



NEW YORK CLEAN WATER STATE REVOLVING FUND

Municipal POINT SOURCE & NONPOINT SOURCE 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 at the appropriate time. For projects other than Green Innovation Grant Program (GIGP), the CWSRF Project Listing Forms provide the information necessary for staff at EFC to accurately score your project and list it on the Project Priority List (PPL) as required by state regulations. The PPL is published annually in the CWSRF IUP. The eligible project costs to be listed are to be based on documented values from engineering reports, plans and specifications, bid awards, etc. Please visit the EFC website for information on GIGP projects.

EFC has developed the Project Listing and Update System (PLUS). PLUS is the preferred means of listing new CWSRF projects. The PLUS website address is <http://plus.efc.ny.gov/>. PLUS is used to enter general project information, the project budget, and the project schedule. Additionally, electronic versions of engineering reports, plans, etc. can be uploaded to EFC via PLUS. Potential CWSRF applicants that have not used PLUS and plan to list a project may request an account by going to the PLUS website, clicking on the "Request a New Account" tab, completing the required fields, and clicking the "Submit Request" button. Questions should be referred to EFC at CWSRFinfo@efc.ny.gov or (518) 402-7396.

The attached Project Listing Form (CWSRF) for municipal projects can be used if you are not able to utilize the PLUS system discussed above.

When and where to submit the Project Listing Form:

These forms are accepted continuously for listing eligible projects on the IUP's Project Priority List. Please refer to the current IUP for submittal deadlines for including new projects in the next IUP. Please send forms and attachments to EFC at the address shown below, fax to EFC at (518) 402-7456, or e-mail a pdf file to EFC at CWSRFinfo@efc.ny.gov.

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) 402-7396.

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. If your project is for land acquisition, please use the Land Acquisition Project Listing Form (CWSRF) instead of this form.

Project Listing Form (CWSRF) – Municipal PS & NPS

FOR EFC USE ONLY:
Date Received: ___ / ___ / ___

CWSRF Applicant: **New York State Thruway Authority**

County: **Westchester and Rockland Counties**

Project Name: **Water Quality Protection Elements of the New NY Bridge Project**

Name of City, Town, or Village (or indicate if multiple): **Tarrytown and South Nyack**

Project Location (Attach Map If Available): **See attached Technical Memorandum**

If Project is in a district (proposed or actual) of a Town or County, please indicate population of district: **N/A**

Is the municipality under an enforcement order, SPDES permit or other 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? (X) Yes No

If yes, please indicate source(s) and status of your application(s): **USDOT TIFIA**

Municipal Contact Information:

Thomas J. Madison, Jr.
Name of Municipal Contact

Executive Director
Title

NYSTA Administrative Headquarters
200 Southern Blvd
Albany, New York, 12209
Mailing Address

(518)436-2900
Phone Number

(518)471-5058
Fax

thomas.madison@thruway.ny.gov
(Municipal E-Mail)

Consulting Engineer Information:

AKRF, Inc.
Engineering Firm

Robert F. Conway, P.E.
Name of Contact Person

Sr. Vice President
Title

440 Park Avenue South
New York, NY 10016
Mailing Address

(646)388-9717 **(212)447-5546**
Phone Number Fax

rconway@akrf.com
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:

Please see the Clean Water State Revolving Fund Technical Memorandum, attached.

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? **See attached technical memorandum**
3. How will the project protect or improve surface water and/or groundwater quality? **See attached technical memorandum**
4. If the project is identified in or consistent with an approved management plan, please list plan(s) here: **New York-New Jersey Harbor Estuary Program Comprehensive Conservation and Management Plan (CCMP)**
5. If the project is located in or serves a designated Empire Zone (EZ), please identify that EZ here: **N/A**

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.
- **Work Force:** 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).

