



Oklahoma's Clean Water State Revolving Fund

Loan Application Process

FY 2015 Funding Cycle



The Clean Water State Revolving Fund (CWSRF) is a low-interest loan program to assist communities with municipal wastewater infrastructure construction projects and other pollution control projects. Special consideration will be provided to projects that are “ready to proceed” to construction and projects which are implemented in a “Disadvantaged” community. For the CWSRF program, disadvantaged communities are defined as areas where the income of the community is less than 85% of the U.S. median household income.

Eligible Projects & Eligible Entities...

Duly constituted political subdivisions of the State, including but not limited to Public trusts of towns, municipalities, rural sewer districts, water conservancy districts, etc., established under Title 82 of Oklahoma's Statutes are eligible to receive funding for eligible projects, including...

- Secondary and Advanced Treatment
- Inflow/Infiltration Correction
- Sewer Replacement/Rehabilitation
- New Collector and Interceptor Sewers
- Nonpoint Source Implementation
- Land Acquisitions (integral to the treatment process)
- Facility Security Systems
- Urban Brownfield Projects
- Stormwater Projects
- Green Infrastructure Projects
- Water Efficiency Projects
- Water Reuse Projects
- Energy Efficiency Projects
- Environmentally Innovative Projects

Loan Terms & Interest Rates...

Currently the **CWSRF Long-Term Loan** is offered at 40% below market rate with up to a 30 year maximum payback period for disadvantaged communities. Loan proceeds are drawn down as costs are incurred. Interest and administration fees are billed semiannually, and principal is billed semiannually after project completion.

Loan Requirements: Applicants must submit preliminary and final loan applications, engineering report/planning documents, and environmental information documents.

Program Changes: Per the FFY2014 Appropriation Act, Buy American provisions apply with regard to iron and steel products. Guidance, *when available* can be found here: <http://www.owrb.ok.gov/CWSRF>.

Ranking Requirements: Projects are ranked and listed on a funding priority list. Projects ready to proceed with construction/loan closing, fulfill programmatic priority factor, or contain green programmatic requirements receive additional points.

To begin participation in the CWSRF Program, eligible entities must:

- Download the Loan Request Packet: www.owrb.ok.gov/CWSRF/LoanRequestPacket.pdf
- Submit a letter requesting to be placed on the FY 2015 Project Priority List. The letter should include a brief description of the water quality project, a preliminary project cost estimate, a project schedule with project initiation and completion dates, if available. *Note: Inclusion on the list does not obligate your community to participate further in the application process.*

- Submit the 2015 Pre-Application Priority List Questionnaire which allows OWRB to rank your project. *Note: Inclusion on the list does not obligate your community to participate further in the application process.*
- Submit a Loan Pre-Application (L1) if an entity has not previously borrowed from the OWRB. *Note: If you are new to borrowing from OWRB, your project will not be able to be added to the Project Priority List until a preliminary financial review has occurred.*
- For consideration for funding during the regular SFY 2015 Funding Cycle, submit your request by March 14, 2014. Requests received anytime during the year can be considered for placement on the Clean Water Project Priority List if funding is available after the March 14, 2014 deadline.
- After acceptance of the project on the SFY 2015 List, the entity will submit the loan application, engineering report or planning document and environmental information documents (if required). Preliminary application and Engineering and Environmental Document Guides and Forms are available at www.owrb.ok.gov/forms.

Important Milestones for the FY 2015 CWSRF...

- **SFY 2015** – Requests for placement on the SFY 2015 funding list will continue to be accepted throughout the year and loans can be made to eligible entities as funds are available for the funding year.

For More Information...

- For information or assistance in completing requests for placement on the funding list contact Kathy Koon, at (405) 530-8800 or visit the OWRB website at <http://www.owrb.ok.gov/CWSRF>

DRAFT
[City/Entity Letterhead Here]

Date

Jennifer Wasinger, Assistant Chief
Financial Assistance Division
Oklahoma Water Resources Board
3800 North Classen Blvd.
Oklahoma City, OK 73118

Re: Request for Placement on the Clean Water State Revolving Fund (CWSRF) Project Priority List/FY 2015 Intended Use Plan for project <INSERT PROJECT NAME>, <AUTHORITY NAME>

Dear Ms. Wasinger:

In accordance with CWSRF program rules, we are requesting that our proposed <INSERT PROJECT NAME> be added to the CWSRF Project Priority List and included in the FY 2015 Intended Use Plan. The proposed system improvements are identified in the attached CWSRF Questionnaire. .

We currently estimate all construction and non-construction costs for the project to be approximately <INSERT ESTIMATED DOLLAR AMOUNT> .

A description of the project, project purpose and the anticipated project schedule may be found in the enclosed Questionnaire.

In addition, please note that the <AUTHORITY NAME> has engaged <INSERT FINANCIAL SERVICE PROVIDER NAME> to prepare all related CWSRF loan application financial documents and <INSERT ENGINEERING SERVICE PROVIDER NAME> to prepare all engineering and environmental documents and have retained <INSERT BOND COUNSEL> for legal services pertaining to the loan.

If we may answer any questions regarding our proposed project and CWSRF loan application, please feel free to contact <INSERT CONTACT PERSON AND TITLE> or our service providers.

Sincerely,

Mayor/Chairman

Cc: <INSERT ENGINEERING SERVICE PROVIDER NAME>
<INSERT FINANCIAL SERVICE PROVIDER NAME>
<INSERT BOND COUNSEL SERVICE PROVIDER NAME>



Oklahoma's Clean Water State Revolving Fund
 Pre-Application Priority List Questionnaire
 FY 2015 Funding Cycle



The Clean Water State Revolving Fund (CWSRF) is a low-interest loan program to assist communities finance wastewater infrastructure and nonpoint source pollution control projects. Funding is provided on a competitive basis, with a ranking structure which provides extra points for factors such as how far along the project is in the engineering design and loan application process, how the project protects or restores human health, drinking water, or stream water quality, and how the project incorporates green infrastructure.

Please answer as many of the following questions as you have information on and submit this form along with your letter requesting placement on the FY 2015 Project Priority List. The questionnaire will be utilized by staff to rank your project. **To expedite the process, please email (kathy.koon@owrb.ok.gov), fax (405.530.8898), or mail the information at your earliest convenience.** You will be notified of funding availability and your placement on the list by July 10, 2014.

<i>Project Information:</i>
<u>Project Description:</u> Please provide a brief description of the project, including any enforcement orders, etc., in the space provided or attached.
<u>Estimated Project Cost:</u>
<u>2010 Census Population:</u>
<u>Estimated Project Schedule:</u> Please provide <u>anticipated target dates</u> for the following: _____ Completion of Engineering Design _____ Submittal of planning and Environmental Information Documents (if required) _____ Submit Loan Application _____ OWRB Loan Approval _____ Projected Construction Start _____ Projected Construction Completion _____ Other Milestone Dates

<i>Project Category & Estimated % of Project in Each Category:</i>	Yes/ No	% of Project
<u>Category I - Secondary treatment and best practicable wastewater treatment technology.</u> The treatment facility necessary to discharge an effluent meeting secondary treatment. May include outfall lines and lines which take existing treatment plants out of operation by transporting effluent to an alternate plant.		
<u>Category II - Advanced treatment.</u> The additional treatment necessary to meet more stringent than secondary effluent requirements.		
<u>Category IIIA - Infiltration/inflow correction.</u> May include all costs necessary for removing excessive I/I from the sewer system such as replacement or relining sewer sections, flow routing systems, etc.		
<u>Category IIIB – Sewer System Rehabilitation.</u> Replacement and/or major rehabilitation of existing sewer systems, where it has been determined that such rehabilitation is necessary to the total integrity and performance of the wastewater treatment works.		
<u>Category IVA - New Collector Sewer Systems and Appurtenances.</u> Includes construction of a collector sewer to replace failing individual or decentralized sewage treatment systems with centralized treatment. Sewage collection system is the common lateral sewers, within a publicly owned treatment system, which are primarily installed to receive wastewaters directly from facilities which convey wastewater from individual structures or from private property, and which include service connection "Y" fittings designed for connection with those facilities. Pumping units, and pressurized lines, for individual structures or groups of structures when such units are cost effective and are owned and maintained by the applicant are included in this category.		
<u>Category IVB - New interceptor sewer systems and appurtenances.</u> A sewer whose primary purpose is to transport wastewaters from collector sewers to a treatment facility.		
<u>Category V - Correction of combined sewer overflows.</u>		
<u>Category VI - Storm sewers</u> (i.e., activities to plan and implement municipal storm water management programs pursuant to NPDES permits). Storm sewers associated with storm water management in areas not covered by applicable phase I or II storm water NPDES permits are reported in Category VII, Urban.		
<u>Category VII - Nonpoint source pollution control management programs.</u> Including activities related to agricultural activities such as plowing, pesticide spraying, irrigation, fertilizing, planting, and harvesting; activities related to agricultural activities associated with animal production, such as confined animal facilities and grazing; activities related to forestry activities, such as removal of streamside vegetation, road construction and use, timber harvesting, and mechanical preparation for the planting of trees; activities related to new or existing development in urban or rural settings, such as erosion, sedimentation, and discharge of pollutants (i.e., inadequately treated wastewater, oil, grease, road salts, and toxic chemicals) into water resources from construction sites, roads, bridges, parking lots, and buildings; activities related to ground water protection such as wellhead and recharge area protection activities; activities related to		

<p>boating and marinas, and the physical alteration of shoreline, wetlands, and aquatic habitat during the construction and operation of marinas; activities related to mining and quarrying activities; activities related to abandoned, idle, and underused industrial sites; activities related to tanks designed to hold gasoline or other petroleum products or chemicals; activities related to sanitary landfills; activities related to channelization and channel modification, dams, streambank and shoreline erosion, and wetland or riparian area protection or restoration; activities related to rehabilitation or replacement of individual or community sewage disposal systems construction of collector sewers to transport wastes to a cluster septic tank or other decentralized facilities</p>		
<p><u>Category X – Conveyance of recycled water</u> (i.e., water reuse) from wastewater facility to end user (e.g., drinking water facility) and enduser equipment to use the recycled water (if publicly owned, e.g., public golf course and gray water system for municipal building).</p>		

<i>Project Type and Water Quality Factors:</i>	Yes	No
<p>Will the project address an NPDES Enforcement Action (consent order, etc.)? If yes, what is the Case No. or Docket No.: _____ Date of enforcement action: _____</p>		
<p>Do you know if the project is in a watershed of a Public or Private Water Supply? If yes, name of the water supply reservoir: _____</p>		
<p>Do you know if the project is in a delineated Source Water Protection area? If yes, name of the area: _____</p>		
<p>Is the project designed to increase capacity or reliability, or provide a degree of treatment beyond that required by water quality standards or permit requirements, in order to reclaim and reuse wastewater or to otherwise sustain compliance with water quality standards or maintain beneficial uses?</p>		
<p>Is the project designed to implement recommendations from a resource management plan such as a Conservation Plan, Site-Specific Water Quality Remediation Plan, TMDL or Modified 208 Water Quality Management Plan (NPDES permit)? If Yes, Name of Plan: _____ Entity or Agency Publishing the Plan: _____ Date of the Plan: _____ NPDES permit number: _____</p>		

<i>Readiness to Proceed with Project Construction:</i>	Yes	No
Have you submitted an L-1 Preliminary Financial Assistance Loan Application to the Oklahoma Water Resources Board (OWRB) for this project?		
Have you submitted an L-2 Loan Application to the OWRB for this project?		
Have you submitted preliminary engineering planning documents or planning documents to Oklahoma DEQ or OWRB?		
Have you received project approval from the ODEQ or OWRB, including plans and specifications, etc.?		

<i>Environmental Results:</i>	Yes	No
<p>Are there components in this project which increase water efficiency and/or water conservation by more than 20% such as water reuse or leak detection equipment?</p> <p><u>If yes, please list components:</u></p>		
<p>Are there components in this project which provide a more than 20% energy savings such as pump system improvements/replacements, aeration system improvements/replacement, energy audits or SCADA systems?</p> <p><u>If yes, please list components:</u></p>		
<p>Does this project incorporate green infrastructure elements such as green roofs, stormwater features designed to hold more than the first flush or low impact development features?</p> <p><u>If yes, please list elements:</u></p>		
<p>Is this project environmentally innovative such as constructed wetlands for polishing and/or effluent disposal, sub-surface land application of effluent and other means for ground water recharge (spray irrigation and overland flow)?</p> <p><u>If yes, please describe:</u></p>		

F. Applicant's Chief Officer and/or person to whom all pre-application inquiries should be directed:

Name:			
Title:		Phone:	()
Address:		Fax:	()
		E-mail:	

G. Applicant's Financial Consultant:

Firm Name:			
Contact:		Phone:	()
Address:		Fax:	()
		E-mail:	

H. Applicant's Legal Counsel:

Firm Name:			
Contact:		Phone:	()
Address:		Fax:	()
		E-mail:	

I. Applicant's Bond Counsel:

Firm Name:			
Contact:		Phone:	()
Address:		Fax:	()
		E-mail:	

J. Insurance. Please provide proof of insurance including fidelity bond, property, worker's comp, and general liability (provide written explanation for any lack of insurance). Also, please provide proof of operator's certification.

II. PROJECT

A. *Project Information* – Please submit the Engineer's Report (see Attachment A) and copies of any Violation Notice(s), Consent Order, etc., if applicable.

Description of Project/Project Purpose:	
Project Location:	

B. *Applicant's Consulting Engineer* – Please provide a copy of the **Contract for Engineering Services**, if available.

Firm Name:			
Contact:		Phone:	()
Address:		Fax:	()
		E-mail:	

III. PROJECT FINANCING

A. *OWRB Financing*

Total OWRB Loan Amount:	
Total Project Cost (should correspond with Engineer's Estimated Total Project Cost):	

B. *Other Funding Sources* – including Federal/State participation (loans, grants, etc.) and any other sources including Applicant's local contribution, if any. Provide commitment letters if available.

Funding Source	Type of Request	Amount	Present Status Comment

VERIFICATION

STATE OF OKLAHOMA)
)
COUNTY OF _____)

ss.

I, _____, being first duly sworn and upon oath states: that I am the duly authorized representative for the Applicant herein; that I have read the contents of the within and foregoing LOAN APPLICATION and is familiar with the contents thereof; and that the matters and information therein set forth are, to the best of Applicant's knowledge and belief, true and correct.

(Applicant Name)

Signed By: _____

Printed Name: _____

Title: _____

(Applicant's Representative)

Subscribed and sworn to before me this ____ day of _____, 20 ____.

(Notary Public)

My Commission Expires: _____

(SEAL)

ATTORNEY'S CERTIFICATION AS TO LEGALITY OF APPLICATION

I, the undersigned, certify that: I am an attorney representing the applicant herein with respect to the foregoing application attached hereto; the applicant is a [CHECK ONE]:

- municipality
- public trust
- rural water district
- other public entity (identify): _____

duly organized and existing under the laws of Oklahoma; the applicant possesses full power and authority to acquire, complete and operate the project described in this application; and this application has been lawfully and effectively authorized and executed as the valid action of the applicant.

Attorney at Law

Printed Name: _____

OBA No.: _____

ATTACHMENT "A"

I. PROCEDURE FOR PREPARING AN ENGINEERING REPORT FOR ALL PROJECTS FUNDED BY THE OKLAHOMA WATER RESOURCES BOARD.

A. Location.

The Oklahoma Guides for preparing Engineering Reports for water and wastewater projects is available on the Oklahoma Water Resources Board (OWRB) website. These guides, checklist, and forms were created by a joint effort of funding and regulatory agencies that are members of the Funding Agency Coordinating Team (more commonly known as the FACT team).

B. OWRB Website.

- [Engineering and Environmental Guides and Forms for Water and Wastewater Projects.](#) [PDF]
- Go to OPTION 2, which allows downloading selected sections of the guides, checklists, and forms.

C. File Names.

For Water Projects, select the following:

- [Guidelines for Engineering Reports for Water Projects.](#) [PDF]
- [Checklist for Engineering Reports for Water Projects.](#) [PDF]

For Wastewater Projects, select the following:

- [Guidelines for Engineering Reports for Wastewater Projects.](#) [PDF]
- [Checklist for Engineering Reports for Wastewater Projects.](#) [PDF]

D. Submittals.

One copy must be submitted to the Oklahoma Department of Environmental Quality, and one copy to the Water Resources Board with the Application.

II. PROCEDURE FOR PREPARING AN ENVIRONMENTAL INFORMATION DOCUMENTS FOR "LOAN" PROJECTS FUNDED THROUGH THE DRINKING WATER AND CLEAN WATER STATE REVOLVING FUNDS.

A. Location.

The Oklahoma Guides for preparing Environmental Information for Drinking Water SRF and Clean Water (wastewater) SRF projects are available on the Oklahoma Water Resources Board (OWRB) website. These guides, checklists, and forms were also created by the FACT team.

B. OWRB Website.

- [Environmental Information Document Checklist for Water and Wastewater Projects.](#) [PDF]

C. Specific Public Hearing Requirements.

- Drinking Water SRF loan project contact ODEQ @ 405-702-8100.
- Clean Water (wastewater) SRF loan project contact OWRB @ 405-530-8800.

Instructions for EPA FORM 4700-4 (Rev. 06/2014)

General

Recipients of Federal financial assistance from the U.S. Environmental Protection Agency must comply with the following statutes and regulations.

Title VI of the Civil Rights Acts of 1964 provides that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. The Act goes on to explain that the statute shall not be construed to authorize action with respect to any employment practice of any employer, employment agency, or labor organization (except where the primary objective of the Federal financial assistance is to provide employment).

Section 13 of the 1972 Amendments to the Federal Water Pollution Control Act provides that no person in the United States shall on the ground of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under the Federal Water Pollution Control Act, as amended. Employment discrimination on the basis of sex is prohibited in all such programs or activities.

Section 504 of the Rehabilitation Act of 1973 provides that no otherwise qualified individual with a disability in the United States shall solely by reason of disability be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. Employment discrimination on the basis of disability is prohibited in all such programs or activities.

The Age Discrimination Act of 1975 provides that no person on the basis of age shall be excluded from participation under any program or activity receiving Federal financial assistance. Employment discrimination is not covered. Age discrimination in employment is prohibited by the Age Discrimination in Employment Act administered by the Equal Employment Opportunity Commission.

Title IX of the Education Amendments of 1972 provides that no person in the United States on the basis of sex shall be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance. Employment discrimination on the basis of sex is prohibited in all such education programs or activities. Note: an education program or activity is not limited to only those conducted by a formal institution.

40 C.F.R. Part 5 implements Title IX of the Education Amendments of 1972.

40 C.F.R. Part 7 implements Title VI of the Civil Rights Act of 1964, Section 13 of the 1972 Amendments to the Federal Water Pollution Control Act, and Section 504 of The Rehabilitation Act of 1973.

The Executive Order 13166 (E.O. 13166) entitled; "Improving Access to Services for Persons with Limited English Proficiency" requires Federal agencies work to ensure that recipients of Federal financial assistance provide meaningful access to their LEP applicants and beneficiaries.

Items

"Applicant" means any entity that files an application or unsolicited proposal or otherwise requests EPA assistance. 40 C.F.R. §§ 5.105, 7.25.

"Recipient" means any entity, other than applicant, which will actually receive EPA assistance. 40 C.F.R. §§ 5.105, 7.25.

"Civil rights lawsuits and administrative complaints" means any lawsuit or administrative complaint alleging discrimination on the basis of race, color, national origin, sex, age, or disability pending or decided against the applicant and/or entity which actually benefits from the grant, but excluding employment complaints not covered by 40 C.F.R. Parts 5 and 7. For example, if a city is the named applicant but the grant will actually benefit the Department of Sewage, civil rights lawsuits involving both the city and the Department of Sewage should be listed.

"Civil rights compliance review" means any review assessing the applicant's and/or recipient's compliance with laws prohibiting discrimination on the basis of race, color, national origin, sex, age, or disability.

Submit this form with the original and required copies of applications, requests for extensions, requests for increase of funds, etc. Updates of information are all that are required after the initial application submission.

If any item is not relevant to the project for which assistance is requested, write "NA" for "Not Applicable."

In the event applicant is uncertain about how to answer any questions, EPA program officials should be contacted for clarification.

* Note: Signature appears in the Approval Section of the EPA Comprehensive Administrative Review For Grants/Cooperative Agreements & Continuation/Supplemental Awards form.

Approval indicates, in the reviewer's opinion, questions I – VI of Form 4700-4 comply with the preaward administrative requirements for EPA assistance.

"Burden Disclosure Statement"

EPA estimates public reporting burden for the preparation of this form to average 30 minutes per response. This estimate includes the time for reviewing instructions, gathering and maintaining the data needed and completing and reviewing the form. Send comments regarding the burden estimate, including suggestions for reducing this burden, to U.S. EPA, Attn: Collection Strategies Division (MC 2822T), Office of Information Collection, 1200 Pennsylvania Ave., NW, Washington, D.C. 20460; and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

The information on this form is required to enable the U.S. Environmental Protection Agency to determine whether applicants and prospective recipients are developing projects, programs and activities on a nondiscriminatory basis as required by the above statutes and regulations.