



**Environmental
Facilities Corporation**

**Department
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Accessing Federal and State Water and Sewer Funding

Funding Roundtable

October 26, 2022

Today's Agenda

- Who is EFC?
- State Revolving Fund (SRF) Programs
- Grant Programs
- Federal Bipartisan Infrastructure Law (BIL)
- Q&A Session



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NYS EFC Overview



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Who is EFC?

- New York State Environmental Facilities Corporation
- Provides financial assistance including low-cost capital and grants
 - Sewer and wastewater treatment projects through the Clean Water State Revolving Fund (CWSRF)
 - Drinking water projects through the Drinking Water State Revolving Fund (DWSRF)
 - Various NYS grant programs
- Since 1990, EFC has provided:
 - Over \$31 billion to Clean Water projects
 - Over \$7 billion to Drinking Water projects



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Types of Financial Assistance Offered by EFC

- Short-Term Loans
 - Up to 5-year term
 - Funds planning, design and construction
- Long-Term Loans
 - Amortized up to a term of 30 years
- Interest Rate
 - 0% Interest
 - Subsidized
 - Market-Rate
- Grants / Principal Forgiveness



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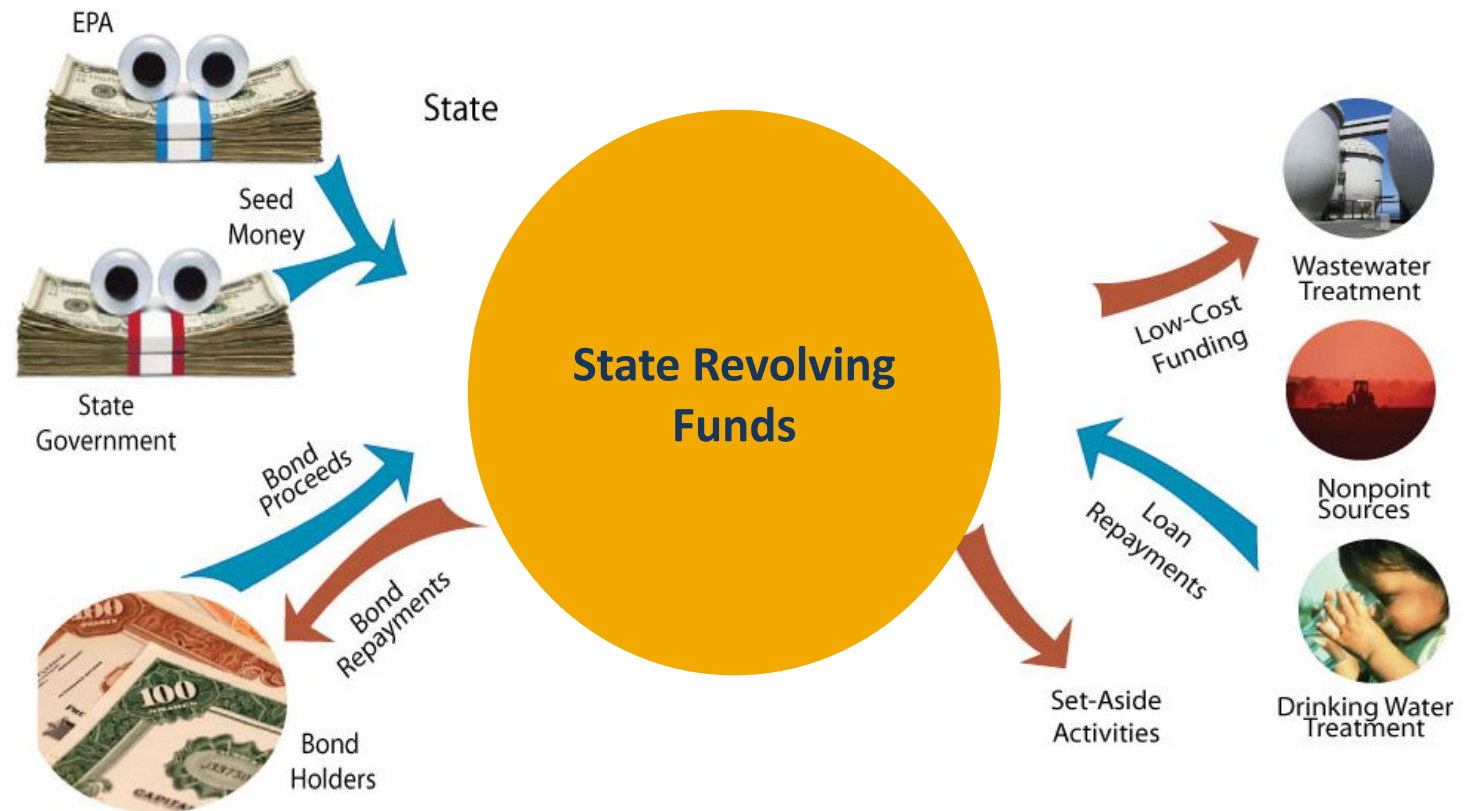
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State Revolving Fund (SRF) Programs

How the SRF Program Works

- Annual USEPA grants are used to capitalize SRF programs, along with state matching funds (20%)
- SRF loans “revolve” - as funds are loaned to communities each year, the principal is repaid annually and recycles back into the SRF program to fund new water quality protection projects

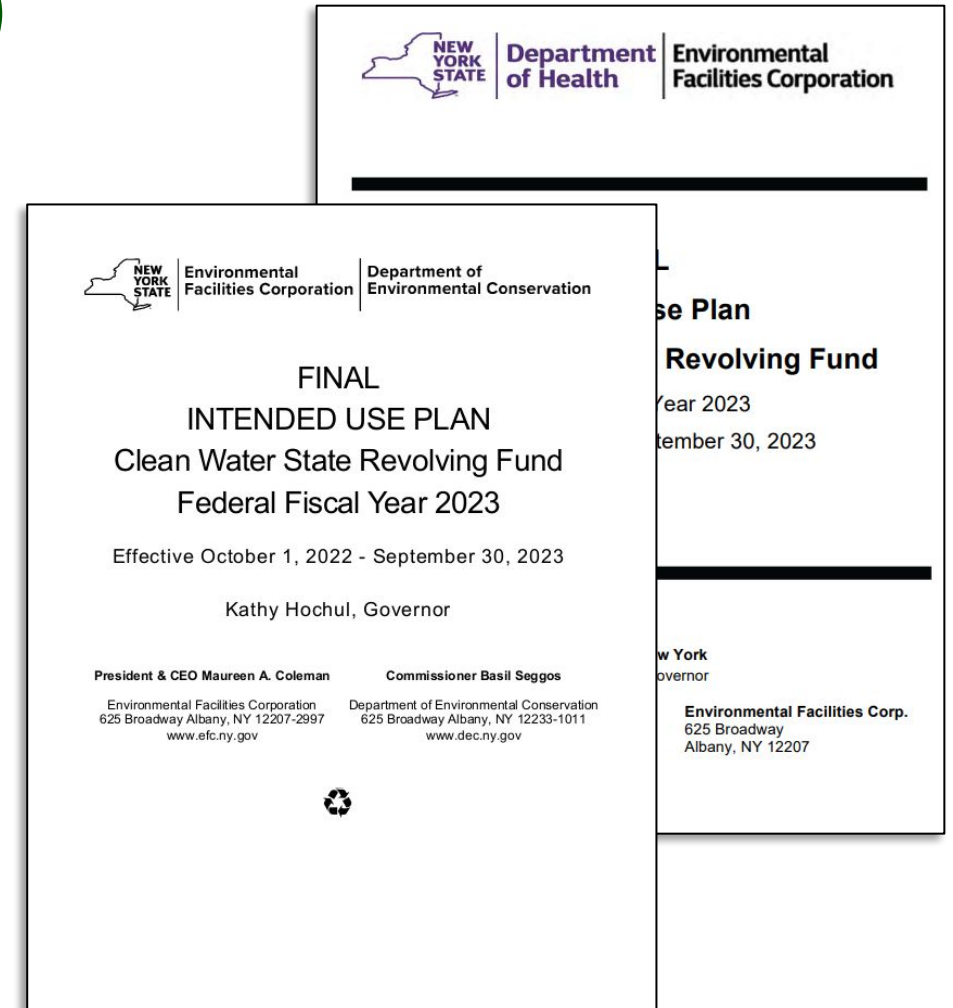


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SRF Intended Use Plans (IUP)

