



January 18, 2013



January 18, 2014



# Proposal Solicitation Package

2014 IRWM Drought Grant Solicitation  
Integrated Regional Water Management  
Implementation Grant Program  
Funded by Proposition 84



The Natural Resources Agency  
Department of Water Resources  
Division of Integrated Regional Water Management

June 2014

*This page is left blank intentionally.*

## FOREWORD

This document contains the California Department of Water Resources' (DWR) Proposal Solicitation Package (PSP) for 2014 Integrated Regional Water Management (IRWM) Drought Grant Solicitation funded by Proposition 84 (The Safe Drinking Water, Water Quality and Supply, Flood Control, River and Coastal Protection Bond Act of 2006).

This document details the application process, eligibility requirements, and review and scoring criteria. General information is covered in the front end of the document. This document is not a standalone document and the applicant will need to refer to the 2014 IRWM Drought Grant Program Guidelines (2014 IRWM Drought Guidelines) for additional information. The 2014 IRWM Drought Guidelines can be found at the following link: <http://www.water.ca.gov/irwm/grants/guidelines.cfm>. Potential applicants are encouraged to read both the 2014 IRWM Drought Guidelines and this PSP prior to deciding to submit an application. The application process for this solicitation is a one-step process. All qualified interested parties are encouraged to submit a grant proposal.

The Governor and Legislature have directed DWR to expedite the solicitation and award of \$200 million in IRWM funding to support projects and programs that:

- Provide immediate regional drought preparedness
- Increase local water supply reliability and the delivery of safe drinking water
- Assist water suppliers and regions to implement conservation programs and measures that are not locally cost-effective
- Reduce water quality conflicts or ecosystem conflicts created by the drought

To expedite the award, DWR will be using a streamlined grant application approach. Applicants will provide DWR high-level information regarding the project(s) for which funding is being requested. Selected proposals will be conditionally awarded funding. Final award of the grant funding is dependent upon the Applicant submitting to DWR, in a timely manner, any and all information necessary for DWR to verify the claims contained in the Applicant's 2014 IRWM Drought Grant Proposal and that are needed for the execution of a grant agreement with DWR.

### Due Date

The complete application and all supporting documentation must be submitted via DWR's Grant Review and Tracking System (GRanTS) by 5:00 p.m. on July 21, 2014. Hardcopies of the various eligibility requirements must also be received by DWR by 5:00 p.m. on the same date.

### Contacts

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 GRanTS, please contact the GRanTS Administration Team at (888) 907-4267 or [grantsadmin@water.ca.gov](mailto:grantsadmin@water.ca.gov).

For questions regarding Urban Water Management Plans (UWMPs), Assembly Bill (AB) 1420, or Water Meter Implementation compliance, please contact Betsy Vail at (916) 651-9667 or [betsy.vail@water.ca.gov](mailto:betsy.vail@water.ca.gov).

### Website

This document as well as other pertinent information about the IRWM Program can be found at: <http://www.water.ca.gov/irwm/grants/implementation.cfm>.

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

## Tables

Electronic versions of all tables in this PSP can be found here:

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

## Grant Agreement

All applicants that are awarded funding will be required to sign a grant agreement with DWR. The 2014 IRWM Drought Grant Solicitation agreement template can be found at the following link no later than June 16, 2014:

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

# TABLE OF CONTENTS

TOPIC	PAGE #
<b>I. INTRODUCTION .....</b>	<b>7</b>
<b>II. ELIGIBILITY .....</b>	<b>7</b>
A. ELIGIBLE GRANT APPLICANTS .....	7
B. ELIGIBILITY CRITERIA .....	8
C. ELIGIBLE PROJECT TYPES .....	8
<b>III. FUNDING .....</b>	<b>8</b>
FUNDING MATCH .....	9
A. REIMBURSEMENT DATE .....	9
<b>IV. SCHEDULE .....</b>	<b>9</b>
<b>V. APPLICATION INSTRUCTIONS .....</b>	<b>10</b>
A. WHAT TO SUBMIT – REQUIRED APPLICATION ATTACHMENTS .....	10
B. HOW TO SUBMIT .....	11
1. <i>Electronic Submittal</i> .....	11
2. <i>Hard Copy Submittal</i> .....	12
3. <i>Grant Application Checklist</i> .....	12
4. <i>Attachment Instructions</i> .....	15
Attachment 1. Authorization and Eligibility Requirements .....	15
Attachment 2. Drought Impacts .....	20
Attachment 3. Project Justification .....	21
Attachment 4. Work Summary .....	24
Attachment 5. Budget Summary .....	25
Attachment 6. Schedule .....	26
Attachment 7. Program Preferences .....	27
Attachment 8. Disadvantaged Community Assistance .....	27
<b>VI. REVIEW AND SCORING CRITERIA .....</b>	<b>28</b>
<b>VII. CONTINGENT AWARD .....</b>	<b>29</b>
EXHIBIT A WORK PLAN .....	32
EXHIBIT B BUDGET .....	34

# LIST OF TABLES

TABLE TITLE	PAGE #
TABLE 1 – PROPOSITION 84 IRWM IMPLEMENTATION FUNDING.....	9
TABLE 2 – IRWM IMPLEMENTATION GRANTS PROPOSAL SOLICITATION PROCESS AND SCHEDULE .....	10
TABLE 3 – GRANT APPLICATION CHECKLIST .....	12
TABLE 4 – 2014 IRWM DROUGHT SOLICITATION PROJECT SUMMARY TABLE .....	21
TABLE 5 – ANNUAL PROJECT PHYSICAL BENEFITS .....	23
TABLE 6 – COST EFFECTIVE ANALYSIS .....	24
TABLE 7 – PROJECT BUDGET .....	25
TABLE 8 – SUMMARY BUDGET .....	26
TABLE 9 – SCORING CRITERIA AND STANDARDS.....	30
TABLE A-1 – TYPICAL SCOPE OF WORK OUTLINE .....	33
TABLE A-2 – PROJECT PERFORMANCE MONITORING .....	33

## I. INTRODUCTION

On January 17, 2014, Governor Edmund G. Brown proclaimed a Drought State of Emergency (<http://gov.ca.gov/news.php?id=18379>) and on March 1, 2014, Governor Brown signed legislation to assist drought-affected communities and provide funding to better use local water supplies. Senate Bills (SB) SB 103 and SB 104 provide \$687.4 million to support drought relief, including money for housing and food for workers directly impacted by the drought, bond funds for projects to help local communities more efficiently capture and manage water, and funding for securing emergency drinking water supplies for drought-impacted communities. The approved funding includes \$472.5 million in Proposition 84 Integrated Regional Water Management (IRWM) funding.

The Governor and Legislature have directed the Department of Water Resources (DWR) to expedite the solicitation and award of \$200 million, of the \$472.5 million, in IRWM funding to support projects and programs that:

- Provide immediate regional drought preparedness
- Increase local water supply reliability and the delivery of safe drinking water
- Assist water suppliers and regions to implement conservation programs and measures that are not locally cost-effective
- Reduce water quality conflicts or ecosystem conflicts created by the drought

To expedite the award, DWR will be using a streamlined grant application approach. Applicants will provide DWR high-level information regarding the project(s) for which funding is being requested. Selected proposals will be conditionally awarded funding. Final award of the grant funding is dependent upon the Applicant submitting to DWR, in a timely manner, information necessary for DWR to verify the claim contained in the Applicant's 2014 IRWM Drought Grant Proposal and that is needed for the execution of a grant agreement with DWR.

The 2014 IRWM Drought PSP works in conjunction with the 2014 IRWM Drought Guidelines to disburse \$200 million grant funding under the Safe Drinking Water, Water Quality and Supply, Flood Control, River and Coastal Protection Bond Act of 2006 (Proposition 84). Prospective applicants should read this PSP and the entire 2014 IRWM Drought Guidelines to ensure that the submittal will meet the grant program requirements.

A complete list of abbreviations, acronyms, and a glossary of terms used throughout this PSP are available in the 2014 IRWM Drought Guidelines. The 2014 IRWM Drought Guidelines are posted on the DWR website at the following link:

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

## II. ELIGIBILITY

This section of the PSP provides an overview of the eligibility requirements that must be met to apply for the 2014 IRWM Drought Grant Solicitation, which is part of DWR's IRWM Implementation Grant Program. Only one application per eligible IRWM Region will be accepted for this solicitation.

### A. Eligible Grant Applicants

A Grant Applicant is the entity submitting the grant application on behalf of an IRWM Region. The IRWM Region must have been accepted into the IRWM Grant program through DWR's Region Acceptance Process (RAP) to be eligible for grant funding. A list of accepted regions can be found at the following link: <http://www.water.ca.gov/irwm/grants/rap.cfm>

Grant Applicants will enter into an agreement with the State, should the application be successful. Eligible applicants are local public agencies or non-profit organizations. Project proponents are generally any stakeholder responsible for implementing a project within a grant proposal. Section III of the 2014 IRWM Drought Guidelines contains more information on applicants and project proponents.

