

The background of the slide is a photograph of a water treatment facility. It shows several large, blue industrial valves with red handwheels, connected by blue pipes. The valves are mounted on a metal structure. In the foreground, there is a black metal grate. The lighting is bright, coming from overhead industrial lights.

SRF Reinvented

North Dakota Department of Environmental Quality

Drinking Water State Revolving Fund

Clean Water State Revolving Fund

North Dakota Public Finance Authority

December 14, 2023

Agenda

Program Overview

Federal Requirements

SRF Tracker

IUP/PPL

Loan Application Package / Supplemental

Facility Plan & Environmental Approval

Agenda (Cont.)

SRF Plans and Specs Approval

Bid Review and Contract Award

Construction Phase

SRF Request for Payments

Ongoing SRF Requirements

PAR

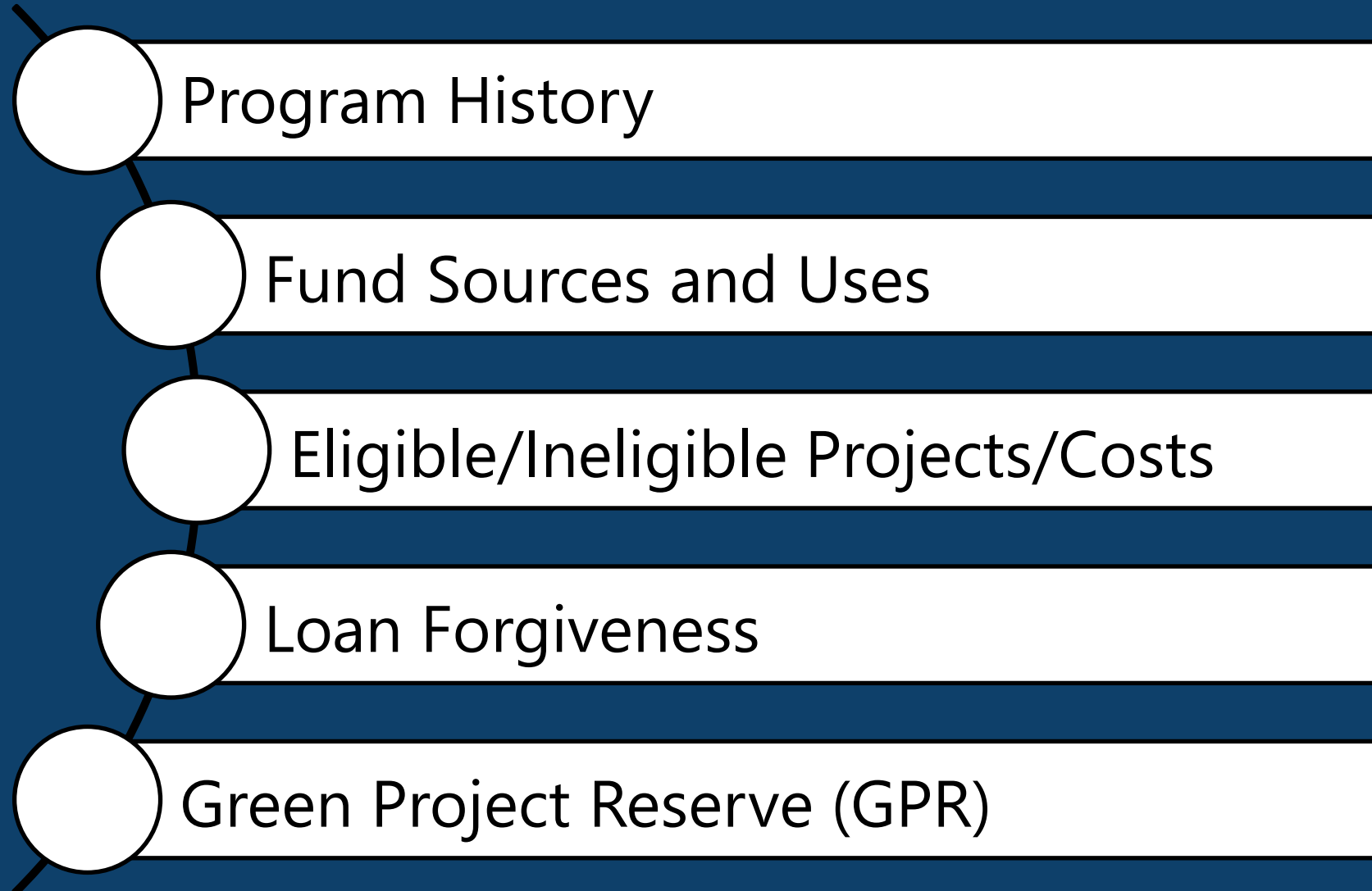


SRF PROGRAM OVERVIEW



Jim Uhlman, PE

SRF Overview



SRF Program History

- Started in 1987 through the Clean Water Act
- Authorized under the 1996 amendments to the Safe Drinking Water Act (SDWA)
- Loan (2.0% total rate effective as of 1/1/2017)
 - 1.5% interest rate
 - 0.5% administrative fee
 - Maximum of 30 years or useful life of project, whichever is shorter

About the North Dakota SRFs

	CWSRF	DWSRF	Total
Total Federal Grants Received	\$258 million	\$241 million	\$499 million
Total Project Assistance Disbursed	\$798 million	\$682 million	\$1.48 billion
Return on Investment	309%	283%	297%
Number of Projects	338	311	649

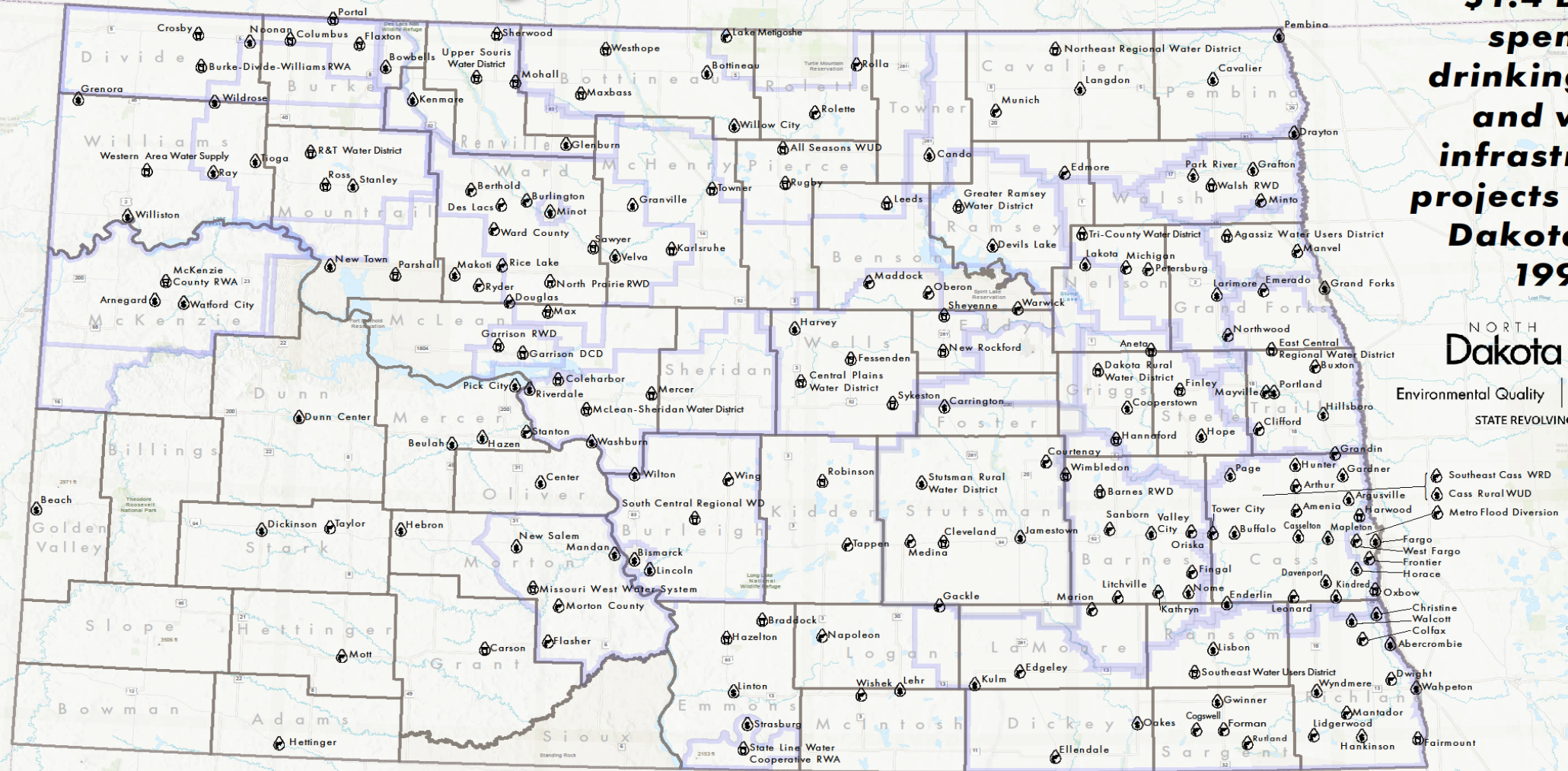
As of 12/31/22

State Revolving Fund Infrastructure Dollars at Work

\$1.4 Billion
spent on
drinking water
and water
infrastructure
projects in North
Dakota since
1990*

NORTH
Dakota Be Legendary.™

Environmental Quality | Public Finance Authority
STATE REVOLVING LOAN FUNDS



Clean Water Projects

\$745 million total project assistance disbursed since 1990. Eligible Clean Water projects are wastewater collection and treatment, energy conservation, stormwater, municipal landfill improvements, planning and assessment, source water protection & MORE

Drinking Water Projects

\$655 million total project assistance disbursed in Drinking Water SRF projects since 1999. Projects have included drinking water treatment, source water protection, well construction and rehabilitation, storage & MORE

BOTH Clean Water and Drinking Water Projects

These communities, counties, water user districts, regions or associations have received both Clean Water SRF and Drinking Water SRF loans.

County Boundary

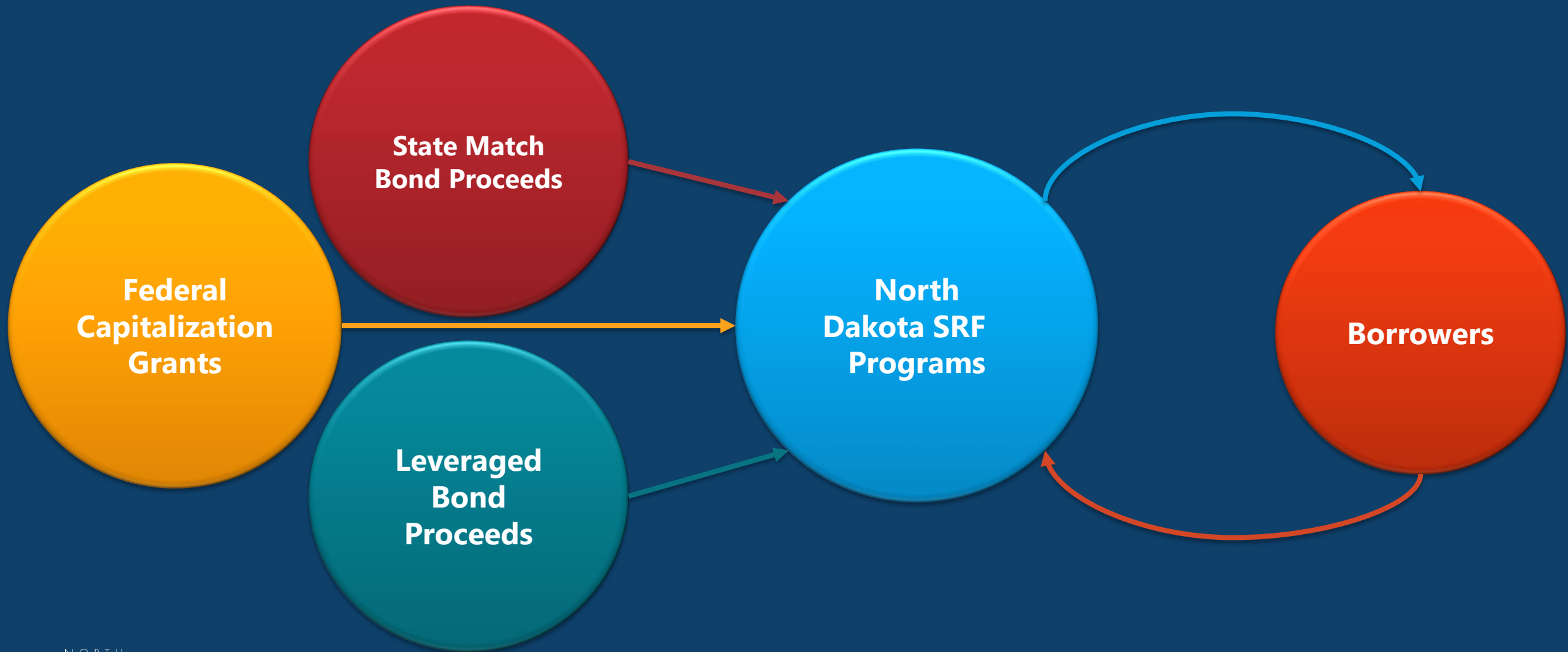
Rural Water Districts (RWD), Rural Water Associations (RWA), Water User Districts (WUD) or Regional Water Systems



*Total SRF loans as of December 31, 2021
Projection: UTM Zone 14N
State of North Dakota, Esri, HERE, Garmin, SafeGraph, FAO, METI/NASA, USGS, EPA, NPS, Esri, USGS

0 5 10 20 30 40 50 Miles

About the SRFs



Sources and Uses of Funds

Sources

- Capitalization Grants from EPA
- State match bond proceeds
- Leveraged bond proceeds
- Repayments from borrowers
- Transfers between SRF programs

Uses

- Loans
- *Additional Subsidization
- Program administration
- PWSS administration (DWSRF only)
- Small system technical assistance (DWSRF only)
- Nonpoint source loans (CWSRF only)

- * Federal requirement since ARRA (2009)
 - Based on percentage of capitalization grant
 - Provided as loan forgiveness

