



State Revolving Fund Grants Information And Control System (SRF GICS) Instruction Manual



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SECTION 1. INTRODUCTION

Introduction Section 1 of this Instruction Manual provides information on the purpose and uses of this manual, other available references, and an overview of the relationship between the State Revolving Fund (SRF) program and the Grants Information and Control System (GICS).

Contents of This Section Section 1 has been organized as follows:

For Information On:	See Section:	See Exhibit:
What this manual provides	1.1 Purpose and Uses of Instruction Manual	
Other reference resources	1.2 Other Available References	
Overview of SRF and GICS	1.3 Overview of SRF and GICS	1.3.1 Capitalization Grant Phases and GICS 1.3.2 SRF Flow of Funds

1.1 Purpose and Uses of Instruction Manual

Purpose

- What is It?** It is a manual that provides information on the flow of capitalization grant and State Revolving Fund (SRF) project level information through the Grants Information and Control System (GICS). It highlights the relevant SRF source documents and the data elements required to be entered into GICS.
- Why was it Developed?** This manual was developed to introduce potential users of the State Revolving Fund - Grants Information and Control System (SRF GICS) to the system and to support the SRF GICS training effort at the State and EPA Regional Office levels.
- How Will It Help People In their Work?** This manual was designed to instruct initial users in the relationship between the SRF information source documents and the applicable SRF GICS data entry screens and reports. It acts as a reference guide by providing tables and other exhibits on SRF GICS, with minimal emphasis on narrative descriptions.
- What Does The Manual Not Provide?** This manual does not describe the specific procedures of logging on to the system, entering data, responding to error messages, or generating reports (this information is provided in the SRF GICS Users Guide from the Office of Information Resource Management). It also does not provide detailed system documentation (this information is provided in the SRF GICS Detailed Design document from the Office of Information Resource Management).

1.1 Purpose and Uses of Instruction Manual (continued)

Uses

Who Will Use This Manual?

The primary users of this manual will be the EPA Headquarters, Regional Office and State staff members involved in the SRF program.

How Will They Use It?

- o Executives will use this manual as a high-level system overview to provide an understanding of the GICS capabilities for SRF processing and management of the SRF program.
- o Mid-level managers will use it to understand the aspects of the system that will be used by their staff in their daily processing activities.
- o Individuals who will actually be responsible for the day-to-day data processing activities will use it as a quick reference guide.

How Is This Manual Organized?

Each part of this manual provides the EPA Headquarters, Regional Office, and State Office staff members with different types of information. Following are suggestions for uses of each part.

1.1 Purpose and Uses of Instruction Manual (continued)

SECTION	USES
Section 1: Introduction	<ul style="list-style-type: none">o To obtain a high-level understanding of the relationship between the SRF program and GICSo To become familiar with the use of GICS for SRF information processing
Section 2: SRF GICS Required Data Elements	<ul style="list-style-type: none">o To become familiar with the sources of SRF datao To determine which SRF documents provide SRF data for GICS data entryo To become familiar with the SRF data elements required to be entered into GICSo To become familiar with the SRF GICS data entry screenso To determine which GICS data entry screens are used to enter SRF data
Section 3: SRF GICS Reports	<ul style="list-style-type: none">o To become familiar with the GICS SRF Reportso To determine which SRF GICS reports will be most usefulo To provide a how-to reference on reading reports
Section 4: SRF GICS Optional Data Elements	<ul style="list-style-type: none">o To become familiar with the SRF GICS optional data entry screenso To determine which GICS data entry screens are used to enter optional SRF data elements.

1.2 Other Available References

The EPA Headquarters has prepared a series of documents related to GICS and the SRF program that should be used along with this Instruction Manual to further supplement your knowledge of GICS and SRF:

- o SRF Initial Guidance - Programmatic guidance based on legislation (does not address the GICS relationship)
- o SRF Regulations - Implements the SRF legislation (does not address the GICS relationship).
- o SRF Management Manual - Describes in detail the SRF source documents and how the SRF will be managed. The SRF Management Manual contains all significant guidance or regulatory materials which pertain to the SRF program, as well as examples of the various SRF documents.
- o SRF GICS Detailed Design Document - Defines the data entry process for SRF GICS. Copies can be obtained from the Office of Information Resource Management.
- o SRF GICS Users Guide - Provides detailed system procedures on data entry, report generation, and error messages. Copies can be obtained from the Office of Information Resource Management
- o GICS Data Element Dictionary - Provides a listing and definitions of GICS data elements. The SRF data element dictionary is a subset of this dictionary. Copies can be obtained from the Office of Information Resource Management.
- o SRF GICS Reports Library - Provides a listing of all Construction Grants and SRF National reports and aids users in locating and generating these reports.

1.3 Overview of SRF and GICS

Title VI of the Clean Water Act (CWA) authorizes the EPA to make capitalization grants to States for establishing State Water Pollution Control Revolving Funds (SRFs). States can provide loans and other forms of financial assistance (excluding grants) to local municipalities for CWA projects from the SRF. EPA does not have a role in administering the SRF funds at the project level, therefore, a minimal amount of grant and project data is required to be tracked at the Federal level. The EPA's Grants Information and Control System (GICS) has been enhanced to capture the SRF data required by the EPA.

The data to be entered into GICS is a small subset of SRF-related information that is reported in the State-submitted documents required by the 1987 CWA amendments. The data entered into GICS will enable the EPA to:

- o Manage its SRF Capitalization Grant Program,
- o Provide a Basis for its Required Outlay Projections, and
- o Meet its Responsibilities for Congressional and National reporting.

This section provides an overview of the SRF program and its relationship to GICS.

Other Available References	In addition to the information addressed in Section 1 of this Instruction Manual, other reference resources that provide related information include:
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- o SRF Management Manual
- o SRF GICS Users Guide
- o SRF GICS Reports Library

Exhibit 1.3.1 Capitalization Grant Phases and GICS

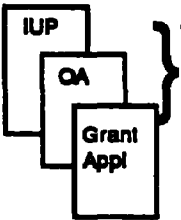
The SRF Implementation can be divided into four general phases:

- o Pre-Application
- o Application/Agreement, consisting of
 - Application
 - Award
 - Amendments
- o SRF Operation
- o Annual Review

This exhibit focuses on the steps occurring in each of these phases and the required types of data entered into GICS. The State and Regional Office responsibilities are highlighted. The data may be entered into GICS at the State or Regional Office level.

For further information on identifying the SRF data elements required for GICS processing, the documents which provide the data, and the related GICS data entry screens, see Section 2, GICS Required Data Elements.

CAPITALIZATION GRANT PHASES AND GICS

PHASE	STATE	REGIONAL OFFICES	REQUIRED TYPES OF DATA ENTERED IN GICS
PRE-APPLICATION	<p>Develop legislation, regulations, and operating procedures for establishing SRF.</p> <p>Conduct preliminary negotiations with EPA</p> <p>Prepare Operating Agreement (OA) (optional)</p> <p>Prepare Project Priority List (PPL) and Intended Use Plan (IUP) (Obtain Public Input)</p> <p>Prepare Grant Application</p>	<p>Conduct preliminary negotiations with State</p>	<p>PPL is entered into GICS</p>
	<p>Submit:</p> <ul style="list-style-type: none"> • Grant Application • Operating Agreement (optional) • Intended Use Plan 	 <p>Review application and supporting documentation.</p>	<p>Project Level Identification (financial and program information)</p> <p>Grant Identification Information</p>
APPLICATION/AGREEMENT	<p>Receipt of Grant Award</p>	<p>Officially notify State of Capitalization Grant award and amount obligated by EPA.</p>	<p>Grant Identification and Grant Financial Information</p>

CAPITALIZATION GRANT PHASES AND GICS

PHASE	STATE	REGIONAL OFFICES	REQUIRED TYPES OF DATA ENTERED IN GICS
APPLICATION/AGREEMENT	<div data-bbox="127 520 181 863" data-label="Text">AMENDMENTS</div> <p data-bbox="189 520 581 863">State requests Amendment to Grant (May be requested at any time based on circumstances affecting grant)</p>	<p data-bbox="597 520 981 863">Evaluate Amendment request Accept or Reject change to Grant Award</p>	<p data-bbox="997 520 1451 863">Grant Identification and Grant Financial Information</p>
SRF OPERATION	<p data-bbox="127 884 181 1247">Estimate disbursements and cash draws</p> <p data-bbox="189 884 581 1247">Provide financial Assistance</p> <p data-bbox="189 1058 581 1247">Monitor projects</p> <p data-bbox="189 1108 581 1247">Manage SRF</p>	<p data-bbox="597 884 981 1247">Disbursement and cash draw estimates will be used as a basis for negotiations on outlay projections.</p>	
ANNUAL REVIEW	<p data-bbox="127 1268 181 1898">Prepare Annual Report</p>	<div data-bbox="683 1341 821 1499" data-label="Text">Annual Report</div> <p data-bbox="597 1530 981 1898">Assess success of SRF performance by comparing proposed to actual use of fund.</p> <p data-bbox="597 1635 981 1719">Determine extent to which SRF is achieving the intent of the Clean Water Act</p> <p data-bbox="597 1740 981 1803">Assess compliance with Grant Agreement</p> <p data-bbox="597 1824 981 1887">Assess financial status of SRF</p>	<p data-bbox="997 1268 1451 1898">Project Level Identification . Financial and Program Information</p>

Exhibit 1.3.2 SRF Flow of Funds

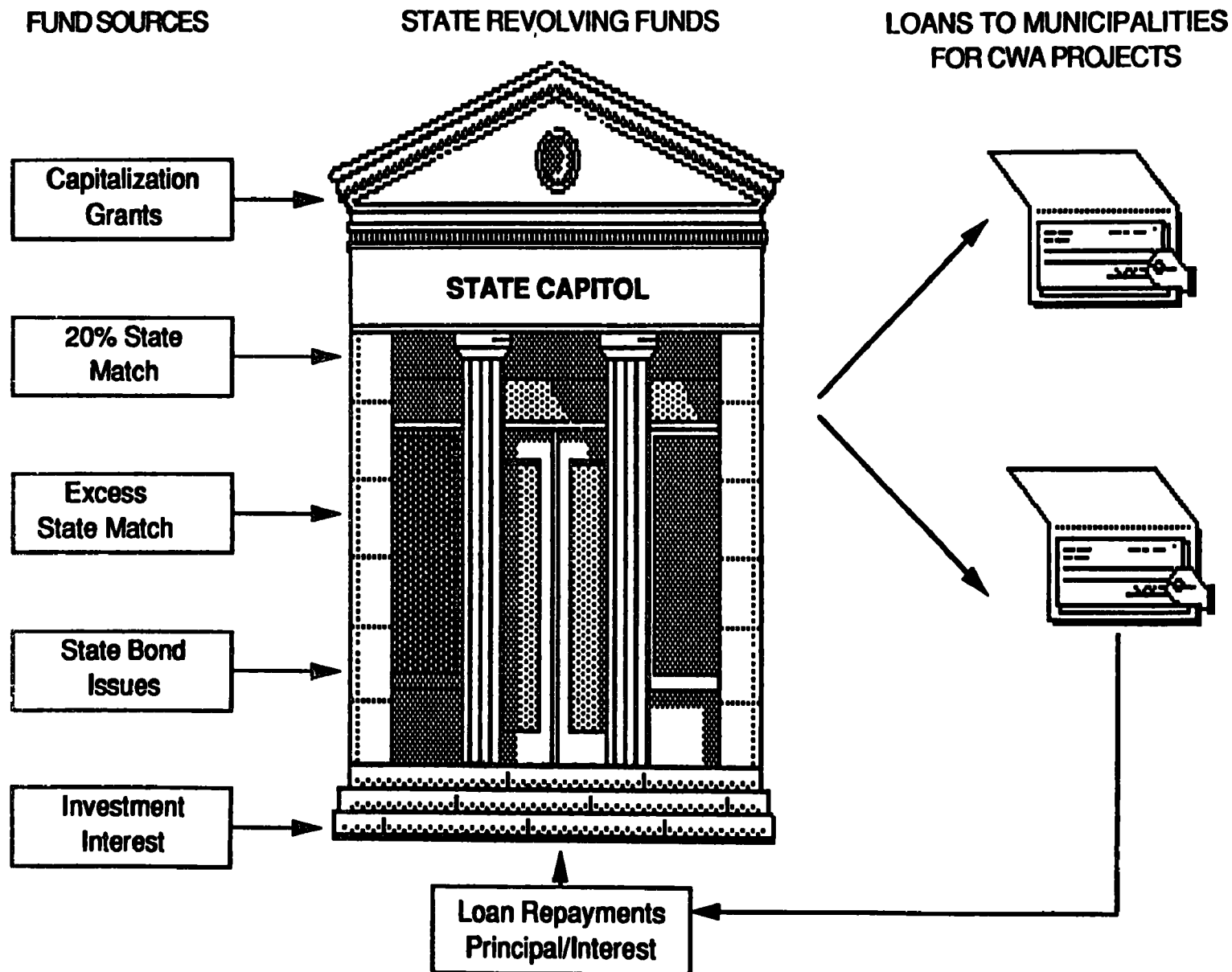
Each SRF is a legally authorized revolving fund established to provide the financing needed to maintain water quality. The source of funds that are administered by the SRF include:

- o Capitalization Grants
- o 20% State Match
- o Excess State Match (Overmatch)
- o State Bond Issues
- o Investment Interest
- o Principal and Interest from Municipality Loan Repayments

These funds are then distributed to municipalities for CWA projects, in the form of loans or other financial assistance (excluding grants). The repayment of the principal and interest of loans is recycled through the SRF to fund additional CWA projects.

This exhibit depicts the flow of funds through the SRF.

SRF FLOW OF FUNDS



SECTION 2. GICS REQUIRED DATA ELEMENTS

Introduction The State Revolving Fund information processing requires States to report information about its SRF to the appropriate EPA Regional Office. Section 2 of this Instruction Manual defines the data that is required for GICS.

Contents of This Section This section identifies the SRF data elements required for GICS processing, the documents which provide the data, and the related GICS data entry screens. In order to most clearly present the SRF information required for GICS, Section 2 has been organized as follows:

For Information On:	See Section:	See Exhibit:
Source documents providing information for data entry	2.1 Information Sources	2.1.1 SRF GICS Specific Source Documents 2.1.2 Sources of Information
Overview of SRF information processing	2.2 Data Entry	2.2.1 SRF and GICS 2.2.2 Interrelationship of Data Entry Screens
Relationship between source documents and the data entry screens	2.2 Data Entry	2.2.3 Data Entry Screens 2.2.4 SRF Source Data Elements 2.2.5 Data Element List by GICS Screen

SECTION 2. GICS REQUIRED DATA ELEMENTS

Other Available References

In addition to the information addressed in Section 2 of this Instruction Manual, other reference resources that provide related information include:

- o SRF Management Manual - Describes the SRF source documents and how the SRF will be managed
- o SRF GICS Detail Design Document - Defines the data entry process for SRF GICS. Copies can be obtained from the Office of Information Resource Management.
- o SRF GICS Users Guide - Provides detailed system procedures on data entry, report generation, and error messages
- o SRF GICS Reports Library - Provides a listing of all Construction Grants and SRF National reports and aids users in locating and generating these reports.

2.1 Information Sources

This section identifies the sources of information required by the EPA to be captured in the Grants Information and Control System (GICS).

The Information Sources section is designed to familiarize you with the:

- o SRF-specific source documents
- o Required data

SRF-Specific Source Documents

Information to be stored in GICS is a small subset of the information submitted to EPA for the SRF program. Information on the State Revolving Fund will generally be available for entry into GICS from the following five SRF documents:

- o Project Priority List - Identifies potential publicly owned treatment works (POTW) and SRF projects and their priority for assistance (Funding may not follow PPL order.)
- o Grant Application - Requests SRF grant assistance for the State's SRF program's fiscal year
- o Intended Use Plan - Sets forth the goals and describes the activities planned for the fund during the upcoming State's SRF program's fiscal year
- o Grant Agreement - Sets forth the conditions under which the State agrees to conduct the SRF program and fixes the amount of funds EPA will obligate for this purpose
- o Annual Report - Describes the activities of the fund for the previous State's SRF program's fiscal year

Required Data

Each State may apply for capitalization grant funds under Title VI. The EPA requires certain information to be entered into GICS to assist in effectively managing the State Water Pollution Control Revolving Funds (SRFs) and in responding to Congressional reporting requirements. This data is categorized as follows:

Capitalization Grant

Specific information on the SRF capitalization grant awarded to the State including identification and financial information

SRF Project

Essential characteristics of all projects assisted by the SRF including identification, financial, and program information

The following chart summarizes the source documents that provide information on planned and actual activities for the grants and projects:

	PLANNED ACTIVITIES	ACTUAL ACTIVITIES
CAPITALIZATION GRANT INFORMATION	APPLICATION FOR FEDERAL ASSISTANCE	EPA ASSISTANCE AGREEMENT/ AMENDMENT
SRF PROJECT INFORMATION	PROJECT PRIORITY LIST (PPL) INTENDED USE PLAN (IUP)	ANNUAL REPORT

Exhibit 2.1.1. GICS SRF Specific Source Documents

The SRF program is a State-oriented program. All information concerning the capitalization grants and individual projects is submitted by the State to the appropriate EPA Regional Office. Each State operates its respective fund in the fiscal year of its choice. The State's SRF grant fiscal year may be that of the Federal government or of its own choosing.

The EPA requires that certain information is submitted in order to provide grant monies to the States. With the exception of the Application for Federal Assistance and the Grant Agreement/Amendment forms, there are no standard formats to follow in submitting the required information. The SRF Management Manual provides useful examples of reporting formats to assist the States in providing the required information not included on the standard forms.

This exhibit summarizes the source documents containing the information to be included, how often the document is submitted to the EPA, and the document format.

SRF-GICS SPECIFIC SOURCE DOCUMENTSExhibit 2.1.1
Page 1 of 2

DOCUMENT	DESCRIPTION	SUBMISSION FREQUENCY	FORMAT
PROJECT PRIORITY LIST (PPL)	<ul style="list-style-type: none">o Identifies potential Construction and SRF projectso Establishes Priorities for Assistance	<ul style="list-style-type: none">o One-time Submission	<ul style="list-style-type: none">o Varies with State; must provide specific data for entry into GICS
APPLICATION FOR FEDERAL ASSISTANCE	<ul style="list-style-type: none">o Requests SRF Grant Assistance for the Year	<ul style="list-style-type: none">o Annuallyo Amendments may be made at any time	<ul style="list-style-type: none">o OMB SF-424
INTENDED USE PLAN (IUP)	<ul style="list-style-type: none">o Identifies Goals and Planned Activities of the SRF for the Upcoming Yearo Activities identified must be on PPL (except for 319 and 320 projects)	<ul style="list-style-type: none">o Annually	<ul style="list-style-type: none">o Varies with State; must provide specific data for entry into GICS

SRF-GICS SPECIFIC SOURCE DOCUMENTS

Exhibit 2.1.1

Page 2 of 2

DOCUMENT	DESCRIPTION	SUBMISSION FREQUENCY	FORMAT
EPA ASSISTANCE AGREEMENT/ AMENDMENT	<ul style="list-style-type: none">o Actual Grant Awardo Identifies the Conditions under which the State agrees to conduct the SRF programo Identifies the funds EPA obligates for this purpose	<ul style="list-style-type: none">o With each Grant Application or Amendment	<ul style="list-style-type: none">o EPA Form 5700-20A
ANNUAL REPORT	<ul style="list-style-type: none">o Identifies the Actual Activities of the SRF for the Previous Year	<ul style="list-style-type: none">o Annually - within 90 days of the end of the fiscal year in which payments were made	<ul style="list-style-type: none">o Varies with State; must provide specific data for entry into GICS

Exhibit 2.1.2 Sources of Information

This exhibit provides sample copies of the two standard forms (the Application for Federal Assistance and the EPA Assistance Agreement/Amendment) and the data required for entry into GICS to be included in other source documents submitted by the States to the EPA Regional Offices. The data elements provided by the other source documents are presented in a chart since each State will prepare these documents in their own established format.

The data elements that are entered into GICS are highlighted with an arrow on the two standard forms. Only the data elements that are entered into SRF GICS for the first time, from each of the two standard forms, are highlighted. Similarly, only those data elements that are entered into SRF GICS for the first time from the sample formats are displayed. For further information on relating the data elements from the source documents to the GICS data entry screens, see Section 2.2, Data Entry. Additional detailed information and source document examples are provided in the SRF Management Manual.

SOURCES OF INFORMATION

OMB Approval No. (3300-0002)

APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION Application <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction		2. DATE SUBMITTED 88/7/1	Agency Number
3. DATE RECEIVED BY STATE XX/XX/XX		State Application Number XXXXXX	
4. DATE RECEIVED BY FEDERAL AGENCY XX/XX/XX		Federal Number CS790001-89	
5. APPLICANT INFORMATION Legal Name New Water Dept. of Environmental Protection		Organizational Unit Construction Grants Division	
Address (give city, county, state, and zip code) P.O. Box U City, County, New Water XXXXX		Name and telephone number of the person to be contacted on matters relating to the application (give office address) Executive Director (XXX)XXX-XXXX	
6. EMPLOYER IDENTIFICATION NUMBER (EIN) 00-00000000		7. TYPE OF APPLICANT (check appropriate box in circle) A. State B. County C. Municipality D. Township E. Interstate F. International G. Business Concern H. International School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Public Organization N. Other (describe)	
8. TYPE OF APPLICATION <input checked="" type="checkbox"/> New <input type="checkbox"/> Construction <input type="checkbox"/> Renewal Special, other categories entered in Remarks A. Interest Award B. Challenge Award C. Interest Challenge D. Challenge Challenge Other category:		9. NAME OF FEDERAL AGENCY U.S. Environmental Protection Agency	
10. BUDGET OF FEDERAL SPENDING APPLICANT'S ESTIMATE 6 6 4 5 8 TITLE: Cap. Grant for State Revolving Fund		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT New Water Water Pollution Control Revolving Fund as described in this application and the attached Intended Use Plan and Payment Schedule	
12. AGENCY AFFECTED BY PROJECT (give city, county, state, and zip code) State of New Water			
13. PERIODIC REVIEW Start Date 88/10/01 Ending Date 93/01/01		14. CONGRESSIONAL DISTRICTS OF a. Address ALL b. Project ALL	
15. ESTIMATED FUNDING a. Federal \$ 20,000,000 b. Address \$ c. State \$ 4,000,000 d. Local \$ e. Other \$ f. Program Funding \$ g. TOTAL \$ 24,000,000 (See Appendix B)		16. IS APPLICATION SUBJECT TO REVIEW BY STATE (GIVING ORDER 12372 PRECEDENCE FOR REVIEW OR) a. YES THE PREAPPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PRECEDENCE FOR REVIEW ON DATE 88/06/01 b. NO <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
		17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
18. DO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA ON THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE SIGNATORY HAS BEEN SOLELY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED AGREEMENTS IF THE ASSISTANCE IS AWARDED			
a. Typed Name of Authorized Representative XX XXXXXX		b. Title Executive Director	c. Telephone Number (XXX)XXX-XXX
d. Signature of Authorized Representative		e. Date Signed XX-XX-XX	

Revised (October 1987)

Revised Form 330-1 (Rev. 7-82)
Revised by OMB Circular 5-82

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SOURCES OF INFORMATION

U.S. ENVIRONMENTAL PROTECTION AGENCY EPA ASSISTANCE AGREEMENT/AMENDMENT PART I - ASSISTANCE NOTIFICATION INFORMATION				1. ASSISTANCE ID NO. CS790001-89	2. LOG NUMBER XXXXXXXXXX
				3. DATE OF AWARD XX/XX/XX	4. MAILING DATE XX/XX/XX
5. AGREEMENT TYPE		6. PAYMENT METHOD			
<input checked="" type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Grant Agreement <input type="checkbox"/> Assistance Amendment		<input type="checkbox"/> Advance <input type="checkbox"/> Reimbursement <input checked="" type="checkbox"/> Letter of Credit XXXXXXXX			
		7. TYPE OF ACTION New Grant			
8. RECIPIENT	New Water Department of Environ. Protec. P.O. Box U City, New Water XXXXX		9. PAYEE New Water Water Development Commission P.O. Box U City, New Water XXX		
	10. RECIPIENT TYPE State Agency				
	11. PROJECT MANAGER AND TELEPHONE NO. XXXXX XXXXXXXXXX Executive Director		12. CONSULTANT (WFT Construction Users Only) N/A		
13. ISSUING OFFICE (City/State)	EPA Region 16 City, New Water		14. EPA PROJECT/STATE OFFICER AND TELEPHONE NO. XXXXX XXXXXXXXXXXXX EPA, Region 16 Street City, State XXXXXXX (XXX)XX-XXXX		
	15. EPA CONGRESSIONAL LIAISON & TEL. NO. Pat Gaskins (202) 382-5184		16. STATE APL ID (Congressional) XX-XXXX-XXXX		
17. FIELD OF SCIENCE N/A		18. PROJECT STEP/WFT CO N/A			
19. STATUTORY AUTHORITY Clean Water Act, as amended Title VI and Section 205(m)		20. REGULATORY AUTHORITY 40 CFR Part 31		21. STEP 2 + 3 & STEP 3 (WFT Construction Users Only) a. Treatment Plant b. Process Pond c. Treatment Pond d. Storage Dam	
22. PROJECT TITLE AND DESCRIPTION The State of New Water Water Pollution Control Revolving Fund under Title VI of the Clean Water Act.					
23. PROJECT LOCATION (A and B Section of Project) City/State: Statewide County: Statewide State: NW Congressional District: All					
24. ASSISTANCE PROGRAM/FDA Program No. & FIRM 66-458 Cap. Grants for SRF		25. PROJECT PERIOD N/A		26. BUDGET PERIOD 10/01/88-01/01/91	
27. COMMUNITY POPULATION (WFT CO Only)		28. TOTAL BUDGET PERIOD COST		29. TOTAL PROJECT PERIOD COST	
FUND		FORMER AWARD		THIS ACTION	
30. EPA Amount This Award		N/A		\$20,000,000	
31. EPA In-kind Amount		N/A		N/A	
32. Unexpended Prior Year Balance		N/A		N/A	
33. Other Federal Funds		N/A		N/A	
34. Reimbursement Contribution		N/A		N/A	
35. State Contribution (See p. 3)		N/A		4,000,000	
36. Local Contribution		N/A		N/A	
37. Other Contribution (over match)		N/A		4,000,000	
38. Approved Project Cost		N/A		\$24,000,000	
39. FEDERAL		FV		APPROPRIATION	
Program Element		FV		APPROPRIATION	
FV		APPROPRIATION		CONTRACT NO.	
APPROPRIATION		CONTRACT NO.		CONTRACT CLASS	
CONTRACT NO.		CONTRACT CLASS		CONTRACT CLASS	

EPA Form 8700-20A (Rev. 6-83) Requires project owners and EPA Grants 8700-1A, B, C, and D, as of which are required.

SOURCES OF INFORMATION

GRANT NO. CS790001-89

PART III - AWARD CONDITIONS

The principal "PARTS" of Subchapter B applicable to this grant are:

PART 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments;" and PART 32 "Debarment and Suspension under EPA Assistance Programs."

The State Contribution consists of :

A.	Cash	\$4,000,000
B.	Previous Title VI Eligible Assistance (Banked)	-0-
C.	Previous Cash Overmatch (Banked)	-0-

35 Total

- The grantee agrees to accept payment from EPA (as increases to the amount of funds available from the Automated Clearing House (ACH)) in quarterly installments in accordance with the following schedule:

October 15, 1988	\$2,042,000
January 5, 1989	4,175,000
April 23, 1989	4,325,000
July 10, 1989	5,667,000
October 3, 1989	2,000,000
January 11, 1990	1,125,000
April 23, 1990	666,000
July 1, 1990	0
October 5, 1990	0
January 8, 1991	0
April 12, 1991	0

Once a payment has been made, EPA will not reduce that ACH ceiling.

SOURCES OF INFORMATION

Project Priority List

- o Project Number
- o Permit Number
- o Assistance Recipient's Name
and Address
- o Project County Name
- o Project Funding Status
- o Assistance Recipient's Congressional
District
- o Authority/Facility No.
- o Multiple Facilities Code
- o State Project Priority List Fiscal Year
- o Indian Id

SOURCES OF INFORMATION

Intended Use Plan

- o State FY Date
- o Project Number
- o Permit Number
- o Assistance Recipient's Name,
Address, Congressional District
- o Project County Name
- o Program Code
- o Authority/Facility No.
- o Multiple Facilities Code
- o IUP Fiscal Year
- o Loan Interest Rate
- o Binding Commitment
Targeted Amount
Targeted Date
- o Indian Id
- o National Municipal Policy: First Use
Projects
- o WWT Eligible Cost Categories
- o Assistance Types
- o Initiation of Operation

The IUP is the first source document with identifying and financial data elements for all 319 and 320 projects.

SOURCES OF INFORMATION

Annual Report

- o State FY Date
- o Project Number
- o Annual Report Date
- o Loan Interest Rate
- o Binding Commitment
 - Actual Amount
 - Actual Date
- o WWT Eligible Cost Categories
- o National Municipal Policy: First Use Projects
- o Identify Title II Equivalency Projects
- o Affirmative Project Performance Certification
- o Construction Start Date
- o Assistance Types
- o Initiation of Operation

2.2 Data Entry

This section relates the information source documents described in Section 2.1, Source Information, to the SRF-specific GICS data entry screens.

The data entry section is designed to:

- o Familiarize you with the SRF-specific GICS Information Processing**
- o Familiarize you with the SRF-specific GICS data entry screens**
- o Help you determine when to access each of the data entry screens**
- o Familiarize you with the type of information entered on each screen**
- o Relate the appropriate source documents to the SRF-specific GICS data entry screens**

The features and benefits of the SRF-specific GICS screens are:

GICS FEATURE	WHAT THIS MEANS TO YOU
<ul style="list-style-type: none">o Data Entry Screens are Interrelated	<ul style="list-style-type: none">o Limits duplicate data entry by carrying key data from one data entry screen to another during a data entry session
<ul style="list-style-type: none">o Unique SRF-specific Data Entry Screens	<ul style="list-style-type: none">o Customized Screens pertinent to SRF source information aid in data entry
<ul style="list-style-type: none">o SRF Data is stored by Capitalization Grant and/or SRF Project Number	<ul style="list-style-type: none">o Retrieval of Information is facilitated by one key element
<ul style="list-style-type: none">o On-line Edits and Validations	<ul style="list-style-type: none">o Quality Assurance of data entry information

For detailed procedures on entering data into GICS, consult the SRF GICS Users Guide.

Exhibit 2.2.1 SRF and GICS

This exhibit provides an overview of GICS processing. Data from the source documents (identified in Section 2.1, Source Information), is entered into SRF-specific GICS screens. This data is stored in the GICS database. Information may be accessed through the data entry screens for additions and modifications or retrieved for inquiry and reporting.

SOURCE DOCUMENTS

DATA ENTRY SCREENS

SRF NATIONAL REPORTS

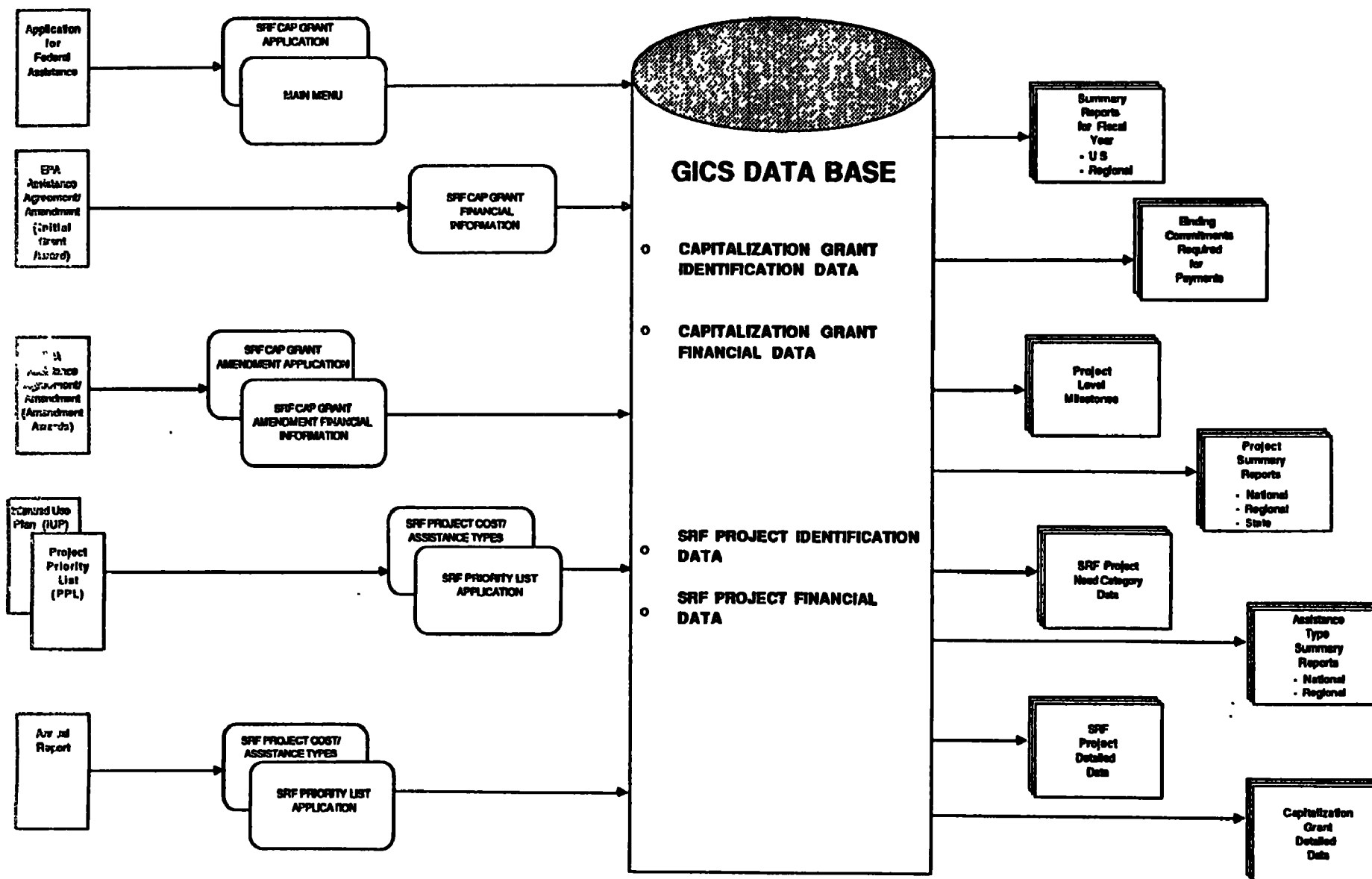
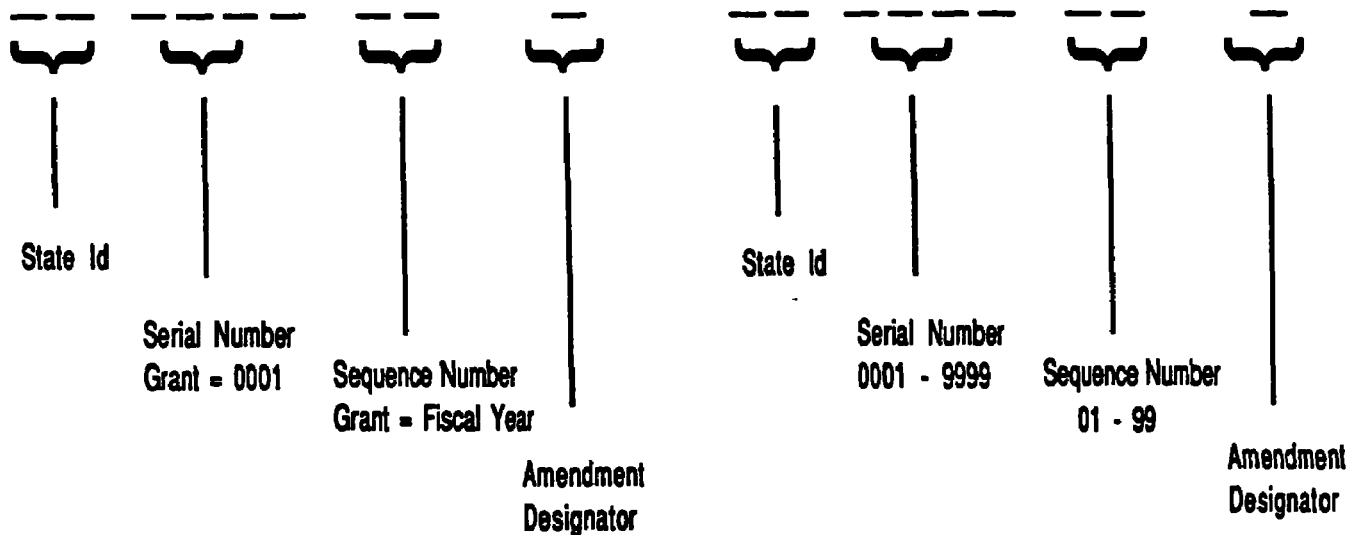


Exhibit 2.2.2 Interrelationship of Data Entry Screens

This exhibit depicts the structure and interrelationship of the SRF-specific GICS screens. The information entered by users in the Main Menu determines which screens are accessed. In order to gain access to either Grant or Project Data Screens, the user enters a Grant Number into the Main Menu. The grant number is a 9-position number, the structure of which determines whether Capitalization Grant or SRF Project Data Screens are accessed.

Capitalization Grant Data Screens

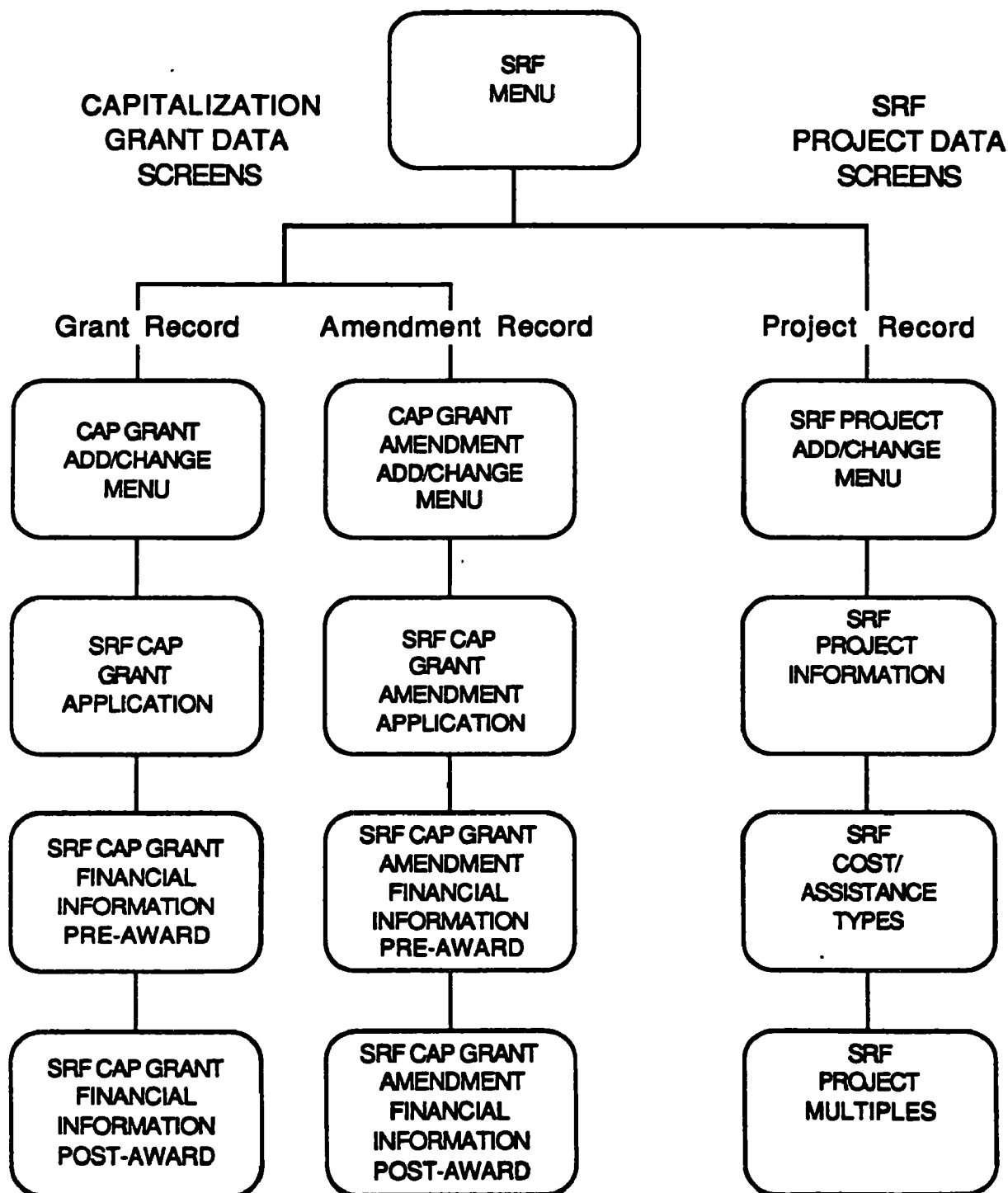
SRF Project Data Screens



Users also specify on the Main Menu whether grant or amendment records are to be selected.

Additional detailed information on capitalization grant and SRF project numbering is provided in the SRF Management Manual.

Interrelationship of Data Entry Screens



Note: Help screens are available for each of the data entry screens.

Exhibit 2.2.3 Data Entry Screens

The SRF data that is included in the source documents is entered into GICS. Each screen is shown with a description of its purpose, the type of information entered, and source(s) of information to be entered. The type of information that is displayed on the data entry screens will vary, depending upon the current status of the grant. If the grant is in the pre-award phase, current targeted data is reflected on the pre-award screens; if the grant has been awarded, both current and cumulative data is reflected on the post-award screens.

To make the entry, use, and understanding of the information stored in GICS easier, the data for grants and projects has been divided into three categories:

- o **Identification** - Provides a description of the grantee or assistance recipient. Examples of information in this category include the State name, the region, and the SRF assistance recipient.
- o **Financial** - Provides information about the grant award or assistance amount. Examples include the payment schedule, State match and loan repayment interest rate.
- o **Program** - Provides project and grant information relating to specific requirements for the SRF grant program management. Examples of information in this category include the type of assistance provided and the identification of Title II equivalency projects.

SRF MAIN MENU

Exhibit 2.2.3
Page 1 of 11

GLUMAIN1 GLMMAIN1 GIC SRF DATA ENTRY SYSTEM 910409
SRF MAIN MENU - NATIONAL

PROJECT RECORD - ADD.....PA	AMENDMENT RECORD - ADD.....AA
BROWSE...PB	BROWSE...AB
CHANGE...PC	CHANGE...AC
DELETE...PD	DELETE...AD

MAJOR KEY CHANGE -
PROJECT....PK
AMENDMENT..AK

ENTER SELECTION ==> PC SCREEN (OPTIONAL) ==>
ENTER GRANT-NO ==> 470493050 RECORD-TYPE ==> C

PF1 = HELP PF4 = MASTER MENU PF9 = LOGON PF11 = SEARCH 'XX' = EXIT

PURPOSE: Select appropriate screen for data entry by entering the capitalization grant or SRF project number and the type of transaction you wish to process.

**TYPE OF
INFORMATION**

ENTERED: Grant and Project Identification data

SOURCE(S): Application for Federal Assistance
EPA Assistance Agreement/Amendment
Project Priority List (PPL)
Intended Use Plan (IUP)
Annual Report

SRF CAP GRANT APPLICATION

Exhibit 2.2.3
Page 2 of 11

GLUISAP1 GLMASAP1 GICS DATA ENTRY SYSTEM LAST UPDATE:
NEXT SCREEN: SFI SRF CAP GRANT APPLICATION

PROGRAM : AUTHORITY : STATE-AP-ID :

NAME : REGION :
STREET : CITY :
STATE : ZIP : SRF-FISCAL-YEAR :

APPLICATION-REC-DATE: AWARD-CD :
FUNDS-AWARDED : CUM-AWARD :

PF1=HELP PF2=NEXT SCREEN PF2=REFRESH SCREEN
PF3=PREVIOUS MENU PF4=MAIN MENU <ENTER>=UPDATE

PURPOSE: Enter Capitalization Grant Identification data to record preliminary grant information in GICS.

**TYPE OF
INFORMATION**

ENTERED: Grant Identification data

SOURCE(S): Application for Federal Assistance
EPA Assistance Agreement/Amendment

SRF CAP GRANT FINANCIAL **DATA (PRE-AWARD)**

Exhibit 2.2.3
Page 3 of 11

GLUISF11	GLMASF11	GICS DATA ENTRY SYSTEM		LAST UPDATE:
NEXT SCREEN: MEN		SRF CAP GRANT FINANCIAL DATA- PRE-AWARD		
		ORIGINAL		CUMULATIVE

FUNDS-AWARDED]	_____]	
MATCH-CASH]	_____]	
MATCH-ASST-BANKED]	_____]	AWARD-CD/DATE:
MATCH-CASH-BANKED]	_____]	
MATCH-REQUIRED]	_____]	
FUNDS-REQUIRED]	_____]	AWARDED
OVERMATCH]	_____]	AMENDMENTS:
PAYMENTS:	87 / 1	_____]	_____	
YEAR/QTR	87 / 2	_____]	_____	
DATE	87 / 3	_____]	_____	
AMOUNT	87 / 4	_____]	_____	
	88 / 1	_____]	_____	
	88 / 2	_____]	_____	
	88 / 3	_____]	_____	
	88 / 4	_____]	_____	
	89 / 1	_____]	_____	
	89 / 2	_____]	_____	
	89 / 3	_____]	_____	

ENTER:UPDATE PF1:HELP PF2:NEXT PF3:PREV PF4:MAIN PA2:REFRESH PF6:OVERRIDE

PURPOSE: Enter Capitalization Grant Financial data to record grant award information in GICS.

TYPE OF INFORMATION

ENTERED: Grant Financial data

SOURCE(S): EPA Assistance Agreement/Amendment

NOTE: There are two versions of this screen, Pre-Award and Post-Award. This is the Pre-Award version, which allows the user to enter financial information and "award" the grant.

SRF CAP GRANT FINANCIAL DATA (POST-AWARD)

Exhibit 2.2.3
Page 4 of 11

```

GLU1SAS1  GLMASAS1      GICS DATA ENTRY SYSTEM      LAST UPDATE:
NEXT SCREEN: MEN  SRF CAP GRANT AMENDMENT FINAN DATA- POST-AWARD
NAME:                                     ORIGINAL      CUMULATIVE
FUNDS-AWARDED                               |_____|
MATCH-CASH                                |_____|
MATCH-ASST-BANKED                          |_____|
MATCH-CASH-BANKED                          |_____|
MATCH-REQUIRED                             |_____|
FUNDS-REQUIRED                             |_____|
OVERMATCH                                  |_____|
PAYMENTS:      87 / 1                      |_____|
YEAR/QTR       87 / 2                      |_____|
DATE           87 / 3                      |_____|
AMOUNT         87 / 4                      |_____|
              88 / 1                      |_____|
              88 / 2                      |_____|
              88 / 3                      |_____|
              88 / 4                      |_____|
              89 / 1                      |_____|
              89 / 2                      |_____|
              89 / 3                      |_____|

ENTER:UPDATE  PF1:HELP  PF2:NEXT  PF3:PREV  PF4:MAIN  PA2:REFRESH  PF6:OVERRIDE
  
```

PURPOSE: Displays Original Award and Cumulative Financial amounts for Capital Grant awards and allows user to correct financial data.

TYPE OF INFORMATION ENTERED: Grant Financial data

SOURCE(S): EPA Assistance Agreement/Amendment

NOTE: There are two versions of this screen, Pre-Award and Post-Award. This is the Post-Award version which displays the complete set of financial data, and allows the user to modify any of the original financial values.

SRF CAP GRANT AMENDMENT
APPLICATION (GRANT NOT AWARDED)

Exhibit 2.2.3
Page 5 of 11

```
GLU1SAA1  GLMASAA1      GICS DATA ENTRY SYSTEM      LAST UPDATE:
SRF CAP GRANT AMENDMENT APPLICATION

NEXT SCREEN: SAS

NAME :
SRF-FISCAL-YEAR :
APPLICATION-REC-DATE:

STATE:
STATE-AP-ID :
AWARD-CD :

CURRENT PROJECT
(TARGETED)

AMENDMENT
(CHANGE)

FUNDS-AWARDED
MATCH-CASH
MATCH-ASST-BANKED
MATCH-CASH-BANKED
MATCH-REQUIRED
OVERMATCH

PF1 = HELP      PF2 = NEXT SCREEN      PF3 = PREV MENU
PF3 = PREV MENU PF4 = MAIN MENU      ENTER = UPDATE      PF4 = REFRESH
                                     SCREEN
```

PURPOSE: Enter Capitalization Grant Amendment data to update information for amendments to the original grant award in GICS. Current Project (Targeted) amounts are entered.

TYPE OF INFORMATION ENTERED: Grant Identification data

SOURCE(S): Application for Federal Assistance
EPA Assistance Agreement/Amendment

NOTE: There are two versions of this screen, one displaying targeted amounts for projects with grants not yet awarded, and the other displaying awarded cumulatives for projects with awarded grants. This screen is for projects with grants not yet awarded.

SRF CAP GRANT AMENDMENT
APPLICATION (GRANT AWARDED)

Exhibit 2.2.3
Page 6 of 11

```

GLU1SAA1  GLWASAA1      GICS DATA ENTRY SYSTEM      LAST UPDATE:
SRF CAP GRANT AMENDMENT APPLICATION
NEXT SCREEN: SAS

NAME :
SRF-FISCAL-YEAR :
APPLICATION-REC-DATE:

STATE:
STATE-AP-ID :
AWARD-CD :

REGION :

CURRENT PROJECT      AMENDMENT
(AWARDED CUMS)      (CHANGE)

FUNDS-AWARDED      :
MATCH-CASH          :
MATCH-ASST-BANKED   :
MATCH-CASH-BANKED   :
MATCH-REQUIRED       :
OVERMATCH           :

PF1 = HELP      PF2 = NEXT SCREEN      PA2 = REFRESH
PF3 = PREV MENU PF4 = MAIN MENU      ENTER = UPDATE      SCREEN
```

PURPOSE: Enter Capitalization Grant Amendment data for amendments to the original grant award in GICS. Current Project (Awarded Cum) amounts are displayed.

**TYPE OF
INFORMATION**

ENTERED: Grant Identification data

SOURCE(S): Application for Federal Assistance
EPA Assistance Agreement/Amendment

NOTE: There are two versions of this screen, one displaying targeted amounts for projects with grants not yet awarded, and the other displaying awarded cumulatives for projects with awarded grants. This screen is for projects with awarded grants.

SRE CAP GRANT AMENDMENT **FINANCIAL DATA (PRE-AWARD)**

Exhibit 2.2.3
Page 7 of 11

```

GLU1SAS1  GLMASAS1      GICS DATA ENTRY SYSTEM      LAST UPDATE:
NEXT SCREEN: MEN  SRE CAP GRANT AMENDMENT FINAN DATA- PRE-AWARD
NAME:                                ORIGINAL          CUMULATIVE
FUNDS-AWARDED                        ] _____ ]
MATCH-CASH                          ] _____ ]
MATCH-ASST-BANKED                   ] _____ ]
MATCH-CASE-BANKED                   ] _____ ]
MATCH-REQUIRED                       ] _____ ]
FUNDS-REQUIRED                       ] _____ ]
OVERMATCH                           ] _____ ]
PAYMENTS:      87 / 1                ] _____ ]
YEAR/QTR       87 / 2                ] _____ ]
DATE           87 / 3                ] _____ ]
AMOUNT         87 / 4                ] _____ ]
              88 / 1                ] _____ ]
              88 / 2                ] _____ ]
              88 / 3                ] _____ ]
              88 / 4                ] _____ ]
              89 / 1                ] _____ ]
              89 / 2                ] _____ ]
              89 / 3                ] _____ ]

                                PF12: Input Assistance

ENTER:UPDATE  PF1:HELP  PF2:NEXT  PF3:PREV  PF4:MAIN  PA2:REFRESH  PF6:OVERRIDE

```

PURPOSE: Enter Capitalization Grant Amendment Financial data to update information for amendments to the original grant awarded in GICS. Current Project (Targeted) amounts are displayed.

TYPE OF INFORMATION ENTERED: Grant Financial data

SOURCE(S): EPA Assistance Agreement/Amendment

NOTE: There are two versions of this screen, Pre-Award and Post-Award. This is the Pre-Award version, which allows the user to enter Cap Grant Amendment Financial data, and "award" the amendment.

SRF CAP GRANT AMENDMENT **FINANCIAL DATA (POST-AWARD)**

Exhibit 2.2.3
Page 8 of 11

```

GLUISAS1  GLMASAS1      GICS DATA ENTRY SYSTEM      LAST UPDATE:
NEXT SCREEN: MEN  SRF CAP GRANT AMENDMENT FINAN DATA- POST-AWARD
NAME:                                     ORIGINAL      CUMULATIVE
FUNDS-AWARDED                               ]           ]
MATCH-CASH                                ]           ]
MATCH-ASST-BANKED                          ]           ]
MATCH-CASH-BANKED                          ]           ]
MATCH-REQUIRED                             ]           ]
FUNDS-REQUIRED                             ]           ]
OVERMATCH                                  ]           ]
PAYMENTS:      87 / 1                      ]           ]
YEAR/QTR       87 / 2                      ]           ]
DATE           87 / 3                      ]           ]
AMOUNT         87 / 4                      ]           ]
              88 / 1                      ]           ]
              88 / 2                      ]           ]
              88 / 3                      ]           ]
              88 / 4                      ]           ]
              89 / 1                      ]           ]
              89 / 2                      ]           ]
              89 / 3                      ]           ]

ENTER:UPDATE  PF1:HELP  PF2:NEXT  PF3:PREV  PF4:MAIN  PA2:REFRESH  PF6:OVERRIDE
  
```

PURPOSE:	Displays Capitalization Grant Amendment Financial data for amendments to the original grant award in GICS. Allows user to correct Financial data.
TYPE OF INFORMATION ENTERED:	Grant Financial data
SOURCE(S):	EPA Assistance Agreement/Amendment
NOTE:	There are two versions of this screen, Pre-Award and Post-Award. This is the Post-Award version, which displays the complete set of financial data and allows the user to modify any of the original financial values.

SRF PROJECT INFORMATION

Exhibit 2.2.3

Page 9 of 11

GPU3SPR1 GPMASPR1 GICS DATA ENTRY SYSTEM LAST UPDATE: _____
SRF PROJECT INFORMATION

NEXT SCREEN: SPA

PROGRAM : _____ PERMIT : P _____ PROJECT-ID : _____
PRIORITY-FY : _____ MULTI-FACILITIES : _____ FACILITY : _____
FUNDING-STATUS : _____ INDIAN-CODE : _____ INTENDED-USE-PLAN-FY : _____
FIRST-USE-CODE : _____ EQUIVALENCY : _____ ANNUAL-RPT-DATE : _____

NAME : _____ REGION : _____
STREET : _____ CITY : _____
STATE : _____ ZIP : _____ COUNTY : _____
CONG-DISTRICTS: _____ (Enter 'ALL' or use fields below for district numbers)

PROJECT-TYPE: _____ SRF-ASSISTANCE-TYPE: _____ INTEREST-RATE: _____ %

BINDING-DATE-TARGET : _____ BINDING-AMT-TARGET : _____
BINDING-DATE-ACTUAL : _____ BINDING-AMT-ACTUAL : _____
WWT-START-CD : _____
PERFORMANCE-CD : _____ INITIATE-OPERATION-CD: _____

PF1 = HELP PF2 = NEXT SCREEN PA2 = REFRESH
PF4 = MAIN MENU PF3 = PREV MENU <ENTER> = UPDATE SCREEN

PURPOSE: Enter Project Identification data to record information on projects funded by the SRF program.

**TYPE OF
INFORMATION**

ENTERED: Project Identification data

SOURCE(S): Project Priority List
Intended Use Plan
(Includes 319 and 320 project data)
Annual Report

SRF COST/ASSISTANCE TYPES

Exhibit 2.2.3
Page 10 of 11

GPU3SPA1	GPMASPA1	GICS DATA ENTRY SYSTEM	LAST UPDATE:
		SRF Cost/Assistance Types	
NEXT SCREEN: MEN			
NAME: _____] BINDING COMMITMENT _____	
ST: _____ PROJECT-ID: _____] BINDING-DATE-TARGET: _____	
] BINDING-AMT-TARGET : _____	
WWT COST CATEGORIES (TYPE=212)] BINDING-DATE-ACTUAL: _____	
] BINDING-AMT-ACTUAL : _____	
CAT-I : _____] SRF-ASSISTANCE-TYPE	
CAT-II : _____] LOANS : -	
CAT-IIIA : _____] REFINANCING : -	
CAT-IIIB : _____] INSURANCE : -	
CAT-IVA : _____] GUARANTEES : -	
CAT-IVB : _____			
CAT-V : _____			
STORM-SEWER-COST : _____			
TOTAL WWT -----> (212): _____] (ENTER X IN ALL TYPES THAT APPLY	
ESTUARY-COST (320): _____] PROJECT-TYPE: _____	
NON-POINT-SOURCE-COST (319): _____			
PF1 = HELP		PF2 = NEXT SCREEN	
PF4 = MAIN MENU		PF3 = PREV MENU	
		<ENTER> = UPDATE	
		PA2 = REFRESH SCREEN	

PURPOSE: Enter Project Cost data to provide information on SRF projects either currently funded or proposed.

TYPE OF INFORMATION

ENTERED: Project Financial data

SOURCE(S): Intended Use Plan
Annual Report

SRF PROJECT MULTIPLES

Exhibit 2.2.3
Page 11 of 11

GPU3SMU1	GPMASMU1	GICS DATA ENTRY SYSTEM		LAST UPDATE:	
NEXT SCREEN: MEN		SRF PROJECT MULTIPLES			
PERMITS : P	P	P	P	P	P
P	P	P	P	P	P
FACILITIES:					
PF1 = HELP			PF3 = PREV MENU		
PF4 = MAIN MENU			<ENTER> = UPDATE		

PURPOSE: Enter SRF Project Multiples for the Permit and Facilities codes.

**TYPE OF
INFORMATION**

ENTERED: Project Identification data

SOURCE(S): Intended Use Plan

Exhibit 2.2.4 SRF Source Data Elements

This exhibit depicts the relationship between the source documents discussed in Section 2.1 and the SRF-specific GICS screens.

Circled letters are used to identify the specific source document data that is entered into the screen data field.

SRF SOURCE DATA ELEMENTS

SRF SOURCE DATA ELEMENTS

1. DATE SUBMITTED: 08/7/1

2. DATE RECEIVED BY STATE: 08/10/01

3. DATE RECEIVED BY FEDERAL AGENCY: 08/10/01

4. FUND NUMBER: CS790001-89

5. NAME OF APPLICANT: New Water Dept. of Environmental Protection

6. ADDRESS: P.O. Box U, City, County, New Water XXXX

7. TYPE OF APPLICATION: ☐ New ☐ Continuation ☐ Renewal

8. TYPE OF FUNDING: ☐ State ☐ Federal ☐ Other

9. NAME OF FEDERAL AGENCY: U.S. Environmental Protection Agency

10. NAME OF APPLICANT'S OFFICE: New Water Water Pollution Control Revolving Fund as described in this application and the attached Intended Use Plan and Payment Schedule

11. IS THIS APPLICATION SUBJECT TO REVIEW BY STATE GOVERNING OFFICIALS? YES

12. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

13. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

14. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

15. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

16. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

17. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

18. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

19. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

20. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

21. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

22. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

23. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

24. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

25. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

26. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

27. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

28. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

29. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

30. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

31. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

32. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

33. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

34. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

35. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

36. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

37. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

38. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

39. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

40. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

41. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

42. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

43. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

44. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

45. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

46. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

47. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

48. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

49. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

50. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

51. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

52. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

53. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

54. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

55. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

56. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

57. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

58. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

59. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

60. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

61. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

62. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

63. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

64. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

65. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

66. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

67. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

68. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

69. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

70. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

71. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

72. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

73. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

74. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

75. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

76. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

77. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

78. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

79. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

80. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

81. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

82. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

83. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

84. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

85. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

86. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

87. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

88. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

89. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

90. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

91. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

92. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

93. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

94. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

95. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

96. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

97. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

98. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

99. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

100. IS THE APPLICANT CURRENTLY ON ANY FEDERAL DEBT? YES

GL01SRF1 GL01SRF1 GICS DATA ENTRY SYSTEM LAST UPDATE:

SRF CAP GRANT APPLICATION

KEY SCREEN: SFI

PROGRAM : AUTHORITY : STATE-AP-ID :

NAME : REGION :
STREET : CITY :
STATE : ZIP : SRF-FISCAL-YEAR :

APPLICATION-REC-DATE: FUNDS-AWARDED : ANRD-CD : CUM-ANRD :

YFI-HELP YF3-PREVIOUS MENU YF2-KEY SCREEN YF4-MAIN MENU YF2-REFRESH SCREEN <ENTER>-UPDATE

Exhibit 2.2.4
Page 2 of 12

920 West 42nd St. 4th Floor New York, NY 10018-3099

```

GLS18711 01MAR711          SICS DATA ENTRY SYSTEM          LAST UPDATE:
WEEK SCREEN: MEN          SVF CAP GRANT FINANCIAL DATA-  PVE-ARND
                              ORIGINAL                      CUMULATIVE

FUNDS-ARWARDED
MATCH-CASE
MATCH-ASST-BANKED
MATCH-CASE-BANKED
MATCH-REQUIRED
FUNDS-REQUIRED
OVERMATCH
PAYMENTS:
YEAR/QTR
DATE
AMOUNT

07 / 1
07 / 2
07 / 3
07 / 4
08 / 1
08 / 2
08 / 3
08 / 4
09 / 1
09 / 2
09 / 3

ENTER:UPDATE  PF1:HELP  PF2:MENU  PF3:PREV  PF4:MAIN  PA2:REFRESH  PF6:OVERVIEW

```

SRF SOURCE DATA ELEMENTS

Exhibit 2.2.4
Page 3 of 12

PART III - AWARD CONDITIONS

The principal "PARTS" of Subchapter B applicable to this grant are:

PART 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments;" and PART 32 "Debarment and Suspension under EPA Assistance Programs."

The State Contribution consists of:

A.	Cash	\$4,000,000
B.	Previous Title VI Eligible Assistance (Banked)	-0-
C.	Previous Cash Overmatch (Banked)	-0-

(c)

35 Total

1. The grantee agrees to accept payment from EPA (as increases to the amount of funds available from the Automated Clearing House (ACH)) in quarterly installments in accordance with the following schedule:

October 15, 1988	\$2,042,000
January 5, 1989	4,175,000
April 23, 1989	4,325,000
July 10, 1989	5,667,000
October 3, 1989	2,000,000
January 11, 1990	1,125,000
April 23, 1990	666,000
July 1, 1990	0
October 5, 1990	0
January 8, 1991	0
April 12, 1991	0

(d)

Once a payment has been made, EPA will not reduce that ACH ceiling.

GLD18711 GLM18711
NEXT SCREEN: MEN

GICS DATA ENTRY SYSTEM
SRF CAP GRANT FINANCIAL DATA- PRE-AWARD
ORIGINAL

LAST UPDATE:
CUMULATIVE

FUNDS-AWARDED
MATCH-CASE
MATCH-ASST-BANKED
MATCH-CASE-BANKED
MATCH-REQUIRED
FUNDS-REQUIRED
OVERMATCH
PAYMENTS:
QTR/OTR
QTR
QTR

07 / 1
07 / 2
07 / 3
07 / 4
08 / 1
08 / 2
08 / 3
08 / 4
09 / 1
09 / 2
09 / 3

(c)
(d)

AWARD-CD/DATE:

AWARDED
AMENDMENTS:

ENTER:UPDATE PF1:HELP PF2:NEXT PF3:PREV PF4:MAIN PA2:REFRESH PF6:OVERIDE

Page 4 of 12

GLD12AA1 GLM02AA1 SICR DATA ENTRY SYSTEM LAST UPDATE;
NEXT SCREEN: SAS SIF CAP GRANT AMENDMENT APPLICATION

NAME :
SYF-FISCAL-YEAR :
APPLICATION-REC-DAT:

STATE: REGION :
STATE-AP-ID :
AWARD-CD :

CURRENT PROJECT
(TARGETED)

AMENDMENT
(CHANGE)

FUND-AWARD:
MATCH-CASE
MATCH-ASST-BANKED
MATCH-CASE-BANKED
MATCH-REQUIRED
OVERMATCH

FF1 = HELP FF2 = NEXT SCREEN FF3 = REPRINT
FF3 = PREV MENU FF4 = MAIN MENU ENTER = UPDATE SCREEN

SRF SOURCE DATA ELEMENTS

U.S. ENVIRONMENTAL PROTECTION AGENCY WATER POLLUTION CONTROL DIVISION WASTE MANAGEMENT SYSTEMS SECTION		ASSISTANCE NO. NO. C5790001-89 DATE OF AMENDMENT 12/11/89		LOG NUMBER XXXXXXXXXX DRAFTING DATE 12/11/89	
A. ASSISTANT VICE PRESIDENT		B. PAYMENT METHOD		C. LETTER OF CREDIT	
Operating Expenses X		Capital Expenses X		Letter of Credit XXXXXX	
Other Expenses X		State Payment Account for X		Type of Action New Grant	
D. RESPONSIBILITY		E. PAYER			
New Water Department of Environ. Protec. P.O. Box U City, New Water XXXX		New Water Water Development Commission P.O. Box U City, New Water XXX			
F. FUND SOURCE		G. PROJECT TYPE		H. PROJECT STATUS	
XX-XXXXXX Statewide		XX-XXXXXX State Agency		XX-XXXXXX State Agency	
I. PROJECT CHARGER AND TELEPHONE NO.		J. CONSULTANT FIRST CONTRACTOR (Name Only)			
XXXX XXXXXXXX Executive Director		N/A			
K. REGIONAL OFFICE ADDRESS		L. EPA PROJECT/STATE OFFICE AND TELEPHONE NO.			
EPA Region 16 City, New Water		XXXX XXXXXXXXXX EPA, Region 16 Street City, State XXXXXX (XXXX-XXXX)			
M. EPA CONTACT PERSON'S NAME & TEL. NO.		N. STATE AGENCY CONTACT PERSON		O. FIELD OFFICE CONTACT PERSON	
Mr. Goshing (202) 382-3184		XX-XXXX-XXXX		N/A N/A	
P. STATUTORY AUTHORITY		Q. REGULATORY AUTHORITY		R. STEP 1 - 10 STEP 2 FIRST CONTRACTOR GROUP	
Clean Water Act, as amended Title VI and Section 205(m)		40 CFR Part 31		a. Preparing Plans b. Permit Type c. Preparing Program d. Design Group	
S. PROJECT TITLE AND DESCRIPTION					
The State of New Water Water Pollution Control Revolving Fund under Title VI of the Clean Water Act.					
T. PROJECT LOCATION (Address Address or Project)					
Statewide		Statewide		Completion Date All	
FEDERAL FUNDS PROGRAM/FY Program No. & Title 88-498 Fed. Grants for SWP		PROJECT PERIOD N/A		PROJECT PERIOD 10/01/88-01/01/93	
U. ESTIMATED PROJECTATION FIRST COST		V. TOTAL BUDGET PERIOD COST		W. TOTAL PROJECT PERIOD COST	
PLANS	FORWARD AMOUNT	TOTAL ACTION	AMOUNT TOTAL		
01. EPA Amounts CTS Action	N/A	\$20,000,000	b	N/A	
02. EPA In-State Amounts	N/A	N/A	c	N/A	
03. Unexpended FY88 Year Balance	N/A	N/A		N/A	
04. Other Federal Funds	N/A	N/A		N/A	
05. General Construction	N/A	N/A		N/A	
06. State Construction (See R.)	N/A	4,000,000		N/A	
07. Loan Construction	N/A	N/A		N/A	
08. Other Construction (Over Match)	N/A	4,000,000		N/A	
09. Allowance Project Cost	N/A	\$28,000,000		N/A	
Program Branch	FY	Account Number	Order Code	Action By & Approval	

```

GL01AS01  GL0AS001  CICS DATA ENTRY SYSTEM  LAST UPDATE:
NEXT SCREEN:  MEN  SET CAP GRANT AMNT  FUND DATA-  PRE-ARNSD
NAME:  CUMULATIVE
FUNDS-AWARDED
MATCH-CASE
MATCH-ASST-BANKED
MATCH-CASH-BANKED
MATCH-REQUIRED
FUNDS-REQUIRED
OVERMATCH
PAYMENTS:  07 / 1
YEAR/CTR  07 / 2
DATE  07 / 3
AMOUNT  07 / 4
          08 / 1
          08 / 2
          08 / 3
          08 / 4
          09 / 1
          09 / 2
          09 / 3

          ANRD-CD/DATE:
          CAP GRANT/
          ANRD-CD/DATE:
          AWARDED
          AMENDMENTS:

          FF12: Input Assistance

ENTER:UPDATE  PF1:HELP  PF2:MENU  PF3:PREV  PF4:MAIN  PA2:REFRESH  PF6:OVERRIDE

```

SRF SOURCE DATA ELEMENTS

Exhibit 2.2.4
Page 6 of 12

PART III - AWARD CONDITIONS

The principal "PARTS" of Subchapter B applicable to this grant are:

PART 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and PART 32 "Debarment and Suspension under EPA Assistance Programs."

The State Contribution consists of:

A.	Cash	\$4,000,000
B.	Previous Title VI Eligible Assistance (Banked)	-0-
C.	Previous Cash Overmatch (Banked)	-0-

(d)

31 Total

- The grantee agrees to accept payment from EPA (as increases to the amount of funds available from the Automated Clearing House (ACH)) in quarterly installments in accordance with the following schedule:

October 15, 1988	\$2,042,000
January 3, 1989	4,175,000
April 23, 1989	4,325,000
July 10, 1989	5,667,000
October 3, 1989	2,000,000
January 11, 1990	1,125,000
April 23, 1990	666,000
July 1, 1990	0
October 3, 1990	0
January 8, 1991	0
April 12, 1991	0

(e)

Once a payment has been made, EPA will not reduce that ACH ceiling.

OLU18AS1 OLMARAS1 GUCS DATA ENTRY SYSTEM LAST UPDATE:
NEXT SCREEN: NEW SRF CAP GRANT AMENDMENT FIRM DATA- PRA-ANRD
NAME: ORIGINAL CUMULATIVE
FUNDS-ANARDED
MATCH-CASH
MATCH-ASST-BANKED
MATCH-CASH-BANKED
MATCH-REQUIRED
FUNDS-REQUIRED
OVERMATCH
PAYMENTS: 87 / 1
YEAR/QTR 87 / 2
DATE 87 / 3
AMOUNT 87 / 4
88 / 1
88 / 2
88 / 3
88 / 4
89 / 1
89 / 2
89 / 3
AWARD-CD/DATE:
CAP GRANT/
AWARD-CD/DATE:
ANARDED
AMENDMENTS:
PF12: Input Assistance
ENTER:UPDATE PF1:HELP PF2:NEXT PF3:PREV PF4:MAIN PA2:REFRESH PF6:OVERIDE

SRF SOURCE DATA ELEMENTS

Exhibit 2.2.4
Page 7 of 12

Project Priority List

- o Project Number
- o Permit Number
- o Assistance Recipient's Name
and Address
- o Project County Name
- o Project Funding Status
- o Assistance Recipient's Congressional
District
- o Authority/Facility No.
- o Multiple Facilities Code
- o State Project Priority List Fiscal Year
- o Indian Id

GPU1SPR1 GPMASPR1 GICS DATA ENTRY SYSTEM LAST UPDATE: _____
SRF PROJECT INFORMATION _____
NEXT SCREEN: SPA _____

PROGRAM : _____ PERMIT : P _____ PROJECT-ID : _____
PRIORITY-FY : _____ MULTI-FACILITIES : _____ FACILITY : _____
FUNDING-STATUS : _____ INDIAN-CODE : _____ INTENDED-USE-PLAN-FY : _____
FIRST-USE-CODE : _____ EQUIVALENCY : _____ ANNUAL-RPT-DATE : _____

NAME : _____ REGION : _____
STREET : _____ CITY : _____
STATE : _____ ZIP : _____ COUNTY : _____
CONG-DISTRICTS: _____ (Enter 'ALL' or use fields below for district numbers)

PROJECT-TYPE: _____ SRF-ASSISTANCE TYPE: _____ INTEREST-RATE: _____

BINDING-DATE-TARGET : _____ BINDING-AMT-TARGET : _____
BINDING-DATE-ACTUAL : _____ BINDING-AMT-ACTUAL : _____
WWT-START-CD : _____
PERFORMANCE-CD : _____ INITIATE-OPERATION-CD: _____

PF1 = HELP PF2 = NEXT SCREEN PA2 = REFRESH
PF4 = MAIN MENU PF3 = PREV MENU <ENTER> = UPDATE SCREEN

SRF SOURCE DATA ELEMENTS

Exhibit 2.2.4

Page 8 of 12

Intended Use Plan

- o State FY Date
- o Project Number
- o Permit Number
- o Assistance Recipient's Name,
Address, Congressional District
- o Project County Name
- o Program Code
- o Authority/Facility No.
- o Multiple Facilities Code
- o IUP Fiscal Year
- o Loan Interest Rate
- o Binding Commitment
Targeted Amount
Targeted Date
- o Indian Id
- o National Municipal Policy: First Use
Projects
- o WWT Eligible Cost Categories
- o Assistance Types
- o Initiation of Operation

The IUP is the first source document with identifying and financial data elements for all 319 and 320 projects.

```

GPU3SPR1  GPMASPR1      GICS DATA ENTRY SYSTEM      LAST UPDATE:
SRF PROJECT INFORMATION

NEXT SCREEN: SPA

PROGRAM : _ PERMIT : P PROJECT-ID : _
PRIORITY-FY : _ MULTI-FACILITIES : _ FACILITY : _
FUNDING-STATUS : _ INDIAN-CODE : _ INTENDED-USE-PLAN-FY : _
FIRST-USE-CODE : _ EQUIVALENCY : _ ANNUAL-RPT-DATE : _

NAME : _ REGION : _
STREET : _ CITY : _
STATE : _ ZIP : _ COUNTY : _
CONG-DISTRICTS: _ (Enter 'ALL' or use fields below for district numbers)

PROJECT-TYPE: _ SRF-ASSISTANCE-TYPE: _ INTEREST-RATE: _ %

BINDING-DATE-TARGET : _ BINDING-AMT-TARGET : _
BINDING-DATE-ACTUAL : _ BINDING-AMT-ACTUAL : _
WWT-START-CD : _
PERFORMANCE-CD : _ INITIATE-OPERATION-CD: _

PF1 = HELP PF2 = NEXT SCREEN PA2 = REFRESH
PF4 = MAIN MENU PF3 = PREV MENU <ENTER> = UPDATE SCREEN
    
```

SRF SOURCE DATA ELEMENTS

Exhibit 2.2.4

Page 9 of 12

Annual Report

- o State FY Date
- o Project Number
- o Annual Report Date
- o Loan Interest Rate
- o Binding Commitment
 - Actual Amount
 - Actual Date
- o WWT Eligible Cost Categories
- o National Municipal Policy: First Use Projects
- o Identify Title II Equivalency Projects
- o Affirmative Project Performance Certification
- o Construction Start Date
- o Assistance Types
- o Initiation of Operation

GPU3SPRI GPMASPRI GICS DATA ENTRY SYSTEM LAST UPDATE: _____
SRF PROJECT INFORMATION

NEXT SCREEN: SPA _____

PROGRAM : _____ PERMIT : P _____ PROJECT-ID : _____
PRIORITY-FY : _____ MULTI-FACILITIES : _____ FACILITY : _____
FUNDING-STATUS : _____ INDIAN-CODE : _____ INTENDED-USE-PLAN-FY : _____
FIRST-USE-CODE : _____ EQUIVALENCY : _____ ANNUAL-RPT-DATE : _____

NAME : _____ REGION : _____
STREET : _____ CITY : _____
STATE : _____ ZIP : _____ COUNTY : _____
CONG-DISTRICTS: _____ (Enter 'ALL' or use fields below for district numbers)

PROJECT-TYPE: _____ SRF-ASSISTANCE-TYPE: _____ INTEREST-RATE: _____ %

BINDING-DATE-TARGET : _____ BINDING-AMT-TARGET : _____
BINDING-DATE-ACTUAL : _____ BINDING-AMT-ACTUAL : _____
WWT-START-CD : _____
PERFORMANCE-CD : _____ INITIATE-OPERATION-CD: _____

PF1 = HELP PF2 = NEXT SCREEN PA2 = REFRESH
PF4 = MAIN MENU PF3 = PREV MENU <ENTER> = UPDATE SCREEN

SRF SOURCE DATA ELEMENTS

Project Priority List

- o Project Number
- o Permit Number
- o Assistance Recipient's Name and Address
- o Project County Name
- o Project Funding Status
- o Assistance Recipient's Congressional District
- o Authority/Facility No.
- o Multiple Facilities Code
- o State Project Priority List Fiscal Year
- o Indian Id

```

GPU3SPA1  GPMASPA1      GICS DATA ENTRY SYSTEM      LAST UPDATE:
SRF Cost/Assistance Types

NEXT SCREEN: MEN

NAME: _____
ST: _____ PROJECT-ID: _____

WWT COST CATEGORIES (TYPE=212)
CAT-I      : _____
CAT-II     : _____
CAT-IIIA   : _____
CAT-IIIB   : _____
CAT-IVA    : _____
CAT-IVB    : _____
CAT-V      : _____
STORM-SEWER-COST : _____
TOTAL WWT -----> (212): _____
ESTUARY-COST (320): _____
NON-POINT-SOURCE-COST (319): _____

BINDING COMMITMENT
BINDING-DATE-TARGET: _____
BINDING-AMT-TARGET : _____
BINDING-DATE-ACTUAL: _____
BINDING-AMT-ACTUAL : _____

SRF-ASSISTANCE-TYPE
LOANS      : -
REFINANCING : -
INSURANCE  : -
GUARANTEES : -

(ENTER X IN ALL TYPES THAT APPLY)

PROJECT-TYPE: _____

PF1 = HELP      PF2 = NEXT SCREEN      PA2 = REFRESH
PF4 = MAIN MENU PF3 = PREV MENU          SCREEN
<ENTER> = UPDATE
  
```

SRF SOURCE DATA ELEMENTS

Annual Report

- o State FY Date
- o Project Number
- o Annual Report Date
- o Loan Interest Rate
- o Binding Commitment
 - Actual Amount
 - Actual Date
- o WWT Eligible Cost Categories
- o National Municipal Policy: First Use Projects
- o Identify Title II Equivalency Projects
- o Affirmative Project Performance Certification
- o Construction Start Date
- o Assistance Types
- o Initiation of Operation

```

GPU3SPA1  GPMASPA1      GICS DATA ENTRY SYSTEM      LAST UPDATE:
                        SRF Cost/Assistance Types
NEXT SCREEN: MEN

NAME: _____ | BINDING COMMITMENT _____
ST: _____ | BINDING-DATE-TARGET: _____
PROJECT-ID: _____ | BINDING-AMT-TARGET : _____

WWT COST CATEGORIES (TYPE-212) | BINDING-DATE-ACTUAL: _____
                                | BINDING-AMT-ACTUAL : _____

CAT-I       : _____ |
CAT-II      : _____ |
CAT-IIIA    : _____ |
CAT-IIIB    : _____ |
CAT-IVA     : _____ |
CAT-IVB     : _____ |
CAT-V       : _____ |
STORM-SEWER-COST : _____ |
TOTAL WWT -----> (212): _____ |
ESTUARY-COST (320): _____ |
NON-POINT-SOURCE-COST (319): _____ |

PF1 = HELP      PF2 = NEXT SCREEN  PA2 = REFRESH
PF4 = MAIN MENU  PF3 = PREV MENU    SCREEN
<ENTER> = UPDATE
  
```

SRF SOURCE DATA ELEMENTS

Exhibit 2.2.4
Page 12 of 12

Intended Use Plan

- o State FY Date
- o Project Number
- o Permit Number
- o Assistance Recipient's Name,
Address, Congressional District
- o Project County Name
- o Program Code
- o Authority/Facility No.
- o Multiple Facilities Code
- o IUP Fiscal Year
- o Loan Interest Rate
- o Binding Commitment
Targeted Amount
Targeted Date
- o Indian Id
- o National Municipal Policy: First Use
Projects
- o WWT Eligible Cost Categories
- o Assistance Types
- o Initiation of Operation

The IUP is the first source document with identifying and financial data elements for all 319 and 320 projects.

GPUJSMU1	GPMASHU1	GICS DATA ENTRY SYSTEM		LAST UPDATE:	
NEXT SCREEN: MEN		SRF PROJECT MULTIPLES			
<hr/>					
PERMITS :	P	P	P	P	P
	P	P	P	P	P
<hr/>					
FACILITIES:					
<hr/>					
PF1 = HELP			PF3 = PREV MENU		
PF4 = MAIN MENU			<ENTER> = UPDATE		

Exhibit 2.2.5 Data Element List by GICS Screen

This matrix lists by screen, each data element found on the screen. In most instances, the screen data fields are either input or output fields, depending upon whether the grant or project is targeted or awarded. The **Award Code** on the data screens indicates whether the grant or project is targeted (T) or awarded (A). When performing data entry during the targeted phase, data entry is allowed in certain fields; once the award has been made and entered into the data base, the data is displayed in certain fields. Display-only screen data fields are indicated in the **Comments** section of this matrix.

The matrix includes the following information:

- o **Menu/Screen Name** - the name of the menu or screen
- o **Data Element Name** - the name of the data element found on the screen
- o **Source Document** - indicates which source documents provide the data to be entered on this screen for Input-only data elements. The numbers in the **Application** and **Award/Amendments** column indicate the actual box on the form that provides the data.
- o **Comments** - specifies additional information related to the screen data field

The SRF GICS project screens (SRF Priority List/Application and SRF Cost/Assistance Types) indicate that data is entered from the Project Priority List (PPL), Intended Use Plan (IUP) and Annual Report. SRF project data is generally first entered from the PPL. The 319 and 320 projects are not included on the PPL, therefore, the identifying and financial data related to these projects must be entered from the IUP and the Annual Report.

DATA ELEMENT LIST BY GICS SCREEN - GRANT/PROJECT INFORMATION

								EXHIBIT 2.2.5
			SOURCE	DOCUMENTS				
MENU/ SCREEN	DATA ELEMENT		AWARD/			ANNUAL		
NAME	(As Appears on Screen)	APPLICATION	AMENDMENTS	PPL	IUP	REPORT	OTHER	COMMENTS
SRF CAP	GRANT NUMBER							Display Only
GRANT	PROGRAM							System Generated
APPLICATION	AUTHORITY							Display Only
	STATE-AP-ID	3						
	NAME	5						
	REGION							System Generated
	STREET	5						
	CITY	5						
	STATE							System Generated
	ZIP	5						
	SRF-FISCAL-YEAR							System Generated
	APPL-REC-DATE	4						
	AWARD-CD		3					
	FUNDS-AWARDED							Display Only
	CUM-AWARD							Display Only

DATA ELEMENT LIST BY GICS SCREEN - GRANT/PROJECT INFORMATION

EXHIBIT 2.2.5							
			SOURCE	DOCUMENTS			
MENU/ SCREEN NAME	DATA ELEMENT (As Appears on Screen)	APPLICATION	AWARD/ AMENDMENTS	PPL	IUP	ANNUAL REPORT	OTHER
SRF CAP GRANT FINANCIAL INFORMATION (PRE-AWARD)	GRANT NUMBER						Display Only
	NAME						Display Only
	AWARD-CD/DATE						Display Only
	AWARDED AMENDMENTS						System Calculated
	ORIGINAL AWARD						Display Only
	- FUNDS-AWARDED		30				
	- MATCH-CASH		35A				
	- MATCH-ASST-BANKED		35B				
	- MATCH-CASH-BANKED		35C				
	- MATCH-REQUIRED						System Calculated
	- FUNDS-REQUIRED						System Calculated
	- OVERMATCH		37				
	PAYMENT						
	- YEAR/QTR						System Generated
	- DATE		X				
	- AMOUNT		X				
	CUMULATIVES						
	- FUNDS-AWARDED						System Calculated
	- MATCH-CASH						System Calculated
	- MATCH-ASST-BANKED						System Calculated
	- MATCH-CASH-BANKED						System Calculated
	- MATCH-REQUIRED						System Calculated
	- FUNDS-REQUIRED						System Calculated
	- OVERMATCH						System Calculated
	PAYMENT						
	- AMOUNT						System Calculated

DATA ELEMENT LIST BY GICS SCREEN - GRANT/PROJECT INFORMATION

EXHIBIT 2.2.5							
		SOURCE		DOCUMENTS			
MENU/ SCREEN NAME	DATA ELEMENT (As Appears on Screen)	APPLICATION	AWARD/ AMENDMENTS	PPL	IUP	ANNUAL REPORT	OTHER
		COMMENTS					
SRF CAP	GRANT NUMBER						Display Only
GRANT	NAME						Display Only
FINANCIAL	AWARD-CD/DATE						Display Only
INFORMATION	AWARDED AMENDMENTS						System Calculated
(POST-AWARD)	ORIGINAL AWARD						Display Only
	- FUNDS-AWARDED						Display Only
	- MATCH-CASH						Display Only
	- MATCH-ASST-BANKED						Display Only
	- MATCH-CASH-BANKED						Display Only
	- MATCH-REQUIRED						System Calculated
	- FUNDS-REQUIRED						System Calculated
	- OVERMATCH						Display Only
	PAYMENT						Display Only
	- YEAR/QTR						System Generated
	- DATE						Display Only
	- AMOUNT						Display Only
	CUMULATIVES						
	- FUNDS-AWARDED						System Calculated
	- MATCH-CASH						System Calculated
	- MATCH-ASST-BANKED						System Calculated
	- MATCH-CASH-BANKED						System Calculated
	- MATCH-REQUIRED						System Calculated
	- FUNDS-REQUIRED						System Calculated
	- OVERMATCH						System Calculated
	PAYMENT						
	- AMOUNT						System Calculated

DATA ELEMENT LIST BY GICS SCREEN - GRANT/PROJECT INFORMATION

EXHIBIT 2.2.5							
MENU/ SCREEN NAME	DATA ELEMENT (As Appears on Screen)	APPLICATION	SOURCE AWARD/ AMENDMENTS	DOCUMENTS		ANNUAL REPORT	OTHER
				PPL	IUP		
SRF CAP	GRANT NUMBER						Display Only
GRANT	NAME						Display Only
AMENDMENT	STATE						Display Only
APPLICATION	REGION						Display Only
(A)	SRF-FISCAL-YEAR						System Generated
	STATE-AP-ID	3					
	APPL-REC-DATE	4					
	AWARD-CD		3				
	CURRENT PROJECT (TARGETED)						
	- FUNDS AWARDED						Display Only
	- MATCH-CASH						Display Only
	- MATCH-ASST-BANKED						Display Only
	- MATCH-CASH-BANKED						Display Only
	- MATCH-REQUIRED						Display Only
	- OVERMATCH						Display Only
	AMENDMENT (CHANGE)						Display Only
	- FUNDS AWARDED						Display Only
	- MATCH-CASH						Display Only
	- MATCH-ASST-BANKED						Display Only
	- MATCH-CASH-BANKED						Display Only
	- MATCH-REQUIRED						Display Only
	- OVERMATCH						Display Only

DATA ELEMENT LIST BY GICS SCREEN - GRANT/PROJECT INFORMATION

EXHIBIT 2.2.5							
			SOURCE	DOCUMENTS			
MENU/ SCREEN NAME	DATA ELEMENT (As Appears on Screen)	APPLICATION	AWARD/ AMENDMENTS	PPL	IUP	ANNUAL REPORT	OTHER
SRF CAP	GRANT NUMBER						Display Only
GRANT	NAME						Display Only
AMENDMENT	STATE						Display Only
APPLICATION	REGION						Display Only
(B)	SRF-FISCAL-YEAR						System Generated
	STATE-AP-ID	3					
	APPL-REC-DATE	4					
	AWARD-CD		3				
	CURRENT PROJECT (AWARDED CUMS)						
	- FUNDS AWARDED						Display Only
	- MATCH-CASH						Display Only
	- MATCH-ASST-BANKED						Display Only
	- MATCH-CASH-BANKED						Display Only
	- MATCH-REQUIRED						Display Only
	- OVERMATCH						Display Only
	AMENDMENT (CHANGE)						Display Only
	- FUNDS AWARDED						Display Only
	- MATCH-CASH						Display Only
	- MATCH-ASST-BANKED						Display Only
	- MATCH-CASH-BANKED						Display Only
	- MATCH-REQUIRED						Display Only
	- OVERMATCH						Display Only

DATA ELEMENT LIST BY GICS SCREEN - GRANT/PROJECT INFORMATION

EXHIBIT 2.2.5							
		SOURCE		DOCUMENTS			
MENU/ SCREEN NAME	DATA ELEMENT (As Appears on Screen)	APPLICATION	AWARD/ AMENDMENTS	PPL	IUP	ANNUAL REPORT	OTHER
		COMMENTS					
SRF CAP GRANT AMENDMENT FINANCIAL INFORMATION (PRE-AWARD)	GRANT NUMBER						Display Only
	AWARD-CD/DATE		3				
	CAP-GRANT/AWARD-CD/DATE						System Generated
	AWARDED AMENDMENTS						System Calculated
	NAME						Display Only
	AMENDMENT (CHANGE)						
	- FUNDS-AWARDED		30				
	- MATCH-CASH		35A				
	- MATCH-ASST-BANKED		35B				
	- MATCH-CASH-BANKED		35C				
	- MATCH-REQUIRED						System Calculated
	- FUNDS-REQUIRED						System Calculated
	- OVERMATCH		37				
	PAYMENT						
	- YEAR/QTR						System Generated
	- DATE		X				
	- AMOUNT		X				
	NEW CUMULATIVES						
	- FUNDS-AWARDED						System Calculated
	- MATCH-CASH						System Calculated
	- MATCH-ASST-BANKED						System Calculated
	- MATCH-CASH-BANKED						System Calculated
	- MATCH-REQUIRED						System Calculated
	- FUNDS-REQUIRED						System Calculated
	- OVERMATCH						System Calculated
	PAYMENT						
	- AMOUNT						System Calculated

DATA ELEMENT LIST BY GICS SCREEN - GRANT/PROJECT INFORMATION

EXHIBIT 2.2.5							
MENU/ SCREEN NAME	DATA ELEMENT (As Appears on Screen)	APPLICATION	AWARD/ AMENDMENTS	DOCUMENTS		ANNUAL REPORT	OTHER
				PPL	IUP		
SRF CAP							
GRANT	GRANT NUMBER						Display Only
AMENDMENT	AWARD-CD/DATE						Display Only
FINANCIAL	CAP-GRANT/AWARD-CD/DATE						System Generated
INFORMATION	AWARDED AMENDMENTS						System Calculated
(POST-AWARD)	NAME						Display Only
	AMENDMENT (CHANGE TO AWARD)						
	- FUNDS-AWARDED						Display Only
	- MATCH-CASH						Display Only
	- MATCH-ASST-BANKED						Display Only
	- MATCH-CASH-BANKED						Display Only
	- MATCH-REQUIRED						System Calculated
	- FUNDS-REQUIRED						System Calculated
	- OVERMATCH						Display Only
	PAYMENT						
	- YEAR/QTR						System Generated
	- DATE						Display Only
	- AMOUNT						Display Only
	NEW CUMULATIVES						
	- FUNDS AWARDED						System Calculated
	- MATCH-CASH						System Calculated
	- MATCH-ASST-BANKED						System Calculated
	- MATCH-CASH-BANKED						System Calculated
	- MATCH-REQUIRED						System Calculated
	- FUNDS-REQUIRED						System Calculated
	- OVERMATCH						System Calculated
	PAYMENT						
	- AMOUNT						System Calculated

DATA ELEMENT LIST BY GICS SCREEN - GRANT/PROJECT INFORMATION

EXHIBIT 2.2.5

MENU/ SCREEN NAME	DATA ELEMENT (As Appears on Screen)	APPLICATION	SOURCE AWARD/ AMENDMENTS	DOCUMENTS		ANNUAL REPORT	OTHER	COMMENTS
				PPL	IUP			
SRF PROJECT INFORMATION	GRANT NUMBER (PROJECT NO)							Display Only
	PROGRAM							Display Only
	PERMIT			X	X			
	PROJECT-ID						X	For State Use Only
	PRIORITY-FY			X				
	MULTI-FACILITIES			X	X			
	FACILITY			X	X			
	FUNDING-STATUS			X				
	INDIAN-CODE			X	X			
	INTENDED-USE-PLAN-FY				X			
	FIRST - USE - CODE				X	X		
	EQUIVALENCY					X		
	ANNUAL-RPT-DATE					X		
	NAME			X	X			
	REGION							Display Only
	STREET			X	X			
	CITY			X	X			
	STATE							Display Only
	ZIP			X	X			
	COUNTY			X	X			
	CONG-DISTRICTS			X	X			
	PROJECT-TYPE							Display Only
	SRF-ASSISTANCE-TYPE							Display Only
	INTEREST-RATE				X	X		
	BINDING-DATE-TARGET							Display Only
	BINDING-DATE-ACTUAL							Display Only
	BINDING-AMT-TARGET							Display Only
	BINDING-AMT-ACTUAL							Display Only
	WWT-START-CD							
	PERFORMANCE-CD					X		
	INITIATE-OPERATION-CD				X	X		

DATA ELEMENT LIST BY GICS SCREEN - GRANT/PROJECT INFORMATION

								EXHIBIT 2.2.5
			SOURCE	DOCUMENTS				
MENU/ SCREEN	DATA ELEMENT		AWARD/ AMENDMENTS			ANNUAL		
NAME	(As Appears on Screen)	APPLICATION		PPL	IUP	REPORT	OTHER	COMMENTS
SRF COST/ ASSISTANCE TYPES	GRANT NUMBER (PROJECT NO)							Display Only
	BINDING-DATE-TARGET				X			
	BINDING-AMT-TARGET				X			
	BINDING-DATE-ACTUAL					X		
	BINDING-AMT-ACTUAL					X		
	NAME							Display Only
	ST							System Generated
	PROJECT-ID							Display Only
	WWT COST CATEGORIES				X	X		
	(TYPE = 212):				X	X		
	- CAT-I				X	X		
	- CAT-II				X	X		
	- CAT-III A				X	X		
	- CAT-III B				X	X		
	- CAT-IV A				X	X		
	- CAT-IV B				X	X		
	- CAT-V				X	X		
	- STORM-SEWER-COST				X	X		
	- TOTAL WWT-----> (212)							System Calculated
	ESTUARY-COST (320)				X	X		
	NON-POINT-SOURCE-COST (319)				X	X		
	SRF-ASSISTANCE-TYPES:							
	- LOANS				X	X		
	- REFINANCING				X	X		
	- INSURANCE				X	X		
	- GUARANTEES				X	X		
	PROJECT-TYPE							Display Only

SECTION 3.0 SRF GICS NATIONAL REPORTS

Introduction The SRF data entered into GICS is stored in the GICS database and is available for subsequent report generation. SRF National report formats have been created to provide detailed and summarized information on capitalization grants and SRF projects. SRF Priority List information is included in the Construction Grants National Priority List Reports. Both Construction Grants and SRF Priority List information is included in the reports.

Contents of This Section This section identifies EPA's SRF National information needs and describes each of the SRF reports. The SRF Report formats are included with suggestions on how to use the reports. Section 3 is organized as shown:

For Information On:	See Section:	See Exhibit:
The EPA's SRF Information Needs	3.1 EPA's SRF National Information Needs	3.1.1 EPA's SRF National Reporting Requirements
The SRF GICS National Reports	3.2 SRF GICS National Reports	3.2.1 SRF GICS National Report Summary
The SRF GICS National Report Select Logic Criteria and Data Elements	3.2 SRF GICS National Reports	3.2.2 SRF GICS National Report Select Logic Criteria
The SRF GICS National Reports and their Uses	3.2 SRF GICS National Reports	3.2.3 SRF GICS National Reports

3.1 EPA'S SRF National Information Needs

This section identifies the EPA's SRF National information needs.

The SRF National Information Needs section is designed to identify:

- o The EPA's SRF National information needs**
- o How GICS meets these needs through reports**

3.1.1 Environmental Protection Agency's SRF National Reporting Requirements

Title VI of the Clean Water Act (CWA) authorizes the EPA to make capitalization grants to States for establishing State Water Pollution Control Revolving Funds (SRFs). EPA does not have a role in administering the SRF funds at the project level, therefore, a minimal amount of grant and project data is required to be tracked at the Federal level. However, it is EPA's role to:

- o Manage its SRF Capitalization Grant Program,
- o Provide a Basis for its Required Outlay Projections, and
- o Meet its Responsibilities for Congressional and National reporting.

The purpose of providing standard report formats is to assist the EPA in meeting these requirements on the Regional and National levels. This exhibit summarizes the SRF National reporting requirements, describing the type of information needed by the EPA Headquarters and Regional Offices, and the related SRF GICS reports that provide the information.

ENVIRONMENTAL PROTECTION AGENCY'S SRF NATIONAL REPORTING REQUIREMENTS

Exhibit 3.1.1
Page 1 of 4

Information Need	Reporting Level	Specific Information Need:	Related SRF GICS Reports
<p>Manage SRF Capitalization Grant Program</p>	<p>EPA Headquarters</p>	<ul style="list-style-type: none"> o Track Progress of SRF program from a National perspective o Provide aggregate level information to identify patterns and trends or to make comparisons among regions or States which will serve to guide program judgments o Assist in developing grants management policy o Provide information to serve as a basis for developing or modifying policies in SRF program 	<p>National SRF Capitalization Grant Summary</p> <p>National Project Summary to Date</p> <p>National Assistance Type Summary to Date</p>

**ENVIRONMENTAL PROTECTION AGENCY'S
SRF NATIONAL REPORTING REQUIREMENTS**

Exhibit 3.1.1
Page 2 of 4

Information Need	Reporting Level	Specific Information Need:	Related GICS SRF Reports
Manage SRF Capitalization Grant Program	EPA Headquarters EPA Regional Offices	<ul style="list-style-type: none"> ○ Assist in the grant application review process ○ Provide Project Priority List information ○ Assist in grant negotiation process between States and Region ○ Provide information to facilitate the grant agreement process ○ Provide information on the implementation of the State's SRF programs to assist in the Annual Review ○ Provide aggregate level information to identify patterns and trends or make comparisons among States which will serve to guide program judgements 	<p>SRF Capitalization Grant Summary for Regions</p> <p>Annual Report Status of Binding Commitments</p> <p>Project Level Milestones for 212 Projects</p> <p>Regional Project Summary to Date</p> <p>State Project Summary to Date</p> <p>Regional Assistance Type Summary to Date</p> <p>Detailed Grant Data</p> <p>Detailed Project Data</p> <p>SRF Project Records Cost Categories</p>

ENVIRONMENTAL PROTECTION AGENCY'S SRF NATIONAL REPORTING REQUIREMENTS

Exhibit 3.1.1
Page 3 of 4

Information Need	Reporting Level	Specific Information Need:	Related GICS SRF Reports
<p align="center">Provide Basis for the EPA's Required Outlay Projections</p>	<p align="center">EPA Headquarters EPA Regional Offices</p>	<p align="center">o Assist in estimating outlays</p>	<p align="center">Annual Report Status of Binding Commitments</p>

ENVIRONMENTAL PROTECTION AGENCY'S SRF NATIONAL REPORTING REQUIREMENTS

Exhibit 3.1.1
Page 4 of 4

Information Need	Reporting Level	Specific Information Need:	Related GICS SRF Reports
SRF Report to Congress	EPA Headquarters	<ul style="list-style-type: none"> o Assist in assessing the financial status and operations of the SRF program o Provide information on the status of the SRF implementation o Provide information to support the preparation of the SRF Program Report to Congress 	<p>National SRF Capitalization Grant Summary</p> <p>SRF Capitalization Grant Summary for Regions</p> <p>National Project Summary to Date</p>

3.2 SRF GICS National Reports

This section identifies the SRF National reports generated from GICS. The SRF GICS National Reports Section is designed to familiarize you with the:

- o SRF GICS Report Select Logic Criteria
- o SRF GICS standard report formats
- o SRF GICS report data elements
- o Uses of the SRF GICS reports

Exhibit 3.2.1 SRF GICS National Report Summary

This exhibit summarizes the SRF National reports generated from GICS, including a description of the information provided.

SRF GICS NATIONAL REPORT SUMMARY

Exhibit 3.2.1

REPORT	DESCRIPTION
STATE REVOLVING FUND CAP GRANT DETAIL REPORT (0600)	Identifies financial information for capitalization grant by State.
NATIONAL SRF CAPITALIZATION GRANT SUMMARY (0601)	Lists, by Region, the number of States that have received at least one capitalization grant, the cumulative EPA funds awarded, and the components of the State match.
SRF CAPITALIZATION GRANT SUMMARY FOR REGION XX IN FY XX (0602)	Lists the capitalization grants that each State, within a Region, has received over a specified time period, cumulative EPA funds awarded, the components of the State match, and the beginning/ending dates.
STATE REVOLVING FUND PROJECT DETAIL REPORT (0610)	Lists all National data element information for projects funded by SRF
ANNUAL REPORT STATUS OF BINDING COMMITMENTS (0611)	List of binding commitments for projects with payment quarters one year ago or more from the award date. Report will indicate whether binding commitments have been made for 120% of payments in the first year.
PROJECT LEVEL MILESTONES FOR 212 PROJECTS (0612)	Lists the SRF projects per State, identifying the equivalency projects, binding commitment actual date and amounts, and other project information.
NATIONAL PROJECT SUMMARY TO DATE FOR PROJECTS WITH TARGETED OR ACTUAL BINDING COMMITMENTS (0613)	Lists the number of projects and dollar amounts of projects for each project type by Region. The percentage of each project type is calculated.
REGION XX SUMMARY TO DATE FOR PROJECTS WITH ACTUAL OR TARGETED BINDING COMMITMENTS (0614)	Lists the number of projects and dollar amounts of projects for each project type by State within a Region. The percentage of each project type is calculated.
STATE PROJECT SUMMARY TO DATE FOR PROJECTS WITH ACTUAL OR TARGETED BINDING COMMITMENTS (0615)	Lists the number of projects and dollar amounts of projects for each project type by State. The percentage of each project type is calculated.
NATIONAL ASSISTANCE TYPE SUMMARY TO DATE FOR PROJECTS WITH ACTUAL OR TARGETED BINDING COMMITMENTS (0616)	Lists the number of projects for each assistance type and the dollar amount, by Region, and calculates the percentage of each assistance type.
REGION XX ASSISTANCE TYPE SUMMARY TO DATE WITH ACTUAL OR TARGETED BINDING (0617)	Lists the number of projects for each assistance type and the dollar amount, by State, and calculates the percentage of each assistance type.
SRF PROJECT RECORDS COST CATEGORIES BINDING DATE-ACTUAL FROM XXXXXX THRU XXXXXX (0618)	Lists SRF projects with actual binding commitments by Grant Number, identifying the interest rate and the dollar amounts disbursed, by cost category.

Exhibit 3.2.2 SRF GICS National Report Select Logic Criteria

This exhibit provides the SRF GICS Report Select Logic Criteria for the SRF National reports. Select Logic Criteria is used in the development of a report. The following information is identified for each report:

- o Report Title - Formal report titles
- o Report Number - Number of report
- o Select Logic - The select criteria for the report; this identifies what type of data records will be used to generate the report
- o Sort By - Sorting sequence of the data records
- o ADABAS Name - Identifies the data element name as defined in the SRF GICS Data Element Dictionary
- o Column Heading - Identifies the proposed column heading to be displayed on the report

SRF GICS NATIONAL REPORT SELECT LOGIC CRITERIA

Exhibit 3.2.2
Page 1 of 19

REPORT TITLE: STATE REVOLVING FUND CAP GRANT DETAIL REPORT

REPORT NUMBER: 0600

SELECT LOGIC: PROGRAM = CS AND
CAP-GRANT NE BLANK

SORT BY: STATE

DISPLAY:	ADABAS NAME:	COLUMN HEADING
1	REPORT NUMBER	(AS PART OF HEADER)
2	REPORT DATE	(AS PART OF HEADER)
3	GRANT-NO	"GRANT NUMBER"
4	AUTHORITY	"LEGIS AUTH"
5	SRF-FISCAL-YEAR	"STATE FY"

APPLICANT INFORMATION:

6	NAME	"APPLICANT NAME"
7	STREET	"APPLICANT STREET"
8	CITY	"APPLICANT CITY"
9	STATE	"APPLICANT STATE"
10	ZIP	"APPLICANT ZIP CODE"
11	STATE-AP-ID	"ST ID"
12	REGION	"REGION"

FINANCE:

13	CUM-AWARD	"CUM-AWARD"
14	FUNDS-AWARDED	"EPA AWARD "
15	MATCH-REQUIRED	"MATCH REQ 20%"
16	MATCH-CASH	"MATCH-CASH"

**SRF GICS NATIONAL REPORT SELECT
LOGIC CRITERIA**Exhibit 3.2.2
Page 2 of 19**REPORT TITLE:** STATE REVOLVING FUND CAP GRANT DETAIL REPORT**REPORT NUMBER:** 0600**SELECT LOGIC:** PROGRAM - CS AND
CAP-GRANT NE BLANK**SORT BY:** STATE**DISPLAY:** **ADABAS NAME:** **COLUMN HEADING**

17	MATCH-ASSIT-BANKED	"MATCH ASST BK"
18	MATCH-CASH-BANKED	"MATCH CASH BK"
19	OVERMATCH	"OVERMATCH"
20	FUNDS-REQUIRED	"GRANT +20% MATCH"
21	APPLICATION-REC-DATE	"APPL RECEIPT"
22	AWARD-CODE AWARD-DATE	"GRANT AWARD"
PAYMENT SCHEDULE:		
23	PAYMENT-QTR	"QUARTER"
24	PAYMENT	"AMOUNT"
25	PAYMENT-DATE	"DATE"

SRF GICS NATIONAL REPORT SELECT LOGIC CRITERIA

Exhibit 3.2.2 ..
Page 3 of 19

REPORT TITLE: NATIONAL SRF CAPITALIZATION GRANT SUMMARY

REPORT NUMBER: 0601

SELECT LOGIC: PROGRAM = CS AND
RECORD-TYPE = C OR N AND
AUTHORITY = 3S AND
AWARD-CODE = 'A ' AND
CAP-GRANT NE BLANK

SORT BY: REGION

DISPLAY:	ADABAS NAME:	COLUMN HEADING
1	REPORT NUMBER	(AS PART OF HEADER)
2	REPORT DATE	(AS PART OF HEADER)
3	AWARD-CODE = A, (COUNTER)	"NUMBER OF STATES WHICH RECEIVED ONE OR MORE GRANTS"
4	CUM-AWARD	"CUMULATIVE EPA FUNDS AWARDED"
5	MATCH-CASH	"CASH - CURRENT YEAR"
6	MATCH-ASSIT-BANKED	"PREVIOUS TITLE VI ELIGIBLE ASSISTANCE - (BANKED)"
7	MATCH-CASH-BANKED	"PREVIOUS CASH OVERMATCH (BANKED)"
8	MATCH-REQUIRED	"20% STATE MATCH TOTAL"
9	OVERMATCH	"STATE OVERMATCH"
10	TOTAL BY COLUMN	(TOTALS BY COLUMN)

SRF GICS NATIONAL REPORT SELECT LOGIC CRITERIA

Exhibit 3.2.2
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REPORT TITLE: SRF CAPITALIZATION GRANT SUMMARY FOR REGION XX IN FY XX

REPORT NUMBER: 0602

SELECT LOGIC: PROGRAM = CS AND
RECORD-TYPE = C OR N AND
AUTHORITY = 3S AND
AWARD-CODE = 'A ' AND
CAP-GRANT NE BLANK
REGION = XX AND
FISCAL YEAR = XX

SORT BY: STATE

DISPLAY:	ADABAS NAME:	COLUMN HEADING
1	REPORT NUMBER	(AS PART OF HEADER)
2	REPORT DATE	(AS PART OF HEADER)
3	CUM-AWARD	"CUMULATIVE EPA FUNDS AWARDED"
4	MATCH-CASH	"CASH - CURRENT YEAR"
5	MATCH-ASSIT-BANKED	"PREVIOUS TITLE VI ELIGIBLE ASSISTANCE - (BANKED)"
6	MATCH-CASH-BANKED	"PREVIOUS CASH OVERMATCH (BANKED)"
7	MATCH-REQUIRED	"20% STATE MATCH TOTAL"
8	OVERMATCH	"STATE OVERMATCH"
9	TOTAL BY COLUMN	(TOTALS BY COLUMN)

SRF GICS NATIONAL REPORT SELECT LOGIC CRITERIA

Exhibit 3.2.2
Page 5 of 19

REPORT TITLE: STATE REVOLVING FUND PROJECT DETAIL REPORT

REPORT NUMBER: 0610

SELECT LOGIC: PROGRAM = CS AND
CAP-GRANT = BLANK AND
RECORD-TYPE = C OR N

SORT BY: STATE

DISPLAY:	ADBASE NAME:	COLUMN HEADING
1	REPORT NUMBER	(AS PART OF HEADER)
2	REPORT DATE	(AS PART OF HEADER)
3	GRANT-NO	"PROJECT NUMBER"
4	FACILITIES	"FACILITIES"
5	MULTIPLE FACILITIES	"MULT FAC CODE"
6	PERMITS	"PERMITS"
APPLICANT INFORMATION:		
7	NAME	"APPLICANT NAME"
8	STREET	"APPLICANT STREET"
9	CITY	"APPLICANT CITY"
10	STATE	"APPLICANT STATE"
11	ZIP	"APPLICANT ZIP CODE"
12	CONG-DISTRICTS	"CONG DIST"
13	PROJECT-ID	"ST-PROJ-ID"
14	REGION	"REGION"
15	COUNTY	"COUNTY"

**SRF GICS NATIONAL REPORT SELECT
LOGIC CRITERIA**

 Exhibit 3.2.2
Page 6 of 19

REPORT TITLE: STATE REVOLVING FUND PROJECT DETAIL REPORT

REPORT NUMBER: 0610

DISPLAY: **ADABAS NAME:** **COLUMN HEADING:**
PLANNING:

16	INDIAN	"INDIAN"
17	INDIAN-CODE	"INDIAN CODE"
18	PRIORITY-FY	"P.L. FY"
19	FIRST-USE-CODE	"FIRST USE"
20	EQUIVALENCY	"EQUIVALENCY"
21	SRF-ASSISTANCE -TYPE	"ASST TYPE"
22	PROJECT-TYPE	"PROJECT TYPE"

FINANCE:

23	BINDING-AMT-TARGET	"BIND COMM TG AMT"
24	BINDING-AMT-ACTUAL	"BIND COMM AC AMT"
25	INTEREST RATE	"INTEREST RATE"

NEEDS CATEGORIES:

26	CAT-I	"CAT-I"
27	CAT-II	"CAT-II"
28	CAT-IIIA	"CAT-IIIA"
29	CAT-IIIB	"CAT-IIIB"
30	CAT-IVA	"CAT-IVA"
31	CAT-IVB	"CAT-IVB"
32	CAT-V	"CAT-V"

**SRF GICS NATIONAL REPORT SELECT
LOGIC CRITERIA**

 Exhibit 3.2.2
Page 7 of 19

REPORT TITLE: STATE REVOLVING FUND PROJECT DETAIL REPORT

REPORT NUMBER: 0610

DISPLAY: **ADABAS NAME:** **COLUMN HEADING**
PROJECT STATUS:

33	STORM-SEWER-COST	"STORM-SEW"
34	NON-POINT-SOURCE-COST	"NON-POINT"
35	ESTUARY-COST	"ESTUARIES"
36	FUNDING STATUS	"P.L. STATUS"
37	INTENDED-USE-PLAN-FY	"IUP FY"
38	BINDING-COMM-DATE-TARGET	"BIND COMM TG DT"
39	BINDING-COMM-DATE-ACTUAL	"BIND COMM AC DT"
40	ANNUAL-RPT-DATE	"ANNUAL RPT"
41	WWT-START-DATE	"CONST START"
43	INITIATE-OPERATION-CODE INITIATE-OPERATION-DATE	"INIAT OF OPER"
44	PERFORMANCE-CODE PERFORMANCE-DATE	"PERF CERT"

SRF GICS NATIONAL REPORT SELECT LOGIC CRITERIA

Exhibit 3.2.2
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REPORT TITLE: ANNUAL REPORT STATUS OF BINDING COMMITMENTS

REPORT NUMBER: 0611

SELECT LOGIC: PROGRAM = CS AND
CAPITALIZATION RECORDS:
CAP-GRANT NE BLANK AND
RECORD-TYPE = C OR N AND
(CUMULATIVE PAYMENT QUARTER GT BLANK AND
PAYMENT GT ZERO)
and
PAYMENT-QTR MUST BE AT LEAST 1 YEAR PREVIOUS
TO THE CURRENT FISCAL YEAR/QUARTER
PROJECT RECORDS:
CAP-GRANT = BLANK AND
BINDING-DATE-ACTUAL GT ZERO

SORT BY: REGION, STATE

DISPLAY:	ADABAS NAME:	COLUMN HEADING
1	REPORT NUMBER	(AS PART OF HEADER)
2	REPORT DATE	(AS PART OF HEADER)
3	PAYMENT-QTR	"FEDERAL FY QTR OF PAYMENT"
4	PAYMENT	"PAYMENT AMOUNT FOR QTR"
5	CALCULATE: (CUMULATIVE TOTAL OF PAYMENT)	"CUMULATIVE PAYMENT"
6	BINDING-AMT-ACTUAL	"ACTUAL CUMULATIVE BINDING COMMITMENTS"
7	CALCULATE: (PAYMENT-QTR/BINDING- AMT-ACTUAL) X (100)	"CUMULATIVE BINDING % OF PAYMENT FOR THE QUARTER"

SRF GICS NATIONAL REPORT SELECT LOGIC CRITERIA

Exhibit 3.2.2
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REPORT TITLE: PROJECT LEVEL MILESTONES FOR 212 PROJECTS

REPORT NUMBER: 0612

SELECT LOGIC: PROGRAM = CS AND
CAP-GRANT = BLANK AND
RECORD-TYPE = C OR N AND
PROJECT-TYPE = 212

SORT BY: REGION, STATE

DISPLAY:	ADABAS NAME:	COLUMN HEADING
1	REPORT NUMBER	(AS PART OF HEADER)
2	REPORT DATE	(AS PART OF HEADER)
3	REGION	(AS PART OF HEADER)
4	STATE	(AS PART OF HEADER)
5	GRANT-NO	"PROJECT NUMBER"
6	NAME	"PROJECT NAME"
7	EQUIVALENCY (DISPLAY 'Y' OR 'BLANK' FOR EACH PROJECT)	"EQUIVALENCY PROJECT"
8	BINDING-DATE-ACTUAL	"BINDING COMMITMENT ACTUAL DATE"
9	BINDING-AMT-ACTUAL	"BINDING COMMITMENT ACTUAL AMOUNT"
10	WWT-START-DATE	"CONST START DATE"
11	INITIATE-OPERATION-DATE	"INITIATE OPERATIONS DATE"
12	PERFORMANCE-CODE PERFORMANCE-DATE	"AFFIRM PROJECT PERFORM CERT"
13	SRF-ASSISTANCE-TYPE	"ASST TYPE"

SRF GICS NATIONAL REPORT SELECT LOGIC CRITERIA

Exhibit 3.2.2
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REPORT TITLE: NATIONAL PROJECTS SUMMARY TO DATE FOR PROJECTS WITH
ACTUAL OR TARGETED BINDING COMMITMENTS

REPORT NUMBER: 0613

SELECT LOGIC: PROGRAM = CS AND
CAP-GRANT = BLANK AND
RECORD-TYPE = C OR N AND
BINDING-DATE-ACTUAL GT ZERO OR
BINDING-DATE-TARGET GT ZERO
SORT BY: REGION

DISPLAY:	ADABAS NAME:	COLUMN HEADING
1	REPORT NUMBER	(AS PART OF HEADER)
2	REPORT DATE	(AS PART OF HEADER)
3	IF FIRST-USE-CODE = Y, (COUNTER)	NUMBER OF PROJECTS "212 FIRST USE"
4	IF FIRST-USE-CODE = BLANK, (COUNTER)	"212 NON FIRST USE"
5	IF EQUIVALENCY = Y, (COUNTER)	"212 EQUIVALENCY"
6	IF EQUIVALENCY = BLANK, (COUNTER)	"212 NOT EQUIVALENCY"
7	CALCULATE: 'FIRST-USE-CODE = Y '+ 'FIRST-USE-CODE = BLANK' = TOTAL	"TOTAL 212 PROJECTS"
8	IF NON-POINT-SOURCE-COST NE BLANK, (COUNTER)	"319 NON-POINT SOURCE"
9	IF ESTUARY-COST NE BLANK, (COUNTER)	"320 ESTUARY"
10	TOTAL ALL COLUMNS CALCULATE:	TOTAL BY COLUMN
11	(REGIONAL TOTALS/TOTAL 212) X (100) (REGIONAL TOTALS/TOTAL 212+319+320) X (100) (REGIONAL TOTALS/TOTAL	PERCENTAGE BY COLUMN FOR 212 PROJECTS PERCENTAGE BY COLUMN FOR 319 PROJECTS PERCENTAGE BY COLUMN

**SRF GICS NATIONAL REPORT SELECT
LOGIC CRITERIA**

 Exhibit 3.2.2
Page 11 of 19

REPORT TITLE: NATIONAL PROJECTS SUMMARY TO DATE FOR PROJECTS WITH
ACTUAL OR TARGETED BINDING COMMITMENTS

REPORT NUMBER: 0613

DISPLAY:	ADABAS NAME	COLUMN HEADING
		DOLLAR AMOUNT OF PROJECTS
12	IF FIRST-USE-CODE = Y, DISPLAY BINDING-AMT-ACTUAL OR BINDING-AMT-TARGET	"212 FIRST USE"
13	IF FIRST-USE-CODE = BLANK, DISPLAY IS BLANK	"212 NON FIRST USE"
14	IF EQUIVALENCY = Y, DISPLAY BINDING-AMT-ACTUAL OR BINDING-AMT-TARGET	"212 EQUIVALENCY"
15	IF EQUIVALENCY = BLANK DISPLAY IS BLANK	"212 NOT EQUIVALENCY"
16	CALCULATE: 'FIRST-USE-CODE = Y '+ 'FIRST-USE-CODE = BLANK BINDING-AMT-ACTUAL OR BINDING-AMT-TARGET'	"TOTAL 212 PROJECTS"
17	NON-POINT-SOURCE-COST (ACCUMULATE BY REGION)	"319 NON-POINT SOURCE"
18	ESTUARY-COST NE BLANK, (ACCUMULATE BY REGION)	"320 ESTUARY"
19	TOTAL ALL COLUMNS	TOTAL BY COLUMN
20	CALCULATE: (REGIONAL TOTALS/TOTAL 212) X (100) (REGIONAL TOTALS/TOTAL 212+319+320) X (100) (REGIONAL TOTALS/TOTALS 212+319+320) X (100)	PERCENTAGE BY COLUMN FOR 212 PROJECTS PERCENTAGE BY COLUMN FOR 319 PROJECTS PERCENTAGE BY COLUMN FOR 320 PROJECTS

SRF GICS NATIONAL REPORT SELECT LOGIC CRITERIA

Exhibit 3.2.2
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REPORT TITLE:	REGION XX SUMMARY TO DATE FOR PROJECTS WITH TARGETED OR ACTUAL BINDING COMMITMENTS	
REPORT NUMBER:	0614	
SELECT LOGIC:	PROGRAM = CS AND CAP-GRANT = BLANK AND RECORD-TYPE = C OR N AND BINDING-DATE-ACTUAL GT ZERO OR BINDING-DATE TARGET GT ZERO STATE	
SORT BY:		
DISPLAY:	ADABAS NAME:	COLUMN HEADING
1	REPORT NUMBER	(AS PART OF HEADER)
2	REPORT DATE	(AS PART OF HEADER)
3	IF FIRST-USE-CODE = Y, (COUNTER)	NUMBER OF PROJECTS "212 FIRST USE"
4	IF FIRST-USE-CODE = BLANK, (COUNTER)	"212 NON FIRST USE"
5	IF EQUIVALENCY = Y, (COUNTER)	"212 EQUIVALENCY"
6	IF EQUIVALENCY = Y, (COUNTER)	"212 NOT EQUIVALENCY"
7	CALCULATE: 'FIRST-USE-CODE = Y '+ 'FIRST-USE-CODE = BLANK' = TOTAL	"TOTAL 212 PROJECTS"
8	IF NON-POINT-SOURCE-COST NE BLANK, (COUNTER)	"319 NON-POINT SOURCE"
9	IF ESTUARY-COST NE BLANK, (COUNTER)	"320 ESTUARY"
10	TOTAL ALL COLUMNS CALCULATE:	TOTAL BY COLUMN
11	(STATE TOTALS/TOTAL 212) X (100) (STATE TOTALS/TOTAL 212+319+320) X (100) (STATE TOTALS/TOTAL	PERCENTAGE BY COLUMN FOR 212 PROJECTS PERCENTAGE BY COLUMN FOR 319 PROJECTS PERCENTAGE BY COLUMN

SRF GICS NATIONAL REPORT SELECT LOGIC CRITERIA

Exhibit 3.2.2
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REPORT TITLE: REGION XX SUMMARY TO DATE FOR PROJECTS WITH
BINDING COMMITMENTS

REPORT NUMBER: 0614

DISPLAY:	ADABAS NAME:	COLUMN HEADING
		DOLLAR AMOUNT OF PROJECTS
12	IF FIRST-USE-CODE = Y, DISPLAY BINDING-AMT-ACTUAL OR BINDING-AMT-TARGET (ACCUMULATE BY REGION)	"212 FIRST USE"
13	IF FIRST-USE-CODE = BLANK, DISPLAY BINDING-AMT-ACTUAL OR BINDING-AMT-TARGET (ACCUMULATE BY REGION)	"212 NON FIRST USE"
14	IF EQUIVALENCY = Y, DISPLAY BINDING-AMT-ACTUAL OR BINDING-AMT-TARGET (ACCUMULATE BY REGION)	"212 EQUIVALENCY"
15	IF EQUIVALENCY NE Y, BINDING-AMT-ACTUAL OR BINDING-AMT-TARGET (ACCUMULATE BY REGION)	"212 NOT EQUIVALENCY"
16	CALCULATE: 'FIRST-USE-CODE = Y' + 'FIRST-USE-CODE = BLANK' = TOTAL	"TOTAL 212 PROJECTS"
17	NON-POINT-SOURCE-COST (ACCUMULATE BY REGION)	"319 NON-POINT SOURCE"
18	ESTUARY-COST NE B, (ACCUMULATE BY REGION)	"320 ESTUARY"
19	TOTAL ALL COLUMNS	TOTAL BY COLUMN
20	CALCULATE: (STATE TOTALS/TOTAL 212) X (100) (STATE TOTALS/TOTAL 212+319+320) X (100) (STATE TOTALS/TOTAL 212+319+320) X (100)	PERCENTAGE BY COLUMN FOR 212 PROJECTS PERCENTAGE BY COLUMN FOR 319 PROJECTS PERCENTAGE BY COLUMN FOR 320 PROJECTS

SRF GICS NATIONAL REPORT SELECT LOGIC CRITERIA

Exhibit 3.2.2
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REPORT TITLE:	STATE PROJECT SUMMARY TO DATE FOR PROJECTS WITH ACTUAL OR TARGETED BINDING COMMITMENTS	
REPORT NUMBER:	0615	
SELECT LOGIC:	PROGRAM = CS AND RECORD-TYPE = C OR N AND CAP-GRANT = BLANK AND BINDING-DATE-ACTUAL GT ZERO OR BINDING DATE TARGET GT ZERO	
SORT BY:	FISCAL YEAR WITHIN A STATE	
DISPLAY:	ADABAS NAME:	COLUMN HEADING
1	REPORT NUMBER	(AS PART OF HEADER)
2	REPORT DATE	(AS PART OF HEADER)
		NUMBER OF PROJECTS
3	IF FIRST-USE-CODE = Y, (COUNTER)	"212 FIRST USE"
4	IF FIRST-USE-CODE = BLANK, (COUNTER)	"212 NON FIRST USE"
5	IF EQUIVALENCY = Y, (COUNTER)	"212 EQUIVALENCY"
6	IF EQUIVALENCY = BLANK, (COUNTER)	"212 NOT EQUIVALENCY"
7	CALCULATE: 'FIRST-USE-CODE = Y ' + 'FIRST-USE-CODE = BLANK' = TOTAL	"TOTAL 212 PROJECTS"
8	IF NON-POINT-SOURCE-COST NE BLANK, (COUNTER)	"319 NON-POINT SOURCE"
9	IF ESTUARY-COST NE BLANK, (COUNTER)	"320 ESTUARY"
10	TOTAL ALL COLUMNS	TOTAL BY COLUMN
11	CALCULATE: (FISCAL YEAR TOTALS/TOTAL 212) X (100) (FISCAL YEAR TOTALS/TOTAL 212+319+320) X (100) (FISCAL YEAR TOTALS/TOTAL 212+319+320) X (100)	PERCENTAGE BY COLUMN FOR 212 PROJECTS PERCENTAGE BY COLUMN FOR 319 PROJECTS PERCENTAGE BY COLUMN FOR 320 PROJECTS

SRF GICS NATIONAL REPORT SELECT LOGIC CRITERIA

Exhibit 3.2.2

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REPORT TITLE: STATE PROJECT SUMMARY TO DATE FOR PROJECTS WITH
ACTUAL OR TARGETED BINDING COMMITMENTS

REPORT NUMBER: 0615

DISPLAY:	ADABAS NAME:	COLUMN HEADING
		DOLLAR AMOUNT OF PROJECTS
12	IF FIRST-USE-CODE = Y, DISPLAY BINDING-AMT-ACTUAL OR BINDING-AMT-TARGET (ACCUMULATE BY REGION)	"212 FIRST USE"
13	IF FIRST-USE-CODE = BLANK, BINDING-AMT-ACTUAL OR BINDING-AMT-TARGET (ACCUMULATE BY REGION)	"212 NON FIRST USE"
14	IF EQUIVALENCY = Y, DISPLAY BINDING-AMT-ACTUAL OR BINDING-AMT-TARGET (ACCUMULATE BY REGION)	"212 EQUIVALENCY"
15	IF EQUIVALENCY NE Y, BINDING-AMT-ACTUAL OR BINDING-AMT-TARGET (ACCUMULATE BY REGION)	"212 NOT EQUIVALENCY"
16	CALCULATE: 'FIRST-USE-CODE = Y '+ 'FIRST-USE-CODE = BLANK' = TOTAL	"TOTAL 212 PROJECTS"
17	NON-POINT-SOURCE-COST (ACCUMULATE BY REGION)	"319 NON-POINT SOURCE"
18	ESTUARY-COST NE BLANK, (ACCUMULATE BY REGION)	"320 ESTUARY"
19	TOTAL ALL COLUMNS	TOTAL BY COLUMN
20	CALCULATE: (FISCAL YEAR TOTALS/TOTAL 212) X (100) (FISCAL YEAR TOTALS/TOTAL 212+319+320) X (100) (FISCAL YEAR TOTALS/TOTAL 212+319+320) X (100)	PERCENTAGE BY COLUMN FOR 212 PROJECTS PERCENTAGE BY COLUMN FOR 319 PROJECTS PERCENTAGE BY COLUMN FOR 320 PROJECTS

SRF GICS NATIONAL REPORT SELECT LOGIC CRITERIA

Exhibit 3.2.2
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REPORT TITLE: NATIONAL ASSISTANCE TYPE SUMMARY TO DATE FOR PROJECTS
WITH ACTUAL OR TARGETED BINDING COMMITMENTS

REPORT NUMBER: 0616

SELECT LOGIC: PROGRAM = CS AND
CAP-GRANT = BLANK AND
RECORD TYPE = C OR N AND
BINDING-DATE-~~ACTUAL~~ GT ZERO OR
BINDING-DATE-~~TARGET~~ GT ZERO AND
SRF-ASSISTANCE-TYPE = L,R,G, OR I

SORT BY: REGION

DISPLAY:	ADABAS NAME:	COLUMN HEADING
1	REPORT NUMBER	(AS PART OF HEADER)
2	REPORT DATE	(AS PART OF HEADER)
		NUMBER OF ASSISTANCE PROJECTS
3	IF SRF-ASSISTANCE-TYPE = L, (COUNTER)	"LOANS"
4	IF SRF-ASSISTANCE-TYPE = R, (COUNTER)	"REFINANCED EXISTING DEBT"
5	IF SRF-ASSISTANCE-TYPE = G, (COUNTER)	"GUARANTEES OF LOCAL DEBT"
6	IF SRF-ASSISTANCE-TYPE = I, (COUNTER)	"INSURANCE"
		ASSISTANCE DOLLARS
7	BINDING-AMT-ACTUAL	"BINDING COMMITMENT AMOUNT"
8	TOTALS BY COLUMN	TOTALS BY COLUMN
9	CALCULATE: (REGIONAL TOTALS/TOTAL ALL COLUMNS) X (100)	PERCENTAGE BY COLUMN

SRF GICS NATIONAL REPORT SELECT LOGIC CRITERIA

Exhibit 3.2.2
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REPORT TITLE: REGION XX ASSISTANCE TYPE SUMMARY TO DATE WITH
ACTUAL OR TARGETED BINDING COMMITMENTS

REPORT NUMBER: 0617

SELECT LOGIC: PROGRAM = CS AND
CAP-GRANT = BLANK AND
RECORD-TYPE = C OR N AND
BINDING-DATE-ACTUAL GT ZERO OR
BINDING-DATE-TARGET GT ZERO AND
SRF-ASSISTANCE-TYPE = L,R,G, OR I
SORT BY: STATE

DISPLAY: ADABAS NAME:

COLUMN HEADING:

1	REPORT NUMBER	(AS PART OF HEADER)
2	REPORT DATE	(AS PART OF HEADER)
		NUMBER OF ASSISTANCE PROJECTS
3	IF SRF-ASSISTANCE-TYPE = L, (COUNTER)	"LOANS"
4	IF SRF-ASSISTANCE-TYPE = R, (COUNTER)	"REFINANCED EXISTING DEBT"
5	IF SRF-ASSISTANCE-TYPE = G, (COUNTER)	"GUARANTEES OF LOCAL DEBT"
6	IF SRF-ASSISTANCE-TYPE = I, (COUNTER)	"INSURANCE"
		ASSISTANCE DOLLARS
7	BINDING-AMT-ACTUAL	"BINDING COMMITMENT AMOUNT"
8	TOTALS BY COLUMN	TOTALS BY COLUMN
9	CALCULATE: (STATE TOTALS/TOTALS ALL COLUMNS) X (100)	PERCENTAGE BY COLUMN

SRF GICS NATIONAL REPORT SELECT LOGIC CRITERIA

Exhibit 3.2.2
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REPORT TITLE: SRF PROJECT RECORDS COST CATEGORIES BINDING
DATE - ACTUAL FROM XXXXXX THRU XXXXXX

REPORT NUMBER: 0618

SELECT LOGIC: PROGRAM = CS AND
RECORD-TYPE = C OR N AND
BINDING-AMT-ACTUAL GT ZERO AND
BINDING-DATE-ACTUAL WITHIN A
CERTAIN DATE RANGE (DATE RANGE1
TO DATE-RANGE 2)

SORT BY: PROJECT NO.

DISPLAY: ADABAS NAME: COLUMN HEADING:

1 REPORT NAME (AS PART OF HEADER)

2 REPORT DATE (AS PART OF HEADER)

3 STATE (AS PART OF HEADER)

4 REGION (AS PART OF HEADER)

5 GRANT-NO "GRANT-NO"

6 NAME "NAME"

7 INTEREST RATE "INTEREST RATE"

"FEEDS CATEGORIES:

8 CAT-I "CAT-I"

9 CAT-II "CAT-II"

10 CAT-III A "CAT-III A"

11 CAT-III B "CAT-III B"

12 CAT-IV A "CAT-IV A"

13 CAT-IV B "CAT-IV B"

14 CAT-V "CAT-V"

**SRF GICS NATIONAL REPORT SELECT
LOGIC CRITERIA**Exhibit 3.2.2
Page 19 of 19

REPORT TITLE: SRF PROJECT RECORDS COST CATEGORIES BINDING
DATE - ACTUAL FROM XXXXXX THRU XXXXXX
REPORT NUMBER: 0618

DISPLAY:	ADABAS NAME:	COLUMN HEADING:
15	STORM-SEWER-COST	"STORM-SEWER-COST"
16	NON-POINT-SOURCE-COST	"NON-POINT-SOURCE"
17	ESTUARY-COST	"ESTUARY-COST"
18	CALCULATE: TOTAL ALL COLUMNS	"XX ST SUMMARY"
19	CALCULATE: TOTAL PROJECTS	"COUNT"

Exhibit 3.2.3 SRF GICS National Reports

This exhibit provides samples of the SRF GICS National reports. Each National report is provided with a description of the purpose of the report, the type of information provided by the report and a description of the data elements included on the report.

SRF GICS NATIONAL REPORTSExhibit 3.2.3
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REPORT TITLE: STATE REVOLVING FUND CAP GRANT DETAIL REPORT
REPORT NUMBER: 0600
PURPOSE: To Provide SRF Capitalization Information
TYPE OF INFORMATION: SRF Capitalization Grant National Data Elements information

The following information is provided for each State:

DATA ELEMENT:	DESCRIPTION:
Grant Number	The Financial Assistance Identification Number assigned to identify grant
Legislative Authority	Identifies the Clean Water Act: Title VI as the authority under which the proposed grant is to be funded
State FY	The beginning date of the fiscal year selected by the state receiving a State Fund Capitalization Grant

Applicant Information:

Applicant Name	The Name of the local government who received the award
Applicant Address	Current address of the local government
State ID	Grant application identifier assigned by a state or local government to a grant for control purposes
Region	EPA region that the state is located in

Finance:

Cum-Award	Total amount of capitalization grant funds awarded to the state
EPA-Award	Actual amount of EPA funds awarded

SRF GICS NATIONAL REPORTS

Exhibit 3.2.3
Page 2 of 32

REPORT TITLE: STATE REVOLVING FUND CAP GRANT DETAIL REPORT
REPORT NUMBER: 0600

DATA ELEMENT: **DESCRIPTION:**

State Match Contributions Indicates the dollar amounts for each type of State Match contribution
Six types of Contributions:
-Match Req 20%
-Match Cash
-Match Asst Banked
-Match Cash Banked
-Overmatch
-Grant+20% Match

Grant Status Defines the current status of the Grant

Application Receipt The actual date of the receipt of the application by the EPA

Grant Award The date related to the Target or Event code contained in Final Award and Approval Code

Payment Schedule:

Payment Quarter Quarters in which payments to the SRF are to be made

Amount The quarterly payment amounts to the SRF

Payment Date The date on which payments to the SRF are to be made

STATE REVOLVING FUND CAP GRANT
DETAIL REPORT

PAGE: 1

RPT-NO: SRF-0600 91-04-04

GRANT NUMBER (01): CS,090001,N,00,0 STATE FY (IP): 91/10/01
LEGIS AUTH (06): 35

APPLICANT INFORMATION:
CONNECTICUT D.E.P.
165 CAPITOL AVE.
HARTFORD CT 06106

ST ID (R9): 021123015A
REGION (17): 01

FINANCE:
CUM AMARD (19): 28,194,250
EPA AMARD (31): 28,194,250

STATE MATCH CONTRIBUTION
MATCH REQ (20%) (6J): 5,638,850
MATCH CASH (6K): 5,638,850
MATCH ASST BK (6L):
MATCH CASH BK (6M):
OVERMATCH (6N): 3,021,150
GRANT+20% MATCH (6O): 33,833,100

GRANT STATUS: AWARDED
APPL RECEIPT (L1): A 88/06/16 GRANT AMARD (L5): A 88/09/20

PAYMENT SCHEDULE:

QUARTER (VD)	AMOUNT (6P)	DATE (IM)
1/88	28,194,250	
2/88		
3/88		
4/88		
1/89		
2/89		
3/89		
4/89		
1/90		
2/90		
3/90		

SRF GICS NATIONAL REPORTS

Exhibit 3.2.3

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REPORT TITLE: NATIONAL SRF CAPITALIZATION GRANT SUMMARY

REPORT NUMBER: 0601

PURPOSE: To provide capitalization grant summary information for all regions.

TYPE OF INFORMATION: Capitalization Grant Financial data

The following information is provided for each State:

DATA ELEMENT:	DESCRIPTION:
State	The States which received capitalization grant funds
Cumulative EPA Funds Awarded	Total amount of capitalization grant funds awarded to each State
Cash - Current Year	The total dollar amount of that portion of the 20% State match which is contributed in cash for each State within a Region
Previous Title VI Eligible Assistance	The total dollar amount of that portion of the State 20% required match that is satisfied by projects previously funded by each State and which meet Title VI requirements within a Region
Previous Cash Overmatch	The total dollar amount of that portion of each State's 20% required match that has been banked from previous year's cash overmatches within a Region
20% State Match	The total dollar amount of each State's 20% match. This is equal to the sum of: Cash - Current Year + Previous Title VI Eligible Assistance + Previous Cash Overmatch
State Overmatch	The total dollar amount of the State Match Contribution in excess of the required 20% State match within a Region

Exhibit 3.2.3
Page 5 of 32SRF-0601
RUN DATE: 04/09/91

NATIONAL SRF CAPITALIZATION GRANT SUMMARY

REGION	NUMBER OF STATES WHICH RECEIVED ONE OR MORE GRANTS	CUMULATIVE EPA FUNDS AWARDED	CASH -CURRENT YEAR	PREVIOUS TITLE VI ELIGIBLE ASSISTANCE (BANKED)	PREVIOUS CASH OVERMATCH (BANKED)	20% STATE MATCH TOTAL	STATE OVERMATCH
01	6	293,740,487	57,539,512		1,208,501	58,748,093	8,806,637
02	3	359,563,310	57,834,261			57,834,261	
03	5	209,420,049	33,896,628			33,896,628	578,428
04	8	533,429,591	106,685,909			106,685,912	
05	6	342,508,827	47,255,101			47,255,101	88,693
06	5	357,314,642	70,044,595		1,711,680	71,462,926	48,655
07	4	106,488,567	21,296,111			21,296,111	
08	6	112,395,377	22,479,074			28,663,575	915,489
09	4	279,925,276	55,985,055			52,832,891	43,984,596
10	4	84,597,892	16,919,576			16,919,576	
TOTAL	51	2,679,376,818	489,935,822		2,920,261	487,594,277	54,494,496

SRF GICS NATIONAL REPORTSExhibit 3.2.3
Page 6 of 32**REPORT TITLE:** SRF CAPITALIZATION GRANT SUMMARY FOR REGION XX IN FY XX**REPORT NUMBER:** 0602**PURPOSE:** To provide capitalization grant summary information for all States receiving SRF funds**TYPE OF INFORMATION:** Capitalization Grant Financial data

The following information is provided for each State:

DATA ELEMENT:	DESCRIPTION:
State	The States which received capitalization grant funds
Cumulative EPA Funds Awarded	Total amount of capitalization grant funds awarded to each State
Cash - Current Year	The total dollar amount of that portion of the 20% State match which is contributed in cash for each State within a Region
Previous Title VI Eligible Assistance	The total dollar amount of that portion of the State 20% required match that is satisfied by projects previously funded by each State and which meet Title VI requirements within a Region
Previous Cash Overmatch	The total dollar amount of that portion of each State's 20% required match that has been banked from previous year's cash overmatches within a Region
20% State Match	The total dollar amount of each State's 20% match. This is equal to the sum of: Cash - Current Year + Previous Title VI Eligible Assistance + Previous Cash Overmatch
State Overmatch	The total dollar amount of the State Match Contribution in excess of the required 20% State match within a Region

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PAGE: 1

SRF CAPITALIZATION GRANT SUMMARY FOR REGION 01 FOR ALL FY'S

SRF-0002
RUN DATE: 04/09/91

STATE	CUMULATIVE EPA FUNDS AWARDED	CASH CURRENT YEAR	PREVIOUS TITLE VI ELIGIBLE ASSISTANCE (BANKED)	PREVIOUS CASH OVERMATCH (BANKED)	20% STATE MATCH TOTAL	STATE OVERMATCH
CT	98,508,032	19,701,609			19,701,609	5,656,309
ME	14,092,795	2,978,559			2,978,559	327,101
MA	126,456,201	25,291,240			25,291,240	
NH	19,809,813	3,961,962			3,961,962	
RI	13,378,401	2,675,696			2,675,696	
VT	20,695,143	2,930,446		1,200,501	4,139,027	2,983,067
REGION TOTAL	293,740,407	57,539,512		1,200,501	50,740,093	8,006,637

SRF GICS NATIONAL REPORTSExhibit 3.2.3
Page 8 of 32**REPORT TITLE:** STATE REVOLVING FUND PROJECT DETAIL REPORT**REPORT NUMBER:** 0610**PURPOSE:** To provide SRF project information**TYPE OF INFORMATION:** SRF National Project Data Element information

The following information is provided for each State:

DATA ELEMENT:	DESCRIPTION:
Project Number	The Financial Assistance Identification Number assigned to identify each loan
Facilities	Identifies the Wastewater Treatment facilities and cognizant Wastewater Treatment authorities related to a SRF project
Multiple Facilities Code	Identifies when the scope of work of either a proposed or awarded grant project or SRF project will address the needs represented by more than one authority/facility number
Permits	Permit Number relating to the SRF project

Applicant Information:

Applicant Name	The Name of the local government who received the award
Applicant Address	Current address of the local government
Congressional Districts	Congressional District impacted by a SRF project
State Project ID	Identifier available to be assigned by the state to each project provided assistance by the SRF
Region	EPA region that the state is located in
County	Major County in which the project is sited
Indian	Identifies the project as an Indian Project
Indian Code	Identifier assigned by the state to each project that is provided assistance by the SRF

SRF GICS NATIONAL REPORTS

Exhibit 3.2.3

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REPORT TITLE: STATE REVOLVING FUND PROJECT DETAIL REPORT**REPORT NUMBER:** 0610**DATA ELEMENT:** **DESCRIPTION:****Planning:****P.L. FY** Year of the state's SRF Priority List**First Use** A project assisted through the SRF which is identified as a National Municipal Policy Project which addresses the requirement for "first use" of funds to assure maintenance of progress towards compliance with enforceable requirements of the Clean Water Act**Equivalency** SRF Projects which meet Title II equivalency requirements as determined by the state in the Annual Report**Asst Type** Type of financial assistance provided for SRF projects**Project Type** Identifies the statutory category of projects assisted by the SRF**Binding Commitment Target Amount** The Target amount of the binding commitments**Binding Commitment Actual Amount** The Actual amount of the binding commitments**Loan Interest Rate** Interest Rate used for repayment of loans for a project funded through the SRF**Needs Categories:****Cat-I** Portion of the eligible cost of a Wastewater Treatment Construction or SRF project that is required to provide "secondary treatment" or "best practicable wastewater treatment technology"**Cat-II** Portion of the eligible cost of a Wastewater Treatment Construction or SRF project that is required to achieve treatment levels more stringent than secondary**Cat-IIIA** Portion of the eligible cost of a Wastewater Treatment Construction or SRF project that is required for the correction of sewer system infiltration/inflow problems

SRF GICS NATIONAL REPORTS

Exhibit 3.2.3
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REPORT TITLE: STATE REVOLVING FUND PROJECT DETAIL REPORT
REPORT NUMBER: 0610

DATA ELEMENT:	DESCRIPTION:
Cat-IIIB	Portion of the eligible cost of a Wastewater Treatment Construction or SRF project that is required for the replacement and/or major rehabilitation of existing sewer systems
Cat-IVA	Portion of the eligible cost of a Wastewater Treatment Construction or SRF project that is required for construction of new collector sewer systems
Cat -IVB	Portion of the eligible cost of a Wastewater Treatment Construction or SRF project that is required for construction of new interceptor sewers and transmission pumping stations necessary for the bulk transport of wastewater
Cat-V	Portion of the eligible cost of a Wastewater Treatment Construction or SRF project that is required for construction of facilities to prevent and/or control periodic bypassing of untreated wastes from combined sewers in order to achieve water quality objectives
Storm Sewer Cost	Amount of assistance provided from the SRF for Wastewater Treatment works for control of pollutant discharges from separate storm sewer systems as defined in the Clean Water Act
Non-Point Source Cost	Portion of the cost of a project assisted by the SRF which implements a management program established under Section 319 of Clean Water Act
Estuaries	Portion of the cost of a project assisted by the SRF used for the development and implementation of a conservation and management plan under Section 320 of the Clean Water Act

SRF GICS NATIONAL REPORTS

Exhibit 3.2.3
Page 11 of 32**REPORT TITLE:** STATE REVOLVING FUND PROJECT DETAIL REPORT**REPORT NUMBER:** 0610**DATA ELEMENT:****DESCRIPTION:****Project Status:****P.L. Status**

Identifies the project as a State Revolving Fund Project

IUP FY

Latest fiscal year in which the Intended Use Plan (IUP) is submitted to the EPA Regional Office

**Binding Commitment
Target Date**

The Target date of the binding commitments

**Binding Commitment
Actual Date**

The Actual date of the binding commitments

Annual Report

Date of the most recent Annual Report submitted to the EPA regional office for the SRF

Const Start

Indicates the date that construction began

Init of Oper

Indicates either the target event code and date for which operations are scheduled to begin or the actual date if the operations have begun

Perf Cert

A target or event code and date representing the current status of the certification to EPA that the project is actually meeting its performance standards

STATE REVOLVING FUND
PROJECT DETAIL REPORT

PAGE: 1

RPT-NO: SRF-0610 91-04-04

PROJECT NUMBER (01): CS,470493,K,05,0
FACILITIES (LE): 471016006

MULT FAC CODE (FA):
PERMITS (LF): P TN0024970

APPLICANT INFORMATION:
NASHVILLE, CITY OF
211 UNION ST
NASHVILLE TN 37201

CONG DIST: (VE): 5

ST-PROJ ID (LC):
REGION (17): 04
COUNTY (15): DAVIDSON
INDIAN (FD):
INDIAN CODE (LC):

PLANNING:
P.L. FY (57): 91
FIRST USE (FU):
EQUIVALENCY (FV):
ASST TYPE (LD):
PROJECT TYPE (VC): 212

FINANCE:
BIND COMM TG AMT (6Q): 5,625,000
BIND COMM AC AMT (6R):
INTEREST-RATE (VB):

NEEDS CATEGORIES:
CAT-I (Y0):
CAT-II (Y1):
CAT-IIIA (Y2):
CAT-IIIB (Y3):
CAT-IVA (Y4):
CAT-IVB (Y5): 5,625,000
CAT-V (Y6):
STORM SEM (YA):
NON-POINT (YB):
ESTUARIES (YC):

PROJECT STATUS: TARGETED
P.L. STATUS (34): S
IUP FY (VA):
BIND COMM TG DT (IR): 90/06/30
BIND COMM AC DT (IS):
ANNUAL RPT (IQ):
CONST START (MO):
INIAT OF OPER (N7):
PERF CERT (KA):

SRF GICS NATIONAL REPORTSExhibit 3.2.3
Page 13 of 32**REPORT TITLE:** ANNUAL REPORT STATUS OF BINDING COMMITMENTS**REPORT NUMBER:** 0611**PURPOSE:** To report capitalization grant payment and binding commitment data for each State. Report will indicate whether binding commitments have been made for 120% of payments in the first year**TYPE OF INFORMATION:** Capitalization Grant Financial data

The following information is provided for each State:

DATA ELEMENT:	DESCRIPTION:
Federal FY Qtr of Payment	The quarters in which payments to the State Revolving Fund are to be made.
Payment Amount for QTR	The quarterly payments to the State Revolving Fund.
Cumulative Payment	Calculates the total of all payments to the State Revolving Fund.
Actual Cumulative Binding Commitments	Total amount of commitments to a project by the State Revolving Fund
Cumulative Binding % Of Payment For the Quarter	Calculates the percentage of cumulative binding commitments based upon the payments received during the stated quarter.

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REPORT NO: SRF-0611

ANNUAL REPORT STATUS OF
BINDING COMMITMENTS

PAGE: 1

RUN DATE: 04/09/91
REGION: 01 STATE: CT

FEDERAL FY QTR OF PAYMENT	PAYMENT AMOUNT FOR QTR	CUMULATIVE PAYMENT	BINDING COMMITMENTS FOR QTR	CUM BINDING CORRESPONDING TO CUM PAYMENTS	CUMULATIVE BINDING % OF PAYMENT FOR THE QTR
1/00	28,174,250	28,174,250	9,314,145	9,314,145	33.03
3/00	21,303,885	49,578,135	19,704,261	29,018,406	58.53
2/90	9,974,359	59,552,494	39,523,527	68,541,933	115.09
3/90	375,960	59,928,454	41,043,527	109,585,460	182.06

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REPORT TITLE: PROJECT LEVEL MILESTONES FOR 212 PROJECTS
REPORT NUMBER: 0612
PURPOSE: To provide project level milestone information on all 212 SRF projects funded by a State for the fiscal year
TYPE OF INFORMATION: SRF Project Financial Data

The following information is provided for each State:

DATA ELEMENT:	DESCRIPTION:
Project Number	The SRF Project number
Project Name	The SRF Project name
Equivalency Project	Indicates whether the SRF Project is an equivalency project or not
Binding Commitment Actual Date	The Actual date of the binding commitment amount
Binding Commitment Actual Amount	The Actual amount of the binding commitments
Construct Start Date	Indicates the date that construction began
Initiation of Operations Date	Indicates either the target date for which operations are scheduled to begin or the actual date if operations have begun
Affirmative Project Performance Certification	A report or event code and date representing the current status of the certification to EPA that the project is actually meeting its performance standards
Assistance Type	Indicates the type of assistance provided for the SRF project by the State

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REPORT NO: SRF-0612

PROJECT LEVEL MILESTONES FOR 212 PROJECTS

PAGE: 1

RUN DATE : 04/09/91

REGION: 01 STATE: CT

PROJECT NUMBER	PROJECT NAME	EQUIVALENCY PROJECT	BINDING COMMITMENT ACTUAL DATE	BINDING COMMITMENT ACTUAL AMOUNT	CONST START DATE	INITIATE OPERATIONS DATE	AFFIRM PROJECT PERFORM CERT	ASST TYPE
090187050	NORWICH, CITY OF							
090196020	BROOKFIELD, TOWN OF							
090197060	BRISTOL, CITY OF							
090199010	DANBURY, CITY OF	Y	88/11/22	2,412,965	90/06/01	93/06/01		L
090199020	DANBURY, CITY OF	Y	90/06/01	16,700,000	90/06/01	93/06/01		L
090206020	NEW HAVEN, CITY OF							
090206030	NEW HAVEN, CITY OF	Y	88/11/22	1,046,965	89/04/15	89/12/31		L
090221010	GUILFORD, TOWN OF							
090226020	BRIDGEPORT, CITY OF							
090226030	BRIDGEPORT, CITY OF							
090228020	PLYMOUTH, TOWN OF	Y	89/04/01	11,309,042	89/04/04	91/05/27		L
090237020	MDC (HARTFORD)							
090250020	MIDDLETOWN, CITY OF	Y	89/04/01	2,724,750	89/08/28	91/10/31		L
090250030	MIDDLETOWN, CITY OF							
090251030	ORANGE, TOWN OF							
090253020	GREENWICH, TOWN OF		89/06/15	2,024,348				L
090259020	CANTON, TOWN OF							
090266030	NORTH HAVEN, TOWN OF		88/11/01	19,539,672	88/10/31	91/10/31		L
090270010	STONINGTON, TOWN OF							
090272020	NORTH BRANFORD, TOWN OF							
090275010	STAFFORD, TOWN OF							
090283030	OXFORD, TOWN OF							
090287020	HAUGATUCK, BOROUGH OF							
090291010	HARTFORD, CITY OF							
090294010	RIDGEFIELD, TOWN OF	Y	89/02/07	780,032	90/06/01	92/12/31		L
090294020	RIDGEFIELD, TOWN OF	Y	89/02/07	9,276,822	90/05/14	92/05/31		L
090295010	VERNON, TOWN OF							
090297020	EAST LYME, TOWN OF	Y	87/12/01	9,314,145	88/04/01	90/03/01		L
090297030	EAST LYME, TOWN OF	Y	89/02/03	10,206,740	89/03/15	91/05/31		L
090297040	EAST LYME, TOWN OF	Y	90/03/10	9,385,771	90/05/10	93/12/31		L
090297050	EAST LYME, TOWN OF							
090297060	EAST LYME, TOWN OF							
090300010	MADISON, TOWN OF							
090304020	CHESHIRE, TOWN OF		90/05/09	13,437,756	90/05/09	92/11/07		L
090306010	CLINTON, TOWN OF							
090309020	SEYMOUR, TOWN OF							
090309030	SEYMOUR, TOWN OF							
090311010	BROOKLYN, TOWN OF							
090312010	SPRAGUE, TOWN OF							
090313030	SPRAGUE, TOWN OF							
090314010	SALISBURY, TOWN OF							

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REPORT TITLE: NATIONAL PROJECTS SUMMARY TO DATE FOR PROJECTS WITH TARGETED OR ACTUAL BINDING COMMITMENTS

REPORT NUMBER: 0613

PURPOSE: To provide a National Summary of the number of SRF projects and the dollar amount of assistance for each type of project at the Regional and National levels

TYPE OF INFORMATION: SRF Project Financial Data

The following information is provided for each State:

DATA ELEMENT:	DESCRIPTION:
Project Type	<p>Indicates the number and dollar amounts of each type of project by Region:</p> <p>Six types of SRF Projects:</p> <ul style="list-style-type: none"> - 212 First Use - 212 Non-First Use - 212 Equivalency - 212 Non-Equivalency - 319 Non-Point Source - 320 Estuary
Total Number of Projects	Indicates the total number of each of the types of projects
Percentage of Total Projects	Calculates the percentage of each of the types of projects on a National level
Total Dollar Amount	Indicates the total amount provided for each type of project
Percentage of Total Dollars	<p>Calculates the percentage of the assistance dollar amount funded for each type of project on a National level.</p> <p>(i.e., 212 percentages are a percentage of total 212 projects. 319/320 percentages are the percentages of the total 212+319+320 projects.)</p>

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NATIONAL PROJECT SUMMARY TO DATE FOR PROJECTS WITH BINDING COMMITMENTS

04/09/91

NUMBER OF PROJECTS

PROJECT TYPE REGION	212 FIRST USE	212NON FIRST USE	212 EQUIVALENCY	212 NOT EQUIVALENCY	TOTAL 212 PROJECTS	319 NON-POINT SOURCE	320 ESTUARY
01	11	9	11	9	20		
02	17	50	15	52	67		
03		7	6	1	7		
04	13	121	33	101	134		
05	3	16	10	1	19		
06		6		6	6		
07	6	14	17	3	20		
08	5	26	30	1	31		
09		8		8	8		
10	1	3	3	1	4		
TOTAL PERCENT	56 17.72	260 82.27	133 42.08	183 57.91	316		

DOLLAR AMOUNT OF PROJECTS

PROJECT TYPE REGION	212 FIRST USE	212NON FIRST USE	212 EQUIVALENCY	212 NOT EQUIVALENCY	TOTAL 212 PROJECTS	319 NON-POINT SOURCE	320 ESTUARY
01	73,712,094	55,557,315	73,712,094	55,557,315	129,269,409		
02	202,430,072	300,413,416	260,131,331	322,720,957	590,852,288		
03		23,207,672	23,127,672	80,000	23,207,672		
04	10,979,549	413,515,364	101,786,906	322,708,007	424,494,913		
05	41,850,000	83,773,000	122,100,000	3,443,000	125,631,000		
06		100,002,700,421		100,002,700,421	100,002,700,421		
07	17,403,000	22,964,206	34,830,000	5,537,206	40,367,206		
08	4,105,000	37,233,204	37,910,204	3,500,000	41,410,204		
09		209,891,001		209,891,001	209,891,001		
10	4,063,700	12,959,300	12,959,300	4,063,700	17,023,000		
TOTAL PERCENT	354,640,215 0.34	101,250,303,939 99.65	674,653,667 0.66	100,930,290,407 99.33	101,604,944,194		

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NATIONAL PROJECT SUMMARY TO DATE FOR PROJECTS WITH TARGETED BINDING COMMITMENTS

04/09/91

PROJECT TYPE REGION	NUMBER OF PROJECTS				TOTAL 212 PROJECTS	319 NON-POINT SOURCE	320 ESTUARY
	212 FIRST USE	212NON FIRST USE	212 EQUIVALENCY	212 NOT EQUIVALENCY			
01		25		25	25		
02	4	110	7	107	114		
03		42	26	16	42		
04	9	682	17	674	691		
05	5	173	57	121	178		
06		241		241	241		
07	3	59	62		62		
08	11	100	33	78	111		
09		293		293	293		
10	21	77	7	91	98	2	
TOTAL PERCENT	53 2.92	1762 97.07	209 11.51	1606 88.48	1815	2 0.11	

PROJECT TYPE REGION	DOLLAR AMOUNT OF PROJECTS				TOTAL 212 PROJECTS	319 NON-POINT SOURCE	320 ESTUARY
	212 FIRST USE	212NON FIRST USE	212 EQUIVALENCY	212 NOT EQUIVALENCY			
01		92,149,137		92,149,137	92,149,137		
02	314,245,388	378,872,109	349,504,664	343,612,753	693,117,417		
03		132,446,560	69,918,015	62,528,545	132,446,560		
04	21,644,649	2,281,617,223	469,181,649	1,834,080,223	2,303,261,872		
05	70,329,000	860,685,387	335,777,500	595,236,887	931,014,387		
06		522,070,841		522,070,841	522,070,841		
07	3,450,000	71,060,610	75,310,610		75,310,610		
08	4,310,000	184,951,493	31,650,000	157,611,493	189,261,493		
09		7,525,935,500		7,525,935,500	7,525,935,500		
10	19,960,900	75,821,503	19,952,461	71,829,942	91,782,403	1,350,000	
TOTAL PERCENT	429,939,857 3.42	12,126,418,363 96.57	1,351,294,899 10.76	11,205,055,321 89.23	12,556,350,220	1,350,000 0.01	

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REPORT TITLE: REGION XX SUMMARY TO DATE FOR PROJECTS WITH ACTUAL OR TARGETED BINDING COMMITMENTS

REPORT NUMBER: 0614

PURPOSE: To provide a Regional Summary of the number of SRF projects and the dollar amount of assistance for each type of project within a State.

TYPE OF INFORMATION: SRF Project Financial Data

The following information is provided for each State:

DATA ELEMENT:	DESCRIPTION:
Types of Projects	<p>Indicates the number and dollar amounts of each type of project by State:</p> <p>Six types of SRF Projects:</p> <ul style="list-style-type: none"> - 212 First Use - 212 Non-First Use - 212 Equivalency - 212 Non-Equivalency - 319 Non-Point Source - 320 Estuary
Total Number of Projects	Indicates the total number of each of the types of projects
Percentage of Total Projects	Calculates the percentage of each of the types of projects on a Regional level
Total Dollar Amount	Indicates the total amount provided for each type of project
Percentage of Total Dollars	<p>Calculates the percentage of the assistance dollar amount funded for each type of project on a Regional level (i.e., 212 percentages are a percentage of total 212 projects. 319/320 percentages are the percentages of the total 212+319+320 projects)</p>

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REGION 01 SUMMARY TO DATE FOR PROJECTS WITH BINDING COMMITMENTS

04/09/91

NUMBER OF PROJECTS

PROJECT TYPE STATE	212 FIRST USE	212NON FIRST USE	212 EQUIVALENCY	212 NOT EQUIVALENCY	TOTAL 212 PROJECTS	319 NON-POINT SOURCE	320 ESTUARY
CT	11	5	11	5	16		
ME		3		3	3		
NH		1		1	1		
TOTAL	11	9	11	9	20		
PERCENT	55.00	45.00	55.00	45.00			

DOLLAR AMOUNT OF PROJECTS

PROJECT TYPE STATE	212 FIRST USE	212NON FIRST USE	212 EQUIVALENCY	212 NOT EQUIVALENCY	TOTAL 212 PROJECTS	319 NON-POINT SOURCE	320 ESTUARY
CT	73,712,094	40,167,097	73,712,094	40,167,097	113,879,991		
ME		5,889,410		5,889,410	5,889,410		
NH		9,500,000		9,500,000	9,500,000		
TOTAL	73,712,094	55,557,315	73,712,094	55,557,315	129,269,409		
PERCENT	57.02	42.97	57.02	42.97			

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REGION 01 SUMMARY TO DATE FOR PROJECTS WITH TARGETED BINDING COMMITMENTS

04/09/91

NUMBER OF PROJECTS

PROJECT TYPE STATE	212 FIRST USE	212NON FIRST USE	212 EQUIVALENCY	212 NOT EQUIVALENCY	TOTAL 212 PROJECTS	319 NON-POINT SOURCE	320 ESTUARY
ME		15		15	15		
NH		5		5	5		
RI		4		4	4		
VT		1		1	1		
TOTAL		25		25	25		
PERCENT		100.00		100.00			

DOLLAR AMOUNT OF PROJECTS

PROJECT TYPE STATE	212 FIRST USE	212NON FIRST USE	212 EQUIVALENCY	212 NOT EQUIVALENCY	TOTAL 212 PROJECTS	319 NON-POINT SOURCE	320 ESTUARY
ME		60,719,356		60,719,356	60,719,356		
NH		16,321,144		16,321,144	16,321,144		
RI		13,782,637		13,782,637	13,782,637		
VT		1,330,000		1,330,000	1,330,000		
TOTAL		92,149,137		92,149,137	92,149,137		
PERCENT		100.00		100.00			

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REPORT TITLE: STATE PROJECT SUMMARY TO DATE FOR PROJECTS WITH ACTUAL OR TARGETED BINDING COMMITMENTS

REPORT NUMBER: 0615

PURPOSE: To provide a State Summary of the number of SRF projects and the dollar amount of assistance for each type of project for one or more fiscal years

TYPE OF INFORMATION: SRF Project Financial Data

The following information is provided for each State:

DATA ELEMENT:	DESCRIPTION:
Types of Projects	Indicates the number and dollar amount of each type of project by fiscal year: Six types of SRF Projects: <ul style="list-style-type: none"> - 212 First Use - 212 Non-First Use - 212 Equivalency - 212 Non-Equivalency - 319 Non-Point Source - 320 Estuary
Total Number of Projects	Indicates the total number of each of the types of projects
Percentage of Total Projects	Calculates the percentage of each of the types of projects for a fiscal year
Percentage of Total Projects	Calculates the percentage of each of the types of projects for each fiscal year
Total Dollar Amount	Indicates the total amount provided for each type of project
Percentage of Total Dollars	Calculates the percentage of the assistance dollar amount funded for each type of project for a fiscal year (i.e., 212 percentages are a percentage of total 212 projects. 319/320 percentages are the percentages of the total 212+319+320 projects.)

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STATE SUMMARY TO DATE FOR PROJECTS WITH BINDING COMMITMENTS

PAGE: 3

RUN DATE 04/09/91
REGION: 01 STATE: ME

NUMBER OF PROJECTS

PROJECT TYPE FID/YR	212 FIRST USE	212NON FIRST USE	212 EQUIVALENCY	212 NOT EQUIVALENCY	TOTAL 212 PROJECTS	319 NON-POINT SOURCE	320 ESTUARY
90		3		3	3		
TOTAL PERCENT		3 100.00		3 100.00	3		

DOLLAR AMOUNT OF PROJECTS

PROJECT TYPE FID/YR	212 FIRST USE	212NON FIRST USE	212 EQUIVALENCY	212 NOT EQUIVALENCY	TOTAL 212 PROJECTS	319 NON-POINT SOURCE	320 ESTUARY
90		5,009,410		5,009,410	5,009,410		
TOTAL PERCENT		5,009,410 100.00		5,009,410 100.00	5,009,410		

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PAGE: 2

STATE SUMMARY TO DATE FOR PROJECTS WITH TARGETED BINDING COMMITMENTS

RUN DATE 04/09/91
REGION: 01 STATE: ME

NUMBER OF PROJECTS

PROJECT TYPE FIS/YR	212 FIRST USE	212NON FIRST USE	212 EQUIVALENCY	212 NOT EQUIVALENCY	TOTAL 212 PROJECTS	319 NON-POINT SOURCE	320 ESTUARY
90		1		1	1		
91		9		9	9		
92		5		5	5		
TOTAL		15		15	15		
PERCENT		100.00		100.00			

DOLLAR AMOUNT OF PROJECTS

PROJECT TYPE FIS/YR	212 FIRST USE	212NON FIRST USE	212 EQUIVALENCY	212 NOT EQUIVALENCY	TOTAL 212 PROJECTS	319 NON-POINT SOURCE	320 ESTUARY
90		2,651,417		2,651,417	2,651,417		
91		42,424,939		42,424,939	42,424,939		
92		15,639,000		15,639,000	15,639,000		
TOTAL		60,715,356		60,715,356	60,715,356		
PERCENT		100.00		100.00			

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REPORT TITLE: NATIONAL ASSISTANCE TYPE SUMMARY TO DATE FOR PROJECTS WITH ACTUAL OR TARGETED BINDING COMMITMENTS

REPORT NUMBER: 0616

PURPOSE: To provide a National Summary of the number of SRF projects and the dollar amounts received, by each type of assistance used in a Region.

TYPE OF INFORMATION: SRF Project Financial Data

The following information is provided for each State:

DATA ELEMENT:	DESCRIPTION:
----------------------	---------------------

Number of Assistance Projects (by Region):

Loans	Indicates the number of loans
Refinanced Existing Debt	Indicates number of projects receiving aid in the form of refinancing of existing debt
Guarantees of Local Debt	Indicates number of projects receiving aid in the form of guarantees of local debt
Insurance	Indicates number of projects receiving aid in the form of insurance

Assistance Dollars (by Region):

Binding Commitment Amount	Indicates the total dollar amount of binding commitments
Total Number of Projects	Indicates the total number of projects in each category Nationally
Percentage of Total Projects	Calculates the percentage of the National total represented by each project type

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NATIONAL ASSISTANCE TYPE SUMMARY TO DATE FOR PROJECTS WITH TARGETED BINDING COMMITMENTS

	NUMBER OF ASSISTANCE PROJECTS				ASSISTANCE DOLLARS
	LOANS	REFINANCED EXISTING DEBT	GUARANTEES OF LOCAL DEBT	INSURANCE	BINDING COMMITMENT AMOUNT
	-----	-----	-----	-----	-----
01	10				31,433,701
02	114	69			693,117,417
03	110	2			396,040,049
04	169	5			1,100,035,937
05	97	2			855,072,115
06					
07	61				72,503,610
08	102	3			114,545,843
09	42	1			190,007,000
10	90	1			91,702,403
	-----	-----	-----	-----	-----
TOTAL	803	83			3,553,506,155
PERCENT	99.01	10.23			

NATIONAL ASSISTANCE TYPE SUMMARY TO DATE FOR PROJECTS WITH BINDING COMMITMENTS

	NUMBER OF ASSISTANCE PROJECTS				ASSISTANCE DOLLARS
	LOANS	REFINANCED EXISTING DEBT	GUARANTEES OF LOCAL DEBT	INSURANCE	BINDING COMMITMENT AMOUNT
	-----	-----	-----	-----	-----
01	16	2			123,704,991
02	31	7			441,993,250
03	8				23,920,425
04	117	10			401,575,362
05	16	2			122,100,000
06	1	1			1,314,896
07	17				34,030,000
08	30	4			67,493,970
09					
10	4				17,023,000
	-----	-----	-----	-----	-----
TOTAL	240	26			1,234,131,690
PERCENT	93.02	10.07			

SRF GICS NATIONAL REPORTSExhibit 3.2.3
Page 28 of 32**REPORT TITLE:** REGION XX ASSISTANCE TYPE SUMMARY TO DATE WITH ACTUAL OR TARGETED BINDING COMMITMENTS**REPORT NUMBER:** 0617**PURPOSE:** To provide a Regional Summary of the number of SRF projects and the dollar amounts received, by each type of assistance provided by the State**TYPE OF INFORMATION:** SRF Project Financial Data

The following information is provided for each State:

DATA ELEMENT: DESCRIPTION:**Number of Assistance Projects (by State):**

Loans	Indicates the number of loans
Refinancing Existing Debt	Indicates number of projects receiving aid in the form of refinancing existing debt
Guarantees of Local Debt	Indicates number of projects receiving aid in the form of guarantees of local debt
Insurance	Indicates number of projects receiving aid in the form of insurance

Assistance Dollars (by State):

Binding Commitment Amount	Indicates the total dollar amount of binding commitments
Total Number of Projects	Indicates the total number of projects in each category Nationally
Percentage of Total Projects	Calculates the percentage of the National total represented by each project type

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DATE: 04/18/91

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REGION 01 ASSISTANCE TYPE SUMMARY TO DATE FOR PROJECTS WITH TARGETED BINDING COMMITMENTS

	NUMBER OF ASSISTANCE PROJECTS				ASSISTANCE DOLLARS
	LOANS	REFINANCED EXISTING DEBT	GUARANTEES OF LOCAL DEBT	INSURANCE	BINDING COMMITMENT AMOUNT
NH	5				16,321,144
RI	4				13,782,637
VT	1				1,330,000
TOTAL	10				31,433,781
PERCENT	100.00				

REGION 01 ASSISTANCE TYPE SUMMARY TO DATE FOR PROJECTS WITH BINDING COMMITMENTS

	NUMBER OF ASSISTANCE PROJECTS				ASSISTANCE DOLLARS
	LOANS	REFINANCED EXISTING DEBT	GUARANTEES OF LOCAL DEBT	INSURANCE	BINDING COMMITMENTS AMOUNT
CT	15	1			113,079,991
ME		1			405,000
NH	1				9,500,000
TOTAL	16	2			123,704,991
PERCENT	88.89	11.11			

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REPORT TITLE: SRF PROJECT RECORDS COST CATEGORIES
BINDING DATE - ACTUAL FROM XXXXXX **THRU** XXXXXX

REPORT NUMBER: 0618

PURPOSE: Lists SRF projects with actual binding commitments by Grant Number, identifying the interest rate and the dollar amount disbursed, by cost category

TYPE OF INFORMATION: SRF Project Financial Data

The following information is provided for each State:

DATA ELEMENT:	DESCRIPTION:
Grant-No	The Financial Assistance Number assigned to identify the grant
Name	The Name of the local government that received the award
Interest Rate	Interest Rate used for repayment of the SRF loan
CAT I	Indicates the total dollar amount of assistance in cost Category I, which is the portion of eligible project costs required to provide "secondary treatment" or "best practicable wastewater treatment technology"
CAT II	Indicates the total dollar amount of assistance in cost Category II, which is the portion of eligible project costs required to achieve treatment levels more stringent than secondary
CAT IIIA	Indicates the total dollar amount of assistance in cost Category IIIA, which is the portion of eligible project costs required for the correction of sewer system infiltration/inflow problems
CAT IIIB	Indicates the total dollar amount of assistance in cost Category IIIB, which is the portion of eligible project costs required for the replacement and/or major rehabilitation of existing sewer systems
CAT IVA	Indicates the total dollar amount of assistance in cost Category IVA, which is the portion of eligible project costs required for construction of new collector sewer systems

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REPORT TITLE: SRF PROJECT RECORDS COST CATEGORIES
BINDING DATE - ACTUAL FROM XXXXXX THRU XXXXXX

REPORT NUMBER: 0618

DATA ELEMENT: DESCRIPTION:

CAT IVB	Indicates the total dollar amount of assistance in cost Category IVB, which is the portion of eligible project costs required for construction of new interceptor sewers and transmission pumping stations necessary for the bulk transport of wastewater
CAT V	Indicates the total dollar amount of assistance in cost Category V, which is the portion of eligible project costs required for construction of facilities to prevent and/or control periodic bypassing of untreated wastes from combined sewers in order to achieve water quality objectives
STORM-SEWER-COST	Indicates the total dollar amount of assistance in the Storm Sewer Cost category, which is the amount of assistance provided for control of pollutant discharges from separate storm sewer systems as defined in the Clean Water Act
NON-POINT-SOURCE	Indicates the total dollar amount of assistance in the Non-Point Source Cost category, which is the portion of eligible project costs which implements a management program established under Section 319 of the Clean Water Act
ESTUARY-COST	Indicates the total dollar amount of assistance in the Estuaries Cost category, which is the portion of eligible project costs which are used for development and implementation of a conservation and management plan under Section 320 of the Clean Water Act
ST SUMMARY	Indicates the total dollar amount of assistance provided State-wide in each of the Cost categories
COUNT	The total number of projects financed for all Cost categories State-wide

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RPT-NO: SRF-0610
RUN-DATE: 91-04-09
STATE: NJ
REGION: 02

STATE REVOLVING FUND PROGRAM
SRF PROJECT RECORDS COST CATEGORIES
BINDING-DATE-ACTUAL FROM 070101 THRU 910409

GRANT-NO (01)	NAME	INTREST RATE	CAT I(Y0) CAT II(Y1)	CAT IIIA(Y2) CAT IIIB(Y3)	CAT IVA(Y4) CAT IVB(Y5)	CAT V(Y6) STORM-SEWER-COST(YA)	NON-POINT-SOURCE(YB) ESTUARY-COST(YC)
340724020	MORRIS TOWNSHIP-WOOD	0.000	2,990,647 13,307,401				
340732050	CAPE MAY COUNTY MJA	0.900				22,190,600	
340770020	WEST PATERSON BOROUG	0.000		2,030,150			
340705030	LIVINGSTON, TOWNSHIP	0.000	14,562,034 9,170,600				
340010020	LOWER TOWNSHIP MJA	0.000					
340016010	BERNARDSVILLE BOROUG	0.000	4,930,640 %				
340025010	BENKELEY HEIGHTS TOW	7.700	6,122,000				
340074010	PHILLIPSBURG, TOWN O	0.000		345,356 707,250			
340070010	SOMERSET RARITAN VAL	0.000	0,010,642				
340900010	STAFFORD MJA	0.000				2,430,033	
340913010	WARREN, TOWNSHIP OF	0.000	6,179,504				
340915010	NIGHTSTOWN, BOROUGH	0.000	3,903,376				
NJ ST SUMMARY			270,459,401 145,412,379	10,957,447 12,199,687	30,316,736 169,005,259	0,600,000	
COUNT:	56						

PROGRAM = CS, BINDING-ANT-ACTUAL > 0, AND BINDING-DATE-ACTUAL WITHIN THE USER SUPPLIED RANGE AND RECORD-TYPE = C OR = N

SECTION 4.0

SRF STATE OPTIONAL SYSTEM

Introduction

The SRF State Optional System was developed to assist States in the management of their project level data under the State Revolving Fund (SRF). The SRF State Optional System consists of two subsystems: the SRF State Optional Data Entry and the SRF State Pilot Optional Reporting Systems. These systems provide States with enhanced reporting capabilities through the use of the existing GICS database.

Contents of This Section

This section describes the SRF State Optional Data Entry and the SRF State Pilot Optional Reporting System. It will identify the system screens and describe each of the related reports.

For Information On:	See Section:	See Exhibit:
Introduction to the SRF State Optional System	4.1 Introduction to the SRF State Optional System	4.1.1 SRF State Optional System and GICS
Overview of SRF State Optional Data Entry System Screens	4.2 SRF State Optional System Data Entry Screens	4.2.1 SRF State Optional Data Entry System Screens
The SRF State Pilot Optional System Reports and their uses	4.3 SRF State Pilot Optional Reports	4.3.1 SRF State Pilot Optional Reports

The 1987 Water Quality Act phased out EPA's Construction Grants program and shifted responsibility of construction financing to States through the establishment of the SRF program. The EPA will award grants to States as seed money in establishing self-sustaining State Revolving Funds. Each SRF will provide loans and other forms of assistance, except grants, to local governments.

The changes to the Construction Grants program altered the reporting requirements at Federal, Regional and State levels. The new information requirements were divided into the Nationally-required data elements and State optional data elements. GICS was enhanced in two phases to incorporate each set of data elements.

SRF GICS currently includes the Nationally required data elements, associated National reports, the State optional data elements and the SRF State Pilot Optional Reporting System. The purpose of the SRF State Pilot Optional Reporting System implementation was to develop reports from the SRF State Optional data elements based on the the Pilot State's Reporting Requirements. The system provides an illustration of how one State, Arkansas, chose to implement the State Optional Data Elements to meet State, Regional and National reporting requirements.

The Office of Information Resources Management (OIRM) in support of the Office of Wastewater Enforcement and Compliance (OWEC) has developed a Pilot State Revolving Fund (SRF) Workstation with the State of Colorado to provide for management and reporting of integrated State and Federal data. OWEC has established an SRF Workstation Workgroup to review, evaluate, and define requirements for a standard SRF Workstation to be made available to all States using the Colorado Pilot Workstation as a model. This will provide States with the reporting capability for SRF financial management, SRF program management and SRF project management. The workstation could also provide for automated creation of SRF reporting documents.

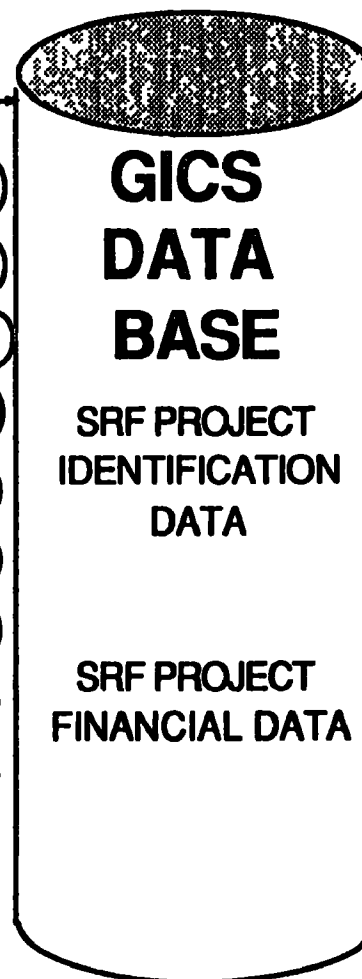
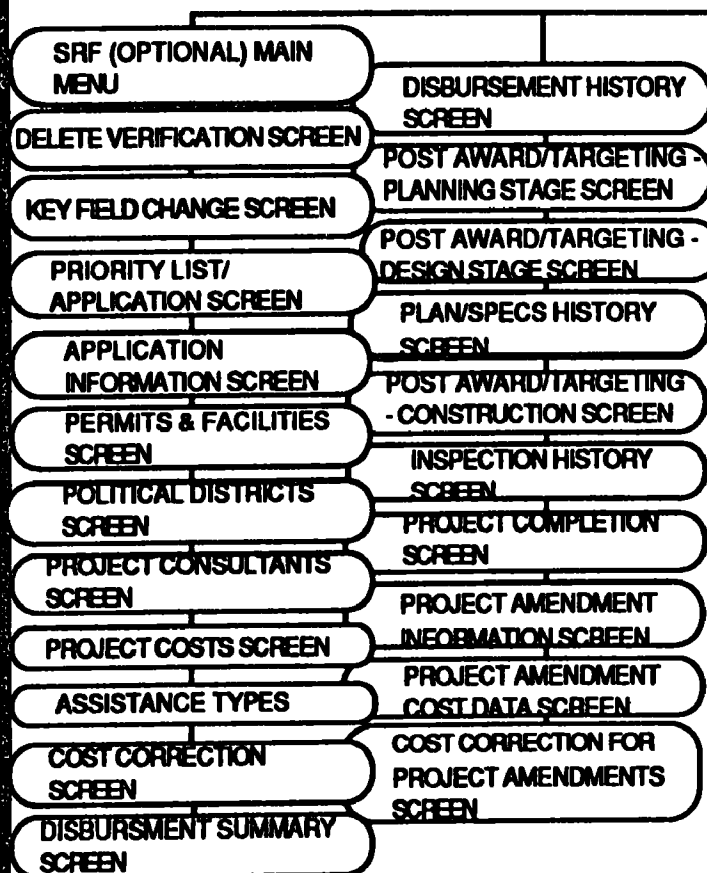
Exhibit 4.1.1, SRF State Optional System and GICS, depicts the SRF State Optional System Data Entry System Screens and the reports that were developed through the SRF State Pilot Optional Reporting System.

For more detailed information regarding the State Optional System see the SRF State Optional Data Entry System Users Guide, or the SRF State Pilot Optional Reporting System Implementation Report.

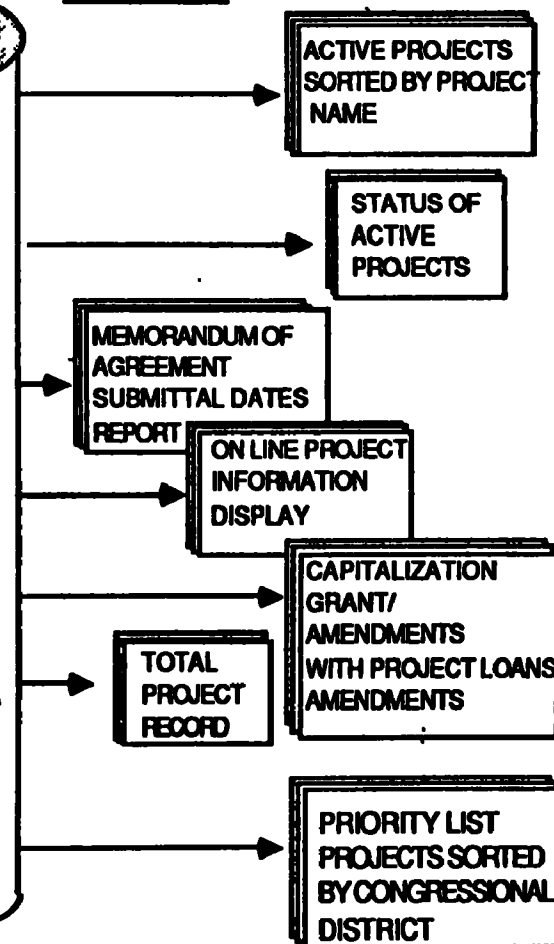
SRF STATE OPTIONAL SYSTEM AND GICS

EXHIBIT
4.1.1

DATA ENTRY SCREENS



REPORTS

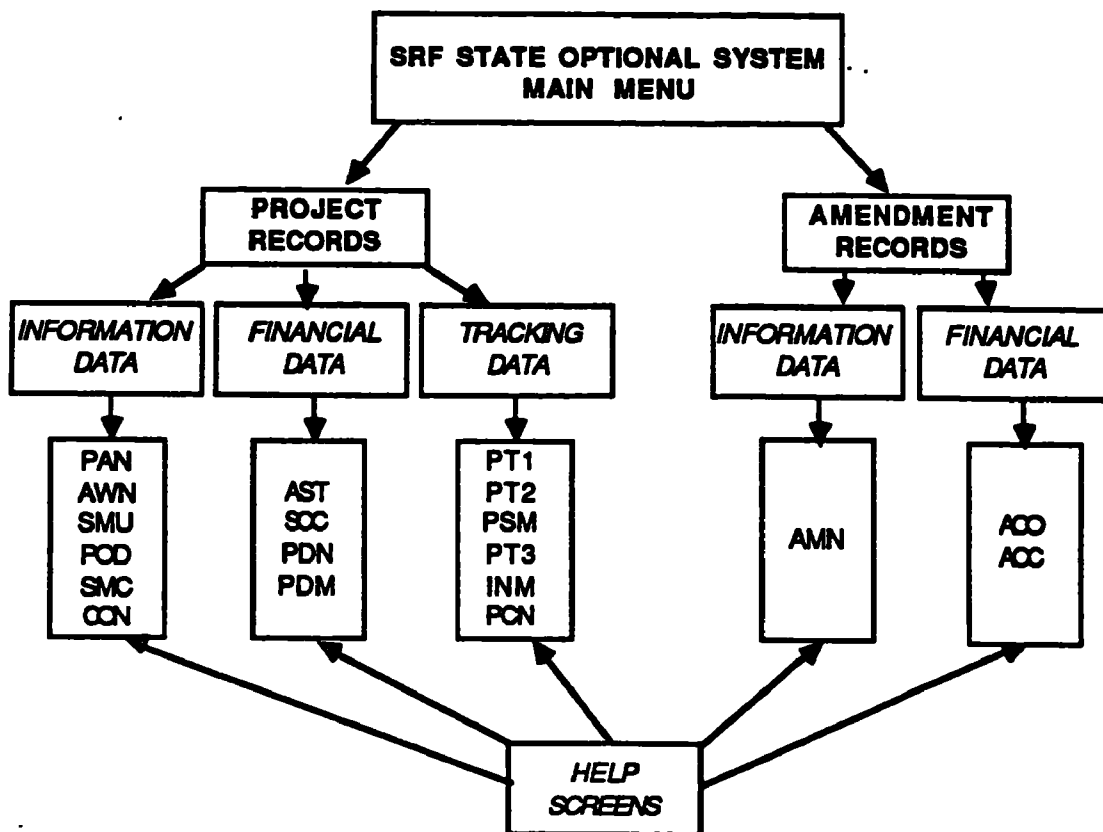


4.2 SRF STATE OPTIONAL DATA ENTRY SYSTEM SCREENS

The SRF State Optional Data Entry System was developed to incorporate the SRF State Optional Data elements into the GICS database.

Exhibit 4.2.1, SRF State Optional Data Entry System Screens, identifies the SRF State Optional data entry screens, the type of data entered on the group of screens, and the purpose of each group. The screens can be classified as either Project Record or Amendment Record screens. Additionally, the data entered or maintained on each screen may be informational financial or tracking.

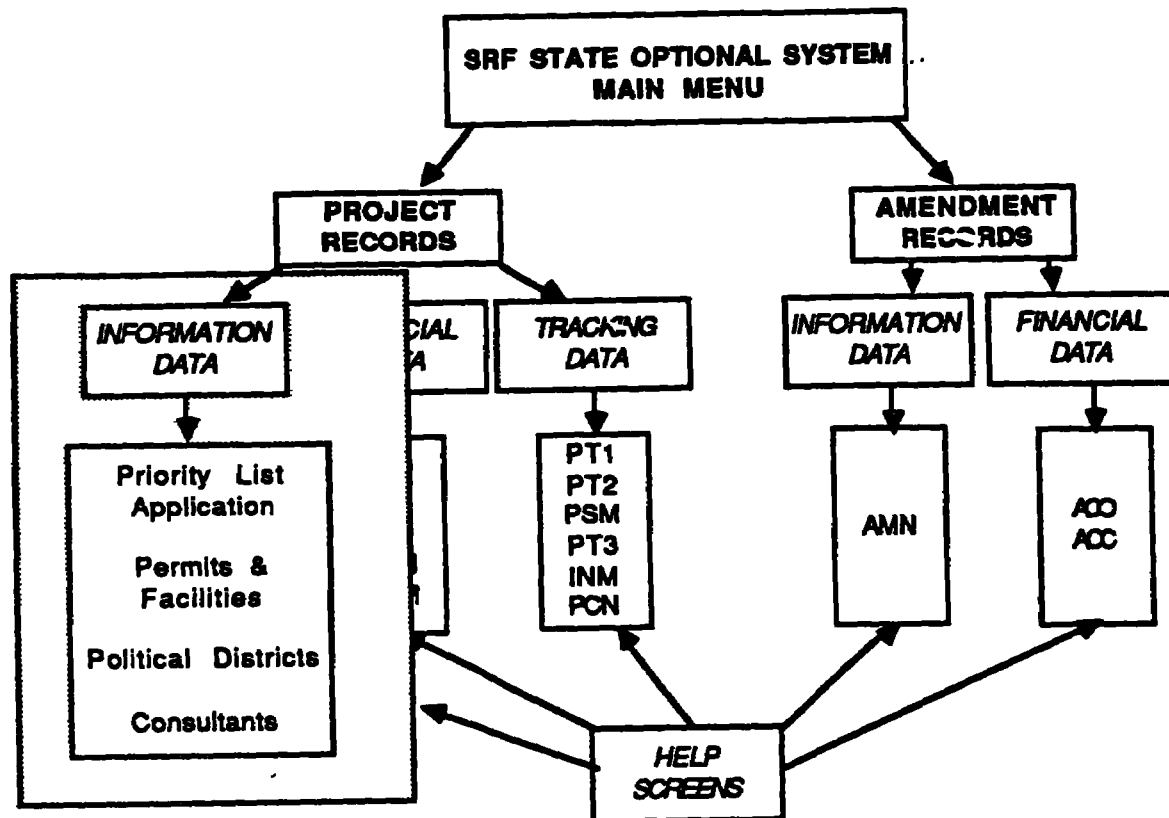
SRF STATE OPTIONAL DATA ENTRY SYSTEM SCREENS



AREA: SRF STATE OPTIONAL SYSTEM

PURPOSE: This describes the basic screen layout of the optional system. This system is divided into two areas: the Project Record and the Project Amendment Record.

**SRF STATE OPTIONAL DATA ENTRY
SYSTEM SCREENS**

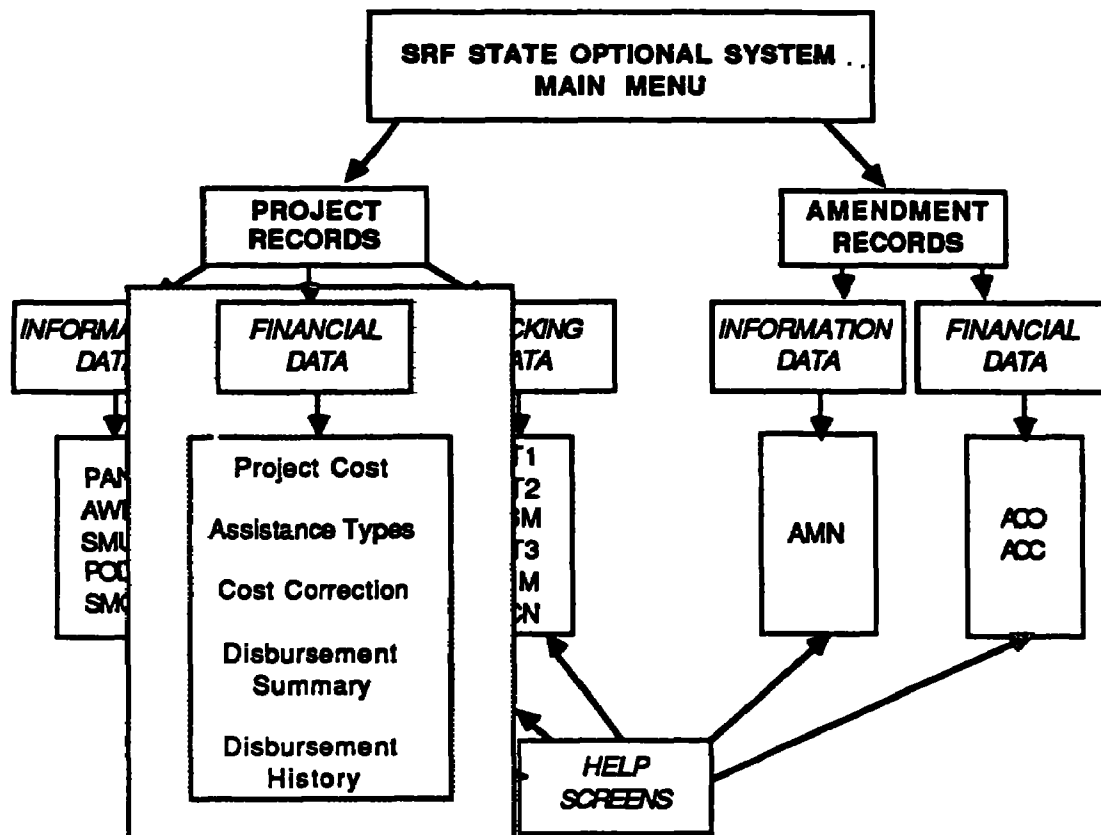


AREA: INFORMATION DATA

DATA ENTERED: Data related to SRF projects, from project conception to completion such as the projects' State or Federal Districts, and the key individuals involved in the project.

PURPOSE: To maintain and provide basic SRF project related information for effective Project Management and Reporting.

SRF STATE OPTIONAL DATA ENTRY SYSTEM SCREENS

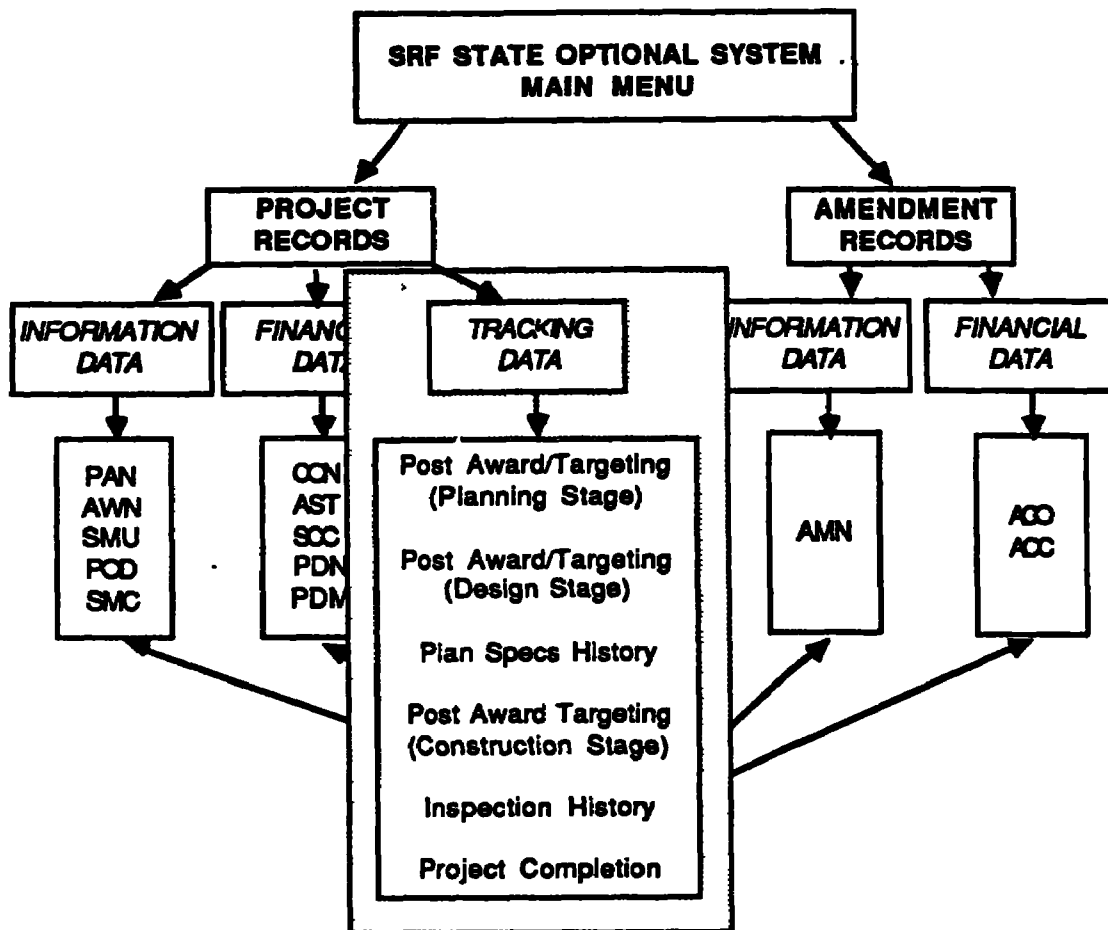


AREA: FINANCIAL DATA

DATA ENTERED: Financial Data related to individual SRF Projects such as cost and disbursement information.

PURPOSE: To maintain and provide financial data for effective project management and reporting of the SRF funded projects

SRF STATE OPTIONAL DATA ENTRY SYSTEM SCREENS

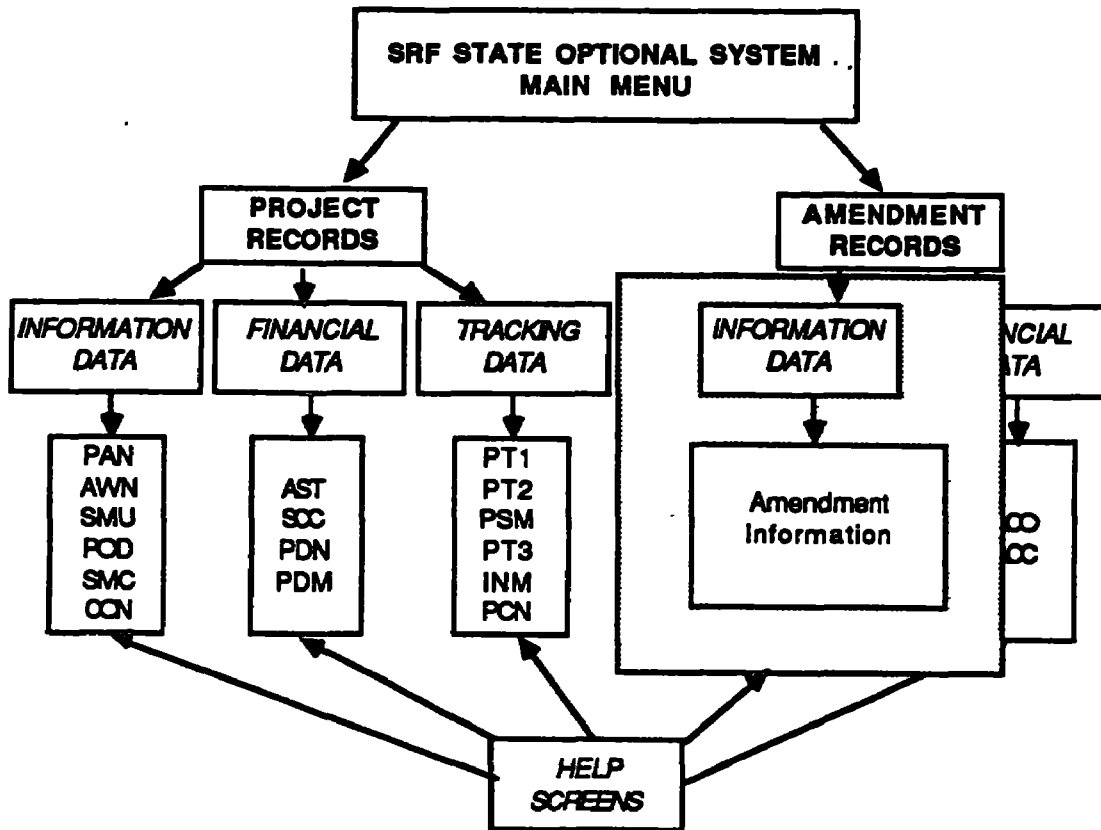


AREA: TRACKING DATA

DATA ENTERED: Data related to the status, receipt and review of various documents used in the planning, design, inspection and construction process.

PURPOSE: To maintain and provide milestone tracking information of individual SRF funded projects for effective Project Management and Reporting.

**SRF STATE OPTIONAL DATA ENTRY
SYSTEM SCREENS**



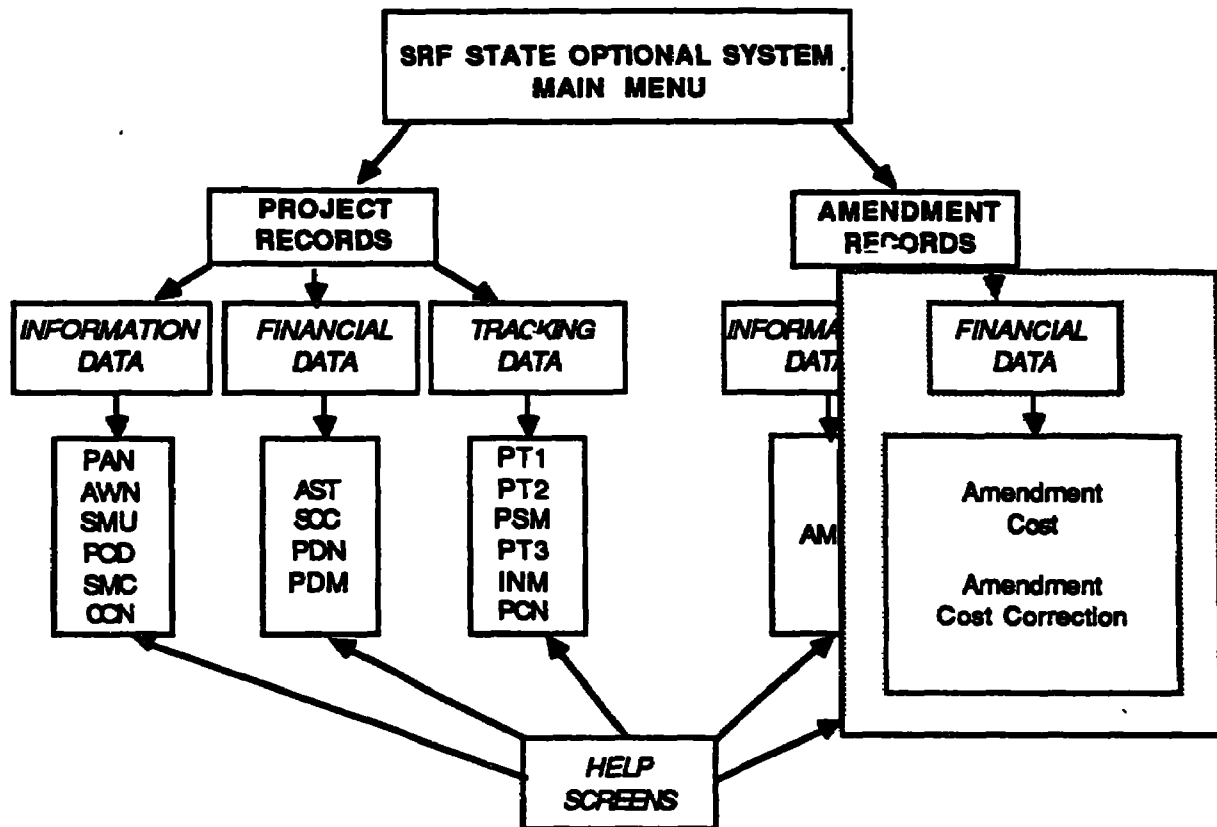
AREA: INFORMATION DATA

DATA ENTERED: Non-financial data related to amending an SRF project record.

PURPOSE: To maintain and provide basic project SRF amendment information.

SRF STATE OPTIONAL DATA ENTRY SYSTEM SCREENS

Exhibit 4.2.1
Page 6 of 7



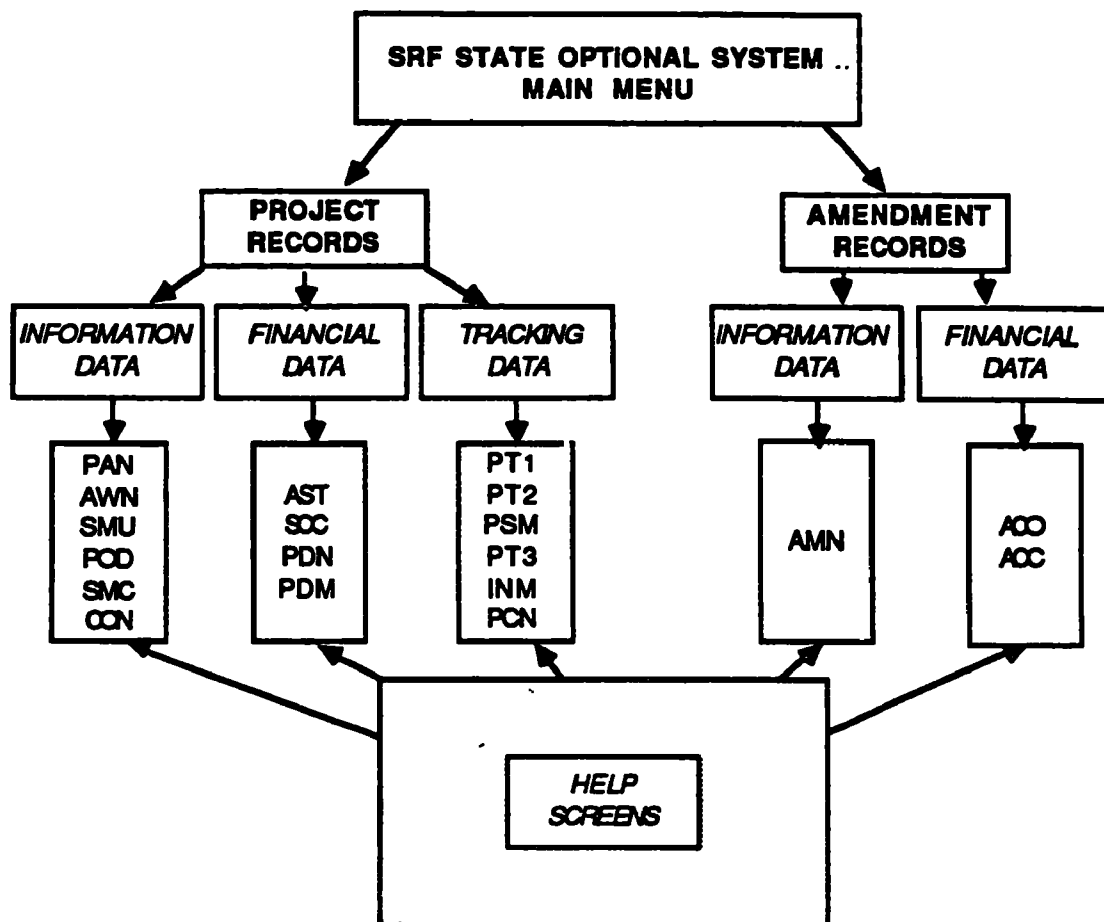
AREA: FINANCIAL DATA

DATA ENTERED: Financial data related to admendments to SRF Projects.

PURPOSE: To maintain and provide amendment estimate and actual data on SRF projects.

SRF STATE OPTIONAL DATA ENTRY SYSTEM SCREENS

Exhibit 4.2.1
Page 7 of 7



AREA: HELP SCREENS

DATA ENTERED: The system allows for on-line help access through 'PF1'.

PURPOSE: The Help Screen describes each data field and what type of information is entered in the field.

4.3

SRF STATE PILOT OPTIONAL REPORTS

The seven SRF State Pilot Optional Reports were developed in conjunction with the State of Arkansas as part of the SRF State Pilot Optional Reporting System Implementation. Exhibit 4.3.1, SRF State Pilot Optional Reports, provides a sample copy of the reports, describes the purpose of the reports, type of information the reports contain, and the data elements.

SRF STATE PILOT OPTIONAL REPORTS

Exhibit 4.3.1

Page 1 of 26

REPORT TITLE: ACTIVE PROJECTS SORTED BY PROJECT NAME**REPORT NUMBER:** SR01**PURPOSE:** Easy reference to identify active projects and the assigned Project Manager and Engineer**TYPE OF INFORMATION:** SRF State Optional Project Data

The following information is provided at the State Level:

DATA ELEMENT:	DESCRIPTION:
Project Number	The Financial Assistance Identification Number assigned to identify each pre-application, unsolicited proposal, application and awarded grant or loan
Project Name	The Project Name
Project Manager	Identifies the person designated by the Municipality to serve as the responsible contact for the assistance agreement
Project Officer	Official designated as the principle contact and is responsible for performance and coordination of project monitoring
Binding Commitment Target Date	The date of the target information defining the legal obligation by the State to the local recipients
Binding Commitment Actual Date	The date of the actual information defining the legal obligation by the State to the local recipients
Award Code/Date	The target or event code and date representing the current status Final Award and Approval
Applicant Community Represent	Name of the Applicant's principal representative for a WWT Construction or SRF Assistance agreement
Consultant	Identifies the SRF Project's consultant

DATE : 09-12-11
 REPORT: 040-SR01
 STATE : AB

STATE REVOLVING FUND
 ACTIVE PROJECTS SORTED BY PROJECT NAME

PAGE: 1

Exhibit 4.3.1
 Page 2 of 26

PROJECT NUMBER	PROJECT NAME	PROJECT MANAGER	PROJECT OFFICER	BINDING COMMITMENT TARGET ACTUAL	AWARD CODE DATE	APPLICANT COMMUNITY REPRESENTATIVE	CONSULTANT
080440030	AUSTIN, CITY OF				A 790629	MURSCHEL E. CLEME	SHINEK, JACOB S
080490030	BENTON, CITY OF				A 040925	ROONEY LARSEN, MA	AFFILIATED ENGIN
080490040	BENTON, CITY OF				A 040710	ROONEY LARSEN, MA	AFFILIATED ENGIN
080417030	BENTONVILLE, CITY OF				A 020930	STEVE BERTSCHY, M	MCGOODWIN WILLIA
080450030	BURCHWOOD BAY, MAY 7				A 010930	E. J. PATTERSON,	AFFILIATED ENGIN
080379030	CARTHAGE, CITY OF				A 770930	KEY CROUSE, MAYOR	AFFILIATED ENGIN
080512030	CAVE CITY, CITY OF				A 050400	LOUIS M. STEPTER,	ENVIRONMENTAL TE
080373030	COTTER & GARDENVILLE,				A 751230	REX S DAYLESS, MA	MANAFFEY, JOHN E
080372030	DEQUEEN, CITY OF				A 010920	MUTSON GREENWOOD,	MCCLELLAND CONSU
080519030	EMMET, CITY OF				A 050930	DALE BOOKER, MAYO	NANKINS, JOHN E.
080370030	EUREKA SPRINGS, CITY				A 040921	RICHARD SCHOENING	MCCLELLAND CONSU
080366110	FAYETTEVILLE, CITY O				A 040921	JAMES PENNINGTON,	CH2M HILL ASSOCI
080366120	FAYETTEVILLE, CITY O				A 041227	JAMES PENNINGTON,	CH2M HILL ASSOCI
080366130	FAYETTEVILLE, CITY O				A 040411	JAMES PENNINGTON,	CH2M HILL ASSOCI
080299990	FFFFFFF				A 700123		CH2M HILL ASSOCI
080514030	FLIPPIN, CITY OF				A 050019	GEORGE HICKEY, MA	ENGINEERING SERV
080521030	HACKETT, CITY OF				A 040927	CHERONKE BARNES,	NANKINS-WEIR ENG
080492030	HARRISBURG, CITY OF				A 040829	M. P. MADDOX, JR.	MCCLELLAND CONSU
080501030	HARRISON, CITY OF				A 070911	DANNY HARNESSE, MA	MCGOODWIN WILLIA
080431030	HEDER SPRINGS, CITY				A 010929	R. F. DUDECK	BOULDER ENGINEER
080477030	HOKIE, CITY OF				A 050000	JERRY L. FLIPPO,	TOWNSHIP BUILDER
080307030	JACKSONVILLE, CITY O				A 040930	DR. J.A. JOHNSON,	CRIST ENGINEERS,
080404030	LAKE HAMILTON BID 02				A 030629	CONWAY CARRIGAN,	MALONE & MATFIEL
080506030	LAKE VILLAGE, CITY O				A 040930	JACK R. RHODES, M	ENVIRONMENTAL TE
080002030	LITTLE ROCK (ADAMS F		FENTER, DAVID	080031	A 040930	REGGIE CORBITT, M	ENVIRONMENTAL TE
080426030	LITTLE ROCK (UPPER F				A 000924	REGGIE CORBITT, M	GARVER & GARVER
080411030	LOWELL, CITY OF				A 070920	GLEN M. ROGERS	MCGOODWIN WILLIA
080017030	MANNOTH SPRING, CITY				A 050927	JEAN PACE, MAYOR	NEHLBERGER, TAMM
080394030	MANILA, CITY OF				A 070930	CLIFFORD VEACH, M	HAYES, SUGGENTH
080462030	MARSHALL, CITY OF				A 030930	ART VANDERPOOL, M	ENVIRONMENTAL TE
080500030	MELBOURNE				A 040930	SHANNON MONACK, M	CEE ENGINEERING
080305030	MORRILTON, CITY OF				A 030622	BARRY MCKUIN, CHA	NEHLBERGER, TAMM
080011030	MOUNTAIN VIEW, CITY				A 030330	JAMES CASH, MAYOR	MCCLELLAND CONSU
080001030	MOUNTAIN VIEW, CITY				A 040930	JAMES CASH, MAYOR	MCCLELLAND CONSU
080470030	OPPELO, TOWN OF				A 000930	JOHN PURNPIREY, MA	AFFILIATED ENGIN
080346030	PARAGOULD, CITY OF				A 751230	LARRY MATSON, MAN	BLACK & VEATCH
080376030	PEA RIDGE, CITY OF				A 790920	LESTER MALL, MAYO	MCGOODWIN WILLIA
080409030	PINEY BID				A 040927	RUDY S. LASSITER,	ALFORD ENGINEERS
080472030	PLAINVIEW, CITY OF				A 030720	MELVA FORD, MAYOR	ALFORD ENGINEERS
080590030	PLUMERVILLE, CITY OF				A 070020	BILLY P. BEAVER,	MALONE & MATFIEL
080496030	ROGERS, CITY OF				A 070020	TOM S. MCALISTER	MCGOODWIN WILLIA
080427030	SEARCY, CITY OF				A 030019	CLARENCE BUCKNER,	NEHLBERGER, TAMM
080493030	SHERIDAN, CITY OF				A 040930	DALTON WALKER, MA	NEHLBERGER, TAMM
080713030	SHERWOOD, CITY OF		IMSLIA, HENRY	090530 090630	A 040930	ARNOLD PALMER	NEHLBERGER, TAMM
080366040	SPRINGDALE, CITY OF				A 040909	M. TURNER ON R.	MCGOODWIN WILLIA

■ INDICATES A SRF LOAN RECORD

SRF STATE PILOT OPTIONAL REPORTS

Exhibit 4.3.1
Page 3 of 26**REPORT TITLE:** STATUS OF ACTIVE PROJECTS**REPORT NUMBER:** SR02**PURPOSE:** Easy reference to monitor major milestone dates for active projects**TYPE OF INFORMATION:** SRF State Optional Project Data

The following information is provided at the State Level:

DATA ELEMENT:	DESCRIPTION:
Project Number	The Financial Assistance Identification Number assigned to identify each pre-application, unsolicited proposal, application, and awarded grant or loan
Project Type	Identifies the SRF State Project type
Project Name	The Project Name
Project Manager	Identifies the person designated by the Municipality to serve as the responsible contact for the assistance agreement
Binding Commitment Target Date	The date of the target information defining the legal obligation by the State to the local recipients
Binding Commitment Actual Date	The date of the actual information defining the legal obligation by the State to the local recipients
Award Code Date	The target or event code and date representing the current status of the Final Award and Approval
Construction Start Code Date	The target or event code and date representing the current status of Construction
Physical Completion Code Date	The target or event code and date representing the current status of the projected or actual physical completion of the project
Init of Operations Code Date	The target or event code and date representing the current status of the initiation of operations

SRF STATE PILOT OPTIONAL REPORTSExhibit 4.3.1
Page 4 of 26**REPORT TITLE:** STATUS OF ACTIVE PROJECTS (cont.)**REPORT NUMBER:** SR02**DATA ELEMENT:** **DESCRIPTION:****Perform Certification
Code Date**

The target or event code and date representing the current status of the certification to EPA that the project is actually meeting its performance standards

**Admin Completion
Code Date**

The target or event code and date representing the current status of the request to the authorized auditing authority to perform a final audit of the assistance agreement

**Audit Completion
Code date**

The target or event code and date representing the current status of the final audit of the assistance agreement

Exhibit 4.3.1
Page 5 of 26

DATE : 09-12-11
REPORT: 040-2002
STATE : AR

STATE REVOLVING FUND
STATUS OF ACTIVE PROJECTS

PAGE: 1

PROJECT NUMBER	PROJ TYPE	PROJECT NAME	PROJECT MANAGER	BINDING COMMITMENT TARGET	DATE ACTUAL	AWARD DATE	CONST START CODE	DATE	PNV COMPLETE CODE	DATE	INIT OPER CODE	DATE	PROJ PERF CERTIFICATION CODE	DATE	ADMIN COMPLETE CODE	DATE	AUDIT COMPLETE CODE	DATE
050440030		AUSTIN, CITY OF				A 790629	A 020120	T 001231	T 001231						T 090331			
050440030		BENTON, CITY OF				A 040925	A 050617	A 071123	A 070923	T 000923				T 090228				
050440040		BENTON, CITY OF				A 060710	A 061114	A 071123	A 070923	T 000923				T 090228				
050417030		BENTONVILLE, CITY O				A 020930	A 030627	A 061119	A 061119	A 071119				A 080331	T 090031			
050450030		BURCHWOOD BAY, HMT				A 010930	A 021207	A 051016	A 051016	N 061030				A 070630	T 090624			
050379030		CARTHAGE, CITY OF				A 770930	A 700520	A 000612	A 000612					A 011228	A 021210			
050512030		CAVE CITY, CITY OF				A 050400	A 060010	T 000030	T 000030	T 090930				T 091130				
050373030		COTTER & GASSVILLE,				A 751230	A 760620	T 000029	A 700906					A 000027	A 010020			
050372030		DEQUEEN, CITY OF				A 010928	A 020510	A 040710	A 040710					A 060929	T 090400			
050519030		EMMET, CITY OF				A 050930	A 060930	A 080610	A 080610	T 090610				T 081028				
050370030		ELREKA SPRINGS, CIT				A 040921	A 050729	T 000930	T 000930	T 090930				T 091130				
050366110		FAYETTEVILLE, CITY				A 040921	A 041220	T 000031	T 001231	T 091231				T 090401				
050366120		FAYETTEVILLE, CITY				A 041227	A 041220	T 000031	T 001231	T 091231				T 090401				
050366130		FAYETTEVILLE, CITY				A 060431	A 060714	T 001231	T 001231	T 091231				T 090401				
050299030		FFFFF				A 700123		A 070123										
050514030		FLIPPIN, CITY OF				A 050019	A 041201	A 070930	A 070930	T 000930				T 090101				
050521030		HACKETT, CITY OF				A 040927	A 050701	A 040403	A 040520	A 070629				A 070925	AD000700			
050492030		HARRISBURG, CITY OF				A 060029	A 070402	A 000510	A 000510	T 090510				T 090930				
050501030		HARRISON, CITY OF				A 070931	A 070914	T 090331	T 090701	T 091001				T 090630	T 090630			
050431030		HEBER SPRINGS, CITY				A 010929	A 030526	A 060624	A 060624	T 070624				A 070223	T 090223			
050477030		HOKIE, CITY OF				A 050000	A 000630	T 090331	T 090331	T 090331				T 091101				
050307030		JACKSONVILLE, CITY				A 040930	A 050703	T 000930	T 000930	T 090930				T 090331				
050404030		LAKE HAMILTON BID 0				A 030629	A 040123	A 051001	A 051110	A 061210				A 061229	T 090930			
050506030		LAKE VILLAGE, CITY				A 060930	A 070031	T 000031	T 000031	T 090031				T 090031	T 091030			
050002030	212	LITTLE ROCK ADAMS			000031	A 060930	A 070031	T 091101	T 091231	T 091231				T 091028	T 091028			
050426030		LITTLE ROCK (UPPER				A 000926	A 010402	T 001001	A 030627					T 000930				
050611030		LOWELL, CITY OF				A 070920	A 000727	T 090727	T 090727	T 090727				T 090331				
050517030		MAPWOTH SPRING, CIT				A 050927	A 060519	A 071207	A 071207	T 001207								
050394030		MANILA, CITY OF				A 070930	T 000930	T 090930	T 090930	T 090930								
050462030		MARSHALL, CITY OF				A 030930	A 050019	A 070729	A 070729	T 000729				T 001129				
050500030		MELBOURNE				A 040930	A 050930	A 061210	A 070302	T 000930				T 001231				
050300030		MORRILTON, CITY OF				A 030622	A 050620	A 061117	A 061117	A 071130				A 000331	T 090930			
050511030		MOUNTAIN VIEW, CITY				A 030330	A 050320	A 060500	A 060500	A 070500				AP070500	T 091231			
050001030		MOUNTAIN VIEW, CITY				A 060930	A 070601	A 080407	A 080406	T 090406				T 090729				
050478030		OPPEL, TOWN OF				A 000930		A1040110	N 040110	N 061030				T 000930	T 070630			
050366030		PARAGOULD, CITY OF				A 751230	A 761206	A 060219	A 060219					T 000731				
050376030		PEA RIDGE, CITY OF				A 790920	A 020401	A 050110	A 050110					A 050510	T 001101			
050409030		PINEY SID				A 040927	A 050930	A 070625	A 070625	T 000625				T 000025				
050472030		PLAINVIEW, CITY OF				A 030720	A 051021	A 071009	A 071009	T 001009				T 090109				
050590030		PLUMERVILLE, CITY O				A 070020	T 001231	T 091231	T 091231	T 091231				T 091331	T 091030			
050406030		ROGERS, CITY OF				A 070020	A 061030	T 000930	T 000930	T 090930				T 091231	T 090630			
050427030		SEARCY, CITY OF				A 030019	A 040315	A 060613	A 060613	T 090601				T 000930	T 091213			
050493030		SHERIDAN, CITY OF				A 040930	A 070413	A 080624	A 080303	T 090303				T 090403				
050710030	212	SHERWOOD, CITY OF			090530			T 090930						T 090101				
050504040		SPRINGDALE, CITY OF				A 060909	A 041000	T 000031	A 000331	T 090331				T 090630				
050400030		SUNARLOAF MTD				A 070930	T 000930	T 090910	T 090910	T 090910				T 091231	T 090430			

SRF STATE PILOT OPTIONAL REPORTSExhibit 4.3.1
Page 6 of 26**REPORT TITLE:** MEMORANDUM OF AGREEMENT SUBMITTAL DATES REPORT**REPORT NUMBER:** SR03**PURPOSE:** Target date monitoring report, used as a reminder to notify City Officials of upcoming submittal of documents.**TYPE OF INFORMATION:** SRF State Optional Project Data

The following information is provided at the State Level:

DATA ELEMENT:	DESCRIPTION:
Project Manager	Identifies the person designated by the Municipality to serve as the responsible contact for the assistance agreement
Project Number	The Financial Assistance Identification Number assigned to identify each pre application, unsolicited proposal, application awarded grant loan
Project Name	The Project Name
Facility Plan Receipt Code Date	The target or event code and date representing the receipt of the facility plan
Plan/Specs Receipt Code Date	The target or event code and date representing the Milestone record used to track multiple plans and specifications per project
UCS Receipt Code Date	The target or event code and date representing the receipt of the user charges system
SUO Receipt Code Date	The target or event code and date representing the receipt of the sewer user ordinance
Applic Receipt Code Date	The target or event code and date representing the receipt of an application for a WWT construction or SRF assistance agreement in the State Office

Exhibit 4.3.1
Page 7 of 26

DATE: 09-12-11
REPORT: G40-0803
STATE: AR

MEMORANDUM OF AGREEMENT SUBMITTAL DATES REPORT
INPUTED DATE RANGE 000101 THRU 900101
SORTED BY PROJECT NAME

PAGE: 1

PROJECT MANAGER	PROJECT NUMBER	PROJECT NAME	FACILITY PLAN RECEIPT CD DATE	PLAN-SPECS RECEIPT CD DATE	UCS RECEIPT CD DATE	SUD RECEIPT CD DATE	APPLIC RECEIPT CD DATE
	050507030	PINE BLUFF, CITY OF	=T 091003		=T 091003	=T 091003	
	050600030	TUCKERMAN, CITY OF	=T 091003		=T 091003	=T 091003	
	050700030	SHANNON HILLS, CITY OF	=T 091003		=T 091003	=T 091003	T 900430
	050713030	SHERWOOD, CITY OF	=T 900101		T 900301	T 900301	

AN '0' INDICATES A DATE THAT FALLS WITHIN THE INPUT DATES PLUS 15 DAYS
NEXT FIM
MAY9907 ERROR CONDITION DETECTED IN NATURAL RUN

SRF STATE PILOT OPTIONAL REPORTSExhibit 4.3.1
Page 8 of 26**REPORT TITLE:** ON-LINE PROJECT INFORMATION DISPLAY**REPORT NUMBER:** SR04 (this is an on-line display only)**PURPOSE:** Quick on-line look at any project to see latest data in major milestones fields**TYPE OF INFORMATION:** SRF State Optional Project Data

The following information is provided at the State Level:

DATA ELEMENT:	DESCRIPTION:
Project Number	The Financial Assistance Identification Number assigned to identify each pre-application, unsolicited proposal, application, and awarded grant or loan
Project Name	The Project Name
Facility Plan Receipt Code/Date	The target or event code and date representing receipt of the facility plan
Facilities Plan Revd Code/Date	The target or event code and date representing the review of the facility plan
Binding Commitment Target Date	The date of the target information defining the legal obligation by the State to the local recipients
Binding Commitment Target Amount	The target amount of the legal obligation by the State to the local recipients
Binding Commitment Actual Date	The date of the actual information defining the legal obligation by the State to the local recipients
Binding Commitment Actual Amount	The target amount of the legal obligation by the State to the local recipients
Physical Completion Code/Date	The target or event code and date representing the projected, or actual, physical completion of the project
Performance Certification Code/Date	The target or event code and date related to the target or event code contained in the Performance Certification

SRF STATE PILOT OPTIONAL REPORTS

REPORT TITLE:	ON-LINE PROJECT INFORMATION DISPLAY (cont.)
REPORT NUMBER:	SR04 (this is an on-line display only)
DATA ELEMENT:	DESCRIPTION:
Plan/Specs: Receipt Code/Date Review Code/Date	The Milestone record used to track multiple plans and specifications per project
Cumulative Disbursements Amount	The cumulative amount of disbursements made under a SRF Assistance Agreement as of the latest approved date
Cumulative Disbursements Percent	The Cumulative Disbursements as a percentage of the total project amount
Construction Start Code/Date	The target or event code and date related to the start of construction
Administrative Completion Code/Date	The target or event code and date representing the current status of the request to the authorized auditing authority to perform a final audit of the assistance agreement
Application Recd Code/Date	The target or event code and date representing the receipt of an application for a WWT construction or SRF assistance agreement
Inspection Code/Date	Target or event code and date representing the current status of the most recent recognized on-site inspection
Percent Complete	The percentage of construction estimated by the consulting engineer to be physically complete as of WWT Construction Certification Date
Initiation of Operation Code/Date	The target or event code and date related to the target or event code contained in the Initiation of Operations
Audit Completion Code Date	The target or event code and date representing the current status of the final audit of the assistance agreement

Exhibit 4.3.1
Page 10 of 26

MORE

STATE REVOLVING FUND

ONLINE PROJECT INFORMATION -----

PROJECT NO: 050001900

NAME: STATE POLLUTION CONTROL AUTHORITY

FACILITES PLAN

PLAN SPECS

APPLICATION REC

RECD CD: DATE:

RECD CD: DATE:

CODE:

REV CD: DATE:

REVD CD: DATE:

DATE:

BINDING COMMITMENT

CUMULUTIVE

INSPECTION

TARGET DATE:

DISBURSEMENTS

CD: DATE:

AMOUNT:

AMOUNT:

PERCENT COMPLETE

ACTUAL DATE:

PERCENT:

1

AMOUNT:

PHYSICAL COMPLETION

CONSTRUCTION START

INIT OF OPERATION

CD: DATE:

CD: DATE:

CD: DATE:

PERFORMANCE

ADMINISTRATIVE

AUDIT

CERTIFICATION

COMPLETION

COMPLETION

CD: DATE:

CD: DATE:

CD: DATE:

PRESS ENTER TO CONTINUE

SRF STATE OPTIONAL REPORTING SYSTEM DATA ENTRY SCREENS

Exhibit 4.3.1
Page 11 of 26

REPORT TITLE: CAPITALIZATION GRANT/AMENDMENTS WITH PROJECT
LOANS AMENDMENTS

REPORT NUMBER: SR05

PURPOSE: Ties all loans and loan amendments to the capitalization
grant and capitalization grant amendments from which they
were made

**TYPE OF
INFORMATION:** SRF State Optional Project Data

The following information is provided at the State Level:

DATA ELEMENT:	DESCRIPTION:
Grant Number	The Financial Assistance Identification Number assigned to identify the Capitalization Grant
Award Code Date	The target or event code and date representing the Final Award and Approval
Cumulative Award	The cumulative amount of capitalization grant funds awarded to the State
Funds Awarded	The actual amount of funds awarded
Total Grant + 20% State Match	Total amount of capitalization grant funds awarded to the State + the 20% required State matching funds
Project Number	The Financial Assistance Identification Number assigned to identify each pre-application, unsolicited proposal, application, and awarded grant or loan
Project Name	The Project Name
Binding Commitment Actual Date	The date of the actual information defining the legal obligation by the State to the local recipients
Binding Commitment Actual Amount	The target amount of the legal obligation by the State to the local recipients
Loan Interest Rate	Interest Rate used for repayment of loans for a SRF-funded project

Exhibit 4.3.1
Page 12 of 26

DATE : 09-12-11
REPORT: 040-0000
STATE : AR

PAGE: 1

STATE REVOLVING FUND
CAPITALIZATION GRANTS/AMENDMENTS WITH PROJECT LOANS/AMENDMENTS

GRANT NUMBER	RECORD TYPE	AMOUNT CD DATE	CUMULATIVE AMOUNT	FUNDS AMOUNTED	TOTAL GRANT + 20% STATE MATCH	PROJECT NAME	BINDING COMMITMENT ACTUAL	LOAN INTEREST RATE
							DATE	AMOUNT
050001-000	CAP GRANT A	000120	20,194,250	20,194,250	33,033,100	CONNECTICUT D.E.P.		
050001-001	AMEND	T 000202						
END OF CAP GRANT 050001-000								
050001-090	CAP GRANT					TEST PROJECT		
050001-900	PROJECT A	090103	5,000	5,000		STATE POLLUTION CONTROL		
050337-030	PROJECT T	700006	7,779,371	7,296,937		EL DORADO, CITY OF		
TOT PROJ								
050001-090	CAP GRANT							
050001-900	CAP GRANT A	090103	5,000	5,000	6,000	STATE POLLUTION CONTROL		
050001-901	AMEND	A 090309						
050001-903	AMEND	A 090314						
TOT AMEND								
050306-030	PROJECT T	040700	1,390,932	1,390,932		SPRINGDALE, CITY OF		
END OF CAP GRANT 050001-900								
050001-920	CAP GRANT T	090202		100		AAAAAAA		
END OF CAP GRANT 050001-920								
050001-930	CAP GRANT A	090214	35,020,000	35,000,000	42,024,000	STATE POLLUTION CONTROL		
050001-931	AMEND	A 090314		20,000				
END OF CAP GRANT 050001-930								
050001-990	CAP GRANT A	090406	1,010,000	1,000,000	1,212,000	ARKANSAS DEPT OF WATER		
050001-991	AMEND	A 090406		10,000				
END OF CAP GRANT 050001-990								
NEXT FIN								
MAY0907 ERROR CONDITION DETECTED IN NATURAL RUN								

SRF STATE PILOT OPTIONAL REPORTSExhibit 4.3.1
Page 13 of 26**REPORT TITLE:** STATE REVOLVING FUND TOTAL PROJECT RECORDS CHANGED
SINCE XX/XX/XX**REPORT NUMBER:** SR06**PURPOSE:** To provide a listing of all data elements related to a SRF
Project Record**TYPE OF
INFORMATION:** SRF State Optional Project Data and Nationally Required
Data Elements

The following information is provided at the State Level:

DATA ELEMENT:	DESCRIPTION:
Grant Number	The Capitalization Grant serial number used to fund this particular SRF Assistance Agreement
Type	A code identifying the statutory category of projects assisted by SRF
Project Step Code	Code identifying the specific type of project undertaken as part of the SRF Assistance Agreement
Name	The name of the local government who received the award
Representative	Name of the principal representative of the applicant for a WWT construction or SRF assistance
Address	The current address of the local government receiving the award
City	The current City of the local government receiving the award
State	The current State of the local government receiving the award
Zip	The current Zip Code of the local government receiving the award
Description	The title or description of the project for which EPA or SRF support is requested
Amount Requested	Estimate of the total funds requested to carry out the proposed project during the current budget period
Funds Awarded	The actual amount of funds awarded or decreased from an assistance agreement to the applicant

SRF STATE PILOT OPTIONAL REPORTS

REPORT TITLE:	STATE REVOLVING FUND TOTAL PROJECT RECORDS CHANGED SINCE XX/XX/XX (cont)
REPORT NUMBER:	SR06
DATA ELEMENT:	DESCRIPTION:
CAT I BPWTT	Portion of the eligible cost of a wastewater treatment construction or SRF project that is required to provide "secondary treatment" or "best practicable wastewater treatment technology"
CAT II >BPWTT	Portion of the eligible cost of a wastewater treatment construction or SRF project that is required to achieve treatment levels more stringent than secondary
CAT IIIA I/I	Portion of the eligible cost of a wastewater treatment construction or SRF project that is required for the correction of sewer system infiltration/inflow problems
CAT IIIB Rehab	Portion of the eligible cost of a wastewater treatment construction or SRF project that is required for the replacement an/or major rehabilitation of existing sewer systems
CAT IVA Collection	Portion of the eligible cost of a wastewater treatment construction or SRF project that is required for construction of new collector sewer systems
CAT V Overflow	Portion of the eligible cost of a wastewater treatment construction or SRF project that is required for construction of facilities to prevent and/or control periodic bypassing of untreated wastes from combined sewers in order to achieve water quality objectives
Total Project Cost	The total estimated current cost of the project
Priority List Points	The priority points assigned by a State to a proposed project appearing on the State Project Priority List
Priority List Rank	The priority assigned by a State to a proposed project appearing on the State Project Priority List
Priority List Year	The year associated with the proposed project appearing on the State Project Priority List

SRF STATE PILOT OPTIONAL REPORTS

REPORT TITLE:	STATE REVOLVING FUND TOTAL PROJECT RECORDS CHANGED SINCE XX/XX/XX (cont)
REPORT NUMBER:	SR06
DATA ELEMENT:	DESCRIPTION:
State Receipt Application	A target or event code and date representing the current status of the receipt of an application for a SRF Assistance Agreement by the State
Pre Close Conference	Future data element
Assistance Acceptance	A target or event code and date representing the current status of the acceptance of the assistance agreement
Facility Plan - Receipt	A target or event code and date representing the current status of the receipt of the Facilities Plan
Facility Plan - Reviewed	A target or event code and date representing the current status of the review of the Facilities Plan
Infiltration/Inflow Analysis - Receipt	A target or event code and date representing the current status of the receipt of the Infiltration/Inflow analysis
Infiltration/Inflow Analysis - Review	A target or event code and date representing the current status of the review of the Infiltration/Inflow analysis
Sewer Systems Evaluation - Receipt	A target or event code and date representing the current status of the receipt of the Sewer System Evaluation
Sewer Systems Evaluation - Review	A target or event code and date representing the current status of the review of the Sewer System Evaluation
Operations and Maintenance Manual -Receipt	A target or event code and date representing the current status of the receipt of the Operations and Maintenance Manual
Operations and Maintenance Manual -Review	A target or event code and date representing the current status of the review of the Operations and Maintenance Manual
Plan of Operation - Receipt	A target or event code and date representing the current status of the receipt of the Plan of Operation

SRF STATE PILOT OPTIONAL REPORTS

REPORT TITLE:	STATE REVOLVING FUND TOTAL PROJECT RECORDS CHANGED SINCE XX/XX/XX (cont)
REPORT NUMBER:	SR06
DATA ELEMENT:	DESCRIPTION:
Plan of Operation - Review	A target or event code and date representing the current status of the review of the Plan of Operation
SUO - Receipt	A target or event code and date representing the current status of the receipt of the Sewer Use Ordinance
SUO - Review	A target or event code and date representing the current status of the adaption of the Sewer Use Ordinance
UCS - Receipt	A target or event code and date representing the current status of the receipt of the User Charges System
UCS - Review	A target or event code and date representing the current status of the adaption of the User Charges System
Late P&S	A milestone record used to track multiple plans and specifications per project
Fin Env Imp	A target or event code and date representing the current status of the Final Environmental Impact Statement
V/E Dollar Amount Saved	The amount of Net Capital Dollars Saved by a Value Engineering Project
V/E Report Receipt	A target or event code and date representing the current status of the receipt of the Recipient's Value Engineering Report
V/E Report. Review	A target or event code and date representing the current status of the adaption of the Recipient's Value Engineering Report
Action Step Code/Date	The code and date identifying the current status and/or disposition of a prospective project, application, or active completed project for which assistance has been requested or given
Authorized Facility Number	A unique number which identifies the wastewater treatment facilities and the cognizant wastewater treatment authorities related to a SRF project

SRF STATE PILOT OPTIONAL REPORTSExhibit 4.3.1
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REPORT TITLE:	STATE REVOLVING FUND TOTAL PROJECT RECORDS CHANGED SINCE XX/XX/XX (cont)
REPORT NUMBER:	SR06
DATA ELEMENT:	DESCRIPTION:
Capital Grant Year	The year of the capitalization grant used to fund this particular Assistance Agreement
Region	The EPA region of the local government receiving the award
Congressional District	The Congressional District of the local government receiving the award
County	The county of the local government receiving the award
Municipality Census	A code indicating the population of the political jurisdiction applying for assistance agreement
Permit	The permit number relating to the SRF project
POP at Award	A code indicating the population of the political jurisdiction at the award of the assistance agreement
Interest Rate	The interest rate used for repayment of loans for a project funded through the SRF
Cum Disbursements	The cumulative amount of disbursements made under a SRF Assistance Agreement
State Rec Code Date	A milestone target or event code and date used to track latest disbursements per project
State Approval	A milestone record used to track State Approval Date for the latest disbursements per project

SRF STATE PILOT OPTIONAL REPORTS

REPORT TITLE:	STATE REVOLVING FUND TOTAL PROJECT RECORDS CHANGED SINCE XX/XX/XX (cont)
REPORT NUMBER:	SR06
DATA ELEMENT:	DESCRIPTION:
State Pay Code Date	A milestone target or event code and date used to track the State Pay Code Date for the latest disbursements per project
Disbursement Amount	The current amount of the payments by the cognizant State office for a WWT construction or SRF assistance agreement
Binding Commit Target Date	The date of the target information defining the legal obligations by the State to the local recipients
Binding Commit Target Amount	The amount of the target information defining the legal obligations by the State to the local recipients
Binding Commit Actual Date	The date of the actual information defining the legal obligations by the State to the local recipients
Binding Commit Actual Amount	The amount of the actual information defining the legal obligations by the State to the local recipients
Latest Bid Package Receipt	A target and event codes and date representing the current status of the receipt of the Latest Bid Package
First Bid Package Applied	A target of event code and date representing the current status of the review of the First Bid Package
Construction Start Code/Date	A target or event code and date representing the start of construction
Start Last Contract Code/Date	A target or event code and date representing the start of construction for the last significant contract for the project
Percentage Construction Complete	The percentage of construction estimated to be physically completed as of the date shown in Construction Progress Certificate
Construction Progress Certificate	The date the authorized official certifies the percent of project construction completed

SRF STATE PILOT OPTIONAL REPORTS

REPORT TITLE:	STATE REVOLVING FUND TOTAL PROJECT RECORDS CHANGED SINCE XX/XX/XX (cont)
REPORT NUMBER:	SR06
DATA ELEMENT:	DESCRIPTION:
Physical Complete	A target or event code and date representing the current status of the projected or actual physical completion of the project
Initiation of Operation	A target or event code and date for which operations are scheduled to begin or the actual date if the operations have begun
Original Project Performance Certificate	The original target or event code and date representing the status of the certification to EPA that the project is actually meeting its performance standards
Project Performance Certificate	The current target or event code and date representing the status of the certification to EPA that the project is actually meeting its performance standards
Startup Service Start	The target or event code and date representing the current status of the projected or actual start of start-up services at a WWT facility
Startup Service Completion	The target or event code and date representing the current status of the projected or actual completion of start-up services at a WWT facility
Inspection Type Code	A target or event code representing the current status of the most recent on-site inspection
Inspection Date	The date of the most recent on-site inspection
Percentage Complete	The percent of construction estimated by the inspector to be physically complete
Inspector	The initials of the inspector of the most recent on-site inspection

SRF STATE PILOT OPTIONAL REPORTS

REPORT TITLE:	STATE REVOLVING FUND TOTAL PROJECT RECORDS CHANGED SINCE XX/XX/XX (cont)
REPORT NUMBER:	SR06
DATA ELEMENT:	DESCRIPTION:
Multi Facility Code/Date	The unique number which identify the Wastewater Treatment facilities and authorities related to a SRF project
Funding Status	A code identifying the funding status of a project based on its position on the accepted State Project Priority List
Indian Tribal	A code identifying American Indian tribal applicants or recipients of EPA financial assistance.
Special Project Identifier Code	A code identifying a grant, amendment, or other assistance which includes funds for a variety of special purposes
Consultant Code	A code identifying the consultant responsible for the project
Project Manager	The person designated by the Municipality to serve as the responsible contact for the assistance agreement
Project Officer	The official designated in the assistance/amendment as the Agency's principal contact with the recipient on a particular project
A/E Agreement Plan Rec	A target or event code and date representing the current status of the receipt of the engineering agreement for the planning portion of the construction project
A/E Agreement Plan Rev	A target or event code and date representing the current status of the approval of the engineering agreement for the planning portion of the construction project
A/E Agreement Design Rec	A target or event code and date representing the current status of the receipt of the engineering agreement for the designing portion of the construction project

SRF STATE PILOT OPTIONAL REPORTS

REPORT TITLE:	STATE REVOLVING FUND TOTAL PROJECT RECORDS CHANGED SINCE XX/XX/XX (cont)
REPORT NUMBER:	SR06
DATA ELEMENT:	DESCRIPTION:
A/E Agreement Design Rev	A target or event code and date representing the current status of the approval of the engineering agreement for the designing portion of the construction project
A/E Agreement Const Rec	A target or event code and date representing the current status of the receipt of the engineering agreement for the construction portion of the construction project
A/E Agreement Const Rev	A target or event code and date representing the current status of the approval of the engineering agreement for the construction portion of the construction project
Engr Comments	A description of the engineer's comments
Program Code	A code indentifying the specific EPA Financial Assistance Program applicable to this application or award
First Use	A code identifying a project that is meeting the requirements for "first use" of funds
Facility River Basin Code	A code designating the hydrologic planning area in which the discharge point of a wastewater treatment facility is located
State Engineer	The initials of the State engineer who is assigned to the project
Small Comm	A code indicating whether a WWT construction project may be funded from the set-aside for alternative systems for small communities for States with a rural population of 25% or more, or for any non-rural state at the request of the Governor and approval of Regional Administrator
Equivalency	Identifies SRF projects which meet Title II equivalency requirements, as determine by the State in the Annual Report

SRF STATE PILOT OPTIONAL REPORTS

REPORT TITLE: STATE REVOLVING FUND TOTAL PROJECT RECORDS CHANGED
SINCE XX/XX/XX (cont)

REPORT NUMBER: SR06

DATA ELEMENT: **DESCRIPTION:**

Assistance Type A type of financial assistance provided for SRF projects

SRF Project Type A number identifying the statutory category of projects assisted by the SRF

Sect 319 Proj Portion of the cost of a project assisted by the SRF which implements a management program established under Section 319 of Clean Water Act

Sect 320 Proj Portion of the cost of a project assisted by the SRF used for the development and implementation of a conservation and management plan under Section 320 of the Clean Water Act

Storm Sewers Amount of assistance provided from the SRF for Wastewater Treatment works for control of pollutant discharges from separate storm sewer systems as defined in the Clean Water Act

Initial Administration Completion Code/Date The target or event code and date representing the initial status of the request to the authorized auditing authority to perform the final audit

Administration Completion Code/Date The target or event code and date representing the current status of the request to the authorized auditing authority to perform the final audit

Final Determination Letter Code/Date The target or event code and date representing the current status of the sending of a final determination letter by Action Official

Final Audit Completion Code/Date The target or event code and date representing the current status of the final audit of the Assistance Agreement

SRF STATE PILOT OPTIONAL REPORTS

REPORT TITLE:	STATE REVOLVING FUND TOTAL PROJECT RECORDS CHANGED SINCE XX/XX/XX (cont)
REPORT NUMBER:	SR06
DATA ELEMENT:	DESCRIPTION:
Assist Agreement Close-out Code/Date	The target or event code and date representing the current status of the of the administrative close-out of the assistance agreement
Identification Number	A number which identifies the the SRF project
SRF Number	A number which identifies the the SRF project where the State Identification number is different from the project number
IUP FY	Intended Use Plan fiscal year
Annual Report	The date of the most recent annual report submitted to the EPA regional office for the SRF
Upper House/ Senate	The number(s) of the State Upper House/Senate District in which the applicant is located
Lower House/ Senate	The number(s) of the State Lower House/Senate District in which the applicant is located

Exhibit 4.3.1
Page 24 of 26SPT-NO: 648-2804
STATE : ARSTATE REVOLVING FUND
TOTAL PROJECT RECORDS CHANGED SINCE 880101PAGE: 7
DATE: 98-03-06GRANT-NO: 059999900 TYPE: N
STEP(07): 3
NAME (12): TESTING FILE FOR SRF OPT
IONALACTN CD/DT(23/24): 1 890816
AUTH/FAC 0 (32):
CAP GRANT YEAR :
REGION (37): 06MULTI FAC CD(FA):
FUNDING STAT(34): 0
INDIAN TRIBL (FD):
SPCL PROJ ID(IE):
PROG CD (02): CS ID 0:
FIRST USE(FU): SRF0:
RVR BASIN(26):
STATE ENG(A2):REP (11):
ADDR (51): PHILADELPHIA
CITY (14): PHILADELPHIA
STATE(13): AR ZIP(52) 19107CONG DIST (16): 0 0 0 0
COUNTY (15): PHILADELPHIA
FIRM CENSUS(50):
PERMIT 0 (C2):CONSULTANT(63):
IUP FY(VA):
ANNUAL RPT(IQ):UPPER HOUSE/SENATE:
LOWER HOUSE/SENATE:

DESC (20): TESTING OF SRF

PROJECT MANAGER :
PROJECT OFFICER(62):AMT REQUESTED (19):
FUNDS AWARDED (31):
CAT I BPHYT (Y0): 1,000,000
CAT II >BPHYT (Y1):
CAT IIIA 1/1 (Y2):
CAT IIIB RENAB(Y3):
CAT IVA COLL (Y4):
CAT IVB ENTER (Y5):
CAT V OVERFLOW(Y6):
TOTAL PRJ COST(28):POP AT AWARD (0M):
INTEREST RATE(VB):
CUR DISBURSEMENTS:
"LATEST DISBURSEMENTS"SMALL CON(33):
EQUIVALENCY(FV):STATE REC CD/DT:
STATE APPROVAL :
STATE PAY CD/DT:
DISBURSE AMT :ASSIST TYPE (LD):
SRF PROJ TYPE(VC):
SEC 319 PROJ (VC):
SECT 320 PROJ(VC):
STORM SEWERS (YA):P.L. POINTS (N0): 0001
P.L. BANK (59): 1
P.L. YEAR (57): 90
STATE REC APPL(P3):
PRE CLOSE COM(1):
ASSIST ACCEPT (L4):BINDING COMMIT TARGET DATE (1R):
BINDING COMMIT TARGET AMOUNT(6R):BINDING COMMIT ACTUAL DATE (1S): 890820
BINDING COMMIT ACTUAL AMOUNT(0R): 1,000,000MILESTONES : RECEIVED REVIEWED
FAC PLAN (M0C): (M0B):
1/1 ANAL (M2): (M3):
SSES (M40): (M5F):
O&M MANUAL(M6): (M7):
PLAN OF OPING: (M7):
SUS (M0F): (M0B):
UCS (M4E): (M5E):
LATE P&S (P2M):LATEST BID PKG REC(M1):
FIRST BID PKG APP(19):
CONSTRUCTION START (M0):
START LAST CONTR (KC):
PERCENT CONST COM(92):
CONST PROG CERT (94):
PHYSICAL COMPLETE (M5):
INIT OF OPERATION (M7):
ORIG PRJ PERF CERT(K0):
AFFN PRJ PERF CERT(KA):
STARTUP SERV START(P6):
STARTUP SERV COMPL(MB):INIT ADMIN COMPL (KE):
ADMIN COMPLETE (M0):
FINAL DETER LETTER (K0):
FINAL AUDIT COMPL (M9):
ASSIST AGREE CLOSE (P0):

FIN ENV IMP(M6)

V/E GANTT SAVED(M6):
V/E RPT REC (EA):
V/E RPT REV0 (M1):

" LATEST INSPECTION "

INSP TYPE CODE:
INSP DATE :
PERCENT COM(1):
INSPECTOR:A/E AGREEMENT PLAN REC :
A/E AGREEMENT DESIGN REC:
A/E AGREEMENT CONST REC :
ENBR COMMENTS:REV:
REV:
REV:

END OF GRANT NO 059999-99-0 N TESTING FILE FOR SRF OPTI

NEXT FIN

**SRF STATE OPTIONAL REPORTING SYSTEM
DATA ENTRY SCREENS**Exhibit 4.3.1
Page 25 of 26**REPORT TITLE:** PRIORITY LIST PROJECTS SORTED BY CONGRESSIONAL DISTRICT**REPORT NUMBER:** SR07**PURPOSE:** Shows priority list activity in individual Congressional Districts**TYPE OF INFORMATION:** SRF State Optional Project Data

The following information is provided at the State Level:

DATA ELEMENT:	DESCRIPTION:
Congressional District	The Congressional District of the project
Project Number	The Financial Assistance Identification Number assigned to identify each pre-application, unsolicited proposal, application, and awarded grant or loan
Project Type	Identifies the SRF State Project type
Project Name	The project name
County	The county of the project
Binding Commitment Target Date	The date of the target information defining the legal obligation by the State to the local recipients
Binding Commitment Target Amount	The target amount of the legal obligation by the State to the local recipients

Exhibit 4.3.1
Page 26 of 26

DATE: 09-12-11
REPORT: 040-0007
STATE: AR

PRIORITY LIST PROJECTS SORTED BY CONGRESSIONAL DISTRICT
SELECTED FISCAL YEAR '90
SORTED BY CONGRESSIONAL DISTRICT, PROJECT NAME

PAGE: 1

CONGRESSIONAL DISTRICT	PROJECT NUMBER	PROJECT TYPE	PROJECT NAME	COUNT	BINDING COMMITMENT TARGET DATE	\$ AMOUNT
1	050688030		BOND, CITY OF	CRAIGHEAD	940531	100,000
1	050716030		BRADFORD, CITY OF	WHITE	910930	875,000
NUMBER OF PROJECT FOR DISTRICT 1 2						
2	050692030		BRYANT, CITY OF	SALINE	930101	5,900,000
NUMBER OF PROJECT FOR DISTRICT 2 1						
3	050691030		BROOKLAND, CITY OF	CRAIGHEAD	961031	600,000
NUMBER OF PROJECT FOR DISTRICT 3 1						
4	050687030		ALTHEIMER, CITY OF	JEFFERSON	960531	462,000
4	050690030		BRADLEY, CITY OF	LAFAYETTE	930530	300,000
NUMBER OF PROJECT FOR DISTRICT 4 2						

NEXT FIN
MAT0907 ERROR CONDITION DETECTED IN NATURAL RUN