



## NEW YORK CLEAN WATER STATE REVOLVING FUND Intended Use Plan

### PROJECT LISTING

Project listing is the first step to obtaining financing through the Clean Water State Revolving Fund (CWSRF). A separate, second step is the submission of a CWSRF financing application package. The attached Project Listing Form (CWSRF) for municipal projects provides the information necessary for staff at the New York State Environmental Facilities Corporation (EFC) to accurately score your project and list it on the CWSRF Intended Use Plan (IUP) Project Priority List (PPL). The PPL is published annually in the CWSRF IUP.

**When and where to submit the Project Listing Form:** These forms are accepted continuously for inclusion on the IUP's Project Priority List. Please refer to the current IUP for submittal deadlines. Please send forms and attachments to the address shown below or fax to EFC at (518) 402-7456.

Division of Engineering and Program Management  
New York State Environmental Facilities Corporation  
625 Broadway  
Albany, New York 12207-2997

**Who to contact:** Should you have questions concerning the completion of this form, please contact the Division of Engineering and Program Management at EFC's toll-free information line 1-800-882-9721 (within NYS only) or (518) 402-7433:

**Instructions:** Please complete the attached Project Listing Form (CWSRF) and return it with the information requested under "Project Description" to EFC. Without the information requested, your project cannot be accurately scored and listed on the Project Priority List of the IUP and financing for your project cannot be properly targeted. If you are requesting the listing of more than one project, please submit a separate listing form for each project. In addition, please complete the municipal authorization at the end of the form. Without municipal authorization, your community's project will not be included on the Project Priority List of the IUP.

# Project Listing Form (CWSRF)

**FOR EFC USE ONLY:**

Date Received: \_\_\_\_/\_\_\_\_/\_\_\_\_

CWSRF Project No.: C \_\_\_\_ - \_\_\_\_ - \_\_\_\_ - \_\_\_\_

CWSRF Applicant: \_\_\_\_\_ County: \_\_\_\_\_

Project Name: \_\_\_\_\_ Population Served By Project: \_\_\_\_\_

Project Location (Attach Map If Available): \_\_\_\_\_  
\_\_\_\_\_

Is the municipality under an enforcement order or permit requiring the construction of the project? ☐ Yes ☐ No  
If yes, please attach a copy of the fully executed order or permit.

Do you intend to or have you already applied to other funding sources? ☐ Yes ☐ No  
If yes, please indicate source(s) and status of your application(s): \_\_\_\_\_  
\_\_\_\_\_

**Municipal Contact Information:**

Name of Municipal Contact \_\_\_\_\_ Title \_\_\_\_\_

Mailing Address \_\_\_\_\_

City, State, Zip Code \_\_\_\_\_

(\_\_\_\_) \_\_\_\_\_ (\_\_\_\_) \_\_\_\_\_  
Phone Number Fax\_\_\_\_\_  
(Municipal E-Mail)**Consulting Engineer Information:**

Engineering Firm \_\_\_\_\_

Name of Contact Person \_\_\_\_\_ Title \_\_\_\_\_

Mailing Address \_\_\_\_\_

City, State, Zip Code \_\_\_\_\_

(\_\_\_\_) \_\_\_\_\_ (\_\_\_\_) \_\_\_\_\_  
Phone Number Fax E-mail

**Project Listing Information:** The following information is needed to accurately score your project. Please refer to the "Project Ranking System Scoring Criteria" contained in the IUP for details. ***Absent the information requested, the project will receive a Project Priority Score of zero.***

**Project Description:** On a separate piece(s) of paper, please provide a clear, concise project description. Also describe the overall project objectives by providing the information requested below:

1. Describe existing conditions and how surface water and/or groundwater quality is being impacted. For point source projects, provide location of wastewater discharge. For nonpoint source projects, describe the water body affected (e.g., name of river tributary, "private wells on Jay Street," groundwater, etc.)
2. What will be constructed?
3. How will the project protect or improve surface water and/or groundwater quality?
4. If the project is identified in or consistent with an approved management plan, please list plan(s) here: \_\_\_\_\_
5. If the project is located in or serves a designated Empire Zone (EZ), please identify that EZ here: \_\_\_\_\_

If an engineering/technical report is available which contains the information requested above, please submit it with this form.

## Project Budget & Funding Sources:

The accuracy of project costs will vary depending upon the stage of the project development. Please include in your estimate all eligible expenses so that sufficient monies may be included in the IUP.

**The eligible project costs to be listed on the Annual Project Priority List need to be based upon documented values from engineering reports, plans and specifications, bid awards, etc.**

- ☞ **Construction:** List total estimated construction costs on this line.
- ☞ **Equipment:** Enter equipment costs not included in the Construction Costs above.
- ☞ **Force Account:** Enter technical (e.g., engineering, construction, etc.) costs associated with work done by municipal employees.
- ☞ **Engineering:** List fees according to category: preliminary/planning, design and construction-related (including resident inspection) fees.
- ☞ **Other Expenses:**
  - Local Counsel** - Enter legal fees associated with eligible project costs. Costs associated with consent orders and easements/land purchases are ineligible and should not be included.
  - Bond Counsel** - The services of a nationally recognized bond counsel are required for CWSRF financing. Enter the costs associated with such services.
  - Fiscal Services** - Enter costs associated with professional accounting and/or financial advisory services (if applicable).
  - Miscellaneous** - Enter costs (e.g., training, photocopying, insurance, telephone, equipment rental, advertising, travel, etc.) not included above.
- ☞ **Contingencies:** As a general rule, the contingency amount should be no more than 10% of construction cost estimates or 5% of bid amounts.
- ☞ **Total Project Cost:** This should reflect all costs associated with the implementation of your project.
- ☞ **Other Funding Sources:** If you have received or expect to receive funding from other sources please indicate the source and amounts on the lines provided. Examples of other funding sources include USDA Rural Development (RD), NYS Office of Community Renewal (OCR) (previously HUD & OSC), DEC Environmental Protection Fund (EPF), Economic Development Administration (EDA) and Appalachian Regional Commission (ARC). Add all funds from other funding sources to obtain the "Other Funding Subtotal".
- ☞ **Issuance Costs:** As described in the IUP under Application Process, these costs are made up of Direct Expenses and a State Bond Issuance Charge. Direct expenses represent the applicant's proportionate share of EFC's costs to complete the transactions necessary for a bond sale and include bond counsel costs, financial advisor fees, printing costs, rating agency fees and trustee fees. Public Authorities that sell bonds (including EFC) must collect the State Bond Issuance Charge.
- ☞ **Total CWSRF IUP Amount:** The "Total CWSRF IUP Amount" is the "Total Project Cost" (A) minus "Other Funding Subtotal" (B) plus "Issuance Costs" (D).

<b>Project Budget &amp; Funding Sources</b>	
<b>Construction Costs:</b>	\$ _____
<b>Equipment Costs:</b>	\$ _____
<b>Force Account Costs:</b>	\$ _____
<b>Engineering Fees:</b>	
Planning	\$ _____
Design	\$ _____
Construction	\$ _____
<b>Other Expenses:</b>	
Local Counsel	\$ _____
Bond Counsel	\$ _____
Fiscal Services	\$ _____
Miscellaneous	\$ _____
<b>Contingencies:</b>	\$ _____
<b>Total Project Cost (A):</b>	\$ _____
<b>Deduct Other Funding Sources:</b> Specify source and type (e.g., RD, OCR, EPF, EDA, ARC, etc.)	
	\$ _____
	\$ _____
	\$ _____
	\$ _____
<b>Other Funding Subtotal (B):</b>	(\$ _____)
<b>Subtotal (A - B) = (C):</b>	\$ _____
<b>Issuance Costs (D):</b> (approx. 1.7% of (C))	\$ _____
<b>Total CWSRF IUP Amount (C + D) :</b> \$ _____	

## Project Schedule:

<p align="center"><b>Project Schedule Milestone Items</b></p> <p align="center">(See page 4 for additional guidance in preparing the Project Schedule)</p>	<p align="center"><b>Indicate (T) Target or (A) Actual Completion or Submittal Date Below</b></p>
<p>1. Please indicate whether or not the implementation of your project requires the formation of a Special Improvement District. <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, indicate the target or actual date of district formation.</p>	<p align="center">( ) __/__/__</p>
<p>2. Enter the date by which you anticipate submitting an engineering/technical report for review and approval by the appropriate reviewing agency. If you have already done so, indicate the actual date submitted. Please allow a minimum of two (2) months for completion of regulatory review of document(s).</p> <p><b>PLEASE NOTE: A municipality must have an approvable engineering/technical report to be listed for short-term or long-term financing in the Annual List of an IUP. A project must be listed on the Annual List of an IUP in order to receive funding during that IUP period.</b></p>	<p align="center">( ) __/__/__</p>
<p>3. A municipality must complete environmental review requirements for its project before it can receive either short-term or long-term financing. This process can take several months to complete. Enter the date you anticipate completing your environmental review or the date it was completed.</p>	<p align="center">( ) __/__/__</p>
<p>4.a) Enter the date by which you anticipate submitting a CWSRF <u>short-term</u> financing application.</p>	<p align="center">( ) __/__/__</p>
<p>4.b) Enter the date by which you anticipate submitting a CWSRF <u>long-term</u> financing application.</p>	<p align="center">( ) __/__/__</p>
<p>5. Enter the date by which you anticipate submitting plans and specifications for review and approval by the appropriate reviewing agency. If you have already done so, indicate the actual date submitted. Please allow a minimum of two (2) months for completion of regulatory review of documents.</p>	<p align="center">( ) __/__/__</p>
<p>6. Enter the anticipated or actual construction start date (Issuance of the Notice to Proceed).</p>	<p align="center">( ) __/__/__</p>
<p>7. Enter the anticipated or actual construction completion date.</p>	<p align="center">( ) __/__/__</p>

**Municipal Authorization:** Our community requests the listing of the project described herein on the CWSRF Project Priority List (PPL) of the Intended Use Plan (IUP). We are interested in the following type(s) of CWSRF financing for the project:

- ☐ Short-Term Financing Only (maximum 3 years; up to one-half of project's Annual PPL IUP amount);
- ☐ Long-Term Financing Only;
- ☐ Both Short & Long-Term Financing.

Completed by:

\_\_\_\_\_  
(Signature of Authorized Municipal Official)


\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Please Print Name)

\_\_\_\_\_  
(Title)

## Additional Project Schedule Guidance/Instructions:

1. According to State Law, projects that involve Town or County special improvement districts may require the Office of the State Comptroller's approval prior to the municipality incurring certain debt. The regulations of the Office of the State Comptroller explain when and how to apply for approval. You should consult your local counsel to determine the need for the State Comptroller's approval to implement the project. When developing your project schedule, please take into consideration the time involved in securing an approval from the State Comptroller's office.
2. EFC staff review and approve engineering reports for CWSRF-eligible wastewater treatment facilities. Please allow two (2) months for EFC's technical review and approval. For non-hazardous Municipal Solid Waste landfill closure projects, technical reports, known as Closure Investigation Reports, approval will come from the Division of Solid and Hazardous Materials in the DEC Regional offices. For inactive hazardous waste sites, technical reports, known as Remedial Investigation/Feasibility Studies, approval will come from the Division of Environmental Remediation in DEC's Albany office. Please contact the DEC staff for those programs for anticipated approval times. Review times for other nonpoint source projects should be discussed with EFC.

 **PLEASE NOTE: A municipality must have an approvable engineering/technical report to be listed for short-term or long-term financing in the Annual List of an IUP. A project must be listed on the Annual List of an IUP in order to receive funding during that IUP period.**

3. CWSRF environmental review procedures, which will also satisfy the municipality's responsibilities under SEQR, are explained in a guidance document available from the Division of Environmental Permits in the local DEC office or from EFC upon request. Because environmental review activities vary depending on the type of action undertaken, please refer to the guidance for applicable time frames. You should contact the DEC Regional Permit Administrator for assistance.
- 4.a) Determine if you need the short-term financing for your project funding needs. Short-term applications must be submitted no later than March 1<sup>st</sup> of each CWSRF financing period. One application can be submitted at the same time for both short-term and long-term financing.
- 4.b) The application due dates for each CWSRF IUP financing period are published in the IUP. Generally, applications for all types of CWSRF financing are due by March 1<sup>st</sup>.
5. EFC staff review and approve plans and specifications for CWSRF eligible wastewater treatment facilities. Please allow two (2) months for EFC's review and approval. For other projects noted in Item 2 above, please contact the appropriate DEC office for estimated approval times.
- 6&7. Although the construction schedule may be very tentative when you complete this schedule, it is important to set target dates as it indicates when short-term and long-term financing is needed. Please allow sufficient time between receiving regulatory approval of your plans and specifications and the start of construction to account for the bidding and contract award process (generally 2 to 3 months).