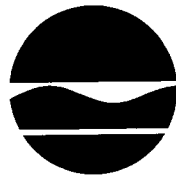


# **Water Quality Improvement Projects: New York City Watershed Protection Program**

## **Application and Instructions**

**Applications will be accepted continuously and must be sent to the following address:**

New York City Watershed Protection Program  
NYS Department of Environmental Conservation  
Division of Water  
New York City Watershed Section, 4<sup>th</sup> Floor  
625 Broadway  
Albany, NY 12233- 3506



**Governor David Paterson  
Commissioner Alexander B. Grannis**

**New York Department of Environmental Conservation**

**2008**



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## **New York City (NYC) Watershed Protection Program Management Plan**

The NYC Watershed Protection Program is dedicated to fund and implement water quality improvement projects as identified in the NYC Watershed Protection Program Management Plan, which can be found at [www.dec.ny.gov/lands/25599.html](http://www.dec.ny.gov/lands/25599.html) . The Management Plan identifies impairments, causes, sources and recommended actions to improve and restore water quality.

An “**impairment**” is a “symptom” that something is wrong with the water quality. Examples include: hypoxia (absence of oxygen in the water); eutrophication; restrictions on consumption of fish and wildlife; habitat loss; reduced populations of aquatic life; floatable debris.

The “**cause**” is the pollutant or disturbance that created the impairment. Examples include: pollutants such as toxins, nutrients and pathogens; disturbances such as expansion of non-indigenous species and water level fluctuations. The source may be “known” or “suspected.”

The “**source**” indicates the origin of a given pollutant or disturbance. Examples include point sources such as wastewater treatment plants and non-point sources such as runoff, contaminated sediments and atmospheric deposition. The source may be “known” or “suspected.”

The “**recommended actions**” are the steps that should be taken to eliminate a source of pollution or disturbance and thus eliminate an impairment to water quality.

### **Priorities Identified to address the NYC Management Plan**

#### Highest Priorities:

- Comprehensive monitoring and surveillance of the NYC Watershed
- Development of stormwater management and treatment planning, design and implementation tools with added emphasis on Municipal Separate Storm Sewer Systems.
- Pathogen and phosphorus reduction initiatives
- Research and monitoring to study water quality of the NYC Watershed
- Study water quality for the presence of pesticides, pharmaceuticals and other organic wastewater compounds

#### Secondary Priorities:

- Protect, restore, enhance, or reduce impairments to aquatic habitat (this includes, but is not limited to, non-point source pollution projects providing stream bank erosion control or reduction of nutrients, suspended solids, herbicides, and pesticides, and habitat restoration projects)
- Comprehensive GIS Development
- General non-point source program implementation

The chart on page 2 summarizes the water quality impairments, causes, and sources identified in the Management Plan for the NYC Watershed.

Each Water Quality Impairment identified is listed along with its known or suspected causes, their sources, and recommended actions. Projects that directly address the issues and priorities identified in the Management Plan will receive higher scores in the evaluation and selection process.

## Management Plan Summary

<b>Water Quality Impairments</b>	<b>Affected Reservoirs and their Drainage Basins</b>	<b>Causes *</b>	<b>Sources *</b>	<b>Recommended Actions</b>
Eutrophication	-Croton System -Other Watershed Areas	-Phosphorus	-WWTPs -Non-Point Source runoff -Stormwater runoff	-Identify/quantify sources of contaminants.* -Stormwater Management for nutrient control, agricultural and non-point source BMPs.
Turbidity, Sedimentation	-Ashokan -Schoharie	-Suspended clay and silt particles	-Stream bank and bed instability and erosion -Flooding - Stormwater runoff	-Identify/quantify sources of contaminants.** -Develop stormwater management plans for turbidity and sedimentation reduction -Develop stream management plans and stability restoration projects.
Pathogens (potential impairments)	-All Watershed Areas	-Bacteria -Viruses -Protozoa	-WWTPs -Stormwater runoff - IDDE -Failing septic systems -Wildlife -Agriculture	-Identify/quantify sources of contaminants.** -Develop stormwater management plans and implementation tools for ID. -Manage wildlife habitat. -Advance research on the fate and transport of pathogens
Organic wastewater compounds	-All Watershed Areas	-Pharmaceuticals -Endocrine Inhibitors -Endocrine Mimickers	-WWTPs -Failed septic systems	-Identify/quantify sources of contaminants. ** -Advance research on the fate and transport of organic wastewater compounds

**Note:**

\* May be "known" or "suspected"

\*\* If construction is necessary to implement these actions, the applicant must seek alternative funding sources for the construction cost portion.

