

Sanitary/Storm Sewer Facilities Funding Application

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

Applicant: Address: Subapplicant: DUNS Number:	Proposed Funding Package <div style="text-align: right;"> Requested Funding _____ Local Cash _____ Other: _____ Other: _____ Other: _____ TOTAL _____ </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

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: _____

Budget Sheet

Cost Classification	A CWSRF/ CWFCP	B	C	D	E	Total Funds
1. Administrative Expenses						
A. Personal Services						
B. Travel						
C. Legal & 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 & Improvements						
5. Equipment						
6. Contractual Services						
7. Other						
8. Other						
9. Subtotal (Lines 1-8)						
10. Contingencies						
11. Total (Lines 9 and 10)						
12. Total %						

Proposed Method of Financing

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

Other Funds to be Borrowed

	Amount	Rate	Term	Annual Debt Service	Security or Collateral Pledged
Other					
Other					
Other					

Please attach copies of commitment letters that contain specific terms and conditions for each source of financing.

General Information

The month and day your fiscal year begins: _____

Population Served Current: _____ 2010 _____ 2000 _____

Top three employers
within 30 miles

Number of Employees

Type of Business

_____	_____	_____
_____	_____	_____
_____	_____	_____

Repayment Information

Interest rate you are applying for: _____ Term: _____

What security is being pledged toward the repayment of this loan?
(Political Subdivisions Only)

- 1. General Obligation Bond (Requires Bond Election)
- 2. Revenue Bond
- 3. Project Surcharge Revenue Bond
- 4. Sales Tax Revenue Bond

Documents That Must Be Submitted With The Application

Financial Documents

1. Most recent audited or unaudited financial statements to include specific accounting for the wastewater fund.
2. Current year's budget for the wastewater fund.
3. Amortization schedules for all existing debt secured by proposed revenue pledged.

Planning and Legal Documents

1. Current governing user charge ordinance or resolution and its effective date.
2. Resolution of authorized signatory for submission of the Sanitary/Storm Sewer Facilities Funding application and signing of payment requests. This resolution must also include the maximum amount requested and description of proposed 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.

Items 6-8 apply to Non-profit Entities only

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

Wastewater Fund Debt Information

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

Comments:

Wastewater Fund Cash Flow Information

Negative cash should be in (Decrease) format	Prior Year	Prior Year	Current Year	Future Year	Future Year	Future Year
Fiscal Year						
Operating Revenue						
Base Fees						
Surcharge Fees						
Other (Explain)						
Operating Expenses						
Personal Services						
Chemical, Material & Supplies						
Electric & Other Utilities						
Other (Explain)						
Operating Net Cash						
Nonoperating Cash Flow						
Interest Revenue						
Transfers In (Explain)						
Fixed Asset Purchases						
Transfers Out (Explain)						
Principal Debt Payments						
Interest Debt Payments						
Other (Explain)						
Nonoperating Net Cash						
Increase (Decrease) Cash						
Beginning Cash Balance						
Ending Cash Balance						
Restricted Balance						
Unrestricted Balance						

Additional Comments (Explanations)

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)

Other Community System - monthly rates at 7,000 gallons (935 cubic feet)

Check one: Incorporated Municipality or Sanitary District
 or
 Other Community System

Monthly	Current Rate	Proposed Rate	# of Accounts	Average use Gallons/Cubic Feet
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? _____

Storm Sewer Projects Only: Does applicant have a separate storm water fee? _____

If yes, attach the current and proposed rate ordinances or resolutions and rate schedules.

Two Largest Customers	Type of Business	% of System Revenue
_____	_____	_____
_____	_____	_____

Property Tax Information

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

Three year valuation trend:

Year	_____	_____	_____
Assessed Valuation	_____	_____	_____

Three year levies and collection trend:

Year	_____	_____	_____
Amount Levied	_____	_____	_____
Collected	_____	_____	_____

Five Largest Taxpayers	Description	Assessed Valuation
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Comments:

General Fund Debt Information

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

Comments:

Sales Tax Information

(Complete section only if sales tax is pledged to repay your loan.)

