

# CLEAN WATER STATE REVOLVING FUND INTENDED USE PLAN (IUP) APPLICATION



Application Packet Checklist  
Application Packet Instructions  
IUP Application Form  
Real Property Assurance Form

The application for inclusion on the Clean Water State Revolving Fund (CWSRF) IUP can be submitted only when the wastewater project is at the right stage of the construction permitting process. This packet outlines the requirements of the permitting process that must be met and includes the materials and information needed to complete the IUP application. Please use the checklist and instructions to make sure your application is complete before submitting it.

## APPLICATION PACKET CHECKLIST

A. Construction Permitting Information -- To Be Completed by Applicant		For DNR Use	
Applicant Name	City of Sumner		
1. DNR Number (e.g. W2014-#### or S2014-####) 2019-0180A	Yet to be assigned	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
2. DNR Project Manager Name Melissa Schlickbeard	Yet to be assigned	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
3. Project Identification: 11605018		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
4. Project Initiation Meeting Held (date)	Yet to be held 12/5/18	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
5. Flows and Loads Concurrence by DNR (date or N/A) if N/A, state reason: Sanitary Sewer Relocation	N/A	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
6. Wasteload Allocation Completed (date or N/A – see 5. above)	N/A	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
7. Antidegradation Alternatives Analysis Required (if no, go to 8.)	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
7a. Alternatives Analysis Approved by DNR (date or N/A)	N/A	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
8. Three Copies of Certified Facility Plan	Yes <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
8a. If Already Submitted (submitted date) Certification Date:	N/A	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
9. Iowa Construction Permit Application Schedule A	Yes <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
10. Schedules F and G (if needed for the project) If N/A, state reason: Collection System Improvements - only	Yes <input type="checkbox"/> N/A <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
For DNR Use: The Applicant has followed the DNR Wastewater Construction Permitting Process and the project is eligible to be placed on the IUP pending review of the SRF information requirements.			
DNR Project Manager: <u>Melissa Schlickbeard</u>		Date: <u>12/4/18</u>	
B. State Revolving Fund Information -- To Be Completed by Applicant		For SRF Use	
11. IUP Application Signed	Yes <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
12. DUNS Number Included (note: Form 4700-4 no longer required) 793485053	Yes <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
13. Property Assurance Form Signed	Yes <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
14. SRF Environmental Review Checklist and Attachments Completed and Submitted	Yes <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
For SRF Use: The IUP application materials are complete.			
The application will be placed on the IUP <u>19</u> (IUP Year), <u>4</u> (IUP Quarter) with CWSRF Number CS1920 <u>91601</u>			
DNR SRF Administrative Assistant: <u>Jeanne Johnson</u>		Date: <u>12/10/2018</u>	

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# CLEAN WATER STATE REVOLVING FUND

## INTENDED USE PLAN (IUP) APPLICATION INSTRUCTIONS



### ITEMS 1 – 9: Wastewater Permitting

The Clean Water SRF Intended Use Plan Application will only be accepted when Items 1-9 have been completed through the Wastewater Construction Permitting Process of the DNR Wastewater Engineering Section. Please refer to the Wastewater Permitting Process Manual for detailed information on these steps.

