



**STATE
REVOLVING
FUND
ANNUAL
REPORT**



For State Fiscal Year 2020 (July 1, 2019 through June 30, 2020)

Submitted to the U.S. Environmental Protection Agency

by the

Nevada Division of Environmental Protection, Office of Financial Assistance

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Contents

Acronyms 3

Introduction..... 4

Executive Summary..... 4

Incorporated Documents..... 5

2020 CWSRF Goals 6

 CWSRF Short Term Goals 6

 CWSRF Long Term Goals 6

2020 DWSRF Water Goals 7

 DWSRF Short Term Goals 7

 DWSRF Long Term Goals 8

Certification of Compliance 9

Administration Requirements..... 9

 Loan Terms and Conditions..... 10

 Reporting Requirements 11

Technical Compliance 12

Financial Compliance 13

DWSRF Specific 17

Attachment A—CWSRF SFY19 Activities 18

Attachment B—DWSRF SFY20 Activities..... 22

Attachment C—DWSRF Set-Aside Banked Authority 26

Attachment D—DWSRF Set-Aside Budget Reconciliation 29

Acronyms

| | |
|-------------|--|
| AB | Nevada State Assembly Bill |
| ARRA | American Recovery and Reinvestment Act of 2009 |
| BFFWP | Board for Financing Water Projects |
| BSDW | Bureau of Safe Drinking Water |
| BWPC | Bureau of Water Pollution Control |
| CBR | Clean Water Benefits Reporting |
| CFR | United States Code of Federal Regulations |
| CWA | the Clean Water Act of 1987, as amended |
| CWSRF | Clean Water State Revolving Fund |
| DCNR | Department of Conservation and Natural Resources |
| DWSRF | Drinking Water State Revolving Fund |
| EPA | Environmental Protection Agency |
| ETT | Enforcement Targeting Tool |
| FFATA | Federal Funding Accountability and Transparency Act of 2006 |
| FFY | Federal Fiscal Year |
| GPR | Green Project Reserve Projects |
| HUD | United States Department of Housing and Urban Development |
| IHS | United States Indian Health Services |
| IUP | Intended Use Plan |
| MHI | Median Household Income |
| NAC | Nevada Administrative Code |
| NDEP | Nevada Division of Environmental Protection |
| NIMS | National Information Management System |
| NRS | Nevada Revised Statute |
| NvRWA | Nevada Rural Water Association |
| OFA | Office of Financial Assistance |
| PBR | Projects and Benefits Reporting |
| PWSS or PWS | Public Water System Supervision |
| SB | Nevada State Senate Bill |
| SDWA | Safe Drinking Water Act of 1996, as amended |
| SDWIS | Safe Drinking Water Information System |
| SFY | State Fiscal Year |
| SRF | State Revolving Fund |
| TMDL | Total Maximum Daily Loads |
| TMF | Technical, Managerial, and Financial (Capacity) |
| ULO | Unliquidated Obligations |
| USDA | United States Department of Agriculture |
| WIIN | Water Infrastructure Improvements for the Nation Act of 2016 |
| WQF | Water Quality Factor |
| WRRDA | Water Resource Reform and Development Act of 2014 |

Introduction

The Nevada Division of Environmental Protection (NDEP), Office of Financial Assistance (OFA), is pleased to submit to the Environmental Protection Agency (EPA) its Annual Report for Nevada's Clean Water State Revolving Fund (CWSRF) and Drinking Water State Revolving Fund (DWSRF) for the State Fiscal Year (SFY) 2020 (July 1, 2019 through June 30, 2020).

This 2020 Annual Report to EPA has been prepared in accordance with the Clean Water Act, Safe Drinking Water Act, the Capitalization Grant requirements, the Operating Agreement between NDEP and EPA, and the Region 9 State Revolving Fund (SRF) annual Report Checklist. This report includes discussions of the status of Nevada's compliance with various statutory program requirements, program changes and progress made, information about loan recipients, and other pertinent financial information.

Executive Summary

Nevada has met its goals of funding Nevada-needed projects, conducting ongoing outreach and education for potential borrowers regarding the CWSRF and DWSRF programs, and remaining sustainable well into the future. The program's financial information has been audited as part of the State of Nevada Comprehensive Annual Financial Report (CAFR) and Single Audit Act. Results of the audit are shared in the CWSRF and DWSRF Financial Report.

Nevada does not assign projects to federal requirements as authorized by the equivalency guidance by EPA. Therefore, all new loan commitments awarded within the fiscal year were executed after an environmental review was determined, crosscutters were assessed, and the public had an opportunity to comment on the determination. Additionally, all new loan commitments contained requirements to follow federal terms and conditions for borrowers of the programs as outlined in this report.

Nevada accomplished the following within the State fiscal year:

| | Clean Water | Drinking Water |
|---|------------------|----------------|
| Loan Commitments (in loans) | 6 | 4 |
| Loan Commitments (in dollars) | \$ 92,175,500.00 | 2,986,729.00 |
| Additional Subsidy Committed | \$ 1,175,500.00 | 813,000.00 |
| Project completions (in loans) | 3 | 11 |
| Project completions (in dollars) | \$ 2,059,919.26 | 19,736,048 |
| Binding Commitment Percent | 282.07% | 126.28% |
| Federal Unliquidated Obligations | 3.66% | 1.49% |
| Fund Utilization Rate | 99.53% | 92.12% |
| Federal Return on Investment | 230.97% | 148.10% |
| Sustainability (Interest on investment) | 9.30% | 5.16% |

Incorporated Documents

The following are incorporated or referenced in this Annual Report and are available on the following web pages, or have been previously provided:

Clean Water Program Documents

- <https://ndep.nv.gov/water/financing-infrastructure/state-revolving-fund-loans/clean-water-wastewater>
- SFY 2020 Clean Water Intended Use Plan (IUP)
- SFY 2020 Clean Water Financial Report
- Project Priority List--Effective July 2020

Drinking Water Program Documents

- <https://ndep.nv.gov/water/financing-infrastructure/state-revolving-fund-loans/drinking-water>
- SFY 2020 Drinking Water Intended Use Plan (IUP)
- SFY 2020 Drinking Water Financial Report
- Project Priority List--Effective July 2020

Drinking Water Capacity Development

- <https://ndep.nv.gov/water/financing-infrastructure/capacity-development>
- 2020 NV Capacity Development Report
- 2020 NV Capacity Development Report to the Governor

Nevada State Documents

- Comprehensive Annual Financial Report
- <http://controller.nv.gov/>
- Nevada Single Audit Reports
- <https://www.leg.state.nv.us/Division/Audit/>

2020 CWSRF Goals

CWSRF Short Term Goals

- **Provide financial assistance to recipients outlined on Nevada's 2020 Fundable List.**
 - Some of the recipients outlined on the 2020 Fundable List were not ready to proceed and therefore, by-passed. A reconciliation of this list is found in **Attachment A**.
- **Ensure compliance with all pertinent federal, state, and local water pollution control laws and regulations.**
 - Nevada met this goal through pre-bid meetings with borrowers, site visits, when possible, additional photos and documentation of compliance, and audit review of draw requests.
- **Ensure fiscal soundness and perpetuity in the CWSRF program, which provides below market rate financing for water pollution control projects.**
 - Nevada met this goal by working with the programs financial advisors to ensure cash flows will maintain the program and sustain bond ratings.
- **Coordinate with other federal and state funding authorities to ensure systems receive as many resources as possible in funding their project.**
 - NDEP is committed to frequent meetings with other partner funders through the Infrastructure in Nevada Communities (INC) committee. Due to the COVID-19 pandemic, meetings were temporarily postponed. However, coordination and communication with other funders continued despite formalized INC meetings being postponed. Other funders within the State include USDA-RD, CDBG, and IHS.
- **Market the CWSRF program to educate potential borrowers on funding green infrastructure projects, nonpoint source projects, and other emerging markets such as irrigation districts.**
 - Nevada continues to educate the communities about its ability to fund various types of projects. NDEP is currently working with EPA Region 9 to coordinate a webinar that will continue this outreach to Nevada communities.

CWSRF Long Term Goals

- **Continue to assist Nevada's communities in fulfilling the requirements of the federal CWA and State regulations through below market rate financing for water pollution control projects.**
 - Nevada continues to contact systems across the State to work with them on their needs and ensure they are addressing their most critical needs first.
- **Obtain optimum turnover of the CWSRF fund while maintaining the necessary reserve for debt service that safeguards the program's AAA rating from Standard and Poor's (S&P Ratings).**
 - The program continues to analyze its cash flows to ensure the fund is revolving as intended by Congress and maintains its outstanding AAA rating.
- **Issue debt obligations as needed to provide funding to the program either to match the federal grants or provide additional resources for projects.**
 - In SFY 2020, the program issued debt to match its federal requirements and provide leverage funds for additional resources for projects. Debt is issued on an as-needed basis to not overextend the program.

