

SRF Interim Financing Application

Clean Water State Revolving Fund Program (CWSRF)
 Drinking Water State Revolving Fund Program (DWSRF)

Applicant: Address: Subapplicant: DUNS Number:	Proposed Funding Package <div style="text-align: right;"> Requested Funding _____ Local Cash _____ Other: _____ Other: _____ TOTAL _____ </div> <div style="border: 1px solid black; padding: 5px; text-align: center; margin-top: 10px;"> SRF Interim Financing CWSRF <input type="checkbox"/> DWSRF <input type="checkbox"/> </div>
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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
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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: _____

Contact Person: _____

Mailing Address: _____

City, State, and Zip: _____

Telephone Number: _____ Fax: _____

Email address: _____

Bond Counsel's Firm: _____

Contact Person: _____

Mailing Address: _____

City, State, and Zip: _____

Telephone Number: _____ Fax: _____

Email address: _____

Method of Financing

	Secured Funds	Unsecured Funds	Date Anticipated
Local Cash (Identify Source)			
USDA Rural Development Loan			
USDA Rural Development Grant			
Other (Explain)			
Other (Explain)			
Other (Explain)			
TOTAL			

Comments:

Documents That Must Be Submitted With The Application

Planning and Legal Documents

1. Resolution of authorized signatory for submission of the SRF Interim Financing application and signing of payment requests. This resolution must also include the maximum amount requested and description of proposed project.
2. Request for obligation of funds and letter of commitment stating the maximum obligation amount to be repaid from federal agency or instrumentality of the United States government for the project.
3. Documentation that the applicant has an active registration on the Federal System for Award Management (SAM) database.
(<https://www.sam.gov>)
4. Facilities Plan.
5. Cultural Resources Effects Assessment Summary.
6. Capacity Assessment Worksheets (For Drinking Water projects only - complete pages 16-37 on the Drinking Water Facilities Funding Application)

Items 7-9 apply to Non-profit Entities only

7. By-laws.
8. Articles of Incorporation.
9. Certificate of Good Standing from Secretary of State.

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 expedite the review process.

Clean Water Facilities Plan document can be found at <http://denr.sd.gov/dfta/wwf/cwsrf/sanstsewerfunding.aspx>

Drinking Water Facilities Plan document can be found at <http://denr.sd.gov/dfta/wwf/dwsrf/dwfunding.aspx>

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 either the Wastewater or Water Facilities Plan document.
- ◆ A public hearing held discussing the project and the use of an SRF loan to finance the project.
- ◆ Minutes of the public hearing prepared and submitted to the department's engineer for inclusion into the final Facilities Plan.
- ◆ The affidavit of publication of the public hearing received and submitted to the department's engineer for inclusion into the final Facilities Plan.
- ◆ The four review agencies contacted and responses received for inclusion into the final Facilities Plan.
- ◆ The Cultural Resources Effects Assessment Summary and supporting documentation, such as an archaeological survey or Historic Register database search.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters

The prospective participant certifies to the best of its knowledge and belief that it and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
- (b) Have not within a three year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forger, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) Have not within a three year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

I understand that a false statement on this certification may be grounds for rejection of this proposal or termination of the award. In addition, under 18 U.S.C. § 1001, a false statement may result in a fine of up to \$10,000 or imprisonment for up to 5 years, or both.

Name & Title of Authorized Representative

Signature of Authorized Representative

Date

I am unable to certify to the above statements. Attached is my explanation

Drinking Water Only - Certification of Drinking Water Needs Categories

Identify the loan amount associated with the needs category or 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.

Definition	Loan Amount
<u>Transmission/Distribution</u>	_____
<u>Treatment</u>	_____
<u>Storage</u>	_____
<u>Source</u>	_____
<u>System Purchase</u>	_____
<u>Restructuring</u>	_____
<u>1452(k) Loan Activities</u>	
1. To acquire land or a conservation easement for source water protection.	_____
2. To implement voluntary, incentive-based source water quality protection measures.	_____
Total	_____

Name & Title of Authorized Representative

Signature of Authorized Representative

Date

Wastewater Only - 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	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	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> Costs 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 & Title of Authorized Representative

Signature of Authorized Representative

Date

Wastewater Only - 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	<u>NPS pollution - agricultural activities.</u> Plowing, pesticide spraying, irrigation, fertilizing, planting, and harvesting. Example BMPs include conservation tillage, nutrient management, and irrigation water management.	_____
VII B	<u>NPS pollution - animal production.</u> Confined animal facilities and grazing. Example BMPs include animal waste storage, animal waste nutrient management, composting, and planned grazing.	_____
VII C	<u>NPS pollution - forestry.</u> Removal of streamside vegetation, road construction and use, timber harvesting, and mechanical preparation for the planting of trees. Example BMPs include pre-harvest planting, 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 pump out 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.	_____
VII H	<u>NPS pollution - abandoned, idle, and under used 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.	_____
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.	_____
VII J	<u>NPS pollution - sanitary landfills.</u> Example BMPs include leachate collection or on-site treatment, gas collections and control, and capping and closure.	_____
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.	_____
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.	_____
	TOTAL:	_____

Name & Title of Authorized Representative

Signature of Authorized Representative

Date

SRF Interim Financing Application Instructions

Note: This application is for interim financing from the State Revolving Fund programs. The loan term cannot exceed five years, and the loan is to be repaid from the proceeds of a federal grant or loan to be made by an agency or instrumentality of the United State government for a project. Interim financing is available to both drinking water and clean water projects.

Application Cover Page (page 1)

Applicant. Name, mailing address and phone number of the entity sponsoring the project. Sub applicant is an organization who is submitting the application on behalf of an entity.

DUNS Number. The Data Universal Numbering System (DUNS) number is a nine-digit number, issued by D&B, assigned to each business location in the D&B database, having a unique, separate, and distinct operation for the purpose of identifying them. To applicant must submit documentation that the applicant has an active registration on the Federal System for Award Management (SAM) database.

Proposed Funding Package. Include the amount and type of funds requested, the amount of local funds being provided, including direct public or private contributions, loans, federal funds, and water development district grants. Indicate if the project is a Clean Water State Revolving Fund financing or Drinking Water State Revolving Fund financing. Multi-year or phased projects should enter only the costs associated with activities for which assistance is being requested. Indicate either a Clean Water or Drinking Water State Revolving Fund interim financing.

Project Title/Description. Provide a one line title for the project and a brief narrative describing the project. Be specific, providing the feet or miles of pipe, treatment process being utilized, capacity of the storage tanks, and so forth. Include the current monthly drinking water or wastewater rate. If the rate is not a flat rate, compute the monthly rate at 5,000 gallons for municipalities or sanitary districts and at 7,000 gallons for all other water or wastewater systems. Additionally, indicate whether a reserve fund has been established for the drinking water utility or wastewater utility.

Certification. An official of the sponsoring entity, who has been authorized by resolution of the governing body to submit the application, must read and sign the application.

Professional Contacts (page 2)

Application Prepared By: Identify the entity, the individual that helped prepare the application, and the other contact information requested in case questions arise about the application.

Consulting Engineering Firm: Identify the engineering firm retained by the sponsor, the engineer's name, and the other contact information requested in case questions arise about the application.

Legal Counsel's Firm: Identify the law firm retained by the sponsor, the attorney's name, and the other contact information requested in case questions arise about the application.

Bond Counsel's Firm: *This section is required only if the applicant is a political subdivision.* Identify the bond counsel firm retained by the sponsor, the attorney's name, and the other contact information requested in case questions arise about the application.

Proposed Method of Financing (page 3)

Indicate the source of the secured/unsecured share of funding. If funds have been secured, indicate the amount in the "secured" column. If funds are unsecured at time of application, indicate the amount of the unsecured funds and the date funds are anticipated to be secured in the "unsecured" column. Include any remarks regarding funding in a separate narrative. Total the secured and unsecured funding amounts at the bottom of the table.

Documents That Must Be Submitted With The Application (page 4)

Provide a copy of the resolution of authorized signatory for the person or persons signing the loan agreement and payment requests. The resolution must also include the maximum loan amount requested and description of proposed project.

Submit a request for obligation of funds and letter of commitment stating the maximum obligation amount to be repaid from federal agency or instrumentality of the United States government for the project.

Submit documentation that the applicant has an active registration on the Federal System for Award Management (SAM) database (<https://www.sam.gov>).

Submit the Facilities Plan and Cultural Resources Effects Assessment Summary.

Submit the Capacity Assessment Worksheets for Drinking Water projects only. The Capacity Assessment Worksheets can be found on the Drinking Water Facilities Funding Application pages 16-37.

For Non-profit entities submit a copy of the organization's By-laws, Articles of Incorporation, and Certificate of Good Standing from the Secretary of State.

Facilities Plan Checklist (page 5)

The Facilities Plan Checklist is provided for your convenience. Please review the checklist and make sure that the required steps have been taken to ensure that an adequate Facilities Plan has been prepared.

Clean Water Facilities Plan document can be found at <http://denr.sd.gov/dfta/wwf/cwsrf/sanstsewerfunding.aspx>

Drinking Water Facilities Plan document can be found at <http://denr.sd.gov/dfta/wwf/dwsrf/dwfunding.aspx>

Certification Regarding Debarment, Suspension, and Other Responsibility Matters (page 6)

Under Executive Order 12549, an individual or organization debarred or excluded from participation in federal assistance or benefit programs may not receive any assistance award under a federal program, or a sub-agreement thereunder for \$25,000 or more.

Accordingly, each prospective recipient of an EPA grant, loan, or cooperative agreement and any contract or sub-agreement participant thereunder must certify to or provide an explanation why they cannot. For further details, see 40 CFR 32.510, Participants' responsibilities.

Drinking Water Only - Certification of Drinking Water Needs Categories (page 7)

Form is self-explanatory.

Wastewater Only - Certification of Point Source Needs Categories (pages 8-9)

Form is self-explanatory.

Wastewater Only - Certification of Nonpoint Source Needs Categories (pages 10-11)

Form is self-explanatory