





State Water Resources Control Board

Division of Drinking Water

September 5, 2017

Corine Li, P.E., Manager, Region IX U.S. Environmental Protection Agency Drinking Water Management Section (WTR3-1) 75 Hawthorne Street San Francisco, CA 94105

Dear Ms. Li:

Please find enclosed a copy of the State of California's Fiscal Year 2016-2017 Capacity Development Program Implementation Report. This report was prepared in accordance with the Public Water System Supervision Grant Workplan between the State Water Resources Control Board and USEPA. The report will be posted on the State Water Resources Control Board, Division of Drinking Water, webpage located at this URL:

http://www.waterboards.ca.gov/drinking_water/certlic/drinkingwater/Publications.shtml

The State Water Board will continue to identify ways to develop the capacity of the public water systems within the State of California, thereby increasing access to safe and reliable supplies of drinking water for all Californians.

Sincerely,

Darrin Polhemus, P.E.

Deputy Director, Division of Drinking Water State Water Resources Control Board

STATE OF CALIFORNIA

ANNUAL CAPACITY
DEVELOPMENT PROGRAM
IMPLEMENTATION REPORT

FY2016-2017





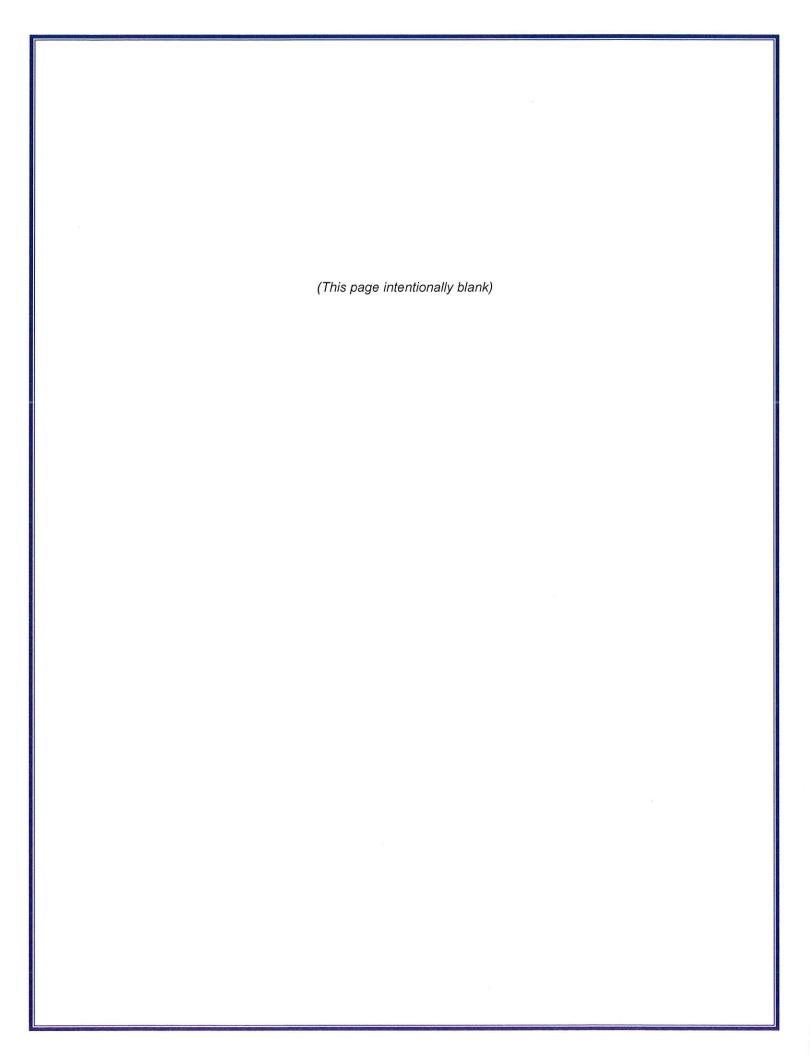


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STATE WATER RESOURCES CONTROL BOARD DIVISION OF DRINKING WATER

ANNUAL CAPACITY DEVELOPMENT PROGRAM IMPLEMENTATION REPORT

STATE FISCAL YEAR 2016-2017

(for the period of July 1, 2016 to June 30, 2017)

1 CAPACITY DEVELOPMENT PROGRAM OVERVIEW

1.1 LEGAL AUTHORITY

The State Water Resources Control Board (State Water Board) is designated as a primacy agency by the U.S. Environmental Protection Agency (USEPA), and is granted the regulatory and enforcement authority over drinking water standards and public water systems in California. Within the State Water Board, the Division of Drinking Water (DDW) oversees enforcement of drinking water standards and requirements over public water systems (PWSs) in California, under the authority of the California Safe Drinking Water Act.

The 1996 federal Safe Drinking Water Act (SDWA) required states to incorporate technical, managerial, and financial (TMF) capacity into public water system operations. This requirement helps ensure that public water systems with TMF capacity have long term sustainability and are able to maintain compliance with all applicable drinking water laws and regulations.

The federal SDWA Amendments were signed into law in part because of the significant problems that small public water systems (SWS) had in providing safe, reliable drinking water to their customers. It included mandates to the states to prevent new non-viable systems. It also mandated the development and implementation of a comprehensive capacity development strategy to assist public water systems in obtaining adequate capacity.

In 1997 <u>Senate Bill (SB) 1307</u> became law, enabling California to implement the provisions of the federal SDWA. This statute established a financial assistance program, entitled the Drinking Water State Revolving Fund (DWSRF), which included a comprehensive technical assistance program for small systems. In order to help ensure the provision of safe, reliable drinking water to customers on a long term basis, this legislation was designed to prevent the formation of a new public water system or the approval of a public water system change of ownership unless that system is determined by the State to have adequate TMF capacity.

Section 116540 of the Health and Safety Code states:

"A public water system that was not in existence on January 1, 1998, shall not be granted a permit unless the public water system demonstrates to the state board that the water supplier possesses adequate financial, managerial, and technical capability to ensure the delivery of pure, wholesome, and potable drinking water. This section shall also apply to any change of ownership of a public water system,"

It should be noted that the California SDWA goes beyond the federal requirements by applying the TMF criteria to transient noncommunity water systems and to water systems changing ownership.

1.2 LEGISLATIVE MANDATES

On September 12, 2012, Governor Edmund G. Brown Jr. signed Assembly Bill (AB) 685, making California the first state in the nation to legislatively recognize the human right to water. Now in the Water Code as Section 106.3, the State statutorily recognizes that:

"....every human being has the right to safe, clean, affordable, and accessible water adequate for human consumption, cooking, and sanitary purposes."

The human right to water extends to all Californians, including disadvantaged individuals and groups and communities in rural and urban areas. Further, the bill required state agencies to consider this policy "when revising, adopting, or establishing policies, regulations, and grant criteria.

Under this law, the State Water Resources Control Board (State Water Board) has begun an evaluation of the cost of drinking water and the ability of customers to pay for water system maintenance and operation. Under Assembly Bill 401, the State Water Board is developing a plan for statewide low-income rate assistance (LIRA) program. These issues significantly impact a community water system's ability to maintain adequate financial capacity if the water rates are increased beyond the ability of customers to pay. Such increases may be due to increased costs for operation and maintenance, added treatment to meet drinking water standards, or increased cost to purchase or pump water.

