

**New Jersey Department of Environmental Protection  
and  
New Jersey Environmental Infrastructure Trust**

NEW JERSEY ENVIRONMENTAL INFRASTRUCTURE FINANCING PROGRAM  
APPLICATION FOR FINANCIAL ASSISTANCE

**GENERAL INSTRUCTIONS**

IMPORTANT NOTE: The deadline for receipt of all project applications, plans, specifications, and technical design documents (hereafter “complete application package”) is 5:00 p.m. on March 7. Incomplete submissions as of that date or submissions received after that date will be ineligible to receive funding in the 2011 Financing Program. (See N.J.A.C. 7:22-3.9(b) and 7:22-4.9(b)). Submit only complete application packages to the NJDEP and the NJEIT. Submissions to the NJDEP shall be paper only and submissions to the NJEIT shall be electronic only on compact disk (CD) or digital video disk (DVD).

Submit complete application packages to:

**Paper only** (Original and 2 copies):

Mail Code 401-03D  
State of New Jersey Department of Environmental Protection  
Division of Water Quality  
Municipal Finance and Construction Element  
P. O. Box 420, 401 E. State St.  
Trenton, New Jersey 08625-0420

**CD or DVD only** \*:

Maryclaire D’Andrea, Acting Executive Director  
New Jersey Environmental Infrastructure Trust  
3131 Princeton Pike  
Building 6, Suite 201  
Lawrenceville, New Jersey 08648

\* All submissions must be on CD or DVD in either PDF, TIFF, or JPG format. Costs incurred in preparing electronic submissions are deemed eligible expenses for certified projects. Paper submissions to the NJEIT will be rejected.

**A) USE OF THIS APPLICATION**

This package is to be used for applying for financial assistance from the New Jersey Environmental Infrastructure Financing Program for the construction of environmental infrastructure facilities. All dollar amounts requested in this application should be rounded to the nearest dollar. If an item cannot be answered or does not appear to be relevant, write “NA” for “not applicable.” When answering "yes" to any question regarding necessary permits, always list the permit number in the space provided.

This package also is to be used to request additional financial assistance for a project which has previously received funding from the New Jersey Environmental Infrastructure Financing Program and whose allowable costs have increased due to the receipt of bids or cost overruns for that project. When a request is made for supplemental assistance for an approved loan, submit only those pages that are appropriate.

## B) COMPLETING THE APPLICATION

a) The application package consists of five parts:

### Part I – GENERAL INFORMATION

- Application for a Fund/Trust Loan (FORM LP-2)
- Authorizing Resolution (Sample copy attached) or letter

### Part II - ASSURANCES

- Statement of Assurances (FORM LP-3)
- Assurance of Compliance with Title VI of the Civil Rights Act of 1964 (FORM LP-4)

### Part III – BUDGET INFORMATION

- Instructions
- New Project (FORM LP-5A)
- Previously Funded Project (FORM LP-5B)
- TABLE # 1 - Allowance for Facilities Planning and Design
- Project Cost Breakdown “Per Subagreement” (FORM LP-6A)
- Projected Disbursement Schedule (FORM LP-6B)

### Part IV – PROJECT APPROVAL INFORMATION

- Affidavit of Compliance (FORM LP-7)
- Application Checklist (FORM LP-8)

### PART V - ADDITIONAL INFORMATION

- Additional Information (FORM LP-9)
- Guidance For The Use and Submittal of Affidavit for Professional Services
- Affidavit for Professional Services (FORM LP-11)
- Preaward Compliance Review Report ( EPA Form 4700-4)
- CWSRF Benefit Reporting Form (CBR) – Available separately on [http://www.nj.gov/dep/dwq/forms\\_municipalfinance.htm](http://www.nj.gov/dep/dwq/forms_municipalfinance.htm)

## C) SUBMISSION OF APPLICATION

- a) An original and two copies mailed to the Mail Code: 401-03D, New Jersey Department of Environmental Protection, Municipal Finance and Construction Element, P.O. Box 420, Trenton, New Jersey 08625-0420.
- b) Financial addendum (Financial Background Information) instructions for the submittal are contained within the addendum and will be provided at a later date.
- c) Clean Water SRF Benefit Reporting (CBR) form is required for clean water projects and should be submitted only via email directly to [CBR\\_Form@dep.state.nj.us](mailto:CBR_Form@dep.state.nj.us) before the final escrow closing with updated project information. This form is also available separately on [http://www.nj.gov/dep/dwq/forms\\_municipalfinance.htm](http://www.nj.gov/dep/dwq/forms_municipalfinance.htm).

## D) ASSISTANCE REGULATIONS

Applicants are expected to comply with all rules applicable to the New Jersey Environmental Infrastructure Financing Program. These rules are published in N.J.A.C. 7:22-3, 4, 5, 8, 9, and 10. A copy of these rules is available upon request from the Municipal Finance and Construction Element. These rules are also available on <http://www.nj.gov/dep/dwq/722.htm>.

## E) PROJECT

The term “project” as used in this application form refers to the scope of work for which this application for Department and Trust assistance is being made pursuant to N.J.A.C. 7:22-3, 4 and 5.

## F) RESERVE CAPACITY

In accordance with N.J.A.C. 7:22-4.36, the applicant must indicate in the application whether or not they want to exercise their option to receive Trust loan assistance for those costs related to reserve capacity that the Department determines to be unallowable under the provisions of N.J.A.C. 7:22-3.36. (See FORM LP-2, page 2).

Should you have any questions regarding this application, please contact one of the following:

- Bureau of Administration & Management at (609) 633-1208
- Bureau of Financing and Construction Permits at (609) 984-6840
- Bureau of Safe Drinking Water at (609) 292-5550

# Part I

## GENERAL INFORMATION

- FORM LP-2

Application for Financial Assistance

- ATTACHMENT:

Authorizing Resolution (Sample included)

Or

Letter from Privately Owned Water System

Mail Code 401-03D  
New Jersey Department of Environmental Protection  
Division of Water Quality  
Municipal Finance and Construction Element  
Bureau of Administration and Management  
P.O. Box 420  
Trenton, New Jersey 08625-0420  
Telephone: (609) 633-1208  
Date:

New Jersey Environmental Infrastructure Trust  
3131 Princeton Pike  
Building 6, Suite 201  
Lawrenceville, New Jersey 08648  
(609) 219 -8600

*Department Use Only*  
Copies to:

## FORM LP-2 APPLICATION FOR FINANCIAL ASSISTANCE

PLEASE PRINT OR TYPE

Legal Name of Applicant: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Contact Person: \_\_\_\_\_

Title: \_\_\_\_\_

Telephone Number: ( \_\_\_\_\_ ) \_\_\_\_\_

County: \_\_\_\_\_ Federal \_\_\_\_\_ ID Number: \_\_\_\_\_

### LOAN REQUEST

1. The above applicant requests a New Jersey Environmental Infrastructure Financing Program loan in amount of \$ \_\_\_\_\_

2. **Reserve Capacity**

Does the applicant above request a loan from the New Jersey Environmental Infrastructure Trust pursuant to N.J.A.C. 7:22-4.36 for costs associated with Reserve Capacity which are deemed unallowable for funding from the New Jersey Department of Environmental Protection pursuant to N.J.A.C. 7:22-3.36 (i.e., 100% of the reserve capacity costs will be financed at market rate)?

