

Applicant's PWS Name and PWSID

DWS Project # (as assigned by DPH)

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

Please fill out the attached Financial Assistance Application Form, Technical Checklist, and Financial Checklist and submit all with the required documentation. One financial checklist and Applicant Representatives Form may be submitted for each system.

Hard copies of required documents specified in this application may be sent to:

Mr. Cameron Walden
State of Connecticut
Department of Public Health
Drinking Water Section
410 Capitol Avenue, MS#12DWS
P.O. Box 340308
Hartford, CT 06134-0308

Submit an electronic copy of all application materials via email to DPH.CTDWSRF@ct.gov or on a USB flash drive or CD submitted with the paper copy.

Questions regarding application materials should be directed to the following individuals:

Administrative Questions: Theodore Dunn, DPH (860) 509-7333
Financial Questions: Marie Moylan Hoadley, Office of the State Treasurer (860) 702-3138
Technical Questions: DWSRF Project Engineer, DPH (860) 509-7333

Regulations of Connecticut State Agencies (RCSA) Section 22a-482-2(d)(3): For engineering reports and design, no financial assistance will be allowed for any engineering work performed before award of funding without prior written approval of the Department.

RCSA Section 22a-482-2(d)(4): Except otherwise noted in the regulations, no assistance for funding may be awarded for any construction contract which is initiated prior to the date of award of funding.

RCSA Section 22a-482-2(d)(5): The approval of a plan of study, an engineering report, plans and specifications, advance acquisition of equipment or advance construction will not constitute a commitment or approval of assistance for a subsequent phase of the project. In instances where such approval is obtained, the applicant proceeds at its own risk, since payment for such costs cannot be made unless assistance for the project is awarded.

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 I

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DWSRF FINANCIAL ASSISTANCE APPLICATION FORM

Public Water System Legal Name	PWSID Number	DUNS Number
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Mailing Address:

PROJECT INFORMATION

Project name/title:

Municipality(ies) where the project may be located:

Street address (es) of project location(s). Clearly define the area the project will transverse.

Does the project pass through or is located in any of the following:

- Area of conservation Yes No
Wetlands Yes No
Water Company Land Yes No

Does the project pass through or is located in any of the following? Please attach a map that shows the project area in relation to each item:

- [FEMA 100-year flood plain](#) Yes No
[DEEP Natural Diversity Data Base](#) area Yes No

The project must be consistent with the current CT Plan of Conservation and Development in order to be eligible for funding. This determination will be made by DPH.

For more information visit the Office of Policy and Management (OPM) website: www.ct.gov/opm/CDPlan.

DETAILED PROJECT DESCRIPTION AND BENEFITS

This description will also be used to generate a Scoping Notice for the environmental review along with the map requested on the Technical Checklist. For more information, visit the Council of Environmental Quality's [Environmental Monitor](#) website.

PROJECT READINESS UPDATES

Please attach any updates to your responses on the "Project Readiness" questions from the Eligibility Application, including: (check off if included)

- | | |
|---|---|
| <input type="checkbox"/> Local funding authorization(s) | <input type="checkbox"/> Preliminary Engineering Report |
| <input type="checkbox"/> Sites, easements, and/or rights-of-way | <input type="checkbox"/> Final design |
| <input type="checkbox"/> Local approvals to proceed | <input type="checkbox"/> Bid specifications |
| <input type="checkbox"/> State permits or approvals | |

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PROJECT COSTS OVERVIEW AND FUNDING SOURCES

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

Please check the project type(s) for which funding is being sought:

Planning Design Construction

Broad project categories to be funded; fill in the appropriate boxes corresponding to the funding request.	Identify the source of funding for each category:	List the amount of non-DWSRF funds being contributed:	List the amount of DWSRF funds being requested:	List the total categorical costs:
Administrative		\$	\$	\$
Land, Structures, Rights of Way, Easements, Appraisals, etc.		\$	\$	\$
Professional Services		\$	\$	\$
Construction		\$	\$	\$
Contingencies (up to 5% of construction cost without specific approval)		\$	\$	\$
Miscellaneous Specify:		\$	\$	\$
TOTAL PROJECT COSTS		\$	\$	\$

APPLICANT REPRESENTATIVES

Representative Authorized to Sign Loan Agreement

Name: _____ Title: _____
 Telephone: _____ Fax: _____ Email Address: _____

Representative Authorized to Receive Project Correspondence (addressee; may be different from loan signer)

Name: _____ Title: _____
 Telephone: _____ Fax: _____ Email Address: _____

Project Manager/Engineer (if different from project correspondence contact)

Name: _____ Title: _____
 Telephone: _____ Fax: _____ Email Address: _____

Architect / Consulting Engineer

Name: _____ Title: _____
 Telephone: _____ Fax: _____ Email Address: _____

Chief Fiscal Officer

Name: _____ Title: _____
 Telephone: _____ Fax: _____ Email Address: _____

Other Fiscal Contact

Name: _____ Title: _____
 Telephone: _____ Fax: _____ Email Address: _____

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PROJECT SCHEDULE

Please provide dates for the milestones listed for the relevant phase(s) of your project. Schedules should provide for adequate time for all necessary DPH reviews and/or approvals as noted below. Other reviews may be necessary depending on the specifics of the project (e.g. technical project review, well site review, etc.).

Planning Phase Milestone	Date
1. Request for Qualifications and/or Proposals Advertisement	
2. Request for Authorization to Award Professional Services Agreement Application Checklist and supporting materials submitted to DPH for authorization (allow min. 30 days for DPH processing)	
3. Professional Services Agreement execution (DPH authorization required before execution if seeking DWSRF funding under this contract)	
4. Planning Study or Preliminary Engineering Report and Engineering Report Checklist submitted to DPH for approval (allow min. 45 days for DPH processing)	

Design Phase Milestone	Date
1. Preliminary Engineering Report and Engineering Report Checklist submitted to DPH for approval (allow min. 45 days for DPH processing)	
2. Value Engineering* Proposal submitted to DPH for adequacy determination (allow min. 30 days for DPH processing)	
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 (allow min. 30 days for DPH processing)	
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) (allow min. 30 days for DPH processing)	
7. Design Consultant Agreement execution (DPH authorization required before execution)	
8. Value Engineering* Consultant Agreement execution (DPH authorization required before execution)	
9. Value Engineering* Preliminary Report submission to DPH	
10. Value Engineering* Implementation (Final) Report submission to DPH for approval (allow min. 45 days for DPH processing)	
11. Design completed	
12. Bid specifications prepared	

* Value Engineering is only required if total building cost is in excess of \$10 million

Construction Phase Milestone	Date
Even if seeking construction funding only, a Preliminary Engineering Report is required, as well as Value Engineering if the building cost is greater than \$10 million. Please include the Design Phase Milestone dates for these activities above.	
1. Pre-bid Construction Contract Application Checklist and supporting documentation submitted to DPH for formal review and approval. (allow min. 45 days for DPH processing)	
2. Bid advertisement	
3. Bid opening	
4. Post-bid Authorization to Award Construction Contract Application Checklist and supporting materials submitted to DPH for authorization. (allow min. 30 days for DPH processing)	
5. Construction contract execution	
6. Start of construction site work	
7. 50% construction completion	
8. 95% (substantial) construction completion	

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CONSTRUCTION PROJECT ASSURANCES PAGE 1 of 2

Note: Certain of these assurances may not be applicable to your project or program. Further, certain federal programs may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for DWSRF assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the project costs, including repayment of the project loan) to ensure proper planning, management and completion of the project described in this application.
2. Will give the DPH, EPA, the Comptroller General of the United States and, if appropriate, other State agencies, the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the DPH. Will record the Federal awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with DWSRF assistance funds to assure nondiscrimination during the useful life of the project.
4. Will comply with the requirements of the DPH with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the DPH.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the DPH.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards of merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of Office of Personnel Management's Standards for a Merit System of Personnel Administration (5C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683 and 1685-1686) which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §§794) which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107) which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L.92-255), as amended, relating to non-discrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention Treatment and Rehabilitation Act of 1970 (P.L.91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd.-3 and 290 ee-3) as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to non-discrimination in the sale, rental or financing of housing; (i) any other non-discrimination provisions in the specific statute(s) under which application for funding is being made; and (j) the requirements of any other non-discrimination Statute(s) which may apply to the application.

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CONSTRUCTION PROJECT ASSURANCES PAGE 2 of 2

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §§276c and 18 U.S.C. §§874, and the contract Work Hours and Safety Standards Act (40 U.S. §§327-333) regarding labor standards for federally assisted construction subagreements.
14. Will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11900; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et. seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the DPH in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §§470) EO 11593 (identification and preservation of historic properties), and the Archeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.
20. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect, (2) Procuring a commercial sex act during the period of time that the award is in effect, or (3) Using forced labor in the performance of the award or subawards under the award.

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RELEASE OF INFORMATION AND FINANCIAL ASSISTANCE APPLICATION STATEMENTS

A complete application requires a release of information letter that authorizes the State of Connecticut to access additional financial information that may be needed to assess your funding eligibility. Please fill in the blanks appropriately, then sign and date.

I _____ hereby authorize the State of Connecticut and its various departments and agencies to review this application and all the information herein contained for accuracy and completion in relation to my application for funding under the Drinking Water State Revolving Fund (DWSRF). I have personally examined and am familiar with the information submitted in this document and all attachments and certify that based on reasonable investigation, including my inquiry of those individuals responsible for obtaining the information, the submitted information is true, accurate and complete to the best of my knowledge. I understand that any false statements knowingly made in this document or its attachments may be punishable as a criminal offense.

Further, I _____ understand that this application becomes part of the loan documentation and that a legal opinion from our attorney (a bond attorney in the case of a municipal applicant), in a form satisfactory to the State of Connecticut, will be required as a condition of funding and that approvals from the Department of Energy and Environmental Protection and the Public Utilities Regulatory Authority may be necessary in addition to approvals from the Department of Public Health.

I understand that this application (including any attachments thereto) and any other documents, records or information that I submit to the State of Connecticut in connection with the DWSRF program shall be public records, except as otherwise provided by any federal law or state statute. I further understand that third parties may have access to such public records as required under the Connecticut Freedom of Information Act, Connecticut General Statutes, Sections 1-200 through 1-242, inclusive, as amended.

I, _____ (name of authorized representative) hereby submit this application on behalf of _____ (legal name of PWS applicant) to the State of Connecticut for a loan for the project described herein. I certify that the information contained in this application, 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. As the duly authorized representative of the applicant, I certify that the applicant will comply with the Construction Project Assurances as stated herein.

Signature of the Authorized Representative
of the Public Water System Applicant

_____/_____/_____
MM / DD / YYYY
Date Submitted

Please Print Name

Please Print Title

STATE OF CONNECTICUT, DEPARTMENT OF PUBLIC HEALTH
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DWSRF FINANCIAL ASSISTANCE APPLICATION TECHNICAL 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.

Planning	Design	Construction		Document Description
			a	A completed General Application Form .
	N/A	N/A	b	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, with a schedule for completion of specific tasks, and an itemized description of the estimated engineering report costs. RCSA Section 22a-482-2(c)(1)(A)
			c	Project Map (s) for Environmental Review. Attach a map identifying the location of the project. This map does not have to be detailed. It can be on an 8.5" x 11" sheet and must identify the location(s) with an arrow(s). Acceptable maps may be obtained from United States Geologic Survey (USGS): http://www.usgs.gov/pubprod/maps.html and Connecticut Environmental Conditions Online @ University of Connecticut (CT ECO): http://www.cteco.uconn.edu/map_services.htm .
			d	Completed DWSRF Authorization to Award Professional Services Agreement Application Checklist for each professional service agreement for which funds are being requested, or an explanation of the intended method of selecting and awarding such agreement(s) for performance of any substantial portion of the project. RCSA Section 22a-482-2(c)(2)(B) (For Construction-only funding, this is only applicable when requesting funds for construction phase services.)
N/A			e	A completed Engineering Report Checklist along with one copy of the Preliminary Engineering Report meeting all the requirements set forth in RCSA Section 22a-482-3(a), or documentation showing that the report has been previously submitted to and approved by DPH. RCSA Section 22a-482-2(c)(2)(A). For Emergency Power Generator projects, such Engineering Report is not required, however documentation related to the proper sizing of the generator must be submitted.

