



# Syracuse University

Center for Sustainable Community Solutions &  
Environmental Finance Center

*efc.syr.edu*

SYRACUSE UNIVERSITY  
CENTER FOR SUSTAINABLE  
COMMUNITY SOLUTIONS



**State & Federal Funding Resources  
for Municipal Infrastructure**  
September 18, 2019

# Have you identified a project? Looking for funding?

Step 1: Plan ahead for your project

Step 2: Work with your municipality and your county Soil and Water Conservation District

Step 3: Lots of ways to access funds, one is through New York State's annual Consolidated Funding Application (CFA)

Step 4: Get familiar with the CFA process: attend your Regional Economic Development Council meetings



# New York State Consolidated Funding Application


- Loans and grants are awarded through the New York State Consolidated Funding Application (CFA) process
- Applications typically open in May with a late July deadline
- Grants are announced by the Governor as part of the Regional Economic Development Competition Awards Ceremony in December



<http://regionalcouncils.ny.gov/>



*Be in the know...*  
*www.regionalcouncils.ny.gov*



ServicesNewsGovernmentLocal

Q SearchTranslate

Regional Economic  
Development Councils

RegionsAbout UsConsolidated Funding ApplicationNewsResources

Resource Center

HOME / RESOURCE CENTER

Use the filters, search by keyword, or enter a date range to access REDC and CFA materials, information and more -  
- from 2011 to today.

FILTER

REGION

+ Capital Region

+ Central New York

+ Finger Lakes

+ Long Island

+ Mid-Hudson

+ Mohawk Valley

+ New York City

+ North Country

+ REDC

+ Southern Tier

123 items available within Central New York x Clear All

CNY REDC August Meeting

MEETING

EVENT DETAILS

Aug 27, 2019

1:00 PM - 2:00 PM

Lake Ontario Conference Center  
26 E 1st Street  
OSwego, NY 13126

CNY REDC July Meeting

MEETING

EVENT DETAILS

Jul 11, 2019

3:30 PM - 5:00 PM

The Pointe at Sands Beach  
2924 Sand Beach Road  
Auburn, NY 13021

# Presented today: funding and financing programs with the following agencies

- NYS Department of Environmental Conservation
- NYS Environmental Facilities Corporation
- NYS Department of Health
- NYS Homes and Community Renewal
- US Department of Agriculture,  
Rural Development
- NYS Department of State



# **NYS Department of Environmental Conservation (DEC) Water-Related Grant Programs Available through the CFA**

- Water Quality Improvement Projects
- Non-agricultural Nonpoint Source Planning Grant
- Climate Smart Communities





# Water Quality Improvement Project (WQIP) Program

## Eligible Applicants

- Municipalities
- Municipal corporations
- Soil and water conservation districts
- Not-for-profits (**Only** source water protection and aquatic connectivity restoration projects)



# **WQIP: Eligible Activities**

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



# WQIP: Wastewater Treatment Improvement

- Upgrading or replacing an existing wastewater system
- Constructing a wastewater treatment and/or collection system for an area with failing onsite septic systems
- Addressing a pollutant of concern in a watershed implementation plan (i.e., TMDL, 9 Element Watershed Plan, DEC HABs Action Plan)



# WQIP: Non-Agricultural Nonpoint Source

## Eligible projects & programs (25% match)

- Particular nonpoint source best management practices (BMPs)

## Eligible categories

- Decentralized Wastewater Treatment Facilities for Failing On-Site Treatment Systems or Long Island On-Site Treatment Systems that do not Currently Abate Nitrogen
- Green Infrastructure Practice/Stormwater Retrofits
- Great Lakes Nature-Based Shoreline
- Streambank Stabilization and Riparian Buffers
- In-Waterbody Controls for Nutrients
- Beach Restoration
- Culvert Repair and Replacement
- Nonpoint Source Programs

# WQIP: Land Acquisition for Source Water Protection

## Eligible projects & programs (25% match)

- Protect surface public drinking water supplies
- Protect groundwater public drinking water supplies
- Must include land acquisition, either land purchase or easements

## Other information

- Municipalities, soil and water conservation districts and not-for-profits, such as land trusts, are eligible



# WQIP: Salt Storage

## Eligible projects (50% match)

- Highest priority: construct a new structure to enclose an exposed salt or salt/sand mixture storage pile that is currently located near a public drinking water source or within a primary, sole source, or principal aquifer
- All projects must comply with the OGS salt storage specs



# WQIP: Aquatic Connectivity Restoration

## Eligible Projects (25% match)

- Improves aquatic habitat connectivity at road/stream crossings or dams
- Restores the natural movement of organisms
- Focus is on culverts, bridges or dams that are causing obstructions



# WQIP: Municipal Separate Storm Sewer Systems (MS4)

## Eligible Projects (25% match)

- Mapping of stormwater system
- Purchase of a vacuum truck





# **Non-Agricultural Nonpoint Source Planning Grant**

Grants to help pay for planning reports needed for nonpoint source projects

- Prepare projects to apply for WQIP, other funding
- Grant categories align with WQIP nonpoint source
- Eligible reports are required or suggested for WQIP NPS projects

# Climate Smart Communities Grants (CSC)

- Grant for municipalities to implement projects focused on climate change adaptation and greenhouse gas mitigation
- Local match must equal at least 50% of the total eligible project costs.
- Land acquisition is not eligible for funding through this program, but may be included as match.

# Climate Smart Communities Grants

## *Certification projects:*

- Total available: \$500,000
- Award size: \$10,000 to \$100,000
- For planning, assessments, inventories, development of strategies



Ulysses, Tompkins County,  
Certification Event - 2018

## *Implementation projects:*

- Total available: \$9.5 million
- Award size: \$10,000 to \$2 million
- Construction projects
- No more than 15% on design & engineering

More information on CSC is online at  
<https://climatesmart.ny.gov/>



# Climate Smart Communities Grants

Grants are available from \$10,000 to \$2,000,000 for implementation projects such as:

- Increasing natural resiliency to future flood risks (e.g., living shorelines and nature-based landscape features)
- Relocating or retrofitting critical infrastructure to reduce future flood risks
- Replacing or right-sizing flow barriers to facilitate emergency response or protect people, infrastructure, and natural resources

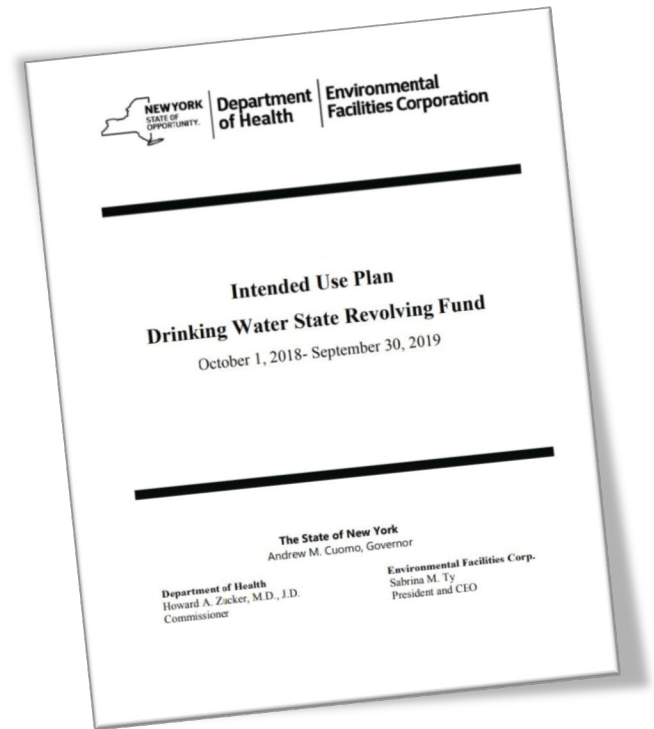
# **NYS Environmental Facilities Corporation (EFC) and NYS Department of Health (DOH) - Overview**

