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# ROUND 1

## Implementation Grant Proposal Solicitation Package

Integrated Regional Water Management  
April 2019



*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 2019 IRWM Grant Program Guidelines (2019 Guidelines) for additional information.

### Grant Program Website

Pertinent information about the IRWM Grant Program, including this document and the 2019 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 date each Funding Area receives feedback from DWR on their Pre-Application Materials as detailed in this PSP (Section V. Application Instructions). The complete application and all supporting documentation must be submitted via DWR's GRanTS portal by 5:00 p.m.PST, eight (8) weeks after the Funding Area has received this feedback. 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 2019 IRWM Grant Program Guidelines (2019 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 2019 Guidelines to ensure that the submitted documents will meet the grant program requirements. The 2019 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 2019 Guidelines.

# II. ELIGIBILITY

To be eligible for IRWM grant funding, all applicable eligibility criteria outlined in Section II of the 2019 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 2019 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). No more than one application will be accepted per IRWM region; however, application(s) 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>

If the application is successful, an eligible grant applicant will then enter into an agreement with the State. Local Project Sponsors are generally any stakeholders 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 2019 Guidelines. Eligible projects must also be included in an adopted IRWM Plan (Water Code §79740) that is consistent with the 2016 IRWM 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.

For the purposes of this PSP “project” means all planning, design, engineering, acquisition of real property interests, construction and related activities undertaken to implement a discrete action to be funded under this Program.

## 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 2019 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 IRWM 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 consistent with Government Code §16767
- Have CEQA completed and permits necessary to begin construction acquired within 12 months of final grant award (final award). Some exceptions apply.

Exhibit A further defines the proposal and project eligibility requirements specific to this PSP.

Note that while environmental mitigation measures that are part of and necessary to complete an otherwise eligible project may be funded, existing compensatory mitigation requirements, mitigation measures, or compliance obligations are not eligible projects and cannot be funded.

**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.	2019 Guidelines Section II.B.	NA	
	Did applicant submit Pre-Application Materials?	None. DWR to verify.	PSP Section V.A.1	NA	
	Has the region submitted an IRWM plan that meets 2016 IRWM Plan 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	1	
	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.)	2019 Guidelines Section II.A. & 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	2019 Guidelines Section II.B. & PSP Section V.B.3	1	
	Agricultural Water Management and Measurement Compliance <sup>1)</sup>	Agency name and contact information DWR verification documentation for Agricultural Water Management Plan Enhanced Watershed Management Plan documentation Farm-gate delivery documentation	2019 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	2019 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 that projects do not affect groundwater	2019 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	2019 Guidelines, Section II.B. & PSP, Section V.B.3	1	



**TABLE 1: IRWM Implementation Grant Eligibility Checklist (cont.)**

Criteria Type	Eligibility Criteria	Required Documentation	Additional Details	Attachment	Criteria Met (Yes, No, or NA)
<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. (Note: if a project was added to the proposal solely as a substitute for a project that was submitted as part of the Pre-Application Materials, requirement for the Local Project Sponsor to submit pre-application documentation is not applicable.)	See specific requirements above	1	<b>Utilize same checklist as above for each Local Project Sponsor</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	2019 Guidelines Section II.C. & PSP Section II.C, Exhibit A	2, 3	
	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	2019 Guidelines Section II.C. & PSP Section II.C, Exhibit A	2, 3	
	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)	2019 Guidelines, Section II.B	2, 3	
<b>Project Eligibility</b>	Is project an eligible project type?	Applicant to complete Question A.9 of Project Information Form (PIF), Attachment 3	2019 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	
	If applicable, does the project have a useful life consistent with Government Code 16727?	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 (or functionally equivalent plan) that has been incorporated into an IRWM Plan, if applicable?	Applicant to provide documentation that the project is included in a Stormwater Resource Plan (or functionally equivalent plan) that has been incorporated into the IRWM Plan or provide evidence that the project is exempt from this requirement per Water Code §10563(c).	2019 Guidelines Section II.B, Section II.C & PSP Section V.B.3	1	
	If the project affects Groundwater in a high or medium priority basin, does the project have the support of the local Groundwater Sustainability Agency (GSA), or agency responsible for implementing an Alternative Plan.	Applicant to provide documentation that the project has support from the GSA or agency responsible for implementing an Alternative Plan.	2019 Guidelines Section II.B, PSP Section V.B.3	1	

**TABLE 1: IRWM Implementation Grant Eligibility Checklist (cont.)**

Criteria Type	Eligibility Criteria	Required Documentation	Additional Details	Attachment	Criteria Met (Yes, No, or NA)
<b>Post Final Award Eligibility/ Agreement Requirements</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.	2019 Guidelines Section II.B & PSP Section II.B, Section VIII	NA	
	Has the IRWM Plan been deemed consistent with the 2016 IRWM Plan Standards by DWR?	DWR to verify prior to execution of Agreement.	2019 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.	2019 Guidelines Section II.B; PSP Section VIII	NA	
	Has CEQA been completed and all permits necessary to begin construction acquired within 12 months of Final Award?	Provide documentation if complete. Otherwise, requirement shall be met before project is included in 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 (Water 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 \$222 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 provide at least 75% of its benefits directly to DACs. See Appendix E of the 2019 Guidelines for information on how to determine if a project benefits 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 qualify as a *DAC Implementation Project* (provide at least 75% of benefits 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.

**TABLE 2: Proposition 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>	Planning Grant Awards	DAC Involvement Awards	DAC Implementation Projects	General Implementation Projects <sup>2), 3)</sup>	DAC Implementation Projects <sup>4)</sup>		General Implementation Projects <sup>4)</sup>	
		(10%)			(10% Min)		% of Col. F	Up to:	% of Col. G	Up to:
North Coast	\$26,500,000	\$2,650,000	\$ -	\$2,650,000	\$2,650,000	\$18,550,000	60%	<b>\$1,590,000</b>	60%	<b>\$11,130,000</b>
San Francisco Bay	\$65,000,000	\$6,500,000	\$ -	\$6,500,000	\$6,500,000	\$45,500,000	35%	<b>\$2,275,000</b>	50%	<b>\$22,750,000</b>
Central Coast	\$43,000,000	\$4,300,000	\$281,118	\$4,300,000	\$4,300,000	\$29,818,882	50%	<b>\$2,150,000</b>	50%	<b>\$14,909,441</b>
Los Angeles	\$98,000,000	\$9,800,000	\$ -	\$9,800,000	\$9,800,000	\$68,600,000	35%	<b>\$3,430,000</b>	50%	<b>\$34,300,000</b>
Santa Ana	\$63,000,000	\$6,300,000	\$250,000	\$6,300,000	\$6,300,000	\$43,850,000	35%	<b>\$2,205,000</b>	50%	<b>\$21,925,000</b>
San Diego	\$52,500,000	\$5,250,000	\$250,000	\$5,551,350	\$4,948,650 <sup>5)</sup>	\$36,500,000	35%	<b>\$1,732,028</b>	50%	<b>\$18,250,000</b>
Sacramento River	\$37,000,000	\$3,700,000	\$314,222	\$3,700,000	\$3,700,000	\$25,585,778	100%	<b>\$3,700,000</b>	100%	<b>\$25,585,778</b>
San Joaquin River	\$31,000,000	\$3,100,000	\$215,125	\$3,100,000	\$3,100,000	\$21,484,875	90%	<b>\$2,800,000</b>	71%	<b>\$15,267,211</b>
Tulare/Kern	\$34,000,000	\$3,400,000	\$751,888	\$3,400,000	\$3,400,000	\$23,048,112	35%	<b>\$1,190,000</b>	50%	<b>\$11,524,056</b>
North / South Lahontan	\$24,500,000	\$2,450,000	\$841,030	\$2,450,000	\$2,450,000	\$16,308,970	52%	<b>\$1,280,540</b>	71%	<b>\$11,524,863</b>
Colorado River	\$22,500,000	\$2,250,000	\$1,211,982	\$2,636,488	\$2,250,000	\$14,151,530	35%	<b>\$787,500</b>	50%	<b>\$ 7,075,765</b>
Mountain Counties	\$13,000,000	\$1,300,000	\$83,906	\$1,300,000	\$1,300,000	\$9,016,094	35%	<b>\$455,000</b>	50%	<b>\$ 4,508,047</b>
<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>46%</b>	<b>\$23,595,068</b>	<b>56%</b>	<b>\$198,750,161</b>
<b>TOTAL TO AWARD IN ROUND 1</b>									<b>\$222,345,229</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 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.
- 5) DAC Involvement funding above 10% minimum has been credited towards DAC Implementation minimum for projects that would otherwise qualify for DAC Implementation funding.

## A. Local Cost Share

Proposition 1 requires a minimum cost share of 50% of the total project costs (Water Code §79742(C)). Applicants must demonstrate that on average a minimum of 50% of the total project costs in each proposal will be paid for with non-State funds excluding projects receiving a cost share waiver or reduction. 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 2019 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 the 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:

DAC/EDA Benefit	Percent (%) Cost Share Waiver/Reduction
75% - 100%:	100
50% - 74%:	75
25% - 49%:	50
Less than 25%:	0

## 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 2019 Guidelines, Appendix B.

## C. Grant Reimbursement Limitations

Funding for grant administration cannot exceed 10% of the total requested grant amount of the proposal. This 10% limit includes total grant administration costs incurred by the Grantee and each Local Project Sponsor. 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 limit will apply throughout the life of the grant agreement.

Additionally, travel is only an eligible reimbursable expense for projects providing at least 75% of benefits to DACs, EDAs, and/or Tribes (based on population or geographic area). Only ground transportation and lodging are eligible for grant reimbursement; per diem costs will not be eligible for grant reimbursement. DWR approval is required prior to travel outside of the IRWM region.

## 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 currently subscribed to the IRWM mailing list and wish to receive updates on the IRWM Grant Program via email, 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 Regional Water Management Group Governance structures do not allow an applicant to meet the timelines specified in the Application Instructions, DWR may adjust the timelines within reason.

## 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. Please note: DWR will not knowingly disclose information related to Native American sacred places per Government Code section 6254(r).

### A. Solicitation Process

This solicitation process consists of two phases:

Phase 1 - Funding Area Pre-Application Process

- a. Coordination and Scheduling
- b. Pre-Application Materials Submittal
- c. Pre-Application Workshops (Optional)
- d. DWR Feedback on Pre-Application Materials and Workshop

Phase 2 - Final Grant Application Submittal

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

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

The Funding Area Pre-Application Process includes the submittal of Funding Area Pre-Application Materials (Pre-Application Materials) and an optional Pre-Application Workshop (Workshop). Pre-Application Materials will be submitted to DWR prior to the Final Grant Application. Applicants must submit Pre-Application Materials in order to be eligible to submit an application for Round 1 IRWM Implementation grant funding. The purpose of submitting Pre-Application Materials prior to the Final Grant Application is to facilitate engagement between DWR and potential applicants early in the solicitation process. It allows for IRWM regions to receive early feedback from DWR regarding applicant and project eligibility, as well as feedback on the projects contained in the application. Pre-Application Materials are further described below in Paragraph b. Pre-Application Materials Submittal.

