New York State
Department of Environmental Conservation

2013 Water Quality Improvement Projects Program

Round 11
Information for Applicants

Application Deadline: November 8, 2013

Application Deadline Extended: December 13, 2013
IMPORTANT NOTICE FOR VENDORS/APPLICANTS/GRANTEES:

This Spring, New York State began the work of fulfilling Governor Cuomo’s transformation initiative to reform the State’s grant contracting process by simplifying and streamlining the grants management process. On May 15, 2013, a web-based grants management system, Grants Gateway, was launched at: https://grantsgateway.ny.gov The Grants Gateway is an online system that will allow vendors to browse anticipated and available grant opportunities, providing a one-stop location that will improve the way grants are administered by the State of New York.

Prequalification Requirement for Not-for-profit Applicants

The State of New York has implemented a new statewide prequalification process designed to facilitate prompt contracting for not-for-profit vendors. Interested vendors are asked to submit commonly requested documents, and answer frequently asked questions once. The application requests organizational information about the vendor’s capacity, legal compliance, and integrity. To learn more about prequalification, go to the Grants Reform website (http://www.grantsreform.ny.gov/Grantees) where you can preview the questions and required documents.

All not-for-profit vendors are required to prequalify prior to grant application. Vendors are strongly encouraged to begin the process as soon as possible in order to participate in this RFP bid competition.

Following is a summary of the steps that must be undertaken in order for you to prequalify.

- Go to the Grants Reform website (http://www.grantsreform.ny.gov/Grantees) and download a copy of the Registration Form. Please review the instructions for submission of this Form. The form must be signed and notarized by an authorized representative of your organization, and must be sent to the Division of Budget as soon as possible in order to gain access to the Grants Gateway to enable prequalification.

- Upon submission of your Registration Form, you will be provided with a User ID allowing you to gain access to the Gateway. From there, please logon to the Gateway System (https://grantsgateway.ny.gov/IntelliGrants_NYSGG/login2.aspx) and begin your Prequalification Application.

- Vendors who already submitted registration materials and received their user credentials can begin to upload documents into the Document Vault and complete their online Prequalification Questionnaire.

- As you fill out the Questionnaire, please refer to the Gateway Training Materials and resource links posted on the “grantees” section of the Grants Reform website to help you navigate the questionnaire. If you still have questions, simply contact your State agency program contact, or post your question to GrantsReform@Budget.ny.gov, and someone will get back to you quickly with a response.

If you have any questions about prequalification, please go to the Grants Reform website or contact your State agency representative.
Important Information

Application Due Date: November 8, 2013

Deadline extended to December 13, 2013

Application Submission: Send one (1) signed hard copy plus one (1) electronic copy in Adobe PDF format. The electronic copy should include a copy of the signed cover letter. Applications must be postmarked and e-mailed by December 13, 2013. We are unable to accept hand delivered or facsimile applications.

Send Hard Copies To: Attention: Water Quality Improvement Projects
New York State Department of Environmental Conservation
Division of Water
625 Broadway, 4th Floor
Albany, New York 12233-3507

E-mail Electronic Copies To: wqipuser@gw.dec.state.ny.us
If your file is too large to be e-mailed, include a copy on compact-disc with the hard copy of your application.

A COMPLETE Application Package Includes:

- Cover letter
- Complete application
- 8 ½ x 11 map of the project area.
- One page Waterbody Data Sheet(s) from DEC’s Waterbody Inventory/Priority Waterbodies List (WI/PWL): http://www.dec.ny.gov/pubs/42978.html#pwl
- Non-agricultural Nonpoint Source Abatement and Control Applicants ONLY: Pollution Load Reduction Estimate
- MS4 Applicants ONLY: Letters of intent from cooperating municipalities, SPDES permittees and MS4s.

Questions:
Send questions via email to wqipuser@gw.dec.state.ny.us. Questions will be accepted until 4 PM on October 11, 2013. Questions and answers will be posted continuously to http://www.dec.ny.gov/pubs/4774.html.

Deadline for submitting questions has been extended to November 15, 2013 until 4PM.
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WQIP Overview
The Water Quality Improvement Project (WQIP) program is a competitive, statewide reimbursement grant program open to local governments and not-for-profit corporations for projects that directly address documented water quality impairments. The New York State Department of Environmental Conservation (DEC) administers this grant program.

Funding
Funding for the program is primarily from the New York State Environmental Protection Fund (EPF). Round 11 has the following funding available:

- Non-agricultural Nonpoint Source Abatement and Control line in the EPF ($18.4 million) for non-agricultural nonpoint source projects statewide.
- Water Quality Improvement Program line in the EPF ($12.8 million)
  - ($8.8 million) for wastewater treatment, aquatic habitat restoration and/or municipal separate storm sewer systems (MS4) projects statewide.
  - ($4 million) for resiliency projects implementing natural infrastructure designed to mitigate the impacts of floods, storm surge and other effects of climate change.
- Peconic Estuary Program in the Bond Act ($2 million) for nonpoint source, wastewater and/or aquatic habitat restoration projects, only in the Peconic Estuary.
- NY Works II ($12 million) for wastewater effluent disinfection and failing on-site treatment systems.
- Federal Clean Water Act (CWA) Section 319 for Coastal Nonpoint Source Projects ($190,716).

Additional funding may be used towards projects received in response to this Request for Proposals (RFP). Total awards will not exceed $63 million.

Eligibility Guide
The following section will help you quickly determine if your project would be eligible for consideration in the WQIP grant program. Before filling out an application, applicants must determine which of the project types they will apply for and read the complete project type description, which gives specific information and criteria regarding that project type.

Who are eligible applicants?
Generally, applicants meeting the following criteria are eligible for WQIP funds. There is some variability among eligible applicants for specific project types. Detailed definitions of the eligible applicants listed below can be found in Appendix 1.
- Municipalities
- Municipal corporations
- Soil and Water Conservation Districts
• Not-for-profit corporations, (Only aquatic habitat restoration projects)

**What project types and activities are eligible for funding?**

The WQIP program provides reimbursement for eligible portions of the cost of implementing projects. The types of projects that will be funded fall into the following categories. Further detail on eligible costs is in the criteria for each project type.

- Non-agricultural Nonpoint Source Abatement and Control
- Municipal Wastewater Treatment Improvement
- Aquatic Habitat Restoration
- Municipal Separate Storm Sewer Systems (MS4s)

<table>
<thead>
<tr>
<th>Eligible Project Types</th>
<th>Eligible Applicants</th>
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<tr>
<td></td>
<td>Municipality</td>
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<tr>
<td>Non-agricultural Nonpoint Source Abatement and Control</td>
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<tr>
<td>Municipal Wastewater Treatment Improvement</td>
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<td>Aquatic Habitat Restoration</td>
<td>X</td>
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<tr>
<td>Municipal Separate Storm Sewer Systems (MS4s)</td>
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Watershed Programs
The Round 11 RFP has taken into consideration priority activities identified by New York State watershed program coordinators. These priority activities, as well as the goals identified in watershed action agendas and Watershed Implementation Plans, have been incorporated into the descriptions for each project type. Applicants are encouraged to review the Watershed Implementation Plans or Action Agenda for each watershed to assist with the identification of eligible projects. The watershed programs along with links to the program webpage are:

<table>
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<tr>
<th>Watershed</th>
<th>Coordinator</th>
<th>Webpage</th>
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Application Reminders

**Waterbody Inventory/Priority Waterbodies List (WI/PWL)**
To be eligible to receive a grant, a project must address a documented water quality impact or threat. The primary source of water quality impact information is the New York State WI/PWL. Individual waterbodies and their associated water quality impacts are listed on the WI/PWL and applicants should use this information as they prepare their application. A Waterbody Data Sheet from the WI/PWL for the nearest waterbody affected by the project is required to be submitted as part of the application package. The WI/PWL is available on the DEC website through Google Earth and in PDF at: [http://www.dec.ny.gov/pubs/42978.html#pwl](http://www.dec.ny.gov/pubs/42978.html#pwl).

**Map**
A map showing the location of the proposed project is a required part of the WQIP application. The entire map must fit on the 8 ½ x 11 sheet of paper and clearly show the location of the project.

**Required Permits**
Sometimes local, state, or federal permits have to be obtained prior to starting a project and it can take a long time to get these permits. Prior to submission of a WQIP application, the applicant is expected to have secured all necessary permits for the proposed project or have submitted an application to the appropriate regulatory agency for the required permit. A list of all necessary permits and the status of the permits is required in the application. Agencies that may require a permit for a WQIP project include:

- New York State Department of Environmental Conservation
- United State Army Corps of Engineers
- Local planning
- Local zoning

**Smart Growth**
New York State’s Smart Growth Public Infrastructure Policy Act (Act), Environmental Conservation Law Article 6, requires DEC and all state infrastructure agencies to assess whether each public infrastructure project that receives State funding is consistent with the State Smart Growth Public Infrastructure Criteria specified in the Act. Questions in the Round 11 Application address this policy.
Pollutant Reduction Estimate (Non-agricultural Nonpoint Source Abatement and Control projects only)

All nonpoint source applicants are required to complete and submit a Pollutant Reduction Estimate with the application, which estimates the pollutant load reductions resulting from the project.