NPS = Non-Point Source; BMP = Best Management Practices; WWTP = Wastewater Treatment Plant, IDDE = Illicit Discharge Detection and Elimination

# NYC Watershed Protection Program

## Information for Applicants

The Federal Safe Drinking Water Act (SDWA) was enacted to protect the quality of drinking water in the United States of America. Section 1443(d) of the SDWA established a Grant Program to provide financial assistance for projects as a part of the watershed program for protection and enhancement of the quality of source waters of the NYC water supply system. Eligible types of projects include those that demonstrate, assess, or provide for comprehensive monitoring and surveillance and those that are necessary to comply with the criteria for avoiding filtration. This SDWA Grant Program is administered by the New York State Department of Environmental Conservation (DEC) as part of the Department's Water Quality Improvement Projects: NYC Watershed Protection Program. The NYC watershed is an extraordinary and complex network of reservoirs, lakes, rivers and streams providing safe drinking water for more than nine million New Yorkers. It is one of the largest unfiltered surface drinking water systems in the world and work is ongoing to diligently safeguard this critical resource for future generations. Eligible projects must build on watershed protection efforts that help to improve water quality while enhancing and preserving the economy and rural character of local communities.

## Who may apply?

Eligible recipients include, but are not limited to, municipalities, Federal and State agencies, Academic Research Institutions, and not-for-profit organizations whose projects are located within the geographic boundaries of the NYC Watershed, and have the ability to meet the match requirements.

For the purposes of this RFA, **“municipality”** means a local public authority or public benefit corporation, a county, city, town, village, school district, community college, supervisory district, district corporation, improvement district within a county, city, town or village, or Indian nation or tribe recognized by the State or the United States with a reservation wholly or partly within the boundaries of New York State, or any combination thereof.

**“Academic Research Institution”** means an institution that provides post-secondary education (higher education), including courses of study through which faculty and students have opportunities to conduct advanced research. It also includes research centers that are closely associated with an institution of higher education.

**“Not-for-profit corporation”** means an organization formed pursuant to the not-for-profit corporation law and qualified for tax-exempt status under Section 501(c)(3) of the Federal Internal Revenue Code. Not-for-profits must have a valid registration number and must be current in their charities reporting requirements with the Office of the Attorney General.

## Are Partnering and Inter-municipal Applications encouraged?

Partnerships are encouraged, however there can only be one official “applicant name” on a grant application. The applicant must have a valid federal ID number in their name. If the project involves a cooperative agreement or partners, one of the eligible partners must be designated as the “lead” applicant and must assume the responsibility for entering into a contract with DEC in order to receive reimbursement of funding. The application must include letters of support from all participating partners and/or municipalities stating that they will participate in the project. If a municipal jurisdiction (for example, a county) passes a resolution authorizing a department under its jurisdiction to apply for funding, that department can apply only if they have a federal ID number in their name and have authority to sign contracts and receive funding.

**What are the geographic boundaries of the NYC Watershed?**

The proposed projects must be located within the NYC Watershed. The NYC Watershed is defined as the land area within the counties of Delaware, Greene, Schoharie, Ulster, Sullivan, Westchester, Putnam, and Dutchess that contribute to the water supply system of NYC.

**What types of projects are eligible for funding in the NYC Watershed Protection Program?**

All projects must meet the primary goal: to protect and enhance the quality or quantity of the NYC water supply, while preserving and enhancing the economic and social character of the communities in the NYC Watershed.

In past years, DEC's collaborative effort has effectively coordinated work efforts, including but not limited to, stormwater management and treatment, compliance and enforcement, technical assistance and operator training, inspections and sampling, total maximum daily load (TMDL) development, non-point source studies, GIS, ambient water quality monitoring, stream protection programs and education programs. Eligible projects must continue to further these efforts. Project proposals may also be submitted for any project that demonstrates, assesses or provides for the comprehensive monitoring and surveillance of the NYC Watershed.

To maximize local impact while ensuring that the NYC Watershed Management Plan goals are met, the DEC reserves the right to allocate funds among eligible grant types and/or to award a portion of a grant.

**Project types that will be considered under this grant program:**

1. Non-Point Source Abatement and Control
2. Assessment, Planning and Research
3. Outreach and Education

**How much funding is available for grants?**

The DEC anticipates approximately \$3,000,000 will be available from the Federal Safe Drinking Water Act and other available State funding. The total amount of available funding is dependent on the Federal and State budget process.