Applicants are encouraged to convene a Workshop two (2) to four (4) weeks after the Pre-Application Materials have been submitted to DWR. The Workshop is not required and will not impact application scores. If a Funding Area chooses to convene a Workshop, it will provide an opportunity to present and discuss potential projects with DWR in-person. The Workshop will also allow for

interregional coordination within each Funding Area (if applicable), provide increased transparency, and provide opportunities for interaction with other State funding agencies, as allowable.

#### a. Coordination and Scheduling

Each Funding Area will select a single entity to serve as the point of contact (POC) for scheduling and coordinating the submittal of the Pre-Application Materials and scheduling the Workshop (if applicable). 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 the Pre-Application Material Submittal date. If DWR and the POC cannot establish a mutually agreeable Pre-Application Material Submittal date, DWR will assign a date for submittal. Once finalized, the Pre-Application Material Submittal date for each Funding Area will be posted on DWR's website [here](#).

Pre-Application Materials will be submitted to DWR during Spring and Summer 2019.

If a Funding Area chooses to convene a Workshop, the POC will submit information to verify the agreed upon details (i.e., date, location, etc.). The Workshop must be held no earlier than two (2) weeks and no later than (4) weeks after the Pre-Application Material Submittal date unless another date is approved by DWR. The Workshop is expected to be held on a single day but may be held over two days and/or at two 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(s) may be subject to change as appropriate, with DWR concurrence. Convening a Workshop will not impact the Final Grant Application score (see PSP Table F4).

#### b. Pre-Application Materials Submittal

By close of business (5 pm PST) on the Pre-Application Material Submittal date, each applicant within the Funding Area must submit the following materials via email as both PDF and Excel files to: [dwr\\_irwm@water.ca.gov](mailto:dwr_irwm@water.ca.gov)

- One completed Proposal Summary (a summary of all projects the applicant intends to submit as part of the Final Grant 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](#).

#### c. Pre-Application Workshops (Optional)

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), IRWM RWMGs, Local Project Sponsors, 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. Partner funding agencies will also be invited to participate in the Workshop. If the Funding Area POC would like to request that specific agencies attend the Workshops, DWR will work with the agency(ies) to invite the appropriate representatives.

At the Workshop, applicants are expected 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. DWR Feedback on Pre-Application Materials and Workshop

Within six (6) weeks of the applicant's Pre-Application Material Submittal date, DWR (in consultation with other agencies as appropriate and as time allows) 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.

Based on feedback received, the applicant may decide to remove a project that was included in the Pre-Application Materials and/or submit a substitute project in the Final Grant Application.

## 2. Phase 2 – Final Application Submittal

Within eight (8) weeks of receiving DWR feedback on their Pre-Application Materials (and optional workshop), 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. 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 submit an IRWM Plan updated to meet the 2016 IRWM Plan Standards to DWR for review prior to submitting an application for Round 1 funding.

## B. How to Submit Final Application

### 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 "P1R11G." 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 Create a Grant Application" videos, review the GRanTS Public User Guide and Frequently Asked Questions, available at the above link, and set up their GRanTS account well advance of the application deadline. 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 2 gigabytes (GB). 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. Proposal Summary Forms and Project information forms should be submitted as both Excel files and PDF files.

**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

**Table 3: Grant Application Checklist**

### APPLICANT INFORMATION TAB

The following information is general and applies to the applicant and the overall proposal. Specific project information should be detailed in the project tab provided in the GRanTS application.

#### APPLICANT INFORMATION

- Organization Name:** Provide the name of the Agency/Organization responsible for submitting the application. Should the application be successful, this Agency/Organization will be the Grantee.
- Point of Contact:**
- 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.
  - 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.
- Point of Contact:** Position Title (Does not need to be the same as the Funding Area POC.)
- Application Name:** 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)
- Proposal Objective:** Leave Blank

#### PROPOSAL BUDGET

For the proposal, the following budget items should be transferred from the Proposal Summary Form where applicable.

- Other Contribution:** Provide the amount of other funds not included in the categories as listed below. If there is no other contribution, enter zero.
- Local Contribution (Cost Share):** Provide the total cost share that will be committed to the proposal. The Implementation Grant Program requires that on average a minimum local contribution of 50% of total project costs unless the applicant has received a cost share waiver or reduction.
- Federal Contribution:** Enter Federal funds being used. If none, enter zeros.
- In-kind Contribution:** 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.
- Amount Requested (Grant Funds Requested):** Provide the amount of total grant funds requested.
- Total Proposal Cost:** 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.

#### GEOGRAPHIC INFORMATION

GRanTS requests latitude and longitude in degrees, minutes, and seconds. You may use converters on the web such as <http://transition.fcc.gov/mb/audio/bickel/DDDMSS-decimal.html>. X/Y center points for each IRWM region can be found here: <https://water.ca.gov/-/media/DWR-Website/Web-Pages/Work-With-Us/Grants-And-Loans/IRWM-Grants/Files/IRWM-Grant-Program-Resources/Geographic-Files/Center-Point-Latitude-and-Longitude-of-IRWM-Regions.pdf>

- Latitude:** Applicant's Location
- Longitude:** Applicant's Location
- Longitude/Latitude Clarification:** Only use if necessary. (Maximum Character Limit: 250)
- Location:** List each IRWM region included in the proposal.
- County(ies):** 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.

