The CA CWSRF:

Review of the Loan Award and Disbursement Processes

Developed for:
CA State Water Resources Control Board
Division of Financial Assistance

Developed by:
California State University, Sacramento
Office of Water Programs
Environmental Finance Center

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Table of Contents

Appendices

Executive Summary

This report documents the activities, findings, and recommendations from a review of the California Clean Water State Revolving Fund (CA CWSRF) program administered by the California State Water Resources Control Board's (State Water Board's) Division of Financial Assistance (DFA). The program offers low-cost financing to communities who seek to implement projects that protect California's water resources and maintain defined beneficial uses. The review focused on improving the program's management efficiency through assessment of selected program aspects.

After consultation with DFA staff and representatives from California Association of Sanitation Agencies (CASA) and WateReuse California (WRC), the following activities were identified as priorities for the assessment:

- Evaluate CA CWSRF program practices, procedures, policies, timelines, and other aspects to identify potential efficiencies, improvements, or enhancements that would facilitate timely review, processing execution, and communication of the loan agreement process.
- Evaluate DFA's Loan and Grant Administration's (LGA's) program disbursement process to make disbursement requests more efficient and improve timeliness of payments.

The project was conducted by staff from the Environmental Finance Center at the Office of Water Programs at California State University, Sacramento (EFC at Sacramento State); Dr. Boniface Michael, Professor of Management and Organizations in the College of Business Administration at Sacramento State; and Dr. Sam Stone, Associate Professor of Business Administration in the College of Humanities and Social Sciences at California State University, Fullerton. Collectively, these practitioners are referred to as the project team throughout this document. Staff from the State Water Board and EPA Region 9, along with members of CASA and WRC, provided necessary data, experiences, and other information as well as peer review of this document.

This project involved reviewing selected aspects of the CA CWSRF program and developing recommendations for improvements. Specifically, the project included reviewing existing documents and application processing data, conducting interviews, developing and implementing surveys, and reviewing documents from similar programs in other states.

The project team identified a set of recommendations for improving CA CWSRF loan and grant award processes. The recommendations are categorized into the following themes:

- Standardizing and streamlining processes and reviews
- Promoting CA CWSRF program values
- Improving CA CWSRF response through engagement with applicants and recipients
- Enhancing engagement with other government functions and agencies

- Evaluating human capital needs and staffing for alignment with current and future workloads

Table ES-1 summarizes the recommended policy actions within each theme, as well as the relevant project goals each action might target. Specific details for implementing the policy actions are provided in Section 4.0, "Recommendations."

An essential component for implementing these recommendations is facilitated focus groups and/or internal discussions that address the various needs and challenges and develop a means for implementation. Implementation of the prioritized recommendations will require process and policy innovations. Assembling focus groups and/or holding internal discussions will foster collaborative approaches as staff work through the details of implementing the recommendations. Such an approach will result in an organization better capable of meeting the many stakeholder needs that it balances.

Focus groups provide a forum for exploring complex issues and promoting staff innovation. Innovation builds and maintains a culture where staff effectively conduct their functional tasks and improve their practices. External consultants can effectively synthesize discussions and ideas, while also ensuring that all participants have ample opportunity for input. The focus groups or discussions would include representatives from many roles in the organization, and in some cases external stakeholders such as staff from other state SRF programs, past and potential applicants and recipients, US Environmental Protection Agency (USEPA) staff, and managers from other California funding agencies.

Tables ES-1. Recommended Policy Action and Relevant Project Goals

Policy Action	Relevant Goals		
	Improved Communication with Applications/Recipients	Improved Timeliness	Other Improved Experience
Standardizing and Streamlining Processes and Reviews			
Develop cross-functional groups ("Project Groups")		X	
Streamline due diligence review to public finance standards		X	
Expedite environmental reviews		X	
Implement other standardization and streamlining approaches		X	
Offer programmatic financing		X	X
Promoting Program Values			
Develop recognition/reward opportunities for DFA staff		X	X
Evaluate priority project scoring to allow maintenance/repair projects to be competitive			X
Make small grants available for project planning and design			X
Plan for greater need for firefighting/fire prevention			X
Incentivize applicant collaboration and project bundling		X	
Ensure that professional development training provided to CA CWSRF staff aligns with program values, processes, and applicant needs		X	X
Improving CA CWSRF Response through Engagement with Applicants and Recipients			
Create a customer response unit to oversee engagement with applicants	X	X	X
Enhancing Engagement with other Government Functions and Agencies			
Explore the creation of cross-external stakeholder platforms for issues that are beyond the sphere of influence or control of CA DFA CWSRF	X	X	
Inquire into the nature of slow disbursements outside of the CA CWSRF to identify and document opportunities to assist with internal and external streamlining		X	
Evaluating Staffing and Human Capital Needs			
Plan and Implement a Staffing Needs Assessment		X	X
Promote Human Capital Development	X	X	X

1.0 Introduction

This report documents the activities, findings, and recommendations from a review of the California Clean Water State Revolving Fund (CA CWSRF) program administered by the California State Water Resources Control Board's (State Water Board's) Division of Financial Assistance (DFA). The program offers low cost financing to communities who seek to implement projects that protect California's water resources and maintain defined beneficial uses. The review focused on improving selected aspects of the program's management efficiency.

CA CWSRF staff from DFA coordinated with multiple organizations to facilitate this review, including the California Association of Sanitation Agencies (CASA) and WateReuse California (WRC). These organizations represent members, who are frequent applicants for CA CWSRF financing. Previous discussions with CASA and WRC representatives, as well as internal DFA discussions, led DFA staff to seek assistance in evaluating aspects of the CA CWSRF program with the intent to improve the program's functionality and efficiency. In late 2020, EPA Region 9 awarded the Environmental Finance Center at California State University, Sacramento (EFC at Sacramento State) funding through an existing grant to provide this assistance to the CA CWSRF program. The EFC is a program within Sacramento State's Office of Water Programs (OWP).

After consultation with DFA staff and CASA/WRC representatives, the following activities were identified as priorities for the evaluation:

- Evaluate CA CWSRF program practices, procedures, policies, timelines, staffing levels and other aspects of program implementation to identify potential efficiencies, improvements, or enhancements that would facilitate timely review, processing execution, and transparency of the loan agreement process.
- Evaluate DFA's Loan and Grant Administration's (LGA's) program disbursement process to make disbursement requests more efficient and improve timeliness of payments.

The project was conducted by staff from the EFC at Sacramento State; Dr. Boniface Michael, Professor of Management and Organizations in the College of Business Administration at Sacramento State; and Dr. Sam Stone, Associate Professor of Business Administration in the College of Humanities and Social Sciences at California State University, Fullerton. Collectively, these practitioners are referred to as the project team throughout this document. Staff from the State Water Board and EPA Region 9, along with members of CASA and WRC, provided necessary data, experiences, and other information, as well as peer review of this document.

This report documents the program evaluations conducted and the resulting findings and recommendations.

2.0 Methodology

This project involved reviewing selected aspects the CA CWSRF program and developing recommendations for improvements. Specifically, the project included reviewing existing documents and application processing data, conducting interviews, developing and implementing surveys, and reviewing documents from similar programs in other states. These information-gathering activities were categorized into two tasks: (1) an internal assessment task that focused on evaluating information obtained from State Water Board staff on management processes, and (2) an external assessment task that evaluated insights and experiences from stakeholders outside of the State Water Board, including CASA members, WRC members, and CA CWSRF program staff from other states. To ensure the project aligned with the needs and interests of the CA CWSRF program, multiple meetings and correspondence with the project proponents (staff from DFA and EPA Region 9 and members of CASA and WRC) were incorporated.

2.1 Internal Assessment

This task involved reviewing materials and information available from the State Water Board to evaluate the existing CA CWSRF program, as well as historical program functions. Information came from a variety of sources, including document reviews, interviews, and surveys. The specific activities included reviewing relevant materials provided by DFA, conducting surveys and interviews with DFA staff, and mapping the processes for reviewing applications, developing agreements, and disbursing funding awards.

2.1.1 Material Review

DFA staff provided a series of files relevant to CA CWSRF applications, agreements, and disbursements. The project team used the documents to understand and evaluate DFA's internal management processes and personnel, as well as the CA CWSRF program's historical staffing levels and duties. Appendix A lists DFA and State Water Board documents and resources reviewed by the project team. The materials included a report (Northbridge 2008) that documented an effort by Northbridge Environmental Management Consultants to conduct a strategic review of the State Water Board's CA CWSRF program. The project team also reviewed resources available on DFA's website. All materials provided valuable insight regarding the CA CWSRF program, including DFA's past efforts and existing strategies to streamline the CA CWSRF program.

2.1.2 Organizational Cultural Survey and Interviews

The internal assessment included material reviews, surveys, and interviews conducted by Dr. Boniface Michael, Professor of Management, College of Business Administration at Sacramento State. Dr. Michael interviewed 34 State Water Board managers, supervisors, and staff that were jointly identified from different DFA units and sections as having first-hand knowledge of CA

CWSRF's processing of low-cost financial assistance applications for water-quality projects. All but one interview were conducted over Zoom; one was conducted in person. The interview questions are listed in Dr. Michael's report (Appendix B). The interviews were initially analyzed for supervisors' and staff members' responses and focused on enablers and barriers during processing of applications, award agreements, and payment disbursements for low-cost financial assistance for water-quality projects. Analyses yielded patterns around key themes, which were further analyzed for cause and effect during application processing. These comparisons and analyses provided the basis for findings, conclusions, and recommendations.

Professor Michael used a third-party-administered survey, the Denison Organizational Culture Survey, which assists organizations in identifying needs and strategies for achieving higher performance. Specifically, the survey was used to measure the underlying beliefs, values, and assumptions of State Water Board staff involved in reviewing CA CWSRF applications, developing funding agreements, and disbursing award funds. The survey also measured practices and behaviors that represent and influence such beliefs, values, and assumptions. The model is intended to provide insight on the following questions (Denison 2021):

- Does your team understand your mission and where you're headed?
- Do they believe the firm can stay competitive and adapt to changes in the market?
- Are your people involved, and do they feel they have the training they need?
- Are your values clear and being lived out through consistent processes?

The survey consisted of 48 questions aimed at evaluating four performance drivers and 12 cultural aspects as shown in Table 1.

Table 1. Denison Organizational Cultural Survey performance drivers and cultural aspects

Mission	Consistency	Involvement	Adaptability
Strategic direction and intent	Coordination and integration	Capability development	Organizational learning
Goals and objectives	Agreement	Team orientation	Customer focus
Vision	Core values	Empowerment	Creating change

Thirty-two interviewees were invited to anonymously complete the Denison Organizational Cultural Survey, 30 of which submitted their survey responses. To ensure reliability in the data collection, all invited participants were first interviewed and then invited to complete the survey.

Questions from the Denison model, which are presented in a multiple choice format, were adapted to the needs of the CA DFA CWSRF application, agreement, and disbursement processes. Dr. Michael distributed the survey to DFA staff as directed by the Assistant Deputy Director of DFA's Loans and Grants Branch. Survey respondents were provided a series of qualitative ordinal responses and were instructed to select one. The potential responses included: strongly disagree, disagree, neutral, agree, strongly agree, or not applicable. The survey results were then compared to those from 87 other financial services organizations within the Denison survey database and reported as percentiles.

Dr. Michael's report on his findings and recommendations, as well as the survey and interview questions used, is provided as Appendix B. Section 3.1 provides a summary of his findings, including actionable items for the State Water Board's consideration.

2.1.3 Process Mapping

The project team mapped DFA's internal processes and timelines for reviewing applications, developing funding agreements, and disbursing payments. The team held meetings with DFA staff to define the workflow and timelines from beginning to end (i.e., the point an application is submitted to the point a disbursement is made to the recipient). Section 3.2 presents the phases, activities, and timing for application reviews, agreement execution, and payment disbursement.

2.1.4 Evaluation of Historical Application Timeframe Trends

DFA maintains a database of key dates for each application processed. The project team evaluated the period of time associated with various stages of the loan development and application using data provided by the State Water Board. The project team developed graphics to analyze application submittal periods and agreement execution timing and compared the results against general processing times estimated by DFA staff. Similarly, the project team evaluated trends between months to executed agreement versus loan amounts and service size. The data (see Appendix C) covered projects executed between July 2013 and January 2020. The project team also reviewed and documented summary statistics provided by DFA regarding legal reviews of applications.

2.2 External Assessment

This task involved gathering and reviewing materials and information available from stakeholders outside the State Water Board to evaluate how past and potential future CA CWSRF applicants in California view the process, as well as how other states manage their CA CWSRF application review, agreement execution, and disbursement processes. As with the internal assessment task, information came from a variety of sources, including reviews of relevant materials, interviews, and surveys.

2.2.1 Material Review

All 50 states and Puerto Rico have CWSRF programs. As such, there is significant experience in implementing the programs, including attempts to streamline various processes, increase program efficiency, and achieve the missions of the state authorities and EPA. In September 2021, USEPA hosted a webinar focused on approaches for streamlining CWSRF and Drinking Water State Revolving Fund (DWSRF) programs. The webinar summarized common challenges faced in implementing state revolving fund (SRF) programs, as well as challenges faced by applicants. The webinar served as an important summary for reviewing CA CWSRF processes, including context of the various challenges as well as strategies for overcoming them. The project team then compared the strategies recommended by EPA and others for overcoming these challenges to those currently being implemented by DFA. The slides presented during the September webinar are provided in Appendix D.

2.2.2 Past Applicant Survey

Survey questionnaires were submitted to past applicants to gain insights from their experiences with the process. Dr. Sam Stone, Associate Professor of Public Administration, CSU, Fullerton, coordinated with State Water Board staff, CASA and WRC representatives, and other members of the project team to prepare survey questions that targeted past CA CWSRF applicants. Dr. Stone submitted the questions to DFA staff, CASA/WRC representatives, and the project team for review and comment. The project team then distributed the survey to past applicants using contact information provided by DFA. Past applicants were given approximately 30 days to respond. Appendix E contains the survey questions submitted to past applicants,

2.2.3 State CWSRF Interviews

Investigation of CWSRF programs in other states involved interviewing a limited number of other state CWSRF practitioners on several topics, including: program structures, existing processes, and achievement benchmarks. DFA and EPA Region 9 staff recommended particular states to study based on programs that are similar to that of California in size, demand, and sophistication, and which might serve as a model for California with respect to efficiency and best practices. Interviewees included staff from the New York Environmental Facilities Corporation (NYEFC), Pennsylvania Infrastructure Investment Authority (PennVest), Texas Water Development Board (TWDB), Iowa Department of Natural Resources (IDNR), and Iowa Finance Authority (IFA). Appendix F lists the interview questions posed to CWSRF practitioners in other states.

3.0 Findings

This section summarizes findings from each project task arranged by themes. Each of the themes includes dozens of recommendations relevant to improving the timeliness and transparency of DFA's application, agreement, and disbursement processes, and several of the individual project tasks have the same or similar findings and/or recommendations. A prioritized list of recommended action items is presented in Section 4.0.

3.1 Material Review: Current Strategies

Based on the findings of the internal and external assessments, the challenges for the CA CWSRF program are common to many if not all states managing CWSRF and DWSRF programs. This section provides broader insights from summary literature relevant to CWSRF programs, and specific findings based on the internal and external material reviews. It also lists recommendations that were identified for the CA CWSRF program.

The 2021 EPA webinar, "Streamlining CWSRF and DWSRF Programs" (EPA 2021), provided an important summary of so-called pain points faced by such programs. Merriam Webster defines pain points as "a persistent or recurring problem (as with a product or service) that frequently inconveniences or annoys customers." The pain points identified during the EPA webinar are presented in Table 2.

Table 2. Common SRF application pain points (EPA 2021)

Pain Point	Pain Point, cont'd.
Takes too long	Paper copies and wet signatures
Lack of transparency	Architectural and engineering (A&E) procurement
Program geared to traditional projects	Underwriting standards vary widely
Uncertainty in funding and terms	Multiple agencies conducting technical review
Application deadlines	Uncertainty in categorical exclusions qualifications
Zombie projects and requirements[1]	Too many inspections
Process is complicated and repetitive	Takes too long to get paid
Process is too sophisticated, excludes smaller borrowers	Disbursements cannot be submitted digitally
David-Bacon and AIS compliance	Too many reviews and approvals
Permitting confusion	Manual processes

[1] *Zombie refers to projects for which no action has occurred for some time (and presumably abandoned) or old EPA SRF or State Water Board requirements that are no longer applicable.*

Faced with common challenges, EPA, state CWSRF and DWSRF programs, and other partners such as Northbridge Environmental Management Consultants (Northbridge) assembled multiple strategies for addressing such pain points. The CA CWSRF program can be considered a leader in recognizing and attempting to remedy those challenges. To improve funding opportunities and experiences for stakeholders (applicants, recipients, State Water Board staff, and others), the State Water Board enlisted Northbridge in 2008 to conduct a strategic review of the CA CWSRF

program and implemented most of the resulting recommendations. In addition to those program revisions, DFA has implemented several additional strategies that have been identified by EPA and partnering entities. These efforts are summarized in the following sections.

3.1.1 Northbridge 2008 Strategic Review of CA CWSRF

Northbridge's 2008 strategic review of the CA CWSRF program explores how the program could most effectively meet the needs of communities and maximize improvements to water quality. The effort was a two-part process that involved (1) surveying communities to understand how they make decisions on infrastructure financing and their perceptions of the CA CWSRF, and (2) interviewing State Water Board, regional and California Infrastructure and Economic Development Bank (I-Bank) staff regarding how projects move through the CA CWSRF program pipeline, processing issues, and potential improvements. (I-Bank provides financial assistance to support public infrastructure and private development in California communities). Northbridge identified multiple recommendations to address identified issues. Appendix G summarizes the issues and recommendations as well as the State Water Board's subsequent actions.

3.1.2 Additional Streamlining Efforts

In addition to summarizing pain points faced by state CWSRF (and DWSRF) programs, EPA's 2021 webinar, "Streamlining CWSRF and DWSRF Programs" (EPA 2021), suggested several strategies for managing various elements of the SRF programs. Table 3 lists strategies as well as DFA efforts to implement them. The table demonstrates DFA's existing efforts to provide low cost financing, as well as other services, to communities, organizations, and utilities in California, and to improve processes and experiences. Strategies not currently practiced in California are listed in bold type. Potential incorporation of such strategies by DFA is discussed below and incorporated into the overall project recommendations presented in Section 4.0.

Projects for which state funding is awarded and/or requested in CA vary widely in complexity. Often projects having more complicated design or environmental compliance needs can delay processing of more straightforward, lower-risk projects. Requests for non-standard payment terms can also cause a bottleneck for other projects coming down the process pipeline, particularly during legal review. DFA could develop separate project groups, comprised of staff from all project review/approval units and sections. Some groups could focus on simpler projects that use standard terms and limited environmental compliance issues. Other groups could specialize in more complex projects—those requesting specialized terms and having more detailed CEQA requirements. These groups can also establish new processes as appropriate for new types of projects or project challenges that arise.

Other state SRF programs implement programmatic financing, and EPA promotes its use through issuance of guidance. CA CWSRF applicants and recipients in California have expressed interest in programmatic financing. According to EPA (2022), "Programmatic Financing (or "Pro-Fi" for short) offers mutual benefits for CWSRF programs and their largest customers. For the utility, Pro-Fi provides a stable, predictable funding source to incorporate into the annual budget

process, as well as a simplified CWSRF application process. For CWSRF state programs, Pro-Fi provides a guaranteed source of regular disbursements that allows for reliable cash flow planning and reduces the risk that unliquidated obligations will grow out of control." The project team recommends that DFA consider offering programmatic financing, but should be aware of several issues. First, EPA's guidance recommends using programmatic financing to fund design and planning. Design and planning activities are those that may be part of a capital improvement plan, but would not usually be financed with debt. Many communities' debt policies may have rules about this. Second, securing loans to pay for projects that are already in progress may have subsequent effects. Existing bond covenants may have restrictions about taking on additional long term debt for projects that have already been financed. The project team recommends that DFA obtain a legal opinion from DFA attorneys on these two points to inform general guidance on the use of programmatic financing for large customers

Value stream mapping is a management tool that details all of the processes and steps involved in delivering a product or service for purposes of improving workflow. The process of creating a value stream map displays all the necessary people, processes, information, and inventory in a flowchart format (Purdue 2022). Many organizations use value stream mapping to apply lean business principles, which can reduce redundancies in specific areas of their processes. Examples of value stream mapping for SRF programs exist in other states. The Iowa DWSRF and CWSRF programs implemented value stream mapping in 2019/2020 (Iowa 2022) to reduce internal program redundancy, improve product hand-offs alignment between customer requirements and staff roles, and identified and prioritized of areas of opportunity for improved flow. In California, value stream mapping is described by the California Department of Human Resources (CalHR) as part of Lean, which is "…a continuous improvement methodology based on five key principles to eliminate waste and increase value designed to improve processes and quality from the point of view of the customer." (CalHR 2022). Many states and universities offer value stream training and/or Lean, including CalHR.

DFA will be enabling Adobe Sign for execution of agreements in fall of 2022, which will cut down on the mail/processing time of wet-signatures.

Other strategies DFA may consider implementing include:

- Reviewing California program requirements to ensure previous state or federal requirements that have been changed or are no longer in place (i.e., zombie requirements) have been updated and removed.
- Identifying ways to maximize the use of the categorical exemptions.
- Combining the environmental review with the review of the project engineering report.
- Developing and implementing an action plan for staff to assume the most critical positions within the CA CWSRF program (i.e., succession plans)
- Getting project stakeholders on the same page.
- Building team attitude through incentives, training, mentoring, and cross-functional groups.

Table 3. Strategies for managing SRF program elements and CA CWSRF strategy implementation

Program Element	Suggested Strategies (modified from EPA 2021)*	CA Practices
Overall Program	• Online application dashboard • Realistic roadmap/checklist • **New processes for new project types****	• Applications are submitted online through the Financial Assistance Application Submittal Tool (FAAST) • DFA uses a checklist for obtaining signatures throughout all phases of CA CWSRF loan processing
Project Development	• Quick, easy, and inexpensive planning and design assistance upfront • Multiple application windows • Enlist partners (consulting engineers) • Make terms available upfront • Earlier involvement of technical staff and project managers • Hire grant writers or make them available	• Financing for planning and design is available. • FAAST allows applicants to submit full applications or individual components of applications at any time. • DFA enlist technical assistance providers to aid small disadvantaged communities with application development • Sample CWSRF Financing Agreement is posted on DFA website • Project managers are assigned as soon as the General Package of the application is submitted
Project Priority List	• Simplify scoring system • Create a self-score or auto score • Create scoring system that is predictable and easily understood by non-experts using readily available public data • Target zombie projects for follow up	• DFA uses a simplified scoring system that is identified in the 2019 CWSRF policy (State Water Board 2019) • DFA provides a priority score estimation worksheet for applicants to score their projects following the process identified in the 2019 CWSRF policy (State Water Board 2019) • The CA CWSRF 2021 IUP (State Water Board 2021) recommended removing 26 projects from the funding list due to inactivity/non-responsiveness; the 2019 CWSRF Policy (State Water Board 2019) allows removal of projects for various reasons, but no timeframe/frequency is specified

Program Element	Suggested Strategies (modified from EPA 2021)*	CA Practices
Project Application	• Paperless online process • One stop funding window and universal application • Break the process and application into phases • Allow for electronic submittals (especially for large files) • Auto-routing and auto-scoring • Simple language • Templates and checklists • **Streamlined process for specific types of projects**** • **Programmatic Financing (as described on EPA website)**** • **Eliminate steps or submittals that don't add value or aren't needed****	• The online application system, FAAST, reduces the use of paper by allowing submittal of applications electronically • The CA CWSRF application package is divided into four packages that are reviewed by various responsible staff • Application templates and checklists are available on DFA website • Language in the application templates is simple and straightforward
Requirements	• Elation or other software for Davis-Bacon Act compliance • Pre-flagging American Iron & Steel items • Simplify American Iron & Steel with training and templates • Contractor and consultant training • A&E procurement management • **Eliminate zombie requirements (e.g., facility plans)**** • **Be clear about minimum acceptable as opposed to aspirational****	• DFA provides multiple Davis-Bacon compliance resources on the State Water Board website • DFA provides multiple resources for compliance with the American Iron & Steel provision on the State Water Board website • DFA provides multiple resources on CA CWSRF requirements on the State Water Board Website, including training opportunities
Financial and Technical Review	• Provide real time online tracking and other steps to increase transparency • Single point of contact • Structure and review submittals in parallel and using see-saw approach	• DFA hosts an Application Status Search tool on their website indicating which packages of an application have been submitted and which have been reviewed with weekly updates • DFA assigns a PM who is the point of contact starting when the General Package is submitted and continuing through application review, agreement execution, and project implementation (including disbursements) • Application packages are reviewed in parallel

Program Element	Suggested Strategies (modified from EPA 2021)*	CA Practices
Environmental Review	• State conducts the environmental review • Earlier state involvement • Self-certify cross cutters • EID template • **Maximize use of categorical exemptions**** • **Combine with project engineering report**** • **Consolidate public participation and flexible options****	• DFA reviews the environmental package internally • Applicants are encouraged to reach out to the assigned DFA PM to coordinate with DFA's environmental staff • State Water Board's website has a webpage dedicated to environmental review resources and contacts • State Water Board's website provides instructions and a template for the environmental package
Construction Disbursement	• Allow paperless submittals and electronic signatures • Universal disbursement form/process	• DFA contract analysts provide loan recipients with disbursement request templates • DFA implemented electronic claim submittal and Adobe Sign • DFA uses Forms 260 and 261, which are universal for all projects submitting disbursements

Program Management	• SOPs
	• Information platform/loan management system
	• Templates, forms, and checklists
	• **Succession plan****
	• **Getting regional staff on the same page****
	• **Building team attitude****
		• DFA staff hold manager meetings monthly or bi-monthly to coordinate various program management tasks:
		  ○ Marketing efforts and needs
		  ○ Routing of agreements and amendments
		  ○ Review of environmental packages
		  ○ Review of applications and staging projects for execution of initial financing agreement
		  ○ Identification of stumbling blocks/issues
		  ○ Review of dated projects
		  ○ Planning of principal forgiveness
		  ○ Program management efforts and workload issues
		  ○ Technical/PM consistency
		  ○ Current program finances, audit and control issues, tax compliance, and data management.
		• DFA holds monthly meetings to update all staff on current issues associated with the program, conduct training, share information, and provide staff recognition

** Strategies proposed in EPA 2021 were modified to list only those relevant to application reviews, agreement execution, and payment disbursements.*

*** Strategies in bold indicate those not currently practiced in CA. Refer to the report narrative for discussion.*

3.2 Workflow Mapping

This subsection presents the workflow of DFA's internal processes and timelines for reviewing applications, developing funding agreements, and disbursing payments.

3.2.1 Workflow Phases

Figure 1 presents three phases for processing CA CWSRF loans: application review and approval; agreement preparation and execution; and payment disbursement. **Phase 1** consists of two primary actions: (1) prescreening and scoring applications (if applicable) and (2) reviewing applications for initial approval (Figure 2). During the first action, an application is assessed to identify which unit within DFA should take the lead on reviewing the application. A project manager is then assigned, and the application is scored and ranked; the CA CWSRF program receives more applications (i.e., requests for loans) than funds are available, so State Water Board staff have developed a scoring system to rank applications. The scoring system is described in the State Water Board's Policy for Implementing the Clean Water State Revolving Fund (State Water Board 2019). The scoring system includes a minimum score that applications must attain to be place on the fundable list. December 31 is the annual cutoff date for accepting applications to prescreen and score, and the prescreening and scoring activities begin January 1. Applications from small, disadvantaged communities are not scored, but instead are put directly on the fundable list.

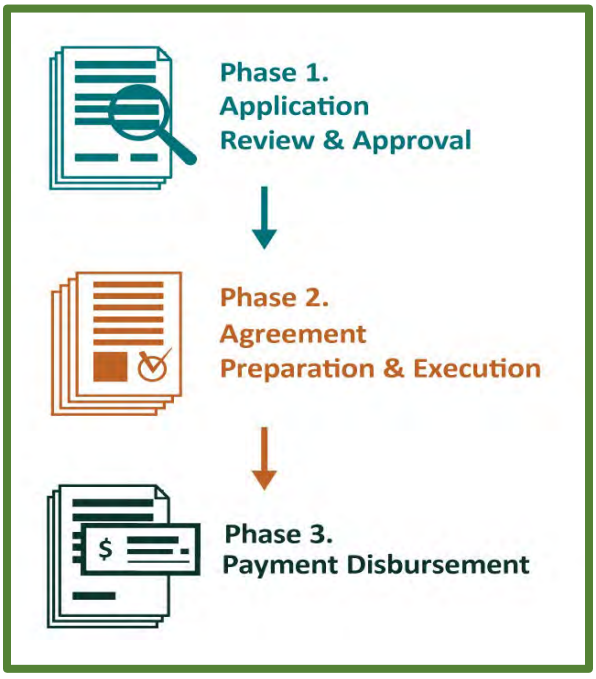

Figure 1. Three phases of processing CA CWSRF loans

If the application makes the fundable list, the application moves to the second action of Phase 1—reviewing applications for initial approval—during which various State Water Board staff review the four packages of the application: General Package, Technical Package, Environmental Package, and Financial Package. The formal application review starts July 1 (although preliminary reviews commence once the General Package has been submitted). Once the application is approved, a Master File is created and serves as the approved application, which is moved to Phase 2: Agreement Preparation and Execution. Figure 2 shows the workflow for Phase 1, and Table 4 shows the approximate duration of the steps.

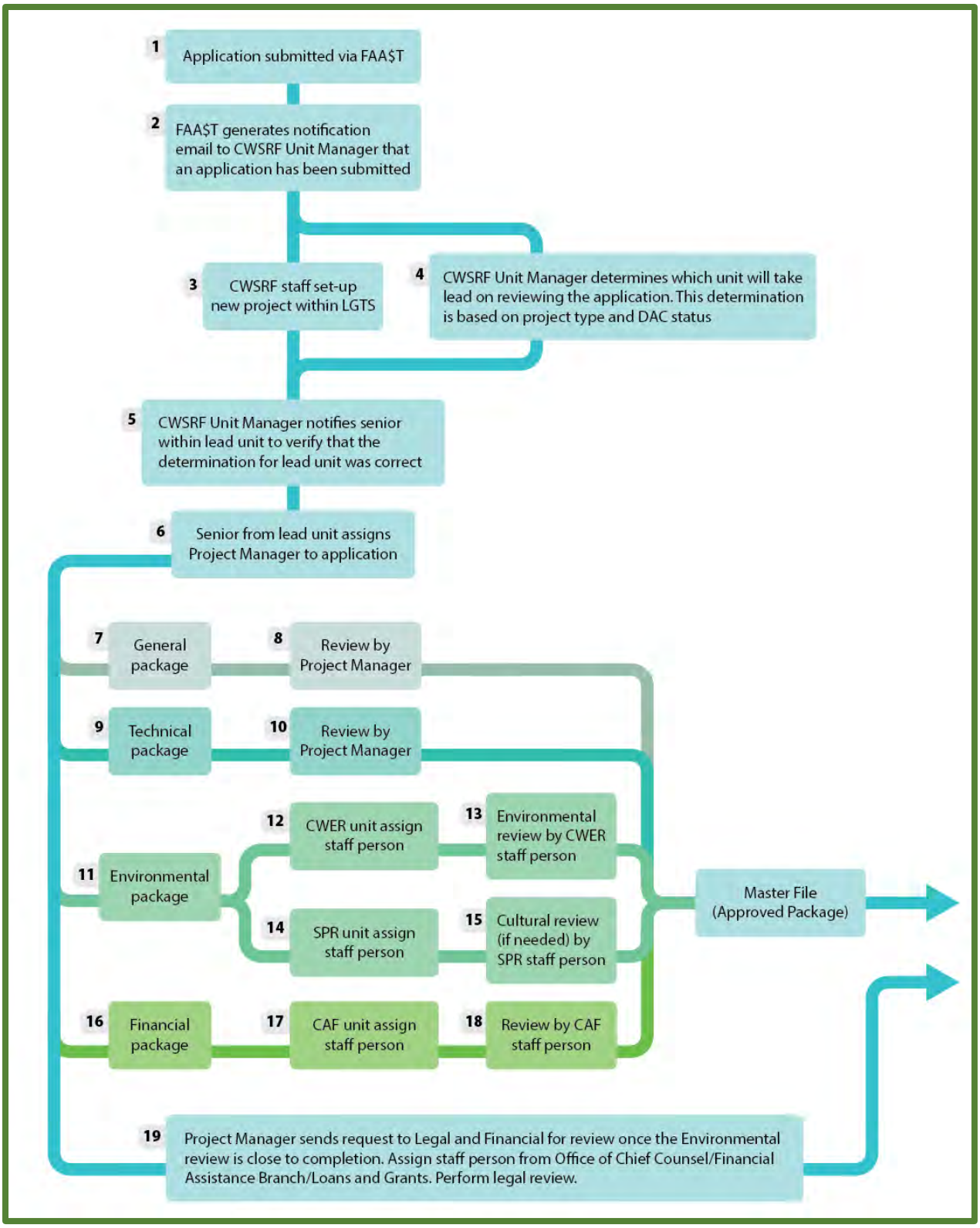

Figure 2. Phase 1 of processing CA CWSRF loans: Application Review and Approval

Table 4. Approximate duration of Phase 1 steps

Box(es)	Minimum Duration	Maximum Duration	Comment
1	0	0	Start
2	<1 day	1 day	Actual time to perform task is a couple of minutes
3–6	1 day	30 days	Typically occurs every 2 weeks
7–8	1 day	6 months	General review
9–10	1 month	7 months	Technical review
11–15	2 months	10 months	Environmental review
16–18	2 months	7 months	Financial review
19	2 months	7 months	Legal review

Note: For boxes that are combined, reviews are performed in parallel with the intent that the reviews are completed at approximately the same time. Typically, the Legal Review starts at the same time as the Financial Review.

Phase 2 consists of three primary actions: (1) reviewing and approving transaction documents, (2) issuing encumbrance documents, and (3) executing agreements. First, a DFA analyst is assigned who then prepares transactions documents and routes them for required approvals. Next, the analyst sends the recipient an agreement and prepares encumbrance documents for approval. The Office of Chief Counsel (OCC) then reviews the signed documents, and the analyst routes the them to the Assistant Deputy Director and Deputy Director for review and approval. Finally, the analyst consolidates all documents into a single file, routes it to various staff, and finalizes the documentation (i.e., the closing checklist). Figure 3 maps the Phase 2 workflow, and Table 5 shows the approximate duration of the steps.

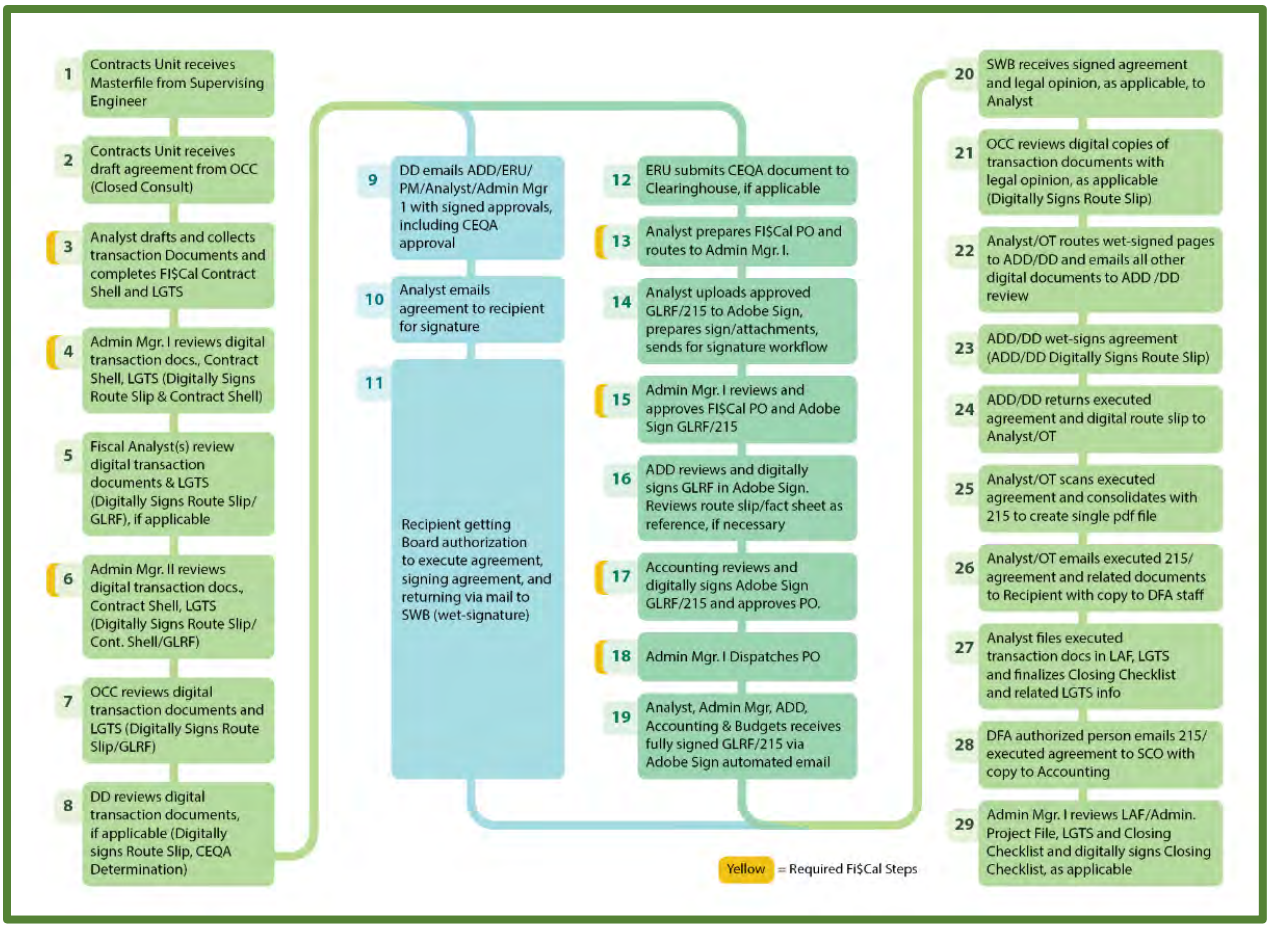

Figure 3. Phase 2 of processing CA CWSRF loans: Agreement Preparation and Execution

Table 5. Approximate duration of Phase 2 steps

Box(es)	Minimum Duration	Maximum Duration	Box(es), continued	Minimum Duration	Maximum Duration
1 – 2	0	0	**13 – 20**	5 weeks	6 weeks
3	1.5 weeks	2 weeks	**21**	1 week	1 week
4	2 days	4 days	**22**	1 week	1 week
5	1 week	2 weeks	**23**	2 days	4 days
6	3 weeks	3 weeks	**24**	2 days	4 days
7	3 weeks	3 weeks	**25**	1 week	1 week
8	1 week	2 weeks	**26**	1 day	1 day
9 – 11[1]	—	—	**27**	1 day	2 days
12	1 day	1 day	**28**	1 day	1 day
13 – 20	5 weeks	6 weeks	**29**	1 d	2 d

[1]*Occurs in parallel with Boxes 12 through 19.*

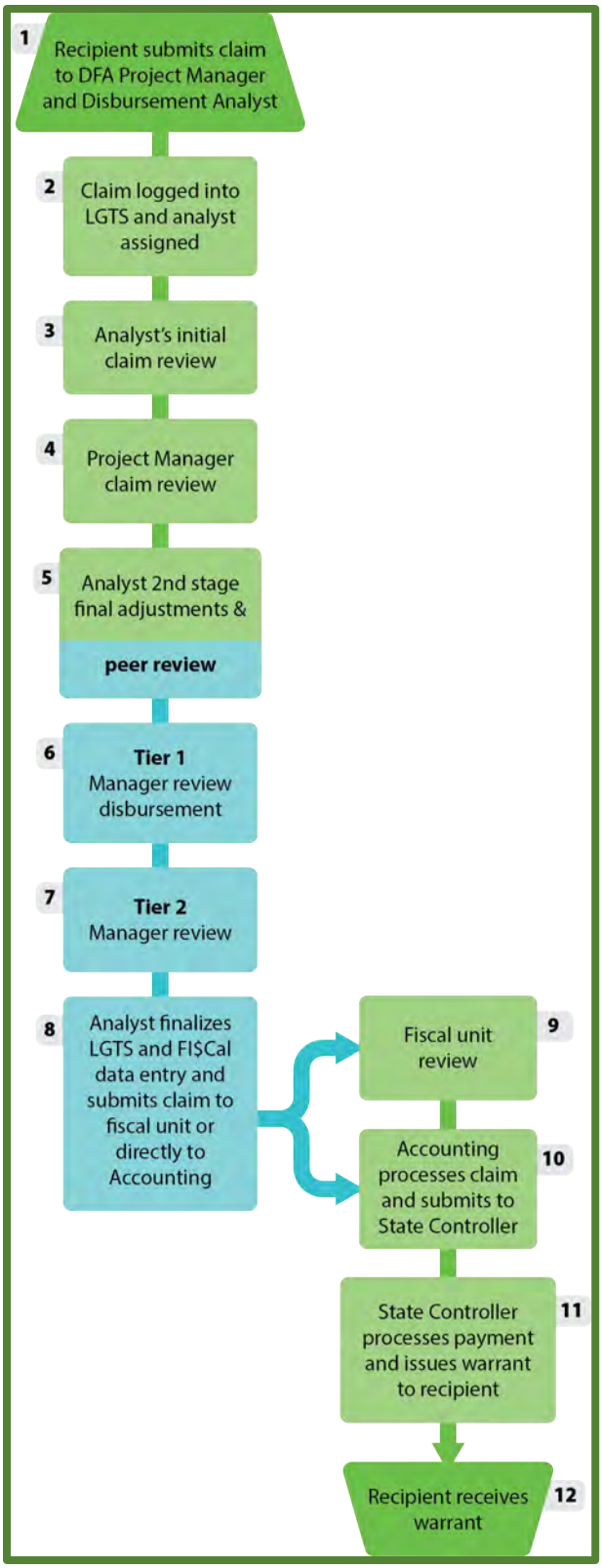

Figure 4. Phase 3 of processing CA CWSRF loans: Payment Disbursement

Between Phase 1 and Phase 2, OCC staff finalize the legal consultation. In general, this starts once the Environmental Package review is near completion in Phase 1 (during application review) and is completed before a DFA analyst is assigned in Phase 2. OCC staff identify potential compliance gaps, prepare a draft agreement, and obtain concurrence from the applicant's counsel. During Phase 3, the recipient submits a claim to the DFA project manager and disbursement analyst. DFA processes the claim and submits it to accounting (i.e., the Division of Administrative Services), which then submits the claim to the State Controller's Office (SCO) for processing and warrant issuance. Figure 4 shows the Phase 3 workflow. Table 6 shows the approximate duration of the Phase 3 steps.

Table 6. Approximate Duration of Phase 3 Steps

Box(es)	Minimum Duration	Maximum Duration
1	0	0
2	1 day	1 day
3[1]	7 days 30 days	14 days 45 days
4	3 day	5 days
5	1 day	1 day
6	1 day	1 day
7	1 day	1 day
8	1 day	1 day
9[2]	—	—
10	2 days	3 days
11	2 weeks	4 weeks
12[3]	—	—

[1] *Small DACs: 7 to 14 days; larger loans: 30 to 45 days.*
[2] *NA to CA CWSRF loans unless bond funds are used.*
[3] *Function of the mail service.*

3.2.2 Workflow Timelines

Figure 5 presents the approximate duration of each phase for processing CA CWSRF loans. (See Figures 6–8 for actual data distributions.) Applications are accepted between January 1 and December 31 through the State Water Board's online tool, Financial Assistance Application Submittal Tool (FAAST). The first stage of Phase 1, prescreening/scoring activities, begins the following January 1 and is typically completed by the end of February. The application scores are incorporated into an annual document titled *State of California Clean Water State Revolving Fund Intended Use Plan*, referred to as the IUP. The IUP contains the fundable list, i.e., the list of project applications that will be reviewed and are eligible to receive funding. The IUP is typically approved by the State Water Board in June—the end of the fiscal year—to be effective for the following fiscal year.

Figure 5. Approximate durations for each CA CWSRF loan processing phase, as estimated by DFA staff *(see Figures 6-8 for actual data distributions)*

The second stage of Phase 1, application reviews, may begin for some projects prior to approval of the IUP, depending on staff workload and DFA's progress towards executing agreements for projects on the current IUP list. For example, State Water Board staff will start the review of the Environmental Package before July 1 since this review routinely requires a long lead time. Overall, the two stages of Phase 1 (prescreening/scoring applications and reviewing applications) take approximately 12 months, according to DFA staff. However, the duration of Phase 1 activities can take more or less time depending on the size and complexity of the application and if additional information from the applicant is required.

Phase 2 (agreement preparation and execution) typically takes 6.5 to 8 months according to State Water Board staff. As shown in Figure 3, Phase 2 consists of 29 different stages from the time an analyst is assigned to the time an agreement is executed. Each stage can take from a couple of days to a few weeks.

Discussions with DFA administrative and management staff identified potential opportunities for process and efficiency improvements during Phase 2 activities, including:

- The DFA analyst is required to manually enter data into 4 different forms/systems: (1) Loans and Grants Tracking System (LGTS); (2) FI$CAL, the California's financial management systems that includes all of the state's accounting, budgeting, cash

management, and procurement operations; (3) Grant/Loan Request Form (GLRF), and (4) Standard Form 215 (STD215). This manual entry of data into 4 different forms/systems can increase the chance of human error. In addition to the time needed to re-enter data multiple times, if an error occurs, the review process starts over, which increases the total processing time.

- DFA has been trying to engage with EPA to gain access to in-kind funding to support LGTS database upgrades targeting automation solutions to improve efficiency involving both contracts and disbursements. Unfortunately, EPA has not offered access to in-kind funding since 2017. In-kind funding allows CWSRF programs to request EPA to set aside a specified amount from a capitalization grant to be applied towards a set scope of work that is managed through EPA's contract process using EPA contractors. DFA previously worked with EPA through this arrangement to facilitate significant upgrades to LGTS such as converting it from network-based to web-enabled.
- Most State Water Board staff have been working from home remotely starting March 2020 due to the public health response associated with the novel coronavirus disease of 2019 (COVID-19) pandemic. Some staff were allowed to come into the office periodically to complete various administrative functions. Although DFA converted many administrative steps from physical to virtual actions during the pandemic, some steps continued to require physical actions by staff. This affects the time needed to route documents for approval. DFA staff regularly assess DFA's remote work practices to identify additional steps that can be converted from physical to virtual actions, and should continue to evaluate the utility and necessity of all steps in the process whether physical or virtual.

Finalizing the legal consultation between Phase 1 and Phase 2 typically takes 2 months. However, this effort can take longer if:

- Applicant's counsel requests modifications to the draft standard agreement.
- Applicant incurs new, undisclosed debt.
- Applicant has undisclosed/unresolved legal issues (e.g., property rights issues, material litigation, other creditor consent issues).
- Applicant has eligibility issues associated with co-funding sources.
- Applicant's organizational structure is complex (e.g., joint powers authority, conduit finance authority).
- Applicant's security is atypical (e.g., an assessment district).
- Applicant changes bond counsel or waits to bring in bond counsel.

Phase 3 (payment disbursement) typically takes 2 months. However, the process can take longer if the analyst identifies inaccuracies or conflicts in the recipient's claim submittal. During discussions with DFA administrative staff and management, the following findings were identified regarding Phase 3 activities:

- The statewide implementation of FI$CAL resulted in changes the timing and activities for Phase 3. The time for the SCO to process payment and issue a warrant increased to 1 to 2 weeks; the disbursement analyst is required to scan the claim submittals and place those electronic documents in a shared location; and the SCO requires the electronic invoice, STD215, and the executed agreement.
- The disbursement analyst typically needs 4 to 6 weeks for the initial claim review. The size of the disbursement requests, which include large amounts of backup documents, is one reason for the protracted review times.
- CASA members emphasized the importance of reducing the amount of time between the State Water Board's receipt of reimbursement requests and the actual receipt of payment. They consider waiting more than 90 days for this to be unacceptable. CASA members also suggested the disbursement process should move from paper checks to electronic funds transfers.
- Delays from 5 to 60 days can occur if the claim does not include all the required information.

DFA management was asked if additional disbursement analysts are needed to reduce the time a warrant is issued. The ratio of disbursement analysts to project managers is currently 1:4 for the CA CWSRF program. However, DFA management stated that many factors need to be considered outside of this ratio. Two categories of factors include staffing and workload.

Under the staffing category, it is helpful to look at staff vacancy and retention rates. Currently, the longest tenure for a disbursement analyst within DFA's Disbursement Water Quality Unit is approximately one year. Under the workload category, a number of issues can cause an increase to the amount of time needed to issue a pay warrant, including:

- First disbursement requests—The first disbursement request typically takes longer to review due to the inclusion of preliminary costs.
- Large disbursement requests—Large construction projects typically range from 50 pages to 1 or more banker boxes worth of documents that need to be reviewed. DFA uses Adobe Acrobat DC to review electronic claims. According to DFA, the larger the electronic claim the slower the review and the greater the likelihood the software stops functioning. Therefore, DFA limits the size of electronic submittals to 200 pages or less.
- Multiple disbursement requests—A single project may submit multiple requests within the same month. Prior analysis has shown that this issue can create one month of additional workload for a disbursement analyst annually.
- Infrequent disbursement requests—Some recipients do not submit disbursement requests frequently enough. (Requests should be submitted at least once per quarter.) This situation results in significantly larger submissions for costs accumulated over a number of months. These larger submissions lead to processing delays, cashflow issues for the recipient and sometimes cashflow issues for the CA CWSRF program. If there is a cashflow issue for the CA CWSRF Program, a funding shift will need to be performed.

- Errors in disbursement requests—Recipient submission errors can delay a disbursement by a week or more depending on the responsiveness of the recipient and/or direction of the PM. A DFA processing error can result in delays ranging from a single day to three weeks.
- SRF and government obligation (GO) bond funding sources—Disbursement requests that have a GO bond component must also be routed through DFA's Bonds FI$CAL Unit and recorded in the State's Agency Bonds Consolidated Reporting System (ABCRS) database.
- Agreement amendments—Agreement amendments resulting in changes to the GLRF, STD215, and FI$CAL can prevent disbursement transactions in FI$CAL until the amendment transaction is completed. DFA and DAS process the amendment in 30 to 90 days, and the SCO processes the GLRF, STD215, and executed agreement in 21 days.
- Funding shifts—Changes to the GLRF, STD 215, and FI$CAL can prevent disbursement transactions in FI$CAL until the fund shift transaction is completed. DFA and DAS process the funding shift in 15 to 30 days, and the SCO processes the GLRF and STD215 in 21 days.
- Period of year—At the end of the fiscal year, typically from May 15th to July 1st, the CA CWSRF program cannot transact in FI$CAL. This inability to transact results in a non-uniform workflow that creates a rush to meet the year-end deadline and a backlog of FI$CAL transactions at the beginning of the new fiscal year.

Finally, DFA staff indicated they were considering the following actions to improve CA CWSRF processes:

- Stop using Form STD215 and develop/use its own memorandum/form to convey the agreement information to the SCO. There is a history of other state agencies using their own forms.
- Assess the feasibility of an interface between LGTS and FI$CAL to reduce the number of instances when data is entered multiple times. The feasibility of modifying LGTS to generate the GLRF and STD215 is also being evaluated.
- Evaluate if the amount of backup material required for a claim submittal is necessary.

3.3 Data Assessment

Figure 6 presents empirical cumulative distributions of processing times for submittal of applications and execution of agreements. The data includes applications that were processed from 2014 to 2020.

Application submittal times represent the period between submittal of the first and last packages that comprise a construction financing application. The four packages are:

- The general package summarizes key information on the proposed project
- The technical package comprises an engineering report with a technical solution
- The financial security package describes the financial capacity of the borrower to ensure repayment and the long-term operation and maintenance of the system

- The environmental package compiles any relevant documentation to comply with state or federal environmental regulations such as the California Environmental Quality Act (CEQA)

Agreement execution times represent the period between submittal of the last application package and final execution of the agreement. The order of submittal of packages can vary among projects, as decided by the applicant.

As noted in Figure 6, 80% of agreements are executed within approximately 21 months of the last application package being submitted, and 50% are executed within 12 months. These percentages align with DFA staff's verbal estimate of taking approximately 20 to 22 months to execute agreements (see Figure 5).

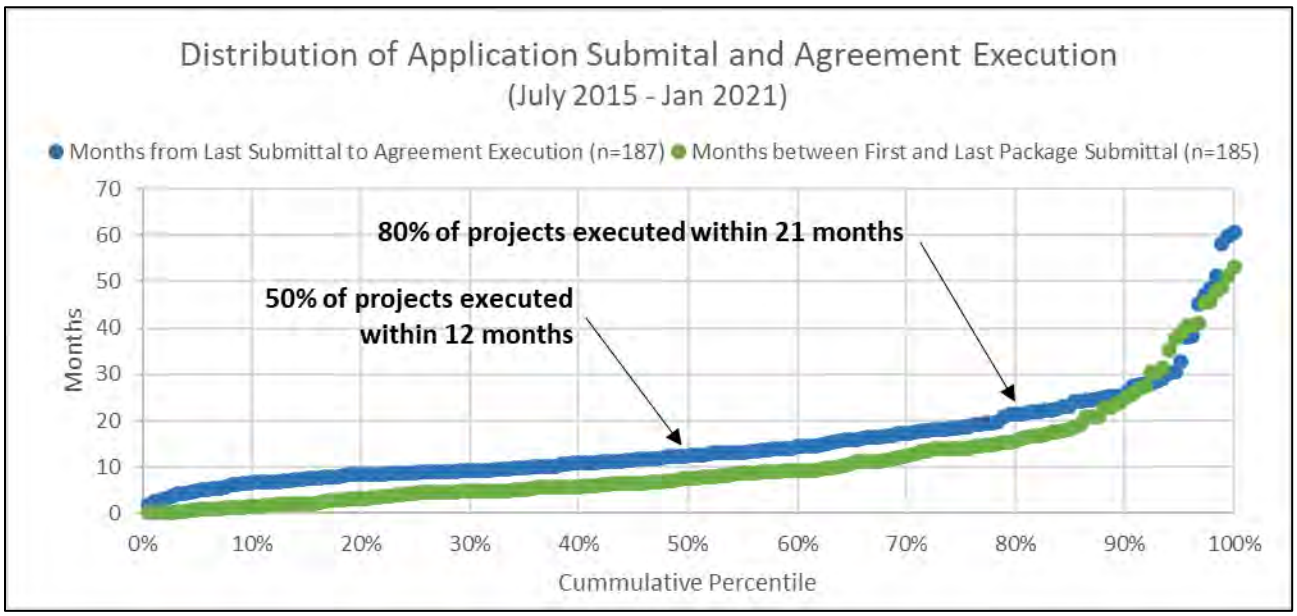

Figure 6. Distribution of application submittal and agreement execution times (July 2015–January 2021)

Figure 7 shows box and whisker plots of application submittal and agreement execution processing times by calendar year. Notes below the figure describe the plot elements. The graph indicates a slight increase in application submittal times across the years of available data (July 2015 through January 2021), excluding the one submittal in 2021. Times for executing agreements slightly increased from 2015 through 2019, with a sharper increase in 2020. This could be attributed to the onset of the COVID-19 pandemic response. However, other factors may also be drivers, including conversion to a new statewide fiscal reporting system (FI$CAL) from December 2018 to July 2019, and increased workloads associated with Drinking

Box and Whisker Plots

Figures 7 and 8 use box and whisker plots to display CWSRF processing times. Data points that lie above or below the whiskers are outliers, and the top and bottom of the boxes are the 25th and 75th quartiles. Whiskers are defined as certain percentiles of the interquartile range (i.e., the difference between the 75th and 25th quartiles). The lines in the middle of the boxes represent the medians, and the X's within the boxes represent the averages.

Water SRF applications. Recent data from 2021 could help assess future trends, but should also be considered in the context of potential impacts of COVID-19-related pandemic response and changes in work habits.

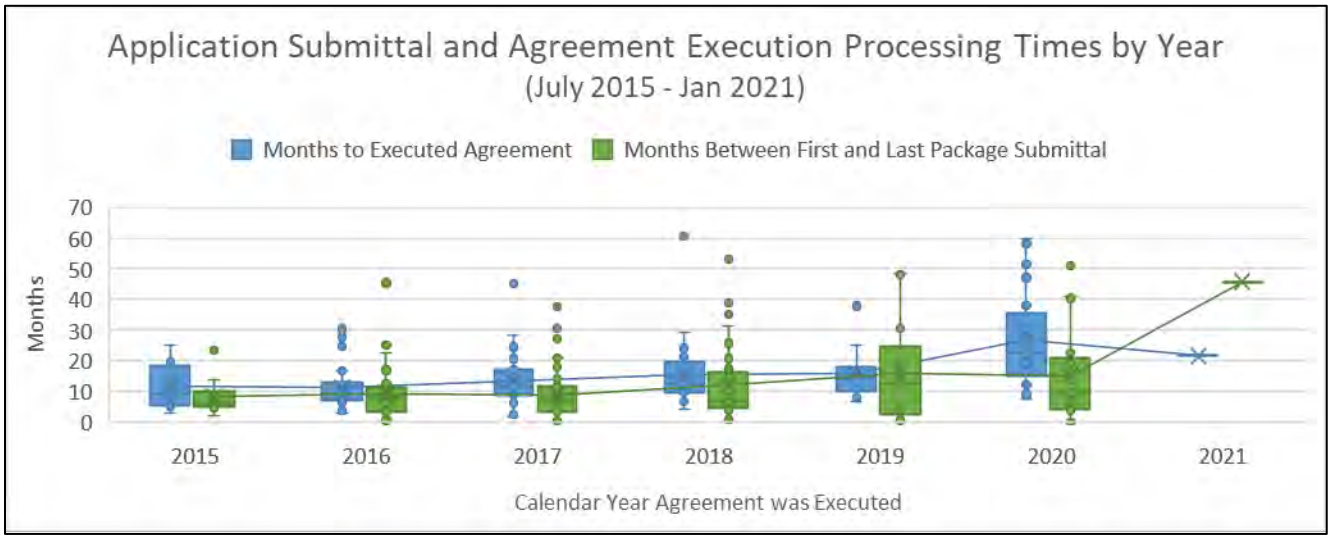

Figure 7. Application submittal and agreement execution processing times by calendar year (July 2015–January 2021)

Figure 8 presents application submittal and agreement execution processing times by fiscal year (July 1 through June 30). Trends were similar to those observed when assessing the data by calendar year (**Error! Reference source not found.**), with both application submittal and agreement execution times slightly increasing over the years through FY 2019–20. A sharper increase in agreement execution times occurred between FY 2019–20 and FY 2020–21, perhaps also due to the pandemic.

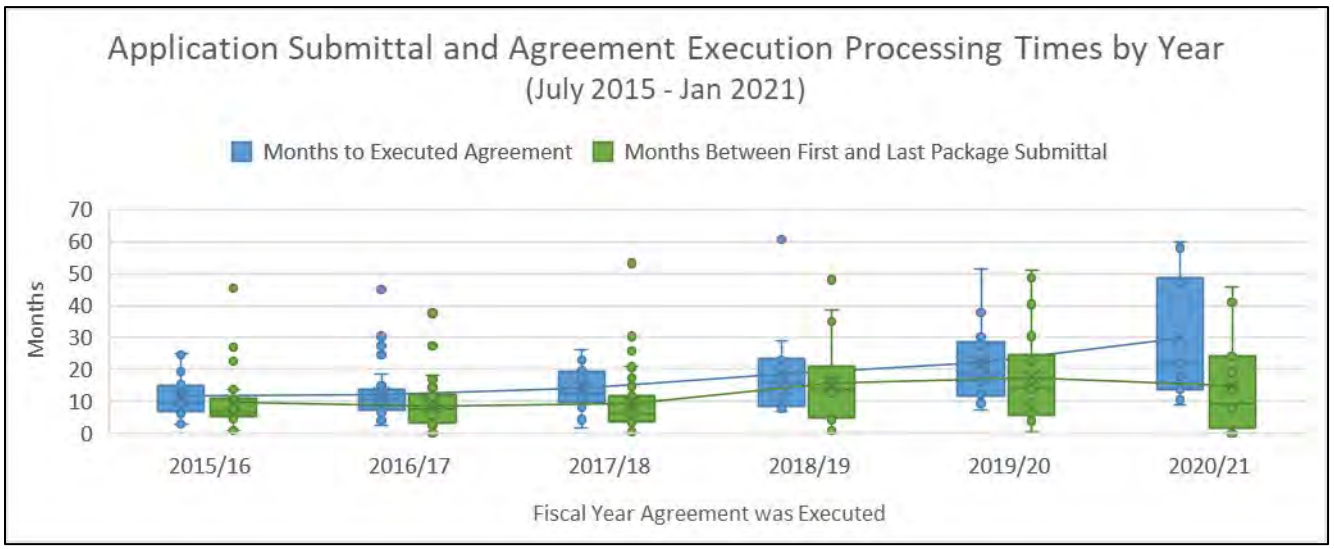

Figure 8. Application Submittal and Agreement Execution Processing Times by Fiscal Year (July 2015–January 2021)

Figure 9 presents the correlation between the number of months to executed agreement and the loan amount. Figure 10 presents the correlation between the number of months to executed agreements and service size. No trends are evident. Considering these factors together also did not yield statistically significant trends. The results may imply that project-specific factors are driving extended loan execution times. Additional analysis could provide further information. First, a detailed analysis of projects with extended load execution times could help identify if project complexity was a driving factor, or if other unpredictable factors such as staff turnover (at either the borrower or lender) were at play. Such projects appear in the right-hand portion of the distribution in Figure 6. Second, incorporating additional explanatory factors, such as a metric (index) of project complexity, the number of contingencies within a loan agreement, socioeconomic status of the community (median household income), or region could yield statistically significant trends. A multi-variate statistical analysis could also include an indicator variable associated with the year to control for the variability noted in Figures 7 and 8. Third, developing a typology of projects (existing infrastructure upgrades, new infrastructure, etc.) and components (collection systems, treatment process, etc.) could provide an additional metric for evaluating application times. The typology could also be applied to past projects to create a multi-year record. Finally, looking for common factors within "bins" of loan execution times (0 to 6 months, 6 to 12 months, 12 to 18 months, etc.) could identify combinations of explanatory factors that are unknown at the outset. Through this approach, after grouping projects according to loan execution time, a more detailed review of a sample of application packages in each bin could look for common factors, such as project extent, type, region, or others.