## **Funding Programs Covered**

- Drinking Water State Revolving Fund (DWSRF)
- Clean Water State Revolving Fund
- Water Infrastructure Improvement Grants (WIIA)
- Intermunicipal Water Infrastructure Grants (IMG)
- Integrated Solutions Construction Grants (ISC)
- Green Innovation Grants Program (GIGP)
- Engineering Planning Grant

# Drinking Water State Revolving Fund Overview

- Provides low-cost financing and grants for public and private drinking water infrastructure
- Administered by EFC and DOH
- Operate on the Federal Fiscal Year (FFY): **October 1 to September 30**
- Intended Use Plan (IUP) and information at [www.efc.ny.gov](http://www.efc.ny.gov)
- A variety of public and private water system projects are eligible for low-cost financing including:
  - ✓ Treatment Plants
  - ✓ Distribution Mains
  - ✓ Storage Facilities



# DWSRF – Program Eligibility

## Eligible Systems

- Community water systems - public & private
- Non-profit, non-community public water systems (ex. schools)

## Eligible Projects

- New/upgrade/replace infrastructure to comply or remain in compliance with federal or state health standards
- Source, transmission, treatment, storage, pumping, distribution, metering, controls, security.....
- Public water system creation/extension



# Clean Water State Revolving Fund Overview

- Low-cost financing for wastewater and water quality infrastructure
- Administered by EFC and DEC
- A variety of water quality improvement projects are eligible for financing including:
  - ✓ Point Source Projects
  - ✓ Nonpoint Source Projects
  - ✓ National Estuary Projects





# First step to funding – Pre-Application

A municipality must first:

- ✓ Submit a project description and funding needs
  - Complete a project listing form

Use PLUS for CWSRF

[\*https://plus.efc.ny.gov\*](https://plus.efc.ny.gov)

- ✓ Submit approvable engineering plan/technical report
- ✓ Submit a smart growth assessment form
- ✓ This gets a municipality onto Intended Use Plan



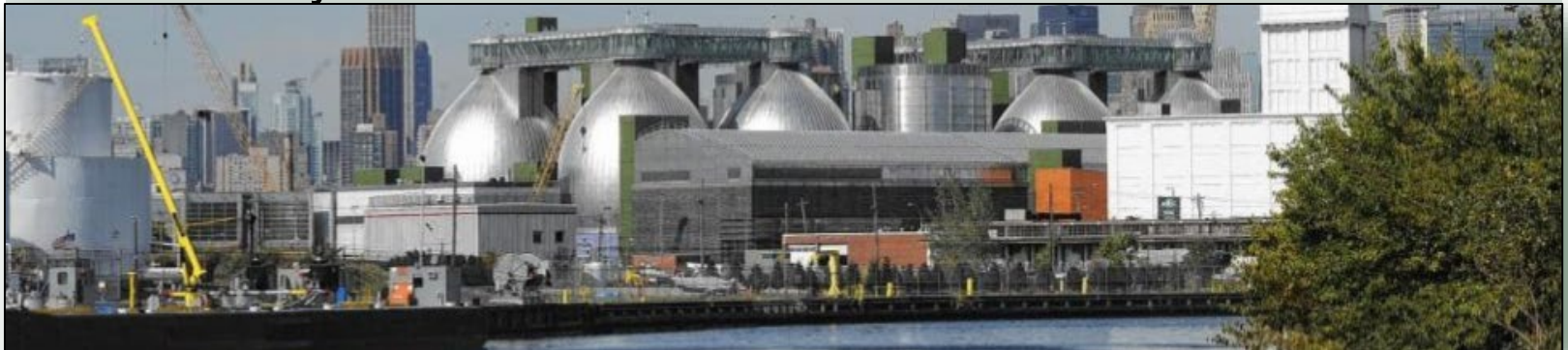
# **Next Step – Apply for Financing**

The Municipality must:

1. Submit a CWSRF/DWSRF Application Form
2. Complete a State Environmental Quality Review (SEQR)
3. Obtain signoff of project by NYS Office of Parks, Recreation and Historic Preservation (SHPO)
4. Form a Water/Sewer District (if necessary)
5. Adopt a Bond Resolution

# Loan Programs - Interest Rates

- 0%
- Subsidized
- Market-rate
- Short-term or long-term
- In general, the rate for the financing will depend on where the project is listed on the IUP (score) as well as the income of the community



# Water Infrastructure Improvement Grants (WIIA)

- The Clean Water Infrastructure Act invests \$3 billion in clean and drinking water infrastructure projects and water quality protection across New York
  - \$350 million available in grants for clean and drinking water projects during the 2019-2020 state fiscal year
  - Includes projects that combat emerging contaminants such as PFOA, PFOS and 1,4 dioxane and address CSO/SSO impacts from flooding
- WIIA grants assist municipalities in funding water quality infrastructure
- WIIA grants available for both drinking water and sewage treatment works (clean water) projects
- To date: \$680M awarded to 424 projects

# Intermunicipal Water Infrastructure Grants Program (IMG)

- IMG grants were available for both drinking water and clean water projects that serve multiple municipalities
- Grant amount limited to the lesser of \$10 million or 40% of total net project costs
- One municipality is required to be the “lead municipality” and apply on behalf of all cooperating municipalities
- To date: \$70M awarded to 12 projects



# WIIA / IMG – Program Eligibility

## Eligible Applicants = Municipalities

### Municipalities:

- County
- City
- Town
- Village
- District Corporation
- County/Town Improvement District
- School District
- Indian Nation or Tribe
- Public Benefit Corp. or Authority

### Eligible Projects:

Water quality infrastructure projects at municipally-owned sewage treatment works OR municipally-owned public water systems for:

- Construction, replacement or repair of infrastructure; or
- Compliance with environmental and public health laws and regulations related to water quality.



# Integrated Solutions Construction (ISC) Grant Program

- Provides grant dollars for the incorporation of green infrastructure practices into CWSRF-financed combined, sanitary or storm sewer projects
- Grant covers 50% of green construction cost
- Green infrastructure practices must treat a minimum of 25% of the water quality volume from a combined, sanitary, or storm sewer system area



# Green Innovation Grant Program (GIGP)

- \$15 million available in 2019
- GIGP grants are awarded on a competitive basis to projects that improve water quality and implement green stormwater infrastructure in New York
- GIGP-funded projects range from rain gardens to stream “daylighting”

**To Date**

**\$170  
Million**  
awarded to  
**220 GIGP  
projects**



# Engineering Planning Grant

- DEC and EFC offer grants to help municipalities pay for the initial planning of eligible CWSRF projects
- Up to \$100,000 per award
- \$30,000 Grant for municipalities with a population of 50,000 or less
- \$50,000 Grant for municipalities with a population greater than 50,000
- A 20% match from local sources required

**\$3 Million**  
in 2019

**To Date**  
**\$14.9**  
**Million**  
**awarded to**  
**384 projects**



# **New York State Homes and Community Renewal**

## **Community Development Block Grants (CDBG)**

### **Funding and Resource Management for Water Infrastructure**



# **New York State Homes and Community Renewal, Office of Community Renewal Programs**

- NYS Community Development Block Grant (CDBG)
- Imminent Threat

# Eligible CDBG Activities

- **Public Infrastructure**
- Public Facilities
- Economic Development
- Small Business Assistance
- Microenterprise Development
- Housing Rehabilitation
- Manufactured housing replacement
- Homeownership
- **Private Water/Wastewater Systems**
- Community Planning
- **Imminent Threat**

# Public Infrastructure

Improve infrastructure to low and moderate income areas

Typical activities:

- Public Water Systems
  - water source development, storage, and distribution
- Public Sanitary Sewer Systems
  - sanitary sewage collection and treatment
- Storm Water Systems
  - flood control and storm water drainage

# Private Water/Wastewater Systems

Direct assistance to low and moderate income households

Eligible activities:

- Drilling new private wells for drinking water
- **Construction of new/replacement of existing septic systems**
- Install lateral connections to public water or sewer
- Work inside a manufactured housing park may be eligible

# Imminent Threat

Any eligible CDBG activity can be considered under the imminent threat category.

These are typically disaster response type projects, for example, following Hurricanes Irene and Lee upstate in 2012, and more recently, the Yates County flooding in the summer of 2015 and the Lake Ontario flooding that occurred during 2017.

# Example of Imminent Threat

Village of Wellsville, Cattaraugus County





# Eligible Applicants

- Units of Local Government with populations of less than 50,000 and
- Counties with populations of less than 200,000

Refer to the list of eligible communities located at: <https://hcr.ny.gov/community-development-block-grant> and click on Program Guidelines

## How to Apply for Funds

- Public infrastructure or public facilities activities – use NYS Consolidated Funding Application.  
-or-
- CDBG housing activities including private water/wastewater activities should apply for funding through the Community Development Online (CDOL) application system:  
<https://hcr.ny.gov/community-development-online>

# US Department of Agriculture - Rural Development

## Rural Utilities: Clean water and sanitation help for rural communities

Drinking water sourcing, treatment, storage tanks and distribution; pumping stations

Sewer collection, transmission, treatment and disposal;

Solid waste collection, disposal and closure;

Storm water collection, transmission and disposal.

# Water and Waste Disposal Loans and Grants

An applicant must be:

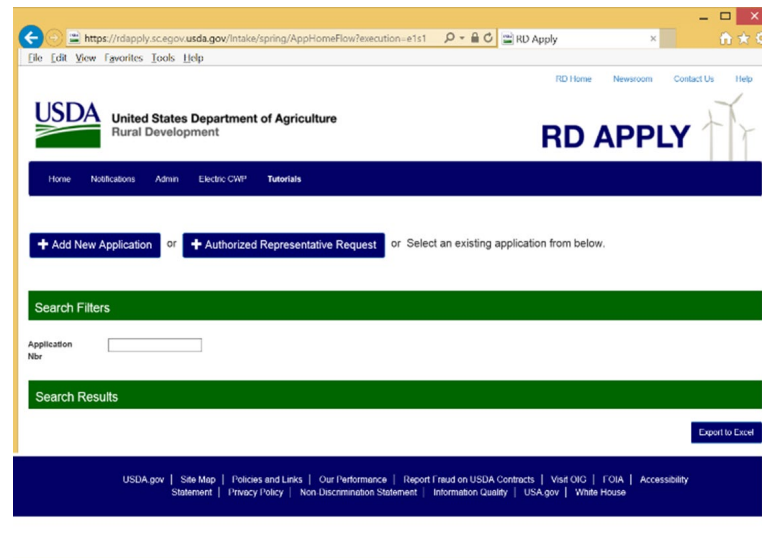
- A public body
  - Not-for-profit organization
  - Native American tribe on Federal or State reservations or other Federally recognized tribes
- 
- Rural areas with population of 10,000 or less
  - Other credit, legal capacity to borrow, sustainable
  - Construction costs
  - Purchasing existing facilities to improve service or prevent loss of service
  - Legal and engineering fees
  - Land acquisition, water and land rights, permits and equipment  
(*Application preparation is not an eligible cost*)

# Emergency Community Water Assistance Grants (ECWAG)

- Helps eligible communities prepare, or recover from, an emergency that threatens the availability of safe, reliable drinking water (examples: drought or flood, earthquake, tornado or hurricane, disease outbreak, chemical spill leak or seepage)
- Grants made for repairs, partial replacement, cannot exceed \$150,000. Grants not to exceed \$1,000,000 for new water source.