Sales tax revenue history for the most current fifteen months:

Month/Year	Amount Collected
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

Comments:

Sales Tax Debt Information

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

Comments:

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>

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 the Wastewater 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.

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: _____

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	<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.	_____
II	<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.	_____
III A	<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.	_____
III B	<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).	_____

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

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

Sanitary/Storm Sewer Facilities Funding Application Instructions

Note: This application is for Clean Water State Revolving Fund Program and Consolidated Water Facilities Construction Program funding. This application is for sanitary and storm sewer projects only.

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. The 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. Multi-year or phased projects should enter only the costs associated with activities for which assistance is being requested.

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, and so forth. Include the current monthly 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 sanitary systems.

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.

Budget Sheet (page 3)

Note: Multi-year projects should enter only budget costs associated with activities for which financial assistance is being requested. Costs should be listed for all sources of funding shown on the application cover page.

Line 1.A - Amount needed for personal services related to loan management and clerical duties.

Line 1.B - Amount needed for travel including vehicle rental.

Line 1.C - All legal fees associated with this project including bond counsel fees.

Line 1.D - Amount needed for other administration expenses, including an independent financial audit, publishing, meetings, and any other expenses expected for project administration, including planning district contracts.

Line 2 - Amounts directly associated with the acquisition of land, existing structures, and related rights-of-way.

Line 3.A - Fees for engineering bidding and design services.

Line 3.B - Fees for engineering construction inspection and audit of construction and related programs.

Line 3.C - Amounts for other technical services, such as surveys, O&M manual preparation, tests, and borings not included in Line 3.A or 3.B.

Line 4 - Amounts for the actual construction of, addition to, or restoration of a facility. Also include in this category the amounts of project improvements, such as roads, access restrictions, new trenches, landscaping, and run-off control measures.

Line 5 - Amount needed for purchase or rent equipment required for the project.

Line 6 - Amount of contracts (excluding legal, engineering, and construction) associated with the project, including sampling and laboratory services.

Lines 7 & - Identify amounts for items not specifically mentioned above.

Line 9 - Sum of Lines 1 through 8.

Line 10 - Estimated amount for contingencies. Contingencies should not exceed 10% of the amount on Line 9.

Line 11 - Sum of Lines 9 and 10.

Line 12 - Funding percentage of total project costs.

Proposed Method of Financing (page 4)

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.

Other Funds to be Borrowed (page 4)

Provide the amount, rate, and term of other funds to be borrowed to help finance the project. Include the amount of the annual debt service and security pledged towards loan repayment. For "other," explain the source of funds along with the above mentioned items. Please attach copies of commitment letters that contain specific terms and conditions for each source of financing.

General Information (page 5)

The following information will be used to evaluate the applicant's capacity to provide local funds for the project and the continuing operation, maintenance, and replacement of the system.

Fiscal Year - The month and date your fiscal year begins.

Population Served - Fill in population data. Estimate current year if necessary.

List the top three employers in a 30 mile radius of your service area. Also list the number of employees at the facility and the type of business.

Repayment Information (page 5)

Identify the specific rate and term of the loan for which the sponsor is applying. If the applicant is a political subdivision, specify the security pledged to repay the loan.

The current loan interest rate table is located at <http://denr.sd.gov/dfta/wwf/wwfinterestrates.pdf>. Eligible loan rates and terms are found in the Clean Water SRF Intended Use Plan on the Project Priority List which can be found at <http://denr.sd.gov/dfta/wwf/cwsrf/cwsrfprogram.aspx>.

Documents That Must Be Submitted With The Application (page 5)

Provide a copy of the most recent audited or unaudited financial statements to include specific accounting for the utility affected by the project. If certain funds are reported in separate documents, include all reports concerning fiscal operations of the entity. If different funds are accounted for by differing fiscal years, make this notation. If the audit for the most recent year is not available, list the reason.

