Missouri Clean Water Commission Meeting
Department of Natural Resources
Lewis and Clark State Office Building
LaCharrette/Nightingale Creek Conference Rooms
1101 Riverside Drive
Jefferson City, Missouri

May 4, 2011

Approval of the State Fiscal Year 2012 Clean Water State Revolving Fund Intended Use Plan

Issue: Approval of the State Fiscal Year 2012 Clean Water State Revolving Fund (CWSRF) Intended Use Plan (IUP)

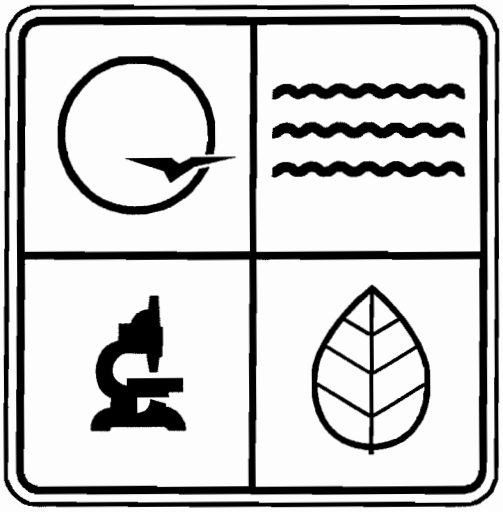
Background: The draft State Fiscal Year 2012 CWSRF IUP was presented to you in a hearing at your March meeting. Comments were solicited for revisions to the final IUP. As indicated during the hearing, the Fundable Project List has been revised to reflect the current readiness to proceed status of several projects.

The available funds for State Fiscal Year 2012 total $199,539,280. Projects that meet the readiness to proceed criteria exceed the available funds. Therefore, a Fundable Contingency List was created. Projects are shown in priority point order and will be funded as funds become available.

Recommended Action: The Program recommends that the Commission approve the State Fiscal Year 2012 Clean Water State Revolving Fund Intended Use Plan as revised.

Suggested Motion Language: "I move that the Clean Water Commission approve the State Fiscal Year 2012 Clean Water State Revolving Fund Intended Use Plan as presented today."

List of Attachments: Proposed State Fiscal Year 2012 Clean Water State Revolving Fund Intended Use Plan



Missouri Department of Natural Resources

Missouri State Fiscal Year 2012

(July 1, 2011 – June 30, 2012)

CLEAN WATER STATE REVOLVING FUND INTENDED USE PLAN AND PRIORITY LIST

Proposed May 4, 2011

STATE FISCAL YEAR 2012 CLEAN WATER STATE REVOLVING FUND
INTENDED USE PLAN,
STATE GRANT AND LOAN PRIORITY LISTS
AND
PROGRAM APPLICATION FORMS & INSTRUCTIONS

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The following application forms, instructions and guidance documents may be found on the Missouri Department of Natural Resources web page: http://www.dnr.mo.gov/env/wpp/srf/wastewater-assistance.htm. Potential applicants may also contact the Financial Assistance Center at (573) 751–1192.

I. Missouri Clean Water State Revolving Fund Application

II. Water Quality Review Assistance/Antidegradation Review Request Form

III. Facility Plan Checklist

IV. Facility Plan/Environmental Information Document Guidance for Clean Water SRF Funded Projects

V. Environmental Protection Agency Green Infrastructure Guidance dated April 21, 2010

STATE FISCAL YEAR 2012
CLEAN WATER STATE REVOLVING FUND
INTENDED USE PLAN

Introduction

The Missouri Department of Natural Resources, Water Protection Program (WPP) is the delegated authority for the administration of federal funds made available to the state under the provisions of the Clean Water Act by the U.S. Environmental Protection Agency (EPA). The funds are for financing a variety of eligible projects and are to be used in perpetuity for low interest loans made from the Clean Water State Revolving Fund (CWSRF).

References throughout this document to the "Commission" and the "department" refer to the Missouri Clean Water Commission and the Missouri Department of Natural Resources, respectively.

The department is given authority by the state legislature to administer several related state-funded grant and loan programs.

This document contains the Intended Use Plan (IUP) and priority lists for the CWSRF program and a listing of the CWSRF program applicants. In November 2007, $50 million in State Water Pollution Control Bonds were sold to fund the State Grant and Loan Programs. These funds have been committed to projects. It is not known at this time when additional State Grant and Loan Program funding may become available.

Operation and management of the CWSRF program are directed by regulations 10 CSR 20-4.010 through 10 CSR 20-4.020 and 10 CSR 20-4.040 through 10 CSR 20-4.050.

Intended Use Plan

This IUP contains information regarding the development and management of the CWSRF priority lists and assurances mandated by federal rules. The IUP details the proposed distribution of Missouri's anticipated CWSRF Capitalization Grants, the repayments of previously awarded SRF loans, and the interest earnings from the repayment account deposits for the upcoming fiscal year.

CWSRF Applications and Project Priority

The department solicits applications for the State's Revolving Fund program throughout each year. Applications for assistance are prioritized in accordance with the Construction Grant and Loan Priority System, 10 CSR 20-4.010. State Regulation establishes November 15th as the annual submittal deadline for applications to participate in the programs during any fiscal year. However, applications will be accepted and processed at any time. Potential Applicants are strongly encouraged to contact the department prior to submitting an application.

Except for projects funded solely through the CWSRF, all applicants anticipating the use of other state/federal funds must complete a Missouri Water and Wastewater Review Committee (MWWRC) project proposal. The applicant should contact the MWWRC for a complete project proposal package. The MWWRC agencies include:

Liz Roberts
Missouri Department of Economic Development
Community Development Block Grant Program
301 W. High Street, P.O. Box 118
Jefferson City, MO 65102
Telephone: 573-751-3600

David Potthast
Missouri Department of Natural Resources
State Revolving Fund
1101 Riverside Dr., P.O. Box 176
Jefferson City, MO 65102
Telephone: 573-526-0828

Tim Rickabaugh
U.S. Dept. of Agriculture, Rural Development
601 Business Loop 70 West, Parkade Center, Suite 235
Columbia, MO 65203
Telephone: 573-876-0995

State regulation 10 CSR 20-4.040 establishes that applications are valid for two IUP cycles or "years". Those projects not meeting program criteria within the allotted two-year cycle will have their allocated funds released and reallocated to other projects. Re-application to the program is possible at the end of the two-year cycle, but a project's position on a fundable, contingency, or planning lists may change with each subsequent application.

Project applications listed in this IUP are separated into two groups, carryover and new. Projects that were listed as "Fundable New Projects" in the previous IUP are placed on the "Fundable Carryover Projects" list for SFY 2012. All remaining projects are evaluated and priority points are assigned in accordance with 10 CSR 20-4.010. Projects are placed on the fundable, fundable contingency, contingency or planning lists based upon their priority points, their progress towards meeting funding eligibility criteria, and availability of adequate monies. Staff will closely monitor each applicant's progress towards funding eligibility and may shift projects between the lists.

Bypassing Projects

As funds become depleted, staff will present recommendations to the commission to fund or bypass an applicant's project. Projects failing to progress towards fundable status are subject to funding "bypass". A project with fewer priority points may bypass a project with a higher priority point ranking that is failing to make sufficient advancement towards funding eligibility. Recommendations to the Commission to fund or bypass a project may be made at any commission meeting throughout the fiscal year. Applicants whose projects are recommended for bypass or funding will be notified prior to the commission meeting when their projects appear on the agenda and will be allowed time to present their points of view regarding the proposed change in project status.

Readiness to Proceed

A CWSRF project's readiness to proceed is based upon two criteria; acceptable debt instrument and the submittal of a complete facility plan. A facility plan submittal checklist is included with the CWSRF application form. Potential CWSRF applicants are strongly encouraged to obtain a water quality review sheet/anti-degradation report from the department before initiating facility planning activities. Facility plans that are submitted to the department without the appropriate

water quality review sheet/anti-degradation report and the Facility Plan Submittal Checklist will be deemed incomplete. Incomplete facility plans will delay proposed projects and, ultimately, project funding.

A summary of each program, beginning on page 19, is included with its fundable, contingency and planning lists.

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CLEAN WATER STATE REVOLVING FUND
SFY 2012 INTENDED USE PLAN

I. Background

Each year as required by Title VI of the Clean Water Act, Missouri prepares an IUP that identifies the projected uses of and serves as a basis for distribution of the monies available in its CWSRF.

During SFY 2012 the State of Missouri expects to be awarded the Federal Fiscal Year (FFY) 2011 capitalization grant for the CWSRF program. The anticipated grant amount is $18,500,000. The federal funds will be matched with 20% state funds from the proceeds of state Environmental Improvement and Energy Resources Authority (EIERA) bond sales.

Applications for assistance are considered based upon the priority ranking criteria contained in 10 CSR 20-4.010. When applications exceed the funds available, projects are listed in priority point order. In order to recognize the efforts of CWSRF applicants to complete their proposed wastewater infrastructure projects, the funding lists consider an applicant's readiness to proceed, in addition to their priority point ranking.

Project Lists

- Fundable Carryover Projects List – The commission shall maintain a carryover list identifying unfunded projects approved for funding in the prior SFY. These projects shall maintain their funding eligibility in the current SFY.

- Fundable Projects List – The fundable list identifies those projects that the commission intends to fund during a given SFY. The commission will not consider placing a proposed project on the fundable list unless the Facility Plan Submittal Checklist is submitted with the facility plan and items one through four on the list are completed. Prior to completion and submittal of a facility plan, the applicant is strongly encouraged to obtain a water quality review from the department. An entity seeking to have a project placed on the Fundable List must have submitted a complete facility plan and information indicating that the public entity has an appropriate debt instrument in place. A debt instrument includes, but is not limited to general obligation bonds and revenue bonds.

- Fundable Contingency Projects List – Identifies projects meeting all programmatic criteria to receive funds. This list is created due to insufficient available funds. Projects will be listed in priority point order regardless of the date which all programmatic criteria are met.

- Contingency Projects List – The contingency project list identifies those projects which may be considered for funding during a given fiscal year if unanticipated or uncommitted funds become available. Projects will not be considered for the contingency list unless a facility plan/engineering report has been submitted for review.

- Planning List – The planning list identifies all potential loan projects not contained on a fundable priority list. Planning list projects may advance to the contingency or fundable lists, with Commission approval, and the successful completion of the listing criteria: voter passage of bond issues or approval of alternate debt instruments, and submission of a complete facility plan.

- Direct Loan List – The direct loan list identifies all potential loan projects that qualify for a direct loan. These include applications to fund Neighborhood Improvement Districts (NIDs), very small communities, and nonpoint source projects.

- Nonpoint Source and Green Infrastructure Demonstration Grants – The nonpoint source and green infrastructure list identifies proposed demonstration projects directly related to addressing nonpoint sources of pollution and/or projects implementing green infrastructure.

- Disadvantaged Community Reserve – The disadvantaged community reserve list was established as a result of the federal fiscal year 2010 budget. Congressional intent is to provide additional subsidization to state defined disadvantaged communities. Communities shown on this list must meet readiness to proceed criteria as well as meet the disadvantaged community criteria (page 10).

Projects will be eligible to receive financial assistance subject to final program appropriations, project reviews, and project schedules.

II. Description of the CWSRF Loan Program

Department staff works with each applicant to develop a schedule that allows the project to be financed at a predetermined closing date.

CWSRF assistance will be in the form of loans with a target interest rate of 30 percent of market rate. In accordance with state regulation 10 CSR 20-4.040, the interest rate shall be based on the Twenty-Five Bond Revenue Index as published in The Bond Buyer. An annual fee of 1.0 percent of the outstanding loan balance will be charged by the department. The loan fee shall be used to administer the CWSRF program and other water pollution control activities in accordance with federal regulations. Short-term loans will be for a one to three year period. Long-term loans will be for up to 20 years.

Construction loan repayments must begin within one year after the first operational contract is "completed", i.e., those facilities are placed into operation. The bond repayment schedules will generally consist of semi-annual interest payments, and annual principal payments. The trustee bank holds the periodic participant repayments in separate recipient accounts (repayment fund) outside the SRF. Interest earnings on these recipient accounts are credited to the debt service account and used when the payment is made to DNR. These revolving funds can then be used again to support new construction projects.

Prior to state fiscal year 2010, the program was leveraged through the use of a reserve fund model. General Obligation or Revenue bonds are used to secure a borrower's proposed debt. The bonds were purchased and resold nationally by the Environmental Improvement and Energy Resources Authority (EIERA). The funds generated by the sale of the bonds were deposited with a trustee bank in the applicant's name and are used for construction.

As construction costs were incurred, state and federal funds are deposited into a reserve account in an amount equal to 70 percent of cost. Interest was earned on the reserve through Guaranteed Investment Contracts (GIC), which was then credited to the interest portion of the debt service of the bonds thereby providing the interest subsidy to the recipient. Due to recent economic conditions, GICs are no longer available. During SFY 2011, the State Revolving Fund program transitioned to a 'hybrid cash flow model loan program'.

Under the 'hybrid cash flow model loan program', the Department of Natural Resources purchases the debt obligations of the participants directly. As construction progresses funds are released to the participant so the construction costs can be paid. Upon completion of the project, the loans are adjusted to reflect the final loan amount. The repayments of these "direct loans" are then pledged to the EIERA. At such time as the State Revolving Fund program needs to replenish their funding the EIERA exercises their authority to sell bonds. The proceeds of this sale are deposited into the State Revolving Fund program account. The principal and interest payments on the EIERA bonds are secured through the pledge of the direct loan repayments from previous State Revolving Fund program participants.

The department continues to work with the SRF finance team to refine the new program structure, and will continue to evaluate possible future program structures to ensure the program provides a stable source of funding for drinking water infrastructure projects well into the future.

The department reserves the right to refinance, assign, pledge or leverage any loans originated through the CWSRF Loan Program.

Cross-Collateralization of Funds
The Departments of Veteran Affairs and Housing and Urban Development, and the Independent Agencies Appropriations Act, 1998 (Public Law 105-65) authorized limited cross-collateralization between the Drinking Water State Revolving Fund (DWSRF) and the CWSRF. Cross-collateralization allows states to use CWSRF funds as security for bonds issued to finance DWSRF projects and vice versa. The cross-collateralization of the two funds may enhance the lending capacity of one or both SRFs. State statute 644.122 RSMO provides the state's legal authority to implement cross-collateralization.

III. Goals and Objectives

Each year the department evaluates the operations and the financial structures of the SRF to gauge program effectiveness. Long and short-term goals are proposed to improve program services and investment returns. Assessment of the improvement effort is included in the Annual Report. The following sections present the current strategies for program improvement.

Long-Term Goals (Three to Five Years)
Goal: Conduct year-by-year financial analysis of the availability and use of CWSRF monies. Evaluate the effects of differing program structures on the availability of the CWSRF to provide financial assistance now and in the future.

Goal: Promote coordination efforts both within and outside the agency for the purpose of expediting the funding of projects. The SRF program staff commits to work with the U.S. Department of Agriculture-Rural Development and the Department of Economic Development Community Block Grant program to provide affordable financing for municipal pollution prevention and control projects.

Goal: Pursue more holistic regional and watershed-based solutions that address both point and nonpoint source pollution problems and opportunities to use distributed wastewater treatment options where they could be applied.

Short-Term Goals
Goal: Target available loan funds to high priority needs in accordance with the IUP priority list in order to encourage construction of the highest impact water quality improvement projects.

Goal: Look at ways the SRF program can be used to encourage sustainable infrastructure and capacity development concepts with borrowers.

Goal: Continue to identify projects that qualify for Green Project Reserve Funding, in accordance with Federal guidance.

IV. Modifications

After the commission adopts the CWSRF priority lists, it may modify the lists or redistribute the available CWSRF funds in accordance with paragraphs A through D below. The commission may only take this action after providing notice to those projects directly affected.

As stated previously, in accordance with 10 CSR 20-4.040, CWSRF applications must be postmarked or received by November 15 prior to the fiscal year for which SRF assistance is being sought. However, to facilitate the timely and expeditious use of available CWSRF funds, eligible applications that are not received in time to be placed on the project lists adopted by the commission, and received prior to September 1, 2011 will be evaluated upon receipt. By amendment, the commission may place the new project(s) on the appropriate project list.

A. Inadequate Allocations

If the actual federal CWSRF allocations are less than the allocations anticipated by the commission in the development of the CWSRF priority lists, or if previous allocations are reduced, the commission may find it necessary to reduce their commitments to projects on the priority lists or to the various purposes outlined in the appendices. The commission may take formal action to reduce the number of commitments in accordance with subparagraphs 1-3 of this paragraph.

1. The commission may reduce the funds allocated to each purpose as shown on the table found on page 12.

2. The commission may remove the lowest priority projects from the fundable priority lists, placing these projects on the appropriate contingency list in a position dictated by their priority relative to other projects on that contingency priority lists.

3. The commission may bypass projects on the fundable priority lists in accordance with paragraph C of this document.

B. Unanticipated and Uncommitted Funds

If unanticipated or uncommitted funds become available, the commission may take formal action to distribute them in accordance with subparagraphs 1-3 of this paragraph.

1. The commission may use the unanticipated or uncommitted funds to move the highest priority project(s) from contingency priority lists to the proper fundable list.

2. The commission may use the unanticipated or uncommitted funds to increase the amount of funds allocated to the various purposes as shown on the table found on page 12.

3. The commission may increase the amount of funds allocated to projects on the fundable lists or to provide increased assistance to projects which have already received assistance.

C. Project Bypass

The commission may bypass any project on a fundable priority list that is not, in the commission's opinion, making satisfactory progress in satisfying requirements for CWSRF assistance. Such projects will be removed from the fundable priority lists and placed on the proper contingency or planning priority list in a position dictated by the commission. In determining whether a project is making satisfactory progress in satisfying the requirements for CWSRF assistance, the commission shall use the criteria contained in subparagraphs 1-2 of this paragraph. Funds released through project bypass will be considered uncommitted and available for distribution in accordance with paragraph B of this section.

1. All projects originally on the fundable lists when adopted may be by-passed if the applicant fails to submit the documents required for CWSRF assistance at least 60 days prior to the beginning of the quarter for which the assistance is anticipated.

2. The commission may use individual schedules developed by the Department to determine whether a CWSRF project is making satisfactory progress during the fiscal year.

3. Carryover projects may be automatically bypassed if they do not have all documents submitted and approved on or before **February 1, 2012**. Recovered funds will be immediately available for contingency projects in accordance with paragraph B of this section.

D. Project Removal

Projects may be removed from the priority list at the request of the applicant, a finding by the department that the project is ineligible for CWSRF assistance, or a finding by the EIERA that the applicant is not eligible for participation in the CWSRF Program.

V. Use of Funds

The table on page 12 summarizes the state's allocation of federal funds, distribution of those resources, and the amount available for eligible construction for the SFY 2012 CWSRF proposed projects.

Since 1989, the CWSRF has made binding commitments for project costs in excess of $2 billion. In 1996 the first CWSRF Nonpoint Source (NPS) loan program was instituted; nearly $12.7 million has been obligated to NPS projects in the subsequent years.

SFY 2012's IUP contains NPS loan requests of $5,000,000.

The CWSRF project lists are found on pages 23 - 30 of this document.

TRANSFER OF LOAN FUNDS FROM THE DWSRF TO THE CWSRF

Section 302 of the Safe Drinking Water Act Amendments of 1996 authorized the transfer of funds between the Drinking Water State Revolving Fund and the Clean Water State Revolving Fund. In State Fiscal Year 2001 the Department, with the approval of the Safe Drinking Water

Commission and the Clean Water Commission, transferred $10,475,000 from the CWSRF to the DWSRF. The transfer was made to off set the anticipation of excessive demand for DWSRF loan funds with a portion of the large, unobligated loan fund balance in the CWSRF at the time.

In State Fiscal Year 2011 there was an unprecedented demand for loans through the CWSRF. As a result, the Department recommended and the Commissions approved the transfer of $10,475,000 from the DWSRF repayment fund to the CWSRF repayment fund, as reimbursement for the previous transfer of funds and to help meet the demand for CWSRF loans. The Department, with prior approval from the SDWC and the CWC, reserves the right to make additional transfers in the future.

INTEREST EARNINGS TO RETIRE STATE DEBT

The debt service for all Water Pollution Control Bonds has historically been paid through the state's general revenue, with the exception of the last series sold in 2002. The department obtained an agreement with the U.S. Environmental Protection Agency (EPA) to repay the 2002 series using the interest earnings from the CWSRF fund.

The department renegotiated this agreement with EPA to apply CWSRF interest earnings to bonds issued prior to 2002, not just the 2002 series. Specifically, the CWSRF Operating Agreement, between the department and the U.S. Environmental Protection Agency, has been amended to allow for the use of interest earnings to retire the SRF's share of the Water Pollution Control Bonds used for state match. On January 10, 2007, the commission amended the SFY 2007 CWSRF Intended Use Plan (IUP) to allow for the use of interest earnings to retire the SRF's share of the Water Pollution Control Bonds issued prior to 2002 used for state match.

The department has analyzed the impact on the CWSRF should the interest earnings be used to pay interest on the SRF's share of the Water Pollution Control Bonds. The department intends to use approximately $8.2 million during SFY 2012. Staff will continue to monitor the use of interest earnings in future years to ensure that the integrity of the CWSRF fund will not be negatively impacted.

FFY-2010 Capitalization Grant Requirements

There are additional requirements being imposed on the state as a condition of receiving the FFY-2010 Capitalization Grant.

A. Additional Subsidization.

The FFY-2010 capitalization grant requires that not less than 14.98 percent of the capitalization grant shall be used to provide additional subsidization in accordance with P.L. 111-88. The Department intends to reserve $5,000,000 for additional subsidies in the form of grants.

Since the intent of Congress was "to target, as much as possible, the additional subsidized monies to communities that could not otherwise afford an SRF loan", we further propose to offer an even higher percentage grant for the most disadvantaged communities. For any community with a population of 3,300 or less, whose user rates will be at or above 2% of the median household income (MHI) and the MHI is at or below 75% of the state average MHI, they will receive a grant for up to 75% of their project cost and a loan for the remaining 25%.

It is the Department's intent to give preference to disadvantaged communities as well as on-site/decentralized wastewater treatment and green infrastructure demonstration projects.

B. Green Project Reserve.

The FFY-2010 capitalization grant requires that not less than 20 percent of the capitalization grant shall be used for projects that address green infrastructure, water or energy efficiency improvements, or other environmentally innovative activities. The Department intends to use CWSRF funds reserved for loans and/or grants in the amount of not less than $11,296,600 to fund projects or portions of projects that address green infrastructure, water or energy efficiency improvements, or other environmentally innovative activities. Department staff will work directly with CWSRF applicants to identify projects and/or components of projects, prior to funding, that address green infrastructure, water or energy efficiency improvements, or other environmentally innovative activities. Additional information regarding green infrastructure may be found in Appendix VI.

VI. CWSRF Sources of Funds

The estimated sources and anticipated distribution of funds can be found in the table on page 12.

Funds Available

The Clean Water SRF program expects to have approximately $200 million available for financing during this SFY. The estimate includes carry-over monies from previous years, repayments, interest earnings on investments of CWSRF resources and the federal capitalization grant for Federal Fiscal Year (FFY) 2011. The amount of funds made available through this IUP for financing may be revised at any time due to current economic conditions.

The Department will use the 4 percent program administration set aside from the FFY 2010 and FFY 2011 federal capitalization grants and fees charged to CWSRF recipients for program administration. The Department will reserve $100,000 of the 4 percent program administration set aside from the FFY 2010 federal capitalization grant for an independent audit in cooperation with the Environmental Protection Agency.

Distribution of Capitalization Grant and Loan Repayment Funds

Funds will be distributed to projects that are moved to the Fundable List by the Clean Water Commission. Sources and distribution of funds are as of December 31, 2010.

Fiscal Year 2012 Intended Use Plan			
Sources And Distribution Of Funds			
	Current	Anticipated	Balance
Capitalization Grants Funds (federal portion only)			
2008	$ 2,352,837		
2009	$ 18,863,757		
2010	$ 56,483,000		
2011		$ 18,500,000	$ 96,199,594
Bond Refinancing Proceeds		$ 611,946	$ 611,946
Repayment Fund (Fund 0602 & 0649)	$ 212,650,861	$ 55,988,279	$ 268,639,141
Total Funds			$ 365,450,681
Loan Commitments	$ (6,088,680)		$ (6,088,680)
Committed for ARRA projects	$ (93,634,621)		$ (93,634,621)
Committed for Direct Loans	$ (42,315,148)		$ (42,315,148)
Independent Audit	$ (100,000)		$ (100,000)
4% FFY 09 Administration Costs	$ (754,550)		
4% FFY 10 Administration Costs	$ (2,259,320)		
4% FFY 11 Administration Costs		$ (740,000)	$ (3,753,870)
Match Bond Debt Service[1]			
Remaining Principal Due	$ (11,282,500)		
Interest Due through SFY 2011		$ (518,800)	$ (11,801,300)
Additional Match Bond Debt Service[2]			
Due through SFY 2012		$ (8,217,782)	$ (8,217,782)
Funds Available for Projects			$ 199,539,280
Anticipated Direct Loans during SFY 2011		$ (133,996,582)	
NPS Direct Loans		$ (5,000,000)	
FFY 11 Anticipated Grants		$ (8,459,361)	
Disadvantaged Community Loans		$ (1,486,454)	$ (148,942,397)
Total Available for Construction			**$ 50,596,883**

1. Debt service for the 2002A State Match Bond.
2. Debt service for the Match Bond Debt Service currently being funded from the SRF program rather than state funds.

Distribution of Loan Administration Fees

On October 20, 2005 the Environmental Protection Agency issued guidance relative to the administration fees charged by the state to recipients of CWSRF program assistance. Fees charged by the Missouri CWSRF program are not included as principal in loans. Dependent upon the source of the loan, as well as the timing of the receipt of the administration fee, the administration fee is considered to be program income. As shown in the following table, the administration fees collected are considered as:

- program income earned during the Capitalization Grant period;
- program income earned after the Capitalization Grant period, or;
- non-program income.

"During the grant period" is defined as "the time between the effective date of the grant award and the ending date of the award reflected in the final grant financial report."

Program income earned during the grant period may only be used for eligible CWSRF activities, as defined in the Federal Clean Water Act, and CWSRF program administration. Program income earned after the grant period, as well as non-program income, may be used for a broad range of water-quality related purposes. The state has obtained approval from the Environmental Protection Agency to use program income earned after the grant period for water-quality related purposes.

Source And Distribution Of Funds*			
Loan Administration Fees			
	Program Income Earned During Grant Period	Program Income Earned After Grant Period	Non-Program Income
Balance as of 12/31/10	$ 928,343	$ 14,890,336	$ 6,789,179
Income			
Anticipated (01/01/11 thru 06/30/11)	$ 78,661	$ 1,601,233	$ 1,097,677
Anticipated (07/01/11 thru 06/30/12)	$ 117,992	$ 2,401,849	$ 1,646,516
Total Anticipated Income	$ 196,653	$ 4,003,082	$ 2,744,193
Projected Expenses (01/01/11 thru 06/30/11)			
Program Administration		$ (2,103,881)	
ITSD Direct Costs		$ (825,500)	
Projected Expenses for FY 12			
Program Administration		$ (4,568,876)	
ITSD Direct Costs		$ (1,051,000)	
Abatement of Water Quality Emergencies		$ (1,000,000)	
Board Training & Operator Certification		$ (250,000)	
40% State Construction Grants		$ (1,500,000)	
Fixed Station Ambient Network Contract		$ (336,293)	
Water Quality Studies		$ (150,000)	
Small Community Technical Assistance Program		$ (500,000)	
State Parks Wastewater Infrastructure		$ (750,000)	
Total Anticipated Expenses	$ -	$ (13,035,550)	$ -
Estimated Balances	$ 1,124,997	$ 5,857,868	$ 9,533,371

* The distribution of loan administration fees to various department activities is subject to change throughout the state fiscal year. Actual fund uses will be shown in detail in the SFY 2012 Clean Water State Revolving Fund Annual Report.

VII. State Assurances and Proposals

A. Administrative Costs

The department will use 4 percent of the FFY 2010 and FFY 2011 federal capitalization grant funds for program administration. For the SFY 2012 IUP financing period, the department will use $100,000 of the 4 percent program administration set-aside from the FFY 2010 federal capitalization grant for an independent audit in cooperation with the Environmental Protection Agency.

B. Public Review and Comment

The IUP and priority list will be reviewed and adopted through a public review and comment process in accordance with 40 CFR Part 25.

C. Environmental Review

The Department has adopted regulation 10 CSR 20-4.050, which provides for a National Environmental Policy Act (NEPA) like review for all projects receiving CWSRF loans.

D. First Use for Enforceable Requirements

EPA's CWSRF guidance requires states to have the national municipal policy (NMP) facilities either under construction or on enforceable schedules prior to using CWSRF funds for non-NMP projects. Missouri satisfied this requirement in December 1989.

E. Compliance with Title II

The Commission assures that all CWA CWSRF requirements were met by the designated equivalency projects in prior IUPs.

F. Binding Commitments

The Department will enter into binding commitments (loans) for a minimum of 120 percent of each EPA grant payment into the CWSRF within one year of the receipt of each payment.

G. Expenditure of Funds

The Department will expend all funds in the CWSRF in an expeditious and timely manner.

H. Potential for Environmental Impact Statements

All of the proposed fundable list projects have a low potential need for preparation of an environmental impact statement. A final decision regarding the need for an EIS will be made on each project during review of the facility plans.

I. Description of Assistance

For projects listed in this IUP, the CWSRF assistance will be in the form of loans with a target interest rate of 30 percent of market and an annual fee of 1.0 percent on the outstanding loan balance. Short-term loans will be for a one to three year period. Long-term loans will be for up to 20 years.

J. Carry-over Projects

Unfunded projects which filed an original application by November 15, 2009 were automatically carried into the SFY 2012 IUP unless the commission removed the project under the provisions of IV.C. (Bypass) or IV.D. (Removal) of this document or the proposed loan recipient has requested to be removed.

Carry-over projects in the SFY 2012 IUP are not eligible to compete in the SFY 2013 IUP unless reapplication is made by November 15, 2011.

K. Anticipated Cash Draw Ratio (Proportionality)

In accordance with the Water Quality Act, the Department will deposit in the SRF an amount equal to at least 20% of the total amount of the capitalization grant. Therefore, for any incurred cost, cash will be drawn from the Federal Letter Of Credit for EPA's proportionate share.

VIII. Additional Recipient Requirements

A. Single Audit Act Compliance

Recipients of federal funds totaling greater than $500,000 are subject to the provisions of the federal Single Audit Act of 1984 and the Single Audit Act Amendments of 1996. These requirements provide the federal government with assurances that the expenditures of federal funds are for their intended purposes and that the dispersal of those funds occurs in a timely manner. Final loan documents will include specific information and calculation instructions for the audit.

B. Missouri Labor Standards

In accordance with Chapter 290 RSMo. projects receiving financial assistance for any construction project carried out in whole or in part with assistance made available by through the CWSRF, must comply with the requirements of the Missouri Department of Labor and Industrial Relations (DOLIR).

The Department will not supply annual wage orders (wage determinations) for the projects. It will be the responsibility of each recipient to obtain the correct wage orders and to maintain compliance with them throughout the project. For additional information, applicants for funding should contact DOLIR's Division of Labor Standards Wage and Hour Section, 3315 W. Truman Boulevard, Room 205, PO Box 449, Jefferson City, MO 65102-0449, Phone: (573) 751-3403, or by E-mail at: laborstandards@labor.mo.gov

C. Davis-Bacon Act

The FFY-2010 Interior and Environment Appropriation (P.L. 111-88) and subsequent continuing resolutions require that all agreements to provide assistance for the construction of treatment works carried out in whole or in part with assistance made available through the Clean Water State Revolving Fund as authorized by title VI of the Federal Water Pollution Control Act (33 U.S.C. 1381 et seq.), or with such assistance made available under section 205(m) of that Act (33 U.S.C. 1285(m)), or both, a term or condition requiring the compliance with the requirements of section 513 of that Act (33 U.S.C. 1372) in all procurement contract. The purpose of this language is to apply the Davis-Bacon Act wage rules to all assistance agreements executed on or after October 30, 2009.

All laborers and mechanics employed by contractors and sub contractors on projects funded directly by or assisted in whole or in part by and through the Federal Government pursuant to the Act shall be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by the Secretary of Labor in accordance with subchapter IV of chapter 31 of title 40, United States Code. With respect to the labor standards specified in this section, the Secretary of Labor shall have the authority and functions set forth in Reorganization Plan Numbered 14 of 1950 (64 Stat. 1267; 5 U.S.C.App.) and section 3145 of title 40, United States Code.

The U.S. Department of Labor provides all pertinent information related to compliance with the Davis-Bacon Act including labor standards, prevailing wage rates and instructions for reporting.

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LOAN PROGRAMS

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Loan Programs:

The department presently offers a direct loan program, which includes loans for NPS projects. Submittal deadline for these programs, established by state regulations, is November 15. However, SRF staff will accept and process applications as received during the year. Financial information submitted by the applicants determines which loan program best meets the applicant's needs and financial capability.

The EPA has approved a class deviation from 40 CFR 35.3125 (b)(1). The class deviation allows for non-federal, non-state match CWSRF funds (CWSRF repayment funds) to provide loans that can be used to satisfy the local match requirement for most EPA grant-funded treatment works projects, including special Appropriations Act projects. This change can be applied to any EPA grant-funded treatment works project, other than a construction grant project, regardless of the date of the grant award, or the date that funds were appropriated for the project.

Clean Water SRF Loans

Missouri's CWSRF program offers low-interest loans for wastewater treatment improvements. The commission, the department and the EIERA are cooperating to maximize the amount of construction which can be supported by the CWSRF. The terms of the loan program are outlined below.

- Loan Term — 0 to 20 years
- Interest Rate — 30 percent of market rate
- Loan Fees — 1.0 percent on outstanding loan balance

Loans are available to communities that are financially able to support repayment of a loan. These loans are made possible by the federal capitalization grants awarded to the state. Capitalization grant funds are supplemented with matching funds equal to 20 percent of the annual grant amount. The matching funds are currently generated by the sale of EIERA bonds.

Loans may be made to finance a variety of eligible nonpoint source projects.

Direct loans may be offered as interim loans on a case-by-case basis. Interim loans are offered as a means to provide funding for the development of plans and specifications and/or to initiate construction activities. For more information on the SRF Loan Program, contact Doug Garrett at: (573) 751-1192.

Nonpoint Source Loans

Financial resources from the SRF can be made available to address any NPS pollution problem that is defined in the state's NPS Management Plan. NPS water pollution occurs in Missouri from agricultural sources, failed on-site wastewater treatment systems, local contamination of potable water table aquifers, abandoned water wells, and many other sources.

For information regarding the SRF funding of NPS projects, contact Doug Garrett or Traci Newberry at (573) 751-1192.

MASBDA Animal Waste Treatment System Loan Program

The CWSRF currently funds a loan program through the Missouri Department of Agriculture for the construction of animal waste treatment facilities. Loans for animal waste treatment facilities are awarded to the Missouri Agriculture and Small Business Development Authority (MASBDA) which in turn loans the funds to livestock and dairy producers for animal waste treatment facilities.

For information regarding the MASBDA Animal Waste Treatment System Loan Program, contact MASBDA at (573) 751-2129.

Disadvantaged Community Reserve

As stated previously, the FFY-2010 capitalization grant requires that not less than 14.98 percent of the capitalization grant shall be used to provide additional subsidization in accordance with P.L. 111-88. The Department will reserve $8,459,361 for additional subsidies in the form of grants. It is the department's intent to give preference to disadvantaged communities as well as on-site/decentralized wastewater treatment and green infrastructure demonstration projects.

The intent of Congress was "to target, as much as possible, the additional subsidized monies to communities that could not otherwise afford an SRF loan". Accordingly, any community with a population of 3,300 or less, whose user rates will be at or above 2% of the median household income (MHI) and the MHI is at or below 75% of the state average MHI, will receive a grant for up to 75% of their project cost and be eligible to receive a loan for the remaining 25%.

The Department also intends to provide grant funds for on-site/decentralized wastewater treatment and green infrastructure demonstration projects. Applicants may receive a 50% grant, based on the total eligible project costs, with a maximum grant amount of $3 million per applicant. Applicants are responsible for securing the necessary matching funds.

