

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

Funding Available: Up to \$79 million

### **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 implementation projects that directly address documented water quality impairments or protect a drinking water source. This grant program requires recipients to provide 25% of the award amount as a local share of the project for high priority Wastewater Treatment Improvement projects, Non-agricultural Nonpoint Source Abatement and Control, Land Acquisition for Source Water Protection, Aquatic Habitat Restoration, and Municipal Separate Storm Sewer System projects; 60% of the award amount as a local share of the project for General Wastewater Infrastructure Improvement projects; and 50% of the award amount as a local share of the project for Salt Storage.

### **Additional Resources**

The RFA is available on the Department of Environmental Conservation's (Department'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 Department's website. Questions should be submitted to [user.water@dec.ny.gov](mailto:user.water@dec.ny.gov) no later than July 13, 2018.

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.

For projects impacting surface water, the applicant must provide the correct Priority Waterbodies List (PWL) identification number and HUC 12 watershed of the closest waterbody that the project will impact.

For the most updated PWL map, go to the DECinfo Locator at <https://www.dec.ny.gov/pubs/109457.html>. Click on the link for "Environmental Quality Map View". In the left column of the map, click on "Information List" and check the box for "Rivers, Streams and Shorelines" AND "Lakes, Reservoirs, and Estuaries" to display these map layers. Enter the address or project location in the "Search Near Me" search bar. Click on the plus sign in the top left corner of the map to zoom into the location until the waterbodies are visible on the map. Click on the waterbody of interest. A box with the Waterbody Inventory/Priority Waterbodies List information will be displayed, including the waterbody name, PWL ID number, basin, and assessment level. To access the PWL factsheet for that waterbody, click on the "Download Fact Sheet" link in the box.

For guidance on how to read the PWL data sheets, please visit the Department website at: <http://www.dec.ny.gov/chemical/36730.html>

A map of the hydrologic unit code (HUC 12) watersheds can be found at: <http://www.arcgis.com/home/webmap/viewer.html?webmap=a1c786a4252e44848f4357>

## **Funding**

The Department anticipates having up to \$79 million available for WQIP projects.

The Department may potentially receive additional funding for qualifying projects in specific geographic areas or for specific types of projects. Should such funding become available, the Department 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 are 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** land acquisition for source water protection projects OR aquatic habitat restoration projects)

## **Eligible Types of Projects**

- Wastewater Treatment Improvement
- Non-agricultural Nonpoint Source Abatement and Control
- Land Acquisition Projects for Source Water Protection
- Salt Storage
- Aquatic Habitat Restoration
- Municipal Separate Storm Sewer Systems (MS4s)

## **Ineligible WQIP Projects**

- Application proposals that do not address water quality impairment or protect a drinking water source
- Projects that provide no matching funds
- Projects that are seeking funding for planning or design only
- Projects that include ineligible activities/costs as described in the project type descriptions
- Projects that fail to submit required documentation as specified in the project type descriptions
- Not for profit applicants who do not have a current pre-qualification in Grants Gateway as of the application deadline

- Applications that fail to meet the minimum scoring criteria as detailed in the Scoring Rubric at the end of the RFA

### **Funding Priorities**

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

### **Applicant Guidance**

**The “Legal Name of Applicant” listed in the application must be the name of the entity that will enter into the contract if awarded. The Legal Name of Applicant field should not list an individual. Be sure to select the correct entity that is applying for the grant because the name cannot be switched in any way (i.e. change from the County to the County Office of Planning) after award.**

Applicants who have demonstrated poor management of past WQIP contract(s) will not be funded in Round 15. Also, applicants who have not previously been awarded a WQIP grant but whose Round 15 application does not demonstrate the experience and ability to carry out the project will not be funded in Round 15.

Projects must have secured at least some of the necessary approvals and be ready to proceed with project implementation to be funded.

Projects that include ineligible activities or ineligible costs may be deemed ineligible. See individual project types for a list of ineligible activities/costs for each project type.

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>).

## **DETAILED WQIP PROJECT TYPES AND DESCRIPTIONS ARE LISTED BELOW**

### **Wastewater Treatment Improvement**

#### Eligible Applicants

- Municipalities<sup>1</sup>

---

<sup>1</sup> 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.

## Eligible Projects

### High Priority Project Types:

- Wastewater Effluent Disinfection – Wastewater treatment projects (as defined in Environmental Conservation Law §56-0101) for facilities that currently do not disinfect their effluent 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, applicants must have been notified by the Department that their treatment system requires an upgrade to add effluent disinfection.** Municipalities with no current disinfection system will take precedence over repairs or upgrades to an existing system. Applicants will be required to submit an engineering report for the project with their application. Maximum grant available per facility is \$1 million.
- Combined Sewer Overflow/Sanitary Sewer Overflow (CSO/SSO) – Projects to upgrade municipal systems to meet CSO or SSO discharge requirements. To be considered eligible under this category, CSO projects must be listed under an approved Long-Term Control Plan; SSO projects must be for an SSO included in a capacity, management, operation and maintenance (CMOM) program, a sanitary sewer evaluation survey plan, or identified as a Type 1 outfall in a SPDES permit. Applicants will be required to submit an engineering report for the project with their application. Maximum grant available per municipality is \$5 million.
- Watershed Plan Implementation Projects – Projects to purchase and install equipment necessary to meet watershed plan requirements, such as chemical addition and other techniques to remove phosphorous. before the water is discharged from the plant. To be considered eligible under this category, implementation projects must be listed in a TMDL, Nine Element Watershed Plan, or DEC HABs Action Plan. Applicants will be required to submit an engineering report for the project with their application. Maximum grant available per facility is \$1 million.
- Municipal systems to serve multiple properties with inadequate on-site septic systems– Projects to construct municipal systems to serve multiple properties with inadequate on-site septic systems. To be considered eligible under this category, the PWL nearest to the project must list septic systems as a source of impairment, or the need for the project is documented in a completed sanitary survey conducted and/or approved by the Department of Health or be identified in a DEC HABs Action Plan. The process of forming a sewer district must be complete prior to the date of application in order to be eligible. Applicants will be required to submit an engineering report for the project with their application. Maximum grant available per system is \$5 million.
- Wastewater Treatment Facility Nitrogen Abatement Projects for Shellfishing Waters (SA) – Projects to reduce and/or eliminate nitrogen impairments in shellfishing waters (SA).

### Secondary Priority:

- 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

The Department will fund eligible high priority projects starting with the highest scoring projects. The Department reserves the right to award one project from each high priority category scoring 70 or above before awarding additional high priority wastewater projects. Once all the quality high priority projects have been funded, the Department will award funding to the general wastewater infrastructure improvement projects (secondary priority) starting with the highest scoring project.

### Performance Measures

The Department will assess the Wastewater Treatment Improvement projects based on the following:

- Highest priority will be given to:
  - Wastewater Treatment projects that are designed to meet requirements in a finalized consent order compliance schedule or a finalized compliance schedule associated with the facility's SPDES permit

AND are for:

- Wastewater effluent disinfection projects for facilities that currently do not disinfect their effluent who have been notified by the Department that their treatment system requires an upgrade to add effluent disinfection; or
  - CSO projects that are under a Long-Term Control Plan; or
  - SSO projects that are for an SSO included in a capacity; or management, operation and maintenance (CMOM) program, a sanitary sewer evaluation survey plan, identified as a Type 1 outfall in a SPDES permit, or listed in a consent order; or
  - Implementation projects that are listed in a TMDL, Nine Element Watershed Plan, DEC HABs Action Plan or SPDES permit; or
  - Municipal systems to serve multiple properties with inadequate on-site septic systems projects that: address a source of impairment listed in the PWL; is listed in a DEC HABs Action Plan; or is documented in a completed sanitary survey conducted and/or approved by the Department of Health.
  - Projects to reduce and/or eliminate nitrogen impairments in shellfishing waters.
- Secondary priority will be given to:
    - Wastewater Treatment projects that are for:

- Wastewater effluent disinfection projects for facilities that currently do not disinfect their effluent and who have been notified by the Department that their treatment system requires an upgrade to add effluent disinfection; or
  - CSO projects that are under a Long-Term Control Plan; or
  - SSO projects that are for a SSO included in a capacity; or management, operation and maintenance (CMOM) program, a sanitary sewer evaluation survey plan, identified as a Type 1 outfall in a SPDES permit, or listed in a consent order; or
  - Implementation projects that are listed in a TMDL, Nine Element Watershed Plan, or DEC HABs Action Plan; or
  - Municipal systems to serve multiple properties with inadequate on-site septic systems projects that: address a source of impairment listed in the PWL; is listed in a DEC HABs Action Plan; or is documented in a completed sanitary survey conducted and/or approved by the Department of Health.
- Tertiary priority will be given to:
  - Projects that are:
    - Located in the HUC 12 watershed of waterbodies listed on PWL as “precluded” or “impaired”; or
    - Located in the HUC 12 watershed of waterbodies classified as a Class A or Class AA waterbody with an active public water system and drinking water use is listed on PWL as “stressed” or “threatened.”

### Scoring

A scoring rubric can be found in the “Evaluation Process for All Project Types” section toward the end of this document.

### Grant/Match Fund Split

Grant funds are available for up to:

- 75 percent of the project cost for Wastewater Effluent Disinfection, CSO/SSO, Watershed Plan Implementation or Municipal systems to serve multiple properties with Inadequate On-Site Septic Systems.
- 40 percent of the project cost for General Wastewater Infrastructure Improvements.

Applicants must provide match funds of at least 25 or 60 percent of the requested grant amount, as applicable.

### Eligible Costs

Eligible grant and match costs include salary, fringe, contractual, equipment costs, and construction inspection costs incurred by the awardee to implement the construction phase of the project such as general, electrical, plumbing, HVAC and mechanical. Costs must be incurred within the start and end date of the contract to be eligible. The start date of the contract can be no earlier than May 1, 2018.

### Ineligible Costs

The following costs are NOT eligible for match or grant reimbursement:

- Engineering design and specs
- Design
- Construction oversight
- Non-construction costs incurred during the construction phase of the project.
- Indirect costs (e.g. travel, space/property rent, utilities, and other office supplies)
- Administrative costs
- Legal fees
- Costs incurred outside the start and end date of the contract

### Ineligible projects:

- Applications that do not attach an engineering report
- Applications for non-municipal systems
- Projects for the Municipal systems to serve multiple properties with inadequate on-site septic systems high priority category that have not formed a sewer district.
- Applications that fail to show adequate match for the priority level for which they are applying.
- Applications for projects that are also being funded through the State Septic System Replacement Fund.

### Match Funds

Only activities considered eligible for WQIP funding are eligible to be used as match funds. Match funds considered eligible for WQIP funding must be incurred within the start and end date of the contract. Match funds consist of cash contributions and in-kind services put forth by the applicant to complete the awarded 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  
Robert Wither, (518) 402-8123

## **Non-agricultural Nonpoint Source Abatement and Control**

### Eligible Applicants

- Municipalities<sup>2</sup>
- Soil and water conservation districts

---

<sup>2</sup> 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

### Eligible Projects

A table of Nonpoint Source Best Management Practices (BMPs) eligible for WQIP funding can be found at: <http://www.dec.ny.gov/chemical/96777.html>.

Details on specific practices can be found in the following guidance documents:

- NYSDEC NPS Best Management Practices Catalogs, (<http://www.dec.ny.gov/chemical/96777.html>)
- New York State Stormwater Design Manual (<http://www.dec.ny.gov/chemical/29072.html>)
- New York State Standards and Specifications for Erosion and Sediment Control (2016), (<http://www.dec.ny.gov/chemical/29066.html>)
- NYSDEC Forestry BMPs for Water Quality – BMP Field Guide 2011 edition, (<http://www.dec.ny.gov/lands/37845.html>)
- Design Standards for Intermediate-Sized Wastewater Treatment Systems (2014), (<http://www.dec.ny.gov/permits/95768.html>)
- In-Waterbody BMPs – General and Technical Resources, (<http://www.dec.ny.gov/chemical/96777.html>)
- Riparian buffers – Maintenance and Planting Resources, (<http://www.dec.ny.gov/chemical/106345.html>)
- Shoreline stabilization – General and Technical Resource, (<http://www.dec.ny.gov/permits/67096.html>)

Maximum grant available per project unless otherwise noted below is \$1,000,000.

### Additional Resources

For use in estimating pollutant load reductions, please see the calculator found at: <http://www.dec.ny.gov/chemical/96777.html>

For the most updated Priority Waterbodies List (PWL) map, go to the DECinfo Locator at <https://www.dec.ny.gov/pubs/109457.html>. Click on the link for “Environmental Quality Map View”. In the left column of the map, click on “Information List” and check the box for “Rivers, Streams and Shorelines” AND “Lakes, Reservoirs, and Estuaries” to display these map layers. Enter the address or project location in the “Search Near Me” search bar. Click on the plus sign in the top left corner of the map to zoom into the location until the waterbodies are visible on the map. Click on the waterbody of interest. A box with the Waterbody Inventory/Priority Waterbodies List information will be displayed, including the waterbody name, PWL ID number, basin, and assessment level. To access the PWL factsheet for that waterbody, click on the “Download Fact Sheet” link in the box.

For guidance on how to read the PWL data sheets, please visit the Department website at: <http://www.dec.ny.gov/chemical/36730.html>

A map of the hydrologic unit code (HUC 12) watersheds can be found at: <http://www.arcgis.com/home/webmap/viewer.html?webmap=a1c786a4252e44848f4357>



### Scoring

For the Non-Agricultural Nonpoint Source category, the scoring for Vision is comprised of the Performance Measures score multiplied by the Impact Factor for the specific Non-Agricultural Nonpoint Source category. See each category for a more detailed description of the Impact Factor. A scoring rubric can be found in the “Evaluation Process for All Project Types” section toward the end of this document.