- IUP is prepared annually to:
 - Describe each SRF program
 - List available funds
 - Identify the use of funds
 - List projects eligible for funding
- Federal Fiscal Year – 10/1 – 9/30
- Two Project Lists:
 - Multi-Year List – future needs
 - Annual List – ready for funding
- Eligible project costs are based on estimates from documents submitted



List Your Project

- Used to list a project on the Multi Year or Annual List
- List new projects by 6/16/23 to be included on 2024 IUP
- CWSRF Program – Project Listing and Update System (PLUS)

NEW YORK STATE OF ENVIRONMENTAL FACILITIES CORPORATION

PLUS

Welcome to Environmental Facility Corporation's Project Listing and Update System (PLUS)

If you used PLUS last year, your account is still valid. Login with the same email and password. There is a password reset link on the Log in screen if you have forgotten your password.

If you are new to PLUS, you will need to register an account. Click the Register link above to start this process. You will have to provide an email address, password, and user name as well as selecting the municipality you represent.

Once you complete registration, you will be sent a verification email. Click the link in the email to confirm that you control the email address used for registration. After clicking the link, you may login to PLUS.

PLUS is used to enter general information, the project budget, and the project schedule regarding new CWSRF projects, and is the preferred means of updating CWSRF project information and listing new CWSRF projects. In addition to updating or entering existing information, electronic versions of engineering reports, plans, etc. can be uploaded to EFC via PLUS.

Acknowledgements

Ontario

77.131667

2296

SPDES Permit No: NY020311

Alphur Creek

Collection System Upgrade ☒

Collection System New ☐

Combined Sewer Overflow ☐

Sanitary Sewer Overflow ☐

Storm Water Management ☐

Landfill ☐

Other Project Category ☐

Please describe this project:

Inflow and infiltration to the existing Village collection system was evaluated and revealed several deficiencies with the collection system manholes and piping which can lead to excessive hydraulic loading to the WWTP, causing inefficiencies in operation. The recommended alternative includes a combination of rehabilitation and full depth replacement.

If the project is identified in or consistent with an approved management plan, please list plan(s) here:

If the project is located in or serves a designated Empire Zone (EZ), please identify that EZ here:

If the project has received funding through the DEC/EFC Wastewater Infrastructure Engineering Planning Grant (EPG) Program, please identify the EPG number here: 72831

- DWSRF Program – PDF Listing Form

**Drinking Water State Revolving Fund (DWSRF)
Intended Use Plan (IUP) Project Listing Form**
Preliminary Project Schedule And Cost Estimate
(Instructions on Back)

Date Prepared: ___/___/___

DOH Use Only
PWS I.D. No. _____
Project Tracking No. _____
Date Received: ___/___/___

PROJECT INFORMATION
Name of Water System: _____
Municipality: _____ County: _____
Legislative Districts - Congressional: _____ NYS Senate: _____ NYS Assembly: _____
Project Description: _____

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 available at www.health.ny.gov/environmental/water)

Population served by water system: _____ Population served by Project: _____

This is a (choose one): ☐ New project listing
☐ Update to a project currently listed in the DWSRF IUP
DWSRF project tracking number (if existing project): _____

Are there other funding sources anticipated for the project? Yes ☐ No ☐
If yes, attach details about the funding, including source, amount, and letter of confirmation

CONTACT INFORMATION
Borrower: _____ Consulting Engineer: _____
Contact Name, Title: _____ Contact Name: _____
Address: _____ Address: _____
Phone #: _____ Phone #: _____
E-mail Address: _____ E-mail Address: _____

If seeking funding under the Bipartisan Infrastructure Law (BIL), check appropriate box:
☐ General Supplemental ☐ Lead Service Line Replacement ☐ Emerging Contaminants

