

State of Ohio  
**Public Works Commission**  
*Instructions for Financial Assistance*

State Capital Improvement Program  
Local Transportation Improvement Program

July 2016



65 East State Street, Suite 312  
Columbus, Ohio 43215  
614.466.0880  
<http://www.pwc.state.oh.us>



## INSTRUCTIONS

Read instructions carefully and fill out the form in its entirety. Clip or staple application; *do not bind unless required by your district.*

### 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.

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

District Number: Enter the number of the OPWC District Integrating Committee in which your community is located. If unknown, refer to the map in this packet or call OPWC.

County: Enter the county in which your community is located.

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.
- 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).

Right of Way: Cost to acquire easements or land for project construction.

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.

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: <http://dasapps.ohio.gov/mbesearch/index.asp>

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 over-runs 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, etc.

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).

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.

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.
- A credit enhancement is also a grant that pays 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.

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

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.

- Repair / Replacement: The dollar amount of the repair or replacement of existing infrastructure that does not substantially increase designed service capacity.
- New / Expansion: The dollar amount of new infrastructure or the expansion of existing infrastructure (has a design service capacity substantially greater than that of the existing infrastructure).

Any impact to farmland requires a Farmland Preservation Review Letter regardless of the category used above.

**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>.* Construction should be underway no later than June of the following year. Projects with schedules that lend themselves to a future program year may be required to be resubmitted at a later date.

#### **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 a single weighted useful life. Also attach a detailed estimate of the project's costs with the professional engineer's seal or stamp and signature.

**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. Provide a map but 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.

**REQUIRED ATTACHMENTS**

Authorizing Legislation..... Page 9

Chief Financial Officer Certification / Loan Repayment Letter ..... Page 10

Detailed Engineer’s Estimate / Useful Life Statement ..... Page 11

Cooperative Agreement  
(Only required if project involves more than one subdivision) ..... Page 12

Farmland Preservation Review Letter  
(Only for projects that impact farmland).....Page 13



**AUTHORIZING LEGISLATION**

A RESOLUTION AUTHORIZING [INSERT NAME AND / OR TITLE] TO PREPARE AND SUBMIT AN APPLICATION TO PARTICIPATE IN THE OHIO PUBLIC WORKS COMMISSION STATE CAPITAL IMPROVEMENT AND / OR LOCAL TRANSPORTATION IMPROVEMENT PROGRAM(S) AND TO EXECUTE CONTRACTS AS REQUIRED

WHEREAS, the State Capital Improvement Program and the Local Transportation Improvement Program both provide financial assistance to political subdivisions for capital improvements to public infrastructure, and

WHEREAS, the [Insert Name of Political Subdivision] is planning to make capital improvements to [Insert Project Name], and

WHEREAS, the infrastructure improvement herein above described is considered to be a priority need for the community and is a qualified project under the OPWC programs,

NOW THEREFORE, BE IT RESOLVED by [Insert Name of Political Subdivision]:

Section 1: The *[Insert Name and/or Title of the individual who signs page 6 of the application]* is hereby authorized to apply to the OPWC for funds as described above.

Section 2: The *[Insert Name and/or Title of the Chief Executive Officer on page 5 of the application]* is authorized to enter into any agreements as may be necessary and appropriate for obtaining this financial assistance.

Passed: [Insert Date]

[All Required Signatures Here]

**CHIEF FINANCIAL OFFICER'S CERTIFICATION OF LOCAL FUNDS /  
LOAN REPAYMENT LETTER**

[Insert Date]

I, [Insert title] of the [Insert name of political subdivision], hereby certify that [Insert name of political subdivision] has the amount of [Insert amount of local funds] in the [Insert name of account / fund] and that this amount will be used to pay the local share for the [Insert name of project] when it is required.

*{NOTE: If the application is for a loan or grant / loan combination the following paragraph is also required.}*

I, [Insert title] of the [Insert name of political subdivision], hereby certify that [Insert name of political subdivision] has / will have / will collect the amount of [Insert amount of loan] in the [Insert Name of Account / Fund] and that this amount will be used to repay the Ohio Public Works Commission SCIP or RLP loan requested for the [Insert name of project] over a [Insert number of years] term.

[Name, Title and Signature of Chief Financial Officer]

**DETAILED ENGINEER'S ESTIMATE /  
USEFUL LIFE STATEMENT**

*{NOTE: The Estimate should specify items with prices and quantities necessary for the project. Do not summarize construction into one item. A construction contingency up to 10% is permitted but inflationary adjustments are not. If the Useful Life Statement is provided on a separate page then both pages must have an engineer's seal or stamp and signature.}*

[Insert Project Name]

ITEM	QUANTITY	UNIT	PRICE	AMOUNT
Asphalt (402 and 404)	1510	cy	\$65	\$98,150
Excavation (203)	4640	cy	\$12	\$55,680
Aggregate Base (304)	1805	cy	\$18	\$32,490
Curb and Gutter (609)	2755	lf	\$16	\$44,080
Manholes and water valves adjusted to grade (604)	30	ea	\$100	\$3,000
Curb Ramps (608)	24	ea	\$500	\$12,000
Concrete Walk (608)	100	ea	\$10	\$1,000
Catch Basins (604)	14	ea	\$500	\$7,000
Storm Piping (603)	400	lf	\$30	\$12,000
Seeding and Mulching (659)		Lump sum	\$500	\$500
Maintaining Traffic (614)		Lump sum	\$2,000	\$2,000
Subtotal				\$267,900
Contingencies (10%)				\$26,790
<b>TOTAL</b>				<b>\$294,690</b>

The estimated useful life of the [Insert name of project] is \_\_\_\_\_ years.

Engineer's Signature and Stamp or Seal

## COOPERATIVE AGREEMENT

*{NOTE: Execute a cooperation agreement if your project is a joint project in which there are two or more political subdivisions. A letter from a subdivision is not a substitute.}*

### RESOLUTION NUMBER / DATE

[Insert name of subdivision "A"] and [Insert name of subdivision "B"] enter into a cooperation agreement to submit an application to the Ohio Public Works Commission for the [insert project name].

[Subdivision A] will provide funds equal to [insert percent] percent of the total project cost. Such funds will come from [insert name of account / fund].

[Subdivision B] will provide funds equal to [insert percent] percent of the total project cost. Such funds will come from [insert name of account / fund].

[Subdivision B] authorizes [Subdivision A] to serve as lead applicant and to sign all necessary documents.

[Subdivision A] agrees to pay its [insert percentage] of the cost as invoices are due / at the end of the project / as otherwise agreed upon.

[Subdivision B] agrees to pay its [insert percentage] of the cost as invoices are due / at the end of the project / as otherwise agreed upon.

Signatures for Subdivision A

Signatures for Subdivision B

## FARMLAND PRESERVATION REVIEW LETTER

### FARMLAND PRESERVATION REVIEW FOR THE OHIO PUBLIC WORKS COMMISSION

[Insert Project Name]

[Insert Date]

This review is to comply with Farmland Preservation Review Advisory of the Ohio Public Works Commission and the Governor's Executive Order 98-IIV. This review was accomplished by [insert name of subdivision / agency that conducted the review].

1. The immediate impact the project will have on productive agricultural and grazing land related to land acquisition.

[Insert response]

2. Indirect impact that will result in the loss of productive agricultural and grazing land from development related to the project.

[Insert response]

3. Mitigation measures that could be implemented when alternative sites or locations are not feasible.

[Insert response]

[Insert Signature and Title]