

2. The Annual Project Priority List (the “Annual List”), included as Appendix B, identifies projects that EFC may provide financial assistance to in the IUP Period. The Annual List is a subset of the Multi-Year List. The Annual List is divided into the project categories described in Section 3.3; it provides the applicant’s name, project description, estimated project cost, State Pollutant Discharge Elimination System (“SPDES”) permit number, if applicable, and project score. The projects within each project category are ranked in descending order of score. A project may receive financial assistance in the IUP Period only if it is on the Annual List.

See Section 4 for information about adding a project to these lists.

3.2. Project Score System

EFC scores CWSRF eligible projects in Categories A, B, C, D, and E using the criteria stated in 6 NYCRR § 649.13. Projects that improve and restore water quality generally receive the highest scores; projects that protect water quality are given secondary priority.

EFC scores these projects based on:

1. the existing conditions that cause the water quality problem;
2. the value of the resource that will be improved or protected based on the classification of the receiving water;
3. the severity of impairment to the desired usage of the affected water;
4. the degree of improvement to the desired usage likely to result;
5. consistency with an approved management plan;
6. an obligation or mandate for the project; and
7. the financial impact of the project and economic need of the applicant.

Projects in Category G use a separate scoring system.

A project’s placement on the Annual List determines the likelihood that the project will be eligible for subsidized financing.

To show projects that may receive reduced-interest, also known as subsidized, financing, a line (the “Subsidy Line”) is drawn in Categories A, B, and C on the Annual List. Projects above the Subsidy Line are eligible for subsidized financing during the IUP Period. Projects below the Subsidy Line are not eligible for subsidized financing in the IUP Period but may receive market-rate financing. See Section 5 for more information about the types of financial assistance available from EFC.

EFC may commit financing to a large project in phases or segments over several years. EFC does this by adding 1000 bonus points to the original project score for all project phases when EFC closes a subsidized short-term financing for the project. With these bonus points, subsequent phases continue to be eligible to receive subsidized financing. When one phase of a project closes a long-term subsidized financing, EFC adds an additional 1000 points to the project score of any remaining phases to ensure financial resources will be available for long-term subsidized financing for all phases of the project. With any phased project, all phases of the project must be defined within one engineering report and the environmental review must be inclusive of all phases of the project.

3.3. Project Categories

The Annual List is divided into six categories and projects are listed within those categories in descending score order, with the exception of Category G. Projects are generally placed in categories based on whether the applicant is a municipality or not, then by the population of the municipality. Categories A, B, C, and D are each comprised of municipal projects. Category E is for non-municipal projects. Categories A, B and C are determined solely on municipal population, using population data from the 2015 American Community Survey's five-year estimates. Category D is for municipal projects that meet the criteria established in the Hardship Financing and Grant Eligibility Policy ("Hardship Policy"; see Section 5.1). Category G is for Green Innovation Grant Program and Integrated Solutions Construction projects that meet EPA's Green Project Reserve criteria (see Section 6.7).

The categories are established in 6 NYCRR § 649.3, as follows:

CATEGORY	DESCRIPTION
A.	Municipalities where population is identified as 3,500 or less.
B.	Municipalities where population is identified as being 3,501 through 2,000,000.
C.	Municipalities where population is identified as being more than 2,000,000.
D.	Municipal projects for which the municipality has received a written confirmation for a reduced interest rate financing in accordance with the Hardship Policy.
E.	Non-municipally owned projects.
G.	Green Innovation Grant Program and Integrated Solutions Construction projects that meet EPA's Green Project Reserve criteria.

3.4. Project Bypass

EFC may bypass a project on the Annual List if EFC determines the project is not ready to close financial assistance during the IUP Period. Examples of when a project is not ready include:

1. the applicant fails to submit an acceptable financing application by EFC's June 29th project application due date;
2. the project is delayed or withdrawn by the applicant; or
3. the applicant fails to submit critical items that are required to close a financing.

EFC may re-allocate any bypassed funds to other projects, some of which may be ranked with a lower score on the Annual List. If EFC bypasses a project, financial assistance will be first offered to those communities in Category D with an acceptable financing application before the funds are used to finance projects in any other category. If EFC bypasses a project, the project may be considered for financing in a subsequent IUP Period.

4. Project Listing and Project Updates

To list a project on the IUP, an applicant must submit initial project information through EFC's Project Listing and Update System (PLUS) (<https://plus.efc.ny.gov/PLUS/>), including contact information, a general description of the project's scope, a budget, and a project schedule. Applicants can also upload documents such as engineering reports, consent orders, or project descriptions. EFC recommends that applicants submit all available project information at the time of the project listing so that EFC may develop the most accurate project score and ranking. EFC includes projects on the Multi-Year List based on the submission of this initial information.

For a project to be included on the Annual List, the applicant must also submit an approvable engineering report and a Smart Growth Assessment Form to EFC.

The engineering report must conform to the Engineering Report Outline available on [EFC's website](#). The report must be prepared by an engineer licensed to practice in New York State. The report must identify and assess the water quality problem, recommend a solution, and include a cost estimate and construction schedule. EFC will not require previously submitted reports to be rewritten, but an amendment may be required to address all items included in the Outline.

All CWSRF projects are subject to the State Smart Growth Public Infrastructure Policy Act of 2010 (the "Act") and must submit to EFC a Smart Growth Assessment Form. EFC uses this form to determine whether a project meets the Act's smart growth criteria, and to establish a justification if it does not. The Smart Growth Assessment Form and guidance are available on [EFC's website](#).

EFC accepts new project listings on a continuous basis, but applicants must submit their project information through PLUS by May 1 to have their projects listed in the Draft IUP each year, and by the end of the public comment period for the Draft IUP to have their projects listed in the Final IUP.

To ensure that the Annual List remains current and contains projects that applicants desire to finance in the current IUP Period, EFC requires applicants to update their project information annually, using PLUS. If an applicant did not update project information by the end of the public comment period for the Draft IUP, the applicant's project is not identified on the Annual List in the Final IUP, and is not eligible for CWSRF financial assistance during the 2018 IUP Period. If an applicant did not update its project information using PLUS for two consecutive years, EFC designated the project inactive and it no longer appears in the IUP.