

## Application Information and Instructions

Administered by the State Water Resources Control Board (State Water Board), Division of Financial Assistance (Division), the Financial Assistance Application is designed to help determine your eligibility for funding through the following programs:

### **Clean Water State Revolving Fund (CWSRF) Water Recycling Funding Program (WRFPP)**

To streamline the review process, the application is divided into four packages:

- **General Information**
- **Technical**
- **Environmental**
- **Financial Security**

Instructions for each package are provided below.

An overview of the financing process can be found on the Division's web site at [http://www.waterboards.ca.gov/water\\_issues/programs/grants\\_loans/srf/docs/forms/application\\_process.pdf](http://www.waterboards.ca.gov/water_issues/programs/grants_loans/srf/docs/forms/application_process.pdf)

Before proceeding with your application, please read the applicable policy/guidelines for your project:

*Clean Water State Revolving Fund Policy* at [http://www.waterboards.ca.gov/water\\_issues/programs/grants\\_loans/srf/finalpolicy0513.shtml](http://www.waterboards.ca.gov/water_issues/programs/grants_loans/srf/finalpolicy0513.shtml)

*Water Recycling Funding Program Guidelines* at [http://www.waterboards.ca.gov/water\\_issues/programs/water\\_recycling\\_policy/docs/final\\_wrfppguidelines071508.pdf](http://www.waterboards.ca.gov/water_issues/programs/water_recycling_policy/docs/final_wrfppguidelines071508.pdf)

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## Submitting Your Application

You can help the review process by ensuring your application contains accurate and complete information. To avoid delays in the processing of your application, we recommend:

- ✓ Contact the Division as early as possible to coordinate your application with your project's schedule; contact information is provided on the next page.  
*(NOTE: No action is necessary on your part to be added to the Project List; the Division will make arrangements for your project to be added to the [Project List](http://www.waterboards.ca.gov/water_issues/programs/grants_loans/srf/docs/cwsrf/cwsrf_project_list.pdf) at [http://www.waterboards.ca.gov/water\\_issues/programs/grants\\_loans/srf/docs/cwsrf/cwsrf\\_project\\_list.pdf](http://www.waterboards.ca.gov/water_issues/programs/grants_loans/srf/docs/cwsrf/cwsrf_project_list.pdf).)*
- ✓ Review the [Potential CWSRF Flags Worksheet](http://www.waterboards.ca.gov/water_issues/programs/grants_loans/srf/docs/forms/cwsrf_potential_flags_worksheet.pdf) at [http://www.waterboards.ca.gov/water\\_issues/programs/grants\\_loans/srf/docs/forms/cwsrf\\_potential\\_flags\\_worksheet.pdf](http://www.waterboards.ca.gov/water_issues/programs/grants_loans/srf/docs/forms/cwsrf_potential_flags_worksheet.pdf). Although not required as part of your application, we recommend you review this worksheet and discuss your answers with Division staff at your earliest opportunity so we can identify issues up front that may require supplementary information or additional review time.
- ✓ Submit complete packages whenever possible.  
*(NOTE: Projects are funded based on a complete application. Partial packages may be submitted, but complete packages will be reviewed before incomplete packages, and complete applications will be reviewed and approved for financing first.)*
- ✓ Submit the Environmental Package first. Generally the review of this package takes the longest lead time. The Technical and Financial Security Packages can be submitted later to ensure that the information is as current as possible.

- ✓ Have your legal counsel review the FAQs at [http://www.waterboards.ca.gov/water\\_issues/programs/grants\\_loans/srf/docs/forms/legal\\_faq.pdf](http://www.waterboards.ca.gov/water_issues/programs/grants_loans/srf/docs/forms/legal_faq.pdf) regarding the legal opinion we will need from you at the time of signing of the financing agreement. The Division's legal counsel will contact your legal counsel approximately eight to sixteen weeks prior to execution of the financing agreement to discuss the contents of the legal opinion.
- ✓ Clearly type or print all information.
- ✓ Sign and date the application where indicated.
- ✓ Include all required attachments.

The application and attachments should be submitted electronically or as a hard copy in one of the following three ways. Applicants are encouraged to utilize the Financial Assistance Application Submittal Tool (FAAST) to streamline the application submittal and review process, but if that will create a hardship, email or mail can be utilized instead:

- 1) Apply online via the FAAST: <https://faast.waterboards.ca.gov>

To submit a CWSRF Construction Application in FAAST you must complete all the tabs in FAAST and attach (at minimum) the General Information Package. (Note: Once the CWSRF Construction Application has been uploaded, you must still complete the application by clicking on the "Submit" button.) Once the CWSRF Construction Application is submitted in FAAST a project manager will be assigned to help the applicant complete the application process.

To submit additional documents for the same project, **DO NOT** start a new application, instead click on the Submitted Applications link on the Main Menu and choose the project from the list of previously submitted applications. Open the Attachments tab, and then the Post-Submission sub-tab. Choose which document from the Attachment Category drop-down list and then select the file to upload. The project manager will receive an email notification letting them know you have submitted additional information for review.

The following FAAST resources are available online:

- [Frequently Asked Questions](#)
- [How-to-Videos](#)
- [User Manual](#)

If you need assistance you can also contact the FAAST Help Desk, which is staffed Monday through Friday 8am through 5pm, at 1-866-434-1083 or [FAAST\\_ADMIN@waterboards.ca.gov](mailto:FAAST_ADMIN@waterboards.ca.gov).

- 2) Send the application and attachments via email to [cleanwatersrf@waterboards.ca.gov](mailto:cleanwatersrf@waterboards.ca.gov).
- 3) Mail a CD or hard copy to:

**State Water Resources Control Board  
Division of Financial Assistance  
ATTN: Marketing Unit  
1001 I Street, 16<sup>th</sup> Floor, Sacramento, CA 95814  
P.O. Box 944212  
Sacramento, CA 94244-2120**

## **General Information Package**

### **Section I - Type of Assistance Requested**

**Amount of Assistance Requested** – Enter the amount of assistance requested.

**Proposed Security** – Enter the revenues and funds you will use to repay the CWSRF financing.

**Project Type(s)** – Select the type(s) of project for which funding is requested. Check all that apply.

- Wastewater - publicly-owned treatment works projects (Clean Water Act Section 212).
- Water Recycling - publicly-owned treatment works projects (Clean Water Act Section 212).
- Estuary – publicly or privately owned projects that implement a Comprehensive Conservation and Management Plan for the San Francisco Bay estuary, the Morro Bay estuary or the Santa Monica Bay estuary (Clean Water Act Section 320).
- Nonpoint Source – publicly or privately owned nonpoint source water quality projects (Clean Water Act Section 319) implementing CA's NPS Implementation Plan.

### **Section II - Applicant Information**

**Applicant Name** – Enter the entity that will be the legal signatory to a financing agreement.

**Street Address, City, State, Zip** – Enter the applicant's physical street address. The Zip+4 Code can be found at <https://tools.usps.com/go/ZipLookupAction!input.action>.

