# *2005-06 CONSOLIDATED GRANTS PROGRAM GUIDELINES*

CALIFORNIA
Water Boards
STATE WATER RESOURCES CONTROL BOARD
REGIONAL WATER QUALITY CONTROL BOARDS

***ADOPTED JANUARY 4, 2006***

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## *ACRONYMS USED IN THESE GUIDELINES AND APPENDICES*

| | |
|---|---|
| ASBS | Areas of Special Biological Significance |
| ASCP | Accelerated Selection and Contracting Procedure |
| AWQGP | Agricultural Water Quality Grant Program |
| Basin Plan | Regional Water Quality Control Plan |
| BF | Benefit Factor |
| BMP | Best Management Practice |
| Cal/EPA | California Environmental Protection Agency |
| CALFED | California Bay-Delta Authority |
| California Water Boards | State Water Resources Control Board and Regional Water Quality Control Boards |
| CCA | Critical Coastal Area |
| CCC | California Coastal Commission |
| CEQA | California Environmental Quality Act |
| CNPS | Coastal Nonpoint Source Pollution Control Program |
| CP | Concept Proposal |
| CRO | Cultural Resources Officer |
| CWA | Clean Water Act |
| CWC | California Water Code |
| DCR | Disadvantaged Community Ratio |
| DFG | Department of Fish and Game |
| Division | Division of Financial Assistance |
| DWR | Department of Water Resources |
| EQIP | Environmental Quality Incentives Program |
| FAAST | Financial Assistance Application Submittal Tool |
| GAMA | Groundwater Ambient Monitoring Assessment |
| GIS | Geographic Information System |
| GPS | Global Positioning System |
| IRWM | Integrated Regional Water Management |
| IWMP | Integrated Watershed Management Program |
| LID | Low Impact Development |
| MHI | Median Household Income |
| MMP | Mitigation Monitoring Plan |
| MND | Mitigated Negative Declaration |
| MOU | Memorandum of Understanding |
| ND | Negative Declaration |
| NEPA | National Environmental Policy Act |
| NOD | Notice of Determination |
| NOP | Notice of Preparation |
| NPDES | National Pollutant Discharge Elimination System |
| NPS | Nonpoint Source |
| NPSPC | Nonpoint Source Pollution Control |
| OPC | Ocean Protection Council |
| PAEP | Project Assessment and Evaluation Plan |
| POTW | Publicly Owned Treatment Works |
| PRC | Public Resources Code |
| PSP | Proposal Solicitation Package |
| QAPP | Quality Assurance Project Plan |
| Regional Water Board | Regional Water Quality Control Board |
| RCRA | Resource Conservation and Recovery Act |
| RFMF | Reduced Funding Match Factor |
| RFP | Request for Proposal |
| RPU | Regional Programs Unit |

| | |
|---|---|
| SCH | State Clearinghouse |
| State Water Board | State Water Resources Control Board |
| SWAMP | Surface Water Ambient Monitoring Program |
| TMDL | Total Maximum Daily Load |
| USCB | United States Census Bureau |
| USEPA | United States Environmental Protection Agency |
| USWP | Urban Stormwater Program |
| WC | Water Code |
| WMA | Watershed Management Area |
| WMI | Watershed Management Initiative |

# 2005-06 CONSOLIDATED GRANTS PROGRAM GUIDELINES

## I. PURPOSE

The purpose of these Guidelines is to establish the process and criteria that the State Water Resources Control Board (State Water Board) will use to solicit applications, evaluate proposals, and award grants for the 2005-06 Consolidated Grants Program, as listed in Table 1. These Guidelines include the information and documentation applicants will be required to submit to apply for the grant funds.

**Table 1 - Grant Programs Administered Under the 2005-06 Consolidated Grants Program**

| No. | Grant Program | Purpose | Available Funding[1] |
|---|---|---|---|
| 1. | Coastal Nonpoint Source Pollution Control Program[2] (CNPS)<br>*Proposition 50, Chapter 5* | Projects that restore and protect the water quality and the environment of coastal waters, estuaries, bays, near shore waters, and groundwater. | $43.1 Million |
| 2. | Nonpoint Source Pollution Control (NPSPC) Program<br>*Proposition 40, Chapter 4* | Projects that protect the beneficial uses of water throughout the state through the control of NPS pollution. | $19 Million |
| 3. | Nonpoint Source (NPS) Implementation Program<br>*Clean Water Act, Section 319(h)* | Projects that restore and protect the beneficial uses of water throughout the State through the control of NPS pollution consistent with completed Total Maximum Daily Loads (TMDLs) or those under development. | Approximately $4.5 Million |
| 4. | Urban Stormwater Program (USWP)<br>*Proposition 40, Chapter 4* | Projects designed to implement stormwater pollution reduction and prevention programs. | $14.25 Million |
| 5. | Agricultural Water Quality Grant Program (AWQGP)<br>*Proposition 40, Chapter 4 &*<br>*Proposition 50, Chapter 5* | Projects that will improve water quality through monitoring, demonstration projects, research, construction of agricultural drainage improvements, and projects that will reduce pollutants in agricultural drainage water through reuse, integrated management, or treatment. | $15.2 Million |
| 6. | Integrated Watershed Management Program (IWMP)[3]<br>*Proposition 40, Chapter 4* | Projects for development of integrated watershed management plans and for implementation of watershed protection and water management projects. | $47.5 Million |
| | | **TOTAL** | **$143.55 Million** |

[1] Funding amounts are approximate.
[2] The State Water Board will reserve up to 5% of the CNPS funds for projects that directly benefit disadvantaged communities.
[3] There is an accelerated selection and contracting procedure (ASCP) for IWMP projects that are fully permitted, ready to be implemented, and meet specific criteria.

These Guidelines supercede any Guidelines or requirements previously adopted for these programs, including the August 26, 2004 *Agricultural Water Quality Grant Program Guidelines*.

Additional funds may be available from Proposition 13, the *Safe Drinking Water, Clean Water, Watershed Protection, and Flood Protection Act* of 2000. The available Proposition 13 funding will be used to fund additional projects submitted for the above programs that meet the Proposition 13 eligibility requirements.

## *II. OVERVIEW*

The State Water Board will administer six watershed and NPS grant programs concurrently through the 2005-06 Consolidated Grants Program. The six programs are funded using approximately $143.55 million from Proposition 40, Proposition 50, and federal appropriations. A summary table of the six programs is presented in Appendix A. The web links to the specific bond language for Propositions 40 and 50 are provided in Appendix B.

Because bonds and legislation layout significantly different requirements for each program, it is not possible to combine requirements into one set of requirements for all six programs. "One-stop" shopping for these grants should provide efficiencies for grantees. The consolidation of these grants simplifies the grant application process, provides significant coordination with our partner agencies, and allows broader statewide funding needs to be addressed.

State Water Board staff have engaged stakeholders in the development of these Guidelines through several venues. Staff conducted the following workshops and meetings to obtain stakeholder input:

- California Bay-Delta Authority Watershed Subcommittee meetings on May 20, 2005 and October 21, 2005;
- Inter-Tribal Council of California members meeting on July 18, 2005;
- California Bay-Delta Authority Drinking Water Subcommittee meeting on July 22, 2005;
- Stakeholder scoping workshops in Sacramento, Oakland, and Riverside in July 2005;
- Yuba/Bear Watershed Council meeting on October 19, 2005; and
- Public workshops, to solicit comments on the draft Guidelines, in San Diego, Sacramento, and Oakland in November and December 2005.

In addition, significant input was received through the State Water Board website, which has been updated frequently to include draft program information and to provide staff-level documents for public review and feedback.

During the development of the Guidelines, staff from the State Water Board, Regional Water Quality Control Boards (Regional Water Boards), United States Environmental Protection Agency (USEPA), and other partner agencies developed a list of priorities. Partner agencies include the Resources Agency, Department of Water Resources, Department of Food and Agriculture, Department of Health Services, Department of Boating and Waterways, Department of Fish and Game, Department of Parks and Recreation, California Coastal Commission, State Coastal Conservancy, Department of Forestry, Department of Conservation, and California Bay-Delta Authority (CALFED). The priorities were developed so that the 2005-06 Consolidated Grants Program can focus on funding projects that address the environmental needs of the State of California.

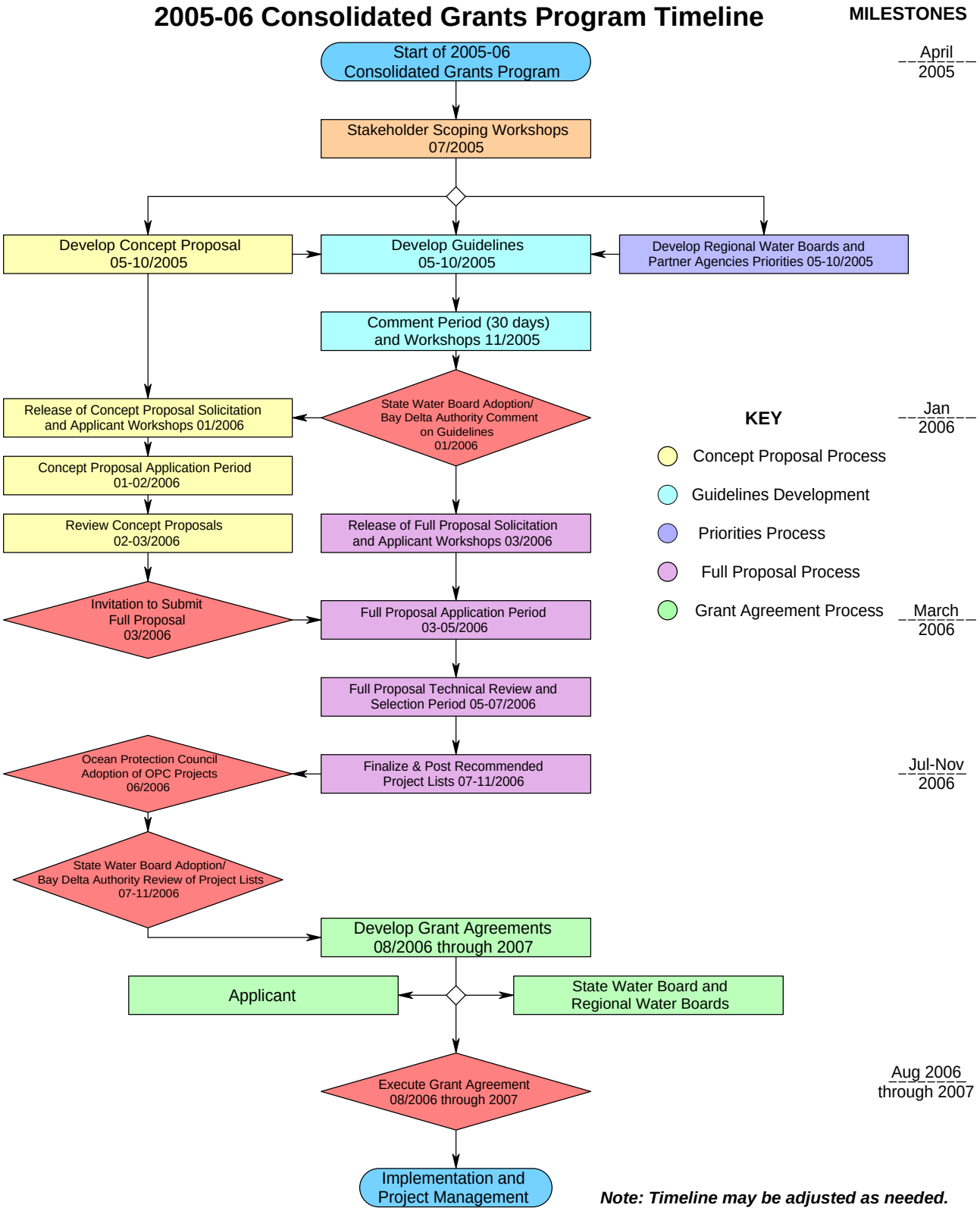
**In order to be eligible for funding, projects must address at least one of the State Water Board or Regional Water Boards (California Water Boards) priorities, except for Integrated Watershed Management Program (IWMP) funded projects. The priority must be an eligible project type, as identified in the law (Section III.C). To be eligible for IWMP implementation funds, a project must meet at least three priorities identified by three different agencies. All three priorities must be eligible project types, as identified in the law (Section III.C). Development of a local watershed management plan meets the priority requirements for the IWMP planning funds.** Specific requirements for the IWMP are presented in

Appendix C. Eligibility requirements, detailed in these Guidelines, for applicants, funding amounts, timing, and project types must also be met.

The 2005-06 Consolidated Grants Program solicitation will be a two-step process. In the first step, applicants submit brief Concept Proposals (CPs). CPs will be submitted through the State Water Board's on-line Financial Assistance Application Submittal Tool (FAAST). Applicants with the highest-ranking CPs will be invited to submit a Full Proposal for a specific program. Recommended funding lists will be developed and presented at State Water Board meetings for public comment and State Water Board adoption. An overview of the 2005-06 Consolidated Grants Program process and timeline is presented in the flowchart in Figure 1.

The eligibility requirements and application process are detailed in the following sections of the Guidelines: (I) Purpose; (II) Overview; (III) Eligibility Requirements; (IV) Priorities and Program Preferences; (V) Proposal Solicitation, Review, and Selection Process; and (VI) General Requirements. Proposal content requirements and review criteria are included in the Appendices.

# Figure 1
# State Water Board
# 2005-06 Consolidated Grants Program Timeline




***Note: Timeline may be adjusted as needed.***

# III. ELIGIBILITY REQUIREMENTS

Complete applications will be evaluated for compliance with the eligibility requirements during the CP and Full Proposal phases. Eligibility is based on program funding limits, project timing, match requirements, applicant type, and project type. Proposals that do not meet the eligibility requirements will not be reviewed or considered for funding.

## A. PROJECT TIMING, PROGRAM FUND LIMITS, & MATCH REQUIREMENTS

The project timing, maximum and minimum grant amounts, and the minimum match requirements for all six programs are presented in Table 2.

**Table 2 – Project Timing, Maximum and Minimum Grant Amounts, and Match Requirements**

| Grant Program | Project Timing | Maximum Grant Amount | Minimum Grant Amount | Minimum Match Requirement[1] |
|---|---|---|---|---|
| Coastal Nonpoint Source Pollution Control Program (CNPS) | Encumber by June 30, 2008.<br>Complete projects by March 2010.<br>Disburse funds by June 30, 2010. | $5,000,000 | $250,000 | 20% for Projects between $1,000,000 to $5,000,000<br>15% for Projects less than $1,000,000[2] |
| Nonpoint Source Pollution Control (NPSPC) Program | Encumber by December 31, 2006.<br>Complete projects by September 2008.<br>Disburse funds by December 31, 2008. | $5,000,000 | $250,000 | 25% |
| Nonpoint Source (NPS) Implementation Program | Encumber by December 31, 2006.<br>Complete projects by December 31, 2010.<br>Disburse funds by February 1, 2011. | $1,000,000 | $250,000 | 25% |
| Urban Stormwater Program (USWP) | Encumber by December 31, 2006.<br>Complete projects by September 2008.<br>Disburse funds by December 31, 2008. | $1,000,000 | $250,000 | 25% |
| Agricultural Water Quality Grant Program (AWQGP) | **Proposition 40**:<br>Encumber by December 31, 2006.<br>Complete projects by September 2008.<br>Disburse funds by December 31, 2008.<br>**Proposition 50:**<br>Encumber by June 30, 2007.<br>Complete projects by March 2009.<br>Disburse funds by June 30, 2009. | $1,000,000 | $250,000 | 25% |
| Integrated Watershed Management Program (IWMP) | Encumber by December 31, 2006.<br>Complete projects by September 2008.<br>Disburse funds by December 31, 2008. | $5,000,000 ($500,000 for planning) | $250,000 ($100,000 for planning) | 25% |

[1] The match requirement may be waived or reduced for projects that directly benefit a disadvantaged community(ies) as outlined in Appendix D.
[2] The match requirements for the CNPS are established by law. The funding match for the CNPS is calculated for the portion of the project consisting of capital costs for construction (CWC, Section 79148.8(f)).

### *i. MAXIMUM GRANT AMOUNTS & MINIMUM GRANT AMOUNTS*

The maximum grant amount for the CNPS is established by law. The minimum and maximum grant amounts for other programs are based on input from stakeholders, California Water Boards staff, and partner agency representatives.

### *ii. FUNDING MATCH REQUIREMENTS*

The applicant is required to provide a funding match. "Funding match" means funds made available by the applicant from non-State sources. The funding match may include, but is not limited to, Federal funds, local funding, or donated and volunteer services from non-State sources. A State agency may use State funds and services for the funding match. (California Water Code [CWC] § 79505.5[b-c]) For all programs except the CNPS, the funding match is calculated based on total project cost for which funding is requested (see Appendix D for an example). Funding match for the CNPS is calculated for the portion of the project consisting of capital costs for construction. (CWC, § 79148.8[f])

Eligible reimbursable expenses incurred after adoption of the Guidelines and prior to the project completion date can be applied to the funding match. Education and outreach that is a component of a project funded through federally funded NPS Implementation Program is an eligible reimbursable expense. Additionally, education and outreach costs that are a component of a demonstration project funded through the Agricultural Water Quality Grant Program are an eligible reimbursable cost. For all other programs, such expenditures may qualify only as part of the funding match. The State Water Board reserves the discretion to review and approve funding match expenditures.

### *iii. FUNDING MATCH WAIVER/REDUCTION*

The funding match requirement may be waived or reduced for disadvantaged communities upon request. Proposals submitted by a disadvantaged community or disadvantaged community-based organization that serves the disadvantaged community may be eligible for a funding match waiver. Proposals that directly benefit a disadvantaged community may be eligible for a funding match reduction. Reductions in the required funding match percentage will be in proportion to the percentage of the disadvantaged community population directly benefiting from the project relative to the entire population in the project/planning area. The applicant will be required to document that representatives of the disadvantaged community have been or will be involved in the planning and/or implementation process and that project implementation or implementation of the local watershed management plan will provide direct benefits to the disadvantaged community. Appendix D (Requests for Waiver or Reduction of Funding Match for Disadvantaged Communities) provides more detail on the procedures for requesting a waiver or reduction of the required funding match. State Water Board staff will review and make the final determination on funding match waiver or reduction eligibility.

## B. ELIGIBLE APPLICANTS

The eligible applicants for each program are defined in statute. The eligible applicants and associated reference code sections are provided in Table 3.

**Table 3 – Eligible Applicants**

| Eligible Applicants[1] | Proposition 50 Coastal Nonpoint Source Pollution Control Program (CWC 79148.8 (a)) | Proposition 40 Nonpoint Source Pollution Control Program (PRC 30935 (a)) | Nonpoint Source Implementation Program (CWA, Section 319(h)) | Propositions 40 & 50 Agricultural Water Quality Grant Program (PRC 30940(a) & CWC 79540.1(b)) | Proposition 40 Integrated Watershed Management Program (PRC 30947(a)) | Proposition 40 Urban Stormwater Program (PRC 30930) |
|---|---|---|---|---|---|---|
| **Local Public Agencies** | X | X | X | X | X | X |
| **Public Agencies** | X | | X | X | X | |
| **Public Colleges** | X | | X | X | X | |
| **501(c)(3) Nonprofit Organizations** | X | X | X | X | X | |
| **501(c)(4) Nonprofit Organizations** | | | | X[2] | | |
| **501(c)(5) Nonprofit Organizations** | X | | | X[2] | | |
| **Indian Tribes[3]** | X | | X | X | X | |
| **State Agencies** | X | | X[4] | X | X | |
| **Federal Agencies** | X[4] | | X[4] | X[4] | X[4] | |

[1] Definitions of the eligible applicants are presented in Appendix E.
[2] Only applicable to Proposition 50 funds.
[3] Limited to federally recognized tribes. To receive grant funds, tribes must waive their sovereign immunity with respect to the project and grant agreement.
[4] Applicants eligible if collaborating with local entities involved in watershed management or if proposing a statewide project.

## C. ELIGIBLE PROJECTS

Eligible projects for each funding program are listed below by program. Eligible project requirements are established by law (i.e., CWC or Public Resources Code [PRC]), unless otherwise stated.

Education and outreach is not an identified project type and is not eligible for grant funding for the Propositions 40 and 50 programs that are in the 2005-06 Consolidated Grants Program, except for demonstration projects funded through the Agricultural Water Quality Grant Program (AWQGP). Education and outreach costs that are a component of a demonstration project funded through the AWQGP are eligible for funding. As noted below, some of the Propositions 40 and 50 programs allow funding for implementation of management measures, pollution prevention, and demonstration projects as eligible project types. Education and outreach that is a component of an implementation project funded through the federally funded NPS Implementation Program is eligible for funding. For a discussion of the match requirements associated with education and outreach activities, refer to Section III.A.ii of the Guidelines.

**Proposition 50 Coastal Nonpoint Source Pollution Control Program**

At least $10 million of the $43.1 million will be designated for projects that meet the mutual priorities of the State Water Board and Ocean Protection Council (OPC), as designated in State Water Board Resolution 2005-

0041. Up 5% (five percent) of the CNPS funds will be reserved to fund projects that provide a direct benefit to disadvantaged communities. To be eligible for this five percent, the applicant must be a disadvantaged community or a disadvantaged community based organization and the project must directly benefit the disadvantaged community. Appendix D provides more detail on disadvantaged community eligibility requirements and documentation.

Eligible projects under the CNPS (CWC, Sections 79543 and 79148) are any of the following projects that:

- Improve water quality at public beaches and make improvements to ensure that coastal waters adjacent to public beaches meet bacteriological standards as set forth in Article 2 (commencing with Section 115875) of Chapter 5 of Part 10 of Division 104 of the Health and Safety Code. Refer to Appendix B for web links to these statutes.
- Provide comprehensive capability for monitoring, collecting, and analyzing ambient water quality, including monitoring technology that can be entered into a statewide information base with standardized protocols and sampling, collection, storage, and retrieval procedures.
- Make improvements to existing sewer collection systems and septic systems for the restoration and protection of coastal water quality.
- Implement stormwater and runoff pollution reduction and prevention programs for the restoration and protection of coastal water quality.
- Are consistent with State's NPS control program, as revised to meet the requirements of Section 6217 of the Federal Coastal Zone Act Reauthorization Amendments of 1990, Section 319 of the Federal Clean Water Act (33 U.S.C. Section 1329), and the requirements of Division 7 (commencing with Section 13000). Refer to Appendix B for web links to these statutes.

All CNPS projects must meet the following requirements:

- All projects must demonstrate capability of contributing to sustained, long-term water quality or environmental restoration or protection benefits for a period of 20 years, address the causes of degradation, rather than the symptoms, and be consistent with water quality and resource protection plans prepared, implemented, or adopted by the State Water Board, the applicable Regional Water Boards, and the California Coastal Commission.
- If applicable, projects funded must be consistent with recovery plans for coho salmon, steelhead trout, or other threatened or endangered species, and to the extent feasible, must seek to implement actions specified in those plans.
- No project shall receive funds from the CNPS if it receives funds from the NPS Pollution Control Subaccount (CWC, Section 79110) or the Proposition 13 Coastal Nonpoint Source Pollution Control Program (CWC, Section 79543[d]).
- Applicants receiving CPNS funds must submit to the State Water Board a monitoring and reporting plan that does all of the following: 1) identifies NPS or sources of pollution to be prevented or reduced by the project; 2) describes the baseline water quality or quality of the environment to be addressed; and 3) describes the manner in which the project will be effective in preventing or reducing pollution and in demonstrating the desired environmental results.
- Upon completion of the project, grantees must submit a report to the State Water Board that summarizes the completed activities and indicates whether the purposes of the project have been met. The report must include information collected by the grantee in accordance with the project monitoring and reporting plan, including a determination of the effectiveness of the project in preventing or reducing pollution. The State Water Board will make the report available to the public, watershed groups, and federal, state, and local agencies.
- An applicant requesting funds from the CNPS must inform the State Water Board of any necessary public agency approvals, entitlements, and permits that may be necessary to implement the project. The

application must certify to the State Water Board, at the appropriate time, that those approvals, entitlements, and permits have been granted.

**Proposition 40 Nonpoint Source Pollution Control (NPSPC) Program**

Eligible projects under the NPSPC Program (PRC, Section 30935) are projects that do one or more of the following:

- Are consistent with local watershed management plans and Regional Water Quality Control Plans (Basin Plans).
- Are broad-based NPS projects.
- Are consistent with the California Water Boards' "Integrated Plan for Implementation of the Watershed Management Initiative." (See Appendix E)
- Implement watershed best management practices (BMPs) and measures.
- Are consistent with requirements of Section 6217 of the federal Coastal Zone Act Reauthorization Amendments of 1990 and have been identified as a needed project by the State Water Board under the 15-year implementation strategy and five-year implementation plan of the State Water Board's NPS Pollution Control Program.
- Improve the quality of drinking water supplies and address contamination by pathogens, organic carbon, or salinity.
- Are demonstration projects intended to prevent, reduce, or treat NPS pollution.

All projects under the NPSPC Program must meet the following requirements:

- All projects must demonstrate a capability of sustaining water quality benefits for a period of not less than 20 years. Categories of NPS pollution addressed by projects may include, but need not be limited to, silviculture, agriculture, urban runoff, mining, hydromodification, grazing, onsite disposal systems, boatyards and marinas, and animal feeding operations.
- All projects must have defined water quality or beneficial use goals.
- An applicant that has a project funded under this program must submit to the State Water Board a monitoring and reporting plan that: 1) identifies one or more NPSs of pollution; (2) describes the baseline water quality of the body of water impacted; (3) describes the manner in which the proposed practices or measures are implemented; and (4) determines the effectiveness of the proposed practices or measures in preventing or reducing pollution.
- A grantee must submit a report to the State Water Board, upon completion of the project that summarizes completed activities and indicates whether the purposes of the project have been met. The report must include information collected by the grantee in accordance with the project monitoring and reporting plan, including, but not limited to, a determination of the effectiveness of the BMPs or management measures implemented as part of the project in preventing or reducing NPS pollution. The State Water Board will make the report available to watershed groups, and federal, state, and local agencies.

**Clean Water Act, Section 319(h) NPS Implementation Program**

Eligible projects under the NPS Implementation Program (CWA, Section 319(h)) are projects that:

- Are the same as those identified for the NPSPC Program.
- Additionally, projects that use recycled materials will receive preference, pursuant to the Resources Conservation and Recovery Act (RCRA).

All NPS Implementation Program projects must meet the following requirements:

- All projects must implement activities that contribute to reduced pollutant loads as called for in an existing TMDL or a TMDL that is currently under development. (http://www.waterboards.ca.gov/tmdl/tmdl.html)
- All projects must implement activities that are part of watershed plans that address the USEPA nine required watershed-based plan elements. Guidance on the Required Elements for Watershed-Based Plans, per CWA Section 319, is provided in Appendix F.
- Grantees must ensure the continued proper operation and maintenance of all management practices that have been implemented in accordance with National Resource Conservation Service's Field Office Technical Guides (see Appendix B) or other appropriate standards.

**Proposition 40 Urban Stormwater Program**

Eligible projects under the USWP (PRC, Section 30930) are projects designed to implement stormwater runoff pollution reduction and prevention programs, including, but not limited to:

- Diversion of dry weather flows to publicly owned treatment works (POTW) for treatment, acquisition, and development of constructed wetlands; or
- Implement approved BMPs as required by stormwater permits issued by the California Water Boards.

**Propositions 40 and 50 Agricultural Water Quality Control Program**

Eligible projects under the AWQGP (PRC, Section 30940 and CWC, Section 79540.1) are projects that:

- Improve agricultural water quality through monitoring, demonstration projects, research, and/or construction of agricultural drainage improvements.
- Reduce pollutants in agricultural drainage water through reuse, integrated management, or treatment.

