



SRF Performance Report for  
Federal Fiscal Years 2005 and 2006 Funds

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The project involved construction of an arsenic treatment facility, as part of a major water system upgrade, at the existing supply well. The new treatment building houses three Layne Ox media filters and associated controls, appurtenances, each with a capacity of 600 gpm. Arsenic is removed in this process using co-precipitation with ferric chloride flocs, followed by pressure filtration. The Layne Ox system is also designed to reduce manganese levels to well below the secondary standard. In addition to filtration equipment, new construction included backwash water holding tanks, a sludge dewatering press, and yard piping necessary for connection to and from the distribution system. Some decommissioning and rehabilitation work in the Well No. 1 pump house was also included in this Contract. The plant went online in February 2007.

With the completion of the arsenic treatment facility, arsenic levels in the finished water went from 17 ppb before to 8 ppb after the new facility went online.



## **I. Introduction**

The Drinking Water State Revolving Fund (DWSRF) program has funded over \$13 billion dollars of drinking water projects nationally, and over \$1.2 billion in the six New England states. The infrastructure projects funded by the DWSRF support the goals of the Safe Drinking Water Act (SDWA), to come into or maintain compliance in order to protect public health and ensure a safe supply of drinking water.

Under the DWSRF program, which was created as part of the SDWA Amendments of 1996, EPA awards capitalization grants to states. States set up loan programs to accept the capitalization grants, state matching funds and other funds that the state wishes to put toward ensuring safe drinking water. SRF funds are awarded to eligible water systems to finance needed improvements to their water systems to help ensure safe water supplies and protect public health. Low interest loans from the SRF can save a system millions of dollars over the twenty year life of the loan. This is especially helpful to those communities that do not have access to bond market or other sources of borrowing funds inexpensively.

States generally award DWSRF funding based on a priority system. Projects are ranked according to how the project meets three primary criteria: public health protection, compliance with SDWA, and a systems ability to afford the needed improvements. The ranking system, developed by the state and approved by EPA, helps direct limited funding to the most beneficial projects and help ensure greater public health protection.

Funds from repaid loans must be deposited back in the DWSRF fund. As this occurs, the funds become available to make new DWSRF loans. Thus, the funds in the DWSRF program will be available to reduce the cost of drinking water infrastructure in perpetuity.

Since its inception in 1997, the six New England state DWSRF programs have received \$697 millions in federal capitalization grants, provided \$198 millions in state match (see Table I), and along with other sources such as leveraged funds and repayment monies, have provided a total of \$1.2 billion in assistance funding to 577 projects. These figures do not include any state match required for the 1452(g)(2) set-aside that may require a 1:1 state match.

The New England states have established strong DWSRF programs that have been established to promote safe drinking water supplies and do so cost effectively. The SRF programs have taken advantage of both project funds and DWSRF set-aside funding (non-project construction funding), to help water systems meet pressing infrastructure needs and promote better public health protection.

## Table I DWSRF Funding

### Funding Since Program Inception (1997 – 2006)

Connecticut	\$ 92,413,900	\$ 18,482,780	\$110,896,680
Maine	\$ 83,658,900	\$ 16,731,780	\$100,390,680
Massachusetts	\$269,092,644	\$ 53,818,529	\$322,911,173
New Hampshire	\$ 84,760,500	\$ 16,952,100	\$101,712,600
Rhode Island	\$ 83,561,500	\$ 16,712,300	\$100,273,800
Vermont	\$ 83,564,500	\$ 16,712,900	\$100,277,400
<b>Total Funding</b>	<b>\$697,051,944</b>	<b>\$139,410,389</b>	<b>\$836,462,333</b>

The success of the DWSRF programs to help their water systems meet important drinking water needs is dependent on the hard work and effort of our state partners, and dedication by water systems to implement the requirements of the Safe Drinking Water Act.

This two year report was prepared by the staff of EPA's Municipal Assistance Unit, within the Office of Ecosystem Protection, and represents the best available information obtained from grant applications, on-site annual state program reviews, and data collected annually in the Drinking Water Information Management System (DWNIMS). This report represents an overview and summary of regional DWSRF activities funded with Fiscal Year 2005 and Fiscal Year 2006 funds.

## II. DWSRF Federal Capitalization Grants

As stated in the introduction, EPA provides states with grant funds, which states must match, and place in a dedicated loan program to fund eligible drinking water infrastructure projects. States, by law, are allowed to utilize a portion of their capitalization grant for other drinking water program eligible purposes, as will be explained in greater detail below. During FY2005 and FY2006, a total of \$134 million in Federal capitalization grants was awarded to the six New England States for their DWSRF program. The State matched the federal funds, which amounted to a grand total of \$26.8 million being added to the DWSRF programs of the New England states. See Table III below for details.

**Table II**

**Federal and State SRF Funds -- FY 2005/2006**

Connecticut	\$8,285,500	\$1,657,100	\$8,229,300	\$1,645,860	\$19,817,760
Maine	\$8,285,500	\$1,657,100	\$8,229,300	\$1,645,860	\$19,817,760
Massachusetts	\$29,621,000	\$5,924,200	\$22,046,044	\$4,409,209	\$62,000,453
New Hampshire	\$8,285,500	\$1,657,100	\$8,229,300	\$1,645,860	\$19,817,760
Rhode Island	\$8,285,500	\$1,657,100	\$8,229,300	\$1,645,860	\$19,817,760
Vermont	\$8,285,500	\$1,657,100	\$8,229,300	\$1,645,860	\$19,817,760
<b>Totals</b>	<b>\$71,048,500</b>	<b>\$14,209,700</b>	<b>\$63,192,544</b>	<b>\$12,638,509</b>	<b>\$161,089,253</b>

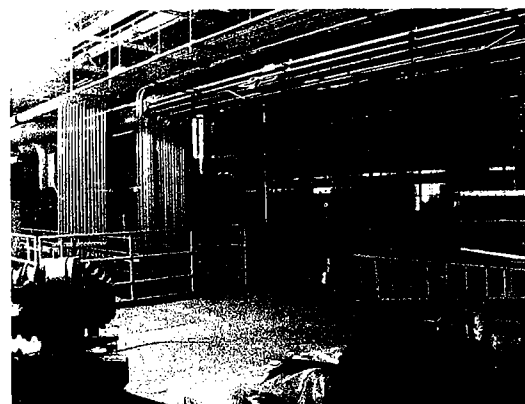
The \$24.7 million upgrade and expansion of the South Norwalk Electric and Water Treatment Plant consists of upgrading the existing 10MGD surface water treatment plant from conventional water treatment to one utilizing immersed membrane ultra filtration.

The original facility was constructed in 1968 and has not undergone any major upgrades to date. Although the plant still produces good quality water, South Norwalk Electric and Water is proactively upgrading the plant to achieve compliance with future water quality regulations.

A principal goal is to improve filtered water turbidity in response to the expected turbidity requirements of the Long-Term Enhanced Surface Water Treatment Rules (ESWTR). The project is also being designed to facilitate compliance with the expected maximum contaminant levels (MCLs) for Trihalomethanes (TTHM) and Haloacetic Acids (HAA) as part of the Stage 2 Disinfectants/Disinfection By-products Rule.

The upgrade will also include provisions for increased disinfection, if required, by the Long-Term 2 ESWTR. The existing plant has also experienced seasonal taste and odor problems, which are addressed as part of the upgrade plan.

The project is slated for completion in fall 2008, after receiving its DWSRF loan in June 2006.



### **III. DWSRF Project Funds**

The DWSRF program is divided into two categories of funding -- project funds and set-aside funds. Project funds are used to provide low interest loans and other eligible assistance to eligible water systems for infrastructure projects. In FY 2005, the six New England states received \$71 million in federal DWSRF funds and received an additional \$63.1 million in FY 2006. The states matched the federal funds with \$14.2 million and \$12.6 million respectively.

The program has matured since its inception in 1997 and the amount of loan repayments and interest earned on investments has grown rapidly, providing an additional \$ 95 million in FY 2005 and FY 2006 to fund infrastructure projects. The graphs in Attachment 1(a) – 1(f) shows the level of funding from capitalization grants, state match, loan repayments and interest earnings for each state since the beginning of the program. Despite the fact that capitalization grant funding levels have stayed flat or decreased slightly, the overall level of funding available for loans has grown with increased loan repayment levels and increased interest earnings. This trend will continue. In the wastewater SRF program, which has been capitalized for 10 years longer and at higher funding levels, loan repayment amounts exceed the level of new funding available from capitalization grants, in some cases by a significant amount.

As you can see from the numbers in Table III, the repayment stream has grown steadily in all states since FY1999, the first year of repayments in Maine. The other five states had their first repayments in FY2000. The level of repayments varies by state, dependent on interest rates charged, the amount of principal forgiveness utilized, whether the state has leveraged or not and other factors. Graphs 1 & 2 show how quickly the level of loan repayments is growing. The program is now mature enough that the repayment stream is beginning to really make a difference in the total level of available funding in a given year.

While the rate of repayments may vary from state to state, it is clear that the level of repayments is climbing appreciably in each state. This will occur as long as federal capitalization grants and state match monies continue to be provided.

In time, loan repayment funds will exceed the level of funding available from new capitalization grants and state match funds in all New England states. Table III shows that the level of loan repayments in FY2006 in several states (CT, RI, and VT) nearly equaled the total amount of repayments in FY1999-2004. It is important to remember, however, that the funding gap between infrastructure needs and available funding is large. Even with repayments levels rising, there is still a significant shortfall in infrastructure funding to meet projected drinking water infrastructure needs.

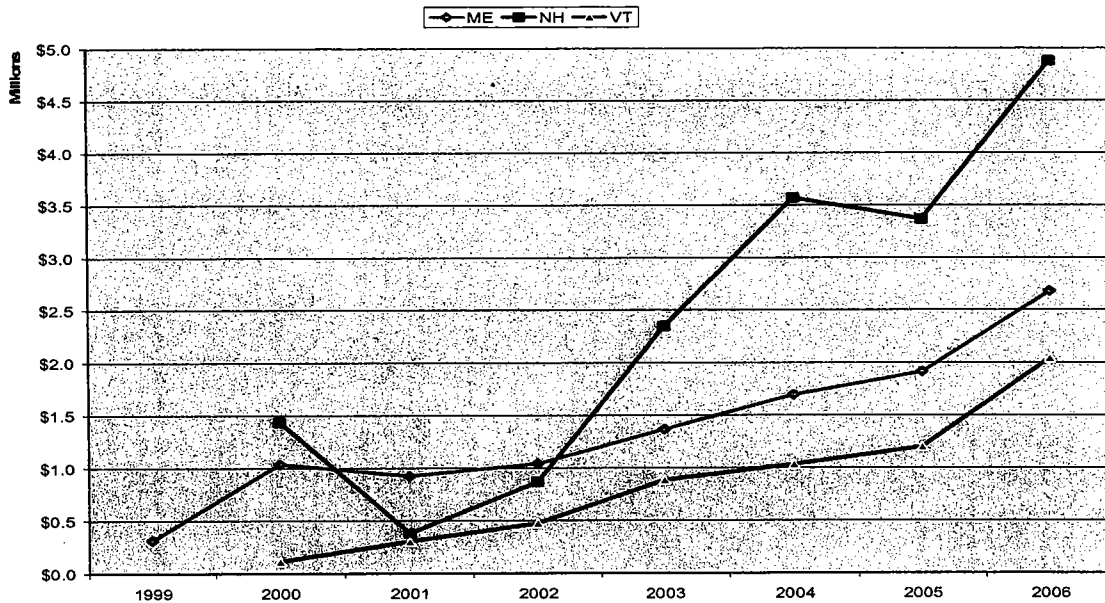
**Table III**

**State DWSRF Loan Repayments**

Connecticut	\$ 6,435,743	\$ 5,245,121	\$ 5,546,104
Maine	\$ 6,392,933	\$ 1,915,012	\$ 2,682,725
Massachusetts	\$ 73,961,428	\$27,358,148	\$32,956,619
New Hampshire	\$ 8,615,929	\$ 3,396,193	\$ 4,876,628
Rhode Island	\$ 7,328,918	\$ 4,965,779	\$ 5,652,975
Vermont	\$ 2,819,401	\$ 1,202,424	\$ 2,042,871
<b>Total</b>	<b>\$105,554,352</b>	<b>\$44,556,677</b>	<b>\$53,757,922</b>

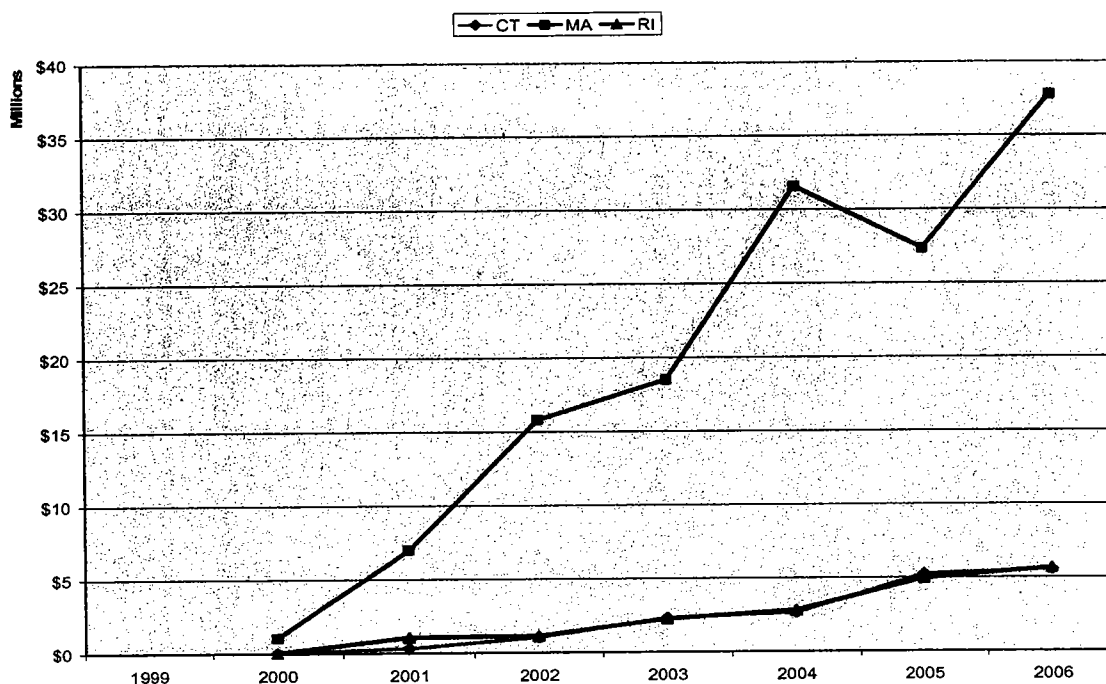
**Graph I**

**Region 1 - DWSRF Repayments (Non-Leverage States)**



## Graph II

### Region 1 - DWSRF Repayments (Leveraged States)



#### IV. Set-aside Funds

Congress, in passing the 1996 Amendments to the SDWA, understood that many systems needed assistance other than financial to ensure that their water supply would remain safe and supply clean water. A portion of the states' capitalization grant may be used for non-infrastructure related activities that collectively are entitled, "Set-asides." The law allows states to use up to 31% of their cap grant for activities intended to promote compliance with SDWA requirements and enhance public health protection. Activities that can be funded through set-asides include: operator certification, source water protection, improving the technical, managerial and financial capability of water systems, to name a few. The use of and the amount taken by each of our New England states' varies annually. Four out of the six states took the maximum 31% level allowable. Some states reserved the right to take the set-asides from a future capitalization grant where allowable. For example, Graph III below shows Rhode Island taking 41% in FY2002. This was allowed since the state reserved the right to take set-aside funds from a previous years SRF grant. Table IV describes in detail the total amount of set-asides taken by each state in FY 2005 and FY 2006, and Graphs 3 & 4 describe the level of set-aside use since the beginning of the program.

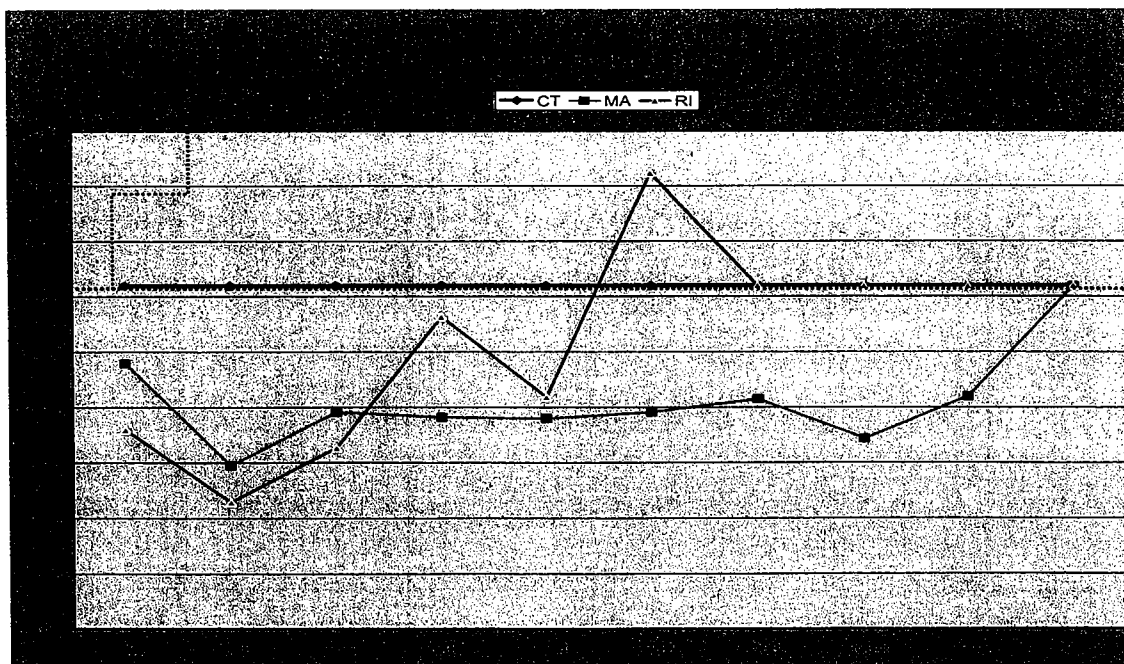
**Table IV**

**Set-aside Use in FY 2005/2006**

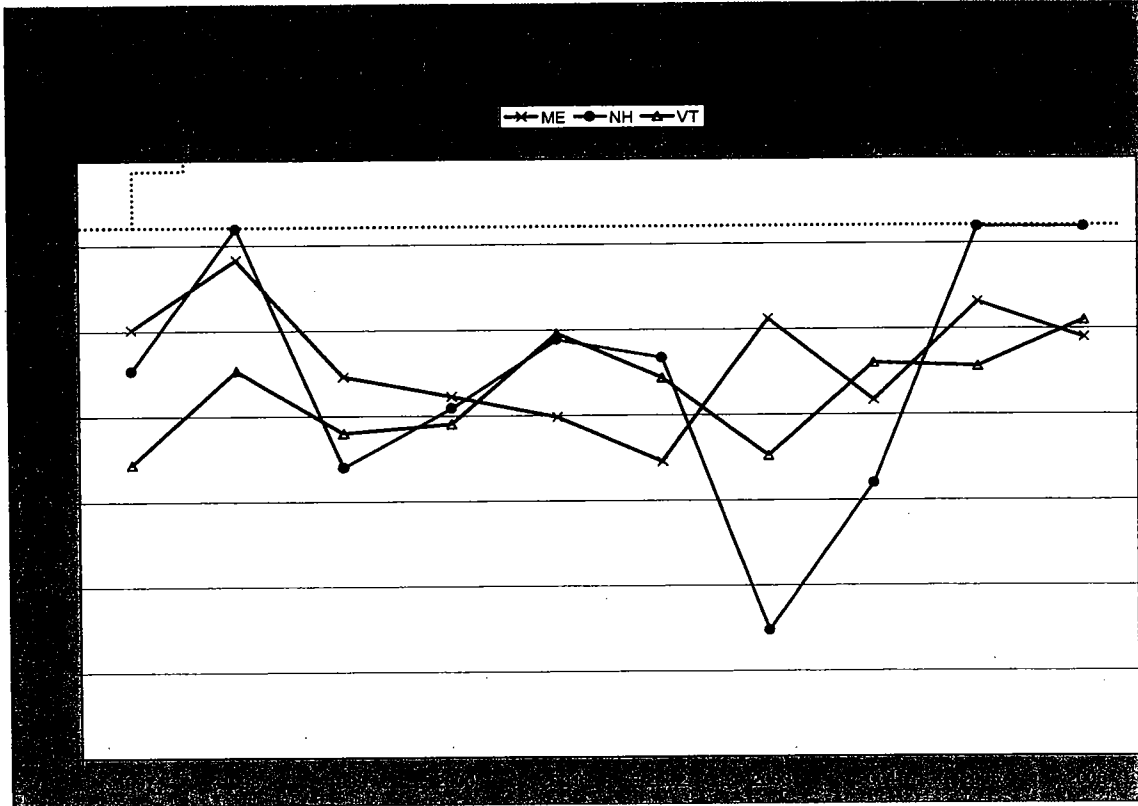
Connecticut	\$2,568,505	\$1,373,900	\$2,551,083	\$1,362,000
Maine	\$2,202,078	\$ 915,600	\$2,016,624	\$ 908,400
Massachusetts	\$6,227,064	\$1,116,000	\$6,831,160	\$1,109,800
New Hampshire	\$2,568,505	\$1,074,000	\$2,551,083	\$1,086,300
Rhode Island	\$2,568,505	\$ 483,900	\$2,551,083	\$ 483,200
Vermont	\$1,890,632	\$ 750,700	\$2,099,621	\$ 744,500

Many of our states continue to use set-aside funding to support additional staff for their drinking water programs and other related drinking water programs. The use of set-aside funding is a key component for states to meet their responsibilities under the SDWA. Prior to the SDWA Amendments of 1996 that created the DWSRF program, funding received by states to run their drinking water program was limited to the Public Water System Supervision (PWSS) program grant. The DWSRF has provided states with a significant alternative source of funding and flexibility to direct resources where they are needed to help ensure public health protection and safe water supplies.

**Graph III**



Graph IV



Set-asides are broken up into four (4) broad categories. The percentage is the amount of the annual capitalization grant that a state may choose to use for eligible activities in that particular category. They include:

**1) Administration (4%)**

- a. A state may use up to 4% of its capitalization grant for reasonable expenses related to administering the DWSRF program. Costs such as the development of an Intended Use Plan and priority ranking system, project oversight and support services provided by other state agencies, as well as technical assistance to public water systems are eligible under this set-aside.

**Table V**

**State FTEs Supported by 4% Administrative Set-aside**

Connecticut	3.7	2.5
Maine	3.5	3.0
Massachusetts	9.89	8.88
New Hampshire	2.5	2.5
Rhode Island	1.25	1.25
Vermont	4.0	3.5

**2) Small System Technical Assistance (2%)**

- a. States may use up to 2% of its capitalization grant to provide technical assistance to small water systems that serve fewer than 10,000 people. A state may use these funds to pay for staff that provides technical assistance to systems, or contract with an outside organization to provide technical assistance. Eligible activities include: on-site visits for assistance with water system operations and/or management issues, planning grants, education and training on drinking water operational topics.

**Table VI**

**State FTEs Supported by 2% Technical Assistance Set-aside**

Connecticut	1.0	1.0
Maine	2.0 (contracted)	2.0 (contracted)
Massachusetts	3.01	3.01
New Hampshire	0.0	0.0
Rhode Island	0.0	0.0
Vermont	1.0 (contracted)	1.0 (contracted)

**3) State Program Management (10%)**

- a. Up to 10% of the state's capitalization grant can be used to augment and strengthen the state drinking water program. Eligible uses of this set-aside include activities related to the Public Water Supply Supervision (PWSS) program under which states can exercise their primary enforcement authority to implement the national primary drinking water regulations; the development and implementation of operator certification and capacity development programs; and to administer a source water protection program to protect sources of drinking water from contamination;

**Table VII**

**State FTEs Supported by the 10% State Program Management Set-aside**

Connecticut	9.0	10.0
Maine	9.2	10.2
Massachusetts	19.52	17.78
New Hampshire	13.5	13.5
Rhode Island	7.5	9.0
Vermont	9.0	9.5

The project is the construction of a new package water treatment facility, including an emergency power generator, repair and replacement of the company's water storage facilities, a new groundwater source and the replacement of all the customer's meters. Construction of the water treatment facility is necessary to provide filtration of Assabet's water supply as required by the Surface Water Treatment Rule of the Federal Safe Drinking Water Act. DEP has prohibited the company from utilizing one of its two approved sources, due to surface water infiltration of the groundwater source. The proposed project will assure a safe and adequate potable water supply for the 187 households served by the company and eliminate identified public health threats.

The project is funded by a \$1,210,000 Drinking Water SRF loan through the Massachusetts Water Pollution Abatement Trust. This loan is unique among Massachusetts SRF loans to date. The utility is subject to rate regulation by the State Department of Public Utilities, and cannot raise its rates to finance the project. As a very small, privately held system, its low credit quality precludes it from receiving funds or guarantees from a bank or other private lender. As a result, the SRF loan is its only viable funding alternative. Given its poor credit quality, to protect the SRF, we have arranged for a third-party bank to serve as a "lockbox," whereby ratepayers make payments directly to the bank, which then repays the loan. To protect bondholders, the Trust has not leveraged this loan, but held it as a direct loan.

**4) Local Assistance and Other State Activities (15%)**

- a. Several other categories of activities can be funded using up to 15% of a state's DWSRF grant. Loans may be issued from this set-aside for the purchase of land or easements which result in the protection of water supplies. Since the inception of this program in New England, slightly more than 1,700 acres of land have been purchased within drinking water watersheds. Funds may also be used to provide direct assistance to systems as part of a state capacity development strategy. Under this eligibility, some of the New England states have funded facility plans, comprehensive plans, and water exploration studies. Implementation activities relative to a state Wellhead Protection Program are also eligible and have included state staff, education, small grant programs for the development of wellhead protection plans and protection activities, and assessments of the susceptibility of wells to contamination. Finally, states can use funds to issue loans for the development of source water protection programs. To date, no New England state has utilized the funds for this purpose.

**Table VIII**

**State FTEs Supported by 15% Local Assistance Set-aside**

Connecticut	17.0	16.5
Maine	3.5	4.0
Massachusetts	6.96	8.0
New Hampshire	14.0	16.5
Rhode Island	3.0	3.0
Vermont	4.1	4.5

Funding additional state personnel and third party consultants to implement activities to support safe drinking water supplies is a very important use of the set-aside funds. In addition, there are many important activities being undertaken by the additional personnel to ensure that our New England water supplies are functioning as they should and providing a safe and adequate supply of water. Below is a list of the most innovative uses of set-aside funds

**Table IX**

**Innovative Use of Set-aside Funds**

MA	15% local assistance set-aside for a mini grant program to fund PWS water conservation efforts, primarily leak detection. Use of financial incentives on retail end to encourage customers to purchase and install water efficient appliances. Systems targeted are those located in stressed river basins.
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**V. Disadvantaged Assistance Funding**

Under the DWSRF program, states may establish separate eligibility criteria and special funding options for economically disadvantaged communities. A disadvantaged community is defined in the SDWA as “the service area of a public water system that meets affordability criteria established after public review and comment by the state in which the public water system is located.” States may provide subsidies to disadvantaged systems which can include negative interest rates, principal forgiveness and extended loan terms to make a project more affordable. In New England, ME, NH and VT have each established Disadvantaged Community Programs. During Fiscal Year 2005, \$8.2 million was provided to communities that met the state’s definition of disadvantaged community. This figure nearly doubled to \$15.7 million in FY2006. This assistance allowed infrastructure improvements to be built that likely may not have been possible due to the financial burden on the communities.

**Table X**

**Funding Directed Toward Disadvantaged Communities**

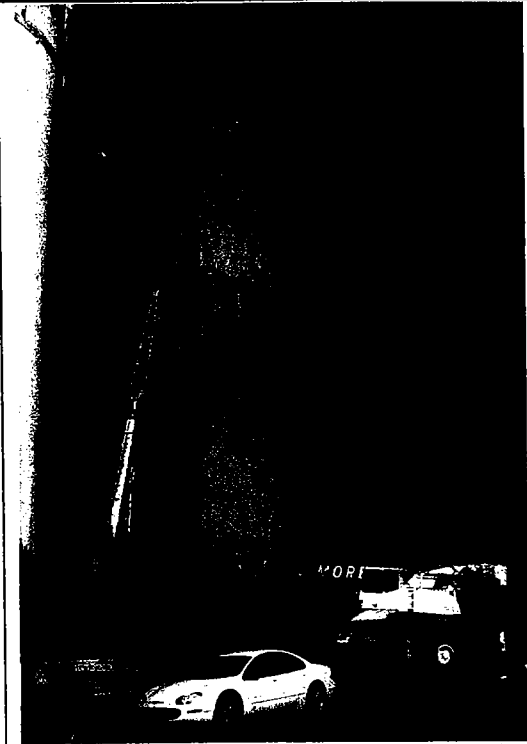
Maine	\$2,722,575	\$ 4,630,821
New Hampshire	\$3,057,000	\$ 9,212,000
Vermont	\$2,482,440	\$ 1,928,170
Total	\$8,262,015	\$15,760,941

There are two primary ways to provide disadvantaged assistance: principal forgiveness, used by ME, NH, and VT, which forgives a portion of principal from being repaid; and extension of loan terms from 20 years to 30 years. ME and VT extend the loan terms to reduce the annual payments for some portion of their disadvantaged loans.

The Town of Jamestown, Rhode Island Water System experienced problems associated with insufficient water capacity at peak demand times – summer, summer weekends and holidays. The lack of sufficient quantity contributed to water pressure concerns and persistent water quality complaints. During these peak periods, demand outpaces the available potable water supply to a point where the existing storage tank is drawn down completely and the distribution system experiences very low pressure.

To rectify the deficient storage and its associated water quality issues, the Town of Jamestown Water Department has built a 1 MG standpipe. The additional storage volume will be used to augment the existing storage volume during peak demand times and will be replenished during periods of lower demands during the summer weekdays. The vaulted pump station is intended to transfer water between the existing tank 1 MG tank and new tank thereby increasing the usable volume of water in each tank. The new tank has been constructed adjacent to the existing potable water standpipe.

The project is funded with \$1.2 million with a RI DWSRF loan and \$482,100 of Congressional earmark special appropriation.



## VI. Drinking Water Infrastructure Grants Tribal Set-aside Program

Each year, the SDWA reserves national set-aside funds from Federal DWSRF funds for Tribal infrastructure projects. Funds are allotted to each region and disbursed by the Regions as grants to tribes for drinking water projects. Funds are disbursed based on a project priority ranking system that was developed by a regional workgroup consisting of Tribes, EPA and the Indian Health Service (IHS). The following table depicts funds allotted from DWSRF funding from 1997 thru 2006.

**Table XI**

### **Tribal Grant Funds (1997 – 2006)**

1997	\$409,600
1998	\$232,900
1999	\$246,300
2000	\$275,000
2001	\$267,100
2002	\$276,300
2003	\$277,100
2004	\$273,000
2005	\$270,200
2006	\$276,900
<b>TOTAL</b>	<b>\$2,804,400</b>

The following projects were funded with FY 2005 and FY2006 funds, totaling \$715,000 (also included uncommitted 03/04 funds):

**Table XII**

### **Projects Funded with FY 2005/2006 Tribal Funds**

Passamaquoddy Tribe -- Pleasant Point	Re-Chlorination Station	\$197,000
Penobscot Tribe	Water line -- looping	\$345,000
Wampanoag Tribe	Redesign/SCADA	\$113,000
Passamaquoddy Tribe -- Indian Township	Water line, stream crossing	\$60,000

**Project Oversight:** EPA Region I entered into MOU's with the Indian Health Service (HIS --Bangor District) to oversee project construction. The funds were transferred to HIS. EPA receives quarterly progress reports and ensures that funds are being used in a manner consistent with the goals and objectives of the Safe Drinking Water Act.

**Project Status (October 2007):**

1. **Passamaquoddy Tribe (Pleasant Point):**

Project: Installation of a chlorination station

Status: Engineer hired and design plans 90-95% complete. Plan to start construction during fall 2007.

Completed connection to main line and placed stub, as there was road repaving and they did not want to have to cut the new pavement.

Expected completion date: Spring 2008.

2. **Penobscot Tribe:**

Project: 1,700 linear feet of pipe to complete loop, increase flow and reduce stagnant water issues.

Status: Contract has been awarded and construction begun. Approximately 5-10% completed.

Expected completion date: Target of spring 2008, depending on winter weather.

3. **Wampanoag Tribe:**

Project: Redesign control panel, add SCADA. IHS is doing the design work in the Bangor office. Design work is approx. 60% complete.

Expected completion date: Construction to begin in Spring 08, with completion by July 2008.

4. **Passamaquoddy Tribe (Indian Township):**

Project: Replace water line across bridge connection.

Status: Delay, due to high cost estimates to do directional drilling under stream crossing. Bids came in much higher than expected. IHS has changed scope of project from directional drilling to open stream cut to stay within budget. State does not allow stream cuts until late summer, when water flow reduced.

Expected completion date: August/Sept. 2008

## VII. DWSRF Program Contact Information

Below you will find contact information for the Drinking Water SRF program at both the state and federal level. At the state level, please note that there is a programmatic contact and a contact for the financial portion of the program.

**Table XIII**

**State/EPA Contacts**

Connecticut	Theodore Dunn Dept. of Health (860) 509-7333	Sharon Dixon-Peay Office of Treasurer (860) 702-3134 sharon.peay@ct.gov	Mark Spinale * (617) 918-1547 spinale.mark@epa.gov
Maine	Roger Crouse, Dept. of Human Services (207) 287-5684 Roger.Crouse@maine. gov	Karen Asselin, ME Municipal Bond Bk (207) 622-9386 kla@mmbb.com	Jackie LeClair (617) 918-1549 Leclair.jackie@epa.gov
Massachusetts	Steve McCurdy, Dept. of Env. Protection (617) 292-5779 Steven.mccurdy@state. ma.us	Pat Deal, Water Poll. Abatement Trust (617) 367-9333, x504 Patricia.Deal@state.ma.us	James Bourne (617) 918-1610 bourne.james@epa.gov
New Hampshire	Rick Skarinka, Dept. of Environmental Services (603) 271-2948	Brad Jacobson, State Treasurer's Office (603) 271-2628	Mark Spinale (617) 918-1547 spinale.mark@epa.gov
Rhode Island	Gary Chobanian, Dept. of Health (401) 222-6867	Anna Coelho Cortes, Clean Water Finance Agency (401) 453-4430	Mark Spinale (617) 918-1547 spinale.mark@epa.gov
Vermont	Dept. of Environmental Conservation Eric Blatt (802) 241-3425 Eric.blatt@state.vt.us	Mark Smith Dept. of Env. Conservation (802) 241-2748 Mark.smith@state.vt.us	Jackie LeClair (617) 918-1549 Leclair.jackie@epa.gov

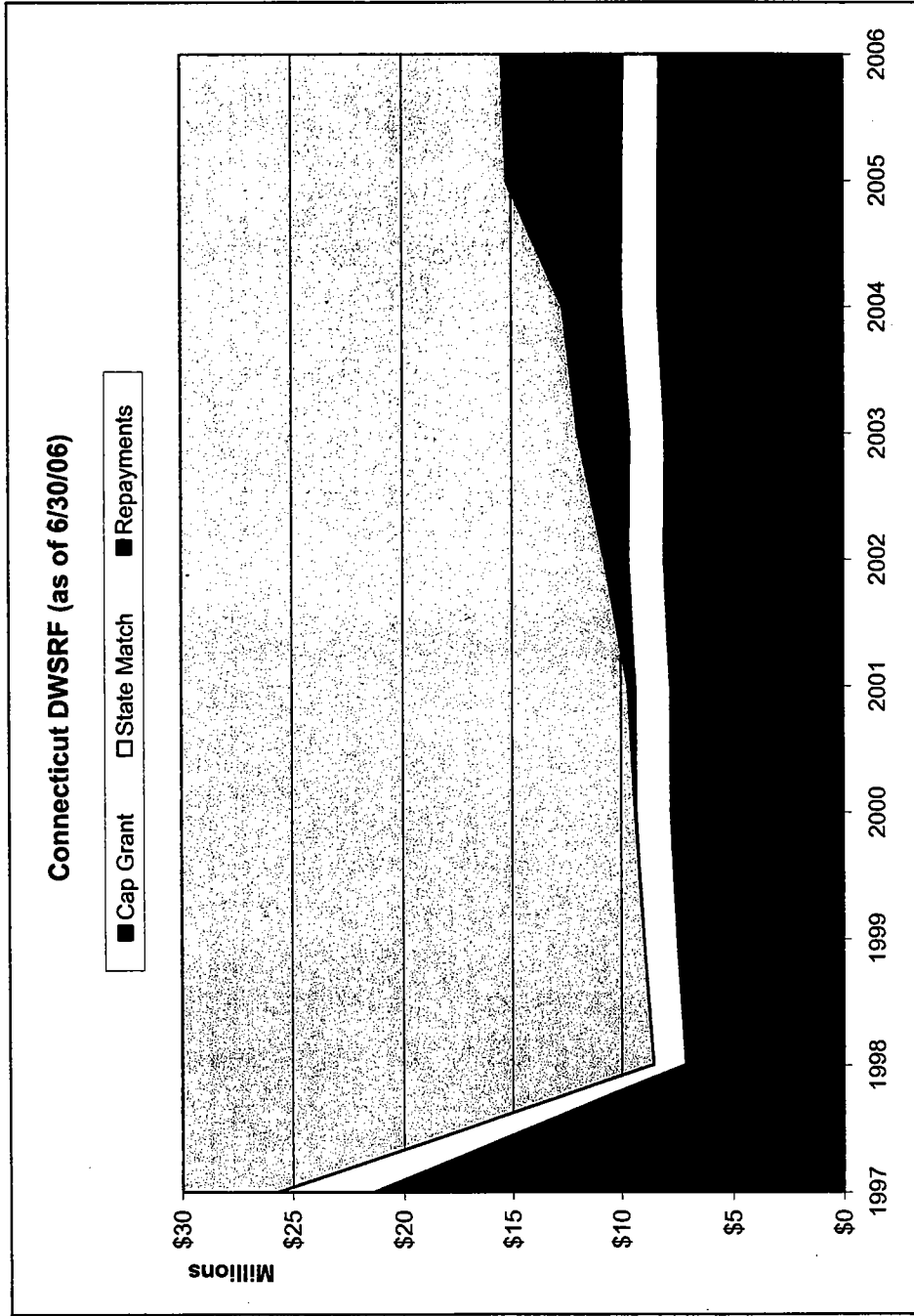
\* EPA Region I DWSRF Coordinator

## ATTACHMENTS

VIII. Attachments

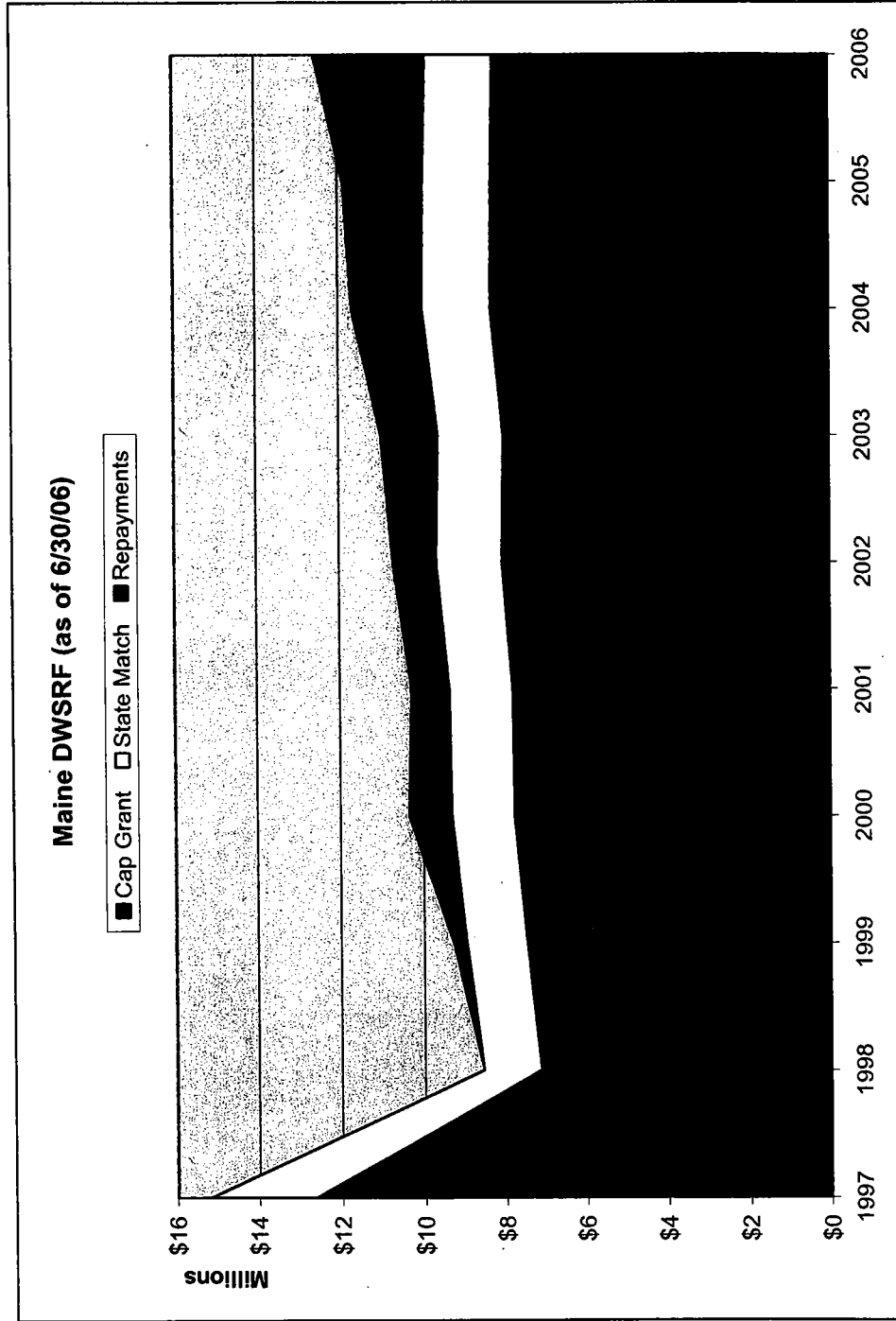
Attachment 1

Funds Available for DWSRF Assistance



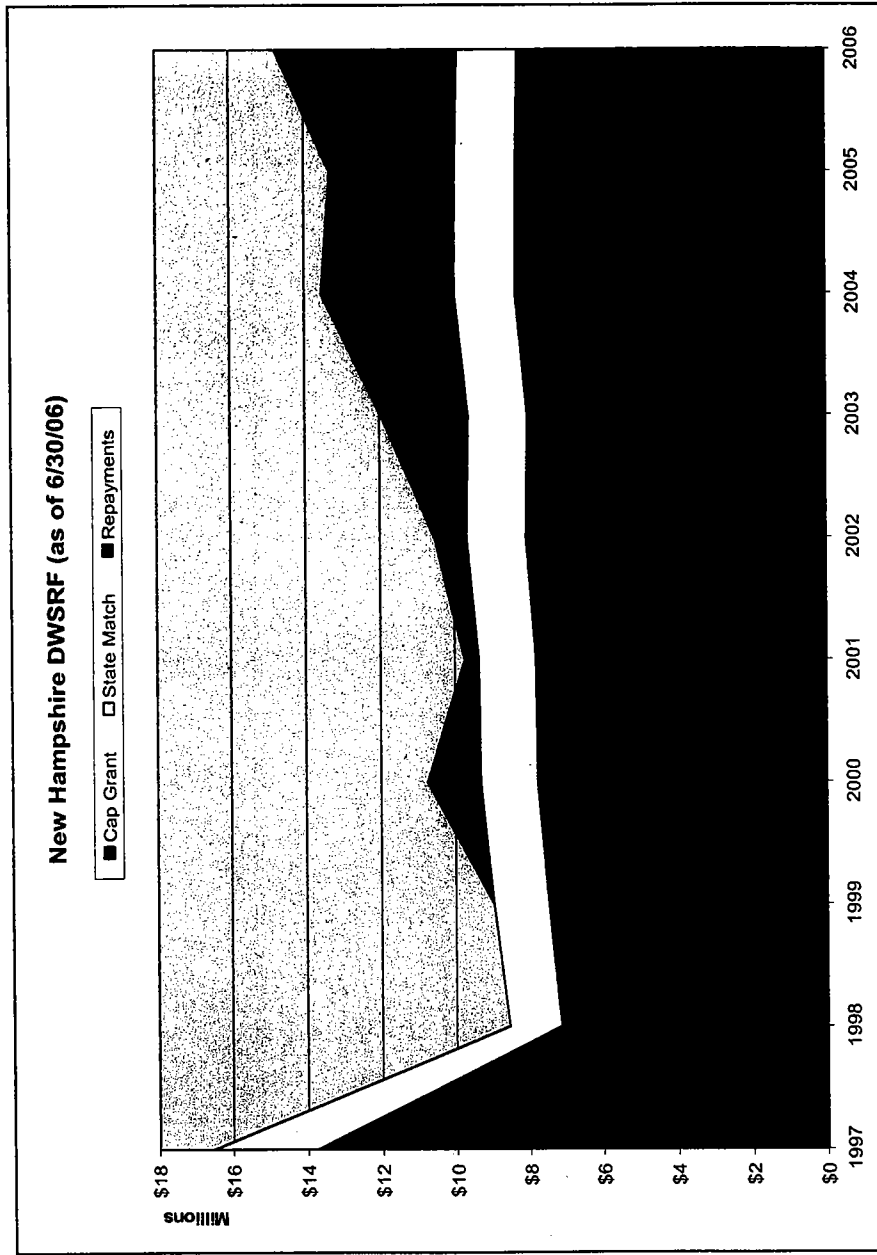
**Attachment 2**

**Funds Available for DWSRF Assistance**



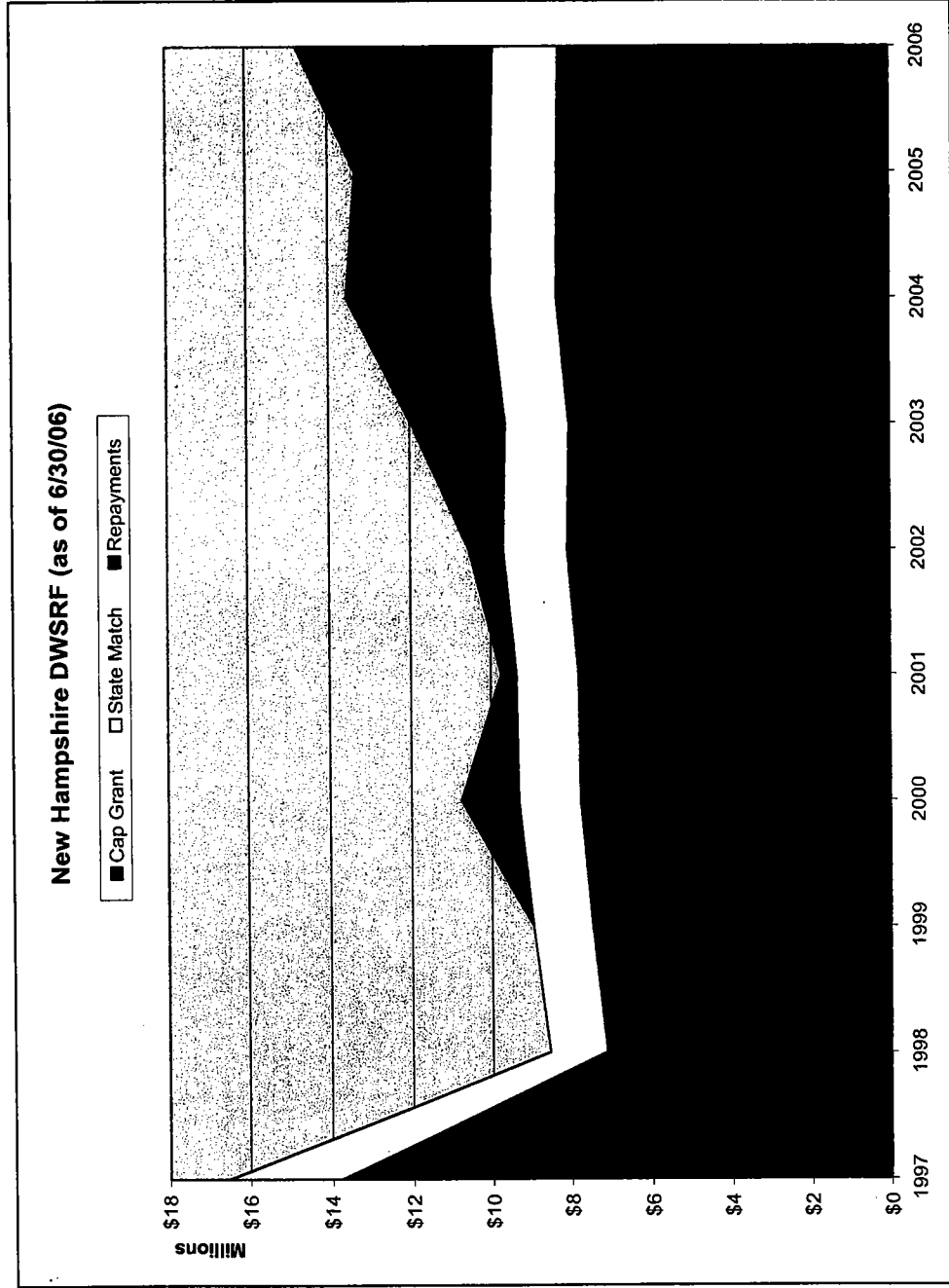
**Attachment 3**

**Funds Available for DWSRF Assistance**

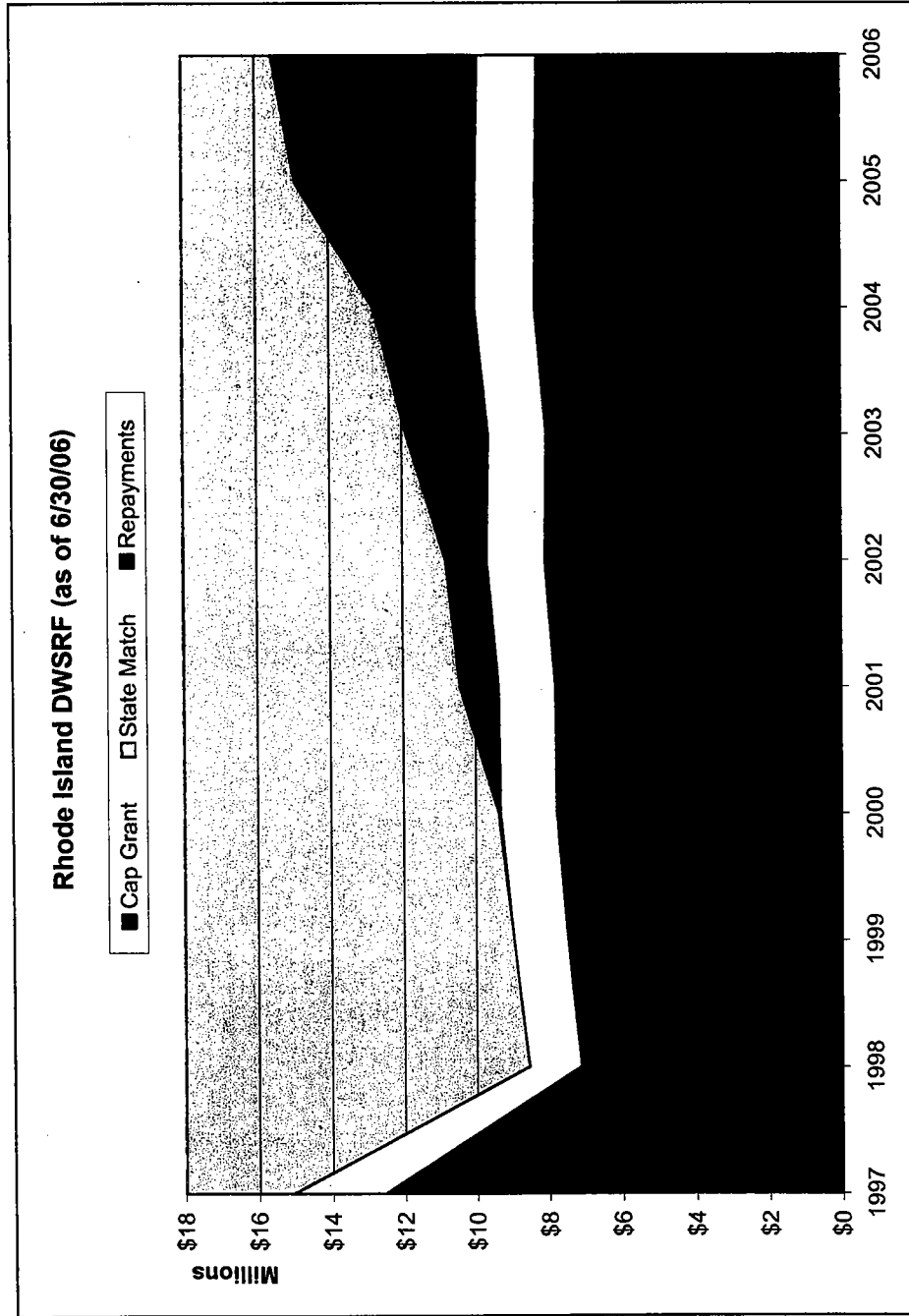


**Attachment 4**

**Funds Available for DWSRF Assistance**

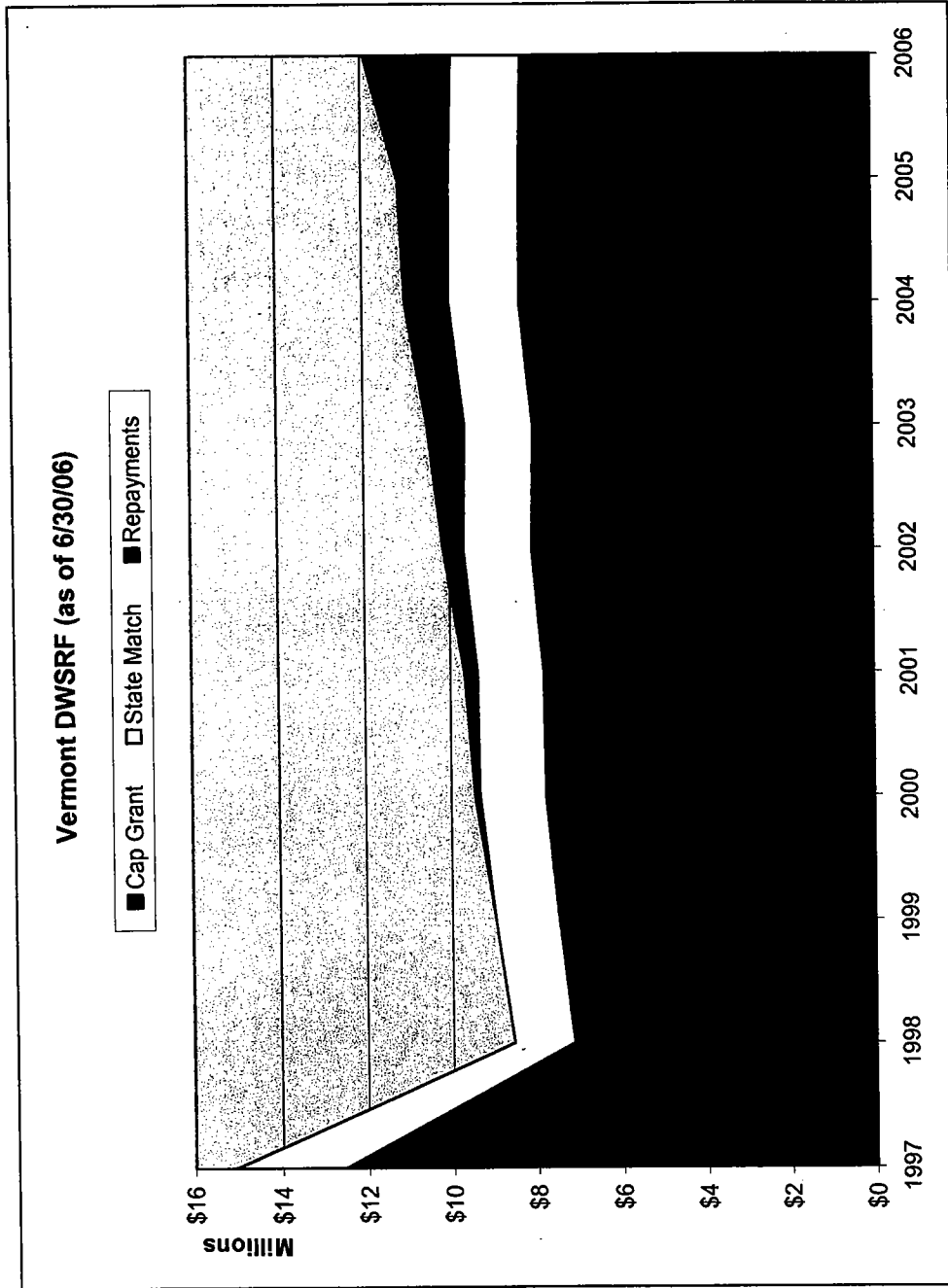


**Attachment 5**  
**Funds Available for DWSRF Assistance**



**Attachment 6**

**Funds Available for DWSRF Assistance**



**Attachment 7**

**State Specific Set-aside Uses since Inception**

**Connecticut Set-Aside Summary: 1997-2004 (as of June 30, 2006)**

Set-Aside	Maximum Available from Grants	Amount Banked (Reserved for Future Use)	Amount Taken in IUP	Amount Expended	Available Balance
4% Administration	\$3,035,964	\$0	\$3,035,964	\$2,694,164	\$341,800
2% Technical Asst.	\$1,517,982	\$0	\$1,517,982	\$1,300,402	\$217,580
10% State Pgm. Mgmt.	\$7,589,910	\$0	\$7,589,910	\$5,020,098	\$2,569,812
15% Local Asst.	\$11,384,865	N/A	\$11,384,865	\$6,394,364	\$4,990,501

**Connecticut Set-Aside Summary: 2005/2006 (as of June 30, 2006) \*\***

Set-Aside	Maximum Available from Grants	Amount Banked (Reserved for Future Use)	Amount Taken in IUP	Amount Expended	Available Balance
4% Administration	\$0	\$0	\$0	\$0	\$0
2% Technical Asst.	\$0	\$0	\$0	\$0	\$0
10% State Pgm. Mgmt.	\$0	\$0	\$0	\$0	\$0
15% Local Asst.	\$0	N/A	\$0	\$0	\$0

**Attachment 8**

**State Specific Set-aside Uses since Inception**

**Maine Set-Aside Summary: 1997-2004 (as of June 30, 2006)**

Set-Aside	Maximum Available from Grants	Amount Banked (Reserved for Future Use)	Amount Taken in IUP	Amount Expended	Available Balance
4% Administration	\$2,685,764	\$21,696	\$2,664,068	\$2,560,569	\$103,499
2% Technical Asst.	\$1,342,882	\$11,098	\$1,331,784	\$1,331,784	\$0
10% State Pgm. Mgmt.	\$6,714,410	\$817,690	\$5,896,720	\$5,830,587	\$66,133
15% Local Asst.	\$10,071,615	N/A	\$5,392,265	\$4,838,477	\$553,788

**Maine Set-Aside Summary: 2005/2006 (as of June 30, 2006)**

Set-Aside	Maximum Available from Grants	Amount Banked (Reserved for Future Use)	Amount Taken in IUP	Amount Expended	Available Balance
4% Administration	\$331,420	\$0	\$331,420	\$0	\$331,420
2% Technical Asst.	\$165,710	\$0	\$165,710	\$14,591	\$151,119
10% State Pgm. Mgmt.	\$828,550	-\$6,895	\$835,445	\$0	\$835,445
15% Local Asst.	\$1,242,825	N/A	\$869,503	\$0	\$869,503

**Attachment 9**

**State Specific Set-aside Uses since Inception**

**Massachusetts Set-Aside Summary: 1997-2004 (as of June 30, 2006)**

Set-Aside	Maximum Available from Grants	Amount Banked (Reserved for Future Use)	Amount Taken in IUP	Amount Expended	Available Balance
4% Administration	\$8,697,024	\$178,995	\$8,518,029	\$8,518,029	\$0
2% Technical Asst.	\$4,348,512	\$0	\$4,348,512	\$4,315,450	\$33,062
10% State Pgm. Mgmt.	\$21,742,560	\$3,119,091	\$18,623,469	\$17,612,176	\$1,011,293
15% Local Asst.	\$32,613,840	N/A	\$9,714,727	\$8,776,221	\$938,506

**Massachusetts Set-Aside Summary: 2005/2006 (as of June 30, 2006)**

Set-Aside	Maximum Available from Grants	Amount Banked (Reserved for Future Use)	Amount Taken in IUP	Amount Expended	Available Balance
4% Administration	\$1,184,840	\$0	\$1,184,840	\$922,194	\$262,646
2% Technical Asst.	\$592,420	\$0	\$592,420	\$73,080	\$519,340
10% State Pgm. Mgmt.	\$2,962,100	\$273,437	\$2,688,663	\$1,656,445	\$1,032,218
15% Local Asst.	\$4,443,150	N/A	\$1,761,141	\$0	\$1,761,141

**Attachment 10**

**State Specific Set-aside Uses since Inception**

**New Hampshire Set-Aside Summary: 1997-2004 (as of June 30, 2006)**

Set-Aside	Maximum Available from Grants	Amount Banked (Reserved for Future Use)	Amount Taken in IUP	Amount Expended	Available Balance
4% Administration	\$2,729,828	\$575,826	\$2,154,002	\$2,154,001	\$1
2% Technical Asst.	\$1,364,914	\$0	\$1,364,914	\$1,364,914	\$0
10% State Pgm. Mgmt.	\$6,824,570	\$3,277,006	\$3,547,564	\$3,547,564	\$0
15% Local Asst.	\$10,236,855	N/A	\$6,824,474	\$6,275,697	\$548,777

**New Hampshire Set-Aside Summary: 2005/2006 (as of June 30, 2006)**

Set-Aside	Maximum Available from Grants	Amount Banked (Reserved for Future Use)	Amount Taken in IUP	Amount Expended	Available Balance
4% Administration	\$331,420	\$0	\$331,420	\$26,558	\$304,862
2% Technical Asst.	\$165,710	\$0	\$165,710	\$41,179	\$124,531
10% State Pgm. Mgmt.	\$828,550	\$0	\$828,550	\$156,895	\$671,655
15% Local Asst.	\$1,242,825	N/A	\$1,242,825	\$0	\$1,242,825

**Attachment 11**

**State Specific Set-aside Uses since Inception**

**Rhode Island Set-Aside Summary: 1997-2004 (as of June 30, 2006)**

Set-Aside	Maximum Available from Grants	Amount Banked (Reserved for Future Use)	Amount Taken in IUP	Amount Expended	Available Balance
4% Administration	\$2,681,988	\$0	\$2,681,988	\$1,489,910	\$1,192,078
2% Technical Asst.	\$1,340,994	\$0	\$1,340,994	\$613,437	\$727,557
10% State Pgm. Mgmt.	\$6,013,857	\$0	\$6,013,857	\$3,787,885	\$2,225,972
15% Local Asst.	\$10,057,455	N/A	\$6,451,390	\$4,057,504	\$2,393,886

**Rhode Island Set-Aside Summary: 2005/2006 (as of June 30, 2006) \*\***

Set-Aside	Maximum Available from Grants	Amount Banked (Reserved for Future Use)	Amount Taken in IUP	Amount Expended	Available Balance
4% Administration	\$0	\$0	\$0	\$0	\$0
2% Technical Asst.	\$0	\$0	\$0	\$0	\$0
10% State Pgm. Mgmt.	\$0	\$0	\$0	\$0	\$0
15% Local Asst.	\$0	N/A	\$0	\$0	\$0

**Attachment 12**

**State Specific Set-aside Uses since Inception**

**Vermont Set-Aside Summary: 1997-2004 (as of June 30, 2006)**

Set-Aside	Maximum Available from Grants	Amount Banked (Reserved for Future Use)	Amount Taken in IUP	Amount Expended	Available Balance
4% Administration	\$2,681,988	\$0	\$2,681,988	\$2,671,988	\$10,000
2% Technical Asst.	\$1,340,994	\$0	\$1,340,994	\$1,066,911	\$274,083
10% State Pgm. Mgmt.	\$6,704,970	\$1,645,905	\$5,059,065	\$3,951,489	\$1,107,576
15% Local Asst.	\$10,057,455	N/A	\$4,668,970	\$3,243,459	\$1,425,511

**Vermont Set-Aside Summary: 2005/2006 (as of June 30, 2006)**

Set-Aside	Maximum Available from Grants	Amount Banked (Reserved for Future Use)	Amount Taken in IUP	Amount Expended	Available Balance
4% Administration	\$331,420	\$0	\$331,420	\$48,082	\$283,338
2% Technical Asst.	\$165,710	\$0	\$165,710	\$0	\$165,710
10% State Pgm. Mgmt.	\$828,550	\$0	\$828,550	\$0	\$828,550
15% Local Asst.	\$1,242,825	N/A	\$564,952	\$0	\$564,952