### Primary and Secondary Loading Sources

For a list of primary and secondary sources of pollution listed in TMDLs, Nine Element Plans, and DEC HABs Actions Plans, please refer to DEC’s Pollutant Source Prioritization Table posted here: <https://www.dec.ny.gov/pubs/4774.html>.

### Non-Agricultural Nonpoint Source Priorities

- Decentralized Wastewater Treatment Facilities for Failing On-Site Treatment Systems
- Green Infrastructure Practice/Stormwater Retrofits
- Great Lakes Nature-Based Shoreline Projects
- Streambank Stabilization/Restoration and Riparian Buffers
- In-Waterbody Controls for Nutrients
- Beach Restoration
- Other Nonpoint Source Projects

- 
- *Decentralized Wastewater Treatment Facilities for Failing On-site Treatment Systems:*

#### Summary:

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 Department 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.

\*Note – projects in areas where on-site septic systems are listed: in a TMDL, Nine Element Plan, DEC HABs Action Plan, on the PWL as a source of impairment, or projects having a completed sanitary survey conducted and/or approved by the Department of Health where decentralized systems consisting of subsurface treatment and disposal may not be feasible should consider applying for funding under the *Wastewater Treatment Improvement* category of this grant.

### Specific Requirements:

Applicants must provide documentation detailing the expected time frame to acquire approvals and agreements necessary for sewer district formation. These approvals and agreements must be in place within 12 months of the grant award.

### Performance Measures

The Department will assess the Decentralized Wastewater Treatment Facilities for Failing On-Site Treatment Systems projects based on the following:

- Highest priority will be given to:
  - Projects to address failing on-site septic systems along waterbodies where on-site septic systems have been identified as a primary pollution source<sup>3</sup> in a TMDL, Nine Element Watershed Plan, or DEC HABs Action Plan AND where failing on-site septic systems are impacting an active public drinking water supply.
- Secondary priority will be given to:
  - Projects to address failing on-site septic systems along waterbodies where on-site septic systems have been identified as a primary pollution source<sup>3</sup> in a TMDL or Nine Element Watershed Plan; or
  - Projects located in the HUC 12 watershed of a PWL segment listed as either “precluded” or “impaired” due to failing on-site septic systems; or
  - Projects to address failing on-site septic systems that have a documented impact to an active public drinking water supply.
- Tertiary priority will be given to:
  - Projects to address failing on-site septic systems along waterbodies where septic systems have been identified as a secondary pollution source<sup>3</sup> in a TMDL, Nine Element Watershed Plan or DEC HABs Action Plan; or
  - Projects located in the HUC 12 watershed of a PWL segment that is “stressed” or “threatened” due to failing on-site septic systems; or
  - Projects supporting an action or priority identified in a Watershed Action Agenda.

### Impact Factor Definitions:

**4 points:** will be given to projects that address a primary pollution source in a TMDL, Nine Element Watershed Plan, or DEC HABs Action Plan.

**3 points:** will be given to projects where on-site septic systems are impacting a PWL segment listed as “precluded” or “impaired.”

---

<sup>3</sup> For a list of primary and secondary sources of pollution listed in TMDLs, Nine Element Watershed Plans, and DEC HABs Actions Plans, refer to DEC’s Pollutant Source Prioritization Table posted here: <https://www.dec.ny.gov/pubs/4774.html>

**2 points:** will be given to projects that address a secondary pollution source in a TMDL, Nine Element Watershed Plan, or DEC HABs Action Plan OR projects where on-site septic systems are impacting a PWL segment listed as “stressed” or “threatened” and the proposed project serves properties located directly on the waterbody segment.

**1 point:** projects where on-site septic systems are impacting a PWL segment listed as “stressed”, “threatened” or “unassessed” and the proposed project serves properties located within the HUC 12 watershed.

Contact

NYS Department of Environmental Conservation, Division of Water  
Ken Kosinski, (518) 402-8086

---

- *Green Infrastructure Practices/Stormwater Retrofits:*

Summary

Green Infrastructure Practices:

Projects that construct green infrastructure to address combined sewer overflows, reduce a pollutant of concern impacting a receiving water body, or address a regional water quality issue. Green Infrastructure practices include, but are not limited to, bioretention, rain gardens, porous pavement, green roofs, downspout disconnection, stormwater street trees, stormwater harvesting and reuse, and stream daylighting.

All Green Infrastructure projects must be designed in conformance with the *New York State Stormwater Design Manual* to be eligible. Additionally, Green Infrastructure projects should include policies and procedures for maintaining the green infrastructure BMPs installed. Green infrastructure projects must go above and beyond the water quality volume treatment and/or reduction requirements listed in the SPDES Construction General Permit.

Stormwater Retrofits:

Installation of stormwater retrofits designed to capture and remove the pollutant of concern (POC) causing a water quality impairment are eligible.

Specific Requirements:

Applicants applying for green infrastructure/stormwater retrofit projects must complete a feasibility study for the proposed project and submit the study with the electronic application to be eligible for funding. The feasibility study must include all the Required Elements listed in the WQIP Required Green Infrastructure Documentation Guidance attached here as WQIP RFA Appendix A.

### Performance Measures

The Department will assess the Green Infrastructure Practices/Stormwater Retrofits projects based on the following:

- Highest priority will be given to:
  - Projects that address a primary pollution source<sup>4</sup> identified in a TMDL, Nine Element Watershed Plan, or DEC HABs Action Plan AND impacting an active public drinking water supply.
- Secondary priority will be given to:
  - Projects to address a primary pollution source<sup>4</sup> in a TMDL or Nine Element Watershed Plan; or
  - Projects located in the HUC 12 watershed of a PWL segment with uses listed as either “precluded” or “impaired” that target the Pollutant of Concern, identified in the PWL factsheet, causing or contributing to the use impairment; or
  - Projects that reduce stormwater flow to a combined sewer system; or
  - Retrofit projects required under an MS4 permit; or
  - Projects to address a documented pollution source impacting an active drinking water supply.
- Tertiary priority will be given to:
  - Projects that address a secondary pollution source<sup>4</sup> identified in a TMDL, Nine Element Watershed Plan, or DEC HABs Action Plan; or
  - Projects located in the HUC 12 watershed of a PWL segment with uses listed as either “stressed” or “threatened” that target the Pollutant of Concern, identified in the PWL factsheet, causing or contributing to the use impairment; or
  - Projects supporting an action or priority identified in a Watershed Action Agenda.

### Impact Factor Definitions:

The impact factor will be scored based on the capacity of stormwater the practice can accommodate per water quality storm event. The breakdown of points will be as follows:

- 4 points:** Total WQv treated or reduced – 7,500 ft<sup>3</sup> or more
- 3 points:** Total WQv treated or reduced – 5,000 to 7,499 ft<sup>3</sup>
- 2 points:** Total WQv treated or reduced – 2,500 to 4,999 ft<sup>3</sup>
- 1 point:** Total WQv treated or reduced – 0 to 2,499 ft<sup>3</sup>

---

<sup>4</sup> For a list of primary and secondary sources of pollution listed in TMDLs, Nine Element Watershed Plans, and DEC HABs Actions Plans, refer to DEC’s Pollutant Source Prioritization Table posted here: <https://www.dec.ny.gov/pubs/4774.html>

## Contact

NYS Department of Environmental Conservation, Division of Water  
Ryan Waldron, (518) 402-8244

---

- *Great Lakes Nature-Based Shoreline Projects:*

### Summary:

For qualifying nature-based or “soft engineering” shoreline stabilization projects located along the open shorelines and embayments of Lake Erie, Lake Ontario, the St. Lawrence River, Niagara River and the Finger Lakes to reduce erosion, enhance coastal resilience and improve water quality and coastal habitat. Nature-based shoreline projects incorporate natural features and materials alone or in combination with structural components to manage erosion and stabilize shorelines, while enhancing aquatic habitat, natural coastal processes and access to the extent practicable or desired. Nature-based shoreline stabilization projects may include, but are not limited to, natural buffer zones, constructed or restored wetlands, “living” sills or breakwaters, beach and dune restoration, and nature-based stabilization techniques including tree/rootwad revetments, live crib walls, vegetated rip-rap and vegetated geogrids. Information on preferred, nature-based methods of shoreline stabilization is available at <http://www.dec.ny.gov/permits/50534.html>. Maximum grant available per project is \$500,000.

### Specific Requirements:

Applicants applying for the Great Lakes nature-based shoreline project category must include any site assessments, permits, feasibility studies or other documentation that demonstrates the likelihood of project success and/or feasibility. Such documentation should be submitted with the electronic application.

### Performance Measures

The Department will assess the Great Lakes Nature-Based Shoreline projects based on the following:

- Highest priority will be given to:
  - Projects that address a primary pollution source<sup>5</sup> identified in a TMDL, Nine Element Watershed Plan, or DEC HABs Action Plan AND impacting an active public drinking water supply; or
  - Projects that demonstrate protection of infrastructure (such as roads, water treatment facilities, schools, and parks) vulnerable to impacts of

---

<sup>5</sup> For a list of primary and secondary sources of pollution listed in TMDLs, Nine Element Watershed Plans, and DEC HABs Actions Plans, refer to DEC’s Pollutant Source Prioritization Table posted here: <https://www.dec.ny.gov/pubs/4774.html>

coastal erosion and flooding.

- Secondary priority will be given to:
  - Projects that address a primary pollution source<sup>5</sup> identified in a TMDL or Nine Element Watershed Plan; or
  - Projects supporting multiple actions or priorities identified in the Great Lakes Watershed Action Agenda; or
  - Projects that address a documented nonpoint source of pollution impacting an active public drinking water supply.
- Tertiary priority will be given to:
  - Projects supporting an action or priority identified in the Great Lakes Watershed Action Agenda.
- Quaternary priority will be given to:
  - Projects addressing a water quality impairment not listed on the PWL that has been reported and substantiated by a credible agency.

Impact Factor Definition:

**4 points:** will be given to projects that demonstrate protection of infrastructure and the proposed project is located within the HUC 12 watershed of waterbodies identified in the Waterbody Inventory/Priority Waterbodies List (PWL) sheet with uses listed as “precluded” or “impaired.”

**3 points:** will be given to projects that demonstrate protection of infrastructure and the proposed project is located within the HUC 12 watershed of waterbodies identified in the Waterbody Inventory/Priority Waterbodies List (PWL) sheet with uses listed as “stressed” or “threatened.”

**2 points:** will be given to projects that either demonstrate protection of infrastructure OR the proposed project is located within the HUC 12 watershed of waterbodies identified in the Waterbody Inventory/Priority Waterbodies List (PWL) sheet with uses listed as “precluded” or “impaired.”

**1 point:** will be given to projects that do not demonstrate protection of infrastructure but the proposed project is located within the HUC 12 watershed of waterbodies identified in the Waterbody Inventory/Priority Waterbodies List (PWL) sheet with uses listed as “stressed”, “threatened”, or “unassessed.”

Contact

NYS Department of Environmental Conservation, Division of Water  
Shannon Dougherty, (716) 851-7070

---

- *Streambank Stabilization/Restoration and Riparian Buffers:*

Summary:

Streambank Stabilization/Restoration: Projects to address sedimentation of waterbodies caused by erosion of streambanks. Streambank stabilization and restoration practices include but are not limited to staking, erosion control matting, root wads, and rip-rap. Guidance for such projects can be found at: <http://www.dec.ny.gov/permits/67096.html>. Bioengineered practices are preferred over hard structural practices. Streambank stabilization/restoration projects that are paired with replanting of riparian buffers are preferred and will receive priority in scoring.

Riparian Buffers: Projects to replant vegetation within the riparian zone of waterbodies to filter nutrients and sediment, prevent streambank erosion and reduce thermal impacts to streams. Guidance for such projects can be found at: <http://www.dec.ny.gov/chemical/106345.html>.

Specific Requirements:

Applicants applying for the Streambank Stabilization/Restoration and Riparian Buffer project category should include any site assessments, permits, feasibility studies or other documentation that demonstrates the likelihood of project success and/or feasibility. Such documentation should be submitted with the electronic application.

Performance Measures

The Department will assess the Streambank Stabilization/Restoration and Riparian Buffers projects based on the following:

- Highest priority will be given to:
  - Projects that address a primary pollution source<sup>6</sup> identified in a TMDL, Nine Element Watershed Plan, or DEC HABs Action Plan AND impacting an active public drinking water supply.
- Secondary priority will be given to:
  - Projects that address a primary pollution source<sup>6</sup> identified in a TMDL or Nine Element Watershed Plan; or
  - Projects located in the HUC 12 watershed of a PWL segment with uses listed as either “precluded” or “impaired” due to streambank erosion or urban/stormwater runoff; or
  - Projects that address a documented nonpoint source of pollution impacting an active public drinking water supply.
- Tertiary priority will be given to:
  - Projects that address a secondary pollution source<sup>6</sup> identified

---

<sup>6</sup> For a list of primary and secondary sources of pollution listed in TMDLs, Nine Element Watershed Plans, and DEC HABs Actions Plans, refer to DEC’s Pollutant Source Prioritization Table posted here: <https://www.dec.ny.gov/pubs/4774.html>

in a TMDL, Nine Element Watershed Plan or DEC HABs Action Plan; or

- Projects located in the HUC 12 watershed of a PWL segment with uses listed as either “stressed” or “threatened” due to streambank erosion or urban/stormwater runoff; or
- Projects supporting an action or priority identified in a Watershed Action Agenda.

Impact Factor Definitions:

**4 points:** will be given to projects that implement riparian buffers AND streambank stabilization directly adjacent to a waterbody that has been identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) as “precluded” or “impaired.”

**3 points:** will be given to projects that implement riparian buffers OR streambank stabilization directly adjacent to a waterbody that has been identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) as “precluded” or “impaired.”

