



**Environmental
Finance
Center**
Syracuse University



**Environmental
Facilities Corporation**

**Department
of Health**



PAYING FOR DRINKING WATER AND WASTEWATER PROJECTS – 2021 Updates

HOSTED BY THE SYRACUSE UNIVERSITY ENVIRONMENTAL FINANCE CENTER

MAY 3, 2021

Who is NYSEFC?

- New York State Environmental Facilities Corporation (EFC)
- Public benefit corporation
- Provides low-cost loans and grants for water quality improvement projects to municipalities
- Manages New York's:
 - Clean Water State Revolving Fund (CWSRF)
 - Drinking Water State Revolving Fund (DWSRF)





STATE REVOLVING FUND (SRF) PROGRAMS

Clean Water State Revolving Fund Overview

- CWSRF provides low-cost financing for wastewater and water quality infrastructure
- Administered by EFC and NYS Department of Environmental Conservation (DEC)
- A variety of water quality improvement projects are eligible for financing including:
 - ✓ Point Source Projects
 - ✓ Nonpoint Source Projects
 - ✓ National Estuary Projects



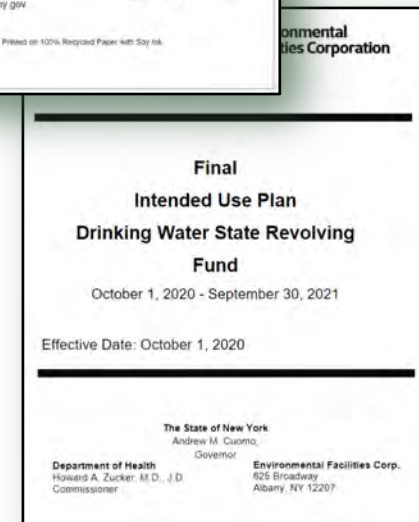
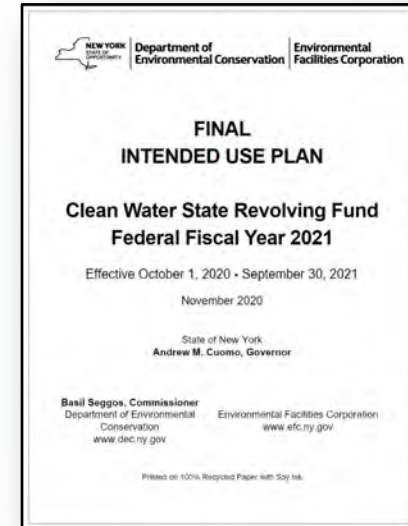
Drinking Water State Revolving Fund Overview

- DWSRF provides low-cost financing and grants for public and private drinking water infrastructure
- Administered by EFC and NYS Department of Health (DOH)
- A variety of public and private water system projects are eligible for low-cost financing including:
 - ✓ Treatment Plants
 - ✓ Distribution Mains
 - ✓ Storage Facilities



Intended Use Plan (IUP)

- Describes each SRF program, lists available funds, and identifies the use of those funds each Federal Fiscal Year (FFY), effective 10/1 to 9/30
- Using information provided by applicant, EFC and DOH:
 - ✓ Assign project priority score based on water quality and public health impacts
 - ✓ Categorize projects by population size
 - ✓ Rank projects by score within each category
 - ✓ List project scope & funding needed
- Projects are placed either on the Annual List or the Multi-Year List
 - A project **must** be listed on the Annual List to be eligible for SRF financial assistance in the following FFY



EFC Client Services



- Application Assistance
- Legal, Engineering, and Financial Expertise
- Individual Project Consultations
- On-Site Visits
- Field Offices
- Public Outreach and Education
- Co-Funding



PROJECT LISTING AND APPLICATION

Clean Water State Revolving Fund Project Listing

For **CWSRF**:

A municipality must first:

- ✓ Complete a Project Listing Form
 - Submit a project description and funding needs through PLUS for CWSRF:
<https://plus.efc.ny.gov>
- ✓ Submit approvable engineering report and smart growth assessment form by **July 16, 2021** for project to be placed on Annual List



Drinking Water State Revolving Fund Project Listing

For **DWSRF**:

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 and smart growth assessment form by **July 16, 2021** for project to be placed on Annual List



SRF Financing Application Requirements

Projects must be on the Annual List to apply:

1. Submit a CWSRF/DWSRF Financing Application Form
2. Complete a State Environmental Quality Review (SEQR)
3. Obtain signoff of by NYS Office of Parks, Recreation and Historic Preservation (SHPO)
4. Form a Water/Sewer District (if necessary)
5. Adopt a Bond Resolution

**Applications are
due to EFC by:
June 25, 2021**

Visit www.efc.ny.gov
for more information

SRF Program Requirements

Engineering Report Outline

Davis-Bacon [Federal Prevailing Wage]

- Applies to entire project, even if project is only partially funded by SRF

American Iron & Steel

- Treatment works projects only

Minority & Women's Business Enterprise (MWBE) Goals (20-30%)

- Goals depend on type of financing, but apply to:
 - ✓ Non-construction contracts/service agreements exceeding \$25,000
 - ✓ Construction contracts exceeding \$100,000
 - ✓ Any Change Order exceeding \$25,000

