

Community Funding & Planning Services

September 28, 2015

Chris Nifong
Illinois Environmental Protection Agency
Infrastructure Financial Assistance Section
1021 E. North Grand Avenue
Springfield IL 62794-9276

RE: Village of Elizabeth - Loan Application for a Sanitary Sewer Main Replacement and Lift Station Project

Dear Chris,

I'm currently working with the Village of Elizabeth, located in Jo Daviess County, on the replacement of a failing sanitary sewer main and the construction of a new lift station. And, the Village has expressed interest in the Illinois Environmental Protection Agency's (IEPA) State Revolving Fund Water Pollution Control Loan Program for funding assistance.

Over the last two months, the Village has seen several sink holes appear along Locust Street and has since hired its engineering firm to investigate this further. Preliminary investigation has determined that a man made tunnel, roughly 4' wide by 6' high, was constructed over 100 years ago. The tunnel runs about 1000 feet along Locust Street and is roughly 30' deep. Inside of this tunnel is an 8" sanitary sewer main. While the main itself seems to be intact, the tunnel itself is starting to crumble which is causing the sink holes along the roadway. It's just a matter of time before the sewer main is compromised, which would impact roughly 90% of the Village's sanitary sewer users.

Preliminary engineering is currently underway and a number of alternatives are being considered. Due to the location and terrain of the existing sanitary sewer main, the alternatives being considered also include the construction of a new sanitary sewer lift station.

Funding for such an unexpected project is a key topic, for which I'm assisting the Village in determining the funding alternatives available. The Illinois Environmental Protection Agency's (IEPA) Water Pollution Control Loan Program is one of the funding sources the Village is considering. The process of securing IEPA State Revolving Funds begins with completion of the initial loan application form. Attached please find the Village of Elizabeth's loan application form for its proposed Locust Street Sanitary Sewer Replacement Project.

All of the remaining documentation necessary for a complete loan application submittal will be forthcoming.

If you have any questions regarding the Village's initial loan application or its proposed sewer project, please don't hesitate to contact me or the Village. Thank you for your consideration and assistance.

Sincerely,


Sharon L. Pepin

cc: Michael Dittmar, President, Village of Elizabeth

**Water Pollution Control Loan Program (WPCLP)
Loan Application Form
March, 2015**

Applicant Information

L17# --

1. Legal Name of Applicant: Village of Elizabeth

2. Applicant Address: 310 West Street, Room 140, Elizabeth IL 61028

Project Description: Design and re-construction of a failing sanitary sewer main and the
construction of a new sewer lift station.

Federal Employer Identification Number 36-6005864
(FEIN)*: _____

* Submit FEIN Certification (attached)

3. Authorized Representative:

Name: Michael Dittmar Title: President

Phone: 815-858-3911 Email: villageofelizabeth@aeroinc.net

4. Engineer:

Name: Nick Wagner Firm: MSA Professional Services

Address: 2117 State Street, Suite 200 Phone: 563-445-3501

Bettendorf IA 52722 Email: nwagner@msa-ps.com

5. Attorney:

Name: Terry Kurt Firm: Hammer, Simon & Jensen

Address: 775 Sinsinsawa Avenue Phone: 815-747-6999

East Dubuque IL 61025 Email: terry@hsjlegal.com

Loan Consultant:

Name: Sharon Pepin

Address: 118 S. Main St.

Stockton, IL 61085

Firm: Community Funding & Planning Services

Phone: 815-947-8224

Email: sharon@cfps-inc.com

6. Include detailed construction cost estimate in bid format as part of this application and summarize below:

Construction	\$ 1,500,000
Legal/Financial	\$ 20,000
Design Engineering	\$ 145,000
Construction Engineering	\$ 145,000
Other	\$ --
Contingency	\$ 350,000
Total	\$ 2,160,000

7. Amount requested for loan \$ 2,000,000

8. Loan repayment period requested (maximum term is 20 years): _____

20 Years

Other (30 number of years)

9. List any other proposed sources of funding in addition to loan request:

Source: - DCEO - CDAP Grant Amount: \$ 450,000

Date Available: November 2016

10. Project Schedule (Indicate "complete" or anticipated date of completion as appropriate)

a) Approved Facilities Planning: January 2016

b) Plans and Specifications completed and submitted to Illinois EPA: April 2016

c) Illinois EPA Permit issued: July 2016

d) Approved Operation, Maintenance and Replacement Revenue System and Dedicated Source of Revenue: August 2016

e) Advertise for Bids: January 2017

f) Initiation of Construction: May 2017

g) Completion of Construction: December 2017

Loan Program Certifications

- Whereas, the application provisions for loans from the Water Pollution Control Loan Program require that the loan applicant provide the following certifications and assurances:

The loan applicant hereby agrees to pay all project costs not covered by the loan. If the project costs provided by the applicant exceed the lesser of 5% of the total project cost or \$100,000, please provide the following information:

Amount to be provided by applicant \$ -0-

Source of funds —

- The loan applicant hereby certifies that it has analyzed the costs and the financial impacts of the proposed project and that it has the legal, institutional, managerial and financial capability to insure adequate building, operation, maintenance and replacement of the treatment works project.
- The loan applicant hereby certifies that no unlawful or corrupt practice has taken place in the planning or design of the proposed project.
- The loan applicant hereby certifies that it has complied with all applicable State and federal statutory and regulatory requirements in regard to the proposed project.
- The loan applicant hereby certifies that it is not barred from being awarded a contract or subcontract under Section 10.1 of the Illinois Purchasing Act.

Certification Regarding Debarment, Suspension and Other Responsibility Matters

The prospective participant to the best of its knowledge and belief that it and its principals:

- a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- b) Have not within a three year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
- c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and

- d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

I understand that a false statement on this certification may be grounds for rejection of this proposal or termination of the award. In addition, under 18 USC Sec. 1001, a false statement may result in fine of up to \$10,000 or imprisonment for up to 5 years, or both.

INTENT REGARDING NATIONAL FLOOD INSURANCE

Whereas application provisions for loans from the Water Pollution Control Loan Program require compliance with the National Flood Insurance Act 1968, as amended, and

Whereas the costs of securing and maintaining flood insurance are eligible for loan participation during the approved construction period, and

Whereas failure to secure flood insurance for eligible construction located in designated flood hazard areas will cause this construction to become ineligible for loan funds:

Now therefore, be it resolved that the Village of Elizabeth will cooperate and coordinate with the National Flood Insurance Program to acquire and maintain any flood insurance made available for Project L17# -- for the entire useful life of the insurable construction pursuant to the Flood Insurance Act of 1968, as amended, and that it will secure said flood insurance for each insurable structure, as soon as said insurance is available and will notify the Illinois Environmental Protection Agency in writing that the National Flood Insurance requirement has been satisfied.

CERTIFICATION REGARDING PROJECT SITE, RIGHTS-OF-WAY, EASEMENTS, AND PERMITS

1. The applicant has investigated and ascertained the location of the site or sites, rights-of-way, and easements being provided for the facilities in its application for loan assistance. In my opinion, the applicant has a sufficient legal interest in the said site or sites, rights-of-way, and easements to permit the building of such facilities thereon and to permit the operation and maintenance of such facilities thereon during the estimated life of the facility by the applicant after the completion of construction.
2. The loan applicant has complied with the provisions of 49 CFR 24 as required by the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 as amended (42 USC 4601 et seq.).

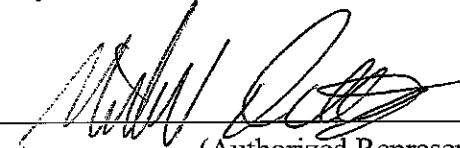
3. The loan applicant has obtained all the necessary permits as indicated below:

<u>Type of Permit</u>	<u>Permit Number</u>	<u>Date Issued</u>
Army Corps of Eng. 404	Not Applicable	
IL Dept. of Trans.	Not Applicable	
County Highway	Not Applicable	
Other	—	

AUTHORIZATION OF A REPRESENTATIVE TO SIGN LOAN DOCUMENTS

Whereas, application provisions for loans from the Water Pollution Control Loan Program require that the Village Board of Elizabeth authorize a representative to sign the loan application forms and supporting documents; therefore, be it resolved by the Village of Elizabeth that President, Michael Dittmar is hereby authorized to sign all loan application forms and documents.

