

# 2018 Implementation Grant Proposal Solicitation Package

Integrated Regional Water Management  
October 2018



*CALIFORNIA NATURAL RESOURCES AGENCY  
DEPARTMENT OF WATER RESOURCES  
DIVISION OF  
INTEGRATED REGIONAL WATER MANAGEMENT*



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## FOREWORD

The California Department of Water Resources (DWR) is administering an Integrated Regional Water Management (IRWM) Implementation Grant solicitation using funds authorized by the Water Quality, Supply, and Infrastructure Improvement Act of 2014 (Proposition 1). This Proposal Solicitation Package (PSP) for the Round 1 IRWM Implementation Grant Program describes pre-application engagement activities, eligibility requirements, application instructions, and application review and scoring criteria. This document is not a standalone document and the applicant will need to refer to the 2018 IRWM Grant Program Guidelines (2018 Guidelines) for additional information.

### Grant Program Website

Pertinent information about the IRWM Grant Program, including this document and the 2018 Guidelines, can be found here: <http://www.water.ca.gov/Work-With-Us/Grants-And-Loans/IRWM-Grant-Programs/Proposition-1/Implementation-Grants>

### Mailing List

In addition to the website, DWR will distribute information via e-mail. If you are not already on the IRWM contact list and wish to be placed on it, please visit here: <https://water.ca.gov/Work-With-Us/Grants-And-Loans/IRWM-Grant-Programs>

### Contact Information

For questions about this document or other technical issues, please contact DWR's Financial Assistance Branch at (916) 651-9613 or by e-mail at: [DWR\\_IRWM@water.ca.gov](mailto:DWR_IRWM@water.ca.gov).

For questions and assistance regarding DWR's Grant Review and Tracking System (GRanTS), please contact the GRanTS Administration Team at (888) 907-4267 or [grantsadmin@water.ca.gov](mailto:grantsadmin@water.ca.gov).

### Grant Agreement

All applicants that are awarded funding will be required to sign a grant agreement with DWR. The template for the Round 1 IRWM Grant Solicitation agreement can be found here: <http://www.water.ca.gov/Work-With-Us/Grants-And-Loans/IRWM-Grant-Programs/Proposition-1/Implementation-Grants>. Note that the agreement template is subject to change prior to agreement execution.

### Application Deadline

Individual application deadlines will be established based on the pre-application workshop date for each Funding Area, as detailed in this PSP. The complete application and all supporting documentation must be submitted via DWR's GRanTS portal by 5:00 p.m., 12 weeks after the applicant's Funding Area Pre-Application Workshop. Application deadlines will be posted on DWR's website here: <http://www.water.ca.gov/Work-With-Us/Grants-And-Loans/IRWM-Grant-Programs/Proposition-1/Implementation-Grants>

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## I. INTRODUCTION

The Integrated Regional Water Management (IRWM) Grant Program is designed to encourage integrated regional management of water resources and provide funding for projects that support integrated water management planning and implementation. This Proposal Solicitation Package (PSP) works in conjunction with the 2018 IRWM Grant Program Guidelines (2018 Guidelines) to disburse Round 1 Implementation grant funding under the Water Quality, Supply, and Infrastructure Improvement Act of 2014 (Proposition 1). Prospective applicants should read this PSP and the 2018 Guidelines to ensure that the submitted documents will meet the grant program requirements. The 2018 Guidelines are posted on the DWR IRWM Grant Program website at the link listed in the Foreword.

Definitions of acronyms, abbreviations, and other terms commonly used throughout this PSP are provided in the 2018 Guidelines.

## II. ELIGIBILITY

To be eligible for IRWM grant funding, all applicable eligibility criteria outlined in Section II of the 2018 Guidelines and summarized below must be met. Additional eligibility requirements that apply specifically to this solicitation are listed in Section II.C of this PSP. A comprehensive eligibility checklist is provided in Table 1 (below) as a reference for applicants.

### A. Eligible Grant Applicants

A grant applicant is the entity submitting the grant application. Entities that are eligible to submit an application under this PSP are listed below and further defined in the 2018 Guidelines, Section II.A and Appendix B:

- Public agencies
- Non-profit organizations
- Public utilities
- Federally recognized Indian Tribes
- California State Indian Tribes listed on the Native American Heritage Commission's California Tribal Consultation List
- Mutual water companies

For the purposes of this PSP, federally recognized Indian Tribes and California State Indian Tribes listed on the Native American Heritage Commission's California Tribal Consultation List are collectively referred to as "Tribe" or "Tribes".

An eligible grant applicant will submit an application on behalf of a specific IRWM region(s). Only one application will be accepted per IRWM region; however, a single application may be submitted on behalf of multiple IRWM regions within a Funding Area. In addition, the IRWM region(s) must have been accepted into the IRWM Grant Program through DWR's Region Acceptance Process (RAP). A list of accepted regions can be found at the following link: <https://water.ca.gov/Work-With-Us/Grants-And-Loans/IRWM-Grant-Programs/Region-Acceptance-Process>

An eligible grant applicant will then enter into an agreement with the State, should the application be successful. Local Project Sponsors are generally any stakeholder responsible for implementing a project within an application and must meet all applicable eligibility requirements for grant applicants.

### B. Eligible Project Types

Specific details on eligible project types are provided in Section II.C of the 2018 Guidelines. Eligible projects must also be included in an adopted IRWM Plan (Water Code §79740) that is consistent with the 2016 plan standards

(IRWM Plan). The 2016 IRWM Grant Program Guidelines provide additional information regarding IRWM Plan standards. Refer to the Grant Program website in the Foreword for a link to this document.

## **C. Additional Proposal and Project Eligibility Requirements**

Throughout this PSP, all projects (or a single project) submitted in a single application are collectively referred to as a proposal. Additional proposal and project eligibility requirements that were not defined in the 2018 Guidelines and are specific to this solicitation are listed below.

As specified in Proposition 1, all proposals must:

- Respond to climate change, and
- Contribute to regional water self-reliance

All projects must be included in an IRWM Plan that meets 2016 Plan Standards and:

- Address the most critical needs of the IRWM region
- Be consistent with Statewide Priorities as identified in the Proposition 1 IRWM Grant Program Guidelines
- If applicable, have an expected useful life of at least 15 years
- Have CEQA completed and permits necessary to begin construction acquired within 6 months of funding award, or prior to agreement execution, whichever occurs first. Some exceptions apply.

Exhibit A further defines the proposal and project eligibility requirements specific to this PSP. Note that while environmental mitigation measures part of and necessary to complete an otherwise eligible project may be funded, existing compensatory mitigation, mitigation measures, or compliance obligations are not eligible projects.

**TABLE 1  
IRWM Implementation Grant Eligibility Checklist**

Criteria Type	Eligibility Criteria	Required Documentation	Additional Details	Attachment	Criteria Met (Yes, No, or NA)
<b>Applicant Eligibility</b>	Has the IRWM region been accepted into the IRWM Grant Program through the Region Acceptance Process?	None. DWR to verify.	2018 Guidelines Section II.B.	NA	
	Did applicant participate in Funding Area Pre-Application Workshop?	None. DWR to verify.	PSP Section V.A.1	NA	
	Has the region submitted an IRWM plan that meets 2016 standards to DWR for review prior to application submittal?	Provide proof (i.e., email confirmation) that plan has been submitted to DWR for review, including date of submission. DWR will also verify.	PSP Section V.A.2 & Section V.B.3	NA	
	Is the applicant an Eligible Applicant for Proposition 1 funding?	Written statement describing how the applicant meets the definition of an eligible applicant, legal authorities, agreements between applicant and local project sponsors, etc. (Specific requirements vary based on eligible applicant type.)	2018 Guidelines Section II.B. & PSP Section V.B.3	1	
	Urban Water Management Compliance <sup>1)</sup>	Agency name and contact information DWR verification documentation for Urban Water Management Plans DWR verification for validated water loss audit report(s) Water meter self-certification, if applicable	2018 Guidelines Section II.B. & PSP Section V.B.3	1	
	Agricultural Water Management Compliance <sup>1)</sup>	Agency name and contact information DWR verification documentation for Agricultural Water Management Plan Enhanced Watershed Management Plan documentation as required Farm-gate delivery documentation, if applicable	2018 Guidelines Section II.B. & PSP Section V.B.3	1	
	Surface Water Diverter Compliance <sup>1)</sup>	Agency name and contact information SWRCB verification documentation	2018 Guidelines Section II.B. & PSP Section V.B.3	1	
	Groundwater Management Compliance <sup>1)</sup>	Agency name and contact information Self-certification regarding Groundwater Management Plans OR Statement if no projects affect groundwater	2018 Guidelines Section II.B. & PSP Section V.B.3	1	



	CASGEM Compliance <sup>1)</sup>	Agency Name and contact information Service area boundary, including GIS Shape file Groundwater Basin Name, Number, and listed priority Name of Monitoring Entity (ME) OR If no ME, indicate whether applicant is an eligible ME	2018 Guidelines, Section II.B. & PSP, Section V.B.3	1	
<b>Local Project Sponsor Eligibility</b>	Does each Local Project Sponsor meet all applicant eligibility requirements (as applicable)?	Each Local Project Sponsor must meet the same eligibility requirements as the applicant.	See specific requirements above	1	<b>Utilize same checklist as above for each LPS</b>
<b>Proposal Eligibility</b>	Only one application per IRWM region	DWR to Verify.	PSP Section II.A	NA	
	Does the proposal respond to Climate Change?	Indicate which project(s) in proposal respond to Climate Change	2018 Guidelines Section II.C. & PSP Section II.C, Exhibit A	2	
	Does the proposal contribute to regional water self-reliance?	Indicate which project(s) in proposal contribute to regional water self-reliance OR Provide explanation why the proposal does not need to contribute to regional water self-reliance	2018 Guidelines Section II.C. & PSP Section II.C, Exhibit A	2	
	For regions where nitrate, arsenic, perchlorate, or hexavalent chromium contamination (AB 1249 contaminants) has been identified, does the proposal include a project(s) to address contamination?	Indicate which projects in proposal address AB 1249 contaminants OR Provide explanation why the proposal does not include that kind of project(s)	2018 Guidelines, Section II.B	2	
<b>Project Eligibility</b>	Is Project an Eligible Project Type?	Applicant to complete Question A.8 of PIF, Attachment 3	2018 Guidelines, Section II.C & PSP Section II.B	3	
	Does the project meet the critical needs of the region?	Applicant to complete Question B.2 of PIF, Attachment 3	PSP Section II.C, Exhibit A	3	
	Does the project have a useful life of at least 15 years?	Applicant to complete Question B.3 of PIF, Attachment 3	PSP Section II.C, Exhibit A	3	
	Is the project consistent with Statewide Priorities?	Applicant to complete Question B.6 of PIF, Attachment 3	PSP Section II.C, Exhibit A	3	
	If the project is a stormwater and/or dry weather runoff capture project, is it included in a Stormwater Resource Plan that has been incorporated into an IRWM plan?	Applicant to provide documentation that the project is included in a Stormwater Resource Plan that has been incorporated into the IRWM Plan.	2018 Guidelines Section II.B, Section II.C & PSP Section V.B.3	Add doc to Att 3	
	If the project affects Groundwater, does the project have the support of the local Groundwater Sustainability Agency?	Applicant to provide documentation that the project has support from the Groundwater Sustainability Agency (GSA).	2018 Guidelines Section II.B, PSP Section V.B.3	Add doc to Att 3	
<b>Post Funding Award Eligibility/</b>	Is each project included in an IRWM Plan that is consistent with the 2016 IRWM Plan Standards?	DWR to verify prior to execution of Agreement.	2018 Guidelines Section II.B & PSP Section II.B, Section VIII	NA	

<b>Agreement Requirements</b>	Has the IRWM Plan been deemed consistent with the 2016 IRWM Plan Standards by DWR?	DWR to verify prior to execution of Agreement.	2018 Guidelines Section II.B & PSP Section VIII	NA	
	Have grantee and all Local Project Sponsors adopted the IRWM plan?	DWR to verify prior to execution of Agreement.	2018 Guidelines Section II.B; PSP Section VIII	NA	
	Has CEQA been completed and all permits necessary to begin construction acquired within 6 months of Final Award, and prior to agreement execution?	Provide documentation if complete. Otherwise, requirement shall be met before execution of agreement.	PSP Section VIII, Exhibit A	NA	

NOTES  
 1) Eligibility Criteria compliance required only if applicable to the Grantee or Local Project Sponsor.

### III. FUNDING

Proposition 1 authorized \$510 million for DWR to award IRWM grants, with specified allocations to 12 Funding Areas in California (Water Code §79744). Of the \$510 million, \$25.5 million (5%) is designated for DWR's grant administration costs, \$15.3 million (3%) is designated for DWR's planning and monitoring costs, and \$10.2 million (2%) is designated for other State costs (issuance of bonds). Previously awarded funds include \$4.2 million for IRWM Planning Grants and \$51.7 million for DAC Involvement Grants.

As required by legislation (Wat. Code §79742(d)), at least 10% of authorized funds (\$51 million) will be reserved for projects that directly benefit Disadvantaged Communities, with the minimum 10% requirement applied to each Funding Area.

DWR plans to administer multiple rounds of solicitations for Proposition 1 IRWM Implementation Grants. This PSP is applicable to the Round 1 Implementation Grant solicitation, to award approximately \$194 million in grant funds. Table 2 provides a complete breakdown of this funding allocation.

DWR will solicit proposals to award funding on a competitive basis in two funding categories:

- *DAC Implementation Project:* DAC Implementation Projects include only those projects that directly and entirely benefit a DAC. See Appendix E of the 2018 Guidelines for the definition of a DAC. Funding awarded under this category will count toward the 10% minimum required to be awarded to implementation projects that directly benefit a DAC.
- *General Implementation Project:* General Implementation Projects include all other eligible implementation projects.

At the time of application, applicants will select under which funding category they would like projects to be considered. Projects that provide benefits entirely to DACs may be submitted for funding under either category.

The maximum amount of funds awarded through this solicitation for any single Funding Area cannot exceed the values shown in Table 2. Due to the limited amount of funding available, it is possible that individual applicants may receive less than the full amount requested. All grant funds remaining after this solicitation will be made available during future rounds.

*Note to Readers of this Draft PSP:* Table 2 shows recommended maximum funding amounts for Round 1 for each funding area, with the goal of ensuring that adequate funding is reserved for subsequent round(s) for projects not yet identified or ready for funding, including DAC implementation projects. The Table 2 amounts will be revised (increased or decreased) for the final PSP based on feedback received during the public comment period about Funding Area readiness to receive the funds.

*Note to Readers of this Draft PSP:* DWR will be requesting allocation of additional planning and monitoring funds to manage this grant program, as allowed and authorized by Proposition 1 (Wat. Code §79704) For the purposes of this PSP, that amount is estimated to be 3% and is reflected in the amounts available to each funding area as shown in Table 2. Should that percentage change for any reason, prospective grant applicants will be notified of the revised available funding amounts for each funding area as soon as possible.

**TABLE 2**  
**Proposition 1, Round 1, IRWM Implementation Grant Funding**

			Previous Awards		Grant Funding Remaining		Maximum Available per Funding Category			
Column A	Column B	Column C	Column D	Column E	Column F	Column G	Column H	Column I	Column J	Column K
Funding Area	Proposition 1 Allocation	State Costs <sup>1)</sup> (10%)	Planning Grant Awards	DAC Involvement Awards	DAC Implementation on Projects (10% Min)	General Implementation Projects <sup>2), 3)</sup>	DAC Implementation Projects <sup>4)</sup>		General Implementation Projects <sup>4)</sup>	
							% of Col. F		% of Col. G	
North Coast	\$26,500,000	\$2,650,000	\$ -	\$2,650,000	\$2,650,000	\$18,550,000	35%	\$927,500	50%	\$ 9,275,000
San Francisco Bay	\$65,000,000	\$6,500,000	\$ -	\$6,500,000	\$6,500,000	\$45,500,000	35%	\$2,275,000	50%	\$ 22,750,000
Central Coast	\$43,000,000	\$4,300,000	\$ 281,118	\$4,300,000	\$4,300,000	\$29,818,882	35%	\$1,505,000	50%	\$ 14,909,441
Los Angeles	\$98,000,000	\$9,800,000	\$ -	\$9,800,000	\$9,800,000	\$68,600,000	35%	\$3,430,000	50%	\$ 34,300,000
Santa Ana	\$63,000,000	\$6,300,000	\$ 250,000	\$6,300,000	\$6,300,000	\$43,850,000	35%	\$2,205,000	50%	\$ 21,925,000
San Diego	\$52,500,000	\$5,250,000	\$ 250,000	\$5,551,350	\$5,250,000	\$36,198,650	35%	\$1,837,500	50%	\$ 18,099,325
Sacramento River	\$37,000,000	\$3,700,000	\$ 314,222	\$3,700,000	\$3,700,000	\$25,585,778	35%	\$1,295,000	50%	\$ 12,792,889
San Joaquin River	\$31,000,000	\$3,100,000	\$ 215,125	\$3,100,000	\$3,100,000	\$21,484,875	35%	\$1,085,000	50%	\$ 10,742,438
Tulare/Kern	\$34,000,000	\$3,400,000	\$ 751,888	\$3,400,000	\$3,400,000	\$23,048,112	35%	\$1,190,000	50%	\$ 11,524,056
North / South Lahontan	\$24,500,000	\$2,450,000	\$ 841,030	\$2,450,000	\$2,450,000	\$16,308,970	35%	\$857,500	50%	\$ 8,154,485
Colorado River	\$22,500,000	\$2,250,000	\$ 1,211,982	\$2,636,488	\$2,250,000	\$14,151,530	35%	\$787,500	50%	\$ 7,075,765
Mountain Counties	\$13,000,000	\$1,300,000	\$ 83,906	\$1,300,000	\$1,300,000	\$9,016,094	35%	\$455,000	50%	\$ 4,508,047
<b>Total</b>	<b>\$510,000,000</b>	<b>\$51,000,000</b>	<b>\$ 4,199,271</b>	<b>\$51,687,838</b>	<b>\$51,000,000</b>	<b>\$352,112,891</b>	<b>35%</b>	<b>\$17,850,000</b>	<b>50%</b>	<b>\$176,056,446</b>
<b>TOTAL TO AWARD: ROUND 1</b>										<b>\$193,906,446</b>

**NOTE:**  
 1) Includes State Administration (5%); Program Planning and Monitoring (3%); and Bond Costs (2%). Subject to change depending on future budget appropriations.  
 2) Available Grant Funding remaining for General Implementation Projects was calculated by subtracting Columns C, D, E, & F from Column B.  
 3) Remaining grant funding available subject to change depending on final Grant Awards from Round 1 and approved budget appropriations of grant funds.  
 4) Values presented for each Funding Area represent the available grant funding during this PSP solicitation period. See PSP, Section III for definition of funding categories.

## A. Local Cost Share

Proposition 1 requires a minimum cost share of 50% of the total project cost. Applicants must demonstrate that a minimum of 50 percent of the total proposal costs will be paid for with non-State funds (Water Code §79742(C)). Costs incurred after January 1, 2015 (the effective date of Proposition 1) can be used as local cost share; in-kind services may also be used for local cost share.

An applicant may request the local cost share requirement be waived or reduced for projects that directly benefit one or more DACs and/or Economically Distressed Areas (EDAs). The 2018 Guidelines, Appendices E and F provide details regarding what documentation must be submitted to support claimed benefits to DACs and/or EDAs. To determine if a Cost Share Waiver applies, DWR will review and evaluate documentation submitted in the application supporting project benefit area claimed by the applicant (see PSP Section V.B.3, Attachments 7 and/or 8). Project benefits may be claimed based on either by population or geographic area. If documentation submitted is reasonable, cost share waivers will be determined as follows:

<b>DAC/EDA Benefit</b>	<b>Cost Share Waiver</b>
76% - 100%:	100 percent cost share waiver
51% - 75%:	75 percent cost share reduction waiver
25% - 50%:	50 percent cost share reduction waiver
Less than 25%:	No cost share reduction waiver

## B. Reimbursement Date

For this grant solicitation, costs incurred after the Final Award date will be eligible for reimbursement. This date may be different for each Funding Area as discussed in the solicitation schedule below. Reimbursable costs are defined in the 2018 Guidelines, Appendix B.

## C. Grant Reimbursement Limitations

Funding for grant administration cannot exceed 10% of the total requested grant amount of the proposal. Should a proposal include more than 10% grant administration, the grant amount for administration will be automatically reduced to meet the 10% maximum. The applicant will not have the option to reallocate these funds to another project within their proposal. This grant administration maximum will apply throughout the life of the grant agreement. In addition, costs associated with CEQA activities are not eligible for grant reimbursement, unless a project is eligible for a CEQA exemption as defined in Appendix A.

## IV. SOLICITATION SCHEDULE

The schedule for this solicitation is posted on the DWR website listed in the Foreword. Updates may also be distributed through e-mail announcements and news releases. For parties that are not already on the IRWM mailing list and wish to receive updates on the IRWM Grant Program, please visit the website listed in the Foreword to sign up.

This solicitation process does not have a single timeline for all applicants. Each Funding Area will progress through the solicitation process based on the date they select to begin the solicitation process as outlined in the Application Instructions. Specific deadlines for each Funding Area will be posted on DWR's website as they are finalized. If

internal RWMG Governance structures do not allow an applicant to meet the timelines specified in the Application Instructions, DWR may adjust the timelines as appropriate.

## V. APPLICATION INSTRUCTIONS

This section provides instructions for preparing and submitting a grant application. It is important that applicants follow the Application Instructions to ensure that their application will address all requirements. Applicants are reminded that once the application has been submitted to DWR, any privacy rights, as well as other confidentiality protections afforded by law with respect to the application, will be waived.

### A. Solicitation Process

This solicitation consists of two phases:

- Phase 1 - Funding Area Pre-Application Workshops
- Phase 2 - Final Application Submittal

Each of the following sections detail the requirements of each phase of the solicitation process.

#### 1. Phase 1 – Funding Area Pre-Application Workshops

Prior to application submittal, DWR, other State representatives, and representatives from each IRWM region within the Funding Area will meet at a Funding Area Pre-Application Workshop (Workshop). The purpose of the Workshop is to enhance engagement between DWR and the IRWM regions, provide a platform for interregional coordination within each Funding Area (if applicable), increase transparency, provide opportunities for other State Agency interaction as appropriate, and increase the potential for successfully completed projects. Applicants must participate in the Workshop in order to be eligible to submit an application for Round 1 IRWM Implementation grant funding. Although work or activities associated with the Workshop are not eligible for grant reimbursement, this work is eligible as a cost share toward the project.

*Note to Readers of this Draft PSP:* This section of the PSP requires Funding Areas to work together to select a date and location for their Funding Area Pre-Application Workshop and select a Point of Contact for communicating with DWR regarding workshop logistics. Funding Areas are strongly encouraged to begin these discussions as soon as possible. Please see the [cover letter](#) for details.

##### a. Coordination and Scheduling

Each Funding Area will select a single entity serve as the point of contact (POC) for scheduling and coordinating the Workshop. The POC must provide written verification to DWR that the POC has coordinated with all the IRWM regions within the Funding Area and that all regions agree on Workshop details (i.e., date, location, etc.).

Each Workshop will be held between February and July 2019 at a location within the Funding Area or other agreed upon location. The date and location of the Workshop will be determined by DWR and the POC with the consensus of IRWM regions. If DWR and the POC have not established a mutually agreeable final workshop date and/or location by February 1, 2019, DWR will assign a Workshop date and/or location for the Workshop. Each Workshop is expected to be held on a single day, but may be held over two days and/or at multiple locations, depending on the number of regions presenting and the geographical extent of the Funding Area. Once finalized, the Workshop date and location will be posted on DWR's website [here](#). The Workshop date(s) and/or location may be subject to change

as appropriate, with DWR concurrence. If a Workshop date and/or location is changed, the updated information will be distributed via the IRWM listserv and DWR's website.

### **b. Submittals**

At least two weeks prior to the respective applicant's Workshop date, each applicant within the Funding Area should submit the following via email to: [dwr\\_irwm@water.ca.gov](mailto:dwr_irwm@water.ca.gov)

- One completed Proposal Summary (summarizing each project the applicant intends to submit as part of the application); and
- A completed Project Information Form for each project contained in the Proposal Summary.

Proposal Summary and Project Information Forms are available for download [here](#).

The purpose of these documents is to familiarize DWR representatives and State and/or Federal agency partners with the proposed project(s) prior to the Workshop and allow agency representatives to provide applicants with constructive feedback during the Workshop. The success of this Workshop depends on timely submittal of the Proposal Summary and Project Information Forms.

### **c. Participants and Content**

Representatives from the Funding Area and/or region(s) will lead the workshop. The presenting group should consist of representatives from: the applying entity(ies), each IRWM Regional Water Management Group, each Local Project Sponsor, and DACs, EDAs, and/or Tribes (if applicable). One person may represent more than one group. DWR encourages other interested parties be afforded the opportunity to attend the Workshop. DWR Representatives may include, but are not limited to, participants from DWR's Financial Assistance Branch, Regional Offices, and the Office of the Tribal Policy Advisor. It is anticipated that other partner agencies will participate in the Workshop. If the POC and/or representatives from the Funding Area would like to ensure specific agencies attend the workshops, DWR will work with the POC to invite the appropriate representatives.

At the Workshop, applicants will be asked to present information on their overall proposal and each individual project. DWR and partner agency representatives may ask and receive responses to clarifying questions, as well as provide feedback on the proposed projects. To make the best use of the time and opportunity, applicants, and/or their representatives, should be prepared to discuss all information requested in Exhibit B. DWR encourages applicants to email electronic copies of any materials provided in hard copy at the Workshop to DWR the day after the Workshop to facilitate constructive feedback from DWR and other agencies.

### **d. Post-Workshop Feedback**

Within four (4) weeks of the applicant's presentation, DWR (in consultation with other agencies as appropriate and time allowing) will provide written feedback to the applicant regarding the proposal and each proposed project. The applicant should consider the feedback when preparing the final application and consult DWR for clarification as needed.

## **2. Phase 2 – Final Application Submittal on behalf of Region(s) or Funding Area**

Within 12 weeks of the Workshop (eight weeks after DWR provides written feedback), each applicant within the Funding Area must submit a complete application on-line using DWR's Grants Review and Tracking System (GRanTS) on behalf of the IRWM region(s), and/or Funding Area. See Section V.B. of this PSP for more information on how to submit an application. Should a Funding Area have more than one Workshop date, the final Workshop date shall mark the beginning of the 12-week period to submit applications. The application consists of four sections or "Tabs" as outlined in Table 3 (Grant Application Checklist), which is provided as a guide for the applicants to ensure that they have submitted the required information for a complete application.

Each IRWM region must have submitted an IRWM Plan updated to meet the 2016 Plan Standards to DWR for review prior to submitting an application for Round 1 funding.

## B. How to Submit

### 1. *Electronic Submittal*

Applicants must submit the required attachments using DWR’s GRanTS electronic submittal tool. GRanTS can only be accessed with Internet Explorer and Google Chrome. The online GRanTS application can be found at the following link:

<http://www.water.ca.gov/grants/>

The name of this PSP in GRanTS is “P1R1IG.” To access this PSP, applicants must have an account in GRanTS or register if they have not already done so. Local Project Sponsors that are registered in GRanTS can be selected in the drop-down menu of the “Implementing Organization” of the “Projects Tab.”

Applicants are encouraged to watch the "How to Register" and "How to Complete a Grant Application" videos and review the GRanTS Public User Guide and Frequently Asked Questions, available at the above link, prior to completing the online application. If an applicant has questions as to the content or the information requested in the PSP or questions or problems with GRanTS, please refer to the phone number or e-mail listed in the Foreword.

The grant application in GRanTS consists of four sections or “tabs” outlined in Table 3. Within GRanTS, pull down menus, text boxes, or multiple-choice selections will be used to receive answers to the questions. GRanTS will allow applicants to type text or cut and paste information from other documents directly into a GRanTS submittal screen.

When uploading an attachment in GRanTS, the following attachment title naming convention must be used:

Att#\_P1R1IG\_AttachmentName\_#ofTotal#

Where:

- a. “Att#” is the attachment number
- b. “P1R1IG” is the code of this solicitation
- c. “AttachmentName” is the name of the attachment as specified in Section V.B.3 – Attachment Instructions
- d. “#ofTotal#” identifies the number of files that make up an attachment, where “#” is the number of a file and “Total#” is the total number of files submitted in the attachment

For example, if the Attachment 1 – Authorization and Eligibility Requirements is made up of three files, the second file in the set would be named “Att2\_P1R1IG\_Eligible\_2of3”.

File size for each attachment submitted via GRanTS is limited to 50 megabytes (MB). Breaking documents into components such as chapters or logical components so that files are less than 50 MB will aid in uploading files. Files must be submitted in PDF format. PDF files should be generated, if possible, from the original file rather than scanned hard copy.

Upon submittal of the final application, applicants must notify DWR by email to [dwr\\_irwm@water.ca.gov](mailto:dwr_irwm@water.ca.gov) that the final application is ready for review.



## 2. Grant Application Checklist

<b>Table 3– Grant Application Checklist</b>	
<b>APPLICANT INFORMATION TAB</b>	
<i>The following information is general and applies to the applicant and the overall proposal. Specific project information should be detailed on separate project tabs provided in the GRanTS application.</i>	
<b>APPLICANT INFORMATION</b>	
<input type="checkbox"/>	<b>Organization Name:</b> Provide the name of the Agency/Organization responsible for submitting the application. Should the application be successful, this Agency/Organization will be the Grantee.
<input type="checkbox"/>	<b>Tax ID:</b> Tax ID is automatically displayed for registered organizations. Verify the applicant’s federal tax ID number.
<input type="checkbox"/>	<b>Point of Contact:</b> <ul style="list-style-type: none"> <li>• Select “Existing Register Users” to select the registered user associated with the organization specified above. The rest of the contact information (Division, Address, e-mail, etc.) are auto populated once the above registered user is selected.</li> <li>• Select “Add New User” to add an unregistered user. Please select Division (address will be auto populated) and type the First Name, Last Name, E-mail, and Phone (Direct) of the new user. Please note that the e-mail address will be the new user’s login name.</li> </ul>
<input type="checkbox"/>	<b>Point of Contact:</b> Position Title (Does not need to be the same as the Workshop POC.)
<input type="checkbox"/>	<b>Application Name:</b> Provide the title of the Proposal; please include the IRWM region(s) name as part of the Proposal Name. Include Funding Area name if one proposal in Funding Area. (Maximum Character Limit: 150)
<input type="checkbox"/>	<b>Proposal Objective:</b> Leave Blank
<b>PROPOSAL BUDGET</b>	
<i>For the proposal, the following budget items should be transferred from the Proposal Summary Form where applicable.</i>	
<input type="checkbox"/>	<b>Other Contribution:</b> Provide the amount of other funds not included in the categories as listed below. If there is no other contribution, enter zero.
<input type="checkbox"/>	<b>Local Contribution (Cost Share Match):</b> Provide the total cost share that will be committed to the Proposal. The Implementation Grant Program requires a minimum local contribution of 50% of total proposal cost unless the applicant has received a Cost Share Waiver.
<input type="checkbox"/>	<b>Federal Contribution:</b> Enter Federal funds being used. If none, enter zeros.
<input type="checkbox"/>	<b>In-kind Contribution:</b> Provide the total amount of in-kind services in dollars. In-kind Contribution – refers to work performed by the grantee. The cost of which is considered cost share. If there is no in-kind contribution, then enter zeroes in this field.
<input type="checkbox"/>	<b>Amount Requested (Grant Funds Requested):</b> Provide the amount of total grant funds requested.
<input type="checkbox"/>	<b>Total Proposal Cost:</b> Provide the total proposal cost, in dollars. This amount must agree with the total proposal cost shown in Attachment 2. Total proposal cost is automatically calculated based on the contribution amounts entered above.
<b>GEOGRAPHIC INFORMATION</b>	
GRanTS requests latitude and longitude in degrees, minutes, and seconds. You may use converters on the web such as <a href="http://transition.fcc.gov/mb/audio/bickel/DDDMSS-decimal.html">http://transition.fcc.gov/mb/audio/bickel/DDDMSS-decimal.html</a> . X/Y center points for each IRWM region can be found here: <a href="http://www.water.ca.gov/irwm/grants/resources_geofiles.cfm">http://www.water.ca.gov/irwm/grants/resources_geofiles.cfm</a>	
<input type="checkbox"/>	<b>Latitude:</b> Applicant’s Location
<input type="checkbox"/>	<b>Longitude:</b> Applicant’s Location
<input type="checkbox"/>	<b>Longitude/Latitude Clarification:</b> Only use if necessary. (Maximum Character Limit: 250)
<input type="checkbox"/>	<b>Location:</b> List each IRWM region included in the proposal.
<input type="checkbox"/>	<b>County(ies):</b> Provide the county in which the IRWM region(s) is located. If the IRWM region covers multiple counties hold the control key down and select all that apply.
<input type="checkbox"/>	<b>Groundwater Basins:</b> Provide the groundwater basin(s), including Basin Number, as listed in the current version of DWR Bulletin 118 ( <a href="https://water.ca.gov/Programs/Groundwater-Management/Bulletin-118">https://water.ca.gov/Programs/Groundwater-Management/Bulletin-118</a> ) in which your Proposal is located. For proposals covering multiple groundwater basins, hold the control key down and select all that apply.

<b>Table 3– Grant Application Checklist</b>	
<input type="checkbox"/>	<b>Hydrologic Regions:</b> Provide the hydrologic region in which your IRWM region(s) is located. For proposals covering multiple hydrologic regions, hold down the control key and select all that apply.
<input type="checkbox"/>	<b>Watershed(s):</b> (Maximum Character Limit: 250) Provide the name of the watershed the IRWM region covers. A map of California watersheds can be found at the following link: <a href="http://www.conservation.ca.gov/dlrp/wp/Documents/CALFED_Watershed_Map[1].pdf">http://www.conservation.ca.gov/dlrp/wp/Documents/CALFED_Watershed_Map[1].pdf</a> If your IRWM region covers multiple watersheds, you may only provide one “Unique Watershed Number” as listed on the watershed map.
<b>LEGISLATIVE INFORMATION</b>	
<input type="checkbox"/>	Enter the State Assembly, State Senate, and U.S. Congressional Districts in which the IRWM region is located (use district numbers only, not the name of the Legislator). For IRWM regions that include more than one district, Hold the control key down and select all that apply.
<b>PROJECTS TAB</b>	
<i><b>This section contains information about the projects contained in the Proposal. Each project in the Proposal should be detailed on a separate Project Tab. Applicants may generate as many Project Tabs as are necessary. The following questions will be used to gather information on each specific project.</b></i>	
<b>PROJECT INFORMATION</b>	
<input type="checkbox"/>	<b>Project Name:</b> Provide the project name. (Maximum Character Limit: 125 characters)
<input type="checkbox"/>	<b>Implementing Organization:</b> Select the implementing organization (Local Project Sponsor)
<input type="checkbox"/>	<b>Secondary Implementing Organization:</b> (Maximum Character Limit: 125 characters)
<input type="checkbox"/>	<b>Proposed Start Date:</b> Leave blank
<input type="checkbox"/>	<b>Proposed End Date:</b> Leave blank
<input type="checkbox"/>	<b>Scope of Work:</b> Leave blank
<input type="checkbox"/>	<b>Project Description:</b> Leave blank
<input type="checkbox"/>	<b>Project Objective:</b> Leave blank
<b>PROJECT BENEFITS INFORMATION</b>	
<i>Please do not enter any information into GRanTS for the following Project Benefits Questions. They are standard GRanTS questions and cannot be removed but are unnecessary for implementation grant applicants.</i>	
<input type="checkbox"/>	<b>Benefit Level:</b> Leave blank.
<input type="checkbox"/>	<b>Benefit Type:</b> Leave blank.
<input type="checkbox"/>	<b>Benefit:</b> Leave blank.
<input type="checkbox"/>	<b>Description:</b> Leave blank.
<input type="checkbox"/>	<b>Measurement:</b> Leave blank.
<b>PROJECT BUDGET</b>	
<i>For each project, the following budget items should be taken from Proposal Summary Form, where applicable.</i>	
<input type="checkbox"/>	If only one project is being proposed, use the “Copy Budget data from Applicant Info” feature to populate previously entered data. Otherwise, enter individual budget items for each project in the same manner as described for the Applicant Information Tab. The sum of the budget items must agree with the total project budget.
<b>GEOGRAPHIC INFORMATION</b>	
<input type="checkbox"/>	Enter the geographical information for each individual project location (latitude and longitude in degrees, minutes, and seconds). Under “location”, indicate IRWM region the project benefits.
<b>LEGISLATIVE INFORMATION</b>	
<input type="checkbox"/>	If only one project is being proposed, use the “Copy Legislative data from Applicant Info” feature to populate previously entered data. Otherwise, enter the legislative information for each project in the same manner as described for the Applicant Information Tab. For projects covering more than one district, hold the control key down and select all that applies.

**Table 3– Grant Application Checklist**

<b>APPLICANT INFORMATION AND QUESTIONS TAB</b>			
<i>The answers to these questions will be used in processing the proposal and determining eligibility and completeness.</i>			
<input type="checkbox"/>	<b>Q1. Project Representative:</b> Provide the name and details of the person responsible for signing and executing the grant agreement for the applicant. Persons that are subcontractors to be paid by the grant cannot be listed as the Project Representative.		
<input type="checkbox"/>	<b>Q2. Project Manager:</b> Provide the name and contact information of the Project Manager from the applicant agency or organization that will be the day-to-day contact on this proposal.		
<input type="checkbox"/>	<b>Q3. Funding Area Information:</b> Provide the IRWM funding area(s) in which projects are located.		
<input type="checkbox"/>	<b>Q4. DAC and/or EDA Waiver Cost Share Request:</b> Are you applying for a DAC and/or EDA cost share waiver? If yes, fill out Attachment 7 and/or 8.		
<input type="checkbox"/>	<b>Q5. Eligibility:</b> Has each IRWM region represented in this application submitted an IRWM Plan updated to meet the 2016 Plan Standards to DWR as of the date of this application submittal? If no, please explain.		
<input type="checkbox"/>	<b>Q6. Self-Certification:</b> By clicking on Yes on this question, the applicant certifies that all information included in this application is true and correct, and the applicant has made his/her best efforts to confirm the veracity of its contents as of the date of submission of this application.		
<b>PROPOSAL ATTACHMENTS TAB</b>			
<i>Provide the attachments listed below by attaching files to the GRanTS proposal. When attaching files, please use the naming convention found in Section V.B.1 of this PSP. For instructions on attaching files, please watch the “How to Complete a Grant Application” video and refer to the GRanTS User Manual. Requirements for information to be included in these attachments are found in Section V.B.3 of this PSP.</i>			
<b>Attachment #</b>	<b>Attachment Title</b>	<b>GRanTS Naming Convention “Attachment Name”</b>	
<input type="checkbox"/>	Attachment 1	Authorization and Eligibility Requirements	“Eligible”
<input type="checkbox"/>	Attachment 2	Final Proposal Summary	“Proposal”
<input type="checkbox"/>	Attachment 3	Final Project Information Form(s)	“Project”
<input type="checkbox"/>	Attachment 4	Work Plan	“Work Plan”
<input type="checkbox"/>	Attachment 5	Budget	“Budget”
<input type="checkbox"/>	Attachment 6	Schedule	“Schedule”
<input type="checkbox"/>	Attachment 7 (if applicable)	Disadvantaged Community	“DAC”
<input type="checkbox"/>	Attachment 8 (if applicable)	Economically Distressed Area	“EDA”
<input type="checkbox"/>	Attachment 9 (if applicable)	Tribe	“Tribe”

### 3. Attachment Instructions

Applicants are required to submit Attachments 1 through 6 for a complete Round 1 Implementation Grant Solicitation application. Attachments 7, 8, and 9 are required if applicable (see discussion of each attachment below.)

#### **ATTACHMENT 1. AUTHORIZATION AND ELIGIBILITY REQUIREMENTS**

Attachment 1 consists of authorization and eligibility documentation, including the items listed below. Required documents must be completed and included in Attachment 1, where applicable, for compliance. Please note that the grant applicant and each Local Project Sponsor must meet all applicable eligibility requirements. If the Local Project Sponsor is found to be ineligible, funding cannot be awarded to the project and the grant award will be proportionately reduced.

- Authorizing Documentation
- Eligible Applicant Documentation
- Submittal of an Updated IRMW Plan
- Urban Water Management Compliance
- Agricultural Water Management and Measurement Compliance
- Surface Water Diverter Compliance
- Groundwater Management Compliance
- CASGEM Compliance

**Authorizing Documentation** – The applicant must provide a resolution adopted by the applicant’s governing body designating an authorized representative to submit the proposal and execute an agreement with the State of California for a Round 1 IRWM Implementation Grant.

The following text box provides an example of the resolution that must be submitted to fulfill this requirement:

RESOLUTION NO. \_\_\_\_\_

Resolved by the <Insert name of governing body, city council, organization, or other> of the <Insert name of agency, city council, organization, or other>, that proposal be made to the California Department of Water Resources to obtain a Round 1 Integrated Regional Water Management Implementation Grant pursuant to the Water Quality, Supply, and Infrastructure Improvement Act of 2014 (Water Code § 79700 *et seq.*), and to enter into an agreement to receive a grant for the: <Insert name of Proposal>. The <Insert title – Presiding Officer, President, Agency Manager, or other officer> of the <Insert name of agency, city, county, organization, or other>, or designee, is hereby authorized and directed to prepare the necessary data, conduct investigations, file such proposal, and execute a grant agreement with California Department of Water Resources.

Passed and adopted at a meeting of the <Insert name of agency, city, county, organization, or other> on <Insert date>.

Authorized Original Signature: \_\_\_\_\_

Printed Name: \_\_\_\_\_

Title: \_\_\_\_\_

Clerk/Secretary: \_\_\_\_\_

**Eligible Applicant Documentation:** Eligible applicants are local public agencies, non-profit organizations, public utilities, federally recognized Indian Tribes, California State Indian Tribes, and Mutual water companies, as defined in Appendix B of the 2018 Guidelines.

If DWR determines that the applicant does not have the authority to enter into a grant agreement with the State, the applicant will not be eligible for funding and the proposal will not be reviewed. DWR encourages potential applicants to reach out to DWR regarding any eligibility concerns prior to submitting a proposal.

If the applicant has received an IRWM Grant after January 1, 2012, state as such and the applicant is not required to submit the following eligible applicant information. If not, the applicant must provide a written statement (and additional information if noted) containing the appropriate information outlined below:

**Local Public Agencies**

- Is the applicant a local public agency as defined in Appendix B of the 2018 Guidelines? Please explain.
- What is the statutory or other legal authority under which the applicant was formed and is authorized to operate?
- Does the applicant have legal authority to enter into a grant agreement with the State of California?

- Describe any legal agreements among partner agencies and/or organizations that ensure performance of the Proposal and tracking of funds.

### **Non-Profit Organizations**

- Is the applicant a non-profit organization as defined in Appendix B of the 2018 Guidelines? Please explain.
- Does the applicant have legal authority to enter into a grant agreement with the State of California?
- Describe any legal agreements among partner agencies and/or organizations that ensure performance of the Proposal and tracking of funds.
- Include a copy of the certificate of incorporation for the organization.

### **Tribe**

- Is the applicant a federally recognized Indian Tribe or State Indian Tribe listed on the Native American Heritage Commission's Tribal Consultation list as defined in Appendix B of the 2018 Guidelines? Please explain.
- Does the applicant have legal authority to enter into a grant agreement with the State of California?
- Describe any legal agreements among partner agencies and/or organizations that ensure performance of the Proposal and tracking of funds.

### **Mutual Water Company or Public Utility**

- Is the applicant a mutual water company or public utility as defined in Appendix B of the 2018 Guidelines and the Public Utilities Code? Please explain.
- Does the applicant have legal authority to enter into a grant agreement with the State of California?
- Describe any legal agreements among partner agencies and/or organizations that ensure performance of the Proposal and tracking of funds.
- Does the proposed project have a clear and definite public purpose that benefits the customers of the water system or other public utility and not the investors? If so, please state said purpose and benefits to customers.

**Submittal of an updated IRWM Plan** – IRWM Plans updated to the 2016 Plan Standards must be submitted to DWR for review prior to submitting an application. Note that DWR has established a Plan Review Process (PRP) designed to assess whether IRWM plans are consistent with the 2016 IRWM Program Guideline Plan Standards (2016 Plan Standards). The PRP is described in Volume 2, Section IV of the 2016 IRWM Grant Program Guidelines. The IRWM Plan submittal process discussed in the Guidelines will remain open throughout this solicitation.

**Urban Water Management Compliance** – List the urban water suppliers that will receive funding from the proposed grant, including a contact phone number and email address for each agency. If there are none, please indicate so. Each urban water supplier must:

- Include documentation from DWR that verifies that each supplier's 2015 Urban Water Management Plan (UWMP) addresses the requirements of the CWC. If an urban water supplier's 2015 UWMP has not been verified by DWR, explain and provide the anticipated date for having a 2015 UWMP that addresses the requirements of the CWC, including interim target reporting, as applicable.
- Include documentation from DWR that verifies that each supplier submitted a complete and validated water loss audit report in accordance with Senate Bill No. 555 (SB 555).

- Self-certify their compliance with the water metering requirements contained in CWC §525 et seq. The Water Metering compliance self-certification form and instructions can be found at the following link: <https://water.ca.gov/-/media/DWR-Website/Web-Pages/Work-With-Us/Grants-And-Loans/IRWM-Grants/Files/Certification-for-Compliance-with-Water-Metering-Requirements-for-Funding-Application.pdf>. Each urban water supplier proposing wastewater projects, water use efficiency projects, or drinking water projects must complete the form.

The following must be submitted by the applicant to fulfill this requirement:

- List of urban water suppliers including:
  - Agency/organization name(s)
  - Contact phone number(s) and e-mail address(es)
- DWR verification documentation for UWMPs
- DWR verification documentation for validated water loss audit report(s).
- CWC §525 self-certification documentation from each urban water supplier (for applicable projects)

**Agricultural Water Management and Measurement Compliance** – List the agricultural water suppliers that will receive funding from the proposed grant. If there are none, please indicate so.

Each agricultural water supplier that provides water to *less than 10,000 irrigated acres*, excluding recycled water must:

- Include documentation that verifies that the supplier provides water to less than 10,000 irrigated acres, excluding recycled water.

or:

- Include documentation that verifies that each supplier's Agricultural Water Management Plan (AWMP) addresses the CWC and EO B-29-15 requirements. If an agricultural water supplier's AWMP has not been verified by DWR, explain and provide the anticipated date for having an AWMP that addresses the CWC and EO B-29-15 requirements.

Each agricultural water supplier that provides water to *less than 25,000 irrigated acres*, excluding recycled water must:

- Include documentation that the supplier provides water to less than 25,000 irrigated acres, excluding recycled water, or is otherwise deemed exempt from CWC Efficient Water Management Practices (EWMPs) and the Water Measurement Regulation.

or:

- Include documentation that verifies that each supplier addresses the CWC requirements for implementing EWMPs including: Water Measurement, Volumetric Water Pricing, and all technically feasible and locally cost-effective EWMPs listed in CWC; and
- Include documentation that verifies that each supplier implements the Water Measurement Regulation, including AWMP reporting requirements.

or:

- Submit to DWR for approval a schedule, financing plan, and budget, to be included in the grant or loan agreement, for implementation of the EWMPs. The supplier may request grant or loan funds to implement the efficient water management practices to the extent the request is consistent with the eligibility requirements applicable to the water funds.

To comply with the farm-gate delivery requirements, each agricultural water supplier must include the following documentation based on the agricultural water supplier's irrigated acres:

- For those agricultural water suppliers that supply less than 2,000 acre-feet of water or water to less than 2,000 irrigated acres, excluding recycled water, include information that documents the suppliers supply of water or irrigated area.

or:

- For those agricultural water suppliers that supply water to areas greater than 2,000 irrigated acres, include documentation that the annual aggregated monthly or bi-monthly farm-gate delivery data has been provided to DWR.

And/or:

- For those suppliers that provide water to less than 25,000 irrigated acres, include information that documents that the implementation of a program or practices to measure farm-gate deliveries using Best Professional Practices is not locally cost-effective.

The following must be submitted by the applicant to fulfill this requirement:

- A list of agricultural water suppliers including:
  - Agency/organization name(s)
  - Contact phone number(s) and e-mail address(es)
- DWR verification documentation for each agricultural water supplier's AWMP that meets CWC, EO B-29-15, and Water Measurement Regulation requirements
- If applicable, EWMP documentation
- If applicable, farm-gate delivery documentation

**Surface Water Diverter Compliance** – List the surface water diverters that will receive funding from the proposed grant. If there are none, please indicate so. For the listed surface water diverters, state whether they have submitted to the State Water Resources Control Board (SWRCB) their annual surface water diversion reports in compliance with requirements outlined in Part 5.1 (commencing with §5100) of Division 2 of the CWC and Chapter 2.7 Water Diversion and Use Reports (commencing with §907) in Title 23. If a surface water diverter has not, explain and provide the anticipated date for meeting the requirements.

The following must be submitted by the applicant to fulfill this requirement:

- A list of surface water suppliers including:
  - Agency/organization name(s)
  - Contact phone number(s) and e-mail address(es)
- SWRCB verification documentation

**Groundwater Management Compliance** – List the groundwater users that will receive funding from the proposed grant. For groundwater projects or other projects that directly affect groundwater levels or quality, attachment 1 must include the requested documentation for each project, as applicable. If the Proposal does not contain a groundwater project or other project that directly affects groundwater levels or quality, provide a statement in attachment 1 justifying this conclusion.

The following must be submitted by the applicant to fulfill this requirement:

- Identification of projects in the Proposal that involve any groundwater projects or other projects that directly affect groundwater levels or quality

- List of groundwater users
- Local Project Sponsor implementing project: Agency/organization name(s)
  - ❖ Each listed agency must submit self-certify compliance with CWC §10753 regarding Groundwater Management Plans (GWMPs). Instructions to complete the self-certification can be found at: <http://www.water.ca.gov/irwm/grants/resources/forms.cfm>. Please note that projects located in a CASGEM High or Medium priority groundwater basin, that affect groundwater levels or quality, without an adopted GWMP in compliance of CWC §10753 before January 1, 2015 will not be eligible (CWC §10750.1(a)).
- Contact phone number(s) and e-mail address(es)
- Note that applicants that receive a grant award, as part of continuing eligibility, will have to maintain compliance with Division 6, §10000 et seq. of the CWC.
- Documentation that the project has support from the Groundwater Sustainability Agency (GSA) of the impacted groundwater basin(s).

Or:

- Justification if no projects impact or effect groundwater

Groundwater Management compliance requirements may be revised or updated based upon the implementation of the Sustainable Groundwater Management Act (SGMA) of 2014.

**CASGEM Compliance** – DWR has prioritized the groundwater basins. The CASGEM Program description, along with the basin prioritization information, can be found at: <https://water.ca.gov/Programs/Groundwater-Management/Groundwater-Elevation-Monitoring--CASGEM>

For the high and medium priority basins that do not have a CASGEM monitoring entity, the grant applicant and Local Project Sponsor that match the list of potential monitoring entities identified in CWC §10927, along with the counties whose jurisdictions include unmonitored high and medium priority basins, will not be eligible to receive Round 1 IRWM Grant funding (CWC §10933.7(a)). Consistent with CWC §10933.7(b), if the entire service area of the grant applicant or the individual Local Project Sponsor's service area is demonstrated to be a DAC, as defined in the 2018 Guidelines, Appendix B, the project will be considered eligible for grant funding notwithstanding CASGEM compliance.

**The grant applicant and Local Project Sponsor(s) must be CASGEM compliant by the proposal due date. If the applicant is found ineligible, the entire proposal will be considered ineligible. If the Local Project Sponsor is found ineligible, funding cannot be awarded to that project and the grant award will be proportionately reduced.**

To demonstrate CASGEM eligibility, the following must be included for each project/proposal:

- The Project's implementing agency's (Local Project Sponsor) service area boundary. The service area boundaries for all Local Project Sponsors shall be combined onto one map. This map should:
  - ❖ Clearly indicate each Local Project Sponsor's service area boundary
  - ❖ Include an appropriate basemap underlying the service area boundaries (such as used for Google Maps, etc.)
- One GIS shape file must be provided that includes the service area boundaries of each Local Project Sponsor. For example, if there are 5 Local Project Sponsors, the boundary of each shall be combined into one GIS shapefile. Within the GIS file, each project's boundary shall be included as an individual record.
- Name of groundwater basin (including basin or sub-basin number) that each project overlies. State the basin priority as determined by the CASGEM Program.



- If the basin is a high or medium priority basin, please specify the name of the organization that is the designated monitoring entity(ies).
- If there is no monitoring entity, please indicate whether the Local Project Sponsor is an eligible monitoring entity per CWC §10927.

CASGEM compliance may be revised or updated based upon the latest requirements from the Sustainable Groundwater Management Act (SGMA) of 2014.

#### ***ATTACHMENT 2. PROPOSAL SUMMARY***

Attachment 2 is to be the completed Proposal Summary that can be downloaded [here](#). Note that this attachment is exactly the same form that was required to be submitted prior to the Funding Area Pre-Proposal Workshop.

#### ***ATTACHMENT 3. PROJECT INFORMATION FORM(S)***

Attachment 3 must include a completed Project Information Form for each project contained in the Proposal. The Project Information Form can be downloaded [here](#).

For all Stormwater projects and/or dry weather runoff capture projects, attach documentation that the project is included in a Stormwater Resource Plan that has been incorporated into an IRWM plan.

For all projects that affect Groundwater, attach documentation that the project has support from the local Groundwater Sustainability Agency.

#### ***ATTACHMENT 4. WORK PLAN***

For the “AttachmentName” in the naming convention of GRanTS, use “WorkPlan” for this attachment.

Attachment 4 must contain descriptions of the anticipated tasks necessary to complete each project in the Proposal. Tasks should be organized by the four budget categories, as applicable: (a) Project Administration, (b) Land Purchase/Easement, (c) Planning/Design/Engineering/Environmental Documentation, and (d) Construction/Implementation. The Work Plan should also identify the anticipated deliverables for each task. The Work Plan is limited to five pages (minimum 10-point type font) per project. Any information included beyond the five pages (for each project) will not be reviewed. Maps and figures will not count against the page limit, and are encouraged to be provided if they provide substantive information.

Exhibit A provides an example of how the Work Plan should be structured and the level of detail necessary for each task description.

#### ***ATTACHMENT 5. BUDGET***

For the “AttachmentName” in the naming convention of GRanTS, use “Budget” for this attachment.

Attachment 5 must include the estimated capital costs of each project in the application. For the Project Budget Table, costs must be broken down consistent with how tasks are presented in the Work Plan. For example, if the Work Plan describes projects at the subtask level, the budget must also present costs at the subtask level. In addition to the table, the applicant must provide a description explaining how the values were derived. Refer to Exhibit D for guidance on how to prepare Attachment 5, that also includes a Budget Table template to be completed for each Project by the Applicant. The description must not exceed two pages per project using a minimum 10-point type font.

## **ATTACHMENT 6. SCHEDULE**

For the “AttachmentName” in the naming convention of GRanTS, use “Schedule” for this attachment.

Attachment 6 must include a schedule for implementation of the project. The schedule must show the start and end dates as well as milestones for each task contained in the Work Plan and, at minimum, be presented in either tabular form per the template. The Project Schedule must also be broken down consistent with how tasks are presented in the Work Plan (Attachment 4) and Budget (Attachment 5). For example, if the Work Plan describes projects at the subtask level, the Project Schedule must also present start and end dates at the subtask level. The schedule should illustrate any dependencies or predecessors by showing links between tasks. Applicants must include a reasonable estimate of the end date, including time for any final reports and invoicing. Refer to Exhibit E that includes a Schedule Table template. Applicant may also describe how the schedule shown is realistic, reasonable, and accomplishable based on the state of project development (such as design phase, status of permitting, and environmental documentation). The description must not exceed two pages per project using a minimum 10-point type font.

## **ATTACHMENT 7. DISADVANTAGED COMMUNITY**

Attachment 7 is required for applicants requesting a cost share waiver or reduction, or to meet eligibility requirements for a project to be eligible for the DAC funding category.

DWR strongly recommends that applicants consult Appendix E of the 2018 Guidelines to determine if the project benefit area includes a DAC and for details on waiving or reducing cost share requirements. Applicants should ensure the description of the DAC is adequate for DWR to determine whether the communities meet the definitions. Applicants must provide the following information for each project claiming benefits to a DAC(s):

- Percentage of the project benefits provided to a DAC, by geographic area or population.
- Include information that supports the project benefits a DAC(s), such as a map or shapefile that shows the project benefit area and the location of the DAC(s).
- Include information that demonstrates support for the project by affected DAC(s) (e.g., letter(s) of support from DAC(s)).
- Where the lack of representative census data that adequately represents the community can be documented, alternative studies (local income surveys, a subset of a block group, etc.) may be substituted in the attachment.
- In determining the Median Household Income (MHI) for DACs, applicants may use a single type of census geography or combinations of census geographies that best represent the DAC.

For the applicants with GIS capability, the GIS data files used within the DAC mapping tool are available to download and use; see the link provided in Foreword. These GIS files will allow applicants to combine project area shape files with DAC data layers. This will help applicants show the extent of overlap or project areas with DACs.

Please note that the American Community Survey (ACS) of the U. S. Census provides a dataset that can be used as a source to estimate a community’s MHI. The most recent and most comprehensive data available is for the 5-year period of 2012 - 2016. The ACS data gives estimates of MHI for different census geographies, such as for states, counties, census places (incorporated cities and unincorporated towns), census tracts, and census block groups. Using the ACS data for the years 2012 - 2016, 80% of the California Statewide MHI is \$51,026. For additional information on the ACS, see the link listed in Proposition 1 IRWM Guidelines, Appendix A.

## **ATTACHMENT 8. ECONOMICALLY DISTRESSED AREA**

Attachment 8 is required for applicants requesting a cost share waiver or reduction.

DWR strongly recommends that applicants consult Guidelines, Appendix F, to determine if the project benefit area includes an EDA and for details on waiving or reducing cost share requirements. Applicants should ensure the description of the EDA is adequate for DWR to determine whether the community meets the definition. Applicants must provide the following information for each project claiming benefits to an EDA(s):

- Percentage of the project benefits provided to a EDA, by geographic area or population.

- Include information that supports the project benefits an EDA(s), such as a map or shapefile that shows the project benefit area and the location of the EDA(s).
- Include information that demonstrates support for the project by affected EDA(s) (e.g., letter(s) of support from EDA(s)).
- Where the lack of representative census data that adequately represents the community can be documented, alternative studies (local income surveys, a subset of a block group, etc.) may be substituted in the attachment.
- In determining the MHI for EDAs, applicants may use a single type of census geography or combinations of census geographies that best represent the EDA.

For the applicants with GIS capability, the GIS data files used within the EDA mapping tool are available to download and use; see the link provided in the Foreword. These GIS files will allow applicants to combine project area shape files with EDA data layers. This will help applicants show the extent of overlap or project areas with EDA.

#### **ATTACHMENT 9. TRIBE**

Attachment 9 is required for applicants claiming the project is sponsored by a Tribe or directly benefits a Tribe. Applicant shall provide a small narrative that describes the Tribe, how the Tribe meets the minimum definition for eligibility, and any back-up documentation to support the Tribe's recognition.

## **VI. APPLICATION REVIEW PROCESS**

DWR will perform an initial eligibility and completeness review for each application, upon notification (via email referenced in the Foreword) to DWR that the Final Application has been submitted through GRanTS. Proposals will be screened for eligibility and completeness in accordance with Section IV of the 2018 Guidelines and Section II of this PSP. The information provided by applicants in GRanTS, as well as Attachments 1 through 9 of the application, will be used to determine eligibility and completeness.

If an application is initially determined to be complete and eligible, the applicant will be notified via email and their application will move on to technical review. If an application is deemed to be incomplete and/or ineligible, DWR will notify the applicant by email and provide a list of additional documentation that must be provided. The applicant will have five (5) business days to provide the necessary documents/materials, via GRanTS. Should the applicant be non-responsive within 5 business days, the application will be considered incomplete and will not be evaluated for funding during this round of solicitation.

Proposals that are complete and eligible will proceed to technical review and be scored based on the scoring criteria presented in Table 4. The scoring criteria are divided into two levels: Proposal Level and Project Level. The Proposal Level criteria will be used to evaluate the Proposal and determine a Proposal Score. The Project Level criteria will be used to evaluate and score each individual project included in the proposal. Each application will receive an Average Project Score, which will be determined by summing each Individual Project Score, dividing the sum by the number of projects, and then rounding to the nearest whole number. Each Application will receive a total Application Score, that will be determined by adding the Average Project Score and the Proposal Score.

Note that DWR reviewers may determine a minimum project score threshold (Low Score) based on the evaluation of all projects within each Funding Area. This Low Score will be specific to each Funding Area and project funding category (DAC Implementation Project or General Implementation Project). If a project contained within a proposal does not exceed the Low Score determined for the respective Funding Area and project funding category, the project will not be recommended for grant funding under this solicitation. The remaining project(s) in the proposal will not be negatively impacted should a project be excluded from the proposal due to a Low Score. If all the projects in a proposal do not meet a Low Score, the proposal will be determined insufficient, and no grant funds will be awarded for that proposal.

## VII. AWARD PROCESS

Following technical review, awards for grant funding will be made consistent with the process outlined in the 2018 Guidelines Section VI.D. Final Awards will be released for each Funding Area upon approval by DWR's Director.

Funding awards will be made for DAC Implementation Projects and General Implementation Projects based on the Total Proposal Score. Within each application, awards made to projects within each funding category may differ. Should the amount of funding requested for DAC Implementation Projects within a funding area exceed the available funding, DWR may award DAC Implementation Projects funding from the General Implementation Project category, if sufficient funding is available.

## VIII. AGREEMENT EXECUTION

Following Funding Awards, DWR will enter into an agreement with each successful applicant, consistent with the 2018 Guidelines Section IV.E. Additional requirements that must be met prior to agreement execution, specific to this PSP include:

- For all projects included in the grant agreement, CEQA must be completed and all permits necessary to begin construction acquired, unless exceptions apply.
- Each IRWM region must have adopted an IRWM plan that has been deemed consistent with the 2016 IRWM Plan Standards by DWR. Additionally, each local project sponsor must have adopted this plan. All projects included in the grant agreement must be included in the adopted IRWM Plan.

These conditions must be met within 6 months of final funding award or prior to agreement execution, whichever occurs first.

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**Table 4 – Scoring Criteria**

<b>SCORING CRITERIA – PROPOSAL LEVEL</b>				
		<b>Leg Citation (CA Water Code)</b>	<b>Form/ Question No.</b>	<b>Max Points</b>
<b>1</b>	How does the proposal support the intent of IRWM? Is coordination and/or collaboration within and between agencies, regions, and/or Funding Areas discussed? Are any efficiencies or mutual solutions realized discussed?	10531; 79741(b)	Proposal Summary, Question 7	3
<b>2</b>	If the IRWM region has been identified as an area where contaminants listed in AB 1249 exist, does the proposal include projects that address the contaminant(s)? (Full points if N/A)	10541(e)(14)	PIF Section D.5	1
<b>3</b>	Does the proposal include one or more projects that provide safe, clean, affordable and accessible water adequate for human consumption, cooking and sanitary purposes?	106.3 (AB 685)	PIF Section D.6	1
<b>Maximum Possible Proposal Score</b>				<b>5</b>
<b>SCORING CRITERIA – PROJECT LEVEL</b>				
		<b>Leg Citation</b>	<b>Project Information Form Question No.</b>	<b>Max Points</b>
<b>Meeting Needs of the Region/Nexus to IRWM Plan</b>				
<b>4</b>	Does the project address a critical water resource related needs and priorities of the IRWM region as identified in the IRWM plan?	79707(a)	B.2	1
<b>5</b>	Is the project sufficiently justified by the description given in the narrative of Section D.1? Does the narrative include requisite referenced supporting documentation such as models, studies, engineering reports, etc.? Did the narrative include other information that supports the justification for the proposed project, including how the project can achieve the claimed level of benefits?	NA	D.1	3
<b>6</b>	Does the project address and/or adapt to the effects of climate change? Does the project address the climate change vulnerabilities assessed in the IRWM Plan?	79741(a); 79742(e)	B.4	2
<b>Work Plan, Budget, Schedule, and Grant Agreement Readiness</b>				
<b>7</b>	Does the Work Plan include a complete description of all tasks necessary to result in a completed project? Are all necessary and reasonable deliverables identified?	NA	C.1.a	3
<b>8</b>	Collectively, are the workplan, schedule, and budget thorough, reasonable, and justified; and consistent with each other?  Considerations include (one point each): <ul style="list-style-type: none"> <li>Does the <u>project description</u> clearly and concisely address all required topics, including summarizing the major components, objectives and intended outcomes/benefits of the project?</li> <li>Are the tasks shown in the <u>Workplan, Schedule and Budget</u> consistent?</li> <li>Are the costs presented in the <u>Budget</u> backed up by and consistent with supporting justification/documentation?</li> <li>Is the <u>schedule</u> reasonable considering the tasks presented in the workplan?</li> </ul>	NA	C	4
<b>9</b>	Does the applicant have legal access rights, easements, or other access capabilities, to the property to implement the project; and if not, did the applicant provide a clear and concise narrative / schedule to obtain the necessary access? (Full points if N/A)	NA	D.10	1
<b>Project Benefits and Program Preferences</b>				
<b>10</b>	Does the budget leverage funds with other private, Federal, or Local fund resources above and beyond cost share requirements? If additional cost share is not provided, did the applicant provide describe attempts to use other funding sources and justify why it was not included.	79707(b)	C.2	1
<b>11</b>	For each of the anticipated physical benefit(s) claimed, described, and quantified in Table 4 of the Project Information Form? Is each benefit claimed logical and reasonable given the information provided in the Work Plan?	NA	D.2	2
<b>12</b>	Does the project provide multiple (more than one) benefits?	NA	D.2	1
<b>13</b>	Does the project provide benefits to more than one IRWM region and/or Funding Area?	79742(a)	D.3	1
<b>14</b>	If the proposed project addresses contamination per the requirements of AB 1249, does the project benefit a small disadvantaged community?	10545	D.5	1
<b>15</b>	Does the proposed project employ new or innovative technology or practices?	79707(e)	D.7	1
<b>Cost Considerations</b>				
<b>16</b>	Did the applicant provide a narrative on cost considerations that is fully explained based on information requested in the Project Information Form?	NA	D.4	2
<b>Maximum Possible Individual Project Score</b>				<b>23</b>
<b>Average Project Score</b>				
			<b>Average Project Score</b>	<b>23</b>
<b>(Sum of Individual Project Scores/# of Projects; rounded to nearest whole number)</b>				
<b>Total Application Score</b>				<b>Maximum Possible Score</b>
<b>Enter Proposal Score</b>				<b>5</b>
<b>Enter Average Project Score</b>				<b>23</b>
<b>Bonus Point:</b> At the time of original submittal, was the application deemed complete and eligible?				<b>1</b>
<b>Total Application Score (Sum Above Two Rows)</b>				<b>29</b>

## EXHIBIT A

### Additional Proposal and Project Eligibility Requirements

This exhibit provides guidance for how to address the proposal and project eligibility requirements that were not defined in the 2018 Guidelines. The applicant will describe how each proposal or project meets the requirements using the fields contained in the Proposal Summary or Project Information Form. Each proposal/project must meet all requirements or it will be deemed ineligible.

#### ***PROPOSAL ELIGIBILITY***

##### **1. Respond to climate change**

The proposal must help water infrastructure systems adapt to climate change (CWC § 79741 (a)). In addition to the requirement that all projects must be included in an IRWM plan that “contributes to addressing the risks in the region to water supply and water infrastructure arising from climate change” (CWC § 79742 (e)), each proposal must include at least one project that directly responds to climate change by mitigating the potential impacts of climate change, including but not limited to: sea level rise, reduced snowpack, increase in rainfall precipitation, sea water intrusion, etc. Note that while these examples were provided in Proposition 1, any project that helps water systems adapt to climate changes is acceptable.

##### **2. Contribute to regional water self-reliance**

In regions that depend on water from the Delta watershed, the overall proposal must help improve regional water self-reliance consistent with CWC § 85021 (CWC 79141(c)). Each proposal must include one or more of the following project types: water use efficiency, water recycling, advanced water technologies, local and regional water supply projects, or improved regional coordination of local and regional water supply efforts.

#### ***GENERAL PROJECT ELIGIBILITY***

##### **3. Address the most critical needs of the IRWM region**

The intent of Proposition 1 is to invest public funds in a way that will result in public benefits that address the most critical statewide needs and priorities for public funding (CWC § 79707 (a)). Because the IRWM Program has historically asked stakeholders to identify needs at the IRWM region level, DWR believes that one important way to meet this intent is to require all proposed projects to address the most critical water resources needs of the **IRWM region** in which the project resides.

To meet this eligibility requirement, the applicant must explain in the Project Information Form how the proposed project will help alleviate one or more of the critical water resources needs identified in the IRWM plan. Projects that address one or more of the goals and objectives in an adopted IRWM plan will be considered to meet a critical need.

##### **4. Be consistent with Statewide Priorities as identified in the Proposition 1 IRWM Grant Program Guidelines**

Each project must be consistent with Statewide Priorities as identified in the Proposition 1 IRWM Grant Program Guidelines. The Statewide Priorities are consistent with the California Water Action Plan. To meet this requirement, applicants must identify which action each project implements in the Project Information Form.

##### **5. Have an expected useful life of 15 years**

Each project must demonstrate that the project has a useful life of at least 15 years as required by Government Code 16727, as applicable.

***POST-APPLICATION PROJECT ELIGIBILITY***

**6. Have CEQA completed and permits necessary to begin construction acquired within 6 months of final funding award, or prior to agreement execution, whichever occurs first.**

Proposed projects that meet the definition of “project” under CEQA must have all CEQA documentation completed and certified (if applicable) and any permits acquired that are necessary to begin construction within six months of Final Awards as per Section IV D. of the 2018 Guidelines. At the time of application, the applicant will provide a plan for completing the CEQA process within this time period as well as a “permit acquisition plan” for any permits that have not yet been obtained.

A grant agreement will not be executed until CEQA is completed and a Notice of Determination or a Notice of Exemption, as applicable, has been submitted to DWR for all applicable projects. If CEQA is not completed for a project within six months of the funding award, that project will be deemed ineligible to receive grant funding under this solicitation and the total grant award will be reduced by the project amount. Funding awarded to the ineligible project will be made available to the Funding Area in future funding rounds on a competitive basis. No replacement or substitute project(s) will be accepted.

Projects providing a water-related benefit entirely to DACs, EDAs, or Tribes, or projects implemented by Tribes will be exempt from this requirement.



## EXHIBIT B

### Funding Area Pre-Application Workshop Components

This exhibit provides an overview of what should be discussed in the Funding Area Pre-Application Workshop.

#### **Funding Area Characteristics Summary (One Per Funding Area)**

1. Summary of Conditions in Funding Area (physical, geographical, climatic, hydrologic, ecosystems, etc.)
2. Discussion of Inter-Regional Coordination (if applicable)

#### **Regional Conditions and Proposal Summary (One Per IRWM Region)**

1. Overview of the critical needs of the IRWM region
2. Overview of projects and project selection process
3. Discussion of status of DACI program status and interaction with project selection process
4. Discussion of how the proposal responds to climate change
5. Discussion of how the proposal increases regional self-reliance, if applicable
6. Discussion of whether the region is required to comply with AB 1249

#### **Project Information**

##### **Overview**

1. Project Summary
2. Map
3. Explanation of how the proposed projects addresses the critical need(s) of the region
4. Justification for the Project
5. Nature of stakeholder coordination
6. How past IRWM funding has contributed to addressing the needs and how the proposed projects build on past projects)
7. Operations and Maintenance of the Project, including funding source
8. Quantitative and qualitative benefit(s) provided by the Project
9. Legal access rights to the property
10. Were any other alternatives considered?

##### **Work Plan**

11. Briefly discuss the proposed work necessary to complete the project

##### **Budget**

12. How costs were developed?
13. Specify cost share sources; discuss other funding sources considered

##### **Schedule**

14. A description of how each project schedule is realistic, reasonable, and feasible based on the state of project development (such as design phase, status of permitting, and environmental documentation).  
If applicable describe:
  - a. How CEQA will be completed within 6 months of final award
  - b. How all permits required to begin construction will be acquired within 6 months of final award
  - c. Status of acquisition of all necessary permit

## EXHIBIT C Work Plan

This exhibit provides guidance for developing the Work Plan that will be included in the grant agreement (for the successful applicants). The Work Plan should be submitted as application attachment 4 in PDF format. The Work Plan must include the tasks, and if necessary, sub-tasks, for each project within the grant agreement. The Work Plan must be broken out by the following four categories:

- Project Administration
- Land Purchase/Easement
- Planning/Design/Engineering/Environmental Documentation,
- Construction/Implementation

The Work Plan must also contain the following items:

- For each project, a concise description of each task needed to complete the project and the status of each task (including estimated % complete). Also include a brief overview of work already completed and work to be performed.
- Grant reporting tasks including the submittal of Quarterly Progress Reports, Invoices, and Final Reports.
- Procedures for coordinating with its partner agencies and organizations that may receive funding from the grant including any contracts, memorandums of understanding (MOUs), and other formal agreements.
- A brief overview of standards, such as construction standards, health and safety standards, laboratory analysis, or accepted classifications methods that will be used in implementation.
- A Project Performance Monitoring Plan for the project(s) listed in the Proposal. Project Performance Monitoring Plan requirements are discussed below.
- A discussion of the status of acquisition of land or rights-of-way. If a funded project requires land to be purchased and/or an easement to be acquired, include a list of needed parcels for each project and the status of the acquisition. If land and/or easement acquisition is not applicable, state as such.
- A listing of all necessary permits and the status of securing such permits, if applicable.
- A plan for the preparation and completion of requirements to comply with CEQA, NEPA, and other environmental laws, if applicable. If environmental compliance efforts have not been completed, include tasks for environmental compliance. Include any environmental mitigation or enhancement actions or tasks necessary to comply with recommended mitigation measures.
- A description of the required tribal notification, if applicable, requirement (PRC §75102). If deemed not applicable, describe the basis for that conclusion. See Appendix C of the 2018 Guidelines for further information.
- Submittal of the necessary plans and specifications.

A typical work plan that may be submitted for this grant program is provided below. Individual tasks may vary; however, ensure they are consistent with the budget and schedule that will also be incorporated into the grant agreement. The language is suggested text, but not required, and is not comprehensive. Please use text as appropriate for proposed project.

