PUBLIC NOTICE

DRAFT CLEAN WATER STATE REVOLVING FUND REGIONALIZATION GRANT

The Missouri Department of Natural Resources intends to offer a new Clean Water State Revolving Fund (CWSRF) grant program.

The Department routinely receives requests for financial assistance from small private entities that are not eligible to receive SRF funding per Section 603(c) of the Clean Water Act, or from small public entities that are unable to demonstrate financial capability to undertake a SRF loan, even if paired with additional subsidization in the form of a grant. In some instances, these systems are near a community with additional treatment capacity. However, an agreement to connect the small facility is rarely made due to difficulties associated with project cost and financing.

The Department’s policy is to encourage regionalization where practical, especially in those instances where a community district or small private facility does not have the capability to operate and maintain their system. This grant will help provide financial assistance to help address affordability and capacity issues for small systems through regionalization. Furthermore, the U.S. Environmental Protection Agency’s Clean Water and Drinking Water Infrastructure Sustainability Policy addresses the plight of small systems:

“Communities who lack the technical, managerial and financial capacity to become and remain sustainable should be encouraged to acquire it as a condition of financial assistance. Federal and state programs should provide technical assistance to small and disadvantaged communities, who face a particularly daunting array of challenges in providing safe and reliable wastewater and drinking water services to their customers. In some instances, this may include facilitating collaboration and partnering relationships with higher capability entities.”

The Clean Water Act allows the state to provide CWSRF additional subsidization in the form of grants, principal forgiveness or negative interest loans. In addition to continuing to offer additional subsidization in combination with loans based on affordability, the Department intends to offer the CWSRF Regionalization Incentive Grant to promote and facilitate regionalization projects. This grant is authorized through Federal Water Pollution Control Act Section 603(i)1B(iv), which allows the Department to provide additional subsidization to any municipality for “implementing a process, material, technique or technology to encourage sustainable project planning, design, and construction.” The CWSRF Regionalization Incentive Grant will provide 100 percent construction funding to capable publicly-owned systems to connect smaller, disadvantaged, public and private systems to a nearby, larger facility owned by a municipality. Applicants will be competitively scored in a manner similar to but separate from the CWSRF Priority Points Criteria. Funds available for this grant will be established each fiscal year by the Department after additional subsidization for affordability projects is satisfied.

Policy and procedures associated with this new CWSRF grant program are attached. Written comments will be accepted through July 10, 2019.
Stakeholders interested in commenting on the proposed grant policy should submit those in writing to the Department. Comments should be submitted to the Water Protection Program’s Financial Assistance Center, at fac@dnr.mo.gov. Please provide contact information (i.e., name, address, and phone number) with all submitted comments.

The Department intends to update the policy based on stakeholder comments, and finalize the details of the grant program by July 31, 2019. The Department anticipates opening the first application cycle from August 1 to October 31, 2019. Finalized information will be posted to the Financial Assistance Center’s CWSRF webpage, https://dnr.mo.gov/env/wpp/srf/wastewater-assistance.htm. Applications will be accepted for funds to develop a facility plan (if one has not already been completed) and/or for the construction of the recommended alternative to regionalize.
Guidance for Clean Water State Revolving Fund
Regionalization Incentive Grant

Purpose:
This guidance document provides the Missouri Department of Natural Resources with a uniform and consistent approach to soliciting, soliciting and awarding Clean Water State Revolving Fund (CWSRF) Regionalization Incentive Grants.

Authority:
The Clean Water Act allows the state to provide CWSRF additional subsidization in the form of grants, principal forgiveness or negative interest loans. The Department currently offers “affordability grants” in coordination with loan funds to assist eligible applicants who would otherwise have difficulty financing projects without additional subsidization. Grant eligibility is determined based on the Clean Water SRF Grant Eligibility Evaluation form and grant funds are offered to projects on the CWSRF Intended Use Plan’s (IUP) Fundable list if funds are available. The policy is available at https://dnr.mo.gov/env/wpp/srf/docs/cwsrf-grant-eligibility-procedure.pdf.

The Department has the opportunity to offer grants for other purposes through the CWSRF. The Water Resources and Development Act of 2014 included an amendment to the Federal Water Pollution Control Act (FWPCA) Section 603(i) that allows the CWSRF program to provide a certain percentage of its total capitalization grant award as additional subsidization to a municipality to implement a process, material, technique, or technology to encourage sustainable project planning, design, and construction. The Department intends to utilize this authority to offer CWSRF Regionalization Incentive Grants.