Applicants must use one of the following models to estimate the pollutant load reductions:

- Revised Universal Soil Loss Equation (RUSLE). Instructions for using the equation, as well as examples, can be found in Appendix A of the New York State Standards and Specifications for Erosion and Sediment Control, August 2005, available on DEC’s website at: http://www.dec.ny.gov/docs/water_pdf/appendixa1.pdf. An additional website describing improvements to RUSLE, known as RUSLE2, is located at: http://fargo.nserl.purdue.edu/rusle2_dataweb/RUSLE2_Index.htm

- STEPL, or the Spreadsheet Tool for Estimating Pollutant Load. A description of this model can be found at: http://it.tetratech-ffx.com/steplweb/models$docs.htm

Regional Economic Development Council Recommendation

In 2011, Governor Cuomo created the Regional Economic Development Councils (REDC) to promote statewide economic development. As part of the REDC initiative, the Governor has directed state grant programs to take into consideration the recommendations made by the relevant REDC or the Commissioners’ determination that the proposed project aligns within the regional strategic priorities of the REDC region where the project is located. This can be accomplished in one of two ways:

1. The applicant may obtain a recommendation from the REDC stating that the proposed project aligns with priorities of the economic development plan developed by the REDC. The recommendation must be included with the application to receive three (3) points in the application review. OR

2. The applicant can attach a supplemental narrative to the application describing the economic benefits of the proposed project and how the project aligns with the strategies of the regional economic plan. The narrative must be included with the application to receive three (3) points in the application review.

Criteria for Application Review

Process of Reviewing and Selecting Projects

All applications submitted for WQIP funding go through the following process of review, evaluation and scoring:

1. Applications are checked for completeness (see Round 11 Application Package Completion checklist on the last page of the Application). Incomplete applications are rejected and do not progress further in the review process.
2. Complete applications are reviewed for eligibility based on the definitions of eligibility for each project type. Ineligible applications are rejected and do not progress further in the review process.

3. Eligible applications are reviewed, scored and evaluated resulting in both a numeric score and an evaluation factor (high, medium or low). The numeric score indicates the environmental significance of projects based on the severity of water quality or habitat problems, the value of the resource, the nature of the problems and the potential for improvement. The evaluation factor reflects the cost-effectiveness and technical feasibility of projects as well as the urgency of need for funding and degree of coordination and local support. The score and evaluation is based on the criteria outlined for each project type and the scoring system described in Appendix 3. If during the review, scoring and evaluation process a project is found to be ineligible, it will be rejected and will not progress further in the review process.

4. Applications are then ranked. Applications will be ordered by score and evaluation factor within each project type. Applications will be selected by project type in scored order, taking into consideration those projects with greatest environmental benefit and the projects that will be the most cost effective. A total of 20% of the final ranking will be based on the cost effectiveness of the project.
**Water Quality Priority**

Projects that significantly address “precluded” or “impaired” waterbodies, as listed in the Waterbody Inventory/Priority Waterbodies List, are the highest priority and will receive a higher numeric score. Projects that significantly address “stressed” or “threatened” waterbodies, as listed in the Waterbody Inventory/Priority Waterbodies List, are the secondary priority and will receive a lower numeric score.

**Evaluation Criteria**

The following evaluation factors play a significant role in the scoring and review process.

1. Economic and technical viability, and cost-effectiveness
2. Comprehensive and coordinated approach of the applicant to implementing the proposed project
3. Urgency of need for WQIP funds to implement the proposed project
4. Project readiness
5. Experience and capacity of the applicant to undertake the project

**How will I know if I am awarded funding?**

DEC anticipates awards will be made within three to six months from the application due date. Awards will be posted on the DEC website at http://www.dec.ny.gov/pubs/4774.html. Grant recipients will be directly contacted by DEC with news of their award and information on how to proceed with a contract in order to receive grant funding.

**What do grant recipients have to do to receive their grant funds?**

Applicants selected to receive a grant award will be required to complete and sign a State of New York Master Contract (MGC) and will be required to comply with Statewide, Agency and Program terms and conditions, and payment and reporting requirements as identified in the MGC. The MGC is incorporated in this RFA and applicants must carefully review, fully understand all MGC terms and conditions, and be prepared to comply with all such terms and conditions should the applicant receive a grant award as a result of this competitive state assistance procurement. The MGC for Water Quality Improvement Projects (WQIP) can be viewed at: http://www.dec.ny.gov/44916.html

To receive grant funding, the grant recipient must enter into a state assistance contract with New York State. There are several documents that must be completed and approved before the contract can be executed. Once a contract is fully approved by the Attorney General’s Office and the Office of the State Comptroller, the grant recipient can request reimbursement payments from the state for work completed within the term of the contract. Below is a brief overview of the documents that grant recipients will be required to submit for their contract. Failure to submit these documents could cause an applicant to lose their award.
The contract states the obligations of the grant recipient. Contracts have a maximum term of 5 years, but the DEC prefers a shorter term of 2-3 years. The DEC reserves the right to withdraw a grant award if a grant recipient fails to enter into a contract in a timely manner. A sample timeline outlining the steps for execution of a WQIP contract can be found in Appendix 4.

Documents Needed for a Contract to be Executed

**Project Workplan**
The project workplan is the first step in the contract development, and the contract process cannot progress until the project workplan is approved. The project workplan describes the work to be completed in more detail than the project application. Grant recipients will be provided a template and are expected to submit an approvable workplan. The DEC will review the workplan, and either approve it or provide comments. If there are comments, the grant recipient is expected to address any comments quickly and return the revised project workplan to DEC for review. To reduce the number of comments, it is recommended that applicants work with their regional DEC staff starting with preparing the application and continuing with workplan development. The project workplan also provides a mechanism for tracking and evaluating progress of project implementation.

**Budget Sheet Detailing Match Funds**
Every WQIP project requires that a grant recipient provide a local investment, called match funds. Each project type includes information about the amount of match funds that the grant recipient must provide. The grant recipient must include information about how they will meet their match funds requirements in the project workplan budget sheet included in the project workplan template. Services identified for reimbursement and for use as match funds must be paid for between the start and end date of the contract.

**Minority and Woman-owned Business Enterprise (M/WBE) and Equal Employment Opportunity (EEO) Goals**
The DEC has established Minority and Women-owned Business Enterprise (M/WBE) and Equal Employment Opportunity (EEO) goals for use when procuring goods or services. These goals reflect DEC's objective to obtain a "fair share" of its needs from small, minority and women-owned businesses and to comply with Executive Law Article 15-A, Economic Development Law Article 4-A and 5NYCRR Parts 140-144, Rules and Regulations of the Minority and Women's Business Development Program. WQIP grant recipients must consider the MWBE-EEO goals in the development of their WQIP state assistance contracts and will be required to submit an M/WBE Utilization Plan before a contract can be fully approved. More detail on the M/WBE-EEO goals can be found in Appendix 5.

**Municipal Resolution**
WQIP grant recipients must submit a formal resolution of the governing body designating by title (Mayor, Town Supervisor, etc.) the representative authorized to act on behalf of the municipality in all matters related to financial assistance. The resolution must authorize the
representative to execute the State of New York Master Grant Contract, and otherwise act for the governing body in all State assistance related matters. The resolution must be accompanied by a Certificate of Recording Officer with an original signature. A sample form of the resolution can be found in Appendix 6.

State Environmental Quality Review (SEQR) Documentation
Successful applicants must submit documentation that they have complied with the State Environmental Quality Review Act (6NYCRR, Part 617) prior to the execution of a state contract.

- Type II Action: If it is determined that the project is classified as a Type II action, a letter should be submitted to the Regional Permit Administrator stating this determination
- Negative Declaration: If it is determined that the project will not have a significant adverse impact on the environment, a negative declaration determination document should be submitted to the Regional Permit Administrator.

If an environmental impact statement was prepared for the project; submit a copy of the SEQR findings statement to the Regional Permit Administrator.

Insurance Requirements
Contractors will be required to carry appropriate insurance as specified in the Master Grant Contract, Attachment A-1 Program Specific Terms and Conditions, and agree that each project consultant, project contractor and project subcontractor secures and delivers to the contractor appropriate policies of insurance issued by an insurance company licensed to do business in the State of New York. Policies must name the Contractor as an additional insured, with appropriate limits, covering contractor’s public liability and property damage insurance, contractor’s contingency liability insurance, “all-risk” insurance and workers compensation/disability coverage for the project.

Vendor Responsibility
Not-For-Profit contractors and/or subcontractors are subject to a vendor responsibility review by the State to ensure public dollars are being spent appropriately with responsible contractors. A vendor responsibility review may include a contractor and/or subcontractor to present evidence of its continuing legal authority to do business in NYS, integrity, experience, ability, prior performance, and organizational and financial capacity. To enroll in and use the NYS VendRep System, see the VendRep System instructions available at http://www.osc.state.ny.us/vendrep/vendor_index.htm or go directly to the VendRep System on at https://portal.osc.state.ny.us

Iran Divestment Act Certification
By submitting an application in response to this solicitation or by assuming the responsibility of a Contract awarded hereunder, Applicant/Grant Recipient (or any assignee) certifies that it is not on the “Entities Determined To Be Non-Responsive Bidders/Offerers Pursuant to The New York State Iran Divestment Act of 2012” list (“Prohibited Entities List”) posted on the OGS website at: http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf and further certifies
that it will not utilize on such Contract any subcontractor that is identified on the Prohibited Entities List. Additionally, the Applicant/Grant Recipient is advised that, should it seek to renew or extend a Contract, it must provide the same certification at the time the contract is renewed or extended.

During the term of the Contract, should the Department of Environmental Conservation (DEC) receive information that a person (as defined in State Finance Law § 165-a) is in violation of the above-referenced certifications, DEC will review such information and offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased its engagement in the investment activity which is violation of the Act within 90 days after the determination of such violation, then DEC shall take such action as may be appropriate and provided for by law, rule, or contract, including, but not limited to, seeking compliance, recovering damages, or declaring the Contractor in default.

The DEC reserves the right to reject any bid/application, request for assignment, renewal or extension for an entity that appears on the Prohibited Entities List prior to the award, assignment, renewal or extension of a contract, and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the Prohibited Entities list after contract award.

