



State of Oregon
Department of
Environmental
Quality

CLEAN WATER STATE REVOLVING FUND (CWSRF) PROGRAM

APPLICATION EXHIBITS CHECKLIST Planning Projects

The following exhibits, when appropriate, must be submitted along with the **Application for Planning 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 require considerable lead-time to develop. 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.

Submit the following exhibits for Planning Projects.

- Exhibit A Audited Financial Statements**
Submit copies of the 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.
- Exhibit C 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 D Inter-agency Agreements**
If the project will serve two or more municipalities or sanitary districts, submit the executed inter-municipal agreements, contracts or other legally binding instruments necessary for the financing, building and operation of the proposed treatment works.

- Exhibit E Bonds Secured with Sewer Revenues**
If there are any outstanding bonds secured by the sewer revenues, the Borrower may be requested to provide copies of the resolutions approving these bond issues and any public notices and election results approving the bonds.

- Exhibit F Recent Bond Issues**
The borrower may be requested to provide the official statement of any recently issued bonds.

- Exhibit G Loan Approval Resolution**
The borrower will be requested to provide a copy of a resolution of the governing body authorizing the State Revolving Fund loan in a specified amount, designating the persons authorized to sign the SRF loan agreement, and establishing a loan reserve account, if required. This should be done **after** a draft loan agreement with the DEQ has been approved by DEQ, the borrower's internal staff and legal counsel.