

**PROPOSAL SOLICITATION PACKAGE**

**FOR**

**INTEGRATED REGIONAL WATER MANAGEMENT AND**

**INTEGRATED COASTAL WATERSHED MANAGEMENT**

**PLANNING GRANTS**

**FROM**

**INTEGRATED REGIONAL WATER MANAGEMENT GRANT PROGRAM**

**AUTHORIZED UNDER**

**PROPOSITION 50, CHAPTER 8**

**MARCH 2005**



California Department of Water Resources  
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# TABLE OF CONTENTS

TOPIC	Page #
<b>I. INTRODUCTION .....</b>	<b>4</b>
<b>II. APPLICATION INSTRUCTIONS.....</b>	<b>4</b>
A. HOW TO SUBMIT .....	4
B. WHAT TO SUBMIT .....	8
C. REQUIREMENTS FOR ATTACHMENTS.....	8
<i>Attachment 1. Authorizing Documentation .....</i>	<i>8</i>
<i>Attachment 2. Eligible Applicant Documentation.....</i>	<i>8</i>
<i>Attachment 3. Work Plan .....</i>	<i>8</i>
<i>Attachment 4. Disadvantaged Community Supporting Information.....</i>	<i>9</i>
<i>Attachment 5. Certification of Understanding .....</i>	<i>9</i>
<b>III. APPLICATION REVIEW PROCESS .....</b>	<b>9</b>
A. EVALUATION CRITERIA.....	9
B. REVIEW PROCESS.....	10
<b>IV. SCHEDULE .....</b>	<b>10</b>
<b>EXHIBIT A EXAMPLE AUTHORIZING RESOLUTION .....</b>	<b>12</b>
<b>EXHIBIT B ELIGIBLE APPLICANT DOCUMENTATION.....</b>	<b>13</b>
<b>EXHIBIT C WORK PLAN PREPARATION GUIDANCE .....</b>	<b>14</b>
<b>EXHIBIT D WAIVER OR REDUCTION IN FUNDING MATCH FOR DISADVANTAGED COMMUNITIES IRWM OR ICWM PLANNING GRANTS .....</b>	<b>15</b>
<b>EXHIBIT E CERTIFICATION OF UNDERSTANDING .....</b>	<b>18</b>
<b>EXHIBIT F ACCESSING AND USING 2000 CENSUS DATA .....</b>	<b>19</b>
<b>EXHIBIT G FUNDING MATCH INFORMATION .....</b>	<b>26</b>

## ACRONYMS USED IN THIS PROPOSAL SOLICITATION PACKAGE

CEQA	California Environmental Quality Act
CSV	Comma Separated Values
CWC	California Water Code
DCR	Disadvantaged Community Ratio
DWR	Department of Water Resources
FAAST	Financial Assistance Application Submittal Tool
ICWM	Integrated Coastal Watershed Management
IRWM	Integrated Regional Water Management
MB	Mega Bytes
MHI	Median Household Income
PIN	Proposal Identification Number
PSP	Proposal Solicitation Package
RFMF	Reduced Funding Match Factor
RTF	Rich Text File
Regional Water Board	Regional Water Quality Control Board
State Water Board	State Water Resources Control Board
USCB	United States Census Bureau

## I. INTRODUCTION

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, § 79560 *et seq.* authorizing the Legislature to appropriate \$500 million for Integrated Regional Water Management (IRWM) projects. The intent of the IRWM Grant Program is to encourage integrated regional strategies for management of water resources and to provide funding, through competitive grants, for projects that protect communities from drought, protect and improve water quality, and improve local water security by reducing dependence on imported water. The IRWM Grant Program is administered jointly by the Department of Water Resources (DWR) and the State Water Resources Control Board (State Water Board) and is intended to promote an integrated and regional approach to water management.

Planning Grants will be provided to eligible applicants to develop new, or to complete new or update existing, IRWM Plans or Integrated Coastal Watershed Management (ICWM) Plans that meet the requirements of the IRWM Grant Program Guidelines ([Guidelines](#)), November 2004, and this Proposal Solicitation Package (PSP). Proposals that would develop, complete, or modify a component of an IRWM Plan are also eligible. This PSP has been prepared to allow the opportunity to seek financial assistance for such planning grants. Approximately \$12 million is available for planning grants during this funding cycle; \$2 million of which is allocated for ICWM Plans. Each grant is limited to a maximum of \$500,000. This solicitation is a one-step application process. DWR and State Water Board will evaluate the IRWM Planning Grant applications in accordance with the Guidelines and this PSP.

The Guidelines establish the process used to solicit applications, evaluate proposals, and award grants under this Grant Program. The Guidelines are posted on both the DWR and State Water Board websites at:

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

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

**Prospective applicants for IRWM or ICWM Planning Grants should read this PSP and the entire IRWM Grant Program [Guidelines](#). Specific emphasis should be directed to the IRWM Plan Standards (Appendix A of the [Guidelines](#)) and to the Planning Grant evaluation criteria (Section B.2 of the [Guidelines](#)) to ensure that the submittal will meet the grant program requirements.**

## II. APPLICATION INSTRUCTIONS

This section provides instructions for preparing and submitting an application. The section consists of three subsections: How to Submit, What to Submit, and Requirements for Attachments. It is important that the applicant follow the Application Instructions to ensure their application will address all of the required elements. Applicants are reminded that once the application has been submitted to DWR and State Water Board, any privacy rights as well as other confidentiality protections afforded by law with respect to the application package will be waived.

### A. How To Submit

Applicants must submit a complete application on-line using the State Water Board Financial Assistance Application Submittal Tool (FAAST). The on-line FAAST application for the Planning Grant can be found at the following secure link:

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

The on-line application will be available no later than March 30, 2005.

Applicants are encouraged to review the FAAST User Manual and Frequently Asked Questions, available at the above link, prior to creating a user account and completing the on-line application. When an applicant has created a user account and begins to fill out an application, FAAST assigns a unique proposal identification number (PIN). Applicants should make note of this number as it is used when an applicant needs technical assistance with FAAST.

FAAST allows an applicant to save an application in progress on-line and then submit the application only when the applicant has gathered and entered all required information. At the time the application is submitted, an

automated confirmation e-mail will be sent to the applicant confirming date and time of submission. **Applicants are strongly encouraged to avoid last minute submittals to allow time for FFAST staff assistance should any submittal problems occur.**

To print out a blank copy of the entire application:

1. Initiate a new application and fill out the following three fields on the first page: “Project Title,” “Project Description,” and “Responsible Regional Board.” Applicants can come back to edit these fields later.
2. Click on the “save and continue” button to initiate the application process.
3. Click on the “Preview/Submit Application” button and select the “Print” option from the browser “File” menu.

**Non-profit Organizations:** If the applicant is a non-profit organization, the applicant must use the organization name that is registered with the California Secretary of State: <http://kepler.ss.ca.gov/list.html>

If a different name was initially used, please see [FAAST User Manual](#), Section V.A (<https://faast.waterboards.ca.gov>) for instructions on changing the name.

- ◆ Applicants must use the FFAST system to submit an application. A complete application must be submitted no later than 5 p.m. on **May 12, 2005**.
- ◆ If an applicant has a question or problem with FFAST, please contact FFAST staff by phone at 1-866-434-1083, Monday through Friday, 8am – 5pm, or by e-mail at [faast\\_admin@waterboards.ca.gov](mailto:faast_admin@waterboards.ca.gov).
- ◆ If an applicant has a question as to the content or information requested in the PSP, please contact: Mr. Joe Yun, DWR, at (916) 651-9222 ([jyun@water.ca.gov](mailto:jyun@water.ca.gov)) or Mr. Sudhakar Talanki, State Water Board, at (916) 341-5434 ([stalanki@waterboards.ca.gov](mailto:stalanki@waterboards.ca.gov)).

The grant application in FFAST consists of seven sections outlined below in [Table 1](#) – FFAST Checklist. Within FFAST, pull down menus, text boxes, or multiple-choice selections will be used to receive answers to the questions. The checklist below is provided as a way for applicants to ensure they have submitted the required information. FFAST will allow applicants to type text or cut and paste information from other documents directly into a FFAST submittal screen.