**Are matching funds required?**

Yes, NYC Watershed grants require matching funds. State assistance grants may fund up to 50% of approved and eligible project costs. The required matching share to be provided by the applicant is 50% of the approved project cost. Approved project cost is the sum of the grant award amount and the required match. Samples of eligible forms of match include, but are not limited to: labor, professional services, equipment, supplies and materials, and donated services from public and private sources.

## Is there a maximum grant award amount?

Yes, the maximum amounts per application are limited to the amounts shown in the following table:

NYC Watershed Program Projects Types	Maximum Grant Award Amount
A. Non-Point Source Abatement and Control	Up to \$250,000
B. Assessment, Planning and Research	Up to \$250,000
C. Outreach and Education	Up to \$100,000

## What types of costs are eligible/ineligible for reimbursement?

**Eligible Costs** - The following are examples of costs eligible for reimbursement under the NYC Watershed Program:

- costs for engineering and architectural services, surveys, plans and specifications, research, design and development of project;
- costs for directly related consultant and legal services;
- costs associated with monitoring, analysis and evaluation;
- costs for staff time/municipal work force time directly devoted to the project (including a limit of 15% for the fringe benefits rate);
- costs for special equipment (purchase/rental) and materials required to execute the project;
- costs for publicity, promotion and public education directly related to an operating or functioning project;

**Ineligible Costs** - The following are examples of costs ineligible for reimbursement under the NYC Watershed Program:

- costs of preparing the grant application;
- costs incurred prior to the award of the grant;
- costs defrayed by alternate sources of funding. (Acceptable sources of match will be dependent upon the source of funding. The NYC Watershed Program office can provide you with additional information on acceptable match requirements.)
- construction costs are not eligible for reimbursement, but may be used towards the applicant's match requirement.

## How will project applications be reviewed, evaluated and selected to receive grant funding?

All applications will first be reviewed according to the following eligibility criteria:

1. Is the applicant an eligible applicant?
2. Is the project located within the defined geographical boundaries of the NYC Watershed?
3. Is the application typed?
4. Is the application complete? Does the application contain all the completed application requirements listed below:
  - a) Part A - Applicant Information
  - b) Part B - General Project Information
  - c) Part C - Project Timing and Costs
  - d) Part D - Project Summary
  - e) Part E - Certification
  - f) Part F - Project Details
  - g) Part G - Project Budget and Funding Sources
  - h) Part H - Documentation of Water Quality Impairment
  - i) Part I - Coordinated Approach
  - j) Part J - Project Readiness

**Applications will be accepted continuously** and awards will be dependant on the scoring of the proposal and the availability of funding. Once an application is deemed to be eligible, it will be scored in accordance with rating criteria as described in the project scoring system section of this RFA (page 8), on a quarterly basis. Applications scoring greater than 350 points will be added to a waiting list of projects to be funded, regardless of project type. Applications on the project list will be selected for funding starting with the highest score and continuing down the list until available funding is exhausted.

Applications will be evaluated and ranked for potential funding based on: (1) project score and overall evaluation factor, and (2) available funding which will be based on the State and Federal budgeting process.

If the answer to any of the eligibility criteria questions is “No”, you will be notified in writing and your application review and evaluation will be delayed until your application is determined to be complete by DEC.

If the answers to all of the eligibility criteria questions is “Yes”, your application will be evaluated and scored in accordance with the general evaluation criteria contained in this RFA. A review panel comprised of DEC and other involved and appropriate State agency staff will score and evaluate all eligible applications received by DEC prior to the end of each calendar year quarter (March 31<sup>st</sup>, June 30<sup>th</sup>, September 31<sup>st</sup>, and December 31<sup>st</sup>). All scored and evaluated applications will be placed on the project list from highest to lowest numerical scores combined with an overall evaluation factor of High (H), Medium (M), or Low (L). If there is a numerical tie after the application has been scored, the overall evaluation factors will determine placement on the list. For example, if a project scores a 380 High, it will be funded before a project with a score of 380 Medium.

As future funding becomes available, project applications will be selected for funding quarterly, beginning with the highest ranked application on the project waiting list, regardless of the project type. Applications that score above 350 will remain on the waiting list in score order until their score becomes reachable for funding. As new applications are received they will be evaluated and scored at the end of each calendar quarter and scores above 350 will be incorporated into the project waiting list.

Applications that score below 350 will not be considered for funding. The DEC will notify the applicant in writing and the applicant may resubmit a new revised application for re-evaluation.

The DEC will coordinate a continuous, fair, and impartial recruitment procurement, and reserves the right to allocate funds or to award a portion of a grant request, if it is found to be in the best interest of the State. All eligible projects will be evaluated for cost-effectiveness.