**Proposition 40 Integrated Watershed Management Program**

Eligible projects or a group of projects under the IWMP (PRC, Section 30945-30949) are projects that implement watershed protection and water management projects that include one or more of the following elements:

- Stormwater capture and treatment;
- NPS pollution reduction, management, and monitoring;
- Groundwater recharge and management projects;
- Water banking, exchange, and reclamation, and improvement of water quality;
- Vegetation management to improve watershed efficiency, aquatic and terrestrial habitat, the creation and enhancement of wetlands, and the acquisition, protection, and restoration of open space;
- Planning and implementation of multipurpose flood control programs that protect property and improve water quality and stormwater capture and percolation, and protect or improve wildlife habitat;
- Watershed management planning and implementation;
- Demonstration projects to develop new water treatment distribution and NPS pollution control methods;
- Erosion sediment control and stream enhancement projects, and permit coordination programs to facilitate watershed restoration projects that implement State Water Board approved management measures for pollution runoff;
- Monitoring, collection, and analysis of water quality and pollutant transport in groundwater and surface water;
- Native fisheries enhancement or improvement projects, and projects to restore other threatened species;
- Water conservation, water use efficiency, and water supply reliability;

- Development of local watershed management plans that meet the requirements of Section 79078 of the CWC; or
- An enforceable waste discharge program, by a person subject to Section 13620 et seq. of the CWC and for whom the Regional Water Board has a name and address, that implements BMPs, and includes all of the following:

  (a) A clear description of how a project will achieve and maintain water quality standards;

  (b) A monitoring component that assesses the effectiveness of adopted practices; and

  (c) Submission of a report of waste discharge to the appropriate Regional Water Board.

Appendix C presents IWMP specific information and requirements.

## D. GEOGRAPHIC SCOPE

Proposals from throughout California will be considered for all funding programs. The CNPS is the only funding program that must meet specific geographic funding distribution requirements, which are presented below.

Coastal refers to the areas under the jurisdiction of the California Coastal Commission. The CWC, Section 79148.10 requires that, as a whole, Proposition 50 CNPS funds ($100,000,000) must be split 60/40 between Southern and Northern California, respectively. Southern California consists of the following counties: Los Angeles, Orange, San Bernardino, Riverside, San Diego, and Ventura. A portion of the $100,000,000 in Proposition 50 funds has already been appropriated to projects through programs such as the Clean Beaches Initiative Grant Program and the Santa Monica Bay Restoration Plan. The majority of previously awarded funding through these programs was appropriated to projects in Southern California. Therefore, a higher percentage of the remaining CNPS funds available as part of the 2005-06 Consolidated Grants Program will need to be distributed to projects in Northern California.

Approximately $43.1 million of the remaining CNPS funds will be disbursed through the 2005-06 Consolidated Grants Program. No less than $16.2 million of the CNPS funds will be distributed to projects in Southern California, and approximately $26.9 million will be distributed to projects in Northern California.

# IV. PRIORITIES & PROGRAM PREFERENCES

This is one of the last major packages of State Water Board grant funds available for distribution of Propositions 40 and 50 funds. It is crucial to focus these remaining resources on the most critical watershed and water quality problems. To do that, the highest regional priorities have been identified by working with staff from the State Water Board, Regional Water Boards, USEPA, and other partner agencies during a series of workgroup meetings. State Water Board staff also engaged stakeholders in the development of priorities during workshops and through website solicitation of comments. The priorities are presented in Appendix G.

CPs will be screened mainly on the basis of their ability to address the identified regional priorities, with other criteria (e.g., applicant's capabilities and experience, probability of success, incorporation of appropriate partners, technical expertise, etc.) also considered. Screening of CPs, based on regional priorities, allows the Full Proposal review and selection to focus on technical and scientific merit.

## A. STATE WATER BOARD & REGIONAL WATER BOARDS (CALIFORNIA WATER BOARDS) PRIORITIES

The State Water Board and Regional Water Boards Priorities (known as California Water Boards priorities) are presented in Appendix G, Statewide, Regional, and Partner Agency Priorities. For all programs except the IWMP, projects must address at least one California Water Boards Priority in order to be eligible for funding. The one priority must be an eligible project type, as identified in the law (Section III.C).

## B. PARTNER AGENCY PRIORITIES

Partner Agency Priorities are presented in Appendix G, and were developed based on information provided by the Resources Agency, Department of Water Resources, Department of Boating and Waterways, Department of Health Services, Department of Fish and Game, Department of Parks and Recreation, California Coastal Commission, State Coastal Conservancy, Department of Forestry, Department of Conservation, and CALFED. Proposed projects for the IWMP implementation grants must meet at least three priorities identified by three different agencies. All three priorities must be eligible project types, as identified in the law (Section III.C). Development of a local watershed management plan meets the priority requirements for the IWMP planning funds.

## C. OCEAN PROTECTION COUNCIL PRIORITIES

At least $10 million of the CNPS funds will be used to fund ocean protection projects that meet the mutual priorities of the Ocean Protection Council (OPC) and the State Water Board. These Guidelines adopt the State Water Board priorities for ocean protection projects. It is anticipated that the OPC will adopt their ocean protection project priorities for the 2005-06 Consolidated Grants Program at their January 13, 2006 meeting. Once adopted by the OPC, their priorities will be posted on the State Water Board's website at:

http://www.waterboards.ca.gov/funding/consolidgrants0506.html

## D. PROGRAM PREFERENCES

Propositions 40 and 50 have identified the program preferences for these grant programs as listed below. These preferences are reflected in the Concept Proposal and Full Proposal Review and Selection Criteria (Appendices H and I), California Water Boards and Partner Agencies Priorities (Appendix G), and will be considered by the Selection Panel when determining the recommended project funding lists. The program preferences are:

- Integrate and provide multiple-benefits;
- Provide safe drinking water and water quality projects that serve disadvantaged communities;
- 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 into impaired waters and sensitive habitat areas, including areas of special biological significance (ASBS);
- Include watershed management partnerships that use a community-based collaborative approach to meeting the State's watershed management goals; and
- Allocate funding to balance among large and small watersheds, coastal and inland watersheds, effluent reduction and source protection, and should be geographically balanced.

## *V. PROPOSAL SOLICITATION, REVIEW, & SELECTION PROCESS*

The 2005-06 Consolidated Grants Program is a two-step solicitation process: 1) Concept Proposals (CPs); and 2) Full Proposals. The solicitation process, review process, and selection process are described below. Proposal content requirements and review criteria are included in the Appendices.

### A. SOLICITATION & SUBMITTAL OF CONCEPT PROPOSALS

The State Water Board will release a CP Solicitation Notice upon adoption of the Guidelines. The CP Solicitation Notice will identify the due date and time for CP submittals, and will provide detailed instructions on the mechanics of submitting the CP.

The CP Solicitation Notice will be posted on the State Water Board website at:

http://www.waterboards.ca.gov/funding/consolidgrants0506.html

A CP Solicitation Notice will also be e-mailed to all interested parties on the State Water Board's "Consolidated Grants 2005-06" electronic mailing list. Interested parties may sign up for the electronic mailing list at:

http://www.waterboards.ca.gov/lyrisforms/swrcb_subscribe.html

The CP application will consist of an on-line application submitted using the State Water Board's FAAST system. The procedures for submitting the CP will be presented in the CP Solicitation Notice. The CP and evaluation criteria are presented in Appendix H. The on-line FAAST application for the CP can be found at the following secure link:

https://faast.waterboards.ca.gov

Applications must contain all required items listed in the CP Solicitation Notice. **All applications, 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 and will be returned to the applicant.**

### B. SOLICITATION & SUBMITTAL OF FULL PROPOSALS

Solicitation for Full Proposals will be by invitation to applicants with the highest ranking CPs. The Full Proposal review process will also be competitive since the number of CPs invited back will exceed the total available funding. The Full Proposal Solicitation Notice will include information on the due date and time for Full Proposal submittals, and will provide detailed instructions on the mechanics of submitting the Full Proposal. Applicants will be invited to submit detailed Full Proposals using the FAAST system.

The Full Proposal will allow the applicant to expand upon the CP submitted previously, provide the detail needed for the State Water Board to make a final funding decision, and also allow for an expedited grant agreement process. An expedited grant agreement process is achieved through the submission of a detailed, concise, and specific scope of work that will be used for preparing the grant agreement should the project be selected for funding (Appendix I).

Applications must include all required elements in the Full Proposal Solicitation Notice. **All applications, 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 and will be returned to the applicant.**

Applications may include attachments with supplemental materials such as design plans and specifications, detailed cost estimates, feasibility studies, pilot projects, additional maps, geographic information system (GIS) shape files, diagrams, letters of support, copies of agreements, or other applicable items. All supporting

documentation will be requested in an electronic format through FAAST, unless specified otherwise. Details on what information will be required and Full Proposal evaluation criteria are presented in Appendix I.

## C. APPLICANT ASSISTANCE WORKSHOPS

A number of technical assistance workshops will be conducted throughout California to address questions and to provide general assistance to applicants in preparing their CPs. The CP technical assistance workshops will focus on regional priorities and will include a presentation of general program information. California Water Boards staff will also conduct workshops on proposal development for applicants invited to submit Full Proposals. The dates and locations of the CP and Full Proposal workshops will be provided on the State Water Board website at:

http://www.waterboards.ca.gov/funding/consolidgrants0506.html

In addition to the informational workshops, applicants are encouraged to seek assistance from staff of State Water Board, Regional Water Boards, USEPA, and partner agencies in understanding the funding priorities, applicable program requirements, and completing grant applications. Applicants proposing projects that address Partner Agency priorities are encouraged to work with staff from those agencies in developing project proposals.

## D. COMPLETENESS REVIEW

CP applications must contain all required items listed in the CP Solicitation Notice. Full Proposals must contain all required information in the Full Proposal Solicitation Notice. Each CP and Full Proposal application will first be evaluated and screened for completeness. **Applications not containing all required information will <u>not</u> be reviewed or considered for funding, and applicants will be notified.**

## E. ELIGIBILITY REVIEW

Complete applications will be evaluated for compliance with eligibility criteria during the CP and Full Proposal phases. All proposals must meet the Eligible Applicant requirements in Section III.B, Eligible Project requirements in Section III.C, and the priority requirements in Sections IV.A, IV.B., and IV.C. The CP Eligibility Review Sheet is presented in Appendix H. The Full Proposal eligibility review information is presented in Appendix I. **Applications that are determined to be ineligible will not be reviewed or considered for funding, and applicants will be notified.**

## F. REVIEW AND SCORING PROCESS

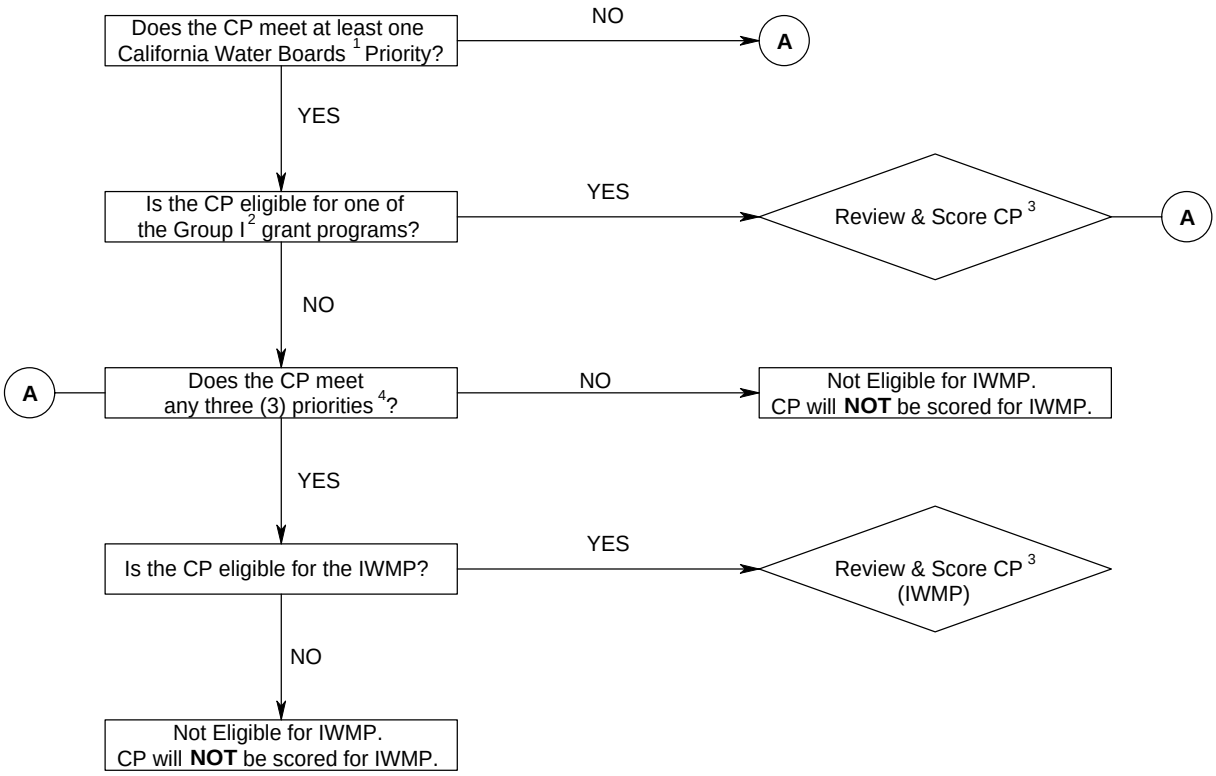
### *i. CONCEPT PROPOSAL*

All CPs must be submitted in FAAST by the posted date and time deadline. As the CPs arrive in FAAST, the CPs will be assigned to State Water Board staff for completeness and eligibility review. As part of this review, State Water Board staff will recommend the agencies that should review and score the eligible CPs based on the project type and funding source. The reviewer assignments will be made as presented below.

- Regional Water Boards staff to review CPs for all projects located in their region. If a project encompasses multiple regions, staff in the corresponding Regional Water Boards to review the CP.
- State Water Board staff to review CPs that meet a State Water Board priority. State Water Board staff may review additional CPs based on availability of staff resources.
- USEPA staff to review every CP that applies for NPS Implementation Program (Clean Water Act, Section 319(h)) or TMDL implementation projects.
- The Deputy Assistant Secretary for Watersheds at the Resources Agency to distribute the IWMP CPs to the applicable resource agencies for review.
- Coastal Commission staff to review CPs that apply for CNPS grants and for all projects located in coastal areas.
- Coastal Conservancy staff to review CPs that address an OPC priority.
- Department of Food and Agriculture staff to review all CPs that apply for AWQGP grants.
- Additional reviews will be accommodated if a request is made with sufficient notice.

The CP evaluation process is summarized in a flow chart (Figure 2).

## Figure 2
## State Water Board
## 2005-06 Consolidated Grants Program
## Concept Proposal (CP) Evaluation Process




**Notes:**

1 - California Water Boards = State Water Resources Control Board and Regional Water Quality Control Boards

2 - Group 1 includes:

- Nonpoint Source Pollution Control Program
- Coastal Nonpoint Source Pollution Control Program
- Nonpoint Source Implementation Program
- Agricultural Water Quality Grant Program
- Urban Stormawater Program

3 - Proposals will be assigned to reviewers for evaluation.

4 - IWMP = Integrated Watershed Management Program

5 - At least three (3) priorities identified by three different agencies must be addressed in proposals applying for the IWMP implementation grants. The priorities can be any combination of California Water Boards and Partner Agency priorities. All three priorities must be eligible project types, as identified in the law (Section III.C). Development of a local watershed management plan meets the priority requirements for the IWMP planning funds.

Each CP will be scored by at least three reviewers using the FAAST system. All eligible CPs will be scored based on technical feasibility, ability to address the identified priorities, readiness to proceed, and other criteria outlined in the *Concept Proposal Evaluation: Scoring Criteria* form (Appendix H).

Reviewer scores will be averaged in FAAST. State Water Board staff will review the scores for consistency among review results and as needed, may contact reviewers to resolve inconsistencies or disregard an outlier score in determining the average score for a CP. Additionally, as time and resources allow, an effort will be made to include additional reviews of CPs where outlier scores were disregarded. Once the scores are averaged, State Water Board staff will generate a list for each grant program (six lists total), sorting the CPs from high to low based on the final averaged scores. A CP may appear on more than one list, but a CP will only be invited back for one program. State Water Board staff will group the CPs on each of the six lists into three categories:

- Invite Applicant Back to Submit Full Proposal;
- Applicant Not Invited to Submit Full Proposal; and
- Ineligible CP Submittal.

Applicants who submitted the most competitive eligible CPs will be invited to submit Full Proposals to a level of at least 125 percent of the available grant funds in each program.

These six lists will be distributed to the Regional Water Boards, USEPA, and partner agencies for review. All six lists will be posted on the State Water Board's Division of Financial Assistance website (Appendix B) and notification e-mails will be sent to all applicants.

CP scores will be used to select the most competitive projects and to determine whether an applicant should be invited to submit a Full Proposal. At the Full Proposal stage, proposals will be evaluated and scored based on the information provided in the Full Proposal and the expertise of the reviewers, without regard to the CP score. However, the Full Proposals will be evaluated for consistency with what was submitted in the CP and major changes to the scope of work may disqualify the proposal.

### *ii. FULL PROPOSAL*

Full Proposals will be evaluated by the following two groups: (1) Technical Review Teams; and (2) Selection Panel. The role, makeup, and purpose of each group are outlined below.

**Technical Review Teams –** All complete and eligible Full Proposals will be evaluated and scored by technical review teams. Technical review team members will individually score Full Proposals in accordance with the evaluation criteria presented in Appendix I. Technical review teams will be comprised of subject matter experts from the State Water Board, Regional Water Boards, other agencies, and outside experts. The State Water Board will seek non-agency subject matter experts (e.g., from nonprofit organizations, educational institutions, etc.) that are interested in being part of technical review teams for Full Proposals. Statements of qualifications will be required. Reviewers will not be able to review or participate in discussion of proposals for which they have a conflict of interest. All reviewers will be required to submit a statement disclosing any conflict of interest. State Water Board staff in consultation with staffs from Regional Water Boards and partner agencies will select reviewers for each technical review team.

Each review team will be comprised of at least three technical reviewers who will evaluate and score each eligible Full Proposal. Technical review teams will be formed based on the "Project Type" categories outlined in the CP. Technical reviewers within each team will review all Full Proposals in a "Project Type" group. For example, all Full Proposals with an "Erosion and/or Sediment Control" focus will be reviewed by the "Erosion and/or Sediment Control" review team. Additional technical review teams may be identified as needed based on the number of proposals received and project type. If Regional Water Boards do not have adequate resources to do a complete review of all Full Proposals within their region, they may choose to provide comments instead.

Each Full Proposal will be evaluated and scored based on the information the applicant provides in FAAST. Previous knowledge, conversations, or outside information that is not provided in the Full Proposal will not be used to evaluate and score Full Proposals. However, an applicant's past performance and track record may be taken into consideration.

Following completion of the individual technical reviews, the technical review team will discuss the Full Proposals, to arrive at a final evaluation and score for each proposal. Based on the final scores, Full Proposals will be compiled into a preliminary ranked list for each of the six grant programs. The ranked lists will be sent out to Regional Water Boards staff and technical review team members for review and comment. The scope of the review and comments will be limited to errors and/or inconsistencies in compiling the ranked list.

**Selection Panel –** The State Water Board will convene a Selection Panel to review the preliminary ranking list, technical scores, and reviewer comments. If a technical review team has not reached a final score on any proposal, the Selection Panel will determine a final score based on individual reviewer comments. If there is a disparity in the scores or concerns from the technical reviewers, the Selection Panel will consider them and may revise the scores as appropriate. The Selection Panel may also adjust final scores for the proposals to ensure that evaluation criteria have been consistently applied.

The Selection Panel will be comprised of one representative identified by management from the following agencies:

- CNPS: California Coastal Commission, State Coastal Conservancy, Department of Fish and Game, and State Water Board
- NPSPC Program: State Water Board and USEPA
- NPS Implementation Program: State Water Board, California Coastal Commission, and USEPA
- USWP: State Water Board and USEPA
- AWQGP: Department of Food and Agriculture, Department of Pesticide Regulation, USEPA, and State Water Board
- IWMP: Resources Agency and State Water Board

The Selection Panel will make initial funding recommendations, considering the following items:

- Final review and score;
- Program Preferences (Section IV.D);
- Geographic Scope (Section III.D); and
- Amount of funds available for each grant program.

The Selection Panel will prepare the final recommended funding list for each funding source, for presentation to the State Water Board for adoption. The Selection Panel will evaluate requests for alternate agricultural monitoring and reporting requirements and make recommendations to the State Water Board. The Selection Panel may recommend reducing individual grant amounts from the requested amount. However, such reductions will be considered only if technical reviewers have indicated in their review comments that the budget is too high or some tasks are not necessary. A reduction would also be weighed against whether the reduced funding would impede project implementation.

## G. ACCELERATED SELECTION & CONTRACTING PROCEDURE (ASCP)

Applicants applying for IWMP grants may be eligible for the ASCP. To be eligible for the ASCP, the project must: (1) be part of an approved watershed management plan (CWC, Section 79078); (2) be fully permitted and ready to be implemented; and (3) include funding match or services donated from nonstate sources. No more than 50% (fifty percent) of the total IWMP funds may be distributed using the ASCP. For more information on the ASCP, refer to Appendix C, IWMP Specific Information and Requirements.

During the CP and Full Proposal eligibility review, the CPs and Full Proposals applying for IWMP grants will be screened for projects that meet the ASCP requirements. Information provided by the applicant in the CP and Full Proposal will be reviewed by State Water Board staff to determine if projects are eligible for the ASCP. Funding awards and grant agreements for ASCP eligible projects, which are selected for funding, will be expedited.

## H. APPLICANT NOTIFICATION

The list of proposals recommended for funding will be posted on the State Water Board website (http://www.waterboards.ca.gov/funding/consolidgrants0506.html) and applicants will be notified of the availability of the recommended funding list. Prior to State Water Board adoption, applicants will be provided with their evaluation results and will be given the opportunity to provide comments on any errors related to review of their proposals.

## I. FUNDING AWARDS

The State Water Board will consider adoption of the funding recommendations developed by the Selection Panel at a State Water Board meeting. Following approval by the State Water Board, the selected applicants will be notified.

## J. GRANT AGREEMENT

Although the grant solicitation and selection process is implemented by the State Water Board, the grant agreement oversight will be coordinated between the State Water Board and the Regional Water Boards depending on the scope of the proposal.

Following funding awards, the State Water Board will execute a grant agreement with the grantee. Grant agreements are not executed until signed by authorized representatives of the grantee and the State Water Board. A copy of a Grant Agreement Template will be available on the State Water Board website at:

http://www.waterboards.ca.gov/funding/consolidgrants0506.html

The State Water Board encourages collaboration in the development and implementation of projects. 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. Grant agreements will be executed with one eligible grantee per project. This grantee can subcontract with partners that are responsible for implementation of the component projects. The grant funding and the implementation responsibilities will be the province of the grantee. The State Water Board will not have a funding relationship with collaborators.

Non-responsiveness has been an issue with a handful of past grant recipients. Such non-responsiveness slows down the funding process. In several cases, non-responsiveness has resulted in grant funds being left unused for a substantial and unwarranted amount of time and has caused the termination of grant agreements. For this reason, lack of responsiveness prior to finalizing and executing a grant agreement may result in withdrawal of the grant award. These funds will be made available to other competitive proposals that were below the funding line at the time of the State Water Board awards.

## K. REIMBURSEMENT OF COSTS

Reimbursable costs are defined in Appendix E. Only direct costs related to the project are allowed. Only work performed within the terms of the grant agreement will be eligible for reimbursement. Education and outreach that is a component of a project funded through the federally funded NPS Implementation Program is an eligible reimbursable expense. Additionally, education and outreach costs that are a component of a demonstration project funded through the Agricultural Water Quality Grant Program are an eligible reimbursable cost. **Advance funds will not be provided. Funding match requirements are discussed in Section III.A.**

# VI. GENERAL 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 Section 1090, California Public Contract Code Sections 10410 and 10411.

## B. CONFIDENTIALITY

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

The location of all projects awarded funding, including the locations of management measures or practices implemented, must be reported to the State Water Board and the Regional Water Boards and will be available to the public in the project files. Additionally, the State Water Board and the Regional Water Boards report project locations to the public through internet-accessible databases. The locations of all monitoring points and all monitoring data generated for ambient monitoring must be provided to the State Water Board and Regional Water Boards and will not be kept confidential. The State Water Board uses Geographical Positioning System (GPS) coordinates for project/sampling locations. See Monitoring and Reporting (Section VI.H) for additional information on monitoring and reporting requirements.

See Appendix J for specific reporting requirements for agricultural demonstration and research projects and non-ambient agricultural monitoring data.

## C. LABOR CODE COMPLIANCE

California Labor Code, Section 1771.8 requires the body awarding a grant agreement 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 Section 1771.5(b). Compliance with applicable laws, including California Labor Code provisions, will become an obligation of the grantee under the terms of the grant agreement between the grantee and the State Water Board. California Labor Code Section 1771.8 provides, where applicable, that the grantee's Labor Compliance Program must be in place at the time of awarding of a grant agreement for a public works project by the grantee.

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

## D. CEQA COMPLIANCE

All projects funded under the 2005-06 Consolidated Grants Program must comply with the California Environmental Quality Act (CEQA) (PRC § 21000 *et seq*.) and/or National Environmental Policy Act (NEPA). See Appendix B for links to CEQA information and the State Clearinghouse Handbook.

Grantees are responsible for complying with all applicable laws and regulations for their projects, including CEQA and NEPA, if applicable. State Water Board selection of a project for a grant does not foreclose appropriate consideration of alternatives or mitigation measures that would reduce or eliminate adverse environmental effects of that project during the CEQA review process. No work that is subject to CEQA and/or NEPA may proceed until clearance is given by the State Water Board, a responsible agency. Details about the State Water Board's environmental review process can be found in Appendix K.

## E. WATERSHED MANAGEMENT PLAN CONSISTENCY

Any watershed protection activities must be consistent with the applicable, adopted, local watershed management plans and the applicable Water Quality Control Plan (Basin Plan) adopted by a Regional Water Board, where plans exists. See Appendix B for web links to the Basin Plans. (CWC, Section 79507) Watershed protection activities in the San Gabriel and Los Angeles watersheds must be consistent with the San Gabriel and Los Angeles River Watershed and Open Space Plan as adopted by the San Gabriel and Lower Los Angeles Rivers and Mountain Conservancy and the Santa Monica Mountains Conservancy. (CWC, Section 79508)

## [F. RESERVED WAIVER OF LITIGATION RIGHTS]

[This section has been reserved. The State Water Board will be considering the extent and content of any litigation waiver at its February 1, 2006 board meeting. Any language approved by the State Water Board will be incorporated into these Guidelines at that time.]

## G. PROJECT ASSESSMENT & EVALUATION PLANS

All Full Proposals must include the performance measure tables that form the basis of the Project Assessment and Evaluation Plan (PAEP) to summarize how project performance will be assessed, evaluated, and reported. The goals of the PAEP are to:

- Provide a framework for assessment and evaluation of project performance;
- Identify measures that can be used to monitor progress towards achieving project goals and desired outcomes;
- Provide a tool for grantees and grant managers to monitor and measure project progress and guide final project performance reporting that will fulfill the grant agreement requirements;
- Provide information to help improve current and future projects; and
- Quantify the value of public expenditures to achieve environmental results.

The PAEP will be submitted after the grant agreement is executed and will include a summary of project goals, the desired project outcomes, the appropriate performance measures to track the project progress, and measurable targets that the applicant thinks are feasible to meet during the project period. The PAEP is not intended to be a monitoring plan. PAEP guidance is presented in Appendix L.

## H. MONITORING & REPORTING

All projects affecting water quality must include a monitoring component that, where applicable, allows integration of data into statewide monitoring efforts, including the Surface Water Ambient Monitoring Program (SWAMP) and/or the Groundwater Ambient Monitoring Assessment (GAMA) Program. Both programs include data quality assurance and quality control requirements. Projects that include water quality monitoring must include development of an appropriate monitoring plan, Quality Assurance Project Plan (QAPP), and tasks. For surface water monitoring, the QAPP must be prepared in accordance with the SWAMP QAPP template, which is available on-line at:

http://www.waterboards.ca.gov/swamp/index.html

Any groundwater projects and projects that affect groundwater must 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). See Appendix B for web links to the State Water Board groundwater monitoring and reporting requirements.

Projects funded through the federally funded NPS Implementation Program (CWA, Section 319[h]) must comply with specific requirements that include reporting project geo-location, nutrient and sediment load reductions or estimates, best management practices to be implemented, and annual rainfall data. Geo-locations of the project, but not individual management measures or practices implemented, must be reported at the stream reach level, which also includes information on lakes and other water bodies. The stream reaches identified should not be

every reach downstream of the project that may potentially receive benefits for the project, but only those reaches that the project directly benefits.

Projects must include the development and submittal of progress reports and a final report. The proposals should identify the frequency of progress report submittal.

## I. DATA MANAGEMENT

Projects must include appropriate data management activities so that project data can be incorporated into appropriate statewide data systems. Project-generated data will be available to the stakeholders, agencies, and the public in the California Water Boards files. Web links to additional information on the State Water Board's statewide data management efforts are provided in Appendix B.

## J. 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. 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))

## K. URBAN WATER MANAGEMENT PLAN

The Urban Water Management Planning Act (the Act), (CWC § 10610 et seq.) provides that urban water suppliers must prepare, adopt, and submit urban water management plans to the Department of Water Resources (DWR) in compliance with the Act. Compliance with this provision will be required before a grant agreement can be executed.

## L. 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 B for web links to the CALFED Programmatic Record of Decision. (CWC § 79509)

## M. GRANT MANAGER NOTIFICATION

Grantees will be required to notify California Water Boards staff prior to conducting construction, monitoring, demonstration, or other implementation activities so that California Water Boards staff may observe to verify activities are conducted in accordance with the grant agreement. California Water Boards staff may document the inspection with photographs or notes, which may be included in the project file.

# APPENDIX A

## 2005-06 CONSOLIDATED GRANTS PROGRAM SUMMARY TABLE

| APPENDIX A: 2005-06 Consolidated Grants Program | | | |
|---|---|---|---|
| **Grant Program** | **Eligible Applicants** | **Project Eligibility** | **Funding Available** |
| **Coastal Nonpoint Source Pollution Control Program**<br><br>*Purpose: Projects that restore and protect the water quality and environment of coastal waters, estuaries, bays, nearshore waters, and groundwater.*<br><br>**(State Water Board and Regional Water Boards)**<br><br>**Water Code (WC) Section 79543 (Prop 50, Ch 5)** | a. Public Agencies<br>b. Local Public Agencies<br>c. Public Colleges<br>d. Nonprofit Organizations (501[c][3] or 501[c][5])<br>e. State Agencies[i]<br>f. Federally Recognized Indian Tribes<br>g. Federal Agencies[i] | Grants may be awarded for any of the following projects:<br>1. Improve water quality at public beaches and make improvements to ensure coastal waters adjacent to public beaches meet bacteriological standards set forth in Article 2 (commencing with Section 115875) of Chapter 5 of Part 10 of Division 104 of the Health and Safety Code.<br>2. Provide comprehensive capability for monitoring, collecting, and analyzing ambient water quality, including monitoring technology that can be entered into a statewide information base with standardized protocols and sampling, collection, storage, and retrieval procedures.<br>3. Make improvements to existing sewer collection systems and septic systems for restoration and protection of coastal water quality.<br>4. Implement stormwater and runoff pollution reduction and prevention programs for restoration and protection of coastal water quality.<br>5. Consistent with State's NPS control program.<br><br>** Additional Project Eligibility Requirements **<br>1. All projects must demonstrate capability of contributing to sustained, long-term water quality or environmental restoration or protection benefits for a period of 20 years, address the causes of degradation, rather than the symptoms, and be consistent with water quality and resource protection plans prepared, implemented, or adopted by the State Water Board, the applicable Regional Water Board, and the California Coastal Commission.<br>2. Where recovery plans for coho salmon, steelhead trout, or other threatened or endangered species exist, projects funded must be consistent with those plans, and to the extent feasible, must seek to implement actions specified in those plans.<br>3. No project shall receive funds from this grant program if it receives funds from the Nonpoint Source Pollution Control Subaccount (WC, Section 79110) or Proposition 13 Coastal Nonpoint Source Pollution Control Program (WC, Section 79543(d)).<br>4. Applicants must submit a monitoring and reporting plan to the State Water Board that does all of the following: 1) identifies NPS or sources of pollution to be prevented or reduced by the project; 2) describes the baseline water quality or quality of the environment to be addressed; and 3) describes how the project will be effective in preventing or reducing pollution and in demonstrating the desired environmental results.<br>5. Upon completion of the project, grantees must submit a report to the State Water Board that summarizes the completed activities and indicates whether the purposes of the project have been met.[ii]<br>6. Applicants must inform the State Water Board of any necessary public agency approvals, entitlements, and permits that may be necessary to implement the project. The applicant must certify to the State Water Board, at the appropriate time, that those approvals, entitlements, and permits have been granted.<br><br>California Water Code, Section 79148.8(f) requires a matching contribution for the portion of the project consisting of capital costs[iii] for construction, according to the following formula:<br>• $1,000,000 to $5,000,000, inclusive……..20%<br>• $125,000 to $999,999, inclusive……15%<br>• $1 to $124,999, inclusive……...10% | Approximate Total = $43.1 million<br><br>Projects in Los Angeles, Orange, San Bernardino, Riverside, San Diego, and Ventura counties = $16.2 million<br>Projects in remaining counties = $26.9 million<br>Grants in consultation with California Coastal Commission.<br><br>Grant Project Maximum - $5,000,000<br><br>Grant Project Minimum - $250,000<br><br>At least $10 million will fund high priority coastal and ocean protection projects that specifically address the priorities of both the State Water Board and Ocean Protection Council.<br><br>Funds must be encumbered by June 2008. Funds must be spent by June 2010. (Projects should be completed by March 2010.) |

| 2005-06 Consolidated Grants Program | | | |
|---|---|---|---|
| **Grant Program** | **Eligible Applicants** | **Project Eligibility** | **Funding Available** |
| **Nonpoint Source Pollution Control Program**<br><br>*Purpose: Projects that protect the beneficial uses of water throughout the state through the control of nonpoint source (NPS) pollution.*<br><br>**(State Water Board and Regional Water Boards)**<br><br>**Public Resources Code (PRC) Section 30935**<br>**(Prop 40, Ch 4)** | a. Local Public Agencies<br>b. Nonprofit Organizations (501[c][3]) | Projects that meet at least one of the criterion listed below:<br>1. Projects consistent with local watershed management plans and regional water quality control plans.<br>2. Broad-based NPS projects.<br>3. Consistent with the California Water Boards' "Integrated Plan for Implementation of the Watershed Management Initiative[iii]."<br>4. Implement watershed best management practices (BMPs) and measures.<br>5. Consistent with requirements of Section 6217 of the federal Coastal Zone Act Reauthorization Amendments of 1990 and has been identified as a needed project by the State Water Board under the 15-year implementation strategy and five-year implementation plan of the State Water Board's NPS pollution control program.<br>6. Improves quality of drinking water supplies and addresses contamination by pathogens, organic carbon, or salinity.<br>7. Demonstration projects that are intended to prevent, reduce, or treat NPS pollution.<br><br>** Additional Project Eligibility Requirements **<br>1. All projects must demonstrate a capability of sustaining water quality benefits for a period of not less than 20 years. Categories of NPS pollution addressed by projects may include, but need not be limited to, silviculture, agriculture, urban runoff, mining, hydromodifications, grazing, onsite disposal systems, boatyards and marinas, and animal feeding operators.<br>2. All projects must have defined water quality or beneficial use goals.<br>3. A local public agency or nonprofit organization that has a project funded under the NPSPC program must submit to the State Water Board a monitoring and reporting plan that: 1) identifies one or more NPSs of pollution; (2) describes the baseline water quality of the body of water impacted; (3) describes the manner in which the proposed practices or measures are implemented; and (4) determines the effectiveness of the proposed practices or measures in preventing or reducing pollution.<br>4. A grantee must submit a report to the State Water Board, upon completion of the project that summarizes completed activities and indicates whether the purposes of the project have been met. The report must include information collected by the grantee in accordance with the project monitoring and reporting plan, including, but not limited to, a determination of the effectiveness of the BMPs or management measures implemented as part of the project in preventing or reducing NPS pollution. The State Water Board will make the report available to watershed groups, and federal, state, and local agencies. | Approximate Total = $19 million<br><br>Funds must be encumbered by December 31, 2006. Funds must be spent by December 31, 2008. (So projects should be completed by September 2008.)<br><br>Grant Project Maximum - $5,000,000<br><br>Grant Project Minimum - $250,000 |

# APPENDIX A

## 2005-06 CONSOLIDATED GRANTS PROGRAM SUMMARY TABLE

| 2005-06 Consolidated Grants Program | | | |
|---|---|---|---|
| **Grant Program** | **Eligible Applicants** | **Project Eligibility** | **Funding Available** |
| **Nonpoint Source Implementation Program**<br><br>*Purpose: Projects that control activities that impair beneficial uses and that limit pollutant effects caused by those activities.*<br><br>**(State Water Board, Regional Water Boards, and USEPA**<br><br>**Federal Clean Water Act Section 319 (h)** | a. Local Public Agencies<br>b. Public Agencies<br>c. Nonprofit Organizations (501[c][3])<br>c. Federally Recognized Indian Tribes<br>d. State Agencies[i]<br>e. Public Colleges<br>f. Federal Agencies[i] | Eligible projects under the NPS Implementation Program (CWA, Section 319(h)) are projects that:<br>1. Are the same as those identified for the NPSPC Program.<br>2. Additionally, projects that use recycled materials will receive preference, pursuant to the Resources Conservation and Recovery Act (RCRA).<br><br>** Additional Project Eligibility Requirements **<br>1. All projects must implement activities that contribute to reduced pollutant loads as called for in an existing TMDL or a TMDL that is currently under development. (http://www.waterboards.ca.gov/tmdl/tmdl.html)<br>2. All projects must implement activities that are part of watershed plans that address the USEPA nine required watershed-based plan elements. Guidance on the Required Elements for Watershed-Based Plans, per CWA Section 319, is provided in Appendix F.<br>3. Grantee must ensure the continued proper operation and maintenance of all management practices that have been implemented in accordance with National Resource Conservation Service's Field Office Technical Guides (see Appendix B) or other appropriate standards. | Approximate Total = $4.5 million based on annual federal appropriation<br><br>Grant Project Maximum - $1,000,000<br><br>Grant Project Minimum - $250,000<br><br>Funds must be encumbered by December 31, 2006. Funds must be spent by February 1, 2011. (Projects should be completed by December 31, 2010.) |

# APPENDIX A

## 2005-06 CONSOLIDATED GRANTS PROGRAM SUMMARY TABLE

| 2005-06 Consolidated Grants Program | | | |
|---|---|---|---|
| **Grant Program** | **Eligible Applicants** | **Project Eligibility** | **Funding Available** |
| **Agricultural Water Quality Grant Program**<br><br>*Purpose: Projects to improve agricultural water quality through monitoring, demonstration projects, research, construction of agricultural drainage improvements, and to reduce pollutants in agricultural drainage water through reuse, integrated management, or treatment.*<br><br>**(State Water Board and Regional Water Boards)**<br><br>**PRC Section 30940**<br>**Prop 40 (Ch 4)**<br>**WC Section 79540.1**<br>**Prop 50 (Ch 5)** | a. Local Public Agencies<br>b. Public Agencies<br>c. Nonprofit Organizations (501[c][3], 501[c][4][v], or 501[c][5][v])<br>d. Federally Recognized Indian Tribes<br>e. Public Colleges<br>f. State Agencies<br>g. Federal Agencies[i] | Projects that improve agricultural water quality through monitoring, demonstration projects, research, construction of agricultural drainage improvements, and to reduce pollutants in agricultural drainage water through reuse, integrated management, or treatment.<br><br>The State Water Board, in consultation with the Department of Food and Agriculture and the program advisory review board established pursuant to Section 593 of the Food and Agricultural Code, must develop criteria for evaluating projects considered for grants under this section. | Approximate Total = $14 million<br><br>Funds originally part of the 2004-05 Agricultural Water Quality Grant Program.<br><br>Grant Project Maximum - $1,000,000<br><br>Grant Project Minimum - $250,000<br><br>Proposition 40 funds must be encumbered by December 2006. Funds must be spent by December 2008. (Projects should be completed by September 2008.)<br><br>Proposition 50 funds must be encumbered by June 2007. Funds must be spent by June 2009. (Projects should be completed by March 2009.) |

# APPENDIX A

## 2005-06 CONSOLIDATED GRANTS PROGRAM SUMMARY TABLE

| 2005-06 Consolidated Grants Program | | | |
|---|---|---|---|
| **Grant Program** | **Eligible Applicants** | **Project Eligibility** | **Funding Available** |
| **Integrated Watershed Management Program**[vi]<br><br>*<u>Purpose:</u> Projects for development of local watershed management plans and for implementation of watershed protection and water management projects.*<br><br>**(State Water Board and Regional Water Boards)**<br><br>**PRC Section 30945-30949**<br>**(Prop 40, Ch 4)** | a. Local Public Agencies<br>b. Public Agencies<br>c. Nonprofit Organizations (501[c][3])<br>d. Public Colleges<br>e. Federally Recognized Indian Tribes<br>f. State Agencies<br>g. Federal Agencies[i] | 1. Development of local watershed management plans that meet the requirements of Section 79078 of the California Water Code[vii].<br>2. Implementation of watershed protection and water management projects that include one or more of the following elements:<br>a. Stormwater capture and treatment;<br>b. Nonpoint source pollution reduction, management, and monitoring;<br>c. Groundwater recharge and management projects;<br>d. Water banking, exchange, and reclamation, and improvement of water quality;<br>e. Vegetation management to improve watershed efficiency, aquatic and terrestrial habitat, the creation and enhancement of wetlands, and the acquisition, protection, and restoration of open space;<br>f. Planning and implementation of multipurpose flood control programs that protect property and improve water quality and stormwater capture and percolation, and protect or improve wildlife habitat;<br>g. Watershed management planning and implementation;<br>h. Demonstration projects to develop new water treatment distribution and nonpoint source pollution control methods;<br>i. Erosion sediment control and stream enhancement projects, and permit coordination programs to facilitate watershed restoration projects that implement State Water Board approved management measures for pollution runoff;<br>j. Monitoring, collection, and analysis of water quality and pollutant transport in groundwater and surface water;<br>k. Native fisheries enhancement or improvement projects, and projects to restore other threatened species;<br>l. Water conservation, water use efficiency, and water supply reliability; or<br>m. An enforcement discharge program, by a person subject to Article 4 (commencing with Section 13260) of Chapter 4 of Division 7 of the Water Code and whom the State Water Board has a name and address, that implements best management practices and includes all of the following:<br>(A) A clear description of how a project will achieve and maintain water quality standards;<br>(B) A monitoring component that assesses the effectiveness of adopted practices; and<br>(C) Submission of a report of waste discharge to the appropriate Regional Water Board. | Approximate Total = $47.5 million<br><br>Grant Project Maximum - $5,000,000 (Implementation) $500,000 (Planning)<br><br>Grant Project Minimum - $250,000 (Implementation) $100,000 (Planning)<br><br>Funds must be encumbered by December 31, 2006. Funds must be spent by December 31, 2008. (Projects should be completed by September 2008.)<br><br>Additional funding requirements:<br>- No more than 50% of funds shall be distributed using the accelerated selection and contracting procedure (ASCP)[viii].<br>- ASCP only available to projects that meet all of criteria listed in PRC, section 30948(a)-(c). |

| 2005-06 Consolidated Grants Program | | | |
|---|---|---|---|
| **Grant Program** | **Eligible Applicants** | **Project Eligibility** | **Funding Available** |
| **Urban Stormwater Program**<br><br>*Purpose: Projects designed to implement stormwater runoff pollution reduction and prevention programs.*<br><br>**(State Water Board and Regional Water Boards)**<br><br>**PRC Section 30930 (Prop 40, Ch 4)** | a. Local Public Agencies | Projects designed to implement stormwater runoff pollution reduction and prevention programs (e.g., diversion of dry weather flows to publicly owned treatment works for treatment, acquisition, and development of constructed wetlands and the implementation of approved BMPs, required by storm water permits issued by California Water Boards). | Approximate Total = $14.25 million<br><br>Grant Project Maximum - $1,000,000<br><br>Grant Project Minimum - $250,000<br><br>Funds must be encumbered by December 31, 2006. Funds must be spent by December 31, 2008. (Projects should be completed by September 2008.) |

[i] Federal agencies and State agencies are eligible for funding if collaborating with local entities involved in watershed management or if proposing statewide projects.

[ii] The report must include information collected by the grantee in accordance with the monitoring and reporting plan, including a determination of the effectiveness of the project in preventing or reducing pollution. The State Water Board will make the report available to the public, watershed groups, and federal, state, and local agencies.

[iii] Public Resources Code, section 32025, defines "cost," as applied to a project, or a part thereof, financed under this division, or any part of, the costs of construction and acquisition, of all lands, structures, real or personal property, rights, rights-of-way, franchises, easements, and interests acquired or used for a project, the cost of demolition or removal of any buildings or structures on land so acquired, including the cost of acquiring any lands on which buildings or structures may be removed, the cost of all machinery and equipment, financing charges, interest prior to, during, and for a period after completion of the construction, as determined by the authority, provisions for working capital, reserves for principal and interest, and for extensions, enlargements, additions, replacements, renovations, and improvements, the cost of architectural, engineering, financial, and legal services, plans, specifications, estimates, administrative expenses, and other expenses necessary or incident to determining the feasibility of constructing any project, or incident to the construction or acquisition or financing of any project.

[iv] The combined Watershed Management Initiative (WMI) Chapters of all nine Regional Water Boards (as well as that of the State Water Board and USEPA) constitute the Integrated Plan for Implementation of the WMI.

[v] Only applicable to Proposition 50 funds.

[vi] Program must be implemented consistent with November 30, 2004 Memorandum of Understanding between the California Environmental Protection Agency and the California Resources Agency.

[vii] California Water Code, section 79078 defines a "local watershed management plan" as a document prepared by a local watershed group that sets forth a strategy to achieve an ecologically stable watershed, and that does all of the following: (1) Defines the geographical boundaries of the watershed; (2) Describes the natural resource conditions within the watershed; (3) Describes measurable characteristics for water quality improvements; (4) Describes methods for achieving and sustaining water quality improvements; (5) Identifies any person, organization, or public agency that is responsible for implementing the methods for achieving and sustaining water quality improvements; (6) Provides milestones for implementing the methods for achieving and sustaining water quality improvements; and (7) Describes a monitoring program designed to measure the effectiveness of the methods for achieving and sustaining water quality improvements.

[viii] The accelerated selection and contracting procedure is only available to projects that meet all of the following criteria: (1) the project is part of an approved watershed management plan consistent with Section 79078 (see vii); (2) the project is fully permitted and ready to be implemented; and (3) funding for the project includes funding match or services donated from nonstate sources.

# *APPENDIX B: USEFUL WEB LINKS*

**Areas of Special Biological Significance (ASBS)** http://www.waterboards.ca.gov/plnspols/oplans/asbs.html

**CALFED Record of Decision** http://calwater.ca.gov/Archives/GeneralArchive/RecordOfDecision2000.shtml

**CEQA Information**

Environmental Information: http://ceres.ca.gov/index.html
California State Clearinghouse Handbook: http://www.opr.ca.gov/planning/PDFs/sch_handbook.pdf
CEQA Guidelines: http://ceres.ca.gov/topic/env_law/ceqa/guidelines/

**California Water Code (CWC)** http://www.leginfo.ca.gov/cgi-bin/calawquery?codesection=wat&codebody=&hits=20

**California Watershed Portal** http://cwp.casil.ucdavis.edu/

**Department of Industrial Relations** http://www.dir.ca.gov/

**Environmental Justice** http://www.waterboards.ca.gov/education/justice.html

**Environmental Justice Coalition for Water** http://www.ejcw.org

**Environmental Justice Program (USEPA's)** http://www.epa.gov/compliance/environmentaljustice/index.html

**MOU between Cal/EPA and Resources Agency** http://cwp.resources.ca.gov/uploads/images/53/MOU_watershed.pdf

**Natural Resources Conservation Services Technical Resources** http://www.nrcs.usda.gov/technical

**Performance Assessment and Evaluation Plan Websites**

Project Planning, Research, Monitoring, and Assessment (many of these resources also apply to BMP implementation or habitat restoration effectiveness monitoring)

http://cwam.ucdavis.edu/
http://www.waterboards.ca.gov/nps/volunteer.html
http://www.waterboards.ca.gov/swamp/qapp.html
http://www.epa.gov/watertrain
http://www.dfg.ca.gov/cabw/csbp_2003.pdf
http://www.wrmp.org/cram.html
http://www.calfish.org/DesktopDefault.aspx?tabId=112
http://www.cnr.berkeley.edu/forestry/comp_proj/DFG/Monitoring%20the%20Implementation%20and%20Effectiveness%20of%20Fisheries.pdf

Education and Outreach

http://www.michigan.gov/deq/0,1607,%207-135-3313_3682_3714-75944--,00.html
http://cecommerce.uwex.edu/pdfs/G3658_10.PDF

Pollutant Load Reduction Activities

http://it.tetratech-ffx.com/stepl/
http://www.sfei.org/watersheds/reports/GuadalupeYear1final.pdf
http://www.sccwrp.org/pubs/annrpt/96/ar-04.htm

Habitat Restoration

http://www.dfg.ca.gov/nafwb/manual.html
http://www.dfg.ca.gov/nafwb/pubs.html
http://www.dfg.ca.gov/hcpb/species/stds_gdl/survmonitr.shtml
http://www.epa.gov/watertrain
http://www.waterboards.ca.gov/sanfranciscobay/Agenda/04-16-03/Stream%20Protection%20Circular.pdf
http://water.usgs.gov/nawqa/protocols/OFR-93-408/habit1.html

PAEP Tools and Project Performance Measures Tables

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

**Proposition 50 Bond Language** http://resources.ca.gov/bonds_prop50.html

**Proposition 40 Bond Language** http://www.waterboards.ca.gov/funding/prop40.html

**Public Resources Code (PRC)** http://www.leginfo.ca.gov/cgi-bin/calawquery?codesection=prc

**Regional Water Boards Watershed Management Initiative Chapters**

Region 1: http://www.waterboards.ca.gov/northcoast/programs/watermanageinit.html
Region 2: http://www.waterboards.ca.gov/sanfranciscobay/watershedmanagement.htm
Region 3: http://www.waterboards.ca.gov/centralcoast/WMI/WMI 2002, Final Document, Revised 1-22-02.pdf
Region 4: http://www.waterboards.ca.gov/losangeles/html/programs/regional_programs.html#Watershed
Region 5: http://www.waterboards.ca.gov/centralvalley/available_documents/watershed/R5_WMI_chapter.html
Region 6: http://www.waterboards.ca.gov/lahontan/WMI/WMI_Index.htm
Region 7: http://www.waterboards.ca.gov/coloradoriver/wmi.html
Region 8: http://www.waterboards.ca.gov/santaana/html/wmi.html
Region 9: http://www.waterboards.ca.gov/sandiego/programs/wmc.html

**Regional Water Quality Control Plans (Basin Plans)**

Region 1: http://www.waterboards.ca.gov/northcoast/programs/basinplan/basin.html
Region 2: http://www.waterboards.ca.gov/sanfranciscobay/basinplan.htm
Region 3: http://www.waterboards.ca.gov/centralcoast/BasinPlan/Index.htm
Region 4: http://www.waterboards.ca.gov/plnspols/index.html
Region 5: http://www.waterboards.ca.gov/centralvalley/available_documents/index.html
Region 6: http://www.waterboards.ca.gov/lahontan/BPlan/BPlan_Index.htm
Region 7: http://www.waterboards.ca.gov/coloradoriver/documents/RB7Plan.pdf
Region 8: http://www.waterboards.ca.gov/santaana/html/basin_plan.html
Region 9: http://www.waterboards.ca.gov/sandiego/programs/basinplan.html

**State Water Board Program Information**

2005-06 Consolidated Grants Program: http://www.waterboards.ca.gov/funding/consolidgrants0506.html
303d List: http://www.waterboards.ca.gov/tmdl/303d_lists.html
Critical Coastal Areas Program: http://www.coastal.ca.gov/nps/cca-nps.html
California Ocean Plan: http://www.waterboards.ca.gov/plnspols/oplans/index.html
Division of Financial Assistance: http://www.waterboards.ca.gov/funding/index.html
Groundwater Monitoring: http://www.waterboards.ca.gov/gama/
NPS Plan: http://www.waterboards.ca.gov/nps/5yrplan.html
NPS Program: http://www.waterboards.ca.gov/nps/protecting.html
Stormwater Program: http://www.waterboards.ca.gov/stormwtr/index.html
TMDL List: http://www.waterboards.ca.gov/funding/docs/tmdllist.doc
USEPA Watershed Plan Elements: http://www.epa.gov/fedrgstr/EPA-WATER/2003/October/Day-23/w26755.htm
Watershed Action Plan Outline http://www.coastal.ca.gov/nps/cca-plan-outline.pdf

**State Water Board Statewide Data Management Programs**

Surface Water Ambient Monitoring Program: http://www.waterboards.ca.gov/swamp/index.html
Groundwater Ambient Monitoring Assessment: http://www.waterboards.ca.gov/gama/
SWAMP QAPP Template: http://www.waterboards.ca.gov/swamp/docs/swampqapp_template032404.doc

**US Census 2000** http://www.census.gov/main/www/cen2000.html

**USEPA's NPS Program** http://www.epa.gov/fedrgstr/EPA-WATER/2003/October/Day-23/w26755.htm

# *APPENDIX C: IWMP SPECIFIC INFORMATION & REQUIREMENTS*

The Proposition 40 Integrated Watershed Management Program (IWMP) is guided by an interagency Memorandum of Understanding (MOU). **The IWMP provides grants to fund projects for the development of local watershed management plans and for the implementation of watershed management projects.** Therefore, both planning and implementation projects may be funded through the IWMP. The IWMP is intended, in part, to promote larger, integrated projects and plans, and may even support regional water management planning activities. Assessment and monitoring activities are essential to these types and scale of efforts. Applicants are encouraged to coordinate IWMP activities to be consistent with any adopted or planned Integrated Regional Water Management (IRWM) Plans, consistent with Proposition 50, Chapter 8. Additional information on the IWMP is broken out into following sections below: (1) Local Watershed Management Plans; (2) MOU; and (3) accelerated selection and contracting procedure (ASCP).

## I. LOCAL WATERSHED MANAGEMENT PLANS

IWMP grant funds may be used to develop local watershed management plans that meet the requirements of California Water Code, section 79078. These plans must be prepared by a local watershed group and set forth a strategy to achieve an ecologically stable watershed. For planning projects, the final project submittal must be the draft local watershed management plan with a schedule for adoption or an adopted local watershed management plan. The local watershed management plan must do all of the following:

1. Define the geographic boundaries of the watershed;
2. Describe the natural resource conditions within the watershed;
3. Describe measurable characteristics for water quality improvements;
4. Describe the methods for achieving and sustaining water quality improvements;
5. Identify any person, organization, or public agency that is responsible for implementing the methods for achieving and sustaining water quality improvements;
6. Provide milestones for implementing the methods for achieving and sustaining water quality improvements; and
7. Describe a monitoring program designed to measure the effectiveness of the methods for achieving and sustaining water quality improvements.

Additionally, in the Full Proposal, the applicant should describe the water quality and water management strategies that will be considered in the plan and how these strategies were determined. A description of how the selected strategies are seen to work together to benefit water quality and water management should also be provided.

## II. MEMORANDUM OF UNDERSTANDING

The California Environmental Protection Agency (Cal/EPA) and Resources Agency entered into a MOU to ensure that the IWMP is coordinated with other programs administered by agencies involved in the development of local watershed management plans and implementation of watershed protection and water management projects. A November 30, 2004 MOU between Cal/EPA and the Resources Agency set the framework to ensure IWMP coordination with other programs and to establish a stakeholder advisory process to assist in setting priorities and allocating funds for watershed projects. The MOU is available on-line at:

http://cwp.resources.ca.gov/uploads/images/53/MOU_watershed.pdf

A work group of Resources Agency and State Water Board staff provided on-going input throughout the development of these Guidelines. The work group also collaborated to develop Partner Agency Priorities for the IWMP. All implementation projects applying for IWMP grants must meet at least three priorities identified by three different agencies. All three priorities must be eligible project types, as identified in the law (Section III.C). Priorities are presented in Appendix G. Development of a local watershed management plan meets the priority requirements for the IWMP planning projects.

## III. ACCELERATED SELECTION & CONTRACTING PROCEDURE

The State Water Board is required by CWC, section 30948 to establish an ASCP for IWMP projects. No more than 50% (fifty percent) of the total IWMP funds may be distributed using the ASCP. In order to qualify for the ASCP, IWMP projects must meet all of the following requirements:

1. The project must be part of an approved watershed management plan that is consistent with CWC, Section 79078; (See Local Watershed Management Plan section above.)
2. The project must be fully permitted, including compliance with all California Environmental Quality Act (CEQA) requirements, and ready to be implemented; and
3. The project funding must include a funding match or services donated from non-State sources.

Concept Proposals and Full Proposals requesting IWMP grants will be screened to determine their eligibility for the ASCP. Funding awards and grant agreements for ASCP eligible projects, which are selected for funding, will be expedited.

# *APPENDIX D: REQUESTS FOR WAIVER OR REDUCTION OF FUNDING MATCH FOR DISADVANTAGED COMMUNITIES (APPLICABLE TO FULL PROPOSALS)*

## I. PURPOSE

The purpose of this appendix is to provide a method for requesting a waiver or reduction of the funding match for the 2005-06 Consolidated Grants Program. The 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 the waiver or reduction. Applicants must demonstrate that the required funding match will be provided or request a waiver or reduction of the funding match and submit a signed certificate of understanding (Exhibit D-1).

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

- Provide a map with sufficient geographic detail to define the boundaries of the disadvantaged community.
- Describe the methodology used in determining the total population of the project area and the total population of the disadvantaged community(ies) in the project area. 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 project area.
- Provide sample calculations showing how the proposed reduced funding match was derived.
- Provide information on amount and type of direct benefit(s) the project(s) provides to the disadvantaged community(ies).
- Include descriptions or information on the disadvantaged community's(ies') involvement, such as past, current, and future efforts to include disadvantaged community representatives in the planning and/or implementation process.
- Letters of support from representatives of disadvantaged communities indicating their support for the project or portion of the proposal designed to provide direct benefits to the disadvantaged communities and acknowledging their inclusion in the planning and/or implementation process.

The following data requirements must be met:

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

## II. 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 and population for a disadvantaged community(ies) and the project area, applicants may use a single type of census geography or combinations of 2000 Census geographies that best represent the project area. However, the census geography used must be consistent for both MHI and population for a particular community. Official census geographies, such as census tract, place, and block group, are acceptable. The intent of including this flexibility is to allow applicants a choice so that population and income data in the project area can be accurately represented.

## III. DEFINITIONS

Block Group – means a census geography used by the United States 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.

## IV. STEPS TO REQUEST A REDUCTION OR WAIVER OF THE FUNDING MATCH

### STEP A. SCREENING BASED ON MAXIMUM GRANT AMOUNT:

Grants awarded under the 2005-06 Consolidated Grants Program have specific maximum grant amounts (presented in Section III.A) regardless of disadvantaged community status.

### STEP B. DOCUMENTATION OF THE PRESENCE OF DISADVANTAGED COMMUNITIES:

Disadvantaged communities must be located in the project area. **If there are no disadvantaged communities in the project area, please do not apply for a reduced funding match or waiver**. The disadvantaged community(ies) should be identified in the description of the project area in the Full Proposal. Applicants should ensure the description of the disadvantaged community(ies) is adequate to determine whether the community(ies) meet the definitions of this Appendix. The disadvantaged community(ies) should also be shown on maps of the project area. In describing the disadvantaged community(ies), include the relationship to the project objectives. Include information that supports the determination of disadvantaged community(ies) in the project area.

### STEP C. DOCUMENTATION OF DISADVANTAGED COMMUNITY REPRESENTATION & PARTICIPATION:

The mere presence of a disadvantaged community(ies) in the project area is not sufficient cause to grant a waiver or reduction of the funding match. The disadvantaged community(ies) must be involved in the implementation process. Supporting information that demonstrates how the disadvantaged community(ies) is, or will be, involved in the implementation process of the project must be included. Information must demonstrate how the disadvantaged community(ies) or their representative(s) is participating in the implementation process. As indicated above, include letters of support from the disadvantaged community(ies) representatives that verify support, inclusion, and participation in the process. **If an applicant cannot demonstrate disadvantaged community representation or participation in the implementation process, please do not apply for a reduced funding match or waiver**. Applicants applying for Integrated Watershed Management Program (IWMP) planning funds must demonstrate how the disadvantaged community(ies) is, or will be, involved and participating in the planning process.

### STEP D. BENEFITS AND IMPACTS TO DISADVANTAGED COMMUNITIES:

Applicants should explain anticipated benefits and impacts to the disadvantaged community(ies) in their project area for the specific work item(s) in their proposal. The explanation should include the nature of the anticipated benefit(s), the certainty that benefit(s) will accrue if the project is implemented, and which disadvantaged community(ies) in the project area will benefit.

### STEP E. CALCULATING A REDUCED FUNDING MATCH:

The required funding matches for the six grant programs are presented in Section III.A of the Guidelines. Where the project directly benefits a disadvantaged community, a reduction in the required funding match may be allowed. To reduce the required funding match, the applicant must determine the Disadvantaged Community Ratio (DCR), Benefit Factor (BF), and the Reduced Funding Match Factor (RFMF). The details of determining the DCR, BF, and RFMF, and an example calculation is provided below.

## V. DETERMINING THE DCR FOR THE PROJECT AREA

Applicants can use any method that is reproducible and logical in determining populations in the project area as long as the requirements of this Appendix are met and the method is consistently applied. For assistance with accessing census data see the Census website (Appendix B). To calculate the DCR:

- Determine the total population of the project area. The total population in the project area = $P_R$
- Determine the total population of the disadvantaged community(ies) (e.g. MHI greater than zero but less than $37,994) in the project area. 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 a disadvantaged community(ies) must be provided. For assistance with accessing census data, see the 2000 Census data web link (Appendix B). Include the method used for population determination, the population of the project area, the population of disadvantaged communities in the project area, MHI data for disadvantaged communities, and the calculation of the reduced funding match.

## VI. DETERMINING THE BF FOR THE PROJECT AREA

The BF is a function of the percentage of the disadvantaged community(ies) within the project area receiving direct benefit from the proposal. As described above, applicants must discuss and document direct benefits to disadvantaged communities from specific proposal elements. Select the BF that applies to your project area from the following table for use in the RFMF calculation:

| **Percentage of Disadvantaged Community(ies) in the Project Area Directly Benefited by the Proposal** | **Benefit Factor** |
|---|---|
| More than 50% | 1 |
| 25% - 50% | 0.5 |
| More than 0% but less than 25% | 0.25 |

## VII. Determining the RFMF for the Project Area

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

- RFMF = FM – (FM × DCR × BF)
- Where:

  ***FM = the minimum funding match for specific grant program;***
  ***DCR = $P_D/P_R$; and***
  ***BF = 1, 0.5, or 0.25 as presented in the table above (Section VI of Appendix D).***

- Round the RFMF to the nearest 0.01

The RFMF is then multiplied by the total proposal cost to determine the reduced funding match. The reduced funding match should be used in the budgets presented for the Full Proposal. An example calculation is shown below.

**Example:** Agency A is requesting a reduced funding match for a grant proposal from the Nonpoint Source Pollution Control Program that has a total cost of $5,000,000.

$P_R$ = 1,000,000
$P_D$ = 750,000
DCR = 750,000/1,000,000 = 0.75

BF = 0.5[1]
FM = 0.25
RFMF = 0.25 – (0.25 × 0.75 × 0.5)
= 0.25 – (0.09375)
= 0.15625 rounded to 0.16 (or 16%)

| 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 (16% of total) | |
|---|---|---|---|---|
| | Funding Match | Grant Funds | Funding Match | Grant Funds |
| $5 Million | 0.25 x $5 M = $1.25 M | $5 M – $1.25 M = $3.75 M | 0.16 x $5 M = $0.8 M | $5 M – $0.8 M = $4.2 M |

[1] Assuming 25-50% of the disadvantaged community(ies) in the project area directly benefit from the proposal.

# EXHIBIT D-1:
# CERTIFICATION OF UNDERSTANDING

**The undersigned certifies that:**

The application submitted by <Insert Name of Applicant> for <Insert Proposal Title> for a <Insert Funding Source> 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.
- The 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.

Authorized Signator's Signature: _____
Printed Name: _____
Title: _____
Agency: _____
Date: _____

# *APPENDIX E:* DEFINITIONS

**Applicant –** means an entity that files an application for funding under the provisions of Propositions 40 or 50, or Clean Water Act, Section 319 with the State Water Resources Control Board.

**Application –** refers to the electronic submission to the State Water Resources Control Board that requests grant funding for the project that the applicant intends to implement. It includes the responses to the questions included in the on-line application system as well as the proposal.

**Areas of Special Biological Significance –** means areas designated by the State Water Resources Control Board as requiring protection of species or biological communities to the extent that alteration of natural water quality is undesirable. All areas of special biological significance are State Water Quality Protection Areas as defined in Public Resources Code § 36700(f). There are 34 designated areas of special biological significance, which are listed in the California Ocean Plan.

**Bay-Delta** – means the San Francisco Bay/Sacramento-San Joaquin Delta Estuary as defined in section 79006 of the California Water Code.

**Beneficial Uses** - refers to the uses that streams, lakes, rivers, and other water bodies, have to humans and other life. These uses, or beneficial uses, are outlined in a Water Quality Control Plan, also called a Basin Plan. Categories of beneficial uses include water contact recreation, non-water contact recreation, municipal water supply, cold fresh water habitat, and more. Each body of water in the State has a set of beneficial uses it supports that may or may not include all categories of beneficial uses. Different beneficial uses require different water quality control. Therefore, each beneficial use has a set of water quality objectives designed to protect that beneficial use. Below is a list of some of the beneficial uses.

Water used for the following purposes: domestic (homes, human consumption, etc.), irrigation (crops, lawns), power (hydroelectric), municipal (water supply of a city or town), mining (hydraulic conveyance, drilling), industrial (commerce, trade, industry), fish and wildlife preservation, aquaculture (raising fish etc. for commercial purposes), recreational (boating, swimming), stockwatering (for commercial livestock), water quality, frost protection (misting or spraying crops to prevent frost damage), heat control (water crops to prevent heat damage), ground water recharge, agriculture, etc.

**CALFED** – refers to the consortium of State and Federal agencies with management and regulatory responsibilities in the Bay-Delta that are developing a long-term solution to water management, environmental, and other problems in the Bay-Delta watershed, as defined in Section 79008 of the California Water Code.

**Capital Cost** - as defined in Public Resources Code, Section 32025, "cost" as applied to a project, or a part thereof, financed under this division, or any part of, the costs of construction and acquisition, of all lands, structures, real or personal property, rights, rights-of-way, franchises, easements, and interests acquired or used for a project, the cost of demolition or removal of any buildings or structures on land so acquired, including the cost of acquiring any lands on which buildings or structures may be removed, the cost of all machinery and equipment, financing charges, interest prior to, during, and for a period after completion of the construction, as determined by the authority, provisions for working capital, reserves for principal and interest, and for extensions, enlargements, additions, replacements, renovations, and improvements, the cost of architectural, engineering, financial, and legal services, plans, specifications, estimates, administrative expenses, and other expenses necessary or incident to determining the feasibility of constructing any project, or incident to the construction or acquisition or financing of any project.

**Critical Coastal Areas (CCA) Program** – means an innovative program, required by California's Nonpoint Source Pollution Plan to foster collaboration among local stakeholders and government agencies, to better coordinate resources and focus efforts on coastal-zone watershed areas in critical need of protection from polluted runoff.

**Disadvantaged Community** – means a community with an annual median household income that is less than 80 percent of the statewide annual median household income (California Water Code § 79505.5 (a)).

**Environmental Justice** – means the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income with respect to the development, adoption, implementation, and enforcement of environmental laws, regulations, and policies. Fair treatment means that no group of people, including racial, ethnic, or social-economic groups should bear a disproportionate share of the negative environmental consequences resulting from industrial, municipal, and commercial operations, or the execution of Federal, State, local, and tribal programs and policies.

**Evaluation Criteria** – means the set of requirements used to choose a project for a given program or for funding; the specifications or criteria used for selecting or choosing a project based on available funding.

**Funding Match** – means funds made available by the grantee from non-State sources. The funding match may include, but is not limited to, federal funds, local funding, or donated and volunteer services from non-State sources. A State agency may use State funds and services. (California Water Code § 79505.5 [b-c]) Eligible reimbursable expenses incurred after adoption of the Guidelines and prior to the project completion date can be applied to the funding match. Additionally, education and outreach may qualify as a portion of the funding match.

**Grantee –** refers to a grant recipient such as public agencies, local public agencies, public colleges, tribes, or nonprofit organizations as defined in this Appendix, which are eligible for grant funding.

**Granting Agency** – means the agency that is funding a proposal and with which a grantee has a grant agreement. The State Water Resources Control Board will be the granting agency for the 2005-06 Consolidated Grants Program.

**Impaired Water Body** – means surface waters identified by the Regional Water Quality Control Boards as impaired because water quality objectives are not being achieved or where the designated beneficial uses are not fully protected after application of technology-based controls. A list of impaired water bodies is compiled by the State Water Resources Control Board pursuant to section 303(d) of the Clean Water Act.

**Indian Tribes** – refers to federally recognized tribes.

**Integrated Plan for Implementation of Watershed Management Initiative –** refers to the combined Watershed Management Initiative Chapters of all nine Regional Water Quality Control Boards, as well as the State Water Resources Control Board and United States Environmental Protection Agency.

**Local Public Agency** – is any city, county, city and county, or district.

**Local Watershed Management Plan** – as defined in Section 79078 of the California Water Code, refers to a document prepared by a local watershed group that sets forth a strategy to achieve an ecologically stable watershed, and that does all of the following: (1) defines the geographical boundaries of the watershed; (2) describes the natural resource conditions within the watershed; (3) describes measurable characteristics for water quality improvements; (4) describes methods for achieving and sustaining water quality improvements; (5) identifies any person, organization, or public agency that is responsible for implementing the methods for achieving and sustaining water quality improvements; (6) provides milestones for implementing the methods for achieving and sustaining water quality improvements; and (7) describes a monitoring program designed to measure the effectiveness of the methods for achieving and sustaining water quality improvements.

**Management Measures** – means economically achievable measures for the control of the addition of pollutants from existing and new categories and classes of nonpoint sources of pollution, which reflect the greatest degrees of pollutant reduction achievable through the application of the best available nonpoint pollution control practices, technologies, processes, siting criteria, operating methods, or alternatives.

**Nonpoint Source Pollution (NPS) -** NPS Pollution is water pollution that does not originate from a discrete point, such as a sewage treatment plant outlet. NPS pollution is a by-product of land use practices, such as those associated with farming, timber harvesting, construction management, marina and boating activities, road construction and maintenance, mining, and urbanized areas not regulated under the point source stormwater program. Primary pollutants include sediment, fertilizers, pesticides and other pollutants that are picked up by water traveling over and through the land and are delivered to surface and ground water via precipitation, runoff, and leaching. From a regulatory perspective, pollutant discharges that are regulated under the National Pollutant Discharge Elimination System Permit (NPDES) are considered to be point sources. By definition, all other discharges are considered nonpoint sources of pollution.

**Nonpoint Source Pollution Plan (NPS Plan)** – refers to the State Water Resources Control Board adopted plan developed in collaboration with the Regional Water Quality Control Boards and the California Coastal Commission to meet the requirements of section 6217 of the Coastal Zone Act Reauthorization Amendments of 1990 and Section 319 of the Clean Water Act. The Plan addresses California's nonpoint source pollution by assessing the State's nonpoint source pollution problems/causes and implementing management programs.

**Nonprofit Organization** – means any California corporation organized under Sections 501(c)(3), 501(c)(4), or 501(c)(5) of the Federal Internal Revenue Code.

**Section 501(c)(3)** defines Nonprofit Organizations as:

"Corporations, and any community chest, fund, or foundation, organized and operated exclusively for religious, charitable, scientific, testing for public safety, literary, or educational purposes, or to foster national or international amateur sports competition (but only if no part of its activities involve the provision of athletic facilities or equipment), or for the prevention of cruelty to children or animals, no part of the net earnings of which inures to the benefit of any private shareholder or individual, no substantial part of the activities of which is carrying on propaganda, or otherwise attempting, to influence legislation (except as otherwise provided in subsection (h)), and which does not participate in, or intervene in (including the publishing or distributing of statements), any political campaign on behalf of (or in opposition to) any candidate for public office."

**Section 501(c)(4)** defines Nonprofit Organizations as:

"Civic leagues or organizations not organized for profit but operated exclusively for the promotion of social welfare, or local associations of employees, the membership of which is limited to the employees of a designated person or persons in a particular municipality, and the net earnings of which are devoted exclusively to charitable, educational, or recreational purposes.

Subparagraph (A) shall not apply to an entity unless no part of the net earnings of such entity inures to the benefit of any private shareholder or individual."

**Section 501(c)(5)** defines Nonprofit Organizations as:

"Labor, agricultural, or horticultural organizations."

**Northern California** – means those counties not listed below as "Southern California."

**Ocean Protection Council Priorities** – means priorities identified by the Ocean Protection Council.

**Partner Agency Priorities** – means priorities identified by Partner Agencies, as presented in the Guidelines. Partner Agencies include the Resources Agency, Department of Water Resources, Department of Boating and Waterways, Department of Food and Agriculture, Department of Fish and Game, Department of Health Services, Department of Parks and Recreation, California Coastal Commission, State Coastal Conservancy, Department of Forestry, Department of Conservation, and CALFED.

**Pollutant Load Reduction** – means the decrease of a particular contaminant in the impaired waterbody resulting from the implementation of the project.

**Project –** refers to the entire set of actions, including planning, permitting, constructing, monitoring, and reporting on all of the proposed activities, including structural and non-structural implementation of management measures and practices.

**Project Area -** refers to the geographical boundaries, as defined by the applicant, which encompass the area where the project will be implemented/constructed, including the area where the benefits and impacts of project implementation or planning activities extend. For projects to develop local watershed management plans, the project area includes the entire area included in the planning activities.

**Proposal –** refers to all of the supporting documentation submitted that details the project and actions that are proposed for funding pursuant to an application for a grant.

**Proposition 40 –** is the "California Clean Water, Clean Air, Safe Neighborhood Parks, and Coastal Protection Act of 2002," as set forth in Division 5 of the Public Resources Code (commencing at § 5096.600).

**Proposition 50** – is the "Water Security, Clean Drinking Water, Coastal and Beach Protection Act of 2002", as set forth in Division 26.5 of the California Water Code (commencing at § 79500).

**Public Agency** – is any city, county, city and county, district, the State, or any agency or department thereof.

**Public Colleges** – refers to State Universities, Universities of California, and community colleges.

**Public Works** – as defined in the California Labor Code, Section 1720.

**Regional Agency** – means public agencies with statutory authority over land-use or water management whose jurisdiction encompasses an area greater than the jurisdictional boundaries of any one local public agency.

**Regional Water Boards Priorities –** means priorities identified by the Regional Water Quality Control Boards, as presented in the Guidelines.

**Reimbursable Costs** – means costs that may be funded under Propositions 40 and 50. Reimbursable costs include the reasonable costs of engineering, design, land and easement, legal fees, preparation of environmental documentation, environmental mitigation, and project implementation. Education and outreach is not fundable unless it is a component of a project funded through the federally funded Nonpoint Source Implementation Program (Clean Water Act, Section 319(h)) or a cost that is a component of a demonstration project funded through the Agricultural Water Quality Grant Program.

Costs that are not reimbursable with grant funding include, but are not limited to:

a. Costs, other than those noted above, incurred outside the terms of the 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. Replacement of existing funding sources for ongoing programs;
f. Expenses incurred in preparation of the Concept Proposal and Full Proposal;
g. Purchase of land (except in the case of the Integrated Watershed Management Program, where the minimum required acreage necessary to operate as an integral part of the project, as set forth and detailed by engineering and feasibility studies, is reimbursable); and
i. Payment of principal or interest of existing indebtedness or any interest payments unless the debt is incurred within the terms of the 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.

**Selection Panel** – means a group of technical reviewers assembled to review and consider proposal evaluations and scores and to make initial funding recommendations.

**Southern California** – means the Counties of San Diego, Riverside, Orange, Los Angeles, San Bernardino, and Ventura.

**Stakeholder** – is an individual, group, coalition, agency, or others who are involved in, affected by, or have an interest in the implementation of a specific program or project.

**State Water Board Priorities** – means priorities identified by the State Water Resources Control Board, as presented in the Guidelines.

**Technical Reviewers** – means a group of agency representatives assembled to evaluate the technical competence of a proposed project and the feasibility of the project being successful if implemented.

**303(d) List** – refers to section 303(d) of the Clean Water Act that requires each state to periodically submit to the United States Environmental Protection Agency a list of impaired waters. Impaired waters are those that are not meeting the State's water quality standards. Once the impaired waters are identified and placed on the list, section 303(d) requires that the State establish total maximum daily loads that will meet water quality standards for each listed water body.

**Total Maximum Daily Load (TMDL)** – identifies the maximum quantity of a particular pollutant that can be discharged into a water body without violating a water quality standard, and allocates allowable loading amounts among the identified pollutant sources.

**Urban Water Supplier** – means a supplier, either publicly or privately owned, that provides water for municipal purposes either directly or indirectly to more than 3,000 customers or supplies more than 3,000 acre-feet of water annually. (California Water Code §10617)

**Watershed Management Area (WMA)** – is a basic planning unit and may contain one or more drainage "basins" or "watersheds." For more detailed information on WMAs refer to the Watershed Management Initiative Chapter(s) for the region(s) in which the project is located.

# APPENDIX F: *REQUIRED ELEMENTS FOR WATERSHED-BASED PLANS PER CWA SECTION 319*

All projects supported with Clean Water Act (CWA) Section 319 funds must implement activities based on watershed-based plans (as per the United States Environmental Protection Agency [USEPA] nine key elements) and total maximum daily loads (TMDLs) (existing or under development). This appendix describes the requirements for watershed-based plans. The nine key elements of watershed-based plans, which are explained in more detail below, are:

1. Causes and Sources;
2. Expected Load Reductions;
3. Management Measures;
4. Technical and Financial Assistance;
5. Information/Education;
6. Schedule;
7. Measurable Milestones;
8. Evaluation of Progress; and
9. Monitoring.

Watershed-based plans are holistic documents that are designed to protect and restore a watershed. These plans provide a careful analysis of the sources of water quality problems, their relative contributions to the problems, and alternatives to solve those problems. Watershed-based plans should also deliver proactive measures to protect waterbodies. In watersheds where a TMDL has been developed and approved or is in process of being developed, watershed-based plans must be designed to achieve the load reductions called for in the TMDL.

For additional information, including the full text of the Section 319 guidelines, visit the USEPA's nonpoint source website (Appendix B).

## I. WATERSHED-BASED PLANS IN CALIFORNIA

In California, wide ranges of plans are being used to comply with the nine key elements, often in combination with each other. Examples of plans that are being used to comply with the key elements include local watershed plans, coordinated resource management plans, TMDL implementation plans, comprehensive conservation and management plans, Regional Water Quality Control Plans (Basin Plans), and their Regional Water Quality Control Boards (Regional Water Boards) Watershed Management Initiative (WMI) Chapters under the WMI Integrated Plan, and combinations thereof. Applicants that need assistance may work with their Regional Water Boards to verify that the combination of plans has the nine elements. Those elements that are not included in existing plans will need to be incorporated into the plans, as appropriate, to be eligible for Section 319 funds. During the Full Proposal stage of the grant selection process, applicants for Section 319 funds will complete a table (Table F-1) to indicate where each key element is addressed. Grant awards may be withdrawn if the nine elements cannot be verified.

## II. NINE KEY ELEMENTS

**Element 1: Causes and Sources**
Clearly define the causes and sources of impairment (physical, chemical, and biological).

**Element 2: Expected Load Reductions**
An estimate of the load reductions expected for each of the management measures or best management practices (BMPs) to be implemented (recognizing the natural variability and the difficulty in precisely predicting the performance of management measures over time).

**Element 3: Management Measures**
A description of the management measures or management practices and associated costs that will need to be implemented to achieve the load reductions estimated in this plan and an identification (using a map or a description) of the critical areas where those measures are needed.

**Element 4: Technical and Financial Assistance**
An estimate of the amounts of technical and financial assistance needed, associated costs, and/or the sources and authorities that will be relied upon, to implement this plan.

**Element 5: Information/Education**
An information/education component that will be used to enhance public understanding of the project and encourage their early and continued participation in selecting, designing, and implementing management measures.

**Element 6: Schedule**
A schedule for implementing management measures identified in this plan that is reasonably expeditious.

**Element 7: Measurable Milestones**
A schedule of interim, measurable milestones for determining whether the management measures, BMPs, or other control actions are being implemented.

**Element 8: Evaluation of Progress**
A set of criteria that can be used to determine whether loading reductions are being achieved over time and substantial progress is being made towards attaining water quality standards and, if not, the criteria for determining whether the plan needs to be revised or, if a TMDL has been established, whether the TMDL needs to be revised.

**Element 9: Monitoring**
A monitoring component to evaluate the effectiveness of the implementation efforts over time, measured against the criteria established in the Evaluation of Progress element.

# TABLE F-1: NINE ELEMENTS VERIFICATION TABLE FOR NONPOINT SOURCE IMPLEMENTATION PROGRAM (CWA, SECTION 319(H))

| TABLE F-1: NINE ELEMENTS VERIFICATION TABLE | | | | | | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | **Proposal Pin #:** | **Project Title/Description:** | | | | | | | | | | | | | | | | | | | |
| | **Region #:** | **Applicant Name:** | | | | | | | | | | | | | | | | | | | |
| | **TMDL:** | **Watershed:** | | | | | | | | | | | | | | | | | | | |
| | | | **Required Watershed Elements Addressed Note: See KEY below.** | | | | | | | | | | | | | | | | | | |
| | | | **a** | | **b** | | **c** | | **d** | | **e** | | **f** | | **g** | | **h** | | **i** | | |
| **No.** | **List Name of Watershed Plans or Other Documentation** | **Provide Web Address to Plan or Documentation** | Chapter | Page | Chapter | Page | Chapter | Page | Chapter | Page | Chapter | Page | Chapter | Page | Chapter | Page | Chapter | Page | Chapter | Page | |
| 1 | | | | | | | | | | | | | | | | | | | | | |
| 2 | | | | | | | | | | | | | | | | | | | | | |
| 3 | | | | | | | | | | | | | | | | | | | | | |
| 4 | | | | | | | | | | | | | | | | | | | | | |
| 5 | | | | | | | | | | | | | | | | | | | | | |
| 6 | | | | | | | | | | | | | | | | | | | | | |
| 7 | | | | | | | | | | | | | | | | | | | | | |
| 8 | | | | | | | | | | | | | | | | | | | | | |
| Meets Nine Elements Criteria? Yes/No | | | | | | | | | | | | | | | | | | | | | |

| KEY | Nine Required Watershed Elements |
|---|---|
| **a** | An identification of the causes and sources or groups of similar sources that will need to be controlled to achieve the load reductions estimated in this watershed-based plan. |
| **b** | An estimate of the load reductions expected for the management measures described under paragraph (c) below. |
| **c** | A description of the nonpoint source (NPS) management measures that will need to be implemented to achieve the load reductions estimated under paragraph (b) above and an identification (using a map or a description) of the critical areas in which those measures will be needed to implement this plan. |
| **d** | An estimate of the amounts of technical and financial assistance needed, associated costs, and/or the sources and authorities that will be relied upon, to implement this plan. |

## TABLE F-1: NINE ELEMENTS VERIFICATION TABLE FOR NONPOINT SOURCE IMPLEMENTATION PROGRAM (CWA, SECTION 319(H))

| KEY | Nine Required Watershed Elements Continued |
|---|---|
| **e** | An information/education component that will be used to enhance public understanding of the project and encourage their early and continued participation in selecting, designing, and implementing the NPS management measures that will be implemented. |
| **f** | A schedule for implementing the NPS management measures identified in this plan that is reasonably expeditious. |
| **g** | A description of interim, measurable milestones for determining whether NPS management measures or other control actions are being implemented. |
| **h** | A set of criteria that can be used to determine whether loading reductions are being achieved over time and substantial progress is being made toward attaining water quality standards and, if not, the criteria for determining whether this watershed-based plan needs to be revised or, if a NPS TMDL has been established, whether the NPS TMDL needs to be revised. |
| **i** | A monitoring component to evaluate the effectiveness of the implementation efforts over time, measured against the criteria established under item (h) immediately above. |

# APPENDIX G: STATEWIDE, REGIONAL, & PARTNER AGENCY PRIORITIES

Appendix G, the Statewide, Regional, & Partner Agency Priorities, is available (as a separate file), under a separate cover.

