Discussion with Albert Shelton 7/18/11

The Hydroxyl unit wasn't getting aeration due to a broken belt on the air pump. Al put on two new belts and tightened the hose clamps on the pipe going to the Hydroxyl unit.

Trash in the top part of the Hydroxyl unit is manually flushed out. The PLC used to take care of this periodically.

The liquid exiting the racetrack goes thru the small shredder pump under the south walkway. A filter cannot be used due to frequent clogging. We need another pump there as backup.

The Avalon board must initiate the clean-out of the racetrack. Bowman is not equipped with the equipment needed, which includes a vacuum truck. A mechanical screen (~$40,000) would keep the trash out of the racetrack. [The "scum" on the surface is thick and substantial.] The racetrack needs three aerators to keep the liquid circulating.

The on-site records are kept at the south end of the Hydroxyl unit on the east side. On each visit, Al records residual chlorine and total gallons of effluent.

The PLC was damaged by surge. It is in two or three pieces atop the south control panel inside the Hydroxyl unit. Al said lightning struck the power pole. When the former operator left, he took with him the (programmer or terminal?) used to interrogate and program the PLC.

The telephone line is no longer used. It used to connect to the PLC so that we could have SCADA capability.

Al did not readily consider relieving the stress on the south clarifier tank. He spoke of replacing them due to the plastic seams leaking and to their small size. See "suggestions" below.

Al's suggestions on meeting effluent standards:

- He says we should replace the two plastic clarifiers with three concrete ones, each having a capacity of 1500 gallons. This would improve our readings of TSS. Right now, we could not pass a test of fecal matter.
- Check all brick manholes for infiltration when it has come a big rain.
- Do a smoke test of the collection system.

Al adjusts flow rate to the Hydroxyl by tweaking a pinch valve on the north end of the Hydroxyl unit.

If you repair the yard light, you will get lots of bugs into the liquid, and that will raise your BOD.

September 15, 2011

Avalon Water Supply and Sewer Service

PO Box 246
Itasca, TX 76055
254-687-2332

President: Patsy Russell 972-627-3284
Vice Pres: John Goodwyn 972-627-0185

Mr. David Bowman
BOWMAN H2O
801 S. Files St.
Itasca, Texas 76055

SUBJECT: Termination of Contract

Dear Mr. Bowman:

Avalon Water/Sewer hereby gives 30-day notice that we are terminating our contract effective October 15, 2011, 5:00 PM.

We look forward to working constructively with BOWMAN H2O for the remainder of the contract, and in transferring to Avalon Water/Sewer any records related to the sewer plant operation. Of special interest are those records that TCEQ requires to be kept on hand.

Please contact either me or John Goodwyn with any questions you may have.

Sincerely,

Patsy Russell, President

John Goodwyn, Vice President

PLANT OPERATION & MAINTENANCE

1. Dean is responsible for taking samples, recording data, and submitting a full DMR by the 20th of each month.
2. Who is responsible for giving Gregg direction on plant maintenance?
3. Who decides when to turn the Hydroxyl plant back on? It has been off for three weeks (since Oct. 26).
4. Who decides what equipment to buy for the present plant? Who gets TCEQ permission to modify the plant?

TASK ORDERS

- #1. Doing **rounds**
- #2. Make sure TCEQ gets our complete **DMRs** (with chlorine readings) on time (postmarked by the 20th), and send me a copy.
- #3. Communicate with Karen Smith on her concerns (or your questions) about the **operation of the plant**: sludge handling, use of the emergency pond, being off-line during repairs, and such.
- #4. Assist Gregg when he **needs assistance**: plant repairs, plant improvements, his safety.

ENFORCEMENT

1. Who is going to track the deadlines and keep on schedule?
2. What things remain to be corrected?
3. Who will write Progress Reports to tell Enforcement about the violations we are addressing?

PERMIT

1. Who will inform Dex Dean as to what we are doing so he will extend the present permit? He hasn't heard from us since our visit three weeks ago (Oct. 26).
2. Who else in TCEQ needs to be informed about our plans for a new plant? (Vahora, Herrin, Ibarra?)
3. When is the Letter of Intent due and what will we say in it?

PLANT EXPANSION

1. Who is going to decide what system to build?
2. How much can we afford?
3. Which engineering firm are we going to use?

= =

Various Individuals Involved

Patsy Russell
John Goodwyn
Dean Carrell

Ben Shanklin

TCEQ, FORT WORTH
Jorge Ibarra, TCEQ Enforcement........assigned to our Enforcement Case
Greg Diehl, TCEQ Inspector................assigned only to our July violations
Karen Smith, TCEQ Inspector.............our regular inspector

TCEQ, AUSTIN
Dex Dean....................in charge of our permit renewal. Wants a letter of intent
Firoj Vahora................rules specialist
Louis Herrin III............professional engineer. He suggested the Land Application

Good afternoon Patsy and John,

To follow my best judgment I feel I must address a couple issues with the two of you, as part of my Management Duties is to protect the Avalon Board of Directors.

We got word of notice for a special called meeting concerning the sewer system and there are a couple of items on the agenda I would like to address:

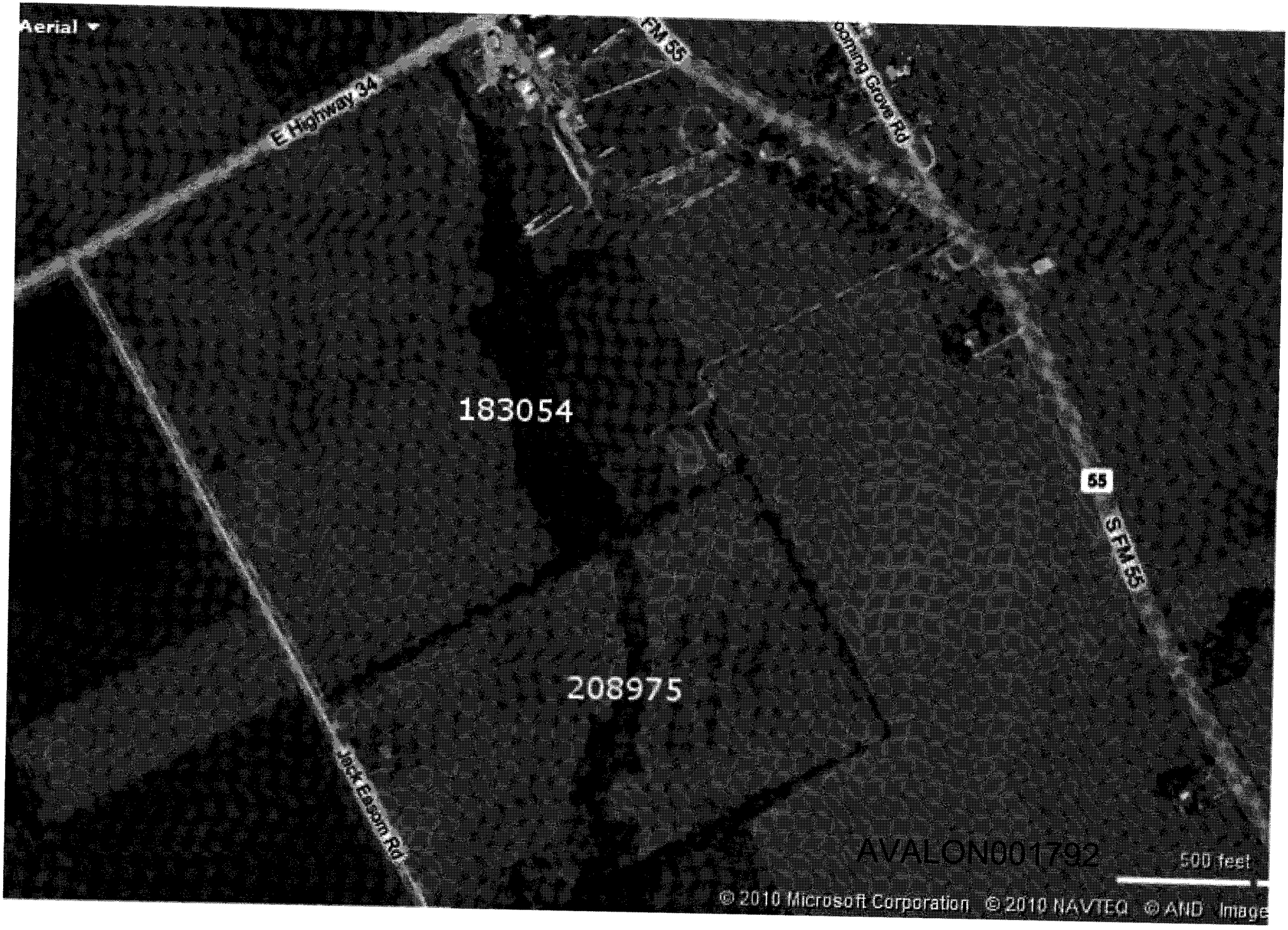
1. It is my understanding Dean Carrell is a contractor, if my understanding is correct, contractors do NOT have job descriptions or they become employees. There needs to be a signed contract between Mr. Carrell and the board detailing what duties are expected of him. I would hope that the board required certain criteria of Mr. Carrell before entering into an agreement with him, bonding, insurance, etc. You should never supervise a contractor on a day to day basis, he should only be given work orders and then his work inspected. This insures there is always a separation between the WSC and the contractor. Unfortunately if you are performing day to day supervision of his work and something happens then you could be held liable. This is why I am so careful not to supervise the day to day functions of Gregg, as he is an Avalon employee and not a HILCO employee.

2. If the Board Members begin handling day to day duties they become employees and are NOT covered under the D&O insurance.

3. Avalon has invested a lot of time and money communication with Childress Engineers and while HILCO has no gain one way or the other as to what engineer you use for the project, I do not see any benefit at all for changing engineering firms at this time as you are still going to face the issue of acquiring a buffer zone for the overflow etc.

I am not trying to interfere with your business, but I do feel a responsibility to point out these issues. I wish you a successful meeting.

Debbie Cole


Aerial
E Highway 34
FM 55
Cotton Grove Rd
183054
208975
55
SFM 55
Jack Eason Rd
AVALON001792
500 feet
© 2010 Microsoft Corporation © 2010 NAVTEQ © AND Image

Avalon Permit (Expires 12/01/2011)

1. Flows

25,000 GPD..... daily average flow
51 GPM (73,440 GPD) ..... two-hour peak (New application asks for only 25,000 GPD)

Effluent Characteristic	Discharge Limitations				Minimum Self-Monitoring Requirements Report Daily Average and Maximum	
	Daily Avg. (mg/L (lbs./day)	7-day Avg. (mg/L)	Daily Max. (mg/L)	Single Grab (mg/L)	Measure Frequency	Single Grab Sample Type
Flow, MGD	Report	N/A	Report	N/A	Five/week	Instantaneous
BOD_5	20 (4.2)	30	45	65	One/week	Grab
TSS	20 (4.2)	30	45	65	One/week	Grab
Ammonia Nitrogen	Report (Report)	N/A	N/A	Report	One/week	Grab

For Comparison, The Standard Limits for Stabilization Ponds

Effluent Characteristic	Discharge Limitations				Minimum Self-Monitoring Requirements Report Daily Average and Maximum	
	Daily Avg. (mg/L (lbs./day)	7-day Avg. (mg/L)	Daily Max. (mg/L)	Single Grab (mg/L)	Measure Frequency	Single Grab Sample Type
Flow, MGD	Report	N/A	Report	N/A	Five/week	Instantaneous
BOD_5	30	45	70	100	One/Week	Grab
TSS	90	--	--	--	One/week	Grab
Ammonia Nitrogen	Report Report	N/A	N/A	Report	One/week	Grab

DO MIN: 4.0

2. Disinfection

The effluent shall contain a chlorine residual of at least 1.0 mg/L and shall not exceed a chlorine residual of 4.0 mg/L after a detention time of at least 20 minutes (based on peak flow), and shall be monitored five times per week by grab sample. An equivalent method of disinfection may be substituted only with prior approval of the Executive Director.

3. pH

The pH shall not be less than 6.0 standard units nor greater than 9.0 standard units and shall be monitored once per month by grab sample.

4. Solids/Foam

There shall be no discharge of floating solids or visible foam in other than trace amounts and no discharge of visible oil.

5. Effluent Sample Source

Effluent monitoring samples shall be taken at the following location: Following the final treatment unit.

6. Dissolved Oxygen

The effluent shall contain a minimum dissolved oxygen of 4.0 mg/L and shall be monitored once per week by grab sample.

2010-12-07 Avalon's Questions sent email by John G. 12/7/2010 (large type)
Answers Sent back by Ben Shacklin on 12/9/2010 (small type)

LAND

We have a problem with obtaining land.

- The owners of the land north and west of the plant are very much opposed to selling any land, and are not open to negotiation.
- The land east of the plant might be obtainable, but only after all other possibilities have been exhausted. This approach would bring the plant closer to the seller's house.
- The land south of the plant is up for sale. Two board members have asked the seller to sell us about four acres, but he is not interested in selling a fraction. We have told the realtor that we would like to buy from the new owner, time permitting. This land is several feet lower than the plant.

Q-01. Can we use the land south or east of the plant, if obtainable?

Q1. North of the plant will work best because of the incoming lines, the grade is slightly higher and we can utilize the same discharge point physically as well as the same coordinates on the permit. We can use the south or east; it will just require a little more work and some additional cost. The south will require some fill while the east will require more cut. The south will require a new discharge point while the east can utilize the same discharge point. In order to utilize the lagoon as an EQ basin for a new plant east, then the lines would have to come to the lagoon with a lift station and then pump back east to the head of the new plant. For property to the south, we would move the lift station over to the south side of the lagoon. Also, we have received the Environmental Report that has been reviewed by the state and federal agencies that shows either the existing site or the new site to the north. If we are considering the south or the east property, then we need the report to be revised on all of the descriptions and all of the exhibits showing the east and south areas and sent back thru the agencies for review prior to submittal to USDA - RD.

North best: incoming lines, higher land, same discharge point, same coordinates on permit.
South will require some fill. New discharge point. Move lift station.
East: same discharge point. Need lift station to the lagoon. Then pump back east to the new plant.

South or east: Env. Report has been reviewed by state and federal. Would have to resubmit it for approval.

Q-02. Why does each proposed type of plant require 4 acres? For example, the extended aeration plant calls for 4 acres in the cost tabulation, but the physical layout drawing shows the new plant sited on the land we already own.

Q2. For simplicity, the required area for a new plant on a new site was rounded to 4 acres. The exact required area of a new site will vary depending on which side it is and how the buffer zone fits with it.

Q-03. Can we build over the west lagoon? The influent could come into the east lagoon (equalization basin), flow (or be pumped) to the new plant built over the west lagoon, and then flow to the existing outfall. The existing plant could continue to operate during construction/installation.

Q3. It is possible to build over the west lagoon. However, you must drain it, clean out all sludge, over-excavate the bottom of it and replace it with a structural fill to build on, or utilize some drilled piers, spread footings or similar foundation to prevent settlement. That will increase the construction cost. How much, I'm not sure at this point. But, I was thinking that the land surrounding the plant was relatively inexpensive; maybe less than $10,000 per acre?

EQUALIZATION BASIN

Q-04. If we implement a three-day equalization basin (Page 16), can we lower the peak capacity? I cannot decide if all proposed plants would employ a large equalization basin.

Q4. With the large equalization basin, we have already reduced the peak capacity. We are using a 2 times peaking factor for the new plant with equalization in lieu of a 5 to 6 times peaking factor that is what we think the actual is. The actual cannot be accurately determined because during high flows, the headworks basically bypasses unmetered to the old lagoon.

Q-05. If we have a three-day equalization basin, can we drop the auxiliary power unit? Paragraph 4 on Page 10 of the Permit states "... by means of alternate power sources, standby generators, and /or *retention of inadequately treated wastewater.*"

Q5. We are required to aerate the equalization basin to keep it from going septic. So, in our opinion, we still need the emergency generator.

NITROGEN REMOVAL

Q-06. If we go with the new oxidation ditch plant, and later are required to add equipment to remove nitrogen, where would the new equipment be inserted in the process: at the end of the process or somewhere in the middle (please state)?

Q6. If we have to remove nitrogen (on a future permit requirement) with a new oxidation ditch plant, we would probably recommend that a space between the ditches and the clarifier was made available to install another ditch that we would keep anoxic to remove nitrogen or add another type of tertiary treatment unit to remove the nitrogen.

ON-GOING EXPENSES

Q-07. The proposed SBR includes a cost of $55,000 for painting (or coating). When we need to repaint the plant, say in ten years, should we expect to spend that much or more, or is there some special cost associated with the initial painting?

Q7. It appears that the estimate that you are quoting $55,000 for painting is noted on the Circular Extended Aeration Plant (Appendix I 2.1). In review $55,000 seems high for painting and it will probably be more on the order of $30,000 to $40,000 for onsite blasting and painting. We think the $55,000 number came from a supplier and is rather high. But, the circular plant is erected onsite, and blasted and coated onsite. It is not shop fabricated and painted at a shop and hauled to the location as the Rectangular Aeration and SBR units are.

Q-08. Can you give us an idea of relative power consumption among the four proposed plants?

Q8. We began to calculate the power consumption for the three (3) different processes (oxidation ditch, extended aeration and SBR). But, then we got hung up on what percentage of the time certain blowers, pumps etc. would be running and we didn't have enough data to know we were comparing apples to apples. The bottom line answer at this stage of the game is that the extended aeration plants will use more electricity than the other two, and the oxidation ditch and the SBR units will be close to one another. If you need a more detailed answer than that, it will take some time and we have to make some assumptions of how your operator will operate the plant.

If you need additional information, please let me know.

Ben

John Goodwyn, VP
Avalon Water & Sewer
home: 972-627-0185
12/07/2010

2011-01-12 Avalon's Questions Regarding Expansion of Wastewater Plan

Submitted via email by John Goodwyn, VP Avalon W&S

Land Purchase and Easements

Q-09. On the color drawing titled "Land and Buffer Zone Requirements", there is a label "Proposed 20' effluent line easement". We already have an easement in that area but it is only 10' wide. Are you proposing that we widen the present easement?

Q-10. If we do not build on the north side, I assume that we will still need to obtain an easement there as represented by the cross-hatched rectangle. The length of the rectangle is approximately 285'. If we use the east lagoon as an equalization basin, won't we need to extend the rectangle westward by approximately 62' in order to maintain a 150' buffer zone around the northwest corner of the east lagoon?

Plant Location

Q-11. The SBR plant should be easier to install since it comes as a package. The Circular Aeration plant would be built on site, yet the layout drawing shows it built over the existing Hydroxyl plant. So, if the Circular Aeration plant can be built there, wouldn't it be easier to put the SBR there?

Inflow Meter

Q-12. None of the schematic diagrams shows a meter on the line bringing in the raw sewage, but I see a "Flume Device" listed in the cost tables. Will the existing Parshall Flume be reworked and used on the chosen plant?

Lagoon Used as an Equalization Basin

Q-13. The Extended Aeration plant includes a 750,000 gallon capacity equalization basin, which would hold excess inflow until it could be processed. But the proposed Oxidation Ditch plant does not appear to have an equalization basin. Its 100,000 gallon racetrack will typically be partially filled, so it will not provide much room to hold large infiltrations during heavy rains. What provision is there to prevent overflows during such rains?

Q-14. Our main problem is with too much inflow during heavy rains, so most of the proposed WWTPs use one of the existing lagoons as an equalization basin. An experienced wastewater man who has frequent contact with TCEQ tells me that within the next five years TCEQ will mandate the elimination of all lagoons even if they are used as equalization basins. If this is true, our main problem will return despite a large expenditure. What do your sources tell you about this?

#1. my choice. 1104 pages, ©1998

Small & Decentralized Wastewater Management Systems (Hardcover)

ISBN 0-07-289087-8

by Ron Crites, George Tchobanoglous

$155 used other used: $115.

3 new from $194.97

10 used from $127.57

#2.

Wastewater Treatment Plants: Planning, Design, and Operation, Second Edition [Hardcover]

Syed R. Qasim A bit dated, perhaps.

#3.

Upgrading wastewater treatment plants **$159 new. I paid $46.47 plus $3.99 s&h**

It isn't impressive, so $46 was about right.

Glen T. Daigger, John A. Buttz. Lancaster, Pa. : Technomic Pub. Co., c1998.

Edition: 2nd ed.
Subject: Sewage disposal plants -- Upgrading.
Genre/Form: Electronic books.
Description: xvi, 243 p. : ill. ; 24 cm.
Series: Water quality management library ; v. 2
Bibliography: Includes bibliographical references and index.
Reproduction: Electronic reproduction. Boulder, Colo. : NetLibrary, 2001.
Added Author: Buttz, John A.
NetLibrary, Inc.
Other Form: Original (DLC) 98085379
ISBN: 0585342822 (electronic bk.) : $99.95
1566766443 (v. 2)
Voyager Control No. 833175

#4.

Books 1988 **Instrumentation handbook for water and wastewater treatment plants /** Robert G. Skrentner

#5.

Too big and duplicating??

Wastewater Engineering: Treatment and Reuse - Hardcover (Mar. 26, 2002) watch date
by George Tchobanoglous, Franklin L. Burton, and H. David Stensel
Buy new: $151.92
29 new from $146.95
20 used from $150.18
Other Formats: Paperback

#6. Both water & sewer. For Operators

Handbook of Water and Wastewater Treatment Plant Operations, Second Edition [Paperback]
Frank R. Spellman (Author)
©2008, I think. It's for operators – not for designing or building plants. Has a lot of stuff related to electricity, magnetism, refrigeration.

ISB Number-13: 978-1-4200-7530-4 (Softcover)
› Visit Amazon's Frank R. Spellman Page
List Price: $139.95
Price: $94.56 & this item ships for FREE with Super Saver Shipping. Details
Ships from and sold by Amazon.com. Gift-wrap available.

11 new from $94.56
6 used from $122.92

#7. Land Treatment Systems for Municipal and Industrial Wastes

Mcgraw-Hill Professional Engineering) [Hardcover]
Ronald Crites (Author), Sherwood Reed (Author), Robert Bastian (Author)
? Publication Date? Size of book, no. of pages?

Available from these sellers.

3 new from $53.99, 5 used from $38.00

Avalon Wastewater Plant Upgrade

FIRM/PERSON	Source of Firm/Person
Benjamin S. Shanklin, P.E. Childress Engineers (construction expertise) Texas Registered Engineering Firm F-702 211 N. Ridgeway Dr., Cleburne, Texas 76033 Phone: 817-645-1118 ext. 24 Fax: 817-645-7235	On our project
Flowers & Leist, Inc. (wastewater expertise) Texas Firm No. F-9676 6737 Brentwood Stair Rd., Ste 224 Ft. Worth, Texas 76112 P: 817-496-4341 F: 817-496-9335 info@f-linc.com	On our project
Grant Writing Glendening & Associates (Tim Glendening) 5021 Trail Lake Drive Plano, Texas 75093 Phone: 972-398-9424 Fax: 972-398-9421 Todd: 972-849-5810	referred by Ray Loveless
Knowledgeable, experienced wastewater man Dean (?) Carrell 214-491-9158 Lives near Greenville, TX Runs Italy Public Works	referred by Ray Loveless
John Ray, water lawyer ~ Successor to Jim Pitts	referred by Ray Loveless
Duff Engineering – AVOID!	- - - - - -
Ray Loveless, Manager South Ellis County WSC 109 W. Main St PO Box 348 Italy, TX 76651 972-483-6885 office 8-11 am; 1-3 pm 972-897-8215 Ray Loveless cell phone secwsc@global.net	
Jeff Rivers 940.231.8061	

Time Line

Late August each year.... Make sure the annual sludge report is sent to both Central and Regional offices by September 1.

Legal Documents

Codes:

S sewer
W1 well #1

Type:

D deed
E easement

GRANTED TO AVALON

Code	Vol	Pg	Type	Year	
S	399	290	D		Feaster-Youngblood 17.6 acres
S	345	10	D		Worthy 144 acres east of sewer plant
S	471	70	D		Gillespie 40.5 acres (before the sewer plant was built)
S	545	667	E		Worthy 20' x 140' easement
W1	545	670	E	1970	Easement to Avalon W&S from Youngblood downtown
S	545	673	D	1970	C R Feaster/Youngblood 1000' road easement
S	545	676	D	1970	Avalon Sewer. 3.564 acres (sewer plant)
?	545	695	E	1970	C R Youngblood 134.32 acres
?	545	697	E	1970	C R Youngblood
S	545	723	E		10' wide effluent on Gillespie
S	545	742	E	1969, 70	F J & Fannie Wakeland 100' x 140'
S	545	768	E	1969, 70	C R & Myrtle Youngblood, ECSL
W1	574	795	D	1973, nov	Well #1 downtown.
?	591	549	E	1973, 75	Wakeland, BD & Daphne. 84 acres. (524-789)
?	591	550	E	1973, 75	Wakeland, Mrs. FJ. 172 acres. (291-236)
?	591	552	E	1973, 75	Wakeland, BD & Daphne. 214.18 acres (538-376)
?	591	564	E	1973, 75	Wakeland, BD & Daphne. 90 acres. (392-488)
?	592	399	E	1973, 75	Wakeland, Mrs. FJ. 1 acre (374-8)
?	592	812	E	1974, 75	Youngblood, CR & Myrtle. 393.79 acres ( )

Legal Documents

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S sewer
W1 well #1

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D deed
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S	545	673	D	1970	C R Feaster/Youngblood 1000' road easement
S	545	676	D	1970	Avalon Sewer. 3.564 acres (sewer plant)
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?	592	812	E	1974, 75	Youngblood, CR & Myrtle. 393.79 acres ( )

MONTHLY

old rate	new rate	INCREASES OVER PRESENT rate	# conn	yield	
30	99	69	92	6,348	monthly increase
				-	
				-	
				-	
40	240	200	2	400	
30	230	200	2	400	
125	525	400	1	400	
30	230	200	5	1,000	
30	80	50	82	4,100	
				6,300	monthly increase

Whole Month	Daily Average	Daily Maximum	Minimum last 3 mo.	Violate 90% rule
Jan. 2009	0.023	0.050	(daily avg.)	
Feb. 2009	0.023	0.043		
Mar. 2009	0.013	0.024	13,000	
Apr. 2009	0.021	0.029	13,000	
May 2009	0.020	0.028	13,000	
June 2009	0.015	0.025	15,000	
July 2009	0.017	0.023	15,000	
Aug 2009	0.011	0.036	11,000	
Sept. 2009	0.029	0.047	11,000	
Oct 2009	0.026	0.039	11,000	
Nov 2009	0.022	0.042	22,000	
Dec 2009	0.029	0.046	22,000	
Jan 2010	0.030	0.048	22,000	
Feb. 2010	0.023	0.049	23,000	yes!
Mar 2010	0.027	0.041	23,000	yes!
April 2010	0.012	0.052	12,000	

16 mo. Avg: 21,313

Permit:	
100%	25,000
75%	18,750
90%	22,500

Tell Dex Dean and others of the new operator

Go to Library and update the copy of the application. Include new operator. Include enforcement

Can I do BOD and TSS tests in order to more closely monitor effluent?

Read the Hydroxyl manual and decide which steps, when taken, will give the most payoff for the effort.

- ~~Clean out clarifiers, top and bottom.~~
- ~~Clean out racetrack.~~
- ~~Clean out sludge tank, if needed.~~
- ~~Inspect diffusers in the MBBR, and verify they are undamaged and in the right location.~~
- Clean out venturis, clean out FBBR, ~~return missing fixed media~~, and restore the two big pumps. Remove external air.
- Divert Hydroxyl external air to the racetrack.
- Restore recirculation pump at south end.
- Restore aeration in the first and last chambers; equipment is missing.

Power up the PLC and see what happens

Motorized valve is on the north wall in a prominent location.

When will we know if we should install aerators on the racetrack?

Update my spreadsheet to compute racetrack volume and to compute how much sewage has flowed in during the past 24 hours.

Go to Corsicana and talk to Cliff Nesmith over lunch.

What was Shanklin's estimate of cost for the new approach?
5/9/11 email $350,000, the sum of $150K for collection line rehab (after smoke test) and $225K for WWTP. BUT THE BOTTLENECK REMAINS: THE HYDROXYL UNIT.

What was the new approach?
Smoke test / TV test. Rehab collection lines to reduce peak flow. The actual proposal was not in an email to me; it was in a letter or email to Kent Smith. I heard about it from Kent during a board meeting. The best I remember, it consisted of converting the south end of the east storage pond into an aerated equalization basin, then sending the sewage to our present Hydroxyl plant. This approach was based on the assumption that rehabbing our collection system would eliminate high peak flows and we could then stay under our permitted flow volume. As of August 27, 2011, it appears that our regular

flows during school days are just under 22,000 GPD. More analysis of the flows and equalization volumes will be done to get a better idea of how close we are during dry weather.

What does the application promise in the way of improvements?

- Page 2A: A PE has been retained to evaluate the emerg. pond liner; report due March 31, 2012.
- Page 2A: A PE and a prof. land surveyor have been retained to meet buffer zone requirements prior to March 31, 2012.

What do letters to TCEQ promise in the way of new construction and testing?

- Bowman's letter in 2010 included Childress' schedule showing us finishing a new plant in 2012.
- Albert Shelton's letter promised a smoke test before the end of 2010.

Take a look at the Forreston ponds to see if they remain clean.

Austin

What is the new e coli limit for a pond? 164 colonies per 100 ml (??) Not new.

Are ponds still allowed? Yes.

Tell Shanklin what kind of plant we want.

WHAT TO DO ABOUT CERTIFING THE PERMEABILITY OF THE LAGOON(S)

START GETTING BUFFER ZONES, 150 or 500 FEET.
Tommie Faye, 150'. Kennedy, 150' This is predicated on staying 150' south of Gillespie, and not buying any land from Kennedy.

GET MORE QUOTES ON CLEANING OUT THE RACETRACK!
Look in phone book.
Call other plant owners.

If I want to, get a quote on an ultrasonic meter Take measurements of P. flume first.

~~*Contact Bardwell and ask about their operation:*~~
~~*J.B. Lowry, home 972-646-5317, cell 972-824-0764*~~
~~send progress report to George Ibarra (cc: Greg) showing the new alarm on the lift station. Also, state that we have a USDA loan application (Russell Peckham).~~
~~Take the manual to Waxahachie and copy portions for Dean and Canada.~~

~~Call Bowman and ask him when we last submitted 222 sludge test.~~
~~Look for the motorized ball valve between a RFM1 and the SBBR.~~

~~Email Dex Dean and ask how much buffer we need around the emergency pond~~ **~~See the application: it follows the aerated/un-aerated rule.~~**

~~Give feedback to Headworks in Vancouver.~~

~~*Mark up the 3-ring binder and take it to Kate French at the library.*~~
~~Address the complaints of Carol Gillespie as stated in her email to TCEQ.~~
~~Write letter to Tommie Faye Worthy.~~

~~Copy permit for Dean Carroll. Copy 309.13 for four landowners.~~

~~Work with Childress and compile a list of promises to put into the permit. Send them to Dex.~~

~~Call Dex and ask about alternatives to easements, see if we can apply for 350' easement, with promise to aerate emerg lagoons. (What about long term use of lagoons? always aerated? Will they work?)~~
~~Ask Firoj about sludge disposal.~~
~~Can we change without 180 day notice? Look at rules.~~
~~Read the manual and see if there is a description of the diffusers in the MBB. We need to have the air more evenly spread out.~~
~~Look for some kind of liquid/air injection in PFM1 and PFM2. All air is supposed to be dissolved, at least while under pressure.~~
~~Read permit about sludge.~~
~~Call TCEQ and ask about drying sludge. What report when?~~
~~*Check Forreston compliance report as an example of a stabilization pond operation.*~~ No violations.