## How to Apply for USDA programs

- Apply online through USDA RD portal



# **New York State Department of State**

## **Local Government Efficiency Programs**

- Municipal Restructuring Fund - \$25 million
- Local Government Efficiency Program - \$4 million
- Citizens Reorganization and Empowerment Grant

## **Office of Planning and Development**

- Local Waterfront Revitalization Program

# Municipal Restructuring Fund

A program designed specifically to stimulate innovation in the way local governments provide services:

- Non Competitive
- Rolling Applications (continuous process)
- Funding only limited by amount of savings or project cost
- Phased process that identifies and invests in champions



# **Local Government Efficiency Program**

## **Planning**

- \$12,500 per municipality
- Maximum of \$100,000
- 50/50 State/local match

## **Implementation**

- \$200,000 per municipality
- Maximum of \$1,000,000
- 90/10 State/local match

## **Eligible Applicants**

- Counties
- Cities, towns & villages
- School districts
- Fire districts
- Water & sewer districts
- Special districts

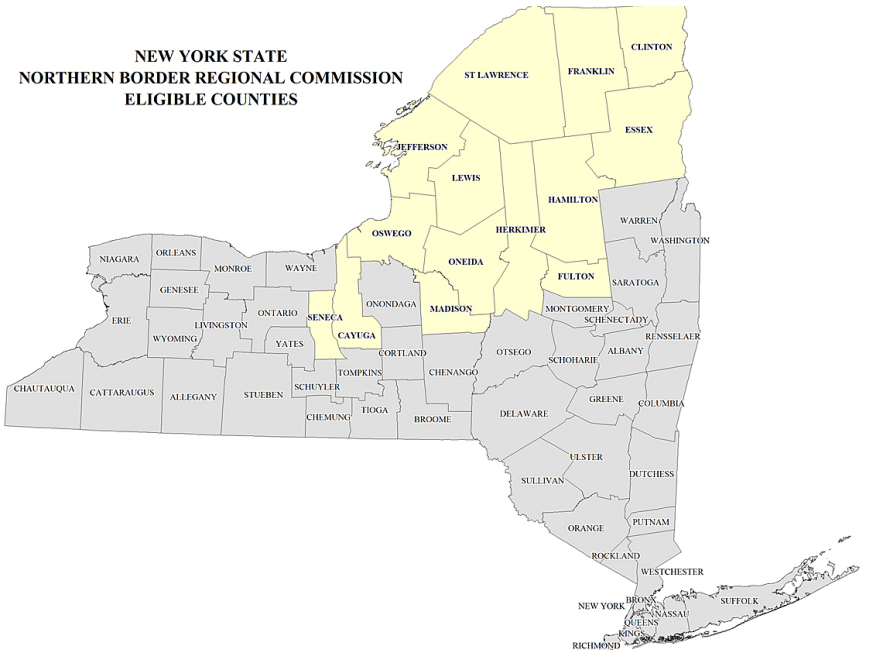
## **Eligible Expenses**

- Personal (transitional)
- Contractual
- Equipment & supplies
- Capital costs

## Northern Border Regional Development - \$3.5 million



# Northern Border Regional Commission



# Local Waterfront Revitalization Program

- Eligible municipalities located along New York's coasts or designated inland waterways
- Advance the preparation or implementation of strategies for community and waterfront revitalization
- Funds the following grant categories:
  - Preparing or Updating a Local Waterfront Revitalization Program (LWRP)
  - Preparing an LWRP Component, including a Watershed Management Plan
  - Updating an LWRP to Mitigate Future Physical Climate Risks
  - Implementing a Local Waterfront Revitalization Program or a completed LWRP Component

# Local Waterfront Revitalization Program

- Eligible municipalities apply through NYS Consolidated Funding Application
- The LWRP is a reimbursement program
- 25% local match required
- DOS is making approximately \$15 million available in 2019
- Must be on the list of coastal waterbodies and designated inland waterways, available at <http://www.dos.ny.gov/funding/>

# Thank you!

**Syracuse University**

Center for Sustainable Community Solutions &  
Environmental Finance Center

*efc.syr.edu*

SYRACUSE UNIVERSITY  
CENTER FOR SUSTAINABLE  
COMMUNITY SOLUTIONS



Meredith Perreault, Program Manager

[maperrea@syr.edu](mailto:maperrea@syr.edu)

315-443-3741