

**Clean Water SRF Program**  
**Data Definitions for the National Information Management System**

<u>Data Element</u>	<u>Definition</u>
Administrative Expenses Paid from the CWSRF	Administrative expenses paid from the CWSRF to administer the CWSRF program.
Administrative Expenses Paid Outside the CWSRF	Administrative expenses paid from sources outside the CWSRF to administer the CWSRF program.
Binding Commitments	Actual CWSRF binding commitments for CWSRF assistance. (See definition for CWSRF assistance.) A binding commitment for a project is defined as a legal obligation by the State to an assistance recipient that defines the terms and timing for assistance from the CWSRF. In some States, the binding commitment and loan execution occur at the same time. Does not include administrative expenses.
Construction Starts	The start of construction is defined as the date of issuance to a contractor of a notice to proceed for the initial CWSRF funded contract or, if a notice to proceed is not required, the date of execution of the initial CWSRF funded contract awarded for the project. Includes only the portion financed with CWSRF funds. For refinance projects, construction start amounts are reported either in the year in which the CWSRF assistance agreement for the project is signed or in the year in which construction started, whichever is later, even if construction began prior to the date of the CWSRF assistance agreement. Refinance projects are those where non-CWSRF financing was initially used, and CWSRF funding was subsequently provided to pay-off the non-CWSRF financing.
Cost of Leveraged Bond Issuance	Expenses related to gross bonds issued except those charged against CWSRF administrative expenses (i.e., costs of issuance, bond issuance, bond underwriter's discount, legal fees, prepaid interest, and other costs incidental to bond issuance). Does not include issuance costs for refunding bonds.
CWSRF Assistance	CWSRF funds provided to municipalities, intermunicipal, interstate, or State agencies for the construction of publicly owned wastewater treatment works as defined in section 212 of the Clean Water Act; for implementation of a nonpoint source pollution control management program under section 319 of the Act; and for development and implementation of an estuary conservation and management plan under section 320 of the Act. CWSRF assistance consists of the portion of a project's cost that is financed with CWSRF funds. CWSRF assistance is the amount of the contractual obligation between the State and the community and may include capitalized interest and contingencies. CWSRF assistance amounts are based on the loan execution amount unless the final loan amount is known. An individual assistance action is the original scope of work in the assistance agreement for the portion of the project funded with CWSRF monies plus any minor additions. Major changes in scope are counted as additional assistance actions.
CWSRF Funds Used for Refunding	Any additional CWSRF funds (other than refunding bonds) used to complete a bond refunding (e.g., CWSRF funds used to supplement deposits in escrow accounts.) Does not include refunding bonds.
Debt Service Reserve	Amount of funds in the CWSRF debt service reserve account to secure outstanding CWSRF leveraged bonds. (See definition for leveraged bonds.)

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Disbursements	See definition for project assistance disbursed.
EPA's Rural Community Hardship Grants Program	EPA's Rural Community Hardship Grants Program was funded with \$50 million under the 1996 Congressional Appropriations Act.
Estuary Assistance	CWSRF assistance provided for the development and implementation of estuary conservation and management plans established under the Clean Water Act, section 320. (See definition for CWSRF assistance.)
Estuary Impact	CWSRF assistance reported under section 212 or section 319 of the Clean Water Act that will benefit estuaries
Federal Fiscal Year	The Federal fiscal year which runs from October 1 to September 30 (e.g., Federal fiscal year 1999 runs from October 1, 1998 to September 30, 1999).
Grant award	Total amount of CWSRF capitalization grants (CWA Title VI funds and Title II transfers) awarded in the Federal fiscal year.
Grant award date	Date of the last CWSRF capitalization grant or amendment awarded to the State in the Federal fiscal year.
Gross Leveraged Bonds Issued	Gross amount of CWSRF leveraged bonds issued by the State. (See definition for leveraged bonds.) Capital appreciation (zero coupon) bonds are reported as the par amount received at the time of issuance. Does not include the amount of bonds issued to refund previously issued leveraged bonds.
Guarantee	CWSRF assistance that provides a guarantee for local debt obligations to improve credit market access or reduce interest rates. (See definition for CWSRF assistance.)
Hardship Community Assistance	CWSRF assistance provided to (economic) hardship communities (as defined by the State). (See definition for CWSRF assistance.) Excludes grant funds provided to communities under EPA's Rural Community Hardship Grants Program even if that assistance is provided in combination with CWSRF assistance.
Indian Tribe Assistance	CWSRF assistance provided to Indian Tribes. Includes Indian Tribes on reservations, Indian Tribes in Oklahoma not on reservations, and Alaska Native Villages. (See definition for CWSRF assistance.)
Initiation of Operations	Initiation of operations is defined as the date when the CWSRF funded project comes into operation or becomes capable of operation for the purposes for which it was planned, designed, and built. Includes only the portion financed with CWSRF funds. For refinance projects, initiation of operation amounts are reported either in the year in which the CWSRF assistance agreement for the project is signed or in the year in which operations are initiated, whichever is later, even if initiation of operations began prior to the date of the CWSRF assistance agreement. Refinance projects are those where non-CWSRF financing was initially used, and CWSRF funding was subsequently provided to pay off the non-CWSRF financing.

