New York State Department of Environmental Conservation (DEC) – Water Quality Improvement Project Program

Description
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. Grants awarded through the WQIP program can fund up to 85 percent of the project cost for Wastewater Treatment Improvement projects. Grant recipients may receive up to 75 percent of the project cost for Non-agricultural Nonpoint Source Abatement and Control, Aquatic Habitat Restoration, Municipal Separate Storm Sewer System projects.

Additional Resources
The RFA is available on the Department of Environmental Conservation’s website: http://www.dec.ny.gov/pubs/4774.html. Updates and/or modifications to the RFA, along with answers to questions received, will be posted on the DEC’s website. Questions should be submitted to user.water@dec.ny.gov no later than July 11, 2016.

Pre-application workshops will be held around the State. The workshop schedule along with additional information is available at http://regionalcouncils.ny.gov/. All those who would like to have the application process explained or have process-related and/or grant-related questions are encouraged to attend.

Funding
The Department anticipates using mainly Environmental Protection Funds for these projects. The Department anticipates having up to $25.9 million available for WQIP projects. The Department may potentially receive additional funding for qualifying projects (e.g., wastewater treatment, nonpoint source abatement and control, aquatic habitat restoration) located in Nassau and Suffolk counties. Should such funding become available, DEC reserves the right to award funding for scored and ranked projects, consistent with the method of award described in this grant opportunity.

Eligible Types of Applicants
Generally, applicants meeting the following criteria are eligible for WQIP funds. There is some variability among eligible applicants for specific project types. Applicant eligibility criteria is more clearly identified under each specific WQIP project type contained in this Request for Applications (RFA).

- Municipalities
- Municipal corporations
- Regulated traditional Municipal Separate Storm Sewer Systems (MS4s)
- Soil and water conservation districts
- Not-for-profit corporations, (Only aquatic habitat restoration projects)

Applicant who have demonstrated poor management of past WQIP contract(s) will not be funded in Round 13. Also applicants who have not previously been
awarded a WQIP grant but their Round 13 application does not demonstrate the experience and ability to carry out the project will not be funded in Round 13.

Projects that have not secured any of the necessary approvals and are not ready to proceed with project implementation will not be funded.

All municipalities and soil and water conservation districts must register in the NYS Grants Gateway to be eligible for this grant (http://grantsreform.ny.gov).

All not-for-profits must register and prequalify in the NYS Grants Gateway by the due date of this application to be eligible for this grant (http://grantsreform.ny.gov).

Eligible Types of Projects

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

Funding Priorities

Funding priorities are determined in each individual WQIP project type description described in this RFA.

Ineligible WQIP Projects

Application proposals that do not address water quality impairment.

DETAILED WQIP PROJECT TYPES AND DESCRIPTIONS ARE LISTED BELOW

Non-agricultural Nonpoint Source Abatement and Control

Eligible Applicants

- Municipalities
- Soil and water conservation districts

Eligible Projects

Nonpoint Source Best Management Practices (BMPs)
Details on specific practices can be found in the following guidance documents.

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1 For the purposes of Non-agricultural Nonpoint Source Abatement and Control projects under this grant opportunity, “Municipality” means 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.
Priority Best Management Practices

- **Decentralized Wastewater Treatment Facilities for Failing On-site Treatment Systems:**
  The construction of decentralized wastewater treatment facilities including the necessary collection and conveyance system. The decentralized wastewater treatment facility must consist of a subsurface treatment and disposal system designed in accordance with DEC standards. Collection may take the form of either a septic tank effluent pump (STEP) or septic tank effluent gravity (STEG), grinder pump or gravity sewer system. Applicants must demonstrate that necessary approvals and agreements can be in place within 12 months of grant award to complete the process of sewer district formation. Maximum grant available per facility is $1,275,000.

- **Green Infrastructure (GI) Practices:** To address Combined Sewer Overflows (CSO) that are either under an approved Long Term Control Plan or are 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 for maintaining the green infrastructure BMPs installed.
  - Applicants applying for green infrastructure projects must complete a feasibility study for the proposed project and submit the study with the electronic application.

- **Green Infrastructure (GI) Practices Great Lakes:** To enhance coastal resilience and promote “natural engineering” or nature based shoreline, innovative green infrastructure and related storm-water management practices in the following counties bordering Lake Ontario and the St. Lawrence River: Niagara, Orleans, Monroe, Wayne, Cayuga, Oswego, Jefferson and St. Lawrence. Projects that demonstrate the effectiveness of such practices in high-intensity, storm and wave impact resilience will be given priority.
  - Applicants applying for green infrastructure projects must complete a feasibility study for the proposed project and submit the study with the electronic application.

- **Stormwater Retrofits:** Installation of stormwater retrofits designed to capture and remove the pollutant of concern (POC) causing a water quality impairment. Retrofits installed to achieve reduction in the POC to meet the Pollutant Load Reduction requirements of the MS4 General Permit will be given higher priority.
• Stream Stabilization/Restoration
• Riparian Buffers
• In-Waterbody Controls for Nutrients:
  o Hypolimnetic Aeration
  o Hypolimnetic Withdrawal
  o Dredging

Proposals for in-waterbody practices to control nutrients must:
- Show that a plan has been completed for controlling external sources and that the plan is being implemented;
- Provide a study, completed by a qualified professional, as demonstrated through work experience and/or education (e.g. certified lake manager, professional engineer, marine scientist or limnologist), that identifies significant internal waterbody loading and justification for the use of the BMP;
- Provide a plan for long term operation and maintenance of the BMP (Hypolimnetic Aeration and Withdrawal);
- Applicants must secure appropriate permits prior to submitting application.

Projects must be consistent with practices identified in approved DEC guidance documents or General/Technical resources noted above.

Priorities
DEC will assess the Non-agriculture Nonpoint Source applications projects based on the following:
- Highest priority will be given to projects specifically identified in a Total Maximum Daily Load (TMDL) Implementation Plan, 9-element Watershed Plan or explicitly identified in the Waterbody Inventory/Priorities Waterbodies List (PWIL) sheet as "precluded" or "impaired."
- Secondary priority will be given to projects addressing an identified priority of a TMDL Implementation Plan or a 9-element Watershed Plan or addressing waterbodies identified on the (WI/PWL) as being “stressed” or threatened.