**Applicant Type** – Enter one of the following entity types:

- Public – local or state (including cities, counties, and districts with wastewater authority)
- Native American Tribe - Federally recognized tribes
- Nonprofit (nonpoint source and estuary projects only)
- Other – please specify

**County** – Enter the County where the project will be physically located.

**Charter City/County** – Indicate if the applicant is a charter city/county.

**Mailing Address, City, State, Zip** – Enter the applicant's mailing address, if different from the street address.

**Congressional District(s)** – Enter the Congressional district(s) where the project will be physically located. If the project will span multiple Congressional Districts (i.e., a pipeline project), list all affected districts. A map of California Congressional Districts can be found at <http://house.gov/representatives/find/>.

**State Senate District(s)** – Enter the State Senate district(s) where the project will be physically located. Refer to <http://findyourrep.legislature.ca.gov/>.

**State Assembly District(s)** – Enter the State Assembly district(s) where the project will be physically located. Refer to <http://findyourrep.legislature.ca.gov/>.

**Data Universal Numbering System (DUNS) No.** - If you don't already have a DUNS number, you can get more information at [http://www.whitehouse.gov/sites/default/files/omb/grants/duns\\_num\\_guide.pdf](http://www.whitehouse.gov/sites/default/files/omb/grants/duns_num_guide.pdf). This number is required to receive CWSRF financing.

**Federal Tax ID No.** – Enter the Federal tax identification number of the applicant.

**Regional Water Board** - Check the Regional Water Quality Control Board (Regional Water Board) jurisdiction(s) where the project will be physically located or affected by the project. A list of Regional Water Boards can be found at [http://www.waterboards.ca.gov/publications\\_forms/publications/factsheets/docs/region\\_brds.pdf](http://www.waterboards.ca.gov/publications_forms/publications/factsheets/docs/region_brds.pdf)

**Authorized Representative Name, Title** – Identify the person who has the authority to represent the applicant and sign documents pertaining to the funding application. If the applicant is a public agency or has a governing board, the application must include a copy of a resolution adopted by the governing body designating its authorized representative and authorizing the submission of an application. If the applicant does not have a governing board, then it must provide documentation supporting the authorization of the authorized representative. It is advisable to designate the title of the position authorized to sign and submit an application rather than naming a specific person. The funding application must be signed by the authorized representative.

**Auth. Rep. Phone** - Enter the authorized representative's telephone number.

**Auth. Rep. Email** – Enter the authorized representative's email address.

**Contact Person Name** – Enter the name of the person who is the day-to-day contact for the project. This person should be able to answer general questions about the project and application.

**Contact Person Phone** – Enter the contact person's telephone number.

**Contact Person Email** – Enter the contact person's email address.

**Local Counsel Name** – Enter the name of the applicant's local counsel.

**Local Counsel Phone** – Enter the local counsel's telephone number.

**Local Counsel Email** – Enter the local counsel's email address.

### **Section III - Project Information and Proposed Schedules**

**Project Description** – Provide a brief description of the project.

**Project Title** – Enter the title or name of the project.

**Project Location** – Enter the physical location for the project.

**NPDES Permit or WDR Order No.** – Enter the National Pollutant Discharge Elimination System Permit number or the Waste Discharge Requirement number, if applicable.

**Current Year Estimated Population Served** – Enter the estimated population of the proposed project service area.

**Estimated Project Schedule** – Provide an estimated or actual date for the following:

- Complete Facilities Planning Documents
- Complete Project Plans and Specifications
- Advertise Bids
- Issue Notice to Proceed
- Complete Construction

**Consultation with Other Agencies** – Provide the following:

- Name of other Federal and State agencies involved in this project (e.g. planning, CEQA/NEPA consultation, funding, etc.)
- Contact information for the named agencies
- Estimated dates for resolution of any issues

**Partnering Agencies** – Provide the name and contact information of all other agencies that have an interest in the project.

**Potential Flags Worksheet** – To avoid potential delays later in the application process, it is recommended that the applicant complete and submit this worksheet with the General Information Package to alert the Division staff of any issues that may potentially affect the application review.

## **Section IV – Estimated Project Capital Costs and Funding Summary**

Provide the dollar amount requested for each cost classification listed in this section.

NOTE: Soft costs may be provided for planning, design, value engineering, construction management, and administration costs.

## **Section V – Technical Sponsorship**

If the Division set up a technical sponsorship program, indicate if you would be interested in providing in-kind technical assistance to another CWSRF applicant in exchange for special financing over and above the cost of your in-kind contribution. **NOTE:** Checking “Yes” does not obligate you to participate in this potential program or guarantee that this incentive will be available or offered.

If you answer “Yes”, please indicate the area(s) where you are willing to provide assistance.

## **Section VI - Sustainability**

Priority points are given during the application review and funding process for projects that support or incorporate any of the listed sustainability goals. Check (✓) all the sustainability goal(s) that apply to your project. One priority point is given for each identified area.

The Division will review projects on the Project List with complete applications, except as directed by the State Water Board, based on the project class (“A” being the highest class and “E” being the lowest class) and the number of sustainability points. Projects within each project class will be ranked according to their sustainability points. If the State Water Board lacks sufficient funds to fund all projects with complete applications, then the Division will first fund projects based on project

class, giving priority within the class to the small disadvantaged community with the lowest median household income, and then to the project that most effectively addresses sustainability and global climate change.

### **Certification and Signature of Authorized Representative**

The authorized representative is the person who has the authority to sign and submit the application materials, certify compliance with applicable state and federal laws, execute the financial assistance agreement and amendments, and certify disbursement requests.

- ✓ Print the name and title of the authorized representative.
- ✓ Sign and date the application.

## **Technical Package**

**Applicant (Entity) Name** – Enter the entity that will be the legal signatory to a financing agreement.

**Project Title** – Enter the title of the project.

**Contact Person and Phone** – Enter the name and phone number of the day-to-day contact for the project. This person should be able to answer general questions about the project and application.

### **Section I – Water Rights**

1. Check (✓) the box indicating whether the Project will change the point of discharge, place of use, or purpose of use of treated wastewater and decrease the flow in any portion of a watercourse.

If the NO box is checked, proceed to question 2.

If the YES box is checked, a Petition for Change must be filed with the State Water Board, Division of Water Rights, if the project will decrease the flow in the affected watercourse. Provide a copy of the Petition for Change (label as Attachment **T5a**) or the date that you anticipate filing the Petition.

2. Check (✓) the box indicating whether the Project will divert flow from a stream or other surface water body to another location.

If the NO box is checked, proceed to question 3.

If the YES box is checked, a Petition for Change or application for a Water Right or License must be filed with the State Water Board, Division of Water Rights. Provide copies of the Petition for Change, application for a Water Right or License or copy of the Change of Use approval, or Water Right Permit or License, as appropriate (label as Attachment **T5b**), or the date that you anticipate filing the Petition for Change or application for a Water Right or License.

If you have questions regarding whether a petition or application is required you may contact your CWSRF Project Manager or Patricia Fernandez with the Division of Water Rights at (916) 319-9141 or [Patricia.Fernandez@waterboards.ca.gov](mailto:Patricia.Fernandez@waterboards.ca.gov).

3. Check (✓) the box indicating if your entity is a water diverter and subject to section 5103 of the Water Code. Subdivision (e) (1) states that on or after January 1, 2012, monthly records of water diversion must be reported to the State Water Board's Division of Water Rights.

## Section II – Water Conservation and Urban Water Management Requirements

Prior to the State Water Board's approval of the project, specific water conservation and urban water management requirements must be achieved.

Check (✓) the box(es) that apply to your project.

### Water Conservation

**Non-Point and Estuary projects** are not required to meet the water conservation requirements.

**Water Suppliers** (an urban water supplier to more than 3,000 customers or supplying more than 3,000 acre-feet annually) must fulfill one of the following:

- Approved Water Conservation Program on file with the State Water Board
- Developed Water Conservation Program for approval by the State Water Board (submit copy labeled as Attachment **T6**)
- Signed the "Memorandum of Understanding Regarding Urban Water Conservation in California" (submit proof labeled as Attachment **T7**)
- Submitted an Urban Water Management Plan (UWMP) to the Department of Water Resources (DWR) per Water Code Section 10653 (submit proof labeled as Attachment **T8**)

**Non Water Suppliers** must fulfill one of the following:

- Certify that seventy-five (75) percent of the water connections in the water supplier's service area are covered by an adopted, Division-approved Water Conservation Program (label as Attachment **T10**)
- Demonstrate that the water supplier(s) have signed the "Memorandum of Understanding Regarding Urban Water Conservation in California", covering at least seventy-five (75) percent of the water connections within the applicant's sewer service area (label as Attachment **T7**)
- Demonstrate that the water supplier has submitted an Urban Water Management Plan to the Department of Water Resources per water Code Section 10653 (label as Attachment **T8**)

**Waiver:** An Applicant may request a waiver of the Water Conservation requirement if the water supplier(s) for the community serve 3,000 or fewer customers and the costs to comply with the requirements are found by the Division to be burdensome to the supplier in light of the benefits derived from the water Conservation Program. Submit waiver request labeled as Attachment **T9**.

A flow chart outlining the different tracks for satisfying the Water Conservation requirement is found in the CWSRF Policy at

[http://www.waterboards.ca.gov/water\\_issues/programs/grants\\_loans/srf/docs/forms/water\\_conservation\\_flowchart.pdf](http://www.waterboards.ca.gov/water_issues/programs/grants_loans/srf/docs/forms/water_conservation_flowchart.pdf).

### **Urban Water Management**

1. Check (✓) the box indicating if you are an urban water supplier as defined in Water Code Section 10617 or an agricultural water supplier as defined in Water Code Section 10608.12(a). If you are an urban water supplier or an agricultural water supplier, provide any documentation you have from the CA Department of Water Resources confirming compliance with (a) the urban water use reduction targets described in Water Code Section 10608.24, (b) the efficient agricultural water management practices described in Water Code Section 10608.48, and/or (c) the Urban Water Management Planning Act (Water Code Section 10610) or the Agricultural Water Management Planning Act (Water Code Section 10800), as applicable to your agency (label as Attachment **T11**).
2. Provide a self-certification that you are in compliance with the water meter requirements of Water Code Section 529.5 (Attachment **T2b**).

### **Section III – Delta Plan**

1. Check (✓) the box indicating if the project is a “covered action” under section 85225 of the Water Code. More information about what constitutes a “covered action” is available online at <http://deltacouncil.ca.gov/covered-actions>.
2. If the project is a “covered action” there is a self-certification process for demonstrating consistency with the Delta Plan, which must be submitted by the lead agency to the Delta Stewardship Council. More information about this process is available online at <http://deltacouncil.ca.gov/covered-actions>. Check (✓) the box indicating if you have submitted the consistency certification required under section 85225 of the Water Code. If the project is not a “covered action”, check (✓) “N/A”.
3. Check (✓) the box indicating if any person has appealed the consistency certification per section 85225.10 of the Water Code. More information about this appeal process is available at <http://deltacouncil.ca.gov/covered-actions>. If the project is not a “covered action”, check (✓) “N/A”.

### **Section IV – Architectural and Engineering (A/E) Procurement**

Check (✓) the box indicating if you follow a qualifications-based procurement process for A/E procurement (for services such as program management, construction management, feasibility studies, engineering, surveying, or mapping).

If yes, check (✓) the box indicating if your A/E procurement process complies with one of the following codes:

- [40 United States Code Section 1101 et seq.](#)
- [California Government Code Section 4525 et seq.](#) (as it relates to state agencies)

## Section V – Green Project Reserve (GPR)

1. Check (✓) the box indicating if this project or a portion of this project is eligible for CWSRF GPR. Municipalities applying for GPR-eligible projects or project components may be eligible for principal forgiveness. United States Environmental Protection Agency (U.S. EPA) Guidance regarding GPR eligibility is available online at: [https://www.epa.gov/sites/production/files/2015-04/documents/green\\_project\\_reserve\\_eligibility\\_guidance.pdf](https://www.epa.gov/sites/production/files/2015-04/documents/green_project_reserve_eligibility_guidance.pdf)
2. Indicate the percentage of total project cost within each GPR category. Only the components of the project that clearly advance one or more of the objectives articulated in the four GPR categories should be counted as GPR eligible. If the Project qualifies for more than one GPR category, please indicate the percentage in each category, and then the total percentage of the project that qualifies for GPR. The above U.S. EPA guidance lists categorically eligible project types under each of the 4 categories. If your project is not categorically eligible, you may consider preparing a business case to document GPR eligibility. The decision criteria and required content for business cases are provided in the U.S. EPA guidance above.

## Section VI – Attachments

- ✓ **T1 – Project Report:** Submit a Project Report containing all of the items in the Suggested Project Report outline attached to the Technical Package application form applicable to the proposed project. The Project Report must be signed and stamped by a registered Professional Engineer. Please contact your assigned project manager, if known, or the CWSRF general telephone number at (916) 327-9978 with specific questions about the contents of the Project Report.
- ✓ **T2a – General Plan Compliance Certification:** The CWSRF Policy requires all funded projects to be consistent with the applicant’s adopted General Plan or to serve an area in which at least 75% of the cities and counties have adopted land use and housing elements. Applicants must complete the General Plan Compliance Certification confirming these conditions.
- ✓ **T2b – Certification for Compliance with Water Metering Form:** Water Code sections 525 through 529.7 prohibit water purveyors, both agricultural and urban, from receiving State funds if metering requirements are not met. If you are an urban water supplier (i.e., supply to more than 3,000 customers or supplying more than 3,000 acre-feet annually), you must comply with this requirement. Please consult with your legal counsel and review sections 525 through 529.7 of the Water Code before completing this certification.
- ✓ **T2c – Certification for Fiscal Sustainability Plan:** Section 603(d)(1)(E) of the Clean Water Act requires CWSRF financing recipients for treatment works projects to develop and implement a Fiscal Sustainability Plan (FSP). Applicants must complete the Certification for Fiscal Sustainability Plan to either certify that an FSP has been developed and implemented, or to certify a date by which an FSP will be developed and implemented.
- ✓ **T2d – Certification for Cost and Effectiveness and Water and Energy Conservation and Efficiency:** Section 602(b)(13) of the Clean Water Act requires municipalities, intermunicipals, interstate and State agencies who are recipients of CWSRF funds to certify

that they have performed a cost and effectiveness analysis and has selected the proposed project or activity for its potential to maximize the efficient use, reuse, recapture of water and to maximize conservation of water and energy.

- ✓ **T3 – Climate Change Worksheet:** The purpose of the Climate Change Worksheet is to motivate the applying agency to identify how the proposed facility is vulnerable to the effects of climate change and the impacts the facility may have on the climate. Investigation into adaptation and mitigation measures that lead to responsible resolutions made by the agency will ultimately improve the investments made by the state. Priority points will be awarded to applicants that thoroughly and thoughtfully complete this worksheet.

**Worksheet** – The worksheet is broken into three sections: Vulnerability, Adaptation, and Mitigation Each section has check boxes. Check all boxes applicable to the facility regarding climate change vulnerability, and all boxes considered by the applicant regarding adaptation and mitigation. Each section is equipped with an “Other” box followed by an area to define the unnamed option. This option is available to encourage creative ideas and in the event an agency identifies options that have been overlooked.

**Attachments** – Each section will be followed up by an attachment. The attachments are intended to provide a detailed description of the vulnerabilities and response measures selected, risk level, critical conditions, intended responses, and explanations why certain vulnerabilities and response measures are not considered essential enough for response measures to be implemented. The attachments may include detailed plans to incorporate the measures mentioned such as alternative options, scope of work, budget, construction estimates and schedule.

**Definitions** – Climate change vulnerability, mitigation, and adaptation are terms that many individuals find ambiguous or don’t understand what the differences between them may be.

Climate Change Vulnerability: This term is used to identify effects of climate change that the facility may be susceptible to. Some effects overlap. For example, a treatment facility built on the coast may be severely vulnerable to sea level rise. It would be a poor investment for the state to invest in a treatment facility with an expected useful life of 50 years when the facility is projected to be under water in 20 years due to sea level rise. Coincidentally, as sea level rises, the neighboring groundwater aquifers may be vulnerable to saltwater intrusion and water quality issues. The two effects are related, and both should be discussed in the attachment.

Adaptation: This term is used to identify measures taken as a direct response to climate change effects. Multiple measures can be taken in response to a single vulnerability. For example, in response to sea level rise an agency may investigate constructing sea walls or levees in order to prevent flooding. Flood contingencies should also be explored to protect the facility if the levees fail or in the event of severe storm surges.

Mitigation: This term is used to identify measures taken to slow or stop changes to the environment caused by greenhouse gas emissions in the atmosphere. Measures identified in adaptation may also be used for mitigation. For example, water conservation may be an adaptation response to drought vulnerability and also a mitigation measure by reducing the energy consumed to move excessive volumes of water. Green roofing as

an adaptation measure will help to reduce the heat island effect of an urban community, and as a mitigation measure will reduce the energy consumed to heat and cool the building.

- ✓ **T4 – Regional Water Quality Control Board Requirements:** Submit any permit requirements and/or enforcement orders that have been issued by the Regional Water Board relative to the proposed project. If the proposed project is not subject to permit requirements and/or enforcement orders, please indicate this in the comment box.
- ✓ **T5 – Water Rights Determination Letter:** Provide a letter or an email from the Division of Water Rights stating whether a petition is or is not required.
- ✓ **T6 – Water Conservation Program:** If an approved Water Conservation Program is not on file with the State Water Board, provide a developed Water Conservation Program for State Water Board approval. In lieu of a Water Conservation Program, either Memorandum of Understanding (Attachment T7) or Urban Water Management Plan (Attachment T8) may be submitted.
- ✓ **T7 – Memorandum of Understanding:** In lieu of a Water Conservation Program (T6) or proof of an Urban Water Management Plan (T8), may provide proof that the applicant is a signatory to the “Memorandum of Understanding Regarding Urban Water Conservation in California,” September 1991, *California Urban Water Conservation Council*.
- ✓ **T8 – Urban Water Management Plan:** In lieu of a Water Conservation Program (T6) or Memorandum of Understanding (T7), may provide proof that an Urban Water Management Plan per Water Code Section 10653 has been submitted to the Department of Water Resources.
- ✓ **T9 – Waiver Request Letter:** An applicant supplying water to 3,000 or less customers may request a waiver of the Water Conservation requirement. The request should explain why the costs to prepare a document to satisfy the CWSRF Policy requirements are burdensome to the supplier in light of the benefits derived from the Water Conservation Program.
- ✓ **T10 – Certification for Non-Water Suppliers:** An applicant who is not a water purveyor must submit written certification that seventy-five (75) percent of the water connections in its service area are covered by either Division-approved Water Conservation Program (T6), Memorandum of Understanding (T7), or Urban Water Management Plan (T8).
- ✓ **T11 – Compliance with Water Demand Management Measures** – An urban water supplier with a water management project must implement Water Demand Management Measures as described in Water Code section 10631.5. The DWR will determine if these water conservation measures have been implemented. Provide a letter from DWR confirming compliance with this requirement.

Attachments T12 and T13 are applicable to *Water Recycling Funding Program* projects ONLY:

- ✓ **T12 – Recycled Water User Assurance:** Recycled Water User Assurances document the commitment of users’ participation on the Project. For existing users, provide either an adopted mandatory use ordinance or letters of intent to execute a user contract.

- ✓ T13 – **User Connection Schedule:** Provide the anticipated connection schedule and estimated recycled water deliveries for all users of the project.

## **Environmental Package**

Detailed information, including statutes and guidelines on the California Environmental Quality Act (CEQA), can be obtained at <http://ceres.ca.gov/ceqa>. A CEQA Process Flowchart that shows interaction points between lead and responsible agencies can be found at [http://www.waterboards.ca.gov/water\\_issues/programs/grants\\_loans/docs/environmental\\_review/ceqa\\_process\\_flow\\_chart.pdf](http://www.waterboards.ca.gov/water_issues/programs/grants_loans/docs/environmental_review/ceqa_process_flow_chart.pdf).

**Applicant (Entity) Name** – Enter the entity that will be the legal signatory to a financing agreement.

**Project Title** – Enter the title of the project.

**Contact Person and Phone** – Enter the name and phone number of the day-to-day contact for the project. This person should be able to answer general questions about the project and application.

### **I. CEQA Status**

Place a check (✓) in the box that describes the status of the CEQA process for the project.

❖ **Not yet started**

❖ **Underway**

*A draft copy of the CEQA document should be provided to the Division for review and comment. Also provide the Division with copies of any substantiating federal cross-cutter information (i.e. USFWS species list/biological assessment, cultural resources report, air quality analysis data, flood map, etc.). This will enable the Division to better understand the project's environmental impacts, and provide more meaningful comments on the draft CEQA document before it is sent to the State Clearinghouse.*

❖ **Complete**

*Proceed to Question 2 below (CEQA Documents).*

❖ **Complete, but more than 5 years prior to anticipated State Water Board agreement execution date**

*Must provide an updated CEQA document (subsequent, supplemental or addendum) that evaluates the current environmental status of the project.*

*Proceed to Question 2 below (CEQA Documents).*

### **II. CEQA Documents** – Complete this section ONLY if the CEQA process is complete.

Place a check (✓) in the box(es) that describe(s) the project and submit the required attachments for each section applicable to the project.

*Example: If the project is covered under a CEQA Categorical or Statutory Exemption (Section A) and a Negative Declaration (Section B), submit the following attachments:*

- ✓ *Evaluation Form for Environmental Review and Federal Coordination*
- ✓ *Draft and Final Initial Study/Negative Declaration(IS/ND)*

- ✓ *Comments and Responses*
- ✓ *Resolution Approving the CEQA Documents*
- ✓ *Notice of Exemption filed with the county clerk and the State Clearinghouse*
- ✓ *Notice of Determination filed with the county clerk and the State Clearinghouse*

Please submit two copies of all applicable CEQA documents.

## **Attachments**

- ✓ **E1 – Evaluation Form for Environmental Review and Federal Coordination:** This form (including the supporting attachments E1.1 to E1.13) must be completed for all projects seeking CWSRF funding. This enables the CWSRF Program to comply with the cross-cutting federal environmental regulations.
- ✓ **E2 – Initial Study/Negative Declaration (IS/ND):** Provide both draft and final copies.
- ✓ **E3 – Initial Study/Mitigated Negative Declaration (IS/MND):** Provide both draft and final copies.
- ✓ **E4 – Environmental Impact Report (EIR):** Provide both draft and final copies.
- ✓ **E5 – Comments and Responses:** Provide all comments and responses.
- ✓ **E6 – Statement of Overriding Consideration (SOC):** If the project has a significant unavoidable impact, the applicant must adopt an SOC.
- ✓ **E7 – Mitigation and Monitoring Program/Plan (MMRP):** Applicant must adopt an MMRP for all projects with an IS/MND and EIR CEQA documents.
- ✓ **E8 – CEQA Documents Approval:** All CEQA documents (including Addendum, Supplemental and Subsequent) must be adopted/certified by the governing body of the applicant agency seeking funds from the CWSRF Program. If the applicant is not the lead CEQA agency, then the applicant must adopt/certify the relevant CEQA documents to be able to receive funds from CWSRF Program.
- ✓ **E9 – Notice of Exemption:** A copy must be filed and date stamped by the local County Clerk and the Governor's Office of Planning and Research.
- ✓ **E10 – Notice of Determination:** A copy must be filed and date stamped by the local County Clerk and the Governor's Office of Planning and Research.

## **E1 – Evaluation Form for Environmental Review and Federal Coordination**

Form E1 is required for all projects requesting CWSRF financing. Additional guidance can be found in the State Environmental Review Process (Appendix I of the CWSRF Policy) at [http://www.waterboards.ca.gov/water\\_issues/programs/grants\\_loans/srf/finalpolicy0513.shtml](http://www.waterboards.ca.gov/water_issues/programs/grants_loans/srf/finalpolicy0513.shtml) or by

contacting the Environmental Review Unit (refer to contact list at [http://www.waterboards.ca.gov/water\\_issues/programs/grants\\_loans/environmental\\_requirements.shtml](http://www.waterboards.ca.gov/water_issues/programs/grants_loans/environmental_requirements.shtml)).

**Applicant Name** – Enter the entity that will be the legal signatory to a financing agreement.

**Project Title** – Enter the title of the project.

## 1. Clean Air Act

Air Basin Name - Identify the air basin name.

Local Air District for Project Area – Enter the name of the local air district for the project area.

For CWSRF financed projects, we recommend including a general conformity section in the CEQA documents so that another public review process will not be needed, should a conformity determination be required. The applicant should check with its local air quality management district and review the California Air Resources Board's air emissions map for information on the State Implementation Plan. The applicant should also check the United States Environmental Protection Agency, Green Book, for Currently Designated Nonattainment Areas for All Critical Pollutants. For information on the analysis steps involved in evaluating air quality conformity, please contact the State Water Board environmental staff through the assigned Project Manager.

**Indicate if the project is subject to a State Implementation Plan (SIP) conformity determination, and complete the chart with estimated project construction and operational air emissions data, with respect to the federal *de minimis* levels (in tons per year). Also submit supporting calculations and any air quality maintenance plans or additional supporting documents you utilize to compile the data.**

## 2. Coastal Barriers Resources Act

The Coastal Barriers Resources Act is intended to discourage development in the Coastal Barrier Resources System and adjacent wetlands, marshes, estuaries, inlets, and near-shore waters. Since there is no designated Coastal Barrier Resources System in California, no impacts from California projects are expected. However, should the applicant believe there may be impacts to the Coastal Barrier Resources System due to special circumstances, please use the following information as a guide.

During the planning process, the applicant should consult with the appropriate Coastal Zone management agency (e.g., City or County with an approved Local Coastal Program, the California Coastal Commission, or the San Francisco Bay Conservation and Development Commission) to determine if the project will have an effect on the Coastal Barrier Resources System. If the project will have an effect on the Coastal Barrier Resources System, the State Water Board must consult with the appropriate Coastal Zone management agency and the USFWS. Any recommendations from the Coastal Zone management agency and USFWS will be incorporated into the project's design prior to approval of CWSRF financing.

For more information and to ensure that no modifications to Coastal Barrier Resources System have occurred, please visit: <http://www.fws.gov/CBRA/>.

**Indicate if the project will affect or be located within or near the Coastal Barrier Resources System or its adjacent wetlands, marshes, estuaries, inlets, and near-shore waters, and describe the project location with respect to the Coastal Barrier Resources System and provide the status of any consultation with the appropriate Coastal Zone management agency and the United States Fish and Wildlife Service.**

### **3. Coastal Zone Management Act**

Projects proposing construction in the Coastal Zone will require consultation with either the California Coastal Commission (or the designated local agency with a Local Coastal Program), or the San Francisco Bay Conservation and Development Commission (for projects located in the San Francisco Bay area). The applicant must submit a copy of the approved Coastal Development permit to the State Water Board to satisfy this requirement.

For more information on Coastal Zone Management Act requirements refer to the following agencies' websites:

- United States Coastal Zone Boundaries through the NMFS website at <http://coastalmanagement.noaa.gov/mystate/docs/StateCZBoundaries.pdf>
- California Coastal Commission website at <http://www.coastal.ca.gov/ccatc.html>; and/or
- San Francisco Bay Conservation and Development Commission website at <http://www.bcdc.ca.gov/>.

**Indicate if any portion of the project site is located within the coastal zone, and describe the project location with respect to coastal areas and the status of the coastal zone permit, and provide a copy of the coastal zone permit or coastal exemption.**

### **4. Endangered Species Act (ESA)**

The United States Department of the Interior, Fish and Wildlife Service (USFWS) and the United States Department of Commerce National Oceanic and Atmospheric Administration, National Marine Fisheries Service (NMFS) must be consulted for any project that will have the potential to adversely impact a federal special-status species. The USEPA delegated the State Water Board to act as the non-federal lead for initiating informal Section 7 ESA consultation with the USFWS. The State Water Board will coordinate with the USEPA for projects requiring formal Section 7 ESA consultation with the USFWS and projects that will impact federal special-status fish species under the NMFS jurisdiction. The USFWS and NMFS must provide written concurrence prior to a CWSRF financing agreement. USFWS and NMFS comments may include conservation measures, for which the applicant's CWSRF financing agreement will be conditioned to ensure compliance.

For further information on the federal ESA go to <http://www.fws.gov/endangered/laws-policies/index.html> and <http://www.nmfs.noaa.gov/pr/laws/esa/>. Note that compliance with both the state and federal ESAs is required of projects having the potential to impact state and federal special-status species. Although overlap exists between the state and federal ESAs, there might be additional or more restrictive state requirements. For further information on the California ESA, refer to the California Department of Fish and Wildlife website at <http://www.dfg.ca.gov/habcon/cesa/>.

**Indicate if the project involves any direct effects from construction activities or indirect effects that may affect federal and state listed threatened or endangered species that are known, or have a potential, to occur on-site, in the surrounding area or in the service area, and provide the additional information and requested documents, i.e. species list and biological assessment completed within the last year.**

## **5. Environmental Justice**

Identify and address any disproportionately high and adverse human health or environmental effects of the project's activities on minority and low-income populations. USEPA has defined environmental justice as "the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies."

*Fair Treatment* means that no group of people should bear a disproportionate burden of environmental harms and risks, including those resulting from the negative consequences of industrial, governmental, and commercial operations or programs and policies.

*Meaningful Involvement* means that: 1) potentially affected community members have an appropriate opportunity to participate in decisions about a proposed activity that will affect their environment and/or health; 2) the public's contribution can influence the agency's decision; 3) the concerns of all participants involved will be considered in the decision-making process; and 4) the decision-makers seek out and facilitate the involvement of those potentially affected.

The term "environmental justice concern" is used to indicate the actual or potential lack of fair treatment or meaningful involvement of minority, low-income, or indigenous populations, or tribes in the development, implementation, and enforcement of environmental laws, regulations, and policies.

**Indicate if the project involves an activity that is likely to be of particular interest to or have a particular impact upon minority, low-income, or indigenous populations or tribes, as identified by the Lead Agency.**

**Your project may involve an "environmental justice concern" if the project could:**

- a) Create new disproportionate impacts on minority, low-income, or indigenous populations;
- b) Exacerbate existing disproportionate impacts on minority, low-income, or indigenous populations; or
- c) Present opportunities to address existing disproportionate impacts on minority, low-income, or indigenous populations that are addressable through the project.

**No - Provide an explanation.**

**Yes - Place a check (✓) in the box(es) that describe the impact of the project and provide a brief explanation for your answer(s).**

## 6. Farmland Protection Policy Act

Projects involving impacts to farmland designated as prime and unique, local and statewide importance, or under a Williamson Act Contract, will require consultation with the United States Department of Agriculture, Natural Resources Conservation Service and/or California Department of Conservation. For more information on the Farmland Protection Policy Act go to <http://www.nrcs.usda.gov/programs/fppa>, and regarding the Williamson Act Contract go to <http://www.consrv.ca.gov/dlrp/lca>.

**Indicate if any portion of the project is located on important farmland, and provide information on the acreage that would be converted from important farmland to other uses. Also indicate if any portion of the project boundaries is under a Williamson Act Contract and specify the amount of coverage affected. If the project area will be within a portion of protected farmland under the Williamson Act, please be sure to complete the consultations with appropriate federal, state and local agencies and provide necessary documents to the State Water Board.**

## 7. Flood Plain Management – Executive Order 11988

Each agency shall take action to reduce the risk of flood loss, to minimize the impact of floods on human safety, health and welfare, and to restore and preserve the natural and beneficial values served by floodplains in carrying out its responsibilities. Before taking an action, each agency shall determine whether the proposed action will occur in a designated floodplain. The generally established standard for risk is the flooding level that is expected to occur every 100 years. If an agency determines or proposes to conduct, support, or allow an action to be located in a floodplain, the agency shall consider alternatives to avoid adverse effects and incompatible development in the floodplains.

For further information regarding Floodplain Management requirements, please consult the United States Department of Homeland Security, Federal Emergency Management Agency website at <http://www.fema.gov>, as well as the USEPA floodplain management Executive Order 11988 at <http://www.epa.gov/owow/wetlands/regs/eo11988.html>.

**Indicate if any portion of the project located within a 100-year floodplain as depicted on a floodplain map or otherwise designated by the Federal Emergency Management Agency, and provide the additional information and requested documentation.**

## 8. National Historic Preservation Act (NHPA)

Section 106 of the National Historic Preservation Act requires Federal agencies to take into account the effects of their undertakings on historic properties. The Section 106 process seeks to accommodate historic preservation concerns with the needs of Federal undertakings through consultation among the agency official and other parties with an interest in the effects of the undertaking on historic properties, commencing at the early stages of project planning. Historic properties are properties that are included in the National Register of Historic Places or that meet the criteria for the National Register. Historic properties include buildings, structures, objects, and archaeological sites that are 50 years old or older. The Section 106 reports must be prepared by a qualified researcher that meets the Secretary of the Interior's Professional Qualifications Standards ([http://www.nps.gov/history/local-law/arch\\_stnds\\_9.htm](http://www.nps.gov/history/local-law/arch_stnds_9.htm)).

In addition, CEQA requires state, local, and other agencies subject to the jurisdiction of California to evaluate the environmental effects of the agency actions, including impacts to cultural and historic resources. CEQA law states that “a project that may cause a substantial adverse change in the significance of a historical resource is a project that may have a significant effect on the environment” (21084.1).

The Governor’s November 2005 Tribal Consultation Guidelines ([http://opr.ca.gov/docs/09\\_14\\_05\\_Updated\\_Guidelines\\_922.pdf](http://opr.ca.gov/docs/09_14_05_Updated_Guidelines_922.pdf)) states that [applicants] must conduct a record search through the appropriate regional California Historical Resources Information System (CHRIS) ([http://ohp.parks.ca.gov/pages/1068/files/ic\\_roster.pdf](http://ohp.parks.ca.gov/pages/1068/files/ic_roster.pdf)) center to determine whether any listed cultural places are present in the project area, and contact the Native American tribes affiliated with a project area from a list available from the Native American Heritage Commission (NAHC) (<http://www.nahc.ca.gov/>).

The NAHC can be contacted at:

Address: 1550 Harbor Blvd., Suite 100  
West Sacramento, CA 95691  
Telephone: (916) 373-3710  
Email: [nahc@nahc.ca.gov](mailto:nahc@nahc.ca.gov)

**Identify the area of potential effects (APE), including construction areas, staging areas, and depth of any excavation. Attach a copy of the Cultural Resources Report prepared by a qualified professional, a Section 106 SHPO consultation letter, and a current records search (less than one year old, extending to a half-mile beyond the project APE). Provide maps showing all cultural resources sites and surveys drawn in relation to the project area, and records of Native American consultation from a list provided by the Native American Heritage Commission (NAHC).**

## **9. Magnuson-Stevens Fishery Conservation and Management Act**

The Magnuson-Stevens Fishery Conservation and Management Act, as amended, is designed to manage and conserve national fishery resources. Essential Fish Habitat (EFH) consultations are only required for actions that may adversely affect EFH. The applicant needs to determine whether the proposed project may adversely affect EFH. NMFS is responsible for publishing maps and other information on the locations of designated EFH, and can provide information on ways to promote conservation of EFHs to facilitate this assessment. If a project may adversely affect a designated EFH, the applicant must complete an EFH consultation.

The State Water Board will coordinate with the USEPA to request an EFH consultation from the NMFS. NMFS is required to respond informally or in writing. NMFS comments may include conservation measures, for which the applicant’s CWSRF financing agreement will be conditioned to ensure compliance. For more information, see the brochure at [http://www.nmfs.noaa.gov/sfa/reg\\_svcs/Council%20stuff/council%20orientation/2007/2007TrainingCD/TabT-EFH/EFH\\_CH\\_Handout\\_Final\\_3107.pdf](http://www.nmfs.noaa.gov/sfa/reg_svcs/Council%20stuff/council%20orientation/2007/2007TrainingCD/TabT-EFH/EFH_CH_Handout_Final_3107.pdf).

**Indicate if the project involves any direct effects from construction activities or indirect effects that may adversely affect EFH, and provide the additional information and requested documents.**

## 10. Migratory Bird Treaty Act (MBTA)

The MBTA restricts the killing, taking, collecting and selling or purchasing of native bird species or their parts, nests, or eggs. The MBTA, along with subsequent amendments to this act, provides legal protection for almost all breeding bird species occurring in the United States and must be addressed under CEQA. In the CEQA document, each agency must make a finding that a project will comply with the MBTA. For further information, please consult the Migratory Bird Program through the USFWS website at <http://www.fws.gov/laws/lawsdigest/migtrea.html>.

**Indicate if the project will affect protected migratory birds that are known, or have a potential, to occur on-site, in the surrounding area, or in the service area, and provide a list of all protected migratory bird species that have the potential to occur in the project area, including their migration schedules and past sightings within the project area.**

## 11. Protection of Wetlands

Projects, regardless of funding, must get approval for any temporary or permanent disturbance to federal and state waters, wetlands, and vernal pools. The 404 permitting process through the United States Army Corps of Engineers (USACE) can be lengthy, and may ultimately require project alterations to avoid wetlands and waters of the United States. Applicants must consult with the USACE early in the planning process if any portion of the project site contains wetlands, or other federal waters. The USACE Wetland Delineation Manual is available at <http://www.wetlands.com/regs/tlpge02e.htm>. California Department of Fish and Wildlife (CDFW) determines whether or not an activity may adversely affect fish and wildlife resources, and a Fish and Game code 1600 Streambed Alteration Agreement may need to be prepared. For more information on Fish and Game codes please go to <http://www.dfg.ca.gov/habcon/1600/>. Also note that the State and Regional Water Boards are involved in providing approvals through the Clean Water Act Section 401 Water Quality Certification Program and/or Waste Discharge Requirements. For more information, please go to [http://www.waterboards.ca.gov/water\\_issues/programs/cwa401/index.shtml](http://www.waterboards.ca.gov/water_issues/programs/cwa401/index.shtml).

**Indicate if any portion of the project boundaries contain areas that should be evaluated for wetland delineation or require a permit from the United States Army Corps of Engineers, State and Regional Water Boards, and/or California Department of Fish and Game.**

## 12. Safe Drinking Water Act, Sole Source Aquifer Protection

Projects must comply with the Safe Drinking Water Act and document whether or not a project has the potential to contaminate a sole source aquifer. For projects impacting a listed sole source aquifer, the applicant must identify an alternative project location, or develop adequate mitigating measures in consultation with the USEPA. For more information, please go to the Sole Source Aquifer Program website at <http://epa.gov/region09/water/groundwater/ssa.html>.

**Indicate if the project is located in an area designated by the USEPA, Region 9, as a Sole Source Aquifer, and identify the sole source aquifer (e.g., Santa Margarita Aquifer, Scott's Valley, the Fresno County Aquifer, the Campo/Cottonwood Creek Aquifer or the Ocotillo-Coyote Wells Aquifer) that will be affected. The Lead Agency shall be held responsible for providing an alternate project location and/or appropriate mitigation measures, if a sole source aquifer were to be significantly impacted by a project.**

### **13. Wild and Scenic Rivers Act**

There are construction restrictions or prohibitions for projects near or in a designated “wild and scenic river.” A listing of designated “wild and scenic rivers” can be obtained at <http://www.rivers.gov/california.php>. Watershed information can be obtained through the “Watershed Browser” at [http://cwp.resources.ca.gov/map\\_tools.php](http://cwp.resources.ca.gov/map_tools.php).

**Indicate if a portion of the project is located within a wild and scenic river. If the project is located within a wild and scenic river watershed, please provide a map identifying the watershed where the project is located.**

## **FINANCIAL SECURITY PACKAGE**

**Applicant (Entity) Name** – Enter the entity that will be the legal signatory to a financing agreement.

**Project Title** – Enter the title of the project.

**Contact Person and Phone** – Enter the name and phone number of the day-to-day contact for the project. This person should be able to answer general questions about the project and application.

### **1. Financing Amount Requested**

Estimate the project costs to be funded with State Water Board CWSRF funds. This amount should match the Amount of Assistance Requested in Section 1 of the General Information Package.

### **2. Term Requested**

Indicate the financing term you are requesting: 20-year or 30-year.

### **3. Other Project Funding Sources**

Describe how the total project will be financed.

- ✓ Enter the name(s) and type(s) of all funding sources.
- ✓ Enter the amount of funds you expect to receive from each source.
- ✓ Check the appropriate box to indicate whether the other sources of financing have been applied for, approved by the funding agency, or received by the applicant.

*Example: CWSRF financing            \$1,000,000*  
*USDA grant                    \$ 500,000*  
*Applicant Agency portion \$ 250,000*

### **4. Current Year Median Household Income**

Enter the estimated Median Household Income (MHI) for the proposed project service area, using the most recent income survey. If an income survey is not available, MHI estimates may be found at the Census Bureau website at

<http://factfinder2.census.gov/faces/nav/jsf/pages/index.xhtml#none>. Enter “Median Household Income in the Past 12 Months” and the municipality name into the Quick Search box. If you cannot locate data for your community, you may contact the Division at [cleanwatersrf@waterboards.ca.gov](mailto:cleanwatersrf@waterboards.ca.gov) for additional assistance.

### **5. Current Year Estimated Population Served**

- a. Enter the estimated population of the proposed project service area.
- b. Place a check (✓) in the box if less than 50% of residences are permanently occupied.

**6. Active Service Connections**

If the active wastewater connection is currently and directly served by the wastewater collection system, enter the following for the applicable connection type:

- ✓ Number of active wastewater service connections that are currently and directly served by the wastewater collection system
- ✓ Current monthly service charge
- ✓ Projected monthly service charge that will be in place after the proposed project is completed
- ✓ Average monthly billing for the last 12 months

**Rate increase effective date for projected monthly service charges** – Enter the estimated date that the projected monthly service charges will go into effect (if unknown, assume one year after construction completion).

**7. Projected Annual Operations and Maintenance Costs**

Enter the estimated annual costs to operate and fully maintain the proposed project after it is complete. Operations and maintenance costs include staff salaries, chemicals, utilities, warranties, routine repair and replacement, laboratory services, billing and collection and life-cycle costs. The consulting engineer should have included these costs in the Project Report (Attachment T1).

**8. Discussion of Material Events, Material Obligation Conditions, and Any Debt Limit**

Identify any current, prior, or pending material events such as bankruptcy, defaults, litigation, grand jury findings, unscheduled draws on reserve funds, substitution of insurers or their failure to perform, unscheduled draws on credit enhancements, actions taken in anticipation of filing Chapter 9, rating changes, relevant conditions in material obligations, and any local debt limit.

**ATTACHMENTS**

**F1 – Audited Financial Statements AND Budgets or Projections:** Provide COMPLETE audited financial statements for the most recent three years AND budgets or projections for the next two years. Submit via hardcopy, CD, email, or web link. Refer to the schedule below:

Application Date	Required Financial Statements
January 1 <sup>st</sup> through June 30 <sup>th</sup>	Most recent three years, including last Fiscal Year. <b>Example:</b> Application on March 1, 2013, requires Financial Statements for Fiscal Years 2009/10; 2010/11; and 2011/12
July 1 <sup>st</sup> through December 31 <sup>st</sup>	Most recent three years prior to current Fiscal Year. <b>Example:</b> Application on September 1, 2012, requires Financial Statements for Fiscal Years 2008/09; 2009/10; and 2010/11

Identify any restricted funds and the reason for the restrictions as well as all sources of security to be pledged. If using real property, provide at least two appraisals of the value, how the value was determined, and whether the property is currently pledged as security on any other debt.

**F2 – Tax Questionnaire:** The Tax Questionnaire provides basic information about project costs, accounting, and who will own and operate the project. The applicant's response to the Tax Questionnaire and Reimbursement Resolution (see below) are reviewed by the State Water Board's CWSRF tax attorney (CWSRF tax attorney) to determine whether the applicant is eligible to receive funds from tax-exempt revenue bond sales. After reviewing these documents, you may be required to sign a Tax Certificate which will be forwarded to you for signature by your Authorized Representative.

**F3 – Reimbursement Resolution:** An adopted Reimbursement Resolution is required for review by the CWSRF tax attorney. The language may not vary from the language provided in the template. The Reimbursement Resolution should be a stand-alone resolution.

**F4 - Authorizing Resolution/Ordinance:** This resolution or ordinance designates the Authorized Representative(s) for the project, who will have the authority to sign and submit the CWSRF application materials, certify compliance with applicable state and federal laws, execute the financial assistance agreement and amendments, and certify disbursement requests.

- ❖ To minimize the potential for problems, use the exact language in the template resolution.
- ❖ Enter the title of the Authorized Representative, NOT a person's name.
- ❖ Do not modify the words financing or financial assistance to other terms such as "loan", "grant", or "principal forgiveness". Use of these terms will create legal complications; the terms "financing" and "financial assistance" are broad enough to be applicable to all of the above.
- ❖ It is not necessary to specify the requested amount of financing. If you do specify an amount, to allow some flexibility, please specify the maximum anticipated amount of financing as follows: "Financial assistance shall not exceed \$\_\_\_\_\_."

**F5 – Rate Adoption Resolution:** This is your most recent rate adoption resolution, if wastewater project.

**F6 – Pledged Revenues and Fund(s) Resolution:** Federal law requires applicants to establish a dedicated source of revenue for repayment. The financing agreement will identify the pledge revenue(s) and fund(s) (PRF). The majority of CWSRF applications for wastewater projects are secured with "the Wastewater Enterprise fund and Net Revenues thereof". If your CWSRF financing agreement will also be secured with other PRFs such as special assessments or a special tax, the template language will need to be modified accordingly. If you are uncertain as to the appropriate wording, a draft version may be submitted with the initial application. A reserve fund may also be required. This item is not required if the applicant is a Small DAC applying for one hundred percent grant or principal forgiveness funding.

**F7 – Existing Related Debt:** Submit a schedule of all material debt secured by the PRF or the system, along with a copy of each relevant debt document (if there are any pending debts, provide draft or estimated information). This schedule will be an exhibit to the CWSRF financing agreement and will rank related debt according to priority in relation to the proposed CWSRF debt (senior,

parity, or subordinate tier). If the applicant has no other debt (except other CWSRF debt), the Authorized Representative must provide a letter stating this. In most cases, the CWSRF debt will be on parity with related debt.

**F8 – New Special Tax, Assessment District, or Service Charge Projections:** If applicable, provide budget projections based on proposed taxes, fees, charges or assessments (*No template exists*). Label the projections as Attachment F8.

**F9 – Relevant Service, Management, Operating, or Joint Powers Agreements:** If applicable, provide a copy of any relevant, service, management, operating or joint powers agreements and any amendments (*No template exists*). Label the agreement as Attachment F9.

**F10 – Future Capital Needs:** The applicant should describe any capital improvement plans and the long-term indebtedness needed to fund its future capital improvements. The applicant must provide any formal CIP it has to the Division (*No template exists*). Label the agreement as Attachment F10.