



Training for Technical Assistance Providers Series

DWSRF Environmental Packages

Planning + Construction

May 2, 2024



Today's Roadmap

- State Water Board environmental contacts and resources
- General recommendations for TA Providers
- What are the Environmental Packages
- Environmental Package (Planning)
- Environmental Package (Construction)
 - Tier I
 - CEQA documents and processes
 - Federal cross-cutters
 - Tier II



Ask questions!

- There will be time for questions:
 - After the Planning Environmental Package discussion
 - After the CEQA discussion
 - At the end of the presentation

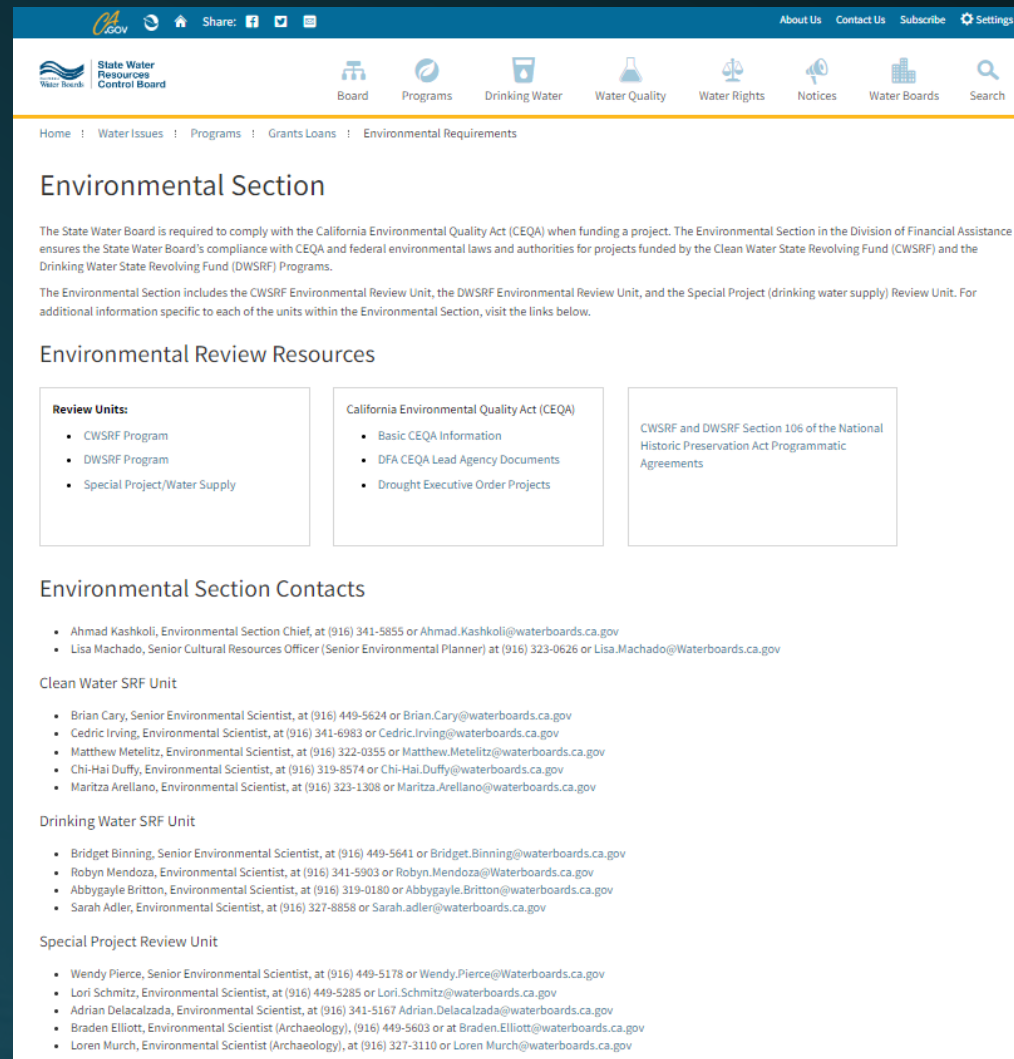
Presenter/Contact Information

- Bridget Binning, Senior Environmental Scientist – DWSRF Unit
 - bridget.binning@waterboards.ca.gov
 - (916) 449-5641
- Abbygayle Guevara, Environmental Scientist – DWSRF Unit
 - abbygayle.guevara@waterboards.ca.gov
 - (916) 319-0180
- Robyn Mendoza Environmental Scientist – DWSRF Unit
 - robyn.mendoza@waterboards.ca.gov
 - (916) 341-5903
- Lisa Machado, Sr. Environmental Planner – Senior Cultural Resources Officer
 - lisa.machado@waterboards.ca.gov
 - (916) 323-0626

Environmental Section

website: https://www.waterboards.ca.gov/water_issues/programs/grants_loans/environmental_requirements.html

Environmental Section Website



The screenshot shows the website for the Environmental Section of the State Water Resources Control Board. The page features a blue header with navigation links and a main content area with a white background. The content includes a breadcrumb trail, a title for the Environmental Section, a paragraph explaining the board's compliance requirements, a list of review units, and contact information for various staff members.

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Board Programs Drinking Water Water Quality Water Rights Notices Water Boards Search

Home : Water Issues : Programs : Grants/Loans : Environmental Requirements

Environmental Section

The State Water Board is required to comply with the California Environmental Quality Act (CEQA) when funding a project. The Environmental Section in the Division of Financial Assistance ensures the State Water Board's compliance with CEQA and federal environmental laws and authorities for projects funded by the Clean Water State Revolving Fund (CWSRF) and the Drinking Water State Revolving Fund (DWSRF) Programs.

The Environmental Section includes the CWSRF Environmental Review Unit, the DWSRF Environmental Review Unit, and the Special Project (drinking water supply) Review Unit. For additional information specific to each of the units within the Environmental Section, visit the links below.

Environmental Review Resources

Review Units: <ul style="list-style-type: none">CWSRF ProgramDWSRF ProgramSpecial Project/Water Supply	California Environmental Quality Act (CEQA) <ul style="list-style-type: none">Basic CEQA InformationDFA CEQA Lead Agency DocumentsDrought Executive Order Projects	CWSRF and DWSRF Section 106 of the National Historic Preservation Act Programmatic Agreements
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Environmental Section Contacts

- Ahmad Kashkoli, Environmental Section Chief, at (916) 341-5855 or Ahmad.Kashkoli@waterboards.ca.gov
- Lisa Machado, Senior Cultural Resources Officer (Senior Environmental Planner) at (916) 323-0626 or Lisa.Machado@Waterboards.ca.gov

Clean Water SRF Unit

- Brian Cary, Senior Environmental Scientist, at (916) 449-5624 or Brian.Cary@waterboards.ca.gov
- Cedric Irving, Environmental Scientist, at (916) 341-6983 or Cedric.Irving@waterboards.ca.gov
- Matthew Metelitz, Environmental Scientist, at (916) 322-0355 or Matthew.Metelitz@waterboards.ca.gov
- Chi-Hai Duffy, Environmental Scientist, at (916) 319-8574 or Chi-Hai.Duffy@waterboards.ca.gov
- Maritza Arellano, Environmental Scientist, at (916) 323-1308 or Maritza.Arellano@waterboards.ca.gov

Drinking Water SRF Unit

- Bridget Binning, Senior Environmental Scientist, at (916) 449-5641 or Bridget.Binning@waterboards.ca.gov
- Robyn Mendoza, Environmental Scientist, at (916) 341-5903 or Robyn.Mendoza@Waterboards.ca.gov
- Abbygayle Britton, Environmental Scientist, at (916) 319-0180 or Abbygayle.Britton@waterboards.ca.gov
- Sarah Adler, Environmental Scientist, at (916) 327-8858 or Sarah.adler@waterboards.ca.gov

Special Project Review Unit

- Wendy Pierce, Senior Environmental Scientist, at (916) 449-5178 or Wendy.Pierce@Waterboards.ca.gov
- Lori Schmitz, Environmental Scientist, at (916) 449-5285 or Lori.Schmitz@waterboards.ca.gov
- Adrian Delacruz, Environmental Scientist, at (916) 341-5167 or Adrian.Delacruz@waterboards.ca.gov
- Braden Elliott, Environmental Scientist (Archaeology), (916) 449-5603 or Braden.Elliott@waterboards.ca.gov
- Loren Murch, Environmental Scientist (Archaeology), at (916) 327-3110 or Loren.Murch@waterboards.ca.gov



General Recommendations

- Coordinate often between:
 - State Water Board staff and environmental consultants
 - Environmental consultants and project engineers
 - TA provider and Grant Manager
- Have environmental consultant complete Environmental Package
 - Especially for construction
 - Most information in the Environmental Package will be touched on in environmental documents prepared by the consultant



The Environmental Package

- Environmental Package is the environmental portion of a funding application
- 3 Types:
 - Planning
 - Construction
 - Tier I
 - Tier II
- DWSRF: https://www.waterboards.ca.gov/drinking_water/services/funding/SRFForms.html



Environmental Package (Planning)



Environmental Package for Planning

- Complete Environmental Package requires:
 - Environmental Package (Planning)
 - Notice of Exemption (NOE) or CEQA Document for planning project
 - Project map (if available)

Environmental Package for Planning

Environmental Planning Application

Applicant (Entity) Name:

Project Title:

Project Number:

Contact Person:

Phone:

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 (Cal. Code Regs. title 14, article 18, section 15262)
- Categorical Exemption (if project includes pilot studies, test wells, grading, boreholes, etc.) Class 6, Information Collection (Cal. Code Regs. 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 (e.g., wildlife refuge, deer wintering range) |
| 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:



Environmental Package for Planning

- Pages 1 - 2 are instructions
- Purpose is to provide information about the planning project activities
- If information is known about the construction project that is okay to include
- If you are not sure about any questions, or the answer is not known, write that in the "Explain" section

Environmental Package for Planning

STATE OF CALIFORNIA
STATE WATER RESOURCES CONTROL BOARD
Division of Financial Assistance
P. O. Box 944212, Sacramento, CA 94244-2120

FINANCIAL ASSISTANCE APPLICATION
Drinking Water State Revolving Fund

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).

Yes	No	
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:

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STATE OF CALIFORNIA
STATE WATER RESOURCES CONTROL BOARD
Division of Financial Assistance
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FINANCIAL ASSISTANCE APPLICATION
Drinking Water State Revolving Fund

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 Assistance Application (REV. 01/2020) Page 7 of 7 Environmental Package (Planning) Drinking Water State Revolving Fund



Environmental Package for Planning

- If the applicant is a private entity a CEQA lead agency must be determined
 - Note: It should not be assumed that the State Water Board is the CEQA Lead
 - Contact the State Water Board; often the State Water Board will be CEQA lead for planning projects
 - If the State Water Board is the CEQA lead agency an NOE will not be included as part of the Environmental Package



Federal Environmental Requirements in Planning

- Most planning projects don't involve ground disturbing activities and will not trigger federal environmental requirements or require federal consultations.
- If a Tier I planning project involves construction activities or exploratory investigations, related to ground disturbing activities, the appropriate environmental documents demonstrating compliance with the state and federal requirements must be prepared and the requisite consultations must be conducted prior to start of the project activities .

Special Conditions

- Special environmental conditions may be included in the financing agreement if the Scope of Work includes the development of environmental documents for the construction project.
- These special environmental conditions may, include, but are not limited to:
 - Preparation of a biological resources assessment and submittal of that document to the Environmental Review Staff.
 - Preparation of a cultural resources assessment including evaluation of historic properties and submittal of that document to the Environmental Review Staff.
 - Preparation of a CEQA document for public comment and review.
 - Test well drilling, if location is not known, the State Water Board needs to be notified.



Questions?



Environmental Package (Construction)



Environmental Package for Construction Presentation Roadmap

- Tier I
- I. General Information
- II. California Environmental Quality Act (CEQA) Status
- III. CEQA Exemption Information
- CEQA documents, CEQA process, State Water Board lead agency process
- Questions
- IV. Evaluation Section for Federal Environmental Coordination
- Attachments
- Tier II



Environmental Package for Construction Presentation Roadmap

- Tier I
- I. General Information
- II. California Environmental Quality Act (CEQA)
- III. CEQA Exemption Information
- CEQA documents, CEQA process, State Water Board lead agency process
- Questions
- IV. Federal Environmental Requirements and Documentation
- Attachments
- Tier II



Tier I

- Complete Environmental Package requires:
 - Environmental Package (Construction- Tier I)
 - NOE or CEQA Document for construction project
 - Filed or circulated at Office of Planning and Research, State Clearinghouse and County Clerk
 - Biological Report
 - Cultural Report
 - Air Quality Analysis



Tier I

- Pages 1 – 14 are instructions
- 4 main sections in the Environmental Package:
 - I. General Information
 - II. California Environmental Quality Act (CEQA)
 - III. CEQA Exemption Information
 - IV. Federal Environmental Requirements and Documentation



Environmental Package for Construction Presentation Roadmap

- Tier I
- I. General Information
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- Tier II

I. General Information

- Project Title:
 - Should match the environmental document and the rest of the project application
- Environmental Contact Person:
 - Applicant or consultant
 - Who the State Water Board should coordinate with on environmental questions or issues
- Accurate project description

DRINKING WATER ENVIRONMENTAL PACKAGE (CONSTRUCTION – TIER I)

I. GENERAL INFORMATION
Applicant (entity) name:
Project title:
Environmental documents prepared by (e.g., consultant, city, etc.):
Environmental contact (e.g., consultant, city, or county staff, etc.):
Contact email:
Contact phone:
Project description:
List and describe all environmental permits, approvals, and/or certifications required for the project:
II. CALIFORNIA ENVIRONMENTAL QUALITY ACT (CEQA)
Title of CEQA document:
CEQA lead agency:
If no public agencies have discretionary approval over the project other than the State Water Resources Control Board, contact the Division of Financial Assistance prior to development of any CEQA documentation (please see the Environmental Package Instructions above for additional information).
Office of Planning and Research (OPR), State Clearinghouse (SCH) number:



Environmental Package for Construction Presentation Roadmap

- Tier I
- I. General Information
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- Tier II

II. California Environmental Quality Act (CEQA)

- CEQA Document:
 - Title of CEQA document
 - SCH Number
- Lead Agency
 - If requesting SWRCB to be CEQA lead, please contact DFA as soon as possible and before the development of any CEQA document.

STATE OF CALIFORNIA
STATE WATER RESOURCES CONTROL BOARD
Division of Financial Assistance
P. O. Box 944212, Sacramento, CA 94244-2120

FINANCIAL ASSISTANCE APPLICATION
Drinking Water State Revolving Fund

**DRINKING WATER ENVIRONMENTAL PACKAGE
(CONSTRUCTION – TIER I)**

I. GENERAL INFORMATION
Applicant (entity) name:
Project title:
Environmental documents prepared by (e.g., consultant, city, etc.): Environmental contact (e.g., consultant, city, or county staff, etc.): Contact email: Contact phone:
Project description:
List and describe all environmental permits, approvals, and/or certifications required for the project:
II. CALIFORNIA ENVIRONMENTAL QUALITY ACT (CEQA)
Title of CEQA document: CEQA lead agency: If no public agencies have discretionary approval over the project other than the State Water Resources Control Board, contact the Division of Financial Assistance prior to development of any CEQA documentation (please see the Environmental Package Instructions above for additional information). Office of Planning and Research (OPR), State Clearinghouse (SCH) number:

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II. California Environmental Quality Act (CEQA)

- CEQA Checklist
 - Provide applicable documents as attachments
- Environmental consultant should be able to assist with providing these attachments
- CEQA must be complete for financing agreement

Complete the appropriate CEQA checklist(s) below and provide any applicable documents as attachments to the Environmental Package.

