

## **EXPEDITED DRINKING WATER GRANT (EDWG) REQUEST FOR FINAL BUDGET APPROVAL (FBA) FORM**

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This form and its attachments must be submitted to the State Water Board Division of Financial Assistance (Division) and the Division must provide written approval of the FBA package before the Recipient may award/sign a construction contract to a contractor and issue a notice to proceed for construction. Failure to receive Division approval of the FBA form, either via letter or formal funding agreement amendment, may result in the construction work being ineligible for reimbursement.

This form requires Recipients to formally notify the Division that a contractor has been selected, demonstrate that the bid process was properly conducted, and to request any adjustments to the funding agreement to account for the selected bid. **The EDWG Request for FBA Form and the applicable attachments should be submitted as soon as possible after bid opening to ensure all applicable requirements are met before the construction contract is awarded.** The EDWG Request for FBA Form and attachments should be submitted electronically through the Financial Assistance Application Submittal Tool (FAAST) or by email to streamline the submittal and review process. If electronic submittal creates a hardship, a hard copy can be submitted.

- 1.) Submit via the FAAST: <https://faast.waterboards.ca.gov>

If you need assistance, you can contact the FAAST Help Desk at 1-866-434-1083 or [FAAST\\_ADMIN@waterboards.ca.gov](mailto:FAAST_ADMIN@waterboards.ca.gov).

- 2.) To submit via email, please email the assigned Project Manager (PM) with a copy to the PM's supervisor. Please contact the assigned PM for their supervisor's email address if it is not known.
- 3.) To submit via mail, please use the following address:

**Attention: [Project Manager's Name], 16<sup>th</sup> Floor  
State Water Resources Control Board  
Division of Financial Assistance  
P.O. Box 944212  
Sacramento, CA 94244-2120**

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## **EDWG Request for FBA Form Instructions**

### **Section I – General Information**

1. **Recipient Name** – Enter the entity that is the legal signatory to the grant agreement.
2. **State Assigned Project Number** – Enter the Recipient’s assigned project number that appears on the grant agreement.

### **Section II – Pre-Construction Requirements**

1. **Have there been any material changes to the Recipient’s financial condition or to the [Self-Certification Form](#) information since the Recipient submitted its Bid Solicitation Approval Form to the State Water Board?** Material changes may include, but are not limited to, securing a new debt/loan; recently being involved in litigation, investigation, or enforcement actions; recently operating in a deficit; rate protest or rate litigation; recent or pending sale of assets; change of ownership, management, or operation; significant disagreement in the community about the project; etc. Please discuss any factors that were not previously disclosed to the State Water Board, as well as any factors that have arisen since the execution of the EDWG grant agreement, that affect the Recipient’s financial or management capacity or the Recipient’s ability to complete, operate, and maintain the project.
2. **Conditions Precedent to Construction and Reimbursement of Eligible Costs** – If the grant agreement includes conditions that must be met prior to construction contract award, commencement of construction, or related to submission of construction cost reimbursement requests, verify that you have met these conditions and attach copies of documents that verify meeting the conditions as Attachment G (see section VI). Conditions may include, but are not limited to any Property Rights and Water Rights conditions, Technical, Environmental, and Financial special conditions, and Special Compliance Conditions in Exhibit D of the grant agreement or any conditions required by the Division in its bid solicitation approval letter. If conditions have not been met, explain. If there are no such conditions, mark N/A and continue to the next question.
3. **Is the Recipient requesting a change to the project scope?** – If yes, explain. An amendment to the grant agreement would be required to change the scope of work in the grant agreement. If the Recipient is requesting a change to the scope of work, please answer the California Environmental Quality Act (CEQA) questions.

### **Section III – Project Bidding and Award**

1. **Anticipated Construction Contract Dates** – Provide the anticipated construction start and completion dates.
2. **California Department of Industrial Relations (DIR)** – If the Project will be completed via contractor, provide the DIR Project Identification number:  
[https://services.dir.ca.gov/gsp?id=dir\\_projects&table=x\\_cdoi2\\_csm\\_portal\\_project](https://services.dir.ca.gov/gsp?id=dir_projects&table=x_cdoi2_csm_portal_project)? The Recipient must monitor all agreements subject to reimbursement from this Agreement to ensure that the applicable prevailing wage provisions of the State Labor Code are being met.
3. **Bid Protest information** – Indicate whether any protests have been filed regarding award of the construction contract(s). If any protests were received, provide the date that the protests

were resolved, attach copies of the protests, and explain how the protests were resolved. If no protests were received, continue to the next question.

4. **Contractor Debarred/Disqualified** – Verify that the selected contractor(s) is not debarred or disqualified from participating in the State Water Board’s funding programs. Debarred/Disqualified lists can be found at:

California State Water Resources Control Board:

[https://www.waterboards.ca.gov/water\\_issues/programs/enforcement/fwa/dbp.html](https://www.waterboards.ca.gov/water_issues/programs/enforcement/fwa/dbp.html)

California Department of Industrial Relations:

<https://www.dir.ca.gov/dlse/debar.html>

California Department of General Services:

<https://www.dgs.ca.gov/PD/Resources/Page-Content/Procurement-Division-Resources-List-Folder/SB-DVBE-Program-Violations-and-Sanctions>

## Section IV – Project Budget

**Project Budget Table** – Complete the Project Budget table for both columns to indicate the Project Costs for each budget item and Requested EDWG Funding for each budget item. The Project Costs column should reflect the actual costs of the project. The Requested EDWG Funding column should reflect the total requested funding from the Division. Any funding that is not being requested from the Division will be reflected in Section V.

- A. Construction** – Identify the selected contractor(s). If the project has multiple phases that will require multiple contractors, please list the future contractor(s) as “To Be Determined” and an estimated cost for the additional **phases**, if applicable.
- B. Pre-purchase Material/Equipment**
- C. Real Property / Easement Acquisition**
- D. Change Order Contingency** – The amount is a percentage of the Total Project Cost that may be used for construction Change Orders. The amount is subject to any applicable limits in the Drinking Water State Revolving Fund (DWSRF) Policy or DWSRF Intended Use Plan.
- E. Force Account**
- F. Allowances (Soft Costs)**
- G. Additional Cost Item** – If there are any costs that do not fit within the allowances (soft costs) line item, please reach out to the PM on how to best reflect these items in the FBA.
- H. Total Project Costs / Total Requested EDWG Funding** – This should be the sum of the budget items (A-G) for each column.
- I. Conditional Costs** – The Conditional Costs line item cannot exceed 30% of the Total Project Cost. The Conditional Costs line item is for increased and unforeseen project costs. Conditional Costs are only eligible for reimbursement if they (1) are consistent with the approved scope of work, (2) are determined to be reasonable and necessary, and (3) receive the Division’s written approval. In the space provided, please describe any changes to the Conditional Costs you are requesting to be approved at this time, including shifting funds to another line item (A – G) and/or increasing this budget.

Explain:

During the time of the FBA, the remaining balance of the Conditional Costs line item may be disencumbered at the Division's discretion.

- J. Budget Totals** – These boxes should show the sum of the Total Project Costs / Total Requested EDWG Funding (line item H) and Conditional Costs (line item I).

### Section V – Total Project Financing Summary

**Financing Source Summary Table** – Complete the Financing Source Summary table to show the funding sources for your project.

*EDWG Funding (Items A and B)* – should include any project financing that has been provided and is being requested from the Division.

- A. Approved EDWG Grant Amount** – This is the EDWG grant amount that is listed in the executed financing agreement.
- B. Requested Additional EDWG Grant Amount** – This is the amount of additional EDWG grant funds that are needed to cover the increase in the project cost (if applicable). Additional funding above the amount of the EDWG grant agreement is not guaranteed, is subject to Division review and approval, and is not available without an amendment to the grant agreement.
- C. Total Requested EDWG Grant Amount** – This is the total amount of EDWG grant requested for the project. Calculate the amount by adding A and B above.

*Other Funding Sources (Items D and E)* – should include any project financing not provided by the Division.

- D. Cash** – Recipient cash used to cover any project costs.
- E. Other Funds** – List the amounts for any other sources of funds for the project and identify the sources of the funds. (This may include grant or loan financing from other state or federal agencies USDA, WIFIA, etc., the proceeds from a bond sale, and other short or long-term loans or notes.) List the amount of the source in the “Secured” (i.e., funds have been received) or “Pending” column to indicate whether each source of funds has been secured.
- F. Total Other Funding Sources** – This is the total amount of the other funding sources (i.e., not provided by the Division) that will be used by the Recipient to cover the costs of the Project. Calculate total other funding by adding D and E above.
- G. Total Financing Sources** – The Total Financing Sources can be calculated by adding lines C (Total Requested EDWG Grant Amount) and F (Total Other Funding Sources). The Total Financing Sources must match the Total Project Costs from Section IV of the FBA Form.

## **Section VI – Attachment Checklist**

The following items should be provided with the FBA Form. If an item is not submitted with the FBA Form, please indicate in the space provided when you anticipate submitting it. If any items are not applicable, check the appropriate box.

- A. Bid Protests and Resolutions** – If applicable, provide all documentation for any bid protests received and the resolution for each.
- B. Final Plans & Specifications** – Provide all addenda or other changes to the Plans & Specifications (P&S) submitted with the Bid Solicitation Approval request. Must be stamped by a registered engineer in good standing.
- C. Tabulation of bids/proposals** – Provide a tabulation of all bids or proposals received for the project.
- D. Copy of selected bid/proposal** – Provide a copy of the bid(s) or proposal(s) selected. If the apparent low bid or proposal was rejected, explain why it was rejected.
- E. Schedule of Values or Bid Items** – Provide a copy of the Schedule of Values or Bid Items prepared for the project.
- F. Evidence of Advertising** – Submit a copy of all advertisements issued for the project.
- G. Any items required by grant agreement conditions** – If applicable, provide any additional documentation required by the Special Conditions of the grant agreement (see item I.3).

## **Certification and Signature of Authorized Representative**

- ✓ Review the certification and ensure that the EDWG Request for FBA form is accurate.
- ✓ Print the name and title of the authorized representative.
- ✓ Sign and date the FBA Form.

## EDWG Request for FBA Form

### I. GENERAL INFORMATION

1. Recipient Name:

2. State Assigned Project Number:

### II. PRE-CONSTRUCTION REQUIREMENTS

1. Have there been any material changes to the Recipient's financial condition or to the Self-Certification Form information since the Recipient submitted its Bid Solicitation Approval Form to the State Water Board?

Yes, describe below     No, attach previously submitted Self-Certification Form

2. Have the condition(s) of the grant agreement and the EDWG Bid Approval Letter that must be met prior to award of the construction contract, commencement of construction, or/and prior to/together with the submission of reimbursement requests for construction costs been satisfied (if applicable)?

Yes    No    NA

If yes, attach any document(s) required to demonstrate compliance with special condition(s) as Attachment G (see section VI). If no, explain.

3. Is the Recipient requesting a change to the project's scope outlined in Exhibit A of the grant agreement?  Yes     No

If Yes, is the revised scope outside the scope of the existing CEQA document?  Yes    No    N/A

If Yes, has an addendum or other subsequent or supplemental CEQA document been submitted to the Division for review?  Yes    No    N/A

Note: Changes to the scope of work may necessitate an agreement amendment which will delay EDWG FBA approval.

### III. PROJECT BIDDING AND AWARD

1. Dates

Anticipated Construction Contract Dates:

Start Construction: \_\_\_\_\_

Completion of Construction Date: \_\_\_\_\_

2. Is the Recipient registered as an awarding body with California Department of Industrial Relations (DIR)?

Yes, DIR Project Identification # \_\_\_\_\_  
 No, Force Account

3. Have any protests regarding award of the construction contract(s) been received?  Yes  No  
 If yes, date protests were resolved: \_\_\_\_\_ Attach copies of the protests and explain how the protests were resolved. Note: All protests must be resolved before submittal of this form.

4. Is the selected Contractor Debarred or Disqualified from funding participation?  Yes  No

**IV. PROJECT BUDGET**

BUDGET ITEMS	Project Costs	Requested EDWG Funding
A. Construction (listed by name of prime contractor or vendor):		
1.	\$	\$
2.	\$	\$
B. Pre-Purchase Material / Equipment	\$	\$
C. Real Property / Easement Acquisition	\$	\$
D. Change Order Contingency	\$	\$
E. Force Account	\$	\$
F. Allowances (Soft Costs)	\$	\$
G. Additional Cost Item	\$	\$
<b>H. Total Project Costs / Total Requested EDWG Funding</b>	\$	\$
I. Conditional Costs	----- N/A -----	\$
J. Budget Totals	\$	\$

<b>V. TOTAL PROJECT FINANCING SUMMARY</b>			
FINANCING SOURCE SUMMARY			<b>Total Project Financing</b>
EDWG Funding			
A. Approved EDWG Amount			\$
B. Requested Additional EDWG Amount			\$
C. Total Requested EDWG Grant Amount (A+B)			\$
Other Funding Sources			
D. Cash			\$
E. Other Funds. Identify each source and its status:			\$
Source	Secured	Pending	Funding Source Total
	\$	\$	\$
	\$	\$	\$
F. Total Other Funding Sources (add D and E):			\$
G. Total Financing Sources (add C and F):			\$

**VI. ATTACHMENT CHECKLIST**

Check the box next to each of the following items attached to your EDWG Request for FBA Form. If an item is not attached when you submit the form, please indicate in the space provided below when you anticipate submitting it.

- A – Bid protests and resolution documentation  N/A – no bid protests were received.
- B – Final Plans & Specifications (P&S) stamped by a Professional Engineer and all Addenda
- C – Tabulation of all bids or proposals received
- D – Copy of bid(s) or proposal(s) selected and purchase orders issued. If the apparent low bid or proposal was rejected, provide a complete explanation for the rejection.
- E – Copy of Schedule of Values or Bid Items prepared for the project  N/A
- F – Evidence of advertising (submit copies of all advertisements for the project)
- G – Any items required by grant agreement conditions (see question II.2)

Comments:



**CERTIFICATION AND SIGNATURE OF AUTHORIZED REPRESENTATIVE**

The undersigned Authorized Representative of the Recipient certifies that the information contained above and in the attached documents and material in support thereof are true and correct. In addition, the undersigned Authorized Representative of the Recipient certifies that the Recipient has complied, and will comply, with all applicable laws, regulations, and any other applicable requirements, including but not limited to all terms and conditions of the EDWG grant agreement.

Name of Authorized Representative:

Title:

Signature of Authorized Representative:

Date: