

7.4 Sanitary/Storm Sewer Facilities Funding Application

Sanitary/Storm Sewer Facilities Funding Application

Consolidated Water Facilities Construction Program (CWFCP) Clean Water State Revolving Fund Program (CWSRF)

Applicant	Proposed Funding Package
Address	CWFCP / CWSRF _____ Local Cash _____ Other _____ Other _____ Other _____
Subapplicant	Other _____ TOTAL _____

Project Title: _____

Description: _____

The Applicant Certifies That:

I declare and affirm under the penalties of perjury that this application has been examined by me and, to the best of my knowledge and belief, is in all things true and correct.

Name & Title of Authorized Signatory (Typed)

Signature

Date

Professional Consultants

Application Prepared By: _____

Contact Person: _____

Mailing Address: _____

City, State, and Zip: _____

Telephone Number: _____ Fax: _____

Email address: _____

Consulting Engineering Firm: _____

Contact Person: _____

Mailing Address: _____

City, State, and Zip: _____

Telephone Number: _____ Fax: _____

Email address: _____

Legal Counsel's Firm: _____

Legal Counsel: _____

Mailing Address: _____

City, State, and Zip: _____

Telephone Number: _____ Fax: _____

Email address: _____

Bond Counsel's Firm: _____

Bond Counsel: _____

Mailing Address: _____

City, State, and Zip: _____

Telephone Number: _____ Fax: _____

Email address: _____

BUDGET SHEET

Cost Classification	A CWFCP / DWSRF	B	C	D	E	Total Funds
1. Administrative Expenses						
A. Personal Services						
B. Travel						
C. Legal including Bond Counsel						
D. Other						
2. Land, Structure, Right-of-Way						
3. Engineering						
A. Bidding and Design Fees						
B. Project Inspection Fees						
C. Other						
4. Construction and Project Improvement						
5. Equipment						
6. Contractual Services						
7. Other						
8. Other						
9. Subtotal (Lines 1-8)						
10. Contingencies						
11. Total (Lines 9 and 10)						
12. Total %						

Columns A - E: Identify each funding source and enter the amounts budgeted by cost category.

Method of Financing

	Secured Funds	Unsecured Funds (Date Anticipated)
Local Cash (Identify Source)		
Other (Explain)		
Other (Explain)		
Other (Explain)		
Other (Explain)		
Other (Explain)		
TOTAL		

7.4.1 Repayment Information

Interest rate and term you are applying for: _____ %, _____ years.

What security is being pledged toward the repayment of this loan?

- _____ 1. General Obligation bond (requires bond election)
- _____ 2. Wastewater Revenue bond
- _____ 3. Storm Sewer Revenue bond
- _____ 4. Project Surcharge Revenue bond
- _____ 5. Sales Tax Revenue bond

7.4.2 Documents That Must Be Submitted With Application

Financial Documents

- 1. Most recent audit or unaudited financial statement to include specific accounting of fund pledged for repayment.
- 2. Current year's budget.

Planning and Legal Documents

- 1. Governing user charge ordinance or resolution and its effective date.
- 2. Resolution of authorized signatory for submission of Clean Water SRF application and signing of payment requests. This resolution must also include the maximum loan amount requested, interest rate and term being applied for, description of proposed project, and security pledged towards repayment of the loan.

Facilities Plan (See section 8.4.16 for a detailed outline.)

7.4.3 General Information

The month and day your fiscal year begins: _____

Population Served

Current _____	2000 _____	1990 _____
Top Five Employers Within 30 Miles	Number of Employees	Type of Business
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Please indicate employers within boundary of issuing entity with an asterisk (*).

7.4.4 Wastewater Utility Information

Current Wastewater Utility Debt

Year							
Purpose							
Security Pledged							
Amount							
Maturity Date (mo/yr)							
Debt Holder							
Debt Coverage Requirement							
Avg. Annual Required Payment							
Outstanding Balance							

Use additional sheets if more room is required to list all current wastewater utility debt.