About the SRF Process

- State SRF programs develop priority ranking systems for use of their capitalization grant which must be approved by EPA
 - Intended Use Plan (IUP) formalized at the beginning of each year
 - May be amended throughout the year if necessary
- State SRF programs are required to provide some of the capitalization grant as “additional subsidy”
 - In North Dakota, we refer to it as “loan forgiveness”

CWSRF Eligible Projects

- Centralized Wastewater Treatment (treatment works)
 - Primary/secondary
 - Advanced
 - Sewer Systems
 - Combined sewer overflow (CSO) correction
- Renewable energy projects for POTWs (project specific)
- Water conservation projects
 - Water meters (non-treatment works)
 - Water efficient irrigation equipment (non-treatment works)
 - Water reuse (project specific)
- Stormwater (non-treatment works)
- Landfills(non-treatment works)
 - liners and leachate collection systems for cells, monitoring wells, capping systems

DWSRF Eligible Projects

- Source water: surface water intake structures, groundwater wells
- Water treatment plants
- Drinking water storage
- Distribution (mains, booster stations, service lines, water meters)

DWSRF Non-Eligible Projects

- Projects primarily for future growth
- Projects primarily intended to provide fire protection

Other Eligible Projects

- Interconnection of systems/regionalization
- Security measures to protect infrastructure from vandalism
- Measures to ensure continued operation in the event of an emergency (generators, flood protection devices)
- Administration buildings for the water or wastewater system
- Lead service line replacement-entire service line needs to be replaced

Street Repair Eligibility



- Street repairs needed due to drinking water, sanitary sewer, and storm sewer utilities are eligible for the SRF programs
- Street repairs that are deemed ineligible for the SRF can be funded through the BND Infrastructure Revolving Loan Fund (IRLF)
- The SRF programs and the BND IRLF will use the same loan application – no need to submit separate loan applications
- The loans will be kept separate

Additional Subsidy

Based on a
percentage
of
capitalization
grant

Provided as
loan
forgiveness
to prioritized
systems

Up to 75%
loan
forgiveness

90% cap on
loan
forgiveness
and grant

Loan
application
and binding
commitment
deadline for
loan
forgiveness
projects

Loan Forgiveness

Clean Water 2023 Cap Grant

\$3,683,000

Loan Forgiveness 20% of Cap Grant

\$736,000

City 1 Loan Request \$3,000,000

**Up to 75% Loan Forgiveness =
\$2,250,000**

**Loan Forgiveness
is limited to \$736,000 for
City 1**

Drinking Water 2023 Cap Grant

\$4,938,000

Loan Forgiveness 26% of Cap Grant

\$1,283,880

City 1 Loan Request

\$11,000,000

**Up to 75% Loan Forgiveness =
\$8,250,000**

**Loan Forgiveness
is limited to \$1,283,880 for
City 1**

Green Project Reserve

A portion of the CWSRF capitalization grant must be used as:

Green (Stormwater) Infrastructure

Energy Efficiency

Water Efficiency

Other Environmentally Innovative Activity

Green Project Reserve

Eligibility of these components will be verified

Only CWSRF eligible projects to date have been for recycled or advanced wastewater treatment and replacing water meters

Business case required with loan application for non-categorical projects

Co-Funding

- Bureau of Reclamation
- Bank of North Dakota
- Community Development Block Grants
- US Army Corps of Engineers
- United States Department of Agriculture Rural Development
- ND Department of Water Resources Cost Share Program
- Federal Emergency Management Agency
- Municipal Rural & Industrial Water Supply Program
- ND Public Finance Authority Capital Financing Program
- Rural Community Assistance Partnership
- Energy Infrastructure and Impact Grant Program



Financial Advantages

**No penalty
for early
payment
from excess
revenues**

**Borrowers
only pay
interest on
loan as funds
are drawn**

**Bond counsel
fees are the
only cost of
issuance**

**Eligible
USDA-RD
loans can be
refinanced**

**Can be used
as co-funding
for other
state &
federal
programs**

Advantages to Using SRF Funds

	20 Year Financing			30 Year Financing		
	SRF 2.00%	Bond Market Rate		SRF 2.00%	Bond Market Rate	
		3.50%	4.50%		4.00%	5.00%
Total Project Cost	\$1,000,000	\$1,000,000	\$1,000,000	\$1,000,000	\$1,000,000	\$1,000,000
Cost of Issuance/Underwriter's Discount	\$5,000	\$39,000	\$39,040	\$5,000	\$41,100	\$41,200
Debt Service Reserve Fund (DSRF)	\$61,463	\$81,775	\$89,175	\$44,873	\$67,000	\$75,250
Average Annual Payment	\$61,463	\$79,105	\$86,988	\$44,873	\$64,120	\$72,733
Total Principal	\$1,005,000	\$1,125,000	\$1,130,000	\$1,005,000	\$1,110,000	\$1,120,000
Total Interest	\$168,188	\$457,100	\$609,750	\$255,896	\$813,600	\$1,062,000
Total Administration	\$56,063	\$0	\$0	\$85,299	\$0	\$0
Total Principal/Interest/Admin Less DSRF	\$1,167,788	\$1,500,325	\$1,650,575	\$1,301,322	\$1,856,600	\$2,106,750
Savings Provided by SRF Financing	-	\$332,537	\$482,787	-	\$555,278	\$805,428
Percent Savings	-	28.5%	41.3%	-	42.7%	61.9%

Questions?



FEDERAL REQUIREMENTS INCLUDING BIPARTISAN INFRASTRUCTURE LAW



Shannon Fisher, P.E.

Federal Requirements

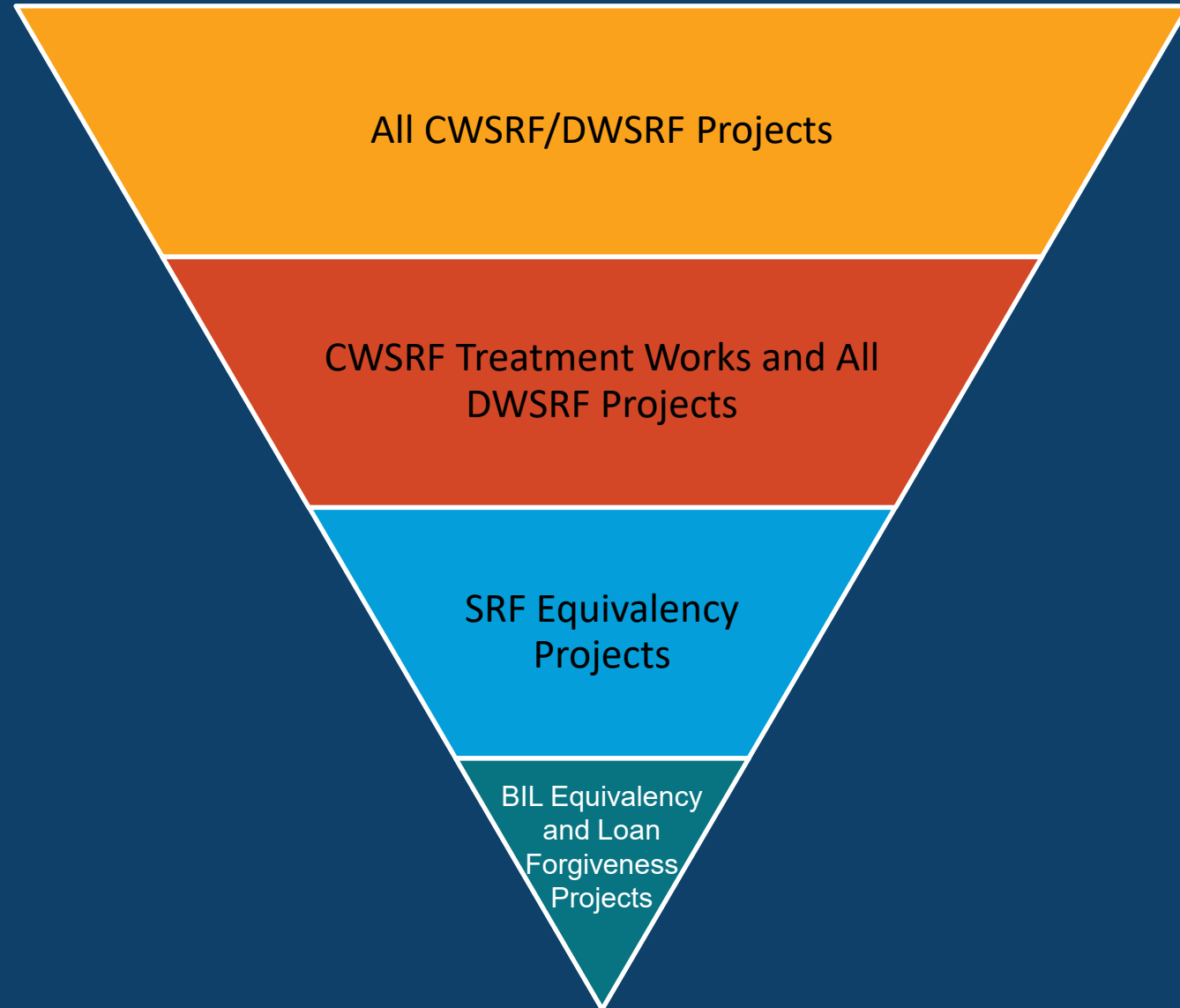
- Because the SRF programs receive federal funds, there are some federal requirements that must be followed
- Federal requirements depend on the type of project and whether or not the project is an “equivalency project”
 - All CWSRF/DWSRF Projects
 - CWSRF Treatment Works and all DWSRF Projects
 - SRF Equivalency Projects
 - BIL Equivalency and/or BIL Loan Forgiveness Projects

Equivalency Projects

- Some federal requirements apply:
“in an amount made directly available by” the federal capitalization grant
- What that means:
 - State can choose a project (or group of projects)
 - Project(s) must equal (or exceed) the cap grant’s value
 - Only equivalency project(s) must meet certain federal requirement
- **May be eligible for an interest rate reduction**

Specification Package

New
specification
package ready
for use



Federal Requirements

	All CWSRF/ DWSRF Projects	CWSRF Treatment Works & All DWSRF Projects	SRF Equivalency Projects	BIL Equivalency and/or BIL Loan Forgiveness Projects
Title VI of Civil Rights Act	X			
National Environmental Policy Act (NEPA)		X		
Davis Bacon wage rates		X		
American Iron and Steel		X		
Disadvantaged Business Enterprise goals			X	
Single Audit Act			X	
Build America Buy America			X	
Architectural/Engineering Procurement			CWSRF only	
Signage				X

Architectural/Engineering Procurement

Federal Procurement Requirements must be followed for engineering with CWSRF equivalency loans:

1. Request for Qualifications
2. Evaluation based on established, publicly available criteria which does NOT include cost
3. Discussion with at least 3 firms to consider concepts & alternatives
4. Selection of at least 3 firms to be the most highly qualified
5. Contract negotiation with the most highly qualified to determine compensation, scope, complexity and estimate value of the services

About the BIL

"Bipartisan
Infrastructure
Law"

Provides supplemental funding through the SRFs
for three purposes:

Provides
funding from
2022 to 2026,
"until
expended"

Any SRF-
eligible
project

Emerging
contaminants
(including
PFAS and
PFOA)

Lead service
line
replacement

About the BIL

Expands
domestic
preference
requirements
(Build America
Buy America)
for equivalency
projects

Adds signage
requirements
for BIL
equivalency
and/or BIL
loan
forgiveness
projects

BABA

- “Build America, Buy America Act”
- All materials (including iron, steel, non-ferrous metals, plastic- and polymer-based products, lumber, and drywall) must be produced in the United States
- Sand, gravel, aggregates, and aggregate binding agents do not have to meet BABA
- Applies to all federal funds for infrastructure projects and will be administered by the Office of Management and Budget
- Went into effect on May 14, 2022
- Possible project delays and/or increased costs due to availability of materials???

BABA Adjustment Period Waiver

If a project can provide evidence for any of the following conditions prior to May 14, 2022, it would qualify:

1. Submitted partial or completed plans and specifications by the borrower to the SRF.
2. Submitted preliminary engineering report, or equivalent, by an engineering firm to the borrower or by the borrower to the SRF.
3. Initiated design planning by the in-house staff of the borrower.
4. Approved or executed an SRF loan for design and/or engineering, which may or may not include construction.
5. Solicited bids or executed a contract for design and/or engineering, including contracts not funded by an SRF.
6. Solicited bids or executed a contract for construction.
7. Initiated the process of securing other financing, such as issuing bonds.
8. Scheduled or held a public referendum on the project or scheduled or held a public meeting about the project.

EPA amended this waiver on November 13, 2023 to restrict its use to the 2022 and 2023 equivalency projects

BABA De Minimis Waiver

BABA requirements can be waived for products used in and incorporated into a project that cumulatively comprise no more than 5 percent of the total project cost

Project components to which the waiver applies will need to be tracked

BABA Small Project Waiver

Applies to
projects
less than
\$250,000

BABA

- Waivers can be requested if:
 - BABA would be inconsistent with the public interest ("public interest waiver")
 - Materials are not produced in the United States in sufficient and reasonably available quantities of a satisfactory quality ("nonavailability waiver")
 - Inclusion of materials produced in the United States will increase the cost of the overall project by more than 25 percent ("unreasonable cost waiver")

BABA

Project-specific waiver process may be lengthy:

- Borrower (with the assistance of SRF program staff) prepare a waiver request
- EPA conducts market research to determine merits of the waiver request
- EPA posts the waiver request for a 15-day public comment period
- Borrower (with the assistance of SRF program staff) respond to public comments
- EPA staff make a recommendation to EPA headquarters
- EPA headquarters approves the waiver
- OMB reviews and approves the waiver

BABA

Contact the SRF program to find out if
BABA will apply and, if it does, if a
waiver can be obtained

Signage



Full Lead Service Line Replacement

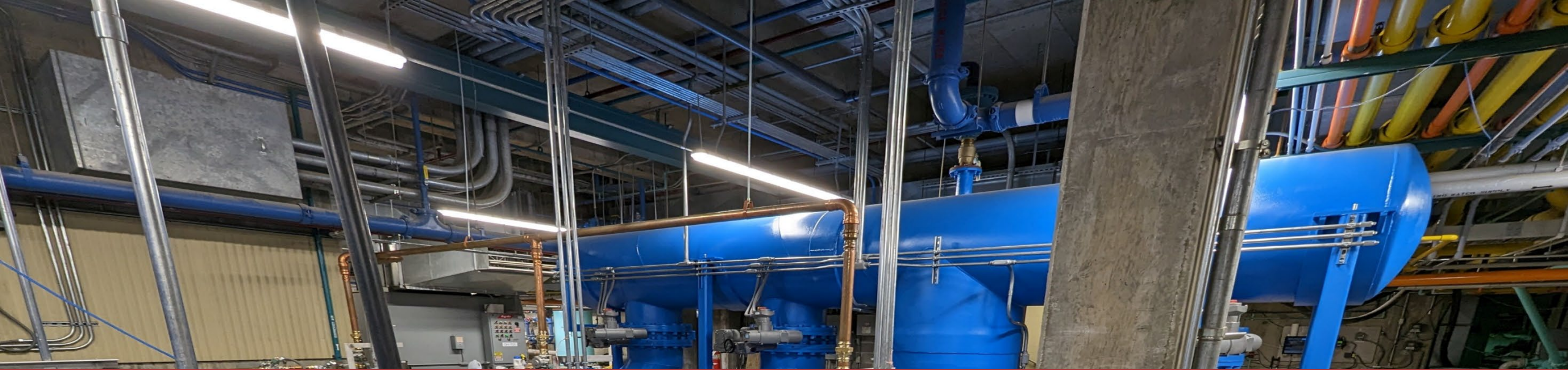
Any lead service line replacements must replace the **entire** lead service line, not just a portion, unless a portion has already been replaced or is concurrently being replacement with another funding source.

