

NOTICES OF SUBSTANTIVE POLICY STATEMENTS

The Administrative Procedure Act requires the publication of substantive policy statements issued by agencies (A.R.S. § 41-1013(B)(14)). Substantive policy statements are written expressions which inform the general public of an agency's current approach to rule or regulation practice. Substantive policy statements are advisory only. A substantive policy statement does not include internal procedural documents that only affect the internal procedures of the agency and does not impose additional requirements or penalties on regulated parties or include confidential information or rules made in accordance with the Arizona Administrative Procedure Act. If you believe that a substantive policy statement does impose additional requirements or penalties on regulated parties you may petition the agency under A.R.S. § 41-1033 for a review of the statement.

NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-374]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: WIFA Board Resolutions

Identification Number: I.3

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

April 20, 2011

3. Summary of the contents of the substantive policy statement:

The Authority issued a policy to describe and standardize the resolutions considered and acted upon by WIFA Committees and WIFA's Board of Directors.

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:

Not applicable

5. A statement as to whether the substantive policy statement is a new statement or a revision:

This is a revised substantive policy statement.

6. The agency contact person who can answer questions about the substantive policy statement:

Name: Sandy Sutton, Executive Director

Address: Water Infrastructure Finance Authority
1110 W. Washington St., Suite 290
Phoenix, AZ 85007

Telephone: (602) 364-1310

Fax: (602) 364-1327

E-mail: ssutton@azwifa.gov

Web site: www.azwifa.gov

7. Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:

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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-375]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: WIFA Board and Committee Meetings

Identification Number: I.6

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

April 20, 2011

3. Summary of the contents of the substantive policy statement:

The Authority issued a policy to describe WIFA's Board of Directors positions on the board and committees.

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:

Not applicable

5. A statement as to whether the substantive policy statement is a new statement or a revision:

This is a new substantive policy statement.

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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-376]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: Legislative Representative Designation

Identification Number: 1.8

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

August 17, 2011

3. Summary of the contents of the substantive policy statement:

The Authority issued a policy to identify the lobbyists designated and authorized to represent WIFA.

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:

Not applicable

5. A statement as to whether the substantive policy statement is a new statement or a revision:

This is a revised substantive policy statement.

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NOTICE OF SUBSTANTIVE POLICY STATEMENT
WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-377]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: Project of the Year Award
Identification Number: I.12

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

February 15, 2012

3. Summary of the contents of the substantive policy statement:

The Authority issued a policy to annually recognize exceptional WIFA projects.

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:

Not applicable

5. A statement as to whether the substantive policy statement is a new statement or a revision:

This is a new substantive policy statement.

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NOTICE OF SUBSTANTIVE POLICY STATEMENT
WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-378]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: Disbursement Requisition Processing
Identification Number: I.15

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the

issuance date:

August 17, 2011

3. Summary of the contents of the substantive policy statement:

The Authority issued a policy to ensure conformity in disbursement requisition submission and processing.

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:

Not applicable

5. A statement as to whether the substantive policy statement is a new statement or a revision:

This is a revised substantive policy statement.

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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-379]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: Public Access to Public Records Policy
Identification Number: I.16

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

August 17, 2011

3. Summary of the contents of the substantive policy statement:

The Authority issued a policy to provide guidance to WIFA board and staff on how to respond to requests for public records.

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:

Not applicable

5. A statement as to whether the substantive policy statement is a new statement or a revision:

This is a revised substantive policy statement.

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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-380]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: Intended Use Plan and Project Priority List Development and Update

Identification Number: II.1

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

October 20, 2010

3. Summary of the contents of the substantive policy statement:

The Authority issued a policy to ensure standardization of the Intended Use Plan and Project Priority List process for revolving funds and technical assistance.

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:

Not applicable

5. A statement as to whether the substantive policy statement is a new statement or a revision:

This is a revised substantive policy statement.

6. The agency contact person who can answer questions about the substantive policy statement:

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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-381]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: Environmental Review Overview of Design and Construction Projects

Identification Number: II.2

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

October 20, 2010

3. Summary of the contents of the substantive policy statement:

The Authority issued a policy to determine whether a proposed project meets the criteria for a categorical exclusion or whether it requires preparation of an environmental assessment or an environmental impact statement to identify and evaluate its impacts on the environment.

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court

Notices of Substantive Policy Statements

judgment that underlies the substantive policy statement:

Not applicable

5. A statement as to whether the substantive policy statement is a new statement or a revision:

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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-382]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: Construction Observations

Identification Number: II.3

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

October 20, 2010

3. Summary of the contents of the substantive policy statement:

The Authority issued a policy to establish the need for and purpose of construction observations.

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:

Not applicable

5. A statement as to whether the substantive policy statement is a new statement or a revision:

This is a revised substantive policy statement.

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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-383]

1. **Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:**
Document Title: Multiple Grant Awards
Identification Number: II.5
2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
October 17, 2012
3. **Summary of the contents of the substantive policy statement:**
The Authority issued a policy to describe WIFA's restrictions on multiple grant awards.
4. **Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:**
Not applicable
5. **A statement as to whether the substantive policy statement is a new statement or a revision:**
This is a revised substantive policy statement.
6. **The agency contact person who can answer questions about the substantive policy statement:**
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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-384]

1. **Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:**
Document Title: Water Rights Acquisition Policy
Identification Number: II.6
2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
December 15, 2010
3. **Summary of the contents of the substantive policy statement:**
The Authority issued a policy to identify the factors used to evaluate projects that include water rights acquisition.
4. **Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:**
Not applicable
5. **A statement as to whether the substantive policy statement is a new statement or a revision:**
This is a revised substantive policy statement.
6. **The agency contact person who can answer questions about the substantive policy statement:**
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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-385]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: Water and Energy Conservation Program Incentive
Identification Number: II.7

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

October 20, 2010

3. Summary of the contents of the substantive policy statement:

The Authority issued a policy to establish an incentive-based program for WIFA Financial Assistance borrowers and Technical Assistance recipients who are actively integrating energy efficiency or water efficiency/conservation concepts.

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:

Not applicable

5. A statement as to whether the substantive policy statement is a new statement or a revision:

This is a revised substantive policy statement.

6. The agency contact person who can answer questions about the substantive policy statement:

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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-386]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: Project Finance Application Policy

Notices of Substantive Policy Statements

Identification Number: II.8

2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
February 16, 2011
3. **Summary of the contents of the substantive policy statement:**
The Authority issued a policy to establish guidance for distribution of Project Finance Applications.
4. **Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:**
Not applicable
5. **A statement as to whether the substantive policy statement is a new statement or a revision:**
This is a new substantive policy statement.
6. **The agency contact person who can answer questions about the substantive policy statement:**
Name: Sandy Sutton, Executive Director
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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-387]

1. **Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:**
Document Title: Drinking Water Eligibility Requirements
Identification Number: II.9
2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
June 15, 2011
3. **Summary of the contents of the substantive policy statement:**
The Authority issued a policy to provide guidance on determining eligibility for WIFA Drinking Water funding.
4. **Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:**
Not applicable
5. **A statement as to whether the substantive policy statement is a new statement or a revision:**
This is a revised substantive policy statement.
6. **The agency contact person who can answer questions about the substantive policy statement:**
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**NOTICE OF SUBSTANTIVE POLICY STATEMENT
WATER INFRASTRUCTURE FINANCE AUTHORITY**

[M12-388]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: Clean Water Eligibility Requirements

Identification Number: II.10

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

June 15, 2011

3. Summary of the contents of the substantive policy statement:

The Authority issued a policy to provide guidance on determining eligibility for WIFA Clean Water funding.

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:

Not applicable

5. A statement as to whether the substantive policy statement is a new statement or a revision:

This is a new substantive policy statement.

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**NOTICE OF SUBSTANTIVE POLICY STATEMENT
WATER INFRASTRUCTURE FINANCE AUTHORITY**

[M12-389]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: Income Survey

Identification Number: II.11

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

August 17, 2011

3. Summary of the contents of the substantive policy statement:

The Authority issued a policy to provide guidance to applicants conducting income surveys.

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:

Not applicable

Notices of Substantive Policy Statements

5. A statement as to whether the substantive policy statement is a new statement or a revision:

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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-390]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: Financial Assistance Review and Approval

Identification Number: III.1

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

October 20, 2010

3. Summary of the contents of the substantive policy statement:

The Authority issued a policy to summarize the financial assistance review and approval process.