**New York State’s Expectations of WQIP Grant Recipients**

**Progress**

WQIP grant recipients are expected to show satisfactory progress with the development of a project workplan and implementation of the project. Satisfactory progress includes, but is not limited to, timely submission of all necessary documents for contract execution and quarterly reports. Successful applicants are expected to manage their WQIP projects in accordance with the terms and conditions of the State of New York Master Grant Contract. Failure to make satisfactory progress or to complete the project to the satisfaction of the state may be deemed an abandonment of the project and may cause the termination of any financial obligation of the state.

**Operation and Maintenance of Completed WQIP Projects**

WQIP grant recipients are fully responsible for ensuring the proper and efficient monitoring, operation and maintenance of the project satisfactory to DEC, including, but not limited to, retaining a sufficient number of qualified staff and ensuring performance of required tests and requirements. After completion of the project, the grantee shall, for a period of thirty years (the useful life of the project as provided in State Finance Law § 61[18]), operate the project or otherwise cause the project to be operated properly and in a sound and economical manner and shall maintain, preserve and keep the project, or cause the project to be maintained, preserved and kept, in good repair, working order and condition and shall make, or cause to be made, all necessary and proper repairs, replacements and renewals from time to time, so that at all times the project may be operated properly in a manner consistent with the performance
standards for the project, with the contract and with the requirements of any related permit or other governmental approval of the project.

Reserved Rights
The Department of Environmental Conservation reserves the right to:

1. Reject any or all applications received in response to this RFP.
2. Reject incomplete applications.
3. Make an award to the next highest scoring application if a successful applicant fails to negotiate a proper contract within an acceptable time frame.
4. Award grants based on geographic or regional considerations to serve the best interests of the state.
5. Not fund an application that fails to submit a clear and concise project workplan and/or budget.
6. Partially fund grant applications.
7. Round an award up to the nearest dollar.
Project Type Descriptions
Non-agricultural Nonpoint Source Abatement and Control

Eligible Applicants
- Municipalities (See Appendix 1 for definition of “Municipality”)
- Municipal Corporations (See Appendix 1 for definition of “Municipal Corporation”)
- Soil and Water Conservation Districts

Grant and Match Funds
Grant Funds are available for up to 75 percent of the total project costs. Applicants must provide the remaining match funds of at least 25 percent of the total project costs.

Example: Total Project Cost: $100,000
Grant Funds: $75,000
Match Funds: $25,000

Eligible costs are those costs incurred to implement the project (see below for examples of eligible projects). Planning and design costs for nonpoint source abatement and control projects may be considered for reimbursement if they are associated with implementing the project. Planning and design costs alone are not eligible to be funded under this grant. This funding cannot be used to purchase land.

Match Funds may consist of cash contributions and in-kind services put forth by the applicant to complete the awarded project. Match funds include: municipal personal services, fringe benefits, supplies, materials, and land acquisition. State or federal grant dollars cannot be used for the match funds. When applying for this grant, the applicant should know how they will meet the match funds requirements.

Project-Specific Funding Information
- $18.4 million for non-agricultural nonpoint source abatement and control projects statewide. Although there is no maximum grant amount that can be requested, individual grants are typically from $25,000 to $500,000.

- $4 million for green infrastructure projects to mitigate the impacts of floods, storm surge and other effects of climate change.
  - Albany Pool: Up to $1 million is being made available for the installation of green infrastructure practices to address Combined Sewer Overflows (CSO) discharging to the Hudson River between the south end of Houghtaling Island and the northern junction of the Mohawk and Hudson River (Albany Pool).

- An amount of no less than $190,716 will be available for eligible projects in coastal areas including:
  - Peconic Estuary;
  - South Shore Estuary;
  - Long Island Sound Study; and
New York-New Jersey Harbor Estuary Program (core area)

- Peconic Estuary: An amount of no less than $2,000,000 will be available for eligible projects (e.g., wastewater treatment, nonpoint source abatement and control, aquatic habitat restoration) in the Peconic Estuary.

Eligible Projects

- Stormwater retrofits
- Green infrastructure
- Stream stabilization/restoration and other nonpoint source BMPs

Projects must be consistent with at least one of these categories. Examples of projects for each category are listed below. Applicants need to be aware that some practices listed as examples may not be effective for all pollutants. Applicants need to clearly demonstrate in their applications that the practice being proposed addresses the waterbody’s pollutant of concern.

Stormwater Retrofits, including, but not limited to, the following:

- Rehabilitation of existing storm sewer system by installation of standard stormwater treatment systems (ponds, wetlands, filtering, infiltration) or proprietary practices
- Conversion of dirt parking lots to pervious pavement, grassed or stone cover
- Conversion of dry detention ponds to extended detention or wetland treatment systems
- Retrofit road ditches to enhance open channel design
- Control the downstream effects of runoff from existing paved surfaces resulting in flooding and erosion in receiving waters
- Control stream erosion by plunge pool, velocity dissipaters, and flow control devices for discharges to streams
- Upgrade of an existing conveyance system to provide water quality and/or quantity control within the drainage structure

Peconic Estuary – Applicants are encouraged to implement stormwater retrofit practices identified in an approved sub-watershed management plan.

Green Infrastructure, including, but not limited to, the following: (See Appendix 1 for the definition of “Green Infrastructure”.)

- Permeable pavement, e.g. porous asphalt, concrete or pavers
- Bioretention, e.g., rain gardens or bioswales
- Green roofs or green walls
- Construction or restoration of wetlands, floodplains or riparian buffers
- Stream daylighting, i.e., removing streams from pipes and restoring the natural morphology
- Stormwater harvesting and reuse, e.g., rain barrels or cisterns
Green Infrastructure Improvements – Albany Pool - Eligible projects are those discharging to the portion of the Hudson River Estuarine District classified as Class C waters – those waters between the south end of Houghtaling Island and the northern junction of the Mohawk and Hudson River. Projects implementing green infrastructure practices to address Combined Sewer Overflows (CSO) that are under an approved Long Term Control Plan or for projects that the DEC has determined are consistent and compatible with the requirements for an approved Long Term Control Plan are eligible. Projects should include policies and procedures to maintain green infrastructure.

Stream Stabilization/Restoration and Other Nonpoint Source BMPs including, but not limited to the following:
- Streambank/bed stabilization (e.g., biotechnical methods, geotextiles, controlling in-stream sediment, stream grade stabilization, slope protection)
- Stream Restoration
  - Restoring stream hydrology (e.g., natural stream channel restoration)
  - Stream buffers (e.g., stream corridor vegetative buffers)
- Road/stream crossing improvement (removing/rightsizing culverts) – projects must demonstrate a strong benefit on water quality
- Riparian corridor filtering
- Removal or attenuation of stream disturbances (e.g., flow obstructions)
- Installation of measures to repair damages to the structure of stream corridors
- Stabilization of road side ditches (e.g., vegetative management practices, ditch configurations, geotextiles, sediment traps, proper ditch maintenance)
- Salt storage facilities in locations where groundwater/surface water quality impairments from road salt is documented
- Filtering and sediment trapping systems
- Education for local officials and other decision makers about proper in-stream maintenance and restoration work. Up to $5,000 per project will be available for an educational component that includes at least 6 hours of both classroom and field activities.


Priorities
Highest priority will be given to projects addressing waterbodies identified on the Waterbody Inventory/Priority Waterbodies List (WI/PWL) as being “precluded” or impaired”. Secondary priority will be given to projects addressing waterbodies listed on the WI/PWL as “stressed” or “threatened”.


Watershed Programs
Consideration should be given to watershed programs identified (on page 3) when developing a project application. Priority activities for each watershed program are identified in a Watershed Implementation Plan or Action Agenda for each watershed program.

Contact
New York State Department of Environmental Conservation
Division of Water, Don Tuxill, (518) 402-8168
Municipal Wastewater Treatment

Eligible Applicants
- Municipalities. (See Appendix 1 for definition of “Municipality.”)

Grant and Match Funds
Grant Funds are available for up to 85 percent of the total project costs. Applicants must provide the remaining match funds of at least 15 percent of the total project costs.

Example:

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<tr>
<th>Total Project Cost</th>
<th>Grant Funds</th>
<th>Match Funds</th>
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<tbody>
<tr>
<td>$100,000</td>
<td>$85,000</td>
<td>$15,000</td>
</tr>
</tbody>
</table>

Eligible costs are limited to construction costs that are part of construction contracts, i.e., general, electrical, plumbing, HVAC and mechanical. The following costs are NOT eligible for reimbursement: engineering, design, legal, construction oversight and non-construction costs incurred during the construction phase of the project.

Match Funds may consist of cash contributions and in-kind services put forth by the applicant to complete the awarded project. Match funds include: municipal personal services, fringe benefits, supplies, materials, and land acquisition. State or federal grant dollars cannot be used for the match funds. When applying for this grant, the applicant should know how they will meet the match funds requirements.

Project-Specific Funding Information
- **Wastewater Effluent Disinfection**: The NY Works II program will provide funding for municipal facilities to install effluent disinfection equipment. To be eligible for funding, applicants must be required to seasonally disinfect their effluent. This occurs at wastewater treatment facilities discharging to Class C waters; or waters that have sensitive receptors nearby (e.g., bathing beaches); or the Great Lakes. Maximum grant available per facility is $2.5 million.

- **Phosphorous Reduction by Chemical Addition**: Grant amount will be based on the design flow of the municipal wastewater treatment facility. Refer to the chart below when preparing an application to determine the maximum grant a municipality can receive.