1. DNR Number (e.g. W2014-#### or S2014-####): All wastewater construction projects are assigned unique numbers for tracking by DNR. A number beginning with W and the fiscal year indicates a Work Record. A number beginning with S and the fiscal year indicates a Project.
2. DNR Project Manager Name: A project manager from the DNR Wastewater Engineering Section is assigned to each project.
3. Project Identification: A brief description of the project is required in Design Schedule A, General Information. The project description must fall under the project scope established at the project initiation meeting. An accurate description is necessary because multiple construction contracts may have the same project numbers,
4. Project Initiation Meeting Held (date): A project initiation meeting must be held with the DNR, Owner, Consulting engineer (licensed professional engineer), and other parties.
5. Flows and Loads Concurrence by DNR (date): If flows and loadings will change due to the project, the DNR Project Manager must concur with the proposed design flows and loadings prior to preparing the Facility Plan.
6. Wasteload Allocation Completed (date): If a Wasteload Allocation is required for the project, it must be received by the Owner before preparing the Facility Plan.
7. Antidegradation Alternatives Analysis Required; 7a. Alternatives Analysis Approved by DNR (date): If an antidegradation alternatives analysis is required for the project, it must be approved by the DNR Project Manager before the Owner prepares the Facility Plan. If a Facility Plan is submitted prior to DNR approval of Antidegradation Alternatives Analysis, it will not be accepted for review.
8. Three Copies of Certified Facility Plan; 8a. If Already Submitted (date) and Certification Date: After completing all applicable planning steps as discussed above, the Facility Plan may be submitted to DNR. If three copies of the Facility Plan have already been submitted, please note the date submitted and certified and do not send additional copies.
9. Iowa Construction Permit Application Schedule A: Design Schedule A must be certified by both the Owner and the Consulting engineer (licensed professional engineer). It is required for all wastewater projects. Schedule A must indicate that Clean Water SRF financing will be requested to be considered as part of this IUP application.
10. Schedules F and G (if needed for the project): Schedule G provides Wastewater Treatment Plant project design information and Schedule F provides site information for treatment process site selection.

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## ITEMS 11 – 14: Clean Water SRF

11. IUP Application Signed: The Intended Use Plan application must be signed by the Owner's authorized representative.
12. DUNS Number Included: The Dun and Bradstreet Number (DUNS) was collected as part of EPA 4700-4 form. That form is no longer required for SRF applicants. If the Owner does not have a DUNS number, go to <http://fedgov.dnb.com/webform> to request one. While loan recipients no longer have to fill out the 4700-4 form, it is important to note that they are still required to comply with Title VI of the Civil Rights Act of 1964. Title VI provides that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.
13. Property Assurance Form Signed: This form is required whether or not the Owner currently intends to purchase land using SRF funds. Land for siting treatment facilities is an eligible cost as of October 1, 2014.
14. SRF Environmental Review Checklist and Attachments Completed and Submitted: The ER checklist outlines the information needed to start the SRF ER Services.

Supporting materials may be requested to document funding requests and system needs.

### **Please include the following items with your application:**

- Three official copies of the Facility Plan (unless previously submitted)
- Iowa Construction Permit Application Schedules A (and F and G where applicable).
- Materials included in Exhibit 5: SRF Environmental Review Checklist
- Real Property Assurance Form with authorized signature

### **Application materials should be sent to:**

State Revolving Fund, c/o DNR Wastewater Engineering Section  
Iowa Department of Natural Resources  
502 E. 9th Street  
Des Moines, IA 50319-0034

### **Quarterly Application Deadlines**

**For More Information about the Clean Water SRF IUP Application**, contact Patti Cale-Finnegan, 515-725-0498 or [patti.cale-finnegan@dnr.iowa.gov](mailto:patti.cale-finnegan@dnr.iowa.gov).

# CLEAN WATER STATE REVOLVING FUND INTENDED USE PLAN (IUP) APPLICATION FORM



This form may be used to apply for inclusion on the project priority list of the Clean Water SRF IUP at the time a complete Facility Plan is submitted. IUPs are developed on an annual basis with quarterly updates as needed. **This form is not an application for a loan.** SRF loan application materials may be obtained at [www.iowaSRF.com](http://www.iowaSRF.com). The loan application should not be completed until after bids are received.