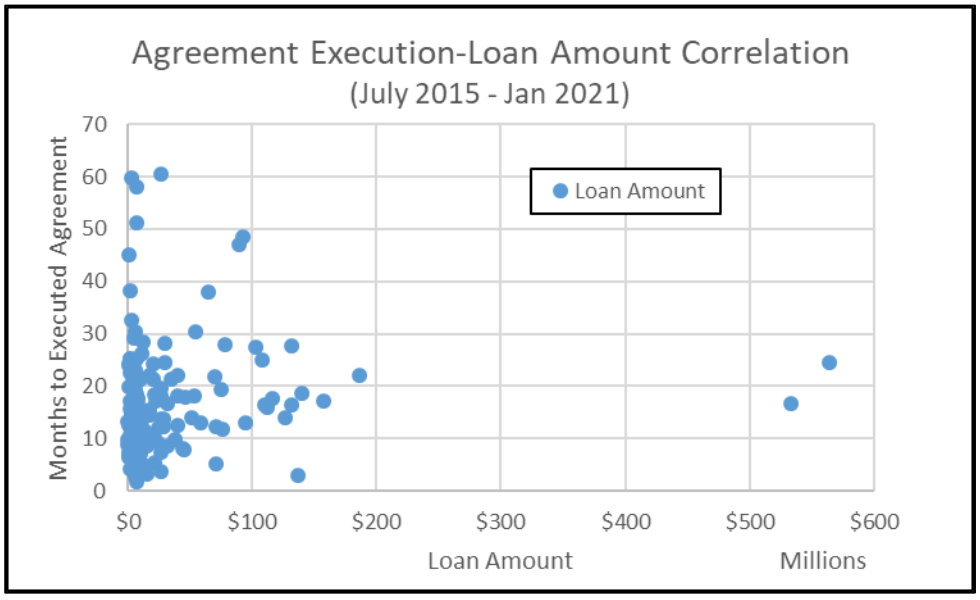

Figure 9. Correlation between months to executed agreement and loan amount (July 2015–January 2021)

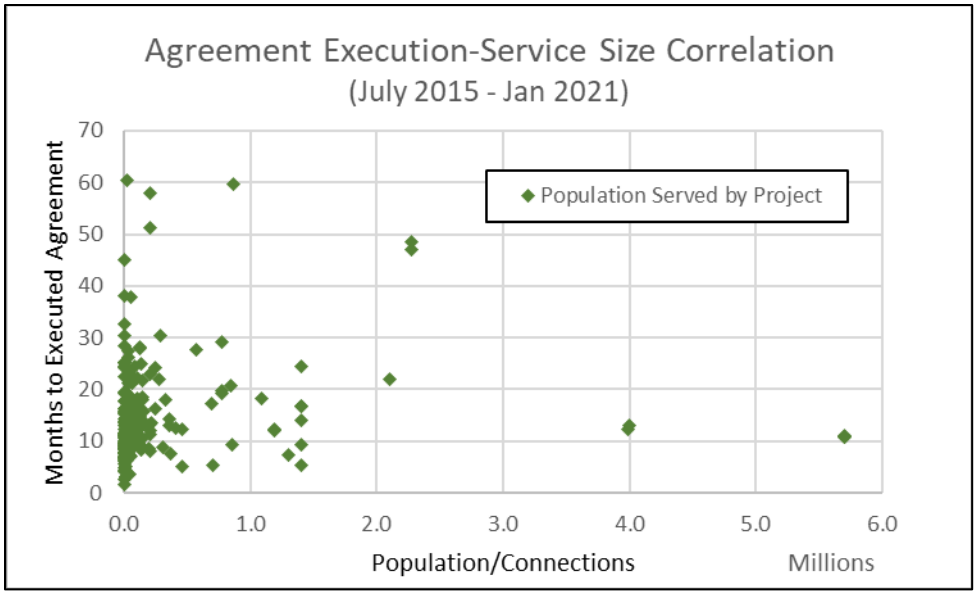

Figure 10. Correlation between months to executed agreement and service size (July 2015–January 2021)

The State Water Board also provided summary statistical data on the legal review period associated with applications. Summary data was provided for the 100 most recent projects. Summary statistics were also provided for the subset of projects that required bond counsel (63) and the subset of projects that did not require bond counsel (37).

For all projects in total, full legal review lasted on average 8 months and ranged from 0.5 to 28 months. Of this, the time to finalize the legal review between Phase 1 and Phase 2 (Figure 5) is approximately 2 months, as estimated by State Water Board staff. Table 7 shows that full legal review lasted between 3 to 7 months for the largest number of projects, with the next largest categories of full review lasting 7 to 11 months and 11 to 20 months. Of the 5 projects that lasted more than 20 months, 3 were associated with a single large project.

Table 7. Legal review period associated with projects, broken down into categories by period length

Legal Review Period	Number of Applications
< 3 months	17
3 to 7 months	36
7 to 11 months	21
11 to 20 months	21
> 20 months	5

Source: State Water Board, Office of Chief Counsel, Division of Financial Assistance

The inclusion of consultation with bond counsel on a project correlated with a longer average period of legal consultation. Of the 63 projects that required bond counsel, the average length of time for legal review was 10 months. Conversely, for the 37 projects that did not include legal consultation, the average legal review period lasted 5 months. Twenty-nine of the 37 projects lasted less than 5 months.

3.4 DFA Staff Cultural Survey and Interviews

Results from interviews with DFA staff provided insight to the culture and strategies of the CA CWSRF program, as well as perspectives of its stakeholders. The interviews identified current program successes and areas for improvement. The CA CWSRF Denison Organizational Survey results confirmed findings from Dr. Michael's interviews, and the combined insight was used to develop recommendations.

The CA CWSRF cultural survey results ranged from the 4th to 78th percentiles when measured against other financial services organizations within Denison's record database. The full results are provided as part of Dr. Michael's findings, included as Appendix B to this report. Results within the first or second quartiles (i.e., greater than or equal to the 50th percentile) were considered high performance areas, while results within the third quartile (25th – 50th percentile) and fourth quartile (less than 25th percentile) were considered moderate and low-performing, respectively. Average percentiles for the twelve cultural aspects of the Denison survey (see Table 1) generally ranged in the moderate- to low-performing categories based on DFA staff answers.

While the expectation may be to have generally higher performing elements on average (within the first or second quartiles), the results need to be taken into context against the 87 other funding organizations to which DFA results were compared. Of those 87, 34 belong to the Credit Intermediation and Related Activities sub-industry (39%), 27 are in the Insurance Carriers and Related Activities sub-industry (31%), and 19 provide Securities, Commodity Contracts, and Other Financial Investments and Related Activities (22%). The services provided by these entities do not appear to be directly relevant to those provided the CA CWSRF program. No other state SRF programs were included in the dataset.

Results to the individual survey questions, however, can be considered relative to each other to identify particular elements of the CA CWSRF application, agreement, and disbursement processes that were the lowest performing. The scores indicating the highest and lowest performance areas, categorized by performance drivers, are provided in Table 8 and Table 9.

Table 8. Highest scoring performance measures for CA CWSRF Organizational Culture Survey

Performance Driver	Measure	Percentile*
Mission	There is long-term purpose and direction.	59
Mission	There is a clear mission that gives meaning and direction to our work.	58
Mission	There is widespread agreement about goals.	57
Consistency	It is easy to coordinate projects across different units and sections of the organization.	68
Involvement	CWSRF program planning is ongoing and involves everyone in the process to some degree.	78
Involvement	Cooperation across different parts of the organization is actively encouraged.	71
Involvement	Authority is delegated so that people can act on their own.	62
Adaptability	We encourage direct contact with recipients by our people.	72

**Percentiles represent how DFA results ranked against 87 other financial services organizations within the Denison database. Such organizations may not be directly relevant/comparable to DFA and the CA CWSRF program, but the percentiles are relevant when compared to each other.*

Table 9. Lowest scoring performance measures for CA CWSRF Organizational Culture Survey

Performance Driver	Measure	Percentile*
Mission	Our vision creates excitement and motivation for our employees	22
Mission	We are able to meet short-term demands without compromising long-term vision.	20
Consistency	People from different units and sections of the organization share a common perspective.	10
Involvement	The "bench strength" (capability of people) is constantly improving.	13
Involvement	The capabilities of people are viewed as an important source of competitive advantage.	17
Adaptability	The way things are done is very flexible and easy to change.	4
Adaptability	Innovation and risk taking are encouraged and rewarded.	21
Adaptability	Learning is an important objective in our day-to-day work.	10

**Percentile represent how DFA results ranked against 87 other financial services organizations within the Denison database. Such organizations may not be directly relevant/comparable to DFA and the CA CWSRF program, but the percentiles are relevant when compared to each other.*

The Denison Survey results were then used to confirm and generate additional insights as documented in the report. Dr. Michael developed multiple recommendations that focus on the CA CWSRF program's visioning and organizational structure and involve a strategic planning effort to further explore these topics and implement changes. Dr. Michael's recommendations that DFA may consider to improve application, agreement, and disbursement timeliness and communication are synopsized in the executive summary of his report (Appendix B). The following excerpt presents the highlights of Dr. Michael's work.

> Strategically, this assessment finds that CA CWSRF already offers technical, financial, and legal services in addition to low-cost financial assistance and recommends that this presents an opportunity to claim additional strategic value.

Structurally, this assessment also finds that CA CWSRF has existing structures that possess the potential to integrate laterally across its legislative and functionally organized sections and units and recommends that this integrative potential be harnessed to improve performance.

Related to these strategic and structural contingencies, this assessment finds that processing applications for low-cost financial assessment for water-quality projects is undertaken through an end-to-end process that traverses a pathway from identifying, contracting, budgeting, and funding stages. Timeliness is a function of internal reviewing processes for quality, cross-stage, section and unit collaboration and external stakeholders' responsiveness. This assessment recommends the adoption of external stakeholder relationship management, internal quality assurance processes and adoption of agile or high-performance principles along the application pathway.

Organizational culture, processing pathway and leadership influence of project managers beyond spans of control as champions that orchestrate the provision of services be also developed through the Office of Water Program's (OWP) and its Environmental Finance Center (EFC). It is also recommended that CA CWSRF explore integration of existing trackers and scorecards within units and sections, generating predictive data from Loans and Grants Tracking System (LGTS) and technological interfaces of application status updates for applicants and recipients.

The full detailed recommendations are available in Appendix B.

3.5 Past Applicants Survey

Approximately 130 individuals responded to the survey for past applicants, although not all responded to every question. A copy of the survey results is provided in Appendix H. Table 10 summarizes what the applicants reported as benefits and challenges in working with the CA CWSRF program.

Table 10. Benefits and challenges of the CA CWSRF Program, as reported by past applicants

Applicant Perspectives	Benefits/Challenges
Applicants like several aspects of the CA CWSRF program	• Financing Terms • Green Project Reserve Program • Technical Assistance • Improved regional reputation • Improved opportunities for funding with other agencies
Over the past few years, the CA CWSRF program has changed	• More tedious and complicated, often requiring a greater need for consultants • More formalized and structured • More challenging due to more mandates (from all levels of government) and more regulations (environmental, historic preservation, tribal, etc.) • More competitive • More dependent on consultant assistance
Delays have several consequences	• Confusion about requirements, which leads to unnecessary back and forth communication • Need for secondary financing (regarding disbursement delays)
Small and disadvantaged communities experience specific challenges	• Payment delays mean that the money is not going to the agencies that need it the most • Larger, more sophisticated agencies can handle the delays through reserves, better cash flow, and other resources, but small ones cannot • Qualification as disadvantaged community does not take into account mitigating factors such as high numbers of second homes

Dr. Stone summarized the respondents' answers to the following questions.

- How the process has changed over time?
    - The applicants explained that the application process has become more tedious and complicated over the years and there is now a greater need for consultants. The process has become more formalized and structured. Working with CA CWSRF has become more challenging due to more mandates (from all levels of government) and more regulations with respect to environmental, historic preservation, and tribal rules and laws. They also noted that it has become more competitive
- What are the biggest problems for small and/or disadvantaged communities?
    - Payment delays mean that the money is not going to the agencies that need it the most. Larger, more sophisticated agencies can handle the delays through reserves, better cash flow, and other resources, but the small ones cannot. One applicant noted that they are a disadvantaged community, but do not qualify as such due to size and population with second homes in the area.
- What problems have you had with disbursement?
    - Delays in disbursement require secondary financing. The CA CWSRF disbursement team seems to be understaffed (only three people). When CA CWSRF sends a

disbursement check, there is no accompanying information that helps the recipient account for it. Disbursement staff seemed to sit on the request for months before notifying recipients about errors in the request.

- What actions seemed to help your agency during this process?
    - Showing up to CA CWSRF in person helped a lot. One applicant noted that the project manager assigned to them was attentive and they had biweekly meetings.
- What other problems or observations do you have?
    - Costs to comply with American Iron and Steel provisions are too much to make this worth it. One applicant explained that drafting agreements takes quite long, and then the applicants only get 30 days to sign it, which is not enough time to circulate it and get it on the council agenda. Another applicant noted that there does not seem to be any relationship building between the CA CWSRF and applicants. One interesting observation was that changes in rules, policies, or process makes it harder for repeat borrowers to take advantage of their own experience.
- Besides low interest rates and generous loan terms, what other benefits are there to getting financing through CA CWSRF?
    - Green Project Reserve program
    - Technical assistance
    - One applicant noted that securing the loan improved their regional reputation with other agencies for other funding opportunities
- What other agencies or programs that the applicants interact with have customer service experiences that might serve as a model for CA CWSRF?
    - California Energy Commission (CEC): very responsive, streamlined, better contract communication
    - California Infrastructure and Economic Development Bank (IBank): quick, painless, seamless
    - Rural Community Assistance Corporation (RCAC)
    - USEPA Water Infrastructure Finance and Innovation Act (WIFIA)
    - Department of Water Resources (DWR)
    - Federal Emergency Management Agency (FEMA) Office of Emergency Services (OES)
- How did the technology employed by CA CWSRF help or impede the application and/or disbursement process?
    - Applicant comments can be grouped into three categories here: communication; document sharing and uploads; and forms and templates. There were also a few general comments. Applicants said that FAAST does not cover the whole application

and disbursement process but should. The interface or portal CA CWSRF uses should be more up-to-date and modernized.

- With respect to communication, one applicant noted that their city manager was always copied on emails but that the city's own project manager was not copied on emails, so the project manager was in the dark about communications from CA CWSRF and the city. Applicants also stated that there was not always enough communication between the CA CWSRF and themselves. In particular, they would like more communication about the status of progress of their applications and disbursement. They would like much more transparency about timeframes and deadlines and a roadmap for the process.
- There is a lot of confusion over what can be emailed and what must be a hard copy. The rules for hard copies (single sided copies) can be difficult to comply with. Applicants say that the file size limits are not realistic, the procedure for uploading is not intuitive, and they would like a confirmation of a successfully uploaded document. Also, because all documents are PDFs, they cannot be edited. This means that every time there is a change they need to convert formats, which is cumbersome.
- Applicants would like CA CWSRF to explain in more detail what it wants when it comes to forms.
- They do not like what they feel to be a "figure it out yourself" approach. Applicants repeatedly asked for better templates and examples of correctly completed forms. They said that the existing templates are too "cookie cutter" and do not allow for variation in their applications.
- They have also asked for a dashboard or "form library" with forms, examples, and checklists. They say they especially need a form or template for quarterly status reports. They would like instructions for schedule extensions. And they would like direction on what should documents be titled.

- What other recommendations do you have for CA CWSRF?
  - The bulk of the comments here relate to the timeframe and recommendation that all the processes be shorter and involve less back and forth revisions and clarifications between the applicants and CA CWSRF. Applicants seemed to prefer having one single contact within CA CWSRF with whom to communicate that is assigned to them as soon as their project qualifies for the fundable list. They all expressed a desire for all the requirements to be clearer at the outset of the process.
  - Applicants noted that there should be better practices in place for making changes to applications and documents as these are regular occurrences. One applicant recommended that CA CWSRF staff need to stay current and connect more to what is going on in the field and be more familiar with how contracting works now.
  - Applicants also made some policy recommendations. One noted that projects involving replacement of existing infrastructure can be just as or more important than new projects, especially in areas with older infrastructure, but they do not score well.

A number of applicants expressed interest in the availability of small grants. And one applicant noted that water supply projects (which are not typically eligible through CA CWSRF) are important for firefighting and this will become a bigger need.

- What incentives or interest do you have for engaging in consolidation and cooperation with other applicants?
    - Applicants expressed little interest in joining with other agencies. This kind of thing was thought to make applications excessively and unnecessarily complicated. Any cooperation could be done and would be easier outside of the application process.
- What responsibilities should applicants bear?
    - Applicants need to be ready with a "plan B" if their application gets denied or if approval and/or disbursement take longer than anticipated. They need to review and be prepared for crosscutting requirements. Before they start the process, they should make sure that they have the resources, time, and preparation for all the work that the application process will require. They should also meet with someone who has been through the process and with CA CWSRF staff.

Recommendations that applicants and recipients provided to address these and other challenges are summarized in Table 11.

Table 11. Applicant recommendations for the CA CWSRF program

Topic	Specific Recommendations
Better Communication	• Status of application progress • Status of disbursement • More detailed instructions for forms and documents • Templates for forms and documents and examples of properly completed ones • Confirmation of receipt and successfully uploaded documents • More detailed financial/accounting info with disbursement • One point of contact with the applicant • One point of contact with CA CWSRF • All requirements should be clear at the outset of the process • More transparent information about the process, timeframes, and deadlines
Policy Adjustments	• Evaluate priority project scoring to allow maintenance/repair projects to be competitive, which are just as important as new infrastructure but do not score well. • Make small grants available for project planning and design • Plan for greater need for firefighting/fire prevention
Other, similar funding programs/agencies with easier processes	• Review the following programs: ○ CEC ○ WIFIA ○ IBank ○ DWR ○ RCAC ○ FEMA OES

3.6 Interviews of Other State CWSRF Programs

Representatives of other state CWSRF programs reported several strategies they implemented to address the challenges associated with approving applications, executing agreements, and disbursing payments. The strategies are summarized in Table 12. Notably, the CA CWSRF program is already implementing several of these strategies, as documented previously in Section 3.1 and Table 3. Strategies not currently implemented in California, but viewed by the project team as having value in reducing processing times, have been incorporated into the recommendations presented in Section 4.0 of this report.

Table 12. Strategies implemented by other state CWSRF programs

Topic	Strategies
Program Structure	• Cross-functional teams with dedicated project managers
Process, Internal Deadlines, and Timeframes	• All CWSRF project reviews begin with an orientation, team meeting, or call • Hold regular (quarterly/monthly) board meetings to approve funding and get reports from teams/members, creating accountability for moving projects through process • Staff work backward from board meeting dates to establish internal deadlines to complete application evaluations • Board meeting and related internal deadlines establish clear deadlines for applicants • Consolidate inspections so there are fewer trips and less wear on the applicants
Application Portals	• Applicants can: ○ Download forms, templates, and manuals from a form library ○ Upload completed forms and documents ○ View the progress of their applications and disbursement • All members of the team and management can: ○ View and download all the documents related to an application ○ Upload documents ○ Make and share comments with other members of the team and with applicants ○ Sign and formally make decisions on applications/components and send to next step
Specialized Financing	• Short term financing • Small project financing • Project bundling
Disbursement	• Aim for 1 to 2 week turnaround from request to check-in-hand disbursement * • Team has personnel resources commensurate with workload • Allow for partial disbursements in cases where changes occur and where expenses require further review (current practice in CA); allow for $0 disbursements so that reports can still be submitted**
Outreach	• Successful CWSRF programs engage in regular outreach with future applicants to familiarize them with the program and its requirements ○ Typically done on a monthly basis ○ Done in the field ○ Done with either jurisdictions, professional associations, and consulting firms • Some capacity analysis can be done to help screen or prime future applicants • Coordinate with other agencies

**Notably, claim submittal volume data and documentation requirements were not collected for comparison to CA*

***Past CA applicants indicated that project quarterly reports cannot be submitted unless accompanied by a claim submittal*

4.0 Recommendations

Based on findings from the internal and external reviews, comments from the draft report, and subsequent data analysis and interviews, the project team identified a set of recommendations for improving CA CWSRF loan and grant award processes.

The recommendations are categorized into the following themes:

- Standardizing and streamlining processes and reviews
- Promoting CA CWSRF program values
- Improving CA CWSRF response through engagement with applicants and recipients
- Enhancing engagement with other government functions and agencies
- Evaluating human capital needs and staffing, which align with current and future workloads

Implementation of the recommendations will require process and policy innovations. This will likely necessitate a period of planning and discussion among multiple entities, including agencies or departments outside of the State Water Board. Ultimately, CA CWSRF staff in the State Water Board will be best able to identify how the recommendations fit with current and evolving law, policies, and precedent in California.

An essential component for implementing these recommendations (or at least considering them) is facilitated focus groups and/or internal discussions to talk through the various needs and challenges and develop a means for implementation. Assembling focus groups and/or holding internal discussions will foster collaborative approaches as staff work through the details of implementing the recommendations. This approach will result in an organization better able to meet the many stakeholder needs that must be balanced.

Focus groups provide a forum for exploring complex issues and promoting staff innovation. Innovation builds and maintains a culture where staff effectively conduct their functional tasks and improve their practices. External consultants can be effective to synthesize discussions and ideas, while also allowing all participants ample opportunity for input. The focus groups or discussions would include representatives from many roles in the organization, and in some cases external stakeholders such as staff from other state SRF programs, past and potential applicants and recipients, USEPA staff, and managers from other California funding agencies.

The sections below provide background on recommendation themes as well as recommended policy actions for implementation. Recommendations that address shorter-term direct efficiency effects on processes are presented first, followed by those for CA CWSRF program development. Recommendations for staffing and human capital are presented last because they flow from the other recommendation themes. Table 13 summarizes the recommended policy actions for each theme and lists specific project goals the action could address.

The project team compiled these recommendations based on the findings from the project's internal and external methodologies, but acknowledges that the recommendations for improving review and processing timelines may not align with the greater State Water Board policies for addressing water quality issues and supporting the many associated needs in California, including those for disadvantaged communities. It is therefore further recommended that DFA, perhaps through community engagement, clearly inform stakeholders as to why the recommendations misalign with the State Water Board's strategies and policies.

Finally, during the final review of this document, stakeholders provided additional suggestions for possible improvements to efficiencies of CA CWSRF processing activities. These suggestions are included in Appendix I for the State Water Board's consideration.

4.1 Standardizing and Streamlining Processes and Reviews

The project team identified several practices implemented by other states that could be adapted in California's CWSRF process to improve the efficiency of application reviews and processing. Additional practices were identified from interviews with CA CWSRF staff, supervisors, and past applicants. CA CWSRF staff can use data collected through this project to evaluate strategies and reorganize internal processes, with the goal of streamlining application, agreement, and disbursement processes and reducing redundancies in efforts and approvals. The recommended policy actions are:

- **Develop cross-functional groups (project groups)**
  - Project groups would be assembled to align staffing needs and expertise with different levels of application complexity. Projects could be processed in parallel workflows, so that projects with more complicated circumstances or terms do not hold up simpler applications.
  - Before assembling project groups, DFA staff would define a rubric to categorize projects according to complexity and work load. Different project groups would be assigned a docket of projects within the pipeline based on this rubric. Staff within each project group would collaborate to process the appropriate documents and approvals for each project.
  - Each project group would be composed of representative expertise from engineering, finance, environmental, and legal sectors within the CA CWSRF program, as appropriate for the complexity of projects assigned to the project group. An experienced member of the project group would be the lead, working with the customer relations unit and the applicant.
  - Project group leads would guide the group but would not be designated as supervisors. Members of the project groups still report to their own supervisors.
  - Each project group would meet regularly and frequently to ensure coordination as applications, agreements, and disbursements are processed and evaluated.
  - Project groups can use business methodologies such as design-build principles, agile development, or fit-for-purpose approaches for streamlining and standardizing

processes. Design-build principles involve formal methodologies that seek to provide more value to the customer with fewer resources. Agile development is a set of methods and practices that develop solutions through iterative collaboration between self-organizing, cross-functional teams. Fit-for-purpose approaches assess processes to make sure they achieve the appropriate goals/requirements.

- Project groups can integrate existing unit-level or section-level processing informational tools. (Interviews with DFA staff identified that several individuals, units, and sections use separate tools for tracking processes).
- Project groups can use high performance or agile-like principles for end-to-end process standardization, differentiation, and integration principles to streamline existing processes. These methods can help project groups coordinate processes around service delivery dependence, independence, and interdependence to break through barriers that erode timeliness and replicate successes within an end-to-end process view.
- Project groups can decompose existing steps within each application/agreement/ disbursement stage to standardize some of the steps while keeping some differentiated and then finding ways to integrate them across the steps and before and after stages to provide a bigger organization/enterprise/initiatives view. This means decoding patterns among the nuanced issues that emerge and undertaking root-cause analysis for fixing their causes upstream in the application processing.

- **Streamline due diligence review to public finance standards**
  - Examples from other states noted opportunities to streamline due diligence. For example, the due diligence review could more rapidly confirm the financial capability of a borrower pledging a AAA rated general obligation (GO). In contrast, a mobile home park that may need on-site sewer/septic-to-sewer conversions would require more time to document financial capability. An adopted policy can rely on existing water and sewer financial ratings or proxy ratings (AA GO rating can equate to A sewer rating). This would help expedite capacity reviews and align the loan agreement components.
  - Conform terms and conditions based on a borrower's local fiscal and managerial capability.
  - Examples from other states noted opportunities to develop several sets of standard terms and conditions that would apply to each borrower. The collateral terms could include 3 to 5 versions of standard text, based on the source of repayment (net revenues, combined net revenues, general obligation, other) and the organizational charter/structure of the borrower (municipality, district, JPA, other). The coverage and reserve components could range from low coverage and no reserve for credit ratings rated A or higher to coverage and reserve held by a 3rd party bank/trustee for lower credit ratings.
  - Examples from other states noted opportunities to establish standardized interest rate offerings that are bundled with particular loan conditions. For example, a

borrower pledging an AA-rated wastewater pledge could pay a slightly higher interest rate, but have lower loan coverage and no reserve requirement. Since SRF loans benefit users and rate payers, reducing terms and conditions reduces rate increases to rate payers. In contrast, a non-rated wastewater system that has no history of public offerings could receive a lower interest rate and a reserve held by a 3rd party/trustee. The applicability of adjusting loan interest rates for borrowers from the CA CWSRF can be explored within the state's fiscal requirements and constraints. In particular, per California Water Code, interest rates for borrowers must be no more than 50% greater than the interest rates associated with state General Obligation (GO) bonds, which are low (Cal. Wat. Code § 13480). Some borrowers may accept a slightly higher interest rate in favor of different terms or conditions based on their lower risk profile. A detailed examination of opportunities to use this limited flexibility within current California law was outside the scope of this project. Subsequent discussions between CA CWSRF staff and applicants could identify potential models of loan agreements with slightly higher interest rates in exchange for some loan conditions. Additionally, the assumption codified in the Water Code that all borrowers desire low rates over other loan terms could also be revisited, but this would require legislative action.

- **Expedite environmental reviews**
  - Examples from other states noted opportunities to expedite environmental reviews based on an initial assessment of potential project impacts to environmental systems. Such a policy could recognize rehabilitation or improvement of existing facilities on an existing and previously disturbed footprint as a virtual automatic categorical exemption. Likewise, rehabilitating existing pipelines could require comparatively limited review. Other projects that expand footprints or break new ground would be subject to more extensive environmental review as prescribed by CEQA.

- **Offer programmatic financing**

  - Other state SRF programs implement programmatic financing, and EPA promotes its use. CA CWSRF applicants and recipients in California have expressed interest in having programmatic financing offered. The project team acknowledges that examples of programmatic financing have been from small states with limited numbers of customers. Given the multitude of potential applicants in California, such an approach may not be appropriate.
  - There are a few potential issues the State Water Board may need to address if offering programmatic financing. One is that EPA's guidance recommends funding design and planning using programmatic financing. Design and planning are services that may be part of a capital improvement plan, but would not usually be financed with debt. Many communities' debt policies may (or should) have rules about this. The other issue relates to effects from securing these loans to pay for projects that are already

in progress. Existing bond covenants may have restrictions about taking on additional long term debt for projects that have already been financed. The State Water Board should seek a legal opinion from community attorneys or bond counsels on these two points.

- **Implement other standardization and streamlining approaches**
  - Consolidate data entry (reduce burden of manual entry into 4 data forms/systems).
  - Re-evaluate need for all hand-offs in application review, agreement development, and payment disbursement stages through value stream mapping.
  - Evaluate if the amount of backup material required for a claim submittal is necessary.
  - Formalize a quality assurance culture that complements DFA's existing quality checks, and establish a unit intended to implement it.
  - Use high performance or agile-like principles for end-to-end process standardization, differentiation, and integration principles to streamline existing application processing process. Organize for service delivery dependence, independence, and interdependence to break through barriers that erode timeliness and replicate successes within an end-to-end process view.

4.2 Promoting Program Values

Dr. Michael's report on the internal review and Denison's Organizational Culture Survey results (Appendix B) indicated that the CA CWSRF strategic value goes beyond low-cost financing; it includes multiple benefits from the technical, legal, environmental, financial, and historical preservation reviews that are conducted. Dr. Michael recommended highlighting and promoting all these program values to enhance stakeholder realization and appreciation of the full value the CA CWSRF program provides.

In addition, during interviews with past applicants, the project team compiled a list of supplemental items that applicants expressed were important for future consideration by the CA CWSRF program, but were perhaps less directly influential in streamlining processes and reviews, the intent of this project. The suggestions are presented here for consideration. DFA could utilize the flexibility of the CA CWSRF funding model to provide a broader set of services to applicants, which can help alleviate multiple grant applications for needed services. The recommended supplemental policy actions are:

- **Promote Program Values**
  - Develop recognition/reward opportunities for DFA staff.
  - Evaluate priority project scoring to allow maintenance/repair projects to be competitive.
  - Make small grants available for project planning and design.
  - Plan for greater need for firefighting/fire prevention activities that protect water quality through mitigation or prevention (such as forest and land management).
  - Incentivize applicant collaboration and project bundling.

- Ensure that professional development training provided to CA CWSRF staff aligns with program values, processes, and applicant needs.

4.3 Improving CA CWSRF Response through Engagement with Applicants and Recipients

External interviews with past applicants revealed that some waited a long time for applications to be reviewed and agreements and disbursements to be processed. During the wait, they did not have a clear understanding of the steps involved or which step their application/agreement/disbursement was in at various times. CA CWSRF staff informed the project team that application status reports are posted to the CA CWSRF website monthly, although those reports only documented which of the four application packages had been approved and not any status with respect to agreements or disbursements. Separately, the internal review report (Appendix B) recommended the development of applicant-facing information technology dashboards that provide status updates on milestones achieved and those that are being approached, as well as exceptions when encountered.

Applicants also indicated frustration in finding forms and guidance related to the various application packages, despite their availability on the CA CWSRF website. (The project team compared standard forms and guidance provided by other state SRFs and confirmed the CA CWSRF program has similar resources.) Past applicants also requested more consistent opportunities to provide feedback to DFA about their experiences with CA CWSRF.

With these perspectives, the project team recognized that improving customer engagement was an important pathway to boost program relevance and better meet the needs of applicants and recipients. Recommended policy actions to improve customer engagement are:

- **Create a customer response unit to oversee engagement with applicants**
  - Develop a checklist of key processes involved, such as those shown in or categorized from Figure 2, Figure 3, and Figure 4. Track each project's progress on the checklist and publish project checklists monthly so that applicants can clearly see the extent of the processes and where their application/disbursement is within those processes.
  - Communicate availability and review the organization of forms, instructions, examples, and other resources. For example, provide links in FAAST for applicants to access forms, templates, and other resources on DFA's website. Re-evaluate how all resources are presented on the website.
  - Identify and address adjustments that can be made to the program to ease various aspects of the experience for applicants and recipients. For example, invoice numbers are not provided on warrants (i.e., checks), so recipients have a hard time connecting payments to invoices. To address this, coordinate how to include invoice numbers on warrants.
  - Establish a primary applicant point of contact for CA CWSRF staff to coordinate with. The review identified that CA CWSRF staff often communicate with the

applicant/recipient representative who signs the application/agreement, but that representative is not always the project lead. In addition, that representative may leave their position and the project is not transferred to a new representative.
- Consider increasing the frequency of CA CWSRF funding forums provided by CA Financing Coordinating Committee, as well as developing additional information provided at the forums to promote the availability of materials and resources.
- Provide opportunities for applicant/recipient feedback.
- Market all CA CWSRF merits, capitalizing on all benefits of the CA CWSRF program (low interest financing; technical assistance; and legal, financial, technical, environmental, and historical significance reviews).

4.4 Enhancing Engagement with Other Government Functions and Agencies

CA CWSRF staff must coordinate with other agencies and departments on various tasks. This is especially true for the SCO that ultimately executes disbursements to borrowers. The internal review report (Appendix B) recommended more formalized collaboration with other government agencies. Additionally, the external review identified that, in some other states, SRF staff regularly coordinate with other agencies to address common challenges or share policy innovations. For example, in New York, senior staff from several agencies who often interact with the same applicants/clients meet regularly (monthly) to discuss issues that affect their clients (e.g., local governments) and seek ways to make their processes more user friendly. This could include interest rates, loan terms, and disbursements.

Finally, previous evaluations and audits noted that the SCO can be a bottleneck for disbursements. Further inquiries into the nature of slow disbursements outside of the CA CWSRF could help identify and document opportunities to assist with internal streamlining.

The recommended policy actions to improve engagement and collaboration with other agencies and departments are:

- Collaborate with other government agencies
    - Explore the creation of cross-external stakeholder platforms for macro-level, non-routine issues that are beyond the sphere of influence or span of control of CA DFA CWSRF supervisors and staff. Create consultative bodies with partners such as US EPA, FI$CAL, CA State Historic Preservation Office (SHPO), California Department of Human Resources (CalHR), or California Department of Technology for legislative, fund flexibility, human capital, or technology related issues.
    - Inquire into the nature of slow disbursements outside of the CA CWSRF to identify and document opportunities to assist with internal and external streamlining.

4.5 Evaluating Staffing and Human Capital Needs

There are several factors influencing the project team's recommendation to conduct a staffing needs assessment to improve CA CWSRF loan and grant award processes: the existing demand for CWSRF funding in California, feedback from DFA staff and past applicants, evaluation of processing times of past applications and agreement, and the expected increases in funding from several sources including the 2021 Infrastructure Investment and Jobs Act (Public Law 117-58). The assessment should evaluate how well DFA's current resources conduct business as well as address expected future demands. An initial assessment would draw on existing data available from DFA and develop metrics to evaluate and project workforce needs.

However, human capital needs go beyond just staffing. The term human capital refers to the full set of skills and expertise that allows an individual to excel at their tasks. For an organization, human capital includes understanding jobs and roles, describing expectations for competency, maximizing hiring potential, ensuring licensing and certification, and providing ample opportunities for current employees to grow and innovate process elements (American Institutes for Research 2022).

Dr. Michael's internal assessment report (Appendix B) indicated a need to promote staff innovation for addressing program challenges and needs. In addition, the Denison Organizational Culture Survey results (also Appendix B) highlighted opportunities for improving organizational learning and capability development. These innovations require human capital development.

The recommended policy actions for this assessment are:

- **Plan and Implement a Staffing Needs Assessment**
  - Collect data in coordination with CA CWSRF staff on the level of effort (hours) spent on tasks within the loan application processing and disbursement pipeline. Use the data to extrapolate staffing needs for current and future projected workloads given one or more scenarios of organizational processes, such as concurrent application pipelines and cross-functional teams.
  - As part of a focus group, discuss human capital needs for employees, which might include a visioning process for the application processing and disbursement timelines with questions such as "What would be involved in processing X% of applications within Y months?"
- **Promote Human Capital Development**
  - Identify and bridge the gaps in the current staff's required skills and expertise
  - Develop leadership skills for DFA project managers through leadership training (such as Denison's leadership training) to exert influence across units and sections along the application pathway.
  - Develop negotiation training that will help leaders, including project managers, exert influence to balance dualistic and often multiple priorities in reaching win-win solutions to complex problems and intractable issues.

- Develop a program for tenured supervisors to mentor/train PMs on building relationships with applicants.
- Explore with USEPA the administration of the Denison Cultural Survey for comparable SRF programs to create a comparative benchmark to track future improvements.

Table 13. Recommended policy actions

Policy Action	Relevant Goals		
	Improved Communication with Applications/Recipients	Improved Timeliness	Other Improved Experience
Standardizing and Streamlining Processes and Reviews			
Develop cross-functional groups ("Project Groups")		X	
Streamline due diligence review to public finance standards		X	
Expedite environmental reviews		X	
Implement other standardization and streamlining approaches		X	
Offer programmatic financing		X	X
Promoting Program Values			
Develop recognition/reward opportunities for DFA staff		X	X
Evaluate priority project scoring to allow maintenance/repair projects to be competitive			X
Make small grants available for project planning and design			X
Plan for increased firefighting/fire prevention needs			X
Incentivize applicant collaboration and project bundling		X	
Ensure that professional development training provided to CA CWSRF staff aligns with program values, processes, and applicant needs		X	X
Improving CA CWSRF Response through Engagement with Applicants and Recipients			
Create a customer response unit to oversee engagement with applicants	X	X	X
Enhancing Engagement with other Government Functions and Agencies			
Explore the creation of cross-external stakeholder platforms for issues that are beyond the sphere of influence or control of CA DFA CWSRF.		X	
Inquire into the nature of slow disbursements outside of the CA CWSRF to identify and document opportunities to assist with internal and external streamlining		X	
Evaluating Staffing and Human Capital Needs			
Plan and Implement a Staffing Needs Assessment		X	X
Promote Human Capital Development	X	X	X

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The CA CWSRF:

Review of the Loan Award and Disbursement Processes

Appendix A
Summary of DFA Files Reviewed

Summary of DFA Files Reviewed for the 2021 CWSRF Loan Process Review

Filename	Description
6-5-08_CA CWSRF Management Review Report - FINAL2_1.pdf	Report re: Northbridge review of SRF program efficiency in 2008
8124-210 Executed Agreement.pdf	Example of executed loan agreement
Agreement Hybrid Routing workflow_combo + Adobe Sign 3.1.21.docx	Agreement routing work plan
Agreement_And_Amendment_Routing_CA.pdf	Example of agreement/amendment tracking report for internal DFA use
Agreement_And_Amendment_Routing_Summary_CA.pdf	Example of agreement/amendment summary report for internal DFA use (count of projects within various status groupings and funding programs)
Attendee Roster_Roles.docx	Attendees & Roles from meeting between DFA, WRC, & CASA
City of Arcata 8127-110 draft ISA construction agreement 3-15-18.pdf	Example of draft grant agreement
City of Arcata General Counsel Opinion ltr DRAFT (003).pdf	Example letter from borrower attorney attesting to borrower's eligibility
Copy of SWIFT Report_20210218.xlsx	Example of SWIFT Report?
CWSRF legal facts and tidbits.msg	Email from A. Hartridge listing statistics of legal processing times
DAS Org Chart.pdf	Org Chart of Division of Administrative Services (including branches)
DFA Org Chart.pdf	Org Chart of Division of Financial Assistance (including branches, sections, & units)
Disb Process Flowchart SRF & GO Bonds 11x17 (Telework Covid-19) .xlsx	Flow chart of disbursement processing (including estimated timelines)
Document_Information Inventory_EFC Review.docx	OWP EFC summary of DFA materials submitted March 2021
Draft OCWD 8290-110 ISA (redline).pdf	Example Funding Agreement
Firebaugh bond counsel opinion draft 9-5-18.doc	Example of Bond Counsel letter re: materials review
OCC Org Chart.pdf	Org Chart of Office of Chief Counsel, including branches
RE Rodeo San Dist 8004 CWSRF financing docs.msg	Email containing copy of Initial Sale agreement (ISA)
Standing Meetings.pdf	Summary of coordination meetings, including applicable attendees (envtl, tech, financial, OCC, etc.), intent, and frequency
Status_AppEfficiency_CA.pdf	Report of # of days between application receipt and agreement execution
Status_LegalConsult_CA.pdf	Summary of legal consultation status for all projects
Status_PlannedAgreeExecAppStatusProgressGroup_CA.pdf	Monthly Summary of tech, envtl, & fin reviews for all applications
Status_ProjectTrackingEnv_CA.pdf	Monthly of envtl reviews for all applications
SWIFT Report DecJan 2021.msg	SWIFT Report

The CA CWSRF:

Review of the Loan Award and Disbursement Processes

Appendix B
Report of DFA Cultural Survey and Interviews

Organizational Assessment of State Water Resources Control Board's Clean Water State Revolving Fund under the Department of Financial Assistance

For Office of Water Program's Environmental Finance Center, Region 9

By

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August 30, 2021

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March 9, 2022

Table of Contents

List of Abbreviations

CA CWSRF:	California Clean Water State Revolving Fund
CalHR:	California Department of Human Resources
CDT:	California Department of Technology
CEQA:	California Environment Quality Act
CDPH:	California Department of Public Health
CSUS:	California State University, Sacramento
DFA:	Division of Financial Assistance
DOCS:	Denison Organizational Culture Survey
Denison Survey:	Denison Organizational Culture Survey
ECM:	Electronic Content Management
EFC:	Environmental Finance Center
FAAST:	Financial Assistance Submittal Tool
FI$CAL:	California Department of Financial Information System
LGTS:	Loans and Grants Tracking System
OCC:	Office of Chief Consul
OWP:	Office of Water Programs
PM:	Project Manager
QA:	Quality Assurance
QC:	Quality Check
SCO:	State Controller's Office
SPHO:	State Historic Preservation Officer
SRF:	State Revolving Fund
SSM1:	Staff Services Manager, Level 1
SSM2:	Staff Services Manager, Level 2
SWB:	California State Water Resources Control Board
USEPA:	United States Environmental Protection Agency
WRC:	Water Resources Control Engineer

Executive Summary

The variety of low-cost funding, scale and scope of water quality projects and the State's new accounting system have increased complexity of California Clean Water State Revolving Fund's (CA CWSRF) program. This has impacted CA CWSRF's ability to process and approve low-cost financing applications and disbursement requests within a reasonable timeline (date acceptable to warrant issuance).

Office of Water Programs (OWP) at California State University, Sacramento (CSUS) under a project grant to Environmental Protection Agency (EPA) Region 9 Environmental Finance Center (EFC) West had been tasked with an internal assessment of CA CWSRF's management processes.

The internal assessment was specifically related to internal and external stakeholders' experiences with the processing of applications for low-cost financing of water quality projects. For this purpose, managers, supervisors, staff, and external stakeholders were interviewed about their experiences across the application processing stages. A customized version of the Denison Organizational Culture Survey (Denison Survey) was administered to the interviewees to validate interview findings, anlayze additional insights about the management processes and compare with the Denison's financial institutions benchmark database. The goal of the interviews and surveys was to triangulate and identify enablers within the management processes that successfully lead to timely processing of applications and barriers to such success across the different stages.

This assessment based on interviews and the Denison Survey finds that strategic and structural contingencies frame CA CWSRF's timely processing of low-cost funding applications.

Strategically, this assessment finds that CA CWSRFT already offers technical, financial, and legal services in addition to low-cost financial assistance and recommends that this presents an opportunity to claim additional strategic value.

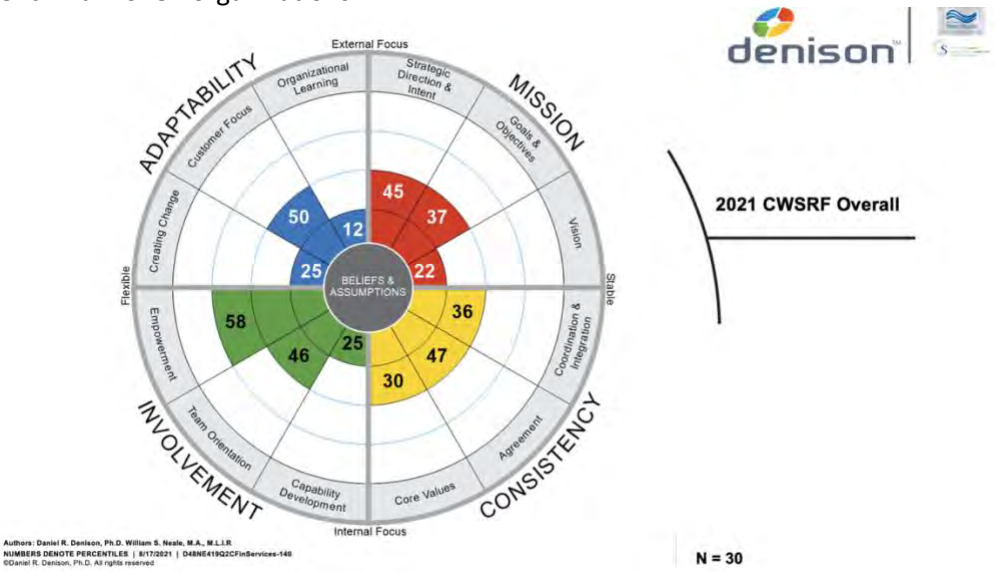
Structurally, this assessment also finds that CA CWSRF has existing structures that possess the potential to integrate laterally across its legislative and functionally organized sections and units and recommends that this integrative potential be harnessed to improve performance.

Related to these strategic and structural contingencies, this assessment finds that processing applications for low-cost financial assessment for water-quality projects is undertaken through an end-to-end process that traverses a pathway from identifying, contracting, budgeting, and funding stages. Timeliness is a function of internal reviewing processes for quality, cross-stage, section and unit collaboration and external stakeholders' responsiveness. This assessment recommends the adoption of external stakeholder relationship management, internal quality assurance processes and adoption of agile or high-performance principles along the application pathway.

Organizational culture, processing pathway and leadership influence of project managers beyond spans of control as champions that orchestrate the provision of services be also developed through the Office of Water Program's (OWP) and its Environmental Finance Center (EFC). It is also recommended that CA CWSRF explore integration of existing trackers and scorecards within units and sections, generating predictive data from Loans and Grants Tracking System (LGTS) and technological interfaces of application status updates for applicants and recipients.

The Denison Survey's was used for confirming and generating additional insights that are reported in the descriptions, conclusions and recommendation in this report. Denison Survey's mission competency informed the strategic visioning, Consistency and Involvement informed the structural coordination and Adaptability with Involvement and Consistency informed the assessment of the application pathway.

A summary of the Denison Survey report that and percentile comparisons to 87 financial services organizations is excerpted below. Numbers are percentile comparisons with financial services benchmark of 87 organizations.



HIGHEST SCORES

78	CWSRF program planning is ongoing and involves everyone in the process to some degree.
72	We encourage direct contact with recipients by our people.
71	Cooperation across different parts of the organization is actively encouraged.
68	It is easy to coordinate projects across different units and sections of the organization.
62	Authority is delegated so that people can act on their own.

LOWEST SCORES

4	The way things are done is very flexible and easy to change.
10	People from different units and sections of the organization share a common perspective.
10	Learning is an important objective in our day-to-day work.
13	The "bench strength" (capability of people) is constantly improving.
17	The capabilities of people are viewed as an important source of competitive advantage.

Method

This organizational assessment of the management aspects for timely processing of applications for low-cost financial assistance for water-quality projects specifically focused on the California Clean Water State Revolving Fund (CA CWSRF). This assessment is not meant to be an audit of the specific steps and followed by top-down recommendations for improving timeliness. The descriptions, conclusions and recommendations are not intended as front-stage sagacious wisdom for CA CWSRF's stages across its application processing pathway to adopt. Instead, they are meant as prompts from behind stage that CA CWSRF's supervisors and staff adopt as they perform on-stage.

There were 36 interviewees identified jointly with CA CWSRF's designated officers and supervisors. Thirty-four interviewees were supervisors and staff having first-hand knowledge of CA CWSRF's processing of low-cost financial assistance applications for water-quality projects. These included 16 supervisors and 18 staff that processed applications. The 2 remaining interviewees were external stakeholders. Interviews were conducted over Zoom and 1 interview was in-person.

The interviews were initially analyzed around supervisors' and non-supervisors' responses and enablers and barriers during processing of applications for low-cost financial assistance for water-quality projects. Patterns from these analysis around key themes were compared and further analyzed for process related cause and effect during application processing. These comparisons and analysis provided the basis for recommendations that are offered in this report.

Thirty-two CA CWSRF interviewees were also invited to anonymously complete the Denison Survey of which 30 submitted their survey responses. To ensure reliability in the data collection, all 32 interviewees were first interviewed and then invited to complete the survey. The survey was undertaken by level, tenure, and function. The survey reports are benchmarked against 87 organizations from financial services industry. The data from this online survey and open-ended questions were used to validate the interview findings and identify new information that further informed the conclusions and recommendations within this report.

Principles of collaborative enterprise, Denison Survey, end-to-end process design and development and managing high-performance organizations have been adopted to inform this report. Each section in this report is presented in three parts. The first part is a generic description, followed by conclusions and finally a set of recommendations for CA CWSRF for timely application processing. These recommendations may also be extended to Drinking Water SRF.

A possible limitation of this assessment is in the use of the words applicant and recipient during interviews and in the survey. The use of applicant may have influenced respondents to think about earlier-stage processes and use of recipient to think about later-stage processes while

responding to questions. To mitigate this limitation, the attempt was to provide instructions that consistently focus interviewees and respondents on the application processing pathway within their sphere of influence and its interdependence with other stages, sections or units.

This focus of this report has been on core characteristics common to application processing stages and their links with strategic and structural contingencies. The open-ended Denison Survey questions have been reported verbatim.

In the recommendations there are cross-unit and cross-unit references for improvements. Specific stages', sections' or units' enablers and barriers to serving multiple priorities including timely processing will in turn need to be analyzed and developed through focus groups. These focus groups should be within and across units, sections, offices, or branches as per the recommendations.

Visioning

Description of visioning at CA CWSRF Program

California Clean Water State Revolving Fund (CA CWSRF) is envisioned as a low-cost, free, or mixed type financial assistance program for water quality projects. The financial assistance sourced from federal is through United States Environmental Protection Agency's (USEPA) and state funds are derived from state-legislated proposition priorities and are matched to eligible communities' water quality projects. Applications for financial assistance range from planning, new construction, or development of existing water quality projects. These projects vary in complexity from components to systems to turn-key projects.

Embedded within the USEPA charter for processing applications are technical, social, fiscal, environmental, historic preservation and legal standards for processing water quality project applications. Projects are assessed for engineering technical standards. There are also federal crosscutter compliance obligations towards environmental and national historic preservation regulations. In addition, contractual standards require fiscal credit worthiness and legal due diligence in the execution of contracts and fiscal responsibility in managing the revolving fund. Due diligence through audits, bond ratings and loan repayments certify the CWSRF's fiscal responsibility and mostly frame assessments of the Program's value.

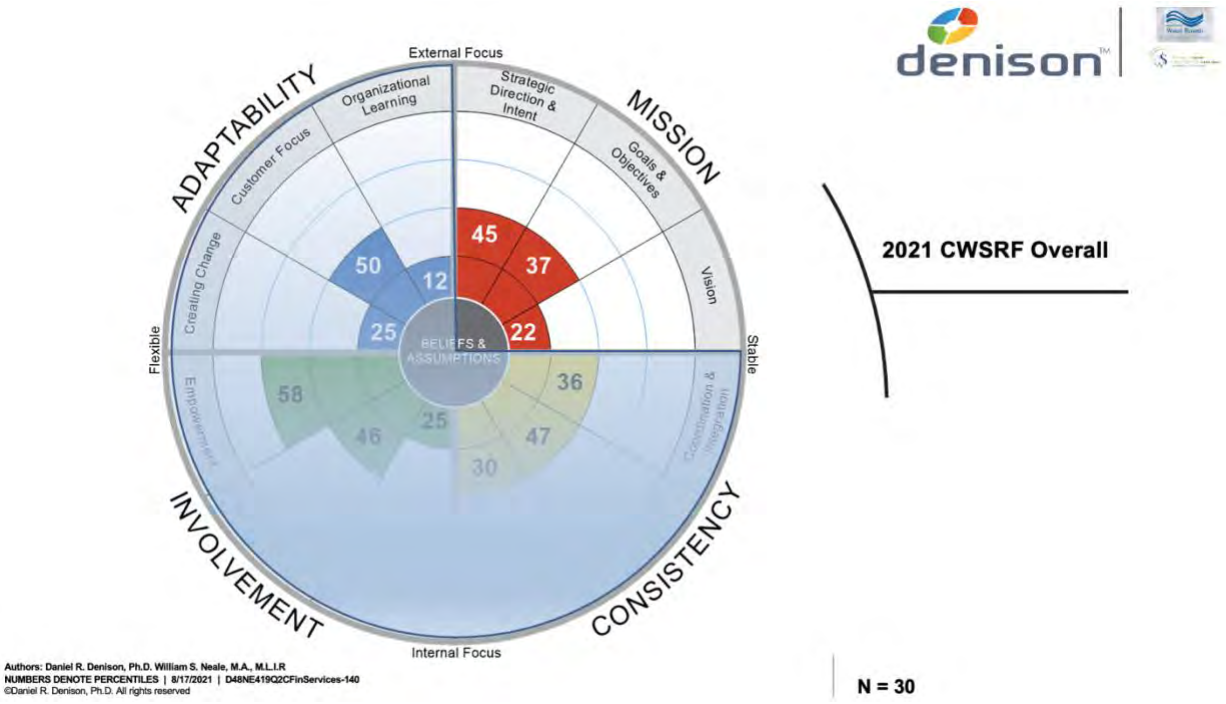
Its primary external stakeholders are applicants for financial assistance for water-quality projects that can range from small communities, disadvantaged communities to small, mid, and large cities. Community members who benefit from the water-quality projects and small business owners who plan and construct these projects are external stakeholders too. Other external stakeholders are USEPA from which the CWSRF Capitalization Grant originates, the State Legislature from which proposition-related funds originate and investors in CWSRF-linked revenue bonds. Some key internal stakeholders are the Division of Financial Assistance (DFA), California State Water Resources Control Board (SWB), State of California Controllers Office (SCO), Financial Information System for California (FI$CAL) and California Infrastructural Bank (I-Bank).

There is an expectation for timely processing applications from shortlist to contract, approval, and funding. This expectation for timeliness is coupled with the expectation that the application process is transparent, accommodates small and disadvantaged communities, yields projects that preserve historical and environmental value, and build water-quality projects to sustain future water-quality needs of communities. Fiscally responsible use of financial resources that can stand federal and state audits and maintain AAA ratings for state issued revenue bonds are also expected of the CA CWSRF.

For the 2021 – 2022 financial year, the amount of financial assistance applied for by stakeholders exceeded the funds available through USEPA capitalization grant and state matched contribution. This trend has raised expectations for responsible and transparent prioritization of fund allocations among applicants.

Denison Organizational Culture Survey: Mission

Denison Survey's mission competency informed the strategic visioning at CA CWSRF and is reported next. Numbers are percentile comparisons with financial services benchmark of 87 organizations.



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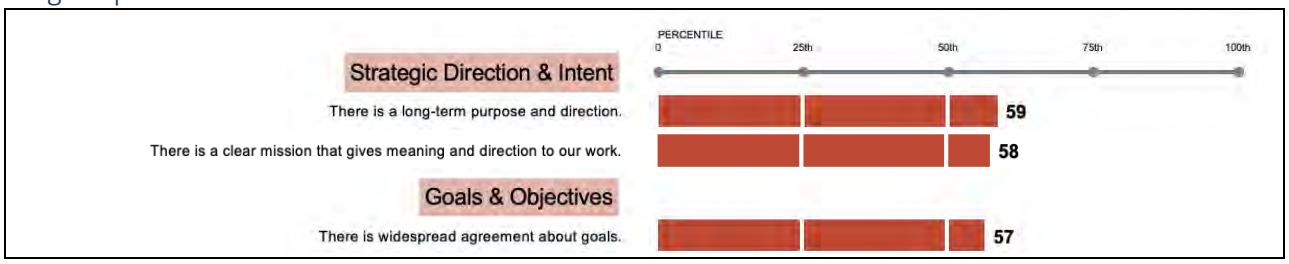

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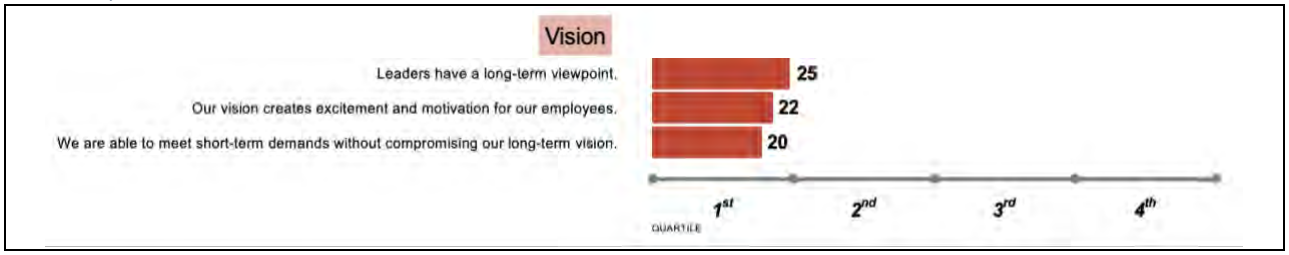

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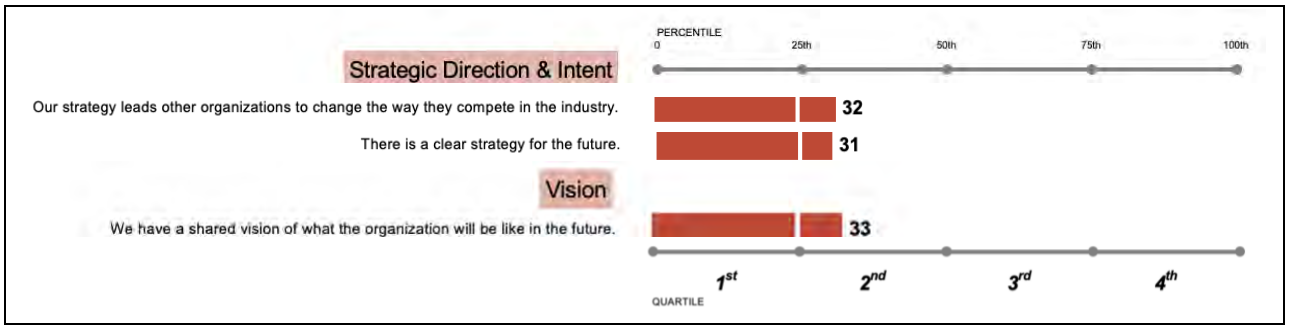


Survey Open ended responses: Aspects to preserve and change

Question: Regarding processing CWSRF financial assistance applications, what is one aspect you would like to preserve about the culture of your organization?

- I like that we evaluate projects based on impact to communities served by water systems.
- I would like to preserve our ability to maintain strong relationships with our stakeholders.
- One aspect I would like to preserve about the culture of my organization is our relationship working with recipients to provide low interest financing.
- that environmental review remains a crucial and respected step in the process of application approval
- The ability to continue to assist.
- The sense that the work we do is important.

Question: Regarding processing CWSRF financial assistance applications, what is one aspect you would like to change about the culture of your organization?

- Become lender of last resort...not lender of first resort.
- The acceptance that change is good, leaning out processes

Conclusions

- CA CWSRF mostly envisions and articulates its strategic orientation as timely and low-cost or free financial assistance for water-quality projects. There are accompanying multiple strategic priorities underpinning this timely service to internal and external stakeholders. These priorities are embodied in technical engineering, environment, historic preservation, legal and fiscal expectations, and standards.
- CA CWSRF's external stakeholders who avail of financial assistance are often characterized as applicants, recipients and not so often as a customers or water systems. Also, accommodations for small and disadvantaged communities such as automatic eligibly for funding and customized service to larger stakeholders, such as one-on-one advice for clarifying application processing expectations are developed.

- CA CWSRF's timeliness is contingent on applicants'/ recipients' comprehension of application process expectations. This timeliness is also a factor of their own internal governance, such as board or governing body decisions to CA CWSRF inquiries or staff turnover. Timeliness depends on regulatory interpretations placed on projects by designated officers of California Environment Quality Act (CEQA) and state historical preservation office. Timeliness is also dependent on pre-existing schedules of internal stakeholders such as FI$CAL and the SCO.

Recommendations

- CA CWSRF envision their strategic orientation more completely to heighten the hidden value service add-ons that they bring to their external and internal stakeholders' tables.
    - Envision this strategic orientation around the multiple dimensions that CA CWSRF operates, the different stakeholders that they serve and the imperatives for efficiency, and transparency in processing the fundable list, contracts, budgeting, and funding financial assistance.
        - This strategic envisioning would benefit from consultations with representative stakeholders from the US EPA, SCO, FI$CAL and comparable SRFs.
        - Use an external facilitator such as Office of Water Program's (OWP) Environmental Finance Center (EFC) for this purpose.
- Relatedly, as part of this envisioning exercise, CA CWSRF explore and frame their relationship with their applicants/ recipients as they progress along the financial assistance application pathway.
    - Explore the question, is the primary stakeholder an applicant, recipient, customer, or water system?
    - Also explore their service relationship with stakeholders who by virtue of not being disadvantaged, small or large fall somewhere in-between or outside these three groups.
    - This exploration can be undertaken through cross-functional focus-groups that also include other internal and external stakeholders with an external management/ organization development facilitator.

Organizational Coordination

Description of organizational coordination at CA CWSRF Program

CA CWSRF is housed in the Division of Financial Assistance (DFA) within California State Water Resources Control Board (SWB) to implement two key strategic priorities of financial assistance and water quality projects. CA CWSRF coordinates its activities through structural arrangements that range from units, sections to branches. These structures are classified by clean water derived priorities of USEPA and state legislated propositions. Examples of USEPA derived structural arrangements are Clean Water SRF, Water Recycling Funding Units or the Environmental Section. Proposition derived structural arrangements are the Disadvantaged or Small Community Units within the Office of Sustainable Water Solutions Branch.

Coordination in CA CWSRF is undertaken through the standardization of tasks within structures that are classified as units. For example, tasks may be standardized within units around contracts or financial credit, financial planning and support. Coordination is also undertaken through sections, such as for historical preservation and environmental review. Legal review and contracts are coordinated through a branch.

At CA CWSRF, sections are two or more units that together with offices fall under four branches. The Loan and Grants and Office of Sustainable Water Solutions branches are accountable for the water-quality related technical review of projects that fall under the USEPA federal program and State Legislature derived propositions respectively. The Loan and Grants Administration Branch is responsible for administrative reviews along the application pathway. The Financial Assistance Branch within SWB's Office of Chief Consul (OCC) in turn has a Loans and Grants Unit that provides legal consultations for contracts, sourcing of funds through revenue bonds and bond ratings.

Roles and responsibilities within Loan and Grants and Office of Sustainable Water Solutions branches are matched to federal, or state legislated water-quality priorities and informally referred to as Technical. CA CWSRF staff in Technical are designated as Water Resources Control (WRC) Engineers or as Environmental Scientists. Technical unit supervisors are designated as Senior WRC Engineers or Senior Environmental Scientists and section supervisors are designated as Supervising WRC Engineers. The environmental section supervisor is designated as the Environmental Program Manager. WRC Engineers are informally referred to as Project Managers for financial assistance applications that are assigned to them for processing. Senior WRC Engineers are informally referred to as Seniors. Both informal references have designation-like status.

Roles and responsibilities within Loan and Grants Administration Branch are matched to functions within standardized tasks and informally referred to as Administrative. CA CWSRF staff in Administrative are designated as Analysts. CA CWSRF unit supervisors are designated as

Staff Service Manager 1 (SSM1) and section supervisors as Staff Service Manager 2 (SSM2). Some SSM1s are also referred to as Unit Chiefs.

Legal consul within OCC's Financial Assistance Branch is undertaken by attorneys within the Loans and Grants units. The loans and grants unit directly report to the financial assistance branch's supervisor who is designated as the Assistant Chief Consul.

Staffing, compensating, managing performance and training are governed by policies of California Department of Human Resources (CalHR). CWSRF has a mix of long-tenured, new and cross-agency transitioned supervisors and staff. CWSRF has hired interns who have been offered full time staff positions and subsequently promoted into supervisory roles. CWSRF has also transitioned supervisors and staff from California Department of Public Health (CDPH). There are also new hires from private organizations. There are a suite of technical and financial training and development opportunities offered through SWB's training academy and non-technical training on soft skills through CalHR. CWSRF has had some home-grown cross-unit supervisor-led refresher and new-employee orientation training during 2021.

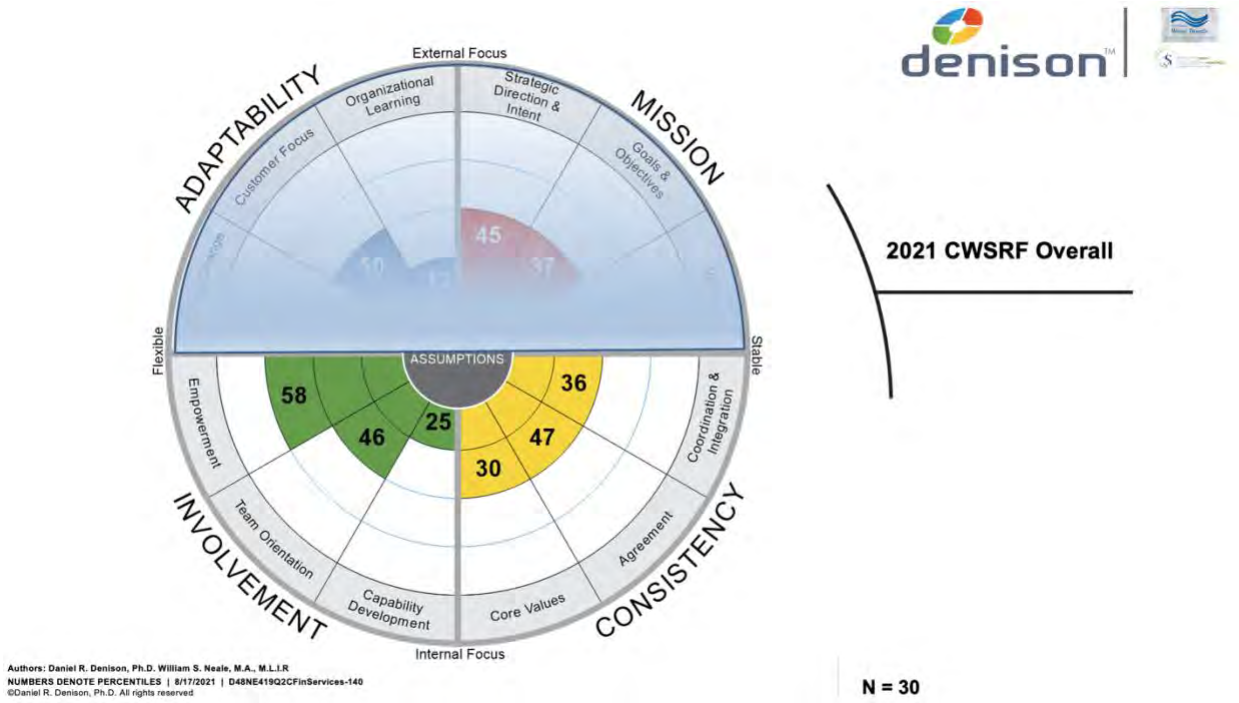
Quarterly and annual SWB and DFA meetings provide a platform for scheduled CWSRF program updates. Units and sections in turn also hold periodic meetings that can range from monthly or weekly for CWSRF program or specific to internal workflow updates. These meetings may also be initiated in response to state-mandated operating procedural changes. An example of such a state-mandated change was exploring digital signatures and the migration to an application processing workflow adopting AdobeSign in early 2021.

Consistency in leadership and decision making based on SWB's strategic direction is achieved through leaders relaying top-down informational updates to supervisors and staff. Leadership is a function of top-down designated official-roles, widely accepted role-expectations and influence exerted through their own initiatives. Supervisors and staff typically are viewed as authorized decision-makers within their officially designated roles. Supervisors review staff's work for accuracy. Informally, supervisors' and staffs are able to exert influence in response to discovery of new information or their reputational capital. In some instances, Seniors play a mediating role between Technical and Administrative handoffs and application reviews.

Externally, CWSRF's structured interface with external stakeholders including applicants/ recipients is through issuance of an Intended Use Plan (IUP) for the funds that it receives annually. This IUP contains a comprehensive list of completed applications (successfully submitted four parts of the application package) received through a Financial Assistance Application Submittal Tool (FAAST). This comprehensive list contains priority scores for all completed and scored projects. Project Managers (PM) in Technical are responsible for scoring completed applications received. The IUP also contains application processing resources (such as manpower) and the cut-off scores for financial assistance eligibility. Any exemptions on cut-of scores by the Deputy Director based on available funds are also listed in the IUP. The IUP also contains a Fundable List of applications that made the cut and a list of project rollovers continuing from earlier years.

Denison Organizational Culture Survey: Involvement and Consistency

Denison Survey's Involvement and Consistency competencies informed the structural coordination at CA CWSRF and is reported next. Numbers are percentile comparisons with financial services benchmark of 87 organizations.



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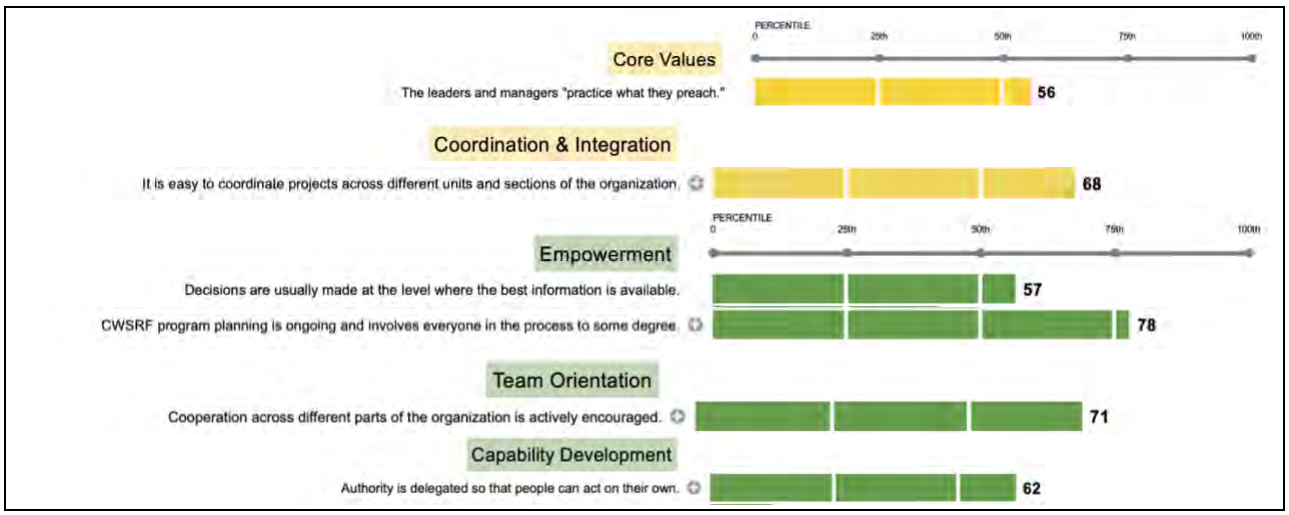

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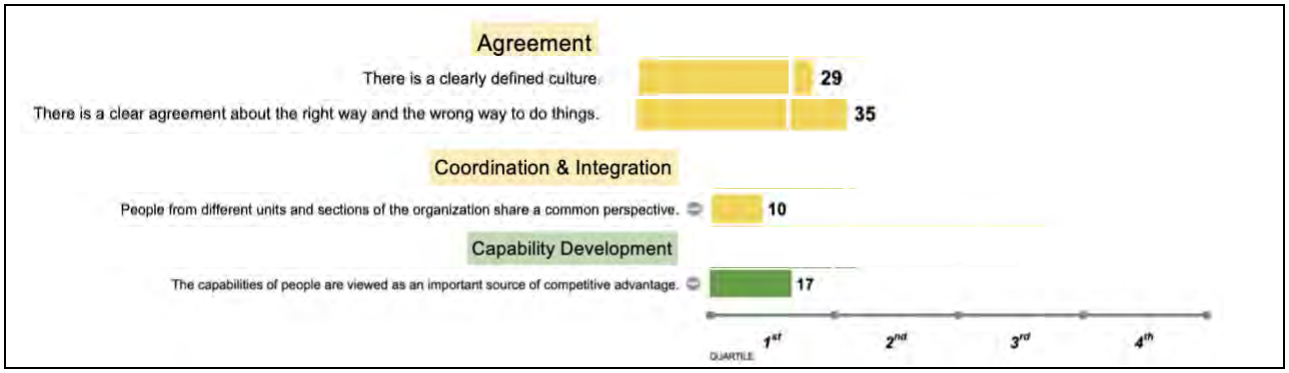

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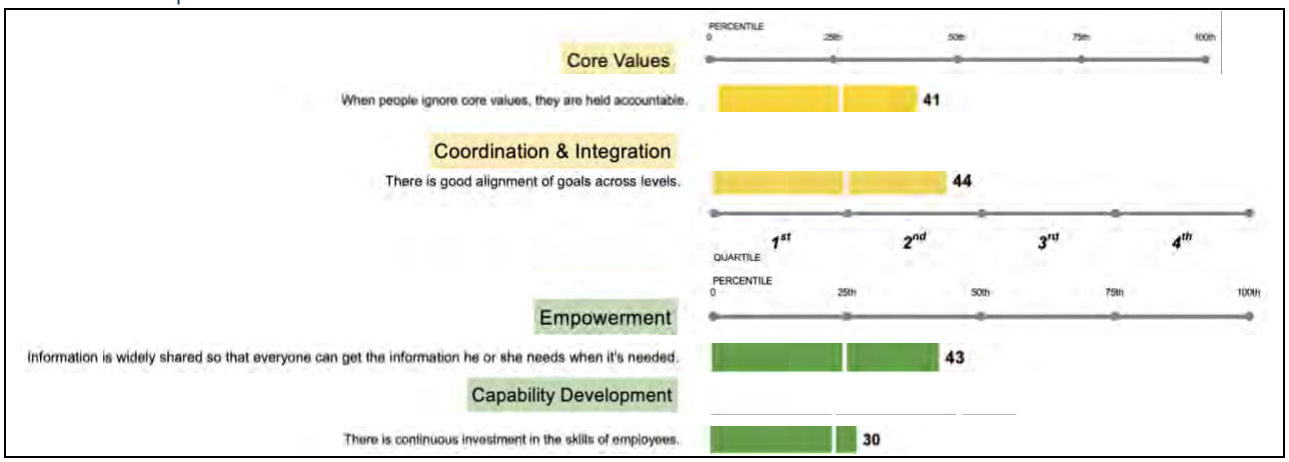


Survey Open ended responses: Aspects to preserve and change

Question: Regarding processing CWSRF financial assistance applications, what is one aspect you would like to preserve about the culture of your organization?

- In regard to processing CWSRF financial assistance applications, one of the aspects I would like to preserve about the culture of our organization would be having the financial packages split between General, Technical, Financial, and Environmental. I believe the split works well in allowing our staff to review and approve the different application items.
- Open communications
- The importance of people
- Creating a flexible telework culture where staff are happy to do their work. I believe that we have seen a much more productive environment and once we have a structure for telework with all the proper tools our productivity will continue to improve.

Question: Regarding processing CWSRF financial assistance applications, what is one aspect you would like to change about the culture of your organization?

- Better communication between the technical review units and the environmental review unit. Decisions are sometimes made by the technical staff that are meant to help improve/streamline the application review process. Those decisions directly affect the environmental review unit. Those decisions should be made in consultation with the environmental staff. And when they are not, sometimes those decisions are communicated long after they should have been. The delay in communication sometimes causes unnecessary work or rework for the environmental team. This shows a lack of understanding of the process between the two groups and a lack of communication.
- I wish our division was not so siloed and more information was shared among staff at all levels in units throughout the division. It would be good for staff in different units (admin, environmental, and engineering) to get to interact more on a regular basis.
- I would like to change the some what disconnect between units (i.e., technical, financial, contracts, environmental, etc.)
- "Management does not involve working level staff in decision making and instead keeps everything very close until a decision has been made. Very little worker level input is requested or valued.
- I've heard ""I'm not allowed to discuss that at this time."" from my supervisor on multiple occasions. There is little to no cross discussions about key issues between units. No one knows what other units need/require and such discussions at the employee level are actively discouraged by some managers. "
- recognition that each unit has a perspective that should be considered prior to implementing change.
- Separate the operational tasks from the program management. Allow time for training, learning, and professional development.
- There is definitely more room for improvements and processing efficiently. I believe defining desired values and behaviors of each employee. In this way, culture can break down the boundaries between siloed teams, guide decision-making, and improve workflow overall.
- Units becoming more compartmentalized and the office culture becoming too bureaucratic.

Conclusions

- Primarily coordination is for financial assistance within SWB to achieve USEPA or state-legislated priorities.
- Parallel top-down structures clarify roles, responsibilities and frame boundaries around funding priorities and functional specializations.
- This top-down coordination is through a dualistic parsing of technical and administrative tasks, roles, and responsibilities.
- A key goal is low-cost financial assistance for water-quality projects based on sound financial and legal contracts.
- While the focus of this assessment had been clean water, supervisors and staff have additional roles and responsibilities or may be pulled into consultative roles on tasks

that may span the identification, contracting, budgeting, and funding of other water-quality projects. For example, some units have concurrent ownership of clean and drinking water projects.

- There are structures that appear to offer cross-unit integration capabilities such as for financial planning and assistance, technical assistance, and sustainable water solutions.
- The SWB's Personnel Office essentially is for maintaining operational alignment between low-cost financial assistance and CalHR's personnel policies. There is some degree of cross unit and section integrating in exercising this role.

Recommendations

- Concurrent responsibility for multiple water-quality priorities with the co-existence of units that reflect latent integrating qualities require deliberate strategic and structural alignment or fit.
    - While concurrent responsibilities may temper top-down coordination clarity, it also throws up opportunities for cross-priority (often embodied in units) collaboration and service delivery. These should be explored by helping supervisors and staff comprehend the strategic relevance of the priority-mix and then an exploration of operational cross-over collaboration that can be achieved.
    - Explore within CWSRF's existing structure latent pre-existing potential to harness high-performance concurrent or integrated capabilities that draw or usefully benefit from industry aligned Design-Build or Agile principles. This could also include integration around leveraging CWSRF's value service add-ons through Sustainable Water Solutions, Technical Assistance and SWB's Personnel Office.
    - This exploration for strategic and structural integration with alignment and an action plan could also be undertaken through partnerships with the Office of Water Programs' Environmental Finance Center (EFC) at California State University, Sacramento, SWB's Personnel Office and CalHR.

Processing of low-cost financial assistance applications

Description of low-cost financial assistance application processing at CA CWSRF

At CA CWSRF the multiple strategic priorities embodied in value service add-ons and dualistic structure implicate a tightly coupled end-to-end application processing pathway. Applications for financial assistance, based on project-type, project-scale, and project-scope traverse across multiple stages as they are processed from early-stage complete 4-package submittal to prioritization to contract to later-stage funding of approved budgets. Each stage draws on different bodies of knowledge ranging from technical, environmental, historical preservation, legal to financial and contract. Each of these stages are sequenced and tightly coupled by legislative or functional goals, reviews, handoffs, tracking, reports, and information technology.

Application processing stages: Applications either scored for priority against a cutoff or deemed eligible for listing on a fundable list depending on project type. Technical assesses applications of the fundable projects for water-quality priorities and technical standards. Completion of one or near completion of the technical review leads to staging of subsequent reviews or mitigation commitments by applicants for compliance if needed. This stage requires reviews for national history preservation and compliance to federal or state environmental protection acts. If needed, mitigation commitments by applicants may be drawn up. This is followed by an administrative review for financial diligence, legal consultations and drawing up a contract. Subsequently, amendments for budget approvals or applicant-initiated modifications lead up to reviews for the final stage disbursements of funds.

Processing Milestones: The multi-modal application processing is oriented towards internal efficiency to execute routine stages of the process. Key officially stated cutoff dates mark milestones for each application processing stage. One of the milestones is for ensuring completed project are submitted by the calendar year end. There are three target processing timelines. One is for application prioritizations to be accomplished before the start of each financial year in July. Second, is for drawing up contracts within 9 months for completed and prioritized applications that make the fundable list. Third, disbursement of funds within 30 to 45 days. In addition, there may be funding-related official critical due dates or financial-year-ending related informal practices that may mark informal milestones to execute stages.

Processing types: Within each stage, applications undergo different types of processing approaches. In some cases, the early-stage processing may involve collaboration and joint consultations where CWSRF's Technical Assistance Unit may assist applicants with a submittal early in the application process or during later-stage processing. Disbursements Unit may assist recipients with requirements for a budget approved contract. One part of the process for credit and legal reviewing is concurrent. Another part of the process is also iterative for amendments for applicant-initiated changes or for approving or reconciling projects' budgets with estimates and bids after contract. Iterative process may also be adopted for disbursements of planning or construction costs. Discovery of new information about the applicant, or CWSRF's internal efficiency needs, or funding flexibility may also result in triggering an iterative process.

Assignments, kickoff and staging: Applications are screened for the water-quality type, scale, scope and matched to unit priorities and assigned to Seniors within Technical. Seniors in turn assign them to Project Managers within their units who are responsible for servicing the federal or state-legislated priority. These reviews for completed projects on the fundable list are usually initiated by a kick-off meeting between internal stakeholders who process the applications and the external stakeholder, the applicant. There may be staging meetings setup between applicants, unit supervisors and staff for each subsequent stage or reviews required within a stage.

Timeliness – External

Timeliness is a function of external responsiveness and internal interdependence between the sub-processes within each stage and the work product quality that these sub-processes yield.

External responsiveness: Application processing efficiencies are tempered by external stakeholders' responsiveness. Each application processing stage has varying degrees of dependence on applicants' responsiveness. Strategically, the stakeholder responsiveness is a function of their own constituents' long or short-term need for financial assistance. Operationally, the external stakeholders' responsiveness is a function of their own technical and administrative infrastructure to comprehend and respond to inquiries. In addition, even where the external stakeholders possess sophisticated technical and administrative infrastructure, their responsiveness may be a function of their own internal restructuring or workforce turnover. Responsiveness in all cases is also a function of their own internal governance structures required for decision-making.

Timeliness - Internal

Timely completion of each application processing stage depends on interdependence between sub-processes executed by CWSRF's units in each stage and each unit's work product quality.

Hierarchy and process independence: The existing structural configuration formally marks out accountabilities and span of control with informal collaboration within these spans of control. These jurisdictional lines also extend the logic of the top-down structural chain-of-command within units and across sections' decision making during the processing of applications as they traverse from one stage to the next. This means that decisions within each stage, a unit or across sections fall vertically onto branch, section, or unit supervisors or horizontally on the project manager who is accountable for the project across different stages. Within units, staff informally review each other's work quality or learn from each other on executing routine processes or resolving non-routine processing challenges.

The workflow within or across sub-processes and stages are each discrete. Applications move from one stage to another sequentially. There are some overlapping concurrent timelines for initiating the start of processing in the next stage while it might still be at an earlier stage.

However, such concurrent processing are operationally separate and advance updates are provided through LGTS. Each stage has unit-specific forms and documentation and tracking systems in addition to LGTS. These forms and documentation are standardized and adopted by each unit for their own processing goals. Updates to forms may be recommended by unit staff or supervisors.

Cross-section or unit and process dependence: Timely application processing is also tempered by varying degrees of dependence across stages, units, sections, or branches. While each unit supervisor has a clearly marked out span of control, they are accountable for work products that may overlap with other units or branches or depend on receiving or passing on accurate and complete information during handoffs. For example, later stage funding depends on coordination with FI$CAL. Mid-stage contracting depends on contract shell creation or fund flexibility that depends on coordination with State Controller's Office (SCO) or with Accounting. Even simple handoffs of work product from one unit to another can set back timeliness if there is discovery or differences between the handing off and receiving units on what is an accepted standard of completeness for the work product.

Interdependence: Interdependence is experienced mostly around handoffs from unit to unit or across sections as applications are processed. There are cross-boundary informal workgroups that are project based. These work groups' focus areas may range from routine regulatory updates such as assessing rates or eligibility criteria relevant to a specific stage. There are also workgroups for routine review to non-routine exploration of improving processing timeliness, process improvement or planning for increased federal or state funding. These workgroups are typically led by a Senior and have PM volunteers. The workgroups match their focus work-area of investigation and consult with staff from other sections, units, or branches. Typically, membership is voluntary and based on invitations to the PMs.

Technology and tracking systems: Technology provides a level of interdependence across the different stages. Financial Application Assistance Submittal Tool (FAAST) and Loans and Grants Tracking System (LGTS) are interconnected using unique automatic system-assigned application identifiers or codes. LGTS has hierarchical ordering of applications into 8 groups that are reverse ordered as they traverse the application processing pathway. As fundable project applications are categorized into a specific group in LGTS, this is an indicator that the next level of reviews may be initiated. This process is being complemented with a second prioritization approach titled SWIFT for time committed reviews of projects on the fundable list. FI$CAL, California's centralized financial information system also provides a degree of interdependence for example, in the creation of contract shells, encumbrance of funds, budgeting for payments of funds, and final funds disbursement with SCO.

Emails are the dominant method for initiating reviews and handoffs from one unit or stage to the next. The proposed SWIFT process will introduce and possibly replace emails with system generated messaging. MS Teams is the dominant video-conferencing method for holding virtual meetings. Since 2021, Adobe DocuSign has been adopted for routing some of the forms for digital signatures.

Technology also provides a level of variability across the application processing pathway. Besides the CWSRF-wide LGTS, there are unit-specific technology-based tracking systems. Each unit has its own spreadsheets maintained on MS Excel that track the progress of applications that are assigned to them. Key information from these checklists is entered into LGTS too. LGTS is used to provide a predictive model based on existing data for expectation of application for funding disbursements. There has been a state-initiated electronic content management (ECM) attempt to standardize tracking systems.

Work product quality during processing of applications

Human Resources: Work product quality is also a function of requisite knowledge, skills, abilities, and human resources. Knowledge and skills of staff and supervisors are based on existing roles, qualifications and work-experiences all sourced, retained, incentivized, and developed through SWB's Personnel Office and CalHR. The ability to efficiently process applications is developed through different approaches that range from orientation, shadowing and on-the-job work experiences. Internal transitions or the presence of clogs have historically witnessed resolutions in the opening of new supervisory or staff positions. Resolutions have also been through career development pathways that allow for promotion from staff to supervisory positions or lateral moves from one unit to another. Resolutions have also been initiated through supervisor or staff leadership initiatives. CWSRF has also received state approval for staffing a funds management unit.

QC and reviewing: Work product quality is also a function of the formal and informal reviewing practices adopted by each unit as they process applications through the pathway. Across-sections status updates of projects on the fundable list is undertaken on a monthly basis. Supervisors meet regularly with staff and on a case-by-case basis to resolve work-quality issues. Leader-led cross boundary reviews are also initiated on discovery and for resolution.

There are different types of situations that lead to discovery that may temper timeliness. One example of discovery is due to an applicant incurring new debt. Another example is when applicant's existing water-system becomes more than 50 years old and therefore now fall under additional historical regulations. Third, any new legal actions that an applicant may face after having gone through a review but before its application is approved for contract. Cutting across all these discovery types are applicant-initiated contract changes that require amendments across the application processing that can impact timely processing. Such changes require re-review or reworking of contracts and funds availability as and when an application reaches disbursement stage.

Innovation: Employee initiative and engagement have periodically found form in innovative updates to checklists, identifying issues and suggesting improvements. There have been a number of supervisor or staff-led initiatives to map the many steps underlying the sub-processes within each application-processing stage. CWSRF has decoded nuances within

application issues and developed instructive lessons and cases for clarifying the process for CWSRF staff, applicants or recipients.

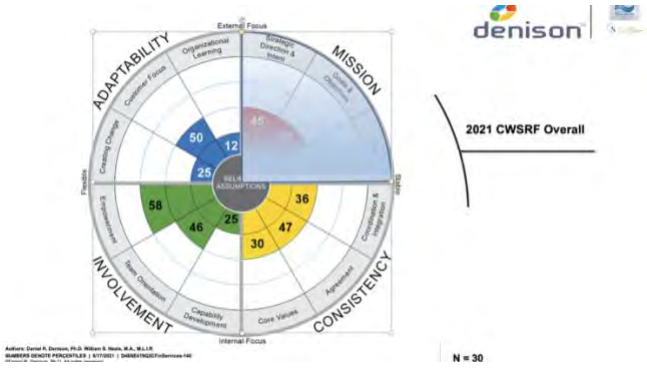
There have been episodic externally influenced cross-boundary innovation initiatives as experienced during the unexpected changes due to recent pandemic and during transition as in the case with CDPH. These initiatives have resulted in edits to processes or forms and migration to virtual application processing modalities. Some of these initiatives have adopted scaled down co-design of prototypes during the shift to a virtual environment. Others have been driven by a commitment to get the process up and running during a transition that are characterized by supervisor leadership and top-management support.

Multiple value frameworks: There are multiple-value frameworks that differentiate the internal and consistent processing of applications. These multiple-value frameworks are based on function, HR, discipline, and application processing stage. The processing logics are influenced by technical engineering and administrative contract values. Values embodied in water-quality and financial assistance co-exist. In addition, there are multiple-priorities that underpin water-quality ranging from the applicant type to legislative priorities to compliance requirements to the scale of the project from standardized component upgrades to turnkey customized projects. Free and low-cost funding through a revolving fund, proposition-based grants and market-issued bond revenues all co-exist within financial assistance funding sources.

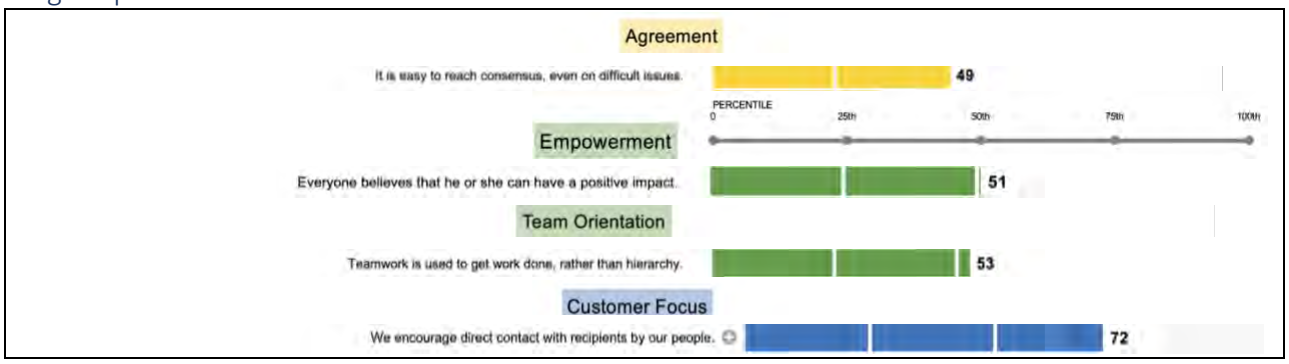
Leadership and Project Managers (PM) are assigned ownership of project applications and are expected to play the role of facilitators for the graduation of a completed fundable application across the application pathways. This role is in addition to their officially designated technical role as Water Resources Control Engineers for technical review of water-quality projects for which funding is sought by applicants. PMs serve as the primary point-of-contact and orchestrate the processing of applications across stages, sections and units from the Technical to the Administrative side. PMs trouble shoot with supervisors and staff on issues related to application processing as they interface with applicants. PMs help applicants understand the overall process and resolve issues that may emerge internally over the course of the application processing pathway.

Denison Organizational Culture Survey: Adaptability, Involvement and Consistency

Denison Survey's Adaptability with Involvement and Consistency competencies informed the assessment of the application pathway at CA CWSRF and is reported next. Numbers are percentile comparisons with financial services benchmark of 87 organizations.

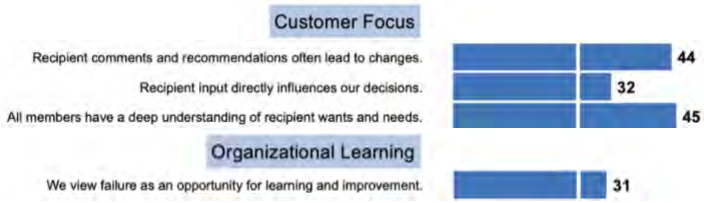


Higher percentiles



Lower percentiles

In-between percentiles



Survey Open ended responses: Aspects to preserve and change

Question: Regarding processing CWSRF financial assistance applications, what is one aspect you would like to preserve about the culture of your organization?

- I believe our process is relatively simple to follow and for agencies to keep track of current status of applications. Staff is easy to reach and readily available to answer questions/assist with document development. Our reviews are done well to ensure the State Water Board is funding eligible projects, environmentally safe, and funding is going out to agencies that can repay loans.
- I would like to keep the aspect of collaboration between staff of different disciplines to ensure that projects both meet the goals of our organization while addressing the needs of communities.
- Professionalism, Open door policy for staff to ask questions and seek guidance.
- Teamwork and collaboration amongst sections with different backgrounds.
- The cooperative nature of problem solving between units/sections.
- The group collaboration between financial, technical, and environmental units to get a project done.
- The teamwork and communications across various units, sections, and branches.
- We accept applications on a continuous basis.

Question: Regarding processing CWSRF financial assistance applications, what is one aspect you would like to change about the culture of your organization?

- Accountability for all groups and not just those on the spotlight. Disbursements are always hold accountable and are expected to meet their performance matrix but factors out of their control are a major component of disbursements on hold. Issues such as funding shifts and Amendments for funding agreements. These two issues hold disbursements for long periods of time and impact our disbursements performance matrix. Unfortunately, we have no control of either task. Is very difficult to keep a positive and encouraging working environment when the responsibility of these tasks is blame on the individuals that do not have any role on getting them done in a timely manner.
- I believe we can do a better job at aligning our goals for all review staff from submissions of application to execution of an agreement. Specifically, credit review

seems to work on own schedule, contract drafting seems to be put in a black box, and agreement reviews seem to be held up for weeks at times.

- I would like to change the amount of time it takes to process applications by adapting reviews and approvals to administrative needs.
- Implement new and improved processes that are technological more up to date.
- In regard to processing CWSRF financial assistance applications, one of the aspects I would like to change about the culture of our organization is the agreement routing process. The routing process has been taking a long time to process and to execute agreements.
- One branch is geared toward group/collaboration while the other branch has a hierarchy mentality that requires additional approvals. This creates an impression that the employees and managers are not trusted to make decisions and creates bad morale. We really are stuck in a rut with getting applications out, it seems like we keep adding requirements and then wonder why it takes so long to get the funding out. We really need to take the time to press pause on reviewing/funding projects to develop a better application/funding system.
- The opportunity for consistent training for all CWSRF staff on all changes including priority changes, process changes, and form changes.
- Too many people/approvals involved in the routing for an agreement. If we can lessen the number of people who need to review/sign off, it could save some time.
- One thing I would like to change is our processing time for providing financing.

Conclusions

- Processing applications is undertaken primarily for low-cost financial assistance. CWSRF also offers technical assistance, financial, credit, contracting, environmental and historic preservation value add-on services.
    - Applicants' interest is motivated by the low-cost or free financial assistance. However, since projects are executed in California there are expectations for technical, environmental, legal, financial due diligence and regulatory compliance. All these services are provided by CA CWSRF along the application pathway.
- The end-to-end application processing is undertaken in different stages. There is some degree of independence for upholding priorities within units. There is dependence across units for handoffs, reporting, information systems and tracking work products at all stages of the application process.
- Decision making for routine problems and non-routine issues is undertaken through the official top-down chain-of-command. Some decision making is done by project managers with seniors mediating non-routine issues.
    - This official top-down chain-of-command logic mediates the project-initiative-based cross-section or unit workgroups for routine and non-routine initiatives.
    - There are some cross-external-stakeholder initiatives for simplifying some of the external approvals and showcasing decision examples to clarify expectations.

- The application process is generally subject to multiple values but also specifically has dual priorities.
    - Bringing together technical and administrative internal processing with servicing external stakeholder is a key dual expectation.
    - Also, efficiently processing of routine completed applications and flexibly accommodating non-routine more complex applications that are on the fundable list is another key dual expectation.
    - Traditional top-down supervisory roles and span of control with facilitative leadership influence are implicated in serving dual expectations.

Recommendations

Explore and leverage the strong relationship between CA CWSRF and external stakeholders. This strength is also highlighted in the high customer focus scores in the Denison Survey. As part of this exploration, CA CWSRF can also leverage the existing but underutilized cross-sectional structural capabilities to deliver further on that customer focus value. As part of this exploration also articulate a compelling vision for value to the stakeholders.

- Extend existing cross-boundary external-stakeholder initiatives to explore the creation of cross-external stakeholder platforms for macro-level non-routine issues that are beyond the sphere of influence or span of control of supervisors and staff.
    - For example, creating consultative partnerships with US EPA, FI$CAL, CA SHPO, CalHR, Rating agency or CDT for legislative, fund flexibility, human capital, or technological related issues.
    - Explore such a partnership with Caltrans and Public Utilities that offer similar financing and maybe are subject to federal crosscutting guidelines.
    - Use USEPA's performance and innovation in environmental success for developing recognition to motivate external stakeholder responsiveness and stewardship contracts or awards.
    - Provide resources and training for codifying and patterning nuances and their archiving as instructive lessons for easy dissemination. For this purpose, explore budget lines for funding day-to-day operations for converting documentation into online readable digital formats that will support applicant relationship development.
- Applicant to recipient graduation along the application processing pathway needs to explore their places within the pathway. Two questions to guide this exploration are: Is there only a static benefactor to applicant to recipient relationship? Is there a co-constructor relationship that exists and motivates a customer relationship or a client relationship as well as the potential for future community collaborators?
    - This will require raising the line of sight of staff from individual units processing applications to contribution across the stages along the application pathway.
- Extend earlier outreach initiatives that were used in the past to increase applications. This extension may be around the creation of service-relationship initiatives with stakeholders in parallel with the financial assistance processing as it traverses the application pathway.

    - As part of this extension, transform the existing high customer focus from its transactional application processing principles to include value added services.
    - Framing this value add-on that is already embodied in the suite of services and viewing them as such as a complementary relational value add-on to the presently emphasized financial assistance role.
    - Create a cadre of CA CWSRF supervisors or staff with a unique technical-administrative blend for this relationship development.

Explore multiple values from different internal stakeholders' and external stakeholders' perspectives and expectations.

- Hold focus-groups for cross-boundary Technical plus Administration members around Denison Cultural Survey high scores for what to replicate, Denison Cultural Survey low scores for change, and differences (high or low scores). Also focused discussions on in-between scores for opportunities to develop where some capabilities already exist across levels for the same dimensions.
- Explore with USEPA the administration of the Denison Cultural Survey for comparable SRFs to create a comparative eco-system benchmark to track future improvements.
- Explore adoption of unifying values for empowering decision-making across the multiple value frameworks.

Find ways to help supervisors to exert influence that are beyond their spans-of-control but not beyond influencing their area of accountability to fulfill service. Possibly explore a fit-for-purpose approach that does not lose out on the existing clarifying hierarchy but assuages its top-down superimposition on the operating procedures of the cross-boundary workgroup-like arrangements with an interactive-dialogical approach that is iterative, consultative, and co-constructive.

- Use Denison's Leadership training for PMs, designated leaders, and emergent leaders. This leadership training should result in self-awareness, linking leadership to outcomes and identifying action plans and building leadership skills.
- Develop negotiation training that will help leaders including PMs to exert influence that balances dualistic and often multiple values in reaching win-win solutions to complex problems and intractable issues.
- Draw on enduring values from longer tenured supervisors and staff that captures the classical approaches for PMs to connect with applicants and craft out updated values relevant for the future.

Building cross-stage integration to provide an enterprise-wide view of service delivery across the end-to-end financial assistance application process.

- Use High Performance or Agile-like principles for end-to-end process standardization, differentiation, and integration principles to streamline existing application processing process.

    - Organize for service delivery dependence, independence, and interdependence for breaking through barriers that erode timeliness and replicating successes within an end-to-end process view.
    - Decomposing existing steps within each stage through cross-stage focus groups for, standardizing some of the steps, keeping some differentiated and then finding ways to integrate them across the steps and before and after stages to provide a bigger organization/ enterprise/ initiatives view. Stages >> tasks >> steps (initiatives = system of processes).

Develop quality assurance culture that complements the existing quality check and reviewing for accuracy modalities already existing in CA CWSRF.

- This means decoding patterns among the nuanced issues that emerge and undertaking root-cause analysis for fixing their causes upstream in the application processing.
- Find ways to reduce the frequency and cycle-time for application reviews. Reducing frequency and cycle time for application reviews is both a process-related update and possibly exploring a structural update.
    - Possibly explore the creation of a QA and QC unit.
- Develop standards based on these patterns that will yield consistent quality in application processing delivery.

Identify low-hanging fruit that will help immediately raise the percentage of applications that are processed within the existing timeliness standard for different stages.

- This will require a process update that allows to review completed and fundable routine applications based on high readiness scores on a real-time as is basis. High readiness applications may be processed along a concurrent pathway with the first-in-first-out sequential approach. Also, explore strategies for concurrently processing applications of lower complexity that have entered the pipeline later with completed fundable project applications that are of higher complexity even if are ahead in the queue, otherwise it may slow down application processing.
- This will also require structural or procedural modifications that allows for integrating qualities of existing or new units or sections to be developed.
- Also, assess what is a reasonable timeframe for different stages within the application pathways.
    - Use existing LGTS data and predictive models in defining reasonable and valid timeframes.

Explore use of information technology tools across the application pathway.

- This use of technologies should allow for greater integration between the unit-level scorecards.
- Further develop predictive tools based on statistical and semantic modelling of LGTS data.

- Also, as part of this exploration develop applicant-facing information technology dashboards that provide status updates on milestones achieved, approaching and exceptions when encountered.

Assess HR and knowledge management strategies specifically related to staffing levels, incentivizing, and recognizing supervisors and staff. Also, recognizing timely application processing and standards that tie the application process to improvement in overall application processing timeliness.

- Research US EPA staffing levels of SRF's compared around operating budget and structure.
- Making explicit and systematizing the existing tacit and informal individual, leader or externally forced innovation that is being undertaken within CA CWSRF.
- Develop recognition and award modalities for supervisors, staff and external stakeholders that link to USEPA's performance and innovation for environmental success.

Annexure 1: Interviewee categories

Supervisors:	16
Staff:	18
External Stakeholders:	2

In all there were 36 interviewees.

As per the interviewing and survey method proposed from the start of this assessment: For maintaining confidentiality of interviewees number of supervisors, staff and external stakeholders interviewed are being included.

The survey too was anonymous.

Annexure 2: Interview background, scope, and list of questions

Thank you for agreeing to this interview on California Clean Water State Revolving Fund's (CA CWSRF) internal management processes specifically related to community stakeholders' experiences with the timely and successful processing of applications for low-cost financing for water quality projects.

I am Boniface Michael, Professor of Management and Organizations in the College of Business at California State University, Sacramento and am conducting this interview on behalf of the Office of Water Programs (OWP) at California State University, Sacramento under a project grant to Environmental Protection Agency (EPA) Region 9 Environmental Finance Center (EFC) West.

Background and scope

The increased complexity of funding water quality projects and the State's new accounting system have impacted CA CWSRF's ability to process and approve financing and disbursement requests within a reasonable timeline (date acceptable to warrant issuance).

EPA Region 9 EFC West has been tasked with an internal assessment of CA CWSRF's management processes specifically related to community stakeholders' experiences with the processing of applications for low-cost financing for water quality projects.

The goal is to interview managers, supervisors, employees, and external project assessors about their experiences and identify enablers within the management processes that successfully lead to timely processing of applications and barriers to such success.

Interview protocol

While answering questions, please reflect on your roles and responsibilities related to the application process for low-cost financing for water quality projects. The aim will be to get your overview of the process and then dive deeper into tasks executed by you, related tasks executed by others and links to any other external stakeholders such as project assessors or community stakeholders.

For this interview:

a. There are no experimental procedures. The only procedure being used is a semi-structured interview based on questions that have been communicated to you before the interview.
b. Your confidentiality will be maintained, and source names and job titles will not be quoted. Information that will be reported will focus on themes related to management processes.
c. The total amount of time required for the interview will be not more than 90 minutes and may include a 2nd follow-up session with your consent for 30 minutes.
d. Participation is voluntary and you may be withdrawn at any point

e. In case you have any questions after the interview, then you may communicate with me at bmichael@csus.edu or 916 278 7073 (Voicemail).

Questions

1. Briefly describe your tenure at CA CWSRF and your role(s) in CA CWSRF's for processing applications for funding water-quality projects.
    a. Please describe the workflow for processing and funding project applications and your position's role in this overall CA CWSRF workflow.
    b. Please describe the typical timeline or a range of timelines that characterize timeliness or lack thereof within this workflow.
2. In your role, on an application-by-application basis or day-to-day, monthly, quarterly, or annual basis, what does:
    a. success look like?
    b. barriers to such success look like?

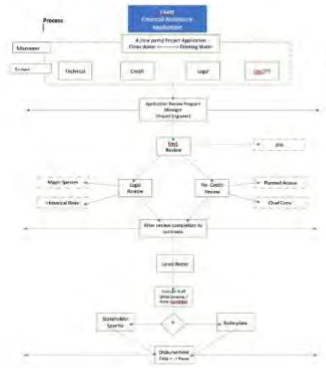
    When you reflect on successes or barriers, please try to link your individual role within the workflow and if possible to the interactions with external stakeholders such as project assessors or community stakeholders who are the applicants.
3. Please narrate, show, or illustrate for me through examples or flowcharts examples that embody such successes and barriers?
4. Do these successes and failures correlate with any specific conditions such as resource availability, contract complexity, the accounting system, or other factors?
5. Do you have any specific recommendations for improving on the management processes that will yield timely processing of loan applications?
6. Contingent: Could you also share the internal material that you described in your interview that I believe is not publicly available?
7. Contingent: When could we meet again (within the next 30 days after I finish up my interviews) in case I have follow-up questions; and
    a. could I talk to Mr./ Ms. XXXX that you mentioned during your interview?

Thank you for taking the time to answer these questions. Do you have any questions for me? Also, feel free to email me at bmichael@csus.edu if you have any other thoughts or comments.

Annexure 3: During interview protocol

CWSRF Interview Protocol

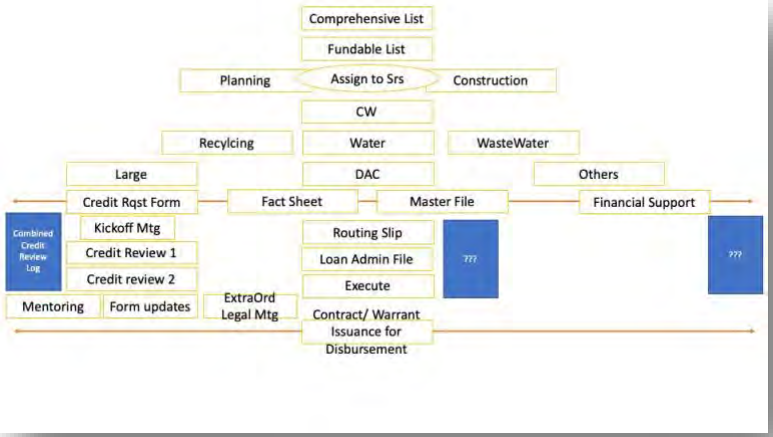
SSM I and SrWRCEngrs.



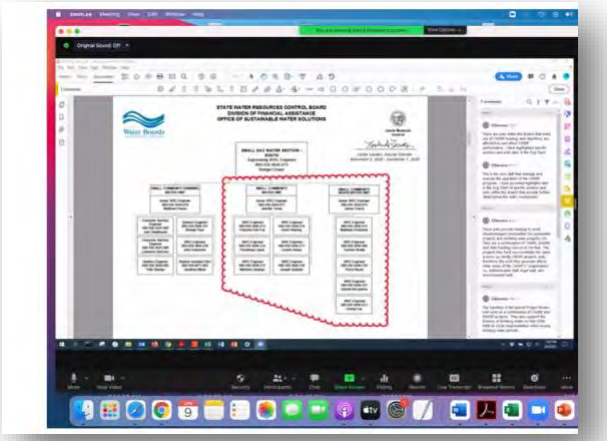
Financial assistance application submittal tool

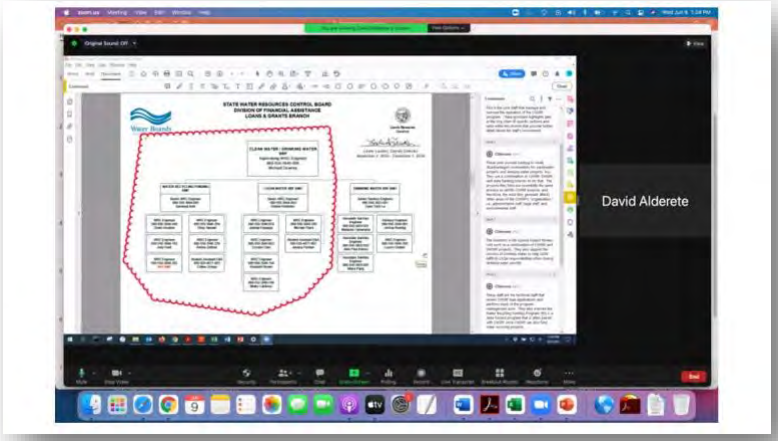
FYIs and annotations

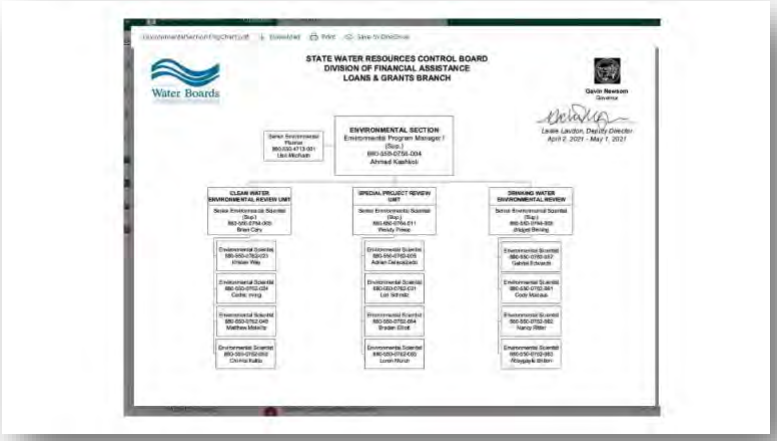
- 2nd device.
- I will annotate as we go.
- You are welcome to add your thoughts too.

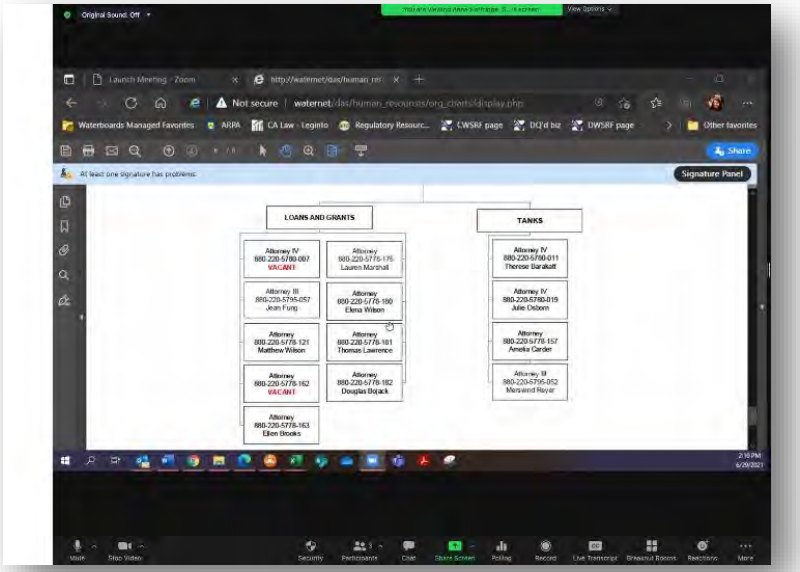



STATE WATER RESOURCES CONTROL BOARD
DIVISION OF FINANCIAL ASSISTANCE
LOANS & GRANTS BRANCH
Water Boards

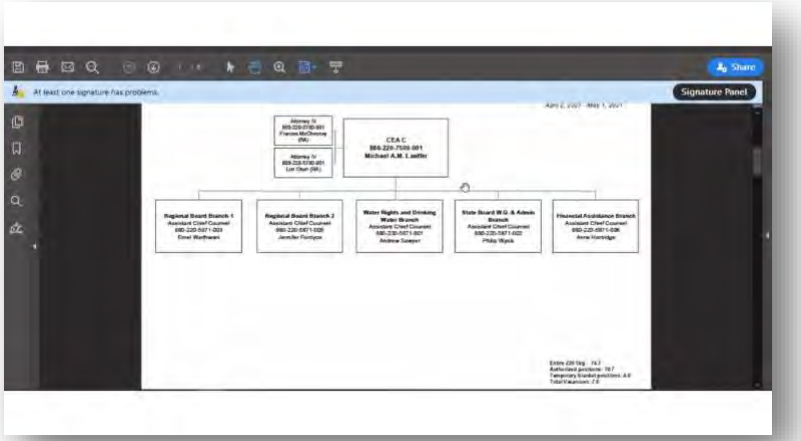

Water Boards


David Alderete


STATE WATER RESOURCES CONTROL BOARD
DIVISION OF FINANCIAL ASSISTANCE
LOANS & GRANTS BRANCH
Water Boards
ENVIRONMENTAL SECTION



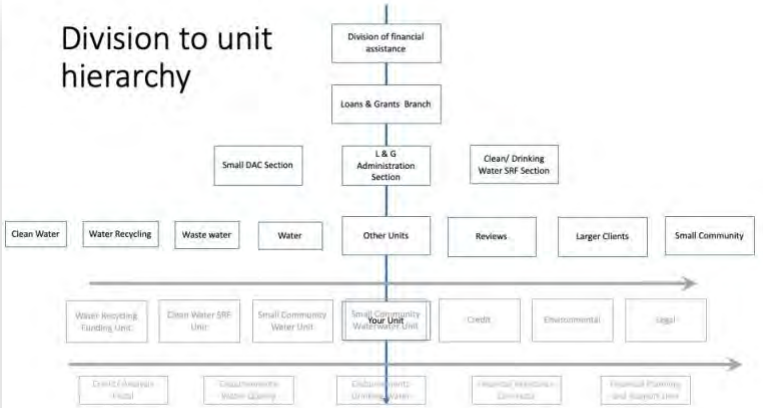
What do you do?



Why do you do what you do?

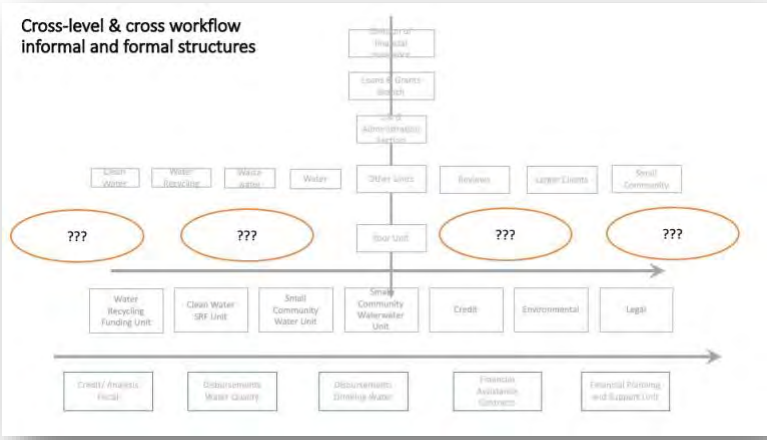
Clean Water Drinking Water SRF/ Small DAC Water Section - South

Division to unit hierarchy

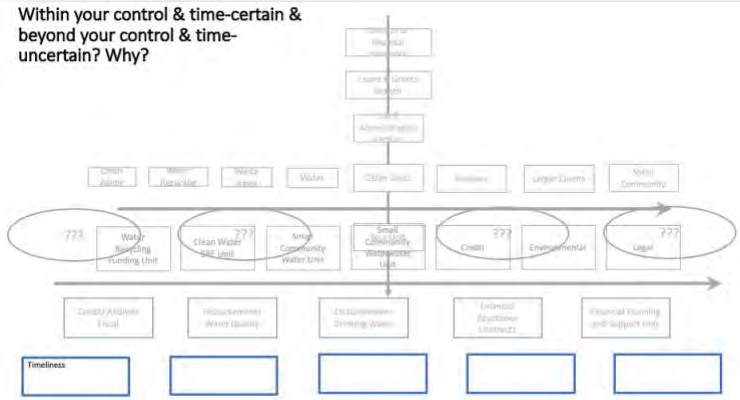


Loans and grants administration section

Cross-level & cross workflow informal and formal structures



Within your control & time-certain & beyond your control & time-uncertain? Why?



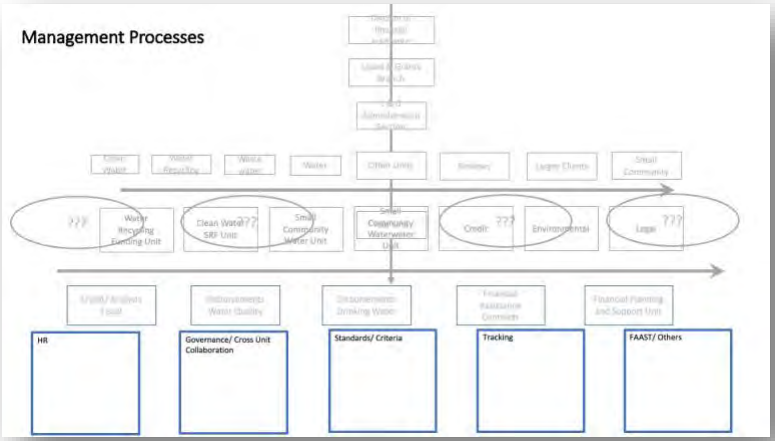
Enablers & Barriers (continued)

Yes **No**

Does all this help you do what you do?

Yes **No**

Management Processes



Management Processes

- Staffing
- Training
- Incentives
- Performance
- Standards/ criteria
- Tracking
- Governance
- Cross-unit/ cross-section collaboration
- Fasst

Next steps: 5 minutes

- Identify interviewees from unit
  - Go over org-chart
  - Criteria: Someone who receives application, processes and does handoffs to next step in the workflow
  - Could therefore end up being 3 persons.
- Share survey questions with interviewees.
- Send them links with some of the work that I do

Annexure 4: Post-interview notes

Analysis, comparisons, theme

The Processing of applications for low-cost financial assistance/ Financial assistance
Recipients/ Applicants/ Water Systems
Timeliness
Quality of revolving fund and AAA ratings
These are based on actual interview responses and or my own assessment of the situation.

	Enablers (Success)		**Barriers (Lack thereof success)**	
	Supervisors (A)	**Non-supervisors (B)**	**Supervisors (C)**	**Non-supervisors (D)**
Dimensions of internal management processes				
CWSRF Leadership	CWSRF leadership's influence exerted by virtue of authorized position held or proven track-record of subject matter expertise. CWSRF employees looked to leaders for strategic direction and for solving non-routine application processing problems. • Example, an unexpected change or discovery within any one of the four sections of a recipient's application would be escalated to the unit supervisor for guidance.			
1. Leader influence	• Leaders communicate regularly with own team members and other supervisors to resolve problems.	• Leaders are knowledgeable and formally and informally accessible for problem solving.		• Cross-unit leadership influence needed where different unit peers' and leaders' participation is needed.
2. Leader strategic direction	• Leaders receive strategic updates from top management and plan for implications for processing applications and relay to their own team members.	• Leaders provide strategic updates during scheduled meetings and plan for implications on processing applications. • Some leader-member collaboration for strategic updates.	• Multiple strategic priorities that have to be translated into steps for processing applications.	• Unfulfilled desire for opportunities for bringing to bear operational experiences in strategic direction (exceptions in B2).
3. Examples	• Checklist changes based on application processing experiences. (A1)		• Loans and grants may have different expectations based on federal or state requirements and is difficult to customize the application process that is standardized. (C2 & D1)	

	• Workgroup constitution for new funding such as American Recovery Act or for standards. (A2) • Inter-agency exploration. (B2)	

• Recommendation	○

	Enablers (Success)		Barriers (Lack thereof success)	
	Supervisors (A)	**Non-supervisors (B)**	**Supervisors (C)**	**Non-supervisors (D)**
Dimensions of internal management processes				
CWSRF Structure	US EPA, legislation, or funding goals have yielded the standardization of CWSRF's structure that governs the application assignments within and across sections and units.			
4. Standardization	• Roles and responsibilities are clearly defined and leads to efficient application assignments.	• Expectations within the assigned roles and responsibilities are clear.	• Rationale behind some standardized structures is unclear or unknown.	• Limited or non-existent knowledge of other units' structural standardization (PMs are an exception). • Some misalignments between sectional and unit responsibilities.
5. Cross-section or cross-unit (Cross-section/ unit)	• Cross-section/ unit application processing through planned in-take or handovers of new applications or reworking for amendments.	• Cross-section/ unit application reworking for amendments.		• Informal resolution of some mixed responsibilities within the standardized unit structures.
6. Examples	• Responsibilities in sections and units such as clean water, drinking water, loans and grants or sustainable solutions. • Recipient initiated date, rate, or credit changes or for extensions. • CWSRF initiated amendments on new discovery.		• Clarity on structural title for sustainable water solutions, financial planning, or technical assistance. • Cross-cutting dual responsibilities on the type of water-quality projects being processed within some units.	

• Recommendation	○ If the structure is not that stringent or rigid -

	Enablers (Success)	Barriers (Lack thereof success)

	Supervisors (A)	Non-supervisors (B)	Supervisors (C)	Non-supervisors (D)
Dimensions of internal management processes				
Infrastructural elements	CWSRF has non-standard structural innovations for issue-focused improvements and keeping score on applications' progress and unit-members' achievements and performance.			
7. Cross-boundary workgroups	• Manager or Senior led, and issue focused. • External inquiry-based investigation of trends.	• Unit-members volunteers their time in response to invitations put out across CWSRF.	• Non-routine issues require spontaneous initiatives from section managers and lessons learnt may not be codified for future use.	• Limited information. • Limited time to volunteer given workload. • Inquiry may be limited to a one-way understanding of volunteers' unit-function (as again educating cross-functional understanding).
8. Scorecards	• Loan Grants Tracking System (LGTS) and within unit checklists are used for generating and updating scorecards to track applications' progress. • Information is used to highlight achievements and provide instructive feedback for team members performance.	• Unit- members Input and update LGTS and checklists within their responsibilities.	• Need for greater integration across the multiple trackers.	• Limited unit-member input into the design or upgrades to the scorecard.
9. Examples	• LGTS predictive model for spending. • Extracts from checklists for analysts' performance management.		• Issues discovered mid-way or during later stages of application review are resolved by impromptu meetings including with recipient. • LGTS, checklists and other data sources for scorecards are legacy systems or designed stand-alone within units.	

• Recommendation	○

Enablers (Success)		Barriers (Lack thereof success)	
Supervisors (A)	Non-supervisors (B)	Supervisors (C)	Non-supervisors (D)

Dimensions of internal management processes				
Application processing workflow	CWSRF's workflow for processing of applications across 3-stages for contracts, budget approvals or disbursements including amendments, is a multi-priority serving process that draws fully or partially from an overarching four-part technical, environmental, financial, and legal review. The number of the reviews depends on the nature of the project (planning or construction), the type of recipient (disadvantaged and or small communities) and type of application (new or amendment).			

10. Pre-application processing	• Projects are submitted through Financial Assistance Application Submittal Tool (FAAST).
	• Complete application expectation for 4 packages by 12/31.
	• Exception is for small or disadvantaged communities and planning projects.
	• Projects are matched and assigned to relevant units.
	  ○ These are in turn assigned to Project Managers.
	  ○ Repeat applicants are matched to existing Project Managers.
		• Promoting CWSRF funding options at multiple forums.
		• Technical assistance to enable successful completion of application package.
			• Recipients have different levels of sophistication and awareness of project requirements to successfully complete applications.
			  ○ Also, awareness of eligibility to operate and maintain the project over its life.
				• Difficult to assess readiness of applicants to sustained project execution.
				• Piecemeal receipt of applications results in inefficient application processing.

11. Prioritizing	• Completed projects that make the 12/31 cutoff are scored by Seniors and PMs. • Intended Use Plan (IUP) communicates criteria and scoring for accepted projects. • Score cutoff is matched to funding availability.	• Receive project assignments from unit supervisors. • PM score projects. • Some flexibility to across the board accommodating more applicants by lowering the cutoff score.	• Many more applications than those that make the fundable list. • Opportunity to develop value may be missed out for projects that don't make the funding list.	

	Enablers (Success)	**Barriers (Lack thereof success)**

	Supervisors (A)	Non-supervisors (B)	Supervisors (C)	Non-supervisors (D)
Dimensions of internal management processes				
12. Workflow	• Technical, environment, financial and legal reviews. • Followed by a contract review and execution. • Disbursement follows contract execution and final budget approval. • The workflow has been digitized.	• Project managers steer applications through the reviews. • Supervisors assign and review team-members work products.	• Understanding of processes is limited to own unit work and not uniform across the units involved in the workflow.	• Many lines of approvals to go through. • More team-members in some units slows down the workflow.
13. Reviews	• Team members review packages assigned to them. • Supervisors review team members work products.	• Team members look to their supervisors for quality checking their work products.	• Developing team members' skills for application reviewing. • Consistent quality in processing applications.	• May go through multiple rounds of reviews. • Reviews of multiple projects at one time may slow the process.
14. Handovers	• Digital handovers of project.	• Handovers through physical drop box co-exist with digital drop boxes.	• For non-digital handovers, physical drop box handover from Clean Water to Loans and Grants is across floors.	• Project applications may lie dormant post-handoffs.
15. Quality Checks	• Supervisors review team-members work. • Errors are sent back for QC.	• Team-members check each other's work products for quality.		• Waiting on supervisor's review may be time-drawn.
16. Tracking	• LGTS is used to record, track and report application's progress. • 8 group categorization helps inform when an application has entered into a unit's processing jurisdiction. • Each unit has own homegrown checklists. • Checklists are shared.	• Team-members update checklists and review application's progress.	Differentiated tracking systems within each unit (while these do not slow down processing, the possibility of integration may allow for efficiency gains).	• Multiple and different dates are assigned in different units for processing applications.

	• Critical dates are used to follow-up, track and move the process along.			

	Enablers (Success)		Barriers (Lack thereof success)	
	Supervisors (A)	**Non-supervisors (B)**	**Supervisors (C)**	**Non-supervisors (D)**
Dimensions of internal management processes				
17. Meetings	• Kick-off meetings for processing applications with unit team-members and applicants. • Staging meeting at multiple stages for each application. • Extra-ordinary meetings on **discovery** of potential issues that need to be resolved. • Scheduled unit meetings. • Standing State Water Board quarterly meetings.	• Project managers organize kick-off meetings with applicants. • Participate in informational meetings on CWSRF strategy and operations.	• Involvement earlier in upstream unit meetings.	
18. Technology	• Email dominant communication modality. • Works-in-progress are recorded in SharePoint and Wiki. • Checklists on Excel maintained in most units. • LGTS is the unifying database for decision support system from application, execution, approval, and disbursement.	• Face-to-face and MS Teams used extensively to communicate with own supervisor and other unit team-members. • Team-members develop their own tracking systems using spreadsheets or other tools. • Team-members may share their personal tracking systems, and these have become part of the unit tracking system.		

	• **SWIFT and SWAIC are other external systems (?).**			

	Enablers (Success)		Barriers (Lack thereof success)	
	Supervisors (A)	**Non-supervisors (B)**	**Supervisors (C)**	**Non-supervisors (D)**
Dimensions of internal management processes				
19. Timeliness	• Receiving complete project applications.	• A fully developed project with minimal discovery and mitigation requirements (ideally meeting exempt eligibility status).	• Responsiveness of recipients to CWSRF inquiries is slow. • The low-cost driver for submitting application. • Reviving enduring application processing values. • Delays in one segment of the application processing will slow down the overall process since it will lead to further delays down the line.	• Recipients' administrative infrastructure and their capacity to operate the project may be under-developed. • Choke points in the processing of applications.
20. Examples	• intended use plan workshop webinar and document posted on CWSRF website. (A11)			

• Recommendation	○ Branding, more than just a low-cost option or a source of offering financial assistance. Provide existing and those that did not make the list other funding options. ▪ Also brand as a standard for certification of the projects, technical, environment, credit and part of a AAA rated program. ○ A back to the basics. Moving forward from past basics. ○ Projects on comprehensive list that have high primary score but low secondary or readiness score. Are these being missed out. ○ Setting project applicants expectations.

	○ The highest scored project was for $800K. Maybe if applicants are advised to submit two different applications (break their single application and submit it in multiple parts that will result in the stronger parts being approved. Since these are multi-year projects, they can get separate funding till they successfully replace with CWSRF funding. ▪ Under readiness criteria, can be potential for future within next financial year be included? ▪ Can repeat recipients be given some weightage (under eligibility/ readiness)?

• Recommendation	○ Send project status fyis to stakeholders of the applicants whether DACs or large mega cities. Example, the mayor or city council or tribal members. ○ Create as part of fundable list waitlists to give hope for community members. So, when a recipient is dropped out, can someone on the waitlist substitute for the funding that is available. ○ Create or participate in USEPA recognition and awards programs that give visibility to recipients in the community, that is cobbled with the accountability piece listed in bullet point one. ○ Also show how large projects can revitalize small communities ▪ Find new users and demand for your financial offerings. ○ Create Stewardship Contracts with applicants.
•	○

	Enablers (Success)		**Barriers (Lack thereof success)**	
	Supervisors (A)	**Non-supervisors (B)**	**Supervisors (C)**	**Non-supervisors (D)**
Dimensions of internal management processes				
Decision Making	CWSRF's decision making during processing of applications revolves around matching to assessing fit between application information and criteria. When faced with more than one clear conclusion, then selecting one over other alternative through choice, compromise, or innovation.			
21. Compliance to standards	• Expectations are defined and communicated to team-members and applicants. • Have started publicly showing examples to illustrate compliance decisions.	•	• Serving varied standards across different units slows the process.	

22. Learning and innovation	• Learn and innovate as you go on the job.	• Direct interaction with applicants and team-members from upstream or downstream units.		
23. Resolving differences	• Differences are resolved through going up the chain of command.	• Differences are resolved through supervisor involvement.	• Requires influential leader to identify issue and get all the parties involved to meet.	
21. Examples	• Examples of decisions are publicly shared for transparency and for			

• Recommendation	○ Decoding patterns of repetitive issues that can be used as illustrative examples of timely resolution, delays. ○ Codifying resolutions for resolving similar issues into steps for applicants to follow. ○ Possibly a review of any applications that have not been touched for 15 days?

	Enablers (Success)		**Barriers (Lack thereof success)**	
	Supervisors (A)	**Non-supervisors (B)**	**Supervisors (C)**	**Non-supervisors (D)**
Dimensions of internal management processes				

Human Resource Management	CWSRF's HRM is officially governed by the state's California Department of Human Resources (CalHR). Within CWSRF, supervisors have flexibility in managing staffing, training, performance management and recognizing achievements.

Human Resource Management

- Staffing they do a good job a mix of entry level that grow, lateral shifts and external hires.

o A number of episodic shifts that have brought in talent too. From DW from public health to disbursements more recently. Leveraging the cultural strengths and fitting within the SRF cultural strengths will help improve timeliness.

- Performance management also appears to be well done. With regular reviews as per the CalHR framework and opportunities to rise in both technical and commercial from a non-supervisory to a supervisory level.

o at the same time, opportunities to pursue or be involved in projects of interest or support projects that may not be on the fundable list are missed out which may also provide opportunities for own development.

- Incentives and rewards are less visible to not at all. Units have their own homegrown achievement recognition records. There is scope for introducing change here.
- Training and development opportunities within the CalHR offerings and environmental and financial training is available and is appreciated. There are limited opportunities for sharing learnings and serving as trainers. Some home-grown training offerings exist. There is interest to offer training in own area of expertise and learn from others.

- Training on negotiation to influence win-win resolutions, on collaborating through cross-boundary cross-over partnerships and leadership linked to CWSRF capabilities should be developed.
- Also ethics training for helping navigate conflict of interest situations.

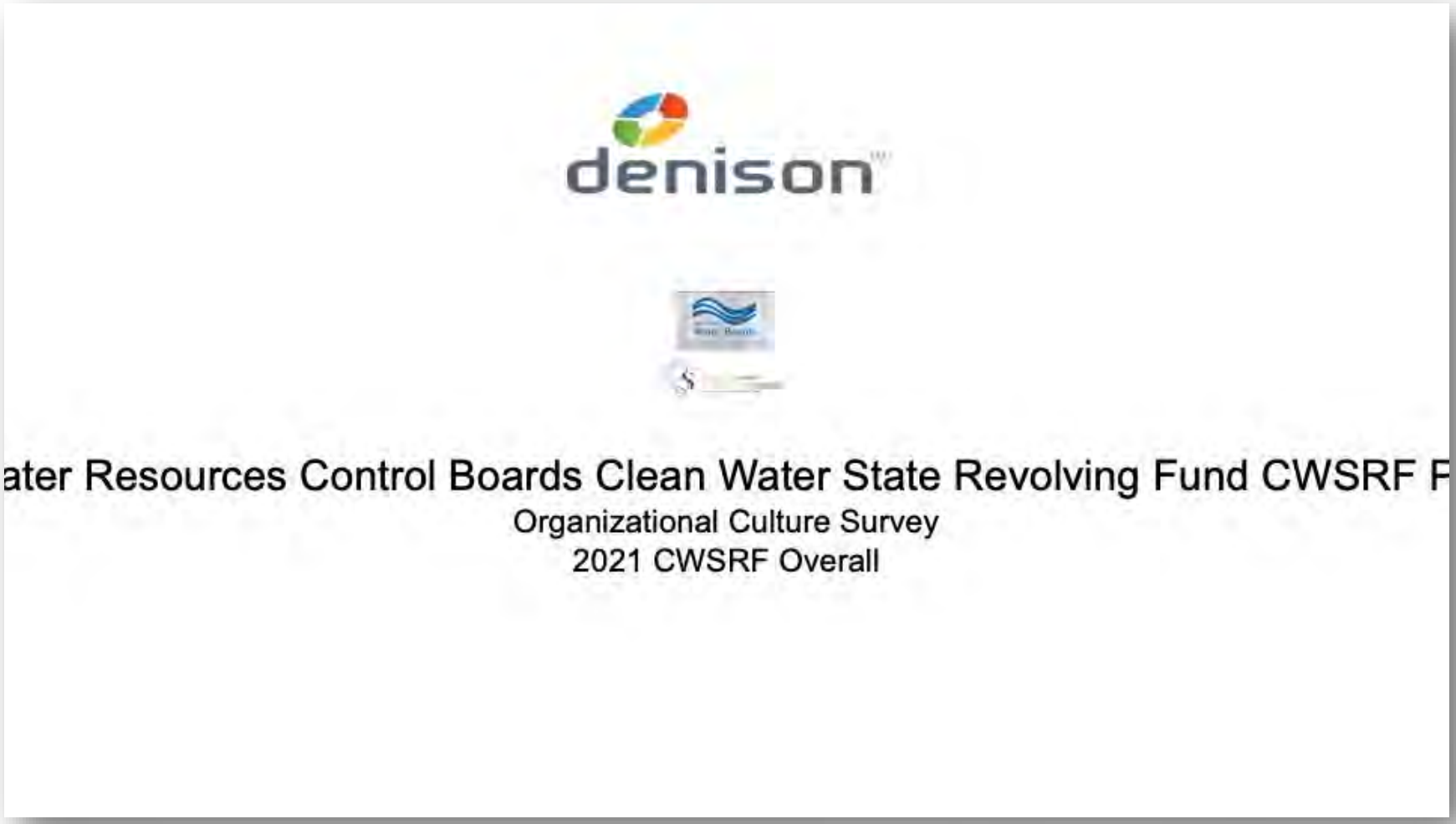
- Workload per project manager and agpa needs to be assessed. Previous staffing levels may be inadequate and newer and higher headcount may be required.
  - 80% to 125% was the range attributed to work taken up by the CWSRF workflow which was attributed to time used on the job.

• Recommendation	○ Institute recognition honorariums for PMs, Analysts, Supervisors, Seniors.

Culture	Denison reports

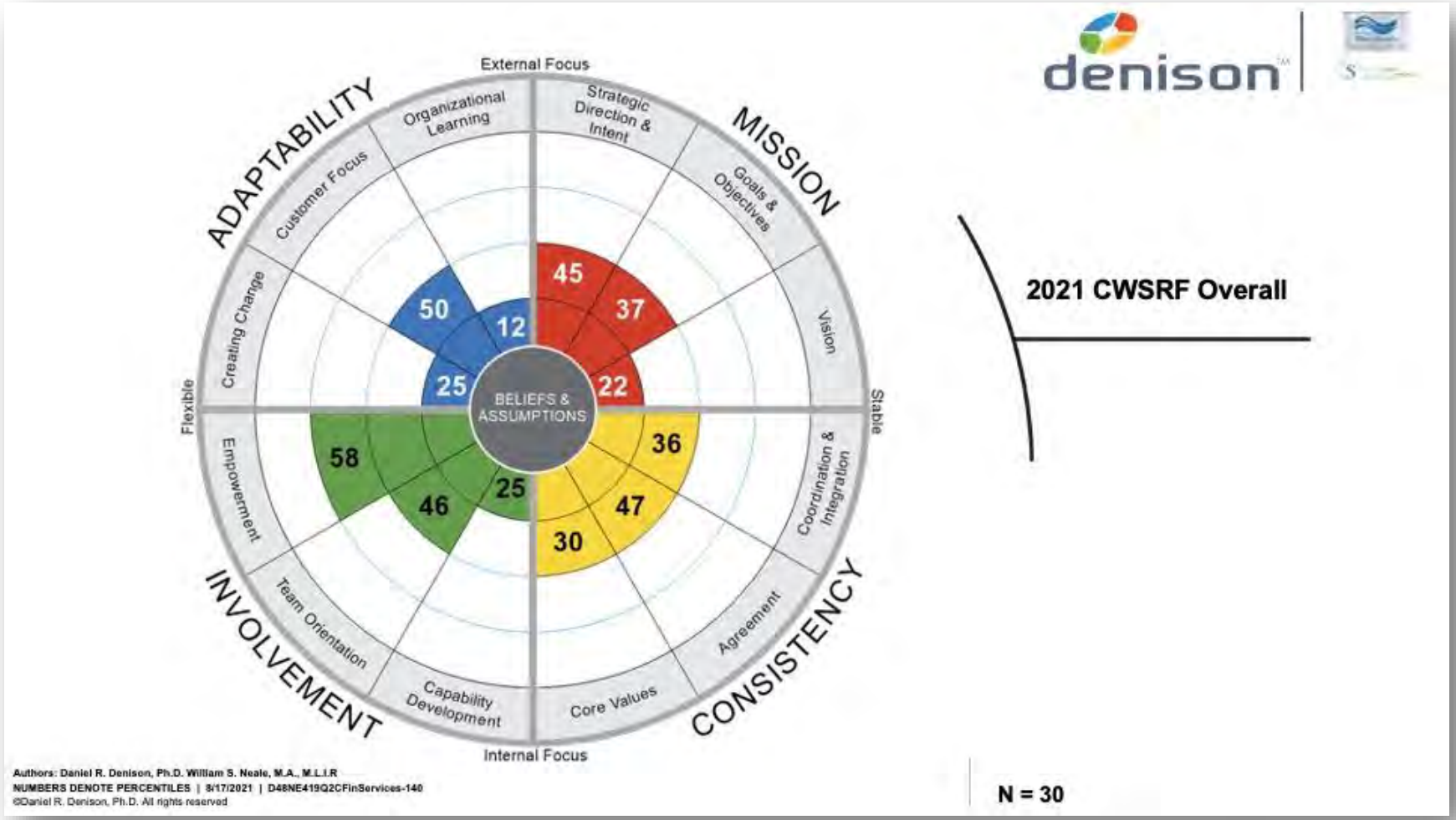
Denison Reports

Annexure 5: Denison Organizational Culture Survey Report



The model


ADAPTABILITY
Patterns, Trends, & Market
"Are we listening to the marketplace?"
Innovation, Sales Growth, Market Share
MISSION
Direction, Purpose, & Blueprint
"Do we know where we are going?"
External Focus
ADAPTABILITY
MISSION
Flexible
Stable
INVOLVEMENT
CONSISTENCY
Internal Focus
Creativity, Customer Satisfaction
Profitability (ROI, ROS, ROE)
INVOLVEMENT
Commitment, Ownership & Responsibility
"Are our people aligned and engaged?"
Quality, Employee Satisfaction
CONSISTENCY
Systems, Structures, & Processes


denison
External Focus
Internal Focus
Flexible
Stable
ADAPTABILITY
MISSION
INVOLVEMENT
CONSISTENCY
Organizational Learning
Strategic Direction & Intent
Customer Focus
Goals & Objectives
Creating Change
Vision
Empowerment
Coordination & Integration
Team Orientation
Agreement
Capability Development
Core Values
BELIEFS & ASSUMPTIONS
45
37
22
36
47
30
25
46
58
50
12
25
2021 CWSRF Overall
N = 30
Authors: Daniel R. Denison, Ph.D. William S. Neale, M.A., M.L.I.R
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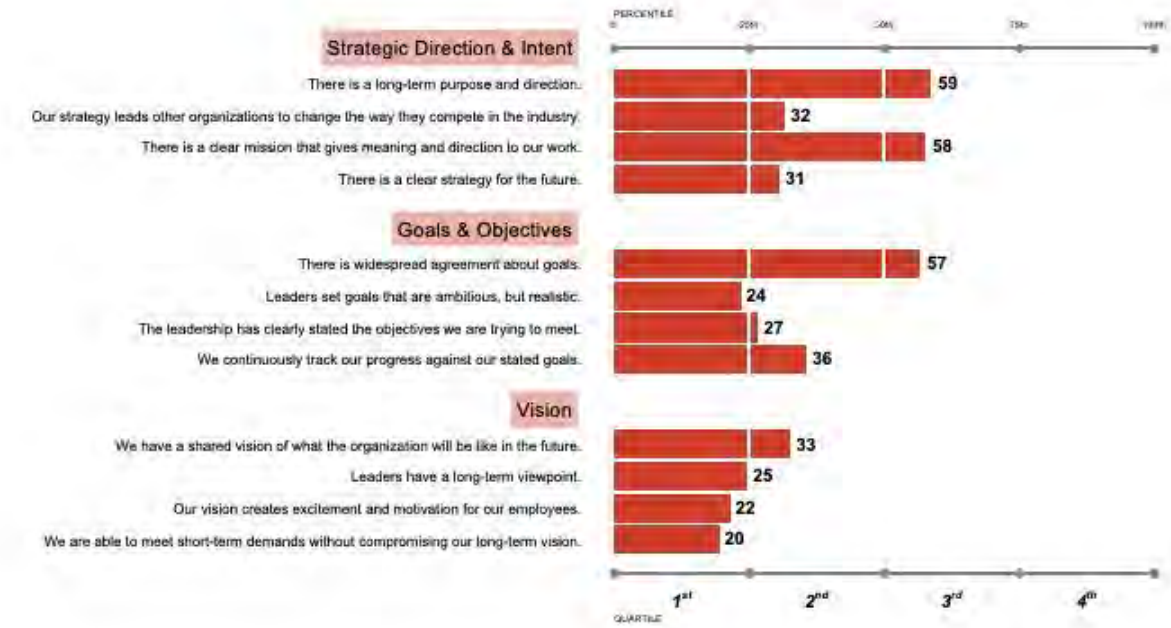
Mission

2021 CWSRF Overall

In this organization...



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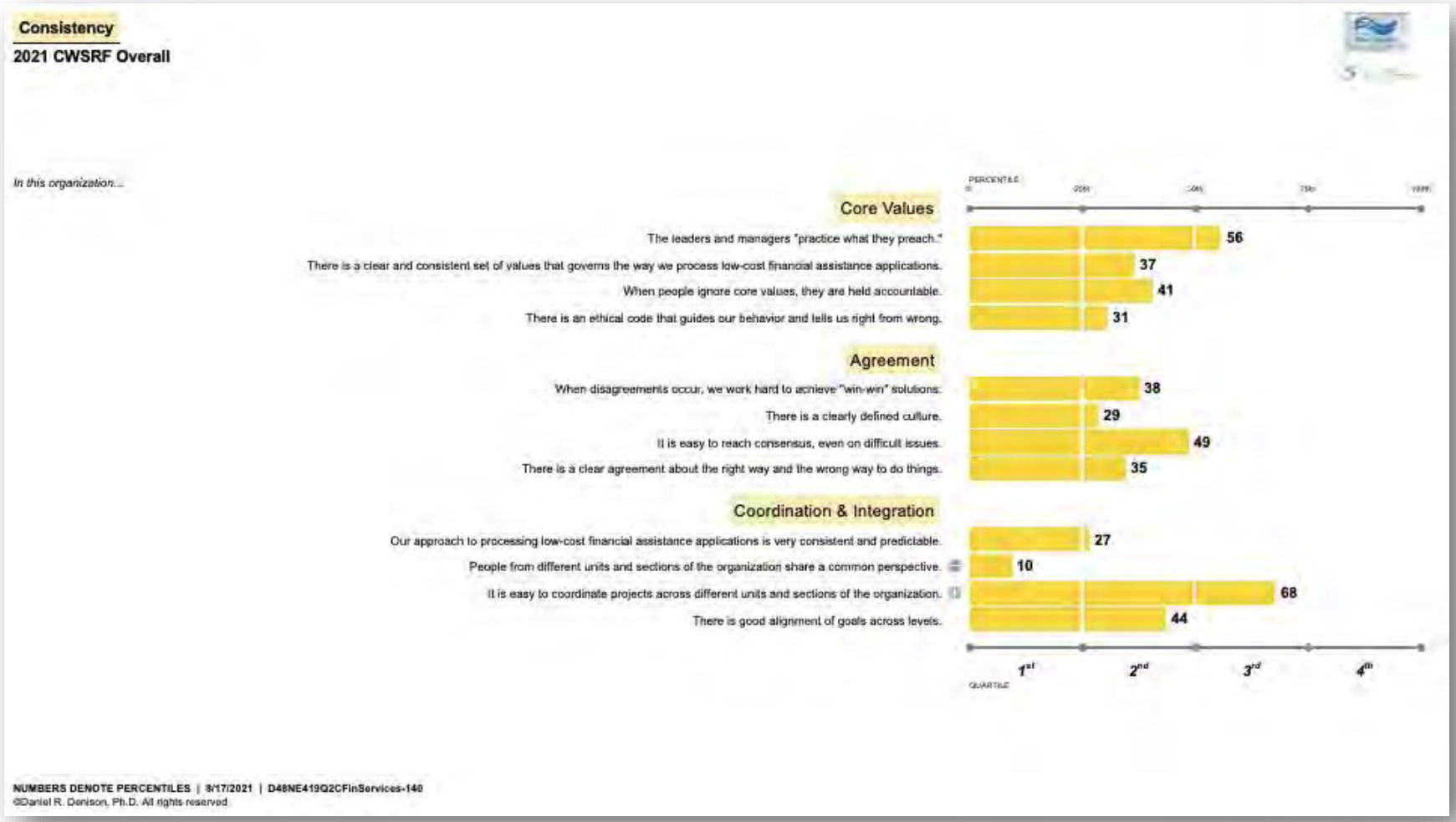
Consistency
2021 CWSRF Overall
In this organization...
PERCENTILE
Core Values
The leaders and managers "practice what they preach."
56
There is a clear and consistent set of values that governs the way we process low-cost financial assistance applications.
37
When people ignore core values, they are held accountable.
41
There is an ethical code that guides our behavior and tells us right from wrong.
31
Agreement
When disagreements occur, we work hard to achieve "win-win" solutions.
38
There is a clearly defined culture.
29
It is easy to reach consensus, even on difficult issues.
49
There is a clear agreement about the right way and the wrong way to do things.
35
Coordination & Integration
Our approach to processing low-cost financial assistance applications is very consistent and predictable.
27
People from different units and sections of the organization share a common perspective.
10
It is easy to coordinate projects across different units and sections of the organization.
68
There is good alignment of goals across levels.
44
1st
2nd
3rd
4th
QUARTILE
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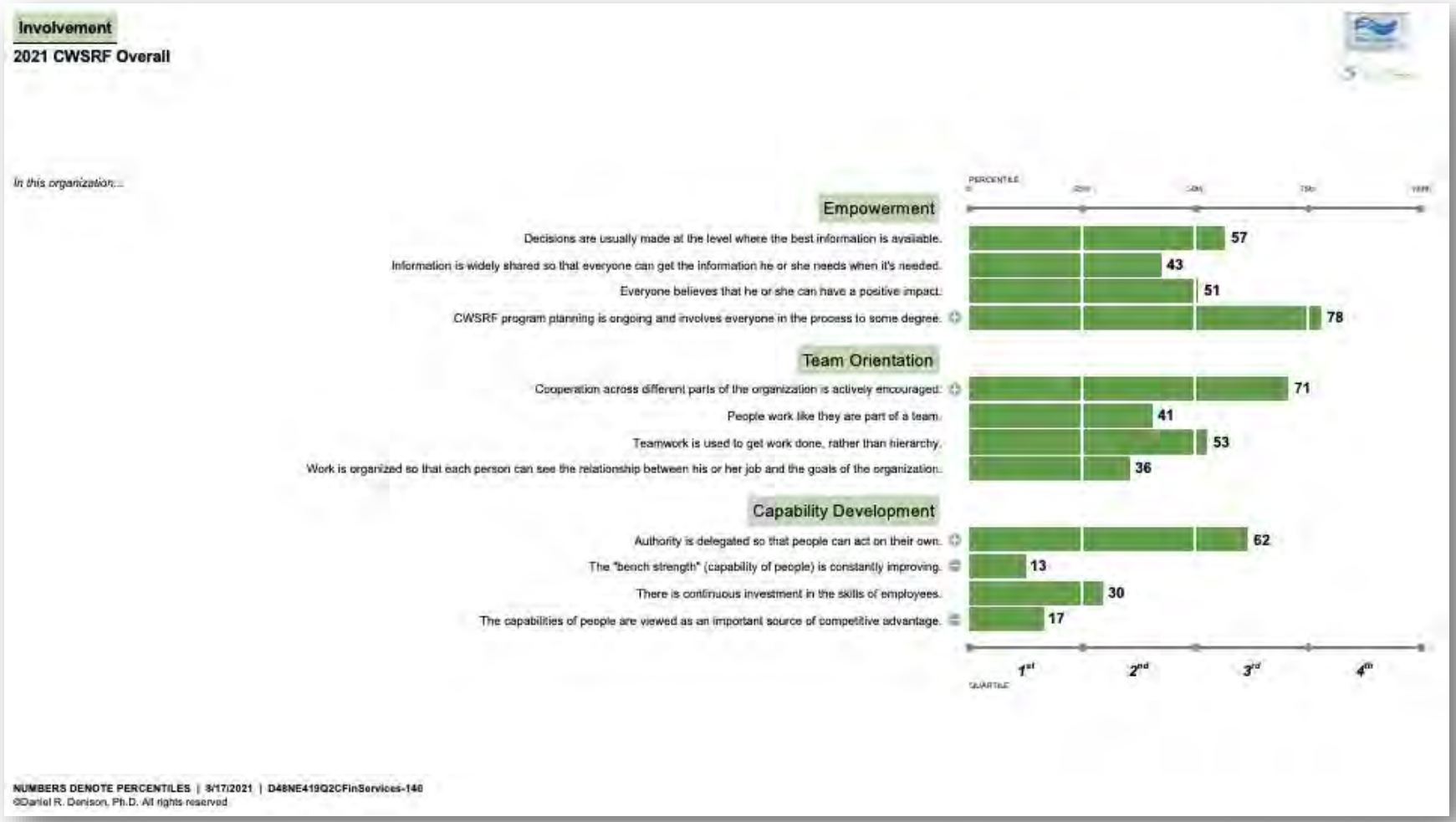
Involvement
2021 CWSRF Overall
In this organization...
PERCENTILE
Empowerment
Decisions are usually made at the level where the best information is available.
57
Information is widely shared so that everyone can get the information he or she needs when it's needed.
43
Everyone believes that he or she can have a positive impact.
51
CWSRF program planning is ongoing and involves everyone in the process to some degree.
78
Team Orientation
Cooperation across different parts of the organization is actively encouraged.
71
People work like they are part of a team.
41
Teamwork is used to get work done, rather than hierarchy.
53
Work is organized so that each person can see the relationship between his or her job and the goals of the organization.
36
Capability Development
Authority is delegated so that people can act on their own.
62
The "bench strength" (capability of people) is constantly improving.
13
There is continuous investment in the skills of employees.
30
The capabilities of people are viewed as an important source of competitive advantage.
17
1st
2nd
3rd
4th
QUARTILE
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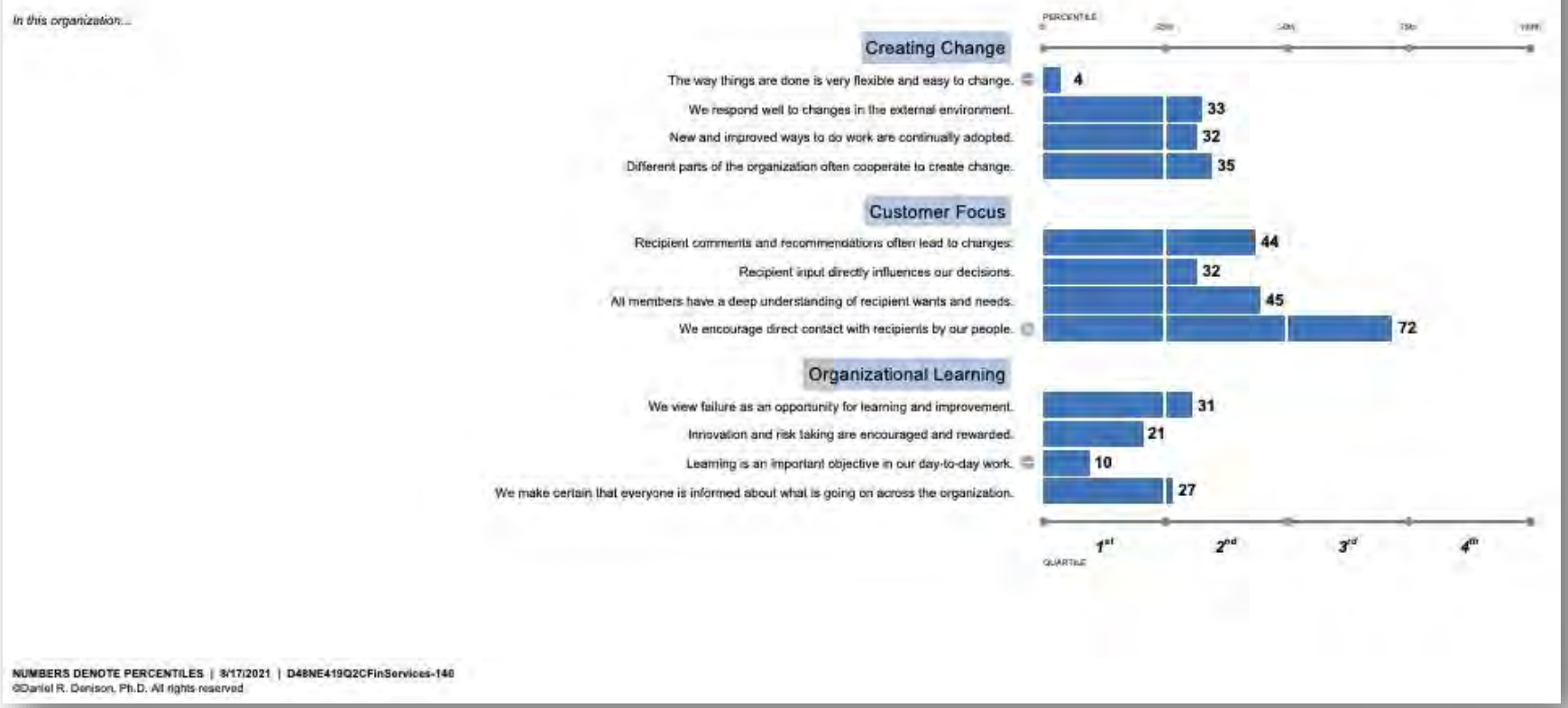
Adaptability

2021 CWSRF Overall



NUMBERS DENOTE PERCENTILES | 8/17/2021 | D48NE419Q2CFinServices-140

Highest & Lowest Scores
2021 CWSRF Overall

In this organization...

HIGHEST SCORES

78	CWSRF program planning is ongoing and involves everyone in the process to some degree.
72	We encourage direct contact with recipients by our people.
71	Cooperation across different parts of the organization is actively encouraged.
68	It is easy to coordinate projects across different units and sections of the organization.
62	Authority is delegated so that people can act on their own.

LOWEST SCORES

4	The way things are done is very flexible and easy to change.
10	People from different units and sections of the organization share a common perspective.
10	Learning is an important objective in our day-to-day work.
13	The "bench strength" (capability of people) is constantly improving.
17	The capabilities of people are viewed as an important source of competitive advantage.

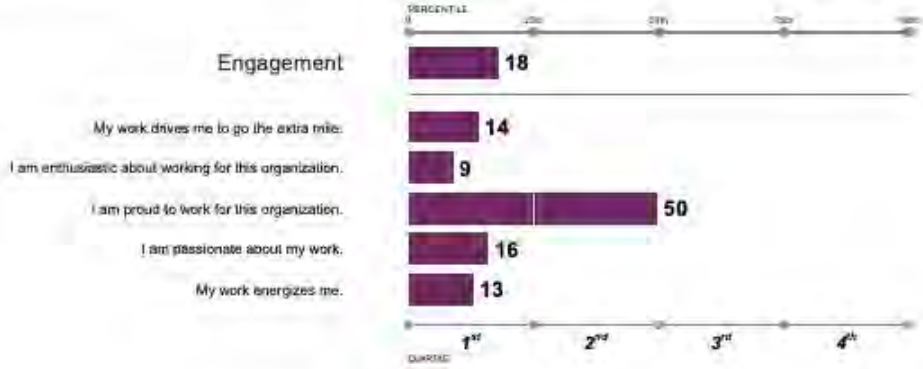
NUMBERS DENOTE PERCENTILES | 8/17/2021 | D48NE419Q2CFinServices-140

Engagement

2021 CWSRF Overall

Employee Engagement is an enhanced positive attitude that someone feels toward their work. Engaged employees put forth extra effort and are enthusiastic, energized, and passionate. Employee engagement results can help leaders and managers understand their employees' attitudes towards their job and organization.

In this organization...



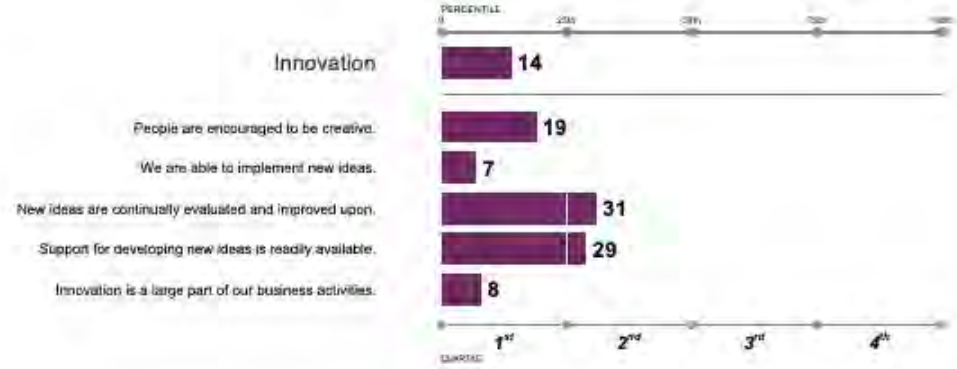
NUMBERS DENOTE PERCENTILES | 8/17/2021 | MEN519Q3G-121

Innovation

2021 CWSRF Overall

Organizational Innovation involves two primary processes: the generation of creative ideas and the successful implementation of those ideas. Innovation is important for every organization as it can yield positive business outcomes.

In this organization...



NUMBERS DENOTE PERCENTILES | 8/17/2021 | MIN519Q3G-124

The CA CWSRF:

Review of the Loan Award and Disbursement Processes

Appendix C

DFA Data on Application Submittals and Agreement Execution Processing Times

All Programs - Application Efficiency Report

for those contracts executed between 7/1/2015 and 1/26/2021

Summary:

	Complete Application Received				Partial Application Received			
	# of Projects	Average # Days Between Last Package Rec'd and Initial Execution Date	Minimum # Days between Last Package Rec'd and Initial Execution Date	Maximum # Days between Last Package Rec'd and Initial Execution Date	Performance % # of Complete Const. Apps <=270 days/ # of Const. Apps	# of Projects	Average # Days Between First Package Rec'd and Initial Execution Date	Minimum # Days between First Package Rec'd and Initial Execution Date	Maximum # Days between First Package Rec'd and Initial Execution Date
Planning Projects									
	314	323	(211)	2,242	61.9%	314	485	42	2,309
Construction Projects									
	385	465	50	1,935	33.9%	385	749	80	3,019

Project Number	Contract Number	Party	Project Name	PM	General Package Rec'd	Technical Package Rec'd	Financial Package Rec'd	Environmental Package Rec'd	Agreement Execution Date	Difference (days) for Complete Applications	Difference (days) for Partial Applications
Planning Projects (347 Projects)											
Projects with Complete Data											
4600012-006P	D1502031	Alleghany County Water	Planning and Engineering Analysis	GCha	4/6/2015	7/30/2015	6/25/2015	6/24/2015	12/17/2015	140	255
8476-110	D1901018	Allensworth Community	Allensworth Wastewater Collection,	PUpp	10/2/2018	10/9/2019	8/21/2019		2/10/2020	124	496
8292-110	D1704002	Alturas, City of	City of Alturas Wastewater Facility	LSan	2/27/2017	2/27/2017	2/3/2017		12/6/2017	282	306
2000597-001P	D1902004	Alview-Dairyland Union	Dairyland Elementary School New	LSan	3/6/2018	3/6/2018	2/23/2018	9/28/2017	8/28/2019	540	699
8213-110	D1604024	Amador Regional	Upper ARSA Sewer Improvement	JQui	2/15/2016	5/24/2016	6/30/2016		1/9/2017	193	329
8037-110	D1504004	Amador Water Agency	Lake Camanche Village Wastewater	CVue	11/24/2014	11/24/2014	3/5/2015		9/24/2015	203	304
8232-110	D1604019	American Valley	Collection System Management and	PUpp	4/8/2016	4/15/2016	4/15/2016		12/2/2016	231	238
0023001-001P	D1602037	Anderson Valley	Boonville Drinking Water Project	FFua	3/18/2016	8/4/2016	8/4/2016	8/4/2016	12/22/2016	140	279
8117-110	D1604012	Anderson Valley	Boonville Wastewater System	FFua	6/4/2015	6/8/2016	2/12/2016		9/28/2016	112	482
5200506-001P2	D1502046	Antelope Elementary	Plum Valley School SRF Planning	PSta	1/27/2016	9/23/2014	1/27/2016	9/23/2014	11/18/2016	296	787
0710001-001P	D1602050	Antioch, City of	Brackish Water Desalination Project	TGui	3/1/2016	5/4/2016	8/3/2016	4/22/2016	2/13/2017	194	349
3600009-001P	D1702032	Apple Valley Heights	Storage Tanks & Transmission	KWar	12/3/2015	7/1/2016	4/13/2017	5/19/2016	12/18/2017	249	746
8272-110	D1804001	Arcata, City of	City of Arcata Wastewater	KWar	9/10/2017	9/10/2017	11/28/2017		7/23/2019	602	681
1510001-004P	D1702012	Arvin Community	Arsenic Mitigation - Phase II Test	JGre	1/13/2017	1/31/2017	4/20/2017	1/25/2017	8/16/2017	118	215
1610002-002P	D1602003	Avenal, City of	Water Transmission Line	PSta	3/10/2016	8/3/2016	4/20/2016	2/8/2016	10/21/2016	79	256
8344-110	D1704006	Avenal, City of	Sewer Collection and WWTP	GBer	4/13/2017	4/24/2017	6/28/2017		1/3/2018	189	265
2400167-001P	D1802007	Ballico Community	Secondary Well Construction	KWar	7/19/2017	7/19/2017	7/19/2017	1/27/2017	6/7/2019	688	861
3600025-001P	D1702040	Bar-Len Mutual Water	Water Quality (arsenic) and	BPau	5/1/2016	4/15/2016	1/6/2017	4/15/2016	6/11/2018	521	787
1910108-008P	D1702027	Bell Gardens, City of	Bell Gardens Well No. 1	LSan	9/22/2016	2/9/2017	4/24/2017	9/22/2016	3/20/2018	330	544
4901111-001P	D1502019	Bellevue Union School	Kawana Elementary School	LOre	10/1/2014	10/1/2014	10/1/2014	10/1/2014	12/1/2015	426	426
8411-110	D1801014	Big Sandy Rancheria of	Big Sandy Rancheria Wastewater	GBha	9/10/2018	9/10/2018	8/28/2018		8/22/2019	346	359
3610009-002P	D1702022	Bighorn-Desert View	CSA 70, W-1 Consolidation and	LSan	9/6/2016	9/16/2016	2/15/2017	12/15/2016	10/17/2017	244	406

All Programs - Application Efficiency Report

for those contracts executed between 7/1/2015 and 1/26/2021

Project Number	Contract Number	Party	Project Name	PM	General Package Rec'd	Technical Package Rec'd	Financial Package Rec'd	Environmental Package Rec'd	Agreement Execution Date	Difference (days) for Complete Applications	Difference (days) for Partial Applications
1010049-008P	D1502043	Biola Community	Biola CSD Water Distribution	MRei	9/30/2015	1/12/2016	1/19/2016	2/12/2016	8/2/2016	172	307
8155-110	D1604001	Biola Community	Tertiary WWTP - Feasibility Study	GBer	10/1/2015	10/1/2015	1/13/2016		8/9/2016	209	313
4510003-001P	D1902003	Burney Water District	Burney Water District Well 9	MNga	9/25/2017	1/5/2018	10/12/2017	9/26/2017	9/6/2019	609	711
8108-110	D1504005	Burney Water District	Burney Wastewater Collection and	MSid	4/17/2015	6/26/2015	6/25/2015		1/6/2016	194	264
8376-110	D1704021	Butte, County of	Stirling City Sewer Rehabilitation	MCha	10/6/2017	2/22/2018	2/22/2018		5/30/2018	97	236
3310047-001P	D1902034	Cabazon Water District	Drinking Water Improvements	PSta	1/19/2017	11/20/2017	6/27/2017	10/27/2017	6/24/2020	947	1,252
8378-110	D1704012	Calaveras Unified School	Wastewater Plant Upgrades (JLE	CVue	8/11/2017	8/11/2017	9/14/2017		2/6/2018	145	179
4700503-004P	D1602059	Callahan Water District	Water Treatment Plant	RMit	5/6/2015	9/22/2016	8/22/2016	11/2/2015	3/21/2017	180	685
1010039-003P	D1602040	Caruthers Community	New Well No. 7	JHol	1/27/2016	8/3/2016	5/9/2016	5/9/2016	1/5/2017	155	344
3600070-003P	D1602006	Center Water Company	Center Water Company Wells,	BPau	9/30/2014	9/30/2014	11/19/2015	12/3/2015	12/2/2016	365	794
8285-110	D1701005	Central Marin Sanitation	Renewable Eneryg Expansion	EBro	9/15/2016	10/11/2016	3/10/2017		9/25/2017	199	375
2000612-001P3	D1602034	Chawanakee Unified	North Fork Water Project	PSta	5/5/2016	5/5/2016	5/5/2016	5/5/2016	1/18/2017	258	258
8400-110	D1804005	Chester Public Utility	Chester Public Utility District 2017	GBha	9/7/2017	9/10/2018	5/1/2018		6/26/2019	289	657
8270-110	D1704017	Chowchilla, City of	Chowchilla Regional Sewer System	CVue	6/20/2016	9/14/2017	1/19/2017		6/11/2018	270	721
8131-110	D1504010	Clearlake Oaks County	Wastewater Treatment Plant Study	KWar	7/1/2015	9/17/2015	10/13/2015		2/10/2016	120	224
3310001-008P	D1702044	Coachella Valley Water	East Coachella Valley Water Supply	KWar	1/19/2017	5/17/2017	5/17/2017	5/17/2017	1/2/2018	230	348
3310007-001P	D1602081	Coachella, City of	Hexavalent Chromium Treatment	MPan	8/15/2016	12/16/2016	1/10/2017	10/3/2016	6/15/2017	156	304
1710012-001P	D1802009	Cobb Area County Water	Multi-System Consolidation Project	ASto	8/29/2017	10/6/2017	10/6/2017	10/17/2017	6/21/2019	612	661
1710012-002P	D1702064	Cobb Area County Water	Summit Area Improvements	ASto	1/3/2017	9/11/2017	9/12/2017	9/12/2017	3/13/2018	182	434
8479-110	D1904000	Colfax, City of	Sewer Collection System and	LAna	11/28/2018	11/28/2018	11/28/2018		10/28/2019	334	334
0600008-001P	D1702019	Colusa County	Arsenic Exceedance Feasibility	MMag	7/5/2016	6/29/2016	1/17/2017	8/15/2016	12/15/2017	332	534
0600011-002P	D1502015	Colusa, City of	Walnut Ranch Consolidation	PSta	6/19/2013	7/14/2015	3/12/2015	2/3/2014	11/13/2015	122	877
0610002-001P	D1502002	Colusa, City of	Water Well Consolidation Project	MRei	4/18/2014	3/17/2015	4/21/2015	5/11/2015	8/4/2015	85	473
5000005-001P	D1702010	Crows Landing	Well 5 Remediation Project	MNga	3/31/2016	3/21/2017	9/29/2016	4/8/2016	11/7/2017	231	586
5500152-005P	D1602013	Curtis Creek Elementary	Consolidation with TUD	JGre	4/30/2015	4/30/2015	3/8/2016	4/30/2015	10/4/2016	210	523
8284-110	D1701026	Delta Diablo	East County Bioenergy Phase 2 -	CCol	9/23/2016	9/23/2016	9/23/2016		1/25/2018	489	489
3610117-001P	D1902017	Devore WC	Water System Improvements for	JRue	4/30/2018	8/2/2018	1/25/2019	8/2/2018	6/8/2020	500	770
3100034-003P	D1502008	Donner Summit Public	Big Bend Water Supply Study	MRei	1/3/2013	9/27/2013	2/25/2015	9/27/2013	4/28/2016	428	1,211
3100034-003P	D1502008	Donner Summit Public	Big Bend Water Supply Study	MRei	1/3/2013	9/27/2013	2/25/2015	9/27/2013	5/1/2019	1,526	2,309
8389-110	D1804003	Dorris, City of	City of Dorris Wastewater	CVue	10/5/2017	11/6/2017	8/14/2018		4/15/2019	244	557
2410002-003P	D1602004	Dos Palos, City of	Water Treatment Plant Replacement	FRam	7/15/2014	10/23/2015	10/21/2015	10/19/2015	9/9/2016	322	787
4710002-002P	D1702011	Dunsmuir, City of	Water Main Replacement Project	HBag	7/28/2016	2/10/2017	2/10/2017	1/30/2017	10/17/2017	249	446
8245-110	D1604015	Dunsmuir, City of	Collection System Improvement	GBha	5/12/2016	5/12/2016	5/31/2016		1/27/2017	241	260
8246-110	D1604016	Dunsmuir, City of	WWTP Improvement Project	GBha	5/18/2016	5/18/2016	5/26/2016		1/27/2017	246	254
8529-110	D2001015	Eastern Municipal Water	Quail Valley Sub-Area 4 Septic to	MSid	7/30/2019	5/4/2020	5/4/2020		1/7/2021	248	527
3310012-017P	D1502025	Elsinore Valley Municipal	WITHDRAWN - Back Basin	MPan	6/23/2014	6/23/2014	6/23/2014	6/23/2014	12/17/2015	542	542

All Programs - Application Efficiency Report

for those contracts executed between 7/1/2015 and 1/26/2021

Project Number	Contract Number	Party	Project Name	PM	General Package Rec'd	Technical Package Rec'd	Financial Package Rec'd	Environmental Package Rec'd	Agreement Execution Date	Difference (days) for Complete Applications	Difference (days) for Partial Applications
8234-110	D1701018	Elsinore Valley Municipal	Regional Water Reclamation	MCal	5/4/2016	5/4/2016	5/4/2016		1/11/2018	617	617
8234-120	D1701019	Elsinore Valley Municipal	Regional Water Reclamation	MCal	5/4/2016	5/4/2016	5/4/2016		1/11/2018	617	617
3910003-001P	D1602068	Escalon, City of	Well No. 1 Improvement Project	JRue	9/30/2016	1/25/2017	11/28/2016	9/30/2016	6/15/2017	141	258
4510008-001P	D1602039	Fall River Valley	Fall River CSD Well No. 1 Retrofit,	MRei	9/21/2016	9/26/2016	9/21/2016	7/29/2016	3/29/2017	184	243
8171-110	D1604026	Fall River Valley	Expansion of FRVCSD Wastewater	CVue	10/28/2015	8/10/2016	9/19/2016		1/4/2017	107	434
3200078-001P	D1602036	Feather River Canyon	FRCCSD-Old Mill Ranch	JSal	7/28/2015	6/9/2016	8/11/2016	3/16/2016	12/15/2016	126	506
8347-110	D1704009	Ferndale, City of	City of Ferndale Energy Savings	CVue	8/17/2017	8/10/2017	8/10/2017		3/23/2018	218	225
1000054-002P2	D1502028	Firebaugh, City of	Las Deltas Distribution System	JGre	6/8/2015	6/8/2015	6/8/2015	6/8/2015	12/1/2015	176	176
2900502-002P2	D1602064	Floriston Property Owners	Floriston Spring Filtration Project	MNga	9/23/2016	9/23/2016	9/23/2016	9/23/2016	3/2/2017	160	160
8192-110	D1604006	Fort Jones, Town of	Fort Jones Wastewater System	GBha	9/20/2015	6/14/2016	5/23/2016		11/30/2016	169	437
8178-110	D1604018	Fortuna, City of	WWTP Treatment and Disposal	GBer	11/16/2015	3/23/2016	6/18/2016		2/6/2017	233	448
8304-110	D1604030	Franklin County Water	Improvements for Sewer Collection	DRio	3/1/2017	3/1/2017	2/17/2017		8/2/2017	154	166
1510007-001P	D1802015	Frazier Park Public Utility	Frazier Park/Lake of the Woods	LSan	4/5/2017	12/9/2016	7/18/2017	3/15/2017	8/1/2019	744	965
1000359-005P	D1602001	Fresno, County of	Westside Groundwater Project	PSta	5/26/2016	5/26/2016	5/26/2016	5/26/2016	8/9/2016	75	75
1000546-001P	D1502029	Fresno, County of	Fresno County Service Area #49-	JGre	7/8/2015	8/21/2014	7/8/2015	8/21/2014	6/4/2016	332	653
2710007-001P	D1902020	Gonzales, City of	Water Extension to Alpine Court	GCha	10/3/2018	10/30/2018	7/1/2019	11/19/2018	8/6/2020	402	673
8385-110	D1904005	Gonzales, City of	Sewer Extension to Alpine Court	GCha	10/26/2018	5/2/2019	7/1/2019		8/28/2020	424	672
3600297-005P	D1502004	Gordon Acres Water	Insufficient Delivery, Water	BPau	4/18/2014	4/18/2014	4/18/2014	4/18/2014	9/24/2015	524	524
8335-110	D1901021	Graton Community	Graton CSD Sewer Repair and	JQui	4/5/2017	11/7/2018	5/3/2018		3/30/2020	509	1,090
8310-110	D1704007	Grayson Community	Grayson Community Services	KWar	3/14/2017	3/14/2017	11/18/2016		12/11/2017	272	388
8520-110	D1901024	Gridley, City of	Feather River Sewer Crossing	MCha	7/21/2019	8/5/2019	7/21/2019		4/21/2020	260	275
3200104-006P	D1602049	Grizzly Lake Community	Intertie with Portola and Well	RMit	8/2/2016	8/4/2016	9/1/2016	8/19/2016	4/20/2017	231	261
8009-110	D1704004	Grizzly Lake Community	Delleker Wastewater Treatment	GBer	12/13/2013	3/30/2017	4/4/2017		3/8/2018	338	1,546
5510009-002P	D1602022	Groveland Community	Water Distribution System	FFua	4/4/2015	4/15/2016	2/5/2016	1/29/2016	10/10/2016	178	555
8109-110	D1504006	Groveland Community	Downtown Groveland and Big Oak	FFua	6/11/2015	6/11/2015	6/11/2015		12/17/2015	189	189
8466-110	D1904006	Gualala CSD	Wastewater Planning Project	ERey	3/7/2019	3/18/2019	3/7/2019		1/28/2020	316	327
8179-110	D1704011	Gustine, City of	WWTF Improvement Planning	GBer	11/17/2015	12/22/2015	5/23/2017		2/23/2018	276	829
3600123-001P	D1702054	Hi-Desert Mutual Water	Infrastructure Improvements	BPau	1/13/2017	4/26/2017	5/5/2017	5/20/2017	5/11/2018	356	483
8309-110	D1904001	Hoopa Valley Public	Agency Sewage Treatment System	GBha	4/25/2017	8/10/2018	10/19/2017		10/1/2019	417	889
8052-110	D1504003	Housing Authority of the	Thornton Wastewater Treatment	LAna	8/29/2014	6/11/2015	9/11/2014		9/24/2015	105	391
8312-110	D1604034	Humboldt, County of	Samoa Peninsula Wastewater	MCha	3/24/2017	3/24/2017	3/21/2017		7/12/2017	110	113
1910049-001P	D1802004	Huntington Park, City of	Miles Avenue Water Quality	PUpp	6/2/2015	10/16/2017	10/2/2017	9/21/2016	2/21/2019	493	1,360
8093-110	D1504001	Huron, City of	Recycled Water Improvements at	FFua	6/6/2015	6/6/2015	6/17/2015		8/14/2015	58	69
3200510-002P	D1902016	Indian Valley Community	Crescent Mills Filters, PLC, &	FRam	7/24/2018	10/29/2018	8/22/2018	3/17/2016	1/15/2020	443	1,399
3210001-005P	D1702041	Indian Valley Community	Greenville Replacement of Aged	FRam	8/10/2017	7/18/2017	7/31/2017	3/23/2016	2/13/2018	187	692
8173-110	D1701013	Inland Empire Utilities	RP-1 & RP-5 Expansion	EBro	11/25/2015	11/4/2015	11/18/2015		12/19/2017	755	776

All Programs - Application Efficiency Report

for those contracts executed between 7/1/2015 and 1/26/2021

Project Number	Contract Number	Party	Project Name	PM	General Package Rec'd	Technical Package Rec'd	Financial Package Rec'd	Environmental Package Rec'd	Agreement Execution Date	Difference (days) for Complete Applications	Difference (days) for Partial Applications
7886-110	D1804004	Isleton, City of	Wastewater Treatment System	GBha	10/17/2018	10/17/2018	9/28/2018		4/4/2019	169	188
4900799-001P	D1702028	Janice Patterson and	El Portal Consolidation Planning	MNga	7/28/2016	9/8/2016	9/8/2016	9/8/2016	3/29/2018	567	609
3610025-001P	D1602011	Joshua Basin Water	Chromium VI Remediation Project	LOre	1/28/2016	5/31/2016	1/28/2016	1/28/2016	1/18/2017	232	356
8424-110	D1804007	Kerman, City of	Sewer Collection System and	CVue	7/30/2018	7/30/2018	7/30/2018		8/2/2019	368	368
1000316-001P	D1702029	Kings Canyon Unified	DBCP MCL Compliance	JGre	11/4/2016	11/4/2016	3/16/2017	10/31/2016	7/17/2018	488	624
8138-110	D1604011	Klamath Community	Klamath CSD Wastewater System	GBer	8/16/2015	2/6/2016	4/20/2016		11/8/2016	202	450
5710004-002P	D1702071	Knights Landing	Water System Evaluation and Well	DRio	10/19/2017	10/19/2017	5/10/2017	6/6/2017	5/31/2018	224	386
1710006-005P	D1502034	Konocti County Water	Konocti County Water District Raw	LOre	4/24/2015	7/24/2015	12/11/2015	4/24/2015	3/15/2016	95	326
1500475-002P	D1602051	Krista Mutual Water	Krista Fluoride Contamination	LSan	2/12/2016	2/12/2016	8/8/2016	8/22/2012	5/9/2017	274	1,721
8198-110	D1604013	Lake County Sanitation	Middletown Wastewater Treatment	FFua	2/4/2016	3/3/2016	4/1/2016		10/12/2016	194	251
8210-110	D1604005	Lake County Sanitation	Anderson Springs Septic to Sewer	FFua	2/5/2016	2/5/2016	3/14/2016		8/25/2016	164	202
4710013-001P	D1902019	Lake Shastina Community	Lake Shastina Drinking Water	MMag	10/20/2016	7/11/2017	5/5/2017	4/26/2017	8/17/2020	1,133	1,397
8303-110	D1604028	Lake Shastina Community	Lake Shastina Wastewater System	MCha	10/24/2016	2/14/2017	11/29/2016		6/8/2017	114	227
8278-110	D1604032	Laton Community	Laton Community Services District	ERey	7/28/2016	7/28/2016	9/12/2016		7/12/2017	303	349
2000534-001P	D1602074	Leisure Acres Mutual	Arsenic MCL Compliance Planning	JGre	8/12/2016	8/12/2016	10/1/2016	8/12/2016	8/28/2017	331	381
5400616-001P	D1702017	Lemon Cove Sanitary	New Well and Storage Tank	JHol	4/7/2016	7/11/2016	8/11/2016	3/8/2016	7/20/2017	343	499
5301003-001P	D1502036	Lewiston Community	SWTR Compliance and Storage	PSta	7/7/2015	11/3/2015	11/3/2015	12/21/2015	6/24/2016	186	353
5410006-007P	D1602078	Lindsay, City of	Well 14 DBCP Mitigation and New	PSta	5/13/2013	1/24/2017	2/16/2017	5/13/2013	7/31/2017	165	1,540
0910007-002P	D1702005	Lukins Brothers Water	Granular Activated Carbon (GAC)	OGue	9/26/2016	1/18/2017	7/28/2016	12/22/2016	7/26/2017	189	363
2000544-001P2	D1602033	Madera, County of	MD #1- New Surface Water	TGui	7/13/2016	7/13/2016	7/13/2016	7/13/2016	12/29/2016	169	169
2000544-002P	D1702007	Madera, County of	MD #1- Distribution System	TGui	8/1/2016	8/1/2016	8/1/2016	8/1/2016	7/26/2017	359	359
2000561-002P2	D1502053	Madera, County of	MD8A North Fork - Arsenic	PSta	5/4/2016	5/4/2016	5/4/2016	5/4/2016	9/9/2016	128	128
2010004-002P	D1602063	Madera, County of	MD19AB Parkwood -	PSta	12/31/2014	7/8/2016	11/8/2016	5/19/2016	7/10/2017	244	922
2010008-004P	D1802021	Madera, County of	MD #10A- Ranchos Pipe	TGui	8/22/2017	1/25/2018	3/19/2018	8/31/2017	7/26/2019	494	703
2000552-001P	D1602073	Madera, County of	MD #24- Teaford Meadow Lakes	TGui	7/28/2016	7/28/2016	7/28/2016	7/28/2016	4/27/2017	273	273
2000293-002P	D1702006	Madera, County of	MD #46- Ahwahnee Well	TGui	7/28/2016	7/28/2016	7/28/2016	7/28/2016	8/2/2017	370	370
1210017-001P	D1602028	Manila Community	Infrastructure Improvement Project-	MRei	4/5/2016	6/8/2016	4/5/2016	5/31/2016	11/8/2016	153	217
8404-110	D1704016	Manila Community	Manila CSD Wastewater	GBha	1/4/2018	1/4/2018	1/3/2018		4/6/2018	92	93
8206-110	D1604009	Maricopa, City of	Sewer Collection and WWTP	JQui	1/29/2016	3/11/2016	3/11/2016		9/9/2016	182	224
8426-110	D1904007	Markleeville Public	MPUD Sewer Pump Station	PUpp	9/5/2018	9/5/2018	11/1/2018		3/2/2020	487	544
0202504-002P	D1802013	Markleeville Water	Markleeville Water Company	PUpp	9/27/2017	1/17/2018	9/27/2017	10/11/2017	7/12/2019	541	653
1910085-001P	D1602029	Maywood Mutual Water	Maywood Avenue Well	LSan	8/25/2015	8/18/2016	7/29/2016	12/14/2015	1/9/2017	144	503
2300584-001P	D1702072	Mendocino Unified	MUSD Grant Assistance and Master	GCha	5/4/2017	9/7/2017	7/5/2017	8/7/2017	5/25/2018	260	386
8429-110	D1904004	Mendocino Unified	MUSD Grant Assistance and Master	CVue	3/20/2018	3/21/2018	7/17/2018		2/14/2020	577	696
1900100-003P	D1702065	Mettler Valley Mutual	Arsenic Exceedance-Remediation	LSan	3/23/2016	11/23/2016	6/27/2017	2/29/2016	8/15/2018	414	898
1510014-002P	D1702061	Mojave Public Utility	Cache Creek Potable Water Pipeline	JHol	11/20/2016	10/6/2017	8/31/2016	9/18/2017	2/8/2018	125	526

All Programs - Application Efficiency Report

for those contracts executed between 7/1/2015 and 1/26/2021

Project Number	Contract Number	Party	Project Name	PM	General Package Rec'd	Technical Package Rec'd	Financial Package Rec'd	Environmental Package Rec'd	Agreement Execution Date	Difference (days) for Complete Applications	Difference (days) for Partial Applications
8473-110	D1904002	Mokelumne Hill Sanitary	Wastewater Improvement Project	MCha	1/22/2019	1/11/2019	3/1/2019		3/6/2020	371	420
8412-110	D1704020	Monterey Park Tract	Monterey Park Tract Community	GBha	1/29/2018	1/29/2018	1/29/2018		6/25/2018	147	147
8185-110	D1601016	Morro Bay, City of	Water Reclamation Facility Project -	AZel	12/11/2015	12/11/2015	4/29/2016		1/20/2017	266	406
4510002-006P	D1802010	Mountain Gate	Water System Improvements Project	DRio	8/8/2017	1/12/2018	10/3/2017	9/26/2017	6/28/2019	532	689
0105009-001P	D1702026	Mountain House School	Mountain House Well Replacement	GCha	3/16/2017	3/16/2017	3/29/2017	3/16/2017	11/30/2017	246	259
4710008-001P	D1602053	Mt. Shasta, City of	Tank 1 and Roseburg Water System	MSid	3/25/2016	9/13/2016	10/3/2016	5/10/2016	3/26/2017	174	366
4710008-002P	D1702048	Mt. Shasta, City of	Spring Hill Water Supply & Storage	HBag	3/25/2016	6/12/2017	5/31/2017	5/23/2017	1/2/2018	204	648
4710008-003P	D1702049	Mt. Shasta, City of	City of Mt. Shasta Water	HBag	3/25/2016	6/12/2017	5/31/2017	5/10/2016	1/2/2018	204	648
8174-110	D1604002	Mt. Shasta, City of	State-Mandated Wastewater	MSid	3/29/2016	3/29/2016	4/13/2016		9/22/2016	162	177
8229-110	D1604003	Mt. Shasta, City of	Interceptor Sewer Replacement	MSid	3/29/2016	3/29/2016	4/13/2016		9/14/2016	154	169
8230-110	D1604004	Mt. Shasta, City of	Downtown Collection System	MSid	3/29/2016	3/29/2016	4/13/2016		9/14/2016	154	169
5500064-001P	D1702025	Muller Mutual Water	Muller MWC consolidation with	LSan	10/6/2016	11/16/2016	8/24/2016	11/12/2015	4/5/2018	505	875
1200538-002P	D1702014	Myers Flat Mutual Water	Distribution System Improvement	RMit	9/10/2016	9/13/2016	1/25/2017	10/27/2016	9/13/2017	231	368
2800840-003P	D1502016	Napa County Schools:	Pope Valley School Surface Water	MVue	11/12/2014	9/20/2013	9/20/2013	9/20/2013	11/3/2015	356	774
5010013-001P	D1602048	Newman, City of	City of Newman Hexavalent	MRei	9/8/2016	9/7/2016	9/7/2016	8/29/2016	2/13/2017	158	168
8145-110	D1504011	Newman, City of	Waste Discharge Requirement	KWar	9/15/2015	10/16/2015	9/15/2015		2/4/2016	111	142
2310007-016P	D1502017	North Gualala Water	North Gualala Water Company -	JBla	5/20/2013	5/20/2013	8/20/2015	5/20/2013	12/17/2015	119	941
5810006-001P	D1702033	North Yuba Water District	Forbestown Ditch Pipeline	FRam	7/1/2016	4/19/2017	8/22/2016	8/22/2016	9/28/2017	162	454
1010023-005P	D1602010	Orange Cove, City of	Water Treatment Plant Expansion	JQui	11/25/2015	8/25/2016	4/18/2016	5/12/2016	12/12/2016	109	383
1200729-003P	D1702016	Orleans Community	Filtration and Disinfection Water	RMit	2/1/2016	12/7/2016	12/21/2016	12/20/2016	8/1/2017	223	547
1200566-001P	D1702059	Orleans Mutual Water	Water Treatment System Upgrade	RMit	3/15/2017	3/9/2017	3/13/2017	2/17/2017	8/22/2018	525	551
5400519-001P	D1602026	Palo Verde Union	Palo Verde School Domestic Well	PUpp	10/6/2015	4/22/2016	12/15/2015	1/28/2016	11/8/2016	200	399
0410007-001P	D1602038	Paradise Irrigation District	Reservoir B Replacement Planning	TGui	10/22/2013	7/12/2016	7/12/2016	10/22/2013	12/16/2016	157	1,151
8191-110	D1504013	Paradise, Town of	Town of Paradise Community	MS	12/11/2015	1/7/2016	12/11/2015		4/26/2016	110	137
8193-110	D1504015	Parlier, City of	Sewer Collection and WWTP	PUpp	12/9/2015	1/11/2016	1/11/2016		5/16/2016	126	159
5200534-003P	D1502050	Paskenta Community	Long Term Source Reliability Study	MRei	9/3/2014	2/18/2016	9/3/2014	3/18/2016	7/6/2016	110	672
5200534-004P	D1602041	Paskenta Community	Water Main Rehabilitation and	MRei	7/26/2016	6/1/2016	7/22/2016	7/22/2016	12/30/2016	157	212
5402038-001P	D1702045	Patterson Tract	Meter Replacement – System	JGre	6/17/2016	6/17/2016	4/1/2017	2/1/2017	4/23/2018	387	675
3110005-007P	D1702043	Placer County Water	Dutch Flat Mutual Consolidation	KPad	1/12/2017	1/12/2017	4/17/2017	4/17/2017	3/15/2018	332	427
5400682-002P	D1602056	Plainview Mutual Water	Plainview MWC-Central Water	BPau	11/15/2013	7/18/2016	8/19/2016	11/15/2013	5/16/2017	270	1,278
8161-110	D1504016	Planada Community	Planada CSD Planning Grant for	MSid	10/28/2015	10/28/2015	3/24/2016		7/6/2016	104	252
3210011-005P	D1702009	Plumas Eureka	Arsenic Remediation Project	JGar	3/15/2016	8/17/2016	8/12/2016	6/23/2016	9/13/2017	392	547
3301380-001P	D1602012	Pueblo Unido Community	St. Anthony Trailer Park - Arsenic	LSan	6/21/2016	2/4/2016	6/4/2015	6/4/2015	9/19/2016	90	473
8160-110	D1504014	Quincy Community	Quincy-East Quincy Wastewater	PUpp	10/14/2015	2/4/2016	1/25/2016		5/3/2016	89	202
8413-110	D1901014	Redway Community	RCSD Waste Water Improvements	MCha	6/13/2019	6/11/2019	6/11/2019		2/10/2020	242	244
1210022-001P	D1502020	Resort Improvement	Water Tank Replacement	JR	1/8/2015	1/8/2015	7/30/2015	7/30/2015	11/20/2015	113	316

All Programs - Application Efficiency Report

for those contracts executed between 7/1/2015 and 1/26/2021

Project Number	Contract Number	Party	Project Name	PM	General Package Rec'd	Technical Package Rec'd	Financial Package Rec'd	Environmental Package Rec'd	Agreement Execution Date	Difference (days) for Complete Applications	Difference (days) for Partial Applications
1210012-008P	D1702046	Rio Dell, City of	Rio Dell Infrastructure Improvement	ASto	3/29/2016	3/29/2016	3/29/2016	2/15/2017	2/14/2018	364	687
8403-110	D1904003	Rio Dell, City of	Rio Dell Sanitary Sewer Evaluation	GBha	11/10/2017	2/6/2019	1/30/2019		12/31/2019	328	781
0310006-002P	D1602043	River Pines Public Utility	River Pines PUD Storage and	PSta	2/8/2016	7/22/2016	7/22/2016	7/22/2016	12/20/2016	151	316
8135-110	D1504008	Riverdale Public Utility	Wastewater Treatment Plant	MSid	6/29/2015	6/29/2015	6/29/2015		1/28/2016	213	213
8387-110	D1901020	Russian River County	Headworks, Lift Stations, and Force	MCha		6/5/2019	12/20/2017		6/18/2020	379	911
8375-110	D1701027	San Andreas Sanitary	SASD Collection System	FFua	10/3/2017	10/3/2017	10/10/2017		3/2/2018	143	150
1010034-004P	D1602027	San Joaquin, City of	Water Supply, Storage, Treatment,	PUpp	3/14/2016	6/13/2016	3/14/2016	3/14/2016	10/26/2016	135	226
8399-110	D1901003	San Miguel Community	San Miguel Wastewater Project	ERey	1/9/2018	1/16/2018	3/15/2019		11/27/2019	257	687
8323-110	D1704018	Santa Nella County Water	Wastewater Treatment System	MCha	1/19/2017	1/19/2017	2/13/2017		4/30/2018	441	466
1910147-011P	D1702057	Sativa-L.A. County Water	Well No. 5 Water Quality	BPau	3/16/2016	6/19/2017	7/10/2017	6/9/2016	2/22/2018	227	708
5400558-001P	D1602035	Saucelito Elementary	Saucelito Elementary School	JGre	11/9/2015	11/9/2015	1/21/2016	11/9/2015	1/5/2017	350	423
8481-110	D1901022	Seeley County Water	Wastewater Treatment Plant	ERey	11/1/2018	11/1/2018	3/15/2019		8/5/2020	509	643
2000828-002P	D1802027	Shady Oak Mobile Home	Shady Oak Water Project- Uranium	JGre	10/20/2017	10/20/2017	12/21/2017	3/31/2015	7/23/2019	579	1,575
1800575-001P	D1602069	Shaffer Union Elementary	Shaffer Source Capacity Planning	MNga	6/6/2016	6/6/2016	10/1/2016	6/6/2016	6/27/2017	269	386
8337-110	D1704008	Shasta Lake, City of	City of Shasta Lake Force Main	MSid	4/6/2017	6/12/2017	6/14/2017		12/4/2017	173	242
4500006-001P	D1702001	Shasta, County of	County Service Area No. 2 -	MRei	3/13/2017	4/20/2017	4/14/2017	6/5/2017	3/2/2018	270	354
4500015-001P	D1902031	Shasta, County of	Shasta County CSA No. 3 - Castella	MRei	5/19/2017	10/24/2017	5/19/2017	5/19/2017	5/4/2020	923	1,081
4510004-006P	D1602046	Shasta, County of	CSA #6 Jones Valley Meter	MRei	1/3/2016	12/10/2015	5/16/2016	6/10/2016	1/3/2017	207	390
8085-110	D1504002	Shasta, County of	CSA 17 Collection and Treatment	FFua	4/28/2015	4/28/2015	5/1/2015		10/23/2015	175	178
4600019-001P	D1702015	Sierra County (Calpine)	Calpine Water Quality and Supply	RMit	5/28/2015	2/7/2017	3/10/2016	4/6/2016	8/3/2017	177	798
2600622-001P2	D1602015	Sierra East Homeowners'	GWUDI and Arsenic Compliance	BPau	3/16/2016	3/16/2016	3/16/2016	5/12/2016	9/29/2016	140	197
8069-110	D1501025	Silicon Valley Clean	Conveyance System Improvement	JFeg	1/5/2015	1/5/2015	1/5/2015		5/13/2016	494	494
5200562-001P	D1902013	Sky View County Water	Water System Improvements	HBag	8/23/2016	10/15/2018	8/23/2016	8/23/2016	7/7/2020	631	1,414
1610006-006P	D1602066	Stratford Public Utility	Test Well, Facilities Assessment and	MSid	4/27/2015	8/9/2016	9/15/2016	4/27/2015	4/13/2017	210	717
8506-110	D1901025	Sultana Community	Sultana and Monson Wastewater	ERey	2/14/2019	2/14/2019	2/14/2019		3/18/2020	398	398
1700536-004P	D1602045	Sunrise Shore Mutual	Compliance and Sustainability for	MVue	5/18/2016	5/18/2016	5/18/2016	5/18/2016	1/20/2017	247	247
8452-110	D1901039	Sutter Creek, City of	Pre Design for Wastewater	ERey	8/1/2018	8/1/2018	8/21/2018		8/11/2020	721	741
3110011-004P	D1502003	Tahoe City Public Utility	West Lake Tahoe Regional Water	MTam	7/7/2014	7/7/2014	5/15/2015	7/7/2014	9/2/2015	110	422
8140-110	D1504009	Tehama County Sanitation	District No. 1 Mineral Wastewater	GBha	8/20/2015	8/20/2015	8/19/2015		4/1/2016	225	226
5400641-003P	D1602058	Teviston Community	Teviston South Well Replacement	PUpp	7/14/2016	7/18/2016	7/18/2016	8/17/2016	2/24/2017	191	225
8332-110	D1704022	Tolowa Dee-ni Nation	Smith River Wastewater System	CVue	2/2/2017	11/15/2017	11/21/2017		7/5/2018	226	518
5310002-002P	D1902040	Trinity County	Planning/Design for Treatment Plant	OGue	4/22/2015	10/22/2019	7/2/2018	11/2/2015	4/29/2020	190	1,834
8247-110	D1604022	Tuolumne City Sanitary	TCSD Wastewater Treatment Plant	JQui	4/28/2016	6/23/2016	7/30/2016		12/6/2016	129	222
8281-110	D1604027	Tuolumne City Sanitary	TCSD Collection System Project	JQui	8/19/2016	8/19/2016	9/27/2016		2/9/2017	135	174
8240-110	D1604021	Tuolumne Utilities	Sonora Regional Wastewater	JQui	4/15/2016	6/16/2016	6/28/2016		11/30/2016	155	229
5000116-001P	D1702058	Turlock Unified School	Roselawn High School Water	GCha	2/23/2017	10/12/2017	8/14/2017	5/4/2017	4/27/2018	197	428

All Programs - Application Efficiency Report

for those contracts executed between 7/1/2015 and 1/26/2021

Project Number	Contract Number	Party	Project Name	PM	General Package Rec'd	Technical Package Rec'd	Financial Package Rec'd	Environmental Package Rec'd	Agreement Execution Date	Difference (days) for Complete Applications	Difference (days) for Partial Applications
8408-110	D1804002	Twain Harte Community	Inflow/Infiltration Identification and	CVue	3/14/2018	2/5/2018	3/9/2018		6/28/2019	471	508
8472-110	D2001011	Twentynine Palms, City	Wastewater Treatment System	CVue	9/12/2018	9/12/2018	1/17/2019		1/7/2021	721	848
0510001-002P	D1602017	Union Public Utility	Backwash Recycling and Tank	MRei	1/11/2016	1/11/2016	3/17/2016	2/25/2016	10/27/2016	224	290
3701010-003P	D1602007	Warner Unified School	Arsenic MCL Violation Planning	BPau	3/25/2014	3/25/2014	3/11/2016	4/4/2014	2/17/2017	343	1,060
1000204-001P	D1702002	Washington Unified	American Union Elementary School	BPau	9/29/2016	8/2/2016	9/29/2016	11/14/2016	5/8/2018	540	644
5410010-017P	D1602044	Water Resources,	East Porterville Water Supply	PSta	9/26/2016	9/26/2016	9/29/2016	9/26/2016	11/7/2016	39	42
4410011-001P	D1602002	Watsonville, City of	Hexavalent Chromium Well		5/9/2016	5/31/2016	5/12/2016	5/13/2016	12/30/2016	213	235
4710009-001P	D1702023	Weed, City of	North Weed Water Supply Project	MMag	10/3/2016	10/26/2016	10/6/2016	10/5/2016	11/27/2017	397	420
4710009-002P	D1702024	Weed, City of	City of Weed Bypass Water Supply	MMag	2/22/2017	3/16/2017	3/17/2017	3/30/2017	11/28/2017	243	279
8159-110	D1604008	Weed, City of	City of Weed Sewer Replacement	PUpp	10/19/2015	1/18/2016	6/6/2016		11/3/2016	150	381
8430-110	D1901008	Weed, City of	Wastewater Treatment Facilities	PUpp	8/8/2018	1/21/2019	5/30/2019		12/30/2019	214	509
3301529-001P	D1602025	Western Water	Ramona Water System	LSan	10/21/2015	6/13/2016	6/16/2016	10/21/2015	1/3/2017	201	440
0610004-002P	D1902000	Williams, City of	New Well No. 11	FRam	2/16/2017	11/13/2017	5/2/2018	2/23/2017	9/6/2019	492	932
8225-110	D1604007	Williams, City of	City of Williams Wastewater	ERey	3/14/2016	5/16/2016	5/9/2016		10/10/2016	147	210
5100145-001P	D1502001	Winship-Robbins	Arsenic Exceedance-Remediation	PSta	5/6/2014	7/30/2014	7/30/2014	7/30/2014	9/14/2015	411	496
1300009-001P	D1902039	Winterhaven County	Water Treatment and Distribution	PUpp	9/5/2019	9/10/2019	9/3/2019	8/23/2019	6/16/2020	280	298
5410025-002P	D1602005	Woodville Public Utility	Replacement Well Project	JGre	3/25/2014	3/25/2014	4/1/2016	3/25/2014	8/26/2016	147	885
4900787-001P	D1702020	WRM Sonoma Holdings	Plaza Mobile Home & RV Park	MNga	7/28/2016	9/8/2016	2/7/2017	2/7/2017	1/2/2018	329	523
4900791-001P	D1702021	WRM Sonoma Holdings	Western Mobile Home Park	MNga	12/15/2016	1/4/2017	11/29/2016	2/7/2017	11/15/2017	281	351
4710011-001P	D1702030	Yreka, City of	City of Yreka Water System	KPad	4/24/2017	5/9/2017	5/5/2017	3/7/2017	2/2/2018	269	332
8231-110	D1604010	Yreka, City of	City of Yreka Wastewater	MCha	4/1/2016	6/10/2016	5/12/2016		10/10/2016	122	192
Projects with Incomplete Data											
3291-010	D1505013	Alameda County Water	Recycled Water Feasibility Study	JGar	7/21/2015	7/21/2015			2/23/2016		217
D1912527	D1912527	Alameda County Water	Niles Cone Groundwater Basin	DCon	3/1/2019				6/16/2020		473
D1612607	D1612607	Arroyo Grande, City of	Stormwater Resource Plan for Five	RMor	7/26/2016				9/26/2017		427
8465-110	D1805008	Avalon, City of	Upgrade of Wastewater Treatment	DHou	7/3/2018	7/3/2018			8/22/2019		415
3331-010	D1505012	Avila Beach CSD	Avila Regional Recycled Water	AZel	11/2/2015	11/2/2015			2/23/2016		113
P84C-5400651-	D1503026	Beverly-Grand Mutual	Consolidation with The City of	OGue					4/5/2016		
3850-010	D1505002	Big Bear Area Regional	Bear Valley Water Sustainability	ENas					12/28/2015		
3705-010	D1605002	Borrego Water District	Tertiary Treatment Conversion	AZel	5/11/2016	5/11/2017			10/12/2016		154
3444-010	D1605001	Burbank, City of	City of Burbank Potable Reuse	SKal	2/4/2016	2/4/2016			9/20/2016		229
3327-010	D1505009	Cayucos Sanitary District	Cayucos Sustainable Water Project	CVue	7/27/2015				1/28/2016		185
D1612613	D1612613	Chico, City of	City of Chico Storm Water	BDav	3/15/2016				3/20/2017		370
D1612608	D1612608	Coastal Conservation and	Storm Water Resource for the	RAit	3/17/2016				3/13/2017		361
D1612604	D1612604	Contra Costa County	Contra Costa Watersheds Storm	ANoo	7/26/2016				5/2/2017		280
D1812516	D1812516	Cucamonga Valley Water	Cucamonga Basin Groundwater	ARan	8/4/2017				12/18/2018		501

All Programs - Application Efficiency Report

for those contracts executed between 7/1/2015 and 1/26/2021

Project Number	Contract Number	Party	Project Name	PM	General Package Rec'd	Technical Package Rec'd	Financial Package Rec'd	Environmental Package Rec'd	Agreement Execution Date	Difference (days) for Complete Applications	Difference (days) for Partial Applications
8510-110	D1905002	Diablo Water District	Diablo Water District / Ironhouse	DHou	5/1/2019	5/1/2019			2/14/2020		289
D1912528	D1912528	Dinuba, City of	Dinuba Wellfield Nitrate, 1,2-	RGui					7/3/2020		
D1612601	D1612601	Eureka, City of	Eureka Area Watershed Storm		3/18/2016				4/5/2017		383
8124-110	D1504007	Firebaugh, City of	Wastewater Treatment Plant	KWar					2/29/2016		
D1712521	D1712521	Fresno, City of	123 TCP Mitigation Feasibility	ARan	4/7/2017				12/18/2018		620
3330-010	D1505011	Goleta Water District	Goleta Potable Reuse Facilities Plan		11/13/2015				2/8/2016		87
D1612625	D1612625	Honey Lake Valley	Lahontan Basin Storm Water	BDav	3/18/2016				3/28/2017		375
3851-010	D1505020	Inland Empire Utilities	R-W Interconnections between	SKal	9/22/2015	9/22/2015			6/2/2016		254
8386-110	D1705005	King City, City of	Recycled Water Feasibility Study	JHac					12/28/2017		
8441-110	D1805006	Long Beach Water Dept	West Long Beach Advanced Treated	DHou	4/5/2018	4/5/2018			11/5/2019		579
D1712510	D1712510	Los Angeles Department	Tujunga Remediation Project	DCon	11/21/2016				6/11/2018		567
D1712511	D1712511	Los Angeles Department	North Hollywood Central	DCon	11/21/2016				6/11/2018		567
D1812513	D1812513	Los Angeles Department	Pollock Remediation Project	DCon	5/8/2017				5/29/2019		751
D1612617	D1612617	Madera, County of	Madera County Storm Water		7/26/2016				5/16/2017		294
3292-010	D1505018	Marin County Community	Woodacre/San Geronimo Flats	AZel	8/31/2015	8/31/2015			4/11/2016		224
8530-110	D1905003	Marina Coast Water	Marina Coast Water District	DHou	8/7/2019	8/7/2019			2/4/2020		181
D1612603	D1612603	Mendocino County Water	Coastal Mendocino County Storm	ANoo	3/17/2016				4/26/2017		405
3446-010	D1605007	Metropolitan Water	Potential Regional Recycled Water	DHou	3/17/2016	3/17/2016			5/19/2017		428
3448-010	D1605009	Metropolitan Water	Potential Regional Recycled Water	DHou	3/17/2016	3/17/2016			5/19/2017		428
3449-010	D1605010	Metropolitan Water	Potential Regional Recycled Water	DHou	3/17/2016	3/17/2016			5/19/2017		428
3450-010	D1605011	Metropolitan Water	Potential Regional Recycled Water	DHou	3/17/2016	3/17/2016			5/19/2017		428
D1712514	D1712514	Modesto, City of	Nitrate, Arsenic, Uranium Remedial	KSmi	5/5/2017				11/30/2018		574
8361-110	D1705004	Montecito Water District	Montecito Recycled Water Facilities	AZel	7/3/2017	7/3/2017			12/12/2017		162
8511-110	D1905001	Montecito Water District	Montecito Groundwater	AZel	3/22/2019	3/22/2019			2/18/2020		333
D1612609	D1612609	Monterey One Water	Monterey Peninsula Region Storm	RAit	3/17/2016				4/11/2017		390
3329-010	D1505014	Morro Bay, City of	Water Reclamation Facility Program	JHac	9/10/2015	9/10/2015			3/22/2016		194
8537-110	D1905005	Mountain View, City of	Recycled Water Feasibility Study	ENas					7/20/2020		
8341-110	D1705001	North of River Sanitary	NORSD Water Recycling Program	SKal	3/17/2017	3/17/2017			8/22/2017		158
D1712504	D1712504	Orange County Water	North Basin RI/FS	ARan	10/27/2016				2/26/2018		487
D1712505	D1712505	Orange County Water	South Basin RI/FS	ARan	10/25/2016				3/1/2018		492
3289-010	D1505005	Oro Loma Sanitary	Oro Loma Sanitary District	ENas					11/9/2015		
3617-010	D1505004	Palmdale Recycled Water	Recycled Water Line Phase 2	GBer	6/3/2015				11/6/2015		156
3616-010	D1505003	Palmdale Water District	Palmdale Regional Groundwater	SK	4/14/2015	4/14/2015			11/2/2015		202
D1812520	D1812520	Pismo Beach, City of	Central Coast Blue	KSmi	6/13/2017				4/26/2019		682
3530-010	D1805005	Porterville, City of	Recycled Water Facilities Planning	DHou	1/27/2016	1/27/2016			7/24/2019		1,274
3700936-001P2	D1602020	Rancho Estates Mutual	Rancho Estates Mutual Water	BPau					10/17/2016		

All Programs - Application Efficiency Report

for those contracts executed between 7/1/2015 and 1/26/2021

Project Number	Contract Number	Party	Project Name	PM	General Package Rec'd	Technical Package Rec'd	Financial Package Rec'd	Environmental Package Rec'd	Agreement Execution Date	Difference (days) for Complete Applications	Difference (days) for Partial Applications
D1612614	D1612614	Redding, City of	City of Redding Storm Water	BDav	3/18/2016				10/12/2017		573
3854-010	D1605005	Rialto, City of	City of Rialto - NRDC Water	DHou	3/24/2016	3/24/2016			5/15/2017		417
8438-110	D1805001	Riverbank, City of	Riverbank Regional Recycled Water	JHac	5/2/2018	5/2/2018			12/30/2019		607
8439-110	D1805000	Riverbank, City of	Riverbank Regional Recycled Water	JHac	6/28/2018	6/28/2018			12/30/2019		550
D1612627	D1612627	San Bernardino County	San Bernardino County Santa Ana	SJop	3/18/2016				3/29/2017		376
D1612628	D1612628	San Diego, County of	San Diego Regional Storm Water		3/17/2016				1/18/2017		307
D1812523	D1812523	San Gabriel Basin Water	Whitmore Street Groundwater	ARan	7/28/2017				11/21/2018		481
D1912525	D1912525	San Gabriel Basin Water	Regional Site Investigation South El						6/4/2020		
3443-010	D1505017	San Gabriel Valley	San Gabriel Valley Regional		1/19/2016				4/12/2016		84
D1812517	D1812517	San Gabriel Valley Water	SGVWC Plant B6;1,4 Dioxane and	ARan	6/30/2017				2/14/2019		594
3326-010	D1505006	San Luis Obispo, City of	Recycled Water Facilities Planning	JHac	9/16/2015	9/16/2015			11/19/2015		64
D1912530	D1912530	San Luis Obispo, City of	Tetrachloroethylene Plume	RGui					6/16/2020		
8443-110	D1805007	Santa Ana, City of	Recycled Water Master Plan	DHou	9/3/2018	9/3/2018			7/17/2019		317
D1612610	D1612610	Santa Barbara, County of	Santa Barbara County-wide	SJop	7/27/2016				9/13/2017		413
D1612605	D1612605	Santa Clara Valley Water	SWRP for the Santa Clara Basin in		7/27/2016				2/9/2017		197
3320-010	D1505001	Santa Cruz, City of	City of Santa Cruz Regional	JGar					11/18/2015		
D1812519	D1812519	Santa Rosa, City of	City of Santa Rosa Groundwater	RGui	8/30/2017				11/21/2018		448
3328-010	D1505007	Santa Ynez Community	Recycled Water Source	AZel	9/29/2015	9/29/2015			11/24/2015		56
3332-010	D1505021	Soledad, City of	City of Soledad Recycled Water	AZel	1/6/2016	1/6/2016			6/2/2016		148
D1612606	D1612606	Sonoma County Water	Southern Sonoma County Storm		7/26/2016				4/26/2017		274
3323-010	14672	Soquel Creek Water	SCWD Regional Recycled Water	JHac	2/17/2015				9/1/2015		196
D1812515	D1812515	Soquel Creek Water	Pure Water Soquel: Groundwater	TCar	6/13/2017				2/1/2019		598
P84C-5400805-	D1503023	Soults Mutual Water	Nitrate exceedence - Consolidation	OGue	11/1/2011				12/28/2015		1,518
3324-010	14673	South San Luis Obispo	Recycled Water Facilities Planning	JHac	2/27/2015	2/27/2015			7/14/2015		137
D1712508	D1712508	South Tahoe Public	Feasibility Study of Remedial	TCar	11/23/2016				3/29/2018		491
D1612618	D1612618	Stanislaus County	Stanislaus Multi-Agency Regional	SJop	3/18/2016				4/17/2017		395
D1612626	D1612626	Tahoe Resource	Storm Water Resource Plan for the	ANoo	7/25/2016				3/2/2017		220
D1612602	D1612602	Ukiah, City of	Russian River Regional Storm		7/26/2016				5/5/2017		283
D1912529	D1912529	United Water	Coastal Brackish Water Treatment	KSmi					7/7/2020		
D1612619	D1612619	University Enterprises,	Development of a Storm Water Plan		7/26/2016				3/23/2017		240
8329-010	D1805002	Vacaville, City of	City of Vacaville Recycled Water	DHou	2/22/2017	7/3/2018			8/26/2019		915
3293-010	D1505008	Vallejo Sanitation &	Recycled Water Feasibility Study	AZel	11/18/2015	11/18/2015			1/6/2016		49
3618-010	D1605003	Victorville, City of	City of Victorville, Water Recycling	SKal	4/6/2016	4/6/2016			9/19/2016		166
P84C-1900520-	D1703001	Village Mobile Home	Arsenic exceedence - remediation	LSan	10/31/2011				12/20/2017		2,242
P84C-5400795-	D1503014	Waukena Joint Union	Nitrate exceedence - New well	OGue	10/27/2011				10/27/2015		1,461
3442-010	D1505016	West Basin Municipal	Kenneth Hahn Park and Baldwin	DHou	12/8/2015	12/8/2015			6/30/2016		205

All Programs - Application Efficiency Report

for those contracts executed between 7/1/2015 and 1/26/2021

Project Number	Contract Number	Party	Project Name	PM	General Package Rec'd	Technical Package Rec'd	Financial Package Rec'd	Environmental Package Rec'd	Agreement Execution Date	Difference (days) for Complete Applications	Difference (days) for Partial Applications
8328-110	D1605018	West Bay Sanitary District	West Bay Sanitary District Bayfront	DHou	2/3/2017	2/3/2017			5/23/2017		109
3529-010	D1605004	West Kern Water District	Taft Recycled Water Program	RWad	6/1/2016	6/1/2016			9/14/2016		105
D1612620	D1612620	Yolo County Flood	Water Resources Association of		7/27/2016				3/14/2017		230
P84C-2000567-	D1503005	Yosemite Unified School	Uranium, flouride & arsenic	OGue					9/23/2015		
3528-010	D1505010	Yuba City, City of	Yuba City Recycled Water Facilities	COrt	11/21/2015	11/21/2015			1/28/2016		68
D1612615	D1612615	Yuba City, City of	Yuba City Basin Storm Water	RJaw	3/17/2016				7/11/2017		481
34028	D1612813	California Rural Legal	Drinking Water Access Outreach	IRiv					1/31/2017		
34133	D1612804	California Rural Water	Statewide Leak Detection Technical	CWu					9/7/2016		
36496	D1612810	California Rural Water	Comprehensive Proposition 1	ZWu					10/21/2016		
33448	D1612803	Community Water Center	Community-Driven Water Solutions	ZFar					9/21/2016		
33448	D1612803	Community Water Center	Community-Driven Water Solutions	ZFar					3/9/2020		
37233	D1612815	Community Water Center	CV-SALTS Data Translation to						10/19/2017		
D1612809	D1612809	Council for Watershed	Technical Assistance for Improved	NAfr					11/15/2016		
8488-110	D1901010	Dos Palos City of	City of Dos Palos Water Energy	DHou		5/14/2019			1/16/2020		247
8539-110	D1905008	Eastern Municipal Water	Purified Water Replenishment San	SKal	11/29/2018	11/29/2018			6/16/2020		565
D1612624	D1612624	El Dorado, County of	Oflyng Water Quality Project	SJop	7/25/2016				11/30/2017		493
33915	D1612814	Environmental Justice	Community Technical Assistance	IRiv					4/26/2017		
8485-110	D1901002	Heber Public Utility	Water Treatment Plant and	DHou		11/29/2018			12/17/2019		383
8542-110	D1905010	Las Virgenes Municipal	Pure Water Project Las Virgenes-	JHac	11/20/2018	11/20/2018			8/11/2020		630
34145	D1612812	Leadership Counsel for	Outreach, Engagement and Legal	IRiv					12/15/2016		
8388-110	D1901006	Linda County Water	Wastewater Treatment Plant Water	DHou		11/9/2018			3/9/2020		486
8538-110	D1905004	Metropolitan Water	Evaluating Membrane Bioreactor	AZel	1/7/2020	1/7/2020			8/11/2020		217
8471-110	D1901001	Oro Loma Sanitary	Wastewater Digester Energy Audit	DHou		10/23/2018			12/10/2019		413
34090	D1612811	Pueblo Unido Community	Rural Infrastructure Program (RIP)	CWu					11/1/2016		
34125	D1612801	Rural Community	Comprehensive Assistance to Tribal	EBla					8/16/2016		
D1712611	D1712611	San Fernando, City of	San Fernando Regional Park Project	RAit	3/18/2016				11/16/2017		608
3030-000	D1905031	Santa Clara Valley Water	Research to Evaluate the Technical	SKal					12/13/2019		
33413	D1612802	Self-Help Enterprises	Community Development and	ZFar					8/25/2016		
D1712621	D1712621	South Lake Tahoe, City	Ruby Way, Bijou Park, Tahoe	SJop	3/18/2016				1/9/2018		662
8314-110	D1701012	South Tahoe Public	Energy Audit	DHou		12/28/2016			2/5/2018		404
3027-000	D1605020	Southern California	Science Advisory Panel on	SKal					7/21/2017		
3028-000	D1705002	The Water Research	Research to Support the	ENas					2/27/2018		
3029-000	D1705003	The Water Research	Research to Advance Potable and	ENas					3/30/2018		
D1712612	D1712612	Torrance, City of	Torrance Airport Storm Water		3/18/2016				1/25/2018		678
34113	D1612805	University Enterprises	California State University	NAfr					10/18/2016		
35806	D1612806	University Enterprises,	Drinking Water and Wastewater	NAfr					10/26/2016		

All Programs - Application Efficiency Report

for those contracts executed between 7/1/2015 and 1/26/2021

Project Number	Contract Number	Party	Project Name	PM	General Package Rec'd	Technical Package Rec'd	Financial Package Rec'd	Environmental Package Rec'd	Agreement Execution Date	Difference (days) for Complete Applications	Difference (days) for Partial Applications
37232	D1612807	University Enterprises,	Groundwater Technical Assistance	NAfr					10/26/2016		
33780	D1612808	University of California,	Aoki Water Clinic	DCha					11/18/2016		
Construction Projects (442 Projects)											
Projects with Complete Data											
0105008-002C	D2002003	Alameda, County of	Castlewood Redwood Tank	JRue	2/2/2015	11/18/2016	5/2/2019	10/29/2018	1/11/2021	620	2,170
4600012-006C	D1702013	Alleghany County Water	Storage Tank Replacement Project	GCha	1/10/2017	1/11/2017	1/11/2017	2/14/2017	7/20/2017	156	191
5410050-001C	D1702042	Alpaugh Community	Arsenic Treatment Project	PUpp	8/30/2017	8/30/2017	8/23/2017	2/2/2017	1/10/2018	133	342
0310012-006C	D1602018	Amador Water Agency	Disinfection Byproduct	PSta	3/9/2015	3/12/2015	6/14/2016	2/2/2015	10/26/2016	134	632
0310021-003C	D1602019	Amador Water Agency	Lake Camanche Water System	PSta	3/9/2015	3/13/2015	6/14/2016	3/13/2015	10/26/2016	134	597
8160-210	D1801013	American Valley	Quincy - East Quincy Wastewater	PUpp	6/19/2018	8/28/2018	10/26/2018	11/13/2018	10/9/2019	330	477
8146-110	D1605013	Anaheim, City of	Downtown Anaheim Recycled	SKal	9/14/2015	2/11/2016	3/9/2016	1/19/2016	4/10/2017	397	574
8147-110	D1605019	Anaheim, City of	South Anaheim Recycled Water	SKal	9/14/2015	6/21/2016	6/10/2016	6/21/2016	9/1/2017	437	718
8127-110	D1701044	Arcata, City of	Inflow and Infiltration Reduction	KWar	6/24/2015	2/1/2018	8/24/2016	4/7/2017	6/15/2018	134	1,087
1610001-007C	D1502023	Armona Community	Arsenic Treatment	MRei	5/16/2014	2/1/2016	2/1/2016	6/1/2015	4/21/2016	80	706
1510001-003C	D1802022	Arvin Community	Arsenic Mitigation Project - Phase II	JGre	7/21/2016	3/1/2018	10/10/2016	6/1/2018	4/12/2019	315	995
8118-110	D1601002	Auburn, City of	City of Auburn WWTP Secondary	MCal	6/8/2015	7/24/2015	12/8/2015	8/12/2015	11/4/2016	332	515
1610002-002C	D2002007	Avenal, City of	Avenal 18" Water Transmission	PSta	2/21/2019	4/9/2019	4/12/2019	10/22/2019	12/1/2020	406	649
8392-110	D1804006	Avenal, City of	Solar Photovolatic Generation	GBer	10/16/2017	12/6/2017	5/9/2018	10/20/2017	7/22/2019	439	644
2000614-001C	D1602032	Bass Lake Joint Unified	Oak Creek Intermediate School	JGre	10/2/2015	10/2/2015	10/2/2015	10/2/2015	3/17/2017	532	532
2010003-003C	D1902006	Bass Lake Water	Willow Creek Surface Water	JBla	9/9/2016	11/9/2018	6/5/2018	9/18/2017	10/8/2019	333	1,124
0800532-003C	D1802008	Big Rock Community	Big Rock CSD Water Tank	MMag	12/2/2016	6/14/2017	6/23/2017	12/2/2016	9/20/2019	819	1,022
7884-110	D1601027	Biggs, City of	Wastewater Treatment Plant	LAna	11/24/2015	5/18/2016	7/12/2016	8/12/2015	4/17/2017	279	614
8071-110	D1601038	Brentwood, City of	City of Brentwood Recycled Water	JHac	10/22/2014	10/13/2015	10/1/2015	8/27/2015	7/25/2017	651	1,007
8095-110	D1901007	Brentwood, City of	Wastewater Treatment Plant	JHac	4/15/2015	11/3/2016	11/3/2016	10/3/2016	12/30/2019	1,152	1,720
2610003-005C	D1602070	Bridgeport Public Utility	Arsenic Removal Project	LSan	3/10/2016	9/1/2016	12/8/2016	12/30/2016	8/3/2017	216	511
8108-210	D1901026	Burney Water District	Burney Water District Wastewater	MSid	9/22/2017	4/23/2018	11/20/2018	1/8/2018	6/29/2020	587	1,011
8108-310	D1901023	Burney Water District	Burney Water District Collection	MSid	9/22/2017	4/23/2018	11/20/2018	2/12/2018	10/5/2020	685	1,109
7850-210	D1901009	Calaveras County Water	West Point and Wilseyville	LAna	11/13/2014	3/30/2016	2/14/2019	4/24/2015	1/23/2020	343	1,897
1502607-001C	D1902011	Caliente Union School	Piute Mountain Elementary School	JQui	11/20/2017	10/10/2018	2/27/2019	1/11/2019	12/19/2019	295	759
8262-110	D1604031	Calipatria, City of	City of Calipatria Sanitary Sewer	KWar	6/8/2016	9/27/2016	9/27/2016	10/21/2016	6/6/2017	228	363
1710013-003C	D1902010	Callayomi County Water	Callayomi CWD Big Canyon	MRei	4/23/2018	4/23/2018	5/15/2018	10/4/2018	10/17/2019	378	542
7899-110	14820	Carlsbad Municipal Water	Carlsbad Municipal Water District -	AZel	3/24/2014	3/24/2014	4/3/2014	9/18/2013	4/19/2016	747	944
1010039-002C	D1802017	Caruthers Community	Installation of Arsenic Treatment	DRio	5/10/2016	12/7/2016	10/6/2016	5/12/2016	7/22/2019	957	1,168
1000207-001C	D1502011	Central Unified School	Consolidation with Central High	JGre	4/18/2014	4/18/2014	4/18/2014	4/18/2014	11/13/2015	574	574
3301115-001C	D1702067	Chiriaco Summit Water	Chiriaco Summit Water District	MSid	6/28/2017	6/28/2017	5/22/2017	3/3/2017	1/23/2018	209	326
8130-110	D1501028	Clear Creek Community	Clear Creek Community Services	MSid	7/20/2015	8/20/2015	8/19/2015	8/14/2015	5/26/2016	280	311

All Programs - Application Efficiency Report

for those contracts executed between 7/1/2015 and 1/26/2021

Project Number	Contract Number	Party	Project Name	PM	General Package Rec'd	Technical Package Rec'd	Financial Package Rec'd	Environmental Package Rec'd	Agreement Execution Date	Difference (days) for Complete Applications	Difference (days) for Partial Applications
8056-210	D1704010	Clearlake Oaks County	Wastewater Infrastructure	KWar	6/30/2017	6/30/2017	6/30/2017	10/14/2016	1/23/2018	207	466
3301153-001C	D1902032	Coachella Valley Water	Consolidation/extension of service	KWar	3/29/2017	5/21/2018	1/27/2017	1/26/2017	4/29/2020	709	1,189
3310001-007C	D1702091	Coachella Valley Water	Highway 86 Transmission Main and	KWar	11/2/2016	6/19/2017	4/13/2017	6/12/2017	6/19/2018	365	594
3310001-009C	D1902015	Coachella Valley Water	Thermal MWC & Oasis Gardens	KWar	4/12/2017	5/2/2018	5/2/2018	4/19/2018	4/29/2020	728	1,113
1710012-002C	D1802024	Cobb Area County Water	Summit Area Improvements	ASto	7/25/2018	8/10/2018	8/13/2018	7/25/2018	7/10/2019	331	350
0600008-002C	D1702092	Colusa County	Installation of Customer Meters	MMag	9/26/2016	9/26/2016	1/17/2017	1/12/2017	5/30/2018	498	611
7896-210	D1601015	Colusa, City of	Wastewater Treatment Plant	KWar	8/31/2015	8/31/2015	9/1/2015	12/15/2015	11/15/2016	336	442
7896-310	D1901015	Colusa, City of	Collection System Improvements	KWar	8/31/2015	8/31/2015	2/1/2019	12/15/2015	7/27/2020	542	1,792
4210009-001C	D1902024	Cuyama Community	Well No. 4 Drilling and Equipping	LSan	4/30/2018	7/26/2018	3/22/2018	5/18/2018	8/12/2020	748	874
7892-210	D1504012	Cuyama Community	WWTP Effluent Removal	KWar	6/5/2015	12/15/2015	8/26/2015	4/20/2015	8/11/2016	240	479
7843-210	D1604017	Davenport County	Davenport Recycled Water System	KWar	9/28/2015	4/19/2016	4/20/2016	5/5/2015	11/8/2016	202	553
5700623-001C	D1702035	Davis Joint Unified	Fairfield Elementary School Cr6	MVue	11/9/2016	2/8/2017	10/5/2016	4/24/2017	12/19/2017	239	440
8019-110	D1501007	Davis, City of	City of Davis Water Quality	ENas	4/18/2014	6/18/2014	2/27/2015	3/4/2015	11/18/2015	259	579
5400665-003C	D1802023	Del Oro Water Company	River Island Water Treatment Plant	JBla	6/29/2016	7/13/2017	10/18/2016	6/29/2016	9/23/2019	802	1,181
1510005-008C	D1902048	Delano, City of	TCP Removal Plant for Wells 26,	MPan	6/13/2019	12/6/2019	6/13/2019	7/11/2019	6/30/2020	207	383
8181-110	D1601004	Delta Diablo	Recycled Water System Storage		11/16/2015	11/20/2015	11/20/2015	11/16/2015	12/29/2016	405	409
2910016-003C	D1502044	Donner Summit Public	Donner Summit PUD Water	MRei	9/3/2015	11/23/2015	2/3/2016	4/11/2016	7/1/2016	81	302
4710001-007C	D1902044	Dorris, City of	Meter Installation and Water Main	DRio	9/8/2015	1/24/2020	8/20/2019	1/28/2020	6/29/2020	153	1,756
8266-110	D1701035	Dublin San Ramon	DERWA Recycled Water Treatment	ENas	6/8/2016	12/22/2016	3/10/2017	11/4/2016	5/30/2018	446	721
0110005-012C	D1702051	East Bay Municipal	South Reservoir Replacement	JRue	3/8/2016	7/5/2016	4/19/2016	8/2/2016	12/14/2017	499	646
0110005-013C	D1702078	East Bay Municipal	Macarthur Davenport Pipeline	JRue	5/6/2016	9/1/2016	1/13/2017	7/27/2016	4/18/2018	460	712
8106-110	D1701042	East Valley Water District	Sterling Natural Resource Center	JHac	4/30/2015	1/20/2017	4/29/2016	3/30/2016	6/26/2018	522	1,153
3310009-067C	D1502009	Eastern Municipal Water	County Water Company,	BPau	7/21/2014	7/21/2014	2/23/2016	7/21/2014	7/12/2016	140	722
7831-110	D1501017	Eastern Municipal Water	Eastern Municipal Water District -	AZel	4/7/2015	8/18/2015	4/7/2015	5/22/2013	1/25/2016	160	978
7889-120	D1604023	Eastern Municipal Water	Quail Valley Subarea 9 Phase 1	MSid	6/23/2016	6/23/2016	6/23/2016	10/26/2015	1/4/2017	195	436
8047-110	D1601036	Eastern Municipal Water	Recycled Water Supply	AZel	10/22/2015	12/4/2015	10/14/2015	10/14/2015	7/12/2017	586	637
8150-110	D1605014	Eastern Municipal Water	La Piedra Recycled Water Pipeline	AZel	7/23/2015	11/30/2015	9/15/2016	4/21/2016	4/10/2017	207	627
8165-110	D1701031	Eastern Municipal Water	Alessandro Pond Optimization	AZel	10/21/2015	12/2/2015	11/30/2015	8/18/2016	4/13/2018	603	905
8186-110	D1701049	Eastern Municipal Water	Temecula Valley Recycled Water	AZel	10/30/2015	12/4/2015	12/1/2015	4/21/2016	9/24/2018	886	1,060
8207-110	D1605017	Eastern Municipal Water	Cottonwood Avenue Recycled	AZel	12/2/2015	9/1/2016	12/2/2015	4/21/2016	6/27/2017	299	573
8357-110	D1701034	Eastern Municipal Water	Water Treatment Facilities Lighting	AZel	5/26/2017	5/26/2017	5/26/2017	5/26/2017	6/11/2018	381	381
8301-110	D1701032	El Centro, City of	Energy Upgrades- City of El Centro	MCal	10/12/2016	7/13/2017	4/18/2017	7/12/2017	3/27/2018	257	531
8144-110	D1601032	El Paso de Robles, City of	Paso Robles Recycled Water Project	JFeg	9/9/2015	11/5/2015	10/30/2015	2/2/2016	5/5/2017	458	604
8164-110	D1601019	El Toro Water District	Phase II Recycled Water	SKal	10/22/2015	12/1/2015	11/19/2015	3/24/2016	3/16/2017	357	511
3310012-016C	D1502013	Elsinore Valley Municipal	County Water Company,	BPau	8/8/2013	8/8/2013	7/23/2015	8/8/2013	1/4/2016	165	879
8188-110	D1601009	Elsinore Valley Municipal	Advanced Metering Infrastructure	MCal	11/5/2015	1/13/2016	1/19/2016	1/29/2016	10/24/2016	269	354

All Programs - Application Efficiency Report

for those contracts executed between 7/1/2015 and 1/26/2021

Project Number	Contract Number	Party	Project Name	PM	General Package Rec'd	Technical Package Rec'd	Financial Package Rec'd	Environmental Package Rec'd	Agreement Execution Date	Difference (days) for Complete Applications	Difference (days) for Partial Applications
8336-110	D1901005	Elsinore Valley Municipal	Regional Water Reclamation	MCal	4/7/2017	10/26/2017	7/28/2017	7/17/2018	1/15/2020	547	1,013
8338-110	D1701029	Elsinore Valley Municipal	Regional Water Reclamation	MCal	4/7/2017	7/31/2017	7/28/2017	9/12/2017	7/30/2018	321	479
8112-110	D2001004	Escondido, City of	Recycled Water Easterly	MCal	5/28/2015	1/29/2016	12/27/2018	3/20/2019	1/7/2021	659	2,051
8113-110	D1701009	Escondido, City of	Recycled Water Easterly Main and	MCal	5/28/2015	10/20/2016	2/23/2017	1/19/2016	11/22/2017	272	909
8115-110	D1701010	Escondido, City of	Brine Line Broadway to HARRF	MCal	5/28/2015	10/20/2016	2/23/2017	1/20/2016	11/22/2017	272	909
8172-110	D1701020	Fairfield-Suisun Sewer	Blower Replacement Project	CCol	10/27/2015	1/18/2017	7/1/2016	10/26/2016	2/12/2018	390	839
3710008-003C	D1802020	Fallbrook Public Utility	Santa Margarita Conjunctive Use	JBla	9/20/2016	11/20/2018	6/8/2017	11/22/2016	8/28/2019	281	1,072
8124-210	D1801008	Firebaugh, City of	Wastewater Treatment Plant	LAna	3/14/2017	3/14/2017	3/29/2017	4/11/2017	5/15/2019	764	792
7385-110	D1704014	Fort Bragg, City of	Wastewater Treatment Plant	FFua	5/22/2017	5/22/2017	5/26/2017	4/25/2017	3/14/2018	292	323
7109-110	D1701039	Fresno County	Wastewater Treatment Plant	JFeg	5/27/2015	6/15/2016	5/22/2016	1/9/2012	6/25/2018	740	2,359
1000276-001C	D1502030	Fresno, City of	City of Fresno and Orange Center	MTam	8/21/2014	8/21/2014	8/21/2014	8/21/2014	3/3/2016	560	560
1010007-028C	D1502012	Fresno, City of	Southeast Surface Water Treatment	MTam	9/2/2014	9/2/2014	7/6/2015	7/2/2015	12/7/2015	154	461
1010007-029C	D1502040	Fresno, City of	City of Fresno Raw Water Pipeline	MTam	3/12/2015	5/12/2015	10/15/2015	12/4/2015	6/8/2016	187	454
1010007-030C	D1602031	Fresno, City of	Fresno Priority 2 Regional	MTam	3/12/2015	4/13/2016	8/4/2016	5/12/2015	1/31/2017	180	691
1010007-031C	D1502042	Fresno, City of	Kings River Pipeline	MTam	3/12/2015	2/19/2016	3/28/2016	7/2/2015	7/19/2016	113	495
1010007-032C	D1802014	Fresno, City of	Fresno NE SWTF Finished Water	MTam	1/18/2017	7/18/2017	8/14/2017	8/22/2017	12/17/2019	847	1,063
8061-110	D1501011	Fresno, City of	Fresno, City of - Recycled Water	JHac	10/8/2014	3/12/2015	10/21/2014	4/24/2015	9/24/2015	153	351
8061-110	D1501011	Fresno, City of	Fresno, City of - Recycled Water	JHac	10/8/2014	3/12/2015	10/21/2014	4/24/2015	4/29/2016	371	569
1000359-005C	D1702090	Fresno, County of	Westside Groundwater Project	PSta	4/28/2017	1/9/2018	8/4/2017	4/28/2017	7/3/2018	175	431
5541-110	D1501013	Fresno, County of	CSA 44D Wastewater Treatment	JHac	12/24/2013	1/9/2014	9/11/2014	9/11/2014	12/17/2015	462	723
0910013-005C	D1602021	Georgetown Divide Public	Auburn Lake Trails Water	JRue	11/24/2015	11/24/2015	4/26/2016	4/19/2016	12/2/2016	220	374
7862-210	D1604014	Grass Valley, City of	Grass Valley Sewer Collection	PUpp	6/30/2016	6/30/2016	4/1/2016	12/14/2015	11/30/2016	153	352
8317-110	D1704013	Grass Valley, City of	SCADA and Septage/Debris	PUpp	6/2/2017	3/14/2017	3/14/2017	3/28/2017	2/16/2018	259	339
5000273-001C	D1502027	Gratton School District	Well Replacement Project	PSta	12/15/2014	12/15/2014	12/15/2014	12/15/2014	12/31/2015	381	381
5510009-003C	d1902035	Groveland Community	Big Creek and Second Garrotte	FFua	1/3/2018	6/25/2018	6/20/2018	5/9/2018	4/29/2020	674	847
8109-210	D2001007	Groveland Community	Downtown Groveland and Big Oak	FFua	2/4/2019	2/1/2019	10/1/2019	7/1/2019	11/25/2020	421	663
8358-110	D1901040	Gustine, City of	Water Meter Replacement Project	GBer	2/26/2018	2/26/2018	10/3/2019	2/26/2018	8/17/2020	319	903
4710012-002C	D1702076	Happy Camp Community	Happy Camp Water Treatment	MRei	3/27/2017	11/28/2017	11/1/2017	11/21/2017	6/26/2018	210	456
8091-110	D1601028	Hayward, City of	City of Hayward Recycled Water	JHac	3/30/2015	11/10/2015	11/16/2015	6/24/2015	5/31/2017	562	793
1310007-002C	14300	Heber Public Utility	Water Treatment Plant Expansion	MRei	8/1/2013	8/1/2013	8/1/2013	8/1/2013	7/7/2015	705	705
7883-110	D1601001	Hercules, City of	Pinole-Hercules WPCP	JFeg	9/11/2014	2/9/2016	4/10/2015	3/27/2015	9/16/2016	220	736
8049-110	D1501029	Hesperia Water District	Reclaimed Water Pipeline	SKal	9/4/2014	8/11/2015	9/16/2014	4/1/2015	9/23/2016	409	750
5295-110	D1501019	Hi-Desert Water District	Wastewater Treatment and Water	JQui	1/8/2015	11/18/2014	10/22/2015	2/12/2015	1/21/2016	91	429
7860-110	D1801017	Hi-Desert Water District	Septic System Abatement & Private	JQui	7/31/2018	7/31/2014	11/15/2017	2/12/2015	3/28/2019	240	1,701
1310005-006C	D1802005	Holtville, City of	Holtville Water Tank & System	FRam	6/16/2016	3/22/2018	4/18/2018	8/7/2018	9/20/2019	409	1,191
5010008-011C	D1602057	Hughson, City of	Well #7 Well Replacement and	MVue	8/8/2016	8/29/2013	8/8/2016	8/8/2016	4/25/2017	260	1,335

All Programs - Application Efficiency Report

for those contracts executed between 7/1/2015 and 1/26/2021

Project Number	Contract Number	Party	Project Name	PM	General Package Rec'd	Technical Package Rec'd	Financial Package Rec'd	Environmental Package Rec'd	Agreement Execution Date	Difference (days) for Complete Applications	Difference (days) for Partial Applications
5010008-011C	D1602057	Hughson, City of	Well #7 Well Replacement and	MVue	8/8/2016	8/29/2013	8/8/2016	8/8/2016	9/16/2020	1,500	2,575
1010044-001C	D1802002	Huron, City of	Water Treatment Plant Improvement	OGue	2/27/2014	2/27/2014	3/20/2018	2/12/2016	7/30/2019	497	1,979
8093-210	D1701036	Huron, City of	Recycled Water Improvements at	CVue	2/10/2017	4/10/2017	3/10/2017	5/5/2017	4/24/2018	354	438
8152-110	D1601010	Indian Wells Valley	Zero Discharge Flushing Program	CVue	11/9/2015	3/10/2016	3/15/2016	3/18/2016	12/12/2016	269	399
3310020-001C	D1702083	Indio Water Authority	Consolidation of Boe Del Heights &	FFua	8/29/2016	9/15/2017	9/30/2016	10/11/2016	6/27/2018	285	667
3310020-001C	D1702083	Indio Water Authority	Consolidation of Boe Del Heights &	FFua	8/29/2016	9/15/2017	9/30/2016	10/11/2016	2/20/2019	523	905
5318-110	13835	Inland Empire Utilities	Inland Empire Utilities Agency -	SKal	11/22/2013	4/5/2012	8/31/2010	4/5/2012	12/6/2018	1,840	3,019
8105-110	D1701014	Inland Empire Utilities	2015 Drought Relief - Napa Lateral	SKal	11/11/2015	11/24/2015	11/23/2015	12/16/2015	11/15/2017	700	735
8105-120	D1701015	Inland Empire Utilities	2015 Drought Relief - San Savaine	SKal	11/11/2015	11/24/2015	11/23/2015	2/22/2016	11/15/2017	632	735
8235-110	D1901030	Inland Empire Utilities	2015 Drought Relief - RP-1 1158	JHac	11/11/2015	11/24/2015	11/23/2015	12/29/2015	10/29/2020	1,766	1,814
8235-120	D1901031	Inland Empire Utilities	2015 Drought Relief - RP-5	JHac	11/11/2015	11/24/2015	11/23/2015	12/29/2015	12/21/2020	1,819	1,867
8235-150	D1901032	Inland Empire Utilities	2015 Drought Relief - Baseline	JHac	11/11/2015	11/24/2015	11/23/2015	3/16/2016	6/24/2020	1,561	1,687
2110001-001C	D1902046	Inverness Public Utility	Tenney Tank Replacement	JBla	9/25/2018	9/25/2018	9/25/2019	9/25/2018	8/17/2020	327	692
8177-110	D1605006	Irvine Ranch Water	Irvine Lake Pipeline Conversion	JHac	9/30/2015	3/3/2016	7/8/2016	2/4/2016	2/22/2017	229	511
0300037-002C	D1602030	Jackson Valley Irrigation	Treated Water Project, Phase 2	GCha	12/23/2014	12/23/2014	6/23/2016	7/14/2016	5/3/2017	293	862
0300037-002C	D1602030	Jackson Valley Irrigation	Treated Water Project, Phase 2	GCha	12/23/2014	12/23/2014	6/23/2016	7/14/2016	7/21/2020	1,468	2,037
8012-110	D1601020	Jackson, City of	Wastewater Treatment Plant	MSid	7/14/2015	6/9/2016	7/23/2015	9/8/2016	2/1/2017	146	568
8000-210	D1701021	Jamestown Sanitary	Wastewater Treatment Facilities	LAna	9/1/2016	10/1/2016	10/17/2016	8/16/2016	1/31/2018	471	533
1000248-002C	D1502047	Kerman, City of	Double L Mobile Ranch Park Water	KWar	5/22/2014	1/25/2016	5/22/2014	1/25/2016	7/11/2016	168	781
7659-110	D1704019	Kern, County of	South Shafter Sewer Project	PUpp	9/27/2017	9/27/2017	10/24/2017	4/7/2017	7/5/2018	254	454
8097-110	D1801005	Kern-Tulare Water	Kern-Tulare Water District Oil Field	AZel	8/8/2017	8/12/2016	5/26/2016	9/6/2016	1/30/2019	540	979
1610009-005C	D1602023	Kettleman City	New SWTP [Construction Phase]	JQui	12/1/2014	9/30/2016	9/30/2016	11/16/2016	2/17/2017	93	809
5010009-003C	D1602054	Keyes Community	Regional Benefit Arsenic Mitigation	PSta	1/28/2015	1/28/2015	7/20/2016	11/23/2015	2/17/2017	212	751
1710006-005C	D1902026	Konocti County Water	Water System Improvements Project	MVue	3/16/2018	3/16/2018	3/16/2018	2/9/2018	6/10/2020	817	852
7824-110	D1501014	La Mesa, City of	Alvarado Trunk Sewer	ENas	12/6/2013	5/11/2015	12/6/2013	8/1/2011	1/25/2016	259	1,638
8394-110	D1901038	La Mesa, City of	Parkway Drive and Alvarado Road	MCal	3/14/2018	12/28/2018	12/28/2018	12/28/2018	7/7/2020	557	846
7869-110	13824	Lake Berryessa Resort	Publicly Owned Treatment Works	KWar	8/23/2013	9/26/2013	8/23/2013	9/26/2013	6/30/2017	1,373	1,407
8210-210	D1704003	Lake County Sanitation	Anderson Springs Septic to Sewer	FFua	3/14/2017	5/5/2017	5/8/2017	7/27/2017	9/15/2017	50	185
3700923-002C	D1802000	Lake Morena's Oak	Eastside Pipeline Looping and	PSta	8/23/2016	5/9/2017	7/7/2017	6/7/2017	8/21/2019	775	1,093
1710022-008C	D1702039	Lake, County of (CSA 20)	Soda Bay Water System	RMit	5/15/2015	6/16/2017	2/8/2017	5/15/2015	12/18/2017	185	948
4300779-001C	D1702031	Lakeside Joint School	Lakeside Joint School District Water	GCha	4/19/2017	4/19/2017	4/19/2017	5/4/2017	6/18/2018	410	425
1500525-001C	D1602071	Lakeview Ranchos	Arsenic Exceedance Compliance	DRio	12/7/2016	2/1/2017	12/21/2016	9/26/2016	8/3/2017	183	311
1000053-004C	D1502033	Lanare Community	Distribution System Replacement	DRio	10/30/2014	10/30/2014	10/30/2014	10/30/2014	8/25/2016	665	665
4500210-006C	D1902001	Lassen Pines Mutual	Water Storage Improvements	ANun	6/6/2018	6/6/2018	6/8/2018	1/29/2019	9/13/2019	227	464
5301003-001C	D1702060	Lewiston Community	Trinity Dam Blvd Tank	DRio	11/30/2016	1/26/2017	1/26/2017	1/10/2017	4/5/2018	434	491
8048-210	D1704015	Lewiston Community	Wastewater Collection, Treatment	FFua	3/6/2017	3/5/2017	8/18/2017	3/5/2017	5/8/2018	263	429

All Programs - Application Efficiency Report

for those contracts executed between 7/1/2015 and 1/26/2021

Project Number	Contract Number	Party	Project Name	PM	General Package Rec'd	Technical Package Rec'd	Financial Package Rec'd	Environmental Package Rec'd	Agreement Execution Date	Difference (days) for Complete Applications	Difference (days) for Partial Applications
7887-210	D1801006	Live Oak, City of	WWTP Solar Installation	KWar	8/22/2016	1/26/2017	2/28/2017	2/6/2017	5/4/2020	1,161	1,351
2410004-002C	D1502037	Livingston, City of	Well #13 Arsenic Removal	JBla	2/4/2015	2/4/2015	2/4/2016	2/4/2015	6/1/2016	118	483
2410004-003C	D1802003	Livingston, City of	Livingston WS Improvements	JB	7/18/2017	2/9/2018	2/26/2018	9/20/2017	10/25/2018	241	464
8036-210	D1901011	Loleta Community	Sanitary Sewer Collection System	FFua	3/16/2018	7/1/2019	4/22/2019	3/16/2018	2/14/2020	228	700
5800803-001C	D1702052	Loma Rica Water	Reservoir Replacement Project	JBla	6/16/2016	1/9/2017	1/9/2017	11/28/2016	7/17/2018	554	761
5410017-003C	D1902023	London Community	Water System Reliability Project	JGre	4/3/2016	4/3/2016	12/21/2017	10/1/2017	6/16/2020	908	1,535
8200-110	D1605016	Los Angeles, City of	Griffith Park South Water Recycling	ENas	1/29/2016	5/17/2016	6/30/2016	4/18/2016	7/6/2017	371	524
1910067-011C	D1702079	Los Angeles, City of	Upper Stone Canyon Reservoir	MTam	12/6/2016	12/6/2016	2/13/2017	2/13/2017	10/2/2018	596	665
1910067-035C	D1702080	Los Angeles, City of	99th Street Wells Ammoniation	MTam	4/11/2016	4/11/2016	2/13/2017	7/18/2016	10/1/2018	595	903
1910067-048C	D1702081	Los Angeles, City of	Silver Lake Reservoir Complex	MTam	6/24/2014	5/25/2016	2/13/2017	6/24/2014	10/1/2018	595	1,560
1910067-053C	D1502014	Los Angeles, City of	Eagle Rock Reservoir Floating	MTam	8/21/2014	8/21/2014	6/10/2015	8/21/2014	1/4/2016	208	501
1910067-054C	D1702082	Los Angeles, City of	Elysian Reservoir Water Quality	MTam	9/23/2015	9/23/2015	2/13/2017	9/23/2015	7/31/2018	533	1,042
8005-110	14827	Los Carneros Water	Los Carneros Water District -	JHac	1/13/2014	1/20/2015	8/7/2014	3/18/2014	6/5/2017	867	1,239
5210003-001C	D1702055	Los Molinos Community	LMCSD Arsenic Compliance and	GCha	5/17/2016	10/13/2016	9/12/2016	9/1/2016	3/8/2018	511	660
5210003-001C	D1702055	Los Molinos Community	LMCSD Arsenic Compliance and	GCha	5/17/2016	10/13/2016	9/12/2016	9/1/2016	7/6/2020	1,362	1,511
0910007-002C	D1902021	Lukins Brothers Water	Lukins GAC Treatment Plant	OG	6/7/2019	7/2/2019	10/12/2018	12/23/2016	12/4/2019	155	1,076
2000554-002C	D1902012	Madera, County of	MD33 Fairmead - Drinking Water	JHol	12/7/2017	12/19/2017	7/2/2018	5/24/2017	12/26/2019	542	946
2010008-003C	D1702069	Madera, County of	MD10A Madera Ranchos -	PSta	4/1/2017	9/21/2017	4/1/2017	4/1/2017	2/8/2018	140	313
1010042-014C	D1602072	Malaga County Water	Malaga County Water District	MRei	3/29/2016	4/4/2017	12/15/2016	6/16/2016	8/7/2017	125	496
8018-110	D1501033	Malibu, City of	Malibu Civic Center Wastewater	AZel	4/1/2014	1/30/2015	2/6/2015	4/20/2015	5/19/2016	395	779
3910005-001C	D1902047	Manteca, City of	Nile Garden School - Well 30 Water	GCha	10/14/2019	10/31/2019	10/22/2019	10/12/2018	10/15/2020	350	734
8184-110	D1701011	Marina Coast Water	Regional Urban Water	JHac	12/1/2015	3/7/2016	3/23/2016	4/19/2016	1/25/2018	646	786
8184-120	D1701045	Marina Coast Water	Regional Urban Water	JHac	12/1/2015	3/7/2016	3/23/2016	4/19/2016	6/27/2018	799	939
8089-110	D1601031	Mariposa Public Utility	Wastewater Treatment Facility	LAna	3/6/2015	2/1/2016	7/27/2016	4/28/2016	4/17/2017	264	773
8034-110	D1501012	McKinleyville	Wastewater Management Facility	LAna	6/6/2014	7/31/2015	6/4/2015	10/10/2014	11/2/2015	94	514
8221-110	D1701033	McKinleyville	MCSD Wastewater System Energy	LAna	5/4/2016	8/16/2017	2/28/2017	8/15/2017	6/20/2018	308	777
1010021-001C	D1902033	Mendota, City of	Mendota Automatic Meter Reading	JGre	3/25/2016	10/12/2016	6/21/2017	4/6/2016	4/29/2020	1,043	1,496
8062-110	D1601005	Modesto, City of	North Valley Regional Recycled	DHou	10/7/2014	11/17/2015	10/27/2015	7/29/2015	7/19/2016	245	651
1510014-003C	D1802011	Mojave Public Utility	Emergency Roof Repair at the Two	JHol	3/9/2017	3/9/2018	8/16/2017	3/6/2018	5/23/2019	440	805
8028-110	D1601033	Monterey One Water	Pure Water Monterey	JHac	5/28/2014	11/30/2015	11/2/2015	11/18/2015	4/12/2017	499	1,050
8279-110	D1604029	Monterey One Water	Farmworker Housing Complex	PUpp	2/17/2017	2/17/2017	12/7/2016	11/16/2016	6/27/2017	130	223
8174-210	D1701041	Mt. Shasta, City of	State Mandated Wastewater	MSid	6/7/2017	6/22/2017	6/19/2017	1/26/2017	5/23/2018	335	482
8039-110	D1701030	Murphys Sanitary District	Wastewater Treatment Plant	GBha	5/24/2017	6/9/2017	6/7/2017	12/13/2016	5/23/2018	348	526
8244-110	D1901016	Napa Sanitation District	Browns Valley Road Sewer	CCol	4/22/2016	3/14/2018	8/4/2016	7/26/2017	1/15/2020	672	1,363
8250-110	D1701025	Napa Sanitation District	Recycled Water Reservoir	AZel	1/25/2017	9/8/2016	1/25/2017	1/25/2017	3/2/2018	401	540
8311-110	D1601037	Napa, County of	MST Recycled Water Pipeline	JHac	9/7/2016	9/7/2016	9/7/2016	11/7/2016	7/17/2017	252	313

All Programs - Application Efficiency Report

for those contracts executed between 7/1/2015 and 1/26/2021

Project Number	Contract Number	Party	Project Name	PM	General Package Rec'd	Technical Package Rec'd	Financial Package Rec'd	Environmental Package Rec'd	Agreement Execution Date	Difference (days) for Complete Applications	Difference (days) for Partial Applications
3610032-001C	D1902030	Needles, City of	Lilly Hill Booster Station	PSta	5/30/2017	3/21/2019	3/20/2019	3/20/2019	5/11/2020	417	1,077
8077-110	D1601030	Nevada County Sanitation	Cascade Shores Community Leach	FFua	3/26/2015	3/27/2015	2/29/2016	1/15/2016	6/23/2017	480	820
7851-210	D1804000	Newell County Water	Newell Wastewater System	PUpp	4/16/2018	7/6/2018	4/18/2018	6/12/2017	1/30/2019	208	597
5010013-001C	D1902028	Newman, City of	Newman Well 10 Project	MTam	3/7/2018	6/13/2018	1/30/2019	10/16/2018	6/17/2020	504	833
1710008-001C	D1902005	Nice Mutual Water	Meter Renovation Project	FRam	10/22/2018	10/8/2018	5/29/2019	3/21/2018	2/12/2020	259	693
8086-110	D1501034	North Marin Water	Recycled Water Expansion to	SKal	2/12/2015	4/29/2015	10/21/2015	11/17/2015	6/17/2016	213	491
4500190-001C	D1602082	Oak Run Elementary	Oak Run Well Replacement Project	MNga	9/6/2016	10/18/2016	10/3/2016	12/21/2016	12/28/2017	372	478
8101-110	D1501016	Orange County Water	Orange County Water District - La	JHac	5/5/2015	6/4/2015	6/3/2015	5/7/2015	2/17/2016	258	288
8252-110	D1701017	Orange County Water	Mid Basin Centennial Park Injection	JHac	5/9/2016	5/5/2016	5/20/2016	5/5/2016	11/21/2017	550	565
8290-110	D1901035	Orange County Water	Groundwater Replenishment System	JHac	9/22/2016	9/22/2016	9/22/2016	9/22/2016	10/5/2020	1,474	1,474
8307-110	D1901036	Orange County Water	Water Production Flow	JHac	11/3/2016	11/3/2016	11/3/2016	11/3/2016	10/5/2020	1,432	1,432
8474-110	D1901004	Oxnard, City of	Emergency Project $9.5M Grant	ENas	12/21/2018	1/11/2019	1/11/2019	1/11/2019	12/20/2019	343	364
8026-110	D1501021	Pacific Grove, City of	Pacific Grove Local Water Project	JHac	4/18/2014	1/27/2015	3/2/2015	1/20/2015	4/5/2016	400	718
8133-110	D1601025	Padre Dam Municipal	Padre Dam Water Recycling	DHou	7/13/2015	10/29/2015	11/3/2015	10/16/2015	4/20/2017	534	647
8072-110	D1501022	Pajaro Valley Water	Pajaro Valley WMA - Recycled	SKal	10/22/2014	2/23/2015	7/9/2015	5/4/2015	5/13/2016	309	569
8072-120	D1501023	Pajaro Valley Water	Pajaro Valley WMA - Recycled	SKal	10/22/2014	2/23/2015	7/9/2015	5/4/2015	5/13/2016	309	569
8072-130	D1501024	Pajaro Valley Water	Pajaro Valley WMA - Recycled	SKal	10/22/2014	2/23/2015	7/9/2015	5/4/2015	5/13/2016	309	569
8122-110	D1601023	Palm Springs, City of	WWTP Head Works and Clarifier	EBro	6/8/2015	3/15/2016	3/7/2016	8/20/2015	5/9/2017	420	701
8190-110	D1601034	Palo Alto, City of	Sludge Dewatering and Loadout	EBro	1/11/2016	2/23/2016	4/19/2016	3/31/2016	6/7/2017	414	513
1300616-001C	D1602055	Palo Verde County Water	Palo Verde County Water District	BPau	9/9/2016	9/1/2016	11/22/2016	6/7/2016	3/14/2017	112	280
8142-110	D1801018	Patterson, City of	Wastewater Treatment Plant	MCal	9/8/2015	3/21/2018	8/18/2017	4/8/2016	8/28/2019	525	1,450
8157-110	D1605015	Petaluma, City of	Expansion of Petaluma Recycled	AZel	4/6/2016	4/18/2016	7/13/2016	7/14/2016	4/10/2017	270	369
8166-110	D1601021	Piedmont, City of	Sanitary Sewer Rehabilitation -	EBro	10/29/2015	1/5/2016	6/30/2016	3/28/2016	1/5/2017	189	434
0310005-001C	D1902022	Pine Grove Community	Water Tanks Replacement Project	ANun	6/22/2018	7/5/2018	7/6/2018	4/4/2019	6/16/2020	439	725
7856-110	D1501036	Pinole, City of	Pinole-Hercules WPCP	JFeg	1/22/2014	2/25/2016	4/10/2015	7/14/2014	6/17/2016	113	877
0900309-001C	D1502045	Pioneer Union School	Mountain Creek School Water Tank	RMit	6/25/2015	9/4/2015	12/30/2015	6/8/2015	7/6/2016	189	394
8015-110	D1501026	Pismo Beach, City of	Sludge Dewatering Improvements	JFeg	3/13/2014	5/6/2015	12/2/2014	11/7/2014	6/9/2016	400	819
8016-110	D1501027	Pismo Beach, City of	Five Cities Lift Station Replacement	JFeg	3/14/2014	2/2/2016	12/1/2014	11/6/2014	6/9/2016	128	818
3110005-006C	D1802012	Placer County Water	Castle City Water System	KPad	12/28/2016	8/14/2017	8/14/2017	2/8/2018	7/3/2019	510	917
8269-110	D1604033	Planada Community	PCSD Solar Generation System at	MSid	9/8/2016	9/12/2016	10/17/2016	9/27/2016	8/2/2017	289	328
4000774-001C	D1602062	Pleasant Valley Joint	Repair, Replace and Modernize the	LSan	10/12/2016	10/12/2016	8/9/2016	10/11/2016	6/7/2017	238	302
8024-110	D1501003	Pleasanton, City of	City of Pleasanton - Recycled Water	SKal	5/6/2014	5/5/2014	9/16/2014	9/25/2014	7/3/2015	281	424
8024-110	D1501003	Pleasanton, City of	City of Pleasanton - Recycled Water	SKal	5/6/2014	5/5/2014	9/16/2014	9/25/2014	12/8/2015	439	582
7852-120	14821	Plymouth, City of	Wastewater Improvement Project	FFua	11/15/2013	11/15/2013	1/1/2017	5/19/2014	3/23/2017	81	1,224
1510016-005C	D1902052	Rand Communities Water	Rand Communities Water District	DRio	7/12/2017	1/23/2020	2/6/2018	3/14/2018	10/27/2020	278	1,203
1210022-002C	D1702050	Resort Improvement	Shelter Cove Water Tank	DRio	7/7/2016	9/8/2017	4/5/2017	3/27/2017	2/8/2018	153	581

All Programs - Application Efficiency Report

for those contracts executed between 7/1/2015 and 1/26/2021

Project Number	Contract Number	Party	Project Name	PM	General Package Rec'd	Technical Package Rec'd	Financial Package Rec'd	Environmental Package Rec'd	Agreement Execution Date	Difference (days) for Complete Applications	Difference (days) for Partial Applications
1210012-007C	D1602014	Rio Dell, City of	Metropolitan Wells Development	KWar	3/25/2016	8/11/2015	4/1/2016	6/11/2015	10/21/2016	203	498
8135-210	D2001000	Riverdale Public Utility	Wastewater Treatment Plant	MSid	11/20/2017	11/25/2019	11/13/2019	5/7/2018	8/26/2020	275	1,010
8004-120	D1501006	Rodeo Sanitary District	Construction for Sewer Year 2	JFeg	12/3/2013	12/3/2013	12/3/2013	2/4/2014	9/21/2015	594	657
8004-130	D1501032	Rodeo Sanitary District	Construction for Sewer Year 3	JFeg	12/3/2013	12/3/2013	12/3/2013	2/4/2014	8/16/2016	924	987
8004-140	D1501008	Rodeo Sanitary District	Construction for Influent Pump	JFeg	12/3/2013	12/3/2013	12/3/2013	2/4/2014	3/10/2016	765	828
8004-150	D1501020	Rodeo Sanitary District	Construction WWTP Project	JFeg	12/3/2013	12/3/2013	12/3/2013	2/4/2014	3/10/2016	765	828
1510018-016C	D1902051	Rosamond Community	RCSD Arsenic Regional	PSta	10/5/2017	2/3/2020	11/19/2019	3/8/2018	8/5/2020	184	1,035
8215-110	D1901013	Roseville, City of	Pleasant Grove Wastewater	JFeg	2/12/2018	6/9/2017	10/10/2017	4/18/2017	6/11/2020	850	1,150
8215-210	D1901012	Roseville, City of	Pleasant Grove Wastewater	JFeg	2/12/2018	6/9/2017	10/10/2017	4/18/2017	6/15/2020	854	1,154
8324-110	D1701028	Running Springs Water	Automatic Meter Reading (AMR)	MCal	12/22/2016	3/31/2017	3/8/2017	7/11/2017	5/1/2018	294	495
8397-110	D1901000	Sacramento Area Sewer	Freeport Septic Conversion Project	JQui	10/16/2017	6/19/2018	12/17/2018	7/30/2018	10/1/2019	288	715
8025-140	D1501005	Sacramento Regional	Echo Water Project - Segment 4 -	EBro	8/20/2014	2/6/2015	10/10/2014	10/29/2014	7/17/2015	161	331
8025-150	D1501018	Sacramento Regional	Echo Water Project - Segment 5 -	EB	8/20/2014	2/6/2015	10/10/2014	10/29/2014	4/5/2016	424	594
8025-160	D1501030	Sacramento Regional	Echo Water Project - Segment 6 -	EBro	8/20/2014	2/6/2015	10/10/2014	10/29/2014	6/27/2016	507	677
8025-170	D1501035	Sacramento Regional	Echo Water Project - Segment 7 -	EB	8/20/2014	2/6/2015	10/10/2014	10/29/2014	6/30/2016	510	680
8025-180	D1601008	Sacramento Regional	Echo Water Project - Segment 8 -	EBro	8/20/2014	2/6/2015	10/10/2014	10/29/2014	2/21/2017	746	916
8082-110	D1501015	Sacramento Regional	Regional San/SPA/City of	EBro	1/15/2015	5/7/2015	6/11/2015	5/22/2015	3/21/2016	284	431
3410020-034C	D1702056	Sacramento, City of	Meter and Pipe Installation	JRue	3/16/2017	1/20/2017	2/24/2017	3/16/2017	12/5/2017	264	319
5304501-006C	D1902025	Salyer Mutual Water	Waterline Replacement	DRio	2/7/2018	2/7/2018	7/1/2019	1/8/2019	1/21/2020	204	713
7842-120	D1704001	San Andreas Sanitary	San Andreas Wastewater Treatment	FFua	9/22/2016	11/22/2016	11/22/2016	11/22/2016	8/16/2017	267	328
3600196-007C	D1902029	San Bernardino, County	CSA 70 W-4 Pioneertown & Hi	MRei	9/4/2015	3/6/2018	10/26/2017	8/2/2018	4/20/2020	627	1,690
3710020-074C	D1602102	San Diego, City of	69th Street and Mohawk Pump	JBla	6/17/2015	11/9/2016	12/13/2016	12/29/2016	10/30/2017	305	866
8032-110	D1701008	San Diego, City of	Pump Station 2 Power Reliability &	JFeg	3/24/2014	8/27/2014	5/16/2016	5/8/2015	3/14/2018	667	1,451
8110-110	D1505015	San Diego, City of	San Diego, City of - Sorrento Mesa	SKal	6/16/2015	9/10/2015	8/27/2015	6/24/2015	4/20/2016	223	309
8064-110	D1501009	San Francisco, Public	Lake Merced Green Infrastructure	SKal	10/24/2014	12/3/2014	4/14/2015	3/20/2015	1/12/2016	273	445
8088-110	D1701004	San Francisco, Public	CWWSIPSE05 - SEP 521/522 and	SKal	3/5/2014	9/11/2015	9/16/2016	1/6/2016	9/28/2017	377	1,303
8111-110	D1701001	San Francisco, Public	San Francisco Westside Recycled	DHou	5/18/2015	11/18/2015	11/18/2015	11/4/2015	9/19/2017	671	855
8129-110	D1701002	San Francisco, Public	North Point Facility Outfall	GBer	7/2/2015	9/29/2015	11/18/2015	10/26/2015	9/21/2017	673	812
8132-110	D1701003	San Francisco, Public	CWWSIPSE04 - SEP	SKal	8/6/2015	8/10/2015	9/16/2016	1/6/2016	9/21/2017	370	777
8371-110	D1901027	San Francisco, Public	CWWSIPTPOP03 OSP Digester	DHou	6/28/2017	8/17/2017	10/27/2017	7/28/2017	5/7/2020	923	1,044
8372-110	D1901029	San Francisco, Public	CWWSIPDP01 SEP Biosolids	DHou	6/28/2017	10/26/2017	1/18/2018	12/26/2017	5/7/2020	840	1,044
1010034-001C	14619	San Joaquin, City of	Water Meter Installation	FRam	8/21/2014	8/21/2014	8/21/2014	8/21/2014	9/2/2015	377	377
7832-210	D1604020	San Joaquin, City of	Sewer Collection System	PUpp	5/4/2016	5/4/2016	6/29/2016	5/9/2016	1/27/2017	212	268
8029-110	D1801003	San Luis Obispo, City of	San Luis Obispo Water Resource	AZel	6/5/2014	3/13/2017	2/9/2017	5/9/2017	11/27/2018	567	1,636
1000112-002C	D1602024	Sanger Unified School	Fairmont School Safe Drinking	JGre	5/15/2015	6/1/2016	7/14/2016	6/1/2016	12/2/2016	141	567
8189-110	D1601011	Sanitation Districts of Los	District 2 - Joint Outfall "B" Unit	MCal	12/14/2015	12/14/2015	3/8/2016	3/16/2016	2/6/2017	327	420

All Programs - Application Efficiency Report

for those contracts executed between 7/1/2015 and 1/26/2021

Project Number	Contract Number	Party	Project Name	PM	General Package Rec'd	Technical Package Rec'd	Financial Package Rec'd	Environmental Package Rec'd	Agreement Execution Date	Difference (days) for Complete Applications	Difference (days) for Partial Applications
8204-110	D1601012	Sanitation Districts of Los	District 2 - Joint Outfall "A" Unit 6	MCal	2/1/2016	2/1/2016	3/8/2016	3/10/2016	2/6/2017	333	371
8205-110	D1601013	Sanitation Districts of Los	District 2 - Joint Outfall "D" Units 7	MCal	2/1/2016	2/1/2016	3/11/2016	3/14/2016	2/6/2017	329	371
8226-110	D1701016	Sanitation Districts of Los	Joint Outfall - San Jose Creek Water	MCal	3/14/2016	3/14/2016	7/8/2016	7/1/2016	1/11/2018	552	668
4210010-005C	D1502006	Santa Barbara, City of	Desalination Plant Reactivation	JRue	12/23/2014	12/23/2014	12/23/2014	6/19/2015	9/11/2015	84	262
8035-110	D1901034	Santa Clarita Valley	UV Disinfection Facilities Project	MCal	2/6/2015	6/20/2018	1/31/2018	2/5/2018	6/24/2020	735	1,965
8156-110	D1901017	Santa Clarita Valley	Advanced Water Treatment Facility	MCal	10/5/2015	6/20/2018	4/12/2018	2/14/2019	6/24/2020	496	1,724
8134-110	D1701046	Santa Cruz County	Soquel Pump Station Force Main	CCol	7/30/2015	7/15/2016	10/25/2016	10/28/2015	9/25/2018	700	1,153
4410010-002C	D1902049	Santa Cruz, City of	Newell Creek Dam Inlet-Outlet	TGui	6/25/2018	8/21/2019	1/28/2019	5/20/2019	9/23/2020	399	821
8060-110	D1601026	Santa Margarita Water	Trampas Canyon Recycled Water	AZel	9/10/2014	12/1/2015	12/1/2015	11/28/2015	3/26/2017	481	928
8211-110	D1701006	Santa Monica, City of	Sustainable Water Infrastructure	JFeg	2/10/2016	6/28/2016	5/23/2016	9/30/2016	9/21/2017	356	589
2410018-002C	D1602090	Santa Nella County Water	Mobile Home Park Water Metering	PSta	2/12/2016	2/12/2016	2/12/2016	12/15/2016	7/17/2017	214	521
8128-110	D1701024	Santa Rosa Regional	Santa Rosa Wastewater Facility	JFeg	9/25/2015	9/27/2016	3/7/2017	1/11/2017	1/2/2018	301	830
8268-110	D1701040	Selma-Kingsburg-Fowler	McCall Avenue Sewer R&R	JQui	6/16/2016	10/25/2017	10/26/2017	2/13/2017	7/16/2018	263	760
4510013-004C	D1602060	Shasta Community	Shasta CSD Tanks/Pump Stations	MRei	1/7/2016	9/30/2016	8/26/2016	1/8/2016	5/25/2017	237	504
8041-110	D1601029	Shasta Lake, City of	City of Shasta Lake Wastewater	MSid	7/13/2016	9/24/2015	7/13/2016	8/7/2015	5/16/2017	307	648
8085-210	D1701043	Shasta, County of	CSA 17 Wastewater Treatment	FFua	1/23/2017	1/23/2017	5/25/2017	6/15/2017	5/30/2018	349	492
8085-310	D1801011	Shasta, County of	CSA 17 Collection System	FFua	1/23/2017	1/23/2017	5/25/2017	6/15/2017	3/5/2020	994	1,137
4600019-002C	D1602052	Sierra County (Calpine)	Calpine Metering Project	PSta	5/28/2015	9/14/2016	5/11/2016	12/4/2015	3/14/2017	181	656
2600622-001C	D1702098	Sierra East Homeowners'	Water System Improvement Project	BPau	12/1/2016	12/1/2016	7/26/2017	1/1/2017	10/9/2018	440	677
7882-110	D1501004	South Coast Water	Tunnel Stabilization & Sewer	CCol	11/7/2013	2/18/2014	8/4/2014	3/22/2014	11/18/2016	837	1,107
1910154-001C	D1702066	South Pasadena, City of	GRAVES RESERVOIR	TGui	3/16/2016	4/17/2017	3/8/2017	8/7/2017	4/27/2018	263	772
8033-110	D1801004	South San Francisco, City	South San Fran/San Bruno Water	CCol	7/3/2017	7/3/2017	7/3/2017	7/3/2017	1/9/2019	555	555
0910002-010C	D1502052	South Tahoe Public	Water Meter Installation - Phase 2	JRue	9/9/2014	2/9/2016	4/8/2016	9/9/2014	8/16/2016	130	707
0910002-027C	D1702053	South Tahoe Public	Waterline Replacement Program	JRue	12/16/2016	2/13/2017	2/13/2017	2/13/2017	2/2/2018	354	413
8042-110	D1501010	South Tahoe Public	Luther Pass Pump Station Power	CCol	8/15/2014	3/25/2015	2/27/2015	3/25/2015	10/1/2015	190	412
8057-110	D1601006	South Tahoe Public	Treatment Plant Primary Clarifier	CCol	10/1/2014	1/13/2016	1/26/2016	3/29/2016	10/18/2016	203	748
8066-110	D1601007	South Tahoe Public	Aeration Basin 2 Rehabilitation	CCol	10/24/2014	9/23/2015	4/8/2016	3/29/2016	10/18/2016	193	725
8220-110	D1701007	South Tahoe Public	Water Meter Installations Phase 3-5	CCol	3/8/2016	6/22/2016	10/11/2016	9/27/2016	9/28/2017	352	569
8183-110	D1604025	Stanislaus, County of	Airport Sewer Project	MSid	6/30/2016	6/10/2016	6/30/2016	6/10/2016	12/16/2016	169	189
5400824-001C	D1902018	Sultana Community	Sultana - Monson Safe Drinking	BPau	6/8/2017	12/28/2017	3/2/2018	9/13/2017	12/3/2019	641	908
8153-110	D1601024	Sunnyvale, City of	Headworks and Primary Treatment,	EBro	10/1/2015	11/24/2015	2/26/2016	12/17/2015	4/28/2017	427	575
5100107-008C	D1702070	Sutter, County of	Robbins Water Meter Installation	MNga	12/14/2016	10/13/2016	5/10/2017	1/31/2017	4/5/2018	330	539
8217-110	D1701022	Templeton Community	Upper Salinas River Basin	CCol	3/9/2016	6/20/2016	10/12/2016	7/7/2016	12/22/2017	436	653
4901267-001C	D1702003	TLC Child and Family	Arsenic Mitigation Plan	MRei	12/20/2016	3/2/2017	11/2/2016	1/27/2017	10/12/2017	224	344
1910160-009C	D1702034	Tract 349 Mutual Water	New Water Well at Site 2	FRam	7/11/2016	5/31/2017	7/27/2016	2/14/2017	10/30/2017	152	476
5400550-001C	D1702094	Tulare, County of	Replace Seville Water Distribution	BPau	11/8/2016	1/11/2018	10/6/2016	2/21/2018	11/28/2018	280	783

All Programs - Application Efficiency Report

for those contracts executed between 7/1/2015 and 1/26/2021

Project Number	Contract Number	Party	Project Name	PM	General Package Rec'd	Technical Package Rec'd	Financial Package Rec'd	Environmental Package Rec'd	Agreement Execution Date	Difference (days) for Complete Applications	Difference (days) for Partial Applications
8247-210	D1901033	Tuolumne City Sanitary	TCSD WWTP Improvement Project	JQui	1/23/2018	6/2/2019	6/11/2019	7/20/2018	6/16/2020	371	875
8237-110	D1701050	Turlock, City of	North Valley Regional Recycled	DHou	4/13/2016	8/16/2016	8/18/2017	9/26/2016	8/21/2018	368	860
8076-110	D1601035	Ukiah, City of	Recycled Water Pipeline Project	JHac	11/30/2014	11/23/2015	11/30/2015	4/20/2015	7/17/2017	595	960
3610050-001C	D1902008	Upland, City of	Replacement of 7.5 MG Reservoir at	MTam	6/14/2017	8/30/2018	9/11/2018	12/27/2017	12/11/2019	456	910
1910163-001C	D1702004	Valencia Heights Water	Reservoir No. 2 Pump Station and	MVue	5/24/2016	6/21/2016	7/26/2016	7/27/2016	1/25/2018	547	611
3710026-001C	D1602016	Valley Center Municipal	Cool Valley Reservoir Cover/Liner	JBla	3/9/2016	3/15/2016	3/15/2016	10/5/2015	11/8/2016	238	400
8116-110	D1601003	Valley Sanitary District	Requa Avenue Sewer Interceptor	EBro	6/3/2015	1/13/2016	2/24/2016	12/8/2015	8/16/2016	174	440
4806-110	13847	Victor Valley Wastewater	Apple Valley Subregional	DHou	1/27/2014	2/9/2012	2/9/2012	5/17/2012	11/6/2015	648	1,366
7215-110	13818	Visalia, City of	Visalia, City of - Water	JHac	10/16/2013	10/16/2013	4/25/2013	9/18/2013	11/17/2015	762	936
1910169-001C	D1902037	Walnut Park Mutual	Water Meter Replacement	LSan	2/28/2018	3/2/2018	2/28/2018	2/28/2018	6/16/2020	837	839
1910169-001C	D1902037	Walnut Park Mutual	Water Meter Replacement	LSan	2/28/2018	3/2/2018	2/28/2018	2/28/2018	6/17/2020	838	840
1000221-001C	D1502039	Washington Unified	Washington Union High School	JGre	1/7/2015	1/7/2015	1/7/2015	10/16/2015	6/9/2016	237	519
0019001-001C	D1702077	Water Replenishment	Maywood Avenue Well	LSan	10/17/2017	12/7/2017	12/29/2017	12/29/2017	8/15/2018	229	302
0019001-001C	D1702077	Water Replenishment	Maywood Avenue Well	LSan	10/17/2017	12/7/2017	12/29/2017	12/29/2017	8/15/2018	229	302
8096-110	D1601014	Water Replenishment	Groundwater Reliability	JHac	8/13/2015	8/24/2015	9/29/2015	7/24/2015	10/27/2016	394	461
0054005-001C	D1602085	Water Resources,	Okieville Highland Acres	BPau	7/27/2016	11/17/2016	7/27/2016	7/27/2016	5/17/2017	181	294
5410010-017C	D1602087	Water Resources,	East Porterville Water Supply	PSta	1/31/2017	1/31/2017	1/31/2017	3/8/2017	5/16/2017	69	105
8011-110	D1601017	Watsonville, City of	Freedom Sanitation Trunk Sewer	MCal	2/28/2014	7/6/2015	6/8/2016	5/5/2016	2/24/2017	261	1,092
8021-110	D1501001	Watsonville, City of	Manana Lane Sanitary Sewer	MCal	8/26/2014	9/2/2014	3/9/2015	10/16/2014	12/18/2015	284	479
5400795-001C	D2002008	Waukena Joint Union	Waukena Elementary Water System	PSta	6/25/2019	8/8/2019	6/25/2019	12/24/2019	11/9/2020	321	503
8159-210	D1801000	Weed, City of	Sewer Replacement Project	PUpp	9/5/2017	1/17/2018	9/29/2017	10/23/2017	3/6/2019	413	547
8084-110	D1601022	West Basin Municipal	Carson Regional Water Recycling	DHou	1/30/2015	10/13/2015	4/11/2016	10/14/2015	1/20/2017	284	721
8163-110	D1601018	West Bay Sanitary District	West Bay Sanitary District Recycled	DHou	11/24/2015	11/24/2015	11/24/2015	12/1/2015	5/9/2017	525	532
5000408-001C	D1802001	Westley Community	Westley Community Services	ASto	8/17/2016	8/17/2016	3/27/2017	6/21/2017	8/23/2019	793	1,101
0610004-001C	D1902041	Williams, City of	Williams Water System	FRam	6/1/2017	12/9/2019	3/14/2019	10/8/2019	8/5/2020	240	1,161
5957-210	D1704005	Willow Creek Community	Downtown Wastewater	LAna	12/22/2015	4/14/2016	6/30/2016	11/16/2015	11/3/2017	491	718
5957-310	D1701037	Willow Creek Community	Willow Creek Downtown	LAna	2/25/2016	6/13/2016	3/20/2016	6/22/2016	6/26/2018	734	852
5100145-001C	D1702095	Winship-Robbins	Winship Elementary School Well #2	FRam	1/12/2017	1/18/2017	9/11/2017	3/15/2017	8/3/2018	326	568
8075-110	D1501031	Woodland, City of	City of Woodland Industrial Park	SKal	9/19/2014	2/6/2015	6/30/2015	4/23/2015	7/11/2016	377	661
2000567-002C	D1802018	Yosemite Unified School	Yosemite Unified School District	LSan	1/9/2018	5/2/2018	3/15/2018	11/17/2017	12/10/2019	587	753
4710011-001C	D1902043	Yreka, City of	City of Yreka E. Lennox Street	KPad	10/6/2017	11/8/2017	11/3/2017	1/10/2018	6/18/2020	890	986
8253-110	D1701023	Yuba City, City of	Water Smart Meter Replacement -	EBro	5/13/2016	12/22/2016	1/17/2017	6/23/2016	5/18/2018	486	735
Projects with Incomplete Data											
P84E-5401038-003	D1503027	Akin Water Company	Akin WC Bacteriological	OGue					3/4/2016		
D1712501	D1712501	Alameda County Water	Old Jarvis Road Irrigation Well	DCon	11/21/2016				8/17/2018		634
36044	D1502055	American Water Works	PWS Capacity Development						6/8/2016		

All Programs - Application Efficiency Report

for those contracts executed between 7/1/2015 and 1/26/2021

Project Number	Contract Number	Party	Project Name	PM	General Package Rec'd	Technical Package Rec'd	Financial Package Rec'd	Environmental Package Rec'd	Agreement Execution Date	Difference (days) for Complete Applications	Difference (days) for Partial Applications
D15-12121	D1512121	Anaheim Union School	Katella High School Stormwater						8/29/2016		
D1612674	D1612674	Anaheim, City of	La Palma & Richfield Storm Drain	ANoo	7/8/2016				1/10/2018		551
D1712673	D1712673	Anaheim, City of	Modjeska Park Underground Storm	ANoo	7/8/2016				12/1/2017		511
D15-12102	D1512102	Anderson Valley Unified	Anderson Valley US LID Retrofit						4/5/2016		
D16-12106	D1612106	Atascadero Unified	Atascadero Junior High School	KLis					9/29/2016		
PDE-2010003-001	D1503013	Bass Lake Water	Install Temporary Storage Tanks						8/7/2015		
PDE-2310009-001	14609	Brooktrails Township	Seismoelectric Survey						7/10/2015		
D16-12116	D1612116	Butte County Office of	Regional Stormwater Learning Lab	BDav					11/8/2016		
SC002		Carolyn Stein	FORMER PALOMAR CLEANERS	AKub					2/10/2017		
D15-12118	D1512118	Chico Unified School	Chico USD LID Implementation	BDav					6/1/2016		
SC009		City of Sacramento	Micheletti - El Monte	KDom			3/3/2016		5/19/2017		442
P84C-1910066-	D1603004	Clan Keith Real Estate	Arsenic exeecdance - remediation	LSan					5/31/2017		
SC001		Claudette Earl	FORMER EARL	AKub			3/9/2016		3/2/2017		358
PDE-0600012-002	D1503017	Colusa, County of	Water hauling project	JGar					10/30/2015		
P84E-1710022-001	D1503012	County of Lake	Lake County CSA 20 - Soda Bay	OGue					9/8/2015		
PDE-5410016-001	D1503011	Cws - Visalia	Connect Private Home						11/13/2015		
SC017		David Throgmorton	Throgmorton's	AKub			3/10/2016		3/8/2017		363
SC018		Deborah Drucker	Country Hills Cleaners	KDom			2/28/2017		9/19/2017		203
D1812522	D1812522	Department of Toxic	Whittier Narrows Operable Unit	TCar	6/26/2017				3/13/2019		625
SC013		Department of Toxic	Hytone Cleaners	KDom					10/19/2017		
P84E-1510006-001	D1503004	East Niles Community	Wilson Road (PWS#1500494)						7/10/2015		
D1712512	D1712512	Eastern Municipal Water	Perris II Reverse Osmosis Treatment	ARan	1/30/2017				8/8/2018		555
D1912536	D1912536	Eastern Municipal Water	Perris North Basin Groundwater	ARan	3/4/2019				6/9/2020		463
x-32188		Edwin Sauls	Live Wire Cleaners	DKen			3/7/2016		4/26/2017		415
SC005		Eklof, Inc	Eklof, Inc Groundwater Cleanup	KDom			3/16/2016		5/24/2017		434
D15-12128	D1512128	Encinitas Union School	Encinitas Union School District						8/16/2016		
SC019		Eric Realty Inc.	La Mirada	DKen			3/14/2016		6/8/2017		451
SC020		Eric Realty Inc.	Eric Realty San Bernardino	DKen			3/14/2016		6/8/2017		451
D16-12120	D1612120	Fontana USD	Fontana USD Watershed Education	RMor					12/16/2016		
D1712671	D1712671	Fresno Metropolitan	Fresno Storm Water Capture,	ANoo	7/8/2016				3/2/2020		1,333
D15-12114	D1512114	Fresno Unified School	Fresno Unified Green Infrastructure	DPed					8/29/2016		
D1812524	D1812524	Fresno, City of	PCE Groundwater Cleanup Project	ARan	5/18/2017				4/10/2019		692
3527-030	D1501013	Fresno, County of	CSA 44D Wastewater Treatment	JH					12/17/2015		
PDE-1000019-001	D1503031	Fresno, County of	Offset increased water cost	JGar					6/28/2016		
D16-12124	D1612124	Garden Grove USD	Garden Grove USD	RJaw					10/24/2016		
D1712668	D1712668	Gateway Water	John Anson Ford Park Infiltration	SJop	7/8/2016				1/22/2018		563

All Programs - Application Efficiency Report

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Project Number	Contract Number	Party	Project Name	PM	General Package Rec'd	Technical Package Rec'd	Financial Package Rec'd	Environmental Package Rec'd	Agreement Execution Date	Difference (days) for Complete Applications	Difference (days) for Partial Applications
D1712670	D1712670	Grass Valley, City of	Stormwater Management and	BDav	7/8/2016				3/21/2018		621
x-32043		Gregory Village Partners	Former P&K Cleaners	AKub			3/10/2016		3/8/2017		363
SC003		Haden Co. INC.	FORMER DINUBA DRY	AKub			3/10/2016		1/27/2017		323
PDE-1600507-001	D1503030	Hardwick Water	Construct Well and Pipeline	JGar					6/15/2016		
D1712669		Hermosa Beach, City of	Hermosa Beach Greenbelt	SJop	7/6/2016				3/5/2018		607
PDE-2010007-001	D1503018	Hillview Water Company	Permanently Connect Private Well	JGar					9/8/2015		
PDE-2010012-002	D1503009	Hillview Water Co-	Permanently Connect Private Well	JGar					9/14/2015		
D1612676	D1712676	Imperial Beach, City of	Low Impact Development Urban	ANoo	7/7/2016				10/27/2017		477
P84E-1300616-001	D1503024	Imperial, County of	Palo Verde CSD Emergency	GCha					1/12/2016		
3849-030	13835	Inland Empire Utilities	Central Area Recycled Water	JGar	4/5/2012	1/14/2014		6/14/2013	6/15/2016		1,532
D1712507	D1712507	Inland Empire Utilities	Chino Basin Improvement and	KSmi	11/14/2016				3/7/2019		843
D1712672	D1712672	Inland Empire Utilities	Wineville, Jurupa, and RP-3 Basins	RMor	7/8/2016				6/12/2018		704
SC004		Jack Schuringa	Palo Verde Valley Laundry &	AKub			3/2/2016		3/2/2017		365
SC012	D1610012	Jessica Kim	Serrano Plaza				3/21/2016		6/29/2017		465
P84C-1610009-	D1602023	Kettleman City	Arsenic exceedence - remediation	JQui	11/1/2011				2/17/2017		1,935
5010009-003C	D1602054	Keyes Community	Regional Benefit Arsenic Mitigation	PSta					2/17/2017		
P84E-1000316-001	D1503003	Kings Canyon Unified	Kings Canyon HS (PWS#1000316)	LSil					7/23/2015		
P84C-1000053-	D1503001	Lanare Community	Construction project to install two	DRio	10/30/2014				9/28/2015		333
P84E-0900410-004	D1503022	Latrobe School District	Latrobe ES bottled/hauled water	LSil	9/22/2015				12/11/2015		80
D1712509	D1712509	Los Angeles Department	North Hollywood West Remediation	DCon	12/9/2016				1/17/2018		404
D1912533	D1912533	Los Angeles Department	North Hollywood Central	DC					12/9/2020		
D1912534	D1912534	Los Angeles Department	Tujunga Remediation	DC					12/9/2020		
D1812518	D1812518	Los Angeles Flood	West Coast Basin Barrier Project	RGui	2/2/2017				2/20/2019		748
D15-12130	D1512130	Los Angeles USD	LAUSD 2014 Storm Water	ANoo					4/12/2016		
D1712660	D1712660	Los Angeles, City of	Tujunga Spreading Grounds	RMor	7/8/2016				8/29/2018		782
D1712664	D1712664	Los Angeles, County of	Gates Canyon Park Project	RMor	7/7/2016				10/26/2018		841
D1812665	D1812665	Los Angeles, County of	East LA Sustainable Median Storm	RMor	7/7/2016				5/16/2019		1,043
D1912531	D1912531	Los Angeles, County of	Alamitos Barrier Project Unit 15	ARan	2/14/2019				8/31/2020		564
D1612107	D1612107	Lucia Mar USD	LMUSD Ground Water Recovery						6/8/2017		
P84E-0910007-001	D1503008	Lukins Brothers Water	PCE MCL - Rockwater Apartments	OGue	10/20/2014				8/19/2015		303
x-33076		Marti Ginder	Shell Anderson (Dotzenrod)	DKen					9/19/2017		
x-32173		Maurice Cappelluti	Madera Cleaners	DKen			3/18/2016		11/22/2017		614
PDE 2210905-001	D1503002	McClure Boat Club, Inc.	Storage tanks and extension of	JGar					9/24/2015		
P84C-1510013-	D1503015	McFarland, City of	New well and wellhead treatment	DRio	8/8/2014				9/14/2015		402
x-33511		Mildred Sanchez	Redwood Empire Cleaners	DKen			4/5/2016		4/17/2017		377
P84E-2801080-001	D1503029	Milton Road Water	Napa earthquake - Well replacement	GCha					7/8/2016		

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D1712502	D1712502	Modesto, City of	Destruction of Water Supply Wells	KSmi	11/18/2016				5/16/2018		544
x-32825		Mohammad Shamshad	Superstar Plus Service Station	AKub			3/8/2016		8/14/2017		524
D1912532	D1912532	Monterey County Water	Protection of Domestic Drinking	DCon	3/2/2019				6/18/2020		474
D1712659	D1712659	Monterey One Water	MRWPCA and City of Salinas		7/8/2016				10/27/2017		476
D-32	D1612141	Monterey Peninsula	Water Shed and Water Conservation						5/10/2017		
x-33183		Nancy Ley	Valerteria	DKen			2/16/2016		7/5/2017		505
D1712675		National City, City of	Paradise Creek Biofiltration	DCha	7/8/2016				5/9/2018		670
D15-12122	D1512122	Newport-Mesa Unified	Davis Magnet School Outdoor	DPed					7/14/2016		
D1612101	D1612101	Northern Humboldt Union	Sinkin the Stormwater in Humboldt						2/17/2017		
D1712503	D1712503	Orange County Water	North Basin Extraction Well EW-1	ARan	10/21/2016				3/1/2018		496
P84C-3400332-	D1503016	Oxbow Marina	Arsenic exceedence - Intertie with	GCha	7/26/2011				12/8/2015		1,596
D1712658		Pacific Grove, City of	Pacific Grove Monterey ASBS Wet-	RAit	7/8/2016				2/20/2018		592
PDE-5200534-002	D1503007	Paskenta Community	Hauled water and purchase variable						8/6/2015		
D16-12108	D1612108	Paso Robles Joint USD	Paso Robles Joint USD LID Project	RMor					9/19/2016		
D15-12119	D1512119	Perris Elementary School	Clearwater Project: A Stormwater	RMor					9/21/2016		
P84C-1000207-	D1502011	Pershing High School	Nitrate & Uranium Exceedence -	JGre	3/5/2014				11/13/2015		618
P84C-5410009-	D1503006	Pixley Public Utilities	Water Supply and Distribution	OGue	6/13/2014				9/10/2015		454
PDE-2400065-002	D1503028	Plainsburg Union	600 ft domestic water supply well	JGar					6/16/2016		
P84E-5401038-002	D1503019	Porterville, City of	Akin WC emergency intertie with	OGue					2/4/2016		
P84C-1502724-	D1503021	Quail Valley Water Dist-	Arsenic, antimony, fluoride	OGue	1/26/2015				12/8/2015		316
P84C-2700706-	D1503020	Queen Motel WS	Consolidation with California Water	DRio					10/30/2015		
x-33129		Ray Rangwala	Esteem Cleaners	KDom			3/10/2016		10/5/2017		574
D1712655	D1712655	Redwood City, City of	Redwood City Sustainable Streets		7/7/2016				9/14/2018		799
P84C-1600048-	D1703002	Reef-Sunset Unified	Water and Irrigation System	GCha	4/6/2016				7/11/2018		826
x-35785		Richard Gould	Former Sierra Chemical	DKen			12/21/2016		1/9/2018		384
D16-12125	D1612125	Romoland School District	Harvest Valley Elementary School	RMor					9/26/2016		
8556-110	D2001001	San Diego, City of	Proposition 68 - Pure Water Project	JFeg					9/1/2020		
0		San Gabriel Valley Water	San Gabriel Valley Plant B6 Project	ARan	6/30/2017				2/14/2019		594
D15-12109	D1512109	San Luis Obispo County	Rancho El Chorro Water						6/30/2016		
D15-12105	D1512105	Santa Cruz City Schools	Bay View Elementary School LID	RAit					8/26/2016		
D1612657	D1612657	Santa Maria, City of	Main Street Subwatershed	RMor	7/7/2016				9/15/2017		435
PDE-4100533-001	D1503025	Skylonda Mutual Water	Emergency Connection	JGar					12/22/2015		
D1912537	D1912537	Soquel Creek Water	Pure Water Soquel: Groundwater	TCar					7/2/2020		
D1712666	D1712666	South Gate, City of	South Gate Urban Orchard	SJop	7/8/2016				10/26/2018		840
D1612129	D1612129	Temecula Valley Utility	Great Oak High School Storm	RMor					9/26/2016		
x34002		Te-Ming Lin	Fashion Master Cleaner	AKub			7/20/2016		10/9/2017		446

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x-32645		The Earl M. Donahue	Earl Donahue Trust	AKub					8/28/2017		
D1712661	D1712661	The Trust for Public Land	Central-Jefferson High Green Alley	DCha	7/8/2016				3/12/2020		1,343
D1612662	D1612662	Torrance, City of	Walnut Storm Water Capture And	ANoo	7/8/2016				11/2/2017		482
D1712651		Trinidad Rancheria	Trinidad Harbor ASBS Storm Water		7/8/2016				8/9/2018		762
D1712652	D1712652	Trinidad, City of	City of Trinidad Storm Water		7/8/2016				10/26/2018		840
0054003-001L	D1502021	Tulare, County of	Monson Water System Entity	PSta					11/6/2015		
D15-12115	D1512115	Twin Ridges Elementary	Grizzly Hill Stormwater						5/3/2016		
D-34	D1612140	Ukiah Unified School	Russian River LID Demonstration						2/14/2017		
SC023		Vaughn Karabedian	Spring Cleaners	DKen			3/15/2016		5/31/2017		442
D1612667	D1612667	Ventura, County of	Piru Storm Water Capture for	SJop	7/8/2016				8/24/2017		412
5610015-001C	D1902042	Ventura, County of	Well No. 2 Iron and Manganese	JHol	8/26/2019			10/3/2019	10/29/2020		430
D1612677	D1612677	Vista, City of	South Santa Fe Green Street	ANoo	7/7/2016				8/10/2017		399
PDE-2910013-001	D1503010	Washington Ridge	Water hauling and rehab existing						7/30/2015		
D1812506	D1812506	Water Replenishment	Los Angeles Forebay Perchlorate	TCar	11/18/2016				11/21/2018		733
D1912535	D1912535	Water Replenishment	Well Destruction Program Project	KSmi					6/16/2020		

The CA CWSRF:

Review of the Loan Award and Disbursement Processes

Appendix D

EPA Webinar Slides on Streamlining SRF Programs

EPA Webinar:

Streamlining CWSRF and DWSRF Programs

September 14, 2021

Clean Water State Revolving Fund

Protect Our Health from Source to Tap • Drinking Water State Revolving Fund

1

Streamlining SRF Programs

Efforts to examine SRF loan processes, offerings, and requirements to determine whether they:

Effectively and efficiently achieve their mission; and

Can be modified, eliminated, or consolidated to make the SRF process more cost effective, shorter, and less onerous to borrowers

2

History of State and EPA Efforts on Streamlining

Ongoing evolution of state efforts to make the Program more efficient have resulted in changes to all aspects of the loan process - e.g.,

- Streamlined preapplication and priority setting
- IUP fundable list management
- Frequent borrower programs (requirement review and multiyear arrangements)
- Assistance with requirements (ER, DB, Crosscutters)

EPA has encouraged SRF streamlining for decades

- Management studies directly funded by EPA or state funded through NB contract
- Annual reviews are intended to improve process and ensure compliance
- Agency has even used noncompliance enforcement on several occasions to force states to address program pace and streamlining

3

SRF Program Streamlining Drivers

Driver: Moving the money!
- Pace and ULOs…and now undisbursed funds on hand
- Surging resources => this won't be getting easier

Driver: Growth in experience with program process over time
- Moving away from "This is how we have always done it."
- Big benefits possible from streamlining

Driver: Respond to continual program changes & new requirements
- Incremental program changes created a need to consider efficiency overall
- Incremental change and new demands for information means more work

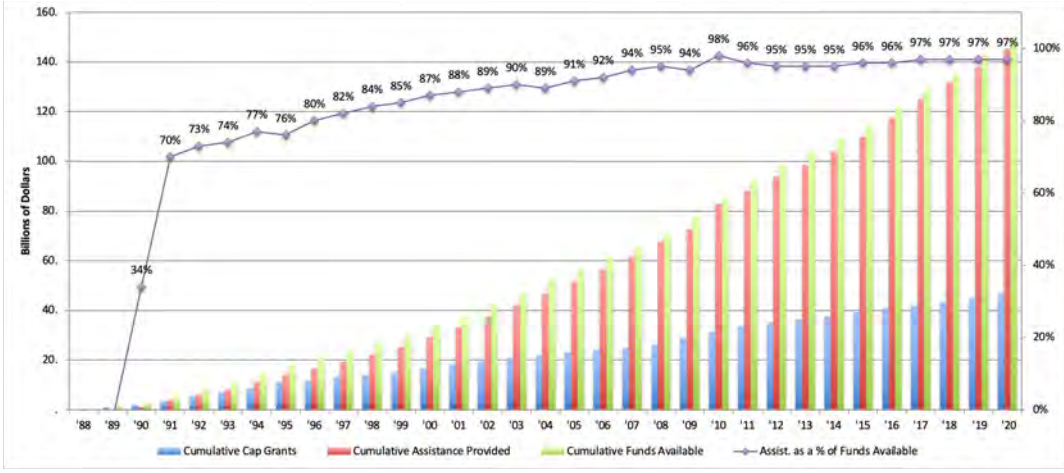
Driver: Streamlining to Stay Competitive
- SRF Interest Rates vs Market Rates
- Time is $…sweeten the deal by making SRF financing easier and faster

Driver: State workload
- Explosive program growth while states face hiring freezes, retirements, and difficulty attracting new staff

Driver: Writing on the wall
- Surveys and focus groups underscore that customers expect more today
- Move away from one-size-fits-all approach

4

Driver: Moving the Money! Pace and ULOs… and Now - Undisbursed Funds



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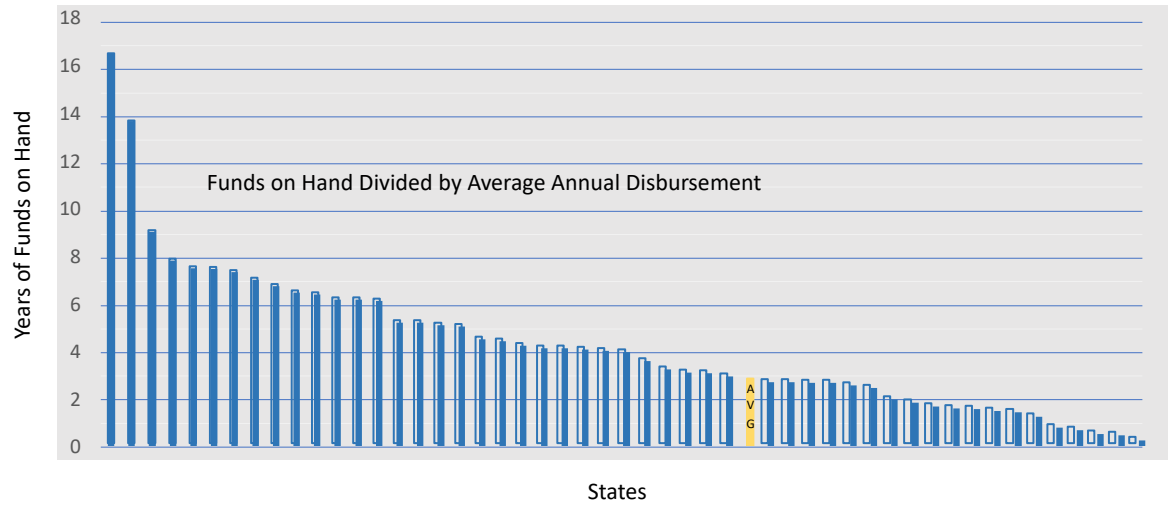
Driver: Buildup of Funds in SRF Accounts (2020)



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Driver: Growth in State Experience with Program Process Over Time

- Move away from "This is how we have always done it"
- State see good ways to address the most negatively viewed portions of the loan process – e.g.,
- Related to requirements:
  - Environmental review – Iowa conducts them for the applicants
  - Crosscutters – States implemented a state level review to reduce the need to get concurrence from crosscutter agency
- Related to process:
  - Application – reduced information requested and loan application
  - Loan types – Programmatic Financing, multiyear commitments

Success of states' streamlining shows the effort is worth it!

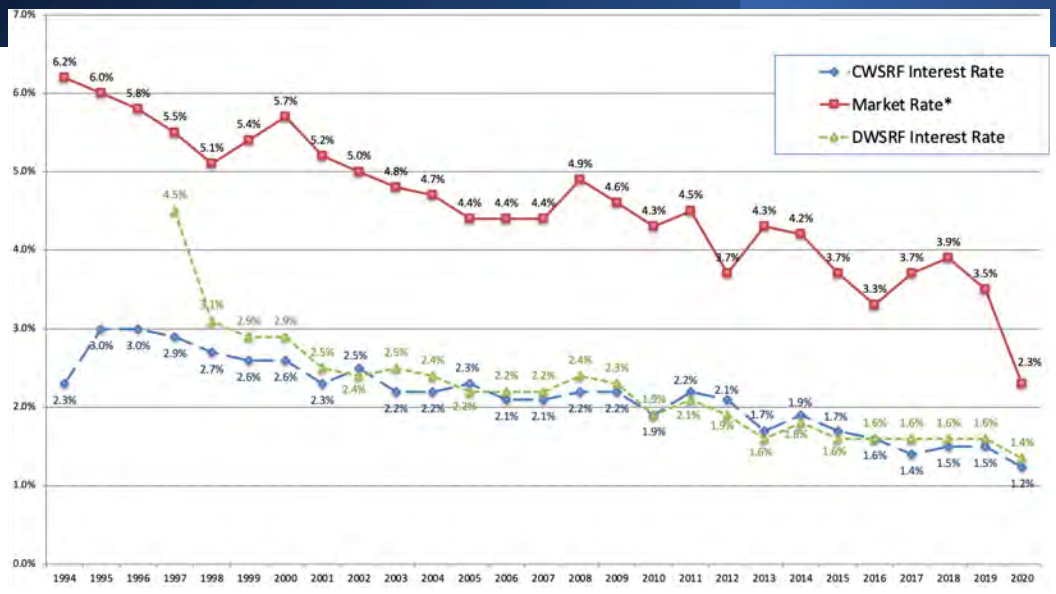
7

Driver: Need to respond to continual changes and new requirements

Federal Requirements	Year Added
1. Davis-Bacon	• 1987, 2014 (WRRDA), 2009-2013 via ARRA and appropriations
2. American Iron & Steel	• 2014 (WRRDA)
3. FFATA	• 2009 (ARRA)
4. Single Audit – Review Recipient Audit	• 1987, 2007 memo requiring SRFs to review recipient audits
5. Fiscal Sustainability Plans	• 2014 (WRRDA)
6. Green Project Reserve	• 2009 (ARRA then continuous appropriations)
7. A/E Procurement	• 2014 (WRRDA)
8. Cost & Effectiveness	• 2014 (WRRDA)
9. Public Awareness ("Signage")	• 2015 (EPA Policy)
10. Environmental Review & Cross-Cutters	• 1987 (CWA Title VI)
11. Additional Subsidy	• 2009 (ARRA then continuous appropriations)

8

Driver: Streamlining to Stay Competitive
SRF Interest Rates vs Market Rates



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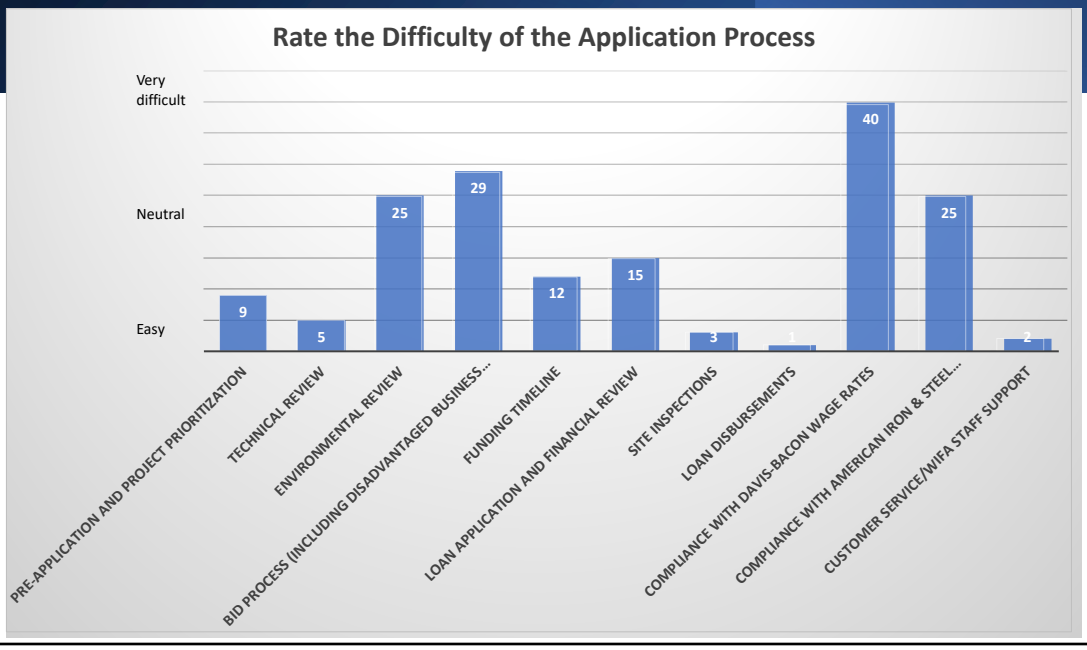
Driver: Writing On The Wall: 2019 Survey of Borrowers



10

2019 Survey of Consulting Engineers

- Why haven't you recommended the SRF to your client?
  - 18 options
  - Top 3:
    - Timing—SRF would take too long (47%)
    - Burdensome Application Process (37%)
    - Burdensome Financial Review (32%)
- What SRF program changes would make you more likely to recommend the SRF to clients in the future?
  - 23 options (including a lower interest rate and loan forgiveness)
  - Top 2:
    - Faster funding decisions & more transparent (79%)
    - Streamlined application process (75%)

11

2019 Survey of SRF Stakeholders

- Which of the following program changes make you more likely to use the CWSRF in the future?
  - 18 options provided
  - Top 3 responses:
    - Single application process for multiple funding sources (88%)
    - Streamlined application process (80%)
    - Upfront planning and design funding (76%)

12

2018 Survey of SRF Stakeholders

- In the past, why have you chosen not to apply to the SRF?
  - Top 2 answers:
    - Program requirements 30%
    - Timeline for obtaining funding 26%

13

2021 Survey of Consultants

- Most Painful Step of CWSRF Process:
  - Length of time to receive a loan (25%)
- Which program change would make you more likely to recommend the CWSRF (asked of consultants)?
  - Less time between application and funds becoming available (62%)
  - Streamlined application process (42%)
  - Less stringent requirements for design approval prior to application (35%)
  - Easy and quick access to interest-free funding for planning and design (31%)

14

2021 Survey of Communities

- Most Painful Step of CWSRF Process:
  - AIS (10%)
- Which program change would make you more likely to recommend the SRF Program?
  - Streamlined application process (45%)
  - Easy and quick access to interest-free funding for planning and design (39%)
  - Faster funding decisions (32%)
  - Less time between application and funds becoming available (31%)

15

When Is the Time Right to Streamline?

- Factors to consider:
  - This is a continuous challenge for states…not a one-time effort
  - At the rate of growth of the SRFs the need to streamline will increase
  - Do it before a huge wave of funding like ARRA
  - Best to do it before other massive program changes, like implementing a new loan management system
  - Stability in state and agency leadership

16

Who Are the Streamlining Players?

- Who is involved in streamlining? No single right answer:
  - State staff (key vs new vs all)
  - Senior management and agency leadership
  - Staff from other agencies
  - Borrowers, consulting engineers, and other stakeholders
  - Third party consultants

17

How Should We Approach Streamlining?

- There isn't one RIGHT way, but more of a spectrum:
  - Comprehensive & holistic OR focused on a specific aspect of the process
  - Target something customer-facing OR resolve a back office or interagency issue
  - Manage internally OR manage with help of a consultant

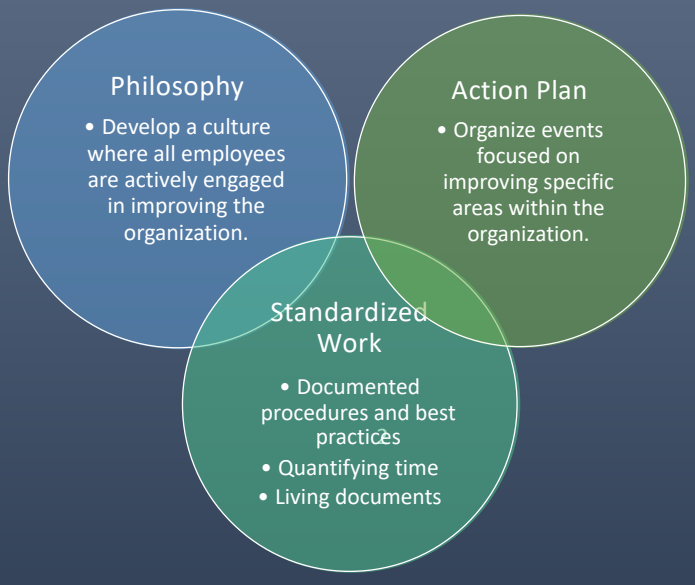
18

The Technical Approach

1

The Philosophy of Efficiency

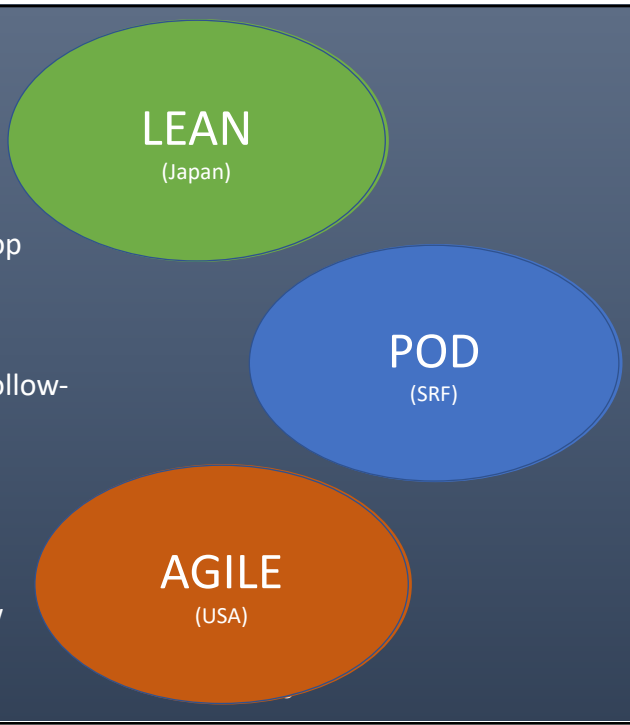
- **Kaizen means IMPROVEMENT**
- Strategy based on 3 key principles
  - Defining value
  - Eliminating waste
  - Standardization
- Combines collective talents
- Creates a powerful engine for continuous improvement
- All about efficiency and adding value!



2

How does it work?

- Working as a group to:
  - Set goals
  - Review the current state and develop plans for improvement
  - Implement improvements
  - Review and fix what doesn't work
  - Report results and determine any follow-up items
- Using the PDCA method
  - Plan – develop a hypothesis
  - Do – run experiment
  - Check – evaluate results
  - Act – refine experiment, start a new cycle



3

Practical Application in the SRF

Using Surveys & Focus Groups

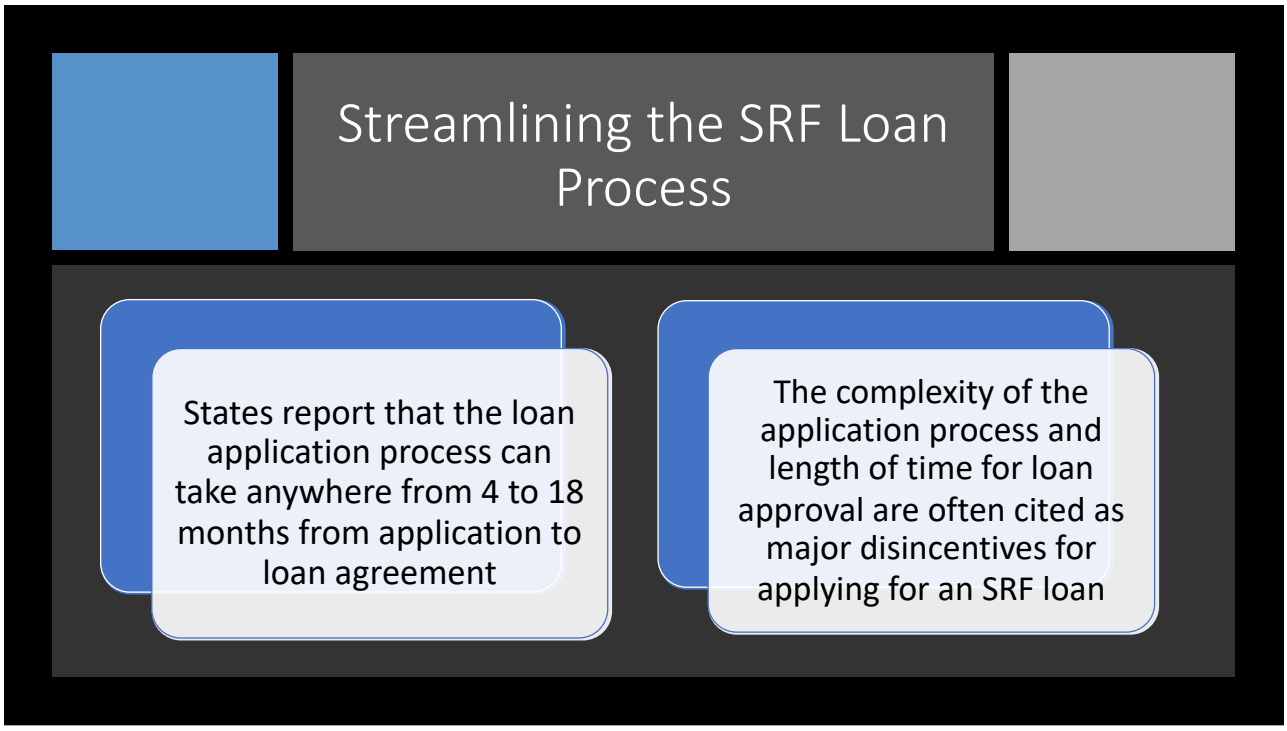
Deep Dives with State SRF Programs

4

4


What's the Holdup Here??
• Complaints Department
➢You take too long
➢Your process is too cumbersome
➢I keep getting different reviewers
➢Your guidance is too…
➢Lengthy and confusing loan applications
➢Complicated environmental review process
➢Sluggish loan review and approval processes
• "Streamlining" is an ongoing goal among state SRF programs
TIME IS MONEY

5


Streamlining the SRF Loan Process
States report that the loan application process can take anywhere from 4 to 18 months from application to loan agreement
The complexity of the application process and length of time for loan approval are often cited as major disincentives for applying for an SRF loan

6

Two-Track Process

Streamline the Application

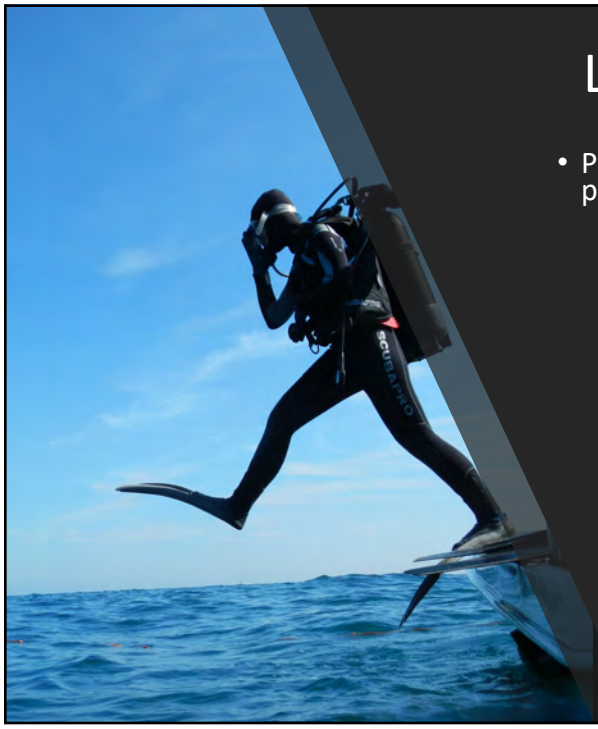
- Requirements
- Application forms
- Assistance in navigating loan process

Streamline SRF Reviews

- Streamline "back end" processes among program staff
- What are the "must-haves"
- Reduce the impact of complying with requirements

How do we get there?

7

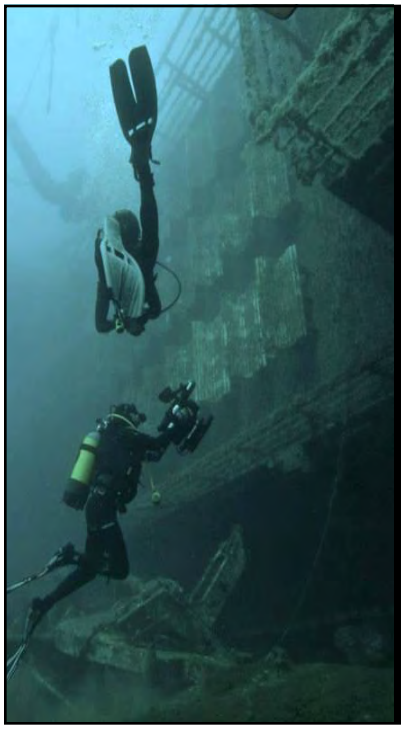


Let's go diving!

- Perform a comprehensive evaluation of your program that includes
  - In-depth analysis of
    - Program documentation (applications, forms and certifications, lending agreements, guidance documents)
    - Financial and accounting practices (cash flows, worksheets, assistance tracking, audits, pace, and compliance)
    - Marketing and Outreach (communications plan, marketing collateral, workshops, website)
    - Staffing and management (SOPs, succession planning, data sharing across cross-functional teams, communication)
  - Interview all staff members (all divisions, all levels)
    - Management, financial, technical, administrative
  - Evaluate the flow of information
    - Between SRF and customer
    - Between internal SRF divisions and staff
    - Between SRF and other state agencies (DOH, DEQ, etc.)

8

8



Document Review: What am I looking for?

- Duplication
  - Is the same information requested from the customer more than once?
  - Are there multiple versions of the same document/worksheet being used among staff?
- What information can be gathered through meetings and discussions instead?
- Are instructions and guidance documents clear and helpful?
- If the applicant needs help completing a document, do they know who to call?
  - Is there a single point of contact?
- Can the information request be simplified (i.e., checkboxes and certifications instead of narrative)?
- How much supporting documentation is required, and can it be limited to high-risk situations only?
- Can documentation be completed, signed and submitted electronically? Is there an option?
- Does the documentation contain obsolete, outdated, or irrelevant information and requirements?
- Have new compliance requirements been properly integrated?
- Is the website easy to navigate? How does the program communicate with customers?

9

9

Eliminate the Obsolete

- Many SRF programs are still requesting items that were required under the Construction Grants Program (R.I.P. 1987) OR are not existing state/federal SRF requirements
  - Facilities Plans
  - Resolution Adopting Facilities Plan
  - EPA Form 4700-4
  - Form SF-424 for Federal Assistance
  - State Clearinghouse Approval Letter
  - Business Cases for GPR Projects
  - Signatory Resolution
  - IRS Resolution of Intent
  - And more . . .
- These may vary depending on YOUR **state SRF requirements**
- Make sure what you're asking for is updated to current standards of requirement

10

Staff Interviews: What am I looking for?

- How does staff use the information provided by the applicant's submittals?
- Is the information received complete, or do they have to chase missing items?
- How long does it take them to perform their review?
  - Are there redundancies?
  - How many people are reviewing the same information?
  - How do staff interface with external state agencies?
  - What causes delays?
- Does staff follow a standardized procedure?
- How do staff in different SRF roles communicate and share information internally?
  - Is there transparency?
- What does the workflow look like?
- What does the accountability structure look like?

11

11

Approaches to Streamline the SRF Review Process

- Increasing responsibilities and decreasing staff levels over time
- Key issue: can "back end" processes be streamlined to help ensure key activities are still completed effectively?
- States employing LEAN techniques or Process Optimization Drills (PODs) to help streamline key points in their processes
  - Process completed in Colorado, California, Hawaii, Illinois, Oregon, more

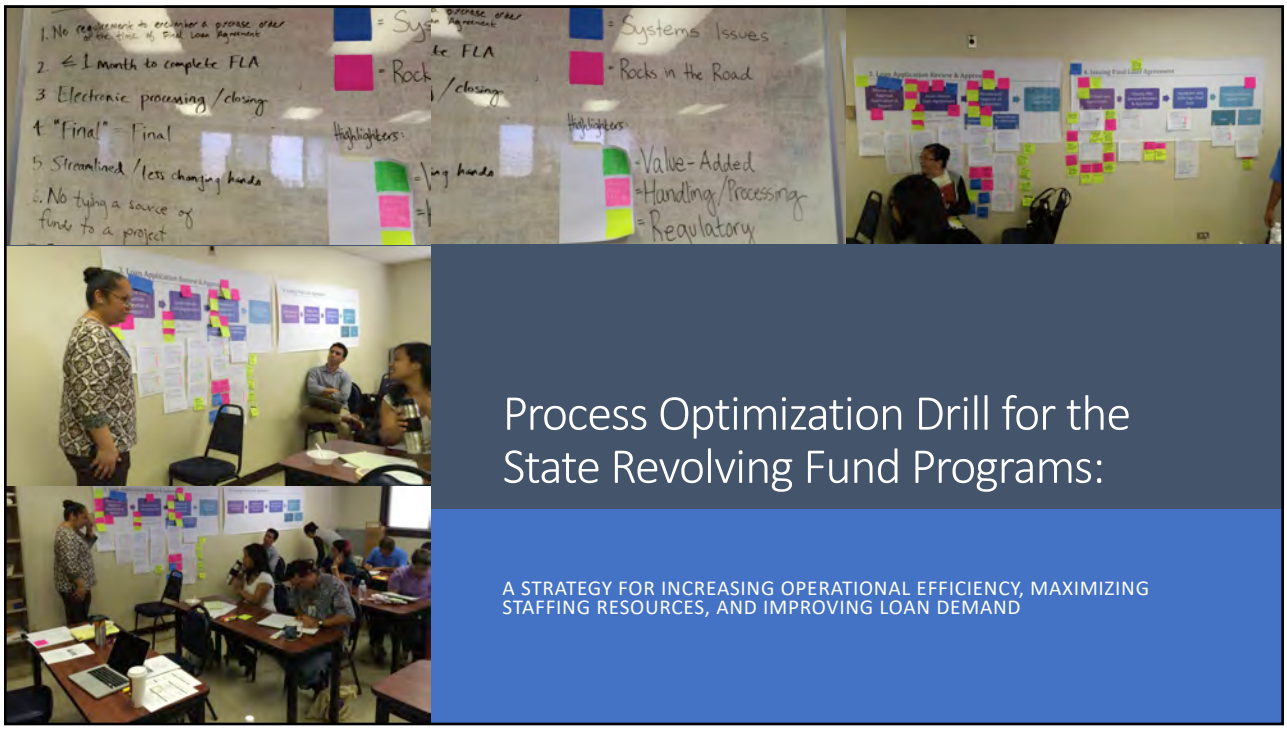
12

After the dive . . .

- You are ready to run an efficiency exercise, which is predicated on:
  - Information gathered during the documentation review.
  - Insights revealed from the staff interviews
  - Valuable context and nuance about program operations and internal relationships
- Chart the right course
- Budget enough time
- Ask the right questions
- Involve the right people
- Articulate roles and responsibilities

13

13



Process Optimization Drill for the State Revolving Fund Programs:

A STRATEGY FOR INCREASING OPERATIONAL EFFICIENCY, MAXIMIZING STAFFING RESOURCES, AND IMPROVING LOAN DEMAND

14

Process Optimization Drill (POD) Outline

1. Map out the project process from pre-application to close-out
2. Identify sticky points in the process
3. Determine how information flows through the system
   - Walk through each step in each process
   - Value-add vs. handling/processing vs. regulatory
4. Decide what information is necessary and what is not
   - Use 80/20 approach: documents/process should work for most, but not necessarily all situations

15

POD Analysis

- Value stream mapping of time/activities
  - Handling/Processing
  - Regulatory Requirement
  - Value-Added
- Hand-Offs and Approvals
  - DWSRF program
  - CWSRF program
  - Comparison
- Swim Lane Diagrams
  - Transportation of information
  - Communication patterns
  - Redundancies

- **Goals:**
- MINIMIZE handling/processing
- MINIMIZE hand-offs and approvals while ensuring adequate checks-and-balances
- IDENTIFY redundancies and efficiency opportunities

16

2. Defining Value in Processes

ACTIVITY	DEFINITION	EXAMPLE	IMPROVEMENT APPROACH
Value	• Meaningful to the borrower • Changes the product or service provided to the borrower • Done right the first time	• Draft Loan Agreement • Issue disbursement check	Link to other activities to improve work flow
Handling/ Processing	• Defects • Overproduction • Waiting • Non-Utilized talents • Transportation • Inventory • Excessive Motion • Excessive Processing	• Errors in applications that need to be redone • Processing more pre-applications than necessary • Waiting for approvals from others (divisions, agencies) • Not asking employees for improvement ideas • Excessive documentation movement • Excess supply, materials, equipment • Excessive research, searching for files and/or information • Redundant approvals, verifications, reviews, inspections	Eliminate
Regulatory Non-Value	• Required by law or regulation	• Prepare IUP • Public Comment Meeting	Automate

GOAL: Have more time defined as "value"!

17

Example: Value vs. Non-Value

Getting a Driver's License

DMV #1	DMV #2	DMV #3
Arrive at DMV	*Arrive at DMV*	*Set up account online with personal information & photo*
Complete forms	**Complete forms**	**Take written exam online**
Wait for testing station	**Take written exam**	**Schedule driving exam online**
Take written exam	**Schedule driving exam**	*Arrive at DMV and sign in at kiosk*
Schedule driving exam	*Depart*	**Take driving exam**
Depart	*Return to DMV*	**Receive permanent license**
Return to DMV	**Take driving exam**	
Complete additional forms	*Take picture*	
Take driving exam	**Receive permanent license in mail**	
Take picture		**Italics = Non-Value*
Receive a temporary license		****Bold = Value**
Receive permanent license in mail		
4 WEEKS	**1.5 WEEKS**	**1-2 DAYS**

18

Identify Rocks in the Road

- What portions of the process consistently take longest or are most difficult to complete?
- Where are the bottlenecks? How is a continuous flow process being impeded?
- In what areas are applicants more likely to submit incomplete information?
- Is the information necessary for loan approval, or just "nice to have"?
- Are disconnected computer or data management systems causing re-work or unnecessary delays?

19

Eliminate Excess

- Types of "excess" include
  - Errors and omissions
  - Delays: waiting for approval, credit reports, TMF info from engineer, attorneys
  - Transportation: moving documentation (loan application) around between agencies, credit reports sent multiple times
  - Inability to locate or access information; finding information is time consuming
  - Inventory – paper, error on priority/eligibility lists, duplicate file entries
- Excess squanders scarce resources (limited budgets and personnel)

20

What Contributes to Excess?

- Geographical distance
- Lack of training
- Lack of or adherence to SOPs
- Batch Production
- Excessive reviews and approvals
- Poor documentation
- Lack of workplace organization
- Planning/scheduling
- Waiting/unresponsiveness
- Inconsistent work methods

- What other contributors can **you** think of?

Example: Top 10 Time-Wasting Activities

1. Development of the Eligibility List
2. Manual data entry of survey results, project prioritization criteria, and correcting transcription errors
3. Incomplete and incorrect information on loan applications submitted by borrowers
4. Multiple hand-offs of documentation between the three administering agencies
5. Use of disconnected systems and excessive formatting and re-working of documents
6. Multiple and fragmented reviews occurring in separate data silos in a linear construct
7. Lack of established deadlines and timelines for submittals resulting in random receipt of information and a chaotic work flow
8. Lack of a center point of accountability, particularly with respect to the development of the Intended Use Plan and where loan applications are submitted
9. Unclear expectations and guidance for borrowers
10. Managing communities entering the program with conceptual projects who are not ready to proceed with a bona fide project

21

Develop Goals and Outcomes

- Increase of Value Activity
- Establish clear processes
  - Clear understanding and expectations from borrowers and stakeholders
  - Reduce false starts
  - Reduce re-work
- Increased efficiency, visibility, and transparency
- Increased ease of use
- Improve communications
- Increased overall satisfaction
  - Staff
  - Borrowers
  - Partners

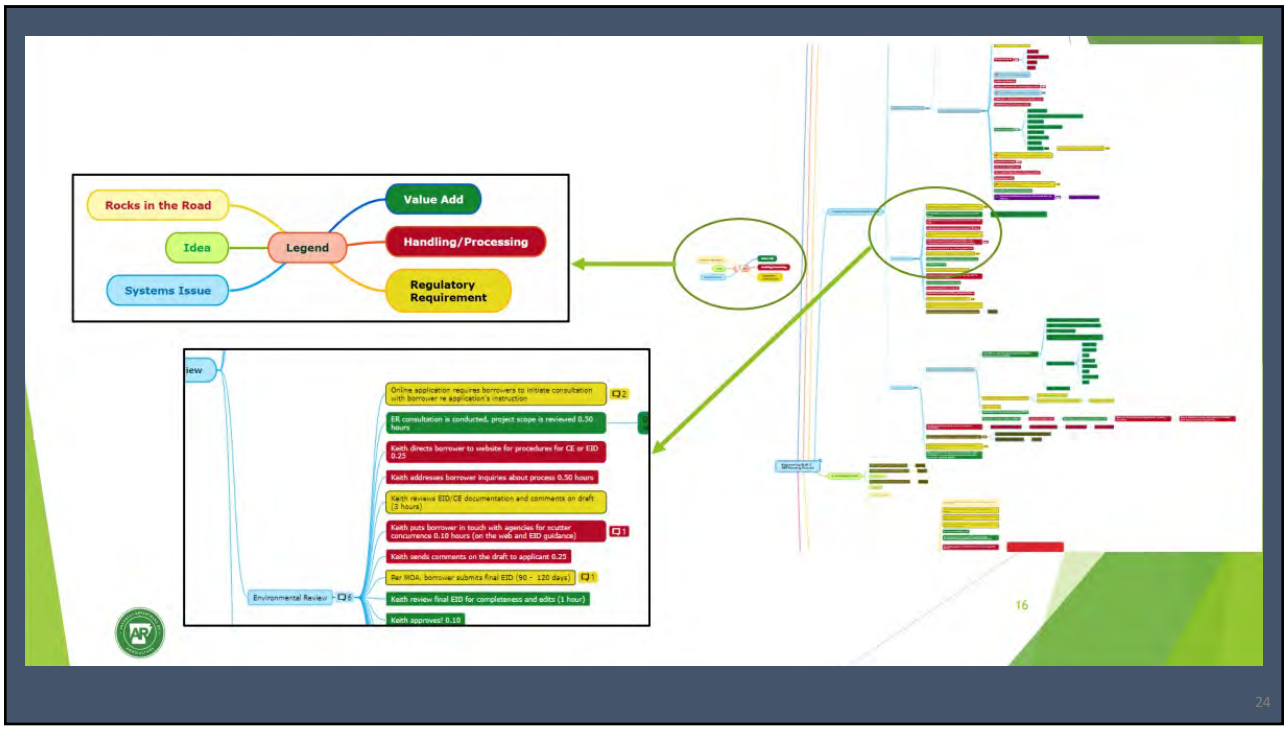
Top 10 Goals for an Ideal Process

1. Automation of systems for applications, project scoring, submission of deliverables, tracking and financial management.
2. A paperless process from beginning to end.
3. Identify true "ready to proceed" projects on the Project Priority List (PPL) using well-defined, measurable criteria.
4. Streamline documentation, review processes, and reduce redundancy and duplication throughout the loan application process.
5. Develop an online PPL application accessible by SRF staff, borrowers, and Department of Health Staff.
6. Mitigate the impacts of federal requirements on SRF staff and borrowers.
7. Increase quantity and quality of customer service provided to borrowers.
8. Increase and improve internal communications.
9. Develop Standard Operating Procedures with detailed instructions.
10. Develop a formalized Communications Strategy.

22


1. Processing Pre-Applications, Ranking Projects and Development of PPL
2. Issuing Invitations to Apply
Determination of WS that will
Statement of Intent (SOI) Returned
POD in Action

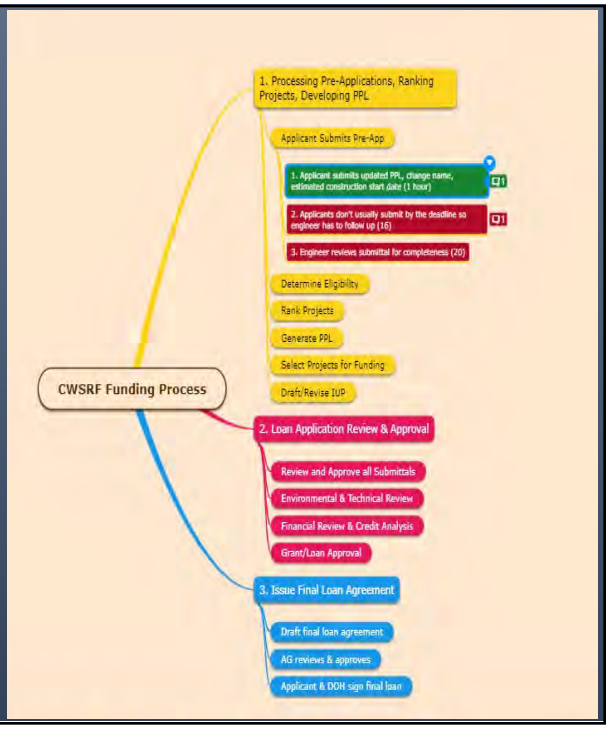
23


Rocks in the Road
Idea
Systems Issue
Legend
Value Add
Handling/Processing
Regulatory Requirement
Online application requires borrowers to initiate consultation with borrower re application's instruction
ER consultation is conducted, project scope is reviewed 0.50 hours
Keith directs borrower to website for procedures for CE or EID 0.25
Keith addresses borrower inquiries about process 0.50 hours
Keith reviews EID/CE documentation and comments on draft (3 hours)
Keith puts borrower in touch with agencies for scutter concurrence 0.10 hours (on the web and EID guidance)
Keith sends comments on the draft to applicant 0.25
Per MOA, borrower submits final EID (90 - 120 days)
Keith review final EID for completeness and edits (1 hour)
Keith approves! 0.10
Environmental Review
16
24

24

Value Stream Mapping

- Example of a VIRTUAL value stream map
- Driven by "nodes"
  - Parent
  - Child
  - Grandchild
    - Process data collection sheets prepared for all activities



25

CORRECT Process Step Information Sheet

Newater SRF Process Optimization Drill

Process Step: Rank pre-apps Performed By: Sarah, Finance Unit

# of People: 5 # of Hand-Offs 2 # of Approvals 1
Average Lead Time: 28.5 hours

Task #	Description	Task Time	V	H/P	R
1	Receive pre-application and log into tracking spreadsheet	1			
2	Prepare transmittal and send to Engineering Unit	0.5			
3	Engineering reviews for completeness	1			
4	Collect missing documentation and information	24			
5	Approve and rank pre-application on PPL	2			
	TOTAL	28.5			

26

	Eligibility Survey	
Lead Time	410 Hours	
	Append contact info on list	16
	Mail merge	1
	Develop survey	3
	email or mail survey	16
	Email or mail to violators	2
	send blank surveys	1
	receive surveys and update list	168
	send out for comment	1
	2nd round of comments	1
	compile and implement comments	10
	GLW Q&A	18
	final list	10
	append to IUP	2
	Appendix B	
	Verify listed on Appendix A	4
	NOI Status	6
	Eligibility Assessment	2
	PER Status (submitted)	2
	Construction status	2
	Verify with PM on Project status	6
	Project scop for Green	8
	Determine DAC status	4
	Identify loan terms	4
	Final list sort	0.5
	Final Q & A	2
	append to IUP	0.5
	WQCC Approval	

Appendix G		
	Append Contact info	1
	Mail merge	1
	Develop survey	2
	Mail survey	1
	receive surveys and update list	8
	Finalize list	1
	append to IUP	0.5
	Receive drafts	10m
	Review lists	2
	Review narrative & provide commentary	2
	Review Content for Accuracy	4
	Provide comment	8
	Compare old Authority list to new WQ li	30
	Input changes to Excel list	8
	Review / Correct	28
	Final Review	5
	Conversion to legal form	12
	Legal Approval	10

27

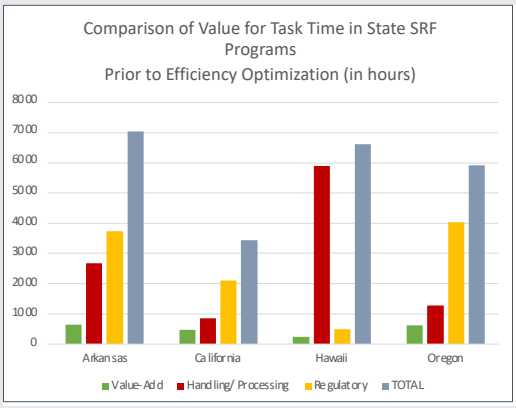
Example: POD Results and Findings

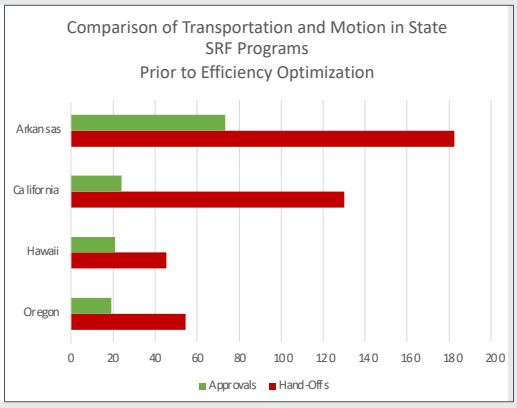
Hawaii CWSRF Program	# OF HAND-OFFS	# OF APPROVALS
Pre-Applications, Ranking	12	5
Loan Application Review and Approval	12	7
Issuing the Final Loan Agreement	14	6
Processing Disbursements	7	3
TOTAL	**45**	**21**

Arkansas CWSRF Program – Task Time (hours)	Value-Add	Handling/ Processing	Regulatory	TOTAL
New Project Feed/Marketing	13.9	181.65	0	195.55
Processing Applications	335.1	866.21	466.1	1667.41
Developing the IUP	8	72.5	521.3	601.8
Engineering & Environmental Review	67.85	40.6	1322.1	1430.55
Loan Closing & Notice to Proceed	82.15	653.8	691.3	1427.25
Disbursements & Project Management	101.9	653.8	691.3	1447
Fund Management	20	186.18	6.4	212.58
TOTAL HOURS	628.9	2654.74	3698.5	6982.14

28

POD Results and Findings





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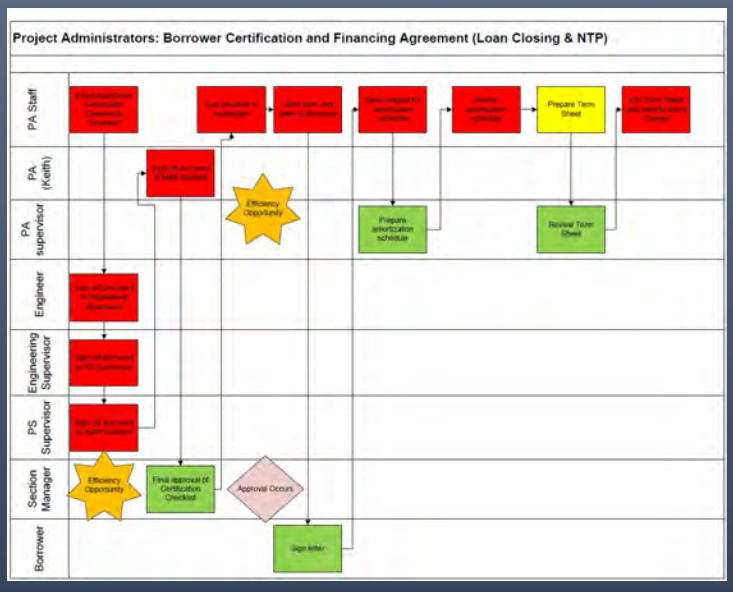


Efficiency Opportunity	**Consider streamlining the number of reviews/approvals required. With increased information sharing in real time via an electronic platform, all SRF staff will have greater access to project details and more equipped to make decisions with confidence. A platform that includes an online form builder and DocuSign integration would allow ANRC to collect eSignatures directly onto the form, creating a seamless experience.**
Efficiency Opportunity	Streamline the Certification Checklist to omit superfluous information/documentation (e.g., EPA Form 4700-4, Designated Management Agency Resolution, Sewer Use Ordinance, Project Performance Work Plan, etc.) The recommended new cross-agency PER could also be substituted here. The documentation requested in the Certification Checklist should be cross-referenced against CWA Title II requirements and such requirements should be struck as they are no longer in force, and not applicable to the SRF program (e.g., facility plans).
Efficiency Opportunity	Consider streamlining the number of approvals required on the Certification Checklist.
Efficiency Opportunity	Consider applying equivalency to federal requirements to alleviate the burden of compliance from small, disadvantaged borrowers and make SRF experience more user friendly for this demographic. Adopting lending practices like Programmatic Financing with larger borrowers that can satisfy equivalency requirements pursuant to the capitalization grant.
Efficiency Opportunity	Develop new SOPs for the SRF program. ANRC's existing SOP's are from the Construction Grants handbook (CWA Title II), a program that sunset in 1994 along with its associated requirements. Creating SOPs that are structured around knowledge base, electronic, and tabular provides a contemporary format that is easy to access and updated as needed.

30

Successful Implementation

31

31

Selecting Efficiency Opportunities

- After the management study and POD (other efficiency exercise) are complete, you may have dozens of efficiency opportunities.
- Keep your scope and expectations manageable, realistic.
- Find the low-hanging fruit first. Seek to implement improvements that are
  - High priority
  - High impact
  - Low to medium effort

SHRINK FINANCIAL DOCUMENTATION
Priority: HIGH
Effort: MEDIUM
Impact: HIGH
Challenges Targeted:
- Process takes too long

REPLACE FACILITY PLAN & EID WITH PER
Priority: HIGH
Effort: MEDIUM
Impact: HIGH
Challenges Targeted:
- Overapplication of federal requirements

Notable:
- Facility plans and PERs are NOT federally required

MARKETING PLAN
Priority: HIGH
Effort: MEDIUM
Impact: HIGH
Challenges Targeted:
- Lack of project pipeline development

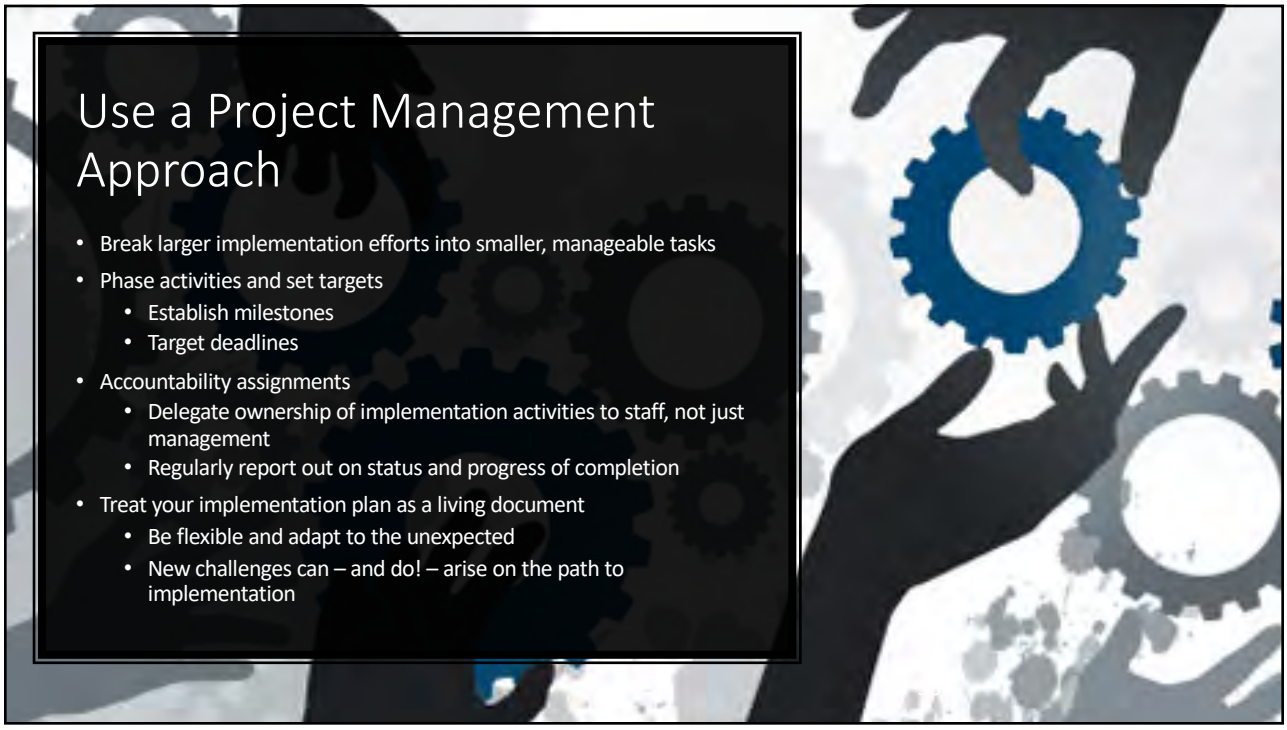
Notable:
- Oklahoma has a dynamic marketing plan

INSTILL CUSTOMER SERVICE ETHIC
Priority: HIGH
Effort: LOW
Impact: HIGH
Challenges Targeted:
- Customer service & communication

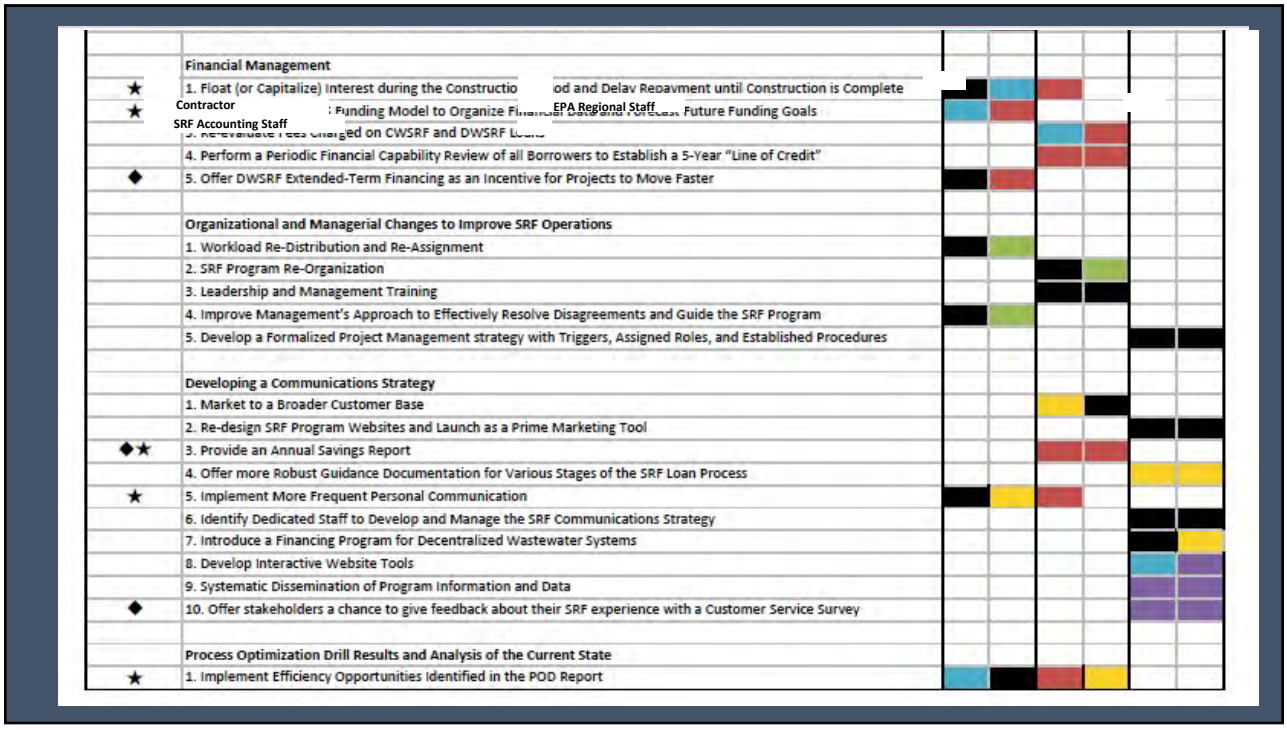
Notable:
- Project postmortem could become national model

32

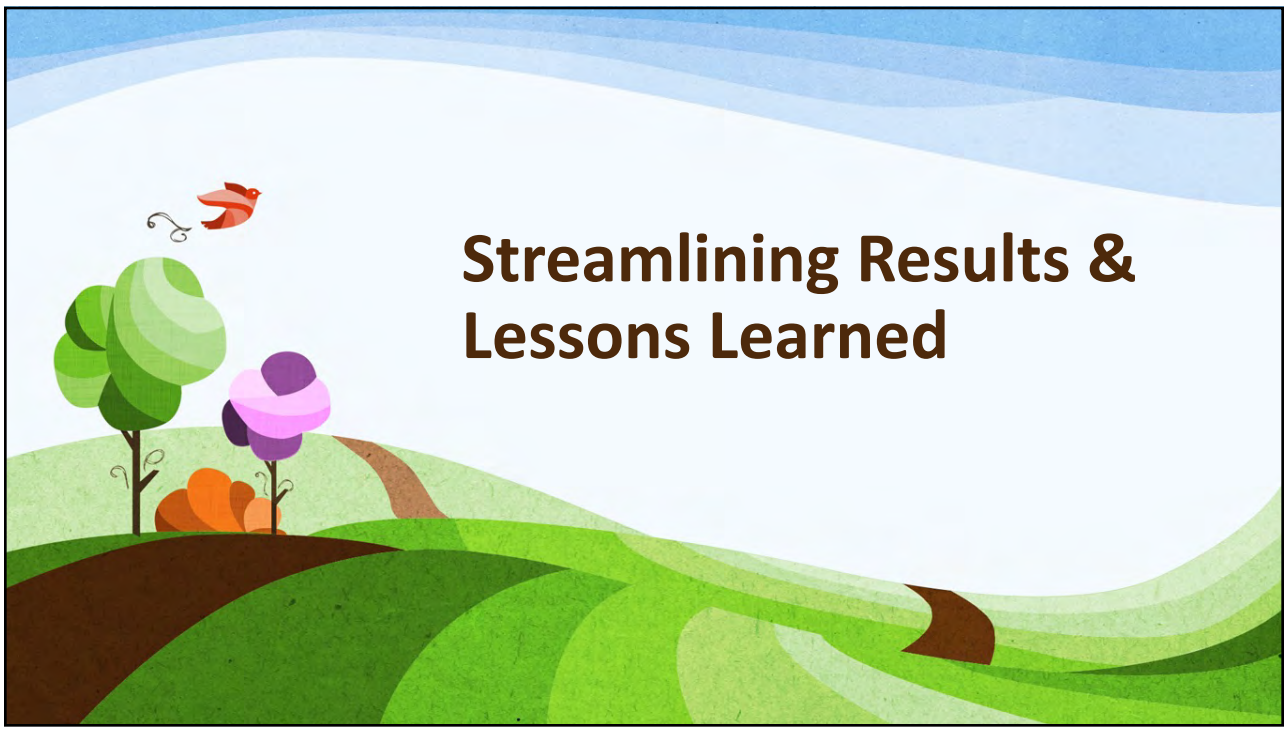
32


Use a Project Management Approach
• Break larger implementation efforts into smaller, manageable tasks
• Phase activities and set targets
  • Establish milestones
  • Target deadlines
• Accountability assignments
  • Delegate ownership of implementation activities to staff, not just management
  • Regularly report out on status and progress of completion
• Treat your implementation plan as a living document
  • Be flexible and adapt to the unexpected
  • New challenges can – and do! – arise on the path to implementation

33


Financial Management
1. Float (or Capitalize) Interest during the Constructio od and Delay Repayment until Construction is Complete
Contractor
EPA Regional Staff
Funding Model to Organize Fi Future Funding Goals
SRF Accounting Staff
ed on CWSRF and DWSRF
4. Perform a Periodic Financial Capability Review of all Borrowers to Establish a 5-Year "Line of Credit"
5. Offer DWSRF Extended-Term Financing as an Incentive for Projects to Move Faster
Organizational and Managerial Changes to Improve SRF Operations
1. Workload Re-Distribution and Re-Assignment
2. SRF Program Re-Organization
3. Leadership and Management Training
4. Improve Management's Approach to Effectively Resolve Disagreements and Guide the SRF Program
5. Develop a Formalized Project Management strategy with Triggers, Assigned Roles, and Established Procedures
Developing a Communications Strategy
1. Market to a Broader Customer Base
2. Re-design SRF Program Websites and Launch as a Prime Marketing Tool
3. Provide an Annual Savings Report
4. Offer more Robust Guidance Documentation for Various Stages of the SRF Loan Process
5. Implement More Frequent Personal Communication
6. Identify Dedicated Staff to Develop and Manage the SRF Communications Strategy
7. Introduce a Financing Program for Decentralized Wastewater Systems
8. Develop Interactive Website Tools
9. Systematic Dissemination of Program Information and Data
10. Offer stakeholders a chance to give feedback about their SRF experience with a Customer Service Survey
Process Optimization Drill Results and Analysis of the Current State
1. Implement Efficiency Opportunities Identified in the POD Report

34



1

Real Results & Lessons Learned

- Comprehensive state efforts
- Deep dive into the SRF process
  - Common pain points
  - Ideas for improvement
- Lessons learned
- Next steps

2

Comprehensive State Efforts

- California
- Colorado
- Iowa
- Alaska
- Arkansas
- Pennsylvania

3

California

- Decade+ of overhauling process for both programs
  - Kickstarted with 2008 Northbridge Management study
- Key Changes:
  - Reduced number of approvals
  - Subdivided app into 4 packages: General, Technical, Financial, & Environmental
  - Created online application that is compatible with LGTS
  - Simultaneous & parallel review
  - Created a process & worksheet to flag project pitfalls and barriers early
  - Simplified PPL
    - Add project as soon as application is started
    - Update list quarterly
- Results:
  - 95% of complete apps are financed in ≤ 9 months
  - Pace of funding more than tripled

4

Colorado

- 2012 LEAN process:
  - SRF programs took 438 days from application to construction start
  - 152 hand-offs & 42 approvals
- Goal: improve stakeholder satisfaction by making the process less redundant & more efficient and transparent
- Changes:
  - Improved borrower & project pre-qualification process
  - Electronic system shared by 3 agencies
  - Streamlined engineering requirements
  - Automated loan application
  - Customer-driven pace
  - Structured, defined process
  - Improved marketing & outreach
- Results:
  - 85% increase in efficiency

5

Iowa

- Kaizen effort for CWSRF in 2004
- Problems: overleveraged, excess cash, EPA concerns, approval process too slow, & app process was not standardized
  - Took 28 months for facility plans to be approved
  - Still too rooted in construction grants
- Changes:
  - Created process manual & program manager position
  - Defined requirements for facility plan
  - Began pre-planning meetings with all borrowers & their consultants
  - Developed checklists
  - Began updating IUP quarterly
- Results: Reduced…
  - Total steps from 235 to 112 (52%▼)
  - Decisions from 26 to 8 (69%▼)
  - Handoffs from 43 to 19 (56%▼)

6

Alaska

- 2017 LEAN streamlining process shortly after a change of leadership with a program facing significant staffing changes & challenges
- Changes:
  - Implemented equivalency
  - Training for borrowers
  - Templates & checklists to improve process & communication
- Results:
  - Reduction in process time by 12%
  - 27% reduction in steps
  - 47% reduction in handoffs
  - Disbursement process is 6-9 days faster

7

Pennsylvania

- PENNVEST overhauled their DWSRF
- Changes:
  - All digital loan process
  - Four application windows
  - Launched a new small project program for projects up to $500,000 with a 2-week expedited timeline for approval
- Results:
  - Projects avg 6 months to complete app process

8

Arkansas

- Ongoing effort began with 2018 Northbridge Focus Group and continues through 2020/2021 Management Study & POD
- Changes:
  - Shortened & simplified funding application (from 12 pages to 4)
  - Streamlined the WWAC pre-application coordinated funding step by eliminating PER
  - Simplified CWSRF project scoring criteria to enable non-experts to get their project on PPL
  - Increased the share of projects receiving CATEX to approximately 90% of projects
  - Enhanced marketing materials & efforts
- Results:
  - Stakeholders happy with easier WWAC process & funding application
  - Application volumes are up

9

SRF Process Pain Points

- Overall Program
- Project Development
- Project Priority List (PPL)
- Project Application
- Requirements
- Financial & Technical Review
- Environmental Review
- Construction & Disbursement
- Repayment
- Program Management

10

Overall Program

Pain Points

- Takes 12-18 months
- Lack of transparency
- Program only geared to traditional projects
- Can feel like an avalanche of a never-ending stream of paperwork

Streamlining Solutions

- Online application dashboard
- New process for new types of projects
- Realistic roadmap/checklist

11

Project Development

Pain Points

- Funding coordination committees
- Upfront uncertainty/lack of predictability:

  "do I want to do all of this work if I don't know if I'll get funding…and even if I do get funding, will I like the terms?"
- Application deadlines

Streamlining Solutions

- Quick, easy, and cheap planning & design assistance upfront
- Multiple application windows (rolling best)
- Message: you will be funded
- Enlist partners (consulting engineers)
- Make terms available upfront (with float down)
- Earlier involvement of technical staff & project managers
- Identify & promote GPR
- Identify & promote types of projects with fewer requirements
- Hire grant writers or make them available

12

Project Priority List

Pain Points

- Scoring system doesn't capture all projects
- Scoring systems range from simple to complex
- Too hard to get on: the PPL process is clunky and inefficient
- PPL is not realistic and is clogged with stalled "zombie" projects

Streamlining Solutions

- Simplify scoring system
- Create a self score or auto score
- Create scoring system that is predictable & can be understood by non-experts using readily available public data
- Target zombie projects for follow-up

13

Project Application

Pain Points

- It takes too long! It only takes 3 months to issue bonds
- Time IS money
- How ad sub gets distributed is a black box and problematic
- Process is complicated, long, and repetitive
- Process is too sophisticated, which works to exclude smaller borrowers
- Too much waiting & dead time built into the timeline
- Unnecessary items that aren't needed & aren't reviewed

Streamlining Solutions

- Super streamlined process for specific types of projects
- Programmatic Financing (ProFi)
- Paperless online process
- Expedited paths/multiple tracks
- Eliminate steps or submittals that don't add value or aren't needed
- Create an emergency option
- Sponsorship or passthrough
- Different rates/fees based on speed/level of service
- One stop funding window & universal application
- Break the process and application into phases
- Aim for sweet spot for consolidation of submittals
- Allow for electronic submittals (especially for large files)
- Auto-routing and auto-scoring
- Simple language
- Templates & checklists

14

Requirements

Pain Points

- Davis-Bacon implementation varies widely by state
- American Iron and Steel
- State requirements are layered on top of the federal requirements
- Getting permits can be a big hurdle
- The state still requires paper copies to be submitted
- The state still requires physical signatures
- A&E procurement is a problem

Streamlining Solutions

- Elation or other Davis-Bacon software
- State or 3rd party meets certain requirements
- Pre-flagging AIS items
- Equivalency
- Eliminate zombie requirements (e.g., facility plans)
- Be clear about minimal acceptable as opposed to aspirational
- Simplify AIS with training & templates
- Contractor & consultant training
- Sort out state requirements & review
- A&E procurement management
- Use joint agency PER
- Replace audits with financial statements

15

Financial & Technical Review

Pain Points

- Underwriting standards vary widely
- Audits required
- Debt service reserve or a debt service ratio that is unnecessary
- Multiple agencies conducting technical review
- How much value does the technical review add?
- Facility plan required

Streamlining Solutions

- Provide real time online tracking & other steps to increase transparency
- Single point of contact
- Accept reviews & paperwork of partners
- Structure & review submittals in parallel and using see-saw approach
- Accept underwriting from other programs
- Establish a credit ceiling for repeat borrowing

16

Environmental Review

Pain Points

- Seems open-ended and never ending…like a black box
- Public review
- Required to get a response on crosscutters
- No EID template
- CATEX not used enough
- I don't know what qualifies as CATEX

Streamlining Solutions

- Maximize CATEX
- State conducts ER
- Earlier state involvement
- Self-certify crosscutters
- Combine with PER
- EID template
- Consolidate public participation & flexible options

17

Construction & Disbursement

Pain Points

- O&M plans due near the end of construction
- Too many inspections
- Takes too long to get paid—usually 30-45 days
- Disbursements cannot be submitted digitally
- Signature & review chains are too long & inefficient

Streamlining Solutions

- Package contract riders together
- Fewer, targeted inspections at milestones
- Self inspections
- Match inspections to project
- Allow paperless submittals
- Allow electronic signatures
- Allow engineers to submit disbursements
- Allow disbursements to start with previous submittals
- Universal disbursement form/process

18

Program Management

Pain Points

- Internal communication
- Managing staff
- Information sharing
- Processes are manual
- Key program documentation & SOPs only in binders
- Process & offerings are one-size-fits all
- Outreach to borrowers & stakeholders is limited or ineffective

Streamlining Solutions

- SOPs
- Information platform/loan management system
- Templates, forms, & checklists
- Succession plan
- Getting regional staff on the same page
- Building team attitude

19

Lessons Learned: Attitude Is Everything

- Need management support (there are always hurdles)
- Need stakeholder support
- Need staff support (goal is to improve process, not reduce staff)
  - There will be unhappy people because things will change
- Need to instill mindset of continuous improvement
- Define your team to include & get everyone together in one room
- Sacred cows & unwillingness to take constructive criticism are poison pills

20

Lessons Learned: Implementation Is Tough

- Time and resource commitment is significant
- Need action item ownership
- Prioritize action items
- Have implementation plan and hold each other accountable
- If you need to, start small with low hanging fruit

21

Lessons Learned: Timing

- Implementation needs to be fast
- Try to overhaul process before building your custom data system
- Having to follow state or agency initiatives isn't helpful
- Not a one-time task

22

Lessons Learned: Pitfalls

- If you don't market your improvements, did they even happen?
- Create boundaries
- Consultant support can be five or six figures & the results vary—talk to your colleagues in other states
- You can't just digitize your current program
- One size never fits all
- Don't assume EPA's answer is no
- Perception, word of mouth, and one bad experience are important… don't lose your customer service focus

23

Next Steps…

1. Decide on the scale of your effort
2. Prioritize what needs attention
3. Get feedback
4. Identify ideas & options
5. Create implementation plan & get to work
6. Tell your borrowers & stakeholders
7. Share your experience!

