

**Data Elements for the DWSRF Information System (DW NIMS)**

| Line #  | Category | Field Name   | Definition  |
|---|----------|--|---|
| <b>Federal and State Investment</b>   |          |  |   |
| <b>Federal Capitalization Grants</b>  |          |  |   |
| 1   |          | Date of Last Award in the Year   | Date that EPA awards the grant. <i>Data entered by EPA.</i>   |
| 2   |          | Total Annual Federal Grants  | Total amount of grant(s) awarded. <i>Data entered by EPA.</i>   |
| <b>Transfer of Federal Funds Between DWSRF and CWSRF</b><br><i>(Capitalization grant dollar transfers.)</i>   |          |  |   |
| 4   |          | Amount of Federal Funds Transferred into DWSRF Fund                              | Net dollar amount of federal funds transferred into the DWSRF from the CWSRF during the federal fiscal year. <i>Data entered by EPA.</i>  |
| 5   |          | Amount of Federal Funds Transferred out of DWSRF Fund                            | Net dollar amount of federal funds transferred out of DWSRF to CWSRF during the federal fiscal year. <i>Data entered by EPA.</i>  |
| 6   |          | Net Transfer into/(out of) DWSRF   | Net dollar amount of federal funds transferred into/(out of) the DWSRF. <i>Calculated value.</i>  |
| <b>Quarterly Outlays (Dollars)</b>  |          |  |   |
| 8 - 11  |          | Quarterly Outlays  | Total amount of actual outlays (i.e., cash draws from the federal ACH) in each quarter during the federal fiscal year. <i>Data entered by EPA.</i>  |
| <br><i>Note: The remainder of the DWSRF program information is provided on a July 1 to June 30 basis. This time period is referred to as the Reporting Period.</i>  |          |  |   |
| <b>DWSRF Fund Investment Summary (Calculated Values)</b>  |          |  |   |
| 16  |          | Annual Net Transfers with CWSRF into/(out of) the DWSRF Fund                     | Net amount of funds transferred into/(out of) the DWSRF Fund during the reporting period. The amount is from line 43. <i>Calculated value.</i>  |
| 17  |          | Annual Amount (Awarded) for Set-Asides   | Dollar amount awarded for set-aside accounts. This amount is from line 101 and is shown as a negative number to reflect a reduction in grants available for the DWSRF Fund. <i>Calculated value.</i>                                  |
| 18  |          | Annual Amount of Transfers into DWSRF Fund from Set-Asides                       | Dollar amount of transfers from awards to set-aside accounts back into the DWSRF Fund. This amount is from line 103. <i>Calculated value.</i>   |
| <b>Outlays (Dollars)</b>  |          |  |   |
| 27  |          | Annual Outlays   | Total amount of actual outlays (i.e., cash draws from the federal ACH) during the reporting period. <i>Data entered by EPA.</i>   |
| <b>State Match Contributions Deposited (Dollars)</b>  |          |  |   |
| <i>The amount deposited into the DWSRF to meet the state match requirement of 20 percent of the capitalization grant amount, by source of funds. Includes additional state match funds that are deposited into the DWSRF to meet future 20% state match requirement and excess match contributions.</i> |          |  |   |
| 29  |          | Cash or Appropriations   | Match provided from cash or state appropriations (i.e., general funds, tax revenues).   |
| 30  |          | Bonds Retired Outside the DWSRF Fund   | Match provided from bond proceeds that will not be retired using DWSRF funds.   |
| 31  |          | Bonds Retired From the DWSRF Fund  | Match provided from bond proceeds (net of issuance expenses) that will be retired using DWSRF funds.  |
| 32  |          | Pre-Existing Loans   | Match provided from loans made under a pre-existing state loan program.   |
| 33  |          | Other Sources  | Match provided from sources other than the sources listed above (includes match provided from fees charged on DWSRF assistance).  |
| <b>Additional Match for State Program Management Activities (Dollars): The Amount of 1:1 Match Provided for the State Program Management Set-Aside Activities</b>   |          |  |   |
| 36  |          | Credit for 1993 Funding Used   | Dollar amount of matching funds taken as a credit based on PWSS match and other eligible state funding in 1993.   |
| 37  |          | Cash Contributions Deposited   | Dollar amount of additional/new state program management matching funds provided (i.e., spent) as cash contributions.   |
| 38  |          | Contributions as In-Kind Services  | Dollar amount of additional/new state program management matching funds provided by in-kind services expended, including overmatch funds provided for the PWSS program.   |
| <b>Net Transfer of Funds with CWSRF into/(out of) the DWSRF Fund</b>  |          |  |   |
| 41  |          | Annual Net Transfer of Federal Funds with CWSRF into/(out of) the DWSRF Fund     | Net amount of federal funds transferred into/(out of) the DWSRF Fund during the reporting period. The amount is based on the EPA entries on lines 4 and 5, reported on the July 1 to June 30 reporting year. <i>Calculated value.</i> |
| 42  |          | Annual Net Transfer of Non-Federal Funds with CWSRF into/(out of) the DWSRF Fund | Net dollar amount of non-federal funds (e.g. repayments) transferred from the CWSRF into the DWSRF (entered as a positive number) or out of the DWSRF Fund to the CWSRF (entered as a negative number).                               |

| Line #  | Category | Field Name  | Definition   |
|---|----------|---|--|
| <b>Set-Asides</b>   |          |   |  |
| <i>Dollar amount of capitalization grant funds awarded and expended (or committed to 1452(k) loans) for allowable state set-aside activities during the reporting period. For amount awarded, include funds from grants awarded during the reporting period for set-aside activities that will be specified for inclusion in workplans. For amounts expended, include amounts expended from the DWSRF set-aside account only.</i> |          |   |  |
| <b>Administrative Expenses (Dollars)</b>  |          |   |  |
| 45  |          | Amount Awarded  | Dollar amount awarded for administrative expenses to administer the DWSRF program.   |
| 47  |          | Amount Transferred to/(from) Administrative Expenses  | Net administrative expense awarded amounts transferred to the DWSRF Fund or another set-aside category (entered as a negative number) or from another set-aside category to this category (entered as a positive number) .   |
| 50  |          | Annual Expenses - DWSRF Administration  | Dollar amount expended from this set-aside account for administrative expenses to administer the DWSRF program.  |
| 51  |          | Annual Expenses - Technical Assistance  | Dollar amount expended from this set-aside account for administrative expenses for technical assistance.   |
| <b>Small Systems Technical Assistance</b>   |          |   |  |
| 55  |          | Amount Awarded for Inclusion in Workplans   | Dollar amount awarded for inclusion in workplans for small systems technical assistance.   |
