

INSTRUCTIONS FOR COMPLETING
a
CWSRF Pre-application

Any eligible applicant interested in loan assistance through the Clean Water State Revolving Fund (CWSRF) loan program should submit a pre-application. A pre-application contains basic project information that is used by the CWSRF Program Staff to:

- measure of the need for funding over the next several years,
- make financial plans to meet the needs of applicants, and
- determine priorities of proposed projects.

Submitting a pre-application package does not obligate the applicant to proceed with a project, nor does acceptance of a pre-application obligate the CWSRF Program Staff to provide financial assistance for a proposed project.

Upon receipt of a pre-application, the CWSRF Program Staff will calculate the priority rating of the proposed project and place the project on the Project Priority List for the next fiscal year. A complete pre-application includes:

- a completed Form RF-100,
- a resolution adopted by the governing authority of the applicant authorizing one person to be the official contact person for project related matters, and
- a map of the proposed planning area.

Pre-applications that are incomplete and/or lack significant information may not be accepted. No project will be placed on the Project Priority List or the Intended Use Plan unless a complete pre-application has been submitted and accepted.

The following pages contain specific instructions for preparing the items required in the pre-application. Please also include a Letter of Intent, which specifies the proposed method/source of loan repayment and a Project Schedule. If you have any questions, please call (225) 219-3463 for assistance or email CWSRF@La.Gov.

Part A: General Information

For wastewater (sewerage) projects, the applicant must be a municipality (this includes incorporated cities, towns, and villages and parishes, sewerage districts, and other subdivisions of the state that have legal jurisdiction over collection, treatment and disposal of wastewater.)

1. The Authorized Representative, typically Mayor, President, etc., must be the same person who is named in the resolution and who signs the Certification in Part B.
2. An engineering consultant is required. If a consultant has not been selected at the time the pre-application is submitted, this information may be supplied later.
3. A bond attorney is not required but recommended. If a bond attorney has not been selected at the time the pre-application is submitted, this information may be supplied later.
4. A second engineering consultant, attorney, or any other firm providing professional services may be listed in the space provided. Please list only firms that contract directly with the applicant; do not list subcontractors to firms already named. If more space is needed you may use an additional sheet.
5. The population of the project area includes the entire planning area, which may be larger or smaller than the corporate limits of a municipality. The current census information is used so the population of all projects may be compared on an equal basis.
6. Include the current average sewer bill for the customers in the planning area. This applies to wastewater projects only.
7. List the parish(es) and U.S. Congressional District(s) that include any part of the planning area. Also include the State House and State Senate Districts.

NOTE: The next three questions can be answered using the census data. One such source is the United States Census Bureau, which can be accessed on the Internet on <http://www.census.gov>. Typically, the QuickFacts can provide the necessary info. However, at times you may have to explore the main data tables. If you obtain your information from another source, please list it on the line provided.

8. The annual median household income.
9. The population percentage of unemployment.
10. The population percentage growth over the two most recent years.

Part B: Certification

The official representative named here and who signs the form must be the same person listed above (in Part A.1) and named in the resolution.

Part C: Existing Facilities (for Wastewater Projects only)

If there is more than one treatment plant in the planning area, a separate Part C should be completed for each treatment plant. It is not required that all treatment plants owned by a municipality be included in the project; the planning area may be drawn to include one or more plants and exclude others. (See attached instructions for defining a planning area.) For any plant included in the planning area, the entire collection system serving that plant must be evaluated. In the event that a project is proposed for a municipality that owns a collection system only, where another municipality provides treatment, information about the treatment plant serving the proposed project must be provided even though it may not be part of the project.

1. The processes of the treatment plant should include all major components of the plant, including sludge processing, whether or not they are located on the plant site.
2. In the table for effluent conditions:
 - If there is no existing treatment plant the table should be left blank.
 - Every block in the table should be completed. If any effluent parameter does not apply mark "N/A" in that block. If the parameter applies but is unknown, write "Unknown" in the block.
 - Average daily flow may not be listed in the permit. If not, it should be calculated based on the BOD₅ concentration and the maximum pounds per day of BOD₅ that may be discharged.
 - The first column should tell us what the plant was designed to achieve. The second column should tell us what the plant is actually achieving. The third should tell us what the plant is required to achieve if it remains in service at its present location. The fourth should show the number of violations the plant has experienced for each effluent condition over the last 12 months. If a new permit has recently been issued, the new permit limits should be used in the third column.
3. The population equivalent served should include residents and the residential equivalent of commercial and industrial customers.
4. The current permit number(s) and expiration date(s). If this project requires an updated LPDES permit, please indicate if that application has been submitted to LDEQ Water Permits.
5. The year of construction or last major renovation includes any upgrades, expansions, etc., undertaken since the plant was constructed.
6. If the municipality has not been given a permit or is unable to supply one with the pre-application, include the latitude and longitude of the discharge location and the plant gate entrance.
7. The Receiving Stream should show the route of the effluent from the plant outfall to the first major stream.
8. A short description of the collection system should include information about all collection systems served by the treatment plant listed on this sheet, even if a portion is owned by another municipality. The description should indicate whether there are infiltration/inflow problems and if rehabilitation work is proposed. If this section is not completed, it is assumed that there are no serious collection system problems and the priority rating for the project will be based on the treatment plant only.

