

PERFORMANCE CERTIFICATION POLICY

North Carolina Division of Water Quality

Construction Grants and Loans Section

The procedures established for the administration of the Federal State Revolving Loans state that on the date one year after the completion of construction and initial operation of such treatment works, the owner and operator of such treatment works shall certify to the Division of Water Quality (DWQ), Construction Grants and Loans Section whether or not such treatment works meet the design specifications and effluent limitations contained in the loan agreement and permit.

DEFINITIONS

Effluent limitations are defined as the limits in the NPDES discharge permit.

Project performance standards are defined as the performance and operational requirements applicable to a project including the enforceable requirements of the Federal Clean Water Act and the degree of treatment the plant is planned and designed to meet.

Initiation of operation is defined as the date that the recipient assumed the responsibility for the operation of the entire facilities. This date may be established by the recipient, but in no case will it be later than State Construction Inspection Unit's (CIU) determination that the recipient has beneficial use of the facilities.

NOTIFICATION

The recipient is required to notify, in writing, the date of start of operation. In no case will it be later than the CIU determination that the recipient has beneficial use. This shall start the one-year performance period. Notification shall be submitted no later than thirty (30) days after the initiation of operation as previously defined.

PERFORMANCE STANDARDS

The recipient shall submit the proposed project performance standards to the Construction Grants and Loans Section of the Division of Water Quality. Acceptable performance standards will be as follows:

1. Treatment Works with Discharge Permits – The facilities must meet the NPDES effluent limitations and the design criteria for solids handling. Facilities operating at less than design load must also include an estimate of performance at design load.
2. Treatment Works which are non-discharging – The facilities must meet design criteria at design load or an estimate of performance if evaluated at less than design load.
3. Interceptors and Pump Stations – Certification that interceptors and pump stations have been constructed in accordance with the design criteria and the approved construction drawings and specifications and have met all required tests.
4. Sewer Rehabilitation – Certification that the rehabilitation has been performed in accordance with the approved construction drawings and specifications and that the treatment works meet permit limitations without chronic bypasses or overflows.
5. Segmented/Phased Projects – Same as 1 or 2 above. Certification will be made one (1) year after completion of the final construction contract under the loan agreement.

The following special conditions will be included in the loan:

Project performance standards referred to in the special conditions shall be defined as follows:

1. The NPDES requirements are defined as follows:

BOD ₅ (Summer)	_____ mg/l
BOD ₅ (Winter)	_____ mg/l
SS	_____ mg/l
NH ₃ N (Summer)	_____ mg/l
NH ₃ N (Winter)	_____ mg/l
Dissolved Oxygen	_____ mg/l
Fecal Coliform	_____ col./100 ml
Chlorine Residual	_____ mg/l
Other _____	

2. The plans and specifications approved by the Division of Water Quality

PERFORMANCE CERTIFICATION

The State shall be notified by letter of either certification or non-certification. If certification is not the case, then the recipient must submit the corrective plan and schedule to the state within 30 days of the date that the project certification was due.

For projects that cannot give affirmative project performance certification, the final report will be in the form of the corrective action plan. The corrective action plan will include:

- An analysis of cause of the project's failure to meet performance standards (including the quantity of infiltration/inflow proposed to be eliminated), and an estimate of the nature, scope, and cost of the corrective action necessary to bring the project into compliance.
- The schedule for undertaking, in a timely manner, the corrective action necessary to bring the project into compliance.
- The scheduled date for certifying that the project is meeting the project performance standards.

The cost of preparing the corrective action report, as well as the corrective action necessary to bring a project into compliance with the project performance standards, is not eligible for loan participation.

PROJECT PERFORMANCE & CERTIFICATION REPORT FOR SRF LOANS

PERFORMANCE

This form is required to be completed by the recipient and submitted to the North Carolina Division of Water Quality, Construction Grants and Loans Section on the date one year after initiation of operation of the project.

Recipient: _____
 Loan No. _____ Date of Initiation of Operation: _____
 Amount: _____ Date of Performance Report: _____

Type of Facilities Constructed (Check all that apply)

Treatment _____ Sewer Rehabilitation _____
 Interceptors _____ Pump Stations _____
 Collection _____ Force Mains _____

For Projects Including Treatment:

(S) – Summer (W) – Winter

	Flow (MGD)	BOD ₅ (mg/l)	SS (mg/l)	NH ₃ -N (mg/l)	F-C (100 ml)	CL ₂ Res (mg/l)	DO (mg/l)	PH Units	Other (Identify)
NPDES Permit (S)									
NPDES Permit (W)									
Actual Performance									
Date(s) of Test(s)									

For Projects Including Pump Stations:

Station	Design Pumping Capacity and Head	Actual Pumping Capacity and Head	Date of Test
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

For Projects Including Sewer Rehabilitation:

I/I projected to be removed by the funded sewer rehabilitation: _____ gpd.

Actual I/I removed: _____ gpd.

Has the rehabilitation been performed in accordance with the approved plans and specifications? _____

Does the treatment facility meet permit limitations without chronic bypasses or overflows? _____

For Projects Including Sludge Processing Units:

Unit Process _____

Design % solids and/or design rate of sludge handling _____

Actual % solids and/or design rate of processed sludge _____

For All Projects

Summarize observations made during performance period:

Furnished By: _____

Date: _____

CERTIFICATION

Complete either Part I or Part II as appropriate. Do not complete both.

Part I: Project Meets Performance Standards

I certify that, on the date one year from the initiation of operation, the project described on the attached Project Performance Report met all design criteria and effluent limitations contained in the loan agreement and NPDES permit.

(Authorized Representative) (Title) (Date)

Part II: Project Does Not Meet Project Performance Standards

I certify that the project described on the attached Project Performance Report does not meet all of the design criteria and effluent limitations contained in the loan agreement and the NPDES Permit. I certify that the corrective action to bring the project into compliance with the project performance standards will be undertaken at other than State/Federal SRF Loan expense. I certify that within 30 days the following will be submitted to the North Carolina Division of Water Quality, Construction Grants and Loans Section:

A corrective action report which includes an analysis of the cause of the project's inability to meet performance standards including the nature, scope and estimated cost of the corrective action necessary to bring the project into compliance.

The schedule for undertaking, in a timely manner, the corrective action necessary to bring the project into compliance; and

The scheduled date for certifying to the State that the project is meeting the project performance standards.

(Authorized Representative) (Title) (Date)