PROJECT SCHEDULE
1. Submit Engineering Report
2. Submit Plans & Specifications for Regulatory Review
3. Start Construction (Notice to Proceed)
4. Construction Substantial Completion

DATES
(T) TARGET OR (A) ACTUAL
() (Date)
() (Date)
() (Date)
() (Date)

Project Cost Estimate
Construction Costs \$ _____
Engineering Fees \$ _____
Other Expenses \$ _____
Equipment Costs \$ _____
Land Acquisition \$ _____
Contingencies % \$ _____
Subtotal Project Costs \$ _____
Deduct other funding sources (RD, CDBG, etc.) \$ _____
Add Est. Issuance Costs \$ _____
(approximately 3% of project costs)
Total Amount to Finance \$ _____

E-mail completed form to:
design@health.ny.gov

New York State Department of Health
Bureau of Water Supply Protection

Form Revised April 2022



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Annual List

- Requires an Engineering Report - due by 6/16/23
- Projects are scored based on water quality and public health impacts
- Each Annual List has funding lines based on score that change annually based on available funds:
 - Subsidy – projects with project scores above this line are eligible for a subsidized interest rate
 - Hardship – projects with project scores above this line that meet the Hardship Policy criteria may receive 0% interest
- Should reflect funds needed in the current FFY
- Can submit a SRF Application in the FFY



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SRF Application

- Need to be on Annual List
- Same application for both CW and DW projects
- Required Documents
 - SRF Application
 - Bond Resolution
 - Environmental Review
 - SHPO Letter
 - District Formation, if applicable

New York State Environmental Facilities Corporation
New York State Revolving Funds Financing Application (Municipal)

1. GENERAL INFORMATION

A. Applicant

Name of Applicant: _____ County: _____
Federal I.D. Number: _____ DUNS Number: _____

List each project (and its location) for which the Applicant is applying for SRF financing separately in the following table. Project Numbers have been assigned by EFC or DOH and follow the format C1-1234-56-78 (CWSRF) or D0-12345 (DWSRF). Project numbers and scores are listed in the respective Intended Use Plan (IUP) Annual Project Priority List. Please refer to the Municipal [Application Form Instructions and Guidance](#) for assistance in completing this application.

PROJECT LOCATION									
SRF Project Number	SRF Project Score	IUP Category	IUP Amount	Municipal Location (City, Town or Village if different from Applicant name)	Service Area	Project Location ZIP +4	Legislative Districts (you may include two districts)		
							US Congress	NY Senate	NY Assembly

B. Financial Assistance Requested

SRF Project Number	SRF Financial Assistance Amount	Date of Hardship Confirmation Expiration (if Applicable)	If not eligible for subsidy is SRF market-rate financing desired?		Type of Financing Requested	
	\$		<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Short-Term	<input type="checkbox"/> Long-Term
	\$		<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Short-Term	<input type="checkbox"/> Long-Term