**Table 3: Grant Application Checklist**

<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.
<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.calwater.ca.gov/content/Documents/library/Watershed/CALFED_Watershed_Map.pdf">http://www.calwater.ca.gov/content/Documents/library/Watershed/CALFED_Watershed_Map.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.

**PROJECTS TAB**

*This section contains information about the projects contained in the proposal. If your proposal contains multiple projects, all projects must be included on the Projects Tab. Use the "add new" function to create as many projects as needed. The following questions will be used to gather information on each specific project.*

**PROJECT INFORMATION**

<input type="checkbox"/>	<b>Project Name:</b> Provide the project name. (Maximum Character Limit: 150 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

**PROJECT BENEFITS INFORMATION**

*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.*

<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.

**PROJECT BUDGET**

*For each project, the following budget items should be taken from Proposal Summary Form, where applicable.*

<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.
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**Table 3: Grant Application Checklist****GEOGRAPHIC INFORMATION**

- 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.

**LEGISLATIVE INFORMATION**

- 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.

**APPLICANT INFORMATION AND QUESTIONS TAB**

*The answers to these questions will be used in processing the proposal and determining eligibility and completeness.*

- Q1. Project Representative:** 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.
- Q2. Project Manager:** 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.
- Q3. Funding Area Information:** Provide the IRWM funding area(s) in which projects are located.
- Q4. DAC and/or EDA Waiver Cost Share Request:** Are you applying for a DAC and/or EDA cost share waiver? If yes, fill out Attachment 7 and/or 8.
- Q5. Eligibility:** 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.
- Q6. Self-Certification:** 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.

**PROPOSAL ATTACHMENTS TAB**

*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.*

<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"
<input type="checkbox"/> Attachment 10	Climate Change	"Climate"

### 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 IRWM Plan
- Urban Water Management Compliance
- Agricultural Water Management and Measurement Compliance
- Surface Water Diverter Compliance
- Groundwater Management Compliance
- CASGEM Compliance
- Stormwater Management Plan 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:

<p>RESOLUTION NO. _____</p> <p>Resolved by the &lt;Insert name of governing body, city council, organization, or other&gt; of the &lt;Insert name of agency, city council, organization, or other&gt;, 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 <i>et seq.</i>), and to enter into an agreement to receive a grant for the: &lt;Insert name of proposal&gt;. The &lt;Insert title – Presiding Officer, President, Agency Manager, or other officer&gt; of the &lt;Insert name of agency, city, county, organization, or other&gt;, 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.</p> <p>Passed and adopted at a meeting of the &lt;Insert name of agency, city, county, organization, or other&gt; on &lt;Insert date&gt;.</p> <p style="text-align: right;">Authorized Original Signature: _____</p> <p style="text-align: right;">Printed Name: _____</p> <p style="text-align: right;">Title: _____</p> <p style="text-align: right;">Clerk/Secretary: _____</p>
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**Eligible Applicant Documentation:** Eligible applicants are 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 2019 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, the applicant is not required to submit the following eligible applicant information; the applicant should provide applicable grant agreement number(s). 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 2019 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 2019 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 2019 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 2019 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** – Regions must submit an IRWM Plan updated to the 2016 Plan Standards to DWR for review prior to submitting an application. Include information verifying that a plan has been submitted to DWR for review.

Note that DWR has established a Plan Review Process (PRP) designed to assess whether IRWM plans are consistent with the 2016 IRWM Program Guidelines 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 California Water Code (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 Executive Order (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)
- If applicable, 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** –Attachment 1 must include the documentation requested below for each project, as applicable.

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

- List of Local Project Sponsors implementing any groundwater projects or other projects that directly affect groundwater levels or quality including:
  - Agency/organization name(s)
  - Contact phone number(s) and e-mail address(es)
  - Each listed agency must submit a self-certification form indicating compliance with CWC §10753 regarding Groundwater Management Plans (GWMPs). Instructions to complete the self-certification can be found at: <https://water.ca.gov/Work-With-Us/Grants-And-Loans/IRWM-Grant-Programs/Proposition-1/Implementation-Grants>. Please note that projects that affect groundwater levels or quality located in a CASGEM High or Medium priority groundwater basin without an adopted GWMP in compliance of CWC §10753 before January 1, 2015 will not be eligible (CWC §10750.1(a)).
- For groundwater projects or other projects that directly affect groundwater levels or quality in a high or medium priority basin, documentation that the project has support from the Groundwater Sustainability Agency of the impacted groundwater basin(s), or the agency responsible for implementing an alternative plan.
- For any projects in the proposal that do not affect groundwater, include a justification describing why the project has no effect on groundwater.

Note that Local Project Sponsors that receive a grant award will have to maintain compliance with Division 6, §10000 et seq. of the CWC as part of continuing eligibility requirements. Groundwater Management compliance requirements may be revised or updated based upon the implementation of the Sustainable Groundwater Management Act of 2014 (SGMA).

**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 2019 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 application due date. If the applicant is found ineligible, the entire application 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 SGMA.

