Planning or Design Application Information and Instructions

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 planning or design funding through the Clean Water State Revolving Fund (CWSRF) Program.

This package includes the instructions for completing the application for planning or design financing.

Before proceeding with your application, please read the *Policy for Implementing the Clean Water State Revolving Fund.* The planning/design financing process is described in Section VIII:

http://www.waterboards.ca.gov/water_issues/programs/grants_loans/srf/finalpolicy0513.shtml

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Please Note: Construction financing can typically be approved after planning work is complete. Most projects will receive design funding as part of the construction agreement. In a limited number of cases, more detailed design work may be required prior to approval of construction financing. It is expected that a separate design financing agreement will only be needed in these cases. If you are requesting design financing, you should explain the status of planning work and the Division may request to review existing planning documents prior to approving design financing.

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 of Financial Assistance as early as possible to coordinate your application with your project's schedule; contact information is provided on the next page.
- ✓ Submit a complete application package whenever possible.

  (NOTE: Projects are funded based on a complete application. Partial packages may be submitted, but complete packages will be reviewed and approved for financing first.)
- ✓ Have your legal counsel review the FAQs: http://www.waterboards.ca.gov/water_issues/programs/grants_loans/srf/docs/forms/legal_faq.pdf
- ✓ The Division of Financial Assistance's legal counsel will contact your legal counsel approximately eight weeks prior to execution of the financing agreement to discuss required legal opinion language.
- ✓ Clearly type or print all information.
- ✓ Sign and date the application where indicated.

The application and attachments can be submitted electronically or as a hard copy in one of the following three ways. Applicants are encouraged to utilize the Financial Assistance Application Submittal Tool (FAAST) to streamline the application submittal and review process, but if that will create a hardship, email or mail can be utilized instead:

1) Apply online via the FAAST: https://faast.waterboards.ca.gov

   To submit a CWSRF application in FAAST you must complete all the tabs in FAAST and attach the CWSRF Planning/Design Application. (Note: Attaching the Planning/Design Application is not the same as submitting the application. Once the CWSRF Planning/Design Application has been uploaded, you must still complete the application by clicking on the "Submit" button.) A project manager will be assigned once the CWSRF Planning/Design 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.

2) Send the application and attachments via email to cleanwatersrf@waterboards.ca.gov.

3) Mail a CD and/or hard copy to:

State Water Resources Control Board
Division of Financial Assistance
ATTN: Marketing Unit
1001 I Street, 16th Floor, Sacramento, CA 95814
P.O. Box 944212
Sacramento, CA 94244-2120

CONTACT INFORMATION

If you have general questions regarding the program, contact the CWSRF at
(916) 327-9978
or
cleanwatersrf@waterboards.ca.gov

If you already submitted a CWSRF Financial Assistance application and would like to know the status, please check the CWSRF Application Status Report at http://www.waterboards.ca.gov/water_issues/programs/grants_loans/srf/docs/forms/appstatusweb.pdf

If you have specific questions regarding the program or your application, please refer to the CWSRF Contact List on the Division's web site at http://www.waterboards.ca.gov/water_issues/programs/grants_loans/srf/docs/cwsrf_contacts.pdf

PLANNING/DESIGN APPLICATION INSTRUCTIONS

Section I – Applicant Information

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

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 (nonpoint source and estuary projects only)
- Other – please specify

Charter City/County – Indicate if the applicant is a charter city/county.

Street Address – Enter the applicant's physical street address. Make sure to enter the applicant's zip code plus the 4-digit add-on code.

Mailing Address – Enter the applicant's mailing address, if different from the street address. Make sure to enter the zip code plus the 4-digit add-on code for the mailing address.

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://www.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 (or Counties) where the project will be physically located.

Regional Water Board - Check the Regional Water Quality Control Board (Regional Water Board) jurisdiction(s) where the project will be physically located or affected by the project. A list of Regional Water Boards can be found at http://www.waterboards.ca.gov/publications_forms/publications/factsheets/docs/region_brds.pdf.

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

Data Universal Numbering System (DUNS) No. - This number is required to receive CWSRF 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.

Authorized Representative Name, Title - 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.

Auth. Rep. Phone - Enter the authorized representative's telephone number.

Auth. Rep. Email – Enter the authorized representative's email address.

General Contact Person – 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.

General Contact Person Phone – Enter the contact person's telephone number.

General Contact Person Email – Enter the contact person's email address.

Financial Contact Person – Enter the name of the person who can respond to questions regarding the applicant's financial information.

Financial Contact Person Phone – Enter the contact person's telephone number.

Financial Contact Person Email – Enter the contact person's email address.

Local Legal Counsel – Enter the name of the person who is the applicant's local legal counsel for the project. This person will be the one that the Division of Financial Assistance's legal counsel will contact prior to execution of the financing agreement to discuss what legal opinion language is needed.

Local Legal Counsel Phone – Enter the local legal counsel's telephone number.

Local Legal Counsel Email – Enter the local legal counsel's email address.

Bond Counsel (if applicable) – Enter the name of the bond counsel person who can respond to questions regarding the applicant's existing debt.

Bond Counsel Phone (if applicable) – Enter the bond counsel's telephone number.

Bond Counsel Email (if applicable) – Enter the bond counsel's email address.

Section II - Project Information

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

CWSRF Planning/Design Financing Amount Requested – Enter the amount of planning or design financing you are requesting through the CWSRF Program.

Section III – Project Service Area Demographics

Active Service Connections - If the active wastewater connection is currently and directly served by the wastewater collection system, enter the following for the applicable connection type:

- ✓ Number of active wastewater service connections that are currently and directly served by the wastewater collection system
- ✓ Current monthly service charge

- ✓ Projected monthly service charge that will be in place after the proposed project is completed

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).

Date of the most recent Proposition 218 public hearing – Enter the date of the last public hearing where wastewater rates were approved.

Current Year Median Household Income – 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 cleanwatersrf@waterboards.ca.gov for additional assistance.

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

Are less than 50% of residences permanently occupied? – Place a check (✓) in the box to indicate whether or not less than 50% of residences are permanently occupied.

Section IV – Regulatory Information

NPDES Permit or WDR Order No. – Enter the National Pollutant Discharge Elimination System Permit number or the Waste Discharge Requirement number, if applicable. Please indicate if any enforcement action has occurred as a result of the water quality problem.

As indicated in Section IV- Attachments, you should attach copies of any project related discharge requirements and/or enforcement orders (Attachment 2).

Section V – Compliance with Urban Water Management and Water Rights Requirements

Indicate whether the applicant is an Urban Water Supplier, and if yes, whether an Urban Water Management Plan has been submitted. An Urban Water Supplier provides water for municipal purposes either directly or indirectly to more than 3,000 customers or supplying more than 3,000 acre-feet of water annually. The Urban Water Management Planning Act, Water Code, Section 10631.5, requires every urban water supplier to prepare and adopt an Urban Water Management Plan that includes specific elements.

Check (√) the box indicating if your entity is a water diverter and subject to section 5101 of the Water Code. Subdivision (e)(1) states that on or after January 1, 2012, monthly records of water diversion must be reported to the State Water Board's Division of Water Rights.

Section 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, 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.

Section VII – Green Project Reserve (GPR)

1. Check (✓) the box indicating if this project or a portion of this project is eligible for CWSRF GPR. Municipalities applying for GPR-eligible projects or project components may be eligible for principal forgiveness. United States Environmental Protection Agency (U.S. EPA) Guidance regarding GPR eligibility is available online at: https://www.epa.gov/sites/production/files/2015-04/documents/green_project_reserve_eligibility_guidance.pdf

2. Indicate the percentage of total project cost within each GPR category. Only the components of the project that clearly advance one or more of the objectives articulated in the four GPR categories should be counted as GPR eligible. If the Project qualifies for more than one GPR category, please indicate the percentage in each category, and then the total percentage of the project that qualifies for GPR. The above U.S. EPA guidance lists categorically eligible project types under each of the 4 categories. If your project is not categorically eligible, you may consider preparing a business case to document GPR eligibility. The decision criteria and required content for business cases are provided in the U.S. EPA guidance above.

Section VIII – Attachments

- ✓ 1 - **Plan of Study:**
  - Explanation of water quality problem to be addressed (including information about any existing or pending enforcement actions)
  - Scope of planning or design work
  - Budget
  - Schedule (including specific deliverables and submittal dates)
  - If the Plan of Study includes design work, it should explain the status of planning work, and the Division may request to review existing planning documents prior to approving design financing.

- ✓ 2 - **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.

- ✓ 3 - **Regional Water Quality Control Board Requirements:** Submit any permit requirements and/or enforcement orders that have been issued by the Regional Water Board relative to the proposed project. If the proposed project is not subject to permit requirements and/or enforcement orders, please indicate this in the comment box.

- ✓ 4 - **Authorizing Resolution/Ordinance**: This resolution or ordinance 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.

- ✓ 5 - **Relevant Service, Management, Operating, or Joint Powers Agreements:** If applicable, provide a copy of any relevant service, management, operating, or joint powers agreements with any amendments and a summary explanation of the shared financial and management responsibilities of the parties. *(No template exists)*

- ✓ 6 - **Audited Financial Statements:** Provide COMPLETE audited financial statements for the most recent three years. Identify any restricted funds and the reason for the restrictions as well as all sources of security to be pledged. Submit via hardcopy, CD, e-mail, or web link. Refer to the schedule below:

Application Date	Required Financial Statements
January 1st through June 30th	Most recent three years, including last Fiscal Year. **Example:** *Application on March 1, 2017, requires Financial Statements for Fiscal Years 2013/14; 2014/15; and 2015/16.*
July 1st through December 31st	Most recent three years prior to current Fiscal Year. **Example:** *Application on September 1, 2016, requires Financial Statements for Fiscal Years 2012/13; 2013/14 and 2014/15*

- ✓ 7 – **Rate Adoption Resolution/Ordinance:** Attach a copy of the most recent board resolution, ordinance, or similar document which approved the water rates adoption currently in place.

- ✓ 8 – **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.

  Link to Debt Management Policy: ___________________________________

  - If the entity has no other material debts, submit a letter signed by the authorized representative that verifies this; or
  - Submit a draft or estimated information for any other pending debts/financing.

The following attachment is not required if you are a Small Disadvantaged Community applying for a 100% grant (please contact the Division if you have questions regarding eligibility).

- ✓ 9 - **Pledged Revenues and Fund(s) Resolution/Ordinance:** Federal law requires applicants to establish a dedicated source of revenue for repayment. The financing agreement will identify the pledged revenue(s) and fund(s) (PRF). The majority of CWSRF applications for wastewater projects are secured with “the Wastewater Enterprise fund and Net Revenues thereof”. If your CWSRF 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.

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.