# of feet in vara: 2.7916
(for this case only)

Leg	Length Varas
A	348
B	661
C	344
D	661

Start at SW corner. Go CW

Due East is z
North & East

-30 Altering degrees

Original Gillespie

Leg	Length Feet	1st Dir	Veer deg	Veer min	Veer sec	2nd Dir
A	971.47	n	30.00	0.00	0.00	w
B	1845.23	n	59.00	0.00	40.00	e
C	960.30	s	30.00	0.00	0.00	e
D	1845.23	s	59.00	0.00	20.00	w

First Dir.	Absolute Degrees	Altered Degrees	Gains to North
90	120	90	971.47
90	30.98889	0.988889	31.85
-90	-60	-90.0000	-960.30
-90	-149.0056	-179.006	-32.02
			10.987

Due east is zero degrees

Altering degrees -30

North & East

Sewer Plant

Leg	Length	1st Dir	Veer deg	Veer min	Veer sec	2nd Dir
1	305.8	s	30.00	0.00	0.00	e
2	498.3	s	58.00	48.00	0.00	w
3	311.6	n	31.00	43.00	0.00	w
4	507.5	n	59.00	28.00	0.00	e

First Dir.	Absolute Degrees	Altered Degrees	Gains to North
-90	-60	-90	-305.80
-90	-148.8	-178.8	-10.44
90	121.7167	91.71667	311.46
90	30.5333	0.533333	4.72
			-0.05

	sewer	orig
E	88.800	89.006
S	89.483	90.994
W	91.1833	89.011
N	90.5333	90.989
	360.000	360.000

Feet
971.466
1845.228
960.300
1845.228

ero degrees
are positive

Gains to East	1st polarity	2nd polarity
0.00	1	1
1844.95	1	-1
0.00	-1	-1
-1844.95	-1	1

0.003	10.99 hypot.

are positive

Gains to East	1st polarity	2nd polarity
0.00	-1	-1
-498.19	-1	1
-9.33	1	1
507.48	1	-1

-0.05	0.07 hypot.

Small Business and Local Government Assistance Program
(for assistance in identifying potential funding sources)

REGION 4 – DFW
John Aquilino, CA, 817-588-5836
Tasha Burns, CA, 817-588-5868
Lynn Owens, CA, 817-588-5927

Texas Water Development Board
P.O. Box 13231, Austin, Texas 78711-3231

TWDB-0148
Prepared 01-05-11

APPLICATION FOR FINANCIAL ASSISTANCE

FOR WATER AND WASTEWATER INFRASTRUCTURE CONSTRUCTION

NOTICE TO ALL APPLICANTS

In order to make the process of applying for assistance smoother for our customers, this new application is comprehensive, covering all loan and grant assistance for water and wastewater infrastructure financing through the various TWDB programs. The format of the new application is intended to expedite the review process for both the applicant and TWDB staff.

Each applicant must submit **ONE** original with **SEVEN** copies, except where noted differently in the application, and **ONE** electronic copy, via electronic storage media such as CD or flash drive using MS Word, Excel or Adobe Acrobat to:

Texas Water Development Board
Project Finance
P O Box 13231
1700 N. Congress Avenue, 6th Floor
Austin, Texas 78711-3231
(78701 for courier deliveries)

Only **COMPLETE APPLICATIONS** for projects will be considered for funding. A **COMPLETE APPLICATION** consists of all of the applicable information and forms requested in this document.

IMPORTANT NOTICE

Applicants **MUST** use this form for application to ensure all requested information is included for review.

When preparing this application please review the Application and all Guidance and Forms, listed at the end.

TWDB Use Only

Name of Applicant: _____

Date application received: _____

Date administratively complete: _____

Contents

Please label each attachment with the number of the pertinent application section (i.e. "A5")

Part A. General Information

A1 Legal name of applicant, street and mailing addresses.

_____

A2 Brief description of project. _____

A3 List service area county(ies). _____

A4 Population of Applicant's total service area. _____

A5 Name, title, address, phone, fax numbers and email addresses of official representatives.

_____

A6 Names and titles of principal officers.

_____

A7 Name, address, phone and fax numbers, e-mail address and contact person for:

a) Project Engineer

_____

b) Bond Counsel

_____

c) Legal Counsel (if other than Bond Counsel)

_____

d) Financial Advisor

_____

e) Any other consultant representing the applicant before the Board

_____

f) Applicant's **primary contact person** for day-to-day project implementation.

_____

A8 Requesting funding from which programs? Check all that apply.

a) Drinking Water State Revolving Fund (DWSRF) ☐ $ _____

b) Clean Water State Revolving Fund (CWSRF) ☐ $ _____

c) Texas Water Development Fund (DFund) ☐ $ _____

d) State Participation ☐ $ _____

e) Rural Water Assistance Fund (RWAF) ☐ $ _____

Please label each attachment with the number of the pertinent application section (i.e. "A5")

f) Water Infrastructure Fund (WIF) ☐ $ _____

g) Economically Distressed Areas Program (EDAP) ☐ $ _____

h) If other please explain: _____ $ _____

A9 Amount of Funding:

a) Total amount of Funding Requested from TWDB $ _____

b) Total Project Costs (**including all sources**) $ _____

c) Any funds requested used for refinancing existing debt?

Yes ☐ No ☐ $ _____

If yes, provide documentation on existing debt.

Item attached Yes ☐ No ☐

d) Does your project include Green Components Yes ☐ No ☐

e) Total Amount of Green Project Component(s) $ _____

For further explanation see Part G – Green Projects

A10 Does the area served qualify as disadvantaged?

Yes ☐ No ☐

For further explanation see Part J – Guidance Part A for specific programs

Please label each attachment with the number of the pertinent application section (i.e. "A5")

A11 If additional funds are necessary to complete the project, or you have applied and/or received a commitment for any other funding agency for this project or any aspect of this project, funds over and above the amount requested in **A9** above, please provide a listing of those sources. Make sure to include: total project costs, financing sources and current status of the funding agreements.

Funding Source	Type of Funds (Loan/Grant)	Amount ($)	Date Applied for Funding	Funding Secured Date
Total Funding from All Sources		$		

Comments: _____

All applicants applying for funding from the CWSRF and DWSRF Programs must complete this section.

Pursuant to Federal Funding Accountability and Transparency Act (FFATA) the applicant will be required to:

1. Obtain a DUNS number that will represent a universal identifier for all federal funding assistance. DUNS numbers can be obtained from Dun and Bradstreet at http://fedgov.dnb.com/webform/;
2. Register with CCR and maintain current registration at all times during which the Board loan agreement is active or under consideration by the Board. Register at: http://www.ccr.gov/.

A12 Applicant's Central Contractor Registration (CCR) and Data Universal Number System (DUNS) Number:
CCR _____

DUNS _____

A13 Does applicant agree to maintain current CCR registration at all times during which a federal subaward is active or under consideration by the Board?
Yes ☐ No ☐

A14 Federal Funds requires the following information:

1. Did applicant receive over 80% of their revenue from Federal Awards last year?
   Yes ☐ No ☐
2. Did applicant receive over $25 million in Federal Awards last year?
   Yes ☐ No ☐
3. Public does not have access to executive compensation information via SEC or IRS reports?
   Yes ☐ No ☐

Please label each attachment with the number of the pertinent application section (i.e. "A5")

A15 If applicant checked **YES** to **ALL** three boxes above, applicant is required to disclose the name and compensation of the five most highly compensated officers.

Officer's Name	Officer's Compensation ($)

Please label each attachment with the number of the pertinent application section (i.e. "Part B5")

Part B. Financial Information

B1 List top ten customers of the water and wastewater system by revenue and with corresponding usage and percentage of total use, including whether any are in bankruptcy.

Water				
Customer Name	Annual Usage (gal)	Annual Billings ($)	Percent of Total Water Revenue	Bankruptcy (Y/N)

Comments: _____

Wastewater				
Customer Name	Annual Usage (gal)	Annual Billings ($)	Percent of Total Water Revenue	Bankruptcy (Y/N)

Comments: _____

Please label each attachment with the number of the pertinent application section (i.e. "Part B5")

B2 **Attach** a five year comparative system operating statement (not condensed) including audited prior years and an unaudited year-to-date statement, with number of customers for each year. Unaudited year-to-date statement must reflect the financial status for a period not exceeding the latest 6 months.

Item attached Yes ☐ No ☐

B3 Current average Residential Usage and Rate Information

Service	No. of Connections	Avg. Monthly Usage (gallons)	Avg. Monthly Bill ($)	Projected Monthly Increase Necessary ($)
Water				
Wastewater				

B4 **Attach** the water and wastewater rate structure covering each of the last three years (including commercial and industrial users)

Item attached Yes ☐ No ☐

B5 Describe procedures for collecting monthly customer bills (include procedures for collection of delinquent accounts)

_____

B6 **Attach ONE** copy of an annual audit including the management letter for the preceding fiscal year, prepared by a certified public accountant or firm of accountants and, if the last annual audit was more than 6 months ago, then, provide interim financial information.

Item attached Yes ☐ No ☐

B7 If financial assistance is in the form of a loan, all bonds are book-entry only. The applicant acknowledges that they are aware of and will abide by the Depository Trust Company participant requirements.

Yes ☐ No ☐

B8 Disclose all issues that may affect the project or the applicant's ability to issue and/or repay debt.

_____

B9 Has the applicant ever defaulted on any debt? Yes ☐ No ☐

If yes, disclose all circumstances surrounding prior default(s). _____

B10 **Attach** a listing of total outstanding debt. Segregate by type (General Obligation or Revenue) and present a consolidated schedule for each, showing total annual requirements (include any authorized but unissued debt).

Item attached Yes ☐ No ☐

Please label each attachment with the number of the pertinent application section (i.e. "Part B5")

B11 **Attach** the direct and overlapping tax rate table (regardless of pledge);

Item attached Yes ☐ No ☐

B12 Provide the last five-years of data showing total taxable assessed valuation including net ad valorem taxes levied and corresponding tax rate (detailing debt service and general purposes), and tax collection rate.

Fiscal Year Ending	Net Taxable Assessed Value ($)	Tax Rate	General Fund	Interest & Sinking Fund	Tax Levy $	Percentage Current Collections	Percentage Total Collections
20							
20							
20							
20							
20							

Comments: _____

B13 **Attach** the last five-years of Tax Assessed Values delineated by Classification (Residential, Commercial and Industrial)

Items attached Yes ☐ No ☐

B14 Provide the sales tax collection history for the past five years (regardless of pledge).

Fiscal Year Ending	Total Collections	Percentage of Ad Valorem Tax Levy	Equivalent of Ad Valorem Tax Rate	Per Capita
20				
20				
20				
20				
20				

Comments: _____

Please label each attachment with the number of the pertinent application section (i.e. "Part B5")

B15 Proforma:

a) If system revenues are anticipated to be used to repay the proposed debt, provide a proforma detailing:
   1. projected gross revenues
   2. operating and maintenance expenditures
   3. outstanding and proposed debt service requirements
   4. net revenues available for debt service and coverage of current and proposed debt paid from revenues.

b) If taxes are anticipated to be used to repay the proposed debt, provide a proforma indicating:
   1. the tax rate necessary to repay current and proposed debt paid from taxes
   2. list the assumed collection rate and tax base used to prepare the schedule

c) If a combination of system revenues and taxes are anticipated to be used to repay the proposed debt, provide a proforma detailing:
   1. projected gross revenues, operating and maintenance expenditures, net revenues available for debt service
   2. the tax rate necessary to pay the current and proposed debt

Item(s) attached Yes ☐ No ☐

B16 If you have taxing authority, provide the current top **ten** taxpayers showing percentage of ownership to total assessed valuation. State if any are in bankruptcy and explain anticipated prospective impacts in comments below.

Taxpayer Name	Assessed Value	Percent of Total	Bankruptcy (Y/N)

Comments: _____

AVALON001823

Please label each attachment with the number of the pertinent application section (i.e. "Part B5")

B17 Provide the maximum tax rate permitted by law per $100 of property value _____

B18 Provide any current bond ratings.

	Standard & Poor's	Moody's	Fitch
G.O.			
Revenue			

B19 Provide the following Community Information from the most current Census. This information may be found at: http://factfinder.census.gov/

a) Median Household income (MHI) _____
b) Unemployment rate _____
c) Percentage of area below poverty level _____
d) Median age of work force _____
e) Population _____
f) List 10 largest employers

Name	Number of Employees

Comments (example, any anticipated changes to the tax base, employers etc.) _____

B20 Does the applicant intend to utilize bond insurance for the loan?
Yes ☐ No ☐

B21 Does the applicant intend to use surety bonds in lieu of a cash reserve?
Yes ☐ No ☐

B22 Does the applicant intend to use any other credit enhancement?
Yes ☐ No ☐

Please label each attachment with the number of the pertinent application section (i.e. "Part C5")

Part C. Legal

C1 Citation to the specific legal authority in the Texas Constitution and statutes pursuant to which the applicant is authorized to provide the service for which the applicant is requesting financial assistance. _____

C2 Citation to legal authority under which debt is proposed to be issued including authority to make proposed pledge of revenues. _____

C3 Full legal name of the security for the proposed debt issue(s). Provide a full explanation of pledge being offered and existing rate covenants as well as relevant additional bonds requirements, reserve fund requirements or other requirements needed to ensure parity with other outstanding creditors.

_____

C4 For proposed revenue bonds, **attach** copies of the most recent resolution/ordinance(s) authorizing any outstanding parity debt. This is essential to insure outstanding bond covenants are consistent with covenants that might be required for TWDB financing.

Item(s) attached Yes ☐ No ☐

C5 **Attach** the resolution from the governing body requesting Financial Assistance. (WRD-201A - http://www.twdb.state.tx.us/pubs/wrd-201a)

Item attached Yes ☐ No ☐

C6 **Attach** the Application Affidavit (WRD-201 - http://www.twdb.state.tx.us/pubs/wrd-201)

Item attached Yes ☐ No ☐

C7 **Attach** the Certificate of Secretary (WRD-201B - http://www.twdb.state.tx.us/pubs/wrd-201b)

Item attached Yes ☐ No ☐

Please label each attachment with the number of the pertinent application section (i.e. "Part C5")

C8 **List and attach** copies of all draft and/or executed contracts for consultant services included in the total project costs and if applicable whether those contracts were awarded according to Disadvantaged Business Enterprises (DBE) rules.
For further explanation see Part H – Disadvantaged Business Enterprise Requirements

Consultant	Service Provided	Contract Attached (Y/N)	Awarded Using DBE rules (Y/N)	Contract Execution Date

C9 If the applicant is a Water Supply Corporation (WSC), **attach** copies of the following:
a) Articles of Incorporation
b) Certificate of Incorporation from the Texas Secretary of State evidencing that the current Articles of Incorporation are on file with the Secretary.
c) By-laws and any amendments
d) Certificate of Status (i.e. Certificate of Existence) from the Texas Secretary of State
e) Certificate of Account Status from the Texas Comptroller of Public Accounts (certifies that the WSC is exempt from the franchise tax and that the WSC is in good standing)

Item a) attached Yes ☐ No ☐
Item b) attached Yes ☐ No ☐
Item c) attached Yes ☐ No ☐
Item d) attached Yes ☐ No ☐
Item e) attached Yes ☐ No ☐

C10 If this project will result in: (a) an increase by the applicant in the use of groundwater, (b) drilling a new well to secure groundwater, or (c) an increase by the applicant in use of surface water, then the applicant must demonstrate that it has acquired – by ownership or lease – the necessary property rights, groundwater permits, and/or surface water rights to operate the project before funds can be released for construction.

a) Does the applicant currently own all the property rights, groundwater permits and surface water rights needed to operate this project?
Yes ☐ No ☐

If yes, please attach the completed, appropriate form.
a. WRD 208A (http://www.twdb.state.tx.us/pubs/wrd-208a) (Surface Water)
b. WRD 208B (http://www.twdb.state.tx.us/pubs/wrd-208b) (Groundwater)

Item a. attached Yes ☐ No ☐
Item b. attached Yes ☐ No ☐

AVALON001826

Please label each attachment with the number of the pertinent application section (i.e. "Part C5")

b) If all property rights, groundwater permits, and surface water rights, needed for this project have not yet been acquired, identify the rights and/or permits that will need to be acquired and provide the anticipated date by which the applicant expects to have acquired such rights and/or permits.

Type of Permit Water Right	Entity from which the permit or right must be acquired	Acquired by lease or full ownership	Expected acquisition date	Permit / Water Right ID No.

C11 Does the applicant possess a Certificate of Convenience and Necessity (CCN)? If yes, attach a service area map showing the areas to which it is allowed to provide water or wastewater services?