**2 points:** will be given to projects that implement riparian buffers AND streambank stabilization directly adjacent to a waterbody that has been identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) as “stressed” or “threatened.”

**1 point:** will be given to projects that implement riparian buffers OR streambank stabilization directly adjacent to a waterbody that has been identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) as “stressed”, “threatened” or “unassessed.”

Contact

NYS Department of Environmental Conservation, Division of Water  
Lauren Townley, (518) 402-8283

---

- *In-Waterbody Controls for Nutrients:*

Summary:

Projects that reduce internal loading of nutrients (mainly phosphorus) within waterbodies. For waterbodies experiencing internal nutrient cycling leading to excessive algae and plant growth, low water clarity, and other water quality impairments. Eligible practices to address these issues include but are not limited to: hypolimnetic aeration, hypolimnetic withdrawal, and dredging. Projects must be underway to control external (landside) sources of nutrients prior to submitting an application for in-waterbody control for nutrients.

Specific Requirements:

Proposals for in-waterbody practices to control nutrients must provide the following in order to be eligible for funding:



- Provide a plan that has been completed or is underway for controlling external sources and documentation 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, if applicable (Hypolimnetic Aeration and Withdrawal); AND
- Applicants must secure appropriate permits prior to submitting application.

### Performance Measures

The Department will assess the In-Waterbody Controls for Nutrients projects based on the following:

- Highest priority will be given to:
  - Projects that address internal loading of nutrients in waterbodies where internal loading has been identified as a primary pollution source<sup>7</sup> in a TMDL, Nine Element Watershed Plan, or DEC HABs Action Plan AND where internal loading is impacting an active public drinking water supply
- Secondary priority will be given to:
  - Projects that address internal loading of nutrients in waterbodies where internal loading has been identified as a primary pollution source<sup>7</sup> in a TMDL or Nine Element Watershed Plan; or
  - Projects located in the HUC 12 watershed of a PWL segment with uses listed as either “precluded” or “impaired” due to internal loading of nutrients; or
  - Projects that address a documented nonpoint source of pollution impacting an active public drinking water supply.
- Tertiary priority will be given to:
  - Projects that address internal loading of nutrients in waterbodies where internal loading has been identified as a secondary pollution source<sup>7</sup> in a TMDL, Nine Element Watershed Plan or DEC HABs Action Plan; or
  - Projects located in the HUC 12 watershed of a PWL segment with uses listed as either “stressed” or “threatened” due to internal loading of nutrients; or
  - Projects supporting an action or priority identified in a Watershed Action Agenda.

---

<sup>7</sup> For a list of primary and secondary sources of pollution listed in TMDLs, Nine Element Watershed Plans, and DEC HABs Actions Plans, refer to DEC’s Pollutant Source Prioritization Table posted here: <https://www.dec.ny.gov/pubs/4774.html>

Impact Factor Definitions:

**4 points:** will be given to in-waterbody control projects where internal loading has been identified as the primary source of pollution in a TMDL, Nine Element Watershed Plan, or DEC HABS action plan.

**3 points:** will be given to in water body control projects where internal loading was identified as the primary source of pollution in a waterbody that has been identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) as “precluded” or “impaired” for nutrient pollution.

**2 points:** will be given to in water body control projects that were identified in a TMDL, Nine Element Watershed Plan or DEC HABS Action Plan where internal loading was identified as a secondary source of pollution.

**1 point:** will be given to in water body control projects where internal loading was identified as the primary source of pollution in a waterbody that has been identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) as “stressed”, “threatened”, or “unassessed” for nutrient pollution.

Contact

NYS Department of Environmental Conservation, Division of Water  
Lauren Townley, (518) 402-8283

---

- *Beach Restoration:*

Summary:

Projects to implement designs recommended in beach restoration green infrastructure design reports. Projects may include, but are not limited to, porous pavement, bioinfiltration/bioretention, rain gardens, stormwater tree trenches, greenways, beach re-naturalization, beach sand enrichment/nourishment, beach sloping/grading, constructed wetlands, or trumpeter swan or coyote decoys.

Special Requirements:

Projects must have a completed beach sanitary survey and upload the sanitary survey report as part of the electronic application to be eligible. Applicants applying for the beach restoration project category should include topographic surveys, borehole/percolation test information, permits, construction designs, feasibility studies or other documentation that demonstrates the likelihood of project success and/or feasibility. Such documentation should be submitted with the electronic application.

### Performance Measures

The Department will assess the Beach Restoration projects based on the following:

- Highest priority will be given to:
  - Projects that address a primary pollution source<sup>8</sup> identified in a TMDL, Nine Element Watershed Plan, or DEC HABs Action Plan AND impacting an active public drinking water supply; or
  - Projects that are specifically listed as a priority in a beach restoration report funded through Ocean and Great Lakes EPF pilot beach closure mitigation project.
- Secondary priority will be given to:
  - Projects that are for a type of project that is the main focus of a beach restoration report funded independently or based on beach sanitary surveys; or
  - Projects located in the HUC 12 watershed of a PWL segment with uses listed as either “precluded” or “impaired” that target nonpoint source of pollution causing or contributing to the use impairment.
- Tertiary priority will be given to:
  - Projects that address a secondary pollution source<sup>8</sup> identified in a TMDL, Nine Element Watershed Plan, or DEC HABs Action Plan; or
  - Projects located in the HUC 12 watershed of a PWL segment with uses listed as either “stressed” or “threatened” that target the Pollutant of Concern, identified in the PWL factsheet, causing or contributing to the use impairment; or
  - Projects supporting an action or priority identified in a Watershed Action Agenda.

### Impact Factor definitions:

**4 points:** will be given to projects that combine two or more practices (e.g., porous pavement, rain gardens and bioswale) to reduce/restore waterbody (such that the water quality benefit is greater than any one practice alone); and the proposed project is located on the beach or within the beach/park property;

**3 points:** will be given to projects that combine two or more practices (e.g., porous pavement, rain garden and bioswale) to reduce/restore waterbody (such that the water quality benefit is greater than any one practice alone); and the proposed project is located on a tributary adjacent to the beach that has been identified as a source of pollution;

**2 points:** will be given to projects with one practice to reduce/restore waterbody;

---

<sup>8</sup> For a list of primary and secondary sources of pollution listed in TMDLs, Nine Element Watershed Plans, and DEC HABs Actions Plans, refer to DEC’s Pollutant Source Prioritization Table posted here: <https://www.dec.ny.gov/pubs/4774.html>

and the proposed project is on a tributary adjacent to the beach that has been identified as a source of pollution;

**1 point:** will be given to projects with one practice to reduce/restore waterbody; and the proposed project is located within the HUC 12 watershed.

Contact

NYS Department of Environmental Conservation, Division of Water  
Karen Stainbrook, (518) 402-8095

---

- *Other NPS Projects:*

Summary:

All other nonpoint source projects that do not fall into the above best management practices will be considered under this section.

Special Requirements: None

Performance Measures

The Department will assess the Other Nonpoint Source projects based on the following:

- Highest priority will be given to:
  - Projects that address a primary pollution source<sup>9</sup> identified in a TMDL, Nine Element Watershed Plan, or DEC HABs Action Plan AND impacting an active public drinking water supply.
- Secondary priority will be given to:
  - Projects that address a primary pollution source<sup>9</sup> identified in a TMDL or Nine Element Watershed Plan; or
  - Projects located in the HUC 12 watershed of a PWL segment with uses listed as either “precluded” or “impaired” that target the Pollutant of Concern, identified in the PWL factsheet, causing or contributing to the use impairment; or
  - Projects that address a documented nonpoint source of pollution impacting an active public drinking water supply; or
  - Retrofit projects required under an MS4 permit.
- Tertiary priority will be given to:
  - Projects that address a secondary pollution source<sup>9</sup> identified in a TMDL or Nine Element Watershed Plan or DEC HABs Action Plan; or
  - Projects located in the HUC 12 watershed of a PWL segment

---

<sup>9</sup> For a list of primary and secondary sources of pollution listed in TMDLs, Nine Element Plans, and DEC HABs Actions Plans, refer to DEC’s Pollutant Source Prioritization Table posted here: <https://www.dec.ny.gov/pubs/4774.html>

with uses listed as either “stressed” or “threatened” that target the nonpoint source of pollution causing or contributing to the use impairment; or

- Projects supporting an action or priority identified in a Watershed Action Agenda.

Impact Factor definitions:

Unless otherwise noted in the specific category, the following impact factors will be used in scoring of projects:

**4 points:** will be given to projects that combine two or more related best management practices installed at the same site to address an impairment, such that the water quality benefit is greater than one practice alone (e.g, ditch maintenance, hydroseeding, and filter strip system installed at same location; or installation of porous pavement, bioswale, rain gardens, and tree bowls at same location as complete project) and the proposed project is located within the HUC 12 watershed of waterbodies identified in the Waterbody Inventory/Priority Waterbodies List (PWL) sheet with uses listed as “precluded” or “impaired”;

**3 points:** will be given to projects that combine two or more related best management practices installed at the same site to address an impairment, such that the water quality benefit is greater than one practice alone (e.g, ditch maintenance, hydroseeding, and filter strip system installed at same location; or installation of porous pavement, bioswale, rain gardens, and tree bowls at same location as complete project) and the proposed project is located within the HUC 12 watershed of waterbodies identified in the Waterbody Inventory/Priority Waterbodies List (PWL) sheet with uses listed as “stressed” or “threatened”;

**2 points:** will be given to projects with one best management practice to reduce/restore waterbody and the proposed project is located within the HUC 12 watershed of waterbodies identified in the Waterbody Inventory/Priority Waterbodies List (PWL) sheet with uses listed as “precluded” or “impaired”;

**1 point:** will be given to projects with one best management practice to reduce/restore waterbody and the proposed project is located within the HUC 12 watershed of waterbodies identified in the Waterbody Inventory/Priority Waterbodies List (PWL) sheet with uses listed as “stressed” or “threatened”; or projects located in the watershed of waterbodies classified as Class A or Class AA that are identified in the Waterbody Inventory/Priority Waterbodies List (PWL) sheet with uses other than “precluded”, “impaired”, “stressed”, or “threatened”.

Contact

NYS Department of Environmental Conservation, Division of Water  
Ken Kosinski, (518) 402-8086

## **Additional Information for all Non-Agricultural Nonpoint Source Projects**

### 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.

### Grant/Match Fund Split

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 grant and match costs include personal services (e.g. salary, fringe); and non-personal services (e.g. contractual services, travel, equipment operating expenses, etc.) incurred by the awardee to implement the project. The following categories of costs are considered eligible:

- Construction
- Construction inspection
- Planning and Design (cannot exceed 20% of award amount)

Costs must be incurred within the start and end date of the contract to be eligible. The start date of the contract can be no earlier than May 1, 2018.

### Ineligible Costs

The following costs are NOT eligible for match or grant reimbursement:

- Construction oversight
- Land purchases
- Indirect costs (e.g. space/property rent, utilities, and other office supplies)
- Administrative costs
- Legal fees
- Costs incurred outside the start and end date of the contract
- Costs associated with grant application and/or its administration and securing applicable approvals, permits, easements, etc.

### Ineligible Projects

- Projects with planning and design costs in excess of 20% of the award amount
- Projects that do not include required supporting documentation

- Projects that include ineligible costs
- Projects that do not address a water quality impairment
- Projects that do not implement a NPS Best Management Practice
- Projects that have not secured any of the necessary approvals and are not ready to proceed to construction

### Match Funds

Only activities considered eligible for WQIP funding are eligible to be used as match funds. Match funds considered eligible for WQIP funding must be incurred within the start and end date of the contract. Match funds consist of cash contributions and in-kind services put forth by the applicant to complete the awarded 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.

## **Land Acquisition Projects for Source Water Protection**

### Eligible Applicants

- Municipalities<sup>10</sup>
- Soil and water conservation districts
- Not-for-profit corporations<sup>11</sup>

Before starting an application, applicants interested in Land Acquisition Projects for Source Water Protection are strongly encouraged to investigate steps that must be taken and local approvals that are needed to start a project of this type (permits, easements, etc.). Applicants who have questions about what is needed for their project are encouraged to attend the CFA workshops offered statewide or to call or email WQIP staff.

### Eligible Projects and Programs

Only active public water supplies as defined by the New York State Department of Health (NYSDOH) are eligible for funding under this WQIP category. NYSDOH defines a public drinking water supply as “any system with at least 5 service connections or that regularly serves an average of at least 25 people daily for at least 60 days out of the year”.

---

<sup>10</sup> For the purposes of Land Acquisition Projects for Source Water Protection 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.

<sup>11</sup> 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.

1. **PROJECTS** for Protection of Surface or Groundwater Public Drinking Water Supplies - Applicants can apply for funding to purchase conservation easements or parcels of land for the purpose of protecting one or more active public surface water drinking water supplies (streams, lakes, rivers, and reservoirs) OR to protect one or more active public groundwater drinking water supplies (groundwater wells). **Land parcel (s) must be specifically identified at the time of application to be considered for funding under the “Project” category.**
2. **PROGRAMS** for Protection of Surface or Groundwater Public Drinking Water Supplies – Applicants can apply for funding to purchase conservation easements or parcels of land at multiple locations throughout the HUC 12 watershed of one or more active public surface water drinking water supplies (streams, lakes, rivers, and reservoirs) OR parcels at multiple locations within the areal extent of the zone of contribution<sup>12</sup> of one or more active public groundwater drinking water supplies. **Parcels are not required to be specifically identified at the time of application to be considered for funding under the “Program” category, but programs that have identified and prioritized parcels are preferred.**

Maximum grant available per project or program is \$3,000,000.

#### New Public Water Supplies

Only land acquisition projects or programs associated with established and active public water supplies are eligible for funding under Round 15.

