

**Appendix C**  
**State Environmental Quality Review**  
**SHORT ENVIRONMENTAL ASSESSMENT FORM**  
**For UNLISTED ACTIONS Only**

**PART I - PROJECT INFORMATION (To be completed by Applicant or Project Sponsor)**

<p><b>1. APPLICANT/SPONSOR</b> American Water Works Company, Inc., et al.</p>	<p><b>2. PROJECT NAME</b> Acquisition of stock of Aqua New York, Inc. by American Water</p>
<p><b>3. PROJECT LOCATION:</b> Municipality <u>n/a</u> County <u>n/a</u></p>	
<p><b>4. PRECISE LOCATION (Street address and road intersections, prominent landmarks, etc., or provide map)</b> <u>n/a</u></p>	
<p><b>5. PROPOSED ACTION IS:</b>  <input type="checkbox"/> New    <input type="checkbox"/> Expansion    <input checked="" type="checkbox"/> Modification/alteration</p>	
<p><b>6. DESCRIBE PROJECT BRIEFLY:</b> American Water Works Company, Inc., Aqua Utilities, Inc. and Aqua New York Inc. are jointly requesting that the Public Service Commission of the State of New York approve the sale by Aqua Utilities to American Water of 100% of the issued and outstanding stock of Aqua NY pursuant to Public Service Law ("PSL") § 89-h.</p>	
<p><b>7. AMOUNT OF LAND AFFECTED:</b> Initially <u>n/a</u> acres    Ultimately _____ acres</p>	
<p><b>8. WILL PROPOSED ACTION COMPLY WITH EXISTING ZONING OR OTHER EXISTING LAND USE RESTRICTIONS?</b>  <input type="checkbox"/> Yes    <input type="checkbox"/> No    If No, describe briefly <u>n/a</u></p>	
<p><b>9. WHAT IS PRESENT LAND USE IN VICINITY OF PROJECT?</b>  <input type="checkbox"/> Residential    <input type="checkbox"/> Industrial    <input type="checkbox"/> Commercial    <input type="checkbox"/> Agriculture    <input type="checkbox"/> Park/Forest/Open Space    <input type="checkbox"/> Other Describe: <u>n/a</u></p>	
<p><b>10. DOES ACTION INVOLVE A PERMIT APPROVAL, OR FUNDING, NOW OR ULTIMATELY FROM ANY OTHER GOVERNMENTAL AGENCY (FEDERAL, STATE OR LOCAL)?</b>  <input checked="" type="checkbox"/> Yes    <input type="checkbox"/> No    If Yes, list agency(ies) name and permit/approval: Requires PSC approval under Section 89-h of the Public Service Law</p>	
<p><b>11. DOES ANY ASPECT OF THE ACTION HAVE A CURRENTLY VALID PERMIT OR APPROVAL?</b>  <input type="checkbox"/> Yes    <input checked="" type="checkbox"/> No    If Yes, list agency(ies) name and permit/approval:</p>	
<p><b>12. AS A RESULT OF PROPOSED ACTION WILL EXISTING PERMIT/APPROVAL REQUIRE MODIFICATION?</b>  <input type="checkbox"/> Yes    <input checked="" type="checkbox"/> No</p>	
<p align="center">I CERTIFY THAT THE INFORMATION PROVIDED ABOVE IS TRUE TO THE BEST OF MY KNOWLEDGE</p> <p>Applicant/sponsor name: <u>American Water Works Company, Inc., et al.</u>    Date: <u>8/25/11</u></p> <p>Signature: <u><i>Bruce V. Malde</i></u></p>	

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EX-111  
PART I

**If the action is in the Coastal Area, and you are a state agency, complete the Coastal Assessment Form before proceeding with this assessment**



**PART II - IMPACT ASSESSMENT (To be completed by Lead Agency)**

A. DOES ACTION EXCEED ANY TYPE I THRESHOLD IN 6 NYCRR, PART 617.4? If yes, coordinate the review process and use the FULL EAF.  
 Yes  No

B. WILL ACTION RECEIVE COORDINATED REVIEW AS PROVIDED FOR UNLISTED ACTIONS IN 6 NYCRR, PART 617.6? If No, a negative declaration may be superseded by another involved agency.  
 Yes  No

C. COULD ACTION RESULT IN ANY ADVERSE EFFECTS ASSOCIATED WITH THE FOLLOWING: (Answers may be handwritten, if legible)

C1. Existing air quality, surface or groundwater quality or quantity, noise levels, existing traffic pattern, solid waste production or disposal, potential for erosion, drainage or flooding problems? Explain briefly:  
 Proposed action is the Commission approval, pursuant to Public Service Law section 89-h, of the sale of 100% of the issued and outstanding capital stock of Aqua Utilities Inc. by Aqua New York, Inc. to American Water Works Company, Inc.

C2. Aesthetic, agricultural, archaeological, historic, or other natural or cultural resources; or community or neighborhood character? Explain briefly:  
 cont'd ...with no changes to the physical operation of the water-works utility that will result in significant physical adverse impacts upon the environment.

C3. Vegetation or fauna, fish, shellfish or wildlife species, significant habitats, or threatened or endangered species? Explain briefly:  
 " "

C4. A community's existing plans or goals as officially adopted, or a change in use or intensity of use of land or other natural resources? Explain briefly:  
 " "

C5. Growth, subsequent development, or related activities likely to be induced by the proposed action? Explain briefly:  
 " "

C6. Long term, short term, cumulative, or other effects not identified in C1-C5? Explain briefly:  
 " "

C7. Other impacts (including changes in use of either quantity or type of energy)? Explain briefly:  
 " "

D. WILL THE PROJECT HAVE AN IMPACT ON THE ENVIRONMENTAL CHARACTERISTICS THAT CAUSED THE ESTABLISHMENT OF A CRITICAL ENVIRONMENTAL AREA (CEA)?  
 Yes  No If Yes, explain briefly:

E. IS THERE, OR IS THERE LIKELY TO BE, CONTROVERSY RELATED TO POTENTIAL ADVERSE ENVIRONMENTAL IMPACTS?  
 Yes  No If Yes, explain briefly:

**PART III - DETERMINATION OF SIGNIFICANCE (To be completed by Agency)**

**INSTRUCTIONS:** For each adverse effect identified above, determine whether it is substantial, large, important or otherwise significant. Each effect should be assessed in connection with its (a) setting (i.e. urban or rural); (b) probability of occurring; (c) duration; (d) irreversibility; (e) geographic scope; and (f) magnitude. If necessary, add attachments or reference supporting materials. Ensure that explanations contain sufficient detail to show that all relevant adverse impacts have been identified and adequately addressed. If question D of Part II was checked yes, the determination of significance must evaluate the potential impact of the proposed action on the environmental characteristics of the CEA.

Check this box if you have identified one or more potentially large or significant adverse impacts which **MAY** occur. Then proceed directly to the FULL EAF and/or prepare a positive declaration.

Check this box if you have determined, based on the information and analysis above and any supporting documentation, that the proposed action **WILL NOT** result in any significant adverse environmental impacts **AND** provide, on attachments as necessary, the reasons supporting this determination.

NYS Public Service Commission

Name of Lead Agency: \_\_\_\_\_ Date: 11/17/11

Christina Palmero \_\_\_\_\_ Chief-Renewable Energy and Environmental Compliance  
 Print or Type Name of Responsible Officer in Lead Agency Title of Responsible Officer

*Christina Palmero* \_\_\_\_\_ *Richard H. Powell* \_\_\_\_\_  
 Signature of Responsible Officer in Lead Agency Signature of Preparer (If different from responsible officer)