

DIRECT OPERATION & MAINTENANCE FUNDING PROGRAM SELF-CERTIFICATION FORM

As an applicant, you must complete this self-certification form as a condition to enter into a Grant Agreement with the State Water Resources Control Board (State Water Board). Failure to meet and continue to comply with these conditions and requirements may result in the State Water Board revoking the preliminary funding award, withholding grant funding, stopping disbursements, and/or terminating the Grant Agreement.

1. Applicant Information

Applicant Name: _____
Applicant Entity Type: _____
Project Name: _____

2. Grant Agreement and Legal Opinion Templates

Have you reviewed the Division's general terms and conditions for standard contract language for grants?

Yes No

Will you be able to comply with the general terms and conditions? (Applicants that cannot will likely be directed to another funding program.)

Yes No

Have you and your counsel reviewed the legal opinion template? (Applies to applicants that are private entities or agreements over \$1 million)

Yes No

3. Urban Water Supplier Conservation

Is the applicant an urban water supplier as defined in Water Code, section 10617?

“Urban water supplier” means a supplier, either publicly or privately owned, providing water for municipal purposes either directly or indirectly to more than 3,000 customers or supplying more than 3,000 acre-feet of water annually. An urban water supplier includes a supplier or contractor for water, regardless of the basis of right, which distributes or sells for ultimate resale to customers. This part applies only to water supplied from public water systems subject to Chapter 4 (commencing with Section 116275) of Part 12 of Division 104 of the Health and Safety Code.

Yes No

If the applicant is an urban water supplier, please answer the following questions. (If the applicant is not an urban water supplier, proceed to Section 4.)

Has the applicant adopted and submitted an Urban Water Management Plan (UWMP) in compliance with Water Code, sections 10610-10657? Yes No

What is the date of the most recent UWMP? _____

Is the applicant compliant with all requirements for urban water suppliers including but not limited to metering requirements (Water Code, § 525 et seq.), water loss audits, and monthly reporting to the State Water Board? Yes No

4. Certification for Compliance with Water Metering

Does the applicant require, as a condition of new water service, that a suitable water meter to measure the water service be installed on the water service facilities (Water Code, § 525)? Yes No

If the applicant is an urban water supplier, please answer the following questions. *(If the applicant is not an urban water supplier, proceed to the next section.)*

Have water meters been installed on all municipal and industrial service connections located within the applicant's service area? Yes No

Does the applicant charge each customer that has a service connection based on the actual volume of deliveries as measured by the water meter? Yes No

If you answered "no" to any questions above, explain how the applicant is in compliance with the provisions of Division 1, Chapter 8, Article 3.5 of the Water Code (sections 525 through 529.7 inclusive) regarding metered service:

5. Litigation

There is no litigation pending relative to the operation of the applicant's water system or the proposed project.

There is litigation pending relative to the operation of the applicant's water system or the proposed project. (Attach description)

6. Land or Water System Facilities

Does the applicant own all drinking water system facilities?
 Yes No

If no, please describe what facilities are not owned by the applicant:

Are there any liens on water system property? Yes No

Is the applicant leasing land or major water system facilities? Yes No

If "yes", please describe the lien, the terms of the lease or attach a copy of the lease agreement.

7. Contracts for Operation

Does the applicant have a contract with a private firm or another agency for the operation of the facility to be funded? Yes No

If yes, provide the name of the firm or agency and term (in years) of the agreement:

8. Potential Red Flags

Does the applicant have any doubt whether their governing documents allow them to finance the project through the funding program? Yes No

Was there a significant level of protest during the most recent rate setting process? Yes No

Is there an existing or pending rate rollback initiative on an upcoming ballot, or are there any efforts within the community to initiate a rate rollback? Have rates been rolled back in the past due to a voter initiative? Yes No

Are there any current or prior material events such as bankruptcy, actions taken in anticipation of filing bankruptcy, defaults on material obligations, grand jury investigations or findings, unscheduled draws on reserve funds, or civil, criminal, or administrative investigations or enforcement actions relevant to the water system? Yes No

9. Certification

I understand that the State Water Board will rely on this signed Self-Certification Form in order to approve funding and that false and/or inaccurate representations in this Self-Certification Form may result in loss of all funds awarded to the applicant for its project.

Additionally, for the aforementioned reasons, the State Water Board may withhold disbursement of project funds, and/or pursue any other applicable legal remedy. I certify under penalty of perjury that the information provided on this form is true and correct.

Name of Authorized Representative

Signature

Title

Date