Land Owner Agreements
The applicant must own the property, or obtain an applicable access agreement, for the proposed project site.
- If the property owner is a municipality – A resolution by the municipality supporting the project.
- If the property is not owned by the applicant – a formal written agreement between the applicant and landowner which allows the applicant access to the property, and represent the landowner, to accomplish the proposed project.
- If the applicant is a not-for-profit proposing a project on municipal property - a signed Municipal Endorsement. A municipal endorsement provides authorization for the not-for-profit to conduct the proposed project on municipal property. A sample municipal endorsement can be downloaded and viewed in the Pre-submission Upload section in the Grants Gateway.
Grant and Match Funds
Grant funds are available for up to 75 percent of the total project costs. Applicants must provide match funds of at least 25 percent of the requested grant amount.

Eligible Costs
Eligible costs are those costs incurred to implement the project (e.g. salary, fringe, contractual services, travel, and equipment). 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 cannot exceed 20 percent of the project cost. If planning of exceed 20 percent the project will be indelible to receive funding. Eligible costs must be incurred within the start and end date of the project.

Ineligible Costs
Planning and design costs alone are not eligible to be funded under this grant. This funding cannot be used to purchase land. Indirect costs are not eligible to be used as match for WQIP projects (e.g., office space/property rental, utilities, and other office supplies). Also costs incurred outside the start and end date of the project are not eligible.

Match Funds
Match funds consist of cash contributions and in-kind services put forth by the applicant to complete the awarded project. Match funds include: municipal salaries, fringe, contractual, travel, equipment, supplies, materials, and land acquisition. Match funds must consist of activities considered eligible for WQIP funding and must be incurred within the start and end date of the project. State or federal grant dollars cannot be used for the match funds. When applying for this grant, the applicant must identify the source of the matching funds.

Project Specific Funding Information
Funding ($500,000) is available for qualifying projects located in the following counties bordering Lake Ontario and the St. Lawrence River: Niagara, Orleans, Monroe, Wayne, Cayuga, Oswego, Jefferson and St. Lawrence. For this funding, preference will be given to Green Infrastructure projects.

Contact
New York State Department of Environmental Conservation
Division of Water, Jacqueline Lendrum, (518) 402-8086

Wastewater Treatment Improvement

Eligible Applicants
• Municipalities

Eligible Projects
• Wastewater Effluent Disinfection – Wastewater treatment projects (as defined in Environmental Conservation Law §56-0101) to upgrade municipal systems to meet new wastewater treatment effluent disinfection requirements and increase wastewater treatment plant resiliency with the installation of backup power. Prior to submitting an application, eligible projects must have been notified by DEC that their treatment system requires an upgrade to add effluent disinfection. Applicants will be required to submit an engineering report for the project with their application. Maximum grant available per facility is $2.5 million.
• General wastewater infrastructure improvements - Wastewater treatment improvement projects (as defined in Environmental Conservation Law §56-0101) to upgrade municipal systems to meet wastewater treatment discharge requirements. Applicants will be required to submit an engineering report for the project with their application. Maximum grant available per facility is $2.5 million.

Priorities
DEC will fund eligible disinfection projects (highest priority) starting with the highest scoring disinfection project. Once all the disinfection projects have been funded, DEC will award funding to the wastewater infrastructure improvement projects (secondary priority) starting with the highest scoring project.

DEC will assess the Wastewater Treatment Improvement applications projects based on the following:
• Highest priority will be given to projects addressing effluent disinfection.
• Secondary priority will be given to projects addressing wastewater infrastructure improvements.

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

Eligible Costs
Eligible costs are limited to construction costs that are part of construction contracts, i.e., general, electrical, plumbing, HVAC and mechanical (e.g., salary, fringe, contractual, equipment). Eligible costs must be incurred within the start and end date of the project.

Ineligible Costs

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2 For the purposes of Wastewater Treatment Improvement projects under this grant opportunity, “Municipality” means 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.
The following costs are NOT eligible for reimbursement: engineering, design, legal fees, construction oversight and non-construction costs incurred during the construction phase of the project. Indirect costs are not eligible to be used as match for WQIP projects (e.g., travel, space/property rent, utilities, and other office supplies). Also costs incurred outside the start and end date of the project are not eligible.

**Match Funds**
Match funds consist of cash contributions and in-kind services put forth by the applicant to complete the awarded project. Match funds include: salaries, fringe, contractual, equipment, supplies, and materials. Match funds must consist of activities considered eligible for WQIP funding and must be incurred within the start and end date of the project. State or federal grant dollars cannot be used for the match funds. When applying for this grant, the applicant must identify the source of the matching funds.

**Contact**
NYS Department of Environmental Conservation
Division of Water, Koon Tang, (518) 402-8238

**Aquatic Habitat Restoration**

**Eligible Applicants**
- Municipalities
- Soil and water conservation districts
- Not-for-profit corporations

**Eligible Project Types**
Aquatic Habitat Restoration (as defined in Environmental Conservation Law §56-0101) projects must meet the following criteria to be eligible for WQIP funding:

1. Projects located in New York State:
   Eligible applications must focus on work that improves aquatic habitat connectivity at road/stream crossings or dams, with the primary intent to improve the natural movement of biota. Projects should seek to increase aquatic organism passage, as well as any other related ecological connectivity conditions. Projects should correct limitations to aquatic connectivity and must focus on culverts, bridges or dams that are causing these barriers. Sample projects, include, but are not limited to, the following:

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3 For the purposes of Aquatic Habitat Restoration projects under this grant opportunity, “Municipality” means 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.

