IMPORTANT INTRODUCTORY NOTE:
DEQ must review and approve this completed checklist of requirements before signing a loan agreement and providing CWSRF funds.

Some of these items may take significant lead-time to develop and may require out-of-pocket expense to prepare. Prospective CWSRF applicants should review this checklist in conjunction with making the decision to apply for CWSRF funding. Applicants should discuss any questions about the required content of these items with your DEQ CWSRF Project Officer at the earliest opportunity.

☐ Exhibit A: Audited financial statements
Unless waived by DEQ, submit copies of the applicant’s audited financial statements for the past three fiscal years. Attach an explanation of any adverse opinions or disclosures, which might affect the ability to repay the CWSRF loan in a timely manner.

☐ Exhibit B: Projected cash flow statement
Submit a projected cash flow statement that includes the anticipated number of local loans, the minimum and maximum loan amounts, expected disbursement of local loans as well as the repayment schedule(s) and the loan terms (interest rate, fees, etc.). Also include the anticipated amount and timing of DEQ disbursements as well as the amount and timing of repayments to the department.

☐ Exhibit C: User charge system
Provide a copy of the user charge system if the applicant will be securing and repaying the loan with user system revenues. The rate structure must produce adequate revenues to provide for operations and maintenance (including appropriate replacement reserves) and debt service.

☐ Exhibit D: Project planning documentation
An applicant must submit an engineered, project-planning document approved by DEQ. The level of detail of this planning document is dependent on the complexity and nature of the proposed project. If a planning document has not yet been prepared and approved, please contact your CWSRF Project Officer to discuss the plan’s appropriate scope and content.

☐ Exhibit E: Environmental review document
An environmental determination obtained from the department for a nonpoint source pollution control or estuary management project that meets the Clean Water Act, section 212 definition of construction and treatment works. The department may accept an environmental determination from another agency if the project scope for that determination remains unchanged from the scope included in the application; the determination was made within the previous (5) years; and the federal environmental cross-cutting authorities have been met and documented.

Many nonpoint source projects do not require an environmental determination. However, applicants may have to complete the applicable federal environmental cross-cutting authorities.

For additional information on DEQ’s state environmental review process talk with the regional CWSRF Project Officer and review the Applicant Guide to the State Environmental Review Process at http://www.deq.state.or.us/wq/loans/docs/SERPApplicantGuide.pdf

☐ Exhibit F: Land Use Compatibility Statement
Submit a completed Land Use Compatibility Statement for the proposed project with signatures by the local land use planning authorities. This document is available at http://www.deq.state.or.us/pubs/permithandbook/lucs.htm

☐ Exhibit G: Plans and specifications
DEQ must review plans and specifications prior to program implementation, if applicable. Submit a complete set of plans and specs with the application if DEQ has not already reviewed and retained those plans.

Contact the regional CWSRF Project Officer to determine applicability.

☐ Exhibit H: Inter-agency agreements
If the project will serve two or more jurisdictions, submit copies of the inter-agency agreements, contracts or other legally binding instruments necessary for the financing, building and operation of the joint project.

☐ Exhibit I: Recent bond Issues
If requested, submit the official statement of any recently issued bonds.

☐ Exhibit J: Bonds secured with user system revenues
When there are outstanding bonds with liens against the same source of revenue as proposed for the CWSRF loan, DEQ will need to review the existing bond agreements.

☐ Exhibit K: Green project reserve business case
If the applicant seeks to have the proposed project qualify for green project reserve funding, but the project is not categorically eligible, submit a business case to DEQ to qualify it for GPR funding. For additional information, discuss this requirement with your DEQ Project Officer and review the green project reserve guidance at http://www.deq.state.or.us/wq/loans/docs/GPRProjEligibility.pdf

☐ Exhibit L: Pre-award Compliance Review Report (EPA form 4700-4)
All recipients of federal financial assistance from the US Environmental Protection Agency must comply with various non-discrimination laws. The Pre-award Compliance Review Report is required to enable DEQ to determine whether prospective recipients are developing projects, and activities on a nondiscriminatory basis as required by The Civil Rights Act of 1964, the Rehabilitation Act of 1973, the Age Discrimination Act of 1975 and the 1972 amendments to section 13 of the Clean Water Act. DEQ provides the 4700-4 form to the applicant with the draft loan agreement. The applicant returns the completed form to DEQ with the signed loan agreement.