



**CWSRF Funding Process Virtual Workshop Series:
Session 8 – Documents Needed to Apply for SRF Funding**

Thursday, August 17, 2023



Logistics

Using the control panel

Opening the control panel



Show your control panel

All phones/microphones are muted for the duration of the webinar

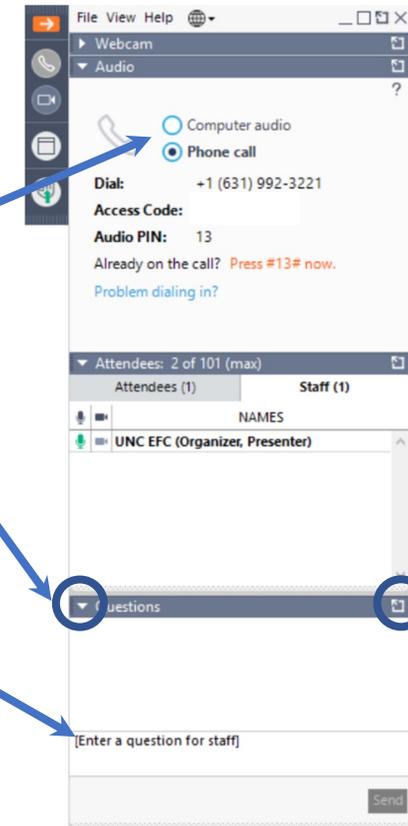
Toggle between full screen/window screen view

Audio: please choose between computer audio or phone call

If you do not hear audio right now, please check your speaker volume or enter #[your Audio PIN]# if using phone

Click  to open in Control Panel

Submit **questions** in the Questions box at any time, and press [Send]



Click  to open in separate box and resize

Certificate of Completion

This session has NOT been submitted for pre-approval of Continuing Education Credits, but eligible attendees will receive a certificate of attendance for their personal record.

To receive a certificate:

- You must attend the entire session
- You must register and attend using your real name and unique email address - group viewing credit will not be acceptable
- You must participate in polls
- Certificates will be sent via email within 30 days

If you have questions or need assistance, please contact smallsystems@syr.edu.

About Us

The Environmental Finance Center Network (EFCN) is a university- and non-profit-based organization creating innovative solutions to the difficult how-to-pay issues of environmental protection and environmental infrastructure.

The EFCN works collectively and as individual centers to address these issues across the entire U.S, including the 5 territories and the Navajo Nation. The EFCN aims to assist public and private sectors through training, direct professional assistance, production of durable resources, and innovative policy ideas.





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CWSRF Series

- **January 19, 2023** | What is the CWSRF?
- **February 16, 2023** | Changes to the SRF with additional BIL money
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- Intended as a series
- You can view recordings of any trainings you miss:



About Us ▾

Training & Events

Resources ▾

Our Initiatives

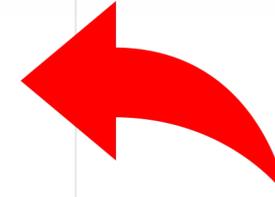
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CWSRF Series Calendar:

- **January 19, 2023** | What is the CWSRF and why should you care? | [View Recording](#) | [Download Slides](#)
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Workshop Overview

1. Review of SRF Program
2. Basis of Design
3. What is a PER?
4. Be involved
5. The RFP
6. Funding for a PER
7. The EID
8. Permitting
9. Questions



Quick Review of the CWSRF

What is it and who is it for?

Why does the SRF (State **Revolving** Fund) exist?