**Stormwater Management Plan Compliance** - For all Stormwater projects and/or dry weather runoff capture projects, attach documentation that the project is included in a Stormwater Resource Plan (or Functionally Equivalent Stormwater Resource Plan) that has been incorporated into an IRWM plan, or provide evidence that the project benefits a DAC with a population of 20,000 or less that is not a co-permittee for a municipal separate stormwater system national pollutant discharge elimination system permit issued to a municipality with a population greater than 20,000.

## **ATTACHMENT 2. PROPOSAL SUMMARY**

Attachment 2 is the completed Proposal Summary that can be downloaded [here](#). Note that this attachment is the same form that was required to be submitted with the Pre-Application Materials.

## **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](#).

#### **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 included if they provide substantive information.

Exhibit C 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 organized in a manner that is consistent with 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 Project Budget 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 each 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 claiming to provide benefits to DACs.

DWR strongly recommends that applicants consult Appendix E of the 2019 Guidelines to determine if the project benefit area includes a DAC. 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.
- 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).
- 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, older ACS data, etc.) may be substituted in the attachment. Include justification for the use of alternate data.

To determine 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 or other methods for determining MHI, see the link listed in Proposition 1 IRWM Guidelines, Appendix A.

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

Attachment 8 is required for applicants claiming to provide benefits to EDAs.

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 projects sponsored by a Tribe or claiming to provide benefits directly to 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. Provide justification demonstrating the percent of project benefits provided to the Tribe.

DWR will not knowingly disclose information related to Native American cultural sites or sacred places per Government Code section 6254(r). There is no requirement to disclose any information related to Native American cultural sites or sacred places to DWR in the application. If this information is included in the application, it must be clearly labeled "confidential."

For any project affecting a Tribe where the Tribe is not the Local Project Sponsor, provide a letter of support for the project from the affected Tribe(s).

### **ATTACHMENT 10. CLIMATE CHANGE**

Attachment 10 is requested for all applicants and will be required prior to agreement execution. Applicants should answer the following questions regarding their organization, and include copies of the requested information:

1. Does the organization have a strategic business plan? (Yes/no; if yes, please submit a copy)
2. Has the organization conducted a climate change vulnerability assessment? (Yes/no; if yes, please submit a copy)
3. Does the organization have a main contact person for climate change? (Yes/no; if yes, to what position in the origination does that person report?)
4. Has the organization considered the risk of climate change in its capital reserves and investments? (Open ended; one-three paragraphs, with specific examples, should suffice).

Answers to these questions/documents submitted as part of this attachment will not affect scoring.

## **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**. Applications will be screened for eligibility and completeness in accordance with Section IV of the 2019 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. DWR may allow more than 5 business days to provide the required documentation with sufficient justification on a case by case basis.

Applications 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 for DAC Implementation Projects and an Average Project Score for General Implementation Projects, 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 DAC Application Score and a General Application Score. These scores will be determined by adding the respective 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 an application 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 application due to a Low Score. If all the projects in an application do not exceed the Low Score, the application will be determined insufficient, and no grant funds will be awarded for that application.

## VII. AWARD PROCESS

Following technical review, awards for grant funding will be made consistent with the process outlined in the 2019 Guidelines Section IV.D. Final Awards will be released for each Funding Area upon approval by DWR's Director.

Grant awards will be made to proposals for DAC Implementation Projects and General Implementation Projects within a Funding Area based on the DAC Application Score and General Application Score. Within each application, awards made 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.

## VIII. AGREEMENT EXECUTION

Following Final Awards, DWR will enter into an agreement with each successful applicant, consistent with the 2019 Guidelines Section IV.E.

- For projects to be included in the grant agreement, CEQA must be completed and all permits necessary to begin construction acquired, unless exempt. (See Exhibit A for exemptions).
- Projects that do not have CEQA complete and all permits necessary to begin construction acquired at the time of grant agreement execution (and are not exempt), will be included in the grant agreement as a placeholder. Placeholder projects are not eligible for grant reimbursement and may not submit invoices to DWR until such time as they are fully included in the grant agreement as described below.
- A single amendment to the agreement will be allowed to include projects that complete CEQA and/or acquire permits necessary to begin construction within twelve months of Final Award. Within this single amendment, any placeholder projects that did not meet the CEQA and permitting eligibility requirements will be deleted from the agreement. The total grant award will be reduced by the amount of the deleted project(s). Replacement projects will not be allowed. Deleted placeholder projects are not eligible to receive any grant reimbursement.

- Each IRWM region must have adopted an IRWM plan that has been deemed consistent with the 2016 IRWM Plan Standards by DWR. Additionally, the Grantee and each Local Project Sponsor must have adopted this plan. All projects included in the grant agreement must be included in the adopted IRWM Plan. This requirement must be met prior to agreement execution.
- As part of the grant agreement, grant recipients and associated Local Project Sponsors will be required to provide information regarding their projects for Bond Accountability reporting. Financial statements will be required prior to execution of a grant agreement. The Grantee must submit copies of the most recent three years of audited financial statements, for each agency or organization proposed to receive grant funding for a selected proposal. Detailed instructions will be provided in the conditional award letter.