**Table 1 – FFAST Checklist**

1.	<b>GENERAL INFORMATION</b>
	The following fields must be completed:
<input type="checkbox"/>	<u>Project Title</u> – Provide title of the proposal. <b>If this item is not completed FFAST will not accept the application.</b>
<input type="checkbox"/>	<u>Project Description</u> – Provide a brief description of the proposal, approximately 1-2 paragraphs (max. 1,000 characters). <b>If this item is not completed FFAST will not accept the application.</b>
<input type="checkbox"/>	<u>Project Director</u> – Provide name and details of the person responsible for executing grant agreement for applicant. Subcontractors that will 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. <a href="#">Exhibit G</a> of this PSP provides additional information regarding Funding Match requirements. <b>Applicants must demonstrate that a 25% funding match will be provided, or request a waiver, or reduction of the funding match and submit a signed Certification of Understanding (<a href="#">Exhibit E</a>).</b>
<input type="checkbox"/>	<u>Total Budget</u> – Provide total cost for the proposal in dollars. This amount must agree with the total proposal costs shown in Attachment 3 of the application.
<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 (NAD27 UTM10 shape file) with Attachment 3.

Table 1 – FAAST Checklist

<input type="checkbox"/>	<b>Watershed</b> – Provide name(s) of watershed(s) the region covers. If the region covers multiple watersheds, list the primary watershed first.
<input type="checkbox"/>	<b>County</b> – Provide county where the region is located. If the region covers multiple counties, select “Multiple Counties” from the drop down list.
<input type="checkbox"/>	<b>Responsible Regional Water Board</b> – Provide 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. <b>If this item is not completed FAAST will not accept the application.</b>
2.	<b>FUNDING PROGRAMS</b>
<input type="checkbox"/>	Applicants must select the type of Planning Grant for which they are applying: IRWM Planning Grant or Integrated Coastal Watershed Management Planning Grant. Applicants may select both, if applicable. <b>If this item is not completed FAAST will not accept the application.</b>
3.	<b>LEGISLATIVE INFORMATION</b>
<input type="checkbox"/>	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.
4.	<b>AGENCY CONTACTS</b>
<input type="checkbox"/>	If the applicant has been collaborating with State or Federal agencies (e.g., DWR, Regional Water Board, State Water Board, U.S. Environmental Protection Agency, etc.) in proposal development, please provide agency name, first and last name of agency contact, phone number, 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.
5.	<b>COOPERATING ENTITIES</b>
<input type="checkbox"/>	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.
6.	<b>APPLICATION QUESTIONNAIRE</b>
	<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"/>	<b>Q1. Additional Information:</b> 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: <a href="http://www.water.ca.gov/nav.cfm?topic=Local_Assistance&amp;subtopic=Groundwater">http://www.water.ca.gov/nav.cfm?topic=Local_Assistance&amp;subtopic=Groundwater</a> .
<input type="checkbox"/>	<b>Q2. Additional Information:</b> 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: <a href="http://www.groundwater.water.ca.gov/bulletin118/">http://www.groundwater.water.ca.gov/bulletin118/</a> .
<input type="checkbox"/>	<b>Q3. Additional Information:</b> For a region that encompass multiple counties, list the name of each county.
<input type="checkbox"/>	<b>Q4. Additional Information:</b> For a region that extends beyond more than one Regional Water Board boundary, list the name of each Regional Water Board.
<input type="checkbox"/>	<b>Q5. Additional Information:</b> Is the applicant requesting a waiver or reduction of the funding match based on disadvantaged communities? If yes, please submit Attachments 4 and 5. <b>If Attachments 4 and 5 are not submitted, the application will not be considered for a waiver or reduction of the funding match.</b>
<input type="checkbox"/>	<b>Q6. Eligibility:</b> Is the applicant a public agency or non-profit organization as described in Section III of the <a href="#">Guidelines</a> ? Yes or No.
<input type="checkbox"/>	<b>Q7. Eligibility:</b> 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 <a href="#">Guidelines</a> ). If there are none, so indicate.
<input type="checkbox"/>	<b>Q8. Eligibility:</b> 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"/>	<b>Q9. Major Water Issues:</b> Briefly describe the major water related issues within the region.

Table 1 – FFAST Checklist

<input type="checkbox"/>	<b>Q10. Objectives:</b> Briefly describe the objectives for the IRWM plan.
<input type="checkbox"/>	<b>Q11. Adoption Date:</b> Identify the adoption date or anticipated adoption date of the IRWM Plan.
<input type="checkbox"/>	<b>Q12. Stakeholders:</b> List and major stakeholders that are/will participate in the IRWM Plan that were not listed in Item 5 above.
<input type="checkbox"/>	<b>Q13. Completeness:</b> Have all of the fields in the application been completed? If no, please explain.
7.	<p><b>APPLICATION ATTACHMENTS</b></p> <p>Provide the attachments listed below by attaching files to the FFAST application. When attaching files, please use the naming convention found in <a href="#">Section II.B</a> of this PSP. For instructions on attaching files, please refer to the <a href="#">FFAST User Manual</a>. Requirements for information to be included in these attachments are found in <a href="#">Section II.C</a> of this PSP.</p> <p>Digital files and reports should be furnished in non-proprietary formats. Documents with complex layout and formatting should be submitted in PDF format. Embedded images in PDF files should be reduced to web resolution of 72-100 dpi. Text only documents should be submitted in Rich Text File (RTF) format if possible. MS Word (.doc) format should only be used when features are needed that are not available within RTF. Data files should be submitted in non-proprietary formats such as comma separated values (CSV), tab delimited, or other text delimited formats. MS Excel (.xls) format should only be used when features are needed that are not available in non-proprietary formats.</p> <p>Maps, photographs, documents, and reports should be formatted with no component larger than 5MB. Documents greater than 5MB should be divided into their parts (e.g., cover page, table of contents, chapters, figures, photos, appendices).</p> <p>All spatial data should be submitted along with adequate metadata. Metadata should include information fields such as processing steps, geographic projection, attribute field definitions, spatial resolution, data description and contact person.</p> <p>Spatial data in raster format should be submitted in GeoTiff with embedded spatial metadata. Spatial data in vector format should be submitted in Shape file or Geography Markup Language (GML) format.</p> <p>Spatial data files larger than 5MB may be submitted on CD. <b>They must be mailed to State Water Board and must be received by the application due date.</b> CDs received after the due date will not be accepted. The mailing address is:</p> <p style="padding-left: 40px;">State Water Resources Control Board Division of Financial Assistance Sudhakar Talanki 1001 I Street, 16<sup>th</sup> Floor Sacramento, CA 95814</p> <p>Applicants must include your Organization Name, Project Title, Grant Program Name, and PIN on each CD submitted.</p>
Attachment #	Attachment Title
<input type="checkbox"/> Attachment 1	Authorizing Documentation
<input type="checkbox"/> Attachment 2	Eligible Applicant Documentation
<input type="checkbox"/> Attachment 3	Work Plan
<input type="checkbox"/> Attachment 4	Disadvantaged Community Supporting Information <i>Submit only if requesting a waiver or reduction of the funding match</i>
<input type="checkbox"/> Attachment 5	Certification of Understanding – Reduced Funding Match Request <i>Submit a signed copy only if requesting a waiver or reduction of the funding match</i>



## B. What to Submit

The majority of the proposal content will be contained in the attachments. The Guidelines contain descriptions of IRWM Plan standards and required planning grant proposal content. **The IRWM Plan Standards (Appendix A of the Guidelines) and the proposal content section of the Guidelines (Appendix B of the Guidelines) as well as this PSP must be followed in developing attachments.**

FAAST tracks attachments by an **attachment title, not file name**. When uploading an attachment in FAAST the Attachment Title naming convention is as follows:

Att#\_PG\_AttachmentName\_#ofTotal#

Where “Att#” is the attachment number; “PG” for planning grant; “AttachmentName” is the name for the attachment number as specified below in Section II.C (Requirements for Attachments); and “#ofTotal#” allows the reviewer to know how many files 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, Attachment 3 - Work Plan is made up of 6 files, the fourth file in the set would be named: Att3\_PG\_WorkPlan\_4of6.