<table>
<thead>
<tr>
<th>Facility Design Flow</th>
<th>Maximum Grant Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Up to 0.5 MGD</td>
<td>$80,000</td>
</tr>
<tr>
<td>&gt;0.5 to 1.0 MGD</td>
<td>$100,000</td>
</tr>
<tr>
<td>&gt;1.0 to 5.0 MGD</td>
<td>$180,000</td>
</tr>
<tr>
<td>&gt;5.0 MGD</td>
<td>$300,000</td>
</tr>
</tbody>
</table>
• **Wastewater Treatment for Failing On-site Treatment Systems:** The NY Works II program will provide funding for small\(^1\) wastewater treatment projects (See See Appendix 1 for the definition of “wastewater treatment projects”) to address water quality issues related to failing on-site treatment systems on small lakes. Maximum grant available per facility is $2 million.

• **Peconic Estuary:** An amount of no less than $2,000,000 will be available for eligible projects (e.g., wastewater treatment, nonpoint source abatement and control, aquatic habitat restoration) in the Peconic Estuary.

**Eligible Projects**

• **Wastewater Effluent Disinfection** – Wastewater treatment projects (See See Appendix 1 for the definition of “wastewater treatment projects”) to upgrade municipal systems to meet wastewater treatment effluent disinfection requirements. Prior to submitting an application, eligible projects must have permit or consent order requirements in place to provide seasonal disinfection in:
  - Class C waters;
  - Waters that have sensitive receptors nearby (e.g., bathing beaches); or
  - The Great Lakes.

• **Phosphorous Reduction by Chemical Addition** – The Chesapeake Bay Watershed Implementation Plan (WIP), Chautauqua Lake Total Maximum Daily Load (TMDL), and Onondaga Lake TMDL require some wastewater treatment plants to add chemicals to their wastewater in order to remove phosphorous before the water is discharged from the plant. This funding can be used to purchase and install the required chemical addition equipment.

• **Wastewater Treatment for Failing On-site Treatment Systems** – Small\(^1\) wastewater treatment projects (See See Appendix 1 for the definition of “wastewater treatment projects”) to address water quality issues related to failing on-site treatment systems on small lakes. Funding is for municipalities working on wastewater projects that, by terms of the Great Lakes Compact or other restrictions, are prohibited from an out-of-basin transfer of water. Projects must be listed in Category D of the New York State Environmental Facilities Corporation Intended Use Plan (IUP), or eligible to apply for listing in Category D of the IUP. For more information on the IUP go to: [www.nysefc.org](http://www.nysefc.org).

**Priorities**

Highest priority will be given to projects addressing waterbodies identified on the Waterbody Inventory/Priority Waterbodies List (WI/PWL) as being “precluded” or impaired”. Secondary priority will be given to projects addressing waterbodies listed on the WI/PWL as “stressed” or “threatened”.

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\(^1\) Small wastewater treatment projects are defined as less than 100,000 gallons per day of average flow.
Watershed Programs
Consideration should be given to watershed programs identified (on page 3) when developing a project application. Priority activities for each watershed program are identified in a Watershed Implementation Plan or Action Agenda for each watershed program.

Contact
NYS Department of Environmental Conservation,
Division of Water,
Ron Entringer, (518) 402-8176
Koon Tang, (518) 402-8238
Aquatic Habitat Restoration

Eligible Applicants
- Municipalities (see Appendix 1 for definition of “Municipality”)
- Municipal Corporations (see Appendix 1 for definition of “Municipal Corporation”)
- Soil and Water Conservation Districts
- Not-for-Profit Corporations (see Appendix 1 for definition of “Not-for-Profit Corporation.” All Not-for-Profits must register and prequalify in the NYS Grants Management System to be eligible for this grant.)

Grant and Match Funds
Grant Funds are available for up to 75 percent of the total project costs. Applicants must provide the remaining match funds of at least 25 percent of the total project costs.

Example:  
Total Project Cost:  $100,000  
Grant Funds:  $ 75,000  
Match Funds:  $ 25,000

Although there is no maximum grant amount that can be requested, individual grants are typically from $25,000 to $500,000.

Eligible costs are those costs incurred to implement the project (see below for examples of eligible projects). Planning, design, construction management, maintenance, reconstruction, revitalization, or rejuvenation activities are eligible for this project type only. Planning and design costs alone are not eligible to be funded under this grant.

Match Funds may consist of cash contributions and in-kind services put forth by the applicant to complete the awarded project. Match funds include: municipal personal services, fringe benefits, supplies, materials, and land acquisition. State or federal grant dollars cannot be used for the match funds. When applying for this grant, the applicant should know how they will meet the match funds requirements.

Project-Specific Funding Information
- Peconic Estuary: An amount of no less than $2,000,000 will be available for eligible projects (e.g., wastewater treatment, nonpoint source abatement and control, aquatic habitat restoration) in the Peconic Estuary.

Eligible Projects
Eligible applications must focus on work that improves aquatic connectivity, defined as the natural pathways which allow for the movement of biota and physical material. Projects should seek to increase aquatic organism passage as well as any other related ecological connectivity conditions.
Sample projects, include, but are not limited to, the following:

- Upgrade and replace road stream crossing structures (culverts and bridges) to a larger size and design to correct limits in ecological connectivity and hydrologic capacity
- Restoration of aquatic or other organism passage including rehabilitation of road stream crossings that prevent ecological connectivity or installation of fish ladders
- Remove or breach stream barriers such as dams or weirs that limit aquatic connectivity, and only where such removals meet natural resource management goals of an area
- Removal or alteration of impoundment for aquatic passage in locations that have been regionally ranked or identified as being of biologic importance such as those in the Hudson River Estuary
- Stream daylighting, the opening of streams which have been previously enclosed in permanent tunnels

**Priorities**

Highest priority will be given to projects addressing waterbodies identified on the Waterbody Inventory/Priority Waterbodies List (WI/PWL) as being “precluded” or impaired”. Secondary priority will be given to projects addressing waterbodies listed on the WI/PWL as “stressed” or “threatened”.

**Watershed Programs**

Consideration should be given to watershed programs identified (on page 3) when developing a project application. Priority activities for each watershed program are identified in a Watershed Implementation Plan or Action Agenda for each watershed program.

**Contact**

Division of Fish, Wildlife and Marine Resources
Josh Thiel, (518) 402-8978
Municipal Separate Storm Sewer Systems (MS4)

Eligible Applicants

- Regulated Traditional MS4s (See Appendix 1 for definition of “Regulated Traditional MS4s”)
  - MS4s newly designated under the 2010 Census – Entities not previously required to gain coverage under Municipal Separate Storm Sewer Systems Permit, GP-0-10-002, but must now gain coverage based on the 2010 Census.
  - MS4s no longer eligible for a waiver – Entities previously granted a waiver from coverage under GP-0-10-002 but must now gain coverage based on the 2010 Census.
  - Existing MS4s with changed urbanized boundaries – Entities covered under GP-0-10-002, with changed regulated area based on the 2010 Census.

- Soil and Water Conservation Districts

Funding will be considered for proposals submitted on behalf of multiple regulated MS4s. Successful applicant cooperative groups from previous Water Quality Improvement Project funding are encouraged to invite new regulated MS4s to join their groups.

To be eligible to receive funding, applicants must be participating in an area-wide municipal cooperative stormwater group. If one does not currently exist, the applicant needs to document the steps that are being taken to develop such a group. In these cases, the group has to be in place prior to receiving a grant award. In the rare case where a coalition does not exist nor will be established in the project area, the applicant must justify the reasons in the application.

Applicants requesting funds must provide a list of cooperating MS4s and signed letters of intent from each of them. If funded, applicants must get a signed commitment from each participating MS4 that it will deliver its share of the outputs in the contract workplan.

Grant and Match Funds

Grant Funds are available for up to 75 percent of the total project costs. Applicants must provide the remaining match funds of at least 25 percent of the total project costs.

Example: Total Project Cost: $100,000
Grant Funds: $ 75,000
Match Funds: $ 25,000

Eligible costs are those costs incurred by newly regulated MS4s to development and implementation of a stormwater management program (SWMP) that complies with GP-0-10-002 (see below for specific eligibility requirements and examples of eligible projects).
**Match Funds** may consist of cash contributions and in-kind services put forth by the applicant to complete the awarded project. Match funds include: municipal personal services, fringe benefits, supplies, materials, and land acquisition. State or federal grant dollars cannot be used for the match funds. When applying for this grant, the applicant should know how they will meet the match funds requirements.

**Project-Specific Funding Information**

MS4s newly designated under the 2010 Census:

- Up to $100,000 available for new Jefferson County MS4 Cooperative Municipal Stormwater Group. Newly designated MS4s located within Jefferson County will not be eligible for funding unless part of this group.
- Up to $30,000 available per municipality.

MS4s no longer eligible for a waiver

- Up to $30,000 available per municipality.

Existing MS4s with changed urbanized boundaries

- Up to $30,000 available per municipality.

**Eligible Projects**

**MS4s newly designated under the 2010 Census:**

*New Jefferson County Cooperative Stormwater Group*

(*Newly designated MS4s located in Jefferson County applying as a group*)

Eligible activities include development and implementation of SWMP to comply with GP-0-10-002. Communities should follow the schedules in the permit for newly authorized MS4s.

**New MS4s joining existing Cooperative Municipal Stormwater Group**

As the new MS4 is developing and implementing their SWMP they will be able to use products developed by the existing Cooperative Municipal Stormwater Group. Eligible activities include:

- Completion of gap analysis,
- Field verification of outfalls,
- Mapping of outfalls.

Purchase of equipment already owned and available through the cooperative stormwater group and development of materials already available through the group are not eligible for funding.

**New MS4 with no existing Cooperative Municipal Stormwater Group to join**

In the rare case where a coalition does not exist nor will be established in the project area, the MS4’s eligible activities include development and implementation of SWMP to comply with GP-0-10-002. Communities should follow the schedules in the permit for newly authorized MS4s.
**MS4s no longer eligible for a waiver**

**MS4s joining existing Cooperative Municipal Stormwater Group**

As the new MS4 is developing and implementing their SWMP they will be able to use products developed by the existing Cooperative Municipal Stormwater Group. Eligible activities include:

- Completion of gap analysis,
- Field verification of outfalls,
- Mapping of outfalls.

