

## ATTACHMENT V

# DRINKING WATER STATE REVOLVING FUND APPLICATION CHECKLIST

The application checklist includes a list of all application items that may apply to a DWSRF project. The checklist includes boxes to indicate which items have been submitted to DOH and EFC. There are two (2) application checklists: one for publicly owned projects, which follows, and one for privately owned projects. The checklists are also available on the EFC web site at [www.nysefc.org](http://www.nysefc.org) (click on "Programs", then "Drinking Water State Revolving Fund", then "Application Process") or by calling EFC at 1-800-882-9721.



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(518) 402-6971 Fax (518) 402-6972



## **APPLICATION CHECKLIST – PUBLICLY-OWNED SYSTEMS**

### **NEW YORK DRINKING WATER STATE REVOLVING FUND**

This document lists items that relate to applying for financing through the Drinking Water State Revolving Fund (DWSRF). The type of financing and the status of the project to be financed will determine which items will be required to be submitted as part of a DWSRF financing application. **Since all items may not be required to apply for financing, it is important that an Environmental Facilities Corporation (EFC) representative confirm with you which items do apply. If someone has not reviewed this Checklist with you, please contact EFC at (800) 882-9721 or (518) 402-7085. This will save you time and effort.**

**Part I details the minimum requirements to obtain a DWSRF short-term financing commitment. Part II details the requirements that may be necessary to release DWSRF short-term funds or obtain a DWSRF long-term financing commitment. Items in Part II of this Checklist may be submitted to EFC if they are available when submitting Part I items. Please keep a copy of the completed form for your reference.**

An explanation of each of these items is provided in the “**Description of Application Components**”, found in the paper version of the application package and on EFC’s website at [www.nysefc.org](http://www.nysefc.org) (Click on “Programs”, then “Drinking Water State Revolving Fund”, then “Application Process”). DWSRF application Forms and Guidance are also available on EFC’s website.

**Please Note: The following important steps should have been accomplished. If not, please contact EFC before proceeding to work on the financing application.**

- 1. Your project is listed on the Project Readiness List, as published in the current DWSRF Intended Use Plan (IUP). An engineering report or construction plans and specifications for your project should have previously been submitted to the Department of Health (DOH) for your project to be listed on the Readiness List.**
- 2. DOH approved your project’s engineering report or construction plans and specifications, or the report is under review by DOH.**
- 3. The potential adverse environmental impacts of the project have been assessed in the manner prescribed by the DWSRF.**
- 4. A water district has been established or expanded, or the maximum amount to be expended for such district increased, and Office of the State Comptroller (OSC) approval obtained, as needed (this is only relevant to towns and counties).**
- 5. A bond resolution has been adopted establishing the legal authority to issue debt for the project.**

**Applicant Name:** \_\_\_\_\_  
**DWSRF Project No.:** \_\_\_\_\_  
**Date Prepared:** \_\_\_\_\_

## APPLICATION CHECKLIST – PUBLICLY-OWNED SYSTEMS

Please call EFC to review the Checklist at the beginning of the application process.

|                                    |       |
|------------------------------------|-------|
| DOH/EFC Project Team Members _____ |       |
| DOH Engineering:                   | _____ |
| EFC Finance:                       | _____ |
| EFC Legal:                         | _____ |
| EFC MWBE:                          | _____ |

(Team member names will be provided after your application is submitted.)

### **PART I – Items Necessary Prior to Short-Term Financing Commitment**

Please submit items in Part I in order to close a DWSRF Short-Term financing. Items in Part II can be submitted with Part I items if they are currently available. Check the appropriate boxes below.

| No. | Checklist Item   | Submitted Earlier        | Submitted with this Application |
|-----|--|--------------------------|---------------------------------|
| 1.  | Application Form <sup>1</sup>  | <input type="checkbox"/> | <input type="checkbox"/>        |
| 2.  | Municipal Bond Resolution(s)   |                          |                                 |
|     | a) Bond Resolution (Certified Copy)  | <input type="checkbox"/> | <input type="checkbox"/>        |
|     | b) Proof of Publication of Permissive Referendum (if applicable)   | <input type="checkbox"/> | <input type="checkbox"/>        |
| 3.  | Environmental Review Documents and Findings <sup>2</sup><br>(see SEQR/SERP guidance in the “Environmental Review Requirements” )   | <input type="checkbox"/> | <input type="checkbox"/>        |
|     | OPRHP / SHPO Project Review Letter <sup>2</sup><br>(Initial or Final Letter)   | <input type="checkbox"/> | <input type="checkbox"/>        |
| 4.  | Financial Information<br>(Only for Applicants <u>other than</u> counties, cities, towns and villages)<br>Financial statements (audited if available) for the three (3) most recent fiscal years. | <input type="checkbox"/> | <input type="checkbox"/>        |

