# Drinking Water State Revolving Fund

## Loan Program and Set-Aside Programs

# Intended Use Plan for Fiscal Year 2017

MISSOURI
DEPARTMENT OF
NATURAL RESOURCES

Approved by the Missouri Safe Drinking Water Commission - Oct. 6, 2016

## Director's Letter

Being passionate about the outdoors is a must for anyone who has the honor of working for the Missouri Department of Natural Resources. Whether I'm hiking an Ozark trail, biking the Katy Trail or paddling the Missouri River, I reflect on the beauty of our state's natural resources.

The Department of Natural Resources is charged with the important mission of protecting human health and the environment, including our air, land and water resources.

In Missouri, we take a holistic approach to protecting human health and water quality. Working with citizen stakeholder groups, streamlining our permitting process and providing financial and technical assistance to communities are just some of the tools we use to manage our watersheds.

Our Drinking Water State Revolving Fund Intended Use Plan and Priority List provides an in-depth look at how we provide financial assistance through low-interest loans to municipalities, counties and public water districts for drinking water infrastructure projects. Our State Revolving Fund program offers a financing strategy that provides loans at 30 percent of the market interest rate. Funding recipients realize public health benefits. In addition, the program helps stimulate local economies.

Since 1996, the Drinking Water State Revolving Fund has committed approximately $342 million in below-market rate loans and $38 million in grants to meet Missouri's drinking water infrastructure needs, saving 172 Missouri cities, counties, water districts and others approximately $145 million through interest savings and grants.

During fiscal year 2017, Missouri expects to have $72 million available for new Drinking Water SRF projects. Applying for a Drinking Water State Revolving Fund loan doesn't need to be overwhelming. Our staff is happy to lead you through the process.

If you'd like to learn more about how we can help you and your community, please contact the department's Financial Assistance Center at 573-751–1192 or fac@dnr.mo.gov.

Sara Parker Pauley

**Sara Parker Pauley**
Director, Missouri Department of Natural Resources

MISSOURI
DEPARTMENT OF
NATURAL RESOURCES

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*Cover photo shows Monett's 1-million-gallon concrete clearwell under construction, with the interior baffle wall already poured and visible. A clearwell is a large storage tank that holds treated drinking water before it is distributed to consumers; the baffle wall controls the flow of water.*

*Photo above is an interior view of Monett's treatment building.*

*Both photos, as well as the photo on page 7, were taken by Fred Schlegel, P.E., Department of Natural Resources, Southwest Regional Office. Photo on page 4 was taken by Don Tyler, City of Belton.*

# Drinking Water State Revolving Fund helps Missouri communities

Many public water systems, particularly small ones, have difficulty obtaining affordable financing for necessary infrastructure improvements. In response, Congress established the Drinking Water State Revolving Fund as part of the Safe Drinking Water Act Amendments of 1996. Federal appropriations for the program are used primarily to fund low-interest loans to public drinking water systems for high priority infrastructure projects.

The Missouri Department of Natural Resources, in cooperation with the U.S. Environmental Protection Agency, conducted an assessment of Missouri's public water systems 20-year capital infrastructure needs. The assessment estimated that $8.5 billion was needed to address Missouri's drinking water infrastructure needs through 2031.

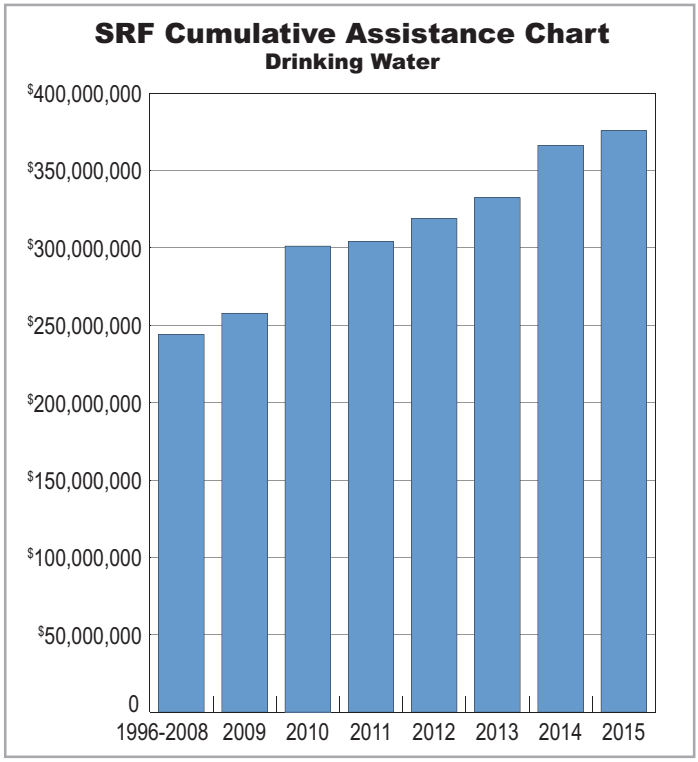
An estimated **$8.5 billion** is needed to address Missouri's drinking water infrastructure needs **through 2031**.

Missouri communities and public drinking water supplies have benefited from the federal and state capitalized, low-interest Drinking Water SRF loan program. Projects may be new construction or the improvement or renovation of existing facilities. In addition to providing substantial savings to communities across Missouri, Drinking Water State Revolving Fund loans help to protect human health and improve the quality and quantity of drinking water. The program also boosts the economic viability of our communities. The projects funded are designed to ensure clean, safe drinking water for our citizens, rehabilitate decaying systems and ensure the long-term sustainability of existing and proposed water systems.

In addition, projects that consolidate or interconnect regional water systems to reduce public health risks or to make more efficient use of source water capacity and treatment processes also score highly on the funding list.

Approximately **$380 million has been obligated** through the Drinking Water SRF **since 1996.** Communities and public water supply districts have benefited from **172 separate loans and grants**.

Missouri's Drinking Water State Revolving Fund "revolves" because loan repayments and investment earnings are continually recycled to fund new projects. In addition to the revolving nature of the fund, the ongoing commitment of federal funds and a financing strategy that provides loans at 30 percent of the market interest rate form the foundation of this successful program.




Besides financial savings, loan recipients can realize significant public health benefits, which as a secondary benefit could help to stimulate local economies. Water and drinking water infrastructure are two basic building blocks of community development.

A portion of the federal funding for the Drinking Water State Revolving Fund is used for set-aside programs. The department uses the funding in the set-aside programs for activities such as small system technical assistance, capacity development, wellhead protection, operator certification and training, and technical, managerial and financial assistance to public water systems. Additional information on the set-aside programs is provided in Appendix 3 on page 22.

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To date, we have received requests for **21 projects totaling $61 million for fiscal year 2017**.
For a complete listing of fiscal year 2017 projects, see the List of Fiscal Year 2017 Applicants in Appendix 2.

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## Missouri's Drinking Water State Revolving Fund

The Missouri Department of Natural Resources administers the Drinking Water State Revolving Fund. As a condition of a federal agreement with the U.S. Environmental Protection Agency, the department must submit an annual plan for the use of federal funds awarded and a strategy for managing the program in accordance with the Safe Drinking Water Act. This Drinking Water SRF Intended Use Plan is the annual plan for fiscal year 2017.

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This Fiscal Year **2017 Safe Drinking Water SRF Intended Use Plan** describes the proposed use of funds for financial assistance for drinking water infrastructure improvements from **Oct. 1, 2016, to Sept. 30, 2017**.

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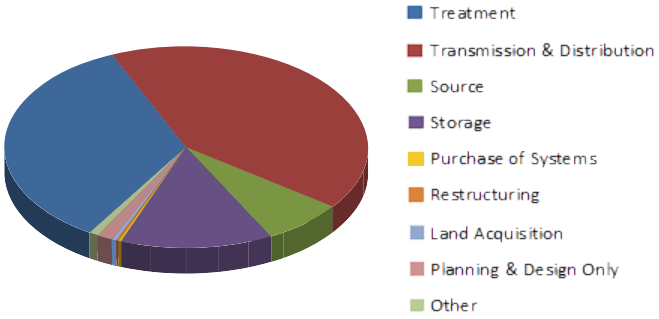
Operation and management of the Drinking Water SRF program is directed by state regulations 10 CSR 60-13.010 through 10 CSR 60-13.030: http://s1.sos.mo.gov/cmsimages/adrules/csr/current/10csr/10c60-13.pdf. SRF applications are valid for two plan cycles. Those projects not meeting program criteria within 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 list may change with each subsequent application.

The department continues to refine and evaluate the program to ensure it 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 Drinking Water SRF program.

This Intended Use Plan summarizes the development and management of the Drinking Water State Revolving Fund priority lists and assurances required by federal mandates. It also details the proposed distribution of Missouri's anticipated Drinking Water State Revolving Fund capitalization grants, state match funds, the repayments of previously awarded loans and the interest earnings from the repayment account deposits for fiscal year 2017.

### Drinking Water SRF Assistance by Category

1996 through June 30, 2015




| | |
|---|---|
| Treatment | $130,300,000 |
| Transmission & Distrubution | $156,600,000 |
| Source | $26,600,000 |
| Storage | $52,200,000 |
| Purchase of Systems | $300,000 |
| Restructuring | $400,000 |
| Land Acquisition | $1,200,000 |
| Planning & Design Only | $5,600,000 |
| Other | $2,500,000 |
| **Total** | **$375,700,000** |

Want to save money and improve the quality of life in your community at the same time? Take advantage of our financing strategy that provides loans at 30 percent of the market interest rate.
Call 573-751-1192 or e-mail fac@dnr.mo.gov today.

## Belton outgrowing its water infrastructure

The city of Belton is growing fast, and its drinking water infrastructure needed improvements to keep up with the pace. The city buys its water from Kansas City, and currently serves a population of approximately 25,486. Recent growth trends indicate the population of Belton will increase by more than 4,000 by 2035.

To keep up with the projected growth, the city had to plan for the future. After researching alternative sources of drinking water, the city concluded the most practical solution would be to upgrade its connection to Kansas City to provide a more efficient transfer of water.

This project also included constructing a new 3-million-gallon elevated water storage tank and additional water lines and upgrading the nearly 50-year-old pump station. These projects were divided into two phases and cost approximately $10 million to complete.

In 2013, Belton applied to the Missouri Department of Natural Resources and was approved for two low-interest loans from the Missouri Drinking Water State Revolving Fund for the full amount of each project.

