

California Department of Public Health
Safe Drinking Water State Revolving Fund

APPLICATION FOR PLANNING FUNDS
May 2014 Invitation
For State Fiscal Year 2014-2015

Notice to All Applicants

When submitting the application, the applicant must submit the following no later than September 29, 2014:

- 1 hardcopy of the complete application with all attachments to Address "A"
- 2 hardcopies of the complete application with all attachments to Address "B"
- 1 digital copy of the complete application with all attachments on a CD in an Adobe (.pdf) file format to Address "B"

Note that all of the required application documents must be signed originals, postmarked or hand delivered to the appropriate address **no later than the due date**; electronic copies will not be accepted via email.

Please review the *Application Guidelines and Instructions* (Enclosure 2p) prior to completing the application.

Address "A"

California Department of Public Health
(District _____) Field Operations Branch
_____ District Office
District Address
District Address

Address "B"

Safe Drinking Water State Revolving Fund Program
Division of Drinking Water and Environmental Management
California Department of Public Health
1616 Capitol Avenue, MS 7418
PO Box 997377
Sacramento, CA 95899-7377

NOTE: If you are downloading a copy of the Application, please see the CDPH District Map (Enclosure 6) for the address of the District Office to submit your application documents to.

Only COMPLETED APPLICATIONS submitted by **September 29, 2014**, will be considered for funding.

Safe Drinking Water State Revolving Fund Application for Planning Funds

Project Number _____ - ____ P

Priority List Category _

Part A. GENERAL INFORMATION

1. Legal Name of Applicant Water System _____
2. Name/Title of Project _____
3. Water System Street Address _____
4. Water System's California Senate District No. _____
5. Water System's California Assembly District No. _____
6. Project Address (if different from above) _____
7. Mailing Address _____
8. County _____
9. DUNS number _____
10. Authorized Representative _____

(Name, Title, Telephone Number, and Email)

11. Principal Contact Person _____

(Name, Title, Telephone Number, and Email)

12. Project Engineer _____

(Name, Address, Telephone Number, and Email)

California Civil Engineering License Number _____

13. Project Environmental Consultant _____

(Name, Address, Telephone Number, and Email)

14. Project Costs

Total Planning Project Cost \$ _____

Requested Amount of SDWSRF Planning Funds \$ _____

Other Funding Sources \$ _____
(identify sources under Part D No. 11)**Part B. MANAGERIAL INFORMATION**

1. Classification of Water System

- ☐ Community
- ☐ Non-transient non-community
- ☐ Transient non-community
- ☐ Not currently classified as a public water system - Please explain:

2. Indicate the Ownership of the Water System (**check all that apply**)

PUBLIC OWNERSHIP

PRIVATE OWNERSHIP

- | | |
|---|---|
| <input type="checkbox"/> Municipality | <input type="checkbox"/> Corporation |
| <input type="checkbox"/> County agency | <input type="checkbox"/> Partnership |
| <input type="checkbox"/> Special district | <input type="checkbox"/> Sole Proprietorship |
| <input type="checkbox"/> State agency | <input type="checkbox"/> Limited Liability Company |
| <input type="checkbox"/> School | <input type="checkbox"/> Non-profit organization (Federal Tax ID No. _____) |
| <input type="checkbox"/> Other: _____ | <input type="checkbox"/> Other: _____ |

If water system is privately owned, what is the name and title of the individual with authority to execute a SDWSRF funding agreement on behalf of the system?

If water system is a Corporation, Limited Liability Company, or a Limited Partnership then the following must be completed:

A. California Secretary of State Entity Number: _____

B. Status with California Secretary of State

☐ Active ☐ Suspended ☐ Forfeited ☐ Dissolved

3. Is there any litigation pending relative to the operation of the water system or the proposed project?

☐ Yes If **yes**, attach a description of the litigation and the potential costs.

☐ No

4. a) Does the California Public Utilities Commission (CPUC) regulate your system?

☐ Yes If **yes**, please answer 4b.

☐ No

b) Please provide a list and a description of all matters relating to your water system that are currently pending before the CPUC:

5. Name, title and duties of key officers (if more than 3, refer to and attach organization chart providing this information).

