Connecticut Department of
ENERGY &
ENVIRONMENTAL
PROTECTION

DEEP USE ONLY:
Date Received:
Project Number:

Part 1: Clean Water Fund Application Form

Please note that this application for funding consists of two parts:

- Part 1 is information to be sent to the **Department of Energy & Environmental Protection** at the address indicated in this form.
- Part 2 is information to be sent to the **Office of the State Treasurer** at the address indicated in this form.

Print or type unless otherwise noted.

Applications deemed incomplete will be rejected

Section 1: Project Contact Information

1. Applicant:

Name:

Mailing Address:

City/Town: State: Zip Code:

Business Phone: ext. Fax:

Email:

2. Authorized Representative (An official of the Community or wastewater system that is authorized to contractually obligate the applicant with respect to the proposed project.):

Name: Title:

Mailing Address:

City/Town: State: Zip Code:

Business Phone: ext. Fax:

Email:

3. Applicant Staff Contact (Community Representative to be contacted directly for information if different from authorized representative):

Name: Title:

Mailing Address:

City/Town: State: Zip Code:

Business Phone: ext. Fax:

Email:

4. Applicant Chief Financial Officer

Name:

Mailing Address:

City/Town: State: Zip Code:

Business Phone: ext. Fax:

Email:

Section 1: Project Contact Information (continued)

5. Bond Counsel

Firm Name:

Mailing Address:

City/Town: State: Zip Code:

Business Phone: ext. Fax:

Contact Person: Title:

Email:

6. Consulting Engineer

Firm Name:

Mailing Address:

City/Town: State: Zip Code:

Business Phone: ext. Fax:

Contact Person: Title:

Email:

7. Other (Role)

Firm Name:

Mailing Address:

City/Town: State: Zip Code:

Business Phone: ext. Fax:

Contact Person: Title:

Email:

8. Other (Role)

Firm Name:

Mailing Address:

City/Town: State: Zip Code:

Business Phone: ext. Fax:

Contact Person: Title:

Email:

Section 2: Supporting Documents

Please check the attachments submitted as verification that ***all*** applicable documents have been submitted with this application form. When submitting any supporting documents, please label the documents as indicated in this part (e.g., Section 2(a)(1), etc.) and be sure to include the applicant's name.

The following documents are required for all Projects:

☐ Section 2(a): Include the following:

☐ 1. All proposed sub-agreements for technical services, or a copy of the DEEP engineering approval letter for those services.

☐ 2. A resolution adopted by the applicant or its Water Pollution Control Authority authorizing a specific person to file the application and execute the agreement. The resolution must be certified and sealed by the Town/City clerk (current required format attached).

☐ 3. Incumbency Certificate for the authorized representative holding the title named in the authorizing resolution signed and sealed by the Town/City clerk (current required format attached)

☐ 4. A signed Clean Water Fund Memorandum to demonstrate a commitment to comply with all Minority Business Enterprise/Women's Business Enterprise (MBE/WBE) requirements for engineering services. Memoranda are available on the DEEP website

☐ 5. A schedule for the completion of the project work

If not already included in Section 2(a) the following *additional* documents are required for Planning Projects

☐ Section 2(b): ☐ 1. A Plan of Study which includes the proposed planning area, an identification of the entity or entities that will be conducting the planning, the nature and scope of the proposed planning project and public participation program, including a schedule for completion of specific tasks, and an itemized description of the estimated engineering report costs

The following *additional* documents are required for Design Projects and Construction Projects
(Section 2(a) must be submitted also):

Submit construction application no sooner than 60 days prior to bid opening

☐ Section 2(c): Include the following:

☐ 1. A bonding resolution for the total cost of the project certified and sealed by the Town/City clerk *(required for design and construction projects - only submit one copy, sample format attached)*

☐ 2. An engineering report meeting all the requirements set forth in section 22a-482-3(a) of the Regulations of Connecticut State Agencies or a copy of the DEEP engineering report approval letter justifying the project. *(required for design and construction projects - only submit one copy)*

☐ 3. Proposed or executed inter-municipal agreements, if necessary, for the construction and operation of the proposed pollution abatement facility for any facility serving or connecting two or more municipalities *(required for design and construction projects - only submit one copy)*

☐ 4. For any financial assistance from other funding sources as identified in Section 5, attach a summary of terms and a copy of the agreement(s). *(required for design and construction projects - only submit one copy)*

Section 2: Supporting Documents (continued)

The following *additional* documents are required only for Construction Projects: (Section 2(a) must be submitted also).