Securing this low-interest loan will save Belton public water supply customers more than $4 million over the life of the loan and ensure the city will continue to have a reliable source of safe drinking water for decades to come.

During the 2015 reporting period, the Missouri Drinking Water State Revolving Fund:

- Received one federal capitalization grant totaling almost $18 million
- Awarded seven direct loans totaling almost $8 million
- Awarded five grants totaling approximately $4 million
- Saved Missouri communities and citizens an estimated $2.8 million in interest

## Types of projects eligible for funding

Missouri's Drinking Water State Revolving Fund has helped communities build or improve public drinking water systems. Eligible projects include infrastructure improvements that facilitate compliance with national primary drinking water regulations or otherwise significantly advance the public health protection objectives of the Safe Drinking Water Act.

Drinking water projects may include the following:

- Treatment plants
- Transmission and distribution mains
- Supply sources (i.e. wells, interconnections and surface water intakes)
- Storage facilities
- Water security projects

Certain water projects are ineligible for assistance, including the following:

- Construction or rehabilitation of dams
- Construction or rehabilitation of most water reservoirs
- Projects needed primarily for fire protection
- Projects needed primarily to serve future population growth

## How much money is available in fiscal year 2017?

During fiscal year 2017, Missouri expects to have $72 million available for new Drinking Water SRF projects. This includes carry-over monies from previous years, loan repayments, interest earnings on investments of Drinking Water SRF resources and federal capitalization grants and state match. Project lists are in Appendix 2 on page 14 and information on the targeted funding is in Appendix 5 on page 31.

## Who is eligible for funding?

The application process is open to all community public water systems and not-for-profit, non-community public water systems that are not owned by the federal government. Projects may be new construction or the improvement or renovation of existing facilities.

## Loan Terms

- The Drinking Water SRF offers a fixed-rate loan with a maximum term of 20 years.
- Interest rates are generally only 30 percent of the AAA municipal market rate.
- Annual fee of 1/2 percent of outstanding loan balance for administration costs.
- Short-term loans of one to three years are also available.
- Loan proceeds are to be expended within 36 months of the loan closing.

## Applying for State Revolving Fund assistance

The Missouri Department of Natural Resources solicits applications for the State Revolving Fund program each year:

- An eligible entity can submit an application at any time to the department. Applications received postmarked by Feb. 15 each year will receive priority consideration for funding in the `next fiscal year's Intended Use Plan.
- The application form is available at http://dnr.mo.gov/env/wpp/srf/drinkingwater-project-assistance.htm.
- A complete facility plan and a voted bond or other debt instrument are required for Drinking Water SRF loan consideration. For more information, see the Readiness-to-Proceed Fact Sheet at http://dnr.mo.gov/pubs/pub2361.htm. (A debt instrument includes general obligation and revenue bonds.)
- Potential applicants are encouraged to contact the Financial Assistance Center prior to submitting an application.

Additional information is available in Appendix 1 on page 12.

## Our partners

The success of Missouri's Drinking Water SRF program is enhanced by its partnerships formed to deliver the program:

- The Environmental Improvement and Energy Resources Authority issues bonds, manages related tax issues and monitors post-issuance compliance, while the Department of Natural Resources handles program prioritization, project management, permitting, environmental review and EPA compliance. The Missouri Safe Drinking Water Commission, the department and EIERA work together to maximize the amount of construction that can be supported by the Drinking Water SRF.
- The Missouri Water and Wastewater Review Committee reviews applications for projects requesting state or federal funds to finance water or wastewater system improvements. MWWRC agencies include the Missouri Department of Economic Development Community Development Block Grant Program, the Missouri Department of Natural Resources and the U.S. Department of Agriculture, Rural Development

## Missouri's Drinking Water State Revolving Fund Program Goals

Each year, the Missouri Department of Natural Resources evaluates the operations and the financial structures of the Drinking Water State Revolving Fund to gauge program effectiveness and to improve program services and investment returns. We develop both long-term and short-term goals to continually improve the program:

## Long-term goals

- Protect public health by ensuring that all Missouri citizens will have water that is safe to drink.
- Provide below-market rate financial assistance while assuring the perpetual nature of the program.
- Encourage systems to choose projects with the most cost-effective solutions.
- Ensure the long-term sustainability of water systems and encourage projects to consolidate or interconnect in a regional manner that would reduce public health risks or make more efficient use of source water capacity and treatment processes.
- Protect source water for drinking water systems.
- Promote coordination efforts both within and outside the Department of Natural Resources for the purpose of expediting the funding of projects.
- Implement a strategy through the department's Capacity Development Program to improve the technical, managerial and financial capacity of Missouri's public water systems. Additional information is available at http://dnr.mo.gov/env/wpp/pub/CDstrategy.htm.

## Short-term goals

- Secure source of state match for federal capitalization grants.
- Maximize the use and impact of available loan funds for eligible projects in accordance with the priorities and procedures described in this plan, using sound financial management.
- Continue to assist water systems in meeting Safe Drinking Water Act requirements.
- Develop and begin implementation of a marketing and communications plan to increase awareness of SRF funding.
- Have the Drinking Water SRF priority point criteria and readiness-to-proceed criteria updated and approved by the Missouri Safe Drinking Water Commission at least 60 days prior to the initial application receipt deadline (Feb. 15, 2017).

## What are the terms of the financial assistance we provide?

The Drinking Water State Revolving Fund offers a fixed-rate loan with a maximum term of 20 years. Short-term loans of one to three years are also available. Loan proceeds are to be expended within 36 months of the loan closing.

In accordance with state regulation 10 CSR 60-13.020, the interest rate is based on The Bond Buyer 25-Revenue Bond Index, which provides an estimate of the yield on a 30-year revenue bond offered under current market conditions. The rate is comparable to a AAA-rated municipal market rate.

The Missouri Department of Natural Resources charges an annual fee of 1/2 percent of the outstanding loan balance. The fee is used to administer the Drinking Water SRF program and to fund other water quality activities in accordance with federal regulations.

# Monett: Planning for the future

Monett, located 50 miles southwest of Springfield, is meeting its increasing water demands head-on. The Monett public water supply serves a population of about 8,800, but has annual water sales of more than 1 billion gallons, with local industry accounting for about 70 percent of usage.

The population of Monett is expected to increase by more than 6 percent over the next 20 years. Combine that with increasing industry and declining groundwater aquifers and the city could see the potential for not being able to meet the rising demands using its current infrastructure.

Water within the city of Monett is supplied by 11 deep bedrock wells, with nearly half the water coming from its two largest producing wells. Without treatment, these two wells would periodically produce cloudy water, resulting in one or both being taken off-line.

To continue meeting customers' water demands, the city added a treatment plant to ensure the two primary wells produced safe water at all times. This also allowed the city to use another well that was previously unavailable because it lacked treatment. Other aspects of the city's long-term vision included connecting the Monett airport well to the rest of the city water system, adding a booster pump station and upgrading water lines.

The total cost of the improvements to Monett's public water system was $13 million. The city asked the Department of Natural Resources for funding through the Missouri State Revolving Fund. It qualified for a $2 million grant and $11 million low-interest loan, saving Monett water customers more than $5 million in interest over a conventional loan.

# Drinking Water SRF helps Missouri communities

## Funding Totals

| | |
|---|---|
| Drinking Water Loans | $342 Million |
| Drinking Water Grants | $38 Million |
| Total | $380 Million |

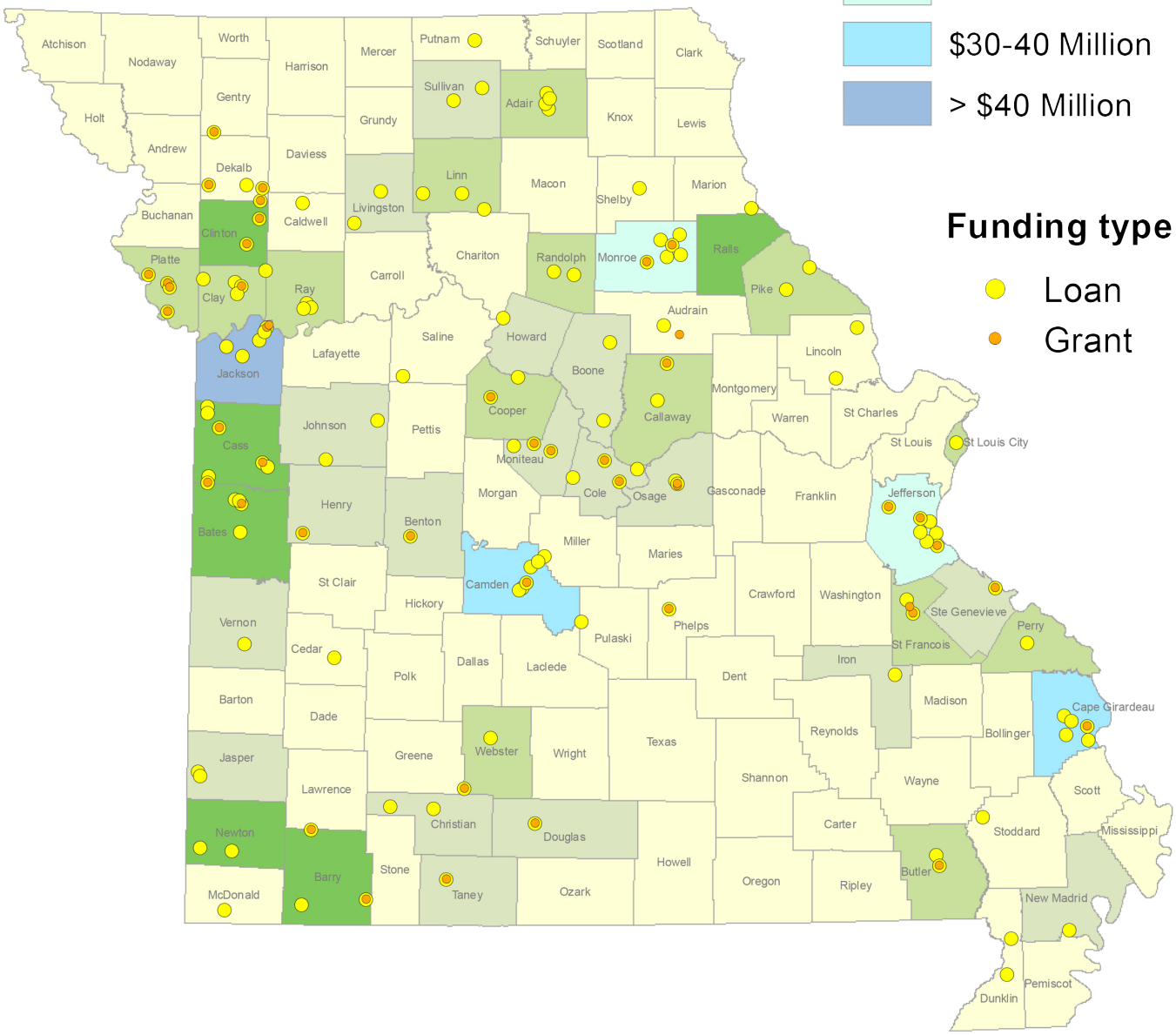
## Estimated Total Savings - $145 Million

