

## Financial Assistance Application

### Type of Assistance Requested

- A. Clean Water State Revolving Fund Program (CWSRF)
  B. Water Recycling Funding Program (WRFP)
  C. Small Communities Wastewater Grant Program (SCWG)

Amount of Assistance Requested: \$ \_\_\_\_\_

State Assigned Project No.:

### I. Applicant Information

**Agency Name:** \_\_\_\_\_  
**Street Address:** \_\_\_\_\_  
**Mailing Address:** \_\_\_\_\_  
**e-mail:** \_\_\_\_\_ **County:** \_\_\_\_\_ **Federal ID Number:** \_\_\_\_\_  
**Authorized Representative, Title:** \_\_\_\_\_ **Phone:** \_\_\_\_\_  
**Contact Person, Title:** \_\_\_\_\_ **Phone:** \_\_\_\_\_

### II. Project Information

1. **Project Description:** (Attach a brief description. Label as Attachment 1) \_\_\_\_\_  
 2. **Project Name:** \_\_\_\_\_  
 3. **Regional Water Quality Control Board:** \_\_\_\_\_ 4. **Est.** \_\_\_\_\_

**Construction Start Date:** \_\_\_\_\_

5. **Current Project Status:**  Planning Underway  Planning Complete  Other \_\_\_\_\_

6. **Estimated Project Capital Costs and Funding Summary:**

Cost Classification	SWRCB Program Share, \$	Applicant's Share, \$	Other Loans or Grants, etc., \$	Total, \$
A. Facilities Construction				
B. Facilities Planning (a, b)				
C. Facilities Design (a)				
D. Administration and Legal (a)				
E. Land and Right-of-Way	Not Fundable			
F. Prime Engineering (a, b)				
G. Contingencies				
H. Relocation Payments (a, b)				
I. Engineering Services During Const. (a)				
J. Other Costs (Explain)				
K. Total Capital Costs				
L. Additional Cash Flow Needs (c)	Not Fundable			
M. Total Funding Requirements				

- (a) An allowance may be provided for planning, design, legal, engineering during construction, relocation payments, and administration costs. For details, please refer to the guidelines of the corresponding program.  
 (b) CWSRF Program and SCWG Program only.  
 (c) This is the amount in excess of the total capital costs needed to cover cash flow requirements during construction. This amount is obtained from the cash flow analysis in the Construction Financing Plan.

All costs in Item 6 above are adjusted to the following date: \_\_\_\_\_ by using the following rate of inflation \_\_\_\_\_ % annually, or cost index: (name) \_\_\_\_\_, (index value) \_\_\_\_\_

7. **Sources of Funds for Capital Costs and Estimated Disbursement Projections:**

Source	(e)	Amount, \$	
A. State Funds Requested			(e) Attach the Estimated Annual Disbursement Schedule (label as Attachment 2A). See instructions doc.
B. Grant Requested			(f) Specify type of bonds, provide date of voter approval, total amt. of authorized issue, and effective interest rate.
C. Cash Reserves Now on Deposit			(g) Specify type of tax and provide the amount to be received by the date of the expected state funds award.
D. Bonds	(f)		(h) Provide details of legal authorization, cite appropriate code or other legal reference, specific source of funds, time of expected receipt and, in the case of liabilities, the security provided by the Applicant.
E. Tax Levies	(g)		(i) Provide name of program and law authorizing program, whether grant or loan, date of approval, schedule of payments, and effective interest rate for loan.
F. Non-cash	(h)		(j) This total should equal the Total in item 6.M. above.
G. Short Term Loans or Notes	(h)		(k) Use attachments to fully explain sources of funds for Capital Costs, if needed (label as Attachment 2B).
H. Other State Financing or Grants	(i)		
I. Other Federal Grants or Loans	(h)		
J. Other			
K. Total	(j)		

**III. Authorization and Other Approvals (All Projects with exceptions noted below)**

1. **Legal Authority:** Submit a legal opinion, including legal citations, addressing the following issues (label as Attachment 3):
  1. The legal authority to enter into a financing agreement with the State Water Resources Control Board
  2. Any requirements that the applicant hold an election before entering into a financing agreement contract with the State Water Resources Control Board. If an election is required, state the date held or the date scheduled: \_\_\_\_\_
2. **Applicant Authorization:** Submit a certified copy of a resolution adopted by the governing body (label as Attachment 4A). A model resolution is given in the application instructions for your reference.
3. **Water Rights:** To comply with Sections 1210 through 1212 of the Water Code, a Petition for Change may be required to be filed and approved by the Division of Water Rights, State Water Resources Control Board.  
 Have you filed a petition with the Division of Water Rights?  Yes  No  
 Applicant must submit a written determination from the Division of Water Rights regarding whether a petition must be filed or no further action is required (label as Attachment 4B).  
 If no, explain: \_\_\_\_\_  
 Please contact the Division of Water Rights, Petition Unit, at (916) 341-5363 for further information.
4. **Project Report or Facilities Planning Document:** Submit a completed facilities planning document and any supplementary documents that contain the required facilities planning information described in each of the program guidelines (label as Attachment 5).
5. **Environmental Review:** Refer to the Division of Financial Assistance *Environmental Review Process Guidelines for State Loan Applicants* for details on meeting state environmental review requirements and for additional CWSRF Federal requirements. Submit all available environmental documents for your project (label as Attachment 6). Indicate below those documents submitted (one copy of each document needed with the initial application):
 

Negative Declaration     
  Draft EIR     
  Final EIR     
  Notice of Determination

 State Clearinghouse Number: \_\_\_\_\_
6. **Credit Review Package (except SCWG):** Submit a Credit Review Package (label as Attachment 7) as specified in the application instructions Credit Review Checklist. For Program specific information, please refer to the respective program guidelines.
7. **Project Schedule:** Submit a project schedule showing project milestone dates (label as Attachment 8). This schedule should be updated periodically as more information becomes available. All WRFP projects must submit a construction finance plan, lease refer to the WRFP Guidelines.
8. **Regional Board Requirements:** Submit adopted or tentative Waste Discharge Requirements, Water Reclamation Requirements, and/or NPDES Permit which the Regional Board has adopted or proposed for the project (label as Attachment 9).
9. **Real Property Acquisitions:** Has all necessary land or right-of-way been acquired?  Yes  No  
 If no, submit status of acquisitions (label as Attachment 10A).

10. **Agreements with Other Parties:** Please list all agreements and approvals needed for implementation of the project. Submit and explain status of said agreements and approvals (label as Attachment 10B).
11. **Tax Questionnaire (except SCWG):** Please complete and submit the Tax Questionnaire with the application (label as Attachment 10C).
12. **Water Conservation Plan:** Prior to approval of the project by the State Water Resources Control Board, specific Water Conservation requirements must be achieved. In fulfillment of these requirements, please indicate below what pertinent information you are submitting (label as Attachment 11).
  - Proof of signed Memorandum of Understanding with the California Urban Water Conservation Council.
  - Copy of the developed Water Conservation Program for approval by the State Water Resources Control Board.
  - None at this time. Please explain: \_\_\_\_\_
13. **Applicant's Authority on Property Access to Construct Project:** A legal description of the site on which the project is to be constructed and an opinion signed by competent title counsel describing the interest the applicant has in the site, including information as to any easements and rights-of-way and certifying that the estate or interest is legal and valid. The opinion should also include information as to whether or not:
  - The applicant (or the present owner if fee simple title has not been or is not to be acquired) has good and valid title to the entire site (excluding easements and rights-of-way) free and clear of any pre-existing mortgages, deeds of trust, liens or other encumbrances, which would affect the value or usefulness of the site for the purpose intended;
  - Any deeds or documents required to be recorded in order to protect the title of the owner and the interest of the applicant have been duly recorded or filed for record whenever necessary; and
  - The applicant has complied with the requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (42 U.S.C. 4601). (label as Attachment 12)
14. **Urban Water Management Plan (UWMP):** If you are a water supplier to more than 3,000 customers or supplying more than 3,000 acre-feet annually you are required to submit an UWMP to the Dept. of Water Resources (DWR). Please submit documentation showing that the UWMP has been submitted to the DWR (label as Attachment 13).

#### IV. Other Submittals (Program specific information required noted below)

##### A – Clean Water State Revolving Fund Program Projects

1. **Dedicated Source of Revenue (for CWSRF or WREF loans):** A “Dedicated Source of Revenue” is required to repay the financing agreement. See revenue program requirements included in the *Policy for Implementing the Clean Water State Revolving Fund for Construction of Wastewater Treatment Facilities*. Please attach appropriate resolution or ordinance or indicate schedule to provide dedicated source of revenue (label as Attachment 14). A Dedicated Source of Revenue must be approved before a financing agreement can be issued.
2. **Certification of Compliance with Federal Laws and Authorities:** (label as Attachment 15)
3. **Preaward Compliance Report:** (label as Attachment 16)
4. **Reimbursement Resolution:** Please complete and submit the Reimbursement Resolution (label as Attachment 17).
5. **General Plan Certification:** Please complete and submit the General Plan Certification (label as Attachment 18).
6. **Schedule of System Obligations (SSO):** Please submit a SSO (See application instructions) and a letter from the Agency’s bond counsel (in certain circumstances local counsel will be adequate) addressing any conditions or prohibitions for the Agency’s wastewater entity existing debts that would affect the ability of the Agency’s wastewater entity to enter into and meet its obligations under the CWSRF financing agreement. Also, the Agency will need to submit a letter from the Agency’s bond counsel (in certain circumstances local counsel will be adequate) addressing any conditions or prohibitions in existing debt (except other CWSRF debts) that would affect the ability of the Agency to enter into and meet its obligations under the CWSRF financing agreement. Debts addressed by counsel should match those listed in the SSO. If the applicant does not have other debts (except other CWSRF debts), the Agency’s Authorized Representative must provide a letter stating this. The Agency’s SSO will include: name of lender; title of debt, debt term, interest rate, total debt amount; remaining debt balance; and debt end date. For all debts other than existing CWSRF debts, include maturity schedules and debt instruments (bond documents, loan agreements, etc.) on a CD. All information submitted will be reviewed by SWRCB legal staff for compliance with CWSRF Program requirements. (label as Attachment 19)

**B - Water Reclamation Projects (CWSRF or WRFP)**

This section applies to water reclamation projects for the purpose of providing water supply rather than water pollution control or wastewater disposal. For water reclamation projects funded by the CWSRF, the documents required under section IV.A. must also be submitted.

1. **Estimated Annual Costs:**

Cost Classification	Annual Costs, \$	
	First Year	Fifth Year
Debt Service		
Fixed Operation and Maintenance Cost		
Variable Operation and Maintenance Cost		
Other (explain)		
Total Annual Costs		

Assumed Date of Costs for:  
First Year of Operation: \_\_\_\_\_  
Fifth Year of Operation: \_\_\_\_\_

Assumed Cost Index or Rate of Inflation: Index Name: \_\_\_\_\_ Index Value: \_\_\_\_\_ or  
Inflation Rate: \_\_\_\_\_ % per yr.

2. **Annual Deliveries:**

Year of Operation	1	2	3	4	5
No. of Sites					
Amount, Ac-ft/yr					

3. **Reclaimed Water User Assurances:** Please indicate method of providing user assurances.

- User Agreements       Mandatory Use Ordinance

Refer to Water Recycling Funding Guidelines for latest requirements and timing of submittals (label as Attachment 20).

**V. Notes or Explanations:**

3/2008 L:\FacPlan\SRF\+SRFAPP.doc

**VI. Certification and Signature of Authorized Representative**

I certify that the information in this application, including all attachments, is true and correct to the best of my knowledge and belief. I understand that updated information will be required to be submitted later.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Printed Name: \_\_\_\_\_