☐ Section 2(d): Include the following:

☐ 1. As provided by an attorney, 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 have been or will be acquired. The cost of any real property eligible for funding assistance must reflect fair market value as determined by standard recognized appraisal methods

☐ 2. A copy of the DEEP plans and specifications approval letter

☐ 3. A copy of the DEEP approval letter for the user charge system developed in accordance with the requirements set forth in section 22a-482-3(e) of the Regulations of Connecticut State Agencies

☐ 4. If bids have been received:

a. Two (2) copies of a tabulation of all bids received.

b. Two (2) copies of the proposal of the bidder to whom you propose awarding the contract.

c. A letter, signed by the authorized representative of the Applicant, indicating the name of the bidder to whom you propose awarding the contract and the amounts involved.

d. Resubmittal of updated Sections 3 through 6.

e. One (1) copy of the bid advertisement for the project, with affidavit of publication.

f. One (1) copy of the most recent Clean Water Fund Memorandum completed and signed by the bidder to whom you propose awarding the contract. If this application is being submitted 14 days or more beyond the bid opening include Subcontractor Verification Forms for each MBE or WBE subcontractor to be employed in the completion of this contract along with a copy of the subcontractor's current, valid MBE/WBE certification.

g. One (1) copy of the State of Connecticut Department of Administrative Services Contractor Prequalification Certificate for the bidder to whom you propose awarding the contract.

h. One (1) copy of the State of Connecticut Department of Administrative Services Contractor Prequalification Update (Bid) Statement completed and signed by the bidder to whom you propose awarding the contract.

Section 3: Project Information

1. Type of Project (check all that apply): ☐ Planning ☐ Design ☐ Construction
2. Project Description:

Section 4: Project Costs Summary

	A	B	C	D	E	F
	Total Project Cost	**Funding from Other Sources**	**Local Share**	**Eligible Project Cost**	**Grant Amount**	**Loan Amount**
Technical Services: Planning:						
Technical Services: Design:						
Technical Services: Construction Admin:						
Technical Services: Resident Representative:						
Technical Services: **Tech Serv at a later date:**						
Subtotal Tech Srvs:						
Legal						
Other:						
Subtotal Legal & Other						
Construction Contract No.:						
Contract No.:						
Contract No.:						
Later Contracts						
Equipment/ Materials						
Subtotal						
Contingency						
Interest During Construction						
Other:						
Other:						
Grand Total						

Section 5: Project Funding Summary

Clean Water Fund (check all that apply and provide amount)		Other Funding Sources (check all that apply and provide amount)	
☐ **20% Grant**		☐ **USDA – Rural Development**	
☐ **25% Small Community Grant**		☐ **Utility Assistance Grant**	
☐ **30% Nitrogen Grant**		☐ **Other (specify):**	
☐ **50% CSO Grant**		☐ **Other (specify):**	
☐ **55% Planning Grant**		☐ **Local Share** (where there may be project costs ineligible for any funding, or for balance of funding on a planning project, where no loan exists)	
☐ **CWF Loan**			
Total CWF Assistance		**Total Other Assistance**	
		Total Project Cost:	

Section 6: Applicant Certification

The authorized representative must sign this section. An application will be considered incomplete unless the required signature(s) are provided.

"I hereby make application to the State of Connecticut for grants and/or loans for the project described herein.

I have personally examined and am familiar with the information submitted in this document and all attachments thereto, and I certify that based on reasonable investigation, including my inquiry of the individuals responsible for obtaining the information, the submitted information is true, accurate and complete to the best of my knowledge and belief.

I certify that this application is on complete and accurate forms as prescribed by the commissioner without alteration of the text."

Signature of Authorized Representative	Date
Name of Authorized Representative (print or type)	Title (if applicable)

Note: **Part 1** is information for the Department of Energy & Environmental Protection. Please submit **two copies** of the completed **Part 1: Clean Water Fund Application Form** and all Supporting Documents to:

DEPARTMENT OF ENERGY & ENVIRONMENTAL PROTECTION
BUREAU OF FINANCIAL AND SUPPORT SERVICES, 1ST FLOOR
LINDSAY WILLIAMS, FISCAL ADMINISTRATIVE MANAGER 1
79 ELM STREET
HARTFORD, CT 06106-5127

If you have questions related to **Part 1** of the **Clean Water Fund Application Form,**

please contact: Lindsay Williams, email: lindsay.williams@ct.gov or phone 860-424-3140.

Format (Grant Agreement Only)

For An Authorizing Resolution Which Is Required To Obtain Clean Water Fund Financing For Water Pollution Abatement Facilities

Be it resolved that it is in the best interests of the [Enter Institution Name] to enter into contracts with the Department of Energy & Environmental Protection. In furtherance of this resolution, [Name of Authorized Official] the [Title of Authorized Official] is duly authorized to enter into and sign said contracts on behalf of the [Enter Institution Name]. The [Title of Authorized Official] is further authorized to provide such additional information and execute such other documents as may be required by the state or federal government in connection with said contracts and to execute any amendments, rescissions, and revisions thereto.