Appendix G is available on-line at:
http://www.waterboards.ca.gov/funding/docs/consolidgrants0506/cg_final_priorities_appendix_g.pdf

# APPENDIX H: CONCEPT PROPOSAL APPLICATION & EVALUATION CRITERIA

## Appendix H-1 Concept Proposal Application

## Appendix H-2 Concept Proposal Evaluation Criteria

*Please note that the application and/or review questions outlined in Appendix H may be slightly reworded, combined, or separated as the information is transferred to the online Financial Assistance Application Submittal Tool (FAAST). The technical content and requirements will not change.*

# *APPENDIX H-1: CONCEPT PROPOSAL APPLICATION*

The fields contained on this page are included in the Financial Assistance Application Submittal Tool (FAAST) for every Request for Proposal (RFP)/Proposal Solicitation Package (PSP) that is released online by the State Water Board's Division of Financial Assistance. Because the fields are shared by all programs, they are not customized for each specific grant program. The grant specific information is in the Concept Proposal Project Information Application.

## QUESTIONS AUTOMATICALLY INCLUDED ONLINE IN FAAST

**General Details**

- RFP Title, Project Title, Project Description (1,000 character limit), Applicant Name, Project Director

**Project Budget**

- Grant Funds Requested, Funding Match, Total Project Cost

**Project Location**

- Latitude & Longitude, Primary County, Primary Watershed, Primary Water Body, Primary Responsible Regional Water Board

**Funding Source**

- Applicant selects one or more checkboxes representing program(s) for the particular RFP/PSP

**Legislative**

| District | Primary | Additional |
|---|---|---|
| Assembly District | | |
| Senate District | | |
| US Congressional District | | |

**Contact Agency**

- Agency Name, Contact Name, Phone, Email

**Cooperating Entity**

- Role on Project, Contact Name, Phone, Email

# *APPENDIX H-1: CONCEPT PROPOSAL APPLICATION*

## CONCEPT PROPOSAL PROJECT INFORMATION APPLICATION

(To be completed on-line in FAAST.)

This section contains the questions for the 2005-06 Consolidated Grants Program. Please note that there is a 1,000 character maximum limit (approximately a quarter of a page) for each question. Applicants are strongly encouraged to consult with Regional Water Board staff or partner agencies before completing this application, especially in providing a response to Question #1. Contacts are available on the 2005-06 Consolidated Grants Program webpage at:

http://www.waterboards.ca.gov/funding/consolidgrants0506.html

## I. PROGRAM(S) SELECTION

**1.** Based on your project scope of work, project timeline, and the specific grant program eligibility requirements, indicate which funding sources are most compatible with your proposed project. (You may select up to three programs.) (1 = the first program in which you would like to compete for funding; 2 = the second program in which you would like to compete for funding; etc.). **A project will only receive funds from one program.**

- ☐ Agricultural Water Quality Grant Program
  - ☐ Proposition 40
  - OR
  - ☐ Proposition 50
- ☐ Coastal Nonpoint Source Pollution Control Program
- ☐ Nonpoint Source Implementation Program (319(h))
- ☐ Integrated Watershed Management Program
- ☐ Nonpoint Source Pollution Control Program
- ☐ Urban Stormwater Program

## II. PROJECT INFORMATION

**2.** Describe the problem(s) the project is proposing to solve and the source(s) of the problem(s), if known.

**3.** Indicate the expected project benefits to water quality and beneficial uses.

**4.** Describe the approach the project is proposing to use to solve the problem(s) and the technical basis for the selected approach.

**5.** Identify any risks to water quality associated with the proposed approach described in Question 4.

**6.** Provide a list and brief description of all major project work items and the associated schedule for completion of all major project work items.

**7.** Provide the estimated percentage of the scope of work for major project work items (for the funds requested, plus match funds) that fit into the following categories. (Only enter whole number percentages [i.e., 11.4 ⇒ 11%]. Percent total cannot exceed the value of 100.)

- ☐ Pollution Prevention/Technology Transfer & Outreach _____ %
- ☐ Pilot Study _____ %
- ☐ Management Practice Implementation _____ %
- ☐ Research & Development _____ %
- ☐ Assessment/Inventory _____ %
- ☐ Demonstration _____ %
- ☐ Monitoring _____ %
- ☐ Restoration _____ %
- ☐ Development of Local Watershed Management Plan _____ %
- ☐ Water Supply Augmentation _____ %
- ☐ Other: _____ %
- ☐ Other: _____ %

PERCENT TOTAL: _____ %

**8.** Indicate project type (select all that apply) and provide the estimated percentage of the project that will be devoted to following groupings. (Only enter percentages greater than 10% and enter whole number percentages [i.e., 11.4 ⇒ 11%]. Percent total cannot exceed the value of 100.) Note: This question helps identify the review teams for the full proposal. **[If "Agriculture" is selected, the applicant must specify if a research, demonstration, or implementation project is proposed. Additionally if proposing a research or demonstration project, provide justification if requesting consideration for the alternate reporting requirements.]**

- ☐ Drinking Water ____ %
- ☐ Coastal ____ %
- ☐ Fisheries Enhancement and/or Stream Restoration ____ %
- ☐ Wastewater Collection, Treatment, and Recycling ____ %
- ☐ Riparian and Wetland Habitat Restoration ____ %
- ☐ Urban Runoff and Stormwater Quality ____ %
- ☐ Flood Control/Water Supply____ %
- ☐ Pesticides ____ %
- ☐ Groundwater ____ %
- ☐ Agriculture _____%
- ☐ Erosion and/or Sediment Control ____ %
- ☐ TMDL _____ %
- ☐ Other: _____ %
- ☐ Other: _____ %

PRECENT TOTAL: _____ %

## III. ELIGIBILITY

**9.** Is this a planning or an implementation project? (Select one from the drop down box.)

**10.** For each program selected in Question #1, select the applicant's organization type (e.g. public agency, nonprofit, public college, tribe, etc.) from the drop-down menu below. For each

program ranked in Question #1, explain/describe how the applicant's organization type meets the eligible applicant requirements presented in Section III.B of the Guidelines.

**11.** For each program selected in Question #1, describe how the project meets the eligible project types identified in Section III.C of the Guidelines.

**12.** If you are applying for the Integrated Watershed Management Program (IWMP), is your project eligible for the Accelerated Selection Contracting Procedure (ASCP) as described in Section 30948 of the Public Resources Code and the Guidelines? IWMP–specific information is presented in Appendix C of the Guidelines. If you answered yes, explain in the box below.

**13.** Check the boxes below to indicate which of the priorities your proposed project will address? (Select all that apply: Regional Water Board Priority, State Water Board Priority, Ocean Protection Council (OPC) Priority, or Partner Agency Priority.) Priorities are presented in Appendix G of the Guidelines.

**14.** If your project addresses a Regional Water Board Priority, please reference the number of the primary priority (as identified in Appendix G of the Guidelines) and briefly describe how it addresses that priority in the box below. If it addresses multiple Regional Water Board Priorities, please indicate the other priority(ies), by number, and explain in the box below.

**15.** If your project addresses a State Water Board Priority, please reference the number of the primary priority (as identified in the Guidelines) and briefly describe how it addresses that priority in the box below. If it addresses multiple State Water Board Priorities, please indicate the other priority(ies), by number, and explain in the box below.

**16.** If your project addresses an Ocean Protection Council Priority, please reference the number of the primary priority (as identified in the Guidelines) and briefly describe how it addresses that priority in the box below. If it addresses multiple Ocean Protection Council Priorities, please indicate the other priority(ies), by number, and explain in the box below.

**17.** If your project addresses a Partner Agency Priority, please reference the number of the primary priority (as identified in the Guidelines) and briefly describe how it addresses that priority in the box below. If it addresses multiple Partner Agency Priorities, please indicate the other priority(ies), by number, and explain in the box below.

## IV. GEOGRAPHIC LOCATION

**18.** Indicate the Calwater Watershed ID number for the watershed(s) that your project encompasses. A map of the Calwater Watersheds is located at:

http://cain.nbii.gov/calwater/index.html.

**19.** Is the project located in an area of special biological significance (ASBS)? (Select yes or no from the drop down menu.) If yes, identify the ASBS in the box below and briefly describe how your project will benefit the ASBS. A list of ASBSs is available on-line at:

http://www.waterboards.ca.gov/plnspols/oplans/asbs.html

**20.** In the Questions Automatically Included On-Line in FAAST section, you entered the primary watershed for your project. If your project encompasses multiple watersheds, list the name of

each watershed. Use the Watershed Management Areas (WMAs) identified in the applicable Regional Water Board's Watershed Management Initiative (WMI) chapter. Please see Appendix B of the Guidelines for website addresses for the WMI chapters.

**21.** For your primary watershed and each of the watersheds listed in response to Question 20, indicate if the watershed has an established watershed group. If an established watershed group(s) exists, provide the name of the group(s).

**22.** For a project that encompasses multiple water bodies, list the name and portion/segment of each water body covered by the project.

**23.** For a project that extends beyond more than one Regional Water Board boundary, select the corresponding checkboxes for the Regional Water Boards covered by the project.

## V. PROJECT PERFORMANCE/EVALUATION

**24A.** If your project implements an adopted total maximum daily load (TMDL) or a TMDL under development, select one option from the drop down menu below (adopted TMDL or TMDL under development) and briefly describe: (1) the TMDL; (2) the anticipated pollutant load reductions that will be achieved; and (3) how your project is consistent with the identified TMDL.

**OR**

**24B.** If your project does not implement an adopted TMDL or a TMDL under development, briefly describe the anticipated pollutant load reductions or measurable water quality benefits that will be achieved from implementation of your project.

**25.** How do you propose to measure and document your project's benefits to water quality and beneficial uses (e.g., before and after concentrations of a constituent, miles of river restored, percent load reduction, number of people educated, data that conforms to the Surface Water Ambient Monitoring Program template and Quality Assurance Project Plan, increase amount of water banked or recharged, acres of open space protected or restored, amount of stormwater captured, etc.)?

## VI. RELATIONSHIP TO EXISTING PLANS

**26.** Describe how the proposed project furthers a comprehensive watershed approach.

**27.** Is the proposed project consistent with a completed watershed assessment or an adopted plan?

**28.** Identify the watershed assessment or the name of the adopted plan and describe with specific examples, how your project implements the plan, and whether your project has been identified as a priority in the plan.

**29.** If a plan has not been adopted or the specific project is not identified in the plan, indicate when the plan is scheduled for adoption. If no adoption is scheduled, explain why.

## VII. READINESS TO PROCEED

**30.** Is this project being undertaken pursuant to a National Pollutant Discharge Elimination System (NPDES) permit or TMDL? Select yes/no from the drop down menu and describe in the box below.

**31.** What type of California Environmental Quality Act (CEQA) document will be prepared for this project? (Select from drop down menu below.) What is the status of the CEQA document, if applicable?

**32.** Will the project require state or federal permits (e.g., 401 certification, 404 permit, or Department of Fish and Game [DFG] Streambed Alteration Agreement)? What is the status of the permit application(s), if applicable?

**33.** Does this project satisfy, in part or in full, the requirements of any State Water Board or Regional Water Board regulation, permit, or order not disclosed in response to Question #30? If so, explain which ones in the box below.

**34.** Describe the anticipated source and amount of proposed funding match for the project.

**35.** What is the availability of the funding match or is the funding match already secured for the project? (Note: Indicating the availability of funding match that later becomes unavailable will be considered a deviation from the proposed project and may result in the grant being withdrawn or as a determination of non-eligibility if a funding match is required.)

**36.** Has the project described in this Concept Proposal been funded, in part or in full, previously by other grants? If so, explain.

**37.** Have you applied for other funds from another program for this specific project? (This includes programs not administered by the State Water Board.) If yes, identify the agency and program.

**38.** Please enter the estimated "Start Date" and "End Date" for the proposed project in mm/yyyy format. For the "End Date" provide the submittal date(s) of the final report and final invoice. (The draft report and final report are typically due two (2) months and one (1) month prior to the work completion date, respectively.)

**39.** Is project planning and design complete?

**40.** Do you have a project team on board with the necessary expertise to carry out the project? Select yes/no from the drop down menu and briefly discuss your response in the box below.

## VIII. APPLICANT INFORMATION

**41.** Identify and briefly discuss similar projects that the Applicant and Cooperating Entity(ies) have completed successfully.

**42.** Has the Applicant or any of the Cooperating Entities previously received funds from a solicitation administered by the State Water Board or Regional Water Boards? (Please select

Yes/No from the drop down menu.) If you answered yes, indicate project titles, contract or grant agreement numbers, and status of funding (e.g., contract or grant agreement in negotiation, ongoing, closed out, terminated, etc.). (Only include projects funded since January 2000.)

**43.** Has the Applicant or any Cooperating Entities entered into a contract or grant agreement: (1) that was terminated; (2) in which funds were withheld by the State Water Board; or (3) that has been the subject of an audit in which there were findings regarding the management of the project or funds by the Applicant or a Cooperating Entity? If so, please explain in the box below, including actions taken to address the problem(s).

**44.** Is the Applicant or was the Applicant a party to a current or pending legal challenge to any State Water Board or Regional Water Board regulation or order, which either requires performance of the project, or though not required, whose terms or conditions would be satisfied in whole or in part by performance of the project? If so, please explain in the box below (include the name and case number in your explanation).

**45.** ☐ _____ (Initials) Disclaimer: The Project Director has read and understands the General Terms and Conditions of the Grant Agreement. If the Project Director does not agree with the terms and conditions, a grant award may be denied. (All applicants will be required to check the box and initial next to the statement.)

# *APPENDIX H – 2: CONCEPT PROPOSAL EVALUATION CRITERIA*

| 2005-06 CONSOLIDATED GRANTS PROGRAM<br>CONCEPT PROPOSAL EVALUATION: ELIGIBILITY REVIEW | | |
|---|---|---|
| **ELIGIBILITY CRITERIA** | **YES / NO** | **KEY** |
| **General Financial Assistance Application Submittal Tool (FAAST) Information**<br>1. Does the Concept Proposal contain all the required information requested in the FAAST? *(e.g., General Details, Project Budget, Project Location, Funding Source, Legislative Information, Contact Agency Information, Cooperating Entity Information, etc.)* | | **Applicant must receive "Yes" for ALL questions to be eligible for invite back.**<br><br>Yes = Applicant eligible to be invited back to submit Full Proposal<br><br>No = Applicant is not eligible to be invited back to submit Full Proposal |
| **Eligibility**<br>2. Is the applicant eligible for at least one of the funding sources selected in Question 1 of the Concept Proposal? (Questions 1 and 10) If yes, list the eligible program(s). | | |
| 3. Is the project an eligible project type for at least one of the funding sources selected in Question 1 of the Concept Proposal? (Questions 1 and 11) If yes, list the eligible program(s). | | |
| 4. Is the applicant eligible for at least one of the funding sources selected in Question 1 of the Concept Proposal based on the priorities the project will address? (Questions 1, and 13 through 17) If yes, list the eligible program(s)? | | |
| **Readiness to Proceed**<br>5. Does the project's estimated "Start Date" and "End Date" fall within the appropriations for the funding sources selected in Question 1 of the Concept Proposal? (Questions 1 and 38) | | |
| **Applicant Information**<br>6. Has the applicant checked the box and initialed that the Project Director has read and understands the General Terms and Conditions of the Grant Agreement? (Question 45) | | |
| **Overall Evaluation**<br>7. <u>For each funding program</u> selected by the applicant, indicate if the Concept Proposal should be scored, based on answers to Questions 1 through 6 above? | | Yes = Concept Proposal should be scored.<br><br>No = Concept Proposal should not be scored. |
| 8. If the Concept Proposal is eligible, please list the agencies that should review and score the Concept Proposal. | | Region 1, Region 2, Region 3, Region 4, Region 5, Region 6, Region 7, Region 8, Region 9, USEPA, Resources Agency, California Coastal Commission, State Coastal Conservancy, State Water Board, Department of Food and Agriculture |

# *APPENDIX H – 2: CONCEPT PROPOSAL EVALUATION CRITERIA*

| 2005-06 CONSOLIDATED GRANTS PROGRAM<br>CONCEPT PROPOSAL EVALUATION: SCORING CRITERIA | | |
|---|---|---|
| **SCORED CRITERIA** | **SCORE** | **POINTS POSSIBLE[1]** |
| 1. How well does the project address the indicated priority(ies)? (Questions 13 through 17) | | 0 - 4 |
| 2. Does the project address multiple priorities? (Questions 13 through 17) | | 1 Point for each priority the project addresses above the required base (max of 5 pts.) |
| 3. Is the description of the major project work items reasonable? (Question 6) | | 0 – 4 |
| 4. Is the project timeline realistic? (Questions 6 and 38) | | 0 – 4 |
| 5. How well does the applicant define the problem(s) the project is proposing to solve? (Question 2) | | 0 – 4 |
| 6. Does the approach appear to be technically feasible? (Question 4) | | 0 – 4 |
| 7. Is the approach likely to yield the expected benefits and how do the expected benefits compare to the risks? (Questions 3 and 5) | | 0 – 4 |
| 8. Does the project implement an adopted total maximum daily load (TMDL), which is specifically mentioned in an implementation plan? (Question 24A) | | 2 Points if the project implements an adopted TMDL |
| 9. Does the project implement a TMDL under development? Is the timeline specified and how well does the timeline fit the applicable grant program timeframe? (Question 24A) | | 1 Point if the project implements a TMDL under development |
| 10. Does the project benefit an area of special biological significance (ASBS)? (Question 19) | | 2 Points if the project benefits an ASBS<br>0 Points if the project does not benefit an ASBS |
| 11. How well are the project's anticipated pollutant load reductions defined in the Concept Proposal? (Question 24A and 24B) | | 0 - 4 |
| 12. How well will the proposed approach allow the applicant to quantify and document the project's benefits to water quality and beneficial uses? (Question 25) | | 0 – 4 |
| 13. How well is the proposed project integrated/identified in the watershed planning efforts?<br>(Questions 26 through 29) | | 0 – 4 |
| 14. How well prepared is the applicant for the permits and regulatory requirements that may be necessary for the project? (Questions 30 through 32) | | 0 - 4 |
| 15. How well does the applicant address their readiness to proceed? (Questions 34, 35, 38, and 39) | | 0 - 4 |

**2005-06 CONSOLIDATED GRANTS PROGRAM**
**CONCEPT PROPOSAL EVALUATION: SCORING CRITERIA**

| SCORED CRITERIA | SCORE | POINTS POSSIBLE[1] |
|---|---|---|
| 16. Does the applicant have a good track record? If not, are the proposed actions taken to address the problem(s) sufficient? (Questions 41-44) | | 0 pts if Negative<br>2 pts if Neutral<br>5 pts if Good |
| **Overall Evaluation**<br>17.What is the score of this Concept Proposal? | | 59 |
| 18. Should the applicant be invited back to submit a Full Proposal? | | Yes =<br>No= |
| 19. If the applicant is invited back, for which program(s) should the applicant be invited back to submit a Full Proposal?<br>1st Choice:<br>2nd Choice:<br>3rd Choice: | AWQGP (40)<br>AWQGP (50)<br>CNPS<br>IWMP<br>NPS Implementation Program (319 (h))<br>NPS<br>USWP | |
| 20. Which review team should be assigned to review the Full Proposal? | (Acronyms defined below[2])<br>Drinking Water = DHS, RB, SB<br>Erosion and/or Sediment Control = RB, SB<br>Fisheries Enhancement and/or Stream Restoration = DFG, CC, RB, SB<br>Flood Control/Water Supply = DWR, Bureau of Reclamation, RB, SB<br>Groundwater = DWR, RB, SB<br>Agriculture = CDFA, RB, SB<br>Riparian & Wetland Habitat Restoration = CC, DFG, RB, SB<br>Coastal = CCC, SCC, RB, SB, DFG<br>Wastewater Collection, Treatment, and Recycling = RB, SB<br>Urban Runoff and Storm Water Quality = USEPA, RB, SB<br>Pesticides = DPR, CDFA, RB, SB<br>TMDL = USEPA<br>Proposition 50 Project in the CALFED Solution Area = CALFED<br>Other = Please explain | |
| 21. Discuss any concerns with respect to the responses to Questions 41 – 44. | | |
| 22. If this applicant is invited to submit a Full Proposal, discuss suggestions on how to improve the proposal/project. (Note to Reviewers: This text will be provided to the applicant. Be clear and concise.) | | |

# *APPENDIX H – 2: CONCEPT PROPOSAL EVALUATION CRITERIA*

[1] Unless otherwise noted, each criterion will be scored on a scale of 0 to 4 with a 0 being "low" and a 4 being "high," with points assigned to the Concept Proposal for each criterion as follows:

- A score of 4 points will be awarded where the criterion is fully addressed and supported by logical rationale.
- A score of 3 points will be awarded where the criterion is fully addressed but is marginally supported by logical rationale.
- A score of 2 points will be awarded where the criterion is marginally addressed and is marginally supported by logical rationale.
- A score of 1 point will be awarded where the criterion is marginally addressed and is not supported by logical rationale.
- A score of 0 point will be awarded where the applicant is not responsive (i.e., the criterion is not addressed and no rationale is presented).

[2] Acronyms
CCC = California Coastal Commission
CDFA = California Department of Food and Agriculture
DFG = Department of Fish and Game
DHS = Department of Health Services
DPR = Department of Pesticide Regulation
DWR = Department of Water Resources
RB = Regional Water Boards
SB = State Water Board
SCC = State Coastal Conservancy
USEPA = United States Environmental Protection Agency

# *APPENDIX I: FULL PROPOSAL SUBMITTAL REQUIREMENTS & EVALUATION CRITERIA*

## Appendix I-1 Full Proposal Submittal Requirements

## Appendix I-2 Full Proposal Evaluation Criteria

*Please note that the application and/or review questions outlined in Appendix I may be slightly reworded, combined, or separated as the information is transferred to the online Financial Assistance Application Submittal Tool (FAAST). The technical content and requirements will not change.*

## APPENDIX I-1: FULL PROPOSAL SUBMITTAL REQUIREMENTS

Applicants will be asked to organize their Full Proposal in a format that will be consistent with the evaluation criteria. This approach should assist applicants in providing complete documentation and will streamline the review process. Applicants should use consistent terminology throughout their Full Proposal application. Full Proposals will be submitted online using the State Water Resources Control Board's (State Water Board's) Financial Assistance Application Submittal Tool (FAAST).

The following information will be requested as part of the Full Proposal submittal:

I. Eligibility: This information will be requested in a question and answer format in FAAST. This format will allow the reviewers to verify the continued eligibility of the Full Proposal for the applicable funding source. The eligibility section has been placed first so that applicants may confirm eligibility prior to application completion.

II. Full Proposal General Submittal Requirements: This documentation will be requested as an attachment in FAAST. This part of the application documents, among other things, scope of work, schedule, budget, stakeholder involvement, and disadvantaged community information. The information requested as part of this attachment will be applicable to all Full Proposals, regardless of the funding source for which the application will be evaluated.

III. Integrated Watershed Management Program (IWMP) Planning Proposals Supplemental Submittal Requirements: This documentation will be requested as an attachment in FAAST for proposals that have been submitted for the IWMP planning funds. This part of the application provides documentation of impacts and benefits, relation to local planning and agency coordination, watershed management strategies and integration, plan implementation, and data management.

IV. Implementation Proposals Supplemental Submittal Requirements: This documentation will be requested as an attachment in FAAST for all proposals, except those applying for the IWMP planning funds. This part of the application provides documentation of benefits and impacts, technical and scientific merit, monitoring and data collection, and project performance and assessment.

V. Program-Specific Supplemental Submittal Requirements: This documentation will be requested as an attachment in FAAST. The information will be program-specific and will document information not provided in other sections of the application that are an important part of the proposal evaluation.

VI. Additional Application Information/General Program Questions: This information will be requested in a question and answer format in FAAST. The information will be important for the Selection Panels to have available when making funding recommendations.

More details on the minimum information that must be provided in the Full Proposal for each of the sections are discussed in the corresponding sections below.

# *APPENDIX I-1: FULL PROPOSAL SUBMITTAL REQUIREMENTS*

## I. ELIGIBILITY

The eligibility information will be requested in a question and answer format in FAAST. Incomplete or ineligible applications will not be reviewed.

### i. General Eligibility

Provide information to demonstrate completeness, applicant and project eligibility, and consistency with the Concept Proposal (CP).

### A. Application Eligibility Information

All proposals must meet the Eligibility Requirements outlined in Section III of the Guidelines. The following information will be requested:

- ❑ Submit application completeness checklist (provided in Full Proposal Solicitation).
- ❑ Identify the Applicant's entity type. Explain how the Applicant is eligible for the requested funding program and whether the Applicant has legal authority to enter into a grant agreement with the State Water Board. Describe any legal agreements amongst applicant's partner agencies and/or organizations that ensure performance of the Proposal and tracking of funds. If applicable, include a copy of the certification of incorporation for the organization. (Submit information requested in Exhibit I-1, which is located at the end of the Eligibility Section.
- ❑ Specify the requested grant amount (the requested grant amount must be between the minimum and maximum eligible amount for the funding source).
- ❑ Describe how the minimum match requirement will be met, or if the Applicant is requesting a waiver or reduction based on the disadvantaged community status. (Submit information requested in Appendix D.)
- ❑ If applicable, state whether an urban water management plan has been submitted to the Department of Water Resources (DWR), as described in Section VI.K of the Guidelines.
- ❑ Describe why the proposed Project is eligible for funding.

### B. Proposal Consistency with Concept Proposal (CP) & Responsiveness

Provide information to document that the scope of work is consistent with the CP and describe any changes made or not made in response to the reviewer comments.

- ❑ Briefly describe how the Full Proposal is consistent with the CP.
- ❑ Briefly describe any modifications made since the submittal of the CP and how they have impacted the scope of work.
- ❑ Briefly outline the CP reviewer comments that you have incorporated, if applicable. If reviewer comments have not been incorporated, explain why.

### ii. Program-Specific Eligibility

### C. Eligibility for Accelerated Selection and Contracting Procedure (ASCP) (If Applicable)

Provide information to document eligibility for ASCP. Only Integrated Watershed Management Program (IWMP) projects may claim eligibility for the ASCP. Projects must meet the requirements of Section 30948 of the Public Resources Code (PRC) (see Appendix C of the Guidelines) to qualify for ASCP.

- ❑ Indicate whether this application is eligible for the ASCP. If yes, the following is required:

- Describe how the Project is part of an approved watershed management plan that is consistent with Water Code, Section 79078.
- Describe how the Project is fully permitted, including all California Environmental Quality Act (CEQA) requirements, and ready to be implemented.
- Identify whether the required matching funds or services are from non-State sources.

### D. Coastal NPS Pollution Control Program Proposals (Proposition 50)

Provide documentation demonstrating eligibility for the Coastal NPS Pollution Control Program.

- ❑ Briefly describe how the Project will sustain long-term water quality or environmental restoration or protection benefits for a period of 20 years.
- ❑ Briefly describe how the Project will address the causes of degradation (rather than the symptoms) of coastal waters.
- ❑ Briefly describe the Project's consistency with water quality and resource protection plans prepared, implemented, or adopted by the State Water Board, the applicable Regional Water Board, and the California Coastal Commission.
- ❑ If applicable, describe the Project's consistency with the existing coho salmon, steelhead trout, or other threatened or endangered species recovery plans. Describe how the Proposal seeks to implement actions specified in those plans.
- ❑ Provide information on whether the Project has received funds from the NPS Pollution Control Subaccount (Water Code, Section 79110) or the Proposition 13 Coastal Nonpoint Source Pollution Control Program (Water Code, Section 79543[d]).
- ❑ Submit a monitoring and reporting plan that: (1) identifies NPS or sources of pollution to be prevented or reduced by the Project; (2) describes the baseline water quality or quality of the environment to be addressed; and (3) describes the manner in which the project will be effective in preventing or reducing pollution and in demonstrating the desired environmental results.
- ❑ Describe any necessary public agency approvals, entitlements, and permits that may be necessary to implement the Project. The application must certify to the State Water Board, at the appropriate time, that those approvals, entitlements, and permits have been granted.
- ❑ If applicable, describe how the Project meets the mutual priorities of the State Water Board and Ocean Protection Council. This information is only necessary for Projects seeking the $10 million targeted to projects that meet both the State Water Board and Ocean Protection Council priorities.
- ❑ If applicable, describe how the Project and Applicant are eligible for the 5% (five percent) of Coastal NPS Pollution Control Program funds reserved for projects that provide a direct benefit to a disadvantaged community. This information is only necessary for projects seeking this 5% of Coastal NPS Pollution Control Program funds.

### E. Nonpoint Source (NPS) Pollution Control Program Proposals (Proposition 40)

Provide documentation demonstrating eligibility for NPS Pollution Control Program.

