

Instructions for Completing the Wastewater Planning/Design Application for Projects Receiving 100% Nonrepayable Financing

Administered by the Office of Sustainable Water Solutions in the Division of Financial Assistance (DFA) of the State Water Resources Control Board, the Wastewater Planning/Design Application is for wastewater systems and communities to apply for 100% nonrepayable Small Community Wastewater funding through the Clean Water State Revolving Fund (CWSRF) Program.

Instructions for submitting the application can be found on the final page of these instructions.

Please contact the DFA with any questions at (916) 327-9978 or CleanWaterSRF@waterboards.ca.gov.

Before proceeding with the application, please read the *Policy for Implementing the Clean Water State Revolving Fund, including Appendix I. State Environmental Review Process*:
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

Please Note: Receipt of financial assistance for planning/design 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 <http://www.sam.gov/>.

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

Ground Disturbing Activities – Provide details regarding any ground disturbing activities that may occur during the planning phase of the project. Examples of ground disturbing activities include, but are not limited to:

- Geotechnical boring;
- Monitoring well drilling; or
- Grading and excavation.

State whether Notices of Exemption (NOE) or Notices of Determination (NOD) have been filed for the planning and design activities.

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

Service Area – Please indicate if the permitted service area matches the Project service area.

Project service area is defined as the residences directly benefitting from the proposed project. For example, if an existing sewer provider is applying for funding to rehabilitate its existing wastewater treatment plant, then the permitted service area matches the Project service area. If an existing sewer provider is applying for funding to connect residents outside of its existing customer base to the sewer system, then the permitted service area does not match the Project service area. If there is no permitted service area, check the “N/A” box.

Service Connections – Enter the number of connections and average monthly billing. If residents do not currently pay monthly rates, check the “N/A” box.

Current Year Median Household Income – Enter the estimated Median Household Income (MHI) for the 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 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 five 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 V – Water Management and Water Rights Compliance

Urban Water Supplier – Please indicate if the applicant is an urban water supplier. An urban water supplier provides water for municipal purposes either directly or indirectly to more than 3,000 customers or supplies more than 3,000 acre-feet of water annually. The Urban Water Management Planning Act, Water Code, Section 10610 et seq., requires every urban water supplier to prepare and adopt an Urban Water Management Plan that includes specific elements, and update the Plan at least once every five years.

Urban Water Management Plan – Please indicate if the applicant has a current Urban Water Management Plan on file with the Department of Water Resources.

Section 5103 and Water Diversion – Please indicate if the applicant is a water diverter and subject to Section 5103 of the Water Code.

Note: the CWSRF Policy requires agencies to be current on water diversion submittals to the State Water Board’s Division of Water Rights. If the Applicant is not current on these submittals, DFA will not execute a financing agreement or disburse any funds until the reports are submitted unless the Deputy Director determines that (a) the financing will assist the applicant in complying with the reporting requirements, and (b) the applicant has submitted to the State Water Board a one-year schedule for complying with the reporting requirement. Funding applicants and recipients must notify the Division immediately if they are not current on water diversion submittals.

Section VI – Discussion of Material Events, Material Obligation Conditions, and Any Debt Limit

Please document any current, prior, or pending material events as applicable.

Note: applicants and recipients must notify DFA immediately if there are any changes to this response.

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 Potential CWSRF Planning Flags Worksheet should be uploaded as ‘1 Potential CWSRF Planning Flags Worksheet’.

1 - Potential CWSRF Planning Flags Worksheet

To avoid potential delays later in the application process, review the list of questions and statements and place a check (✓) beside each question or statement where the answer is “yes.” If the answer is “yes” to any of the questions or statements, please discuss the specifics of the answers with DFA staff at the earliest opportunity to identify issues up front that may require supplementary information or additional review time. The worksheet is available [here](#).

2 - Service Area Map

Upload a map documenting the Applicant’s service area and/or project area.

3 - Plan of Study

A template is available [here](#). The Plan of Study is required to follow the template.

4 - Authorizing Resolution

This document is required for all applicants. A template is available [here](#). **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.

5 - 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](#).

6 - 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](#).

7 - 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 5 years. Attach the current WDR or NPDES permits, regardless of issue date.

8 - Income Survey (if applicable)

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.

9 – Environmental Compliance

Typically, planning/design projects are exempt from California Environmental Quality Act (CEQA). If exempt, the CWSRF Program requires that Applicants file a NOE for the planning project with the county and the Governor's Office of Land Use and Climate Innovation, State Clearinghouse. If the planning/design includes ground-disturbing activities that are not exempt, Applicants must provide the appropriate CEQA documents and the NOD filed with the county and the State Clearinghouse.

- Attach documentation utilized to ensure environmental (e.g. CEQA) compliance (e.g. NOE's, NOD's, and any supporting CEQA documentation).

If the Applicant is not a public agency (e.g., Non-profit, Native American Tribe, etc.), early coordination with the State Water Board is essential. Contact the DFA to ensure CEQA requirements are met, and to assist in determining the appropriate CEQA lead agency for the proposed project.

10 – Agreements (if applicable)

Upload 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. Not required if the applicant has no such agreements.

Additional Financial Documents:

For 100% nonrepayable planning projects, DFA generally will not require the applicant to submit complete financial documents or undergo financial security review prior to receiving funding. An applicant is generally not required to demonstrate financial capacity to operate and maintain its system, or a proposed construction project, prior to receiving 100% nonrepayable planning funding. Additional financial documents may be required by DFA, on a case-by-case basis, prior to a project's placement on the fundable list and/or an applicant receiving a financial assistance agreement.

Section VIII Certification and Signature of Authorized Representative

The authorized representative is the person authorized by the applicant entity (e.g., County Board of Supervisors, City Council, District Board, etc.) 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.

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)**

WASTEWATER PLANNING/DESIGN APPLICATION

I. APPLICANT INFORMATION			
Applicant (Entity Name):			
Entity Type: <input type="checkbox"/> Public – Local <input type="checkbox"/> Public – State <input type="checkbox"/> Indian Tribe <input type="checkbox"/> Nonprofit <input type="checkbox"/> Other: _____			
Charter City/County: <input type="checkbox"/> Yes <input type="checkbox"/> No			
Street Address:	City:	State:	Zip Code:
Mailing Address:	City:	State:	Zip Code:
Congressional District(s):			
State Senate District(s):			
State Assembly District(s):			
County (or Counties):			
Regional Water Board: <input type="checkbox"/> 1 (North Coast) <input type="checkbox"/> 2 (San Francisco Bay) <input type="checkbox"/> 3 (Central Coast) <input type="checkbox"/> 4 (Los Angeles) <input type="checkbox"/> 5 (Central Valley) <input type="checkbox"/> 6 (Lahontan) <input type="checkbox"/> 7 (Colorado River) <input type="checkbox"/> 8 (Santa Ana) <input type="checkbox"/> 9 (San Diego)			
Federal ID No.:		Unique Entity Identifier (UEI) No.:	
Authorized Representative Name:		Title:	
Phone No.:		Email Address:	
General Contact Person Name:		Title:	
Phone No.:		Email Address:	
Legal Counsel Name:		Title:	
Phone No.:		Email Address:	
II. PROJECT INFORMATION			
Project Title:			
Community/Project Area Name:			
Project Description (2-3 sentences):			
Will the project planning/design require any ground-disturbing activities? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown			
Describe the ground-disturbing activities:			
Has the Applicant filed an NOE or NOD with the State Clearinghouse? <input type="checkbox"/> Yes <input type="checkbox"/> No SCH #: _____			
Has the Applicant filed an NOE or NOD with the applicable county? <input type="checkbox"/> Yes <input type="checkbox"/> No			
Project Components (check all that apply):			
<input type="checkbox"/> Treatment Plant New/Upgrade/Expansion		<input type="checkbox"/> Septic-to-Sewer	<input type="checkbox"/> Regionalization/Consolidation
<input type="checkbox"/> Collection System New/Upgrade/Expansion		<input type="checkbox"/> Pump Station/Lift Station	<input type="checkbox"/> Water Recycling
<input type="checkbox"/> Discharge Outfall/Change Discharge Location		<input type="checkbox"/> Clean Energy	<input type="checkbox"/> Other: _____
Estimated Planning Amount Requested:			
Has the applicant received Division of Financial Assistance (DFA) Technical Assistance in support of this project?			
<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown			

III. SERVICE AREA DEMOGRAPHICS		
Does the permitted service area match the Project area? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A – No Permitted Service Area		
Service Connections		
Connection Type	Number of Existing Connections	Average Monthly Billing (Last 12 months) Per Connection
Residential		
Commercial		
Industrial		
Other:		
TOTAL		
Has the Applicant started, or is the Applicant planning to begin, a rate change? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Date of the most recent rate change:		
Current year Median Household Income (MHI) of Project area: Source:		
Population in Project area:	Source:	
Number of residences in Project area:	Source:	
Approximate percentage of residences that are vacation/seasonal homes: <input type="checkbox"/> 0-24% <input type="checkbox"/> 25-49% <input type="checkbox"/> 50% or more		

IV. REGULATORY INFORMATION		
National Pollutant Discharge Elimination System (NPDES) Permit and/or Waste Discharge Requirements (WDR) Order Number:		
Does the Applicant have any unresolved or open enforcement actions?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If yes, list the enforcement orders and/or official Regional Water Quality Control Board (RWQCB) communication and upload as separate attachments:		
Is the Applicant aware of any pending enforcement orders, settlements, permit renewals, etc. from the RWQCB?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If yes, please explain the status:		

V. WATER MANAGEMENT AND WATER RIGHTS COMPLIANCE		
Is the Applicant an urban water supplier?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does the Applicant have a current Urban Water Management Plan on file with the Department of Water Resources?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Is the Applicant a water diverter and subject to Section 5103 of the Water Code?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

VI. DISCUSSION OF MATERIAL EVENTS, MATERIAL OBLIGATION CONDITIONS, AND ANY DEBT LIMIT

Identify any current, prior or pending material events such as bankruptcy, defaults, litigation, grant jury findings, audit findings, contractual or ratepayer/taxpayer disputes, disputes or property rights issues associated with the proposed project, 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.

VII. ATTACHMENTS – Please refer to the application instructions above for links to templates, certifications, and detailed information on which attachments are required and how to upload attachments.

Submitted	
<input type="checkbox"/> Yes	1 – Potential CWSRF Planning Flags Worksheet
<input type="checkbox"/> Yes	2 – Service Area Map
<input type="checkbox"/> Yes	3 – Plan of Study
<input type="checkbox"/> Yes	4 – Authorizing Resolution
<input type="checkbox"/> Yes	5 – Certification for Compliance with Water Metering Form
<input type="checkbox"/> Yes	6 – Water Conservation & Water Management Certification Form
<input type="checkbox"/> Yes	<input type="checkbox"/> No 7 – RWQCB Requirements and/or Official Communication
<input type="checkbox"/> Yes	<input type="checkbox"/> No 8 – Income Survey
<input type="checkbox"/> Yes	<input type="checkbox"/> No 9 – Notice of Exemption or CEQA documents
<input type="checkbox"/> Yes	<input type="checkbox"/> No 10 – Agreements (Relevant Service, Management, Operating or Joint Powers Agreements)

Note regarding financial documents: "For 100% nonrepayable planning projects, DFA generally will not require the applicant to submit complete financial documents or undergo financial security review prior to receiving funding. An applicant is generally not required to demonstrate financial capacity to operate and maintain its system, or a proposed construction project, prior to receiving 100% nonrepayable planning funding. Additional financial documents may be required by DFA, on a case-by-case basis, prior to a project's placement on the fundable list and/or receiving a financial assistance agreement."

VIII. CERTIFICATION AND SIGNATURE OF AUTHORIZED REPRESENTATIVE

To the best of my knowledge and belief, I certify that I am authorized to submit this application; the information provided in this application is true and correct; the documentation has been duly authorized by the governing body of the applicant; and the entity possesses the legal authority to apply for the financing and enter into a financing agreement with the State Water Resources Control Board and to finance and carry out the proposed project.

Name of Authorized Representative: _____ Title: _____

Signature of Authorized Representative: _____ Date: _____