| 57  |          | Amount Transferred to/(from) Small Systems Technical Assistance                             | Net small systems technical assistance awarded amounts transferred to the DWSRF Fund or another set-aside category (entered as a negative number) or from another set-aside category to this category (entered as a positive number).  |
| 60  |          | Annual Expenses - Small Systems Technical Assistance  | Dollar amount expended from this set-aside account for technical assistance to small systems serving 10,000 or fewer people.   |
| 63  |          | Number of Systems Receiving Assistance  | Number of small systems receiving technical assistance. Includes systems receiving direct assistance, including but not limited to: face-to-face meetings and attendance at workshops/conferences. Does not include systems reached by indirect assistance (i.e., mass mailings, media, internet). A system may be counted if it receives extended assistance via phone, fax, e-mail, or interactive internet communication.   |
| <b>State Program Management (Dollars)</b>   |          |   |  |
| 65  |          | Amount Awarded for Inclusion in Workplans   | Dollar amount awarded for inclusion in workplans for state program management.   |
| 67  |          | Amount Transferred to/(from) State Program Management                                       | Net state program management awarded amounts transferred to the DWSRF Fund or another set-aside category (entered as a negative number) or from another set-aside category to this category (entered as a positive number).  |
| 70  |          | Annual Expenses - PWSS Administration   | Dollar amount expended from this set-aside account to administer the PWSS Program.   |
| 72  |          | Annual Expenses - Source Water Protection Technical Assistance                              | Dollar amount expended from this set-aside account to administer or provide technical assistance through source water protection programs, includes Class V portion of the UIC program.  |
| 74  |          | Annual Expenses - Capacity Development  | Dollar amount expended from this set-aside account on development and implementation of a capacity development strategy.   |
| 76  |          | Annual Expenses - Operator Certification Programs   | Dollar amount expended from this set-aside account on development and implementation of an operator certification program.   |
| <b>Local Assistance and Other State Programs (1452(k) Activities)</b>   |          |   |  |
| 81  |          | Amount Awarded for Inclusion in Workplans   | Dollar amount awarded for inclusion in workplans for local assistance and other state programs.  |
| 83  |          | Amount Transferred to/(from) Local Assistance and Other State Programs (1452(k) Activities) | Net local assistance and other state programs awarded amounts transferred to the DWSRF Fund or another set-aside category (entered as a negative number) or from another set-aside category to this category (entered as a positive number).   |
| 86  |          | Dollar Amount for SWP Land Acquisition/ Conservation Easements                              | Dollar amount of executed loan commitments to acquire land or conservation easements from a willing party for the purpose of protecting drinking water system source waters and ensuring compliance with national drinking water regulations.  |
| 88  |          | Number of Systems Receiving SWP Assistance for Land Acquisition                             | Number of systems receiving assistance for source water protection by acquiring land or conservation easements.  |
| 90  |          | Number of Acres Acquired for SWP  | Number of acres of land acquired for source water protection.  |
| 92  |          | Dollar Amount for Incentive-Based SWP Measures  | Dollar amount of executed loan commitments to implement voluntary, incentive-based source water protection measures.   |
| 94  |          | Number of Systems Receiving Assistance for Incentive-Based SWP Measures                     | Number of systems receiving assistance to implement voluntary, incentive-based source water protection measures.   |
| 96  |          | Annual Expenses - SWP Area Delineation/Assessment   | Dollar amount of FY 1997 capitalization grant expended to delineate and/or assess source water protection areas for Public Water Systems in accordance with section 1453.  |
| 98  |          | Annual Expenses - Wellhead Protection Programs  | Dollar amount expended from this set-aside account for the implementation of wellhead protection programs.   |
| 99  |          | Annual Loans - Wellhead Protection Programs   | Dollar amount of executed loan commitments under the Wellhead Protection Programs  |
| 100   |          | Annual Number of Wellhead Protection Loans  | Number of loan executed loan commitments under wellhead protection programs.   |
| 102   |          | Annual Expenses - Technical or Financial Assistance to PWSs                                 | Dollar amount expended from this set-aside account to provide technical or financial assistance to Public Water Systems as part of a capacity development strategy.  |
| 103   |          | Annual Dollar Amount of Loans under the Capacity Development Strategy                       | Dollar amount of executed loan commitments under the Capacity Development Strategy.  |
| 104   |          | Annual Number of Loans under the Capacity Development Strategy                              | Number of executed loan commitments under the Capacity Development Strategy.   |
| 106   |          | Number of Systems Receiving Technical or Financial Assistance for Capacity Development      | Number of systems receiving technical or financial assistance as part of a capacity development strategy. Includes systems receiving direct assistance, including but not limited to: face-to-face meetings and attendance at workshops/conferences. Does not include systems reached by indirect assistance (i.e., mass mailings, media, internet). A system may be counted if it receives extended assistance via phone, fax, e-mail, or interactive internet communication. |

| Line #  | Category | Field Name   | Definition   |
|---|----------|--|--|
| <b>Set-Aside Summary</b>  |          |  |  |
| 111   |          | Annual Total Awarded Amount for Set-Asides   | The sum of all amounts awarded for inclusion in workplans for set-asides (also reported on line 17). <i>Calculated value.</i>  |
| 113   |          | Annual Net Transfers from Awarded Amounts to DWSRF Fund  | The sum of all set-aside award amounts transferred between set-aside accounts. Annual amount will be zero when transfers are made just between set-aside accounts. A positive number indicates a net transfer balance that will return to the DWSRF Fund (also reported on line 18). A negative number is an error, indicating a larger amount of transfers into set-aside accounts than out of set-aside accounts. <i>Calculated value.</i>   |
| 115   |          | Annual Net Amount Awarded for Set-Asides   | Net dollar amount awarded for inclusion in workplans for set-aside accounts, less transfers back to the DWSRF Fund. <i>Calculated value.</i>   |
| 118   |          | Total Annual Set-Aside Activity Dollars Expended   | The sum of all expenses and 1452(k) loan commitments from all set-aside accounts. <i>Calculated value.</i>   |