## Funding Totals by County

- < $1 Million
- $1-5 Million
- $5-10 Million
- $10-20 Million
- $20-30 Million
- $30-40 Million
- > $40 Million

## Funding type

- Loan
- Grant



## Specifically, what pieces of my project can be funded?

Eligible expenses and allowable construction costs are described in state regulations that direct operation and management of Missouri's Drinking Water SRF program. Examples include engineering costs for planning, design and construction as well as costs to construct or rehabilitate collection and treatment structures and systems. A detailed list is available in 10 CSR 60-13.020 (Classification of Costs) at http://s1.sos.mo.gov/cmsimages/adrules/csr/current/10csr/10c60-13.pdf.

## How do we distribute Drinking Water State Revolving Funds?

Missouri law requires the funds be allocated as shown below:

- 20 percent to very small community systems serving fewer than 3,300 people
- 15 percent to small systems serving 3,301 to 9,999 people
- 65 percent to general communities (not restricted by population served)

Any uncommitted funds from a specific group may be distributed to fund projects in other groups that are ready to proceed. Additional information is Appendix 2 on page 14.

The maximum amount for a loan from any single Intended Use Plan will not exceed 30 percent of available loan funds or $10 million, whichever is less, unless approved by the Missouri Safe Drinking Water Commission.

## Additional Subsidization

The department may provide additional subsidization to recipients in the form of grant funds. The maximum grant amount per project is $2 million. Grant funds are allocated first to recipients meeting the definition of a disadvantaged community. Any grant funds remaining after consideration of disadvantaged communities are allocated as described in Appendix 3 on page 22. Additional subsidization funding is limited each year and must comply with congressional appropriations. The amount of grant funds available is described in Appendix 5 on page 31.

## Project Priority List: Ranking drinking water projects

Proposed drinking water projects receive points based on how they protect public health, comply with the Safe Drinking Water Act and household affordability. The most serious problems are given the highest priority. A complete list and points awarded for each criterion are located in the Priority Points Criteria Fact Sheet at http://dnr.mo.gov/pubs/pub2362.htm

## Projects being funded in fiscal year 2017

The list of projects being funded in fiscal year 2017 is ranked by priority in Appendix 2 on page 14 and at http://dnr.mo.gov/env/wpp/srf/drinkingwater-assistance.htm.

## Funding process

The department will review the proposed project based on Drinking Water State Revolving Fund eligibility requirements. Each project undergoes an application and technical review. If the proposed project is an eligible project, it will be added to the Drinking Water State Revolving Fund Project Priority List, which includes the following:

- **Fundable projects** have a complete facility plan and a voted bond or other debt instrument in place. (A debt instrument includes general obligation and revenue bonds.) These projects are scheduled for financial assistance during the current fiscal year, and funds are available to be allocated to the project.
- **Fundable Contingency projects** meet the readiness-to-proceed criteria and have a complete facility plan with acceptable debt instrument bonds in place, but sufficient SRF funding is unavailable. These projects may receive assistance if funds become available during the fiscal year.
- **Planning projects** have submitted an application but may not have submitted a facility plan or do not have a voted bond or authorization to incur debt. The department anticipates these projects may be eligible to receive financial assistance and works with these communities to advance the projects to meet the readiness-to-proceed criteria.

The Missouri Department of Natural Resources monitors project compliance and administers financial assistance for funded projects. This includes quarterly construction inspections, processing pay requests and reviewing change orders for funding eligibility.

## Modifications to Project Priority List

After the Missouri Safe Drinking Water Commission adopts the Drinking Water SRF priority lists, it may modify the lists or redistribute the available funds in accordance with 10 CSR 60-13.020:

- **Inadequate allocations:** If federal Drinking Water SRF allocations are less than the allocations anticipated, or if previous allocations are reduced, it may be necessary to reduce allocations to projects on the priority list.
- **Unanticipated or uncommitted funds:** The availability of unanticipated or uncommitted funds can result in a project moving from the contingency list to the fundable list. Additionally, the amount of funds allocated to projects on the fundable lists may increase or projects that have already received assistance may receive increased assistance.
- **Bypass:** A project on the fundable priority list not making progress in satisfying requirements for Drinking Water SRF assistance may be removed from the fundable priority list. The project is then placed on the fundable contingency or planning priority list as decided by the commission.
- **Project removal:** Projects may be removed from the priority list at the request of the applicant or a finding by the Department of Natural Resources that the project is ineligible for Drinking Water SRF assistance.

Before taking action to modify the Project Priority List, the department notifies those projects directly affected.

## Where the money comes from

Missouri applies to the U.S. Environmental Protection Agency annually for capitalization grants to fund its Drinking Water State Revolving Fund program. To increase available funds, the state leverages its EPA capitalization grants in the municipal bond market. These funds are combined with the required state match and interest earnings and then made available to Missouri communities in the form of low-interest loans. As the loans are repaid, the money is reused (revolved) by the State Revolving Fund to provide for future projects.

Project lists are in Appendix 2 on page 14, and information on the targeted funding is in Appendix 5 on page 31.

## Program commitments and state assurances

The Missouri Department of Natural Resources makes a number of program commitments and state assurances related to managing the Drinking Water SRF. See Appendix 5 on page 31 for a list of these commitments and assurances.

Federal appropriations to the Drinking Water SRF program primarily fund high-priority infrastructure projects. However, the Safe Drinking Water Act also allows states to set aside up to 31 percent for authorized projects that support public drinking water program activities. See Appendix 3 on page 22 for details on Missouri's set-asides.

## Other state grant and loan programs are available

Pending sufficient state revenue sources, engineering report services grants, small borrower loans and rural water grants may also be available. Additional information is available in Appendix 4 on page 30.

## Engineering Report Services Grants:

Engineering Report Services grants are funded through the department's Public Drinking Water Branch and are periodically made available to help community drinking water systems obtain an engineering report. The engineering report is to act as a first step toward implementing changes that will help the system achieve and maintain technical, managerial and financial capacity, including compliance with National Primary Drinking Water Regulations and the Missouri public drinking water regulations. The engineering studies include data collection, analysis and water system sustainability planning. The reports are valuable tools to help ensure continued delivery of adequate reliable and safe drinking water to customers in an efficient and cost-effective manner. These grants are offered periodically.

## Small Borrower Loans:

Small Borrower Loans are available only to communities or public water districts of fewer than 1,000 population or service area. Applications for small borrower loans are prioritized based on immediacy of need.

## Rural Water Grants:

Public water supply districts and communities with a population of fewer than 10,000 may be eligible for rural water grants. There are no funds available for Rural Water Grants in fiscal year 2017.

Additional information on engineering report services grants, small borrower loans and rural water grants is available in Appendix 4 on page 30 or online:

- Engineering Report Services Grants - http://dnr.mo.gov/env/wpp/pdwb/eng-report-svcs.htm
- Small Borrower Direct Loans - http://dnr.mo.gov/env/wpp/srf/drinkingwater-loans.htm#smborrower
- Rural Water Grants - http://dnr.mo.gov/env/wpp/srf/drinkingwater-grants.htm

To apply for these other state loans and grants, please contact the department's Financial Assistance Center at 573-751-1192 or fac@dnr.mo.gov.

# Appendix One: SRF

## Application Process and Requirements

### How to complete a Drinking Water SRF application

The application form, instructions and guidance documents are available at http://dnr.mo.gov/env wpp/srf/drinkingwater-assistance.htm.

1. Potential applicants are encouraged to contact the Missouri Department of Natural Resources prior to submitting an application http://dnr.mo.gov/forms/780-1845-f.pdf.
2. Complete a Facilities Plan Submittal Checklist http://dnr.mo.gov/forms/780-2091-f.pdf.

Additional guidance documents will be helpful:

- Drinking Water State Revolving Fund Readiness to Proceed and Distribution of Funds Criteria Fact Sheet http://dnr.mo.gov/pubs/pub2361.htm
- Drinking Water State Revolving Loan Fund Priority Points Criteria Fact Sheet http://dnr.mo.gov/pubs/pub2362.htm

Facility plans without the Facility Plan Submittal Checklist are not complete.
Incomplete facility plans will delay proposed projects and, ultimately, project funding.

Drinking Water SRF applicants are strongly encouraged to retain the services of a registered municipal financial advisor. The U.S. Securities Exchange Commission rules provide a clear definition of individuals who are considered municipal advisors. It also provides guidance as to the scope of services and activities they provide, and, most importantly, it requires municipal advisors, including those acting as financial advisors, to be registered with the Securities Exchange Commission. Additional information is available at https://www.sec.gov/municipal.

Applicants are also required to submit letters of approval from their state legislators when they submit their due diligence information. Find your Missouri representative and senator at http://www.senate.mo.gov/legislookup/Default.aspx.

### Description of assistance

For projects listed in this plan, the Drinking Water SRF assistance is in the form of loans with a target interest rate of 30 percent of AAA municipal market rate and an annual fee of 1/2 percent on the outstanding loan balance. Short-term loans are for a one- to three-year period. Long-term loans currently are fixed-rate loans that do not exceed 20 years. Additional subsidization in the form of grants may be provided in accordance with current federal appropriations if available.

### Carry-over projects

Unfunded projects that filed an original application by Feb. 15, 2015, were automatically carried into the fiscal year 2017 Intended Use Plan unless the Missouri Safe Drinking Water Commission bypassed or removed the project, or the proposed loan recipient has requested to be removed.