Purchase of equipment already owned and available through the cooperative stormwater group and development of materials already available through the group are not eligible for funding.

**MS4 with no existing Cooperative Municipal Stormwater Group to join**

In the rare case where a coalition does not exist nor will be established in the project area, the MS4s eligible activities include development and implementation of SWMP to comply with GP-0-10-002. Communities should follow the schedules in the permit for newly authorized MS4s.

**Existing MS4s with Changed Urbanized Area Boundaries**

MS4s whose urbanized boundaries have changed based on the 2010 Census and, therefore, additional work is required to update their SWMP to address these new areas. Examples of eligible activities include:

- Identification of the geographic areas of concern and pollutants of concern within the new urbanized area.
- Updates to outfall maps to include outfalls in the expanded area.
- Delineation of the preliminary sewershed boundaries tributary to new outfalls.
- Assessment of potential sources of discharge of Pollutants of Concern and identification of potential pollutant reduction measures if expanded areas contain sewersheds discharging to impaired waters listed in Appendix 2 of GP-0-10-002 that are subject to the “no-net increase” requirement contained in Part III.B – of GP-0-10-002.
- Conducting outfall reconnaissance survey of new outfalls.
- Identification of municipal operations and facilities within the expanded area.
- Development of management practices, procedures etc. for the municipal operations and facilities within the expanded area.

These MS4s should continue to work with their existing Cooperative Municipal Stormwater Groups.

**Priorities**

Highest priority will be given to projects addressing waterbodies identified on the Waterbody Inventory/Priority Waterbodies List (WI/PWL) as being “precluded” or impaired”. Secondary priority will be given to projects addressing waterbodies listed on the WI/PWL as “stressed” or “threatened”.
Watershed Programs
Consideration should be given to watershed programs identified (on page 3) when developing a project application. Priority activities for each watershed program are identified in a Watershed Implementation Plan or Action Agenda for each watershed program.

Contact
New York State Department of Environmental Conservation, Division of Water, Carol Lamb-Lafay
(518) 402-8123
Appendix 1
Definitions

Aquatic Habitat Restoration Project means the planning, design, construction, management, maintenance, reconstruction, revitalization, or rejuvenation activities intended to improve the waters of the state of ecological significance or any part thereof, including, but not limited to ponds, bogs, wetlands, bays, sounds, streams, rivers, or lakes and shorelines thereof, to support a spawning, nursery, wintering, migratory, nesting, breeding, or foraging environment for fish and wildlife and other biota. (as defined in Environmental Conservation Law §56-0101)

Best Management Practices means the methods, measures or practices determined to be the most practical and effective in preventing or reducing the impact of pollutants generated by nonpoint sources to a level compatible with water quality standards established pursuant to section 17-0301 of this article. Best management practices include, but are not limited to, structural and nonstructural controls and operations and maintenance procedures. Best management practices can be applied before, during and after pollution producing activities to reduce or eliminate the introduction of pollutants into receiving waters. (as defined in Environmental Conservation Law § 17-1403)

Better Site Design (BSD) incorporates non-structural and natural approaches to new and redevelopment projects to reduce impacts on watersheds by conserving natural areas, reducing impervious cover and better integrating stormwater treatment. Better site design is a form of Green Infrastructure and is similar to Low Impact Development (LID). See also Green Infrastructure and Low Impact Development.

District means a county soil and water conservation district created pursuant to section five of the soil and water conservation districts law. (as defined in Environmental Conservation Law § 17-1403)

Drainage Basin is a large watershed that catches precipitation and drains it over or below the earth’s surface to a specific water body. A basin is defined by the higher areas that bound and separate watersheds rather than by political boundaries.

Federal Assistance means funds available, other than a loan, from the federal government, either directly or through allocation by the state for construction or program purposes pursuant to any federal law or program. (as defined in Environmental Conservation Law §54-0101)

Green Infrastructure approaches essentially infiltrate, evapotranspirate or reuse stormwater, with significant utilization of soils and vegetation rather than traditional hardscape collection, conveyance and storage structures. Common green infrastructure approaches include green roofs, trees and tree boxes, rain gardens, vegetated swales, pocket wetlands, infiltration planters, vegetated median strips, reforestation, and protection and enhancement of riparian buffers and floodplains. On a regional scale, green infrastructure is the preservation of natural landscape features, such as forests, floodplains and wetlands, coupled with policies such as infill.
and redevelopment that reduce overall imperviousness in a watershed. See also Low Impact Development and Better Site Design.

**Hydrologic Unit Code (HUC)** New York State is divided into 17 hydrologic units, or drainage basins, which are identified with a six (6) digit number, or hydrologic unit code (HUC). These watersheds are further divided into smaller units, called sub-basins, which are identified by an 8 - digit number. There are 54 eight (8) digit HUCs in New York State. These sub-basins are further divided into watersheds which are identified by a 12 digit HUC.

**Intended Use Plan (IUP)** is a document published by the New York State Environmental Facilities Corporation and New York State Department of Environmental Conservation that describes the use of monies expected to be available from the Clean Water State Revolving Fund (CWSRF) in a given Federal Fiscal Year (FFY).

**Low Impact Development (LID)** is a site design strategy with a goal of maintaining or replicating the predevelopment hydrologic regime through the use of design techniques to create a functionally equivalent hydrologic landscape. Hydrologic functions of storage, infiltration, and groundwater recharge, as well as the volume and frequency of discharges are maintained through the use of integrated and distributed microscale stormwater retention and detention areas, reduction of impervious surfaces, and the lengthening of flow paths and runoff time. Other strategies include the preservation/protection of environmentally sensitive site features such as riparian buffers, wetlands, steep slopes, valuable (mature) trees, flood plains, woodlands and highly permeable soils. LID principles are based on controlling stormwater at the source by the use of microscale controls that are distributed throughout the site. This is unlike conventional approaches that typically convey and manage runoff in large facilities located at the base of drainage areas. See also Green Infrastructure and Better Site Design.

**Municipal Corporation** means a county, city, town or village or an entity designated to act on behalf of such. (as defined in Environmental Conservation Law § 17-1403)

**Municipality** is defined as a local public authority or public benefit corporation, a county, city, town, village, school district, 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. In the case of aquatic habitat restoration projects, the term “municipality” shall include the state.

**Nonpoint Source** means any source of water pollution or pollutants that is not a discrete conveyance or point source permitted pursuant to title seven or eight of this article. (as defined in Environmental Conservation Law § 17-1403)

**Nonpoint Source Abatement and Control Program** means a program of activities and projects for the abatement and reduction of nonpoint source pollution through the implementation of best management practices. (as defined in Environmental Conservation Law § 17-1403)
**Not-for-profit Corporation** means a corporation formed pursuant to the not-for-profit corporation law and qualified for tax-exempt status under the federal internal revenue code. (as defined in Environmental Conservation Law §54-0101)

**Regulated Traditional Municipal Separate Storm Sewer System (MS4)** owned or operated by a city, town or village with land use control authority.

**Retrofit** means modifying or adding to existing infrastructure for the purpose of reducing pollutant loadings.

**Smart Growth** means the planned growth that balances the need for economic development with concerns about quality-of-life, such as preserving the natural and built environment. All projects submitted to the Water Quality Improvement Project (WQIP) program must comply with the New York State Smart Growth Public Infrastructure Policy Act of 2010.

**Total Maximum Daily Load (TMDL)** is the sum of the allowable loads of a single pollutant from all contributing point and nonpoint sources. It is a calculation of the maximum amount of a pollutant that a waterbody can receive and still meet water quality standards, and an allocation of that amount to the pollutant’s sources. A TMDL stipulates wasteload allocations for point source discharges, load allocations for nonpoint sources, and a margin of safety.

**Urbanized Area** is a land area comprising one or more places — central place(s) — and the adjacent densely settled surrounding area — urban fringe — that together have a residential population of at least 50,000 and an overall population density of at least 1,000 people per square mile. (U.S Bureau of Census)

**Wastewater Treatment Improvement Project** means the planning, design, construction, acquisition, enlargement, extension, or alteration of a sewage treatment plant to treat, neutralize, stabilize, eliminate or partially eliminate sewage or reduce pollutants in treatment plant effluent or to create mechanisms to transport wastewater to a treatment plant, including permanent or pilot demonstration wastewater treatment, outfall and dispersal apparatus, pumping stations integral to such plants or sewers, sewer pipes, combined sewer overflow abatement, stormwater collecting systems, vessel pump-out stations, or equipment or furnishings thereof. (as defined in Environmental Conservation Law §56-0101)

**Definition of National Estuary Program**

In New York State three “Estuaries of National Significance” are designated under the U.S. Environmental Protection Agency’s (EPA) National Estuary Program. The purpose of the “National Estuary Program” is to promote the development of comprehensive management plans for estuaries of national significance threatened by pollution, development, or overuse. The National Estuary Program was established in the 1987 amendments to the Clean Water Act.
The areas covered by the National Estuary Program in New York State include three National Estuary Program designated areas:

**NY/NJ Harbor Estuary** - The New York/New Jersey Harbor Estuary encompasses the waters of New York Harbor and the tidally influenced portions of all rivers and streams that empty into the Harbor. There is a core area that includes the tidal waters of the Hudson-Raritan Estuary from Piermont Marsh in New York State to an imaginary line at the mouth of the Harbor which connects Sandy Hook, New Jersey and Rockaway Point, New York. This imaginary line is known as the Harbor Transect.