Provide a copy of the current year's budget, if approved by the governing board. Also include amortization schedules for all existing debt secured by proposed revenue pledged, which should match the information presented on page 6 of the application.

Provide a copy of the existing or any proposed user charge ordinance or resolution currently governing the utility department.

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 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.

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.

Wastewater Fund Debt Information (page 6)

Provide the information requested in the table for each obligation pledged towards repayment. Include all required debt information requested in the table to assure an appropriate review of the applicant's finances.

Wastewater Fund Cash Flow Information (page 7)

Note: Enter negative numbers for cash out activities.

Complete the Utility Cash Flow table. The values input on this form should be for actual cash only. Depreciation, assets value, and grant and loan revenue that is directly related to a capital improvement expense should not be included on this form. Obtain prior years information from the Statement of Cash Flows found in previous utility audits or unaudited financial statements. The Current Year column should contain information from the system's current year budget and expenditures. The Future Year columns should contain anticipated cash flow information for the utility's next three full fiscal years of operation. Future years should be based on prior year's revenue adjusted for any rate increases, operation and maintenance costs, the current budget (if not understated), and any known operational or personnel changes that are anticipated to increase or decrease during the time period.

Operating Revenues:

Base Fees - include all revenue generated from the base and usage charges. If the rate structure includes separate charges for operation and maintenance, repair and replacement funds, or other similar items, these revenues should also be included in the base fee revenue. If there has been a fee increase, or if one is planned, the additional revenue should be shown in the future years. If revenues are being pledged for repayment of the forthcoming loan, there should be an increase in future years' revenue such that revenues equal 110 percent of the utility expenses and debt.

Surcharge Fees - include only fees identified as dedicated surcharge for debt security on a loan. No other fees being charged should be reported here if there is not an associated debt security pledge. If a surcharge is being pledged for repayment of the forthcoming loan, there should be an increase in future years' surcharge fees corresponding to 110 percent of the full requested funding amount.

Other (Explain) - include any other revenues associated with operation of the utility. This may include tapping or connection fees, late payment charges, or other revenue of a similar nature. Do not include proceeds from a grant or loan. **Please use the explanation box at the bottom of the form to fully explain the source of the funds.**

Operating Expenses:

Personnel Services - include all personnel services for operation and maintenance of the utility to include costs for administration if appropriate. Any travel or training costs for utility personnel should be included on this line.

Chemical, Material & Supplies - include all chemical, material, and supply costs associated with operation and maintenance of the utility.

Electric & Other Utilities - include electrical costs associated with operating the utility, purchase of water from another supplier, and any other utility costs as appropriate.

Other (Explain) - this may include unplanned repairs and replacements, prior year engineering fees either related to the funding application or for other purposes, or other unanticipated expenses. Do not include capital improvements expenses, expenses associated with a previous, ongoing, or future improvement projects being funded by a grant or loan, or depreciation. **Please use the explanation box at the bottom of the form to clearly explain all current and future years' expenses identified on this line.**

Non-Operating Cash Flow:

Interest Revenue - revenue from interest bearing accounts or investments may be included here.

Transfer In (Explain) - include any funds being transferred into the water account from a different account. Examples could include transfers to make up a shortfall in funds or to help pay for a capital improvement expense. **Please use the explanation box at the bottom of the form to clearly explain all current and future year's expenses identified on this line.**

Fixed Asset Purchase - include any past or upcoming fixed asset purchase or capital improvement outlay was or will be paid from existing utility revenue. Do not include capital improvement project costs associated with a previous, ongoing, or future project being funded by a grant or loan.