SRF Application Form - Municipal Page 1 10/1/2020



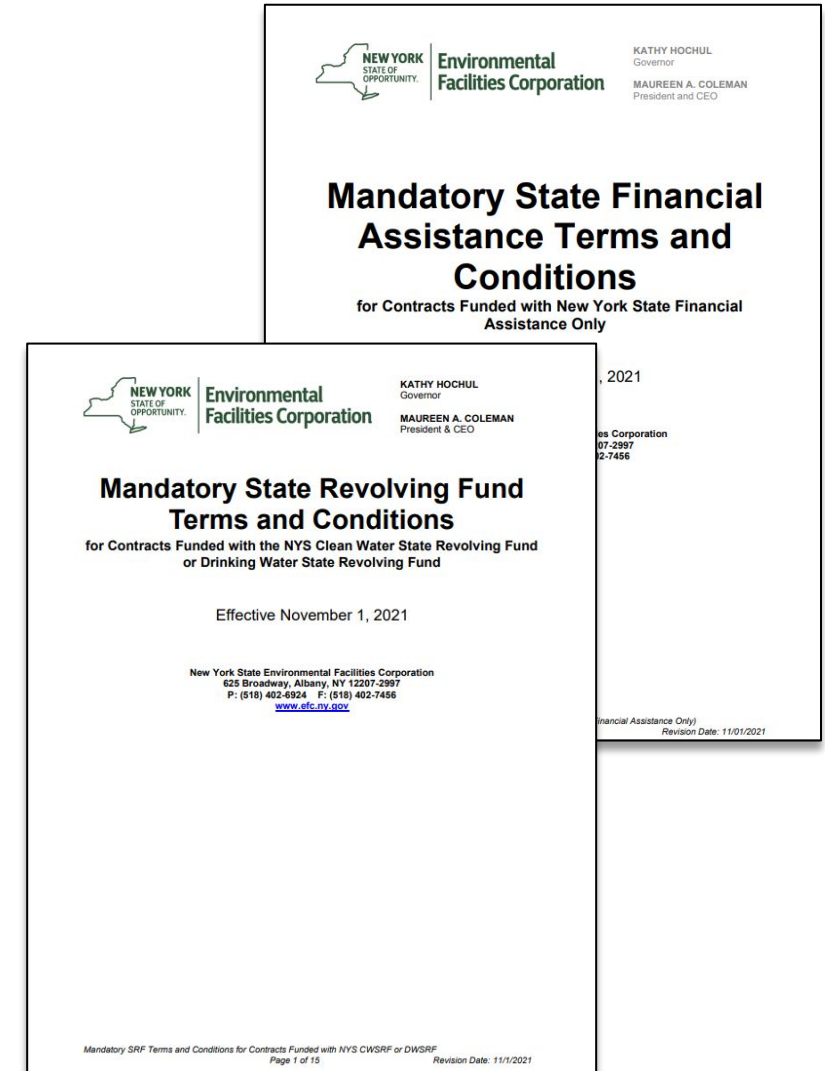
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Mandatory Terms & Conditions

- Contracts paid for with EFC funds must include EFC Terms & Conditions (T&Cs)
 - Formerly known as Bid Packets
- Contracts that do not include the required contractual language are ineligible for funding
- Typical programmatic requirements include:
 - MWBE/EEO/DBE
 - Service-Disabled Veteran-Owned Business (SDVOB)
 - American Iron and Steel (AIS)
 - Davis-Bacon Federal Prevailing Wage
 - A/E Services Procurement*

* Required for projects with BIL funding and all CWSRF projects after October 1, 2022.



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Grant Programs Available

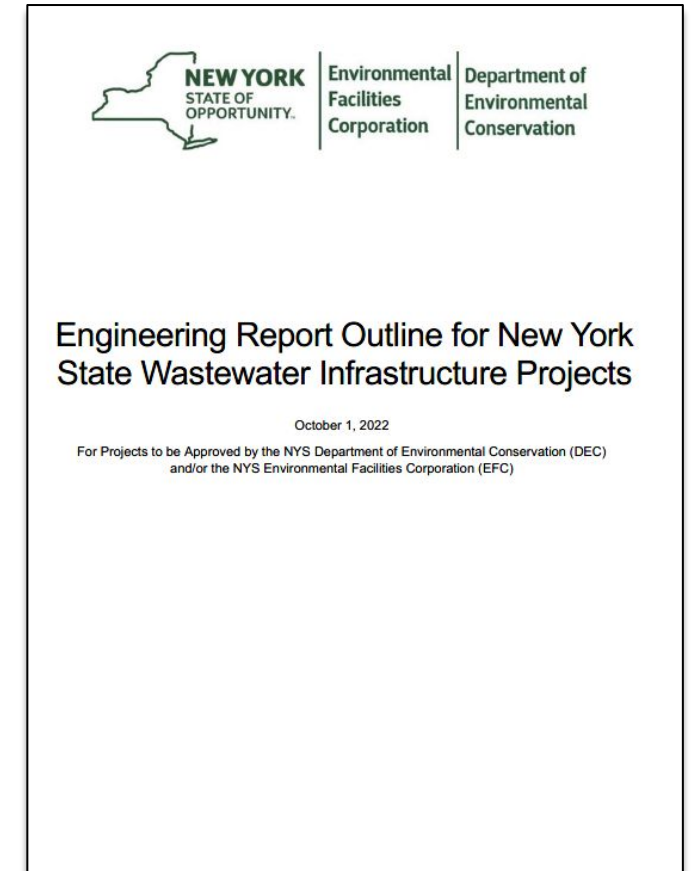
Grant Programs Available at EFC

- Engineering Planning Grants (EPG)
- Green Innovation Grant Program (GIGP)
- Water Infrastructure Improvement Act (WIIA)
- Intermunicipal Water Infrastructure Grants Program (IMG)



Engineering Planning Grant (EPG) Program

- DEC and EFC offer grants to help municipalities facing economic hardship pay for the initial planning of eligible **CWSRF** projects
 - Development of an Engineering Report
- Grants Available:
 - Up to \$100,000 per locality for inflow/infiltration studies required by enforcement action
 - Up to \$50,000 per locality all other projects
- Report can be used to be listed for CWSRF funding or grant programs
- State Financial Assistance T&Cs (30% MWBE/6% SDVOB)
- Apply through Consolidated Funding Application (CFA)
- Application is currently closed



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Green Innovation Grant Program (GIGP)

- Eligible project categories include:
 - **Water Efficiency:**
 - Reuse, Conserve or Improve Water Efficiency
 - 50-75% grants available
 - **Energy Efficiency:**
 - Reduce Energy Consumption or Produce Renewable Energy
 - 50-75% grants available
 - **Green Stormwater Infrastructure:**
 - Maintain and restore natural hydrology by infiltration, evapotranspiration, and harvesting stormwater
 - 75-90% grants available
- SRF T&Cs (20% MWBE)
- Apply through Consolidated Funding Application (CFA)
- Application is currently closed



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Clean Water Infrastructure Act of 2017 (CWIA)

- Water Infrastructure Improvement Act (WIIA) grant program
- Intermunicipal Water Infrastructure Grant (IMG) program
- Over **\$600M** awarded in April 2022 and **\$225M** to be awarded in the current round being evaluated
- Awarded to municipalities
- CWSRF and DWSRF eligible projects
- Must result in construction of the project
- Application is currently closed



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WIIA Grant Overview

- Clean Water WIIA

- Municipalities will be awarded **25%** of total net eligible project costs, including phases of the project, up to **\$25 million**
- Stormwater scope only eligible if related to sanitary sewer

- Drinking Water WIIA

- Municipalities will be awarded **60%** of total net eligible project costs, including phases of the project, up to **\$5 million**
- The maximum a municipality can receive is **\$5 million** in DWSRF grant and/or WIIA grant per year
- Projects addressing an **emerging contaminant** above the State determined Maximum Contaminant Level (MCL) may be awarded **60%** of total net eligible project costs with no cap

IMG Grant Overview

- A joint project that serves multiple municipalities
- Available for both drinking water and clean water projects
- Municipalities will be awarded **40%** of total net project costs, up to **\$30 million**
- One municipality must be the “**lead municipality**” and apply on behalf of all cooperating municipalities
- Project examples:
 - Regional wastewater treatment plant
 - Water system interconnect



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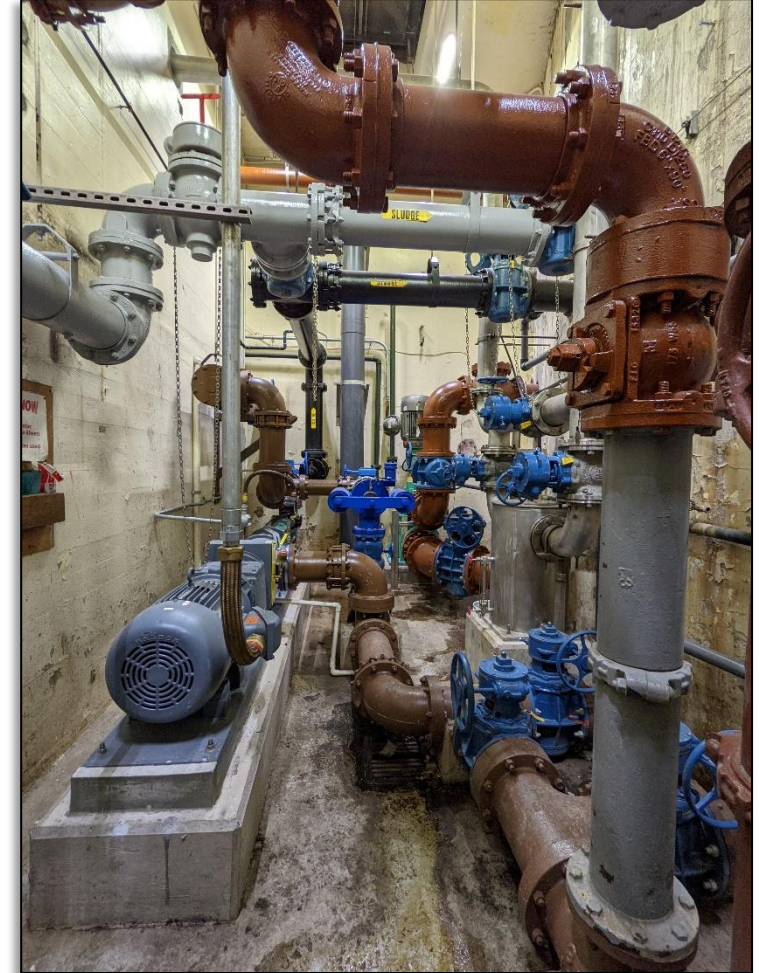
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Federal Bipartisan Infrastructure Law (BIL)

Bipartisan Infrastructure Law (BIL)

- Also known as Infrastructure Investment and Jobs Act
- \$43.4 Billion in funding over 5 years for SRFs nationally
 - \$426.8 Million allocated to NYS in 2022
 - \$482.3 Million estimated for NYS in 2023
- Allocation is in addition to annual federal SRF appropriations
- List project on 2024 IUP by June 16, 2023
- www.efc.ny.gov/BIL



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Bipartisan Infrastructure Law (BIL)

Category	2022 Allotment for NYS	Estimated 2023 Allotment for NYS	Required Additional Subsidy
Total	\$426,877,000	\$482,278,200	
Clean Water SRF (CWSRF)	\$196,443,000	\$227,427,700	49%
CWSRF Emerging Contaminants	\$ 10,318,000	\$23,215,500	100%
Drinking Water SRF (DWSRF)	\$ 73,481,000	\$85,000,000	49%
DWSRF Lead Service Line Replacement	\$115,781,000	\$115,781,000	49%
DWSRF Emerging Contaminants	\$ 30,854,000	\$ 30,854,000	100%



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Bipartisan Infrastructure Law (BIL)

- Projects eligible for BIL funding are identified on the 2023 IUP and upcoming DWSRF Amendments
 - CWSRF General – 50% grant up to \$25M
 - CWSRF Emerging Contaminants – 100% grant up to \$25M
 - DWSRF General – 70% grant up to \$5M
 - DWSRF Emerging Contaminants – details coming soon
 - DWSRF Lead Service Lines – details coming soon

Bipartisan Infrastructure Law (BIL)

- Funding for eligible SRF projects and BIL categories;
- Must qualify for hardship, as defined by EFC's Hardship Policy;
- Must not have closed an EFC financing or incurred SRF-eligible debt for the project before November 15, 2021;
- Must not have issued a Notice to Proceed to construction for the project dated before November 15, 2021;
- Must not have executed a long-term project financing agreement for the project;
- Must not be substantially complete before the beginning of the FFY; and
- Must comply with all applicable federal requirements



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Key Priorities & Requirements

- Additional federal programmatic requirements apply
 - Professional (A/E) Service Procurement requirements
 - Build America, Buy America Act (BABA): expands domestic preference procurement requirements
 - Telecom Exclusion
 - Disadvantaged Business Enterprise
 - Single Audit and federal thresholds (\$750,000)
 - Additional coordination for Environmental Review
 - SRF base program conditions such as Davis Bacon, EEO, etc



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Any Questions?

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