Feb. 15 is 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.

State regulation 10 CSR 60-13.020 establishes that applications are valid for two plan cycles. Those projects not meeting program criteria within the allotted two-year cycle will have their allocated funds released and reallocated to other projects. Reapplication to the program is possible at the end of the two-year cycle, but a project's position on a fundable, contingency or planning list may change with each subsequent application. Projects carried over from the 2016 Intended Use Plan retain the points they received under the criteria in effect at the time they initially applied. Carry-over projects in the fiscal year 2017 Intended Use Plan are not eligible to compete in the fiscal year 2018 Intended Use Plan unless reapplication is made by Feb. 15, 2017.

Potential applicants are strongly encouraged to contact the department prior to submitting an application; call 573-751-1192 or email fac@dnr.mo.gov.

## Funding List

Fundable Projects Lists identify those projects the Missouri Safe Drinking Water Commission intends to fund during a given fiscal year. An entity seeking to have a project placed on one of the fundable lists must have submitted a substantially complete facility plan and information indicating 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.

The Fundable Projects List is composed of three separate lists: very small community; small community; and general community.

## Coordination

Except for projects funded solely through the Drinking Water SRF, all applicants anticipating the use of other state or federal funds must complete a Missouri Water and Wastewater Review Committee project proposal. You can find information on both the application and the process at https://ded.mo.gov/upload/mwwrc_proposal.pdf and http://dnr.mo.gov/env/wpp/docs/mwwrc-submission-process.pdf. The applicant should contact the committee for a complete project proposal package. The Missouri Water and Wastewater Review Committee members represent the following agencies:

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Missouri Department of Economic Development, Community Development Block Grant Program
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**Darleen Groner**
Missouri Department of Natural Resources, Financial Assistance Center
1101 Riverside Dr., P.O. Box 176, Jefferson City, MO 65102
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**Trudy Ziegelhofer**
U.S. Dept. of Agriculture, Rural Development
601 Business Loop 70 West, Parkade Center, Suite 235, Columbia, MO 65203
Telephone: 573-876-0995

# Appendix Two:

## Project Lists and Financial Tables

## Sources and Uses of Funds

The Drinking Water SRF program expects to have approximately $72 million available for financing during this fiscal year. The estimate includes carry-over monies from previous years, repayments, interest earnings on investments of Drinking Water SRF resources, federal capitalization grants and state match.

Funds are allocated to projects that are on a Fundable List as approved by the Safe Drinking Water Commission. The amount of funds made available through this Intended Use Plan may be revised at any time due to changing economic conditions.

The estimated sources and anticipated uses of funds can be found in the following table. The amounts reflected are as of Dec. 31, 2015.

## Sources and Distribution of Funds
## Capitalization Grants and Loan Repayments
## (As of Dec. 31, 2015)

| | | | |
|---|---|---|---|
| **Estimated Sources** | | | |
| FFY 2013 DW SRF Capitalization Grant (federal portion only) | | $ 11,231,130 | |
| FFY 2014 DW SRF Capitalization Grant (federal portion only) | | $ 16,285,296 | |
| FFY 2015 DW SRF Capitalization Grant (federal portion only) | | $ 17,738,000 | |
| FFY 2016 DW SRF Capitalization Grant (federal portion only, not yet awarded) | | $ 16,781,000 | |
| Estimated Proceeds from Bond Refinancing (1/1/16 - 9/30/18) | | $ 2,337,977 | |
| Loan Repayment Fund (Balance in Fund 0602 as of 12/31/15) | | $ 52,048,887 | |
| Balance of Fund 0649 as of 12/31/15 | | $ 82,299 | |
| Estimated DWSRF portion of Fund 0602 Investment Interest (1/1/16 - 9/30/18) | | $ 376,952 | |
| Estimated DWSRF portion of Fund 0649 Investment Interest (1/1/16 - 9/30/18) | | $ 1,635 | |
| Reserve Release (1/1/16 - 9/30/18) | | $ 19,673,664 | |
| Direct Loans - Principal and Interest Repayments (1/1/16 - 9/30/18) | | $ 19,848,156 | |
| State Match Subsidy Fund (1/1/16 - 9/30/18) | | $ 1,880,261 | |
| State Match - FY 2015 Capitalization Grant - From SRF Admin Fees * | | $ 3,547,600 | |
| State Match - FY 2016 Capitalization Grant - From SRF Admin Fees * | | $ 3,356,200 | |
| **Total Estimated Sources** | | | **$ 165,189,057** |
| **Estimated Uses** | | | |
| Binding Loan Commitments (Balance of Reserve Payable Report 12/31/15) | | $ - | |
| Binding Grant and Loan Commitments (Balance of Project Payable Report 12/31/15) | | $ 30,759,260 | |
| Grant Funds Committed from FFY 2013 Cap Grant | $ 1,953,536 | | |
| Grant Funds Committed from FFY 2014 Cap Grant | $ 3,828,073 | | |
| Grant Funds Committed from FFY 2015 Cap Grant | $ 3,547,600 | | |
| Grant Funds Committed from FFY 2016 Cap Grant | $ 3,356,200 | | |
| Grant Commitments 1/1/16 - 9/30/16 (Details below) | $ (6,599,110) | | |
| Grant Funds Allocated to FY 17 DWSRF IUP Projects | | $ 6,086,299 | |
| Funds Committed to FFY 2013 DW Set-Aside Uses | | $ - | |
| Funds Committed to FFY 2014 DW Set-Aside Uses | | $ 3,965,346 | |
| Funds Committed to FFY 2015 DW Set-Aside Uses | | $ 5,498,780 | |
| Funds Committed to FFY 2016 DW Set-Aside Uses | | $ 5,202,110 | |
| 2010B Pledge Commitments (1/1/16 - 9/30/18) | | $ 3,217,738 | |
| 2015A Pledge Commitments (1/1/16 - 9/30/18) | | $ 2,013,231 | |
| Loan Commitments 1/1/16 - 9/30/16 (Details below) | | $ 41,627,369 | |
| Loan Funds Available for FY 17 DWSRF IUP Projects | | $ 66,818,924 | |
| **Total Estimated Uses** | | | **$ 165,189,057** |

* The source of the state match for this grant is a transfer into the fund from SRF Admin Fees. Match funds will be deposited and disbursed through the loan program.

| **Loan and Grant Commitments Before FY 17 IUP Approval** | **Loan** | **Grant** | **Total** |
|---|---|---|---|
| Tri-County Water Authority - Funded 1/25/16 | $ 33,432,000 | $ - | $ 33,432,000 |
| Reeds Spring | $ 311,500 | $ 934,500 | $ 1,246,000 |
| Birch Tree | $ 618,775 | $ 1,856,325 | $ 2,475,100 |
| Sunrise Beach - Phase I | $ 314,151 | $ 865,343 | $ 1,179,494 |
| Sparta | $ 1,920,762 | $ 1,920,761 | $ 3,841,523 |
| Lathrop (Line Replacement) | $ 1,022,181 | $ 1,022,181 | $ 2,044,362 |
| Fredericktown Water Systems - Funded 8/18/16 | $ 2,977,000 | $ - | $ 2,977,000 |
| Poplar Bluff (UV, Backup Supply and Distribution) - Funded 8/22/16 | $ 1,031,000 | $ - | $ 1,031,000 |
| **Total Commitments Before FY 17 IUP Approval** | **$ 41,627,369** | **$ 6,599,110** | **$ 48,226,479** |

## Project Lists

The list of fiscal year 2017 applicants appears below. The project lists follow the list of applicants.

It is important to note:

- The fundable project lists may change significantly between the draft Intended Use Plan placed on public notice and the final version approved by the Safe Drinking Water Commission.
- The inclusion of a project on the fundable list is not a guarantee of funding. Other factors, such as timely progress toward funding, compliance with program requirements and funding availability, may impact project funding.

For more information on the Drinking Water SRF Program, contact the department's Financial Assistance Center at 573-751-1192 or fac@dnr.mo.gov.

### Comprehensive List

***Note:*** ** Carried over from the last Intended Use Plan  X Fundable in the last Intended Use Plan*

| | | Priority Points | Applicant | DWSRF # | Population Served | Loan Request |
|---|---|---|---|---|---|---|
| * | X | 104 | Dexter | DW291320-01 | 7,545 | $ 10,100,000 |
| | | 85 | Madison County PWSD #1 | DW291364-01 | 1,959 | $ 3,706,796 |
| | | 85 | Memphis | DW291363-01 | 1,931 | $ 2,325,740 |
| | | 71 | Bismarck | DW291087-02 | 1,546 | $ 1,880,532 |
| | | 71 | Pierce City | DW291345-01 | 1,268 | $ 4,715,363 |
| * | X | 68 | Marshfield | DW291148-02 | 6,633 | $ 3,899,100 |
| * | | 67 | Buchanan County PWSD #1 (Interconnection and Distribution) | DW291339-02 | 2,400 | $ 3,380,000 |
| * | X | 65 | Campbell | DW291333-01 | 1,992 | $ 2,592,613 |
| | X | 65 | Missouri City | DW291351-01 | 267 | $ 1,142,352 |
| * | X | 60 | Harrisonville | DW291356-01 | 9,743 | $ 8,548,938 |
| | | 60 | Bowling Green (Treatment and Distribution) | DW291167-04 | 5,334 | $ 2,254,000 |
| * | X | 56 | Osage County PWSD #1 | DW291361-01 | 1,200 | $ 2,000,000 |
| | X | 55 | Sunrise Beach - Phase 2 | DW291219-03 | 431 | $ 473,700 |
| | | 51 | Cassville | DW291300-02 | 3,266 | $ 5,679,720 |
| * | X | 50 | Scotland Co. Consolidated PWSD #1 | DW291357-01 | 2,668 | $ 2,170,931 |
| * | X | 45 | Clarksville | DW291358-01 | 480 | $ 268,300 |
| * | X | 44 | Saline County PWSD #1 | DW291359-01 | 591 | $ 1,049,055 |
| * | X | 38 | Jackson Co. PWSD #13 | DW291336-01 | 5,400 | $ 3,000,000 |
| * | | 34 | Cass County PWSD #5 | DW291360-01 | 2,670 | $ 341,445 |
| | X | 34 | Brashear | DW291347-01 | 273 | $ 806,840 |
| * | X | 32 | Osage County PWSD #3 | DW291216-02 | 1,400 | $ 633,710 |
| | | | | | | |
| **Total Comprehensive List Projects** | | | | | | **$ 60,969,135** |

## Allocation Of Available Loan Funds

Missouri law requires that twenty percent and fifteen percent of available funds shall be made available to water systems serving populations of 3,300 or less (designated as very small communities) and water systems serving populations of 3,301 to 9,999 (designated as small communities respectively). The remaining sixty five percent (designated for general community) is not restricted by population served.