CEQA Exemption

Required documents:

- Notice of Exemption (NOE) filed with the local County Clerk - **date filed:**
- NOE filed with the OPR, SCH - **date filed:**
- Supporting documentation for categorical exemptions (if applicable)

Initial Study/Negative Declaration (IS/ND)

Required documents:

- Draft IS/ND circulated through the OPR, SCH
- Comments received on circulated IS/ND
- Responses to comments (if applicable)
- Final IS/ND adopted by the CEQA lead agency
- Resolution/meeting minutes adopting IS/ND - **date adopted:**
- Notice of Determination (NOD) filed with the local County Clerk - **date filed:**
- NOD filed with the OPR, SCH - **date filed:**

Initial Study/Mitigated Negative Declaration (IS/MND)

Required documents:

- Draft IS/MND circulated through the OPR, SCH
- Comments received on circulated IS/MND
- Responses to comments (if applicable)
- Final IS/MND adopted by the CEQA lead agency
- Mitigation Monitoring and Reporting Plan/Program (MMRP) adopted by the CEQA lead agency
- Resolution/meeting minutes adopting IS/MND - **date adopted:**
- Resolution/meeting minutes adopting MMRP - **date adopted:**
- NOD filed with the local County Clerk - **date filed:**
- NOD filed with the OPR, SCH - **date filed:**



Environmental Package for Construction Presentation Roadmap

- Tier I
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III. CEQA Exemption Information

- Complete only if the project is CEQA exempt
- Additional documentation may be necessary to support the CEQA exemption
- The exceptions to the exemptions must be addressed (California Code of Regulations, title 14, division 6, chapter 3, article 19, section 15300.2)



STATE OF CALIFORNIA
STATE WATER RESOURCES CONTROL BOARD
Division of Financial Assistance
P. O. Box 94212, Sacramento, CA 94244-2120

FINANCIAL ASSISTANCE APPLICATION
Drinking Water State Revolving Fund

Environmental Impact Report (EIR)
Required documents:

- Draft EIR circulated through the OPR, SCH
- Comments received on circulated EIR
- Responses to comments
- Final EIR certified by the CEQA lead agency
- MMRP adopted by the CEQA lead agency
- Statement of Overriding Considerations (if applicable) - **date approved:**
- Resolution/meeting minutes certifying EIR - **date certified:**
- Resolution/meeting minutes adopting MMRP - **date adopted:**
- NOD filed with the local County Clerk - **date filed:**
- NOD filed with the OPR, SCH - **date filed:**

Addendum/Addenda, Supplemental or Subsequent CEQA Document
Required documents:

- Addendum/Addenda, Supplemental, or Subsequent CEQA Document
- MMRP adopted by the CEQA lead agency (if applicable)
- Resolution/meeting minutes/consideration document (if applicable) - **date:**
- Resolution/meeting minutes adopting MMRP (if applicable) - **date adopted:**
- NOD filed with the local County Clerk (if applicable) - **date filed:**
- NOD filed with the OPR, SCH (if applicable) - **date filed:**

III. CEQA EXEMPTION INFORMATION

Complete this section only if the project is exempt from CEQA. All CEQA exemptions, including statutory exemptions, under both Tier I and Tier II are subject to the CEQA exceptions (see Attachment 7 of the [State Environmental Review Process](#); 40 CFR 35.3580(e), which prohibit application of exemptions where there are extraordinary circumstances in which a normally excluded project may have a significant environmental effect).

Identify the CEQA exemption(s) that applies to the project:

Justify why the exemption(s) applies to the project:

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If applicable, list any documents that support the CEQA exemption(s) applied to the project:

If the project is exempt, address the following exceptions and justify why each exception (identified in the California Code of Regulations, title 14, division 6, chapter 3, article 19, section 15300.2.) does not apply.

Location. Classes 3, 4, and 6 are qualified by consideration of where the project is to be located - a project that is ordinarily insignificant in its impact on the environment may in a particularly sensitive environment be significant. Therefore, these classes are considered to apply in all instances, except where the project may impact on an environmental resource of hazardous or critical concern where designated, precisely mapped, and officially adopted pursuant to law by federal, state, or local agencies.

If a class 3, 4, and/or 6 categorical exemption applies, justify why this exception does not apply to the project, and/or indicate where supporting information can be found:

Cumulative Impact. All exemptions for these classes are inapplicable when the cumulative impact of successive projects of the same type in the same place, over time is significant.

Justify why this exception does not apply to the project, and/or indicate where supporting information can be found:

Significant Effect. A categorical exemption shall not be used for an activity where there is a reasonable possibility that the activity will have a significant effect on the environment due to unusual circumstances.

Justify why this exception does not apply to the project, and/or indicate where supporting information can be found:

Scenic Highways. A categorical exemption shall not be used for a project which may result in damage to scenic resources, including but not limited to, trees, historic buildings, rock outcroppings, or similar resources, within a highway officially designated as a state scenic highway. This does not apply to improvements which are required as mitigation by an adopted negative declaration or certified EIR.

Justify why this exception does not apply to the project, and/or indicate where supporting information can be found:

Hazardous Waste Sites. A categorical exemption shall not be used for a project located on a site which is included on any list compiled pursuant to Section 65962.5 of the Government Code.

Justify why this exception does not apply to the project, and/or indicate where supporting information can be found:

Historical Resources. A categorical exemption shall not be used for a project which may cause a substantial adverse change in the significance of a historical resource.

Justify why this exception does not apply to the project, and/or indicate where supporting information can be found:

CEQA Exemptions

Common Sense/General Rule Exemption:

(California Code of Regulations, title 14, division 6, chapter 3, article 18, section 15061(b)(3))

Projects are exempt where it can be seen with certainty that there is no possibility that the activity in question may have a significant effect on the environment.

Statutory Exemptions:

Feasibility and Planning Studies
(California Code of Regulations, title 14, division 6, chapter 3, article 18, section 15262)

A project involving only feasibility or planning studies for possible future actions which the agency, board, or commission has not approved, adopted, or funded does not require the preparation of an EIR or Negative Declaration but does require consideration of environmental factors. This section does not apply to the adoption of a plan that will have a legally binding effect on later activities.

Emergency Projects
(California Code of Regulations, title 14, division 6, chapter 3, article 18, section 15269)

The following emergency projects are exempt from the requirements of CEQA.

(a) Projects to maintain, repair, restore, demolish, or replace property or facilities damaged or destroyed as a result of a disaster in a disaster-stricken area in which a state of emergency has been proclaimed by the Governor pursuant to the California Emergency Services Act, commencing with Section 8550 of the Government Code. This includes projects that will remove, destroy, or significantly alter an historical resource when that resource represents an imminent threat to the public of bodily harm or of damage to adjacent property or when the project has received a determination by the State Office of Historic Preservation pursuant to Section 5028(b) of Public Resources Code.

(b) Emergency repairs to publicly or privately owned service facilities necessary to maintain service essential to the public health, safety or welfare. Emergency repairs include those that require a reasonable amount of planning to address an anticipated emergency.

(c) Specific actions necessary to prevent or mitigate an emergency. This does not include long-term projects undertaken for the purpose of preventing or mitigating a situation that has a low probability of occurrence in the short-term, but this exclusion does not apply (i) if the anticipated period of time to conduct an environmental review of such a long-term project would create a risk to public health, safety or welfare, or (ii) if activities (such as fire or catastrophic risk mitigation or modifications to improve facility integrity) are proposed for existing facilities in response to an emergency at a similar existing facility.

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Other Statutory Exemption
(California Code of Regulations, title 14, division 6, chapter 3, article 18, section 15282)

(k) The installation of new pipeline or maintenance, repair, restoration, removal, or demolition of an existing pipeline as set forth in Section 21080.21 of the Public Resources Code, as long as the project does not exceed one mile in length.

Categorical Exemptions:

Class 1: Existing Facilities
(California Code of Regulations, title 14, division 6, chapter 3, article 19, section 15301)

Class 1 consists of the operation, repair, maintenance, permitting, leasing, licensing, or minor alteration of existing public or private structures, facilities, mechanical equipment, or topographical features, involving negligible or no expansion of existing or former use. The types of "existing facilities" itemized below are not intended to be all-inclusive of the types of projects which might fall within Class 1. The key consideration is whether the project involves negligible or no expansion.

Class 2: Replacement or Reconstruction
(California Code of Regulations, title 14, division 6, chapter 3, article 19, section 15302)

Class 2 consists of replacement or reconstruction of existing structures and facilities where the new structure will be located on the same site as the structure replaced and will have substantially the same purpose and capacity as the structure replaced.

Class 3: New Construction or Conversion of Small Structures
(California Code of Regulations, title 14, division 6, chapter 3, article 19, section 15303)

Class 3 consists of construction and location of limited numbers of new, small facilities or structures; installation of small new equipment and facilities in small structures; and the conversion of existing small structures from one use to another where only minor modifications are made in the exterior of the structure. The numbers of structures described in this section are the maximum allowable on any legal parcel.

Class 4: Minor Alterations to Land
(California Code of Regulations, title 14, division 6, chapter 3, article 19, section 15304)

Class 4 consists of minor public or private alterations in the condition of land, water, and/or vegetation which do not involve removal of healthy, mature, scenic trees except for forestry or agricultural purposes.

Class 6: Information Collection
(California Code of Regulations, title 14, division 6, chapter 3, article 19, section 15306)

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Environmental Package for Construction Presentation Roadmap

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California Environmental Quality Act (CEQA) Process and Documents

- Notice of Exemption (NOE)
- Initial Study/Negative Declaration (IS/ND or ND)
- Initial Study/Mitigated Negative Declaration (IS/MND or MND)
- Environmental Impact Report (EIR)



California Environmental Quality Act (CEQA) Process and Documents

- Notice of Exemption (NOE)
- Initial Study/Negative Declaration (IS/ND or ND)
- Initial Study/Mitigated Negative Declaration (IS/MND or MND)
- Environmental Impact Report (EIR)

Notice of Exemption (NOE)

- Generally 1 – 2 pages
- Identifies
 - Project location
 - Project description
 - CEQA lead agency
 - Applicable CEQA exemption

Print Form

Notice of Exemption **Appendix E**

To: Office of Planning and Research
P.O. Box 3044, Room 113
Sacramento, CA 95812-3044

From: (Public Agency): _____

(Address)

County Clerk _____
County of: _____

Project Title: _____
Project Applicant: _____
Project Location - Specific: _____

Project Location - City: _____ Project Location - County: _____
Description of Nature, Purpose and Beneficiaries of Project: _____

Name of Public Agency Approving Project: _____
Name of Person or Agency Carrying Out Project: _____

Exempt Status: (check one):
 Ministerial (Sec. 21080(b)(1); 15268);
 Declared Emergency (Sec. 21080(b)(3); 15269(a));
 Emergency Project (Sec. 21080(b)(4); 15269(b)(c));
 Categorical Exemption. State type and section number: _____
 Statutory Exemptions. State code number: _____

Reasons why project is exempt: _____

Lead Agency _____
Contact Person: _____ Area Code/Telephone/Extension: _____

If filed by applicant:
1. Attach certified document of exemption finding.
2. Has a Notice of Exemption been filed by the public agency approving the project? Yes No

Signature: _____ Date: _____ Title: _____

Signed by Lead Agency Signed by Applicant

Authority cited: Sections 21083 and 21110, Public Resources Code. Date Received for filing at OPR: _____
Reference: Sections 21108, 21152, and 21152.1, Public Resources Code.

Revised 2011



California Environmental Quality Act (CEQA) Process and Documents

- Notice of Exemption (NOE)
- Initial Study/Negative Declaration (IS/ND or ND)
- Initial Study/Mitigated Negative Declaration (IS/MND or MND)
- Environmental Impact Report (EIR)

Initial Study/Negative Declaration and Initial Study/Mitigated Negative Declaration

- Initial Study Template - Appendix G of the CEQA Guidelines
- Initial Study is the main component of an IS/ND or IS/MND

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**APPENDIX G:
ENVIRONMENTAL CHECKLIST FORM**

NOTE: The following is a sample form that may be tailored to satisfy individual agencies' needs and project circumstances. It may be used to meet the requirements for an initial study when the criteria set forth in CEQA Guidelines have been met. Substantial evidence of potential impacts that are not listed on this form must also be considered. The sample questions in this form are intended to encourage thoughtful assessment of impacts, and do not necessarily represent thresholds of significance.

- Project title:
- Lead agency name and address:
- Contact person and phone number:
- Project location:
- Project sponsor's name and address:
- General plan designation:
- Zoning:
- Description of project: (Describe the whole action involved, including but not limited to later phases of the project, and any secondary, support, or off-site features necessary for its implementation. Attach additional sheets if necessary.)
- Surrounding land uses and setting: Briefly describe the project's surroundings:
- Other public agencies whose approval is required (e.g., permits, financing approval, or participation agreement):
- Have California Native American tribes traditionally and culturally affiliated with the project area requested consultation pursuant to Public Resources Code section 21080.3.1? If so, is there a plan for consultation that includes, for example, the determination of significance of impacts to tribal cultural resources, procedures regarding confidentiality, etc.?

NOTE: Conducting consultation early in the CEQA process allows tribal governments, lead agencies, and project proponents to discuss the level of environmental review, identify and address potential adverse impacts to tribal cultural resources, and reduce the potential for delay and conflict in the environmental review process. (See Public Resources Code section 21080.3.2.) Information may also be available from the California Native American Heritage Commission's Sacred Lands File per Public Resources Code section 5097.96 and the California Historical Resources Information System administered by the California Office of Historic Preservation. Please also note that Public Resources Code section 21082.3(c) contains provisions specific to confidentiality.

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ENVIRONMENTAL FACTORS POTENTIALLY AFFECTED:

The environmental factors checked below would be potentially affected by this project, involving at least one impact that is a "Potentially Significant Impact," as indicated by the checklist on the following pages:

<input type="checkbox"/> Aesthetics	<input type="checkbox"/> Agriculture / Forestry Resources	<input type="checkbox"/> Air Quality
<input type="checkbox"/> Biological Resources	<input type="checkbox"/> Cultural Resources	<input type="checkbox"/> Energy
<input type="checkbox"/> Geology/Soils	<input type="checkbox"/> Greenhouse Gas Emissions	<input type="checkbox"/> Hazards & Hazardous Materials
<input type="checkbox"/> Hydrology/Water Quality	<input type="checkbox"/> Land Use / Planning	<input type="checkbox"/> Mineral Resources
<input type="checkbox"/> Noise	<input type="checkbox"/> Population / Housing	<input type="checkbox"/> Public Services
<input type="checkbox"/> Recreation	<input type="checkbox"/> Transportation	<input type="checkbox"/> Tribal Cultural Resources
<input type="checkbox"/> Utilities / Service Systems	<input type="checkbox"/> Wildfire	<input type="checkbox"/> Mandatory Findings of Significance

DETERMINATION

On the basis of this initial evaluation:

I find that the proposed project COULD NOT have a significant effect on the environment, and a NEGATIVE DECLARATION will be prepared.

I find that although the proposed project could have a significant effect on the environment, there will not be a significant effect in this case because revisions in the project have been made by or agreed to by the project proponent. A MITIGATED NEGATIVE DECLARATION will be prepared.

I find that the proposed project MAY have a significant effect on the environment, and an ENVIRONMENTAL IMPACT REPORT is required.

I find that the proposed project MAY have a "potentially significant impact" or "potentially significant unless mitigated" impact on the environment, but at least one effect 1) has been adequately analyzed in an earlier document pursuant to applicable legal standards, and 2) has been addressed by mitigation measures based on the earlier analysis as described on attached sheets. An ENVIRONMENTAL IMPACT REPORT is required, but it must analyze only the effects that remain to be addressed.

I find that although the proposed project could have a significant effect on the environment, because all potentially significant effects (a) have been analyzed adequately in an earlier EIR or NEGATIVE DECLARATION pursuant to applicable standards, and (b) have been avoided or mitigated pursuant to that earlier EIR or NEGATIVE DECLARATION, including revisions or mitigation measures that are imposed upon the proposed project, nothing further is required.

[Click here to enter text.](#)

Signature _____ Date _____

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EVALUATION OF ENVIRONMENTAL IMPACTS

- A brief explanation is required for all answers except "No Impact" answers that are adequately supported by the information sources a lead agency cites in the parentheses following each question. A "No Impact" answer is adequately supported if the referenced information sources show that the impact simply does not apply to projects like the one involved (e.g., the project falls outside a fault rupture zone). A "No Impact" answer should be explained where it is based on project-specific factors, as well as general standards (e.g., the project would not expose sensitive receptors to pollutants, based on a project-specific screening analysis).
- All answers must take account of the whole action involved, including off-site as well as on-site, cumulative as well as project-level, indirect as well as direct, and construction as well as operational impacts.
- Once the lead agency has determined that a particular physical impact may occur, then the checklist answers must indicate whether the impact is potentially significant, less than significant with mitigation, or less than significant. "Potentially Significant Impact" is appropriate if there is substantial evidence that an effect may be significant. If there are one or more "Potentially Significant Impact" entries when the determination is made, an EIR is required.
- "Negative Declaration: Less Than Significant With Mitigation Incorporated" applies where the incorporation of mitigation measures has reduced an effect from "Potentially Significant Impact" to a "Less Than Significant Impact." The lead agency must describe the mitigation measures, and briefly explain how they reduce the effect to a less than significant level.
- Earlier analyses may be used where, pursuant to the tiering, program EIR, or other CEQA process, an effect has been adequately analyzed in an earlier EIR or negative declaration. Section 15063(c)(3)(D). In this case, a brief discussion should identify the following:
 - Earlier Analyses Used. Identify and state where they are available for review.
 - Impacts Adequately Addressed. Identify which effects from the above checklist were within the scope of and adequately analyzed in an earlier document pursuant to applicable legal standards, and state whether such effects were addressed by mitigation measures based on the earlier analysis.
 - Mitigation Measures. For effects that are "Less than Significant with Mitigation Measures Incorporated," describe the mitigation measures which were incorporated or refined from the earlier document and the extent to which they address site-specific conditions for the project.
- Lead agencies are encouraged to incorporate into the checklist references to information sources for potential impacts (e.g., general plans, zoning ordinances). Reference to a previously prepared or outside document should, where appropriate, include a reference to the page or pages where the statement is substantiated.
- Supporting Information Sources: A source list should be attached, and other sources used or individuals contacted should be cited in the discussion.
- This is only a suggested form, and lead agencies are free to use different formats; however, lead agencies should normally address the questions from this checklist that are relevant to a project's environmental effects in whatever format is selected.
- The explanation of each issue should identify:
 - the significance criteria or threshold, if any, used to evaluate each question; and
 - the mitigation measure identified, if any, to reduce the impact to less than significance

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Initial Study/Negative Declaration and Initial Study/Mitigated Negative Declaration

- Initial Study - Appendix G of the CEQA Guidelines

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Issues	Potentially Significant Impact	Less Than Significant With Mitigation Incorporated	Less Than Significant Impact	No Impact
I. AESTHETICS. Except as provided in Public Resources Code Section 21099, would the project:				
a) Have a substantial adverse effect on a scenic vista?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) Substantially damage scenic resources, including, but not limited to, trees, rock outcroppings, and historic buildings within a state scenic highway?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) In nonurbanized areas, substantially degrade the existing visual character or quality of public views of the site and its surroundings? (Public views are those that are experienced from publicly accessible vantage point). If the project is in an urbanized area, would the project conflict with applicable zoning and other regulations governing scenic quality?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d) Create a new source of substantial light or glare which would adversely affect day or nighttime views in the area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
II. AGRICULTURE AND FORESTRY RESOURCES. In determining whether impacts to agricultural resources are significant environmental effects, lead agencies may refer to the California Agricultural Land Evaluation and Site Assessment Model (1997) prepared by the California Dept. of Conservation as an optional model to use in assessing impacts on agriculture and farmland. In determining whether impacts to forest resources, including timberland, are significant environmental effects, lead agencies may refer to information compiled by the California Department of Forestry and Fire Protection regarding the state's inventory of forest land, including the Forest and Range Assessment Project and the Forest Legacy Assessment project, and forest carbon measurement methodology provided in Forest Protocols adopted by the California Air Resources Board. Would the project:				
a) Convert Prime Farmland, Unique Farmland, or Farmland of Statewide Importance (Farmland), as shown on the maps prepared pursuant to the Farmland Mapping and Monitoring Program of the California Resources Agency, to non-agricultural use?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) Conflict with existing zoning for agricultural use, or a Williamson Act contract?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) Conflict with existing zoning for, or cause rezoning of, forest land (as defined in Public Resources Code Section 12220(g)), timberland (as defined by Public Resources Code Section 4526), or timberland zoned Timberland Production (as defined by Government Code Section 51104(g))?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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CEQA Guidelines Appendices Association of Environmental Professionals 2023

Issues	Potentially Significant Impact	Less Than Significant With Mitigation Incorporated	Less Than Significant Impact	No Impact
d) Result in the loss of forest land or conversion of forest land to non-forest use?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e) Involve other changes in the existing environment which, due to their location or nature, could result in conversion of Farmland, to non-agricultural use or conversion of forest land to non-forest use?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
III. AIR QUALITY. Where available, the significance criteria established by the applicable air quality management district or air pollution control district may be relied upon to make the following determinations. Would the project:				
a) Conflict with or obstruct implementation of the applicable air quality plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) Result in a cumulatively considerable net increase of any criteria pollutant for which the project region is non-attainment under an applicable federal or state ambient air quality standard?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) Expose sensitive receptors to substantial pollutant concentrations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d) Result in other emissions (such as those leading to odors) adversely affecting a substantial number of people?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
IV. BIOLOGICAL RESOURCES. Would the project:				
a) Have a substantial adverse effect, either directly or through habitat modifications, on any species identified as a candidate, sensitive, or special status species in local or regional plans, policies, or regulations, or by the California Department of Fish and Wildlife or U.S. Fish and Wildlife Service?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) Have a substantial adverse effect on any riparian habitat or other sensitive natural community identified in local or regional plans, policies, regulations or by the California Department of Fish and Wildlife or U.S. Fish and Wildlife Service?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) Have a substantial adverse effect on state or federally protected wetlands (including, but not limited to, marsh, vernal pool, coastal, etc.) through direct removal, filling, hydrological interruption, or other means?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Association of Environmental Professionals 2023 CEQA Guidelines Appendices

Issues	Potentially Significant Impact	Less Than Significant With Mitigation Incorporated	Less Than Significant Impact	No Impact
d) Interfere substantially with the movement of any native resident or migratory fish or wildlife species or with established native resident or migratory wildlife corridors, or impede the use of native wildlife nursery sites?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e) Conflict with any local policies or ordinances protecting biological resources, such as a tree preservation policy or ordinance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f) Conflict with the provisions of an adopted Habitat Conservation Plan, Natural Community Conservation Plan, or other approved local, regional, or state habitat conservation plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
V. CULTURAL RESOURCES. Would the project:				
a) Cause a substantial adverse change in the significance of a historical resource pursuant to § 15064.5?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) Cause a substantial adverse change in the significance of an archaeological resource pursuant to § 15064.5?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) Disturb any human remains, including those interred outside of dedicated cemeteries?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
VI. ENERGY. Would the project:				
a) Result in potentially significant environmental impact due to wasteful, inefficient, or unnecessary consumption of energy resources, during project construction or operation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) Conflict with or obstruct a state or local plan for renewable energy or energy efficiency?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
VII. GEOLOGY AND SOILS. Would the project:				
a) Directly or indirectly cause potential substantial adverse effects, including the risk of loss, injury, or death involving:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Initial Study/Negative Declaration and Initial Study/Mitigated Negative Declaration

• Example IS/MND, Air Quality Excerpt

3.4.3 Air Quality

Where available, the significance criteria established by the applicable air quality management district or air pollution control district may be relied upon to make the following determinations. Would the project:	Potentially Significant Impact	Less Than Significant with Mitigation	Less Than Significant Impact	No Impact
a) Conflict with or obstruct implementation of the applicable air quality plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
b) Result in a cumulatively considerable net increase of any criteria pollutant for which the project region is non-attainment under an applicable federal or state ambient air quality standard?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
c) Expose sensitive receptors to substantial pollutant concentrations?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
d) Result in other emissions (such as those leading to odors) adversely affecting a substantial number of people?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Background

The US Environmental Protection Agency (EPA) and California Air Resources Board (CARB) have established national ambient air quality standards and California ambient air quality standards, respectively. The most important pollutants so regulated are: ozone, carbon monoxide (CO), nitrogen dioxide (NO₂), sulfur dioxide (SO₂), and particulate matter (PM) (i.e., in two size classes - PM less than 10 microns in diameter [PM₁₀] and PM less than 2.5 microns in diameter [PM_{2.5}]). The pollutants of greatest concern in California (and locally) are ozone and PM_{2.5}. The CARB has retained regulatory authority over mobile pollutant sources in the state, but has delegated much of the responsibility for control over stationary pollutant sources to local agencies, which in Lake County is the Lake County Air Quality Management District (LCAQMD). As specified above in the Project Description, the Clearwater Mutual Water Company intends to replace an existing water storage tank servicing the unincorporated Konocti Bay Estates community; both tank and community are located entirely in Lake County.

The CARB and the state's local Air Districts maintain numerous air quality monitoring stations located throughout the state that continually measure the ambient concentrations

of major air pollutants. The coverage afforded by such stations in the northern rural regions of the state is rather sparse. However, there are such stations in Lake County, the closest to the Project site being in Lakeport about 10 miles west of the Project site. Ozone and PM are monitored in Lakeport with a few violations of the federal PM₁₀ and PM_{2.5} standards recorded in recent years, as shown in Table AQ-1.

Table AQ-1: Local Ambient Air Quality Monitoring Data Summary

POLLUTANT	AMBIENT STANDARD	MAXIMUM CONCENTRATIONS MEASURED/DAYS STANDARDS EXCEEDED		
		2016	2017	2018
Ozone – Lakeport (2617 S. Main Street)				
Maximum 8-hour concentration (ppm)	0.070	na	0.068	0.063
# Days federal standard exceeded		na	0	0
PM₁₀ – Lakeport (2617 S. Main Street)				
Maximum 24-hour concentration (µg/m ³)	150	na	120.0	180.1
# Days federal standard exceeded		na	0	1
PM_{2.5} – Lakeport (2617 S. Main Street)				
Maximum 24-hour concentration (µg/m ³)	35	na	85.3	157.9
# Days federal standard exceeded		na	2	3

Notes:
ppm = parts per million.
µg/m³ = micrograms per cubic meter
na = data not available

Source: CARB, IADAM. Air Quality Data Statistics <https://www.arb.ca.gov/adam/>

Many counties in northern California (including Lake County) are unclassified with respect to whether they attain the federal or state standards, although several counties in the southern Sacramento Valley Air Basin just east of Lake County are nonattainment areas for ozone and PM_{2.5} (EPA, Nonattainment Areas for Criteria Pollutants).

The larger California Air Districts have established their own analytical methodologies and significance thresholds for CEQA air quality analysis within their jurisdictions. But there are no CEQA methodological guidelines or significance thresholds from the LCAQMD for projects in Lake County. Thus, emissions of fugitive dust during Project construction are recommended to be minimized by implementing standard dust control BMPs as specified

below. Project impacts from construction equipment exhaust emissions were evaluated based on comparison with EPA de minimis emission thresholds and all were found to be well below such thresholds.

Discussion

a and b. Air Quality Planning, Standards, Non-Attainment – Less than Significant

The Project's replacement of a water storage tank is meant primarily to serve the existing residents of the Konocti Bay Estates community. Thus, the Project would not have the potential to increase Lake County's regional housing, employment, population or traffic levels, which are the bases of California's State Implementation Plan (SIP) for attainment of federal air quality standards. The Project would not significantly impede attainment of the air quality goals in Lake County or in the state's other air basins. Thus, the Project would not conflict with or obstruct implementation of applicable air quality plans.

The Project would comply with the federal Clean Air Act by not causing or contributing to violations of federal ambient air quality standards. As indicators of compliance with these standards, the EPA's General Conformity Rule (EPA General Conformity) specifies de minimis emission thresholds (EPA, General Conformity De Minimis Tables) for ozone and its precursors (i.e., volatile organic compounds [VOC] and nitrogen oxides [NOx]) and the other major air pollutants. As shown in Table AQ-2, Project construction and operational emissions are less than the *de minimis* thresholds for all major criteria pollutants. Thus, the Project would be in conformity with California's SIP for attainment of federal air quality standards and would not make cumulatively considerable contributions to Lake County's ambient ozone or particulate matter levels.

After Project construction is complete, the operational air pollutant emissions associated with the rebuilt water distribution system would be similar to those of the old system. Thus, the Project's operational air pollutant emissions would be **less than significant**.

c. Sensitive Receptors – Less than Significant

Demolition of the existing water tank, site preparation, and construction of the new water tank are expected to occur during a three-month period in 2021. Construction activities would generate temporary potentially significant emissions of fugitive dust from equipment and material movement, and PM₁₀ / PM_{2.5} in engine exhaust. To limit the generation of fugitive dust, which together with particulate emissions from construction

The background of the slide features a vertical strip on the left side showing a close-up of ocean waves with white foam, transitioning into a dark teal gradient that covers the rest of the slide.

California Environmental Quality Act (CEQA) Process and Documents

- Notice of Exemption (NOE)
- Initial Study/Negative Declaration (IS/ND or ND)
- Initial Study/Mitigated Negative Declaration (IS/MND or MND)
- Environmental Impact Report (EIR)

Environmental Impact Report (EIR)

4.2 – AIR QUALITY AND GREENHOUSE GAS EMISSIONS

4.2 AIR QUALITY AND GREENHOUSE GAS EMISSIONS

This section analyzes impacts of the proposed Newell Creek Dam Inlet/Outlet Replacement Project (Project) related to Project air emissions, including greenhouse gas (GHG) emissions, based on air quality modeling conducted as part of the preparation of this EIR. The results of the air modeling are summarized in this section, and are included in Appendix D. The section describes federal, state, and local regulations related to air quality and applicable to the Project. Existing conditions in the study area are described.

4.2.1 Environmental Setting

Regulatory Setting

Air quality within the Monterey Bay region is addressed through the efforts of various federal, state, regional, and local government agencies. These agencies, as discussed below, work jointly, as well as individually, to improve air quality through legislation, regulations, planning, policy making, education, and a variety of programs.

Criteria Air Pollutants

Criteria air pollutants are defined as pollutants for which the United States Environmental Protection Agency (EPA) and the California Air Resources Board (CARB) have established ambient air quality standards, or criteria, for outdoor concentrations to protect public health. The standards identify levels of “criteria pollutants” that are regarded as the maximum levels of ambient (background) air pollutants considered to have an adequate margin of safety necessary to protect the public health and welfare. The standards are designed to protect the most sensitive people from illness or discomfort. Criteria pollutants include ozone (O₃), nitrogen dioxide (NO₂), carbon monoxide (CO), sulfur dioxide (SO₂), coarse particulate matter (PM₁₀), fine particulate matter (PM_{2.5}), and lead. In California, sulfates (SO₄), hydrogen sulfide (H₂S), vinyl chloride, and visibility-reducing particles are also regulated as criteria air pollutants. An area is designated as “in attainment” when it is in compliance with the federal and/or state standards as further discussed below.

Federal. The federal Clean Air Act (CAA), passed in 1970 and last amended in 1990, forms the basis for the national air pollution control effort. The EPA is responsible for implementing most aspects of the CAA, including setting National Ambient Air Quality Standards (NAAQS) for criteria air pollutants; setting hazardous air pollutant standards; approving state attainment plans; setting motor vehicle emissions standards; issuing stationary source emissions standards and permits; and establishing acid rain control measures, stratospheric O₃ protection measures, and enforcement provisions.

4.2 – AIR QUALITY AND GREENHOUSE GAS EMISSIONS

several cases, a given project need not be in perfect conformity with each and every planning policy or goals to be consistent. A project would be consistent, if it will further the objectives and not obstruct their attainment.

Local Climate Action Plans

City of Santa Cruz. In October 2012, the City adopted a *Climate Action Plan* (CAP) that outlines the actions the City will take over the next 10 years to reduce GHGs by 30 percent and to implement the policies and actions identified in the *General Plan 2030*. The CAP addresses citywide GHG reduction strategies. The CAP provides City emissions inventories, identifies an emissions reduction target for the year 2020, and includes measures to reduce energy use, reduce vehicle trips, implement water conservation programs, reduce emissions from waste collection, increase use of solar systems, and develop public partnerships to aide sustainable practices. Measures are outlined for the following sectors: municipal, residential, commercial, and community programs. None of the recommended measures are applicable to the proposed Project.

County of Santa Cruz. The County of Santa Cruz Board of Supervisors approved the Climate Action Strategy (CAS) on February 26, 2013. The CAS reports the results of the GHG emissions inventory for Santa Cruz County, proposes targets for GHG reduction, outlines strategies and implementing actions to achieve the targets, and provides a vulnerability assessment and strategies for adapting to the types of impacts that are likely to occur in Santa Cruz County. Eight “climate adaptation goals” are articulated as a guide for evaluating adaptation strategies. Specific adaptation strategies are proposed that include new actions as well as acknowledgement of existing plans and programs, which, while not explicitly about climate change, address the salient issues. There are no goals, strategies or recommendations applicable to the proposed Project.

4.2.2 Impacts and Mitigation Measures

Thresholds of Significance

In accordance with the State CEQA Guidelines (including Appendix G); City of Santa Cruz plans, policies, and/or guidelines; and agency and professional standards, a project impact would be considered significant if the project would:

- AIR-1 Conflict with or obstruct implementation of the air quality management plan;
- AIR-2 Violate any air quality standards or contribute substantially to an existing or projected air quality violation;
- AIR-3 Result in a cumulatively considerable net increase of any criteria pollutant for which the project region is in non-attainment under an applicable federal or state ambient air quality standard (including releasing emissions which exceed quantitative thresholds for ozone precursors);

Impacts and Mitigation Measures

Areas of No Project Impact

- AIR-1 **Conflicts with Air Quality Management Plan.** As described in the MBUACPD CEQA Guidelines (2008), project emissions that are not accounted for in the AQMP’s emission inventory are considered a significant cumulative impact to regional air quality. However, for construction of a project, exhaust emissions are accounted for in the AQMP emissions inventory (Frisbey, MBARD, personal communication, 2018). As determined in Impact 4.2-1, the proposed Project would result in emissions during short-term construction that would not exceed the MBARD thresholds of significance. Regarding long-term O & M, activities and emissions would be similar to the existing facility. As such, the Project would not conflict with or obstruct implementation of the AQMP.

