

State of California  
The Resources Agency  
**Department of Water Resources**  
Bay-Delta Office

**Final**  
**February 2015**

**PROPOSAL SOLICITATION PACKAGE**  
**for**  
**GROUP II – FRANKS TRACTS AND OTHER DELTA REGION**  
**PROJECTS**



Delta, San Joaquin River and Sacramento River,  
Water Quality Grant Program



Funded by  
The Safe Drinking Water, Water Quality and Supply, Flood Control, River, and  
Coastal Protection Bond Act of 2006

**PROPOSAL SOLICITATION PACKAGE**  
**for**  
**GROUP II – FRANKS TRACT AND OTHER DELTA REGION PROJECTS**

The California Department of Water Resources invites you to submit a proposal for funding for Group II – Franks Tract and Other Delta Region Projects:

**PROPOSAL DUE DATE**

April 9, 2015

Electronic copy must be received through the Grants Review and Tracking System (GRanTS) by 5:00 p.m. on April 9, 2015. Hard copy must be postmarked no later than April 9 or received via personal submission by 5:00 p.m.

**PROPOSAL SUBMITTAL**

Submit three hard copies (preferably double-sided) of GRanTS questionnaire and attachments (as applicable). Submit one electronic copy (in MS Word) of the original proposal on a CD to:

California Department of Water Resources  
Bay-Delta Office  
1416 Ninth Street, Room 215-30  
Sacramento, CA 95814  
Attn: Genevieve Schrader

**NOTICE OF INFORMATIONAL PUBLIC WORKSHOP**  
**Workshop Date and Location**

February 26, 2015

10:00 a.m. – 12:00 p.m.  
Bonderson Building, Hearing Room  
901 P Street  
Sacramento, CA 95814

Please check in with the 1<sup>st</sup> floor security  
guard at the corner of 9<sup>th</sup> & P

For more information: Contact Genny Schrader, (916) 653-2118  
BDOp84grants@water.ca.gov

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## **Acronyms and Other Abbreviations**

AB	Assembly Bill
BMS	Bond Management System
CASGEM	California Statewide Groundwater Elevation Monitoring
CDFW	California Department of Fish and Wildlife
CEQA	California Environmental Quality Act
CWC	California Water Code
DAC	Disadvantaged community
DWR	California Department of Water Resources
GIS	Graphical Information System
GRanTS	Grants Review and Tracking System
MB	Megabytes
MHI	Median Household Income
NEPA	National Environmental Policy Act
NOE	Notice of Exemption
PRC	Public Resources Code
PSP	Proposal Solicitation Package
SB	Senate Bill
SLR	Sea level rise
SWAMP	Surface Water Ambient Monitoring Program
UWMP	Urban Water Management Plan

## **I. INTRODUCTION**

In 2006 the voters of California approved Proposition 84, the Safe Drinking Water, Water Quality and Supply, Flood Control, River and Coastal Protection Bond Act (the Act). The Act was codified in Section 1, Division 43 of the Public Resources Code (PRC). Division 43, § 75029 of the PRC identifies the sum of \$130 million for grant projects. Subsection (c) of § 75029 specifies those projects at Franks Tract and other Delta locations that will reduce salinity or other pollutants at agricultural and drinking water intakes.

On September 30, 2008, the governor signed Senate Bill X2 1(SB X2 1) which appropriates \$90 million from bond revenues authorized by Proposition 84 to DWR for projects specified in PRC § 75029.<sup>1</sup> This legislation identifies \$40 million for those projects consistent with subsection 75029(c) of the PRC.<sup>2</sup>

During this proposal solicitation package (PSP) funding cycle, approximately \$36.6 million will be available for eligible projects with maximum individual grant awards limited to \$20 million. All applicants for these funds must follow the provisions of the Guidelines for this program, the “Delta, San Joaquin River, and Sacramento River Water Quality Grant Program Guidelines” (Guidelines), adopted by the Department of Water Resources (DWR) in July 2010, in addition to the requirements of this Proposal Solicitation Package (PSP). The Guidelines are available at the following link:

[http://baydeltaoffice.water.ca.gov/sdb/prop84/index\\_prop84.cfm](http://baydeltaoffice.water.ca.gov/sdb/prop84/index_prop84.cfm)

## **II. ELIGIBILITY**

### **A. Eligible Grant Recipients**

Eligible grant recipients are local agencies which have an eligible proposal/project that will provide public benefits (PRC § 75004) and which satisfy all other requirements of this PSP, including, but not limited to, minimum cost share requirements. See the Guidelines, Section II.A for the definition of local agencies.

Other entities, including, but not limited to, state and federal agencies, universities, or non-profit organizations, may collaborate with a local agency and perform work with the grant funds so long as the local agency is designated as the responsible entity and controls all activities related to the grant.

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<sup>1</sup> Wat. Code, § 83002, subd. (b)(4)(B).

<sup>2</sup> *Id.* at subd. (b)(4)(B).

## **B. Project Eligibility**

Eligible projects are those at Franks Tract and other locations in the Delta that reduce salinity or other pollutants at agricultural and drinking water intakes.<sup>3</sup>

## **C. Geographic Scope**

Funds will be available for eligible projects that improve water quality (see Section II.B) in the legal Delta. The legal Delta is defined in the California Water Code (CWC), Division 6, Part 4.5, Chapter 2, § 12220.

## **D. Program Preferences**

Preference will be given to specific project types. These program preferences are reflected in the evaluation criteria (see Section VIII.), as applicable, and will be taken into consideration during the review process. Preference will be given to proposed projects that provide:

- Protection of water quality and the environment;
- Integration of multiple strategies/benefits (e.g. agricultural water use, land use, watershed management, ecosystem restoration, and salt management);
- Improvements to resiliency of Delta water quality to increased salinity intrusion from sea level rise and changes in hydrology (runoff timing/volume) due to climate change;
- Water quality improvements for disadvantaged communities (DACs).
- A regional benefit as described in CWC § 10544<sup>4</sup>; and
- An implementation component. Implementation includes construction and installation, and can include a procedure/practice that results in a water quality improvement. Proposals that include an implementation component will be considered in a Priority I category, while other proposals (e.g. feasibility studies) will be considered in a Priority II category. Priority I category proposals will be considered for funding first.

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<sup>3</sup> Pub. Res. Code, § 75029 subd. (c).

<sup>4</sup> When selecting projects and programs pursuant to Division 24 (commencing with Section 78500), Division 26 (commencing with Section 79000), Division 26.5 (Commencing with Section 79500), or pursuant to any grant funding authorized on or after January 1, 2009, for water management activities, the department, the board, the State Department of Public Health, and the California Bay-Delta Authority or its successor, as appropriate, shall include in any set of criteria used to select projects and programs for funding, a criterion that provides a preference for regional projects or programs.

## **E. Groundwater Monitoring – CASGEM**

On November 6, 2009, Senate Bill X7-6 (SB X7-6) was enacted. SB X7-6 revised CWC Section 10920 *et seq.* and established a groundwater monitoring program designed to monitor and report groundwater elevations in all or part of a basin or subbasin. These new requirements also limit the ability of counties and various entities (CWC Section 10927.(a)-(d), inclusive) to receive state grants or loans in the event that DWR is required to perform ground monitoring functions pursuant to CWC 10933.7. Applicants and project proponents that are groundwater users must show that they have met the reporting requirements of DWR's CASGEM program as described at: <http://www.water.ca.gov/groundwater/casgem/>.

## **F. Agriculture Water Management Plan Compliance**

Beginning July 1, 2013, an agricultural water supplier is not eligible for a water grant or loan awarded or administered by the State unless the supplier complies with Senate Bill X7-7 water conservation requirements outlined in Part 2.55 (commencing with §10608) of Division 6 of the CWC. Applicants and project proponents that are agricultural water suppliers must prepare and adopt an agricultural water management plan as described at <http://www.water.ca.gov/wateruseefficiency/finance/> and show that they comply with submission requirements.

## **G. Surface Water Diversion Reporting Compliance**

On and after January 1, 2012, a diverter of surface water is not eligible for a water grant or loan awarded or administered by the State unless it complies with surface water diversion reporting requirements outlined in Part 5.1 (commencing with §5100) of Division 2 of the CWC. Applicants and project proponents that are surface water diverters must submit surface water diversion reports to the State Water Resources Control Board.

