

TABLE 3.a: Administration Fund Balance

	7/1/15 – 12/31/15	1/1/16 – 6/30/16	7/1/16 – 12/31/16
Beginning Balance	\$21,561,866	\$21,851,059	\$18,757,797
Collected	\$4,431,291	\$3,275,738	\$3,242,850
Spent	(\$4,142,098)	(\$6,369,000)	(\$6,624,000)
End Balance	\$21,851,059	\$18,757,797	\$15,376,647

TABLE 3.b: SCG Fund Balance

	7/1/15 – 12/31/15	1/1/16 – 6/30/16	7/1/16 – 12/31/16
Beginning Balance	\$23,071,271	\$26,943,160	\$27,225,540
Collected	\$7,442,010	\$4,799,575	\$6,856,756
Spent	(\$3,570,121)	(\$4,517,195)	(\$2,990,104)
End Balance*	\$26,943,160	\$27,225,540	\$31,092,192

*Ending Balance does not account for existing commitments

TABLE 4.a: SCG Planning Grants

Eligible Applicants:	Public agencies, 501(c)(3) non-profit organizations, federally recognized tribes and state tribes on Native American Commission consult list		
Affordability Criteria	Grant Amount		
Population ⁴²	Community MHI	Percent of Total Project Cost	Maximum Grant Per Project ⁴⁰
<20,000	DAC <80 percent of Statewide MHI	100 percent	\$500,000

TABLE 4.b: SCG Construction Grant

Eligible Applicants:	Public agencies, 501(c)(3) non-profit organizations, federally recognized tribes and state tribes on Native American Commission consult list				
Eligible Project Type	CWSRF-eligible wastewater projects ⁴¹				
Affordability Criteria			Grant Amount		
Population ⁴²	Community MHI	Wastewater Rates as a Percentage of MHI ⁴³	Percentage of Total Eligible Project Cost	Maximum Grant Amount Per Project ^{44,45,46}	Maximum Cost Per Household / Project
< 20,000	MHI ≤ 100% Statewide MHI	≥4%	50%	\$6 million	\$30,000
	DAC <80% of Statewide MHI	≥1.5%	75% ⁴⁷		
	SDAC <60% of Statewide MHI	NA	100%		

⁴⁰ For a regional planning project, DFA may elect to approve more than \$500,000 in SCG funds, not to exceed \$500,000 in SCG funding per community included in the regional plan. A community may not receive more than \$1,000,000 in total planning costs (\$500,000 for treatment plant upgrades plus \$500,000 for collection system improvements). Notwithstanding the maximum planning grant amounts outlined herein, on a case-by-case basis, for good cause, the Deputy Director of the Division may approve additional planning grant funds. Upon DFA's determination of sufficient planning funding needs, more than 15 percent of the funds available per Prop 1 may be used to fund planning and technical assistance activities.

TABLE 4.c: SCG Construction Grant for Septic to Sewer and Regional Projects

Eligible Applicants:	Public agencies, 501(c)(3) non-profit organizations, federally recognized tribes and state tribes on Native American Commission consult list				
Eligible Project Type	CWSRF-eligible wastewater projects ⁴¹				
Affordability Criteria			Grant Amount		
Population ⁴²	Community MHI	Wastewater Rates as a Percentage of MHI ⁴³	Percentage of Total Eligible Project Cost	Maximum Grant Amount Per Project ^{44,45,46}	Maximum Cost Per Household / Project
< 20,000	MHI ≤ 100% Statewide MHI	≥4%	50%	\$8 million	\$60,000
	DAC <80% of Statewide MHI	≥1.5%	75% ⁴⁷		
	SDAC <60% of Statewide MHI	NA	100%		

⁴¹ Includes only: a) projects approved for funding after June 21, 2016 (consistent with the CWSRF Policy, planning and design costs incurred prior to funding approval may be reimbursed upon execution of the financing agreement) or b) Division approved cost increases approved after June 21, 2016, for planning or construction projects approved prior to June 21, 2016, if such increases are consistent with the funding criteria and limitations herein.

⁴² With the exception of primary and secondary schools, to qualify for SCG funds, a project must be geared toward addressing primarily residential needs. Also, at least 50 percent of the dwellings or dwelling units must be the primary dwelling of permanent residents for a community or community area to qualify for SCG funds. 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.

⁴³ For the purposes of calculating rates as a percentage of MHI, service charges plus other costs specifically related to the wastewater system may be considered, including but not limited to, dedicated sales tax revenue, assessments, and fees. If a CWSRF-eligible wastewater project consists of improvements to the drinking water system, the drinking water rates and charges may be considered in lieu of wastewater rates and charges. For publicly owned or non-profit-owned systems serving facilities such as primary and secondary schools, labor camps, or mobile home parks, DFA may elect to approve up to 100 percent grant up to a maximum of \$6 million. Even if 100 percent grant is approved, Division staff will review projected revenues and expenses to confirm adequate revenues to operate and maintain the project.

⁴⁴ To ensure that available funds are distributed to a large cross-section of communities throughout California, a single community may not receive cumulatively more than \$8 million in SCG and PF funding in any given five-year period.

⁴⁵ For projects that connect previously unsewered areas or join communities to regionalize wastewater treatment works consistent with the CWSRF Policy, SCG funds will be allocated to each community served by the project on a per community basis, rather than a per project basis.

⁴⁶ For public agencies, if project components will either reduce the demand for wastewater capacity or the energy consumption needs for publicly-owned treatment works consistent with the Green Project Reserve: Guidance for Determining Project Eligibility, and those components result in higher capital costs compared to other less water and energy efficient options, DFA may make a determination that the incremental cost increase will be provided as additional grant, above the maximum amount per project.

⁴⁷ For small DACs with wastewater rates at least two percent of community MHI, if the community's credit review shows inadequate revenues to afford repayment of the remaining project costs, the grant percentage may be increased to as high as 100 percent, as necessary to approve financing for the project. In addition, for small DACs with wastewater rates at least 1.5 percent of community MHI, DFA has discretion to increase the grant percentage to as high as 100 percent, if the community's unemployment rate is at least two percent higher than the statewide average, or if declining population trends or low population densities impact the community's ability to afford financing. Even if 100 percent grant is approved, Division staff will review projected revenues and expenses to confirm adequate revenues to operate and maintain the project.

TABLE 4.d: Principal Forgiveness

Eligible Applicants:	Any municipality, intermunicipal, interstate, or state agency (regardless of population, MHI, or wastewater rates) ⁴⁸
Project Types:	Any CWSRF eligible project consistent with the Green Project Reserve: Guidance for Determining Project Eligibility that implements a process, material, technique, or technology to address water-efficiency or energy-efficiency goals, mitigate stormwater runoff, or encourage sustainable planning, design, and construction. This includes, but is not limited to, water or energy conservation assessments, audits, or plans, water reuse ⁴⁹ , water or energy reducing devices, and water meters.
PF Amount ⁵⁰ :	
1.	For water or energy conservation assessments, audits, or planning, 100 percent of actual costs up to \$35,000 in PF
2.	For all other projects, 50 percent of total, actual costs associated with water or energy conservation or sustainable planning, design, or construction up to \$4.0 million in PF ⁵¹

TABLE 5: CWSRF Capitalization Grant Payments and Draw Payments

Payments				
	FFY 16 – Q1	FFY 16 – Q2	FFY 16 – Q3	FFY 16 – Q4
FFY 2016 Grant				\$95,558,000 (Date of Award)
Draws				
	FFY 16 – Q1	FFY 16 – Q2	FFY 16 – Q3	FFY 16 – Q4
FFY 2015 Grant	\$50,758,092	\$49,004,908		
FFY 2016 Grant				\$57,334,800
Cumulative Draws	\$50,758,092	\$49,004,908		\$57,334,800
FFY 17 – Q1 to Q4				
	FFY 17 – Q1	FFY 17 – Q2	FFY 17 – Q3	FFY 17 – Q4
FFY 2016 Grant	\$19,111,600	\$9,555,800	\$9,555,800	
Cumulative Draws	\$19,111,600	\$9,555,800	\$9,555,800	

⁴⁸ Municipality includes an Indian tribe or an authorized Indian tribal organization.

⁴⁹ Any water reuse project funded through the WRFP may not additionally receive PF. Water reuse projects are limited to \$2.5 million maximum PF in all cases.

⁵⁰ Any project receiving CWSRF PF may not receive more than 50 percent combined PF and grant funding, regardless of the source of grant funding. Grant funding includes any funding that does not require repayment by the recipient.

⁵¹ GPR projects may receive separate planning or design PF financing at a rate of 75 percent of eligible GPR planning or design costs up to a maximum of \$500,000 if requested, but the combined planning, design, and construction/implementation costs eligible for PF may not exceed the lesser of 50 percent of total eligible GPR cost or \$4.0 million.