Visit www.efc.ny.gov/MWBE for more information



FINANCE OVERVIEW

Loan Programs

- Short-term

- ✓ Market Rate and Subsidized Interest Rates, with rates as low as 0% for hardship communities
- ✓ Typically for a period of 3 to 5 years
- ✓ Finance the estimated costs of the planning, design and construction of project
- ✓ Designed to help identify all project costs prior to long-term financing in order to properly size the long-term borrowing

- Long-term

- ✓ Maturity generally up to 30 years

Hardship Program

- Interest-free loans and grants for economically disadvantaged communities
- Must meet “Hardship” eligibility criteria
 - ✓ Environmentally significant or public health priority
 - ✓ Economic need – based on Median Household Income (2017 MHI)
- Project must be ranked above the Hardship eligibility line on the Annual List
- Privately-owned drinking water projects must be regulated by the Public Service Commission (PSC) to be eligible
- New in 2020 - Environmental Justice (EJ): projects will be considered if at least 50% of the project cost or scope serves, protects or benefits an identified EJ area

SRF Hardship & Grant Eligibility

To be eligible, a municipality must have:

- 2017 population less than 300,000 and
- 2017 (MHI) that is:
 - ✓ Less than 80% of the regionally adjusted Statewide MHI or
 - ✓ 80% to less than 100% of the regionally adjusted Statewide MHI with a family poverty greater than the Statewide Poverty of 11.3%

Note: Population, MHI and Poverty as measured by the 2017 American Community Survey 5-year data – US Census Bureau

Regionally Adjusted MHI

Region	RCF ⁱ	Adjusted MHI	80%	100%
Upstate	1.00	\$ 62,765	\$ 50,212	\$ 62,765
Dutchess, Orange, Putnam, Rockland, Sullivan, and Ulster Counties ⁱⁱ	1.33	\$ 83,477	\$ 66,782	\$ 83,477
Suffolk, Nassau and Westchester Counties ⁱⁱⁱ	1.54	\$ 96,658	\$ 77,326	\$ 96,658

ⁱ - 2018-2019 Regional Cost Factor from NYSED.gov Facilities Planning



GRANT PROGRAMS

Engineering Planning Grant (EPG)

- For CWSRF projects only
- Funds the preparation of an engineering report and other planning/study costs
- Grants from \$30,000 to \$100,000
- Local match required is 20% of grant award
- To date \$18.7M awarded to 463 projects

For more information, please visit:

<https://www.efc.ny.gov/CWPlanningGrants>



Green Innovation Grant Program (GIGP)

- GIGP is expanding to projects that meet EPA's definition of Green Project Reserve:
 - **Water Efficiency:** Reuse, Conserve or Improve Water Efficiency
 - **Energy Efficiency:** Reduce Energy Consumption or Produce Clean Energy
 - **Green Stormwater Infrastructure:** Maintain and restore natural hydrology by infiltration, evapotranspiration, and harvesting stormwater

Eligible Entities

Municipalities

Publicly Owned Treatment Works (POTW)

Municipalities, Private Entities, State Agencies, Soil and Water Conservation Districts

Consolidated Funding Application Overview

CFA Home Page

CONSOLIDATED FUNDING APPLICATION

HELP PRINT PAGE REGIONAL ECONOMIC DEVELOPMENT COUNCILS CFA PROJECT INFO

WELCOME

As part of Governor Cuomo's transformative plan to improve the state's economic development model, a NYS Consolidated Funding Application (CFA) has been created that will streamline and expedite the grant application process. The CFA process marks a fundamental shift in the way state resources are allocated, ensuring less bureaucracy and greater efficiency to fulfill local economic development needs.

Utilizing the CFA serving as the single entry point for access to economic development funding, applicants will no longer have to slowly navigate multiple agencies and sources without any mechanism for coordination. Now, economic development projects will use the CFA as a support mechanism to access multiple state funding sources through one application, making the process quicker, easier, and more productive.

The CFA system is also the mechanism for Upstate Revitalization Initiative (URI) project sponsors to submit applications.

To proceed with your CFA, please use the **Log In** or **Register** buttons.







New - Cloning an Application

To save time you can now Clone an application from the previous year. [Click here to learn how.](#)

Log In

Register

Links

 <p>Regional Council Guidebook</p> <p>Learn more about the eighth round of REDC awards with up to \$750 million to fund regional priority projects.</p>	 <p>Available CFA Resources</p> <p>For Round VIII, there are over 30 programs available through 11 state agencies.</p>	 <p>CFA Application Manual</p> <p>Online webinar of each program that is offered through the Consolidated Funding Application (CFA).</p>	 <p>Program Recorded Webinars</p> <p>An online recorded webinar applying through the Consolidated Funding Application (CFA).</p>	 <p>Program Application Questions</p> <p>A list of questions for the available programs in the Consolidated Funding Application (CFA).</p>	 <p>2019 CFA Workshops</p> <p>Open House Workshops available to the public for the Consolidated Funding Application (CFA).</p>
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