The project waiting list will be maintained by the DEC, Division of Water, NYC Watershed Section.

**How will I be notified by DEC if my project becomes reachable to receive grant award?**

The DEC will send you an official grant award notification letter when your project is identified as reachable for funding on the DEC application waiting list.

**When will grant funding be made available to successful grant applicants?**

Applicants must plan their financial arrangements accordingly. This is a reimbursement grant program and applicants selected to receive a grant will be required to document all project-related expenditures in order to receive state assistance funds. Grantees will be required to enter into a state assistance contract with DEC in order to receive reimbursement payments. The contract will include: a project budget, performance time line, project scope of work, Appendix A-Standard State Clauses and Appendix B-DEC Standard Clauses. A grantee may begin work on their project once a contract is fully approved (signed between the grantee and DEC, and approved by the Attorney General’s Office (AG), and the Office of the State Comptroller (OSC), if applicable.) Payment requests must be submitted to DEC on a state assistance voucher and must be accompanied by copies of expenditure documentation (receipts, invoices, cancelled checks, etc.).

**How long do I have to complete the project?**

The DEC anticipates projects will be completed within one year from the date of a grant award letter. The contract term will begin with the date of the award letter and will terminate approximately one year from that date. Projects not completed within the one-year term may receive an extension upon written request and approval by DEC and if applicable, approved by OSC. Project related costs eligible for reimbursement must be incurred within the contract term.

**Who is eligible to receive an advance payment?**

Advance payments, not to exceed 25 % of the grant award amount, may be available to a not-for-profit organization once a state assistance contract is fully approved by DEC. Pursuant to State Finance Law, municipalities are not eligible to receive an advance payment.

**Do Affirmative Action/Equal Employment Opportunity goals apply to my project?**

Yes, Affirmative Action/Equal Employment Opportunity goals, pursuant to Article 15-A of the Executive Law, pertains to Minority and Women-Owned Business Enterprises (MWBE)/Equal Employment Opportunity (EEO.) State contracts having total project costs in excess of \$25,000 must make a good faith effort to comply with the MWBE/EEO goals identified in Attachment A of this RFA. Applicants selected to receive a grant will be required to document and certify their compliance with these regulations.

**Additional Requirements**

All projects must comply with the Uniform Fire Prevention and Building Code, the State Labor Law, and the Workers' Compensation Law. It is the applicants responsibility to comply with all applicable laws and permitting requirements required by Local, State or Federal Law.

**What grant preparation assistance is available?**

For general information on completing this application and for clarification of application requirements, contractual terms and procedures, contact:

**Bruce Mussett**  
**NYS DEC**  
**625 Broadway**  
**Albany, NY 12233**  
**Phone 518-402-8164**  
**Fax 518-402-8082**  
**email: [bbmusset@gw.dec.state.ny.us](mailto:bbmusset@gw.dec.state.ny.us)**

Applications are available on-line and can be downloaded and filled in electronically at: <http://www.dec.ny.gov> Applications may not be filed on-line.

**Eligible Project Types and Rating Criteria:**

To meet eligibility criteria, projects must address one or more of the following:

1. Implement management practices.
2. Present economically, technically viable and cost-effective solutions to water quality problems.
3. Contribute to a comprehensive and coordinated approach to solving water quality problems that can be implemented and maintained.
4. Address problems identified in the New York State DEC's Priority Waterbodies List.
5. Are consistent with water quality policies in NYC Memorandum of Agreement, NYC Filtration Avoidance Determination, Local Waterfront Revitalization Programs and/or County Water Quality Strategies.

## Application Scoring

**The following rating criteria will be used to evaluate and score your project. You may use this rating criteria and the Project Score Sheet on page 13 to estimate how high your project may score.**

The project scoring system described below is one component that will lead to selection of projects for funding. The emphasis of the scoring system is to evaluate projects in terms of their potential positive impact on water quality and aquatic habitat by assessing the threat to water quality or habitat currently posed; the extent to which the proposed project will reduce that threat; the congruency of the project with management plan priorities; and the cost-effectiveness of the project. All projects must be consistent with Federal and State policies and requirements.

### Project Scoring System

The numerical scores are based on the following:

- A. Immediacy of threat to the resource
- B. Severity of threat to the resource and risk reduction represented by the project
- C. Management Priorities
- D. Cost effectiveness

The total numerical score for the project being scored is the sum of the scores for A, B, C and D. The resulting scores are one element of the overall evaluation process.