#### Application Upload Requirements

- Applicants applying for land acquisition for source water protection projects or programs must provide a detailed protocol for monitoring and enforcement of properties or easements and submit the written protocol with the electronic application. Monitoring and enforcement of properties or easements obtained through this grant may be performed by a subcontractor. The protocols must include all of the Required Elements listed in the WQIP Required Land Acquisition for Source Water Protection Documentation Guidance attached here as WQIP RFA Appendix B. **Applicants that do not upload a detailed protocol will be deemed ineligible for funding.**
- A detailed expenditure based budget summary is required to be uploaded as part of the electronic application. The budget summary must estimate the value of the land or development rights being acquired, transactional costs, staff salaries directly devoted to or connected to the project or program, restoration costs, contractual costs and travel costs. **Applicants that do not clearly detail costs associated with a land acquisition project or program; or detail costs that**

---

<sup>12</sup> Areal extent of the zone of contribution as defined by USGS. See <https://water.usgs.gov/admin/memo/GW/gw03.02.html>



**do not provide a good value as it applies to achieving source water protection will be deemed ineligible for funding.**

- Map(s) depicting the active public drinking water supply(s), location of wells, intakes, or springs, parcel location(s), areal extent of the zone of contribution, watershed boundary, land use (National Land Cover Dataset 2011), and circles showing distance to 1,000 feet and 1,500 feet from groundwater wells (if applicable) are required to be uploaded with the electronic application. The map(s) must include all of the Required Elements listed in the WQIP Required Land Acquisition for Source Water Protection Documentation Guidance attached here as WQIP RFA Appendix B. Examples of maps meeting all required elements can be found at: <https://www.dec.ny.gov/pubs/4774.html> . **Applicants that do not upload a detailed map(s) will be deemed ineligible for funding.**
- Applicants applying for land acquisition for source water protection **programs only** must provide fiscal information, such as annual reports, that demonstrate the ability to sustain the level of effort being funded under this grant if grant funds will be used for personal services.

#### Restoration Requirements for Surface Water Projects or Programs

For both projects and programs targeting protection of surface waterbodies, parcels adjacent to waterbodies used as a water supply or adjacent to tributaries draining to a water supply must contain an existing riparian buffer or wetland OR restore a riparian buffer or wetland. Both existing and restored riparian buffers and wetlands must meet the requirements listed below. Only restoration activities performed on properties or easements acquired through this grant opportunity are eligible for funding.

#### Riparian Buffer Requirements (Surface Water Projects or Programs)

- Riparian buffers must be revegetated using only native trees, shrubs, or grasses appropriate for the site conditions.
- Riparian buffers must have a minimum average width of 100 feet if they are adjacent to tributaries.
- Riparian buffers must have a minimum average width of 300 feet if they are adjacent to reservoirs.
- For newly created or restored buffers, the applicant must develop and implement a maintenance plan during the buffer establishment period, defined as 3-5 years after planting of vegetation. Guidance on designing and maintaining buffers can be found here: <http://www.dec.ny.gov/chemical/106345.html> .
- Streambanks must be stable prior to creation or restoration of riparian buffers. “Soft” streambank stabilization practices include but are not limited to, live staking, contour wattling, erosion control matting, and root wads, are eligible for funding as part of a buffer project under this category. Guidance for such projects can be found at: <http://www.dec.ny.gov/permits/67096.html>. Hard armoring of streambanks, including stone rip rap, is not eligible for funding under this category. Streambank stabilization costs cannot exceed 25% of the award amount.
- Selective cutting of trees, removal of invasive species, or supplemental planting of trees, shrubs, or grasses are allowed provided they improve habitat and

function of the riparian buffer or remove, mitigate, or warn against unreasonable harm to people, property or health of native species on or around the defined riparian buffer area.

#### Wetland Requirements (Surface Water Projects or Programs)

- Project plans must describe how the work in and near wetlands will protect drinking water supplies and provide improved wetland function.
- Work within or immediately adjacent to existing wetlands must be limited to activities that will improve wetland function. Disturbances that compromise ecological functions are ineligible for funding under this RFA.
- Projects cannot mitigate for impacts to regulated wetlands. Wetland mitigation projects are ineligible for funding under this RFA.
- The applicant must develop and implement a maintenance plan for any wetland creation or enhancement. The maintenance plan must include protocols for addressing problems for a minimum of 3 years following creation or enhancement.

#### Land Purchase and Conservation Easement Requirements

- Lands currently protected by a federal or state easement program are not eligible for funding under this RFA.
- Conservation easements must be acquired in perpetuity.
- If the property is used for activities which interfere with the accomplishment of approved purposes, the violating activities must cease and any resulting adverse effects must be remedied.
- Disturbances that compromise the ecological condition of the riparian buffer or wetland areas, including, but not limited to, livestock access, wood or timber harvesting, excessive mowing and recreational vehicular use must be prohibited.
- DEC cannot provide funding for any land acquisition project by a not-for-profit if any town, village, or city objects to such acquisition. A not-for-profit contact shall notify any town, village, or city of their interest in acquiring such project. The town, village, or city has 90 days after such notification to object by resolution. A not-for-profit contractor must provide DEC with copies of such notification and any responses received from any town, village or city, or certify to the Department that no responses were received within 90 days.
- The applicant must hold title to any land or easement acquired through this grant.
- Any real property acquired through this grant opportunity cannot be sold, leased, exchanged, donated or otherwise disposed of without the express authority of an act of the New York State legislature.

#### Public Access

Public access and passive recreational activities (i.e. hiking trails) will be reviewed by DEC on a case-by-case basis. The applicant must provide a thorough description and maps showing public access points, proposed activities, proximity to the public water supply, and justification for public access to assist DEC in making the determination if public access will have an impact to the drinking water supply. In the case of a

municipality, this documentation is to be provided at the earliest date practicable but not later than 120 days prior to closing on a property. In the case of a not-for-profit or Soil and Water Conservation District, documentation shall be provided concurrently with notification of the municipality of its interest in acquiring such projects.

### Priorities

Highest priority will be given to:

- Projects and programs identified in a TMDL, Nine Element Watershed Plan or DEC HABs Action Plan; or
- Projects that protect land parcels directly adjacent to surface waterbodies used as an active public drinking water supply OR parcels within 1,000 feet of a water supply wellhead permitted as an active public drinking water source; or
- Projects that protect parcels specifically identified for drinking water protection in the New York State Open Space Plan (under New York State's Priority Open Space Conservation Projects section starting on P. 79 of the Open Space Plan). Parcels prioritized in the Open Space Plan for purposes other than public drinking water (i.e. habitat protection, recreation) will NOT be prioritized in the scoring.

Secondary priority will be given to:

#### **PROJECT Category:**

- Projects that target protection of land parcels adjacent to tributaries that directly drain into a surface waterbody used as an active public drinking water supply OR parcels within 1,001 – 1,500 feet of a water supply wellhead permitted as an active public drinking water source.

#### **PROGRAM Category:**

- Programs that demonstrate that some level of planning has already occurred through:
  - Creating tools or methods to prioritize acquiring lands to protect public water supplies; or
  - Inclusion of source water protection in comprehensive plans, municipal resolutions, etc. of the majority of municipalities in the HUC 12 watersheds being proposed.
- Watersheds specifically identified for drinking water protection in the New York State Open Space Plan (under New York State's Priority Open Space Conservation Projects section starting on P. 79 of the Open Space Plan). Watersheds prioritized in the Open Space Plan for purposes other than public drinking water (i.e. habitat protection, recreation) will NOT be prioritized in the scoring.

### Scoring

A scoring rubric can be found in the “Evaluation Process for All Project Types” section toward the end of this document.

### Grant/Match Fund Split

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 expenses include administrative and transactional costs (e.g. property surveys, land appraisals, staff time devoted to the project) and the value of the land or development rights to be acquired. Eligible grant and match costs include personal services (e.g. salary, fringe) and non-personal services (e.g. contractual services, travel, equipment) incurred by the awardee to implement the project or program. The following categories of costs are considered eligible:

- The value of the land or development rights being acquired, provided such value associated with the purchase of the property or purchase of a conservation easement is from an appraisal deemed acceptable by DEC (see Transaction Requirements).
- Transactional costs, provided they result in final acquisition of land or perpetual conservation easement and/or restoration of new riparian buffers or wetlands. Transactional costs can be submitted for reimbursement as incurred throughout the contract term, however payments may need to be returned to the State should the land transaction not successfully close. Transactional costs are limited to: title reports, title insurance, property surveys, appraisals, certified appraisal review, easement holder and landowner’s legal fees to negotiate/close the conservation easement transaction and to review title reports and, as necessary, prepare title curatives, filing fees or other closing costs, map and GIS/remote sensing data, environmental assessments, baseline documentation reports, stewardship or management plans, easement stewardship fee, project specific defense liability insurance fees, property taxes, and State or local real estate transfer taxes
- Staff salaries directly devoted to or connected to the project or program, excluding fringe (employee benefits) and indirect (overhead/operating) expenses. Grantees will be required to document time worked, tasks, pay ratio and payment, and itemize salaries according to job title and roles/responsibilities on the program. Staff salaries cannot exceed 10% of the award amount for applications in the Project category and 30% of the award amount for applications in the Program category.

- Riparian buffer or wetland restoration costs deemed acceptable by DEC. “Soft” streambank stabilization practices including but not limited to, live staking, contour wattling, erosion control matting, and root wads, are eligible for funding as part of riparian buffer restoration. Streambank stabilization costs cannot exceed 25% of the award amount.
- Value of contractual services provided by professional and technical personnel and consultants (i.e. engineering and architectural services, surveys, plans and specifications, research, design and development of a project, consultant and legal services directly related to a project, feasibility study for a property, etc.)
- Travel Costs (within New York State) directly associated and required to implement the project or program.

Costs must be incurred within the start and end date of the contract to be eligible. The start date of the contract can be no earlier than May 1, 2018.

#### Transaction Requirements

- Appraisals are required for all properties prior to reimbursement.
- Appraisals must be completed by a state licensed or a state certified appraiser following the Uniform Standards of Professional Appraisal Practice (USPAP).
- DEC may reimburse for purchase of land or development rights above fair market value in the limited circumstances where it can be demonstrated that the property has a unique resource value. This approach recognizes that outside independent appraisals will not take into consideration the unique resource value of a particular parcel. In such circumstances, the outside independent appraisals may be merely a bench mark for determining the fair market value of the property. DEC may reimburse at a price above the highest approved independent appraisal provided: 1) the price was the result of documented negotiations between the Grantee and the seller and 2) the Grantee demonstrates the unique resource value and how it accomplishes the objective of this program.
- Boundary surveys and maps are required for all properties. Surveys must be completed by a professional land surveyor.
- Appraisals, surveys, titles and easement language (if applicable) will be reviewed by DEC. Final approval from DEC is required prior to closing certification of the deed of conservation or deed transfer. DEC will have a minimum of 120 days to review and approve or disapprove parcel(s) being proposed.

#### Ineligible Costs

The following costs are NOT eligible for match or grant reimbursement:

- Out -of- state travel costs and any travel not directly required to implement the project or program
- Project or program costs funded from other state and/or federal funding sources

- Indirect costs, including overhead/operating expenses (space, rent, utilities) and fringe benefits
- Costs incurred outside of the contract term
- Endowment funds
- Major capital expenditures, such as equipment or computers
- Any fee or other contribution deposited to a legal defense fund other than a conservation easement defense liability insurance policy
- Restoration projects that include hard armoring of streambanks, including stone rip rap
- Wetland mitigation projects
- Projects with planning and design costs in excess of 20% of the award amount
- Projects with staff salary costs in excess of 10% of the award amount for the Project category or 30% of the award amount for the Program category.
- Projects with streambank stabilization costs in excess of 25% of the award amount
- Projects that do not include land acquisition as part of the grant
- Construction oversight
- Projects to acquire land to be used for a new well

#### Match Funds

Only activities considered eligible for WQIP funding are eligible to be used as match funds. Match funds considered eligible for WQIP funding must be incurred within the start and end date of the contract. Match funds consist of cash contributions and in-kind services put forth by the applicant to complete the awarded project. In addition, revenue from carbon offsets generated using land already owned by the applicant can be used as match. 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  
Lauren Townley, (518) 402-8086

## **Salt Storage**

#### Eligible Applicants

- Municipalities<sup>13</sup>
- Soil and water conservation districts

<sup>13</sup> For the purposes of Salt Storage 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.

### Eligible Projects

Projects to construct a structure to cover a salt or salt/sand mixture storage pile.

Projects must adhere to the OGS salt storage specs

([http://www.dec.ny.gov/docs/water\\_pdf/ogsspecs.pdf](http://www.dec.ny.gov/docs/water_pdf/ogsspecs.pdf)) to be eligible for this grant. Only costs related to the construction of the storage shed will be eligible for reimbursement. Projects that include any costs that are not for construction of the shed itself (e.g. office space, additional maintenance facilities, etc.) will be deemed ineligible.

Maximum grant amount available per project is \$500,000.

### Ineligible Projects

- Projects that do not include construction of a structure to cover a salt or salt/sand mixture storage pile
- Projects with planning and design costs in excess of 20% of the award amount

### Priorities

Highest priority will be given to projects to construct a new structure to enclose an uncovered salt or salt/sand mixture storage pile which is currently located near a groundwater drinking water source or surface water used for a public water system; or within a primary or sole source aquifer. Secondary priority will be given to projects that are for a structure that replaces an existing structure.

### Scoring

For the Salt Storage category, the scoring for Vision is comprised of the Performance Measures score multiplied by the Impact Factor. See below for more details. A scoring rubric can be found in the “Evaluation Process for All Project Types” section toward the end of this document.