WW infrastructure costs a lot of money

EPA Construction Grants Program to the rescue

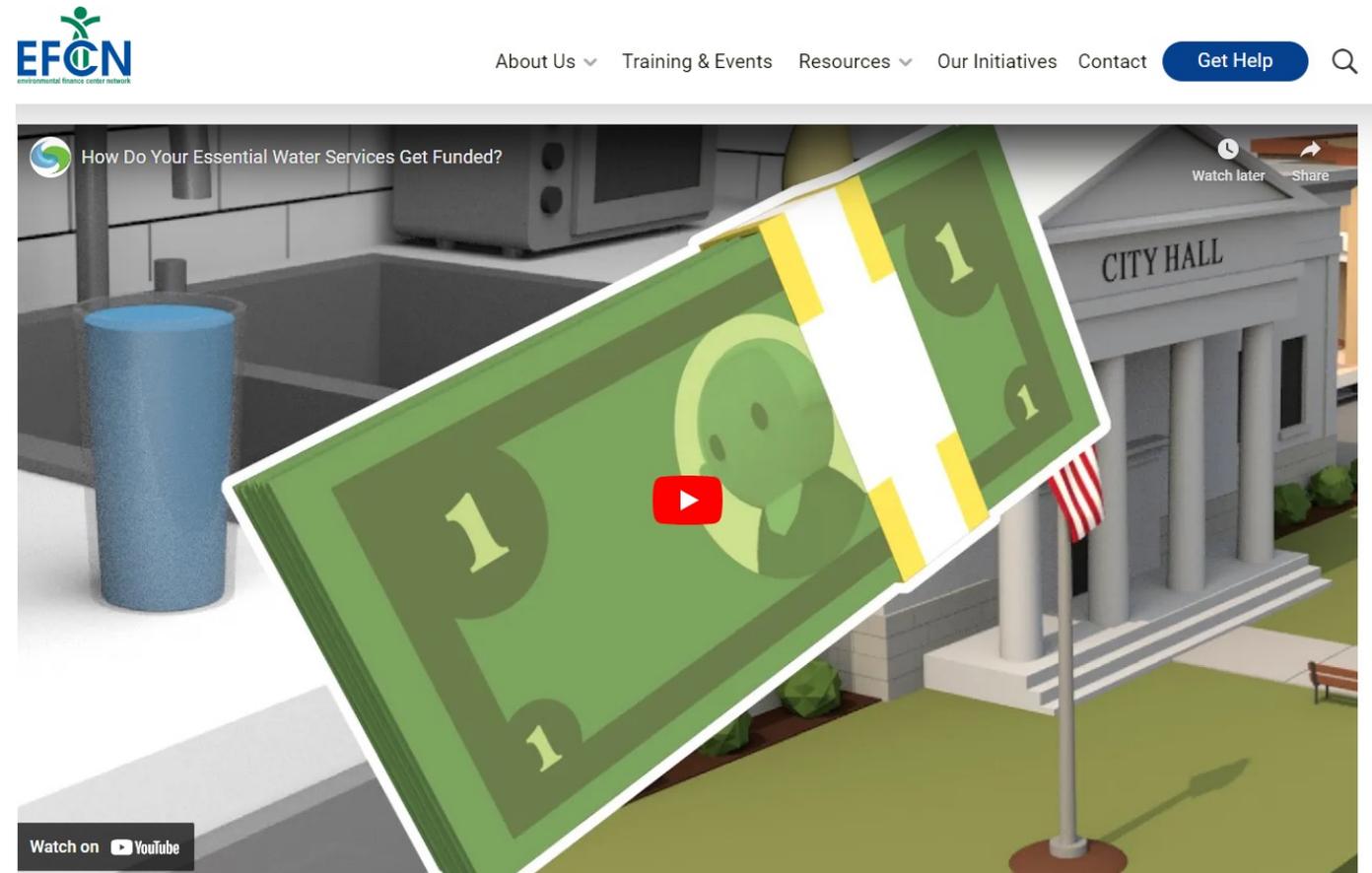
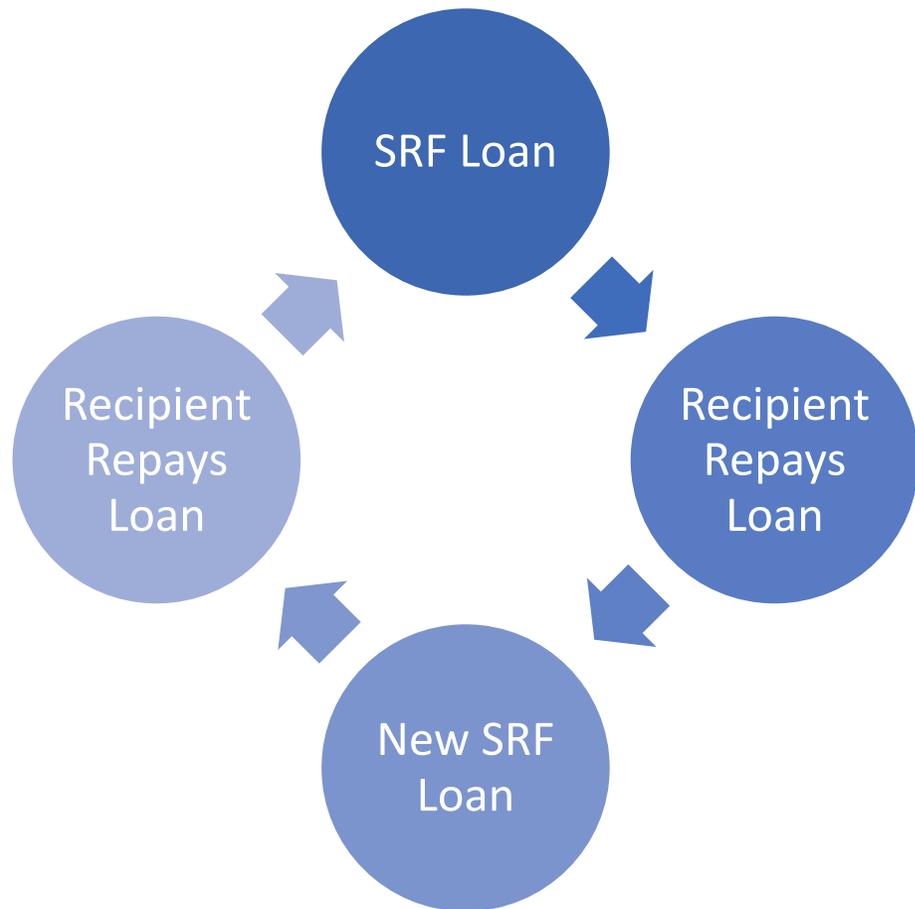
~~Not sustainable!!!~~