- ❑ Briefly describe how the Project is capable of sustaining water quality benefits for at least 20 years.
- ❑ Briefly describe the Project's defined water quality or beneficial use goal.
- ❑ Submit a monitoring and reporting plan that: (1) identifies one or more NPSs of pollution; (2) describes the baseline water quality of the body of water impacted; (3) describes the manner in which the proposed practices or measures are implemented; and (4) determines the effectiveness of the proposed practices or measures in preventing or reducing pollution.

### F. NPS Implementation Program Proposals [Clean Water Act, Section 319(h) Program]

Provide documentation demonstrating eligibility for the federally funded NPS Implementation Program.

- ❑ Briefly describe the activities the Project will implement to achieve pollutant load reductions consistent with an established Total Maximum Daily Loads (TMDLs) or a TMDLs under development.
- ❑ Briefly discuss how the proposed activities are consistent with watershed plans. Provide documentation that addresses the USEPA required elements for watershed-based plans, as required in Appendix F.
- ❑ Briefly describe provisions for the proper operation and maintenance of the management practices that will be implemented in accordance with the National Resource Conservation Services Field Office Technical Guides or other appropriate standards.
- ❑ If applicable, briefly describe whether the Project will report the following key data, as applicable: sediment and nutrient annual load reductions, linear feet of stream banks or acres of wetlands protected or restored.
- ❑ If applicable, briefly describe how the sediment and nutrient annual load reductions, linear feet of stream bank, or acres of wetlands protected or restored will be documented.

### G. Integrated Watershed Management Program Planning Proposals (Proposition 40)

Provide documentation demonstrating that the proposed plan leads to a final IWMP plan that will be consistent with the "local watershed management plan" requirements (Section 79078 of the California Water Code).

- ❑ Briefly describe how the proposed Plan will lead to a final plan that at the minimum will meet ALL of the requirements of Section 79078 of the California Water Code. (See Appendix C for more details.)
- ❑ Specify which local watershed group(s) will develop the proposed Plan.

# EXHIBIT I-1
# ELIGIBLE APPLICANT DOCUMENTATION

**Local Public Agencies and Public Agencies**

1. Is the applicant a local public agency or a public agency as defined in Appendix E 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 Water Board?
4. Describe any legal agreements among partner agencies and/or organizations that ensure performance of the proposal and tracking of funds.

**Nonprofit Organizations**

1. Is the applicant a nonprofit organization as defined in Appendix E of the Guidelines? Specify the applicant's nonprofit organization type (e.g., 501[c][3], etc.). Please explain.
2. Does the applicant have legal authority to enter into a grant agreement with the 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.

**Public Colleges**

1. Is the applicant a public college as defined in Appendix E of the Guidelines? Please explain.
2. Does the applicant have legal authority to enter into a grant agreement with the State Water Board?
3. Describe any legal agreements among partner agencies and/or organizations that ensure performance of the proposal and tracking of funds.

**Indian Tribes**

1. Is the applicant a federally recognized Indian Tribe as described in Appendix E 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 Water Board?
4. Describe any legal agreements among partner agencies and/or organizations that ensure performance of the proposal and tracking of funds.

**State Agencies**

1. Is the applicant a State Agency? Please explain.
2. Does the applicant have legal authority to enter into a grant agreement with the State Water Board?
3. Describe any legal agreements among partner agencies and/or organizations that ensure performance of the proposal and tracking of funds.

**Federal Agencies**

1. Is the applicant a Federal Agency? Please explain.
2. Does the applicant have legal authority to enter into a grant agreement with the State Water Board?
3. Describe any legal agreements among partner agencies and/or organizations that ensure performance of the proposal and tracking of funds.

## II. FULL PROPOSAL GENERAL SUBMITTAL REQUIREMENTS

### A. Project Description & Objectives

- ❑ Provide a detailed description of the proposed Project for which funding is requested.
- ❑ Provide a detailed map of the Project area, including the area and/or watershed encompassed by the Project, the location of the Project, disadvantaged communities within the Project area (if applicable), and a narrative description of the Project.
- ❑ Identify the goals, objectives, and outcomes of the proposed Project, and the manner in which they will be achieved.
- ❑ Provide a discussion of the important ecological processes and environmental resources within the watershed area affected by the Project.
- ❑ Describe the beneficial uses of the water body(ies) affected by the Project referenced in the applicable Regional Water Quality Control Plan (Basin Plan).
- ❑ Identify whether and how the Project targets specific water quality pollutants or parameters that are critical to the overall condition of the water resources in the area.

### B. Project Team & Administration

- ❑ Describe how the Applicant demonstrates the experience, knowledge, and skills necessary to successfully complete the Project. The Applicant may provide examples of past successes in completing previous grant funded projects.
- ❑ Describe the partnership agreements, corresponding roles, and institutional structure that will be used to ensure successful completion of the Project. This should include reference to the staff resources that will be used to finalize the grant agreement and successfully implement the Project.
- ❑ Identify project leaders within each cooperating entity to ensure consistent, long-term implementation of the Project.
- ❑ Provide resumes of key project team members and describe the percentage of time commitment by key staff.
- ❑ Provide other relevant supporting information that demonstrates the Applicant's ability to successfully complete the Project.

### C. Stakeholder Involvement & Coordination

- ❑ Identify stakeholders and the process used to include the stakeholders in the development of the Proposal.
- ❑ Discuss how the stakeholders:
  - ❑ Were/will be identified;
  - ❑ Have/will participate in the planning and/or implementation efforts; and
  - ❑ Influence decisions made regarding Project implementation.
- ❑ Discuss the mechanisms and processes that have been and will be used to facilitate stakeholder involvement and communication during implementation of the Project.
- ❑ Describe and document any public outreach activities directed towards specific stakeholder groups, as well as stakeholders not involved as Project participants, including disadvantaged communities and environmental justice communities.
- ❑ Include any letters of support from stakeholder groups.
- ❑ Discuss watershed and/or other partnerships developed during the Project planning process.
- ❑ Describe how the Applicant will coordinate and cooperate with the relevant local, State, and Federal agencies during implementation of the proposed Project.

## D. Financing/Funding Match

Provide documentation indicating a feasible program of continued financing for implementation, operation, and maintenance of the Project and the Applicant's ability to meet or exceed the minimum-funding match. **Indicating the availability of matching funds that later become unavailable will be considered a deviation from the proposed Project and may result in the grant being withdrawn.**

- ❑ Provide the funding match percentage, which meets or exceeds the minimum amount specified for the Program in the Guidelines.
- ❑ If requesting a waiver or reduction of the funding match, provide the information requested in Appendix D, including a completed Exhibit D-1 and a discussion of how much direct benefit the Project provides to disadvantaged communities.
- ❑ Include a summary showing the financing mechanisms for all the related elements of the Project.
- ❑ Discuss the reliability of the proposed cost-sharing partner commitments, including whether the matching funds are dependant on actions by other entities.
- ❑ Describe the Applicant's ability to leverage other funds to complete the Project.
- ❑ If applicable, discuss the mechanisms for ongoing support and financing to continue operation and maintenance of the implemented Project.

## E. Cost Estimate/Budget

- ❑ Discuss whether the costs are reasonable and relevant to the stated outcomes. Explain how costs were estimated.
- ❑ Provide a reasonable estimate of cost for each work item (i.e., line item) contained in the Proposal, including planning and design costs, construction costs, and funding match. Provide a summary of all costs rolled up into the cost summary table (see Exhibit I-2).
- ❑ Discuss how all costs are directly related to Project implementation (i.e., no overhead).
- ❑ If applicable, provide cost estimates and funding sources for those tasks that are not proposed for funding but are related and important to the success of the proposed Project (i.e., non-grant and non-match funded activities).
- ❑ Provide a description of any prior investments the Applicant has made towards the Project (i.e., money previously spent on planning, design, or environmental compliance).

## F. Schedule

- ❑ Provide a schedule showing the sequence and timing for implementation of the proposed Project.
- ❑ Discuss how the schedule is consistent with the work plan and identify any possible obstacles to the Project implementation.
- ❑ Discuss the related elements of the Project, their current status, and how the Applicant plans to ensure the timely completion of these related elements.

## EXHIBIT I-2:
## EXAMPLE COST ESTIMATE TABLE

Provide a reasonable estimate of the cost for all work items (i.e., line item) including planning and design costs, construction costs. If the Proposal includes more than one Project, complete the following table for each Project in the proposal package for which funding is requested.

| **Cost Estimate Table**<br>**Proposal Title and PIN Number:** | | | | |
|---|---|---|---|---|
| Budget Category | | Non-State Share (Funding Match) | Requested State Share (Grant Funding) | Total |
| (a) | Direct Project Administration Costs | | | |
| (b) | Land Purchase/Easement | | | |
| (c) | Planning/Design/Engineering/Environmental | | | |
| (d) | Construction/Implementation | | | |
| (e) | Environmental Compliance/Mitigation/Enhancement | | | |
| (f) | Project Summary [Sum (a) through (e) for each | | | |
| (g) | Construction Administration | | | |
| (h) | Other (Explain): _____ | | | |
| (i) | Construction/Implementation Contingency | | | |
| (j) | Grant Total [Sum (f) through (i) for each column] | | | |
| Source(s) of funds for Non-State Share (Funding Match) | | | | |

### Budget Category Explanations

(a) *Direct Project Administration Costs* – Includes: salaries, wages, fringe benefits, office supplies, and equipment needed to support the project, staff travel costs (at or below the rate allowed for unrepresented State employees), and preparation of required progress and final reports. This budget category includes all such costs for the grantee and any partner agencies or organizations. Applicants are encouraged to limit such costs to less than 5% of the total proposal costs. Such administrative expenses are the necessary costs incidentally but directly related to the proposal.

(b) *Land Purchase/Easement* – This category applies only to the Integrated Watershed Management Program. Land acquisition costs will not be considered a reimbursable item if purchased prior to the terms of the grant agreement. Costs for easements will be handled similarly as for land purchases.

(c) *Planning/Design/Engineering/Environmental Documentation* – For these efforts, differentiate costs between consulting services and/or agency/organization staff costs. Planning costs include: planning efforts, reconnaissance studies, feasibility studies, and preliminary reports. Design and engineering costs include: conceptual, preliminary and final design efforts, geotechnical reports, hydraulic studies, water quality investigations and efforts, and other engineering types of work. Include the costs of bid preparation and processing here. Environmental documentation costs include all efforts involved in the CEQA or NEPA process up to the point of the Notice of Determination, Finding of No Significant Impact, or Record of Decision.

(d) *Construction/Implementation* – Includes the summary of labor, materials, and equipment purchases and/or rentals. After bids are received these costs will be the actual construction cost awarded to the qualified low bidder. The construction or implementation costs for Pilot Projects should be included here.

(e) *Environmental Compliance/Mitigation/Enhancement* – Includes those costs required by a CEQA/NEPA document to offset any potential damages caused by the Proposal. If these costs are included in the grant agreement awarded for construction or implementation of the Proposal, differentiate such costs for purposes of this budget.

(f) *Project Summary* – The summation of the costs for items (a) through (e) above.

(g) *Construction Administration* – Includes those costs required to supervise and administer the construction or implementation of the project. Differentiate costs between consulting services and agency staff costs to perform this work.

(h) *Other* – Includes costs for legal services, license fees, permits, any implementation verification costs, and any monitoring and assessment costs required during the construction/implementation of the Proposal. Do not include monitoring and assessment costs for efforts required after construction/implementation of the Proposal is complete. These costs are considered to be operation and maintenance costs and are not reimbursable.

(i) *Construction/Implementation Contingency* – Includes any contingency costs for the construction/ implementation of the Proposal. Specify the percentage used for this contingency cost. For all other contingency costs (i.e. design, land purchase, etc.) include those contingencies in the appropriate cost category.

(j) *Grand Total [Sum (f) through (i) for each column]* – The summation of the costs for items (f) through (i) above.

## G. Scope of Work & Grant Agreement Readiness

Provide a detailed, concise, and specific scope of work to be used for preparing the grant agreement should the Project be selected for funding.

- ❑ Clearly state the purpose for which funding is being requested.
- ❑ Provide a scope of work that is suitable for including in the grant agreement.
- ❑ Describe the specific purpose of each task, starting with an action verb and including details of how, when, and/or where the task will be accomplished. Identify how the Applicant will coordinate with the granting agency.
- ❑ Provide work items within the grant time frame that are complete, detailed, and ready to be implemented. The work items should be supported with the estimates used in the Budget (Section II.E).
- ❑ Include appropriate work items submittals (i.e., documentation of work item progression, progress and final reports).
- ❑ Provide a schedule of work items with deliverable due dates in tabular format and verify that the tasks line up with the tasks in the schedule.

## H. Environmental Justice Needs & Issues

Bonus points will be given to Proposals that provide a direct benefit to environmental justice communities or that identify and address environmental justice needs and issues. Provide information about how environmental justice communities will be involved and will directly benefit from the proposed Project, if applicable.

- ❑ Indicate whether this Proposal is eligible for environmental justice points. If yes, the following is required.
- ❑ Provide the demographics of the community in the Project Area.
- ❑ Provide information and justification that supports the request for environmental justice community consideration.
- ❑ Discuss how environmental justice communities within the Project Area have been or will be involved in the planning and/or implementation process.
- ❑ Discuss efforts made to identify and address environmental justice needs and issues within the Project Area.
- ❑ Document the water supply, water quality, and other environmental needs of the environmental justice communities and how these needs have been or will be addressed.
- ❑ If applicable, describe any negative impacts the Project may have on environmental justice communities.
- ❑ Describe how the Project leverages diverse local efforts and community-based collaborative strategies to involve low-income, minority, or other disadvantaged populations and ensure that benefits are distributed equitably.

## I. Education & Outreach

Bonus points may be given to Proposals that provide documentation demonstrating that the Project will incorporate education and outreach efforts.

- ❑ Indicate whether this application is eligible for education and outreach bonus points. If yes, the following is required.
- ❑ Describe how the Project promotes increased awareness and the adoption of management practices through the use of educational materials, activities, and/or technology transfer from this to other Projects.

- ❑ Describe how the Project proposes a multi-year strategy for education and outreach to interested stakeholders beyond the Project team.

## III. INTEGRATED WATERSHED MANAGEMENT PROGRAM (IWMP) PLANNING PROPOSALS SUPPLEMENTAL SUBMITTAL REQUIREMENTS

The information requested below is required for the IWMP planning proposals. Only applicants seeking funds from the IWMP funding source, for the development of local watershed management plans, are required to submit this information.

### A. Impacts & Benefits

- ❑ Describe how the proposed Plan will provide for an integrated approach and multiple benefits.
- ❑ Identify the communities and groups that will benefit from the Plan.
- ❑ Describe how the proposed Plan will address an evaluation and mitigation process for potential negative impacts of projects within the region and adjacent areas as part of the planning process.
- ❑ If applicable, identify inter-regional benefits and impacts from the proposed Plan.

### B. Technical/Scientific Merit & Assessment & Performance Measures

Provide documentation demonstrating the soundness of scientific and technical analyses used as the basis for the Proposal and the appropriateness of the assessment and performance measures.

- ❑ Briefly describe and submit a copy of the studies that have been conducted or will be conducted to support the planning process.
- ❑ Describe the types and amount of data that are available to support development of the Plan.
- ❑ Identify data gaps where additional monitoring or studies are needed.
- ❑ Discuss the data, technical methods, and analyses that will be used in the selection of water management and watershed management strategies.
- ❑ Discuss measures that will be used to evaluate the planning process and how to adapt the planning process based on information and data collected.
- ❑ Identify and discuss how the appropriate expertise will be integrated and used throughout the planning process.
- ❑ Describe how the project (i.e., development of the proposed Plan) effectiveness will be assessed (i.e., Submittal of Project Performance Measures Table – Appendix L).
- ❑ Describe the performance measures and how they relate to the anticipated project outcomes.
- ❑ Describe how the assessment and performance measures will be documented.
- ❑ Describe the steps that will be required to implement the proposed Plan.

### C. Relation to Local Planning & Agency Coordination

Provide documentation of coordination with agencies and local planning efforts.

- ❑ Describe how the identified action(s), proposed Plan, and/or study(ies) relate to planning documents established by local agencies.
- ❑ Identify existing planning and related documents (i.e., studies, reports, etc.) that will form the foundation for the local watershed management plan.
- ❑ Discuss how the proposed Plan will incorporate coordination with local land-use planning decision makers.

### D. Watershed Management Plan Consistency

- ❑ Describe how the proposed Plan will fulfill the requirements for a local watershed management plan, as described in Section 79078 of the California Water Code.

### E. Watershed Management Strategies & Integration

- ❑ Discuss the range of water quality, watershed, and water management strategies the proposed Plan will consider.
- ❑ Discuss how the selected water quality, watershed, and water management strategies will work together to benefit water quality and provide reliable water management.
- ❑ Discuss the added benefits of the proposed integration of multiple water quality, watershed, and water management strategies.
- ❑ If applicable, provide a discussion on why a water quality, watershed, or water management strategy is not applicable.

### F. Plan Implementation

- ❑ Provide a general schedule for implementation of the proposed Plan beyond the adoption of the proposed Plan, or a process to determine such a schedule.
- ❑ Describe how the proposed Plan will include an institutional structure or how such an institutional structure will be developed to ensure Plan implementation.
- ❑ Identify a mechanism or process that allows for monitoring the performance of the Plan and implementation and changes to the Plan.
- ❑ Identify beneficiaries and potential funding/financing for implementation of the proposed Plan.

### G. Data Management

- ❑ Describe the process for gathering and managing data for development and implementation of the proposed Plan and disseminating data to stakeholders, agencies, and the public.
- ❑ Demonstrate how the proposed Plan's data management will support statewide needs.
- ❑ Discuss how the data gathering, analysis, and management tasks in the Proposal are consistent with existing statewide databases.

## IV. IMPLEMENTATION PROPOSALS SUPPLEMENTAL SUBMITTAL REQUIREMENTS

The information requested below is required for all proposals except the IWMP planning proposals.

### A. Benefits, Outcomes, & Impacts

- ❑ Identify the recipients of the Project benefits.
- ❑ Discuss how the outcomes relate to the work items identified in the Proposal.
- ❑ Describe the Project benefits and significant environmental improvements.
- ❑ Quantify the anticipated environmental benefits (i.e., pollutant load reductions to be achieved by the Project). Describe how the Project will achieve quantifiable pollutant load reductions.
- ❑ Describe how the Project will contribute to the long-term attainment and maintenance of water quality objectives.
- ❑ If applicable, discuss how the Project provides multiple benefits.
- ❑ If applicable, describe how the Project will have benefits beyond the immediate Project Area by demonstrating the feasibility of the proposed activities.
- ❑ Address any potential negative impacts within the Project Area and adjacent areas that may result from Project implementation.
- ❑ If applicable, identify proposed mitigation measures for the potential negative impacts.
- ❑ If applicable, describe how the Project incorporates a source reduction/pollution prevention strategy.
- ❑ Provide an evaluation of impacts/benefits to other resources (i.e., air).
- ❑ If applicable, identify the watershed and/or interregional benefits and impacts from the Project.

### B. Plan Consistency & Relation to Local Planning

Provide documentation indicating that the proposed Project is consistent with an adopted Plan and that the Applicant has adequately coordinated with other agencies and local planning efforts.

- ❑ Describe whether the Project is identified in an adopted watershed or other Plans (i.e., integrated regional water management plan, coho recovery plan, etc.) identified in the Bond law. Include documentation of formal adoption of a Plan or a schedule for adoption. (Bonus points will be given for adopted plans and for plans that are recognized by multiple agencies.)
- ❑ For Projects that are part of a Plan, discuss whether the Project is identified as a priority for implementation within the timeframe of this grant process.
- ❑ If applicable, discuss past and future coordination efforts with the local land-use planning decision-makers.

### C. Technical & Scientific Merit

Provide documentation that the Proposal is based on sound scientific and technical analysis and includes measures to assess performance.

- ❑ Describe the technical or scientific basis for the Project design to achieve the stated objective(s) and outcome(s) of the Project.
- ❑ Describe how the information contained in the technical documents support the technical feasibility of the Project.
- ❑ Discuss the appropriateness of the proposed methods, approaches, technology, and analyses for the Project. If applicable, provide major literature citation(s) that document the technical and scientific basis of the Project.

- ❑ Describe the qualifications of the Project team and discuss how they provide the technical expertise needed for Project implementation.
- ❑ Describe site characterization completed or proposed to be completed to ensure that technology will be effective for the proposed Project.
- ❑ Discuss how Project implementation will be adapted based on new information and data collected.
- ❑ Describe how the data gaps will be identified and addressed.

### D. Monitoring & Data Collection

- ❑ Describe a monitoring plan for the Project that is consistent with the Project's goals, outcomes, and objectives.
- ❑ Discuss how the proposed monitoring activities will help to document Project effectiveness (i.e., pollutant load reductions).
- ❑ Identify the appropriate parameters and frequency in the monitoring plan.
- ❑ Discuss whether the proposed monitoring activities are covered under an existing Quality Assurance Project Plan (QAPP), or if a QAPP will have to be developed.
- ❑ Describe how the proposed monitoring plan addresses the requirements of QAPPs and how qualified the monitoring partners are to meet QAPP requirements.
- ❑ Discuss how appropriate statistical/data analysis mechanisms will be used throughout the Project.
- ❑ If applicable, describe how the Proposal leverages existing monitoring efforts.

### E. Data Management & Analysis

- ❑ Identify which databases your project data will be included in and describe how the data will be managed and made compatible with existing databases to support statewide data needs.
- ❑ If applicable, discuss the integration of data into the State Water Board's Surface Water Ambient Monitoring Program (SWAMP) and/or Groundwater Ambient Monitoring Assessment (GAMA) Program.
- ❑ Provide a framework for data storage and transfer, including water quality and geographic information system (GIS) data. Discuss how local watershed groups will be included.
- ❑ Describe how the proposed water quality monitoring plan sets a basis for demonstrating, mapping, and tracking long-term water quality improvements (include the use of GIS technology).

### F. Assessment & Performance Measures

- ❑ Describe the performance measures and how they will adequately demonstrate the Project outcomes.
- ❑ Include specific indicators and/or measure of effectiveness that can be used to evaluate the successful achievement of the Project and overall watershed goals.
- ❑ Describe the post construction/initial implementation performance monitoring.
- ❑ Specify the methods that will be used to determine the pollutant load reductions and why the methods were chosen.
- ❑ Quantify the predicted load reductions, and how the load reductions were determined.
- ❑ Describe how the assessment and performance measures are supported by adequate documentation.
- ❑ Describe how the effectiveness of the Project will be monitored and assessed (i.e., submittal of the Project Performance Measures Table – Appendix L).

## V. PROGRAM-SPECIFIC SUPPLEMENTAL SUBMITTAL REQUIREMENTS

This section documents submittal requirements that are program-specific that may not be directly covered in the other parts of the application. Each Proposal may receive up to 10 points based on the information provided in this section.

### A. Nonpoint Source (NPS) Implementation Program (Clean Water Act [CWA], Section 319[h] Program), Coastal NPS Pollution Program, & NPS Pollution Control Program

- ❑ Include a list of partners that are in place to implement the Project as described in the Proposal.
- ❑ Describe how the Project implements activities necessary to achieve restoration of an impaired water body and/or be in compliance with water quality objectives by 2008.
- ❑ If applicable, describe how the Project enhances comprehensive community-based watershed efforts.
- ❑ If applicable, describe how the Project leverages other funding sources (i.e., Environmental Quality Incentives Program [EQIP]), to accomplish more extensive implementation with measurable environmental results.
- ❑ Describe how the Project tracks management measures implementation. (The purpose of this is to help the State determine progress toward the goal of implementing management measures by 2013.)
- ❑ Identify and describe innovative practices or approaches utilized by the Project that will serve as demonstrations for future implementations.
- ❑ Include activities such as technical transfer and outreach to promote ongoing implementation beyond the current Project Area.
- ❑ Include monitoring within the watershed and/or with statewide water quality assessment.
- ❑ Address whether the Project is part of a watershed-based plan for a water body with a completed total maximum daily load (TMDL).
- ❑ If applicable, describe how the Project integrates Section 319 and Farm Bill funding through coordination between State conservationists and local conservation districts.
- ❑ Discuss how the Project implements appropriate management practices or management measures.
- ❑ Describe how the Project will increase implementation of management practices that will achieve significant water quality improvements.
- ❑ If applicable, for the NPS Implementation Program, describe how the Project will use recycled materials.

### B. Urban Stormwater Program

- ❑ Describe how the Project is designed to reuse, detain, filter, or recharge stormwater onsite to minimize sediment and pollutant transport downstream.
- ❑ Discuss how the Project reduces the combined sewer overflows in existing urban areas.
- ❑ Describe how the Project aims to increase, maintain, or restore riparian function or wetland areas.
- ❑ Describe the integration of low-impact development (LID) techniques into the site design such as detention and infiltration ponds, or flow attenuation devices to help reduce the impact of development and maintain pre-developed hydrologic conditions.
- ❑ Describe how the Project is designed to decrease the concentration of a constituent(s) measured at the Project site before and after water flows through natural filtering devices (i.e., grassy swales, grassy filter strips, tree box filters, etc.).

## C. Agricultural Water Quality Grant Program (AWQGP)

- ❑ Describe how the Project contributes to the long-term attainment and maintenance of water quality standards.
- ❑ Describe implementation strategies and solutions and how they coordinate with existing watershed management efforts to implement a regional, watershed-based approach.
- ❑ Discuss how the Project incorporates a source reduction/pollution prevention strategy.
- ❑ Describe how the Project uses established management measures in achieving its goals and objectives.
- ❑ Describe how the Project (including tasks funded by non-AWQGP sources) proposes to meet its goals, objectives, and outcomes without relying on future phases of funding.
- ❑ If applicable, discuss how the Project assists in the implementation of an established total maximum daily load (TMDL) or one under development.

## D. Integrated Watershed Management Program

- ❑ Discuss how the local watershed management plan associated with the Proposal defines the geographical boundaries of the watershed including the natural resource conditions in the watershed.
- ❑ Discuss the implementation of one or more of the eligible project types listed in Summary Table of 2005-06 Consolidated Grant Program (Appendix A of the Guidelines).
- ❑ Describe how the Proposal will meet and integrate multiple agency priorities. (See Appendix G of the Guidelines for a list of California Water Boards and partner agency priorities.)
- ❑ If the Proposal includes more than one Project, clearly identify the linkages or interdependence between the Projects.
- ❑ Explain the benefits of integration of the selected projects and how integration more efficiently utilizes resources, potentially expedites permitting, and avoids conflicts between requirements, etc.

## VI. ADDITIONAL APPLICANT INFORMATION/GENERAL PROGRAM QUESTIONS

- ❑ Has the scope of work been modified from what was proposed at the Concept Proposal phase? If yes, please elaborate and briefly discuss the reason for modification or reference the section of the Proposal where documentation is provided.
- ❑ Does this Project satisfy, in part or in full, the requirements of any California Water Boards regulation, permit, or order?
- ❑ Are you aware that, once the Proposal has been submitted to State Water Board, any privacy rights as well as other confidentiality protections offered by law with respect to the application package and project location are waived?
- ❑ Are you aware that grant agreements funded by the State Water Board will specify that acceptance of grant funds constitutes a waiver of any existing or pending legal challenge to any State Water Board or Regional Water Board regulation or order, which either requires performance of the Project, or though not required, whose terms or conditions would be satisfied in whole or in part by performance of the Project.
- ❑ Is the Applicant or was the Applicant a party to a current or pending legal challenge to any State Water Board or Regional Water Board regulation or order, which either requires performance of the Project, or though not required, whose terms or conditions would be satisfied in whole or in part by performance of the Project.
- ❑ Are you aware that projects funded under the grant program must comply with the California Environmental Quality Act (CEQA) and/or National Environmental Policy Act (NEPA)?
- ❑ Which Program Preferences (Section IV.D of the Guidelines) does your Proposal meet? Please list and reference the sections of the application where documentation is provided.
- ❑ Does the proposed Project include any modification of a river or stream channel? If yes, briefly discuss how these impacts will be mitigated and reference sections of the application where full documentation of this information is provided.
- ❑ Does the proposed plan/project have any implications with respect to conflict between water users, water rights disputes, and/or interregional water rights issues? Please discuss briefly and if applicable reference sections of the Proposal where additional detail is provided.
- ❑ Are the Applicant and/or cooperating entities in violation of any water right permit requirements including, payment of fees? If yes, please elaborate and discuss the status or progress towards resolving the violation.
- ❑ Does the Project assist in meeting one or more of the CALFED Bay-Delta Program goals? If yes, the Project must be consistent with the CALFED Programmatic Record of Decision. Please include here or reference the section of the Proposal where this information is provided.
- ❑ If applicable, is the proposed project eligible for the alternate agricultural monitoring and reporting requirements (Appendix J)? If yes, discuss why the proposed project should be considered for the alternate reporting requirements.

## APPENDIX I-2: FULL PROPOSAL ELIGIBILITY & EVALUATION CRITERIA

This Section includes the Full Proposal eligibility and evaluation criteria that will be used by reviewers. The maximum possible score is 118 points. This Section is broken into the following tables, which contain the criteria that will be used by reviewers to determine eligibility and score Full Proposals.

| FULL PROPOSAL EVALUATION TABLES | | |
|---|---|---|
| **TABLE** | **TITLE** | |
| **Table 1** | **Full Proposal Eligibility Review**<br>**(Applicable to all proposals. Includes eligibility review for Accelerated Selection and Contracting Procedure.)** | **Eligible/Ineligible** |
| **Table 2** | **Full Proposal General Evaluation Criteria**<br>**(Applicable to all proposals.)** | **Maximum Score = 53** |
| **Table 3** | **Full Proposal Evaluation Criteria for Integrated Watershed Management Program (IWMP) Planning Proposals**<br>**(Applicable only to IWMP <u>planning</u> proposals.)** | **Maximum Score = 55** |
| **Table 4** | **Full Proposal Evaluation Criteria for Implementation Proposals**<br>**(Applicable to all proposals except IWMP planning proposals.)** | **Maximum Score = 55** |
| **Table 5** | **Full Proposal Program-Specific Evaluation Criteria:**<br>**Coastal Nonpoint Source Pollution Control Program**<br>**Nonpoint Source Pollution Control Program**<br>**Nonpoint Source Implementation Program**<br>**Urban Stormwater Program**<br>**Agricultural Water Quality Grant Program**<br>**Integrated Watershed Management Program** | **Maximum Score = 10** |
| **Table 6** | **Full Proposal Additional Information/General Program Questions**<br>**(To be completed by reviewers and consensus reviewers.)** | **Not Scored**<br>**(For Selection Panel Review and Consideration)** |

## SCORING

Unless otherwise noted, each criterion will be scored on a scale of 0 to 5, 0 to 10, or 0 to 15 with a 0 being "low" and a 5, 10, or 15 being "high." Points are then assigned to the Full Proposal for each criterion, as indicated in the Full Proposal Scoring Table below.

| **FULL PROPOSAL SCORING TABLE** | | | |
|---|---|---|---|
| **Score Range** | | | **Scoring Rationale** |
| **0-5** | **0-10** | **0-15** | |
| **5** | **10** | **15** | **Criterion is fully addressed and supported by logical rationale.** |
| **3-4** | **7-9** | **11-14** | **Criterion is fully addressed but marginally supported by logical rationale.** |
| **2** | **4-6** | **5-9** | **Criterion is marginally addressed and marginally supported by logical rationale.** |
| **1** | **1-3** | **1-4** | **Criterion is marginally addressed and not supported by logical rationale.** |
| **0** | **0** | **0** | **Applicant is not responsive (i.e., the criterion is not addressed and no rationale is presented).** |

| TABLE 1: FULL PROPOSAL ELIGIBILITY REVIEW | |
|---|---|
| **Criteria** | **Response/Comments** |
| **ELIGIBILITY CRITERIA**<br>*The Eligibility Criteria listed below will be used to screen Full Proposals for all of the funding programs. This table is broken into the following three sections: (i) General Eligibility (A – B); (ii) Program-Specific Eligibility (C – G); and (iii) Eligibility Determination. Each Proposal will be assigned to a State Water Board* ***Review Liaison*** *who will track the progress of the Proposal throughout the evaluation process and serve as the point of contact for questions.* | |
| ***i. GENERAL ELIGIBILITY (A – B)***<br>*Below are general eligibility criteria, which apply to all grant programs. State Water Board staff will do this portion of the eligibility review. A "No" response in Sections A – B indicates the Proposal may not be eligible for funding. The Review Liaison should be notified and the Full Proposal should not be scored until the Review Liaison makes a determination.* | |
| **A. Application Eligibility Screening**<br>*The determination will be based on whether the Proposal meets the eligibility requirements outlined in the Guidelines.* | |
| 1. What type of entity is the Applicant?<br>*Public Agency* *Local Public Agency* *State Agency* | Yes/No |
| *Nonprofit Organization* *Public College* *Other: (specify)* _____ | Yes/No |
| 2. Is the Applicant eligible to receive funding under the selected Program? | Yes/No |
| 3. Is the Project eligible for funding under the selected Program? | Yes/No |
| 4. Is the Applicant requesting a waiver or reduction of the minimum match requirement as a disadvantaged community? | Yes/No/Not Applicable |
| 5. Does the budget provide a funding match percentage, which meets or exceeds the minimum amount specified for funding programs in the Guidelines? | Yes/No |
| 6. If applicable, has the Applicant submitted an Urban Water Management Plan to the Department of Water Resources (DWR)? | Yes/No/Not Applicable |
| 7. Is the Application complete? | Yes/No |

| TABLE 1: FULL PROPOSAL ELIGIBILITY REVIEW | |
|---|---|
| **Criteria** | **Response/Comments** |
| **B. Proposal Consistency with Concept Proposal & Responsiveness**<br>*The determination will be based on whether the Full Proposal is consistent with the Concept Proposal and incorporates the Concept Proposal reviewer comments.*<br><br>1. Is the Project listed in the Full Proposal consistent with the Concept Proposal and reviewer's comments? Explain your response in the text box provided. | Yes/No |
| ***ii. PROGRAM–SPECIFIC ELIGIBILITY (C-G)***<br>*Below are program-specific eligibility criteria. Section C applies only to the Integrated Watershed Management Program (IWMP). A "No" response in Section C indicates the Full Proposal is* NOT *eligible for the Accelerated Selection and Contracting Procedure (ASCP). Sections D-G apply to specific funding programs. A "No" response in Sections D-G indicates the Proposal may not be eligible for funding. The Review Liaison should be notified and the Full Proposal should NOT be scored until the Review Liaison makes a determination.* | |
| **C. Eligibility for Accelerated Selection and Contracting Procedure (ASCP)**<br>*For the IWMP, Projects are eligible for the ASCP if consistent with Section 30948 of the Public Resources Code (PRC).*<br><br>1. Section 30948 of the PRC allows an ASCP for Projects that meet ALL of the following requirements:<br>a. Is the Project part of an approved watershed management plan consistent with California Water Code, Section 79078?<br>b. Is the Project fully permitted, including all California Environmental Quality Act (CEQA) requirements, and is the Project ready to be implemented?<br>c. Are the matching funds or services from non-State sources?<br><br>2. Is the IWMP Project eligible for the ASCP? | <br><br><br><br><br>Yes/No<br><br>Yes/No<br><br>Yes/No<br><br>YES/NO<br>(All "Yes" for Question 1(a-c) means eligible for ASCP.) |

| TABLE 1: FULL PROPOSAL ELIGIBILITY REVIEW | |
|---|---|
| **Criteria** | **Response/Comments** |
| **D. Coastal Nonpoint Source (NPS) Pollution Control Program Proposals**<br>*Screening will be based on how well the applicant demonstrates that the Proposal meets the specific Coastal NPS Pollution Control Program criteria outlined below.* | |
| 1. Does the Project demonstrate the capability to contribute to sustained, long-term water quality or environmental restoration or protection benefits for a period of 20 years? | Yes/No |
| 2. Does the Project address the causes of degradation (rather than the symptoms) of coastal waters? | Yes/No |
| 3. Is the Project consistent with water quality and resource protection plans prepared, implemented, or adopted by the State Water Board, the applicable Regional Water Board, and the California Coastal Commission? | Yes/No |
| 4. If applicable, is the Project consistent with an existing coho salmon, steelhead trout, or other threatened or endangered species recovery plan? To the extent feasible, does the Proposal seek to implement actions specified in those plans? | Yes/No/Not Applicable |
| 5. Has the Project received funds from the Nonpoint Source Pollution Control Subaccount (California Water Code, Section 79110) or the Proposition 13 Coastal Nonpoint Source Pollution Control Program (California Water Code, Section 79543[d])? | Yes/No |
| 6. Has the Applicant submitted a monitoring and reporting plan that: (1) identifies NPS or sources of pollution to be presented or reduced by the Project; (2) describes the baseline water quality or quality of the environment to be addressed; and (3) describes the manner in which the Project will be effective in preventing or reducing pollution and in demonstrating the desired environmental results. | Yes/No |
| 7. Does the Applicant describe the necessary public agency approvals, entitlements, and permits necessary to implement the Project? Is the granting of these necessary documents also described? | Yes/No |
| 8. Does the Project meet a mutual priority of the State Water Board and Ocean Protection Council? (Only applicable if requesting funding for the $10 million targeted to ocean protection projects). | Yes/No/Not Applicable |
| 9. Is the Applicant requesting and eligible for consideration of the 5% (five percent) of Coastal NPS Pollution Control Program funds reserved for projects that provide a direct benefit to a disadvantaged community? To be eligible, the Applicant must be from a disadvantaged community and the entire project must directly benefit a disadvantaged community. (Only applicable if requesting consideration for reserved funds.) | Yes/No/Not Applicable |
| **E. Nonpoint Source (NPS) Pollution Control Program Proposals**<br>*Screening will be based on whether the Proposal meets the stated criteria for the NPS Pollution Control Program..* | |
| 1. Does the Proposal demonstrate that the Project is capable of sustaining water quality benefits for at least 20 years? | Yes/No |
| 2. Does the Proposal demonstrate that the Project has a defined water quality or beneficial use goal? | Yes/No |
| 3. Has the Applicant submitted a monitoring and reporting plan that: (1) identifies one or more NPSs of pollution; (2) describes the baseline water quality of the body of water impacted; (3) describes the manner in which the proposed practices or measures are implemented; and (4) determines the effectiveness of the proposed practices or measures in preventing or reducing pollution. | Yes/No |

| TABLE 1: FULL PROPOSAL ELIGIBILITY REVIEW | |
|---|---|
| **Criteria** | **Response/Comments** |
| **F. Nonpoint Source (NPS) Implementation Program Proposals [Clean Water Act, Section 319(h) Program]**<br>*Screening will be based on whether the applicant demonstrates that the Proposal meets the specific NPS Implementation Program criteria.* | |
| 1. Does the Project implement activities to achieve pollutant load reductions consistent with an established total maximum daily load (TMDL) or a TMDL under development? | Yes/No |
| 2. Are the proposed activities consistent with watershed plans that address the USEPA required elements for watershed-based plans, as documented in the completed table (Table F-1)? | Yes/No |
| 3. Will the Project report the following key data, as applicable: sediment and nutrient annual load reductions, linear feet of stream banks or acres of wetlands protected or restored? | Yes/No/Not Applicable |
| 4. Does the Proposal include provisions for the proper operation and maintenance of the practices that will be implemented in accordance with the National Resource Conservation Services Field Office Technical Guides or other appropriate standards? | Yes/No |
| 5. If applicable, does the Proposal state how the Project will document sediment and nutrient annual load reductions, linear feet of stream bank or acres of wetlands protected or restored? | Yes/No/Not Applicable |
| **G. Integrated Watershed Management Program <u>Planning</u> Proposals**<br>*For the Integrated Watershed Management Program (IWMP), the proposed Plan must be consistent with the "local watershed management plan" requirements (Section 79078 of the California Water Code), which are outlined in 1(a-h) below. Screening will be based on whether the proposed Plan will fulfill the requirements.* | |
| 1. Section 79078 of the California Water Code defines a local watershed management plan as a plan that includes the following elements: | |
| a. Will a local watershed group develop the proposed Plan? | Yes/No |
| b. Will the proposed Plan define the geographical boundaries of the watershed? | Yes/No |
| c. Will the proposed Plan describe the natural resource conditions within the watershed? | Yes/No |
| d. Will the proposed Plan describe measurable characteristics for water quality improvements? | Yes/No |
| e. Will the proposed Plan describe methods for achieving and sustaining water quality improvements? | Yes/No |
| f. Will the proposed Plan identify any persons, organizations, or public agencies that are responsible for implementing the methods for achieving and sustaining water quality improvements? | Yes/No |
| g. Will the proposed Plan provide milestones for implementing the methods for achieving and sustaining water quality improvements? | Yes/No |
| h. Will the proposed Plan describe a monitoring program designed to measure the effectiveness of the methods for achieving and sustaining water quality improvements? | Yes/No |
| 2. Does the Project include development of a local watershed management plan that meets ALL of the requirements of Section 79078 of the California Water Code? | YES/NO (All "yes" for Question 1(a-f) equals "YES".) |

| TABLE 1: FULL PROPOSAL ELIGIBILITY REVIEW | |
|---|---|
| **Criteria** | **Response/Comments** |
| ***iii. ELIGIBILITY DETERMINATION***<br>*Below are the criteria that will be used to determine if the Full Proposal is eligible. Only eligible Proposals will be scored. Notify the Review Liaison if the Proposal is ineligible and do not score the Proposal until the Review Liaison makes an eligibility determination.* | |
| 1. Is the Proposal eligible for the requested funding program?<br>**(IF THE RESPONSE IS NO, NOTIFY THE REVIEW LIAISON.)** | Yes/No |
| 2. Is the application complete?<br>**(IF THE RESPONSE IS NO, NOTIFY THE REVIEW LIAISON.)** | Yes/No |
| 3. Is the Proposal eligible for the ASCP?<br>**(IF THE RESPONSE IS YES, NOTIFY THE REVIEW LIAISON.)** | Yes/No |
| 4. This Proposal qualifies for: (Select **ALL** that apply from the list below.)<br>**Coastal Nonpoint Source Pollution Control Program**<br>**Nonpoint Source Pollution Control Program**<br>**Nonpoint Source Implementation Program**<br>**Urban Stormwater Program**<br>**Agricultural Water Quality Grant Program – Proposition 40**<br>**Agricultural Water Quality Grant Program – Proposition 50**<br>**Integrated Watershed Management Program – Planning**<br>**Integrated Watershed Management Program – Implementation** | Yes/No |
| 5. Should the Full Proposal be scored? If yes, for which Program? (Select **ONE** Program from list below.)<br>**Coastal Nonpoint Source Pollution Control Program**<br>**Nonpoint Source Pollution Control Program**<br>**Nonpoint Source Implementation Program**<br>**Urban Stormwater Program**<br>**Agricultural Water Quality Grant Program – Proposition 40**<br>**Agricultural Water Quality Grant Program – Proposition 50**<br>**Integrated Watershed Management Program – Planning**<br>**Integrated Watershed Management Program – Implementation** | |

| TABLE 2: FULL PROPOSAL GENERAL EVALUATION CRITERIA | |
|---|---|
| **Criteria** | **Maximum Score** |
| **GENERAL CRITERIA**<br>*The General Criteria listed below will be used to evaluate Full Proposals for all of the funding programs.* | |
| **A. Project Description & Objectives**<br>*Scoring will be based on whether the Full Proposal is consistent with the Project and the Applicant has adequately described the Project, objectives, and outcomes.*<br><br>1. Does the Proposal include a detailed description of the Project(s) for which funding is requested?<br>2. Is a map(s) of the Project Area provided, including the area encompassed by the Project, the location of the Project, disadvantaged communities within the region, and a narrative description?<br>3. Does the Proposal clearly identify the Project Area (if applicable), and the Project goals and objectives? Does the Proposal describe the manner in which the goals and objectives will be achieved?<br>4. Does the Proposal discuss important and relevant ecological processes and environmental resources within the watershed area affected by the Project?<br>5. Does the Proposal include a description of the beneficial uses of the water body(ies) affected, as referenced in the applicable Regional Water Quality Control Plan (Basin Plan)?<br>6. Does the Proposal target specific water quality pollutants or parameters that are critical to the overall condition of the water resources in the area? | 10 |
| **B. Project Team & Administration**<br>*Scoring will be based on whether the Applicant has demonstrated the resources, experience, and ability to successfully complete the Project identified in the Proposal.*<br><br>1. Does the Applicant demonstrate the experience, knowledge, and skills necessary to successfully complete the Project?<br>2. Does the Applicant describe the partnership agreements, corresponding roles, and institutional structure that will ensure successful completion of the Project?<br>3. Does the Applicant identify Project leaders within each cooperating entity to ensure consistent, long-term implementation of the Project? | 5 |

| TABLE 2: FULL PROPOSAL GENERAL EVALUATION CRITERIA | |
|---|---|
| **Criteria** | **Maximum Score** |
| **C. Stakeholder Involvement & Coordination**<br>*Scoring will be based on whether development and implementation of the Project includes stakeholder involvement through a collaborative process.*<br><br>1. Does the Proposal include a discussion of how stakeholders:<br>a. Were/will be identified;<br>b. Have/will participate in planning and/or implementation efforts; and<br>c. Influence decisions made in planning and/or Project implementation?<br>2. Does the Project describe outreach activities directed towards specific stakeholder groups, as well as stakeholders not involved as Project participants, including disadvantaged communities and environmental justice communities, if applicable?<br>3. Are there letters of support for the Project from stakeholder groups?<br>4. Does the Proposal discuss watershed and/or other partnerships developed during the planning process for implementation projects or to be developed during the planning process for planning projects?<br>5. Does the Proposal describe how the Applicant will coordinate and cooperate with the relevant local, State, and Federal agencies during implementation of the proposed Project? | 5 |
| **D. Financing/Funding Match**<br>*Scoring will be based on whether the Proposal describes a feasible program of continued financing for implementation, operation, and maintenance of the Project.*<br><br>1.<br>minimum amount specified for the Program in the Guidelines?<br>2.<br>necessary information requested in Appendix D, including Exhibit D-1? Does the Project provide a direct benefit to the disadvantaged community(ies)?<br>3.<br>related elements of the Project?<br>4.<br>the matching funds dependent on some uncertain actions by other entities?)<br>5.<br>6.<br>financing for the continued operation and maintenance of the implemented Project? | 5 |

| TABLE 2: FULL PROPOSAL GENERAL EVALUATION CRITERIA | |
|---|---|
| **Criteria** | **Maximum Score** |
| **E. Cost Estimate/Budget**<br>*Scoring will be based on whether the costs of the proposed Project are well presented and reasonable.*<br><br>1. Are the costs reasonable and relevant to the stated outcomes?<br>2. Does the Applicant provide a reasonable estimate of costs for each work item (i.e., line item) contained in the Proposal, including planning and design costs, construction costs, and funding match?<br>3. Are all costs directly related to Project implementation (i.e., no overhead)?<br>4. If applicable, are cost estimates and funding sources provided for those tasks that are not proposed for funding, but are related and important to the success of the proposed Project?<br>5. Does the Applicant have prior investment(s) in the Project (i.e., money previously spent on planning, design, or environmental compliance)? | 5 |
| **F. Schedule**<br>*Scoring will be based on the reasonableness of the proposed schedule and readiness to proceed.*<br><br>1. Does the Applicant provide a schedule showing the sequence and timing for implementation of the Project?<br>2. Does the Applicant demonstrate how the schedule is consistent with the work plan and identify possible obstacles to Project implementation?<br>3. Does the Applicant discuss the related elements of the Project, their current status, and how the Applicant plans to ensure the timely completion of these related elements? | 5 |

| TABLE 2: FULL PROPOSAL GENERAL EVALUATION CRITERIA | |
|---|---|
| **Criteria** | **Maximum Score** |
| **G. Scope of Work & Grant Agreement Readiness**<br>*Scoring will be based on whether the Applicant presents a detailed and specific scope of work and grant agreement, which adequately documents the proposed Project.*<br><br>1. Has the Applicant provided a scope of work that is suitable for including in the grant agreement?<br>2. Does each work item have a specific purpose, starting with an action verb and containing detail of how, when, and/or where it will be accomplished?<br>3. Are the work items complete, detailed, and ready to be implemented within the grant time frame?<br>4. Do the work items include appropriate work item submittals (i.e., documentation of work item progression, progress and final reports)?<br>5. Does the scope of work identify synergies or linkages between and among the work items?<br>6. Is the purpose for which funding is being requested clear?<br>7. Is a schedule of tasks provided with deliverable due dates in tabular format and do the tasks line up with the tasks in the schedule? | 10 |
| **H. Environmental Justice Needs & Issues**<br>*Bonus points will be based on the degree that environmental justice communities are involved and will directly benefit from the proposed Project and the extent of efforts to identify and address environmental justice needs and issues within the Project Area.*<br><br>1. Does the Project Area include one or more environmental justice communities?<br>2. Does the Proposal discuss the demographics of community in the Project Area?<br>3. Does the Proposal provide information and justification to support the request for environmental justice consideration?<br>4. Does the Proposal discuss efforts made to identify and address environmental justice needs and issues within the Project Area?<br>5. Does the Proposal discuss how environmental justice communities within the Project Area have been/will be involved in the planning and/or implementation process?<br>6. Does the Proposal document water supply, water quality, and other environmental needs of the environmental justice communities and how these needs have been or will be addressed?<br>7. Will the proposed Project provide direct benefit to environmental justice communities?<br>8. Does the proposed Project have any negative impact on environmental justice communities?<br>9. How well does the Project leverage diverse local efforts and community-based collaborative strategies to involve low-income, minority, or other disadvantaged populations and ensure that benefits are distributed equitably? | 5 |

| TABLE 2: FULL PROPOSAL GENERAL EVALUATION CRITERIA | |
|---|---|
| **Criteria** | **Maximum Score** |
| **I. Education and Outreach**<br>*Bonus points will be based on how well the applicant demonstrates that the Proposal incorporates education and outreach efforts.*<br><br>1. Does the Project promote increased awareness and adoption of management practices through the use of educational materials, activities, and/or technology transfer from this to other Projects?<br>2. Does the Proposal include a multi-year strategy for education and outreach to interested stakeholders beyond the Project team? | 3 |
| **Full Proposal GENERAL Evaluation Criteria Maximum Score:** | **53** |

| TABLE 3: FULL PROPOSAL EVALUATION CRITERIA FOR INTEGRATED WATERSHED MANAGEMENT PROGRAM PLANNING PROPOSALS | |
|---|---|
| **Criteria** | **Maximum Score** |
| **PLANNING PROPOSAL CRITERIA**<br>*The Planning Project Criteria listed below will be used to evaluate Planning Project Proposals. Only Proposals seeking Integrated Watershed Management Program (IWMP) funds are eligible for evaluation using the Planning evaluation criteria. Separate criteria will be used to evaluate Implementation Project Proposals.* | |
| **A. Impacts & Benefits**<br>*Scoring will be based on whether the Proposal clearly and fully describes the impacts and benefits of the Project.*<br>1. How well does the Project provide for an integrated approach and multiple benefits?<br>2. Does the Proposal identify communities and groups that will benefit from the Project?<br>3. Does the Proposal describe how the proposed Plan will address an evaluation and mitigation process for potential negative impacts within the region and adjacent areas that may result from Plan implementation?<br>4. If applicable, does the Proposal identify interregional benefits and impacts from the Project? | 10 |
| **B. Technical/Scientific Merit & Assessment & Performance Measures**<br>*Scoring will be based on whether the Proposal is based on sound scientific and technical analysis and includes measures to assess performance.*<br>1. Have or will technical studies been conducted to support the planning process?<br>2. Will available data adequately support the proposed planning and have data gaps been identified?<br>3. Does the Proposal include a discussion of data, technical methods, and analyses that will be used in the selection of water management and watershed management strategies?<br>4. Does the Proposal discuss measures that will be used to evaluate the planning process and how to adapt the planning process based on information and data collected?<br>5. Does the Proposal identify how the appropriate expertise will be integrated and used throughout the planning process?<br>6. Are the performance measures appropriate and will they adequately demonstrate Project outcomes?<br>7. Does the Proposal contain specific indicators and/or measures of effectiveness that can be used to evaluate and document the successful achievement of both the Project and overall watershed goals?<br>8. Does the Proposal contain a discussion on initial implementation performance monitoring and does it appear to be reasonable?<br>9. How well does the Proposal describe how the effectiveness of the Project (i.e., development of the proposed Plan) will be assessed (i.e., Project Performance Measures Table – Appendix L)? | 10 |

| TABLE 3: FULL PROPOSAL EVALUATION CRITERIA FOR INTEGRATED WATERSHED MANAGEMENT PROGRAM PLANNING PROPOSALS | |
|---|---|
| **Criteria** | **Maximum Score** |
| **C. Relation to Local Planning & Agency Coordination**<br>*Scoring will be based on whether the Applicant adequately coordinates with agencies and local planning efforts.*<br><br>1. Does the Proposal describe how the identified action(s), proposed Plan, or study(ies) relate to planning documents established by local agencies?<br>2. Does the Proposal identify existing planning and related documents (i.e. studies, reports, etc.) that will form the foundation for the local watershed management plan?<br>3. Does the Proposal demonstrate coordination with local land-use planning decision-makers? | 10 |
| **D. Watershed Management Plan Consistency**<br>*Scoring will be based on how well the proposed Plan fulfills the requirements.*<br><br>1. How well does the proposed Plan fulfill the requirements for a local watershed management plan, as described in Section 79078 of the California Water Code? | 10 |
| **E. Water Management Strategies & Integration**<br>*Scoring will be based on how well the proposed Plan integrates a wide range of water management strategies.*<br><br>1. Does the proposed Plan describe a wide range of water quality, watershed, and water management strategies?<br>2. Does the Applicant discuss how the selected water quality, watershed, and water management strategies work together to benefit water quality and provide reliable water management?<br>3. Is a discussion of the added benefits of the proposed integration of multiple water quality, watershed, and water management strategies provided?<br>4. If applicable, is a brief discussion of why a water quality, watershed, or water management strategy is not applicable provided? | 5 |

| TABLE 3: FULL PROPOSAL EVALUATION CRITERIA FOR INTEGRATED WATERSHED MANAGEMENT PROGRAM PLANNING PROPOSALS | |
|---|---|
| **Criteria** | **Maximum Score** |
| **F. Plan Implementation**<br>*Scoring will be based on whether the Applicant has adequately detailed Plan implementation.*<br><br>1. Does the Proposal have a general schedule for implementation of the proposed Plan beyond adoption, or a process to determine such a schedule?<br>2. Does the Proposal describe how the proposed Plan will include an institutional structure to ensure Plan implementation? If not, does the proposed Plan describe how such an institutional structure will be developed to ensure Plan implementation?<br>3. Is there a mechanism or process identified in the Proposal that allows for monitoring the performance of the Plan and implementation and changes to the Plan?<br>4. Does the Proposal identify beneficiaries and identify potential funding/financing for implementation of the proposed Plan? | 5 |
| **G. Data Management**<br>*Scoring will be based on whether the Applicant presents detailed and specific data management procedures.*<br><br>1. Does the Proposal describe the process for gathering and managing data for development and implementation of the proposed Plan and disseminating data to stakeholders, agencies, and the public?<br>2. Does the Proposal demonstrate how the proposed Plan's data management will support statewide needs?<br>3. Are the data gathering, analysis, and management tasks identified in the Proposal consistent with existing statewide databases? | 5 |
| **Full Proposal Evaluation Criteria – PLANNING Proposal Maximum Score:** | **55** |

| TABLE 4: FULL PROPOSAL EVALUATION CRITERIA FOR IMPLEMENTATION PROPOSALS | |
|---|---|
| **Criteria** | **Maximum Score** |
| **IMPLEMENTATION PROPOSAL CRITERIA**<br>*The Implementation Project Criteria listed below will be used to evaluate Implementation Project Proposals. Separate criteria will be used to evaluate Planning Project Proposals (See Table 3).* | |
| **A. Benefits, Outcomes, & Impacts**<br>*Scoring will be based on whether the Proposal clearly and fully describes the benefits, outcomes, and impacts of the Project.*<br><br>1. Does the Proposal identify the recipients of the benefits resulting from the Project?<br>2. Do the outcomes relate to the work items identified in the Proposal?<br>3. Will the Project achieve benefits and significant environmental improvements?<br>4. Does the Proposal quantify the anticipated environmental benefits (i.e., pollutant load reductions to be achieved by the Project)?<br>5. Does the Proposal describe how the Project will achieve quantifiable pollutant load reductions?<br>6. Does the Project contribute to the long-term attainment and maintenance of water quality objectives?<br>7. If applicable, will the Project achieve multiple benefits?<br>8. If applicable, will the Project have benefits beyond the immediate Project Area by demonstrating the feasibility of the proposed activities?<br>9. Does the Proposal adequately address any potential negative impacts that may result from implementing the Project?<br>10. If potential negative impacts are identified, does the Proposal identify the proposed mitigation measures?<br>11. If applicable, how well does the Project incorporate a source reduction/pollution prevention strategy?<br>12. Is an evaluation of impacts/benefits to other resources provided?<br>13. If applicable, does the Proposal identify watershed and/or interregional benefits and impacts from the Project? | 15 |