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**Table 4: Scoring Criteria**

<b>Scoring Criteria - Proposal Level Evaluation (Proposal includes all DAC and General Projects)</b>					
<b>Q#</b>	<b>Questions</b>	<b>Evaluation Guidance and Scoring; the application must contain:</b>	<b>Leg Citation</b>	<b>Form/Question No.</b>	<b>Maximum Points Available</b>
1	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?	<ul style="list-style-type: none"> <li>A reasonable explanation of how the overall proposal supports the intent of IRWM as discussed in the 2019 Guidelines and the IRWM Planning Act. (1 point)</li> <li>A reasonable explanation of how the overall proposal demonstrates coordination and/or collaboration within and between agencies regions, and/or Funding Areas. (1 point)</li> <li>A sufficient description of any efficiencies or mutual solutions realized. (1 point)</li> </ul>	10531; 79741(b)	Proposal Summary/ 8	3
2	If the IRWM region has been identified as an area where contaminants listed in AB 1249 exist, does the proposal contain project(s) that address the contaminant(s)?	A reasonable explanation of how the project(s) addresses AB 1249 contaminants (nitrate, arsenic, perchlorate, or hexavalent chromium contamination). (1 point) If the requirements of AB 1249 do not apply to the applicant's IRWM region(s), full points awarded.	10541(e)(14)	Proposal Summary /PIF/D.5	1
3	Does the proposal include one or more projects that provide safe, clean, affordable and accessible water adequate for human consumption, cooking and sanitary purposes?	A reasonable explanation of how one or more projects meet a specific need(s) of a community to provide safe, clean, affordable and accessible water adequate for human consumption, cooking and sanitary purposes. The applicant will receive one (1) point for each project, up to a maximum of two (2) points.	106.3 (AB 685)	PIF/D.6	2
<b>Maximum Possible Proposal Score</b>					<b>6</b>

**Scoring Criteria – Project Level Evaluation**

<b>Q#</b>	<b>Questions</b>	<b>Evaluation Guidance and Scoring; the application must contain:</b>	<b>Leg Citation</b>	<b>Form/Question No.</b>	<b>Maximum Points Available</b>
<b>Meeting Needs of the Region/Nexus to the IRWM Plan</b>					
4	Does the project address the critical needs and/or priorities of the IRWM region as identified in the IRWM plan?	A reasonable explanation of how the project addresses at least one goal(s) and/or objective(s) in the IRWM Plan. (1 point)	79707(a)	PIF/B.2	1
5	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.? Does the narrative include other information that supports the justification for the proposed project, including how the project can achieve the claimed level of benefits?	<ul style="list-style-type: none"> <li>A logical, reasonable, and clear project justification narrative in Section D.1 in the PIF. (1 point)</li> <li>The narrative includes requisite referenced supporting documentation such as models, studies, engineering reports, etc. (1 point; full points if N/A)</li> <li>The narrative includes other information that supports the justification for the proposed project, including how the project can achieve the claimed level of benefits. (1 point)</li> </ul>	NA	PIF/D.1	3
6	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?	<ul style="list-style-type: none"> <li>A reasonable explanation of how the project addresses or adapts to climate change. (1 point)</li> <li>A reasonable explanation of how the project addresses climate change vulnerabilities assessed in the IRWM Plan. (1 point)</li> </ul>	79741(a); 79742(e)	PIF/B.4	2
<b>Work Plan, Budget, Schedule, and Grant Agreement Readiness</b>					
7	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?	<p>Tasks that will likely lead to a completed project and a brief description of those tasks and deliverables necessary to be submitted to DWR.</p> <ul style="list-style-type: none"> <li>The Work Plan appears to be sufficiently complete, with all deliverables identified, and reasonable given the intent of the project. (3 points)</li> <li>The Work Plan is generally complete and/or deliverables generally listed, but it appears pertinent information is missing or gaps in the scope of work are identified. (2 points)</li> <li>The Work Plan is sparsely filled out, with minimal information and/or minimal deliverables listed. (1 point)</li> </ul>	NA	Attachment 4	3