Project Budget & Funding Sources

<p>Construction Costs:</p> <p>Equipment Costs:</p> <p>Work Force Costs:</p> <p>Engineering Fees:</p> <p style="text-align: right;">Planning Design Construction</p> <p>Other Expenses:</p> <p style="text-align: right;">Local Counsel Bond Counsel Fiscal Services Miscellaneous</p> <p>Contingencies:</p> <p style="text-align: center;">Total Project Cost (A):</p> <p>Deduct Other Funding Sources:</p> <p>Specify source and type (e.g., RD, OCR, EPF, EDA, ARC, etc.)</p> <p>_____ \$ _____</p> <p>_____ \$ _____</p> <p>_____ \$ _____</p> <p>_____ \$ _____</p> <p style="text-align: right;">Other Funding Subtotal (B):</p> <p style="text-align: right;">Subtotal (A- B)= (C):</p> <p style="text-align: right;">Issuance Costs (D): (approx. 1.84% of (C))</p>	<p>See Table 1 in CWSRF Technical Memorandum Attachment C</p>
<p>Total CWSRF IUP Amount (C + D): _____</p>	

Project Schedule	Indicate (T) Target or (A) Actual Completion or Submittal Date Below
1. Please indicate whether or not the implementation of your project requires the formation of a Special Improvement District _ Yes X No If yes, indicate the target or actual date of district formation.	() _ / _ / _
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 submitted the report, indicate the actual date submitted. Please allow a minimum of two (2) months for completion of regulatory review of document(s). PLEASE NOTE: A municipality must have an approvable engineering/technical report to be listed for short-term or long-term financing in the AnnualList of an IUP. A project must be listed on the AnnualList of an IUP in order to receive funding during that IUP period.	(T) 5/23/2014
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.	
3.a. Enter the date you anticipate completing the State Environmental Quality Review (SEQR) process or the date it was completed.	(A) 9/25/2012
3.b. Enter the date you anticipate receipt of the State Historic Preservation Office (SHPO) approval or the date approval was received.	(A) 6/28/2012
4. Enter the date by which you anticipate submitting plans and specifications for review and approval by the appropriate reviewing agency. If you have already submitted the plans and specifications, indicate the actual date submitted. Please allow a minimum of two (2) months for completion of regulatory review of documents. As this is a Design Build project, dates vary between 2013 and 2015.	(T) 2013-2015
5. Enter the date by which you anticipate advertising for bids.	(A) 3/9/2012
6. Enter the anticipated or actual construction start date (Issuance of a Notice to Proceed).	(A) 1/18/2013
7. Enter the anticipated or actual construction completion date.	(T) 4/30/2018
Application Schedule	
8. Enter the date by which you anticipate submitting a CWSRF financing application.	(T) 6/15/2014
9. Enter the date by which you anticipate needing CWSRF financing.	(T) 9/01/2014

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;
- (X) Both Short & Long-Term Financing.

Completed by:


5/30/2014

 (Signature of Authorized Municipal Official) (Date)

Thomas J. Madison, Jr.

 (Please Print Name)

Executive Director

 (Title)

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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. Financing applications must be submitted by the deadlines stated in the Intended Use Plan in order to receive financing during the current IUP year. Financing applications should be submitted well in advance of when the financing is needed; generally, 4-5 months before you would need to close on the financing. The following important steps should have been accomplished by the time you submit your financing application:
 - Your project must be listed on the current IUP Annual Project Priority List;
 - EFC or the appropriate regulating agency has approved your project's engineering report, or the report is under review by EFC or the appropriate regulating agency;
 - The potential adverse environmental impacts of the project have been assessed in the manner prescribed by the CWSRF;
 - For Towns and Counties, a sewer district has been established or expanded, or the maximum amount to be expended for such district increased, and OSC approval obtained, as needed;
 - A bond resolution has been adopted establishing the legal authority to issue debt for the project.
- 4.a)** Determine if you need the short-term financing for your project needs and if you anticipate rolling the short-term financing into long-term financing. One application can be submitted at the same time for both short-term and long-term financing.
- 4.b)** Determine if you need only long-term financing for your project needs.
- 4.c)** Determine the date that you will need CWSRF financing for your project.

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).

State Smart Growth Public Infrastructure Policy Act Acknowledgement

CWSRF financings are subject to the State Smart Growth Public Infrastructure Policy Act. As set forth in the Act, EFC is required to determine that each project that includes the construction of new or expanded public infrastructure is consistent with the relevant smart growth criteria to the extent practicable. EFC has developed guidance for use by applicants that explains what is required by EFC to make this determination.