YES  NO

3. Does the applicant above have or intend to apply for funding from another State or Federal Agency? YES  NO  If yes, fill out the information below:

Name of the Agency: \_\_\_\_\_

Amount Applied for: \$ \_\_\_\_\_

Agency Contact Person: \_\_\_\_\_ Telephone: \_\_\_\_\_

PROJECT INFORMATION

**Location of Project:** (include municipalities, counties, etc.)

**Description of Project:** (be specific)

**CERTIFICATION**

The undersigned representative of the applicant being duly sworn according to law, upon his oath deposes and says that the information in the application and in the attached statements and exhibits is true, correct, and complete to the best of the applicant’s knowledge, information and belief. The undersigned representative of the applicant further deposes and says that:

1. As evidenced by the **ATTACHED CERTIFIED COPY OF RESOLUTION ADOPTED BY THE LOCAL GOVERNMENT UNIT , OR LETTER BY THE OWNER(S) OF THE PRIVATELY OWNED PUBLIC OR NONPROFIT NONCOMMUNITY WATER SYSTEMS**, the undersigned representative has been authorized to file this application;
2. The applicant has agreed that if a Fund and a Trust loan for the project is made pursuant to N.J.A.C. 7:22-3, 4 and 5 (rules of the New Jersey Department of Environmental Protection and the New Jersey Environmental Infrastructure Trust), the applicant will pay all costs of the approved project not covered by the Fund and Trust loans; and
3. The applicant agrees that all statements, data and supporting documents made or submitted by the applicant in connection with any applications for State or Federal assistance for the project are to be deemed a part of this application as if they were herein repeated and set forth in full.

Date: \_\_\_\_\_

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Name of Authorized Representative (typed)

\_\_\_\_\_  
Title of Authorized Representative (typed)

Sworn to and subscribed before me this  
\_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_

\_\_\_\_\_  
Signature

MUNICIPAL SEAL or NOTARY PUBLIC SEAL

RESOLUTION AUTHORIZING APPLICATION  
FOR A LOAN FROM THE NEW JERSEY ENVIRONMENTAL  
INFRASTRUCTURE FINANCING PROGRAM

**Resolution Number:** \_\_\_\_\_

**Applicant:** \_\_\_\_\_

**Loan Number:** \_\_\_\_\_

WHEREAS, the (Name of Applicant) \_\_\_\_\_ intends to file an application with the New Jersey Department of Environmental Protection and the New Jersey Environmental Infrastructure Trust for the (description of project):

\_\_\_\_\_  
\_\_\_\_\_

NOW, THEREFORE BE IT RESOLVED, that (name of individual and title) \_\_\_\_\_ be authorized to act as the Authorized Representative to represent the (Name of Applicant) \_\_\_\_\_ in all matters relating to the project undertaken pursuant to the above referenced New Jersey Environmental Infrastructure Loan to be executed with the New Jersey Department of Environmental Protection and the New Jersey Environmental Infrastructure Trust. The Authorized Representative may be contacted at (full address and telephone number):

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

I do hereby certify that the foregoing is a correct and true copy of a Resolution adopted by (Name of Applicant) \_\_\_\_\_ at a meeting duly held on the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

Dated: \_\_\_\_\_

Signed: \_\_\_\_\_

Certified By: \_\_\_\_\_

## Part II

### ASSURANCES

- FORM LP-3  
Statement of Assurances
- FORM LP-4  
Assurance of Compliance with the  
Regulations under Title VI of the Civil  
Rights Act of 1964

**FORM LP-3 STATEMENT OF ASSURANCES**

As authorized representative of (Name of Applicant) \_\_\_\_\_

I, (Name) \_\_\_\_\_, certify that (Name of Applicant)

\_\_\_\_\_ agrees to comply with the laws, rules, policies, requirements and conditions relating to the New Jersey Environmental Infrastructure Financing Program for this project.

**ADMINISTRATIVE REQUIREMENTS**

1. Has the legal, institutional, managerial, technical and financial capability to ensure adequate construction and operation and maintenance (including replacement) of the environmental infrastructure facilities, and has analyzed the local share of the costs of the proposed environmental infrastructure facilities, including the financial impact on the service area.
2. Will give the New Jersey Department of Environmental Protection (DEP) and the New Jersey Environmental Infrastructure Trust (Trust) through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the loan, and will establish an accounting system in accordance with generally accepted accounting principles and auditing standards.
3. Has a fee simple title or such other estate or interest in the site of the project, including necessary easements and rights-of-way as the DEP finds sufficient to assure undisturbed use and possession for the purposes of construction and operation for the estimated life of the project, and will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from DEP.
4. For local government units, will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or gives the appearance of constituting a personal or organizational conflict of interest, and shall otherwise comply with the DEP's minimum standards of conduct found in N.J.A.C. 7:22-8.1 et seq.
5. Will ensure that the facilities under its ownership, lease or supervision used to accomplish the project are not listed on the U. S. Environmental Protection Agency's (EPA) list of Violating Facilities, and will notify the DEP of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for such listing by EPA.
6. Has not or shall not enter into any contract and has not or shall not award any subcontract to any person(s) included on EPA's or the New Jersey State Treasurer's List of Debarred, Suspended or Disqualified Bidders as a result of action by any Federal or State agency for the building of the project.
7. Has not violated any Federal, State or local law pertaining to fraud, bribery, graft or collusion.

## PROGRAMMATIC REQUIREMENTS

8. Will obtain approval by DEP of the final design drawings and specifications before the project is advertised for bidding, and will complete the project in accordance with the application, facilities plan/project report, plans and specifications and other documents or amendments thereto approved by the DEP.
9. Will provide and maintain competent and adequate engineering supervision under the direction of a Professional Engineer, licensed in the State of New Jersey, who shall ensure that the construction conforms with the accepted plans and specifications, who shall furnish progress reports and such other information as DEP may require and who shall certify to the DEP that the completed work is in conformance with accepted plans and specifications.
10. Will operate and maintain the environmental infrastructure facilities in accordance with the minimum standards as required by the pertinent Federal, State and local agencies for the maintenance and operation of such facilities; and in accordance with all permits.
11. Will retain sufficient qualified operation and management personnel from the time of completion of construction or initiation of operation, whichever, is earlier, until such time as the operation of the facility is discontinued, and the applicant shall retain a qualified chief operating officer or executive director.
12. Will initiate procurement action for building all significant elements of the project within 12 months of the loan closing; and will diligently pursue completion of the project.
13. Will assure that, if assistance is for a new system which is allowable, the existing population will connect to the system within a reasonable time after project completion.
14. Will assure that the environmental infrastructure facilities, for which this application is requesting funds, are made operational according to the project schedule submitted herewith, regardless of whether additional funding is received.
15. Will have available sufficient funds to pay that portion of the project costs not covered by the financial assistance being applied for with this application, and shall use these funds to make such payments.
16. For projects sponsored by local government units, will require the contractor to provide bonds in compliance with N.J.S.A. 2A:44-123 et seq., and ensure that the actual construction work is performed by the lump sum (fixed price) or unit contract method or combination thereof.
17. Will require the facilities to be designed to comply with the American National Specifications for Making Building and Facilities Accessible to, and Usable by, the Physically Handicapped, Number A117-1-196.

