



Pre-Planning and Legal Entity Formation Assistance Program

California Department of Public Health (CDPH)
Division of Drinking Water and Environmental
Management



Background

- CDPH provides funding for public water systems to correct and upgrade drinking water infrastructure
- A Public Water System (PWS) is a water system serving more than 15 service connections, or more than 25 people more than 60 days per year
- Infrastructure includes wells, pumps, storage tanks, treatment facilities, surface water intakes, pipes, and other components of a water system up to and including the service connection or water meter



Safe Drinking Water State Revolving Fund (SDWSRF)

- Federal and State funds provide grants and low interest loans to PWS
- Planning Application
 - Project evaluation
 - Plans & specifications
 - Environmental documentation
- Construction Application



Purpose of Pre-Planning

- Potential applicants include PWS that are not eligible for SDWSRF funds due to the lack of a legal entity
- Pre-Planning funds will assist communities in forming a legal entity eligible for funding through SDWSRF to solve an existing drinking water quality or quantity public health problem
- The Pre-Planning program does not bind an affected community to a subsequent construction project



Pre-Planning Funding Model

- Eligible applicants apply on behalf of an affected community
- CDPH enters into a funding agreement with the eligible applicant
- Eligible applicant works or hires consultants to establish a legal entity for the affected community
- Funding is provided through a reimbursement process



Eligible Applicants

Public entities with authority to apply for SDWSRF funds on behalf of affected communities:

City	County
Special District	Local Agency Formation Commission (LAFCo)
Existing PWS	Public Colleges/Universities
Non-Profit Organization	Joint Powers Authority



Grant Limitations

- \$1.7 million available in this pilot solicitation
- Maximum grant amount per defined community per application is \$250,000
- A single applicant may submit separate applications for multiple distinct affected communities
- Cumulative funding for the same affected community will be limited to \$1,000,000
- Applicants may apply for multiple grants for assistance to an affected community over multiple years
- Receipt of funding in one year does not guarantee future Pre-Planning or SDWSRF funding



Eligible Components

- Study to identify and evaluate options for forming a legal entity
- Identification of affected geographic area
- Public outreach
- LAFCo costs
- Legal services
- Work plan management/administration
- Limited water quality testing



Ineligible Components

- Preliminary/Final planning, design, and construction activities
- Operation and maintenance costs
- Purchased water
- Equipment
- Routine water quality sampling/monitoring
- Connection fees



More Ineligible Components

Pre-Planning projects do not include the following activities which are reimbursable through the SDWSRF program:

- In-depth analyses of solutions to the public health problem
- Engineering studies
- Hydrogeological reports
- Preliminary designs
- Preparation of plans and specifications
- Construction activities



Application Highlights

- Part A – Work Plan
 - Identify water source
 - Document health problem
 - Project purpose/outcomes
 - Community support/public outreach
 - Staff and professional resources
 - Identification of proposed/appropriate legal entity

- Part B – Task Outline



Public Health Risk Categories

Category	Description
A	Documented waterborne disease outbreaks; court orders for repair
B	Microbial contamination
C	Unfiltered surface water; wells with fecal contamination.
D	Surface Water Treatment violations including open reservoirs
E	Water outages (includes severe source-transmission deficit)
F	Nitrate - perchlorate contamination; chronic Total Coliform Rule violation
G	Distributed water exceeds chemical or radiological MCL



Public Health Risk Categories

Category	Description
H	Non-rigid covered reservoirs; meters (for unmetered systems)
I	Cryptosporidium Action Plan
J	Sewage threats
K	Disinfection
L	Action level; future MCL; standby source; chronic Iron/Manganese
M	Other Waterworks Standards; Technical, Managerial or Financial (TMF) deficiencies
N	Other Secondary Standards
O	Other deficiencies



Application Ranking

Ranking Criteria	Total Possible Points
Readiness to Proceed	10
Community Support	15
Work Plan Content	35
Cost and Qualifications	25
Public Health Problem	15



Application Award Process

- Applications are due November 8, 2013
- CDPH will rank the applications and make notice of award approximately 30 days from posting the scores
- Work Plan activities should begin within 30 days from Funding agreement execution
- Only completed applications will be reviewed



Questions?

[http://www.cdph.ca.gov/services/funding/
Pages/Pre-Planning.aspx](http://www.cdph.ca.gov/services/funding/Pages/Pre-Planning.aspx)



Application Submission

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Region I

Alpine, Butte, Colusa, Del Norte, El Dorado,
Glenn, Humboldt, Lassen, Modoc, Nevada,
Placer, Plumas, Sacramento, Shasta, Sierra,
Siskiyou, Sutter, Tehama, Trinity, Yolo, Yuba

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Region II

Alameda, Contra Costa, Lake, Marin,
Mendocino, Monterey, Napa, San Benito,
San Francisco, San Mateo, Santa Clara,
Santa Cruz, Solano, Sonoma

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Region III

Amador, Calaveras, Fresno, Kern, Kings,
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Region IV

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Region V

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