

APPLICATION FOR STATE REVOLVING FUND LOAN
for the Construction of Wastewater Treatment Facilities
(Revised 02/2015)

A completed application must be submitted for each proposed project. If any information requested in this application was previously submitted for a prior loan or grant project, please indicate the project number in the space provided. Provide supporting documentation or additional pages as appropriate.

I. ORGANIZATIONAL DATA

Applicant Name: _____

Address:

Contact person: _____

Telephone number: _____

II. PROJECT NAME AND DESCRIPTION

Project Name: _____

Description:

Population to be served by project: _____

State Senate District: _____

State House District: _____

III. PROJECT NEED AND ENVIRONMENTAL BENEFITS

A. Need for Project:

B. Projected useful life of the Project: ____ years

Note: Based on the Federal Water Pollution Control Act (FWPCA) section 603(d)(1)(A)&(B), the loan term cannot exceed the lesser of 30 years and the projected useful life of the project.

C. Project Environmental Benefits:

1. This project will contribute to water quality by:

____ Improving it ____ Maintaining it ____ N/A

2. This project will allow the facility/system to:

____ Achieve compliance ____ Maintain compliance ____ N/A

3. This project involves a facility/system that discharges to a waterbody that is:

____ Meeting standards ____ Impaired ____ Threatened

____ Not Assessed ____ N/A

4. This project will allow the facility/system to:

____ Protect public health ____ Restore public health

____ N/A

5. This project will allow the facility/system to prevent wastewater spills to the:

_____ Ground _____ Surface Waters _____ N/A

6. This project involves other environmental benefits noted below:

IV. PROJECT COSTS

Attach the engineer's estimate of total project costs, if it differs from the estimate submitted with the planning and design documents.

Estimated Total Project Cost: _____

SRF Loan Requested: _____

Source and Amount of all other revenue:

Source of other Revenue:

Amount:

_____	_____
_____	_____
_____	_____

V. PROJECT SCHEDULE DATES

Date:

Advertise for construction bids	_____
Open construction bids	_____
Negotiate A/E agreement(s)	_____
Award construction and/or A/E contracts	_____
Issue Notice to Proceed	_____
Complete construction	_____

VI. RELATED PROJECTS

List all related sewer projects which must be constructed in order to fully utilize the subject project. Also, list the anticipated dates these projects will be constructed.

Title of Related Project:	Estimated Construction Date:
_____	_____
_____	_____
_____	_____

VII. REQUIRED DOCUMENTS AND FORMS

Note: Documents and forms **MUST** be completed and submitted to DOH before the execution of the final agreement.

1. If completed, attach the documents listed below:
 - a. A resolution or ordinance passed by the County Council which authorizes the SRF loan application and identifies the dedicated source(s) of revenue (e.g., general obligation bonds) which will fund the project and repayment of the loan with interest.
 - b. An opinion signed by a competent title counsel describing the interest the applicant has in the site, including information about any easements and right-of-ways, and certifying that interest is legal and valid. The opinion should also include information as to whether or not:
 - 1) The applicant (or the present owner if fee simple title has not been, or is not to be, acquired) has good and valid title to the entire site (excluding easements and right-of-ways) free and clear of any pre-existing mortgages, deeds of trust, liens, or other encumbrances which would affect the value or site usefulness for the purpose intended;
 - 2) Any deeds or documents required to be recorded have been duly recorded or filed for record, whenever necessary, in order to protect the title of the owner and the interest of the applicant; and,
 - 3) The applicant has complied with the 1971 Uniform Relocation Assistance and Real Property Acquisition Policies Act, if necessary.
 - c. Any inter-governmental or County-private agreements relative to this project.

- *2. For federally-funded projects, complete the attached form:
Pre-award Compliance Report, (EPA form 4700-4)

VIII. ASSURANCES

The applicant certifies that _____
(name of legal entity)

1. Has the legal, institutional, managerial and financial capability to ensure adequate construction, and operation and maintenance (including replacement) of the wastewater treatment works, and has analyzed the local share of the costs of the proposed wastewater treatment facilities, including the financial impact on each community and the residents of the service areas; and,
2. Will operate and maintain the publicly-owned treatment works in accordance with the minimum standards as required by the cognizant Federal, State and local agencies for the operation and maintenance of such facilities; and/or in accordance with any applicable National Pollutant Discharge Elimination System (NPDES) permit; and,
3. Will initiate procurement action for A/E and/or construction services for building all significant elements of the project in accordance with the project schedule indicated in this application and approved by DOH upon issuance of the loan agreement; and,
4. Will diligently pursue project completion in accordance with the project schedule submitted herewith; and,
5. Will give the State of Hawaii or its assignees, through any authorized representative, access and the right to examine all records, books, papers, or documents related to the loan; and will retain all construction records for three years following the project initiation of operation; and,
6. Will maintain a financial accounting system in accordance with the generally accepted accounting principles set forth by the Governmental Accounting Standards Board; and,
7. Will not dispose of, or modify the use of or change the real property title terms or other interest in the site and facilities without permission and instructions from DOH; and,
8. Will establish safeguards to prohibit employees from using their positions for purposes that constitute or give the appearance of personal or organizational conflict of interest; and,

9. Has not and will not violate any Federal, State, or local law pertaining to fraud, bribery, graft or collusion; and,
10. Will provide and maintain competent and adequate engineering supervision and inspection at the construction sites to ensure that the completed work conforms with the approved plans and specifications and will furnish progress reports and such other information as DOH may require; and,
11. Will comply with all applicable federal and state requirements, including all other laws, regulations, policies, applicable requirements and conditions relating to assistance for this project.
12. The applicant must certify that it will comply with the following federal "cross-cutting" authorities, as applicable, including the Single Audit of 1984 (PL 98-502).

*a. Environmental Authorities

- *1) Archeological and Historic Preservation Act of 1974, 16 USC 469a-1
- *2) Clean Air Act, 42 USC 7401
- *3) Coastal Barriers Resources Act, 16 USC 3501
- *4) Coastal Zone Management Act, 16 USC 1451
- *5) Endangered Species Act, 16 USC 1531
- *6) Environmental Justice, Executive Order 12898
- *7) Farmland Protection Policy Act, 7 USC 4201
- *8) Fish and Wildlife Coordination Act, 16 USC 661
- *9) Floodplain Management, Executive Order 11988 (1977), as amended by Executive Order 12148 (1979)
- *10) National Historic Preservation Act, 16 USC 470
- *11) Protection of Wetlands, Executive Order 11990 (1977), as amended by Executive Order 12608 (1997)
- *12) Safe Drinking Water Act, 42 USC 300f
- *13) Wild and Scenic Rivers Act, 16 USC 1271
- *14) Essential Fish Habitat Consultation Process under the Magnuson-Stevens Fishery Conservation and Management Act, 16 USC 1801

*b. Economic Policy Authorities

- *1) Administration of the Clean Air Act and the Water Pollution Control Act with Respect to Federal Contracts or Loans, Executive Order 11738
- *2) Demonstration Cities and Metropolitan Development Act of 1966, Pub. L. 89-754, as amended by 42 USC 3331
- *3) Procurement Prohibitions, Executive Order 11738, Section 306 of the Clean Air Act
- *4) Procurement Prohibitions, Section 508 of the Clean Water Act
- *5) American Iron and Steel, Section 608 of the Clean Water Act

*c. Social Policy Authorities

- *1) Age Discrimination Act of 1975, 42 USC 6102
- *2) Civil Rights Act of 1964, Title VI, 42 USC 2000d
- *3) Equal Employment Opportunity, Executive Order 11246, as amended
- *4) Minority Business Enterprise Development, Executive Order 12432
- *5) National Program for Minority Business Enterprise, Executive Order 11625
- *6) National Women's Business Enterprise Policy and National Program for Women's Business Enterprise, Executive Order 12138
- *7) Rehabilitation Act of 1973, 29 USC 794
- *8) Section 13 of the Federal Water Pollution Control Act Amendments of 1972, 33 USC 1251
- *9) Small Business Administration Reauthorization and Amendment Act of 1988, Pub. L. 100-590, Section 129
- *10) Department of Veterans Affairs and Housing and Urban Development, and Agencies Appropriations Act, 1993, Pub. L. 102-389
- *11) Disadvantaged Business Enterprise Rule, 2008, 40 CFR Part 33
- *12) Davis Bacon Act, Title 29, Part 5, CFR

*d. Miscellaneous Authorities

- *1) Debarment and Suspension, Executive Order 12549
- *2) Uniform Relocation and Real Property Acquisition Policies Act, Pub. L. 91-646 (1971) as amended by 42 USC 4601-4655
- *3) Preservation of Open Competition and Government Neutrality Towards Contractor's Labor Relations on Federal and Federally Funded Construction Projects, Executive Order 13202 (2001), as amended by Executive Order 13208 (2001)

13. As required by FWPCA section 603(d)(1)(E), the applicant certifies that it has developed and is implementing a Fiscal Sustainability Plan (FSP) that includes the following:

- *a. an inventory of critical assets that are a part of the treatment works;
- *b. an evaluation of the condition and performance of inventoried assets or asset grouping;
- *c. a certification that the recipient has evaluated and will be implementing water and energy conservation efforts as part of the plan; and
- *d. a plan for maintaining, repairing, and, as necessary, replacing the treatment works and a plan for funding such activities.

CERTIFICATION

*NOTE: This certification includes Items 12 and 13 and all of its subparts.

To the best of my knowledge, the data in this application is true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the assurances, if the assistance is approved.

Legal Entity:

Name & Title
of Authorized Representative:

Signature of Authorized Representative

Date