**PART II – Items That May Be Necessary Prior to Funds Disbursement or for Long-Term Financing**

Some of the items in Part II will be needed by EFC after closing a short-term financing to allow release of DWSRF funds and later to roll your project into DWSRF long-term financing. The type of financing and the project’s schedule and status at the time of application will determine which of the following items are required for release of disbursements and as part of a complete application for DWSRF long-term financing.

The disbursement of funds will be contingent upon satisfactory completion of the following items, as deemed applicable by EFC. Timely availability of DWSRF funds will be dependent, in part, upon the accuracy and completeness of these submissions, within a reasonable time frame for EFC to review and comment or request clarification, as necessary. For this reason, applicants are strongly encouraged to develop and submit these materials as soon as practicable, to avoid delayed release of disbursement requests.

**Please call EFC to discuss which of the following items apply. Check the appropriate boxes below.**

| No. | Checklist Item   | Submitted Earlier        | Submitted with this Application |
|-----|--|--------------------------|---------------------------------|
| 1.  | Completed Application Checklist <sup>1</sup>   | <input type="checkbox"/> | <input type="checkbox"/>        |
| 2.  | Municipal Bond Resolution(s)<br>a) Proof of Publication of Estoppel Notice                             | <input type="checkbox"/> | <input type="checkbox"/>        |
|     | Supplemental Municipal Bond Resolution (if needed)<br>a) Supplemental Bond Resolution (Certified Copy) | <input type="checkbox"/> | <input type="checkbox"/>        |
|     | b) Proof of Publication of Permissive Referendum (if applicable)                                       | <input type="checkbox"/> | <input type="checkbox"/>        |
|     | c) Proof of Publication of Estoppel Notice   | <input type="checkbox"/> | <input type="checkbox"/>        |
| 3.  | Financial Information<br>Current Adopted Capital and Operating Budgets                                 | <input type="checkbox"/> | <input type="checkbox"/>        |
| 4.  | OPRHP / SHPO Final Project Review Letter <sup>2</sup>  | <input type="checkbox"/> | <input type="checkbox"/>        |

| No. | Checklist Item  | Submitted Earlier        | Submitted with this Application | Not Applicable           |
|-----|---|--------------------------|---------------------------------|--------------------------|
| 5.  | Capacity Development Form <sup>1</sup><br>(for small community water systems serving a population of 3,300 or less) | <input type="checkbox"/> | <input type="checkbox"/>        | <input type="checkbox"/> |
| 6.  | Consolidation Plan, Agreements and Approval   | <input type="checkbox"/> | <input type="checkbox"/>        | <input type="checkbox"/> |
| 7.  | Construction Plans and Specifications   | <input type="checkbox"/> | <input type="checkbox"/>        | <input type="checkbox"/> |
| 8.  | Agreements for Professional Services  |                          |                                 |                          |
|     | a) Engineering Planning Services  | <input type="checkbox"/> | <input type="checkbox"/>        | <input type="checkbox"/> |
|     | b) Engineering Design Services  | <input type="checkbox"/> | <input type="checkbox"/>        | <input type="checkbox"/> |
|     | c) Engineering Construction Services  | <input type="checkbox"/> | <input type="checkbox"/>        | <input type="checkbox"/> |
|     | d) Local Counsel  | <input type="checkbox"/> | <input type="checkbox"/>        | <input type="checkbox"/> |
|     | e) Bond Counsel   | <input type="checkbox"/> | <input type="checkbox"/>        | <input type="checkbox"/> |
|     | f) Financial  | <input type="checkbox"/> | <input type="checkbox"/>        | <input type="checkbox"/> |
|     | g) Other (please specify)   | <input type="checkbox"/> | <input type="checkbox"/>        | <input type="checkbox"/> |
| 9.  | Certification as to Title to Project Site <sup>1</sup>  | <input type="checkbox"/> | <input type="checkbox"/>        | <input type="checkbox"/> |

| No. | Checklist Item  | Submitted Earlier                                    | Submitted with this Application                      | Not Applicable                                       |
|-----|---|--|--|--|
| 10. | Lease Agreement to Project Site   | <input type="checkbox"/>                             | <input type="checkbox"/>                             | <input type="checkbox"/>                             |
| 11. | Municipal Service Agreements  |  |  |  |
|     | a) Intermunicipal Agreements  | <input type="checkbox"/>                             | <input type="checkbox"/>                             | <input type="checkbox"/>                             |
|     | b) Private Operating Agreements   | <input type="checkbox"/>                             | <input type="checkbox"/>                             | <input type="checkbox"/>                             |
|     | c) Private Use Agreements   | <input type="checkbox"/>                             | <input type="checkbox"/>                             | <input type="checkbox"/>                             |
| 12. | Work Force Documentation <sup>1</sup>   |  |  |  |
|     | a) Technical Certification & Proposal   | <input type="checkbox"/>                             | <input type="checkbox"/>                             | <input type="checkbox"/>                             |
|     | b) Administrative Proposal  | <input type="checkbox"/>                             | <input type="checkbox"/>                             | <input type="checkbox"/>                             |
| 13. | Executed Construction Contracts<br>Contract Change Orders   | <input type="checkbox"/><br><input type="checkbox"/> | <input type="checkbox"/><br><input type="checkbox"/> | <input type="checkbox"/><br><input type="checkbox"/> |
| 14. | MWBE Utilization Plan<br>(for executed construction contracts)                                    | <input type="checkbox"/>                             | <input type="checkbox"/>                             | <input type="checkbox"/>                             |
| 15. | Notice to Proceed   | <input type="checkbox"/>                             | <input type="checkbox"/>                             | <input type="checkbox"/>                             |
| 16. | Co-funding Documentation  |  |  |  |
|     | a) Awarded Grants   | <input type="checkbox"/>                             | <input type="checkbox"/>                             | <input type="checkbox"/>                             |
|     | b) Closed Third Party Loans   | <input type="checkbox"/>                             | <input type="checkbox"/>                             | <input type="checkbox"/>                             |
|     | c) Co-funding Cost Documentation  | <input type="checkbox"/>                             | <input type="checkbox"/>                             | <input type="checkbox"/>                             |
| 17. | For Reimbursement of Interfund Borrowings:  |  |  |  |
|     | a) Interfund Borrowing Resolution (Copy)  | <input type="checkbox"/>                             | <input type="checkbox"/>                             | <input type="checkbox"/>                             |
|     | b) Cost Documentation (Interfund Borrowings)  | <input type="checkbox"/>                             | <input type="checkbox"/>                             | <input type="checkbox"/>                             |
| 18. | For refinancing of existing debt, please attach the following supporting documents as applicable: |  |  |  |
|     | a) Municipal Resolution Authorizing Debt (Original)   | <input type="checkbox"/>                             | <input type="checkbox"/>                             | <input type="checkbox"/>                             |
|     | b) Bond Anticipation Note (BAN)   | <input type="checkbox"/>                             | <input type="checkbox"/>                             | <input type="checkbox"/>                             |
|     | c) Opinion of Bond Counsel  | <input type="checkbox"/>                             | <input type="checkbox"/>                             | <input type="checkbox"/>                             |
|     | d) Official Statement   | <input type="checkbox"/>                             | <input type="checkbox"/>                             | <input type="checkbox"/>                             |
|     | e) Refunding Resolution (Copy)  | <input type="checkbox"/>                             | <input type="checkbox"/>                             | <input type="checkbox"/>                             |
|     | f) Proof of Publication of Estoppel Notice for Resolution   | <input type="checkbox"/>                             | <input type="checkbox"/>                             | <input type="checkbox"/>                             |
|     | g) Cost Documentation (Refinancing)   | <input type="checkbox"/>                             | <input type="checkbox"/>                             | <input type="checkbox"/>                             |
|     | h) Statement Specifying Net Interest Earned or Anticipated  | <input type="checkbox"/>                             | <input type="checkbox"/>                             | <input type="checkbox"/>                             |

**NOTE: Please call EFC to review the Checklist at the beginning of the application process since all items listed above in Part II may not apply to your specific project.**

Questions regarding engineering and technical items should be addressed to DOH at (800) 458-1158 ext. 27650 or (518) 402-7650.

<sup>1</sup> Form included in Application Package.

<sup>2</sup> Guidance included in Application Package.