## B. Eligibility Criteria

Applications for 2014 IRWM Drought Grant funding must meet all eligibility criteria in order for the application to be considered to receive grant funding. General eligibility requirements are included in the 2014 IRWM Drought Guidelines, Section III. Specific eligibility criteria that apply to this solicitation are listed below. Eligibility will be determined based on information furnished by the applicant as described in Section V of this PSP.

## C. Eligible Project Types

Section III.C of the 2014 IRWM Drought Guidelines provides specific detail on eligible project types. Eligible projects must be consistent with an adopted IRWM Plan (PRC §75026(a)). In addition to the eligible project provisions in the Guidelines, each project must meet at least one of the four following project types in order to be eligible to receive funding:

- Provide immediate regional drought preparedness (See Table 1 of the 2014 IRWM Drought Guidelines for a definition of drought preparedness)
- Increase local water supply reliability and the delivery of safe drinking water
- Assist water suppliers and regions to implement conservation programs and measures that are not locally cost-effective
- Reduce water quality conflicts or ecosystem conflicts created by the drought

The Human Right to Water Policy (AB 685 (2012)/CWC § 106.3) states that every human being has the right to clean, affordable, and accessible water for human consumption, cooking, and sanitary purposes. In consideration of this Policy, DWR is making additional points available to proposals with projects that address clean, affordable, and accessible water for human consumption, cooking, and sanitary purposes (see Attachment 7).

## III. FUNDING

DWR has administered multiple rounds of solicitations for Proposition 84 IRWM Implementation Grants. This PSP is applicable to the 2014 IRWM Drought Grant solicitation only. In this solicitation, \$200 million will be available for grant awards.

DWR intends to target the 2014 IRWM Drought Grant funding to IRWM regions with the greatest drought impacts. DWR has tracked the prior grant awards by Funding Area and will, by the conclusion of Proposition 84 IRWM Grant Program, ensure that the allocation schedule contained in Proposition 84 will be met. Table 1 provides a listing of the Funding Areas, the Proposition 84 Allocations Schedule, and the Remaining Balance of funds by Funding Area. The maximum amount of funds awarded through the 2014 IRWM Drought Grant Solicitation for any single Funding Area will not exceed the amount listed in Column D for that Funding Area. However, due to the limit in the available funds, it will not be possible for every Funding Area to be awarded the maximum amount listed in Column D. Column E list the minimum award amount by funding area and Column F lists the minimum remaining balance that will be available for the future solicitation(s).

DWR will evaluate the proposals based on the statewide drought impacts and need, the amounts requested, and proposal scores, as determined using the criteria contained in Table 9, when determining the amount of funding to award to an individual proposal and the total funding awarded to each Funding Area. Because of the limited amount of funding available, it is possible that individual applicants may receive less than the full amount requested.

Table 1 – Proposition 84 IRWM Implementation Funding

Column A	Column B	Column C	Column D	Column E	Column F
Funding Area	Proposition 84 Schedule	Funding Area Remaining Balances	Maximum Grant Award 2014 Drought Solicitation	Minimum Grant Award 2014 Drought Solicitation	Minimum Remaining Balance for Future Solicitation
North Coast	\$37,000,000	\$19,747,939	\$14,810,954	\$0	\$4,936,985
San Francisco Bay	\$138,000,000	\$73,483,858	\$55,112,894	\$0	\$18,370,965
Central Coast	\$52,000,000	\$19,748,065	\$14,811,049	\$0	\$4,937,016
Los Angeles-Ventura	\$215,000,000	\$96,340,789	\$72,255,592	\$0	\$24,085,197
Santa Ana	\$114,000,000	\$74,482,996	\$55,862,247	\$0	\$18,620,749
San Diego	\$91,000,000	\$56,512,951	\$42,384,713	\$0	\$14,128,238
Sacramento River	\$73,000,000	\$40,518,410	\$30,388,808	\$0	\$10,129,603
San Joaquin River	\$57,000,000	\$26,696,455	\$20,022,341	\$0	\$6,674,114
Tulare/Kern	\$60,000,000	\$16,217,196	\$12,162,897	\$0	\$4,054,299
Lahontan	\$27,000,000	\$10,705,051	\$8,028,788	\$0	\$2,676,263
Colorado River	\$36,000,000	\$16,700,000	\$12,525,000	\$0	\$4,175,000
<b>Total</b>	<b>\$900,000,000</b>	<b>\$451,153,710</b>	<b>\$200,000,000<sup>1)</sup></b>		<b>\$251,153,710</b>

1) The total of \$200,000,000 represents the total funds available for this solicitation; not the total of the Column D amounts.

## Funding Match

The minimum funding match is 25% of the total proposal cost. Project costs must be incurred after January 1, 2010 to be considered as funding match. For projects that address the needs of a DAC, the funding match may be waived for these projects only. See instructions for Attachment 8 for more information on applying for a funding match waiver. See the 2014 IRWM Drought Guidelines, Section II.E, for additional information on Funding Match.

### A. Reimbursement Date

For the 2014 IRWM Drought Grant Solicitation, eligible costs incurred after the date of the Governor's Drought Declaration, January 17, 2014, will be eligible for reimbursement. Reimbursable costs are defined in 2014 IRWM Drought Guidelines, Appendix B.

## IV. SCHEDULE

The schedule in Table 2 shows the program timeline from release of the Final 2014 IRWM Drought Guidelines and PSP through approval of awards. Updates for the events listed in this schedule may be required. When finalized, an updated schedule will be posted on the DWR website listed in the Foreword. Updates may also be advertised through e-mail announcements and news releases. For parties that are not already on the IRWM mailing list and wish to receive updates on the IRWM Grant Program, please visit the website listed in the Foreword to sign up.

Table 2 – IRWM Implementation Grants Proposal Solicitation Process and Schedule

Milestone or Activity	Schedule
Release Final Program 2014 Guidelines and PSP and on-line application available	June 2, 2014
<p>Applicant Workshops:</p> <p>University of California Cooperative Extension in Bakersfield 1031 S. Mt, Vernon Avenue Bakersfield, CA 93307</p> <p>CalEPA Building Sierra Hearing Room 1001 I Street Sacramento, CA 95814 This meeting will be web broadcast via the following link: <a href="http://www.calepa.ca.gov/broadcast/">http://www.calepa.ca.gov/broadcast/</a></p>	<p>June 18, 2014 at 1:30 p.m.</p> <p>June 20, 2014 at 1:30 p.m.</p>
<b>Grant applications must be submitted via GRanTS and hardcopies to DWR by 5:00 p.m. Applications submitted after 5:00 p.m. on the due date will not be reviewed or considered for funding.</b>	<b>July 21, 2014 at 5:00 p.m.</b>
Public meeting to discuss draft funding recommendations	<i>September 2014</i>
DWR approves final conditional grant awards	<i>October 2014</i>

1) *Italics denote approximate dates. Specific dates will be announced through the website and mailing list discussed in the Foreword.*

## V. APPLICATION INSTRUCTIONS

This section provides instructions for preparing and submitting an application. The Application Instructions section consists of two subsections: A. *What to Submit* and B. *How to Submit*. It is important that the applicants follow the Application Instructions to ensure that their application will address all of the required elements. 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 package will be waived.

### A. What to Submit – Required Application Attachments

This section presents the required elements of an application for grants funded by the IRWM Implementation Grant Program. Applicants must submit a complete application by the deadline contained in the Schedule shown in Table 2. The grant 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, as follows:

- Applicant Information Tab
- Projects Tab
- Applicant and Information Tab (including Questions 1 through 8)
- Application Attachments Tab (including Attachments 1 through 8)

Failure to submit any required attachment will make the application incomplete. Incomplete applications will not be reviewed or considered for funding. The complete application must be submitted electronically. Additionally, the following eligibility forms must also be submitted in hardcopy:

- Acknowledgement Form – Submittal of Additional Information
- AB 1420 Self-certification Form

- Water Metering Self-certification Form
- Groundwater Management Plan (GWMP) Compliance Self-certification Form

## B. How to Submit

### 1. *Electronic Submittal*

Applicants must submit a complete application on-line using DWR's GRanTS. GRanTS can only be accessed with Internet Explorer. The on-line GRanTS application is currently available for use and can be found at the following link:

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

The name of this PSP in GRanTS is "2014 IRWM Drought Grant PSP." In order to access this PSP, applicants must register and have an account in GRanTS, if they have not already done so. Project Proponents 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 review the GRanTS Public User Guide and Frequently Asked Questions, available at the above link, prior to completing the on-line application. If an applicant has questions as to the content or the information requested in the PSP or questions or problems with GRanTS, please refer to the phone number or e-mail listed in the Foreword.