4 Environmental Conservation Law, Article 56-0101 (16), “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.
• Upgrade and replacement of road stream crossing structures (culverts and bridges) to a larger size and appropriate design to increase ecological connectivity and hydrologic capacity. Guidance for such projects is found at: http://www.dec.ny.gov/permits/49066.html
• Removal or breach of stream barriers such as dams or weirs that limit aquatic connectivity. Removals must meet natural resource management goals of an area
• Stream daylighting, the opening of streams which have been previously enclosed in permanent tunnels

2. Projects within the New York/New Jersey Harbor Estuary Comprehensive Conservation and Management Plan5, Nassau and Suffolk counties:
Eligible applications must improve the ecological condition of the waters of the state including ponds, bogs, wetlands, bays, sounds, streams, rivers, or lakes and shorelines with the intent to support a spawning, nursery, wintering, migratory, nesting, breeding, or foraging environment for fish and wildlife and other biota.

Sample projects, include, but are not limited to, the following:
• Restoration or management of tidal or freshwater wetlands
• Creation or restoration of submerged aquatic vegetation
• Restoration or enhancement of shellfish and shellfish beds
• Removal of tidal restrictions (i.e., berms, culverts) to reconnect formerly functioning wetlands

Land Owner Agreements
The applicant must own the property, or obtain an applicable access agreement, for the proposed project site.
• If the property owner is a municipality – A resolution by the municipality supporting the project.
• If the property is not owned by the applicant – a formal written agreement between the applicant and landowner which allows the applicant access to the property, and represent the landowner, to accomplish the proposed project.
• If the applicant is a not-for-profit proposing a project on municipal property - a signed Municipal Endorsement. A municipal endorsement provides authorization for the not-for-profit to conduct the proposed project on municipal property. A sample municipal endorsement can be downloaded and viewed in the Pre-submission Upload section in the Grants Gateway.

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

Eligible Costs

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5 New York/New Jersey Harbor & Estuary Program boundaries within New York State can be found at: http://www.harborestuary.org/geography.htm
Eligible costs are those costs incurred to implement the project. Planning, design, construction management, maintenance, reconstruction, revitalization, or rejuvenation activities are eligible for this project type only (e.g. salary, fringe, contractual, travel, equipment). Planning and design costs cannot exceed 20 percent of the project cost. If planning of exceed 20 percent the project will be indelible to receive funding. Eligible costs must be incurred within the start and end date of the project.

Ineligible Costs
Planning and design costs alone are not eligible to be funded under this grant. Indirect costs are not eligible to be used as match for WQIP projects (e.g., space/property rental, utilities, office supplies). Also, costs incurred outside the start and end date of the project are not eligible.

Match Funds
Match funds consist of cash contributions and in-kind services put forth by the applicant to complete the awarded project. Match funds include salaries, fringe, contractual, travel, equipment, and other costs including land acquisition. Match funds must consist of activities considered eligible for WQIP funding and must be incurred within the start and end date of the project. State or federal grant dollars cannot be used for the match funds. When applying for this grant, the applicant must identify the source of the matching funds.

Contacts
Josh Thiel, (518) 402-8978
Division of Fish, Wildlife and Marine Resources,
NYS Department of Environmental Conservation

Municipal Separate Storm Sewer Systems (MS4s)

Eligible Applicants
- Regulated Traditional MS4s
- Municipalities
- Soil and water conservation districts

6 40 CFR 122.26(b)(16)(i). Small municipal separate storm sewer system means all separate storm sewers that are owned or operated by the United States, a State, city, town, borough, county parish, district, association, or other public body (created by or pursuant to State law) having jurisdiction over disposal of sewage, industrial wastes, storm water, or other wastes, including special districts under State law such as a sewer district, flood control district or drainage district, or similar entity, or an Indian tribe or an authorized Indian tribal organization, or a designated and approved management agency under section 208 of the CWA that are discharges to waters of the United States.

7 For the purposes of Municipal Separate Storm Sewer Systems projects under this grant opportunity, “Municipality” means 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.
Funding will be considered for proposals submitted on behalf of multiple regulated MS4s. Only the lead applicant needs to register in the NYS Grants Gateway (http://grantsreform.ny.gov).

To be eligible to receive funding, applicants must participate in an area-wide municipal cooperative stormwater group (e.g., coalition), if one exists. 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, the lead applicant must get a signed commitment from each participating MS4 by the date of the contract execution. The agreement must state that the partner municipality will deliver its share of the outputs specified in the contract workplan. Failure to obtain the signed agreements could result in the grant award being rescinded.

**Eligible Projects**

Eligible activities include (proposed projects must meet the minimum MS4 permit requirements):

1. Development of Retrofit plans for existing unmanaged and/or inadequately managed stormwater runoff to MS4s discharging to impaired watersheds with approved TMDLs (MS4 General Permit Part IX). Eligible projects are those that will deliver an inventory and ranking of all MS4-owned properties and infrastructure with retrofit potential. Plans should be developed using the “Center for Watershed Protection Urban Stormwater Retrofit Practices Guidance.”
   - Identification of potential retrofit locations at publicly owned properties, street right of way, culverts/outfalls and existing detention practices;
   - Identification of potential retrofit treatment options and constraints;
   - Development of an inventory of potential retrofit projects with conceptual design;
   - Evaluation and ranking of potential retrofits; and
   - Identification of the most cost effective approaches.

2. Comprehensive system mapping/program mapping
   - Mapping requirements (see the following table):
<table>
<thead>
<tr>
<th>REQUIRED Items for Comprehensive System Mapping/Program Mapping</th>
<th>Basic Comprehensive Map (only newly designated MS4s)</th>
<th>Required Elements Map (Maps must include these elements to be considered for funding)</th>
<th>Additional Elements Map (Elements beyond the minimum required elements)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Waterbody Mapping</strong></td>
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<tr>
<td>All Waterbodies within the MS4 jurisdiction</td>
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<tr>
<td>Impaired Segments</td>
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<tr>
<td><strong>Outfall Mapping</strong></td>
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<tr>
<td>Electronic GIS Map</td>
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<td>Receiving Waterbody Name</td>
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<td>Type of Conveyance</td>
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<tr>
<td>Outfall material</td>
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<td>Outfall shape</td>
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<tr>
<td>Type of outfall</td>
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<tr>
<td>Submerged in water?</td>
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<tr>
<td>Submerged in sediment?</td>
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<tr>
<td>Inspection data</td>
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<tr>
<td><strong>Sewershed Boundary</strong></td>
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<td>Preliminary</td>
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<tr>
<td>Impaired waters</td>
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<td>Per MS4 outfall</td>
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<td>Land Use within Impaired Watersheds</td>
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<td>(Commercial, HD Residential, LD Residential, Industrial, Open Space)</td>
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<td>Land Use within Other sewersheds</td>
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<tr>
<td>(Commercial, HD Residential, LD Residential, Industrial, Open Space)</td>
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<td><strong>Priority Areas</strong></td>
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<tr>
<td>Areas with Onsite wastewater systems subject to Part IX requirements</td>
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<tr>
<td>Description of Concern (Sewershed to impaired waters, septic systems, high water table, industrial area, etc.)</td>
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<tr>
<td>Pollutant(s) of Concern (Litter, Sediment, Nutrients, etc.)</td>
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<td>Areas of Shallow Groundwater</td>
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<td>Areas of Low Infiltrative Soils</td>
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<td>Areas of historic on-site sanitary system failures</td>
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<tr>
<td><strong>Other areas of Concern (wetlands, riparian buffers, flood plains, steep slopes, etc.)</strong></td>
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<tr>
<td><strong>Areas with Onsite wastewater systems (Typical age?)</strong></td>
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<tr>
<td><strong>Stormwater Management Practice (SMP) Mapping (minimum data must include)</strong></td>
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<tr>
<td>Location</td>
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<tr>
<td>Type of SMP (Pond, Bioretention, Swale, Rain Garden, etc.)</td>
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<td>Reason for SMP (Retrofit, New Development, Flood Control, etc.)</td>
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<td>Ownership of SMP</td>
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<td>Location where SMP discharges (Does SMP drain to MS4?)</td>
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<td>X</td>
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<tr>
<td>Contributing Drainage area to SMP (if known) Construction date (if known)</td>
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<td>Last Inspection date (if known)</td>
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<td><strong>Proposed Retrofits</strong></td>
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<td>Location</td>
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<tr>
<td>Contributing drainage area to the proposed stormwater retrofit</td>
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<tr>
<td><strong>Municipality owned/operated facilities</strong></td>
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<td>Location</td>
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<tr>
<td>Type (Municipal Buildings, DPW Garage, vehicle and fleet maintenance areas (fire station, police station, bus stations), landfills, salt storage areas, parks &amp; open space, solid waste disposal areas, transfer stations, marinas, etc.)</td>
<td></td>
<td>X</td>
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<tr>
<td>Contact</td>
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<tr>
<td>Last Assessment Date</td>
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<tr>
<td><strong>Storm Sewer System Mapping (for areas not subject to Part IX)</strong></td>
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<tr>
<td>Type of Conveyance System (closed pipe or open drainage)</td>
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<td>X</td>
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<tr>
<td>*Closed Pipe (Pipe material; Shape; Size)</td>
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<tr>
<td>*Open Drainage (Channel/Ditch lining material; Shape; Dimensions; Locations and dimensions of any culvert crossings)</td>
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<tr>
<td>Drop Inlet, catch basin and manhole locations</td>
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<td>X</td>
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<tr>
<td>Number and size of connections to catch basins and manholes</td>
<td></td>
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<td></td>
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<tr>
<td>Direction of Flow</td>
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<td>X</td>
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</tbody>
</table>
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.

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

**Eligible Costs**
Eligible costs are those costs incurred by MS4s to develop and implement a stormwater management program (SWMP) that complies with GP-0-15-003 (e.g. salaries, fringe, contractual services, travel, equipment). Eligible costs must be incurred within the start and end date of the project.

**Ineligible Costs**
Indirect costs are not eligible to be used as match for WQIP projects (e.g., office supplies, rental office space, utilities), and costs incurred outside the start and end date of the project will not be considered eligible.

**Match Funds**
Match funds 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. Match funds must consist of activities considered eligible for WQIP funding and must be incurred within the start and end date of the project. State or federal grant dollars cannot be used for the match funds. When applying for this grant, the applicant must identify the source of the matching funds.

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

**EVALUATION PROCESS FOR ALL PROJECT TYPES**

**Scoring and Selection**
All applications will be reviewed and scored by a review team in accordance with the evaluation and scoring criteria contained in this RFA. Applicants are strongly encouraged to read and address the scoring standards in the process of developing an application. Knowledge of the scoring criteria is valuable for designing and proposing a relevant and quality project. Scoring consists of two steps:

Applications are first reviewed for eligibility and then scored in accordance with the Evaluation and Scoring Standards contained in this RFA.
Method of Award Criteria Details
Funding will be distributed to the highest scoring projects in each WQIP category until the available funding is exhausted or the amounts listed in the RFA have been met. High priority projects in the wastewater treatment improvement category will be awarded funding based on score. Any remaining funding will be awarded to the highest scoring secondary priority projects.

Eligibility Criteria:
To be eligible for consideration applicants must meet the following criteria:
1. Eligible Applicant
   a. Municipality
   b. Municipal Corporation
   c. Regulated traditional Municipal Separate Storm Sewer Systems (MS4s)
   d. Soil and Water Conservation District
   e. Not-for-Profit Corporation (Aquatic Habitat only)
2. Eligible Project Type
   a. Non-Agricultural Nonpoint Source Abatement and Control
   b. Wastewater Treatment Improvement
   c. Aquatic Habitat Restoration
   d. Municipal Separate Storm Sewer Systems (MS4s)
3. Registration in the NYS Grants Gateway
   a. Municipalities, Municipal Corporations and Soil and Water Conservation Districts must be registered in the NYS Grants Gateway by the time of project award.
   b. Not-for-Profit Corporations must be registered and pre-qualified in the NYS Grants Gateway by the application due date.

Selection Criteria
Projects will be scored and selected based on the following criteria.