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:

Not applicable

5. A statement as to whether the substantive policy statement is a new statement or a revision:

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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-391]

- 1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:**
Document Title: Annual Loan Review
Identification Number: III.2
- 2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
October 17, 2012
- 3. Summary of the contents of the substantive policy statement:**
The Authority issued a policy to define the annual loan review content and schedule.
- 4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:**
Not applicable
- 5. A statement as to whether the substantive policy statement is a new statement or a revision:**
This is a revised substantive policy statement.
- 6. The agency contact person who can answer questions about the substantive policy statement:**
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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-392]

- 1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:**
Document Title: Financial Assistance Closing Costs, Closing Fees, Interest Rate Setting Methodology and Annual Fees
Identification Number: III.3
- 2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
October 20, 2010
- 3. Summary of the contents of the substantive policy statement:**
The Authority issued a policy to detail the closing costs and fees assessed to reimburse WIFA's transaction costs; summarize WIFA's methodology to set interest rates by financial assistance recipient; and detail the annual fees assessed by WIFA to offset WIFA's management and administrative costs associated with providing and servicing financial assistance.
- 4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:**
Not applicable
- 5. A statement as to whether the substantive policy statement is a new statement or a revision:**

Notices of Substantive Policy Statements

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NOTICE OF SUBSTANTIVE POLICY STATEMENT

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[M12-393]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: Smart Growth
Identification Number: III.4

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

October 20, 2010

3. Summary of the contents of the substantive policy statement:

The Authority issued a policy to summarize WIFA's incentive to communities who pursue Smart Growth principles.

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:

Not applicable

5. A statement as to whether the substantive policy statement is a new statement or a revision:

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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-394]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: Borrower Principal Repayments, Level Debt Service, Interest Payments, and Capitalized Interest
Identification Number: III.5

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

October 20, 2010

3. Summary of the contents of the substantive policy statement:

The Authority issued a policy to describe the requirements for a borrower to repay principal, repay according to level debt service, and pay interest; and to describe circumstances under which a borrower may include capitalized interest within a loan amount.

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:

Not applicable

5. A statement as to whether the substantive policy statement is a new statement or a revision:

This is a revised substantive policy statement.

6. The agency contact person who can answer questions about the substantive policy statement:

Name: Sandy Sutton, Executive Director
Address: Water Infrastructure Finance Authority
1110 W. Washington St., Suite 290
Phoenix, AZ 85007
Telephone: (602) 364-1310
Fax: (602) 364-1327
E-mail: ssutton@azwifa.gov
Web site: www.azwifa.gov

7. Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:

Copies are available at the Water Infrastructure Finance Authority, 1110 W. Washington St., Suite 290, Phoenix, AZ 85007 or from the person listed above.

NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-395]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: Disadvantaged Community Designation
Identification Number: III.6

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

June 20, 2012

3. Summary of the contents of the substantive policy statement:

The Authority issued a policy to outline the criteria to designate a drinking water system or wastewater system as a Disadvantaged Community and define the additional benefits available to Disadvantaged Communities.

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:

Not applicable

5. A statement as to whether the substantive policy statement is a new statement or a revision:

This is a revised substantive policy statement.

Notices of Substantive Policy Statements

6. The agency contact person who can answer questions about the substantive policy statement:

Name: Sandy Sutton, Executive Director
Address: Water Infrastructure Finance Authority
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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-396]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: Capability Review and Financial Assistance Requirements for Governmental Entities
Identification Number: III.7

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

October 20, 2010

3. Summary of the contents of the substantive policy statement:

The Authority issued a policy to outline qualifications to determine an applicant's financial, legal, technical, and managerial capabilities; to summarize content of WIFA's review of an applicant's historical performance; and to detail financial assistance requirements.

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:

Not applicable

5. A statement as to whether the substantive policy statement is a new statement or a revision:

This is a revised substantive policy statement.

6. The agency contact person who can answer questions about the substantive policy statement:

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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-397]

1. **Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:**
Document Title: Capability Review and Financial Assistance Requirements for Non-Governmental Entities
Identification Number: III.8
2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
October 20, 2010
3. **Summary of the contents of the substantive policy statement:**
The Authority issued a policy to outline qualifications to determine an applicant's financial, legal, technical, and managerial capability; to summarize content of WIFA's review of an applicant's historical performance; to detail financial assistance requirements; and to define levels of loan security/documentation.
4. **Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:**
Not applicable
5. **A statement as to whether the substantive policy statement is a new statement or a revision:**
This is a revised substantive policy statement.
6. **The agency contact person who can answer questions about the substantive policy statement:**
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7. **Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:**
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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-398]

1. **Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:**
Document Title: Financial Assistance Due Diligence Analysis
Identification Number: III.10
2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
October 20, 2010
3. **Summary of the contents of the substantive policy statement:**
The Authority issued a policy to summarize the format for the financial assistance due diligence analysis.
4. **Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:**
Not applicable
5. **A statement as to whether the substantive policy statement is a new statement or a revision:**
This is a revised substantive policy statement.
6. **The agency contact person who can answer questions about the substantive policy statement:**

Notices of Substantive Policy Statements

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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-399]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: Governmental Security Levels and Loan Structures

Identification Number: III.11

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

October 20, 2010

3. Summary of the contents of the substantive policy statement:

The Authority issued a policy to determine and establish appropriate loan security structures for governmental applicants.

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:

Not applicable

5. A statement as to whether the substantive policy statement is a new statement or a revision:

This is a revised substantive policy statement.

6. The agency contact person who can answer questions about the substantive policy statement:

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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-400]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: Borrower Legal Opinion Waiver

Notices of Substantive Policy Statements

Identification Number: III.12

2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
October 20, 2010
3. **Summary of the contents of the substantive policy statement:**
The Authority issued a policy to establish criteria to waive the requirement for a borrower to obtain a legal opinion as a condition to close a loan agreement.
4. **Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:**
Not applicable
5. **A statement as to whether the substantive policy statement is a new statement or a revision:**
This is a revised substantive policy statement.
6. **The agency contact person who can answer questions about the substantive policy statement:**
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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-401]

1. **Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:**
Document Title: Emergency Financial Assistance Loans
Identification Number: III.13
2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
October 20, 2010
3. **Summary of the contents of the substantive policy statement:**
The Authority issued a policy to outline the criteria for the Board to consider requests for emergency financial assistance loans pursuant to A.R.S. § 49-1269.
4. **Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:**
Not applicable
5. **A statement as to whether the substantive policy statement is a new statement or a revision:**
This is a revised substantive policy statement.
6. **The agency contact person who can answer questions about the substantive policy statement:**
Name: Sandy Sutton, Executive Director
Address: Water Infrastructure Finance Authority
1110 W. Washington St., Suite 290
Phoenix, AZ 85007
Telephone: (602) 364-1310
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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-402]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: Land Acquisition Policy

Identification Number: III.14

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

December 15, 2010

3. Summary of the contents of the substantive policy statement:

The Authority established a policy for a financial assistance loan when the purpose of the loan is solely to acquire land essential to a treatment process, well construction or other related activity permissible under federal statute.

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:

Not applicable

5. A statement as to whether the substantive policy statement is a new statement or a revision:

This is a revised substantive policy statement.

6. The agency contact person who can answer questions about the substantive policy statement:

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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-403]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: Request for Construction Loan Prepayment

Identification Number: III.15

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

August 17, 2011

3. Summary of the contents of the substantive policy statement:

The Authority issued a policy for the Board to consider borrower requests of construction loan prepayments.

Notices of Substantive Policy Statements

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:

Not applicable

5. A statement as to whether the substantive policy statement is a new statement or a revision:

This is a revised substantive policy statement.

6. The agency contact person who can answer questions about the substantive policy statement:

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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-404]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: Refinancing and Refunding Requests
Identification Number: III.16

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

October 20, 2010

3. Summary of the contents of the substantive policy statement:

The Authority issued a policy to detail pre-conditions, conditions, and criteria for the Board to consider requests from governmental applicants to refinance or refund prior debt, and to detail terms and conditions to be included within financial assistance agreements if the Board agrees to refinance or refund prior debt.

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:

Not applicable

5. A statement as to whether the substantive policy statement is a new statement or a revision:

This is a revised substantive policy statement.

6. The agency contact person who can answer questions about the substantive policy statement:

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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-405]

1. **Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:**
Document Title: Lending to Indian Communities
Identification Number: III.17
2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
October 17, 2012
3. **Summary of the contents of the substantive policy statement:**
The Authority issued a policy to outline conditions to enter into financial assistance agreements with Indian Communities, and detail minimum requirements to include within financial assistance agreements.
4. **Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:**
Not applicable
5. **A statement as to whether the substantive policy statement is a new statement or a revision:**
This is a revised substantive policy statement.
6. **The agency contact person who can answer questions about the substantive policy statement:**
Name: Sandy Sutton, Executive Director
Address: Water Infrastructure Finance Authority
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7. **Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:**
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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-406]

1. **Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:**
Document Title: Three-Year Design Loan Financial Assistance Terms
Identification Number: III.18
2. **Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
February 16, 2011
3. **Summary of the contents of the substantive policy statement:**
The Authority issued a policy to identify the terms for three-year design loans; detail the closing costs and closing fees assessed by WIFA to reimburse WIFA's transaction costs associated with providing financial assistance; summarize WIFA's methodology to set interest rates by financial assistance recipient and detail the annual fees assessed by WIFA to offset WIFA's management and administrative costs associated with providing and servicing financial assistance.
4. **Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:**
Not applicable
5. **A statement as to whether the substantive policy statement is a new statement or a revision:**

Notices of Substantive Policy Statements

This is a new substantive policy statement.

6. The agency contact person who can answer questions about the substantive policy statement:

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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-407]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: American Recovery and Reinvestment Act of 2009
Identification Number: III.19

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

August 17, 2011

3. Summary of the contents of the substantive policy statement:

The Authority issued a policy to provide financial assistance with funds provided under the American Recovery and Reinvestment Act of 2009.

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:

Not applicable

5. A statement as to whether the substantive policy statement is a new statement or a revision:

This is a revised substantive policy statement.

6. The agency contact person who can answer questions about the substantive policy statement:

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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-408]

- 1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:**
Document Title: Loan Payment
Identification Number: V.6
- 2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
August 17, 2011
- 3. Summary of the contents of the substantive policy statement:**
The Authority issued a policy to facilitate borrower loan payments.
- 4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:**
Not applicable
- 5. A statement as to whether the substantive policy statement is a new statement or a revision:**
This is a revised substantive policy statement.
- 6. The agency contact person who can answer questions about the substantive policy statement:**
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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-409]

- 1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:**
Document Title: Borrower Debt Service Reserve Earnings
Identification Number: V.7
- 2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:**
August 17, 2011
- 3. Summary of the contents of the substantive policy statement:**
The Authority issued a policy to establish policy to allocate earnings from WIFA-held borrower funded debt service reserves.
- 4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:**
Not applicable
- 5. A statement as to whether the substantive policy statement is a new statement or a revision:**
This is a revised substantive policy statement.
- 6. The agency contact person who can answer questions about the substantive policy statement:**
Name: Sandy Sutton, Executive Director

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NOTICE OF SUBSTANTIVE POLICY STATEMENT
WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-410]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: Borrower Late Payment Fees
Identification Number: V.9

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

August 17, 2011

3. Summary of the contents of the substantive policy statement:

The Authority issued a policy to provide guidance should WIFA assess borrower late payment fees.

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:

Not applicable

5. A statement as to whether the substantive policy statement is a new statement or a revision:

This is a revised substantive policy statement.

6. The agency contact person who can answer questions about the substantive policy statement:

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NOTICE OF SUBSTANTIVE POLICY STATEMENT
WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-411]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: WIFA Underwriter Services
Identification Number: V.10

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the

Notices of Substantive Policy Statements

issuance date:

August 17, 2011

3. Summary of the contents of the substantive policy statement:

The Authority issued a policy to establish the selection of underwriter services.

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:

Not applicable

5. A statement as to whether the substantive policy statement is a new statement or a revision:

This is a revised substantive policy statement.

6. The agency contact person who can answer questions about the substantive policy statement:

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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-412]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: Electronic Funds Transfer

Identification Number: V.11

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

August 17, 2011

3. Summary of the contents of the substantive policy statement:

The Authority issued a policy to facilitate borrower repayments of loan.

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:

Not applicable

5. A statement as to whether the substantive policy statement is a new statement or a revision:

This is a new substantive policy statement.

6. The agency contact person who can answer questions about the substantive policy statement:

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NOTICE OF SUBSTANTIVE POLICY STATEMENT

WATER INFRASTRUCTURE FINANCE AUTHORITY

[M12-413]

1. Title of the Substantive Policy Statement and the substantive policy statement number by which the substantive policy statement is referenced:

Document Title: Single Audit Act

Identification Number: V.12

2. Date the substantive policy statement was issued and the effective date of the policy statement if different from the issuance date:

August 17, 2011

3. Summary of the contents of the substantive policy statement:

The Authority issued a policy to ensure WIFA monitors subrecipients of Environmental Protection Agency (EPA) pass-through Federal assistance in accordance with the Single Audit Act of 1984 as amended (the Act) and the Office of Management & Budget Circular A-133 (Circular).

4. Federal or state constitutional provision; federal or state statute, administrative rule, or regulation; or final court judgment that underlies the substantive policy statement:

Not applicable

5. A statement as to whether the substantive policy statement is a new statement or a revision:

This is a revised substantive policy statement.

6. The agency contact person who can answer questions about the substantive policy statement:

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Web site: www.azwifa.gov

7. Information about where a person may obtain a copy of the substantive policy statement and the costs for obtaining the policy statement:

Copies are available at the Water Infrastructure Finance Authority, 1110 W. Washington St., Suite 290, Phoenix, AZ 85007 or from the person listed above.