

Applicant's PWS Name and PWSID

DWS Project # (as assigned by DPH)

DRINKING WATER STATE REVOLVING FUND (DWSRF) FINANCIAL ASSISTANCE APPLICATION (FAA) MATERIALS – PART II

This document is Part II of II of the Financial Assistance Application (FAA).

Part II of the Financial Assistance Application should be submitted at the time an applicant has all necessary documentation for a DWSRF loan. Part II of this application may be submitted along with an Authorization to Award request, and/or along with the Financial Assistance Application Part I, if applicable.

Please fill out the Project Costs Overview and Funding Update, Administrative Checklist, Updated Project Schedule (Planning/Design and/or Construction, depending on the phase being funded), and Applicant Representatives forms. Incomplete applications will not be processed.

Submit an electronic copy of all application materials via email to DPH.CTDWSRF@ct.gov. This electronic copy must include a digitally verified signature and be locked from editing.

Questions regarding application materials should be directed to the following:

| | |
|---------------------------|--|
| Administrative Questions: | DWSRF Project Engineer, DPH (860) 509-7333; DPH.CTDWSRF@ct.gov |
| Financial Questions: | Office of the State Treasurer Debt Management Division (860) 702-3000 |
| Technical Questions: | DWSRF Project Engineer, DPH (860) 509-7333; DPH.CTDWSRF@ct.gov |

NOTHING CONTAINED IN THIS APPLICATION SHALL CONSTITUTE A COMMITMENT BY THE STATE FOR FINANCIAL ASSISTANCE UNDER THE DRINKING WATER STATE REVOLVING FUND PROGRAM.

This application and related information are available electronically via the internet. For information visit us at the Department of Public Health – Drinking Water Section Homepage at www.ct.gov/dph/publicdrinkingwater and the DWSRF page directly at: www.ct.gov/dph/dwsrf.

STATE OF CONNECTICUT, DEPARTMENT OF PUBLIC HEALTH
 DRINKING WATER STATE REVOLVING FUND (DWSRF)
 FINANCIAL ASSISTANCE APPLICATION MATERIALS – PART II

Applicant's PWS Name and PWSID _____

DWS Project # (as assigned by DPH) _____

FINANCIAL ASSISTANCE APPLICATION UPDATES

| | |
|--------------------------------|--------------|
| Public Water System Legal Name | PWSID Number |
| Project name/title: | |

I, _____ (name of authorized representative) hereby provide additional information for the project named above on behalf of _____ (legal name of PWS applicant). The information provided to update the prior application made to the State of Connecticut for a loan for the project described above. I certify that the information contained above, and in any attached statements and materials in support thereof, is true and correct to my knowledge. I understand that the proper procedures must be followed and approvals obtained before bidding, awarding, or entering into any contract or agreement, and that not following the proper procedures may result in the loss of funding eligibility.

 SIGNATURE OF AUTHORIZED REPRESENTATIVE
 (individual must be authorized to sign loan documents)

 DATE (MM/DD/YYYY)

 NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

PROJECT COSTS OVERVIEW AND FUNDING SOURCES UPDATE

Please include ALL funding source contributions for the total project. Use an additional page if necessary.

| List the broad project categories to be funded: | Identify the source of funding for each category: | List the amount of other funds being contributed (non-DWSRF): | List the amount of DWSRF funds being requested: | List the total categorical costs: |
|---|---|---|---|-----------------------------------|
| Administrative | | \$ | \$ | \$ |
| Land, Structures, Rights of Way, Appraisals, etc. | | \$ | \$ | \$ |
| Professional Services | | \$ | \$ | \$ |
| Construction | | \$ | \$ | \$ |
| Contingencies (5% unless justification is provided) | | \$ | \$ | \$ |
| Miscellaneous Specify: | | \$ | \$ | \$ |
| Closing Costs (can include Legal Opinion) Specify: | | \$ | \$ | \$ |
| TOTAL PROJECT COSTS | | \$ | \$ | \$ |

Applicant's PWS Name and PWSID _____

DWS Project # (as assigned by DPH) _____

DWSRF FINANCIAL ASSISTANCE APPLICATION ADMINISTRATIVE CHECKLIST

An applicant must satisfactorily complete and submit this checklist, and provide information as identified or any other supporting documentation that may be warranted, as part of the application for DWSRF funding. The non-shaded boxes show which information must be provided for each phase (planning, design, construction) of a project for which DWSRF funding is being requested. Place a check mark in the appropriate non-shaded boxes to indicate the applicable items have been completed and included in the application package. Any required items that have not been completed must be fully explained with estimated completion dates.

* Items noted with an asterisk (*) are valid for one year from date of completion/signature.

| Planning | Design | Construction | | Document Description |
|----------|--------|--------------|----|--|
| | | | a | A completed, signed, and dated DWSRF Financial Assistance Application Form Part I must be on file with DPH <p style="text-align: center;">OR</p> This application is submitted along with a completed, signed, and dated DWSRF Financial Assistance Application Form Part I. |
| | | | b | An Authorization to Award for each phase of the project covered under this loan must have been issued by the DPH <p style="text-align: center;">OR</p> The Authorization to Award Checklist is submitted along with this application. |
| | | | c* | A resolution adopted by the applicant authorizing a specific person to file the application and execute the agreement and a copy of the meeting minutes at which this resolution was voted on. In the case of a municipality, the resolution must be certified and sealed by the Town/City Clerk; and in the case of a private entity, authorization must be evidenced by the appropriate parties. RCSA Section 22a-482-2(c)(2)(C) * |
| | | | d* | A certified bonding resolution covering the Total Cost of the project. The document must include the original municipal seal or be notarized if no seal is available. * NOTE: One resolution covering both "c" (the person to file the application and sign agreement) and "d" (the total cost of the project), may be submitted in lieu of two separate resolutions. |
| N/A | N/A | | e* | A final legal opinion stating that the acquisition of all sites, easements, or rights-of-way necessary to assure undisturbed construction and operation and maintenance of the proposed project, has been acquired. Include an itemized list and the date on which each was acquired. The cost of any real property eligible for funding assistance must reflect fair market value as determined by standard recognized appraisal methods.* RCSA Section 22a-482-2(c)(3)(B) |

STATE OF CONNECTICUT, DEPARTMENT OF PUBLIC HEALTH
 DRINKING WATER STATE REVOLVING FUND (DWSRF)
 FINANCIAL ASSISTANCE APPLICATION MATERIALS – PART II

Applicant's PWS Name and PWSID _____

DWS Project # (as assigned by DPH) _____

ADMINISTRATIVE CHECKLIST, CONT.

| Planning | Design | Construction | | Document Description |
|----------|--------|--------------|----|---|
| N/A | N/A | | f | Include an itemized list of all local approvals and/or permits necessary for the project and the date on which they were obtained. |
| N/A | N/A | | g | Include an itemized list of all state approvals and/or permits necessary for the project and the date on which they were obtained. |
| | | | h | Evidence that local authority to construct the facilities has been obtained. RCSA Section 22a-482-2(c)(2)(G) |
| | | | i* | A cash flow projection for drawing funds from DWSRF. RCSA Section 22a-482-2(c)(2)(H) and RCSA Section 22a-482-2(c)(3)(F) * |
| | | | j | A Project Schedule Update Form for Planning/Design or Construction (as applicable to the loan), which will be used to determine the Scheduled Completion Date of the Loan. |
| N/A | N/A | | k | The construction portion of the Project Costs Overview section of this application reflects construction costs that have been reviewed and approved by DPH in accordance with DWS Circular Letter 2016-28. OR If these construction costs have not been approved, include calculations outlined in DWS Circular Letter 2016-28 for DPH Review. The construction portion of the Project Costs Overview section of this application should reflect this calculated amount. |
| | | | L* | An Applicant Representatives Form. Note: The system may opt to have one Applicant Representatives Form on file for all loans, which must be updated within the past year. This form must be clearly identified as intended to be used for the various loans. * |

Note: A "Certificate of Incumbency" certifying the name of the individual(s) who has the authority to sign the loan agreement will be required to be submitted with the signed loan agreement. This Certificate is only valid for 30 days and must be valid at the time the loan agreement is fully executed. There is no need to submit this item with the FAA Part II.

Applicant's PWS Name and PWSID

DWS Project # (as assigned by DPH)

UPDATED PROJECT SCHEDULE INFORMATION

Project schedules must be periodically updated with the Drinking Water Section (DWS) in order to keep track of progress. The progress of a project must be known in order to achieve the goal of timely use of funds and to properly implement the bypass procedures of the DWSRF program when necessary. A project that is incurring delays may be bypassed, while a project that is progressing, but for which DWSRF funds were not initially available, may bypass another project and receive funding.

To maintain the integrity of the project records, an updated project schedule must be submitted along with the Financial Assistance Application Part II. An update may also be requested at other time as determined necessary by the DPH. An updated schedule for the planning and design phases may be requested even if the project is not seeking funding for those phases (i.e. construction activities only), if it is determined to be necessary for the overall project schedule.

The information provided on the applicable Updated Project Schedule form will be used to update the status of the project and to set the "Scheduled Completion Date" (SCD) in the Project Funding Agreement (loan agreement) for the appropriate phase of DWSRF funding. The SCD is used to set the start of the repayment period of the loan and a project must close on a Project Loan Obligation (PLO) within 6 months of the SCD. The purpose of this schedule update is to document the project status and ensure that at the time of the execution of the funding agreement, the SCD is set to allow the project phase being funded to be completed within that time frame. It is essential that the SCD identified in the Loan Agreement is realistic to ensure that the project will be completed and final payment request is submitted and processed prior to closing the PLO.

In developing the project schedule for each phase, please take into consideration the specific project conditions that could be present, such as: site conditions and potential for unexpected weather conditions; environmental concerns; information from contractor and project consultant; seasonal working periods; potential for professional services amendments or change orders and time extensions; need for easements and/or permits; experiences with other projects of this type or within a certain area (including delays). In addition, if one project is depending on the completion of another, please answer the questions on the forms. For construction activities, there are additional questions regarding any seasonal slowdown or shutdown period and the potential for unknown conditions that could lead to delays.

If you have any questions or need assistance in completing either of the project schedule update forms, please contact your DWSRF Project Engineer.

Applicant's PWS Name and PWSID _____

DWS Project # (as assigned by DPH) _____

PLANNING/DESIGN PHASES UPDATED PROJECT SCHEDULE

Please answer the following question:

Is this project dependent on another project or activity being completed? Yes No

If **yes**, indicate the name of that dependent project or activity & its expected completion date: _____

| Planning Phase Milestones | Date |
|---|------|
| 1. Request for Qualifications and/or Proposals submitted to DPH | |
| 2. Request for Authorization to Award Professional Services Agreement Application Checklist and supporting materials submitted to DPH (DPH review & authorization required prior to award of agreement) | |
| 3. Professional Services Agreement execution (DPH authorization required before execution if seeking DWSRF funding under this contract) (must submit executed copy to DPH) | |
| 4. MBE/WBE subcontract execution (must submit executed copy(ies) to DPH) | |
| 5. Planning Study or Preliminary Engineering Report and Engineering Report Checklist submitted to DPH for approval | |

| Detailed Design Phase Milestones | Date |
|--|------|
| 1. Planning Study or Preliminary Engineering Report and Engineering Report Checklist submitted to DPH for approval (if not previously submitted) | |
| 2. Value Engineering* Proposal submitted to DPH for adequacy determination | |
| 3. Request for Qualifications and/or Proposals Advertisement for Design consultant | |
| 4. Request for Qualifications and/or Proposals Advertisement for Value Engineering* Consultant | |
| 5. Authorization to Award Professional Services Agreement Checklist Application and supporting materials submitted to DPH for Design Consultant | |
| 6. Authorization to Award Professional Services Agreement Checklist Application and supporting materials submitted to DPH for Value Engineering* Consultant (if seeking funding for this activity) | |
| 7. Design Consultant Agreement execution (DPH authorization required before execution of agreement) (must submit executed copy to DPH) | |
| 8. Value Engineering* Consultant Agreement execution (DPH authorization required before execution) (must submit executed copy to DPH if seeking funding for this activity) | |
| 9. Design Consultant MBE/WBE subcontract execution (must submit executed copy(ies) to DPH) | |
| 10. Value Engineering* Preliminary Report submission to DPH | |
| 11. Value Engineering* Implementation (Final) Report submission to DPH for approval | |
| 12. Design complete | |
| 13. Bid specifications prepared | |

* Value Engineering is only required if total building cost is \$10 million or more

Applicant's PWS Name and PWSID _____

DWS Project # (as assigned by DPH) _____

CONSTRUCTION PHASE UPDATED PROJECT SCHEDULE

Please take into consideration specific project conditions when developing this schedule, including, but not limited to: site conditions and potential for unexpected weather conditions; environmental concerns; information from contractor and project consultant; seasonal working periods; potential for change orders and time extensions, need for easements and/or permits; experiences with other projects of this type or within a certain area (including delays).

Please answer the following questions:

- A. Is this project affected by a seasonal slowdown or shutdown period? Yes No
 If **yes**, specify the timeframe: _____
 Expected shutdown date: _____ (approx.); Expected restart date: _____ (approx.)
- B. Is the undertaking of this project dependent on another project (s) or activity(ies) being completed? Yes No
 If **yes**, indicate the name of that dependent project(s) or activity(ies) & its expected completion date: _____
- C. Is this project located in an area where there are conditions that could lead to potential contract time extensions?
 Yes No If **yes**, indicate the estimated number of days for the contract time extension: _____

| Construction Phase Milestones | | Date |
|--|-----------------------------|---------------------------|
| 1. Pre-bid Construction Contract Application Checklist and supporting documentation submitted to the DPH for approval. | | |
| If project already approved: | Date of Technical Approval: | Date of pre-bid approval: |
| 2. Bid advertisement | | |
| 3. Bid opening | | |
| 4. Post-bid Authorization to Award Construction Contract Application Checklist and supporting materials submitted to DPH. (DPH review & authorization required prior to award of contract) | | |
| 5. Construction contract execution | | |
| 6. Notice to Proceed issued (submit copy to DPH) | | |
| Contract start date: | | Contract end date: |
| 7. MBE/WBE subcontract execution or purchase orders | | |
| 8. Start of construction site work | | |
| 9. 50% construction completion | | |
| 10. 95% (substantial) construction completion | | |
| 11. Activation for use | | |
| 12. 100% construction completion, including final inspection | | |
| 13. Final invoice received from contractor (request does not need to include retainage) | | |
| 14. Final Payment Request submitted to DPH (include retainage even if not yet paid to contractor) | | |

Applicant's PWS Name and PWSID

DWS Project # (as assigned by DPH)

APPLICANT REPRESENTATIVES

The list of applicant representatives is valid for one year from the time of submittal. Please list the current applicable contacts and check the appropriate box if that individual needs to be copied on loan agreement documents. At a minimum, the draft loan agreement package will be sent to the Representative Authorized to Sign Loan Agreement and Bond Counsel. Please provide updates as necessary following submission of the FAA-Part II.

| | |
|--|----------------|
| Representative Authorized to Sign Loan Agreement | |
| Name: | Title: |
| Mailing address: | |
| Telephone: | Email Address: |
| Does this representative need to be copied on formal project/technical review correspondence? <input type="checkbox"/> YES <input type="checkbox"/> NO | |

| | |
|--|----------------|
| Representative Authorized to Receive Project Correspondence (addressee; may be different from loan signee) | |
| Name: | Title: |
| Mailing address: | |
| Telephone: | Email Address: |
| Does this representative need to be copied on loan agreement documents? <input type="checkbox"/> YES <input type="checkbox"/> NO | |

| | |
|--|----------------|
| Project Manager/Engineer (if different from project correspondence contact) | |
| Name: | Title: |
| Mailing address: | |
| Telephone: | Email Address: |
| Does this representative need to be copied on loan agreement documents? <input type="checkbox"/> YES <input type="checkbox"/> NO | |

| | |
|---|----------------|
| Bond Counsel (applicable for municipal applicants only) (will be copied on loan agreement documents) | |
| Name: | Title: |
| Mailing address: | |
| Telephone: | Email Address: |

| | |
|--|----------------|
| Legal Counsel | |
| Name: | Title: |
| Mailing address: | |
| Telephone: | Email Address: |
| Does this representative need to be copied on loan agreement documents? <input type="checkbox"/> YES <input type="checkbox"/> NO | |

| | |
|--|----------------|
| Architect / Consulting Engineer | |
| Name: | Title: |
| Mailing address: | |
| Telephone: | Email Address: |
| Does this representative need to be copied on formal technical review correspondence? <input type="checkbox"/> YES <input type="checkbox"/> NO | |

| | |
|--|----------------|
| Chief Fiscal Officer (may be the same as loan signee) | |
| Name: | Title: |
| Mailing address: | |
| Telephone: | Email Address: |
| Does this representative need to be copied on loan agreement documents? <input type="checkbox"/> YES <input type="checkbox"/> NO | |

| | |
|-----------------------------|----------------|
| Other Contact (for) | |
| Name: | Title: |
| Mailing address: | |
| Telephone: | Email Address: |