BIL Lead Service Line Interest Rate

0.5%



Questions?



SRF TRACKER




Bryan Schmitt, P.E.

What is SRF Tracker?

- SRF Tracker is a new cloud-based data management system
- Built for NDDEQ & PFA staff, consulting engineers, and customers
- SRF Tracker allows for users to do the following:
 - View project and loan information
 - Apply for loans and grants
 - Submit payment requests
 - Upload and view project related documents

Log In and Access

srf.deq.nd.gov

 North Dakota SRF Tracker

Log In

ND Login ID

Log In

You MUST follow the steps below PRIOR to logging into SRF Tracker!
SRF Tracker will not allow access until AFTER you have:

- Log into the NDLogin app to confirm account exists or to unlock your existing account: NDLogin Link
- If a successful login, set the cell phone number and if setting up a new account, request a verification text to activate the account (The security phone number is not required when setting up an ND Login account, but if not populated you can't log in to SRF Tracker).
- Once completed, email the NDLogin Id to ndsrf@nd.gov to have an SRF Tracker account created. NOTE: send only the NDLogin ID do NOT include the password.

If you already have a North Dakota login that works with other ND apps, you do not need to create a new account!
If you do not have an existing NDLogin you MUST set one up prior to sending an email to request access to SRF Tracker. SRF Tracker uses a NDLogin authenticator and your account will be locked if you try to request SRF Tracker access before you have an approved NDLogin!

Do NOT use the dash (-) or ampersand (&) in your ND Login password, you will not be able to log into SRF Tracker.

North Dakota Login Registration Link


Login Issues? Use the links below for:
[Forgot My Login Link](#)
[Forgot My Password Link](#)
[ND Login Registration Link](#)

Email ndsrf@nd.gov or ndpfa@nd.gov with NDLogin User ID (not password) after creating NDLogin account

Navigating SRF Tracker

SRF Tracker Home Screen (Green Ribbon)

- SRF Initiatives
- SRF Projects
- General Projects
- PAR Grant Projects

 North Dakota SRF Tracker Ext-Engineer, DEQ-SRF [Logout](#)

Consulting Engineer

First Name
DEQ-SRF

Last Name
Ext-Engineer

Email Address
ndsrf@nd.gov

Phone Number
701-328-5299

Notes
To be Used for SRF and PFA Staff

SRF Initiatives

SRF Projects

General Projects

PAR Grant Projects

Customer Name

Status
All

[Filter](#)

[Clear Filter](#)

Customer	Project Name	SRF Engineer	PFA Staff	Status	
Minnewaukan City Of	Streifel Subdivision Sewer	Shawn Martin	DeAnn Ament	Approved	View
Galesburg City Of	ECRWD Service to Galesburg	Danielle Peltier	DeAnn Ament	Approved	View
Agassiz Water Users District	User and Transmission Expansion Phase 2 (Part 1)	Aaron Wellman	DeAnn Ament	Approved	View
Fargo City Of	Landfill Leachate System Improvements - Engineering	Ryan Allery	DeAnn Ament	Pending Review	View

Navigating SRF Tracker

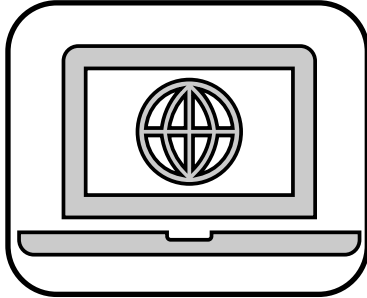
SRF Tracker Home Screen (Blue Ribbon)

- SRF Initiatives
- SRF Projects
- General Projects
- PAR Grant Projects
- Audit Reports
- Documents
- Users

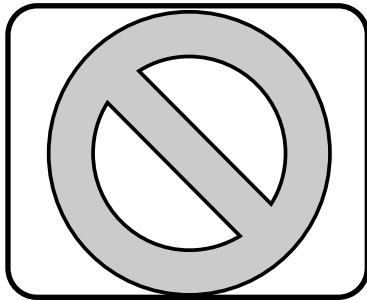
The screenshot displays the 'North Dakota SRF Tracker' interface. At the top, a blue header bar contains the title and a user profile 'Fisher-Golva, Shannon' with a 'Logout' link. Below the header, the main content area is titled 'Customer' and shows details for 'Golva City Of'. It includes fields for 'No Address' (Golva North Dakota, 58632), 'Contact' (Entity Type: Municipality, SAM Id), and 'County' (Water System Id 1700403). A navigation bar below the customer info contains tabs: 'SRF Initiatives' (selected), 'General Projects', 'PAR Grant Projects', 'Audit Reports', 'Documents', and 'Users'. Under the 'SRF Initiatives' tab, there are input fields for 'Initiative Name' and a 'Status' dropdown menu set to 'All', followed by 'Filter' and 'Clear Filter' buttons. Below these is a table with the following columns: 'Initiative Name', 'CWSRF Number', 'DWSRF Number', 'Total Initiative Amount', and 'Status'. The table currently shows 'No Initiatives'.

Initiative Name	CWSRF Number	DWSRF Number	Total Initiative Amount	Status
No Initiatives				

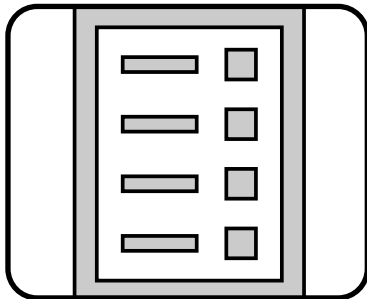
SRF Tracker Tips



If you can't log into SRF Tracker, clear your browser cookies and cache. If that doesn't work, try a private web browser such as Firefox.



Do not use special characters in naming files that will be uploaded to SRF Tracker.



If you have a spreadsheet or PDF file you want to provide for the draw request, you can enter an invoice of \$.01 and upload the file in place of an invoice.

Questions?



Intended Use Plan (IUP) & Project Priority List (PPL)



Elizabeth Tokach Duran, P.E.

How Do You Get Started?

Fill out a project questionnaire in the fall

- NDDEQ sends out notices via email
 - Email ndsrf@nd.gov to be added to our contact list

Select an engineer

- Ask them to contact the NDDEQ to discuss the project
- Ask them to prepare a facility plan: this will provide the options available to a system to address the problem and estimate costs

Identify a repayment source

- Will a rate increase be necessary?

What is the Project Questionnaire?



PROJECT QUESTIONNAIRE FOR THE DRINKING WATER STATE REVOLVING FUND (DWSRF) PROGRAM

NORTH DAKOTA DEPARTMENT OF ENVIRONMENTAL QUALITY
DIVISION OF MUNICIPAL FACILITIES
SFN 54458 (5-2022)

For Internal Use Only:
Date Received:
Tracking Number:

Please note: this questionnaire is required to determine project eligibility and ranking on the priority list. This is not an application for funding, nor does it commit a project to seek funding through the DWSRF program. If you would like to begin an application for funding through the DWSRF program, please visit <http://grants.nd.gov> and apply through the Funding for Infrastructure in North Dakota (FIND) funding opportunity.

System Information

Public Water System (PWS) Name			PWS Number ND
Contact Name			Title
Address			Telephone Number
City	State	ZIP Code	Email

Consulting Engineering Firm (if any)			Engineering Firm Contact Name
Address			Telephone Number
City	State	ZIP Code	Email

Project Information

Project Name	
Project Description (attach additional information as needed, including available engineering reports or maps)	
Is the primary purpose of this project to serve future population growth? Yes <input type="checkbox"/> No <input type="checkbox"/>	
Is the primary purpose of this project to provide fire protection? Yes <input type="checkbox"/> No <input type="checkbox"/>	
If the answer to either of the above questions is yes, this project is not eligible for the DWSRF program.	
Anticipated Start Dates for Project:	
Planning:	Design: Construction:



CLEAN WATER STATE REVOLVING FUND (CWSRF) QUESTIONNAIRE

DEPARTMENT OF ENVIRONMENTAL QUALITY
DIVISION OF MUNICIPAL FACILITIES
9-2023

This questionnaire is required to determine project eligibility and ranking on the priority list. Only projects on the priority list can be considered for CWSRF loan assistance. Questionnaires should be submitted for new projects and projects on the current priority list that haven't started construction or will continue construction under a CWSRF loan into 2024. This is not an application for funding, nor does it commit a project to seek funding through the CWSRF program. If you would like to begin an application for funding through the CWSRF program visit <http://grants.nd.gov> and apply through the Funding for Infrastructure in North Dakota (FIND) funding opportunity.

System Information

Name of City, Utility, or Sponsoring District:			
Contact Name:		Title:	
Address:		Telephone Number:	
City:	State:	Zip Code:	Email:

Consulting Engineering Firm (if any):	Engineering Firm Contact Name:
Email:	Telephone Number:

Project Information

Project Name and Description (Provide enough detail so that the scope and location of the project can be determined. Attach additional information if available, including available engineering reports):
Desired Number of Years to Repay Loan (maximum of 30 years dependent on useful life of components):
Anticipated Construction Start Date:

Project Cost & System Information

1. What is the total estimated cost for this project?	\$
2. What is the total estimated CWSRF amount?	\$
3. What is the total estimated grant amounts from other funding?	\$
4. What portion of the total project cost is related to emerging contaminants? Which emerging contaminant(s):	\$
5. What is the number of service connections/users that will be responsible for paying for the project?	
6. What is the current annual residential user charge for this system's service?	\$

Shaded projects are on the fundable list

Priority Ranking (Base & Supplemental)	Priority Ranking (Emerging Contaminants)	Priority Ranking (Lead)	Tracking No.	System Name	Disadvantaged Community	Present Population	Project Description	Project Cost (\$1,000)	Project Cost - Emerging Contaminants (\$1,000)	Project Cost - Lead (\$1,000)	Construction Start Date	Est. Loan Term ¹
1	-	-	5201309-23-01	Central Plains WD	Yes	3,504	Water district expansion	11,171	-	-	2023	30
2	3	-	2600038-21-03	Ashley	Yes	700	WTP improvements	2,500	1,250	-	2023	20+
3	4	-	1001380-22-02	Northeast RWD	Yes	7,517	WTP & wellfield expansion	6,000	4,000	-	2024	
4	-	105	1200211-22-01	Crosby	Yes	1,065	Hendrickson/Holmes water main improvement	3,229	-	55	2024	
5	-	-	4700637-16-01	Medina	Yes	300	WTP & well improvements	840	-	-	2023	20+
6	6	-	1801062-22-05	East Central RWD	Yes	8,448	WTP expansion (phase 5)	10,564	10,564	-	2023	20+
7	7	-	1801062-23-01	East Central RWD	Yes	8,448	Hillsboro WTP expansion	9,978	9,978	-	2023	20+
8	2	-	5001075-23-02	Walsh RWD	Yes	3,340	WTP expansions	10,000	10,000	-	2024	
9	-	-	5000408-02-01	Grafton	Yes	4,170	WTP improvements	5,562	-	-	2023	
10	-	-	2600038-21-01	Ashley	Yes	700	Water tower improvements	2,000	-	-	2023	
11	-	66	3300174-22-01	Center	Yes	600	Water storage & distribution improvements	2,600	-	260	2023	30
12	-	2	4700498-22-01	Jamestown	Yes	16,000	Water main & lead service line replacement	1,500	-	250	2023	30
13	-	-	1801062-22-04	East Central RWD	Yes	8,448	Service to Galesburg	1,784	-	-	2024	
14	-	-	2500415-12-01	Granville	Yes	330	Water main replacement	499	-	-	2023	
15	8	-	3901068-20-01	Southeast WUD	Yes	10,639	West WTP improvements	12,645	12,645	-	2022	
16	-	-	4701303-19-04	Stutsman RWD	Yes	6,700	Raw water facilities improvements	4,271	-	-	2023	
17	-	-	2100726-22-04	New England	Yes	600	Refinance of water main, service line, water tower, hydrant, & gate valve replacement	5,996	-	-	-	
18	-	1	4800152-23-01	Cando	Yes	1,115	Lead service line inventory & replacement	1,115	-	1,115	2023	30
19	-	-	4701303-19-01	Stutsman RWD	Yes	6,700	Service to Streeter	776	-	-	2023	
20	-	-	3900973-16-01	Wahpeton	Yes	8,004	WTP process improvements	10,707	-	-	2023	
21	-	-	3900703-11-01	Mooreton	Yes	90	Gate valve & hydrant replacement, control upgrades, addition of bladder tank storage	700	-	-	2024	
22	-	82	2200827-16-01	Robinson	Yes	45	Distribution system improvements	1,000	-	150	2023	
23	-	16	0800080-19-01	Bismarck	Yes	88,000	Water main & lead service line replacement	3,500	-	1,500	2023	30
24	-	-	5001075-19-01	Walsh RWD	Yes	3,340	NRWD interconnect	3,340	-	-	2023	
25	-	-	4001153-14-02	All Seasons WUD	Yes	4,295	System 3 improvements - Turtle Mountains & Lake Metigoshe area	29,000	-	-	2023	
26	-	3	4700498-22-02	Jamestown	Yes	16,000	Lead service line replacement	3,500	-	3,500	2023	30
27	-	-	2100726-22-01	New England	Yes	600	Refinance of water system imp. districts Phase 1, 2 & 3	5,996	-	-	-	
28	-	-	4000854-22-02	St. John	Yes	342	Water tower replacement	1,875	-	-	2023	
29	-	117	0900017-22-01	Amenia	No	94	Distribution system improvements	700	-	45	2023	
30	-	7	1900162-22-01	Carson	Yes	238	Railroad, 1st, & 2nd Ave water main replacement	2,577	-	26	2023	30
31	-	8	5100660-23-01	Minot	Yes	80,000	Eastwood park water main replacement	5,000	-	1,000	2023	30
32	-	-	0900336-11-01	Fargo	Yes	166,000	High service pump station	9,500	-	-	2025	
33	-	-	1801056-21-01	Agassiz WUD	Yes	3,525	User & transmission expansion - Phase 2	3,850	-	-	2023	
34	-	-	0801154-23-02	South Central RWD	Yes	10,400	Service to Ashley	10,560	-	-	2024	
35	-	127	0300762-15-01	Oberon	Yes	104	Distribution system replacement	3,400	-	250	2024	
36	-	-	4001153-21-01	All Seasons WUD	Yes	4,295	Refinance of projects for well, reservoir, SCADA, & pipeline improvements	3,929	-	-	-	
37	-	-	4700637-16-02	Medina	Yes	300	Water main replacement	840	-	-	2022	
38	-	-	4500069-23-02	Beifield	Yes	1,013	AC water main & gate valve replacement	2,305	-	-	2024	
39	-	58	3900973-22-01	Wahpeton	Yes	8,004	3rd Ave & 5th St S distribution system improvements	1,480	-	85	2025	
40	-	-	3400170-22-01	Cavalier	Yes	1,247	Water main replacement	1,355	-	-	2023	
41	-	19	1500571-23-01	Linton	Yes	990	Lead service line inventory & replacement	990	-	990	2023	30
42	-	-	2800389-13-01	Garrison	Yes	2,500	WTP upgrades	5,000	-	-	2022	
43	-	-	2800953-22-01	Underwood	Yes	850	Water tower replacement	3,250	-	-	2023	
44	-	-	3201072-22-02	Tri-County WD	Yes	3,175	Phase 7 expansion	3,286	-	-	2023	
45	-	83	0900336-22-01	Fargo	Yes	166,000	Water main replacement	5,000	-	-	2023	
46	-	-	3700314-02-01	Enderlin	Yes	890	Well field & transmission line	1,700	-	-	2024	
47	-	-	3700314-08-01	Enderlin	Yes	890	Water tower replacement	2,000	-	-	2024	

