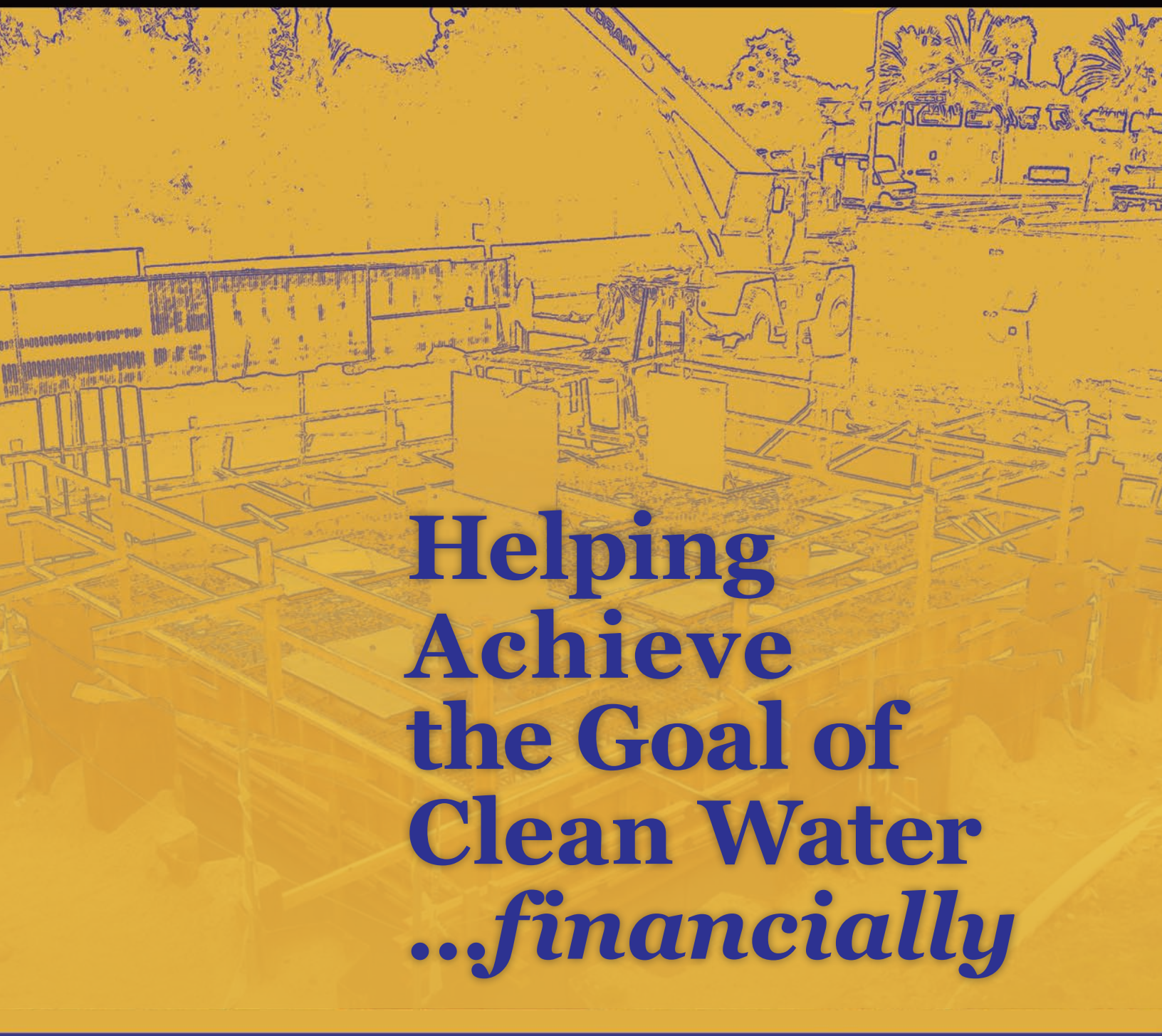

Helping Achieve the Goal of Clean Water ...*financially*

2011-2012

Annual Report

Clean Water State Revolving Fund

STATE FISCAL YEAR 2011- 2012 (July 1, 2011 - June 30, 2012)

California Environmental Protection Agency
STATE WATER RESOURCES CONTROL BOARD
DIVISION OF FINANCIAL ASSISTANCE • 1001 I STREET • SACRAMENTO, CA 95814

Our Vision

Abundant Clean Water for human uses and environmental protection to sustain California's future.

Our Mission

To preserve, enhance, and restore the quality of California's water resources, and ensure their proper allocation and efficient use, for the benefit of present and future generations.

CALIFORNIA
Water Boards
STATE WATER RESOURCES CONTROL BOARD
REGIONAL WATER QUALITY CONTROL BOARDS

About the State and Regional Water Boards

The State Water Resources Control Board (State Water Board) was created in 1967. The mission of the State Water Board is to ensure the state's water quality and to balance its beneficial uses. Its comprehensive authority over allocation, planning, and enforcement enables the State Water Board to protect California's water quality.

The State Water Board consists of five, full-time salaried Members, each filling a different specialty position. Each board member is appointed to a four-year term by the Governor and confirmed by the Senate.

There are nine Regional Water Quality Control Boards (Regional WaterBoards). The mission of the Regional Water Boards is to develop and enforce water quality objectives and implement plans that protect the beneficial uses of the state's waters, recognizing local differences in climate, topography, geology, and hydrology.

Each Regional Water Board has seven, part-time Members also appointed by the Governor and confirmed by the Senate. Regional Water Boards develop "basin plans" for their hydrologic areas, issue waste discharge permits, take enforcement action against violators, and monitor water quality.

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I. Introduction

This is the California Clean Water State Revolving Fund (CWSRF) Program's Annual Report for State Fiscal Year (SFY) 11/12 (July 1, 2011 through June 30, 2012). California provided approximately $785 million in low cost financing to 48 projects in SFY 11/12 that represent a wide variety of projects eligible for the CWSRF Program. This report describes how the State Water Board met the objectives for the Program identified in the Federal Fiscal Year 2012 Intended Use Plan (IUP).

Region 2: Union Sanitary District – Primary Clarifier Rehabilitation Project / Project Cost - $8,821,860

Region 1: Russian River County Sanitation District - Disinfection Upgrade Project / Project Cost - $3,884,450

Region 6: South Tahoe Public Utility District – New Wastewater Plant Headworks Replacement / Project Cost – $876,353

Region 8: El Toro Water District – Northline Lift Station Improvement Project / Project Cost – $3,918,590

Region 6: South Tahoe Public Utility District – Luther Pass Pump Station Backup Generator / Project Cost – $2,611,994

Region 8: Eastern Municipal Water District - Temecula Valley Regional Water Reclamation Facility – Future Secondary Clarfier Location / Project Cost – $18,422,420

II. Program Summary

The federal Clean Water Act provides states the opportunity to establish a CWSRF Program to help each state achieve the goal of clean water. The CWSRF is capitalized with federal and state funds. The CWSRF provides affordable financing for 1) construction of publicly owned wastewater infrastructure, 2) addressing non-point sources (NPS) of pollution, and 3) development and implementation of plans to protect important estuaries. Further information about the Program can be found at the State Water Board's Grants and Loans website at http://www.waterboards.ca.gov/water_issues/programs/grants_loans/.

The CWSRF has protected and promoted the health, safety, and welfare of Californians since 1989. Many CWSRF recipients use their financing to address water quality violations and the associated enforcement actions by the Regional Water Boards. Every project financed by the CWSRF is directly related to improving water quality or public health.

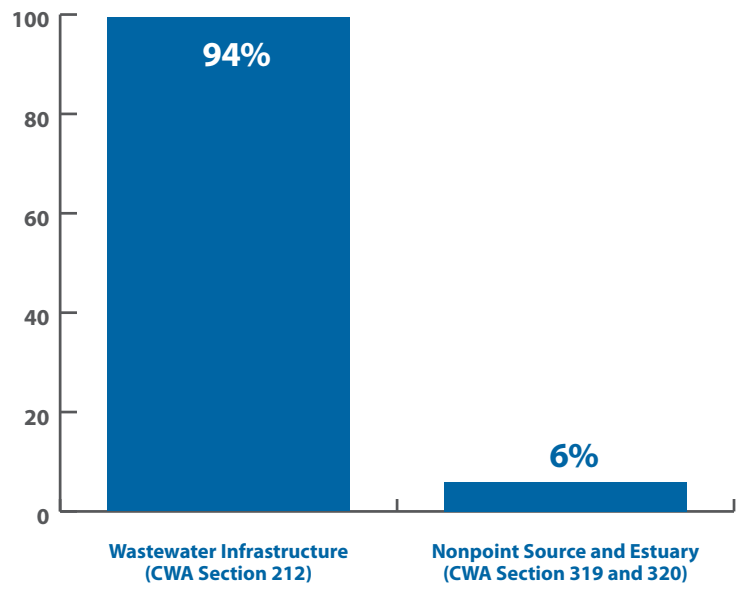
The revolving nature of the CWSRF creates asset and revenue growth. As of June 30, 2012, the total available to the CWSRF for financial assistance since inception of the Program was $6.172 billion including funds from the American Recovery and Reinvestment Act of 2009 (ARRA). The State Water Board committed approximately 104 percent of all available funds to projects through executed financing agreements (binding commitments). The State Water Board disbursed about 87 percent of all available funds to financing recipients as of June 30, 2012. Cumulative Program activity from inception through the end of SFY 11/12 is shown in Table 1 below.

TABLE 1: CUMULATIVE PROGRAM ACTIVITY [1]

Activity	Life of Program
Number of Financing Agreements	618
Value of All Financing Agreements	$6.402 billion [2]
Disbursements Processed	$5.361 billion [2]
Balance of Financing Agreements	$1.041 billion [2]

(**1**) Program activity includes matching funds provided by financing recipients. (**2**) Amount includes ARRA funds.

FIGURE 1: CWSRF Funding By Project Type



Over the next several years, the State Water Board plans to disburse the outstanding balance of the existing commitments, depending on the construction or implementation schedules of the projects financed. The CWSRF Program will use assets not restricted for other purposes and future revenue to fulfill these commitments. Future revenue includes repayments from existing receivables, federal capital contributions, state capital contributions, and investment earnings.

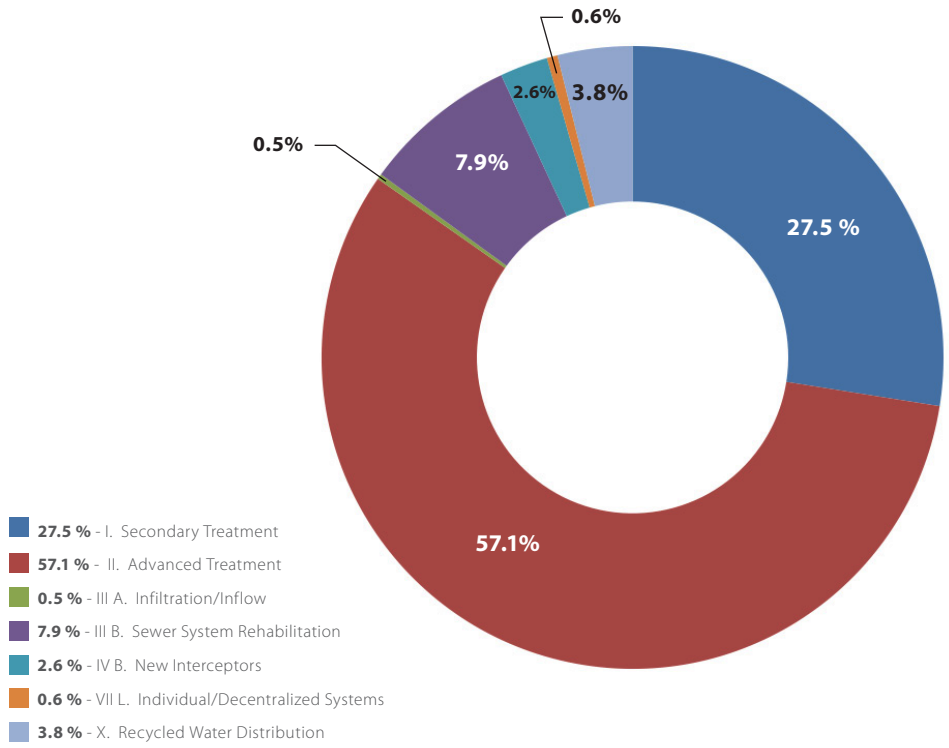
The State Water Board operates the CWSRF Program on a cash flow basis. State Water Board staff is continually accepting, reviewing, and approving applications for new projects. The CWSRF can also leverage its revenue if necessary to finance projects. The CWSRF accepts applications continuously, and State Water Board staff is currently working with numerous applicants to make additional commitments in SFY 12/13. The CWSRF IUP, updated at least yearly, forecasts the projects likely to be financed over the short term. The FFY 2012 IUP provides the Board's most recent forecast of financing activity.

The CWSRF is used for a broad range of projects. **Figure 1** illustrates the breakdown of funding since Program inception for the two main categories of projects: 1) wastewater infrastructure, 2) non-point and estuary source pollution prevention and reduction projects. Non-point source and estuary funding are combined into one category in Figure 1 because they are closely related.

As seen in Figure 1, most funds were used to construct and improve wastewater infrastructure, with the remainder of the funds used for NPS and estuary projects.

Figure 2 (below) provides a further breakdown of the main categories of projects. The top six uses, accounting for approximately 90 percent of the funds used, are all infrastructure categories. This demonstrates the CWSRF's vital role in maintaining California's water quality infrastructure.

FIGURE 2: CWSRF Funding Categories



III. Program Goals and Financial Results

A. SHORT-TERM GOALS

The State Water Board established the following short-term goals in the FFY 2012 IUP. The FFY 2012 IUP was adopted on March 20, 2012. This section discusses the results of the CWSRF Program's efforts to meet those goals.

1. Prepare and review cash management reports

Good cash flow management requires careful and regular monitoring of disbursements and receipts. State Water Board staff reviews management reports at bi-monthly internal finance/audit committee meetings that summarize the CWSRF's current finances.

State Water Board staff also routinely monitors cash flow as part of the financing approval process. The effect of the estimated disbursements of each project on the Program's overall cash flow is analyzed before financing is approved for the project.

2. Continue regular finance/ audit committee meetings

State Water Board staff conducted finance/ audit committee meetings on September 29, 2011, November 30, 2011, January 26, 2012, March 19, 2012 and May 31, 2012. Standing topics at these meetings included:

- Reviewing cash flow of projects under contract, three and six month cash flow projections, and cash flow needs for upcoming projects.
- Comparing actual performance with target performance measures.
- Reviewing audit issues, program control issues, and plan for upcoming audits.

3. Accept additional capitalization grants

The State Water Board accepted FFY 2011 Capitalization Grant on September 27, 2011 awarded for $105,570,800. The State Water Board submitted its federal fiscal year (FFY) 2012 Capitalization Grant application on April 23, 2012. The United States Environmental Protection Agency (US EPA) awarded the grant for $101,080,000 to the State Water Board on July 18, 2012. The State Water Board will provide the necessary state match through excess state bond funds and local match contributions to the Program.

4. Apply for additional capitalization grants

The FFY 2013 Grant is estimated to be $48.6 million. The State Water Board expects to submit its grant application to US EPA in October 2012. The State Water Board will provide the necessary state match through excess state bond and local match contributions to the Program.

5. Prepare Annual Report and Audit for SFY 11/12

Audited financial statements for the year ending June 30, 2012 will be completed by September 30, 2012 and will be made available on the Board's Web site. This report and the audited financial statements complete the Annual Report requirement for SFY 11/12.

6. **Provide funds for projects that support the Water Boards' priorities**
   Section IV and Exhibit B provide further details about the projects funded by the CWSRF Program in SFY 11/12.

7. **Adopt the FFY 2012 IUP**
   The 2012 IUP was adopted by the State Water Board on March 20, 2012. It guided the marketing and assistance efforts targeting the Water Boards' highest priorities in FFY 2012.

8. **Amend the CWSRF Policy**
   The work of improving the application process and revamping the priority system continued through 2012. Work is expected to wrap up in 2013, at which time the CWSRF Policy amendment, reflecting the streamlining and improvement recommendations from staff, will be presented to the State Water Board for its consideration.

9. **Enter data for the quadrennial Clean Watersheds Needs Survey (CWNS)**
   The CWNS provides basic information about the market and need for CWSRF financing. The State Water Board continued to input data for the 2012 CWNS throughout FFY 2012. The State Water Board's efforts on the CWNS are expected to continue into FFY 2013. The results of the 2012 CWNS are expected from US EPA in 2013

10. **Report activities supporting US EPA Strategic Plan**
    During SFY 11/12, the State Water Board continued to report activities that support US EPA strategic goals via its CWSRF Annual Report, Clean Water Benefits Reporting System (CBR), and Clean Water National Information Management System (CW NIMS). State Water Board staff began reporting via the Federal Funding Accountability and Transparency Act (FFATA) Reporting System after receipt of the FFY 2011 Capitalization Grant.

11. **Provide 20 percent of CWSRF funds in the form of Extended Term Financing (ETF)**
    ETF makes financing more affordable by reducing debt service by approximately 25 percent. The State Water Board provided 12 percent of its CWSRF financing during SFY 11/12 in the form of ETF to eligible recipients. The State Water Board also received approval from US EPA to offer ETF to communities that are regionalizing their wastewater treatment infrastructure; the State Water Board offered 8 percent of its financing during SFY 11/12 as ETF for regionalization projects.

12. **Application Process Improvements**
    Work on this goal resumed during SFY 11/12. Work is expected to wrap up in 2013, at which time the CWSRF Policy amendment, reflecting the streamlining and improvement recommendations from staff, will be presented to the State Water Board for its consideration.

13. **Marketing and Outreach**
    State Water Board staff participated in six California Financing Coordinating Committee (CFCC) funding fairs during SFY 11/12 from March 2012 to May 2012. The funding fairs provided members of the public and infrastructure development professionals' current information on funding options available for different project types.

    State Water Board staff attended and participated in the 19th Annual Region IV Tribal EPA Conference, California Water Environment Association (CWEA) 2011 and 2012 Annual Conferences, and the 2012 Green California Summit.

B. LONG-TERM GOALS

In its FFY 2012 IUP, California identified the following long-term goals. This section discusses the results of the CWSRF Program's efforts to meet these goals.

1. Maximize cash flow management

Ideally CWSRF disbursements should be equal to the Program's receipts, assuming that the $25 million minimum cash balance and restricted assets needed for bond payments and expenses are maintained, to get the most water quality benefit from the funds available to the CWSRF Program. Historically, applicants do not request disbursements as quickly as originally planned. This lag can cause the cash balance to increase in the CWSRF account.

The State Water Board during SFY 11/12 made commitments equal to 200.2 percent of available funds to compensate for the difference between projected and actual disbursements. Staff monitored fund balance trends through its management reports and finance/audit committee meetings to ensure that fund balances are not increasing and that sufficient funds are available to fulfill disbursement requests.

Staff also continued to monitor project disbursement levels relative to the projects' schedules, and periodically reviewed projects to ensure that final disbursements are made no later than six months after completion to ensure that funds are disbursed in a timely manner.

2. Effectively use revenue and new capital

The CWSRF has sizeable revenue that can be leveraged to fund more projects at current costs and address California's large water quality needs.

The Program did not need additional capital this year. Staff are closely monitoring cash flow and financing forecasts to see whether additional capital will be needed to fund future projects.

3. Maintain financial integrity

The State Water Board continued its credit review and asset monitoring procedures this year to ensure that loans are repaid on time and in full. The State Water Board analyzes each applicant's financial capabilities and may impose special conditions on applicants to lower their default risk. Recipients may be required to provide ongoing financial information after loan closing or to complete public outreach if there was significant disapproval during the public rate setting process. State Water Board staff also maintained its "watch list" of financing recipients and potential applicants that show signs of financial weakness.

All supervisors and managers associated with the Program are required yearly to file a "Statement of Economic Interest" with the California Fair Political Practices Commission, and complete mandatory ethics training biennially.

Financial statements are being prepared by State Water Board staff and audited by an independent auditor. A copy of the audited financial statements will be posted on the CWSRF web site once the independent auditor, CliftonLarsonAllen LLP, completes its audit in accordance with Government Auditing Standards.

4. To achieve statewide compliance with water quality objectives and maximize the environmental benefits from CWSRF funded projects

The State Water Board continued its efforts to set and enforce water quality objectives. The State Water Board provided financial assistance from the CWSRF to correct both point and non-point source pollution problems to help meet these objectives. The environmental benefits of the projects financed by the CWSRF during SFY 11/12 are summarized in Section IV of this report.

5. Finance infrastructure that supports U.S. EPA's Sub-Objective 2.2.1 (Improve Water Quality on a Watershed Basis)

CWSRF financed approximately $785.5 million of infrastructure improvements during the previous year that support the Regional Water Boards' efforts to implement water quality control plans in their respective regions. Water quality control plans are developed on a watershed basis.

6. Assist with the State Water Board's Plan For California's Nonpoint Source Pollution Control Program and estuary Comprehensive Conservation and Management Plans

The State Water Board financed one project in SFY 11/12 to address non-point pollution, storm water, and estuaries – the Eastern Municipal Water District (Enchanted Heights Sewer System).

7. Provide good service with a special emphasis on Disadvantaged Communities (DACs)

The State Water Board adopted Resolution No. 2008-0048 to promote strategies to assist small and/or DACs with wastewater needs. The resolution references the Small Community Wastewater Strategy. The Strategy provides an overview of the problems faced by Small Disadvantaged Communities (SDACs) and proposed solutions to address those problems.

On November 17, 2011, the State Water Board executed a contract with California Rural Water Association (CRWA) to provide up to $500,000 in wastewater-related technical assistance to SDACs statewide. The types of technical assistance that will be offered include: preparation of financial assistance applications; compliance audits and troubleshooting to address permit violations or improve operations; review of proposed project alternatives to assist in identifying low-cost, sustainable approaches; assistance with planning and budgets, including capital improvement planning; and assistance with community outreach, awareness, and education, especially with regard to rate setting and Proposition 218 compliance. The technical assistance provided under this contract is intended to be targeted and specific, with each SDAC allotted 20 hours of technical assistance. DFA staff may approve additional time on a case-by-case basis.

The State Water Board also previously entered into a contract with Rural Community Assistance Corporation (RCAC) to provide wastewater-related training to SDACs statewide. This assistance was intended to help improve SDAC's compliance and ensure that funds available through the State Water Board are used as effectively as possible in implementing practical, cost-effective wastewater projects that will be adequately maintained over the long term. A contract extension was not approved, and this contract expired June 30, 2011. However, all the training materials produced in association with this contract, including recordings of the online training sessions, are still available online. If future resources permit, the State Water Board may solicit bids for a new training contract.

8. Develop clear, flexible, and innovative application procedures

Development of a transparent and uniform application with a clear instruction booklet proceeded during SFY 11/12. During SFY 12/13, State Water Board staff will continue its efforts to revamp the Clean Water State Revolving Fund/Small Community Wastewater/Water Recycling Application Package.

9. Ensure staff is well trained and ready to help communities resolve technical and financial issues

The CWSRF management conducted regular staff meetings to ensure that staff received up-to-date information about the current policies and procedures affecting the CWSRF Program.

C. OPERATING AGREEMENT & CAPITALIZATION GRANT CONDITIONS

The State Water Board agreed to a number of conditions in the Operating Agreement and the Federal Capitalization Grant Agreements. These conditions were met as described below.

1. Assistance Activity

A total of $785.5 million was financed in SFY 11/12. Approximately 99.4 percent went to wastewater treatment, collection systems, or wastewater recycling; Point six percent went to NPS projects.

In SFY 11/12, 59 of the 123 projects listed in the IUP were funded (see Exhibit C for the reasons that projects listed in the IUP were not funded). High demand for water quality improvement funding in California requires the State Water Board to fund projects on a ready-to-proceed basis and substitute projects as needed. The reason(s) projects in the IUP do not get funded is typically one or more of the following:

- Change to the project's scope or objectives
- Application requires additional studies, more documentation, and/or more hearings
- Changes in design
- Delays in the bidding process
- Financed with other (non-CWSRF) financing
- Application withdrawn
- Funded as part of another CWSRF financing agreement

2. Eligible Categories of Projects and Financing Terms

The State Water Board provided funding for all eligible categories of projects. The types of assistance include installment sales agreements and purchase of debt for the construction of treatment works or implementation of non-point source or estuary projects.

Principal forgiveness was provided to those applicants that met the conditions specified by the State Water Board in the IUP (Section III and Table 4).

The State Water Board offered planning financing during SFY 11/12. Planning financing is amortized over five years unless rolled into a construction financing agreement. Construction or implementation financing is generally amortized for periods up to 20 years, but can be amortized over as much as 30 years for SDACs. The terms associated with financial assistance vary by applicant and the date the project is approved.

The interest rate applied to financing agreements is established at the time the project is approved. The interest rate generally will be one-half the state's most recent general obligation bond rate, rounded up to the nearest one-tenth of a percent. SDACs may receive lower interest rates upon approval by the State Water Board and/or under certain conditions where necessary to make a project affordable.

The CWSRF is over-matched as of this date as explained below. Therefore, the State Water Board did not offer the match financing option during SFY 11/12.

3. Provide a State Match

The State Water Board meets its match requirement by identifying state funds equal to at least 20 percent of each capitalization grant amount. As of the end of SFY 11/12, the total of the capitalization grants awarded to the State Water Board was $2.560 billion. Of this amount, $280 million did not require the 20 percent match because the funds were from ARRA. As of June 30, 2012, the State Water Board drew $2.106 billion in CWSRF federal grants that required a 20 percent match. The required match for the federal grants drawn by the State Water Board was $421 million.

California uses a combination of state general obligation bonds repaid outside the CWSRF and funds contributed by applicants to the CWSRF to meet the 20 percent match requirement. A total of $626 million in matching funds has been contributed to the CWSRF. Therefore, California contributed $205 million more to the CWSRF than is required to match grants drawn as of June 30, 2012. (Note: The National Information Management System (NIMS) Report includes all state match contributed to the CWSRF.)

4. Binding Commitments Within One Year

The State Water Board must make binding commitments, in the form of executed financing agreements, to provide assistance in an amount equal to 120 percent of each federal quarterly payment within one year of that payment. As of June 30, 2012, executed binding commitments totaled $6.402 billion, or 250 percent of the $2.560 billion in federal payments received as of June 30, 2012.

5. Expeditious and Timely Expenditure

Numerous factors contribute to meeting this objective. The State Water Board's standard practice is to encumber and disburse federal funds before other sources of funds. The State Water Board also set a goal in its FFY 2012 IUP to over commit available funds at a rate of 105 percent. Both factors contribute to the goal of efficiently using cash available to the Program.

Expenditure (disbursement) of CWSRF funds begins soon after a binding commitment is made. Financing recipients request disbursements to cover past planning and design costs. These requests are quickly followed by requests for disbursement of construction costs. Financing recipients can request disbursements as often as they like.

Disbursement requests are processed on a strict timeframe to ensure timely expenditure. State Water Board staff review and approve disbursement requests within 30 calendar days after receipt. The request is then transmitted to the State Water Board's accounting department. The accounting department processes the request within seven calendar days after receipt and transmits the request to the State Controller's Office (SCO). The SCO then has 10 calendar days to issue the warrant (check) to the applicant.

The State Water Board draws federal funds from the US Treasury via the Automated Standard Application for Payments (ASAP) system as warrants are issued by the SCO. Draw requests are made within one week of a warrant being issued. ASAP is a request and delivery system of federal funds developed by the Financial Management Service of the US Treasury and the Federal Reserve Bank. By using ASAP, the State Water Board is able to draw funds from US EPA for expenditures incurred by the CWSRF in an expeditious and timely manner. Requested funds are deposited electronically the next business day to the account(s) specified by the State Water Board.

Federal draws are requested through ASAP on a monthly basis for the prior month's administration costs if taken from the federal grants.

One way to measure the expeditious and timely expenditure of funds is to compare the amount of federal funds disbursed (drawn from the US Treasury) with the total federal payments and grant awards to the State Water Board. As of June 30, 2012, $2.106 billion in federal funds were disbursed. The CWSRF Program received $2.560 billion in federal payments and $2.560 billion in federal grant awards. Therefore, as of June 30, 2012, 82.3 percent of the total federal payments were disbursed and 82.3 percent of the total federal grant awards were disbursed.

State Water Board staff also periodically compares the rate at which applicants are requesting disbursements with the progress of construction on their projects. Applicants are given appropriate reminders if they appear to be falling behind with their projected requests for disbursement.

6. First Use of Funds for Enforceable Requirements

California met the first-use requirement by providing financial assistance to those projects on its National Municipal Policy (NMP) list that do not meet any of the criteria under part III.B.5. (pp 11-12 of US EPA's "Initial Guidance for State Revolving Funds"). The state ensured that all listed projects are on enforceable schedules. California's program has now been expanded to other water quality needs.

7. Eligible Activities

California requires each applicant to submit a detailed application to ensure that US EPA's eligibility requirements are met. All activities financed were eligible under Section 212, Section 319, or Section 320 of the Clean Water Act.

8. Disadvantaged Business Enterprise (DBE) Objectives and Davis-Bacon Requirements

The State Water Board negotiated a total fair share DBE objective with the US EPA for the CWSRF Program. The objective was 24.0 percent for minority owned business enterprises (MBE) and 6.0 percent for women owned business enterprises (WBE) participation for a combined 30.0 percent goal. The participation on CWSRF financing agreements reported by financing

recipients in the most recent reporting period was 5.69 percent for MBE and 1.01 percent for WBE. The overall DBE participation was 6.70 percent. While not meeting the actual goal, the State Water Board met 22 percent of the combined goal of 30 percent. Exhibit A provides a detailed analysis of DBE participation. The State Water Board will continue to monitor participation to ensure that the "positive effort process" is followed by financing recipients.

All projects financed during SFY 11/12 were required to comply with Davis-Bacon prevailing wage requirements. Each financing agreement included provisions requiring applicants to follow Davis-Bacon requirements. Staff review reports and verify that sub-recipients have complied with all Davis-Bacon requirements. Staff maintain tracking mechanisms to ensure that federal quarterly baseline monitoring requirements are met. Records of all documents and site inspection reports are maintained in the project files. State Water Board staff review the quarterly site inspection reports annually to determine whether the number of site inspections is satisfactory and modifications to the control activities are needed.

Program and Accounting staff meet bi-monthly to discuss financial, accounting, and control issues related to the Program such as DBE and Davis Bacon.

9. Use of Capitalization Grant Administration Allowance

A portion of the CWSRF may be used for administration of the Program. Up to 4.0 percent of the amount in capitalization grants awarded to the Program may be used for administration. Total capitalization funds awarded to the State Water Board as of June 30, 2012 were $2.560 billion.

The administration cost (administrative expenses) incurred during SFY 11/12 was $2.8 million. This amount included Personnel Services of $1.5 million, Operating Expenses of $1.3 million, and Bond Fees of $11,000.

As of June 30, 2012, the cumulative total for administration is $92 million. The maximum available for administration from the capitalization grants is $102 million. Therefore, cumulatively 3.60 percent of the capitalization grants has been incurred in administering the Program. The balance available for future administrative expenses from the 4.0 percent administrative set- aside is $10 million. The balance will be banked for potential use in the future.

The administrative expenses for SFY 99/00 through SFY 11/12 are shown in Table 2 below.

TABLE 2: ADMINISTRATIVE EXPENSES FOR SFY 1999/2000 THROUGH 2010/2011

FFY Grant Year	Capitalization Grant	4% Admin. Allowance	Actual Admin. Costs	Difference between Allowance & Expenses	Admin. Surplus	Cumulative Grant Amount including in kind	Cumulative Admin. Costs	Percent of Grants
2000	$ 95,987,727	$ 3,839,509	$ 4,099,786	$ (260,277)	$ 10,259,772	$ 1,329,586,055	$ 42,923,670	3.23%
2001	$ 95,134,446	$ 3,805,378	$ 4,851,968	$(1,046,590)	$ 9,213,182	$ 1,424,720,501	$ 47,775,638	3.35%
2002	$ 95,346,405	$ 3,813,856	$ 5,251,394	$(1,437,538)	$ 7,775,644	$ 1,520,066,906	$ 53,027,032	3.49%
2003	$ 94,726,665	$ 3,789,067	$ 4,168,440	$ (379,373)	$ 7,396,271	$ 1,614,793,571	$ 57,195,472	3.54%
2004	$ 94,783,887	$ 3,791,355	$ 4,274,162	$ (482,807)	$ 6,913,464	$ 1,709,577,458	$ 61,469,634	3.60%
2005	$ 82,745,541	$ 3,309,822	$ 4,102,135	$ (792,313)	$ 6,121,151	$ 1,792,322,999	$ 65,571,769	3.66%
2006	$ 46,383,876	$ 1,855,355	$ 3,422,947	$(1,567,592)	$ 4,553,559	$ 1,838,706,875	$ 68,994,716	3.75%
2007	$ 92,791,710	$ 3,711,668	$ 4,540,867	$ (829,199)	$ 3,724,360	$ 1,931,498,585	$ 73,535,583	3.81%
2008	$329,208,091	$ 13,168,324	$ 4,009,832	$ 9,158,492	$ 12,882,852	$ 2,260,706,676	$ 77,545,415	3.45%
2009	$ 48,667,707	$ 1,946,708	$ 7,019,543	$ (5,072,835)	$ 7,810,017	$ 2,309,374,383	$ 84,564,958	3.65%
2010	$145,721,000	$ 5,828,840	$ 4,891,000	$ 937,840	$ 8,747,857	$ 2,455,095,383	$ 89,455,958	3.66%
2011	$105,570,800	$ 4,222,832	$ 2,860,000	$ 1,362,832	$ 10,110,689	$ 2,560,666,183	$ 92,315,958	3.60%

10. Additional Subsidy and Green Requirements

	FY 2010	FY 2011
Total FY Appropriation	$145,721,000	$105,570,800
Principal Forgiveness - amount approved by Board	$72,747,939	$32,610,820
Principal Forgiveness Committed	$71,584,790	$32,311,431
Green Projects Reserve (not less than 20% of the funds)	$29,144,200	$21,122,000
Green Projects Committed	$31,668,638	$137,442,775

11. Federal Cross-Cutters

All projects funded by the CWSRF Program must comply with certain federal laws known as "super cross-cutters." A broader category of federal laws, the "federal cross-cutters," apply only in an amount equal to the Capitalization Grants received by the CWSRF Program. To show compliance with the cross-cutter requirement, the CWSRF reviewed its application of the federal cross-cutters. Through September 2008, the State Water Board demonstrated compliance with federal cross-cutters on all projects (about $4.0 billion in financing) provided by the CWSRF Program. The CWSRF Program will have received about $2.66 billion in grants from US EPA through the FFY 2012. Therefore, CWSRF has exceeded the federal cross-cutter requirement.

The Operating Agreement allows for two levels of environmental review for CWSRF projects. The State Water Board used its alternative environmental review process, also known as the Tier II review, for projects during SFY 11/12. The Tier II review generally follows the requirements of the California Environmental Quality Act. All applicants, however, must complete and submit an "Evaluation Form for Environmental Review and Federal Coordination." State Water Board staff conducts a Tier I review, including federal agency distribution and consultation, for projects with known or suspected effects under federal environmental cross-cutting regulations. If a project can adequately document that there will be "no effect" under federal environmental cross-cutting regulations, then a Tier II review is conducted.

The Federal Funding Accountability and Transparency Act (FFATA) along with associated Office of Management and Budget (OMB) directives, requires non- ARRA recipients of federal dollars to report recipient and sub-recipient information into the FFATA Subaward Reporting System (FSRS), by the end of the month following recipient or subrecipient award for any amount equaling $25,000 or greater, starting October 1, 2010.

The CWSRF Program began reporting FFATA data in FFY 2011 based on an equivalency basis, by choosing loans that equaled the total CWSRF grant amount received from EPA. The CWSRF Program intends to continue reporting FFY 2012 FFATA loan data, on an equivalency basis, to the FSRS. The equivalency amount will equal the 2011 CWSRF grant amount of $105,570,800.

D. FINANCIAL ACTIVITY[1]

1. Net Assets

Net assets of the program are shown below.

STATEMENT OF NET ASSETS

June 30, 2012 and 2011

($ in thousands)

	2012	2011
ASSETS		
Current Assets	492,636	491,140
Other Assets	2,938,029	2,816,416
Total Assets	**3,430,665**	**3,307,556**
LIABILITIES		
Current Liabilities	25,330	27,070
Non Current Liabilities	93,194	116,686
Total Liabilities	**118,524**	**143,756**
NET ASSETS		
Restricted	270,733	352,045
Unrestricted	3,041,408	2,811,755
Total Net Assets	**3,312,141**	**3,163,800**

[1]Financial activity is based on unaudited financial statements. The audited financial statements for the year ending June 30, 2012 will be available after September 30, 2012 on the program's Web site, and will provide a detailed view of the CWSRF's financial activity for the year as well as management's analysis of the program's financial condition.

2. Revenues

There are four main sources of funds for the State Water Board's CWSRF, as reflected in the Financial Statements. The total revenues for SFY 11/12 were $189 million. Revenues for the period of this report were as follows:

- Interest income - $49 million
- Net investment income - $1.1 million
- ARRA Principal Forgiveness receipts - $12 million
- Principal Forgiveness receipts - $21.5 million
- ARRA capitalization grant - $21.3 million
- Capitalization grant - $84.5 million
- State match revenue - $170 thousand

3. Disbursements and Expenses

Total disbursements are based on the Financial Statements and do not include matching funds provided by financing recipients. Total disbursements for SFY 11/12 were $391 million. Disbursements for the period of this report were made as follows:

- Financing agreement disbursements - $325 million
- Cash paid to employees and vendors - $2.7 million
- ARRA Principal Forgiveness disbursements - $12 million
- Principal Forgiveness - $21.5 million
- Bond fees paid - $11 thousand
- Principal paid on revenue bonds - $24.2 million
- Interest paid on revenue bonds - $5.9 million

4. Extended Term Financing and Reduced Interest Rate

The State Water Board has received many requests for Extended Term Financing (ETF) over the past few years. In October 2008, US EPA approved the State Water Board's request to implement ETF for DACs. The State Water Board received additional guidance from US EPA in April 2009. As defined by the State Water Board in the CWSRF Policy, a DAC is a community with a population of less than 20,000 persons and either 1) a community median household income (MHI) less than 80 percent of the statewide MHI or 2) a community

with a sewer rate more than 4.0 percent of the community's MHI. ETF is available to DACs with a MHI less than 80 percent of the Statewide MHI if wastewater rates are 1.5 percent or more of the DAC's MHI. A community with a sewer rate more than 4.0 percent of the community's MHI may request approval of ETF from the State Water Board.

On May 15, 2012, US EPA also approved the State Water Board's request to implement ETF for communities that are regionalizing their wastewater infrastructure. Reducing financing costs through ETF gives communities an incentive to regionalize their facilities. Moreover communities can reduce their per capita cost by regionalizing resulting in more sustainable infrastructure in the long run.

US EPA approved the State Water Board's requests to implement ETF on condition that it can maintain it's historic, baseline (or average annual) financing level in the CWSRF Program. The State Water Board estimated that it can continue to meet its historic financing level providing ETF to DAC and regionalization projects.

The March 2009 amendment to the CWSRF Policy allows a DAC with wastewater rates of 1.5 percent or more of the DAC's MHI to receive a reduced interest rate of not less than zero percent (0%) if based on the credit review results, ETF is insufficient to make the project affordable to the DAC.

During SFY 11/12, four (4) DAC's received $95,093,534 in ETF and three (3) DAC's received reduced interest rates, as follows:

- CWSRF Project No. 5302-110, Heber Public Utilities District ($10,911,131 in CWSRF financing). The Project serves a small severely disadvantaged community with sewer rates exceeding 1.5 percent of the community's MHI. The Project qualified for $6 million in CWSRF principal forgiveness. The remaining financing was provided with an extended financing term of 30 years. The Division also approved a reduced interest rate of 1 percent, to make the Project affordable.

- CWSRF Project No. 7401-110, City of Rio Dell ($12,980,859 in CWSRF financing). The Project serves a small severely disadvantaged community with sewer rates exceeding 1.5 percent of the community's MHI. The Project qualified for $6 million in CWSRF principal forgiveness. The remaining financing was provided with an extended financing term of 30 years, to make the Project affordable.

- CWSRF Project No. 7806-110, City of Colfax ($12,825,000 in CWSRF financing). The Project serves a small disadvantaged community with sewer rates exceeding 1.5 percent of the community's MHI. The Project qualified for $3.319 million in CWSRF principal forgiveness. Approximately $7.76 million of the total $12,825,000 CWSRF financing amount was used to refinance the City's existing wastewater debt, including their existing CWSRF financing agreement for CWSRF Project No. 4470-110. The State Water Board approved an extended financing term of 25 years. The City's financing term could not be extended beyond 25 years, because the City was required to repay the new agreement within the existing term of the refinanced Project No. 4470-110. The State Water Board also approved a reduced interest rate of 1 percent, to make the Project affordable.

- CWSRF Project No. 5275-110, Placer County Sewer Maintenance District 1 ($58,376,044 in CWSRF financing). The Project serves a small disadvantaged community with sewer rates exceeding 1.5 percent of the community's MHI. The Project qualified for $6 million in CWSRF principal forgiveness. The remaining financing was provided with an extended financing term of 30 years, to make the Project affordable.

- CWSRF Project 5230-110 and 5230-120, County of San Luis Obispo (County) – Los Osos Wastewater Treatment Plant ($86,208,416 in CWSRF financing). These financing agreements were executed in SFY 10/11, with an interest rate of 2.6 percent. The County indicated a willingness to operate the Los Osos Wastewater Treatment Plant for the term of the agreement in exchange for a reduced interest rate. The State Water Board agreed to reduce the interest rate to 2.0 percent with the County operating and maintaining the Treatment Plant until the financing agreements are repaid in full.

The State Water Board provided approximately $785 million in CWSRF financing during SFY 11/12. Average annual financing done over the previous six fiscal years was $422 million. Therefore, the CWSRF was able to meet or exceed its historic, baseline assistance level during SFY 11/12 while also providing ETF.

5. Service Charges for Administration and Small Community Grant Fund

State law allows the State Water Board to collect two service charges on CWSRF financing: one to provide a secondary source of revenue for administration in addition to the administrative allowance from the Capitalization Grants and the other to provide revenue for the CWSRF Small Community Grant (SCG) Fund; the SCG Fund can provide wastewater grants to SDACs.

The total service charge collected for administration revenue during SFY 11/12 was $8.3 million. (See Exhibit D) Administrative service charges were applied consistently with US EPA's guidance on program fees such that they constituted non-program income.

Service charge revenue up to $50 million may be collected through 2014 to collect funds for grants to SDACs for wastewater projects. The

San Jacinto Valley Project Boiler Facility

total service charge collected for wastewater grant revenue during SFY 11/12 was $7.3 million. (See Exhibit D) Small community grant service charges were applied consistently with US EPA's guidance on program fees such that they constituted non-program income.

6. Credit Risk of the CWSRF

Each financing recipient must pledge one or more dedicated sources of revenue toward payment of its CWSRF obligation. Dedicated sources of revenue are generally sewer rate revenue pledges, but may also be any number of other revenue sources, special tax pledges, or other pledgeable income.

During SFY 11/12, the CWSRF restructured two agreements.

The City of Colfax requested that the State Water Board restructure its CWSRF repayments due to a cash flow shortfall caused by unanticipated legal expenses. On September 19, 2011, DFA approved a restructuring of the City's obligation.

The City of Soledad indicated that it would have difficulty making its full payments for the first three years of its loan due to financial conditions within the City. On December 16, 2011, DFA approved a restructuring of the City's payments.

In 2011, the allowance for bad debt remains the same as 2010, at $9.36 million.

State Water Board staff continued efforts to ensure that the CSWRF's financing agreements are secure and that all payments are made on time and in full. The State Water Board uses a variety of analysis and monitoring measures to reduce the possibility of non-payment, and continues to evaluate additional steps to ensure full and timely payment of all agreements.

San Jacinto Valley Operations & Maintenance Building.

Moreno Valley Filter Influent Pump Station

San Jacinto Valley Project Digester

IV. Environmental Benefits

The contributions of the CWSRF to water quality are diverse and difficult to quantify. Rather than being a weakness of the Program, this indicates the Program's strength and versatility in addressing a wide range of water quality issues. The data and graphics below summarize the environmental benefits derived from the CWSRF projects funded during SFY 11/12. The data supporting this summary has been transmitted to US EPA via the CWSRF Benefits Reporting (CBR) Database. The data indicate that the CWSRF protected or restored a wide range of beneficial water uses.

A. Projects in SFY 11/12 Will Help Achieve and Maintain Clean Water Act Goals

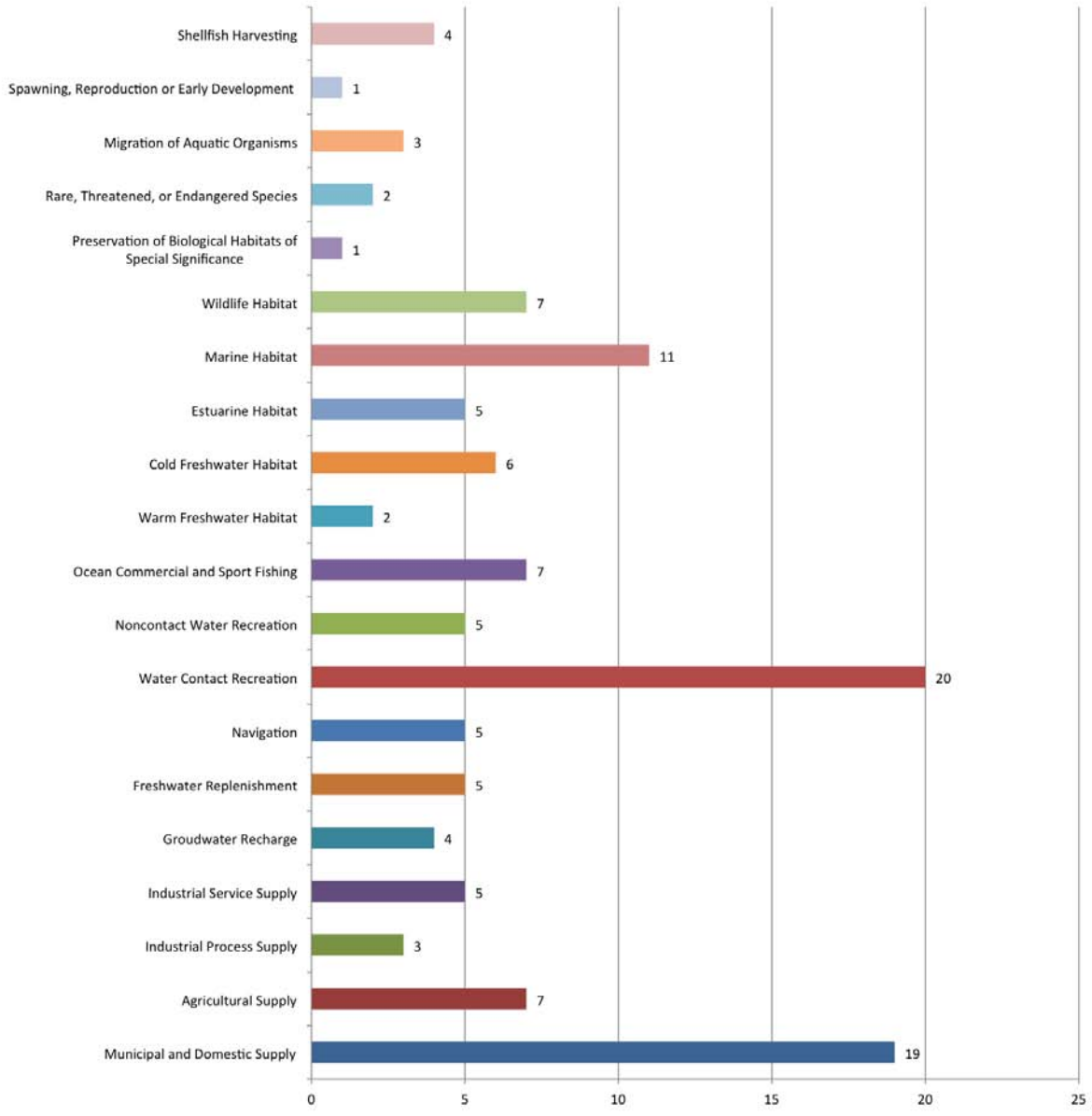
- Funded projects will treat approximately 750 million gallons per day (mgd) of wastewater.
- Funded projects will serve 8.2 million people statewide.
- Recipients received more than $304 million in CWSRF subsidy (the subsidy is the amount of funds saved by recipients due to the reduced interest rate and/or principal forgiveness on CWSRF financing).

B. CWSRF Projects Achieve Multiple Benefits

Each CWSRF project provides quantifiable water quality benefits in more than one way. Each project was evaluated to determine its water quality benefits. The funding provided for each water quality area in SFY 11/12 is shown on next page.

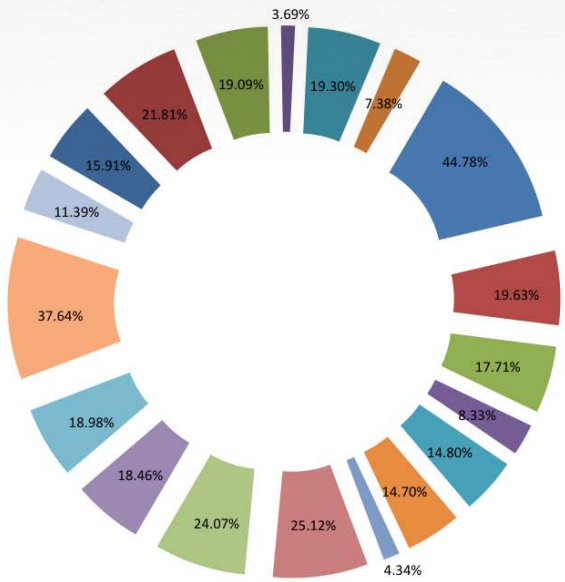
Figure 3 (below) provides a different view of the benefits provided by the CWSRF projects funded in SFY 11/12. Figure 3 shows how many projects addressed designated beneficial uses identified in state water quality control plans. Note that individual projects may have addressed multiple beneficial uses.

FIGURE 3: Number of Projects Addressing Different Beneficial Uses



Another way to display the large breadth of environmental benefits from CWSRF projects is shown in **Figure 4** (below). Figure 4 shows a breakdown of funding supporting different designated beneficial uses and other water quality benefits in comparison to all the funding provided by the CWSRF in SFY 11/12. As can be seen, the CWSRF in SFY 11/12 contributed broadly to support and protect many different environmental benefits.

FIGURE 4: Percentage of Funding Supporting all Uses and Benefits

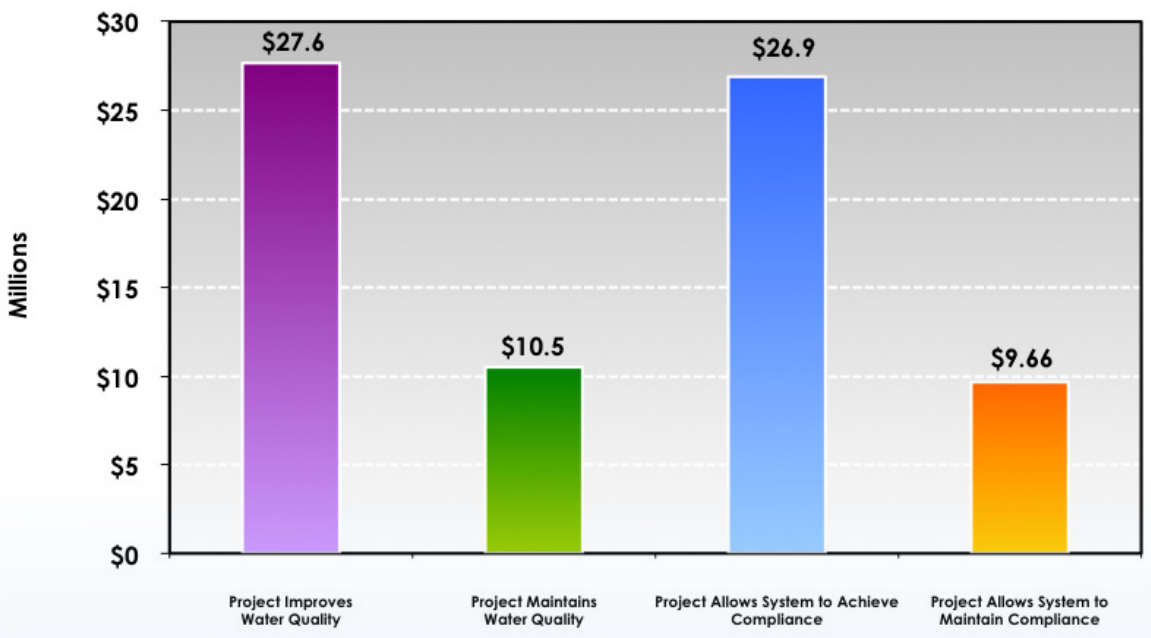


- 15.91% - Municipal and Domestic Supply
- 21.81% - Agricultural Supply
- 19.09% - Industrial Process Supply
- 3.69% - Industrial Service Supply
- 19.30% - Groundwater Recharge
- 7.38% - Freshwater Replenishment
- 44.78% - Water Contact Recreation
- 19.63% - Noncontact Water Recreation
- 17.71% - Warm Freshwater Habitat
- 8.33% - Cold Freshwater Habitat
- 14.80% - Marine Habitat
- 14.70% - Wildlife Habitat
- 4.34% - Migration of Aquatic Organisms
- 25.12% - Drinking Water Supply
- 24.07% - Groundwater Protection
- 18.46% - Industrial
- 18.98% - Infrastructure Improvement
- 37.64% - Water Reuse/Recycling/Conservation
- 11.39% - Other*

*Other includes: 0.51% - Navigation; 1.20% - Ocean Commercial and Sport Fishing; 2.80% - Estuarine Habitat; 0.29% - Preserv. of Biol. Habitats of Spec. Signif.; 1.58% - Rare, Threatened, or Endangered Species; 0.19% - Spawning, Reproduction or Early Development; 0.33% - Shellfish Harvesting; 1.01% - Other Public Health/Pathogen Reduction; 2.99% - Other; and 0.50% - Wetland Restoration.

Many of the water quality projects undertaken today are expensive and large. This reflects the level of assistance needed to continue to improve water quality. **Figure 5** (below) shows the average project cost for different project types. The ability of the CWSRF to fund such large projects is one of its greatest strengths. Many agencies would not be able to secure such large funding levels from one provider if the CWSRF were not available.

FIGURE 5: Average Project Amount by Water Quality Objective and Outcome



IV. Project Highlights

Highlights of Projects Funded by CWSRF in SFY 2011/2012

Region #1 Highlights

- City of Rio Dell ..... $ 13.4m

Region #2 Highlights

- City of San Leandro ..... $ 43m
- Sausalito-Marin City Sanitary District ..... $ 2.3m
- East Palo Alto Sanitary District ..... $ 1.7m
- North Marin Water District ..... $ 714k
- North Marin Water District ..... $ 1.5m
- North Marin Water District ..... $ 1.4m
- North Marin Water District ..... $ 357k
- North Marin Water District ..... $ 1.1m
- North Marin Water District ..... $ 2.7m
- North Marin Water District ..... $ 1.7m
- City of Sausalito ..... $ 1.1m
- South Bayside System Authority ..... $ 7.4m
- South Bayside System Authority ..... $ 36.3m

Region #3 Highlights

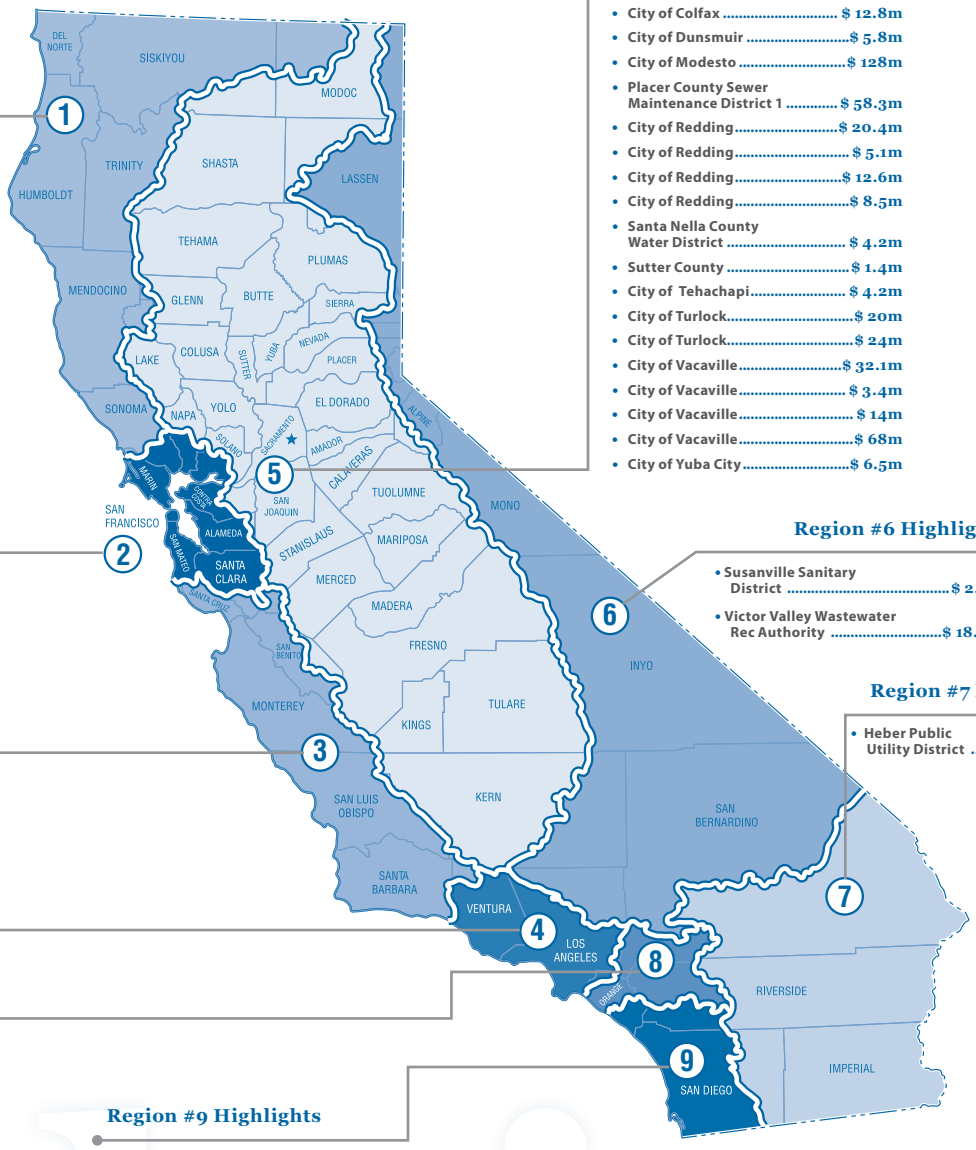
- City of Santa Barbara ..... $ 5.2m
- City of Santa Barbara ..... $ 1.6m

Region #4 Highlights

- City of Anaheim ..... $ 937k
- City of Anaheim ..... $ 374k
- City of Anaheim ..... $ 391k
- City of Anaheim ..... $ 923k
- City of Los Angeles ..... $ 3m

Region #8 Highlights

- Inland Empire Utilities Agency ..... $ 20.6m
- Orange County Water District ..... $ 137m
- Santa Ana Watershed Project Authority ..... $ 16.8m
- Eastern Municipal Water District ..... $ 5m



Region #5 Highlights

- Calaveras County Water District ..... $ 4.4m
- City of Colfax ..... $ 12.8m
- City of Dunsmuir ..... $ 5.8m
- City of Modesto ..... $ 128m
- Placer County Sewer Maintenance District 1 ..... $ 58.3m
- City of Redding ..... $ 20.4m
- City of Redding ..... $ 5.1m
- City of Redding ..... $ 12.6m
- City of Redding ..... $ 8.5m
- Santa Nella County Water District ..... $ 4.2m
- Sutter County ..... $ 1.4m
- City of Tehachapi ..... $ 4.2m
- City of Turlock ..... $ 20m
- City of Turlock ..... $ 24m
- City of Vacaville ..... $ 32.1m
- City of Vacaville ..... $ 3.4m
- City of Vacaville ..... $ 14m
- City of Vacaville ..... $ 68m
- City of Yuba City ..... $ 6.5m

Region #6 Highlights

- Susanville Sanitary District ..... $ 2.7m
- Victor Valley Wastewater Rec Authority ..... $ 18.5m

Region #7 Highlights

- Heber Public Utility District ..... //$10.9m

Region #9 Highlights

- City of Vista $3.8m
- City of Vista $5.5m
- City of San Diego $23.4m

48 Total Projects Funded: $785m

V. General Program Comments

During SFY 11/12, the CWSRF focused on its core activities – administering existing financing agreements, approving new financing agreements, and maintaining thorough financial and administrative oversight of the program. Although the State Water Board continued to administer ARRA funds during SFY 11/12, the level of effort associated with ARRA decreased significantly this past year. A significant number of ARRA projects were completed during SFY 11/12, and more will be completed during SFY 12/13. The State Water Board expects all ARRA projects will be completed no later than June 30, 2014.

State Water Board staff resumed its work during SFY 11/12 on streamlining and improving the application process and revamping the priority setting and project selection process. The goal of these efforts is to make the Program more efficient so that it supports both stakeholder and the State Water Board objectives. The State Water Board staff anticipates rolling out the new application process during SFY 12/13.

The State Water Board improved its feedback to applicants during SFY 12/13. The CWSRF initiated a new Web report that provides applicants with the status of their applications. In SFY 11/12, State Water Board also successfully transitioned from centralized to decentralized ARRA reporting, and began Federal Funding Accountability and Transparency Act (FFATA) reporting in January 2012.

The State Water Board continued to assist DACs. The State Water Board continues to collect financing servicing fees authorized by AB 2356 (Chap. 609, Statutes of 2008) on CWSRF agreements. The fees are deposited into the SCG Fund for grants to SDACs for wastewater projects. The total service charge collected during SFY 11/12 was $7.3 million (See Exhibit D). During SFY 11/12, $1 million from the AB 2356 grant fund was obligated to the City of Dunsmuir, a small, severely disadvantaged community. The Board is currently working with several applicants that potentially qualify for these grant funds, and anticipates obligating additional funds to SDACs during SFY 11/12. In addition, available principal forgiveness funds are provided to DACs, as directed by the Board in the approved IUP.

State Water Board's Cultural Resources Officer, Ms. Madeline Hirn, retired in June 2012. Our efforts to find a qualified replacement have not been successful this far, due to current classification restrictions. However, we have identified an Environmental Scientist in the Environmental Review Unit as the cultural resources coordinator, and are requesting that all applicants submit cultural resources reports that have been prepared by a qualified researcher that meets the Secretary of the Interior's Professional Qualifications Standards. State Water Board will use the processes outlined in the Operating Agreement (OA) and approved State Environmental Review Process (SERP) when reviewing project environmental documents, and coordinate and consult with designated federal agencies when necessary. State Water Board is in the process of updating its SERP, and will submit to the EPA for review and approval following the approval of the amended OA.

State Water Board staff continues to work with staff from the California Department of Public Health (CDPH), Department of Water Resources (DWR), United States Department of Agriculture (USDA), US EPA, and related agencies to identify opportunities to leverage resources, particularly for SDACs. This coordination is facilitated by the State Water Board's participation in the California Financing Coordinating Committee (CFCC) funding fairs. CFCC funding fairs were held during March, April, and May 2012, in San Diego, Riverside, Fresno, Santa Cruz, Redding, and Sacramento.

As part of a previous contract with RCAC, emphasizing training for SDACs, State Water Board staff utilized RCAC's online training platform to record a training session on the CWSRF application process. Although the RCAC contract expired

June 30, 2011, links to the recording of that training session, as well as other training materials prepared by RCAC, are still available. Links to those materials can be found on the Strategy Webpage; they provide an excellent resource, particularly for communities that are new to the CWSRF application process. Division staff intends to provide new and updated online training videos once the updated application process is released to the public.

Through a contract executed in November 2011, State Water Board staff is working with CRWA to provide technical assistance to SDACs. CRWA provides hands-on technical and financial expertise to help SDACs address their individual needs in the following areas that are commonly difficult for SDACs: preparation of financial assistance applications; design and operational solutions, including compliance assistance; community outreach, awareness, and education; fiscal management and accountability; capital improvement planning and asset management; rate setting and the Proposition 218 process.

The State Water Board is committed to community sustainability, and has taken an active role in exploring sustainable practices as seen by its adoption of Resolution Nos. 2005-0006 and 2008-0030. The State Water Board was selected in January 2010 for a Pilot Technical Assistance Program sponsored by US EPA. The Program is part of the Partnership for Sustainable Communities formed by the Department of Housing and Urban Development, the Department of Transportation, and US EPA. The pilot will help the CWSRF improve its policies and practices to produce more sustainable community outcomes, and build on California's history of coordinating CWSRF financing with other community objectives to achieve sustainable community goals. State Water Board staff worked with US EPA and its contractor throughout SFYs 10/11 and 11/12 on the pilot. Work on the project is complete, and staff received the final report from US EPA in August 2012. Division staff plans to recommend CWSRF Policy changes to the Board during SFY 12/13 based on the report prepared by US EPA.

Moreno Valley Project - Secondary Clarifier

VI. Index of Acronyms

COMMONLY USED ACRONYMS

ARRA
American Recovery and Reinvestment Act of 2009

ASAP
Automated Standard Application of Payments

CalMuni
California Municipal Securities, Inc.

CBR
CWSRF Benefits Reporting

CWA
Clean Water Act

CWEA
California Water Environment Association

CWNS
Clean Watersheds Needs Survey

CWSRF
Clean Water State Revolving Fund

DAC
Disadvantaged Community

DBE
Disadvantaged Business Enterprise

DWQ
Division of Water Quality

ETF
Extended Term Financing

FFATA
Federal Funding Accountability and Transparency Act

FFY
Federal Fiscal Year

FSR
Feasibility Study Report

FSRF
FFATA Subaward Reporting System

IUP
Intended Use Plan

LGTS
Loans and Grants Tracking System

MBE
Minority Owned Business Enterprise

MGD
Million Gallons per Day

MHI
Median Household Income

NIMS
National Information Management System

NMP
National Municipal Policy

NPS
Nonpoint Source

OA
Operating Agreement

OMBA
Office of Management and Budget

PMIB
Pooled Money Investment Board

RCAC
Rural Community Assistance Corporation

RCD
Resource Conservation Districts

Regional Water Boards
Regional Water Quality Control Boards

RFP
Request for Proposals

SAG
Stakeholder Advisory Group

SCG
Small Community Grant

SCO
State Controller's Office

SDAC
Small Disadvantaged Communities

SERP
State Environmental Review Process

SFY
State Fiscal Year

State Water Board
State Water Resources Control Board

US EPA
United States Environmental Agency

WBE
Women Owned Business Enterprise

WRFP
Water Recycling Funding Program

VII. EXHIBITS

Exhibit A:

DBE Report SFY 11/12

Exhibit B:

SFY 11/12 Projects Funded by Needs Category

Exhibit C:

SFY 11/12 Non-Funded Projects

Exhibit D:

SFY 11/12 List of All Projects with Financing Servicing Fees

Exhibit A

DBE REPORT

DBE ANNUAL REPORT				
		MBE	WBE	TOTAL
Semi-Annual ARRA	April - September 2011	$3,511,347.47	$590,968.77	$4,102,316.24
Semi-Annual Non-ARRA	April - September 2011	$1,651,475.77	$0.00	$1,651,475.77
Semi-Annual ARRA	October - March 2012	$2,158,495.13	$955,387.01	$3,113,882.14
Semi-Annual Non-ARRA	October - March 2012	$5,036,827.86	$650,039.59	$5,686,867.45
Cumulative Total		**$12,358,146.23**	**$2,196,395.37**	**$14,554,541.60**
TOTAL DISBURSEMENTS				**$217,330,763.54**
Percentage to Total Disbursements		5.69%	1.01%	6.70%

NOTE: Percentage of DBE participation is determined by taking the percentage of MBE and WBE as compared to the total disbursements for the Federal fiscal year for each category. Total Federal Disbursements equal $217,330,763.54. Total ARRA disbursements equal $120,018,815.22. DBE reports are collected semi-annually based on the Federal Fiscal Year.

VII. Exhibit B

SFY 11/12 PROJECTS FUNDED BY NEEDS CATEGORY

2011/2012 FUNDED PROJECTS BY NEEDS CATEGORY

Financial Assistance Recipient Name	Project Number	Agreement Date	Cat. I	Cat. II	Cat. IIIA	Cat. IIIB	Cat. IV-B	Cat. VII-L	Cat. X	Total Agreement Amount
Redding, City of	4971-230	07/22/11	$6,833,749	$1,708,437						$8,542,186
Redding, City of	4971-240	07/27/11		$20,457,000						$20,457,000
Santa Barbara, City of	5859-110	07/28/11	$5,200,000							$5,200,000
San Leandro, City of	7002-110	08/04/11	$43,000,000							$43,000,000
Sutter County	7732-110	08/04/11				$1,400,180				$1,400,180
Sausalito-Marin City Sanitary District	7032-110	08/15/11				$2,298,373				$2,298,373
Inland Empire Utilities Agency	5319-110	08/19/11							$20,608,638	$20,608,638
Anaheim, City of	7620-110	08/19/11				$937,464				$937,464
Anaheim, City of	7622-110	08/19/11				$374,383				$374,383
Anaheim, City of	7630-110	08/19/11				$391,337				$391,337
Anaheim, City of	7800-110	08/19/11				$923,344				$923,344
Vacaville, City of	4841-110	08/25/11		$32,162,246						$32,162,246
Orange County Water District	4463-110	08/30/11		$137,442,775						$137,442,775
Redding, City of	4971-260	09/07/11	$4,120,000	$1,030,000						$5,150,000
North Marin Water District	5211-110	09/21/11							$714,260	$714,260
North Marin Water District	5211-120	09/21/11							$1,529,037	$1,529,037
North Marin Water District	5211-130	09/21/11							$1,456,031	$1,456,031
North Marin Water District	5211-140	09/21/11							$356,606	$356,606
Heber Public Utility District	5302-110	09/30/11		$10,911,131						$10,911,131
Tehachapi, City of	5563-110	09/30/11	$4,242,060							$4,242,060
Santa Nella County Water District	7132-110	09/30/11	$4,293,750							$4,293,750
Modesto, City of	5175-210	10/04/11		$128,161,776						$128,161,776
East Palo Alto Sanitary District	5956-110	10/10/11				$1,700,000				$1,700,000
Colfax, City of	7806-110	10/10/11	$3,078,144	$7,823,616	$1,923,840					$12,825,600
Vacaville, City of	4841-120	10/12/11		$3,497,000						$3,497,000
Vacaville, City of	4841-140	10/12/11	$14,080,000							$14,080,000
Vacaville, City of	4841-130	10/21/11		$68,125,000						$68,125,000
Sausalito, City of	5354-110	10/26/11				$1,100,000				$1,100,000
Santa Ana Watershed Project Authority	5610-110	10/27/11				$16,850,337				$16,850,337
Calaveras County Water District	5249-110	12/30/11		$4,420,880						$4,420,880
Turlock, City of	5602-110	12/30/11					$20,000,000			$20,000,000
Vista, City of	5921-110	12/30/11				$3,878,370				$3,878,370
Yuba City, City of	7668-110	01/20/12		$6,500,000						$6,500,000
South Bayside System Authority	5216-110	02/01/12	$7,416,000							$7,416,000
Rio Dell, City of	7401-110	02/09/12	$13,424,895							$13,424,895
Los Angeles, City of	7055-110	03/06/12				$3,000,000				$3,000,000

Exhibit B ..... *continued*

SFY 11/12 PROJECTS FUNDED BY NEEDS CATEGORY

2011/2012 FUNDED PROJECTS BY NEEDS CATEGORY

Financial Assistance Recipient Name	Project Number	Agreement Date	Cat. I	Cat. II	Cat. IIIA	Cat. IIIB	Cat. IV-B	Cat. VII-L	Cat. X	Total Agreement Amount
Eastern Municipal Water District	7203-110	04/02/12						$5,000,000		$5,000,000
Turlock, City of	5256-110	04/04/12	$24,000,000							$24,000,000
Vista, City of	5698-110	04/17/12				$5,542,770				$5,542,770
Dunsmuir, City of	7820-110	04/27/12	$2,091,600	$1,975,400	$1,743,000					$5,810,000
North Marin Water District	7802-110	05/02/12							$1,134,040	$1,134,040
North Marin Water District	7802-120	05/02/12							$2,690,025	$2,690,025
North Marin Water District	7802-130	05/02/12							$1,656,675	$1,656,675
Placer County Sewer Maintenance District 1	5275-110	05/04/12	$46,700,835	$11,675,209						$58,376,044
South Bayside System Authority	5216-120	05/10/12	$36,300,000							$36,300,000
Santa Barbara, City of	6401-110	05/25/12	$1,600,000							$1,600,000
San Diego, City of	4905-110	06/05/12				$23,469,095				$23,469,095
Redding, City of	5380-110	06/06/12		$12,600,000						$12,600,000
TOTAL:	**48**		**$216,381,033**	**$448,490,470**	**$3,666,840**	**$61,865,653**	**$20,000,000**	**$5,000,000**	**$30,145,312**	**$785,549,308**

IUP - Intended Use Plan
NPS - Non point Source

NEED CATEGORIES (CAT.)
I - Secondary Treatment
II - Advance Treatment
III-A - Infiltration/Inflow Correction
III-B - Major Sewer System Rehabilitation
IV-A - New Collector Sewers
IV-B - New Interceptors and Appurtenances
VI - Storm Sewers
VII-A - NPS Agricultutal Cropland
VII-C - NPS Silviculture
VII-D - NPS Urban (Except Septic Systems)
VII-E - NPS Ground Water - Unknown Source
VII-F - NPS Marinas
VII-H - NPS Brownfields
VII-K - NPS Hydromodification
VII-L - NPS Septic Systems
X - Recycled Water Distribution

NOTE: In SFY 2011/12 there were 48 binding commitments totaling $785,549,308 based on final funding agreement amounts as of 8/9/2012. Additional adjustments made during the final funding agreement amendment process for CWSRF projects will be reflected in NIMS and CBR.

Exhibit C

SFY 11/12 NON-FUNDED PROJECTS

2011/2012 INTENDED USE PLAN PROJECTS LIST OF NON-FUNDED PROJECTS

Loan Recipient Name	Project Number	IUP Projected Amount	Priority Class	Reason For Delay	Project Type
SOUTH TAHOE PUBLIC UTILITY DISTRICT	5608-110	$5,599,964	C	2, 6	POTW
BANNING, CITY OF	5061-110	$13,200,000	C	2	POTW
VALLEY CENTER MWD	7454-110	$1,701,000	A	2	POTW
VALLEY CENTER MWD	7454-120	$9,464,500	A	2	POTW
VALLEY CENTER MWD	7454-130	$2,331,500	A	2	POTW
SAN CLEMENTE, CITY OF	4516-110	$13,649,920	C	2	POTW
FONTANA, CITY OF	5377-110	$5,200,000	C	6	POTW
FRESNO, COUNTY OF	5541-110	$2,465,000	D	2	POTW
VISALIA, CITY OF	7215-110	$110,000,000	C	2	POTW
GLENDORA, CITY OF	7502-110	$5,382,500	C	2, 4	POTW
IDYLLWILD WATER DISTRICT	7808-110	$1,000,000	C	2, 4	POTW
LOS ANGELES COUNTY SANITATION DISTRICT	4001-480	$14,905,554	B	2	POTW
LOS ANGELES COUNTY SANITATION DISTRICT	4001-560	$36,950,932	B	2	POTW
LOS ANGELES COUNTY SANITATION DISTRICT	4001-630	$7,063,817	C	5	POTW
LOS ANGELES COUNTY SANITATION DISTRICT	4001-640	$20,360,250	C	5	POTW
LOS ANGELES COUNTY SANITATION DISTRICT	4701-420	$10,349,687	B	2	POTW
PATTERSON, CITY OF	5814-110	$12,444,800	C	2, 6	POTW
SANTA CLARITA VALLEY SANITATION DISTRICT	7045-110	$4,750,000	D	2	POTW
TULELAKE, CITY OF	4930-110	$4,000,000	C	8	POTW
STOCKTON, CITY OF	7085-110	$3,250,000	D	2	POTW
YUBA CITY, CITY OF	7113-110	$7,700,000	C	8	POTW
EARLIMART PUBLIC UTILITY DISTRICT	7206-110	$952,600	D	8	POTW
DONNER SUMMIT PUBLIC UTILITIES DISTRICT	7670-110	$23,000,000	D	2	POTW
MORRO BAY, CITY OF	7756-110	$27,500,000	C	2	POTW
HOLTVILLE, CITY OF	7827-110	$4,100,000	A	2	POTW
HOLTVILLE, CITY OF	7828-110	$5,474,000	C	2	POTW
MISSION SPRINGS WATER DISTRICT	4250-310	$10,316,367	D	8	POTW
HI-DESERT WATER DISTRICT	5295-110	$125,000,000	A	2	POTW
MOKELUMNE HILL SANITARY DISTRICT	7821-110	$1,459,459	C	2	POTW
TUOLUMNE UTILITIES DISTRICT	4972-110	$4,600,000	C	6	POTW
ORANGE COVE, CITY OF	5039-110	$6,700,000	B	2	POTW
LAKE OROVILLE AREA PUBLIC UTILITY DISTRICT	5641-110	$3,646,000	D	6	POTW
PLANADA CSD	7649-110	$380,000	C	8	POTW
STRATFORD PUBLIC UTILITY DISTRICT	7767-110	$114,000	C	2	POTW
SAN DIEGO, CITY OF	4905-120	$7,200,000	D	2	POTW
SAN DIEGO, CITY OF	4905-130	$10,000,000	D	2	POTW

Exhibit C..... *continued*

SFY 11/12 NON-FUNDED PROJECTS

2011/2012 INTENDED USE PLAN PROJECTS LIST OF NON-FUNDED PROJECTS

Loan Recipient Name	Project Number	IUP Projected Amount	Priority Class	Reason For Delay	Project Type
MORRO BAY, OF THE BAY FOUNDATION	6701-110	$368,926	B	2	EXP USE
FRESNO COUNTY WATERWORKS DISTRICT NO. 38	7109-110	$500,000	D	1	POTW
EL CAJON, CITY OF	7612-110	$11,280,560	D	2	POTW
FALLBROOK PUBLIC UTILITIES DISTRICT	7613-110	$16,744,708	D	8	POTW
INLAND EMPIRE UTILITIES AGENCY	5318-110	$11,812,500	C	2	POTW
SOUTH COUNTY REGIONAL WASTEWATER AUTHORITY	5233-110	$100,000,000	C	6	POTW
SOUTH COUNTY REGIONAL WASTEWATER AUTHORITY	5233-140	$11,000,000	C	6	POTW
SAN FRANCISCO PUBLIC UTILITIES COMMISSION	5407-110	$574,797	B	5	POTW
SAN FRANCISCO PUBLIC UTILITIES COMMISSION	6310-110	$1,100,185	D	5	POTW
SAN MATEO COUNTY BURLINGAME HILLS SEWER MAINTENANCE DISTRICT	7810-110	$1,000,000	C	2	POTW
SAN MATEO COUNTY CRYSTAL SPRINGS SEWER MAINTENANCE DISTRICT	7811-110	$1,000,000	C	2	POTW
SAN MATEO COUNTY DEVONSHIRE SEWER MAINTENANCE DISTRICT	7813-110	$2,400,000	C	2	POTW
SAN JUAN BAUTISTA, CITY OF	7819-110	$140,000	C	6	POTW
RIO ALTO WATER DISTRICT	7823-110	$65,000	C	2	POTW
GRATON COMMUNITY SERVICES DISTRICT	4986-110	$6,000,000	D	8	POTW
WILLOWS, CITY OF	5535-110	$1,860,000	D	2	POTW
RIO VISTA, CITY OF	5717-110	$4,500,000	D	2	POTW
MADAERA, COUNTY OF	7489-110	$2,500,000	C	2	POTW
THERMALITO WATER AND SEWER DISTRICT	7646-110	$2,687,000	B	2	POTW
AMADOR WATER AGENCY	4966-110/SCG-907	$8,000,000	C	2	POTW
VISTA, CITY OF	5696-110	$2,021,400	D	2	POTW
VISTA, CITY OF	5700-110	$7,524,344	D	2	POTW
VISTA, CITY OF	6110-110	$973,349	D	2	EXP USE
SOUTH BAYSIDE SYSTEM AUTHORITY	5216-130	$58,000,000	C	2	POTW
MONTEREY, CITY OF	5228-110	$16,800,000	D	2	POTW
CHANNEL ISLANDS BEACH COMMUNITIES SERVICE DISTRICT	7446-110	$1,845,000	E	2	POTW
LA MESA, CITY OF	7822-110	$20,000,000	C	2, 4	POTW
LA MESA, CITY OF	7824-110	$5,000,000	C	2, 4	POTW
TOTAL:	**64**	**$817,909,619**			

Reason for Delay:

1. Change to the project's scope or objectives
2. Application requires additional studies, more documents, and/or more hearings
3. Changes in design
4. Delays in the bidding process
5. N/A- financed with other (non-CWSRF) financing
6. N/A- application withdrawn
7. N/A - funded as part of another CWSRF financing agreement
8. N/A - CWSRF financing agreement is pending.

VII. Exhibit D

SFY 11/12 LIST OF PROJECTS WITH FINANCING SERVICING FEES

LIST OF ALL PROJECTS WITH FINANCING SERVICING FEES

FEE FUND: Small Community Grant

Contract Number	Project Number	Party
00-808	4521-110	Riverbank, City of
07-810	5051-110	Reedley, City of
07-812	4699-110	Crescent City, City of
07-828	4438-110	Colusa, City of
07-829	5085-110	Union Sanitary District
08-804	4729-130	La Mesa, City of
08-813	5055-110	Patterson, City of
08-814	4352-110	Lake Arrowhead Community Services Dist.
08-815	4680-110	Ventura, County of
08-817	4148-110	Rosamond Community Services Dist
08-838	5139-110	Hughson, City of
08-854	4729-140	La Mesa, City of
09-850	4688-110	Oakdale, City of
09-856	5043-110	Galt, City of

FEE FUND: Small Community Grant and Administrative Services

Contract Number	Project Number	Party
00-805	4596-110	Hilmar County Water District
00-806	4685-110	Sacramento, City of
00-815	4465-110	Yreka, City of
00-816	4062-140	Santa Rosa, City of
00-819	4086-110	Lake County Sanitation District
01-802	4173-110	Laguna County Sanitation District
01-804	4655-110	Piedmont, City of
01-815	4771-110	Union Sanitary District
01-816	4684-110	Ventura, County of
01-817	4062-240	Santa Rosa, City of
01-821	4800-110	Redlands, City of
01-825	4790-110	Vallejo Sanitation & Flood Dist.
02-804	4252-410	La Canada Flintridge, City of
02-809	4846-130	Inland Empire Utilities Agency

Exhibit D ..... *continued*

SFY 11/12 LIST OF PROJECTS WITH FINANCING SERVICING FEES

LIST OF ALL PROJECTS WITH FINANCING SERVICING FEES

FEE FUND: Small Community Grant and Administrative Services ..... *Continued*

Contract Number	Project Number	Party
02-810	4772-110	Burlingame, City of
02-811	6061-120	Napa, County Of, Flood Control and Water
02-816	4801-110	North San Mateo County Sanitation District
02-817	4655-120	Piedmont, City of
02-818	4307-110	San Luis Obispo, City of
02-823	4007-610	Alameda, City of
02-824	4728-110	South San Francisco, City of
03-801	4695-110	Escondido, City of
03-811	4655-130	Piedmont, City of
03-848	4783-310	Los Angeles County Sanitation District
05-808	4844-110	North Marin Water District
06-801	4823-110	Sonoma Valley County Sanitation District
06-802	6090-110	The Conservation Fund
06-806	4969-110	Nevada County Sanitation District #1
07-813	5053-110	Union Sanitary District
07-817	6093-110	St Helena, City of
07-835	4790-120	Vallejo Sanitation & Flood Dist.
07-836	5045-110	Union Sanitary District
98-811	4470-110	Colfax, City of
98-811	6050-110	Merced, County of
98-816	4429-110	Thousand Oaks, City of
98-817	4001-260	Los Angeles County Sanitation District
98-826	6026-110	South Lake Tahoe, City of
98-828	6061-110	Napa, County Of, Flood Control and Water
99-830	4452-140	Santa Ana Watershed Project Authority
99-831	4653-110	Sacramento, City of

Exhibit D ..... *continued*

SFY 11/12 LIST OF PROJECTS WITH FINANCING SERVICING FEES

LIST OF ALL PROJECTS WITH FINANCING SERVICING FEES

FEE FUND: Administrative Services

Contract Number	Project Number	Party
00-801	4610-120	Vacaville, City of
00-802	4665-110	Stege Sanitary District
00-804	4486-110	Templeton Community Services District
00-809	4708-110	Redding, City of
00-818	4062-220	Santa Rosa, City of
00-825	4062-170	Santa Rosa, City of
00-831	4062-250	Santa Rosa, City of
01-803	4053-110	McCloud Community Services District
01-810	4062-160	Santa Rosa, City of
01-811	4062-230	Santa Rosa, City of
01-813	6036-110	Santa Cruz, County of
01-814	4062-150	Santa Rosa, City of
02-821	4812-110	Napa Sanitation District
02-825	4658-110	Victor Valley Wastewater Rec Authority
02-826	4845-110	Santa Margarita Water District
02-827	4802-110	Corona, City of
03-804	4657-110	Tahoe-Truckee Sanitation Agency
03-806	4528-210	Benicia, City of
03-846	4783-110	Los Angeles County Sanitation District
03-847	4783-210	Los Angeles County Sanitation District
04-802	6085-110	The Nature Conservancy
04-814	4450-110	Coachella Sanitary District
04-815	4252-510	La Canada Flintridge, City of
05-803	4693-110	Petaluma, City of
05-809	4665-210	Stege Sanitary District
05-810	4200-110	Yucaipa Valley Water District
05-811	4729-110	La Mesa, City of
06-803	4971-110	Redding, City of
07-815	4632-110	Alturas, City of
07-816	4728-120	South San Francisco, City of
07-818	4729-120	La Mesa, City of
07-819	4971-210	Redding, City of
07-825	4303-110	East Bay Municipal Utility District

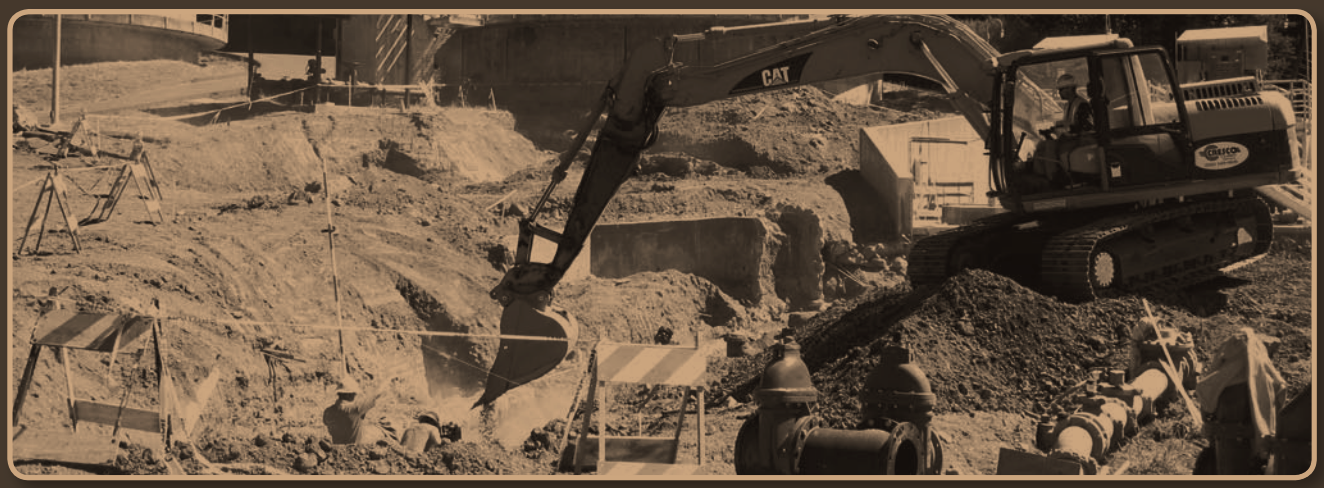
Exhibit D ..... *continued*

SFY 11/12 LIST OF PROJECTS WITH FINANCING SERVICING FEES

LIST OF ALL PROJECTS WITH FINANCING SERVICING FEES

Fee Fund: Administrative Services ..... *Continued*

Contract Number	Project Number	Party
08-816	4916-110	Los Angeles County Sanitation District
93-805	6006-110	Davis, City of
93-810	6022-110	Pacheco Water District
93-819	4330-110	Goleta Sanitary District
94-806	4108-110	Cambria Community Services District
96-805	6014-110	San Luis Water District
96-820	4360-110	Davis, City of
97-804	4001-220	Los Angeles County Sanitation District
97-809	4505-110	Placerville, City of
97-813	6031-110	Mammoth Lakes, Town of
97-814	4648-110	Rialto, City of
97-817	4251-110	Colton, City of
97-827	4614-110	South San Francisco, City of
98-813	4262-110	Humboldt County Res. Imp. Dist. 1
98-818	4001-250	Los Angeles County Sanitation District
98-837	4452-110	Santa Ana Watershed Project Authority
99-802	4704-110	Windsor, Town of
99-805	4610-110	Vacaville, City of
99-807	4679-110	Los Angeles, County of
99-811	4429-120	Thousand Oaks, City of
99-819	4666-110	American Canyon, City of
99-829	4616-110	Calistoga, City of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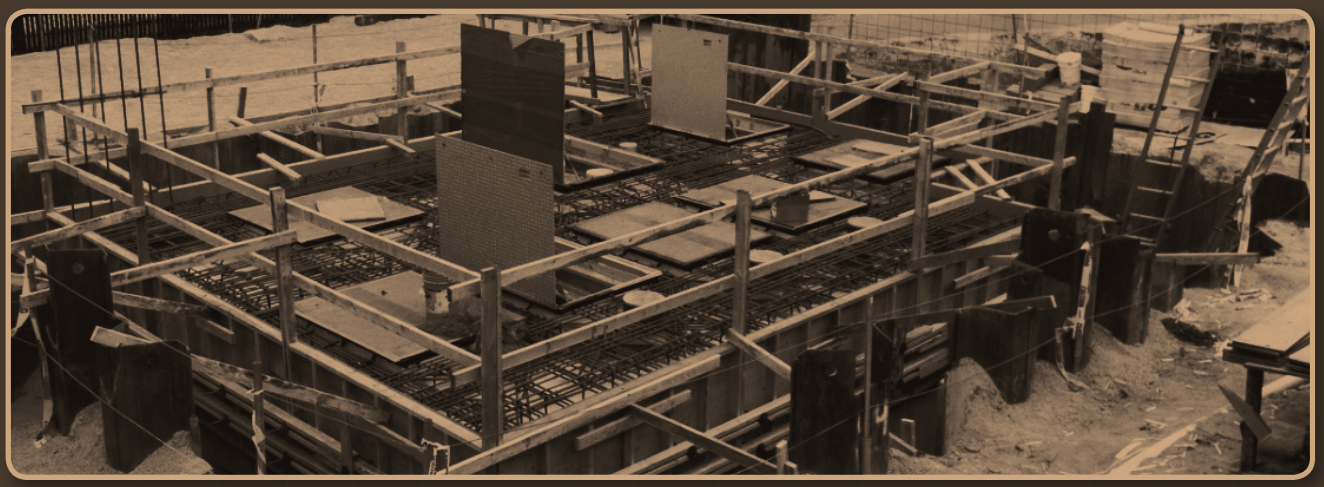

Members & Executive Director

STATE WATER RESOURCES CONTROL BOARD

Charles R. Hoppin
BOARD CHAIR

Charles (Charlie) R. Hoppin of Yuba City is chair of the State Water Resources Control Board and fills the position of water quality expert. He is a partner in a family operated diversified farming operation in Yolo and Sutter counties. Charlie serves on the California State University Advisory Committee, and on the Board of Directors of Farmers Rice Cooperative. He is a graduate of Woodland High School and California State University Chico, and is a member of the Chico State Agricultural Advisory Council.

Frances Spivy-Weber
BOARD VICE-CHAIR

Frances Spivy-Weber of Redondo Beach is vice-chair of the State Water Resources Control Board. Before being appointed to the Board, she served as the executive director of the Mono Lake Committee. She also served as the director of international programs for the National Audubon Society, was a legislative assistant for the Animal Welfare Institute, and a member of the Bay-Delta Public Advisory Committee. She has a Masters degree from the Johns Hopkins University School of Advanced International Studies and a Bachelors degree from the University of Texas.

Tom Howard
EXECUTIVE DIRECTOR

Thomas Howard has been employed with the State Water Resources Control Board for over 26 years. During that time, Mr. Howard has worked in many of the water quality and water rights programs at the Board. He was appointed Deputy Director at the Board in October 2000 and Executive Director in August 2010.

Mr. Howard earned a bachelor's degree in chemistry at U.C. Berkeley, a master's degree in chemical engineering at U.C. Davis, and a master's degree in chemistry at the California Institute of Technology.

Tam M. Doduc
BOARD MEMBER

Tam Doduc serves as the civil engineer on the State Water Resources Control Board. Before being appointed to the Water Board, Doduc served as Deputy Secretary at the California Environmental Protection Agency (Cal/EPA)., A licensed civil engineer, Ms. Doduc earned a Bachelor of Science in BioEngineering from the University of California at Berkeley, and a Master of Science in Civil Engineering from the California State University in Sacramento. She also earned a Master of Business Administration from the University of California at Berkeley.

Steven Moore
BOARD MEMBER

Steven Moore is the professional engineer on the Board. Before joining the Water Board he was a civil engineer in Marin County. He has worked more than 20 years on water issues as a consultant, and as both staff and a Board Member with the San Francisco Bay Regional Water Board. He served on the Federal Aquatic Nuisance Species Task Force from 2002 to 2006. Mr. Moore was actively involved in the 2007 update of the San Francisco Bay Estuary's Comprehensive Conservation and Management Plan.

Felicia Marcus
BOARD MEMBER

Felicia Marcus is the attorney member on the Board. Before her appointment to the Water Board, she was Western Director for the Natural Resources Defense Council (NRDC). Prior to joining NRDC, she served as Executive VP/COO of the Trust for Public Land, a national non-profit devoted to conserving land for people. She also served as the Regional Administrator of the U.S. EPA Region IX in the Clinton Administration and, prior to that, she headed the Los Angeles' Department of Public Works.

2012

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CALIFORNIA
Water Boards

STATE WATER RESOURCES CONTROL BOARD
REGIONAL WATER QUALITY CONTROL BOARDS

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STATE WATER RESOURCES CONTROL BOARD
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