The amount of capitalization grant that will be allocated to additional subsidization each year is determined by the Department based on U.S. Environmental Protection Agency direction and Missouri’s CWSRF program needs, documented in the CWSRF IUP, and approved by the Clean Water Commission. The Department’s first priority for annually available CWSRF additional subsidization is to provide grants based on affordability to municipalities repairing, replacing or improving their own wastewater and storm water infrastructure. If additional subsidization funds remain available after all eligible applicants have been assigned funds based on affordability, the Department will focus remaining funds on incentivizing connections that reduce the number of small, struggling systems through regionalization. Regionalization incentive grant applications will be accepted during a periodic application cycle and will be competitively scored (see “Prioritization Process” section of this document).

Intent:
This regionalization incentive grant will improve Missouri’s water quality by providing public systems with the funds necessary to plan and construct connection to smaller private and public systems. The primary focus of the grant will be on reducing the number of small systems that are currently under or likely to come under enforcement action with the Department. These systems often lack the financial and technical resources to upgrade their wastewater treatment facilities to
meet more stringent limits. These systems typically serve such a small number of connections that the costs to comply with permit conditions are very financially challenging for the users, and thus are difficult compliance situations for permittees to overcome. Grant results will include a reduction in the number of point sources releasing to the State’s waterways, increasing efficiency in operation, cost savings to the users served by both the municipality and facility being connected, and stimulating opportunities for economic development.

**Eligibility:**

A municipality as defined by 40 CFR 35.2005(27) is a “city, town, borough, county, parish, district, association, or other public body (including an intermunicipal agency of two or more of the foregoing entities) created under State law, or an Indian tribe or an authorized Indian tribal organization, having jurisdiction over disposal of sewage, industrial wastes, or other waste, or a designated and approved management agency under section 208 of the Act.”

(i) This definition includes a special district created under State law such as a water district, sewer district, sanitary district, utility district, drainage district or similar entity or an integrated waste management facility, as defined in section 201(e) of the Act, which has as one of its principal responsibilities the treatment, transport, or disposal of domestic wastewater in a particular geographic area.

(ii) This definition excludes the following:

(A) Any revenue producing entity which has as its principal responsibility an activity other than providing wastewater treatment services to the general public, such as an airport, turnpike, port facility or other municipal utility.

**Eligible Costs:**

This grant will fund 100 percent of all eligible costs. Eligible costs include planning, designing, and constructing the sewer connection, associated land acquisition or easements acquired according to the Uniform Relocation Assistance and Real Property Acquisition Act of 1970, and closure cost of the decommissioned system(s). See 10 CSR 20-4.040(21)B for specific cost eligibility information.

Projects will not be deemed eligible for funding through this program if the total cost associated with connecting the smaller facility is more than the cost to repair, replace or upgrade the facility in a manner that will meet more stringent effluent limits in compliance with Per FWPCA Section 602(b)(13).

**Application Procedure:**

Applications for Fiscal Year 2020 CWSRF IUP funds will be accepted in late summer/fall 2019. In the future, the Department will accept applications annually during a 3-month application window preceded by a public announcement, based on available funds. Applications will be for funds to, 1) develop a facility plan (if one has not already been completed), and 2) for the construction of the recommended alternative to regionalize. The application requires signatures
from both the applicant and the owner(s) of the wastewater system(s) to be connected by the regionalization grant; this ensures both parties have a mutual interest in the regional connection.

**Application Processing:**

Applications received by the Department by the established deadline will be date stamped and logged. The CWSRF Regionalization Incentive Grant Coordinator will make an initial review of all the applications for completeness, eligibility and for distance of the sewer connection. Applications must be complete in order to be included for prioritization. The maximum distance to be considered under this grant program is 5 miles from the applicant’s political boundary to the facility to be connected. Applications for connections greater than 5 miles may be evaluated on a case-by-case basis at the Department’s discretion.

The CWSRF Regionalization Incentive Grant Coordinator will convene an internal review panel to review, score, and prioritize the applications.

**Prioritization Process:**

The Department will evaluate projects based on characteristics of the wastewater treatment facilities being connected. The Department will prioritize applications using a 2-step process that assigns a category and a priority point score to each eligible project.

First, the Department’s top priority will be assigned to projects which eliminate Category 1 facilities. High priority will be assigned to projects which eliminate Category 2 facilities. Moderate priority will be assigned to projects which eliminate Category 3 facilities. Low priority will be assigned to projects which eliminate Category 4 facilities.

**Category One:** Private*, municipal, or school wastewater treatment systems, which are under enforcement with the Missouri Department of Natural Resources or the U.S. Environmental Protection Agency. Applicants for Category 1 projects may submit an application without a Facility Plan, and may be awarded an engineering grant for the development of a Facility Plan.

