



CLEAN WATER STATE REVOLVING FUND (CWSRF) PROGRAM CHECKLIST OF APPLICATION EXHIBITS AND REQUIREMENTS For **Nonpoint Source** Design and/or Construction Projects

IMPORTANT INTRODUCTORY NOTE:

The following exhibits must be submitted along with the **Application for Design and/or Construction of Nonpoint Source projects**. They will be reviewed and must be approved by DEQ before a loan agreement can be concluded and CWSRF funds made available. Some of the 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 so that steps can be taken to have all exhibits and requirements ready by the anticipated time of **Application** submittal. Any questions about the required content of these items should be discussed 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 Budget

Provide a copy of the most recently approved budget for the applicant.

Exhibit C User Charge System

If the applicant will be securing and repaying the loan with user system revenues, then a copy of the user charge system must be provided.

The user charge system must produce adequate revenues to provide for operations, maintenance (including replacement reserves), and debt service. Unless the CWSRF debt service is reduced by other dedicated sources of revenue, the user charge system must produce adequate revenues for CWSRF loan repayment plus an extra amount for "coverage."

Exhibit D Project Planning Documentation

A project-planning document, approved by DEQ, must be submitted. (If it is already on file with DEQ, so indicate.) The level of detail of this planning document is dependent on the complexity and nature of the proposed project. Contact your CWSRF Project Officer to discuss the appropriate scope and content.

Exhibit E Environmental Review

All projects require the submittal of a document demonstrating project compliance with federal cross cutting authorities. To assist applicants with federal cross cutter compliance, please refer to the Applicant Guide to the SERP at www.deq.state.or.us/wq/loans/envreview.htm.

Exhibit F Pre-Award Compliance Review Report (EPA Form 4700-4)

All recipients of federal financial assistance from USEPA must comply with various non-discrimination laws. The information on the Pre-Award Compliance Review Report is required to enable the USEPA to determine whether prospective recipients are developing projects, programs and activities on a nondiscriminatory basis as required by statutes such as 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. This form is available at: <http://www.deq.state.or.us/wq/loans/docs/epacomprevrpt.pdf>

Exhibit G Land Use Compatibility Statement

Complete a Land Use Compatibility Statement (LUCS) 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 H Plans and Specifications (Construction Only projects)

When appropriate, plans and specifications need to be fully approved by DEQ prior to construction. Because the types of nonpoint source projects can vary greatly, it is recommended that applicants discuss requirements for plans and specs with their CWSRF Project Officer early in the application process.

Exhibit I Value Engineering Study

If the proposed total project costs will exceed \$10 million, a Value Engineering (VE) study is strongly recommended by DEQ. A Value Engineering study, completed during the design process, is intended to control the construction costs of the project without compromising the quality.

Exhibit J Inter-agency Agreements

If the project will serve two or more jurisdictions, submit copies of the inter-jurisdictional agreements, contracts or other legally binding instruments necessary for the financing, building and operation of the proposed project.

Exhibit K Bonds Secured with User System Revenues

If 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 agreement(s).

Exhibit L Recent Bond Issues

If requested, submit the official statement of any recently issued bonds.