Need a revolving loan fund to have sustainable funds
– The SRF is born

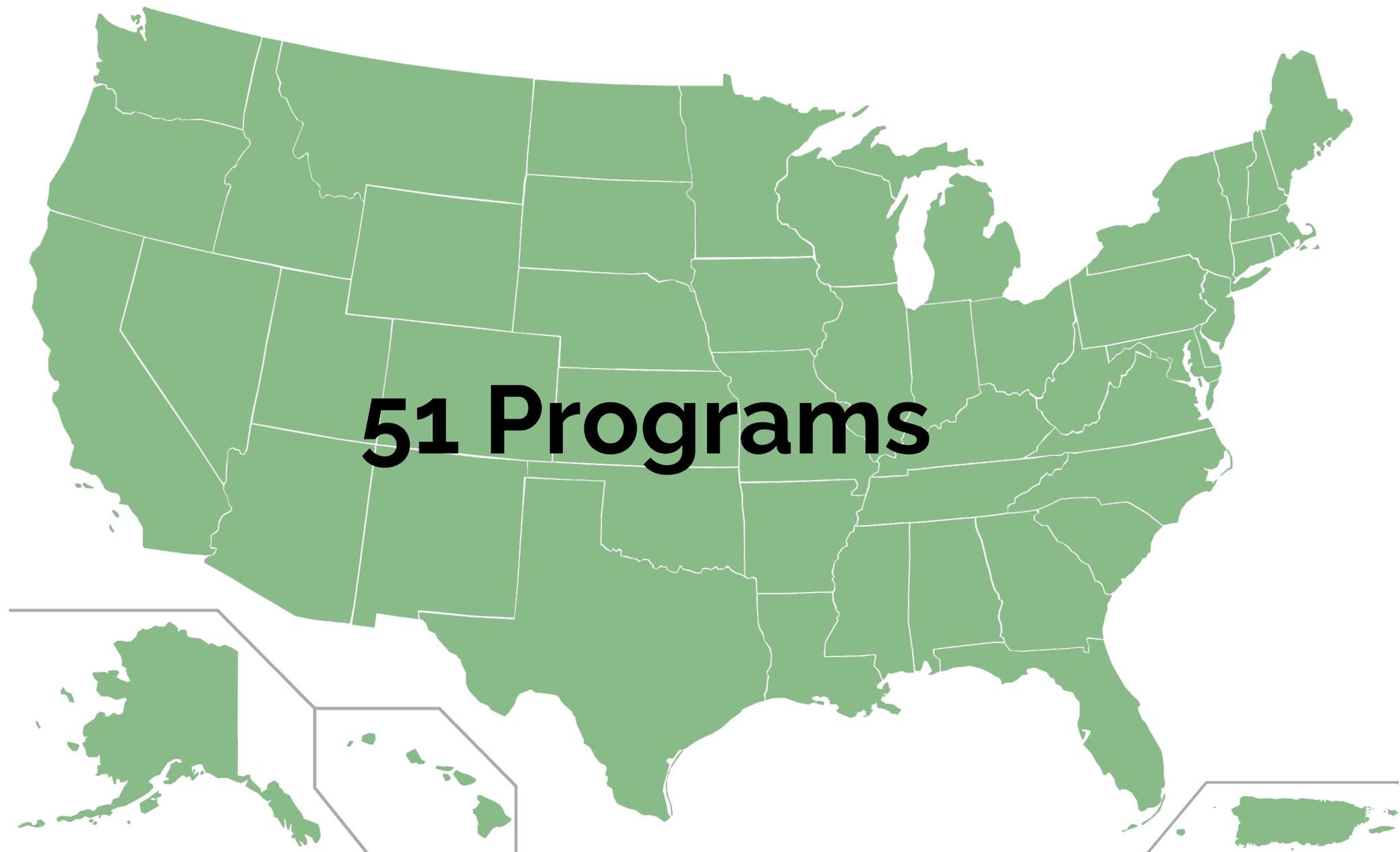
Started with Clean
Water Act Amendments
of 1987



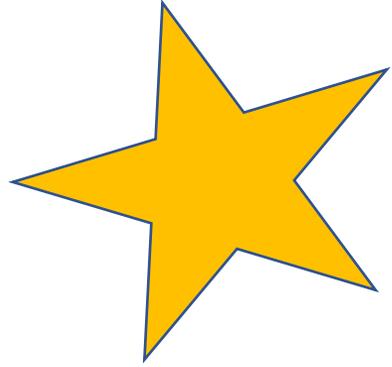
The 51 CWSRF programs function like environmental infrastructure banks by providing low interest loans to eligible recipients for water infrastructure projects.



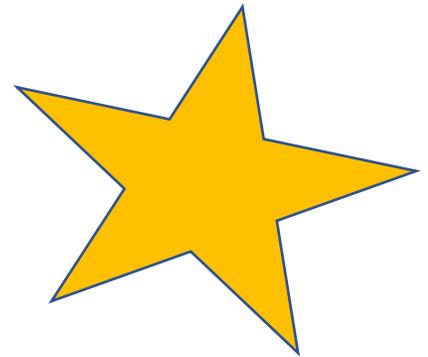
How Do Your Essential Water Services Get Funded?



51 Programs



Each State Decides!



States have flexibility to...

target financial resources to their specific community and environmental needs

customize loan terms to meet the needs of small and disadvantaged communities, or to provide incentives for certain types of projects

provide further financial assistance through **additional subsidization**, such as:
grants,
principal forgiveness,
and negative interest rate loans

target critical green infrastructure, water and energy efficiency improvements, and other environmentally innovative activities through the **Green Project Reserve**

Choose **emerging contaminant** projects according to state-determined guidelines



What documentation is needed for the SRF?

Every state is unique!

