

TO: BOARD OF DIRECTORS
FROM: BRUCE BUEL *BB*
DATE: MAY 4, 2007

**AGENDA ITEM
E-5
MAY 9, 2007**

DISCUSS PROPOSITION 50 PHASE II GRANT COMPETITION

ITEM

Discuss State of California Phase II Proposition 50 Grant Competition [PROVIDE POLICY GUIDANCE].

BACKGROUND

The State Water Resources Control Board (SWRCB) and the Department of Water Resources (DWR) recently published the attached "Grant Program Guidelines and Proposal Solicitation Packages". The SWRCB/DWR grant competition has been expedited with an August 1, 2007 submittal deadline. As set forth in the Guidelines, SWRCB/DWR have reserved a TOTAL of \$61 Million for Northern California (Including SLO County) of which no one grant can exceed \$25 Million. Although the guidelines allow individual agencies to submit a proposal it is very clear that such proposals will not be funded. NCSD's best opportunity to access some of these grant funds would be to participate in a regional submittal, however, SLO County Public Works staff is NOT recommending that NCSD be included in their proposed submittal (See attached WRAC staff note). In a meeting between NCSD staff and SLO County Public Works Staff, SLO County Public Works staff indicated that NCSD's Supplemental Water Project is not ready for inclusion and the grant to cost ration was not favorable in spite of the fact that importation of supplemental water to the Nipomo Mesa is a high priority in the adopted Integrated Regional Water Management Plan. The County does propose to hold at least one public workshop on the selection before the proposed submittal is presented to the Board of Supervisors for approval.

RECOMMENDATION

Staff believes that importation of supplemental water to the Nipomo Mesa should be one component of the Phase II Grant Submittal. Staff recommends that your Honorable Board direct the President and the General Manager to argue for inclusion of NCSD's Supplemental Water Project in the Submittal.

ATTACHMENTS

- State Grant Program Guidelines and Solicitation Packages
- SLO County WRAC Staff Note

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**Proposition 50 Chapter 8
Integrated Regional Water Management
Grant Program Guidelines
Proposal Solicitation Packages
Round 2
April 2007**

PUBLIC REVIEW DRAFT



California Environmental Protection Agency
State Water Resources Control Board
Division of Financial Assistance



The Resources Agency
Department of Water Resources
Division of Planning and Local Assistance

FOREWORD

This document contains the Guidelines and Proposal Solicitation Packages (PSPs) for Round 2 of the Proposition 50 Integrated Regional Water Management (IRWM) Grant Program. In Round 2, the California Department of Water Resources (DWR) and the California State Water Resources Control Board (State Water Board) are soliciting proposals for IRWM Implementation Grants. The application process for Proposition 50 IRWM Implementation Grants is a two step process. DWR and the State Water Board encourage qualified interested parties to submit an Implementation Grant, Step 1 proposal. After review of the Step 1 proposals DWR and State Water Board will invite selected Implementation Grant, Step 1 applicants to submit an Implementation Grant, Step 2 proposal. Submittal of Proposals in this second step is by invitation only. This document contains the procedures for submitting Step 1 and Step 2 applications for grant funding and the detailed scoring criteria for each step.

IRWM GRANT PROGRAM WEBSITES

DWR and State Water Board will use the internet as a communication tool to notify interested parties of the status of Round 2 and to convey pertinent information. Information will be posted at the following websites:

<http://www.waterboards.ca.gov/funding/irwmgp/index.html>

<http://www.grantsloans.water.ca.gov/grants/integregio.cfm>

MAILING LIST

In addition to use of the above-referenced websites, DWR and the State Water Board will distribute information via email. If you are not already on the IRWM mailing list and wish to be placed on it, please e-mail your contact information to:

IRWM_GRANTS@water.ca.gov

POINTS OF CONTACT

For questions about the Guidelines or PSPs, please contact Mr. Norman Shopay, DWR, at (916) 651-9218 (nshopay@water.ca.gov) or Mr. Scott Couch, State Water Board, at (916) 341-5658 (scouch@waterboards.ca.gov).

For questions about the State Water Board's Financial Assistance Application Submittal Tool (FAAST), please contact FAAST staff by phone at (866) 434-1083, Monday through Friday, 8 a.m. – 5 p.m., or by email at faast_admin@waterboards.ca.gov. Information regarding the FAAST is available at the following secure link:

<https://faast.waterboards.ca.gov>

FILL-ABLE TABLES

Applicants are encouraged to use the fill-able excel spreadsheet versions of the various tables provided in the PSPs which can be found at the following link:

<http://www.grantsloans.water.ca.gov/grants/integregio.cfm>

ACRONYMS AND ABBREVIATIONS USED IN THESE GUIDELINES AND APPENDICES

Basin Plan	Regional Water Quality Control Plan
BF	Benefit Factor
CEQA	California Environmental Quality Act
CWC	California Water Code
DCR	Disadvantaged Community Ratio
DWR	Department of Water Resources
FAAST	Financial Assistance Application Submittal Tool
GWMP	Groundwater Management Plan
IRWM	Integrated Regional Water Management
MB	Megabyte
MHI	Median Household Income
MP	Monitoring Plan
NEPA	National Environmental Policy Act
NPS	Non-Point Source
PAEP	Performance Assessment and Evaluation Plan
PIN	Proposal Identification Number
PSP	Proposal Solicitation Package
QAPP	Quality Assurance Project Plan
Regional Water Board	Regional Water Quality Control Board
RFMF	Reduced Funding Match Factor
ROD	Record of Decision
State Water Board	State Water Resources Control Board
TMDL	Total Maximum Daily Load
USCB	United States Census Bureau
UWMP	Urban Water Management Plan

INTEGRATED REGIONAL WATER MANAGEMENT ROUND 2 GRANT PROGRAM GUIDELINES IMPLEMENTATION GRANTS ONLY

I. PURPOSE

The purpose of these guidelines is to establish the process and criteria that the California Department of Water Resources (DWR) and the California State Water Resources Control Board (State Water Board) will use to jointly solicit applications, evaluate proposals, and award grants for the second round of funding from the Proposition 50 Integrated Regional Water Management (IRWM) Grant Program (Round 2). In Round 2, DWR and the State Water Board will only solicit implementation grant proposals.

Also included in these guidelines are the Proposal Solicitation Packages (PSP), which contain specific submittal instructions and required content of proposals.

II. INTRODUCTION AND OVERVIEW

Proposition 50, the Water Security, Clean Drinking Water, Coastal and Beach Protection Act of 2002, was passed by California voters in November 2002. It amended the California Water Code (CWC) to add, among other articles, Section 79560 *et seq.*, authorizing the Legislature to appropriate \$500 million for IRWM projects. The IRWM grant funding is being disbursed via two rounds of grant proposal solicitations. Detailed information on Round 1 of the IRWM Grant Program (completed in March 2007) is available at the following links:

<http://www.grantsloans.water.ca.gov/grants/integregio.cfm>

<http://www.waterboards.ca.gov/funding/irwmgp/index.html>

The intent of the IRWM Grant Program is to encourage integrated regional strategies for management of water resources and to provide funding for projects that protect communities from drought, protect and improve water quality, and improve local water security by reducing dependence on imported water.

A. Usage of Terms

To foster understanding and clarity DWR and the State Water Board will use the following terms consistently in these guidelines:

- ◆ “Plan” refers to an IRWM Plan or the collection of individual planning documents that function as an IRWM Plan.
- ◆ “Application” refers to the electronic or hard copy submission to DWR and the State Water Board that requests grant funding for a proposal that the applicant intends to implement.
- ◆ “Eligible Grant Recipient” refers to public agencies or non-profit organizations as defined in [Section III.A](#).
- ◆ “Proposal” refers to a project or suite of projects and actions that are proposed for funding.
- ◆ “Project” refers to an individual effort included in the proposal that may be construction of physical facilities or implementation of non-structural actions.
- ◆ “Round 1” and “Round 2” refer to the two separate cycles to solicit, review, and approve grant funding for IRWM grants. Round 1 occurred between November 2004 (approval of the IRWM Guidelines) and March 2007 (award for the final Round 1 grants).
- ◆ “Step 1 and “Step 2” refer to the individual phases of the Implementation Grant solicitation. The Step 1 phase is an open invitation to eligible grant recipient. Step 2 is by invitation only to selected Step 1 applicants.

B. Funding

In Round 2 Implementation Grants will be provided to eligible grant recipients to implement projects that meet the requirements of the CWC § 79560 *et seq.* Eligibility requirements are contained in [Section III](#). Approximately \$64 million is available in Round 2. Funding will be awarded on a competitive basis with the following limitations:

- ◆ In order to meet the funding distribution requirements, See Section II.F, a maximum of approximately \$21 million **may be** made available to [Northern California](#).
- ◆ Up to \$64.5 million will be awarded to proposals located in [Southern California](#).

FIGURE 1



C. Maximum Grant Amount

In Round 2 DWR and the State Water Board are capping the implementation grant amount at \$25 million. Round 1 IRWM Implementation grant awards will be considered as part of the maximum grant amount. Therefore, regions that have previously received a \$25 million grant award will not be eligible for additional funding from Round 2. Figure 1 shows the locations of previous Implementation Grant awards. The dark shaded areas have received \$25 million in grant funding and will not be considered for funding in Round 2, apart from the exceptions listed below. The light shaded areas have received grants for less than \$25 million and will be considered for funding up to a combined Round 1 and Round 2 total of \$25 million. To clarify the boundaries of the shaded areas, please contact the DWR Point of Contact listed in the Foreword.

IRWM efforts located wholly or partially within the dark shaded areas on Figure 1 may be eligible to apply under certain circumstances, as follow:

- ◆ Efforts organized to develop an Integrated Coastal Watershed Management Plan containing project that eliminate or significantly reduce pollution in impaired waters and sensitive habitat areas, including areas of special biological significant, as identified in Section II.E, Program Preferences. To be eligible, an Integrated Coastal Watershed Management Plan must meet the IRWM Plan Standards, including the Minimum Plan Standards, and will be scored using the same [Scoring Criteria](#).
- ◆ Regions that only partially overlap the dark shaded areas in Figure 1 may be eligible to apply for funding if they can make a compelling demonstration that the region has fundamentally different objectives and needs, a separate and distinctly different process and stakeholder groups, and is coordinating with the neighboring region(s) where appropriate. Potential applicants are strongly urged to contact, prior to submitting a Step 1 application, the DWR and State Water Board Points of Contact listed in the Foreword to discuss their eligibility.

D. Minimum Funding Match Requirements

The applicant is required to provide a funding match. “Funding match” means funds made available by the grant recipient from non-state sources. Funding match may include, but is not limited to, federal funds, local funding, or donated services from non-state sources. For a State agency, funding match may include state funds and services. The required minimum funding match for an Implementation Grant will be 10 percent of the total proposal costs. (CWC § 79505.5(b-c))

E. Program Preferences

The CWC and implementing legislation specifies that preference will be given to specific project types. These program preferences are reflected in the scoring criteria and will be taken into consideration during the review process ([Section V.F](#)). As applicable, preference will be given to proposals that:

- ◆ Include integrated projects with multiple benefits;
- ◆ Support and improve local and regional water supply reliability;
- ◆ Contribute expeditiously and measurably to the long-term attainment and maintenance of water quality standards;
- ◆ Eliminate or significantly reduce pollution in impaired waters and sensitive habitat areas, including areas of special biological significance; or
- ◆ Include safe drinking water and water quality projects that serve disadvantaged communities.

[Appendix E](#) includes a listing of web links for accessing information on the Program Preferences.

DWR and the State Water Board will also give preference to proposals that address environmental justice concerns.

F. Geographic Scope

Proposals from throughout California will be considered for funding. CWC § 79564.(a) requires that not less than 40% of the funds will be available for eligible projects in Northern California and not less than 40% will be available for eligible projects in Southern California.

G. Proposal Solicitation

Approximately \$64 million will be released in Round 2. Proposed projects must meet one or more of the objectives of protecting communities from drought, protecting and improving water quality, and improving local water security by reducing dependence on imported water and include at least one of the water management elements listed in [Section III.C](#). The Implementation Grant Program is designed for projects that are ready for or nearly ready to proceed to implementation.

A two-step process will be used to evaluate the Implementation Grant proposals. Implementation Grant applications must be submitted by regional agencies or groups. The applicant must provide documentation of the following:

- ◆ Complete copy of the IRWM Plan, with proof of formal adoption;
- ◆ Demonstrated consistency with [IRWM Plan Standards](#) (CWC § 79562.5(b));
- ◆ Description of specific implementation project(s) for which funding is being requested;
- ◆ Prioritization of proposed projects listed in the IRWM Plan and within the proposal; and
- ◆ [Funding match](#).

The IRWM Step 1 Implementation Grant proposals will be evaluated based on the scoring criteria identified in Appendix C, Table C.2. Selected applicants will be invited to submit a Step 2 application, Section V.G. The Step 2 proposals will be evaluated based on the scoring criteria in Appendix C, Table C.5.

III. ELIGIBILITY REQUIREMENTS

A. Eligible Grant Recipients

Eligible grant recipients are public agencies and non-profit organizations, as defined below:

- ◆ “Public agency” means a city, county, city and county, district, joint powers authority, a state agency or department, or other political subdivision of the State.
- ◆ “Non-profit organization” means any California corporation organized under Section 501(c)(3), 501(c)(4), or 501(c)(5) of the federal Internal Revenue Code.

Other entities, including, but not limited to privately owned water utilities regulated by the Public Utilities Commission and tribal governments, may be part of the [regional water management group](#) responsible for applying for a grant and may perform work funded by the grant.

B. Eligibility Criteria

Applications for IRWM grants must meet all relevant Eligibility Criteria in order to be considered for funding. The Eligibility Criteria are as follows:

- ◆ Urban Water Management Planning Act Compliance – Water suppliers who were required by the Urban Water Management Planning Act (CWC § 10610 *et seq.*) to submit an Urban Water Management Plan to DWR by December 2005 must have submitted a plan to be eligible for IRWM grant funding. Applicants and participating agencies that are urban water suppliers and have projects that would receive funding through the IRWM grant program must have a complete Urban Water Management Plan by the time a grant is awarded to be eligible to receive funding.
- ◆ Groundwater Management Plan Compliance – For groundwater management and recharge projects and for projects with potential groundwater impacts, the applicant or the participating agency responsible for such projects must demonstrate that either:
 - ◆ They have prepared and implemented a Groundwater Management Plan in compliance with CWC § 10753.7,
 - ◆ They participate or consent to be subject to a Groundwater Management Plan, basin-wide management plan, or other IRWM program or plan that meets the requirements of CWC §10753.7(a);

- ❖ The proposal includes development of a Groundwater Management Plan that meets the requirements of CWC § 10753.7 which will be completed within 1-year of the grant application submittal date (for the purposes of these Guidelines, the Step 2 application submittal date), or
- ❖ They conform to the requirements of an adjudication of water rights in the subject groundwater basin.
- ◆ Consistency with an adopted IRWM Plan – An applicant's IRWM implementation proposal must be consistent with an adopted IRWM Plan that meets the minimum IRWM Plan standards as shown in Appendix A. For Round 2, DWR and the State Water Board will require that the applicant demonstrate that the IRWM Plan is adopted prior to submittal of a Step 2 application. To be eligible to submit a Step 1 application using a Draft IRWM Plan, the applicant must demonstrate that the Draft IRWM Plan undergone a formal, publicly noticed review and comment period. A minimum 30 calendar day public review and comment period is required and that public review and comment period must have been completed prior to submission of the Step 1 application.

C. Eligible Proposals/Project Types

Eligible proposal must meet one or more of the objectives of protecting communities from drought, protecting and improving water quality, and improving local water security by reducing dependence on imported water which must include one or more of the following water management elements (CWC § 79561):

- ◆ Programs for water supply reliability, water conservation, and water use efficiency;
- ◆ Storm water capture, storage, treatment, and management;
- ◆ Removal of invasive non-native plants, the creation and enhancement of wetlands, and the acquisition, protection, and restoration of open space and watershed lands;
- ◆ NPS pollution reduction, management, and monitoring;
- ◆ Groundwater recharge and management projects;
- ◆ Contaminant and salt removal through reclamation, desalting, and other treatment technologies;
- ◆ Water banking, water exchange, water reclamation, and improvement of water quality;
- ◆ Planning and implementation of multipurpose flood control programs that protect property; and improve water quality, storm water capture and percolation; and protect or improve wildlife habitat;
- ◆ Watershed management planning and implementation; and
- ◆ Demonstration projects to develop new drinking water treatment and distribution methods.

On-stream or off-stream surface water storage facilities **are not** eligible for funding (CWC § 79560). For Implementation Grant funding, flood control and watershed management projects must include an implementation component.

IV GENERAL PROGRAM REQUIREMENTS

A. Conflict of Interest

All participants are subject to State and federal conflict of interest laws. Failure to comply with these laws, including business and financial disclosure provisions, will result in the application being rejected and any subsequent grant agreement being declared void. Other legal action may also be taken. Before submitting an application, applicants are urged to seek legal counsel regarding conflict of interest requirements. Applicable statutes include, but are not limited to, California Government Code § 1090 and California Public Contract Code §§ 10410 and 10411.

B. Confidentiality

Once the proposal has been submitted to DWR and the State Water Board, any privacy rights, as well as other confidentiality protections afforded by law with respect to the application package will be waived.

C. Labor Code Compliance

California Labor Code § 1771.8 requires the body awarding a contract for a public works project financed in any part with funds made available by Proposition 50 to adopt and enforce a labor compliance program pursuant to California Labor Code § 1771.5(b). Compliance with applicable laws, including California Labor Code provisions, will become an

obligation of the grant recipient under the terms of the grant agreement between the grant recipient and the granting agency. California Labor Code § 1771.8 appears to provide, where applicable, that the grant recipient's Labor Compliance Program must be in place at the time of awarding of a contract for a public works project by the grant recipient.

Before submitting an application, applicants are urged to seek legal counsel regarding California Labor Code compliance. See [Appendix E](#) for web links to the California Department of Industrial Relations.

D. Modification of a River or Stream Channel

Projects that include modification of a river or stream channel must fully mitigate environmental impacts resulting from the modification (See California Fish and Game Code § 1602). The applicant must provide documentation that the environmental impacts resulting from such modification will be fully mitigated considering all of the impacts of the modification and any mitigation, environmental enhancement, and environmental benefit resulting from the project, and whether, on balance, any environmental enhancement or benefit equals or exceeds any negative environmental impacts of the project. (CWC § 79560 and § 79560.1(b))

E. CEQA Compliance

Activities funded under Proposition 50 must be in compliance with the California Environmental Quality Act (CEQA) (Public Resources Code § 21000 *et seq.*). See [Appendix E](#) for web links to CEQA information and the State Clearinghouse Handbook. (CWC § 79506)

F. CALFED Program Consistency

Any project that assists in meeting one or more of the CALFED Bay-Delta Program goals must be consistent with the CALFED Programmatic Record of Decision and must be implemented, to the maximum extent possible, through local and regional programs. See [Appendix E](#) for web links to the CALFED Programmatic Record of Decision. (CWC § 79509)

G. Monitoring Requirements

Any groundwater projects and projects that affect groundwater shall include groundwater monitoring requirements consistent with the Groundwater Quality Monitoring Act of 2001 (Part 2.76 [commencing with § 10780] of Division 26 of the CWC). Projects that affect water quality shall include a monitoring component that allows the integration of data into statewide monitoring efforts, including, but not limited to the surface water ambient monitoring program carried out by the State Water Board. See [Appendix E](#) for web links to the State Water Board's monitoring and reporting requirements.

H. Watershed Management Plan Consistency

Any watershed protection activities must be consistent with the applicable, adopted, local watershed management plans and the applicable Regional Water Quality Control Plan (Basin Plan) adopted by the Regional Water Quality Control Board (Regional Water Board). See [Appendix E](#) for web links to the Basin Plans. (CWC § 79507)

I. Waiver of Litigation Rights

Grant agreements funded by the State Water Board will specify that under no circumstance may a Grantee use funds from any disbursement under the grant agreement to pay costs associated with any litigation the Grantee pursues against the State Water Board or any Regional Water Board, regardless of the outcome of any such litigation, and notwithstanding any conflicting language in the grant agreement, the Grantee agrees to complete the Project funded by the grant agreement or to repay the grant funds plus interest.

V. PROPOSAL SELECTION

A. Solicitation Notice

DWR and the State Water Board will solicit grant proposals with the Step 1 and Step 2 PSPs for Implementation Grants that are contained in Appendix C. The PSPs provide detailed instructions on the mechanics of submitting proposals and specific information on submittal requirements. The PSPs are also available on DWR and the State Water Board websites listed in the Foreword. A solicitation notice will be e-mailed to all interested parties on the IRWM Grant Program mailing list. Paper copies of the PSPs will be made available upon request.

B. Applicant Assistance Workshops

Informational workshops will be conducted to address applicant questions and to provide general assistance to applicants in preparing Step 1 and Step 2 grant applications. The date and location of the Step 1 workshop is provided in Section IV, Schedule. The dates and locations of the Step 2 workshops will be included in the Step 2 "Call Back" announcement and posted at the DWR and the State Water Board websites listed in the Foreword. In addition to these informational workshops, applicants are encouraged to seek assistance from DWR and State Water Board staff in understanding IRWM Grant Program requirements and completing grant applications.

C. Proposal Submittal

The Implementation Grant application process will be a combination of an electronic on-line submittal and a hard copy submittal. Applicants must submit a complete application on-line using the State Water Board's Financial Assistance Application Submittal Tool (FAAST). The on-line FAAST applications will be made available at the following secure link:

<https://faast.waterboards.ca.gov>

The specific instructions, including the attachment naming convention referenced in Appendix B, Attachment Instruction, and details for submitting the Step 1 and Step 2 applications will be provided in the solicitation notice and posted at the DWR and State Water Board websites listed in the Foreword. Applications must contain all required items listed in the PSPs.

D. Completeness Review

All information requested in the PSP must be provided. Each application will first be evaluated in accordance with the PSP for completeness. If certain sections are not relevant to a particular applicant or proposal, the applicant must clearly state the rationale for such determination. **Applications not containing all required information will not be reviewed or considered for funding.**

E. Eligibility Review

Complete applications will be evaluated for compliance with eligibility criteria, Section III. **Applications that are determined to be ineligible will not be reviewed or considered for funding.**

F. Review Process

The Step 1 and Step 2 applications will both use the review process detailed here. All complete and eligible proposals will be evaluated and scored by technical reviewers. The group of technical reviewers for each proposal will include one representative each from DWR headquarters, the State Water Board, and the applicable Regional Water Board or DWR District. At least three technical reviewers will be assigned to each eligible proposal. Furthermore, DWR and the State Water Board may request technical reviewers from other agencies, and will assign reviews based on technical elements of the proposals.

The technical reviewers will individually score proposals in accordance with scoring criteria in Appendix C, Tables C-2 and C-5, as applicable. The review and score will be based on the merit of the entire proposal as a whole versus the merit of an individual component. Following completion of the individual technical reviews, the reviewers will discuss the proposals and develop a consensus review and score.

Applications that are complete and eligible will be scored based on the scoring criteria presented in each PSP. Each criterion will be scored on a scale of 1 to 5, with a 1 being “low” and a 5 being “high.” The score for each criterion will then be multiplied by the weighting factor shown in the Scoring Criteria Table of each PSP.

Where standard scoring criteria are applied, points will be assigned for a criterion as follows:

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

Following completion of the consensus scoring of all eligible proposals, DWR and the State Water Board will convene a Selection Panel to review the technical scores and comments. The Selection Panel will generate a preliminary ranking list of the proposals and make the “Call Back” list recommendations for Step 1, Section V.G below, or the initial funding recommendations for Step 2. When developing the ranking list, the Selection Panel will consider the following items:

- ◆ Amount of funds available,
- ◆ Consensus review and score,
- ◆ Program Preferences ([Section II.E](#)), and
- ◆ Geographic Scope ([Section II.F](#)).

The Selection Panel may recommend reducing individual grant amounts from that requested in order to meet geographic scope funding targets (Section II.F) and available funding limitations for DWR and the State Water Board.

G. Step 2 Call Back Process

The Implementation Grant Program is a two-step process. Based on the review process discussed above, DWR and the State Water Board will invite selected Step 1 applicants to submit a Step 2 application. Submittal of Step 2 applications is by invitation only. DWR and the State Water Board will notify the Step 1 applicants of the Call Back list by email and will post the list of applicants invited to submit Step 2 applications (Call Back list) at the DWR and State Water Board websites listed in the Foreword.

A public meeting will be held to present the Call Back list and to accept public comments on the Step 1 process. When developing the Call Back list, DWR and the State Water Board will consider available funding and geographic scope. In general the Call Back list will be limited to 1.5 to 2 times the amount of funding requests to available funding for each geographic area, i.e. Northern California and Southern California.

H. Applicant Notification and Public Meeting

The list of Step 2 proposals recommended for funding will be posted on DWR and the State Water Board websites and the applicants will be notified of the availability of the recommended funding list.

The recommended funding list will be presented at a public meeting held by DWR and the State Water Board to solicit public comments on the proposed funding recommendations. Interested parties will be notified of the public meeting by a news release informing the public of the date, time, and location of the meeting and by a notice placed on DWR and the State Water Board websites listed in the Foreword.

I. Funding Awards

Based on the individual proposal evaluations, the preliminary ranking list and initial funding recommendations developed by the Selection Panel, and the comments received during a public comment period, DWR and the State Water Board will approve a final funding list and the associated funding commitments. DWR’s Director will approve the final funding list through DWR’s existing administrative procedures. State Water Board approval will take place at a State Water Board

meeting. Following approval by DWR and the State Water Board, the selected grant recipients will receive a commitment letter officially notifying them of their selection for a grant, the grant amount, and the granting agency.

J. Grant Agreement

Although the grant solicitation and selection process is being implemented jointly by DWR and the State Water Board, the grant funding will be managed separately. Grant agreement oversight will be coordinated between DWR and the State Water Board depending on the scope of the proposal.

Following funding commitment, the granting agency will execute a grant agreement with the grant recipient. Grant agreements are not executed until signed by authorized representative of the grant recipient and the granting agency. An example grant agreement template can be found at the DWR and State Water Board websites listed in the Foreword.

In the event that an applicant is selected for grant funding, the following conditions will need to be met prior to execution of a grant agreement:

- ◆ **Fiscal Statements:** The Grantee must submit copies of the most recent three years of audited financial statements, for each agency or organization proposed to receive grant funding for a selected Proposal. The submittal must also include: 1) balance sheets, statements of sources of income and uses of funds, a summary description of existing debts including bonds, and the most recent annual budget; 2) separate details for the water enterprise fund, if applicable to an agency or organization; 3) a list of all cash reserves, restricted and unrestricted, and any planned uses of those reserves; and 4) any loans required for project funding and a description of the repayment method of any such loans.
- ◆ **CEQA/NEPA:** Grantee must demonstrate that it has complied with all applicable requirements of the CEQA and the National Environmental Policy Act (NEPA) by submitting copies of the appropriate environmental documents.

DWR and the State Water Board encourage collaboration to enhance the integration of water management throughout regions of California. Parties that wish to collaborate on a proposal may elect to use a contractor-subcontractor relationship, a joint venture, a joint powers authority, or other appropriate mechanism.

K. Funding Match Waiver or Reduction

The requirement for funding match may be waived or reduced to the extent that applicants demonstrate that the proposal will: 1) encompass a region that includes at least one [disadvantaged community](#), 2) include representatives of the disadvantaged communities in the planning process, and 3) be designed to provide direct benefits to the disadvantaged community(ies). Such reductions in the required funding match percentage would be in proportion to the percentage of disadvantaged population served relative to the entire population in the region. Exhibit 6 provides more detail on the procedures for waiving or reducing the funding match.

L. Reimbursement of Costs

[Reimbursable costs](#) are as defined in Appendix D. Only work performed **after** the effective date of the grant agreement will be eligible for reimbursement. Costs incurred after March 20, 2007, and prior to the effective date of a grant agreement are not eligible for reimbursement. However, these costs may be considered, at the Granting Agency's discretion, as a part of the applicant's funding match. **Advance funds cannot be provided.**

IV. SCHEDULE

The schedule below shows the program timeline from release of the Final Implementation Grant, Step 1 PSP through final approval Implementation Grants, Step 2 grant awards. Updates for the events listed in this schedule may be required. The Step 2 Call Back announcement will include the Step 2 application due date. When finalized, an updated schedule will be posted on both the DWR and the State Water Board web sites. Updates may also be advertised through fliers, e-mail announcements, and news releases.

TABLE 3 - ROUND 2 SCHEDULE	
DATES SHOWN IN <i>ITALICS</i> ARE TENTATIVE DATES	
MILESTONE OR ACTIVITY	SCHEDULE
Release Final IRWM Guidelines and PSPs	<i>June 2007</i>
Step 1 IRWM Implementation Grant Applicant Workshops <i>California Environmental Protection Agency 1000 I Street Sacramento, CA, 95814 This workshop will be broadcast via the internet at the following website: http://www.calepa.ca.gov/Broadcast/ California Towers Building 3737 Main Street Riverside, CA 92501</i>	<i>July 2007</i>
Implementation Grant, Step 1 applications must be submitted via FAAST to the State Water Board by 5:00 p.m. Applications submitted after 5 p.m. on the due date will not be reviewed or considered for funding.	August 1, 2007
Invite selected applicants to submit Implementation Grant, Step 2 applications and hold Call Back meeting.	<i>November 2007</i>
Step 2 IRWM Implementation Grant Applicant Workshop <i>Number and location of workshops will be provided in the Step 2 Solicitation Notice</i>	<i>December 2007</i>
Implementation Grant, Step 2 applications must be submitted via FAAST to the State Water Board by 5:00 p.m. Applications submitted after 5 p.m. on the due date will not be reviewed or considered for funding.	<i>January 2008</i>
Public meeting to discuss initial funding recommendations	<i>May 2008</i>
DWR and the State Water Board approval of final grant awards	<i>June 2008</i>

APPENDIX A

IRWM PLAN STANDARDS

In order to receive funding from the Proposition 50 IRWM Grant Program, an IRWM Plan must meet the standards outlined in this Appendix. The Plan must address all of the following topics.

- A. **Regional Agency or Regional Water Management Group** – Describe the regional water management group or regional agency responsible for development and implementation of the Plan. Include the member agencies and organizations and their management responsibilities related to water. Demonstrate that all agencies and organizations, including but not limited to, public agencies, not-for-profit organizations, and privately owned water utilities regulated by the Public Utilities Commission, that were necessary to address the objectives and water management strategies of the Plan were involved in the planning process.
- B. **Region Description** – Explain why the region is an appropriate area for integrated regional water management. Describe internal boundaries within the region (boundaries of municipalities; service areas of individual water, wastewater, and land use agencies, including those not involved in the Plan; groundwater basin boundaries, watershed boundaries, county boundaries, etc.), major water related infrastructure, and major land-use divisions. Describe the quality and quantity of water resources within the region, including surface waters, groundwater, reclaimed water, imported water, and desalted water. Describe water supplies and demand for a minimum 20-year planning horizon. Describe important ecological processes and environmental resources within the regional boundaries and the associated water demands to support environmental needs. Describe the social and cultural makeup of the regional community; identify important cultural or social values. Describe economic conditions and important economic trends within the region.

In certain cases, individual agencies or organizations may participate in different regional efforts depending on geography, Plan objectives, or other relevant factors. For such cases, the application should include an explanation of why participation in various regional efforts is appropriate.

- C. **Objectives** – Identify IRWM Plan objectives and the manner in which they were determined. The Plan must address major water related objectives and conflicts within the region, including, at a minimum, water supply, groundwater management, ecosystem restoration, and water quality.
- D. **Water Management Strategies** – Document the range of water management strategies considered to meet the objectives. Strategies to be considered include but are not limited to:

Table A-1 – Water Management Strategies**	
<ul style="list-style-type: none"> ◆ Ecosystem Restoration* ◆ Environmental and habitat protection and improvement* ◆ Water Supply Reliability* ◆ Flood management* ◆ Groundwater management* ◆ Recreation and public access* ◆ Storm water capture and management* ◆ Water conservation* ◆ Water quality protection and improvement* ◆ Water recycling* ◆ Wetlands enhancement and creation* 	<ul style="list-style-type: none"> ◆ Conjunctive use ◆ Desalination ◆ Imported water ◆ Land use planning ◆ NPS pollution control ◆ Surface storage ◆ Watershed planning ◆ Water and wastewater treatment ◆ Water transfers

* Pursuant to CWC §§ 79562.5 and 79564, these water management strategies must be considered to meet the minimum IRWM Plan Standards.

** To be eligible for future funding pursuant to California Public Resources Code § 75026(a), IRWM Plans will need to consider all of the resources management strategies identified in the California Water Plan (<http://www.waterplan.water.ca.gov/>).

- E. **Integration** – Present the mix of water management strategies selected for inclusion in the Plan and discuss how these strategies work together to provide reliable water supply, protect or improve water quality, and achieve other objectives. Include a discussion of the added benefits of integration of multiple water management strategies, as compared to stand alone alternatives.
- F. **Regional Priorities** – Include short-term and long-term priorities for implementation of the Plan. Discuss the process used to determine the regional priorities and the process for modifying priorities in response to regional changes.
- G. **Implementation** – Identify specific actions, projects, and studies, ongoing or planned, by which the Plan will be implemented. Identify the agency(ies) responsible for project implementation and clearly identify linkages or interdependence between projects. Demonstrate economic and technical feasibility on a programmatic level. Identify the current status of each element of the Plan, such as existing infrastructure, feasibility, pilot or demonstration project, design completed, etc. Include timelines for all active or planned projects and identify the institutional structure that will ensure Plan implementation.
- H. **Impacts and Benefits** – Discuss at a screening level the impact and benefits from Plan implementation. Include an evaluation of potential impacts within the region and in adjacent areas from Plan implementation. Identify the advantages of the regional plan; including a discussion of the added benefits of the regional plan as opposed to individual local efforts. Identify which objectives necessitate a regional solution. Identify interregional benefits and impacts. Describe the impacts and benefits to environmental justice or disadvantaged communities. Include an evaluation of impacts/benefits to other resources, such as air quality or energy.
- I. **Technical Analysis and Plan Performance** – Include a discussion of data, technical methods, and analyses used in development of the Plan. Include a discussion of measures that will be used to evaluate Project/Plan performance, monitoring systems that will be used to gather performance data, and mechanisms to adapt project operations and Plan implementation based on performance data collected.
- J. **Data Management** – Include mechanisms by which data will be managed and disseminated to stakeholders and the public, and include discussion of how data collection will support statewide data needs. Assess the state of existing monitoring efforts for water quantity and water quality, and identify data gaps for which additional monitoring is needed.
- If the Plan includes a water quality component, include a discussion of the integration of data into the State Water Board's Surface Water Ambient Monitoring Program and Groundwater Ambient Monitoring and Assessment Program. [Appendix E](#) provides a listing of web links for accessing information on the State Water Board's statewide data management strategies.
- K. **Financing** – Identify beneficiaries and identify potential funding/financing for Plan implementation. Discuss ongoing support and financing for operation and maintenance of implemented projects.
- L. **Statewide Priorities** – Identify issues of statewide significance or State agency priorities that will be met or contributed to by implementation of the Plan, proposal, or specific projects. Describe how the Plan, proposal, or specific projects were developed to meet issues of statewide significance or State agency priorities.
- M. **Relation to Local Planning** – Discuss how the IRWM Plan relates to planning documents and programs established by local agencies. Demonstrate coordination with local land-use planning decision-makers. Discuss how local agency planning documents relate to the IRWM strategies and the dynamics between the two planning documents. Discuss the linkages between the Plan and local planning documents.
- N. **Stakeholder Involvement** – Identify stakeholders included in developing the Plan. Identify how stakeholders were identified, how they participate in planning and implementation efforts, and how they can influence decisions made regarding water management. Include documentation of stakeholder involvement such as inclusion of signatory status or letters of support from non-agency stakeholders, i.e. those who have not “adopted” the Plan. Include a discussion of mechanisms and processes that have been or will be used to facilitate stakeholder involvement and communication during implementation of the Plan. Discuss watershed or other partnerships developed during the planning process. Discuss disadvantaged communities within the region and their involvement in the planning process. Discuss efforts to identify and address environmental justice needs and issues within the region. Identify possible obstacles to Plan implementation.
- O. **Coordination** – Identify State or federal agencies involved with strategies, actions, and projects. Identify areas where a State agency or other agencies may be able to assist in communication, cooperation, or implementation of Plan components or processes, or where State or federal regulatory decisions are required for implementation.

For Implementation Grant applications to be considered for funding, the proposed or adopted Plans must meet all of the following minimum standards:

- ◆ Must be adopted by all appropriate agencies and organizations prior to submittal of the Step 2 application;
- ◆ Participation of at least three agencies, two of which have statutory authority over water management, which may include water supply, water quality, flood control, or storm water management;
- ◆ Provides a map of the region showing the local agencies in the area covered by the Plan and the location of the proposed implementation projects;
- ◆ Contains one or more regional objectives;
- ◆ Documents that the following water management strategies were considered (CWC §§ 79562.5 and 79564) when formulating the IRWM Plan:
 - ◇ Water supply reliability,
 - ◇ Groundwater management,
 - ◇ Water quality protection and improvement,
 - ◇ Water recycling,
 - ◇ Water conservation,
 - ◇ Storm water capture and management,
 - ◇ Flood management,
 - ◇ Recreation and public access,
 - ◇ Ecosystem restoration,
 - ◇ Wetlands enhancement and creation, and
 - ◇ Environmental and habitat protection and improvement;
- ◆ Integrates two or more water management strategies listed in [Table A-1](#); **and**
- ◆ Presents project prioritization and a schedule for project implementation to meet regional needs.

APPENDIX B

ATTACHMENT INSTRUCTIONS

Applicants must submit a complete application on-line using the State Water Board Financial Assistance Application Submittal Tool (FAAST). The on-line FAAST applications for Round 2 will be made available at the following secure link:

<https://faast.waterboards.ca.gov>

Applicants are encouraged to review the FAAST User Manual and Frequently Asked Questions, also available at the above link for questions about completing the online application. In necessary, DWR and the State Water Board may make minor technical and administrative changes to these Attachment Instructions. Applicants will be notified of any changes via email and the changes will be posted on the web sites listed in the Foreword.

A complete application consists of all the following items:

1. Electronic submittal of an application through the State Water Board's FAAST system (any attachment exceeding 10 megabytes (MB) in size cannot be uploaded to FAAST, see instructions below).
2. Four (4) hard copies (preferably double-sided) of attachments (as applicable) submitted to the State Water Board.
3. A CD containing copies of the referenced material (such as documents listed in the Step 2 PSP, Attachment 6, Scientific and Technical Merit).

Applications may include attachments with supplemental materials such as design plans and specifications, detailed cost estimates, feasibility studies, pilot projects, additional maps, diagrams, letters of support, copies of agreements, or other applicable items. Applicants are encouraged to submit attachments and supporting documentation in an electronic format. All applications materials, including attachments and supporting documentation, must be provided by the submittal deadline. Any material submitted after the deadline will not be reviewed or considered for funding.

All CDs and the cover page of any hard copy documents must be clearly labeled with the applicant name, proposal title, grant program name, and Proposal Identification Number (PIN) (assigned in FAAST). All portions of the application, FAAST submittal, CD, and hard copies must be received by the due date and hour. Late submittals will not be reviewed.

File size for each attachment submitted via FAAST is limited to 10 MB. 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. Any application attachments larger than 10 MB must be delivered to the State Water Board on a CD and received before the deadline. The address for mailing or hand delivery of hard copy and CD application components will be provided in the Solicitation Notice and posted on the website listed in the Foreword.

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

Att#_RND2Step#_PIN_AttachmentName_#ofTotal#

Where:

- ◆ "Att#" is the attachment number;
- ◆ "RND2Step#"
 - ◇ Use RND2Step1 for Step 1 applications and
 - ◇ Use RND2Step2 for Step 2 applications;
- ◆ "PIN" is the applicant's 4-digit Step 2 PIN assigned by FAAST;
- ◆ "AttachmentName" is the name of the attachment as specified in Section IV – Requirements for Attachments; and
- ◆ "#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 Step 2 Attachment 3 – Work Plan for applicant with PIN "1234" is made up of 3 files, the second file in the set would be named "Att3_RND2Step2_1234_WorkPlan_2of3".

APPENDIX C IMPLEMENTATION GRANTS

C.1 PROPOSAL SOLICITATION PACKAGE FOR STEP 1

This section describes the required elements of an Implementation Grant, Step 1 application and presents the Step 1 PSP. **Prospective applicants should review the entire IRWM Grant Program guidelines with specific emphasis on the IRWM Plan standards (Appendix A) and the scoring criteria (Table C-2) prior to submitting their application to ensure that their submittals meet the IRWM Program requirements.** Applicants must submit a complete application by the deadline specified in Table 3, Schedule. The grant application consists of seven sections outlined in Table C-1, Step 1 Checklist, which is provided as a guide for the applicants to ensure that they have submitted the required information for a complete Step 1 application.

TABLE C-1 – STEP 1 CHECKLIST	
1.	<p>GENERAL INFORMATION <i>The following fields must be completed:</i></p>
<input type="checkbox"/>	<u>Project Title</u> – Provide title of the proposal. If this item is not completed FAAST will not accept the application.
<input type="checkbox"/>	<u>Project Description</u> – Provide a brief description of the proposal, approximately 1-2 paragraphs. The length of the Project Description is limited to 1,000 characters including spaces and returns. If this item is not completed FAAST will not accept the application.
<input type="checkbox"/>	<u>Project Director</u> – Provide the name and details of person responsible for executing grant agreement for applicant. Persons that are subcontractors to be paid by the grant cannot be listed as the Project Director.
<input type="checkbox"/>	<u>Grant Funds Requested</u> – Provide amount of grant funds requested for the proposal in dollars.
<input type="checkbox"/>	<u>Local Cost Match</u> – “Local Cost Match” is the same as “Funding Match” in the Guidelines. Provide Funding Match for the proposal in dollars.
<input type="checkbox"/>	<u>Total Budget</u> – Provide total cost for the proposal in dollars.
The amounts provided in these three fields can be estimated amounts. Detailed information must be provided in Step 2. This information will be used by DWR and the State Water Board in the Step 2 Call Back Process, Section V.G.	
<input type="checkbox"/>	<u>Latitude/Longitude</u> – Enter Latitude/Longitude coordinates of the approximate mid-point of the region in degrees using decimal format. Additionally, applicants must also submit a digital geographic file (NAD 27 UTM 10 shapefile) with Attachment 1.
<input type="checkbox"/>	<u>Watershed</u> – Provide name(s) of watershed(s) the region covers. If the region covers multiple watersheds, list only the primary watershed. Do not enter “multiple”; see Item 7, Q3 below.
<input type="checkbox"/>	<u>County</u> – Provide county where the region is located. If the region covers multiple counties, select “Multiple Counties” from the drop down list; see Item 7, Q4 below.
<input type="checkbox"/>	<u>Responsible Regional Water Board</u> – Provide the name of the Regional Water Board where the region is located. If the region extends beyond more than one Regional Water Board boundary, select “Statewide” from the drop down list; see Item 7, Q5 below. If this item is not completed FAAST will not accept the application.
2.	<p>FUNDING PROGRAMS Select the IRWM Implementation Grant, Round 2, Step 1 Program. If this item is not completed FAAST will not accept the application.</p>
3.	<p>PROJECT MANAGEMENT Enter the applicant’s Federal Tax ID. 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. Provide the name and the contact information of the Project Director from the applicant agency or organization that will be the Authorized Representative from the applicant organization to submit the application and execute a grant agreement.</p>
4.	<p>LEGISLATIVE INFORMATION Enter the State assembly, State senate, and U.S. congressional districts where the region is located. For regions that include more than one district, please enter each district. Look at tables provided in FAAST to assist with determining the appropriate districts.</p>
5.	<p>AGENCY CONTACTS If the applicant has been collaborating with State and Federal agencies (DWR, Regional Water Board, State Water Board, U.S. Environmental Protection Agency, etc.) in proposal development, please provide agency name, agency contact first and last name, phone, and e-mail address. This information is used to identify individuals that may have an understanding of a proposal and in no way indicates an advantage or disadvantage in the ranking process.</p>

TABLE C-1 – STEP 1 CHECKLIST

6. <input type="checkbox"/>	COOPERATING ENTITIES Include entities that have/will assist applicant in proposal development or implementation. Provide name(s) of cooperating entity(ies), role/contribution to proposal, first and last name of entity contact, phone number, and e-mail address.
7.	APPLICATION QUESTIONNAIRE <i>When entered into FAAST the answers to these questions will be used in processing the application and determining eligibility and completeness.</i>
<input type="checkbox"/>	Q1. Additional Information: Based on the region's location, what is the applicable DWR district (Northern, Central, San Joaquin, or Southern)? The following link can be used to view each district's boundaries: http://www.water.ca.gov/nav.cfm?topic=Local_Assistance&subtopic=Groundwater .
<input type="checkbox"/>	Q2. Additional Information: What are the names and numbers of the groundwater basins underlying the region? The following link can be used for further information on groundwater basin names and numbers: http://www.groundwater.water.ca.gov/bulletin118/ .
<input type="checkbox"/>	Q3. Additional Information: For a region that encompasses multiple watersheds, list the names of the watersheds other than the primary watershed.
<input type="checkbox"/>	Q4. Additional Information: For a region that encompass multiple counties, list the name of each county.
<input type="checkbox"/>	Q5. Additional Information: For a region that encompasses more than one Regional Water Board boundary, list the name of each Regional Water Board.
<input type="checkbox"/>	Q6. Additional Information: Does the agency or organization have an adopted IRWM Plan? Yes or No. If the answer is yes, please enter the adoption date. If the answer is no, please enter the anticipated adoption date. The IRWM Plan must be adopted before submittal of a Step 2 application to be eligible for IRWM grant funding.
<input type="checkbox"/>	Q7. Major Water Issues: Briefly describe the major water related issues within the region.
<input type="checkbox"/>	Q8. Objectives: Briefly describe the objectives for the IRWM plan.
<input type="checkbox"/>	Q9. Stakeholders: List any major stakeholders that are/will participate in the IRWM Plan that were not identified in Item 5, above.
<input type="checkbox"/>	Q10. Completeness: Have all of the fields in the application been completed? If no, please explain.

APPLICATION ATTACHMENTS

Provide the attachments listed below by attaching files to the FAAST application or providing a CD as required. For instructions on attaching files, please refer to the FAAST User Manual. The naming convention for these attachments, and the requirements for information to be included in these attachments, is found in Guidelines, Appendix B, Attachment Instructions.

ATTACHMENT #	ATTACHMENT TITLE	
<input type="checkbox"/>	Attachment 1	Adopted IRWM Plan and Proof of Formal Adoption
<input type="checkbox"/>	Attachment 2	Consistency with Minimum IRWM Plan Standards
<input type="checkbox"/>	Attachment 3	Consistency with IRWM Plan Standards
<input type="checkbox"/>	Attachment 4	Disadvantaged Communities – Environmental Justice

C.2. REQUIREMENTS FOR ATTACHMENTS – STEP 1

Attachments 1 through 4 are required attachments for all IRWM Implementation Grants, Step 1 Proposals. Failure to submit any of Attachments 1 through 4 will make the application incomplete, and it will not be reviewed or considered for funding ([Guidelines](#), Section V.E). A discussion of each of these attachments is provided below.

ATTACHMENT 1. ADOPTED IRWM PLAN AND PROOF OF FORMAL ADOPTION

For the “AttachmentName” in the application naming convention, See Appendix B, use “IRWMPlan” for this attachment.

For applicants with an adopted IRWM Plan – submit an electronic copy of the adopted Plan with proof of formal adoption (i.e. a signature page, with dates of signature) for all agencies and organizations approving the Plan or other documentation that the Plan has been adopted.

Copy of document found at www.NoNewWipTax.com

For applicants without an adopted IRWM Plan – submit an electronic copy of the most recent draft Plan in its most current state. The applicant must also provide documentation that the draft Plan has undergone a formal, publicly noticed review and comment period, consistent with the requirements of Section III.B. If a Plan has not been adopted, then the applicant must also provide a detailed schedule showing the major steps and milestones needed to ensure that a Plan will be adopted before submittal of the Step 2 application.

Applicants must submit a geographic file depicting the region (NAD 27 UTM10 shapefile) as part of this attachment.

ATTACHMENT 2. CONSISTENCY WITH MINIMUM IRWM PLAN STANDARDS

For the “AttachmentName” in the application naming convention, See Appendix B, use “MinStd” for this attachment. Attachment 2 must be no more than 3 pages in length using a minimum 10-point type font.

Document how the Plan meets the Minimum IRWM Plan Standards as described in Appendix A of the Guidelines. In Attachment 2 of the application, discuss the manner in which the Plan meets each of the Minimum IRWM Plan Standards presented in the Guidelines. **To be eligible for funding, the applicant must document that its Plan meets the Minimum IRWM Plan Standards, Appendix A.**

ATTACHMENT 3. CONSISTENCY WITH IRWM PLAN STANDARDS

For the “AttachmentName” in the application naming convention, See Appendix B, use “ConsisStand” for this attachment. Attachment 3 must be no more than 6 pages in length using a minimum 10-point type font.

Using the requirements shown in Appendix A of the Guidelines, document how the Plan addresses each standard listed. Applicants should structure Attachment 3 such that it has sub-sections that address each standard shown in the Appendix A of the Guidelines, i.e. “A. Regional Agency or Regional Water Management Group”, “B. Region Description”, etc. Within each sub-section address how the Plan meets the requirements stated in the Guidelines for that standard and cross-reference sections (page number) of the Plan that address the relevant IRWM Plan Standard.

ATTACHMENT 4. DISADVANTAGED COMMUNITIES – ENVIRONMENTAL JUSTICE

For the “AttachmentName” in the application naming convention, See Appendix B, use “DACEJ” for this attachment. There is no page limitation for Attachment 4; however, applicants are encouraged to be clear and concise.

As defined in Appendix D, a disadvantaged community is a community with an annual Median Household Income (MHI) that is less than 80% of the statewide annual MHI. Using Census 2000 data, 80% of the statewide annual MHI is \$37,994 and, using U. S. Census Bureau data for 2003, 80% of the statewide annual MHI is \$38,752. Attachment 4 must include information on the presence of any disadvantaged communities in the region. Document how the Plan identifies any disadvantaged communities in the Region and the specific critical water-related needs of such communities. Discuss what mechanisms were used in development of the Plan to ensure participation of disadvantaged communities.

Document how the Plan identifies any water-related Environmental Justice concerns for the Region. Discuss what mechanisms were used in development of the Plan to ensure that implementation of the Plan addresses Environmental Justice concerns.

C.3 SCORING CRITERIA – STEP 1

The entire review process is discussed in detail in Guidelines, Section V. Applications will first be screened for eligibility and completeness. Applications that are complete and eligible will be scored based on the scoring criteria presented in Table C-2, Step 1 Scoring Criteria. Each criterion will be scored based on the general scoring standard contained in Guidelines, Section V.F or as presented below.

The evaluation criterion labeled “Consistency with Minimum IRWM Standards” is a Pass/Fail ranking. If the application fails this criterion, then the application will not be scored or considered for funding.

The evaluation criterion “Adopted IRWM Plan and Proof of Adoption” will be scored as follows:

- ◆ A score of 5 will be awarded if the applicant has a Plan that has been formally adopted by submittal of the Step 1 application, August 1, 2007.
- ◆ A score of 1 will be awarded for applicants that have not formally adopted a Plan by submittal of the Step 1 application, August 1, 2007.

Table C-2 – Step 1 Scoring Criteria

Scoring Criteria	Weighting Factor	Maximum Score
Adequacy of IRWM Plan		
<p>Consistency with Minimum IRWM Plan Standards <i>Shown in Attachments 1 and 2.</i> <i>This evaluation will focus on whether the applicant has demonstrated that the IRWM Plan meets the minimum standards:</i> Will the IRWM Plan be adopted by all participating agencies or organizations by June 1, 2008? Does the Regional Agency or Regional Water Management Group include at least three local public agencies, two of which have statutory authority over water management? Was a map of the region showing the member agencies involved in the IRWM Plan and the location of the proposed implementation projects included? Does the IRWM Plan include one or more regional objectives? Does the IRWM Plan document that the following minimum water management strategies were considered: water supply reliability, groundwater management, water quality protection and improvement, water recycling, water conservation, storm water capture and management, flood management, recreation and public access, wetlands enhancement and creation, ecosystem restoration, and environmental and habitat protection and improvement? Does the IRWM Plan include the integration of at least two or more water management strategies or elements? Does the IRWM Plan include a project prioritization and a schedule for project implementation to meet regional needs?</p>	Pass/Fail	
<p>Consistency with IRWM Plan Standards <i>Shown in Attachment 3.</i> <i>In addition to the pass/fail evaluation above, the IRWM Plan will be evaluated against the entire set of IRWM standards.</i></p>		
<p>Adopted IRWM Plan and Proof of Formal Adoption <i>Scoring will be based on whether the IRWM Plan has been/will be adopted.</i> Did the applicant submit documentation of formal adoption of the IRWM Plan by August 1, 2007?</p>	1	5
<p>Regional Description <i>Scoring will be based on whether the applicant has adequately described the IRWM Plan region, and whether the defined region is appropriate to the planning and implementation.</i> Was a map or maps, with accompanying descriptive narrative, showing the region encompassed by the IRWM Plan provided? Did the map/maps include appropriate internal boundaries to the region, major water related infrastructure, and major land-use divisions within the region? Did the IRWM Plan describe the current and future water resources of the region? Did the applicant explain why the region is an appropriate area for regional water management? Did the applicant describe the quality and quantity of water resources within the region? Did the applicant describe water supplies and demand for a minimum 20-year planning horizon? Were important ecological processes and environmental resources within the regional boundaries discussed? Did the IRWM Plan discuss the social and cultural makeup of the regional community; identify important cultural or social values; and describe economic conditions and important trends within the region?</p>	1	5
<p>Objectives <i>In addition to meeting the minimum standard for this criterion, scoring will be based on whether the applicant has adequately described appropriate IRWM Plan objectives.</i> Did the IRWM Plan identify regional planning objectives and the manner in which they were determined? Does the IRWM Plan address major water related objectives and conflicts in the region covered by the Plan?</p>	1	5
<p>Water Management Strategies & Integration <i>In addition to meeting the minimum standard for this criterion, scoring will be based on how well the IRWM Plan integrates a wide range of water management strategies.</i> Did the IRWM Plan describe the range of water management strategies that were considered to meet the objectives of the plan? Was a brief discussion of why a water management strategy was not applicable provided? Did the applicant discuss how these strategies work together to provide reliable water supply, protect or improve water quality, and achieve other objectives? Was a discussion of the added benefits of integration of multiple water management strategies provided, as compared to stand alone alternatives?</p>	1	5

Table C-2 – Step 1 Scoring Criteria

Scoring Criteria	Weighting Factor	Maximum Score
<p>Regional Priorities <i>Scoring will be based on whether the IRWM Plan has adequately described the priorities of the region.</i> Was a presentation of regional priorities for implementation provided? Did the applicant identify short-term and long-term implementation priorities? Does the IRWM Plan discuss how: 1) decision-making will be responsive to regional changes; 2) responses to implementation of projects will be assessed; and 3) project sequencing may be altered based on implementation responses?</p>	1	5
<p>Implementation <i>Scoring will be based on whether the IRWM Plan is implementable and implementation steps are well documented.</i> Does the IRWM Plan identify specific actions, projects, and studies, ongoing or planned, by which the Plan will be implemented? Did the IRWM Plan include timelines for active or planned projects? Did the applicant identify the entities responsible for project implementation? Were the linkages or interdependence between projects clearly identified? Was the economic and technical feasibility of projects demonstrated on a programmatic level? Was the current status of each element of the IRWM Plan presented? Was the institutional structure that will ensure plan implementation discussed?</p>	1	5
<p>Impacts & Benefits <i>Scoring will be based on whether the IRWM Plan clearly and fully describes the impacts and regional benefits of the Plan.</i> Does the IRWM Plan include an evaluation of potential negative impacts within the region and in adjacent areas from its implementation? Does the IRWM Plan include the advantages of the regional plan as opposed to individual local efforts? If applicable, does the IRWM Plan identify interregional benefits and impacts? If applicable, did the applicant describe the benefits to disadvantaged communities? Was an evaluation of impacts/benefits to other resources provided?</p>	1	5
<p>Technical Analysis and Plan Performance <i>Scoring will be based on whether the IRWM Plan is based on sound scientific and technical analysis and includes measures to assess performance.</i> Did the IRWM Plan include a discussion of data, technical methods, and analyses used in selection of water management strategies? Were data gaps identified? Did the IRWM Plan discuss measures that will be used to evaluate project/plan performance, monitoring systems that will be used to gather performance data, and mechanisms to adapt project operation and plan implementation based on performance data collected?</p>	1	5
<p>Data Management <i>Scoring will be based on whether the IRWM Plan provides for management of data generated during plan development and implementation</i> Does the IRWM Plan include mechanisms by which data will be managed and disseminated to stakeholders and the public? Was a discussion of how data collection will support statewide data needs provided? Did the IRWM Plan assess the state of existing monitoring efforts, both for water supply and water quality? If applicable, did the IRWM Plan discuss the integration of data into the State Water Board's Surface Water Ambient Monitoring and Groundwater Ambient Monitoring Assessment Programs?</p>	1	5
<p>Financing <i>Scoring will be based on whether the IRWM Plan describes a feasible program of financing for implementation of projects.</i> Did the IRWM Plan identify beneficiaries and identify potential funding/financing for plan implementation? Does the IRWM Plan discuss ongoing support and financing for operation and maintenance of implemented projects?</p>	1	5

Table C-2 – Step 1 Scoring Criteria

Scoring Criteria	Weighting Factor	Maximum Score
<p>Relation to Local Planning <i>Scoring will be based on whether the IRWM Plan is well coordinated with local planning and management efforts.</i> Did the IRWM Plan discuss how the identified actions, projects, or studies relate to planning documents established by local agencies? Does the IRWM Plan demonstrate coordination with local land-use planning decision-makers? Did the IRWM Plan discuss how local agency planning documents relate to the IRWM water management strategies and the dynamics between the two levels of planning documents?</p>	1	5
<p>Stakeholder Involvement & Coordination <i>Scoring will be based on whether development and implementation of the IRWM Plan includes stakeholder involvement through a collaborative regional process</i> Does the IRWM Plan identify stakeholders and the process used for inclusion of stakeholders in development of the plan? Does the process include a discussion of how: <ul style="list-style-type: none"> • Stakeholders are identified, • They participate in planning and implementation efforts, and • They can influence decisions made regarding water management? Did the IRWM Plan document public outreach activities specific to individual stakeholder groups? Does the IRWM Plan include a discussion of mechanisms and processes that have been or will be used to facilitate stakeholder involvement and communication during plan implementation? Are partnerships developed during the planning process discussed? Did the application discuss environmental justice concerns? Did the application discuss disadvantaged communities within the region and their involvement in the planning process? Were any possible obstacles to IRWM Plan implementation identified? Was coordination with State or federal agencies discussed? Did the IRWM Plan identify areas where a State agency or agencies may be able to assist in communication or cooperation, or implementation of plan components or processes, or identify any state or federal regulatory actions required for implementation?</p>	1	5
<p>Disadvantaged Communities – Environmental Justice <i>Shown in Attachment 4.</i> <i>Scoring will be based on the degree that disadvantaged communities will benefit from the proposed project(s).</i> Did the Plan identify the disadvantaged communities in the Region? Did the Plan discuss the specific critical water-related needs of disadvantaged communities? Did the Plan discuss the mechanisms used in development of the Plan to ensure participation of disadvantaged communities? Did the Plan identify the water-related Environmental Justice concerns for the Region? Did the Plan discuss the mechanisms used in development of the Plan to ensure that implementation of the Plan addresses Environmental Justice concerns?</p>	2	10
Range of Total Possible Points		14 – 70

C.4 PROPOSAL SOLICITATION PACKAGE – STEP 2

This section describes the required elements of an Implementation Grant, Step 2 application and presents the Step 2 PSP. **Prospective applicants should review the entire IRWM Grant Program guidelines with specific emphasis on the IRWM Plan standards (Appendix A) and the scoring criteria (Table C-5) prior to submitting their application to ensure that their submittals meet the IRWM Program requirements.** Applicants must submit a complete application by the deadline contained in the Step 2 Solicitation Notice and posted on the websites listed in the Foreword. The grant application consists of seven sections outlined in Table C-3, Step 2 Checklist, which is provided as a guide for the applicants to ensure that they have submitted the required information for a complete Step 2 application.

Table C-3 – Step 2 Checklist

1.	GENERAL INFORMATION <i>The following fields must be completed:</i>
<input type="checkbox"/>	<u>Project Title</u> – Provide the title of the Proposal. If this item is not completed, FAAST will not accept the application.
<input type="checkbox"/>	<u>Project Description</u> – Provide the PIN(s) for the Step 1 Proposal. Provide a brief abstract of the Proposal, such as a listing of individual project titles or types. The length of the Project Description is limited to 1,000 characters including spaces and returns. If this item is not completed, FAAST will not accept the application.
<input type="checkbox"/>	<u>Grant Funds Requested</u> – Provide the amount of grant funds requested, in dollars, for the Proposal.
<input type="checkbox"/>	<u>Local Cost Match</u> – “Local Cost Match” is the same as “Funding Match” in the Guidelines. Provide the Funding Match for the Proposal in dollars. A minimum Funding Match of 10% of the total cost of the Proposal is required for IRWM Implementation Grant unless a waiver or reduction of the funding match is requested.
<input type="checkbox"/>	<u>Total Budget</u> – Provide the total cost, in dollars, for the Proposal. This amount must agree with the total Proposal cost shown in Attachment 4.
<input type="checkbox"/>	<u>Latitude/Longitude</u> – Enter the latitude/longitude coordinates of the approximate midpoint of the region in degrees using decimal format.
<input type="checkbox"/>	<u>Watershed</u> – Provide the name of watershed the region covers. If the region covers multiple watersheds, list only the primary watershed. Do not enter “multiple”; see Item 7, Q2 below.
<input type="checkbox"/>	<u>County</u> – Provide the county in which the region is located. If the region covers multiple counties, select “Multiple Counties” from the drop down list. See Item 7, Q1 below.
<input type="checkbox"/>	<u>Responsible Regional Water Board</u> – Provide the name of the Regional Water Quality Control Board (Regional Water Board) in which the region is located. If the region extends beyond one Regional Water Board boundary, select “Statewide” from the drop down list; see Item 7, Q3 below. If this item is not completed, FAAST will not accept the application.
2.	FUNDING PROGRAMS
<input type="checkbox"/>	Select the IRWM Implementation Grants, Round 2, Step 2 Program. If this item is not completed, FAAST will not accept the application.
3.	PROJECT MANAGEMENT
<input type="checkbox"/>	Enter the applicant’s Federal Tax ID. 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. Provide the name and the contact information of the Project Director from the applicant agency or organization that will be the Authorized Representative from the applicant organization to submit the application and execute a grant agreement.
4.	LEGISLATIVE INFORMATION
<input type="checkbox"/>	Enter the State assembly, State senate, and U.S. congressional districts in which the region is located (use district numbers only, not the name of the Legislator). For regions that include more than one district, please enter each district. Look at tables provided in FAAST to assist with determining the appropriate districts.
5.	AGENCY CONTACTS
<input type="checkbox"/>	If the applicant has been collaborating with State and federal agencies (DWR, Regional Water Board, State Water Board, U.S. Environmental Protection Agency, etc.) in Proposal development, enter the agency name, agency contact first and last name, phone, and email address. This information is used to identify individuals who may have an understanding of a Proposal and in no way indicates an advantage or disadvantage in the ranking process.
6.	COOPERATING ENTITIES
<input type="checkbox"/>	Include the entities that have/will assist the applicant in Proposal development or implementation. Provide name(s) of cooperating entity(ies), role/contribution to Proposal, first and last name of entity contact, phone number, and email address.

Table C-3 – Step 2 Checklist

7.	<p>APPLICATION QUESTIONNAIRE <i>The answers to these questions will be used in processing the application and determining eligibility and completeness.</i></p>
<input type="checkbox"/>	Q1. Additional Information: For a region that encompasses multiple counties, list the name of each county.
<input type="checkbox"/>	Q2. Additional Information: For a region that encompasses multiple watersheds, list the names of the watersheds other than the primary watershed.
<input type="checkbox"/>	Q3. Additional Information: For a region that extends beyond more than one Regional Water Board boundary, list the name of each Regional Water Board.
<input type="checkbox"/>	Q4. Step 1 Information: Enter the IRWM Implementation Grants, Step 1 FAAST PIN associated with this Proposal. Has the title of the Proposal changed from Step 1? Yes or No. If the answer is yes, please enter the Step 1 Proposal Title.
<input type="checkbox"/>	Q5. IRWM Plan Adoption Date: Does the agency or organization have an adopted IRWM Plan? Yes or No. If the answer is yes, please enter the IRWM Plan adoption date. If the answer is no, the proposal will not be evaluated or considered for funding.
<input type="checkbox"/>	Q6. Eligibility: Is the applicant a regional agency or regional water management group, of which at least one member is an eligible grant recipient (i.e., a public agency or non-profit organization as defined in Section III of the <u>Guidelines</u>)? If no, please explain. At least one member of the regional agency or regional water management group must be an eligible grant recipient in order to be eligible for IRWM grant funding.
<input type="checkbox"/>	Q7. Eligibility: List the regional agency or regional water management group members that qualify as urban water suppliers and which will receive funding from the proposed grant (See Section III of the Guidelines). If there are none, so indicate.
<input type="checkbox"/>	Q8. Eligibility: Have all of the urban water suppliers, listed in Q7 above, submitted complete urban water management plans to DWR? Have those plans been verified as complete by DWR? If not, explain.
<input type="checkbox"/>	Q9. Eligibility: Does the proposal include any groundwater management or groundwater recharge projects or projects with potential groundwater impacts? If so, provide the name(s) of the project(s) and list the agency(ies) that will implement the project(s).
<input type="checkbox"/>	Q10. Eligibility: For the agency(ies) listed in Q9, how has the agency complied with CWC § 10753 regarding groundwater management plans as described in Section III.B of the Guidelines?
<input type="checkbox"/>	Q11. Objectives: Briefly describe how the proposal helps achieve the objectives of the IRWM Plan.
<input type="checkbox"/>	Q12. Modification of River or Stream Channel: Does the Proposal include a project that will modify a river or stream channel? Yes or No. If yes, the applicant must complete Attachment 11 – Modification of River or Stream Channel.
<input type="checkbox"/>	Q13. CALFED Record of Decision (ROD) Consistency: Does the Proposal assist in meeting one or more of the CALFED Bay-Delta Program goals? Yes or No. If yes, the applicant must complete Attachment 12 – CALFED ROD Consistency.
<input type="checkbox"/>	Q14. Letters of Support or Opposition: Are there any letters of support or opposition for the Proposal or individual projects contained within the Proposal? Yes or No. If yes, the applicant must complete Attachment 13 – Letters of Support or Opposition.
<input type="checkbox"/>	Q15. Additional Information: Is the applicant or cooperating entity in default for any water rights permit requirements, including fee payment. Yes or No. If yes, please explain.
<input type="checkbox"/>	Q16. Additional Information: Does the Proposal contain projects that have potential implications with respect to conflict between water users, water rights disputes, and/or interregional water rights issues? Yes or No. If yes, please explain.

APPLICATION ATTACHMENTS

Provide the attachments listed below by attaching files to the FAAST application or providing a CD as required. For instructions on attaching files, please refer to the FAAST User Manual. The naming convention for these attachments, and the requirements for information to be included in these attachments, is found in Guidelines, Appendix B, Attachment Instructions

Attachment #	Attachment Title
<input type="checkbox"/> Attachment 1	Authorization and Eligibility Requirements
<input type="checkbox"/> Attachment 2	Adopted IRWM Plan and Proof of Formal Adoption
<input type="checkbox"/> Attachment 3	Work Plan
<input type="checkbox"/> Attachment 4	Budget
<input type="checkbox"/> Attachment 5	Schedule
<input type="checkbox"/> Attachment 6	Scientific and Technical Merit

Table C-3 – Step 2 Checklist

<input type="checkbox"/>	Attachment 7	Monitoring, Assessment, and Performance Measures
<input type="checkbox"/>	Attachment 8	Economic Analysis – Water Supply and Water Quality Benefits
<input type="checkbox"/>	Attachment 9	Other Expected Benefits
<input type="checkbox"/>	Attachment 10	Program Preferences
<input type="checkbox"/>	Attachment 11	Modification of River or Stream Channel (If Applicable)
<input type="checkbox"/>	Attachment 12	CALFED ROD Consistency (If Applicable)
<input type="checkbox"/>	Attachment 13	Letters of Support or Opposition (If Applicable)
<input type="checkbox"/>	Attachment 14	Funding Match Waiver (If Applicable)

C.5 REQUIREMENTS FOR ATTACHMENTS – STEP 2

Attachments 1 through 10 are required attachments for all IRWM Implementation Grants, Step 2 Proposals. Failure to submit any of Attachments 1 through 10 will make the application incomplete, and it will not be reviewed or considered for funding ([Guidelines](#), Section V.E). In addition, applicants may need to submit one or more of Attachments 11 through 14. If the applicable additional attachment(s) is/are not provided, the application will be deemed incomplete and will not be reviewed or considered for funding.

A discussion of each of these attachments is provided below and the Attachments and associated Exhibits are summarized in Table C-4 – Summary of Attachments and Corresponding Exhibits.

Table C-4 – Summary of Attachments and Corresponding Exhibits

Attachment ¹	Exhibit ²	Comment
Attachment 1 – Authorization and Eligibility Requirements		Eligibility
Attachment 2 – Adopted IRWM Plan and Proof of Formal Adoption		Eligibility
Attachment 3 – Work Plan	1	Scored
Attachment 4 – Budget	2	Scored
Attachment 5 – Schedule		Scored
Attachment 6 – Scientific and Technical Merit		Scored
Attachment 7 – Monitoring, Assessment, and Performance Measures		Scored
Attachment 8 – Economic Analysis – Water Supply and Water Quality Benefits	3	Scored
Attachment 9 – Other Expected Benefits	4	Scored
Attachment 10 – Program Preferences		Scored
Attachment 11 – Modification of River or Stream Channel		If Applicable
Attachment 12 – CALFED ROD Consistency	5	If Applicable
Attachment 13 – Letters of Support or Opposition		If Applicable
Attachment 14 – Waiver of Funding Match	6	If Applicable

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

ATTACHMENT 1 AUTHORIZATION AND ELIGIBILITY REQUIREMENTS

For the "AttachmentName", in the application naming convention, See Appendix B, use "Eligible" for this attachment. Attachment 1 is mandatory and consists of authorization and eligibility documentation including the Urban Water Management Planning Act Compliance and Groundwater Management Plan Compliance.

In Attachment 1 please provide:

- ◆ **Authorizing Documentation:** The grantee must provide a resolution adopted by the grantee's governing body designating an authorized representative to submit the application and execute an agreement with the State of California for an IRWM Implementation Grant. The following text box provides an example resolution.

RESOLUTION NO. _____
<p>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 and State Water Resources Control Board to obtain an Integrated Regional Water Management Implementation Grant pursuant to the Water Security, Clean Drinking Water, Coastal and Beach Protection Act of 2002 (Water Code Section 79560 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 or State Water Resources Control Board.</p> <p>Passed and adopted at a meeting of the <Insert name of agency, city, county, organization, or other> on <Insert date>.</p> <p style="text-align: right;">Authorized Original Signature: _____</p> <p style="text-align: right;">Printed Name: _____</p> <p style="text-align: right;">Title: _____</p> <p style="text-align: right;">Clerk/Secretary: _____</p>

- ◆ **Eligible Applicant Documentation:** Eligible applicants are public agencies, including cities, counties, districts, joint powers authorities, a state agency or department, or other political subdivisions of the State or non-profit organizations that are a California Corporation organized under Section 501(c)(3), 501(c)(4), or 501(c)(5) of the federal internal revenue code.

If DWR and the State Water Board determine 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 application will not be reviewed.

The Grantee must provide a written statement containing the appropriate information outlined below:

◆ **Public Agencies**

1. Is the applicant a public agency as defined in the [Guidelines](#), Section III? Please explain.
2. What is the statutory or other legal authority under which the applicant was formed and is authorized to operate?
3. Does the applicant have legal authority to enter into a grant agreement with the State of California?
4. Describe any legal agreements among partner agencies and/or organizations that ensure performance of the proposal and tracking of funds.

◆ **Non-Profit Organizations**

1. Is the applicant a non-profit agency as defined in the Guidelines, Section III? Please explain.
2. Does the applicant have legal authority to enter into a grant agreement with the State of California?
3. Describe any legal agreements among partner agencies and/or organizations that ensure performance of the proposal and tracking of funds.
4. Include a copy of the certificate of incorporation for the organization.

Urban Water Management Plans (UWMPs) – Guidelines, Section III.B identified compliance with the Urban Water Management Act as an Eligibility Criterion. Urban water suppliers are required to file an UWMP at least once every five years, on or before December 31, in years ending in five and zero. The 2005 UWMPs were due by December 31, 2005. Applicants and participating agencies that are urban water suppliers and have projects that would receive funding through an IRWM Implementation grant must have their 2005 UWMP deemed complete by DWR, before DWR and the State Water Board approve the Step 2 Implementation grant awards (See Guidelines, Section V.I, Funding Awards).

Groundwater Management Plan Compliance – Guidelines, Section III.B identified Groundwater Management Plan (GWMP) compliance as an Eligibility Criterion. For groundwater management and recharge projects and for projects with potential groundwater impacts, either positive or negative, the applicant or the participating agency responsible for such projects must provide in Attachment 1 the following, as applicable:

- ◆ If the Proposal does not contain a groundwater management or recharge project or none of the projects in the Proposal have a potential to impact groundwater, either positively or negative, so indicate, and include in Attachment 1 the justification for such a conclusion.
- ◆ Identification of projects in the Proposal that involve any groundwater management or groundwater recharge or may have either positive or negative groundwater impacts.
- ◆ The agency(ies) that will implement such project(s).
- ◆ The status of the applicable GWMP compliance option as described below:
 - ◆ The applicant or participating agency has prepared and implemented a GWMP that is in compliance with CWC § 10753.7.
 - ◆ The applicant or participating agency participates or consents to be subject to a GWMP, basin-wide management plan, or other IRWM program or plan that meets the requirements of CWC § 10753.7.
 - ◆ The applicant or participating agency conforms to the requirements of an adjudication of water rights in the subject groundwater basin.
 - ◆ The applicant or participating agency is in the process of revising the GWMP to be compliant with CWC § 10753. In which case, Attachment 1 must state the estimated date for adoption, which must be within 1 year of submittal of the Step 2 Implementation Grant application.
- ◆ Copies of applicable GWMP.

ATTACHMENT 2 PROOF OF FORMAL ADOPTION

For the “AttachmentName”, in the application naming convention, See Appendix B, use “IRWMPlan” for this attachment.

For applicants that submitted an adopted IRWM Plan at Step 1 – submit an attachment stating that an adopted plan was submitted with the Step 1 application.

For applicants that submitted a draft IRWM Plan at Step 1– submit an electronic copy of the adopted Plan with proof of formal adoption (i.e. a signature page, with dates of signature) for all agencies and organizations approving the Plan or other documentation that the Plan has been adopted.

The Work Plan, Budget, and Schedule, Attachments 3, 4, and 5, deal specifically with the Proposal and are used to evaluate whether the projects are implementable and the applicant’s readiness to proceed. Attachment 3, 4, and 5 relate to one another and each should support the other. For example, if the work plan is detailed, the budget estimate should be equally detailed. Lump sum costs in the budget may indicate a work item that is less implementable. The detail and accuracy of the work plan and budget should support the readiness presented in the schedule. Work items that are not detailed or are unclear indicate to a reviewer that the items are not ready to proceed.

ATTACHMENT 3 WORK PLAN

For the "AttachmentName", in the application naming convention, See Appendix B, use "WorkPlan" for this attachment. See Exhibit 1 for detailed guidance on preparing this attachment. There is no page limitation for Attachment 3; however, applicants are encouraged to be clear and concise.

The work plan contains summary descriptions of all the projects constituting the Proposal and tasks (work items) necessary to complete each project in the Proposal. The work plan must be sufficiently detailed to demonstrate that the Proposal is ready for implementation. Work item submittals (e.g. deliverables) should be identified in the Work Plan. The Work Plan should identify linkages between and among projects that are critical to the success of the regional effort.

ATTACHMENT 4 BUDGET

For the "AttachmentName", in the application naming convention, See Appendix B, use "Budget" for this attachment. See Exhibit 2 for detailed guidance on preparation of this attachment.

For each project contained in the Proposal, provide detailed budget documentation supporting the costs shown in Table 2-1, Budget. Table 2-1 must be completed for each project in the Proposal and another form must be completed as a summary or roll-up budget for the entire Proposal. In addition, a detailed estimate of costs that supports the budget must be completed. For each budget category shown in Table 2-1, there may be several work items and sub work items (e.g. tasks and sub-tasks). The work items and sub work items shown in the Work Plan, Attachment 2, and Schedule, Attachment 4 should agree with the information shown in Attachment 3.

Applicants must identify minimum funding match of at least 10 percent for the total proposal costs. The requirement for funding match may be waived or reduced for those applicants that demonstrate that the proposal will provide significant direct benefits to disadvantaged communities. Table 2-1 will be used to present the funding match.

Applicants must consider the relevant labor code compliance requirements and the applicability of prevailing wage laws in developing the budget (Guidelines, Section IV).

ATTACHMENT 5 SCHEDULE

For the "AttachmentName", in the application naming convention, See Appendix B, use "Schedule" for this attachment.

Provide a schedule for implementation of the proposal showing the sequence and timing of the proposed project or suite of projects. The schedule should show the start and end dates and milestones. The schedule should illustrate any dependencies or predecessors by showing links between work items. At a minimum, the following work items should be included on the schedule:

- ◆ Development of financing;
- ◆ Development of environmental documentation and CEQA/NEPA compliance;
- ◆ Project design and bid solicitation process;
- ◆ Acquisition of rights of way, if required;
- ◆ Identification and acquisition of all necessary permits;
- ◆ Construction start and end dates with significant milestones included;
- ◆ Implementation of any environmental mitigation or enhancement efforts; and
- ◆ Post construction performance monitoring periods.

The work items shown on the schedule must agree with the work items shown on the work plan and budget discussed in Attachments 3 and 4.

Applicants must submit a schedule showing the sequence and timing of work items presented in the Proposal. The schedule must be consistent with the Work Plan and must use the assumed effective date of the grant agreement which will be provided in the Step 2 Solicitation Notice and at the websites listed in the Foreword. The schedule must show the start and end dates as well as milestones for each work item contained in the Work Plan and should be in a horizontal bar or Gantt chart format. An assumed end date of the grant agreement will not be established by DWR and the State Water Board, instead applicants must include a reasonable estimate of the end date, based on their Proposal including time for any final reports and invoicing.

Work items may overlap. Applicants should show any dependence on predecessors by showing links between work items. The schedule does not need to include the post implementation monitoring period.

ATTACHMENT 6 SCIENTIFIC AND TECHNICAL MERIT

Attachment 6, Scientific and Technical Merit is used to verify that appropriate background data gathering and studies have been performed in the development of the Proposal and to assess the Proposal's ability to produce the benefits claimed. Applicants should note that the technical information provided in this Attachment will also be used in evaluating the Work Plan, Budget, and Schedule (Attachments 3 – 5). Furthermore, applicants must provide detailed technical information enabling a reviewer to understand and verify benefits that are claimed in Attachment 8, Economic Analysis – Water Supply and Water Quality Benefits and Attachment 9, Other Expected Benefits. If the benefits claimed in Attachments 8 and 9 are not based on sound technical analysis, it may result in lower scores in Attachments 8 and 9. If the relevant supporting information requested for Attachment 8 is provided in other Attachments, then reference the exact location, including page numbers, where the information can be found.

For the “AttachmentName”, in the application naming convention, See Appendix B, use “SciTech” for this attachment. Attachment 6 must be no more than 20 pages in length using a minimum 10-point type font.

This attachment describes the scientific and technical merit of the Proposal and includes an assessment of the: 1) technical adequacy of the data and analysis used in developing each project contained in the Proposal and 2) feasibility of each project.

The applicant will be required to demonstrate the scientific and technical merit of the proposal. Such demonstration **may** include:

- ◆ Submittal of a copy(ies) of all reports and studies prepared for the proposal that form the basis for or include information pertaining to this application;
- ◆ A brief summary of the types of information in each reference;
- ◆ If feasibility and pilot studies have not been completed for the proposed implementation project(s), an explanation regarding what has been done to determine the project's feasibility; and
- ◆ Provide copies of the most complete design plans and specifications for the proposed project(s).

In Attachment 6, applicants must submit the following items:

- ◆ A discussion for each project in the proposal that lists and briefly describes the data that have been collected and studies that have been performed that support the projects' site location, feasibility, and technical methods. Include references to the page locations of the studies or reports that support the claims made in this discussion. See the Guidelines, Section II for instructions on submitting such studies, reports, or other reference materials.
- ◆ Discussion of any project data gaps and references to work items in the Work Plan that would fill the data gaps.

ATTACHMENT 7 MONITORING, ASSESSMENT, AND PERFORMANCE MEASURES

For the “AttachmentName”, in the application naming convention, See Appendix B, use “Measures” for this attachment. There is no page limitation for Attachment 7; however, applicants are encouraged to be clear and concise.

Describe the performance measures that will be used to quantify and verify project performance. Provide a discussion of the monitoring system to be used to verify project performance with respect to the project benefits or objectives identified in the proposal. Indicate where the data will be collected and the types of analyses to be used. Include a discussion of how monitoring data will be used to measure the performance in meeting the overall goals and objectives of the IRWM Plan.

This attachment presents the planned project monitoring, assessment, and performance measures that will demonstrate that the Proposal will meet its intended goals, achieve measurable outcomes, and provide value to the State of California. All grant recipients will be required to prepare a Project Assessment and Evaluation Plan (PAEP) at the initiation of implementation to outline how they will assess and evaluate performance and report on Proposal achievements. The PAEP lays out an evaluation and assessment process based on Proposal goals and outcomes, drawing from the results of grant products and deliverables. The purpose of Attachment 7 is to provide a preview of the information that will be included in the PAEP.

For Attachment 7, applicants are required to submit Project Performance Measures Tables specific to their Proposal. Project Performance Measures Tables should include: project goals, desired outcomes, output indicators (measures to effectively track output), outcome indicators (measures to evaluate change that is a direct result of the work), measurement tools and methods, and targets (measurable targets that are feasible to meet during the life of the proposal). Additional guidance, including example Project Performance Measure Tables, can be found at the following the State Water Board website:

<http://www.waterboards.ca.gov/funding/paep.html>

A Project Performance Measures Table should be submitted for each project included in the Proposal. When multiple projects carry the same goals and outcomes, a combined table can be developed to cover those projects. The measurement parameters (metrics) should fit the performance evaluation needs of the Proposal. The metrics may include water quality measurements, measurement-based estimates of pollution load reductions, acres of habitat successfully restored, feet of stream channel stabilized, additional acre-feet of water supply, improved water supply reliability and flexibility, groundwater level measurements, stream flow measurements, improved flood control, or other quantitative measures or indicators.

If the applicant has a completed PAEP, Monitoring Plans (MP), or Quality Assurance Project Plan (QAPP), those documents may be submitted with Attachment 7, as supporting documentation. DWR or the State Water Board must approve the PAEP, MP, and/or QAPP prior to initiation of any monitoring supported by grant funds.

ATTACHMENT 8 ECONOMIC ANALYSIS – WATER SUPPLY AND WATER QUALITY BENEFITS

For the “AttachmentName”, in the application naming convention, See Appendix B, use “WSWQBen” for this attachment. See Exhibit 3 for detailed guidance on the preparation of this attachment. There is no page limitation for Attachment 8; however, applicants are encouraged to be clear and concise.

This attachment deals with estimating and presenting the costs and benefits of water supply and water quality aspects of the Proposal. A qualitative analysis can be provided if it is not feasible to quantify the benefits and the applicant provides adequate justification. If possible, water supply and water quality benefits should be quantified either in economic terms or physical terms. The evaluation of water supply and water quality benefits is structured such that either water quality or water supply projects could achieve the highest score possible for this scoring criterion.

The information contained in Attachment 8 will be evaluated by DWR and the State Water Board against the Scoring Criterion and will be used for “comparative analysis” of one grant application against another grant application and not as a means for DWR and the State Water Board to select an individual project from within a Proposal for funding.

ATTACHMENT 9 OTHER EXPECTED BENEFITS

For the “AttachmentName”, in the application naming convention, See Appendix B, use “OtherBen” for this attachment. See Exhibit 4 for detailed guidance on the preparation of this attachment. There is no page limitation for Attachment 9; however, applicants are encouraged to be clear and concise.

Benefits derived from the Proposal may extend beyond the water supply or water quality benefits described in Attachment 8 (see above). This attachment allows applicants to claim benefits other than water supply and water quality benefits. Qualitative analysis is acceptable if it is not feasible to quantify the benefits and the applicant provides adequate justification.

Note that commitment to providing the other expected benefits will become a term of the grant agreement if the proposal is selected for funding.

ATTACHMENT 10 PROGRAM PREFERENCES

For the “AttachmentName”, in the application naming convention, See Appendix B, use “Preference” for this attachment. Attachment 10 must be no more than 10 pages in length using a minimum 10-point type font.

Submit a discussion on how the Proposal assists in meeting the Program Preference(s) described in Guidelines, Section II.E. The discussion must identify the specific Program Preference(s) that the Proposal will meet; the certainty that the Proposal will meet the Program Preference(s); and the breadth and magnitude to which the Program Preference(s) will be met. Meeting the Program Preference(s) identified by the applicant will become a condition of the grant agreement in the event that the Proposal is awarded grant funding.

ATTACHMENT 11 MODIFICATION OF RIVER OR STREAM CHANNEL (IF APPLICABLE)

For the "AttachmentName", in the application naming convention, See Appendix B, use "ChannelMod" for this attachment. There is no page limitation for Attachment 11; however, applicants are encouraged to be clear and concise.

Attachment 11 must be completed for any Proposal that includes a project that modifies a river or stream channel. The applicant must provide documentation that the environmental impacts resulting from such modification will be fully mitigated, considering all of the impacts of the modification and any mitigation, environmental enhancement, and environmental benefit resulting from the project. Also, the applicant should address whether, on balance, any environmental enhancement or benefit equals or exceeds any negative environmental impacts of the project. If DWR and the State Water Board determine that on-balance environmental impacts of such modifications will not be fully mitigated, the corresponding portion of the Proposal will not be eligible for grant funding ([Guidelines](#), Section IV.D).

ATTACHMENT 12 CALFED ROD CONSISTENCY (IF APPLICABLE)

For the "AttachmentName", in the application naming convention, See Appendix B, use "CALFEDROD" for this attachment.

Attachment 12 must be completed for Proposals that assist in meeting one or more of the CALFED Bay-Delta Program goals. Such Proposals must be consistent with the CALFED Programmatic ROD and must be implemented, to the maximum extent possible, through local and regional programs. Please complete Form 1 contained in [Exhibit 5](#) of this PSP for each project within the Proposal that assists in meeting the CALFED Bay-Delta Program goals ([Guidelines](#), Section IV.F).

ATTACHMENT 13 LETTERS OF SUPPORT OR OPPOSITION (IF APPLICABLE)

For the "AttachmentName", in the application naming convention, See Appendix B, use "Letters" for this attachment.

Attachment 13 must be used to submit electronic copies of any letters of support for or opposition to the Proposal or individual projects contained within the Proposal. General letters of support or opposition will not be considered. Letters of support or opposition must clearly state how the implementation of the proposal/project will benefit or adversely impact the individual or entity providing the letter. All letters should be addressed to:

Ms. Shahla Farahnak
State Water Resources Control Board
Division of Financial Assistance
1001 I Street, 16th Floor
Sacramento, CA 95814

Ms. Tracie Billington
Department of Water Resources
Division of Planning and Local Assistance
P.O. Box 942836
Sacramento, CA 94236-0001

ATTACHMENT 14 REQUEST FOR WAIVER OR REDUCTION OF FUNDING MATCH (IF APPLICABLE)

For the "AttachmentName", in the application naming convention, See Appendix B, use "Waiver" for this attachment. There is no page limitation for Attachment 14; however, applicants are encouraged to be clear and concise.

Applicants requesting waiver or reduction of the funding match requirements for [disadvantaged communities](#) must demonstrate that the proposal is designed to provide significant direct benefits to disadvantaged communities. Exhibit 6 provides information on the procedures to be used for applicants to receive credit for providing benefits to disadvantaged communities. For assistance regarding the requesting a funding match waiver, please contact the DWR Point of Contact listed in the Foreword.

DWR and the State Water Board will review Attachment 14 and consider this request when make any funding decisions. DWR or the State Water Board may revise the Benefit Factor and the associated Reduced Funding Match Factor and will applicant, if selected for grant funding, of the required funding match.

C.6 SCORING CRITERIA – STEP 2

The entire review process is discussed in detail in Guidelines, Section V. Applications will first be screened for eligibility and completeness. Applications that are complete and eligible will be scored based on the scoring criteria presented in Table C-5, Step 2 Scoring Criteria and Scoring Standards. Each criterion will be scored based on the general scoring standard contained in Guidelines, Section V.F, [Review Process](#), or as presented below.

The evaluation criterion labeled “Adoption of IRWM Plan and Formal Proof of Adoption” is a Pass/Fail ranking. If the application fails this criterion, then the application will not be scored or considered for funding.