4.2 – AIR QUALITY AND GREENHOUSE GAS EMISSIONS

- AIR-7 **Conflicts with GHG Emission Reduction Plans.** With regards to GHG reduction plans, the Scoping Plan, approved by CARB on December 12, 2008, provides a framework for actions to reduce California’s GHG emissions and requires CARB and other state agencies to adopt regulations and other initiatives to reduce GHGs. As such, the Scoping Plan is not directly applicable to specific projects. In the Final Statement of Reasons for the Amendments to the CEQA Guidelines, the California Natural Resources Agency (CNRA) observed that “[t]he [Scoping Plan] may not be appropriate for use in determining the significance of individual projects because it is conceptual at this stage and relies on the future development of regulations to implement the strategies identified in the Scoping Plan” (California Natural Resources Agency, 2009). Under the Scoping Plan, however, there are several state regulatory measures aimed at the identification and reduction of GHG emissions. CARB and other state agencies have adopted many of the measures identified in the Scoping Plan. Most of these measures focus on area source emissions (e.g., energy usage, high-GWP GHGs in consumer products) and changes to the vehicle fleet (i.e., hybrid, electric, and more fuel-efficient vehicles) and associated fuels (e.g., LCFS), among others. The Scoping Plan recommends strategies for implementation at the statewide level to meet the goals of AB 32 and establishes an overall framework for the measures that will be adopted to reduce California’s GHG emissions. The Project would comply with all applicable regulations adopted in furtherance of the Scoping Plan to the extent required by law.

California Environmental Quality Act (CEQA) Process and Documents

- Refer to the CEQA checklist in Section II
- Documents commonly left out of Environmental Package
 - Comments and Responses
 - Resolution/Meetings Minutes
 - Notice of Determination

Complete the appropriate CEQA checklist(s) below and provide any applicable documents as attachments to the Environmental Package.

CEQA Exemption

Required documents:

- Notice of Exemption (NOE) filed with the local County Clerk - **date filed:**
- NOE filed with the OPR, SCH - **date filed:**
- Supporting documentation for categorical exemptions (if applicable)

Initial Study/Negative Declaration (IS/ND)

Required documents:

- Draft IS/ND circulated through the OPR, SCH
- Comments received on circulated IS/ND
- Responses to comments (if applicable)
- Final IS/ND adopted by the CEQA lead agency
- Resolution/meeting minutes adopting IS/ND - **date adopted:**
- Notice of Determination (NOD) filed with the local County Clerk - **date filed:**
- NOD filed with the OPR, SCH - **date filed:**

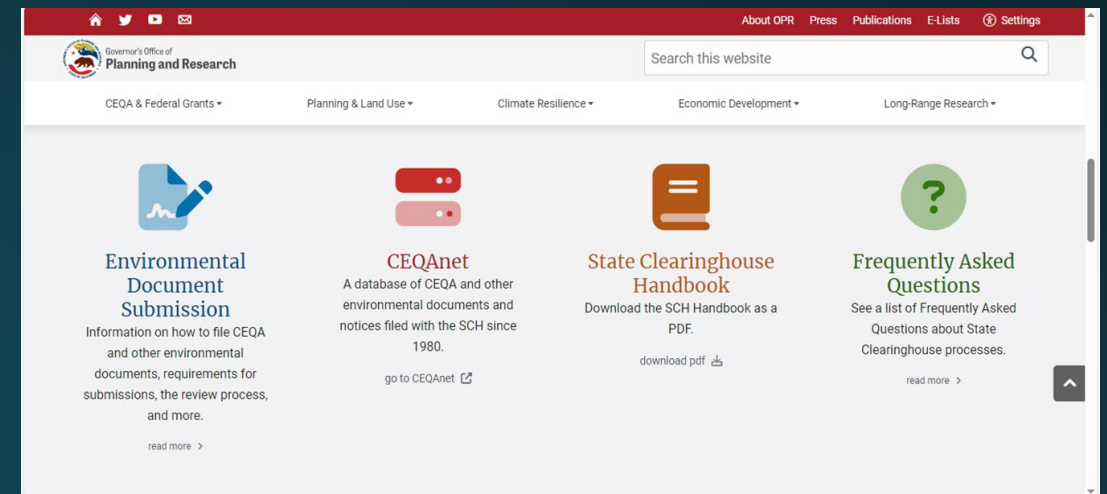
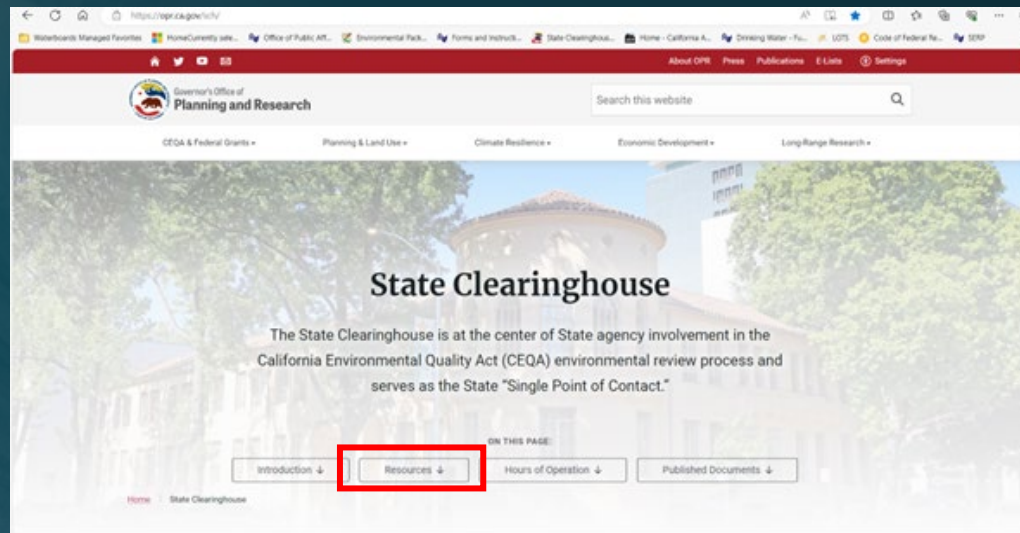
Initial Study/Mitigated Negative Declaration (IS/MND)

Required documents:

- Draft IS/MND circulated through the OPR, SCH
- Comments received on circulated IS/MND
- Responses to comments (if applicable)
- Final IS/MND adopted by the CEQA lead agency
- Mitigation Monitoring and Reporting Plan/Program (MMRP) adopted by the CEQA lead agency
- Resolution/meeting minutes adopting IS/MND - **date adopted:**
- Resolution/meeting minutes adopting MMRP - **date adopted:**
- NOD filed with the local County Clerk - **date filed:**
- NOD filed with the OPR, SCH - **date filed:**

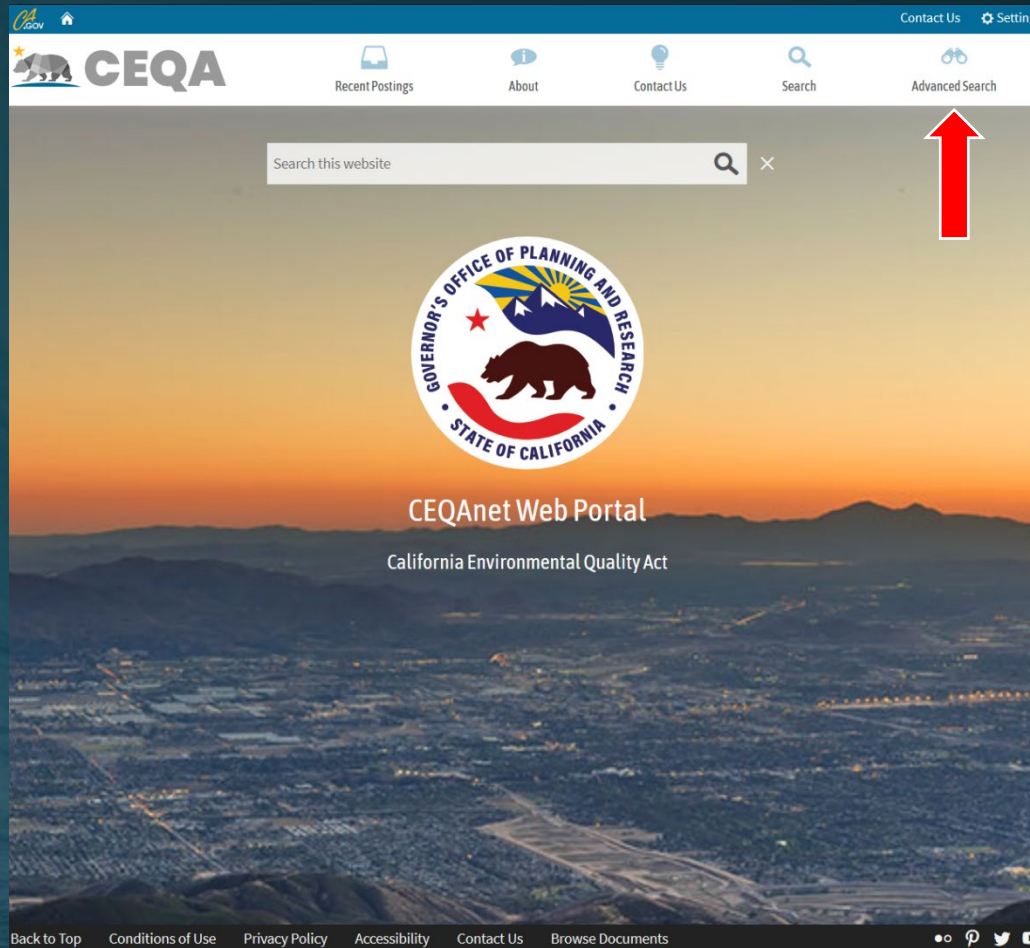
Office of Planning and Research, State Clearinghouse

- Website: [State Clearinghouse - Office of Planning and Research \(ca.gov\)](https://opr.ca.gov/)



CEQANet

- Website: <https://ceqanet.opr.ca.gov/>



Query the CEQANet Database

Direct lookup

SCH Number

Filter results

Start Range

End Range

Document Type

Lead Agency

Review Agency

County

City

Region

Local Action

Project Issue

Development Type

CEQA Streamlining Tips

- Project scope should be defined as much as possible before finalizing CEQA document
- Communicate and check in with environmental consultant
 - Do they need project information?
 - Help coordinate meetings with the project engineer
- Start consulting with other state or federal agencies early
 - Include the State Water Board in these conversations
- Coordinate with the State Water Board environmental staff early, especially if...
 - The State Water Board will be the lead agency
 - There are questions about SRF requirements that may affect CEQA
 - There are questions about CEQA exemption applicability

CEQA Timelines

- Document circulation requirements
 - NOEs – posted only (no public comment period)
 - IS/NDs – 30 days
 - IS/MNDs – 30 days
 - EIRs – 45 days
- Ensure time for public comment period and comment response
 - Environmental consultant will need to respond to comments
 - Rule of thumb: assume 3 months for the draft CEQA document to be circulated, receive comments, and draft responses
 - Not complete until NOD is filed

State Water Board as CEQA Lead Agency

- When:
 - Applicant is a private water system or federally recognized tribe
 - No discretionary permits are necessary from a public agency or local entity
 - No other agency is co-funding the project
 - State Water Board agrees in written statement
- Coordinate with State Water Board early
 - AB 52 tribal consultation needs to be conducted, if project is not exempt
 - State Water Board will need to approve type of CEQA document for the project
 - Draft CEQA documents will need to be reviewed by State Water Board
 - Expect couple of weeks for review and comments to be drafted
- The consultant will need to:
 - Draft CEQA document (if project is not CEQA exempt)
 - Address State Water Board comments
 - Coordinate through the public review process
 - Respond to comments received
 - Coordinate filing fees and local posting with applicant
 - Meet Web Content Accessibility Guidelines (WCAG) 2.1, with a minimum conformance level of AA.
 - Additional information about WCAG 2.1 guidelines can be found at the World Wide Web Consortium website: <https://www.w3.org/TR/WCAG21/>.

State Water Board as CEQA Lead Agency

- State Water Board is responsible for some documents
 - NOE, NOD, NOI, adoption resolution
 - SWB will post all required notices at the State Clearinghouse
- Keep well maintained records in case of a Public Records Act (PRA) request

CEQA Exemption

Required documents:

- Notice of Exemption (NOE) filed with the local County Clerk - **date filed:**
- NOE filed with the OPR, SCH - **date filed:**
- Supporting documentation for categorical exemptions (if applicable)

Initial Study/Negative Declaration (IS/ND)

Required documents:

- Draft IS/ND circulated through the OPR, SCH
- Comments received on circulated IS/ND
- Responses to comments (if applicable)
- Final IS/ND adopted by the CEQA lead agency
- Resolution/meeting minutes adopting IS/ND - **date adopted:**
- Notice of Determination (NOD) filed with the local County Clerk - **date filed:**
- NOD filed with the OPR, SCH - **date filed:**

Initial Study/Mitigated Negative Declaration (IS/MND)

Required documents:

- Draft IS/MND circulated through the OPR, SCH
- Comments received on circulated IS/MND
- Responses to comments (if applicable)
- Final IS/MND adopted by the CEQA lead agency
- Mitigation Monitoring and Reporting Plan/Program (MMRP) adopted by the CEQA lead agency
- Resolution/meeting minutes adopting IS/MND - **date adopted:**
- Resolution/meeting minutes adopting MMRP - **date adopted:**
- NOD filed with the local County Clerk - **date filed:**
- NOD filed with the OPR, SCH - **date filed:**

Environmental Impact Report (EIR)

Required documents:

- Draft EIR circulated through the OPR, SCH
- Comments received on circulated EIR
- Responses to comments

Hiring CEQA Consultants

- No specific licensing or personnel requirements for *most*
 - Cultural resource staff should meet certain requirements
- Generally should have multiple staff
 - E.g. biologist, archaeologist, air quality analyst, traffic analyst...
- Ask for an example CEQA document
 - Consultant should be able to provide a completed CEQA document
 - Should contain an Initial Study with supporting analysis
 - Meet Web Content Accessibility Guidelines
- Time in industry \neq Qualified
 - There are no “CEQA Police”



Questions?



Environmental Package for Construction Presentation Roadmap

- Tier I
- I. General Information
- II. California Environmental Quality Act (CEQA) Status
- III. CEQA Exemption Information
- CEQA documents, CEQA process, State Water Board lead agency process
- Questions
- IV. Federal Environmental Requirements and Documentation
- Attachments
- Tier II

IV. Evaluation Section for Federal Environmental Coordination

IV. FEDERAL ENVIRONMENTAL REQUIREMENTS AND DOCUMENTATION

FEDERAL ENVIRONMENTAL REQUIREMENTS
 Projects applying for Funding Through CEQA State Reviewing Fund (SRF) financing that are undergoing a project review must meet the requirements of the 40 Code of Federal Regulations (CFR) Section 24.3000, which includes requirements that may not be included in the California Code of Regulations, CEQA Guidelines. For additional information about these requirements refer to the Environmental Package instructions above.

Public hearings and meetings: A public hearing or meeting must be held for all projects except those having title or administrative effect.

Provide the public hearing or meeting dates, if applicable:
Public public comment period for projects with noise changes:
 Provide the public comment period dates, if applicable.

Final project information requirements:
 If CEQA documents are adopted or NDEs are signed by the CEQA lead agency from the final plans before approval of TDR SRF financing, the lead agency must review whether the CEQA documents or NDEs are still applicable to the project, and if so, the lead agency must include the previously completed environmental analysis and final CEQA documents in the environmental package. If the applicant is the lead agency, submit a memorandum signed by the applicant's authorized representative affirming that the previously prepared environmental analysis and final CEQA documents still apply to the project.

Attach the following documents to the Environmental Package:
 1. A copy of the five-year sufficiency memorandum signed by the applicant's authorized representative (if available).

Consent to Alternative Disposition of Assets: If a program requires an environmental impact of alternatives for projects that are subject to the NIMFS Act, the applicant must submit a consent to alternative disposition of assets (NIMFS Act) as a minimum, timely document. If the consent is not already included in the NIMFS Act, it must be submitted with the project information.

FEDERAL CO-FUNDING SOURCES
 Will the project potentially be co-funded by one or multiple other federal agencies?
 No - [Link to text section.](#)
 Yes - [Link to text section.](#)

a) List the agency or agencies:
 b) Explain the funding status:
 c) Provide the name of the associated federal representative(s) with whom the water system has been in contact.

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Contact email(s):
 Contact person(s):

FEDERAL LANDS
 In any portion of the proposed project site located on federally managed land, such as United States Forest Service (USFS) or Bureau of Land Management (BLM) land?
 No - [Link to text section.](#)
 Yes - [Link to text section.](#)

a) Indicate the type of federal land (e.g., USFS national forest, BLM Designated Recreation Area, etc.):
 b) Identify the USFS Office, the BLM District, or other federal regional unit in which the project is located:
 c) Provide the status of any use authorization on permit:
 d) Provide the name of the associated federal agency contact person(s) representing the project:

Contact email(s):
 Contact person(s):

a) Attach the following documents to the Environmental Package:
 1. A colored map identifying the project location with respect to the federal land
 2. A copy of the appropriate authorization permit for the use of federal land (e.g., USFS Special Use Authorization, BLM Land Use Permit). None has been obtained.

Environmental Package Page 21

ARCHAEOLOGICAL AND HISTORIC PRESERVATION ACT (NHPA)
 Will the project cause the irremediable loss of or damage to a significant archaeological or historic resource or site through alteration of the terrain resulting from clear or reservoir construction (e.g., grading, building of access roads, or construction of a reservoir)?
 No - [Link to text section.](#)
 Yes - [Link to text section.](#)

a) Explain, or indicate where more information on this impact can be found (e.g., Historic Properties Identification Report (HPIR), see the National Historic Preservation Act below, CEQA documents, etc.):

LEAN AIR ACT
 Is the project located in a red air basin:
 Identify the local air district:
 Is the project located in a maintenance area, or an attainment area under a maintenance plan, or any criteria pollutant?
 No - [Link to text section.](#)
 Yes - [Link to text section.](#)

a) Identify the criteria pollutant(s) for which the project area is in maintenance and the identified criteria pollutant(s) for which the project area is in attainment under a maintenance plan:
 b) Complete the following table by filling in the estimated construction and operation emissions for each criteria pollutant:

Criteria Pollutant	Estimated construction emissions (tonnes per year)	Federal air quality levels (tonnes per year)
Carbon Dioxide (CO2)		
Zone (O3)		Marginal/Moderate NAA's 100
Zone (NO2 and Volatile Organic Compounds (VOC))		Serious NAA's 50
Carbon Monoxide (CO)		Severe NAA's 25
Ozone Deplete (OD)		Extreme NAA's 18
		All maintenance areas 100
		All NAA's 100

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Lead (P)	Level (P)	Air NAA's	25
Particulate Matter less than 2.5 microns in diameter (PM _{2.5})		Moderate NAA's	100
Particulate Matter less than 10 microns in diameter (PM ₁₀)		Serious NAA's	70
		Moderate NAA's	100
		Serious NAA's	70
		All NAA's	100

COASTAL ZONE MANAGEMENT ACT
 Is any portion of the project area located within the coastal zone?
 No - [Link to text section.](#)
 Yes - [Link to text section.](#)

a) Describe the project location with respect to coastal areas, or indicate where this information can be found (e.g., CEQA document, biological report/assessment, etc.):
 c) Attach the following documents to the Environmental Package:
 1. A copy of the coastal development permit or coastal exemption (if available).

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DANGERED SPECIES ACT (ESA)
 Does the project involve any direct or indirect impacts, from construction or operation activities, that may affect federally listed threatened or endangered species, or their critical habitat, that are known or have potential to occur on the project site, in the surrounding area, or in the service area?
 No - [Link to text section.](#)
 Yes - [Link to text section.](#)

a) Explain, or indicate where information supporting this determination can be found (e.g., biological report/assessment, CEQA document, etc.):
 b) List the date(s) of any biological field surveys completed for the project:
 c) Identify any proposed avoidance and conservation measures that will be implemented:
 d) Indicate where more information on the project impacts can be found (e.g., biological report/assessment, CEQA document, etc.):
 e) If any consultations with state or federal agencies have been conducted for the project, summarize those consultations:
 f. Attach the following documents to the Environmental Package:
 1. A project-level biological report/assessment

Environmental Package Page 24

FARMLAND PROTECTION POLICY
 Is any portion of the project located on, or will the project impact prime, unique, or important farmland or farmland under a Williamson Act Contract?
 No - [Link to text section.](#)
 Yes - [Link to text section.](#)

a) If the project is located on or near prime, unique, or important farmland, or farmland under a Williamson Act Contract, and will avoid impacting the farmland due to the scope of the project, implementation of avoidance measures, or for other reasons, please explain, or indicate where more information can be found (e.g., CEQA document, etc.):
 b) Explain, and include information on the acreage that would be converted from farmland to other uses, or indicate where this information can be found (e.g., farmland conversion assessment, CEQA document, etc.):
 c) If any portion of the project boundaries is under a Williamson Act Contract, specify the amount of acreage affected:
 d) Attach the following documents to the Environmental Package:
 1. Documents/assessments evaluating the conversion of prime/unique farmland and farmland of agricultural importance to non-agricultural use
 2. Copies of any consultation(s) conducted with relevant agencies

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FLOODPLAIN MANAGEMENT: EXECUTIVE ORDERS 11988, 12148, 13860, AND 14020
 In any portion of the project located within a 100-year floodplain as depicted on an official floodplain map or otherwise designated by the Federal Emergency Management Agency (FEMA)?
 No - [Link to text section.](#)
 Yes - [Link to text section.](#)

a) Identify any relevant consultations completed with other agencies:
 b) Describe how EFH could potentially be impacted by this project and any proposed avoidance and conservation measures, or indicate where this information can be found (e.g., floodplain/hydrological assessment, CEQA document, etc.):
 c) Attach the following documents to the Environmental Package:
 1. Any reports (e.g., floodplain/hydrological assessment) completed for the project
 2. An official floodplain map from the FEMA Flood Map Service Center that includes the project area

MAGNUSON-STEVENS FISHERY CONSERVATION AND MANAGEMENT ACT (MFSMA)
 Does the project involve any direct or indirect impacts from construction or operational activities, or changes in water quality/quantity, that may impact Essential Fish Habitat (EFH)?
 No - [Link to text section.](#)
 Yes - [Link to text section.](#)

a) Describe how EFH could potentially be impacted by this project and any proposed avoidance and conservation measures, or indicate where this information can be found (e.g., biological report/assessment, EFH impact assessment/evaluation, CEQA document, etc.):
 b) Describe any previous or ongoing consultations/coordination conducted with the NMFS for the project:
 c) Attach the following documents to the Environmental Package:
 1. EFH Impact Assessment (if available)
 2. An official NMFS species list, obtained through the NMFS Essential Fish Habitat Mapper

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MAGNUSON-STEVENS FISHERY CONSERVATION AND MANAGEMENT ACT
 Does the project involve any direct or indirect impacts from construction or operational activities, or changes in water quality/quantity, that may impact Essential Fish Habitat (EFH)?
 No - [Link to text section.](#)
 Yes - [Link to text section.](#)

a) Describe how EFH could potentially be impacted by this project and any proposed avoidance and conservation measures, or indicate where this information can be found (e.g., biological report/assessment, EFH impact assessment/evaluation, CEQA document, etc.):
 b) Describe any previous or ongoing consultations/coordination conducted with the NMFS for the project:
 c) Attach the following documents to the Environmental Package:
 1. EFH Impact Assessment (if available)
 2. An official NMFS species list, obtained through the NMFS Essential Fish Habitat Mapper

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NATIONAL HISTORIC PRESERVATION ACT (NHPA)
 Identify Section 106 (d) of the NHPA finding of effect contained in the cultural resources report:
 No Impact/Properties Affected
 No Adverse Effect to Historic Properties
 Adverse Effect to Historic Properties
 Provide a brief explanation for the above identified determination, or indicate where this information can be found (e.g., NHPA or Cultural Report):
 If relevant, please justify compliance with the NHPA:
 Provide the following documents directly to the Division of Financial Assistance Cultural Resources Officer:
 1. A Historic Properties Identification Report
 a) Note: Plans do not upload confidential documents to the FAST system. Contact the Project Manager or the Environmental Review Staff for assistance regarding submission of confidential documents.
 b) If the project is a type of activity that does not have the potential to create effects to historic properties, a HPIR is not necessary. Contact the Review Staff to discuss this. The historic properties:
 c) Attach the following documents to the Environmental Package:
 1. A completed Sole Source Aquifer Project Review Information document (contact the Division of Financial Assistance to request).

Environmental Package Page 27

PROTECTION OF WETLANDS
 Will any portion of the project be located in or potentially affect a wetland?
 No - [Link to text section.](#)
 Yes - [Link to text section.](#)

a) If the project is located in or near a wetland but will avoid impacting the wetland due to the scope of the project, implementation of avoidance measures, or for other reasons, please explain, or indicate where more information can be found (e.g., wetland assessment/delineation report, biological report/assessment, CEQA document, etc.):
 b) Identify the status of any permits necessary for project construction (e.g., Clean Water Act Section 404 Permit, etc.):
 c) Attach the following documents to the Environmental Package:
 1. A wetland assessment/delineation report consistent with the United States Army Corps of Engineers (USACE) guidance describing the project's potential impacts to wetlands and/or potential wetland areas
 2. Documentation on the avoidance, minimization, and conservation measures that will be implemented to reduce such impacts
 3. A copy of the Clean Water Act Section 401 Certification (if available)
 4. A copy of the Clean Water Act Section 404 Permit (if available)

SAFE DRINKING WATER ACT/SOLE SOURCE AQUIFER PROTECTION
 Is the project located in an area designated by the USEPA as a Sole Source Aquifer?
 No - [Link to text section.](#)
 Yes - [Link to text section.](#)

a) Identify the Sole Source Aquifer:
 b) Attach the following documents to the Environmental Package:
 1. A completed Sole Source Aquifer Project Review Information document (contact the Division of Financial Assistance to request).

Environmental Package Page 28

WILD AND SCENIC RIVERS ACT
 Identify the watershed to which the project is located:
 No - [Link to text section.](#)
 Yes - [Link to text section.](#)

a) Identify the wild and scenic river that will be impacted:
 b) Explain how the project will impact the wild and scenic river, or indicate where this information can be found (e.g., biological report/assessment, CEQA document, etc.):
 c) Attach the following documents to the Environmental Package:
 1. A map of the impacted wild and scenic river and the relative project location

Environmental Package Page 29

FEDERAL ENVIRONMENTAL ATTACHMENTS
 Complete the checklist indicating what federal documentation is being submitted attached to this Environmental Package. If there are any questions about required attachments, please contact the Environmental Review Staff: envreview@ceqa.ca.gov

List of attachments:
 State Sufficiency Memorandum, signed by applicant's authorized representative
 Federal Land Use Plan/Notice
 Federal Land Use Authorization/Permit
 Clean Air Act, CAA Title III or other air quality model studies
 Coastal Zone Management Act, Coastal Development Permit or Coastal Exemption
 Endangered Species Act, Project-level biological report/assessment
 Farmland Protection Policy Act, Farmland Conversion Assessment
 Farmland Protection Policy Act, Copies of any consultation(s) with relevant agencies
 Floodplain Management, Floodplain/Hydrological Assessment or other report
 Floodplain Management, Official floodplain map
 Magnuson-Stevens Fishery Conservation and Management Act, EFH Impact Assessment
 Magnuson-Stevens Fishery Conservation and Management Act, Official NMFS Species List
 National Historic Preservation Act, Historic Properties Identification Report
 Protection of Wetlands, Wetland Assessment/Delineation Report
 Protection of Wetlands, Documentation on avoidance and conservation measures
 Protection of Wetlands, Clean Water Act Section 401 Certification
 Protection of Wetlands, Clean Water Act Section 404 Permit
 Safe Drinking Water Act/Sole Source Aquifer Protection, Sole Source Aquifer Project Review Memorandum
 Wild and Scenic Rivers Act, Map of Wild and Scenic Rivers Watershed
 Other Federal Cross-Cutting Documentation
 Other Federal Cross-Cutting Documentation

Environmental Package Page 30



IV. Evaluation Section for Federal Environmental Coordination

- Environmental Alternative Analysis
- Clean Air Act
- Endangered Species Act
- National Historic Preservation Act

IV. Environmental Alternative Analysis

- Preparation of an Environmental Impact Report under CEQA typically meets this requirement.
- For ND/MND it may be appropriate to limit alternatives to “No Project” alternative, and the selected project.

Environmental Analysis of Alternatives

The DW SRF Program requires an environmental analysis of alternatives for projects that are not exempt from CEQA. Preparation of an Environmental Impact Report under CEQA typically meets this requirement.

If a Negative Declaration or Mitigated Negative Declaration (ND/MND) was prepared for the project, briefly discuss the “No Project” alternative if this is not already included in the ND/MND. (For general guidance, see CEQA Guidelines, section 15126.6(e)). If project alternatives beyond the selected project were considered but are not included in the CEQA document, briefly discuss, or identify the document that discusses the alternative analysis.

IV. Environmental Alternative Analysis

- New EAA section in Tier I Construction Package
- Not required if project is CEQA exempt



STATE OF CALIFORNIA
STATE WATER RESOURCES CONTROL BOARD
Division of Financial Assistance
P. O. Box 944212, Sacramento, CA 94244-2120

FINANCIAL ASSISTANCE APPLICATION
Drinking Water State Revolving Fund

IV. FEDERAL ENVIRONMENTAL REQUIREMENTS AND DOCUMENTATION

FEDERAL ENVIRONMENTAL REQUIREMENTS

Projects applying for Drinking Water (DW) State Revolving Fund (SRF) financing that are undergoing a Tier I review must meet the requirements of the 40 Code of Federal Regulations (CFR), section 35.3580, which includes requirements that may not be included in the California Code of Regulations, CEQA Guidelines. For additional information about these requirements refer to the Environmental Package Instructions above.

Public hearing and meeting requirements. A public hearing or meeting must be held for all projects except those having little or no environmental effect.

Provide the public hearing or meeting date(s), if applicable:

Formal public comment period for projects with scope changes.

Provide the public comment period date(s), if applicable:

Five-year reaffirmation requirements. If CEQA documents are adopted or NOEs are signed by the CEQA lead agency more than five years before approval of DW SRF financing, the lead agency must review whether the CEQA documents or NOEs are still applicable to the project, and if so, the lead agency must reaffirm the previously prepared environmental evaluation and resulting environmental document. If the applicant is the lead agency, submit a memorandum signed by the applicant's authorized representative affirming that the previously prepared environmental evaluation and resulting environmental document still apply to the project.

Attach the following documents to the Environmental Package:

1. A copy of the five-year reaffirmation memorandum signed by the applicant's authorized representative (if applicable)

Environmental Analysis of Alternatives. The DW SRF Program requires an environmental analysis of alternatives for projects that are not exempt from CEQA. Environmental Impact Reports must evaluate alternatives to the selected project to comply with CEQA. For projects covered by a Negative Declaration or Mitigated Negative Declaration (ND/MND), at a minimum, briefly discuss environmental impacts of the "No Project" alternative if this is not already included in the ND/MND.

FEDERAL CO-FUNDING SOURCES

Will the project potentially be co-funded by one or multiple other federal agencies?

No – If no, continue to next section.

Yes – If yes, complete the following:

Financial Assistance Application (Rev. 2/2024) Page 20 Environmental Package



IV. Evaluation Section for Federal Environmental Coordination

- Environmental Alternative Analysis
- Clean Air Act
- Endangered Species Act
- National Historic Preservation Act

IV. Clean Air Act

Clean Air Act

Identify the project air basin:
Identify the local air district:

Is the project located in a nonattainment area, or an attainment area under a maintenance plan, for any criteria pollutant?

- No – If no, continue to next section.
- Yes – If yes, complete the following:

a.) Identify the criteria pollutant(s) for which the project area is in nonattainment and the nonattainment rate(s) (i.e., marginal, moderate, serious, severe, or extreme), and/or identify the criteria pollutant(s) for which the project area is in attainment under a maintenance plan:

b.) Complete the following table by filling in the estimated construction and operation emissions for each criteria pollutant:

c.) Attach the following documents to the Environmental Package:
Any documents utilized to support the estimated emissions above, or to compile the air quality data (e.g., air quality studies/models, CalEEMod report)
If any of the federal de minimis levels are exceeded additional information may be required.

Federal
Nonattainment Counties:
<https://www3.epa.gov/airquality/greenbook/ancl.html#CA>



IV. Clean Air Act

- Clean Air Act Table
 - Air emissions can be calculated using CalEEMod or similar program
 - <https://www.caleemod.com/>
 - Modelling air emissions requires knowledge of construction activity, like an estimate of the number of trucks or vehicles that will be needed.

Criteria Pollutant	Estimated construction emissions (tons/year)	Estimated operation emissions (tons/year)	Federal <i>de minimis</i> levels (tons/year)	
Ozone (O ₃) Oxides of Nitrogen (NOX) and Volatile Organic Compounds (VOC)	—	—	Marginal/Moderate NAA's	100
			Serious NAA's	50
			Severe NAA's	25
			Extreme NAA's	10
Carbon Monoxide (CO)	—	—	All maintenance areas	100
Nitrogen Dioxide (NO ₂)	—	—	All NAA's	100
Lead (Pb)	—	—	All NAA's	25
Particulate Matter less than 2.5 microns in diameter (PM _{2.5})	—	—	Moderate NAA's	100
			Serious NAA's	70
Particulate Matter less than 10 microns in diameter (PM ₁₀)	—	—	Moderate NAA's	100
			Serious NAA's	70
Sulfur Dioxide (SO ₂)	—	—	All NAA's	100

IV. Clean Air Act

Lead (Pb)	___	___	All NAA's	25
Particulate Matter less than 2.5 microns in diameter (PM _{2.5})	___	___	Moderate NAA's	100
			Serious NAA's	70
Particulate Matter less than 10 microns in diameter (PM ₁₀)	___	___	Moderate NAA's	100
			Serious NAA's	70
Sulfur Dioxide (SO ₂)	___	___	All NAA's	100

c) Attach the following documents to the Environmental Package:

- Any documents utilized to support the estimated emissions above, or to compile the air quality data (e.g., air quality studies/models, CalEEMod report)
- If any of the federal de minimis levels are exceeded additional information may be required.

COASTAL ZONE MANAGEMENT ACT

Is any portion of the project site located within the coastal zone?

No – If no, continue to next section.

Yes – If yes, complete the following:

a) Indicate the status of the coastal development permit or coastal exemption:

b) Describe the project location with respect to coastal areas, or indicate where this information can be found (e.g., CEQA document, biological report/assessment, etc.):

c) Attach the following documents to the Environmental Package:

- A copy of the coastal development permit or coastal exemption (if available)

Criteria Pollutant	Estimated construction emissions (tons/year)	Estimated operation emissions (tons/year)	Federal de minimis levels (tons/year)	
Ozone (O ₃) Oxides of Nitrogen (NO _x) and Volatile Organic Compounds (VOC)	—	—	Marginal/Moderate NAA's	100
			Serious NAA's	50
			Severe NAA's	25
			Extreme NAA's	10
Carbon Monoxide (CO)	—	—	All maintenance areas	100
Nitrogen Dioxide (NO ₂)	—	—	All NAA's	100
Lead (Pb)	—	—	All NAA's	25
Particulate Matter less than 2.5 microns in diameter (PM _{2.5})	—	—	Moderate NAA's	100
			Serious NAA's	70
Particulate Matter less than 10 microns in diameter (PM ₁₀)	—	—	Moderate NAA's	100
			Serious NAA's	70
Sulfur Dioxide (SO ₂)	—	—	All NAA's	100



IV. Evaluation Section for Federal Environmental Coordination

- Environmental Alternative Analysis
- Clean Air Act
- Endangered Species Act
- National Historic Preservation Act

IV. Endangered Species Act

- Biological report must meet ESA section 7 requirements
- Is another federal agency involved in the project?
 - Meeting is required to determine who will be the federal lead agency

ENDANGERED SPECIES ACT (ESA)

Does the project involve any direct or indirect impacts, from construction or operation activities, that may affect federally listed threatened or endangered species, or their critical habitat, that are known or have potential to occur on the project site, in the surrounding area, or in the service area?

No – If no, complete the following:

a) Explain, or indicate where information supporting this determination can be found (e.g., biological report/assessment, CEQA document, etc.):

Yes – If yes, complete the following:

a) List the date(s) of any biological field surveys completed for the project:

b) Identify the federally listed species that could potentially be affected by the project:

c) Identify any proposed avoidance and conservation measures that will be implemented:

d) Indicate where more information about the impact(s) can be found (e.g., biological report/assessment, CEQA document, etc.):

e) If any consultations with state or federal agencies have been conducted for the project, summarize those consultation efforts:

f) Attach the following documents to the Environmental Package:

1. A project-level biological report/assessment

IV. Endangered Species Act

- Official species lists required
- Potential to occur table required
 - Must include all federally listed species identified in the official species lists
- Federal biological report should match the CEQA document's biological section

STATE OF CALIFORNIA
STATE WATER RESOURCES CONTROL BOARD
Division of Financial Assistance
P. O. Box 942112, Sacramento, CA 94244-2112

FINANCIAL ASSISTANCE APPLICATION
Drinking Water State Revolving Fund

zone for the San Francisco Bay Conservation and Development Commission (BCDC) includes the open water, marshes, and mudflats of the greater San Francisco Bay, and areas 100 feet inland from the line of highest tidal action. The BCDC boundary also includes the Suisun Marsh and buffer zone; managed wetlands diked off from the Bay, and open waters diked off from the Bay and used in salt production.

Information and resources:
California Coastal Commission (CCC) maps: <https://coastal.ca.gov/maps/>
CCC coastal development permit information: http://www.coastal.ca.gov/enforcement/cdp_pamphlet.pdf
CCC coastal development permit application and appeal forms: <http://coastal.ca.gov/cdp/cdp-forms.html>
San Francisco Bay Conservation and Development Commission website: <http://www.bcdc.ca.gov/>
California's coastal zone generally extends 1,000 yards inland from the mean high tide line, but may extend further if the area is located in significant coastal estuarine, habitat, and/or recreational areas, or to a lesser extent if the area is located in a developed urban area or within a coastal zone of the San Francisco Bay Conservation and Development Commission. To help determine if the project is located within a coastal zone, please check the [CCC jurisdictional maps](#) or contact the local CCC office or the city or county in which the project is located.

Attach the following documents to the Environmental Package:

Endangered Species Act (ESA)

Does the project involve any direct or indirect impacts, from construction or operation activities, that may affect federally listed threatened or endangered species, or their critical habitat, that are known or have potential to occur on the project site, in the surrounding area, or in the service area?

Indicate if the project construction and/or operational activities may directly or indirectly affect any federally listed threatened or endangered species that are known or have a potential to occur on the project site, in the surrounding area or in the service area. If no, explain the determination, or indicate where more information can be found (e.g., biological report/assessment, CEQA document, etc.). If yes, respond to list items a-f.

The applicant must provide a biological assessment/report, prepared by a qualified biologist, that addresses possible direct, indirect, and cumulative impacts of the project to federally listed species under the ESA. Biological assessments/reports must include a clear description of the project, construction information, an up-to-date field survey, a species assessment table for all federally protected species, and an analysis of impacts to those species that have the potential to occur within or adjacent to the project site. Species lists requested from the USFWS Information for Planning and Conservation database (<https://ecos.fws.gov/ipac/>) and the NMFS

Financial Assistance Application Page 8 Environmental Package
(Rev. 2/2019)

STATE OF CALIFORNIA
STATE WATER RESOURCES CONTROL BOARD
Division of Financial Assistance
P. O. Box 942112, Sacramento, CA 94244-2112

FINANCIAL ASSISTANCE APPLICATION
Drinking Water State Revolving Fund

(http://www.westcoast.fisheries.noaa.gov/maps_data/california_species_list_tools.html) must accompany the biological assessment/report, as well as recently-generated species lists from the CDFW California Natural Diversity Database (<https://www.wildlife.ca.gov/Data/CNDDDB>) and the California Native Plant Society Inventory of Rare and Endangered Plants of California (<http://www.rareplants.cnps.org/>). If the applicant is unable to obtain an official NMFS species list, please contact the Environmental Review Staff for further assistance.

Information and resources:
USEPA Endangered Species Act Summary: <https://www.epa.gov/laws-regulations/summary-endangered-species-act>
USFWS Section 7 Consultation: <https://www.fws.gov/spr/ce/esa-section-7-consultation>
Refer to the following resources for information regarding possible biological impacts and to obtain official and unofficial species lists for analysis:
USFWS Information for Planning and Consultation (IPaC): <https://ecos.fws.gov/ipac/>
California Native Plant Society Inventory of Rare and Endangered Plants of California: <http://www.rareplants.cnps.org/>
National Oceanic and Atmospheric Administration (NOAA) ESA consultation website: <https://www.fisheries.noaa.gov/topic/consultations/endangered-species-act-consultations>
California Department of Fish and Wildlife California Natural Diversity Database: <https://www.wildlife.ca.gov/Data/CNDDDB>

Attach the following documents to the Environmental Package:
f. A project-level biological report/assessment.

Farmland Protection Policy Act

Is any portion of the project located on, or will the project impact prime, unique, or important farmland, or farmland under a Williamson Act Contract?

Indicate if any portion of the project is located on or will impact prime, unique, or important farmland. If yes, respond to list items a-d. If the project area is protected farmland or farmland under the Williamson Act Contract, please consult with the appropriate federal, state, and local agencies, and provide necessary documents to the Division of Financial Assistance.

Information and resources:
USDA Farmland Protection Policy Act website: <https://www.nrcs.usda.gov/conservation-basics/natural-resource-concerns/land/conservation/farmland-protection-policy-act>
California Department of Conservation California Important Farmland Finder: <https://maps.conservation.ca.gov/irp/irf/>

Financial Assistance Application Page 9 Environmental Package
(Rev. 2/2019)

IV. Endangered Species Act

- Hiring consultants – “qualified biologist”
- USFWS Information for Planning and Consultation database- IPaC, expires after 90 days

The applicant must provide a biological assessment/report, prepared by a qualified biologist, that addresses possible direct, indirect, and cumulative impacts of the project to federally listed species under the ESA. Biological assessments/reports must include a clear description of the project, construction information, an up-to-date field survey, a species assessment table for all federally protected species, and an analysis of impacts to those species that have the potential to occur within or adjacent to the project site. Species lists requested from the USFWS Information for Planning and Conservation database (<https://ecos.fws.gov/ipac/>) and the NMFS (http://www.westcoast.fisheries.noaa.gov/maps_data/california_species_list_tools.html) must accompany the biological assessment/report, as well as recently-generated species lists from the CDFW California Natural Diversity Database (<https://www.wildlife.ca.gov/Data/CNDDDB>) and the California Native Plant Society Inventory of Rare and Endangered Plants of California (<http://www.rareplants.cnps.org/>). If the applicant is unable to obtain an official NMFS species list, please contact the Division of Financial Assistance Environmental Review Staff for further assistance.



IV. Evaluation Section for Federal Environmental Coordination

- Environmental Alternative Analysis
- Clean Air Act
- Endangered Species Act
- National Historic Preservation Act

IV. National Historic Preservation Act

National Historic Preservation Act (NHPA)/Historic Sites Act (HSA)

[\(http://www.achp.gov/\)](http://www.achp.gov/)

<https://www.nps.gov/history/local-law/hsact35.htm>

- **Required documents:** A Historic Properties Identification Report (HPIR) written by a cultural resources professional who meets the Secretary of the Interior's Professional Qualification Standards in Archaeology or Architectural History (www.nps.gov/history/local-law/arch_stnds_9.htm), as appropriate. The report must include a current records search (not older than five years) from the California Historical Resources Information System (CHRIS) (http://ohp.parks.ca.gov/?page_id=1068) extending to a half-mile beyond the project's area of potential effects (APE), maps showing all recorded resources and surveys in relation to the APE, records of Native American outreach (<http://nahc.ca.gov>), and resource records from the CHRIS search and newly identified resources. Please contact Division of Financial Assistance Environmental Review Staff to receive additional details. Refer to the California Office of Historic Preservation website (under Section 106 Submission Checklists header) for guidance regarding the information required to consult under Section 106 of the NHPA:

http://ohp.parks.ca.gov/pages/1071/files/106Checklist_Details.pdf

If the project is a type of activity that does not have the potential to cause effects to historic properties, a HPIR is not necessary. Contact the Division of Financial Assistance Environmental Review Staff to discuss this. This decision is based on the type of activities, not on the presence or absence of historic properties.

Note: Please do not upload confidential documents to the FAAST system. Contact the Project Manager or Division of Financial Assistance Environmental Review Staff for guidance regarding submission of confidential documents.

Identify Section 106 of the NHPA finding of effect contained in the cultural resources report:

- No Historic Properties Affected
- No Adverse Effect to Historic Properties
- Adverse Effect to Historic Properties

If relevant, please justify compliance with both the HSA and the NHPA. Provide a brief explanation for the above identified determination, or indicate where this information can be found (e.g., HPIR or Cultural Report):

California Office of Historic Preservation

Detailed Recommendations for Section 106 Consultation Submittals

This document provides additional explanatory information about the items identified on the Office of Historic Preservation's (OHP) [Section 106 Consultation Submittal Checklist](#). This information is recommended for agencies consulting with the State Historic Preservation Officer (SHPO) under Section 106 of the [National Historic Preservation Act](#) and its implementing regulations at [36 CFR Part 800](#) (a [summary of the regulations](#) is also available).

Section I: General Information About the Undertaking

- Identify if submittal is a new undertaking (i.e., you are initiating consultation) or one that has already been submitted to the SHPO (i.e., you are continuing consultation).
If you are providing more information related to a submittal already sent to the SHPO, provide the OHP reference number if available.
- Indicate under which regulatory process or agreement document you are consulting.
For example, 36 CFR Part 800; 36 CFR Part 800.8(c); Programmatic Agreement; or Memorandum of Agreement.
If consulting under an agreement document, indicate the document's name and date, and the specific stipulation under which you are consulting, if applicable.
Note: Further guidance regarding submissions under 36 CFR Part 800.8(c) will be forthcoming until that time, if you have questions, contact the OHP reviewer assigned to your agency and see [NEPA and NHPA: A Handbook for Integrating NEPA and Section 106](#).
- Provide the name of the undertaking, street address (if applicable), city, and county.
Indicate the name the agency is using to identify the undertaking and its location. Include street address and city if those are applicable to the location. If the undertaking crosses into more than one city and/or county, list all cities and counties associated with the undertaking's location.
- Indicate if the federal agency has begun its review process under the National Environmental Policy Act (NEPA).
If NEPA review has begun, provide a description of what work has been done to date, which type of NEPA document is being prepared, and what the agency's schedule is for future NEPA compliance work.

Section II: Contact Information

- Provide the name of the federal agency responsible for the undertaking, and the agency representative's contact information.
Include full contact information (i.e., the representative's name, mailing and street addresses, phone number, fax number, and email address).

August 2015

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IV. National Historic Preservation Act

- Cultural Report Requirements on SWRCB website:

https://www.waterboards.ca.gov/water_issues/programs/grants_loans/environmental_requirements.html

California State Water Boards
Home | Drinking Water | Services | Funding | Dwsrf Requirements

Drinking Water State Revolving Fund Program Environmental Review Requirements

The DWSRF Program is partially funded by the United States Environmental Protection Agency and therefore all projects financed by the DWSRF Program must comply with the federal cross-cutting requirements.

As part of the DWSRF application process, applicants are required to submit an **Environmental Package**, applicable documents and additional supporting reports (except the cultural resources report) through **FAAST**. During the environmental review process, the DWSRF Environmental Review Staff will review the documents to determine adequacy of environmental information and compliance with state and federal environmental laws and regulations. The environmental review process must be completed prior to the State Water Board financing approval.

The State Water Board has the authority to initiate consultation with the relevant federal agencies having jurisdiction over the federal environmental laws and regulations. Any issues raised by the relevant federal agencies must be resolved prior to completing the State Water Board environmental review process and financing approval.

CEQA & Federal Cross-cutting Requirements

- State Environmental Review Process (coming soon)
- DFA CEQA Requirements
- SRF Environmental Review Requirements
- CEQA Process Flow Chart

Section 106 of the National Historic Preservation Act (NHPA)

- **Cultural Resources Report Preparation**
- Area of Potential Effects Table
- Applicant Section 106 Template Letter for Tribal Outreach
 - Tribal Correspondence (log template)
- Advisory Council on Historic Preservation: Section 106 Toolkit
- California Historical Resources Information System (CHRIS)

Section 7 of the Federal Endangered Species Act (ESA)

- USFWS Official Species List
- USFWS Survey Protocols and Guidelines
 - Pacific Southwest Region
 - Sacramento Fish and Wildlife Office
- California Natural Diversity Database (CNDDB) QuickView Tool

Federal Clean Air Act (CAA)

- Current Nonattainment Counties for All Criteria Pollutants
- General Conformity Training Modules
- De Minimis Emission Levels for Criteria Pollutants
- California Emissions Estimator Model™ (CalEEMod)

GUIDELINES FOR APPLICANTS AND THEIR CONSULTANTS ON PREPARING HISTORIC PROPERTY IDENTIFICATION REPORTS FOR THE CLEAN AND DRINKING WATER STATE REVOLVING FUND (SRF) PROGRAMS

All applicants seeking Clean Water or Drinking Water SRF financing for construction projects from the State Water Resources Control Board (State Water Board), Division of Financial Assistance (DFA), must comply with both California Environmental Quality Act (CEQA) and the federal cross-cutting regulations. CEQA requires public agencies to assess the impacts of their projects on historical resources. In addition to CEQA, Section 106 of the National Historic Preservation Act (NHPA) of 1966, as amended (Section 106), requires federal agencies to take into account the effects of their undertakings on historic properties and afford the Advisory Council on Historic Preservation a reasonable opportunity to comment on such undertakings. (Tip: "undertaking" is a NHPA term equivalent to "project" in CEQA). A historic property is a prehistoric or historic district, site, building, structure, or object that is eligible for or listed on the National Register of Historic Places (NRHP).

The State Water Board administers the SRF Programs. The SRF Programs are partially funded by annual capitalization grants from the United States Environmental Protection Agency (USEPA). Issuance of SRF funds by the State Water Board is considered equivalent to a federal action, thereby necessitating compliance with Section 106. The USEPA has delegated lead agency responsibility to the State Water Board for carrying out the requirements of Section 106.

The State Water Board requires the applicant to provide a complete environmental package with their financial assistance application. The Historic Property Identification Report (HPIR) is key to showing a reasonable and good faith effort was made to identify historic properties. The State Water Board uses this report to make NRHP eligibility determinations and to support the State Water Board's finding of effect for the undertaking. Documentation of concluded consultation with the State Historic Preservation Officer (SHPO) is required to illustrate compliance with NHPA. The HPIR is part of the State Water Board's submittal to the SHPO.

SHPO CONSULTATION

The State Water Board is responsible for SHPO consultation. Submit two hard copies of the final HPIR to the State Water Board. One hard copy of the report will be submitted to the SHPO as part of the State Water Board's consultation package and one will be kept on file.

BEFORE HIRING A CULTURAL RESOURCES CONSULTANT

If you think your project is the type of activity that does not have the potential to cause effects on historic properties, contact DFA, Senior Cultural Resources Officer (CRO)

IV. National Historic Preservation Act

- Guidelines for preparing cultural reports:
 - Before hiring a cultural resources consultant
 - Professional qualifications
 - Secretary of the Interior's Standards
 - Archaeologist vs. Architectural Historian
 - Report content requirements
 - APE description
 - Native American outreach under Section 106
 - Water Treatment Facility Historic Context
 - Precautions and Common Issues
 - Confidentiality
 - Treat all reports as confidential
 - Email or mail cultural reports to ERU
 - Do not upload through FAAST

GUIDELINES FOR APPLICANTS AND THEIR CONSULTANTS ON PREPARING HISTORIC PROPERTY IDENTIFICATION REPORTS FOR THE CLEAN AND DRINKING WATER STATE REVOLVING FUND (SRF) PROGRAMS

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BEFORE HIRING A CULTURAL RESOURCES CONSULTANT

If you think your project is the type of activity that does not have the potential to cause effects on historic properties, contact DFA, Senior Cultural Resources Officer (CRO)



IV. National Historic Preservation Act

- State Water Board Cultural Contacts:
 - Lisa Machado, Senior Cultural Resources Officer
 - lisa.machado@waterboards.ca.gov
 - (916) 323-0626
 - Wendy Pierce, Sr. Environmental Scientist
 - wendy.pierce@waterboards.ca.gov
 - (916) 449-5178



Environmental Package for Construction Presentation Roadmap

- Tier I
- I. General Information
- II. California Environmental Quality Act (CEQA) Status
- III. CEQA Exemption Information
- CEQA documents, CEQA process, State Water Board lead agency process
- Questions
- IV. Evaluation Section for Federal Environmental Coordination
 - Cross-cutter attachments
- V. Attachments
- Tier II

Environmental Package Attachments

STATE OF CALIFORNIA
STATE WATER RESOURCES CONTROL BOARD
Division of Financial Assistance
P. O. Box 944212, Sacramento, CA 94244-2120

FINANCIAL ASSISTANCE APPLICATION
Drinking Water State Revolving Fund

FEDERAL ENVIRONMENTAL ATTACHMENTS

Complete the checklist indicating what federal documentation is being submitted attached to this Environmental Package. If there are questions about required attachments, please contact the Environmental Review Staff:
https://www.waterboards.ca.gov/water_issues/programs/grants_loans/environmental_requirements.html.

List of attachments:

- 5-Year Reaffirmation Memorandum: Signed by applicant's authorized representative
- Federal Land: Map of federal lands
- Federal Land: Federal land use authorization/permit
- Clean Air Act: CalEEMod report or other air quality models/studies
- Coastal Zone Management Act: Coastal Development Permit or Coastal Exemption
- Endangered Species Act: Project-level biological report/assessment
- Farmland Protection Policy Act: Farmland Conversion Assessment
- Farmland Protection Policy Act: Copies of any consultation(s) with relevant agencies
- Floodplain Management: Floodplains/Hydrological Assessment or other report
- Floodplain Management: Official floodplain map
- Magnuson-Stevens Fishery Conservation and Management Act: EFH Impact Assessment
- Magnuson-Stevens Fishery Conservation and Management Act: Official NMFS Species List
- National Historic Preservation Act: Historic Properties Identification Report
- Protection of Wetlands: Wetland Assessment/Delineation Report
- Protection of Wetlands: Documentation on avoidance and conservation measures
- Protection of Wetlands: Clean Water Act Section 401 Certification
- Protection of Wetlands: Clean Water Act Section 404 Permit
- Safe Drinking Water Act/Sole Source Aquifer Protection: Sole Source Aquifer Project Review Information
- Wild and Scenic Rivers Act: Map of Wild and Scenic Rivers Watershed
- Other Federal Cross-Cutter Documentation:
- Other Federal Cross-Cutter Documentation:

Floodplain Management

- Floodplain Map

STATE OF CALIFORNIA
STATE WATER RESOURCES CONTROL BOARD
Division of Financial Assistance
P. O. Box 944212, Sacramento, CA 94244-2120

FINANCIAL ASSISTANCE APPLICATION
Drinking Water State Revolving Fund

California Department of Conservation Farmland Mapping and Monitoring Program:
<http://www.conservation.ca.gov/DLRP/fmmp/Pages/Index.aspx>

Attach the following documents to the Environmental Package:

1. Documents/assessments evaluating the conversion of prime/unique farmland and farmland of statewide/local importance to non-agricultural uses
2. Copies of any consultation(s) conducted with relevant agencies

Floodplain Management: Executive Orders 11988, 12148, 13690, and 14030

Is any portion of the project located within a 100-year floodplain as depicted on an official floodplain map or otherwise designated by the Federal Emergency Management Agency (FEMA)?

Indicate if any portion of the project is located within a 100-year floodplain as depicted on a floodplain map or otherwise designated by the United States Department of Homeland Security, Federal Emergency Management Agency (FEMA). If yes, respond to list items a-c.

Information and resources:

Office of the Federal Register Executive Order 11988: <https://www.archives.gov/federal-register/codification/executive-order/11988.htm>

Office of the Federal Register Executive Order 12148: <https://www.archives.gov/federal-register/codification/executive-order/12148.html>

Office of Federal Register executive Order 13690: <https://www.gpo.gov/fdsys/pkg/FR-2015-02-04/pdf/2015-02379.pdf>

Executive Order Establishing a Federal Flood Risk Management Standard and a Process for Further Soliciting and Considering Stakeholder Input: [https://www.whitehouse.gov/the-press-office/2015/01/30/executive-order-establishing-federal-flood-risk-management-standard-and-office/2015/01/30/executive-order-establishing-federal-flood-risk-management-standard-and-office](https://www.whitehouse.gov/the-press-office/2015/01/30/executive-order-establishing-federal-flood-risk-management-standard-and-office/2015/01/30/executive-order-establishing-federal-flood-risk-management-standard-and-office/2015/01/30/executive-order-establishing-federal-flood-risk-management-standard-and-office)

FEMA Flood Map Service Center: <https://msc.fema.gov/portal>

Attach the following documents to the Environmental Package:

1. An official floodplain map from the [FEMA Flood Map Service Center](https://msc.fema.gov/portal) that includes the project area (required for all projects)
2. Any reports (floodplains/hydrological assessment) completed for the project (if applicable)

Magnuson-Stevens Fishery Conservation and Management Act

Does the project involve any direct or indirect impacts from construction or operational activities, or changes in water quality/quantity, that may impact Essential Fish Habitat (EFH)?

Indicate if the project construction or operational activities involve direct or indirect impacts to Essential Fish Habitat (EFH). If yes, respond to list items a-c. To determine the project's location

Floodplain Management

FEMA Flood Map Service Center: Welcome!

Looking for a Flood Map? [?](#)

Enter an address, a place, or longitude/latitude coordinates:

Enter an address, a place, or longitude/latitude coordinates

Search

Looking for more than just a current flood map?

Visit [Search All Products](#) to access the full range of flood risk products for your community.

About Flood Map Service Center

The FEMA Flood Map Service Center (MSC) is the official public source for flood hazard information products from the National Flood Insurance Program (NFIP). Use the MSC to find your official flood map, flood hazard products, and take advantage of tools for better understanding flood risk.

FEMA flood maps are continually updated through a variety of processes. Effective information that you download from this site may change or become superseded by new maps over time. For additional information, please see [Hazard Mapping Updates Overview Fact Sheet](#).

Announcements

FEMA is conducting cybersecurity testing Map Service Center. Users may experience slower than normal performance during testing. If you experience sustained performance issues, please contact the FEMA [Insurance eXchange \(FMIX\)](#).

FEMA Flood Map Service Center: Search By Address

Enter an address, place, or coordinates: [?](#)

Davis CA

Search

Whether you are in a high risk zone or not, you may need [flood insurance](#) because most homeowners insurance doesn't cover flood damage. If you live in an area with low or moderate flood risk, you are 5 times more likely to experience flood than a fire in your home over the next 30 years. For many, a National Flood Insurance Program's flood insurance policy could cost less than \$400 per year. Call your insurance agent today and protect what you've built.

Learn more about [steps you can take](#) to reduce flood risk damage.

Search Results—Products for DAVIS, CITY OF

[Show ALL Products »](#)

The flood map for the selected area is number **06113C0592G**, effective on **06/18/2010**.



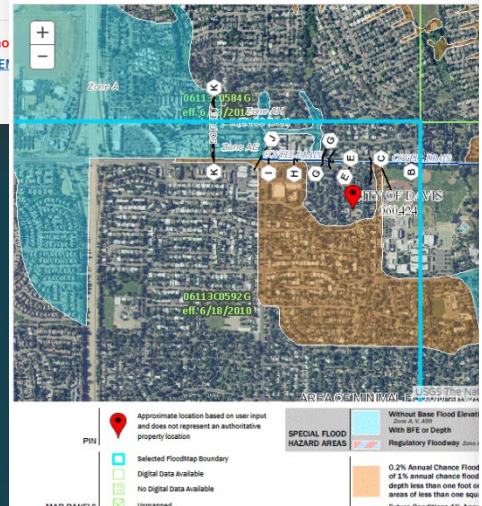
MAP IMAGE



Changes to

- Revision
- Amendment
- Revalidation

You can choose a new flood map or move the location pin by selecting a different location on the map in the search field above. It may take a minute or more during peak hours to generate a new map. If you are a person with a disability, are blind, or have low vision, and need assistance, please contact a map specialist at 1-800-352-7673.



National Flood Hazard Layer FIRMette



Legend	
SEE FIS REPORT FOR DETAILED LEGEND AND INDEX MAP FOR FIRM PANEL LAYOUT	
SPECIAL FLOOD HAZARD AREAS	Without Base Flood Elevation (BFE) Zone A, V, AE9 With BFE or Depth Zone AE, AO, AH, VE, AR Regulatory Floodway
OTHER AREAS OF FLOOD HAZARD	0.2% Annual Chance Flood Hazard, Areas of 1% annual chance flood with average depth less than one foot or with drainage areas of less than one square mile Zone X Future Conditions 1% Annual Chance Flood Hazard Zone X Area with Reduced Flood Risk due to Levee. See Notes. Zone X Area with Flood Risk due to Levee Zone D
OTHER AREAS	Area of Minimal Flood Hazard Zone X Effective LOMRs Area of Undetermined Flood Hazard Zone D
GENERAL STRUCTURES	Channel, Culvert, or Storm Sewer Levee, Dike, or Floodwall
OTHER FEATURES	Cross Sections with 1% Annual Chance Water Surface Elevation Coastal Transsect Base Flood Elevation Line (BFE) Limit of Study Jurisdiction Boundary Coastal Transsect Baseline Profile Baseline Hydrographic Feature
MAP PANELS	Digital Data Available No Digital Data Available Unmapped

The pin displayed on the map is an approximate point selected by the user and does not represent an authoritative property location.

This map complies with FEMA's standards for the use of digital flood maps if it is not void as described below. The basemap shown complies with FEMA's basemap accuracy standards.

The flood hazard information is derived directly from the authoritative NFHL web services provided by FEMA. This map was exported on 8/25/2020 at 12:53 PM and does not reflect changes or amendments subsequent to this date and time. The NFHL and effective information may change or become superseded by new data over time.

This map image is void if the one or more of the following map elements do not appear: basemap imagery, flood zone labels, legend, scale bar, map creation date, community identifiers, FIRM panel number, and FIRM effective date. Map images for unmapped and unmodernized areas cannot be used for regulatory purposes.



CEQA Exemptions and Cross-Cutters

- If there is no or limited groundbreaking activity, contact ERU staff to discuss biological and cultural reports
 - Most likely, some information will be needed, but a complete biological and/or cultural report may not be necessary
- If there are limited construction and operation emissions, provide estimates in the CAA table, or contact the local air district



Environmental Package for Construction Presentation Road map

- Tier I
- I. General Information
- II. California Environmental Quality Act (CEQA)
- III. CEQA Exemption Information
- CEQA documents, CEQA process, State Water Board lead agency process
- Questions
- IV. Federal Environmental Requirements and Documentation
- Attachments
- Tier II

What is Tier II?

- Alternative review to Tier I
- Always check with Grant Manager to confirm whether the project qualifies as Tier II
- Tier II Environmental Review Process can be found in Attachment 8 of the SERP.

- 1) Federal Crosscutters are not required for Tier II
- 2) A reaffirmation memo not automatically required
- 3) A public comment period is not required for an addendum

ATTACHMENT 8 Tier II Environmental Review Process

In accordance with 40 C.F.R. § 35.3580(d), a State may elect to apply an alternative SERP (referred to as Tier II environmental review) to certain projects and activities for which the State provides assistance in amounts that are greater than the amount of the capitalization grant deposited into the DWSRF or set aside accounts provided that the process addresses the required elements set forth in 40 C.F.R. § 35.3580(d). The State Water Board has elected to apply Tier II environmental reviews to certain projects and activities that meet the DWSRF Regulations. The State Water Board's Tier II process shall consist of the procedures described in this SERP and the procedures set forth in the CEQA statute (Pub. Resources Code, § 21000 *et seq.*) and CEQA Guidelines (Cal. Code Regs., tit. 14, div. 6, ch. 3, § 15000 *et seq.*), with the following modifications:

- Review under the federal cross-cutting authorities described in sections III.D.1.f and IV.B.1, and the associated federal consultations shall not be required for Tier II projects.
- Reevaluation or reaffirmation where the environmental review document was completed more than 5 years earlier (see sections III.D.1.b. and IV.A.3) will not automatically be required for all Tier II projects.
- The State Water Board will not require a public comment period for an addendum prepared for a Tier II project.
- The State Water Board may specify the projects and activities, if any, that will be subject to Tier II environmental review in its DWSRF Policy and/or annual Intended Use Plan or other documents.

The Tier II environmental review process must provide for comparative evaluation among alternatives and account for beneficial and adverse consequences to the existing and future environment in accordance with 40 C.F.R. 35.3580(d)(3). The Tier II environmental review process must also provide for notice to the public of the proposed projects and activities and for the opportunity to comment on alternatives and to examine environmental review documents in accordance with 40 C.F.R. 35.3580(d)(5). For projects determined by the State Water Board to be controversial, a public hearing must be held.

Tier II Environmental Package

DRINKING WATER ENVIRONMENTAL PACKAGE INSTRUCTIONS (CONSTRUCTION – TIER II)

This Environmental Package is required for projects undergoing a Tier II (i.e., "non-equivalency") review under the current Drinking Water (DW) State Revolving Fund (SRF) Intended Use Plan. For additional information on the Tier II process, see Appendix 8 of the Drinking Water [State Environmental Review Process](https://www.waterboards.ca.gov/drinking_water/services/funding/DWSRFUIP.html). The DW SRF Intended Use Plan can be found here: https://www.waterboards.ca.gov/drinking_water/services/funding/DWSRFUIP.html.

If you are not certain whether to complete this Tier II Environmental Package or the Tier I Environmental Package, contact the assigned State Water Resources Control Board (State Water Board) Project Manager. If a Project Manager has not been assigned to the project, contact the State Water Board, Division of Financial Assistance (DrinkingWaterSRF@waterboards.ca.gov; (916) 327-9978).

I. GENERAL INFORMATION

Applicant (entity) name: Enter the full name of the entity that will be the legal signatory to a financing agreement.

Project title: Enter the title of the project.

Environmental documents prepared by (e.g., consultant, city, etc.): Provide the name of the environmental consulting firm, company, entity, or public agency that prepared the environmental document(s).

Environmental contact (e.g., consultant, city, or county staff, etc.): Provide the name of a person that prepared the environmental documents for the project, and/or is knowledgeable about the environmental documents. A State Water Board Environmental Scientist (Environmental Review Staff) may need to coordinate with this contact person during the environmental review process.

Contact email: Provide an email for the listed environmental contact.

Contact phone: Provide a phone number for the listed environmental contact.

Project description: Provide a description of all anticipated construction activities or indicate where this information may be found.

List and describe all environmental permits, approvals, and/or certifications required for the project: Identify any permits, approvals, and/or certifications that are required for the project. Permits, approvals, and certifications include those issued by local, state, and federal agencies, such as a California Department of Fish and Wildlife Lake and Streambed Alteration Agreement, Clean Water Act (CWA), Sections 404 Permit and 401 Certification, a Coastal Development permit, etc.

NOTE: Any project, regardless of funding, must obtain approval for any temporary or permanent disturbance to federal and state waters. The CWA, Sections 404 and 401 require consultation with the United States Army Corps of Engineers (USACE) and the Regional Water Quality Control Board(s) (RWQCB), if a project may result in the discharge of dredged or fill material into waters of the United States, including wetlands. The CWA, Section 404 Permit process through the USACE can be lengthy, and, as with the CWA, Section 401 Certification process, may ultimately require project alterations to avoid an adverse impact on waters of the United States. The applicant must consult with the USACE and the RWQCB(s) early in the planning process if any portion of the project may impact, or the project site contains waters of the United States, so that practical project alternatives and/or impact avoidance can be discussed. For more information on the CWA, Sections 404 Permit and 401 Certification processes, please visit <https://www.epa.gov/cwa-404/section-404-permit-program> and https://19january2017snapshot.epa.gov/sites/production/files/2016-11/documents/cwa_401_handbook_2010.pdf.

II. FEDERAL ENVIRONMENTAL REQUIREMENTS

Public hearing and meeting requirements. A public hearing or meeting must be held for all projects and activities except those having little or no environmental effect. Projects exempt from CEQA, and many projects covered by a MND or ND may qualify as having little or no environmental effect, and thus would not require a public hearing or meeting. Public hearings or meetings to adopt an ND or MND, or to certify a final EIR will meet this requirement. The applicant should consult with the Environmental Review Staff to determine whether a public hearing or meeting is required. If a public hearing or meeting is determined by the Environmental Review Staff to be necessary, or one has already occurred for other reasons, provide the date(s) of when any such meeting(s) was held.

Environmental Analysis of Alternatives. The DW SRF Program requires an environmental analysis of alternatives for projects that are not exempt from CEQA. Preparation of an Environmental Impact Report under CEQA typically meets this requirement. If a Negative Declaration or Mitigated Negative Declaration (ND/MND) was prepared for the project, briefly discuss the "No Project" alternative if this is not already included in the ND/MND. (For general guidance see CEQA Guidelines, section 15126.6(e)). If project alternatives beyond the selected project were considered but are not included in the CEQA document, briefly discuss or identify the document that discusses the alternative analysis.

III. CALIFORNIA ENVIRONMENTAL QUALITY ACT (CEQA)

The CEQA process must be complete prior to a financing agreement being executed by the State Water Board, Division of Financial Assistance.

Title of CEQA document: Provide the title of the CEQA document that covers the project.

CEQA lead agency: Provide the name of the public agency acting as the lead agency pursuant to CEQA Guidelines. The CEQA lead agency is the public agency which has the principal responsibility for carrying out or approving the project.

If the applicant is not a public agency (e.g., non-profit, private water system, Native American Tribe, etc.), contact the State Water Board, Division of Financial Assistance to ensure CEQA requirements are met, and to assist in determining the lead agency for the proposed project.

If the State Water Board is the CEQA lead agency, early coordination with the State Water Board, Division of Financial Assistance is necessary to ensure Assembly Bill 52 tribal consultation requirements are met and to determine the appropriate CEQA process is completed. CEQA documents prepared for the State Water Board as CEQA lead agency must meet Web Content Accessibility Guidelines (WCAG) 2.1, with a minimum conformance level of AA. Additional information about WCAG 2.1 guidelines can be found at the World Wide Web Consortium website: <https://www.w3.org/TR/WCAG21/>.

When the applicant is acting as a CEQA responsible agency, they must adopt/certify the CEQA document, approve the project, and file a Notice of Determination with the County Clerk and the Governor's Office of Planning and Research (OPR), State Clearinghouse (SCH).

Office of Planning and Research (OPR), State Clearinghouse (SCH) number: Enter the ten-digit number assigned to the project at the time of filing with the OPR, SCH.

All CEQA documents with public comment period requirements must be circulated through the OPR, SCH. Additionally, to meet DW SRF requirements, all Notices of Exemption and Notices of Determination must be filed with the OPR, SCH in addition to the local County Clerk's office.

Complete the appropriate CEQA checklist(s) below and provide any applicable documents as attachments to the Environmental Package. Some documents may fulfill multiple checklist items, for example, the CEQA lead agency may have adopted the final MND and the Mitigation Monitoring and Reporting Plan/Program in the same adoption resolution or meeting minutes.

Detailed information on CEQA requirements, including statutes and CEQA Guidelines, can be obtained at <http://www.opr.ca.gov/ceqa/>.

IV. CEQA EXEMPTION INFORMATION

Complete this section only if the project is exempt from CEQA

All CEQA exemptions, including statutory exemptions, under Tier II are subject to the CEQA exceptions (see Attachment 7 of the Drinking Water [State Environmental Review Process](#); 40 CFR 35.3580(e), which prohibit application of exemptions where there are extraordinary circumstances in which a normally excluded project may have a significant environmental effect).

Identify the CEQA exemption(s) that applies to the project: Identify the California Code of Regulations citation(s). See Attachment 7 of the Drinking Water [State Environmental Review Process](#).

Justify why the exemption(s) applies to the project: Write a brief statement justifying why the exemption(s) applies to the project. This can be the same statement included on the NOE.

If applicable, list any documents that support the CEQA exemption(s) applied to the project: Provide the title of any document(s) used to support the CEQA exemption(s) applied to the project, and submit a copy of the document(s) as an attachment to the Environmental Package (e.g., documentation explaining why exemptions to the categorical exemptions do not apply, technical reports, Initial Studies, maps, photographs, etc.).

If the project is categorically exempt, respond to the following exceptions and justify why each exception (identified in the California Code of Regulations, title 14, division 6, chapter 3, article 19, section 15300.2.) does not apply. The California Code of Regulations identifies six exceptions to categorical exemptions, which may cause a categorical exemption to not apply to a project. If a categorical exemption applies to the project, justify why each of the six exceptions listed do not apply, or indicate where this information may be found and attach supporting documentation to the Environmental Package.

Tier II Environmental Package

STATE OF CALIFORNIA
STATE WATER RESOURCES CONTROL BOARD
Division of Financial Assistance
P. O. Box 944212, Sacramento, CA 94244-2120

FINANCIAL ASSISTANCE APPLICATION
Drinking Water State Revolving Fund

DRINKING WATER ENVIRONMENTAL PACKAGE (CONSTRUCTION - TIER II)

I. GENERAL INFORMATION

Applicant (entity) name: _____

Project title: _____

Environmental documents prepared by (e.g., consultant, city, etc.): _____

Environmental contact (e.g., consultant, city, or county staff, etc.): _____

Contact email: _____

Contact phone: _____

Project description:

List and describe all environmental permits, approvals, and/or certifications required for the project:

II. FEDERAL ENVIRONMENTAL REQUIREMENTS

Public hearing and meeting requirements. A public hearing or meeting must be held for all projects and activities that are controversial.

Provide the public hearing or meeting date(s), if applicable:

Financial Assistance Application (Rev. 2/2024) Page 5 Environmental Package

STATE OF CALIFORNIA
STATE WATER RESOURCES CONTROL BOARD
Division of Financial Assistance
P. O. Box 944212, Sacramento, CA 94244-2120

FINANCIAL ASSISTANCE APPLICATION
Drinking Water State Revolving Fund

Environmental Analysis of Alternatives. The DW SRF Program requires an environmental analysis of alternatives for projects that are not exempt from CEQA. Environmental Impact Reports must evaluate alternatives to the selected project to comply with CEQA. For projects covered by a Negative Declaration or Mitigated Negative Declaration (ND/MND), at a minimum, briefly discuss environmental impacts of the "No Project" alternative if this is not already included in the ND/MND.

III. CALIFORNIA ENVIRONMENTAL QUALITY ACT (CEQA)

Title of CEQA document: _____

CEQA lead agency: _____

If no public agencies have discretionary approval over the project other than the State Water Resources Control Board, contact the Division of Financial Assistance prior to development of any CEQA documentation (please see the Environmental Package Instructions above for additional information).

Office of Planning and Research (OPR), State Clearinghouse (SCH) number: _____

Complete the appropriate CEQA checklist(s) below and provide any applicable documents as attachments to the Environmental Package.

CEQA Exemption

Required documents:

- Notice of Exemption (NOE) filed with the local County Clerk - **date filed:** _____
- NOE filed with the OPR, SCH - **date filed:** _____
- Supporting documentation for categorical exemptions (if applicable)

Initial Study/Negative Declaration (IS/ND)

Required documents:

- Draft IS/ND circulated through the OPR, SCH
- Comments received on circulated IS/ND
- Responses to comments (if applicable)
- Final IS/ND adopted by the CEQA lead agency
- Resolution/meeting minutes adopting IS/ND - **date adopted:** _____
- Notice of Determination (NOD) filed with the local County Clerk - **date filed:** _____
- NOD filed with the OPR, SCH - **date filed:** _____

Financial Assistance Application (Rev. 2/2024) Page 6 Environmental Package

Environmental Analysis of Alternatives The DW SRF Program requires an environmental analysis of alternatives for projects that are **not exempt** from CEQA. Environmental Impact Reports must evaluate alternatives to the selected project to comply with CEQA. For projects covered by a Negative Declaration or Mitigated Negative Declaration (ND/MND), at a minimum, briefly discuss environmental impacts of the "No Project" alternative if this is not already included in the ND/MND.

III. CALIFORNIA ENVIRONMENTAL QUALITY ACT (CEQA)

Title of CEQA document:

CEQA lead agency:

If no public agencies have discretionary approval over the project other than the State Water Resources Control Board, contact the Division of Financial Assistance prior to development of any CEQA documentation (please see the Environmental Package Instructions above for additional information).

Office of Planning and Research (OPR), State Clearinghouse (SCH) number:

Complete the appropriate CEQA checklist(s) below and provide any applicable documents as attachments to the Environmental Package.

CEQA Exemption

Required documents:

- Notice of Exemption (NOE) filed with the local County Clerk - **date filed:** [redacted]
- NOE filed with the OPR, SCH - **date filed:** [redacted]
- Supporting documentation for categorical exemptions (if applicable)

Initial Study/Negative Declaration (IS/ND)

Required documents:

- Draft IS/ND circulated through the OPR, SCH
- Comments received on circulated IS/ND
- Responses to comments (if applicable)
- Final IS/ND adopted by the CEQA lead agency
- Resolution/meeting minutes adopting IS/ND - **date adopted:** [redacted]
- Notice of Determination (NOD) filed with the local County Clerk - **date filed:** [redacted]
- NOD filed with the OPR, SCH - **date filed:** [redacted]

Initial Study/Mitigated Negative Declaration (IS/MND)

Required documents:

- Draft IS/MND circulated through the OPR, SCH
- Comments received on circulated IS/MND
- Responses to comments (if applicable)
- Final IS/MND adopted by the CEQA lead agency
- Mitigation Monitoring and Reporting Plan/Program (MMRP) adopted by the CEQA lead agency
- Resolution/meeting minutes adopting IS/MND - **date adopted:** [redacted]
- Resolution/meeting minutes adopting MMRP - **date adopted:** [redacted]
- NOD filed with the local County Clerk - **date filed:** [redacted]
- NOD filed with the OPR, SCH - **date filed:** [redacted]

Environmental Impact Report (EIR)

Required documents:

- Draft EIR circulated through the OPR, SCH
- Comments received on circulated EIR
- Responses to comments
- Final EIR certified by the CEQA lead agency
- MMRP adopted by the CEQA lead agency
- Statement of Overriding Considerations (if applicable) - **date approved:** [redacted]
- Resolution/meeting minutes certifying EIR - **date certified:** [redacted]
- Resolution/meeting minutes adopting MMRP - **date adopted:** [redacted]
- NOD filed with the local County Clerk - **date filed:** [redacted]
- NOD filed with the OPR, SCH - **date filed:** [redacted]

Addendum/Addenda, Supplemental or Subsequent CEQA Document

Required documents:

- Addendum/Addenda, Supplemental, or Subsequent CEQA Document
- MMRP adopted by the CEQA lead agency (if applicable)
- Resolution/meeting minutes/consideration document (if applicable) - **date:** [redacted]
- Resolution/meeting minutes adopting MMRP (if applicable) - **date adopted:** [redacted]
- NOD filed with the local County Clerk (if applicable) - **date filed:** [redacted]

IV. CEQA EXEMPTION INFORMATION

Complete this section only if the project is exempt from CEQA. All CEQA exemptions, including statutory exemptions, under both Tier I and Tier II are subject to the CEQA exceptions (see Attachment 7 of the [State Environmental Review Process](#); 40 CFR 35.3580(e), which prohibit application of exemptions where there are extraordinary circumstances in which a normally excluded project may have a significant environmental effect).

Identify the CEQA exemption(s) that applies to the project:

Justify why the exemption(s) applies to the project:

If applicable, list any documents that support the CEQA exemption(s) applied to the project:

If the project is categorically exempt, address the following exceptions and justify why each exception (identified in the California Code of Regulations, title 14, division 6, chapter 3, article 19, section 15300.2.) does not apply.

Location. Classes 3, 4, 5, 6, and 11 are qualified by consideration of where the project is to be located - a project that is ordinarily insignificant in its impact on the environment may in a particularly sensitive environment be significant. Therefore, these classes are considered to apply in all instances, except where the project may impact on an environmental resource of hazardous or critical concern where designated, precisely mapped, and officially adopted pursuant to law by federal, state, or local agencies.

If a class 3, 4, 5, 6, and/or 11 categorical exemption applies, justify why this exception does not apply to the project, and/or indicate where supporting information can be found:

Cumulative Impact. All exemptions for these classes are inapplicable when the cumulative impact of successive projects of the same type in the same place, over time is significant.

Justify why this exception does not apply to the project, and/or indicate where supporting information can be found:

Significant Effect. A categorical exemption shall not be used for an activity where there is a reasonable possibility that the activity will have a significant effect on the environment due to unusual circumstances.

Justify why this exception does not apply to the project, and/or indicate where supporting information can be found:

Scenic Highways. A categorical exemption shall not be used for a project which may result in damage to scenic resources, including but not limited to, trees, historic buildings, rock outcroppings, or similar resources, within a highway officially designated as a state scenic highway. This does not apply to improvements which are required as mitigation by an adopted negative declaration or certified EIR.

Justify why this exception does not apply to the project, and/or indicate where supporting information can be found:

Hazardous Waste Sites. A categorical exemption shall not be used for a project located on a site which is included on any list compiled pursuant to Section 65962.5 of the Government Code.

Justify why this exception does not apply to the project, and/or indicate where supporting information can be found:

Historical Resources. A categorical exemption shall not be used for a project which may cause a substantial adverse change in the significance of a historical resource.

Justify why this exception does not apply to the project, and/or indicate where supporting information can be found:

Key Takeaways

- There are two new Environmental Packages for Construction
 - Tier I- compliance with federal cross-cutter
 - Tier II- no federal cross-cutters
- Contact the Environmental Review Unit early for CEQA Lead Agency role
 - We must agree in writing
- Communication is key
 - Changes in project scope
 - CEQA documents and processes
 - Federal coordination

Resources

- Environmental Section website:
https://www.waterboards.ca.gov/water_issues/programs/grants_loans/environmental_requirements.html
- Environmental Review Requirements Brochure:
https://www.waterboards.ca.gov/water_issues/programs/grants_loans/docs/environmental_review/environmental_review_requirements.pdf
- DWSRF State Environmental Review Process:
https://www.waterboards.ca.gov/drinking_water/services/funding/documents/dwsrf_serp.pdf
- Cross-cutter Handbook:
<https://www.epa.gov/sites/production/files/2015-08/documents/crosscutterhandbook.pdf>

Thank you!

- Bridget Binning, Senior Environmental Scientist – DWSRF Unit
 - bridget.binning@waterboards.ca.gov
 - (916) 449-5641
- Abbygayle Guevara, Environmental Scientist – DWSRF Unit
 - abbygayle.guevara@waterboards.ca.gov
 - (916) 319-0180
- Robyn Mendoza Environmental Scientist – DWSRF Unit
 - robyn.mendoza@waterboards.ca.gov
 - (916) 341-5903
- Lisa Machado, Sr. Environmental Planner – Senior Cultural Resources Officer
 - lisa.machado@waterboards.ca.gov
 - (916) 323-0626



Questions?