

**Clean Water – State Revolving Fund
Facilities Plan Document Preparation Guidance for
Loan Agreements funded by the Supplemental Appropriation for
Hurricanes Helene and Milton and the Hawai'i Wildfires (SA-HMW)**

Please note that all of the below referenced information will need to be included in one document that is signed and sealed by a Professional Engineer licensed by the State of Florida.

Executive Summary

- A. Provide a concise narrative summary of the proposed project, selected alternative, major components of the selected alternative
- B. A narrative of the Hurricane(s) Helene and/or Milton impact(s) to the publicly owned wastewater treatment works
- C. Insert description from approved Intended Use Plan (IUP)

Introduction

- A. The need or justification for the project which is based on impacts documented from Hurricane(s) Helene and/or Milton. Describe the need for the improvement and the problem to be solved or needing correction. A general statement on the environmental impacts and benefits and the economic impacts and benefits of the project.
- B. Sufficient illustrative details of the local area to show the following and this will need to be provided in at least two different map documents.
 - Identify where the proposed improvement(s) is (are) located
 - Current wastewater utility service area
 - List and detail the location of the census tracts (whole or partial) in the existing wastewater utility service area
 - List and detail the location of the census tracts (whole or partial) in any proposed or expanded wastewater utility service area
 - City/Town limits
 - County limits
 - For Clean Water Decentralized projects: Provide a map that identifies any newly proposed Service Area. The map will need to include an identification of the census tracts if the newly proposed service area is outside a municipal/town or county limits

Existing Conditions

- A. Facilities - A description of the existing wastewater or stormwater facilities including the operation and maintenance program and the capacity (both managerial and technical) of the existing system
- B. Environmental
- C. Hydrology/Hydrogeological
- D. Geological
- E. Current population and population trends percentages
- F. Geography
- G. Climate

H. Include any local, state or federal compliance, enforcement administrative orders or agreements; identify any regulatory, public health, environmental and/or safety issues

Project Specific Requirements

- For projects that include new collection areas, provide the number of existing septic tanks to be eliminated, if any
- For Clean Water water reuse projects, provide the quantity of water to be conserved annually

Hurricane Impact, Eligibilities and Categories

A. Provide the Hurricane(s) Helene and/or Milton impact documentation to the publicly owned wastewater treatment works. This needs to include documentation of impacts to the publicly owned wastewater treatment works that is a direct result of the applicable Hurricane to that location. The project can only be based on the impact shown. Here is a list of documents that might be appropriate to submit.

- Dated pictures or video with a geographic reference to the publicly owned treatment works
- Daily monitoring reports (DMRs)
- FEMA claim (s)
- FlaWARN report(s)
- Florida WATER Tracker report(s)
- Mission requests to local or state Emergency Operations Centers
- FMIT or other insurance claim(s)
- Power outage data
- Wastewater system outage data
- Public advisories
- Mutual aid requests
- Receipts for completed recovery work
- Invoices for completed recovery work
- Flood data

B. Describe the relationship between the publicly owned wastewater treatment works and the selected alternative.

C. Describe how the proposed improvement will address the Hurricane(s) Helene and/or Milton impact on the publicly owned wastewater treatment works. Provide a written description of the impacts to the wastewater system/wastewater service area/project area experienced during Hurricane(s) Helene and/or Milton and how the proposed project relates to those impacts. Provide a concise but descriptive narrative of impacts experienced and detail on how the proposed project relates to these impacts and enhances the resilience of the wastewater system.

D. Eligible Use/Purposes of Funds - For an activity to be eligible under the SA-HMW, it must serve one or more of the following purposes specified by the appropriation. Identify and state the purpose that best fit the proposed project from the applicable list provided in Attachment A.

E. Eligible Activities/Categories - Identify and state the project activity/category or that best fits the proposed project from the applicable list provided in Attachment B.

Analysis of Alternatives

- A. Provide an individual description of at least three proposed alternatives including their major components for addressing the problem introduced above. This includes the “No Action” option for an alternative.
- B. Provide the average useful life of each alternative
- C. A description of the operation and maintenance program for each alternative including changes to the technical and managerial costs needed to implement each alternative
- D. A detailed project cost breakdown and comparison using life cycle costs for each alternative including:
 - detailed estimate of capital costs
 - detailed estimate of operation and maintenance costs
 - detailed estimate of repair and replacement costs
 - useful life of each major component with a useful life comparison that is the same time frame for all alternatives

Selected Alternative

- A. Identify and state the alternative selected at the public hearing and describe the various factors that affected the decision-making process that led to the selection of this alternative and rationale for its selection
- B. A description of the operation and maintenance program and the capacity (both managerial and technical)
- C. Provide the project schedule of the selected alternative
- D. Useful Life – For the selected alternative, sign the Useful Life certification form to determine the loan term. The useful life is typically 20 years but if it is not then provide documentation of how the useful life was determined.
- E. List any proposed service agreements, interlocal agreements, memorandums of understanding and/or easements necessary to implement the selected alternative and provide the status of each
- F. List any Florida Department of Environmental Protection (DEP) permits other than a construction permit needed to implement the selected alternative such as DEP Environmental Resource Permit, Florida Department of Transportation, United States Army Corps of Engineers or railroad
- G. Cost and Effectiveness Analysis - A cost and effectiveness analysis of the processes, materials, techniques, and technologies for carrying out the selected alternative. Make a statement regarding this and include the executed Cost and Effectiveness certification form in the Facilities Plan document.
- H. Do funding limitations affect the project schedule and if so, will all or select parts of the proposed improvements move forward.

Environmental Review of the Selected Alternative

- A. Complete for the site location of the selected alternative an Endangered Species Act project review or Section 7 consultation with the Florida Ecological Services Field Office using the Information for Planning and Consultation (IPaC) online service - [Guidance for Completing Endangered Species Act Project Reviews | U.S. Fish & Wildlife Service](#). This review will need to complete through to at least the generation of an effect determinations on your own for listed

species not available or applicable via IPaC determination keys. The requirement is to make an effects determination for any listed species or designated critical habitat that could potentially be affected by the selected alternative. Provide a copy of the generated Official Species List and Consistency (Verification) letter.

- B. Provide justification and supporting documentation that the selected alternative will not have any significant adverse effects upon the following:
- flora
 - fauna
 - threatened or endangered plant or animal species
 - surface water bodies
 - prime agricultural lands
 - wetlands
 - undisturbed natural areas
- C. Provide justification and supporting documentation that the selected alternative will not have any significant adverse human health or environmental effects on minority or low-income communities.
- D. State Clearinghouse Review - Provide a copy of the email communication including the completed Crosscutter checklist and any attachments from the DEP State Clearinghouse regarding their review, comments and any subsequent approval of the selected alternative. Please ensure to include the statement to the Clearinghouse that it is an SRF project, the assigned SAI number, any comments that were received and how these comments will be addressed. The FL Department of State-Master Site File office will need to determine the acceptability for any comments that include a Master Site File reference.
- E. Provide any comments received from the public from the publication of the Environmental Information Document including how the comments will be addressed
- F. Provide the current FEMA flood maps of the site location(s) of the selected alternative and include a determination of whether or not these site location(s) are in the 100-year floodplain. If the site locations(s) are in the 100-year floodplain: (1) provide a determination if relocating the improvement out of the 100-year floodplain is a viable option and (2) provide a list of the assets in the 100-year floodplain and the mitigation selection process (if necessary).
- G. Provide a plan to address any required mitigation actions from the analysis conducted in Items A through F in this Environmental Review.

Financial Feasibility

- A. Provide an Asset Management Plan (AMP) or certification that one of these is being developed and will be implemented before the project's final disbursement.
- B. Loan Agreements with 50% Principal Forgiveness - Provide the proposed system of charges, rates, fees, and other collections that will generate the revenues to be dedicated to loan repayment (e.g. user charge rates). Any rate increases that are proposed in the completed Capital Financing Plan need to be approved by ordinance in advance of submission of the Facilities Plan. Additionally, provide a completed Capital Financing Plan form that is signed by the chief financial officer or the authorized representative directly employed by the sponsor. Please ensure that all pages are fully completed. On the Schedule of Actual Revenue and Debt Coverage page this page will be completed with FY24 and FY25 dollars from the applicable audited comprehensive annual financial report. On the Schedule of Projected Revenues and Debt Coverage page this will be

completed with projected dollars from the fiscal year that the project is scheduled to be completed in and for an additional four fiscal years beyond that. Please note that this document is expected to demonstrate that the sponsor has adequate financial capability to ensure both loan repayment and operation and maintenance of the existing and improved system.

- C. Loan Agreements with 100% Principal Forgiveness - Provide a completed Capital Financing Plan (CFP) form that is signed by the chief financial officer or the authorized representative directly employed by the sponsor. Please note that this document is expected to demonstrate that the sponsor has adequate financial capability to ensure operation and maintenance of the existing and improved system. On the first page of the CFP only complete the contact information sections and not the Estimate of Proposed SRF Loan Debt Service section. On the Schedule of Actual Revenue and Debt Coverage page this page will be completed with FY24 and FY25 dollars from the applicable audited comprehensive annual financial report. On the Schedule of Projected Revenues and Debt Coverage page this will be completed with projected dollars from the fiscal year that the project is scheduled to be completed in and for an additional four fiscal years beyond that. Any rate increases that are proposed in the completed Capital Financing Plan need to be approved by ordinance in advance of submission of the Facilities Plan.

Public Participation

- A. Provide documentation that a public meeting that allows for public comment was held to explain the proposed project. It is required that the completed and signed Capital Financing Plan, environmental review and any mitigation plan need to be completed in advance of the public participation meeting in order that they can be addressed at that public meeting. Note that if the public participation requirement is completed after the submission of the Facilities Plan then the sponsor may be required to conduct another public hearing in order to satisfactorily address this requirement.
- B. Provide a copy of the public meeting notice that was provided at least 14 days in advance of the meeting (or greater as required by local rules) and the approved minutes of that public meeting. The approved minutes need to include a record of all of the specific project components that are required to be discussed, addressed and opened for public comment:
- Any proposed rate increases that are needed to be approved by ordinance in order to generate the revenues to be dedicated to loan repayment
 - Any proposed rate increases that are needed to be approved by ordinance in order to generate revenues for the operation and maintenance of the selected alternative
 - Discuss the analysis of the alternatives and why the selected alternative was identified
 - Floodplain mitigative actions (if applicable)
 - Environmental impact
 - Monetary cost to the public/user

Project Authorization

- A. Provide resolution or another action from the sponsor establishing a commitment to implement the selected alternative recommendations(s) of the submitted documents.

Attachment A - Wastewater Projects

Use/Purpose
for
Wastewater
Project(s)

- Reduce floodrisk or vulnerability at treatment works as defined by Section 212 of the CWA
- Enhance resiliency to rapid hydrologic change or natural disaster at treatment works as defined by Section 212 of the CWA

Attachment B – Wastewater Projects