The file name section in FAAST requires a computer path to the file location on the applicant's computer. While there is no specific naming convention given here for the file name, applicants should consider using a similar name to the attachment title to simplify personal file management. **Do not use special characters such as dashes, asterisks, symbols, spaces, percentage signs, etc. Underscores are acceptable, as shown above.**

## C. Requirements for Attachments

Applicants are required to submit Attachments 1 through 3 to complete the IRWM Planning Grant proposal. Attachments 4 and 5 must be submitted if the applicant is seeking a waiver or reduced funding match based on the participation of disadvantaged communities. A discussion of each of these attachments is provided below.

### ATTACHMENT 1. AUTHORIZING DOCUMENTATION

For the “AttachmentName” in the naming convention above use “AuthDoc” for this attachment.

Provide a copy of documentation, such as a resolution adopted by the applicant’s governing body, designating an authorized representative to file an application for an IRWM Planning Grant and enter into an agreement with the State. Exhibit A of this PSP contains an example authorizing resolution.

### ATTACHMENT 2. ELIGIBLE APPLICANT DOCUMENTATION

For the “AttachmentName” in the naming convention above use “EligDoc” for this attachment.

The applicant must submit a written statement containing the appropriate information outlined in Exhibit B of this PSP for the type of agency or organization submitting the application.

### ATTACHMENT 3. WORK PLAN

For the “AttachmentName” in the naming convention above use “WorkPlan” for this attachment.

This attachment will contain the information used for proposal ranking. While an applicant does not have to follow a specific outline, a work plan should consist of essentially four main sections: background, work items, work budget, and work schedule. Exhibit C of this PSP contains additional information on each of the four sections. Exhibit D provides detailed information and examples of how to calculate the funding match that must be included in the budget contained within the Work Plan. **In creating Attachment 3, the applicant must address items C through O as outlined in Appendix B.1 of the Guidelines.**

Applicants may also consider including a discussion of how their proposal addresses the nine elements of a watershed-based plan, as stipulated by the U. S. Environmental Protection Agency for Clean Water Act Section 319(h) funding. Although this is not required for the IRWM Program, it is complementary and could provide flexibility to qualify for future funding of non-point source pollution control implementation projects. Additional information on Section 319(h) funding is available on the State Water Board website at:

<http://www.waterboards.ca.gov/funding/irwmgp/9elements.html>



If the proposal assists in meeting one or more of the CALFED Bay-Delta Program goals, the applicant must demonstrate that the proposal is consistent with the CALFED Programmatic Record of Decision and how the proposal will be implemented, to the maximum extent possible, through local and regional programs (See Section IV.F of the [Guidelines](#)).

#### **ATTACHMENT 4. DISADVANTAGED COMMUNITY SUPPORTING INFORMATION**

For the “AttachmentName” in the naming convention above use “DACInfo” for this attachment.

Attachment 4 must include information regarding the methodology and data used in support of a waiver or reduced Funding Match. Please see [Exhibit D](#) of this PSP for the requirements that must be addressed for consideration of such a reduction.

#### **ATTACHMENT 5. CERTIFICATION OF UNDERSTANDING**

For the “AttachmentName” in the naming convention above use “Cert” for this attachment.

If the applicant is requesting a waiver or reduction of the funding match, a signed copy of [Exhibit E](#) – Certification of Understanding must be submitted as Attachment 5.

### **III. APPLICATION REVIEW PROCESS**

Applications will first be screened for eligibility and completeness in accordance with Section V of the [Guidelines](#). The information provided by applicants in FFAST, as well as Attachment 2 of the application, will be used in determining completeness and eligibility. All complete and eligible applications will then be evaluated as described below.

#### **A. Evaluation Criteria**

Applications that are complete and eligible will be scored based on the evaluation criteria stated in Table B-1 of the [Guidelines](#). The evaluation criteria are summarized in [Table 2](#) of this PSP. Each criterion will be scored on a scale of 1 to 5 with a 1 being “low” and a 5 being “high”. Points will be assigned to the application for each criterion as follows:

- ◆ A score of 5 points will be awarded where the criterion is fully addressed with thorough and well-presented documentation and logical rationale.
- ◆ A score of 4 points will be awarded where the criterion is 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.

The score for each criterion will then be multiplied by the weighting factor shown in [Table 2](#) of this PSP.

The evaluation criterion labeled “Funding Match” is a Pass/Fail ranking. For Planning Grants, all applicants must provide a funding match of at least 25% of the total cost of the proposal or provide the requested information pertaining to disadvantaged communities, a proposed waiver or reduction in the funding match, and a signed Certification of Understanding (provided as Attachments 4 and 5 of the application). If the application fails this criterion, the application will not be score or considered for funding. See also Exhibit G of this PSP.

Table 2 - Evaluation Criteria Summary

Criteria	Weighting Factor	Range of Possible Points
<b>Funding Match</b> <i>This evaluation will focus on whether the applicant has demonstrated ability to meet the minimum funding match or has requested a waiver or reduction in the funding match. The funding match will be presented in the budget contained in Attachment 3. For applicants requesting a waiver or reduction in the funding match, Attachments 4 and 5 must also be submitted.</i>		Pass/Fail
Work Plan	3	3-15
Description of Region	1	1-5
Objectives	2	2-10
Integration of Water Management Strategies	2	2-10
Implementation	2	2-10
Impacts and Benefits	2	2-10
Data and Technical Analysis	1	1-5
Data Management	1	1-5
Stakeholder Involvement	1	1-5
Disadvantaged Community	1	1-5
Relation to Local Planning	1	1-5
Agency Coordination	1	1-5
<b>Range of Total Possible Points</b>		<b>18 - 90</b>

## B. Review Process

The review process is discussed in detail in Section V.G of the [Guidelines](#).

## IV. SCHEDULE

The schedule below shows the program timeline from release of the Final Planning Grant PSP through the award of funding for this funding cycle. Updates for the events listed in this schedule may be required. When finalized, an updated schedule will be posted on both the DWR and State Water Board web sites. Updates may also be advertised through fliers, e-mail announcements, and news releases. Parties that are not already on the mailing list and wish to receive updates on the IRWM Grant Program should e-mail contact information to:

[dfa\\_grants@waterboards.ca.gov](mailto:dfa_grants@waterboards.ca.gov)

Table 3 - IRWM Planning Grants Proposal Solicitation Process and Schedule

Milestone or Activity	Schedule
IRWM Planning Grant Applicant Workshop California Environmental Protection Agency 1001 I Street, Second Floor Coastal Hearing Room Sacramento, CA 95814 This meeting will be web broadcast for Internet access at: <a href="http://www.calepa.ca.gov/broadcast">http://www.calepa.ca.gov/broadcast</a> During this meeting, questions or comments may be e-mailed to: <a href="mailto:dfa_grants@waterboards.ca.gov">dfa_grants@waterboards.ca.gov</a>	March 22, 2005 10 a.m.
IRWM Planning Grant Applicant Workshop Central Coast Regional Water Quality Control Board Office Watershed Room 1 – 3 895 Aerovista Place San Luis Obispo, CA 93401	March 30, 2005 10 a.m.
IRWM Planning Grant Applicant Workshop California Towers Building 3737 Main Street, Suite 200 Riverside, CA 92501	April 4, 2005 10 a.m.
IRWM Planning Grant Applicant Workshop Elihu Harris Building, Auditorium 1515 Clay Street Oakland, CA 94612	April 7, 2005 10 a.m.
<b>Planning Grant applications must be submitted via FFAST to 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.</b>	<b>May 12, 2005</b>
Public meeting to discuss initial funding recommendations.	<i>September 2005</i>
DWR and State Water Board approve final grant awards.	<i>October 2005</i>

## EXHIBIT A

### EXAMPLE AUTHORIZING RESOLUTION

Applicants must provide documentation, such as a copy of the resolution adopted by the applicant's governing body, designating an authorized representative to file an application for an IRWM Planning Grant and enter into an agreement with the State. The following is an example model resolution.

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

Resolved by the <Insert name of governing body, city council, organization, or other> of the <Insert name of agency, city council, organization, or other>, that application be made to the California Department of Water Resources and State Water Resources Control Board to obtain an Integrated Regional Water Management Planning 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.

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

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

Signature: \_\_\_\_\_

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

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

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

## EXHIBIT B

### ELIGIBLE APPLICANT DOCUMENTATION

#### Public Agencies

1. Is the applicant a public agency as defined in Section III of the [Guidelines](#)? 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, DWR or State Water Board?
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 Section III of the [Guidelines](#)? Please explain.
2. Does the applicant have legal authority to enter into a grant agreement with the State of California, DWR or State Water Board?
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.

## EXHIBIT C

### WORK PLAN PREPARATION GUIDANCE

Prospective applicants for IRWM and ICWM Planning Grants should read this PSP and the entire IRWM Grant Program Guidelines. Specific emphasis should be directed to the IRWM Plan Standards (Appendix A of the [Guidelines](#)) and to the Planning Grant evaluation criteria (Appendix B, Section B.2 of the [Guidelines](#)) to ensure that the submittal will meet the grant program requirements.

#### Background

The background section should be used to set the context of the work plan. It can include a discussion of previous efforts or activities that relate to the development of the IRWM and ICWM Plans but are not part of specific work items. At a minimum, the description of regional agency, description of region, planning objectives, integration of water management strategies, plan implementation, impacts and benefits, data and technical analysis, data management, stakeholder involvement, disadvantaged communities, relation to local planning, and agency coordination must be included either in the background section or, if appropriate, as work items. Applicants must submit a geographic file depicting the region (NAD 27 UTM10 shape file) as part of this attachment.

For ICWM plans, applicants must document, in the background section, that the proposed planning area is located in a coastal watershed that influences water quality in an area of special biological significance. Information regarding where areas of special biological significance are located can be found at the following link: <http://www.waterboards.ca.gov/plnspols/oplans/index.html>.

#### Work Items

Work items are specific items that will be performed as part of the proposal. The work items should be consistent with the budget and schedule. The work item descriptions will be used as the scope of work in a grant agreement if the proposal is selected for funding. Therefore, work item descriptions need to be of sufficient detail so the reviewer understands the work to be performed and is able to evaluate the adequacy of the proposal. Work item descriptions must include submittal of quarterly reports, a final report, and other written documents expected to be generated during performance of the proposal. Detailed work item descriptions must be supported with the estimates used in the budget. Describe and explain the applicant's plan, proposed efforts, and approach to environmental compliance including addressing any California Environmental Quality Act (CEQA) obligations in connection with the proposal. CEQA information is available online at <http://ceres.ca.gov/ceqa>.

#### Budget

The budget should be consistent with work items and schedule. For each work item, a budget line item estimate should be presented, as well as a breakdown of the applicant's funding match and requested grant funds. The information presented should allow the reviewer to understand how the budget estimate was developed. Supporting information for the budget includes labor categories, hourly rates, labor time estimates, and subcontractor quotes. The minimum Funding Match is 25% of the total proposal costs (See [Exhibit G](#)). The sources for funding match must be identified. The procedure to propose, document, and request a reduced funding match for disadvantaged communities is presented in [Exhibit D](#) of this PSP. Applicants should read the discussion on reimbursement of costs in Section V.L of the [Guidelines](#). Applicants are encouraged to limit direct project administrative expenses to less than 5% of the total proposal costs. Such administrative expenses are the necessary costs incidentally but directly related to the proposal.

#### Schedule

The schedule should be consistent with the work plan and budget and should include development and adoption of the IRWM Plan. The schedule should show January 2, 2006, as the assumed effective date and January 2, 2008 as the end date of the grant agreement. If the applicant can show that the IRWM Plan will be adopted by January 1, 2007 then the applicant may also be able to compete for the IRWM Implementation Grant Program concurrent with this application.

## Exhibit D

# Waiver or Reduction in Funding Match for Disadvantaged Communities IRWM or ICWM Planning Grants

### Purpose

The purpose of this exhibit is to provide a method for requesting a reduced funding match for IRWM or ICWM Planning Grants. DWR and State Water Board will review the information submitted by the applicant and decide, based on the information provided, whether to grant, amend, or deny, the request for funding match reduction. Applicants must demonstrate that a 25% funding match will be provided or request a waiver or reduction of the funding match and submit a signed Certification of Understanding ([Exhibit E](#)).

### Requirements

At a minimum, the following information must be included in Attachment 4 of the application:

- ◆ Describe the methodology used in determining total population of the region and the total population of the disadvantaged communities in the region. The applicant must include what census geographies (i.e., census designated place, census tract, census block) were used, and how they were applied. Also, the applicant must explain how the disadvantaged communities were identified.
- ◆ Provide annual Median Household Income (MHI) data for disadvantaged communities in the region.
- ◆ Provide sample calculations showing how the proposed reduced funding match was derived.
- ◆ Provide references to pages or sections of the application where additional descriptions or information on disadvantaged communities in relation to the proposal are included, such as efforts to include disadvantaged community representatives in the planning process, impacts and benefits to disadvantaged communities, and location maps.
- ◆ Letters of support from representatives of disadvantaged communities indicating their support for the proposal and acknowledging their inclusion in the planning process.

The following data requirements must be met:

- ◆ MHI and population data sets must be from the 2000 Census or more recent;
- ◆ MHI data used in analysis must be from the same time period and geography as the population data.

### Allowances

- ◆ Applicants may estimate total and disadvantaged community population numbers by whatever means that are accessible to them as long as the above requirements are met.
- ◆ In determining MHI for disadvantaged communities, applicants may use a single type of census geography or combinations of 2000 Census geographies that best represent the region. [Exhibit F](#) uses the geography of “place.” Other official census geographies, such as census tract and block group, are also acceptable. The intent of allowing this flexibility is to allow applicants a choice so that population and income data in the region can be accurately represented.

### Definitions

**Block Group** – means a census geography used by the U. S. Census Bureau (USCB) that is a subdivision of a census tract. A block group is the smallest geographic unit for which the USCB tabulates sample data. A block group consists of all the blocks within a census tract with the same beginning (block) number.



Census Designated Place – means a census geography used by the USCB that is a statistical entity, defined for each decennial census according to USCB guidelines, comprising a densely settled concentration of population that is not within an incorporated place, but is locally identified by a name. Census designated places are delineated cooperatively by state and local officials and the USCB, following USCB guidelines.

Census Tract – means a census geography used by the USCB that is a small, relatively permanent statistical subdivision of a county delineated by a local committee of census data users for the purpose of presenting data. Census tract boundaries normally follow visible features, but may follow governmental unit boundaries and other non-visible features in some instances; they always nest within counties. Census tracts are designed to be relatively homogeneous units with respect to population characteristics, economic status, and living conditions at the time of establishment. Census tracts average about 4,000 inhabitants.

Community – for the purposes of this grant program, a community is a population of persons residing in the same locality under the same local governance.

Disadvantaged Community – a community with an annual MHI that is less than 80% of the statewide MHI (CWC § 79505.5 (a)). For example, using Census 2000 data, 80% of the statewide annual MHI is \$37,994.

Place – A census geography used by the USCB that is a concentration of population either legally bounded as an incorporated place or identified as a Census Designated Place.

Region – for the purposes of the IRWM Grant Program, means a geographic area.

### Step A. Screening based on Maximum Grant Amount:

The planning grants awarded under this program have a maximum limit of \$500,000 regardless of disadvantaged community status.

### Step B. Documentation of the Presence of Disadvantaged Communities:

Disadvantaged communities must be contained in the region. **If there are no disadvantaged communities in the region, please do not apply for a reduced funding match.** Disadvantaged communities should be identified in the description of the region contained in the application. Applicants should ensure the description of the disadvantaged communities is adequate to determine whether the communities meet the definitions of this exhibit. Disadvantaged communities should also be shown on maps of the region. In describing disadvantaged communities, include their relationship to regional planning objectives. Attachment 4 of the application should contain information that supports the determination of disadvantaged communities in the region.

### Step C. Documentation of Disadvantaged Community Representation and Participation:

The mere presence of disadvantaged communities in the region is not sufficient cause to grant a reduced funding match. Disadvantaged communities must be involved in the IRWM planning process. Supporting information that demonstrates how disadvantaged communities are or will be involved in the IRWM planning process must be included in the appropriate sections of the application. Places within the application where participation is discussed include the sections describing the regional agency or regional water management group and stakeholder involvement. Supporting information must demonstrate how disadvantaged communities or their representatives are participating in the planning process. **If an applicant cannot demonstrate disadvantaged community representation or participation in the planning process, please do not apply for a reduced funding match.**

### Step D. Benefits and Impacts to Disadvantaged Communities:

Applicants should explain anticipated benefits and impacts to disadvantaged communities in their region from the IRWM planning effort. The applicant's work plan may also include work items that address such benefits or impacts.

### Step E. Calculating a Reduced Funding Match:

The required funding match for planning grants is 25% of the total proposal cost. Where the project directly benefits a disadvantaged community, a waiver of or reduction in the required funding match may be allowed. To reduce the required funding match, the applicant must determine the Disadvantaged Community Ratio (DCR) and

the Reduced Funding Match Factor (RFMF). The details of determining the DCR and RFMF and example calculations are provided below.

### Determining the DCR for Region

Applicants can use any method that is reproducible and logical in determining populations in the region as long as the requirements of this Exhibit are met and the method is consistently applied. For assistance with accessing census data see [Exhibit F](#) of this PSP.

- ◆ Determine the total population of the region. The total population in the region =  $P_R$
- ◆ Determine the total population of the disadvantaged communities (MHI greater than zero but less than \$37,994) in the region. The disadvantaged community population =  $P_D$
- ◆  $DCR = P_D/P_R$

In determining populations and MHI for disadvantaged communities, applicants must ensure that population and MHI values of zero are appropriate for use in data sets. Text, data, and other information that supports selection of areas as disadvantaged communities must be provided in the sections of the application that describe the region, water management issues, and plan objectives. For assistance with accessing census data, see [Exhibit F](#) of this PSP. Applicants must also follow the PSP instructions on submitting Attachment 4 and include the method used for population determination, the population of the region, the disadvantaged communities in the region, MHI data for disadvantaged communities, and the calculation of the reduced funding match.

### Determining the RFMF for the Region

The RFMF is a function of the DCR and is calculated as follows:

- ◆  $RFMF = 0.25 - (0.25 \times DCR)$
- ◆ Where
  - 0.25 = the minimum funding match for planning grants; and
  - $DCR = P_D/P_R$
- ◆ Round the RFMF to the nearest 0.01

The RFMF is then multiplied by the total proposal cost to determine the reduced funding match. Example calculations are shown below.

**Example:** Agency A is requesting a reduced funding match for a planning grant proposal that has a total cost of \$450,000.

$$\begin{aligned}
 P_R &= 1,000,000 \\
 P_D &= 750,000 \\
 DCR &= 750,000/1,000,000 = 0.75 \\
 RFMF &= 0.25 - (0.25 \times 0.75) \\
 &= 0.25 - (0.1875) \\
 &= 0.0625 \text{ rounded to } 0.06 \text{ (or } 6\%)
 \end{aligned}$$

Total Project Cost	Grant and Fund Match Using the Minimum Funding Match Requirement (25% of total)		Grant and Funding Match using a Reduced Funding Match (6% of total)	
	Funding Match	Grant Funds	Funding Match	Grant Funds
\$450,000	$0.25 \times \$450,000 = \$112,500$	$\$450,000 - \$112,500 = \$337,500$	$0.06 \times \$450,000 = \$27,000$	$\$450,000 - \$27,000 = \$423,000$

## Exhibit E

### CERTIFICATION OF UNDERSTANDING

#### The undersigned certifies that:

The application submitted by <Insert Name of Applicant> for <Insert Proposal Title> for a Proposition 50, Chapter 8, Planning Grant contains a request for waiver or reduction of funding match based on disadvantaged communities.

The above named applicant understands:

- ◆ The waiver or reduction of the funding match presented in the application is a request that will not be automatically granted.
- ◆ Department of Water Resources and State Water Resources Control Board will review the disadvantaged community information submitted in the application prior to making a decision to accept, modify, or deny such a waiver or reduction.
- ◆ Should the proposal be chosen for funding, but the requested waiver or reduction in funding match be rejected or modified, the grantee is responsible for costs exceeding the grant funding amount to complete the project.
- ◆ The granting agency will rescind the grant award if the grantee cannot cover increased costs due to rejection or modification of the request for a waiver of or reduction in the funding match OR adequately restructure the grant proposal so that it can meet the intent of the original proposal.

Signature: \_\_\_\_\_

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

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

Agency: \_\_\_\_\_

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

## Exhibit F

### Accessing and Using 2000 Census Data

Applicants are allowed to use whatever tools they have to access and use 2000 Census data. The procedures and suggestions presented here are meant to assist applicants. The use of these procedures is not mandatory and does not translate into any preference over any other method.

#### Determining Census Places in the Region

For the purposes of this supplement, a community is assumed to be represented as the census geography of “place.” Places include populous incorporated and unincorporated areas. There is a variety of ways to determine what places are included in the region. Applicants can use other census geographies that better represent their region. Access to other census geographies is similar to what is presented here for place.

If an applicant’s agency has Geographic Information System (GIS) capability, it can access shape files for different census geographies including places at:

[http://www.census.gov/geo/www/cob/bdy\\_files.html](http://www.census.gov/geo/www/cob/bdy_files.html)

Using GIS tools, the applicant can layer the region and the place shape files (or other geographies) to determine what places exist in the region.

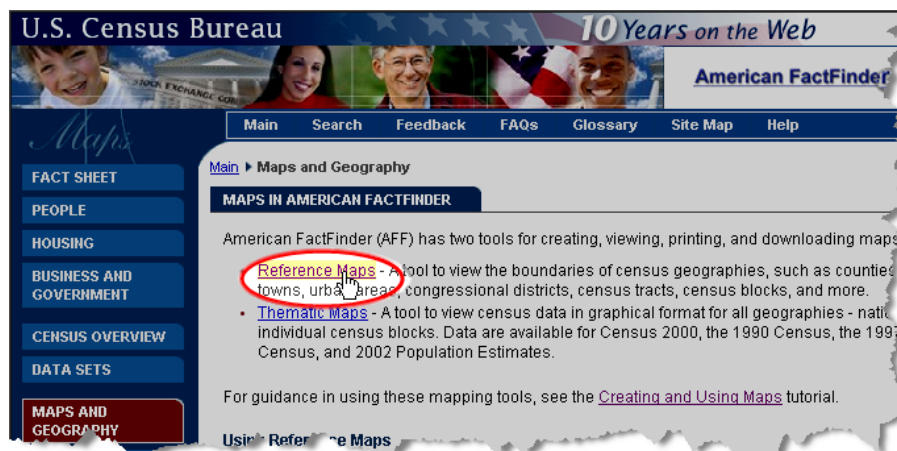
Another way to determine census places or other geographies in the region is to use the mapping feature at the USCB website:

[http://factfinder.census.gov/home/saff/main.html?\\_lang=en](http://factfinder.census.gov/home/saff/main.html?_lang=en)

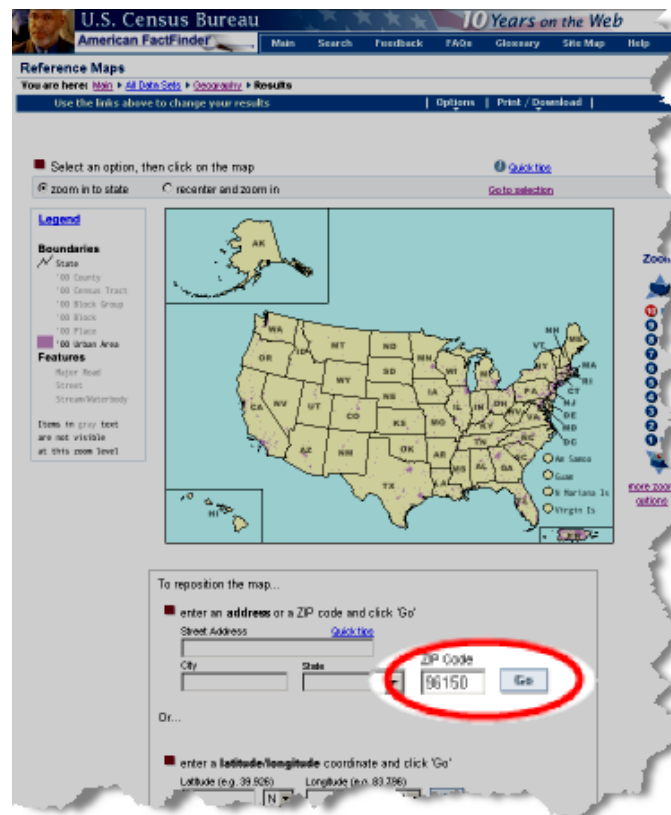
1. From the main page click on “Maps and Geography”:



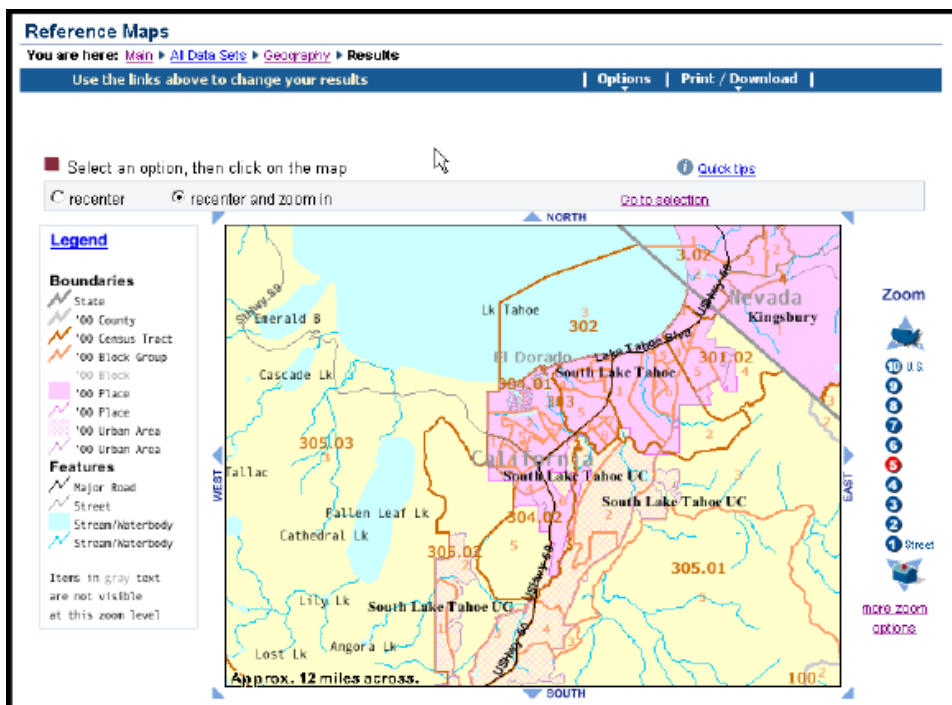
2. Selecting “Reference Maps” on the subsequent page will allow access maps by clicking the nation map to zoom into an area, entering a street address, entering a zip code, or entering a latitude/longitude coordinate.



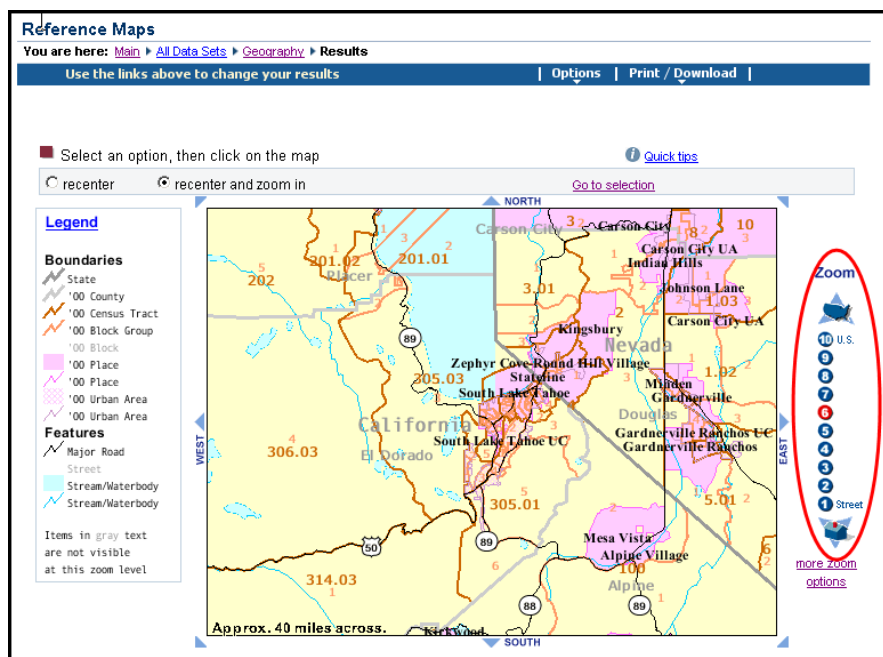
In the example below the zip code for South Lake Tahoe is entered:



Entering latitude, longitude, address, or zip code and clicking the “Go” button produces a map focused on the input data. Places are shown in pink. Other census geography boundaries are also shown on the map.

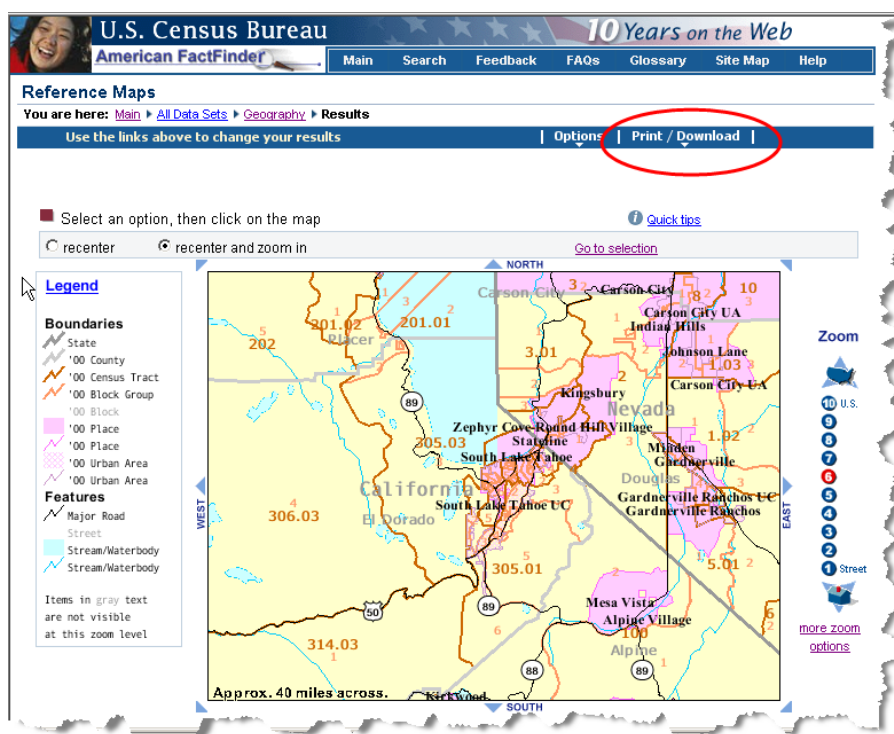


3. The zoom buttons on the map window may be used to decrease or increase the scale of the map.





- When a map of the appropriate scale has been developed for these purposes, the image can be printed or downloaded from the menu bar.

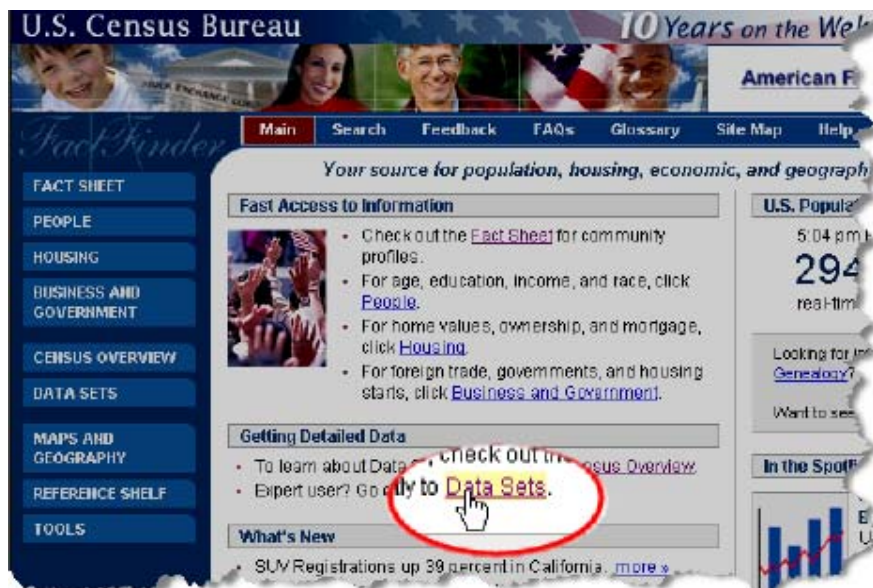


## Obtaining Population and Median Household Income Data:

To calculate the reduced funding match the population data and MHI data are needed. These data can be obtained from the USCB web page:

[http://factfinder.census.gov/home/saff/main.html?\\_lang=en](http://factfinder.census.gov/home/saff/main.html?_lang=en)

- Select Data Sets from the Main Page:





2. Select the “Census 2000 Summary File 3” Data Set and then “Custom Table”:

**2000**

☐ **Census 2000 Summary File 1 (SF 1) 100-Percent Data**  
Summary File 1 presents counts and information [age, sex, race, Hispanic/Latino origin, household relationship, whether residence is owned or rented] collected from all people and housing units.

☐ **Census 2000 Summary File 2 (SF 2) 100-Percent Data**  
Population and housing characteristics iterated for many detailed race and Hispanic or Latino categories, and American Indian and Alaska Native tribes.  
[SF 2 Thresholds](#)

☒ **Census 2000 Summary File 3 (SF 3) - Sample Data**  
Summary File 3 presents detailed population and housing data (such as place of birth, education, employment status, income, value of housing unit, year structure built) collected from a 1-in-6 sample and weighted to represent the total population.  
[Comparing SF 3 Estimates with Corresponding Values in SF 1 and SF 2](#)

☐ **Census 2000 Summary File 4 (SF 4) - Sample Data**  
Summary File 4 contains tabulations of population and housing data collected from a sample of the population. The data is shown down to the

Select from the following options

[Detailed Tables](#)  
[Geographic Comparison Tables](#)  
[Quick Tables](#)  
[Thematic Maps](#)  
[Reference Maps](#)  
[Custom Table](#)  
[Enter a table number](#)  
[List all tables](#)

3. Now do the following steps:

- Select “place” for geographic type from the pull down menu.
- Select “California” from the State pull down menu.
- Select the place of interest. It is possible to highlight more than one place at a time by holding down the Ctrl key and clicking the mouse on the places needed.
- Once all the places needed are selected click the “Add” button. (Note: if unsure about the location of a place, press the “Map It” button to call up a detailed map.)
- The selections should show up in the “current geography selections” window.
- Click “Next” to select data for these geographies. Other geographies may also be selected using these steps.

**Select Geography**

You are here: [Main](#) > [All Data Sets](#) > [Data Sets with Custom Tables](#) > [Geography](#) > [Data Elements](#) > [Census 2000 Summary File 3 \(SF 3\) - Sample Data, Custom Table](#)

Choose a selection method

[list](#) [name search](#) [address search](#) [map](#) [geo within geo](#)

[Show all geography types](#) | [Explain Census Geography](#)

Select a [geographic type](#)

..... Place

Select a state

California

Select one or more geographic areas and click 'Add'

South El Monte city  
South Gate city  
**South Lake Tahoe city**  
South Oroville CDP  
South Pasadena city  
South San Francisco city  
South San Gabriel CDP  
South San Jose Hills CDP

Map It

Add

Current geography selections:

==== Place =====  
Alpine Village CDP, California  
Mesa Vista CDP, California  
South Lake Tahoe city, California

Remove

Next

4. In the “Select a table” window, select “P53. Median Household Income in 1999 (Dollars)” (Note: 2000 Census used 1999 income data) by clicking on it and then clicking on the “Go” button:

Choose a data element selection method

from a table search

Choose a table selection method

show all tables by subject by keyword

Select a table and click 'Go'

P50. Sex by Occupation for the Employed Civilian Population 16+ Years  
P51. Sex by Industry by Class of Worker for the Employed Civilian Population 16+ Years  
P52. Monthly Income in 1999  
**P53. Median Household Income in 1999 (Dollars)**  
P54. Aggregate Household Income in 1999 (Dollars)  
P55. Age of Householder by Household Income in 1999  
P56. Median Household Income in 1999 (Dollars) by Age of Householder  
P57. Aggregate Household Income in 1999 (Dollars) by Age of Householder  
P58. Earnings in 1999 for Households  
P59. Wage or Salary Income in 1999 for Households

Abbreviations:  
Black - Black or African American  
AIAN - American Indian or Alaska Native  
NHPI - Native Hawaiian or Other Pacific Islander

What's this?  
Go

5. When the “Go” button is clicked, the data for population will be retrieved. Then follow these steps:
- Click the check box for Median Household Income in 1999 (Dollars).
  - Press the “Add” button.
  - Median Household Income should now be added to the “Current data element selections window”.

(Note: By repeating these steps the applicant can select other data of interest, such as Total Population.)

P53. Median Household Income in 1999 (Dollars)  
P54. Aggregate Household Income in 1999 (Dollars)  
P55. Age of Householder by Household Income in 1999  
P56. Median Household Income in 1999 (Dollars) by Age of Householder  
P57. Aggregate Household Income in 1999 (Dollars) by Age of Householder  
P58. Earnings in 1999 for Households  
P59. Wage or Salary Income in 1999 for Households  
P60. Self-Employment Income in 1999 for Households  
P61. Interest, Dividends, or Net Rental Income in 1999 for Households  
P62. Social Security Income in 1999 for Households

Abbreviations:  
Black - Black or African American  
AIAN - American Indian or Alaska Native  
NHPI - Native Hawaiian or Other Pacific Islander

What's this?  
Go

Select one or more data elements and click 'Add'

P53. MEDIAN HOUSEHOLD INCOME IN 1999 (DOLLARS) [1]  
Universe: Households  
☒ Median household income in 1999

1. Click the check box.

2. Click the "Add" button.

Add

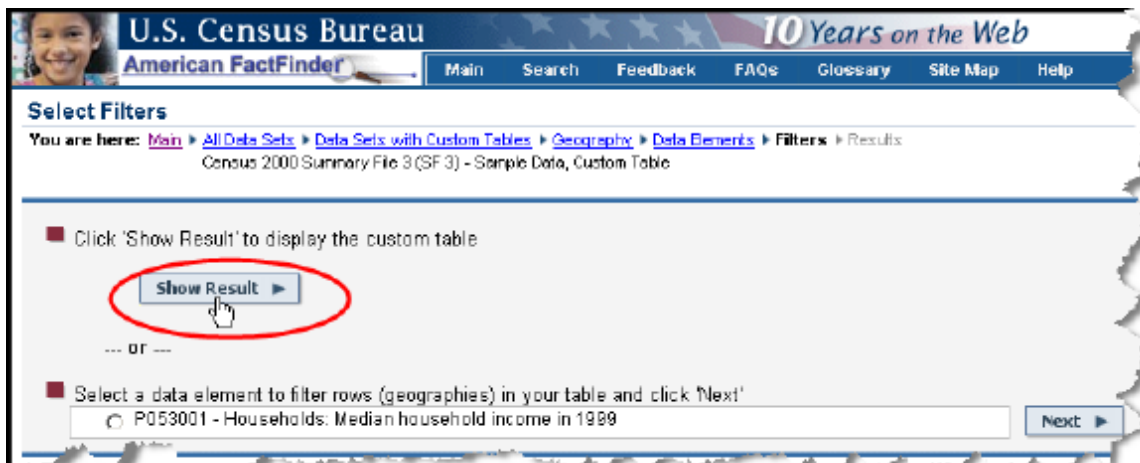
Current data element selections:

☐ P053001 - Households: Median household income in 1999

3. Median Household Income should show up in this box.

Remove  
Next

6. Clicking the “Next” button will produce one final window. Click the “Show Results” button.



7. The resulting table should contain the MHI for the selected places. Print this table or download it as a Microsoft Excel spreadsheet by using the pull down menu in the upper right portion of the window:

**Custom Table**

You are here: [Main](#) > [All Data Sets](#) > [Data Sets with Custom Tables](#) > [Geography](#) > [Data Elements](#) > [Filters](#) > [Results](#)

Use the links above to change your results | [Options](#) | [Print / Download](#)

Data Set: [Census 2000 Summary File 3 \(SF 3\) - Sample Data](#)

Result contains 3 rows.

rows 1-3

	P053001
Households: Median household income in 1999	
Alpine Village CDP, California	42,188
Mesa Vista CDP, California	55,781
South Lake Tahoe city, California	34,707

NOTE: A hyphen (-) indicates that data are not available for this geographic area for the selected data element (column) in your custom table. Please consult the [Census 2000 Summary File 3 \(SF 3\) - Sample Data Technical Documentation \(PDF 6.92MB\)](#) for more information.

## Exhibit G

### Funding Match Information

#### Purpose:

The purpose of this exhibit is to provide information regarding funding match and how it is defined and applied to the IRWM Planning Grant Program.

#### Background:

CWC §79505.5 (b) and (c) states the following:

(b) “Matching funds” means funds made available by non-state sources, which may include, but are not limited to, donated services from non-state sources.

(c) Notwithstanding subdivision (b), matching funds for a state agency may include state funds and services.

Section II.D of the [Guidelines](#) establishes the following 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. (CWC § 79505.5(b-c))

- ◆ The required minimum funding match for a Planning Grant will be 25 percent of the total proposal costs.”

Section V.L of the [Guidelines](#) states that

“Only work performed **after** the effective date of the grant agreement will be eligible for reimbursement. Costs incurred after November 5, 2002, 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.**”

Appendix D of the [Guidelines](#) defines reimbursable costs as follows:

“Reimbursable Costs – means costs that may be funded under Proposition 50. Reimbursable costs include the reasonable costs of engineering, design, land and easement, legal fees, preparation of environmental documentation, environmental mitigation, and project implementation. Costs that are not reimbursable with grant funding include, but are not limited to:

- a. Costs, other than those noted above, incurred prior to effective date of a grant agreement with the State;
- b. Operation and maintenance costs, including post construction project performance and monitoring costs;
- c. Purchase of equipment not an integral part of the project;
- d. Establishing a reserve fund;
- e. Purchase of water supplies;
- f. Replacement of existing funding sources for ongoing programs;
- g. Support of existing agency requirements and mandates;
- h. Purchase of land in excess of the minimum required acreage necessary to operate as an integral part of the project, as set forth and detailed by engineering and feasibility studies, or land purchased prior to effective date of a grant agreement with the State; and

- i. Payment of principal or interest of existing indebtedness or any interest payments unless the debt is incurred after effective date of a grant agreement with the State, the granting agency agrees in writing to the eligibility of the costs for reimbursement before the debt is incurred, and the purposes for which the debt is incurred are otherwise reimbursable project costs.”

## Funding Match and Scoring:

Table 2 of the PSP presents a pass/fail minimum funding match criterion. If an applicant does **not** present a 25% funding match, the application fails the funding match criterion and **the application will not be scored or considered for funding**. The requirement for a 25% funding match may be waived or reduced to the extent that the 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 communities.

If the applicant is requesting a waiver or reduction in funding match based on inclusion of disadvantaged communities in the planning process, the decision to grant, modify, or reject the request is at the discretion of DWR and State Water Board. Applicants requesting a waiver or reduction of the funding match must submit: (1) the request for a waiver or reduction of the funding match; (2) disadvantaged community information ([Exhibit D](#)); and (3) a signed copy of the Certification of Understanding (as Attachment 5 to the application). The Certification of Understanding can be found in [Exhibit E](#).

By submitting the combination of a reduced funding match and the signed certification, the application will be considered as having met the minimum funding match criterion and the application will be reviewed and scored. The person signing the certification **must be** the person named in the Authorizing Resolution (Attachment 1 of the application).

Providing a funding match of more than 25% does not lead to a higher score for a proposal. Under the planning grant program there is no scoring criterion based on funding match. However, the applicant must demonstrate that funding is available to complete the application.

## What Can be Used as Funding Match:

As specified in the CWC, the Guidelines, and in the PSP, the funding match must be from non-state sources, unless the applicant is a State agency. Applicants can use in-kind services, federal grant dollars, or local agency dollars. In addition to costs or in-kind services performed under a grant agreement, costs paid or in-kind services performed from non-state sources may be presented as a funding match if they occur between November 2002, when Proposition 50 was passed, and the effective date of the grant agreement. In the event that an applicant receives a grant, the Granting Agency will consider the funding match and may disallow portions from non-state sources.

## Examples of Funding Match:

EXAMPLE 1: In this example the total cost of the proposal (\$726,000) is more than the maximum grant limit of \$500,000; therefore, the applicant must pay for costs exceeding \$500,000. Under Example 1, the applicant is providing a 31% funding match made up in part by local agency services on the project.

Work Item	Agency Funding Match	Grant Request	Total Cost
1. Gather/Analyze Existing Management Plans	\$200,000	\$25,000	\$225,000
2. Prioritize Management Issues	\$0	\$25,000	\$25,000
3. Integrate /Prioritize Projects	\$0	\$50,000	\$50,000
4. Conduct Stakeholder Meetings and Planning Studies	\$0	\$250,000	\$250,000
5. Write Draft Plan	\$0	\$100,000	\$100,000
6. Prepare Final Plan	\$0	\$50,000	\$50,000
7. Adopt Plan	\$1,000	\$0	\$1,000
8. Quarterly and Final Reports	\$25,000	\$0	\$25,000
<b>Totals</b>	<b>\$226,000</b>	<b>\$500,000</b>	<b>\$726,000</b>

The funding match for Example 1 =  $\$226,000 / \$726,000 \times 100 = 31\%$ .

EXAMPLE 2: Under Example 2, the applicant is providing a 25% funding match and the grant amount is less than the maximum amount.

Work Item	Agency Funding Match	Grant Request	Total Cost
1. Gather/Analyze Existing Management Plans	\$50,000	\$25,000	\$75,000
2. Prioritize Management Issues	\$0	\$25,000	\$25,000
3. Integrate /Prioritize Projects	\$0	\$25,000	\$25,000
4. Conduct Stakeholder Meetings and Planning Studies	\$0	\$200,000	\$200,000
5. Write Draft Plan	\$50,000	\$100,000	\$150,000
6. Prepare Final Plan	\$16,417	\$50,000	\$66,417
7. Adopt Plan	\$250	\$0	\$250
8. Quarterly and Final Reports	\$25,000	\$0	\$25,000
<b>Totals</b>	<b>\$141,667</b>	<b>\$425,000</b>	<b>\$566,667</b>

The funding match for Example 2 =  $\$141,667 / \$566,667 \times 100 = 25\%$ .

EXAMPLE 3: Under Example 3, the applicant is requesting a 12% funding match for disadvantaged communities and is asking for the maximum amount of grant funding. The reduced funding match request is contingent on disadvantaged community information submitted by the applicant (Attachment 4 of the application), submission of the proposed waiver or reduction of funding match, submission of a signed certification (Attachment 5 of the application), and DWR and State Water Board's acceptance of the request.

Work Item	Agency Funding Match*	Grant Request	Total Cost
1. Gather/Analyze Existing Management Plans	\$0	\$75,000	\$75,000
2. Prioritize Management Issues	\$25,000	\$0	\$25,000
3. Integrate /Prioritize Projects	\$0	\$25,000	\$25,000
4. Conduct Stakeholder Meetings and Planning Studies	\$0	\$200,000	\$200,000
5. Write Draft Plan	\$0	\$150,000	\$150,000
6. Prepare Final Plan	\$16,417	\$50,000	\$66,417
7. Adopt Plan	\$250	\$0	\$250
8. Quarterly and Final Reports	\$25,000	\$0	\$25,000
<b>Totals</b>	<b>\$66,667</b>	<b>\$500,000</b>	<b>\$566,667</b>

\* Applicant is applying for a reduced funding match for disadvantaged communities.

The funding match for Example 3 =  $\$66,667 / \$566,667 \times 100 = 12\%$ .

### Presenting Funding Match:

The funding match appears in several places in the application. An applicant will directly enter into FFAST ([Table 1](#) of the PSP), the funding match amount, grant request, and whether or not a reduced funding match is being requested. The funding match appears again in the work plan ([Exhibit C](#) of the PSP) with the budget. Applicants must show agency funding match and grant fund allocations in their budgets. Applicants must also identify the source of the agency funding match.