Basis of Design – varies by state

The most common documents
needed are a Preliminary
Engineering Report and an
Environmental Information
Document

Some states require an Asset
Management Plan or a Fiscal
Sustainability Plan

Needed for “readiness to
proceed” step of funding



Needed Documents Vary by State

Tennessee

- Audited financial statements
- Wastewater user rate ordinance
- Inter-disciplinary Environmental Review (IER)
- Facilities Planning Document
- Engineering Agreement
- Plans & Specs
- Land Ownership

Colorado

- Project Needs Assessment
- Fiscal Sustainability Plan
- Environmental Information Document
- PER
- Plans & Specs

New York

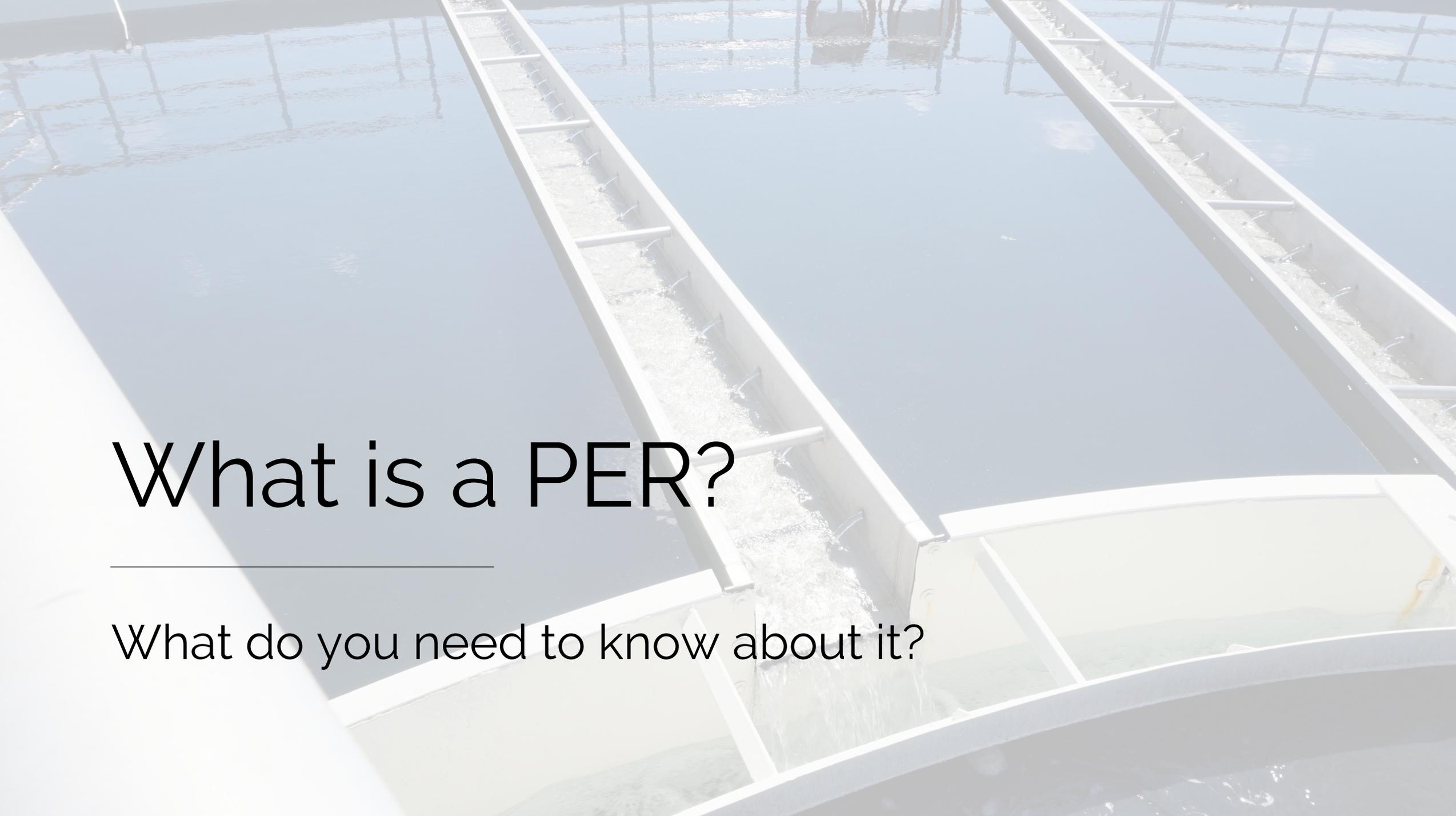
- Engineering Report
- Project Budget & Plan of Finance
- Environmental Review
- State Historical Preservation Documentation
- Bond Resolution
- Engineering Agreement

Needed Documents Vary by State

Because of all these differences between states, we'll focus on the similarities – the PER and Environmental Docs

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What is a PER?

What do you need to know about it?

Preliminary Engineering Report

“a planning document used to find the best construction project to remedy a public health/safety or environment concern” – NV DEP

“a document that provides the information necessary for the State Revolving Fund (SRF) Loan Program to determine the technical, economic, and environmental adequacy of the proposed... project” IN.gov

“A PER evaluates the condition, capacity, and function of a water, sewer, storm, or irrigation facility.” – Morrison Maierle



Who Prepares a PER?

A Professional Engineer licensed in your state

The PER should be stamped by the engineer

The wastewater utility should be involved in the development of the PER

What is included in a PER?

