

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



The application for inclusion on the Clean Water State Revolving Fund (CWSRF) IUP can be submitted only when the wastewater project is at the right stage of the construction permitting process. This numbered list outlines the requirements of the permitting process that must be met prior to submitting an IUP application. It also identifies the materials and information needed to complete the IUP application. Please follow the preliminary steps and proceeding instructions to make sure your application is complete before submitting it.

PRELIMINARY STEPS FOR IUP APPLICATION SUBMISSION

Enter the following information here:

1. Applicant Name: _____
2. DNR Number (e.g. W2025-#### or S2025-####): _____
3. DNR Project Manager Name: _____
4. Project Name/Identification: _____
5. Project Initiation Meeting Held (enter meeting date): _____
6. Flows and Loads Concurrence by DNR (enter date or N/A): _____
 - a. If N/A, state reason: _____
7. Wasteload Allocation Completed (enter date or N/A): _____
8. Antidegradation Alternatives Analysis Approved by DNR (enter date or N/A): _____
9. Facility Plan Submitted with IUP Application (choose Yes or Previously Submitted): ☐ Yes ☐ Previously Submitted
 - a. If previously submitted, enter date submitted: _____
 - b. If previously submitted, enter certification date: _____
10. Iowa Construction Permit Application Schedule A Submitted with IUP Application (enter Yes or No; previously submitted): ☐ Yes ☐ Previously Submitted
☐ No
11. Iowa Construction Permit Application Schedule F and G submitted with IUP Application (choose Yes, N/A, or Previously Submitted): ☐ Yes ☐ Previously Submitted ☐ N/A

Ensure that your IUP application includes the following (all boxes must be checked)

12. IUP Application signed ☐
13. Unique Entity ID (UEI) Number included ☐
14. Property Assurance Form signed and dated (Section 6 of the application) ☐
15. Civil Rights Self Certification Form signed and dated (Section 7 of the application) ☐
16. SRF Environmental Review (ER) Checklist and Attachment included with application ☐
17. Socioeconomic Assessment (SA) Worksheet included with application ☐

Submission Instructions:

- ☐ Do not submit a single file that includes all requested documents.
- ☐ Each requested document must be submitted as an individual, separate document.
- ☐ Each document must be titled using the following naming convention:

Document Name	Required Name/Title Structure	Example
IUP Application	ApplicantName_IUPApplication	Waterloo_IUPApplication
Environmental Review Checklist	ApplicantName_ERChecklist	Waterloo_ERChecklist

Document Name	Required Name/Title Structure	Example
Environmental Review Supporting Materials	ApplicantName_ERSupplement_No._ *number each additional document sequentially	Waterloo_ERSupplement_No.1
Socioeconomic Assessment Worksheet	ApplicantName_SAWorksheet	Waterloo_SAWorksheet
Facility Plan	ApplicantName_FacilityPlan	Waterloo_FacilityPlan
Iowa Construction Permit Application Schedules A, F and G	ApplicantName_Schedule <u>X</u>	Waterloo_ScheduleA Waterloo_ScheduleF Waterloo_ScheduleG

***Your application will not be considered complete or acceptable if items 1 through 17 have not been completed and/or included.**

CLEAN WATER STATE REVOLVING FUND

INTENDED USE PLAN (IUP) APPLICATION INSTRUCTIONS



ITEMS 1–11: Wastewater Construction Permitting

The Clean Water SRF Intended Use Plan Application will only be accepted when Items 1 through 11 have been completed through the Wastewater Construction Permitting Process of the DNR Wastewater Engineering Section. Please refer to the [Wastewater Permitting Process Manual](#) for detailed information on these steps.

1. Applicant Name: Enter the name of the applicant who is requesting SRF funding.
2. DNR Number (e.g. W2025-#### or S2025-####): All wastewater construction projects are assigned unique numbers for tracking by DNR. A number beginning with W and the fiscal year indicates a Work Record. A number beginning with S and the fiscal year indicates a Project.
3. DNR Project Manager Name: A project manager from the DNR Wastewater Engineering Section is assigned to each project.
4. Project Name/Identification: A brief title/description of the project from Design Schedule A, General Information. The project description must fall under the project scope established at the project initiation meeting. An accurate description is necessary because multiple construction contracts may have the same project numbers.
5. Project Initiation Meeting Held (date): A project initiation meeting must be held with the DNR, Owner, Consulting engineer (licensed professional engineer), and other parties.
6. Flows and Loads Concurrence by DNR (date): If flows and loadings will change due to the project, the DNR Project Manager must concur with the proposed design flows and loadings prior to preparing the Facility Plan. If answer is n/a, state the reason. Example: *previously approved flows and loadings remain unchanged*.
7. Wasteload Allocation Completed (WLA) (date): If a Wasteload Allocation is required for the project, it must be completed by the DNR and received by the Owner before preparing the Facility Plan. Enter "N/A" if WLA is not required for the project.
8. Antidegradation Alternatives Analysis (AAA) Approved by DNR (date): If an antidegradation alternatives analysis is required for the project, it must be approved by the DNR Project Manager before the Owner prepares the Facility Plan. Enter date of DNR approval of the AAA. If a Facility Plan is submitted prior to DNR approval of Antidegradation Alternatives Analysis, it will not be accepted for review. Enter "N/A" if AAA is not required for the project.
9. Facility Plan Submitted with IUP Application: After completing all applicable planning steps as discussed above, the Facility Plan may be submitted to DNR. Answer "Yes" if a Facility Plan is submitted along with the IUP application:
 - a. If a Facility Plan was previously submitted, enter the date submitted.
 - b. If the Facility Plan was previously submitted, enter the date of certification by a licensed professional engineer.

Facility Plan submissions shall follow Chapter 11 of the Iowa Wastewater Facilities Design Standards. All engineering submittals shall follow all applicable law and rule related to submitting engineering documents by licensed professional engineers. Electronic submittals are acceptable as long as they are in compliance with all applicable law, including but not limited to Iowa Code 542B and Iowa Administrative Code 193C.

10. Iowa Construction Permit Application Schedule A: Design Schedule A must be certified by both the Owner and the Consulting Engineer (licensed professional engineer). It is required and must be submitted for all wastewater projects. Schedule A must indicate that Clean Water SRF financing will be requested to be considered as part of this IUP application.
11. Schedules F and G (if needed for the project): Schedule G provides Wastewater Treatment Plant project design information and Schedule F provides site information for treatment process site selection. Enter "N/A" if these schedules are not needed for the project.

Items 12-17: Additional SRF Requirements for a Complete Application:

12. IUP Application Signed: The IUP application must be signed by the Applicant's authorized representative. Printed or electronic signatures are accepted.
13. Unique Entity ID (UEI) number Included: The U.S. Federal Government has transitioned from using a Dun and Bradstreet Number (DUNS) to using a UEI number. Entity refers to prime contractors, organizations or individuals applying for assistance awards, those receiving loans, sole proprietors, corporations, partnerships, and any Federal Government agencies desiring to do business with the government.

You can register your entity to obtain a Unique Entity ID here: <https://sam.gov/content/entity-registration>

14. Property Assurance Form Signed (Section 6 of this application): This form is required to be signed and dated regardless of whether or not the Applicant currently intends to purchase land using SRF funds.
15. Civil Rights Self Certification Form (Section 7 of this application): This form is required to be signed and dated.
16. SRF Environmental Review (ER) Checklist and attachments completed and submitted: The ER Checklist outlines the information needed to start the SRF ER services. The ER Checklist can be obtained here: <https://www.iowasrf.com/environmental-review/>.
17. Socioeconomic Assessment (SA) Worksheet completed and submitted: The SA Worksheet can be obtained here (use the most current FY worksheet): <https://www.iowasrf.com/documents-and-guides/>.

Complete the requested information in the following sections to the best of your ability. Please print or type the information on the form. If a particular item does not apply to your system, enter "N/A" for "not applicable." Attach supporting documentation as needed. Keep a copy of the completed application for your records and **submit the signed form and supporting documents to the following e-mail address:** srf-iup@dnr.iowa.gov.

CLEAN WATER STATE REVOLVING FUND

INTENDED USE PLAN (IUP) APPLICATION FORM

This form may be used to apply for inclusion on the project priority list (PPL) of the Clean Water SRF IUP after or concurrent to submitting the Facility Plan to DNR for approval. IUPs are developed on an annual basis with quarterly updates as needed.

This form is not an application for a loan. SRF loan application materials may be obtained at <https://opportunityiowa.gov/community/water-quality/srf-programs/drinking-water-loan-program>. The loan application should not be completed until after bids are received.

Applicants will be required to comply with all applicable State and Federal requirements in order to be eligible to receive SRF funding. A list of these requirements can be found at: <https://opportunityiowa.gov/community/water-quality/srf-resources/documents-and-guides>.

Section 1: Applicant and Other Project Contacts

Applicant Name: _____

Applicant Address: _____

City: _____ State: _____ Zip: _____

Authorized Representative: _____

Telephone Number: _____ E-mail: _____

Signature: _____ Title: _____

UEI Number: _____ NPDES Number: _____

Population Served by System: _____ Population Served by Project: _____

Consulting Engineer Firm: _____

Contact Person: _____

Telephone Number: _____ E-mail: _____

Was a qualifications-based procurement process used to select this engineer firm? ☐ Yes ☐ No

Do you anticipate using the Construction Manager at Risk (CMaR) construction delivery model for this project?

☐ Yes ☐ No

Bond Counsel Firm: _____

Contact Person: _____

Telephone Number: _____ E-mail: _____

Municipal Advisor Firm: _____

Contact Person: _____

Telephone Number: _____ E-mail: _____

(Municipal Advisor Information is required at time of application)

Section 2: Project Schedule

Anticipated final plans and specifications submittal date: _____

Anticipated construction start date: _____

Section 3: Brief Project Summary and Environmental Outcomes (Attach additional pages if necessary.)

Describe the reasons for the proposed project: (i.e. specific water quality problem or system improvement)

Describe the proposed project: (i.e., specific solution to the water quality problem, or proposed system improvement)

Primary Impacted Waterbody: _____

Designated Surface Water Uses (e.g. A1, BWW): _____

Project Will Contribute to Water Quality... (check one)

- ☐ Improvement
- ☐ Maintenance
- ☐ Not Applicable

Project Will Allow the System to... (check one)

- ☐ Achieve Compliance
- ☐ Maintain Compliance
- ☐ Not Applicable

Project Will Allow the System to Address... (check all that apply)

- ☐ Existing TMDL
- ☐ Projected TMDL
- ☐ Watershed Management Plan
- ☐ Not Applicable

Does your project involve a consolidation of two or more wastewater systems? (check one)

☐ Yes ☐ No If yes, list systems and populations served: _____

Section 4: Connection & User Revenue Information (most recent fiscal year)

	Number of Connections	Percent of System Usage	Annual Revenue
Residential			
Commercial			
Industrial			
Other			
Unmetered			
Total Number of Connections:			
			Total Revenue:

Section 5: Project Cost

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

Which other funding programs are you considering to assist in completion of this project? (Check all that apply)

Funding Program	Yes	No	Amount (If Known)
Community Development Block Grant (CDBG)	<input type="checkbox"/>	<input type="checkbox"/>	
USDA – Rural Development Grant and/or Loan	<input type="checkbox"/>	<input type="checkbox"/>	
Reserve Funds	<input type="checkbox"/>	<input type="checkbox"/>	
Other – Specify:	<input type="checkbox"/>	<input type="checkbox"/>	

Section 6: Acquisition of Property by SRF Applicants

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

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

1. For projects resulting in the displacement of any person:
 - a. It will adequately inform the public of the relocation payments and services which will be available as set forth in Subparts A, C, D and E of 49 CFR 24.
 - b. It will provide fair and reasonable relocation payments to displaced persons as required by Subparts D and E of 49 CFR 24.
 - c. It will provide a relocation assistance program for displaced persons offering services described in Subpart C of 49 CFR 24.
 - d. Comparable replacement dwellings will be available pursuant to Subpart F of 49 CFR 24, or provided if necessary, a reasonable period in advance of the time any person is displaced.
 - e. In acquiring real property, it will provide at least 90 days written notice to each lawful occupant of real property acquired, stating the date such occupant is required to move from a dwelling or to move his business or farm operation.
2. For projects resulting in the acquisition of real property:
 - a. It will fully comply with the requirements of Subpart B of 49 CFR 24.
 - b. It will adequately inform the public of the acquisition policies, requirements and payments which apply to the project.
 - c. It will make every effort to acquire real property expeditiously through negotiation.
 - d. Before the initiation of negotiations, it will have the real property appraised and give the owner or his representative an opportunity to accompany the appraiser during inspection of the property, except as provided in 49 CFR 24.102(c)(2).
 - e. Before the initiation of negotiations, it will establish an amount which it believes to be just compensation for the real property, and make a prompt offer to acquire the property for that amount; and at the same time, it will provide the owner a written statement of the basis for such amount in accordance with 49 CFR 24.102.
 - f. Before requiring any owner to surrender possession of real property it will pay the agreed purchase price; or deposit with the court, for the benefit of the owner, an amount not less than the approved appraisal of the fair market value of the property; or pay the amount of the award of compensation in a condemnation proceeding for the property.
 - g. If interest in real property is to be acquired by exercise of the power of eminent domain, it will institute formal condemnation proceedings and not intentionally make it necessary for an owner to institute legal proceedings to prove the fact of the taking of this real property; and
 - h. It will offer to acquire the entire property, if acquisition of only part of a property would leave its owner with an uneconomic remnant.

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

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

Legal Name of Applicant: _____

Signature of Authorized Representative: _____ Date: _____

Section 7: Civil Rights Self Certification

Iowa State Revolving Fund (SRF) Borrower Civil Rights Self-Certification Form

As a recipient of financial assistance through the Iowa State Revolving Fund (SRF) program, the undersigned hereby acknowledges and certifies that the Borrower shall comply with all applicable federal civil rights laws and regulations. These requirements apply to the **entire operations** of the assistance recipient, not just the project or activity receiving SRF funds.

In accordance with federal law and U.S. Environmental Protection Agency (EPA) regulations at **40 CFR Part 7**, the Borrower agrees to adhere to the following nondiscrimination statutes:

Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d et seq.)

No person in the United States shall, on the ground 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.

Section 13 of the Federal Water Pollution Control Act Amendments of 1972 (Pub. L. 92-500; see 33 U.S.C. § 1251, note)

No person in the United States shall, on the ground of sex, be excluded from participation in, be denied the benefits of, or be subject to discrimination under any program or activity receiving federal assistance under the Clean Water Act.

Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. § 794)

No otherwise qualified individual with a disability in the United States shall, solely by reason of their 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.

The Age Discrimination Act of 1975 (42 U.S.C. § 6101 et seq.)

No person in the United States shall, on the basis of age, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving financial assistance.

Additional Requirements for Borrowers whose projects are selected as federal “equivalency” projects:

Borrowers who are selected to receive SRF funds “equivalent to” a federal grant award are considered “equivalency” projects and are subject to the civil rights requirements in 40 CFR Part 7.

The Borrower agrees to:

- **Be subject to the prohibition against intimidation and retaliation.**
- **Maintain records** demonstrating compliance with these civil rights laws, including:
 - A list of any civil rights complaints received.
 - Reports from any external civil rights compliance reviews.
 - Descriptions of any pending discrimination lawsuits.
 - Demographic data regarding populations served (e.g., race, ethnicity, national origin, sex, disability status, and age).
- **Provide access to documentation** and cooperate with any compliance reviews or investigations conducted by the Iowa DNR or EPA.

Borrower Name: _____

Project Name: _____

Certification

By signing below, I affirm that I am authorized to sign on behalf of the Borrower named above and that the Borrower will comply with all applicable federal civil rights laws and regulations as a condition of receiving SRF assistance.

Signature: _____ Date: _____

Name (Printed): _____ Title: _____