NOTE: If a Preliminary Engineering Report (PER) for the project is required, it will need to include an evaluation of the collection system even if no rehabilitation work is proposed.

9. Give details of any enforcement actions that may be pending against the facility, including compliance orders, administrative orders, consent decrees, etc. If a permit contains interim and final discharge limits with a compliance schedule, this should also be listed.

Part D: Non-point Source and Estuary Management Projects

Non-point source and estuary management projects can take many forms and there are no straightforward criteria that can be used to rate them against one another or against point-source projects. Any proposed non-point source or estuary management projects will be rated based on the following:

- the nature and significance of the existing pollution problem;
- any requirements to correct the problem in the Water Quality Management plans, permits, or other legal requirements;
- the ability of the proposed project to achieve the required corrective action;
- any other pertinent information including, but not limited to, stormwater management, environmentally innovativeness, resiliency, etc.

If such a project is proposed, give a narrative statement that describes the nature of the problem and why corrective action is needed.

Part E: Proposed Project (for non-point and estuary management projects, complete applicable parts)

1. Give a general description of any construction that is expected to be needed. Give design flows and effluent limits if known and where applicable. (Note: Actual information on the need for rehabilitation, plant capacities, etc, may not be known until after facility planning is completed.)
2. In the table for construction categories please estimate the amount needed for construction in the listed categories. The information is required for a project to be placed on the Intended Use Plan for funding.
 - **Secondary Treatment** is a treatment plant or portion of a treatment plant designed to meet effluent limits of 30mg/l BOD₅, 30mg/l TSS, and disinfection to 200/100ml.
 - **Advanced Treatment** is the portion of a treatment plant designed to meet any effluent limits more stringent than secondary. This also includes construction of an effluent pipeline to carry the effluent to a more distant receiving stream in order to avoid the need for advanced treatment.
 - **Infiltration/inflow Correction** is repairs to the collection system such as point repairs, grouting joints, CIPP lining, etc.
 - **Sewer System Rehabilitation** is replacement of deteriorated sewers with new pipes or major repairs to existing lines. Sewer System Rehabilitation also includes replacement or upgrades to sanitary sewer lift stations.

- **Collector sewers** are sewers intended primarily to serve house connections while **Interceptor sewers** are intended primarily to carry flow from collector sewers to the treatment plant, although interceptors may include house connections. Pump stations and force mains are interceptors. In general, when a collection system is proposed for an unsewered area, about half the system is collectors and half is interceptors.
 - **Stormwater Management** projects create a means to manage, reduce, treat, or recapture stormwater or subsurface drainage.
 - **Non-point source** pollution management program (established under the Clean Water Act section 319)
 - **Energy Conservation** for measures to reduce the energy consumption needs for a POTW. This is an eligible category for a Green Project Reserve (GPR) projects.
 - **Water Conservation** for measures to reduce the demand for POTW capacity through water conservation, efficiency, or reuse. This is an eligible category for a Green Project Reserve (GPR) projects.
 - **Estuary Management** projects for the development and implementation of a conservation and management plan (established under the Clean Water Act section 320)
3. In the table for total estimated project costs, list the estimated cost for each of the categories. The total construction cost should be the summation of the items in the previous table. *For simplicity, round the total project cost up to the nearest \$1,000; the difference between the category sum and the total project cost should be included in the contingencies.*

EXAMPLE: For a project with a Construction Cost of 1,250,000, Engineering Cost of \$150,000, Legal cost of \$62,500 and Contingency of \$125,000, the Total Project Cost would be equal to \$1,587,500. However, round up to \$1,588,000 and add an additional \$500 to Contingency for a value of \$125,500.

Total Construction Cost	\$ 1,250,000
Engineering Cost	\$ 150,000
Legal Cost	\$ 62,500
Other Costs (state)	\$
Contingencies	\$ 125,500
Total Project Cost	\$ 1,588,000

NOTE: Including this rounded Total Project Cost does not preclude the applicant from finalizing a loan amount less than this amount. Additionally, at the completion of the project, the applicant can choose to write the loan down to equal the total value spent on a project.

4. Include an estimate of the amount that will be requested from the LDEQ's CWSRF.
5. Include any additional funds or funding sources that the applicant is anticipating using to complete the proposed project as described above.

NOTE: Special Consideration is used if the project is applying / committed to using the following funding sources (please disclose appropriately):

- IJA / BIL: Infrastructure Investment and Jobs Act / Bipartisan Infrastructure Law
- OSG: Overflow Sewer Grant
- Water Sector: Louisiana American Rescue Plan – Water Sector Program

EXAMPLE: USDA/RD (\$800,000); LCDBG (\$500,000), WIFIA (\$25,000,000), etc.

