State of California

DRINKING WATER STATE REVOLVING FUND
And The Water Quality, Supply, and Infrastructure Improvement Act of 2014
(Proposition 1 – Chapter 5, Section 79724)

INTENDED USE PLAN

STATE FISCAL YEAR 2017-18
(FEDERAL FISCAL YEAR 2017 CAPITALIZATION GRANT)

Prepared by:
State Water Resources Control Board, Division of Financial Assistance
Approved XXXX | Resolution No. 2017-XXXX
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I. INTRODUCTION

A. STATE OF CALIFORNIA’S DRINKING WATER STATE REVOLVING FUND

The 1996 amendments to the federal Safe Drinking Water Act (SDWA) responded to national drinking water infrastructure needs by establishing the Safe Drinking Water State Revolving Fund (DWSRF). California’s DWSRF provides financial assistance to public water systems (PWSs) for drinking water infrastructure improvements in the form of low-interest financing, additional subsidy, and other technical assistance derived from federal capitalization grants, associated state match, and revolving principal and interest repayments.

Proposition 1 (Prop 1), the Water Quality, Supply, and Infrastructure Improvement Act of 2014 (Assembly Bill 1471, Rendon) authorizes $7.545 billion in general obligation bonds for water projects including surface and groundwater storage, ecosystem and watershed protection and restoration, and drinking water protection. Section 79724 of Prop 1 allocates $260 million for drinking water grants and loans for public water system (PWS) infrastructure improvements and related actions to meet safe drinking water standards, to ensure affordable drinking water, or both (Prop 1 Drinking Water). Prop 1 Drinking Water funds will be administered consistent with the this IUP and the Policy for Implementing the Drinking Water State Revolving Fund (DWSRF Policy) to the extent allowed by federal regulations and state law. The Prop 1 Drinking Water funds will supplement the additional subsidies provided by the Federal Fiscal Year (FFY) 2017 DWSRF capitalization grant (2017 Capitalization Grant) and any prior DWSRF capitalization grants that have not been committed to projects.

The State Water Resources Control Board (State Water Board), Division of Financial Assistance (DFA) manages the DWSRF and Prop 1 Drinking Water funds. This State fiscal year (SFY) 2017-18 DWSRF Intended Use Plan (IUP) serves as part of the State Water Board’s application for the 2017 Capitalization Grant from the U.S. EPA as well as the guidelines for the State Water Board’s administration of Prop 1 Drinking Water funds. The joint administration of the DWSRF and Prop 1 Drinking Water funds allows the Prop 1 Drinking Water funds to leverage the low-interest financing available through the DWSRF program.

The United States Environmental Protection Agency (U.S. EPA), in cooperation with the State of California (State), has designated the State Water Board as the “primacy agency” to implement and enforce the federal SDWA. As the state primacy agency, the State Water Board, through its Division of Drinking Water (DDW), regulates more than 7,500 PWSs located throughout the State. To assist in this effort, through DDW, the State Water Board has also delegated its primacy authority to 30 local health departments, known as local primacy agencies (LPA), to regulate PWSs serving less than 200 service connections. The State Water Board also promotes and provides information on drought preparedness and water conservation; oversees water recycling projects; certifies drinking water treatment and distribution operators; supports and promotes water system security; provides support for small water systems (SWSs) and for improving PWS technical, managerial, and financial (TMF) capacity; and provides funding opportunities for PWS improvements.
Based on the 2011 Drinking Water Infrastructure Needs Survey, California drinking water needs are over $2.2 billion per year for the next 20 years. For FFY 2017, California is applying for a federal DWSRF Capitalization Grant of up to $115 million. The federal funding, in coordination with principal and interest repayments on existing loans and other debt, as well as associated state match funds, will help ensure funding for drinking water projects that address the State’s highest public health priorities.

Federal and State laws allow a portion of federal drinking water funds to be used for specified set-aside activities in addition to providing financial assistance to PWSs for infrastructure improvements. The State Water Board intends to use 23 percent (23%) of the 2017 Capitalization Grant for these set-aside activities. The remaining 77 percent (77%) of federal funds, plus state matching funds, and all interest and repayments are intended to be used for project funding.

Federal regulations require that the IUP include a description of how the program is structured as well as the planned use of the 2017 Capitalization Grant, state match funds, principal and interest from repayments, other interest earnings of the DWSRF, and funds designated for set-aside activities. This IUP provides specific details on key aspects of the DWSRF program including short and long-term goals, the priority setting process used to rank projects, and a list of projects considered eligible to receive available DWSRF funding.

In SFY 2017-18, the State Water Board will continue to focus on implementing the public health aspects of the SDWA and will ensure that funds are expeditiously disbursed from all available sources.

B. HIGHLIGHTS FOR SFY 2017-18

1. Extended term 30-year financing Available for Eligible PWSs

The State Water Board will continue to make 30-year financing available to eligible PWSs from the DWSRF and/or Prop 1 Drinking Water funds, subject to the conditions set forth in Section V.B.1.

2. DWSRF Administration Fee

The State Water Board will begin applying a 1% fee-in-lieu of interest charge to eligible DWSRF financings to support the State Water Board’s administration of the DWSRF. As further described in Section V.B.1 of this IUP, the DWSRF administration fee will be collected in lieu of an equal amount of interest that would otherwise be due on the outstanding balance of the financing agreement. The revenue from the administration fee will eventually supplement the State Water Board’s use of the DWSRF set-asides to administer the DWSRF, thereby making such set-asides funds available for more infrastructure financing or other eligible set-aside activities.

3. DWSRF Small Community Emergency Drinking Water Fee

The State Water Board will begin applying a fee-in-lieu of interest charge to eligible DWSRF financings to begin generating revenue for the Safe Drinking Water Small Community Emergency Grant (DWSCEG) Fund. As further described in Section V.B.1
of this IUP, the DWSCEG fee will not exceed the standard interest rate of the financing and will be collected in lieu of interest that would otherwise be due on the outstanding balance of the financing agreement. The revenue generated by this fee will be deposited into the DWSCEG Fund for the future awarding of grants to eligible planning and construction projects.

4. **DWSRF Local Match Program**

Continuing in SFY 2017-18, the State Water Board will offer zero percent (0%) financing to eligible applicants that contribute a local match to a DWSRF-funded project. Local match funds will be used as state match for future DWSRF federal capitalization grants. The details of the DWSRF Local Match program are described in Section V.B.1.

5. **Increased Amount for Consolidation Incentive Project**

Starting in SFY 2017-18, up to $10 million in zero percent (0%) interest rate financing may be awarded for an eligible construction project that benefits an eligible PWS, if the PWS completes a full consolidation with a water system serving a small disadvantaged community or small severely disadvantaged community. Further information is included in Section V.B.2 of this IUP.

6. **Grant/Principal Forgiveness Funding for Expanded Small Water Systems Serving Severely Disadvantaged Communities**

Starting in SFY 2017-18, a community water system (CWS) with a population between 10,000 – 20,000 persons, or 3,300-6,600 service connections (Expanded Small Water System), and also serving a severely disadvantaged community, may be eligible for grant/principal forgiveness. Additional information is included in Section V.B.2 of this IUP.

7. **Added Criteria Regarding Second Home Communities**

To ensure the effective and equitable use of limited grant and principal forgiveness funds, in making eligibility determinations, the State Water Board will consider whether the households benefitting from the project are primarily second homes.

8. **PWS Water Losses Prioritized in Accordance with the California Governor’s Executive Order**

On April 7, 2017, California Governor Jerry Brown issued Executive Order B-40-17, which directed the State Water Board to prioritize projects that address water leaks and other system losses after projects that address health and safety. More information on the prioritization of such projects can found be in Section III.C and Section IV.C.1 of this IUP.
9. State Water Board Resolution No. 2017-0012 and California’s Climate Change Leadership

On March 7, 2017, the State Water Board adopted Resolution No. 2017-0012 to establish a comprehensive and robust response to climate change that will support California’s ongoing climate leadership. Section III.C of this IUP includes information on how this IUP and the DWSRF program support the objectives of Resolution No. 2017-0012.

10. TMF Capacity Coordinator to Division of Drinking Water (DDW)

DDW will now lead the implementation of the State Water’s Board PWS TMF Capacity Development Strategy. DFA will continue to participate in the strategy by providing TMF technical assistance and requiring certain TMF elements when approving projects for DWSRF financing.
II. STRUCTURE OF THE DWSRF/PROP 1 DRINKING WATER PROGRAM

California’s DWSRF/Prop 1 Drinking Water program has two main funding components: (1) providing financial assistance to PWSs through low-interest financing, principal forgiveness, and grants, and (2) federal set-aside funding for DWSRF administrative support, small water system (SWS) technical assistance, PWS supervision (PWSS) support, and other eligible activities.

A. PLANNING AND CONSTRUCTION FUNDING

The State Water Board provides DWSRF/Prop 1 Drinking Water funding for the planning, design, and construction of eligible drinking water improvements to publicly and privately owned community water systems (CWSs) and nonprofit, non-community water systems. Eligible planning, preliminary engineering studies, environmental review, project design, and construction costs are described in the DWSRF Policy, Sections X.B. and XI.B. Applications for DWSRF/Prop 1 Drinking Water funding are accepted on a continuous basis, and eligible projects are funded as applications are completed and approved in accordance with the applicable federal and state rules and requirements, including the DWSRF Policy.

To be eligible for DWSRF and Prop 1 Drinking Water funding, a project proposed by a PWS owned by a for-profit entity or a not-for-profit water company, including utilities regulated by the Public Utilities Commission, shall have a clear and definite public purpose and shall solely benefit the customers of such PWSs.

The costs of purchasing water systems may be eligible, including associated water rights. Acquisition of real property, right-of-way, and easements are eligible only if integral to the project. The eligible cost is limited to the fair market value as determined by a California licensed appraiser. DFA will determine real property eligibility.

Applicants shall submit evidence to DFA of a contract for professional engineering services between the funding recipient and its engineering consultant(s) unless waived for good cause as determined by the Deputy Director of DFA. This agreement shall include the scope of work, cost, and deliverable due dates. DFA will review the budget and identify costs that are ineligible or raise questions related to waste, fraud, or abuse. DFA will also review the professional services agreement(s) for compliance with applicable DWSRF federal and state requirements.

DFA will continually evaluate all planning/design expenditures and deliverables of funding recipients to ensure the most cost effective project is developed and to protect against potential waste, fraud or abuse of DWSRF/Prop 1 Drinking Water funds. All suspected cases of potential waste, fraud or abuse of DWSRF/Prop 1 Drinking Water funds will be forwarded to the U.S. EPA Office of Inspector General, the California Department of Finance, the State Water Board’s Office of Enforcement, and/or the California Bureau of State Audits for further audit and investigation.
DWSRF/Prop 1 Drinking Water construction funding recipients will be required to submit construction contracts to DFA for review of their compliance with applicable state and federal funding requirements. DFA will incorporate the approved construction budget into the funding agreement.

Whether a project is funded solely through DWSRF monies, Prop 1 Drinking Water funds, or a combination thereof, the provisions in this section shall apply.

B. SET-ASIDE FUNDING

The 2017 DWSRF set-asides will be used to administer the DWSRF program and provide additional support for DDW. The 2017 DWSRF set-asides will also be used to assist PWSs in developing enhanced TMF capacity for the future as well as to assure compliance with the SDWA and assist in establishing eligibility for DWSRF/Prop 1 Drinking Water funding. Additional information on the 2017 DWSRF set-asides may be found in Section VI of this IUP.

- **Administration Set-Aside** – The DWSRF Administration Set-Aside will fund DFA’s administration of the DWSRF program.

- **Small Water System Technical Assistance (SWSTA) Set-Aside** – The SWSTA Set-Aside will fund DFA technical assistance to small PWSs serving less than 10,000 people, particularly those systems with fewer than 200 service connections, in establishing eligibility for DWSRF funding or will provide other technical assistance to SWSs in project development. The SWSTA Set-Aside will also fund contracts for technical assistance to SWSs in support of project environmental documentation.

- **State Program Management Set-Aside** – The State Program Management Set-Aside will be used to fund DDW’s administration of the State Water Board’s PWSS program.

- **Local Assistance Set-Aside** – The Local Assistance Set-Aside will fund State contracts with third parties to provide technical assistance to PWSs to bolster TMF capacity and will be used to identify and address PWS TMF deficiencies that are identified during the DWSRF funding application review process. The Local Assistance Set-Aside may also fund DDW’s technical assistance to PWSs in support of the State Water Board’s Capacity Development Strategy.
III. DWSRF GOALS

The short-term and long-term goals developed for the DWSRF are presented below. They provide a framework that will guide the State Water Board’s decision-making, maximization, and prioritization of both staff and funding resources.

A. SHORT-TERM GOALS

1. Work with DDW Consolidation Specialists to identify public health issues and evaluate solutions for SWSs, including technical assistance and consolidation where feasible.

2. Continue marketing and outreach efforts to PWSs, including application status reports, Spanish translation services, newsletters, and social media to advertise the availability of technical assistance to assist small, and disadvantaged communities.

3. Apply for and accept the anticipated 2017 Capitalization Grant from U.S. EPA. Upon award, commit funds from the 2017 Capitalization Grant, including the associated state match, by June 30, 2018, such that the federal funds can be utilized in an efficient and timely manner in accordance with 40 CFR §35.3550(c). As of March 22, 2017, the anticipated allotment amount of the 2017 Capitalization Grant has not been provided to the State Water Board from U.S. EPA. California may qualify for a capitalization grant amount greater than the recent annual average of $82 million. Therefore, the State Water Board will be applying for $115 million for the 2017 Capitalization Grant, but will assume $82 million for the 2017 Capitalization Grant for all other financial representations in this IUP.

4. Ensure that the maximum allowable amount of the 2017 Capitalization Grant is provided to eligible recipients in the form of additional subsidy (i.e., forgiveness of principal).

5. Prioritize all available DWSRF funding for PWSs serving fewer than 10,000 people to the maximum extent practicable and in consideration of all other federal and state authorities governing the prioritization of DWSRF funding.

6. Continue to maintain the State Water Board’s acceptable DWSRF federal unliquidated obligation (ULO) balance and continue to liquidate DWSRF capitalization grants within 2-3 years of their award.

7. Reduce instances of noncompliance with drinking water standards by providing technical and consolidation assistance to SWSs with significant SDWA violations.

8. Continue to require PWSs receiving assistance to undergo a TMF assessment to improve sustainability and resiliency.

9. Develop a long-term leveraging strategy and debt management policy for the DWSRF (estimated December 2017) as a means to manage the demand for DWSRF funding as well as ensure the perpetuity of the DWSRF.
B. LONG-TERM GOALS

1. **Address Significant Risks to Public Health**: The State Water Board will continue coordination meetings between DWSRF project managers and regulatory staff within DDW to target DWSRF/Prop 1 Drinking Water funding to address the most significant public health and compliance issues.

2. **Promote SDWA Compliance**: DFA will coordinate with DDW on the use of set-asides to promote the development of TMF for all PWSs (especially small CWSs) to achieve or maintain compliance with State drinking water standards and federal SDWA requirements. DFA will also continue to provide and prioritize subsidized financing for planning and construction projects that address SDWA compliance.

3. **Improve Information Exchange**: Increase communication between applicants and DFA staff through the State Water Board’s Human Right to Water Portal and mobile applications. Also, employ Geographic Information Systems (GIS) technology to provide accurate and timely reporting of funding activities and help identify opportunities for consolidation.

4. **Improve Affordability and Sustainability**: Strategically use the DWSRF additional subsidy, set-aside funds and Prop 1 Drinking Water funds to achieve affordable compliance. Also, use DWSRF funds to maximize opportunities for consolidation, in coordination with DDW to increase economies of scale to improve project affordability and PWS sustainability.

5. **Promote Program Outcomes**: Continue to monitor and manage the DWSRF for fiscal sustainability and to increase PWSs’ achievement and maintenance of long-term SDWA compliance.

C. CONNECTIONS TO OTHER PLANS AND GOALS

California’s DWSRF program supports the U.S. EPA Strategic Plan Goal 2: Protecting America’s Waters – “Protect and restore waters to ensure that drinking water is safe and sustainably managed...”. Specifically, California established and is managing the DWSRF to provide affordable financing and other types of assistance to water systems to finance the cost of infrastructure projects to achieve or maintain compliance with SDWA requirements.

In establishing the terms of this IUP, the State Water Board considered statewide policy set forth in section 106.3 of the Water Code. Specifically, Subdivision (a) declares it is the established policy of the State that “every human being has the right to safe, clean, affordable, and accessible water adequate for human consumption, cooking, and sanitary purposes.” Subdivision (b) requires the State Water Board to consider this state policy when “revising, adopting, or establishing policies, regulations, and grant criteria when those policies, regulations, and criteria are pertinent to the uses of water.”

Additionally, the DWSRF program supports the State Water Board Resolution No. 2017-0012, which was adopted on March 7, 2017 to establish a comprehensive and robust response to climate change that will support California’s ongoing climate leadership. The State Water Board found that “given the magnitude of climate change
impacts on California’s hydrology and water systems, our response to climate change must be comprehensive and integrated into all Water Boards’ actions.” Resolution No. 2017-0012 directed the State Water Board staff to take a number of actions that affect the DWSRF program and this IUP. Specifically:

- By July 1, 2017, include climate change mitigation and adaptation objectives in the IUP.
- By July 1, 2017, ensure that applications and environmental reviews for potential projects account for impacts related to climate change, including potential effects of climate change on the viability of funded projects.

Similarly, U.S. EPA has been recommending in recent years that DWSRF funds be awarded to projects that address “green” infrastructure, water and energy efficiency improvements, or other environmentally innovative activities. In response to Resolution No. 2017-0012, as well as the “green” objectives of U.S. EPA, the State Water Board will continue to prioritize DWSRF funding in SFY 17-18 for the installation of new or replacement water meters as a means of promoting effective water conservation and management.

The DWSRF program and its project priority scheme also support the Governor’s Executive Order B-40-17 of April 7, 2017, which states, “the Water Board and [the Department of Water Resources] shall continue to direct actions to minimize water system leaks that waste large amounts of water. The Water Board, after funding projects to address health and safety, shall use loans from the Drinking Water State Revolving Fund to prioritize local projects that reduce leaks and other water system losses.” Projects to address excessive water losses within a PWS are prioritized in Category C and Category D, as further described in Section IV.C.1 of this IUP.

Finally, the DWSRF program supports the State Water Board’s combined Clean Water and Drinking Water Capacity Development Strategy. With DWSRF set-aside funds as well as leveraging DWSRF planning and infrastructure financing, the DWSRF program and this IUP support the following strategic goals of the combined Clean Water and Drinking Water Capacity Development Strategy:

- Strategic Goal 1 - Use available resources to continuously improve the [Capacity Development] program
- Strategic Goal 2 - Identify systems with low TMF capacity
- Strategic Goal 3 - Assist water systems identified in Goal 2 to improve their TMF and if they are in violation, return to compliance
- Strategic Goal 4 – Ensure all new systems, systems changing ownership and systems using public funds to construct projects have TMF Capacity to remain sustainable into the foreseeable future
- Strategic Goal 5 – Strengthen existing and foster new partnerships with federal, state, local governmental entities, environmental justice organizations, local non-profits and drinking water organizations
• Strategic Goal 6 – Provide a system of technical assistance and training for operators, managers and board members to ensure that drinking water provided by public drinking water systems is consistently safe

D. DWSRF PERFORMANCE METRICS

The following constitute performance metrics and targets for DFA to enable the timely and efficient processing of applications and disbursements:

1. Ninety-five percent (95%) of complete applications should receive an executed financing agreement in nine months or less, to the extent funds are available for such applications.\(^1\) A complete application means that all four DWSRF/Prop 1 Drinking Water application packages (General, Technical, Financial, and Environmental), with all applicable attachments, have been submitted and are sufficient for eligibility review.

2. One-hundred percent (100%) of complete disbursement requests should be fulfilled in 30 days or less.\(^2\)

3. Amend financing agreements no later than 60 days after receipt of complete Final Budget Approval Package.

4. DWSRF Fund utilization rate > 105 percent (105%) of available funds.

\(^1\) Agreement processing time is the time from receipt of a complete application to execution of the financing agreement.

\(^2\) Disbursement fulfillment time is the time from receipt of a complete disbursement request to warrant date.
IV. CRITERIA AND METHOD FOR DISTRIBUTION OF FUNDS

A. DISTRIBUTION OF FUNDS

The DWSRF program is managed on a cash flow basis, meaning funding commitment amounts for eligible projects are based upon an analysis of cash disbursements for such projects relative to the present and future revenues of the DWSRF. Such revenues may include existing and future federal capitalization grants and associated state match, as well as principal and interest repayments from existing repayable financing, and potential leveraged funds through the sale of revenue bonds. Section V.A details the anticipated fiscal impact on the DWSRF based upon the estimated financing amounts for SFY 2017-18 and the Fundable List included herein as Appendix B. A general cash flow analysis of the DWSRF has determined no minimum is required for commitment this year to maximize the lending capacity of the DWSRF, without consideration of any potential leveraging of the DWSRF through the future sale of revenue bonds under the DWSRF. The minimum commitment amount is derived from iterating a prorated lump sum commitment amount within the DWSRF cash flow model based upon the following assumptions:

1. Assume no new additional capitalization grants beyond the 2017 DWSRF Capitalization Grant.

2. Assume the current standard DWSRF interest rate.

3. Assume a recent historical proration of annual repayable financing and additional subsidy.

4. Incorporate balances from existing DWSRF capitalization grants (not including set-aside funds), associated state match sources, principal and interest repayments, and investment earnings.

5. Assume projected disbursements for a generalized suite of project types based upon historical averages.

6. Assume the DWSRF quarterly cash balances do not decrease below an average $100 million. This amount represents approximately six months of average quarterly disbursements, which is anticipated to be an aggressive time frame under this analysis to plan for a potential revenue bond sale, if needed.

Based upon the foregoing assumptions, and considering existing encumbrances, Figure 1 and Table 1 demonstrate there is no minimum commitment amount necessary to ensure the prudent and proper financial management of the DWSRF, absent any leveraging of the DWSRF.
Table 1: DWSRF Fiscal Impact and Minimum DWSRF Commitment Amount

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<td>$159,747,999</td>
<td>$269,775,185</td>
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* Prop 1 Drinking Water funds have been appropriated to the State Water Board by the Legislature and the Governor. However, Prop 1 Drinking Water Funds are not recorded in this cash flow presentation until the associated projects have been, or are projected to be encumbered against the DWSRF as Prop 1 drinking water state match.

**This amount represents an adjustment to the “Estimated Disbursements” based upon the recent historical accuracy of the estimated disbursement profiles employed in DFA’s fiscal forecasting.
Unlike the DWSRF, Prop 1 Drinking Water funding is managed based upon available appropriation to the State Water Board under the State Budget. Generally, the State Water Board will have three years to encumber and two years after that to fully liquidate Prop 1 Drinking Water appropriations, unless otherwise extended or re-appropriated by the Legislature. The State Water Board has been appropriated $241.8 million in Prop 1 Drinking Water funding for encumbrance and expenditure on eligible drinking water planning, construction and technical assistance projects, including projects serving as state match for the DWSRF. Appropriated funds are available for encumbrance until June 30, 2018.

Prop 1 Drinking Water funding is available for grants and loans for PWS infrastructure improvements and related actions to meet safe drinking water standards, ensure affordable drinking water or both. To maximize future state match against federal capitalization grants, the State Water Board will allocate at least $128 million in Prop 1 Drinking Water funds to be made available as DWSRF-eligible repayable financing, leaving the remaining portion of Prop 1 Drinking Water funds available for repayable
financing, grants, technical assistance, and Drinking Water Capital Reserve. Prop 1 Drinking Water repayable financing assigned as state match may contain a 100 percent (100%) principal forgiveness component. Additional details on the allocation of Prop 1 Drinking Water as state match for the DWSRF are included in Section V.A.

B. COMPREHENSIVE LIST

The Comprehensive List (Appendix A) identifies PWSs seeking financial assistance for specific drinking water infrastructure projects. A project must be on the Comprehensive List to be considered for DWSRF financing. Eligible projects on the Comprehensive List will generally also be considered for Prop 1 Drinking Water funding. However, placement of a project on a Comprehensive List does not constitute a commitment to provide financing.

Applicants must submit, at a minimum, the General DWSRF application package to be added to the Comprehensive List, whether ultimately funded by the DWSRF, Prop 1, or a combination thereof. The General package must describe the nature of the project with sufficient details to enable the State Water Board to rank and place the project on the Comprehensive List. The State Water Board will review and rank the project in the appropriate ranking categories as described in Section IV.C of this IUP.

The DWSRF application is available online via the Financial Assistance Application Submittal Tool (FAAST). The application consists of four separate/specific packages (General, Technical, Environmental, and Financial), all of which can be submitted separately. An application is deemed complete when all four packages are submitted and determined complete by the State Water Board.

The Comprehensive List will generally be updated quarterly on the State Water Board’s website. The Executive Director may update the Comprehensive List more frequently if necessary or less frequently if there are no new projects to be added.
C. PRIORITY SYSTEM

DWSRF and Prop 1 Drinking Water projects are reviewed and ranked by categories and other factors described below:

Categories

Each project will be assigned to one of the following categories:

Category A - Immediate Health Risk

• Documented waterborne disease outbreaks attributable to the water system.
• Water systems under a court order to correct SDWA violations or to correct water outage problems.
• Total coliform Maximum Contaminant Level (MCL) violations attributable to active sources contaminated with coliform bacteria (fecal, E. coli, or total coliform).
• Severe domestic water supply outage(s) posing an imminent threat to public health and safety.
• The distribution of water containing nitrates/nitrites or perchlorate in excess of the MCL.

Category B - Untreated or At-Risk Sources

• Surface water or groundwater under the direct influence (GWUDI) sources that are untreated, not filtered, or have other filtration treatment deficiencies that violate federal or state regulations.
• Non-GWUDI groundwater sources that are contaminated with fecal coliform or E. coli and are inadequately treated.
• Uncovered distribution reservoirs.

Category C - Compliance or Shortage Problems

• Water quantity problems caused by source capacity, or water delivery capability that is insufficient to meet existing demand.
• The distribution of water containing chemical or radiological contamination in violation of a state or federal primary drinking water standard (other than nitrate/nitrite or perchlorate).
• Total Coliform Rule violations for reasons other than source contamination.

3 Projects may include the replacement of leaking infrastructure that is causing a PWS to not meet existing demand because of excessive water loss.
Category D - Inadequate Reliability

- Non-metered service connections, or defective water meters.
- CWSs, and PWSs owned by public schools, with a single source and no backup supply.
- Distribution reservoirs with non-rigid covers in active use.
- Disinfection facilities that lack needed reliability features, such as chlorine analyzers or alarms.
- Disinfection deficiencies that violate Waterworks Standards.
- Excessive Water loss due to failing drinking water infrastructure that is not necessarily affecting the delivery of water to meet existing demand.

Category E - Secondary Risks

- The distribution of water that exceeds secondary drinking water standards.
- The distribution of water in excess of a published chemical notification level.
- The distribution of water, which has exceeded a primary drinking water standard in one or more samples, but has not violated a running average standard.
- A standby groundwater source that exceeds a primary drinking water standard.
- Deficiencies that violate Waterworks Standards (other than those already covered above).

Category F - Other Projects

- Deficiencies attributable to the water system that address present or prevent future violations of health-based standards (other than those already covered above).

Other Factors

A project that includes one or more of the following will receive priority over other projects within the same category:

- Project benefits a disadvantaged community or a severely disadvantaged community.
- Project will result in the consolidation of water system(s) or extension of service to a disadvantaged community or a severely disadvantaged community that is not being served by a public water system.

D. DWSRF AND PROP 1 DRINKING WATER FUNDING APPROACH

The State Water Board will fund eligible and complete applications for DWSRF and Prop 1 Drinking Water funding during SFY 2017-18 consistent with the DWSRF Policy, applicable federal and state statutes, regulations, and guidance, including this IUP. The State Water Board will also manage all available funding sources so that the best possible financing package can be provided to drinking water applicants that are eligible for funds from the DWSRF, Prop 1 Drinking Water, and other available sources. Existing procedures for providing funding will govern the administration and management of both DWSRF and Prop 1 Drinking Water funding, to the extent feasible.
The DWSRF Policy directs staff to review and approve financing for eligible projects that have complete application packages in the order they are ranked and are ready to proceed to a financing agreement. Once DFA deems an application complete (all the packages have been submitted), DFA will conduct detailed technical, environmental and financial reviews to determine the applicant’s eligibility for DWSRF and Prop 1 Drinking Water funding. If the State Water Board has insufficient funds to finance all eligible projects with complete application packages, it will first fund eligible projects based on project categories, giving priority within a category to the small, disadvantaged community with the lowest median household income and to consolidation or extension of service projects.

The State Water Board may limit funding to amounts necessary to enable a PWS to meet primary drinking water standards, as defined in the California Health and Safety code, commencing with Section 116270. A funded system must also demonstrate TMF, regardless of the amount or type of funding provided.

E. DISADVANTAGED AND SEVERELY DISADVANTAGED COMMUNITY ADDITIONAL SUBSIDY FUNDING

Subject to certain affordability criteria as detailed in Section V.B, the State Water Board intends to provide the maximum amount allowed from the 2017 Capitalization Grant as principal forgiveness to eligible PWSs that serve disadvantaged and severely disadvantaged communities for projects that represent California’s highest public health priorities and that are ready to proceed to a financing agreement. The SDWA allows up to 30 percent (30%) of a federal capitalization grant to be provided as additional subsidy for PWSs serving disadvantaged communities. Additional subsidy may be provided in the form of principal forgiveness, negative interest rates, or grants. Similar to the FFY 2016 DWSRF capitalization grant, the 2017 Capitalization Grant may also require states to provide an additional 20 percent (20%) of the 2017 Capitalization Grant as additional subsidy to eligible projects. The additional 20 percent allocation for principal forgiveness may be mandatory and additive to the 30 percent (30%) allocation provided under the SDWA, but may not be restricted, like the 30 percent (30%) allocation, to solely PWSs serving disadvantaged communities.

Additionally, Prop 1 Drinking Water and Prop 1 Groundwater provide for additional subsidy in the form of grants and principal forgiveness for public water systems serving disadvantaged communities. To the maximum extent practicable, the State Water Board intends to maximize available appropriation under Prop 1 Drinking Water for grants and principal forgiveness for SWSs serving disadvantaged communities. To assist disadvantaged communities in addressing drinking water emergencies, the State Water Board may provide Prop 1 grants to state agencies that act on behalf of disadvantaged communities where a PWS has been identified as an otherwise eligible applicant. Finally, Prop 1 Groundwater grants may also be available.

See Section V.B for the additional subsidy and reduced terms provided to eligible PWSs that serve disadvantaged communities. It is the intent of the State Water Board to provide for the effective and equitable use of the limited amount of DWSRF and Prop 1 Drinking Water principal forgiveness/grant funds. Therefore, the eligible grant and/or principal forgiveness funding amount for any project may be reduced for good cause.
F. SMALL WATER SYSTEM FUNDING

Federal rules require that at least 15 percent (15%) of available DWSRF funding be provided to PWSs that serve less than 10,000 people to the extent such projects for such PWSs are ready to proceed to a funding agreement. Regardless of the available funding for SWS under minimum federal requirements, the State Water Board will prioritize all DWSRF funding for eligible SWSs that are ready to proceed to a funding agreement, to the maximum extent practicable, and in consideration of all other federal and State authorities governing the prioritization of DWSRF funding.

The Office of Sustainable Water Solutions has redirected staff to form two Small Community Drinking Water Units to help SWSs apply for funding and successfully implement projects. DFA staff will continue to work with applicants and DDW to facilitate consolidation of SWSs, as well as provide technical assistance to help SWSs achieve TMF capacity.

G. CAPACITY ASSESSMENT

The State Water Board conducts TMF capacity assessments of all DWSRF and Prop 1 Drinking Water construction applicants to ensure sustainability, resilience, and responsible use of public funds. Where a state agency applicant acts on behalf of a disadvantaged community in applying for Prop 1 grant funding, the State Water Board will analyze the TMF capacity of the appropriate PWS. If a system does not have adequate TMF capacity, DWSRF assistance may only be provided if it will help the PWSs achieve TMF capacity.

1. Technical Capacity

To demonstrate technical capacity, PWSs must show that their systems’ drinking water sources are adequate; that the treatment, distribution, and storage infrastructure are adequate; and that system personnel have the technical knowledge to efficiently operate and maintain the system. As part of reviewing a funding application, the State Water Board will review the engineering reports, plans and specifications as well as the PWS’s records to verify that the system is being properly operated and maintained.

2. Managerial Capacity

To demonstrate managerial capacity, the PWS must have personnel with expertise to manage the operation of the entire water system. The State Water Board will review the PWS’s managerial capacity to assure that management is (1) involved in the day-to-day supervision of the water system, (2) compliant with all required regulations, (3) available to respond to emergencies, and (4) capable of identifying and addressing all necessary capital improvements and assuring financial viability. The State Water Board will also review records to ensure that the PWS is staffed with a qualified water operator in accordance with the State’s Operator Certification Program.

3. Financial Capacity

A PWS must demonstrate it has the financial capacity to own and operate its water system, including the proposed construction project, as a condition for the award of
construction financing from the DWSRF or Prop 1 Drinking Water. The PWS must show that the system has sufficient revenues to cover necessary operation and maintenance costs and demonstrate credit worthiness with adequate fiscal controls. The PWS must also demonstrate financial planning for future capital improvements, including providing any water rate studies to demonstrate overall financial capacity. The State Water Board will review the PWS’s project budget, audited annual financial reports, and other financial information to determine the PWS has adequate financial capacity to operate and maintain its system, including the proposed infrastructure project.

A PWS may not be required to demonstrate financial capacity to operate and maintain its water system, including a proposed infrastructure, in order to receive planning funds from the DWSRF or Prop 1 Drinking Water. DWSRF or Prop 1 Drinking Water planning funds may be used to assist a PWS in establishing its financial capacity to operate and maintain its system, including a proposed infrastructure project, in preparation for eventual construction financing. Examples of tasks financed with DWSRF or Prop 1 Drinking Water planning funds may include water rate studies, budget development, Prop 218 technical assistance, and capital improvement planning.

H. CONSOLIDATION

Consolidation, as defined under Section 116681 of the Health and Safety Code, Subdivision (e), means “joining two or more public water systems, state small water systems, or affected residences not served by a public water system, into a single public water system.”

Many small water systems struggle to meet minimum state and federal requirements to provide safe and reliable drinking water. Due to the lack of economies of scale that can be achieved by a larger customer base, small water systems face technical, managerial, and financial challenges to maintaining long-term sustainability. Infrastructure projects are increasingly costly, the technical complexity of compliance grows, and economic constraints are especially onerous for such systems. Consolidation is a promising solution to many difficulties faced by small water systems, particularly when confronted with compliance-related problems or depleted water sources. DFA requires all funding applicants to evaluate the feasibility of consolidation, and will continue to work closely with DDW by facilitating consolidation discussions and providing technical assistance. If planning funding is being provided to a small water system, DFA may require an evaluation of consolidation prior to other planning activities. If consolidation is considered infeasible, the applicant will be required to discuss the reasons supporting that determination. Recognizing the critical role of the State Water Board in the success of funded projects, DFA will strive to achieve the best service for the consumer and help ensure the system can be maintained for the long term.

The State Water Board also encourages consolidation by providing financing as described in Section V.B.2 of this IUP.

During SFY 2017-18, the State Water Board will continue to provide incentives to encourage the consolidation of PWSs, especially those systems with serious drinking water public health problems. Incentives for consolidation may include, but are not limited to:
Up to $10 million in zero percent interest rate financing may be awarded for an eligible construction project (incentive project) that benefits an eligible PWS, if such a PWS completes a full consolidation with a water system serving a small disadvantaged or small severely disadvantaged community, or if such a PWS completes an extension of water service to at least 15 connections with a disadvantaged or severely disadvantaged population currently not served by a PWS. Additional information on this consolidation incentive is included in Section V.B.2 of this IUP.

- Giving priority financing to consolidation projects ranked within the same category.
- Using the financial assistance terms that the smaller consolidating entity would be eligible for.
- Funding to replace any capacity lost as a result of the consolidation.

Other incentives may be considered and consolidating agencies are encouraged to discuss other potential incentives with State Water Board staff.

I. FUNDABLE LIST

The SFY 2017-18 Fundable List consists of both planning and construction projects that the State Water Board anticipates will have executed financing agreements by June 30, 2018. The Fundable List includes projects to be funded either by Prop 1 Drinking Water or by DWSRF. Prop 1 Drinking Water funds will also be used as DWSRF state match based upon the cash flow needs of the DWSRF and criteria for Prop 1 Drinking Water project funding contained herein to fund the eligible principal forgiveness portion of DWSRF projects.

The Fundable list includes 123 projects for a total of approximately $994 million (Appendix B). Of this list, 57 projects totaling approximately $691 million are expected to be funded solely by the DWSRF. Additionally, 60 projects totaling approximately $44 million, and consisting mostly of planning projects, are expected to be funded solely by Prop 1 Drinking Water grant funds. Finally, six projects totaling approximately $259 million are expected to be co-funded between DWSRF and Prop 1 Drinking Water grant funding. Some of these projects may be funded by the end of SFY 2016-17. The Fundable List breakdown by system size and type of project is anticipated as shown in
Table 2 below:
Of the projects included on the Fundable List, the State Water Board reasonably expects approximately 80-85 projects to be funded in SFY 17-18 based upon DFA staffing resources. All 33 large water system planning and construction projects are expected to be financed if they continue to be ready for funding in SFY 2017-18. However, past experience indicates that many of the SWS applicants will require more technical assistance than the others and that not all of the 90 SWS planning and construction projects will be ready for a financing agreement by SFY 2017-18. The State Water Board expects that DFA will utilize all resources available to process and fund any SWS projects as they become ready, thereby meeting federal requirements that at least 15 percent (15%) of available funds will be used to fund small water systems.

The State Water Board will update the Fundable List periodically to add or remove projects as they progress toward financing agreements based on project readiness and DFA staff resources in processing such financing agreements. It is anticipated that no project on the Fundable List will be bypassed unless that project is not ready to proceed to a financing agreement or if funding, include principal forgives/grant, is not available. The State Water Board anticipates meeting federal deadlines relating to the obligation of DWSRF funds with more than $900 million worth of projects on the DWSRF portion of the SFY 2017-18 Fundable List.

J. PROJECT REMOVAL AND/OR BYPASS

1. Project Removals

DFA will monitor projects on the Comprehensive List to ensure that applicants are proceeding expeditiously with their projects. The State Water Board’s Executive Director will remove a project from the Comprehensive List when:

- The project has been on the list for at least four consecutive quarters, and the applicant has been non-responsive or has not requested that the project remain on the Comprehensive List;

- The State Water Board so instructs;

<table>
<thead>
<tr>
<th>Summary</th>
<th>Projected Number of Projects</th>
<th>Projected Total Funding Amount</th>
<th>Projected PF/Grant Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Small Water System Planning</td>
<td>49</td>
<td>$19,241,508</td>
<td>$18,024,543</td>
</tr>
<tr>
<td>Large Water System Planning</td>
<td>4</td>
<td>$5,265,000</td>
<td>$0</td>
</tr>
<tr>
<td>Small Water System Construction</td>
<td>41</td>
<td>$90,902,088</td>
<td>$56,567,624</td>
</tr>
<tr>
<td>Large Water System (Including Expanded SWS) Construction</td>
<td>29</td>
<td>$878,744,426</td>
<td>$20,066,099</td>
</tr>
<tr>
<td>TOTAL</td>
<td>123</td>
<td>$994,148,022</td>
<td>$94,658,266</td>
</tr>
</tbody>
</table>
• The project has received DWSRF financing or alternative financing;
• The water system ceases to exist or becomes ineligible;
• The problem no longer exists or has been corrected; or
• The applicant requests that the project be removed.

2. Project Bypass

Pursuant to the DWSRF Policy, the State Water Board may bypass any project where it determines that it is not ready to proceed to financing within SFY 2017-18. Bypassed projects will remain on the Comprehensive List and may be funded at a later date when it becomes feasible to fund the project and the project becomes ready to proceed.

K. APPLICATION OF FEDERAL CROSS-CUTTERS

Construction projects partially or fully funded by the DWSRF Program must generally comply with federal laws commonly known as “cross-cutters.” The State Water Board will ensure that DWSRF financing recipients comply with applicable federal laws through a variety of program procedures. The DWSRF financing agreements will generally include a list of applicable federal statutes and requirements taken from the most recent capitalization grant.

All applicants applying for drinking water construction funding will provide complete information for the DWSRF federal environmental cross-cutters by completing each of the sections in the Environmental Package of the Construction Application in preparation of the DWSRF Construction Application. DFA staff will review the Environmental Package of the Construction Application in preparation for consultation with federal agencies.

The State Water Board will use its State Environmental Review Process (SERP) to review any potential environmental impacts of projects during SFY 2017-18. The State Water Board staff will consult with the appropriate federal agency on projects that will or are likely to have an effect under federal regulations.

In addition to the federal environmental requirements, the State Water Board generally requires compliance with other cross-cutters, such as Disadvantaged Business Enterprise solicitations, for all DWSRF financing. All projects funded through the DWSRF or Prop 1 Drinking Water programs will be required to comply with federal cross-cutters unless waived by the Deputy Director of DFA for good cause.
V. DWSRF AND PROP 1 FINANCIAL MANAGEMENT

A. SOURCES AND USES OF FUNDS

1. Federal Capitalization Grants

Including the estimated $82 million 2017 Capitalization Grant, California will have received approximately $1.86 billion in federal DWSRF capitalization grant funding for both project financing and set-aside activities since the inception of the DWSRF program. See Table 6 and Table 7 for the sources and uses of DWSRF funds, including the State Water Board’s receipt of federal capitalization grants.

U.S. EPA provides for a payment schedule of the 2017 Capitalization Grant. Based upon the State Water Board’s cash flow modeling and projected disbursements for SFY 2017-18, the State Water Board has requested the following federal payment schedule from U.S. EPA for the 2017 Capitalization Grant, as detailed in Table 3 below.

Table 3: 2017 Capitalization Grant Payment Schedule

<table>
<thead>
<tr>
<th>FFY</th>
<th>Payment Date</th>
<th>Estimated Amount</th>
<th>Description</th>
<th>Site Code*</th>
</tr>
</thead>
<tbody>
<tr>
<td>2017</td>
<td>Award Date</td>
<td>$3,280,000</td>
<td>4% DWSRF Administration</td>
<td>DD</td>
</tr>
<tr>
<td>2017</td>
<td>Award Date</td>
<td>$1,640,000</td>
<td>2% SWS Technical Assistance</td>
<td>DE</td>
</tr>
<tr>
<td>2017</td>
<td>Award Date</td>
<td>$8,200,000</td>
<td>10% State Program Management</td>
<td>DF</td>
</tr>
<tr>
<td>2017</td>
<td>Award Date</td>
<td>$5,740,000</td>
<td>7% Local Assistance &amp; Other Programs</td>
<td>DG</td>
</tr>
<tr>
<td>2017</td>
<td>Award Date</td>
<td>$63,140,000</td>
<td>77% Loan Fund</td>
<td>DA</td>
</tr>
</tbody>
</table>

*Site Codes reference the federal accounts in which the various loan and set-aside funds of a capitalization grant are deposited and made available for liquidation by the State Water Board.

Finally, the 2017 Capitalization Grant provides additional subsidy to PWSs that serve disadvantaged communities. Subject to the 2017 Capitalization Grant terms and conditions, the State Water Board intends to commit the maximum allowed under the 2017 Capitalization Grant as additional subsidy for eligible DWSRF projects. The estimated maximum additional subsidy amount for the 2017 Capitalization Grant is provided in Table 4 below:

Any additional subsidy available from prior DWSRF capitalization grants will also be used to fund eligible projects for the SFY 2017-18. Also, in accordance with the FFY 2016 DWSRF capitalization (2016 Capitalization Grant) grant terms and conditions and the SFY 16-17 IUP, an additional 20 percent (20%) of the 2016 Capitalization Grant, for a combined 50 percent (50%) of such grant, has been made available as additional subsidy to eligible projects. The additional subsidy provided under the 2016 Capitalization Grant will further allow the State Water Board to leverage Prop 1 Drinking Water funds as additional state match for the DWSRF while also providing additional...
debt relief for California’s disadvantaged communities. As of April 6, 2017, the additional subsidy still available for eligible projects from prior year capitalization grants is detailed in Table 4 below.

Table 4: Prior Year Capitalization Grant and Estimated FFY 2017 Capitalization Grant Additional Subsidy Amounts

<table>
<thead>
<tr>
<th>FFY DWSRF Capitalization Grant</th>
<th>Existing Additional Subsidy Balance (as of April 6, 2017)</th>
<th>New Additional Subsidy Balance (as of April 6, 2017)</th>
</tr>
</thead>
<tbody>
<tr>
<td>2016</td>
<td>$17,143,147</td>
<td>$0</td>
</tr>
<tr>
<td>2017</td>
<td>$0</td>
<td>$41 million (estimate)</td>
</tr>
</tbody>
</table>

2. DWSRF Capitalization Grant State Match Source

The SDWA requires states to provide a 20 percent (20%) match to the capitalization grants received from the federal government. The State match for the 2017 Capitalization Grant will be provided through an allocation of Prop 1 Drinking Water funding. As of June 30, 2017, approximately $128.16 million of Prop 1 Drinking Water funds are expected to be allocated as State match for repayable financing and grant/principal forgiveness funding to drinking water projects eligible under both the DWSRF and Prop 1 Drinking Water Programs, as set forth in this IUP. Table 5 below documents the State Match provided from the SFY 2014-15 and SFY 2015-16 Prop 1 Drinking Water appropriations.

Table 5: SFY 2014-15 and SFY 2015-16 Prop 1 $241.8 million Prop 1 Local Assistance Appropriation Allocation for DWSRF State Match

<table>
<thead>
<tr>
<th>California Prop 1 Drinking Water Appropriation</th>
<th>Prop 1 Drinking Water Appropriation Allocation For DWSRF State Match</th>
</tr>
</thead>
<tbody>
<tr>
<td>2015</td>
<td>$32,659,746.80</td>
</tr>
<tr>
<td>2016</td>
<td>$95,500,000.00</td>
</tr>
<tr>
<td>Total</td>
<td>$128,159,746.80</td>
</tr>
</tbody>
</table>

Based upon a projected amount of $82 million for the 2017 Capitalization Grant, the 2017 set-aside amounts of $18,860,000 and the associated 2017 state match of $16,400,000, the disbursement proportionality for the 2017 Capitalization Grant is 79.39% / 20.61% (Federal/State). The State Water Board will disburse the State match for the 2017 Capitalization Grant prior to disbursing funds allocated for project financing from such grant. However, if the expenditure rate of the state match for the 2017 Capitalization Grant begins to substantially slow or stall the disbursement of the 2017 Capitalization Grant, then the State Water Board may disburse the associated State match on a proportional basis with the 2017 Capitalization Grant.

3. DWSRF State Program Management-PWSS 1:1 State Match

In addition to the 20 percent (20%) state match already provided by the State, an additional 1:1 State Match is required for the amount budgeted under State Program Management Set-Aside. For SFY 2017-18, the State Water Board is budgeting the full
10 percent (10%) of the 2017 Capitalization Grant ($8,200,000) for the State Program Management Set-Aside. A 1:1 State Match for the State Program Management Set-Aside equals $8,200,000 and is anticipated under a State budget appropriation to the DDW’s Safe Drinking Water Account in SFY 2017-18 totaling approximately $24.068 million. The source of funding for this appropriation is derived from a fee structure charged to California’s PWSs for permitting, inspection, compliance, monitoring, and enforcement activities performed by DDW.

4. Principal and Interest Repayment Sources

As of June 30, 2017, the State Water Board will have received approximately $577.8 million in principal and interest repayments as well as investment earnings since the inception of the DWSRF program. For SFY 2017-18, the State Water Board anticipates receipt of approximately $118 million in principal repayments and interest earnings, which will continue to be committed to eligible DWSRF projects.

5. Summary of Sources of all DWSRF Funds

Table 6 below constitutes a summary of all sources of funds of the DWSRF, including the funds anticipated for SFY 2017-18.

Table 6: Sources of all DWSRF Funds

<table>
<thead>
<tr>
<th>Description</th>
<th>Projected Cumulative Total through 6/30/2017**</th>
<th>Projected 7/1/17-6/30/18* (This IUP)</th>
<th>Projected Cumulative Total through 6/30/2018*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal Capitalization Grants</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Loans (including ARRA)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Administration</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Small Water System Technical Assistance</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>State Program Management</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local Assistance &amp; Other State Programs</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>State Match</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>20% Capitalization Grant Match***</td>
<td>$457,471,571</td>
<td>$21,294,456</td>
<td>$478,766,027</td>
</tr>
<tr>
<td>State Program Management Set-Aside 1:1 Match (minimum amount)</td>
<td>$90,240,202</td>
<td>$8,200,000</td>
<td>$98,440,202</td>
</tr>
<tr>
<td>Principal Repayments</td>
<td>$410,097,299</td>
<td>$64,880,195</td>
<td>$474,977,494</td>
</tr>
<tr>
<td>Interest Repayments (incl. Penalties)</td>
<td>$146,129,811</td>
<td>$18,067,511</td>
<td>$164,197,322</td>
</tr>
<tr>
<td>Investment Earnings</td>
<td>$17,200,000</td>
<td>$800,000.00</td>
<td>$18,000,000</td>
</tr>
<tr>
<td>Sources Total</td>
<td>$2,905,273,469</td>
<td>$195,242,162</td>
<td>$3,100,515,631</td>
</tr>
</tbody>
</table>

*Based upon current estimates for SFY 16-17 ending June 30, 2017

**Based upon current reconciliation

***Includes allocation Prop 1 Drinking Water funds as overmatch to the DWSRF
6. Use of All DWSRF Funds Available

Including estimates for the remainder of SFY 2016-17, the State Water Board expects to have executed over 424 funding agreements for a combined total of approximately $2.7 billion since the inception of the DWSRF program. The total amount of funds used by the DWSRF, including estimates for SFY 2016-17 and SFY 2017-18 is presented in Table 7 below.

Table 7: Uses of All DWSRF Funds

<table>
<thead>
<tr>
<th>Description</th>
<th>Projected Cumulative Total through 6/30/2017**</th>
<th>Projected 7/1/17-6/30/18* (This IUP)</th>
<th>Projected Cumulative Total through 6/30/2018*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Loans/Repayable Financing</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To Large Systems (&gt;10,000 population)</td>
<td>$2,377,875,657</td>
<td>$869,857,352</td>
<td>$3,247,733,009</td>
</tr>
<tr>
<td>To Small Systems (&lt;10,000 population)</td>
<td>$393,292,387</td>
<td>$64,586,045</td>
<td>$457,878,432</td>
</tr>
<tr>
<td>Additional Subsidy</td>
<td>$348,703,251</td>
<td>$41,000,000</td>
<td>$389,703,251</td>
</tr>
<tr>
<td>Set-Aside Funding</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>DWSRF Administration</td>
<td>$69,678,330</td>
<td>$3,280,000</td>
<td>$72,958,330</td>
</tr>
<tr>
<td>Small Water System Technical Assistance</td>
<td>$33,498,669</td>
<td>$1,640,000</td>
<td>$35,138,669</td>
</tr>
<tr>
<td>State Program Management</td>
<td>$90,240,202</td>
<td>$8,200,000</td>
<td>$98,440,202</td>
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<tr>
<td>Local Assistance and Other Programs</td>
<td>$32,675,664</td>
<td>$5,740,000</td>
<td>$38,415,664</td>
</tr>
</tbody>
</table>

*Based upon current estimates
**Based upon current reconciliation

As a result of the anticipated new executed funding agreements for SFY 2017-18, as represented in the SFY 2017-18 Fundable List (Appendix B), the State Water Board is estimating a DWSRF fiscal impact demonstrated in Figure 2 below and Table 8.
Figure 2: Estimated DWSRF Fiscal Impact for SFY 2017-18 When Considering the 2017 Capitalization Grant
Table 8: Estimated DWSRF Fiscal Impact for SFY 2017-2018 Based Upon 2017 DWSRF Capitalization Grant