It depends on the state and the type of project

Typically, should focus on a specific need

Should include alternative solutions with cost comparisons and impact on O&M and rates

Should analyze impacts to the community and the environment



Federal Multi-agency Best Practices

- Developed in 2012 by USDA, US EPA, HUD and IHS
- Includes input from many state agencies
- Outline includes:
 - Project Planning
 - Existing Facilities
 - Need for Project
 - Alternatives Considered
 - Selection of Alternative
 - Proposed Project
 - Conclusions and Recommendations
- www.rd.usda.gov/sites/default/files/UWP_Bulletin_1780-2.pdf



Federal Multi-agency Best Practices

- D Using an approach that
- Ir works for multiple agencies
- C protects your ability to
apply to different funders
w/o paying for changes to
the PER.
- W

PER Outline



Environmental
Facilities
Corporation

Department of
Environmental
Conservation

- Cover
- Executive Summary
- Project Background and History
- Alternatives Analysis
- Summary and Comparison of Alternatives
- Recommended Alternative
- Maps & Figures
- Multiple Required Appendices



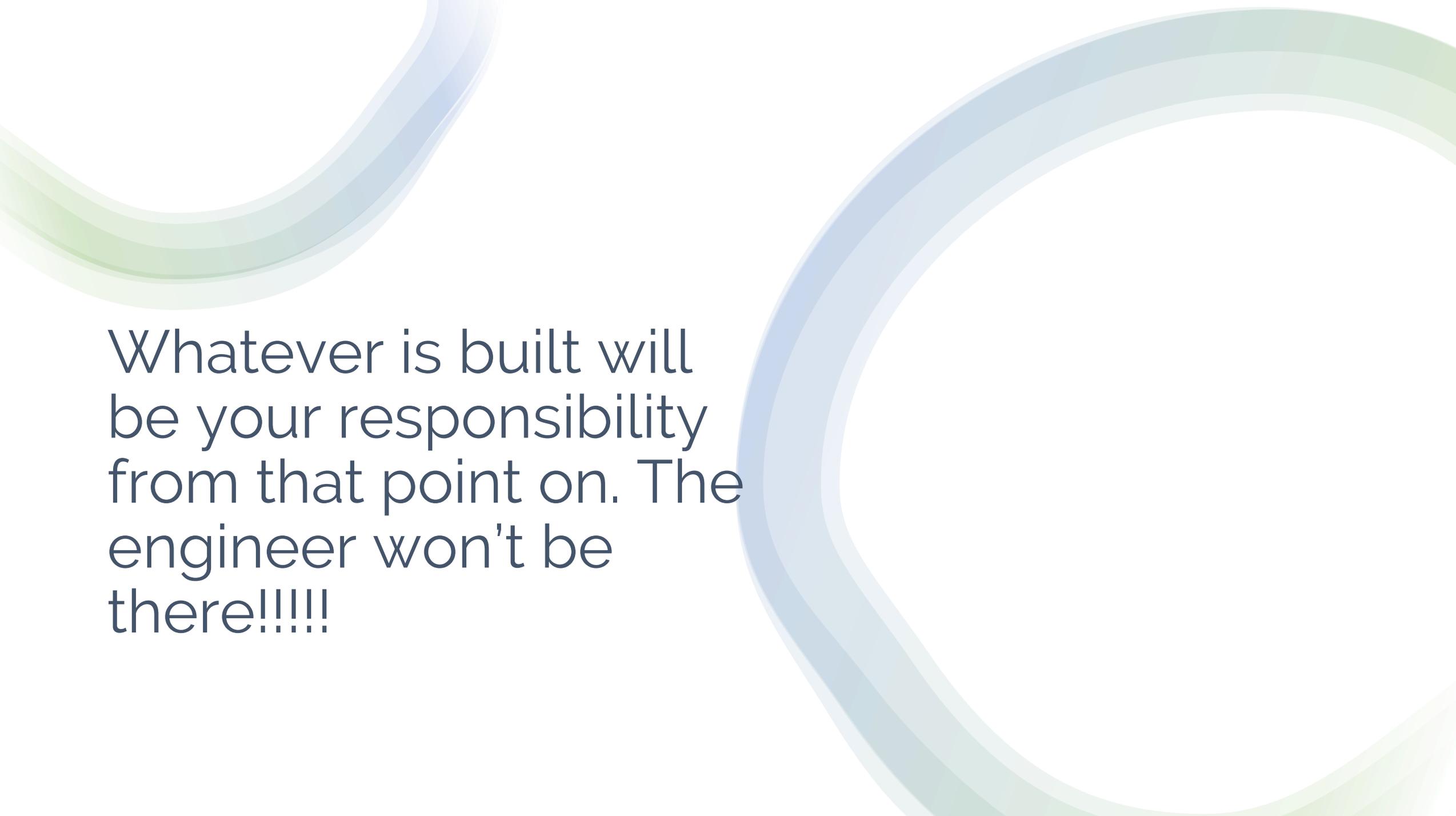
IN PER Outline

- Project Location
- Current Needs
- Future Needs
- Evaluation of Alternatives
- Evaluation of Environmental Impacts
- Proposed Project
- Legal, Financial and Managerial Capabilities
- Public Participation



Involvement in PER Development

Why you should stay involved

The background features several thick, overlapping curved lines in shades of light blue and light green, creating a modern, abstract design. The lines are positioned on the left and right sides of the slide, framing the central text.

Whatever is built will
be your responsibility
from that point on. The
engineer won't be
there!!!!!!

You know the system better than anyone



The engineer will need to gather information about your system and the project needs

- Documentation about the existing facility
- Record drawings/maps
- Wastewater flows
- User Rates

The engineer will need guidance on the project – communicate your goals

- Operations capabilities
- Needs within the community

Considering Alternatives

The utility should be involved in the guidance of the alternatives and reviewing each alternative and understanding the recommended alternative before the PER is finalized.