## **H. Urban Water Management Planning Act Compliance**

Water suppliers who were required by the Urban Water Management Planning Act (CWC §10610 *et seq.*) to submit an Urban Water Management Plan (UWMP) to DWR must have submitted an UWMP that has met the requirements of the law to be eligible for Grant Program funding. Applicants and project proponents that are urban water suppliers must have a 2010 UWMP that has been verified as meeting the requirements of the law by DWR before a grant agreement will be executed.

Both AB 1420 (CWC §10631.5) and Water Meter Compliance (CWC §525 *et seq.*) self-certification documents must be submitted for each urban water supplier that would receive grant funding. See Attachment Instructions (page 16), Attachment 6 for instructions and additional information.

### **III. FUNDING**

#### **A. Available Funds**

Grant funding will be provided to eligible grant recipients to develop and to implement projects that meet the requirements of this PSP. The overall funding for the Delta, San Joaquin River, and Sacramento River water quality grant program is composed of four groups. Group II funds comprise funding for Franks Tract and other Delta projects in the amount of approximately \$36.6 million. (Value has been adjusted [and is subject to further adjustment] for approximate grant bond issuance and administration costs.)

#### **B. Maximum Grant Amount**

The maximum grant amount that will be awarded to an eligible grant recipient for a particular project will be limited to \$20 million as stated in Section II.C of the Guidelines.

#### **C. Cost Share Requirements**

Local agencies are required to provide a cost share (PRC § 75029) to fund their proposed project. Cost share may include, but is not limited to, federal funds, state funds, local funds, or donated services. The minimum required cost share is 25 percent of the total proposed cost. Proposals with a cost share greater than this minimum will be considered for a greater evaluation score in accordance with Table 2, Evaluation Criteria for Grants, Criteria B-11 Cost Share.

For applicants that qualify for DAC assistance, the cost share may be reduced to 10%. See Attachment Instructions, Attachment 7 (Page 16), for instructions and additional information.

### **IV. APPLICATION INSTRUCTIONS**

#### **A. How to Submit**

Applicants **must** submit a complete application both electronically and in hardcopy.

##### **1. Electronic Submittal**

Applicants must submit a complete application online using DWR's Grants Review and Tracking System (GRanTS) by 5:00 p.m. on April 9, 2015; GRanTS is the new name for the Bond Management System (BMS). GRanTS can only be accessed with Internet Explorer or Google Chrome. The on-line GRanTS application can be found at the following link:

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

Applicants must first create an account and register their organization with GRanTS before filling in the application. The account setup and registration process is described in the GRanTS User Manual, available at the above link.

The grant application in GRanTS consists of four sections or “tabs” outlined in Table 1. With GRanTS, pull down menus, text boxes, or multiple-choice selections will be used to input information. 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 name convention must be used:

Att#\_DWQ\_AttachmentName\_#ofTotal#

Where:

- a. “Att#” is the attachment #
- b. “DWQ” is the code for this solicitation
- c. “AttachmentName” is the name of the attachment as specified in Section IV.B.2 – 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 6 – AB1420 and Water Meter Compliance for the applicant is made up of 2 files, the second file in the section would be named “Att6\_DWQ\_AB1420\_2of2”.

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

If an applicant has questions as to the content or the information requested in the PSP contact Genevieve Schrader at (916) 653-2118 or [schrader@water.ca.gov](mailto:schrader@water.ca.gov). If an applicant has questions or problems with GRanTS, please contact a DWR GRanTS Administrator at (888) 907-4267 or [GrantsAdmin@water.ca.gov](mailto:GrantsAdmin@water.ca.gov).

Electronic copies of this PSP and the Guidelines may be found at the following DWR web site:

[http://baydeltaoffice.water.ca.gov/sdb/prop84/index\\_prop84.cfm](http://baydeltaoffice.water.ca.gov/sdb/prop84/index_prop84.cfm)

## 2. Hard Copy Application Submittal

Failure to submit any required attachment will make the application incomplete, and it will not be reviewed or considered for funding.

A complete application must be postmarked no later than 5:00 p.m. on April 9, 2015. All forms, attachments, and supporting documentation described in this PSP must be submitted together at one time. **Proposals and supporting documentation received after this time will not be accepted and will be returned to the applicant.**

Submit all information by courier, US Postal Delivery, or hand delivery by the application deadline listed above to:

California Department of Water Resources  
Bay-Delta Office  
Attn: Genevieve Schrader  
1416 Ninth Street, Room 215-30  
Sacramento, CA 95814

## B. What to Submit

A complete application consists of all the following items:

- Electronic submittal of an application through the GRanTS.
- Three hard copies (preferably double-sided) of GRanTS questionnaire and attachments (as applicable) submitted electronically to DWR.
- One electronic copy (in MS Word) of the entire proposal with all supporting documentation on a CD/DVD.

The grant application consists of four sections or “Tabs” as outlined in Table 1 – Grant Application Checklist. Table 1 is provided as a guide for the applicants to ensure that they submit the required information for a complete application.

Attachments are required as noted below in Table 1. Applicants may use GRanTS to print out the completed application table and attachments for submittal with the hardcopy. A discussion of each of these attachments is provided below.

### 1. Grant Application Checklist

Table 1 – Grant Application Checklist	
APPLICANT INFORMATION TAB	
<i>The following information is general and applies to the applicant and the overall proposal. Specific project information should be detailed on separate project tabs provided in the GRanTS application.</i>	
APPLICANT INFORMATION	
<input type="checkbox"/>	<u>Organization Name</u> : Provide the name of the Agency/Organization responsible for submitting the application. Should the Proposal be successful, this Agency/Organization will be the Grantee.
<input type="checkbox"/>	<u>Tax ID</u> : Tax ID is automatically displayed for registered organizations. Verify the applicant’s federal tax ID number.

Table 1 – Grant Application Checklist

<input type="checkbox"/>	<p><b><u>Point of Contact:</u></b></p> <p>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.</p> <p>Select “Add New User” to add an unregistered user. Please select Division (address will be auto populated) and type the First Name, Last Name, Phone (Direct), and E-mail of the new user. The e-mail address will be the new user’s login name.</p>
<input type="checkbox"/>	<p><b><u>Point of Contact Position Title:</u></b> Enter position title</p>
<input type="checkbox"/>	<p><b><u>Proposal Name:</u></b> Provide the title of the Proposal (Maximum Character Limit: 150)</p>
<input type="checkbox"/>	<p><b><u>Proposal Objective:</u></b> Briefly describe how the Proposal helps achieve the objectives described in Section II.B Project Eligibility. (Maximum Character Limit: 2000)</p>
<p><b>PROPOSAL BUDGET</b></p> <p><i>For the proposal, the following budget items should be taken from Attachment 3 where applicable.</i></p>	
<input type="checkbox"/>	<p><b><u>Other Contribution:</u></b> Provide the amount of other funds not included in the following four funding categories as listed below. If there is no other contribution, enter zero.</p>
<input type="checkbox"/>	<p><b><u>Local Contribution:</u></b> Provide the total cost share that will be committed to the Proposal. This program requires a minimum local contribution of 25% of total proposal cost unless the proposed project(s) address a qualifying DAC need (See Attachment Instructions, Attachment 7. Disadvantaged Communities [page 16] and Exhibit C).</p>
<input type="checkbox"/>	<p><b><u>Federal Contribution:</u></b> Enter federal funds being used. If none, enter zero.</p>
<input type="checkbox"/>	<p><b><u>In-kind Contribution:</u></b> Enter a zero in this field. (Include in Local Contribution above.)</p>
<input type="checkbox"/>	<p><b><u>Amount Requested</u></b> (Grant Funds Requested): Provide the amount of total grant funds requested.</p>
<input type="checkbox"/>	<p><b><u>Total Proposal Cost</u></b> (Total Project Cost): Provide the total proposal cost, in dollars. This amount must agree with the total proposal cost shown in Attachment 3 (See Attachment Instructions Attachment 3 Budget [Page 14]). Total proposal cost is automatically calculated based on the contribution amounts entered above.</p>
<p><b>GEOGRAPHIC INFORMATION</b></p> <p>GGrantS requests latitude and longitude in degrees, minutes, and seconds. You may use converters on the web such as <a href="http://transition.fcc.gov/mb/audio/bickel/DDDMSS-decimal.html">http://transition.fcc.gov/mb/audio/bickel/DDDMSS-decimal.html</a>. A mapping tool is available at <a href="http://www.water.ca.gov/grants/map.cfm">http://www.water.ca.gov/grants/map.cfm</a>.</p>	
<input type="checkbox"/>	<p><b><u>Latitude:</u></b> Enter the Latitude at the location that best represents the center of the project.</p>
<input type="checkbox"/>	<p><b><u>Longitude:</u></b> Enter the Longitude at the location that best represents the center of the project.</p>
<input type="checkbox"/>	<p><b><u>Longitude/Latitude Clarification:</u></b> Only use if necessary. (Maximum Character Limit: 250)</p>
<input type="checkbox"/>	<p><b><u>Location:</u></b> Describe the approximate location that best represents the center of the project. (Maximum Character Limit: 100)</p>