The [Clerk/Secretary, etc.] is authorized to impress the seal of the [Enter Institution Name] on any such document, amendment, rescission, or revision.

I, [Name], the [Clerk/Secretary, etc.] of [Enter Institution Name], do hereby certify this to be a true copy of the resolution duly adopted at the [Type of Meeting or Hearing] on [Date], and that it has not been rescinded, amended or altered in any way, **and that it remains in full force and in effect.**

_____

[Clerk/Secretary, etc.]

_____

Date

[*SEAL*]

Sample Format (Loan Agreement)

For A Resolution Which Is Required To Obtain Clean Water Fund Financing For Water Pollution Abatement Facilities

Form of Resolution Approving Agreement: The following provisions should be addressed in the Resolution approving the execution of the Project Loan and Project Grant Agreement between the State and the Municipality with such additional provisions or variations as necessary to reflect the specific terms of the transaction:

RESOLUTION APPROPRIATING NOT TO EXCEED $******** FOR THE CONSTRUCTION OF [Description of Project], AUTHORIZING THE [CITY/TOWN/DISTRICT] TO ENTER INTO AN AGREEMENT WITH THE STATE OF CONNECTICUT; AND AUTHORIZING THE ISSUANCE OF NOTES AND/OR BONDS TO FINANCE THE APPROPRIATION

WHEREAS, the [City/Town/District] of _____ (the "Municipality") has made application to the State of Connecticut for project funding in an amount not to exceed $********** to [Description of Project] (the "Project");

WHEREAS, the State of Connecticut has approved the application and proposes to enter into a Project Loan and Project Grant Agreement between the State of Connecticut acting by the Commissioner of the Department of Energy & Environmental Protection (the "DEEP") and the Municipality under the Clean Water State Revolving (CWSRF) Fund Program (the "Agreement")

NOW THEREFORE, be it resolved by the _____ of [City/Town/District] of _____, Connecticut, as follows:

1. That it is in the best interests of the Municipality to enter into the Agreement with the State, and the Municipality hereby approves, the Agreement in substantially in the form attached to this Resolution, which additions, deletions or amendments as may be approved by the [Mayor, Town Manager, etc.], such officer's signature thereon being conclusive evidence of his approval thereof.

2. The [Approving Board, Town Council, etc.] further authorizes the [Mayor, Town Manager, etc.] or his designee to enter into such Agreement and all Obligations (as defined in the Agreement), agreements or certifications of the Municipality described therein and further authorizes the [Secretary/Clerk/Town Clerk] to impress the seal of the [Municipality] on such Agreement.

3. That the Municipality appropriate [Written Dollar Amount] ($********) for the Project. The Project appropriation may be spent for design and construction costs, equipment, materials, land and easement acquisition, site improvements, engineering fees, legal fees, net interest on borrowings and other financing costs, and other expenses related to the Project or its financing.

4. That the Municipality issue and renew temporary notes or interim funding obligations from time to time in anticipation of the receipt of the proceeds from the sale of the bonds or notes or obligations for the Project or the receipt of grants for the Project. The amount of the notes or obligations outstanding at any time shall not exceed [Written Dollar Amount] ($********) to finance the appropriation for the Project. The notes or obligations shall be issued pursuant to Section7-244a, Section 7-378 or Sections 22a-475 to 22a-483 of the General Statutes of Connecticut, Revision of 1958, as amended, and any other enabling acts. Any bonds or notes or obligations described in Paragraphs 2 and 3 of this resolution shall be limited obligations of the Municipality secured by the irrevocable pledge of the Revenues as defined in the Agreement.

5. That the [Mayor, Town Manager, etc.] and the Treasurer of the Municipality are duly authorized to enter into and sign any bonds or notes or obligations by their manual or facsimile signatures. The [Mayor, Town Manager, etc.] and the Treasurer are authorized to determine the amounts, dates, interest rates, maturities, redemption provisions, form and other details of the bonds or notes or obligations; to designate one or more banks or trust companies to be certifying bank, registrar, transfer agent and paying agent for the bonds or notes or obligations; to provide for the keeping of a record of the bonds or notes or obligations; to sell the bonds or notes or obligations at public or private sale; to deliver the bonds or notes or obligations; and to perform all other acts which are necessary or appropriate to issue the bonds or notes or obligations.