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Beginning Balance</td>
<td>$466,390,287.43</td>
<td>$333,363,199.35</td>
<td>$43,469,208.98</td>
<td>($224,170,424.14)</td>
<td>($336,945,156.54)</td>
</tr>
<tr>
<td>Estimated Principal Payments + Interest Earnings</td>
<td>$58,908,026.83</td>
<td>$90,556,369.22</td>
<td>$100,753,955.86</td>
<td>$117,814,268.05</td>
<td>$142,395,015.73</td>
</tr>
<tr>
<td>Estimated SMIF Interest Earnings</td>
<td>$800,000.00</td>
<td>$800,000.00</td>
<td>$800,000.00</td>
<td>$800,000.00</td>
<td>$800,000.00</td>
</tr>
<tr>
<td>State Match Financing Revenue (2016 IBank)</td>
<td>$36,000,000.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>State Match Financing Repayment (2016 IBank)</td>
<td>($36,025,000.00)</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Federal Capitalization Grant (Project Funds) Awarded</td>
<td>$57,879,100.00</td>
<td>$63,140,000.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Prop 1 State Match *</td>
<td>$80,878,928.30</td>
<td>$34,937,141.29</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Estimated Disbursements</td>
<td>($342,153,015.66)</td>
<td>($12,320,971.44)</td>
<td>($394,606,230.21)</td>
<td>($247,316,161.23)</td>
<td>($97,035,948.81)</td>
</tr>
<tr>
<td>Adjusted Estimated Disbursements **</td>
<td>($331,468,143.21)</td>
<td>($479,327,500.88)</td>
<td>($369,193,588.98)</td>
<td>($231,389,000.45)</td>
<td>($90,786,833.71)</td>
</tr>
<tr>
<td>Adjusted Year-End Balances</td>
<td>$333,363,199</td>
<td>$43,469,209</td>
<td>($224,170,424)</td>
<td>($336,945,157)</td>
<td>($284,536,975)</td>
</tr>
</tbody>
</table>

* Prop 1 Drinking Water funds have been appropriated to the State Water Board by the Legislature and the Governor. However, Prop 1 Drinking Water Funds are not recorded in this cash flow presentation until the associated projects have been, or are projected to be encumbered against the DWSRF as Prop 1 drinking water state match.

**This amount represents an adjustment to the “Estimated Disbursements” based upon the recent historical accuracy of the estimated disbursement profiles employed in DFA’s fiscal forecasting.

Figure 2 and Table 8 above demonstrate the estimated year-end cash balances for the DWSRF and resulting summary fiscal impact on the DWSRF for SFY 2017-18, assuming the projected disbursements for existing DWSRF encumbrances as well as estimated DWSRF encumbrances for SFY 2017-18 based upon the SFY 2017-18 Fundable List. Figure 2 and Table 8 also consider the existing principal and interest cash balances within the DWSRF as well as anticipated repayment revenues from both existing loans and new loans projected under the 2017-18 Fundable List. Finally, both Figure 2 and Table 8 consider existing DWSRF capitalization grant balances as well as the anticipated 2017 DWSRF Capitalization Grant, and all associated state match balances. The need for additional revenue is apparent beginning in SFY18-19, if no additional DWSRF capitalization grants are awarded beyond the 2017 DWSRF Capitalization Grant. Conversely, assuming the receipt of an average DWSRF capitalization grant each year, over the next several years, then the need for additional revenue from the sale of revenue bonds diminishes somewhat as demonstrated in Figure 3 and Table 9 below.

Nonetheless, current commitment/disbursement trends suggest the potential need for a DWSRF revenue bond sale in the next few years, even assuming the receipt of additional DWSRF capitalization grants beyond the 2017 DWSRF Capitalization Grant. Based upon a review of the cash flow scenarios above, and in consideration of the
anticipated funding demand listed on the Fundable List, the current estimated, maximum leveraging amounts relative to lending capacity in SFY 2017-18 are described in Table 10 below. DFA will continue to closely monitor its existing and forecasted cash balances for the potential need of additional revenue through the sale of DWSRF revenue bonds.

Figure 3: Estimated DWSRF Fiscal Impact for SFY 2017-18 Based Upon 2017 DWSRF Capitalization Grant and Estimated Future Capitalization Grants
Table 9: Estimated DWSRF Fiscal Impact for SFY 2017-2018 Based Upon 2017 DWSRF Capitalization Grant and Estimated Future Capitalization Grants

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Beginning Balance</td>
<td>$466,390,287.43</td>
<td>$333,363,199.35</td>
<td>$43,469,208.98</td>
<td>($159,670,424.14)</td>
<td>($207,945,156.54)</td>
</tr>
<tr>
<td>Estimated Principal Payments + Interest Earnings</td>
<td>$58,908,026.83</td>
<td>$90,556,369.22</td>
<td>$100,753,955.86</td>
<td>$117,814,268.05</td>
<td>$142,395,015.73</td>
</tr>
<tr>
<td>Estimated SMIF Interest Earnings</td>
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<td>$800,000.00</td>
<td>$800,000.00</td>
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<tr>
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<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>State Match Financing Repayment (2016 IBank)</td>
<td>($36,025,000.00)</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
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<td>$63,140,000.00</td>
<td>$64,500,000.00</td>
<td>$64,500,000.00</td>
<td>$64,500,000.00</td>
</tr>
<tr>
<td>Prop 1 State Match *</td>
<td>$80,878,928.30</td>
<td>$34,937,141.29</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Estimated Disbursements</td>
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<td>($512,320,971.44)</td>
<td>($394,606,230.21)</td>
<td>($247,316,161.23)</td>
<td>($97,035,948.81)</td>
</tr>
<tr>
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<td>($479,327,500.88)</td>
<td>($369,193,588.98)</td>
<td>($231,389,000.45)</td>
<td>($90,786,833.71)</td>
</tr>
<tr>
<td>Adjusted Year-End Balances</td>
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<td>$43,469,209</td>
<td>($159,670,424)</td>
<td>($207,945,157)</td>
<td>($91,036,975)</td>
</tr>
</tbody>
</table>

* Prop 1 Drinking Water funds have been appropriated to the State Water Board by the Legislature and the Governor. However, Prop 1 Drinking Water Funds are not recorded in this cash flow presentation until the associated projects have been, or are projected to be encumbered against the DWSRF as Prop 1 drinking water state match.

**This amount represents an adjustment to the “Estimated Disbursements” based upon the recent historical accuracy of the estimated disbursement profiles employed in DFA’s fiscal forecasting.
Table 10: Estimated Maximum DWSRF Leveraging Scenarios

<table>
<thead>
<tr>
<th>Estimated DWSRF Repayable Financing (Loan) Capacity in SFY 17-18*</th>
<th>Assume future capitalization grant awards****</th>
<th>Estimated Maximum Future Leveraging**</th>
</tr>
</thead>
<tbody>
<tr>
<td>~$0</td>
<td>No</td>
<td>$0</td>
</tr>
<tr>
<td>~$100 million</td>
<td>Yes</td>
<td>$0</td>
</tr>
<tr>
<td>~$900 million***</td>
<td>Yes</td>
<td>~$300 million</td>
</tr>
<tr>
<td>~$900 million***</td>
<td>No</td>
<td>~$450 million</td>
</tr>
</tbody>
</table>

* Does not include DWSRF/P1 PF and grants because additional subsidy for disadvantaged communities will be funded with Prop 1
** Based upon current disbursement projections, which are being actively monitored and tested in the State Water Board’s Loans and Grants Tracking System (LGT)
***Based upon estimated total loan amount in SFY 17-18 DWSRF Fundable List
****Assume $82M as the recent annual average of DWSRF capitalization grants.

7. DWSRF Fiscal Impact and Extended Term Financing for Publicly Owned Public Water Systems Serving Non-Disadvantaged Communities

U.S. EPA has recently indicated that 30-year extended term financing is permissible for publicly owned public water systems serving non-disadvantaged communities. As further described in Section V.B.1 of this IUP, the State Water Board intends to provide 30-year extended term financing to eligible PWSs serving non-disadvantaged communities without jeopardizing the State Water Board’s commitment to prioritize funding for small, disadvantaged communities. The SFY 17-18 Fundable List (Appendix B) identifies approximately $575 million in repayable financing for publically owned PWSs serving non-disadvantaged communities. Providing 30-year financing for such projects – as opposed to 20-year financing – will result in an approximately a 28 percent decrease (28%) in repayments over a 5-year period following their respective project completions. Such a decrease in repayment funds over this 5-year period does not jeopardize funding for California’s small disadvantaged communities because of the State Water Board’s anticipated ability to supplement such short-term loss in lending capacity with the sale of DWSRF revenue bonds. Additionally, 30-year financing projected for public water systems serving non-disadvantaged communities in SFY 17-18 will actually contribute approximately $56 million more interest returns to the DWSRF over the long-term, than would an equivalent amount of 20-year financing.

8. DWSRF Federal Draw Schedule and Estimated DWSRF Project Disbursements

Table 11 below represents the State Water Board’s anticipated federal draw schedule for SFY 2017-18 as well as the anticipated liquidation of the 2017 Capitalization Grant in SFY 2017-18. The federal draw schedule assumes U.S. EPA’s “first-in-first-out” policy for the liquidation of DWSRF capitalization grants and therefore includes the anticipated liquidation of the projected remaining balances of the 2015 and 2016 DWSRF capitalization grants. It is anticipated that the remaining balance of the 2014 DWSRF Capitalization Grant of approximately $1.7 million (as of March 29, 2017) will be liquidated by June 30, 2017. It is also anticipated that the remaining balances of the
FFY 2015 and 2016 DWSRF capitalization grants are projected be fully liquidated by June 30, 2018.4

Current cash flow projections suggest that the 2017 DWSRF Capitalization Grant may not be liquidated until late calendar year 2019, due to the expenditure rate of the set-asides. The State Water Board will also disburse the 2017 State Match in accordance with procedures detailed in Section V.A of this IUP.

Table 11: 2017 Capitalization Grant Draw Schedule

<table>
<thead>
<tr>
<th>FFY DWSRF Cap Grant</th>
<th>Estimated Balance (as of 6/30/2017)</th>
<th>Projected SFY 2017-18 Disbursements</th>
<th>Projected Balance (as of 6/30/2018)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Q1</td>
<td>Q2</td>
</tr>
<tr>
<td>2017 -Project Loan Account</td>
<td>63.145</td>
<td>-</td>
<td>63.14</td>
</tr>
</tbody>
</table>

Table 12 below represents the State Water Board’s projected DWSRF project disbursements, per quarter, for SFY 2017-18. The estimated project disbursements assume all existing DWSRF agreements with estimated unspent balances as of June 30, 2017 as well as the projected disbursements resulting from the anticipated planning and construction agreements included in the SFY 2017-18 DWSRF Fundable List.

Table 12: SFY 2017-18 Projected Disbursements by Quarter

<table>
<thead>
<tr>
<th>State Fiscal Year</th>
<th>Q1</th>
<th>Q2</th>
<th>Q3</th>
<th>Q4</th>
<th>Total Projected Disbursement</th>
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</thead>
<tbody>
<tr>
<td>Est. SFY 2017-18 (as of 3/20/2016)</td>
<td>$113,480,489.62</td>
<td>$143,062,513.83</td>
<td>$131,590,056.87</td>
<td>$124,187,911.12</td>
<td>$512,320,971.44</td>
</tr>
<tr>
<td>Adj. Est. - SFY 2017-18 (as of 3/20/2016)</td>
<td>$106,172,346.09</td>
<td>$133,849,287.94</td>
<td>$123,115,657.21</td>
<td>$116,190,209.64</td>
<td>$479,327,500.88</td>
</tr>
</tbody>
</table>

9. Proposition 1 Drinking Water Funds

Section 79724 of the Water Code allocates $260 million for drinking water grants and loans for PWS infrastructure improvements and related actions to meet safe drinking water standards, ensure affordable drinking water, or both. For SFY 2014-15,

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4 It is currently anticipated that the State Water Board will request from U.S. EPA a transfer of 2015 capitalization grant funds to the 2015 Local Assistance set-aside for expenditure in SFY 2017-18 in support of DFA and DDW’s capacity development technical assistance to PWSs. All other loan and set-aside funds from the 2015 DWSRF capitalization grant are projected for liquidation by September 30, 2017 in accordance with U.S. EPA’s ULO Reduction Strategy.

5 The 2017 Capitalization Grant will likely not be awarded until September of 2017 but is nonetheless represented as an available balance as of 6/30/2017 for purposes of subsequently representing the disbursement of the 2017 Capitalization Grant.

6 Set-Aside balances and disbursements assume a transfer of approximately $3 million (estimate as March 31, 2017) to the 2015 Local Assistance Set-Aside from the DWSRF loan account to support DDW capacity development activities.
$67.5 million of Prop 1 Drinking Water funds were appropriated to the State Water Board for eligible Prop 1 Drinking Water financing and the administration of such financing. Additionally, $174.3 million in Prop 1 Drinking Water funds were appropriated for 2015-16 for both local assistance and State Water Board administration of Prop 1 Drinking Water financing. The State Water Board will continue to encumber funding for eligible Prop 1 Drinking Water projects against these existing appropriations in SFY 2017-18.

B. DWSRF AND PROP 1 FINANCING TERMS

DEFINITIONS

To the extent consistent with State or Federal law, the following definitions apply to Section V.B of this IUP, for the purposes of defining repayable financing terms as well as additional subsidy from the DWSRF/Prop 1 Drinking Water funding.

a) “Acceptable Result” means the project that, when constructed, solves the problem for which the project was placed on the comprehensive list, ensures the owner and operator of the improved or restructured public water system shall have long-term technical, managerial, and financial capacity to operate and maintain the public water system in compliance with state and federal safe drinking water standards, can provide a dependable source of safe drinking water long-term, and is both short-term and long-term affordable.

b) “Community Water System” or “CWS” means a public water system which serves at least 15 service connections used by year-round residents or regularly serves at least 25 year-round residents.

c) “Cost Effective” means achieves an acceptable result at the most reasonable cost.

d) “Disadvantaged Community” or “DAC” means the entire service area of a Community Water System (CWS) in which the median household income (MHI) is less than 80 percent of the statewide MHI.

e) “Expanded Small Community Water System” or “ESCWS” means a CWS that serves

   a. More than 3,300 service connections, but no more than 6,600 service connections; or

   b. A yearlong population of more than 10,000 persons but no more than 20,000 persons.

f) “For Profit Entity” means a corporation, partnership, trust, association, sole proprietorship, or limited liability company that is not exempt from taxes under Section 501(c) of the United State Internal Revenue Code, including those entities that are regulated by the California Public Utilities Commission.

g) “Native American Tribe” means a federally recognized Indian tribe, or a State Indian tribe listed on the Native American Heritage Commission’s California Tribal Consultation List.
h) “Non-transient Non-community Water System” or “NTNC” means a public water system that is not a community water system and that regularly serves at least 25 of the same persons over six months per year.

i) “Not-For-Profit Water Company” means a mutual benefit water company, public benefit corporation, homeowner’s association, or cooperative that is exempt from taxes under Section 501(c) of the United States Internal Revenue Code.

j) “Project” means cost-effective facilities for the construction, improvement, or rehabilitation of a public water system. It may include the planning and design of facilities, annexation or consolidation of water systems, source water assessments, source water protection, and other activities specified in the federal SDWA.

k) “Projects that Provide Regional Benefits” means construction projects that address public health issues ranked in categories A to C; are a shared solution amongst three or more participating PWSs; and at least one of those participants is a SCWS serving a DAC or a NTNC serving a disadvantaged community.

l) “Residential Water Rates” means the average residential water rate for the entire permitted service area of a public water system. For the purposes of calculating an average residential water rate, service charges plus other costs specifically related to the drinking water system may be considered, including but not limited to, assessments, and fees.

m) “Severely Disadvantaged Community” or “SDAC” means the entire service area of a CWS in which the MHI is less than 60 percent of the statewide MHI.

n) “Small Community Water System” or “SCWS” means a CWS that serves no more than 3,300 service connections or a yearlong population of no more than 10,000 persons.

o) “Small Disadvantaged Community” means a community with a population less than 10,000 persons and with a combined median household income (MHI) is less than 80 percent of the statewide MHI.

p) “Small Severely Disadvantaged Community” means a community with a population less than 10,000 persons and whose combined MHI is less than 60 percent of the statewide MHI.

1. Standard DWSRF and Proposition 1 Financing Terms

   **Standard Planning Financing Terms**

   The State Water Board’s standard interest rate for DWSRF and Prop 1 planning financing is 50 percent (50%) of California’s average general obligation bond rate obtained by the State Treasurer for the previous calendar year. The standard repayable financing term for planning projects is a maximum of five years.
Standard Construction Financing Terms

The State Water Board’s standard interest rate for DWSRF and Prop 1 construction financing is 50 percent (50%) of California’s average general obligation bond rate obtained by the State Treasurer for the previous calendar year. The standard repayable financing term is a maximum of 20 years, not to exceed the useful life of the financed facilities.

Extended Term Financing For a PWS

A PWS that serves a DAC or a Small Disadvantaged Community may be eligible for an extended repayable financing term of up to 30 years for a construction project under the DWSRF/Prop 1 Drinking Water program, not to exceed the useful life of financed facilities.

A PWS owned by a public entity and serving a non-disadvantaged community may be eligible for an extended repayable financing term of up to 30 years for a construction project under the DWSRF, not to exceed the useful life of the financed facilities.

Local Match Financing

DFA may offer local match financing to eligible DWSRF applicants in accordance with Section VI of the DWSRF Policy. DFA will set the local match contribution for each participating project at the proportional level to meet the state match share of the funding, assuming that the federal capitalization grant funded the remainder, regardless of whether any federal capitalization grant monies are actually used. Where the current interest environment renders this approach infeasible, to satisfy the State Water Board’s obligations to provide state match, DFA may set the local match contribution on any given project at an amount resulting in an imputed interest rate that is competitive with the current DWSRF interest rate for construction financing.

DWSRF Administration Fee-in-Lieu of Interest

In SFY 2017-18 a DWSRF administrative fee of one percent (1%) may be applied to eligible repayable financing for the purposes of providing additional funding for the State Water Board’s administration of the DWSRF program. Once the fee is applied to an agreement, the rate shall remain unchanged for the duration of the agreement. The revenue generated by this fee shall be deposited into the DWSRF Administration Fund.

State Water Board’s Section 116761.70 of the Health and Safety Code allows the State Water Board to apply an annual fee on a financing agreement. For federal purposes, the Administrative Fund service charge is a fee “other than program income not included as principal in DWSRF financing.” The fee is collected in lieu of interest that would otherwise be due on the outstanding balance of the financing agreement. The fee is offset by the reduction in the interest rate so that financing recipients’ payments remain the same whether they pay the fee or interest.

The State Water Board now requires this administration fee to begin supplementing the DWSRF set-asides, which currently provide a limited and potentially unreliable amount of funds to administer the DWSRF program. With additional funding available to
administer the DWSRF program from this fee, more funds will be available from annual DWSRF capitalization grants to fund drinking water projects as well as for other eligible uses of the DWSRF set-asides. Also, Prop 1 Drinking Water administration funding is currently expected to be exhausted by 2021. In anticipation of declining Prop 1 Drinking Water administration funds, the State Water Board will need to consider additional funding from the DWSRF Administration Fund in the near future to support the continued administration of projects jointly funded through Prop 1 Drinking Water and DWSRF.

In SFY 17-18, the DWSRF administration fee will be applied to agreements to establish and maintain DWSRF Administrative Fund revenue consistent with the anticipated administrative budget needs of the DWSRF program in the near future and to the extent such revenue can be generated from eligible repayable financing. The State Water Board will rely upon future budget authority established by the Governor and the Legislature in expending DWSRF administrative funds.

**DWSRF Small Community Emergency Drinking Water Grant (DWSCEG) Fee-in-Lieu of Interest**

In anticipation of the full commitment of Prop 1 Drinking Water funds in the next few years, the State Water Board will begin applying a DWSCEG charge as a fee-in-lieu of interest to any eligible DWSRF repayable financing in an amount not to exceed the standard interest rate of such financing. Once the fee is applied to an agreement, the rate shall remain unchanged for the duration of the agreement, unless the Deputy Director of DFA determines any of the following:

a. The DWSCEG fee is no longer consistent with federal requirements regarding the DWSRF; or

b. The DWSCEG fee is no longer necessary; or

c. The DWSCEG fee is negatively affecting DFA’s ability to fund projects that support the State Water Board’s goals.

The revenue generated by this fee shall be deposited into the DWSCEG Fund. The DWSCEG fee will be established at a rate sufficient to generate revenue in an amount that maximizes the funding of the anticipated SCG Fund demand once Prop 1 Drinking Water and DWSRF principal forgiveness funds are fully encumbered. The DWSCEG fee will be set at an amount that does not jeopardize the long-term growth of the DWSRF or the State Water Board’s ability to leverage the DWSRF or the State Water Board’s ability to collect sufficient fee revenue to administer the DWSRF.

2. **DWSRF and Proposition 1 Drinking Water Terms for a PWS Serving a DAC/SDAC or a Small Disadvantaged or Severely Disadvantaged Community**

The following PWSs may be eligible for reduced interest rates, extended term financing, and principal forgiveness/grant for a planning or construction project in accordance with the financing terms below:

---

7 Where a state agency acts as a conduit recipient of Prop 1 funding, the qualifying characteristics of the underlying recipient PWS will be analyzed.
a. A SCWS serving a DAC that is owned by a public agency or a Not-For-Profit Water Company.

b. A SCWS serving a DAC that is owned by a For-Profit Entity or a Native American Tribe.

c. A NTNC that serves a Small Disadvantaged Community or a Small Severely Disadvantaged Community, if such system serves solely the following:
   • a public K-12 school; and/or
   • a not-for-profit K-12 private school; and/or
   • a not-for-profit daycare facility; and/or
   • a not-for-profit labor camp; and/or
   • a not-for-profit elder care facility; and/or
   • a not-for-profit health care facility

d. A PWS that is extending service to a Small Disadvantaged Community or a Small Severely Disadvantaged Community not currently served by a PWS.

The PWSs eligible for DWSRF subsidized financing listed above are determined to have financial hardship because of their system size and their general lack of economies of scale to financially operate and maintain their water systems. The Prop 1 Drinking Water local cost share may be waived for a SCWS that serves a Severely Disadvantaged Community and a NTNC that serves a Small Severely Disadvantaged Community and a PWS extending service to a Small Severely Disadvantaged Community. The Prop 1 Drinking Water local cost share may also be reduced for a SCWS that serves DAC and a NTNC that serves a Small Disadvantaged Community and a PWS extending service to a Small Disadvantaged Community, per the financing terms described below.

In making DAC determinations, the State Water Board will consider whether the households benefitting from the project are primarily second homes. In general, at least 50 percent of the dwellings or dwelling units must be the primarily dwelling of permanent residents for a community to qualify for principal forgiveness, grant or combination thereof. Typically, permanent residents are those residing in the community at least six months out of the year; however, seasonal, migrant laborers can also be counted as permanent residents.

**MHI Determinations for SCWS, NTNC & Communities Not Currently Served by a PWS**

In general, the MHI determination for a SCWS will be based upon a review of the entire permitted service area of the SCWS.
A NTNC owned by a K-12 public school district is deemed to serve a severely disadvantaged community because the primary users are minor students. Minors generally have incomes below 60 percent (60%) of the statewide MHI. All other eligible NTNCs and the MHI of the small community they serve will be evaluated on a case-by-case basis based upon the intended customer base.

For the purposes of a consolidation project, the MHI of the consolidated PWS may be considered when evaluating for DWSRF or Prop 1 Drinking Water reduced interest rates, extended term financing, and principal forgiveness/grant.

If DWSRF funding is used to finance a project for the extension of water service by a PWS to a small community not currently being served by a PWS, then for purposes of providing reduced interest rates, extended term financing, and principal forgiveness, the MHI of the PWS extending service will be considered. If Prop 1 Drinking Water funds will fund such a project, then the MHI of the small community not currently being served by a PWS may be considered for the evaluation of possible Prop 1 Drinking Water reduced interest rates, extended term financing, and grant funding.

**Subsidized Planning Financing Terms**

Eligible SCWSs serving a DAC/SDAC, eligible NTNCs serving Small Disadvantaged Community or Severely Disadvantaged Community, and PWSs extending service to Small Disadvantaged Communities and Severely Disadvantaged Communities may receive a maximum $500,000 grant per project for their proportional share of planning project in accordance with Table 13 below, regardless of water rates/affordability criteria. This incentive promotes timely and efficient financing for drinking water planning projects in preparation for eventual construction financing. Repayable financing may also be available from the DWSRF or Prop 1 Drinking Water programs in accordance with Table 13 below if available grant funding is insufficient to fully fund a planning project.

DFA may deny Prop 1 Drinking Water grant funding if the planning project has already been funded in part by other drinking water funding sources, including DWSRF and/or Prop 1 Drinking Water funding.

**Table 13: Planning Project-Reduced Interest Rates and Grant for an Eligible PWS**

<table>
<thead>
<tr>
<th>Total Eligible Planning Project Cost</th>
<th>Interest Rate*</th>
<th>Loan Term*</th>
<th>Maximum Grant/project*</th>
</tr>
</thead>
<tbody>
<tr>
<td>≤ $500,000</td>
<td>n/a</td>
<td>n/a</td>
<td>$500,000</td>
</tr>
<tr>
<td>&gt;$500,000</td>
<td>0%</td>
<td>Up to 5 years</td>
<td>$500,000**</td>
</tr>
</tbody>
</table>

*Based upon the PWS’s proportional share of a planning project

**On a case-by-case basis, for good cause, the Deputy Director of the Division of Financial Assistance may approve more than $500,000 in grant funds for the PWS’s proportional share of a planning project

**Subsidized Construction Financing Terms for SCWSs that serve a DAC/SDAC**

To facilitate affordable construction financing for an eligible SCWS that serves a DAC/SDAC, the financing terms in Table 14 below and Table 15 below shall apply.
Table 14:  Construction Project-Principal Forgiveness/Grant for an Eligible CWS that Serves a DAC/SDAC

<table>
<thead>
<tr>
<th>Affordability Criteria</th>
<th>Maximum Principal Forgiveness, Grant or Combination Thereof Per Construction Project</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type of Community Served by CWS**</td>
<td>Percentage of Total Eligible Project Cost</td>
</tr>
<tr>
<td>DAC</td>
<td>&lt;1.5%</td>
</tr>
<tr>
<td>DAC</td>
<td>&gt;=1.5%</td>
</tr>
<tr>
<td>SDAC</td>
<td>NA</td>
</tr>
</tbody>
</table>

*Based upon PWSs proportional share of a construction project

***For the purposes of a consolidation or intertie project, the residential water rate of the consolidated or intertied system resulting from such consolidation or intertie may be considered

****The Deputy Director of the Division may approve financing for construction projects with a total eligible project cost less than $500,000 regardless of the amount per connection.

SCWS with eligible projects may be eligible for both Prop 1 Drinking Water and Prop 1 Groundwater Grant Funds

CWS with eligible projects may be eligible for Prop 1 Groundwater Grant Funds

NOTE: DFA may deny DWSRF/Prop 1 Drinking Water grant, principal forgiveness or a combination thereof if the construction project has already been funded in part by other drinking water funding sources, including DWSRF and Prop 1 Drinking Water funding. Where a PWS is privately owned by an entity, DFA may also consider the private owner’s assets and ability to afford a loan before otherwise awarding principal forgiveness, grant or combination thereof.

Table 15:  Construction Project-Repayable Financing Terms for an Eligible SCWS that Serves a DAC/SDAC

<table>
<thead>
<tr>
<th>Affordability Criteria</th>
<th>Repayable Construction Financing Terms</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type of Community Served by SCWS</td>
<td>Residential Water Rates as a Percentage of MHI</td>
</tr>
<tr>
<td>DAC</td>
<td>&lt;1.5%</td>
</tr>
<tr>
<td>DAC</td>
<td>&gt;=1.5%</td>
</tr>
<tr>
<td>SDAC</td>
<td>NA</td>
</tr>
</tbody>
</table>

* The applicant may choose to fund the remainder of the total project cost (Local Cost Share) from other sources (e.g. repayable DWSRF/Prop 1 financing; grant funding from sources other than the State Water Board; or other sources)

**Financing Term shall not exceed the useful life of the facilities being financed

Subsidized Construction Financing Terms for ESCWSs that serve an SDAC

To facilitate affordable construction financing for an eligible ESCWS that serves an SDAC, the financing terms in Table 16 below and Table 17 below shall apply.
Table 16: Construction Project-Principal Forgiveness for an Eligible ESCWS that Serves an SDAC

<table>
<thead>
<tr>
<th>Affordability Criteria</th>
<th>Maximum Principal Forgiveness Per Construction Project</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Type of Community Served by ESCWS</td>
</tr>
<tr>
<td>DAC</td>
<td>NA</td>
</tr>
<tr>
<td>SDAC</td>
<td>&lt;1.5%</td>
</tr>
<tr>
<td></td>
<td>&gt;=1.5%</td>
</tr>
</tbody>
</table>

*Based upon PWS’s proportional share of a construction project

**For the purposes of a consolidation or intertie project, the residential water rate of the consolidated or intertie system resulting from such consolidation or intertie may be considered

Table 17: Construction Project-Repayable Financing Terms for an Eligible ESCWS that Serves an SDAC

<table>
<thead>
<tr>
<th>Affordability Criteria</th>
<th>Repayable Construction Financing Terms</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Type of Community Served by ESCWS</td>
</tr>
<tr>
<td>SDAC</td>
<td>&lt;1.5%</td>
</tr>
<tr>
<td></td>
<td>&gt;=1.5%</td>
</tr>
</tbody>
</table>

* Financing Term shall not exceed the useful life of the facilities being financed

** The applicant may choose to fund the remainder of the total project cost (Local Cost Share) from other sources (e.g. repayable DWSRF/Prop 1 financing; grant funding from sources other than the State Water Board; or other sources)

*** See “Standard DWSRF and Prop 1 Financing Terms” for additional information.

Subsidized Construction Financing Terms for NTNCs that Serve a Small Disadvantaged Community

To facilitate affordable construction financing for an eligible NTNC that serves a Small Disadvantaged Community, the financing terms in Table 18 below shall apply. Principal forgiveness/grant funds may only be awarded to an eligible NTNC to the extent such NTNC cannot afford the full cost of repayable financing. The current operating budget shall be evaluated when determining an eligible NTNC’s ability to afford repayable financing. An eligible NTNC owned by a public school district is determined to have
limited repayable financing capacity and is therefore automatically eligible for maximum principal forgiveness/grant, subject to all other eligibility rules and requirements.

Table 18: Construction Project-Repayable Financing Terms and Principal Forgiveness/Grant for an Eligible NTNC that Serves a Small DAC or a Severely Disadvantaged Community

<table>
<thead>
<tr>
<th>Type of Community Served by NTNC</th>
<th>Maximum Grant/Construction Project**</th>
<th>Maximum Principal Forgiveness/Grant Amount/Connection/Construction Project**</th>
<th>Interest Rate</th>
<th>Maximum Financing Term***</th>
<th>Local Cost Share*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Small Disadvantaged Community</td>
<td>$5 million</td>
<td>$30,000</td>
<td>0%</td>
<td>30 years</td>
<td>Amount Not Funded by Prop 1</td>
</tr>
<tr>
<td>Small Severely Disadvantaged Community</td>
<td>Waived</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* The applicant may choose to fund the remainder of the total project cost (Local Cost Share) from other sources (e.g. repayable DWSRF/Prop 1 financing; grant funding from sources other than the State Water Board; or other sources)

**Based upon NTNC’s proportional share of a construction project

***The financing term shall not exceed the useful life of the facilities being financed

NOTE: DFA may deny a DWSRF/Prop 1 Drinking Water grant, principal forgiveness or a combination thereof if the construction project has already been funded in part by other drinking water funding sources, including DWSRF and Prop 1 Drinking Water funding.

Projects that “Provide Regional Benefit”

Notwithstanding the foregoing, projects that Provide Regional Benefit may be eligible for no more than $60,000 in grant and/or principal forgiveness per service connection-per participating SCWS serving a DAC/SDAC, or NTNC serving a Small Disadvantaged Community or Small Severely Disadvantaged Community. Projects that Provide Regional Benefit may receive up to $5 million in grant and/or principal forgiveness per each participating SCWS serving a DAC/SDAC, or NTNC serving a Small Disadvantaged Community or Small Severely Disadvantaged Community per Table 14, Table 15, and/or Table 18 above. Projects that Provide Regional Benefit may not exceed a total of $20 million in principal forgiveness/grant funding and such principal forgiveness/grant funding may not necessarily be limited to the proportional share of the participating SCWS serving a DAC/SDAC, or NTNC serving a Small Disadvantaged Community or Small Severely Disadvantaged Community. Principal forgiveness/grant funding awarded for a Project that Provides Regional Benefit may only be allocated for the benefit of participating SCWSs serving a DAC/SDAC and/or NTNCs serving a Small Disadvantaged Community or Small Severely Disadvantaged Community.

Consolidation Incentive

Up to $10 million in zero percent interest rate financing may be awarded for a construction project (Incentive Project) that benefits an eligible PWS, if such a PWS completes a full consolidation with a water system serving a small disadvantaged or small severely disadvantaged community, or if such a PWS completes an extension of water service to at least 15 connections with a disadvantaged or severely disadvantaged population currently not served by a PWS. The subsidized financing for the Incentive
Project is an addition to any subsidized financing for the full consolidation project. A full consolidation is defined as the restructuring of two or more public water systems into a single public water system, as discussed in the DWSRF Policy. If the consolidation or extension of water service project is not fully constructed, in successful operation, or permitted by DDW, then the standard interest rate at the time will apply to the Incentive Project, and may be applied retroactively as well. In the case where a single construction project benefits the remaining entity and the consolidated water system, zero percent interest rate may apply to the portion of the project costs that has been deemed ineligible for principal forgiveness or grant funding, up to $10 million, as determined by DFA.

**Subsidized Construction Financing Terms for Eligible Extension of Water Service Projects**

A project involving a PWS extending water service to a Small Disadvantaged Community or a Small Severely Disadvantaged Community not currently served by a PWS may be eligible for financing terms included in Table 19 and Table 20 below.

**Table 19: Construction Project-Principal Forgiveness/Grant for an eligible PWS Extending Water Service to a Small Disadvantaged Community or Small Severely Disadvantaged Community Not Currently Served by a PWS**

<table>
<thead>
<tr>
<th>Affordability Criteria</th>
<th>Maximum Grant Per Construction Project</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Type of Community Served by PWS</strong></td>
<td><strong>Residential Water Rates as a Percentage of MHI</strong></td>
</tr>
<tr>
<td>Small Disadvantaged Community</td>
<td>&lt;1.5%</td>
</tr>
<tr>
<td></td>
<td>&gt;=1.5%</td>
</tr>
<tr>
<td>Small Severely Disadvantaged Community</td>
<td>NA</td>
</tr>
</tbody>
</table>

*Based upon proportional share of a construction project

**For the purposes of an extension of water service project, the average residential rate of the community resulting from the extension of water service from a PWS may be considered.

NOTE: DFA may deny a DWSRF/Prop 1 Drinking Water grant, principal forgiveness or a combination thereof if the construction project has already been funded in part by other drinking water funding sources, including DWSRF and Prop 1 Drinking Water funding.
Table 20: Construction Project-Repayable Financing Terms for an eligible PWS Extending Water Service to a Small Disadvantaged Community or Small Severely Disadvantaged Community Not Currently Served by a PWS

<table>
<thead>
<tr>
<th>Affordability Criteria</th>
<th>Repayable Construction Financing Terms</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Type of Community Served by PWS</strong></td>
<td><strong>Residential Water Rates as a Percentage of MHI</strong></td>
</tr>
<tr>
<td>Small Disadvantaged Community</td>
<td>&lt;1.5%</td>
</tr>
<tr>
<td></td>
<td>&gt;=1.5%</td>
</tr>
<tr>
<td>Small Severely Disadvantaged Community</td>
<td>NA</td>
</tr>
</tbody>
</table>

* The applicant may choose to fund the remainder of the total project cost (Local Cost Share) from other sources (e.g. repayable DWSRF/Prop 1 financing; grant funding from sources other than the State Water Board; or other sources)

**Financing Term shall not exceed the useful life of the facilities being financed."
VI. SET-ASIDE ACTIVITIES

The SDWA allows each state to set aside up to 31 percent (31%) of its federal capitalization grant to support various DWSRF and DDW program activities, including the administration of the DWSRF; PWS capacity development; SWS technical assistance; DDW program management; and other special activities. For SFY 2017-18, the State Water Board will set-aside 23 percent (23%) of the 2017 Capitalization Grant for set-aside activities as further described below. The State Water Board will submit detailed work plans to U.S. EPA for approval in accordance with federal requirements and will report on the progress of set-aside activities to U.S. EPA in its DWSRF Annual Report. The State Water Board is also committed to maintaining a set-aside spending rate in accordance with U.S. EPA Memorandum from Peter Grevatt, Director, Office of Ground Water and Drinking Water, dated April 14, 2014, Drinking Water State Revolving Fund (DWSRF) Unliquidated Obligations (ULO) Reduction Strategy.

A. DWSRF ADMINISTRATION SET-ASIDE

Max Allowed: 4%
Budgeted from FFY 2017 Grant: 4% $3,280,000 (estimate)

The DWSRF Administration Set-Aside funds will be used to subsidize DFA’s costs for administering the DWSRF program, including the review and processing of drinking water funding applications, project management and general oversight of DWSRF construction and planning projects. The DWSRF administration set-aside will also provide indirect funding for accounting, legal, budgetary, and general DWSRF administration costs. The DWSRF administration set-aside may also fund the contracts listed below. The DWSRF Administrative Set-Aside Work Plan for SFY 2017-18 will contain detailed information about the specific tasks and full-time equivalent personnel that will be supported in DFA by the DWSRF Administration Set-Aside.

 Contracts:  
DWSRF Annual Single Audit $150,000 (estimate)
EPA/Northbridge Environmental Management Consultants “In-Kind” Contract for LGTS financial modeling development $100,000 (estimate)
California Municipal Statistics $50,000 (estimate)

B. SMALL WATER SYSTEM TECHNICAL ASSISTANCE SET-ASIDE

Max Allowed: 2%
Budgeted from FFY 2017 Grant: 2% $1,640,000 (estimate)

The Small Water Systems Technical Assistance Set-Aside will be used to provide technical assistance to SWSs by DFA staff as well as the contracts identified below. DFA staff will assist such SWSs in qualifying for DWSRF, Proposition 84, and Prop 1 Drinking Water infrastructure financing. The DWSRF Small Water Systems Technical Assistance Work Plan for SFY 2017-18 will contain detailed information about the specific tasks and full-time equivalent personnel that will be supported in DFA by the DWSRF Small Water Systems Technical Assistance Set-Aside.
C. STATE PROGRAM MANAGEMENT SET-ASIDE

Max Allowed: 10%
Budgeted from FFY 2017 10% $8,200,000 (estimate)
1:1 State Match (Safe Drinking Water Account): $8,200,000 (estimate)

The State Program Management Set-Aside funds will subsidize the PWS permitting, inspection, compliance and monitoring (PICM) activities of DDW in accordance with the SDWA and delegated PWSS responsibilities by U.S. EPA. The DWSRF State Program Management Set-Aside Work Plan for SFY 2017-18 will contain detailed information about the specific tasks and full-time equivalent personnel that will be supported in DDW by the DWSRF State Program Management Set-Aside.

D. LOCAL ASSISTANCE SET-ASIDE

Max Allowed: 7%
Budgeted from FFY 2017 7% $5,740,000 (estimate)

The Local Assistance Set-Aside funds will be used to support DFA’s PWS TMF capacity development staff activities. It will also finance third-party technical assistance contracts in SFY 2017-18 for the benefit of PWSs and their TMF capacity development. The DWSRF Local Assistance Set-Aside Work Plan for SFY 2017-18 contains detailed information about the specific tasks and full-time equivalent personnel that will be supported in DFA by the DWSRF Local Assistance Set-Aside. Below is a summary of some the tasks that the DWSRF third-party technical assistance providers will perform in support of the State Water Board’s Capacity Development Strategy.

Contracts: California Rural Water Association $1,441,392
Rural Community Assistance Corporation $1,324,154
Self-Help Enterprises $358,756

- Assist in preparing preliminary engineering, funding application, required documents for DWSRF financing, and navigating the DWSRF funding process.
- Develop and conduct training workshops covering all aspects of PWS operation and maintenance and legal responsibilities of PWS board members.
- Develop and conduct workshops for the treatment of arsenic and nitrate.
- Conduct income surveys to determine a community’s median household income.
- Conduct water rate studies.
• Participate in networking and outreach events to increase PWS sustainability by promoting regionalization and consolidation efforts.

• Assist SWSs in procuring necessary engineering and other contracting services.

• Provide community education services, i.e., facilitate public meetings to inform customers of utility rate increases needed to cover operation and maintenance costs as a result of new treatment facilities.

• Monitor the requirements for funding placed on SWSs to ensure that conditions for funding are met within stated timelines.

• Assist SWSs in assessing the current level of TMF capacities.

• Assist existing SWSs with permit applications.

• Assist SWSs in the consolidation, annexation, and formation of joint power agreements between two or more PWSs.

• Assist SWSs with the submittal of claims and processing of payments to contractors for planning and infrastructure improvement projects funded by the State Water Board.

In addition to the baseline PWS technical assistance provided under the DWSRF Local Assistance Set-Aside, DFA may direct a percentage of the funds available from Prop 1 Drinking Water to a multi-disciplinary technical assistance program. The Office of Sustainable Water Solutions has implemented this program. More information is available online at http://www.waterboards.ca.gov/water_issues/programs/grants_loans/proposition1/tech_asst_funding.shtml.
VII. SCHEDULE

The estimated schedule for public comment and State Water Board adoption of the SFY 2017-18 DWSRF IUP, and the application, award, and acceptance of the 2017 DWSRF Capitalization Grant is as follows:

<table>
<thead>
<tr>
<th>Event</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Draft IUP posted for public comment, as part of State Water Board Meeting agenda</td>
<td>April 25, 2017</td>
</tr>
<tr>
<td>Deadline for Public Comments on Draft IUP</td>
<td>May 25, 2017</td>
</tr>
<tr>
<td>State Water Board adopts IUP at regularly scheduled meeting</td>
<td>June 20, 2017</td>
</tr>
<tr>
<td>Submit FFY 2017 Capitalization Grant application to U.S. EPA</td>
<td>July 2017</td>
</tr>
<tr>
<td>Execute FFY 2017 Capitalization Grant agreement with U.S. EPA</td>
<td>September 2017</td>
</tr>
</tbody>
</table>
Ensuring transparency and accountability, all program materials are posted on the State Water Board at http://www.waterboards.ca.gov/drinking_water/services/funding/SRF.shtml.

The State Water Board commits to entering project and benefits data into the EPA Drinking Water National Information Management System and Project and Benefits Reporting System to evaluate the benefits of the California DWSRF program. Among other parameters, the reporting systems will evaluate the number of California DWSRF projects that provide the following public health benefits:

- Achieve compliance with SDWA;
- Maintain compliance with SDWA; and
- Meet future requirements of SDWA

The State Water Board will enter project benefits information into the Project Benefits Report by the end of the quarter in which a funding agreement is signed.

The State Water Board will use the Federal Funding Accountability and Transparency Act (FFATA) reporting system to report on all DWSRF equivalency projects (i.e., projects meeting all of the federal cross-cutting requirements whose sum is at least equal to or greater than the capitalization grant amount less any non-applicable set-aside funds).

The State Water Board will produce a SFY 2017-18 DWSRF Annual Report on the uses of the DWSRF funds during SFY 2017-18, and provide a final draft of the SFY 2017-18 DWSRF Annual Report to U.S. EPA Region 9. The report will document the projects funded through the DWSRF; financial and programmatic outcomes of the DWSRF; and reflect upon the accomplishments of the DWSRF program as it relates to the long-term and short-term goals contained within this IUP and the tasks included in the associated DWSRF work plans.
IX. ASSURANCES AND CERTIFICATIONS

• The State has the authority to establish a fund and to operate the DWSRF program in accordance with the SDWA

In California, the responsibility for regulating PWSs and overseeing the safety of drinking water rests with the State Water Board. U.S. EPA recognized California’s primacy status beginning in 1978 and has acknowledged the State Water Board’s primacy authority, effective July 1, 2014.

• The State will comply with state statutes and the DWSRF Policy Handbook

State statutes governing California’s DWSRF program are set forth in California’s Health & Safety Code, Division 104, Part 12, Chapter 4.5, commencing with section 116760. The State Water Board’s adoption of the DWSRF Policy superseded and nullified state DWSRF regulations, effective January 1, 2015. The state statutes and DWSRF Policy conform to federal requirements. California will implement its DWSRF program in compliance with all applicable state and federal laws, regulations, and guidelines.

• The State will deposit all capitalization grant funds in the DWSRF or Set-Aside Accounts

The State Water Board will maintain identifiable and separate accounts for all portions of the capitalization grant to be used. The capitalization grant will be deposited into either the DWSRF or the set-aside accounts.

• The State will deposit revenues generated from the DWSRF Administration Fee and the DWSCEG Fee into their respective funds

In accordance with Health and Safety Code § 116761.70, the State Water Board will deposit revenues generated from the DWSRF Administration Fee into the Safe Drinking Water State Revolving Fund Administration Fund. The State Water Board will also deposit revenues generated from the DWSCEG Fee into Safe Drinking Water Small Community Emergency Grant Fund, in accordance with Health and Safety Code § 116760.46.

• The State will provide an amount at least equal to 20 percent (20%) of the Capitalization Grant (State Match)

The 2017 State Match will be provided through an existing $241.8 million state budget appropriation of Chapter 5, Section 79724(a)(1) of Prop 1. A minimum of $16.4 million of the $241.8 million appropriation will be allocated as 2017 State Match for repayable financing, or principal forgiveness funding to eligible drinking water projects under the DWSRF and Prop 1 Drinking Water programs. The State Water Board will also provide evidence to U.S. EPA that the 2017 State Match has been appropriated to the State Water Board by the California Legislature prior to the award date of the 2017 federal Capitalization Grant.
• The State will deposit net bond proceeds, interest earnings, and repayments into the Drinking Water State Revolving Fund

All interest, earnings, principal repayments, and other proceeds will be deposited into the DWSRF.

• The State will match capitalization grant funds the State uses for 1542(g)(2) set-asides

As detailed in Section V.A of this IUP, an amount in excess of the 1:1 State Match for the State Program Management Set-Aside (Section 1542 (g)(2)) will be provided under a California State budget appropriation to the DDW’s Safe Drinking Water Account, totaling $24.068 million (current estimate).

• The State will adopt policies and procedures to ensure that borrowers have a dedicated source of revenue for repayments (or in the case of a privately owned system, demonstrated that there is adequate security)

The State Water Board has developed policies and procedures for ensuring that borrowers have a dedicated source of repayment and that privately owned systems have adequate security. These policies and procedures are contained in the State Water Board’s DWSRF Policy.

• The State will commit and expend funds as efficiently as possible, and in an expeditious and timely manner

The IUP provides the basis for how the State Water Board will use DWSRF funds. The State Water Board will commit and expend both 2017 Capitalization Grant and 2017 State Match funds as efficiently as possible, and in an expeditious and timely manner. The State Water Board will enter into binding commitments with recipients equal to the total amount of each 2017 Capitalization Grant payment and proportional 2017 State Match within one year of such a 2017 Capitalization Grant payment.

• DWSRF funds will be used in accordance with this SFY 2017-18 IUP

The State Water Board will use DWSRF funds in SFY 2017-18 in accordance with this SFY 2017-18 IUP.

• The State will provide the U.S. EPA with an Annual Report on the performance of the DWSRF

As detailed in Section VII of this IUP, the State Water Board will publish a SFY 2017-18 DWSRF Annual Report on the uses of the DWSRF funds during SFY 2017-18, and provide a final draft of the SFY 2017-18 DWSRF Annual Report to U.S. EPA Region 9.

• The State will comply with all federal cross-cutting authorities

All set-aside activities will be performed in accordance with the Civil Rights Act of 1964, section 504 of the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975. All other cross-cutters applicable to the set-aside activities will be adhered to. The State
Water Board has developed policies and procedures to ensure that the State Water Board and all DWSRF financing recipients conform to applicable federal cross-cutter requirements. Required documentation will be provided for each of these requirements. To the extent necessary, cross-cutter requirements will be incorporated as conditions in financing agreements.
## X. ACRONYMS

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AIS</td>
<td>American Iron and Steel</td>
</tr>
<tr>
<td>ARRA</td>
<td>American Recovery and Reinvestment Act of 2009</td>
</tr>
<tr>
<td>CalTAP</td>
<td>California Technical Assistance Providers</td>
</tr>
<tr>
<td>CAP</td>
<td>Corrective Action Plan</td>
</tr>
<tr>
<td>CDPH</td>
<td>California Department of Public Health</td>
</tr>
<tr>
<td>CWS</td>
<td>Community Water System</td>
</tr>
<tr>
<td>CWSs</td>
<td>Community Water Systems</td>
</tr>
<tr>
<td>DAC</td>
<td>Disadvantaged Community</td>
</tr>
<tr>
<td>DBE</td>
<td>Disadvantaged Business Enterprise</td>
</tr>
<tr>
<td>DDW</td>
<td>Division of Drinking Water</td>
</tr>
<tr>
<td>DFA</td>
<td>Division of Financial Assistance</td>
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<tr>
<td>DWSRF</td>
<td>Drinking Water State Revolving Fund</td>
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<tr>
<td>ELAP</td>
<td>Environmental Lab Accreditation Program</td>
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<tr>
<td>FAAST</td>
<td>Financial Assistance Application Submittal Tool</td>
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<tr>
<td>FFATA</td>
<td>Federal Funding Accountability and Transparency Act</td>
</tr>
<tr>
<td>FFY</td>
<td>Federal Fiscal Year</td>
</tr>
<tr>
<td>GIS</td>
<td>Geographic Information Systems</td>
</tr>
<tr>
<td>GWUDI</td>
<td>Groundwater Under the Direct Influence</td>
</tr>
<tr>
<td>IUP</td>
<td>Intended Use Plan</td>
</tr>
<tr>
<td>LEFA</td>
<td>Legal Entity Formation Assistance</td>
</tr>
<tr>
<td>LGTS</td>
<td>Loans and Grants Tracking System</td>
</tr>
<tr>
<td>LPA</td>
<td>Local Primary Agency</td>
</tr>
<tr>
<td>LWS</td>
<td>Large Water System</td>
</tr>
<tr>
<td>MCL</td>
<td>Maximum Contaminant Level</td>
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## Drinking Water State Revolving Fund - Updated Comprehensive List (January 2017)

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## INTENDED USE PLAN

### SFY 2017-18

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### INTENDED USE PLAN

**DRINKING WATER STATE REVOLVING FUND**

**SFY 2017-18**

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May 2, 2017
## Appendix B - DWSRF SFY 2016-17 Fundable List

The fundable list includes all projects (planning and construction) that currently are projected to be ready to proceed to as SRF Funding Agreement (FA) by June 30, 2017.

### Small Water Systems: Population <= 10,000 (Planning Projects)

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<th>Applicant</th>
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<th>Project Number</th>
<th>DWD Dist.</th>
<th>Estimated Project Cost</th>
<th>DWSRF - Loan</th>
<th>DWSRF - PF</th>
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<th>Description</th>
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## DRINKING WATER STATE REVOLVING FUND

### INTENDED USE PLAN

**SFY 2017-18**

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**TOTAL:** $19,241,500.00  $1,190,965.00  $0.00  $18,050,543.00

### Large Water Systems: Population > 10,000 (Planning Projects)

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<th>DWSRF - Loan</th>
<th>DWSRF - PF</th>
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**TOTAL:** $5,265,000.00  $5,265,000.00  $0.00  $0.00  

May 2, 2017
## Small Water Systems: Population <= 10,000 (Construction Projects)

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**INTENDED USE PLAN**

**DRINKING WATER STATE REVOLVING FUND**

**SFY 2017-18**

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**TOTAL:**

- $90,902,088.00
- $343,334,464.00
- $29,060,616.29
- $27,507,007.71
## Large Water Systems: Population > 10,000 (Construction Projects)

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<th>DWSRF - PF</th>
<th>Prop 1 - Grant</th>
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