In 2015, the "Resilient, Affordable, Safe Drinking Water for Disadvantaged Communities Framework" was created, which identified a series of measures necessary to ensure that all communities have access to safe and affordable water. Over the past two years, the State Legislature and Governor have taken important steps toward implementing the actions specified in the framework.

Those steps include:

- Senate Bill 88 (2015), authorizes the State Water Board to require certain water systems that consistently fail to provide safe drinking water to consolidate with, or receive an extension of service from, another public water system.
- Senate Bill 552 (2016) authorizes the State Water Board to require public water systems that serve disadvantaged communities and that consistently fail to provide an adequate and affordable source of safe drinking water to obtain administrative and managerial services from an administrator selected by the State Water Board.
- Senate Bill 1263 (2016) will help to prevent the establishment of new, unsustainable public water systems.

On February 16, 2016, the State Water Board adopted a resolution identifying the human right to water as a top priority and core value of the State Water Board and Regional Water Quality Control Boards (collectively the 'Water Boards'). The resolution stated the Water Boards will

work "to preserve, enhance, and restore the quality of California's water resources and drinking water for the protection of the environment, public health, and all beneficial uses, and to ensure proper water resource allocation and efficient use, for the benefit of present and future generations."

The resolution cements the Water Boards commitment to considering how its activities impact and advance the human right to safe, clean, affordable, and accessible water to support basic human needs. The human right to water will be considered in actions taken by the Water Boards that pertain to sources of drinking water. These actions may include: revising or establishing water quality control plans, policies, and grant criteria; permitting; site remediation and monitoring; and water right administration.

Under the resolution, Water Boards staff will work with relevant stakeholders, as resources allow, to develop new systems or enhance existing systems to collect data and identify and track communities that do not have, or are at risk of not having, safe, clean, affordable, and accessible water for drinking, cooking, and sanitary purposes. Water Boards staff will also work with relevant groups to develop performance measures to evaluate the Water Boards' progress toward making the human right to water a reality, and such information will be made available to the public.

The State Water Board has developed a Human Right to Water Portal, which provides information to the public related to water quality data, water system compliance status, and mapping of public water systems. The State Water Board is further evaluating the issues related to affordability and accessibility for posting on this website. The site can be found at:

http://waterboards.ca.gov/water issues/programs/hr2w/index.shtml

On September 29, 2016, Senate Bill No. 1263 (SB-1263) was signed into law, effective January 1, 2017. It added Section 116527 and amended Section 116540 of the California Health and Safety Code. It also added Section 106.4 to the California Water Code.

SB-1263 makes three significant changes to California's legal authority: (1) it requires a preliminary technical report from water supply permit applicants, (2) it prohibits local primacy agencies from issuing a permit to operate a public water system without the concurrence of the State Water Board, and (3) it prohibits the issuing of a building permit for residential development where the source of water supply is provided by a water hauler, bottled water, water vending machines, or retail water facility.

SB 1263 PRELIMINARY TECHNICAL REPORT

A preliminary technical report (PTR) is required to be completed by a domestic water supply applicant at least 6-months prior to construction of any water related infrastructure. The PTR must include an evaluation of physical and managerial consolidation potential with any other existing public water system within a 3-mile radius surrounding the location of the proposed water system. The PTR is to include the estimated costs to operate the proposed water system, and a comparison with the cost of consolidation if there is a public water system within the 3-mile radius. It must also include a source capacity evaluation for a 20-year period including multi-year droughts. Exemptions from the requirement for a PTR include water systems that are undergoing consolidations, extension of services and water systems that propose providing piped water service to replace individual private domestic wells.

1.3 CALIFORNIA'S TMF CAPACITY CRITERIA

The State Water Board has developed written criteria to evaluate the TMF capacity of public water systems. Thirteen elements are defined in the TMF Criteria that, when demonstrated by the public water system, would be an indication that it possesses adequate TMF capacity. Each of the thirteen TMF elements defined in this Criteria has three components: 1) a description of the importance of that element as it relates to the water system's capacity; 2) documentation requirements, which identifies the documents for each TMF element that need to be submitted to DDW or the Local Primacy Agency (LPA)¹; and 3) the criteria that DDW or the LPA will use to evaluate the water system's capacity for that TMF element.

The specific elements of the TMF Criteria include the following:

Table 1. Elements of the TMF Criteria

Technical Capacity
Consolidation Feasibility
System Description
Certified Operators
Source Capacity
Operations Plan
Training
Managerial Capacity
Ownership
Water Rights
Organization
Emergency Response Plan
Policies
Financial Capacity
Budget/Capital Improvement Plan
Budget Control

TMF assessments must be completed by all new public water systems, public water systems applying for funding through the DWSRF, and public water systems that are undergoing a change of ownership. There are Mandatory, Necessary and Recommended TMF elements based on the action for that public water system – i.e., whether it is new, changing ownership or seeking DWSRF funding for a capital improvement project. Based upon the information provided via the water system's TMF assessment, DWSRF funding or the initial domestic water

¹ A Local Primacy Agency, or LPA, refers to a County Environmental Health Program that has received primacy from the State Water Board for small public water system regulatory oversight in California under a Primacy Delegation Agreement. Under this Primacy Delegation Agreement, the LPA will generally regulate systems serving less than 200 service connections. The State Water Board maintains a program to oversee these delegation agreements. There are currently 30 Counties in California that have been delegated primacy. For the remaining 28 Counties, DDW oversees the regulatory compliance for all public water systems, including small water systems.

supply permit may be denied. In other cases, conditions are placed in the initial domestic water supply permit requiring the public water system to take additional steps to maintain an acceptable level of capacity.

All of the Mandatory TMF elements must be completed prior to the issuance of a DWSRF funding agreement for a construction project or prior to obtaining a new system or change of ownership water supply permit. The Necessary TMF elements must be addressed satisfactorily within a timeframe determined by the regulatory agency which typically would be six months after funding project completion or permit issuance. A TMF elements chart is provided in **Appendix A** to illustrate the Mandatory and Necessary TMF elements needed for DWSRF funding projects, new water systems, and changes of ownership.

All of the current TMF assessment forms and guidance documents are posted on the State Water Board capacity development web page (provided below) for easy reference by public water system personnel, regulators, and other interested parties.

http://www.waterboards.ca.gov/drinking_water/certlic/drinkingwater/TMF.shtml

2 NEW PUBLIC WATER SYSTEM TMF PROGRAM

2.1.1 CONTROL POINTS

The State Water Board uses the water supply permit as the control point for capacity development requirements for new public water systems. As part of the permit application package for a new public water system or change in ownership of a public water system, the State Water Board requires the applicant to prepare and submit documentation demonstrating that the legal owners of the water system possess adequate TMF. As previously discussed, SB-1263 adds an additional step for new water systems through the **preliminary technical report** process for new water supply permits.

