

**Department of Health Services**  
**Safe Drinking Water State Revolving Fund**

**Application for Construction Funds**  
**2002/2003**

## Safe Drinking Water State Revolving Fund Application for Construction Funds

Pre-Application Number: \_\_\_\_\_  
Priority List Category \_\_\_\_\_

### Part A. General Information

1. Name of Applicant Water System \_\_\_\_\_
2. Water System ID Number \_\_\_\_\_
3. Street Address \_\_\_\_\_
4. County \_\_\_\_\_
5. Mailing Address \_\_\_\_\_
6. Authorized Representative \_\_\_\_\_  
(Name, Title and Telephone Number, e-mail address)  
\_\_\_\_\_
7. Principal Contact Person \_\_\_\_\_  
(Name, Title and Telephone Number, e-mail address)  
\_\_\_\_\_
8. Project Engineer \_\_\_\_\_  
(Name and Address)
9. Estimated Amount of Loan Funds Requested \$ \_\_\_\_\_

**Part B. Managerial Information**

## 1. Classification of Water System

- ☐ Community
- ☐ Nontransient non-community
- ☐ Transient non-community

## 2. Indicate the Ownership of the Water System

## PUBLIC OWNERSHIP

## PRIVATE OWNERSHIP

(Provide a copy of fictitious name statement)

- |  |  |
|--|--|
| <input type="checkbox"/> Municipality        | <input type="checkbox"/> Corporation (Provide copy of Articles of Incorporation)         |
| <input type="checkbox"/> County agency       | <input type="checkbox"/> Partnership   |
| <input type="checkbox"/> Special district    | <input type="checkbox"/> Incorporated mutual (Provide copy of Articles of Incorporation) |
|  | (Mutuals must be incorporated to be eligible for SRF funding)                            |
| <input type="checkbox"/> State agency        | <input type="checkbox"/> Non-profit organization (ID No. _____)                          |
| <input type="checkbox"/> Irrigation District | <input type="checkbox"/> Other: _____  |

## 3. a. Does the California Public Utilities Commission (CPUC) regulate your system?

Yes ☐ No ☐

If the answer is yes, please answer 3b and 3c.

## b. Have you applied to the CPUC for approval to enter into a loan with the State under the Safe Drinking Water State Revolving Fund program?

Yes ☐ No ☐

If yes, please provide a copy of your application to the CPUC.

(Note: All systems regulated by the CPUC must obtain their approval for a loan. You must immediately apply for their approval once you submit this application.)

## c. Please provide a list and a description of all matters relating to your water system that are currently pending before the CPUC.

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4. Name, title and duties of key officers (if more than 3, refer to and attach organization chart providing this information).

<u>Name</u>	<u>Title</u>	<u>Principal Duties</u>

5. Answer the following questions as they pertain to this application:

- a. Does the agency have the legal authority to enter into a long-term contract (20 years) with the State of California, such as the Drinking Water State Revolving Fund loan program?

Yes ☐ No ☐

- b. Is the agency required to hold an election before entering into this type of a loan contract with the State of California?

Yes ☐ No ☐

- c. Does the agency have the legal authority to levy assessments and charges sufficient to repay a loan under the Drinking Water Revolving Fund loan program?

Yes ☐ No ☐

6. Is there any litigation pending relative to the operation of the water system or the proposed project?

Yes ☐ No ☐

(If **yes**, attach a description of the litigation, the potential costs and status of the litigation.).

7. If the applicant has contracted with a private firm or another agency for the operation of the facility to be financed, name the firm or agency and the term (in years) of the agreement. Attach a copy of this agreement.

8. If the applicant leases land or major water system facilities, describe the terms of the lease or attach a copy of the lease agreement. (Note: If a lease is critical to the location or operation of proposed project facilities, the term of the lease must be equal to the loan repayment period.)

9. Describe the nature of the water rights applicable to your water source. (See Application Guidelines.)

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**Part C. Technical Information**

1. Describe the problem to be addressed by this project:

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2. Briefly describe the proposed project to be constructed:

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3. Describe the existing service area served by the water system and provide a map of the existing service area and the location of the water system facilities.

