

SRF Interim Financing Application

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

Applicant: Address: Subapplicant: Unique Entity ID:	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. Draft Facilities Plan.
4. Capacity Assessment Worksheets.
5. Certificate of Debarment
6. Water Supply Assessment Certification Form or Cost Effectiveness Certification Form
7. Certification of Needs Categories

Items 9-11 apply to Non-profit Entities only

9. By-Laws.
10. Articles of Incorporation.
11. Certificate of Good Standing from Secretary of State.

Documents Prior to Loan Closing

1. Documentation that the applicant has an active registration on the Federal System for Award Management (SAM) database.
(<https://www.sam.gov>)
2. Final Facility Plan and Environmental Review

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. These items are not required for the draft facility plan, but will be required to complete the environmental review and allow construction.

Clean Water Facilities Plan document can be found at <https://danr.sd.gov/Funding/docs/CWFacilitiesPlan.pdf>

Drinking Water Facilities Plan document can be found at <https://danr.sd.gov/Funding/docs/DWFacilitiesPlan.pdf>

Checklist of SRF Facilities Plan Requirements Have the

following items been addressed?

- ◆ Submission of a Draft 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, add other forms if needed.

Water Supply Assessment Certification Form

This is to certify compliance with Section 2108, Subsection (b) of the Water Infrastructure Improvements for the Nation Act of 2017. Drinking water systems serving 500 or fewer persons and not served by a publicly owned source must certify that consideration has been given to alternative publicly owned drinking water supply sources to include (1) individual wells; (2) shared wells; and (3) community wells.

Please select only one option from below:

- The existing system is already served by a publicly-owned water source or privately-owned water source for a public water system (e.g. a rural water system).
- The existing system is currently served by a privately-owned water source and alternatives have been considered to provide a publicly-owned water source or privately-owned water source for a public water system.
- Not applicable, the system serves greater than 500 persons.

Applicant Name: _____

Project Name: _____

We certify that the proposed project is in compliance as described above. **(Project engineer signature required only if the second box above is selected)**

Applicant's Authorized Signatory

Project Engineer

Signature: _____

Signature: _____

Printed Name: _____

Printed Name: _____

Title: _____

Title: _____

Date: _____

Date: _____

Cost and Effectiveness Certification Form

This is to certify compliance with Subtitle A, Section 5002, Subsection 602(b)(13) of the Water Resources Reform Development Act of 2014 in that project has been studied and evaluated for the cost and effectiveness of the processes, materials, techniques, and technologies for carrying out the proposed project or activity for which assistance is sought; and to the maximum extent practicable, the project or activity selected maximizes the potential for efficient water use, reuse, recapture, and conservation, and energy conservation, taking into account (i) the cost of constructing the project; (ii) the cost of operating and maintaining the project over the life of the project; and (iii) the cost of replacing the project.

Applicant Name:

Project Name:

We certify that the proposed project is in compliance as described above.

Applicant's Authorized Signatory

Project Engineer

Signature: _____

Signature: _____

Printed Name: _____

Printed Name: _____

Title: _____

License #: _____

Date: _____

Date: _____

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

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 A	<u>Stormwater - Gray Infrastructure.</u> Costs for the planning, design, and construction of conveying stormwater via pipes, inlets, road side ditches, and other similar mechanisms. Including the treating stormwater with wet ponds, dry ponds, manufactured devices, and other similar means.	_____
VI B	<u>Stormwater - Green Infrastructure.</u> Costs for the planning, design, and construction of low impact development and green infrastructure.	_____
VII	<u>Nonpoint Source.</u> Total costs for Nonpoint Source projects. See individual categories on pages 18 and 19.	_____
VIII	<u>Energy Conservation - Efficiency.</u> Costs for the use of improved technologies and practices that result in reduced energy consumption of water quality projects.	_____

IX Energy Conservation - Renewable. Costs for the production of renewable energy such as wind, solar, methane capture and energy conversion equipment, co-digestion, combined heat and power (CHP) systems, hydroelectric systems that harness wastewater flows to, from, or within treatments.

X Water Conservation - Efficiency. Costs that reduce the demand for POTW capacity through reduced water consumption including water meters, plumbing fixture retrofits or replacement, water efficient appliances, water efficient irrigation equipment, and education programs.

XI Water Conservation - Reuse. Costs for the treatment and conveyance of treated wastewater that is being reused (recycled water), including rehabilitation/replacement needs.

TOTAL:

Name & Title of Authorized Representative

Signature of Authorized Representative

Date

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
VIII 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.	_____
VIII 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.	_____
VIII 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.	_____
VIII D	<u>NPS pollution - land conservation.</u> Costs associated with land acquisition to protect water quality.	_____
VIII E	<u>NPS pollution - groundwater pollution (unknown source).</u> Activities related to ground water protection such as wellhead and recharge area protection activities. Any activity that can be attributed to a specific cause of ground water pollution, such as leaking storage tanks, soil contamination in a brownfield, or leachate from a sanitary landfill, should be reported to that more specific category.	_____
VIII 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
VIII G	<u>NPS pollution - mining and quarrying activities.</u> Example BMPs detention berms and seeding or revegetation.	_____
VIII 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.	_____
VIII 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.	_____
VIII J	<u>NPS pollution - sanitary landfills.</u> Example BMPs include leachate collection or on-site treatment, gas collections and control, and capping and closure.	_____
VIII 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.	_____
VIII 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.

UEI from SAM.gov. Unique Entity ID (UEI) is a 12-alphanumeric ID assigned to an identity by SAM.gov, assigned to each business in the 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 the Draft 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.

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 or will be taken to ensure that an adequate Facilities Plan has been prepared.

Clean Water Facilities Plan document can be found at <https://danr.sd.gov/Funding/docs/CWFacilitiesPlan.pdf>

Drinking Water Facilities Plan document can be found at <https://danr.sd.gov/Funding/docs/DWFacilitiesPlan.pdf>

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.