Clean Water State Revolving Fund

Checklist of Application Requirements
Point Source Projects
(Design or Construction Projects)

IMPORTANT NOTE:
In addition to a complete application (OAR 340-054-0022(3)(a)) and any necessary supplemental attachments, 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 their DEQ CWSRF Project Officer early in the process.

☐ Exhibit A: Audited financial statements
Unless waived in writing by DEQ, submit copies of the applicant’s audited financial statements for the three years prior to the application date. 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: Authority to undertake project
Provide a loan approval resolution or similar authorization for signing a loan agreement and establishing a loan reserve account.

☐ Exhibit C: Revenue authority
Provide evidence the applicant has the authority to collect and pledge the revenue offered as repayment, repay loan and, when applicable, the ability to ensure ongoing operation and maintenance of the proposed project. DEQ may also require the applicant meet the criteria for a revenue-secured loan described under OAR 340-054-0065(2).

☐ Exhibit D: Pre-award Compliance Review Report (EPA form 4700-4)
All recipients of federal financial assistance from the U.S. Environmental Protection Agency must comply with various non-discrimination laws. The Pre-award Compliance Review Report is required to help DEQ 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.

☐ Exhibit E: Inter-agency agreements
If the project will serve two or more public agencies, 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 F: Bonds secured with user system revenues
If the loan is being secured or repaid with sewer system or other revenues, submit a copy of the master resolution or ordinance approving those bond issues.

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

Exhibit H: 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 I: Federal crosscutting authorities
For a construction project, the applicant must comply with all applicable federal crosscutting authorities, unless waved by DEQ. Contacts for Oregon’s cross-cutting authorities are listed here: http://www.deq.state.or.us/wq/loans/docs/Xcuttercontactlist.pdf

Exhibit J: Environmental review
For construction of a treatment works as defined in the Clean Water Act § 212, nonpoint source pollution control (CWA § 319) or estuary management (CWA § 320) project, provide all necessary documentation to support DEQ’s review of the entire projects’ potential environmental impacts, including an analysis of a no action alternative and any other reasonable alternatives considered. With DEQ approval, an applicant may submit an environmental determination made by another agency. DEQ’s Applicant Guide to the State Environmental Review Process is available at http://www.deq.state.or.us/wq/loans/docs/SERPApplicantGuide.pdf.

Exhibit K: 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 L: Plans and specifications (construction-only projects)
DEQ must review plans and specifications before construction. Submit a complete set of plans and specs with the application if DEQ has not already reviewed and retained those plans.

Exhibit M: Value engineering study
The applicant must submit a Value Engineering study approved by DEQ if the proposed project’s total costs exceed $10 million. This study, completed during the design process, controls the project’s construction costs without compromising the quality. A different engineering firm than the one that designed the project usually performs the study.

Exhibit N: Project planning documentation
An applicant must submit an engineered, project-planning document approved by DEQ. Depending on the project’s nature and complexity, a full wastewater facilities plan, feasibility study or project design report may be required.

If a planning document has not yet been prepared and approved, please contact your CWSRF Project Officer to discuss the appropriate scope and content, and refer to the DEQ technical guidance document Preparing Wastewater Planning Documents and Environmental Reports for Public Utilities at http://www.deq.state.or.us/wq/loans/docs/FacilitiesPlansGuidelines.pdf.
Exhibit O: Fiscal Sustainability Plan Certification

An applicant with a publicly owned treatment works project for repair, replacement or expansion must certify that the applicant has developed and is implementing, or will develop and implement, a fiscal sustainability plan that includes:

I. An inventory of critical assets that are a part of the treatment works;
II. An evaluation of the condition and performance of inventoried assets or asset groupings;
III. A certification that the recipient has evaluated and will be implementing water and energy conservation efforts as part of the plan; and
IV. A plan for maintaining, repairing, and, as necessary, replacing the treatment works and a plan for funding such activities.

Submit a signed certification document

An applicant with a publicly owned treatment works project for repair, replacement or expansion that has not developed, and is not implementing a fiscal sustainability plan prior to loan award is required to develop the plan and submit such certification before project completion as specified by the loan agreement. In this case, the recipient may take a phased approach by developing an initial plan that covers the CWSRF-funded project and closely associated components.

Exhibit P: Sewer use ordinances

Provide a copy of the sewer use ordinances adopted by all municipalities and service districts discharging wastewater to the water treatment facility. The sewer use ordinances must prohibit any new connections from inflow sources into the sewage collection system and ensure the proper design and construction of new sewers and connections to the collection system.

The ordinance must require that any wastewater introduced into the sewage collection system not contain toxics or other pollutants in amounts or concentrations that have the potential to endanger public safety or physical integrity of the associated sewage facilities. The ordinance must require that wastewater introduced to the sewage collection system not cause any violation of effluent or water quality limitations, or preclude the selection of the most cost-effective alternative for wastewater treatment and biosolids disposal.

Exhibit Q: Sponsorship Option

When a public agency applies for a wastewater facility construction loan that includes a sponsorship option, complete information about the nonpoint source control or estuary management activity on the Sponsorship Option application form. DEQ will only consider a sponsorship option if a nonpoint source control or estuary management activity is included as part of the entire project scope.

Exhibit R: Other

Applicant must provide any other information requested by DEQ as necessary to complete the loan application.