**Category Two:** Municipal or school wastewater treatment systems not under enforcement and have a Schedule of Compliance in their permit to upgrade for more stringent limits. Applicants for Category 2 projects may submit an application without a Facility Plan, and may be awarded an engineering grant for the development of a Facility plan.

**Category Three:** Private* wastewater treatment systems not under enforcement and have a Schedule of Compliance in their permit to upgrade for more stringent limits. Applicants for Category 3 projects may submit an application without a Facility Plan, and may be awarded an engineering grant for the development of a Facility plan.
**Category Four:** A municipality which has been designated as the area-wide management authority per 10 CSR 20-6.010 (2) that is connecting private* or public system(s) within their political boundary and/or designated service area, and the estimated project cost will increase the wastewater treatment user charge for the municipality to more than 2 percent of Median Household Income (MHI). In order to be evaluated, applicants for Category 4 projects must submit a complete Facility Plan with estimated project costs and proposed User Rates. The applicant must also provide the MHI for the area served to demonstrate the project’s potential impact on user rates.

*A private system is a system owned by a Homeowner’s Association, an individual, a mobile home park, etc. It does not include systems owned and operated by any for-profit utility company.

Second, the Department will prioritize projects within each category based on the priority point system (See Attachment 1, CWSRF Regionalization Incentive Grant Application Prioritization Scoring). The Department will assign priority points to each application based on the receiving stream characteristics, need for regionalization, readiness to proceed, financial need, and prior lending history with the Department.

- Receiving stream points will be based on the “Beneficial Uses”, “Sensitive Waters” and “Targeted Waterbodies” of the receiving stream(s) of the system to be eliminated. If the project eliminates multiple permitted facilities, which discharge to different water bodies, then the receiving stream with the highest point total will be used.

- Need for regionalization points will be awarded for each facility eliminated in the following categories: “under Department enforcement”, “not under Department enforcement but has history of significant noncompliance”, “not under Department enforcement but has current schedule of compliance to meet more stringent permit limits” and “not under Department enforcement”. Facilities that fall under “not under Department enforcement” include systems which are operating in compliance with their permit and those systems that are having issues, but do not fall under significant noncompliance have not been or are in enforcement.

- Grant funds are intended for elimination of facilities with a Missouri State Operating Permit, not on-site systems permitting under the authority of the Department of Health and Senior Services. Thus, on-site systems may be connected to the applicants system but these connection(s) must be made using another funding source.

- Applicants may be awarded additional points for readiness to proceed, if the applicant provides with the application, a facility plan and/or executed negotiated service agreement(s) for all the system(s) listed in the application. The service agreement must include the Department’s “Minimum Service Agreement Requirements” below to be eligible for the service agreement points.
The Department will award priority points based on the financial need of the system being connected utilizing the system’s average MHI in relation to the State’s MHI. The Financial Assistance Center (FAC) staff will utilize publicly available American Community Survey (ACS) data gathered by the U.S. Census Bureau because it is the most comprehensive source, is periodically updated, and is publicly available on the Census Bureau website (www.census.gov/programs-surveys/acs/). The only data the evaluation requires that is not publicly available is the applicant’s proposed user rates, which is required information requested on the application. When information specific to the applicant is not available (e.g. sewer districts, private systems, etc.) staff will use county MHI. Although county data does not offer an exact representation of the service area, it is the most readily available data to the FAC. If the applicant believes that the ACS data does not accurately reflect their demographics, the applicant may submit an income survey conducted using a Department-directed methodology – available upon request. If provided, the income value from the survey will replace the census MHI in the Department’s evaluation.

The Department will award additional priority points to applicants who have had a prior or has a current SRF loan.

The Department will select the eligible applicant(s) based on the tiered system that prioritizes projects by category and within each category by priority points. In some cases, additional documentation on the financial situation of the system(s) involved may be requested by the Department.

When completed, the point values will be totaled to provide the applicant’s priority score.

**Federal and state requirements:**
A number of federal and state laws and executive orders apply to projects receiving federal financial assistance through the CWSRF. Federal requirements that may apply to all recipients include the Davis Bacon Act, American Iron & Steel or AIS, Disadvantaged Business Enterprise, Environmental Review, Cost & Effectiveness and Public Awareness, Fiscal Sustainability Plans, Single Audit; various environmental statutes, the Uniform Relocation and Real Property Acquisition Policies Act, Debarment and Suspension Executive Order 12549, restrictions on lobbying, and others. Applicants assigned grant funds will receive instructions from the Department for all CWSRF requirements that must be met in order to receive funding.

Applicants and connecting systems must also applicable state laws, such as the hearing and public notice procedures for establishing user charges in accordance with Section 250.233 RSMo.
CWSRF Grant-Funded Facility Plans:
Upon completion of the Facility Plan, it will be submitted to the Department. The Department will review and comment on the facility plan. Once all comments are addressed, the engineer must submit a completed Cost and Effectiveness form (see https://dnr.mo.gov/forms/780-2660-f.pdf). The Department will review the proposed project’s cost and effectiveness and will either:

a. Concur that the connection alternative project is the most cost effective and provide the applicant with directions for seeking environmental clearance letters.

b. Not concur that the project is the most cost effective and notify the applicant that that the Department cannot fund the construction of the project. The applicant may then either choose to self-fund the project and proceed with it without the grant funds, or withdraw their application for funding.

Grant Assignment/Intended Use Plan Listing:
The Department will list applicant projects in priority order within each category. Grant funds will be allocated to qualifying applicants starting with applicants with Category One projects whose projects scored the highest priority points. Funds will be allocated through the priority list until all annually available grant funds have been allocated or until all eligible applicants have grant funds allocated to them, whichever comes first. The number of applicant(s) selected each application cycle will vary based on available funds. The Department reserves the right to use its discretion to bypass a higher scoring applications with lower scoring applications if necessary to protect human health and the environment.

The Department will provide written notification that the grant funds are committed to the project when the IUP is placed on public notice. Upon notification of the assignment of funds, applicants must meet the following schedule in order to utilize assigned grant funds:

- Applicants assigned grant funds for a facility plan will have 1 year from the date the project is listed in the IUP to procure engineering services and develop a facility plan. Upon submittal of a complete and approvable facility plan, pending sufficient available additional subsidization funds, the project will be moved to either the contingency or the fundable list of the IUP.

- Applicants assigned grant funds for a construction project will have 2 years from the date the project is listed on the IUP to navigate the CWSRF project approval process (environmental review, design, bidding, submittal of compliance forms, etc.), receive the grant award and begin construction of the selected alternative. Construction grant funds must be spent within 3 years of award.
  - Projects will be placed on the Fundable List when the applicant has an accepted facility plan and a formal service agreement(s) with the system(s) to be connected.
  - Projects will be placed on the Contingency List when the applicant has an accepted facility plan but has not entered into formal service agreement(s) with the system(s) to be connected. The applicant will have 1 year listed on the Contingency List to reach an agreement. If after 1 year, a formal agreement(s) cannot be reached by the applicant and system(s), the project will be removed from funding consideration.
Failure to make timely progress may result in project bypass and/or loss of grant funding. In this event, the applicant will need to re-compete for grant funds by re-applying. The Department may remove projects from a funding list on the IUP at the request of the applicant or if the Department finds that the proposed project is ineligible for CWSRF assistance.

**Minimum Service Agreement Requirements:**

1. User Rates and Fee
   a. Negotiated and agreed upon user rates
   b. Negotiated and agreed upon fees (if applicable)
   c. User rates must be fair and equitable
      i. Should be proportional and based on actual use
   d. Clause for renegotiating rates and fees
   e. How rates and fees will be invoiced and collected
   f. Penalties for unpaid rates and fees

2. Operation and Maintenance Responsibilities

3. Agreement duration is at least 20 years
   a. Municipality must agree to:
      i. Operate and Maintain its portion of the collection system
      ii. Provide service (May require Ordinance Changes)
   b. Users of the system to be connected must agree to:
      i. Operate and Maintain its portion of the collection system
      ii. Connect and remain connected and any new development in the system’s control will be required to connect. (May required HOA covenant changes)

4. Right to access/easements

**Facility Plan Requirements:**

1. Prepared in accordance with 10 CSR 20-8.110, Chapter 8 Minimum Design Standards.
2. Discuss the capacity of the applicant’s Wastewater Treatment Facility (WWTF), including reasonably anticipated growth and its capacity to accept the wastewater from the system(s) to being connected.
3. Discuss the existing infrastructure within system(s) to be connected.
4. Discuss any easement(s) and/or land acquisition(s) that are anticipated as part of the proposed regionalization project.
5. Discuss the project including a base project and alternate project(s) (connecting additional systems) if applicable and the cost benefit of the connection.
6. Project Costs
   a. Costs of any easement(s) and/or land acquisition(s)
   b. Cost Comparison of Alternatives:
i. Upgrading the existing WWTF
ii. Land application
iii. Regionalization

C. Costs associated with closure or reuse of system’s existing WWTF
D. Total project cost for base project and a total project cost(s) including alternate(s)

E. Costs associated Operation and Maintenance of the collection line and any additional costs associated with the flow at the plant

7. Discuss Cost and Effectiveness Analysis
   A. If the connection is not the most direct route, provide an explanation why not it is not the most cost effective.
   B. Cost and Effectiveness Certification Form