Part F: Loan Financial Pre-Qualifications

1. Select the proposed dedicated source of loan repayment
2. Provide the Annual dollar amount of funds pledge for repayment
3. Provide which funds or accounts these monies are reported in the audit

If you have any questions filling out section F, please contact Sierra Trabeau @ 225-219-3871

INSTRUCTIONS FOR PREPARING RESOLUTION

A resolution must be adopted by the applicant's governing body authorizing an official representative to submit the pre-application and other information that may be requested. Additionally, the applicant should designate an official project representative if a project results from the pre-application. A Sample Resolution is provided as a guide for use in preparing the resolution. Changes in the wording may be made as required to fit each applicant's needs.

The Department of Environmental Quality staff will not review or approve any documents, authorize the award of any contract, or take any official action on the project unless requested by the official project representative named in the resolution or the consultants and attorneys engaged by the applicant to work on the project. Exception: The Department may investigate allegations of misconduct involving the project that may be made by any person who presents sufficient evidence to warrant such an investigation.

The official project representative is generally a position such as Mayor, Parish President, etc, but may be an individual listed by name. If the title of a position, rather than an individual person, is listed, the resolution will remain valid as long as the applicant wishes the person holding that position to be the official project representative. If an individual is listed by name, a new resolution must be submitted each time that individual is replaced by another.

SAMPLE RESOLUTION

WHEREAS the _____ (Name of Applicant) is in need of _____ (nature of project) ; and,

WHEREAS loans and/or grants for this project may be available through the Clean Water State Revolving Fund loan program operated by the Louisiana Department of Environmental Quality:

NOW, THEREFORE, BE IT RESOLVED, by the _____ (Name of governing body) of the _____ (Name of Applicant) that:

Section 1. The _____ (Title of official) is hereby authorized to submit a pre-application, application, and issue debt in the amount of \$_____ to the Department of Environmental Quality on behalf of the _____ (Name of Applicant) for the purpose of placing this project on the Project Priority List for funding through the Clean Water State Revolving Fund loan program; and,

Section 2. The _____ (Title of official) is further authorized to furnish such additional information as may reasonably be requested in connection with the pre-application; and,

Section 3. The _____ (Title of official) is hereby designated as the Official Project Representative for the _____ (Name of Applicant) for any project that may result from the submission of the pre-application.

A MOTION TO ADOPT the above resolution was made by _____ (Name) , seconded by _____ (Name) , and resulted in the following vote:

YEAS _____
NAYS _____
ABSENT _____
ABSTAINING _____

CERTIFICATE

We the undersigned do certify that the foregoing resolution is a true and correct copy of a resolution adopted at a meeting held on the _____ day of _____, 20____, at which meeting a quorum was present and voting.

ATTEST:

Presiding official

Name & Title (Secretary/Clerk)

INSTRUCTIONS FOR PREPARING PLANNING AREA MAP

Each proposed project should have definite boundaries as delineated on a Planning Area Map. The purpose of the map is to identify the specific area to be studied in the Preliminary Engineering Report (PER) and Environmental Information Document (EID). The PER/EID is a study of the wastewater needs (or other needs in the case of a non-point source or estuary management project) in the planning area, and is based on projected needs for a period of twenty years after completion of the project. In preparing a map of the planning area, the following items should be considered:

1. The planning area need not, and in most cases should not, be limited to the corporate limits of a municipality. Many municipalities provide wastewater services to areas outside their corporate limits and nearly all municipalities annex outlying areas from time to time. The planning area should include any areas presently served or likely to be served, whether annexed or not, within the twenty-year planning period.
2. The planning area must include all of the collection systems served by any treatment plants within the planning area. Infiltration/inflow problems and sewer system overflows and bypasses are a significant source of noncompliance and can occur anywhere in the collection system. The PER/EID must evaluate all parts of the collection system for problems, even parts that may be outside the applicant's jurisdiction.
3. The planning area need not include all treatment plants within the applicant's jurisdiction. A municipality may include one or more plants and exclude others. This may help a municipality break down a large project into several smaller projects to provide for better project management, or it may allow a municipality to concentrate limited financial resources on the most serious problem areas.
4. The planning area for an unsewered community should include the area where public health or pollution problems presently exist or would be expected to develop within the twenty-year planning period.
5. The planning area for a non-point source or estuary management project should include the area where pollution problems presently exist or would be expected to develop within the twenty-year planning period.
6. Only construction work based on problems within the planning area will be eligible for financial assistance through the SRF program. Construction of treatment and disposal facilities outside the planning area is allowed as long as the treatment and disposal facilities are designed to correct problems inside the planning area. The planning area may be amended during preparation of the PER/EID if necessary to include additional area or to remove areas that need not be included in the project.