The project should:

1. Meet community goals.
2. Comply with environmental laws and codes.
3. Be affordable (community can pay the monthly user rate).
4. Be as easy to operate and maintain as possible.
5. Be long lasting.
6. Fit the utility and community culture

Considering Alternatives

Consider how choosing the alternative affects the long-term sustainability (technically, managerially, and financially) for the community

Examples:

Community given grinder pump system rather than gravity sewer

Community choosing complex treatment over lagoon system



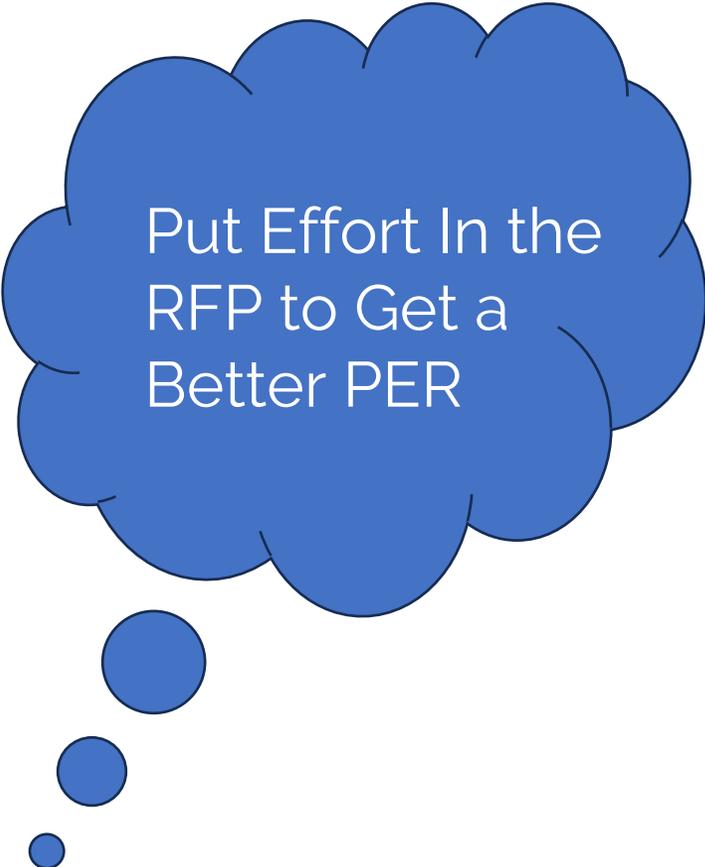


What to include in the RFP

You will probably need to hire an engineer to prepare the PER. For the selection process, you should prepare a request for proposals

The RFP – Plan Ahead

- Project Description should be detailed – state exactly what you want the engineer to provide you in the preliminary engineering report
- Identify how to ask a question about the proposal
- Identify date for site visit (if planned)
- Identify deadline for submission and submission requirements (paper copies, electronic copies, number of copies, etc.)
- Selection Criteria (points for each item) – this should be well thought out, what do you really want to get out of the PER?
- State how you want the engineer to involve the utility personnel – and when in the process.



Put Effort In the RFP to Get a Better PER

Scope of Work



- Who does this project impact?
- What should the PER address?
- Is this one project?
- What is the most important thing to get out of this project?
- Can we make the evaluation criteria reflect that?
- Do we have any other studies to share?
- How many people/households are we currently serving?
- How do we want the alternatives evaluation process to go?

Evaluation Criteria

- Should standardize scoring and remove subjectivity
- Clear criteria sets expectations, delivers fairness, ensures high-quality responses
- What are your highest priority factors?
- What are minor considerations?
- RFP criteria may consider questions of technical expertise, capabilities, data security, HR policies and diversity and sustainability.

V. RFP Evaluation Criteria (Applicable to A, B, C, and D)

Please submit one proposal if you are bidding on multiple items and include information regarding subcontractors.

The minimum general proposal requirements include:

- Qualifications and experience of the project team
- Demonstrated understanding of scope of work and suggested approach to project
- Artistry based on prior portfolio submitted with three (3) samples of prior projects
- Capacity to perform work within schedule and budget
- Any additional items or conditions to which the parties may agree
- Please provide three references.

From QBS Guide

	Rating (1-5)	Weight (1-10)	Total
1) Firm's history and resource capability to perform required services	x		=
2) Evaluation of assigned personnel	x		=
3) Related experience (as appropriate):			
a) Design services			
b) Demolition			
c) Construction observation			
d) Studies			
e) Other _____	x		=
4) a) Meeting schedule			
b) Meeting project budget	x		=
5) Familiarity with local area geography and facilities	x		=
6) Ability to relate to project requirements	x		=
7) Analysis of subjective statements (one page) applicable to the project as required on the RFQ	x		=
8) Reference check (evaluation transfer from reference check form)	x		=
Name of Reviewer _____			Grand Total: _____

What wasn't included on the evaluation process slides?

Cost/Price

Generally, engineers are selected using a Qualification Based Selection process (QBS). In QBS, the firm is selected first, based on their experience and expertise, and then price is negotiated after. If you can't agree to a price, then you can usually go on to number 2 in the rankings.

Check with your state to determine the specific QBS requirements for professional procurement.