Wastewater Utility Cash Flow

	Prior Year	Prior Year	Current Year Budgeted	Future Year #
Fiscal Year				
OPERATING CASH FLOW				
Wastewater Sales				
Surcharge Fee				
Other (Explain) _____				

OPERATING PAYMENTS				
Personal Services				
Chemical, Material & Supplies				
Electric & Other Utilities				
Other (Explain) _____				

NET CASH FROM OPERATIONS				
NONOPERATING CASH FLOW				
Interest Income				
Other Revenue (Explain) _____				

Transfers In (Explain) _____				

Fixed Asset Sale (Explain) _____				

Transfers Out (Explain) _____				

Fixed Asset Purchases (Explain) _____				

Debt Payment (Principal Only)				
Debt Payment (Interest Only)				
Other Expenses (Explain) _____				

NET CASH FROM NONOPERATING				
Net Increase (Decrease) in Cash				
Beginning Cash Balance				
Ending Cash Balance				
RESTRICTED BALANCE				
UNRESTRICTED BALANCE				

Future Year: First full year after project completion.

Restricted Funds Breakdown:

<u>Amount</u>	<u>Anticipated Expense</u>	<u>Method Used to Encumber</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Wastewater Fees:

Attach current and proposed rate ordinances or resolutions and rate schedules.

Municipal or Sanitary District - monthly rates at 5,000 gallons (670 cubic feet)

Others Systems - monthly rates at 7,000 gallons (935 cubic feet)

Check one: Incorporated Municipality or Sanitary District

or

Other System

Monthly:	<u>Current Rate</u>	<u>Proposed Rate</u>	<u># of Accounts</u>	<u>Average use gallons/cubic feet</u>
Domestic	_____	_____	_____	_____
Business	_____	_____	_____	_____
Other: _____	_____	_____	_____	_____
Other: _____	_____	_____	_____	_____

Are fees based on usage or flat rate? _____

When is proposed fee scheduled to take effect? _____

When did the current fee take effect? _____

What was the fee prior to the current rate? _____

Attach current and proposed rate ordinances or resolutions and rate schedules.

Five Largest Customers	Type of Business	% of System Revenues
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Storm Sewer Projects:

Does sponsor have a separate storm water fee? Yes _____ No _____

If yes, attach the current and proposed rate ordinances or resolutions and rate schedules. Identify below the rate charged and explain how fee is calculated.

7.4.5 Property Tax Information

(Complete this section only if General Obligation bond is pledged to repay your loan.)

Three year valuation trend:

Year	_____	_____	_____
Assessed Valuation	_____	_____	_____
Full & True Valuation	_____	_____	_____

Three year levies and collection trend:

Year	_____	_____	_____
Amount Levied	_____	_____	_____
Collected	_____	_____	_____
Penalties/Interest	_____	_____	_____
Late Payments	_____	_____	_____

Three Largest Taxpayers

Description

Assessed Valuation

_____	_____	_____
_____	_____	_____
_____	_____	_____

List all current debt secured by General Obligation bond:

Year	_____	_____	_____	_____	_____
Purpose	_____	_____	_____	_____	_____
Security Pledged	_____	_____	_____	_____	_____
Amount	_____	_____	_____	_____	_____
Maturity Date (mo/yr)	_____	_____	_____	_____	_____
Debt Holder	_____	_____	_____	_____	_____
Debt Coverage Requirement	_____	_____	_____	_____	_____
Avg. Annual Required Payment	_____	_____	_____	_____	_____
Outstanding Balance	_____	_____	_____	_____	_____

Use additional sheets if more room is required to list all current G.O. debt.

List all current debt secured by sales tax:

Year Issued									
Purpose									
Amount									
Maturity Date (mo/yr)									
Debt Holder									
Debt Coverage Requirement									
Avg. Annual Required Payment									
Outstanding Balance									

Use additional sheets if more room is required to list all current sales tax debt.