**Table 4: Scoring Criteria**

8	<p>Collectively, are the Work Plan, Schedule, and Budget thorough, reasonable, and justified; and consistent with each other?</p> <p>Considerations include:</p> <ul style="list-style-type: none"> <li>Does the <u>project description</u> clearly and concisely address all required topics listed in section C.1 of the PIF, including summarizing the major components, objectives and intended outcomes/benefits of the project?</li> <li>Are the tasks shown in the <u>Work Plan, Schedule and Budget</u> consistent?</li> <li>Are the costs presented in the <u>Budget</u> backed up by and consistent with supporting justification and/or documentation?</li> <li>Is the <u>Schedule</u> reasonable considering the tasks presented in the Work Plan?</li> </ul>	<p>Tasks that will likely lead to a completed project and a brief description of those tasks and deliverables necessary to be submitted to DWR, including:</p> <ul style="list-style-type: none"> <li>A <u>Project Description</u> that clearly and concisely addresses all required topics listed in Section C.1 of the PIF, including summarizing the major components, objectives and intended outcomes/benefits of the project. (1 point)</li> <li>Tasks shown in the <u>Work Plan, Schedule and Budget</u> that are generally consistent with each other indicating the project can be completed on time and within budget. (1 point)</li> <li>Costs presented in the <u>Budget</u> are supported by and consistent with supporting justification and/or documentation (such as hourly rates, consultant fees, etc.). (1 point)</li> <li>A <u>Schedule</u> that is reasonable considering the tasks presented in the Work Plan, which indicates the project will likely be completed by the end date listed in Attachment 6. (1 point)</li> </ul>	NA	PIF/C and Attachments 4-6	4
9	<p>Does the project sponsor have legal access rights, easements, or other access capabilities, to the property to implement the project? If not, does the project sponsor provide a clear and concise narrative and schedule to obtain the necessary access?</p>	<ul style="list-style-type: none"> <li>Project Sponsor has legal access rights, easements, or other access capabilities to the property. (2 points)</li> <li>Project Sponsor does not currently have legal access rights, easements, or other access capabilities to the property but provides a sufficient narrative with a reasonable schedule to obtain said access. (1 point)</li> <li>Project Sponsor does not have legal access rights, easements, or other access capabilities to the property and does not provide a sufficient narrative with a reasonable schedule to obtain said access. (0 points)</li> <li>Full points awarded if not applicable.</li> </ul>	NA	PIF/D.11	2
<b>Project Benefits and Program Preferences</b>					
10	<p>Does the budget leverage funds with other private, Federal, or local fund sources?</p>	<ul style="list-style-type: none"> <li>Project Budget contains non-state cost share and/or other fund sources. (1 point)</li> </ul>	79707(b)	Attachment 5	1
11	<p>Is the primary benefit* claimed in Table 3 of the Project Information Form logical and reasonable given the information provided in the Work Plan?</p> <p>*For Decision Support Tools, non-physical benefits will be considered.</p>	<p>A properly completed Table 3 for at least one (and up-to two) benefit(s) of each project.</p> <p>For physical (quantitative) benefit(s):</p> <ul style="list-style-type: none"> <li>Does the type of benefit claimed match the intended outcome of the proposed project as described in the narrative (Section C.1.). (1 point)</li> <li>Is the benefit description and <u>quantitative</u> measure of benefit logical and reasonable given the information provided in the Work Plan? Does the claimed benefit use industry standard units of measure (as described in D.2)? (1 point)</li> </ul> <p>For non-physical (qualitative) benefit(s):</p> <ul style="list-style-type: none"> <li>Does the type of benefit claimed match the intended outcome of the proposed project as described in the narrative (Section C.1.). (1 point)</li> <li>Is the benefit description and <u>qualitative</u> measure of benefit logical and reasonable given the information provided in the Work Plan? (1 point)</li> </ul>	NA	PIF/D.2 – Table 3	2
12	<p>Does the project provide multiple (more than one) benefits?</p>	<p>Is a secondary benefit claimed that meets all of the physical or non-physical benefit criteria of Question 11? (1 point)</p>	NA	PIF/D.2 – Table 3	1
13	<p>Does the project provide benefits to more than one IRWM region and/or Funding Area?</p>	<p>A sufficient description of the benefits to more than one IRWM region and/or Funding Area. The description must include an explanation of the benefits to various IRWM regions and/or Funding Areas. (1 point)</p>	79742(a)	PIF/D.3	1
14	<p>If the proposed project addresses contamination per the requirements of AB1249, does the project provide safe drinking water to a small disadvantaged community?</p>	<ul style="list-style-type: none"> <li>A reasonable explanation of how the project provides safe drinking water to a small disadvantaged community as defined in the 2019 IRWM Guidelines. (1 point)</li> <li>Full points awarded, if the project does not have contaminant issues per AB1249 requirements.</li> </ul>	10545	PIF/D.5	1
15	<p>Does the proposed project employ new or innovative technology or practices?</p>	<p>A reasonable explanation of how a project employs new or innovative technology or practices, including, but not limited to: Decision Support Tools that support the integration of multiple jurisdictions, new and/or innovative business approaches, technology and partnerships etc. (1 point)</p>	79707(e)	PIF/D.7	1
16	<p>Does the project provide a benefit(s) to a DAC, EDA and/or Tribe (minimum 75%)?</p>	<p>A sufficient explanation of how the project provides a benefit to DAC, EDA and/or Tribe and how the project will address the needs of that community. (1 point)</p>	NA	PIF/D.8 and/or D.9 and/or D.10 & Attachments 7-9	1

**Cost Considerations**

**Table 4: Scoring Criteria**

17	Did the applicant provide a narrative on cost considerations that is fully explained based on information requested in the Project Information Form?	<p>A narrative on cost considerations that provides at least one of the factors listed below:</p> <ul style="list-style-type: none"> <li>• Were other projects evaluated with similar levels of claimed (quantitative or qualitative) benefits as the proposed project?</li> <li>• In terms of cost, is a justification provided as to why the project was selected?</li> </ul> <p>One of the cost considerations listed above is sufficiently and reasonably addressed. (1 point) Both of the cost considerations listed above are sufficiently and reasonably addressed. (2 points)</p>	NA	PIF/D.4	2
<b>Maximum Possible Individual Project Level Score</b>					<b>24</b>
<b>Average DAC Project Score</b>			<b>Average General Project Score</b>		
(Sum of Individual DAC Project Scores/ Number of DAC Projects; rounded to the nearest whole number)		24	(Sum of Individual General Project Scores/ Number of General Projects; rounded to the nearest whole number)		24
<b>DAC Application Score</b>		<b>Maximum Possible Score</b>	<b>General Application Score</b>		<b>Maximum Possible Score</b>
<b>Enter Proposal Score</b>		6	<b>Enter Proposal Score</b>		6
<b>Enter Average DAC Project Score</b>		24	<b>Enter Average General Project Score</b>		24
<b>Bonus Point:</b> At the time of submittal, was the application deemed complete and eligible?		1	<b>Bonus Point:</b> At the time of submittal, was the application deemed complete and eligible?		1
<b>DAC Application Score (Sum Above Three Rows)</b>		<b>31</b>	<b>General Application Score (Sum Above Three Rows)</b>		<b>31</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 2019 Guidelines. 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 addressing 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 2019 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. If applicable, have an expected useful life of consistent with Government Code § 16727**

In general, each project must demonstrate a useful life of at least 15 years as required by Government Code §16727, as applicable. Grant agreements will require Local Project Sponsors to self-certify that the expected useful life of each project meets these requirements.