24

The CA CWSRF:

Review of the Loan Award and Disbursement Processes

Appendix E

Past Applicant Survey and Interview Questions

SWRCB Applicant Survey

Start of Block: Introduction

Q21
Instructions:

Please answer these questions as accurately and in as much detail as possible. The more detail you provide, the more information we have to help make the loan program more efficient and user friendly.

Use of data and information from responses:

Your individual responses will only be seen and shared within our own consulting team and will not be shared with State Water Resources Control Board (SWRCB) in any way that would allow them to identify you or your jurisdiction.

Contact information:

We are asking for your work contact information so that we can follow up with more detailed interviews if necessary.

Q19 Please enter the full official name of your agency/government/authority.

_____

Q20 Please enter the contact information of the individual(s) completing the survey.

_____

End of Block: Introduction

Start of Block: The Application Process

Q1 How important to you are the following as they relate to the loan application process?

	Not at all important (1)	Slightly important (2)	Moderately important (3)	Very important (4)	Extremely important (5)
a. Knowing precisely where in the process your application is (1)	○	○	○	○	○
b. Knowing how long each stage of the process will take (2)	○	○	○	○	○
c. Knowing how long the whole process will take (3)	○	○	○	○	○

Q2 Did you use consultants during your application process?

- ○ Yes (1)
- ○ No (2)

Q3 If you answered “Yes” to the previous question, what role did they play? Could you please provide us with their name and contact information?

_____

_____

_____

_____

_____

Q4 After your application was accepted as complete, did the SWRCB request additional information regarding the application?

Yes (1)

Maybe (2)

No (3)

Don't know (4)

Explain (5) _____

Q5 Does the loan application and award process itself alter or affect the type or number of projects for which you apply?

- Yes (1)
- No (2)
- Maybe (3)
- Don't know (4)
- Explain (5) _____

Q6 Has your agency ever decided not to apply for SRF financing due to loan application timing issues?

- ○ Yes (1)
- ○ No (2)
- ○ Maybe (3)
- ○ Don't know (4)
- ○ Explain (5) _____

Q7 Over the course of a single loan application, how many staff contacts at the SWRCB have you had?

_____

Q8 Has staff turnover at the SWRCB affected your experience of the application process?

- ○ Yes (1)
- ○ Maybe (2)
- ○ No (3)
- ○ Don't know (4)
- ○ Explain (5) _____

Q9 Please describe any challenges you had with the environmental and technical review processes.

_____

Q10 Please describe any challenges you had with the legal consultation and credit review processes.

_____

Q11 Would you trade a longer time-frame for greater transparency in the application process?

- ○ Yes (1)
- ○ Maybe (2)
- ○ No (3)
- ○ Don't know (4)
- ○ Explain (5) _____

Q12 What suggestions do you have to improve the loan application process?

_____

End of Block: The Application Process

Start of Block: The Disbursement Process

Q13 How important to you are the following as they relate to the loan disbursement process for approved loans?

	Not at all important (1)	Slightly important (2)	Moderately important (3)	Very important (4)	Extremely important (5)
Knowing precisely where in the process your disbursement is (1)	○	○	○	○	○
Knowing how long each stage of the process will take (2)	○	○	○	○	○
Knowing how long the whole process will take (3)	○	○	○	○	○

Q14 Have disbursement delays created additional costs for your agency due to the need to secure interim financing?

- ○ Yes (1)
- ○ No (2)
- ○ Maybe (3)
- ○ I don't know (4)
- ○ Explain (5) _____

Q15 If you answered “Yes” to the previous question, can you provide an estimate of these costs?

_____

_____

_____

_____

_____

Q16 Have disbursement delays created other issues for your agency beyond the cost of interim financing

- Yes (1)
- No (2)
- Maybe (3)
- Don't Know (4)
- Explain (5) _____

Q17 How does SWRCB staff turnover affect your experience of the disbursement process?

_____

_____

_____

_____

_____

Q18 What suggestions do you have to improve the loan disbursement process?

_____

End of Block: The Disbursement Process

Interview Questions Posed to Select Past CWSRF Applicants

Select applicants who filled out the CWSRF survey were asked to answer the following, more detailed questions. The list below represents the general intent of the questions asked, but not necessarily the exact phrasing.

1. What was the consultant's role (if any)?
2. How the application process has changed over time?
3. What issues have you had with disbursement?
4. What sorts of strategies have been the most helpful to you during this process?
5. Besides interest rate and loam terms, what other benefits were there for your agency by applying for a CWSRF loan?
6. Are there potential model agencies or programs that the CWSRF could learn from to improve its process?
7. What sorts of issues or suggestions do you have related to the CWSRF's technology during the application and disbursement process?
8. What incentives do you have to engage in consolidation or cooperation with other agencies?
9. What responsibilities should applicants bear in this process?
10. What other recommendations do you have for the CWSRF?

The CA CWSRF:

Review of the Loan Award and Disbursement Processes

Appendix F

Interview Questions for Other State SRF Practitioners

Interview Questions Posed to Other State CWSRF Practitioners

Representatives of CWSRF programs from other states were asked the following questions to understand their program strategies.

1. How long does the application evaluation process take?
2. How long does the disbursement process take?
3. What do you think works bets about your application process? Where have you had the greatest success?
4. What does your application evaluation process look like? To what extent is there overlap between portions (legal, environmental, technical, etc.) in your evaluation process? How frequently are your loans awarded (i.e., annually, quarterly, rolling)?
5. What are you biggest challenges in the application process?
6. What sort of outreach do you with potential applicants?
7. What sort of orientation do you do with applicants?
8. Can applicants self-score?
9. What does the technology look like? Portal for all involved in the evaluation process? What do the applicants see? Is IT in-house? Etc.
10. Do you actively encourage consolidation, regionalization, joint programs, joint applications or other forms of cooperation between applicants?

The CA CWSRF:

Review of the Loan Award and Disbursement Processes

Appendix G

CWSRF 2008 Strategic Review Issues & Recommendations (Northbridge 2008)

CWSRF 2008 Strategic Review Issues & Recommendations (Northbridge 2008)

Issue	Recommendation	DFA Action
Program Organization	Integrate all CWSRF staff under single management. Work out tasks for each staff person & improve communications.	Implemented; Continued effort to improve communication and coordination between project development, administration, environmental, and accounting groups. Integrated project development, CWSRF administration, and financial planning into current Loans and Grants Branch where feasible.
Application	Streamline the application.	Implemented; Staff conducted a process review to eliminate bottlenecks, converted to an online application process, set performance measures for application/disbursement reviews, reduced facilities planning requirements, and increased technical assistance to disadvantaged communities.
Marketing	Increase regularity of contact with communities in person & improve marketing materials.	Implemented; Staff continued to enhance marketing outreach efforts. Staff prepared marketing materials and attended appropriate conferences in person to further market the CWSRF program. A marketing group was established.
Strategic Planning	Develop programs to target projects & borrowers that help the state meet its water quality goals.	Implemented; Increased efforts to build a project pipeline, increased marketing efforts, held regional board workshops to better understand their priorities, Increased California Financing Coordinating Committee (CFCC) participation.
Training/Marketing	Leverage the Regional Water Board staff by training them on the process.	Implemented; Held workshops at various regional board offices, provided information on the CWSRF and other DFA funding opportunities.
Marketing	Increase the impact of the CFCC & provide coordinated lending.	Implemented; Worked closely with the CFCC on workshop development, presented funding information to stakeholders at CFCC events.
Training	Take advantage of training opportunities for new & experienced staff.	Implemented; Held CWSRF PM training on application streamlining changes. Various trainings for DFA staff have been developed and attended by staff since 2008.
Financial Planning	Add at least 1 full-time staff person experienced in municipal finance and financial structuring, or train an existing staff-person in this capacity.	Implemented; A new staff analyst was hired with a background in finance and financial structuring.
Credit Review	Pursue partnership with CalMunii. Review what additional loan security options can be used for loans to avoid defaults.	Implemented; Initially entered into an agreement with CalMuni to conduct financial reviews of applicants. CalMuni contract expired in 2015/16 and was not renewed, but DFA has since hired additional credit review staff who do credit review work
Small & Disadvantaged Communities	Increase affordability through flexible finance options. Allow for more hands on, in-person assistance through Water Board staff or other assistance providers.	Implemented; Developed the ability to offer interest rates between 0% up to the standard CWSRF interest rate based on affordability criteria. Developed consulting service contract to provide engineering service to DAC applicants to help develop application materials.
Financial Management	Explore eliminating the match load, allowing for 0% loans for the neediest communities and planning and design	Partial Implementation; Match loans were suspended; 0% interest rates were made available for both planning and design loans.

CWSRF 2008 Strategic Review Issues & Recommendations (Northbridge 2008)

Issue	Recommendation	DFA Action
Financial Management	Weight the limitations from leveraging against other options, such as accelerated lending.	Not Implemented; The CWSRF generally allows accelerated or early payments (i.e., voluntary payments made by a borrower to reduce the outstanding balance of their loan more rapidly), and typically have not required, over the history of the program, an advance notification. However, in recent years, with the introduction of the Debt Management Policy (State Water Board 2017), newer agreements require consent for accelerated/prepayments.
Financial Management	Explore creative financing mechanisms such as sponsorship and guarantees.	Partial implementation; project sponsorships were developed. A lower interest rate was used to entice sponsorships in exchange for mentoring a disadvantaged community.

References

California State Water Resources Control Board (State Water Board 2017). Clean Water and Drinking Water State Revolving Funds Debt Management Policy. Effective October 3, 2017.

Northbridge Environmental Management Consultants (Northbridge 2008). California Clean Water State Revolving Fund Strategic Management Review. June 2008.

The CA CWSRF:

Review of the Loan Award and Disbursement Processes

Appendix H

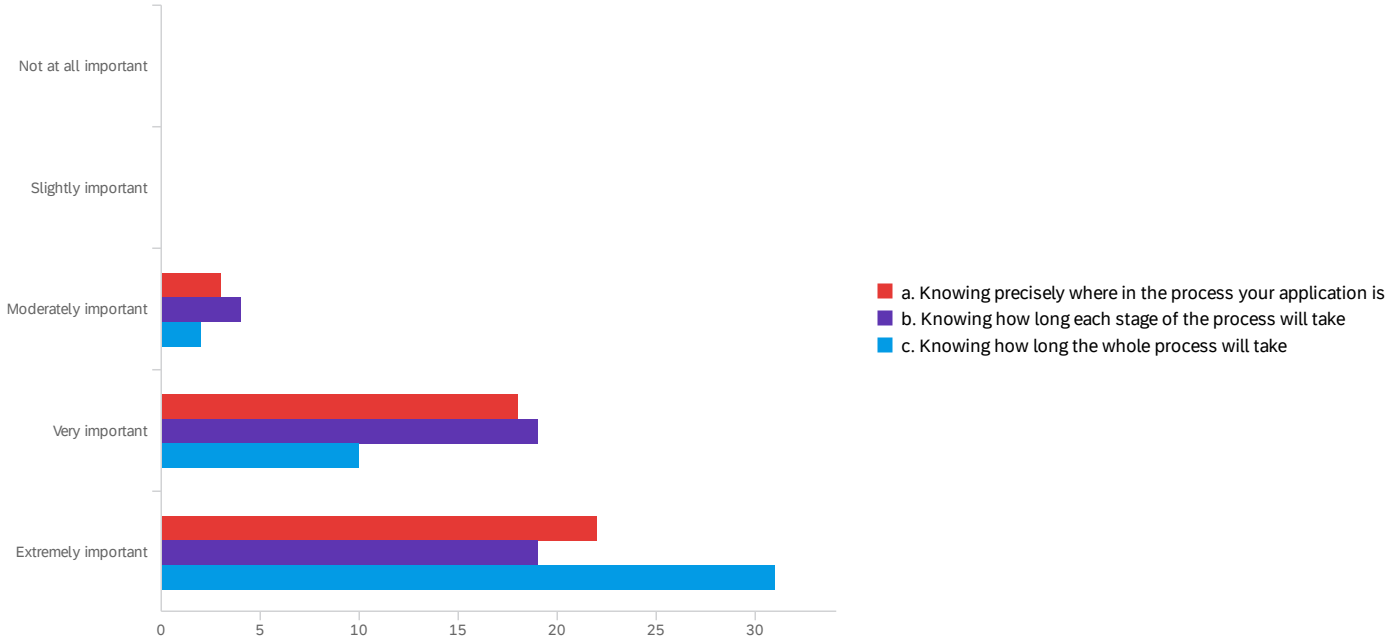
Applicant Survey Results

SWRCB Applicant Survey

August – September 2021

Preliminary Results

Q1 - How important to you are the following as they relate to the loan application process?

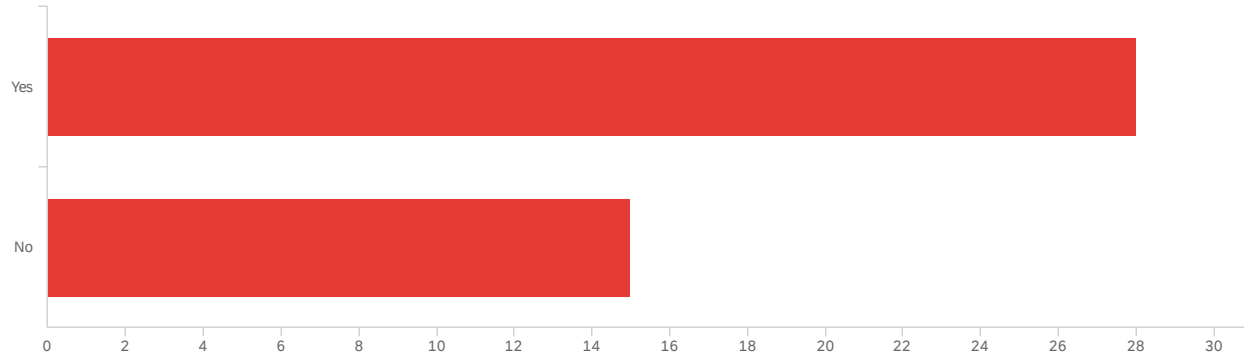


#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	a. Knowing precisely where in the process your application is	3.00	5.00	4.44	0.62	0.39	43
2	b. Knowing how long each stage of the process will take	3.00	5.00	4.36	0.65	0.42	42
3	c. Knowing how long the whole process will take	3.00	5.00	4.67	0.56	0.31	43

#	Field	Not at all important	Slightly important	Moderately important	Very important	Extremely important	Total
1	a. Knowing precisely where in the process your application is	0.00% 0	0.00% 0	6.98% 3	41.86% 18	51.16% 22	43
2	b. Knowing how long each stage of the process will take	0.00% 0	0.00% 0	9.52% 4	45.24% 19	45.24% 19	42
3	c. Knowing how long the whole process will take	0.00% 0	0.00% 0	4.65% 2	23.26% 10	72.09% 31	43

Showing rows 1 - 3 of 3

Q2 - Did you use consultants during your application process?



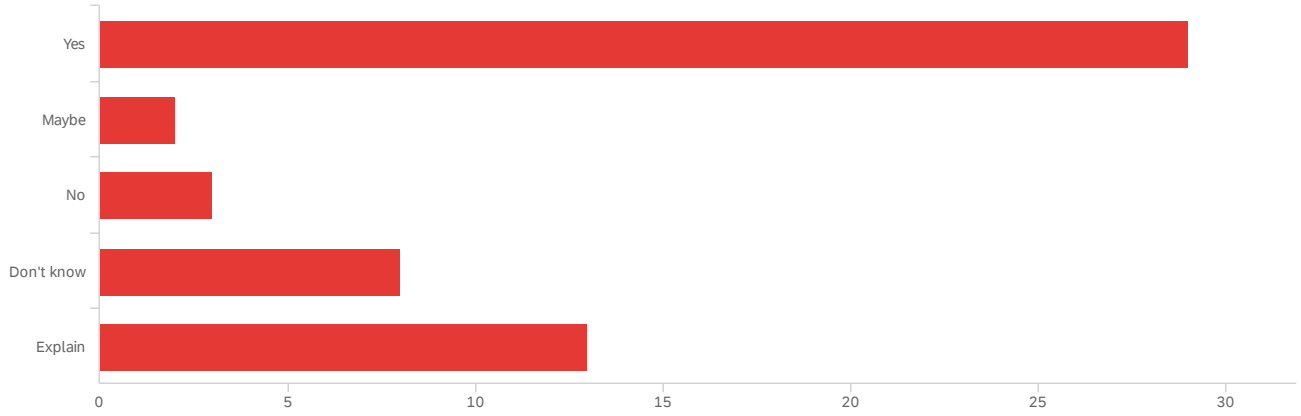
#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	Did you use consultants during your application process?	1.00	2.00	1.35	0.48	0.23	43

#	Field		Choice Count
1	Yes	65.12%	28
2	No	34.88%	15
			43

Showing rows 1 - 3 of 3

End of Report

Q4 - After your application was accepted as complete, did the SWRCB request additional information regarding the application?



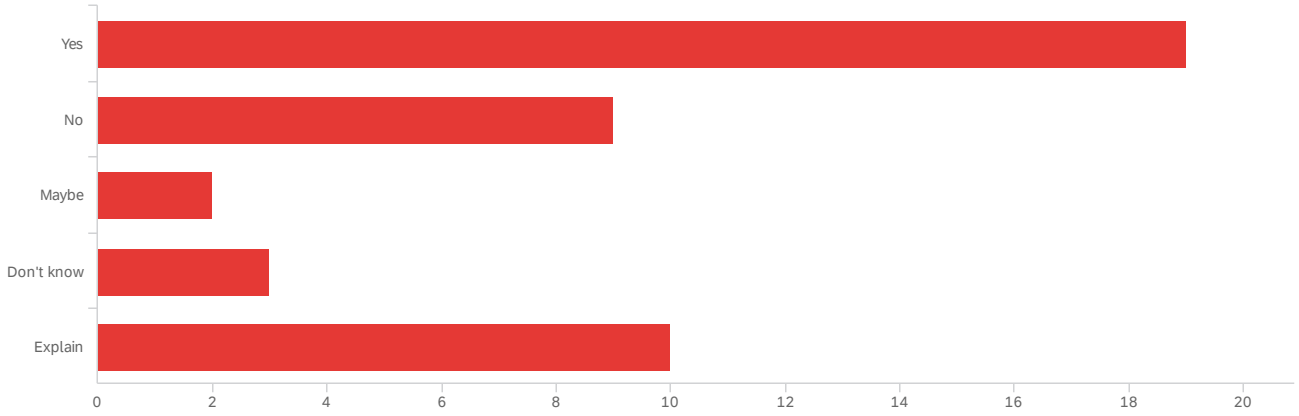
#	Field	Choice Count	
1	Yes	52.73%	29
2	Maybe	3.64%	2
3	No	5.45%	3
4	Don't know	14.55%	8
5	Explain	23.64%	13
			55

Showing rows 1 - 6 of 6

Q4_5_TEXT - Explain

Explain
.
.

Q5 - Does the loan application and award process itself alter or affect the type or number of projects for which you apply?



#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	Does the loan application and award process itself alter or affect the type or number of projects for which you apply? - Selected Choice	1.00	5.00	2.44	1.63	2.67	43

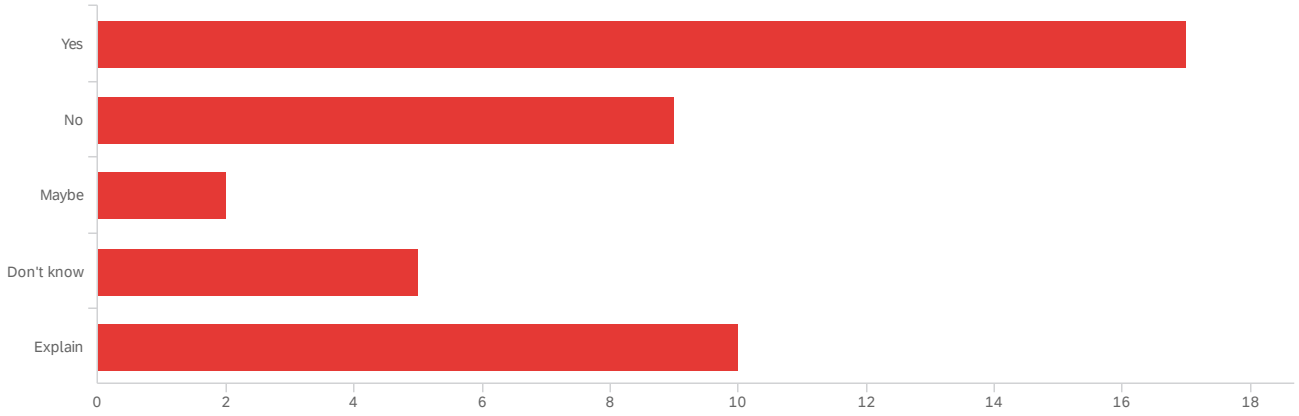
#	Field		Choice Count
1	Yes	44.19%	19
2	No	20.93%	9
3	Maybe	4.65%	2
4	Don't know	6.98%	3
5	Explain	23.26%	10
			43

Showing rows 1 - 6 of 6

Q5_5_TEXT - Explain

Explain

Q6 - Has your agency ever decided not to apply for SRF financing due to loan application timing issues?



#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	Has your agency ever decided not to apply for SRF financing due to loan application timing issues? - Selected Choice	1.00	5.00	2.58	1.63	2.66	43

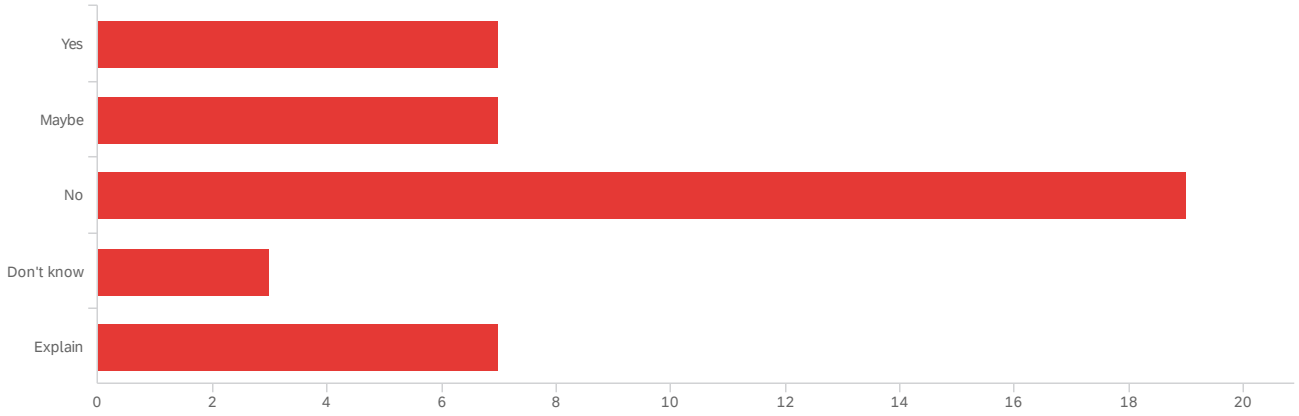
#	Field		Choice Count
1	Yes	39.53%	17
2	No	20.93%	9
3	Maybe	4.65%	2
4	Don't know	11.63%	5
5	Explain	23.26%	10
			43

Showing rows 1 - 6 of 6

Q6_5_TEXT - Explain

Explain

Q8 - Has staff turnover at the SWRCB affected your experience of the application process?



#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	Has staff turnover at the SWRCB affected your experience of the application process? - Selected Choice	1.00	5.00	2.91	1.24	1.53	43

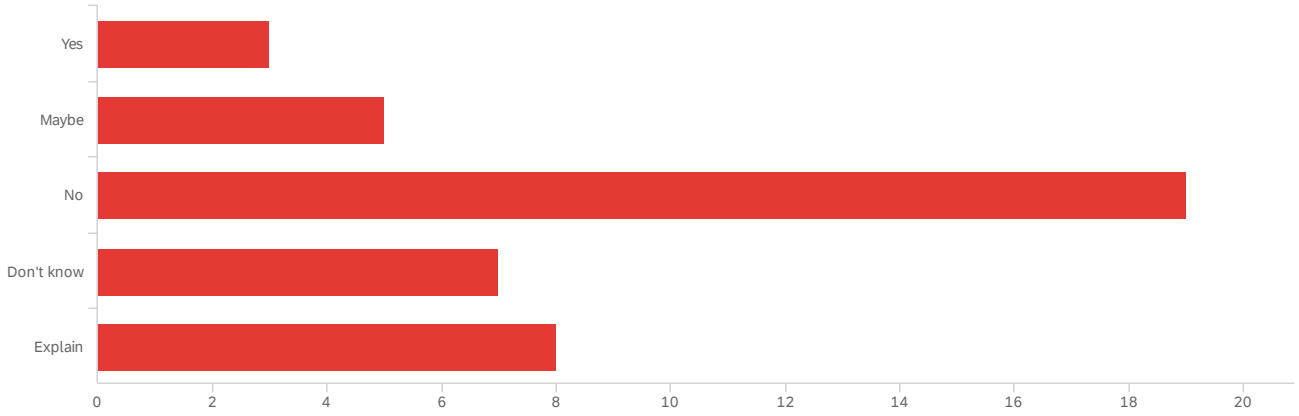
#	Field		Choice Count
1	Yes	16.28%	7
2	Maybe	16.28%	7
3	No	44.19%	19
4	Don't know	6.98%	3
5	Explain	16.28%	7
			43

Showing rows 1 - 6 of 6

Q8_5_TEXT - Explain

Explain

Q11 - Would you trade a longer time-frame for greater transparency in the application process?



#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	Would you trade a longer time-frame for greater transparency in the application process? - Selected Choice	1.00	5.00	3.29	1.12	1.25	42

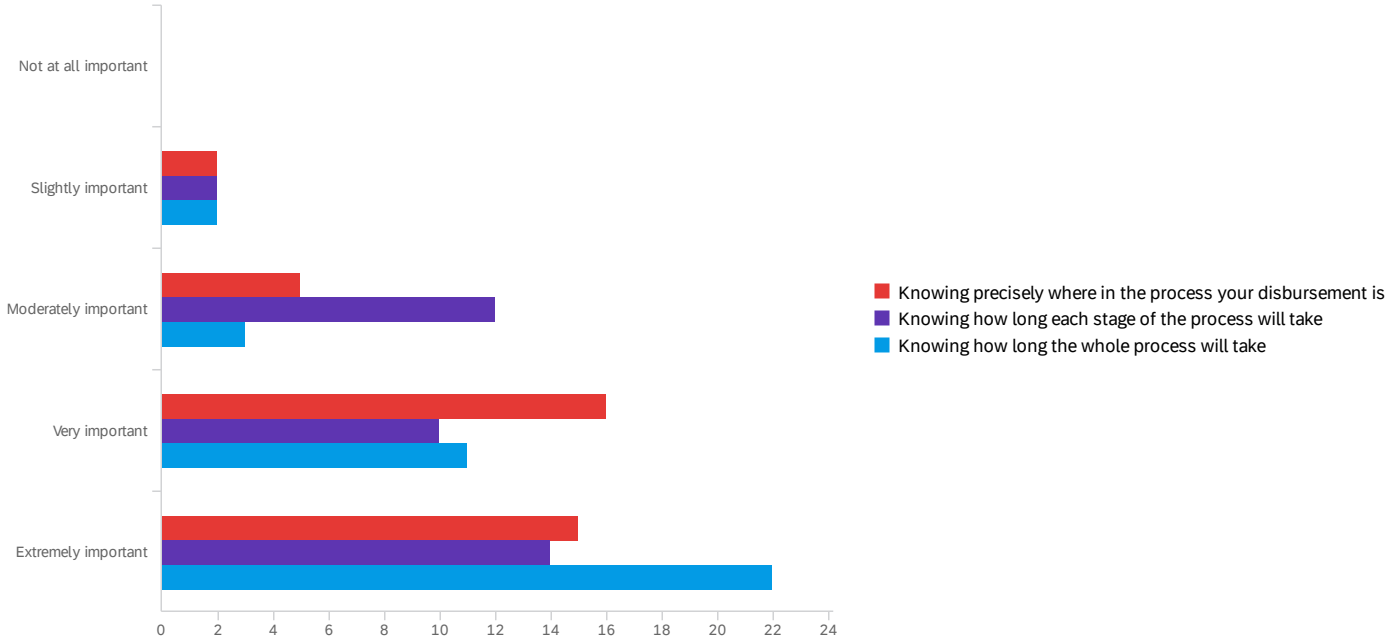
#	Field		Choice Count
1	Yes	7.14%	3
2	Maybe	11.90%	5
3	No	45.24%	19
4	Don't know	16.67%	7
5	Explain	19.05%	8
			42

Showing rows 1 - 6 of 6

Q11_5_TEXT - Explain

Explain

Q13 - How important to you are the following as they relate to the loan disbursement process for approved loans?

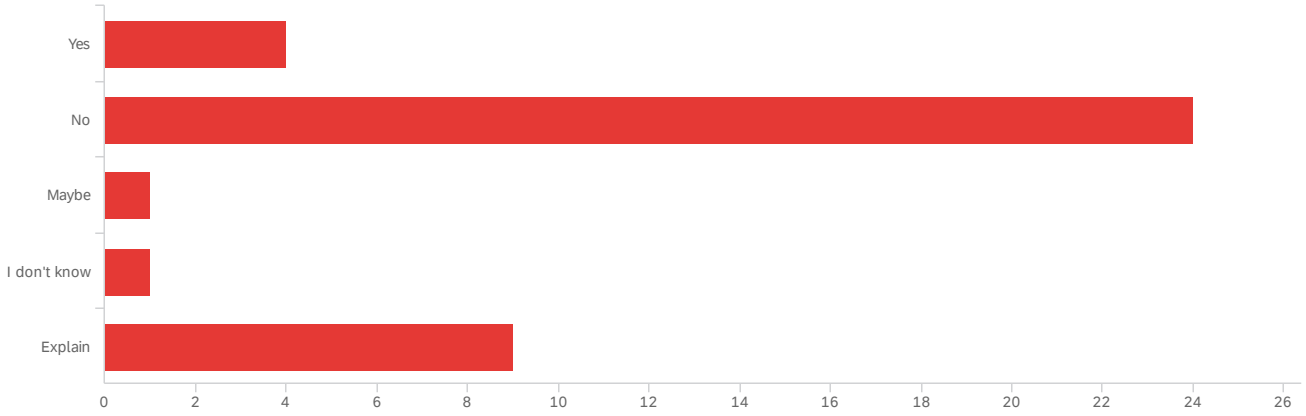


#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	Knowing precisely where in the process your disbursement is	2.00	5.00	4.16	0.84	0.71	38
2	Knowing how long each stage of the process will take	2.00	5.00	3.95	0.94	0.89	38
3	Knowing how long the whole process will take	2.00	5.00	4.39	0.84	0.71	38

#	Field	Not at all important	Slightly important	Moderately important	Very important	Extremely important	Total
1	Knowing precisely where in the process your disbursement is	0.00% 0	5.26% 2	13.16% 5	42.11% 16	39.47% 15	38
2	Knowing how long each stage of the process will take	0.00% 0	5.26% 2	31.58% 12	26.32% 10	36.84% 14	38
3	Knowing how long the whole process will take	0.00% 0	5.26% 2	7.89% 3	28.95% 11	57.89% 22	38

Showing rows 1 - 3 of 3

Q14 - Have disbursement delays created additional costs for your agency due to the need to secure interim financing?



#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	Have disbursement delays created additional costs for your agency due to the need to secure interim financing? - Selected Choice	1.00	5.00	2.67	1.37	1.86	39

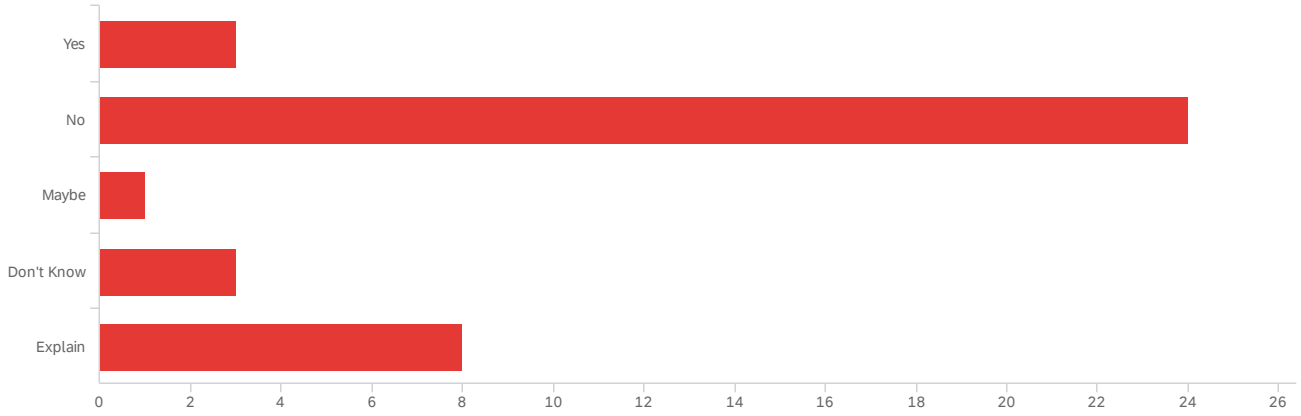
#	Field		Choice Count
1	Yes	10.26%	4
2	No	61.54%	24
3	Maybe	2.56%	1
4	I don't know	2.56%	1
5	Explain	23.08%	9
			39

Showing rows 1 - 6 of 6

Q14_5_TEXT - Explain

Explain

Q16 - Have disbursement delays created other issues for your agency beyond the cost of interim financing



#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	Have disbursement delays created other issues for your agency beyond the cost of interim financing - Selected Choice	1.00	5.00	2.72	1.32	1.74	39

#	Field		Choice Count
1	Yes	7.69%	3
2	No	61.54%	24
3	Maybe	2.56%	1
4	Don't Know	7.69%	3
5	Explain	20.51%	8
			39

Showing rows 1 - 6 of 6

Q16_5_TEXT - Explain

Explain

Q2 - Did you use consultants during your application process?
Q3 - If you answered "Yes" to the previous question, what role did they play? Could you please provide us with their name and contact information?

Whole Process

- They prepared everything for the application
- Prepared each part of the application with support of the City of financial elements and on technical elements for their particular project as we started out with one application that split into two loan agreements in the end.
- They assisted with the entire application process.
- Served as the primary point of contact between the Clean Water State Revolving Fund (CWSRF) project manager and the District in developing the application packages, coordinating and verifying information needed to complete the agreement, and coordinating the incorporation of CWSRF requirements into the bid documents. Efforts resulted in securing a CWSRF loan.
- Helped prepare funding application, coordination with the State regarding any additional information requests and schedule, and funding administration support.

Application

- Primary responsibility to completely prepare application for District.
- Consultants helped to draft and review the application.
- Was tasked to prepare the loan application and submit on behalf of the District.
- Consultant was asked to write the narratives of the loan application.
- The consultant was the lead on the application process.
- Oversee, gather, and submitting the application
- Assistance with scope and fee and application completion

Advisory or support

- Preparing documents for grants
- The consultant have been providing support services
- Advisory role and day-to-day monitoring of the process.
- Assisted in development of application materials, response to requests for information during SWRCB's review and review of draft agreements.
- Facilitator and Advisor to the process
- Assisted with pulling the information together and to obtain answers to various questions.

Portions

- We received assistance general application and environmental.
- General application assistance, environmental assistance
- CEQA+ and NEPA requirements
- Design Plans, Cost Estimates, etc.
- Assisted with the technical portion
- Design Engineer and previous experience with process.

- We contracted with an environmental consultant to complete the environmental documentation (CEQA-Plus) for the applications. District Engineer and firm as part of the planning and design team
- Our consultants assisted in completing portions of the Technical Application, as they did the design work for our project.
- Environmental Application

Q4 - After your application was accepted as complete, did the SWRCB request additional information regarding the application? - Explain

General

- Always follow up questions with respect to credit and environmental questions.
- It took over a year with constant additional information, financials, and correspondences
- Additional information was requested during the environmental and technical review processes.
- Additional info on environmental, water plans for member cities, and there may be other items.

Clarification of information submitted by applicants

- Clarification of financial information.
- The need for more info resulted from Applicants lack of knowledge of some new terms and process.
- SWRCB reviewers have requested additional details to clarify information already submitted as well as new information that was not requested as part of the application attachments.

Additional Information requests related to or due to length of process:

- SWRCB typically asks clarifying information on a number of issues including environmental, technical, and financial. In some cases the application requirements have changed and the SWRCB will ask for new information.
- Information that was not available at submittal was added. Also, because the process took so long the financial information of subsequent years was required as time passed on.
- I believe update financial information was requested due to the time between submittal and the financial review.
- Yes they asked for additional information and they were several documents that needed to be resubmitted annually.

Q5- Does the loan application and award process itself alter or affect the type or number of projects for which you apply? - Explain

- WQRCB Staff makes the process as "painless" as possible. Thanks Joseph Quilatan
- Depends on whether projects qualify for the funding

- The City has considered forgoing Construction/Implementation applications on time critical projects given the length of the process and is unlikely to pursue Planning/Design applications.
- The application process is very difficult and arduous, so we only apply for projects that have that type of timeline and are big enough to make it worth the trouble.
- Due to timing
- Try to only apply for large projects or projects without tight timelines as the process is uncertain and can take years to complete.
- Yes, the process affects which projects we submit applications for. We analyze the our projects to determine which can achieve a satisfactory score. Most of our needed capital projects would not score high enough to receive funding. Timing constraints of the application/award process further restrict which projects can utilize SRF financing.
- Understand the virtues and the process.

Q6 - Has your agency ever decided not to apply for SRF financing due to loan application timing issues? - Explain

Timing as it relates to qualification and scoring

- Timing issues or project scope does not qualify for the funds
- Application timing issues can lower a project's SRF score and timing issues would require us to delay projects. We have chosen not to apply for SRF financing due to both of these issues.

Other

- Very long process
- The process is very long
- The only source of funding for a small sewer project
- We have decided not to apply for loans because the project timing is more urgent than the SRF program will allow.
- For future projects given the time delays on this SRF project which was out first,
- If a project must be started within a planning horizon of two years, we do not bother to apply due to the uncertainty of the timing of the process.
- Timing on some projects don't allow for the 12-18 months to get approvals.
- Some projects do not lend themselves to this process... too difficult to meet the requirements or are not the type of projects they want to fund.

Q8 - Has staff turnover at the SWRCB affected your experience of the application process? - Explain

Positive or no effect

- With any staff change, there will be a learning curve. Overall, it has not been a significant issue.

- In the last few years, the City has been fortunate to have the same SWRCB project manager assigned to each of our applications. Our project manager is collaborative and responsive, and we appreciate working with her. During the review portion, we have had different points of contacts and varying experiences with those staff. It is unclear whether the change in staff is due to turnover.
- We consider ourselves lucky we ended up with one contact finally once we broke ground. Before hand too many people and too many things not getting completed dur to turnover.
- If it has it has not been transparent to us.
- In my experience not significantly. We have experienced some turnover, but they have not been too problematic.

Negative experience

- Inconsistencies of project management and waiting for new PMs to be brought up to speed.
- At the beginning we had a contact, then it was shifted to that person's supervisor and then back to the new staff member

Q9 - Please describe any challenges you had with the environmental and technical review processes.

Neutral or positive experience

- None (x 9)
- It was a lengthy process, however there were no real issues
- Once we had direction we went forward with the environmental report. This portion of the project was pretty straight forward
- Both went well.
- We did not have any challenges with the review process.
- Do not recall any challenges here

Length of time

- Length of time to review and provide comments
- extremely lengthy
- Process is costly and very lengthy
- The Technical review check list was done by two different staff (it had to be redone due to age of the review) so that seemed to stale the application at least another 6 months
- Environmental review took a very long time.
- The main challenge that we have is with the environmental review timing, as that is the driver for the project schedule (it is recommended that we not break ground until the environmental review has been completed). We often see the environmental review completed within three to four months of its inclusion on the Fundable List, which works well for our project scheduling. If the review lasts longer than that, it can begin to delay our project implementation.
- The review person took a 3 month sabbatical.

- Environmental seems to take the longest with the most uncertain completion date
- The environmental review process is the first process and it is the one that takes the most review time.
- The environmental process seems to be constantly changing and the application information should be more detailed so we don't find out after the fact.
- For a first time applicant, the process seemed daunting and long. They questioned almost everything.
- Construction of our project had indirect "potential" impacts for the bell's vireo habitat. Hence, the USFW required us to establish an endowment of $756k to offset any "potential" impacts to the habitat. This was the only way they provided their concurrence/approval for the project to continue

Communication

- Frequent, uncoordinated requests for information seem to extend the environmental review time considerably.
- Assigning PMs that do not understand the funding requirements and who can potentially delay projects. Also issues with inexperience of "newer" PMs that may not understand scope of work

Coordination

- The application packages sometimes change from when we submit the application to when the review is initiated. At times this has caused confusion in the review process. Moreover, it has required our team to revise previously completed materials to match the new format or develop new information. Our experience with the environmental review process has differed depending on reviewer. We felt at times reviewers added unnecessary hurdles to approval. For example, we had an environmental reviewer provide standards that she mistakenly thought our project needed to comply with; clearing this up required extra time from our consultant team.
- Very cumbersome and at times, the process requires the same information in other document requests.
- In our experience technical issues have not been too problematic. Usually, these issues involve providing clarifying or additional details and can be resolved over the course of a few contacts. Environmental challenges can balloon into significant problems. Because SRF receives Federal funding it requires additional Federal environmental requirements known as Federal crosscutters or CEQA+. This further complicates the challenging environmental review process for civil infrastructure in California. Because these additional requirements only apply to a small subset of our projects, our environmental planning team is not as familiar with compliance. In some cases we have chosen not to apply for SRF because of the additional environmental requirements it would incur. In recent years we have had additional environmental complications because of SRF related to the Endangered Species Act, modification of national historic properties, Native American Consultation, Environmental Impact Reports, and California Historical Resources Information System searches.

- The number of required environmental documents in addition to the complexity of each document make it difficult to provide a complete application.

Q10 - Please describe any challenges you had with the legal consultation and credit review processes.

Neutral or Positive

- None (x 15)
- This process goes very smoothly.

Just length of time

- Legal consultation time periods have been reasonable but getting there was too lengthy including the financial review.
- None, other the length of time
- There were no real challenges. The only issue was providing additional financials because it was a year or more from the time the application was submitted to the time the credit review process was started.
- The contract review was extremely long. This process took months if not a year.
- The legal review process was extremely lengthy. The credit review process is as complex as a bond issuance, which can be cumbersome for public agency. This could limit smaller agencies ability to utilize this funding source.
- Legal takes a very long time and we have to resubmit or resend information months later

Legal

- For legal it would be appreciated to start at the previously executed loan agreements as a template. The credit review process is a bit of a mystery to us. It would be appreciated to have a credit review liaison that we could touch base with.
- We previously were able to negotiate a master contract with the SWRCB for our SRF agreements, but recent changes at the SWRCB negated our master agreement terms. Our most recent applications followed standard language and our negotiations with legal review were not fruitful, as it appeared that the SWRCB is now unwilling to deviate from the standard terms.
- Always seems to be a challenge to get SWRCB legal staff to accept the debt parity requirements on existing bonds and to change their language to conform.

Financial

- Providing financial information in the format requested by SWRCB sometimes isn't straightforward because the City's budget and projections use different categories than SWRCB's credit review. Translating the information takes time, and having to go through multiple iterations can be frustrating. It would help if loan analysts clearly conveyed the full extent of what they need and how the information will be used in the credit review.

- Once we had a sit down meeting on the credit review it seemed to go much faster as we established direct lines of communication and established face to face action item commitments
- Legal went quickly, we still have not had a clear response to the credit review process, or if it is delayed.
- Credit review challenges have been minor. Typically, issues would involve providing more up-to-date information. We have experienced more challenges with legal issues. We have had some challenges with property rights opinions and others related ultimately with bond counsel opinions. Related to bond counsel opinions, we have had challenges amending the SRF agreements to harmonize with existing indentures. Our bond counsel has even stated that proposed SRF agreements would not adhere to requirements in our existing SRF agreements. Consequently, we have been working with SWRCB OCC on amending our existing SRF loan agreements. We have had one (and now two) SRF loan application in the legal phase to figure out these issues for about 18 months.
- Since the District is not a city it was difficult to get into the right pathway for approval. After many months the District was placed into the disadvantage community track. It took a long time to get there and approved.

Q11 -Would you trade a longer time-frame for greater transparency in the application process? - Explain

Maybe

- There should be the highest degree of transparency regardless of time frame. Small District's do not have the time or staff to wait to get a project completed.
- The time-frame from submitting a complete application to getting an agreement is already quite long. However, given the challenge of scheduling projects around an uncertain timeline, having a firm timeline with greater transparency in the application process might be worth a further protracted time-frame.

No

- Both are extremely important.
- The process needs to be quicker
- The time frame was long enough
- We already allow for two years in our timelines, we could go longer, but feel that two years is already pretty generous.
- No, for us the time-frame is the issue.
- It seems like the review process has gotten longer in recent years. We use to anticipate 1 year. Now it seems to be 18 months or more. This only causes continued challenges in meeting regulations and, as we are seeing now, costs continue to escalate and cost estimates become more out dated.

Q12 - What suggestions do you have to improve the loan application process?

Neutral or Positive

- None (x 7)
- It actually went fairly smoothly, perhaps an orientation package at the beginning would help.
- We have had a total of six loans. The first five were a breeze but the last one was an obstacle course. Go back to the old ways.
- Without removing the bureaucracy that comes with federal and state government process, not sure there is anything that can be done.

Length of time

- Applications are taking in excess of 3-4 years to fund. This timing places construction into differing economies related to construction.
- Make it easier and shorter
- The process overall was not bad, just difficult if a project is time sensitive. Shorten the process for approval between initial and final budget approval.
- If there is a way to streamline the review, that would benefit all applicants.
- Speed up the process if possible.
- Have strict timelines apply to State and Federal staff for their review. Applicants have strict timelines they must adhere to, the process would be more efficient if staff had similar rules.
- The Contract review might have been delayed due to COVID-19, but it took forever.
- Streamline the review process. Likely most projects have documentation compiled by professionals.
- In my opinion, the biggest issue is the length of time to get the loan agreements. On one of our existing applications we are two weeks away from the six year anniversary of our application submission.
- Approved Request for Disbursements that are done quickly then sit in the CAO office and payment is always delayed no less than two months at a minimum, 4 months maximum in our experience which affects the integrity of the District and Contractor relationship. Did not appreciate having to take out a bridge loan as backup.

Communication

- More timely communication on where it was in the process
- Maybe consistency on application managers and more communication regarding timeframe from the beginning of the application to the approval.
- A dashboard showing progress of the process and any required or need info from the applicant.
- Communication. I would like to see staff reach out via email regularly, i.e. weekly. During this last grant\loan, I would call or email and not hear back from anyone.

- I am not sure how, but insuring efficiency in processing documents and reaching out as soon as needed for clarification rather than burring it on a desk until someone can figure it out.
- I believe it would be helpful to get a realistic estimated timeline from the SWRCB at the beginning of the process that could also be updated as issues were encountered. For instance, it would be helpful to our project scheduling team if we not only knew that the environmental review process will take 3-4 months following the project's inclusion on the Fundable List in June, but also received an update that it was on track or may take longer at the 2-3 month point. It would be great to keep our project team in the loop.

Better instructions

- In the application packages, explicitly request information that is required to complete the various review checklists and sub-checklists. That way applicants can collect information once instead of going through multiple rounds of information requests. Establish a minimum score to make the fundable list and score projects on a biannual or quarterly basis. When the IUP is developed, if the amount available for funding exceeds the amount requested by the projects that meet the minimum score, allow additional projects to be added to the fundable list throughout the year if they meet the cutoff score. Trying to get all the pieces of a project (e.g. design submittals, environmental documentation, Council/Board resolutions) to line up perfectly to meet the end of the year scoring deadline can be challenging.
- The application information should be more detailed so there are no surprises after submission.
- Make it easier to self-score a project, and be more transparent about which project scores will get funded. There is too much work and time involved to find out at the end the project will not get funded.
- The next biggest area for improvement would be environmental. The challenge hear is fully understanding the requirements and how they map on to our project. We may think we have done everything to comply, but the SWRCB may interpret something different, which means the project must meet a different standard and now we have to redo or go through additional consultation we did not anticipate. Here I think very detailed instructions, that spell out thresholds for additional requirements could be helpful (albeit very challenging to develop).
- Probably, the biggest issue for us is legal (I would be curious to hear from other agencies and how they manage legal). The biggest legal issue for us seems to be getting the agreements to harmonize with existing agency debt. I would think a robust template agreement should be possible. The process for making changes to the agreements is very tedious. I know it’s challenging because it's OCC working with DFA. It would be great if SWRCB had a formal, streamlined process for this. OCC staffing levels may need to be reviewed as well.

Applicant responsibilities

- Another issue, which is I think of lesser importance, is the timing constraints in the application. Generally, you need to maximize every point to be chosen. The

readiness score gives the most points for having 90% plans and specs. At that point the project is ideally getting close to advertise/construction. SRF reviews applications at the beginning of the calendar year and decides which projects they plan to fund by June of a year. If we hit 90% on a project in the first 3/4 of a year, we may hope to be in construction by June (depending on the size of a project). Then the actual project reviews starts and who knows how long that can take (6 months to years); the environmental must be complete before construction starts. Essentially, we have to be near design completion by the end of a year and be willing to postpone construction for a year or more. So we have to apply and then always be watching the construction date to see if we need to postpone construction or withdraw our application. So maybe since the SRF application process puts a constraint on the construction date, the readiness score should be based on the anticipated construction date?

- Flexibility with the completeness of the application. Meaning if the State deems our application incomplete there would be a timeframe to correct it.

Other

- Have PMs that have experience and take the time to review the application.
- Hire more people
- Legal needs to be better staffed and prioritize based on projects being funded.

Q14 - Have disbursement delays created additional costs for your agency due to the need to secure interim financing? - Explain

- I assume so as we have had to use Bond funding but we didn't have to go out for another loan.
- Yes, more internal funds will have to be used to continue with a given project
- Carrying cost for the Engineering and additional information needed
- We have not started disbursement, but already assume interim financing is required.
- Need bridge funding to cover contractor costs while waiting on disbursements
- Had to get a bridge loan. Fees for this was $52,000.00
- Had to liquidate some reserves to cover expenses while waiting for the loan disbursements.
- Disbursement delays result in delays in starting other Pay-Go capital projects because of cash flow issues. Can't quantify, but it is a real cost.

Q16 - Have disbursement delays created other issues for your agency beyond the cost of interim financing - Explain

- An issue with the disbursements resulted in the final disbursement for one of the City’s projects from being captured in the debt repayment schedule provided to the City by SWRCB. Thankfully the City discovered the error before billing its partner agencies.
- Lots of internal time to discuss why we haven't gotten paid, updating projections, and consultant time to research questions on very old work when SWRCB has comments that need to be addressed

- It creates uncertainty, and for a small agency that is concerning. Payments need to be processed quickly.
- This has strained the project schedule and ability for contractor to secure trades based on funding availability.
- Additional years of the degradation of the sewer facilities
- Having to scramble to cover in voices.
- The uncertainity of having cash flow to pay contractor. The District actually "borrowed" from another fund to pay contactor.

Q17 - How does SWRCB staff turnover affect your experience of the disbursement process?

Neutral or Positive

- N/A (x 9)
- Has not been an issue.
- It was fine
- I have not noticed delays due to staff turnover.
- We have not experienced any notable issues with staff turnover
- Not on this particular project, because we have had only one contact throughout the project. This has been very helpful, but is not always the case.
- If there is staff turnover in the disbursement unit, we are unaware of it.
- Don't know the direct relationship, but I suspect that staff turnover impacts the speed of disbursements.
- It feels the review process has been taking longer in recent times.
- Longer periods of time before the City receives disbursements.
- To my knowledge, many of our disbursement challenges were related to the Fi$Cal system integration.
- It has not impacted our process.

Length of time

- Slows everything down and you don't know who to call in the interim
- The new member may not have been updated.
- [We] has always allowed for additional time to process each disbursement request. Therefore, [we] always plans in advanced the disbursement package to be sent to the SWRCB.
- It is slows the process down.

Q18 - What suggestions do you have to improve the loan disbursement process?

Neutral or positive

- None (x 7)
- We are satisfied with the process.

Length of time

- Commit to reviewing reimbursement requests within 30 days and issuing payments within 7 days of reimbursement approval.
- Consistent processing timing so that agencies can anticipate timing for reimbursement. Inconsistent reimbursement can be detrimental to agency project funding.
- Be more attentive to timely disbursement during year-end closeouts of the State.
- Again, trying to streamline the process to minimize delays.
- Disbursement need to be timely.

Communication

- Greater communication with regard to timing, additional information needed, and reason for delays in the loan disbursement process.
- Turn it around faster, communicate when it switches each stage of the review, correspond with the City staff set up for the project as they keep emailing the City Manager who has signature authority but isn't the person who prepares the requests or has any of the answers (use cc in emails for City staff, not just SWRCB staff as I have requested many times)
- Better communication when a disbursement is being put on hold or delayed.
- An introductory meeting with staff that will be processing disbursements to ensure that the submittal process is understood by the loan recipient.
- Communication on a regular basis and a contact number where a live person would answer the phone

Technology

- Don’t change the software or the access during the process which delayed disbursement of funds.
- Expedite; accept electronic back up
- Move the disbursement request submission online (which I think they are already doing).

Review Process

- It seems to me that the State is going through each invoice line by line. the State may want to look into a self certification of the invoices by the agency and save time. Typical, a project manager does line by line review of the invoices prior to the payment to the contractor.
- If an agency is up-to-date on paperwork and submittals, put those payments in the front of the queue for review. Save the in-depth review for trouble agencies.
- Hire more staff to complete the process
- Improve the contract review process. Seems to me there are to many hands touching the contract which increased the duration.

The CA CWSRF:

Review of the Loan Award and Disbursement Processes

Appendix I

Additional Suggestions from External Stakeholders

Additional Suggestions from External Stakeholders

Commenter	Suggestion
Bobbi Larson, CASA	DFA have mentioned that the legal consultation between Phases 1 and 2 can take significant time if we are requesting something outside of the standard contract. In our experience, some of the most challenging things to negotiate can been things that seem to make sense to edit in their standard agreement. For example, the lack of ability to dispose of ANY part of a project, but with UV disinfection you to dispose of bulbs, and a contract term that states that DFA may terminate the agreement in the Event of Default, but doesn't make clear if any items would live on. **Perhaps making a recommendation that legal work collaboratively with CASA/WateReuse CA attorneys to address items in the standard contract that would be beneficial for all borrowers could reduce the time spent in this portion of the process and possibly reduce necessary time on DFA's side also**.
Greg Swartz, CASA	Regardless of funding source, Professional Engineers (PEs) employed by applicants are obligated by individual and industry standards to ensure an appropriate, cost-effective, and technically sound solution tailored to a community's capability. If an exhaustive review of project details is not required for facilities funded by other sources and Federal SRF enabling statutes define only a few restrictions or prohibitions for eligible SRF projects, then the SWRCB can focus on the applicant's managerial and technical capacity to manage the proposed facilities rather than a detailed technical review that rarely materially changes project options or scope. Accordingly, **SWRCB can streamline technical review of a "solution" (project) to an applicant's water quality "problem" by requiring the PE to certify that the project complies with the applicant's current and expected permit requirements.**
Greg Swartz, CASA	SWRCB can **streamline environmental review by requiring the applicant to complete a checklist to facilitate and accelerate a comprehensive overview of the project and its impact**. An example checklist is appended to these comments that can save SWRCB and the applicant time and effort by focusing on "Yes" or "No" responses rather an extensive review of various documents and sources to, in effect, confirm what the example checklist addresses more directly and efficiently. (Greg Swartz, CASA)
Greg Swartz, CASA	SWRCB can **streamline financial review by relying on existing credit ratings from one or more of the four nationally recognized rating agencies**. If an issuer/obligation is rated "investment grade" (BBB- or Baa3 or higher), the market considers the obligation to be a marketable investment that a "normal" or "prudent" investor can buy, hold, and trade. Like all other bondholders or investors, SWRCB can access annual and material event disclosure via EMMA.
Greg Swartz, CASA	(1)Legal Opinion: **SWRCB should require applicant's legal counsel to certify: (a) material, outstanding litigation or legal issues, (b) validity of applicant actions to authorize the financial assistance, and (c) validity and enforceability of the obligation**. For public offerings or placements outside an SRF loan, a bond counsel opines the obligation is tax-exempt. Since the SRF does not need to originate ""tax-exempt"" loans as tradeable securities, it is not necessary to incur the additional expense of a bond counsel opinion. (2) Loan Pursuant to Master Indenture: **SWRCB should encourage applicants to document SRF loans as an additional obligation under a master "indenture" through a supplemental indenture**. (3) Disclosure: **SWRCB should require borrowers to (a) post SRF loans to the Electronic Municipal Market Access (EMMA) site managed by the Municipal Security Rulemaking Board, and (b) post annual and material event disclosure to EMMA**.