

# GENERAL INFORMATION PACKAGE

FOR STATE USE ONLY	
Project Manager	
DWSRF Project #	
Date Complete Package Received	

I. TYPE OF ASSISTANCE REQUESTED		LGTS (State Only)
<input type="checkbox"/> PLANNING <input type="checkbox"/> CONSTRUCTION		
Estimated Amount of Financial Assistance Requested: \$		
Project Title:		
II. APPLICANT INFORMATION		
Water System Number:		
Data Universal Numbering System (DUNS) Number:		
Applicant (Entity) Name:		
Street Address:	City:	
State:	Zip+4 Code:	
Mailing Address:	City:	
State:	Zip+4 Code:	
Congressional District(s):		
State Senate District(s):		
State Assembly District(s):		
County:	Federal Tax Identification Number: (MANDATORY)	
<b>Authorized Representative Name, Title:</b>		
Phone Number: (     )	Email Address: (MANDATORY)	
<b>Primary Contact Person Name:</b>		
Phone Number: (     )	Email Address: (OPTIONAL)	
<b>Project Engineer and License Number:</b>		
Phone Number: (     )	Email Address: (OPTIONAL)	
<b>Environmental Contact Person Name:</b>		
Phone Number: (     )	Email Address: (MANDATORY)	
<b>Local Counsel Name:</b>		
Phone Number: (     )	Email Address: (MANDATORY)	
<b>Davis-Bacon Contact Person Name:</b>		
Phone Number: (     )	Email Address:	

<b>III. PROJECT INFORMATION AND PROPOSED SCHEDULES</b> <span style="float: right;"><b>(All fields mandatory)</b></span>	<b>LGTS</b> <i>(State Only)</i>																		
Project Description: <i>(Enter a brief description of the project)</i>																			
Water System Permit Number:																			
Current year estimated population served by the water system:																			
Briefly describe how the population was determined:																			
Current population of the area benefitting from the project:																			
Number of active service connections:																			
Briefly describe how the number of service connections was determined:																			
Current number of service connections for the area benefitting from the project:																			
<table border="0" style="width: 100%;"> <tr> <td style="width: 50%;"><b>Estimated Project Schedule:</b></td> <td style="width: 20%;"></td> <td style="width: 30%; text-align: center;"><b>Estimated or Actual Date</b></td> </tr> <tr> <td>Complete Planning Application</td> <td></td> <td style="text-align: center;">_____</td> </tr> <tr> <td>    1) General Information Package</td> <td></td> <td style="text-align: center;">_____</td> </tr> <tr> <td>    2) Technical Package</td> <td></td> <td style="text-align: center;">_____</td> </tr> <tr> <td>    3) Environmental Package</td> <td></td> <td style="text-align: center;">_____</td> </tr> <tr> <td>    4) Financial Security Package</td> <td></td> <td style="text-align: center;">_____</td> </tr> </table>	<b>Estimated Project Schedule:</b>		<b>Estimated or Actual Date</b>	Complete Planning Application		_____	1) General Information Package		_____	2) Technical Package		_____	3) Environmental Package		_____	4) Financial Security Package		_____	
<b>Estimated Project Schedule:</b>		<b>Estimated or Actual Date</b>																	
Complete Planning Application		_____																	
1) General Information Package		_____																	
2) Technical Package		_____																	
3) Environmental Package		_____																	
4) Financial Security Package		_____																	

**Consultation with Other Agencies**

Please list other Federal and State agencies that have been involved in this project (e.g. planning, CEQA/NEPA consultation, funding, etc.), their contact information if known, and estimated dates for resolution of any issues.

**Partnering Agencies**

Please list all other agencies that have an interest in this project. Provide contact information if known.

**IV. MANAGERIAL INFORMATION**

**(All fields mandatory)**

*LGTS  
(State Only)*

1. Classification of Water System

- Community
- Non-transient non-community
- Transient non-community
- Not currently classified as a public water system – Please explain:

2. Indicate the Ownership of the Water System (check all that apply):

Public Ownership

- Municipality
- County Agency
- Special District
- State Agency
- School
- Other: \_\_\_\_\_

Private Ownership

- Corporation
- Limited Liability Company
- Partnership
- Sole Proprietorship
- Non-profit organization
- Other: \_\_\_\_\_

<p>If the Applicant is a Municipality, is the Applicant a Charter City? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p> <p>Please include the ownership documentation (See instructions for further information) (label as <b>Attachment G1</b>)</p> <p>If the water system is privately-owned, indicate the name and title of the individual with authority to engage the water system in a DWSRF financing agreement.</p>	
<p>If the water system is a Corporation, Limited Liability Company, or Partnership, complete the following:</p> <p>A. California Secretary of State Entity Number: _____</p> <p>B. Status with California Secretary of State: <input type="checkbox"/> Active <input type="checkbox"/> Suspended <input type="checkbox"/> Forfeited <input type="checkbox"/> Dissolved</p>	
<p>3. Does the California Public Utilities Commission (CPUC) regulate your system? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If <b>yes</b>, attach a list and a description of all matter(s) relating to your water system that are currently pending before the CPUC (label as <b>Attachment G2</b>).</p>	
<p>4. List the names, titles and duties of key officers. If there are more than 3, attach an organization chart providing this information (label as <b>Attachment G3</b>).</p>	
<p>5. Is there any litigation pending relative to the operation of the water system or the proposed project? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If <b>yes</b>, attach a description of the litigation and the potential costs (label as <b>Attachment G4</b>).</p>	
<p>6. Is the applicant leasing land or major water system facilities? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If <b>yes</b>, describe the terms of the lease or attach a copy of the lease agreement (label as <b>Attachment G5</b>). (NOTE: If the lease is critical to the location or operation of the proposed project facilities, the term of the lease must be equal to or greater than the loan repayment period.)</p>	

7. Please include a general map of the service area/boundaries (label as **Attachment G6**):

8. **[For Construction Projects Only]** Does the applicant have a contract with a private firm or another agency for the operation of the facility to be financed?  Yes  No

If **yes**, provide the name of the firm or agency and term (in years) of the agreement and attach a copy of the agreement (label as **Attachment G7**)

**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 construct the proposed facilities.

Name of Authorized Representative: \_\_\_\_\_ Title: \_\_\_\_\_

Signature of Authorized Representative: \_\_\_\_\_ Date: \_\_\_\_\_

**ATTACHMENT CHECKLIST**

Check the box next to each item attached to your application.

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

**FOR STATE USE ONLY**

Project created in LGTS?  YES

Contact information in LGTS reflects current Authorized Representative,  
Davis-Bacon, Legal and Engineering contacts?  YES

Legislative Districts entered in LGTS?  YES

Application documents uploaded into LGTS?  YES

Spending forecast in LGTS - Spending forecast is set as:  Manual  Automatic  
If manual, is it updated?  YES  N/A

Project listed on Comprehensive List?  YES (If yes, attach documentation)

Project Category:  A  B  C  D  E  F

**NOTES/COMMENTS (Attach additional sheets as needed):**

SECTION I

SECTION II

SECTION III

SECTION IV

SECTION V

Describe median household income determination (Attach checklist if necessary)

\_\_\_\_\_  
Project Manager Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Senior Engineer Signature

\_\_\_\_\_  
Date

# TECHNICAL PACKAGE (PLANNING)

<b>Applicant (Entity) Name:</b>	
<b>Project Title:</b>	
<b>Contact Person:</b>	<b>Phone: (    )</b>

## I. Technical Information

1. Current Population served by the water system: \_\_\_\_\_

Briefly describe how the population was determined:

Current Population of the area benefitting from the project: \_\_\_\_\_

2. Current number of active service connections: \_\_\_\_\_

Briefly describe how the number of service connections was determined:

Current number of service connections for the area benefitting from the project: \_\_\_\_\_

3. Describe the water system and its facilities. Include details relating to source, storage, treatment, and distribution system. Attach a schematic/map of the system which includes existing facilities (label as **Attachment T1**).

4. Describe the problem being addressed by the planning project and attach supporting documents of the problem (label as **Attachment T2**).

5. Has an analysis of alternatives been completed?  
 YES (Attach a copy of the analysis and label as **Attachment T3**)  
 NO

6. Attach a Scope of the Project (label as **Attachment T4**)  
7. Attach a signed Certification for Compliance with Water Metering (label as **Attachment T5a**)  
8. Attach a copy of the water system's water permit (label as **Attachment T6**)  
9. Attach an Engineering Report if available (label as **Attachment T7**)

## II. WATER RIGHTS, WATER CONSERVATION AND URBAN WATER MANAGEMENT

### 1. WATER RIGHTS

Describe the nature of the water rights applicable to your water source and attach water rights documentation related to water source (label as **Attachment T8**).

Check the following boxes that apply for your project:

### 2. WATER CONSERVATION

#### Urban Water Suppliers:

- Approved Water Conservation Program on file with the State Water Board  
 Water Conservation Program submitted to the State Water Board for approval (label as **Attachment T9**)  
 Proof that you signed the Memorandum of Understanding regarding urban water conservation in California (label as **Attachment T10**)  
 Proof that you submitted an Urban Water Management Plan per Water Code Section 10653 (label as **Attachment T11**).



### 3. URBAN WATER MANAGEMENT

Are you an urban water supplier as defined in Water Code Section 10631.5?

YES     NO

### 4. WATER DIVERSION REPORTING

Are you a water diverter in compliance with Water Code Section 5103?     YES     NO

For information see: [http://www.waterboards.ca.gov/waterrights/water\\_issues/programs/diversion\\_use/](http://www.waterboards.ca.gov/waterrights/water_issues/programs/diversion_use/)

## ATTACHMENT CHECKLIST

Check the box next to each item attached to your application.

- T1 – Schematic/Map of System and Facilities
- T2 – Supporting Documents of the Problem
- T3 – Analysis of Alternatives (if applicable)
- T4 – Scope of the Project (see attached outline)
- T5a – Certification for Compliance with Water Metering Form
- T6 – Water System Permit
- T7 – Engineering Report (if available)
- T8 – Water Rights Documentation (if applicable)
- T9 – Water Conservation Program (if applicable)
- T10 – Memorandum of Understanding (if applicable)
- T11 – Urban Water Management Plan (if applicable)

# SCOPE OF THE PROJECT

[Water System Name]  
Project No. [Project Number]

The following are examples of Scope of the Project tasks. Each project is unique so the tasks included in the Scope of the Project must be specific to the proposed planning study. Add or Remove Task(s) as needed. Please include a detailed description for each task.

Task No.	Scope of the Project
1	<p><b>Project Evaluation &amp; Pre-design Engineering</b></p> <ul style="list-style-type: none"> <li>a. Analyze all available alternatives and recommend the best option or combination of options to address the ranked problem.</li> <li>b. Identify water treatment or blending options and system improvements needed to facilitate meeting water quality standards and system water demands.</li> <li>c. Prepare Preliminary Engineering Report.</li> </ul>
2	<p><b>Hydrogeological/Geotechnical Investigation &amp; Site Surveying</b></p> <ul style="list-style-type: none"> <li>a. Perform geotechnical and/or hydrogeological investigation. Describe type and purpose of any investigation.</li> <li>b. Identify feasible locations to drill test wells.</li> <li>c. Prepare geotechnical and/or hydrogeological investigation report for the site to assist with evaluation of project. (Note: Any report must be completed by a California licensed geologist, engineer, and/or hydrogeologist.)</li> <li>d. Perform required land surveying</li> </ul>
3	<p><b>Consolidation Study</b> – evaluate the feasibility of consolidation of potable water systems and facilities within a five (5) mile radius of the water system. Examples of tasks to be performed include:</p> <ul style="list-style-type: none"> <li>a. Initiate contact with possible consolidation candidates;</li> <li>b. Evaluate of cost of construction and benefit;</li> <li>c. Prepare preliminary agreements/commitments to participate in consolidation of facilities;</li> <li>d. Prepare draft water service agreements including transfer of water rights to restructured water system;</li> <li>e. Evaluate organization or restructured water system;</li> <li>f. Evaluate Local Agency Formation Commission (LAFCO) requirements and coordination; Payment of LAFCO fee.</li> <li>g. Prepare agreements authorizing to act on the behalf of the participating water system if such consolidation project is part of project.</li> </ul>
4	<p><b>Water Rate Study</b></p>
5	<p><b>Engineering Report</b></p> <ul style="list-style-type: none"> <li>a. Prepare and submit an engineering report to include summary of alternatives evaluated, selection of preferred alternative and proposed construction project, basis of design, conceptual design, and opinion of probable construction cost for the selected construction project</li> </ul>

<p><b>6</b></p>	<p><b>Drilling of Test Well(s)</b></p> <ul style="list-style-type: none"> <li>a. Describe purpose of test well(s), indicate number of test well(s) to be drilled, depth of test well(s), water quality sampling, pump testing, test well log(s), etc.</li> <li>b. Prepare design for test well.</li> <li>c. Prepare a complete set of bid solicitation and construction contract documents for the test well(s).</li> <li>d. Prepare test well report summarizing findings.</li> <li>e. Ensure Labor Compliance requirements are met for SDWSRF funding (see Enclosure 9).</li> </ul>
<p><b>7</b></p>	<p><b>Water Treatment Pilot Study</b></p> <ul style="list-style-type: none"> <li>a. Describe purpose of pilot study and type of treatment being pursued;</li> <li>b. Identify number of pilot studies to be completed and treatment technologies being evaluated.</li> <li>c. Perform pilot study of proposed treatment.</li> <li>d. Prepare pilot study report summarizing findings.</li> </ul>
<p><b>8</b></p>	<p><b>CEQA/NEPA</b></p> <ul style="list-style-type: none"> <li>a. Review project for possible CEQA Exemptions.</li> <li>b. Prepare required environmental documents.</li> <li>c. Prepare CEQA Documents for selected construction project to ensure compliance with CEQA and other State and Federal environmental requirements.</li> </ul>
<p><b>9</b></p>	<p><b>TMF Assessment</b></p> <ul style="list-style-type: none"> <li>a. Prepare TMF assessment based on the SWRCB approved project identified from preliminary engineering;</li> <li>b. Prepare all supporting documentation necessary to fulfill and complete requirements outlined in SWRCB TMF Assessment Form for Community Water Systems.</li> </ul>
<p><b>10</b></p>	<p><b>Plans and Specifications</b></p> <ul style="list-style-type: none"> <li>a. Conduct final design of selected construction project</li> <li>b. Develop the construction plans, specifications, and detailed cost breakdown for the selected construction project.</li> </ul>
<p><b>11</b></p>	<p><b>Miscellaneous Items to Proceed to Construction</b></p> <ul style="list-style-type: none"> <li>a. Determine value of any property, easements, or right of way necessary to pursue the selected construction project. (see enclosure 14c)</li> </ul> <p><b>Note: Actual purchase cost is ONLY reimbursable under SDWSRF Construction Funds.</b></p>

**PROJECT BUDGET SHEET**  
**[Water System Name]**  
**Project No. [Project Number]**

<b>Task No.</b>	<b>Scope of the Project</b>	<b>Cost (\$)</b>
<b>1</b>	<b>Project Evaluation &amp; Pre-design Engineering</b>	
<b>2</b>	<b>Hydrogeological/Geotechnical Investigation &amp; Site Surveying</b>	
<b>3</b>	<b>Consolidation Study</b>	
<b>4</b>	<b>Water Rate Study</b>	
<b>5</b>	<b>Engineering Report</b>	
<b>6</b>	<b>Drilling of Test Well(s)</b>	
<b>7</b>	<b>Water Treatment Pilot Study</b>	
<b>8</b>	<b>CEQA/NEPA</b>	
<b>9</b>	<b>TMF Assessment</b>	
<b>10</b>	<b>Plans and Specifications</b>	
<b>11</b>	<b>Miscellaneous Items to Proceed to Construction</b>	
	<b>Total</b>	

# PROJECT SCHEDULE FOR PLANNING

[Water System Name]

Project No. [Project Number]

## EXPECTED DATES OF COMPLETION

**NOTE:** The timeframes should be expressed in months from the ANTICIPATED date of execution of a funding agreement, rather than specific dates. The proposed project schedule should incorporate the items listed in the provided scope of the project.

<b>Task No.</b>	<b>Item Description</b>	<b>Expected Time of Completion from the Date of Execution of a Funding Agreement</b>
1	Project Evaluation	____ Months
2	Hydrological/Geotechnical Investigation & Site Surveying	____ Months
3	Consolidation Study	____ Months
4	Water Rate Study	____ Months
5	Drilling of Test Well(s)	____ Months
6	Water Treatment Pilot Study	____ Months
7	Engineering Report	____ Months
8	CEQA (Environmental Documentation)	____ Months
9	TMF Assessment	____ Months
10	Plans and Specifications	____ Months
11	Miscellaneous Items to Proceed to Construction	____ Months

## CERTIFICATION FOR COMPLIANCE WITH WATER METERING REQUIREMENTS FOR FUNDING APPLICATIONS



**Funding Agency Name:** State Water Resources Control Board

**Funding Program Name:** Drinking Water State Revolving Fund

**Applicant (Agency Name):** \_\_\_\_\_

Please check one of the boxes below and sign and date this form.

As the authorized representative for the applicant agency, I certify under penalty of perjury that the agency is not an urban water supplier, as that term is understood pursuant to the provisions of section 529.5 of the Water Code.

As the authorized representative for the applicant agency, I certify under penalty of perjury that the applicant agency has fully complied with the provisions of Division 1, Chapter 8, Article 3.5 of the California Water Code (sections 525 through 529.7 inclusive) and that the ordinances, rules, or regulations submitted with this certification as listed below have been duly adopted and are in effect as of this date.

---

I understand that the Funding Agency will rely on this signed certification in order to approve funding and that false and/or inaccurate representations in this Certification Statement may result in loss of all funds awarded to the applicant for its project. Additionally, for the aforementioned reasons, the Funding Agency may withhold disbursement of project funds, and/or pursue any other applicable legal remedy.

\_\_\_\_\_  
Name of Authorized Representative  
(Please print)

\_\_\_\_\_  
Title

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Date

# ENVIRONMENTAL PACKAGE (PLANNING)

<b>Applicant (Entity) Name:</b>	
<b>Project Title:</b>	<b>Project Number:</b>
<b>Contact Person:</b>	<b>Phone: (     )</b>

## I. California Environmental Quality Act (CEQA) Status

1. Has a CEQA document been completed which identifies any portion of the planning project?

**NOTE: All funded projects must be circulated at the Office of Planning and Research, State Clearinghouse (OPR)**

Yes - Document name: \_\_\_\_\_  
 Lead agency approval date: \_\_\_\_\_  
 State Clearinghouse Number: \_\_\_\_\_

**Attach a copy of the Notice of Exemption (label as Attachment E1).**

No

2. Has a CEQA lead agency been identified for the planning project?

**NOTE: If the applicant is a public agency, then they are their own CEQA lead agency and must file a Notice of Exemption stating the water system will be utilizing State Revolving Funds to conduct a planning study.**

Yes - CEQA lead agency: \_\_\_\_\_

**Attach a copy of the Notice of Exemption that was filed at OPR and the County (label as Attachment E1).**

The following exemptions can be applied to planning / feasibility studies:

- Statutory Exemption (no ground disturbing activities)  
 Feasibility and Planning Studies (CCR, Title 14, Article 18, Section 15262)
- Categorical Exemption (if project includes pilot studies, test wells, grading, boreholes, etc.)  
 Class 6, Information Collection (CCR, title 14, Article 19, Section 15306)

NOTE: This exemption class may need further evaluation if the planning project is located in an area where the project could result in impacts to an environmental resource of hazardous or critical concern.

No - For private, mutual and investor-owned utilities, the State Water Board may be the CEQA Lead Agency and will file a Notice of Exemption to conduct a planning study.

## II. General Information

1. Describe any grading, excavation, pilot wells, or other ground-breaking activities that may be a part of the planning project. Include a parcel or project schematic map (label as **Attachment E2**).

2. List and describe any other related permits and/or other public approvals required including those requiring local or state approvals.

3. Is the project located in an area designated as:

- |    | Yes                      | No                       |   |
|----|--------------------------|--------------------------|---|
| a. | <input type="checkbox"/> | <input type="checkbox"/> | Critical habitat for special status species                           |
| b. | <input type="checkbox"/> | <input type="checkbox"/> | Critical habitat for an endangered species                            |
| c. | <input type="checkbox"/> | <input type="checkbox"/> | Unique habitat ( <i>e.g., wildlife refuge, deer wintering range</i> ) |
| d. | <input type="checkbox"/> | <input type="checkbox"/> | Important farmland  |
| e. | <input type="checkbox"/> | <input type="checkbox"/> | Wetlands  |
| f. | <input type="checkbox"/> | <input type="checkbox"/> | Wild and scenic rivers  |
| g. | <input type="checkbox"/> | <input type="checkbox"/> | Officially designated scenic area                                     |
| h. | <input type="checkbox"/> | <input type="checkbox"/> | Archeological sites   |
| i. | <input type="checkbox"/> | <input type="checkbox"/> | Floodplains   |
| j. | <input type="checkbox"/> | <input type="checkbox"/> | Hazardous Waste and Substances Site                                   |

Explain:



4. Unusual Circumstances: Evaluate the following elements to determine if there are any unusual circumstances. For any "Yes" answers discuss the possibility of significant environmental impact resulting from the unusual circumstance. Use attachments if necessary, or reference any attached documents (label as **Attachment E3**).

- |    | <b>Yes</b>               | <b>No</b>                |   |
|----|--------------------------|--------------------------|---|
| a. | <input type="checkbox"/> | <input type="checkbox"/> | In an area of undisturbed, unique, or high-quality habitat  |
| b. | <input type="checkbox"/> | <input type="checkbox"/> | On or adjacent to wildlife migration routes   |
| c. | <input type="checkbox"/> | <input type="checkbox"/> | In an area of unique recreational facilities or resources   |
| d. | <input type="checkbox"/> | <input type="checkbox"/> | On or adjacent to a unique stream or water body   |
| e. | <input type="checkbox"/> | <input type="checkbox"/> | Involves removal of mature, scenic trees  |
| f. | <input type="checkbox"/> | <input type="checkbox"/> | Involves grading in a waterway or wetland   |
| g. | <input type="checkbox"/> | <input type="checkbox"/> | Involves a substantial alteration of ground contours  |
| h. | <input type="checkbox"/> | <input type="checkbox"/> | Involves new or increased use of a critically depleted groundwater basin or groundwater basin subject to salinity intrusion |
| i. | <input type="checkbox"/> | <input type="checkbox"/> | In an area with important mineral resources   |
| j. | <input type="checkbox"/> | <input type="checkbox"/> | Involves production of significant amounts of solid wastes or litter  |
| k. | <input type="checkbox"/> | <input type="checkbox"/> | Involves substantial new or increased emission of dust, ash, smoke, fumes, odors, or other pollutants                       |
| l. | <input type="checkbox"/> | <input type="checkbox"/> | Involves substantial change in noise or vibration levels in vicinity (beyond the property line)                             |
| m. | <input type="checkbox"/> | <input type="checkbox"/> | In an area of sensitive noise receptors   |
| n. | <input type="checkbox"/> | <input type="checkbox"/> | On slopes of 10 percent or more or on highly erodible soil  |
| o. | <input type="checkbox"/> | <input type="checkbox"/> | In an officially mapped area of severe geologic hazard  |
| p. | <input type="checkbox"/> | <input type="checkbox"/> | Involves new or increased use or disposal of hazardous materials, flammables, or explosives                                 |
| q. | <input type="checkbox"/> | <input type="checkbox"/> | Involves substantial change in demand for municipal services  |
| r. | <input type="checkbox"/> | <input type="checkbox"/> | Involves traffic impacts in an area with traffic problems   |
| s. | <input type="checkbox"/> | <input type="checkbox"/> | Involves substantial increase in fuel consumption (electricity, oil, natural gas, etc.)                                     |
| t. | <input type="checkbox"/> | <input type="checkbox"/> | On United States Forest Service land  |

Explain:

#### Attachment Checklist

Check the box next to each item attached to your application.

- E1 – CEQA Document (if applicable)
- E2 – Parcel or Project Schematic Map
- E3 – Unusual Circumstances (if applicable)

# FINANCIAL SECURITY PACKAGE (PLANNING)

<b>Applicant (Entity) Name:</b>	
<b>Project Title:</b>	
<b>Contact Person:</b>	<b>Phone: (    )</b>

**1. Amount of Assistance Requested: \$**

**2. Other Project Funding Sources**

Name and Type of Funding Sources	Amount	Applied	Approved	Received
	\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**3. Current Year Median Household Income: \$**

<b>4a. Current Year Estimated Population Served:</b>	<b>4b. Check box if less than 50% of residences are permanently occupied</b> <input type="checkbox"/>
--	---

**5. Average current monthly residential water bill \$ \_\_\_\_\_**

**6. Average monthly residential water bill for the prior three years.**

Year	Average Monthly Residential Water Bill	Please explain the reason for increases or decreases in the average monthly residential water bill.

Attach water systems' water rate structure covering each of the last three years (including commercial and industrial users; label as **Attachment F1**)

<b>7. Average Projected increase to the monthly residential water bill as a result of this funding request.</b>	\$ _____
---	----------

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

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

**9. Water Rate Study**

Has a water rate study been conducted for the water system?  Yes  No

If **yes**, please list the date of the study and describe the findings and actions taken by the water system's governing body.

**10. Projected monthly residential water bill for the next 3 years**

Year	Average Monthly Residential Water Bill (not including amount in #7)	Please explain the reason for increases or decreases in the average monthly residential water bill

**11. Attach a 5 year revenue/expenditure projection for the water system (label as Attachment F2).**

**12. Identify and describe the dedicated revenue source to be used for loan repayment (see the Application Instructions for more detail). Publicly owned entities must attach the draft Pledged Revenues and Fund(s) Resolution (PRF); (label as Attachment F6).**

**13. Security**

Identify and describe the security you are proposing to use for a loan.

*If you are proposing to use property (land), you must answer the following questions:*

Is the land you are proposing to use currently pledged as security on other debt?  Yes  No

If yes, list the name of the person/entity to whom the property is pledged as security, their address, and the current balance of the loan being secured.

What is the assessed value of the property? \_\_\_\_\_

What is the market value of the property and how was it determined?

**ATTACHMENTS (Check the box next to each item attached to your application.)**

- F1 – Water Rate Structure (3 years)
- F2 – Revenue/Expenditure Projections (5 years)
- F3 – Audited Financial Statements or Federal Tax Returns (3 years)
- F4a – Authorizing Resolution/Ordinance (required for publicly owned entities)
- F4b – Corporate Resolution to Apply, borrow and to Grant Security (required for corporations)
- F4c – Other Entity Type (see Application Information and Instructions)
- F5 – Rate Adoption Resolution
- F6 – Draft Pledged Revenues And Fund(s) Resolution (required for publicly owned entities)
- F7 – Related Debt (see Application Information & Instructions)
- F8 – Agreement For Operation of the Facility (if applicable)
- F9 – New Special Tax, Assessment District, or Service Charge Projections (if applicable)
- F10 – Relevant Service, Management, Operating, or Joint Powers Agreements (if applicable)
- F11 – Future Capital Needs (if applicable)
- F12 – Other Material Debt Documents (if applicable)

## AUTHORIZING RESOLUTION/ORDINANCE

RESOLUTION NO: \_\_\_\_\_

WHEREAS \_\_\_\_\_  
(insert appropriate findings)

RESOLVED BY THE \_\_\_\_\_ OF THE  
(insert name of Governing Board of the Entity)  
\_\_\_\_\_ (the "Entity"), AS FOLLOWS:  
(insert Entity name)

The \_\_\_\_\_ (the "Authorized Representative") or designee is  
(insert Title of Authorized Representative)  
hereby authorized and directed to sign and file, for and on behalf of the Entity, a Financial Assistance  
Application for a financing agreement from the State Water Resources Control Board for the planning and/or  
design of \_\_\_\_\_ (the "Project").  
(insert Project Name)

This Authorized Representative, or his/her designee, is designated to provide the assurances, certifications,  
and commitments required for the financial assistance application, including executing a financial assistance  
agreement from the State Water Resources Control Board and any amendments or changes thereto.

The Authorized Representative, or his/her designee, is designated to represent the Entity in carrying out the  
Entity's responsibilities under the financing agreement, including certifying disbursement requests on behalf of  
the Entity and compliance with applicable state and federal laws.

## CERTIFICATION

I do hereby certify that the foregoing is a full, true, and correct copy of a resolution duly and regularly adopted  
at a meeting of the \_\_\_\_\_ held  
(insert name of Governing Board of the Entity)  
on \_\_\_\_\_.  
(Date)

---

(Name, Signature, and Seal of the Clerk or Authorized Record Keeper of the Governing Board of the Agency)

**SAMPLE  
CORPORATE RESOLUTION  
TO APPLY, BORROW AND TO GRANT SECURITY**

I, \_\_\_\_\_, do hereby certify that I am the duly elected and qualified Secretary and the keeper of the records and corporate seal of \_\_\_\_\_, a corporation organized and existing under the laws of the State of California (the "Corporation"), and that the following is a true and correct copy of certain resolutions duly adopted by the Board of Directors thereof, in accordance with law and the by-laws of the Corporation, and that such resolutions are now in full force and effect, unamended, unaltered and unrepealed:

WHEREAS, the Corporation seeks financing from the State Water Resources Control Board under the Drinking Water State Revolving Fund ("DWSRF") for a project commonly known as \_\_\_\_\_ ("Project");

WHEREAS, the Board of Directors adopted a Project budget; and

WHEREAS, prior to the State Water Resources Control Board executing a financing agreement, the Board of Directors is required to establish a dedicated source of revenue to repay the DWSRF loan and authorizing an officer to execute all financing agreements, amendments, certifications, and claims for reimbursement.

NOW, THEREFORE, BE IT RESOLVED AND ORDERED, that the \_\_\_\_\_ ("the Authorized Representative") is  
*(insert title of Authorized Representative)*  
hereby authorized to sign and file, for and on behalf of the Corporation, an application for financial assistance from the State Water Board for the planning, design, and/or construction of the Project;

BE IT FURTHER RESOLVED AND ORDERED, that the Authorized Representative is designated to provide the assurances, certifications, and commitments required for the financial assistance application, including executing a financial assistance agreement from the State Water Resources Control Board and any amendments or changes thereto;

BE IT FURTHER RESOLVED AND ORDERED, that the Authorized Representative is hereby authorized to incur Indebtedness not to exceed \$ \_\_\_\_\_ pursuant to the DWSRF financing agreement (The term "Indebtedness" as used herein means all debts, obligations and liabilities, currently existing or now or hereafter made, incurred or created in connection with the financing);

BE IT FURTHER RESOLVED AND ORDERED, that the Authorized Representative is hereby authorized to grant security interests in, pledge, assign, transfer, endorse, mortgage or otherwise hypothecate to the State Water Resources Control Board, and execute security or pledge agreements, financial statements and other security interest perfection documentation, mortgages and deeds of trust on, and give trust receipts for, any or all property or assets of the Corporation as may be agreed upon by the Authorized Representative, or his/her designee, as collateral security for any or all of the Indebtedness, and to grant and execute renewals, extensions or modifications thereof, and to authorize the State Water Resources Control Board to perform any act necessary to perfect security, including but not limited to filing a Uniform Commercial Code (UCC-1) lien with the Secretary of State;

BE IT FURTHER RESOLVED AND ORDERED, that the Authorized Representative is authorized to represent the Corporation in carrying out the Corporation's responsibilities under

the financing agreement, including certifying disbursement requests on behalf of the Corporation and compliance with applicable state and federal laws;

BE IT FURTHER RESOLVED, that the Secretary or any other officer of this Corporation is authorized to certify to the State Water Resources Control Board a copy of these resolutions and the name and signature of the Authorized Representative hereby authorized to act hereunder, and the State Water Resources Control Board is hereby authorized to rely upon such certificate until formally advised by a like certificate of any change therein, and is hereby authorized to rely on any such additional certificates; and

BE IT FURTHER RESOLVED AND ORDERED, the authority granted hereunder shall be deemed retroactive. All acts authorized hereunder and performed prior to the date of this Resolution are hereby ratified and affirmed. The State Water Resources Control Board is authorized to rely upon this Resolution until written notice to the contrary, executed by each of the undersigned, is received by the State Water Resources Control Board. The State Water Resources Control Board shall be entitled to act in reliance upon the matters contained herein, notwithstanding anything to the contrary contained in the formation documents of the \_\_\_\_\_ or in any other document.  
*(Applicant entity's legal name)*

I FURTHER CERTIFY THAT the following person has been appointed or elected and is now acting as officer or employee of the Corporation in the capacity set beside his name:

\_\_\_\_\_ (Print Name) \_\_\_\_\_ (Date) \_\_\_\_\_ (Signature)

IN WITNESS WHEREOF, I have subscribed my name as Secretary as of \_\_\_\_\_, 20\_\_\_\_.  
*(Date)*

\_\_\_\_\_  
Secretary

\_\_\_\_\_, a California corporation

## PLEGGED REVENUES AND FUND(s) RESOLUTION (PRF)

See Appendix G of the DWSRF Policy for a Sample PRF Resolution Template. All publicly owned entities must submit a draft PRF resolution with the application for Division of Financial Assistance (DFA) review. Once DFA has reviewed the draft PRF resolution, an adopted PRF resolution will then be required.



## RELATED DEBT

The following related debts are senior to the proposed DWSRF financing:

Name of Lender and Title of Debt or Loan Number	Debt Security or Source of Revenue	Debt Service Coverage Requirement	Rating	Original Debt Amount	Current Balance	Payment Amount	Interest Rate	Debt Term & Maturity Date
				\$	\$	\$		/
				\$	\$	\$		/
				\$	\$	\$		/

The following related debts are on parity to the proposed Financing Agreement:

Name of Lender and Title of Debt or Loan Number	Debt Security or Source of Revenue	Debt Service Coverage Requirement	Rating	Original Debt Amount	Current Balance	Payment Amount	Interest Rate	Debt Term & Maturity Date
				\$	\$	\$		/
				\$	\$	\$		/
				\$	\$	\$		/
				\$	\$	\$		/
				\$	\$	\$		/

The following related debts are subordinate to the proposed Financing Agreement:

Name of Lender and Title of Debt or Loan Number	Debt Security or Source of Revenue	Debt Service Coverage Requirement	Rating	Original Debt Amount	Current Balance	Payment Amount	Interest Rate	Debt Term & Maturity Date
				\$	\$	\$		/
				\$	\$	\$		/
				\$	\$	\$		/
				\$	\$	\$		/
				\$	\$	\$		/

Attach copies of the debt documents associated with the above debts.