7.4.7 Facilities Plan Checklist

Before submitting the application, please take a few moments to complete the following checklist. Addressing these items prior to submitting the application will help expedite the review process.

Checklist of SRF Facilities Plan Requirements	
Have the following items been addressed?	
◆ Submission of a Facilities Plan to the department that addresses those items found in section 8.4.16.	_____
◆ A public hearing held discussing the project and the use of an SRF loan to finance the project. (See section 8.4.15)	_____
◆ Minutes of the public hearing prepared and submitted to the department for inclusion into the final Facilities Plan.	_____
◆ The affidavit of publication of the public hearing received and submitted to the department for inclusion into the final Facilities Plan. (See section 8.4.15)	_____
◆ The four review agencies contacted and responses received for inclusion into the final Facilities Plan. (See section 8.4.16)	_____
The Cultural Resources Effects Assessment Summary and supporting documentation, such as an archaeological survey or Historic Register database search. (See section 8.4.18)	_____

7.4.8 Certification of Point Source Needs Categories

Identify the loan amount associated with the needs categories described below. If the loan addresses needs in more than one category, please break down the total amount into estimated amounts for each category.

Category	Definition	Proposed Loan Amount
I	<p><u>Secondary Treatment and Best Practicable Wastewater Treatment Technology.</u> Costs for facilities to achieve secondary levels of treatment, regardless of the actual treatment levels required at the facility site. Incremental costs for treatment levels above secondary are to be reported in Category II. For purposes of the Survey, "best practicable wastewater treatment technology" and secondary treatment are considered synonymous. Identified alternative conveyance systems (e.g., small diameter gravity, pressure and vacuum sewers) are to be included in Category I.</p>	
II	<p><u>Advanced Treatment.</u> Incremental costs above secondary treatment for facilities which require advanced levels of treatment. This requirement generally exists where water quality standards require removal of such pollutants as phosphorus, ammonia, nitrates, or organic and other substances. In addition, this requirement exists where removal requirements for conventional pollutants exceed 85 percent.</p>	
III A	<p><u>Infiltration/Inflow Correction.</u> Costs for correction of sewer system infiltration/inflow (I/I) problems. Costs should also be reported for the preparation of preliminary I/I analysis or for a detailed sewer system evaluation survey.</p>	
III B	<p><u>Major Sewer System Rehabilitation.</u> Replacement and/or major rehabilitation of existing sewer systems. Costs are reported if the corrective actions are necessary to the total integrity of the system. Major rehabilitation is considered to be extensive repair of existing sewer beyond the scope of normal maintenance programs (i.e., where sewers are collapsing or structurally unsound).</p>	

Category	Definition	Proposed Loan Amount
IV A	<u>New Collectors and Appurtenances.</u> Costs of construction of new collector sewer systems and appurtenances designed to correct violations caused by raw discharges or seepage to waters from septic tanks, or to comply with Federal, State or local actions.	_____
IV B	<u>New Interceptors and Appurtenances.</u> Costs for new interceptor sewers and pumping stations necessary for the bulk transmission of clean water.	_____
V	<u>Correction of Combined Sewer Overflows.</u> Costs for facilities, including conveyance, storage, and treatment, necessary to prevent and/or control periodic bypassing of untreated wastes from combined sewers to achieve water quality objectives and which are eligible for Federal funding. It does not include treatment and/or control of storm waters in separate storm and drainage systems.	_____
VI	<u>New Construction or Rehabilitation of Storm Sewer Systems and Appurtenances.</u> Cost of new construction or rehabilitation associated with the bulk transmission or detention of storm sewer flows. This category includes only runoff projects in communities with Phase I or Phase II storm water permits.	_____
TOTAL		_____

Name of Applicant

Signature of Authorized Representative

Date

7.4.9 Certification of Nonpoint Source Needs Categories

Identify the loan amount associated with the needs categories described below. If the loan addresses needs in more than one category, please break down the total amount into estimated amounts for each category.

Category	Definition	Loan Amount
VII-A	NPS pollution - agricultural activities. Plowing, pesticide spraying, irrigation, fertilizing, planting, and harvesting. Example BMPs include conservation tillage, nutrient management, and irrigation water management.	_____
VII-B	NPS pollution - animal production. Confined animal facilities and grazing. Example BMPs include animal waste storage, animal waste nutrient management, composting, and planned grazing.	_____
VII-C	NPS pollution - forestry. Removal of streamside vegetation, road construction and use, timber harvesting, and mechanical preparation for the planting of trees. Example BMPs include preharvest planning, streamside buffers, road management, and revegetation of disturbed areas.	_____
VII-D	<u>NPS pollution - new or existing development in urban or rural setting.</u> Erosion, sedimentation, and discharge of pollutants (e.g., inadequately treated wastewater, oil grease, road salts, and toxic chemicals) into water resources from construction sites, roads, bridges, parking lots, and buildings. Example BMPs include wet ponds, construction site erosion and sedimentation controls, sand filters, and detention basin retrofit. This category includes only runoff projects in communities without phase I or phase II storm water permits.	_____
VII-E	<u>NPS pollution - ground water protection.</u> Wellhead and recharge protection areas. Activities attributed to specific causes are included in a later, more specific category.	_____
VII-F	<u>NPS pollution - boating and marinas.</u> Poorly flushed waterways, boat maintenance activities, discharge of sewage from boats, and physical alteration of shoreline, wetlands, and aquatic habitat during operation or construction of a marina. Example BMPs include pumpout systems and oil containment booms.	_____

Category	Definition	Loan Amount
VII-G	<u>NPS pollution - mining and quarrying activities.</u> Example BMPs: detention berms and seeding or revegetation.	<hr/>
VII-H	<u>NPS pollution - abandoned, idle, and underused industrial sites.</u> All pollution control activities at these sites regardless of activity. Example BMPs include ground water monitoring wells, in situ treatment of contaminated soils and ground water, capping to prevent storm water infiltration, and storage tank activities at brownfields.	<hr/>
VII-I	<u>NPS pollution - tanks designed to hold chemicals, gasoline, or petroleum products.</u> Tanks may be located either above or below ground. Example BMPs include spill containment, in situ treatment of contaminated soils and ground water, and upgrade, rehabilitation, or removal of petroleum/chemical storage tanks.	<hr/>
VII-J	<u>NPS pollution - sanitary landfills.</u> Example BMPs include leachate collection or on-site treatment, gas collection and control, and capping and closure.	<hr/>
VII-K	<u>NPS pollution - channel modification, dams, streambank and shoreline erosion, and wetland or riparian area protection or restoration.</u> Example BMPs include conservation easements, swales or filter strips, shore erosion control, wetland development and restoration, and bank and channel stabilization.	<hr/>
VII-L	<u>NPS pollution - rehabilitation or replacement of individual or community sewerage disposal system.</u> Construction of collector sewers to transport wastes to a cluster septic tank or other decentralized facilities. Collection sewers and expansion of existing or construction of new centralized treatment facilities that replace individual or community sewerage disposal system are included on Point Source Category table.	<hr/>
TOTAL		<hr/>

Name of Applicant

Signature of Authorized Representative

Date

7.4.10 Preaward Compliance Review

FORM Approved By OMB: No. 2030-0020 Expires 12-31-2011

United States Environmental Protection Agency Washington, DC 20460 Preaward Compliance Review Report for All Applicants and Recipients Requesting EPA Financial Assistance Note : Read instructions on other side before completing form.		
I. Applicant/Recipient (Name, Address, State, Zip Code).	DUNS No.	
II. Is the applicant currently receiving EPA assistance?		
III. List all civil rights lawsuits and administrative complaints pending against the applicant/recipient that allege discrimination based on race, color, national origin, sex, age, or disability. (Do not include employment complaints not covered by 40 C.F.R. Parts 5 and 7. See instructions on reverse side.)		
IV. List all civil rights lawsuits and administrative complaints decided against the applicant/recipient within the last year that allege discrimination based on race, color, national origin, sex, age, or disability and enclose a copy of all decisions. Please describe all corrective action taken. (Do not include employment complaints not covered by 40 C.F.R. Parts 5 and 7. See instructions on reverse side.)		
V. List all civil rights compliance reviews of the applicant/recipient conducted by any agency within the last two years and enclose a copy of the review and any decisions, orders, or agreements based on the review. Please describe any corrective action taken. (40 C.F.R. § 7.80(c)(3)).		
VI. Is the applicant requesting EPA assistance for new construction? If no, proceed to VII; if yes, answer (a) and/or (b) below. a. If the grant is for new construction, will all new facilities or alterations to existing facilities be designed and constructed to be readily accessible to and usable by persons with disabilities? If yes, proceed to VII; if no, proceed to VI(b). b. If the grant is for new construction and the new facilities or alterations to existing facilities will not be readily accessible to and usable by persons with disabilities, explain how a regulatory exception (40 C.F.R. § 7.70) applies.		
VII.* Does the applicant/recipient provide initial and continuing notice that it does not discriminate on the basis of race, color, national origin, sex, age, or disability in its programs or activities? (40 C.F.R. § 5.140 and § 7.95) a. Do the methods of notice accommodate those with impaired vision or hearing? Yes b. Is the notice posted in a prominent place in the applicant's offices or facilities or, for education programs and activities, in appropriate periodicals and other written communications? Yes c. Does the notice identify a designated civil rights coordinator?		
VIII.* Does the applicant/recipient maintain demographic data on the race, color, national origin, sex, age, or handicap of the population it serves? (40 C.F.R. § 7.85(a))		
IX.* Does the applicant/recipient have a policy/procedure for providing access to services for persons with limited English proficiency? (40 C.F.R. Part 7, E.O. 13166)		
X.* If the applicant/recipient is an education program or activity, or has 15 or more employees, has it designated an employee to coordinate its compliance with 40 C.F.R. Parts 5 and 7? Provide the name, title, position, mailing address, e-mail address, fax number, and telephone number of the designated coordinator.		
XI* If the applicant/recipient is an education program or activity, or has 15 or more employees, has it adopted grievance procedures that assure the prompt and fair resolution of complaints that allege a violation of 40 C.F.R. Parts 5 and 7? Provide a legal citation or Internet address for, or a copy of, the procedures.		
For the Applicant/Recipient I certify that the statements I have made on this form and all attachments thereto are true, accurate and complete. I acknowledge that any knowingly false or misleading statement may be punishable by fine or imprisonment or both under applicable law. I assure that I will fully comply with all applicable civil rights statutes and EPA regulations.		
A. Signature of Authorized Official	B. Title of Authorized Official	C. Date
For the U.S. Environmental Protection Agency I have reviewed the information provided by the applicant/recipient and hereby certify that the applicant/recipient has submitted all preaward compliance information required by 40 C.F.R. Parts 5 and 7; that based on the information submitted, this application satisfies the preaward provisions of 40 C.F.R. Parts 5 and 7; and that the applicant has given assurance that it will fully comply with all applicable civil rights statutes and EPA regulations.		
A. Signature of Authorized EPA Official See ** note on reverse side.	B. Title of Authorized EPA Official	C. Date

Instructions for EPA FORM 4700-4 (Rev. 03/2008) General

Recipients of Federal financial assistance from the U.S. Environmental Protection Agency must comply with the following statutes and regulations.

Title VI of the Civil Rights Acts of 1964 provides that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. The Act goes on to explain that the statute shall not be construed to authorize action with respect to any employment practice of any employer, employment agency, or labor organization (except where the primary objective of the Federal financial assistance is to provide employment).

Section 13 of the 1972 Amendments to the Federal Water Pollution Control Act provides that no person in the United States shall on the ground of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under the Federal Water Pollution Control Act, as amended. Employment discrimination on the basis of sex is prohibited in all such programs or activities.

Section 504 of the Rehabilitation Act of 1973 provides that no otherwise qualified individual with a disability in the United States shall solely by reason of disability be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. Employment discrimination on the basis of disability is prohibited in all such programs or activities.

The Age Discrimination Act of 1975 provides that no person on the basis of age shall be excluded from participation under any program or activity receiving Federal financial assistance. Employment discrimination is not covered. Age discrimination in employment is prohibited by the Age Discrimination in Employment Act administered by the Equal Employment Opportunity Commission.

Title IX of the Education Amendments of 1972 provides that no person in the United States on the basis of sex shall be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance. Employment discrimination on the basis of sex is prohibited in all such education programs or activities. Note: an education program or activity is not limited to only those conducted by a formal institution.

40 C.F.R. Part 5 implements Title IX of the Education Amendments of 1972.

40 C.F.R. Part 7 implements Title VI of the Civil Rights Act of 1964, Section 13 of the 1972 Amendments to the Federal Water Pollution Control Act, and Section 504 of The Rehabilitation Act of 1973.

The Executive Order 13166 (E.O. 13166) entitled: "Improving Access to Services for Persons with Limited English Proficiency" requires Federal agencies work to ensure that recipients of Federal financial assistance provide meaningful access to their LEP applicants and beneficiaries.

Items

"Applicant" means any entity that files an application or unsolicited proposal or otherwise requests EPA assistance. 40 C.F.R. §§ 5.105, 7.25.

"Recipient" means any entity, other than applicant, which will actually receive EPA assistance. 40 C.F.R. §§ 5.105, 7.25.

"Civil rights lawsuits and administrative complaints" means any lawsuit or administrative complaint alleging discrimination on the basis of race, color, national origin, sex, age, or disability pending or decided against the applicant and/or entity which actually benefits from the grant, but excluding employment complaints not covered by 40 C.F.R. Parts 5 and 7. For example, if a city is the named applicant but the grant will actually benefit the Department of Sewage, civil rights lawsuits involving both the city and the Department of Sewage should be listed.

"Civil rights compliance review" means any review assessing the applicant's and/or recipient's compliance with laws prohibiting discrimination on the basis of race, color, national origin, sex, age, or disability.

Submit this form with the original and required copies of applications, requests for extensions, requests for increase of funds, etc. Updates of information are all that are required after the initial application submission.

If any item is not relevant to the project for which assistance is requested, write "NA" for "Not Applicable."

In the event applicant is uncertain about how to answer any questions, EPA program officials should be contacted for clarification.

* Questions VII – XI are for informational use only and will not affect an applicant's grant status. However, applicants should answer all questions on this form. (40 C.F.R. Parts 5 and 7).

** Note: Signature appears in the Approval Section of the EPA Comprehensive Administrative Review For Grants/Cooperative Agreements & Continuation/Supplemental Awards form.

Approval indicates, in the reviewer's opinion, questions I – VI of Form 4700-4 comply with the preaward administrative requirements for EPA assistance.

"Burden Disclosure Statement"

EPA estimates public reporting burden for the preparation of this form to average 30 minutes per response. This estimate includes the time for reviewing instructions, gathering and maintaining the data needed and completing and reviewing the form. Send comments regarding the burden estimate, including suggestions for reducing this burden, to U.S. EPA, Attn: Collection Strategies Division (MC 2822T), Office of Information Collection, 1200 Pennsylvania Ave., NW, Washington, D.C. 20460; and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

The information on this form is required to enable the U.S. Environmental Protection Agency to determine whether applicants and prospective recipients are developing projects, programs and activities on a nondiscriminatory basis as required by the above statutes and regulations.

Additional Comments: