



City of Biggs

Agenda Item Staff Report For Regular City Council Meeting July 9, 2013 6:30 PM

DATE: June 28, 2013

TO: Honorable Mayor and Members of the City Council

FROM: Steve Speights, City Engineer

SUBJECT: Wastewater Treatment Plant Phase 2,
Application to State Revolving Fund (SRF)

Background:

The improvements required to the wastewater treatment plant to meet new discharge requirements from the RWQCB Permit cannot be funded through current city funds. An application for Phase 1 funding is being processed by the State Revolving Fund (SRF). To remain on schedule to meet Permit requirements requires that the City submit funding applications for Phase 2. The Phase 2 funding program anticipates a total cost of \$5.325 million, financed by \$25,000 city contribution, \$3.4 million SRF grant/loan, and \$1.9 million USDA grant/loan. The USDA application was submitted June 20, 2013

Attachments:

Resolution authorizing application for Phase 2 to SRF for grant/loan in the amount of \$3,400,000 and designating City Administrator as person authorized to act in all matters related to the application.

Resolution expressing expectation to be reimbursed for prior expenses.

Resolution dedicating a source of net revenue to repay financial assistance from SRF.

Application Form

Recommendation:

Staff recommends that after discussion, the City Council:

Adopt Resolution No. 2013-23, a Resolution of the City Council of the City of Biggs – Authorization to Negotiate and Execute Financial Assistance Agreement for Wastewater Treatment Plant Modifications Phase 2;

Adopt Resolution No. 2013-24, a Resolution of the City Council of the City of Biggs Dedicating a Source of Net Revenues for Clean Water Revolving Fund Financing of the Wastewater Treatment plant Modifications – Phase 2;

Adopt Resolution No. 2013-25, a Resolution of the City Council of the City of Biggs Expressing Expectation to be Reimbursed for Expenses Paid Prior to Loan Approval

Fiscal Impact:

No fiscal impact from adopting the Resolutions. Future actions will be needed by City Council to commit to grant/loan conditions after application is accepted and processed.

RESOLUTION NO. 2013-23

RESOLUTION OF THE CITY COUNCIL OF THE CITY OF BIGGS—AUTHORIZATION TO NEGOTIATE AND EXECUTE FINANCIAL ASSISTANCE AGREEMENT FOR WASTEWATER TREATMENT PLANT MODIFICATIONS – PHASE 2

BE IT RESOLVED by the Biggs City Council that the City Administrator is hereby authorized and directed to sign and file, for and on behalf of the City of Biggs, a Financial Assistance Application for a financing agreement from the State Water Resources Control Board for the planning, design, and construction of City of Biggs Wastewater Treatment Plant Modifications—Phase 2; and

BE IT RESOLVED that the City of Biggs hereby agrees and further does authorize the aforementioned representative or his/her designee to certify that the Agency has and will comply with all applicable state and federal statutory and regulatory requirements related to any financing or financial assistance received from the State Water Resources Control Board; and

BE IT FURTHER RESOLVED that the City Administrator or his/her designee of the City of Biggs is hereby authorized to negotiate and execute a financial assistance agreement from the State Water Resources Control Board and any amendments or change orders thereto and certify financing agreement disbursements on behalf of the City of Biggs. Except for grant awards, such financial assistance shall not exceed \$3,400,000.

I HEREBY CERTIFY that the foregoing **RESOLUTION** was duly introduced, passed and adopted at a regular meeting of the City Council of the City of Biggs, held on the 9th day of July, 2013 by the following vote:

AYES: Council Members: _____

NOES: Council Members: _____

ABSENT: Council Members: _____

ABSTAIN: Council Members: _____

ATTEST:

Roben Dewsnap, CITY CLERK

Roger Frith, MAYOR

RESOLUTION NO. 2013-24

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF BIGGS DEDICATING A SOURCE OF NET REVENUES FOR CLEAN WATER STATE REVOLVING FUND FINANCING OF THE WASTEWATER TREATMENT PLANT MODIFICATIONS – PHASE 2

WHEREAS, the City of Biggs has applied for financing of the Wastewater Treatment Plant Upgrade – Phase 2, to the Clean Water State Revolving Fund (CWSRF); and,

WHEREAS, the CWSRF requires a dedicated source of revenue for repayment of any financial assistance (except for grants); and,

WHEREAS, the **City Council** of the **City of Biggs**, in accordance with procedures required in Proposition 218, has adopted new rates to be effective on July 1, 2013; now therefore,

BE IT RESOLVED, that the **City Council** of the **City of Biggs** hereby dedicates the net revenues of the Sewer Fund to payment of any and all CWSRF financing for the Wastewater Treatment Plant Modifications – Phase 2, Project No. C-06-5544-210. This dedicated source of net revenues shall remain in effect throughout the term of such financing unless modification or change of such dedication is approved in writing by the State Water Resources Control Board.

I HEREBY CERTIFY that the foregoing **RESOLUTION** was duly introduced, passed and adopted at a regular meeting of the City Council of the City of Biggs, held on the 9th day of July, 2013, by the following vote:

AYES: Council Members: _____

NOES: Council Members: _____

ABSENT: Council Members: _____

ABSTAIN: Council Members: _____

ATTEST:

Roben Dewsnup, CITY CLERK

Roger Frith, MAYOR

RESOLUTION No. 2013-25

**RESOLUTION OF THE CITY COUNCIL OF THE CITY OF BIGGS EXPRESSING
EXPECTATION TO BE REIMBURSED FOR EXPENSES PAID
PRIOR TO LOAN APPROVAL**

WHEREAS, the City of Biggs (the "Agency") desires to finance the costs of constructing and/or reconstructing certain public facilities and improvements relating to its wastewater system, including certain treatment facilities, pipelines and other infrastructure (the "Project"); and

WHEREAS, the Agency intends to finance the construction and/or reconstruction of the Project or portions of the Project with moneys ("Project Funds") provided by the State of California, acting by and through the State Water Resources Control Board (State Water Board); and

WHEREAS, the State Water Board may fund the Project Funds with proceeds from the sale of obligations the interest upon which is excluded from gross income for federal income tax purposes (the "Obligations"), and

WHEREAS, prior to either the issuance of the Obligations or the approval by the State Water Board of the Project Funds the Agency desires to incur certain capital expenditures (the "Expenditures") with respect to the Project from available moneys of the Agency; and

WHEREAS, the Agency has determined that those moneys to be advanced to pay the Expenditures are available only for a temporary period and it is necessary to reimburse the Agency for the Expenditures from the proceeds of the Obligations.

NOW, THEREFORE, THE AGENCY DOES HEREBY RESOLVE, ORDER AND DETERMINE AS FOLLOWS:

SECTION 1. The Agency hereby states its intention and reasonably expects to be reimbursed Expenditures paid prior to the issuance of the Obligations or the approval by the State Water Board of the Project Funds.

SECTION 2. The reasonably expected maximum principal amount of the Project Funds is \$3,400,000.

SECTION 3. This Resolution is being adopted no later than 7 months after the date on which the Agency will expend moneys for the portion of the Project costs to be reimbursed with Project Funds.

SECTION 4. Each Agency expenditure will be of a type properly chargeable to a capital account under general federal income tax principles.

SECTION 5. To the best of our knowledge, this Agency is not aware of the previous adoption of official intents by the Agency that have been made as a matter of course for the purpose of reimbursing expenditures and for which tax-exempt obligations have not been issued.

SECTION 6. This Resolution is adopted as official intent of the Agency in order to comply with Treasury Regulation §1.150-2 and any other regulations of the Internal Revenue Service relating to the qualification for reimbursement of Project costs.

SECTION 7. All the recitals in this Resolution are true and correct and this Agency so finds, determines and represents.

I HEREBY CERTIFY that the foregoing **RESOLUTION** was duly introduced, passed and adopted at a regular meeting of the City Council of the City of Biggs, held on the 9th day of July, 2013, by the following vote:

AYES: Council Members: _____

NOES: Council Members: _____

ABSENT: Council Members: _____

ABSTAIN: Council Members: _____

ATTEST:

Roben Dewsnap, CITY CLERK

Roger Frith, MAYOR

Project Description—Phase 2

The City of Biggs owns and operates the City owned Wastewater Treatment Plant (WWTP) located at 2951 West Biggs Gridley Road in the City of Biggs (City), Butte County, California. The permitted design capacity of the WWTP is currently 0.38 million gallons per day (mgd) with a peak facility design flow of 1.05 mgd. The average dry weather influent flow over the last 3 years was approximately 0.27 mgd. The design capacity of the plant accounts for growth of approximately 300 equivalent dwelling units. The current wastewater treatment plant consists of two facultative ponds, a ballast pond, a rock filter and a chlorine contact basin. The treated wastewater discharges to Lateral K an agriculture ditch. The facility is subject to the requirements set forth by the California Regional Water Quality Control Board (RWQCB), Central Valley Region.

The City of Biggs Wastewater Treatment Plant is in violation of the National Pollutant Discharge Elimination System (NPDES) Permit (No. CA0778930).

The current National Pollutant Discharge Elimination System (NPDES) Permit (No. CA0078930) for the WWTP contains stringent ammonia nitrogen removal requirements. The existing aerated lagoon process has a limited capacity for nitrogen removal. The average monthly ammonia concentration in the plant effluent over the last several years has been approximately 9 mg/L with daily maximums of about 14 mg/L. The permit specifies that interim effluent limitations for ammonia ended on December 31, 2008. The current permit limits are 2.72 mg/L average monthly and 7.44 mg/L maximum daily effluent limitation for total ammonia discharged into the receiving water. The City must be in permit compliance by October 2017.

The City of Biggs has prepared a facilities plan to upgrade the existing Wastewater Plant to be Land Disposal treatment facility. The Land Disposal solution will allow the City of Biggs to eliminate the surface discharge of wastewater effluent. This alternative will release the City of Biggs from their NPDES Permit and convert their facility to a WDR Permit facility. The land acquisition is not included in the application for financial assistance. The results of this project would involve treatment of wastewater to similar levels as currently provided by the plant (secondary level treatment followed by disinfection), seasonal storage, and summertime irrigation of fodder crops for use in animal feed.

This project will involve 2 Phases. Phase 1 will involve planning for the overall project (Phase 1 and Phase 2), onsite upgrades to the site in preparation to complete Phase 2 and the environmental document for Phase 1.

Phase 2 involves preparation for environmental document for Phase 2, the purchase of 140 to 160 acres of adjacent land to accommodate this upgrade to a land disposal facility, an effluent pump station to support transport of the treated wastewater to the adjacent land, modifications to the irrigation, tail water, and chemical systems, covering of the rock filters to prevent mosquitoes, and minor modifications to the controls to support the new pump station.

After treatment, the secondary treated and disinfected water will be directed into a new pump station located adjacent to the existing chlorine contact basin. The station will lift water into new storage ponds. The purchased adjacent land will be used for a 161 MG storage basin and irrigation to crops.

The estimated cost for Phase 2 is as follows:

Construction Phase 2	\$2,058,000
Administration and Legal	\$15,000
Environmental Mitigation	\$500,000
Planning	\$100,000
Design	\$260,000
Contingencies	\$313,000
Engineering Services During Construction	\$179,000
Land and Right of Way	\$1,900,000
Total*	\$5,325,000

*Note: The land purchase of \$1,900,000 is not included in this financing application.

Major Project Components for Biggs WWTP Improvements Phase 2

Divisions	Components
Land Acquisition	<ul style="list-style-type: none"> • Acquire 140-160 acres for effluent storage basins and crop irrigation
Storage Basin Distribution System	<ul style="list-style-type: none"> • Construct pump and piping system from treatment to storage ponds
Storage Basin	<ul style="list-style-type: none"> • Construct 161 MG storage basins
Irrigation Distribution System	<ul style="list-style-type: none"> • Construct irrigation distribution piping • Grade field to drain
Construct Tail water System	<ul style="list-style-type: none"> • Construct tail water ditch, wet well, and pump system for return to storage basins
Chemical System	<ul style="list-style-type: none"> • Modify chlorine injection system
Electrical Power and Control	<ul style="list-style-type: none"> • Add controls for effluent pumps (land disposal pumps)

Estimated Cost Breakdown for Biggs WWTP Improvements Phase 2

<u>Phase 2:</u>	
Description	Estimated Cost
Existing Pipe Interferences	\$20,000
Other Miscellaneous Work	\$65,000
Electrical and Instrumentation	\$30,000
Plant Start-up	\$40,000
Storage Pond Dist. Pump	\$200,000
Irrigation Distribution System	\$230,000
Storage Basin Construction	\$800,000
Tailwater Recirculation	\$180,000
SUBTOTAL	\$1,565,000
Mobilization and Demobilization (10%)	\$156,500
Contractors Overhead and Profit (20%)	\$313,000
Bond (1.5%)*	\$23,475
Contingency (20%)	\$313,000
PROBABLE CONSTRUCTION COST (rounded)	\$2,371,000
Engineering/Construction Administration/Land Acquisition	\$639,000
Land Purchase 150 (ac) \$12k/ac	\$1,800,000
Administration and Legal	\$15,000
Environmental Mitigation	\$500,000
TOTAL PROBABLE PROJECT COST (rounded)	\$5,325,000

Financial Assistance Application & Instructions

Type of Assistance Requested

- A. Clean Water State Revolving Fund Program (CWSRF) B. Water Recycling Funding Program (WRFP) C. Small Community Wastewater Grant Program (SCWG)

Amount of Assistance Requested: \$ 3,400,000

FAAST (On-Line) PIN No.: _____
 SWRCB Assigned Project No.: 5544-210

I. Applicant Information

Agency Name: City of Biggs
 Street Address: 465 C Street, Biggs, CA 95917
 Mailing Address: P.O.Box 307, Biggs, CA 95917
 County: Butte County Federal ID Number: _____
 Authorized Representative, Title: Mark Sorensen, City Administrator Phone: (530)-868-0100
 Contact Person, Title: Stacey Bennett, Project Engineer Phone: (916) 783-4100 E-mail: sbennett@ben-en.com

II. Project Information

Note: The Instructions contains multiple templates and further guidance to complete this application.

1. Project Description: (Attach a brief description. Label as Attachment 1)
2. Project Name: WWTP Modifications—Phase 2
 Estimated Construction Start Date: September 1, 2013
3. Regional Water Quality Control Board: Central Valley 4. WDR Permit No (if applicable) _____
5. Current Project Status: Planning Underway: Planning Complete Other _____
6. Estimated Project Capital Costs and Funding Summary:

Cost Classification	SWRCB Program Share \$	Applicant's Share \$	Other Loans or Grants, etc. \$	Total \$
A. Facilities Construction	\$2,058,000			\$2,058,000
B. Facilities Planning (a, b)	\$75,000	\$25,000		\$100,000
C. Facilities Design (a)	\$260,000			\$260,000
D. Administration and Legal (a)	\$15,000			\$15,000
E. Land and Right-of-Way			\$1,900,000	\$1,900,000
F. Contingencies (a) (c) (d)	\$313,000			\$313,000
G. Relocation of Utilities (a)				
H. Engineering Services During Construction (a)	\$179,000			\$179,000
I. Other Costs (Explain) Environmental Mitigation Cost	\$500,000			\$500,000
J. Total Capital Costs				
K. Additional Cash Flow Needs (c)	Not Fundable			
L. Total Funding Requirements	\$3,400,000	\$25,000	\$1,900,000	\$5,325,000

- (a) Soft Costs may be provided for planning, design, legal, engineering during construction, relocation payments, and administration costs. For details, please refer to the Policy or guidelines of the corresponding program.
 (b) CWSRF Program and SCWG Program only.
 (c) This is the amount in excess of the total capital costs needed to cover cash flow requirements during construction.
 (d) Contingencies costs are not eligible for funding under the CWSRF and WRFP Programs.
 All costs in Item 6 above are adjusted to the following date: _____ by using the following rate of inflation _____ % annually, or cost index: (name) _____, (index value) _____

7. Sources of Funds for Capital Costs and Estimated Disbursement Projections:

Source (e)	Amount, \$
A. State Funds Requested	\$3,400,000
B. Grant Requested	\$3,400,000
C. Cash Reserves Now on Deposit	\$
D. Bonds	\$
E. Tax Levies	\$
F. Non-cash	\$
G. Short Term Loans or Notes	\$
H. Other State Financing or Grants	\$
I. Other Federal Grants or Loans	\$1,900,000
J. Other (City)	\$25,000
K. Total	\$5,325,000

(e) Attach the Estimated Annual Disbursement Schedule: Application Instructions contains the template (label as Attachment 2).

III. Authorization and Other Approvals (All Programs with exceptions noted below)

1. **Legal Authority (except SCWG):** Submit a legal opinion addressing the following issues (label as Attachment 3):
 1. The legal authority to enter into a financing agreement with the SWRCB, including legal citations;
 2. Agency's attorney contact information; and
 3. Any requirements that the applicant hold an election before entering into a financing agreement with the State Water Board. If an election is required, state the date held or the date scheduled: XXXXXXXX_____
2. **Applicant Authorization:** Submit a certified copy of a resolution adopted by the governing body (label as Attachment 4A). A model resolution is given in the Application & Instructions for your reference.
3. **Water Rights:** To comply with Sections 1210 through 1212 of the Water Code, an approved Petition for Change may be required from the State Water Board, Division of Water Rights. If the project is not a wastewater project an appropriative water right may be required if water will be diverted from a surface or subterranean stream. Have you filed a petition with the Division of Water Rights? Yes No
 Applicant must submit a written determination from the Division of Water Rights showing whether a petition must be filed or no further action is required. If no water rights petition is required, submit documentation and label as Attachment 4B. If a water rights petition is required, provide a copy of the water rights petition and label as Attachment 4B.
 To obtain a written determination, submit an email request including a brief project description (one page or less) to the Division of Water Rights, kmrowka@waterboards.ca.gov for your project. The project description needs to include whether: (a) the wastewater project currently discharges to a stream and any change to the discharge amount as a result of the proposed project; or (b) the non-wastewater project will divert from a surface or subterranean stream. For information regarding water rights, applicants may review the following web site:
http://www.swrcb.ca.gov/water_issues/programs/grants_loans/water_recycling/waterrightsrequirements.shtml.
 If additional information is needed, please contact the Division of Water Rights, Kathy Mrowka, at (916)341-5363.
4. **Project Report or Facilities Planning Document:** Submit a completed facilities planning document and any supplementary documents that contain the required facilities planning information described in each of the program guidelines (label as Attachment 5).
5. **Environmental Review (SCWG not CEQA+):** Refer to the *Instructions and Guidance for Environmental Compliance Information* for details on meeting state and federal environmental review requirements. Submit the California Environmental Quality Act (CEQA) Checklist portion of this document and all available environmental documents for your project (label as Attachment 6).
6. **Credit Review Package (except SCWG):** Submit a Credit Review Package (label as Attachment 7) as specified in the Instructions' Credit Review Checklist. For Program specific information, please refer to the respective Program guidelines.
7. **Project Schedule:** Submit a project schedule showing project milestone dates (label as Attachment 8). This schedule should be updated periodically as more information becomes available. All WRFPP projects must submit a construction finance plan, please refer to the WRFPP Guidelines.
8. **Regional Water Quality Control Board Requirements:** Submit adopted or tentative State Water Resources Control or Regional Water Quality Control Board Waste Discharge Requirements, amended Basin Plan Total Maximum Daily Loading for the project's discharge to an impaired water body, Water Recycling Requirements, and/or NPDES Permit (label as Attachment 9).

9. Applicant's Authority on Property Access to Construct Project: A legal description of the site on which the project is to be constructed and an opinion signed by competent title counsel describing the interest the applicant has in the site, including information as to any easements and rights-of-way and certifying that the estate or interest is legal and valid. The opinion should also include information as to whether or not:

- The applicant (or the present owner if fee simple title has not been or is not to be acquired) has good and valid title to the entire site (excluding easements and rights-of-way) free and clear of any pre-existing mortgages, deeds of trust, liens or other encumbrances, which would affect the value or usefulness of the site for the purpose intended;
- Certifying that the applicant has sufficient property rights in the land used for all portions of the Project to enable it to access, construct, operate, maintain, and allow for outside inspections of the Project throughout the useful life of the Project and/or the CWSRF financing term, whichever period is longer;
- Any deeds or documents required to be recorded in order to protect the title of the owner, and the interest of the applicant have been duly recorded or filed for record whenever necessary; and
- The applicant has complied with the requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (42 U.S.C. 4601). (label as Attachment 10).

10. Real Property Acquisitions: Has all necessary land or right-of-way been acquired? Yes No

If no, submit status of acquisitions (label as Attachment 11A).

11. Agreements with Other Parties: Please list all agreements and approvals needed for implementation of the project. Submit and explain status of said agreements and approvals (label as Attachment 11B).

12. Tax Questionnaire (except SCWG): Please complete and submit the Tax Questionnaire (contained within the Instructions) with the application (label as Attachment 11C).

13. Water Conservation Plan: Prior to approval of the project by the State Water Board, specific Water Conservation requirements must be achieved. In fulfillment of these requirements, please indicate below what pertinent information you are submitting (label as Attachment 12).

- Proof of signed Memorandum of Understanding with the California Urban Water Conservation Council.
- Copy of the Urban Water Management Plan submitted to the CA Department of Water Resources (See item 14).
- Copy of the developed Water Conservation Program for approval by the State Water Board.
- None at this time. Please explain: The City of Biggs requests a waiver for these requirements.

14. Urban Water Management Plan (UWMP): If you are a water supplier to more than 3,000 customers or supplying more than 3,000 acre-feet annually you are required to submit an UWMP to the Dept. of Water Resources (DWR). Please submit documentation showing that the UWMP has been submitted to the DWR and Water Code Section 10631.5 Best Management Practices Compliance (label as Attachment 13A).

15. Compliance with Water Metering Requirements: Water Code Section 529.5 requires urban water suppliers to comply with water metering requirements to obtain state financial assistance. Please submit the Certification of Compliance, included in the Application Instructions, with water metering requirements or exemption (label as Attachment 13B).

IV. Other Submittals (Program specific information required noted below)

A – Clean Water State Revolving Fund Program Projects

- 1. Dedicated Source of Net revenues (for CWSRF or WRF loans):** A “Dedicated Source of Net revenues” is required to repay the financing agreement. Please attach appropriate resolution or ordinance or indicate schedule to provide dedicated source of revenue (label as Attachment 14). A Dedicated Source of Net revenues must be approved before a financing agreement can be issued. This is the same document requested within the Credit Review Package, Item Number 10.
- 2. Certification of Compliance with Federal Laws and Authorities:** See Application Instructions for the appropriate form (label as Attachment 15)
- 3. Reimbursement Resolution:** Please complete and submit a Reimbursement Resolution (label as Attachment 16). A template Reimbursement Resolution is included in the Application Instructions.
- 4. General Plan Certification:** Please complete and submit the General Plan Certification contained within the Application Instructions (label as Attachment 17).

B - Water Recycling Projects (CWSRF or WRFPP)

This section applies to water recycling projects for the purpose of providing water supply rather than water pollution control or wastewater disposal. For water recycling projects funded by the CWSRF, the documents required under section IV.A. must also be submitted.

1. **Estimated Annual Costs:**

Cost Classification	Annual Costs, \$	
	First Year	Fifth Year
Debt Service		
Fixed Operation and Maintenance Cost		
Variable Operation and Maintenance Cost		
Other (explain)		
Total Annual Costs		

Assumed Date of Costs for:

First Year of Operation: _____

Fifth Year of Operation: _____

Assumed Cost Index or Rate of Inflation: Index Name: _____ Index Value: _____ or

Inflation Rate: _____ % per yr.

2. **Annual Deliveries:**

Year of Operation	1	2	3	4	5
No. of Sites					
Amount, Ac-ft/yr					

3. **Reclaimed Water User Assurances:** Please indicate method of providing user assurances.

User Agreements

Mandatory Use Ordinance

Refer to Water Recycling Funding Guidelines for latest requirements and timing of submittals (label as Attachment 18).

4. **Water Supply Project Best Management Practices (BMPs):** Please provide a copy of the Department of Water Resources BMPs eligibility to receive grant or financing determination letter (label as Attachment 19) for surface or groundwater storage, recycling, desalination, water conservation, water supply reliability and water supply augmentation projects.

V. Notes or Explanations:

VI. Certification and Signature of Authorized Representative

I certify that the information in this application, including all attachments, is true and correct to the best of my knowledge and belief. I understand that updated information will be required later.

Signature: _____

Date: _____

Printed Name: _____

Financial Assistance Application Instructions

for

Clean Water State Revolving Fund (CWSRF) Program
Water Recycling Funding (WRFP) Program
Small Community Wastewater Grant (SCWG) Program

All applicants are encouraged to schedule a kickoff meeting with the Division if the applicant has never applied or has not applied for a CWSRF, WRFP or SCWG financing in the last two years. The kickoff meeting should be scheduled during the planning portion of the project because the federal and state requirements regarding environmental, credit review, and legal issues are all critical path tasks that Division staff can clarify early in the planning phase of a project. These Programs are dynamic and state/federal Policies, laws, and regulations are changing over time. Familiarity with recent changes is important. The Division recommends that the applicant review the application, application instructions, and the Credit Review Instructions prior to the kickoff meeting with the Division so that the applicant is prepared to ask questions relevant to its specific project requirements. Division staff may be able to schedule kickoff meetings at the applicant's location or another site, depending on travel costs and resources available, to accommodate the Division's and applicant's schedules.

This application package should be submitted to the address listed below at the completion of planning or earlier, if possible. An incomplete application package may be submitted, but applicants should understand that complete applications will be reviewed before incomplete applications. An agency may request funding from more than one program. The application, including attachments, is intended to provide all information and documents needed for facilities plan approval and a preliminary funding commitment. Updated information may be required later. The electronic versions of all forms are available from the Division Project Managers and the CWSRF web site: http://www.waterboards.ca.gov/water_issues/programs/grants_loans/srf/refmaterial.shtml
Please refer to the adopted Program Policy for program specific information.

Submit the completed application package to:

State Water Resources Control Board
Division of Financial Assistance
ATTN: Mr. Christopher Stevens, Supervising Engineer
1001 I Street, Sacramento, CA 95814
P.O. Box 944212
Sacramento, CA 94244-2120

State Water Resources Control Board (State Water Board)
Division of Financial Assistance (Division)
Financial Assistance Application Checklist

Submit your Financial Assistance Application with all the documents listed below. After review of your application, the Division of Financial Assistance (Division) will issue a Facilities Plan or a Concept Approval Letter and a preliminary funding commitment if the application meets all applicable program requirements.

Attach No.	Title of Attachment	Application Ref. Section	Attachment Notes
Submit the following documents for all Financial Assistance Programs (exceptions noted)			
1	Project Description	II.1	
2	Estimated Annual Disbursement Schedule (except SCWG) (*see note)	II.7	
3	Legal Authority (except SCWG)	III.1	
4A	Application and Authorization Resolution	III.2	
4B	Water Rights determination from the Division of Water Rights	III.3	
5	Project Report and/or Facilities Planning Document	III.4	
6	CEQA Checklist and Environmental Documents (SCWG: no CEQA+)	III.5	
7	Credit Review Package (except SCWG)	III.6	
8	Project Schedule	III.7	
9	Regional Water Board Requirements (Waste Discharge Requirements)	III.8	
10	Applicant's Authority on Property Access to Construct Project	III.9	
11A	Real Property Acquisition	III.10	
11B	Agreements with Other Parties	III.11	
11C	Tax Questionnaire (except SCWG)	III.12	
12	Water Conservation Plan (except SCWG)	III.13	
13A	Urban Water Management Plan (if required)	III.14	
13B	Compliance with Water Metering Requirements	III.15	
CWSRF Program only (include, in addition to the items 1 - 13 above, the following documents)			
14	Dedicated Source of Net Revenue (loans only, not required for grants)	IV.A.1	
15	Certification of Compliance With Federal Laws and Authorities	IV.A.2	
16	Reimbursement Resolution (Loans only)	IV.A.3	
17	General Plan Certification	IV.A.4	
WRFP only (include, in addition to the items 1 - 13 above, the following documents)			
18	Recycled Water User Assurances	IV.B.3	
19	AB 1420 Determination Letter	IV.B.4	

*Note - The Estimated Annual Disbursement Schedule is the Agency's estimate of future requests for CWSRF, SCWG or WRFP funds based on the Project's construction schedule. The Division uses these estimates for financial forecasting purposes and will periodically request updates from the Agency as the schedule proceeds closer to actual construction.