***POST-APPLICATION PROJECT ELIGIBILITY***

**6. Have CEQA completed and permits necessary to begin construction acquired within 12 months of Final Award**

Proposed projects that are subject to CEQA must have all CEQA documentation completed and certified (if applicable) as well as any permits acquired that are necessary to begin construction within twelve months of Final Awards (defined in Section IV D. of the 2019 Guidelines).

A grant agreement will be executed including only projects for which CEQA is completed and a Notice of Determination or a Notice of Exemption has been submitted to DWR, if applicable. A single amendment will be allowed to include projects that complete CEQA and/or acquire permits necessary to begin construction within twelve months of Final Award. If CEQA is not completed or necessary permits not acquired for a project within twelve months of the Final 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 at least 75% of benefits to DACs, EDAs, and/or Tribes (based on population or geography), or projects implemented by Tribes will be exempt from this requirement.

## EXHIBIT B – Funding Area Pre-Application Workshop Components

This exhibit provides guidance regarding what should be discussed in the optional Funding Area Pre-Application Workshop (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 Application)

1. Overview of the critical needs of the IRWM region
2. Overview of projects and project selection process
3. Discussion of status of how the proposal responds to the needs of DACs, EDAs, and Tribes; and the project(s) associated with the DAC Involvement Program (if applicable)
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. Justification for the project; including:
  - a. An explanation of how the proposed projects addresses the critical need(s) of the region as described in the IRWM Plan's goals and objects
  - b. Quantitative and qualitative benefit(s) provided by the project (including benefits to DACs, EDA, and Tribes), and
  - c. Consideration of project alternatives
3. How past IRWM funding has contributed to addressing the need(s) and how the proposed project builds on past project(s) (if applicable)
4. Operations and Maintenance of the Project, including funding source
5. Nature of stakeholder coordination

#### Work Plan

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

#### Budget

7. How costs were developed?
8. Specify cost share sources; discuss other funding sources considered

#### Schedule

9. 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 12 months of Final Award
  - b. How all permits required to begin construction will be acquired within 12 months of Final Award
  - c. Status of acquisition of all necessary permits
  - d. Schedule for obtaining legal access to property to implement project

## 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 (if applicable)
- 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). 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 2019 Guidelines for further information.
- Submittal of the necessary plans and specifications.

An example workplan template 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 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.

#### **Deliverables:**

- Invoices and associated backup documentation

#### 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:**

- Progress Reports
- Final Project Completion Report(s)
- Final Grant 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}/DWR's comments. The report shall be prepared and presented in accordance with the provision of Exhibit G.

**Deliverables:**

- Quarterly Project Progress Reports
- Final Project Completion Report

**Budget Category (b): Land Purchase/Easement**Task 3 – 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 4 - Feasibility Studies

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

**Deliverables:**

- Relevant Feasibility Studies

Task 5 - CEQA Documentation

Prepare and circulate a Notice of Preparation (including tribal notification to the California Native Heritage Commission). Prepare draft environmental document(s) and release document(s) for public review. File Notices of Completion and Determination with State

Clearinghouse. Prepare letter stating no legal challenges (or addressing legal challenges).  
{Add applicable detail}

**Deliverables:**

- Copy of Notice of Preparation
- Final environmental document(s)
- Copy of Notice of Completion
- Copy of Notice of Determination
- No Legal Challenges letter

Task 6 - Permitting

Acquire {specific permits}. {Add applicable detail}

**Deliverables:**

- All required permits

Task 7 - 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 8 - 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 9 - 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 10 - 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 11 - Construction/Implementation Activities

Construction activities are outlined below.

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

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

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

11(d): Improve {Add applicable detail}

**Deliverables:**

- Photographic documentation, if applicable
- 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 (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. An average minimum cost share of 50% of the total project costs in each proposal is required. 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 2019 Guidelines.
- 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.
- 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, 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.

### **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**

**Application Name:** \_\_\_\_\_

**Project Title:** \_\_\_\_\_

Project serves a need of a DAC?:  Yes  No

Cost share waiver request?:  Yes  No

Category		(a)	(b)	(c)	(d)
		Cost Share: Non-State Fund Source*	Requested Grant Amount	Other Cost Share (Including Other State Fund Sources*)	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 relevant categories to present the schedule for each task described in Attachment 4, Work Plan.

### Project 1: Grant Administration

Categories		Start Date	End Date
(a)	Grant Administration	MM/DD/YYYY	MM/DD/YYYY

### Project 2: <Awarded Project 2 Name>

Categories		Start Date	End Date
(a)	Project Administration	MM/DD/YYYY	MM/DD/YYYY
(b)	Land Purchase / Easement	MM/DD/YYYY	MM/DD/YYYY
(c)	Planning/ Design / Engineering / Environmental Documentation	MM/DD/YYYY	MM/DD/YYYY
(d)	Construction/ Implementation	MM/DD/YYYY	MM/DD/YYYY

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