8. Project Schedule
CWSRF Regionalization Incentive Grant Application Prioritization Scoring
(to be completed by Department staff)

Applicant: ___________________________________________  DUNS #: ________________________

Received Date: ________________________________________________________________________

Project Name: _________________________________________________________________________

Project Description: __________________________________________________________________

_____________________________________________________________________________________

Is the facility (or facilities) to be connected within 5 miles of grant applicant’s facility?
   Yes ☐  No ☐

Required Information to be submitted with application:

☐ Project Summary includes:
    ☐ Need for the project
    ☐ Maps or drawings showing the location
☐ Authorized Rep. Ordinance/Resolution:

Priority Determination
Categories

Category One: Private, Municipal, or School wastewater treatment systems, which are under
enforcement with the Missouri Department of Natural Resources or the U.S.
Environmental Protection Agency. Applicants for Category 1 projects may submit an
application without a Facility Plan, and may be awarded an engineering grant for the
development of a facility plan.

Category Two: Municipal or School wastewater treatment systems not under enforcement and have a
Schedule of Compliance in their permit to upgrade for more stringent limits. Applicants for Category 2 projects may submit an application without a Facility Plan, and may be awarded an engineering grant for the development of a facility plan.

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per 10 CSR 20-6.010 (2) that is connecting a private or public system(s) within their
political boundary and/or designated service area, and the estimated project cost will
increase the wastewater treatment user charge for the municipality to more than 2
percent of MHI. In order to be evaluated, applicants for Category 4 projects must
submit a complete Facility Plan with reasonable estimated project costs and proposed
user rates to demonstrate the project’s potential impact on user rates.

No. of system(s) to be eliminated in each Category:  1 _____  2 _____  3 _____  4 _____
Description

1. **Beneficial Uses** of the water body receiving discharge from existing Wastewater Treatment Systems (WTSs) to be eliminated by the proposed project. WTSs could be permitted or unpermitted. If the project eliminates multiple permitted facilities which discharge to different water bodies, then the highest beneficial use point total of the multiple water bodies will be used. (The value is calculated by adding the total values expressed under this part.)

<table>
<thead>
<tr>
<th>Points</th>
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<tbody>
<tr>
<td>Whole Body Contact Recreation = 15 pts.</td>
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<tr>
<td>Drinking Water Supply = 15 pts.</td>
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<tr>
<td>Cold Water Habitat = 10 pts.</td>
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<tr>
<td>Secondary Contact Recreation = 10 pts.</td>
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<tr>
<td>Cool Water Habitat = 10 pts.</td>
</tr>
<tr>
<td>Protection of Warm Water Habitat and Human Health Protection = 10 pts.</td>
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<td>Each additional beneficial use not listed above and identified in rule 10 CSR 20-7.031 = 5 pts each.</td>
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</table>

2. **Sensitive Waters**. Proposed project will eliminate existing WTS(s) which directly discharge to certain sensitive waters will be assigned additional priority points.

<table>
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<tr>
<th>Points</th>
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<tbody>
<tr>
<td>Losing Streams = 15 pts.</td>
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<tr>
<td>Outstanding National Resource Waters = 15 pts.</td>
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<tr>
<td>Outstanding State Resource Waters = 15 pts.</td>
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<tr>
<td>Lakes or Metropolitan No-discharge Streams = 10 pts.</td>
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3. **Targeted Waterbodies**. A targeted water body is one in which a Total Maximum Daily Load (TMDL) has been promulgated or is listed on the most recent 303(d) list. (No more than fifteen (15) points shall be awarded.)

<table>
<thead>
<tr>
<th>Points</th>
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<tbody>
<tr>
<td>TMDL has been promulgated for receiving stream and removal of point source project addresses impact = 15 pts.</td>
</tr>
<tr>
<td>Receiving stream is listed on the most recent 303(d) list and removal of point source project addresses impact but a TMDL has not been promulgated = 10 pts.</td>
</tr>
</tbody>
</table>

4. **Need for Regionalization (exclude all Dept. Health and Senior Services permitted systems)**

   Each WTSs eliminated not under Department Enforcement = 5 pts.
   No. Eliminated _______ _______
Each WTSs eliminated which has a Schedule of Compliance in the permit to meet more stringent limits and not currently under Department Enforcement = 10 pts.  
No. Eliminated _______ _______ 

Each WTSs eliminated which has a history of significant noncompliance, but is not currently under Department Enforcement = 15 pts.  
No. Eliminated _______ _______ 

Each WTSs eliminated that is under enforcement with the Department = 20 pts.  
No. Eliminated _______ _______ 

5. **Readiness to Proceed**
   Municipality has an executed negotiated agreement for service meeting Department minimum requirements with residents of the system(s) to be eliminated = 25 pts.  
(All system(s) to be connected must have an agreement to award points.)  

