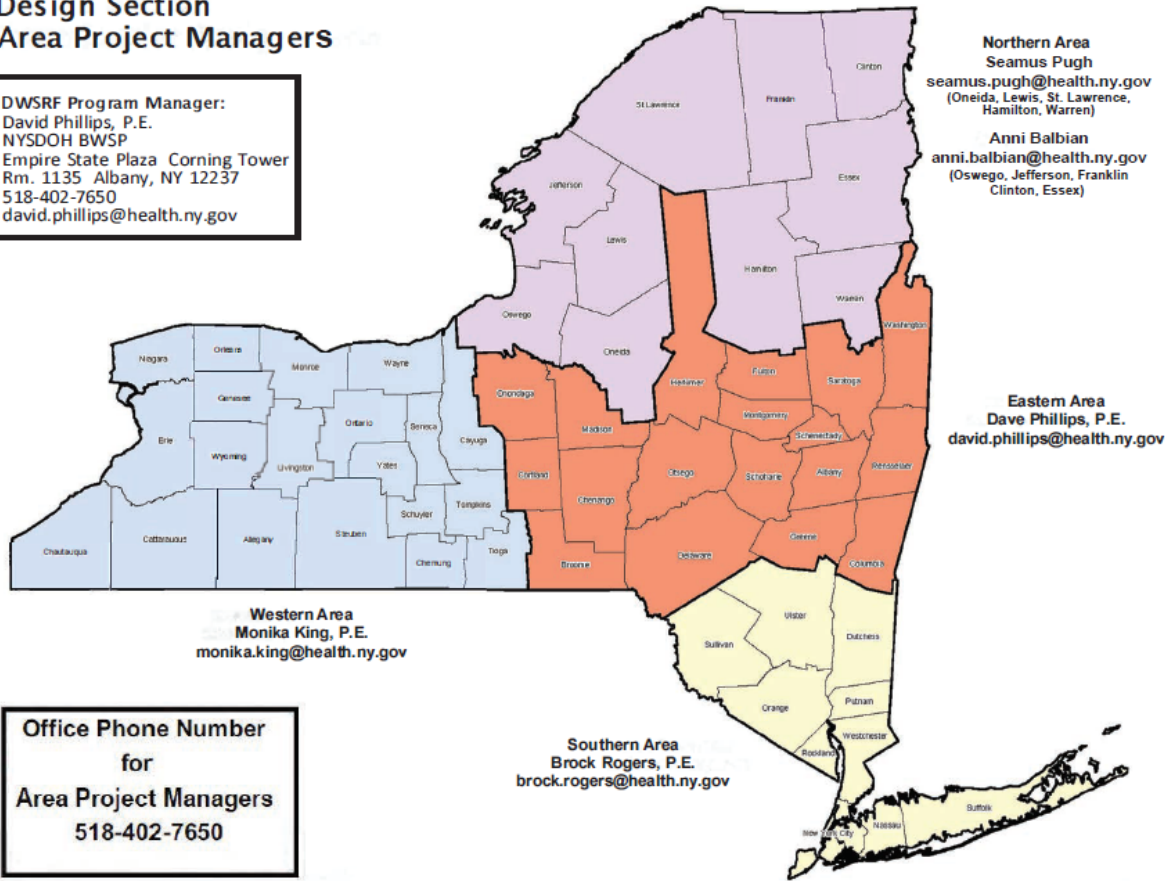
- \$370,000 for 14 projects (Awarded July 2019)

➤ **2020 WIIA, Possibly Spring 2020**

# DOH Central Office Contacts

## Design Section Area Project Managers

**DWSRF Program Manager:**  
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NYSDOH BWSP  
Empire State Plaza Corning Tower  
Rm. 1135 Albany, NY 12237  
518-402-7650  
david.phillips@health.ny.gov



(Attachment VIII of the IUP)



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# For More DWSRF or WIIA Information

- Visit [www.efc.ny.gov](http://www.efc.ny.gov),
- Contact the DOH staff member shown in Attachment VIII of the IUP
- DWSRF Program Manager
  - David Phillips, P.E.
  - 518-402-7650
  - David.Phillips@health.ny.gov

My contact Anni Balbian

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Anni.Balbiam@health.ny.gov



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