Table 1 – Grant Application Checklist

<input type="checkbox"/>	<u>County(ies)</u> : Provide the county in which the project is located. If the project covers multiple counties hold the control key down and select all that apply.
<input type="checkbox"/>	<u>Groundwater Basins</u> : Provide the groundwater basin(s) as listed in the current version of DWR Bulletin 118 ( <a href="http://www.water.ca.gov/groundwater/bulletin118/qwbasin_maps_descriptions.cfm">http://www.water.ca.gov/groundwater/bulletin118/qwbasin_maps_descriptions.cfm</a> ) in which your Project is located. For proposals covering multiple groundwater basins, hold the control key down and select all that apply.
<input type="checkbox"/>	<u>Hydrologic Regions</u> : Provide the hydrologic region in which your project is located as listed in Bulletin 160 ( <a href="http://www.waterplan.water.ca.gov/previous/b160-98/TOC.cfm">http://www.waterplan.water.ca.gov/previous/b160-98/TOC.cfm</a> ). For proposals covering multiple hydrologic regions, hold down the control key and select all that apply.
<input type="checkbox"/>	<u>Watershed(s)</u> : (Maximum Character Limit: 250) Provide the name of the watershed the region covers. A map of California watersheds can be found at the following link: <a href="http://www.conservation.ca.gov/dlrp/wp/Documents/CALFED_Watershed_Map[1].pdf">http://www.conservation.ca.gov/dlrp/wp/Documents/CALFED_Watershed_Map[1].pdf</a> . If your Proposal 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 project is located (use district numbers only, not the name of the Legislator). For projects that include more than one district, hold the control key down and select all that apply.
<b>PROJECTS TAB</b>	
<i><b>This section contains information about the projects contained in the Proposal. Each project in the Proposal should be detailed on a separate Project Tab. Applicants may generate as many Project Tabs as are necessary. The following questions will be used to gather information on each specific project.</b></i>	
<b>PROJECT INFORMATION</b>	
<input type="checkbox"/>	<u>Project Name</u> : Provide the project name. (Maximum Character Limit: 125 characters)
<input type="checkbox"/>	<u>Implementing Organization</u> : Enter the name of the implementing organization. If the organization does not appear in the list, a representative from the implementing organization needs to register with GRanTS.
<input type="checkbox"/>	<u>Secondary Implementing Organization</u> : Enter the name of the secondary implementing organization, if applicable. (Maximum Character Limit: 125 characters)
<input type="checkbox"/>	<u>Proposed Start Date</u> : Enter the project start date.
<input type="checkbox"/>	<u>Proposed End Date</u> : Enter the project end date.
<input type="checkbox"/>	<u>Scope of Work</u> : Enter a brief description of the scope of work. (Maximum Character Limit: 500 characters)
<input type="checkbox"/>	<u>Project Description</u> : Enter a brief description of the project. (Maximum Character Limit: 2000 characters)
<input type="checkbox"/>	<u>Project Objective</u> : Enter a brief description of the project objective. (Maximum Character Limit: 500 characters) The full project description should be provided in more detail in Question 1 of the Applicant Information and Questions tab.

Table 1 – Grant Application Checklist

<b>PROJECT BENEFITS INFORMATION</b>	
<i>Please do not enter any information into GRanTS for the following Project Benefits Questions. They are standard GRanTS questions and cannot be removed, but are unnecessary for Delta Water Quality Applicants:</i>	
<input type="checkbox"/>	<u>Benefit Level</u> : Leave blank.
<input type="checkbox"/>	<u>Benefit Type</u> : Leave blank.
<input type="checkbox"/>	<u>Benefit</u> : Leave blank.
<input type="checkbox"/>	<u>Description</u> : Leave blank.
<input type="checkbox"/>	<u>Measurement</u> : Leave blank.
<b>PROJECT BUDGET</b>	
<i>For each project, the following budget items should be taken from Attachment 3 where</i>	
<input type="checkbox"/>	If only one project is being proposed, use the “Copy Budget data from Applicant Info” feature to populate previously entered data. Otherwise, enter individual budget items for each project in the same manner as described for the Applicant Information Tab. The sum of the budget items must agree with the total project budget. GRanTS does not check if the sum of budget items for all projects is equal to the total proposal cost on the Applicant Information tab.
<b>GEOGRAPHIC INFORMATION</b>	
<input type="checkbox"/>	Enter the geographical information for each project in the same manner as described for the Applicant Information Tab.
<b>LEGISLATIVE INFORMATION</b>	
<input type="checkbox"/>	If only one project is being proposed, use the “Copy Legislative data from Applicant Info” feature to populate previously entered data. Otherwise, enter the legislative information for each project in the same manner as described for the Applicant Information Tab. For projects covering more than one district, hold the control key down and select all that applies.
<b>APPLICANT INFORMATION AND QUESTIONS TAB</b>	
<i>The answers to these questions will be used in processing the application, determining eligibility and completeness, and evaluating scoring criteria.</i>	
<input type="checkbox"/>	<u>Q1. Proposal Description</u> : Include a detailed description of the proposal, which may consist of one or more projects, for which funding is requested. The proposal must implement the eligible project element listed in Section II.B. The goals and objectives of the project must be clearly stated. The rationale for the proposed project should be sufficiently detailed to provide a clear understanding of the project. Where requested funding is for a component of a larger project, the proposal must describe all of the components of the larger project and identify which elements of the larger project are the subject of the grant funding request. The description must identify how the integration of the components of the project provides multiple benefits and identify linkages that are critical to the success of the project. The proposal description must be consistent with the details of the Budget and Schedule provided in Attachment 3 and 4 (See Attachment Instructions, Attachments 3 and 4 [Page 14-15]).

Table 1 – Grant Application Checklist

<input type="checkbox"/>	<b>Q2. Project Director:</b> Provide the name and details of the person responsible for executing the grant agreement for the applicant. Persons that are subcontractors to be paid by the grant cannot be listed as the Project Director.
<input type="checkbox"/>	<b>Q3. Project Manager:</b> Provide the name and contact information of the Project Manager from the applicant agency or organization that will be the day-to-day contact on this application.
<input type="checkbox"/>	<b>Q4. Applicant Information:</b> Provide the agency name, address, city, state and zip code of the applicant submitting the application.
<input type="checkbox"/>	<b>Q5. Eligibility:</b> Please specify whether the applicant is a local public agency as defined in II.A. Primary Terms of the Guidelines. Describe the legal authority of the applicant (and partners) to conduct the work and to receive and spend State grant funds. The applicant must also describe any legal agreements among partners, if applicable, that ensure project performance and tracking of funds.
<input type="checkbox"/>	<b>Q6. Eligibility:</b> Explain how this project will reduce salinity or other pollutants at agricultural and drinking water intakes.
<input type="checkbox"/>	<b>Q7. Eligibility:</b> Is this project located in the legal Delta? The legal Delta is defined in the California Water Code, Division 6, Part 4.5, Chapter 2, Section 12220. <a href="http://baydeltaoffice.water.ca.gov/DeltaAtlas/02-General.pdf">http://baydeltaoffice.water.ca.gov/DeltaAtlas/02-General.pdf</a>
<input type="checkbox"/>	<b>Q8. Eligibility:</b> List the urban water suppliers that will receive funding from the proposed grant. Please provide the agency name, a contact phone number and e-mail address. Those listed must submit self-certification of compliance with CWC §525 <i>et seq.</i> and AB 1420, see Attachment 6 (See Attachment Instructions [Page 16], Attachment 6). If there are none, so indicate and go to Q11.
<input type="checkbox"/>	<b>Q9. Eligibility:</b> Have all of the urban water suppliers, listed in Q8 above, submitted Urban Water Management Plans (UWMPs), to DWR? Have those plans been verified as meeting the requirements of the law by DWR? If not, explain and provide the anticipated date for having submitting an UWMP. This question is not applicable if “none” is indicated under Q8.
<input type="checkbox"/>	<b>Q10. Eligibility:</b> Have any urban water suppliers, listed in Q8 above, submitted AB 1420 compliance tables and supporting documentation to DWR for a different grant program on or after January 1, 2013? If so, list each urban water supplier and the grant program. An urban water supplier must submit AB 1420 compliance documentation to DWR. If the urban water supplier has not submitted AB 1420 documentation, or that documentation was determined by DWR as not meeting the requirements of the law, the urban water supplier’s projects will not be considered eligible for grant funding. Refer to Section IV.F of the Guidelines for additional information. This question is not applicable if “none” is indicated under Q8.
<input type="checkbox"/>	<b>Q11. Eligibility:</b> List the agricultural water suppliers that will receive funding from the proposed grant. Please provide the agency/organization name, a contact phone number and e-mail address. If there are none, please indicate so and go to Q13.
<input type="checkbox"/>	<b>Q12. Eligibility:</b> Have all of the agricultural water suppliers, listed in Q11 above, submitted complete Agricultural Water Management Plans to DWR? Have those plans been verified as complete by DWR? If the plan has not been submitted, please indicate the anticipated submittal date. This question is not applicable if “none” is indicated under Q11.
<input type="checkbox"/>	<b>Q13. Eligibility:</b> List the surface water diverters that will receive funding from the proposed grant. Please provide the agency/organization name, a contact phone number and e-mail address. If there are none, please indicate so and go to Q15.

Table 1 – Grant Application Checklist

<input type="checkbox"/>	<p><b>Q14. Eligibility:</b> Have all of the surface water diverters, listed in Q13 above, submitted to the State Water Resources Control Board surface water diversion reports in compliance with requirements outlined in Part 5.1 (commencing with §5100) of Division 2 of the CWC? If not, explain and provide the anticipated date for meeting the requirements. This question is not applicable if “none” is indicated under Q13.</p>
<input type="checkbox"/>	<p><b>Q15. Eligibility:</b> List the groundwater users that will receive funding from the proposed grant. Please provide the agency/organization name, a contact phone number and e-mail address. If there are none, please indicate so and go to Q17.</p>
<input type="checkbox"/>	<p><b>Q16. Eligibility:</b> Have all of the groundwater users, listed in Q15 above, met the requirements of DWR’s CASGEM Program: <a href="http://www.water.ca.gov/groundwater/casgem/">http://www.water.ca.gov/groundwater/casgem/</a>? If not, explain and provide the anticipated date for meeting the requirements. This question is not applicable if “none” is indicated under Q15.</p>
<input type="checkbox"/>	<p><b>Q17. Objectives:</b> Describe the objectives for the proposed project to address the major water-related issues within the project region, including, at a minimum, all relevant water quality elements.</p>
<input type="checkbox"/>	<p><b>Q18. Need:</b> Describe the need for the proposed project. The applicant must describe the current water quality and the expected long-term water quality needs of the project’s geographic area over the estimated useful life of the proposed project. Describe how the proposal will help meet those needs. Discuss the local and regional economic, environmental and fiscal conditions relative to the need for the project. Discuss critical short and long-term impacts that will occur if the proposal is not implemented.</p>
<input type="checkbox"/>	<p><b>Q19. Program Preferences:</b> Describe how the proposed project addresses and/or satisfies one or more of the Program Preferences identified in Section II.D.</p>
<input type="checkbox"/>	<p><b>Q20. Integration of Water Quality Strategies:</b> Describe how any local and regional water quality strategies will be addressed by the project. Examples of strategies could include agricultural water use, land use, watershed management, ecosystem restoration, and salt management. Describe how the selected strategies are seen to work together with the proposed project to benefit water quality.</p>
<input type="checkbox"/>	<p><b>Q21. Stakeholder Involvement:</b> Discuss how the proposed project will incorporate stakeholder involvement via existing or planned activities or work. Describe specific outreach activities and the target groups. The proposal should include a list of proposed stakeholders, how stakeholders were/will be identified, how they participate in the planning and implementation, and how they influence decisions made regarding water quality. Discuss a process by which additional stakeholders may be identified and included during plan development or implementation. Discuss efforts to address environmental justice concerns. If any water related entities within the project area are not included in the planning process, discuss why they were omitted.</p>
<input type="checkbox"/>	<p><b>Q22. Relation to Local Planning:</b> The proposal must identify existing local planning documents that will be considered during development of the project. Discuss how these local planning documents relate to the project.</p>
<input type="checkbox"/>	<p><b>Q23. Environmental Compliance:</b> The proposal must include a plan for compliance with all applicable environmental review requirements including any California Environmental Quality Act (CEQA) and/or, if applicable, National Environmental Policy Act (NEPA) obligations. DWR will be a responsible agency on these projects and will need to make findings as required by CEQA. The proposal should also address compliance with local, county, State, and federal permitting requirements. The Appendix provides web links to CEQA information, the State Clearinghouse Handbook and NEPA information.</p>

Table 1 – Grant Application Checklist

<input type="checkbox"/>	<p><b>Q24. Scientific and Technical Merit:</b> The applicant will be required to demonstrate the scientific and technical merit of the proposal, including, but not limited to: submittal of a copy of all reports and studies prepared for the proposal that form the basis for or include information pertaining to the project; a brief summary of the types of information in each reference; if feasibility and pilot studies have not been completed for the proposed implementation project, an explanation regarding what has been done to determine the project’s feasibility; and provide copies of the most complete design plans and specifications for the proposed project.</p>
<input type="checkbox"/>	<p><b>Q25. Implementability/Feasibility:</b> Identify specific actions, projects, and studies, ongoing or planned, by which the project will be implemented. Identify the responsible parties for project implementation and, if applicable, clearly identify linkages or interdependencies with other projects. Demonstrate economic and technical feasibility at a programmatic level. Identify the current status of each element of the project, such as existing infrastructure, feasibility, pilot or demonstration project, design completed, etc. Include timelines for all active or planned projects and identify the institutional structure that will ensure successful project implementation.</p>
<input type="checkbox"/>	<p><b>Q26. Data and Technical Analysis:</b> Include a discussion of data, technical methods, and analyses used to develop the project. Include mechanisms by which data will be managed and disseminated to stakeholders and the public. Also include a discussion of how data collection will support statewide data needs. At a minimum, assess the state of existing monitoring efforts for water quantity and water quality, and identify data gaps where additional monitoring is needed.</p>
<input type="checkbox"/>	<p><b>Q27. Monitoring, Assessment, and Performance Measures:</b> Describe the performance measures that will be used to evaluate project performance, monitoring systems that will be used to gather performance data, and mechanisms to adapt project operations and implementation based on performance data collected. Indicate where the data will be collected and the types of analyses to be used. Include a discussion of how monitoring data will be used to measure the performance in meeting the overall project goals, benefits, and objectives. The project must comply with the Section IV.E Surface Water Monitoring Requirements of the Guidelines and with the funding allocation limitations of PRC § 75072 as stated in Section IV.G of the Guidelines.</p>
<input type="checkbox"/>	<p><b>Q28. Impacts and Benefits:</b> Provide an overview of the impacts and benefits from the project implementation. Include an evaluation of expected impacts and benefits within the project area and in adjacent areas, including the Delta. Benefits should be focused primarily on, but not limited to, improvements to local and Delta water quality, including projected seasonal and year-round variations and contribution to local/regional long-term water quality objectives for the Delta. Include an evaluation of impacts and benefits to other applicable resources, such as air quality, energy, etc. If applicable, discuss any environmental justice concerns and considerations. Include a discussion of how future conditions, such as climate change, could change the project impacts or benefits, the potential impacts of climate change on the project and how the project performance would be affected by sea level rise (SLR)<sup>5</sup>, and changes in hydrology expected from climate change.</p>

<sup>5</sup> The California Ocean Protection Council has adopted a resolution that states that: “state agencies, as well as non-state entities implementing projects or programs funded by the state or on state property, including on lands granted by the Legislature, should incorporate consideration of the risks posed by SLR into all decisions regarding areas or programs potentially affected by SLR.” This resolution also provides estimates of projected SLR that should be used for planning purposes.