Yes ☐ No ☐ NA ☐

If Yes, is item attached Yes ☐ No ☐

If No, what is the status of the CCN? _____

If the area to be served is within the service are of a municipality or other public utility, has the applicant obtained an affidavit stating that the utility does not object to the construction and operation of the services and facilities in its service area?

Yes ☐ No ☐ NA ☐

If Yes, is item attached Yes ☐ No ☐

C12 Has the applicant obtained all necessary land and easements for the project?

Yes ☐ No ☐

If yes, the applicant must complete and attach a site certificate. (ED-101 - http://www.twdb.state.tx.us/pubs/ed-101)

Item attached Yes ☐ No ☐

AVALON001827

Please label each attachment with the number of the pertinent application section (i.e. "Part C5")

C13 If the applicant is applying for CWSRF Tier III or DWSRF, the applicant **must** complete form WRD 213 (http://www.twdb.state.tx.us/pubs/wrd-213). (Certification Regarding Lobbying)

Item attached Yes ☐ No ☐ NA ☐

C14 Does the applicant provide water supply or treatment service to another service provider, or receive such service from another service provider? If so, the applicant must provide at minimum the proposed agreement, contract, or other documentation establishing the service relationship, with the final and binding agreements provided prior to loan closing.

Yes ☐ No ☐

If yes, the applicant must **attach** the proposed or final agreements establishing that service relationship.

Item attached Yes ☐ No ☐

C15 Has the applicant been the subject of any enforcement action by the Texas Commission on Environmental Quality, the Environmental Protection Agency, or any other entity within the past three years?

Yes ☐ No ☐

If yes, **attach** a brief description of every enforcement action within the past three years and action(s) to address requirements.

Item attached Yes ☐ No ☐

All Economically Distressed Programs (EDAP) applicants must complete this section.
*Applications for EDAP will **not** be considered until the County has adopted and is enforcing the Model Subdivision Rules (MSRs) Tex. Water Code 16.343.* If the proposed project is within a municipality or its extraterritorial jurisdiction (ETJ), or if the applicant is a municipality, the municipality must also have adopted and be enforcing MSRs.

In accordance with TWDB Rules (31 TAC §363.) the MSRs must be completed prior to application being considered for approval.

C16 Does TWDB have a copy of the most recent subdivision plats and rules and a notarized copy of the attached affidavit from the County Judge and/or Mayor that certifies compliance with the MSRs?

Yes ☐ No ☐

If yes, when were the last plats, rules and affidavit submitted? _____

If no, MSRs will need to be adopted and TWDB will need copies of the rules approved by the city or county.

AVALON001828

Please label each attachment with the number of the pertinent application section (i.e. "Part C5")

C17 If financing is for a wastewater project is a copy of the resolution/ordinance establishing a mandatory hookup policy is required.

Item attached Yes ☐ No ☐

If no, please explain: _____

AVALON001829

Please label each attachment with the number of the pertinent application section (i.e. "Part D5")

Part D. Engineering Information

Applications for Pre-Design Funding (PDF) require a Preliminary Engineering Feasibility (PEFR) report. During the Planning Phase, a complete Engineering Feasibility Report which complies with TWDB-0555 or TWDB-0556 will be required. EDAP applicants must follow directives from the EDAP Facility Engineering Plan/Scope of Services.

D1 A complete PEFR must include:

a) A description and purpose of the project, including existing facilities.
   - Note: CWSRF and DWSRF must address issues scored in IUP submittal

b) A map of the service area and drawings as necessary to locate and describe the project.

c) A project schedule including proposed timing of funding needs for phases of the project. Schedule should include:
   - Estimated loan closing date
   - Estimated date to complete planning (environmental & engineering)
   - Estimated Planning and Environmental Design, beginning and ending construction dates.
   - Estimated number of proposed Construction Contracts.
   - Estimated Construction start date for first contract.
   - Estimated Construction end date for last contract.
   - EDAP and DWSRF applicants must complete a Projected Draw Schedule form (TWDB-1202)

d) A copy of current and future populations and projected water use or wastewater flows.
   - Include entities to be served

e) A description of alternatives the applicant has considered (or to be considered during detailed planning) and reasons for the selection of the project proposed.

f) Provide the most current itemized project cost estimate (include all costs and funding sources). Utilize the budget format provided.

Budget format (TWDB-1201 - http://www.twdb.state.tx.us/pubs/twdb-1201)
Projected Draw Schedule (TWDB-1202 – http://www.twdb.state.tx.us/pubs/twdb-1202)

A complete PEFR is **attached** Yes ☐ No ☐
- Must be sealed by a registered engineer.

EDAP applicants must attach an EDAP Facility Engineering Plan/Scope of Services report that complies with the requirements of WRD-023A (http://www.twdb.state.tx.us/pubs/wrd-023a).
Item attached Yes ☐ No ☐ NA ☐

D2 **If project is not for Pre-Design Funding, attach** an Engineering Feasibility Report that complies with the requirements of:

Wastewater: TWDB-0555 (http://www.twdb.state.tx.us/pubs/twdb-0555)
Item attached Yes ☐ No ☐ NA ☐

Water: TWDB-0556 (http://www.twdb.state.tx.us/pubs/twdb-0556)
Item attached Yes ☐ No ☐ NA ☐

Please label each attachment with the number of the pertinent application section (i.e. "Part D5")

All Wastewater applicants must complete D3.

D3 **Attach** a completed Wastewater Project Information Form (WRD-253a – http://www.twdb.state.tx.us/pubs/wrd-253a)

Item attached Yes ☐ No ☐

All Water applicants must complete D4.

D4 **Attach** a completed Water Project Information Form (WRD-253d – http://www.twdb.state.tx.us/pubs/wrd-253d)

Item attached Yes ☐ No ☐

D5 If applicable (CWSRF Tier III or DWSRF), **attach** the Preaward Compliance Review Report (EPA-4700-4 – http://www.twdb.state.tx.us/pubs/epa-4700-4)

Item attached Yes ☐ No ☐ NA ☐

D6 If applicable (CWSRF Tier III or DWSRF), **attach** the Certification Regarding Debarment, Suspension and Other Responsibility (SRF-404 – http://www.twdb.state.tx.us/pubs/srf-404)

Item attached Yes ☐ No ☐ NA ☐

D7 If complete, attach **ONE** copy of the Plans and Specifications for the proposed project. Complete Plans and Specifications must conform with and contain all documents required in the appropriate supplemental conditions forms, *TWDB – 0550 (http://www.twdb.state.tx.us/pubs/twdb-0550), 0551 (http://www.twdb.state.tx.us/pubs/twdb-0551), 0552 (http://www.twdb.state.tx.us/pubs/twdb-0552), 0553 (http://www.twdb.state.tx.us/pubs/twdb-0553)*. See *Summary of Attachments* for listing of forms, located at the end of this application in *Part I.*

Item attached Yes ☐ No ☐ NA ☐

D8 For wastewater projects that involve the construction of a new plant or the expansion of an existing plant and/or associated facilities, attach evidence that an application for a new permit amendment has been filed with the Texas Pollution Discharge Elimination System Permit related to the proposed project. Final permit authorization must be obtained from the Texas Commission on Environmental Quality or any successor agency before funds can be released for construction activities.

Item attached Yes ☐ No ☐

Comments:

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Please label each attachment with the number of the pertinent application section (i.e. "Part D5")

D9 List all permits necessary for completion of project and whether the applicant has acquired each permit required.

Permit	Issuing Entity	Permit Acquired (Y/N)

D10 If applicable (CWSRF Tier III or DWSRF), **attach** the Assurances - Construction Programs (EPA-424D – http://www.twdb.state.tx.us/pubs/epa-424d)

Item attached Yes ☐ No ☐ NA ☐

D11 Davis-Bacon Act - Financial assistance from either the Clean Water or Drinking Water State Revolving fund must comply with the Davis-Bacon Act regarding prevailing wage rates. The applicant acknowledges that they are aware of and will abide by the Davis-Bacon Act requirements.

Yes ☐ No ☐

Further information on the Davis-Bacon requirement is available through the TWDB Guidance document, DB-0156 (http://www.twdb.state.tx.us/pubs/db-0156); on the TWDB web.

D12 If the application is for a wastewater project, the applicant must be a Designated Management Agency (DMA) for wastewater collection and treatment. Please complete and attach DMA resolutions. WRD-210 (http://www.twdb.state.tx.us/pubs/wrd-210) is an example of this type of resolution.

Item attached Yes ☐ No ☐ NA ☐

Please label each attachment with the number of the pertinent application section (i.e. "Part D5")

Additional requirements for EDAP applicants

D13 Preliminary EDAP Eligibility (31 TAC §363)

Required documentation:

a) Should the project exist within a municipality, documented data for the entire municipality is required.

- Documentation of inadequacy of water and/or wastewater services. (31 TAC §363)
  Item attached Yes ☐ No ☐

- Documentation regarding the financial resources of the residential users in the EDAP area. (Census data or documentation regarding median household income should be provided.) (31 TAC §363)
  Item attached Yes ☐ No ☐

- Documentation demonstrating existence of a residence in the project area prior to **June 1, 2005.** (*This could include tax records of residence, dated aerial maps, or other documentation demonstrating existence of a residence.*) (31 TAC §363)
  Item attached Yes ☐ No ☐

D14 Is the applicant requesting more than 50% grant funding for any component of planning, acquisition, design or construction? Yes ☐ No ☐

If yes, has the Department of State Health Services issued a determination stating a public health nuisance exists in the project area?
Yes ☐ No ☐

If no determination exists, provide documentation demonstrating a public health nuisance exists in the project area.
Item attached Yes ☐ No ☐

(*Photographs may be submitted. They **must** be labeled with location and date when taken. If the soil types are mentioned in the project area as an issue, include soil profile maps)*

D15 Is this project providing new service? Yes ☐ No ☐

If yes, plats of the affected subdivisions must be attached.
Items attached Yes ☐ No ☐

D16 Provide the most current planning, acquisition and design (PAD) phases cost estimates (include all costs and funding sources). Utilize the Project Budget format provided.

Project Budget format (TWDB-1201 - http://www.twdb.state.tx.us/pubs/twdb-1201)

A complete PAD budget is **attached?** Yes ☐ No ☐

Please label each attachment with the number of the pertinent application section (i.e. "Part E5")

Part E. Environmental Documentation

When an applicant seeks approval of a project under the Pre-Design Funding Option, at a minimum, the applicant must provide a discussion of any known permitting, social, or environmental issues that may affect the evaluation of project alternatives or implementation of the proposed project. However, the environmental review of the project may be expedited based on previous determinations or work already completed by the applicant.

E1 Has a Categorical Exclusion (CE), a Finding of No Significant Impact (FONSI), or any other environmental determination been issued for this project by the TWDB or another authorized state or federal agency within the last **five** years?

Yes ☐ No ☐

E2 If yes, **attach** a complete copy of the CE or FONSI and all supporting documents (i.e. Environmental Information Document (EID) or Environmental Assessment (EA), with all agency consultation correspondence.)

Item(s) attached Yes ☐ No ☐

E3 Has TWDB already affirmed an environmental determination for this project?

Yes ☐ No ☐

If yes, **attach** a copy of the TWDB Resolution affirming this environmental determination.

Item attached Yes ☐ No ☐

E4 Has an Environmental Impact Statement (EIS) been prepared by the applicant in coordination with an authorized state or federal agency for this project?

Yes ☐ No ☐

If yes, **attach** a complete copy of the EIS.

Item attached Yes ☐ No ☐

E5 If an EIS has been prepared for this project in coordination with all pertinent state and federal agencies, has a Record of Decision (ROD) been issued within the last 5 years?

Yes ☐ No ☐

If yes, **attach** a complete copy of the ROD.

Item attached Yes ☐ No ☐

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Please label each attachment with the number of the pertinent application section (i.e. "Part E5")

E6 Is the project potentially eligible for a CE because it involves only minor rehabilitation or the functional replacement of existing equipment?

Yes ☐ No ☐

If yes, **attach** documentation showing that the project may be eligible for a CE.

Item attached Yes ☐ No ☐

For further explanation see Section J – Guidance

E7 If the project is not eligible for a CE, has the applicant prepared an EA or EID in accordance with 31 TAC 363 and 31 TAC 375, of the TWDB's rules and TWDB Instructions?

Yes ☐ No ☐

If yes, **attach** a complete copy of the EA or EID.

Item attached Yes ☐ No ☐

For further explanation see Section J – Guidance

E8 List additional Environmental Permits, Registrations, Licenses, Authorizations necessary for the project and the status of each. E.g.:

- Endangered species act, Section 10A take permit,
- Clean Water act Section 404-individual permit or Rivers and Harbors Section 10 permit

Item(s) attached Yes ☐ No ☐

E9 If the project has not met the above requirements, please attach a discussion of any known permitting, social, or environmental issues that may affect the evaluation of project alternatives or implementation of the proposed project.

Item attached Yes ☐ No ☐

Please label each attachment with the number of the pertinent application section (i.e. "Part F5")

Part F. Planning and Water Conservation Plan

In order to be eligible for funding, a proposed water project has to be consistent with the Regional and State Water Plans.

F1 If the assistance requested is $500,000 or more, a Water Conservation Plan (WCP) is required. The WCP cannot be more than **five** years old and must have been adopted by the applicant. Has the applicant adopted a Board-approved WCP?

Yes ☐ No ☐

If yes, date of applicant's WCP Adoption: _____

Note: An approvable plan must be submitted before a commitment for funding can be received, but an approved plan must be adopted by the applicant before any funds can be released.

Attach TWO copies of a Water Conservation Plan and Drought Contingency Plan prepared in accordance with TWDB Guidance [WRD-022 (http://www.twdb.state.tx.us/pubs/wrd-022) and Utility Profile WRD-264 (http://www.twdb.state.tx.us/pubs/wrd-264)

Items attached Yes ☐ No ☐

Note: If the applicant will utilize the project financed by the TWDB to furnish services to another entity that in turn will furnish services to the ultimate consumer, the requirements for the WCP may be met either through contractual agreements between the applicant and the other entity providing for establishment of a water conservation plan. The provision requiring a WCP shall be included in the contract at the earliest of the original execution, renewal or substantial amendment of that contract, or by other appropriate measures.

F2 Does the applicant provide retail water services?

Yes ☐ No ☐

If yes, complete item F3 and F4.

F3 Has the applicant submitted to the TWDB the annual water use survey of groundwater and surface water for the last **three** years?

Yes ☐ No ☐

If No, please download survey forms (http://www.twdb.state.tx.us/pubs/20100610a) and attach a copy of the completed water use surveys to the application.

Item attached Yes ☐ No ☐

F4 Has the applicant submitted a water loss audit to the TWDB?

Yes ☐ No ☐ NA ☐

If No, please download TWDB Water Audit worksheet (http://www.twdb.state.tx.us/pubs/20100610b) and **attach** a copy to the application.

Item attached Yes ☐ No ☐

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Please label each attachment with the number of the pertinent application section (i.e. "Part G5")

Part G. Documentation of "Green" Projects and Project Components

All Drinking Water and Clean Water applicants must complete this section.

This section is required so that the TWDB can determine whether the project qualifies as "green" as pursuant to Environmental Protection Agency (EPA) Guidance. **Complete this portion of the application only if green benefits are all, or a substantial part, of the project (more than an incidental benefit).** Project means the entire project or a component of the project.

A project (or project component) is "green" if the primary purpose qualifies under EPA rules as one of the following:

a. Green Infrastructure,
b. Water Efficiency-related,
c. Energy Efficiency-related, or
d. Environmentally Innovative.

You must use the Green Project Reserve guidance to complete this section. Current guidance can be found at:

Green Project Reserve: Guidance for determining project eligibility (TWDB-0161 – http://www.twdb.state.tx.us/pubs/twdb-0161)

G1 Does your project or a component of your project qualify as Green, per EPA guidance?
Yes ☐ No ☐

If Yes, Please complete the remainder of Section G.

G2. Type of Green Project
☐ Water Efficiency ☐ Energy Efficiency ☐ Green Infrastructure ☐ Environmentally Innovative

G3 TWDB will determine whether your project (or project component) meets federal criteria as "green". You may be required to submit a **business case** that thoroughly describes your project, in order for the TWDB to make its determination.

Green Project Reserve: Guidance for determining project eligibility (TWDB-0161 – http://www.twdb.state.tx.us/pubs/twdb-0161)

Item attached Yes ☐ No ☐

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