- ***Enhance Nevada’s disadvantaged systems long-term sustainability by working with systems to develop fiscal sustainability plans, reasonable rates to sustain their system, and capital asset reserves.***
 - CWSRF required fiscal sustainability plans to be incorporated for all projects since the enactment of the Water Resource Reform and Development Act of 2014. Nevada has expanded this to also require borrowers receiving principal forgiveness funding to demonstrate they are being actively responsible with rate setting and placing funds into a capital asset reserve account to help them become self-sustaining. These requirements went into effect with the 2018 IUP and will become incorporated into all principal forgiveness loans moving forward.
- ***Ensure the program budget adequately supports resources, administrative activities, and anticipates future needs.***
 - The Nevada Legislature must approve the operating and administrative budget for the CWSRF program. The SFY 2020-2021 biennium budget was prepared and submitted to the executive branch for review. The 2019 legislative session approved all requested funding. The SFY 2022-2023 biennium budget was submitted to the Governor’s Finance Office in late August 2020.
- ***Develop an internal web-based application that will maintain accountability over the CWSRF program and allow electronic interfacing with borrowers.***
 - The SFY 2020-2021 biennium budget included a special request to the legislature to fund a contractor to develop a program customized to Nevada’s SRF needs. The current program, LGTS, is no longer supported and must be replaced. Development of this program has started and is currently under development. NDEP anticipates phasing this into production in mid-2021.

2020 DWSRF Water Goals

DWSRF Short Term Goals

- ***Provide financial assistance to recipients outlined on Nevada’s 2020 Fundable List.***
 - Some of the recipients outlined on the 2020 Fundable List were not ready to proceed and therefore, by-passed. A reconciliation of this list is found in Attachment B.
- ***Ensure compliance with all pertinent federal, state, and local laws and regulations.***
 - Nevada met this goal through pre-bid meetings with borrowers, site visits, additional photos and documentation of compliance, and audit review of draw requests.
- ***Ensure fiscal soundness and perpetuity in the DWSRF program, which provides below market rate financing for drinking water projects.***
 - Nevada met this goal by working with the programs financial advisors to ensure cash flows will maintain the program and sustain bond ratings.
- ***Coordinate with other federal and state funding authorities to ensure systems receive as many resources as possible in funding their project.***
 - NDEP is committed to frequent meetings with other partner funders through the Infrastructure in Nevada Communities (INC) committee. Due to the COVID-19 pandemic, meetings were temporarily postponed. However, coordination and communication with other funders continued despite formalized INC meetings being postponed. Other funders within the State include USDA-RD, HIS, and CDBG.

- ***Market the DWSRF program to educate potential borrowers on funding opportunities with the program.***
 - Nevada continues to educate the communities about its ability to fund various types of projects. During the year, the SRF distributed flyers, held one-on-one meetings with potential borrowers, sent emails, and made phone calls to systems within the State. NDEP coordinated with Rural Community Assistance Corporation to conduct a funding forum in Southern Nevada. The forum included our partner funders and gave systems an opportunity to learn about each of our programs and how we can help them with their system needs.

DWSRF Long Term Goals

- ***Continue to assist Nevada's communities in fulfilling the requirements of the federal SDWA and State regulations through below AAA market rate financing for drinking water projects.***
 - Nevada continues to contact systems across the State to work with them on their needs and ensure they are addressing their most critical needs first.
- ***Obtain optimum turnover of the DWSRF fund while maintaining the necessary reserve for debt service that safeguards the program's AAA rating from Standard and Poor's (S&P Ratings).***
 - The program continues to analyze its cash flows to ensure the fund is revolving as intended by Congress and maintains its outstanding AAA rating.
- ***Issue debt obligations as needed to provide funding to the program either to match the federal grants or provide additional resources for projects.***
 - In SFY 2020, the program did issue debt to match its federal requirements but did not need to issue leverage debt to provide additional resources for projects. Debt is issued on an as-needed basis to not overextend the program.
- ***Enhance Nevada's disadvantaged systems long-term sustainability by working with systems to develop fiscal sustainability plans, reasonable rates to sustain their system, and capital asset reserves.***
 - Nevada has begun requiring borrowers who receive principal forgiveness funding to prepare a fiscal sustainability plan, demonstrate they are being actively responsible with rate setting, and placing funds into a capital asset reserve account to help them become self-sustaining. These requirements went into effect with the 2018 IUP and will become incorporated into all principal forgiveness loans moving forward.
- ***Ensure the program budget adequately supports resources, administrative activities, and anticipates future needs.***
 - The Nevada Legislature must approve the operating and administrative budget for the DWSRF program. The SFY 2020-2021 biennium budget was prepared and submitted to the executive branch for review. The 2019 legislative session approved all requested funding. The SFY 2022-2023 biennium budget was submitted to the Governor's Finance Office in late August 2020.
- ***Develop an internal web-based application that will maintain accountability over the DWSRF program and allow electronic interfacing with borrowers.***
 - The SFY 2020-2021 biennium budget included a special request to the legislature to fund a contractor to develop a program customized to Nevada's SRF needs. The current program, LGTS, is no longer supported and must be replaced. Development of this program has started and is currently under development. NDEP anticipates phasing this into production in mid-2021.

Certification of Compliance

Operating Agreement

Nevada has complied with the conditions of the Operating Agreement. Nevada’s Clean Water Operating Agreement was approved on September 29, 1989. The Drinking Water Operating Agreement was approved on April 27, 1998. NDEP combined the DWSRF and CWSRF into a single SRF Operating Agreement, which was submitted to EPA for approval in September 2018. This agreement also includes requirements in the Water Resources Reform and Development Act of 2014 (WRRDA). The September 2018 Operating Agreement remains pending at the end of SFY 2019.

Laws and Regulations

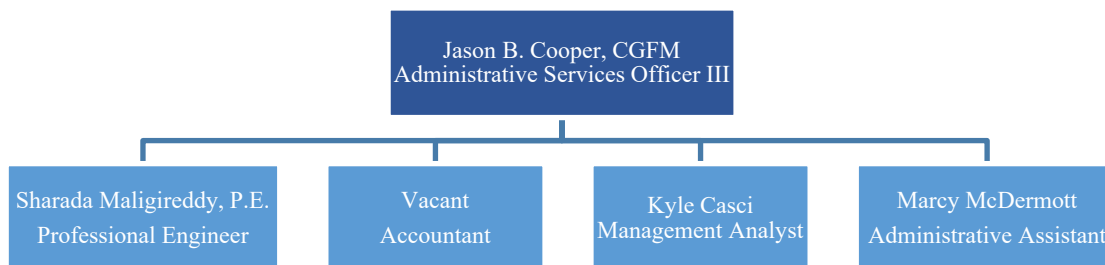
Nevada has complied with all laws and regulations of the programs.

| | |
|--------------------------------|-----------------------------------|
| Clean Water Act | 33 U.S.C.§1251 et seq. as amended |
| Clean Water Regulations | 40 C.F.R. Part k §35.3100-35.3160 |
| Nevada Clean Water Statutes | NRS 445A.060-445A.160 |
| Nevada Clean Water Regulations | NAC 445A.685-445A.805 |

| | |
|-----------------------------------|-----------------------------------|
| Drinking Water Act | 42 U.S.C.§300f et seq. as amended |
| Drinking Water Regulations | 40 C.F.R. Part L §35.3500-35.3585 |
| Nevada Drinking Water Statutes | NRS 445A.200-445A.295 |
| Nevada Drinking Water Regulations | NAC 445A.6751-445A.67644 |

Administration Requirements

Staffing Levels



NDEP has five full-time staff that administer the DWSRF, CWSRF, and the State Capital Improvements Grant Program. While programmatic demands within SFY 2020 created a backlog of work for staff, management is evaluating the long-term effects to determine if additional staff is warranted and defensible to State budgetary authorities. The new interactive database system

being developed for OFA will assist in streamlining processes and reduce staff time by approximately 20 percent. For SFY 2020, both the DWSRF and CWSRF complied with program requirements in a timely manner and responded to potential and current loan applicants as timely as possible.

Congressional and Public Inquiries

NDEP was included in communications from U.S. Senator Jackie Rosen’s office about water infrastructure in a private industrial park in North Las Vegas. NDEP responded directly to EPA Region 9 for this inquiry.

NDEP received a Freedom of Information Act request for a copy of Nevada’s Priority List. The Priority Lists are posted on our website and the individual was notified.

Loan Terms and Conditions

Disadvantaged Business Enterprise (DBE) Certifications

A fair share objective is a goal based on the capacity and availability of qualified, certified Minority Business Enterprise (MBE) and Women Business Enterprise (WBE) in the relevant geographic market for the grant recipient. A fair share objective is not a quota. A recipient cannot be penalized for not meeting its fair share objectives. Once negotiated, fair share objectives remain in place for three years. The most recent negotiated fair share objectives were approved in October 2016.

Applicable “fair share” negotiated goals are:

| | MBE | WBE |
|---------------------|------------|------------|
| Construction | 2% | 2% |
| Services | 1% | 2% |
| Supplies | 1% | 1% |
| Equipment | 1% | 1% |

The EPA DBE guidance information and “fair share” goals are included in all sub-recipient construction bid documents. MBE/WBE reports were prepared for the annual period ending Federal FY2020 (October-September).

Lobbying Activities

The certificate regarding lobbying activities is required to be acknowledged and signed by all borrowers as part of the funding agreement. The program ensured all borrowers followed this requirement.

Federal Debarment and Suspension

The program requires in all loan contracts the primary recipient and anyone performing work on the project to be registered with www.sam.gov.

Programmatic Audits and Prior Year Requests

The SFY 2019 Annual Programmatic Review by EPA was finalized September 2020. The review identified the recommended follow-up action:

1. EPA and NDEP acknowledged an incorrect payment had been made to Carson City related to the closing of a bond refinancing. The payment was made to an escrow account holding funds for the advanced refunding, as required by the escrow agreement. Upon closing the escrow account, \$8.56 was not needed to finalize the refinancing requirements. NDEP requested the \$8.56 be returned to NDEP. The funds were received on September 16, 2020 and subsequently disbursed to another loan recipient on October 20, 2020.
2. The EPA authorized a deviation from 40 CFR Part 35.3520(e)(2) on February 12, 2018 authorizing Carson City to utilize the DWSRF program to refinance long-term debt originally issued to purchase water rights. The condition of this deviation requires Carson City to use the savings on another drinking water project. Carson City identified a \$7.5 million project to complete the regional pipeline intertie that would supply safe water for blending into Carson City. The bond sale occurred in January 2019, netting \$7.4 million in proceeds at an interest rate of approximately 3.3 percent. The city has completed this project.

Reporting Requirements

CBR/PBR Reporting

Financial and program information for all projects is entered into CW Benefits Reporting (CBR) and the DW Project and Benefits Reporting (PBR) at the time of commitment. They are updated periodically as changes occur.

FFATA Reporting

FFATA information is entered upon approval of the projects and upon contract award.

Intended Use Plan

Both the CWSRF and DWSRF Intended Use Plans are prepared each year prior to requesting funding from the federal government. They outline how Nevada will utilize the funds and manage the program. The 2020 reports are posted on the program's website and available for public comment prior to final adoption.

Technical Compliance

Environmental Review

The environmental review process is codified within the NAC. It has been reviewed by EPA, applies to all projects funded by the CWSRF or DWSRF programs, and generally follows the provisions of the National Environmental Policy Act. The final loan contract is executed only after NDEP has conducted an environmental review, a determination is made, and has provided the public 30 days to comment on the determination.

Crosscutters

The loan contract requires that loan recipients comply with applicable federal cross-cutting authorities. The State is required to comply with applicable federal cross-cutting authorities by the assistance and operating agreements it signs with EPA and by applicable federal regulations.

Davis-Bacon Requirements

NDEP has included a condition requiring compliance with Davis Bacon Wage Rates in all loan agreements executed on or after October 30, 2009. Compliance with the standards are monitored by staff through draw request questions, site inspections, and independent audit analysis.

American Iron and Steel

NDEP has included a condition requiring compliance with American Iron and Steel in all loan agreements executed after June 9, 2014, unless the State approved the engineering plans and specifications for the project prior to the June 9, 2014 date. Compliance with the standards are monitored by staff through draw request questions, submission of certifications, site inspections, and independent audit analysis.

Site Visits and Monitoring

NDEP performs construction site inspections as required in the loan agreement and in accordance with the NAC. In most cases, projects receive at least one site inspection. For long-term projects (construction expected to take more than a 12-month period to complete), at least one site visit ordinarily occurs within each 12-month period. In addition, the borrower is expected to provide periodic construction updates. These may be daily, weekly, or monthly and are normally accompanied by project photos. Most updates are now received electronically.

A final site visit is initiated by receipt of a notice of substantial completion. This site visit normally occurs prior to the final loan disbursement.

In SFY 2020, the COVID-19 pandemic restricted travel of NDEP staff to perform these site visits. NDEP required project managers to submit photos and additional documentation that will be used to support compliance to programmatic conditions and State regulations.

Financial Compliance

Annual Financial and Single Audits

The program's assets, liabilities, and operating activities are audited annually, as they are included in Nevada's Comprehensive Annual Financial Report (CAFR) (<http://controller.nv.gov>) as part of the Water Projects Loan Fund – a major enterprise fund.

The program compiles this audited data into a separate financial report intended for EPA's analysis and review (<https://ndep.nv.gov/water/financing-infrastructure/state-revolving-fund-loans/drinking-water>). The program cannot prepare a comprehensive financial report separately from the State CAFR as various assets, liabilities, and operations that affect the program are valued, accrued, and audited by other agencies within the State. Specific assets and liabilities include; but are not limited to, investment fair values and accruals, compensated absences, pension liabilities, group insurance, and arbitrage liabilities. While finances are a major concern to the EPA program staff, they agreed that having the CWSRF and DWSRF audited separately is not an efficient or effective use of State funds. EPA has allowed NDEP to provide a reconciliation of the most recently audited CAFR and the related unaudited financial statements compiled by the program, as stated in the SRF Operating Agreement.

The State of Nevada is audited every year as a single entity for purposes of the single audit. The CWSRF and DWSRF are included in that audit and are broken out into separate components. The Independent Accounting Firm chosen by the legislature reviews each program's risk and materiality. Further analysis is completed based upon standards applicable to financial audits contained in Government Auditing Standards – issued by the Comptroller General of the United States. The single audit for SFY 2020 will not be available for review until spring 2021. Prior single audits can be viewed by visiting the Nevada Legislative Counsel Bureau Audit Divisions website at: <http://leg.state.nv.us/Division/Audit/>.

Fundable List Reconciliation

Several projects on both the CWSRF and DWSRF 2020 Intended Use Plans were not ready to proceed by the end of the year. **Attachment A** contains project activities for the CWSRF program during the fiscal year. **Attachment B** contains a list of project activities for the DWSRF program during the fiscal year. Both programs have the State authority to bypass any project on the priority list not ready to proceed. During 2020, several projects were bypassed to fund other projects that were ready to proceed. A 30-day notice to all those on the list above the project ready to proceed is sent out to those affected systems, giving them time to appeal the program's decision. No petitions to these bypass notices were received.

Timely Use of Funds

Nevada ordinarily applies for and receives its capitalization grants within one year of the appropriation date. NDEP makes every effort to receive all payments in time. NDEP draws federal grant monies after receipt of an approved reimbursement request from borrowers. NDEP also

requires borrowers to submit estimated loan draw schedules with their applications. Nevada monitors the loans and contacts systems when disbursement requests do not appear to be timely.

| Clean Water Binding Commitments | | | |
|---|-----------------------|--------------------|----------------|
| From Inception to June 30, 2020 | | | |
| Project | Grant Awarded | Loan Amount | Date |
| Total Grants awarded | 222,169,400.00 | | 9/19/18 |
| Awarded prior to SFY 2020 | | 534,488,535 | |
| CW1903 Humboldt County | | 145,500 | 8/20/19 |
| CW2003 Storey County (Gold Hill) | | 530,000 | 9/18/19 |
| CW2001 Douglas Co Lake Tahoe Sewer Authority | | 9,000,000 | 10/3/19 |
| CW2005 Fallon Paiute Shoshone Tribe | | 500,000 | 1/10/20 |
| CW2004 City of Reno | | 55,000,000 | 3/24/20 |
| CW2002 Washoe County | | 27,000,000 | 5/27/20 |
| Total Loans committed | | 626,664,035 | |
| Percent of commitments to federal grants | | 282.07% | |

| Drinking Water Binding Commitments | | | |
|---|-----------------------|--------------------|-----------------------|
| From Inception to June 30, 2020 | | | |
| Facility | Grant Awarded | Loan Amount | Date Committed |
| Total Grants awarded | 242,356,500.00 | | |
| Awarded prior to SFY 2020 | | 305,142,356 | |
| DW1904 Riverbelle MHP | | 94,175 | |
| DW2001 Churchill County | | 100,000 | |
| DW2002 Lovelock Meadows Water District | | 500,000 | |
| DW2003 Roark Estates Water Association | | 213,000 | |
| Total grant commitments | | 306,049,531 | |
| Percent of commitments to federal grants | | 126.28% | |

| Fund Utilization Rate | Nevada | National Target |
|---|---------------|------------------------|
| Cumulative Loan Agreements | 626,664,034 | |
| Cumulative Funds Available for Projects | 629,654,125 | |
| Clean Water Utilization Rate | 99.53% | 95% |
| Cumulative Loan Agreements | 331,351,042 | |
| Cumulative Funds Available for Projects | 359,710,786 | |
| Drinking Water Utilization Rate | 92.12% | 89% |

Green Project Reserves

NDEP will continue with its efforts to fund green projects within the CWSRF program by awarding extra points in the Priority List, encouraging green components on projects moving forward, and discussing it at the Annual Operators' Conference. When possible, NDEP will continue to focus attention on projects that meet the green requirements and encourage systems to consider

incorporating these requirements into their projects. **Attachment A** contains a list of project activities during the fiscal year for clean water.

Subsidy

NDEP evaluates CWSRF systems using criteria outlined in the Intended Use Plan. A system needs to obtain 50 or more points to be eligible for a principal forgiveness loan. Criteria includes the community’s median household income, population trends, loan affordability, green project status, enforcement actions levied, and other factors. Due to some projects on the fundable list not ready to proceed, the projects that actually received a grant for the subsidy requirements have changed. See **Attachment A** for CWSRF projects receiving subsidy within SFY 2020.

NDEP evaluates DWSRF systems using criteria outlined in the Intended Use Plan. A system needs to obtain 50 or more points to be eligible for a principal forgiveness loan. Criteria includes the community’s median household income, population trends, loan affordability, green project status, enforcement actions levied, and other factors. Due to some projects on the fundable list not ready to proceed, the projects that actually received a grant for the subsidy requirements have changed. See **Attachment B** for DWSRF projects receiving subsidy within SFY 2020. NDEP will ensure that at least 6 percent of the federal subsidy requirement to disadvantaged communities is met.

Federal Funds

Federal cash draws and unliquidated obligations

NDEP draws all bond funding before grant dollars unless the draw is for a private system loan or tribal government, at which time grant funds are used. At the end of the SFY, Nevada’s unliquidated obligation balance is as follows:

| Program | Grant ID | State Fiscal Year (of funding) | Approved Funding | Funds Used through FY20 | Remaining Funds/ULO | Percentage ULO |
|--------------------|-----------------|--------------------------------|--------------------|-------------------------|---------------------|----------------|
| CWSRF | Previous Grants | | 206,531,400 | 206,531,400 | - | 0.00% |
| CWSRF | CS-32000118 | 2019 | 7,859,000 | 7,512,166 | 346,834 | 4.41% |
| CWSRF | CS-32000119 | 2020 | 7,779,000 | - | 7,779,000 | 100.00% |
| Total CWSRF | | | 222,169,400 | 214,043,566 | 8,125,834 | 3.66% |
| DWSRF | Previous Grants | | 204,971,500 | 204,971,500 | - | 0.00% |
| DWSRF | FS99996017 | 2018 | 11,753,000 | 11,753,000 | - | 0.00% |
| DWSRF | FS99996018 | 2019 | 12,876,000 | 12,569,481 | 306,519 | 2.38% |
| DWSRF | FS99996019 | 2020 | 12,756,000 | 9,460,814 | 3,295,186 | 25.83% |
| Total DWSRF | | | 242,356,500 | 238,754,795 | 3,601,705 | 1.49% |

| Federal return on investment | Nevada |
|--------------------------------------|----------------|
| Total funds disbursed for projects | 531,118,842 |
| Federal funds available for projects | 229,949,400 |
| CWSRF Return on Federal Funds | 230.97% |
| Total funds disbursed for projects | 307,089,255 |
| Federal funds available for projects | 207,357,378 |
| DWSRF Return on Federal Funds | 148.10% |

State match

Nevada did issue match bonds in SFY 2020 for both the CWSRF and DWSRF program. Enough bond proceeds had been issued and spent to match the required amounts for both grants.

| Through State Fiscal Year 2020 | Clean Water | Drinking Water |
|--------------------------------------|-------------|----------------|
| Federal Awards Received | 222,169,400 | 242,356,500 |
| Less ARRA Award | -19,239,100 | -19,500,000 |
| FY20 Grant (Pending Approval) | 7,780,000 | 12,764,000 |
| Total Grant Awards Requiring Match | 210,710,300 | 235,620,500 |
| Match Required (20%) | 42,142,060 | 47,124,100 |
| Match Spent thru June 30, 2020 | 43,017,371 | 52,314,609 |
| Current Difference Surplus/(Deficit) | 875,311 | 5,190,509 |

Funds transferred

No funds were transferred between the CWSRF and DWSRF, or from DWSRF to CWSRF during the fiscal year.

Other Funds

Service fees and use

NDEP has regulatory authority to apply a 0.5 percent loan origination fee to traditional loans for the CWSRF program. Fee revenue is used to supplement program administration costs.

| | Clean Water | Drinking Water |
|--|---------------------|----------------|
| Fees Collected in Prior Fiscal Years | 1,298,200.33 | - |
| Fees Collected in SFY 2020 | 455,000.00 | - |
| Total Fees Collected | 1,753,200.33 | - |
| SFY 2020 Expenditures | | |
| Salaries and Benefits | (207,733.55) | - |
| Indirect Costs | (43,748.69) | - |
| Administration | (79,266.99) | - |
| SFY 2020 Subtotal | (330,749.23) | - |
| Prior Fiscal Years Expenditures | | |
| Salaries and Benefits | (308,913.75) | - |
| Indirect Costs | (71,105.71) | - |
| Administration | (59,677.08) | - |
| Prior Fiscal Years Subtotal | (439,696.54) | - |
| Carry forward Fees | 982,754.56 | - |

NDEP does not have regulatory authority to charge fees to supplement available set-aside funds in the DWSRF Program.

Sustainability

The program continues to analyze its cash flows to ensure the fund is revolving and sustainable to adequately assist Nevada's systems when the need arises.

| Sustainability | Nevada |
|---------------------------------------|---------------|
| Loan and investment interest | 139,395,499 |
| Bond Debt Service | (102,682,482) |
| Funds available for traditional loans | 394,618,747 |
| CWSRF | 9.30% |
| Loan and investment interest | 55,157,507 |
| Bond Debt Service | (43,518,168) |
| Funds available for traditional loans | 225,443,566 |
| DWSRF | 5.16% |

DWSRF Specific

Capacity Development

The 2020 Capacity Development Report describes the efforts conducted by NDEP and the technical assistance (TA) providers from July 1, 2019 through June 30, 2020 for the Capacity Development Program. The TA providers were:

- Farr West Engineering, Inc.
- Nevada Rural Water Association
- Rural Community Assistance Corporation

The report is available on our website: [https://ndep.nv.gov/uploads/water-financing-srf-capacitydevelopment-docs/2019 Annual Capacity Report.pdf](https://ndep.nv.gov/uploads/water-financing-srf-capacitydevelopment-docs/2019%20Annual%20Capacity%20Report.pdf)

Set-Aside Budget

A budget reconciliation of all set-aside activities, including PWSS activities conducted by BSDW, was sent to EPA in February 2020 and October 2020. **Attachment D** contains a copy of the budget reconciliation submitted.

Banked Authority in Set-Asides

Attachment C contains Nevada's cumulative banked authority in the DWSRF set-asides.

Attachment A—CWSRF SFY19 Activities

2020 Fundable List

| Grant Applied to: | PL Class | PL Rank ^A | Community Name/Project Sponsor | Population | Project Description | Total Assistance | Binding Commitment ^B | Loan date / Project Start ^B | Notes |
|-------------------|----------|----------------------|---|------------|---|-------------------|---------------------------------|--|----------------------------|
| 2020 | B | 14, 25, 26, 27 | Douglas Co. Lake Tahoe Sewer Authority | 2,800 | Aeration basin rehabilitation, headworks improvements, grit removal and telemetry | 9,000,000 | 10/3/2019 | 10/3/2019 | Funded |
| 2020 | A | 3 | Minden Gardnerville Sanitation District | 8,657 | Consolidation of Pine View Estates Mobile Home Park | 760,000 | NRP | NRP | Still procuring easements. |
| 2018 | B | 15 | Reno, City of | 34,000 | Reno-Stead Water Reclamation Facility expansion | 55,000,000 | 3/24/2020 | 3/24/2020 | Funded |
| 2019 | C | 37 | Humboldt County (McDermitt) | 200 | Arsenic Treatment discharge | 145,500 | 8/20/2019 | 8/20/2019 | Funded |
| 2019 | A | 4 | Fallon Paiute Shoshone Tribe | 300 | New Treatment Lagoon and rehabilitate 2 lift stations | 500,000 | 1/10/2020 | 1/10/2020 | Funded |
| 2018 | A | 1 | Storey County (Gold Hill) | 68 | New Treatment | 530,000 | 9/18/2019 | 9/18/2019 | Funded |
| | | | | | | 65,175,500 | | | |

2020 Additional Activity

| Grant Applied to: | PL Class | PL Rank ^A | Community Name/Project Sponsor | Population | Project Description | Total Assistance | Funding Commitment ^B | Project/Loan start date ^B | Notes |
|----------------------------------|----------|----------------------|--------------------------------|------------|---|-------------------|---------------------------------|--------------------------------------|--------|
| 2020 | B | 10, 20, 26 | Washoe County | 35,580 | Huffaker reservoir, South Truckee Meadows Water Reclamation Facility expansion and improvements | 27,000,000 | 5/27/2020 | 5/27/2020 | Funded |
| | | | | | | 27,000,000 | | | |
| Total SFY2020 Commitments | | | | | | 92,175,500 | | | |

A2020(R) Drinking Water Priority List

^BNRP=Not Ready to Proceed

SFY20 Loan Activities

| Loan Number | Community Name/Project Sponsor | Needs Category | Interest Rate | Project population A | Activity | Initial Commitment | Changes | Final Commitment | Principal Forgiveness | Partner Funding |
|-------------|---|--|---------------|----------------------|-------------------------|--------------------|--------------|------------------|-----------------------|-----------------|
| CW1903 | Humboldt County | New Collector Sewers | PF | 200 | Committed and Opened | 145,500.00 | - | Still Open | 145,500.00 | - |
| CW2001 | Douglas County Lake Tahoe Sewer Authority | Secondary Treatment and Water Conservation-Water | 2.08% | 5,000 | Committed and Opened | 9,000,000.00 | - | Still Open | - | - |
| CW2002 | Washoe County | Sewer System Rehabilitation and Water Conservation-Water Reuse | 1.69% | 46,000 | Committed and Opened | 27,000,000.00 | - | Still Open | - | 15,930,000.00 |
| CW2003 | Storey County - Gold Hill | Secondary Treatment | PF | 63 | Committed and Opened | 530,000.00 | - | Still Open | 530,000.00 | 1,049,000.00 |
| CW2004 | Reno, City of | Water Conservation - Water Reuse | 1.42% | 44,000 | Committed and Opened | 55,000,000.00 | - | Still Open | - | - |
| CW2005 | Fallon Paiute Shoshone Tribe | Secondary Treatment | PF | 300 | Committed and Opened | 500,000.00 | - | Still Open | 500,000.00 | \$1,526,750.00 |
| CW1901 | Churchill County - Golf Course | New Collector Sewers | PF | 75 | Closed and De-obligated | 330,075.00 | (25,574.62) | 304,500.38 | 304,500.38 | - |
| CW1902 | Churchill County - Lattin Road | New Collector Sewers | PF | 25 | Closed and De-obligated | 1,075,000.00 | (309,490.00) | 765,510.00 | 765,510.00 | - |
| CW1802 | Hawthorne Utilities | Secondary Treatment | 2.23% | 3,020 | Closed and De-obligated | 1,000,000.00 | (10,091.12) | 989,908.88 | - | - |

New Projects in SFY 2020

| | | | |
|----------|----------------------|---------------------|----------------------|
| 6 | 92,175,500.00 | 1,175,500.00 | 18,505,750.00 |
| 4 | 10,175,500.00 | 1,175,500.00 | 2,575,750.00 |
| 3 | 1,175,500.00 | 1,175,500.00 | |

Communities of less than 10,000 population

^ADisadvantaged Communities

Closed and De-Obligated

| | | | | | |
|----------|---------------------|---------------------|---------------------|---------------------|----------|
| 3 | 2,405,075.00 | (345,155.74) | 2,059,919.26 | 1,070,010.38 | - |
|----------|---------------------|---------------------|---------------------|---------------------|----------|

Paid Off Loans

| | | | | | |
|----------|--|--|--|--|--|
| 0 | | | | | |
|----------|--|--|--|--|--|

| SFY 2020 Clean Water Grant Requirements | | | Subsidy Requirements | | | Green Project Reserve | | | |
|--|-----------|----------|----------------------|---------------------|---------------------|-----------------------|-------------------|-------------------|-------------------|
| Facility | Status | Contract | Date of Commitment | 2018 Grant | 2019 Grant | 2020 Grant | 2018 Grant | 2019 Grant | 2020 Grant |
| Churchill County - Golf Course | Actuals | CW1901 | 11/28/2018 | 304,500.38 | | | | | |
| Churchill County - Lattin Road | Actuals | CW1902 | 2/19/2019 | 765,510.00 | | | | | |
| Douglas County Lake Tahoe Sewer Authority | Actuals | CW2001 | 10/3/2019 | | | | 458,323.36 | 777,900.00 | |
| Reno, City of | Actuals | CW2004 | 3/24/2020 | | | | 327,576.64 | | |
| Storey County (Gold Hill) | Projected | CW2003 | 9/18/2019 | | 530,000.00 | | | | |
| Humboldt County - McDermitt | Projected | CW1903 | 8/20/2019 | | 145,500.00 | | | | |
| Fallon Paiute Shoshone Tribe | Projected | CW2005 | 1/10/2020 | | 500,000.00 | | | | |
| Minden Gardnerville Sanitation District | Projected | Pending | Pending | | | 680,000.00 | | | |
| Humboldt County - Grass Valley | Projected | Pending | Pending | | | 98,381.00 | | | |
| Nye County - Gabbs | Projected | Pending | Pending | | | 800,000.00 | | | |
| Reno, City of | Projected | CW2004 | 3/24/2020 | | | | | | 778,000.00 |
| Percent of grant used as additional subsidy | | | | 1,070,010.38 | 1,175,500.00 | 1,578,381.00 | 785,900.00 | 777,900.00 | 778,000.00 |

Attachment B—DWSRF SFY20 Activities

| 2020 Fundable List | | | | | | | | | |
|---------------------------------|-----------------------|----------------------|---------------------------------------|------------|--------------------------------------|----------------------|---------------------------------|---------------------------------------|--|
| Grant Applied to: | PL Class ^A | PL Rank ^A | Community Name/Project Sponsor | Population | Project Description | Total New Assistance | Funding Commitment ^B | Project/ Loan start date ^B | Notes |
| | II | 5 | Beatty Water & Sanitation District | 1,010 | Asenic Treatment | 1,000,000 | NRP | NRP | PER still being developed. |
| | II | 9 | Alamo Sewer & Water GID | 900 | Asenic Treatment | 1,000,000 | NRP | NRP | Planning late FY 2021 |
| | III | 13 | Las Vegas Valley Water District (Big) | 9,300 | Source Water improvements; system | 5,400,000 | NRP | NRP | Planning late FY 2021 |
| | III | 20 | Humboldt Co (Golconda) | 114 | Source Water improvements; system | 1,000,000 | NRP | NRP | Governing board change. Need to evaluate |
| | III | 24 | Las Vegas Valley Water District | 1,306,410 | System rehabilitation | 50,000,000 | NRP | NRP | Planning late FY 2021 |
| | III | 31 | Carlin, City of | 2,500 | System rehabilitation | 10,000,000 | NRP | NRP | Financial capacity improvements needs. |
| | III | 34 | Fernley, City of | 19,500 | Surface water conveyance & treatment | 4,000,000 | NRP | NRP | Decided to fund with local resources |
| | III | 63 | Nye County (Gabbs) | 411 | System rehabilitation | 1,000,000 | NRP | NRP | System not ready to proceed. |
| | III | 78 | Humboldt Co (McDermitt) | 200 | System metering | 200,000 | NRP | NRP | Addressing arsenic first |
| | III | 81 | Cottonwood Mobile Home Park | 250 | PER and ER | 100,000 | NRP | NRP | Planning late FY 2021 |
| 2020 Additional Activity | | | | | | - | | | |

| 2020 Additional Activity | | | | | | | | | |
|----------------------------------|----|----|---------------------------------|------------|---------------------------------------|------------------|-----------|--------------|--------|
| Grant Applied | PL | PL | Community Name/Project Sponsor | Population | Project Description | Total Assistance | Funding | Project/Loan | Notes |
| 2019 | | | Riverbelle Mobile Home Park | 150 | Consolidation and System Improvements | 94,175 | 1/14/2020 | 11/8/2017 | Funded |
| 2019 | | | Churchill County | 750 | PER and ER for redundant source | 100,000 | 1/14/2020 | 2/26/2020 | Funded |
| 2019 | | | Lovelock Meadows Water District | 3,900 | Rehabilitation of storage tank | 500,000 | 1/14/2020 | 3/4/2020 | Funded |
| 2019 | | | Roark Estates | 62 | Rehabilitation of storage tank | 213,000 | 1/14/2020 | 3/23/2020 | Funded |
| 2019 | | | West Wendover, City of | 4,406 | Refinancing USDA debt | 2,173,729 | 8/15/2019 | 8/15/2019 | Funded |
| Total SFY2020 Commitments | | | | | | 3,080,904 | | | |
| Total SFY2020 Commitments | | | | | | 3,080,904 | | | |

^A2020 Drinking Water Priority List

^BNRP=Not Ready to Proceed

SFY20 Loan Activities

| Loan Number | Community Name/Project Sponsor | Needs Category | Interest Rate | Population | D ^A | Activity | Initial Commitment | Changes | Final Commitment | Principal Forgiveness |
|---------------|---------------------------------|-------------------------------|---------------|------------|----------------|---------------|--------------------|---------------|----------------------|-----------------------|
| DW1904 | Riverbelle Mobile Home Park | Transmission and distribution | 2.86% | 150 | | Add money and | 343,563.00 | 94,175.00 | 437,738.00 | |
| DW2001 | Churchill County | Planning Only | PF | 750 | | Open loan | 100,000.00 | | Still Open | 100,000.00 |
| DW2002 | Lovelock Meadows Water District | Storage | PF | 3,900 | D | Open loan | 500,000.00 | | Still Open | 500,000.00 |
| DW2003 | Roark Estates Water Association | Storage | PF | 62 | D | Open loan | 213,000.00 | | Still Open | 213,000.00 |
| DW1908 | West Wendover, City of | Refinancing or Restructuring | 2.16% | 4,406 | | Open loan / | 2,173,729.00 | - | 2,173,729.00 | |
| DW1914 | Washoe County School District | Consolidation | PF | 250 | | Closed loan | 500,000.00 | - | 500,000.00 | 500,000.00 |
| DW1709 | Las Vegas Valley Water District | Transmission and distribution | 2.41% | 1,347,550 | | Closed loan | 15,000,000.00 | - | 15,000,000.00 | |
| DW1806 | Tonopah, Town of | Other - meter replacement | PF | 2,600 | D | Closed loan | 500,000.00 | - | 500,000.00 | 500,000.00 |
| DW1606 | Esmeralda County - Silver Peak | Transmission and distribution | PF | 138 | D | Closed loan | 499,424.00 | (10,946.56) | 488,477.44 | 488,477.44 |
| DW1811 | Esmeralda County - Silver Peak | Transmission and distribution | PF | 138 | D | Closed loan | 399,508.00 | (2,704.05) | 396,803.95 | 396,803.95 |
| DW1810 | Lander County - Austin | Design Only | PF | 350 | | Closed loan | 72,000.00 | - | 72,000.00 | 72,000.00 |
| DW1706 | Hawthorne Utilities | Planning Only | PF | 3,300 | | Closed loan | 63,000.00 | - | 63,000.00 | 63,000.00 |
| DW1705 | Alamo Sewer and Water GID | Planning Only | PF | 900 | | Closed loan | 60,000.00 | - | 60,000.00 | 60,000.00 |
| DW1507 | Trout Canyon | Planning Only | PF | 140 | | Closed loan | 44,300.00 | - | 44,300.00 | 44,300.00 |
| Totals | | | | | | | 20,468,524 | 80,524 | 19,736,048.39 | 2,937,581 |

New Projects in SFY 2020

Communities of less than 10,000 population

^ADisadvantaged Communities

| | | |
|----------|---------------------|-------------------|
| 4 | 2,986,729.00 | 813,000.00 |
| 4 | 2,986,729.00 | 813,000.00 |
| 2 | 713,000.00 | 713,000.00 |

Closed and De-Obligated

| | | | | |
|-----------|----------------------|------------------|----------------------|---------------------|
| 11 | 19,655,524.00 | 80,524.39 | 19,736,048.39 | 2,124,581.39 |
|-----------|----------------------|------------------|----------------------|---------------------|

Paid Off Loans

SNWA1 Southern Nevada Water Authority

| | | | |
|----------|----------------------|------------------|-----------------|
| 1 | Interest Rate | Principal | Interest |
| | 3.61% | 12,269,695.00 | 5,111,541.30 |

| SFY 2020 Drinking Water Grant Requirements | | | | Subsidy Requirements | | | |
|--|-----------|----------|--------------------|----------------------|---------------|---------------|---------------|
| Facility | Status | Contract | Date of Commitment | 2017 Grant | 2018 Grant | 2019 Grant | 2020 Grant |
| Esmeralda Co - Silver Peak | Actuals | DW1606 | 6/24/2016 | 6,447.53 | | | |
| Esmeralda Co - Silver Peak | Actuals | DW1811 | 4/16/2018 | 205,982.88 | | | |
| Trout Canyon | Actuals | DW1507 | 6/1/2016 | 10,961.50 | | | |
| Silver Knolls Mutual Water Company | Actuals | DW1408 | 7/14/2014 | 25,856.25 | | | |
| Alamo Sewer and Water GID | Actuals | DW1705 | 2/22/2017 | 3,000.00 | | | |
| Hawthorne Utilities | Actuals | DW1706 | 12/16/2016 | 747.50 | | | |
| Austin | Actuals | DW1810 | 4/30/2018 | 9,800.00 | | | |
| Las Vegas Valley Water District - Big Bend | Actuals | DW1906 | 12/21/2018 | 199,220.00 | | | |
| Mount Rose Bowl POWC | Actuals | DW1907 | 4/17/2019 | 102,971.00 | | | |
| Silver Springs Mutual Water Company | Actuals | DW1911 | 6/25/2019 | 256,975.95 | | | |
| Beatty Water and Sanitation District | Actuals | DW1913 | 6/25/2019 | 475,000.00 | | | |
| Washoe County School District | Actuals | DW1914 | 6/25/2019 | 500,000.00 | | | |
| Roark Estates GID | Actuals | DW2003 | 3/23/2020 | 3,588.25 | | | |
| Churchill County | Actuals | DW2001 | 2/26/2020 | 100,000.00 | | | |
| Lovelock Meadows Water District | Actuals | DW2002 | 3/4/2020 | 186,885.24 | | | |
| Kingsbury GID | Projected | DW1812 | 5/15/2018 | 100,000.00 | | | |
| Truckee Meadows Water Authority - Old 40 West | Projected | DW1903 | 10/22/2018 | 100,000.00 | | | |
| Las Vegas Valley Water District - Big Bend | Projected | DW1906 | 12/21/2018 | 63,163.90 | 237,616.10 | | |
| Mount Rose Bowl POWC | Projected | DW1907 | 4/17/2019 | | 368,424.00 | | |
| Humboldt County - McDermitt | Projected | DW1909 | 4/17/2019 | | 568,800.00 | | |
| Humboldt County - Starr City | Projected | DW1910 | 4/17/2019 | | 575,000.00 | | |
| Silver Springs Mutual Water Company | Projected | DW1911 | 6/25/2019 | | 19,936.55 | | |
| Beatty Water and Sanitation District | Projected | DW1912 | 6/25/2019 | | 42,755.00 | | |
| Roark Estates GID | Projected | DW2003 | 3/23/2020 | | 209,411.75 | | |
| Lovelock Meadows Water District | Projected | DW2002 | 3/4/2020 | | 313,114.76 | | |
| McGill Ruth CWSGID | Projected | FY 2021 | | | 80,750.00 | | |
| Lovelock Meadows Water District | Projected | FY 2021 | | | 159,391.84 | 840,608.16 | |
| Hawthorne Utilities | Projected | FY 2021 | | | | 1,000,000.00 | |
| Topaz Ranch Estate GID | Projected | FY 2021 | | | | 79,662.00 | |
| Alamo Sewer and Water GID | Projected | Pending | | | | 1,000,000.00 | |
| Las Vegas Valley Water District - Big Bend | Projected | Pending | | | | 396,289.84 | 603,710.16 |
| Southern Nevada Water Authority | Projected | Pending | | | | | 250,000.00 |
| Douglas County - Cave Rock | Projected | Pending | | | | | 250,000.00 |
| Cottonwood MHP | Projected | Pending | | | | | 24,500.00 |
| | | | Subtotal | 2,350,600.00 | 2,575,200.00 | 3,316,560.00 | 1,128,210.16 |
| Total Federal Grant Amount | | | | 11,753,000.00 | 12,876,000.00 | 12,756,000.00 | 12,764,000.00 |
| Percent of grant used as additional subsidy | | | | 20.00% | 20.00% | 26.00% | 8.84% |

| | SFY 2020 | | Cumulative | | Percent of |
|---|----------|--------------|------------|------------------|---------------|
| | Count | Dollars | Count | Dollars | Total Dollars |
| Project Needs | | | | | |
| Planning and Design Only | 1 | 100,688.00 | 68 | 26,456,575.00 | 8.6% |
| Treatment | 0 | - | 37 | \$75,336,839.00 | 24.6% |
| Transmission & Distribution | 0 | 79,836.00 | 42 | \$98,769,024.00 | 32.3% |
| Source | 0 | - | 25 | \$27,488,928.00 | 9.0% |
| Storage | 2 | 713,000.00 | 18 | \$28,108,571.00 | 9.2% |
| Purchase of Systems | 0 | - | 2 | \$844,283.00 | 0.3% |
| Restructuring | 0 | - | 0 | \$0.00 | 0.0% |
| Land Acquisition | 0 | - | 2 | \$475,395.00 | 0.2% |
| Other | 0 | \$0.00 | 22 | 48,569,916.00 | 15.9% |
| Subtotal Project Needs* | 3 | \$893,524.00 | 216 | \$306,049,531.00 | 100% |
| <i>*Assistance Agreements are counted in more than one category if project is funding different needs</i> | | | | | |

| Population | | | | | |
|---------------------------------|---|--------------|-----|------------------|-------|
| Population less than 501 | 1 | 293,524.00 | 54 | 22,013,441.00 | 7.2% |
| Population 501 to 3,300 | 1 | \$100,000.00 | 34 | \$30,009,752.00 | 9.8% |
| Population 3,301 to 10,000 | 1 | \$473,729.00 | 22 | \$67,240,993.00 | 22.0% |
| Population 10,001 to 100,000 | 0 | \$0.00 | 8 | \$75,978,902.00 | 24.8% |
| Population greater than 100,000 | 0 | \$0.00 | 12 | \$110,806,443.00 | 36.2% |
| Subtotal Compliance | 3 | \$867,253.00 | 130 | \$306,049,531.00 | 100% |

| Other | | | | | |
|-----------------------|---|------------|----|---------------|-------|
| Disadvantaged Systems | 2 | 713,000.00 | 47 | 30,949,479.00 | 10.1% |
| Private Systems | 1 | 307,175.00 | 26 | 14,210,788.00 | 4.6% |

Attachment C—DWSRF Set-Aside Banked Authority

| | | | 2% Small System Technical Assistance | | | | |
|---------------------|-------------------|-------------|--------------------------------------|--------------------|---------------------|-----------------------------|--------------------------------|
| Grant Award Date | Grant Name | Amount | Award | Amend Authority | Banked Authority | Banked Authority Used | Total Used for Set-aside |
| | | | 9/1/1999 | FS-99996099 | 14,585,100 | 291,702 | |
| 11/21/1999 | FS-99996098 | 12,558,800 | 223,608 | | | | 223,608 |
| 8/24/2001 | FS-99996001 | 7,757,000 | 155,140 | | | | 155,140 |
| 7/29/2002 | FS-99996002 | 15,841,600 | 124,626 | 192,206 | | | 316,832 |
| 9/24/2003 | FS-99996003 | 8,004,100 | 160,082 | | | | 160,082 |
| 1/18/2005 | FS99996005 | 8,303,100 | 166,062 | | | | 166,062 |
| 7/5/2005 | FS99996005-1 | 8,285,500 | 165,710 | | | | 165,710 |
| 6/16/2006 | FS99996006 | 8,229,300 | 164,586 | | | | 164,586 |
| 7/3/2007 | FS99996007 | 8,229,000 | 164,580 | | 108,050 | (108,050) | 56,530 |
| 10/1/2008 | FS99996008 | 8,146,000 | 162,920 | | | | 162,920 |
| 9/2/2009 | 0F00T04909 0 ARRA | 19,500,000 | 390,000 | | 390,000 | (28,870) | 0 |
| 5/1/2010 | FS99996010-0 | 21,719,000 | 434,380 | | | | 434,380 |
| 9/20/2011 | FS99996011 | 9,268,000 | 185,360 | | | | 185,360 |
| 8/9/2012 | FS99996012 | 9,125,000 | 182,500 | | | | 182,500 |
| 9/20/2013 | FS99996013 | 8,421,000 | 168,420 | | 168,420 | | 0 |
| 9/18/2014 | FS99996014 | 12,614,000 | 252,280 | 127,930 | 24,350 | | 227,930 |
| 9/29/2015 | FS99996015 | 12,531,000 | 250,620 | | 100,620 | | 150,000 |
| 8/16/2016 | FS99996016 | 11,854,000 | 237,080 | 164,000 | 27,080 | 136,920 | 374,000 |
| 9/8/2017 | FS99996017 | 11,753,000 | 235,060 | (62,450) | 62,450 | | 172,610 |
| 9/20/2018 | FS99996018 | 12,876,000 | 257,520 | | 81,857 | | 175,663 |
| 8/29/2019 | FS99996019 | 12,756,000 | 255,120 | | 0 | | 255,120 |
| 9/17/2020 | FS99996020 | 12,764,000 | 255,280 | | 82,730 | | 172,550 |
| | | 255,120,500 | 4,114,716 | 421,686 | 880,970 | 0 | 3,589,952 |

| | | | 4% Administration | | | | |
|------------------|-------------------|-------------|-------------------|-----------------|------------------|-----------------------|--------------------------|
| Grant Award Date | Grant Name | Amount | Award | Amend Authority | Banked Authority | Banked Authority Used | Total Used for Set-aside |
| 9/1/1999 | FS-99996099 | 14,585,100 | 583,404 | | | | 583,404 |
| 11/21/1999 | FS-99996098 | 12,558,800 | 502,352 | | | | 502,352 |
| 8/24/2001 | FS-99996001 | 7,757,000 | 310,280 | | | | 310,280 |
| 7/29/2002 | FS-99996002 | 15,841,600 | 249,251 | 384,413 | | | 633,664 |
| 9/24/2003 | FS-99996003 | 8,004,100 | 320,164 | | | | 320,164 |
| 1/18/2005 | FS99996005 | 8,303,100 | 332,124 | | | | 332,124 |
| 7/5/2005 | FS99996005-1 | 8,285,500 | 331,420 | | | | 331,420 |
| 6/16/2006 | FS99996006 | 8,229,300 | 329,172 | | 128,168 | (112,168) | 201,004 |
| 7/3/2007 | FS99996007 | 8,229,000 | 329,160 | | 329,160 | (55,172) | 0 |
| 10/1/2008 | FS99996008 | 8,146,000 | 325,840 | | | | 325,840 |
| 9/2/2009 | 0F00T04909 0 ARRA | 19,500,000 | 780,000 | | 763,230 | | 16,770 |
| 5/1/2010 | FS99996010-0 | 21,719,000 | 868,760 | | 231,804 | | 636,956 |
| 9/20/2011 | FS99996011 | 9,268,000 | 370,720 | | | | 370,720 |
| 8/9/2012 | FS99996012 | 9,125,000 | 365,000 | | 65,000 | | 300,000 |
| 9/20/2013 | FS99996013 | 8,421,000 | 336,840 | | | | 336,840 |
| 9/18/2014 | FS99996014 | 12,614,000 | 504,560 | | 404,560 | | 100,000 |
| 9/29/2015 | FS99996015 | 12,531,000 | 501,240 | | 126,240 | | 375,000 |
| 8/16/2016 | FS99996016 | 11,854,000 | 474,160 | 361,500 | 194,160 | 167,340 | 641,500 |
| 9/8/2017 | FS99996017 | 11,753,000 | 470,120 | (154,000) | 154,000 | | 316,120 |
| 9/20/2018 | FS99996018 | 12,876,000 | 515,040 | | 265,764 | | 249,276 |
| 8/29/2019 | FS99996019 | 12,756,000 | 510,240 | | 98,240 | | 412,000 |
| 9/17/2020 | FS99996020 | 12,764,000 | 510,560 | | 90,930 | | 419,630 |
| | | 255,120,500 | 8,284,567 | 591,913 | 2,396,322 | 0 | 6,634,158 |

| | | | 10% State Program Management | | | | |
|------------------|-------------------|-------------|------------------------------|-----------------|------------------|-----------------------|--------------------------|
| Grant Award Date | Grant Name | Amount | Award | Amend Authority | Banked Authority | Banked Authority Used | Total Used for Set-aside |
| 9/1/1999 | FS-99996099 | 14,585,100 | 1,396,795 | | | | 1,396,795 |
| 11/21/1999 | FS-99996098 | 12,558,800 | 559,006 | | | | 559,006 |
| 8/24/2001 | FS-99996001 | 7,757,000 | 742,433 | | | | 742,433 |
| 7/29/2002 | FS-99996002 | 15,841,600 | 623,128 | 961,032 | | | 1,584,160 |
| 9/24/2003 | FS-99996003 | 8,004,100 | 800,410 | | | | 800,410 |
| 1/18/2005 | FS99996005 | 8,303,100 | 516,926 | | | | 516,926 |
| 7/5/2005 | FS99996005-1 | 8,285,500 | 296,998 | | | | 296,998 |
| 6/16/2006 | FS99996006 | 8,229,300 | 642,027 | | | | 642,027 |
| 7/3/2007 | FS99996007 | 8,229,000 | 635,121 | | | | 635,121 |
| 10/1/2008 | FS99996008 | 8,146,000 | 703,000 | | | | 703,000 |
| 9/2/2009 | 0F00T04909 0 ARRA | 19,500,000 | 1,950,000 | | 1,505,821 | (955,400) | 444,179 |
| 5/1/2010 | FS99996010-0 | 21,719,000 | 2,171,900 | | 510,222 | | 1,661,678 |
| 9/20/2011 | FS99996011 | 9,268,000 | 926,800 | | 171,378 | | 755,422 |
| 8/9/2012 | FS99996012 | 9,125,000 | 912,500 | | 794,334 | | 118,166 |
| 9/20/2013 | FS99996013 | 8,421,000 | 842,100 | | 842,100 | | 0 |
| 9/18/2014 | FS99996014 | 12,614,000 | 1,261,400 | 562,625 | 698,775 | | 562,625 |
| 9/29/2015 | FS99996015 | 12,531,000 | 1,253,100 | | 303,100 | | 950,000 |
| 8/16/2016 | FS99996016 | 11,854,000 | 1,185,400 | 955,400 | 45,400 | 955,400 | 2,095,400 |
| 9/8/2017 | FS99996017 | 11,753,000 | 1,175,300 | | 45,301 | | 1,129,999 |
| 9/20/2018 | FS99996018 | 12,876,000 | 1,287,600 | | 259,432 | | 1,028,168 |
| 8/29/2019 | FS99996019 | 12,756,000 | 1,275,600 | | 175,600 | | 1,100,000 |
| 9/17/2020 | FS99996020 | 12,764,000 | 1,276,400 | | 0 | | 1,276,400 |
| | | 255,120,500 | 18,594,344 | 2,479,057 | 4,916,431 | 0 | 15,594,345 |

Attachment D—DWSRF Set-Aside Budget Reconciliation

| Actual Expenditures for SFY 2020 | | | | | | | | | |
|------------------------------------|----------------------------|-----------------------------|------------|---------------------------------|--------------------|------------------------------------|---------------------------------------|-----------------------------------|--------------------|
| Tasks | 2% Set-Aside Small Systems | 4% Set-Aside Administration | PWSS Grant | Other Sources of Funds for BSDW | 10% Set-Aside PWSS | 15% Set-Aside Capacity Development | 15% Set-Aside Source Water Protection | 15% Set-Aside Wellhead Protection | Total Expenditures |
| SALARIES/BENEFITS | | 213,102.74 | 483,555.98 | 1,230,472.45 | 788,958.58 | | 226,273.58 | 164,298.36 | 3,106,662 |
| LABOR INDIRECT COST | | 44,879.44 | 101,837.02 | 258,737.37 | 166,480.16 | | 47,660.43 | 34,668.53 | 654,263 |
| OPERATING EQUIPMENT | | 32,925.00 | - | 125,230.83 | 113,694.73 | | 1,163.99 | 1,378.42 | 274,393 |
| CONTRACTS | 51,047.00 | 54,458.16 | - | 65,981.07 | 86,191.88 | | - | - | - |
| SUBAWARDS TRAINING | 147,775.25 | - | 98,107.00 | 799.00 | 140,925.75 | 157,524.83 | - | 269,229.58 | 526,908 |
| TOTAL TRAVEL | - | 3,946.36 | - | 17,858.67 | 19,621.08 | - | 5,331.00 | 181.16 | 46,938 |
| OUT-OF-STATE SUB | | 3,058.89 | | 9,291.13 | 5,507.70 | | | | 17,858 |
| IN-STATE SUB | | 887.47 | | 8,567.54 | 14,113.38 | | 5,331.00 | 181.16 | 29,081 |
| Totals | | 198,822 | 683,500 | 1,699,079 | 1,315,872 | 157,525 | 280,429 | 469,756 | 5,154,552 |
| State Approved Budget Expenditures | | | | | | | | | |
| Tasks | 2% Set-Aside Small Systems | 4% Set-Aside Administration | PWSS Grant | Other Sources of Funds for BSDW | 10% Set-Aside PWSS | 15% Set-Aside Capacity | 15% Set-Aside Source Water Protection | 15% Set-Aside Wellhead Protection | Total Expenditures |
| SALARIES/BENEFITS | | 285,215 | 593,832 | 1,194,180 | 781,480 | | 224,810 | 170,413 | 3,249,930 |
| LABOR INDIRECT COST | | 58,794 | 123,061 | 239,935 | 164,579 | | 47,345 | 35,889 | 671,603 |
| OPERATING EQUIPMENT | | 38,397 | - | 236,104 | 179,112 | | 2,943 | 126,165 | 582,721 |
| CONTRACTS | 52,745 | 52,745 | 98,107 | 132,208 | 60,060 | 229,146 | - | 270,395 | 270,395 |
| SUBAWARDS TRAINING | 226,122 | 930 | - | 799 | 151,893 | - | - | - | 245,013 |
| TOTAL TRAVEL | - | 6,805 | - | 7,614 | 34,654 | - | 5,331 | - | 705,268 |
| OUT-OF-STATE SUB | | 4,767 | | 5,882 | 7,471 | | | | 1,729 |
| IN-STATE SUB | | 2,038 | | 1,732 | 27,183 | | 5,331 | | 54,404 |
| Totals | 226,122 | 442,886 | 817,000 | 1,810,840 | 1,371,778 | 229,146 | 280,429 | 602,862 | 36,284 |
| | | | | | | | | | 5,781,063 |

| Difference to Budget | | | | | | | | | |
|-----------------------------|---------------------------------------|--|-------------------|--|-------------------------------|---|--|--|-------------------------------|
| Tasks | 2% Set-Aside Small Systems | 4% Set-Aside Administration | PWSS Grant | Other Sources of Funds for BSDW | 10% Set-Aside PWSS | 15% Set-Aside Capacity Development | 15% Set-Aside Source Water Protection | 15% Set-Aside Wellhead Protection | Total Expenditures |
| SALARIES/BENEFITS | - | 72,112 | 110,276 | (36,292) | (7,479) | - | (1,464) | 6,115 | 143,268 |
| LABOR INDIRECT COST | - | 13,915 | 23,224 | (18,802) | (1,901) | - | (315) | 1,220 | 17,340 |
| OPERATING | - | 5,472 | - | 110,873 | 65,417 | - | 1,779 | 124,787 | 308,328 |
| EQUIPMENT | - | - | - | - | - | - | - | 270,395 | 270,395 |
| CONTRACTS | (51,047) | (1,713) | - | 66,227 | (26,132) | - | - | (269,230) | (281,895) |
| SUBA W/ARDS | 78,347 | - | - | - | 10,967 | 71,621 | - | - | 160,935 |
| TRAINING | - | 673 | - | - | - | - | - | - | 673 |
| TOTAL TRAVEL | - | 2,859 | - | (10,245) | 15,033 | - | - | (181) | 7,466 |
| OUT-OF-STATE SUB | - | 1,708 | - | (3,409) | 1,963 | - | - | - | 262 |
| IN-STATE SUB | - | 1,151 | - | (6,836) | 13,070 | - | - | (181) | 7,203 |
| Totals | 27,300 | 93,318 | 133,500 | 111,761 | 55,906 | 71,621 | 0 | 133,106 | 626,511 |