[http://www.opc.ca.gov/webmaster/ftp/pdf/docs/OPC\\_SeaLevelRise\\_Resolution\\_Adopted031111.pdf](http://www.opc.ca.gov/webmaster/ftp/pdf/docs/OPC_SeaLevelRise_Resolution_Adopted031111.pdf)

**Table 1 – Grant Application Checklist**

<input type="checkbox"/>	<p><b>Q29. Finance Plan:</b> Applicants are required to provide a finance plan for their proposed project, including an enumeration of all the costs of planning, design, implementation, long term operation and maintenance of the proposed project, and the economic benefits related to water quality expected to be derived directly from the project. The economic benefits may be quantified in monetary terms. When economic values cannot be assigned to the benefit the applicants may quantify the benefits in physical terms. This finance plan shall demonstrate to DWR’s satisfaction the applicant’s ability to finance the initial and long term project costs.</p>
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**APPLICATION ATTACHMENTS TAB**

*Provide the attachments listed below by attaching files to the GRanTS application. When attaching files, please use the naming convention found in Section IV.A of this PSP. For instructions on attaching files, please refer to the GRanTS User Manual. Requirements for information to be included in these attachments are found in Section IV.B.2 of this PSP.*

*Acceptable file formats are: MS Word, MS Excel, MS Project, or PDF. PDF files should be generated, if possible, from the original application file rather than scanned hardcopy. All portions of the application, GRanTS submittal and hardcopies, must be received by the application deadline. Late submittals will not be reviewed or considered for funding.*

*Maps, photographs, documents, and reports should be formatted with no component larger than 50 MB. However, DWR strongly recommends that for speed of upload you limit the file size to 20 MB. Documents greater than 50 MB should be divided into their parts (e.g., cover page, table of contents, chapters, figures, photos, appendices).*

<i>Attachment #<sup>1</sup></i>	<i>Attachment Title</i>	<i>Additional Information in Exhibits<sup>2</sup></i>	
<input type="checkbox"/>	Attachment 1	Authorizing Resolution	Exhibit A
<input type="checkbox"/>	Attachment 2	Work Plan	N/A
<input type="checkbox"/>	Attachment 3	Budget	N/A
<input type="checkbox"/>	Attachment 4	Schedule	N/A
<input type="checkbox"/>	Attachment 5	DWR Environmental Information Form	Exhibit B
<input type="checkbox"/>	Attachment 6	AB1420 and Water Meter Compliance	N/A
<input type="checkbox"/>	Attachment 7	Disadvantaged Community Assistance	Exhibit C, required if the proposal addresses the needs of a DAC and is requesting a cost share reduction.

- (1) The attachment discussion below provides the applicant with general directions regarding the content of each attachment.
- (2) The exhibit discussion provides specific direction regarding what information is to be submitted in the associated attachment.

## **2. Attachment Instructions**

Applicants are required to submit Attachments 1 through 5 to complete the Delta Water Quality Grant Application. Submission of Attachment 6 is required for all urban water suppliers. Attachment 7 is required only if the proposal includes a project that specifically addresses a DAC need. A discussion of each of these attachments is provided below.

### ***Attachment 1. Authorizing Resolution***

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

Attachment 1 is mandatory. The applicant must provide a resolution adopted by the applicant’s governing body or a letter of intent to immediately pass a resolution designating an authorized representative to submit the application and execute an agreement with the State of California for a Proposition 84 grant. See Exhibit A for an example resolution.

### ***Attachment 2. Work Plan***

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

Attachment 2 is mandatory. The Work Plan contains summary descriptions of the project and a breakdown of tasks necessary to complete the project. The Work Plan must be sufficiently detailed to demonstrate that the proposal is ready for implementation, and should include a brief discussion of the supporting studies, data, and resources for the project. Deliverables should be identified in the Work Plan as well as a description of the final completed project proposed by the applicant. The Work Plan must also be consistent with the major tasks and sub-tasks identified in the Budget, Attachment 3 and Schedule, Attachment 4.

### ***Attachment 3. Budget***

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

Attachment 3 is mandatory. The Budget will include a detailed estimate of the cost of each contract item and task, including the amount of each contract item and task that will be funded using State funds. The cost estimate must at a minimum include the following, when applicable, for each individual project within the proposal:

- Land costs, planning and design costs, environmental compliance and documentation costs, implementation or construction costs shown by project task, or phase, and the contingency amount for the proposal;
- All costs must be assigned to contract items or tasks except contingencies;
- The total percentage cost share;
- The amount and the source of cost share applied to each task;
- Contract administration will be separated out as an appropriate task. Not more than 5 percent of the funds allocated to any project may be used to pay the costs related to contract administration;
- Not more than 5 percent of the total cost of all described contract items and tasks may be shown in the estimate as contingencies; and
- Not more than 10 percent of the funds allocated to any project may be used to finance planning and monitoring necessary for the successful design and implementation of that project.

Applicants must consider the relevant labor code compliance requirements and the applicability of prevailing wage law in developing the Budget as explained in Section IV.C of the Guidelines.

#### ***Attachment 4. Schedule***

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

Attachment 4 is mandatory. Provide a schedule for implementation of the proposal showing the sequence and timing of the proposed project. The schedule must show the start and end dates as well as milestones for each task contained in the Work Plan. This schedule may be in a table, horizontal bar, or Gantt chart format. The schedule must be consistent with the Work Plan, Attachment 2 and Budget, Attachment 3.

At a minimum the following items should be included on the schedule:

- Development of financing;
- Each quarterly progress report;
- Completion of each task of the task breakdown;
- Development of environmental documentation and CEQA/NEPA compliance;
- Public outreach activities;
- Project design and bid solicitation process;
- Acquisition of rights-of-way, if required;
- Identification and acquisition of all necessary permits;
- Implementation of any environmental mitigation or enhancement efforts;
- Construction start and end dates including significant milestones; and
- Completion of post-implementation report.

### ***Attachment 5. DWR Environmental Information Form***

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

Attachment 5 is mandatory. Exhibit B provides a form that must be submitted as Attachment 5.

### ***Attachment 6. AB 1420 and Water Meter Compliance***

For the “AttachmentName” in the naming convention of GRanTS, use “AB1420” for this attachment.

Attachment 6 is required for all urban water suppliers. If the proponent is not an urban water supplier, Attachment 6 should not be submitted. This attachment consists of two self-certification documents. All grants received by urban water suppliers must comply with Section IV.F of the Guidelines. Both AB 1420 (CWC §10631.5) and Water Meter Compliance (CWC §525 et seq.) self-certification documents must be submitted for each urban water supplier that would receive grant funding.

The AB 1420 self-certification documentation must be prepared in accordance with the instructions found at: <http://www.water.ca.gov/wateruseefficiency/finance/>. As DWR is both the funding agency and the approval agency, a single submittal to DWR is sufficient.

The Water Meter compliance self-certification form and instructions can be found at: [www.water.ca.gov/irwm/integregio\\_resourceslinks.cfm](http://www.water.ca.gov/irwm/integregio_resourceslinks.cfm) . Each urban water supplier proposing a drinking water project must complete the form.

Both the AB 1420 self-certification documentation and the Water Meter compliance self-certification form must be signed and submitted in hard copy. Only a single hard copy (with original signature) submittal per project is required for attachment.

If the urban water supplier has applied for grant funding from another DWR program within the last year, please submit the letter from DWR stating compliance with AB1420 self-certification and Water Meter self-certification in lieu of the forms.

### ***Attachment 7. Disadvantaged Community Assistance***

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

Attachment 7 is required only if the proposal includes a project that specifically addresses a DAC need. If the proposal does not include a project that specifically addresses a DAC need, Attachment 7 should not be submitted. See Exhibit C for instructions on preparation of this attachment. DWR will use the information in

Attachment 7 to evaluate the application with regard to DAC program preference and reduction of cost share (if requested). If a DAC reduction is granted, a term of the grant agreement will require the grantee to verify that the claimed DAC benefits have been provided by completing the proposed project.

## **V. FUNDING AWARDS**

Based on the criteria presented in Table 2 (see Section VII), DWR will approve a final funding list and make the associated funding commitments. DWR's Director will approve the final funding list through DWR's existing administrative procedures. Following approval by DWR, the selected grant recipients will receive a commitment letter officially notifying them of their selection for a grant and the grant amount.

When the applicant indicates acceptance of the funding in writing, the applicant will become the grantee. Final award is subject to the execution of a grant agreement.

If the State of California Budget Act for the current year and/or any subsequent years covered under the commitment letter does not appropriate sufficient funds for the grantee's project, the commitment shall be of no further force or effect. In this event, DWR shall have no obligation to commit funds whatsoever to the grantee or to furnish any other funding for the project.

## **VI. AGREEMENT REQUIREMENTS**

All grant recipients must sign a grant agreement with DWR before the State can disburse grant money. Eligible costs will be reimbursed, in arrears, and include reasonable costs of studies, engineering, design, preparation of environmental documents, monitoring, and project implementation, as determined by DWR. The reimbursement of costs is defined in the Guidelines, Section VI.B. Reimbursement of Costs.

