

DRINKING WATER ENVIRONMENTAL APPLICATION PACKAGE INSTRUCTIONS (CONSTRUCTION – TIER I)

This Environmental Application Package is required for projects undergoing a Tier I (i.e., “equivalency”) review under the current Drinking Water State Revolving Fund (DWSRF) **Intended Use Plan**. For additional information on the DW SRF Tier I environmental review process and requirements, visit the Environmental Section’s Webpage at [DFA Environmental Review](#). The DW SRF Intended Use Plan can be found here: https://www.waterboards.ca.gov/drinking_water/services/funding/DWSRFIUP.html

If you are not certain whether to complete this Tier I Environmental Application Package or the Tier II Environmental Application Package, contact the assigned State Water Resources Control Board (State Water Board) Project Manager. If a Project Manager has not been assigned to the project, contact the State Water Board, Division of Financial Assistance [DrinkingWaterSRF@waterboards.ca.gov; (916) 327-9978].

I. GENERAL INFORMATION

Applicant (entity) name: Enter the full name of the entity that will be the legal signatory to a financing agreement.

Project title: Enter the title of the project.

Environmental documents prepared by (e.g., consultant, city, etc.): Provide the name of the environmental consulting firm, company, entity, or public agency that prepared the environmental document(s).

Environmental contact (e.g., consultant, city, or county staff, etc.): Provide the name of a person that prepared the environmental documents for the project, and/or is knowledgeable about the environmental documents. A State Water Board Environmental Scientist may need to coordinate with this contact person during the environmental review process.

Contact email: Provide an email for the listed environmental contact.

Contact phone: Provide a phone number for the listed environmental contact.

Project description: Provide a description of all anticipated construction activities or indicate where this information may be found.

List and describe all environmental permits, approvals, and/or certifications required for the project: Identify any permits, approvals, and/or certifications that are required for the project. Permits, approvals, and certifications include those issued by local, state, and federal agencies, such as a California Department of Fish and Wildlife (CDFW) Lake and Streambed Alteration Agreement,

Clean Water Act (CWA), Sections 404 Permit and 401 Certification, a Coastal Development permit, etc.

NOTE: Any project, regardless of funding, must obtain approval for any temporary or permanent disturbance to federal and state waters. The CWA, Sections 404 and 401 require consultation with the United States Army Corps of Engineers (USACE) and the Regional Water Quality Control Board(s) (RWQCB), if a project may result in the discharge of dredged or fill material into waters of the United States, including wetlands. The CWA, Section 404 Permit process through the USACE can be lengthy, and, as with the CWA, Section 401 Certification process, may ultimately require project alterations to avoid an adverse impact on waters of the United States. The applicant must consult with the USACE and the RWQCB(s) early in the planning process if any portion of the project may impact, or the project site contains waters of the United States, so that practical project alternatives and/or impact avoidance can be discussed. For more information on the CWA, Sections 404 Permit and 401 Certification processes, please visit <https://www.epa.gov/cwa-404/section-404-permit-program> and https://19january2017snapshot.epa.gov/sites/production/files/2016-11/documents/cwa_401_handbook_2010.pdf.

II. CALIFORNIA ENVIRONMENTAL QUALITY ACT (CEQA)

The CEQA process must be complete prior to a financing agreement being executed by the State Water Board, Division of Financial Assistance.

Title of CEQA document: Provide the title of the CEQA document that covers the project.

CEQA lead agency: Provide the name of the public agency acting as the lead agency pursuant to CEQA Guidelines. The CEQA lead agency is the public agency which has the principal responsibility for carrying out or approving the project.

If the applicant is not a public agency (e.g., non-profit, private water system, Native American Tribe, etc.), contact the State Water Board, Division of Financial Assistance to ensure CEQA requirements are met, and to assist in determining the CEQA lead agency for the proposed project.

If the State Water Board is the CEQA lead agency, early coordination with the State Water Board, Division of Financial Assistance is necessary to ensure Assembly Bill 52 tribal consultation requirements are met and to determine the appropriate CEQA process is completed. CEQA documents prepared for the State Water Board as the CEQA lead agency must meet Web Content Accessibility Guidelines (WCAG) 2.1, with a minimum conformance level of AA. Additional information about WCAG 2.1 guidelines can be found at the World Wide Web Consortium website: <https://www.w3.org/TR/WCAG21/>.

When the applicant is acting as a CEQA responsible agency, they must adopt/certify the CEQA document, approve the project, and file a Notice of Determination with the County Clerk and the Governor's Office of Land Use and Climate Innovation, State Clearinghouse.

Office of Land Use and Climate Innovation (LCI), State Clearinghouse (SCH) number: Enter the ten-digit number assigned to the project at the time of filing with the LCI, SCH.

All CEQA documents with public comment period requirements must be circulated through the LCI, SCH. Additionally, to meet DW SRF requirements, all Notices of Exemption and Notices of Determination must be filed with the LCI, SCH in addition to the local County Clerk's office.

CEQA document preparation status: If the project's CEQA document has not been completed at the time of the Environmental Application Package submittal, provide the date that the CEQA document will be approved/adopted/certified.

If the CEQA process for your project is complete, please document the steps taken and attach relevant documents outlined in the checklist on page 16 of this application. Some documents may fulfill multiple checklist items, for example, the CEQA lead agency may have adopted the final MND and the Mitigation Monitoring and Reporting Plan/Program in the same adoption resolution or meeting minutes.

Detailed information on CEQA requirements, including statutes and CEQA Guidelines, can be obtained at <http://www.opr.ca.gov/ceqa/>.

III. CEQA EXEMPTION INFORMATION

Complete this section only if the project is exempt from CEQA.

All CEQA exemptions are subject to the CEQA exceptions (see Attachment 4 of the Drinking Water [State Environmental Review Process](#); 40 Code of Federal Regulations 35.3580(e), which prohibit application of exemptions where there are extraordinary circumstances in which a normally excluded project may have a significant environmental effect).

Identify the CEQA exemption(s) that applies to the project: Identify the California Code of Regulations citation(s). See Attachment 4 of the Drinking Water [State Environmental Review Process](#).

Justify why the exemption(s) applies to the project: Write a brief statement justifying why the exemption(s) applies to the project. This can be the same statement included in the Notice of Exemption (NOE).

If applicable, list any documents that support the CEQA exemption(s) applied to the project: Provide the title of any document(s) used to support the CEQA exemption(s) applied to the project, and submit a copy of the document(s) as an attachment to the Environmental Application Package (e.g., documentation explaining why exceptions to the categorical exemptions do not apply, technical reports, Initial Study, maps, photographs, etc.).

If the project is categorically exempt, respond to the following exceptions and justify why each exception (identified in the California Code of Regulations, title 14, division 6, chapter 3,

article 19, section 15300.2.) does not apply. The California Code of Regulations identifies six exceptions to categorical exemptions, which may cause a categorical exemption to not apply to a project. If a categorical exemption applies to the project, justify why each of the six exceptions listed do not apply, or indicate where this information may be found and attach supporting documentation to the Environmental Application Package. Note that the first exception (location) is only relevant if a class 3, 4, and/or 6 categorical exemption applies. If the project is exempt from CEQA but a categorical exemption does not apply, no response is required for the exceptions.

IV. FEDERAL ENVIRONMENTAL REQUIREMENTS AND DOCUMENTATION

The applicant should discuss in detail the steps taken to meet the federal environmental regulations identified in this Environmental Application Package, including cross-cutting federal environmental requirements, and provide appropriate supporting information. Supporting information must be uploaded to FFAST labeled E2 "Document Type" (e.g., E2-Air Quality Estimates, E2-Biological Assessment, etc.). Please contact the State Water Board assigned Project Manager or the Environmental Review Staff for questions regarding environmental requirements.

Federal Environmental Requirements Affecting CEQA Documents

Projects applying for DWSRF financing that are undergoing a Tier I review must meet the requirements of the 40 Code of Federal Regulations, section 35.3580 (<https://www.ecfr.gov/current/title-40/chapter-I/subchapter-B/part-35/subpart-L/section-35.3580>), which includes requirements that may not be included in the California Code of Regulations, CEQA Guidelines. Certain requirements therefore apply to CEQA documents that are not normally necessary per the CEQA Guidelines (e.g., public circulation of addendums, environmental alternative analysis for projects covered under an ND or MND, etc.).

The following sections outline the additional requirements that apply to certain documents and steps of the CEQA process.

Public hearing and meeting requirements. A public hearing or meeting must be held for all projects and activities except those having little or no environmental effect. Projects exempt from CEQA, and many projects covered by an MND or ND may qualify as having little or no environmental effect and thus would not require a public hearing or meeting. Public hearings or meetings to adopt an ND or MND, or to certify a final EIR will meet this requirement. The applicant should consult with the Environmental Review Staff to determine whether a public hearing or meeting is required. If a public hearing or meeting is determined by the Environmental Review Staff to be necessary, or one has already occurred for other reasons, provide the date(s) of when any such meeting(s) was held.

Formal public comment period for projects with scope changes. For certain projects where the project scope changed after the adoption of the original CEQA document, the lead agency must provide a formal public comment period during which time no action on a project will be allowed. If a supplemental or subsequent ND/MND/EIR is required, CEQA specifies the required public comment period, however CEQA does not specify a public comment period for addendum. For most projects involving an addendum and where the underlying CEQA document has already

undergone a public comment period, the State Water Board will not require the addendum to be posted for public comment. However, the Environmental Review Staff may require circulation of an addendum for public comment through the LCI, SCH if an addendum is prepared due to changes in the project scope or other factors (e.g., legal challenges, public concerns) that warrant additional public participation.

For an addendum that must be circulated through the LCI, SCH, no minimum circulation length is required. Filing a Notice of Determination after the addendum is circulated and considered by the decision-making body of the lead agency consistent with the CEQA Guidelines, section 15164 is recommended, but not required.

The applicant should consult with the Environmental Review Staff to determine whether a public comment period for an addendum is necessary.

Five-year reaffirmation requirements. If CEQA documents are adopted or NOEs are signed by the CEQA lead agency more than five years before approval of DWSRF financing, the lead agency must review whether the CEQA documents or NOEs are still applicable to the project, and if so, the lead agency must reaffirm the previously prepared environmental evaluation and resulting environmental document. If the applicant is the lead agency, submit a memorandum signed by the applicant's authorized representative affirming that the previously prepared environmental evaluation and resulting environmental document still apply to the project. If the project scope has changed, the applicant must prepare an addendum, supplemental or subsequent CEQA document, or file a new NOE consistent with the CEQA Guidelines to meet this requirement.

Attach the following documents to the Environmental Application Package:

1. A copy of the five-year reaffirmation memorandum signed by the applicant's authorized representative (if applicable).

Environmental Analysis of Alternatives requirements. The DWSRF Program requires an environmental analysis of alternatives for projects that are not exempt from CEQA. Preparation of an Environmental Impact Report under CEQA typically meets this requirement.

If a Negative Declaration or Mitigated Negative Declaration (ND/MND) was prepared for the project, briefly discuss the "No Project" alternative if this is not already included in the ND/MND. (For general guidance, see CEQA Guidelines, section 15126.6(e)). If project alternatives beyond the selected project were considered but are not included in the CEQA document, briefly discuss, or identify the document that discusses the alternative analysis.

Federal Co-Funding Sources

Will the project potentially be co-funded by one or multiple other federal agencies?

Indicate if the project will potentially receive funding from any other federal agencies. If the project will potentially be funded by any federal agency(ies) complete items a-c.

If more than one (1) federal agency is involved in a project, the agencies will need to coordinate to determine who will be the federal lead agency when conducting consultations (e.g., Section 7 of the Endangered Species Act and Section 106 of the National Historic Preservation Act).

Federal Lands

Is any portion of the proposed project site located on federally managed land, such as United States Forest Service (USFS) or Bureau of Land Management (BLM) land?

Indicate if any portion of the proposed project is located on federally managed land, including USFS, BLM, or land managed by any other federal agency. If yes, complete items a-e.

Information and resources:

United States Department of Agriculture (USDA) United States Forest Service (USFS) Pacific Southwest Region website: <http://www.fs.usda.gov/r5>

USFS offices contact information website: <https://www.fs.usda.gov/main/r5/about-region/offices>

United States Department of the Interior Bureau of Land Management (BLM) website: <https://www.blm.gov/california>

BLM District Offices contact information website: <https://www.blm.gov/office/california-state-office>

Interactive map of federally managed land: <https://www.blm.gov/maps/frequently-requested/california>

Attach the following documents to the Environmental Application Package:

1. A colored map identifying the project location with respect to the federal land.
2. A copy of the appropriate authorization/permit for the use of federal land (e.g., USFS Special-Use Authorization, BLM Land Use Permit) if one has been obtained.

Archaeological and Historic Preservation Act (AHPA)

Will the project cause the irreparable loss of or damage to a significant archaeological or historic resource or data through alteration of the terrain resulting from dam or reservoir construction (e.g., flooding, building of access roads, or construction of a reservoir)?

Indicate if the project will cause irreparable loss of or damage to archaeological or historic resources or data through alteration of the terrain as a result of reservoir or dam construction (e.g., flooding, building of access roads, or construction of a reservoir). If yes, respond to item a. Provide supplemental information as needed. The HPIR (see the National Historic Preservation Act below) will suffice as documentation for this requirement.

Information and resources:

United States Department of Interior National Park Service AHPA website: <https://www.nps.gov/archeology/tools/laws/AHPA.htm>

Clean Air Act

Identify the air basin and local air district for the project area using the California Air Resources Board (CARB) Air Basin Map and the CARB Local Air District Map (or other resources as appropriate).

Is the project located in a nonattainment area, or an attainment area under a maintenance plan, for any criteria pollutant?

Indicate if the project is located in a nonattainment area, or an attainment area under a maintenance plan, for any criteria pollutant. If yes, respond to list items a-c. For list item b, provide the estimated project construction and operational air emissions (in tons per year) in the table [emissions can be estimated by using the California Emissions Estimator Model (CalEEMod): <https://caleemod.com/>]. Local air quality thresholds of significance can be determined by contacting the Local Air District, or by visiting the Local Air District's website.

For the DWSRF Program's financed projects, we recommend the applicant include a General Conformity Determination section in the CEQA document(s), so that another public review process would not be needed, should a General Conformity Determination be required.

Information and resources:

United States Environmental Protection Agency (USEPA) Clean Air Act summary webpage: <https://www.epa.gov/laws-regulations/summary-clean-air-act>

California Air Resources Board (CARB) Air Basin Map: <http://www.arb.ca.gov/ei/maps/statemap/abmap.htm>

CARB Local Air District Map: <https://ww3.arb.ca.gov/capcoa/dismap.htm>

California Emissions Estimator Model (CalEEMod): <https://caleemod.com/>

Attach the following documents to the Environmental Application Package:

1. Any documents utilized to support the estimated emissions above, or to compile the air quality data (e.g., air quality studies/models, CalEEMod report)

Coastal Barriers Resources Act

There are no designated Coastal Barrier Resource Systems in California. For more information on Coastal Barrier Resource Systems, please visit: <http://www.fws.gov/CBRA/>

Coastal Zone Management Act

Is any portion of the project site located within the coastal zone?

Indicate if any portion of the project is located within the coastal zone. If yes, respond to list items a-c.

To help determine if the project is located within a coastal zone, please contact the city or county in which the project is located, or the local California Coastal Commission office (https://www.coastal.ca.gov/enforcement/cdp_pamphlet.pdf). California's coastal zone is defined as extending seaward to the state's outer limit of jurisdiction, including all offshore islands, and extending inland generally 1,000 yards from the mean high tide line of the sea. In significant coastal estuarine, habitat, and recreational areas, it extends inland to the first major ridgeline paralleling the sea or five (5) miles from the mean high tide line of the sea, whichever is less, and in developed urban areas the zone generally extends inland less than 1,000 yards. The coastal zone for the San Francisco Bay Conservation and Development Commission (BCDC) includes the open water, marshes, and mudflats of the greater San Francisco Bay, and areas 100 feet inland from the line of highest tidal action. The BCDC boundary also includes: the Suisun Marsh and buffer zone: managed wetlands diked off from the Bay; and open waters diked off from the Bay and used in salt production.

Information and resources:

California Coastal Commission (CCC) maps: <https://coastal.ca.gov/maps/>

CCC coastal development permit information:

http://www.coastal.ca.gov/enforcement/cdp_pamphlet.pdf

CCC coastal development permit application and appeal forms: <http://coastal.ca.gov/cdp/cdp-forms.html>

San Francisco Bay Conservation and Development Commission website: <http://www.bcdc.ca.gov/>

California's coastal zone generally extends 1,000 yards inland from the mean high tide line but may extend further if the area is located in significant coastal estuarine, habitat, and/or recreational areas, or to a lesser extent if the area is located in a developed urban area or within a coastal zone of the San Francisco Bay Conservation and Development Commission. To help determine if the project is located within a coastal zone, please check the [CCC jurisdictional maps](#) or contact the local CCC office or the city or county in which the project is located.

Attach the following documents to the Environmental Application Package:

1. A copy of the coastal development permit or coastal exemption (if available)

Endangered Species Act (ESA)

Does the project involve any direct or indirect impacts, from construction or operation activities, that may affect federally listed threatened or endangered species, or their critical habitat, that are known or have potential to occur on the project site, in the surrounding area, or in the service area?

Indicate if the project construction and/or operational activities may directly or indirectly affect any federally listed species that are known or have a potential to occur on the project site, in the surrounding area, or in the service area. If no, explain the determination, or indicate where more information can be found (e.g., biological report/assessment, CEQA document, etc.). If yes, complete items a-f.

The applicant must provide a biological assessment/report, prepared by a qualified biologist, that addresses possible direct, indirect, and cumulative impacts of the project to federally listed species under the ESA. Biological assessments/reports must include a clear description of the project, construction information, an up-to-date field survey, a species assessment table for all federally protected species, and an analysis of impacts to those species that have the potential to occur within or adjacent to the project site. Species lists requested from the USFWS Information for Planning and Conservation database (<https://ecos.fws.gov/ipac/>) and the NMFS (http://www.westcoast.fisheries.noaa.gov/maps_data/california_species_list_tools.html) must accompany the biological assessment/report, as well as recently-generated species lists from the CDFW California Natural Diversity Database (<https://www.wildlife.ca.gov/Data/CNDDB>) and the California Native Plant Society Inventory of Rare and Endangered Plants of California (<http://www.rareplants.cnps.org/>). If the applicant is unable to obtain an official NMFS species list, please contact the Environmental Review Staff for further assistance.

Information and resources:

USEPA Endangered Species Act Summary: <https://www.epa.gov/laws-regulations/summary-endangered-species-act>

USFWS Section 7 Consultation: <https://www.fws.gov/service/esa-section-7-consultation>

Refer to the following resources for information regarding possible biological impacts and to obtain official and unofficial species lists for analysis:

USFWS Information for Planning and Consultation (IPaC): <https://ecos.fws.gov/ipac/>

California Native Plant Society Inventory of Rare and Endangered Plants of California: <http://www.rareplants.cnps.org/>

National Oceanic and Atmospheric Administration (NOAA) ESA consultation website: <https://www.fisheries.noaa.gov/topic/consultations#endangered-species-act-consultations>

California Department of Fish and Wildlife California Natural Diversity Database: <https://www.wildlife.ca.gov/Data/CNDDB>

Attach the following document(s) to the Environmental Application Package:

1. A project-level biological report/assessment
2. Copies of any consultation(s) conducted with relevant agencies

Farmland Protection Policy Act

Is any portion of the project located on, or will the project impact prime, unique, or important farmland, or farmland under a Williamson Act Contract?

Indicate if any portion of the project is located on or will impact prime, unique, or important farmland. If yes, respond to list items a-d. If the project area is protected farmland or farmland under the Williamson Act Contract, please consult with the appropriate federal, state, and local agencies, and provide necessary documents to the Division of Financial Assistance.

Information and resources:

USDA Farmland Protection Policy Act website: <https://www.nrcs.usda.gov/conservation-basics/natural-resource-concerns/land/cropland/farmland-protection-policy-act>

California Department of Conservation California Important Farmland Finder:
<https://maps.conservation.ca.gov/dlrp/ciff/>

California Department of Conservation Farmland Mapping and Monitoring Program:
<http://www.conservation.ca.gov/DLRP/fmmp/Pages/Index.aspx>

Attach the following documents to the Environmental Application Package:

1. Documents/assessments evaluating the conversion of prime/unique farmland and farmland of statewide/local importance to non-agricultural uses
2. Copies of any consultation(s) conducted with relevant agencies

Floodplain Management: Executive Order Nos. 11988 and 12148

Is any portion of the project located within a 100-year floodplain as depicted on an official floodplain map or otherwise designated by the Federal Emergency Management Agency (FEMA)?

Indicate if any portion of the project is located within a 100-year floodplain as depicted on a floodplain map or otherwise designated by the United States Department of Homeland Security, Federal Emergency Management Agency (FEMA). If yes, complete items a-c.

Information and resources:

Office of the Federal Register Executive Order No. 11988: <https://www.archives.gov/federal-register/codification/executive-order/11988.html>

Office of the Federal Register Executive Order No. 12148: <https://www.archives.gov/federal-register/codification/executive-order/12148.html>

Executive Order Establishing a Federal Flood Risk Management Standard and a Process for Further Soliciting and Considering Stakeholder Input:

<https://obamawhitehouse.archives.gov/the-press-office/2015/01/30/executive-order-establishing-federal-flood-risk-management-standard-and->

FEMA Flood Map Service Center: <https://msc.fema.gov/portal>

Attach the following documents to the Environmental Application Package:

1. An official floodplain map from the [FEMA Flood Map Service Center](https://msc.fema.gov/portal) that includes the project area (required for all projects)
2. Any reports (floodplains/hydrological assessment) completed for the project (if applicable)

Magnuson-Stevens Fishery Conservation and Management Act

Does the project involve any direct or indirect impacts from construction or operational activities, or changes in water quality/quantity, that may impact Essential Fish Habitat (EFH)?

Indicate if the project construction or operational activities involve direct or indirect impacts to Essential Fish Habitat (EFH). If yes, complete items a-c. To determine the project's location relative to designated EFH and to obtain an unofficial or official NMFS species list, consisting of both endangered species and EFH that could potentially occur in the project area, please visit: http://www.westcoast.fisheries.noaa.gov/maps_data/california_species_list_tools.html. If the project may adversely impact EFH, the applicant must contact the NMFS to obtain an official species list. If the applicant is unable to obtain an official NMFS species list, please contact the Environmental Review Staff for further assistance.

Information and resources:

Refer to the NMFS EFH Mapper to help determine the project's proximity and potential direct/indirect impacts to EFH, and to obtain a NMFS species list for the project location.

NMFS Essential Fish Habitat Mapper: <https://www.fisheries.noaa.gov/resource/map/essential-fish-habitat-mapper>

NOAA Magnuson-Stevens Fishery Conservation and Management Act website:

<https://www.fisheries.noaa.gov/resource/document/magnuson-stevens-fishery-conservation-and-management-act>

Attach the following documents to the Environmental Application Package:

1. An official copy of the NMFS species list, obtained through the [NMFS Essential Fish Habitat Mapper](https://www.fisheries.noaa.gov/resource/map/essential-fish-habitat-mapper)

National Historic Preservation Act (NHPA)

A Historic Properties Identification Report (HPIR) is required for all projects undergoing a Tier I review unless the project is a type of activity that does not have the potential to cause effects to historic properties. Note that this is determined by the type of activities the project consists of, and not the impacts of the specific project. Generally, any project that includes groundbreaking activity has potential to cause effects to historic properties, and therefore an HPIR is required. Please contact the State Water Board's Division of Financial Assistance Cultural Resources Staff at CulturalResources@Waterboards.ca.gov before determining that an HPIR is not required.

A Historic Properties Identification Report (HPIR), written by a cultural resources professional who meets the Secretary of the Interior's Professional Qualification Standards in Archaeology or Architectural History [Professional Qualifications Standards \(U.S. National Park Service\)](https://www.nps.gov/articles/sec-standards-prof-quals.htm) (<https://www.nps.gov/articles/sec-standards-prof-quals.htm>), as appropriate, needs to be sent to the State Water Board's Cultural Resources Staff. Contact the Project Manager or Division of Financial Assistance Environmental Review Staff for the assigned cultural resource staff's contact information. For detailed information on the contents of the report, visit *Guidelines for Applicants and Their Consultants on Preparing Historic Property Identification Reports for the Clean and Drinking Water State Revolving Fund (SRF) Programs* (https://www.waterboards.ca.gov/water_issues/programs/grants_loans/docs/cultural_resources_report_prep.pdf). The HPIR must include all supporting documentation, such as the results of the California Historical Resources Information System (CHRIS) records search less than five years old, the results of the Sacred Lands File Search, the results of Native American and other consulting party correspondence (i.e. historical societies), and site records from the records search and from new resources found during the field survey. If production of the HPIR requires evaluation of a built environment resource for the National Register of Historic Places, please refer to the guidance found in the *Drinking Water and Wastewater Treatment Facilities in California: Historic Context and Research Design for National Register Evaluation* ([waterboards.ca.gov/water_issues/programs/grants_loans/docs/2024/historic-context-report.pdf](https://www.waterboards.ca.gov/water_issues/programs/grants_loans/docs/2024/historic-context-report.pdf)).

Identify Section 106 of the NHPA finding of effect contained in the cultural resources report: Check the box that describes the Section 106 of the NHPA finding of effect contained in the HPIR.

If relevant, please justify compliance with the NHPA: If compliance with the NHPA has already been completed (e.g., another federal agency has already consulted under Section 106 of the NHPA for the project) explain that process here and provide copies of all consultation documentation.

Provide a brief explanation for the above identified recommendation or indicate where this information can be found (e.g., HPIR or Cultural Report): Briefly explain why the Section 106 finding of effect applies to the project. If the project has no potential to cause effects to historic properties include a statement here about why this is the case.

Information and resources:

Advisory Council on Historic Preservation website: <http://www.achp.gov/>

Attach the following documents to the Environmental Application Package:

1. A HPIR that meets the aforementioned requirements.

Protection of Wetlands

Will any portion of the project be located in or potentially affect a wetland?

Indicate if any portion of the project is located in a wetland or if the project could potentially affect a wetland. If yes, respond to list items a-c. Explain if there is any area within the project boundaries that should be evaluated for wetland delineation and/or that requires a permit or certification from the USACE, RWQCB(s), and/or CDFW. A wetland delineation report must be prepared for any project that will be located in or will potentially impact a wetland.

Information and resources:

USEPA Protection of Wetlands Executive Order No. 119900 website:

<https://www.epa.gov/cwa-404/protection-wetlands>

USFWS National Wetlands Inventory Wetlands Mapper:

<http://www.fws.gov/wetlands/Data/Mapper.html>

USACE wetland assessment/delineation guidance:

<https://www.nae.usace.army.mil/Portals/74/docs/regulatory/JurisdictionalLimits/wlman87.pdf>

Attach the following documents to the Environmental Application Package:

1. A wetland assessment/delineation report consistent with the USACE guidance describing the project's potential impacts to wetlands and/or potential wetland areas
2. Documentation on the avoidance, minimization, and conservation measures that will be implemented to reduce such impacts
3. A copy of the Clean Water Act Section 401 Certification (if available)
4. A copy of the Clean Water Act Section 404 Permit (if available)

Sole Source Aquifer of the Safe Drinking Water Act

Is the project located in an area designated by the USEPA as a Sole Source Aquifer?

Indicate if the project is located in an area designated by the USEPA, Region 9, as a sole source aquifer. Sole Source Aquifers in California, include the Fresno County Aquifer, Santa Margarita Aquifer, Campo/Cottonwood Creek Aquifer, and the Ocotillo-Coyote Wells Aquifer; see the USEPA interactive map for Sole Source Aquifers locations: <https://www.epa.gov/dwssa>. If yes, respond to list items a-b. The applicant must comply with the Safe Drinking Water Act and document whether or not the project has the potential to contaminate a Sole Source Aquifer. The applicant shall be held responsible for providing an alternate project location and/or appropriate mitigation measures if a Sole Source Aquifer were to be significantly impacted by a project.

Information and resources:

Sole Source Aquifers in California include the Fresno County Aquifer, Santa Margarita Aquifer, Campo/Cottonwood Creek Aquifer, and the Ocotillo-Coyote Wells Aquifer.

USEPA source water protection website:

<http://water.epa.gov/infrastructure/drinkingwater/sourcewater/protection/index.cfm>

USEPA interactive map of Sole Source Aquifers: <https://www.epa.gov/dwssa>

Attach the following documents to the Environmental Application Package:

1. A completed Sole Source Aquifer Project Review Information document (contact the Environmental Review Staff to request guidance)

Wild and Scenic Rivers Act

Identify the watershed within the project location by using the USEPA How's My Waterway website: <https://www.epa.gov/waterdata/how-s-my-waterway>

Will the project impact any listed wild and scenic rivers?

Indicate if a segment of the project is located within and/or will impact a listed wild and scenic river. If yes, respond to list items a-c.

Information and resources:

Wild and Scenic Rivers in California include: Amargosa River, Lower American River, North Fork American River, Bautista Creek, Big Sur River, Black Butter River, Cottonwood Creek, Eel River, Feather River, Fuller Mill River, Kern River, Kings River, Klamath River Merced River, Owens River Headwaters, Palm Canyon Creek, Piru Creek, San Jacinto River (North Fork), Sespe Creek, Sisquoc River, Smith River, Trinity River, and Tuolumne River.

National Wild and Scenic Rivers System website: <http://www.rivers.gov/california.php>

USEPA How's My Waterway website: <https://www.epa.gov/waterdata/how-s-my-waterway>

Attach the following documents to the Environmental Application Package:

1. A map of the impacted wild and scenic river and the relative project location

Federal Environmental Attachments

Complete the checklist indicating what federal documentation is being submitted attached to this Environmental Application Package.

Use the checklist to indicate what relevant federal documentation attachments are being submitted along with the completed Environmental Application Package.

Federal documentation may be necessary depending on the specific scope, location, and impacts of the project; refer to the individual cross-cutter sections above to determine if that specific federal

environmental cross-cutter applies to the project, and if additional documentation or information is required. Additional documentation and/or attachments may be requested based on the answers provided in this Environmental Application Package. If there are questions about required attachments, please contact the Environmental Review Staff:

https://www.waterboards.ca.gov/water_issues/programs/grants_loans/environmental_requirements.html.

A few attachments of note are the biological report/biological assessment for the Endangered Species Act, and the Historic Properties Identification Report for the National Historic Preservation Act. A biological report is generally required for most projects that may have potential to impact biological resources, especially those with potential to impact federally listed species. A Historic Properties Identification Report is generally required for all projects that include groundbreaking activity, even if the specific project does not have the potential to impact historic resources. If you are not sure whether these documents need to be submitted for a particular project, contact the Environmental Review Staff using the link above.

DRINKING WATER ENVIRONMENTAL APPLICATION PACKAGE (CONSTRUCTION – TIER I)

I. GENERAL INFORMATION
Applicant (entity) name:
Project title:
Environmental documents prepared by (e.g., consultant, city, etc.): Environmental contact (e.g., consultant, city, or county staff, etc.): Contact email: Contact phone:
Project description:
List and describe all environmental permits, approvals, and/or certifications required for the project:
II. CALIFORNIA ENVIRONMENTAL QUALITY ACT (CEQA)
Title of CEQA document: CEQA lead agency: If no public agencies have discretionary approval over the project other than the State Water Resources Control Board, contact the Division of Financial Assistance prior to developing CEQA documents (please see the Environmental Package Instructions above for additional information). Office of Planning and Research (LCI), State Clearinghouse (SCH) number: CEQA Document Preparation Status: <ul style="list-style-type: none">• If completed proceed to the appropriate section below.• If the CEQA document has not been completed, enter the expected date of the CEQA document approval/adoption/certification:

Complete the appropriate CEQA checklist(s) below and provide any applicable documents as attachments to the Environmental Package.

CEQA Exemption

Required documents:

- Notice of Exemption (NOE) filed with the local County Clerk - **date filed:**
- NOE filed with the LCI, SCH - **date filed:**
- Supporting documentation for categorical exemptions (if applicable)

Initial Study/Negative Declaration (IS/ND)

Required documents:

- Draft IS/ND circulated through the LCI, SCH
- Comments received on circulated IS/ND
- Responses to comments (if applicable)
- Final IS/ND adopted by the CEQA lead agency
- Resolution/meeting minutes adopting IS/ND - **date adopted:**
- Notice of Determination (NOD) filed with the local County Clerk - **date filed:**
- NOD filed with the LCI, SCH - **date filed:**

Initial Study/Mitigated Negative Declaration (IS/MND)

Required documents:

- Draft IS/MND circulated through the LCI, SCH
- Comments received on circulated IS/MND
- Responses to comments (if applicable)
- Final IS/MND adopted by the CEQA lead agency
- Mitigation Monitoring and Reporting Plan/Program (MMRP) adopted by the CEQA lead agency
- Resolution/meeting minutes adopting IS/MND - **date adopted:**
- Resolution/meeting minutes adopting MMRP - **date adopted:**
- NOD filed with the local County Clerk - **date filed:**
- NOD filed with the LCI, SCH - **date filed:**

Environmental Impact Report (EIR)

Required documents:

- Draft EIR circulated through the LCI, SCH
- Comments received on circulated EIR
- Responses to comments
- Final EIR certified by the CEQA lead agency
- MMRP adopted by the CEQA lead agency
- Statement of Overriding Considerations (if applicable) - **date approved:**
- Resolution/meeting minutes certifying EIR - **date certified:**
- Resolution/meeting minutes adopting MMRP - **date adopted:**
- NOD filed with the local County Clerk - **date filed:**
- NOD filed with the LCI, SCH - **date filed:**

Addendum/Addenda, Supplemental or Subsequent CEQA Document

Required documents:

- Addendum/Addenda, Supplemental, or Subsequent CEQA Document
- MMRP adopted by the CEQA lead agency (if applicable)
- Resolution/meeting minutes/consideration document (if applicable) - **date:**
- Resolution/meeting minutes adopting MMRP (if applicable) - **date adopted:**
- NOD filed with the local County Clerk (if applicable) - **date filed:**
- NOD filed with the LCI, SCH (if applicable) - **date filed:**

III. CEQA EXEMPTION INFORMATION

Complete this section only if the project is exempt from CEQA. Refer to instructions.

Identify the CEQA exemption(s) that applies to the project:

Justify why the exemption(s) applies to the project:

If applicable, list any documents that support the CEQA exemption(s) applied to the project:

If the project is exempt, address the following exceptions and justify why each exception (identified in the California Code of Regulations, title 14, division 6, chapter 3, article 19, section 15300.2.) does not apply.

Location. Classes 3, 4, and 6 are qualified by consideration of where the project is to be located - a project that is ordinarily insignificant in its impact on the environment may in a particularly sensitive environment be significant. Therefore, these classes are considered to apply in all instances, except where the project may impact on an environmental resource of hazardous or critical concern where designated, precisely mapped, and officially adopted pursuant to law by federal, state, or local agencies.

If a class 3, 4, and/or 6 categorical exemption applies, justify why this exception does not apply to the project, and/or indicate where supporting information can be found:

Cumulative Impact. All exemptions for these classes are inapplicable when the cumulative impact of successive projects of the same type in the same place, over time is significant.

Justify why this exception does not apply to the project, and/or indicate where supporting information can be found:

Significant Effect. A categorical exemption shall not be used for an activity where there is a reasonable possibility that the activity will have a significant effect on the environment due to unusual circumstances.

Justify why this exception does not apply to the project, and/or indicate where supporting information can be found:

Scenic Highways. A categorical exemption shall not be used for a project which may result in damage to scenic resources, including but not limited to, trees, historic buildings, rock outcroppings, or similar resources, within a highway officially designated as a state scenic highway. This does not apply to improvements which are required as mitigation by an adopted negative declaration or certified EIR.

Justify why this exception does not apply to the project, and/or indicate where supporting information can be found:

Hazardous Waste Sites. A categorical exemption shall not be used for a project located on a site which is included on any list compiled pursuant to Section 65962.5 of the Government Code.

Justify why this exception does not apply to the project, and/or indicate where supporting information can be found:

Historical Resources. A categorical exemption shall not be used for a project which may cause a substantial adverse change in the significance of a historical resource.

Justify why this exception does not apply to the project, and/or indicate where supporting information can be found:

IV. FEDERAL ENVIRONMENTAL REQUIREMENTS AND DOCUMENTATION

FEDERAL ENVIRONMENTAL REQUIREMENTS

Projects applying for Drinking Water (DW) State Revolving Fund (SRF) financing that are undergoing a Tier I review must meet the requirements of the 40 Code of Federal Regulations, section 35.3580, which includes requirements that may not be included in the California Code of Regulations, CEQA Guidelines. For additional information about these requirements refer to the Environmental Package Instructions above.

Public hearing and meeting requirements. A public hearing or meeting must be held for all projects except those having little or no environmental effect.

Provide the public hearing or meeting date(s), if applicable:

Formal public comment period for projects with scope changes.

Provide the public comment period date(s), if applicable:

Five-year reaffirmation requirements. Refer to instructions.

Attach the following documents to the Environmental Application Package:

1. A copy of the five-year reaffirmation memorandum signed by the applicant's authorized representative (if applicable)

Environmental Analysis of Alternatives. Refer to instructions.

FEDERAL CO-FUNDING SOURCES

Will the project potentially be co-funded by one or multiple other federal agencies?

No – If no, continue to next section.

Yes – If yes, complete the following:

a) List the agency or agencies:

b) Explain the funding status:

c) Provide the name of the associated federal representative(s) with whom the water system has been in contact:

Contact email(s):

Contact phone(s):

FEDERAL LANDS

Is any portion of the proposed project site located on federally managed land, such as United States Forest Service (USFS) or Bureau of Land Management (BLM) land?

No – If no, continue to next section.

Yes – If yes, complete the following:

a) Indicate the type of federal land (e.g., USFS national forest, BLM Developed Recreation Area, etc.):

b) Identify the [USFS Office](#), the [BLM District](#), or other federal regional unit in which the project is located:

c) Provide the status of any use authorization or permit:

d) Provide the name of the associated federal agency contact person(s)/representative(s) assigned to the project:

Contact email(s):

Contact phone(s):

e) Attach the following documents to the Environmental Package:

1. A colored map identifying the project location with respect to the federal land
2. A copy of the appropriate authorization/permit for the use of federal land (e.g., USFS Special-Use Authorization, BLM Land Use Permit) if one has been obtained

ARCHAEOLOGICAL AND HISTORIC PRESERVATION ACT (AHPA)

Will the project cause the irreparable loss of or damage to a significant archaeological or historic resource or data through alteration of the terrain resulting from dam or reservoir construction (e.g., flooding, building of access roads, or construction of a reservoir)?

No – If no, continue to next section.

Yes – If yes, complete the following:

- a) **Explain, or indicate where more information on this impact can be found [e.g., Historic Properties Identification Report (HPIR; see the National Historic Preservation Act below), CEQA document, etc.]:**

CLEAN AIR ACT

Identify the project air basin:

Identify the local air district:

Is the project located in a nonattainment area, or an attainment area under a maintenance plan, for any criteria pollutant?

No – If no, continue to next section.

Yes – If yes, complete the following:

- a) **Identify the criteria pollutant(s) for which the project area is in nonattainment and the nonattainment rate(s) (i.e., marginal, moderate, serious, severe, or extreme), and/or identify the criteria pollutant(s) for which the project area is in attainment under a maintenance plan:**
- b) **Complete the following table by filling in the estimated construction and operation emissions for each criteria pollutant:**

Criteria Pollutant	Estimated construction emissions (tons/year)	Estimated operation emissions (tons/year)	Federal <i>de minimis</i> levels (tons/year)	
Ozone (O ₃) Oxides of Nitrogen (NOX) and Volatile Organic Compounds (VOC)	_____	_____	Marginal/Moderate NAA's	100
			Serious NAA's	50
			Severe NAA's	25
			Extreme NAA's	10

Carbon Monoxide (CO)	_____	_____	All maintenance areas	100
Nitrogen Dioxide (NO₂)	_____	_____	All NAA's	100
Lead (Pb)	_____	_____	All NAA's	25
Particulate Matter less than 2.5 microns in diameter (PM_{2.5})	_____	_____	Moderate NAA's	100
			Serious NAA's	70
Particulate Matter less than 10 microns in diameter (PM₁₀)	_____	_____	Moderate NAA's	100
			Serious NAA's	70
Sulfur Dioxide (SO₂)	_____	_____	All NAA's	100

c) Attach the following documents to the Environmental Package:

1. Any documents utilized to support the estimated emissions above, or to compile the air quality data (e.g., air quality studies/models, CalEEMod report)
2. If any of the federal de minimis levels are exceeded additional information may be required.

COASTAL ZONE MANAGEMENT ACT

Is any portion of the project site located within the coastal zone?

- No – If no, continue to next section.
- Yes – If yes, complete the following:

a) Indicate the status of the coastal development permit or coastal exemption:

b) Describe the project location with respect to coastal areas, or indicate where this information can be found (e.g., CEQA document, biological report/assessment, etc.):

c) Attach the following documents to the Environmental Package:

1. A copy of the coastal development permit or coastal exemption (if available)

ENDANGERED SPECIES ACT (ESA)

Does the project involve any direct or indirect impacts, from construction or operation activities, that may affect federally listed threatened or endangered species, or their critical habitat, that are known or have potential to occur on the project site, in the surrounding area, or in the service area?

No – If no, complete the following:

a) Explain, or indicate where information supporting this determination can be found (e.g., biological report/assessment, CEQA document, etc.):

Yes – If yes, complete the following:

a) List the date(s) of any biological field surveys completed for the project:

b) Identify any federally listed species that could potentially be affected by the project:

c) Identify any proposed avoidance and conservation measures that will be implemented:

d) Indicate where more information about the impact(s) can be found (e.g., biological report/assessment, CEQA document, etc.):

e) If any consultations with state or federal agencies have been conducted for the project, summarize those consultation efforts:

f) Attach the following documents to the Environmental Package:

1. A project-level biological report/assessment
2. Copies of any consultation(s) conducted with relevant agencies.

FARMLAND PROTECTION POLICY ACT

Is any portion of the project located on, or will the project impact prime, unique, or important farmland, or farmland under a Williamson Act Contract?

No – If no, continue to next section.

Yes – If yes, complete the following:

- a) **If the project is located on or near prime, unique, or important farmland, or farmland under a Williamson Act Contract, but will avoid impacting the farmland (due to the scope of the project, implementation of avoidance measures, or for other reasons), please explain, or indicate where more information can be found (e.g., CEQA document, etc.):**

- b) **Explain, and include information on the acreage that would be converted from farmland to other uses, or indicate where this information can be found (e.g., farmland conversion assessment, CEQA document, etc.):**

- c) **If any portion of the project boundaries is under a Williamson Act Contract, specify the amount of acreage affected:**

- d) **Attach the following documents to the Environmental Package:**
 1. Documents/assessments evaluating the conversion of prime/unique farmland and farmland of statewide/local importance to non-agricultural uses
 2. Copies of any consultation(s) conducted with relevant agencies

FLOODPLAIN MANAGEMENT: EXECUTIVE ORDER NUMBERS 11988 AND 12148

Is any portion of the project located within a 100-year floodplain as depicted on an official floodplain map or otherwise designated by the Federal Emergency Management Agency (FEMA)?

No – If no, continue to next section.

Yes – If yes, complete the following:

a) Identify any relevant consultations completed with other agencies:

b) Describe the floodplain and any proposed measures that will be implemented to minimize or avoid redirection of the flood flow by the project, or indicate where this information can be found (e.g., floodplains/hydrological assessment, CEQA document, etc.):

c) Attach the following documents to the Environmental Application Package:

1. Any reports (e.g., floodplains/hydrological assessment) completed for the project
2. An official floodplain map from the FEMA Flood Map Service Center that includes the project area

MAGNUSON-STEVENSON FISHERY CONSERVATION AND MANAGEMENT ACT

Does the project involve any direct or indirect impacts from construction or operational activities, or changes in water quality/quantity, that may impact Essential Fish Habitat (EFH)?

No – If no, continue to next section.

Yes – If yes, complete the following:

a) Describe how EFH could potentially be impacted by this project and any proposed avoidance and conservation measures, or indicate where this information can be found (e.g., biological report/assessment, EFH impact assessment/evaluation, CEQA document, etc.):

b) Describe any previous or ongoing consultations/coordination conducted with the NMFS for the project:

c) Attach the following documents to the Environmental Application Package:

1. EFH Impact Assessment (if available)
2. An official NMFS species list, obtained through the [NMFS Essential Fish Habitat Mapper](#)

NATIONAL HISTORIC PRESERVATION ACT (NHPA)

Identify Section 106 of the NHPA finding of effect contained in the cultural resources report:

- No Historic Properties Affected
- No Adverse Effect to Historic Properties
- Adverse Effect to Historic Properties

Provide a brief explanation for the above identified determination, or indicate where this information can be found (e.g., HPIR or Cultural Report):

If relevant, please justify compliance with the NHPA:

Provide the following documents directly to the Division of Financial Assistance Cultural Resources Officer:

1. A Historic Properties Identification Report
 - a. Note: Please do not upload confidential documents through the FFAST system. Submit documents to: CulturaResources@Waterboards.ca.gov
 - b. If the project is a type of activity that does not have the potential to cause effects to historic properties, a HPIR is not necessary. Contact the Cultural Review Staff at: CulturaResources@Waterboards.ca.gov to discuss.

PROTECTION OF WETLANDS

Will any portion of the project be located in or potentially affect a wetland?

No – If no, continue to next section.

Yes – If yes, complete the following:

a) If the project is located in or near a wetland but will avoid impacting the wetland (due to the scope of the project, implementation of avoidance measures, or for other reasons), please explain, or indicate where more information can be found (e.g., wetland assessment/delineation report, biological report/assessment, CEQA document, etc.):

b) Indicate the status of any permits necessary for project construction (e.g., Clean Water Act Section 404 Permit, etc.):

c) Attach the following documents to the Environmental Package:

1. A wetland assessment/delineation report consistent with the United States Army Corps of Engineer (USACE) guidance describing the project's potential impacts to wetlands and/or potential wetland areas
2. Documentation on the avoidance, minimization, and conservation measures that will be implemented to reduce such impacts
3. A copy of the Clean Water Act Section 401 Certification (if available)
4. A copy of the Clean Water Act Section 404 Permit (if available)

SOLE SOURCE AQUIFER, SAFE DRINKING WATER ACT

Is the project located in an area designated by the USEPA as a Sole Source Aquifer?

No - If no, continue to next section.

Yes – If yes, complete the following:

a) Identify the Sole Source Aquifer:

b) Attach the following documents to the Environmental Application Package:

1. A completed Sole Source Aquifer Project Review Information document (contact the Division of Financial Assistance to request a copy of the Sole Source Aquifer Questionnaire)

WILD AND SCENIC RIVERS ACT

Identify the watershed in which the project is located:

Will the project impact any listed wild and scenic rivers?

No – If no, continue to next section.

Yes – If yes, complete the following:

a) Identify the wild and scenic river that will be impacted:

b) Explain how the project will impact the wild and scenic river, or indicate where this information can be found (e.g., biological report/assessment, CEQA document, etc.):

c) Attach the following documents to the Environmental Application Package:

1. A map of the impacted wild and scenic river and the relative project location

FEDERAL ENVIRONMENTAL ATTACHMENTS

Complete the checklist indicating what federal documentation is being submitted attached to this Environmental Application Package. If there are questions about required attachments, please contact the assigned Project Manager or the Environmental Review Staff.

List of attachments:

- 5-Year Reaffirmation Memorandum: Signed by applicant's authorized representative
- Federal Land: Map of federal lands
- Federal Land: Federal land use authorization/permit
- Clean Air Act: CalEEMod report or other air quality models/studies
- Coastal Zone Management Act: Coastal Development Permit or Coastal Exemption
- Endangered Species Act: Project-level biological report/assessment and IPaC Species List
- Farmland Protection Policy Act: Farmland Conversion Assessment
- Farmland Protection Policy Act: Copies of any consultation(s) with relevant agencies
- Floodplain Management: Floodplains/Hydrological Assessment or other report
- Floodplain Management: Official floodplain map
- Magnuson-Stevens Fishery Conservation and Management Act: EFH Impact Assessment
- Magnuson-Stevens Fishery Conservation and Management Act: Official NMFS Species List
- National Historic Preservation Act: Historic Properties Identification Report
- Protection of Wetlands: Wetland Assessment/Delineation Report
- Protection of Wetlands: Documentation on avoidance and conservation measures
- Protection of Wetlands: Clean Water Act Section 401 Certification
- Protection of Wetlands: Clean Water Act Section 404 Permit
- Sole Source Aquifer, Safe Drinking Water Act: Sole Source Aquifer Project Review Information
- Wild and Scenic Rivers Act: Map of Wild and Scenic Rivers Watershed
- Other Federal Cross-Cutter Documentation:
- Other Federal Cross-Cutter Documentation: