

## **Instructions for OPWC Application Form Modified for Applications to District 3**

Read instructions carefully and fill out the form in its entirety. Clip or staple application; *do not bind it.*

### **Applicant Section**

Applicant: Indicate the name of the governmental entity applying for the funds. Eligible applicants are Ohio counties, cities, townships, villages, county sanitary districts, and regional water or sewer districts (ORC section 6119) Projects involving multiple entities must select only one to serve as the lead. A cooperation agreement must be executed and attached. A letter of agreement signed by a representative of the subdivision(s) cooperating with the applicant may be substituted for an executed agreement in the application to District 3. However, if District 3 approves funding for the project, OPWC will require an executed agreement. The applicant will need to execute a cooperative agreement by the June following the application submittal to receive OPWC funding.

Subdivision Code: Enter the [Applicant's Ohio Public Works Commission subdivision code](#). For assistance, call OPWC at 614.466.0880 or visit OPWC's website.

District Number: Enter 3.

County: Enter Franklin.

Date: Enter the date you are completing the application.

Contact: Enter the name of the contact person who can best answer or coordinate a response to questions regarding the application. *This person must be available during regular business hours.*

Phone, Email, Fax: Provide the daytime telephone number, fax number and an e-mail address for the "Contact".

### **Project Section**

Project Name: Provide the name of the project being applied for. Please be descriptive and specific, e.g. Maple Avenue Resurfacing, South Water Treatment Plant Upgrade.

Zip Code: Provide the zip code for where the project is located.

Subdivision Type: Check the item that legally describes your governmental entity listed under "Applicant". If a county is serving as the applicant on behalf of a township(s), then select "Township" as the subdivision type if all infrastructure is township-owned. If the applicant is a county sanitary district, select "County".

Project Type: Check the *single* largest cost component of the project even if the project involves various types. If a project addresses combined sewer overflows (CSOs) it should be typed as a wastewater project.

Funding Request Summary: This subsection will automatically populate from page 2 of the application. You will not be able to enter or edit this information from page 1.

**1.0 Project Financial Information.** Cost fields are preformatted so that only whole dollars can be entered. Totals and percentages will calculate automatically, and can only be edited via the individual cost line items.

**1.1 Project Estimated Costs.** This information must be derived from and be supported by an attached signed, sealed or stamped engineer's estimate.

Engineering Services: Costs should be broken down by the phase described below and may include costs previously incurred.

- Preliminary Design – Provides a level of plan development that allows for a comprehensive analysis of all design issues, and should provide enough detail so that the intent, design parameters, costs and impacts of the project are clearly identifiable.
- Final Design – All work necessary to take Preliminary Design to plan specifications and estimates including right-of-way plans, environmental mitigation, and bidding. Final design items may include geologic sampling, soil borings, surveying, and other sub-surface testing.
- Construction Administration – Includes but is not limited to construction inspection, project surveying and staking, and materials sampling and testing.

Engineering services will total automatically and a percentage as a cost of construction will calculate. These costs are closely reviewed. Justification for elevated engineering costs may be required including a request for proof of the qualification-based selection (QBS) process. Actual engineering costs incurred above the budget line item contained in the project agreement are the *sole responsibility of the subdivision* and will not be credited to the local subdivision contribution. Any request to amend the project budget for engineering services must be approved by OPWC in advance of the work. Note that engineering costs cannot include any of the subdivision's ongoing overhead expenses for carrying out its existing services.

NOTE: Costs incurred to administer OPWC funds or administrative costs of other funding agencies are ineligible. This includes preparation of the application, request to proceed, and disbursement requests (Appendix E of Project Agreement).

Total Engineering Costs should not exceed 20 percent of the ~~Total Estimated Costs~~ Construction line item. Actual engineering costs incurred above the budget line item contained in the project agreement are the sole responsibility of the subdivision and will not count as part of the local subdivision contribution.

Right of Way: Cost to acquire easements or land necessary for project construction or implementation only. (Any direct or indirect impact to agricultural land requires a Farmland Preservation Review Letter.)

Do not include the value of right-of-way acquired as part of zoning or subdivision approval. Voluntary private sector contributions may be included.

Do not include utility relocation costs. Include utility relocation costs in the construction cost estimate.

Construction: Cost to be paid to contractors or to be completed by force account (governmental entity's employees) as supported by and consistent with detailed engineer's estimate. Include utility relocation costs here.

Ineligible costs include, but are not necessarily limited to, the following: Items that strictly serve an aesthetic purpose including landscaping beyond basic post-construction repair (i.e. seeding and mulching), cost differential for decorative lighting, decorative piers, community welcome signs, water tower slogans and logos, and trees grates and tree relocation. Also ineligible is trucked-in potable water for residents.

Materials Purchased Directly: State Law ([O.R.C. 125.081](#)) requires that 15% of all supplies, materials, and equipment purchased directly by the governmental entity be supplied by a Minority Business Enterprise. See the following website for state certified MBE suppliers: <https://eodreporting.oit.ohio.gov//searchMBE.aspx>

Permits, Advertising, Legal: Direct expenses for permit fees, advertising and legal fees. Mailing costs to residents for assessment hearings are ineligible. *If applying for Loan Assistance or Credit Enhancement enter cost here; this line would then be the same as that entered in Section 1.2. No other costs or resources should be entered.*

Construction Contingencies: Enter no more than 10% of estimated construction costs for unforeseen construction expenses. This line is not intended for engineering overruns or right-of-way expenses. The cost of construction as a percentage of the total project cost will automatically calculate.

Total Estimated Costs: This will automatically calculate and populate the appropriate field on page 1.

## **1.2 Project Financial Resources.** Provide a breakdown of all project funding sources.

**Local Resources:** All local resources will total automatically and the percentage of Total Financial Resources will calculate.

Local In-Kind or Force Account: Indicate the total dollar value of Force Account or In-Kind that will be contributed by the applicant toward the project. Force Account is the direct performance of construction work by the applicant for use of labor, equipment, materials, and supplies furnished by the applicant and used under its direct control. In-kind refers to goods or services supplied by individuals or entities other than the applicant.

Local Revenues: Indicate the dollar amount of actual local support, e.g. general revenues, local debt, user fees, etc., and / or any private sources such as developers, assessments, voluntary right-of-way contributions, etc.

The Local Revenues amount is total local revenues committed to the project by the applicant and any other local agencies, regardless of whether they have the responsibility to maintain a portion of the project, plus any private sources. It includes:

- Permissive license fee revenues, county motor vehicle license tax revenues, or any other funds held by the Franklin County Engineer that are earmarked for a specific local agency.
- Tax increment fund (TIF) revenues.
- Any funds under control of the applicant or other local agencies that have any responsibility to maintain a portion of the project.
- Funds contributed by a Special Improvement District (SID).

Right-of-way acquired only as part of the project may be considered as match. Right-of-way acquired as part of zoning or subdivision approval is not to be considered as part of the project. Voluntary private sector contributions may be considered as part of match.

Other Public Revenues: Indicate other non-local sources and their dollar amounts – Ohio Department of Transportation (ODOT) / Federal Highway Administration (FHWA), United States Department of Agriculture (USDA), Ohio Environmental Protection Agency (OEPA) / Ohio Water Development Authority (OWDA), Community Development Block Grant Program (CDBG), or others.

If the project is funded through an ODOT program or FHWA appropriation then provide the ODOT project identification number (PID). If the project is funded with CDBG assistance indicate the source of these funds as County Entitlement or Community Development Program, or acquired through the Ohio Department of Development (ODOD).

Other Public Revenues exclude all local and private sources.

**OPWC Funds:** Indicate the amount of financial assistance being requested. Assistance is available in the form of grant and / or loans, or loan assistance or credit enhancement. If a grant / loan combination, the percentage of each type of assistance will automatically calculate.

OPWC Eligibility

Project costs paid prior to the date of the agreement with OPWC (usually around July 1 for the year of the award) may be eligible for OPWC reimbursement:

- Preliminary design costs such as soil borings, environmental assessments, surveys, studies, etc., paid within the three years prior to the date of the agreement are eligible for reimbursement.
- Engineering, right-of-way, or in-kind work (labor, equipment, materials) paid up to one year prior to the date of the agreement is eligible for reimbursement.
- No type of construction that predates the OPWC agreement is eligible (even if an in-kind credit).

Costs related to abandonment and or demolition of septic tanks are not eligible.

Road & Bridge Projects (Projects Eligible for both SCIP & LTIP)

Road and bridge projects requesting a grant or grant/loan combination should submit two funding scenarios for Section 1.2, the Project Financial Resources: one for SCIP and one for LTIP. If two scenarios are submitted, the funding program (SCIP or LTIP) must be identified for each. The first should show the SCIP request for grant and loan and the second should show only the grant request for the LTIP. Note, the LTIP does not offer loans. If the applicant does not supply two sections, staff will assume for the LTIP request that the applicant will provide the SCIP loan request amount as additional local match.

Staff will score road and bridge projects with utilities (water line or sanitary pipe, for example) for LTIP provided:

- the road or bridge work is the primary purpose and are the major components of the project;
- the road or bridge construction work is such that existing utilities are affected (disrupted or displaced, for example); and
- the utility work is relocation or replacement in nature, not new or expansion.

If all of these conditions are not met, then staff will only evaluate the project for SCIP funding. The applicant has the option to do two funding scenarios: one for SCIP with the utilities included and one for LTIP with the utilities excluded.

In the case of LTIP projects where no match is required, the applicant must provide sufficient non-OPWC funds to cover project items ineligible for LTIP.

State Capital Improvement Program (SCIP): Applicants may request grants up to 90% of the total cost for repair and replacement of existing infrastructure, and up to 50% of the total cost for new and expanded infrastructure. A SCIP loan or SCIP grant/loan combination may be funded up to 100%. If making a request for loan assistance or credit enhancement it must be written as a separate application (if also making a grant and / or loan request for the same project).

- Loan assistance is a grant used to pay the interest on a public or private construction loan during the construction period going back up to one year prior to the date of the Project Agreement.
- A credit enhancement is a one-time infusion of funds to enhance an applicant's ability to secure affordable debt. The OPWC may pay the premium for a bond insurance policy to improve the subdivision's credit or bond rating, therefore, improving the interest rate on the General Obligation or Revenue Bonds to be issued.

The applicant must meet the minimum match requirement in order to be evaluated for SCIP funding. Applications that exceed minimum requirements are more competitive. Applications that do not provide the minimum required match will not be considered for SCIP funds.

All water and wastewater projects will be considered for funding on a loan basis only, except that new water supply and wastewater infrastructure in a CDBG low-income can be awarded grants and/or no-interest loans.

A subdivision eligible for the Small Government Program must meet the minimum match requirement for its application to be submitted to the Small Government Commission to compete for funding.

Points for the portion of the SCIP request that is in a loan will be awarded as long as the loan requested is no less than \$50,000 OR the applicant requests 100% of their assistance in the form of a loan or loan assistance, whichever is less

Local Transportation Improvement Program (LTIP): Projects may be funded up to 100% as a grant.

The applicant must provide sufficient non-OPWC funds to cover project items ineligible for LTIP.

**Total Financial Resources:** This will automatically calculate and populate the appropriate field on page 1.

**1.3 Availability of Local Funds.** Attach a statement signed by the Chief Fiscal Officer listed in section 5.2 certifying that all local revenues for the project will be available on or before the earliest date listed in the project schedule (section 3.0). Failure to provide this certification may result in termination of the project. The applicant also needs to provide award letters for funds coming from other funding sources. The OPWC Agreement will not be released until all local resources are verified.

**2.0 Repair / Replacement or New / Expansion (Design Service Capacity).** The total will automatically populate from page 2. If the project has both repair / replacement (R/R) and new / expansion (N/E) components put in the amount for either category and the amount for the other category will automatically calculate. The percentage for each category will also calculate.

Applicants should complete Design Service Capacity and Useful Life Worksheet to determine these amounts.

Any impact to farmland requires a Farmland Preservation Review Letter regardless of the category used above. Impacts could entail an actual take of agricultural land or could encourage its conversion by later development.

The replacement of failed septic and other on-site sewerage treatment systems with connection to a central sewer system will be considered repair/replacement. Failed wells and other water supply systems will also be considered repair/replacement. Both systems will be considered to the extent that the connectors do not open unplatted land to development.

**3.0 Project Schedule.** Indicate the estimated beginning and ending dates for 3.1) engineering, design, and right of way, 3.2) bid advertisement and award, and 3.3) construction. *The project schedule should be planned according to the release of the project agreement which is on or about July 1<sup>st</sup>.* Projects with schedules that lend themselves to a future program year may be required to be resubmitted at a later date.

All projects must have a construction start date no later than May 31 of the year following the program year of funding. Applications with a construction start date later than May 31 will be rejected.

Projects that are being sold by the Ohio Department of Transportation ("ODOT-let") must use the ODOT sale date for the Bid Advertisement and Award End Date. Such project schedules are confirmed with ODOT and will be rejected by OPWC if scheduled into a future program year. The schedule for "Local-let" projects should be coordinated with ODOT.

## 4.0 Project Information

**4.1 Useful Life / Cost Estimate / Age of Infrastructure.** Enter the project's useful life (minimum 7 years) and the age of the existing infrastructure or the date of the last major improvement. Useful life must be supported by attaching a statement, signed and sealed or stamped by a registered professional engineer. Projects with multiple components such as road and sewer require use of the Design Service Capacity and Useful Life Worksheet to determine a single weighted useful life..

**4.2 User Information.** This section is specific to the system's users. For a road or bridge provide the current and projected average daily traffic (ADT). For water and wastewater provide current and proposed rate information, and attach both the current and proposed water and sewer ordinances. Also, provide the number of households served. For stormwater projects, provide the number of households served.

## 4.3 Project Description

- A. **Specific Location:** Provide a written location description that includes project termini. Be clear as to the address if the project is for a water or wastewater facility, or the names of the roads if there are multiple locations. Do not refer to a map as substitution for a written location description. This field is limited to 500 characters. Due to this limit an attachment may be provided for multiple locations.
- B. **Project Components:** Describe the specific work to be completed. For example, a sewer project should indicate whether or not it involves collection lines, interceptors, lift stations, etc. An engineer's estimate may not serve as a substitute for this section. This field is limited to 1,000 characters.
- C. **Physical Dimensions:** Provide the project specifics such as length, width, and quantity. This field is limited to 500 characters. Due to this limit an attachment may be provided for multiple locations.

## 5.0 Project Officials

**5.1 Chief Executive Officer (CEO).** Identify the person who will have the legal authority to sign a project agreement as indicated in the resolution (required attachment). Examples of a CEO are the chair / president of the board of county commissioners or township trustees, or the mayor or manager of a city or village. Include title, mailing

address, phone number, fax machine number, and e-mail address. *Project agreements will be mailed directly to the CEO for execution.*

**5.2 Chief Financial Officer (CFO).** Identify the person who will have legal responsibility for both local and state funds. The CFO reviews and certifies the validity and accuracy of accounts, reviews invoices associated with the project, and assists in requesting the disbursement of funds from OPWC. Examples of a CFO are the county or city auditor, clerk / treasurer, budget officer, or finance director. Include title, mailing address, phone number, fax machine number, and e-mail address. The CFO can not also serve as the CEO.

**5.3 Project Manager (PM).** Identify the person who will administer the project. The person could be a county or city engineer, an employee of the applicant, or a contracted consulting engineer. Include title, mailing address, phone number, fax machine number, and e-mail address. The PM may serve as the CEO if there is a shortage of designees provided the PM is not a contracted consulting engineer.

**6.0 Attachments / Completeness Review.** Review the application to ensure that all required attachments are provided. Formats for all required information are located on the following pages.

**7.0 Applicant Certification.** The application must be signed by the individual authorized to do so in the required authorizing legislation. This person does not have to be the CEO but the legislation must clearly authorize the individual who can enter into an agreement with OPWC as well as the individual who can sign the application if these are two different people.