Nonpoint Source Abatement and Control AND Wastewater Treatment Improvement Projects

<table>
<thead>
<tr>
<th>Performance Measures</th>
<th>Maximum Points</th>
<th>Minimum Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project specifically identified in:</td>
<td>TMDL Implementation Plan, Watershed Action Agenda, SPDES Permit</td>
<td>Project addresses priorities in: TMDL Implementation Plan, Watershed Action Agenda, SPDES Permit</td>
</tr>
<tr>
<td>Project necessary to preserve or protect a surface waterbody not listed on the PWL.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

14
<table>
<thead>
<tr>
<th>Reasonableness of Cost</th>
<th>Vision</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Points: 40</strong></td>
<td><strong>Points: 5</strong></td>
</tr>
<tr>
<td>Exceptional value for the cost as it applies to both achieving the project objectives and being a fiscally sound project. Also to be considered is if the applicant is a Climate Smart Community, has taken Action 3.31, 3.32, 7.1 or 7.10 and information from one or more of the Actions is referenced in the application.</td>
<td>Proposed project will improve a waterbodies impairment level as it pertains to impairments as listed on the Waterbodies Inventory/Priority Waterbodies List (WI/PWL) by two levels or will eliminate the impairment.</td>
</tr>
<tr>
<td><strong>Points: 20</strong></td>
<td><strong>Points: 5</strong></td>
</tr>
<tr>
<td>Cost is good as it applies to both achieving the project objectives and being a fiscally sound project.</td>
<td>Proposed project will improve a waterbodies impairment level as it pertains to impairments as listed on the Waterbodies Inventory/Priority Waterbodies List (WI/PWL) by one level.</td>
</tr>
<tr>
<td><strong>Points: 10</strong></td>
<td><strong>Points: 0</strong></td>
</tr>
<tr>
<td>Cost is reasonable as it applies to both achieving the project objectives and being a fiscally sound project.</td>
<td>Proposed project will have no reduction to the impairment level as it pertains to impairments listed on the Waterbodies Inventory/Priority Waterbodies List (WI/PWL).</td>
</tr>
<tr>
<td></td>
<td>Points: 10</td>
</tr>
<tr>
<td>------------------------------</td>
<td>---------------------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>Project Readiness</strong></td>
<td>Project has all necessary permits (or does not need permits) and approvals. The project is ready to move forward with construction.</td>
</tr>
<tr>
<td></td>
<td><strong>Points: 5</strong></td>
</tr>
<tr>
<td><strong>Experience and Ability</strong></td>
<td>Applicant has shown the ability to complete all WQIP projects.</td>
</tr>
<tr>
<td></td>
<td><strong>Points: 5</strong></td>
</tr>
<tr>
<td><strong>Regional Economic Development Priority</strong></td>
<td>20 points for this criterion are provided by the Regional Economic Development Councils.</td>
</tr>
<tr>
<td><strong>Total Maximum Points</strong></td>
<td>100 points</td>
</tr>
</tbody>
</table>
### Aquatic Habitat Restoration (AHR) Projects

<table>
<thead>
<tr>
<th>Performance Measures (Statewide Projects)</th>
<th>Maximum Points</th>
<th>Minimum Points</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Species Miles</strong>: 10 or more</td>
<td><strong>Species Miles</strong>: 3 or more</td>
<td><strong>Species Miles</strong>: 0.1 or more</td>
</tr>
<tr>
<td><strong>Barrierity</strong>: Significant or greater</td>
<td><strong>Barrierity</strong>: Moderate or greater</td>
<td><strong>Barrierity</strong>: Minor or greater</td>
</tr>
<tr>
<td><strong>Points</strong>: 40</td>
<td><strong>Points</strong>: 30</td>
<td><strong>Points</strong>: 10</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Performance Measures (New York/New Jersey Harbor Estuary CCMP, Nassau and Suffolk Counties)</th>
<th>Excellent: Addresses a habitat restoration priority (or critical habitat) identified in a Federal or state management plan and provides benefit to 3 or more SGCN or Federal trust species. <strong>Points</strong>: 40</th>
<th>Good: Addresses 2 or more habitat restoration priorities (or critical habitats) identified in a Federal of State management plan, and provides benefit to 2 or more State SGCN or Federal trust species. <strong>Points</strong>: 30</th>
<th>Fair: Addresses one or more habitat restoration priorities (or critical habitats) identified in a Federal or State management plan, and provides benefit to one or more State SGCNs or Federal trust species. <strong>Points</strong>: 20</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Poor: Addresses any goal identified in a Federal or state management plan, and provides direct benefit to any species of management concern to the Department. <strong>Points</strong>: 10</td>
<td><strong>Points</strong>: 5</td>
<td></td>
</tr>
</tbody>
</table>

| Reasonableness of Cost | Exceptional value for the cost as it applies to both achieving the project objectives and being a fiscally sound project. | Cost is reasonable as it applies to both achieving the project objectives and being a fiscally sound project. | Cost is not reasonable for this type of project. |

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8 Species Miles: See explanation at the end of this matrix.

9 Barrierity: See explanation at the end of this matrix.

10 New York/New Jersey Harbor & Estuary Program boundaries within New York State can be found at: [http://www.harborestuary.org/geography.htm](http://www.harborestuary.org/geography.htm)
<table>
<thead>
<tr>
<th><strong>Vision</strong></th>
<th>Proposed project will improve a waterbodies impairment level as it pertains to the goals of the Aquatic Habitat Restoration category or such impairments as listed on the Waterbodies Inventory/Priority Waterbodies List (WI/PWL) by two levels or will eliminate the impairment.</th>
<th>Proposed project will improve a waterbodies impairment level as it pertains to the goals of the Aquatic Habitat Restoration category or such impairments as listed on the Waterbodies Inventory/Priority Waterbodies List (WI/PWL) by one level.</th>
<th>Proposed project will have no reduction to the impairment level as it pertains to the goals of the Aquatic Habitat Restoration category or such impairments as listed on the Waterbodies Inventory/Priority Waterbodies List (WI/PWL).</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Project Readiness</strong></td>
<td>Project has all necessary permits (or does not need permits) and approvals. The project is ready to move forward with construction.</td>
<td>Project is not ready to proceed with construction but has some of the necessary approvals and is expected to lead to construction without delay.</td>
<td>Project has not secured any of the necessary approvals and is not ready to proceed to construction. Applications that fall into this category will not be funded.</td>
</tr>
<tr>
<td><strong>Experience and Ability</strong></td>
<td>Applicant has shown the ability to complete all WQIP projects.</td>
<td>Applicant has shown the ability to complete most WQIP contracts.</td>
<td>Applicant has demonstrated poor management of WQIP contract(s). OR Applicant has not previously been awarded a WQIP grant and does not appear to have</td>
</tr>
</tbody>
</table>
OR
Applicant has not previously been awarded a WQIP grant but appears to have the experience and ability to carry out the project. **Applications that fall into this category will not be funded.**