Transfer Out (Explain) - include any funds being transferred out to other accounts. **Please use the explanation box at the bottom of the form to clearly explain all current and future year's transfers identified on this line.**

Principal Debt Payments - amount of the principal paid during each year for any debts the utility has pledged to revenue or surcharge. Debt payments pledged to sales tax, property tax, or other security pledges should not be included.

Interest Debt Payments - amount of the principal paid during each year for any debts the utility has pledged to revenue or surcharge. Debt payments pledged to sales tax, property tax, or other security pledges should not be included. The combination of interest and principal debt payments for the current year should equal the current debt listed on page 6.

Other (Explain) - include any other miscellaneous revenue or expenses that do not fit in other areas should be entered here. **Please use the explanation box at the bottom of the form to clearly explain all current and future year's expenses for this line.**

Provide the total balance for each restricted account or activity. If funds are listed as restricted there must be an ordinance or other legal instrument used to formally restrict those funds (see page 8 for more details). Existing SRF loans do not have a restricted amount and should not be included.

(page 8)

Restricted Funds Breakdown: Provide the balances for each restricted account or activity, identify the activity to be completed with the funding, and specify the method used to restrict the funds (*i.e.* governing board resolution, board motion, by-laws, etc.).

Wastewater Fees: Check whether the sponsor is an incorporated municipality, sanitary district or other system. Municipalities and Sanitary Districts provide rate information based on 5,000 gallons (670 cubic feet) per month. All Other Systems provide rates based on 7,000 gallons (935 cubic feet) per month.

Fill in the current monthly rate being charged to domestic and business users to include individual households and farmsteads. If fees are billed quarterly, calculate the monthly rate. Include any proposed new monthly rate. Complete the information for the total number of domestic, business, and other hookups which will be served system wide. Provide the current average monthly usage by business, domestic, and other customers and specify either gallons or cubic feet. If there is a special rate being charged for users other than business and domestic hookups, provide information about that rate, the number of customers for which the rate applies, and the user's average usage.

Indicate whether fees are calculated on usage or on a flat rate.

Furnish dates for when the current rate was adopted, when the proposed fee schedule will take effect, and what the rate was prior to the current rate.

Provide the two largest customers, the type of business, and the percentage of system revenues.

Property Tax Information (page 9)

Note: Fill out this section only if a general obligation bond is being pledged towards repayment of the loan.

The property tax information will be used to evaluate the applicant's ability to repay the loan. The purpose of this section is to evaluate a borrower's tax base and customers in order to assess the condition of the community.

Provide the assessed valuation and full and true valuation for the current and last two years.

Provide the amount levied and collected for the most recent three years for which data is available. Indicate any penalties, interest charged, or late payments.

List the five largest taxpayers within the system's service area and describe the type of property involved and the assessed valuation.

General Fund Debt Information (page 10)

Note: Fill out this section only if a general obligation bond is being pledged towards repayment of the loan.

Provide the information requested in the table for each obligation pledged towards repayment. Include all required debt information requested in the table to assure an appropriate review of the applicant's finances.

Sales Tax Information (page 11)

Note: Fill out this section only if a sales tax is being pledged towards repayment of the loan.

The sales tax information will be used to evaluate the applicant's ability to repay the loan. Provide the amount of sales tax collections by month for each of the last fifteen months.

Sales Tax Debt Information (page 12)

Note: Fill out this section only if a sales tax is being pledged towards repayment of the loan.

Provide the information requested in the table for each obligation to which sales tax has been pledged towards repayment.

Facilities Plan Checklist (page 13)

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>

Cost and Effectiveness Certification Form (page 14)

Form is self-explanatory.

Certification of Point Source Needs Categories (pages 15 -16)

Instructions are provided on the form. If you have questions regarding the applicable category or categories for a project, contact the applicant's consulting engineer or DENR staff.

Certification of Nonpoint Source Needs Categories (pages 17 -18)

Instructions are provided on the form. If you have questions regarding the applicable category or categories for a project, contact the applicant's consulting engineer or DENR staff.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters (page 19)

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.