### **A. Immediacy of Threat to the Indicated Resource - Total Possible Points = 100**

The proposed project receives a score based on one of the factors (1-4) listed below which best describes the most immediate threat to the resource that will be resolved by the proposed project.

#### **1. Immediate threat - 100 points**

Existing conditions are such that, in the absence of the proposed project, water quality or habitat will be degraded such that a) the waterbody would be eligible for listing on the Priority Waterbody List as “use-impaired” or “use-precluded,” or b) the ability of the habitat to support designated uses will be impaired or precluded.

#### **2. Expected Threat - 50 points**

The combination of existing conditions and reasonably expected changes in practices or land-use will, in the near future, result in a degradation of water quality or habitat such that a) the waterbody would be eligible for listing on the Priority Waterbody List as “use-impaired” or “use-precluded,” or b) the ability of the habitat to support designated uses will be impaired or precluded. This may include listing of a waterbody on the Priority Waterbody list as “use-stressed” or “use-threatened.”

#### **3. Potential threat - 20 points**

The project will prevent shifts in practices, land use or the introduction of activities generally recognized as contributing to degradation of habitat or water quality.

#### **4. No threat - 0 points**

**B. Severity of Threat and Risk Reduction - Total Possible Points = 200**

**1. Classification Points Factor (CPF) - Total Possible Points = 8**

Points are allotted to a project on the basis of the New York State-assigned classification of the waterbody, or where higher, the downstream surface waters, the use of which is potentially impaired. Information regarding the above can be found at: <http://www.dec.ny.gov/chemical/36730.html>

**2. Severity of Threat Factor (STF) - Total Possible Points = 5**

Points are allotted to a project based on the reasonably anticipated severity of impairment of the best usage of the affected waterbody or habitat, as indicated in the Priority Waterbodies List (PWL), a groundwater assessment report, or other approved documentation. Information regarding the above can be found at: <http://www.dec.ny.gov/chemical/36730.html>

**3. Potential Reduction of Risk Factor (PRRF) - Total Possible Points = 5**

Points are allotted to a project based on its potential to reduce the risks of future impairment to water or habitat quality. In assessing potential risk reduction, consideration will be given to:  
a) the extent that a proposed project contributes to a comprehensive and coordinated approach to reducing the risks to water quality that reflects local needs and enhances the ability of local officials to address the other non-point source problems contributing to the impairment of the waterbody; and,  
b) whether the proposed project specifically targets the priorities identified in such a coordinated approach, the relative proportion of a pollutant or disturbance risk being reduced or eliminated, and whether other pollutant sources or conditions remaining after project construction would prevent long term protection of a waterbody or aquatic habitat.

Severity of Threat and Risk Reduction (STRR) is calculated using the following equation:

$$\text{STRR} = \text{CPF} \times \text{STF} \times \text{PRRF}$$

**B. Severity of Threat and Risk Reduction**

**1. Water Quality Classification Points Factor (CPF) - Total Possible Points = 8**

Classification	Description	Points
AA, GA (primary water supply aquifer), AA special	Specially protected high quality drinking waters	8
A, A special, GA (other), GSA	Other drinking water	6
B, C(T)1, C(TS)1	Contact recreation, trout and trout propagation	4
C2, I	Other fishing	3
D, GSB	Other water uses	2
No resource is impaired		0

Note:

- 1 - (T) and (TS) indicate the application of standards to protect trout and trout spawning respectively
- 2 - Classification C without (T) or (TS) appended

**B. Severity of Threat and Risk Reduction (continued)**

**2. Severity of Threat Factor (STF) - Total Possible Points = 5**

<b>Impairment</b>	<b>Priority Waterbodies List (PWL) and Aquatic Habitat Definition</b>	<b>Points</b>
Precluded	It is reasonably anticipated that a use would not be possible. For example: - consumption of fish or wildlife would be banned - the area would be prevented from providing aquatic habitat function for spawning, nursery, wintering, migratory, nesting, breeding, feeding or foraging	5
Impaired	It is reasonably anticipated that a use could not be fully met. For example: - fishing would be possible, but consumption would be restricted - area would provide limited aquatic habitat function for spawning, nesting, breeding, feeding or foraging, with clear evidence of cause of impairment	4
Stressed	It is reasonably anticipated that a water quality or aquatic habitat problem would be evident, but impairment would not necessarily result. For example: - a stream would run turbid with sediment after rainfall - an area would provide aquatic habitat function with evidence of degradation, but with no clear cause of degradation or impairment of function	3
Threatened or none	There is no clear threat to future water quality or aquatic habitat, but activities generally accepted as stressors to water quality or habitat value would occur.	2

**3. Potential reduction of risk factor (PRRF) for protection projects - Total Possible Points = 5**

<b>Risk Reduction Factor</b>	<b>Points</b>
Reduction of threat from “Immediate” to “No Threat”	5
Reduction of threat from “Immediate” to “Potential”	4
Reduction of threat from “Immediate” to “Expected” or “Expected” to “Potential”	3
Reduction of threat from “Potential” to “No Threat”	2
No reduction of risk	0

**C. Priorities for Projects - Total Possible Points = 100**

Points are assigned to proposed projects on the basis of priorities identified in management programs. A project receives points for one of the factors listed below that best applies.

		<b>Points</b>
1	Project <i><b>significantly</b></i> furthers a Management Plan <i>priority</i> , and is consistent with and would advance policies or recommendations in the NYC Memorandum of Agreement, NYC Filtration Avoidance Determination, Local Waterfront Revitalization Programs, the New York State Non-Point Source Management Plan, or an approved watershed or habitat management plan.	100
2	Project <i><b>substantially</b></i> furthers a Management Plan <i>priority</i> , and is consistent with and would advance policies or recommendations in the NYC Memorandum of Agreement, NYC Filtration Avoidance Determination, Local Waterfront Revitalization Programs, the New York State Non-Point Source Management Plan, or an approved watershed or habitat management plan.	50
3	Project <i><b>further</b></i> s a Management Plan <i>priority</i> , and is consistent with and would advance policies or recommendations in the NYC Memorandum of Agreement, NYC Filtration Avoidance Determination, Local Waterfront Revitalization Programs, the New York State Non-Point Source Management Plan, or an approved watershed or habitat management plan.	25
4	Proposal <i><b>addresses</b></i> a water quality or habitat threat and is consistent with water quality policies or recommendations in the NYC Memorandum of Agreement, NYC Filtration Avoidance Determination, Local Waterfront Revitalization Programs, the New York State Non-Point Source Management Plan, an approved watershed or habitat management plan, a current county water quality strategy, or New York State’s Open Space Conservation Plan.	10
5	None of the above	0

**D. Cost Effectiveness - Total Possible Points = 130**

All eligible projects will be evaluated for cost-effectiveness. Projects, in the review and selection of grant awards, will be evaluated to be either cost effective or not. Reasonable costs will be evaluated in accordance with clear thinking and good judgement, costs should be within the limits of reason, not excessive, and moderate.

- **Projects that demonstrate exceptional cost effectiveness - 130 points**
- **Projects that do not demonstrate cost effectiveness - 0 points**

**E. Evaluation Factor**

In determining eligibility and evaluating applications, due consideration will be given to suitability and feasibility of the project in relation to the goals of the respective funding type. Factors that will be considered include:

- Whether the proposed project addresses an identified water quality impairment, a high priority pollutant or disturbance causing impairments, or a source of priority pollutants or disturbances.
- Whether the proposed project implements a recommended action to restore water quality.
- “High, Medium, or Low” - Priority of the project in relation to other projects proposed under the funding category.
- Highest priority shall be given to projects which provide the greatest reduction in pollutants and are identified as priorities in the respective management program.
- Performance of the applicant in carrying out previously funded projects.
- Availability of matching funds on the part of the applicant, where applicable.
- Urgency of need for funds based on availability of other funding sources

**Department of Environmental Conservation Evaluation Factors Score Sheet**

		HIGH	MEDIUM	LOW
1.	Presents economically, technically viable and cost-effective solutions to water quality problems.			
2.	Contributes to a comprehensive and coordinated approach to solving water quality problems that can be implemented and maintained.			
3.	Demonstrates urgency of need for State funds based on availability of other funding sources. If “high”, check one of the following: <input type="checkbox"/> SRF listed/reviewed <input type="checkbox"/> Judgment of review team, e.g. ability to leverage funds.			
4.	Projects readiness, status of required permits (SEQR status, land ownership issues, plans and specifications)			
5.	Shows experience and ability by the applicant and project staff to undertake and maintain the proposed project.			
6.	Shows strong evidence of local and landowner/operator support.			
7.	Promotes the multiple use of the aquatic resources targeted for restoration.			
8.	Uses proven technology or approved innovative technology.			
9.	Provides a wide-spread public benefit if a project is a state-sponsored project.			
10.	Reduces risk to public health or the environment.			

Overall Evaluation Factor (*Circle one*)

**High    Medium    Low**

**Project Score Sheet**

**A. Immediacy of Threat**

**A** .  
\_\_\_\_\_

**B. Severity of Threat and Risk Reduction**

Receiving Water Name \_\_\_\_\_

Classification Points Factor (CPF) (0 to 8) \_\_\_\_\_

Severity of Threat Factor (STF) (1 to 5) \_\_\_\_\_

Potential Risk Reduction Factor (PRRF) (0 to 5) \_\_\_\_\_

STRR = (CPF X STF X PRRF)

**B** .  
\_\_\_\_\_

**C. Priorities**

**C** .  
\_\_\_\_\_

**D. Cost Effectiveness**

**D** .  
\_\_\_\_\_

**E. Overall Evaluation Factor** (Circle one)

**High**

**Medium**

**Low**

**TOTAL PROJECT SYSTEM SCORE** (A + B + C + D):

\_\_\_\_\_

(Total possible points = 530)

## **NYC Watershed Grants Program Application Instructions and Checklist**

An eligible applicant may apply to the DEC for state assistance. Please read this entire package of information and include all required documentation at the time the application is submitted.

**Applications will be accepted continuously. All mailed grant packages must be clearly marked: NYC Watershed Program Grant Application. Send completed applications to:**

**Bruce Mussett  
NYC Watershed Section  
Division of Water  
NYS Department of Environmental Conservation  
625 Broadway, 4<sup>th</sup> Floor  
Albany, NY 12233-3508.**

### **PLEASE SUBMIT 5 COPIES**

#### **Instructions for Completing Application Package**

##### **1. Application Form**

Applications forms are available on-line on DEC's website, and can be downloaded and filled in electronically at: <http://www.dec.ny.gov>

**PLEASE NOTE : Applications may not be filed on-line.**

##### **Application Process:**

Applications will be accepted continuously, and evaluated and reviewed by the DEC as they are received. Applications will be scored and added to the list of eligible projects.

##### **Funding Source:**

Funds will be available from the Federal Safe Drinking Water Act (SDWA), and the New York State Watershed Protection Program.

#### **Instructions for Completing Parts A-J**

##### **Part A. - Applicant Information**

1. **Project Applicant:** Provide applicant's name. There can only be one official "applicant name" on a grant application. The applicant must have a valid federal ID and a current charity registration number (for appropriate not-for-profits) in their name. If the project involves a partnership, one of the affiliates must be designated as lead and assume the responsibility for entering into a contract to receiving the funding. The application must include letters of support from all the participating partners and/or municipalities stating that they will participate in the project. If a municipal jurisdiction (for example, a county) passes a resolution authorizing a department under its jurisdiction to apply for funding, that department can apply only if they have a valid federal ID number in their name, and have authority to sign contracts and receive funding.
2. **Federal ID Number:** Provide applicant's federal identification number.
- 3-6. **Project Applicant's Address and Contact Person, Telephone, and Address:** Provide the mailing address of the applicant (No. 3). For the contact person (Nos. 4 - 6), provide the name, telephone number, address and email address of the representative whom you want to be notified about the status of the application. It is important to provide a contact person, as this is who the official award letter will be sent to if the application is successful.

## **Part B. - General Project Information**

1. **Project Name**: Provide a brief working name and description for your project.
2. **Project Location**: Identify the project location by providing the county(ies) and zip code(s). Provide the latitude and longitude for the approximate center of the project area. Include the hydrologic unit code (HUC) for the area in which the project is located. This information will be used to more exactly determine a project's location(s) and relationship to other activities within the watershed. Also, attach an 8 ½ x 11 map **to scale** identifying the project location; this map will be distributed to review team members with the application.
3. **Project Type**: Check the box(es) that indicates for which project type you are applying.

## **Part C. - Project Timing and Costs**

- 1-2. **Schedule**: Provide the proposed starting date and the estimated completion date of the project. Projects should only commence once a contract is executed between the applicant and DEC. Applicants will not be reimbursed for expenses incurred prior to or after the contract term start and end dates.
  - 3-5. **Project Cost**: Complete Part G, the Project Budget and Funding Sources section, BEFORE completing this section. The dollar amounts for questions 3-5 will be the same as those entered in Part G.
- NOTE: The local match requirements for project sponsors should be to equal to the amount of the funding requested.

## **Part D - Project Summary**

Provide a brief summary statement that describes the proposed project.

## **Part E - Certification**

The applicant must certify the information contained in this application is true to the best of his or her knowledge and belief.

## **Instructions for Completing Parts F and H-L**

For each question, responses should fit into the allotted space. Do not attach additional sheets except where specifically stated it is allowed. If a question is not applicable to your project, use N/A.

