

# Water and Wastewater Program PREAPPLICATION GUIDE

Committed to  
the future  
of rural  
communities in  
California

United States  
Department of Agriculture  
Rural Development  
California

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Committed to the future of rural communities.

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Revised 1/10

Follow the steps shown in this Guide to complete a Preapplication package under USDA Rural Development's Water and Wastewater Programs.

## APPLICABLE PROGRAMS

This Preapplication guide is designated for the following programs:

### Water and Waste Disposal Loan and Grant Program

### Emergency and Imminent Community Water Assistance Grant

### Colonias—Section 306C Water and Waste Disposal Grants

### Native Americans—Section 306C Water and Waste Disposal Grants

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For more information call or visit the USDA Rural Development office near you or go to our website at: [www.rurdev.usda.gov/ca](http://www.rurdev.usda.gov/ca)

You can also call our USDA State Office at **530-792-5815** for help in finding your nearest local office.

## DEADLINES:

Preapplications can be submitted at any time and will be processed on a first come, first served basis.

## APPLICATION PROCESS

Applicants are encouraged to contact USDA Rural Development early in the project development process to discuss project financing on an informal basis. USDA Rural Development will typically conduct a site visit with the applicant to discuss the project.

USDA Rural Development advises against you taking any actions or incurring any obligations which would either limit the range of the alternatives to be considered or have an adverse effect on the environment. USDA Rural Development is required to identify potentially significant environmental impacts on the human environment prior to approval of a loan or grant. An environmental review will be conducted to determine what environmental impacts the proposed project will have, if any.

USDA Rural Development uses a two-part application process for selecting projects to receive funding under the Water and Wastewater programs. First, a preapplication (**see page 3 for Preapplication Contents**) is used to assess the applicant's eligibility, priority to compete with similar preapplications, and advises applicants on the availability of funds. This saves you time and money by allowing USDA Rural Development to review the proposed project and provide you with an eligibility determination at an early stage.

If an applicant's preapplication is determined eligible, an application conference is held and then the Agency will invite an application to be submitted. An Application Checklist will be provided at this meeting. The application will require more detailed information to be submitted. During this stage of the project, the preliminary engineering and environmental components are heavily emphasized as they are critical to development of the application and normally take the most time to complete.

Upon receipt of a complete application, USDA Rural Development will complete an overall review of the financial, environmental, and engineering components of the project. If the application is given further consideration by the approval official, USDA Rural Development will issue a Letter of Conditions outlining the conditions of approval that must be met prior to receiving funds. Once the applicant agrees to the conditions, funding is officially reserved for the project and a formal approval is delivered to the applicant.

Funds are advanced after it has been determined that all of the conditions have been met.

## PREAPPLICATION PROCEDURE

### Send the original Preapplication items and one copy to USDA-RD

Applicants must submit *an original and one copy* of Preapplication information items 1 through 9 described below. Send it to the USDA Rural Development office serving your area as shown on page 19. Note also that you can call in advance and get personal assistance from your local USDA-RD office.

## REQUIRED PREAPPLICATION ITEMS - 1 through 9

**1. Completed Standard Forms (SF) 424, 424-C, 424-D - Application for Federal Assistance, see pages 4—9.**

NOTE: in block 10 of SF 424, insert the appropriate Catalog of Federal Domestic Assistance (CFDA) number as follows:

Water and Waste Disposal Loan and Grant Program -	10.760
Emergency and Imminent Community Water Assistance Grant -	10.763
Colonias and Native Americans Section 306C Grants -	10.770

NOTE: in block 5 of SF 424, DUNS stands for “Data Universal Numbering System.” It is a unique nine-character number that identifies your organization. It is a tool of the Federal government to track how Federal money is distributed. Most large organizations that receive Federal funds already have a DUNS numbers. If your organization does not have a DUNS number, call 866-705-5711 or use the following Dun & Bradstreet (D&B) online registration web link to receive one free of charge at:

<http://fedgov.dnb.com/webform/displayHomePage.do>

**2. Evidence that the State and Local Clearinghouses have been notified.** Show that you have submitted a cover letter and a copy of the completed first page of Form SF 424 to both the State Clearinghouse and the appropriate local clearinghouse agency, by attaching copies of those documents with this preapplication., see page 10—11.

**3. Water and Wastewater Preapplication Certification, see page 12.**

**4. Financial information** including a description of any existing debt, see page 13.

**5. Organizational information on applicant, see page 14.**

**6. Project Narrative** that provides information on why the facility is needed and discuss specific standards/violations that will be corrected by the Project, see page 15.

**7. Loan Security** to be offered, see page 16.

**8. User Information, see page 17.**

**9. Rate Structure, see page 18**

## OPTIONAL PREAPPLICATION ITEMS (Only if available)

- a. California Environmental Quality Act (CEQA) documentation
- b. Preliminary Engineering Report

**APPLICATION FOR  
FEDERAL ASSISTANCE**

Version 7/03

1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		Pre-application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	2. DATE SUBMITTED	Applicant Identifier	
			3. DATE RECEIVED BY STATE	State Application Identifier	
			4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier	
5. APPLICANT INFORMATION					
Legal Name:			Organizational Unit: Department:		
Organizational DUNS:			Division:		
Address: Street:			Name and telephone number of person to be contacted on matters involving this application (give area code) Prefix: First Name:		
City:			Middle Name		
County:			Last Name		
State:		Zip Code	Suffix:		
Country:			Email:		
6. EMPLOYER IDENTIFICATION NUMBER (EIN): □□-□□□□□□□□			Phone Number (give area code)		Fax Number (give area code)
8. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.) Other (specify) <input type="checkbox"/> <input type="checkbox"/>			7. TYPE OF APPLICANT: (See back of form for Application Types) Other (specify)		
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: TITLE (Name of Program):    □□-□□□□			9. NAME OF FEDERAL AGENCY:		
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.):			11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:		
13. PROPOSED PROJECT Start Date:    Ending Date:			14. CONGRESSIONAL DISTRICTS OF: a. Applicant    b. Project		
15. ESTIMATED FUNDING:			16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?		
a. Federal	\$	..	a. Yes. <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE:		
b. Applicant	\$	..	b. No. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW		
c. State	\$	..	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes" attach an explanation. <input type="checkbox"/> No		
d. Local	\$	..			
e. Other	\$	..			
f. Program Income	\$	..			
g. TOTAL	\$	..			
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.					
a. Authorized Representative					
Prefix		First Name		Middle Name	
Last Name				Suffix	
b. Title				c. Telephone Number (give area code)	
d. Signature of Authorized Representative				e. Date Signed	

Previous Edition Usable  
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Standard Form 424 (Rev. 9-2003)  
Prescribed by OMB Circular A-102

## INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

This is a standard form used by applicants as a required face sheet for pre-applications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:	Item:	Entry:																
1.	Select Type of Submission.	11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.																
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	12.	List only the largest political entities affected (e.g., State, counties, cities).																
3.	State use only (if applicable).	13.	Enter the proposed start date and end date of the project.																
4.	Enter Date Received by Federal Agency Federal identifier number. If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.	14.	List the applicant's Congressional District and any District(s) affected by the program or project																
5.	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.	15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.																
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.																
7.	Select the appropriate letter in the space provided. <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">A. State</td> <td style="width: 50%;">I. State Controlled Institution of Higher Learning</td> </tr> <tr> <td>B. County</td> <td>J. Private University</td> </tr> <tr> <td>C. Municipal</td> <td>K. Indian Tribe</td> </tr> <tr> <td>D. Township</td> <td>L. Individual</td> </tr> <tr> <td>E. Interstate</td> <td>M. Profit Organization</td> </tr> <tr> <td>F. Intermunicipal</td> <td>N. Other (Specify)</td> </tr> <tr> <td>G. Special District</td> <td>O. Not for Profit Organization</td> </tr> <tr> <td>H. Independent School District</td> <td></td> </tr> </table>	A. State	I. State Controlled Institution of Higher Learning	B. County	J. Private University	C. Municipal	K. Indian Tribe	D. Township	L. Individual	E. Interstate	M. Profit Organization	F. Intermunicipal	N. Other (Specify)	G. Special District	O. Not for Profit Organization	H. Independent School District		17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
A. State	I. State Controlled Institution of Higher Learning																		
B. County	J. Private University																		
C. Municipal	K. Indian Tribe																		
D. Township	L. Individual																		
E. Interstate	M. Profit Organization																		
F. Intermunicipal	N. Other (Specify)																		
G. Special District	O. Not for Profit Organization																		
H. Independent School District																			
8.	Select the type from the following list: <ul style="list-style-type: none"> <li>• "New" means a new assistance award.</li> <li>• "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.</li> <li>• "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter:  <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">A. Increase Award</td> <td style="width: 50%;">B. Decrease Award</td> </tr> <tr> <td>C. Increase Duration</td> <td>D. Decrease Duration</td> </tr> </table> </li> </ul>	A. Increase Award	B. Decrease Award	C. Increase Duration	D. Decrease Duration	18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)												
A. Increase Award	B. Decrease Award																		
C. Increase Duration	D. Decrease Duration																		
9.	Name of Federal agency from which assistance is being requested with this application.																		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.																		

**BUDGET INFORMATION - Construction Programs**

NOTE: Certain Federal assistance programs require additional computations to arrive at the Federal share of project costs eligible for participation. If such is the case, you will be notified.

COST CLASSIFICATION	a. Total Cost	b. Costs Not Allowable for Participation	c. Total Allowable Costs (Columns a-b)
1. Administrative and legal expenses	\$ .00	.00	\$ 0.00
2. Land, structures, rights-of-way, appraisals, etc.	\$ .00	.00	\$ 0.00
3. Relocation expenses and payments	\$ .00	.00	\$ 0.00
4. Architectural and engineering fees	\$ .00	.00	\$ 0.00
5. Other architectural and engineering fees	\$ .00	.00	\$ 0.00
6. Project inspection fees	\$ .00	.00	\$ 0.00
7. Site work	\$ .00	.00	\$ 0.00
8. Demolition and removal	\$ .00	.00	\$ 0.00
9. Construction	\$ .00	.00	\$ 0.00
10. Equipment	\$ .00	.00	\$ 0.00
11. Miscellaneous	\$ .00	.00	\$ 0.00
12. SUBTOTAL (sum of lines 1-11)	\$ 0.00	0.00	\$ 0.00
13. Contingencies	\$ .00	.00	\$ 0.00
14. SUBTOTAL	\$ 0.00	0.00	\$ 0.00
15. Project (program) income	\$ .00	.00	\$ 0.00
16. TOTAL PROJECT COSTS (subtract #15 from #14)	\$ 0.00	0.00	\$ 0.00

FEDERAL FUNDING

17. Federal assistance requested, calculate as follows:  
 (Consult Federal agency for Federal percentage share.)  
 Enter the resulting Federal share. Enter eligible costs from line 16c Multiply X \_\_\_\_\_ %  
 To autocalculate, press TAB key after entering percent. These instructions will not print.

## INSTRUCTIONS FOR THE SF-424C

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0041), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

This sheet is to be used for the following types of applications: (1) "New" (means a new [previously unfunded] assistance award); (2) "Continuation" (means funding in a succeeding budget period which stemmed from a prior agreement to fund); and (3) "Revised" (means any changes in the Federal Government's financial obligations or contingent liability from an existing obligation). If there is no change in the award amount, there is no need to complete this form. Certain Federal agencies may require only an explanatory letter to effect minor (no cost) changes. If you have questions, please contact the Federal agency.

*Column a.* - If this is an application for a "New" project, enter the total estimated cost of each of the items listed on lines 1 through 16 (as applicable) under "COST CLASSIFICATION."

If this application entails a change to an existing award, enter the eligible amounts *approved under the previous award* for the items under "COST CLASSIFICATION."

*Column b.* - If this is an application for a "New" project, enter that portion of the cost of each item in Column a. which is *not* allowable for Federal assistance. Contact the Federal agency for assistance in determining the allowability of specific costs.

If this application entails a change to an existing award, enter the adjustment [+ or (-)] to the previously approved costs (from column a.) reflected in this application.

*Column .* - This is the net of lines 1 through 16 in columns "a." and "b."

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Line 1 - Enter estimated amounts needed to cover administrative expenses. Do not include costs which are related to the normal functions of government. Allowable legal costs are generally only those associated with the purchases of land which is allowable for Federal participation and certain services in support of construction of the project.

Line 2 - Enter estimated site and right(s)-of-way acquisition costs (this includes purchase, lease, and/or easements).

Line 3 - Enter estimated costs related to relocation advisory assistance, replacement housing, relocation payments to displaced persons and businesses, etc.

Line 4 - Enter estimated basic engineering fees related to construction (this includes start-up services and preparation of project performance work plan).

Line 5 - Enter estimated engineering costs, such as surveys, tests, soil borings, etc.

Line 6 - Enter estimated engineering inspection costs.

Line 7 - Enter estimated costs of site preparation and restoration which are not included in the basic construction contract.

Line 9 - Enter estimated cost of the construction contract.

Line 10 - Enter estimated cost of office, shop, laboratory, safety equipment, etc. to be used at the facility, if such costs are not included in the construction contract.

Line 11 - Enter estimated miscellaneous costs.

Line 12 - Total of items 1 through 11.

Line 13 - Enter estimated contingency costs. (Consult the Federal agency for the percentage of the estimated construction cost to use.)

Line 14 - Enter the total of lines 12 and 13.

Line 15 - Enter estimated program income to be earned during the grant period, e.g., salvaged materials, etc.

Line 16 - Subtract line 15 from line 14.

Line 17 - This block is for the computation of the Federal share. Multiply the total allowable project costs from line 16, column "c." by the Federal percentage share (this may be up to 100 percent; consult Federal agency for Federal percentage share) and enter the product on line 17.

**ASSURANCES - CONSTRUCTION PROGRAMS**

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain Federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681 1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

SF-424D (Rev. 7-97) Back

## STATE AND LOCAL CLEARINGHOUSES

Applicants must submit a copy of the first page of Form SF 424 along with a cover letter requesting a review under Executive Order 12372 to both the State Clearinghouse and the appropriate local clearinghouse agency listed below. Federally recognized Indian tribes are exempt from this requirement. Faxed copies are acceptable. Do not send the entire application package.

California State Clearinghouse Governor's Office of Planning and Research P.O. Box 3044 Sacramento, CA 95812 (916) 445-0613 Fax: (916) 323-3018	All Counties in California
Association of Bay Area Governments (ABAG) P.O. Box 2050 Oakland, CA 94604-2050 (510) 464-7900 Fax: (510)468-7970	Alameda, Marin, Santa Clara, Solano, Sonoma, San Mateo, Contra Costa, San Francisco, Napa
Association of Monterey Bay Area Governments (AMBAG) P.O. Box 809 Marina, CA 93933 (831) 883-3750 Fax: (831) 883-3755	Monterey, Santa Cruz, San Benito
Central Sierra Planning Council 53 West Bradford Street Suite 200 Sonora, CA 95370 (209) 532-8768 Fax: (209) 754-2096	Alpine, Amador, Calaveras, Tuolumne
Council of Fresno Co Governments 2100 Tulare Street, Suite 619 Fresno, CA 93721 (559) 233-4148 Fax: (559) 233-9645	Fresno
Humboldt County Association of Governments 427 F Street, Suite 220 Eureka, CA 95501 (707) 444-8208 Fax: (707) 444-8319	Humboldt
Kern Council of Governments Kress Building 1401 19 <sup>th</sup> St Ste 300 Bakersfield, CA 93301 (661) 861-2191 Fax: (661) 324-8215	Kern
Kings Co Association of Government (KCAG) 1400 W Lacey Blvd Bld 6 Hanford, CA 93230 (559) 582-3221, ext. 2670 Fax: (559) 584-8989	Kings
Merced County Association Of Governments (MCAG) 369 W. 18 <sup>th</sup> Street Merced, CA 95340 (209) 723-3153 Fax: (209) 723-0322	Merced

Sacramento Area COG  
3000 S Street Suite 300  
Sacramento, CA 95816  
(916) 457-2264 Fax: (916) 457-3299

Placer, Sacramento, Sutter,  
Yolo, Yuba

San Diego Association  
Of Governments  
401 B St Ste 800  
Wells Fargo Plaza  
San Diego, CA 92101  
(619) 595-5300 Fax: (619) 595-5305

San Diego

San Joaquin County COG  
555 East Weber Avenue  
Stockton, CA 95202  
(209) 468-3913 Fax: (209) 468-1084

San Joaquin

Santa Barbara County  
Association of Governments  
222 E. Anapamu, Suite 11  
Santa Barbara, CA 93110  
(805) 568-2546 Fax: (805) 568-2947

Santa Barbara

Sierra Planning Organization  
560 Wall Street, Suite F  
Auburn, CA 95603  
(530) 823-4703 Fax: (530) 823-4142

Sierra, Nevada, El Dorado,  
Placer

Southern California Association  
Of Governments (SCAG)  
818 West 7<sup>th</sup> St 12th Floor  
Los Angeles, CA 90017  
(213) 236-1800 Fax: (213) 236-1825

Imperial, Orange, Los Angeles,  
San Bernardino, Riverside,  
Ventura

Stanislaus Area Association  
Of Governments (SAAG)  
1025 15<sup>th</sup> Street  
Modesto, CA 95354  
(209) 558-7830 Fax: (209) 558-7833

Stanislaus

Tulare County Association  
Of Governments (TCAG)  
5961 South Mooney Blvd  
Visalia, CA 93277  
(559) 733-6291 Fax: (559) 730-2653

Tulare

**PREAPPLICATION CERTIFICATION FOR  
WATER AND WASTEWATER PROJECTS**

**The undersigned certifies that:**

1. The organization is aware of and in compliance with other Federal statute requirements including but not limited to:
  - a. Section 504 of the Rehabilitation Act of 1973.
  - b. Civil Rights Act of 1964.
  - c. The Americans with Disabilities Act (ADA) of 1990
  - d. Age Discrimination Act of 1975.
  
2. The organization is unable to finance the proposed project from its own resources or through commercial credit at reasonable rates and terms.  
Note: If other lenders were contacted, provide the letter(s) indicating the reasons that such financing cannot be provided.
  
3. The organization has no known relatives or close associates that are current USDA Rural Development employees.
  
4. No outstanding judgment has been obtained and recorded by the United States of America in a Federal Court (other than in the United States Tax Court.)

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Name of Organization

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Signature of Authorized Official

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Date

## FINANCIAL INFORMATION

1. Attach a copy of your most recent annual audit or financial statements (including balance sheet and income statement).
2. Provide the following information for all existing long-term debt (bonds, notes, contracts) on the facility:

Lender: \_\_\_\_\_

Original Principal: \$\_\_\_\_\_ Original Date: \_\_\_\_\_

Current Principal Balance: \$\_\_\_\_\_

Interest Rate: \_\_\_\_\_ Original Term: \_\_\_\_\_

Annual Payment: \$\_\_\_\_\_ (principal and interest)

Lender: \_\_\_\_\_

Original Principal: \$\_\_\_\_\_ Original Date: \_\_\_\_\_

Current Principal Balance: \$\_\_\_\_\_

Interest Rate: \_\_\_\_\_ Original Term: \_\_\_\_\_

Annual Payment: \$\_\_\_\_\_ (principal and interest)

Lender: \_\_\_\_\_

Original Principal: \$\_\_\_\_\_ Original Date: \_\_\_\_\_

Current Principal Balance: \$\_\_\_\_\_

Interest Rate: \_\_\_\_\_ Original Term: \_\_\_\_\_

Annual Payment: \$\_\_\_\_\_ (principal and interest)

## **ORGANIZATIONAL INFORMATION**

- 1. Attach a copy of documents evidencing your organization and indicating the statutory authority under which your agency was formed. Nonprofit organizations should provide a copy of their current By-Laws and Articles of Incorporation (with Secretary of State Reproduction Certification).**
- 2. Attach a copy of a map that shows the boundaries of the proposed service area.**

## **PROJECT NARRATIVE**

**1. Discuss why the facility is needed. Include an accurate description of the existing facilities and proposed improvements (attach pages as necessary).**

**2. If the project is required to meet health and/or sanitary standards imposed by a local, State, or Federal regulatory Agency, discuss the specific standard/violations that will be corrected by the proposed project (If available, attach pages as necessary, including any regulatory Agency correspondence).**

## **LOAN SECURITY**

Indicate the type of debt instrument that will be offered as security for the loan:

### **Public Bodies:**

- General Obligation Bond**
- Revenue Bond**
- Special Assessment Bond**
- Certificates of Participation (COP)**

### **Nonprofits:**

- Real Estate Mortgage**
- Promissory Note**
- UCC Financing Statement**
- Assignment of Income**
- Other**

### **Comments:**

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## USER INFORMATION

### SERVICE CONNECTIONS

Number of existing single-family residential connections \_\_\_\_\_

Number of existing multi-family residential connections \_\_\_\_\_

Number of residences served by the multi-family connections \_\_\_\_\_

Number of commercial, industrial, and other connections \_\_\_\_\_

Number of additional connections possible after project completion:

Residential \_\_\_\_\_

Commercial \_\_\_\_\_

Other \_\_\_\_\_

### EQUIVALENT DWELLING UNIT (EDU) CALCULATION

An Equivalent Dwelling Unit (EDU) is defined as the level of service provided to a typical rural residential dwelling per year. Using the example below, calculate the number of EDUs that the project serves by the type of user. Wastewater systems can base EDU's on sewage flows or historical water data.

<u>User Type</u>	<u>Annual Usage</u>	<u># of Users</u>	<u>Average Usage</u>	<u>No. of EDUs</u>
Residential	_____	_____	_____	_____
Commercial	_____	_____	_____	_____
Industrial	_____	_____	_____	_____
Other	_____	_____	_____	_____
TOTALS	_____	_____	N/A	_____

### EXAMPLE

<u>User Type</u>	<u>Annual Usage</u>	<u># of Users</u>	<u>Average Usage</u>	<u>No. of EDUs</u>
Residential	182.30 MG	1,575 ÷	<b>.1158 MG</b> =	1,575
Commercial	16.02 MG	100 ÷	.1602 MG =	138
Industrial	32.05 MG	37 ÷	.8663 MG =	277
<b>TOTAL</b>	<b>230.37MG</b>	÷	<b> [.1158 MG] =</b>	<b>1,990</b>

In the above example, 182.30 Million gallons (MG) annual usage divided by 1,575 residential users equals .1158 MG, which is the project's EDU factor. Then commercial and industrial annual usage are divided by the .1158 factor to determine the equivalent usages.

Using the above data, calculate the total EDU's as follows:

**230.37 (Total Annual Usage) divided by .1158 (EDU factor) = 1,990 Total EDUs**

## RATE STRUCTURE

1. Attach a copy of your current rate structure or ordinance showing your user charges.
2. Using the EDU data calculated on the previous page, determine the average monthly charge per EDU (divide the total usage by the total number of EDUs). Apply your rate (see example below) to arrive at:

The estimated average monthly charge per EDU        \$ \_\_\_\_\_

Show your calculations below or attach a separate sheet.

### EXAMPLE:

As shown in the example on page 17, the total annual water consumption is 230,370,000 gallons. If your rate structure charges customers based on cubic feet (c.f.), divide by 7.48 to convert to 30,798,128 c.f. Divide by the total number of EDUs (1,990) to find the c.f. per year per EDU (15,476). Divided by 12 will be 1,290 c.f. per month per EDU. Apply the 1,290 c.f. to your rate schedule to determine the average monthly charge per EDU. If the first 1,000 c.f. costs \$20.00 and the next 500 c.f. costs and additional \$1.50 per 100 c.f., then the calculation would be \$20.00 plus \$4.35 (2.90 X \$1.50) equals \$24.35.

## **USDA - RURAL DEVELOPMENT OFFICES**

Contact these key USDA-RD staff in your area for assistance in completing a Water and Wastewater Program application.

### **NORTHERN CALIFORNIA**

Lassen, Modoc, Plumas, Glenn,  
Shasta, Tehama, Trinity Counties  
Mike Colbert - Alturas  
(530) 233-8860

Del Norte, Humboldt Counties  
Debbie Coggins - Eureka  
(707) 443-6714 ext.107

Siskiyou County  
Kevin DeMers - Yreka  
(530) 842-6123 ext.112

Butte, Colusa, Sutter, Yolo, Yuba  
Counties  
Paulette Waugh - Oroville  
(530) 533-4401 ext.111

Santa Clara, Santa Cruz, Sonoma,  
Alameda, Lake, Marin, Mendocino,  
Monterey, Napa, San Benito, San  
Mateo Counties  
Al Aiello - Santa Rosa  
(707) 526-6797

### **CENTRAL CALIFORNIA**

Alpine, Amador, Calaveras, Contra  
Costa, Mono, San Joaquin Counties  
Frank Risso - Elk Grove  
(916) 425-4768

El Dorado, Nevada, Placer,  
Sacramento, Sierra, Solano Counties  
Doug Colucci - Elk Grove  
(916) 714-1104 ext.106

Madera, Mariposa, Merced, Stanislaus,  
Tuolumne Counties  
Jose Guardado - Merced  
(209) 538-3783

Fresno County  
Sally Tripp - Fresno  
(559) 276-7494 ext.132

Tulare, Kings County  
Lisa Butler - Visalia  
(559) 734-8732 ext.103

Kern, Inyo Counties  
Dan Johnson - Bakersfield  
(661) 336-0967 ext.127

### **SOUTHERN CALIFORNIA**

San Luis Obispo, Santa Barbara,  
Ventura Counties  
Al Correale - Santa Maria  
(805) 928-9269 ext.119

Riverside, Orange, Los Angeles, San  
Bernardino Counties  
Charlie Boone - Indio  
(760) 342-4624 ext.120

Imperial, San Diego Counties  
Daniel Cardona - El Centro  
(760) 352-4418 ext.107

### **STATE OFFICE - DAVIS, CA**

Janice L. Waddell  
Community Programs Director  
(530) 792-5810

Anita Lopez  
Community Programs Coordinator  
(530) 792-5822

Pete Yribarren  
Community Programs Coordinator  
(559) 734-8732 Ext. 108

Dave Hartwell  
Community Programs Coordinator  
(530) 792-5817