## Instructions:

Complete the requested information in the following sections to the best of your ability. Please print or type the information on the form. If a particular item does not apply to your system, enter n/a for "not applicable." Attach supporting documentation as needed. Keep a copy of the completed application for your records, submit a copy to your engineer, and submit the original signed form to the following address:

State Revolving Fund, c/o DNR Wastewater Engineering Section  
Iowa Department of Natural Resources  
502 E. 9<sup>th</sup> Street  
Des Moines, IA 50319-0034

## Section 1: Applicant and Consulting Engineer Information

Applicant Name:	City of Sumner
Mailing Address:	105 East 1 Street
City, State, Zip + 4	Sumner, IA 50674
Authorized Representative:	David Waskow
Signature:	<i>David L. Waskow</i>
Title:	Mayor
Telephone Number:	(563) 578-3243
E-mail:	<a href="mailto:cityofsumner@cysumner.com">cityofsumner@cysumner.com</a>
DUNS Number:	793485053
Consulting Engineer:	Joseph Elsinger, PE
Firm:	MSA Professional Services, Inc.
Firm Address:	6045 Rockwell Drive, Suite A
City, State, Zip + 4	Cedar Rapids, Iowa 52402
Telephone Number:	(319) 364-4773
E-mail:	<a href="mailto:jelsinger@msa-ps.com">jelsinger@msa-ps.com</a>
NPDES Facility No.:	0970001

**Section 2: Project Schedule**

Anticipated final plans and specifications submittal date:	4/8/2020
Anticipated construction start date:	2/5/2021

**Section 3: Brief Project Summary** (Attach additional pages if necessary.)

Describe the reasons or the needs for the proposed project: (i.e. specific water quality problem or system improvement)	
The City of Sumner plans to design and construct improvements to the City's sanitary sewer system.	
Describe the scope of the proposed project: (i.e., specific solution to the water quality problem, or proposed system improvement)	
The project will consist of rerouting sanitary sewer around new storm sewer construction.	
Which other funding programs are you considering to assist in completion of this project?	Check all that apply: <input type="checkbox"/> Community Development Block Grant (CDBG) <input type="checkbox"/> Rural Development Grant and/or Loan <input checked="" type="checkbox"/> Reserve Funds <input checked="" type="checkbox"/> Other: <u>Revenue Bond</u>
Compliance Status – N/A	<input type="checkbox"/> Has been referred to the Iowa Attorney General <input type="checkbox"/> Has received administrative order from DNR <input type="checkbox"/> Under compliance schedule in the NPDES permit <input type="checkbox"/> Other:

**Section 4: Project Environmental Outcomes**

Primary Impacted Waterbody	NHD Reach Code: 0708      Little Wapsipinicon River Designated Surface Water Uses (e.g. A1, BWW): A2 and B(WW-2)
Project Will Contribute to Water Quality... (check one)	<input type="checkbox"/> Improvement <input type="checkbox"/> Maintenance <input checked="" type="checkbox"/> Not Applicable
Project Will Allow the System to... (check one)	<input type="checkbox"/> Achieve Compliance <input type="checkbox"/> Maintain Compliance <input checked="" type="checkbox"/> Not Applicable
Project Will Allow the System to Address...(check all that apply)	<input type="checkbox"/> Existing TMDL <input type="checkbox"/> Projected TMDL <input type="checkbox"/> Watershed Management Plan

**Section 5: Project Cost**

<b>Cost Category</b>	<b>Estimated Total Cost in \$</b>	
Legal Expenses		\$5,000
Land and Easements	+	\$0
Engineering Planning Fees	+	\$0
Engineering Design Fees	+	\$30,000
Engineering Construction Fees	+	\$20,000
Construction	+	\$200,000
Equipment	+	\$0
Other:	+	\$0
Other:	+	\$0
<b>PROJECT SUBTOTAL</b>	<b>=</b>	<b>\$255,000</b>
Contingencies	+	\$40,000
Planning and design loan proceeds, if rolling into construction loan	+	\$0
Less Any Funds Requested from Other Sources	-	\$0
<b>LOAN SUBTOTAL</b>	<b>=</b>	<b>\$295,000</b>
Loan Initiation Fee (Loan Subtotal x .005)	+	\$1,000
<b>TOTAL IUP REQUEST (Round to the nearest \$1,000)</b>	<b>=</b>	<b>\$296,000</b>

**Section 6: Consultants**

Bond Counsel Firm:	Dorsey & Whitney LLP
Name of Contact Person:	Emily Hammond
Mailing Address:	801 Grand Avenue #4100
City, State, and Zip:	Des Moines, IA 50309
Telephone Number:	515-697-3636
Email Address:	hammond.emily@dorsey.com

Municipal Advisor Firm:	Speer Financial, Inc.
Name of Contact Person:	Maggie Burger
Mailing Address:	531 Commercial St., Ste. 608
City, State, and Zip:	Waterloo, IA 50701
Telephone Number:	319-291-2077
Email Address:	mburger@speerfinancial.com

Please provide these contacts if known at the time of application. The requirement to engage a Municipal (Financial) Advisor is new to SRF for projects starting in fiscal year 2015.

## Section 7: Acquisition of Property by SRF Applicants

U.S. ENVIRONMENTAL PROTECTION AGENCY  
ASSURANCE WITH RESPECT TO REAL PROPERTY ACQUISITION  
OF TITLE III OF THE UNIFORM RELOCATION ASSISTANCE AND REAL PROPERTY  
ACQUISITION POLICIES ACT OF 1970 AS AMENDED

The City of Sumner (Applicant) hereby assures that it has authority under applicable State and local law to comply with Section 213 of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, Public Law 91-646, 84 Stat. 1894 (42 U.S.C. 4601) as amended by the Surface Transportation and Uniform Relocation Assistance Act of 1987, Title IV of Public Law 100-17, 101 Stat. 246-256 (42 U.S.C. 4601 note) and 49 CFR 1.48(cc); and certifies, assures and agrees that, notwithstanding any other provision set forth in the application:

1. For projects resulting in the displacement of any person:

a. It will adequately inform the public of the relocation payments and services which will be available as set forth in Subparts A, C, D and E of 49 CFR 24.

b. It will provide fair and reasonable relocation payments to displaced persons as required by Subparts D and E of 49 CFR 24.

c. It will provide a relocation assistance program for displaced persons offering services described in Subpart C of 49 CFR 24.

d. Comparable replacement dwellings will be available pursuant to Subpart F of 49 CFR 24, or provided if necessary, a reasonable period in advance of the time any person is displaced.

e. In acquiring real property, it will provide at least 90 days written notice to each lawful occupant of real property acquired, stating the date such occupant is required to move from a dwelling or to move his business or farm operation.

2. For projects resulting in the acquisition of real property:

a. It will fully comply with the requirements of Subpart B of 49 CFR 24.

b. It will adequately inform the public of the acquisition policies, requirements and payments which apply to the project.

c. It will make every effort to acquire real property expeditiously through negotiation.

d. Before the initiation of negotiations it will have the real property appraised and give the owner or his representative an opportunity to accompany the appraiser during inspection of the property, except as provided in 49 CFR 24.102(c)(2).

e. Before the initiation of negotiations it will establish an amount which it believes to be just compensation for the real property, and make a prompt offer to acquire the property for that amount; and at the same time it will provide the owner a written statement of the basis for such amount in accordance with 49 CFR 24.102.

f. Before requiring any owner to surrender possession of real property it will pay the agreed purchase price; or deposit with the court, for the benefit of the owner, an amount not less than the approved appraisal of the fair market value of the property; or pay the amount of the award of compensation in a condemnation proceeding for the property.

g. If interest in real property is to be acquired by exercise of the power of eminent domain, it will institute formal condemnation proceedings and not intentionally make it necessary for an owner to institute legal proceedings to prove the fact of the taking of this real property; and

h. It will offer to acquire the entire property, if acquisition of only part of a property would leave its owner with an uneconomic remnant.

References to 49 CFR are citations to Title 49, Code of Federal Regulations, Part 24, published in the Federal Register Vol. 54, No. 40, March 2, 1989.

This document is hereby made part of and incorporated in any contract or agreement, or any supplements and amendments thereto, relating to the above-identified application and shall be deemed to supersede any provision therein to the extent that such provisions conflict with the assurances or agreements provided therein.

City of Sumner  
(Legal Name of Applicant)

By David L. Washow  
(Signature of Authorized Representative)

11/19/18  
(Date)