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4. Current population served by the water system \_\_\_\_\_

5. Current number of active service connections \_\_\_\_\_
6. Attach an Engineering Report that includes the following elements:
- Analysis of alternative solutions
  - Feasibility of consolidation (if system serves less than 10,000 persons)
  - Description of selected project alternative
  - Anticipated benefits (e.g. water quality improvements) of the project
  - Conceptual project design
  - Analysis of projected growth
  - Identification of any ineligible costs to be included in the project
  - Cost breakdown of project
  - Useful life of the major project components
  - Proposed design and construction schedule

**(Please refer to the “SRF Application Instructions and Guidance” for a detailed description of the Engineering Report)**

7. Environmental Documentation

Is the applicant or any other public agency acting as lead agency for the preparation of environmental documents pursuant to the California Environmental Quality Act (CEQA) for this project? ☐ Yes ☐ No

If “NO”, please complete and attach a copy of the **SDWSRF Environmental Information Form**. No additional environmental documentation is required at this time.

If “YES”, please attach a copy of any of the following listed documents that are currently available:

- |  |                          |
|--|--------------------------|
| Negative Declaration/Initial Study                     | <input type="checkbox"/> |
| Environmental Impact Report                            | <input type="checkbox"/> |
| Resolution making CEQA findings                        | <input type="checkbox"/> |
| Notice of Determination filed with State Clearinghouse | <input type="checkbox"/> |

If the project has been determined to be exempt, please **complete and attach** a copy of the **“SDWSRF Environmental Information Form for CEQA Exemptions”**.

Note: All CEQA environmental documents must be circulated through the State Clearinghouse. In addition, to meet “NEPA-like” requirements for federal equivalency funding, environmental documentation must include an environmental evaluation of project alternatives, cultural resources information for compliance with the National Historic Preservation Act, priority pollutant annual emissions estimates for compliance with the Federal Clean Air Act, and biological resources information for compliance with the Federal Endangered Species Act. Six copies of the environmental document are needed to complete the NEPA-Like review.

If any environmental documentation has not been completed or finalized, please attach a completed **“Schedule of Dates for Compliance with CEQA and NEPA-Like Requirements”**.

**Part D. Financial Information**

1. Average current monthly residential water bill \$ \_\_\_\_\_
2. Average projected increase to the monthly residential water bill as a result of this funding request.  
\$ \_\_\_\_\_
3. Average projected monthly residential water bill \$ \_\_\_\_\_
4. Attach the water systems' water rate structure covering each of the last three years (including commercial and industrial users.)
5. Estimated project Costs

Cost Classification	Total \$	Applicant \$	Other loans and grants	SDWSRF \$
A. Construction Costs				
B. Engineering Costs				
C. Other Costs				
D. Equipment Costs				
E. Land Acquisition				
F. Contingencies				
Total Funding Requirements				

**6. Source of other funds**

Fund Source	Type of Funds	Amount	Funding Applied For (Y/N)	Funding Secured (Y/N)
Total Funding From All Sources				

For each funding source noted above please provide the information requested in the guidelines. Please note that the "Total Funding Requirements" and the Total Funding From All Sources" should equal.

7. Identify and describe the dedicated revenue source to be used for loan repayment

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8. (a) Identify and describe the security you are proposing to use for a loan? \_\_\_\_\_

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If you are proposing to use property (land), you must answer questions 8b, c, and d.

(b) Is the land you are proposing to use currently pledged as security on other debt?  
\_\_\_\_\_ Yes \_\_\_\_\_ no If you answered yes, please list the name(s) of the  
persons(s)/entity to whom the property is pledged as security, their address, and the  
current balance of the loan being secured. \_\_\_\_\_

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(c) What is the assessed value of the property? \_\_\_\_\_

(d) What is the market value of the property? \_\_\_\_\_ How was this determined?

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9. Attach 3 years of financial statements or tax returns for your entity.

10. Provide the following information for all existing long-term indebtedness

- a. Type of indebtedness
- b. Name and address of creditor
- c. Term and purpose of loan
- d. Date of the loan
- e. Original principal
- f. Remaining balance
- g. Annual repayment amount
- h. Security pledged for the debt



11. List all cash reserved and planned uses of those reserves

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CERTIFICATION

I hereby certify that I am the authorized representative of this public water system and that the information provided in this application and supporting information is accurate to the best of my knowledge.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title

**Part E. Federal Cross-Cutting Requirements**

Federal “Cross-Cutting Requirements” are those provisions in federal law which “apply by their own terms” to projects and activities receiving federal financial assistance. In order to enter into a Safe Drinking Water State Revolving Fund loan agreement with the Department of Health Services each water system determined by DHS to be subject to these requirements, is required to certify that they are in compliance with each of the following federal regulatory requirements. If a funding offer is made to an applicant, the funding offer will state whether Federal Cross-Cutting Requirements will apply.

**Environmental Authorities**

1. Archeological and Historic Preservation Act of 1974, Pub. L. 86-523, as amended
2. Clean Air Act, Pub. L. 84-159, as amended
3. Coastal Barrier Resources Act, Pub. L. 97-348, as amended
4. Coastal Zone Management Act, Pub. L. 92-583, as amended
5. Endangered Species Act, Pub. L. 93-205, as amended
6. Environmental Justice, Executive Order 12898
7. Floodplain Management, Executive Order 11988 as amended by Executive Order 12148
8. Protection of Wetlands, Executive Order 11990
9. Farmland Protection Policy Act, Pub. L. 97-98
10. Fish and Wildlife Protection Coordination Act, Pub.L. 85-624, as amended
11. National Historic Preservation Act of 1966. Pub. L. 89-665, as amended
12. Safe Drinking Water Act, Pub. L. 93-523, as amended
13. Wild and Scenic Rivers Act, Pub. L. 90-542, as amended

**Economic and Miscellaneous Authorities**

1. Demonstration Cities and Metropolitan Development Act of 1966 PL 89-754, as amended
2. Procurement Prohibitions under Section 306 of the Clean Air Act and Section 508 of the Clean Water Act, including Executive Order 11738 Administration of the Clean Air Act and the Federal Water Pollution Control Act with Respect to Federal Contracts, Grants and Loans
3. Uniform Relocation and Real Property Acquisition Policies Act, Pub. L. 91-646, as amended
4. Debarment and Suspension, Executive Order 12549

### **Social Policy Authorities**

1. Age Discrimination Act of 1975, Pub. L. 94-135
2. Title VI of the Civil Rights Act of 1964, Pub. L. 88-352
3. Section 13 of the Federal Water Pollution Control Act Amendments of 1972, Pub. L. 92-5200 (the Clean Water Act)
3. Section 504 of the Rehabilitation Act of 1973, Pub. L. 93-112 (including Executive Orders 11914 and 11250)
5. Equal Employment Opportunity, Executive Order 11246
6. Women's Minority Business Enterprise, Executive Orders 11625, 12138 and 12432
7. Section 129 of the Small Business Administration Reauthorization and Amendment Act of 1988, Pub. L. 100-590

## PART F. ATTACHMENTS TO APPLICATION

Following is a list of documents, reports and other information, which is necessary to process this application. Not all the information list below is required for all water systems. Please review the funding application and application guidelines carefully. If you are not sure if the requested information applies to your water system please contact your district engineer. Incomplete applications will not be processed until all required information has been provided to the district.

To assist us in timely reviewing your application, please make sure your water system name and the pre-application number is on every attachment. Please label the attachment with the number of the application section which requests the information (i.e. "Part A. No 6").

### Attachments:

- |    |                       |   |
|----|-----------------------|---|
| a) | <u>Part A. No. 6</u>  | A resolution or resolutions from the water system's governing body providing the following (as applicable):   |
|    |                       | <ul style="list-style-type: none"> <li>• Resolution designating the authorized representative and authorizing that individual to apply for a SDWSRF loan (all systems)</li> <li>• Resolution or ordinance dedicating repayment source<br/><i>(not required at time of application will be required prior to execution of loan agreement)</i></li> </ul> |
| b) | <u>Part A. No 3</u>   | Copy of application to the Public Utilities Commission (investor owned only)<br><i>(not required at time of application will be required prior to issuance of loan agreement)</i>   |
| c) | <u>Part B. No. 7.</u> | Description of pending litigation, current status and the potential costs   |
| d) | <u>Part B. No. 8.</u> | Agreement for operation of facility   |
| e) | <u>Part B. No. 9.</u> | Lease of land or major water system facilities  |
| f) | <u>Part B. No. 10</u> | Water rights documentation  |
| g) | <u>Part C. No 3</u>   | Map of service area and location of water system facilities.  |
| h) | <u>Part C. No. 6.</u> | Engineering Report<br><i>See Application Guidelines for additional details on the contents of the report.</i>   |
| i) | <u>Part C. No. 8</u>  | Plan and schedule for CEQA compliance   |
| j) | <u>Part D. No .4</u>  | Water system rate structure for last three years include a description of the calculation for the average household water rate  |
| k) | <u>Part D. No. 9</u>  | Three years of financial statements or tax returns for the water system   |
| l) | <u>Part D No. 9</u>   | Description of all long-term indebtedness   |
| m) | <u>TMF</u>            | TMF Capacity Assessment Form Submitted  |