## **VII. EVALUATION CRITERIA**

Table 2 provides the evaluation criteria that will be used by a DWR review panel to evaluate the extent to which a proposal and proposed project achieve/meet the water quality grant requirements and objectives. Each criterion will be scored qualitatively or quantitatively as noted below.

The review panel will use a "Pass/Fail" scoring method for the Base Adequacy subcategory for Criterion A-1 Applicant Authority and Criterion A-2 Cost Share. These two criteria must be satisfied to obtain a "Pass". Those proposals for which an applicant does not have authority to enter into an agreement with DWR and/or for which a minimum cost share is not proposed will receive a "Fail" and will be rejected. Also, as noted under IV.B. What to Submit (Page 6), failure to submit any required attachment

will make the proposal application incomplete, and it will not be reviewed or considered for funding. Further, the content of some attachments (e.g., Work Plan, Estimated Cost, Schedule) will be considered by the review panel in the qualitative and quantitative scoring of the evaluation criteria. A weighting factor (Column A, Table 2) will be applied to each criterion to distinguish its relative importance from other criteria. This factor will be applied on a scale of 1 to 3 with 1 being “low” importance and 3 being “high” importance.

The review panel will evaluate each criterion and assign it a point value based on the information the applicant provides (Column B, Table 2). Each criterion’s point value (Column B, Table 2) will then be multiplied by the applicable weighting factor (Column A, Table 2) to calculate the criterion score (Column C, Table 2). The maximum possible range of weighted score for each criterion is shown in Column C (Table 2). Points will be assigned to the application for each criterion as follows:

- A score of 5 points will be awarded where the criterion is fully addressed and supported by thorough and well-presented documentation and logical rationale.
- A score of 4 points will be awarded where the criterion is fully addressed but is supported by less thorough documentation and/or less sufficient rationale.
- A score of 3 points will be awarded where the criterion is less than fully addressed and is supported by less thorough documentation and/or less sufficient rationale.
- A score of 2 points will be awarded where the criterion is marginally addressed and/or the documentation and/or rationale are incomplete or insufficient.
- A score of 1 point will be awarded where the criterion is minimally addressed and/or no documentation or rationale is presented.
- A score of 0 points will be awarded where the criterion is not addressed.

Table 2 contains the evaluation criteria described above in the Grant Application Checklist - Applicant Information and Questions Tab. These evaluation criteria are arranged under the subcategories of Base Adequacy, Technical Adequacy, Programmatic Adequacy, and Public Outreach and Community Support.

**TABLE 2 – EVALUATION CRITERIA FOR GRANTS**

	<b>Column A</b>	<b>Column B</b>	<b>Column C</b>
<b>Criteria</b>	<b>Weighting Factor</b>	<b>Points Range</b>	<b>Scoring Range</b>
<b>A. Base Adequacy</b>			
<p><b>A-1 Applicant Authority</b></p> <p><i>This evaluation will be based on whether the applicant (and partners) has proper authority.</i></p> <p>The applicant (and partners) has the legal authority to conduct the work of the proposed project and to receive and spend State grant funds. The applicant provided a resolution adopted by the applicant’s governing body or a letter of intent to immediately pass a resolution designating an authorized representative to submit the application and execute an agreement with the State of California for a Proposition 84 grant (Attachment 1).</p>	Pass/Fail	Pass/Fail	
<p><b>A-2 Cost Share</b></p> <p><i>This evaluation will focus on whether the applicant has demonstrated that it will provide a cost share.</i></p> <p>The applicant proposed at least the minimum required cost share of 25% of the total proposed costs unless the applicant meets the criteria of a DAC as outlined in Attachment 7 (See Attachment Instructions, Attachment 7 [Page 16]) and Exhibit C. The minimum cost share for a DAC will be 10% of the total proposed costs.</p>	Pass/Fail	Pass/Fail	
<b>Total Possible Maximum Score - Criteria A</b>	<b>Pass</b>		
<b>B. Technical Adequacy</b>			
<p><b>B-1 Description of Proposal</b></p> <p><i>Scoring will be based on whether the proposal includes the following.</i></p> <p>The applicant included a detailed description of the proposal, which may consist of one or more projects, for which funding is requested. The goals and objectives of the project were clearly stated. The rationale for the proposed project was sufficiently detailed to provide a clear understanding of the project. Where requested funding is for a component of a larger project, the proposal described all of the components of the larger project and identified which elements of the larger project are the subject of the grant funding request. The description identified how the integration of the components of the project provides multiple benefits and identified linkages that are critical to the success of the project. The proposal description must be consistent with the details of the Budget and Schedule provided in Attachments 3 and 4.</p>	1	0-5	0-5

	<b>Column A</b>	<b>Column B</b>	<b>Column C</b>
<b>Criteria</b>	<b>Weighting Factor</b>	<b>Points Range</b>	<b>Scoring Range</b>
<p><b>B-2 Objectives</b></p> <p><i>Scoring will be based on whether the applicant has presented detailed and specific objectives.</i></p> <p>The objectives for the proposed project address the major water-related issues within the project region, including, at a minimum, the reduction of salinity or other pollutants at agricultural and drinking water intakes.</p>	2	0-5	0-10
<p><b>B-3 Need</b></p> <p><i>Scoring will be based on the degree of need for the proposed project.</i></p> <p>The degree of need for the proposed project was demonstrated. The applicant described the current water quality and the expected long-term water quality needs of the project's geographic area over the estimated useful life of the proposed project and how the proposal will help meet those needs. The applicant discussed the local and regional economic, environmental, and fiscal conditions relative to the need for the project and the critical short and long-term impacts that will occur if the proposal is not implemented.</p>	2	0-5	0-10
<p><b>B-4 Work Plan</b></p> <p><i>Scoring will be based on whether the applicant has a detailed and specific work plan that adequately documents the proposed project.</i></p> <p>The applicant submitted an adequate Work Plan containing summary descriptions of the project and a breakdown of tasks necessary to complete the project. The Work Plan is sufficiently detailed to demonstrate that the proposal is ready for implementation; includes a brief discussion of the supporting studies, data, and resources for the project; and identifies deliverables as well as a description of the final completed project. The Work Plan is consistent with the major tasks and sub-tasks identified in the Budget, Attachment 3 and Schedule, Attachment 4.</p>	3	0-5	0-15
<p><b>B-5 Environmental Compliance</b></p> <p><i>Scoring will be based on if the project proposal adequately addresses all relevant CEQA and NEPA obligations, including permit requirements.</i></p> <p>The applicant included an adequate plan for compliance with all applicable environmental review requirements including any CEQA and/or, if applicable, NEPA obligations. The plan identifies that DWR will be a responsible agency on these projects and will need to make findings as required by CEQA. The plan also addressed compliance with local, county, State, and federal permitting requirements.</p>	2	0-5	0-10

	<b>Column A</b>	<b>Column B</b>	<b>Column C</b>
<b>Criteria</b>	<b>Weighting Factor</b>	<b>Points Range</b>	<b>Scoring Range</b>
<p><b>B-6 Scientific and Technical Merit</b></p> <p><i>Scoring will be based on whether the applicant has demonstrated that the proposed project has scientific and technical merit.</i></p> <p>The proposed project has scientific and technical merit. The applicant demonstrated the scientific and technical merit, including, but not limited to: submittal of a copy of all reports and studies prepared for the proposal that form the basis for or include information pertaining to the project; a brief summary of the types of information in each reference; if feasibility and pilot studies have not been completed for the proposed implementation project, an explanation regarding what has been done to determine the project's feasibility; and provided copies of the most complete design plans and specifications for the proposed project.</p>	3	0-5	0-15
<p><b>B-7 Implementability/Feasibility</b></p> <p><i>Scoring will be based on whether the applicant has adequately detailed the project implementation and the readiness to proceed.</i></p> <p>The applicant has adequately detailed the implementation of the proposed project and that they are ready to proceed. The applicant identified specific actions, projects, and studies, ongoing or planned, by which the project will be implemented, identified the responsible parties for project implementation and, if applicable, clearly identified linkages or interdependencies with other projects. The applicant demonstrated the project's economic and technical feasibility at a programmatic level; identified the current status of each element of the project, such as existing infrastructure, feasibility, pilot or demonstration project, design completed, etc.; and included timelines for all active or planned projects and identified the institutional structure that will ensure successful project implementation.</p>	1	0-5	0-5
<p><b>B-8 Data and Technical Analysis</b></p> <p><i>Scoring will be based on whether the project(s) is/are based on sound scientific and technical analysis and includes measures to assess performance.</i></p> <p>The project is based on sound analyses and performance measures. This included: a discussion of data, technical methods, and analyses used to develop the project; mechanisms by which data will be managed and disseminated to stakeholders and the public; a discussion of how data collection will support statewide data needs; assessment of the state of existing monitoring efforts for water quantity and water quality; and identification of data gaps where additional monitoring is needed.</p>	1	0-5	0-5

	<b>Column A</b>	<b>Column B</b>	<b>Column C</b>
<b>Criteria</b>	Weighting Factor	Points Range	Scoring Range
<p><b>B-9 Monitoring, Assessment, and Performance Measures</b></p> <p><i>Scoring will be based on whether the applicant has presented an adequate monitoring and assessment program.</i></p> <p>The project's monitoring and assessment program is adequate. The applicant presented performance measures that will be used to evaluate project performance, monitoring systems that will be used to gather performance data, and mechanisms to adapt project operations and implementation based on performance data collected. The applicant indicated where the data will be collected and the types of analyses to be used and included a discussion of how monitoring data will be used to measure the performance in meeting the overall project goals, benefits, and objectives. The project will comply with the Section IV.E Surface Water Monitoring Requirements of the Guidelines and with the funding allocation limitations of PRC § 75072 as stated in Section IV.G of the Guidelines.</p>	1	0-5	0-5
<p><b>B-10 Estimated Cost</b></p> <p><i>Scoring will be based on whether the costs of the proposed project(s) are well presented and reasonable.</i></p> <p>The estimated cost is reasonable. The budget includes a detailed estimate of the cost of each contract item and task, including the amount of each contract item and task that will be funded using State funds. The cost estimate includes the following, when applicable, for each individual project within the proposal:</p> <ul style="list-style-type: none"> <li>• Land costs, planning and design costs, environmental compliance and documentation costs, implementation or construction costs shown by project task, or phase, and the contingency amount for the proposal;</li> <li>• All costs assigned to contract items or tasks except contingencies;</li> <li>• The total percentage cost share;</li> <li>• The amount and the source of cost share applied to each task ;</li> <li>• Contract administration separated out as an appropriate task and not more than 5 percent of the funds allocated to any project used to pay the costs related to contract administration;</li> <li>• Not more than 5 percent of the total cost of all described contract items and tasks shown in the estimate as contingencies; and</li> <li>• Not more than 10 percent of the funds allocated to any project used to finance planning and monitoring necessary for the successful design and implementation of that project.</li> </ul> <p>The applicant considered the relevant labor code compliance requirements and the applicability of prevailing wage law in developing the Budget as explained in Section IV.C of the Guidelines.</p> <p>The applicant provided a finance plan for the proposed project, including an enumeration of all the costs of planning, design, implementation, long term operation and maintenance of the proposed project, and the economic benefits related to water quality expected to be derived directly from the project. The economic benefits are quantified in monetary terms or in physical terms. The finance plan demonstrated to DWR's satisfaction the applicant's ability to finance the initial and long term project costs.</p>	3	0-5	0-15

	<b>Column A</b>	<b>Column B</b>	<b>Column C</b>
<b>Criteria</b>	<b>Weighting Factor</b>	<b>Points Range</b>	<b>Scoring Range</b>
<p><b>B-11 Cost Share</b></p> <p><i>Scoring will be based on whether the applicant will provide more than the minimum applicable cost share.</i></p> <p>Did the applicant propose more than the applicable minimum percent cost share?</p> <p>A cost share of 30% will receive 1 point, 35% will receive 2 points, 40% will receive 3 points, 45% will receive 4 points, and 50% or above will receive 5 points.</p> <p>If the applicant meets the criteria of a DAC as outlined in Attachment 7 (See Attachment Instructions, Attachment 7 [Page 16] and Exhibit C), the applicant can propose a higher cost share to receive additional points. A cost share of 15% will receive 1 point, 20% will receive 2 points, 25% will receive 3 points, 30% will receive 4 points, and 35% or higher will receive 5 points.</p>	3	0-5	0-15
<p><b>B-12 Impacts &amp; Benefits</b></p> <p><i>Scoring will be based on whether the applicant clearly and fully describes the impacts and regional benefits of the project proposal. The impacts and regional benefits of the project are clearly and fully described. The applicant provided an overview of the impacts and benefits from the project implementation including an evaluation of expected impacts and benefits within the project area and in adjacent areas, including the Delta. Benefits were focused primarily on, but not limited to, improvements to local and Delta water quality, including projected seasonal and year-round variations and contribution to local/regional long-term water quality objectives for the Delta. The applicant included an evaluation of impacts and benefits to other applicable resources, such as air quality, energy, etc. If applicable, a discussion of any environmental justice concerns and considerations was included. Additionally, a discussion of how future conditions, other than climate change, could change the project impacts or benefits was included.</i></p>	3	0-5	0-15
<p><b>B-12a Impacts &amp; Benefits from Climate Change</b></p> <p><i>Scoring will be based on accounting of the impacts and benefits in regards to climate change.</i></p> <p>The impacts and benefits from climate change on the project are clearly and fully described. The applicant included a discussion of how future climate change conditions could change the project impacts or benefits, the potential impacts of climate change on the project and how the project performance would be affected by SLR, and changes in hydrology expected from climate change.</p>	1	0-5	0-5

	<b>Column A</b>	<b>Column B</b>	<b>Column C</b>
<b>Criteria</b>	<b>Weighting Factor</b>	<b>Points Range</b>	<b>Scoring Range</b>
<p><b>B-13 Schedule</b></p> <p><i>Scoring will be based on the reasonableness of the proposed schedule.</i></p> <p>The proposed project's schedule is reasonable. The applicant provided a schedule for implementation of the project showing the sequence and timing of the proposed project. The schedule showed the start and end dates as well as milestones for each task contained in the Work Plan. This schedule is in a table, horizontal bar, or Gantt chart format. The schedule is consistent with the Work Plan, Attachment 2 and Budget, Attachment 3.</p> <p>The following items are included on the schedule:</p> <ul style="list-style-type: none"> <li>• Development of financing;</li> <li>• Each quarterly progress report;</li> <li>• Completion of each task of the task breakdown;</li> <li>• Development of environmental documentation and CEQA/NEPA compliance;</li> <li>• Public outreach activities;</li> <li>• Project design and bid solicitation process;</li> <li>• Acquisition of rights-of-way, if required;</li> <li>• Identification and acquisition of all necessary permits;</li> <li>• Implementation of any environmental mitigation or enhancement efforts;</li> <li>• Construction start and end dates including significant milestones; and</li> <li>• Completion of post-implementation report.</li> </ul>	3	0-5	0-15
<b>Total Possible Maximum Score – Criteria B</b>	<b>145</b>		
<b>C. Programmatic Adequacy</b>			
<p><b>C-1 Program Preferences</b></p> <p><i>Scoring will be based on the extent that the proposal meets the specified Program Preferences.</i></p> <p>The proposed project meets some or all of the Program Preferences. The applicant described how the proposed project addresses and/or satisfies one or more of the Program Preferences identified in Section II.D.</p>	3	0-5	0-15

	<b>Column A</b>	<b>Column B</b>	<b>Column C</b>
<b>Criteria</b>	Weighting Factor	Points Range	Scoring Range
<p><b>C-2 Integration of Water Quality Strategies</b></p> <p><i>Scoring will be based on whether the applicant has adequately documented how water management strategies will be integrated. The proposed project will provide integration of water management strategies. The applicant adequately described how any local and regional water quality strategies will be addressed by the project and how the selected strategies are seen to work together with the proposed project to benefit water quality.</i></p>	1	0-5	0-5
<b>Total Possible Maximum Score – Criteria C</b>	<b>20</b>		
<b>D. Public Outreach and Community Support</b>			
<p><b>D-1 Stakeholder Involvement</b></p> <p><i>Scoring will be based on whether development and implementation of the proposed project includes stakeholder involvement through a collaborative regional process. The proposed project includes stakeholder involvement. The applicant discussed how the proposed project will incorporate stakeholder involvement via existing or planned activities or work, specific outreach activities and the target groups, a list of proposed stakeholders, how stakeholders were/will be identified, how they participate in the planning and implementation, and how they influence decisions made regarding water quality. The applicant discussed: the process by which additional stakeholders may be identified and included during plan development or implementation; efforts to address environmental justice concerns; and if any water related entities within the project area are not included in the planning process and why they were omitted.</i></p>	2	0-5	0-10
<p><b>D-2 Relation to Local Planning</b></p> <p><i>Scoring will be based on whether the proposed project is well coordinated with local planning and management efforts. The proposed project has been well coordinated with local planning and management efforts. The applicant identified existing local planning documents that will be considered during development of the project and how these local planning documents relate to the project.</i></p>	1	0-5	0-5

	<b>Column A</b>	<b>Column B</b>	<b>Column C</b>
<b>Criteria</b>	Weighting Factor	Points Range	Scoring Range
<b>Total Possible Maximum Score – Criteria D</b>	<b>15</b>		
<b>Total Possible Maximum Score (Criteria A through D)</b>	<b>180</b>		

**Exhibit A – Authorizing Resolution**

The applicant must provide a resolution adopted by the applicant’s governing body designating an authorized representative to submit the application and execute an agreement with the State of California for a Proposition 84 grant. The following text provides an example resolution.

Resolution No. \_\_\_\_\_

Resolved by the \_\_\_\_\_  
(Governing body, city council or other)

of the \_\_\_\_\_  
(Name of applicant)

that pursuant and subject to all of the terms and provisions of the Safe Drinking Water, Water Quality and Supply, Flood Control, River, and Coastal Protection Bond Act of 2006, application by this

\_\_\_\_\_ be made to the California Department  
(“Agency”, “city”, “county”, or other)

of Water Resources to obtain a grant for \_\_\_\_\_.  
(Project title)

The \_\_\_\_\_ of the  
(Presiding officer, president, city manager, or other official)

\_\_\_\_\_, or his or her designee, is hereby authorized and directed to  
(“Agency”, “city”, “county”, or other)

prepare the necessary data, make investigations, sign, file such application, and execute a grant agreement with the California Department of Water Resources.

Passed and adopted at a regular meeting of the \_\_\_\_\_  
(Board of Directors, Supervisors, etc.)

of the \_\_\_\_\_  
(Name of applicant)

on \_\_\_\_\_  
(Date)



Authorized  
Signature \_\_\_\_\_  
Printed Name \_\_\_\_\_  
Title \_\_\_\_\_  
Clerk/Secretary \_\_\_\_\_

## **Exhibit B - DWR Environmental Information Form**

Grantees are responsible for complying with all applicable laws and regulations for their projects, including the California Environmental Quality Act (CEQA). Work that is subject to the CEQA shall not proceed under an Agreement until documents that satisfy the CEQA process are received by the Department of Water Resources and the Department has completed its CEQA compliance. Work that is subject to a CEQA document shall not proceed until and unless approved by the Department. Such approval is fully discretionary and shall constitute a condition precedent to any work for which it is required. Once CEQA documentation has been completed, DWR will consider the environmental documents and decide whether to continue to fund the project or to require changes, alterations or other mitigation.

Grant Recipient: \_\_\_\_\_

Project Manager: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Address: \_\_\_\_\_

1. List the source of any other grants or funds received from the Department of Water Resources to implement a portion of this project.

\_\_\_\_\_

2. Is this project exempt from CEQA compliance? Yes  No  (if no – skip to #3)

If “yes”, provide reasons for exemption. Cite the CEQA Article, Section and Title of the CEQA exemption, if appropriate.

CEQA statutory exemptions: [http://ceres.ca.gov/topic/env\\_law/ceqa/guidelines/art18.html](http://ceres.ca.gov/topic/env_law/ceqa/guidelines/art18.html)

CEQA categorical exemptions: [http://ceres.ca.gov/topic/env\\_law/ceqa/guidelines/art19.html](http://ceres.ca.gov/topic/env_law/ceqa/guidelines/art19.html)

Check appropriate box below:

- Lead Agency has already filed a Notice of Exemption (NOE) with the State Clearinghouse and/or County Clerk.  
(Attach copy of NOE, receipt of payment of CDFW fees, and, if applicable, a copy of Board Resolution)
- Lead Agency will file a NOE with the State Clearinghouse and/or County Clerk.  
Provide estimated date:
- Lead Agency will NOT file a NOE with the State Clearinghouse and/or County Clerk.

*If Lead Agency chooses not to file a NOE, sufficient documentation and information must be submitted to the Project Director, along with this form, to allow DWR to make its own CEQA findings.*

3. If the project will require CEQA compliance, identify the Lead Agency.

CEQA Lead Agency: \_\_\_\_\_

4. Please check types of CEQA documents to be prepared:

- Initial Study
- Negative Declaration / Mitigated Negative Declaration
- Environmental Impact Report

5. Please describe the status of the CEQA documents, expected date of completion, and estimated cost, if requesting DWR funds relating to CEQA compliance:

Status: \_\_\_\_\_

Date of Completion: \_\_\_\_\_

Estimated Costs: \_\_\_\_\_

6. If the CEQA document has been completed, please provide the name of the document and the State Clearinghouse number if available. Submit hard copy of the document and include an electronic copy with the online DWR GRanTS application if available.

\_\_\_\_\_

7. Please list all environmental permits you must obtain to complete the project:  
(attach additional pages as necessary)

**Type of Permit Required**

**Permitting Agency**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

8. This form was completed by:

\_\_\_\_\_  
Print or Type Name

\_\_\_\_\_  
Phone Number

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

## ***Exhibit C – Disadvantaged Community Assistance***

### **Purpose**

The purpose of this Exhibit is to provide guidance to applicants submitting Attachment 7 to document information regarding a project that addresses a DAC need.

Assistance to DACs comes in several forms:

- DAC Program Preference - Meeting program preferences yields additional points for an applicant in the application ranking process.
- Cost Share Reduction – See Section III.C. The required 25% cost share may be reduced to 10% for projects that meet the needs of a DAC.

### **Documentation of the Presence and Needs of a DAC**

Applicants should ensure the description of the DAC is adequate for DWR to determine whether the communities meet the definitions of this exhibit. Applicants are solely responsible for verifying all DAC-provided data is complete and accurate. Applicants with GIS capability are encouraged to use the following link to determine if the project area includes a DAC using the most recent data available:

<http://www.water.ca.gov/irwm/grants/resourceslinks.cfm>

- Include information that supports the determination of DACs in the region, such as a map or shapefile that shows the project service area is congruent with a DAC as shown using the Median Household Income (MHI) data. The DAC area must compose at least 80% of the project service area to be considered eligible.
- Where the lack of representative census data that adequately represents the community can be documented, income surveys may be substituted.
- In determining the MHI for DACs, applicants may use a single type of census geography or combination of census geographies that best represent the DAC.
- Include a letter of support from a DAC's representative indicating their support for the Proposal designed to provide targeted benefits to the DACs.

## **APPENDIX - USEFUL WEB LINKS**

### **Bond Accountability**

<http://bondaccountability.ca.gov/>

### **California Water Code**

<http://www.leginfo.ca.gov/cgi-bin/calawquery?codesection=wat&codebody=&hits=20>

### **CEQA Information**

Environmental Information:

<http://ceres.ca.gov/index.html>

California State Clearinghouse:

[http://www.opr.ca.gov/m\\_ceqa.php](http://www.opr.ca.gov/m_ceqa.php)

### **DWR**

Home Page:

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

Bay-Delta Office:

<http://baydeltaoffice.water.ca.gov/>

Grants & Loans:

<http://www.water.ca.gov/nav/nav.cfm?loc=t&id=103>

Proposition 84:

[http://baydeltaoffice.water.ca.gov/sdb/prop84/index\\_prop84.cfm](http://baydeltaoffice.water.ca.gov/sdb/prop84/index_prop84.cfm)

GRanTS

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

### **Department of Industrial Relations**

<http://www.dir.ca.gov/lcp.asp>

### **Environmental Justice**

<http://www.calepa.ca.gov/EnvJustice/>

### **NEPA Information**

<http://www.epa.gov/compliance/nepa/index.html>

### **Public Resource Code**

<http://caselaw.lp.findlaw.com/cacodes/prc.html>

### **Senate Bill X2 1**

[http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill\\_id=200720082SB1&search\\_keywords=](http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=200720082SB1&search_keywords=)

### **Surface Water Ambient Monitoring Program (SWAMP)**

[http://www.waterboards.ca.gov/water\\_issues/programs/swamp/](http://www.waterboards.ca.gov/water_issues/programs/swamp/)