## STATUTORY REQUIREMENTS

18. Will comply with the provision of Executive Order 11988 relating to evaluation of potential effects of any actions in a floodplain, and Executive Order 11190 relating to minimizing harm to wetlands.
19. Will comply, or have already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced or whose property is acquired as a result of assisted programs.
20. Will comply with the provisions of the Hatch Act, which limits the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
21. Will comply with the provisions of the Davis-Bacon Act (not applicable to drinking water projects), the Copeland Act, and the Contract Work Hours and Safety Standards Act, all of which govern labor standards for federally assisted construction subagreements, where applicable.
22. Will comply with the flood insurance purchase requirements of N.J.S.A. 58:16A-50 et seq., N.J.A.C. 7:13-2.1 et seq., and Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires loan recipients in a special flood hazard area, as a loan condition, to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more. (See 40 CFR 30.600(b) and 44 CFR Parts 59 through 79.)
23. Will assist the DEP to comply with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), Executive Order 11593, the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.), the Act Establishing the New Jersey Register of Historic Places and Executive Order No. 215 Environmental Assessment.
24. Will comply with Section 13 of the Federal Water Pollution Control Act of 1972, which provides that no person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination in any program under the Act.
25. Will comply with Title VI of the Civil Rights Act of 1964, with the New Jersey Law Against Discrimination, N.J.S.A. 10:5-1 et. seq. and with the Anti-Discrimination and Affirmative Action Provisions of N.J.S.A. 10:2-1 to 10:2-4.
25. Will comply with all applicable requirements of Federal, State and local laws, ordinances, executive orders, policies, rules and regulations governing this program, including N.J.A.C. 7:22-3, 4, 5, 9, and 10.
26. Will establish, for wastewater treatment projects, an effective regulatory program for pretreatment pursuant to N.J.S.A. 58:10A-6 et seq. and 40 CFR Part 403.
27. For local government units, will comply with applicable procurement requirements of the Local Public Contracts Law, N.J.S.A. 40A: 11-1 et seq.

## CERTIFICATION

I certify that I am a duly authorized representative of the within named applicant, and that I have read and understand these requirements and assurances. I further certify that the foregoing statements made by me are true. I am aware that if any of the foregoing statements made by me are willfully false, I am subject to punishment.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Name of Authorized Representative (typed)

\_\_\_\_\_  
Title of Authorized Representative (typed)

Project No.: \_\_\_\_\_

**New Jersey Department of Environmental Protection**

**FORM LP-4 ASSURANCE OF COMPLIANCE WITH THE REGULATIONS UNDER TITLE VI OF THE CIVIL RIGHTS ACT OF 1964**

Name of Applicant: \_\_\_\_\_

(Hereinafter called "Applicant")

HEREBY AGREES THAT it shall comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and all requirements imposed pursuant to that title, as well as the New Jersey "Law Against Discrimination" as set forth in Title 10, Chapter 5 of the New Jersey Statutes Annotated, to the end that, in accordance with Title VI of the Act and the Regulations no person in the United States shall, on the ground of race, creed, color, national origin, ancestry, age, marital status, affectional or sexual orientation or sex, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Applicant receives financial assistance from the State of New Jersey; nor shall any person, on the ground of race, creed, color, national origin, ancestry, age, marital status, affectional or sexual orientation or sex, be denied the benefits of, or be otherwise subjected to discrimination under any program for which the Applicant receives financial assistance from the State of New Jersey; and HEREBY GIVES ASSURANCE THAT it shall immediately take any measures necessary to effectuate this agreement.

If any real property or structure thereon is provided or improved with the aid of State financial assistance extended to the Applicant by the State of New Jersey, this assurance shall obligate the Applicant, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose involving the provision of similar services or benefits. If any personal property is so provided, this assurance shall obligate the Applicant for the period during which the State financial assistance is extended.

THIS ASSURANCE is given in consideration of and for the purpose of obtaining any and all State grants, loans, contracts, property, discounts, or other State financial assistance extended after the date hereof to the Applicant by the State of New Jersey; including installment payments after which date on account of applications for State financial assistance which were approved before such date. The Applicant recognizes and agrees that such State financial assistance shall be extended in reliance on the representative and agreements made in this assurance, and that the State of New Jersey shall have the right to seek judicial enforcement of this assurance.

The assurance is binding on the Applicant, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this assurance behalf of the Applicant.

\_\_\_\_\_  
**Signature of Authorized Representative**

\_\_\_\_\_  
**Date**

\_\_\_\_\_  
**Name of Authorized Representative (typed)**

\_\_\_\_\_  
**Title of Authorized Representative (typed)**

**Sworn to and subscribed before me this**  
**\_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_**

\_\_\_\_\_  
**Signature**

**NOTARY PUBLIC SEAL**

## PART III

### BUDGET INFORMATION

- PART III INSTRUCTIONS
- FORM LP-5A  
    New Project
- FORM LP-5B  
    Previously Funded Project
- FORM LP-6A  
    Project Cost Breakdown  
    “Per Subagreement”
- FORM LP-6B  
    Projected Disbursement  
    Schedule

## PART III INSTRUCTIONS

Part III consists of FORMS LP-5A, 5B, 6A and 6B. FORMS LP-6A and 6B are self-explanatory.

In all forms you are required to consider costs which are not allowable under the New Jersey Environmental Infrastructure Financing Program. Additional information can be found in N.J.A.C. 7:22-5.1 through 5.12.

The applicant is encouraged to seek State assistance in determining what types of costs are not allowable under the program.

### BUDGET INFORMATION (FORM LP-5A/5B)

FORM LP-5A is to be used to calculate project costs for new projects. FORM LP-5B is used to calculate the increase in project costs for previously funded projects (supplemental loans).

#### ITEM 1 - ADMINISTRATIVE EXPENSES

Estimated amounts needed to cover administrative and legal expenses. Allowable administrative expenses do not include costs, which are related to the normal functions of the applicant. Allowable legal costs include certain services in support of the construction of the project (i.e., review of contracts), and costs pertaining to the loan closing. Total allowable administrative expenses are limited to three percent (3%) of the allowable building costs (Line Item 4).

#### ITEM 2 - OTHER COSTS (Please Explain)

If applicable, enter the costs and attach a breakdown with a description of the services.

#### ITEM 3 - ENGINEERING FEES

Engineering fees during construction, such as basic engineering fees and engineering inspection costs (this includes costs for shop-drawing review, bidding and award of contracts, surveys, tests, construction inspection and management, start-up services, project performance reviews).

#### ITEM 4 - BUILDING COSTS

Estimated costs for construction of facility including demolition and removal of existing structures. Also include estimated costs of shop drawings, laboratory, office and safety equipment.

#### ITEM 5 - CONTINGENCIES

Five percent (5%) of Line Item 4 which will be used in the event of cost overruns.

#### ITEM 6 - ALLOWANCE FOR PLANNING AND DESIGN

Calculate the amount for the planning and design allowance in accordance with the attached: Table 1 - Allowance for Facilities Planning and Design or Table 2 - Allowance for Design Only.