### Performance Measures

The Department will assess the Salt Storage applications based on the following:

- Highest priority will be given to projects to construct a new structure to enclose an exposed salt or salt/sand mixture storage pile that is currently located:
  - Less than 300 feet from a groundwater drinking water source or surface water used for a public water system; or
  - Within a primary aquifer; or
  - Within a sole source aquifer
- Secondary priority will be given to projects to construct a new structure to enclose an exposed salt or salt/sand mixture storage pile which is currently located:
  - 300 feet or more but less than 1,000 feet from a groundwater drinking water source or surface water used for a public water system; or
  - Less than 500 feet from a private well

- Tertiary priority will be given to projects to construct a new structure to enclose an exposed salt or salt/sand mixture storage pile which is currently located:
  - 1,000 feet or more but less than 2,000 feet from a groundwater drinking water source or surface water used for a public water system; or
  - 500 feet or more but less than 1,000 feet from a private well
- Quaternary priority will be given to projects to construct a new structure to enclose an exposed salt or salt/sand mixture storage pile which is currently located:
  - 2,000 feet or more but less than 4,000 feet from a groundwater drinking water source or surface water used for a public water system; or
  - 1,000 feet or more but less than 1,500 feet from a private well
- Lowest priority will be given to projects:
  - To build a structure that replaces an existing structure; or
  - To construct a new structure to enclose an exposed salt or salt/sand mixture storage pile which is currently located 4,000 feet or more from a groundwater drinking water source or surface water used for a public system; or
  - To construct a new structure to enclose an exposed salt or salt/sand mixture storage pile which is currently located 1,500 feet or more from a private well.

Impact Factor Definitions:

**4 points:** will be given to projects to construct a new structure to enclose an uncovered salt or salt/sand mixture storage pile currently located within 300 feet of a groundwater drinking water source or surface water used for a public water system; projects located within a primary aquifer; or projects located within a sole source aquifer.

**3 points:** will be given to projects to construct a new structure to enclose an uncovered salt or salt/sand mixture storage pile currently located 300 feet or more but less than 2,000 feet from a groundwater drinking water source or surface water used for a public water system or within 1,000 feet of a private well.

**2 points:** will be given to uncovered salt piles that do not fall within the first two impact factor criteria.

**1 point:** will be given to projects where an existing salt storage structure is being replaced by a new structure.

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.

#### Grant/Match Fund Split

Grant funds are available for up to 50 percent of the total project costs. Applicants must provide match funds of at least 50 percent of the requested grant amount.

#### Eligible Costs

Eligible grant and match costs include personal services (e.g. salary, fringe); and non-personal services (e.g. contractual services, travel, equipment operating expenses, etc.) incurred by the awardee to implement the project. The following categories of costs are considered eligible:

- Construction
- Construction inspection
- Planning and Design (cannot exceed 20% of award amount)
- Land purchases

Costs must be incurred within the start and end date of the contract to be eligible. The start date of the contract can be no earlier than May 1, 2018.

#### Ineligible Costs

The following costs are NOT eligible for match or grant reimbursement:

- Construction oversight
- Indirect costs (e.g. space/property rent, utilities, and other office supplies)
- Administrative costs
- Legal fees
- Costs incurred outside the start and end date of the contract
- Costs associated with grant application and/or its administration and securing applicable approvals, permits, easements, etc.

#### Match Funds

Only activities considered eligible for WQIP funding are eligible to be used as match funds. Match funds considered eligible for WQIP funding must be incurred within the start and end date of the contract. Match funds consist of cash contributions and in-kind services put forth by the applicant to complete the awarded 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  
Don Tuxill, (518) 402-8168

## Aquatic Habitat Restoration

### Eligible Applicants

- Municipalities<sup>14</sup>
- Soil and water conservation districts
- Not-for-profit corporations<sup>15</sup>

### 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:

Connectivity 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 restore the natural movement of organisms. Projects should remove barriers to aquatic connectivity and must focus on culverts, bridges or dams that are causing these obstructions. There is a maximum grant amount for this category of \$250,000.

Sample projects, include, but are not limited to, the following:

- 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 the natural resource management goals of an area

### Scoring

A scoring rubric can be found in the “Evaluation Process for All Project Types” section toward the end of this document.

### 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.

---

<sup>14</sup> 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.

<sup>15</sup> 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.

- 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.

#### Grant/Match Fund Split

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

Eligible grant and match costs include salary, fringe, contractual costs, travel and equipment incurred by the awardee in the following categories:

- Planning and design (cannot exceed 20% of award amount)
- Construction inspection
- Maintenance
- Reconstruction
- Revitalization
- Rejuvenation activities

Costs must be incurred within the start and end date of the contract to be eligible. The start date of the contract can be no earlier than May 1, 2018.

#### Ineligible Costs

The following costs are NOT eligible for match or grant reimbursement:

- Projects with planning and design costs in excess of 20% of the award amount
- Monitoring costs in excess of 20% of grant amount
- Construction oversight
- Indirect costs (e.g. space/property rent, utilities, and other office supplies)
- Administrative costs
- Legal fees
- Costs incurred outside the start and end date of the contract

#### Match Funds

Only activities considered eligible for WQIP funding are eligible to be used as match funds. Match funds considered eligible for WQIP funding must be incurred within the start and end date of the contract. Match funds consist of cash contributions and in-kind services put forth by the applicant to complete the awarded 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 Fish and Wildlife  
Josh Thiel, (518) 402-8978

## Municipal Separate Storm Sewer Systems (MS4s)

### Eligible Applicants

- Regulated Traditional MS4s<sup>16</sup>
- Municipalities<sup>17</sup>
- Soil and water conservation districts

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>)**. Projects being undertaken by multiple regulated MS4s in the same county or Urbanized Area will be given highest priority. For additional information on urbanized areas, please refer to <http://www.dec.ny.gov/chemical/92258.html>.

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. 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

There is no maximum grant amount for this category however typically grants range from \$20,000 to \$400,000. **Proposed projects must meet the minimum MS4 permit requirements.** Eligible activities include purchase of vacuum truck equipment and/or comprehensive system mapping/program mapping in accordance with the mapping requirements in Table 1 below:

---

<sup>16</sup> 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.

<sup>17</sup> 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.

Table 1: Required Items for Comprehensive System Mapping/Program Mapping

<b>REQUIRED: Applications that include the creation of an electronic or GIS system of mapping will be given precedence over applications that already have an established electronic or GIS system to be expanded upon.</b>			
	<b>Basic Comprehensive Map</b> (Application must include these elements if they are not already included in map.)	<b>Required Elements Map</b> (Applications must look to include these elements if they are not already included in map. Must complete all items in Basic Comprehensive Map prior.)	<b>Additional Elements Map</b> (Elements beyond the required permit elements. Must complete all items in Basic Comprehensive Map prior.)
<b>Waterbody Mapping</b>			
All Waterbodies within the MS4 jurisdiction	X		
Impaired Segments		X	
<b>Outfall Mapping</b>			
Electronic or GIS Map	X		
Receiving Waterbody Name	X		
Type of Conveyance	X		
Outfall material	X		
Outfall shape	X		
Outfall Prioritization (See Draft MS4 GP 0-17-002 Part VI.C.4. /VII.C.4. for guidance.)	X		
Type of outfall	X		
Submerged in water?	X		
Submerged in sediment?	X		
Inspection data	X		
Location of interconnected MS4 outfalls		X	
<b>Sewershed Boundary</b>			
Preliminary	X		
Impaired waters		X	
Per MS4 outfall		X	
Land Use within Impaired Watersheds (Commercial, HD		X	

Residential, LD Residential, Industrial, Open Space)			
Land Use within Other sewersheds (Commercial, HD Residential, LD Residential, Industrial, Open Space)		X	
<b>Priority Areas</b>			
Areas with Onsite wastewater systems subject to Part IX requirements	X		
Description of Concern (Sewershed to impaired waters, septic systems, high water table, industrial area, etc.)		X	
Pollutant(s) of Concern (Litter, Sediment, Nutrients, etc.)		X	
Areas of high discharge potential (Refer to Table 14 of IDDE Guidance Manual for identification)			X
Areas of Shallow Groundwater			X
Areas of Low Infiltrative Soils			X
Areas where stormwater flows have significant potential to cause erosion (soil, silt, rock, etc.)			X
Areas of historic on-site sanitary system failures			X
Sites with a history of major oil or chemical leaks/spills (Include date of event, type of spill, and final resolution)			X
High priority construction sites (Discharges to impaired waters, AA-S, AA, or A classified water sources, or T (trout)/TS (trout spawning) protected bodies)			X
Other areas of Concern (wetlands, riparian buffers, flood plains, steep slopes, etc.)			X
Areas with Onsite wastewater systems (Typical age?)			X
<b>Stormwater Management Practice (SMP) Mapping (minimum data must include)</b>			
Location		X	
Type of SMP (Pond, Bioretention, Swale, Rain Garden, etc.)		X	
Post construction specific SMPs		X	
Reason for SMP (Retrofit, New Development, Flood Control, etc.)			X
Ownership of SMP			X

Location where SMP discharges (Does SMP drain to MS4?)			X
Contributing Drainage area to SMP (if known) Construction date (if known)			X
Last Inspection date (if known)			X
<b>Proposed Retrofits</b>			
Location			X
Contributing drainage area to the proposed stormwater retrofit			X
<b>Municipality owned/operated facilities</b>			
Location		X	
Type (Municipal Buildings, DPW Garage, vehicle and fleet maintenance areas (fire station, police station, bus stations), landfills, salt storage areas, parks & open space, solid waste disposal areas, transfer stations, marinas, etc.)		X	
Facility Prioritization (See Draft MS4 GP 0-17-002 Part VI.F.3. /VII.F.3. for guidance.)		X	
Contact			X
Last Assessment Date			X
<b>Storm Sewer System Mapping (for areas not subject to Part IX)</b>			
Type of Conveyance System (closed pipe or open drainage)		X	
*Closed Pipe (Pipe material; Shape; Size)		X	
*Open Drainage (Channel/Ditch lining material; Shape; Dimensions; Locations and dimensions of any culvert crossings)		X	
Drop Inlet, catch basin and manhole locations		X	
Number and size of connections to catch basins and manholes		X	
Direction of Flow		X	

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.

Mapping Table Key:

**Basic Comprehensive Map (Red Category)** – These mapping elements are required by the NYS Small MS4 GP-0-15-003 to have been completed within 3 years of the effective date of permit authorization. To be eligible for funding, applicants must have a plan for conversion of these elements to an electronic/GIS format if the applicant has not already done so. All requirements in the Basic Comprehensive Map category **MUST** be completed before grant or match funds can be used for items in the Required Elements Map or Additional Elements Map categories.

**Required Elements Map (Yellow Category)** – These mapping elements are required by the NYS Small MS4 Draft GP-0-17-002 (Oct. 2016). All requirements in the Basic Comprehensive Map category **MUST** be completed before grant or match funds can be used for items in the Required Elements Map or Additional Elements Map categories.

**Additional Elements Map (Green Category)** – These mapping elements are beyond the required Stormwater Management Plan (SWMP) mapping requirements of the NYS Small MS4 GP-0-15-003 and Draft MS4 GP-0-17-002. All requirements in the Basic Comprehensive Map category **MUST** be completed before grant or match funds can be used for items in the Required Elements Map or Additional Elements Map categories.

Ineligible Projects:

- Projects that do not include the creation of an electronic or GIS system of mapping, or specify the use of an already established electronic or GIS system to be expanded upon.
- Projects that have not completed all requirements in the Basic Comprehensive Map category but include Required Elements or Additional Elements Map costs.

Priorities:

- Highest priority will be given to:
  - Projects addressing Basic Comprehensive Map items (see Table 1) that will impact a waterbody that is either:
    - listed on the Priority Waterbodies List (PWL) as “precluded” or “impaired”; or
    - has a TMDL, Nine Element Watershed Plan, or DEC HABs Action Plan.
  - Projects to purchase vacuum truck equipment to be used in an area that is impacting a waterbody that is listed on the PWL as “precluded” or “impaired” where mapping includes all basic comprehensive mapping (red column) and required mapping (yellow column) items.
- Secondary priority will be given to:
  - Projects addressing Basic Comprehensive Map items that will impact a waterbody that is not listed on the Priority Waterbodies List (PWL) as “precluded” or “impaired” and does not have a TMDL, Nine Element Plan or DEC HABs Action Plan.
- Tertiary priority will be given to:
  - Projects addressing Required Elements Map items;



- Projects to purchase vacuum truck equipment to be used in an area that is impacting a waterbody that is not listed on the Priority Waterbodies List (PWL) as “precluded” or “impaired” where mapping includes all basic comprehensive mapping (red column) and required mapping (yellow column) items.

In addition, projects being undertaken by multiple regulated MS4s in the same county or Urbanized Area will be given highest priority in the following manner:

- Highest priority will be given to projects where 85% or more of regulated MS4s in a county or Urbanized Area will be working on activities listed in Table 1.
- Secondary priority will be given to projects where 40% - 84% of regulated MS4s in a county or Urbanized Area will be working on activities listed in Table 1.
- Tertiary priority will be given to projects where less than 40% of regulated MS4s in a county or Urbanized Area will be working on activities listed in Table 1.

### Scoring

A scoring rubric can be found in the “Evaluation Process for All Project Types” section toward the end of this document.

### Grant/Match Fund Split

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 grant and match costs include salary, fringe, contractual costs, travel, equipment costs, and construction inspection fees incurred by MS4s to develop and implement a stormwater management program (SWMP) that, at a minimum, complies with GP-0-15-003. Costs must be incurred within the start and end date of the contract to be eligible. The start date of the contract can be no earlier than May 1, 2018.