Name	Title	Principal Duties

6. Answer the following questions as they pertain to this application:

a) Does applicant have the legal authority to enter into a contract (5 years) with the State of California, such as the SDWSRF program?

Yes ☐ No ☐

b) Is the applicant required to hold an election before entering into this type of a loan contract with the State of California

Yes ☐ No ☐

c) Does the applicant have the legal authority to levy assessments and charges sufficient to repay a loan under the SDWSRF program?

Yes ☐ No ☐

7. If the applicant has contracted with a private firm or another agency for the operation of the facility to be financed, name the firm or agency and the term (in years) of the agreement. Attach a copy of this agreement.

8. If the applicant leases land or major water system facilities, describe the terms of the lease or attach a copy of the lease agreement. (Note: If a lease is critical to the location or operation of proposed project facilities, the term of the lease must be equal to the loan repayment period.)

Part C. TECHNICAL INFORMATION

1. Water System Information

- a. Describe the water system and its facilities. Include details relating to source, storage, treatment, and distribution system.

- b. Attach a map of the system which includes the existing facilities as described above.
- c. Attach a map of the service area.
- d. Describe the nature of the water rights applicable to your water source, and attach water rights documentation related to your water source. Include a list of all pending applications and/or issues with the State Water Resources Control Board's Division of Water Rights.

- e. Current population served by the water system: _____

Current population of the area benefitting from the project: _____

- f. Current number of active service connections: _____

Current number of service connections for the area benefitting from the project: _____

- g. Agency that has jurisdiction over the water system

☐ CDPH ☐ LPA: _____ (list the LPA county)

- h. Permit status, including the permit number, issue date, and a list of any amendments. Please attach a copy of your water permit.

2. Planning Project:

- a. Describe the ranked problem being addressed by the planning project and attach supporting documents to justify the ranking. (Include the last two years of water quality data, most recent compliance orders, violations, citations, etc.)
- _____

- b. Describe the proposed planning project. Write a clear description of each planning activity and its goal. Include all possible alternative(s) to be considered to correct the ranked problem described above. Include the feasibility of consolidation with one or more water systems.
- _____

- c. Has an analysis of alternatives been done?

Yes ☐ (Attach copy of the analysis)

No ☐

- d. If a selected construction project has already been determined, describe it here. The selected construction project must be approved by the CDPH District Office prior to proceeding with the plans and specification development. Describe how this project will solve the identified ranked problem. (Include the benefits and expected results such as: improvement in water quality, meeting safe drinking water standards, reduction in treatment or operational costs, reduction in monitoring costs, potential public health benefits, etc.)
- _____

- e. Attach a map of all proposed improvements or test wells, if known.

3. Scope of the Project (Scope), Budget and Schedule:

Attach a Scope for the proposed planning project. The Scope must include an itemized list as well as a brief description of all planning activities, a project budget, and a project schedule. See the Planning Application Guidelines and Instructions (Enclosure 2p) along with the sample Scope of the Project (Enclosure 3p) for more information.

Part D. FINANCIAL INFORMATION

1. Average current monthly residential water bill \$_____
2. Average monthly residential water bill for the prior three years.

Year	Avg. Monthly Residential Water Bill	Please explain the reason for any increases or decreases in the average monthly residential water bill
2011	\$ _____	_____
2012	\$ _____	_____
2013	\$ _____	_____

3. Attach the water systems' water rate structure covering each of the last three years (including commercial and industrial users.)
4. Average projected increase to the monthly residential water bill as a result of this funding request.
\$_____
5. Has a water rate study been conducted for the water system?

Yes ☐ Date: _____ No ☐

If yes, please describe the findings and actions taken by the water system's governing body:

IMPORTANT NOTICE:

If 100% grant funds are provided for your planning project, the public water system must:

(A) No later than the date of completion of the planning project, complete a water rates study for the operation and maintenance of the public water system, including a proposed construction funding project, for a term of at least twenty (20) years; and

(B) Increase its rates in accordance with the study in subparagraph (A).

Until CDPH completes a full financial analysis, CDPH is not able to inform you whether any grant funds will be offered.