**PROJECT 1: Grant Administration****IMPLEMENTING AGENCY:** {GRANTEE}

**PROJECT DESCRIPTION:** The Regional Water Management Group, authorized {GRANTEE} to act as the applicant and the grant manager for the Proposition 1, Round 1 IRWM Implementation Grant. [GRANTEE] will administer these funds and respond to DWR's reporting and compliance requirements associated with the grant administration. This office will act in a coordination role: disseminating grant compliance information to the project managers responsible for implementing the projects contained in this agreement, obtaining and retaining evidence of compliance (e.g., CEQA/NEPA documents, reports, monitoring compliance documents, labor requirements, etc.), obtaining data for progress reports from individual project managers, assembling and submitting progress reports to the State, and coordinating all invoicing and payment of invoices.

**Budget Category (a): Project Administration**Task 1 - Agreement Administration

{GRANTEE} will respond to DWR's reporting and compliance requirements associated with the grant administration and will coordinate with the project managers responsible for implementing the projects contained in this agreement.

Task 2 - Invoicing

{GRANTEE} will be responsible for compiling invoices for submittal to DWR. This includes collecting invoice documentation from each of the Local Project Sponsors and compiling the information into a DWR Invoice Packet.

Task 3 - Progress Reports and Project Completion Report(s)

{GRANTEE} will be responsible for compiling progress reports for submittal to DWR. {GRANTEE} will coordinate with Local Project Sponsor staff to retain consultants as needed to prepare and submit progress reports and final project completion reports for each project, as well as the grant completion reports.

Reports will meet generally accepted professional standards for technical reporting and the requirements terms of the contract with DWR outlined in Exhibit G of this Agreement. For example, progress reports will explain the status of each project and will include the following information: summary of the work completed for the project during the reporting period; activities and milestones achieved; and accomplishments and any problems encountered in the performance of work. Project completion reports will include: documentation of actual work done, changes and amendments to each project, a final schedule showing actual progress versus planned progress, and copies of final documents and reports generated during the project.

**Deliverables:**

- Executed Grant Agreement
- Invoices and associated backup documentation
- Progress Reports
- Draft and Final Project Completion Report

**PROJECT 2: {Project 2 Name}****IMPLEMENTING AGENCY: {Agency Name}**

**PROJECT DESCRIPTION:** What work will be done, where, and what benefits will be provided.

**Budget Category (a): Project Administration**Task 1 - Project Management

Manage grant agreement including compliance with grant requirements, and preparation and submission of supporting grant documents and coordination with IRWM regional manager, {GRANTEE}. Prepare invoices including relevant supporting documentation for submittal to DWR via {GRANTEE}. This task also includes administrative responsibilities associated with the project such as coordinating with partnering agencies, and managing consultants/contractors.

**Deliverables:**

- Environmental Information Form (EIF)
- Financial Statements
- Invoices
- Other Applicable Project Deliverables

Task 2 - Reporting

Prepare progress reports detailing work completed during reporting period as outlined in Exhibit G of this Agreement. Submit reports to {GRANTEE} for review and inclusion in a progress report to be submitted to DWR.

Prepare draft Final Project Completion Report and submit to DWR via {GRANTEE} for DWR Project Manager's comment and review no later than 90 days after project completion. Prepare Final Report addressing {GRANTEE}/DWRs comments. The report shall be prepared and presented in accordance with the provision of Exhibit G.

**Deliverables:**

- Quarterly Project Progress Reports
- Draft and Final Project Completion Report

**Budget Category (b): Land Purchase/Easement**Task 4 - Land Purchase

Approximate area of land to be purchased or easement(s) to be acquired. {Add applicable detail}

**Deliverables:**

- Documentation supporting property value (if purchased)
- All relevant documentation regarding property ownership transfer or acquisition of easement including final recorded deed, title report, etc.

**Budget Category (c): Planning/Design/Engineering/Environmental Documentation**Task 5 - Feasibility Studies

Project Feasibility Studies were completed as part of the project development process. {Add applicable detail}

**Deliverables:**

- Relevant Feasibility Studies

Task 6 - CEQA Documentation

Prepare and circulate a Notice of Preparation (including tribal notification to the California Native Heritage Commission). Prepare draft Environmental Impact Reports (EIR) and release document for

public review. File Notice of Completion with State Clearinghouse. Prepare letter stating no legal challenges (or addressing legal challenges). {Add applicable detail}

**Deliverables:**

- Copy of Notice of Preparation
- Draft and Final EIR
- Copy of Notice of Completion
- No Legal Challenges letter

Task 7 - Permitting

Acquire {specific permits}. {Add applicable detail}

**Deliverables:**

- All required permits

Task 8 - Design

Complete preliminary design including the following supporting work: geotechnical investigation, topographic survey, and basis of design report (BOD). The BOD will provide the overall project concept for use in development of final design, plans and specifications including: preliminary earthwork calculations, preliminary design details for tank foundation, preliminary design details for and 100% (Final) design, plans, and specifications. {Add applicable detail}

**Deliverables:**

- Geotechnical Report
- Topographic Survey
- BOD Report
- Updated Project Cost Estimate
- 100% Design Documents

Task 9 - Project Performance Monitoring Plan

Develop and submit a Project Performance Monitoring Plan. The Project Performance Monitoring Plan will include baseline conditions, a brief discussion of monitoring systems to be used, methodology of monitoring, frequency of monitoring, and location of monitoring points. {Add applicable detail}

**Deliverables:**

- Project Performance Monitoring Plan

***Budget Category (d): Construction/Implementation***

Task 10 - Contract Services

Activities necessary to secure a contractor and award the contract include: develop bid documents, prepare advertisement and contract documents for construction contract bidding, conduct pre-bid meeting, bid opening and evaluation, selection of the contractor, award of contract, and issuance of notice to proceed. {Add applicable detail}

**Deliverables:**

- Bid documents
- Proof of Advertisement
- Award of contract
- Notice to proceed

Task 11 - Construction Administration

This task includes managing contractor submittal review, answering requests for information, and issuing work directives. A full-time engineering construction observer will be on site for the duration of the project. Construction observer duties include: documenting of pre-construction conditions, daily construction diary, preparing change orders, addressing questions of contractors on site, reviewing/ updating project schedule, reviewing contractor log submittals and pay requests, forecasting cash flow, notifying contractor if work is not acceptable. {Add applicable detail}

**Deliverables:**

- Notice of Completion

Task 12 - Construction/Implementation Activities

Construction activities are outlined below.

12(a): Mobilization and Demobilization {Add applicable detail}

12(b): Site preparation will include {Add applicable detail}

12(c): Install, construct, excavate {Add applicable detail}

12(d): Improve {Add applicable detail}

**Deliverables:**

- Photographic documentation
- Engineers Certification

## EXHIBIT D Budget

This exhibit provides guidance for developing the project budget table (below) and supporting documentation. The Budget should be submitted as an application attachment 5 in PDF format. The supporting documentation will be necessary for the development of the Grant Agreement.

Costs must be organized in a manner that is consistent with the Work Plan and Schedule that will be contained in the Grant Agreement. The estimate must at a minimum include the following for each individual project within the Proposal:

- Land costs, planning and design costs, environmental compliance and documentation costs; construction costs shown by project task, or phase; and the construction contingency amount for the Proposal.
- Cost share match (i.e., Grantee's non-state cost share) can include, subject to DWR approval, eligible costs borne by the applicant or individual Local Project Sponsor after January 1, 2015. A minimum cost share for each proposal is 50% of the total costs of the Proposal. The cost share for DAC and/or EDA projects may be waived or reduced based on providing accurate and adequate information that confirms the DAC and/or EDA meets the MHI requirement, and per the PSP and 2018 Guidelines. The 50% minimum cost share match is calculated based on the total proposal cost [column (d) from Table 2 – Proposal Budget of the Proposal Summary Form], less any total project costs for qualified DAC and/or EDA projects. For example, if the total proposal cost as shown in column (d) is \$10,000,000 and the Proposal includes a DAC project cost of \$1,000,000, then the new total proposal cost for calculating the minimum 50% funding match is now \$9,000,000.
- Any other State funds being used that will not come from this grant must be entered in column (c) of Table 2 of the Proposal Summary Form and Project Budget table, below. State Revolving Funds (SRF) and American Recovery and Reinvestment Act funds are not considered State funds and may be used as cost share (entered in column (c) of Tables 2 – Proposal Budget and Table below).
- Tasks that are completely supported by cost share.

*Project Budget Table (below):* The detailed budget should be commensurate with the design stage that is being submitted and be broken out by task used in the Work Plan. Where applicable, documentation should be included to support the costs included in each budget category. The detailed budget should clearly identify a contingency amount (i.e. contingency percentage) applied to the project budget. Grantees must provide supplemental detailed costs for each project as follows:

### **Row (a) Project Administration**

Detail must include hourly wage paid by discipline; number of hours to be expended for administration; and costs shown for equipment or supplies, with back-up data provided. If project administrative costs are shown as a percentage of a cost, include both: a) the total on which the project administration is based (i.e., total project costs, total construction cost, etc.) and b) how the percentage was determined (i.e., flat rate, based on prior experience, etc.). This budget category includes all such costs for the grant recipient and any partner agencies or organizations. Grantees are required to limit administrative costs proposed to be reimbursed by the grant to less than 10% of the total proposal costs. Such administrative costs expenses are necessary costs incidentally, but directly related to the project.

**Row (b) Land Purchase/Easement**

Detail must distinguish whether the cost is for purchase of land or an easement to use the land. If land purchase is to be included in the cost share match, include whether it is a proposed acquisition or whether the land is already owned by the applicant or partner agency/organization. If the land is already owned by the applicant or partner agency/organization, indicate when the land was purchased (to be an eligible cost it must be after January 1, 2015), the purchase price and what methodology was used to determine land value. The purchase price for that portion of the land that will be dedicated to the Proposal may, in certain circumstances, be included as cost share match.

**Row (c) Planning/Design/Engineering/Environmental Documentation**

Detail must include hourly wage paid by discipline, number of hours, and the total cost for the particular item (i.e., 60% design, final design (See below for discussion of design stages), engineering field investigations, preparation of CEQA documentation etc.). If any contingency amounts are used in the estimate, provide an explanation for the rationale used to determine the contingency percentage.

For purposes of this PSP, the following design stages are provided to assist applicants in determining their design percentage for projects under design:

- 10% (Conceptual) Design – The 10% design shows project siting and the layout of major facilities. No specifications are provided. Design analysis has been started and is nearing completion. Background geologic, seismic literature research has been performed. A listing of project objectives, environmental or infrastructure constraints is provided.
- 30 % (Concept) Design – The 30% design shows project siting and all project appurtenances. Some detail is provided for each of the disciplines (such as civil, structural, mechanical, and geology). Design analysis should be complete at this stage. A rough listing of specifications required for the project is provided. Preliminary geologic and foundation studies have been performed.
- 60% Design – The 60% design is the same as for the 30% design submittal, with more details provided for each design discipline, including electrical, and traffic control, if applicable. Standard details and outline specifications, including the front end and technical portion, are provided. Foundation studies completed, lab testing performed, structural analysis and/or modeling performed, permitting underway.
- 90% (Pre-final) Design – The 90% design is the final, un-stamped, submittal. Complete plans and specifications are prepared, and a detailed itemized cost estimate is included.
- 100% (Final) Design – The 100% design is the design package that will be advertised for project award for construction/implementation of the project. The package consists of the complete, signed, and “As-Advertised” plans and specifications.

**Row (d) Construction/Implementation**

The estimate should include the quantity of materials used, unit cost, number of units, and, if possible, should have separate costs for labor, equipment, and materials. An estimate of all environmental compliance, mitigation, and enhancement costs should also be included.

The costs to administer and manage construction of the project must be presented. Provide a discussion of the method used to determine this cost. If a percentage of the construction costs is used here, indicate the percentage used and how the percentage was determined. If the estimate will be based on expected hours of effort, list the hours, by discipline, unit cost, equipment costs, and total cost.

Include detail for any legal services costs required to support the project. Include the costs associated with obtaining licenses and permits. Include any costs of monitoring and assessment required during the construction/initial implementation of the project. Do not include any monitoring and assessment costs for efforts required after project construction is complete as those costs are ineligible.



For any implementation costs, show as much detail as required to support the implementation costs shown in Row (d).

**Row (e) Proposal Total (Sum rows (a) through (d) for each column)**

Sum each of the columns in Project Budget Table to determine the total cost of the project.

**PROJECT BUDGET TABLE**

The Project Budget Table must be completed for each project in the Proposal. Only the required budget categories have been included below. If applicable, additional rows must be added under the applicable categories to present the cost of each task described in Attachment 4, Work Plan.

Project Budget					
Proposal Title: _____					
Project Title: _____					
Project serves a need of a DAC?: <input type="checkbox"/> Yes <input type="checkbox"/> No					
Cost Share Waiver request?: <input type="checkbox"/> Yes <input type="checkbox"/> No					
Category		(a)	(b)	(c)	(d)
		Cost Share: Non-State Fund Source* (Funding Match)	Requested Grant Amount	Cost Share: Other State Fund Source*	Total Cost
(a)	Project Administration				
(b)	Land Purchase/Easement				
(c)	Planning/Design/Engineering/ Environmental Documentation				
(d)	Construction/Implementation				
(e)	Grand Total (Sum rows (a) through (d) for each column)				

\*List sources of funding: *Use as much space as required*

## EXHIBIT E Schedule

This exhibit provides a template for developing the Project Schedule (below), which is required for Attachment 6 of the Application. The Schedule should be submitted as an attachment in PDF format. The supporting documentation will be necessary for the development of the Grant Agreement.

The Schedule must be organized in a manner that is consistent with the Work Plan and Budget that will be contained in the Grant Agreement. The Schedule Table presented below is a template that must be completed for each project in the Proposal. Only the required budget categories have been included below. If applicable, additional rows must be added under the applicable categories to present the schedule of each task described in Attachment 4, Work Plan.

<b>Project Schedule</b>			
<b>Project Title:</b>			
<b>Categories</b>		<b>Start Date</b>	<b>End Date</b>
(a)	Grant Administration		
(b)	Land Purchase/Easements		
(b)	Planning/Design/Engineering/Environmental Documentation		
(c)	Construction/Implementation		

THE NATURAL RESOURCES AGENCY  
DEPARTMENT OF WATER RESOURCES  
DIVISION OF INTEGRATED REGIONAL WATER MANAGEMENT

# Proposal Summary

1. IRWM Region(s):
2. Funding Area(s):
3. Applicant Name:
4. Eligible Applicant Type:
5. Proposal Title:
6. Point of Contact: (POC) Information (name, title, organization, phone, email):
7. Provide Proposal Map (show funding area and regional boundaries, project location(s), etc.)
8. How does the proposal support the overall intent of IRWM as outlined in Section 1 of the 2018 Guidelines and the IRWM Planning Act (Water Code 10531)? Discuss coordination and/or collaboration within and between agencies, regions, and/or Funding Areas; and any efficiencies or mutual solutions realized.
9. Does the IRWM region(s) include areas that have contamination listed in AB 1249?    Yes  No

**Table 1 - Project Summary**

		(a)	(b)	(c)	(d)	(e)	(f)
Project Title		Benefits 100% to DAC?	Address Climate Change?	Human Right to Water?	Innovative Technology?	Contribute to regional water self-reliance?*	Address AB 1249 Contaminants(s)**
(a)	Project 1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(b)	Project 2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(c)	Project n	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

\* If Question 8 was answered "Yes", but no boxes in column (f) were checked, please provide an explanation why the application did not include such a project(s) as an attachment to this form. Application is not complete unless this justification is provided.

\*\* If no projects in the proposal contribute to regional water self-reliance, explain why the requirements of Water Code 79741(c) are not applicable to your region(s).

**Table 2 - Proposal Budget**

		(a)	(b)	(c)	(d)	(e)
Project Title		Cost Share: Non-State Funding	Requested Grant Amount	Cost Share: Other State Funding	Total Cost	% Cost Share (Col b/Col d) <sup>+</sup>
(a)	Project 1				\$ -	#DIV/0!
(b)	Project 2				\$ -	#DIV/0!
(c)	Project n				\$ -	#DIV/0!
(d)	Proposal Total	\$ -	\$ -	\$ -	\$ -	#DIV/0!

Note: Grant administration costs shall not exceed ten percent (10%) of the total requested grant amount, including proposal and project level grant administration costs.

+ The minimum cost share requirement (50% in accordance with Proposition 1) applies to the costs of the overall Proposal. The required proposal cost share may be reduced with an approved DAC waiver.

**Table 3 - Proposal Schedule**

		Start Date	End Date
	Grant Agreement		
(a)	Project 1		
(b)	Project 2		
(c)	Project n		

Note: Expand cells and/or tables as necessary to provide complete information on your proposal.



4. Does the project address and/or adapt to the effects climate change? Does the project address the climate change vulnerabilities assessed in the IRWM Plan?

Yes      No      If Yes, please explain below.

5. Does the project contribute to regional water self-reliance?

Yes      No      If Yes, Please describe below.

6. Does the project provide a benefit that meets at least one of the Statewide Priorities as defined in the 2016 IRWM Grant Program Guidelines?

Yes      No      If Yes, Please identify below.

7. Will CEQA be completed within 6 months of Final Award?

Yes

NA, Project is exempt from CEQA

NA, Not a Project under CEQA

NA, Project benefits entirely to DAC/EDA/Tribe, or is a Tribe local sponsor

No

8. Will all permits necessary to begin construction be acquired within 6 months of Final Award?

Yes

NA, Project benefits entirely to DAC/EDA/Tribe, or is a Tribe local sponsor

No

### **C. WORK PLAN, BUDGET, and SCHEDULE**

1. Work Plan: Provide a brief Project Description, including summarizing major components, objectives, goals, and intended outcomes/benefits (quantitative and qualitative).

2. Budget: Provide cost estimates for each Budget Category listed in the table below. (Not required to be completed for Application)

<b>Table 1 - Project Budget</b>					
<b>Category</b>		<b>(a)</b>	<b>(b)</b>	<b>(c)</b>	<b>(d)</b>
		<b>Requested Grant Amount</b>	<b>Cost Share: Non-State Fund Source</b>	<b>Other Fund Source*</b>	<b>Total Cost</b>
<b>(a)</b>	<b>Direct Project Administration</b>				
<b>(b)</b>	<b>Land Purchase/Easement</b>				
<b>(c)</b>	<b>Planning/Design/Engineering/ Environmental Documentation</b>				
<b>(d)</b>	<b>Construction/Implementation</b>				
<b>(e)</b>	<b>Grand Total (Sum rows (a) through (d) for each column)</b>				

\*Provide information or other documentation to support the cost estimate in a separate attachment. Identify the source of Other Funds. Leverage Funding: For all Non-State funds provided above the minimum cost share required, identify the source. If other funds are not used, describe efforts to obtain other funding and/or why other funding sources were not used.

3. Cost Share Waiver Requested (DAC or EDA)? Yes No If Yes, continue below:  
 Cost Share Waiver Justification: Describe what percentage of the proposed project area encompasses a DAC/EDA, how the community meets the definition of a DAC/EDA, and the water-related need of the DAC/EDA that the project addresses. In order to receive a cost share waiver, the applicant must demonstrate that the project will provide benefits (minimum 25% by population or geography) that address a water-related need of a DAC and/or EDA.

4. Schedule: Include reasonable estimates of the start and end dates for each Budget Category listed in Table 1 - Project Budget. (Not required to be completed for Application)

<b>Table 2 – Project Schedule</b>			
<b>Category</b>		<b>(a) Start Date</b>	<b>(b) End Date</b>
<b>(a)</b>	<b>Direct Project Administration</b>		
<b>(b)</b>	<b>Land Purchase/Easement</b>		
<b>(c)</b>	<b>Planning/Design/Engineering/ Environmental Documentation</b>		
<b>(d)</b>	<b>Construction/Implementation</b>		

**D. OTHER PROJECT INFORMATION**

1. Provide a narrative for project justification. If applicable, include references to supporting documentation such as models, studies, engineering reports, etc. Include any other information that supports the justification for this project, including how the project can achieve the claimed level of benefits.

2. Project Physical Benefits Table:

<b>Table 3 – Project Physical Benefits</b>		
<b>Anticipated Useful Life of Project (years):</b>		
<b>Benefit A (Required)</b>		
<b>Type of Benefit Claimed:</b>	<b>Benefit Units*:</b>	
<b>Benefit B (Optional)</b>		
<b>Type of Benefit Claimed:</b>	<b>Benefit Units*:</b>	
<b>Physical Benefits (At Project completion or Lifetime, as appropriate)</b>		
<b>(a)</b>	<b>(b)</b>	<b>(c)</b>
<b>Benefit</b>	<b>Added Physical Benefit Description</b>	<b>Quantitative Benefit</b>
<b>Benefit A</b>		
<b>Benefit B</b>		
<b>Comments: [Include narrative on additional physical benefits, as warranted.]</b>		

\*DWR may require applicant to convert or modify Benefit Claimed and/or Benefit Units. Where applicable, select one of the following units that corresponds to the benefit claimed:

- For water supply produced, saved, or recycled, enter acre-feet per year (AFY)
- For water quality, enter constituent concentration reduced in mg/L
- For flood damage reduction, enter inundated acres reduced in acres
- For habitat improved, restored or protected, enter habitat restored in acres
- For fishery benefits, enter increased fishery flow rate in cubic feet per second (cfs)
- For species protection, enter number of species benefited



3. Does the proposed project provide physical benefits to multiple IRWM regions [or funding area(s)]?

Yes      No      If Yes, provide a description of the impacts to the various regions.

4. Provide a narrative on cost considerations. For example, were other alternatives to achieve the same types and amounts of physical benefits as the proposed project evaluated? If the proposed project is not the lowest cost alternative, why is it the preferred alternative? Are there any other advantages that the proposed project provides from a cost perspective?

5. Does the project address a contaminant listed in AB 1249? If yes:

a. Provide a description of how the project helps address the contamination; and

b. Does the project provide safe drinking water to a small disadvantaged community?      Yes      No

If Yes, provide an explanation on how the project benefits a small disadvantaged community as defined in the updated 2018 IRWM Guidelines.

6. Does the project provide safe, clean, affordable, and accessible water adequate for human consumption, cooking, and sanitary purposes consistent with AB 685?      Yes      No      If Yes, please describe.

7. Does the project employ new or innovative technologies or practices, including decision support tools that support the integration of multiple jurisdictions, including, but not limited to, water supply, flood control, land use, and sanitation?      Yes      No      If Yes, please describe.
8. If the project provides benefits entirely (100% by population or geography) to a DAC, explain the water-related need of the DAC and how the project will address the described need. Explain how the area/community meets the definition of a DAC.
9. If the project provides benefits entirely (100% by population or geography) to a Tribe or a Tribe is the sponsor of the project, explain the water-related need of the Tribe and how the project will address the described need.

10. Does the applicant have legal access rights, easements, or other access capabilities to the property to implement the project?

- Yes If Yes, please describe.
- No If No, please provide a clear and concise narrative with a schedule, to obtain necessary access.
- NA If NA, please describe why physical access to a property is not needed.

**E. ENVIRONMENTAL**

1. Please fill out the Table below, CEQA Timeline, if applicable:

Table 4 - CEQA Timeline		
CEQA STEP	COMPLETE? (y/n)	ESTIMATED DATE TO COMPLETE
Initial Study		
Notice of Preparation		
Draft EIR/MND/ND		
Public Review		
Final EIR/MND/ND		
Adoption of Final EIR/MND/ND		
Notice of Determination		

a. If additional explanation or justification of the timeline is needed, please describe below (optional).

2. Permit Acquisition Plan:

List all permits needed to complete project. If the project does not provide benefits entirely to a DAC, all permits needed to begin construction must be acquired within 6 months of funding award or by Agreement execution, whichever occurs first.

No.	Type of Permit	Permitting Agency	Date Acquired or Anticipated
1.			
2.			
3.			
n.			

For each permit not yet acquired, describe the following:

No.	a. Actions taken to date (include dates of any key meetings, consultations, submittals, etc.)	b. Any issues or obstacles that may delay acquisition of permit
1.		
2.		
3.		
n.		

3. Permitting Checklist: This checklist is provided as a courtesy for documentation purposes. Not all permits are listed. (Not required to be completed for Application)

a. Does the project involve any direct effects from construction activities, or indirect effects such as growth inducement that may affect federally listed threatened or endangered species or their critical habitat that are known, or have a potential, to occur on-site, in the surrounding area, or in the service area?

Yes      No      If Yes, please explain:

b. Would the proposed project work in, over, or under navigable water of the US or discharge dredged or fill material in waters of the US?

Yes      No      If Yes, please explain:

c. Will the proposed project have the potential to affect historical, archaeological, or cultural resources?

Yes      No      If Yes, please explain:

d. Will the proposed project discharge into a water of the US?

Yes      No      If Yes, please explain:

e. Will the proposed project divert the natural flow of the river, stream, or lake?

Yes      No    If Yes, please explain:

f. Will the proposed project change the bed, channel, or bank of a river, stream, or lake?

Yes      No    If Yes, please explain:

g. Will the proposed project use any material from the bed, channel, or bank of a river, stream, or lake?

Yes      No    If Yes, please explain:

h. Will the proposed project deposit or dispose of debris, waste, or other material containing crumbled, flaked, or ground pavement where it can pass into a river, stream, or lake?

Yes      No    If Yes, please explain:

i. For water supply projects, do you need to obtain a water right?

Yes      No    If Yes, please explain:

j. Is the proposed project within the defined coastal zone?

Yes      No    If Yes, please explain: