

**STATE WATER RESOURCES CONTROL BOARD
DISBURSEMENT REQUEST INSTRUCTIONS FOR THE
CLEAN WATER STATE REVOLVING FUND (CWSRF) PROGRAM**

This document provides instructions for requesting disbursement for the CWSRF Program.

WHEN TO REQUEST DISBURSEMENT

The Request for Disbursement (Form 260) and the Construction Contractor Spreadsheet (Form 259) will be transmitted via e-mail to the authorized representative or the person designated to process the disbursements. Disbursement requests may be submitted to the Division of Financial Assistance (DFA) after the financing agreement (or amendment) has been executed.

DISBURSEMENT REQUEST FORM (FORM 260)

Disbursement requests must be submitted on Form No. 260. Form No. 260 is transmitted to the recipient at the time the executed financing agreement or amendment is transmitted. A copy of Form No. 260 is included as Attachment A.

AUTHORIZED REPRESENTATIVE

The application for the CWSRF funds included a copy of the resolution by the governing body of the recipient designating its Authorized Representative who is authorized to sign documents and represents the agency relative to the CWSRF Program. The Form No. 260 lists the name and title of the authorized representative. If your agency uses a Designated Representative (Designee) instead of the agency's appointed authorized representative as executor, please provide a letter of explanation indicating the **NAME and TITLE** of the representative. This letter must be signed and dated by the Agency's appointed authorized representative in order to be effectual.

In the event that a new authorized representative is named, a resolution authorizing the new representative must be submitted. Note: If the authorizing resolution identified the authorized representative by title or position rather than name, a new resolution may not be required. In such cases, a formal letter of appointment will suffice.

CERTIFICATION OF EXPENDITURES

To comply with the 1986 Federal Tax Reform Act, recipients must certify that (1) costs claimed have been incurred and that these costs have been paid or will be paid within thirty days of receipt of the CWSRF funds requested, (2) if the costs have not been paid within 30 days, funds remaining will be returned to the State Water Resources Control

Board (SWRCB), and (3) that all prior funds received from the CWSRF Program have been disbursed within 30 days of receipt or have been returned to the SWRCB.

The recipient is also certifying that the costs claimed are specific to the financing agreement and within the approved scope of work.

COMPLETING FORM NO. 260 -- REQUEST FOR DISBURSEMENT (ATTACHMENT A)

The Form No. 260 will be partially completed by the SWRCB staff before being sent to the recipient. The recipient must:

1. Enter the submittal date.
2. Enter the Disbursement Request Number.
3. Enter the eligible construction completion percentage (refer to Attachment B).
4. Enter total costs incurred to date in Column (C), except construction costs. (For construction costs see the section of these instructions titled Completing Form No. 259 -- Construction Contractor Spreadsheet.)
5. Complete Column (E). Refer to **Attachment B** for complete details on how to calculate the allowances.
6. The authorized representative must sign and date the Recipient Certification portion of Form No. 260.

For Local Match financing agreements, the Local Match of 16.667% must be deducted under Column (E).

No other entries or adjustments to the form should be made. A copy of the processed Form No. 260 will be sent to the recipient showing the date processed and the amount to be disbursed.

COMPLETING FORM NO. 259 -- CONSTRUCTION CONTRACTOR SPREADSHEET (ATTACHMENT C)

If disbursement is being requested for construction work, the recipient must include (1) Form No. 259 (Construction Contractor Spreadsheet) and (2) a signed construction contractor's pay estimate. A copy of Form No. 259 is included as Attachment C.

Form No. 259 will be partially completed by the DFA. The recipient must:

1. Enter the submittal date.

2. Enter the Disbursement Request Number.
3. Enter Total Costs Incurred to Date for each bid item into Column (H). Once this amount is entered, it will automatically generate the percentage completed in Column (G).
4. If there are materials on hand, enter this figure into Column (H), just below the Subtotal on the bottom of the spreadsheet.
5. Any retention withheld from the contractor should be entered into Column (H), just below the Subtotal on the bottom of the spreadsheet unless the retention was deposited into an Escrow Account. The recipient must provide a copy the Escrow Agreement, Certificate of Deposit or Letter of Credit for any contractor retention funds that have been deposited into Escrow account.
7. Total Column (H). Enter this figure on the Form No. 260, Column (C) for construction costs.
8. Total Column (K). Enter this figure on the Form No. 260, Column (E) for construction costs.

Columns (K), (L), and (M) will automatically be generated once Column (H) is completed.

With the Form Nos. 259 and 260, the recipient must include a copy of the construction contractor's pay estimate. The contractor's pay estimate must be itemized by bid item for the project as outlined in the original bid in the Approval to Award. If the contractor's pay estimate is itemized differently than what is outlined in the original bid document, then the recipient must provide documentation to show correlation between the contractor's pay estimate and the original bid. Both the recipient and the contractor must sign the contractor's pay estimate.

WHERE TO SEND DISBURSEMENT REQUESTS

Disbursement requests for the CWSRF funds should be mailed to:

State Water Resources Control Board
 Division of Financial Assistance
 Attention: CWSRF Program Analyst
 State Revolving Fund Unit
 Post Office Box 944212
 Sacramento, CA 94244-2120

Street Address: 1001 I Street, 17th Floor
 Sacramento, CA 95814

Revised: 6/08

ATTACHMENT B
CLEAN WATER STATE REVOLVING FUND
FORM 260 - ALLOWANCES

Planning and Design Allowance

The Planning and Design Allowances are eligible for disbursement upon execution of the financing agreement.

Construction Management and Administration Allowances

Form 259 -- Construction Contractor Spreadsheet

The Construction Management and Administration Allowances are prorated according to the construction completion percentage per the contractor's pay estimate submitted with the disbursement request. The construction completion percentage is calculated as follows:

$$\frac{\text{Subtotal Eligible Costs + MOH (Column J)}}{\text{Eligible Bid Amount (Column J)}} = \% \text{ of Construction Complete} \\ \text{(e.g., 23.17\% -- two places-Column J)}$$

Form 260 -- Request for Disbursement

To calculate the Costs Claimed for Disbursement to Date -- Column (E), multiply the Allowance -- Column (B) with the construction completion percentage. This figure is the maximum eligible for the allowance. If the cost incurred is less than the maximum eligible, then post the cost incurred amount in Column E.

Prime Engineering Allowance

Prime Engineering Allowance is eligible for disbursement after construction is complete (100 percent).