***It is important to note:***

*** The fundable project lists may change significantly between the draft Intended Use Plan placed on public notice and the final version approved by the Safe Drinking Water Commission.**

*** The inclusion of a project on the fundable list is not a guarantee of funding. Other factors, such as timely progress toward funding, compliance with program requirements and funding availability, may impact project funding.**

*** If a system is utilizing a Contract For Engineering Services: Design and Development for Community Water Systems Grant from the Department, their SRF project was reduced by a like amount.**

Distribution of Available Funds

| | | Loan | Grant |
|---|---|---|---|
| Very Small Community | 20% | **$ 13,363,785** | $ 6,086,299 |
| Small Community | 15% | **$ 10,022,839** | $ - |
| General Community | 65% | **$ 43,432,300** | $ - |
| **Total Available Funds** | | **$ 66,818,924** | **$ 6,086,299** |

### Financial Summary of the Fundable Projects Lists

| | Loans | | | | Grants | | | |
|---|---|---|---|---|---|---|---|---|
| | **Very Small Community** | **Small Community** | **General Community** | **Total** | **Very Small Community** | **Small Community** | **General Community** | **Total** |
| **Allocation** | **$ 13,363,785** | **$ 10,022,839** | **$ 43,432,300** | **$ 66,818,924** | **$ 6,086,299** | **$ -** | **$ -** | **$ 6,086,299** |
| **Total Projects (1)** | **$ (11,083,738)** | **$ (15,448,038)** | **$ -** | **$ (26,531,776)** | **$ (6,086,299)** | **$ -** | **$ -** | **$ (6,086,299)** |
| **Balance Before Transfers** | **$ 2,280,047** | **$ (5,425,199)** | **$ 43,432,300** | **$ 40,287,148** | **$ -** | **$ -** | **$ -** | **$ -** |
| | | | | | | | | |
| Transfers | $ (2,280,047) | $ 2,280,047 | | $ - | | | | $ - |
| | | $ 3,145,152 | $ (3,145,152) | $ - | | | | $ - |
| | | | | | | | | |
| **Total Transfers** | **$ (2,280,047)** | **$ 5,425,199** | **$ (3,145,152)** | **$ -** | **$ -** | **$ -** | **$ -** | **$ -** |
| | | | | | | | | |
| **Balance Available (2)** | **$ -** | **$ -** | **$ 40,287,148** | **$ 40,287,148** | **$ -** | **$ -** | **$ -** | **$ -** |
| | | | | | | | | |
| **Amount Forward to Project Tables (3)** | **$ 11,083,738** | **$ 15,448,038** | **$ 40,287,148** | **$ 66,818,924** | **$ 6,086,299** | **$ -** | **$ -** | **$ 6,086,299** |

(1) From the Project Lists on the subsequent pages.
(2) Balance may be shifted to other categories to fund projects that are ready to proceed.
(3) Amount equals the Allocation + Total Transfers.

| Carryover | Fund. Last IUP | Disadvantaged | Priority Points | Applicant | DWSRF # | Pop. | Description / Needs | Problem Code | Amount Requested | Loan | Grant | Financing Schedule FY - Quarter |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| ***Note:*** *An explanation of the abbreviations and codes appears at the end of the project lists.* | | | | | | | | | | | | |
| **Very Small Community 20% Reserve Fundable List (Systems that serve a population of 3,300 or fewer)** | | | | | | | | | | | | |
| **Amount Available** | | | | | | | | | | **$ 11,083,738** | **$ 6,086,299** | |
| | | | | | | | | | | | | |
| | | D | 85 | Madison County PWSD #1 | DW291364-01 | 1,959 | Dis, Well, Stor | 3 | $ 3,706,796 | $ 1,706,796 | $ 2,000,000 | 17-4 |
| | | D | 85 | Memphis | DW291363-01 | 1,931 | Dis, Stor, TP | 3 | $ 2,325,740 | $ 969,540 | $ 1,356,200 | 17-4 |
| * | X | D | 65 | Campbell | DW291333-01 | 1,992 | Dis | 3 | $ 2,592,613 | $ 648,153 | $ 1,944,460 | 17-2 |
| | X | D | 55 | Sunrise Beach - Phase 2 | DW291219-03 | 431 | Dis | 3 | $ 473,700 | $ 473,700 | $ - | 17-1 |
| * | X | D | 45 | Clarksville | DW291358-01 | 480 | Well | 3 | $ 268,300 | $ 67,075 | $ 201,225 | 17-2 |
| | | | | | | | | | | | | |
| | X | | 65 | Missouri City | DW291351-01 | 267 | Dis | 3 | $ 1,142,352 | $ 1,142,352 | $ - | 17-3 |
| * | X | | 56 | Osage County PWSD #1 | DW291361-01 | 1,200 | Dis, Stor | 3 | $ 2,000,000 | $ 1,415,586 | $ 584,414 | 17-3 |
| * | X | | 50 | Scotland Co. Consolidated PWSD #1 | DW291357-01 | 2,668 | Dis | 3 | $ 2,170,931 | $ 2,170,931 | $ - | 17-3 |
| * | X | | 44 | Saline County PWSD #1 | DW291359-01 | 591 | Dis, Stor | 3 | $ 1,049,055 | $ 1,049,055 | $ - | 17-3 |
| | X | | 34 | Brashear | DW291347-01 | 273 | Stor | 3 | $ 806,840 | $ 806,840 | $ - | 17-4 |
| * | X | | 32 | Osage County PWSD #3 | DW291216-02 | 1,400 | Dis, Stor | 3 | $ 633,710 | $ 633,710 | $ - | 17-3 |
| | | | | | | | | | | | | |
| **Very Small Community Total Fundable Projects** | | | | | | | | | **$ 17,170,037** | **$ 11,083,738** | **$ 6,086,299** | |
| **Balance** | | | | | | | | | | **$ -** | **$ -** | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| **Small Community 15% Reserve Fundable List (Systems that serve a population of 3,301 to 9,999)** | | | | | | | | | | | | |
| **Amount Available** | | | | | | | | | | **$ 15,448,038** | **$ -** | |
| | | | | | | | | | | | | |
| * | X | | 68 | Marshfield | DW291148-02 | 6,633 | TP, Stor | 3 | $ 3,899,100 | $ 3,899,100 | $ - | 17-3 |
| * | X | | 60 | Harrisonville | DW291356-01 | 9,743 | TP | 3 | $ 8,548,938 | $ 8,548,938 | $ - | 17-1 |
| * | X | | 38 | Jackson Co. PWSD #13 | DW291336-01 | 5,400 | Dis | 3 | $ 3,000,000 | $ 3,000,000 | $ - | 17-2 |
| | | | | | | | | | | | | |
| **Small Community Total Fundable Projects** | | | | | | | | | **$ 15,448,038** | **$ 15,448,038** | **$ -** | |
| **Balance** | | | | | | | | | | **$ -** | **$ -** | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| **General Community 65% Reserve Fundable List (Not restricted by population served)** | | | | | | | | | | | | |
| **Amount Available** | | | | | | | | | | **$ 40,287,148** | **$ -** | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| **General Community Total Fundable Projects** | | | | | | | | | **$ -** | **$ -** | **$ -** | |
| **Balance** | | | | | | | | | | **$ 40,287,148** | **$ -** | |
| | | | | | | | | | | | | |

| Carryover | Fund. Last IUP | Disadvantaged | Priority Points | Applicant | DWSRF # | Pop. | Description / Needs | Problem Code | Amount Requested | Loan | Grant | Financing Schedule FY - Quarter |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | |
| **Fundable Contingency List** **(Note: Information will be added to the shaded columns when the project moves to a fundable list)** | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| **Total Fundable Contingency Projects** | | | | | | | | | **$ -** | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| **Planning List** **(Note: Information will be added to the shaded columns when the project moves to a fundable list)** | | | | | | | | | | | | |
| * | | | 104 | Dexter | DW291320-01 | 7,545 | Well, TP, Stor, Dis | 3 | $ 10,100,000 | | | |
| | | | 71 | Bismarck | DW291087-02 | 1,546 | Dis, Stor, Well | 3 | $ 1,880,532 | | | |
| | | | 71 | Pierce City | DW291345-01 | 1,268 | Dis, Stor | 3 | $ 4,715,363 | | | |
| * | | | 67 | Buchanan County PWSD #1 (Interconnection and Distribution) | DW291339-02 | 2,400 | Dis | 3 | $ 3,380,000 | | | |
| | | | 60 | Bowling Green (Treatment and Distribution) | DW291167-04 | 5,334 | TP, Dis | 3 | $ 2,254,000 | | | |
| | | | 51 | Cassville | DW291300-02 | 3,266 | TP, Dis, Stor | 3 | $ 5,679,720 | | | |
| * | | | 34 | Cass County PWSD #5 | DW291360-01 | 2,670 | Dis | 3 | $ 341,445 | | | |
| | | | | | | | | | | | | |
| **Total Planning List Projects** | | | | | | | | | **$ 28,351,060** | | | |

| | | |
|---|---|---|
| * - Carried over from the last Intended Use Plan | TP - Treatment | 1 - Compliance |
| X - Fundable in the last Intended Use Plan | Stor – Storage | 2 - Public Health |
| D - Disadvantaged | Dis – Distribution | 3 - Future Regulatory Violation Expected |
| | Rehab - Rehabilitation | |

## Distribution of Loan Administration Fees

The fees charged by the Missouri Drinking Water SRF 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. The administration fees collected are considered

- program income earned during the capitalization grant period;
- program income earned after the capitalization grant period; or
- non-program income.