<table>
<thead>
<tr>
<th>Points: 5</th>
<th>OR Applicant has not previously been awarded a WQIP grant but appears to have the experience and ability to carry out the project. <strong>Applications that fall into this category will not be funded.</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Points: 3</td>
<td></td>
</tr>
<tr>
<td>Points: 0</td>
<td></td>
</tr>
</tbody>
</table>

### Regional Economic Development Priority
20 **points for this criterion are provided by the Regional Economic Development Councils.**

### Total Maximum Points
100 **points**

**Species Miles**
Describes the functional gain achieved by removing a barrier to aquatic organism passage. The total number of SGCN (http://www.dec.ny.gov/animals/9406.html) or other aquatic species of management concern to the Department is multiplied by the total number of stream miles which will be made accessible to these species. Stream miles is calculated by totaling the linear distance of each stream segment, including tributaries, from the existing barrier traveling upstream until the next impassable barrier. (Species x Stream Miles = Species Miles)

**Barrierity**
Describes the severity to which a structure creates a barrier to aquatic organism passage. It is derived from a protocol for calculating this value as part of the Stream Continuity Project (SCP) (http://www.streamcontinuity.org/). When this methodology is not possible, professional judgement will be used to assess a structure that most closely replicates the categories used by SCP.

<table>
<thead>
<tr>
<th>Severe</th>
<th>Less than 0.3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Significant</td>
<td>0.3001 – 0.5</td>
</tr>
<tr>
<td>Moderate</td>
<td>0.5001 – 0.7</td>
</tr>
<tr>
<td>Minor</td>
<td>0.7001 – 0.9</td>
</tr>
<tr>
<td>Insignificant</td>
<td>0.9001 – 0.9999</td>
</tr>
</tbody>
</table>
## Municipal Separate Storm Sewer System (MS4) Projects

<table>
<thead>
<tr>
<th>Performance Measures</th>
<th>Maximum Points</th>
<th>Minimum Points</th>
<th>Reasonableness of Cost</th>
<th>Points: 20</th>
<th>Points: 10</th>
<th>Points: 5</th>
<th>Points: 0</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project addresses comprehensive mapping and stormwater retrofit planning. <strong>Points: 30</strong></td>
<td>Project addresses comprehensive mapping <strong>OR</strong> Project addresses stormwater retrofit planning <strong>Points: 15</strong></td>
<td>Cost is good as it applies to both achieving the project objectives and being a fiscally sound project. <strong>Points: 10</strong></td>
<td>Cost is reasonable as it applies to both achieving the project objectives and being a fiscally sound project. <strong>Points: 5</strong></td>
<td>Cost is not reasonable for this type of project. <strong>Points: 0</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Vision</td>
<td>Project greatly exceeds permit requirements mapping including many above and beyond elements or innovative retrofit planning that includes desktop analysis, field reconnaissance, site inventory, site evaluation and ranking, subwatershed analysis). <strong>Points: 20</strong></td>
<td>Project meets permit requirements (retrofit planning that includes desktop analysis, field reconnaissance, site inventory, site evaluation and ranking). <strong>Points: 5</strong></td>
<td>Project only partially meets or does not meet permit requirements. <strong>Points: 1</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Project Readiness</td>
<td>Project has all necessary pieces in place to complete retrofit planning and/or mapping. <strong>Points: 5</strong></td>
<td>Project has some of the necessary pieces in place to complete retrofit planning and/or mapping. <strong>Points: 3</strong></td>
<td>Project has not secured any of the necessary approvals and is not ready to proceed with project implementation. <strong>Applications that fall into this category will not be funded.</strong> <strong>Points: 0</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Experience and Ability</td>
<td>Applicant has shown the ability to complete all WQIP projects.</td>
<td>Applicant has shown the ability to complete most WQIP contracts. OR Applicant has not previously been awarded a WQIP grant but appears to have the experience and ability to carry out the project.</td>
<td>Applicant has demonstrated poor management of WQIP contract(s). OR Applicant has not previously been awarded a WQIP grant and does not appear to have the experience and ability to carry out the project. Applications that fall into this category will not be funded.</td>
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<td>--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
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<td></td>
<td></td>
<td></td>
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<tr>
<td>Points: 5</td>
<td></td>
<td>Points: 3</td>
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<td></td>
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</tr>
<tr>
<td>Points: 0</td>
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</tr>
<tr>
<td>Regional Economic Development Priority</td>
<td>20 points for this criterion are provided by the Regional Economic Development Councils.</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Total Maximum Points</td>
<td>100 points</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
The Department of Environmental Conservation reserves the right to:

- Award additional and available funding for scored and ranked projects consistent with this grant opportunity.
- Award an agreement for any or all parts of the RFA in accordance with the method of award, or withdrawal of the RFA at any time at the Department’s sole discretion.
- Award only one application for funding in the event there are multiple application submissions for a single project or for pieces of a single project.
- Award to the next highest scoring application in the event a grantee fails to negotiate a grant contract with the Department within 60-90 days of a grant award.
- Monitor the progress of all grant awards and withdraw grant funding if the grantee fails to make significant and timely progress on the project, or fails to receive the necessary permissions and permits for the project.
- The Department reserves the right not to fund projects that are determined not to be consistent with NYS’s Smart Growth Public Infrastructure Policy Act.

Smart Growth Infrastructure Policy Act
New York State’s Smart Growth Public Infrastructure Policy Act (ACT), Environmental Conservation Law Article 6, requires the Department 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, or that compliance is considered to be impracticable, before making any commitment to fund such project(s).

Insurance Requirements
Applicants will be required to carry appropriate insurance upon execution of a MCG and as specified in the MGC 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. Please refer to Program Terms and Conditions for additional insurance information.