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Interest Earnings on Investments	Interest earned on all invested CWSRF funds net of any amount rebated to the IRS. Does not include interest earned on CWSRF loans. Does not include earnings on an escrow account to advance refund leveraged or match bonds.
Interest Paid from a Capitalized Interest Account	Interest paid on leveraged and State match bonds that is paid from a capitalized interest account funded from bond proceeds.
Interest Paid on Leveraged and Match Bonds - Total	Amount of interest and other direct expenses incurred on leveraged and State match bonds using CWSRF funds. Includes amounts paid from the capitalized interest account and from other CWSRF funds (e.g., 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.
Lead State Agency	The State agency that receives the Federal CWSRF capitalization grant.
Leveraged Bond Principal Repaid	Amount of CWSRF leveraged bonds called or repaid using CWSRF funds (i.e., principal repaid on the bonds including amounts deposited in escrow to repay term bonds). (See definition for leveraged bonds.) Excludes accreted amounts paid
Leveraged Bonds	Leveraged bonds are bonds for which funds within the CWSRF provide the source of revenue 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.
Loan Interest Payments	Interest on CWSRF loans that has been paid to the CWSRF.
Loan Principal Repayments	Principal portion of CWSRF loans that has been repaid to the CWSRF. Does not include any amounts of interim construction loans that are rolled in permanent financing during the period. Principal repayments on permanent financing are included in the period in which received by the CWSRF. Does not include any amounts of previously issued CWSRF loans that have been called and reissued by the CWSRF as a result of a refunding of CWSRF leveraged bonds.
Loans	CWSRF assistance provided in the form of a loan, with repayment over a period of up to 20 years from project completion and an interest rate set at between 0% and the market rate. (See definition for CWSRF assistance.) Includes any differences in loan amounts that resulted from replacing an interim CWSRF construction loan with permanent CWSRF financing in the year in which the change occurs.
Net Change in Gross Bonds Resulting from Refunding	Gross amount of refunding bonds issued less amount of bonds refunded.
Net Funds Transferred	Net amount of funds transferred between the CWSRF and the DWSRF.

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Net Leveraged Bonds Issued	<p>A. Gross amount of CWSRF leveraged bonds issued by the State during the reporting period adjusted for the following transactions:</p> <ol style="list-style-type: none"> <li>1. <b>plus or minus</b> any original issue premium or discount;</li> <li>2. <b>less</b> bond proceeds set aside for capitalized interest; and</li> <li>3. <b>less</b> expenses related to bond issuance except those charged against CWSRF administrative expenses (i.e., costs of issuance, bond insurance, bond underwriter's discount, legal fees, prepaid interest, and other costs incidental to bond issuance).</li> </ol> <p>B. Net bonds includes amounts issued to fund a debt service reserve. Debt service reserve amounts are reported separately.</p> <p>C. Net bonds does not include the amount of bonds issued to refund previously issued leveraged bonds.</p>
Nonpoint Source Assistance	<p>CWSRF assistance provided for the implementation of nonpoint source pollution control management programs established under the Clean Water Act, section 319. (See definition for CWSRF assistance.) Categories Consist of assistance consist of:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Category VII-A - nonpoint source pollution control activities related to agricultural activities such as plowing, pesticide spraying, irrigation, fertilizing, planting, and harvesting</li> <li><input type="checkbox"/> Category VII-B - nonpoint source pollution control activities related to agricultural activities associated with animal production, such as confined animal facilities and grazing.</li> <li><input type="checkbox"/> Category VII-C - nonpoint source pollution control activities related to forestry activities, such as removal of streamside vegetation, road construction and use, timber harvesting, and mechanical preparation for the planting of trees.</li> <li><input type="checkbox"/> Category VII-D - nonpoint source pollution control activities related to new or existing development in urban or rural settings, such as erosion, sedimentation, and discharge of pollutants (e.g., inadequately treated wastewater, oil, grease, road salts, and toxic chemicals) into water resources from construction sites, roads, bridges, parking lots, and buildings</li> <li><input type="checkbox"/> Category VII-E - nonpoint source pollution control activities related to ground water protection such as wellhead and recharge area protection activities. Any activity that can be attributed to a specific cause of ground water pollution, such as leaking storage tanks, soil contamination in a brownfield, or leachate from a sanitary landfill, are included in that more specific category.</li> <li><input type="checkbox"/> Category VII-F - nonpoint source pollution control activities related to boating and marinas, such as poorly flushed waterways, boat maintenance activities, discharge of sewage from boats, and the physical alteration of shoreline, wetlands, and aquatic habitat during the construction and operation of marinas.</li> <li><input type="checkbox"/> Category VII-G - nonpoint source pollution control activities related to mining and quarrying activities</li> </ul>

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	<ul style="list-style-type: none"> <li><input type="checkbox"/> Category VII-H - nonpoint source pollution control activities related to abandoned, idle, and underused industrial sites. All pollution control activities at these sites are included in this category, regardless of the activity.</li> <li><input type="checkbox"/> Category VII-I - nonpoint source pollution control activities related to tanks designed to hold gasoline or other petroleum products or chemicals. The tanks may be located either above or below ground level.</li> <li><input type="checkbox"/> Category VII-J - nonpoint source pollution control activities related to sanitary landfills.</li> <li><input type="checkbox"/> Category VII-K - nonpoint source pollution control activities related to channelization and channel modification, dams, streambank and shoreline erosion, and wetland or riparian area protection or restoration.</li> <li><input type="checkbox"/> Category VII-L - nonpoint source pollution control activities related to rehabilitation or replacement of individual or community sewage disposal systems. Includes construction of collector sewers to transport wastes to a cluster septic tank or other decentralized facilities. Collection sewers and expansion of existing or construction of new centralized treatment facilities that replace individual or community sewage disposal systems are included in Category IV-A, New Collector Sewers, and Category I, Secondary Treatment, respectively.</li> <li><input type="checkbox"/> Unclassified nonpoint source assistance are amounts not distributed among individual nonpoint source categories.</li> </ul>
Other Agency	Other State agency involved with the CWSRF program, if any.
Outlays	Cash draws from the Federal Automated Clearing House (ACH).
Population Category Assistance	CWSRF assistance provided to fund projects serving various population size categories (less than 3,500; 3,500 to 9,999; 10,000 to 99,000; and 100,000 and above). (See definition for CWSRF assistance.)
Project Assistance Disbursed	Amount of CWSRF assistance disbursed from the CWSRF to assistance recipients for projects. (See definition for CWSRF assistance.) Includes all types of assistance for projects (i.e., loans, refinancing, guarantee of and insurance for
Purchase Insurance	CWSRF assistance that consists of purchasing or providing bond insurance to guarantee debt service payment of local debt obligations. (See definition for CWSRF assistance.)
Refinancing	CWSRF assistance to buy or refinance existing short or long term local debt obligations. (See definition for CWSRF assistance.) Local debt obligations refer to non-SRF debt.
Refunding Bonds	Bonds issued to refund (replace) previously issued leverage bonds.

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Reporting Period	The annual reporting period used in the CWSRF National Information Management System. A reporting period year runs from July 1 to June 30 (e.g., reporting period 1999 runs from July 1, 1998 to June 30, 1999).
Secondary Agency	The secondary State agency involved with the CWSRF program, if any.
SRF Assistance	See definition for CWSRF assistance.
State Contributions in Excess of Match	<p>Additional State contributions deposited into the CWSRF in excess of the required 20 percent State match amount. Does not include funds that will be used to provide future required State match. Sources of excess State contributions include:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Cash or appropriations (i.e. State general funds, tax revenues).</li> <li><input type="checkbox"/> State general obligation bonds retired using funds outside the CWSRF.</li> <li><input type="checkbox"/> State general obligation bonds retired using CWSRF funds (e.g., double-barreled revenue bonds).</li> <li><input type="checkbox"/> Revenue bonds, net of bond issuance related expenses, retired using CWSRF funds.</li> <li><input type="checkbox"/> Pre-existing loans (i.e., loans made under a pre-existing State loan program).</li> <li><input type="checkbox"/> Other sources.</li> </ul>
State Funded Clean Water Grant Programs (Separate from CWSRF)	Other State funded and operated clean water grant programs that are separate from the CWSRF programs. Includes State clean water grant programs with eligibilities similar to those of the CWSRF program, i.e., wastewater treatment, nonpoint source, and estuaries. Includes State matching grants for Construction Grant projects. Does not include grants for drinking water projects.
State Funded Clean Water Loan Programs (Separate from CWSRF)	Other State funded and operated clean water loan programs that are separate from the CWSRF program. Includes State clean water loan programs with eligibilities similar to those of the CWSRF program, i.e., wastewater treatment, nonpoint source, and estuaries. Includes State funded loans for the local share of Construction Grant projects. Does not include loans for drinking water projects.
State Match Bond Principal Repaid	Amount of CWSRF State match bonds called or repaid (i.e., principal repaid on the bonds) using CWSRF funds. Excludes accreted amounts paid on maturing capital appreciation (zero coupon) bonds. Excludes bond principal repaid or advance refunding using refunding bond proceeds.
State Match Contributions	<p>Funds deposited into the CWSRF to meet the State match requirement of 20 percent of the Federal capitalization grant amount. Includes additional State match funds that are deposited into the CWSRF to meet future State match requirements. Sources of State match include:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Cash or appropriations (i.e. State general funds, tax revenues).</li> <li><input type="checkbox"/> State general obligation bonds retired using funds outside the CWSRF.</li> <li><input type="checkbox"/> State general obligation bonds retired using CWSRF funds (e.g., double-barreled revenue bonds).</li> <li><input type="checkbox"/> Revenue bonds, net of bond issuance related expenses, retired using CWSRF funds.</li> <li><input type="checkbox"/> Pre-existing loans (i.e., loans made under a pre-existing State loan program).</li> </ul>

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	<ul style="list-style-type: none"> <li><input type="checkbox"/> Other sources.</li> </ul>
State Match Amount - EPA's Rural Community Hardship Grants Program	State Match provided under EPA's Rural Community Hardship Grants Program.
Sub-State Revolving Funds	CWSRF assistance in the form of loan guarantees for similar revolving funds established by municipal or intermunicipal agencies. (See definition for CWSRF assistance.)
Transfer of Federal Funds Between CWSRF and DWSRF	Amount of federal funds transferred between the CWSRF and the DWSRF.
Transfer of Non-Federal Funds Between CWSRF and DWSRF	Amount of non-federal funds transferred between the CWSRF and the DWSRF.
Wastewater Treatment Works Assistance	<p>CWSRF assistance provided to municipalities, intermunicipal, interstate, or State agencies for the construction of publicly owned wastewater treatment works as defined by section 212 of the Clean Water Act. (See definition for CWSRF assistance.) Categories of assistance consist of:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Category I - Secondary treatment and best practicable wastewater treatment technology.</li> <li><input type="checkbox"/> Category II - Advanced treatment.</li> <li><input type="checkbox"/> Category IIIA - Infiltration/inflow correction.</li> <li><input type="checkbox"/> Category IIIB - Replacement and/or major rehabilitation of existing sewer systems.</li> <li><input type="checkbox"/> Category IVA - New collector sewer systems and appurtenances.</li> <li><input type="checkbox"/> Category IVB - New interceptor sewer systems and appurtenances.</li> <li><input type="checkbox"/> Category V - Correction of combined sewer overflows.</li> <li><input type="checkbox"/> Category VI - Storm sewers (i.e., activities to plan and implement municipal storm water management programs pursuant to NPDES permits).</li> </ul>
Wastewater Treatment Solutions to Nonpoint Source Problems	Dollar amount of wastewater treatment (section 212) assistance reported that was used to solve nonpoint source pollution problems, such as to replace individual or community sewage disposal systems (decentralized systems) with centralized treatment systems.
Weighted Average Interest Rate on Loans	Weighted average of the interest rate charged on CWSRF loans. (Loan interest rates are weighted by the dollar amount of each loan awarded.)