#### ITEM 7 - TOTAL PROJECT COSTS

Name of Applicant: \_\_\_\_\_ Project Number: \_\_\_\_\_

COST CLASSIFICATION	a. Total Project Costs During Construction	b. Project Costs Not Allowable for Fund and Trust Financing	c. Allowable Costs Subtract Column b from Column a and enter below $c=a-b$
1. Administrative Expenses (3% of Line No. 4)			
2. Other Costs			
3. Engineering Fees			
4. Building Costs			
5. Contingencies (5% of line No. 4)			
6. Allowance for Planning and Design (see attached table)			
7. TOTAL PROJECT COSTS			

Name of Applicant: \_\_\_\_\_ Project Number: \_\_\_\_\_

COST CLASSIFICATION	a. Costs per Last Loan Award		b. Adjustments (+) or (-)		c. Revised Cost	
	(1) Total	(2) Allowable	(1) Total	(2) Allowable	(1) Total	(2) Allowable
1. Administrative Expenses (3% of Line No. 4)						
2. Other Costs						
3. Engineering Fees						
4. Building Costs						
5. Contingencies (5% of line No. 4)						
6. Allowance for Planning and Design (see attached table)						
7. TOTAL PROJECT COSTS						

## TABLE 1

### ALLOWANCE FOR FACILITIES PLANNING AND DESIGN

<u>Building Cost</u>	<u>Allowance</u>
\$1,000,000 or less	- 25 percent of the allowable building cost; up to a maximum of \$250,000.
\$1,000,000 to \$10,000,000	- \$250,000 plus twelve (12) percent of the allowable building cost over \$1,000,000; up to a maximum of \$1,330,000.
\$10,000,000 to \$100,000,000	- \$1,330,000 plus six (6) percent of the allowable building cost over \$10,000,000; up to a maximum of \$6,730,000.
Over \$100,000,000	- \$6,730,000 plus five (5) percent of the allowable building cost over \$100,000,000

**New Jersey Environmental Infrastructure Financing Program**

**LP-6A PROJECT COST BREAKDOWN "PER SUBAGREEMENT"  
FOR CONSTRUCTION**

Applicant: \_\_\_\_\_

Project Number: \_\_\_\_\_

<b>ENGINEERING</b>	<b>TOTAL COST</b>	<b>ALLOWABLE COST</b>
Contract No.	\$	\$
SUBTOTAL	\$	\$
<b>CONSTRUCTION</b>	<b>TOTAL COST</b>	<b>ALLOWABLE COST</b>
Contract No.	\$	\$
SUBTOTAL	\$	\$
TOTAL	\$	\$



## PART IV

### PROJECT APPROVAL INFORMATION

- FORM LP-7  
Affidavit of Compliance, and  
Attachment "A"
  
- FORM LP-8  
Application Checklist

New Jersey Department of Environmental Protection

LP-7

AFFIDAVIT OF COMPLIANCE

I, \_\_\_\_\_, the undersigned authorized representative for a Fund Loan pursuant to N.J.A.C. 7:22-3.1 et seq. and a New Jersey Environmental Infrastructure Trust Loan pursuant to N.J.A.C. 7:22-4.1 being duly sworn according to law, upon my oath depose and say that:

1. The applicant has applied for and received all of the permits and approvals required for this project as listed in Attachment A.
2. The applicant has attached to this Affidavit copies of all the required permits and approvals listed in Attachment A.
3. The applicant will comply with all the terms and conditions of all the required permits and approvals listed in Attachment A.

The foregoing statements made by me are true and the attached copies of documents are true and correct copies of the documents contained in the applicant's files.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Name of Authorized Representative (typed)

\_\_\_\_\_  
Title of Authorized Representative (typed)

Sworn to and subscribed before me this

\_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_

\_\_\_\_\_  
Signature

NOTARY PUBLIC SEAL

New Jersey Department of Environmental Protection

**LP-7 AFFIDAVIT OF COMPLIANCE - ATTACHMENT A**

State Fiscal Year: \_\_\_\_\_

Project No.: \_\_\_\_\_

Project Name: \_\_\_\_\_

Applicant: \_\_\_\_\_

Name of Authorized Representative: \_\_\_\_\_

**APPLICABLE PERMIT(S)/APPROVAL(S)**

(Applicable mark "Yes" and provide permit number as required - Not Applicable mark "No")

Yes  No  (1) New Jersey Pollutant Discharge Elimination System permit; (New NJPDES or Modified NJPDES), Pollutant Discharge Elimination System, N.J.A.C. 7:14A-1 et seq.

Permit Number \_\_\_\_\_

Yes  No  (2) Treatment Works Approval (Permit to Construct), N.J.A.C. 7:14A-22 and 23.

Permit Number \_\_\_\_\_

Yes  No  (3) Sewer Ban Exemption Approval, Treatment Works Approval, Sewer Bans, Sewer Ban Exemptions, N.J.A.C. 7:14A-22-1 et seq.

Permit Number \_\_\_\_\_

Yes  No  (4) Soil Erosion and Sediment Control Plan Certification for Land Disturbance, Soil Erosion and Sediment Control Act, N.J.S.A. 4:24-1 et seq.

Permit Number \_\_\_\_\_

Yes  No  (5) OSHA Compliance, Bureau of Construction Project Review, Department of Community Affairs, Occupational Safety and Health Act (OSHA), 29 U.S.C. 651 et seq.

Permit Number \_\_\_\_\_

Yes  No  (6) UCC Review, Bureau of Construction Project Review, Department of Community Affairs, State Uniform Construction Code Act, N.J.S.A. 52:27D-119 et seq.

Permit Number \_\_\_\_\_

- Yes  No  (7) Air Permit to Construct/Install/Alter Control Apparatus/Equipment Permits and Certificates, N.J.A.C. 7:27-8.1 et seq.  
Permit Number \_\_\_\_\_
- Yes  No  (8) Coastal Area Facility Review Act (CAFRA) Permit, Coastal Zone Management, N.J.A.C. 7:7E-1 et seq.  
Permit Number \_\_\_\_\_
- Yes  No  (9) Waterfront Development Permit, Coastal Zone Management, N.J.A.C. 7:7E-1 et seq.  
Permit Number \_\_\_\_\_
- Yes  No  (10) Wetlands Permit for Coastal and Waterfront Development, Coastal Zone Management, N.J.A.C. 7:7E-1 et seq.  
Permit Number \_\_\_\_\_
- Yes  No  (11) Freshwater Wetlands Permit, Freshwater Wetlands Protection, N.J.A.C. 7:7A-1 et seq.  
Permit Number \_\_\_\_\_
- Yes  No  (12) Stream Encroachment Permit, Flood Hazard Area Control, N.J.A.C. 7:13-1 et seq.  
Permit Number \_\_\_\_\_
- Yes  No  (13) Solid Waste Facility Registration, Solid Waste, N.J.A.C. 7:26-1 et seq.  
Permit Number \_\_\_\_\_
- Yes  No  (14) Disruption of Solid Waste (construction or excavation activity on or in a closed or existing solid waste land disposal area), Solid Waste, N.J.A.C. 7:26-2.A.8(j).  
Permit Number \_\_\_\_\_
- Yes  No  (15) Hazardous Waste Facility Registration, Solid Waste, N.J.A.C. 7:26-1 et seq.  
Permit Number \_\_\_\_\_
- Yes  No  (16) Discharge Prevention, Spill Compensation and Control Approval, Discharges of Petroleum and Other Hazardous Substance, N.J.A.C. 7:1E-1 et seq.  
Permit Number \_\_\_\_\_
- Yes  No  (17) Water Lowering Permit, Fish and Game Laws N.J.S.A. 23:5-29.  
Permit Number \_\_\_\_\_
- Yes  No  (18) Water Quality Certification, Freshwater Wetlands Protection Act Rules, N.J.A.C. 7:7A-1 et seq., and the Federal Clean Water Act Amendments of 1977, 33 U.S.C. 1251, Section 401.  
Permit Number \_\_\_\_\_

- Yes  No  (19) Dredge and Fill Permit, Army Corps of Engineers, Clean Water Act, 33 U.S.C. 1251 et seq., Section 404.  
Permit Number \_\_\_\_\_
- Yes  No  (20) Permit to Divert Surface or Subsurface Waters (Dewatering), Water Supply/Allocation Permits, N.J.A.C. 7:19-1 et seq.  
Permit Number \_\_\_\_\_
- Yes  No  (21) Underground Storage Tank Permit, Underground Storage, N.J.A.C. 7:14B-1 et seq.  
Permit Number \_\_\_\_\_
- Yes  No  (22) Consistency Determination with Water Management Plans, N.J.A.C. 7:15-1 et seq.  
Permit Number \_\_\_\_\_
- Yes  No  (23) Assessment of Consistency with the New Statewide Water Supply Plan, N.J.S.A. 58:1A-1 et seq.  
Permit Number \_\_\_\_\_
- Yes  No  (24) Assessment of Consistency with the New Jersey State Development and Redevelopment Plan, New Jersey State Planning Act.  
Permit Number \_\_\_\_\_
- Yes  No  (25) Delaware and Raritan Canal Commission Approval Delaware and Raritan Canal, N.J.A.C. 7:45-1 et seq.  
Permit Number \_\_\_\_\_
- Yes  No  (26) Green Acres Program Review, Green Acres Program, N.J.A.C. 7:36-1 et seq.  
Permit Number \_\_\_\_\_
- Yes  No  (27) Pinelands Commission Approval, Pinelands, N.J.A.C. 7:50-1 et seq.  
Permit Number \_\_\_\_\_
- Yes  No  (28) Hackensack Meadowlands Development Commission Approval, N.J.A.C. 7:7E-3.45.  
Permit Number \_\_\_\_\_
- Yes  No  (29) Delaware River Basin Commission Approval, Delaware River Basin Compact, N.J.S.A. 58:18-18 et seq.  
Permit Number \_\_\_\_\_
- Yes  No  (30) Toxic Catastrophe Prevention Act, N.J.A.C. 7:31-1 et seq.  
Permit Number \_\_\_\_\_

Yes  No  (31) Dam Safety Permit, Safe Dam Act, N.J.A.C. 7:20-1 et seq.  
Permit Number \_\_\_\_\_

Yes  No  (32) ACO/JCO Applicability and/or Conversion.  
Permit Number \_\_\_\_\_

Yes  No  (33) SED Business Utilization, N.J.A.C. 7:22-9.1 et seq.  
Permit Number \_\_\_\_\_

Yes  No  (34) Safe Drinking Water Permit, N.J.A.C. 7:10-1 et seq.  
Permit Number \_\_\_\_\_

Yes  No  (35) Procedures Concerning the New Jersey Register of Historic Places, N.J.A.C. 7:4-1 et seq.  
Permit Number \_\_\_\_\_

Yes  No  (36) Other State Approvals (Specify) \_\_\_\_\_  
\_\_\_\_\_

Yes  No  (37) Other Federal Approvals (Specify) \_\_\_\_\_  
\_\_\_\_\_

Yes  No  (38) Other Local Approvals (Specify) \_\_\_\_\_  
\_\_\_\_\_

**YOU WILL BE REQUIRED TO PROVIDE WRITTEN DOCUMENTATION AND CONCURRENCE FROM THE APPLICABLE PERMIT/APPROVAL AGENCIES FOR YOUR PROPPSED PROJECT, SHOULD YOU DISAGREE WITH ANY OF THE ABOVE PERMIT(S)/APPROVAL(S) NOTED.**

COMMENTS:

## New Jersey Environmental Infrastructure Financing Program

**LP-8**

### APPLICATION CHECKLIST

(For each item, check appropriate column)

Applicant: \_\_\_\_\_ Date: \_\_\_\_\_

A. Have the following items required under N.J.A.C. 7:22-3.11(d) and N.J.A.C. 7:22-4.11(d) been included with this application submittal?	Attached <input checked="" type="checkbox"/>	Date Submitted	Not Applicable
1. Application for Financial Assistance from the <u>New Jersey Environmental Infrastructure Financing Program</u> (FORM LP-2)	<input type="checkbox"/>		<input type="checkbox"/>
2. For local government units, certified copy of a resolution or letter adopted by the applicant or, for privately owned water supply systems, a letter for the owner(s):			
(a) Authorizing the filing of the application, and	<input type="checkbox"/>		<input type="checkbox"/>
(b) specifying the individual authorized to sign the application	<input type="checkbox"/>		<input type="checkbox"/>
3. Statement of Assurances (FORM LP-3)	<input type="checkbox"/>		<input type="checkbox"/>
4. Assurance of Compliance with the Regulations Under Title VI of the Civil Rights Act of 1964 (FORM LP-4)	<input type="checkbox"/>		<input type="checkbox"/>
5. Budget Information Sheet (FORM LP-5A or 5B)	<input type="checkbox"/>		<input type="checkbox"/>
6. Affidavit of Compliance and Attachment (FORM LP-7)	<input type="checkbox"/>		<input type="checkbox"/>
7. Additional Information (FORM LP-9)	<input type="checkbox"/>		<input type="checkbox"/>
8. For local government units, a Professional Services Affidavit (PSA) (FORM LP-11)	<input type="checkbox"/>		<input type="checkbox"/>
B. Have the following items been submitted?	Attached <input checked="" type="checkbox"/>	Date Submitted	Not Applicable
1. Project Report/Facilities Plan	<input type="checkbox"/>		<input type="checkbox"/>
2. Sewer System Evaluation Survey (wastewater projects only)	<input type="checkbox"/>		<input type="checkbox"/>
3. Plans, Specifications, Contract Documents and Technical Design Reports	<input type="checkbox"/>		<input type="checkbox"/>
4. Public Participation Process (transcripts/responsiveness summary for public hearing)	<input type="checkbox"/>		<input type="checkbox"/>
5. a) Planning and Design SED Utilization Report (N.J.A.C. 7:22-9.12(a))	<input type="checkbox"/>		<input type="checkbox"/>
b) SED Utilization Plan (N.J.A.C. 7:22-9.4) (To be submitted within 45 days of receipt of this application)	<input type="checkbox"/>		<input type="checkbox"/>
6. Project Cost Breakdown "Per Subagreement" For Construction (FORM LP-6A)	<input type="checkbox"/>		<input type="checkbox"/>
7. Projected Disbursement Schedule (FORM LP-6B)	<input type="checkbox"/>		<input type="checkbox"/>