**Long Island Sound** - Long Island Sound is bounded on the west at the Battery on Manhattan and on the east at the Race off Orient Point. This includes the land area on Long Island to the Harbor Hill moraine and the Long Island Sound watershed areas of the Bronx and Westchester Counties.

**Peconic Estuary** - The study area includes the entire estuary (Flanders Bay, Great Peconic Bay, Little Peconic Bay, Shelter Island Sound, Gardiners Bay), the Peconic River, and their groundwater contributing areas. The eastern boundary is an imaginary line between the eastern tip of Plum Island and Montauk Point through Block Island Sound. The western boundary is at the headwaters of the Peconic River.

For purposes of the WQIP program, a project would be considered to be in a National Estuary Program area if it is located in the tidally influenced portions of rivers and streams entering New York Harbor, Long Island Sound or the Peconic Estuary.

**Legal References for the Water Quality Improvement Program**

**Nonpoint Source Water Pollution Control:** New York State Environmental Conservation Law § 17-1403

**Environmental Protection Fund:** New York State Environmental Conservation Law § 54-0101

**Clean Water/Clean Air Bond Act of 1996:** New York State Environmental Conservation Law § 56-0301

**State Pollutant Discharge Elimination System (SPDES):** New York State Environmental Conservation Law § 17-0817

**Coastal Nonpoint Pollution Control Program:** Coastal Zone Management Act of 1972 Section 1455b

**Waterfront Revitalization of Coastal Areas and Inland Waterways:** New York State Executive Law Article 42
Appendix 2
Review Process

I. Selection Process and Priority Ranking System
   Applications that are received by the due date will go through the following process.

   1. Project applications are checked for completeness. (see Round 11 Application for State Assistance checklist on the last page of the Application)

   2. Complete project applications are reviewed for eligibility based on the definitions of eligibility for each project type.

   3. Eligible applications are scored and evaluated based on the factors outlined for each project type and the scoring system described in Appendix 3.

   4. Applications are then ranked. Applications will be ordered by score and evaluation factor (high, medium or low) within each project type. Applications will be selected by project type in scored order, taking into consideration those projects with greatest environmental benefit and the projects that will be the most cost effective. A total of 20% of the final ranking will be based on the cost effectiveness of the project.

II. Evaluation Factor
   In determining eligibility and evaluating applications, due consideration will be given to:

   - **Suitability and feasibility of the project**: Factors that will be considered in relation to the goals of the respective project type include:
     a) 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.
     b) Whether the proposed project implements a recommended action to restore water quality.

   - **Priority of the project in relation to other projects**: For projects proposed under each project type, the highest priority shall be given to projects that provide the greatest reduction in pollutants.

   - **Urgency of need for funds**: Additional consideration will be given to wastewater projects that are listed in the Clean Water State Revolving Fund, Intended Use Plan in Category D “Hardship”.

   - **Project readiness**: Consideration will be given to the status of whether the required permits and other project requirements are in place (i.e., land
ownership/use issues, plans and specifications, SEQR status), municipal agreements are in place, etc.

- **Environmental Justice**: Consideration will be given as to whether the project helps solve or contributes to environmental justice issues.

- **Prior Performance**: Consideration of the applicants’ ability to carry out previously funded projects.

- **Availability of Match Funds**: The ability of applicants to provide match funds.

- **Smart growth**: Consideration to the projects’ consistency with the New York State Smart Growth Public Infrastructure Act.

IV. **Scoring by Project Type**
See Appendix 3.

V. **Ranking of Projects**
After applications have been scored and evaluated, they will be ranked based on an assessment of the combination of projects that are considered to be the most cost effective and best meet the water quality goals identified within each major drainage basin of the State. Twenty percent of the final ranking will be based on the cost effectiveness of the project.
Appendix 3
Description of Project Scoring

The project scoring system described below is one part of the evaluation process that will lead to the selection of projects for funding. The emphasis of the scoring system is to evaluate projects in terms of their potential impact on water quality. Other parts of the evaluation process are described in Appendix 2.

Project Scoring System

The scores are calculated according to points awarded for the degree to which the project is related to the severity of a problem, value of a resource and priority identified addressing water quality. Specifically:

- Criterion A is the severity of the source of pollution
- Criterion B is the water quality or habitat improvement; it is calculated by multiplying the following three factors \( B_1 \times B_2 \times B_3 \):
  - \( B_1 \) - Classification (value) of the water body or habitat
  - \( B_2 \) - Impairment (threat or damage) of the water body or habitat
  - \( B_3 \) - Likelihood of improvement if the project is implemented
- Criterion C is the relationship of the project to fulfilling water quality priorities.
- Criterion D is the Regional Economic Development Council (REDC) recommendation.

The total score for the project is calculated by adding the scores of criteria \( A + B + C + D \)

The project scores will be computed based on information in the Round 11 Application for State Assistance.
Criterion A: Existing Source (Severity of Source of Pollution)

The proposed project receives a score based on which one of the factors (1 - 4) listed below best describes the most critical source of pollution or disturbance associated with the impairment of use that will be resolved by the proposed project. In the case of aquatic habitat disturbance, impairment should refer to the ability of an aquatic habitat to support spawning, nursery, wintering, migratory, nesting, breeding, feeding, or foraging environment for fish, wildlife and other biota as defined in 56-0101(1) of the ECL.

1. A critical source of pollutant or disturbance -- 50 points
   A. A raw, partially treated or intermittent point or nonpoint source causing or significantly contributing to a priority water problem that has been identified on the Waterbody Inventory/ Priority Waterbodies List (WI/PWL) as “precluded” or “impaired” or is resulting in documented degradation of surface and/or groundwater quality, OR
   B. A disturbance that precludes or impairs the ability of an aquatic habitat to support a use defined in 56-0101 (1), or
   C. A source from which toxic contaminants of concern could be reduced or eliminated

2. An important source of pollutant or disturbance -- 25 points
   A. A partially treated or intermittent point or nonpoint source causing or significantly contributing to a priority water problem that has been identified on the WI/PWL as “stressed” or “threatened” or is likely to result in degradation of surface and/or groundwater quality, or
   B. A disturbance that stresses or threatens the ability of an aquatic habitat to support one of the uses contained in 56-0101(1), or
   C. A source from which pollutants other than toxic contaminants of concern could be reduced or eliminated.

3. A potential source of pollutant or disturbance -- 10 points
   A project necessary to maintain or protect existing facilities or conditions

4. None of the above -- 0 points
Criterion B: Water Quality or Habitat Improvement (WQI)

Water Quality Improvement (WQI) will be evaluated based on three factors:

1. **Classification Points Factor (CPF)**
   Points are allotted to a project on the basis of the state-assigned classification of the receiving water at the point of discharge, or where higher, the classification of downstream surface waters, the use of which is impaired by the existing discharge.

   See Table B1a, Water Quality Classification Points Factor (CPF) for Nonpoint Source Abatement and Control and Wastewater Treatment Improvement projects.

   See Table B1b, Aquatic Habitat Value Classification Points Factor (CPF) for Aquatic Habitat Restoration projects.

2. **Impairment Factor (IF)**
   Points are allotted to a project based on the severity of impairment of the desired best usage of the affected water, as indicated in the WI/PWL, or a groundwater assessment report. See Table B2. Impairment Factor (IF).

3. **Potential Improvement Factor (PIF)**
   Points are allotted to a project based on the potential for the proposed project to improve water quality so that the affected stretch of water or aquatic habitat moves to a less impaired status on the WI/PWL.

   In assessing potential improvement, consideration will be given to:
   - the extent that a proposed project contributes to a comprehensive and coordinated approach to solving water quality problems that reflects local needs and enhances the ability of local officials to address the other nonpoint source problems contributing to the impairment of the waterbody; and
   - whether the proposed project specifically targets the priorities identified in such a coordinated approach, the relative proportion of a pollutant or disturbance (cause) being reduced or eliminated, and whether other pollutant sources or conditions remaining after project construction would prevent long-term improvements to a waterbody.

   Water Quality Improvement (WQI) is calculated using the following equation:

   \[
   CPF \times IF \times PIF = WQI
   \]
Criterion B: Water Quality or Habitat Improvement (WQI) (continued)

Table B1.a: Water Quality Classification Points Factor (CPF) for Nonpoint Source Abatement and Wastewater Treatment Improvement Projects

<table>
<thead>
<tr>
<th>Classification</th>
<th>Description</th>
<th>Points</th>
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<tr>
<td>AA, SA, GA (primary water supply aquifer), AA special</td>
<td>Specially protected high quality drinking water and shellfish waters</td>
<td>8</td>
</tr>
<tr>
<td>A, A special, GA (other), GSA</td>
<td>Other drinking water</td>
<td>6</td>
</tr>
<tr>
<td>B, SB, C(T), C(TS)</td>
<td>Contact recreation, trout and trout propagation</td>
<td>4</td>
</tr>
<tr>
<td>C, SC, I</td>
<td>Other fishing</td>
<td>3</td>
</tr>
<tr>
<td>D, SD, GSB</td>
<td>Other water uses</td>
<td>2</td>
</tr>
<tr>
<td>No resource is impaired</td>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>
### Criterion B: Water Quality or Habitat Improvement (WQI) (continued)

Table B1.b: Aquatic Habitat Value Classification Points Factor (CPF) for Aquatic Habitat Restoration Projects