2.1.2 NUMBER OF NEW PUBLIC WATER SYSTEMS DURING FY 16/17

The number of new public water systems (PWSs) permitted for the period of July 1, 2016 through June 30, 2017, is summarized in Table 2 by public water system classification. The complete list of new PWSs during FY 16/17 is provided in **Appendix B**. These systems are identified as 'NEW" in the State Water Board's database of record, the Safe Drinking Water Information System (SDWIS) database. The TMF assessments for these new water systems are tracked at the State Water Board, DDW District Office and LPA level. Each permit for a new public water system must specify that adequate TMF capacity was demonstrated. During the annual LPA evaluation process, State Water Board staff reviews the completed TMF assessments for new systems permitted by LPAs for the previous years. DDW District Engineers are responsible for reviewing District staff evaluations of TMF Assessments.

Table 2: Summary of Newly Created PWSs During FY16/17

PWS Classification	No. New PWSs	Population Served by New PWSs	No. New Service Connections Created
Community	6	3062	905
Nontransient Noncommunity	21	1582	88
Transient Noncommunity	29	2939	87
Total	56	7583	1080

For comparison purposes, Table 3 presents the total number of public water systems regulated within California, based on public water system classification. This also shows the percentage of new public water systems for each classification.

Table 3: Total Number of Public Water Systems (As of June 2017)

Type of Water System	Total Number PWSs	Number New PWSs	% New of Total No. Systems
Community	2,924	6	0.2%
Nontransient Noncommunity	1,467	21	1.43%
Transient Noncommunity	3,147	29	0.9%
Wholesale Water Systems	50	0	
Total number of PWSs	7,588	56	0.7%

The following figures demonstrate the comparative numbers of new community and noncommunity water systems (Figure 1), and a comparison of new service connections and population by public water system classification (Figure 2). Figure 3 presents the number of new public water systems by County.

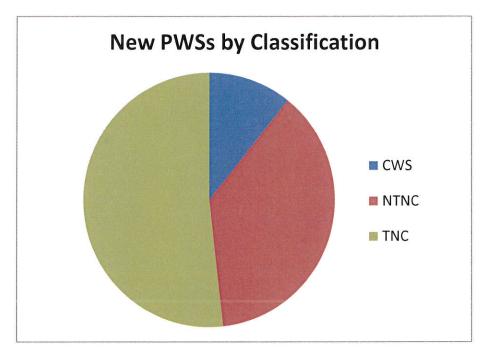


Figure 1: New PWSs in FY 16/17 (by Classification)

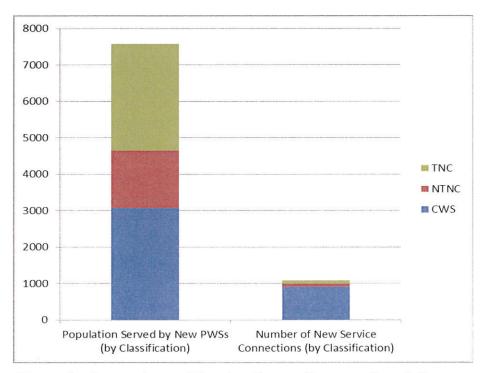
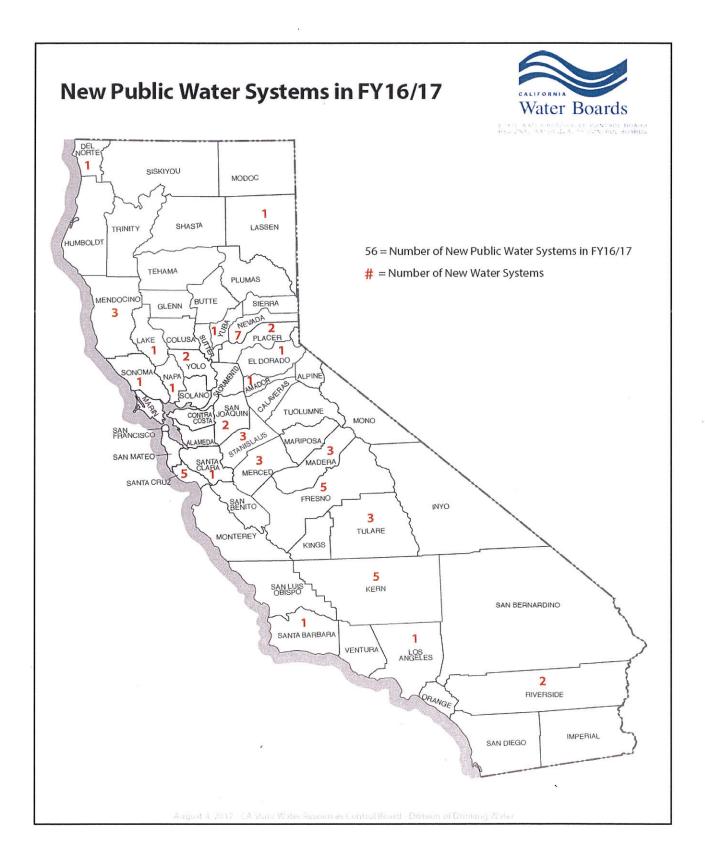


Figure 2: Comparison of Service Connections vs. Population in New PWSs (by Classification)



3 Existing Public Water System Capacity Development Program

3.1 LEGAL AUTHORITY

The State Water Board has recognized that some public water system violations are partially a result of inadequate TMF capacity by the operator, the water system owner, or governing Board.

Pursuant to California Health and Safety Code Sections 116650 and 116655, regarding authority for the issuance of enforcement Citations and Orders, the State Water Board has the ability to include requirements in enforcement actions that the public water system demonstrate some aspect of TMF capacity that may be pertinent to the violation. Additionally, the State Water Board has established in the DWSRF FY 16/17 Intended Use Plan that any state-funded water supply construction project applicant must demonstrate adequate TMF.

3.2 TMF REQUIREMENTS FOR STATE-FUNDED WATER SUPPLY PROJECTS

The State Water Board conducts TMF capacity evaluations of all DWSRF and Proposition 1 Drinking Water (Prop 1) construction project applicants to ensure sustainability, resilience, and responsible use of public funds. Where a state agency applicant acts on behalf of a disadvantaged community in applying for Prop 1 grant funding, the State Water Board will analyze the TMF capacity of the appropriate PWS. If a PWS does not have adequate TMF capacity, DWSRF technical assistance may only be provided if it is a small public water system (serving less than 10,000 persons) and the assistance will help the PWSs achieve TMF capacity.

Full TMF assessments are not required for planning project funding agreements. However, development of the TMF Assessment and documentation required to make that project ready for construction funding is an eligible activity that can be funded in the planning project.

During the past fiscal year, State Water Board Division of Financial Assistance (DFA) financed 21 construction projects that required TMF documentation. Of those 21 projects, 18 projects were required to submit the standard TMF Assessment Form and attachments. The other three construction projects (2 with the City of Fresno and one with Valley Center MWD) are large water systems that either stated the TMF files were located at DDW (both Fresno projects) or filled-out the Alternative TMF Assessment Form (Valley Center MWD).