### Ineligible Costs

The following costs are NOT eligible for match or grant reimbursement:

- Purchase of equipment already owned and available through the cooperative stormwater group
- Development of materials already available through the cooperative stormwater group
- Indirect costs (e.g. space/property rent, utilities, and other office supplies)
- Administrative costs
- Legal fees
- Costs incurred outside the start and end date of the contract

### Match Funds

Only activities considered eligible for WQIP funding are eligible to be used as match funds. Match funds considered eligible for WQIP funding must be incurred within the start and end date of the contract. Match funds consist of cash contributions and in-kind services put forth by the applicant to complete the awarded 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  
Ethan Sullivan, (518) 402-1382

## **EVALUATION PROCESS FOR ALL PROJECT TYPES**

### **Scoring and Selection**

All applications are first reviewed for eligibility and then 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.

### **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 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 (**Only** land acquisition for source water protection projects OR aquatic habitat restoration projects)
2. Eligible Project Type
  - a. Wastewater Treatment Improvement
  - b. Non-agricultural Nonpoint Source Abatement and Control
  - c. Land Acquisition Projects for Source Water Protection
  - d. Salt Storage
  - e. Aquatic Habitat Restoration
  - f. 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.

## Wastewater Treatment Improvement Projects Scoring Rubric

	Maximum Points			Minimum Points	
<b>Performance Measures</b>	<p>Wastewater Treatment projects that are designed to meet requirements in a finalized consent order compliance schedule or a finalized compliance schedule associated with the facility's SPDES permit</p> <p>AND one of the following:</p> <p>Wastewater effluent disinfection projects for facilities that currently do not disinfect their effluent who have been notified by the Department that their treatment system requires an upgrade to add effluent disinfection</p> <p><b>OR</b></p> <p>CSO projects that are under a Long-Term Control Plan</p> <p><b>OR</b></p> <p>SSO projects that are for an SSO included in a capacity, management, operation and maintenance (CMOM) program, a sanitary sewer evaluation survey plan, or identified as a Type 1 outfall in a SPDES permit</p> <p><b>OR</b></p>	<p>Wastewater effluent disinfection projects for facilities that currently do not disinfect their effluent who have been notified by the Department that their treatment system requires an upgrade to add effluent disinfection</p> <p><b>OR</b></p> <p>CSO projects that are under a Long-Term Control Plan</p> <p><b>OR</b></p> <p>SSO projects that are for an SSO included in a capacity, management, operation and maintenance (CMOM) program, a sanitary sewer evaluation survey plan, or identified as a Type 1 outfall in a SPDES permit</p> <p><b>OR</b></p> <p>Implementation projects that are listed in a TMDL, Nine Element Watershed Plan, or DEC HABS Action Plan</p> <p><b>OR</b></p> <p>Municipal systems to serve multiple properties with Inadequate On-Site Septic Systems that are listed in the PWL as a source of impairment; listed in a DEC HABS Action</p>	<p>Projects that are located in the HUC 12 watershed of waterbodies listed on PWL as "precluded" or "impaired"</p> <p><b>OR</b></p> <p>Projects that are located in the HUC 12 watershed of waterbodies classified as a Class A or Class AA waterbody with an active public water system and drinking water use is listed on PWL as "stressed" or "threatened"</p> <p><b>Points: 20</b></p>	<p>Projects that are located in the HUC 12 watershed of waterbodies listed on PWL as "stressed" or "threatened".</p> <p><b>OR</b></p> <p>Projects that are located in the HUC 12 watershed of waterbodies classified as Class A or Class AA without an active public water system</p> <p><b>Points: 10</b></p>	<p>Project will not address the POC for an impairment listed on the PWL or project is necessary to preserve or protect a surface waterbody not listed on the PWL.</p> <p><b>Points: 5</b></p>

	<p>Implementation projects that are listed in a TMDL, Nine Element Watershed Plan, or DEC HABs Action Plan</p> <p style="text-align: center;"><b>OR</b></p> <p>Municipal systems to serve multiple properties with Inadequate On-Site Septic Systems that are: listed in the PWL as a source of impairment; listed in a DEC HABs Action Plan; or have a completed sanitary survey conducted and/or approved by the Department of Health.</p> <p style="text-align: center;"><b>OR</b></p> <p>Projects to reduce and/or eliminate nitrogen impairments in shellfishing waters</p> <p><b>Points: 40</b></p>	<p>Plan; or have a completed sanitary survey conducted and/or approved by the Department of Health.</p> <p><b>Points: 30</b></p>			
<b>Classification Points Factor</b>	<p>AA, SA, A(T), GA (primary water supply aquifer), AA special</p> <p><b>Points: 10</b></p>	<p>A, A special, B(T), GA (other), GSA</p> <p><b>Points: 8</b></p>	<p>B, SB, C(T), C(TS)</p> <p><b>Points: 6</b></p>	<p>C, SC, I</p> <p><b>Points: 4</b></p>	<p>D, SD, GSB</p> <p><b>Points: 2</b></p>
<b>Reasonableness of Cost</b>	<p>Exceptional value for the cost as it applies to both achieving the project objectives and being a fiscally sound project.</p> <p>Also to be considered for Wastewater Treatment projects is if the applicant is a Climate Smart Community, and has taken Action 3.31, 3.32, 7.1 or 7.10 and information from one</p>	<p>Cost is good as it applies to both achieving the project objectives and being a fiscally sound project.</p> <p><b>Points: 10</b></p>		<p>Cost is reasonable as it applies to both achieving the project objectives and being a fiscally sound project.</p> <p><b>Points: 5</b></p>	<p>Cost not reasonable for this type of project.</p> <p><b>Points: 0</b></p>

	or more of the Actions is referenced in the application. <b>Points: 20</b>			
<b>Project Readiness</b>	Project has all necessary permits (or does not need permits) and approvals. The project is ready to move forward with construction. <b>Points: 5</b>	Project is not ready to proceed with construction but has some of the necessary approvals and is expected to lead to construction without delay. <b>Points: 3</b>	Project has not secured any of the necessary approvals and is not ready to proceed to construction. <b>Applications that fall into this category will not be funded.</b>  <b>Points: 0</b>	
<b>Experience and Ability</b>	Applicant has shown the ability to complete all WQIP and/or Engineering Planning Grant projects.  <b>Points: 5</b>	Applicant has shown the ability to complete most WQIP and/or Engineering Planning Grant contracts. <b>OR</b> Applicant has not previously been awarded a WQIP or Engineering Planning grant but appears to have the experience and ability to carry out the project. <b>Points: 3</b>	Applicant has demonstrated poor management of WQIP and/or Engineering Planning Grant contract(s). <b>OR</b> Applicant has not previously been awarded a WQIP or Engineering Planning grant and does not appear to have the experience and ability to carry out the project. <b>Applications that fall into this category will not be funded.</b> <b>Points: 0</b>	
<b>Regional Economic Development Priority</b>	<b>20 points for this criterion are provided by the Regional Economic Development Councils.</b>			
<b>Total Maximum Points</b>	<b>100 points</b>			

## Nonpoint Source Abatement Scoring Rubric

	Maximum Points				Minimum Points
<b>Performance Measures</b>	<p>Projects that address a primary pollution source identified in a TMDL, Nine Element Plan, or DEC HABs Action Plan as listed in DEC's Pollutant Source Prioritization Table AND impacting an active public drinking water supply;</p> <p style="text-align: center;"><b>OR</b></p> <p>Great Lakes Nature Based Shoreline projects that demonstrate protection of infrastructure vulnerable to impacts of coastal erosion and flooding;</p> <p style="text-align: center;"><b>OR</b></p> <p>Beach Restoration projects that are specifically listed as a priority in a beach restoration report funded through Ocean and Great Lakes EPF pilot beach closure mitigation project.</p> <p><b>Points: 10</b></p>	<p>Projects that address a primary pollution source identified in a TMDL or Nine Element Plan as listed in DEC's Pollutant Source Prioritization Table;</p> <p style="text-align: center;"><b>OR</b></p> <p>Projects located in the HUC 12 watershed of a PWL segment with uses listed as either "precluded" or "impaired" that target the Pollutant of Concern, listed in the PWL factsheet, causing or contributing to the use impairment;</p> <p style="text-align: center;"><b>OR</b></p> <p>Projects that address a documented nonpoint source of pollution impacting an active public drinking water supply;</p> <p style="text-align: center;"><b>OR</b></p> <p>Retrofit projects required under an MS4 permit;</p> <p style="text-align: center;"><b>OR</b></p> <p>Green Infrastructure projects that reduce stormwater flow to a combined sewer system;</p> <p style="text-align: center;"><b>OR</b></p> <p>Projects that support multiple actions in the Great Lakes Watershed Action Agenda;</p> <p style="text-align: center;"><b>OR</b></p> <p>Beach restoration projects that are for a type of project that is the main focus of a beach restoration report funded independently or based on a sanitary survey.</p> <p><b>Points: 8</b></p>	<p>Projects that address a secondary pollution source identified in a TMDL, Nine Element Plan, or DEC HABs Action Plan as listed in DEC's Pollutant Source Prioritization Table;</p> <p style="text-align: center;"><b>OR</b></p> <p>Projects that support an action or priority identified in a Watershed Action Agenda</p> <p style="text-align: center;"><b>OR</b></p> <p>Projects located in the HUC 12 watershed of a PWL segment with uses listed as either "stressed" or "threatened" that target the Pollutant of Concern, listed in the PWL factsheet, causing or contributing to the use impairment.</p> <p><b>Points: 6</b></p>	<p>Great Lakes Nature Based Shoreline projects addressing a water quality impairment not listed on the PWL that has been reported and substantiated by a credible agency.</p> <p><b>Points: 4</b></p>	<p>Projects located in the HUC 12 watershed of a PWL segment that is listed as "unassessed".</p> <p><b>Points: 1</b></p>

<b>Impact Factor</b>	See individual NPS priorities for definition <b>Points: 4</b>	See individual NPS priorities for definition <b>Points: 3</b>	See individual NPS priorities for definition <b>Points: 2</b>	See individual NPS priorities for definition <b>Points: 1</b>	
<b>Vision</b>	Vision will be calculated by multiplying Performance Measures times Impact Factor. See individual NPS priorities for definition. Performance Measures points and Impact Factor points will not be included in the total score, only the combined Vision points.				
<b>Waterbody Assessment (For All Categories EXCEPT Green Infrastructure)</b>	<i>Waterbody Classification</i>	AA, SA, GA (primary supply aquifer), AA special, A(T) <b>Points: 3</b>	A, A special, GA (other), GSA, B(T), C(T) <b>Points: 2</b>	B, SB, C(TS), C, SC, I, D, SD, GSB <b>Points: 1</b>	Waterbody not listed on the PWL <b>Points: 0</b>
	<i>Water Quality Problem Severity</i>	“precluded” or “impaired” <b>Points: 3</b>	“stressed” or “threatened” <b>Points: 2</b>	Fully Supported <b>Points: 1</b>	Unassessed or Waterbody not listed on the PWL <b>Points: 0</b>
	<i>Type of Pollutant (must be a nonpoint source pollutant)</i>	Known <b>Points: 2</b>	Suspected <b>Points: 1</b>	Unconfirmed <b>Points: 0</b>	Unassessed or Waterbody not listed on the PWL <b>Points: 0</b>
	<i>Source of Pollutant</i>	Known <b>Points: 2</b>	Suspected <b>Points: 1</b>	Unconfirmed <b>Points: 0</b>	Unassessed or Waterbody not listed on the PWL <b>Points: 0</b>
<b>Waterbody Assessment (For Green Infrastructure Category)</b>	<i>Water Quality Problem Severity</i>	“precluded” or “impaired” <b>Points: 4</b>	“stressed” or “threatened” <b>Points: 3</b>	Fully Supported <b>Points: 2</b>	Unassessed or Waterbody not listed on the PWL <b>Points: 0</b>
	<i>Type of Pollutant (must be a pollutant traditionally identified with CSO discharges)</i>	Known <b>Points: 3</b>	Suspected <b>Points: 2</b>	Unconfirmed <b>Points: 0</b>	Unassessed or Waterbody not listed on the PWL <b>Points: 0</b>
	<i>Source of Pollutant</i>	Known <b>Points: 3</b>	Suspected <b>Points: 1</b>	Unconfirmed <b>Points: 0</b>	Unassessed or Waterbody not listed on the PWL <b>Points: 0</b>



<b>Reasonableness of Cost</b>	Exceptional value for the cost as it applies to both achieving the project objectives and being a fiscally sound project.  <b>Points: 20</b>	Cost is good as it applies to both achieving the project objectives and being a fiscally sound project. <b>Points: 10</b>	Cost is reasonable as it applies to both achieving the project objectives and being a fiscally sound project. <b>Points: 5</b>	Cost not reasonable for this type of project.  <b>Points: 0</b>
<b>Project Readiness</b>	Project has all necessary permits (or does not need permits) and approvals. The project is ready to move forward with construction.  <b>Points: 5</b>	Project is not ready to proceed with construction but has some of the necessary approvals and is expected to lead to construction without delay.  <b>Points: 3</b>	Project has not secured any necessary approvals and is not ready to proceed with constructions.  <b>Applications that fall into this category will not be funded.</b>  <b>Points: 0</b>	
<b>Experience and Ability</b>	Applicant has shown the ability to complete all WQIP contracts.  <b>Points: 5</b>	Applicant has shown the ability to complete most WQIP contracts.  <b>OR</b>  Applicant has not previously been awarded a WQIP grant but appears to have the experience and ability to carry out the project.  <b>Points: 3</b>	Applicant has demonstrated poor management of WQIP contract(s). <b>OR</b> Applicant has not previously been awarded a WQIP grant and does not appear to have the experience and ability to carry out the project.  <b>Applications that fall into this category will not be funded.</b>  <b>Points: 0</b>	
<b>Regional Economic Development Priority</b>	<b>20 points for this criterion are provided by the Regional Economic Development Councils.</b>			
<b>Total Points</b>	<b>100</b>			

## Land Acquisition Projects for Source Water Protection Scoring Rubric

	Maximum Points			Minimum Points
<b>Performance Measures</b>	<p><b>Land Acquisition Projects:</b> Projects identified in a TMDL, Nine Element Watershed Plan or DEC HABs Action Plan</p> <p style="text-align: center;"><b>OR</b></p> <p>Parcels directly adjacent to surface waterbodies used as an active public drinking water supply</p> <p style="text-align: center;"><b>OR</b></p> <p>Parcels within 1,000 feet of a water supply wellhead permitted as an active public drinking water source</p> <p style="text-align: center;"><b>OR</b></p> <p>Parcels specifically identified for drinking water protection in the New York State Open Space Plan</p> <p style="text-align: center;"><b>OR</b></p> <p><b>Land Acquisition Programs:</b> Programs identified in a TMDL, Nine Element Watershed Plan or DEC HABs Action Plan</p> <p style="text-align: center;"><b>Points: 30</b></p>	<p><b>Land Acquisition Projects:</b> Projects that target protection of land parcels adjacent to tributaries that directly drain into a surface waterbody used as an active public drinking water supply</p> <p style="text-align: center;"><b>OR</b></p> <p>Parcels within 1,001 – 1,500 feet from a water supply wellhead permitted as an active public drinking water source</p> <p><b>Land Acquisition Programs:</b> Programs that demonstrate that some level of planning has taken place creating tools or methods to prioritize acquiring lands to protect public water supplies or inclusion of source water protection in comprehensive plans, municipal resolutions, etc. of the majority of municipalities in the HUC 12 watersheds being proposed</p> <p style="text-align: center;"><b>OR</b></p> <p>Watersheds specifically identified for drinking water protection in the New York State Open Space Plan</p> <p style="text-align: center;"><b>Points: 20</b></p>	<p><b>Land Acquisition Projects:</b> Projects that target protection of land parcels within the HUC 12 watershed of a surface waterbody used as an active public drinking water supply</p> <p style="text-align: center;"><b>OR</b></p> <p>Parcels greater than 1,500 feet from a water supply wellhead permitted as an active public drinking water source and are identified in a protection plan as needing protection.</p> <p style="text-align: center;"><b>Points:10</b></p>	<p><b>Land Acquisition Projects:</b> Projects that target protection of land parcels outside the HUC 12 watershed of a surface waterbody used as an active public drinking water supply</p> <p style="text-align: center;"><b>OR</b></p> <p>Parcels greater than 1,500 feet from a water supply wellhead permitted as an active public drinking water source.</p> <p style="text-align: center;"><b>Points:0</b></p> <p><b>Applications that fall into this category will not be funded.</b></p>
<b>Reasonableness of Cost</b>	Budget clearly details costs related to implementation of a land acquisition project or program; project or program	Budget provides some detail on costs related to implementation of a land acquisition project or program; project or program costs provide	Budget does not clearly detail costs associated with a land acquisition project or program; costs do not provide a good value as it applies	

	costs provide exceptional value as it applies to achieving source water protection <b>Points: 20</b>	reasonable value as it applies to achieving source water protection <b>Points: 10</b>	to achieving source water protection <b>Applications that fall into this category will not be funded.</b> <b>Points: 0</b>	
<b>Source Water Protection Prioritization</b>	<p><b>Land Acquisition Projects:</b> At least 50% of the parcel is located within an area designated for the protection of source water identified in a conservation overlay district, wetlands protection plan, Nine Element Watershed Plan, TMDL, DEC HABS Action Plan or other plan produced by a licensed geologist, Rural Water authority or Regional Planning authority.</p> <p style="text-align: center;"><b>OR</b></p> <p>At least 50% of the parcel is designated as wetlands, forested land, open space, or grasslands by the 2011 National Land Cover Dataset.</p> <p><b>Land Acquisition Programs:</b> Program prioritizes parcels based on a scientific methodology or tool that ranks parcels based on greatest impact to water quality (i.e. steep slopes, lack of riparian buffers, intensive development) <b>Points: 15</b></p>	<p><b>Land Acquisition Projects:</b> At least 50 percent of the parcel is designated as agriculture or low/medium intensity developed area as by the 2011 National Land Cover Dataset.</p> <p style="text-align: center;"><b>OR</b></p> <p>35% - 49% of the parcel is located within an area designated for source water protection or classified as wetlands, forested land, open space or grasslands as by the 2011 National Land Cover Dataset.</p> <p><b>Land Acquisition Programs:</b> Program prioritizes parcels based on proximity to the drinking water source.</p> <p><b>Points: 10</b></p>	<p><b>Land Acquisition Projects:</b> At least 50 percent of the parcel is designated as high density developed area by the 2011 National Land Cover Dataset.</p> <p style="text-align: center;"><b>OR</b></p> <p>35% - 49% of the parcel is designated as agriculture or low/medium intensity developed area by the 2011 National Land Cover Dataset.</p> <p><b>Land Acquisition Programs:</b> Program prioritizes parcels based on vacancy or availability for acquisition.</p> <p><b>Points: 5</b></p>	
<b>Project or Program Readiness</b>	<b>Land Acquisition Projects:</b> Parcels have been identified and	<b>Land Acquisition Projects:</b> Parcels have been identified but landowner	<b>Land Acquisition Projects:</b> Specific parcels have not been clearly identified OR	

	<p>landowner endorsement is demonstrated by a letter of commitment; applicant has provided protocols for monitoring and enforcement of properties meeting all requirements listed in Appendix B.</p> <p><b>Land Acquisition Programs:</b> Watershed parcels have been identified and prioritized; landowner endorsements are demonstrated by letters of commitment; applicant has provided protocols for monitoring and enforcement of properties meeting all requirements listed in Appendix B; for projects involving personal service costs, applicant has demonstrated the ability to maintain the level of effort funded by this grant. <b>Points: 10</b></p>	<p>endorsement has not been demonstrated; applicant has provided protocols for monitoring and enforcement of properties meeting all requirements listed in Appendix B.</p> <p><b>Land Acquisition Programs:</b> Watershed parcels have been identified but landowner endorsement has not been demonstrated; applicant has provided protocols for monitoring and enforcement of properties meeting all requirements listed in Appendix B; for projects involving personal service costs, applicant has demonstrated the ability to maintain the level of effort funded by this grant. <b>Points: 5</b></p>	<p>applicant has not provided protocols for monitoring and enforcement of properties meeting all requirements listed in Appendix B.</p> <p><b>Land Acquisition Programs:</b> Drinking water supply watershed targeted for protection has not been clearly identified OR applicant has not provided protocols for monitoring and enforcement of properties meeting all requirements listed in Appendix B; for projects involving personal service costs, applicant has not demonstrated the ability to maintain the level of effort funded by this grant. <b>Applications that fall into this category will not be funded.</b> <b>Points: 0</b></p>	
<b>Experience and Ability</b>	<p>Applicant possesses the knowledge, skills and ability to complete the program, and has prior experience with DEC grants, and completed all tasks in a timely manner</p> <p><b>OR</b></p> <p>Applicant is accredited through the Land Trust Accreditation Commission <b>Points: 5</b></p>	<p>Applicant possesses the knowledge, skills and ability to complete the program, but does not have prior experience with DEC grants <b>Points: 3</b></p>	<p>Applicant does not possess the knowledge, skills and ability to complete the program and does not have prior experience with DEC grants or has previous experience with DEC grants within the last 2 years and did not complete all tasks in a timely manner. <b>Applications that fall into this category will not be funded.</b> <b>Points: 0</b></p>	

<b>Regional Economic Development Priority</b>	<i>20 points for this criterion are provided by the Regional Economic Development Councils.</i>
<b>Total Maximum Points</b>	<b>100</b>

## Salt Storage Scoring Rubric

	Maximum Points			Minimum Points	
<b>Performance Measures</b>	<p>Projects to construct a new structure:</p> <p>To enclose an exposed salt or salt/sand mixture storage pile which is currently located less than 300 feet from a groundwater drinking water source or surface water used for a public water system</p> <p style="text-align: center;"><b>OR</b></p> <p>Within a primary aquifer</p> <p style="text-align: center;"><b>OR</b></p> <p>Within a sole source aquifer</p> <p style="text-align: right;"><b>Points: 10</b></p>	<p>Projects to construct a new structure to enclose an exposed salt or salt/sand mixture storage pile which is currently located:</p> <p>300 feet or more but less than 1,000 feet from a groundwater drinking water source or surface water used for a public water system</p> <p style="text-align: center;"><b>OR</b></p> <p>Less than 500 feet from a private well</p> <p style="text-align: right;"><b>Points: 7</b></p>	<p>Projects to construct a new structure to enclose an exposed salt or salt/sand mixture storage pile which is currently located:</p> <p>1,000 feet or more but less than 2,000 feet from a groundwater drinking water source or surface water used for a public water system</p> <p style="text-align: center;"><b>OR</b></p> <p>500 feet or more but less than 1,000 feet from a private well</p> <p style="text-align: right;"><b>Points: 5</b></p>	<p>Projects to construct a new structure to enclose an exposed salt or salt/sand mixture storage pile which is currently located:</p> <p>2,000 feet or more but less than 4,000 feet from a groundwater drinking water source or surface water used for a public water system</p> <p style="text-align: center;"><b>OR</b></p> <p>1,000 feet or more but less than 1,500 feet from a private well</p> <p style="text-align: right;"><b>Points: 3</b></p>	<p>Projects to build a structure that replaces an existing structure.</p> <p style="text-align: center;"><b>OR</b></p> <p>Projects to construct a new structure to enclose an exposed salt or salt/sand mixture storage pile which is currently located:</p> <p>4,000 feet or more from a groundwater drinking water source or surface water used for a public system</p> <p style="text-align: center;"><b>OR</b></p> <p>1,500 feet or more from a private well</p> <p style="text-align: right;"><b>Points: 1</b></p>
<b>Impact Factor</b>	<p>See Salt Storage section for definition</p> <p style="text-align: right;"><b>Points: 4</b></p>	<p>See Salt Storage section for definition</p> <p style="text-align: right;"><b>Points: 3</b></p>		<p>See Salt Storage section for definition</p> <p style="text-align: right;"><b>Points: 2</b></p>	<p>See Salt Storage section for definition</p> <p style="text-align: right;"><b>Points: 1</b></p>
<b>Vision</b>	<p style="text-align: center;">Vision will be calculated by multiplying Performance Measures times Impact Factor. Performance Measures points and Impact Factor points will not be included in the total score, only the combined Vision points.</p>				

<b>Reasonable-ness of Cost</b>	Exceptional value for the cost as it applies to both achieving the project objectives and being a fiscally sound project.  <b>Points: 20</b>		Cost is good as it applies to both achieving the project objectives and being a fiscally sound project. <b>Points: 10</b>	Cost is reasonable as it applies to both achieving the project objectives and being a fiscally sound project.  <b>Points: 5</b>	Cost not reasonable for this type of project.  <b>Points: 0</b>
<b>Classification Points Factor</b>	AA, SA, GA (primary water supply aquifer, sole source aquifer), AA special <b>Points: 10</b>	A, A special, GA (other), GSA <b>Points: 5</b>	B, SB, C(T), C(TS) <b>Points: 1</b>	C, SC, I <b>Points: 1</b>	D, SD, GSB <b>Points: 1</b>
<b>Project Readiness</b>	Project has all necessary permits (or does not need permits) and approvals. The project is ready to move forward with construction. <b>Points: 5</b>		Project is not ready to proceed with construction but has some of the necessary approvals and is expected to lead to construction without delay. <b>Points: 3</b>	Project has not secured any of the necessary approvals and is not ready to proceed to construction. <b>Applications that fall into this category will not be funded.</b>  <b>Points: 0</b>	
<b>Experience and Ability</b>	Applicant has shown the ability to complete all WQIP projects.  <b>Points: 5</b>		Applicant has shown the ability to complete most WQIP contracts. <b>OR</b> Applicant has not previously been awarded a WQIP grant but appears to have the experience and ability to carry out the project.  <b>Points: 3</b>	Applicant has demonstrated poor management of WQIP contract(s).  <b>OR</b> Applicant has not previously been awarded a WQIP grant and does not appear to have the experience and ability to carry out the project. <b>Applications that fall into this category will not be funded.</b>  <b>Points: 0</b>	
<b>Regional Economic Development Priority</b>	<b>20 points for this criterion are provided by the Regional Economic Development Councils.</b>				
<b>Total Maximum Points</b>	<b>100 points</b>				

## Aquatic Habitat Restoration (AHR) Projects Scoring Rubric

	Maximum Points				Minimum Points
<b>Performance Measures (Statewide Projects)<sup>18</sup></b>	<i>Species Miles</i> <sup>19</sup> : 5 or more  <i>Barrierity</i> <sup>20</sup> : Significant or greater <b>Points: 40</b>	<i>Species Miles</i> : 3 or more  <i>Barrierity</i> : Significant or greater <b>Points: 30</b>	<i>Species Miles</i> : 1 or more  <i>Barrierity</i> : Moderate or greater <b>Points: 20</b>	<i>Species Miles</i> : 0.1 or more <i>Barrierity</i> : Minor or greater <b>Points: 10</b>	<i>Species Miles</i> : 0  <i>Barrierity</i> : Moderate or greater <b>Points: 5</b>
<b>Reasonableness of Cost</b>	Exceptional value for the cost as it applies to both achieving the project objectives and being a fiscally sound project. <b>Points: 20</b>	Cost is good as it applies to both achieving the project objectives and being a fiscally sound project. <b>Points: 10</b>	Cost is reasonable as it applies to both achieving the project objectives and being a fiscally sound project. <b>Points: 5</b>	Cost is not reasonable for this type of project.  <b>Points: 0</b>	
<b>Vision</b>	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. <b>Points: 10</b>	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. <b>Points: 5</b>	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).  <b>Points: 0</b>		
<b>Project Readiness</b>	Project has all necessary permits (or does not need permits) and approvals. The project is ready to move forward	Project is not ready to proceed with construction but has some of the necessary approvals and is expected to	Project has not secured any of the necessary approvals and is not ready to proceed to construction. <b>Applications that fall into this category will not be funded.</b>		

<sup>18</sup> Projects that do not achieve 5 or more points within Performance Measures will not be funded.