RFP Templates



Can provide guidance on what to include



Must include utility's input - Should not be used solely with the examples provided



Often the instructions are overlooked – use them



If a text box is too small for your needs, make it bigger or add a page



The scoring in a template should be modified to fit your needs – for a PER think about what will make one more useful than another for your utility



Interviewing Firms

- Only interview firms from a shortened list based on your selection criteria
- Determine Evaluation Criteria for the interview ahead of time and share with those selected
- Allow ample time for a presentation by the firm and time for Q&A



References

Ask for references

Have them be as similar to your type of project as possible (same system type, or size, or general location, etc.)

Make sure you reach out and contact the references.



Funding for PER Development

Planning Grants

State Programs

SRF

CDBG

State-funded
Sources

Federal Programs

USDA -

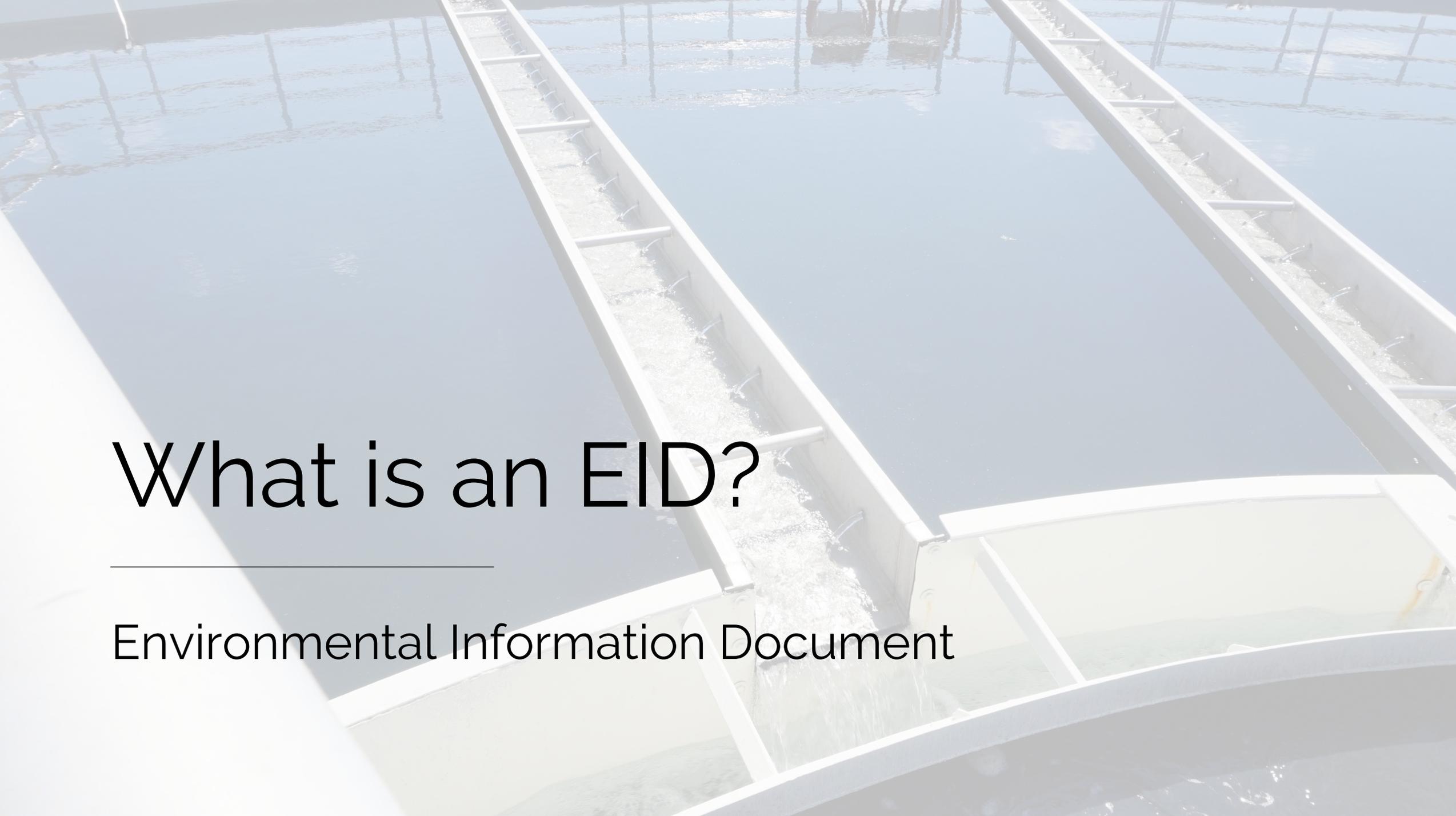
[https://www.rd.usda.gov/
programs-services/water-
environmental-
programs/water-waste-
disposal-predevelopment-
planning-grants](https://www.rd.usda.gov/programs-services/water-environmental-programs/water-waste-disposal-predevelopment-planning-grants)

Example - Montana Planning Grants

- The Renewable Resources Grant and Loan (RRGL) program typically has two funding cycles following a legislative session.
- The Montana Coal Endowment Program (MCEP, formerly TSEP) also has a planning grant cycle that opens after the legislative session, with grant awards typically made on a first-come, first-serve basis.
- CDBG will often have an annual spring and fall planning grant funding cycle.
- And USDA Rural Development also has planning grant funding available for smaller communities.



A Quick Word About Permitting



What is an EID?

Environmental Information Document

Environmental Information Document

“a concise document that adequately discusses the environmental impact of the proposed project” –GA DNR

“The level of detail and the amount of information provided in this environmental report is commensurate with the magnitude of construction activities and their potential impact on environmental and historical resources.” VT DEC

“allows the Water Supply and Infrastructure Division, as well as other review agencies, to make determinations about the degree of impacts that can reasonably be expected to occur as a result of construction of a proposed project.” – TX WDB



Types
(May vary a bit
by state)

All start with
EID to see
what Direction
to Go

Categorical Exclusion (CatEx) or
Findings of No Significant Impact
(FONSI)

Environmental Assessment (EA)

Environmental Impact Statement

Potential
Categorical
Exclusions
Examples
(vary a lot by
state)

Project entirely in previously developed/disturbed land.

Replacing assets with new assets (i.e., replacing old pipe with new pipe in the same general area)

Small portion of land disturbed

Potential
Categorical
Exclusion

Example

(vary a lot)

Project

May be required to do public comment process. Some states will require more than CatEx even if no new disturbance.

new pipe in the

Small portion of land disturbed

FONSI

Probably have to do some environmental documentation – but limited in scope

Review of submission indicates no issue or reason to believe there would be any major concerns

FONSI issued

EA or EIS

If more impacts expected, an Environmental Assessment – EA – may be required. Moderate level of effort. May require an EIS if too many impacts.

Environmental Impact Statement – EIS – highest level of effort. Can be expensive and time consuming. Involves a lot of public involvement/comment

Record of Decision (ROD)/EIS/EA – documents the information and rationale used to arrive at the decision



What to include in the RFP

EID Request for Proposals

- The EID may be part of the PER requirements – may not need a separate RFP
- Similar to PER RFP
- Language regarding state requirements
 - The state must have the legal authority to conduct environmental reviews
 - Public notice or public hearing requirements
- Alternatives Analysis - How the project will avoid, minimize or mitigate adverse impacts
- Mapping requirements



State CW SRF Contacts

<https://www.epa.gov/cwsrf/state-cwsrf-program-contacts>

Clean Water State Revolving Fund

State CWSRF Program Contacts

CWSRF assistance is provided directly from state agencies. Contact the CWSRF program in your state for information on how to apply.

State	Contact	Phone	Email	State CWSRF Website
Alabama	Eric Reidy	(334) 271-7805	eric.reidy@adem.alabama.gov	Alabama Department of Environmental Management
Alaska	Carrie Bohan	(907) 465-5143	carrie.bohan@alaska.gov	Alaska Department of Environmental Conservation
Arizona	Lindsey Jones	(602) 364-1324	ljones@azwifa.gov	Water Infrastructure Finance Authority of Arizona
Arkansas	Debby Dickson	(501) 682-0548	debra.dickson@agriculture.arkansas.gov	Arkansas Department of Agriculture
California	Michael Downey	(916) 341-5698	michael.downey@waterboards.ca.gov	California Water Resources Control Board
Colorado	Jim Griffiths	(303) 830-1550, Ext. 1024	jgriffiths@cwrpda.com	Colorado Water Resources and Power Development Authority
Connecticut	Lindsay Williams	(860) 424-3140	lindsay.williams@ct.gov	Connecticut Department of Energy and Environmental Protection
Delaware	Greg Pope	(302) 739-9941	greg.pope@delaware.gov	Delaware Department of Natural Resources and Environmental Control
Florida	Mike Chase	(850) 245-2913	michael.chase@floridadep.gov	Florida Department of Environmental Protection
Georgia	Amanda Carroll	(404) 450-8381	acarroll@gefpa.ga.gov	Georgia Environmental Finance Authority



Technical Assistance: Remote or In-Person

We can provide assistance on a full array of T, M, & F Topics such as:

Regulatory Compliance

Operator Certification & Education

Asset Management

Effective Utility Management

Workforce Development

Rates and Fiscal Sustainability

Affordability

Operation and Maintenance

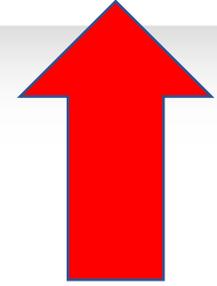
Resilience and Planning for an Uncertain Future

Green and Natural Infrastructure

Water Efficiency (I/I)

Access to Funding Sources

Request assistance now or contact us for more information.



Technical Assistance Request Form

The EFCN offers no cost assistance to drinking water systems serving 10,000 or fewer people and wastewater systems that treat 1 million gallons per day or less. Examples of assistance we can provide include:

- Conducting a water loss audit
- Assessing options for lowering energy use
- Starting an asset management plan
- Identifying next steps in your asset management process
- Creating an asset inventory
- Mapping your water system
- Rate setting
- Near-term financial & long-term capital planning
- Analyzing your revenues and expenses
- Resiliency planning
- Preparing for an operator certification exam
- Helping understand water/wastewater math
- Integrating green infrastructure into your gray asset management plant

To request assistance, please fill out the form below. You will be asked a few questions to help us understand your system and what kind of assistance you need.

Name *

Title/Position *

<https://efcnetwork.org/get-help/>

Today's Webinar Recording will be posted.

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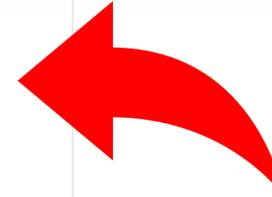
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Questions



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Environmental Finance Center Network

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