I, Michael Dittmar hereby verify that the above information is, to the best of my knowledge, true and correct.

Date: 9-28-2015 Signed by: 
(Authorized Representative)

Title: President

Attested by: 
(Municipality Official or Notary)

Name and Title Barb Brown, Village Clerk

**Water Pollution Control Loan Program (WPCLP)
Engineering Services Procurement Report**

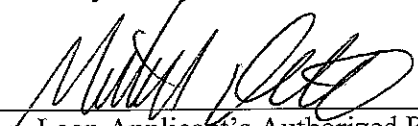
Loan Applicant Village of Elizabeth **Project No.**

Section 602(b)(14) of the federal Water Pollution Control Act contains requirements for procuring architectural and engineering services. Specifically, the rule states architectural and engineering services must be negotiated in the same manner as a contract is negotiated under Chapter 11 of Title 40, United States Code. Projects not following Section 602(b)(14) may receive loan funds from the state for project related engineering services, however, in order to remain compliant, the state is required to modify federal reporting requirements for these projects.

Circle the method utilized for procuring engineering services for the project listed above.

1. Loan funds have not been requested for engineering services.
2. A **Qualifications-Based Selection (QBS)** process was utilized and a minimum of three firms were considered. **Qualifications-Based Selection (QBS)** is a competitive procurement process whereby consulting firms submit qualifications for evaluation. The most qualified firm is selected and then negotiates the project scope of work, schedule, budget, and fee.
3. Our organization has an established relationship with the company utilized for this project. No QBS or bidding process was utilized.
4. Our organization has a long-term contractual agreement with the company utilized for this project. No QBS or bidding process was utilized.
5. Another method was utilized. Please describe below or attach an explanation of the process.

I do hereby certify that the above information is, to the best of my knowledge, true and correct.



Loan Applicant's Authorized Representative:

9-28-15

Date


**Water Pollution Control Loan Program (WPCLP)
Acknowledgement of Fiscal Sustainability Plan (FSP) Requirements**

Loan Applicant Village of Elizabeth **Project No.** —

Section 603(d)(1)(E) of the Federal Water Pollution Control Act requires a recipient of a loan for a project that involves the repair, replacement or expansion of a publicly owned treatment works to develop and implement a Fiscal Sustainability Plan (FSP). The requirement pertains to those portions of the treatment works paid for with Water Pollution Control Loan Program funds.

All WPCLP loan recipients must certify prior to receiving a loan agreement that they will develop and implement an FSP. Prior to loan closing, the loan recipient will be required to certify an FSP has been developed and implemented. Projects that do not involve the repair, replacement, or expansion of a publicly owned treatment works, such as new treatment works which are **not** replacing an existing treatment works or adding advanced treatment, are exempt from this requirement.

I certify that I am the authorized representative for the above listed entity. I hereby certify that we will develop and implement a Fiscal Sustainability Plan in accordance with the Section 603(d)(1)(E) of the Federal Water Pollution Control Act as a condition of receiving a loan agreement from the WPCLP. Once developed, the FSP will be made available upon request by the Illinois Environmental Protection Agency or United States Environmental Protection Agency. I do hereby certify that the above information is, to the best of my knowledge, true and correct.

 _____ Authorized Representative	9-28-15 _____ Date
Michael Dittmar _____ Printed Name	815-858-3911 _____ Telephone Number

If the project is exempt from the FSP requirement, provide an explanation below. All projects with executed loan applications received prior to October 1, 2014 are automatically exempt from the requirements.

 This project is exempt from the FSP requirement due to the following reason(s):

Questions regarding exemption should be directed to:

_____ Printed Name	_____ Telephone Number
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TAXPAYER IDENTIFICATION NUMBER

I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. person (including a U.S. resident alien).

- If you are an individual, enter your name and SSN as it appears on your Social Security Card.
- If you are a sole proprietor, enter the owner's name on the name line followed by the name of the business and the owner's SSN or EIN.
- If you are a single-member LLC that is disregarded as an entity separate from its owner, enter the owner's name on the name line and the d/b/a on the business name line and enter the owner's SSN or EIN.
- If the LLC is a corporation or partnership, enter the entity's business name and EIN and for corporations, attach IRS acceptance letter (CP261 or CP277).
- For all other entities, enter the name of the entity as used to apply for the entity's EIN and the EIN.

Name: Barb Brown

Business Name: Village of Elizabeth

Taxpayer Identification Number:
Social Security Number _____
or
Employer Identification Number 36-6005864

Legal Status (check one):

- | | |
|---|---|
| <input type="checkbox"/> Individual | <input checked="" type="checkbox"/> Governmental |
| <input type="checkbox"/> Sole Proprietor | <input type="checkbox"/> Nonresident alien |
| <input type="checkbox"/> Partnership | <input type="checkbox"/> Estate or trust |
| <input type="checkbox"/> Legal Services Corporation | <input type="checkbox"/> Pharmacy (Non-Corp.) |
| <input type="checkbox"/> Tax-exempt | <input type="checkbox"/> Pharmacy/Funeral Home/Cemetery (Corp.) |
| <input type="checkbox"/> Corporation providing or billing medical and/or health care services | <input type="checkbox"/> Limited Liability Company (select applicable tax classification) |
| <input type="checkbox"/> Corporation NOT providing or billing medical and/or health care services | <input type="checkbox"/> D = disregarded entity |
| | <input type="checkbox"/> C = corporation |
| | <input type="checkbox"/> P = partnership |

Signature: Barb Brown

Date: 9/28/15

**Locust Street Sanitary Sewer Project
Large Lift Station and Force Main
ESTIMATE OF PROBABLE COSTS
ELIZABETH, IL**

ESTIMATE YEAR: 2015
CONSTRUCTION YEAR: 2017

ITEM NO.	DESCRIPTION	QTY.	UNIT	UNIT PRICE	TOTAL PRICE
General					
1	Mobilization, Bonds, and Insurance	1	LS	\$96,500	\$96,500
2	Traffic Control	1	LS	\$5,000	\$5,000
3	Erosion Control	1	LS	\$2,500	\$2,500
Project Specifics					
4	Sanitary Sewer Manholes	9	EA	\$5,000	\$45,000
5	8" PVC Sanitary Sewer Pipe	1,250	LF	\$100	\$125,000
6	Bore and Jack Steel Casing Pipe	150	LF	\$500	\$75,000
7	Launch/Receive Pit Excavation	225	CY	\$15	\$3,375
8	Imported granular backfill	4,800	TN	\$30	\$144,000
9	Lift Station	1	EA	\$500,000	\$500,000
10	Force Main	1,150	LF	\$100	\$115,000
11	Flowable Fill	1,000	CY	\$150	\$150,000
12	Restoration	1	LS	\$75,000	\$75,000
					\$1,336,375
Inflation		4%	per year		\$109,048
CONSTRUCTION SUBTOTAL (2017)					\$1,445,423
Contingency		25%			\$361,400
Design Engineering & Bidding		10%			\$144,600
Construction Engineering		10%			\$144,600
TOTAL COST					\$2,086,023

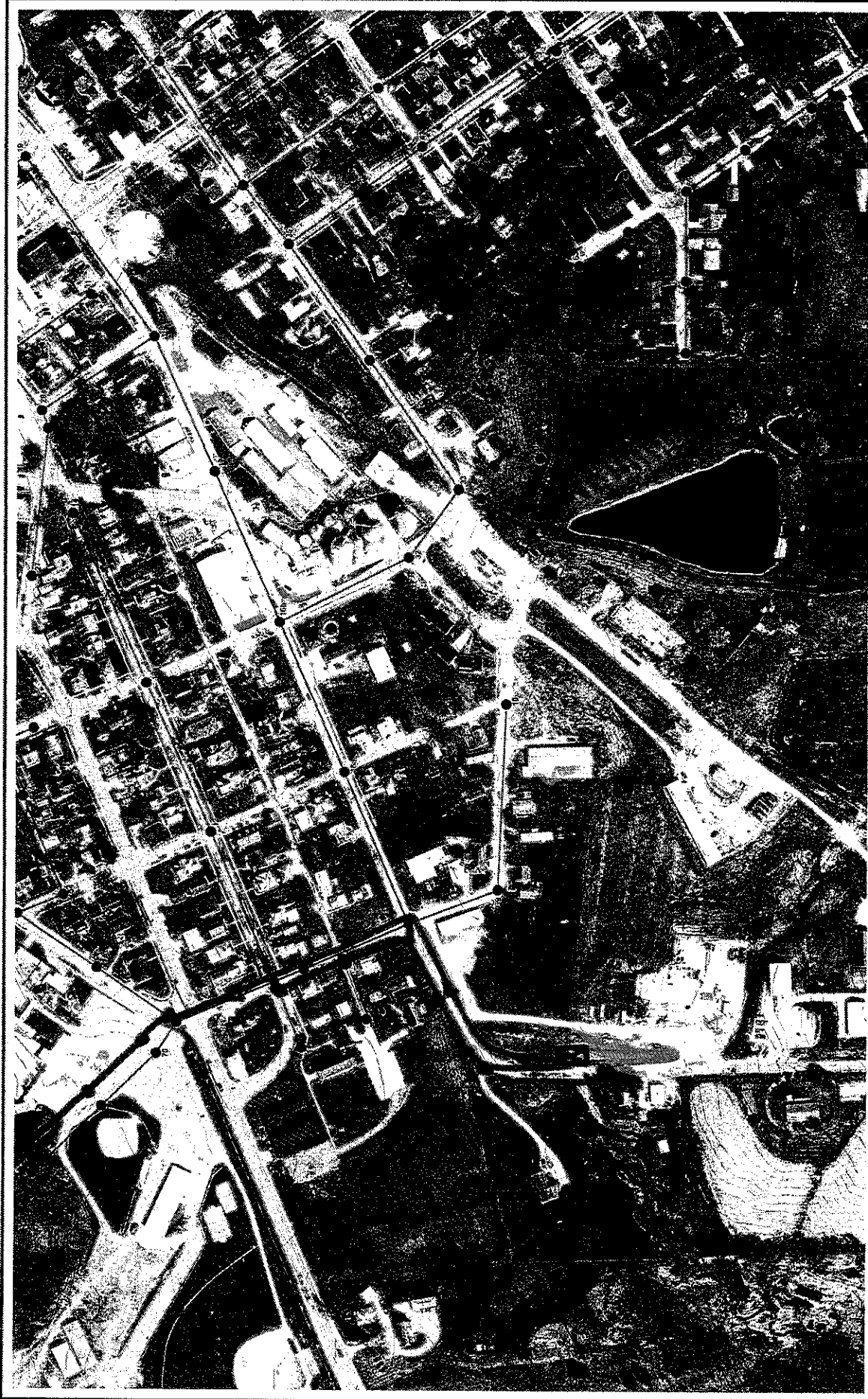
*estimate does not include permit administrative costs

NAVY Comments 8/31/2015; ERS updates 09_01_2015
5% of total work effort to address this item.
used \$5000
used \$100 per foot, high numbers based on Bowen Water main, in sanitary, length based on CAD map measurements
150 feet based on 50' ROW plus clearing West Street ROW and heating room for perforation adjacent to highway
Volume based on 50' long x 20' wide x 8' deep pit
Based on backfilling 225 CY plus (15 T/CY) and local sewer pipe trenches 8' wide x 8' deep x length
Using Job Bid tab: 70556019, \$400,000, added \$100,000 for inflation and additional needs total \$500,000.
Based on measurement from CAD aerial map, low point to just north of West Street ROW
Based on 11" dia x 6' high (including pipe) plus 5 manholes at 30' deep x 3' diameter
Based on 6" crushed rock base 2' x 1' wide and sealcoat over all pipe runs (open cut force main) \$30/T Rock, \$10/SY Sealcoat (1420' x 24')

I agree

good: I agree with 25-30% contingency at this point
Standard 10%
Standard 10%





 MISSOURI SANITARY ASSOCIATION 3117 S. HANCOCK ST. - 4TH FLOOR - INDEPENDENCE, MO 64220 MOBILE: 816.434.8200 FAX: 816.434.8200 WWW.MSASANITARY.COM		ELIZABETH SANITARY SEWER VILLAGE OF ELIZABETH 40 DANIELS COUNTY, ILLINOIS		SHEET NO. 1 DATE	
DRAWN BY LARGO CS		CHECKED BY		DATE	