| Source And Distribution Of Funds<br>Loan Administration Fees[1]<br>As of Dec. 31, 2015 | | | |
|---|---|---|---|
| **Income** | Program Income Earned During Grant Period | Program Income Earned After Grant Period | Non-Program Income |
| Beginning Balance as of 07/01/15 | $ 4,423,452 | $ 5,130,212 | $ 787,350 |
| FY 16 Income (thru 12/31/15) | $ 8,204 | $ 461,980 | $ 59,194 |
| FY 16 Interest Earnings (thru 12/31/15) | $ 10,932 | $ 13,627 | $ 2,072 |
| Subtotal | $ 4,442,588 | $ 5,605,819 | $ 848,616 |
| **Expenditures Thru 12/31/15** | | | |
| FY 16 Program Administration | $ - | $ - | $ - |
| FY 16 PSD Expenditures | $ - | $ - | $ - |
| Subtotal | $ - | $ - | $ - |
| Income Less Expenditures | $ 4,442,588 | $ 5,605,819 | $ 848,616 |
| **Projected Income** | | | |
| FY 16 Income (01/01/16 - 06/30/16) | $ 49,739 | $ 245,703 | $ 70,471 |
| FY 16 Interest Income (01/01/16 - 06/30/16) | $ 17,124 | $ 8,089 | $ 3,392 |
| FY 16 Transfer to FFY 2015 Capitalization Grant Match (01/01/16 - 06/30/16)[2] | $ - | $ (3,547,600) | $ - |
| FY 17 Income (07/01/16 - 06/30/17) | $ 127,776 | $ 657,451 | $ 219,380 |
| FY 17 Interest Income (07/01/16 - 06/30/17) | $ 37,943 | $ - | $ - |
| FY 17 Transfer to FFY 2016 Capitalization Grant Match (07/01/16 - 06/30/17)[2] | $ (244,879) | $ (2,019,462) | $ (1,091,859) |
| Subtotal | $ (12,297) | $ (4,655,819) | $ (798,616) |
| **Projected Expenditures** | | | |
| FY 16 Program Administration | $ - | $ - | $ - |
| FY 16 State Parks Drinking Water Infrastructure | $ - | $ (900,000) | $ - |
| FY 16 Technical Assistance Grants | $ - | $ (25,000) | $ (25,000) |
| FY 17 Program Administration | $ - | $ - | $ - |
| FY 17 Technical Assistance Grants | $ - | $ (25,000) | $ (25,000) |
| Subtotal | $ - | $ (950,000) | $ (50,000) |
| Total Actual and Projected | $ 4,430,291 | $ - | $ - |

[1] The distribution of loan administration fees to various department activities is subject to change throughout the fiscal year. Actual fund uses will be shown in detail in the fiscal year 2017 Drinking Water State Revolving Fund Annual Report. FY 17 projected expenditures may include amounts carried over from prior fiscal years.

[2] Admin Fees are being used as a source of match for the FFY 2015 and 2016 Capitalization Grants. An ongoing source or sources of match funding have been requested through the state budget process.

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.

Administration fees charged by the program are deposited into an account outside of the Drinking Water SRF Fund. In accordance with federal regulations, fees charged by the program may be used for program administration or other purposes in accordance with 40 CFR 31.25 (g)(2) and (3) and federal capitalization grant requirements.

The department is using loan administration fees as match for the 2015 and 2016 federal capitalization grants. As each grant becomes available, loan administration fees held outside the revolving loan fund will be transferred into the Drinking Water SRF fund for disbursement through the loan program.

The fees are being used as a source of match. An ongoing source or sources of match funding have been requested through the state budget process.

# Appendix Three:

## SRF Program Administration

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

This Intended Use Plan describes the proposed use of funds reserved for financial assistance for drinking water infrastructure improvements during fiscal year 2017 (Oct. 1, 2016, to Sept. 30, 2017). This Intended Use Plan shall remain effective until Sept. 30, 2017, or until such time as the fiscal year 2018 Intended Use Plan becomes effective.

## Solicitation of Loan Applications for This Intended Use Plan

The application process is open to all community public water systems and not-for-profit, non-community public water systems that are not owned by the federal government.

The Missouri Safe Drinking Water Regulations require the department to have the application package for loans available to the public at least 60 days prior to the deadline for receipt of applications. The application package consists of the application form, priority point criteria and readiness-to-proceed criteria.

The department seeks public comment and holds a public meeting on the priority point criteria and readiness-to-proceed criteria. The priority point criteria describe the criteria the department uses to prioritize loan applications. The readiness-to-proceed criteria describe the minimum criteria that an applicant must meet to be eligible to be placed on the fundable list.

Both criteria are in the 2016 Intended Use Plan, which was approved by the Safe Drinking Water Commission on Nov. 12, 2015. The department made the application package available to the public with an initial application receipt deadline of Feb. 15. 2016, and issued a notice informing the public of the availability of loan applications. It also notified city water systems, water districts and engineering firms in Missouri.

After reviewing applications for eligibility and financial requirements, the department used the priority point criteria and readiness-to-proceed criteria to assign priority points and to determine if the applicant met the readiness-to-proceed criteria. Applications received by the initial deadline that substantially met the readiness-to-proceed criteria received priority for funding over those received after the deadline.

## Solicitation of Loan Applications for Fiscal Year 2018

In fiscal year 2017, the department will solicit loan applications for loan funds available in fiscal year 2018. The process that will be used for solicitation and review of the applications will follow the same process and procedures described in this plan.

The loan application package, which includes the application form and instructions, priority point criteria and readiness-to-proceed criteria, is available online at http://dnr.mo.gov/env/wpp/srf/drinkingwater-project-assistance.htm or by contacting the department's Financial Assistance Center at 573-751-1192 or fac@dnr.mo.gov.

The initial application receipt deadline for fiscal year 2018 applications is **Feb. 15, 2017.** Applications received by that date that meet readiness-to-proceed criteria will receive priority for funding over those received after that date.

**Carryover projects in the fiscal year 2017 Intended Use Plan are not eligible to compete for fiscal year 2018 funding unless reapplication is made by Feb. 15, 2017.**

## Additional Subsidization

As funding is available, projects for a disadvantaged community may be funded through a combination of 75 percent grant and 25 percent loan with a maximum grant of $2 million per applicant. Any grant funds remaining after disadvantaged communities allocations are allocated to projects with a maximum grant of $2 million, not to exceed 50 percent of the project cost, per applicant in accordance with the criteria described below.

Per 10 CSR 60-13.020, a disadvantaged community is any community with a population of 3,300 or fewer based on the most recent decennial census, whose average user rates for 5,000 gallons will be at or above 2 percent of the recipient median household income, and the recipient median household income is at or below 75 percent of the state average as determined by the most recent decennial census.

The intent of the program is to target, as much as possible, the additional subsidized monies to communities that could not otherwise afford an SRF loan. To meet this goal, the use of grant funds will be committed to projects using the following criteria, listed in order of priority:

- Projects serving disadvantaged communities on any fundable list based on priority ranking in the order of highest ranking to the lowest ranking;
- Refinancing projects are not eligible for grant funding unless the community is disadvantaged;
- Projects on the Very Small Community 20 percent Reserve Fundable List based on priority ranking;
- Projects on the Small Community 15 percent Reserve Fundable List based on priority ranking; and
- Projects on the General Community 65 percent Reserve Fundable List based on priority ranking.

## Assistance to Small Communities

Missouri law requires that at least 35 percent of the monies credited to the Drinking Water SRF program shall be made available to eligible water systems serving fewer than 10,000 people. This is a higher percentage than the 15 percent minimum federal requirement for these water systems. Of the 35 percent, 20 percent is for systems serving 3,300 or fewer people, and 15 percent is for systems serving from 3,301 to 9,999 people.

To demonstrate this commitment, the fundable list contained in Appendix 2 has three parts: the very small community 20 percent reserve, the small community 15 percent reserve and the general community 65 percent reserve. The general community 65 percent reserve is not restricted to systems of a certain population.

## Priority System

The department prioritizes loan applications using the priority point criteria in effect at the time the application is received. So, projects carried over from the 2016 Intended Use Plan retain the points they received under the criteria in effect at the time they initially applied.

The department assigns priority points based on the overall project. The Fiscal Year 2017 Project Lists in Appendix 2 list all the new and carry-over loan projects from highest to lowest priority. The priority point criteria and readiness-to-proceed criteria are available online at
http://dnr.mo.gov/env/wpp/srf/drinkingwater-assistance.htm.

## Cash Flow Model

Missouri uses the cash flow model for the Drinking Water SRF.

The Cash Flow Model diagram on page 25 illustrates the SRF flow of funds. Construction loan repayments must begin within one year after the first operational contract is substantially completed; that is, the facilities are

placed into operation. The loan repayment schedules will generally consist of semi-annual interest payments, and semi-annual or annual principal payments. The trustee bank holds the periodic participant repayments in separate recipient accounts outside the Drinking Water SRF. Interest earnings on these recipient accounts are credited to the communities' debt service account, which reduces the amount of interest to be paid by the communities.

The department receives federal Capitalization Grants from the Environmental Protection Agency. There is a 20 percent state match required to receive the grants. The funds are deposited into the State Revolving Fund (A) and used in accordance with applicable federal and state program requirements. State match funds are disbursed prior to using Capitalization Grant funds.

Under the cash flow model loan program, the department purchases the debt obligations of the participants directly. As construction progresses, funds are released from the Drinking Water SRF (A) to the recipient (B) through the trustee bank (C) so the construction costs can be paid. Recipients of a grant receive the grant funds directly from the Drinking Water SRF program. Upon completion of the project, the loans are adjusted to reflect the final loan amount.

Loan recipients send their loan principal and interest payments to the trustee bank (C). At such time as the Drinking Water SRF program needs to replenish the repayment fund, the EIERA (D) exercises its authority to sell bonds, and the direct loans are pledged to retire the EIERA debt. The proceeds of this sale are deposited into the Drinking Water SRF repayment account. The principal and interest payments on the EIERA bonds are secured through the pledge of the direct loan principal and interest payments from previous Drinking Water SRF program participants. Any surplus principal and interest that is not needed for the EIERA debt service is deposited into the repayment account.

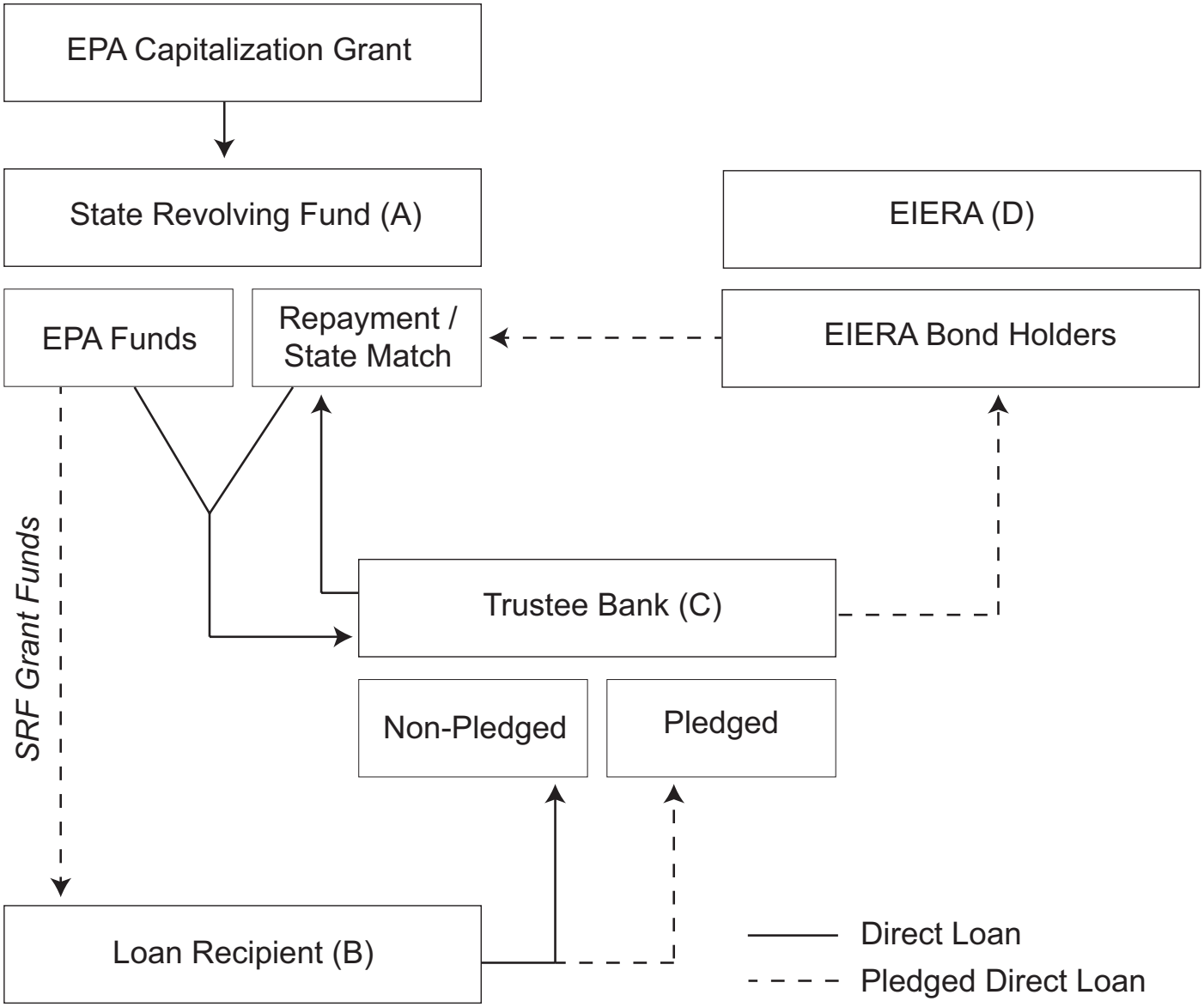
## Cross-collateralization of funds

The U.S. Departments of Veterans 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 and the Clean Water State Revolving Fund. Cross-collateralization allows states to use Clean Water SRF funds as security for bonds issued to finance Drinking Water SRF 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.

## Transfer of Funds from the Drinking Water SRF to the Clean Water SRF

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. The rules governing the transfer of funds limit the dollar amount a state can transfer to no more than 33 percent of a Drinking Water SRF capitalization grant. As funding is available and as needs arise, the Department can transfer loan funds with the approval of the Missouri Safe Drinking Water Commission, the Missouri Clean Water Commission and EPA. Transfers between the two funds may enhance the lending capacity of one or both state revolving funds. State statute 644.122 RSMO provides Missouri's legal authority to implement this transfer of funds. No transfers are planned for fiscal year 2017.

# Drinking Water SRF Cash Flow Model



A listing of current and recent transfers is below:

| Fiscal Year | Clean Water SRF | Drinking Water SRF |
|---|---|---|
| 2013 | $10,000,000 | ($10,000,000) |
| 2013* | $18,500,000 | ($18,500,000) |
| 2015 | ($5,000,000) | $5,000,000 |
| 2016 | ($5,000,000) | $5,000,000 |

*Federal capitalization grant portion.

The department, with prior approval from the Missouri Safe Drinking Water Commission, the Missouri Clean Water Commission and EPA as appropriate, reserves the right to make additional transfers in the future.

## Assistance for Disaster Relief

The department may provide financial assistance to projects that address direct or indirect damage to a drinking water system in a declared disaster area. Funding is available under the Drinking Water SRF loan and Drinking Water State Direct Loan Program for disaster-related projects. The department may provide these projects with advanced authority to construct in accordance with 10 CSR 60-13.030(4). These projects may be given preferential priority ranking when determining the use of uncommitted Drinking Water SRF loan funds.

## Allocation of Drinking Water Capitalization Grant

This section summarizes previously awarded federal capitalization grants and the anticipated award of the 2016 grant.

The Safe Drinking Water Act Amendments of 1996 authorize funding for the Drinking Water SRF, and Congress appropriates this funding annually. Each state and U.S. territory is eligible for a portion of this funding. The act authorizes EPA to use a portion of the funding for health effects studies, small system technical assistance, monitoring of unregulated contaminants and operator certification reimbursement grants. EPA allots the remaining funds appropriated for the Drinking Water SRF to each state based on the state's proportional share of total eligible needs reported for the most recent drinking water infrastructure needs survey, which is conducted every four years.

## Capitalization Grant Allocation for Missouri's Drinking Water SRF Program

Federal capitalization grants will be used to fund loans, grants and authorized set-aside activities for federal fiscal year 2016. A summary of the percentage reserved from each capitalization grant appears below.

The department reserves up to 31 percent of the grants for authorized set-aside activities. If the department does not use the full 31 percent for set-aside activities, the difference will be used for financing infrastructure projects.

| Federal Fiscal Year | Loans and Grants | Set-Asides |
|---|---|---|
| 2013 | 69% | 31% |
| 2014 | 69% | 31% |
| 2015 | 69% | 31% |
| 2016 | 69% | 31% |

## Drinking Water SRF Set-Asides

Federal appropriations for the Drinking Water SRF program are used primarily to fund low-interest loans to public drinking water systems for high priority infrastructure projects. However, the Safe Drinking Water Act allows states to reserve up to 31 percent of the federal capitalization grant to fund authorized activities that support public drinking water program activities. This is referred to as the set-asides.

Activities supported by the set-asides include supplemental funding to support the state primacy program, capacity development, wellhead protection, operator certification and technical, managerial and financial capacity assistance to public water systems. Set-aside activities are implemented and managed by the department's Public Drinking Water Branch.

This section of the Intended Use Plan indicates how the department intends to use the set-asides that will be available from the federal fiscal year 2016 capitalization grant.

### A. Distribution of Set-Aside Funds

The Department of Natural Resources intends to reserve 31 percent of the federal fiscal year 2016 capitalization grant for set-asides and will deposit those funds in a separate account. Table 1 shows the intended distribution of these set-asides.

The department reserves the right to reserve the unused set-asides authority from the federal fiscal year 2016 capitalization grant for future set-aside expenditures.

Table 1. Distribution of Set-Aside Funds

| Set-Aside Activities | Percent Capitalization Grant | Amount |
|---|---|---|
| Drinking Water SRF Administration and Technical Assistance | 4 percent | $671,240 |
| Small System Technical Assistance | 2 percent | $335,620 |
| Public Water System Supervision | 10 percent | $1,678,100 |
| Local Assistance and Other State Programs | 15 percent | $2,517,150 |
| Total | 31 percent | $5,202,110 |

### B. Description of Set-Aside Activities

1. DRINKING WATER SRF ADMINISTRATION AND TECHNICAL ASSISTANCE

This set-aside provides funding to administer the programs established under section 1452 of the federal Safe Drinking Water Act and to provide technical assistance to public water systems. A state can reserve a maximum of 4 percent of the capitalization grant for these purposes.

The department is reserving the entire 4 percent available under this set-aside. It will use this funding for salaries and associated expenses of program personnel to administer the Drinking Water SRF loan program, including the following:

- Assistance to loan applicants and loan recipients;
- Project review and approval;
- Assistance with the needs survey, project prioritization, loan issuance, payment and accounting activities; and
- Tracking repayments and project inspections.

In addition, the Department of Natural Resources will use the set-aside for equipment and training staff.

The department may also use a portion of this funding to contract for assistance to help loan applicants and potential applicants with rate setting and other similar hurdles related to meeting loan eligibility criteria.

It may also use this set-aside for technical assistance to public water systems in the form of Engineering Report Services Grants to community water systems.

If the department does not use the entire authorized amount, it will reserve the unused balance and use it for technical assistance to small systems the following year.

2. SMALL SYSTEMS TECHNICAL ASSISTANCE

This set-aside provides technical assistance to public water systems that serve 10,000 or fewer people. The department intends to continue using this set-aside to assist small public water systems in the following ways:

- Complying with existing and near-term federal Safe Drinking Water Act requirements;
- Obtaining Engineering Report Services Grants and facility plans; and
- Other technical assistance activities that will improve compliance with safe drinking water requirements.

The Department of Natural Resources will provide technical assistance using staff and contract services.

The department is taking the full 2 percent allowed for this set-aside. If it does not use the entire authorized amount, it will reserve the unused balance and use it for technical assistance to small systems the following year.

3. PUBLIC WATER SYSTEM SUPERVISION

This set-aside can be used for the following:

- Primacy program support;
- Administering or providing technical assistance through source water protection programs;
- Developing and implementing a capacity development strategy; and
- Operator certification.

The department has used and intends to continue using this set-aside for these authorized activities.

This set-aside requires a 1:1 state match that is in addition to the state match required to receive the federal capitalization grant. The department is meeting this additional match requirement through primacy fee funds.