In addition to information required elsewhere, Applicants will need to demonstrate that projects meet the following criteria in the Smart Growth Assessment:

1. Uses or Improves Existing Infrastructure -supports projects that improve existing infrastructure.
2. Serves a Municipal Center- advances development and re-development of existing centers of activity and land use.
3. Community-Based Planning- encourages projects that result from inclusive, bottom-up, stakeholder-driven planning processes where proper outreach has been conducted, particularly to underserved/under-represented environmental justice communities.
4. Sustainable Development- promotes projects that use existing resources in ways that do not compromise the needs of future generations, including: consideration and adoption, where appropriate, of green infrastructure techniques, decentralized infrastructure techniques and energy efficiency measures.

More information regarding EFC's smart growth review process (including the Act, Guidance for Applicants and Smart Growth Assessment) is available at <http://vwww.efc.ny.gov/Default.aspx?tabid=474>.

(X) Please check this box to acknowledge that you are aware of this requirement and that you are authorized to make this acknowledgement on behalf of the applicant.

Minority and Women's Business-Equal Employment Opportunity Program Work Plan

The Applicant (defined above) will comply with the provisions of the Minority & Women's Business Enterprise-Equal Employment Opportunity (MWBE-EEO) requirements of Article 15-A of the New York State Executive Law, 40 CFR Part 33, and other requirements as prescribed by the Environmental Facilities Corporation (NYSEFC) by providing opportunities for MBE/ WBE participation, and will maintain such records and take such actions necessary to demonstrate such compliance throughout the life of the State Revolving Fund Project.

I hereby certify that the Applicant will abide by the equal employment opportunity (EEO) policy statement provisions outlined below.

- (i) A statement that the contractor will not discriminate on the basis of race, creed, color, national origin, sex, age, disability, or marital status against any employee or applicant for employment, will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination and will make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on contracts relating to the Project.
- (ii) An agreement that all of contractor's solicitations or advertisements for employees will state that, in the performance of the contract relating to this Project, all qualified applicants will be afforded equal employment opportunities without discrimination on the basis of race, creed, color, national origin, sex, age, disability or marital status.

- (iii) An agreement to request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union, or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation other contractor's obligations herein.
- (iv) An agreement to comply with the provisions of the Human Rights Law (Article 15 of the Executive Law), including those relating to non-discrimination on the basis of prior criminal conviction and prior arrest, and with all other State and federal statutory constitutional non-discrimination provisions.

Any contractor or subcontractor shall, as a precondition to entering into a valid and binding contract relating to the Project, agree to the provisions set forth in (i), (ii), (iii), and (iv) above.

Designated Minority & Women's Business Enterprise Officer (MBO):

The MBO is responsible for administering the Applicant's MWBE-EEO program. Responsibilities of the MBO can be found on the NYSEFC website under the Resource Library www.efc.ny.gov/mwbe.

MBO Phone No.: Tracey Mitchell
 MBO Email Address: Tracey.Mitchell@newnybridge.com
 MBO Mailing Address: 303 S. Broadway, Tarrytown, NY

MBE/WBE Construction Goals:

Total Combined Minority and Women Owned Business Enterprise Participation: 10%

MBE/WBE Non-Construction Goals:

Total Combined Minority and Women-Owned Business Enterprise Participation: 10%

EEO Goals:

Minority Labor Force Participation: 22.6 %
 Female Labor Force Participation: 6.9%

Signature of Municipal Official: (X) Date: *Tracey Mitchell*

I certify that the information submitted herein is true, accurate and complete to the best of my knowledge and belief.

**The Requirements of Davis-Bacon and Related Acts -
 Acknowledgement**

In order to receive financial assistance through either the Clean Water or the Drinking Water State Revolving Funds (SRFs), you will need to meet various New York State and federal requirements. In support of your SRF-financed project, you are required to engage in procurement and construction oversight practices to ensure that construction contractors and subcontractors are complying with provisions of the Davis-Bacon Act and other related requirements including payment of the higher of the state or federal wages and supplemental benefits. The Davis-Bacon requirements apply to any construction contract in excess of \$2,000 that is still under construction after October 30, 2009. For construction contracts executed prior to October 30, 2009, it may be necessary to issue a change order to the contractor to incorporate the provisions of the Act. Recipients of SRF financial assistance will be required to perform certain actions to verify the proper wages were paid, maintain and retain certain records, and ensure certain provisions are contained in all contracts and subcontracts. Specific Davis-Bacon guidance is available on the EFC website (<http://www.efc.ny.gov>).

Please check this box to acknowledge that you are aware of this requirement and that you are authorized to make this acknowledgement on behalf of the applicant. (X) *Tracey Mitchell*