

# State Water Resources Control Board

## Division of Financial Assistance (Division)

### Clean Water State Revolving Fund Approval-of-Award (AOA) Request

Note: The Division recommends (but does NOT require) that the construction contract be awarded after AOA is developed by the Division. The applicant should submit this form and ALL attachments as soon as possible after the bid opening. Prompt submission will provide Division staff sufficient time to review the AOA Request. The AOA Request includes information to fulfill all State requirements.

1. Agency Name and Address	State Assigned Project No. C-06-
2. Have any protests regarding award of the construction contracts been received? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, give date protests were resolved: _____ Attach copies of the protests and resolutions. Contractor Debarred? <input type="checkbox"/> Yes <input type="checkbox"/> No (Debarment of Contractor prevents CWSRF funding participation: <a href="http://www.epls.gov">www.epls.gov</a> )	

3. CWSRF Financing Requested	Actual Project Costs
A. Construction Cost (listed by name of prime contractor or vendor):	
1.	\$
2.	\$
3.	\$
B. Allowances (Soft Costs):	
1. Planning	\$
2. Design	\$
3. Construction	\$
4. Administration	\$
Was VE Performed? <input type="checkbox"/> Yes <input type="checkbox"/> No      5. Value Engineering (VE)	\$
C. Allowance Subtotal	\$
D. Total Costs (Sum of 3A + 3C)	\$

4. Total Financing Summary	
A. Total Project Cost	\$
B. Agency's Share: Is this a Local Match CWSRF financing? <input type="checkbox"/> Yes <input type="checkbox"/> No	
C. Agency's Cash	\$
D. Agency's General Obligation or Revenue Bonds	\$
E. Agency's Short term loans or notes	\$
F. Agency's Grants	\$
G. Agency's Other Funds, Identify:	\$
H. CWSRF Financing	\$
I. Additional Financing Needed to Complete Project	\$

5. Final Completion of Construction Date \_\_\_\_\_ Final Project Completion (Initiation of Operation) Date \_\_\_\_\_

6. Also, attach the information requested on page 2.

The undersigned Authorized Representative of the applicant certifies that the information contained above and in attached statements and material in support thereof, are true and correct. In addition, the undersigned Authorized Representative of the applicant certifies that the applicant has completed or will comply with all applicable State laws.

Signature of Authorized Representative	Date
Name, Title, and Phone Number of Representative (type or print)	

## AOA Request Instructions

6 (Cont.). The recipient must attach the following information to the Approval-of-Award Request (if not previously submitted):

- A. As advertised Plans & Specification (P&S) stamped by a Professional Engineer and all Addenda.
- B. Proof that last wastewater rate increase met Proposition 218 requirements. See Item N, i), "Rate Increase" below.
- C. Final appropriate Waste Discharge Requirements (WDR) or updated WDR, if applicable.
- D. Updated monthly CWSRF funds disbursement projection.
- E. Tabulation of all bids or proposals received.
- F. Copy of the bid proposal(s) selected.
- G. Evidence of advertising (submit a copy of newspaper advertisement for the project).
- H. All Disadvantaged Business Enterprise (DBE) documentation, which includes forms 1 through 6 and documentation that the local Small Business Administration and/or Minority Business Development Agency centers were contacted fifteen working days prior to bid opening, if applicable.
- I. A copy of any Notice(s) to Proceed and/or purchase order(s), if applicable.
- J. Copy of the signed construction contract, if applicable (if not done yet then submit after contract awarded).
- K. For design-build projects only, final Request for Proposal (RFP) from all pre-qualified bidders, final bid proposal selected, and related documentation to show the bid selection process was in accordance with design-build requirements in *The Policy for Implementing the Clean Water State Revolving Fund for Construction of Wastewater Treatment Facilities*.
- L. Value Engineering (VE) Study with recommendations and responses, if applicable.
- M. Applicant's proposed Project Performance Standards, if applicant chooses to develop. If not included in the AOA submittal, the Division will develop the Project Performance Standards.
- N. If applicable, items required by conditions in the Preliminary Funding Commitment (PFC) or the CWSRF conditioned Financing Agreement (Exhibit D), if not previously submitted, may include.
  - i) Rate Increase: Resolution adopting rates, Proposition 218 compliance (date of rate setting, evidence of rate increase noticing and date), percentage of protests received (X.X%), supplemental credit review.
  - ii) Access and Ownership of Land: Certification by the recipient or recipient's Attorney stating that such rights exist, the types of rights, and to what portions of the land a particular right applies. The Division may request additional documentation to substantiate certification.
  - iii) Other: Any additional items conditioned by the PFC or Initial Financing Agreement.

Send the AOA package to your assigned Project Manager at:

State Water Resources Control Board  
Division of Financial Assistance  
ATTN: Project Manager  
1001 I Street, Sacramento, CA 95814

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