Below is a summary of the expected TMF demonstration required for a DWSRF funding applicant.

3.2.1 TECHNICAL CAPACITY

To demonstrate technical capacity, PWSs must show that their systems' drinking water sources are adequate; that the treatment, distribution, and storage infrastructure are adequate; and that system personnel have the technical knowledge to efficiently operate and maintain the system. As part of reviewing a funding application, the State Water Board will review the engineering reports, plans and specifications as well as the PWS's records to verify that the system is being properly operated and maintained.

3.2.2 MANAGERIAL CAPACITY

To demonstrate managerial capacity, the PWS must have personnel with expertise to manage the operation of the entire water system. The State Water Board will review the PWS's managerial capacity to assure that management is (1) involved in the day-to-day supervision of the water system, (2) compliant with all required regulations, (3) available to respond to emergencies, and (4) capable of identifying and addressing all necessary capital improvements and assuring financial viability. The State Water Board will also review records to ensure that the PWS is staffed with a qualified water operator in accordance with the State's Operator Certification Program.

3.2.3 FINANCIAL CAPACITY

A PWS must demonstrate it has the financial capacity to own and operate its water system, including the proposed construction project, as a condition for the award of construction financing from the DWSRF or Prop 1. The PWS must show that the system has sufficient revenues to cover necessary operation and maintenance costs and demonstrate credit worthiness with adequate fiscal controls. The PWS must also demonstrate financial planning for future capital improvements, including providing any water rate studies to demonstrate overall financial capacity. The State Water Board will review the PWS's project budget, audited annual financial reports, and other financial information to determine the PWS has adequate financial capacity to operate and maintain its system, including the proposed infrastructure project. A PWS may not be required to demonstrate financial capacity to operate and maintain its water system, including a proposed infrastructure, in order to receive planning funds from the DWSRF or Prop 1. DWSRF or Prop 1 planning funds may be used to assist a PWS in establishing its financial capacity to operate and maintain its system, including the proposed infrastructure project, in preparation for eventual construction financing. Examples of tasks financed with DWSRF or Prop 1 planning funds may include water rate studies, budget development, Prop 218 technical assistance, and capital improvement planning.

3.3 CAPACITY DEVELOPMENT FOR EXISTING PUBLIC WATER SYSTEMS

There is a need to ensure that there are adequately trained and informed operators, water system owners and water utility Boards to ensure water systems within our Sate are fully in compliance with the California Safe Drinking Water Act. State Water Board identifies public water systems in need of capacity development assistance through use of the methods and tools discussed below.

3.3.1 Approach for Providing Capacity Development Assistance

State Water Board uses a number of approaches for identifying statewide public water system capacity concerns and providing PWS capacity development assistance:

a. The State Water Board capacity development website provides tools for water systems to use to assist in developing TMF capacity. These tools include the current TMF Assessment forms, various budget templates, an equipment life expectancy chart, sample emergency notification letters, and operations plan and emergency response plan templates. In addition, links to the websites of organizations that provide services for small water systems are provided. The website for the tools is:

http://www.waterboards.ca.gov/drinking water/certlic/drinkingwater/TMF.shtml>

- b. The State Water Board's Primacy Liaison Unit (PLU), which resides within the DDW Quality Assurance Section, is designated to develop and maintain the State Water Board's Drinking Water Capacity Development Strategy. The PLU currently provides support to the LPAs and DDW District Offices that regulate small water systems. The PLU staff provide ongoing consultation and oversight to assist the regulators in maintaining small water systems in compliance with all standards.
- c. CalTAP is the stakeholder advisory committee that is comprised of all the organizations who have contracts with the State Water Board to provide technical assistance under the DWSRF program, as well as the State Water Board District Engineers and LPA representatives. The CalTAP organizations include CRWA, RCAC, Self Help Enterprises, and UC Davis. The CalTAP Workgroup is a subcommittee that does not include the regulators. CalTAP affords these entities a forum to discuss drinking water issues and to work together toward solving mutual concerns.
- d. State Water Board staff presented information at the six California Financing Coordinating Committee Funding Fairs offered throughout the state in FY 16/17 and one special funding fair sponsored by the State Water Board. These events enable PWS personnel to obtain information about various infrastructure funding sources including the DWSRF program. This is especially helpful for water systems whose projects are large or do not meet California funding program criteria as they are able to learn about additional funding sources for their project outside of the State Water Board.

3.3.1.1 TMF Tune-Up

California's baseline capacity assessment tool is known as the TMF Tune-up. Over 1,000 public water systems have used the TMF Tune-Up since its inception. The State Water Board will use the information provided by water systems via the TMF Tune-Up for statistical purposes in order to plan for future types of assistance that could be provided to water systems by the **DWSRF** Capacity Development Program. The TMF Tune-up is also intended to be a tool that individual water systems can use to identify areas where improvement is needed and to offer suggestions as to the resources that are available in order to enable the water system to make those improvements.

The State Water Board has in the past required water systems to complete a TMF Tune-Up prior to receiving technical assistance. Systems that have low scores are assigned to technical assistance providers to improve the weak areas. The State Water Board will continue encouraging

What is the TMF Tune-Up?

The TMF Tune-up is an online diagnostic tool that individual public water systems in California can use to determine their relative strengths and weaknesses with regard to the TMF elements. The development of the TMF Tune-Up was funded under the USEPA Capacity Development set-aside in the DWSRF funds. This program strives to show water systems how they can manage their systems as well as fund needed capital improvements over time in order to provide safe drinking water to their customers. On completion of the online TMF Tune-Up, a water system is provided with an Individualized Development Plan (IDP). This IDP includes a series of relative scores for the water system in each of the TMF categories as well as pertinent combined scores. In addition to the scores, the IDP provides a list of resources including free workshops, technical assistance, as well as links to various organizations and agencies that specialize in providing materials and services to drinking water systems

all water systems to complete the TMF Tune-Up in addition to the TMF assessments to improve the overall capacity of water systems in California.

Currently, the TMF Tune-up remains offline due to technical difficulties. It was anticipated that the TMF Tune-Up would be online by December 2015 but has been delayed due to the transition of the Drinking Water Program from CDPH to the State Water Board. The State Water Board is currently reconfiguring the DRINC portal, which is an online site for public water system reporting. Once completed, the TMF Tune-up will be posted on this site. It is anticipated that this will be completed in FY 17/18, and that notifications to technical assistance providers and water systems regarding the availability of the TMF Tune-up will be distributed.

3.3.1.2 Drinking Water Regulatory Program Staff (DDW & LPA)

During FY 16/17, the State Water Board Division of Drinking Water staff provided direct technical assistance, which leads to increased capacity development to public water systems regulated by the State Water Board. The State Water Board's DARTS Time Accounting System tracks the staff work hours that are categorized as Technical Assistance. In addition, State Water Board staff provided technical assistance to many public water systems regulated by the LPAs, in cooperation with the LPAs. The LPAs also provide technical assistance to public water systems that they regulate.

The following are some of the typical elements of the Technical Assistance and Capacity Development categories within the State Water Board Time Accounting System:

- Recommendations to water system staff during inspections and sanitary surveys
- Education about the regulatory requirements specific to individual water systems
- Consultation regarding water system upgrades and potential funding projects
- Evaluation of TMF assessments
- Review of permit amendments following construction projects
- Assistance in leak detection and water conservation
- Review and set up financial planning and Capital Improvement Plan
- Assistance in establishing operations plans, strategic planning, emergency response plans and other policies
- Activities related to technical support of funding projects (DWSRF & Prop1)

Table 4: Actual DDW Hours Spent in TA Related Activities in FY 16/17

Fee Category	LWS	sws	Total	Equivalent PY
Assistance/Consultation	10,538	14,413	24,951	12
Information or Corrective Letters	713	876	1,589	1
Sanitary Surveys	14,273	18,669	32,942	16
Emergency Response	1	8	, 18	0
Funding Project Technical Support	3,4	187	3,487	2
LPA Oversight & Support	9,1	186	9,186	4
Total Hours			72,199	35

The technical assistance hours represented in Table 4 represent work performed only by DDW and do not include similar work performed by LPA's. Additionally, DDW is able to track the numbers of sanitary surveys completed in a time period, based on information derived from SDWIS. Table 5 shows the number of sanitary surveys completed during FY 16/17, and the numbers completed during the required time frame of 3 years for community water systems and 5 years for noncommunity water systems.

Table 5. Numbers of Sanitary Surveys Completed

	Comn	nunity Water S	Systems	
Regulatory Agency	No. Community Water Systems	Inspections completed FY 2016-17	No. Inspections Within the Last 3 FYs	Percentage Inspected Within the Last 3 FYs
DDW	1983	486	1568	79%
LPAs	951	325	837	88%
Total	2934	811	2405	82%
	Noncon	nmunity Wate	r Systems	
Regulatory Agency	No. Non- Community Water Systems	Inspections completed FY 2016-17	No. Inspections Within the Last 5 FYs	Percentage Inspected Within the Last 5 FYs
DDW	2004	492	1647	82%
LPAs	2610	566	2254	86%
Total	4614	1058	3901	85%

3.3.2 CONTRACTED TECHNICAL ASSISTANCE PROVIDERS

Technical assistance is provided to public water systems under the DWSRF Technical Assistance Set-Aside Program, currently managed by the State Water Board's Division of Financial Assistance (DFA), by third party providers that include Rural Community Assistance Corporation (RCAC), the California Rural Water Association (CRWA), and Self-Help Enterprises (SHE) under contract with the State Water Board.

The State Water Board's Office of Sustainable Water Solutions (OSWS), housed DFA, continues to administer technical assistance (TA) resources to support drinking water, wastewater, stormwater, and groundwater quality needs. OSWS uses the Universal TA Request Form that can be submitted by the system or by others on their behalf. As a result of the Prop 1 TA Program, services such as legal and engineering support may be available for small disadvantaged communities pursuing funding. TA can also be provided to help with more general capacity development needs, such as compliance audits, rate studies, board or operator training, Technical Managerial, or Financial (TMF) assessments, etc.

Demand for TA is extremely high. Moving forward, requests relating to one or more of the following will generally be given higher priority: systems that are out of compliance or

experiencing insufficient water delivery capabilities, extension of service for drought/ contamination impacted communities, consolidation projects, systems serving less than 200 connections (including public schools), and applicants with small or relatively low cost needs that will enable an otherwise complete funding application to move forward (for example: income survey, rate study, federal crosscutters for environmental clearance, etc.). Leak detection requests are also approved as resources allow.

3.3.2.1 Universal Technical Assistance Request Process

The Assistance Request (AR) database, managed by the Division of Financial Assistance, is the primary system that the State Water Board uses to address the need for capacity development in existing public water systems. Technical assistance assignments to contracted technical assistance providers are derived from this list. The AR is generated with input from DDW and LPA staff and identifies five main concerns:

- Serious health deficiencies
- Noncompliance with drinking water standards
- Funding applications
- TMF deficiencies
- Waterworks standards issues

A sample AR form is provided in Appendix B

3.3.2.2 California Rural Water Association (CRWA)

During FY 16/17, CRWA staff provided technical assistance to 199 small public water systems (SWS), with a total of 7,620 hours, averaging 38.3 hours per system. Of these, 176 were specifically targeted to assist in preparing a planning or construction funding application, and 13 were for TMF development in SWSs. CRWA activities included:

- SRF Planning Applications
- SRF Construction Applications
- Water Rate Studies
- TMF Assessments
- TMF Tune Up
- Cross Connection Control Programs
- Emergency Response Plans
- Operations Plans
- Board Training
- Permit Amendments
- New Permits
- TA for Compliance issues
- Leak Detection

WHO ARE THE SWS TECHNICAL ASSISTANCE PROVIDERS?

CALIFORNIA RURAL WATER ASSOC.

Incorporated in 1990, the California Rural Water Association (CRWA) is a multi-dimensional, organization with a proven history of providing high quality training and technical assistance that is tailored to rural water and wastewater systems, targeting operators, managers and decision makers, throughout the State of California. CRWA uses professionals with experience in these utility services.

3.3.2.3 Rural Community Assistance Corporation (RCAC)

During FY 16/17, RCAC provided technical assistance to 7 small public water systems, performed 20 Median Household Income (MHI) Surveys, and completed 12 financial analyses with 7 in varying degrees of completion. RCAC offers on-site guidance and demonstrations to SWS for budget development, capital improvement plans and presentations to water system constituents and management staff regarding the need for a plan to develop increased sources of revenues.

In addition to the individual SWS technical assistance, RCAC is contracted to provide training throughout California related to TMF and capacity building. The following is a summary of sessions provided:

WHO ARE THE SWS TECHNICAL ASSISTANCE PROVIDERS?

RURAL COMMUNITY ASSISTANCE CORP.

RCAC works with low-income rural communities, where unemployment rates are high, housing is often sub-standard, and poverty is commonplace. Many of these communities also face daunting challenges to access affordable, safe drinking water and other vital infrastructure. Rural communities are often overlooked in the policy arena because they lack the resources, training or social network that larger communities have in place. RCAC includes Tribes and Native communities in all program areas. RCAC provides training, technical and financial resources and advocacy so rural communities can achieve their goals and visions.

- 82 online workshops, with 2666 participants from 1364 systems.
- 46 classroom workshops, with 944 participants from 453 systems.
- 2 water symposiums, with 63 participants from 34 systems.
- 2 CalTAP Fairs, with 117 participants from 63 systems.

RCAC Training Workshops

The Rural Community Assistance Corporation (RCAC) develops and conducts statewide classroom and online training workshops that focus on building the TMF capacity of public water systems. In addition, this organization develops and presents at California Technical Assistance Providers (CalTAP) Fairs that showcase the free services and materials of organizations having agreements or contracts through the SRF Program and water fairs that present information on various current issues.

During FY 16/17, RCAC presented a total of 46 onsite and 82 online workshops as well as two CalTAP Fairs and two Distribution system symposia. Onsite events averaged 21 attendees per workshop, online events averaged 33 attendees per workshop, symposia averaged 32 attendees and the CalTAP Fairs averaged 59 attendees per event.

Staff and Operators from 1,914 individual water systems participated in these events during this time period.

3.3.2.4 Self Help Enterprises (SHE)

SHE provided technical assistance to water systems that have specific TMF needs or that have applied for State Water Board funding in the counties of Stanislaus, Merced, Mariposa, Madera, Fresno, Kings, Tulare, and Kern. Often this assistance consisted of community outreach in which SHE works closely with water system decision makers and constituents to facilitate the acquisition of funding. SHE also provided assistance in completing the required TMF assessments and other documents for funding. During FY 16/17, SHE provided assistance to 55 public water systems. totally 4,984 hours of direct technical assistance provided.

Examples of TA provided during FY16/17 by SHE are listed below. All of the WHO ARE THE SWS TECHNICAL ASSISTANCE PROVIDERS?

SELF HELP ENTERPRISES

SHE was formed in 1964 to help three lowincome families build their own homes in Goshen, CA. SHE has provided technical assistance for reliable access to safe drinking water and sanitary sewer infrastructures to small communities; provides resources and training for individuals to build capacity to be highly effective leaders in communities; and promotes collaborative solutions for improving communities. SHE serves the eight counties in the San Joaquin Valley - Fresno County, Kern County, Kings County, Madera County, Mariposa County, Merced County Stanislaus County and Tulare County.

following projects addressed drinking water and/or drought related problems for small disadvantaged communities, and/or supported the governing boards of those communities to improve their technical, managerial and financial capabilities. following projects were selected because they highlight Self-Help Enterprises' successful provision of technical assistance and support in a number of key areas:

- Construction of Capital Projects (Ducor CSD)
- Construction of Consolidation Projects (West Goshen MWC)
- Technical, Managerial and Financial Development (Lanare CSD, Plainview MWC)
- Bottled Water Assistance (Orange Center School)
- Success in Planning Project (East Orosi CSD)
- Interim Solutions (Tooleville MWA)
- Point of Use Solutions (Pond MWC)
- Drought Response: Permanent Solutions (Daleville & Hardwick Communities)

3.3.3 MODIFICATION TO THE EXISTING CAPACITY DEVELOPMENT STRATEGY

During SFY 2015/16, the State Water Board revised its Capacity Development Strategy. The revision primarily combined Clean Water Small Communities strategy and Drinking Water Capacity Development Strategy and simplified the format, which was overseen by the State Water Board's Division of Financial Assistance. The actual direction and goals stayed the same. The materials presented at the Board meeting are available here:

http://www.waterboards.ca.gov/board_info/agendas/2016/may/051816_7_cw_dw_strategy.pdf

http://www.waterboards.ca.gov/board_info/agendas/2016/may/051816_7.pdf

For State Fiscal Year 17/18, the State Water Board Division of Drinking Water will do the following:

- Develop a DDW Drinking Water Capacity Development Strategy.
- Ensure that regulatory staff are fully aware and knowledgeable of the TMF assessment process including the various levels of TMF assessments and associated triggering events.
- That there is an effective tracking system in place to monitor capacity development progress, identify issues and facilitate report preparation.
- Facilitate implementation of legislation related to consolidations through the two Consolidation Specialist staff, District Offices and LPAs. Begin detailed documentation of efforts taken and consolidations completed.
- Identify and implement tools for evaluating Financial Capacity during routine sanitary surveys.

3.3.4 VOLUNTARY AND MANDATORY CONSOLIDATION

The State Water Board makes extensive efforts to support water systems through capacity development, as discussed in the previous sections. However, the State Water Board also recognizes that the significant responsibility and costs to operate a public water system are often overwhelming for small water systems with poor economies of scale, particularly in financially disadvantaged communities. As a result, the State Water Board encourages voluntary consolidation whenever feasible.

The State Water Board hired two staff dedicated to facilitating consolidation during FY 16/17 Year and created webpages to assist water systems that may be interested in water partnerships and consolidation. The link to the consolidation webpages are located below:

https://www.waterboards.ca.gov/drinking_water/certlic/drinkingwater/waterpartnership.shtml

As of January 1, 2017, the State Water Board has begun tracking consolidation projects. A summary of the water systems that were voluntarily consolidated between January 1, 2017 and June 30, 2017 are provided in Table 6.

Additionally, on September 28, 2016, Senate Bill No. 552 was passed clarifying previously enacted legislation regarding mandatory consolidation, amending Section 116681 of the Health and Safety Code. Under Section 116681, the State Water Board has authority to order physical or operational consolidation for disadvantaged water systems that have water quality or quantity failures and have nearby functioning water systems when consolidation is the most cost-effective solution.

The State Water Board completed its first mandatory consolidation on June 1, 2016. Pratt Mutual Water Company was mandatorily consolidated with the City of Tulare due to the presence of arsenic in the drinking water. During FY 16/17, the State Water Board has moved forward on six additional mandatory consolidations, identified in Table 7.

Additional information regarding these mandatory consolidations can be found on our website:

http://www.waterboards.ca.gov/drinking water/programs/compliance/index.shtml

Table 6: Consolidated Water Systems between January 1 and June 30, 2017

PWS Number	Name of Public Water System	PWS Class	Conn	Pop	County
5000308	B & H MANUFACTURING	NTNC	1	90	Stanislaus
3303012	BEL AIR GREENS, LP	NC	1	150	Riverside
5400570	CHINOWTH APARTMENTS	С	10	28	Tulare
1310017	CHP CALEXICO PORT OF ENTRY	NTNC	1	223	Imperial
3302093	COUNTY WATER OF RIVERSIDE	С	140	420	Riverside
0800613	CRIVELLI'S WATER SYSTEM	NC	1	100	Del Norte
0600011	DEL ORO WATER COWALNUT RANCH	С	78	182	Colusa
3310015	ELSINORE VALLEY MWD - TEMESCAL	С	696	2294	Riverside
5400600	GOLDEN KEY APARTMENTS	С	16	48	Tulare
3400359	HAMILTON STREET PARK	NC	4	100	Sacramento
2202048	INDIAN FLAT RV PARK & CAMPGROUND	NP	53	100	Mariposa
5601206	LIMONEIRA CO MCKEVETT	С	9	36	Ventura
1502163	LINNS VALLEY SCHOOL	NP	4	106	Kern
1200698	MOBILE ESTATES FN	С	66	120	Humboldt
2910007	NEVADA IRR. DISTCASCADE SHORES	С	393	959	Nevada
1510041	NORTH OF THE RIVER MWD	С	1	0	Kern
1600296	OLAM SPICES AND VEGETABLES INC	NTNC	7	75	Kings
3400332	OXBOW MARINA (SWS)	С	95	200	Sacramento
2000578	PETE'S PLACE (WATER)	NC	1	150	Madera
0910010	PLACERVILLE, CITY OF-SIERRA GOLF&CC	С	264	320	El Dorado
0310015	RABB PARK COMMUNITY SER. DIST.	С	108	268	Amador
1200779	REDWOOD MEMORIAL HOSPITAL	NTNC	6	250	Humboldt
0900655	ROCKWATER APTS.	С	24	50	El Dorado
5403202	SALLY TRACH WATER SYSTEM	С	10	25	Tulare
1300611	SHUEY SHELL CANYON WATER CO.	NC	19	25	Imperial
4900922	SMOTHER'S WATER SYSTEM	NC	1	45	Sonoma
2400176	ST. PAUL LUTHERAN DAY CARE	NP	1	50	Merced
0900539	SUNRAY TAHOE HOTEL	NC	3	120	El Dorado
1500508	TWIN PINES MOBILEHOME PARK	С	40	92	Kern
2702624	UNI-KOOL WS	NTNC	6	180	Monterey
5403010	VISALIA CITRUS PACKERS-WOODLAKE	NTNC	3	150	Tulare
1805009	WEST PATTON VILLAGE CSD	С	155	465	Lassen
5400966	WESTLAKE VILLAGE MHP	С	137	350	Tulare

C = Community Water System
NC = Transient Noncommunity Water System
NTNC = Nontransient Noncommunity Water System
NP = Not a Public Water System

Table 7: Mandatory Consolidations in Process

PWS Number	Name of Public Water System	PWS Class	Conn	Pop	County
2400046	BLACK RASCAL WATER COMPANY	cws	131	367	Merced
1502154	LAKESIDE SCHOOL	NTNC	1	800	Kern
2010004	MADERA COUNTY MAINTENANCE DISTRICT NO. 19-PARKWOOD	cws	496	1637	Madera
1500096	OLD RIVER MUTUAL WATER COMPANY	CWS	14	48	Kern
5400805	SOULTS MUTUAL WATER COMPANY	CWS	36	120	Tulare
1500344	SOUTH KERN MUTUAL WATER COMPANY	CWS	15	32	Kern

3.4 REPORTING PERIOD AND SUBMITTAL DATES

The annual capacity development implementation reporting period reflects information covering the state fiscal year of July 1, 2016 to June 30, 2017 (referred to as FY 16/17 in this report). This report has been prepared for submission to the United States Environmental Protection Agency (USEPA) Region IX, as a requirement set forth by the FY 16/17 Public Water System Supervision Grant Workplan between the State Water Board and USEPA.

APPENDIX A DOCUMENTATION REQUIREMENTS FOR TMF ASSESSMENTS
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Documentation Requirements for TMF Assessments

	TMF ELEMENTS	DWSRF FUNDING PROJECTS	NEW WATER SYSTEMS	CHANGES OF OWNERSHIP
	1. Consolidation Feasibility	Mandatory	Mandatory	Mandatory
	2. System Description	Necessary	Mandatory	Mandatory
IICAL	3. Certified Operators	Necessary	Mandatory	Mandatory
FECHNICAL	4. Source Capacity	Necessary	Mandatory	Necessary
	5. Operations Plan	Necessary	Mandatory	Necessary
	6. Training	Necessary	Necessary	Necessary
	7. Ownership	Mandatory	Mandatory	Mandatory
IAL	8. Water Rights	Mandatory	Mandatory	Mandatory
MANAGERIAL	9. Organization	Necessary	Mandatory	Mandatory
MAN	10. Emergency Response Plan	Necessary	Mandatory	Necessary
	11. Policies	Necessary	Necessary	Necessary
FINANCIAL	12. Budget Projection/ Capital Improvement Plan	Mandatory	Mandatory	Mandatory
FINA	13. Budget Control	Necessary	Mandatory	Mandatory

APPENDIX B NEW PUBLIC WATER SYSTEMS IN FY 16/17

PWS ID	PWS NAME	CLASSIFICATION	ACTIVATION DATE	POPULATION	SERVICE	NUMBER OF SOURCES	COUNTY	DISTRICT or LPA
CA0300102	SCHMITZ WINES	NC	8/11/2016	25	2	1	AMADOR	LPA33 - AMADOR COUNTY
CA1206014	KING RANGE ADMIN-BLM	NC	12/28/2016	25	1	1	DEL NORTE	DISTRICT 01 - KLAMATH
CA0900673	DRIFTWOOD APTS.	U	8/11/2016	40	1	1	EL DORADO	LPA39 - EL DORADO COUNTY
CA1000634	SUPER DRIVE IN	NC	9/15/2016	50	1	Н	FRESNO	DISTRICT 23 - FRESNO
CA1000636	L&D'S COUNTRY KITCHEN	NC	10/14/2016	50	4	1	FRESNO	DISTRICT 23 - FRESNO
CA1000637	JEHOVAH'S WITNESSES CHURCH	NC	12/16/2016	25	1	1	FRESNO	DISTRICT 23 - FRESNO
CA1000639	CALWEST RAIN - KERMAN	NTNC	4/12/2017	06	1	2	FRESNO	DISTRICT 23 - FRESNO
CA1000640	TRI BORO FRUIT COMPANY	NTNC	5/10/2017	30	1	1	FRESNO	DISTRICT 23 - FRESNO
CA1504003	KERN RIDGE GROWERS	NTNC	9/29/2016	95	T	1	KERN	DISTRICT 12 - VISALIA
CA1504004	BLOSSOM VALLEY ORGANICS SOUTH	NTNC	10/10/2016	45	1	1	KERN	DISTRICT 12 - VISALIA
CA1504005	M & L OFFICE	NTNC	12/15/2016	113	П	2	KERN	DISTRICT 12 - VISALIA
CA1504006	CENTRAL VALLEY EGGS, LLC	NTNC	12/22/2016	70	8	3	KERN	DISTRICT 12 - VISALIA
CA1504007	JASMINE VINEYARDS COLD STORAGE	NC	2/15/2017	27	1	3	KERN	DISTRICT 12 - VISALIA
CA1700739	MENDO MILL AND LUMBER COMPANY	NC	3/15/2017	50	H	н	LAKE	DISTRICT 03 - MENDOCINO
CA1800010	CLEAR CREEK LATTER DAY SAINTS CHURCH	NC	10/14/2016	40	1	2	LASSEN	DISTRICT 02 - LASSEN
CA1900061	AGUA DULCE WOMEN'S CLUB	NC	8/11/2016	50	Н	2	LOS ANGELES	LPA49 - LA COUNTY
CA2000955	PG&E - GREGG SUBSTATION AND GC YARD	NTNC	1/10/2017	29	2	Н	MADERA	LPA50 - MADERA COUNTY
CA2000957	WESTERN SIERRA CHARTER SCHOOLS	NC	4/3/2017	113	2	2	MADERA	LPA50 - MADERA COUNTY
CA2010017	TESORO VIEJO MASTER MWC, INC.	C	4/13/2017	2640	800	3	MADERA	DISTRICT 11 - MERCED
CA2300901	ANDERSON VALLEY BREWING COMPANY	NTNC	8/31/2016	175	4	10	MENDOCINO	DISTRICT 03 - MENDOCINO
CA2300902	GOLDENEYE WINERY	NC	1/3/2017	35	1	1	MENDOCINO	DISTRICT 03 - MENDOCINO
CA2300906	I & E LATH MILL	NTNC	6/1/2017	31	3	1	MENDOCINO	DISTRICT 03 - MENDOCINO
CA2400343	GEMPERLE EGG RANCH	NTNC	1/26/2017	55	11	3	MERCED	DISTRICT 11 - MERCED
CA2400335	OLIVARES FARMS WATER SYSTEM	NTNC	1/26/2017	30	5	2	MERCED	DISTRICT 11 - MERCED
CA2400344	GRACE BISHOP SCHOOL	NTNC	2/23/2017	40	2	2	MERCED	DISTRICT 11 - MERCED
CA2800059	SUTTER HOME WINERY	NTNC	2/7/2017	100	1	4	NAPA	LPA58 - NAPA COUNTY
CA2900112	NAGGIAR VINEYARDS	NC	8/11/2016	100	4	П	NEVADA	LPA59 - NEVADA COUNTY

PWS ID	PWS NAME	CLASSIFICATION	ACTIVATION	POPULATION	SERVICE	NUMBER OF	COUNTY	DISTRICT or LPA
			DATE		CONNECTIONS	SOURCES		
CA2904020	TAHOE FOREST CHURCH	NC	8/11/2016	200	2	1	NEVADA	LPA59 - NEVADA COUNTY
CA2900504	SIERRA SUPERSTOP #3	NC	11/7/2016	200	1	Т	NEVADA	LPA59 - NEVADA COUNTY
CA2901528	HARMONY RIDGE MARKET	NC	11/7/2016	150	1	Н	NEVADA	LPA59 - NEVADA COUNTY
CA2900274	MOTHER TRUCKERS WATER SYSTEM	NC	3/10/2017	450	1	2	NEVADA	LPA59 - NEVADA COUNTY
CA2900330	SIERRA FAMILY MEDICAL CLINIC	NTNC	3/20/2017	35	2	2	NEVADA	LPA59 - NEVADA COUNTY
CA2900644	ANIMAL PLACE	NC	6/22/2017	30	2	2	NEVADA	LPA59 - NEVADA COUNTY
CA3107341	GOATHOUSE BREWING AGUA	NC	8/11/2016	49	1	Н	PLACER	LPA61 - PLACER COUNTY
CA3107342	LINCOLN HIGH SCHOOL FARM	NTNC	5/11/2017	50	1	2	PLACER	LPA61 - PLACER COUNTY
CA3301160	SUNDANCE MEADOWS	NC	8/11/2016	700	40	ન	RIVERSIDE	LPA63 - RIVERSIDE COUNTY
CA3310084	DESERT SAGE YOUTH WELLNESS CENTER	NTNC	12/28/2016	102	1	2	RIVERSIDE	DISTRICT 20 - RIVERSIDE
CA3902190	VAN GRONINGEN & SONS INC WS	NC	11/28/2016	25	Н	1	SAN JOAQUIN	LPA69 - SAN JOAQUIN COUNTY
CA3902206	CALIFORNIA ISLAMIC CENTER	NC	11/28/2016	25	н	1	SAN JOAQUIN	LPA69 - SAN JOAQUIN COUNTY
CA4200924	EL RANCHO TAJIGUAS	J	8/11/2016	40	14	1	SANTA BARBARA	LPA72 - SANTA BARBARA COUNTY
CA4301013	ROCKWOOD ESTATES MUTUAL WATER CO	v	5/31/2017	30	14	5	SANTA CLARA	DISTRICT 17 - SANTA CLARA
CA4400905	KITAYAMA BROTHERS	NTNC	3/6/2017	300	17	2	SANTA CRUZ	LPA74 - SANTA CRUZ COUNTY
CA4400908	LOS ALTOS ROD AND GUN CLUB	NC	3/7/2017	40	5	2	SANTA CRUZ	LPA74 - SANTA CRUZ COUNTY
CA4400907	SWANTON BERRY FARM	NC	3/23/2017	25	1	1	SANTA CRUZ	LPA74 - SANTA CRUZ COUNTY
CA4400909	LEHI PARK	NC	4/26/2017	30	1	1	SANTA CRUZ	LPA74 - SANTA CRUZ COUNTY
CA4400910	SWANTON PACIFIC RANCH	NTNC	6/7/2017	32	14	3	SANTA CRUZ	LPA74 - SANTA CRUZ COUNTY
CA4901445	ST. JAMES COURT	C	7/25/2016	192	40	9	SONOMA	DISTRICT 18 - SONOMA
CA5000557	VILLAGE FOOD MART WATER SYSTEM	NC	8/11/2016	25	9	1	STANISLAUS	LPA80 - STANISLAUS COUNTY
CA5000596	GROWERS DIRECT NUT COMPANY	NTNC	11/7/2016	25	5	1	STANISLAUS	LPA80 - STANISLAUS COUNTY
CA5000592	MID VALLEY AG	NTNC	4/20/2017	25	4	3	STANISLAUS	LPA80 - STANISLAUS COUNTY
CA5403210	HAPPY APPLES	NC	11/14/2016	25	1	1	TULARE	DISTRICT 24 - TULARE
CA5403211	BOOTH RANCHES LLC	NTNC	1/30/2017	110	3	5	TULARE	DISTRICT 24 - TULARE
CA5403212	MONSON WATER SYSTEM	C	6/1/2017	120	36	1	TULARE	DISTRICT 24 - TULARE

PWS ID	PWS NAME	CLASSIFICATION	ACTIVATION DATE	POPULATION	SERVICE	NUMBER OF SOURCES	COUNTY	DISTRICT or LPA
CA5700734	CA5700734 DOLLAR GENERAL STORE #16171	NC	8/11/2016	250	1	1	YOLO	LPA87 - YOLO COUNTY
CA5700754	CA5700754 THE MAPLES	NC	11/7/2016	25	П	2	YOLO	LPA87 - YOLO COUNTY
CA5800013	CA5800013 DOLLAR GENERAL	NC	2/7/2017	100	1	3	YUBA	LPA88 - YUBA COUNTY

APPENDIX C TECHNICAL ASSISTANCE REQUEST FORM

REQUEST FOR TECHNICAL ASSISTANCE

Instructions: If an item is not relevant or unknown Please e-mail the completed form to: <u>DFA-TArequ</u> An electronic copy of this form can be obtained at	uest@waterboards.ca.gov		
http://www.waterboards.ca.gov/water_issues/prog	grams/grants loans/proposition1/tech a	sst funding.shtml	
Community, System, or School Na	me:		
Public Water System ID No. (if application)	able):	Service Area Population	on:
County:	Nu	mber of Service Conn	ections:
Estimated Median Household Income	(MHI) of Service Area:	MHI Source	
Check the box that best describes ☐ Tribe ☐ Municipal entity ☐ F ☐ School/School District/Local Educ	Private entity, nonprofit	need of TA: Private entity, for pro	fit
Type of TA Need: Drinking Wa	nter 🔲 Wastewater	■ Storm Water	■ Groundwater
been taken, please provide a copy of deadlines or time schedules (if applications) Possible Next Steps or Solutions (if	able):		
Please provide a contact for correspo Name Mailing Address	ondence regarding this reque Title City/State		Zip Code
Phone Number	E-mail Ado	dress	