| <b>DWSRF Fund Assistance</b>  |          |  |  |
| <i>DWSRF assistance includes only the portion of a project's cost that is financed with DWSRF funds. DWSRF assistance is the amount of the contractual obligation (i.e., loan commitment or execution) between the state and the assistance recipient and may include capitalized interest and contingencies. DWSRF assistance amounts are based on the loan execution amount unless the final loan amount is known. An individual assistance action is defined as the original scope of work in the assistance agreement for the portion of the project funded with DWSRF monies plus any minor additions. Major changes in scope are counted as additional actions.</i> |          |  |  |
| <b>Binding Commitments</b>  |          |  |  |
| 121   |          | Annual Dollar Amount   | Total dollar amount of actual DWSRF binding commitments for DWSRF assistance made during the reporting period. A binding commitment for a project is defined as a legal obligation by the state to a local assistance recipient that defines the terms of assistance through the DWSRF. In some states, the binding commitment and loan execution occur at the same time. Does not include set-asides.   |
| 123   |          | Annual Number of Binding Commitments   | Total number of actual DWSRF binding commitments for DWSRF assistance made during the reporting period. A binding commitment for a project is defined as a legal obligation by the state to a local assistance recipient that defines the terms of assistance through the DWSRF. In some states, the binding commitment and loan execution occur at the same time. Does not include set-asides.  |
| <b>Type of DWSRF Assistance Provided (Dollars)</b>  |          |  |  |
| <i>The total dollar amount of DWSRF assistance provided via executed assistance agreements in each category during the reporting period (excludes 1452(k) activities).</i>  |          |  |  |
| 125   |          | Executed Loan Commitments  | Loan agreements executed for eligible project activities. Includes any differences in loan amounts, including capitalized interest, that result from replacing an interim DWSRF construction loan with permanent DWSRF financing in the period in which the change occurs. If the construction loan and the permanent financing are for a different amount, record the difference in the period in which the permanent financing is placed into effect. Report the full principal amount of the loan, including any amounts that will be forgiven. |
| 126   |          | Refinance Short-Term Debt  | Refinancing short-term local debt obligations (i.e., bond anticipatory notes (BANs)). Local debt obligations refers to non-DWSRF debt. Replacement of an interim DWSRF construction loan with permanent DWSRF financing is covered under Executed Loan Commitments.  |
| 127   |          | Refinance Long-Term Debt   | Refinancing long-term local debt obligations, not DWSRF debt.  |
| 128   |          | Guarantee or Purchase Insurance  | Guarantee or purchase insurance for local (non-DWSRF) debt obligations.  |
| <b>Type of DWSRF Assistance Provided (Number of Assistance Agreements)</b>  |          |  |  |
| <i>The total number of DWSRF assistance agreements or executed loans made in each category during the reporting period (excludes 1452(k) activities).</i>   |          |  |  |
| 131   |          | Executed Loan Commitments  | Loan agreements executed for eligible project activities. An interim construction loan, followed by permanent DWSRF financing, is counted as one loan.   |
| 132   |          | Refinance Short-Term Debt  | Refinancing short-term local debt obligations (i.e., bond anticipatory notes (BANs)). Local debt obligations refers to non-DWSRF debt. Replacement of an interim DWSRF construction loan with permanent DWSRF financing is covered under Executed Loan Commitments.  |
| 133   |          | Refinance Long-Term Debt   | Refinancing long-term local debt obligations, not DWSRF debt.  |
| 134   |          | Guarantee or Purchase Insurance  | Guarantee or purchase insurance for local (non-DWSRF) debt obligations.  |
| <b>Assistance by Population Size (Dollars)</b>  |          |  |  |
| 137-141   |          | Amount of DWSRF assistance provided during the reporting period to fund projects serving each of the population size categories (Less than 501; 501 to 3,300; 3,301 to 10,000; 10,001 to 100,000; 100,001 and above).        |  |
| <b>Assistance by Population Size (Number of Assistance Agreements)</b>  |          |  |  |
| 144-148   |          | Number of DWSRF assistance agreements made during the reporting period to fund projects serving each of the population size categories (Less than 501; 501 to 3,300; 3,301 to 10,000; 10,001 to 100,000; 100,001 and above). |  |

| Line #   | Category | Field Name                  | Definition   |
|--|----------|-----------------------------|--|
| <b>Drinking Water System Project Assistance (Dollars in Each Category)</b>   |          |                             |  |
| <i>The total dollar amount of DWSRF assistance provided (i.e., executed loans) for the following activities during the reporting period (excludes 1452(k) loan activities). Divide project costs between categories as appropriate. Ensure that the total dollar amount across these categories equals the total dollar amount of assistance provided (in line 118). Planning and design costs for construction projects are included within construction costs.</i> |          |                             |  |
| 151  |          | Planning and Design Only    | Project assistance for planning and design costs only. Assistance provided for a combined planning, design, and construction project should all reported under the appropriate construction category(ies) below. |
|  |          | Construction                |  |
| 152  |          | Treatment                   | Includes any of the following: disinfection, filtration, waste handling and treatment, other treatment needs (i.e., GAC, aeration, iron/manganese removal), and chemical storage tanks.                          |
| 153  |          | Transmission & Distribution | Includes any of the following: raw and finished water transmission, service lines, valves, backflow prevention, water meters, and/or pumping stations.   |
| 154  |          | Source                      | Includes any of the following: wells, wellhead pumps, and surface water intakes.   |
| 155  |          | Storage                     | Includes any of the following: elevated and ground level storage for finished/treated water and covers for existing storage.   |
| 156  |          | Purchase of Systems         | Includes any of the following: all of the eligible costs funded by the DWSRF to purchase systems, for example as part of consolidation/regionalization.  |
| 157  |          | Restructuring               | The costs associated with changes in organizational structure, management, accounting, rates, or other procedures conducted in order to meet technical, financial, and managerial requirements.                  |
| 158  |          | Land Acquisition            | Includes all of the eligible costs funded by the DWSRF to acquire land.  |