What is the Priority List?

Project Priority List

Ordered ranking
of all eligible SRF
projects

Only projects on the
PPL are eligible for
SRF funding
(Emergency projects
are an exception for
DWSRF)

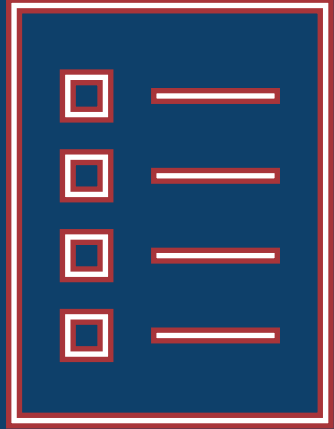
We will work with
emergency projects to
streamline funding

A memorandum is
sent out each year
to advertise for
eligible projects
on the following
year's PPL

Request for Project Memorandum

- Sent to potential loan recipients & interested parties
- Ranking questionnaire is available at <https://deq.nd.gov/MF/Forms.aspx>
 - Systems with new (unlisted) projects (DWSRF)
 - Update questionnaire for systems listed on previous year PPL (DWSRF)
 - All projects must fill out a new questionnaire (CWSRF)
- Ranking questionnaire must be filled out and returned to the NDDEQ by the deadline date

Ranking Questionnaire (Both Programs)

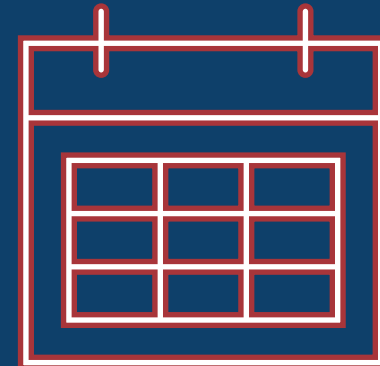


System information

- System name
- Contact information

Project information

- Project description
- Anticipated start dates
- Estimated cost



Ranking Questionnaire (CWSRF)

Project Cost & System Information

1. What is the total estimated cost for this project?	\$
2. What is the total estimated CWSRF amount?	\$
3. What is the total estimated grant amounts from other funding?	\$
4. What portion of the total project cost is related to emerging contaminants? Which emerging contaminant(s):	\$
5. What is the number of service connections/users that will be responsible for paying for the project?	
6. What is the current annual residential user charge for this system's service?	\$

Ranking Questionnaire (CWSRF)

Category Cost

To assist us in completing the priority list please separate out the project's components with their respective costs in the table below.

<input type="checkbox"/> Sanitary Sewer	Secondary Wastewater Treatment (I)	\$
	Advanced Wastewater Treatment (II)	\$
	Water Reuse (X)	\$
	Infiltration/Inflow Correction (III-A)	\$
	Sewer Replacement/Rehabilitation (III-B)	\$
	New Collector Sewers (IV-A)	\$
	New Interceptor Sewers (IV-B)	\$
<input type="checkbox"/> Stormwater	Gray or Green Infrastructure or Management (VI)	\$
<input type="checkbox"/> NPS Control	Landfills (VII-J)	\$
	Hydromodification (VII-K)	\$
<input type="checkbox"/> Water Efficiency	Water Meters	\$
<input type="checkbox"/> Other		\$

Ranking Questionnaire (CWSRF)

Green Project Reserve (GPR) Information

Is there a proposed GPR component of this project? If yes, please identify the category, describe, and include estimated GPR amount.

<input type="checkbox"/> Green Infrastructure		\$
<input type="checkbox"/> Energy Efficiency		\$
<input type="checkbox"/> Water Efficiency		\$
<input type="checkbox"/> Environmentally Innovative		\$

Additional information concerning GPR requirements can be found using the links below:

1. https://www.epa.gov/sites/production/files/2015-04/documents/green_project_reserve-crosswalk-table.pdf
2. https://www.epa.gov/sites/production/files/2015-04/documents/green_project_reserve_eligibility_guidance

Ranking Questionnaire (DWSRF)

- Project benefits
- Cost (including emerging contaminants and lead)
- Population, service connections, and water rates
- If refinancing: the remaining balance on the loan, interest rate, loan term, and original construction date

Ranking Questionnaire (DWSRF)

- Regional and rural water systems need to complete Attachment 1 in the questionnaire
- Attachment 1 requests additional information for pre-project & post-project service area characteristics based on county
 - Population served
 - Service connections
 - Average annual charge for water service

Ranking Questionnaire

Fill out the
questionnaire
completely

- Signature
- Date
- Phone number

Email the
Questionnaire
/ Update

- ndsrf@nd.gov

Questions

- 701.328.5211

Complete Ranking Process

- Award ranking points
- Comprehensive Project Priority List (PPL)
- Fundable List (DWSRF)
- Public hearing
- EPA approval

Priority Ranking System (CWSRF)

- Affordability
- Water quality improvements
- Permit compliance
- Readiness to proceed
- Green project reserve

Priority Ranking System (DWSRF)

- Water Quality
- Water Quantity
- Affordability
- Infrastructure Adequacy
- Consolidation or Regionalization
- Miscellaneous

Intended Use Plan (IUP)

- The IUP is a document provided to EPA on how the NDDEQ plans to administer the SRF Program
- The PPL is one element of the IUP and contains all eligible SRF projects
- We will work with you to fund any project from the PPL that is ready to proceed – no project has been turned away for a loan as long as the borrower shows the ability to repay the loan

Questions?



Loan Application Package



DeAnn Ament

Application Process

Step 1

- Apply on grants.nd.gov for "FIND - Funding for Infrastructure in ND"
- Applications will be considered by the SRF programs, the Department of Water Resources, and the Bank of North Dakota Infrastructure Revolving Loan Fund

Step 2

- Fill out the loan application package in SRF Tracker- if funded jointly with the BND IRLF, this will also meet their requirements

FIND

The screenshot shows a web browser window with the address bar displaying grants.nd.gov/index.do. The page features the North Dakota logo and the slogan "Be Legendary.™".

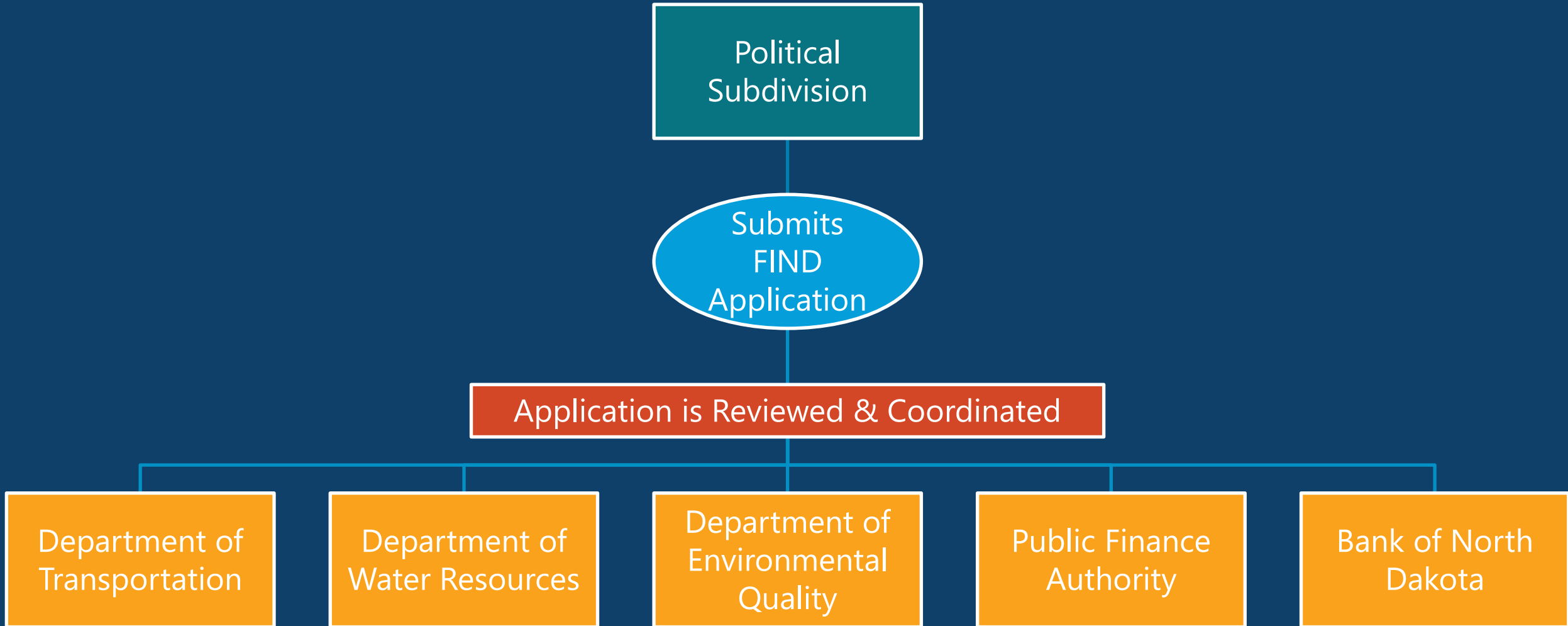
Left Column:

- Enter your user id and password:** A login form with fields for "User ID" and "Password", a "SIGN IN" button, and a small shield icon.
- ND.GOV STAFF ONLY:** A section with a "Click Here to Access Single Sign On Tool" button.

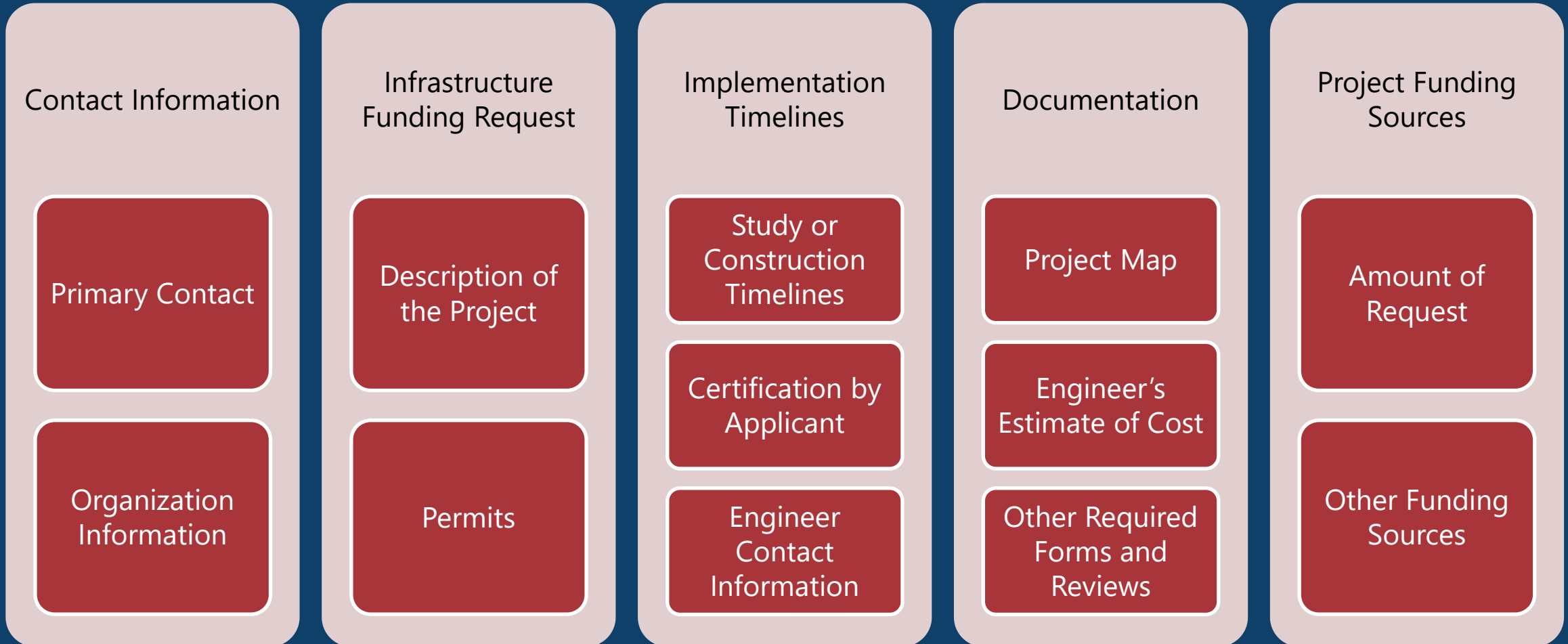
Right Column:

- Announcements:** A section with the heading **** ATTENTION **** and the subheading **For applicants of DPI Funding Opportunities:**. The text states: "All DPI sponsored funding opportunities have moved to their own system. The new DPI system can be reached here: <https://nddpi.grants.nd.gov/index.do>. The State's Enterprise system will no longer work for you."
- *****EXTERNAL USERS*******
- You MUST follow the steps below PRIOR to logging into WebGrants!**
- WebGrants will not allow access until AFTER you have:
 1. Log into the NDLogin app to confirm account exists or to unlock your existing account: [NDLogin Link](#)
 2. If a successful login, set the recovery phone number and request a verification text to activate the account (The security phone number is not required when setting up an ND Login account, but if not populated you can't log in to WebGrants).
 3. Once completed, you should enter your NDLogin login credentials to log into WebGrants
- If you already have a North Dakota login that works with other ND apps, you do not need to create a new account!**
- If you do not have an existing NDLogin you MUST set one up prior to logging in to request access to WebGrants.
- VIDEO DETAILING REGISTRATION FOR NDLOGIN AND WEBGRANTS HERE:**
- WebGrants uses a NDLogin authenticator and your account will be locked if you try to request WebGrants access before you have an approved NDLogin!
- Do NOT use the dash (-) or ampersand (&) in your ND Login password, you will not be able to log into WebGrants.**
- [NORTH DAKOTA LOGIN REGISTRATION](#)
- Login Issues? Use the links below for:**
- [Forgot My Login Link](#)


FIND PROCESS



FIND Application Contents



SRF Tracker

 North Dakota SRF Tracker

Loan Application

[A. General](#)[B. Funding Information](#)[C. Repayment Information](#)[D. Outstanding Debt](#)[E. Economic and Social](#)[F. Financials](#)[G. Attachments](#)[H. Summary](#)

General

Customer
External City for DeAnn

Initiative Name
Water Main Replacement


CWSRF Project Number

DWSRF Project Number
5800165-04

Bond Counsel

Are you refinancing?
☐ Yes ☒ No

Original Amount of Debt

Date of Original Bond Issue


NORTH
Dakota Be Legendary.™

Environmental Quality | Public Finance Authority

71

Loan Application F. Financials

Loan Application

A. General B. Funding Information C. Repayment Information D. Outstanding Debt E. Economic and Social F. Financials

Financials

Most Recent Month Financial Statements

--

Most Recent Operating Budget

--

Annual Audited Financial Statements

2022 Financial Statements

--

2021 Financial Statements

--

2020 Financial Statements

--

2019 Financial Statements

--

December 2022 Balance Sheet and YE Statement of Revenue and Expense for all fund types

--

What
Do You
Mean
Financial
Statements?

Financial Statements & Budget

Loan Application

A. General

B. Funding Information

C. Repayment Information

D. Outstanding Debt

E. Economic and Social

F. Financials

Financials

Most Recent Month Financial Statements

--

Most Recent Operating Budget

--

Annual Audited Financial Statements

2022 Financial Statements

--

2021 Financial Statements

--

2020 Financial Statements

--

2019 Financial Statements

--

December 2022 Balance Sheet and YE Statement of Revenue and Expense for all fund types

--

This should be the Statement of Net Position (balance sheet) and Statement of Revenues, Expenditures and Changes in Net Position (income statement or profit and loss) for all funds for the most recent month ended.

This should be the operating budget approved by the council or board and submitted to the county, if applicable.

Most Recent Financial Statements

11:58:42

Income Statement

Report ID: LB170A

For the Accounting Period: 2 / 23

501 Water

Account	Object	Description	Current Month	Current Year			%
				Current YTD	Budget	Variance	
Revenue							
	3471	Water Charges	19,968.18	42,295.56	255,000.00	-212,704.44	17
	3610	Interest			200.00	-200.00	17
Total Revenue			19,968.18	42,295.56	255,200.00	-212,904.44	17
Expenses							
4141		Auditor					
	110	Salaries	706.27	1,412.54	8,548.00	7,135.46	17
	211	Life Insurance	0.04	0.08		-0.08	
	220	FICA	54.05	108.09	654.00	545.91	17
	230	Retirement	51.32	102.63	706.00	603.37	15
	240	Workers Comp			39.00	39.00	
Total Account			811.68	1,623.34	9,947.00	8,323.66	16
4340		Water System					
	110	Salaries	1,015.62	2,031.25	12,039.00	10,007.75	17
	211	Life Insurance	0.05	0.10		-0.10	
	220	FICA	73.24	146.48		-146.48	
	230	Retirement	82.90	165.53	994.00	828.47	17
	240	Workers Comp			578.00	578.00	
	353	Water	16,720.65	31,290.13	207,927.00	176,636.87	15
	370	Dues and Memberships			150.00	150.00	
	420	Operation and Maintenance Supplies	112.04	130.54	14,000.00	13,869.46	1
	423	Repairs			15,000.00	15,000.00	
	490	Miscellaneous			2,000.00	2,000.00	
Total Account			18,004.50	33,764.03	252,688.00	218,923.97	13
4341		Water Tower					
	420	Operation and Maintenance Supplies			750.00	750.00	
Total Account					750.00	750.00	
4600		Debt Service					
	710	Principal			10,000.00	10,000.00	
	720	Interest			4,400.00	4,400.00	
Total Account					14,400.00	14,400.00	
Total Expenses			18,816.18	35,387.37	277,785.00	242,397.63	13
Net Income from Operations			1,152.00	6,908.19			

Three Most Recent Audits/State Auditor Reports

Loan Application

A. General

B. Funding Information

C. Repayment Information

D. Outstanding Debt

E. Economic and Social

F. Financials

Financials

Most Recent Month Financial Statements

--

Most Recent Operating Budget

--

Annual Audited Financial Statements

2022 Financial Statements

--

2021 Financial Statements

--

2020 Financial Statements

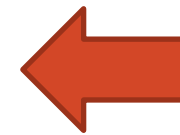
--

2019 Financial Statements

--

December 2022 Balance Sheet and YE Statement of Revenue and Expense for all fund types

--



Upload audits here!

Uploading & Deleting Audits

Customer

Bismarck City Of

601 S 26TH ST
Bismarck North Dakota, 58506

Contact
Entity Type Municipality
SAM Id

County
Water System Id 0800080

SRF Initiatives

General Projects

PAR Grant Projects

Audit Reports

Documents

Users

Upload Audit

Name

Year

Bismarck 2021.pdf

2021

Delete

Bismarck 2020.pdf

2020

Delete

Bismarck 2019.pdf

2019

Delete

Most Recent Year-End

Annual Audited Financial Statements

2022 Financial Statements

--

2021 Financial Statements

--

2020 Financial Statements

--

2019 Financial Statements

--

December 2022 Balance Sheet and YE Statement of Revenue and Expense for all fund types

--

If the audit is complete.

If the audit/state auditor report is not complete, upload year-end financial statements.

Statement of Changes in Net Position (for all funds)

Balance Sheet

For Sewer Operating Fund (602)

December 31, 2022

Assets

Cash

602-00-1000	Cash	630.04
602-00-1020	Investment-ICS	416.28
602-00-1021	Investment-Money Market	56.30
602-00-1022	Investment-CD	39,773.25
602-00-1024	Investment-ICS Special Assessments	.00
Total Cash		40,875.87
Total Assets		\$ 40,875.87

Liabilities and Fund Balance

602-00-2000	Accounts Payable	.00
602-00-2010	Federal Tax Withholding	.00
602-00-2011	Health Insurance	.00
602-00-2012	Retirement	.00
602-00-2013	State Tax	.00
602-00-2014	Social Security	.00
602-00-2015	Medicare	.00
602-00-2016	Child Support	.00
602-00-2017	Garnishment	.00
602-00-2018	Unemployment SUI	.00
Total		.00
Total Liabilities		.00
602-00-3000	Fund Balance	31,110.13
602-00-3010	Excess of Revenues over Expenditures	.00
Total		31,110.13
Excess of Revenue Over Expenditures		9,765.74
Total Fund Balances		40,875.87
Total Liabilities and Fund Balances		\$ 40,875.87

Statement of Revenue and Expenditures

Revised Budget
For Sewer Operating Fund (602)
For the Fiscal Period 2022-12 Ending December 31, 2022

Account Number	Current Budget	Current Actual	Annual Budget	YTD Actual	Remaining Budget %
Revenues					
602-00-4471 Residentia Sales	\$ 3,041.63	\$ 3,207.67	\$ 36,500.00	\$ 41,107.69	(12.62%)
602-00-4472 Commercial Sales	8.37	0.00	100.00	0.00	100.00%
602-00-4511 Penalty Collections	0.00	0.00	0.00	0.00	0.00%
602-00-4610 Interest Earnings	62.50	44.87	250.00	226.86	9.26%
602-00-4690 Other Income	8.37	0.00	100.00	0.00	100.00%
602-00-4900 Transfer In	10,000.00	0.00	20,000.00	0.00	100.00%
Total Sewer Operating Fund Revenues	\$ 13,120.87	\$ 3,252.54	\$ 56,950.00	\$ 41,334.55	27.42%
Expenditures					
602-00-5000 Salaries	\$ 1,732.12	\$ 1,070.28	\$ 20,785.00	\$ 15,429.17	25.77%
602-00-5005 Payroll Tax	132.50	81.88	1,590.00	1,180.29	25.77%
602-00-5006 Unemployment Tax	0.00	0.00	0.00	0.00	0.00%
602-00-5010 Health Insurance	453.63	213.48	5,444.00	2,579.68	52.61%
602-00-5011 Retirement	69.37	39.94	832.00	474.85	42.93%
602-00-5250 Unemployment	0.00	0.00	0.00	0.00	0.00%
602-00-5351 Electric	323.37	320.20	3,880.00	4,064.13	(4.75%)
602-00-5420 Operations & Maintenance	266.63	0.00	3,200.00	2,658.20	16.93%
602-00-5426 S1700 International Sewer Truck	40.00	214.53	400.00	214.53	46.37%
602-00-5429 Jetter	0.00	0.00	300.00	31.46	89.51%
602-00-5490 Miscellaneous	8.37	0.00	100.00	0.00	100.00%
602-00-5505 Sewer Line Repair	0.00	0.00	0.00	4,936.50	0.00%
602-00-5900 Transfer Out	0.00	0.00	0.00	0.00	0.00%
Total Sewer Operating Fund Expenditures	\$ 3,025.99	\$ 1,940.31	\$ 36,531.00	\$ 31,568.81	13.58%
Sewer Operating Fund Excess of Revenues Over Expen	\$ 10,094.88	\$ 1,312.23	\$ 20,419.00	\$ 9,765.74	52.17%

Statement of
Revenues,
Expenditures
and
Changes in
Net Position
(for all funds)

2023 Legislation SB 2180

In lieu of conducting an audit every two years, the state auditor may require annual reports from political subdivisions subject to this section, or otherwise provided by law, for any report delinquent as of June 30, 2023, or from political subdivisions with less than \$2 million dollars of annual receipts

Annual Receipts

State Auditor's Annual Financial Report Form

FORM 8 (Page 2) STATEMENT OF RECEIPTS, DISBURSEMENTS, TRANSFERS, AND FUND BALANCES December 31, 2021						NAME OF CITY City of _____	
	FUND	ALL FUNDS					
		Fund balance, January 1, 2021	Receipts	Transfers in	Transfers out	Disbursements	Fund balance December 31, 2021
	ENTERPRISE FUNDS						
	Water/Sewer fund	50,518.71	93,452.62	-	690.00	90,051.43	53,229.90
	Meter Deposit	15,028.75	500.00	-	-	600.00	14,928.75
	Garbage fund	28,288.41	44,597.25	-	-	41,330.92	31,554.74
	Mosquito	13,161.39	6,431.25	-	-	2,455.00	17,137.64
	Trailer Projects	57,317.25	3,058.14	-	-	-	60,375.39
	TOTAL ENTERPRISE FUNDS	164,314.51	148,039.26	-	690.00	134,437.35	177,226.42
	TRUST AND AGENCY FUNDS						-
	Park District	-	-	-	-	-	-
	Grant Account - CDBG checkbook	300.00	91,271.01	-	-	91,271.01	300.00
		-	-	-	-	-	-
							-
	TOTAL TRUST AND AGENCY FUNDS	300.00	91,271.01	-	-	91,271.01	300.00
	TOTAL - ALL FUNDS	1,360,676.11	947,781.71	21,690.00	21,690.00	582,140.75	1,726,317.07

FORM SFN 9540 Page 14

Annual Receipts – Audit Reports

Statement of Revenues, Expenditures and Changes in Fund Balances -
Modified Cash Basis
Governmental Funds
For the Year Ended December 31, 2021

	Major Funds		
	General	Street	Total Governmental Funds
<u>Revenues:</u>			
Taxes	276,704.48		276,704.48
Licenses, Permits and Fees	5,695.00		5,695.00
Intergovernmental	542,848.53	95,843.07	638,691.60
Charges for Services	31,688.82		31,688.82
Miscellaneous	29,845.08	5.58	29,850.66
Total Revenues	886,781.91	95,848.65	982,630.56

Statement of Revenues, Expenses and Changes in Fund Net Position - Modified Cash Basis
Proprietary Funds
For the Year Ended December 31, 2021

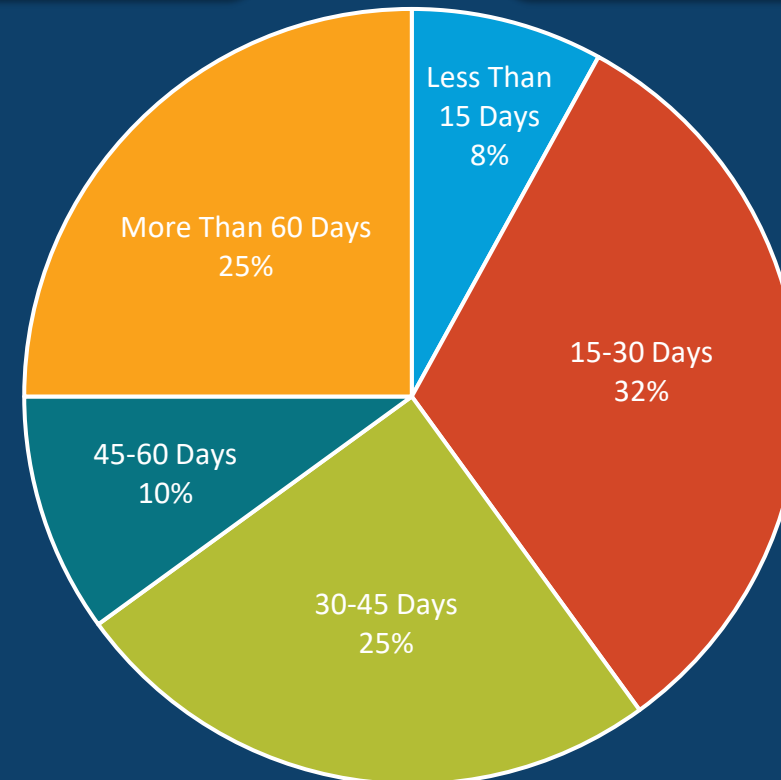
	Major Enterprise Funds			
	Water	Sewer	Garbage	Total Enterprise Funds
<u>Operating Revenues:</u>				
Charges for Sales and Services:				
Water Charges	187,429.01			187,429.01
Sewer Charges		86,073.00		86,073.00
Garbage Charges			57,882.00	57,882.00
Total Operating Revenues	187,429.01	86,073.00	57,882.00	331,384.01

Governmental	\$	982,630.56
Proprietary		331,384.01
Total Revenue	\$	1,314,014.57

How long will it take to get a loan?



- Depends on completeness of loan application
- Advisory Committee and Industrial Commission typically meet once a month



When Should I Apply?



Technical Assistance



RATE ANALYSIS



PREPARING FINANCIAL
STATEMENTS



BOARD TRAINING

Questions?

A landscape photograph showing a pond with a rocky shoreline. A dirt road runs along the right side of the pond, bordered by a fence. The sky is overcast with soft light. The text "LOAN APPLICATION G. ATTACHMENTS" is overlaid in white on a red background across the middle of the image.

LOAN APPLICATION G. ATTACHMENTS

Shannon Fisher

Loan Application Attachments

- Budget Sheet
- Certification of Eligibility
- Resolution of Governing Body
- ACH Authorization
- The Feasibility/Engineering Study
- Technical, Managerial, and Financial Capability Information (DWSRF Loans only)
- Tabulation of Useful Life (Loans Terms > 20 Years Only)

Budget Sheet

BUDGET SHEET

(Round to the nearest thousand)

COST CLASSIFICATION	CWSRF	DWSRF	IRFL			TOTAL
1. Administrative expenses						\$ 0
2. Land, structures, rights-of-way						\$ 0
3. Engineering basic fees						\$ 0
4. Other engineering fees						\$ 0
5. Project inspection fees						\$ 0
6. Land development						\$ 0
7. Relocation expenses						\$ 0
8. Construction and project improvement						\$ 0
9. Equipment						\$ 0
10. Capitalized interest						\$ 0
11.						\$ 0
12.						\$ 0
13. SUBTOTAL	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
14. Contingencies						\$ 0
15. TOTAL	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
16. CWSRF Funds	\$ 0					
17. DWSRF Funds		\$ 0				
18. IRFL			\$ 0			
19. Local				\$ 0		
20. OTHER (Specify)					\$ 0	
21. TOTAL ALL FUNDS						\$ 0

Debarment & Suspension Certification

- “Certification of Eligibility”
- Recipient of an SRF loan must submit to the State
- With original signatures

**CERTIFICATION REGARDING
DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS**

The prospective participant certifies to the best of its knowledge and belief that it and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
- (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- (d) Have not, within a three-year period preceding this application/proposal, had one or more public transactions (federal, state, or local) terminated for cause or default.

I understand that a false statement on this certification may be grounds for rejection of this proposal or termination of the award. In addition, under 18 U.S.C. Section 1001, a false statement may result in a fine of up to \$10,000 or imprisonment for up to 5 years, or both.

Authorized Representative Signature	Date
Printed Name	Title

I am unable to certify to the above statements.

Attached is my explanation.

Resolution of Governing Body

Suggested format:

- Resolution number
- Governing body of applicant
- Designated official authorized to execute
- Legal name of applicant
- Brief project description
- Certificate of recording officer

RESOLUTION OF GOVERNING BODY OF APPLICANT
(Suggested Format)

RESOLUTION NO. _____

Resolution authorizing filing of application with the North Dakota Department of Environmental Quality for a loan under the Clean Water Act and/or the Safe Drinking Water Act.

WHEREAS, under the terms of the Clean Water Act and/or the Safe Drinking Water Act, the United States of America has authorized the making of loans to authorized applicants to aid in the construction of specific public projects: Now, Therefore, BE IT RESOLVED, _____
(Governing Body of Applicant)

1. That _____ be and is hereby authorized to execute and file an application
(Designated Official)
on behalf of _____ with the North Dakota Department of Environmental
(Legal Name of Applicant)
Quality for a loan to aid in the construction of:

(Brief Project Description)

2. That _____
(Name of Authorized Representative) (Title)
be and is hereby authorized and directed to furnish such information as the North Dakota Department of Environmental Quality may reasonably request in connection with the application which is herein authorized to be filed, to sign all necessary documents, and, on behalf of loan recipient, to accept loan offer and receive payment of loan funds.

CERTIFICATE OF RECORDING OFFICER

The undersigned duly qualified and acting _____ of the
(Title of Officer)
_____ does hereby certify that the attached resolution is a true
(Legal Name of Applicant)
and correct copy of the resolution, authorizing the filing of application with the North Dakota Department of Environmental Quality, as regularly adopted at a legally convened meeting of the

(Name of Governing Body of Applicant) duly held on the _____ day of _____, 20____;
and further that such resolution has been fully recorded in the journal of proceedings and records in my office.

In WITNESS WHEREOF, I have hereunto set my hand this _____ day of _____, 20____.

Signature of Recording Officer* _____
Title of Recording Officer _____

*The signature needs to match the signature used for the FIND pre-application

Resolution of Governing Body

The individual(s) listed as the Authorized Representative(s) are the only ones that may submit payment requests

Note: If designated official gets replaced – Send new updated form

More than one individual can be listed on the resolution to provide flexibility with submitting documents

Technical Capacity (DWSRF Only)

- Schematic (rough sketch block diagram)
- Source water quality
- Wellhead protection / Source water assessment programs
- Documentation

Technical Capacity (DWSRF Only)

- Infrastructure condition (treatment, storage, transmission, and distribution)
- Current and future adequacy
- Class of water system
- Operator certification
- O & M manual
- Emergency response plan
- SDWA violations

Managerial Capacity (DWSRF Only)

- Ownership accountability
- Identify operator(s) & specific job descriptions
- Continuing education credits
- Responsibility to establish policies
- Written policies

Loan Application Submission

Complete ***ALL Items***

SRF Tracker will not allow submission of the loan application until all parts are filled out and green

The screenshot shows the 'North Dakota SRF Tracker' web application. The top navigation bar is blue with the text 'North Dakota SRF Tracker' on the left and 'Fisher-Golva, Shannon' and 'Logout' on the right. Below the navigation bar, the main heading is 'Loan Application'. A horizontal menu contains tabs for 'A. General', 'B. Funding Information', 'C. Repayment Information', 'D. Outstanding Debt', 'E. Economic and Social', 'F. Financials', 'G. Attachments', and 'H. Summary'. The 'A. General' tab is selected. Below the tabs, there are links for 'Download Summary Document' and 'Download Loan Application Documents', and a blue 'Submit for Review' button. The 'General' section is highlighted with a green bar and contains the text: 'This section is complete. You may return to this section to make changes before submitting the application.' The 'Funding Information' section is highlighted with a red bar and contains the text: 'Section is not complete. You must complete this section to be able to submit the application. Sources for each funding source must equal the funding source total'. The 'Repayment Information' section is highlighted with a red bar and contains the text: 'Section is not complete. You must complete this section to be able to submit the application. Missing items: Annual Operation and Maintenance Costs, Largest Users as of Date, Largest Users, Bulk User Data'. The 'Outstanding Debt' section is highlighted with a green bar and contains the text: 'This section is complete. You may return to this section to make changes before submitting the application.' The 'Economic and Social' section is highlighted with a red bar and contains the text: 'Section is not complete. You must complete this section to be able to submit the application. Missing items: Population Served, School Enrollment, Employers'. The 'Financials' section is highlighted with a red bar and contains the text: 'Section is not complete. You must complete this section to be able to submit the application. Missing items: Population Served, School Enrollment, Employers'.

Questions?

The background image shows an industrial facility, likely a water treatment plant. It features a large, dark, vaulted metal roof with a complex truss system. Several bright industrial lights are mounted on poles. In the foreground, a long, narrow metal walkway with a textured surface and safety railings leads towards the background. On either side of the walkway are large, circular, dark-colored structures, possibly part of a filtration or sedimentation process. The overall atmosphere is industrial and somewhat dimly lit, with the primary light sources being the overhead fixtures.

The Facility Plan

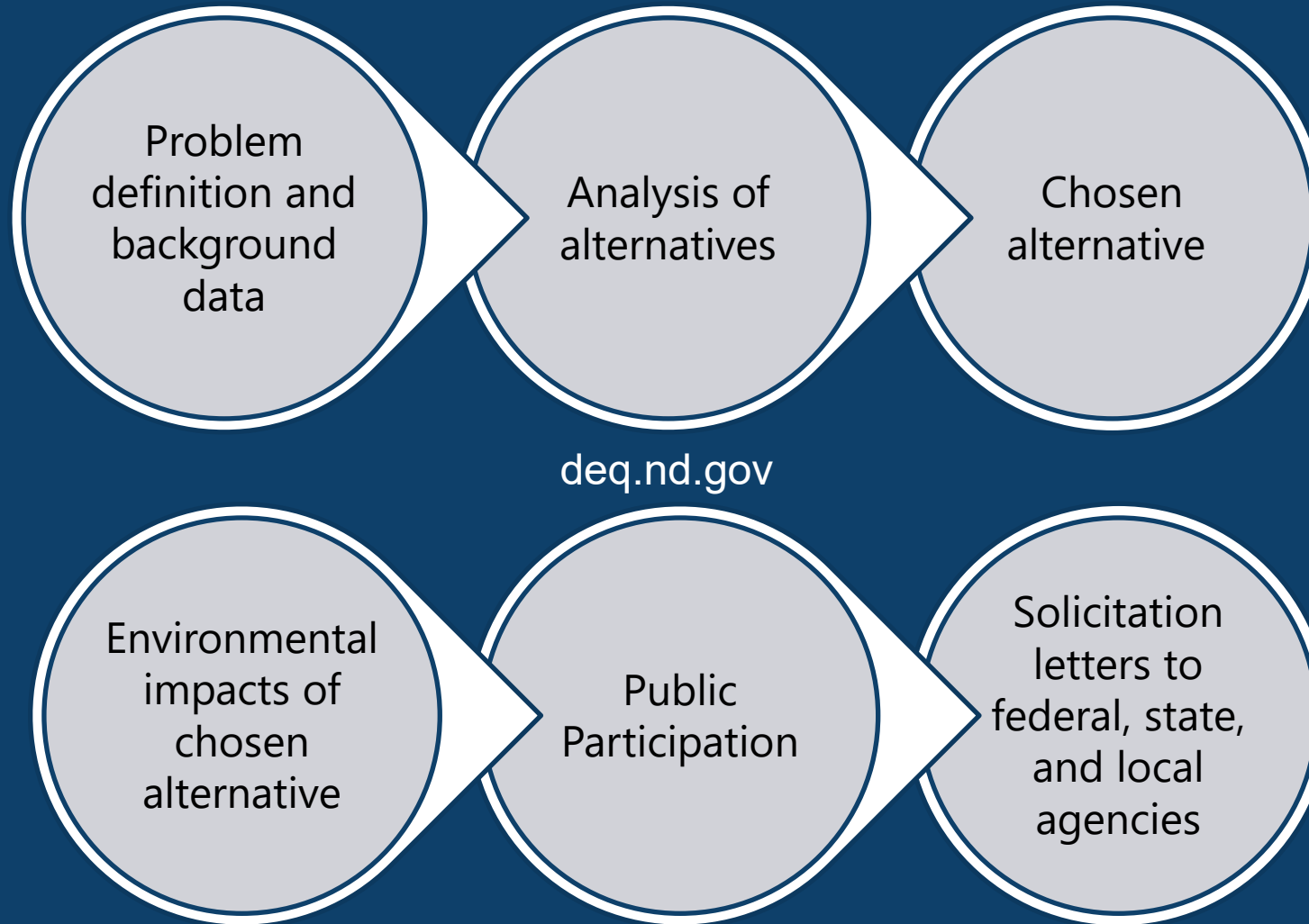
Mitchell Murray

Facility Plan

- Describes problem
- Analysis of alternatives
- Selects alternative
- Environmental impacts
- Impact mitigation
- Provides cost estimates for decision-making purposes



Outline



Problem Definition and Background Data

Describe need and problems to be solved

Identify regulatory, public health, environmental, and safety issues

Show planning area, existing/future service areas

Provide a summary of geotechnical investigations

Analysis of Alternatives

- Alternatives that must be included
 - Optimum operation of existing system (do nothing)
 - Upgrade of the existing system
 - New System
- Comparison of alternatives
 - Present worth or annual equivalent cost analysis
 - Non-monetary factors
- Discuss compliance with regulation and permit requirements at national, state, and local levels
- Cost and Effectiveness Certification (CWSRF)

Chosen Alternative

Selection Reasoning

Description

- Drawings/diagrams of process units and operations
- Financial data, including capital costs, O&M costs and proposed fee schedule
- Project component's design life and associated costs to determine loan term eligibility
- Impacts to existing and new facilities
- Project schedule for design and construction

Environmental Impacts of Chosen Alternative

Department of Water
Resources

US Dept. of
Agriculture , Natural
Resources
Conservation Service

North Dakota Game
and Fish Department

US Army Corps of
Engineers, Local and
District Offices

State Historical
Preservation Officer

North Dakota Dept.
of Environmental
Quality (NDDEQ)

US Fish and Wildlife
Service

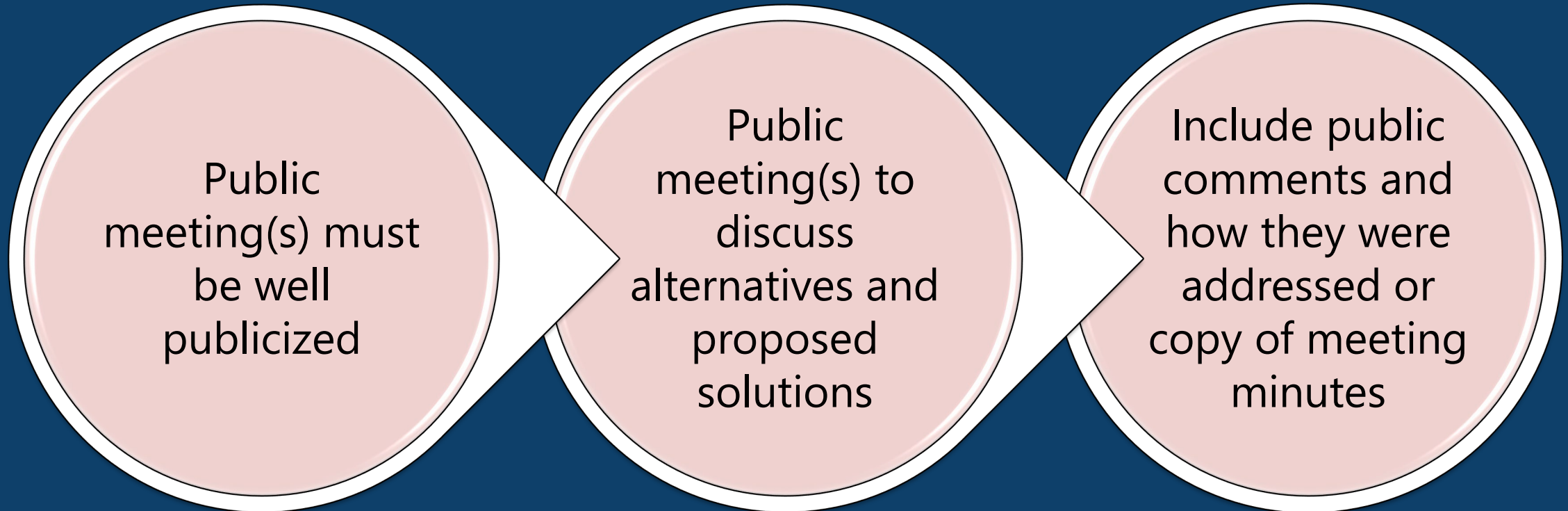
Any others affected
by this project

Environmental Impacts of Chosen Alternative

Discuss impacts related to the following topics, if applicable:



Public Participation



Submission Requirements

Prepare and submit to NDDEQ prior to preparation of plans and specifications



Can be submitted prior to or after loan application



Must be signed and sealed by a ND Professional Engineer

Approval

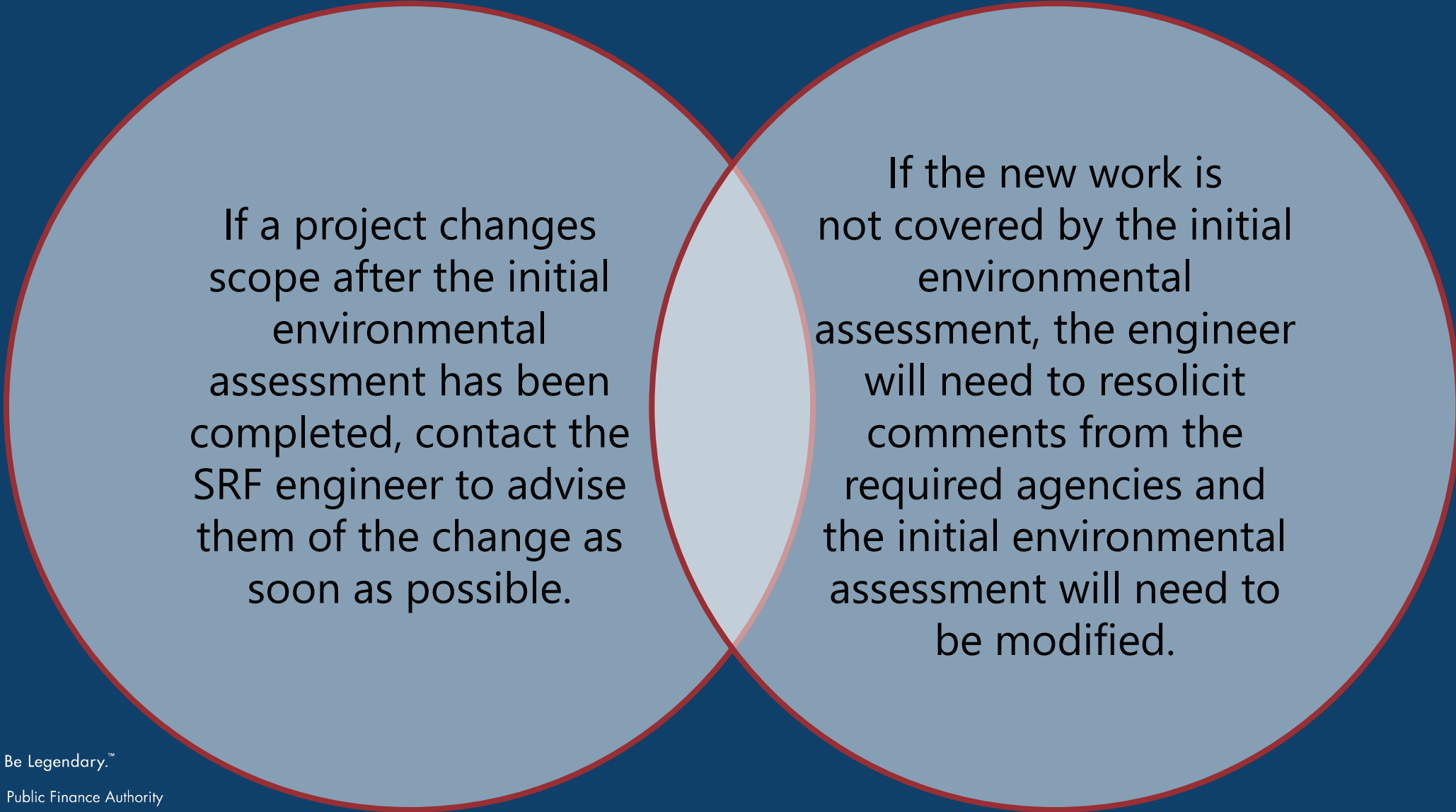
A minimum of 30 days to receive responses from agency solicitation letters

Additional time for NDDEQ review of facility plan and preparation of the Environmental Determination

A minimum 30-day public comment period after publication of a FONSI

The construction contract CANNOT be awarded until the environmental review process is complete and authorization to award is received from the NDDEQ

Change in Scope?



If a project changes scope after the initial environmental assessment has been completed, contact the SRF engineer to advise them of the change as soon as possible.

If the new work is not covered by the initial environmental assessment, the engineer will need to resolicit comments from the required agencies and the initial environmental assessment will need to be modified.

Questions?

The background of the slide features several overlapping technical drawings, likely architectural or engineering plans. These drawings include various geometric shapes, lines, and dimensioned measurements. Notable elements include a circular sector with a 120-degree angle and a radius of 7.4, a rectangular section with a 1x45 degree angle, and various circular features with diameters like Ø14, Ø11, and Ø3.5. Section lines and labels such as 'A(2:1)', 'B-B(2:1)', and 'B-E' are visible, indicating different views and scales of the components. The drawings are rendered in a light blue/gray tone, providing a professional and technical context for the title.

PLANS & SPECIFICATIONS

Danielle Peltier

NORTH
Dakota

Be Legendary.™

Environmental Quality

Public Finance Authority

Specification Package

New Boiler
Plate and
Bid
Language
ready for
use

Project requirements are based on
following project categories:

All CWSRF &
DWSRF
Projects

CWSRF
Treatment
Works and
all DWSRF
Projects

SRF
Equivalency
Projects

BIL
Equivalency
and/or BIL
Loan
Forgiveness
Projects

Contract Documents

- Advertisement for bids
 - language covering MBE/WBE and EEO requirements (if an SRF equivalency project)
- MBE/WBE solicitation information sheets
 - required in inner envelope (no longer required in the outer envelope)
- General Conditions
- Construction Contracts
- Notice of Award
- Notice to Proceed
- Change Order
- Bonding and Insurance
 - 5% Bid Bond (required w/ bid)
 - 100% Performance Bond –OR– 100% Payment Bond
 - Insurance: public liability, builders risk, property damage, fire, flood and workers' compensation

Project Categories

- **All CWSRF/DWSRF Projects**

- USDOL Form
- Discovery of Archeological and Other Historical Items
- OSHA

- **CWSRF Treatment Works & All DWSRF Projects**

- Davis-Bacon Wage Rate Requirements
- Davis-Bacon Wage Decision
- AIS Requirements
- Full Lead Service Line Replacement (DWSRF Projects)

- **BIL Equivalency/BIL Loan Forgiveness**

- Signage Requirements

- **SRF Equivalency Projects**

- Notice of Requirement of Affirmative Action
- Standard EEO Construction Contract Specs
- Guidance for Utilization of Small, Minority, and Women Business Requirements
- Certification Regarding Debarment, Suspension, and other Responsibility Matters
- Prohibition Against Listed Violated Facilities
- Prohibition on Certain Telecommunications and Video Surveillance Services or Equipment
- BABA Requirements

SRF Specification Package and Required Bid Language

- **MBE/WBE utilization guidance**
 - MBE utilization objective is 2%
 - WBE utilization objective is 3%
 - MBE/WBE Subcontractor Solicitation Form
 - MUST BE SIGNED AND IN INNER ENVELOPE
- **Notice of requirement for Affirmative Action**
 - Goals for minority participation – Found in Spec Package Goals for female participation is 6.9%
 - Covered area described – Found in Spec Package

Participation Goals must be filled out.

EQUAL EMPLOYMENT OPPORTUNITY and AFFIRMATIVE ACTION REQUIREMENTS on FEDERALLY ASSISTED CONSTRUCTION CONTRACTS

Notice of Requirement for Affirmative Action to Ensure Equal Employment Opportunity (Executive Order 11246)

1. The Offerer's or Bidder's attention is called to the "Equal Opportunity Clause" and the "Standard Federal Equal Employment Specifications" set forth herein.
2. The goals and timetables for minority and female participation, expressed in percentage terms for the Contractor's aggregate workforce in each trade on all construction work in the covered area, are as follows:

Goals for minority participation in each trade - _____
Goals for female participation in each trade - _____

These goals are applicable to all the contractor's construction work (whether or not it is Federal or Federally assisted) performed in the covered area. If the contractor performs construction work in a geographical area located outside of the covered area, it shall apply the goals established for such geographical area where the work is actually performed. With regard to this second area, the contractor also is subject to the goals for both its federally involved and nonfederally involved construction.

The Contractor's compliance with the Executive Order and the regulations in 41 CFR Part 60-4 shall be based on its implementation of the Equal Opportunity Clause, specific affirmative action obligations required by the specifications set forth in 41 CFR 60-4.3(a), and its efforts to meet the goals. The hours of minority and female employment and training must be substantially uniform throughout the length of the contract, and in each trade, and the contractor shall make a good faith effort to employ minorities and women evenly on each of its projects. The transfer of minority or female employees or trainees from contractor to contractor or from project to project for the sole purpose of meeting the contractor's goals shall be a violation of the contract, the Executive Order, and the regulations in 41 CFR Part 60-4. Compliance with the goals will be measured against the total work hours performed.

3. The contractor shall provide written notification to the Director of the Office of Federal Contract Compliance Programs within 10 working days of award of any construction subcontract in excess of \$10,000 at any tier for construction work under the contract resulting from this solicitation. The notification shall list the name, address and telephone number for the subcontractor; employer identification number of the subcontractor; estimated dollar amount of the subcontract; estimated starting and completion dates of the subcontract; and the geographical area in which the contract is to be performed.

4. As used in this Notice, and in the contract resulting from this solicitation, the "covered area" is _____.

This notice shall be included in, and shall be a part of, all solicitations for offers and bids on all federal and federally assisted construction contracts or subcontracts.

EQUAL OPPORTUNITY CLAUSES

The Equal Opportunity Clause published at 41 CFR Part 60-1.4(b) is required to be included in, and is part of, all nonexempt federally assisted construction contracts and subcontracts. The Equal Opportunity Clause shall be considered to be a part of every contract and subcontract required by the regulations in this part to include such a clause whether or not it is physically incorporated in such contracts.

In addition to the clauses described above, all federal contracting officers, all applicants, and all non-construction contractors, as applicable, shall include the specifications set forth in this section in all federal and federally assisted construction contracts in excess of \$10,000 to be performed in geographical areas designated by the Director pursuant to §60-4.6 of this part and in construction subcontracts in excess of \$10,000 necessary in whole or in part to the performance of nonconstruction Federal contracts and subcontracts covered under the Executive Order.

Covered Area must be filled out.