Signage Requirements
The Department may require the installation of a project sign (2’ x 4’) which identifies the EPF as a source of funding as outlined in the requirements and specifications attached to and made part of this contract as Attachment E.

For projects with multiple funding sources the Contractor acknowledges that a portion of this grant is funded by the Department as a Water Quality Improvement Project. The Contractor agrees to identify the Department as a source of funding for this project in any communications to the public. The Department may require the installation of a project sign which identifies it as a source of funding as outlined in the requirements and
specifications attached to and made part of this contract as Attachment E.

**Permit Requirements (if applicable)**
Contractors agree to obtain all required permits, including but not limited to, local, state and federal permits prior to the commencement of any project related work. The Contractor agrees that all work performed in relation to the project by the Contractor or its agents, representatives, or contractors will comply with all relevant federal, state and local laws, rules, regulations and standards, zoning and building codes, ordinances, operating certificates for facilities, or licenses for an activity.

**State Environmental Quality Review (SEQR) Documentation**
With respect to the project, the Contractor certifies that it has complied, and shall continue to comply with all requirements of the State Environmental Quality Review Act (SEQRA). The Contractor agrees to provide all environmental documents as may be required by the Department. The Contractor has notified, and shall continue to notify, the Department of all actions proposed for complying with the environmental review requirements imposed by SEQRA.

**Vendor Responsibility Questionnaire**
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](http://www.osc.state.ny.us/vendrep/vendor_index.htm), or go directly to the VendRep System at [https://portal.osc.state.ny.us](https://portal.osc.state.ny.us).

**Iran Divestment Act**
As a result of the Iran Divestment Act of 2012 (Act), Chapter 1 of the 2012 Laws of New York, a new provision has been added to the State Finance Law (SFL), § 165-a, effective April 12, 2012. By entering into a Contract, the Contractor 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](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. Additional detail on the Iran Divestment Act can be found in the MCG, Attachment A-1 Program Specific Terms and Conditions.

**MINORITY/WOMEN BUSINESS ENTERPRISES (M/WBE) AND EQUAL EMPLOYMENT OPPORTUNITIES (EEO) REQUIREMENTS**
The Department is required to implement the provisions of New York State Executive Law Article 15-A and 5 NYCRR Parts 142-144 (“MWBE Regulations”) for all State contracts with a value (1) in excess of $25,000 for labor, services, equipment, materials, or any combination of the foregoing or (2) in excess of $100,000 for real property renovations and construction.
Applicants subject to executing a future NYS Master Contract for Grants agree, in addition to any other nondiscrimination provision of the MCG and at no additional cost to the Department, to fully comply and cooperate with the Department in the implementation of New York State Executive Law Article 15-A. These requirements include equal employment opportunities for minority group members and women (“EEO”) and contracting opportunities for certified minority and women-owned business enterprises (“MWBEs”). Contractor’s demonstration of “good faith efforts” pursuant to 5 NYCRR §142.8 shall be a part of these requirements. These provisions shall be deemed supplementary to, and not in lieu of, the nondiscrimination provisions required by New York State Executive Law Article 15 (the “Human Rights Law”) or other applicable federal, state or local laws.

Failure to comply with M/WBE and EEO requirements may result in a Department finding of non-responsiveness, non-responsibility and/or a breach of contract, leading to the withholding of funds or such other actions, liquidated damages or enforcement proceedings.

Please refer to the NYS Master Contract for Grants - Article IV.(J) and Attachment A-1 Program Specific Terms and Conditions - Article X, to review M/WBE and EEO requirements. Required M/WBE and EEO related forms can be found at http://www.dec.ny.gov/about/48854.html.

The local government is responsible for designating someone to serve as their Affirmative Action representative. The governing body should make this designation through official means.

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=9885.

Contracts which meet the established M/WBE-EEO thresholds require the Contractor to submit Quarterly Reports, http://www.dec.ny.gov/docs/administration_pdf/quarterly.pdf, detailing payments made by the Prime Contractor to NYS Certified M/WBEs.

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

Minority and Women Owned Business Enterprise (MWBE) Overall Participation Goals:
- Construction/Engineering – 30%
- Commodities – 30%
- Services/Technologies – 30%

Equal Employment Opportunity (EEO) Participation Goals
- EEO Minority Workforce Participation Goals (DEC Regions 1-9)
  10%
EEO Female Workforce Participation Goals (DEC Regions 1-9) 10%

- DEC M/WBE Contact Person
  Carla Leubner, 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

Procurement of contractors/subcontractors
Municipalities must comply with General Municipal Law Sections 103 (competitive bidding) and 104-b (procurement policies and procedures). Not-for-profit corporations must follow procurement policies that ensure prudent and economical use of public money. Failure to comply with these requirements could jeopardize full reimbursement of your approved eligible project costs.

Satisfactory Progress
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 needed for contract execution, such as, required proofs of insurance, and an M/WBE Utilization Plan. A grantee must also submit timely quarterly payment requests, quarterly narrative reports, quarterly expenditure reports, and a final project summary report. Successful applicants are expected to manage their WQIP projects in accordance with the terms and condition 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
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 or 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.
**Proposed Project Timeline and Contract Terms**

DEC prefers contract terms of 2-3 years in length. However, in rare cases, DEC will consider time extensions beyond 3 years with written justification from the Grantee, describing the need for an extension and a timeline that supports project implementation. Contract amendments may not exceed a maximum term of 5 years. Applicants should not submit an application if they do not anticipate their project can be completed within the specific time frame.

Project-related costs incurred on or after May 2, 2016 will be considered eligible for reimbursement and towards meeting project type match requirements.

**Application Limits**

Applicants may submit up to 1 application per project. Applicants are limited to 5 applications per round.

**ADDITIONAL APPLICATION SUBMISSION INFORMATION**

**Pre-Application Requirements**

All governmental entities (municipalities, municipal corporations, and soil and water conservation districts, and as further defined in this RFA), and NFP corporations must register in the NYS Grants Gateway to be considered eligible for this grant opportunity. [http://grantsreform.ny.gov](http://grantsreform.ny.gov)

In addition to registering, NFP organizations must also complete the Vendor Prequalification process in the NYS Grants Gateway to be considered eligible to apply for this grant opportunity. Government entities are currently not required to complete the Vendor Prequalification Process.