Have the following items been submitted?	Attached <input checked="" type="checkbox"/>	Date Submitted	Not Applicable
7. Construction Schedule	<input type="checkbox"/>		<input type="checkbox"/>
8. Administrative and Judicial Consent Order (if any)	<input type="checkbox"/>		<input type="checkbox"/>
(b) specifying the individual authorized to sign the application	<input type="checkbox"/>		<input type="checkbox"/>
9. Sewer Use Ordinance (wastewater projects only); User Charge System for environmental infrastructure facilities (and/or other means to repay loan)	<input type="checkbox"/>		<input type="checkbox"/>
10. Value Engineering (\$10 million or more; wastewater projects only)	<input type="checkbox"/>		<input type="checkbox"/>
11. Infiltration/Inflow Information (wastewater projects only)	<input type="checkbox"/>		<input type="checkbox"/>
12. Reserve Capacity Information	<input type="checkbox"/>		<input type="checkbox"/>
13. Technical, managerial and financial capability analysis (water supply projects)	<input type="checkbox"/>		<input type="checkbox"/>
C. Have the following items been submitted?	Attached <input checked="" type="checkbox"/>	Date Submitted	Not Applicable
1. Certificate (legal opinion) from counsel as to title or mechanism to obtain title for project site and easement	<input type="checkbox"/>		<input type="checkbox"/>
2. Statement indicating no Federal, State or local law has been violated pertaining to fraud, bribery, graft, kickbacks, collusion or conflict of interest relating to or in connection with planning and design of the proposed project.	<input type="checkbox"/>		<input type="checkbox"/>
3. Statement indicating that no services of a person whose name appears on EPA's or the New Jersey State Treasurer's list of debarment, suspensions, and voluntary exclusions were used for planning and design	<input type="checkbox"/>		<input type="checkbox"/>
4. Service Agreement and/or Deficiency Agreement and all other relevant Intermunicipal agreements	<input type="checkbox"/>		<input type="checkbox"/>
5. Draft Engineering Agreement for Building Services	<input type="checkbox"/>		<input type="checkbox"/>
6. Statement on other related Federal or State assistance (previous, pending or anticipated) on this project	<input type="checkbox"/>		<input type="checkbox"/>
7. Statement whether the applicant has any State loan(s) and/or is delinquent in repayments	<input type="checkbox"/>		<input type="checkbox"/>

## PART V

### ADDITIONAL INFORMATION

- FORM LP-9  
Additional Information
- FORM LP-11  
Guidance for the Use and  
Submittal of the Professional  
Services Affidavit (PSA)
- EPA Form 4700-4  
Preaward Compliance Review  
Report for All Applicants  
Requesting Federal Financial  
Assistance
- CWSRF Benefit Reporting (CBR)  
(for electronic submission only via email)

Applicant: \_\_\_\_\_

Project Number: \_\_\_\_\_

1. If the assistance requested will serve a State or Federal installation, provide:

a) Name of installation: \_\_\_\_\_

b) Governmental population benefiting from project:

State: \_\_\_\_\_ Federal: \_\_\_\_\_

2. If the project for which assistance is required will be on State or Federal land or installation, provide:

a) Name of installation: \_\_\_\_\_

b) Percent of Project: \_\_\_\_\_

c) Location: \_\_\_\_\_

3. If the assistance requested will serve industrial users, provide:

a) Name of Industries:

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

b) Percent of Design Flow allotted to each industry in "a":

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

4. If the project for which assistance is requested has caused, or will cause, the displacement of any individual, family, business, or farm, provide number of:

a. Individuals: \_\_\_\_\_

c. Families: \_\_\_\_\_

b. Businesses: \_\_\_\_\_

d. Farms: \_\_\_\_\_

5. Indicate if project is in a designated special flood hazard area:

YES

NO

(If answer is “yes” see item 22 of “Statement of Assurances” FORM LP-3)

6. If applicant has obtained the necessary land, indicate how:

Leasehold interest

Fee simple title

Other (Specify) \_\_\_\_\_

**1. What is the purpose of the Professional Services Affidavit?**

The purpose of the PSA is to ensure that a qualified responsible person/firm has been properly procured by the applicant to undertake required professional services (financial, legal, environmental or archaeological studies, engineering, bond counsel, etc.) for the building and management of wastewater treatment systems funded under one of the State's Financing Programs. Further, the PSA is to ensure that the local government unit has reviewed the scope of work and costs for each prime subagreement for professional services for the project and determined them to be acceptable and reasonable.

**2. Which documents are to be submitted with the Professional Services Affidavit?**

- a. A resolution from the local government unit must be submitted designating the authorized representative; and authorizing the representative to legally sign the PSA, loan application and professional services agreements.
- b. Upon the execution of each professional services prime subagreement by the applicant and the provider of professional services, the completed PSA must be submitted with a copy of the resolution authorizing the procurement of the subagreement as well as a copy of the executed subagreement.

**3. Who must complete and submit the Professional Services Affidavit?**

The legally authorized representative of the local government unit applying for funding (applicant) under one of the State's Financing Programs must complete and sign the PSA and attest to compliance with the provisions of the PSA.

**4. When does the applicant submit the Professional Services Affidavit?**

The PSA and executed professional services prime subagreement(s) must be submitted prior to the Department's "Authorization to Advertise" contracts for the project.

**5. Where does the applicant submit the Professional Services Affidavit?**

The completed PSA shall be submitted to:

Municipal Finance and Construction Element  
401-03D  
New Jersey Department of Environmental Protection  
Division of Water Quality  
P.O. Box 420  
Trenton, New Jersey 08625-0420

## DEFINITIONS:

**“APPLICANT”** - means any local government unit that applies for state financing pursuant to the provisions of the applicable rules and regulations.

**“AUTHORIZED REPRESENTATIVE”** - means the person authorized by local government unit resolution to sign legal documents pertaining to State’s Financing Program documents.

**“AUTHORIZATION TO ADVERTISE”** - means written authorization of the applicant by the Department to advertise contracts for solicitation of bid proposals for building. NOTE: All necessary permits and approvals must be obtained by the applicant prior to the Department’s issuance of an Authorization to Advertise.

**“DEPARTMENT”** – means New Jersey Department of Environmental Protection.

**“NEGOTIATED ACCEPTABLE COST”** - means a contract for professional services executed directly between the applicant and provider of professional services.

**“PRIME SUBAGREEMENT”** - means a contract for professional services executed directly between the applicant and provider of professional services.

**“PROFESSIONAL SERVICES”** - means services rendered or performed by a person authorized by law to practice a recognized professional, whose practice is regulated by law, and the performance of which services require knowledge of an advanced type in a field of learning acquired by a prolonged formal course of specialized instruction and study as distinguished from general academic instruction or apprenticeship and training. Examples are services provided by an accountant, archaeologist, attorney, auditor, bond counsel, engineer, environmentalist, financial advisor, etc.

**“STATE’S FINANCING PROGRAM”** - means the funding program providing financing to the applicant and includes the New Jersey Environmental Infrastructure Financing Program (includes wastewater treatment and water supply), Sewage Infrastructure Improvement Act Program, and the Pinelands Infrastructure Trust Fund.

New Jersey Department of Environmental Protection

LP-11

AFFIDAVIT FOR PROFESSIONAL SERVICES

I, \_\_\_\_\_, the undersigned authorized representative of \_\_\_\_\_, the applicant for

(check one)

- New Jersey Environmental Infrastructure Financing Program – (Fund/Trust Loans) pursuant to N.J.A.C. 7:22-3 and 7:22-4 .
- Sewage Infrastructure Improvement Act - (Planning or Design Grants) pursuant to N.J.A.C. 7:22A-1, 2, and 6 .
- Interconnection/Cross Connection Abatement Account - (Planning or Design Grants) pursuant to N.J.A.C. 7:22A-1, 2 and 7 .
- Pinelands Infrastructure Trust Fund - (Grant/Loan) pursuant to N.J.A.C. 7:22-6 being duly sworn according to law, upon my oath deposes and attests that:

1. The applicant has selected the following firm to provide Professional Services:

Firm Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Principal Officer: \_\_\_\_\_

Further, the selection of the above referenced firm has been made in accordance with the State of New Jersey’s Local Public Contracts Law, N.J.S.A. 40A:11-1 et seq., or other procurement laws. (NOTE: if an alternative procurement law is involved, please cite the law below, which may include the Privatization Act, N.J.S.A. 58:27-1 et seq., or the Solid Waste Management Act’s contracting provisions at N.J.S.A. 13:1E-155 through 168 as well as applicable provisions of state rules or requirements thereof).

[Empty rectangular box for additional information]

**The selected firm will perform the following services:**

**for Project No. \_\_\_\_\_ described as (include a brief description of the project):**

**at a compensation amount not to exceed \$ \_\_\_\_\_**

2. The applicant has reviewed the Professional’s scope of services and all costs, including direct and indirect costs, associated with this contract for the aforementioned project noted under item 1 above. The applicant herein agrees and approves the costs as being acceptable and reasonable for the intended purpose to complete all said services.
3. The applicant has attached to this AFFIDAVIT a certified copy of the executed professional services prime subagreement.
4. The applicant has attached tot his AFFIDAVIT a copy, of therre solution as approved by the local government unit or letter, approving the professional noted under item 1; the Scope of Services for the said project and the Negotiated Acceptable Costs.

The foregoing statements made by me are true and the attached copies of documents are true an correct copies of records maintained by the applicant.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Name of Authorized Representative (typed)

\_\_\_\_\_  
Title of Authorized Representative (typed)

Sworn to and subscribed before me this  
\_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_

\_\_\_\_\_  
Signature

NOTARY PUBLIC SEAL



## Instructions for EPA FORM 4700-4 (Rev. 04/2009)

### General

Recipients of Federal financial assistance from the U.S. Environmental Protection Agency must comply with the following statutes and regulations.

Title VI of the Civil Rights Acts of 1964 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. The Act goes on to explain that the statute shall not be construed to authorize action with respect to any employment practice of any employer, employment agency, or labor organization (except where the primary objective of the Federal financial assistance is to provide employment).

Section 13 of the 1972 Amendments to the Federal Water Pollution Control Act provides that no person in the United States shall on the ground of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under the Federal Water Pollution Control Act, as amended. Employment discrimination on the basis of sex is prohibited in all such programs or activities.

Section 504 of the Rehabilitation Act of 1973 provides that no otherwise qualified individual with a disability in the United States shall solely by reason of disability be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. Employment discrimination on the basis of disability is prohibited in all such programs or activities.

The Age Discrimination Act of 1975 provides that no person on the basis of age shall be excluded from participation under any program or activity receiving Federal financial assistance. Employment discrimination is not covered. Age discrimination in employment is prohibited by the Age Discrimination in Employment Act administered by the Equal Employment Opportunity Commission.

Title IX of the Education Amendments of 1972 provides that no person in the United States on the basis of sex shall be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance. Employment discrimination on the basis of sex is prohibited in all such education programs or activities. Note: an education program or activity is not limited to only those conducted by a formal institution.

40 C.F.R. Part 5 implements Title IX of the Education Amendments of 1972.

40 C.F.R. Part 7 implements Title VI of the Civil Rights Act of 1964, Section 13 of the 1972 Amendments to the Federal Water Pollution Control Act, and Section 504 of The Rehabilitation Act of 1973.

The Executive Order 13166 (E.O. 13166) entitled; "Improving Access to Services for Persons with Limited English Proficiency" requires Federal agencies work to ensure that recipients of Federal financial assistance provide meaningful access to their LEP applicants and beneficiaries.

### Items

"Applicant" means any entity that files an application or unsolicited proposal or otherwise requests EPA assistance. 40 C.F.R. §§ 5.105, 7.25.

"Recipient" means any entity, other than applicant, which will actually receive EPA assistance. 40 C.F.R. §§ 5.105, 7.25.

"Civil rights lawsuits and administrative complaints" means any lawsuit or administrative complaint alleging discrimination on the basis of race, color, national origin, sex, age, or disability pending or decided against the applicant and/or entity which actually benefits from the grant, but excluding employment complaints not covered by 40 C.F.R. Parts 5 and 7. For example, if a city is the named applicant but the grant will actually benefit the Department of Sewage, civil rights lawsuits involving both the city and the Department of Sewage should be listed.

"Civil rights compliance review" means any review assessing the applicant's and/or recipient's compliance with laws prohibiting discrimination on the basis of race, color, national origin, sex, age, or disability.

Submit this form with the original and required copies of applications, requests for extensions, requests for increase of funds, etc. Updates of information are all that are required after the initial application submission.

If any item is not relevant to the project for which assistance is requested, write "NA" for "Not Applicable."

In the event applicant is uncertain about how to answer any questions, EPA program officials should be contacted for clarification.

\* Questions VII – XI are for informational use only and will not affect an applicant's grant status. However, applicants should answer all questions on this form. (40 C.F.R. Parts 5 and 7).

\*\* Note: Signature appears in the Approval Section of the EPA Comprehensive Administrative Review For Grants/Cooperative Agreements & Continuation/Supplemental Awards form.

Approval indicates, in the reviewer's opinion, questions I – VI of Form 4700-4 comply with the preaward administrative requirements for EPA assistance.

### "Burden Disclosure Statement"

EPA estimates public reporting burden for the preparation of this form to average 30 minutes per response. This estimate includes the time for reviewing instructions, gathering and maintaining the data needed and completing and reviewing the form. Send comments regarding the burden estimate, including suggestions for reducing this burden, to U.S. EPA, Attn: Collection Strategies Division (MC 2822T), Office of Information Collection, 1200 Pennsylvania Ave., NW, Washington, D.C. 20460; and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

The information on this form is required to enable the U.S. Environmental Protection Agency to determine whether applicants and prospective recipients are developing projects, programs and activities on a nondiscriminatory basis as required by the above statutes and regulations.



# New Jersey Environmental Infrastructure Financing Program



## CWSRF Benefits Reporting (CBR)

### A. Loan Information

Borrower:

Is this project continued funding for a phased project? Yes  No

Is this project entirely funded by CWSRF? Yes  No

Loan Execution Date:

Loan Amount:

Loan No.:

If Yes, Phase No.:      Original Loan No:

If No, what % is CWSRF Funded?

Is Hardship Assistance Provided? Yes  No

Effective Interest rate:

### B. Project Information

*If there is more than one project, please use an additional CBR form per project.*

Project Name:

Facility Name:

Project Description:

Population Served by the Project:

Construction/Project Start Date:

Population Served by the System:

Initiation of Operation/Project Completion Date:

Borrower Population:

**Resubmit form when actual dates are available.**

### C. Needs Categories

		Funded amount	% of loan
<b>Point Source Needs Categories</b>			
<input type="checkbox"/>	I - Secondary Treatment	\$	
<input type="checkbox"/>	II – Advanced Treatment	\$	
<input type="checkbox"/>	III-A – Infiltration / Inflow Correction	\$	
<input type="checkbox"/>	III-B – Sewer System Rehabilitation	\$	
<input type="checkbox"/>	IV-A – New Collector Sewers and Appurtenances	\$	
<input type="checkbox"/>	IV-B – New Interceptors and Appurtenances	\$	
<input type="checkbox"/>	V – Combined Sewer Overflow Correction	\$	
<input type="checkbox"/>	VI – Storm Water Control	\$	
<input type="checkbox"/>	X – Recycled Water Distribution	\$	
<b>Nonpoint Source Needs Categories</b>			
<input type="checkbox"/>	VII-A - Agriculture Cropland	\$	
<input type="checkbox"/>	VII-B - Agriculture Animals	\$	
<input type="checkbox"/>	VII-C - Silviculture	\$	
<input type="checkbox"/>	VII-D - Urban, excluding decentralized systems	\$	
<input type="checkbox"/>	VII-E - Ground Water, unknown source	\$	
<input type="checkbox"/>	VII-F - Marinas	\$	
<input type="checkbox"/>	VII-G - Resource Extraction	\$	
<input type="checkbox"/>	VII-H - Brownfields	\$	
<input type="checkbox"/>	VII-I - Storage Tanks	\$	
<input type="checkbox"/>	VII-J - Sanitary Landfills	\$	
<input type="checkbox"/>	VII-K - Hydromodification	\$	
<input type="checkbox"/>	VII-L - Individual / Decentralized Systems	\$	
<b>Total =</b>		<b>\$</b>	

### D. Does Project Include Green Project Reserve (GPR) Funding? Yes No *If No, skip this section & go to E.*

Green Funding is classified as:	Funding Amount
<input type="checkbox"/> Green Infrastructure	\$
<input type="checkbox"/> Energy Efficiency	\$
<input type="checkbox"/> Water Efficiency	\$
<input type="checkbox"/> Green Innovative	\$
<b>Total Green Funding</b>	<b>\$</b>



# New Jersey Environmental Infrastructure Financing Program



## CWSRF Benefits Reporting (CBR)

E. Discharge Information <i>check applicable box (s)</i>			
<input type="checkbox"/>	Ocean Outfall	<input type="checkbox"/>	Land Application
<input type="checkbox"/>	Estuary/Coastal Bay	<input type="checkbox"/>	Other/Reuse
<input type="checkbox"/>	Wetland	<input type="checkbox"/>	Eliminates Discharge
<input type="checkbox"/>	Surface Water (Stream, River, Lake)	<input type="checkbox"/>	No Discharge (Nonpoint source or stormwater management project associated with no discharges)
<input type="checkbox"/>	Groundwater	<input type="checkbox"/>	Seasonal Discharge

Wastewater Volume for Project:		for System:		Eliminated/Conserved by Project:	
NJPDES Permit Number:		No NJPDES Permit <input type="checkbox"/>		Other Permit Type:	
				Other Permit Number:	

*(If project is a sewage collection system, enter NJPDES Permit Number of Sewage Treatment Plant that collection system is tributary to)*

F. Affected Waterbodies			
Waterbody Type	Waterbody Name	Waterbody HUC 14 Number	Receiving Waterbody
Primary Impacted			<input type="checkbox"/>
Other Impacted			<input type="checkbox"/>
<b>OR Enter Discharge Location in Decimal Format</b>			
Latitude:		Longitude:	Radius in Miles:
Location Description:			

G. Project Location			
Address Line 1:		City:	
Address Line 2:		9 digit zip code:	
Congressional District(s) – Add Primary first - this is at the project location:			

H. Project Improvement / Maintenance of Water Quality (check one per row)					
Contributes to water quality:	<input type="checkbox"/> Improvement	<input type="checkbox"/> Maintenance	<input type="checkbox"/> Not Applicable		
Allows the system to:	<input type="checkbox"/> Achieve Compliance	<input type="checkbox"/> Maintain Compliance	<input type="checkbox"/> Not Applicable		
Affected waterbody is:	<input type="checkbox"/> Meeting Standards	<input type="checkbox"/> Impaired	<input type="checkbox"/> Threatened	<input type="checkbox"/> Not Assessed	<input type="checkbox"/> Not Applicable
Allows the system to address (check one if applicable):	<input type="checkbox"/> Existing TMDL	<input type="checkbox"/> Projected TMDL	<input type="checkbox"/> Wastewater Management Plan (WMP)		

I. Designated Surface Water Uses:		
<i>Check all that apply</i>	<i>Check only one of the four boxes in a row with the use also checked</i>	
	Protection:	Restoration:
<input type="checkbox"/> Primary & secondary contact recreation	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary
<input type="checkbox"/> Secondary contact recreation	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary
<input type="checkbox"/> Maintenance & migration of fish populations	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary
<input type="checkbox"/> Maintenance of wildlife	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary
<input type="checkbox"/> Migration / propagation of natural / established biota	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary
<input type="checkbox"/> Migration of diadromous fish	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary
<input type="checkbox"/> Agricultural water supply	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary
<input type="checkbox"/> Industrial water supply	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary
<input type="checkbox"/> Cranberry bog water supply / other agricultural uses	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary
<input type="checkbox"/> Public potable water supply (drinking water)	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary
<input type="checkbox"/> Shellfish harvesting (N.J.A.C. 7:12)	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary
<input type="checkbox"/> Cold water fishery	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary
<input type="checkbox"/> Warm water fishery	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary
<input type="checkbox"/> Any other reasonable uses	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary	<input type="checkbox"/> Primary <input type="checkbox"/> Secondary



# New Jersey Environmental Infrastructure Financing Program



## CWSRF Benefits Reporting (CBR)

### J. Other Uses and Outcomes

<i>Check all that apply</i>	<i>Check only one of the four boxes in row with box at left also checked</i>			
	Protection:		Restoration:	
<input type="checkbox"/> Infrastructure Improvement	<input type="checkbox"/> Primary	<input type="checkbox"/> Secondary	<input type="checkbox"/> Primary	<input type="checkbox"/> Secondary
<input type="checkbox"/> Regionalization / Consolidation	<input type="checkbox"/> Primary	<input type="checkbox"/> Secondary	<input type="checkbox"/> Primary	<input type="checkbox"/> Secondary
<input type="checkbox"/> Water Reuse / Recycling / Conservation	<input type="checkbox"/> Primary	<input type="checkbox"/> Secondary	<input type="checkbox"/> Primary	<input type="checkbox"/> Secondary
<input type="checkbox"/> Groundwater Protection	<input type="checkbox"/> Primary	<input type="checkbox"/> Secondary	<input type="checkbox"/> Primary	<input type="checkbox"/> Secondary
<input type="checkbox"/> Drinking Water Supply (e.g. groundwater source)	<input type="checkbox"/> Primary	<input type="checkbox"/> Secondary	<input type="checkbox"/> Primary	<input type="checkbox"/> Secondary
<input type="checkbox"/> Other Public Health / Pathogen Reduction	<input type="checkbox"/> Primary	<input type="checkbox"/> Secondary	<input type="checkbox"/> Primary	<input type="checkbox"/> Secondary
<input type="checkbox"/> Wetland Restoration	<input type="checkbox"/> Primary	<input type="checkbox"/> Secondary	<input type="checkbox"/> Primary	<input type="checkbox"/> Secondary
<input type="checkbox"/> Security	<input type="checkbox"/> Primary	<input type="checkbox"/> Secondary	<input type="checkbox"/> Primary	<input type="checkbox"/> Secondary
<input type="checkbox"/> Industrial	<input type="checkbox"/> Primary	<input type="checkbox"/> Secondary	<input type="checkbox"/> Primary	<input type="checkbox"/> Secondary
<input type="checkbox"/> Other	<input type="checkbox"/> Primary	<input type="checkbox"/> Secondary	<input type="checkbox"/> Primary	<input type="checkbox"/> Secondary

### K. Project Comments:

### L. Contact Information

Name of person who filled out form:	
Title / Organization or Company:	
Phone number of this person:	
E-mail address of this person:	
Digital signature of this person:	

Submit form to:  
 CBR\_Form@dep.state.nj.us

Definitions and additional information about CBR can be obtained at: <http://66.148.13.226/CWBenefits/Help/Help.htm>  
 This web site is maintained by North Bridge Environmental for USEPA

This Form must be submitted by e-mail prior to escrow closing.