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

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

Att#\_DG\_AttachmentName\_#ofTotal#

Where:

- a. "Att#" is the attachment number
- b. "DG" is the code of this solicitation
- c. "AttachmentName" is the name of the attachment as specified in Section V.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 3 – ProJust for the applicant is made up of three files, the second file in the set would be named "Att3\_DG\_ProJust\_2of3".

File size for each attachment submitted via GRanTS is limited to 50 megabytes (MB). Breaking documents into components such as chapters or logical components so that files are less than 50 MB will aid in uploading files. 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 hard copy. All portions of the application, GRanTS submittal and hard copies, must be received by the application deadline. Late submittals will not be reviewed or considered for funding.

## 2. Hard Copy Submittal

The addresses for mailing by U.S. mail, overnight courier, or hand delivery of hard copy application components are listed as follows:

By U.S. Mail:

California Department of Water Resources  
 Division of Integrated Regional Water Management  
 Financial Assistance Branch  
 Post Office Box 942836  
 Sacramento, CA 94236-0001  
 Attn: Zaffar Eusuff

Or Overnight courier to:

California Department of Water Resources  
 Division of Integrated Regional Water Management  
 Financial Assistance Branch  
 1416 9th Street, Room 338  
 Sacramento, CA 95814  
 Attn: Zaffar Eusuff

Or hand-deliver to:

901 P Street, Lobby  
 Sacramento, CA 95814  
 Attn: Zaffar Eusuff

## 3. 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 on separate project tabs provided in the GRanTS application.*

#### APPLICANT INFORMATION

<input type="checkbox"/>	<b>Organization Name:</b> 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"/>	<b>Tax ID:</b> Tax ID is automatically displayed for registered organizations. Verify the applicant's federal tax ID number.
<input type="checkbox"/>	<b>Point of Contact:</b> <ul style="list-style-type: none"> <li>Select "Existing Register Users" to select the registered user associated with the organization specified above. The rest of the contact information (Division, Address, e-mail, etc.) are auto populated once the above registered user is selected.</li> <li>Select "Add New User" to add an unregistered user. Please select Division (address will be auto populated) and type the First Name, Last Name, E-mail, and Phone (Direct) of the new user. Please note that the e-mail address will be the new user's login name.</li> </ul>
<input type="checkbox"/>	<b>Point of Contact:</b> Position Title
<input type="checkbox"/>	<b>Proposal Name:</b> Provide the title of the Proposal; please include the IRWM region name as part of the Proposal Name. (Maximum Character Limit: 150)
<b>PROPOSAL BUDGET</b>	
<i>For the proposal, the following budget items should be taken from Table 8, where applicable.</i>	
<input type="checkbox"/>	<b>Other Contribution:</b> Provide the amount of other funds not included in the categories as listed below. If there is no other contribution, enter zero.
<input type="checkbox"/>	<b>Local Contribution (Funding Match):</b> Provide the total funding match that will be committed to the Proposal. The Implementation Grant Program requires a minimum local contribution of 25% of total proposal cost unless there is a DAC project included in the Proposal.

Table 3 – Grant Application Checklist

<input type="checkbox"/>	<b>Federal Contribution:</b> Enter Federal funds being used. If none, enter zeros.
<input type="checkbox"/>	<b>In-kind Contribution:</b> Provide the total amount of in-kind services in dollars. In-kind Contribution – refers to work performed by the grantee. The cost of which is considered funding match. If there is no in-kind contribution, then enter zeroes in this field.
<input type="checkbox"/>	<b>Amount Requested (Grant Funds Requested):</b> Provide the amount of total grant funds requested.
<input type="checkbox"/>	<b>Total Proposal Cost:</b> Provide the total proposal cost, in dollars. This amount must agree with the total proposal cost shown in Attachment 5. Total proposal cost is automatically calculated based on the contribution amounts entered above.
<b>GEOGRAPHIC INFORMATION</b>	
GRanTS requests latitude and longitude in degrees, minutes, and seconds. You may use converters on the web such as <a href="http://transition.fcc.gov/mb/audio/bickel/DDDMSS-decimal.html">http://transition.fcc.gov/mb/audio/bickel/DDDMSS-decimal.html</a> . X/Y center points for each IRWM region can be found here: <a href="http://www.water.ca.gov/irwm/grants/resourceslinks.cfm">http://www.water.ca.gov/irwm/grants/resourceslinks.cfm</a>	
<input type="checkbox"/>	<b>Latitude:</b> Enter the Latitude at the location that best represents the center of the IRWM Region.
<input type="checkbox"/>	<b>Longitude:</b> Enter the Longitude at the location that best represents the center of the IRWM Region.
<input type="checkbox"/>	<b>Longitude/Latitude Clarification:</b> Only use if necessary. (Maximum Character Limit: 250)
<input type="checkbox"/>	<b>Location:</b> Identify the approximate location that best represents the center of the IRWM Region. (Maximum Character Limit: 100)
<input type="checkbox"/>	<b>County(ies):</b> Provide the county in which the IRWM region is located. If the IRWM region covers multiple counties hold the control key down and select all that apply.
<input type="checkbox"/>	<b>Groundwater Basins:</b> Provide the groundwater basin(s) as listed in the current version of DWR Bulletin 118 ( <a href="http://www.water.ca.gov/groundwater/bulletin118/gwbasin_maps_descriptions.cfm">http://www.water.ca.gov/groundwater/bulletin118/gwbasin_maps_descriptions.cfm</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 is located. For proposals covering multiple hydrologic regions, hold down the control key and select all that apply.
<input type="checkbox"/>	<b>Watershed(s):</b> (Maximum Character Limit: 250) Provide the name of the watershed the IRWM region covers. A map of California watersheds can be found at the following link: <a href="http://www.conservation.ca.gov/dlrp/wp/Documents/CALFED_Watershed_Map[1].pdf">http://www.conservation.ca.gov/dlrp/wp/Documents/CALFED_Watershed_Map[1].pdf</a> If your IRWM region covers multiple watersheds, you may only provide one “Unique Watershed Number” as listed on the watershed map.
<b>LEGISLATIVE INFORMATION</b>	
<input type="checkbox"/>	Enter the State Assembly, State Senate, and U.S. Congressional Districts in which the IRWM region is located (use district numbers only, not the name of the Legislator). For IRWM regions that include more than one district, Hold the control key down and select all that apply.
<b>PROJECTS TAB</b>	
<i>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.</i>	
<b>PROJECT INFORMATION</b>	
<input type="checkbox"/>	<b>Project Name:</b> Provide the project name. (Maximum Character Limit: 125 characters)
<input type="checkbox"/>	<b>Implementing Organization:</b> (Select the implementing organization)
<input type="checkbox"/>	<b>Secondary Implementing Organization:</b> (Maximum Character Limit: 125 characters)
<input type="checkbox"/>	<b>Proposed Start Date:</b>
<input type="checkbox"/>	<b>Proposed End Date:</b>
<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

Table 3 – Grant Application Checklist

**PROJECT BENEFITS INFORMATION**

Please do not enter any information into GGrants for the following Project Benefits Questions. They are standard GGrants questions and cannot be removed, but are unnecessary for Implementation Grant Applicants.

Benefit Level: Leave blank.

Benefit Type: Leave blank.

Description: Leave blank.

Measurement: Leave blank.

**PROJECT BUDGET**

For each project, the following budget items should be taken from Table 7, where applicable.

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.

**GEOGRAPHIC INFORMATION**

Enter the geographical information for each individual project location (latitude and longitude in degrees, minutes, and seconds).

**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 application 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 Director.

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 application.

Q3. Funding Area Information: Provide the IRWM funding area(s) in which projects are located.

Q4. DAC Waiver Cost Share Request: Are you applying for a DAC cost share waiver? If yes, fill out Attachment 8.

Q5. Responsible Regional Water Quality Control Board(s) (RWQCB): List the name of the RWQCB in which your Proposal is located. For a region that extends beyond one RWQCB boundary, list the name of each Board.

Q6. Eligibility: The Implementation Grant Program requires a minimum funding match of 25% of total project cost unless there is a DAC project included in the Proposal. Are your matching funds less than 25%? If so, please explain.

Q7. Eligibility: Does the application represent an IRWM Region approved in the RAP? To verify, see RAP website: <http://www.water.ca.gov/irwm/grants/rap.cfm>. If yes, include the name of the IRWM Region. If no, please explain.

**APPLICATION ATTACHMENTS TAB**

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

Attachment #	Attachment Title
<input type="checkbox"/> Attachment 1	Authorization and Eligibility Requirements
<input type="checkbox"/> Attachment 2	Drought Impacts
<input type="checkbox"/> Attachment 3	Project Justification
<input type="checkbox"/> Attachment 4	Work Summary
<input type="checkbox"/> Attachment 5	Budget Summary

Table 3 – Grant Application Checklist

<input type="checkbox"/>	Attachment 6	Schedule
<input type="checkbox"/>	Attachment 7	Program Preferences
<input type="checkbox"/>	Attachment 8	Disadvantaged Community Assistance

#### 4. Attachment Instructions

Applicants are required to submit Attachments 1 through 8 (as applicable) to complete the 2014 Drought Grant Solicitation application. A discussion of each of these attachments is provided below.

**Attachments 2 – 7 will be scored. Each project included in the Proposal will be evaluated against a series of questions, as indicated in Table 9. The basis for each question included in Table 9 is explained below.**

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

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

Attachment 1 is mandatory and consists of authorization and eligibility documentation including the items listed below. Self-certification documents must be completed and included in Attachment 1 (where applicable) for CWC §525, AB 1420, and GWMP compliance. The Applicant will also be required to submit acknowledgment that, due to the expedited nature of this solicitation, any potential grant awards are conditional and will require the timely submittal of additional information. In submitting Attachment 1, not all forms are required to be submitted hardcopy. Please reference the “What to Submit” section to identify which items are required to be submitted hardcopy.

- Authorizing Documentation
- Eligible Applicant Documentation
- Acknowledgement Form – Submittal of Additional Information
- Adopted IRWM Plan and Proof of Formal Adoption
- Project Consistency with an adopted IRWM Plan
- Urban Water Management Compliance
- Agricultural Water Management Compliance
- Surface Water Diverter Compliance
- Groundwater Management Compliance
- CASGEM Compliance
- Water Conservation Programs and Measures

**Authorizing Documentation** – 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 2014 IRWM Drought Grant.

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

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

Resolved by the <Insert name of governing body, city council, organization, or other> of the <Insert name of agency, city council, organization, or other>, that application be made to the California Department of Water Resources to obtain a 2014 Integrated Regional Water Management Drought Grant pursuant to the Safe Drinking Water, Water Quality and Supply, Flood Control, River and Coastal Protection Bond Act of 2006 (Public Resource Code Section 75001 *et seq.*), and to enter into an agreement to receive a grant for the: <Insert name of Proposal>. The <Insert title – Presiding Officer, President, Agency Manager, or other officer> of the <Insert name of agency, city, county, organization, or other> is hereby authorized and directed to prepare the necessary data, conduct investigations, file such application, and execute a grant agreement with California Department of Water Resources.

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

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

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

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

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

**Eligible Applicant Documentation:** Eligible applicants are local public agencies or non-profit organizations, as defined in Appendix B of the 2014 IRWM Drought 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 application will not be reviewed.**

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 2014 IRWM Drought 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 2014 IRWM Drought 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.

**Acknowledgement Form – Submittal of Additional Information** – The applicant must complete and sign the form below and **submit one (1) hard copy with wet signature.**

The following text box includes the form that must be submitted to fulfill this requirement:

## 2014 IRWM Drought Grant Acknowledgement Form

Applicant Name: <Enter Name>

IRWM Region: <Enter Name>

RWMG: <Enter Name>

As the authorized representative of the above-referenced RWMG, I acknowledge and affirm that the RWMG understands that it must provide additional information to DWR in the event that the RWMG is conditionally selected to receive 2014 IRWM Drought Grant funding.

I further acknowledge that the RWMG understands that its request for 2014 IRWM Drought grant funding is part of an expedited solicitation effort and agrees to the following items:

- If conditionally awarded funding, the applicant, on the behalf of the RWMG, will submit to DWR, within thirty (30) calendar days of written notification, which may include e-mail or electronic notification, all of the following items:
  - A detailed Work Plan per Exhibit A of the PSP for each project contained in the Proposal
  - A detailed Budget per Exhibit B of the PSP for each project contained in the Proposal
  - Documentation to support the Project Justification claims contained in the Proposal
  - Project Performance Monitoring Plans for each project that received funding
  - Audited Financial Statements for the Grantee and the individual project proponents whose project(s) is/are about to begin construction/implementation
  - CEQA/NEPA documentation for those projects that are about to begin construction/implementation
  - Other materials that DWR deems necessary, which will be detailed in the award notification

I further acknowledge that the RWMG also understands that failure to submit the necessary information, within thirty (30) calendar days, may result in delayed execution of the grant agreement or revocation of the conditional award of funds.

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

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

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

Date: \_\_\_\_\_

**Adopted Plan and Proof of Formal Adoption** – The necessary documentation consists of proof of formal adoption (i.e. a signature page, with dates of signature) by all RWMG entities and project proponents adopting the IRWM Plan and other documentation that the IRWM Plan was adopted consistent with CWC §10543. The adopted IRWM Plan must be consistent with the 2012 IRWM Program Guideline Plan Standards.

DWR has established a Plan Review Process (PRP) designed to assess whether IRWM plans are consistent with the 2012 IRWM Plan Standards. The PRP is described in Appendix H of the 2014 IRWM Drought Guidelines. The plan submittal process discussed in the Guidelines will remain open throughout this solicitation. However, to be eligible for the 2014 IRWM Drought funding, IRWM plans must be submitted to DWR for review no later than the application due date.

If proof of adoption is not available by the application due date, list the anticipated date of plan adoption and the date that proof of adoption will be submitted to DWR. The adopted plan and proof of adoption must be submitted to DWR, at the address listed Section V.2 of the PSP, no later than September 9, 2014.

**Project Consistency with an adopted IRWM Plan** – The applicant must provide a statement (not more than one page per project using a minimum 10-point type font) which demonstrates that the project is either listed in the IRWM Plan project list or describes how any non-listed projects have been vetted through the RWMG.

**Urban Water Management Compliance** – List the urban water suppliers that will receive funding from the proposed grant. If there are none, so indicate.

Please provide the agency name, a contact phone number and e-mail address. For the listed urban water suppliers, include documentation, from DWR, that verifies that each supplier's 2010 Urban Water Management Plan (UWMP) addresses the requirements of the CWC. If an urban water supplier's 2010 UWMP has not been verified by DWR, explain and provide the anticipated date for having a 2010 UWMP that addresses the requirements of the CWC.

The listed urban water suppliers must self-certify their compliance with the requirements contained in AB 1420. The AB 1420 self-certification documentation and instructions can be found at the following link: <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 listed urban water suppliers must 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: [www.water.ca.gov/irwm/grants/resourceslinks.cfm](http://www.water.ca.gov/irwm/grants/resourceslinks.cfm). Each urban water supplier proposing wastewater projects, water use efficiency projects, or drinking water projects must complete the form. **Only one (1) hard copy (with wet signature) submittal per project is required for this attachment.** If any of the listed urban water suppliers have submitted AB 1420 compliance tables and supporting documentation to DWR on or after July 1, 2013, then please list the urban water supplier and the grant program, and do not include a new self-certification form.

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

- Submittal of list of urban water suppliers
- Agency/organization name(s)
- Contact phone number(s) and e-mail address(es)
- DWR verification documentation for UWMPs
- AB 1420 self-certification documentation from each urban water supplier
- CWC §525 self-certification documentation from each urban water supplier

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

Please provide the agency/organization name, a contact phone number and e-mail address. For the listed agricultural water suppliers, include documentation, from DWR, that verifies that each supplier's Agricultural Water Management Plan (AWMP) addresses the CWC requirements. If an agricultural water supplier's AWMP has not been verified by DWR, explain and provide the anticipated date for having an AWMP addresses the CWC requirements.

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

- Submittal of list of agricultural water suppliers
- Agency/organization name(s)
- Contact phone number(s) and e-mail address(es)
- DWR verification documentation for each agricultural water supplier

**Surface Water Diverter Compliance** – List the surface water diverters that will receive funding from the proposed grant. If there are none, please indicate so.

Please provide the agency/organization name, a contact phone number and e-mail address. For the listed surface water diverters, state whether they have submitted to the State Water Resources Control Board (SWRCB) surface water diversion reports in compliance with requirements outlined in Part 5.1 (commencing with §5100) of Division 2 of the CWC. 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:

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

**Groundwater Management Compliance** – List the groundwater users that will receive funding from the proposed grant. Provide the agency/organization name, a contact phone number and e-mail address. If the Proposal does not contain a groundwater project or other project that directly affect groundwater levels or quality, so indicate, and include in Attachment 1 the justification for such a conclusion.

For groundwater projects or other projects that directly affect groundwater levels or quality, the applicant or the participating agency responsible for such projects must provide the following, as applicable:

- Submittal of list of groundwater users
- Agency/organization name(s)
- Contact phone number(s) and e-mail address(es)
- Justification if no projects affect groundwater
- If projects do affect groundwater then respond to the following:
  - ❖ Identification of projects in the Proposal that involve any groundwater projects or other projects that directly affect groundwater levels or quality.
  - ❖ The agency(ies) that will implement such project(s).
  - ❖ Each listed agencies must submit self-certify compliance with CWC §10753 regarding Groundwater Management Plans (GWMPs). Instructions to complete the self-certification can be found at: <http://www.water.ca.gov/irwm/grants/resourceslinks.cfm>. Only one (1) hard copy (with wet signature) submittal per project is required for this attachment.

**CASGEM Compliance** – DWR has prioritized the groundwater basins. The CASGEM Program description, along with the basin prioritization information, can be found at: <http://www.water.ca.gov/groundwater/casgem/>.

For the high and medium priority basins that do not have a CASGEM monitoring entity, the grant applicant and project proponent 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 2014 IRWM Drought Grant funding (CWC §10933.7(a)). Consistent with CWC §10933.7(b), if the entire service area of the grant applicant or the individual project proponent's service area is demonstrated to be a DAC, as defined in the 2014 IRWM Drought Guidelines, Appendix B, the project will be considered eligible for grant funding notwithstanding CASGEM compliance.

**If the applicant is found ineligible, the entire application will be considered ineligible. If the project proponent is found ineligible funding cannot be awarded to that project and the grant award will be proportionately reduced.** DWR will take into consideration whether a monitoring entity has already been proposed and is in process of being established for the relevant basin(s) when determining eligibility.

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

- Project location and implementing agency's service area boundary. Project latitude and longitude coordinates and a service area boundary GIS shape file must be provided.
- Name of groundwater basin 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 project proponent is an eligible monitoring entity per CWC §10927.
- If the applicant or project proponent in the process of becoming a monitoring entity, please discuss the current status and list any issues that need to be resolved in order to become a monitoring entity.

**Locally not Cost Effective Water Conservation Programs and Measures** –For the purposes of the 2014 IRWM Drought solicitation, "not locally cost-effective" means the present value of the local benefits of implementing a water conservation program or measure is less than the present value of the local costs of implementing that program or measure (CWC Section 10631.5 (a)(4)(B)).

Applicants must include documentation that confirms the proposed water conservation program or measure's total annualized cost (annualized capital costs plus annual operation and maintenance cost) exceeds its annualized local monetary benefits over the life of the project. Applicants may use economic analysis support tables found at the following link: <http://www.water.ca.gov/irwm/grants/resourceslinks.cfm>.

## **ATTACHMENT 2. DROUGHT IMPACTS**

For the "AttachmentName" in the naming convention of GRanTS, use "Impact" for this attachment.

Attachment 2 is mandatory and should be presented in two sub-sections:

- Drought Impacts
- Water Conservation Measures

The information contained in the sub-sections will be used by DWR reviewers to score question #1 and 2 contained in Table 9.

**Drought Impacts** – A description of the regional water management impacts due to the 2014 Drought and any anticipated or projected impacts if drought or dry year conditions continue into 2015. The description must not be more than five pages in length using a minimum 10-point type font. Any information included beyond the five pages will not be reviewed or considered for scoring purposes.

Applicants must explain if/how the drought has caused the region to encounter the following impacts (if not applicable, state "N/A"):

- At risk of not meeting existing drinking water demands
- At risk of not meeting existing agricultural water demands
- At risk of not meeting ecosystem water demands
- Drinking water MCL violations
- Groundwater basin overdraft
- Discharge water TMDL violations
- Or other drought related adverse impacts

**Water Conservation Measures** – The applicant must provide a description of the mandatory or voluntary water conservation measures or restrictions that have been implemented as a result of the 2014 Drought. Discuss any planned or anticipated water conservation measures if drought or dry year conditions continue into 2015.

The description must not be more than five pages in length using a minimum 10-point type font. Any information included beyond the five pages will not be reviewed. Supporting documentation, such as copies of local drought declarations or conservation directives may be included, but will not be counted against the page limitation.

### ATTACHMENT 3. PROJECT JUSTIFICATION

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

Attachment 3 is mandatory and includes a summary of the proposed project(s), including the purpose and how the Proposal meets the need(s) created by the drought. Attachment 3 also contains the estimated physical benefits of the project(s); justifies how the project is technically feasible; describes how the project can achieve the claimed level of benefits; and explain whether the benefits will be attained through the least cost alternative. Attachment 3 should be presented in the following sub-sections:

- Project Summary Table (use Table 4)
- Project Description
- Regional Map and Project Map
- Project Physical Benefits (use Table 5)
- Technical Analysis of Physical Benefits Claimed
- Cost Effectiveness Analysis (use Table 6)

The information contained in the sub-sections will be used by DWR reviewers to score questions #3 and 8 – 15, contained in Table 9.

#### PROJECT SUMMARY TABLE

Complete the following table by adding a column for each project contained in the Proposal and marking the applicable project element(s) from both the Drought Project Element and IRWM Project Element Sections of the table. Each project must match at least one project element in both sections. This information will be used by DWR to assess project eligibility. The applicant must submit one Table 4 that includes one column for each proposed project.

Table 4 – 2014 IRWM Drought Solicitation Project Summary Table		Project Name/ID Add 1 column per Project
<b>Drought Project Element</b>		
D.1	Provide immediate regional drought preparedness	
D.2	Increase local water supply reliability and the delivery of safe drinking water	
D.3	Assist water suppliers and regions to implement conservation programs and measures that are not locally cost-effective	
D.4	Reduce water quality conflicts or ecosystem conflicts created by the drought	
<b>IRWM Project Element</b>		
IR.1	Water supply reliability, water conservation, and water use efficiency	
IR.2	Stormwater capture, storage, clean-up, treatment, and management	
IR.3	Removal of invasive non-native species, the creation and enhancement of wetlands, and the acquisition, protection, and restoration of open space and watershed lands	
IR.4	Non-point source pollution reduction, management, and monitoring	
IR.5	Groundwater recharge and management projects	
IR.6	Contaminant and salt removal through reclamation, desalting, and other treatment technologies and conveyance of reclaimed water for distribution to users	
IR.7	Water banking, exchange, reclamation, and improvement of water quality	
IR.8	Planning and implementation of multipurpose flood management programs	
IR.9	Watershed protection and management	
IR.10	Drinking water treatment and distribution	
IR.11	Ecosystem and fisheries restoration and protection	

## **PROJECT DESCRIPTION**

The applicant must include a brief description of each project (25 words or less for each project) contained in the Proposal and the name of the respective implementing agency/organization.

Additionally, for each proposed project, discuss how the project will help alleviate the drought impact(s) identified in Attachment 2 and how the project can be considered as one or more of the four eligible drought project types (Section C), and why expedited funding is needed. The project description discussion must not exceed one page per project using a minimum 10-point type font.

## **REGIONAL AND PROJECT MAP**

A regional map should include the IRWM regional boundary and a marker identifying the location of each project contained in the Proposal.

Also include a map for each project that shows, as applicable, the project's geographical location and the surrounding work boundaries, facilities of the project, the water resources (groundwater or surface water) that will be affected, DACs within the project service area, and proposed monitoring locations.

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

- A regional map with IRWM regional boundaries with project locations
- Individual project maps

## **PROJECT PHYSICAL BENEFITS**

Physical benefits are the expected measurable accomplishments of a project. To be eligible to receive IRWM Grant funding each project must have multiple benefits (Public Resources Code §75026.(a)). Physical benefits should be based on estimated measures of project accomplishments over the period of analysis and consistent with the provided need described above. Examples of physical benefits include, but are not limited to:

- Amount of water supply produced, saved, or recycled.
- Types (constituents) and amounts of water quality improvement provided, and the amount of water treated or improved.
- Types and amounts of environmental benefits provided, such as the types of species and their numbers benefited, acreage of habitat or floodplain improved, restored or protected, amount of flow provided, or habitat units restored or protected. If a Habitat Evaluation Procedure has been performed, provide information from that analysis.
- Amount of energy produced or saved, and amount of greenhouse gases that can be avoided.

Table 5 must be used to present physically quantifiable benefits.

Table 5 – Annual Project Physical Benefits

Project Name: _____			
Type of Benefit Claimed: _____			
Units of the Benefit Claimed : _____			
Additional Information About this Benefit _____			
(a)	(b)	(c)	(d)
	Physical Benefits		
Year	Without Project	With Project	Change Resulting from Project (b) – (c)
2014			
2015			
2016			
Etc.			
Last Year of Project Life			
Comments:			

To complete Table 5, the applicant should use the following steps:

- Format a table that will display one of the physical benefits that are claimed for the project.
- Once the table has been appropriately formatted, provide the following information:
  - ❖ Row (1) Project name
  - ❖ Row (2) Identify the exact type of physical benefit being claimed
  - ❖ Row (3) Identify the units of the benefit claimed (e.g., acre-feet, mg/l, acres, average annual cubic feet per second (cfs))
  - ❖ Row (4) Additional information needed to explain this benefit
  - ❖ Column (b): This column should be completed if the project will increase physical benefits of an existing project, facility, or program. Enter the level (units) of the physical benefit for the without-project condition.
  - ❖ Column (c): enter the total amount of the physical benefit provided in the without-project condition, plus the amount of benefit provided by the project. If the project will delay or replace some other project entirely or in part, do NOT reduce the physical benefits in Column (c) for the amount of replacement.
  - ❖ Column (d): enter the result of subtracting Column (b) from Column (c) to determine the change in the amount of physical benefit resulting from the project.
  - ❖ Comment Box: Enter any sources and references, including page numbers, supporting the numbers used in this table, or other information as needed to explain entries.

Generally, the quantities provided for each year should be an average from a representative hydrologic period that reflects the development condition in that year, future demands, and facilities in place. In some cases, quantities in the early years might reflect incomplete projects and starting conditions as of the end of 2014.

If the same level of physical benefit is expected in every year of the project life, a Table 5 showing every year is not required. Rather, provide a Table 5 with one row showing (1) the years of project life in column (a); (2) the without-project amount of benefit, if applicable; (3) the with-project amount of benefit; and (4) the difference.

## **TECHNICAL ANALYSIS OF PHYSICAL BENEFITS CLAIMED**

For each project, the applicant must provide a narrative description of the primary and secondary expected physical benefits, which must address the following items:

- Technical basis of the project. If applicable, studies or documents supporting the projects must be clearly referenced (including specific page references). Documentation may include, but is not limited to: technical reports, feasibility studies, needs assessments, expert opinion or local knowledge, journals, etc.
- Recent and historical conditions that provide background for benefits to be claimed; for example, recent water shortages, loss of habitat or ecosystem function, and water quality problems.
- Estimates of without-project conditions (e.g., levels of the physical benefits in the future, without the project, but with other projects that might be planned).
- Description of methods used to estimate physical benefits.
- Identification of all new facilities, policies, and actions required to obtain the physical benefits.
- Description of any potential adverse physical effects.

Technical analysis detail should be commensurate with the size of the project.

## **COST EFFECTIVE ANALYSIS**

Applicants must conduct an analysis of each of the proposed projects. This analysis evaluates whether the physical benefits provided by the project are provided at the least possible cost. Applicants will perform this analysis by using Table 6 for each project.

Table 6 – Cost Effective Analysis

Table 6 – Cost Effective Analysis	
Project name: _____	
Question 1	Types of benefits provided as shown in Table 5
Question 2	Have alternative methods been considered to achieve the same types and amounts of physical benefits as the proposed project been identified?
	If no, why? If yes, list the methods (including the proposed project) and estimated costs.
Question 3	If the proposed project is not the least cost alternative, why is it the preferred alternative? Provide an explanation of any accomplishments of the proposed project that are different from the alternative project or methods.
Comments:	

## ***ATTACHMENT 4. WORK SUMMARY***

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

Attachment 4 is mandatory and must contain brief summaries of the anticipated tasks necessary to complete each project in the Proposal. Tasks should be organized by the four budget categories, as applicable: (a) Direct Project Administration, (b) Land Purchase/Easement, (c) Planning/Design/Engineering/Environmental Documentation, and (d) Construction/Implementation. The Work Summary should also identify the anticipated deliverables for each task. Discuss the current status of the project, including permitting activities, that indicates the current stage of each task. The Work Summary is limited to two pages (minimum 10-point type font) per project contained in the Proposal. Any information included beyond the two pages (for each project) will not be reviewed. Maps and figures will count against the page limitation, since they should be presented in Attachment 3, Project Justification.

The information contained in Attachment 4 will be used by DWR reviewers to score questions #6, 16 – 20 and 22 – 23 contained in Table 9.

Exhibit A provides an example of what will need to be generated by conditionally awarded applicants for their agreement with DWR. Please reference as necessary.

## ATTACHMENT 5. BUDGET SUMMARY

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

Attachment 5 is mandatory and includes the estimated capital costs of each project in the application. Attachment 5 should be presented in the following sub-sections:

- Project Budget Summary
- Proposal Budget Summary

Applicant does not need to include detailed supporting documentation for the budget estimates. However, applicant must describe how the budget shown is reasonable, based on current available information. The description must not exceed one page per project using a minimum 10-point type font.

The information contained in Attachment 5 will be used by DWR reviewers to score questions #4, 6, and 20 – 21 contained in Table 9.

### **Project Budget**

Table 7 must be completed for each project in the Proposal.

Table 7 – Project Budget					
Proposal Title: _____					
Project Title: _____					
Project serves a need of a DAC?: <input type="checkbox"/> Yes <input type="checkbox"/> No					
Funding Match Waiver request?: <input type="checkbox"/> Yes <input type="checkbox"/> No					
Category		(a)	(b)	(c)	(d)
		Requested Grant Amount	Cost Share: Non-State Fund Source* (Funding Match)	Cost Share: Other State Fund Source*	Total Cost
(a)	Direct 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*

### **Proposal Budget**

Table 8 must be completed as a summary or roll-up budget for the entire Proposal. The “Table 8 – Summary Budget” must be clearly marked as such.

Although the applicant should complete Table 8 column (e) for each individual project, for IRWM Implementation Grant funding, the minimum funding match requirement applies to the costs of the overall Proposal. Table 8 will be used to present the funding match for the Proposal, including documenting that the Proposal will meet the minimum requirement of at least 25% of the total costs. As discussed in the 2014 IRWM Drought Guidelines, the requirement for 25% funding match may be waived for projects that demonstrate they address a need of a DAC. See Attachment 8 for more information on how to request a funding match waiver.

Table 8 – Summary Budget

Proposal Title: _____		(a)	(b)	(c)	(d)	(e)
Individual Project Title		Requested Grant Amount	Cost Share: Non-State Fund Source (Funding Match)	Cost Share: Other State Funding Sources	Total Cost	% Funding Match (Col b/Col d)
(a)	Project 1	Grand Total <i>From Table 7, row (e)</i>	Grand Total <i>From Table 7, row (e)</i>	Grand Total <i>From Table 7, row (e)</i>	Grand Total <i>From Table 7, row (e)</i>	
(b)	Project 2					
(c)	Project 3...					
(d)	Project n					
(e)	Proposal Total <i>Sum rows (a) through (d) for each column</i>					
(f)	DAC Funding Match Waiver Total <i>Sum column (d) only for projects seeking DAC funding match waiver in rows (a) through (d)</i>	-	-	-		
(g)	Grand Total <i>Subtract row (f) from row (e) for column (d) and recalculate column (e)</i>	-	-	-		

If conditionally awarded funding, applicant will be required to submit to DWR a detailed Budget consistent with Exhibit B.

#### **ATTACHMENT 6. SCHEDULE**

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

Attachment 6 is mandatory and includes a schedule for implementation of the Proposal showing the sequence and timing of each of the proposed projects. Attachment 6 should be presented in the following sub-sections:

- Project Schedule
- A description of how each project schedule is realistic, reasonable, and accomplishable (not more than one page per project using a minimum 10-point type font)
- Proposal Schedule

The information contained in the sub-sections will be used by DWR reviewers to score questions #5 – 6 and 22 – 24 contained in Table 9.

#### **PROJECT SCHEDULE**

This solicitation is being expedited to assist RWMGs in addressing water management impacts resulting from the 2014 Drought and any anticipated or projected impacts if drought or dry year conditions continue into 2015, therefore DWR anticipates that projects being advanced will be ready to proceed as soon as possible. While not an eligibility requirement, Proposals that contain projects or programs which are not ready to proceed to construction/implementation on or before April 1, 2015, will not be able to achieve a perfect score for the Schedule scoring criterion. For construction projects, ready to proceed means that construction bids will be awarded by April 1, 2015.

The schedule must show the start and end dates as well as milestones for each task contained in the Work Summary and at minimum be presented in a tabular format, but a horizontal bar or Gantt chart format is preferred. The Schedule must also be organized in a manner that is consistent with the Work Summary and Budget. The schedule should illustrate any dependencies or predecessors by showing links between tasks. An assumed end date of the grant agreement will not be established by DWR, instead applicants must include a reasonable estimate

of the end date, based on their Proposal, including time for any final reports and invoicing. The schedule, Attachment 6 must be consistent with the Work Summary (Attachment 4) and the Budget (Attachment 5), and must use October 16, 2014 as the assumed award date of the grant.

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 one page per project using a minimum 10-point type font.

### **PROPOSAL SCHEDULE**

The applicant must include a schedule that briefly summarizes the Proposal's overall schedule.

### ***ATTACHMENT 7. PROGRAM PREFERENCES***

For the "AttachmentName" in the naming convention of GRanTS, use "Preference" for this attachment.

Attachment 7 is mandatory. Submit a discussion on how the Proposal assists in meeting the Program Preference(s) described in Section II.F of the 2014 IRWM Drought Guidelines. The discussion must identify the specific Program Preference(s) and the project that will meet the listed preference(s); also discuss the level of certainty that the project will meet the preference(s) and the breadth and magnitude to which the preference(s) will be met. In particular, describe any issues related to the Human Right to Water Policy and the IRWM region's effort to address the goal of the Human Right to Water Policy. For those proposals that include projects that assist in meeting the Human Right to Water goals, please describe how the proposed project(s) accomplishes this.

Attachment 7 will be used to score question #7 and, in the event of a tie, will also be used to score the Program Preferences tie-breaker criterion.

The Attachment 7 discussion must be limited to not more than one page per project using a minimum 10-point type font.

### ***ATTACHMENT 8. DISADVANTAGED COMMUNITY ASSISTANCE***

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

Attachment 8 is optional and is required only if the Proposal includes a project that specifically addresses a need of a DAC. DWR will use the information in Attachment 8 to evaluate the application with regard to DAC program preferences and waiver of funding match (if requested by the applicant).

### **DOCUMENTATION OF THE PRESENCE AND NEEDS OF A DAC**

DWR strongly recommends that applicants consult 2014 IRWM Drought Guidelines, Appendix G, to determine if the project area includes a DAC using the most recent data available. Applicants should ensure the description of the DAC is adequate for DWR to determine whether the communities meet the definitions.

- 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 MHI data.
- 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 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 (Appendix A of 2014 IRWM Drought Guidelines). 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.

- Describe the critical water supply and or water quality needs of the DACs you have identified. Please consult the 2014 IRWM Drought Guidelines to determine if the project qualifies. DWR will consider regional projects as meeting a need of DACs in proportion to the extent the project serves DACs and is verified to meet a critical water supply or water quality need as detailed in the 2014 IRWM Drought Guidelines.

## VI. REVIEW AND SCORING CRITERIA

First, applications will be screened for eligibility and completeness in accordance with Section V of the 2014 IRWM Drought Guidelines and Section II of this PSP. The information provided by applicants in GRanTS, as well as Attachments 1 through 8 of the application, will be used in determining eligibility and completeness. Applications that are complete and eligible will be scored based on the evaluation questions presented in Table 9 and the scoring criteria described below.

Questions 1 and 2 will be assigned a score by the review team within the range of points shown in Table 9 using the scoring standards listed in the text boxes below:

### Drought Impacts

Question 1 will assess the Region's Drought Impacts described in Attachment 2, associated with the following items:

- At risk of not meeting existing drinking water demands
- At risk of not meeting existing agricultural water demands
- At risk of not meeting ecosystem water demands
- Drinking water MCL violations
- Groundwater basin overdraft
- Discharge water TMDL violations
- Or other drought related adverse impacts

Points will be awarded to the proposals according to the magnitude of the region's drought impact, as follows:

- 5 points – Clearly demonstrates severe regional drought impacts
- 4 points – Clearly demonstrates high regional drought impacts or less than clearly demonstrated severe regional drought impacts
- 3 points – Clearly demonstrates moderate regional drought impacts or less than clearly demonstrated high regional drought impacts
- 2 points – Clearly demonstrates low regional drought impacts or less than clearly demonstrated moderate regional drought impacts
- 1 point – Demonstrates very low regional drought impacts or less than clearly demonstrated low regional drought impacts
- 0 points – Did not demonstrate regional drought impacts.

For the purposes of assessing the magnitude of drought impacts, the following definitions will be used

- Severe – The IRWM region has encountered or will likely encounter five or more of the above impacts by September 30, 2014.
- High – The IRWM region has encountered or will likely encounter three to four of the above impacts by September 30, 2014.
- Moderate – The IRWM region has encountered or will likely encounter one to three of the above impacts by September 30, 2014, but will likely encounter five or more by September 30, 2015 if dry year conditions continue into 2015.
- Low – The IRWM region has encountered or will likely encounter one of the above impacts by September 30, 2014, but will likely encounter three or more by September 30, 2015 if dry year conditions continue into 2015.
- Very Low – The IRWM region has not encountered or will not likely encounter any of the above impacts by September 30, 2014, but will likely encounter one to three by September 30, 2015 if dry year conditions continue into 2015.
- No impact – The applicant's region has not encountered any of the above impacts by September 30, 2014, and will not likely encounter any by September 30, 2015 if dry year conditions continue into 2015.

### Water Conservation Measures

Question 2 assesses the water conservations measures presented in Attachment 2. Points will be awarded based on the scoring scale listed below:

- 5 points to proposals where 80% or more of the water purveyors (wholesale or retail) requesting funding in the application (project proponents) have implemented mandatory or voluntary 20% water conservation measures.
- 4 points to proposals where between 79% – 60% of the water purveyor project proponents have implemented mandatory or voluntary 20% water conservation measures.
- 3 points to proposals where between 59% – 40% of the water purveyor project proponents have implemented mandatory or voluntary 20% water conservation measures.
- 2 points to proposals where between 39% – 20% of the water purveyor project proponents have implemented mandatory or voluntary 20% water conservation measures.
- 1 point to proposals where less than 20%, but more than 0% of the water purveyor project proponents have implemented mandatory or voluntary 20% water conservation measures.
- 0 points will be awarded to proposals where none of the water purveyor project proponents have implemented mandatory or voluntary 20% water conservation measures.

Question 7 will be scored for each application to determine whether the Proposal assists in addressing the Human Right to Water Policy. One (1) point will be assigned to applicants that demonstrate efforts designed to meet the goals of the Human Right to Water Policy and how policy applies to the IRWM region. One (1) additional point will be assigned for each project that demonstrates that the project will assist in meeting the goal of the Human Right to Water Policy. The maximum of possible score for this criterion is three (3).

In the event of a tie, Program Preferences will be scored as a “tie-breaker” criterion. One half point will be awarded for each Program Preference including the Statewide Priorities, listed in Table 1 of the 2014 IRWM Drought Guidelines that will be met through the implementation of the Proposal. The maximum tiebreaker score for this criterion is four (4) points, as shown in Table 9.

Each of the remaining question will be evaluated by the review team who will determine whether the question has been adequately addressed, by responding “yes” or “no”, for each project in the Proposal. A “yes” answer will result in the project receiving the available point(s) for the question. A “no” will result in zero (0) points being awarded. There are some questions that may not be applicable to certain types of projects. The applicant must explain in the attachments above how these questions are not pertinent to the project(s). If the technical reviewer agrees with this characterization, the response would be “N/A” which is equivalent to a “yes”, otherwise, the response would be “no.”

The Proposal score for each criterion will be determined by summing each individual project’s total score, dividing the summation by the number of projects, and then rounding up or down to the nearest whole number.

## VII. CONTINGENT AWARD

Awards made in this solicitation are contingent upon receiving additional information from the RWMG. As part of Attachment 1 of the grant application, applicants have signed an acknowledgement regarding contingency terms, the necessary additional information and the required thirty (30) calendar day response period. If an applicant fails to produce the requested materials within the thirty (30) calendar days of written award notification, this may result in delayed execution of the grant agreement or revocation of the conditional award of funds. In the event that a conditional award of funds is returned or revoked, then DWR will consider awarding the funds to the next competitive, eligible applicant.

Table 9 – Scoring Criteria and Standards

Q#	Questions	Attachment(s)	Points Available	
<b>Proposal Level Evaluation</b>				
1	Does the Proposal clearly demonstrate the regional water management impact(s) due to the 2014 drought or any anticipated impacts if the drought or dry year conditions continue into 2015?	2	5	
2	Did the Project Proponent identify the mandatory or voluntary water conservation measures/restrictions that have been implemented due to the 2014 drought or any planned or anticipated actions if drought or dry year conditions continue into 2015?	2	5	
3	Is there a map of the IRWM Region that shows the location of the project(s) included in the Proposal?	3	1	
4	Does the Budget contain a summary budget for the Proposal?	5	1	
5	Does the Schedule contain a summary schedule for the Proposal?	6	1	
6	Collectively, do the Work Summary, Budget, and Schedule demonstrate that a majority of the projects will be ready to start construction/implementation by April 1, 2015?	4, 5, & 6	2	
7	Enter up to 3 points for proposals that address the Human Right to Water	7	3	
<b>Total for Proposal Level</b>			<b>18</b>	
<b>Project Level Evaluation</b>		<b>Attachment(s)</b>	<b>Points Available</b>	<b>Project Name/ID Add 1 column/ Project</b>
8	Is a brief description of the project included?	3	1	
9	Is there a project map that shows the location of the project and the areas and water resources affected by the project?	3	1	
10	Does the applicant clearly explain how the proposed project will help alleviate the identified drought impacts?	3	2	
11	Is each physical benefit annualized over the lifecycle of the project?	3	1	
12	Are the anticipated primary and secondary physical benefits of the project described and quantified?	3	1	
13	Is the level of technical analysis reasonable considering the size of the project and the type of physical benefit claimed?	3	1	
14	Does the technical analysis support the claimed physical benefits?	3	2	
15	Is the proposed project the least cost alternative? If not, does the applicant sufficiently explain why it was selected instead of the least cost alternative?	3	1	
16	Does the applicant discuss the necessary tasks that will result in a completed project?	4	1	
17	Do the tasks in the scope of work include appropriate deliverables (i.e., CEQA documents, plans and specifications, monitoring plans, progress reports, final report, etc.)?	4	1	
18	Does the Work Summary include a project status that indicates the current stage of each task (e.g., % complete)?	4	1	
19	If applicable, does the Work Summary include a listing of required permits and their status, and the appropriate environmental documentation for the proposed project? (N/A = Yes)	4	1	
20	Are the tasks shown in the Budget consistent with the tasks discussed in the Work Summary?	4 & 5	1	
21	Are the costs presented in the Budget reasonable for the project type and the current stage of the project?	5	1	

Table 9 – Scoring Criteria and Standards

Q#	Questions			
22	Are the tasks in the schedule consistent with the tasks described in the Work Summary?	4 & 6	1	
23	Does the schedule demonstrate that it is reasonable to expect that the project will start construction/implementation by April 1, 2015?	4 & 6	1	
24	Does the application describe the steps necessary to ensure that the proposed schedule can be met?	6	1	
<b>Total Project Level Score for all projects</b>			<b>19</b>	
<b>Project Level Criterion Score</b>				
<b>Insert Average Total by Project = (Total Project Score/# of Projects); rounded to nearest whole number</b>				
<b>Total Proposal Score</b>			<b>Maximum Possible Score</b>	
<b>Enter Proposal Level Criterion Score</b>			<b>18</b>	
<b>Enter Project Level Criterion Score</b>			<b>19</b>	
<b>Grand Total (Sum Above Two Rows)</b>			<b>37</b>	
<b>Possible Additional Tie-Breaker Points from Program Preferences Section</b>			<b>4</b>	
<b>Maximum possible points in the event of a tie</b>			<b>41</b>	

## EXHIBIT A Work Plan

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

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

The Work Plan must also contain the following items:

- For each project, a concise description of each task needed to complete the project and the current status of each task (including estimated % complete). Also include a brief overview of work already completed and work to be performed.
- Grant reporting tasks including the submittal of Quarterly Progress Reports, Invoices, and Final Reports.
- Procedures for coordinating with its partner agencies and organizations that may receive funding from the grant including any contracts, memorandums of understanding (MOUs), and other formal agreements.
- A brief overview of standards, such as construction standards, health and safety standards, laboratory analysis, or accepted classifications methods that will be used in implementation.
- A Project Performance Monitoring Plan for the project(s) listed in the Proposal. Project Performance Monitoring Plan requirements are discussed below.
- A discussion of the status of acquisition of land or rights-of-way. If a funded project requires land to be purchased and/or an easement to be acquired, include a list of needed parcels for each project and the status of the acquisition. If land and/or easement acquisition is not applicable, state as such.
- A listing of all necessary permits and the status of securing such permits.
- A plan for the preparation and completion of requirements to comply with the CEQA, NEPA, and other environmental laws. 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 D of the 2014 IRWM Drought Guidelines for further information.
- Submittal of the necessary plans and specifications.

Table A-1 provides an outline of a typical work plan that may be submitted for this grant program. Individual tasks may vary; however, ensure they are consistent with the budget and schedule that will also be incorporated into the grant agreement. Table A-1 is an example. It is not required to present tasks in a tabular format.

**Table A-1 – Typical Scope of Work Outline**

**Category (a): Direct Project Administration**

**Task 1: Administration:** [Description of work]

**Deliverables:** Preparation of invoices and other deliverables as required.

**Task 2: Labor Compliance Program:** [Description of work]

**Deliverable:** Submission of Labor Compliance Program

**Task 3: Reporting:** [Description of work]

**Deliverables:** Submission of quarterly and final reports as specified in the Grant Agreement.

**Category (b): Land Purchase/Easement**

**Task 4: Land Acquisition:** [Description of work]

**Deliverables:** Proof of Title Transfer.

**Category (c): Planning/Design/Engineering/Environmental Documentation**

**Task 5: Assessment and Evaluation:** [Description of work]

**Deliverables:** Technical studies

**Task 6: Final Design:** [Description of work]

**Deliverables:** Completion of project plans and specifications at the final level.

**Task 7: Environmental Documentation:** [Description of work]

**Deliverable:** Approved and adopted CEQA/NEPA documentation

**Task 8: Permitting:** [Description of work]

**Deliverables:** Section 1602, 401, 402, 404, etc.

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

**Task 9: Construction Contracting:** [Description of work]

**Deliverables:** Advertisement for bids; pre-bid contractors meeting; evaluation of bids; award contract

**Task 10: Construction:** [Description of work]

**Subtask 10.1 Mobilization and Site Preparation:** [Description of work]

**Subtask 10.2 Project Construction:** [Description of work]

**Subtask 10.3 Performance Testing and Demobilization:** [Description of work]

**Deliverables:** Site photos, Project Completion Certificate, etc.

**Task 11: Environmental Compliance/Mitigation/Enhancement:** [Description of work]

**Task 12: Construction Administration:** [Description of work]

The following provides guidance for developing a Project Performance Monitoring Plan to track performance of each project that received funding. Project Performance Monitoring plans must describe the tools that will be used to monitor project performance and set interim targets (or milestones) that will be used to track the project’s pace in meeting the benefits claimed above; indicate where the data will be collected and the types of analyses to be used; explain how the monitoring tools and targets are appropriate for the benefits claimed; and include a discussion of how monitoring data will be used to measure performance.

Project Performance Monitoring Plan should include the following items and may be presented in a tabular format, as shown in Table A-2:

- Proposed Physical Benefits
- Measurement tools and methods – to effectively track performance
- Targets – measurable targets that are feasible to meet during the life of the project(s)

**Table A-2 – Project Performance Monitoring**

Project: _____		
Proposed Physical Benefits	Measurement tools and methods	Targets

## EXHIBIT B Budget

The exhibit provides guidance for developing the supporting documentation for Table 7, Project Budget. The supporting documentation will be necessary for the development of the grant agreement. The costs shown in the budget must reflect the relevant labor code compliance requirements and the applicability of prevailing wage laws as explained in Section IV of the 2014 IRWM Drought Guidelines. The budget should also identify funding for the Data Management and Monitoring Deliverables identified in the Project Justification section of the Proposal, including any data sharing efforts with the applicable State databases.

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.
- Funding match (i.e., Grantee's non-state cost share) can include, subject to DWR approval, eligible costs borne by the applicant or individual project proponent before January 17, 2014 but after January 1, 2010. A minimum funding match for each proposal is 25% of the total costs of the Proposal. Proposals that include one or more projects that meet the needs of a DAC, as described in the 2014 Guidelines, may request a reduction or waiver of the required funding match. The 25% minimum funding match is calculated based on the total proposal cost [column (d) from Table 8], less any total project costs for qualified DAC projects. For example, if the total proposal cost as shown in column (d), Table 8 is \$10,000,000 and the Proposal includes a DAC project cost of \$1,000,000, then the new total proposal cost for calculating the minimum 25% funding match is now \$9,000,000.
- Any other State funds being used that will not come from this grant should be entered in column (c) of Tables 7 and 8. State Revolving Funds (SRF) are considered State funds; therefore, cannot be used as funding match, and should be entered in column (c) of Tables 7 and 8. American Recovery and Reinvestment Act funds are not considered State funds and may be used as funding match (entered in column (b) of Tables 7 and 8).
- Tasks that are completely supported by funding match.

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) Direct Project Administration Costs**

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 encouraged to limit administrative costs proposed to be reimbursed by the grant to less than 5% of the total proposal costs. Such administrative costs expenses are necessary costs incidentally, but directly related to the project including an appropriate pro-rata allocation of overhead and administrative expenses that are regularly assigned to all such projects in accordance with the standard accounting practices of the grantee.

### **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 funding match, include whether it is a proposed acquisition or whether

the land is already owned by the applicant or partner agency/organization. If the land is already owned by the applicant or partner agency/organization, indicate when the land was purchased (to be an eligible cost it must be after January 1, 2010), 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 funding match.

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

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

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

- 10% (Conceptual) Design – The 10% design shows project siting and the layout of major facilities. No specifications are provided. Design analysis has been started and is nearing completion. Background geologic, seismic literature research has been performed. A listing of project objectives, environmental or infrastructure constraints is provided.
- 30 % (Concept) Design – The 30% design shows project siting and all project appurtenances. Some detail is provided for each of the disciplines (such as civil, structural, mechanical, and geology). Design analysis should be complete at this stage. A rough listing of specifications required for the project is provided. Preliminary geologic and foundation studies have been performed.
- 60% Design – The 60% design is the same as for the 30% design submittal, with more details provided for each design discipline, including electrical, and traffic control, if applicable. Standard details and outline specifications, including the front end and technical portion, are provided. Foundation studies completed, lab testing performed, structural analysis and/or modeling performed, permitting underway.
- 90% (Pre-final) Design – The 90% design is the final, un-stamped, submittal. Complete plans and specifications are prepared, and a detailed itemized cost estimate is included.
- 100% (Final) Design – The 100% design is the design package that will be advertised for project award for construction/implementation of 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 Table 7 to determine the total cost of the project.

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