**NYS Grants Gateway Registration Instructions:**

If your organization has not already registered in the Grants Gateway, the registration is NOT an online process. Register now to allow time for processing!!

1.) On the Grants Reform Website at [www.grantsreform.ny.gov/Grantees](http://www.grantsreform.ny.gov/Grantees), download a copy of the Registration Form for Administrator.

2.) Complete the form according to the instructions provided. The completed form must be signed and notarized.

3.) Mail the signed and notarized original form to the Division of Budget at the address provided in the instructions.

4.) After the form is received and reviewed, you will be provided with a Username and Password allowing you to access the Grants Gateway.

5.) Log in to the Grants Gateway at [https://grantsgateway.ny.gov](https://grantsgateway.ny.gov). You will be prompted to change your password at the bottom of your Profile page. Enter a new password and click the SAVE button located on the top, right-hand side of the page.
If you have previously registered and do not know your Username please email grantsreform@budget.ny.gov. If you do not know your Password, please click the Forgot Password link from the main log in page and follow the prompts.

**Not-For-Profit Prequalification Instructions:**

Pursuant to the New York State Division of Budget Bulletin H-1032, dated June 7, 2013, New York State has instituted key reform initiatives to the grant application and contract processes. These initiatives require not-for-profit organizations to complete the Vendor Prequalification process to be considered eligible to apply for a grant.

Below is a summary of the steps to complete the prequalification requirements. The Vendor Prequalification Manual on the Grants Reform website at www.grantsreform.ny.gov/Grantees provides additional information and instruction.

1.) Complete your Prequalification Application.

- Log in to the Grants Gateway at https://grantsgateway.ny.gov. If this is your first time logging in, you will be prompted to change your password at the bottom of your Profile page. Enter a new password and click the SAVE button located on the top, right-hand side of the page.
- Click the Organization(s) link at the top of the page and complete the required fields including selecting the State agency you have the most grants with. This page should be completed in its entirety before you SAVE. A Document Vault link will become available near the top of the page. Click this link to access the main Document Vault page.
- Answer the questions in the Required Forms and upload the Required Documents. This constitutes your Prequalification Application. Optional Documents are not required unless specified in this Request for Proposal.
- Specific questions about the prequalification process should be referred to your agency representative or to the Grants Reform Team at grantsreform@budget.ny.gov.

2.) Submit Your Prequalification Application

- After completing your Prequalification Application, click the Submit Document Vault button located below the Required Documents section to submit your Prequalification Application for State agency review. Once submitted, the status of the Document Vault will change to In Review.
- If your Prequalification reviewer has questions or requests changes you will receive email notification from the Gateway system.
- Once your Prequalification Application has been approved, you will receive a Gateway notification that you are now prequalified to do business with New York State.

Additional registration and prequalification information, including a video tutorial, is available on the Grants Reform website at www.grantsreform.ny.gov/
CONTRACTING INFORMATION

State of New York Master Contract for Grants (MCG)
Applicants selected to receive a grant award will be required to execute a MCG in the NYS Grants Gateway within 90 - 120 days from the time of their award notification. DEC staff are available to assist successful applicants through the contracting process. Failure to submit timely required MCG documents could cause a grantee to lose their grant award. Applicants should review and be prepared to comply with all MCG terms and conditions should grant funding be awarded. The MCG and attachments can be reviewed and/or downloaded at: http://www.dec.ny.gov/pubs/44916.html

The MCG and attachments include:
- MCG Grants Face Page
- Standard Terms and Conditions (NYS standard terms and conditions)
- Attachment A-1 Program Specific Terms and Conditions (Agency and Program specific terms and conditions)
- Attachment B-1 Expenditure Based Budget (project expense categories and detail)
- Attachment C Work Plan (project objectives, tasks and performance measures)
- Attachment D Payment and Reporting Schedule (claims for reimbursement and grant reporting provisions)

Grant opportunity payment and reporting conditions
- For all WQIP project types except wastewater treatment, upon approval of the MCG by the Office of the State Comptroller, an advance payment of up to twenty-five percent (25%) of the total Contract Amount may be provided under this Contract to the Contractor, including Contractors that are municipalities, for project start-up funding. Contractors must provide justification of the need for the advance payment.

- No reimbursement payments under the MCG will be made by the Department to the Contractor unless the Contractor provides supporting cost documentation to support how the 25% advance funding was spent on the Project. Future reimbursement payments shall be made upon audit and approval by the Department and the Comptroller’s Office of vouchers executed by an authorized officer of the Contractor.

- Project costs eligible for reimbursement and project match must be incurred between the MCG term start date and the MCG term end date. Costs incurred prior to the MCG term start date or after the MCG term end date will not be considered eligible for grant reimbursement or match. Copies of supporting cost documentation (paid invoices, receipts, cancelled checks, etc.) must be audited and approved by the Department for costs to be eligible for grant reimbursement.
Quarterly MCG payment reimbursement requests will be accepted prior to submission of a final closeout reimbursement request. Approved project design, required permits and landowner permissions must be in place to submit a reimbursement request.

Quarterly Narrative Reports must be submitted in narrative form, no later than 30 days from the end of the quarter. The reports will summarize how the project progressed towards meeting project objectives and deliverables during the quarter.

Quarterly Expenditure Reports, detailed by object of expense as defined in the MCG Attachment B-1 Expenditure Based Budget, must accompany the quarterly Narrative Reports, no later than 30 days from the end of the quarter. These reports must correlate to subsequent vouchers submitted for payment.

Final Report must be submitted and approved by the Department prior to the release of the final contract payment to the Grantee. The Contractor must submit the Final Report no later than 60 days after the end of the contract period. The Final Report should report on all aspects of the program and detail how the grant funds were utilized in achieving the goals set forth in the approved MCG Attachment C Work Plan. Copies of appropriate documents (i.e. inventory and/or management plan) must be submitted and approved by the Department.

A Department on-site inspection may be required to confirm all work was completed in accordance to the approved project work plan.