<table>
<thead>
<tr>
<th>Category</th>
<th>Description</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Area is currently providing or has provided documented, historic aquatic habitat for shellfish; endangered, threatened and special concern species; and/or species of greatest conservation need. Once restored, the area would support a diverse plant and animal community. Area would provide critical life stage habitat for above species.</td>
<td>8</td>
</tr>
<tr>
<td>B</td>
<td>The area has potential for high aquatic habitat value in the context of the surrounding landscape (e.g., regulated freshwater wetlands, NWI wetlands, area that could expand or enhance existing range/population for managed species (e.g., species protected under migratory bird treaty act or fishery management plans); is an important and viable isolated remnant, or will connect spawning, nursery, breeding, feeding areas).</td>
<td>6</td>
</tr>
<tr>
<td>C</td>
<td>The area has potential for increasing usable aquatic habitat for spawning, nursery, feeding, breeding, wintering, and foraging.</td>
<td>4</td>
</tr>
<tr>
<td>D</td>
<td>The area is isolated and would provide only local benefits, not regional resource benefits.</td>
<td>3</td>
</tr>
<tr>
<td>E</td>
<td>The area is a DEC managed, owned or regulated aquatic habitat (protected under the ECL) that does not meet one of the above factors.</td>
<td>2</td>
</tr>
<tr>
<td>F</td>
<td>The project will provide no demonstrable improvement in aquatic habitat value or function; or no demonstrated need for restoration.</td>
<td>0</td>
</tr>
</tbody>
</table>
Criterion B: Water Quality or Habitat Improvement (WQI) (continued)

Table B2: Impairment Factor (IF)

<table>
<thead>
<tr>
<th>Impairment</th>
<th>Waterbody Inventory/Priority Waterbodies List (WI/PWL) and Aquatic Habitat Definition</th>
<th>Points</th>
</tr>
</thead>
</table>
| Precluded           | A use is not possible – for example:  
|                     | - swimming is banned by the local health department  
|                     | - consumption of fish, shellfish or wildlife is banned  
|                     | - the area is prevented from providing aquatic habitat function for spawning, nursery, wintering, migratory, nesting, breeding, feeding or foraging, and evidence and cause of preclusion is clear | 6      |
| Impaired            | A use cannot be fully met – for example:  
|                     | - fishing is possible, but consumption is restricted  
|                     | - area provides limited aquatic habitat function for spawning, nesting, breeding, feeding or foraging with clear evidence of cause of impairment                                                                 | 4      |
| Stressed            | A water quality or aquatic habitat problem is evident, but impairment is not clearly demonstrated – for example:  
|                     | - a stream runs turbid with sediment after rainfall  
|                     | - an area provides aquatic habitat function with evidence of degradation, but no clear cause of degradation                                                                                                                                              | 2      |
| Threatened or none  | There is a threat to future water quality or aquatic habitat but no existing evidence of impairment                                                                                              | 1      |
Table B3: Potential improvement factor (PIF)

<table>
<thead>
<tr>
<th>Improvement Factor</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Degree of impairment reduced by <em>three</em> levels (e.g. from “precluded” to “threatened” or “none”)</td>
<td>4</td>
</tr>
<tr>
<td>Degree of impairment reduced by <em>two</em> levels (e.g. from “precluded” to “stressed”)</td>
<td>3</td>
</tr>
<tr>
<td>Degree of impairment reduced by <em>one</em> level (e.g. from “precluded” to “impaired”)</td>
<td>2</td>
</tr>
<tr>
<td>No reduction in impairment level</td>
<td>1</td>
</tr>
</tbody>
</table>

Criterion C: Water Quality Priority

Points are assigned to projects on the basis of the impairment identified in the Waterbody Inventory/Priority Waterbodies List (WI/PWL). A project receives points for the one factor below that best applies.

<table>
<thead>
<tr>
<th>Water Quality Priority</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project significantly addresses a waterbody listed as “precluded” or “impaired” on the Waterbody Inventory/Priority Waterbodies List or a habitat identified as “precluded” or “impaired”.</td>
<td>200</td>
</tr>
<tr>
<td>Project significantly addresses a waterbody listed as “stressed” or “threatened” on the Waterbody Inventory/Priority Waterbodies List or a habitat identified as “stressed” or “threatened”.</td>
<td>100</td>
</tr>
<tr>
<td>Proposal is <em>consistent with water quality policies or recommendations</em> in Local Waterfront Revitalization Programs, New York State Nonpoint Source Management Program, NYS Coastal Nonpoint Pollution Control Program, in an approved watershed or habitat management plan, in a county water quality strategy or the State’s Open Space Conservation Plan</td>
<td>25</td>
</tr>
<tr>
<td>None of the above.</td>
<td>0</td>
</tr>
</tbody>
</table>
Criterion D: Regional Economic Development Council (REDC) Recommendation

Points are assigned based on the applicant’s ability to demonstrate how a project aligns with the local economic development plan.

<table>
<thead>
<tr>
<th>REDC Recommendation Criteria</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>The applicant may obtain a recommendation from the REDC stating that the proposed project aligns with priorities of the economic development plan developed by the REDC. The recommendation must be included with the application to receive three (3) points in the application review. <strong>OR</strong></td>
<td>3</td>
</tr>
<tr>
<td>The applicant can attach a supplemental narrative to the application describing the economic benefits of the proposed project and how the project aligns with the strategies of the regional economic plan. The narrative must be included with the application to receive three (3) points in the application review.</td>
<td>3</td>
</tr>
</tbody>
</table>
Water Quality Improvement Projects Score Sheet

**Criterion A:** Existing Sources (0 – 50 pts.)

**Criterion B:** Water Quality Improvement (WQI)
Receiving Water Name:
1. Classification (CPF) (0 – 8 pts.)
2. Impairment Factor (IF) (1 – 6 pts.)
3. Potential Improvement Factor (PIF) (1 – 4 pts.)
   \[ \text{WQI} = (\text{CPF} \times \text{IF} \times \text{PIF}) \]

**Criterion C:** Water Quality Priorities (0 – 200 pts.)

**Criterion D:** Regional Economic Development Council (REDC) recommendation (0-3 pts.)

**TOTAL PROJECT SCORE** (A + B + C + D):
Scoring for Municipal Separate Storm Sewer Systems (MS4s)

Project Scoring System

The numerical score in the Municipal Separate Storm Sewer Systems scoring system are based on the following:

A. Pollutants of Concern Associated with Stormwater
B. Water Quality Improvement Factor
C. MS4 Implementation Program Priorities – Intermunicipal Cooperation
D. Regional Economic Development Council recommendation

The total numerical score for the project or project segment is the sum of the scores for A+ B+ C + D.

The project scores will be computed based on information in the Round 11 Application for State Assistance.
A. **Pollutants of Concern Associated with Stormwater**

The proposed project receives a score based on the Pollutants of Concern parameters associated with stormwater runoff addressed by the project.

**Water Quality** parameters include:
- Pathogens
- Silt/Sediment
- Nutrients
- Floatables

<table>
<thead>
<tr>
<th>Pollutants of Concern</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project addresses all four of the parameters listed above</td>
<td>50</td>
</tr>
<tr>
<td>Project addresses at least two of the parameters listed</td>
<td>25</td>
</tr>
<tr>
<td>Project addresses one of the parameters listed</td>
<td>10</td>
</tr>
<tr>
<td>None of the above</td>
<td>0</td>
</tr>
</tbody>
</table>

B. **Water Quality Improvement Factor (WQI)**

Water Quality Improvement Factor will be evaluated based on three factors:
- B1. Program Scope Factor (SF)
- B2. Impairment Factor (IF)
- B3. Quantity/Quality Improvement Factor (QIF)

\[
WQI = SF \times IF \times QIF
\]

B1. **Program Scope Factor**

Points are allotted to a project based on how well it supports a Stormwater Management Program (SWMP) that meets and/or exceeds MS4 permit requirements.

<table>
<thead>
<tr>
<th>Program Scope</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>SWMP greatly exceeds permit requirements</td>
<td>8</td>
</tr>
<tr>
<td>SWMP exceeds permit requirements</td>
<td>6</td>
</tr>
<tr>
<td>SWMP meets permit requirements</td>
<td>4</td>
</tr>
<tr>
<td>SWMP only partially meets permit requirements</td>
<td>1</td>
</tr>
</tbody>
</table>
B2. **Impairment Factor (IF)**
Points are allotted to a project based on the impairments associated with the Pollutant of Concern parameters that it addresses.

**Water Quality** parameters include:
- Pathogens
- Sediment
- Nutrients
- Floatables

<table>
<thead>
<tr>
<th>Impairment Factors Addressed</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Addresses impairments associated with all four parameters</td>
<td>6</td>
</tr>
<tr>
<td>Addresses impairments associated with at least two parameters</td>
<td>3</td>
</tr>
<tr>
<td>Addresses impairments associated with one parameter</td>
<td>1</td>
</tr>
<tr>
<td>None of the above</td>
<td>0</td>
</tr>
</tbody>
</table>

B3. **Quality/Quantity Improvement Factor (QIF)**
Points are allotted to a project based on the amount of water quality and quantity improvement and/or protection anticipated to result from the proposed activities.

In assessing potential improvement, consideration will be given to:
- the extent that a proposed project contributes to a comprehensive and coordinated approach to solving water quality problems that reflects local needs and enhances the ability of local officials to address all relevant pollutants contributing to the impairment of the waterbody.
- whether the proposed project specifically targets the priorities identified in such a coordinated approach, the relative proportion of pollutant or disturbance (cause) being reduced or eliminated, and whether other pollutant sources or conditions remaining after project construction would prevent long-term improvements to a waterbody or aquatic habitat.

<table>
<thead>
<tr>
<th>Projected amount of quality/quantity improvement</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Large</td>
<td>4</td>
</tr>
<tr>
<td>Moderate</td>
<td>3</td>
</tr>
<tr>
<td>Minimal</td>
<td>2</td>
</tr>
<tr>
<td>None</td>
<td>1</td>
</tr>
</tbody>
</table>

Water Quality Improvement is calculated using the following equation:

\[ SF \times IF \times QIF = WQI \]
C. MS4 Implementation Program Priorities – Intermunicipal Cooperation

Points are assigned to projects on the basis of priorities identified by the available source of the funding. A project receives points for the one factor below that best applies.