<sup>19</sup> Species Miles: See explanation at the end of this matrix.

<sup>20</sup> Barrierity: See explanation at the end of this matrix.



	with construction. <b>Points: 5</b>	lead to construction without delay. <b>Points: 3</b>	<b>Points: 0</b>
<b>Experience and Ability</b>	Applicant has shown the ability to complete all WQIP projects.  <b>Points: 5</b>	Applicant has shown the ability to complete most WQIP contracts. <b>OR</b> Applicant has not previously been awarded a WQIP grant but appears to have the experience and ability to carry out the project. <b>Points: 3</b>	Applicant has demonstrated poor management of WQIP contract(s). <b>OR</b> Applicant has not previously been awarded a WQIP grant and does not appear to have the experience and ability to carry out the project. <b>Applications that fall into this category will not be funded.</b>  <b>Points: 0</b>
<b>Regional Economic Development Priority</b>	<b>20 points for this criterion are provided by the Regional Economic Development Councils.</b>		
<b>Total Maximum Points</b>	<b>100 points</b>		

### 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 North Atlantic Aquatic Connectivity Project (NAACC) found at <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 NAACC.

Severe	Less than 0.19
Significant	0.20 – 0.39
Moderate	0.40 – 0.59
Minor	0.60 – 0.79
Insignificant	0.80 – 0.1

## Municipal Separate Storm Sewer System (MS4) Projects Scoring Rubric

	Maximum Points			Minimum Points
<b>Performance Measures</b>	<p>Project addresses Basic Comprehensive Map (red column) items that will impact a waterbody that is listed on the Priority Waterbodies List (PWL) as "precluded" or "impaired" or has a TMDL, Nine Element Watershed Plan or DEC HABs Action Plan.</p> <p style="text-align: center;"><b>OR</b></p> <p>Project is to purchase vacuum truck equipment to be used in an area that is impacting a waterbody listed on the Priority Waterbodies List (PWL) as "precluded" or "impaired" and mapping includes all basic comprehensive mapping (red column) and required mapping (yellow column) items.</p> <p><b>Points: 30</b></p>	<p>Project addresses Basic Comprehensive Map (red column) items that will impact a waterbody that is not listed on the Priority Waterbodies List (PWL) as "precluded" or "impaired" and does not have a TMDL, Nine Element Watershed Plan, or DEC HABs Action Plan</p> <p><b>Points: 20</b></p>	<p>Project addresses Required Elements Map (yellow column) items.</p> <p style="text-align: center;"><b>OR</b></p> <p>Project is to purchase vacuum truck equipment to be used in an area that is impacting a waterbody that is not listed on the Priority Waterbodies List (PWL) as "precluded" or "impaired" and mapping includes all basic comprehensive mapping (red column) and required mapping (yellow column) items</p> <p><b>Points: 15</b></p>	<p>Project addresses Additional Elements Map (green column) items.</p> <p style="text-align: center;"><b>OR</b></p> <p>Project is to purchase vacuum truck equipment to be used in an area that is impacting a waterbody not listed on the Priority Waterbodies List (PWL) as "precluded" or "impaired" and mapping does not include all basic comprehensive mapping (red column) and required mapping (yellow column) items.</p> <p><b>Points: 5</b></p>
<b>Reasonableness of Cost</b>	<p>Exceptional value for the cost as it applies to both achieving the project objectives and being a fiscally sound project.</p> <p><b>Points: 20</b></p>	<p>Cost is good as it applies to both achieving the project objectives and being a fiscally sound project.</p> <p><b>Points: 10</b></p>	<p>Cost is reasonable as it applies to both achieving the project objectives and being a fiscally sound project.</p> <p><b>Points: 5</b></p>	<p>Cost is not reasonable for this type of project.</p> <p><b>Points: 0</b></p>

<b>Vision</b>	85% or more of regulated MS4s in a county or Urbanized Area working on one or more of the items listed in Table 1: Required Items for Comprehensive System Mapping/Program Mapping <b>Points: 20</b>	40% - 84% of regulated MS4s in a county or Urbanized Area working on one or more of the items listed in Table 1: Required Items for Comprehensive System Mapping/Program Mapping <b>Points: 10</b>	Less than 40% of regulated MS4s in a county or Urbanized Area working on one or more of the items listed in Table 1: Required Items for Comprehensive System Mapping/Program Mapping <b>Points: 5</b>	
<b>Project Readiness</b>	Project has all necessary pieces in place to purchase vacuum truck equipment and/or complete system mapping. <b>Points: 5</b>	Project has some of the necessary pieces in place to purchase vacuum truck equipment and/or complete system mapping. <b>Points: 3</b>	Project has not secured any of the necessary approvals and is not ready to proceed with project implementation. <b>Applications that fall into this category will not be funded.</b> <b>Points: 0</b>	
<b>Experience and Ability</b>	Applicant has shown the ability to complete all WQIP projects.  <b>Points: 5</b>	Applicant has shown the ability to complete most WQIP contracts. <b>OR</b> Applicant has not previously been awarded a WQIP grant but appears to have the experience and ability to carry out the project. <b>Points: 3</b>	Applicant has demonstrated poor management of WQIP contract(s). <b>OR</b> Applicant has not previously been awarded a WQIP grant and does not appear to have the experience and ability to carry out the project. <b>Applications that fall into this category will not be funded.</b>  <b>Points: 0</b>	
<b>Regional Economic Development Priority</b>	<b>20 points for this criterion are provided by the Regional Economic Development Councils.</b>			
<b>Total Maximum Points</b>	<b>100 points</b>			

**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 90-120 days of a grant award.
- Consider regional distribution in the determination of awards, to the extent practicable.
- 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.
- Reject any or all applications in response to the RFA at the agency's sole discretion.
- Reduce an award from the amount requested in the application, should the project budget contain costs considered ineligible under this grant program.
- Reduce an award from the amount requested in the application, so long as the reduced funding does not jeopardize the viability of the project to proceed at the reduced funding level.

**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 Master Contract for Grants (MCG) and as specified in the MCG 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 Environmental Protection Fund 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.

**Permit Requirements (if applicable)**

Contractor agrees 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 go to the VendRep System at <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> 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.newycontracts.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](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 – up to 20%

Commodities – up to 20%  
Services/Technologies – up to 20%  
Equal Employment Opportunity (EEO) Participation Goals  
EEO Minority Workforce Participation Goals (DEC Regions 1- 9) 0%  
EEO Female Workforce Participation Goals (DEC Regions 1-9) 0%

- 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 the Department, 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**

The Department prefers contract terms of 2 -3 years in length. However, in rare cases, the Department 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 extensions 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 must be incurred between the start and end dates of the contract to be considered eligible for reimbursement and towards meeting project type match requirements. The start date of the contract can be no earlier than May 1, 2018.

### **Application Limits**

Only 1 application may be submitted per project in any given Round. Projects that receive funding in one Round will not receive additional funding in a subsequent Round, even if project costs were higher than originally anticipated. The only exception is projects that are being completed in phases which can receive funding for multiple phases of the same project. If an applicant applies for funding and does not receive an award, they may apply again for the same project in a subsequent Round. 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>

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>. 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](mailto: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](http://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](mailto: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/](http://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. Department 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.

## RFA Appendix A

### WQIP Required Green Infrastructure Documentation Guidance

#### 1. Feasibility Study

Applicants are required to submit sufficient information to demonstrate that the proposed green infrastructure project is feasible to construct at their project location. The Feasibility Study is a written document which must be submitted along with an online application. Based on a design professional's site evaluation, the Feasibility Study provides the basis and justification for your proposed design.

**The Feasibility Study must be signed and stamped by a Qualified Professional licensed or certified to practice in New York State.** A qualified professional is an individual who is knowledgeable in the principles and practices of stormwater management and treatment, such as a Professional Engineer or Registered Landscape Architect.

#### **Required Elements**

**NOTE:** The Feasibility Study must primarily address the green infrastructure practice(s), even if it is a portion of a larger project.

The recommended outline below contains the required elements which must be included when preparing your Feasibility Study.

**I. Cover Page** (project title, owner, prepared by, professional's stamp, and date)

**II. Executive Summary** (Overview of the project's purpose)

**III. Project Objective(s)** (*Describe goals for Green Infrastructure elements. Indicate whether the green infrastructure elements are a portion of a larger project.*)

**NOTE:** Only the green practices constructed that exceed the requirements of the SPDES General Permit for Stormwater Discharges from Construction Activity are eligible for WQIP funding.

**IV. Existing Conditions:** Include an analysis of the proposed project site which addresses the following elements:

- a. Current Land Use
- b. Depth to Bedrock
- c. USGS Soil Classification at green infrastructure practice location(s) (*see [USDA Web Soil Survey mapping tool](#)*)
- d. Depth to water table at green infrastructure practice location(s)
- e. Discussion of any other site considerations (*wetlands, flood plain elevations, hotspots, brownfield remediation or other potential*)

*design issues at the site)*

f. Results of any boring logs, infiltration tests, or other subsurface investigations. If your project is selected, these will be required as part of the design process.

**NOTE:** If site conditions are not conducive to implementing green infrastructure practices, you should consider alternative funding sources that can support these other activities.

## **V. Project Description**

a. **Recommended Green Infrastructure Practice(s):** Provide a narrative that explains the proposed project and green infrastructure practices and why they were selected. Please see the New York State Stormwater Management Design Manual for a catalog of green infrastructure practices.

b. Provide an estimate of the water quality volume to be managed through infiltration, evapotranspiration, and / or use on site. The [NYSDEC Runoff Reduction Worksheets](#) may be used as a reference in calculating estimates.

## **VI. Anticipated Regulatory Approval and Permits** (*list all that will apply -- e.g., NYSDEC, NYSDOT, etc.*)

## **2. Existing Conditions Graphic**

A plan or diagram of the existing project site is required. It should include:

- a. Engineer / Landscape Architect name; date and project title
- b. North arrow / legend
- c. Graphical scale
- d. Site features (wetlands, streets, buildings, etc.)
- e. Location map
- f. Site topography
- g. Project location / address (including nearest cross street)
- h. Stormwater flowpath (also consider adjacent sites)
- i. Nearest receiving waterbody
- j. Location relative to the 100-year floodplain
- k. Other site considerations (hotspots, brownfield remediation or other potential design issues at the site)
- l. Location of any available boring logs, infiltration tests, or other subsurface

investigations.

### **3. Conceptual Site Plan**

A plan or diagram of the project's conceptual design is required. It must include:

- a. Engineer / Landscape Architect name; date and project title
- b. North arrow / legend
- c. Graphical scale (1 " = 10', 20', 30', 40', 50', 60' or 100')
- d. Location map
- e. Site features (wetlands, nearest waterbody, streets, buildings, etc.)
- f. Proposed GI practice location / layout showing stormwater flowpath (arrows)
- g. Estimated drainage area (indicate area(s) to be managed by each practice)
- h. Site grading (proposed conditions)
- i. Other design considerations

### **4. Site Photographs**

Please submit photographs that are representative of existing site conditions.

## RFA Appendix B

### WQIP Required Land Acquisition for Source Water Protection Documentation Guidance

#### 1. Monitoring and Enforcement Protocol Required Elements

Applicants are required to submit protocols to demonstrate proper enforcement and monitoring of properties or easements acquired with funding through this grant opportunity. The Monitoring and Enforcement Protocol is a written document which must be submitted along with an online application. Applicants that do not upload a detailed Enforcement and Monitoring Protocol with an online application will be deemed ineligible for funding.

- I. Monitoring Procedure
  - a. Frequency (i.e. annual)
  - b. Contact with landowners (only applicable to conservation easements)
  - c. Type of monitoring (i.e. boundary survey)
  - d. Monitoring documentation (i.e. updated site photos, maps)
  - e. Parties responsible for monitoring (i.e. staff, volunteers, contractor)
- II. Enforcement Procedure
  - a. Violation definitions (i.e. minor, major)
  - b. Potential violation response
  - c. Violation documentation
  - d. Resolving violations

#### 2. Project or Program Map Required Elements

Applicants that do not upload map(s) with an online application will be deemed ineligible for funding. Examples of maps meeting all required elements can be found at:

<https://www.dec.ny.gov/pubs/4774.html> .

- a. Applicant name, date, project title
- b. North arrow/legend
- c. Graphical Scale (i.e. 1" = 20')
- d. Public water supply location (including system ID number)
- e. Parcel location(s) (required for project applications, optional for program applications)
- f. Surface waterbody, tributaries and HUC 12 watershed boundary (surface waterbody applications only)
- g. Groundwater wellhead location(s), 1,000-foot boundary line, 1,500-foot boundary line, groundwater re-charge zone (groundwater wells only)
- h. Existing riparian buffer or wetland areas, if applicable (surface waterbodies only)
- i. Proposed riparian buffer or wetland restoration sites (surface waterbodies only)
- j. Land use as defined by the National Land Cover Dataset (2011) -  
[https://www.mrlc.gov/arcgis/rest/services/LandCover/USGS\\_EROS\\_LandCover\\_NLCD/MapServer](https://www.mrlc.gov/arcgis/rest/services/LandCover/USGS_EROS_LandCover_NLCD/MapServer)

