



**New York Clean Water State Revolving Fund
MUNICIPAL APPLICATION CHECKLIST**

This checklist will assist in determining the documents and information that are needed to apply for financing through the CWSRF. An explanation of each of these items is provided in the “Description of Application Components.” The items necessary for closing and the type of financing offered to you will be determined by your project status and your funding needs. Please contact EFC at 518-402-7396 to review this checklist and if you have any questions.

Please do not submit a Financing Application until your project is listed on the Annual Project Priority List, as published in the current CWSRF Intended Use Plan (IUP), and the critical components identified in PART I have been completed.

Please note that EFC will not begin to process a Financing Application until the items identified in Part I have been received and your Engineering Report has received regulatory approval and has been deemed eligible for CWSRF financing.

Items in Part I MUST be included with your application for financing. Items in Part II should be submitted with Part I items if they are currently available.

PART I – Items Required to Process an Application for CWSRF Financing

Check the appropriate boxes below.

| No. | Checklist Item | Submitted Earlier | Submitted with this Application |
|-----|---|--------------------------|---------------------------------|
| 1. | Application Form ¹ | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. | Municipal Bond Resolution(s) | | |
| | a) Bond Resolution (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"/> |
| 3. | Environmental Review Documents and Findings ² (see SEQRA/SERP guidance in the “Environmental Review Requirements”) | <input type="checkbox"/> | <input type="checkbox"/> |
| | OPRHP / SHPO Project Review Letter ² (Initial or Final Letter) | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. | District Formation/Increase Authorization | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. | Agreement for Engineering Planning Services | <input type="checkbox"/> | <input type="checkbox"/> |



Applicant Name: _____
CWSRF Project No.: _____
Date Prepared: _____

PART II – Items that may be necessary to close a CWSRF financing and/or disburse funds.

Your project status and financing needs will determine the type of financial assistance offered by EFC and the timing of the closing.

Timely availability of CWSRF funds will be dependent, in part, upon the accuracy and completeness of these submissions. EFC will review the submissions and may provide comments or request clarification. For this reason, applicants are strongly encouraged to develop and submit these materials as soon as practicable.

**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 |
|-----|--|--------------------------|---------------------------------|--------------------------|
| 1. | Financial statements (audited if available) for the three (3) most recent fiscal years. (For Applicants <u>other than</u> counties, cities, towns and villages) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. | Co-Funding Documentation | | | |
| | a) Awarded Grants | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | b) Closed Third Party Loans | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | c) Co-funding Cost Documentation | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. | Current Adopted Capital and Operating Budgets | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. | For Reimbursement of Inter-fund Borrowings: | | | |
| | a) Inter-fund Borrowing Resolution (Copy) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | b) Cost Documentation (Inter-fund Borrowings) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. | 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"/> |
| 6. | Inter-municipal Agreements (draft or final agreements critical to the project) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |



| No. | Checklist Item | Submitted Earlier | Submitted with this Application | Not Applicable |
|-----|--|--------------------------|---------------------------------|--------------------------|
| 7. | Supplemental Municipal Bond Resolution (if needed) | | | |
| | a) Supplemental Bond Resolution (Certified Copy) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | b) Proof of Publication of Permissive Referendum (if applicable) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | c) Proof of Publication of Estoppel Notice | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 8. | Consolidation Plan, Agreements and Approval | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 9. | Municipal Service Agreements | | | |
| | a) Inter-municipal Agreements (final 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"/> |
| 10. | Smart Growth Assessment Form | <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. | MWBE Utilization Plan or Good Faith Effort Documentation (for executed professional service and construction contracts) See EFC website for additional information. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 13. | Certification as to Title to Project Site ¹ | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 14. | Lease Agreement to Project Site | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 15. | Work Force Documentation ^{1,2} | | | |
| | 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. | Construction Plans and Specifications | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Bid Tabulations and Evaluations | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Notice of Award | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Notice to Proceed | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Contract Change Orders | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Completed EPA 6100-3 and 6100-4 Forms | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Wage Determinations | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | SRF Contractor Certification | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Certification for Contracts (Lobbying Certification) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Questions regarding engineering and technical items should be addressed to EFC's Division of Engineering & Program Management at 518-402-7396.

¹ Form included on EFC's website (www.efc.ny.gov)

² Guidance included on EFC's website (www.efc.ny.gov)