Examples of the activities funded by this set-aside include:

- Primacy program activities, including program administration, inspections and sanitary surveys, rule development, primacy applications, compliance and enforcement, information and data management;
- Technical assistance;
- Contracts for database system updates and maintenance;
- Research into emerging contaminants;

- Contract lab support;
- Capacity development strategy development and implementation;
- Operator certification program administration;
- Source water protection plan review and approval; and
- Administration of grant programs for well plugging and source water protection measures.

The Department of Natural Resources intends to take the full 10 percent allowed for this set-aside. If the department does not use the entire authorized amount of this set-aside, it will reserve the unused balance and use it for eligible activities the following year.

4. LOCAL ASSISTANCE AND OTHER PROGRAMS AUTHORIZED BY SECTION 1452(K) OF THE SAFE DRINKING WATER ACT

The act allows states to set aside up to 15 percent of the capitalization grant for the following:

- Source water protection loans to acquire land or easements;
- Source water protection loans to implement local, voluntary source water protection programs;
- Assistance, including technical, managerial and financial assistance, to any public watersystem as part of a capacity development strategy; and
- Expenditures for the establishment and implementation of wellhead protection programs compliant with section 1428 of the act.

The department intends to use this set-aside to provide technical, managerial and financial assistance to public water systems as part of the capacity development strategy and for wellhead protection. It is setting aside 15 percent of the capitalization grant for these purposes. If the department does not use the entire authorized amount, it will reserve the unused balance and use it for eligible expenses the following year or transfer funds to the loan program.

The types of activities the department intends to fund with this set-aside include, but are not limited to, the following:

- Contracting for circuit riders to conduct leak detection surveys; provide compliance assistance, and technical, managerial and financial capacity assistance to water systems; and operator training;
- Grants to community water systems for implementation of source water protection measures and plan development;
- Grants to community water systems to plug abandoned drinking water wells that threaten aquifers;
- Performing studies to determine new technologies for the purpose of safely performing storage tank inspections.
- Contracting with the University of Missouri for maintaining public water system source water assessment and delineation information;
- Performing studies to assist small community water systems with disinfection by-product compliance issues;
- Education and outreach materials and training sessions on water system capacity development, source water protection or wellhead protection issues;
- Assistance to public water systems with development of regional solutions to solve capacity issues;
- Providing vouchers to community water systems to defray the costs associated with operator training and certification;
- Contracting for training of drinking water system board and city council members; and
- Other activities as appropriate to implement the capacity development strategy or promote wellhead protection.

# Appendix Four:

## Other state-funded grant and loan programs

**Engineering Report Services Grants:** Engineering Report Services grants are funded through the department's Public Drinking Water Branch and are periodically made available to help community drinking water systems obtain an engineering report. The engineering report is to act as a first step toward implementing changes that will help the system achieve and maintain technical, managerial and financial capacity, including compliance with National Primary Drinking Water Regulations and the Missouri public drinking water regulations. The engineering studies include data collection, analysis and water system sustainability planning. The reports are valuable tools to help ensure continued delivery of adequate reliable and safe drinking water to customers in an efficient and cost-effective manner. These grants are offered periodically.

**Small Borrower Loans:** Small Borrower Loans are available only to communities or public water districts of fewer than 1,000 population or service area. Qualifying communities or public water districts may be considered for a direct loan for drinking water system improvements for up to $100,000 with a maximum 20-year repayment term. Applications for small borrower loans are prioritized based on immediacy of need.

**Rural Water Grants:** Public water supply districts and communities with a population of fewer than 10,000 may be eligible for rural water grants. These grants cover up to 50 percent of the eligible cost of a project that does not qualify for a loan from the Drinking Water State Revolving Fund Program. Grants are capped at $500,000, and there are restrictions. There are no additional funds available for Rural Water Grants in fiscal year 2017.

Additional information on engineering report services grants, small borrower loans and rural water grants is available online:

- Engineering Report Services Grants - http://dnr.mo.gov/env/wpp/pdwb/eng-report-svcs.htm
- Small Borrower Direct Loans - http://dnr.mo.gov/env/wpp/srf/drinkingwater-loans.htm#smborrower
- Rural Water Grants - http://dnr.mo.gov/env/wpp/srf/drinkingwater-grants.htm

To apply for these other state loans and grants, please contact the department's Financial Assistance Center at 573-751-1192 or fac@dnr.mo.gov.

# Appendix Five:

## EPA Requirements and Assurances

The Missouri Department of Natural Resources makes a number of program commitments and state assurances related to managing the Drinking Water SRF. Each year, the department intends to comply with each of the terms and conditions in the capitalization grant.

### Federal capitalization grants

The Department of Natural Resources receives federal capitalization grants from the Environmental Protection Agency. There is a 20 percent state match required to receive the grants. The funds are used in accordance with applicable federal and state program requirements. State match funds are disbursed prior to using capitalization grant funds.

Undrawn funds under federal capitalization grants are referred to as unliquidated obligations (ULO) by the EPA. The department intends to disperse funds available under the Drinking Water SRF loan program generally in the following order of priority: 1) state match funds, 2) federal capitalization grant funds and 3) recycled funds. The department intends to manage set-aside accounts to fully draw the set-aside within 24 months of issuance of a capitalization grant.

### Additional subsidization

A portion of the capitalization grants since 2010 are to be used to provide additional subsidization. A summary of the amounts reserved from each capitalization grant appears below.

| Federal Fiscal Year | Amount |
|---|---|
| 2013 | $4,883,100 |
| 2014 | $3,828,073 |
| 2015 | $3,547,600 |
| 2016 | $3,356,200 |

Missouri safe drinking water regulations allow for additional subsidies in the form of principal forgiveness, negative interest loans, grants or any combination thereof per any federal act.

The federal fiscal year 2016 capitalization grant requires that 20 percent of the$16,781,000 grant shall be used to provide additional subsidies. The department reserved $3,356,200 of the grant for additional subsidies in the form of grants.

These grant funds will be committed to projects as they become fundable using the guidelines described in Appendix 3 on page 22.

For each capitalization grant, the department intends to continue to reserve any carry-over grant funds for projects the following fiscal year unless modified as described in this plan.

### Public review and comment

The Intended Use Plan and priority list are reviewed and adopted through a public review and comment process.

## Environmental review

The department has adopted regulation 10 CSR 60-13.030, which provides for a state environmental review in accordance with the National Environmental Policy Act for projects receiving Drinking Water SRF loans. Projects have a potential need for preparation of an environmental impact statement. A final decision regarding the need for an environmental impact statement will be made on each project during review of the facility plans. Most projects are determined to have no significant impact or can meet a categorical exclusion.

## Federal cross-cutters, signage requirements and the Federal Funding Accountability and Transparency Act (FFATA)

The Missouri Safe Drinking Water Commission assures that all Drinking Water SRF requirements are met by the designated equivalency projects in prior intended use plans. This means that for each capitalization grant the department receives, it has to identify a group of projects that equals the amount of the grant and ensures those projects meet all required federal cross-cutters, signage requirements, and FFATA. Cross-cutters include environmental, social and economic federal laws, executive orders and policies that apply to projects receiving federal financial assistance. Examples of the cross-cutters include compliance with the Endangered Species Act, the Civil Rights Act, the Equal Employment Opportunity Order and the Uniform Relocation Act. Signage requirements will be established by the department and may include construction signage, posters, brochures, newsletters, bill insert, press releases or other acceptable media. FFATA requires reporting on executive compensation. All projects are susceptible to equivalency requirements. A final determination is made at the time of loan closing or other binding financial agreement execution.

## Binding commitments

The department will enter into binding commitments for a minimum of 120 percent of each EPA grant payment into the Drinking Water SRF within one year of the receipt of each payment.

## Expenditure of funds

The department will expend all funds in the Drinking Water SRF in an expeditious and timely manner.

## Anticipated cash draw ratio (proportionality)

Missouri uses the cash flow model of the Drinking Water SRF. The federal capitalization grant is not used as security on the state match bonds. State match funds are deposited prior to using capitalization grant funds for Set-Aside expenditures. State match funds are disbursed prior to using capitalization grant funds for the loan program.

## Additional Recipient Requirements

- **Single Audit Act Compliance**
  Recipients of federal funds from any source(s) totaling more than $750,000 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 and grant documents will include specific information.

- **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 the Drinking Water SRF must comply with the requirements of the Missouri Department of Labor and Industrial Relations.

  The Department of Natural Resources will not supply annual wage orders (wage determinations) for the projects. It is the responsibility of each recipient to obtain the correct wage orders and maintain compliance throughout the project. For additional information, contact the Missouri Department of Labor and Industrial Relations, Division of Labor Standards, Wage and Hour Section, 3315 W. Truman Boulevard, Room 205, P.O. Box 449, Jefferson City, MO 65102-0449; 573-751-3403, or laborstandards@labor.mo.gov.

- **Davis-Bacon Act**
  All agreements to provide assistance for any construction project carried out in whole or in part with such assistance made available by the Drinking Water State Revolving Fund, shall comply with the requirements of section 1450(e) of the Safe Drinking Water Act (42 U.S.C.300j-9(e)) in all procurement contracts and sub-grants, and require that loan recipients, procurement contractors and sub-grantees include such a term and condition in subcontracts and other lower-tiered transactions. This requirement applies to all agreements to provide assistance under the authorities referenced herein, whether in the form of a loan, bond purchase, grant or any other vehicle to provide financing for a project, where such agreements are executed on or after Oct. 30, 2009.

  Anyone employed on projects funded directly or in part by the federal government must be paid prevailing wages as determined by the Secretary of Labor. The U.S. Department of Labor has additional information, including an overview and compliance assistance resources, at https://www.dol.gov/whd/govcontracts/dbra.htm.

- **Procurement of Professional Services**
  In accordance with Sections 8.285 through 8.291 and 327.181 RSMo, all Drinking Water SRF recipients shall negotiate contracts for architectural, engineering and land surveying services on the basis of demonstrated competence and qualifications for the type of services required and at fair and reasonable prices.

- **Signage**
  The recipient agrees to comply with the SRF Signage Guidance, dated June 3, 2015, to enhance public awareness of EPA assistance agreements nationwide.

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For more information, contact the Department of Natural Resources' Financial Assistance Center at **573-751-1192**, **fac@dnr.mo.gov** or **http://dnr.mo.gov/env/wpp/srf/**.

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