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Planning	Design	Construction		Document Description
N/A			f	A Value Engineering proposal in compliance with RCSA Sections 22a-482-2(c)(2)(D) and 22a-482-3(d)(1) for projects with a total estimated cost of \$10 million dollars or more.
N/A	N/A		g	Completed DWSRF Pre-Bid Construction Contract Application Checklist along with one copy of the contract plans & specifications. (If requesting planning and/or design funds in addition to construction, this will be required after the design is complete.) RCSA Section 22a-482-2(c)(3)(C)
N/A	N/A		h	Water Main Application (only required for projects involving water mains)
N/A	N/A		i	Storage Tank Application (only required for projects involving construction of new or replacement storage tanks)
N/A	N/A		j	Storage Tank Interior Painting Application (only required for projects involving the repair or interior painting of storage tanks)
N/A	N/A		k	Well Site Approval Application (only required for projects involving new well development)
N/A	N/A		l	Chemical Feed System Project Application (only required for projects involving addition of chemicals or modifications to existing chemical feed system)
N/A	N/A		m	A schedule for submission of proper operation and maintenance program including a preliminary plan of operation. RCSA Section 22a-482-2(c)(3)(D)

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DWSRF FINANCIAL ASSISTANCE APPLICATION FINANCIAL 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. Place a check mark in the appropriate boxes for your public water system to indicate the 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. **Note: One Financial Checklist may be submitted for each system.**

For ALL Applicants:	Document Description
a	The name, title, and contact information for the person preparing the below information.
b	A summary of how the public water system will handle the full faith and credit issue of the financial assistance agreement.
c	Any system regulated by the Public Utilities Regulatory Authority (PURA) must include a copy of their most recent Annual Report, and the following year's report when it becomes available.
d	If rate increases are expected, please submit an explanation.
e	The cover sheet of the organization's charter and a copy of the pages where the title of the individual(s) with the authority to sign loan documents is shown.

Complete section below that is applicable to your public water system:

Non-Incorporated Investor Owned Public Water System

a	Financial statements and supportive documents from the last three (3) years for the company and principal owner(s). (If the major investor owns more than 60% of interest in the company, financial statements for that individual will be required)
b	Federal and state tax returns for both the company and the principal owner(s) from the last three (3) years.
c	Demonstrated viability of revenue streams and/or cash flow showing revenue vs. expenses, and financial statements showing account balances from the last three (3) years
d	Projected income and expenses for the next three (3) years.

Incorporated Investor Owned Public Water System

a	Financial statements and supportive documents from the last three (3) years for the company. (If the major investor owns more than 60% of interest in the company, financial statements for that individual will be required)
b	Federal and state tax returns for both the company and the principal owners from the last three (3) years.
c	Demonstrated viability of revenue streams and/or cash flow showing revenue vs. expenses, and financial statements showing account balances from the last three (3) years.
d	Projected income and expenses for the next three (3) years.

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<input type="checkbox"/> Municipality; Water Authority; Non-Profit Public Water System; Non-Transient Non-Community System	
a	Financial statements and supportive documents from the last three (3) years All non-profit entities must attach a copy of their IRS letter certifying their non-profit status as described in the IRS Code Section 501(c)(3).
b	Demonstrated viability of funding streams and/or cash flow showing revenue vs. expenses and financial statements showing account balances for the last three (3) years.
c	Projected income and expenditures for the next three (3) years.
<input type="checkbox"/> Private Borrower	
a	A copy of the most recent prospectus (if entity has borrowed within the past 6 months) If not available, the application must describe: <ol style="list-style-type: none"> 1. the management of the company; 2. the management of the project funded by the loan; 3. the population served by the entity including locations; and 4. any subsidies, abatements, or waivers currently in force.
b	Details of the rates and revenue generating capacity of the entity, describing how fees are set, billed, and collected; 5 most recent years of collection history; contractual relationship with users, if any
c	Projected rates for the period in which the loan will be outstanding, with a detailed explanation of the assumptions
d	Project specific information which may be requested by the State and which may vary according to the type of project
e	A one year debt service reserve may be required in order to secure a DWSRF Loan.