Clean Water SRF Loan Program
SFY 2012 Fundable Carry-over Projects

Applicant	Project #	Description	Priority Points	Service Area Pop.	Eligible Costs	NPDES#	Problem Code	Financing Schedule SFY-Qtr	Needs Category	Initiation of Operations
Available Funds					**$50,596,883**					
Greenfield *	C295645-01	TP, I/I	80	1,358	$726,380	MO-0055590 MO-0055603	4, 5	12-1	I, IIIA, IIIB	13-1
Franklin County PWSD#1 (Pottery Road) *	C295325-02	Coll, LS	75	989	$2,300,000	Multiple	1, 4, 5	12-2	IVA, IVB	13-2
Total Fundable Carryover Projects					**$3,026,380**					
Balance Forward					**$47,570,503**					

Note: *An explanation of the abbreviations and codes appears on page 30.*

Clean Water SRF Loan Program
SFY 2012 Fundable Projects

Applicant	Project #	Description	Priority Points	Service Area Pop.	Eligible Costs	NPDES#	Problem Code	Financing Schedule SFY-Qtr	Needs Category	Initiation of Operations
Balance Forward					**$47,570,503**					
Huntsville	C295670-01	TP, Coll Rehab	130	2,176	$3,075,000	MO-0040827 MO-0040819	4, 5	12-4	I, IIIA, IIIB	13-4
Boone County RSD (Rayfield Subd.)	C295375-14	I	125	107	$1,030,730	MO-0099261 MO-0085944	4, 5	12-1	IVB	13-1
Jefferson City (Cole Jct & Route B)	C295401-06	Coll, Rehab	120	11,000	$15,000,000	MO-0094846	4, 5	12-4	IIIB, IVA, IVB	13-3
Cape Girardeau (Phase 1) *	C295531-01	TP	110	36,421	$25,000,000	MO-0050580	5	12-2	I	13-4
Cuba	C295560-01	TP, Coll Rehab	105	3,230	$2,600,000	MO-0094919	5	12-1	I, IIIB	13-1
Total Fundable Projects					**$46,705,730**					
Balance Forward					**$864,773**					

Note: *An explanation of the abbreviations and codes appears on page 30.*

Clean Water SRF Loan Program
SFY 2012 Fundable Contingency Projects
(Complete Facility Plan Submitted and Approved Debt Instrument)

Applicant	Project #	Description	Priority Points	Service Area Pop.	Eligible Costs	NPDES#	Problem Code	Financing Schedule SFY-Qtr	Needs Category	Initiation of Operations
Cape Girardeau (Phase 2) *	C295531-02	TP	110	36,421	$45,000,000	MO-0050580	5	12-2	I	13-4
Columbia (Upper Hinkson Outfall Phase I)	C295361-10	I	95	12,672	$8,150,000	MO-0097837	4	12-1	IVB	13-1
Columbia (North Grindstone Outfall Phase II)	C295361-09	I	85	50	$1,370,000	MO-0097837 MO-0118672 MO-0102113	5	12-1	IVB	13-1
Platte City	C295693-01	TP Imp	85	3,866	$727,000	MO-0026298	4, 5	12-3	I	13-1
Northeast Public Sewer District (Lower Saline Cr.)	C295684-01	I/I	80	4,920	$8,843,088	MO-0128490 MO-0110752 MO-0105767 MO-0092371	4, 5	12-2	IIIB	13-1
Louisiana	C295686-01	TP	75	3,863	$5,432,860	MO-0023124	1, 3, 4, 5	12-3	I	14-1
Northeast Public Sewer District (Saline Cr.)	C295684-03	I/I	75	16,785	$4,852,517	MO-0128490	4, 5	12-3	IIIB	13-2
Northeast Public Sewer District (Upper Saline Cr.)	C295684-02	I/I	75	7,450	$2,454,469	MO-0128490	4, 5	12-2	IIIB	13-1
New Franklin *	C295681-01	TP	70	1,222	$1.964,500	MO-0050296	4, 5	12-2	I	13-2
Hillsboro	C295585-01	TP	70	2,255	$2,350,000	MO-0085838	5	12-3	I, II	13-3
Perry	C295690-01	TP, Coll, Rehab	70	666	$305,200	MO-0111821	4, 5	12-3	I, IIIA, IIIB	13-3
KC-WSD Second Creek PS & Force Main *	C295588-16	PS, FM	60	447,306	$10,626,295	MO-0024961	4	12-1	IVA, IVB	13-1
Little Blue Valley S.D. (Atherton WWTP Phase II)	C295439-03	TP, I, PS, Rehab	5	320,000	$85,430,000	MO-0101087	5	12-3	I, IVB	13-2
Total Fundable Contingency Projects					**$175,541,429**					

Note: *An explanation of the abbreviations and codes appears on page 30.*

Clean Water SRF Loan Program
SFY 2012 Contingency Projects
(Complete Facility Plan Submitted)

Applicant	Project #	Description	Priority Points	Service Area Pop.	Eligible Costs	NPDES#	Problem Code	Financing Schedule SFY-Qtr	Needs Category	Initiation of Operations
Rock Creek PSD *	C295622-01	TP	85	40,757	$4,392,283	MO-0106461	4	12-2	I	13-2
Naylor *	C295606-01	TP	50	610	$207,500	MO-0099279	4, 5	12-1	I	13-1
Total Contingency Projects					**$4,599,783**					

Note: *An explanation of the abbreviations and codes appears on page 30.*

Clean Water SRF
SFY 2012 Nonpoint Source
Direct Loan Program

Applicant	Project #	Description	Priority Points	Service Area Pop.	Eligible Costs	NPDES#	Problem Code	Financing Schedule SFY-Qtr	Needs Category	Initiation of Operations
Missouri Agriculture & Small Business Development	C295212-09	TP	N/A	N/A	$5,000,000	N/A	3	13-1	VIIB	15-1
Total Nonpoint Source Direct Loan Projects					**$5,000,000**					

Note: *An explanation of the abbreviations and codes appears on page 30.*

SFY 2012 Nonpoint Source and Green
Infrastructure Demonstration Grants

Applicant	Project #	Description	Priority Points	Service Area Pop.	Grant Amount	NPDES#	Problem Code	Financing Schedule SFY-Qtr	Needs Category	Initiation of Operations
Available Funds					**$4,000,000**					
Taney County (Regional Class A Biosolids Facility) *	C295538-01	TP Imp	120	68,361	$3,000,000	Multiple	5	11-4	I	12-4
Ozark Clean Water Company *	C295611-01	NPS - Decentralized	65	28,658	$1,000,000	N/A	4	11-4	VII	12-2
Total Demonstration Grants					**$4,000,000**					
Balance					**$ 0**					

Note: *An explanation of the abbreviations and codes appears on page 30.*

SFY 2012 Disadvantaged Community Reserve

Applicant	Project #	Description	Priority Points	Service Area Pop.	Eligible Costs	Grant Amount	Loan Amount	NPDES#	Problem Code	Financing Schedule SFY-Qtr	Needs Category	Initiation of Operations
Available Funds						**$4,459,361**	**$1,486,454**					
Brashear *	C295649-01	TP	80	280	$648,500	$486,375	$162,125	MO-0046990	4, 5	11-4	I	12-4
Total Disadvantaged Community Funds						**$486,375**	**$162,125**					
Balance						**$ 3,972,986**	**$ 1,324,329**					

Note: *An explanation of the abbreviations and codes appears on page 30.*

Clean Water SRF Loan Program
SFY 2012 Planning List

Note: *An explanation of the abbreviations and codes appears on page 30.*

Applicant	Project #	Description	Priority Points	Service Area Pop.	Eligible Costs	NPDES#	Problem Code	Needs Category
Archie *	C295648-01	TP	70	950	$ 112,030	MO-0048208	4, 5	I
Arnold (Telegraph Road) *	C295568-01	Coll	125	167	2,050,000	MO-0127949	4	IVA
Arnold (Upper Tenbrook Rd.) *	C295569-01	Coll	125	104	1,194,000	MO-0127949	4	IVA
Auxvasse	C295547-01	PS Rehab	10	999	376,667	MO-0100986	5	IIIB
Bland (Sewer Extension) *	C295649-01	Coll	50	565	85,000	MO-0055395	4	IVA
Bland (WWTP) *	C295649-02	TP Imp	50	565	125,000	MO-0055395	4, 5	I
Bonne Terre *	C295572-01	Coll	40	45	200,000	MO-0100706	4	IVA
Boone County Commission (Manchester Heights)	C295685-01	I	30	76	382,978	MO-0081922 MO-0097837	5	IVB
Boone County RSD (Highway HH Phase I)	C295375-13	TP, TP Impr, I	110	1,095	4,901,400	Multiple	4, 5	I, II, IVB
Boone County RSD (Spring Park Int.)	C295375-11	I, I/I	95	470	417,273	MO-0100463 MO-0097837	4, 5	IIIA, IVA, IVB
Boone County RSD (Sunrise Estates Int.)	C295375-10	I	80	544	652,592	MO-0090816 MO-0090824	4, 5	IVB
Boone County RSD (Energy Efficiency Upgrades)	C295375-15	TP Imp	80	6,360	66,671	Multiple	N/A	I
Boone County RSD (Rocky Fork Cr.)	C295375-12	TP, I	95	1,328	11,431,926	Multiple	4, 5	I, IVB
Boone County RSD (Twin Lakes WWTF)	C295375-16	TP	95	194	1,079,932	MO-0101885	4, 5	I
Boone County RSD (El Rey Heights)	C295375-17	I, FM	80	139	203,490	MO-0091766	4, 5	IVB
Buckner	C295694-01	TP Imp, Coll Rehab	55	2,900	830,000	MO-0098094	5	I, IIIB
Calvey Creek S.D. (Phase II)	C295524-03	Coll	75	500	1,670,000	N/A	4	IVA, IVB
Calvey Creek S.D. (Catawissa Area) *	C295524-02	TP Imp, Coll, I	85	225	3,470,000	MO-01154110	4, 5	I, IVA, IVB
Carl Junction *	C295650-01	I/I	100	5,294	614,000	MO-0025186	4	IIIA, IIIB
Cass County Sewer District *	C295672-01	TP, I, Coll	55	65	882,980	New	2, 4	I, IVA, IVB
Cassville (Rehab) *	C295657-02	I/I Rehab	75	3,245	88,550	MO-0042579	4	IIIA, IIIB
Chaffee	C295692-01	TP, Coll Rehab	75	3,044	6,069,968	MO-0025305	5	I, IIIB
Columbia (Sewer Extensions) *	C295647-01	I	75	99,174	11,466,000	MO-0097837	4	IVB
Cuba (Force Main)	C295560-02	I	10	-	1,210,000	MO-0094919	5	IVB

Note: An explanation of the abbreviations and codes appears on page 30.

Applicant	Project #	Description	Priority Points	Service Area Pop.	Eligible Costs	NPDES#	Problem Code	Needs Category
Duquesne	C295447-04	Coll	50	113	744,359	N/A	4	IVA, IVB
Ellington	C295689-01	TP Imp, I/I	65	1,530	3,239,785	MO-0022896	5	I, IIIA
Eminence	C295688-01	I/I, Coll Rehab	100	548	510,000	MO-0055328	4, 5	IIIB
Excelsior Springs *	C295679-01	TP	80	11,556	9,357,000	MO-0028843	5	I
Festus-Crystal City Sewage Commission (I/I) *	C295642-01	TP, I/I	100	15,749	1,607,018	MO-0080632	4, 5	I, IIIA, IIIB
Festus-Crystal City Sewage Commission (Biosolids) *	C295641-01	TP	85	15,749	3,487,418	MO-0080632	5	I
Foristell *	C295579-01	TP,I	30	4,711	1,700,000	MO-0080888 MO-0133264	5	I, IVB
Frontenac *	C295652-01	Stormwater	25	3,483	1,318,171	MOR-040035	4	VI
Gladstone *	C295602-01	I/I	90	26,384	25,000,000	MO-0049531	4, 5	IIIA, IIIB
Gladstone *	C295602-02	Stormwater	10	26,384	13,200,000	MOR-040035	4	VI
Grain Valley *	C295678-01	I	60	630	386,251	N/A	4, 5	IV
Green County *	C295646-01	On-site Training Center	45	280,000	1,227,731	N/A	4	VII
Hawk Point *	C295651-01	TP	20	459	919,562	MO-0028053	5	I
Hermann *	C295680-01	TP, Coll Rehab	115	2,674	4,375,000	MO-0106585 MO-0116009	4, 5	I, IIIA, IIIB
Holts Summit *	C295192-03	TP, PS, I, Coll	30	3,520	4,505,000	MO-0106810 MO-0033910	4, 5	I, II, IVA, IVB
Humansville *	C295587-01	I/I Rehab	60	946	1,679,000	MO-0025739	5	IIIB
Jackson *	C295247-03	TP, I	60	11,947	8,373,000	MO-0022853	5	I, II, IVB
Johnson County PWSD #3 *	C295644-01	TP, I	30	350	1,400,600	MO-0082945 MO-0050784	5	I, IVB
Kansas City WSD (Birmingham PS) *	C295588-03	I, Rehab	40	447,306	521,034	MO-0049531	5	IIIB
Kansas City WSD (Blue River WWTP) *	C295588-06	TP	90	447,306	700,000	MO-0024911	5	I, VII
Kansas City WSD (Brookside Phase III) *	C295588-07	Stormwater, I/I	110	447,306	11,690,849	MO-0024911	4, 5	IIIA, VI
Kansas City WSD (Catch Basin Removal & Replacement) *	C295588-08	Stormwater	75	447,306	1,860,000	N/A	5	VI
Kansas City WSD (Chouteau/Gardner Stormwater) *	C295588-09	Stormwater	75	447,306	24,088,558	MO-0024911	4, 5	VI
Kansas City WSD (East Bannister) *	C295588-11	I	90	447,306	1,274,138	MO-0024911	4	IVB
Kansas City WSD (Second Creek) *	C295588-15	I	40	447,306	30,305,158	MO-0024961	4	IVB
Kansas City WSD (Turkey Creek PS) *	C295588-19	Coll Rehab	110	447,306	15,812,700	MO-0024929	4, 5	IIIB

Note: *An explanation of the abbreviations and codes appears on page 30.*

Applicant	Project #	Description	Priority Points	Service Area Pop.	Eligible Costs	NPDES#	Problem Code	Needs Category
Kansas City WSD (Universal Avenue) *	C295588-20	Stormwater	75	447,306	9,052,000	MO0024911	4, 5	VI
Knob Noster *	C295656-01	TP	55	2,462	338,000	MO-0048712	4,5	I
Lake Ozark	C295646-02	Coll Rehab	100	1,489	2,722,674	N/A	4, 5	IIIB
Leadwood *	C295659-01	TP, I/I	55	1,247	3,319,100	MO-0104256	4,5	I, IIIA
Lee's Summit *	C295591-01	I/I, I	70	92,000	3,364,714	N/A	4,5	IIIA, IIIB, IVB
Lee's Summit *	C295592-01	I/I	70	92,000	26,226,000	N/A	4,5	IIIA
Lee's Summit (Holding Basins) *	C295293-01	I/I	55	92,000	8,931,900	N/A	4,5	IIIA
Lincoln Co. PWSD #1 *	C295567-01	Coll	65	3,020	7,221,900	Multiple	4, 5	IVA, IVB
Lincoln Co. PWSD #1 (Green Acres Subd.) *	C295598-01	TP	80	800	206,000	MO-0099228	4, 5	I
Madison *	C295658-01	I/I	15	586	844,647	MO-0096920	4, 5	IIIA
Miner *	C295556-01	TP, PS Rehab	70	1,056	2,120,000	MO-0095133	4, 5	I, II, IIIB
MSD – Bond Place *	C295683-01	Coll	125	40	111,000	MO-0004391	2, 3, 4	IVA
Niangua *	C295607-01	I/I, Rehab	40	445	524,870	MO-0095109	4, 5	IIIA, IIIB
Odessa *	C295675-01	TP	95	5,100	15,620,000	MO-0026395	4, 5	I, II, IVB
Olympian Village *	C295610-01	TP	10	690	300,000	MO-0101109	5	I
Peculiar *	C295612-01	TP, PS, FM, Coll	45	4,700	13,400,000	MO-0089443	4, 5	I, IVA, IVB
Peculiar *	C295613-02	Stormwater	65	4,700	5,300,000	N/A	4	VI
Peculiar (Rodeo) *	C295613-01	Stormwater	10	800	500,000	N/A	4	VI
Penermon *	C295615-01	TP	25	136	220,100	MO-0091715	4, 5	I
Poplar Bluff	C295671-01	TP	80	17,100	17,015,100	MO-0043648	1, 4, 5	I
Potosi *	C295673-01	I Rehab	45	1,300	62,000	MO-0099732	4, 5	IVB
Princeton	C295691-01	TP Imp	60	1,047	358,000	MO-0028762	4, 5	I, II
Pulaski Co. S.D. No. 1 (Collection System Rehab)	C295676-01	Coll Rehab	30	19,700	2,464,000	N/A	4	IIIA, IIIB
Pulaski Co. S.D. No. 1 (Weeks Hollow WWTP)	C295320-06	TP	95	9,850	7,019,136	MO-0111716	5	I
Raymore (Silver Lake/Lakeshore) *	C295660-01	I/I	35	17,238	206,000	N/A	4, 5	IIIA
Rocky Mount S.D.	***C295623-01***	***Coll***	***70***	***450***	***7,638,500***	***N/A***	***4***	***I, IVA, IVB***
Shelbina (Collection) *	C295655-01	I/I	35	1,943	1,713,041	MO-0041092	4, 5	IIIA
Shelbina (WWTP) *	C295655-02	TP	30	1,943	1,260,720	MO-0041092	4, 5	I
Sikeston *	C295323-02	TP, PS, FM, I&I	80	16,992	15,000,000	MO-0035009	4, 5	I,IIIA,IVB
South Greenfield *	***C205653-01***	***TP***	***55***	***160***	***30,800***	***MO-0129747***	***5***	***I***

Note: An explanation of the abbreviations and codes appears on page 30.

Applicant	Project #	Description	Priority Points	Service Area Pop.	Eligible Costs	NPDES#	Problem Code	Needs Category
St. Clair *	C295663-01	I/I	35	4,390	180,400	MO-0099465	4, 5	IIIA
Sunrise Beach	C295540-01	TP, Coll	105	1,796	6,102,000	Multiple	4	I, II, IVA, IVB
Upper White River Basin Watershed Improvement District (River Downs West) *	C295682-01	TP, I	110	255	798,880	MO-0114464	4, 5	I, IVB
Valley Park (Street Sweeper) *	C295632-01	Stormwater	80	6,518	245,000	MO-R040005	5	VI
Walnut Grove *	C295518-01	TP, Coll, I, Rehab	70	630	1,000,000	MO-0107174	5	I,IIIA,IIIB,IVB
***Washburn **	***C295566-01***	***TP***	***85***	***448***	***1,055,000***	***MO-0109355***	***5***	***I***
Webb City *	C295644-01	I, I/I	105	9,812	1,613,755	MO-0040185	4, 5	IIIA, IIIB, IVB
Wildwood *	C295661-01	Stormwater	15	34,549	595,122	MOR-040035	4	VI
Willard *	C295639-01	I	70	3,193	7,772,000	MO-0103039	4	IVB
Windsor *	C295512-01	TP, Coll, I, PS, FM, Rehab	70	3,087	5,000,000	MO-0047317 MO-0047325	5	IIIB, IVA, IVB
Total Planning List Projects					**$ 396,315,148**			

Abbreviations and Codes

Problem Codes	Needs Codes	Description Reference List
1 - NPDES Permit Violation	I Secondary Treatment	Coll Collection
2 - Unpermitted Discharge	II Advanced Treatment	Det Detention
3 - Water Quality Stds. Violation	IIIA I/I correction	Exp Expansion
4 - Public Health Problems	IIIB Sewer replacement or rehabilitation	FM Force Main
5 - Future NPDES Violation Expected	IVA New Collection	Impr Improvements
	IVB New Interceptors	I Interceptor
	V CSO	I/I Inflow/Infiltration
		Rehab Rehabilitation
	VIIB NPS: Animal	TP Treatment Plant
	VIID NPS: Urban	NPDES National Pollution Discharge Elimination System

Notes:
Final eligible costs will be determined as documents are submitted and the project is closer to financing.
Financing schedule shown is for planning purposes only. Final scheduling will be determined as documents are submitted and approvals obtained.
An * indicates the project is carried over from last years IUP.
Carry over projects from the SFY 2011 list must reapply to be considered for the SFY 2013 list.
Disadvantaged communities are reflected in ***bold italic print***.

State Funded Grant and Loan Programs

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Forty-Percent Construction Grant Program

The Clean Water Commission developed the State Forty Percent Construction Grant Program to provide assistance to those communities who do not qualify for a leveraged loan for the total amount of eligible project costs.

There are no additional funds for the Forty Percent Construction Grant program in state fiscal year 2012.

For more information on the State Forty-Percent Grant Program, contact Ms. Traci Newberry at: (573) 526-0940.

Small Borrower Loan Program

This program is limited to communities under 1,000 population and the loan amount is limited to $100,000. Loans can be secured by a bond issue or can be annually appropriated debt.

This program was established with water pollution control bonds and continues with state direct loan repayments. This small revolving fund is state funded exclusively and is not a part of the State Revolving Fund. The funds can be used for either drinking water or clean water needs.

For SFY 2012 there is a balance of $271,000 available. This balance includes all repayments from clean water and drinking water loans made with state water pollution control bond funds as well as projected interest and repayments through June 30, 2011.

Applications are accepted throughout the year. Uncommitted funds can be accessed at any time. To apply, contact Ms. Traci Newberry at (573) 526-0940.

Once an application is received and reviewed, it will be presented to the Clean Water Commission for their approval.

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List of Fiscal Year 2012 Applicants

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List of Fiscal Year 2012 Applicants

Note: An explanation of the abbreviations and codes appears on page 39.

APPLICANT	APPLICATION DATE	PRIORITY POINTS	SERVICE AREA POP.	FEDERAL PROGRAM
Archie	04/20/2009	70	950	P
Arnold (Telegraph Road)	04/13/2009	125	167	P
Arnold (Upper Tenbrook Rd.)	04/13/2009	125	104	P
Auxvasse	11/12/2010	10	999	P
Bland (Sewer Extension)	05/15/2009	50	565	P
Bland (WWTP)	05/15/2009	50	565	P
Bonne Terre	04/01/2009	40	45	P
Boone County Commission	11/12/2010	30	76	P
Boone County RSD (Highway HH Phase I)	11/12/2010	110	1,095	P
Boone County RSD (Rayfield Subd.)	11/03/2010	125	107	Fund
Boone County RSD (Rocky Fork Cr.)	11/10/2010	95	1,328	P
Boone County RSD (Spring Park Int.)	10/29/2010	95	470	P
Boone County RSD (Sunrise Estates Int.)	11/03/2010	80	544	P
Boone County RSD (Energy Efficiency)	12/30/2010	80	6,360	P
Boone County RSD (Twin Lakes WWTF)	12/30/2010	95	194	P
Brashear	11/9/2009	80	280	D
Buckner	11/15/2010	55	2,900	P
Calvey Creek S.D.	08/31/2010	75	500	P
Calvey Creek S.D. (Catawissa Area)	11/06/2009	85	225	P
Cape Girardeau	11/13/2009	110	36,421	Fund
Carl Junction	05/18/2009	100	5,294	P
Cass County Sewer District	06/22/2009	55	65	P
Cassville (Rehab)	06/05/2009	75	3,245	P
Chaffee	12/08/2010	75	3,044	P
Columbia (North Grindstone Outfall Phase II)	11/12/2010	85	50	Fund-Cont
Columbia (Upper Hinkson Outfall Phase I)	11/12/2010	95	12,672	Fund-Cont
Columbia (Sewer Extensions)	05/11/2009	75	99,174	P
Cuba	11/15/2010	105	3,230	Fund
Cuba (Forcemain)	11/15/2010	10	?	P
Duquesne	11/15/2010	50	113	P
Ellington	11/15/2010	65	1,530	P
Eminence	11/15/2010	100	548	P
Excelsior Springs	10/27/2009	80	11,556	P
Festus-Crystal City Sewage Commission (I/I reduction)	04/16/2009	100	15,749	P
Festus-Crystal City Sewage Commission (Solar Biosolids)	04/16/2009	85	15,749	P
Foristell	02/25/2009	30	4,711	P
Franklin County PWSD#1 (Pottery Road)	11/16/2009	75	989	C-Fund
Frontenac	05/26/2009	25	3,483	P
Gladstone	04/17/2009	90	26,384	P
Gladstone (Stormwater)	04/20/2009	10	26,384	P
Grain Valley	09/08/2009	60	630	P
Greene County	04/17/2009	45	280,000	P
Greenfield	04/17/2009	80	1,358	C-Fund
Hawk Point	05/22/2009	20	459	P
Hermann	11/16/2009	115	2,674	P
Hillsboro	11/12/2010	70	2,255	Fund-Cont
Holts Summit	11/11/2009	30	3,520	P
Humansville	03/16/2009	60	946	P
Huntsville.	01/11/2011	130	2,176	Fund
Jackson	11/14/2008	60	11,947	P
Jefferson City (Cole Jct. & Rt. B)	11/15/2010	120	11,000	Fund
Johnson County PWSD #3	04/27/2009	30	350	P

Note: An explanation of the abbreviations and codes appears on page 39.

APPLICANT	APPLICATION DATE	PRIORITY POINTS	SERVICE AREA POP.	FEDERAL PROGRAM
KC-WSD Birmingham P.S. roof replacement	01/30/2009	40	447,306	P
KC-WSD Blue River WWTP storage building and rain garden	01/30/2009	90	447,306	P
KC-WSD Brookside Phase III	01/30/2009	110	447,306	P
KC-WSD Catch Basin Removal/Replacement	01/30/2009	75	447,306	P
KC-WSD Chouteau/Gardner Stormwater Sewers	01/30/2009	75	447,306	P
KC-WSD East Bannister Rd. Interceptor	01/30/2009	90	447,306	P
KC-WSD Second Creek Interceptor	01/30/2009	40	447,306	P
KC-WSD Second Creek PS & Force Main	01/30/2009	60	447,306	Fund-Cont
KC-WSD Turkey Creek P.S.	01/30/2009	110	447,306	P
KC-WSD Universal Avenue Stormwater Improvements	01/30/2009	75	447,306	P
Knob Noster	05/28/2009	55	2,462	P
Lake Ozark	12/13/2010	100	1,489	P
Leadwood	03/26/2009	55	1,247	P
Lee's Summit	04/06/2009	70	92,000	P
Lee's Summit	04/06/2009	70	92,000	P
Lee's Summit (Holding Basins)	04/06/2009	55	92,000	P
Lincoln Co. PWSD #1	02/27/2009	65	3,020	P
Lincoln Co. PWSD #1 (Green Acres Subd.)	03/17/2009	80	800	P
Little Blue Valley S.D. (Atherton WWTP Phase II)	11/15/2010	5	320,000	Fund-Cont
Louisiana	11/12/2010	75	3,863	Fund-Cont
Madison	05/28/2009	15	586	P
Miner	11/17/2009	70	1,056	P
Missouri Agriculture & Small Business Development	04/23/2010	N/A	N/A	NPS
MSD – Bond Place	07/02/2010	125	40	P
Naylor	03/30/2009	50	610	Cont
New Franklin	04/09/2010	70	1,222	Fund-Cont
Niangua	03/06/2009	40	445	P
Northeast Public Sewer District (Lower Saline Cr.)	09/24/2010	80	4,920	Fund-Cont
Northeast Public Sewer District (Saline Cr.)	10/19/2010	75	16,785	Fund-Cont
Northeast Public Sewer District (Upper Saline Cr.)	10/19/2010	75	7,450	Fund-Cont
Odessa	11/12/2009	95	5,100	P
Olympian Village	04/01/2009	10	690	P
Ozark Clean Water Company	02/17/2009	65	28,658	NPS-GI
Peculiar	03/16/2009	45	4,700	P
Peculiar	03/16/2009	65	4,700	P
Peculiar	03/16/2009	10	800	P
Penermon	03/19/2009	25	136	P
Perry	11/15/2010	70	666	Fund-Cont
Platte City	12/08/2010	85	3,866	Fund-Cont
Poplar Bluff	11/15/2010	80	17,100	P
Potosi	06/15/2009	45	1,300	P
Princeton	11/18/2010	60	1,047	P
Pulaski Co. S.D. No. 1 (Collection System Rehab)	11/12/2010	30	19,700	P
Pulaski Co. S.D. No. 1 (Weeks Hollow WWTP)	11/12/2010	95	9,850	P
Raymore	06/02/2009	35	17,238	P
Rock Creek PSD	04/01/2009	85	40,757	Cont
Rocky Mount S. D.	11/10/2010	70	450	P
Shelbina (Collection)	05/29/2009	35	1,943	P
Shelbina (WWTP)	05/29/2009	30	1,943	P
Sikeston	03/12/2009	80	16,992	P
South Greenfield	05/26/2009	55	160	P

Note: An explanation of the abbreviations and codes appears on page 39.

APPLICANT	APPLICATION DATE	PRIORITY POINTS	SERVICE AREA POP.	FEDERAL PROGRAM
St. Clair	06/08/2009	35	4,390	P
Sunrise Beach	11/15/2010	105	1,796	P
Taney Co. RSD (Regional Biosolids Facility)	11/16/2009	120	68,361	NPS-GI
Upper White River Basin Watershed Improvement District (River Downs West)	06/10/2010	110	255	P
Valley Park	02/23/2009	80	6,518	P
Walnut Grove	11/09/2009	70	630	P
Washburn	04/03/2009	85	448	P
Webb City	04/17/2009	105	9,812	P
Wildwood	06/04/2009	15	34,549	P
Willard	03/11/2009	70	3,193	P
Windsor	11/16/2009	70	3,087	P

ABBREVIATIONS & CODES

C – Carryover	L – Late Application
Cont – Contingency	NPS – Nonpoint Source
D – Disadvantaged Community	P – Planning List
F – Forty Percent Grant	PL – Planning Loan
Fund – Fundable List	SB – Small Borrower
GI – Green Infrastructure	

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Sources and Distribution of Funds Detail

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Sources and Distribution of Funds Detail
Capitalization Grants and Loan Repayments
(As of December 31, 2010)

Estimated Sources of Funds		
FFY 2008 CW SRF Capitalization Grant (federal portion only)	$ 2,352,837	
FFY 2009 CW SRF Capitalization Grant (federal portion only)	$ 18,863,757	
FFY 2010 CW SRF Capitalization Grant (federal portion only)	$ 56,483,000	
FFY 2011 CW SRF Capitalization Grant (not yet awarded, federal portion only)	$ 18,500,000	
Loan Repayment Fund (Balance in Fund 0602 as of 12/31/10)	$ 211,562,890	
Balance of Fund 0649 as of 12/31/10	$ 1,087,971	
Projected Proceeds from Bond Refinancing	$ 611,946	
Estimated CWSRF portion of Fund 0602 Investment Interest (01/01/11 - 06/30/11)	$ 2,049,692	
Estimated CWSRF portion of Fund 0649 Investment Interest (01/01/11 - 06/30/11)	$ 13,020	
Reserve Release (01/01/11 – 12/31/11)	$ 46,222,801	
Direct Loans - Principal and Interest Repayments (01/01/11 - 12/31/11)	$ 7,702,767	
Total Estimated Sources of Funds		$ 365,450,681
Estimated Fund Commitments		
Binding Loan Commitments (Balance of Reserve Payable 12/31/10)	$ 6,088,680	
Base Program Funds Committed for ARRA projects as of 12/31/2010	$ 93,634,621	
Base Program Funds Committed for Direct Loans as of 12/31/2010	$ 42,315,148	
4% Administrative Expenses from FFY 2009 Capitalization Grant	$ 754,550	
4% Administrative Expenses from FFY 2010 Capitalization Grant	$ 2,259,320	
4% Administrative Expenses from FFY 2011 Capitalization Grant	$ 740,000	
Independent Audit	$ 100,000	
Match Bond Debt Service (2002 A)		
Remaining Principal Due as of 12/31/10	$ 11,282,500	
Interest Due Through 10/31/2011	$ 518,800	
Additional Match Bond Debt Service		
Due through SFY 2012	$ 8,217,782	
Total Estimated Fund Commitments		$ (165,911,401)
Estimated Amount of Available Funds for Future Loans		$ 199,539,280
Anticipated Direct Loans during SFY 2011		
Joplin – Closed 1/26/11	$ 26,000,000	
Wentzville (Phase II) – Closed 3/14/11	$ 21,046,361	
Little Blue Valley S.D. (Middle Big Creek Phase I) – Closed 3/16/11	$ 37,854,600	
Macon – Closed 3/17/11	$ 1,300,000	
Waynesville – Closed 3/21/11	$ 4,750,000	
Loans Expected to Close by 6/30/11		
Boone County Regional Sewer District (University Estates & Arrowhead Lake)	$ 489,221	
Cuba	$ 2,600,000	
Stockton	$ 1,350,000	
MSD (Missouri River WWTP) C295564-02	$ 34,769,712	
Taos	$ 3,836,688	$ (133,996,582)
NPS Direct Loans	$ 5,000,000	
FFY 2010 Anticipated Grants	$ 8,459,361	
Disadvantaged Community Loans	$ 1,486,454	$ (14,945,815)
Estimated Amount of Available Funds		$ 50,596,883

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SOURCE AND DISTRIBUTION OF FUNDS LOAN ADMINISTRATION FEES Fund 0568 As of December 31, 2010			
Income	Program Income Earned During Grant Period	Program Income Earned After Grant Period	Non-Program Income
Beginning Balance as of 07/01/10	$ 1,082,293	$ 13,323,907	$ 6,575,192
FY11 Income (thru 12/31/10)	$ 3,283	$ 1,510,425	$ 730,438
FY11 Interest Earnings (thru 12/31/10)	$ 4,008	$ 56,004	$ 27,176
Subtotal	$ 1,089,584	$ 14,890,336	$ 7,332,806
Expenses thru 12/31/10			
FY11 Personnel Services	$ (948)	$ -	$ (180,971)
FY11 Fringe	$ (471)	$ -	$ (84,331)
FY11 Expenses	$ (125,515)	$ -	$ (161,800)
FY11 DNR Transfers	$ (17,332)	$ -	$ (47,110)
FY11 ITSD Transfers	$ (8,403)	$ -	$ (31,299)
FY11 HB 13 Transfers	$ (8,573)	$ -	$ (26,718)
FY11 State Owned Expenditures	$ -	$ -	$ (11,397)
Subtotal	$ (161,242)	$ -	$ (543,626)
Income Less Expenses	$ 928,343	$ 14,890,336	$ 6,789,179
Estimated Income			
FY11 Income (01/01/11 - 06/30/11)	$ 70,738	$ 1,522,062	$ 1,055,234
FY11 Interest Income (01/01/11 - 06/30/11)	$ 7,923	$ 79,171	$ 42,443
FY12 Income (07/01/11 - 06/30/12)	$ 106,108	$ 2,283,092	$ 1,582,851
FY12 Interest Income (07/01/11 - 06/30/12)	$ 11,885	$ 118,757	$ 63,664
Subtotal	$ 196,654	$ 4,003,082	$ 2,744,193
Estimated Expenditures			
FY11 Personnel Services	$ -	$ (1,113,338)	$ -
FY11 Fringe	$ -	$ (557,337)	$ -
FY11 Indirect	$ -	$ (433,206)	$ -
FY11 ITSD Direct Costs	$ -	$ (825,500)	$ -
FY12 Personal Services	$ -	$ (2,280,807)	$ -
FY12 Fringe	$ -	$ (1,210,884)	$ -
FY12 Indirect	$ -	$ (1,077,185)	$ -
FY12 ITSD Direct Costs	$ -	$ (1,051,000)	$ -
FY12 Abatement of Water Quality Emergencies	$ -	$ (1,000,000)	$ -
FY12 Board Training & Operator Certification	$ -	$ (250,000)	$ -
FY12 40% Construction Grants	$ -	$ (1,500,000)	$ -
FY12 Fixed Station Ambient Network Contract	$ -	$ (336,293)	$ -
FY12 Environmental Water Quality Studies	$ -	$ (150,000)	$ -
FY12 Small Community Technical Assistance Prog	$ -	$ (500,000)	$ -
FY12 State Parks Wastewater Infrastructure	$ -	$ (750,000)	$ -
Subtotal	$ -	$ (13,035,550)	$ -
Total Actual and Estimated	$ 1,124,997	$ 5,857,868	$ 9,533,371

NOTE: The distribution of loan administration fees to various department activities is subject to change throughout the state fiscal year. Actual fund uses will be shown in detail in the SFY 2012 Clean Water State Revolving Fund Annual Report.

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Program Application Forms and Instructions

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MISSOURI DEPARTMENT OF NATURAL RESOURCES
WATER PROTECTION PROGRAM, FINANCIAL ASSISTANCE CENTER

CLEAN WATER STATE REVOLVING FUND LOAN APPLICATION

Submit to: P.O. Box 176, Jefferson City, MO 65102-0176
ATTN: Financial Assistance Center

This application is for a Clean Water State Revolving Fund Loan described in 10 CSR 20-4.040

FOR OFFICE USE ONLY
DATE RECEIVED
PROJECT NUMBER
PRIORITY POINTS

APPLICANT INFORMATION

1. NAME OF APPLICANT	DUNS NUMBER

☐ Incorporated Municipality ☐ Public Water/Sewer District ☐ Other:

APPLICANT TELEPHONE NUMBER WITH AREA CODE - - Ext.	APPLICANT FAX NUMBER WITH AREA CODE - -

APPLICANT MAILING ADDRESS

CITY	STATE	ZIP CODE + FOUR -	COUNTY

AUTHORIZED REPRESENTATIVE NAME	AUTHORIZED REPRESENTATIVE TITLE

2. NAME OF PERSON TO CONTACT ABOUT THIS APPLICATION	TELEPHONE NUMBER WITH AREA CODE - - Ext.

3. CONSULTING ENGINEER

CONSULTANT MAILING ADDRESS

CITY	STATE	ZIP CODE + FOUR -

CONSULTANT TELEPHONE NUMBER WITH AREA CODE - - Ext.	CONSULTANT FAX NUMBER WITH AREA CODE - -

4. POPULATION (CURRENT CENSUS)	POPULATION OF AREA TO BE SERVED

5. STATE SENATE DISTRICT NUMBER(S)	STATE REPRESENTATIVE DISTRICT NUMBER(S)

6. PROPOSED PROJECT INFORMATION

☐ **Point Source Project**	☐ **Non-Point Source Project**	
☐ **Green Project Components** (See Instructions)	Decentralized/Cluster Wastewater System	☐
	On-Site System Rehabilitation/Replacement	☐
	Other Non-Point Source Project	☐

Project Description. Include Green Project Components, if applicable (Attach Engineering Report):

PERMIT INFORMATION Factor A at 10 CSR 20-4.010 (1)(A)1

7. List National Pollutant Discharge Elimination System, or NPDES, Permit Number(s) of Water or Wastewater facilities affected by this project:

8. List Non-Permitted facilities to be eliminated by this project (attach list if necessary):

Name	Population Served	Type and Condition of Facility

MO 780-1951 (05/11)

PROJECT COST INFORMATION

9. Cost Estimate Dated: / /		**10. Cost Breakdown for Designated Categories**		
Engineering Planning and Design	$	I.	Secondary Treatment	$
Engineering (Construction Phase)	$	II.	Advanced Treatment	$
Engineering Inspection	$	IIIA.	Inflow/Infiltration Correction	$
Land and Easements*	$	IIIB.	Sewer Rehabilitation	$
Construction	$	IVA.	Collection Sewers	$
Equipment	$	IVB.	Interceptor Sewers	$
SRF Closing Costs (estimate 3 percent)	$	V.	Combined Sewer Overflow Correction	$
Other Costs (specify)	$	VI.	Storm Water	$
Contingencies	$	VII.	Non-Point Source	$
Total Project Costs	$0		**Total Project Costs**	$0
Funding From Other Sources	$			
Funding Request (this application only)	$			

* These costs are generally not eligible for CWSRF funding.

11. DEBT INSTRUMENT

A. Bonds	**B. Capital Improvements Sales Tax**
Date of Bond Election / /	Date of Election / /
Type of Bond	Dedicated? ☐ Yes ☐ No
Amount of Bond $	Sunset Provision? ☐ Yes ☐ No

C. Other (specify):

12. APPLICANT FINANCIAL INFORMATION Factor C at 10 CSR 20-4.010(1)(A)3

A. Median Household Income (from census)	
B Current monthly sewer use rate (for 5,000 gallons)	Proposed sewer rate (for 5,000 gallons)
C Sewer revenues for most recent year ended	Most recent year's date of data used / /
D. Sewer operating expenditures for most recent year	

13. BOARD TRAINING Factor C at 10 CSR 20-4.010(1)(A)3

List any board training(s) related to wastewater utility management that current board members have attended in the last three years:

MO 780-1951 (05/11)

14. WATERSHED INFORMATION Factors A at 10 CSR 20-4.010 (1)(A)1 and Factor E at 10 CSR 20-4.010 (1)(A)5

WATER BODY AFFECTED BY PROPOSED PROJECT	☐ Check if this is the receiving water body ☐ Check if the body is classified ☐ If affected water body is not classified, provide the nearest downstream water body

Is proposed project identified in a multi-jurisdictional area watershed plan? ☐ Yes ☐ No If yes, provide a copy of the plan.

Does the proposed project serve more than one community? ☐ Yes ☐ No If yes, identify communities:

Does the proposed project eliminate the need for multiple wastewater treatment facilities? ☐ Yes ☐ No

Does the proposed project address groundwater pollution? ☐ Yes ☐ No

GROUNDWATER IS USED FOR:

OTHER PROBLEMS ADDRESSED:

15. PROJECT TYPE (CHECK ALL THAT APPLY) Factor B at 10 CSR 20-4.010 (1)(A)2

☐ Combined sewer overflow/sanitary sewer overflow Number of overflows per year: _____

☐ Wastewater Treatment Facility (specify) Has antidegradation report been submitted? ☐ Yes ☐ No ☐ N/A

- ☐ New facility
- ☐ Increase capacity/increase level of treatment
- ☐ Rehabilitation/process improvement

☐ Failing or failed on-site wastewater disposal system Percentage of systems failing: _____ %

- ☐ On-site system replacement/rehabilitation
- ☐ Construction of a decentralized wastewater system
- ☐ New collection system

☐ Collection system rehabilitation primarily to address inflow/infiltration

☐ New collection system

☐ Upgrade or expansion of existing collection system

☐ Storm water detention

☐ Agricultural Best Management Practice

☐ Landfill capping, leachate collection, side slope seepage prevention and control system, and monitoring wells

The project addresses groundwater pollution by: Factors E at 10 CSR 20-4.010 (1)(A)5

- ☐ Addressing problems caused by petroleum storage tanks
- ☐ Addressing problems caused by a hazardous waste site participating in the department's Voluntary Cleanup Program
- ☐ Addressing water quality problems caused by inadequate landfill leachate collection systems

The project considers aquatic/riparian habitat by: Factor F at 10 CSR 20-4.010(1)(A)6

- ☐ Including measures to restore aquatic/riparian habitat and/or to prevent aquatic/riparian degradation

16. PROJECT SCHEDULE (READINESS TO PROCEED) Factor C at 10 CSR 20-4.010(1)(A)3	
Milestone	**Anticipated Date**
A. Antidegradation report submitted (for any new, expanded or upgraded wastewater treatment plant)	/ /
B. Engineering Report and Facility Plan complete	/ /
C. All other funding is secured (if necessary, bonds are voted)	/ /
D. Engineering Plans and Specifications complete	/ /
E. Construction start date	/ /
F. Mandatory completion date (attach copy of compliance schedule)	/ /

17. THE FOLLOWING INFORMATION IS REQUIRED BY 10 CSR 20-4.040(8) AND MUST BE INCLUDED WITH THIS APPLICATION FORM:

- ☐ A project summary that includes the need for the project :
  - ☐ The project components including maps or drawings showing the project location
  - ☐ A cost estimate including a cost breakdown
- ☐ The most recent financial statement
- ☐ Proposed project schedule including:
  - ☐ Construction start date defined as the date of notice to proceed
  - ☐ Construction completion
  - ☐ Initiation of operation
  - ☐ Project completion

18. SUPPLEMENTAL INFORMATION – DOCUMENTATION MUST BE ATTACHED Factor C at 10 CSR 20-4.010(1)(A)3

- ☐ User charge system budgets showing revenues and expenses for the past five years.
- ☐ Documentation showing that an inflow/infiltration reduction program has been in place for the fast five years.
- ☐ Water or Energy Conservation Plan
- ☐ Proposed project is specifically identified in the applicant's master wastewater or capital improvement plan. (Master wastewater or capital improvement plan should be for a period of five or more years).
- ☐ Documentation indicating the percentage of failed on-site wastewater disposal systems to be replaced or rehabilitated.

CERTIFICATION:

The undersigned representative certifies that the information submitted in this application is true and correct to the best of his/her knowledge and that he/she is authorized to sign and submit this application. The applicant agrees, if a loan is awarded on the basis of this application, to comply with all applicable terms, conditions and procedures of the Department of Natural Resources, the applicable rules and regulations of the Missouri Clean Water Commission and the terms and conditions of the loan agreement. **Incomplete applications will be returned.**

SIGNATURE OF AUTHORIZED REPRESENTATIVE	DATE / /
NAME AND OFFICIAL TITLE (TYPE OR PRINT)	TELEPHONE NUMBER WITH AREA CODE - - Ext.

PREPARER'S NAME AND SIGNATURE (IF APPLICABLE)

SIGNATURE OF PREPARER	DATE / /
NAME AND TITLE (PRINT OR TYPE)	TELEPHONE NUMBER WITH AREA CODE - - Ext.

MO 780-1951 (05/11)

Missouri Department of Natural Resources

Clean Water State Revolving Fund Loan Application Instructions for Form 780-1951

Water Protection Program fact sheet 4/2011

Note: Any funding assistance is subject to all State Revolving Fund requirements. Potential applicants should contact the Financial Assistance Center prior to completing and submitting an application. Contact the Financial Assistance Center at 573-751-1192 or toll free at 800-361-4827.

1. Print or type the applicant information. Include a street address if available. The applicant is the entity that will receive the loan funds if awarded. Prior to receiving a loan, the entity must have a DUNS (Data Universal Numbering System) number. The DUNS number is a nine digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at http://fedgov.dnb.com/webform). The authorized representative is the person designated by the applicant to sign official documents and to speak for the applicant on project related matters.
2. This contact noted on the application should be knowledgeable about the application and able to be contacted during business hours.
3. Include the engineering firm name and the professional engineer working on this project.
4. Show the population of the entire service area. The "population to be served" will be different from the census population if the project is to sewer, or construct improvements in, a portion of the municipality or district.
5. Provide the state senate and state representative district number(s) for the project area.
6. Point source projects include those projects that directly or indirectly impact a National Pollutant Discharge Elimination System, or NPDES, permitted facility. In addition, a proposed project that will ultimately result in the issuance of an NPDES permit is to be considered a point source project. A non-point source project is one that does not fit the point source project description, e.g., a project to rehabilitate or replace on-site wastewater systems, the construction of a decentralized (cluster) wastewater system, or riparian corridor restoration. Provide a brief project description. Green Project Components may include the following:
   - Management of stormwater runoff at the local level through the use of natural systems, or engineered systems that mimic natural systems, to treat polluted runoff.
   - Water or energy efficiency improvements.
   - Environmentally innovative activities.
7. List the wastewater discharge permit numbers of all facilities affected by the proposed project.

8. List the non-permitted facilities to be eliminated by the proposed project.
9. Supply the cost estimates for the project. Land acquisition and easements are not eligible unless they are integral to the wastewater treatment process (land application). Call for additional guidance if land acquisition is related to a project to address non-point source pollution.
10. Provide a cost breakdown by category of need.
11. 11A and 11B. Provide information on existing or proposed ballot issues. If a bond or tax issue has already been voted, provide a copy of the ballot language and certified election results.

    11C. List other types of debt instruments and funding sources such as Neighborhood Improvement District, or NID, U.S. Department of Agriculture-Rural Development, Community Development Block Grants, etc. Supporting documentation should be attached to the application.
12. The financial information will be used to determine the applicant's financial capability to carry out the proposed project.

    12A. The median household income is based on the most recent census.

    12B. Fill in the current rate for 5,000 gallons. Use the proposed rate if the project area is currently unsewered.

    12C. Show the total revenues for the most recent year. Show when the accounting year ended if the fiscal year used is not the calendar year. If this is a new system, write in "new system".

    12D. Show the total expenditures for the sewer system for the same time period shown in 12C.
13. List any board trainings related to wastewater management that your board members have attended in the last three years.
14. Provide as much information as possible related to the watershed the project is located in, and the problems to be addressed by the project. This information will be used in determining the project priority in relation to other applications for funding.
15. Check the boxes that apply to the proposed project.
16. Provide the anticipated dates for the milestones listed. Put N/A in the space if the milestone isn't applicable to the project.
17. Information required by 10 CSR 20-4.040(8) must be submitted before the application will be prioritized.

This additional information, if provided, may allow for additional priority points. The applicant may submit other project related information that applicant feels should be submitted with the application.

Incomplete Applications will be Returned

Sign the application; attach any additional information that will enable the department to prioritize your wastewater needs.

- If you are using funds from U.S. Department of Agriculture-Rural Development or Department of Economic Development, Community Development Block Grant Program, be certain that you have included this information.
- Make a copy of the completed application for you records.
- Electronically transmitted applications will not be accepted.
- Mail the Completed Application to:
  Missouri Department of Natural Resources, Water Protection Program,
  Financial Assistance Center, P.O. Box 176, Jefferson City, MO 65102-0176.

For More Information

Missouri Department of Natural Resources
Water Protection Program, Financial Assistance Center
P.O. Box 176
Jefferson City, MO 65102-0176
800-361-4827or 573-751-1192
FAX: 573-751-9396
www.dnr.mo.gov/env/wpp/srf/index.html

MISSOURI DEPARTMENT OF NATURAL RESOURCES
WATER PROTECTION PROGRAM, WATER POLLUTION CONTROL BRANCH

WATER QUALITY REVIEW ASSISTANCE/ANTIDEGRADATION REVIEW REQUEST

PRE-CONSTRUCTION REVIEW FOR PROTECTION OF BENEFICIAL USES AND DEVELOPING EFFLUENT LIMITS

TYPE OF PROJECT

☐ Grant ☐ SRF Loan ☐ All Other Projects

REQUESTER	TELEPHONE NUMBER WITH AREA CODE
PERMITTEE	TELEPHONE NUMBER WITH AREA CODE

REASON FOR REQUEST

☐ New Discharge (See Instruction #9) ☐ Upgrade (No expansion) (See AIP) ☐ Expansion

DESCRIPTION OF PROPOSED ACTIVITY:

FACILITY INFORMATION

FACILITY NAME	MSOP NUMBER (IF APPLICABLE)
COUNTY	SIC / NAICS CODE

METHOD OF BACTERIA COMPLIANCE

☐ Chlorine Disinfection ☐ Ultraviolet Disinfection ☐ Ozone ☐ Not Applicable

WATER QUALITY ISSUES

Water quality issues include: effluent limit compliance issues, notice (s) of violation, water body beneficial uses not attained or supported, etc.

OUTFALL	LOCATION (LAT/LONG OR LEGAL DESCRIPTION)	MAPPED[1] (CHECK)	RECEIVING WATER BODY[2]
		☐	
		☐	
		☐	

[1] Attach topographic map (See www.dnr.mo.gov/internetmapviewer/) with outfall location(s) clearly marked. For additional outfalls, attach a separate form.

[2] See general instructions for discharges to streams.

OUTFALL	NEW DESIGN FLOW ** (MGD)	TREATMENT TYPE	EFFLUENT TYPES*

* Describe predominating character of effluent. Example: domestic wastewater, municipal wastewater, industrial wastewater, storm water, mining leachate, etc.

** If expansion, indicate new design flow.

☐ Checked for rare or endangered species and provided determination with this request. See Instruction #8.

ANTIDEGRADATION REVIEW SUBMISSION:

See attached Antidegradation instructions. Applicant supplied a summary within:

☐ Tier Determination and Effluent Limit Summary
☐ Attachment A – Significant Degradation
☐ Attachment B – Minimal Degradation
☐ Attachment C – Temporary degradation
☐ Attachment D – Tier 1 Review
☐ No Degradation Evaluation – Conclusion of Antidegradation Review

MO 780-1893 (03-09)

See general instructions. Additional information may be needed to complete your request. Your request may be returned if items are missing. Revised submittal will be considered a new submittal.

SIGNATURE	DATE

PRINT NAME

E-MAIL ADDRESS

Submit request to:

Missouri Department of Natural Resources
Water Protection Program
Attn: Permits and Engineering Section
P.O. Box 176
Jefferson City, MO 65102-0176
Phone: 573-751-1300
Fax: 573-522-9920

The water quality review assistance is a process to determine effluent limits for new facilities or existing facilities seeking to increase loading into the receiving stream. Limits can be calculated by the permittee and submitted for review the department.

GENERAL INSTRUCTIONS

1. Please attach:
   A. A list of pollutants expected to be discharged.
   B. The location of each outfall clearly shown on map(s). A U.S. Geological Survey topographic map is available at www.dnr.mo.gov/internetmapviewer/.
2. Discharge(s) to all gaining streams: Applicant must submit dissolved oxygen analysis (i.e., using Missouri Department of Natural Resources approved models such as Streeter Phelps (www.ecy.wa.gov/programs/eap/pwspread/pwspread.html) or Qual2K/Qual2E (Q2K/Q2E) stream water quality study (www.epa.gov/athens/wwqtsc/index.html)) indicating that the preferred alternative's BOD_5 effluent limitations from the alternative analysis or the technology-based/regulatory BOD_5 effluent limits are protective of Missouri's water quality standard for dissolved oxygen. **Note:** If Q2K/Q2E is used, wasteload allocation for ammonia must be assumed. All Q2K/Q2E studies must have department approved Quality Assurance Project Plans. Recommended modeling procedures from the department (may differ with discharge) for this analysis are available upon request.
3. Discharge(s) to unclassified gaining stream: Applicant may provide the time of travel to the confluence with the classified stream segment for modeling pollutant decay (See *Total Ammonia Nitrogen Criteria Implementation Guidance Policy* at www.dnr.mo.gov/env/wpp/permits/antideg-implementation.htm). Otherwise, the applicant may determine limits based on no decay of discharge pollutants, which typically results in lower permit limits. Please use the TR-55 method (*Natural Resource Conservation Service, Urban Hydrology for Small Watersheds, Technical Release No. 55, June 1986*) for time of travel determination (http://directives.sc.egov.usda.gov/22162.wba). Please include a map, schematic or description of flow segments with your calculations. A worksheet with instructions is available upon request.
4. For all discharges, the chronic water quality criteria point of compliance is the classified stream or the confluence with the classified stream. No mixing is allowed for streams with seven-day Q10 low flow less than 0.1 cfs (10 CSR 20-7.031(4)(A)B(I)), while mixing is allowed for streams with seven-day Q10 low flow greater than 0.1 cfs (10 CSR 20-7.031(4) (A)B(II)).
5. For industrial facilities, a list of all chemicals, compounds, elements, etc. found in the discharge must be submitted with the request. Proprietary names of chemicals are not sufficient, as these chemicals may contain several pollutants for which the department must evaluate separate effluent limits. A pre-construction review meeting is highly recommended.
6. Do not submit water quality review assistance requests for renewals. All water quality-based effluent limits will be determined during the renewal process.
7. 10 CSR 20-7.015(8)(B)3. allows alternative limitations (i.e., lagoon or trickling filters) if a water quality impact study is conducted. This impact study should indicate that equivalent to secondary treatment for lagoons or trickling filters are protective of Missouri Water Quality standards for dissolved oxygen and ammonia.
8. Applicant must check for rare and endangered aquatic species that may be affected by the discharge at http://mdcgis.mdc.mo.gov/heritage/newheritage/heritage.htm.
9. Additional requirements for new facilities:
   A. Division of Geology and Land Survey Geohydrologic Evaluations must be submitted with the request.
   B. Coordinates of outfall (s) in lat/long or in the public land survey system must be provided.
   C. Please submit a letter with project timeframe.

Note: Lack of response for additional informational within a reasonable timeframe will result in return of request.

MO 780-1893 (03-09)

ANTIDEGRADATION INSTRUCTIONS:

For more detailed instructions, the applicant should refer to *Missouri's Antidegradation Rule and Implementation Procedure*, which is available at www.dnr.mo.gov/env/wpp/permits/antideg-implementation.htm. All **waters of the state** (except groundwater) are subject to the Antidegradation Implementation Procedure. All applicants must submit determination of assigned tier(s) of protection to water quality for all waters of the state on a pollutant-by-pollutant basis. The applicant should consult Antidegradation Implementation Procedure, Section 1.B. for the process of assigning Tier Protection Levels. Both Tier 1 and 2 reviews are conducted on a pollutant-by-pollutant basis. Outstanding national and state water resources listed on Table D and E in the Water Quality Standards at 10 CSR 20-7.031 automatically are assigned Tier 3 reviews that are conducted on a water body-by-water body basis.

As an overview, Antidegradation Implementation Procedure requires the new or expanded discharge either:
1. Demonstrate that the loading is below allowed facility assimilative capacity and segment assimilative capacity.
2. Demonstrate that loading will be maintained or decreased.
3. Demonstrate degradation or assume degradation with alternative analysis and SEI evaluation.

For minimally degrading activities as defined in Antidegradation Implementation Procedure, no alternative analysis or socio-economic importance demonstration is required. If the activity is degrading or assumed to be degrading, then in order to complete the Administrative Record of Decision the applicant must submit both:

1. An alternative analysis that demonstrates the non-degrading and minimally degrading discharging options are either impracticable, non-cost efficient, or unaffordable.
2. An evaluation of socio-economic importance of the proposed degrading discharging activity for social and economic development of the community. Applicants must summarize the review using the attached summary sheets (See below).

Tier 1 Reviews: Pollutants of concern that qualify for Tier 1 Reviews may be discharged in accordance with Water Quality Standards without performing the alternative analysis or socio-economic importance demonstration. However, for a Pollutant of Concern with Tier 1 designation, the applicant must provide existing receiving water quality data[1], or an appropriate water quality model[1], or department Section 303(d) listings (facilities with water bodies having 305(b) listed Pollutants of Concern should contact the department). Appendix 2 of the Antidegradation Implementation Procedure demonstrates the statistical process (90 percentile value is significantly more than 95 percent of the Water Quality Standards for the Pollutant of Concern) that applicants must use to designate Pollutant of Concern as Tier 1 (below, at or near Water Quality Standard), if Pollutant of Concern is not department Section 303(d) listed for that water body. Finally, for Tier 1 Pollutants of Concern the total maximum daily load process must be followed to maintain or improve water quality. The applicant must demonstrate that discharge will not violate the water quality criterion for that pollutant (see Attachment D). For a list of activities that are considered not to result in significant degradation, see Antidegradation Implementation Procedure, Section II.A.

Tier 2 Reviews: By default, and in the absence of existing water quality data, all **waters of the state** must have a Tier 2 review before an application for a permit to discharge is filed. If an applicant is assuming all POCs cause degradation, alternative analysis and socio – economic demonstration is required. Worksheets for evaluating alternative to discharge (see Antidegradation Implementation Procedure, Section II.B) and socio-economic importance to the community (See Antidegradation Implementation Procedure, Section II.E), as provided in 10 CSR 20-7.031, must be provided for review (see Attachment A). For Pollutant of Concern with Tier 2 designation, applicant must provide basis for determination by providing existing water quality[3] or an appropriate water quality model[1]. The applicant must consider the current existing water quality value in the administrative record from previous sampling events (see Antidegradation Implementation Procedure, Water Quality Assessment Procedures). If degradation is minimal or temporary, no alternative analysis and socio-economic demonstration (Tier 2 Review is not required) is required but applicant must provide basis for minimal determination. Degradation is considered minimal if the proposed new or expanded loading is less than 10 percent of the facility assimilative capacity and the cumulative degradation is less than 20 percent of the segment assimilative capacity as a result of all discharges combined. Minimal degradation as defined by Antidegradation Implementation Procedure must be supported by summary worksheet in Attachment B for facility assimilative capacity or segment assimilative capacity demonstrating assimilative capacity of Pollutant of Concern.

Tier 3 Reviews: Tier 3 water bodies shall receive no degradation of water quality. If hydrologic connection to Tier 3 water bodies has been or is demonstrated, then the applicant must demonstrate that water quality in the Tier 3 segment will not be lowered. Applicants in watersheds with significant losing segments should contact the department's Division of Geology and Land Survey for a Geohydrological Evaluation and available dye tracings information. Temporary degradation of water receiving with Tier 3 protection may be allowed by the department on a case-by-case basis as explain in Section II.A of Antidegradation Implementation Procedure document. Applicant must provide information stated below for evaluation of temporary degradation (see Attachment C).

[3] A Quality Assurance Project Plan, or QAPP, must be provided to the department's Water Protection Program for review well in advance (i.e., at least six months) of the proposed data collection activity and well before submittal of the Antidegradation Review. A pre-applicant conference is highly recommended. **Important:** Applicant must follow the U.S. Environmental Protection Agency's Quality Assurance Project planning document, which is available at www.epa.gov/QUALITY/qs-docs/r5-final.pdf.

ANTIDEGRADATION INSTRUCTIONS: (CONTINUED)

Temporary degradation is defined in the Antidegradation Implementation Procedure on pages 8 and 23. If degradation is temporary, describe the nature of the temporary impact by providing:

1. Length of time during which water quality will be lowered.
2. Percent change in ambient conditions.
3. Parameters affected.
4. Likelihood for long-term water quality benefits to the segment.
5 Degree to which achieving the applicable water quality standards during the proposed activity maybe at risk.
6. Potential for any residual long-term influences on existing uses.

Summary Documentation: Please attach the entire antidegradation review report. In addition, the department requests antidegradation review summaries of the major findings for each analysis. Attached to this request form are outlines of the requested information:

Tier Determination and Effluent Limit Summary (*required for all submittals*) – Summary of the tier determination, list of pollutants of concern, existing water quality, and summary of effluent limitation.

Attachment A – Significant degradation requires an alternative analysis, preferred alternative outline, social and economic importance of discharge, and if necessary, facility and segment assimilative capacity.

Attachment B – Minimal degradation requires a summary of facility and segment assimilative capacity. Tier determination analysis must be submitted with this review.

Attachment C – Temporary degradation requires description of nature of the impact.

Attachment D – Tier I Review requires determination of Tier I and may require facility assimilative capacity and segment assimilative capacity for discharge water body or downstream water body segment.

No Degradation Evaluation – Conclusion of Antidegradation Review – Do not submit water quality review assistance request. **Note:** During consultation with Water Protection Staff under the "Other" option of no degradation, a Water Quality Review Assistance Request may be required.

MO 780-1893 (03-09)

MISSOURI DEPARTMENT OF NATURAL RESOURCES
WATER PROTECTION PROGRAM

FACILITIES PLAN SUBMITTAL CHECKLIST
Clean Water State Revolving Fund

Submit to: P.O. Box 176, Jefferson City, MO 65102-0176
Attn: Financial Assistance Center

FOR OFFICE USE ONLY
DATE RECEIVED

This form must be submitted with the Facility Plan

1.0 APPLICANT INFORMATION

1. NAME OF APPLICANT

APPLICANT MAILING ADDRESS

CITY	STATE	ZIP CODE + FOUR	COUNTY

APPLICANT TELEPHONE NUMBER WITH AREA CODE Ext.	APPLICANT FAX NUMBER WITH AREA CODE

NAME OF PERSON TO CONTACT ABOUT THIS APPLICATION

CONTACT PERSON'S TITLE	CONTACT PERSON'S TELEPHONE NUMBER WITH AREA CODE Ext.

CONSULTING ENGINEER

CONSULTANT MAILING ADDRESS

CITY	STATE	ZIP CODE + FOUR

CONSULTANT TELEPHONE NUMBER WITH AREA CODE Ext.	CONSULTANT FAX NUMBER WITH AREA CODE

2.0 CONTINUING AUTHORITY

AUTHORIZED REPRESENTATIVE NAME

AUTHORIZED REPRESENTATIVE TITLE	AUTHORIZED REPRESENTATIVE TELEPHONE NUMBER WITH AREA CODE Ext.

3.0 PROJECT INFORMATION

PROJECT NAME

☐ SRF Project No.	☐ DED/CDBG No.
☐ SG Project No.	☐ Other Funding Sources:
☐ EPA Grant No.	☐ Applicant funded:
☐ USDA/RD	

4.0 FACILITIES PLAN INFORMATION (CHECK THE BOXES OF THE ENCLOSED ITEMS)

- ☐ Copy of antidegradation review report and preliminary determination, if applicable
- ☐ Copy of Draft Effluent Limits review letter provided by the Missouri Department of Natural Resources Water Protection Program, Permits Section
- ☐ Evaluation of existing Waste Water Treatment Facility
- ☐ Appropriate design period used
- ☐ Hydraulic and organic projected loadings
- ☐ Inflow/Infiltration analysis and evaluation
- ☐ Alternative evaluation with economic analysis
- ☐ General project design criteria
- ☐ Location of treatment facility on a map with legal description
- ☐ Current and estimated future user charge
- ☐ Signed, sealed and dated by a registered Professional Engineer of Missouri

MO 780-2041 (03-09)

CLEARANCE LETTERS

- ☐ Army Corps of Engineers
- ☐ Department of Natural Resources, Historic Preservation
- ☐ Department of Conservation
- ☐ United States Fish and Wildlife
- ☐ Department of Natural Resources, Division of Geology and Land Survey (lagoon collapse potential and receiving stream determination)
- ☐ A-95 Clearing House
- ☐ Division of State Parks (If infringes on federally funded parks)

PUBLIC PARTICIPATION in accordance with 10 CSR 20-4.040 (14) and 10 CSR 20-4.050 (2)(B)2

- ☐ Facility Plan
- ☐ User Charge
- ☐ Environmental Effects

Note: **Review will not be initiated until items 1.0 through 4.0 are submitted. Issuance of an environmental review and final approval of the Facility Plan can not be given until all items have been submitted. Attach a schedule for submittal of any remaining information or documents.**

SIGNATURE

SIGNATURE OF AUTHORIZED REPRESENTATIVE	DATE
NAME AND OFFICIAL TITLE (TYPE OR PRINT)	TELEPHONE NUMBER WITH AREA CODE Ext.

PREPARER'S NAME AND SIGNATURE (IF APPLICABLE)

SIGNATURE OF PREPARER	DATE
NAME AND TITLE (TYPE OR PRINT)	TELEPHONE NUMBER WITH AREA CODE Ext.

MO 780-2041 (03-09)

Missouri Department of Natural Resources
Water Protection Program
Financial Assistance Center

Facility Plan/Environmental Information Document Guidance for Clean Water State Revolving Fund (SRF) Funded Projects

Engineering Reports or Facility Plans are required for State Revolving Fund (SRF) Projects. The following guidance has been prepared for engineering consultants to provide a comprehensive list of the department's recommendations and requirements for state and federally funded projects. The following should be considered as suggested guidance, except where reference has been made to the regulations, which may include **10 CSR 20-4, 6, 7 and 8**.

This document addresses the planning, engineering and environmental aspects of a project. While the rules for SRF address separately the requirements for a facility plan and environmental impact document, most applicants incorporate both of these documents into a single Facility Plan and Environmental Information Document.

The Engineering Report or Facility Plan identifies and evaluates wastewater related problems; assembles basic information; presents criteria and assumptions; examines alternate projects, with preliminary layouts and cost estimates; describes financing methods, sets forth anticipated charges for users; reviews organizational and staffing requirements; offers a conclusion with a proposed project for client consideration; and outlines official actions and procedures to implement the project. The planning document must include sufficient detail to demonstrate that the proposed project meets all applicable criteria.

The concept (including process description and sizing), factual data and controlling assumptions and considerations for the functional planning of wastewater facilities are presented for each process unit and for the whole system. This data forms the continuing technical basis for the detailed design and preparation of construction plans and specifications.

Drawings identifying the site of the project and anticipated location and alignment of proposed facilities are required. Architectural, structural, mechanical and electrical designs are usually excluded. Sketches may be desirable to aid in presentation of a project. Outline specifications of process units, special equipment, etc., are occasionally included.

The level of effort required to prepare Facility Plans and the depth of analysis within should be proportional to the size and complexity of the proposed project. It is anticipated that projects involving minor collection system, pump station, and interceptor work will not be as detailed as projects involving new, expanded or rehabilitated wastewater treatment facilities or major sewer projects. A professional engineer registered in Missouri must sign and seal all Engineering Reports or Facility Plans.

1. Title Page

Name of Project
Owner of System
Preparer Name, Address, Phone Number, Fax Number, Seal and Signature
Date of Submittal

2. Table of Contents

3. Introduction

The introduction should state the purpose for the project and should include an evaluation of the conditions and problems needing correction. It should also include any schedules contained in enforcement related administrative orders or agreements.

The recommended project may be presented in the introduction or at the end of the engineering report, whichever is desired by the writer.

4. Existing Conditions and Projections

Sketches should indicate the planning area and existing and potential future service areas.

Present and predicted population shall be based on a 20 year planning period. Phased construction of wastewater facilities should be considered in rapid growth areas. Sewers and other facilities with a design life in excess of 20 years should be designed for the extended period.

Please note that master facility plans can be approved for multiple phases of construction and loans; however, as per 10 CSR 20-4.050, the Finding of No Significant Environmental Impact (FNSI) is only effective for a period of five years. Projects based upon a master facility plan approved more than five years ago will have to obtain new Environmental Clearances and conduct public participation. Master facility plans older than five years should also be updated for current opinion of costs.

5. Existing Facilities Evaluation

Existing Collection System: The Existing Facilities Evaluation should include a brief inventory of the collection system, including approximate miles of gravity sewers and forcemains, number of pump stations and related pump station capacity. An analysis of the existing collection system is not required if the project is for a wastewater treatment facility only. Cities that have large collection systems need only to report on the collection system in the drainage basin in which the project being studied is located.

If an infiltration/inflow (I/I) analysis has been conducted, the facility plan should present the findings of the study along with the recommendations for the most cost-effective solution to the excessive I/I.

Existing Wastewater Treatment Facility: Please provide a detailed description of the existing treatment facility along with an estimate of the capacities of each process unit and the capacity of the facility as a whole. Please include a sketch or drawing that shows the layout of the treatment facility. The age and condition of each process unit should be evaluated and presented. A copy of the current National Pollutant Discharge Elimination System (NPDES) permit should also be included. Problems with the current treatment facility should be identified and recommendation made for correction.

6. Existing Hydraulic Load

Projections shall be made from actual flow data to the extent possible. **See 10 CSR 20-8.140(5)(C)1.B.** for detailed requirements. The probable degree of accuracy of data and projections shall be evaluated. This reliability estimation should include an evaluation of the accuracy of existing data, as well as an evaluation of the reliability of estimates of flow reduction anticipated due to infiltration/inflow reduction or flow increases due to elimination of sewer bypasses and backups.

Please include critical data and the methodology used. The department recommends that graphical displays of critical peak wet weather flow data be included for a sustained wet weather flow period of significance to the project.

For consistency, the department suggests that the following flow definitions be used as a basis for design of sewers, lift stations, wastewater treatment plants and treatment units.

A. Design Average Flow – The design average flow is the average of the daily volumes to be received for a continuous 12-month period expressed as a volume per unit time. However, the design average flow for facilities having critical seasonal high hydraulic loading periods (e.g., recreational areas, campuses, industrial facilities) shall be based on the daily average flow during the seasonal period.

B. Design Maximum Day Flow – The design maximum day flow is the largest volume of flow to be received during a continuous 24-hour period expressed as a volume per unit time.

C. Design Peak Hourly Flow – The design peak hourly flow is the largest volume of flow to be received during a one hour period expressed as a volume per unit time.

D. Maximum Month Flow – The maximum flow to be received in a continuous 30-day period expressed as a volume per unit time.

7. Existing BOD and TSS Loading

Sufficient composite samples of the influent wastewater should be taken to characterize the organic strength. The average organic load must be determined and it is recommended that peak month and peak day loading rates also be determined. Existing data should be evaluated for reliability and accuracy. **See 10 CSR 20-8.(5)(C)2.**

For consistency, the department suggests that the following definitions be used for design of wastewater treatment facilities.

A. The five-day Biochemical Oxygen Demand (BOD) is defined as the amount of oxygen required to stabilize biodegradable organic matter under aerobic conditions within a five-day period in accordance with **Standard Methods for the Examination of Water and Wastewater.** The carbonaceous five-day Biochemical Oxygen Demand (CBOD) is defined as BOD less the nitrogenous oxygen demand of wastewater.

B. Design Average BOD – generally the average of the organic load received for a continuous 12-month period for the design year expressed as weight per day. However, the design average BOD for facilities having critical seasonal high loading periods (e.g., recreational areas, campuses, industrial facilities) shall be based on the daily average BOD during the seasonal period.

C. Design Maximum Day BOD – is the largest amount of organic load to be received during a continuous 24-hour period expressed as weight per day.

8. Flow and Organic Strength for New Systems

New sewer systems shall be designed on the basis of an average daily per capita flow of sewage of not less than 100 gallons per day. **See 10 CSR 20-8.120(5)(A).** In the absence of flow measurement data, peak flows for the design of sewers shall be based on the equation found at **10 CSR 20-8.120(5)(B).**

The design for sewage treatment plants to serve new sewerage systems being built in currently undeveloped areas shall be based on an average daily flow of 100 gallons per capita, unless water use data or other justification upon which to better estimate flow is provided. **See 10 CSR 20-8.140(5)C)1.A.(I).**

For design of new wastewater treatment facilities in currently unsewered areas, the design organic strength must be in accordance with **10 CSR 20-8.140(5)C)2.A.**

9. Project Development

The determination of probable effluent limits received from the department in the form of a water quality review sheet must be included. Also include any special water quality studies completed by or on behalf of the applicant.

The project shall be consistent with the approved elements of any applicable water quality management plan under Section 208b of the Federal Clean Water Act. **See 10 CSR 20-6.010(9)(F)**

Consideration should be given to transport of wastewater to a regional wastewater treatment facility, when feasible. **See 10 CSR 20-6.010(3)(C)**

Whenever a project proposes a new discharge, consideration should be given to the feasibility of constructing a no-discharge. **See 10 CSR 20-6.010(4)(D)1.** When feasible, is the department recommends that unsewered communities consider centralized management of onsite sewage systems.

The facility plan must present and evaluate at least two alternatives. As per **10 CSR 20-4.040(9),** the proposed project shall provide for the most cost-effective technology to treat wastewater and nonexcessive I/I to meet the requirements of **10 CSR 20-7.015, Effluent Regulations and 10 CSR 20-7.031, Water Quality Standards.** Please include the construction cost, average annual operation and maintenance cost and 20-year present worth for each alternative. Sewer and rehabilitation projects do not need detailed cost effectiveness analyses.

An estimate of the user charges must be included in the facility plan. **See 10 CSR 20-4.040(9)** and **10 CSR 20-4.040(17).**

Engineering criteria to be used in the design of the project must be included. Design of the proposed wastewater facilities shall be in accordance with **10 CSR 20-8;** however, these rules allow for deviations when adequate justification is presented. In general, justification for a deviation from the rules is considered when the following references are used:

A. Recommended Standards for Wastewater Facilities, Great Lakes-Upper Mississippi River Board of State and Provincial Public Health and Environmental Managers, 2004 Edition. (10 States Standards)

B. Design of Municipal Wastewater Treatment Plants, Fourth Edition. WEF manual of Practice No. 8. ASCE Manual and Report on Engineering Practice No. 76.

C. Wastewater Engineering, Treatment, Disposal and Reuse, Metcalf & Eddy Inc., Fourth Edition

D. Treatment devices or processes not specifically addressed in **10 CSR 20-8** or the above references will be reviewed in accordance with the criteria for evaluating new processes and equipment found at **10 CSR 20-8.020(11)(B)2. or 10 CSR 20-8.140(5)(B).**

The wastewater treatment facility design capacity is the design average flow at the design average BOD. The design should include the appropriate peaking factors for flow and BOD, as previously discussed.

Flood considerations, including the 25 and 100-year flood levels, impact on floodplain and floodway, and compliance with applicable regulations regarding construction in flood prone areas, should be evaluated. **See 10 CSR 20-140(3)(A).**

10 CSR 20-4.040(18) prohibits the use of structures, materials, equipment or processes which are available from a single source unless the applicant's engineer adequately justifies in writing to the department that the proposed use meets the project's minimum needs. If it is known that a particular process or equipment will be procured from a sole source, the justification for sole source procurement should be contained in the facility plan. Otherwise, review of sole source procurement will occur during plans and specification review.

A geohydrological evaluation must be obtained from the department's Division of Geology and Land Survey (DGLS) for projects involving earthen basins such as lagoons or sludge holding basins. The use of an earthen basin will not be approved if the geohydrological evaluation indicates that the proposed earthen basin has severe geological limitations. For projects that propose a new discharge, a Losing/Gaining Stream Classification must be obtained from the Division of Geology and Land Survey.

10. Recommended Project

Please provide the total project costs for the recommended project, which would include construction, engineering, land, legal and administrative costs. Also include the estimated operation and maintenance costs and the estimate of the user charge. For the recommended project, please include the following:

A. Wastewater treatment plant design average and peak flows

B. Wastewater treatment plant design organic loading

C. For treatment plant improvement projects, please indicate what treatment units are to be upgraded or added.

D. For sewer projects, please indicate the average and peak hourly flow requirements for pump stations and sewers.

E. Engineering criteria used for preliminary sizing of the facilities

11. Environmental Review

As per **10 CSR 20-4.050(2)(A)**, applicants seeking a Categorical Exclusion from environmental review will provide sufficient documentation to demonstrate compliance with the criteria of subsection **(1)(A)** of this rule, as follows:

A. Statement indicating that the project is cost-effective and that the applicant is financially capable of constructing, operating and maintaining the facilities.

B. Plan map(s) of the proposed project showing the location of all construction, the planning area boundaries and any known environmentally sensitive areas.

As per **10 CSR 20-4.050(2)(B)**, an environmental information document (EID) must be submitted by those applicants whose proposed projects do not meet the criteria for a Categorical Exclusion. The EID must contain the following:

A. The environmental setting for the project and the future of the environment without the project.

B. The potential environmental impacts of the project as proposed including those that cannot be avoided.

C. The relationship between the short term uses of the environment and the maintenance and enhancement of long term productivity.

D. Any irreversible or irretrievable commitments of resources to the proposed project.

E. A description of public participation activities conducted, issues raised and changes to the project, which may be made as a result of the public participation process.

F. Documentation of coordination with the appropriate governmental agencies (clearances).

Historic Preservation: Missouri Department of Natural Resources State Historic Preservation Program P.O. Box 176 Jefferson City, Missouri 65102 (573) 751- 2479	**Division of State Parks:** Department of Natural Resources Division of State Parks P.O. Box 176 Jefferson City, MO 65102
U.S. Fish and Wildlife Service: U.S. Fish and Wildlife Service Missouri Ecological Services Office 101 Park DeVille Drive, Suite A Columbia, Missouri 65203-0007 (573) 234-2132	**A-95 Clearinghouse**: Office of Administration Intergovernmental Relations P.O. Box 809 Room 125 Jefferson City, Missouri 65102 (573) 751-0337
Missouri Department of Conservation: Missouri Department of Conservation P.O. Box 180 Jefferson City, MO 65102-0180 (573) 751-4115	**DGLS:** Division of Geology and Land Survey Geological Survey Program P.O. Box 250 Rolla, MO 65401
Corps of Engineers District Office: The State of Missouri is divided between three different Corps of Engineers Districts: the Omaha District, the Kansas City District and the Little Rock District. The district boundaries and addresses for the appropriate district office can be found on the Internet at: http://www.swt.usace.army.mil/address/addressPAO.cfm.	

12. Public Participation

To satisfy the requirements of **10 CSR 20-4.040(14)(A),** a public meeting shall be conducted to discuss the alternative engineering solutions

A. Public Meeting – Facility Plan & Engineering Alternatives (**Per 10 CSR 20-4.040(14)(A),** a public meeting shall be conducted to discuss the alternative engineering solutions. At a minimum, the following information should be presented during the public meeting related to the Facility Plan and Engineering alternatives).

1) Discuss the problems that have created the need to expand/upgrade/repair the existing collection system (e.g. Abatement Order, Violation Notice, etc.).
2) Discuss what alternatives were evaluated. This can include a "no action" alternative. The City should choose the most cost efficient means of collecting their wastewater for the long term.
3) Discuss which option the City is proposing to build and how this option will meet the City's needs.

To document the advertisement requirement was completely within the required time frame, provide verification of the public meeting to the department's Water Protection Program.

B. Public Hearing – Environmental Impact (**Per 10 CSR 20-4.050(2)(B)2.**)

1) The hearing will be advertised for at least 30 days prior to the meeting.
2) A verbatim transcript of the meeting must be submitted to the Water Protection Program director of staff.
3) A list of all attendee's with addresses, any written testimony and applicant's responses to the issues raised.
4) Discuss how the project will impact such areas as wetlands, floodplains, threatened /endangered species, cultural resources, prime farmland, public lands, parks, etc.
5) Discuss how the proposed project may impact the development pattern of the area.
6) Discuss the environmental clearances requested from the numerous agencies.
7) Discuss the impact on personal property such as driveways, trees, easements, etc.
8) Discuss the impact on water quality, air quality, etc.
9) Discussion of the user charges.

To document the advertisement requirement was complete, include a verification of the hearing public notice with the transcript to the department's Water Protection Program.

NOTE: THE PUBLIC MEETINGS AND THE PUBLIC HEARING MUST BE SEPARATE EVENTS AND MUST BE PREFORMED BEFORE A FINDING OF NO SIGNIFICANT IMPACT / ENVIRONMENT ASSESSMENT DETERMINATION CAN BE OBTAINED AND THE FACILITY PLAN IS APPROVED.

Although not part of the requirements for the Facility Plan or the environmental review, the applicant may want to consider holding the public meeting and hearing at the same time for convenience. In addition to the public participation requirements mentioned above, the applicant may want to hold the required public meeting needed for the user charge rates during at the same time as the Public Meeting and the Public Hearing. See the requirements for this meeting below.

C. Public Meeting – User Charge Rates (**Per 10 CSR 20-4.040(14)(B)**)

1) Public notice of the meeting should be published at least 30 days prior to the meeting.
2) A transcript, recording or other complete recording of the meeting shall be prepared and submitted to the department and made available to the public upon request.
3) Outline how the City will finance the cost of the improvements. Sales Tax, Bonds, City Reserves, etc.
4) Discuss what additional costs will result from this project. Additional electricity, upkeep on additional collection lines, additional labor for maintaining the new equipment vs. the current system, etc.
5) Discuss the estimated user rates that will be necessary to cover the Operation & Maintenance (O&M) budget including debt service. NOTE: All users must be charged a proportional rate based on their usage.
6) Discuss when any increases will go into effect (e.g. gradual over a few years, at loan closing, upon completion of construction, etc.)

2010 Clean Water and Drinking Water State Revolving Fund 20% Green Project Reserve: Guidance for Determining Project Eligibility

April 21, 2010

I. Introduction: The Fiscal Year (FY) 2010 Appropriation Law (P.L. 111-88) included additional requirements affecting both the Clean Water and the Drinking Water State Revolving Fund (SRF) programs. This attachment is included in the *Procedures for Implementing Certain Provisions of EPA's Fiscal Year 2010 Appropriation Affecting the Clean Water and Drinking Water State Revolving Fund Programs* dated April 21, 2010. Because of differences in project eligibility for each program, the Clean and Drinking Water SRFs have separate guidance documents that identify specific goals and eligibilities for green infrastructure, water and energy efficient improvements, and environmentally innovative activities. Part A includes the details for the Clean Water SRF program, and Part B the Drinking Water SRF program.

Public Law 111-88 included the language "Provided, that for fiscal year 2010, to the extent there are sufficient eligible project applications, not less than 20 percent of the funds made available under this title to each State for Clean Water State Revolving Fund capitalization grants and not less than 20 percent of the funds made available under this title to each State for Drinking Water State Revolving Fund capitalization grants shall be used by the State for projects to address green infrastructure, water or energy efficiency improvements, or other environmentally innovative activities." These four categories of projects are the components of the Green Project Reserve (GPR).

II. GPR Goals: Congress' intent in enacting the GPR is to direct State investment practices in the water sector to guide funding toward projects that utilize green or soft-path practices to complement and augment hard or gray infrastructure, adopt practices that reduce the environmental footprint of water and wastewater treatment, collection, and distribution, help utilities adapt to climate change, enhance water and energy conservation, adopt more sustainable solutions to wet weather flows, and promote innovative approaches to water management problems. Over time, GPR projects could enable utilities to take savings derived from reducing water losses and energy consumption, and use them for public health and environmental enhancement projects. Additionally, EPA expects that green projects will help the water sector improve the quality of water services without putting additional strain on the energy grid, and by reducing the volume of water lost every year.

III. Background: EPA used an inclusive approach to determine what is and is not a 'green' water project. Wherever possible, this guidance references existing consensus-based industry practices to provide assistance in developing green projects. Input was solicited from State-EPA and EPA-Regional workgroups and the water sector. EPA staff also reviewed approaches promoted by green practice advocacy groups and water associations, and green infrastructure implemented by engineers and managers in the water sector. EPA also assessed existing 'green' policies within

EPA and received input from staff in those programs to determine how EPA funds could be used to achieve shared goals.

The 2010 SRF GPR Guidance provides States with information needed to determine which projects count toward the GPR requirement. The intent of the GPR Guidance is to describe projects and activities that fit within the four specific categories listed in the 2010 Appropriations Act. This guidance defines each category of GPR projects and lists projects that are clearly eligible for GPR, heretofore known as categorically eligible projects. For projects that do not appear on the list of categorically projects, they may be evaluated for their eligibility within one of the four targeted types of GPR eligible projects based upon a business case that provides clear documentation (see the *Business Case Development* sections in Parts A & B below).

GPR may be used for planning, design, and/or building activities. Entire projects, or the appropriate discrete components of projects, may be eligible for GPR. Projects do not have to be part of a larger capital project to be eligible. All projects or project components counted toward the GPR requirement must clearly advance one or more of the objectives articulated in the four categories of GPR discussed below.

The Green Project Reserve sets a new precedent for the SRFs by targeting funding towards projects that States' may not have funded in prior years. Water quality benefits from GPR projects rely on proper operation and maintenance to achieve the intended benefits of the projects and to achieve optimal performance of the project. EPA encourages states and funding recipients to thoroughly plan for proper operation and maintenance of the projects funded by the SRFs, including training in proper operation of the project. It is noted, however, that the SRFs cannot provide funding for operation and maintenance costs, including training, in the SRF assistance agreements. Some of these costs may, however, be funded through appropriate DWSRF set-asides under limited conditions.

PART A – CWSRF GPR SPECIFIC GUIDANCE

CWSRF Eligibility Principles

State SRF programs are responsible for identifying projects that count toward GPR. The following overarching principles, or decision criteria, apply to all projects that count toward GPR and will help states identify projects.

0.1 All GPR projects must otherwise be eligible for CWSRF funding. The GPR requirement does not create new funding authority beyond that described in Title VI of the CWA. Consequently, a subset of 212, 319 and 320 projects will count towards the GPR. The principles guiding CWSRF funding eligibility include:

0.2 All Sec 212 projects must be consistent with the definition of "treatment works" as set forth in section 212 of the Clean Water Act (CWA).

- 0.2-1 All section 212 projects must be publicly owned, as required by CWA section 603(c)(1).
- 0.2-2 All section 212 projects must serve a public purpose.
- 0.2-3 POTWs as a whole are utilized to protect or restore water quality. Not all portions of the POTW have a direct water quality impact in and of themselves (i.e. security fencing). Consequently, POTW projects are not required to have a direct water quality benefit, though most of them will.

0.3 Eligible nonpoint source projects implement a nonpoint source management program under an approved section 319 plan or the nine element watershed plans required by the 319 program.

- 0.3-1 Projects prevent or remediate nonpoint source pollution.
- 0.3-2 Projects can be either publicly or privately owned and can serve either public or private purposes. For instance, it is acceptable to fund land conservation activities that preserve the water quality of a drinking water source, which represents a public purpose project. It is also acceptable to fund agricultural BMPs that reduce nonpoint source pollution, but also improve the profitability of the agricultural operation. Profitability is an example of a private purpose.
- 0.3-3 Eligible costs are limited to planning, design and building of capital water quality projects. The CWSRF considers planting trees and shrubs, purchasing equipment, environmental cleanups and the development and initial delivery of education programs as capital water quality projects. Daily maintenance and operations, such as expenses and salaries are not considered capital costs.
- 0.3-4 Projects must have a direct water quality benefit. Implementation of a water quality project should, in itself, protect or improve water quality. States should be able to estimate the quantitative and/or qualitative water quality benefit of a nonpoint source project.
- 0.3-5 Only the portions of a project that remediate, mitigate the impacts of, or prevent water pollution or aquatic or riparian habitat degradation should be funded. Where water quantity projects improve water quality (e.g. reduction of flows from impervious surfaces that adversely affect stream health, or the modification of irrigation systems to reduce runoff and leachate from irrigated lands), they would be

considered to have a water quality benefit. In many cases, water quality protection is combined with other elements of an overall project. For instance, brownfield revitalization projects include not only water quality assessment and cleanup elements, but often a redevelopment element as well. Where the water quality portion of a project is clearly distinct from other portions of the project, only the water quality portion can be funded by the CWSRF.

0.3-6 Point source solutions to nonpoint source problems are eligible as CWSRF nonpoint source projects. Section 319 Nonpoint Source Management Plans identify sources of nonpoint source pollution. In some cases, the most environmentally and financially desirable solution has point source characteristics and requires an NPDES discharge permit. For instance, a septage treatment facility may be crucial to the proper maintenance and subsequent functioning of decentralized wastewater systems. Without the septage treatment facility, decentralized systems are less likely to be pumped, resulting in malfunctioning septic tanks.

0.4 Eligible projects under section 320 implement an approved section 320 Comprehensive Conservation Management Plan (CCMP).

0.4-1 Section 320 projects can be either publicly or privately owned.

0.4-2 Eligible costs are limited to capital costs.

0.4-3 Projects must have a direct benefit to the water quality of an estuary. This includes protection of public water supplies and the protection and propagation of a balanced, indigenous population of shellfish, fish, and wildlife, and allows recreational activities, in and on water, and requires the control of point and nonpoint sources of pollution to supplement existing controls of pollution.

0.4-4 Only the portions of a project that remediate, mitigate the impacts of, or prevent water pollution in the estuary watershed should be funded.

0.5 GPR projects must meet the definition of one of the four GPR categories. The Individual GPR categories do not create new eligibility for the CWSRF. The projects that count toward GPR must otherwise be eligible for CWSRF funding.[1]

0.6 GPR projects must further the goals of the Clean Water Act.

[1] Drinking Water Utilities can apply for CWSRF funding

CWSRF Technical Guidance

The following sections outline the technical aspects for the CWSRF Green Project Reserve. It is organized by the four categories of green projects: green infrastructure, water efficiency, energy efficiency, and environmentally innovative activities. Categorically green projects are listed, as well as projects that are ineligible. Design criteria for business cases and example projects that would require a business case are also provided.

1.0 GREEN INFRASTRUCUTRE

1.1 Definition: Green stormwater infrastructure includes a wide array of practices at multiple scales that manage wet weather and that maintain and restore natural hydrology by infiltrating, evapotranspiring and harvesting and using stormwater. On a regional scale, green infrastructure is the preservation and restoration of natural landscape features, such as forests, floodplains and wetlands, coupled with policies such as infill and redevelopment that reduce overall imperviousness in a watershed. On the local scale green infrastructure consists of site- and neighborhood-specific practices, such as bioretention, trees, green roofs, permeable pavements and cisterns.

1.2 Categorical Projects

- 1.2-1 Implementation of green streets (combinations of green infrastructure practices in transportation rights-of-ways), for either new development, redevelopment or retrofits including: permeable pavement[2], bioretention, trees, green roofs, and other practices such as constructed wetlands that can be designed to mimic natural hydrology and reduce effective imperviousness at one or more scales. Vactor trucks and other capital equipment necessary to maintain green infrastructure projects.
- 1.2-2 Wet weather management systems for parking areas including: permeable pavement[2], bioretention, trees, green roofs, and other practices such as constructed wetlands that can be designed to mimic natural hydrology and reduce effective imperviousness at one or more scales. Vactor trucks and other capital equipment necessary to maintain green infrastructure projects.
- 1.2-3 Implementation of comprehensive street tree or urban forestry programs, including expansion of tree boxes to manage additional stormwater and enhance tree health.
- 1.2-4 Stormwater harvesting and reuse projects, such as cisterns and the systems that allow for utilization of harvested stormwater, including pipes to distribute stormwater for reuse.
- 1.2-5 Downspout disconnection to remove stormwater from sanitary, combined sewers and separate storm sewers and manage runoff onsite.
- 1.2-6 Comprehensive retrofit programs designed to keep wet weather discharges out of all types of sewer systems using green infrastructure technologies and approaches such as green roofs, green walls, trees and urban reforestation, permeable pavements and bioretention cells, and turf removal and replacement with native vegetation or trees that improve permeability.
- 1.2-7 Establishment or restoration of permanent riparian buffers, floodplains, wetlands and other natural features, including vegetated buffers or soft bioengineered stream banks.

[2] The total capital cost of permeable pavement is eligible, not just the incremental additional cost when compared to impervious pavement.

This includes stream day lighting that removes natural streams from artificial pipes and restores a natural stream morphology that is capable of accommodating a range of hydrologic conditions while also providing biological integrity. In highly urbanized watersheds this may not be the original hydrology.

1.2-8 Projects that involve the management of wetlands to improve water quality and/or support green infrastructure efforts (e.g., flood attenuation).[3]

1.2-8a Includes constructed wetlands.

1.2-8b May include natural or restored wetlands if the wetland and its multiple functions are not degraded and all permit requirements are met.

1.2-9 The water quality portion of projects that employ development and redevelopment practices that preserve or restore site hydrologic processes through sustainable landscaping and site design.

1.2-10 Fee simple purchase of land or easements on land that has a direct benefit to water quality, such as riparian and wetland protection or restoration.

1.3 Projects That Do Not Meet the Definition of Green Infrastructure

1.3-1 Stormwater controls that have impervious or semi-impervious liners and provide no compensatory evapotranspirative or harvesting function for stormwater retention.

1.3-2 Stormwater ponds that serve an extended detention function and/or extended filtration. This includes dirt lined detention basins.

1.3-3 In-line and end-of-pipe treatment systems that only filter or detain stormwater.

1.3-4 Underground stormwater control and treatment devices such as swirl concentrators, hydrodynamic separators, baffle systems for grit, trash removal/floatables, oil and grease, inflatable booms and dams for in-line underground storage and diversion of flows.

1.3-5 Stormwater conveyance systems that are not soil/vegetation based (swales) such as pipes and concrete channels. Green infrastructure projects that include pipes to collect stormwater may be justified as innovative environmental projects pursuant to Section 4.4 of this guidance.

1.3-6 Hardening, channelizing or straightening streams and/or stream banks.

1.3-7 Street sweepers, sewer cleaners, and vactor trucks unless they support green infrastructure projects.

1.4 Decision Criteria for Business Cases

1.4-1 Green infrastructure projects are designed to mimic the natural hydrologic conditions of the site or watershed.

1.4-2 Projects that capture, treat, infiltrate, or evapotranspire water on the parcels where it falls and does not result in interbasin transfers of water.

1.4-3 GPR project is in lieu of or to supplement municipal hard/gray infrastructure.

1.4-4 Projects considering both landscape and site scale will be most successful at protecting water quality.

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[3] Wetlands are those areas that are inundated or saturated by surface or groundwater at a frequency and duration sufficient to support, and that under normal circumstances do support, a prevalence of vegetation typically adapted for life in saturated soil conditions. Wetlands generally include swamps, marshes, bogs, vernal pools, and similar areas.

1.4-5 Design criteria are available at:
http://cfpub.epa.gov/npdes/greeninfrastructure/municipalhandbook.cfm and
http://cfpub.epa.gov/npdes/greeninfrastructure/technology.cfm and

1.5 Examples of Projects Requiring A Business Case

1.5-1 Fencing to keep livestock out of streams and stream buffers. Fencing must allow buffer vegetation to grow undisturbed and be placed a sufficient distance from the riparian edge for the buffer to function as a filter for sediment, nutrients and other pollutants.

2.0 WATER EFFICIENCY

2.1 Definition: EPA's WaterSense program defines water efficiency as the use of improved technologies and practices to deliver equal or better services with less water. Water efficiency encompasses conservation and reuse efforts, as well as water loss reduction and prevention, to protect water resources for the future.

2.2 Categorical Projects

2.2-1 Installing or retrofitting water efficient devices, such as plumbing fixtures and appliances

2.2-1a For example -- shower heads, toilets, urinals and other plumbing devices

2.2-1b Where specifications exist, WaterSense labeled products should be the preferred choice (http://www.epa.gov/watersense/index.html).

2.2-1c Implementation of incentive programs to conserve water such as rebates.

2.2-2 Installing any type of water meter in previously unmetered areas

2.2-2a If rate structures are based on metered use

2.2-2b Can include backflow prevention devices if installed in conjunction with water meter

2.2-3 Replacing existing broken/malfunctioning water meters, or upgrading existing meters, with:

2.2-3a Automatic meter reading systems (AMR), for example:

2.2-3a(i) Advanced metering infrastructure (AMI)

2.2-3a(ii) Smart meters

2.2-3b Meters with built in leak detection

2.2-3c Can include backflow prevention devices if installed in conjunction with water meter replacement

2.2-4 Retrofitting/adding AMR capabilities or leak detection equipment to existing meters (not replacing the meter itself).

2.2-5 Water audit and water conservation plans, which are reasonably expected to result in a capital project.

2.2-6 Recycling and water reuse projects that replace potable sources with non-potable sources,

2.2-6a Gray water, condensate and wastewater effluent reuse systems (where local codes allow the practice)

2.2-6b Extra treatment costs and distribution pipes associated with water reuse.

2.2-7 Retrofit or replacement of existing landscape irrigation systems to more efficient landscape irrigation systems, including moisture and rain sensing controllers.

2.2-8 Retrofit or replacement of existing agricultural irrigation systems to more efficient agricultural irrigation systems.

2.3 Projects That Do Not Meet the Definition of Water Efficiency

2.3-1 Agricultural flood irrigation.

2.3-2 Lining of canals to reduce water loss.

2.3-3 Replacing drinking water distribution lines. This activity extends beyond CWSRF eligibility and is more appropriately funded by the DWSRF.

2.3-4 Leak detection equipment for drinking water distribution systems, unless used for reuse distribution pipes.

2.4 Decision Criteria for Business Cases

2.4-1 Water efficiency can be accomplished through water saving elements or reducing water consumption. This will reduce the amount of water taken out of rivers, lakes, streams, groundwater, or from other sources.

2.4-2 Water efficiency projects should deliver equal or better services with less net water use as compared to traditional or standard technologies and practices

2.4-3 Efficient water use often has the added benefit of reducing the amount of energy required by a POTW, since less water would need to be collected and treated; therefore, there are also energy and financial savings.

2.5 Examples of Projects Requiring a Business Case.

2.5-1 Water meter replacement with traditional water meters (see AWWA M6 *Water Meters – Selection Installation, Testing, and Maintenance*).

2.5-2 Projects that result from a water audit or water conservation plan

2.5-3 Storage tank replacement/rehabilitation to reduce loss of reclaimed water.

2.5-4 New water efficient landscape irrigation system.

2.5-5 New water efficient agricultural irrigation system.

3.0 ENERGY EFFICIENCY

3.1 Definition: Energy efficiency is the use of improved technologies and practices to reduce the energy consumption of water quality projects, use energy in a more efficient way, and/or produce/utilize renewable energy.

3.2 Categorical Projects

3.2-1 Renewable energy projects such as wind, solar, geothermal, micro-hydroelectric, and biogas combined heat and power systems (CHP) that provide power to a POTW. (http:///www.epa.gov/cleanenergy). Micro-hydroelectric projects involve capturing the energy from pipe flow.

3.2-1a POTW owned renewable energy projects can be located onsite or offsite.

3.2-1b Includes the portion of a publicly owned renewable energy project that serves POTW's energy needs.

3.2-1c Must feed into the grid that the utility draws from and/or there is a direct connection.

3.2-2 Projects that achieve a 20% reduction in energy consumption are categorically eligible for GPR[4]. Retrofit projects should compare energy used by the existing system or unit process[5] to the proposed project. The energy used by the existing system should be based on name plate data when the system was first installed, recognizing that the old system is currently operating at a lower overall efficiency than at the time of installation. New POTW projects or capacity expansion projects should be designed to maximize energy efficiency and should select high efficiency premium motors and equipment where cost effective. Estimation of the energy efficiency is necessary for the project to be counted toward GPR. If a project achieves less than a 20% reduction in energy efficiency, then it may be justified using a business case.

3.2-3 Collection system Infiltration/Inflow (I/I) detection equipment

3.2-4 POTW energy management planning, including energy assessments, energy audits, optimization studies, and sub-metering of individual processes to determine high energy use areas, which are reasonably expected to result in a capital project are eligible. Guidance to help POTWs develop energy management programs, including assessments and audits is available at http://www.epa.gov/waterinfrastructure/pdfs/guidebook_si_energymanagement.pdf.

3.3 Projects That Do Not Meet the Definition of Energy Efficiency

3.3-1 Renewable energy generation that is *privately* owned or the portion of a publicly owned renewable energy facility that does not provide power to a POTW, either through a connection to the grid that the utility draws from and/or a direct connection to the POTW.

3.3-2 Simply replacing a pump, or other piece of equipment, because it is at the end of its useful life, with something of average efficiency.

3.3-3 Facultative lagoons, even if integral to an innovative treatment process.

3.3-4 Hydroelectric facilities, except micro-hydroelectric projects. Micro-hydroelectric projects involve capturing the energy from pipe flow.

3.4 Decision Criteria for Business Cases

3.4-1 Project must be cost effective. An evaluation must identify energy savings and payback on capital and operation and maintenance costs that does not exceed the useful life of the asset. http://www.epa.gov/waterinfrastructure/pdfs/guidebook_si_energymanagement.pdf

3.4-2 The business case must describe how the project maximizes energy saving opportunities for the POTW or unit process.

3.4-3 Using existing tools such as Energy Star's Portfolio Manager (http://www.energystar.gov/index.cfm?c=evaluate_performance.bus_portfoliomana

[4] The 20% threshold for categorically eligible CWSRF energy efficiency projects was derived from a 2002 Department of Energy study entitled *United States Industrial Electric Motor Systems Market Opportunities Assessment, December 2002* and adopted by the Consortium for Energy Efficiency. Further field studies conducted by Wisconsin Focus on Energy and other States programs support the threshold.

[5] A unit process is a portion of the wastewater system such as the collection system, pumping stations, aeration system, or solids handling, etc.

ger) or Check Up Program for Small Systems (CUPSS) (http://www.epa/cupss) to document current energy usage and track anticipated savings.

3.5 Examples of Projects Requiring a Business Case

3.5-1 POTW projects or unit process projects that achieve less than a 20% energy efficiency improvement.

3.5-2 Projects implementing recommendations from an energy audit that are not otherwise designated as categorical.

3.5-3 Projects that cost effectively eliminate pumps or pumping stations.

3.5-4 Infiltration/Inflow (I/I) correction projects that save energy from pumping and reduced treatment costs and are cost effective.

3.5-4a Projects that count toward GPR cannot build new structural capacity. These projects may, however, recover existing capacity by reducing flow from I/I.

3.5-5 I/I correction projects where excessive groundwater infiltration is contaminating the influent requiring otherwise unnecessary treatment processes (i.e. arsenic laden groundwater) and I/I correction is cost effective.

3.5-6 Replacing pre-Energy Policy Act of 1992 motors with National Electric Manufacturers Association (NEMA) premium energy efficiency motors.

3.5-8a NEMA is a standards setting association for the electrical manufacturing industry (http://www.nema.org/gov/energy/efficiency/premium/).

3.5-7 Upgrade of POTW lighting to energy efficient sources such as metal halide pulse start technologies, compact fluorescent, light emitting diode (LED).

3.5-8 SCADA systems can be justified based upon substantial energy savings.

3.5-9Variable Frequency Drive can be justified based upon substantial energy savings.

4.0 ENVIRONMENTALLY INNOVATIVE

4.1 Definition: Environmentally innovative projects include those that demonstrate new and/or innovative approaches to delivering services or managing water resources in a more sustainable way.

4.2 Categorical Projects

4.2-1 Total/integrated water resources management planning likely to result in a capital project.

4.2-2 Utility Sustainability Plan consistent with EPA's SRF sustainability policy.

4.2-3 Greenhouse gas (GHG) inventory or mitigation plan and submission of a GHG inventory to a registry (such as Climate Leaders or Climate Registry)

4.3-3a Note: GHG Inventory and mitigation plan is eligible for CWSRF funding.

4.2-3b EPA Climate Leaders: http://www.epa.gov/climateleaders/basic/index.html
Climate Registry: http://www.theclimateregistry.org/

4.2-4 Planning activities by a POTW to prepare for adaptation to the long-term effects of climate change and/or extreme weather.

4.2-4a Office of Water – Climate Change and Water website:
http://www.epa.gov/water/climatechange/

4.2.5 Construction of US Building Council LEED certified buildings or renovation of an existing building on POTW facilities.

4.2-5a Any level of certification (Platinum, Gold, Silver, Certified).

4.2-5b All building costs are eligible, not just stormwater, water efficiency and energy efficiency related costs. Costs are not limited to the incremental additional costs associated with LEED certified buildings.

4.2-5c U.S. Green Building Council website http://www.usgbc.org/displaypage.aspx?CategoryID=19

4.2-6 Decentralized wastewater treatment solutions to existing deficient or failing onsite wastewater systems.

4.2-6a Decentralized wastewater systems include individual onsite and/or cluster wastewater systems used to collect, treat and disperse relatively small volumes of wastewater. An individual onsite wastewater treatment system is a system relying on natural processes and/or mechanical components, that is used to collect, treat and disperse or reclaim wastewater from a single dwelling or building. A cluster system is a wastewater collection and treatment system under some form of common ownership that collects wastewater from two or more dwellings or buildings and conveys it to a treatment and dispersal system located on a suitable site near the dwellings or buildings. Decentralized projects may include a combination of these systems. EPA recommends that decentralized systems be managed under a central management entity with enforceable program requirements, as stated in the *EPA Voluntary Management Guidelines.* http://www.epa.gov/owm/septic/pubs/septic_guidelines.pdf

4.2-6b Treatment and Collection Options: A variety of treatment and collection options are available when implementing decentralized wastewater systems. They typically include a septic tank, although many configurations include additional treatment components following or in place of the septic tank, which provide for advanced treatment solutions. Most disperse treated effluent to the soil where further treatment occurs, utilizing either conventional soil absorption fields or alternative soil dispersal methods which provide advanced treatment. Those that discharge to streams, lakes, tributaries, and other water bodies require federal or state discharge permits (see below). Some systems promote water reuse/recycling, evaporation or wastewater uptake by plants. Some decentralized systems, particularly cluster or community systems, often utilize alternative methods of collection with small diameter pipes which can flow via gravity, pump, or siphon, including pressure sewers, vacuum sewers and small diameter gravity sewers. Alternative collection systems generally utilize piping that is less than 8 inches in diameter, or the minimum diameter allowed by the state if greater than 8 inches, with shallow burial and do not require manholes or lift stations. Septic tanks are typically installed at each building served or another location upstream of the final treatment and dispersal site. Collection systems can transport raw sewage or septic tank effluent. Another popular dispersal option used today is subsurface drip infiltration. Package plants that discharge to the soil are generally considered decentralized, depending on the situation in which they are used. While not entirely inclusive, information on treatment and collection processes is described, in detail, in the "*Onsite Wastewater Treatment Technology Fact Sheets*" section of the EPA Onsite Manual http://www.epa.gov/owm/septic/pubs/septic_2002_osdm_all.pdf and on EPA's septic system website under Technology Fact Sheets. http://cfpub.epa.gov/owm/septic/septic.cfm?page_id=283

4.3 Projects That Do Not Meet the Definition of Environmentally Innovative

4.3-1 Air scrubbers to prevent nonpoint source deposition.

4.3-2 Facultative lagoons, even if integral to an innovative treatment processes.

4.3-3 Surface discharging decentralized wastewater systems where there are cost effective soil-based alternatives.

4.3-4 Higher sea walls to protect POTW from sea level rise.

4.3-5 Reflective roofs at POTW to combat heat island effect.

4.4 Decision Criteria for Business Cases

4.4-1 State programs are allowed flexibility in determining what projects qualify as innovative in their state based on unique geographical or climatological conditions.

4.4-1a Technology or approach whose performance is expected to address water quality but the actual performance has not been demonstrated in the state;

4.4-1b Technology or approach that is not widely used in the State, but does perform as well or better than conventional technology/approaches at lower cost; or

4.4-1c Conventional technology or approaches that are used in a new application in the State.

4.5 Examples of Projects Requiring a Business Case

4.5-1 Constructed wetlands projects used for municipal wastewater treatment, polishing, and/or effluent disposal.

4.5-1a Natural wetlands, as well as the restoration/enhancement of degraded wetlands, may not be used for wastewater treatment purposes and must comply with all regulatory/permitting requirements.

4.5-1b Projects may not (further) degrade natural wetlands.

4.5-2 Projects or components of projects that result from total/integrated water resource management planning consistent with the decision criteria for environmentally innovative projects and that are Clean Water SRF eligible.

4.5-3 Projects that facilitate adaptation of POTWs to climate change identified by a carbon footprint assessment or climate adaptation study.

4.5-4 POTW upgrades or retrofits that remove phosphorus for beneficial use, such as biofuel production with algae.

4.5-5 Application of innovative treatment technologies or systems that improve environmental conditions and are consistent with the Decision Criteria for environmentally innovative projects such as:

4.5-5a Projects that significantly reduce or eliminate the use of chemicals in wastewater treatment;

4.5-5b Treatment technologies or approaches that significantly reduce the volume of residuals, minimize the generation of residuals, or lower the amount of chemicals in the residuals. (National Biosolids Partnership, 2010; *Advances in Solids Reduction Processes at Wastewater Treatment Facilities Webinar*; http://www.e-wef.org/timssnet/meetings/tnt_meetings.cfm?primary_id=10WCAP2&Action=LONG&subsystem=ORD%3cbr).

4.5-5b(i) Includes composting, class A and other sustainable biolsolids management approaches.

4.5-6 Educational activities and demonstration projects for water or energy efficiency.

4.5-7 Projects that achieve the goals/objectives of utility asset management plans (http://www.epa.gov/safewater/smallsystems/pdfs/guide_smallsystems_assetmanagement_bestpractices.pdf; http://www.epa.gov/own/assetmanage/index.htm).

4.5-8 Sub-surface land application of effluent and other means for ground water recharge, such as spray irrigation and overland flow.

4.5-8a Spray irrigation and overland flow of effluent is not eligible for GPR where there is no other cost effective alternative.

Business Case Development

This guidance is intended to be comprehensive: however, EPA understands our examples projects requiring a business case may not be all inclusive. A business case is a due diligence document. For those projects, or portions of projects, which are not included in the categorical projects lists provided above, a business case will be required to demonstrate that an assistance recipient has thoroughly researched anticipated 'green' benefits of a project. Business cases will be approved by the State (see section III.A. in the *Procedures for Implementing Certain Provisions of EPA's Fiscal Year 2010 Appropriation Affecting the Clean Water and Drinking Water State Revolving Fund Programs*). An approved business case must be included in the State's project files and contain clear documentation that the project achieves identifiable and substantial benefits. The following sections provide guidelines for business case development.

5.0 Length of a Business Case

5.0-1 Business cases must address the decision criteria for the category of project

5.0-2 Business cases should be adequate, but not exhaustive.

5.0-2a There are many formats and approaches. EPA does not require any specific one.

5.0-2b Some projects will require detailed analysis and calculations, while others many not require more than one page.

5.0-2c Limit the information contained in the business case to only the pertinent 'green' information needed to justify the project.

5.0-3 A business case can simply summarize results from, and then cite, existing documentation – such as engineering reports, water or energy audits, results of water system tests, etc.

5.1 Content of a Business Case

5.1-1 Quantifiable water and/or energy savings or water loss reduction for water and energy efficiency projects should be included.

5.1-2 The cost and financial benefit of the project should be included, along with the payback time period where applicable. (NOTE: Clean Water SRF requires energy efficiency projects to be cost effective.)

5.2 Items Which Strengthen Business Case, but Are Not Required

5.2-1 Showing that the project was designed to enable equipment to operate most efficiently.

5.2-2 Demonstrating that equipment will meet or exceed standards set by professional associations.

5.2-3 Including operator training or committing to utilizing existing tools such as Energy Star's Portfolio Manager or CUPSS for energy efficiency projects.

5.3 Example Business Cases Are Available at http://www.srfbusinesscases.net/.