

Application Information and Instructions (Construction)

Administered by the State Water Resources Control Board (State Water Board), Division of Financial Assistance (Division), the Financial Assistance Application is designed to help determine your eligibility for funding through the ***Drinking Water State Revolving Fund (DWSRF)***

An overview of the financing process and the *Drinking Water State Revolving Fund Policy* can be found on the Division's web site at http://www.waterboards.ca.gov/drinking_water/services/funding/SRF.shtml

To streamline the review process, the application is divided into four packages:

- **General Information**
- **Technical**
- **Environmental**
- **Financial Security**

Instructions for each package are provided below.

Submitting Your Application

You can help the review process by ensuring your application contains accurate and complete information. To avoid delays in the processing of your application, we recommend:

- ✓ Contact the Division as early as possible to coordinate your application with your project's schedule; contact information is provided on the next page.
(NOTE: No action is necessary on your part to be added to the Comprehensive List; the Division will make arrangements for your project to be added to the Comprehensive List)
- ✓ Applicants are encouraged to contact Division to request assistance in completing the necessary forms. In many cases it will be helpful to have an initial meeting with the Division to discuss the proposed project, timing, project eligibility, environmental review procedures, federal cross-cutters, or any other aspects of the project.
- ✓ Submit complete packages whenever possible.
(NOTE: Projects are funded based on a complete application. Partial packages may be submitted, but complete packages will be reviewed before incomplete packages; and complete applications will be reviewed and approved for financing first.)
- ✓ Have your legal counsel review the FAQs at http://www.waterboards.ca.gov/drinking_water/services/funding/SRF.shtml regarding the legal opinion we will need from you to approve financing. The Division's legal counsel will contact your legal counsel approximately two to four months prior to execution of the financing agreement to discuss the legal opinion needed at closing.
- ✓ Clearly type or print all information.
- ✓ Sign and date the application where indicated.
- ✓ Include all required attachments.

The application and attachments should be submitted electronically. You can apply online via the Financial Assistance Application Submittal Tool (FAAST): <https://faast.waterboards.ca.gov>

To submit a DWSRF Construction Application in FAAST you must complete all the tabs in FAAST and attach the General Package. (Note: Once the DWSRF Construction Application has been uploaded, you must still complete the application by clicking on the "Submit" button.) A project manager will be assigned once the DWSRF Construction Application is submitted in FAAST. The project manager will help the applicant complete the application process.

To submit additional documents for the same project, **DO NOT** start a new application, instead click on the Submitted Applications link on the Main Menu and choose the project from the list of previously submitted applications. Open the Attachments tab, and then the Post-Submission sub-tab. Choose which document from the Attachment Category drop-down list and then select the file to upload. The project manager will receive an email notification letting them know you have submitted additional information for review.

The following FAAST resources are available online:

[Frequently Asked Questions](#)

[How-to-Videos](#)

[User Manual](#)

If you need assistance you can also contact the FAAST Help Desk, which is staffed Monday through Friday 8am through 5pm, at 1-866-434-1083 or FAAST_ADMIN@waterboards.ca.gov.

If electronic submittal through FAAST creates a hardship, you may contact the DWSRF Program for additional guidance. See contact information below.

CONTACT INFORMATION

If you have general questions regarding the program or need assistance completing the application, contact the DWSRF at
(916) 327-9978

or

DrinkingWaterSRF@waterboards.ca.gov

General Information Package

Section I - Type of Assistance Requested

Check the box to indicate the type of project (planning or construction) needing financial assistance.

Estimated Amount of Assistance Requested – Enter the estimated amount of assistance requested.

Project Title – Enter the title or name of the project.

Section II - Applicant Information

Water System No. – Enter the number of the water system.

Data Universal Numbering System (DUNS) No. – This number is required to receive DWSRF financing. If you don't already have a DUNS number, you can get more information at http://www.whitehouse.gov/sites/default/files/omb/grants/duns_num_guide.pdf.

Applicant Name – Enter the entity that will be the legal signatory to a financing agreement.

Street Address, City, State, Zip – Enter the applicant's physical street address. The Zip+4 code can be found at <https://tools.usps.com/go/ZipLookupAction!input.action>.

Mailing Address, City, State, Zip – Enter the applicant's mailing address, if different from the street address. The Zip+4 code can be found at <https://tools.usps.com/go/ZipLookupAction!input.action>.

Congressional District(s) – Enter the Congressional district(s) where the project will be physically located. If the project will span multiple Congressional Districts (i.e., a pipeline project), list all affected districts. A map of California Congressional Districts can be found at <http://house.gov/representatives/find/>.

State Senate District(s) – Enter the State Senate district(s) where the project will be physically located. Refer to <http://findyourrep.legislature.ca.gov/>.

State Assembly District(s) – Enter the State Assembly district(s) where the project will be physically located. Refer to <http://findyourrep.legislature.ca.gov/>.

County – Enter the County where the project will be physically located.

Federal Tax ID No. – Enter the Federal tax identification number of the applicant.

Authorized Representative Name, Title – Identify the person who has the authority to represent the water system and sign documents pertaining to the funding application. If the water system is owned by a public agency or has a governing board, the application must include a copy of a resolution adopted by the governing body designating its authorized representative and authorizing the submission of a loan application. It is advisable to designate the title of the person authorized to sign rather than a specific person. The funding application must be signed by the authorized representative. If the system does not have a governing board, it must provide documentation supporting the authorization of the authorized representative.

Authorized Representative Phone No. – Enter the authorized representative’s telephone number.

Authorized Representative Email Address – Enter the authorized representative’s email address.

Primary Contact Person Name – Enter the name of the person who is the day-to-day contact for the project. This person should be able to answer general questions about the project and application.

Primary Contact Person Phone No. – Enter the contact person’s telephone number.

Primary Contact Person Email Address – Enter the contact person’s email address.

Project Engineer and License No. – Enter the project engineer’s name and license number. DWSRF staff requests that a qualified engineer will prepare the Engineering Report required as part of the Technical Package.

There are many categories of engineering specialties. However, the engineer you select must be a professional engineer (PE) licensed by the state of California as a civil engineer, who has experience in design of public water systems or drinking water treatment facilities. It is illegal for engineers to undertake assignments they are not qualified to do.

Project Engineer Phone No. – Enter the project engineer’s telephone number.

Project Engineer Email Address – Enter the project engineer’s email address.

Environmental Contact Person Name – Enter the name of the contact person at the environmental firm for the project.

Environmental Contact Person Phone No. – Enter the environmental firm’s contact person phone number.

Environmental Contact Person Email Address – Enter the environmental firm’s contact person email address.

Legal Counsel Name – Enter the name of the applicant’s legal counsel.

Legal Counsel Phone No. – Enter the legal counsel’s telephone number.

Legal Counsel Email Address – Enter the legal counsel’s email address.

Davis-Bacon Contact Person Name – Enter the name of the Davis-Bacon contact person.

Davis-Bacon Contact Person Phone No. – Enter the Davis-Bacon contact person’s telephone number.

Davis-Bacon Contact Person Email Address – Enter the Davis-Bacon contact person’s email address.

Section III - Project Information and Proposed Schedules

Project Description – Provide a brief description of the project.

Water System Permit No. – Provide the water system permit number. If applicable, you may attach any amendments to the General Package.

Population

Estimate the population served on an average daily basis by the water system and briefly describe how the population was determined. In addition to the population served by the entire water system, please include the population specifically benefitting from this project. If estimating a population served, the estimation shall be determined using one of the following methods:

- i. Utilize the most recent U.S. census data, or most recent special census data certified by the California Department of Finance for the service area served by the water system (<http://factfinder2.census.gov/faces/nav/jsf/pages/index.xhtml#none>):
 - 1. For community water systems, the estimation should consider the permanent population of the community.
 - 2. Seasonal community systems should use the average population served by the system during the peak period in which the system is in operation.
 - 3. Non-community water systems should use the average daily population served during the periods that the system is in operation.
 - 4. Wholesalers or entities that deliver water to another water system should contact their respective State Water Board, Division of Drinking Water District Office to help calculate the appropriate number of population served.
- ii. Multiply the number of service connections served by the water system by 3.3 to determine the total population served; or
- iii. Determine the total number of dwelling units or efficiency dwelling units as defined in the Uniform Building Code (Title 24, California Code of Regulations), the number of mobile home park spaces and the number of individual business, commercial, industrial and institutional billing units served by the water system and multiply this total by 2.8 to arrive at the total population served by the water system.

Connections

Provide the total number of active service connections that are currently and directly served by the water system. This includes all domestic, residential, industrial, commercial, and other connections. Also, briefly describe how the number of service connections was determined and indicate the number of active service connections specifically benefitting from this project.

- Wholesalers, or entities that deliver water to another water system, should contact the State Water Board's Division of Drinking Water District Office for help to determine the appropriate number of service connections.

Non-community water systems do not need to fill out this section and should indicate "not applicable" on the form.

Estimated Project Schedule – Provide an estimated or actual date for the following:

- Complete Construction Application
- General Information Package
- Technical Package (Construction)
- Environmental Package (Construction)
- Financial Security Package (Construction)

Consultation with Other Agencies – Provide the following:

- Name of other Federal and State agencies involved in this project (e.g. planning, CEQA/NEPA consultation, funding, etc.)
- Contact information for the named agencies
- Estimated dates for resolution of any issues

Partnering Agencies – Provide the name and contact information of all other agencies that will participate in the permitting/review of this project or are served by this project.

Section IV – Managerial Information

1. **Classification of Water System** – Check the box that represents your type of system. If you are unsure of the classification of your system, refer to the system’s domestic water supply permit or refer to the *Decision Tree for Classification of Water Systems* flow chart located at http://www.waterboards.ca.gov/drinking_water/certlic/drinkingwater/documents/publicwatersystems/DecisionTreeforClassifyingWaterSystems_Detailed_08-2012.pdf.
2. **Ownership of the Water System** – Check the box (es) that corresponds to the ownership of your water system. Non-community water systems are only eligible for DWSRF funding if they qualify as a non-profit entity. Non-profit owners of non-community water systems must include the appropriate IRS non-profit ID number and Tax Exempt Status form IRS 501(c). Privately owned systems must include a copy of the fictitious name statement. Corporations must provide a copy of their Articles of Incorporation (label as **Attachment G1**).

The following is a list of ownership documentation for the different types of for-profit or non-profit private water systems, Please submit copies of all of the ownership documentation that corresponds to the water system’s ownership type.

Limited Liability Corporation	Partnership
IRS K-1 Corporation Documentation. Articles of Organization Bylaws/Executed Operating Agreement(s)	Partnership Agreement(s) IRS K-1 Corporation Documentation (if applicable). Majority owner’s last three years of personal tax returns.
For-Profit Corporation	Non-Profit Corporation
Articles of Incorporation Bylaws/Executed Operating Agreement(s) Filing documents for Fictitious Business Name (DBA)	Articles of Incorporation Bylaws/Executed Operating Agreements IRS Tax Exempt Determination IRS 501 C Filing documents for Fictitious Business Name (DBA)
Sole Proprietorship	Other
Fictitious Name Certificate Schedule “E” or “C” of tax returns	Grant deeds, quitclaim deeds, etc. on land

If the Applicant is a Municipality, indicate if the Applicant is a Charter City.

If your water system is a Corporation (i.e. incorporated mutual water company), Limited Liability Company, or Limited Partnership list your water system's California Secretary of State Entity Number as well as your water system's filing status with the California Secretary of State. Information relating to a Corporation's, Limited Liability's, Limited Partnership's or Incorporated Mutual's filing with the Secretary of State can be found at the following website:
<http://kepler.sos.ca.gov/>.

3. **Does the California Public Utility Commission (CPUC) regulate your system?** – Indicate whether your water system is regulated by the CPUC. A list of all matters relating to your water system that are currently pending before the CPUC must be provided with your application for DWSRF funding (label as **Attachment G2**). Water systems regulated by the CPUC must obtain CPUC approval to enter into a funding agreement for DWSRF financing.
4. **Names, titles and duties of key officers** – Provide the name, title, and duties of key officers of the water system. If there are more than three individuals, submit an organization chart showing the names, titles, and the reporting relationship of all key persons involved with the operation of the water system (label as **Attachment G3**). The organization chart does not need to describe all personnel employed by the system, only those persons that have primary responsibilities for making decisions that affect the operation of the water system.
5. **Is there any pending litigation?** – Indicate if there is any litigation pending relative to the operation of the water system or the proposed project. If yes, submit a description of the litigation and the potential costs (label as **Attachment G4**).
6. **Is the applicant leasing land or major water system facilities?** – Indicate if the applicant is leasing land or any major water system facilities. If yes, describe the terms of the lease and submit a copy of the lease agreement (label as **Attachment G5**). If the lease is critical to the location or operation of the proposed project facilities, the term of the lease must be equal to or greater than the loan repayment period of the DWSRF financing.
7. Include a general map of the service area/boundaries (label as **Attachment G6**)
8. For Construction Projects Only
Does the applicant have a contract with a private firm or another agency? Indicate if the applicant has a contract with a private firm or another agency for the operation of the facility to be financed. If yes, indicate the name of the firm or agency and term (in years) of the agreement and submit a copy of the agreement (label as **Attachment G7**).

CERTIFICATION AND SIGNATURE OF AUTHORIZED REPRESENTATIVE

The authorized representative is the person who has the authority to sign and submit the application materials, certify compliance with applicable state and federal laws, execute the financial assistance agreement and amendments, and certify disbursement requests.

- ✓ Print the name and title of the authorized representative.
- ✓ Sign and date the application.

Section VI – Attachments

- ✓ G1 – Ownership Documentation
- ✓ G2 – CPUC Documentation (if applicable)
- ✓ G3 – Organization Chart (if applicable)
- ✓ G4 – Pending Litigation (if applicable)
- ✓ G5 – Lease Agreement (if applicable)
- ✓ G6 – Service Area Map
- ✓ G7 – Operating Agreement (if applicable)

Technical Package (Construction)

Applicant (Entity) Name – Enter the entity that will be the legal signatory to a financing agreement.

Project Title – Enter the title of the project.

Contact Person and Phone – Enter the name and phone number of the day-to-day contact for the project. This person should be able to answer general questions about the project and application.

Section I – Technical Information

1. Population

Estimate the population served on an average daily basis by the water system and briefly describe how the population was determined. In addition to the population served by the entire water system, please include the population specifically benefitting from this project. If estimating a population served, the estimation shall be determined using one of the following methods:

- i. Utilize the most recent U.S. census data, or most recent special census data certified by the California Department of Finance for the service area served by the water system (<http://factfinder2.census.gov/faces/nav/jsf/pages/index.xhtml#none>):
 1. For community water systems, the estimation should consider the permanent population of the community.
 2. Seasonal community systems should use the average population served by the system during the peak period in which the system is in operation.
 3. Non-community water systems should use the average daily population served during the periods that the system is in operation.
 4. Wholesalers or entities that deliver water to another water system should contact their respective State Water Board, Division of Drinking Water District Office to help calculate the appropriate number of population served.
- ii. Multiply the number of service connections served by the water system by 3.3 to determine the total population served; or
- iii. Determine the total number of dwelling units or efficiency dwelling units as defined in the Uniform Building Code (Title 24, California Code of Regulations), the number of mobile home park spaces and the number of individual business, commercial, industrial and institutional billing units served by the water system and multiply this total by 2.8 to arrive at the total population served by the water system.

2. Connections

Provide the total number of active service connections that are currently and directly served by the water system. This includes all domestic, residential, industrial, commercial, and other connections. Also, briefly describe how the number of service connections was determined and indicate the number of active service connections specifically benefitting from this project.

- Wholesalers, or entities that deliver water to another water system, should contact the State Water Board's Division of Drinking Water District Office for help to determine the appropriate number of service connections.
- Non-community water systems do not need to fill out this section and should indicate "not applicable" on the form.

3. **Engineering Report**

The Engineering Report must address the elements provided in the outline on page 3 and 4 of the Technical Package (**Attachment T1**).

4. **Certifications**

a) **Certification for Compliance with Water Metering Form**

Water Code sections 525 through 529.7 prohibit water purveyors, both agricultural and urban, from receiving State funds if metering requirements are not met. If you are an urban water supplier (i.e., supply to more than 3,000 customers or supplying more than 3,000 acre-feet annually), you must comply with this requirement. Please consult with your legal counsel and review sections 525 through 529.7 of the Water Code before completing this certification (**Attachment T2a**).

b) **Reserved** – This is a placeholder. No attachment required.

5. **Water System Permit**

Provide a copy of the water system permit, and any amendments (**Attachment T3**).

6. **Technical, Managerial, and Financial (TMF) Assessment**

Federal law states that the DWSRF can only fund water systems that demonstrate that they have adequate TMF capacity to operate a public water system satisfactorily. The mandatory TMF elements listed on the TMF Assessment Form must be submitted (**Attachment T4**). The necessary TMF elements not previously addressed will be listed as financing agreement conditions. If you need assistance in completing the TMF Assessment Form, please contact your District Office.

The State Water Board can provide technical assistance to small water systems serving populations less than 10,000 as well as any disadvantaged community in developing the TMF documents. (A disadvantaged community is defined as the entire service area of a community water system in which the median household income is less than eighty percent (80%) of the statewide median household income.) Upon receiving such a request, engineers from the District Office or a third party contractor hired by the State Water Board will visit the water system and provide "hands-on" technical assistance in developing the necessary documents at no cost to the applicant.

Section II – Water Rights, Water Conservation and Urban Water Management

1. **Describe the nature of the water rights applicable to water source.** If you have questions regarding whether a petition is required you may contact Patricia Fernandez with the Division of Water Rights at (916) 319-9141 or patricia.fernandez@waterboards.ca.gov. Submit water rights documentation related to water source (**Attachment T5**).

Prior to the State Water Board's approval of the project, specific water conservation and urban water management requirements must be achieved.

Check (✓) the box (es) that apply to your project.

2. **Water Conservation**

Check (✓) the box indicating if you are a retail water supplier in compliance with the State Water Board's emergency drought regulations at Section 863-865 of title 23 of the California Code of Regulations.

3. **Urban Water Suppliers** (an urban water supplier to more than 3,000 customers or supplying more than 3,000 acre-feet annually) must fulfill one of the following:

- Approved Water Conservation Program on file with the State Water Board
- Developed Water Conservation Program for approval by the State Water Board (**Attachment T6**)
- Proof that you signed the "Memorandum of Understanding Regarding Urban Water Conservation in California" (**Attachment T7**)
- Proof that you submitted an Urban Water Management Plan (UWMP) to the Department of Water Resources (DWR) per Water Code Section 10653 (**Attachment T8**)

4. **Urban Water Management**

Check (✓) the box indicating if you are an urban water supplier as defined in Water Code Section 10631.5.

5. **Water Diversion Reporting**

Check (✓) the box indicating if you are a water diverter in compliance with Water Code Section 5103. For information see:
http://www.waterboards.ca.gov/waterrights/water_issues/programs/diversion_use/

Section III – Summary of Attachments

- ✓ T1 – **Engineering Report**
- ✓ T2a – **Certification for Compliance with Water Metering Form**
- ✓ T3 – **Water System Permit**
- ✓ T4 – **TMF Assessment Form**
- ✓ T5 – **Water Rights Documentation** (if applicable)
- ✓ T6 – **Water Conservation Program** (if applicable)
- ✓ T7 – **Memorandum of Understanding** (if applicable)
- ✓ T8 – **Urban Water Management Plan** (if applicable)
- ✓ T9 – **Plans and Specifications**

Environmental Package

This Environmental Package has been prepared to serve both the Clean Water and Drinking Water (CW & DW) State Revolving Fund (SRF) Programs, within the Division of Financial Assistance, State Water Resources Control Board (State Water Board). A complete Environmental Package is required for all projects seeking funds from SRF Programs. Detailed information, including statutes and guidelines on the California Environmental Quality Act (CEQA), can be obtained at <http://www.opr.ca.gov/ceqa/>.

NOTE: The CEQA and federal cross-cutter document(s) must be completed prior to receiving a financing agreement for a project. All environmental documents, including addendums, supplemental and subsequent CEQA documents, must be circulated through the Governor's Office of Planning and Research (OPR), State Clearinghouse (SCH), and be less than five (5) years old at the time a financing agreement is executed for a project.

More information about the SRF Programs' environmental review process can be found in the State Environmental Review Process (SERP). The SERP addresses how the State Water Board utilizes CEQA to meet the SRF Programs' environmental requirements. To view the DW or CW SERP, respectively, please visit: https://www.waterboards.ca.gov/drinking_water/services/funding/documents/srf/serp.pdf, or http://www.waterboards.ca.gov/water_issues/programs/grants_loans/srf/docs/policy0513/appendix_i_envguide.pdf. For more information on the State Water Board's implementation of federal cross-cutter authorities in the SRF Programs, please visit: <https://www.epa.gov/sites/production/files/2015--08/documents/crosscutterhandbook.pdf>. For more information on program policy and guidance, please visit: <https://www.epa.gov/drinkingwatersrf/program-policy-and-guidance-drinking-water-state-revolving-fund-program>.

I. General Information

Applicant (Entity) Name: Enter the entity that will be the legal signatory to a financing agreement.

Project Title: Enter the title of the project. The project title must be consistent with the technical package and the CEQA document for the project.

Contact Person and Phone/Email: Provide the contact information for the person/entity responsible for coordinating with the State Water Board on the environmental review.

Project Description: Provide a brief description of the activities that are expected to occur during the project construction and operation. The project description must be consistent with both the CEQA document and the Project Technical Report/Engineering Report.

II. California Environmental Quality Act (CEQA) Status

CEQA Lead Agency: Provide the name of the lead agency preparing the environmental document(s) pursuant to CEQA Guidelines.

NOTE: If the applicant is not the lead agency, but is a public agency acting as a responsible agency, they must adopt/certify the CEQA document, approve the project, and then file a Notice of Determination with the County Clerk and the OPR, SCH.

If the applicant is not a public agency (e.g., non-profit, private water system, etc.) and not subject to CEQA, please contact the State Water Board for assistance in determining the lead agency for the proposed project.

Public Hearing/Meeting Date(s) for CEQA Document Adoption/Certification: All projects, except those with little to no environmental impacts (Statutorily and/or Categorically exempt), must hold a public hearing or meeting to adopt/certify the CEQA document(s) and approve the project. Please provide the date(s) of when such meeting(s) were held to adopt/certify CEQA document(s) and approve the project. Please note, all CEQA documents must be circulated through the OPR, SCH, and be less than five (5) years old at the time a financing agreement is executed for a project.

List and describe all related environmental permits, approvals, and certifications required for the project: Indicate which permits, approvals, and/or certifications are required for the project, including those issued by the county, state, and federal agencies. Examples include the California Department of Fish and Wildlife (CDFW) Lake or Streambed Alteration (LSA) Agreement, Clean Water Act (CWA) Sections 404 Permit and 401 Certification, Coastal Development permit, etc.

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

CEQA Document Status: Place a check (✓) in all boxes that describe the environmental documents and submit the required attachments, identified in Section V, as applicable to the project.

State Clearinghouse Number: Enter the number assigned to the project at the time of filing at the OPR, SCH.

Project and Environmental Settings: Evaluate the project in regard to the questions listed under the Environmental Setting, and check the applicable boxes. If you answer “Yes” to any of the questions, explain the potential significant environmental impacts, both direct and indirect. When considering potential environmental impacts, you must include all of the project’s elements: facilities, conveyance lines, storage, points of diversions, staging areas, and other elements of service area - as applicable. Use attachment(s) if necessary.

III. CEQA Exemption Information

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

Categorical Exemptions — Check the applicable class(es) and provide a brief description of how the project is consistent with the exemption class(es) and whether or not any exception(s) to the exemption(s) apply.

Statutory Exemptions — Check the applicable section(s) and explain how the project is consistent with the exemption(s).

Division of Financial Assistance Environmental Review staff will review the exemption information provided to determine if the State Water Board concurs with the applicant's determination, and what type of federal cross-cutter documentation may be necessary.

Completion of the Environmental Package, including the Evaluation Form for Federal Environmental Coordination section below, is required for all SRF funded projects regardless of whether the project is CEQA exempt. The applicant should contact Environmental Review staff before completing any additional federal cross-cutter documents. Contact the Division of Financial Assistance Project Manager to obtain the contact information for Environmental Review staff.

IV. Evaluation Form for Federal Environmental Coordination

This section is required for all projects requesting SRF funding. The applicant should discuss in detail the steps taken to meet the federal cross-cutting environmental regulations identified below, and provide the appropriate supporting information. **Supporting information must be uploaded to FFAST labeled E2 "Document Type" (e.g., E2-Air Quality Estimates, E2-Biological Assessment, etc.)** Please contact the Environmental Review staff (refer to contact list at http://www.waterboards.ca.gov/water_issues/programs/grants_loans/environmental_requirements.shtml for the CW SRF Program or http://www.waterboards.ca.gov/drinking_water/services/funding/environmental_requirements.shtml for the DW SRF Program) if you have any questions.

Potential Co-Funding Sources

Indicate if the project is also pursuing funding from another federal agency(ies). If more than one (1) federal agency is involved in a project, the agencies will need to coordinate to determine who will be the federal lead agency when conducting consultations (i.e. Section 7 of the Endangered Species Act and Section 106 of the National Historic Preservation Act). Provide the State Water Board Environmental Review staff with contact information of the environmental coordinator/reviewer of the other federal agency(ies), to coordinate and identify the federal lead agency for the project.

United States Forest Service, Bureau of Land Management, and Other Federal Land

Required Documentation: Explain if any portion of the proposed project is located on United States Forest Service (USFS), Bureau of Land Management (BLM), or any other federally managed land. If applicable, attach a colored map identifying the project location with respect to the USFS, BLM, or other federal land and provide further explanation, or indicate where this information may be found (e.g., CEQA document, biological report/assessment, etc.). To aid the State Water Board in federal coordination, please provide the name and contact information for the USFS Office, BLM District, or other federal regional unit with whom the water system has been in contact.

Regulatory Information: If any portion of the proposed project is located on USFS, BLM land, or other federally managed land, a USFS Special-Use Authorization, BLM Land Use Permit, or other form of federal land use authorization, respectively, may be required. These documents (e.g., permits, leases, easements) authorize specific uses and activities upon USFS, BLM, or other federally managed land (e.g., construction upon USFS or BLM land). For more information on the USFS Special-Use Authorization and how to obtain one, please visit: https://www.fs.fed.us/specialuses/special_about.shtml. For more information on the BLM Land Use Application and Permit and how to obtain one, please visit: <https://www.blm.gov/services/electronic-forms>.

Environmental Alternative Analysis

Required Documentation: Briefly explain the direct and indirect environmental impacts associated with each project alternative considered and the environmental reasoning behind why the project alternative was selected. Also, indicate where more information can be found (e.g., Project Technical Report/Engineering Report or in a separate environmental alternative analysis document). The environmental alternative analysis must include the following elements:

- Range of feasible project alternatives that each meet the applicant's project needs and objectives, as well as a "no project/no action" alternative;
- Comparative environmental analysis among the project alternatives that includes discussions of beneficial and adverse environmental impacts on the existing environment, future environment, and individual sensitive environmental issues identified through project management or public participation;
- Analysis of direct, indirect, and cumulative impacts on sensitive environmental resources, if applicable, for each project alternative considered;
- Potential reasonably foreseeable future environmental impacts, if applicable, for each project alternative considered;
- Appropriate mitigation measures not already included in the proposed action or alternatives, if appropriate, to mitigate adverse environmental impacts; and
- Thorough discussions of the environmental reasoning for selection of the chosen alternative for the project.

Regulatory Information: SRF Programs' federal regulations and the SERP require an environmental alternative analysis for projects covered under a Negative Declaration, Mitigated Negative Declaration, or an Environmental Impact Report.

Archaeological and Historic Preservation Act (AHPA)

Required Documentation: Explain if the project will cause irreparable loss or damage to archaeological or historic resources or data through alteration of the terrain as a result of reservoir or dam construction (i.e., flooding, building of access roads, or construction of a reservoir). Please explain, or indicate where this information can be found (e.g., Historic Properties Identification Report (HPIR), CEQA document, etc.). Provide supplemental information as needed. The HPIR (see the National Historic Preservation Act below) will suffice as documentation for this requirement.

Regulatory Information: The AHPA was established in 1960 for the preservation of significant scientific, prehistoric, historic and archaeological materials and data that might be lost or destroyed as a result of flooding, the construction of access roads, relocation of railroads and highways, or any other federally funded activity that is associated with the construction of a

dam or reservoir. Under this law, historical and archaeological resources do not have to be eligible, or considered eligible, in the National Register of Historic Places for an impact to occur. If a project will have an adverse effect to significant historical or archaeological resources or data, the State Water Board will coordinate with the United States Environmental Protection Agency (USEPA) to initiate consultation with the relevant federal agencies.

Clean Air Act

Required Documentation: Identify the air basin and local air district for the project area. Provide the estimated project construction and operational air emissions (in tons per year) in the table, and attach supporting calculations, regardless of attainment status [emissions can be estimated by using the California Emissions Estimator Model (CalEEMod): <http://caleemod.com/>]. Local air quality thresholds of significance can be determined by contacting the Local Air District, or by visiting the Local Air District's website. Submit additional supporting documents utilized to compile the data, and any air quality studies/models that have been completed for the project. Indicate where more information can be found (e.g., CEQA document, etc.).

Regulatory Information: For SRF Programs' financed projects, we recommend the applicant include a General Conformity determination section in the CEQA document(s), so that another public review process would not be needed, should a General Conformity determination be required. The applicant should check with the local air quality management district and review the California Air Resources Board's air emissions map for information on the State Implementation Plan (<https://www.arb.ca.gov/planning/sip/sip.htm>). The applicant should refer to the USEPA's Green Book for information on attainment status (<https://www.epa.gov/green-book>) and to the USEPA's General Conformity Training for information on the federal *de minimis* levels (<https://www.epa.gov/general-conformity/de-minimis-emission-levels>). For information on how to proceed evaluating General Conformity requirements, please contact the Environmental Review staff through the assigned Project Manager.

Coastal Barriers Resources Act

Required Documentation: Explain if the project will impact, or be located within or near, the Coastal Barrier Resources System or its adjacent wetlands, marshes, estuaries, inlets, and near-shore waters. If applicable, describe the project location with respect to the Coastal Barrier Resources System, or indicate where this information can be found (e.g., biological report/assessment, CEQA document, etc.). Provide the status of any consultations conducted with the appropriate Coastal Zone management agency and the United States Department of Interior, Fish and Wildlife Service (USFWS). During the planning process, the applicant should consult with the appropriate Coastal Zone management agency (e.g., City or County with an approved Local Coastal Program, the California Coastal Commission, or the San Francisco Bay Conservation and Development Commission) to determine if the project will have an impact on the Coastal Barrier Resources System.

Regulatory Information: The Coastal Barriers Resources Act is intended to discourage development in the Coastal Barrier Resources System and adjacent wetlands, marshes, estuaries, inlets, and near-shore waters. Since there is no designated Coastal Barrier Resources System in California, no impacts from California projects are expected. However, should the applicant believe there may be impacts to the Coastal Barrier Resources System due to special circumstances, please use the above information as a guide.

If the project will have an impact on the Coastal Barrier Resources System, the State Water Board must consult with the appropriate Coastal Zone management agency and the USFWS. Any recommendations from the Coastal Zone management agency and the USFWS will be incorporated into the project's design prior to approval of SRF financing. For more information on Coastal Barrier Resources System in the project area, please visit:

<http://www.fws.gov/CBRA/>.

Coastal Zone Management Act

Required Documentation: Explain if any portion of the project is located within the coastal zone and describe the project location with respect to coastal areas, or indicate where this information may be found (e.g., CEQA document, biological report/assessment, etc.). If applicable, provide the status or copy of the coastal zone permit or coastal exemption.

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

Regulatory Information: Projects involving construction activities in the coastal zone will require consultation with either the California Coastal Commission (or the designated local agency with a Local Coastal Program), or the San Francisco BCDC (for projects located in the San Francisco Bay area).

For more information on Coastal Zone Management Act requirements, please refer to the following websites:

- United States Coastal Zone Boundaries through the United States Department of Commerce, National Oceanic and Atmospheric Administration (NOAA), and National Marine Fisheries Service (NMFS) website at <https://coast.noaa.gov/czm/media/StateCZBoundaries.pdf>;
- California Coastal Commission website at <http://www.coastal.ca.gov/ccatc.html>; and/or
- San Francisco Bay Conservation and Development Commission website at <http://www.bcdc.ca.gov/>.

Endangered Species Act (ESA)

Required Documentation: Explain if the project construction and operational activities may directly or indirectly affect any federally listed threatened or endangered species that are known or have a potential to occur on the project site, in the surrounding area, or in the service area. Please also indicate where more information can be found (e.g., biological report/assessment, CEQA document, etc.).

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

Regulatory Information: The USFWS and NMFS must be consulted for any projects that may have the potential to impact a federally listed species. The State Water Board will reach out to the USFWS or NMFS for technical assistance prior to initiating consultation under Section 7 of the ESA. If consultation is required, the State Water Board will coordinate with the USEPA to initiate a Section 7, ESA consultation with the USFWS and/or NMFS. The USFWS and NMFS must provide written concurrence prior to execution of a SRF financing agreement. The USFWS and NMFS comments may include conservation measures, for which the applicant's SRF financing agreement will be conditioned to ensure compliance.

For further information on the ESA requirements, visit <http://www.fws.gov/angered/laws-policies/index.html> and <http://www.nmfs.noaa.gov/pr/laws/esa/>. Note that compliance with both the state and federal ESAs is required of projects having the potential to impact state and federal special-status species or critical habitat. Although overlap exists between the state and federal ESAs, there might be additional or more restrictive state requirements. For further information on the California ESA, refer to the California Department of Fish and Wildlife (CDFW) website at <http://www.dfg.ca.gov/habcon/cesa/>.

For further guidance on the preparation of a biological report/assessment, please visit https://www.fws.gov/midwest/angered/section7/ba_guide.html.

Environmental Justice

Required Documentation: Place a check (✓) in the box(es) that describe the impact of the project and provide a brief explanation for your answer(s). Explain any disproportionately high and adverse human health or environmental effects of the project's activities on minority and low-income populations, or indicate where this information can be found.

Regulatory Information: The USEPA has defined environmental justice as "the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies."

Fair Treatment means that no group of people should bear a disproportionate burden of environmental harms and risks, including those resulting from the negative consequences of industrial, governmental, and commercial operations or programs and policies.

Meaningful Involvement means that: 1) potentially affected community members have an appropriate opportunity to participate in decisions about a proposed activity that will affect their

environment and/or health; 2) the public's contribution can influence the agency's decision; 3) the concerns of all participants involved will be considered in the decision-making process; and 4) the decision-makers seek out and facilitate the involvement of those potentially affected.

Environmental justice concern indicates the actual or potential lack of fair treatment or meaningful involvement of minority, low-income, or indigenous populations, or tribes in the development, implementation, and enforcement of environmental laws, regulations, and policies.

Your project may involve an "environmental justice concern" if the project could:

- a) Create new disproportionate impacts on minority, low-income, or indigenous populations;
- b) Exacerbate existing disproportionate impacts on minority, low-income, or indigenous populations; or
- c) Present opportunities to address existing disproportionate impacts on minority, low-income, or indigenous populations that are addressable through the project.

Farmland Protection Policy Act

Required Documentation: Explain if any portion of the project is located on prime, unique, or important farmland, and provide information on the acreage that would be converted to other uses. Also, explain if any portion of the project boundaries is under a Williamson Act Contract, and specify the amount of acreage affected. Include this information in the Environmental Package or indicate where it can be found (e.g., farmland conversion assessment, CEQA document, etc.). If the project area is protected farmland or farmland under the Williamson Act Contract, please consult with appropriate federal, state, and local agencies and provide necessary documents to the State Water Board.

Regulatory Information: Projects involving impacts to farmland designated as prime and unique, local and statewide importance, or under a Williamson Act Contract, will require consultation with the United States Department of Agriculture, Natural Resources Conservation Service and/or California Department of Conservation. The applicant should discuss with the State Conservationist or local representative the project's potential impacts to important farmland. The State Conservationist can provide advice on: (a) what further actions must be taken by the applicant to further evaluate important farmlands, (b) the significance of all identified important farmlands, (c) the sizing of the project as it relates to secondary growth, (d) the continued viability of farming and farm support services in the project area, and (e) alternatives or mitigation measures for reducing potential adverse effects on important farmlands.

For more information on the Farmland Protection Policy Act go to https://www.nrcs.usda.gov/wps/portal/nrcs/detail/?cid=nrcs143_008275, and for the Williamson Act Contract go to <http://www.consrv.ca.gov/dlrp/lca>.

Fish and Wildlife Coordination Act (FWCA)

Required Documentation: Explain if the project involves any direct or indirect impacts from construction or operational activities to a body of water and provide the additional supporting information, as needed, or indicate where this information can be found (e.g., biological report/assessment, CEQA document, etc.).

Regulatory Information: Projects that may impact a stream or other water body by impounding, diverting, deepening a channel, or otherwise controlling or modifying flow for any purpose (including navigation and drainage) will require consultation with the USFWS and CDFW. The Fish and Wildlife Coordination Act is not applicable to those projects in which the maximum surface area impoundment of water is less than ten (10) acres, or to activities for or in connection with programs primarily for land management and use carried out by federal agencies with respect to federal lands under their jurisdiction.

The State Water Board staff will coordinate with the USEPA to initiate consultation with the relevant agencies if necessary.

Floodplain Management: Executive Orders 11988, 12148, and 13690

Required Documentation: Explain if any portion of the project is located within a 100-year floodplain as depicted on a floodplain map or otherwise designated by the United States Department of Homeland Security, Federal Emergency Management Agency (FEMA). Describe any proposed measures that will be implemented to minimize or avoid redirection of the flood flow by the project, or indicate where this information can be found (e.g., CEQA document, floodplains/hydrological assessment, etc.). Provide information of any consultations completed with relevant agencies, along with the relevant FEMA floodplain map. If applicable, attach any reports (floodplains/hydrological assessment) completed for the project.

Regulatory Information: Each agency shall take action to reduce the risk of flood loss, to minimize the impact of floods on human safety, health and welfare, and to restore and preserve the natural and beneficial values served by floodplains in carrying out its responsibilities. Before taking an action, each agency shall determine whether the project will occur in a designated floodplain. Through Executive Order 13690, there are three (3) methods for establishing flood elevation and hazard area:

- a. Use data and methods informed by best-available, actionable climate science;
- b. Build two (2) feet above the 100-year flood elevation for standard projects and build three (3) feet above the 100-year flood elevation for critical buildings; and
- c. Build to the 500-year flood elevation.

If an agency determines or proposes to conduct, support, or allow a project to be located in a floodplain, the agency shall consider alternatives to avoid adverse effects and incompatible development in the floodplains. The project design and construction should take natural systems, ecosystem processes, and nature-based approaches into consideration when planning to construct within a floodplain whenever possible.

For technical assistance regarding the Floodplain Management requirements for construction within a 100-year floodplain, please contact your local Floodplain Administrator. For assistance identifying the Floodplain Administrator for your project area, please contact your regional Department of Water Resources Floodplain Management Specialist at <https://www.water.ca.gov/-/media/DWR-Website/Web-Pages/Programs/Flood-Management/Community-Resources/National-Flood-Insurance-Program/Files/20170623-NFIP-Specialist-Map.pdf>.

For further information regarding Floodplain Management requirements, please consult the FEMA website at <http://www.fema.gov>, as well as the USEPA Floodplain Management Executive Order 11988 at <https://www.fema.gov/executive-order-11988-floodplain->

[management](https://www.gpo.gov/fdsys/pkg/FR-2015-02-04/pdf/2015-02379.pdf) and Executive Order 13690 at <https://www.gpo.gov/fdsys/pkg/FR-2015-02-04/pdf/2015-02379.pdf>.

Magnuson-Stevens Fishery Conservation and Management Act

Required Documentation: Explain if the project construction activities involve direct, indirect, and/or cumulative impacts to Essential Fish Habitat (EFH), or indicate where this information can be found (e.g., biological report/assessment, EFH impact assessment/evaluation, CEQA document, etc). To determine the project's location relative to designated EFH and to obtain an unofficial or official NMFS species list, consisting of both endangered species and EFH that could potentially occur in the project area, please visit:

http://www.westcoast.fisheries.noaa.gov/maps_data/california_species_list_tools.html. If the project may adversely impact EFH, the applicant must contact the NMFS to obtain an official species list, and can do so by following the link above and the associated website instructions. If the applicant is unable to obtain an official NMFS species list, please contact the Division of Financial Assistance Environmental Review staff for further assistance.

Regulatory Information: The Magnuson-Stevens Fishery Conservation and Management Act (MSFCMA), as amended, is designed to manage and conserve national fishery resources. EFH consultations are only required for actions that may adversely affect EFH. The NMFS is responsible for publishing maps and other information on the locations of designated EFH, and can provide information on ways to promote conservation of EFHs. If a project may adversely affect a designated EFH, consultation with the NMFS will be required.

The State Water Board staff will reach out to the NMFS for technical assistance while reviewing the project. The State Water Board will coordinate with the USEPA to initiate consultation with the NMFS under the MSFCMA. The NMFS can respond informally or in writing. The NMFS comments may include conservation measures, for which the applicant's SRF financing agreement will be conditioned to ensure compliance. For more information, see the brochure at http://www.nmfs.noaa.gov/sfa/reg_svcs/Council%20stuff/council%20orientation/2007/2007TrainingCD/TabT-EFH/EFH_CH_Handout_Final_3107.pdf.

Migratory Bird Treaty Act

Required Documentation: Explain if the project will impact federally protected migratory birds, and provide a list of all protected migratory bird species that have the potential to occur in the project area, including their migration schedules and past sightings within the project area. Please indicate where this information can be found [e.g., page number(s) of the biological report/assessment, CEQA document, etc.].

Regulatory Information: The Migratory Bird Treaty Act (MBTA) restricts the killing, taking, collecting and selling or purchasing of native bird species or their parts, nests, or eggs. The MBTA, along with subsequent amendments to this act, provides legal protection for almost all breeding bird species occurring in the United States and must be included in the CEQA document. Each agency must make a finding that a project will comply with the MBTA in the CEQA document. For further information, please consult the Migratory Bird Program through the USFWS website at <https://www.fws.gov/birds/policies-and-regulations/laws-legislations/migratory-bird-treaty-act.php>.

National Historic Preservation Act (NHPA)

Required Documentation: A Historic Properties Identification Report (HPIR), written by a cultural resources professional who meets the Secretary of the Interior's Professional Qualification Standards in Archaeology or Architectural History (www.nps.gov/history/local-law/arch_stnds_9.htm), as appropriate, needs to be sent to the State Water Board's on-staff archaeologists. Contact the Project Manager or Environmental Review staff for the assigned archaeologist's contact information. For detailed information on the contents of the report, visit http://ohp.parks.ca.gov/pages/1071/files/106Checklist_Details.pdf. The HPIR must include all supporting documentation, such as the results of the California Historical Resources Information System (CHRIS) records search, the results of the Sacred Lands File Search and Native American correspondence, and site records from the records search and from new resources found during the field survey. In the Environmental Package, explain the NHPA, Section 106 finding of effect, or indicate where this information can be found (e.g., HPIR cultural report).

Regulatory Information: Section 106 of the NHPA (Section 106) requires federal agencies to take into account the effects of project activities on historic properties. The Section 106 process seeks to accommodate historic preservation concerns with the needs of federal undertakings through consultation among the agency official and other parties with an interest in the effects of the undertaking on historic properties, commencing at the early stages of project planning. Historic properties are any prehistoric or historic district, site, building, structure, or object included in or eligible for inclusion in the National Register of Historic Places (NRHP). The term also includes properties of religious and cultural importance to a Native American tribe that meets the National Register criteria.

The USEPA has given authority to the State Water Board to carry out the requirements of Section 106 of NHPA and its implementing regulations, found at 36 C.F.R. Part 800, in regards to the State Revolving Fund Programs. The State Water Board consults with the State Historic Preservation Officer, the Advisory Council on Historic Preservation, and consulting parties on behalf of the USEPA and the applicant.
http://www.waterboards.ca.gov/water_issues/programs/grants_loans/cwsrf_requirements.shtml
[html](http://www.waterboards.ca.gov/water_issues/programs/grants_loans/cwsrf_requirements.shtml)

Protection of Wetlands

Required Documentation: Explain if there is any area within the project boundaries that should be evaluated for wetland delineation and/or that requires a permit certification from the USACE, RWQCB(s), and/or CDFW. Provide a copy of the applicable permit(s) to the State Water Board, and indicate where more information can be found (e.g., CEQA document, wetland assessment/delineation report, biological report/assessment, etc.).

Regulatory Information: In accordance with Executive Order 11990, Protection of Wetlands, any proposed project that will be in or will potentially affect wetlands must be assessed so that adverse impacts to wetlands can be avoided, to the extent possible. A wetland delineation report must be prepared for any project that will be located in or will potentially impact a wetland. The USACE Wetland Delineation Manual is available at <https://www.cpe.rutgers.edu/Wetlands/1987-Army-Corps-Wetlands-Delineation-Manual.pdf>. In addition, the CDFW determines whether or not an activity may adversely impact fish and wildlife resources, and a Fish and Game Code Lake or Streambed Alteration (LSA) Agreement may need to be prepared. For more information on Fish and Game codes please visit <https://www.wildlife.ca.gov/Conservation/LSA>.

Rivers and Harbors Act, Section 10

Required Documentation: Explain if the project involves any regulated activities conducted below the Ordinary High Water (OHW) elevation of navigable waters of the United States that must be approved/permitted by the USACE per Section 10 of the Rivers and Harbors Act. Indicate where more information on the project's construction and regulated activities can be found (e.g., Project Technical Report/Engineering Report, CEQA document, etc.). Provide a copy of the Section 10 permit to the State Water Board, if applicable.

Regulatory Information: If a project involves the construction of structures or any other regulated activities in, under, or over navigable waters of the United States, a Section 10 Permit from the USACE is required. Regulated activities include the placement/removal of structures, work involving dredging, disposal of dredged material, filling, excavation, or any other disturbance of soils/sediments or modification of a navigable waterway. Navigable waters of the United States are those waters of the United States that are subject to the ebb and flow of the tide shoreward to the mean high water mark and/or are presently used, or have been used in the past, or may be susceptible to use to transport interstate or foreign commerce. Tributaries and backwater areas associated with navigable waters of the United States, and located below the OHW elevation of the adjacent navigable waterway, are also regulated under Section 10. The applicant must consult with the USACE to obtain a Section 10 Permit, if applicable. For more information, please visit http://www.in.gov/indot/files/24_army.pdf.

Safe Drinking Water Act, Sole Source Aquifer Protection

Required Documentation: Explain if the project is located in an area designated by the USEPA, Region 9, as a sole source aquifer, and identify the sole source aquifer (e.g., Fresno County Aquifer; Campo/Cottonwood Creek Aquifer; Santa Margarita Aquifer, Scott's Valley; or Ocotillo-Coyote Wells Aquifer) that will be affected. The applicant must comply with the Safe Drinking Water Act and document whether or not the project has the potential to contaminate a Sole Source Aquifer. The applicant shall be held responsible for providing an alternate project location and/or appropriate mitigation measures if a Sole Source Aquifer were to be significantly impacted by a project. Include this information in the Environmental Package, or indicate where this information may be found (e.g., biological report/assessment, CEQA document, etc.).

Regulatory Information: For projects impacting a listed Sole Source Aquifer, the applicant must identify an alternative project location, and/or develop adequate mitigation measures in consultation with the USEPA. For more information, please visit the Sole Source Aquifer Program website at <http://epa.gov/region09/water/groundwater/ssa.html>.

Wild and Scenic Rivers Act

Required Documentation: Explain if a segment of the project is located within a wild and scenic river, or indicate where this information can be found (e.g., biological report/assessment, CEQA document, etc.). If the project is located within a wild and scenic river watershed, please provide a map identifying the watershed where the project is located.

Regulatory Information: There are construction restrictions or prohibitions for projects near or in a designated "wild and scenic river." A listing of designated "wild and scenic rivers" can be obtained at <http://www.rivers.gov/california.php>. Watershed information can be obtained

through the “California Watershed Portal” at <http://www.conservation.ca.gov/dlrp/watershedportal>.

V. Environmental Package Attachments

Submit the applicable documents via the State Water Board’s FFAST system. **Please label the documents, depending on whether the document is a CEQA Document (E1) or a Federal Cross-cutter Document (E2), in the following format: E1/2 “Document Type.”** For example, if you are submitting the Comments and Responses, it would be labeled *E1-Comments and Responses*. If you are submitting a FEMA floodplain map, it would be labeled *E2-FEMA Flood Map*.

E1 – CEQA Documents

Please submit copies of all applicable CEQA documents for the project.

Place a check (✓) in the applicable box(es) that describe(s) the environmental documents prepared for the project and submit the required attachments.

- **Notice of Exemption (NOE):** Provide a date-stamped copy of the NOE filed with the County Clerk and Governor’s Office of Planning and Research (OPR), State Clearinghouse (SCH).
- **Initial Study/Negative Declaration (ND):** Provide draft and final copies of the ND.
- **Initial Study/Mitigated Negative Declaration (MND):** Provide draft and final copies of the MND.
- **Environmental Impact Report (EIR):** Provide draft and final copies of the EIR.
- **Comments and Responses:** Provide all comments and responses related to the CEQA document (ND, MND, EIR, Addendum, Supplemental, and Subsequent).
- **Statement of Overriding Considerations (SOC):** Provide a copy of the SOC if the project has a potential significant unavoidable environmental impact.
- **Mitigation Monitoring and Reporting Program/Plan (MMRP):** Provide a copy of the adopted MMRP if the project requires a MND or an EIR.
- **Resolution/Minutes Approving the CEQA Document(s):** All CEQA documents (including Addendum, Supplemental, and Subsequent) must be adopted/certified in a public meeting by the governing body of the applicant seeking funds from the SRF Programs. This is not required for projects covered by an exemption.
 - If the applicant is a *public agency* and the proposed project has been previously evaluated in an environmental document where the applicant was not the lead CEQA lead agency, the applicant must adopt/certify, in a public meeting, the relevant CEQA document(s) to receive funds from the SRF Programs.
 - If the applicant is a *private agency* and the proposed project has been previously evaluated in an environmental document, provide all corresponding CEQA documents.
- **Notice of Determination (NOD):** Provide a date-stamped copy of the NOD filed with the County Clerk and SCH.

Financial Assistance Application Information and Instructions

Example: If the project is covered under a Negative Declaration, mark and submit the following attachments:

E1- CEQA DOCUMENTS	NOE	ND	MND	EIR
NOTICE OF EXEMPTION (NOE) FILED WITH THE STATE CLEARINGHOUSE AND COUNTY CLERK				
DRAFT AND FINAL INITIAL STUDY/NEGATIVE DECLARATION (ND)		✓		
DRAFT AND FINAL INITIAL STUDY/MITIGATED NEGATIVE DECLARATION (MND)				
DRAFT AND FINAL ENVIRONMENTAL IMPACT REPORT (EIR)				
COMMENTS AND RESPONSES		✓		
STATEMENT OF OVERRIDING CONSIDERATIONS (SOC)				
MITIGATION MONITORING AND REPORTING PLAN/PROGRAM (MMRP)				
RESOLUTION/MINUTES APPROVING THE CEQA DOCUMENT(S)		✓		
NOTICE OF DETERMINATION (NOD) FILED WITH THE STATE CLEARINGHOUSE AND COUNTY CLERK		✓		

E2 – Federal Cross-cutter Documents

Please submit copies of all applicable federal cross-cutter documents for the project.

Place a check (✓) in the applicable box(es) that describe(s) the environmental documents prepared for the project and submit the required attachments.

Example: If the project is located within a coastal zone, requires a 404 Permit, is not exempt from CEQA, and has EFH in the project area, mark and submit the following attachments:

E2 - FEDERAL CROSS-CUTTER DOCUMENTS	ATTACHED	N/A
United States Forest Service, Bureau of Land Management, and Other Federal Land – Map of Federal Lands and the Federal Land Use Authorization/Permit, if applicable		✓
Environmental Alternative Analysis, if applicable	✓	
Clean Air Act – CalEEMod Report or Other Air Quality Models/Studies Used	✓	
Coastal Zone Management Act – Coastal Zone Permit or Coastal Exemption, if applicable	✓	
Endangered Species Act Section 7 – Biological Report/Assessment	✓	
Farmland Protection Policy Act – Farmland Conversion Assessment, if applicable		✓
Fish and Wildlife Coordination Act – Potential Impacts to Water Body Documentation, if applicable		✓
Floodplain Management – Official Floodplain Map (required) and Floodplains/Hydrological Assessment (if applicable)	✓	
Magnuson-Stevens Fishery Conservation and Management Act – EFH Assessment/Evaluation, Official NMFS Species List, if applicable	✓	
Migratory Bird Treaty Act – List of Migratory Birds Potentially Affected by Project (May be Included in the Biological Report/Assessment)	✓	
National Historical Preservation Act, Section 106 – Historic Properties Identification Report	✓	
Protection of Wetlands – Wetland Assessment/Delineation Report, Clean Water Act Section 401 Certification and/or Clean Water Act Section 404 Permit, if applicable	✓	
Rivers and Harbors Act – Section 10 Permit, if applicable		✓
Wild and Scenic Rivers Act – Map of Wild and Scenic Rivers Watershed, if applicable		✓
Other Federal Cross-Cutter Documentation (i.e. Coastal Barrier Resources Act, Environmental Justice, etc.), if applicable – _____		✓
Other Documentation – _____		✓
Other Documentation – _____		✓
Other Documentation – _____		✓

Financial Security Package (Construction)

Applicant (Entity) Name – Enter the entity that will be the legal signatory to a financing agreement.

Project Title – Enter the title of the project.

Contact Person and Phone – Enter the name and phone number of the day-to-day contact for the project. This person should be able to answer financial questions about the project and application.

1. Financing Amount Requested

Estimate the project costs to be funded with State Water Board DWSRF funds. This amount should match the Amount of Assistance Requested in Section 1 of the General Information Package.

2. Term Requested

Indicate the financing term you are requesting: 20-year or 30-year.

3. Other Project Funding Sources

Describe how the total project will be financed.

- ✓ Enter the name(s) and type(s) of all funding sources.
- ✓ Enter the amount of funds you expect to receive from each source.
- ✓ Check the appropriate box to indicate whether the other sources of financing have been applied for, approved by the funding agency, or received by the applicant.
- ✓ Submit copies of other funding sources commitment or debt documents.

Example: DWSRF financing \$1,000,000
USDA grant \$ 500,000
Applicant Agency portion \$ 250,000

4. Current Year Median Household Income: Determination by Division

Enter the estimated Median Household Income (MHI) for the proposed project service area, using the most recent income survey. If an income survey is not available, MHI estimates may be found at the Census Bureau website at <http://factfinder2.census.gov/faces/nav/jsf/pages/index.xhtml#none>. Enter “Median Household Income in the Past 12 Months” and the municipality name into the Quick Search box. If you cannot locate data for your community, you may contact the Division at DrinkingWaterSRF@waterboards.ca.gov for additional assistance. **MHI determinations are considered preliminary and will be finalized once the complete application is reviewed.**

5. Current Year Estimated Population Served

- a. Enter the estimated population of the water system service area.
- b. Place a check (✓) in the box if less than 50% of residences are permanently occupied.

6. Active Service Connections

If active water service connections are currently and directly served by the water system, enter the following for each applicable connection type:

- ✓ Number of active water service connections that are currently and directly served by the water system
- ✓ Current monthly service charge
- ✓ Projected monthly service charge that will be in place after the proposed project is completed
- ✓ Average monthly billing for the last 12 months

Rate increase effective date for projected monthly service charges – Enter the estimated date that the projected monthly service charges will go into effect (if unknown, assume one year after construction completion).

7. Projected Annual Operations and Maintenance Costs

Enter the estimated annual costs to operate and fully maintain the proposed project after it is complete. Operations and maintenance costs include staff salaries, chemicals, utilities, warranties, routine repair and replacement, laboratory services, billing and collection and life-cycle costs. The consulting engineer should have included these costs in the Engineering Report. (Attachment T1).

8. Discussion of Material Events, Material Obligation Conditions, and Any Debt Limit

Identify any current, prior, or pending material events such as bankruptcy, defaults, litigation, grand jury findings, unscheduled draws on reserve funds, substitution of insurers or their failure to perform, unscheduled draws on credit enhancements, actions taken in anticipation of filing Chapter 9, rating changes, relevant conditions in material obligations, and any local debt limit.

9. Water Rate Study

Indicate whether a water rate study has ever been performed on your water system as well as the date of the study and subsequent findings. If you respond yes, please submit a complete copy of the Water Rate Study.

ATTACHMENTS

F1- Audited Financial Statements: Provide COMPLETE audited financial statements; or federal tax returns if applicant/water system is not required to complete audited financial statements; for the most recent three years. Refer to the schedule below:

Application Date	Required Financial Statements
January 1 st through June 30 th	Most recent three years, including last Fiscal Year. Example: <i>Application on March 1, 2017, requires Financial Statements for Fiscal Years 2013/14; 2014/15; and 2015/16</i>
July 1 st through December 31 st	Most recent three years prior to current Fiscal Year. Example: <i>Application on September 1, 2017, requires Financial Statements for Fiscal Years 2014/15; 2015/16 and 2016/17</i>

Identify any restricted funds and the reason for the restrictions as well as all sources of security to be pledged. If using real property, provide at least two appraisals of the value, how the value was determined, and whether the property is currently pledged as security on any other debt.

F2- Budgets or Projections: Provide budgets or projections for two fiscal years.

Sample of a Budget or Projections

Operating Revenue	Adopted Budget 2015/16	Projections 2016/17
Water Sales	\$2,552,866	\$2,680,509
Utility Billing Charges	\$830,000	\$871,500
Water Discharge Fee	\$15,000	\$15,750
Connection Fees	\$475,000	\$498,750
Other Income	\$25,000	\$26,250
Other Non-Operating Revenue		
Interest Income	\$7,000	\$7,350
Property Tax	\$1,200,300	\$1,260,315
Other Misc. Income	\$2,000	\$2,100
Total Revenue	\$5,107,166	\$5,362,524
Operating Expenses		
Salaries	\$1,500,000	\$1,575,000
Water Purchases	\$1,200,000	\$1,260,000
Operating Supplies	\$500,000	\$525,000
Repair and Maintenance	\$78,000	\$81,900
Professional Fees	\$30,000	\$31,500
Legal	\$20,000	\$21,000
Lease/Rents	\$950,000	\$997,500
Utility Billing Service	\$300,000	\$315,000
Total Operating Expenses	\$4,578,000	\$4,806,900
Net Revenue	\$529,166	\$555,624
Existing Debt Service	\$93,000	\$93,000
Total Net Revenue after Debt Service	\$436,166	\$462,624

F3 – Tax Questionnaire: To be completed and submitted with an application for all projects (except for privately owned entities and Public Schools). The Tax Questionnaire provides basic information about project costs, accounting, and who will own and operate the project. The applicant’s response to the Tax Questionnaire and Reimbursement Resolution (below) are reviewed by the State Water Board’s DWSRF tax attorney (DWSRF tax attorney) to determine whether the applicant is eligible to receive funds from tax-exempt revenue bond sales (not applicable if 100% grant or principal forgiveness funding).

F4 – Reimbursement Resolution: All applicants that are publicly owned entities are required to submit an adopted Reimbursement Resolution for review by the DWSRF tax attorney. The language may not vary from the language provided in the template. The Reimbursement Resolution should be a stand-alone resolution (not applicable if 100% grant/principal forgiveness funding).

F5 – Authorizing Resolution/Ordinance (for use by publicly owned entities): This resolution or ordinance designates the Authorized Representative(s) for the project, who will have the authority to sign and submit the DWSRF application materials, certify compliance with applicable state and federal laws, execute the financial assistance agreement and amendments, and certify disbursement requests.

- ❖ To minimize the potential for problems, use the exact language in the template resolution.
- ❖ Enter the title of the Authorized Representative, NOT a person's name.
- ❖ Do not modify the words financing or financial assistance to other terms such as “loan”, “grant”, or “principal forgiveness”. Use of these terms will create legal complications; the terms “financing” and “financial assistance” are broad enough to be applicable to all of the above.
- ❖ It is not necessary to specify the requested amount of financing. If you do specify an amount, to allow some flexibility, please specify the maximum anticipated amount of financing as follows: “Financial assistance shall not exceed \$_____.”

F6 – Rate Adoption Resolution: Attach a copy of the most recent board resolution, ordinance, or similar document which approved the water rates currently in place.

F7 – Pledged Revenues and Fund(s) Resolution: Federal law requires applicants to establish a dedicated source of revenue for repayment. The financing agreement will identify the pledge revenue(s) and fund(s) (PRF). The majority of DWSRF applications for water projects are secured with “the Water Enterprise fund and Net Revenues thereof”. If your DWSRF financing agreement will also be secured with other PRFs such as special assessments or a special tax, the template language will need to be modified accordingly. If you are uncertain as to the appropriate wording, a draft version may be submitted with the initial application. A reserve fund may also be required. This item is not required if the applicant is applying for one hundred percent grant or principal forgiveness funding.

F7a – Corporate Resolution to Apply, Borrow and Grant Security (for use by corporations): This resolution designates the Authorized Representative(s) for the project, who will have the authority to sign and submit the DWSRF application materials, certify compliance with applicable state and federal laws, execute the financial assistance agreement and amendments, certify disbursement requests, grant security interest, and authorize State Water Resources Control Board to perform any acts necessary to perfect security.

- ❖ To minimize the potential for problems, use the exact language in the template resolution.
- ❖ Enter the title of the Authorized Representative, NOT a person's name.

F7b –Other Entity Type: If you are a limited partnership, general partnership, trust, or sole proprietor please contact the Division of Financial Assistance for guidance on the documentation required for designating an Authorized Representative.

F8 – Existing Related Debt: Submit a schedule of all material debt secured by the PRF or the system, along with a copy of each relevant debt document (e.g., loans, private placements, bond

indentures, installment sale agreements, etc.). If there are any pending debts, provide draft or estimated information. This schedule will be an exhibit to the DWSRF financing agreement and will rank related debt according to priority in relation to the proposed DWSRF debt (senior, parity, or subordinate tier). If the applicant has no other debt (except other DWSRF debt), the Authorized Representative must provide a letter stating this. In most cases, the DWSRF debt will be on parity with related debt. Applicant needs to provide the website link or PDF copy of their debt management policy.

F9- Debt Management Policy: Applicant needs to provide the website link or PDF copy of their debt management policy. Guidance on Complying with SB 1029 Release Date: December 28, 2016- <http://www.treasurer.ca.gov/cdiac/sb1029/guidance.pdf> (not applicable if 100% grant/principal forgiveness funding).

F10 – New Special Tax, Assessment District, or service charge projections: If applicable, provide budget projections based on proposed taxes, fees, charges or assessments (*No template exists*). Label the projections as Attachment F10.

F11 – Relevant Service, Management, Operating, or Joint Powers Agreements: If applicable, provide a copy of any relevant, service, management, operating or joint powers agreements and any amendments (*No template exists*). Label the agreement as Attachment F11.

F12 – Future Capital Needs: The applicant should describe any capital improvement plans and the long-term indebtedness needed to fund its future capital improvements. The applicant must provide any formal CIP it has to the Division (*No template exists*). Label the CIP as Attachment F12.