| 159  |          | Other                       | Any other assistance costs that cannot be classified into the categories above.  |
| <b>Drinking Water System Project Assistance (Number in Each Category)</b>  |          |                             |  |
| <i>The total number of DWSRF assistance agreements made for each of the following activities during the reporting period (excludes 1452(k) loan activities). Assistance agreements may be counted in more than one category if they fund more than one category.</i>   |          |                             |  |
| 162  |          | Planning and Design Only    | Assistance agreements for planning and design only projects. Combined planning, design, and construction projects should all be reported under the appropriate construction category(ies) below.                 |
|  |          | Construction                |  |
| 163  |          | Treatment                   | Includes any of the following: disinfection, filtration, waste handling and treatment, other treatment needs (i.e., GAC, aeration, iron/manganese removal), and chemical storage tanks.                          |
| 164  |          | Transmission & Distribution | Includes any of the following: raw and finished water transmission, service lines, valves, backflow prevention, water meters, and/or pumping stations.   |
| 165  |          | Source                      | Includes any of the following: wells, wellhead pumps, and surface water intakes.   |
| 166  |          | Storage                     | Includes any of the following: elevated and ground level storage for finished/treated water and covers for existing storage.   |
| 167  |          | Purchase of Systems         | Assistance agreements to purchase systems, for example as part of consolidation/regionalization.   |
| 168  |          | Restructuring               | Assistance agreements to change organizational structure, management, accounting, rates, or other procedures conducted in order to meet technical, financial, and managerial requirements.                       |
| 169  |          | Land Acquisition            | Includes assistance agreements that include land acquisition.  |
| 170  |          | Other                       | Any other assistance agreements that can not be classified into the categories above.  |

| Line #  | Category | Field Name  | Definition  |
|---|----------|---|---|
| <b>Number of Projects Funded</b>  |          |   |   |
| 173   |          | Annual Number of Projects Receiving Assistance                      | Number of projects receiving DWSRF assistance during the reporting period, as a result of the assistance agreements (i.e., executed loans). Multiple assistance agreements related to a project with a common scope and purpose (including phased projects) should be counted as one project at the time the first assistance agreement is reported. One assistance agreement may include more than one project as ranked on a state priority list. |
| <b>DWSRF Project Starts</b>   |          |   |   |
| <i>The start of a DWSRF assisted project is defined as the date of issuance to a contractor of a notice to proceed for the initial DWSRF-funded contract or, if a notice to proceed is not required, the date of execution of the initial DWSRF funded contract awarded for the project. Includes only the portion financed with DWSRF funds. For refinance activities, project start amounts are reported in the period the assistance agreement was signed.</i> |          |   |   |
| 175   |          | Annual Dollar Amount  | Total DWSRF assistance provided for DWSRF-funded activities starting during the reporting period (includes assistance for refinancing).   |
| 177   |          | Annual Number of Assistance Agreements                              | Total number of DWSRF assistance agreements for DWSRF-funded activities starting during the reporting period (includes assistance for refinancing).   |
| <b>DWSRF Project Completion</b>   |          |   |   |
| <i>Project completion is defined as the date when the DWSRF funded project is complete for the purposes for which it was undertaken and operations are initiated or capable of being initiated. Includes only the portion financed with DWSRF funds. For refinance projects, project completion amounts are reported as the latter of the period construction was completed or the assistance agreement was signed.</i>   |          |   |   |
| 179   |          | Annual Dollar Amount  | Total dollar amount of DWSRF assistance provided for DWSRF-funded activities completed during the reporting period (includes assistance for refinancing).   |
| 181   |          | Annual Number of Assistance Agreements                              | Total number of DWSRF assistance agreements for DWSRF-funded activities that were completed during the reporting period (includes assistance for refinancing).  |
| 183   |          | Number of Projects Completed  | Number of projects receiving DWSRF assistance for DWSRF-funded activities completed during the reporting period.  |
| <b>Assistance to Disadvantaged Communities</b>  |          |   |   |
| 185   |          | Annual Dollar Amount of Assistance                                  | Total dollar amount of DWSRF assistance (i.e., executed loan commitments) provided during the reporting period to disadvantaged communities (disadvantaged assistance as defined by the state).   |
| 187   |          | Annual Number of Assistance Agreements                              | Total number of DWSRF assistance agreements made during the reporting period to disadvantaged communities (disadvantaged assistance as defined by the state).   |
| 189   |          | Annual Dollar Amount of Assistance with Principal Forgiveness       | Total dollar amount of assistance to disadvantaged communities that includes a principal subsidy or a subsidy from a negative interest rate loan. Report the total loan amount, including the amount of principal forgiveness or negative interest.   |
| 191   |          | Annual Dollar Amount of Principal Forgiveness Provided              | Total dollar amount of principal subsidy provided for the disadvantaged communities receiving assistance with principal forgiveness or negative interest rate during the reporting period. Report only the total dollar amount of principal forgiveness or negative interest (not the total dollar amount of assistance).   |
| 193   |          | Number of Assistance Agreements with Principal Forgiveness          | Number of DWSRF assistance agreements that include principal forgiveness made to disadvantaged communities.   |
| 195   |          | Dollar Amount of Assistance with Greater than 20-Year Repayment     | Total dollar amount of DWSRF assistance provided to disadvantaged communities which will be repaid over more than 20 years.   |
| 197   |          | Number of Assistance Agreements with Greater than 20-Year Repayment | Total number of DWSRF assistance agreements to disadvantaged communities which will be repaid over more than 20 years.  |
| 199   |          | Population Served by Disadvantaged Communities Receiving Assistance | Population served by the disadvantaged communities receiving DWSRF assistance (as defined by the state and reported in line 185).   |

| Line #   | Category | Field Name  | Definition  |
|--|----------|---|---|
| <b>Assistance for System Compliance</b>  |          |   |   |
| 201  |          | Annual Dollar Amount                              | Total DWSRF assistance provided during the reporting period to bring systems out of compliance (including SNCs) into compliance with health based standards of the Safe Drinking Water Act requirements.            |
| 203  |          | Annual Number of Systems                          | Total number of systems out of compliance receiving DWSRF assistance to come into compliance with the Safe Drinking Water Act requirements.   |
| 205  |          | Annual Population Served                          | Total population served during the reporting period by systems out of compliance receiving DWSRF assistance to come into compliance with the Safe Drinking Water Act requirements.                                  |
| <b>Assistance to Private Systems</b>   |          |   |   |
| 207  |          | Annual Dollar Amount                              | Total DWSRF assistance provided to privately-owned systems during the reporting period. Examples of private owners include subdivisions, investors, trusts, cooperatives, and water associations.                   |
| 209  |          | Annual Number of Assistance Agreements            | Number of DWSRF assistance agreements made during the reporting period to privately-owned systems.  |
| <b>Assistance to Systems by Type</b>   |          |   |   |
| 211  |          | Annual Number of Community Systems                | Total number of community systems receiving DWSRF assistance during the reporting period (includes newly created systems).  |
| 213  |          | Annual Number of Non-Community Systems            | Total number of non-community systems receiving DWSRF assistance during the reporting period.   |
| 215  |          | Annual Population Served by Community Systems     | Population served by community systems receiving DWSRF assistance during the reporting period.  |
| 217  |          | Annual Population Served by Non-Community Systems | Population served by non-community systems receiving DWSRF assistance during the reporting period.  |
| <b>Assistance for the Creation of New Systems</b>  |          |   |   |
| <i>The numbers in this section should only reflect assistance that results in the creation of new systems. These numbers are a sub-set of the total project assistance provided by the DWSRF.</i>                              |          |   |   |
| 219  |          | Annual Dollar Amount                              | Total DWSRF assistance provided to create new systems during the reporting period.  |
| 221  |          | Annual Number of Assistance Agreements            | Total number of DWSRF assistance agreements made to create new systems during the reporting period.   |
| <b>Assistance for the Consolidation of Systems</b>   |          |   |   |
| <i>The numbers in this section should only reflect assistance that results in the consolidation or regionalization of existing systems. These numbers are a sub-set of the total project assistance provided by the DWSRF.</i> |          |   |   |
| 223  |          | Annual Dollar Amount                              | Total DWSRF assistance provided to consolidate/regionalize existing systems during the reporting period.  |
| 225  |          | Annual Number of Assistance Agreements            | Total number of DWSRF assistance agreements made to consolidate/regionalize existing systems during the reporting period.   |
| 227  |          | Annual Number of Systems Eliminated               | Number of systems eliminated through consolidation/regionalization during the reporting period.   |
| <b>Assistance to Indian Tribes</b>   |          |   |   |
| 229  |          | Annual Dollar Amount                              | Total DWSRF assistance provided to Indian tribes during the reporting period. Includes Indian tribes on reservations, Indian tribes in Oklahoma not on reservations, and Alaska native villages.                    |
| 231  |          | Annual Number of Assistance Agreements            | Total number of DWSRF assistance agreements made with Indian tribes during the reporting period. Includes Indian tribes on reservations, Indian tribes in Oklahoma not on reservations, and Alaska native villages. |

| Line #   | Category | Field Name   | Definition   |
|--|----------|--|--|
| <b>Fund Information</b>  |          |  |  |
| <b>Leveraged Bonds (Excludes State Match)</b>  |          |  |  |
| <i>Leveraged bonds are bonds for which funds within the DWSRF provide the source of debt service support or security. Does not include those bonds issued to meet the state match requirement or bonds issued to fund a separate or adjunct state grant or loan program.</i> |          |  |  |
| 233  |          | Gross Leveraged Bonds Issued - Annual  | Gross amount of DWSRF leveraged bonds issued by the state during the reporting period. Capital appreciation (zero coupon) bonds are reported as the par amount received at time of issuance. Does not include the amount of bonds issued to refund previously issued leveraged bonds.  |
| 234  |          | Net Leveraged Bonds Issued - Annual  | A. Gross amount of DWSRF leveraged bonds issued by the state during the reporting period adjusted for the following transactions:<br>1. plus or minus any original issue premium or discount;<br>2. less bond proceeds set aside for capitalized interest; and<br>3. less expenses related to bond issuance except those charged against DWSRF administrative expenses (i.e., costs of issuance, bond insurance, bond underwriter's discount, legal fees, prepaid interest, and other costs incidental to bond issuance).<br>B. Net bonds includes amounts issued to fund a debt service reserve. Debt service reserve amounts are reported separately.<br>C. Net bonds does not include the amount of bonds issued to refund previously issued leveraged bonds. |
| 235  |          | Cost of Leveraged Bond Issuance - Annual   | Expenses related to gross bonds issued except those charged against DWSRF administrative expenses (i.e., costs of issuance, bond insurance, bond underwriter's discount, legal fees, prepaid interest, and other costs incidental to bond issuance). Does not include issuance costs for refunding bonds.  |
| 236  |          | Leveraged Bond Principal Repaid - Annual   | Dollar amount of DWSRF leveraged bonds called or repaid using DWSRF funds during the reporting period (i.e., principal repaid on the bonds including amounts deposited in escrow to repay term bonds). Excludes accreted amounts paid on maturing capital appreciation (zero coupon) bonds. Excludes bond principal repaid or advance refunded using refunding bond proceeds.  |
| 238  |          | Debt Service Reserve for Leveraged Bonds - Balance at End of Reporting Period        | Dollar amount of funds in the DWSRF debt service reserve to secure outstanding DWSRF leveraged bonds, balance at the end of the reporting period.  |
| 239  |          | Net Change in Gross Bonds Resulting From Refunding - Annual                          | Gross amount of refunding bonds issued less amount of bonds refunded.  |
| 240  |          | DWSRF Funds Used for Refunding (Excludes Bonds) - Annual                             | Any additional DWSRF funds (other than refunding bonds) used to complete a bond refunding (i.e., DWSRF funds used to supplement deposits in escrow accounts).  |
| <b>State Match Bonds to be Repaid by DWSRF Fund</b>  |          |  |  |
| 249  |          | Match Bond Principal Repaid - Annual   | Dollar amount of DWSRF state match bonds called or repaid using DWSRF funds during the reporting period (i.e., principal repaid on the bonds including amounts deposited in escrow to repay term bonds). Excludes accreted amounts paid on maturing capital appreciation (zero coupon) bonds. Excludes bond principal repaid or advance refunded using refunding bond proceeds.  |
| <b>Interest Paid on Leveraged and Match Bonds</b>  |          |  |  |
| 253  |          | Total Interest Paid from Capitalized Interest Account and Other DWSRF Funds - Annual | Dollar amount of direct interest expense related to the leveraged and state match bond debt service paid using DWSRF funds including amounts paid from the capitalized interest account and from other DWSRF funds during the reporting period (i.e., interest payments on the bonds). Includes accreted amounts paid on maturing capital appreciation (zero coupon) bonds. Excludes interest paid from an escrow account to advance refund bonds.   |
| 254  |          | Interest Paid from a Capitalized Interest Account - Annual                           | Dollar amount of interest paid on leveraged and state match bonds during the reporting period that is paid from a capitalized interest account funded from bond proceeds.  |

| Line #  | Category | Field Name  | Definition  |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
|---|----------|---|---|--|---|----------------------|---|--------------------------------|--------------|--|----|--|-----------|------------|--|----|--|---------|---------------|--|--|--|-----------|
| <b>DWSRF Project Assistance Disbursed</b>   |          |   |   |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| 257   |          | Annual DWSRF Fund Disbursements (Excludes 1452(k) Loans)          | Total dollar amount of DWSRF assistance that was disbursed (as opposed to committed) from the DWSRF Fund to assistance recipients for projects during the reporting period. Includes all types of assistance for projects (i.e., loans, refinancing, guarantee of or purchase insurance for local debt). Does not include set-aside expenditures or 1452(k) loan disbursements. |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| 259   |          | Annual 1452(k) Loan Disbursements                                 | Dollar amount of 1452(k) loan funds that were disbursed (as opposed to committed) to assistance recipients for projects during the reporting period. These disbursements are not counted in total DWSRF Fund assistance disbursements.  |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| <b>DWSRF Loans - All Loans Except 1452(k) Loans Maintained in a Separate Account</b>  |          |   |   |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| 261   |          | Number of Projects Initiating Principal Repayments                | Number of projects receiving DWSRF assistance, except for 1452(k) loans, that initiated repayments to the DWSRF during the reporting period.  |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| 263   |          | Principal Repayments - Annual                                     | Dollar amount of the principal portion of DWSRF assistance that was repaid to the DWSRF during the reporting period, except for 1452(k) loans that are maintained in a separate account. Excludes the dollar amount of interim construction loans that are paid-off with/converted to permanent DWSRF financing.  |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| 264   |          | Interest Payments - Annual  | Dollar amount of interest paid on DWSRF assistance that was received by the DWSRF during the reporting period, except for 1452(k) loans that are maintained in a separate account.  |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| 269   |          | Weighted Average Interest Rate on Executed Loan Agreements        | Weighted average of the interest rate charged on DWSRF assistance provided during the reporting period, except for separate 1452(k) loans. See example below:   |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| <b>Example:</b>   |          |   |   |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| <table border="0"> <thead> <tr> <th style="text-align: left;"><u>Dollar Amount of Assistance Agreements for each interest rate</u></th> <th style="text-align: center;">x</th> <th style="text-align: center;"><u>Interest Rate</u></th> <th style="text-align: center;">=</th> <th style="text-align: center;"><u>Dollar x Percent Weight</u></th> </tr> </thead> <tbody> <tr> <td style="text-align: right;">\$30,000,000</td> <td></td> <td style="text-align: center;">4%</td> <td></td> <td style="text-align: right;">1,200,000</td> </tr> <tr> <td style="text-align: right;">10,000,000</td> <td></td> <td style="text-align: center;">2%</td> <td></td> <td style="text-align: right;">200,000</td> </tr> <tr> <td style="text-align: right;"><b>Total:</b></td> <td></td> <td></td> <td></td> <td style="text-align: right;">1,400,000</td> </tr> </tbody> </table> |          |   |   | <u>Dollar Amount of Assistance Agreements for each interest rate</u> | x | <u>Interest Rate</u> | = | <u>Dollar x Percent Weight</u> | \$30,000,000 |  | 4% |  | 1,200,000 | 10,000,000 |  | 2% |  | 200,000 | <b>Total:</b> |  |  |  | 1,400,000 |
| <u>Dollar Amount of Assistance Agreements for each interest rate</u>  | x        | <u>Interest Rate</u>  | =   | <u>Dollar x Percent Weight</u>                                       |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| \$30,000,000  |          | 4%  |   | 1,200,000  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| 10,000,000  |          | 2%  |   | 200,000  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| <b>Total:</b>   |          |   |   | 1,400,000  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| <b>Weighted Average Interest Rate = (\$1,400,000 ÷ \$40,000,000) x 100 = 3.5%</b>   |          |   |   |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| 270   |          | State Market Interest Rate  | Average state market interest rate during the reporting period for typical DWSRF borrowers, used as a basis for setting loan interest rates by the state in order to meet the requirement that assistance be provided between 0% and market rate.   |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| <b>DWSRF 1452(k) Loans - Separately Maintained 1452(k) Loans only</b>   |          |   |   |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| 271   |          | Principal Repayments - Annual                                     | Dollar amount of the principal portion of 1452(k) loans that was repaid to a separate 1452(k) loan account during the reporting period, for separately maintained 1452(k) loans only.   |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| 272   |          | Interest Payments - Annual  | Dollar amount of interest paid on 1452(k) loans that was received by the 1452(k) loan account during the reporting period, for separately maintained 1452(k) loans only.  |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| 277   |          | Weighted Average Interest Rate on 1452(k) Loans                   | Weighted average of the interest rate charged on 1452(k) assistance provided during the reporting period, for separately maintained 1452(k) loans only. See example above.  |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| <b>Interest Earnings on Investments</b>   |          |   |   |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| 278   |          | Annual Interest Earnings on Investments in DWSRF Fund             | Dollar amount of interest earned on all invested DWSRF funds during the reporting period. Do not include interest received on separately maintained 1452(k) fund investments.   |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| 280   |          | Annual Interest Earnings on 1452(k) Loan Account Investments      | Dollar amount of interest earned on invested 1452(k) loan account funds that are separately maintained during the reporting period.   |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| <b>Fees Charged on DWSRF Assistance</b>   |          |   |   |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| 282   |          | Annual Income from Fees Included in Loans                         | Dollar amount of income received from fees that are included in the principal amount of loans.  |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| 283   |          | Annual Income from Fees Not Included in Loans                     | Dollar amount of income received from fees that are not included in the principal amount of loans.  |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| 284   |          | Annual Interest Earnings from Fee Accounts                        | Dollar amount of interest earned on fees charged on DWSRF assistance deposited in fee account(s) outside of the DWSRF Fund.   |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| <b>Expenses Paid from DWSRF Fee Accounts</b>  |          |   |   |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| 287   |          | Annual Expenses Paid from Fee Account to Administer DWSRF Fund    | Dollar amount of expenses paid from the fee account during the reporting period to administer the DWSRF program.  |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| 289   |          | Annual Amount Paid from Fee Account for State Match               | Dollar amount of expenses paid from the fee account during the reporting period to meet state match requirements.   |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| 291   |          | Annual Expenses Paid from Fee Account for Other Eligible Purposes | Dollar amount of expenses paid from the fee account during the reporting period for other eligible DWSRF purposes.  |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| <b>DWSRF Administrative Expenses Paid from Funds Other than DWSRF or Fees</b>   |          |   |   |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |
| 293   |          | Annual Other State Funded Administrative Expenses                 | Dollar amount of administrative expenses paid from other state funds (not DWSRF or fees) to administer the DWSRF program during the reporting period.   |  |   |                      |   |                                |              |  |    |  |           |            |  |    |  |         |               |  |  |  |           |



| Line #  | Category | Field Name  | Definition   |
|---|----------|---|--|
| <b>Other Drinking Water Programs</b>  |          |   |  |
| <b>Coordinated DWSRF Funding with Other State or Federal Funding Sources</b>  |          |   |  |
| 295   |          | Amount of Coordinated Funding                                       | Total dollar amount of coordinated assistance provided by the DWSRF Fund and other federal and/or state sources during the reporting period.           |
| 297   |          | Number of Assistance Agreements Receiving Coordinated DWSRF Funding | Number of assistance agreements receiving coordinated assistance from the DWSRF and other federal and/or state sources during the reporting period.    |
| 299   |          | DWSRF Portion of Coordinated Funding                                | Dollar amount of DWSRF assistance provided in coordination with other federal and/or state sources of coordinated funding during the reporting period. |
| <b>State Funded Drinking Water Loan Programs (Separate from DWSRF - Similar Eligibilities)</b>  |          |   |  |
| <i>Amount of loans provided from a state funded and operated drinking water loan program that is separate from the DWSRF program. Includes state drinking water loan programs with eligibilities similar to those of the DWSRF program.</i>       |          |   |  |
| 301   |          | Dollar Amount of Loans  | Dollar amount of state funded loans with eligibilities similar to the DWSRF provided during the reporting period.                                      |
| 303   |          | Number of Loans   | Number of state funded loans with eligibilities similar to the DWSRF provided during the reporting period.   |
| <b>State Funded Drinking Water Grant Programs (Separate from DWSRF - Similar Eligibilities)</b>   |          |   |  |
| <i>Amount of grants provided from a state funded and operated drinking water grant program that is separate from the DWSRF program. Includes state drinking water grant programs with eligibilities similar to those of the DWSRF program.</i>    |          |   |  |
| 305   |          | Dollar Amount of Grants   | Dollar amount of state funded grants with eligibilities similar to the DWSRF provided during the reporting period.                                     |
| 307   |          | Number of Grants  | Number of state funded grants with eligibilities similar to the DWSRF provided during the reporting period.  |
| <b>State Funded Drinking Water Loan Programs (Separate from DWSRF - Dissimilar Eligibilities)</b>   |          |   |  |
| <i>Amount of loans provided from a state funded and operated drinking water loan program that is separate from the DWSRF program. Includes state drinking water loan programs with eligibilities dissimilar to those of the DWSRF program.</i>    |          |   |  |
| 313   |          | Dollar Amount of Loans  | Dollar amount of state funded loans with eligibilities dissimilar to the DWSRF provided during the reporting period.                                   |
| 315   |          | Number of Loans   | Number of state funded loans with eligibilities dissimilar to the DWSRF provided during the reporting period.  |
| <b>State Funded Drinking Water Grant Programs (Separate from DWSRF - Dissimilar Eligibilities)</b>  |          |   |  |
| <i>Amount of grants provided from a state funded and operated drinking water grant program that is separate from the DWSRF program. Includes state drinking water grant programs with eligibilities dissimilar to those of the DWSRF program.</i> |          |   |  |
| 317   |          | Dollar Amount of Grants   | Dollar amount of state funded grants with eligibilities dissimilar to the DWSRF provided during the reporting period.                                  |
| 319   |          | Number of Grants  | Number of state funded grants with eligibilities dissimilar to the DWSRF provided during the reporting period.   |

| Line #                          | Category | Field Name            | Definition   |
|---------------------------------|----------|-----------------------|--|
| <b>DWSRF Agency Information</b> |          |                       |  |
| <b>Lead State Agency</b>        |          |                       |  |
| 325                             |          | Lead Agency Name      | Name of the state agency that receives the federal DWSRF capitalization grant.   |
| 326                             |          | Type of Agency        | Type of lead state agency (i.e., environmental, health or financial).  |
| 327-329                         |          | Mailing Address       | Mailing address for the lead state agency (number, street, or P.O. Box, city, zip code), if different than the street address.     |
| 330-332                         |          | Street Address        | Street address for the lead state agency (number, street, building, suite number, city, zip code).                                 |
| 333                             |          | Director              | Name of the director of the lead state agency.   |
| 334                             |          | Director's Title      | Title of the director of the lead state agency.  |
| 335                             |          | Phone Number          | Telephone number of the lead state agency director.  |
| 336                             |          | Fax Number            | Fax number of director within the lead state agency for the DWSRF program.   |
| 337                             |          | E-mail Address        | E-mail address of director within the lead state agency for the DWSRF program.   |
| 338                             |          | Contact Person        | Name of the contact person within the lead state agency for the DWSRF program.   |
| 339                             |          | Phone Number          | Telephone number of the contact person within the lead state agency for the DWSRF program.   |
| 340                             |          | Fax Number            | Fax number of contact person within the lead state agency for the DWSRF program.   |
| 341                             |          | E-mail Address        | E-mail address of contact person within the lead state agency for the DWSRF program.   |
| <b>Secondary Agency</b>         |          |                       |  |
| 342                             |          | Secondary Agency Name | Name of the secondary state agency involved with the DWSRF program, if any.  |
| 343                             |          | Type of Agency        | Type of secondary state agency (i.e., environmental, health or financial).   |
| 344-346                         |          | Mailing Address       | Mailing address of the secondary state agency (number, street, or P.O. Box, city, zip code), if different than the street address. |
| 347-349                         |          | Street Address        | Street address of the secondary state agency (number, street, building, suite number, city, zip code).                             |
| 350                             |          | Director              | Name of the director of the secondary state agency.  |
| 351                             |          | Director's Title      | Title of the director of the secondary state agency.   |
| 352                             |          | Phone Number          | Telephone number of the secondary state agency director.   |
| 353                             |          | Fax Number            | Fax number of director within the secondary state agency.  |
| 354                             |          | E-mail Address        | E-mail address of director within the secondary state agency.  |
| 355                             |          | Contact Person        | Name of the contact person within the secondary state agency for the DWSRF program.  |
| 356                             |          | Phone Number          | Telephone number of the contact person within the secondary state agency for the DWSRF program.                                    |
| 357                             |          | Fax Number            | Fax number of contact person within the secondary state agency for the DWSRF program.  |
| 358                             |          | E-mail Address        | E-mail address of contact person within the secondary state agency for the DWSRF program.  |
| <b>Other Agency</b>             |          |                       |  |
| 359                             |          | Other Agency Name     | Name of other state agency or state agency representative involved with the DWSRF program, if any.                                 |
| 360                             |          | Type of Agency        | Type of other state agency (i.e., environmental, health or financial) or state agency representative.                              |
| 361-363                         |          | Mailing Address       | Mailing address of the other state agency (number, street, or P.O. Box, city, zip code), if different than the street address.     |
| 364-366                         |          | Street Address        | Street address of the other state agency (number, street, building, suite number, city, zip code).                                 |
| 367                             |          | Director              | Name of the director of the other state agency.  |
| 368                             |          | Director's Title      | Title of the director of the other state agency.   |
| 369                             |          | Phone Number          | Telephone number of the other state agency director.   |
| 370                             |          | Fax Number            | Fax number of director within the other state agency.  |
| 371                             |          | E-mail Address        | E-mail address of director within the other state agency.  |
| 372                             |          | Contact Person        | Name of the contact person for the DWSRF program within the other state agency.  |
| 373                             |          | Phone Number          | Telephone number of the contact person for the DWSRF program within the other state agency.  |
| 374                             |          | Fax Number            | Fax number of the contact person for the DWSRF program within the other state agency.  |
| 375                             |          | E-mail Address        | E-mail address of the contact person for the DWSRF program within the other state agency.  |