6. Not including the amount of No. 4, above, what is the average projected monthly residential water bill for the next 3 years?

Year	Avg. Monthly Residential Water Bill	Please explain the reason for any increases or decreases in the projected average monthly residential water bill
2015	\$ _____	_____
2016	\$ _____	_____
2017	\$ _____	_____

7. Identify and describe the dedicated revenue source to be used for loan repayment. (See the Planning Application Guidelines (Enclosure 2p) for more detail)

8. Attach a 5-year revenue/expenditure projection for the water system.
9. (a) Identify and describe the security you are proposing to use for a loan?

If you are proposing to use property (land), you must answer questions 9b, c, and d.

- (b) Is the land you are proposing to use currently pledged as security on other debt?

Yes ☐ No ☐

If you answered yes, please list the name(s) of the persons(s)/entity to whom the property is pledged as security, their address, and the current balance of the loan being secured.

- (c) What is the assessed value of the property? _____

- (d) What is the market value of the property? And how was this determined?

10. Financial Statements(a) Are the Applicant's Gross Revenues \geq Operating Expenses?i. ☐ Yes ☐ No

ii. If not, why? _____

iii. If not, what is the applicant's plan for offsetting the disparity between its gross revenues and operating expenses? _____

(b) Are the Applicant's Operating Revenues \geq Operating Expenses?i. ☐ Yes ☐ No

ii. If not, why? _____

iii. If not, does the applicant have plans and a timeline to increase operating revenues to compensate fully for operating expenses?

☐ Yes ☐ No

(c) Submit audited financial statements for the three most current years. (You must submit years 2011, 2012, and 2013 if you report on a calendar year. If you report on a fiscal year, you must submit years 2010/11, 2011/12, 2012/2013, and balance sheets for the period July 1, 2013, through December 31, 2013.)

Privately owned water systems must submit 2011, 2012, and 2013 Federal income tax returns (all schedules) and balance sheets for all three years.

11. Source of other funds

Fund Source	Type of Funds	Amount	Funding Applied For (Y/N)	Funding Secured (Y/N)	Explain
Total Funding From All Other Sources					

Please note that the "Other Funding Sources" (from Part A. No. 14) and the "Total funding from all other sources" (above) should be equal.

12. Existing Long Term Indebtedness

(a) Does the applicant have to maintain a certain Debt Service Ratio per its existing loan(s), Certificate(s) of Participation, or Bond agreement(s)?

☐ Yes ☐ No

i. If so, what debt service ratio is the applicant required to maintain? _____

ii. Is the applicant currently maintaining that debt service ratio?

☐ Yes ☐ No

iii. If not, what are the Applicant's plans and timelines for establishing rates/charges/revenues necessary to maintain the debt service ratio required of their existing obligations? _____

(b) Provide the following information for all existing indebtedness. (Please attach documentation for any debt(s) that you have listed below, including copies of all loan agreements, Bond Indentures of Trust, etc., and label all attachments)

Loans Paid Off in the Last 12 Months

Date Issued	Name & Address of Creditor	Maturity Date	Current Balance	Annual Payment Amount	Frequency of Payment	Security Pledge	Interest Rate

Schedule of Debt

Date Issued	Name and Address of Creditor	Maturity Date	Current Balance	Annual Payment Amount	Frequency of Payment	Security Pledge	Interest Rate

Part E. ENVIRONMENTAL INFORMATION

ALL CEQA LEAD AGENCIES WILL BE REQUIRED TO FILE A NOTICE OF EXEMPTION WITH THE OFFICE OF PLANNING AND RESEARCH STATE CLEARINGHOUSE PRIOR TO SIGNING THE FUNDING AGREEMENT FOR A PLANNING LOAN. THE FUNDING AGREEMENT WILL NOT BE EXECUTED UNTIL A COPY OF THE NOTICE IS FORWARDED TO THE CDPH ENVIRONMENTAL REVIEW UNIT ALONG WITH THE STATE CLEARINGHOUSE NUMBER.

1. General Information

- a) Describe any grading, excavation, pilot wells, or other ground-breaking activities that may be a part of the planning project (include a parcel or project schematic map):

- b) List all assessor parcel numbers (APN) that will be part of the planning project area:

- c) List and describe any other related permits and/or other public approvals required including those requiring local or state approvals:

- d) Is the project located in an area designated as:

	Yes	No	
1.	<input type="checkbox"/>	<input type="checkbox"/>	Critical habitat for special status species.
2.	<input type="checkbox"/>	<input type="checkbox"/>	Critical habitat for an endangered species
3.	<input type="checkbox"/>	<input type="checkbox"/>	Unique habitat (<i>e.g., wildlife refuge, deer wintering range</i>)
4.	<input type="checkbox"/>	<input type="checkbox"/>	Important farmland
5.	<input type="checkbox"/>	<input type="checkbox"/>	Wetlands
6.	<input type="checkbox"/>	<input type="checkbox"/>	Wild and scenic rivers
7.	<input type="checkbox"/>	<input type="checkbox"/>	Officially designated scenic area
8.	<input type="checkbox"/>	<input type="checkbox"/>	Archeological sites.
9.	<input type="checkbox"/>	<input type="checkbox"/>	Floodplains
10.	<input type="checkbox"/>	<input type="checkbox"/>	Areas of hazardous concern

Explain: _____

- e) Unusual Circumstances: Evaluate the following elements to determine if there are any unusual circumstances. For any "Yes" answers discuss the possibility of significant environmental impact resulting from the unusual circumstance. Use attachments if necessary, or reference any attached documents.

	Yes	No	
1.	<input type="checkbox"/>	<input type="checkbox"/>	In an area of undisturbed, unique, or high-quality habitat.
2.	<input type="checkbox"/>	<input type="checkbox"/>	On or adjacent to wildlife migration routes.
3.	<input type="checkbox"/>	<input type="checkbox"/>	In an area of unique recreational facilities or resources.
4.	<input type="checkbox"/>	<input type="checkbox"/>	On or adjacent to a unique stream or water body.
5.	<input type="checkbox"/>	<input type="checkbox"/>	Involves removal of mature, scenic trees.
6.	<input type="checkbox"/>	<input type="checkbox"/>	Involves grading in a waterway or wetland.
7.	<input type="checkbox"/>	<input type="checkbox"/>	Involves a substantial alteration of ground contours.

8. ☐ ☐ Involves new or increased use of a critically depleted groundwater basin or groundwater basin subject to salinity intrusion.
9. ☐ ☐ In an area with important mineral resources.
10. ☐ ☐ Involves production of significant amounts of solid wastes or litter.
11. ☐ ☐ Involves substantial new or increased emission of dust, ash, smoke, fumes, odors, or other pollutants.
12. ☐ ☐ Involves substantial change in noise or vibration levels in vicinity (*beyond the property line*).
13. ☐ ☐ In an area of sensitive noise receptors.
14. ☐ ☐ On slopes of 10 percent or more or on highly erodible soil.
15. ☐ ☐ In an officially mapped area of severe geologic hazard.
16. ☐ ☐ Involves new or increased use or disposal of hazardous materials, flammables, or explosives.
17. ☐ ☐ Involves substantial change in demand for municipal services.
18. ☐ ☐ Involves traffic impacts in an area with traffic problems.
19. ☐ ☐ Involves substantial increase in fuel consumption (*electricity, oil, natural gas, etc.*).

Explain: _____

2. California Environmental Quality Act (CEQA) Status

- a) Has a CEQA document been completed which identifies any portion of the planning project?

Yes ☐ Document name - _____
State Clearinghouse number - _____
Lead Agency approval date - _____

SEND A COPY OF FINAL DOCUMENT AND THE NOTICE OF DETERMINATION WITH THE APPLICATION

No ☐

- b) Has a CEQA lead agency been identified for the planning project?

NOTE – If the applicant is a public agency they are their own CEQA lead agency and must file a Notice of Exemption upon signing the Funding Agreement.

Yes ☐ CEQA Lead Agency - _____

No ☐ For private, mutual and investor-owned utilities, CDPH will be the CEQA Lead Agency and will file a Notice of Exemption upon execution of the funding agreement. **STOP** Go to **Part F** of the application.

3. **State of California Environmental Review Process (for CEQA Lead Agencies only)**
Mark the appropriate exemption boxes below that describe the entire Scope of Work
NOTE – Only project components and tasks covered in the planning project may qualify

California Environmental Quality Act (CEQA)

Statutory Exemption Status (no ground disturbing activities)

☐

Feasibility and Planning Studies (CCR, Title 14, Article 18, Section 15262)

Categorical Exemption Status (project includes pilot studies, test wells, grading, boreholes etc):

☐

Class 6 – Information Collection (CCR, Title 14, Article 19, Section 15306)

This exemption class may need further evaluation if the planning project is located in an area where the project could result in impacts to an environmental resource of hazardous or critical concern.

Cumulative Impacts: Does the project involve cumulative impacts associated with successive projects of the same type in the same place? If yes, discuss the significance of the impacts.

Yes **No**
☐ ☐

Explain:

Scenic Highways: Will the project result in damage to any of the following scenic resources within a highway officially designated as a state scenic highway?

	Yes	No	
1.	<input type="checkbox"/>	<input type="checkbox"/>	Trees
1.	<input type="checkbox"/>	<input type="checkbox"/>	Historic buildings
2.	<input type="checkbox"/>	<input type="checkbox"/>	Rock outcroppings
3.	<input type="checkbox"/>	<input type="checkbox"/>	Other similar resources

Hazardous Waste Sites: Is the project located on a site that is included on any list compiled by Department of Toxic Substances Control pursuant to Section 65962.5 of the Government Code?

Yes **No**
☐ ☐

Historical Resources: Is there a potential for the project to cause a substantial adverse change in the significance of a historical resource?

Yes **No**
☐ ☐

Part F. FEDERAL CROSS-CUTTING REQUIREMENTS

Federal Cross-cutting Requirements for public and private water utilities are triggered for water systems serving greater than 1,000 service connections or projects with a SDWSRF cost greater than \$1,250,000. Funding applicants whose projects meet either of these criteria **must** complete the sections below.

1. Federal Cross-Cutting NEPA-like Determination

All funding applicants serving more than 1,000 service connections must answer the Extraordinary Circumstance section below if the project includes any ground disturbing activity:

EXTRAORDINARY CIRCUMSTANCES (for projects which include ground-disturbing activities)

2. Site within 1 mile of a historic and prehistoric archeological sites, architecture, landscapes, features, structures, or objects and traditional cultural places (e.g. sacred lands): Attach CHRIS record search results, survey reports, and correspondence required for compliance with the Section 106 of the National Historic Preservation Act ☐ yes ☐ no
 3. Site on important farmland? ☐ yes ☐ no
 4. Site within the coastal zone jurisdiction? ☐ yes ☐ no
 5. Site within wild & scenic river watershed? ☐ yes ☐ no
 6. Site containing wetlands? ☐ yes ☐ no
 7. Site within a national forest? ☐ yes ☐ no
 8. Site within a 100 year floodplain? ☐ yes ☐ no
 9. Federally listed threatened or endangered species: ☐ yes ☐ no
 10. Federal air quality non-attainment or maintenance area: ☐ yes ☐ no
1. If “yes” or unknown, estimate annual priority pollutant emissions:

Pollutant		Emissions (tons/year)	
Priority Pollutant	Parameter	Construction	Operation
Ozone	VOC	_____	_____
Ozone	NO _x	_____	_____
Particulate matter	PM ¹⁰	_____	_____
Carbon monoxide	CO	_____	_____

2. Name of area: _____

2. Federal Cross-Cutting Requirements Certification

Federal “Cross-Cutting Requirements” are those provisions in federal law which “apply by their own terms” to projects and activities receiving federal financial assistance. While some of these requirements apply to any project utilizing federal funds, many of these will not be applicable to a short term planning study. If, however, the water system plans to seek construction funding for the project from the SDWSRF these requirements should be reviewed to determine which, if any, will apply to the proposed construction project.

In order to enter into a SDWSRF funding agreement with the Department of Public Health for a project that is subject to the Federal Cross-Cutting Requirements, a water system is required to certify that they are in compliance with each of the following federal regulatory requirements:

Environmental Authorities

1. Archeological and Historic Preservation Act of 1974, Pub. L. 86-523, as amended
2. Clean Air Act, Pub. L. 84-159, as amended
3. Coastal Barrier Resources Act, Pub. L. 97-348, as amended
4. Coastal Zone Management Act, Pub. L. 92-583, as amended
5. Endangered Species Act, Pub. L. 93-205, as amended
6. Environmental Justice, Executive Order 12898
7. Floodplain Management, Executive Order 11988 as amended by Executive Order 12148
8. Protection of Wetlands, Executive Order 11990
9. Farmland Protection Policy Act, Pub. L. 97-98
10. Fish and Wildlife Protection Coordination Act, Pub.L. 85-624, as amended
11. National Historic Preservation Act of 1966. Pub. L. 89-665, as amended
12. Safe Drinking Water Act, Pub. L. 93-523, as amended
13. Wild and Scenic Rivers Act, Pub. L. 90-542, as amended

Economic and Miscellaneous Authorities

1. Demonstration Cities and Metropolitan Development Act of 1966 PL 89-754, as amended
2. Procurement Prohibitions under Section 306 of the Clean Air Act and Section 508 of the Clean Water Act, including Executive Order 11738 Administration of the Clean Air Act and the Federal Water Pollution Control Act with Respect to Federal Contracts, Grants and Loans
3. Uniform Relocation and Real Property Acquisition Policies Act, Pub. L. 91-646, as amended
4. Debarment and Suspension, Executive Order 12549

Social Policy Authorities

1. Age Discrimination Act of 1975, Pub. L. 94-135
2. Title VI of the Civil Rights Act of 1964, Pub. L. 88-352
3. Section 13 of the Federal Water Pollution Control Act Amendments of 1972, Pub. L. 92-5200 (the Clean Water Act)
4. Section 504 of the Rehabilitation Act of 1973, Pub. L. 93-112 (including Executive Orders 11914 and 11250)
5. Equal Employment Opportunity, Executive Order 11246
6. Women's Minority Business Enterprise, Executive Orders 11625, 12138 and 12432
7. Section 129 of the Small Business Administration Reauthorization and Amendment Act of 1988, Pub. L. 100-590

CERTIFICATION

I have reviewed the listed Federal Cross-Cutting Requirements and I certify that

Name of Water System or Municipality

has, or will comply with these federal laws and authorities.

Signature of Authorized
Representative or Designee

Date

Part G. FEDERAL WAGE REQUIREMENT (DAVIS-BACON ACT)

The Safe Drinking Water State Revolving Fund (SDWSRF) requires payment of federal prevailing wages. Specifically, Davis-Bacon Act wage rules apply to all assistance agreements made in whole or in part with SDWSRF funds. Section 1450(e) of the Safe Drinking Water Act (42 U.S.C.300j-9(e)) provides:

Labor standards

The Administrator shall take such action as may be necessary to assure compliance with provisions of sections 3141-3144, 3146, and 3147 of Title 40. The Secretary of Labor shall have, with respect to the labor standards specified in this subsection, the authority and functions set forth in Reorganization Plan Numbered 14 of 1950 (15 F.R. 3176; 64 Stat. 1267) and section 3145 of Title 40.

In order to enter into a SDWSRF funding agreement with the California Department of Public Health each water system is required to certify that they are in compliance with applicable federal Davis-Bacon Act requirements for all project construction that occurs on or after October 30,2009.

Please note the Davis-Bacon requirements are separate and distinct from the federal cross-cutting requirements discussed above and apply to **all** projects funded in any part with SDWSRF financial assistance.

Please further note that additional federal requirements may apply to your project if you have received or will receive financial assistance from other federal sources.

CERTIFICATION

I certify that

Name of Water System or Municipality

Has complied, or will comply with the requirements of the Davis-Bacon Act and applicable implementing regulations and guidance for all project construction occurring on or after October 30, 2009.

Signature of Authorized
Representative or Designee

Date

Part H. PROFESSIONAL SERVICE PROCUREMENT

All grant recipients engaged in planning or construction projects need to strictly comply with the requirements set forth in 22 CCR §63011 and §63052. To protect the use of grant funds, California regulations aim to ensure that any professional services procured for the project come from a qualified firm. Applicants must be able to demonstrate to CDPH that they have procedures in place to select a firm with the proper expertise and experience. Failure to select a qualified firm may compromise the applicant's grant funding eligibility.

§63011. Planning Funding.

Subsection (d). *When contracting for architectural, landscape architectural, professional engineering, environmental, land surveying, and project management services for any part of a project for which **grant funding** is awarded, the applicant shall implement procedures that assure the services are engaged on the basis of demonstrated competence and qualifications for the types of services to be performed, and at reasonable prices.*

§63052. Construction.

Subsection (c). *When contracting for architectural, landscape architectural, professional engineering, environmental, land surveying, and construction project management services for any part of a project for which **grant funding** is awarded, the applicant shall implement procedures that assure the services are engaged on the basis of demonstrated competence and qualifications for the types of services to be performed, and at reasonable prices. At a minimum, for any individual or firm it proposes contracting with to provide construction project management services for a project, the applicant shall demonstrate to the Department that the individual or firm and its personnel carrying out onsite responsibilities for the project have expertise and experience in construction project design review and evaluation, construction mobilization and supervision, bid evaluation, project scheduling, cost-benefit analysis, claims review and negotiation, and general management and administration of a construction project.*

NOTE: For applicants that need help procuring professional services, please see the Engineering Firm Selection Process at the link below. This guidance details the necessary steps of the Qualifications Based Selection Process and includes sample documents to help solicit engineering firms, evaluate qualifications, and negotiate a contract.

<http://www.cdph.ca.gov/certlic/drinkingwater/Documents/Funding/CaliforniaGuidetoSelectEngineeringFirm082012.doc>

ACKNOWLEDGMENT

I acknowledge that

Name of Water System or Municipality

Has read and understood the above specified regulations regarding all SDWSRF projects for which grant funding is awarded.

Signature of Authorized
Representative or Designee

Date

Part I. APPLICATION ATTACHMENTS

Following is a list of documents, reports and other information which may be necessary to process this application. Not all the information listed below is required for all water systems. If you are not sure if the requested information applies to your water system please contact your CDPH District Office. Please make sure your water system name and number are on every attachment. Label the attachment with the number of the application section which requests the information (i.e. "Part A. No 6").

- ☐ **(Part A. No. 10)** Resolution designating the authorized representative and authorizing that individual to apply for a SDWSRF loan
- ☐ **(Part B. No. 2)** Appropriate ownership documents as stated in the guidance
- ☐ **(Part B. No. 3)** A description of pending litigation, its current status, and the potential costs ☐ Not Applicable
- ☐ **(Part B. No. 7)** Agreement for operation of the facility ☐ Not Applicable
- ☐ **(Part B. No. 8)** Lease of land or major water system facilities ☐ Not Applicable
- ☐ **(Part C. No. 1b)** Map of water system facilities
- ☐ **(Part C. No. 1c)** Map of service area
- ☐ **(Part C. No. 1d)** Water rights documentation
- ☐ **(Part C. No. 1h)** Copy of water permit
- ☐ **(Part C. No. 2a)** Documentation justifying the ranked problem
- ☐ **(Part C. No. 2c)** Analysis of alternatives
- ☐ **(Part C. No. 2d)** Map of proposed improvements if known ☐ Not Applicable
- ☐ **(Part C. No. 3)** Scope of the Project, Budget and Schedule
- ☐ **(Part D. No. 3)** Water system rate structure for the last three years and calculations showing the average household water rate
- ☐ **(Part D. No. 8)** Five year revenue and expenditure projection for the water system
- ☐ **(Part D. No. 10)** Three years (2011, 2012, 2013) of audited financial statements or federal tax returns and applicable balance sheet(s).
- ☐ **(Part D. No. 12)** Documentation of Debt
- ☐ **(Part E. No. 2a)** Environmental document

CERTIFICATION

I hereby certify that I am the authorized representative of this public water system and that the information provided in this application and supporting information is accurate to the best of my knowledge.

Date

Signature

Name

Title