6. That the Municipality hereby declares its official intent under Federal Income Tax Regulation Section 1.150-2 that project costs may be paid from temporary advances of available funds and that except to the extent reimbursed from grant moneys the Municipality reasonably expects to reimburse any such advances from the proceeds of borrowings in an aggregate principal amount not in excess of the amount of borrowing authorized above for the Project. The [Mayor, Town Manager, etc.] and the Treasurer are authorized to amend such declaration of official intent as they deem necessary or advisable and to bind the Municipality pursuant to such representations and covenants as they deem necessary or advisable in order to maintain the continued exemption from federal income taxation of interest on the bonds or notes or obligations authorized by this resolution, if issued on a tax-exempt basis, including covenants to pay rebates of investment earnings to the United States in future years.

7. That the [Mayor, Town Manager, etc.] and the Treasurer are authorized to (i) make representations and enter into written agreements for the benefit of holders of the bonds or notes or obligations to provide secondary market disclosure information, which agreements may include such terms as they deem advisable or appropriate in order to comply with applicable laws or rules pertaining to the sale or purchase of such bonds or notes or obligations, (ii) apply for and accept federal and state grants to finance the project and federal and state loans to finance the project, and to enter into any grant or loan agreement prescribed by a federal agency or by the State; and (iii) take any other actions necessary to obtain such grants or loans pursuant to Section 22a-479 of the Connecticut General Statutes, Revision of 1958, as amended, or to any other present or future legislation, or to implement such grant or loan agreements. Any grant proceeds may be used to pay project costs or principal and interest on bonds, notes, or temporary notes or obligations.

Sample Format

Certificate of City Clerk

A certified copy of the authorizing resolution shall be submitted in substantially the form set forth below:

CERTIFICATE OF CITY CLERK

I, **********, the [Secretary/Clerk/Town Clerk] of the [Municipality], do hereby certify this to be a true copy of the resolution duly adopted at the [Approving Board, Town Council, etc.] meeting on _____, 20___, and that is has not been rescinded, amended or altered in any way, and that is remains in full force and effect.

_____
[Secretary/Clerk/Town Clerk]

_____
Date

[*SEAL*]

Sample Format

Form of Incumbency Certificate

INCUMBENCY CERTIFICATE

I, the undersigned clerk, of the (Town, City, Borough, District)__ of _____, Connecticut, DO HEREBY CERTIFY as follows:

On the date of this certificate the officers of the Municipality listed below were duly chosen, qualified and acting officers of the Municipality, holding the offices indicated in the official titles following their respective names with the terms of service indicated thereafter.

		Term of Service	
Name	Official Title	From	To
_____	_____	_____,____	_____,____
_____	_____	_____,____	_____,____
_____	_____	_____,____	_____,____

I further certify that the seal which has been impressed on said Agreement and upon this certificate is the legally adopted, proper and only official seal of the (Town, City, Borough, Dist) of _____.

IN WITNESS WHEREOF, I have signed this certificate and impressed on this certificate the seal of the Town of _____as of the _____ day of _____, _____.

[SEAL]

_____
Clerk

Part 2: Clean Water Fund Application Form

Please check the boxes as verification that *all* documents have been submitted with this checklist to the address indicated below. When submitting any supporting documents, please label the documents as indicated in this part and be sure to include the applicant's name.

Required Documents for Part 2 of an Application for Clean Water Fund Assistance:

☐ 1. A copy of the completed, signed, and dated **Part 1: Clean Water Fund Application Form**.

☐ 2. General Municipal Information

- ☐ a. Most recent official statement, or at least three years of financial statements, interim financial statements, cash flow statement and a schedule of debt service with maturity dates
- ☐ b. Capital budget
- ☐ c. Current Budget
- ☐ d. Economic data (unemployment levels, per capita income, net grand list)

☐ 3. Project Specific Economics

- ☐ a. Description of existing and future service population and flows served by the project (including commercial, industrial, and institutional users),
- ☐ b. Project operating cost analysis, including proposed billing and fee schedule for service population, identification of any proposed O&M contracts
- ☐ c. Identification of contractual relationships with users of 5% or more of existing or proposed water pollution control facility's capacity
- ☐ d. Analysis of project capital cost repayment plan, including methods of cost recovery to be utilized and their relative contribution toward debt retirement (mill rate increases, tie-in fees, benefit assessments, user charge fees)

Note: The Office of the Treasurer may request further information after reviewing the submitted materials.

Note: **Part 2** is information for the Office of the State Treasurer. Please submit all required documents listed above to:

KIMBERLY MASSON
DEBT MANAGEMENT SPECIALIST
SRF FINANCIAL ADMINISTRATOR
OFFICE OF THE TREASURER
165 CAPITOL AVE. - 2ND FLOOR
HARTFORD, CT 06106

If you have questions related to Part 2 of the application, please contact Kimberly Masson at kimberly.masson@ct.gov or at 860-702-3081.