Facility Plan has already been developed for the system(s) proposed to be eliminated and is less than 5 years old = 25 pts.  
(must be submitted with application to award points)  

6. **Financial Need** of the system(s) being connected determined by the system’s(s’) MHI compared to the state’s MHI determined by American Community Survey data. If multiple systems are being connected, the system with the highest MHI will be used to determine financial need. 
Average MHI >100% State’s MHI = 0pts.  
Average MHI 75 to 100% State’s MHI = 10pts.  
Average MHI 50 to <75% State’s MHI = 25pts.  
Average MHI <50% State’s MHI = 50pts.  

7. **Additional Priority Points**
   Applicant has/had a State Revolving Fund Loan = 15 pts 

Total Points: 

Tie Breaker: Number of Current Connections _______
This application is for a Clean Water State Revolving Fund Regionalization Incentive Grant. Submit application to Missouri Department of Natural Resources, Financial Assistance Center P.O. Box 176, Jefferson City, MO 65102-0176. Please type or print legibly.

1. Applicant Information

<table>
<thead>
<tr>
<th>Name of Applicant</th>
<th>DUNS Number</th>
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- Incorporated Municipality □ Public Water/Sewer District

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<tr>
<th>Applicant Telephone number with area code</th>
<th>Applicant FAX number with area code</th>
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<tr>
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<tr>
<th>Applicant mailing address</th>
<th>Applicant email address</th>
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<table>
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<tr>
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<tr>
<th>Name of person to contact about this application</th>
<th>Title of person to contact about this application</th>
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2. General Information

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<tr>
<th>Name of Applicant's facility to receive flow</th>
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<th>Estimated additional flow</th>
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<th>Estimated population of area(s) to be served</th>
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<th>U.S. Congressional district number(s)</th>
<th>State Senate district number(s)</th>
<th>State Representative district number(s)</th>
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The proposed project has a completed Facility Plan. □ No □ Yes, attach copy

(If yes, complete Sections 3 and 4 on page 2 of this application. If no, leave Sections 3 and 4 blank, and skip to Section 5.)

Applicant has fully negotiated service agreement(s) with all parties involved with the project and the agreement(s) meet Department minimum requirements. See minimum requirements attached to this application. □ No □ Yes, attach copy(s)

Project Description and Environmental Benefits:
3. ARCHITECTURAL AND ENGINEERING CONSULTANT INFORMATION

<table>
<thead>
<tr>
<th>Field</th>
<th>Information</th>
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<tbody>
<tr>
<td>Consulting Firm’s Name</td>
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<td>Project Consultant’s Name</td>
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<td>Consultant Mailing Address</td>
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<td>Zip Code + Four</td>
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<tr>
<td>Consultant Telephone Number with Area Code</td>
<td></td>
</tr>
<tr>
<td>Ext.</td>
<td></td>
</tr>
</tbody>
</table>

4. PROJECT COST INFORMATION (PLEASE PROVIDE COPY OF FACILITY PLAN WITH APPLICATION)

<table>
<thead>
<tr>
<th>Cost Estimate Dated</th>
<th>Cost Breakdown</th>
</tr>
</thead>
<tbody>
<tr>
<td>Engineering Planning and Design</td>
<td>$</td>
</tr>
<tr>
<td>Engineering (Construction Phase)</td>
<td>$</td>
</tr>
<tr>
<td>Engineering Inspection</td>
<td>$</td>
</tr>
<tr>
<td>Land and Easements</td>
<td>$</td>
</tr>
<tr>
<td>Legal Fees</td>
<td>$</td>
</tr>
<tr>
<td>Construction</td>
<td>$</td>
</tr>
<tr>
<td>Equipment</td>
<td>$</td>
</tr>
<tr>
<td>Other Costs (specify)</td>
<td>$</td>
</tr>
<tr>
<td>Contingencies</td>
<td>$</td>
</tr>
</tbody>
</table>

Total Project Costs $  

5. THE FOLLOWING INFORMATION IS REQUIRED BY 10 CSR 20-4.040 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(s)
- Resolution of Governing Body designating an authorized representative per 10 CSR 20-040(10)
- Application signed by the authorized representative

6. FACILITIES TO BE CONNECTED WITH THIS PROJECT (Complete one section for each facility to be connected.)

<table>
<thead>
<tr>
<th>Facility Name</th>
<th>Permit # (If Permitted)</th>
<th>Name of Receiving Stream</th>
</tr>
</thead>
<tbody>
<tr>
<td>Facility Owner’s Name</td>
<td>Email Address</td>
<td>Telephone Number with Area Code</td>
</tr>
<tr>
<td>Address</td>
<td>City</td>
<td>State</td>
</tr>
<tr>
<td>Current Number of Connections</td>
<td>Total Future Number of Connections If Different From Current</td>
<td>Median Household Income</td>
</tr>
</tbody>
</table>

Facility Type
- Publicly Owned
- Privately Owned

Site-specific Facility Plan completed. No Yes, attach copy

Compliance History of Facility
- System in Enforcement
- System has a history of Significant Noncompliance
- Permit has Future Schedule of Compliance Date
- Compliant

The system owner attests that the organization or company s/he represents desires to connect to the applicant’s wastewater treatment system. The system owner agrees to connect to the applicant’s system and agrees to negotiate and enter into a service agreement with the applicant if the project is selected for award of a grant. The system owner agrees, if a grant is awarded based on 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 grant agreement and negotiated service agreement.

Signature of Facility Owner

Date 

Name and Official Title (Type or Print)

Telephone Number with Area Code
- - Ext.

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The system owner attests that the organization or company s/he represents desires to connect to the applicant's wastewater treatment system. The system owner agrees to connect to the applicant's system and agrees to negotiate and enter into a service agreement with the applicant if the project is selected for award of a grant. The system owner agrees, if a grant is awarded based on 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 grant agreement and negotiated service agreement.

SIGNATURE OF SYSTEM REPRESENTATIVE

NAME AND OFFICIAL TITLE (TYPE OR PRINT)

TELEPHONE NUMBER WITH AREA CODE

- - Ext.

FACILITY NAME

PERMIT # (IF PERMITTED) NAME OF RECEIVING STREAM

MO- 

FACILITY TYPE

Publicly Owned Privately Owned

Site-specific Facility Plan completed. Yes, attach copy

COMPLIANCE HISTORY OF FACILITY

System in Enforcement System has a history of Significant Noncompliance Has Future Schedule of Compliance Date Compliant

The system owner attests that the organization or company s/he represents desires to connect to the applicant's wastewater treatment system. The system owner agrees to connect to the applicant's system and agrees to negotiate and enter into a service agreement with the applicant if the project is selected for award of a grant. The system owner agrees, if a grant is awarded based on 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 grant agreement and negotiated service agreement.

SIGNATURE OF FACILITY OWNER

DATE /

NAME AND OFFICIAL TITLE (TYPE OR PRINT)

TELEPHONE NUMBER WITH AREA CODE

- - Ext.

FACILITY NAME

PERMIT # (IF PERMITTED) NAME OF RECEIVING STREAM

MO- 

FACILITY TYPE

Publicly Owned Privately Owned

Site-specific Facility Plan completed. Yes, attach copy

COMPLIANCE HISTORY OF FACILITY

System in Enforcement System has a history of Significant Noncompliance Has Future Schedule of Compliance Date Compliant

The system owner attests that the organization or company s/he represents desires to connect to the applicant's wastewater treatment system. The system owner agrees to connect to the applicant's system and agrees to negotiate and enter into a service agreement with the applicant if the project is selected for award of a grant. The system owner agrees, if a grant is awarded based on 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 grant agreement and negotiated service agreement.

SIGNATURE OF SYSTEM REPRESENTATIVE

DATE /

NAME AND OFFICIAL TITLE (TYPE OR PRINT)

TELEPHONE NUMBER WITH AREA CODE

- - Ext.
CERTIFICATION:
The authorized 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 this application. The authorized representative attests that the applicant has communicated with the system(s) listed on this application understands the system(s) desires to connect to the applicant’s wastewater treatment system. The authorized representative attests that the applicant agrees to provide wastewater service to the system(s) listed on this application and agrees to negotiate and enter into a service agreement with the system owner(s) for connecting to the applicant’s wastewater treatment system if the project selected for award of a grant. The applicant agrees 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 grant agreement.

Incomplete applications will not be evaluated or returned.

<table>
<thead>
<tr>
<th>SIGNATURE OF APPLICANT’S AUTHORIZED REPRESENTATIVE</th>
<th>DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>NAME AND OFFICIAL TITLE (TYPE OR PRINT)</td>
<td>DATE</td>
</tr>
<tr>
<td>PREPARER’S NAME AND SIGNATURE (IF APPLICABLE)</td>
<td>DATE</td>
</tr>
</tbody>
</table>

MO 780-1951 (6-16) PAGE 4
RESOLUTION OF GOVERNING BODY OF APPLICANT

RESOLUTION NO. __________________

Resolution authorizing the filing of an application with the Missouri Department of Natural Resources, State Revolving Fund Program for loans under the Missouri Clean Water Law (Section 644, RSMo.).

WHEREAS under the terms of the Missouri Clean Water Law, Section 644, Revised Statutes of Missouri, the State of Missouri has authorized the making of loans and/or grants to authorized applicants to aid in the construction of specific public projects.

NOW, THEREFORE, be it resolved by ________________________________ (governing body of applicant)

1. That ______________________________ be and he/she is hereby authorized to execute and (designated official)
file an application on behalf of ______________________________ (legal name of applicant)
with the State of Missouri for a loan and/or grant to aid in the construction of:

________________________________________________________________________
(brief project description)

2. That ______________________________, ______________________________ (name of authorized official) (title)
be and he/she is hereby authorized and directed to furnish such information as the Missouri Department of Natural Resources may reasonably request in connection with the application which is herein authorized, to sign all necessary documents on behalf of the applicant, to furnish such assurances to the Missouri Department of Natural Resources as may be required by law or regulation, and to receive payment on behalf of the applicant.

CERTIFICATE OF RECORDING OFFICER

The undersigned, duly qualified and acting ______________________________ of the (title of officer)
________________________________________ (legal name of applicant), does hereby certify: That the attached resolution is a true and correct copy of the resolution adopted at a legally convened meeting of the ______________________________ (name of the governing body of applicant) ________ held on the _______ day of __________________________,

(IN WITNESS WHEREOF, I have hereunto set my hand this ______ day of _____________________, ________.

____________________________________ (signature of recording officer)
____________________________________ (title of recording officer)

SEAL (If applicant has an official seal, impress here.)
Clean Water State Revolving Fund Regionalization Incentive Grant Application
Instructions for Form 780-1951

Note: Any funding assistance is subject to all State Revolving Fund (SRF) requirements. Potential applicants should contact the Missouri Department of Natural Resources’ Financial Assistance Center prior to completing and submitting an application to ensure the proposed project is within program parameters. Please 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 grant funds, if awarded. Prior to receiving a grant, the entity must have a DUNS (Data Universal Numbering System) number. The DUNS number is a 9 digit number established and assigned by Dun and Bradstreet Inc., or D&B, to uniquely identify business entities. A DUNs number is available from D&B by telephone at 866-705-5711 or at http://fedgov.dnb.com/webform. The contact noted on the application should be knowledgeable about the application and able to be contacted during business hours.

2. Include general information regarding the applicant’s wastewater facility that would be accepting the flow from the system(s) being connected. Include the estimated population of the system(s), the estimated new number of customers, indicate if a facility plan has already been developed for the project, and if service agreement(s) for all system(s) that are part of the project have been executed. Without a detailed project description, the project may not be considered eligible for the grant. The project description should fully describe the need for the project and the value of the project. The project description must include a description of the system(s) to be connected including the type of wastewater treatment and collection system(s) serving the system(s), any ongoing environmental protection and public health issues, such as impaired watersheds, contaminated sources, failing infrastructure, etc., a discussion of the system(s) financial need (Median Household Income) for the grant and any other information believed pertinent. The applicant may attach separate pages containing the description, if additional space is needed.

3. Include the engineering firm name and the name of the professional engineer working on the project. Engineering firms must be procured in accordance with RSMo. 8.285 – 8.291.

4. If a cost estimate has been prepared, supply the cost estimates for the project. Land acquisition, surface and subsurface easements, places to store equipment and material during construction, and land needed to locate eligible projects are eligible costs. Funding recipients must certify compliance with the Uniform Relocation and Real Property Acquisition Act of 1970, P.L, 91-646, as amended.

5. Information required by 10 CSR 20-4.040 must be submitted before the application will be scored and prioritized.

6. Include information about the system(s) to be connected; only wastewater treatment systems with a Missouri State Operating Permit may be included. If the applicant is proposing to connect more than four (4) systems with this grant, please copy and attach additional pages on the systems to be connected as needed.

In addition to the application, the applicant must submit a “Resolution of Governing Body” designating an authorized representative, which will sign all documents, including this application. Language required in the resolution is provided after the application.
Incomplete Applications Will Not Be Evaluated or Returned

- Sign the application; attach any additional information that will enable the department to prioritize the proposed project.
- Make a copy of the completed application for your records.
- Mail the completed applications to:
  Missouri Department of Natural Resources
  Water Protection Program
  Financial Assistance Center
  P.O. Box 176
  Jefferson City, MO 65102-0176
- Application can also be emailed to FAC@dnr.mo.gov

The Department will accept applications between August 1, 2019 through October 31, 2019. All applications received outside these dates will not be considered until the following year’s solicitation period, assuming funds are available the following year.

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