## **Instructions for Completing Part G - Project Budget and Funding Sources**

### **Project Budget**

Fill in the project budget chart, estimating costs for each expenditure category that is eligible for funding. The total project cost may not exceed the authorized amount considered in the applicant's bond resolution or ordinance or State Comptroller's approval, where applicable. In cases where the proposed project includes several components and/or involves work in multiple locations, use copies of the budget sheet to provide a budget breakdown for each component or location where work will be performed.

## **Funding Sources**

It is necessary for all applicants to show **all** sources of long-term funding for each project/component (e.g., municipal contributions, grants, loans, etc.). **NOTE:** While a project might be partially funded from other state or federal grant programs, federal grant dollars received for the project are prohibited from being used for the local match of the project. If you intend to apply, have applied, or have received a commitment for other supplemental or alternative grants and loans (e.g., U.S. Department of Agriculture Rural Development grant and/or loan, U.S. Housing and Development (HUD) grant, Clean Water SRF long-term loan; Environmental Protection Fund (EPF) grants from Departments of State or Agriculture & Markets, etc.), please indicate the name of the funding source, the status of funding, and the amount of these funds.

## **Submittal of Applications**

### **To be considered for funding you must submit:**

- A cover letter requesting funding on letterhead of the Applicant.
- One **double-sided, unbound** original application form which has been endorsed by the individual authorized to do so. The application **must** include the following.
  - 8 ½ x 11 map **to scale** identifying your project location.
  - One page Waterbody Data Sheet from DEC's Priority Waterbodies List, if applicable.
- Five (5) copies** of all materials listed above EXCEPT for the USGS and/or DOT maps, enforcement instrument and letters of intent.

### **Send application package to:**

**Bruce Mussett  
NYC Watershed Section  
Division of Water  
NYS Department of Environmental Conservation  
625 Broadway, 4<sup>th</sup> Floor  
Albany, NY 12233-3508.**

For technical assistance with applications, contact:

NYSDEC, Division of Water:            Bruce Mussett (518) 402-8164

Attachment A

Minority and Women-Owned Business Enterprises (M/WBE)/Equal Employment Opportunity (EEO)

Pursuant to Article 15-A of the Executive Law, and any applicable regulations promulgated thereunder, applicants for state assistance programs must implement a comprehensive Minority and Women-Owned Business Enterprises-Equal Employment Opportunity (M/WBE-EEO) program when the requested assistance amount equals or exceeds \$25,000 for equipment, services and supplies; or if the requested assistance amount equals or exceeds \$100,000 for the acquisition, construction, major repair or renovation of real property.

Additionally, applicants will ensure to the fullest extent possible that the Affirmative Action and EEO requirements of Title VI of the Civil Rights Act of 1964 and any applicable federal rules and regulations are applied to federal funds for prime contracts or subcontracts for construction, equipment, supplies and services. The M/WBE-EEO goals are required to be placed on the entire project cost, not only on the State/Federal assistance being provided. All contracts that are funded with Federal monies are required to have M/WBE-EEO goals regardless of the expected value.

A list of Certified M/WBE enterprises can be obtained via the internet from the NYS Department of Economic Development at <http://205.232.252.35/>.

The following M/WBE-EEO “Fair Share” goals have been established as follows:

<u>Minority Business Enterprise (MBE) Participation Goals</u>	
<u>Location/Commodity Group</u>	<u>MBE Goals</u>
NYC Region (DEC Regions 1 & 2)	
Construction/Engineering	21.5%
Commodities	18.8%
Services/Technologies	18.8%
Upstate Region (DEC Regions 3-9)	
Construction/Engineering	6.0%
Commodities	8.8%
Service/Technologies	8.8%
<u>Women’s Business Enterprise (WBE) Participation Goals</u>	
<u>Location/Commodity Group</u>	<u>MBE Goals</u>
NYC Region (DEC Regions 1 & 2)	
Construction/Engineering	13.7%
Commodities	20.5%
Services/Technologies	20.5%
Upstate Region (DEC Region 3-9)	
Construction/Engineering	6.0%
Commodities	8.8%
Services/Technologies	8.8%
<u>Equal Employment Opportunity (EEO) Participation Goals</u>	
<u>EEO Minority Workforce Participation Goals</u>	
(DEC Regions 1- 9)	10%
<u>EEO Female Workforce Participation Goals</u>	
(DEC Regions 1-9)	10%

Questions regarding Attachment A should be directed to:

New York State Department of Environmental Conservation  
 Bureau of Affirmative Action & Minority/Women's Business Programs  
 625 Broadway 10th Floor  
 Albany, New York 12233-5028  
 (518)-402-9311  
 (518)-402-9023 Fax