

## 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.



New York State Environmental Facilities Corporation  
625 Broadway Albany, NY 12207-2997  
(800) 882-9721 within New York State  
(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.**

**Please complete this Checklist and submit it as part of the financing application. 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 immediately before proceeding to work on the financing application.**

- **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.**
- **DOH approved your project’s engineering report or construction plans and specifications, or the report is under review by DOH.**
- **The potential adverse environmental impacts of the project have been assessed in the manner prescribed by the DWSRF.**
- **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).**
- **A bond resolution has been adopted establishing the legal authority to issue debt for the project.**

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

**DW**

## 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**

Please submit all items in Part I as part of a complete application for DWSRF financing.  
Check the appropriate boxes below.

No.	Checklist Item	Submitted Earlier	Submitted with this Application
1.	Completed Application Checklist <sup>1</sup>	N/A	<input type="checkbox"/>
2.	Application Form <sup>1</sup>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Resolution Authorizing DWSRF Application and Agreement for Project Financing <sup>1</sup> (must be the same date or prior to signing of the application)	<input type="checkbox"/>	<input type="checkbox"/>
4.	Municipal Bond Resolution(s)		
	a) Bond Resolutions (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"/>
5.	Environmental Review Documents and Findings <sup>2</sup> (see SEQR/SERP guidance in the "Environmental Review Requirements")	<input type="checkbox"/>	<input type="checkbox"/>
6.	Minority and Women's Business Enterprise - Equal Employment Opportunity Program Documents <sup>2</sup>		
	a)a) Work Plan (Policy Statement, Officer, Goals) <sup>1</sup>	<input type="checkbox"/>	<input type="checkbox"/>
	b) b) Project Description <sup>1</sup>	<input type="checkbox"/>	<input type="checkbox"/>
7.	Financial Information		
	a)a) Current Adopted Capital and Operating Budgets	<input type="checkbox"/>	<input type="checkbox"/>
	b)b) For Applicants other than counties, cities, towns and villages, financial statements (audited if available) for the three (3) most recent fiscal years.	<input type="checkbox"/>	<input type="checkbox"/>

## **PART II**

Some of the items in Part II may have to be submitted as part of a complete application for DWSRF 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. While some items may not be required to close a short-term financing, they will be needed by EFC later to allow release of DWSRF funds for construction related expenses.

**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	Not Applicable
8.	Capacity Development Form <sup>1</sup> (for small community water systems serving a population of 3,300 or less)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.	Consolidation Plan, Agreements and Approval	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.	Construction Plans and Specifications	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.	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"/>
12.	Certification as to Title to Project Site <sup>1</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13.	Lease Agreement to Project Site	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14.	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"/>
15.	Work Force Documentation <sup>1,2</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"/>
16.	Executed Construction Contracts Contract Change Orders	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
17.	MWBE Utilization Plan (for executed construction contracts)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18.	Notice to Proceed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
19.	Cofunding Documentation			
1) a)	Awarded Grants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2) b)	Closed Third Party Loans	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c)	Cofunding Cost Documentation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

No.	Checklist Item	Submitted Earlier	Submitted with this Application	Not Applicable
20.	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"/>
21.	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"/>
22.	Other Financial Information			
	a) Applicant's Official Statement or other offering document for most recent debt issuance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	b) Applicant's <u>Audited</u> Financial Reports for the three (3) most recent fiscal years	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	c) For Towns & Counties, Submittal to Office of the State Comptroller for Special Improvement Districts as it relates to this project financing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	d) For Towns & Counties, Approval from Office of the State Comptroller for Special Improvement Districts as it relates to this project financing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	e) Financial Reports for the <u>System</u> for the three (3) most recent fiscal years (if available)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	f) Comprehensive Fiscal Performance Plan for the most recent year, if requested.	<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 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.

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

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