

Instructions for Completing the Wastewater Planning Application

Administered by the Office of Sustainable Water Solutions in the Division of Financial Assistance of the State Water Resources Control Board, the Wastewater Planning Application is for wastewater systems and communities to apply for funding through the Clean Water State Revolving Fund (CWSRF) Program.

Instructions for submitting the application can be found at the end of this document.

Please contact the Office of Sustainable Water Solutions with any questions at (916) 327-9978 or DFA-OSWS@waterboards.ca.gov.

Before proceeding with the application, please read the *Policy for Implementing the Clean Water State Revolving Fund*:

https://www.waterboards.ca.gov/water_issues/programs/grants_loans/srf/cwsrf_policy.shtml

Please also read the CWSRF Intended Use Plan for information regarding Disadvantaged/Severely Disadvantaged Community status and Funding Eligibility:

https://www.waterboards.ca.gov/water_issues/programs/grants_loans/srf/pubs.html#annual

Please Note: Receipt of financial assistance for planning is not a guarantee of subsequent financial assistance for construction or implementation. Not all sections of the application are included in the instructions below, however, applicants should completely fill out the application form.

Section I – Applicant Information

Entity Type – Enter one of the following entity types:

- Public – local or state (including cities, counties, and districts with wastewater authority)
- Indian Tribe – Federally recognized tribes
- Nonprofit (Only eligible for funding for nonpoint source and estuary projects)
- Other – please specify

Congressional District(s) – Enter the congressional district(s) where the project will be physically located. Congressional district information is available at <http://www.house.gov/representatives/find/>.

State Senate and Assembly District(s) – Enter the district(s) where the project will be physically located. District information is available at <http://findyourrep.legislature.ca.gov/>.

Unique Entity Identifier (UEI) No. - This number is required to receive a financial assistance agreement. If the applicant does not have a UEI number, more information is available at <https://sam.gov/content/entity-registration>

Authorized Representative - The authorized representative is the person who has been authorized by resolution or ordinance 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. The title of the authorized representative listed in the application should match the title listed in the authorizing resolution and in all application certification documents.

Section II - Project Information

Project Components – Select all project components that will be evaluated as part of the planning project.

- **Treatment Plant New/Upgrade/Expansion** – Projects that involve construction of a new treatment plant or work on an existing wastewater treatment plant.
- **Septic-to-Sewer** – Projects that include connecting existing septic tanks / onsite wastewater treatment systems to a new or existing sewer system.
- **Regionalization/Consolidation** - Projects that involve multi-agency agreements to consolidate or regionalize wastewater collection and/or treatment services. For example, this includes an agency that continues to operate a collection system and sends wastewater to another system for treatment.
- **Collection System New/Upgrade/Expansion** – Projects that involve construction of a new collection system or work on an existing sewer/collection system.
- **Storage** – Projects that involve storage tanks or facilities.
- **Water Recycling** – Projects that implement or expand water reuse/recycling.
- **Discharge Outfall/Change Discharge Location** – Projects that involve effluent discharge locations.
- **Clean Energy** – Projects that implement clean energy such as solar panels.
- **Pump Stations/Lift Stations** – Projects that involve pump stations/lift stations to convey wastewater.
- **Other** – Any project type not included above.

Section III – Project Service Area Demographics

Current Year Median Household Income – Enter the estimated Median Household Income (MHI) for the proposed project service area and the source of the data. Please use the MHI from the most recent income survey, if one has been completed. If an income survey has not been completed, American Community Survey (ACS) MHI estimates may be found at the Census Bureau website at <https://data.census.gov/cedsci/>. Search for the city or CDP that contains the project service area using the ‘Explore Census Data’ search box and find the ‘Income and Poverty’ section of the results screen for the city or CDP’s MHI.

If you cannot locate data for the project area or wish to confirm available data, you may contact the Office of Sustainable Water Solutions using the contact information at the beginning of the application for additional assistance.

The Office of Sustainable Water Solutions will make a final MHI determination prior to issuing any financial assistance agreements.

Current Year Estimated Population Served – Enter the estimated population of the proposed project service area and the source of the data.

ACS population estimates may be found at the Census Bureau website at <https://data.census.gov/cedsci/>. Search for the city or CDP that contains the project service area using the ‘Explore Census Data’ search box and find the ‘Total Population’ section of the results screen for the city or CDP’s total population.

If you cannot locate data for the project area or wish to confirm available data, you may contact the Office of Sustainable Water Solutions using the contact information at the beginning of the application for additional assistance.

The Office of Sustainable Water Solutions will make a population determination prior to issuing any financial assistance agreements.

Section IV – Regulatory Information

National Pollutant Discharge Elimination System Permit (NPDES) Permit and/or Waste Discharge Requirements (WDR) Order No. – Enter the NPDES number or the WDR number, if applicable.

Please indicate if any enforcement action has occurred as a result of violations in the previous ten years. Please list the enforcement orders. If an enforcement action is pending, please explain the pending action.

Please indicate if an NPDES Permit or WDR Order is in the process of being renewed or if any other enforcement orders, settlements, etc. are in the process of being resolved or implemented and the status. Copies of any project related discharge requirements, enforcement orders, and/or communication from the Regional Water Quality Control Board should be attached in Section VII below.

Section VII – Attachments

The below attachments are for applicants pursuing funds for wastewater planning projects. Applicants pursuing a loan for planning should contact the Office of Sustainable Water Solutions for additional requirements.

When submitting files electronically, please name the file using label and descriptions found below. For example, the audited financial statements should be uploaded as 'F1 Audited Financial Statements 2019-2020.pdf', 'F1 Audited Financial Statements 2018-2019.pdf', Plan of Study as 'T1 Plan of Study.pdf', etc.

General and Technical Attachments

T1 Plan of Study

A template is available [here](#). The Plan of Study is not required to follow the template, but at a minimum should cover the following items:

- Explanation of water quality problem to be addressed, including information about any existing or pending enforcement actions and/or violations
- Scope of planning or design work, including specific deliverables for each task
- Budget
- Schedule (including specific deliverables and submittal dates)
- Map of the service area

T2 Certification for Compliance with Water Metering Form

This document is required for all applicants, even if they are not a water supplier. A copy of the form is located [here](#).

T3 Water Conservation and Water Management Certification Form

This document is required for all applicants, even if they are not a water supplier. A copy of the form is located [here](#).

T4 RWQCB Requirements and/or Official Communication

Required for all applicants that are subject to Regional Water Quality Control Board (RWQCB) requirements. Submit copies of all current Waste Discharge Requirements (WDR), Reports of Waste Discharge, National Pollutant Discharge Elimination System (NPDES) Permits, Administrative Civil Liability Orders, Notice of Violations, Invitations to Settlement, or other orders pertaining to the treatment facility or collection system that have been issued by the Regional Water Quality Control Board within the previous 10 years. Attach the current WDR or NPDES permits, regardless of issue date.

T5 Income Survey

Attach the most recent income survey that has been completed for the community/service area. This attachment is not required if an income survey has not been completed.

T6 Rate Study

Attach the most recent rate study that has been completed for the community/service area. This attachment is not required if a rate study has not been completed.

Financial Attachments

F1 Audited Financial Statements

Required for all applicants. Provide complete audited financial statements for the most recent three years. If the current year audited financials are still being reviewed, please provide unaudited financial statements. Identify any restricted funds and the reason for the restrictions as well as the fund that will be associated with the project.

F2 Budget Projections

Required for all applicants. A minimum of two years is required, although additional years is recommended in case the application process is delayed. A spreadsheet template is located [here](#). See below for an example.

Projections Example

Operating Revenue	Projections 2021/2022	Projections 2022/2023
Wastewater Sales	\$2,552,866	\$2,680,509
Utility Billing Charges	\$830,000	\$871,500
Wastewater 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

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 Authorizing Resolution

This document is required for all applicants. A template is available [here](#). Although not required, **it is highly recommended to follow the template**. This resolution designates the Authorized Representative(s) for the project, who will have the authority to sign and submit the CWSRF 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 \$".
- Do not reference specific funding programs.

F4 Rate Adoption Documentation

Required for all applicants with existing rates. Required documentation includes the most recent board resolution adopting the rates, a copy of the rates, and the Proposition 218 public meeting notice.

F5 Agreements

Attach any relevant service, management, operating, or joint powers agreements that the applicant has entered, or drafts of any agreements the applicant plans to enter. Include any amendments and provide a summary explanation of the shared financial and management responsibilities of the parties. This attachment is not required if the applicant has no such agreements.

F6 New Special Tax, Assessment District, or Service Charge Projections

Required for applicants with Special Taxes or an Assessment District. Provide budget projections based on proposed taxes, fees, charges, or assessments. No template exists.

F7 School District Certification of Interim Report

Required for school districts. School districts should provide a complete copy of their most recent District Certification of Interim Report, including the signed Criteria and Standards Review Section.

F8 Debt Schedule

Required for all applicants that have debt associated with the applicable wastewater fund(s). If the

applicant has debt, please submit a schedule of all material debt secured by the applicable wastewater fund(s). A template is available [here](#).

F9 Debt Documentation

Required for all applicants that have debt associated with the applicable wastewater fund(s).

If the applicant has debt associated with the applicable wastewater fund(s), please submit a copy of each relevant debt document (e.g., loans, private placements, bond indentures, installment sale agreements, etc.) of all material debt secured by the applicable wastewater fund(s). If there are any pending debts, provide draft or estimated information.

F9 No Debt Letter

Required for all applicants that have no existing debt associated with the applicable wastewater fund(s). If the applicant has no such debt, the Authorized Representative should state this in a signed letter on the applicant's letterhead.

Section VIII 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. The title of the authorized representative signing the application must match the title from the authorizing resolution (Financial Attachment F3).

Application Submission

The application and attachments can be submitted in the following ways:

- 1) Online at <https://faast.waterboards.ca.gov> using Financial Assistance Application Submittal Tool (FAAST). This method is the most efficient method to submit application documents.

To submit a CWSRF application in FAAST you must complete all the tabs in FAAST, upload the CWSRF Planning/Design Application and attachments, and click on the 'Submit' button.

In order for a project manager to be assigned to the project and for the application to be processed, you must complete the application by clicking on the "Submit" button.

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 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.

- 2) Email the application and attachments to cleanwatersrf@waterboards.ca.gov.
- 3) Mail a digital and/or hard copy to:
State Water Resources Control Board
Division of Financial Assistance
1001 I Street, 16th Floor, Sacramento, CA 95814 (Private carrier)
P.O. Box 944212, Sacramento, CA 94244-2120 (USPS)