ND Minority Participation Goals

Covered Area*	Goal (percent)*
149 Fargo-Moorhead, ND-MN:	
Non-SMSA Counties -----	0.7
MN Becker; MN Clay; MN Wilkin; ND Barnes; ND Cass; ND Dickey; ND Eddy; ND Foster; ND Griggs; ND La Moure; ND Logan; ND McIntosh; ND Ransom; ND Richland; ND Sargent; ND Steele; ND Stutsman; ND Traill	
150 Grand Forks, ND:	
SMSA Counties:	
2985 Grand Forks, ND-MN -----	1.2
MN Polk; ND Grand Forks	
Non-SMSA Counties -----	2.0
MN Beltrami; MN Clearwater; MN Hubbard; MN Kittson; MN Lake of the Woods; MN Mahnomen; MN Marshall; MN Norman; MN Pennington; MN red Lake; MN Roseau; ND Benson; ND Cavalier; ND Nelson; ND Pembina; ND Ramsey; ND Towner; ND Walsh	
151 Bismarck, ND:	
SMSA Counties:	
1010 Bismarck, ND -----	0.4
ND Burleigh; ND Morton	
Non-SMSA Counties -----	1.3
ND Adams; ND Billings; ND Bowman; ND Dunn; ND Emmons; ND Golden Valley; ND Grant; ND Hettinger; ND Kidder; ND Mercer; ND Oliver; ND Sheridan; ND Sioux; ND Slope; ND Stark; ND Wells	
152 Minot, ND:	
Non-SMSA Counties -----	4.4
MT Daniels; MT Richland; MT Roosevelt; MT Sheridan; ND Bottineau; ND Burke; ND Divide; ND McHenry; ND McKenzie; ND McLean; ND Mountrail; ND Pierce; ND Renville; ND Rolette; ND Ward; ND Williams	

*Insert the project location and the appropriate minority participation goal in the following Executive Order 11246 language. The female participation goal is 6.9% for the entire state.

Submittal

- **Cover letter**
 - Contact information (including email) and Project description
- **Specifications**
 - Written details of project construction
 - Specific and general
- **Plans**
 - Project drawings (all sheets Signed and Sealed by ND Professional Engineer)
 - All necessary details and locations
 - Three sets (at least one 11 x 17)
- **Please submit plans and specifications at least 3-weeks before bid opening**



Standards

- Ten States Standards
- Plumbing Code
- AWWA Standards for testing
- Drinking Water components and chemicals must be NSF 60 & 61 approved
- North Dakota Administrative Code (NDAC) Chapter 33-19-01
- ND Plumbing Code (NDAC Chapter 62-03.1-03)

Questions?



BID PROCESS



Ryan Allery

Bid Opening

The consulting engineer will review each bid to verify all SRF requirements are met and ensure the following:

- Acknowledgement of all addenda **on the outside of the bid envelope**
- A current copy of the contractor's license **inside the outer envelope**
- A copy of the 5% Bid Bond **inside the outer envelope**

If these items are not present,
THE BID CANNOT BE OPENED.

Previously, the MBE/WBE form was required to be in the outer envelope. This is no longer a requirement!



Bid Documents Review

- The consulting engineer shall submit the following bid documents to the SRF program for review and approval **PRIOR TO CONTRACT AWARD**.
 - Consulting engineer's letter of recommendation for award of contract(s), including contract amount(s)
 - If the low bidder is not selected, justification shall be provided.
 - Request from loan recipient to award contract (letter or city council minutes), including contract amounts
 - Bid tabulation, including Engineer's estimate
 - Attach explanation if bid exceeds Engineer's estimate by more than 10 percent.



Bid Documents Review (cont.)

- Proof of advertising including Affidavit of Publication and Bid Notice
- Revised budget sheet and loan increase application, if necessary
- Any ineligible project costs must be identified.
- Current Engineering Agreement
- Current Davis-Bacon Wage Determination must be used and verified within 10 days before the bid opening. (DWSRF and CWSRF treatment works projects)
- Addenda not previously submitted



Bid Documents Review (cont.)

- Two lowest proposals (complete, signed and dated) including the following documentation:
 - A copy of the 5% Bid Bond
 - A copy of the current contractor's license
 - Acknowledgement of all addenda
 - Completed Certification Regarding Debarment, Suspension, and Other Responsibility Matters
 - A copy of the completed and signed MBE/WBE subcontractor solicitation information sheet(s) (Equivalency only)
 - At least 3 MBE's and 3 WBE's must be solicited. If the prime contractor does not utilize any subcontractors, a letter of explanation must be provided.



Bid Documents Review

IF A NOTICE OF AWARD IS ISSUED PRIOR TO RECEIVING OUR WRITTEN AUTHORIZATION, THE OWNER ASSUMES THE RISK OF NOT HAVING SECURED FUNDING

Contract Award

After awarding the contract, the following documentation is required:

- Notice of Award
- Notice to Proceed
- Executed construction contract including performance and payment bonds
- MBE/WBE subcontracts (Equivalency only: within 10 working days of their award)

Contract Award (cont.)

After awarding the contract, the following documentation is required:

- Workers' compensation and insurance certificates
- US Department of Labor (USDOL) form completed and submitted to USDOL and SRF program for any construction subcontract in excess of \$10,000 at any tier for construction work completed under each contract (within 10 working days of their award)
- State tax clearance

Questions?



CONSTRUCTION PHASE



Hristo Papalichev

Construction

Discussion items

- Preconstruction meeting
- Inspections
- Project closeout documents

Project categories

- All CWSRF/DWSRF projects
- CWSRF Treatment Works and all DWSRF projects
- SRF Equivalency projects
- Bipartisan Infrastructure Law (BIL) Equivalency and/or BIL loan forgiveness projects

Preconstruction Conference

All CWSRF/DWSRF Projects

- These projects are subject to OSHA requirements and regulations. The engineer or engineer's RPR must document safety meetings
- The recipient must maintain separate project accounts
- All change orders must be reviewed by the engineer and then approved by the SRF project engineer
- **The loan recipient or their engineer representative shall notify the SRF project engineer if there is an expansion of the original project area that is not covered by the environmental review**

Preconstruction Conference (cont.)

CWSRF Treatment Works and all DWSRF Projects

- These projects must comply with the Davis-Bacon wage rate determinations in the approved specifications
- Payroll interviews must be conducted by the engineer or RPR
- A bulletin board must display the Davis Bacon poster, and current Davis Bacon wage rates
- Full lead service line replacement
- These projects are subject to American Iron and Steel (AIS) provisions

Preconstruction Conference (cont.)

SRF Equivalency Projects

- These projects are subject to EEO requirements. A bulletin board must be on location that displays the EEO poster
- MBE/WBE subcontractors
- These projects are subject to Build America, Buy America (BABA) requirements

Preconstruction Conference (cont.)

BIL Equivalency and/or BIL Loan Forgiveness Projects

- These projects are subject to BIL signage requirements. A physical sign displaying the official Building a Better America emblem, US EPA logo, and NDDEQ's CWSRF/DWSRF logo shall be placed at the construction site in an easily visible location
- The SRF program will have the signs manufactured, but a project representative will need to pick up the sign or arrange delivery

Inspections


The following requirements are checked as applicable based on project category:

- Davis Bacon, wage rate, EEO posters, and BIL signage
- AIS and BABA certifications from manufacturers

We also check for:

- Status of project (pictures are taken)
- Compliance with safety regulations

Inspections (cont.)

- 
- An initial inspection will be conducted soon after construction has begun
 - An interim inspection will be conducted shortly after the initial inspection and approximately once each quarter during construction
 - A final inspection will be conducted after construction is complete and ready for final payment/project closeout

Close Out

Before we can make final payment and close the project account, we will need:

- Final SRF request for payment
- Final balancing change order
- Final construction contractor's application for payment
- Engineering invoices and engineering agreement/updates (if not previously submitted)
- Invoices for all eligible expenses (if not previously submitted)

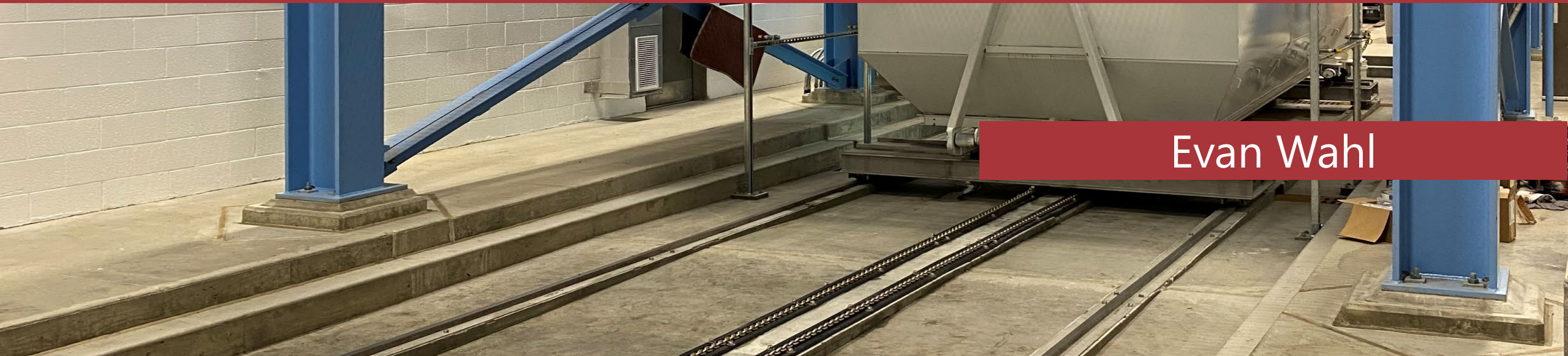
Close Out (cont.)

- Engineer's certification that the project was completed according to approved plans and specifications and any change orders
- Loan recipient's acceptance of work by the contractor
- O&M manual letter
- Initiation of operation date
- Contractor's and loan recipient's certification of payrolls
- Loan recipient's certification of AIS compliance
- Loan recipient's certification of BABA compliance

Questions?



SRF REQUESTS FOR PAYMENT



Evan Wahl

SRF Requests for Payment

First request must be at least 5% of loan amount or \$50,000 whichever is less and must be submitted within one year of the loan approval date

Except for the final, all requests must be a minimum of \$2,500

Payment requests must be submitted in SRF Tracker by the authorized representative named in the Resolution of Governing Body of Applicant found in the loan application.

Pay requests should be submitted at least quarterly, and possibly monthly for larger loan amounts

General Requirements

IMPORTANT!

READ THIS!!

SRF Requests for Payment

General Requirements

Copy of engineering agreement(s) required before any engineering fees are reimbursed – must be uploaded in SRF Tracker

Executed and dated construction contract, Notice of Award, and Notice to Proceed required before any construction costs are reimbursed

Executed change orders are required, with SRF approval, prior to requesting reimbursement of these costs

Contractor's pay applications must be signed by all parties

SRF Requests for Payment

When a project is near completion, payments will be limited to 95% to ensure that we receive the final paperwork to close out the loan

Limitation is figured on approved, eligible construction costs incurred to date or on the loan amount whichever is less

If the project consists of multiple contracts, the final documents are required as each contract is completed

SRF Requests for Payment



Final requests for payment will not be processed until all the required closeout documentation has been received and a final inspection has been completed


SRF Requests for Payment

Procedure/Timeframe for receiving payments

Payments are made approximately two weeks after a completed payment request, and all required supporting documentation is received

Depending on the number and complexity of weekly requests received, payments may take longer

SRF Requests for Payment

 North Dakota SRF Tracker

Fisher, ShannonLogout

New Draw Request

Draw Request Id
23-1

Status
Draft

DWSRF Number
9999999-01

Final DWSRF Draw?
☐ Final DWSRF Draw

Invoices
No invoices to display. Click button to add invoices.
[Add Invoice](#)

Totals
DWSRF Amount Requested
Percentage of physical completion of project %

Certification
Before submitting the draw request it must be certified. When the submit button is clicked a popup will display providing two certification options:

1. Certify the draw request yourself, or
2. Upload the completed Certification form below

Option 1 requires that the submitter be an Authorized Signer identified on the Resolution of Governing Body document.

[Download Certification and Signature Form](#)

[Cancel](#) [Save](#) [Submit](#)

Draw Request Tips



Upload invoices individually and NOT in batches!

If you have a spreadsheet or PDF file you want to provide for the draw request, you can enter an invoice of \$.01 and upload the file in place of an invoice.

Do not use special characters in naming files that will be uploaded to SRF Tracker.

Questions?



ONGOING SRF REQUIREMENTS



Benita Eberts

Loan Repayment

Bank of North Dakota,
as trustee, sends the
invoices and receives
the payments

A principal payment
must be made within
12 months of the
completion of
construction

March 1 – interest and
admin fees

September 1 –
principal, interest &
admin fees

SRF Annual Review

Each year a political subdivision has an outstanding loan(s), they must upload to SRF Tracker either:

Audit report or

State Auditor's "Annual Financial Report in Lieu of an Audit."

What is reviewed?

1. Reserves
2. Coverage



SRF Required Reserves

APPLIES ONLY TO LOANS BACKED BY REVENUE BONDS

Reserves are held by the political subdivision

Must fully fund within 5 years of completion of construction

The required reserve amount is the lesser of

10% of par

Maximum annual principal and interest

125% average annual principal and interest

SRF 110% Operating Coverage

APPLIES ONLY TO LOANS BACKED BY REVENUE BONDS

Bond resolutions for loans backed by revenue bonds covenant that the Borrower will charge fees that will generate net revenues that are at least equal to 1.1 times the annual debt service for **ALL** outstanding revenue bonds.

SRF 110% Operating Coverage Example

APPLIES ONLY TO LOANS BACKED BY REVENUE BONDS

Operating Rev	\$ 800,000
Less: Operating Exp	770,000
Plus: Depreciation	<u>80,000</u>
Net Operating	\$ 110,000

Annual Revenue Bond Principal & Interest \$100,000

Coverage: $\$110,000 / 100,000 = 110\%$

Certification

One Year Certificat of Performance must be uploaded to SRF Tracker

- It must be dated at least one year after the date of initiation of operation



Questions?



PLANNING ASSISTANCE REIMBURSEMENT (PAR) GRANTS

Shawn Martin

NORTH
Dakota

Be Legendary

Environmental Quality | Public Finance Authority

PAR Grants

Political Subdivision with a
population of 2,500 or
less

Covers up to 80% of the
report cost or a maximum
\$15,000

**Comprehensive
Study of Water or
Wastewater System**

Must be eligible to
borrow from the SRF
programs

Report required within
180 days of the PAR
award

PAR Report



Narrative description of environmental considerations and map(s)



Discussion of the direct and indirect impacts that will result from the project



Recommendations for improvements, unit cost breakdowns, and present worth evaluations of each feasible alternative



Financial considerations: breakdown of monthly user rates to include debt service on the proposed project, O & M, existing debt service, and capital replacement reserve fund



Audit reports for the most recent 3 years

Questions?

DWSRF Contact Info

Shannon Fisher, P.E.

Program Manager

701-328-5220

smfisher@nd.gov

Aaron Wellman

Program Engineer

701-328-5284

adwellman@nd.gov

Bryan Schmitt, P.E.

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701-328-5299

brschmitt@nd.gov

Danielle Peltier

Program Engineer

701-328-5279

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