<table>
<thead>
<tr>
<th>Priority on Intermunicipal Cooperation</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Newly designated Urbanized Area(s), participating in a coalition, working on one or more of the activities identified under Eligible Projects</td>
<td>200</td>
</tr>
<tr>
<td>Newly designated Urbanized Area, not participating in a coalition, working on one or more of the activities identified under Eligible Projects</td>
<td>200</td>
</tr>
<tr>
<td>Existing MS4 with expanded Urbanized Area, participating in a coalition, working on one or more of the activities identified under Eligible Projects</td>
<td>100</td>
</tr>
<tr>
<td>Other</td>
<td>25</td>
</tr>
</tbody>
</table>

D. Regional Economic Development Council Recommendation

<table>
<thead>
<tr>
<th>REDC Recommendation Criteria</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>The applicant may obtain a recommendation from the REDC stating that the proposed project aligns with priorities of the economic development plan developed by the REDC. The recommendation must be included with the application to receive three (3) points in the application review. OR</td>
<td>3</td>
</tr>
<tr>
<td>The applicant can attach a supplemental narrative to the application describing the economic benefits of the proposed project and how the project aligns with the strategies of the regional economic plan. The narrative must be included with the application to receive three (3) points in the application review.</td>
<td>3</td>
</tr>
</tbody>
</table>
**MS4 Score Sheet**

**Criterion A:** Pollutant of Concern (0 – 50 pts.)

**Criterion B:** Water Quality Improvement Factor (WQIF)

1. Program Scope Factor (PSF) (1 – 8 pts.)
2. Impairment Factor (IF) (0 – 6 pts.)
3. Quality/Quantity Improvement Factor (QIF) (1 – 4 pts.)

\[ WQI = (SF \times IF \times QIF) \]

**Criterion C:** MS4 Implementation Program Priorities (25 – 200 pts.)

**Criterion D:** Regional Economic Development Council (REDC) recommendation (0-3 pts.)

**TOTAL PROJECT SCORE (A + B + C + D):**
Appendix 4
Steps and Timeline for Execution of WQIP Contracts

This chart was prepared for the grant recipient and should be used as a guide to help with the contracting process. The timeline begins once the grant recipient receives a letter from DEC explaining the steps needed for completing the contract process and the recipient accepts the grant award.

<table>
<thead>
<tr>
<th>Timeframe</th>
<th>Schedule</th>
<th>Activity</th>
</tr>
</thead>
</table>
| Month 1 - 3 | Within 90 days from receiving award letter from DEC | Grant Recipient submits project workplan  
  • Select the workplan template for your project type and prepare the workplan according to the timeline  
  • Work with DEC’s regional WQIP contact to complete the project workplan.  
  • Complete the State Environmental Quality Review (SEQR)  
  • Submit project workplan to the DEC Regional WQIP contact |
| Month 2 - 4 | Within 30 days of project workplan submittal DEC will complete the review of the project workplan | • Regional and central office staff complete technical and administrative reviews.  
  • The length of this review period is determined by the necessity for any revisions and subsequent review and approval of them. |
| Month 3 - 5 | Within 30 days from approval of workplan     | DEC prepares contract  
  • DEC sends a proposed contract to grant recipient. |
| Month 4 - 6 | Within 30 days from grant recipient’s receipt of proposed contract | Grant Recipient returns signed contract  
  • Return the signed contract to the DEC central office |
| Month 8 - 12| Within 120 days of receipt of the grant recipient’s signed contract | Contract is executed  
  • DEC routes the contract through the DEC for approval.  
  • DEC forwards the contract to the State Attorney General’s and Comptroller’s Office for execution.  
  • Grant Recipient receives a copy of the executed contract when the Comptroller’s office approves the contract.  
  • Funding reimbursement can begin. For some grants, a 25% advance will be processed for the grant recipient. |
Appendix 5
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 there under, 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 goals will apply to the grant funds. 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: https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp?TN=ny&XID=4687

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

<table>
<thead>
<tr>
<th>Minority Business Enterprise (MBE) Participation Goals</th>
<th>MBE Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Location/Commodity Group</td>
<td></td>
</tr>
<tr>
<td>Statewide:</td>
<td></td>
</tr>
<tr>
<td>Construction/Engineering</td>
<td>10%</td>
</tr>
<tr>
<td>Commodities</td>
<td>10%</td>
</tr>
<tr>
<td>Services/Technologies</td>
<td>10%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Women’s Business Enterprise (WBE) Participation Goals</th>
<th>WBE Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Location/Commodity Group</td>
<td></td>
</tr>
<tr>
<td>Statewide:</td>
<td></td>
</tr>
<tr>
<td>Construction/Engineering</td>
<td>10%</td>
</tr>
<tr>
<td>Commodities</td>
<td>10%</td>
</tr>
<tr>
<td>Services/Technologies</td>
<td>10%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Equal Employment Opportunity (EEO) Participation Goals</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>EEO Minority Workforce Participation Goals</td>
<td></td>
</tr>
<tr>
<td>(DEC Regions 1- 9)</td>
<td>10%</td>
</tr>
</tbody>
</table>
Affirmative Action Representative
The local government is responsible for administering a comprehensive M/WBE-EEO program and must designate someone to serve as the Affirmative Action representative. The governing body should make the designation through resolution or other official means.

Project Description
The program applicant is to identify the nature of work involved in the project funded by the state assistance contract. A brief description of the component parts of the project to be funded will satisfy this element of the project workplan. It is important that the Engineering/Construction components be included in the project description.

Contact Person
Michele June
Compliance Specialist
NYS Department of Environmental Conservation
Bureau of Contract and Grant Development/MWBE Program
625 Broadway, 10th Floor
Albany, New York 12233-5028
Phone: (518) 402-9240
Fax: (518) 402-9023
Appendix 6
Municipal Resolution

Water Quality Improvement Projects and
Nonagricultural Nonpoint Source Projects
Municipal Resolution

Resolution authorizing the items listed below pursuant to the Bond Acts enacted in 1965, 1972 and 1996 and the Environmental Protection Fund, as well as federal grant awards available for such projects.

WHEREAS, __________________________________________________________

(Legal Name of Municipality)

herein called the "Municipality", after thorough consideration of the various aspects of the problem and study of available data, has hereby determined that certain work, as described in its application and attachments, herein called the "Project", is desirable, is in the public interest, and is required in order to implement the Project; and

WHEREAS, the Environmental Conservation Law ("ECL") authorizes State assistance to municipalities for water quality improvement projects by means of a contract and the Municipality deems it to be in the public interest and benefit under this law to enter into a contract therewith;

NOW, THEREFORE, BE IT RESOLVED BY ______________________________________

(Governing Body of Municipality)

1. That ________________________________________________________________

(Name and Title of Designated Authorized Representative)

or such person’s successor in office, is the representative authorized to act in behalf of the Municipality's governing body in all matters related to State assistance under ECL Articles 17, 51 and 56 and/or any applicable federal grant provisions. The representative is also authorized to make application, execute the State Assistance Contract, submit Project documentation, and otherwise act for the Municipality's governing body in all matters related to the Project and to State assistance;

2. That the Municipality agrees that it will fund its portion of the cost of the Project and that funds will be available to initiate the Project's field work within twelve (12) months of written approval of its application by the Department of Environmental Conservation;

3. That one (1) certified copy of this Resolution be prepared and sent to the Albany office of the New York State Department of Environmental Conservation.
4. That this Resolution take effect immediately.
CERTIFICATE OF RECORDING OFFICER

That the attached Resolution is a true and correct copy of the Resolution, as regularly adopted at a legally convened meeting of the ________________________________

(Name of Governing Body of Applicant)
duly held on the ______ day of ________________ , ______ ; and further that such Resolution has been fully recorded in the ________________________________ in my office.

(Title of Record Book)

In witness thereof, I have hereunto set my hand this __________ day of ________________ , ______ .

________________________________
Signature of Recording Officer

If the Applicant has an Official Seal, Impress here.

________________________________
Title of Recording Officer
Appendix 7
## Regional Water Contacts

<table>
<thead>
<tr>
<th>Region</th>
<th>Contact</th>
<th>Office</th>
<th>Phone</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Tony Leung</td>
<td>Stony Brook</td>
<td>(631) 444-0415</td>
</tr>
<tr>
<td>2</td>
<td>Selvin Southwell</td>
<td>Long Island City</td>
<td>(718) 482-4881</td>
</tr>
<tr>
<td>3</td>
<td>Patrick Ferracane</td>
<td>White Plains</td>
<td>(914) 428-2505 ext. 359</td>
</tr>
<tr>
<td>4</td>
<td>Andrea Dzierwa</td>
<td>Schenectady</td>
<td>(518) 357-2377</td>
</tr>
<tr>
<td>5</td>
<td>Bill Lupo</td>
<td>Warrensburg</td>
<td>(518) 623-1200</td>
</tr>
<tr>
<td>6</td>
<td>Steve Botsford</td>
<td>Watertown</td>
<td>(315) 785-2513</td>
</tr>
<tr>
<td>7</td>
<td>Joe Zalewski</td>
<td>Syracuse</td>
<td>(315) 426-7500</td>
</tr>
<tr>
<td>8</td>
<td>Scott Cook</td>
<td>Syracuse</td>
<td>(315) 426-7502</td>
</tr>
<tr>
<td>9</td>
<td>Scott Rodabaugh</td>
<td>Avon</td>
<td>(585) 226-5468</td>
</tr>
<tr>
<td></td>
<td>Nancy Rice</td>
<td>Avon</td>
<td>(585) 226-5453</td>
</tr>
<tr>
<td></td>
<td>Jeff Konsella</td>
<td>Buffalo</td>
<td>(716) 851-7070</td>
</tr>
</tbody>
</table>