| TABLE 4: FULL PROPOSAL EVALUATION CRITERIA FOR IMPLEMENTATION PROPOSALS | |
|---|---|
| **Criteria** | **Maximum Score** |
| **B. Plan Consistency & Relation to Local Planning**<br>*Scoring will be based on whether the Project is consistent with an adopted Plan and whether the Applicant adequately coordinates with agencies and local planning efforts.*<br><br>1. Is the Project identified in an adopted watershed or other Plans (i.e., coho recovery plan) identified in the Bond law? Does the Proposal include documentation of formal adoption of a Plan or a schedule of adoption? (Bonus points will be given for adopted plans and for plans that are recognized by multiple agencies.)<br>2. For Projects that are part of a Plan, is the Project identified as a priority for implementation within the timeframe of this grant process?<br>3. If applicable, does the Proposal demonstrate coordination with local land-use planning decision-makers? | 5 |
| **C. Technical & Scientific Merit**<br>*Scoring will be based on whether the Proposal is based on sound scientific and technical analysis and includes measures to assess performance.*<br><br>1. Does the Proposal present a technical or scientific basis for achieving the stated objective(s) and outcome(s)?<br>2. Does the information contained in the Proposal support the technical feasibility of the Project?<br>3. Are the proposed methods, approaches, technology, and analyses appropriate for the Project? If applicable, are literature citations relating to technical and scientific design of the Project included in the Proposal?<br>4. Does the Proposal explain how the Project team provides the technical expertise needed for Project implementation?<br>5. Is the site adequately characterized so that the technology will be effective for the proposed Project?<br>6. Does the Proposal discuss how Project implementation will be adapted based on new information and data collected?<br>7. Does the Proposal indicate how to identify and deal with the Project's data gaps? | 15 |

| TABLE 4: FULL PROPOSAL EVALUATION CRITERIA FOR IMPLEMENTATION PROPOSALS | |
|---|---|
| **Criteria** | **Maximum Score** |
| **D. Monitoring & Data Collection**<br>*Scoring will be based on whether the Applicant presents an adequate monitoring and data collection program.*<br><br>1. Does the Proposal describe a monitoring plan that is consistent with the Project's goals, outcomes, and objectives?<br>2. Will the proposed monitoring activities help to document Project effectiveness (i.e., pollutant load reductions)?<br>3. Does the monitoring plan identify appropriate parameters and frequency?<br>4. Are the proposed monitoring activities covered under an existing Quality Assurance Project Plan (QAPP), or will a QAPP have to be developed?<br>5. How well does the proposed monitoring plan address the requirements of the QAPPs? How qualified are the monitoring partners to meet QAPP requirements?<br>6. Does the Proposal include mechanisms for appropriate statistical/data analysis?<br>7. If applicable, does the Proposal leverage existing monitoring efforts? | 5 |
| **E. Data Management & Analysis**<br>*Scoring will be based on whether the Applicant presents an adequate data management and analysis program.*<br><br>1. How well does the proposed water quality monitoring plan set a basis for demonstrating, mapping, and tracking long-term water quality improvements (may include the use of geographic information system [GIS] technology)?<br>2. If applicable, does the Proposal discuss the integration of data into the State Water Board's Surface Water Ambient Monitoring Program (SWAMP) and/or Groundwater Ambient Monitoring Assessment (GAMA) Program?<br>3. Does the Proposal identify which databases the Project data will be included in and discuss how the data will be managed and made compatible with existing databases to support statewide data needs?<br>4. Does the proposed Project provide a framework for data storage and transfer, including water quality and GIS data? With local watershed groups? | 5 |

| TABLE 4: FULL PROPOSAL EVALUATION CRITERIA FOR IMPLEMENTATION PROPOSALS | |
|---|---|
| **Criteria** | **Maximum Score** |
| **F. Assessment & Performance Measures**<br>*Scoring will be based on how well the Applicant demonstrates an adequate assessment program that includes performance measures that will allow a determination of whether the objectives of the Project are met.*<br><br>1. Are the performance measures appropriate and will they adequately demonstrate Project outcomes?<br>2. Does the Proposal contain specific indicators and/or measures of effectiveness that can be used to evaluate the successful achievement of both the Project and overall watershed goals?<br>3. Does the Proposal contain a discussion on post construction/initial implementation performance monitoring and does it appear to be reasonable?<br>4. Does the Proposal specify the methods that will be used to determine the pollutant load reductions and do they appear to be reasonable?<br>5. Does the Proposal quantify the predicted load reductions, and are the predicted load reductions reasonable?<br>6. Are the assessment and performance measures supported by adequate documentation?<br>7. How well does the Proposal describe how the Project effectiveness will be monitored and assessed (i.e., Project Performance Measures Table)? | 10 |
| **Full Proposal Evaluation Criteria – IMPLEMENTATION Proposal Maximum Score:** | **55** |

| TABLE 5: FULL PROPOSAL PROGRAM-SPECIFIC EVALUATION CRITERIA | |
|---|---|
| **Criteria** | **Maximum Score** |
| **PROGRAM-SPECIFIC CRITERIA**<br>*The criteria outlined below are Program-specific for evaluation and scoring of Proposals within a given Program. Each Proposal may receive up to 10 points based on its ability to meet the Program-Specific Criteria outlined below.* | |
| **A. Nonpoint Source (NPS) Implementation Program (Clean Water Act [CWA], Section 319[h] Program), Coastal NPS Pollution Control Program, & NPS Pollution Control Program**<br>*Scoring will be based on whether the Applicant demonstrates that the Proposal meets the specific criteria outlined below.*<br><br>1. Does the Proposal include partners in place to implement the Project as described in the Proposal?<br>2. Does the Project implement activities necessary to achieve restoration of an impaired water body and/or compliance with water quality objectives by 2008?<br>3. If applicable, does the Project enhance comprehensive community-based watershed efforts?<br>4. If applicable, does the Project leverage other funding sources (i.e., Environmental Quality Incentives Program [EQIP]), to accomplish more extensive implementation with measurable environmental results?<br>5. Does the Project track management measure implementation? (The purpose of this is to help the State determine progress toward the goal of implementing management measures by 2013.)<br>6. Does the Project utilize innovative approaches that will serve as demonstrations for future implementation?<br>7. Does the Project include activities such as technical transfer and outreach to promote ongoing implementation beyond the current Project Area?<br>8. Does the Project include monitoring within the watershed and/or with statewide water quality assessment?<br>9. Is the Project part of a watershed-based plan for a water body with a completed total maximum daily load (TMDL)?<br>10. If applicable, does the Project integrate CWA, Section 319 and Farm Bill (i.e., EQIP) funding through coordination between State conservationists and local conservation districts?<br>11. Does the Proposal identify appropriate management measures and management practices?<br>12. Will the Project increase implementation of management practices that result in significant water quality improvements?<br>13. For the NPS Implementation Program, does the Proposal describe how recycled materials will be used in the Project? | 10 |

| TABLE 5: FULL PROPOSAL PROGRAM-SPECIFIC EVALUATION CRITERIA | |
|---|---|
| **Criteria** | **Maximum Score** |
| **B. Urban Stormwater Program**<br>*Scoring will be based on whether the applicant demonstrates that the Proposal meets the specific Urban Stormwater Program criteria.*<br><br>1. Is the Project designed to reuse, detain, filter, or recharge stormwater onsite to minimize sediment and pollutant transport downstream?<br>2. Does the Project reduce the combined sewer overflows in existing urban areas?<br>3. Does the Project aim to increase, maintain, or restore riparian function or wetland areas?<br>4. Does the Proposal integrate low-impact development (LID) techniques into site design such as detention and infiltration ponds, or flow attenuation devices to help reduce the impact of development and maintain pre-developed hydrologic conditions?<br>5. Is the Project designed to decrease the concentration of a constituent(s) measured at the Project site before and after water flows through natural filtering devices (i.e., grassy swales, grassy filter strips, tree box filters, etc.)? | 10 |
| **C. Agricultural Water Quality Grant Program (AWQGP)**<br>*Scoring will be based on whether the Applicant demonstrates that the Proposal meets the specific Agricultural Water Quality Grant Program criteria.*<br><br>1. How well will the Project contribute to the long-term attainment and maintenance of water quality standards?<br>2. How well are the Project implementation strategies and solutions coordinated with existing watershed management efforts to implement a regional, watershed-based approach?<br>3. How well does the Project use established management measures in achieving its goals and objectives?<br>4. How well does the Project (including work items funded by non-AWQGP sources) propose to meet its goals, objectives, and outcomes without relying on future phases of funding?<br>5. If applicable, how well does the Project assist in the implementation of a total maximum daily load (TMDL) that is established or under development? | 10 |

| TABLE 5: FULL PROPOSAL PROGRAM-SPECIFIC EVALUATION CRITERIA | |
|---|---|
| **Criteria** | **Maximum Score** |
| **D. Integrated Watershed Management Program**<br>*Scoring will be based on whether the Applicant demonstrates that the Proposal meets the specific Integrated Watershed Management Program criteria.*<br><br>1. How well does the local watershed management plan associated with the Proposal define the geographical boundaries of the watershed including the natural resource conditions in the watershed?<br>2. How well does the Project implement one or more of the watershed protection and water management Projects listed in the Summary Table of 2005-06 Consolidated Grants Program (Appendix A of the Guidelines)?<br>3. How well does the Proposal meet and integrate multiple partner agency priorities? (See Appendix G for a list of California Water Boards and partner agency priorities.)<br>4. If the Proposal includes more than one Project, are the linkages or interdependence between the Projects clearly identified?<br>5. How well does the Proposal explain the benefits of integrating the selected projects (i.e., more efficient use of resources, expedited permitting, etc)? | 10 |

| TABLE 6: FULL PROPOSAL ADDITIONAL INFORMATION/GENERAL PROGRAM QUESTIONS | |
|---|---|
| **Criteria** | **Response/ Comments** |
| ***The Selection Panel will review the responses to the following questions as part of review of the consensus scores.*** | |
| 1. Has the Applicant been responsive to the Concept Proposal reviewers' comments? Explain your response in the text box provided. | |
| 2. Does the Proposal address compliance with all applicable environmental review requirements? Does the reviewer have any concerns regarding environmental compliance requirements for the proposed Project? | |
| 3. Are there modifications/enhancements that should be required for this Proposal as part of the grant agreement if the Project is selected for funding? If yes, explain. | |
| 4. Does this Project satisfy, in part or in full, the requirements of any State Water Board or Regional Water Board regulation, permit, or order? | Response taken from Application. |
| 5. Is the proposed completion time reasonable? | |
| 6. Does the reviewer believe the proposed Project is technically and financially feasible? | |
| 7. Does the reviewer believe that the same results could be accomplished at a lower total Project cost? | |
| 8. Do you have any concerns about the Applicant's ability to secure all of the required funding for accomplishing the expected outcomes of this Proposal? | |
| 9. Is the Applicant or was the Applicant a party to a current or pending legal challenge to any State Water Board or Regional Water Board regulation or order, which either requires performance of the Project, or though not required, whose terms or conditions would be satisfied in whole or in part by performance of the Project. | Response taken from Application. |
| 10. What Program Preferences does the Proposal meet? | Response taken from Application. |
| 11. Does the proposed Plan/Project have any implications with respect to conflict between water users, water rights disputes, and/or interregional water rights issues? | Response taken from Application. |
| 12. Is the Applicant and/or a cooperating entity in violation of any water rights permit requirements, including payment of fees? | Response taken from Application. |
| 13. Is the Proposal (e.g., scope of work, budget, schedule, etc.) grant agreement ready? (Reviewers should use the grant agreement readiness checklist, which will be made available on the 2005-06 Consolidated Grants Program website, as a guide for answering this question.) | |
| 14. Did the applicant request the alternate agricultural monitoring and reporting requirements (Appendix J)? If yes, is the project eligible for the alternate agricultural monitoring and reporting requirements? Please explain. | |
| 15. Would you recommend the proposed Project for funding? Answer Yes or No. Explain your answer. | |
| 16. Does the reviewer have any concerns about funding this Project? If you answer yes, please explain. | |

# *APPENDIX J: ALTERNATE REPORTING REQUIREMENTS FOR AGRICULTURAL PROJECTS*

Alternate Reporting Requirements for
Agricultural Water Quality Grant Program (AWQGP), Coastal Nonpoint Source Pollution Control Program (CNPS), Nonpoint Source Pollution Control (NPSPC) Program, and Integrated Watershed Management Program (IWMP)

Agricultural Management Practice Effectiveness Research and Demonstration Projects

This Appendix describes alternate reporting requirements for specified agricultural management practice effectiveness research and demonstration projects. These alternate requirements are necessary and appropriate because the State Water Resources Control Board (State Water Board) wants to encourage voluntary participation in these field trials. Many individual growers and their partners are not willing to participate under the standard reporting requirements because they feel that sensitive information may be disclosed. Furthermore, statewide water-quality monitoring data systems such as the Surface Water Ambient Monitoring Program (SWAMP) are not designed to store field research data. Rather, as their names imply, these systems are designed to hold ambient monitoring data collected from waters of the state. Under the alternate requirements, field data generated during implementation of approved projects do not have to be reported in formats that allow integration into statewide data systems. This exception does not apply to ambient water quality data collected for these projects.

Only the State Water Board, or its designee, is authorized to approve projects for use of the alternate reporting requirements, and only approved projects may use the alternate reporting requirements. State Water Board and Regional Water Quality Control Board (Regional Water Board) staff that reviews the Concept Proposals will jointly make the determination whether the alternate reporting requirements are appropriate. The State Water Board will notify applicants of approval to use the alternate reporting requirements upon solicitation of a Full Proposal package. Those projects that are approved to use the alternate reporting requirements will be identified on the recommended project award lists presented to the State Water Board.

As in all cases for these funding programs, the State Water Board does not require submittal of location information for growers/landowners that are contacted by grantees for preliminary consultation or assessment to determine the suitability of the site to include in the project. Grantees will only be required to report locations where management practices are tested, demonstrated, or implemented.

## I. MANAGEMENT PRACTICE EFFECTIVENESS RESEARCH AND DEMONSTRATION PROJECTS

For purposes of these alternate reporting requirements, management practice effectiveness research projects are those scientific studies specifically designed to provide data on management practice effectiveness under differing conditions or replication. These studies generally involve control plots, field level water quality monitoring, sampling from inlet, outlet, and spatially defined locations within the treatment system, and statistical analysis of large data sets. Studies may involve experimental design and time-series modeling of results.

Demonstration projects include projects that implement management practices or management measures in order to demonstrate the efficacy of implementation in the local natural resource context, and to transfer technology to other growers and/or landowners. Demonstration projects are monitored for effectiveness at the field scale level. Following this type of demonstration project, the grantee may not have installed a lasting, in the ground, fixture to be maintained and inspected. Instead, the outcome of the project is in the enhanced adoption and implementation of the practice in the watershed. Demonstration and research projects may also

include installation and testing of lasting, in-ground practices. As discussed below, in these cases, the location and extent of the final configuration of the lasting feature must be reported. A lasting feature is any feature, structure, or fixture that would be expected to be present at the end of the term of the grant agreement and that is functioning to reduce polluted runoff. Lasting features functioning to reduce pollutant runoff should not be removed; rather, these features should remain in place so they may continue to reduce pollutant runoff.

## II. ALTERNATE REPORTING REQUIREMENTS

**Implementation Plan, Monitoring Plan, Quality Assurance Project Plan (QAPP)**

Grantees implementing projects with alternate reporting requirements must submit a project implementation plan that documents the project location, the experimental design, a monitoring and data analysis plan, and a QAPP, if applicable. These documents may be submitted as separate plans.

*Project Location*

Project locations will be reported in State Water Board databases and on websites to the Range-Township-Section level (one square mile). If a practice extends beyond one Section, all Sections must be reported. The landowner or operator names do NOT have to be reported. The grantee is required to document the experimental design including schematics of the locations of management practices and associated anticipated monitoring locations.

For projects that install a lasting, in-ground practice, the final project report must include locations of the practices depicted on a diagram of the Section. The Section must be depicted at a scale of at least one (1) inch equals five hundred (500) feet. Alternately, global positioning system (GPS) locations may be reported.

*Monitoring Plan and Reporting*

Monitoring results will be summarized, reported, and tied to management practice effectiveness. All data, including monitoring data, will be made available to State Water Board and Regional Water Board (California Water Boards) staff upon request, but may be reported in accordance with appropriate formats for the experimental design. Project reporting will include, at a minimum, the following parameters for each practice:

1. Management Practice type
2. Management Practice extent (including area treated)
3. Water quality parameters
4. Description and name of the watershed
5. Soil type
6. Land use
7. Rainfall data
8. Cropping patterns
9. Pesticide Use Reports (if appropriate when monitoring for toxicity),

**Notification and Documentation**

California Water Boards staff, including, but not limited to the Grant Manager, must be notified and provided the right to inspect the project area, observe practice implementation, demonstration activities, or monitoring events during normal business hours. California Water Boards staff will identify which activities require notification in the grant agreement. The grantee will obtain access and accompany the California Water Boards staff to the site. California Water Boards staff may document activities related to project implementation with photographs and notes that will be maintained in the project file. The California Water

Boards staff will not document the location or the names of growers or landowners in the notes. In addition, the grantee must provide auditors information and ensure that auditors may access the project area to verify management practice implementation information within the timeframe of the useful service life of the project if necessary.

**Collection of Ambient Water Quality Data**

If any portion of the Monitoring Plan involves the collection of ambient water quality data, that portion must allow the integration of such data into the SWAMP and/or the Groundwater Ambient Monitoring Assessment (GAMA) Program. That portion of the Monitoring Plan must also include the development of a QAPP prepared in accordance with the appropriate statewide QAPP template.

**Eligibility for Future Funding**

The State Water Board will not fund implementation of the same management practices within the Section in the future unless the specific locations are provided as described above in the final report for the grant project.

# *APPENDIX K: ENVIRONMENTAL REVIEW PROCESS*

## I. PURPOSE

This document details steps the applicants must take to comply with environmental review requirements for the 2005-06 Consolidated Grants Program administered by the State Water Resources Control Board (State Water Board), Division of Financial Assistance (Division).

Generally, the process is accomplished through compliance with the California Environmental Quality Act (CEQA). Detailed requirements are given in the CEQA Guidelines (California Code of Regulations, Title 14, Division 6, Chapter 3). For information on how to obtain a copy of CEQA and the CEQA Guidelines, contact the State Clearinghouse at (916) 445-0613.

This document is intended to supplement the CEQA Guidelines with specific requirements for environmental documents acceptable to the State Water Board when reviewing applications for funding; they are not intended to supersede or replace the CEQA Guidelines. The program also includes funds from 319 federal sources administered by the United States Environmental Protection Agency (USEPA) and is therefore subject to some federal environmental regulations. The federal requirements are clearly emphasized in this appendix.

Questions regarding environmental procedures and practices should be directed to the Division's Regional Programs Unit (RPU), at (916) 341-5686 or (916) 341-5667. Questions regarding cultural resources should be directed to the Division's Cultural Resources Officer (CRO) at (916) 341-5690.

Additional information is available at the web links listed under "CEQA Information" in Appendix B.

### *A. CEQA REQUIREMENTS*

As defined under CEQA, the applicant may be the *Lead Agency* and will be responsible for the preparation, circulation, and consideration of the environmental document prior to approving the project. The State Water Board and other agencies having jurisdiction over the proposed project are *Responsible Agencies* and are accountable for reviewing and considering the information in the environmental document prior to approving any portion of the project.

The applicant may use a Negative Declaration (ND), a Mitigated Negative Declaration (MND), or an Environmental Impact Report (EIR) to comply with CEQA requirements. The applicant may use a previously prepared document accompanied by a checklist to determine if the project is adequately covered. If the project is not adequately covered by an existing document, an updated or subsequent document should be prepared. Applicants should contact the Division before they decide to use an existing final document.

Public participation: For all projects, public participation and review are essential to the CEQA process (CEQA Guidelines, section 15087). An earnest public participation program can improve the planning process and reduce the chance of delays due to public controversy. Each public agency, consistent with its existing activities and procedures, should include formal and informal public involvement and receive and evaluate public reactions to environmental issues related to its project. Public comments or controversies not addressed during the planning of a proposed project could result in the need for a subsequent environmental document at a later stage or lead to legal challenges, delaying the project and raising the cost significantly. For assistance in this area, the applicant should call the RPU.

### *B. EXEMPTIONS FROM CEQA*

In many circumstances, the applicant's project may be approved under a statutory or categorical exemption from CEQA. Applicants should submit the exemption findings to the Division for these projects. After the Lead Agency

approves the statuary or categorical exemption for the project, the Lead Agency should file a Notice of Exemption with the County Clerk and provide a copy of the Notice to the Division.

A *Notice of Exemption* should include:

- A brief description of the project;
- A finding that the project is exempt;
- References stating the applicable statutory or categorical exemption in the law or State guidelines; and
- A brief statement supporting the finding of exemption.

Categorical Exemptions cannot be used if the project is in an environmentally sensitive area. Compliance with applicable federal environmental regulations including consultation with federal authorities is required for some exempt projects.

## II. DETAILED PROCEDURES

### *A. PREPARATION OF AN INITIAL STUDY (CEQA GUIDELINES, SECTION 15063)*

An *Initial Study* is a preliminary analysis prepared by the Lead Agency to determine whether an EIR or a ND should be prepared. The Initial Study uses the fair argument standard to determine if a project may have a significant environmental effect that cannot be mitigated before public release of the environmental document. The criteria for "significance" of impacts (CEQA Guidelines, sections 15064 et seq.) must be based on substantial evidence in the record and includes:

- Direct effects;
- Reasonably foreseeable indirect effects;
- Expert disagreement;
- Considerable contribution to cumulative effects; and
- Special thresholds for historical and archaeological resources.

If an applicant can determine that an EIR will clearly be required for the project, an Initial Study is not required but may still be desirable to focus the analysis of impacts.

The Initial Study must include:

- A project description;
- An environmental setting;
- Potential environmental impacts;
- Mitigation measures for any significant effects;
- Consistency with plans and policies; and
- The names of preparers.

If a checklist is used, it must be supplemented with explanations for all applicable items, including the items that are checked "no impact." Checklists should follow the format used in Appendix G of the most recent revision (1999 or later) of the CEQA Guidelines.

If the project has no significant effect on the environment, the applicant should prepare a ND (or MND) and Initial Study (CEQA Guidelines, section 15371).

## *B. NEGATIVE DECLARATION*

A *Negative Declaration* is a written statement, briefly explaining why a proposed project will not have a significant environmental effect. It must include:

- A project description;
- The project location;
- The identification of the project proponent;
- A proposed finding of no significant effect; and
- A copy of the Initial Study.

For MNDs, mitigation measures included in the project to avoid significant effects must be described.

The applicant must provide a notice of intent to adopt a ND (CEQA Guidelines, Section 15072) specifying:

- The review period;
- The time and location of any public meetings or hearings on the proposed project;
- A brief project description; and
- The location that copies of the proposed ND or MND is available for review.

A copy of the notice of intent and the proposed ND must be mailed to responsible and trustee agencies, agencies with jurisdiction, and all parties previously requesting notice. Since the State Water Board will be a Responsible Agency, the ND/Initial Study also needs to be circulated through the State Clearinghouse (CEQA Guidelines, sections 15072 and 15073). The notice of intent must be posted in the county clerk's office and sent to the State Clearinghouse with fifteen (15) copies of the ND.

After the review period ends, the applicant should review and address comments received. The applicant's decision-making body should make a finding that the project will have no significant effect on the environment based on the commitment to adequately mitigate significant effects disclosed in the Initial Study or the lack of significant effects, and the absence of significant comments received, and adopt the ND.

## *C. NOTICE OF COMPLETION*

Draft environmental documents must be submitted to the State Clearinghouse for review by state agencies (CEQA Guidelines, section 15205). The applicant needs to send fifteen (15) copies of the ND to the State Clearinghouse, unless the State Clearinghouse approves a lower number in advance (Section 15205(e)).

The applicant may use the standard *Notice of Completion and Environmental Document Transmittal Form* included in the CEQA Guidelines (Appendix B), or develop a similar form to be used when submitting the documents. The Notice of Completion must include:

- A brief project description;
- The project location;
- The address where the draft environmental document is available; and
- The public review period.

On the backside of the form, applicants should put a check on any of the "REVIEWING AGENCIES" that they would like draft documents to be sent to including "State Water Board – Financial Assistance," otherwise the State Clearinghouse will select the appropriate review agencies.

The applicant must also send a formal transmittal letter to the State Clearinghouse giving them the authority to distribute the copies of the document. If a consultant is preparing the draft environmental document, the consultant

must obtain a formal transmittal letter from the applicant stating that they give permission to the consultant to send the copies of the document to the State Clearinghouse. The letter should include the State Clearinghouse number (SCH#).

If the applicant needs a shorter review period than the 30 or 45-day period required by the CEQA Guidelines, the applicant, not the consultant, must submit a written request. This formal request can be included in the transmittal letter stating the reasons for a shorter review period. Use the following address to send documents to the State Clearinghouse:

STATE CLEARINGHOUSE
OFFICE OF PERMIT ASSISTANCE
GOVERNOR'S OFFICE OF PLANNING AND RESEARCH
P.O. Box 3044
SACRAMENTO, CA 95812-3044

The focal point of the CEQA review is the State Clearinghouse. The review starts when the State Clearinghouse receives your ND/Initial Study or MND at which time it will assign a SCH# to the project. If a Notice of Preparation (NOP) was previously filed, the State Clearinghouse will use the SCH# assigned to the NOP. This ten-digit number (e.g. SCH# 2002061506) is very important and should be used on all documents, such as inquiry letters, supplemental drafts, final environmental documents, etc. The State Clearinghouse will send the applicant an *Acknowledgment of Receipt* card when the document is received. If applicants have questions about the State Clearinghouse procedures, they should call (916) 445-0613.

To ensure that responsible agencies, including the Division, will receive copies of the environmental document for review, the applicant should send them directly to the agencies. This submittal does not replace the requirement to submit environmental documents to the State Clearinghouse for distribution (CEQA Guidelines, section 15205(f)). The applicant is also responsible for sending copies of the environmental documents to any local or federal responsible agency with jurisdiction over any part of the proposed project.

After the review period ends, the State Clearinghouse should send the applicant a letter stating that the review process is closed and that they have complied with the review requirements. Any comments from state agencies will be forwarded with the letter. Lack of response from a state or federal agency does not necessarily imply concurrence.

When the comment period closes, the applicant should review all comments received during the review process, including any oral comments received at formal or informal public meetings. The applicant should then consider whether comments are significant enough to require a complete revision of the environmental document or the proposed project, or whether minor changes in the document or addition of mitigation measures could adequately address the issues raised.

Within five days after the applicant's decision making body has made a decision to proceed with the project, the applicant should prepare and file a *Notice of Determination* (NOD) with the Governor's Office of Planning and Research and the local County Clerk (see Appendix D of the CEQA Guidelines).

### *D. NPS Implementation Program (Clean Water Act, Section 319[h]) Funding Requirements*

If the project proponent applies for NPS Implementation Program funding, the Division must ensure that federal agencies are afforded adequate review of environmental documents for projects that will be federally funded. The Division will send copies of the CEQA/National Environmental Policy Act (NEPA) document (draft or final) directly to federally designated agencies as part of the review process. To do this, the applicant will need to submit eight (8) copies of their draft or final environmental document, including any NEPA related documents discussed below, to the State Water Board.

All correspondence with the RPU regarding environmental documents should be addressed to:

STATE WATER RESOURCES CONTROL BOARD
DIVISION OF FINANCIAL ASSISTANCE
REGIONAL PROGRAMS UNIT
1001 I STREET, 16TH FLOOR
SACRAMENTO, CA 95814

Normally, one (1) copy will be used for the RPU's review, one (1) copy will be submitted to the CRO, and the other six (6) copies will be distributed to federally designated agencies.

The federally designated agencies must have at least thirty (30) calendar days to review a ND/Initial Study. Six (6) days mailing time is also added to the review period, which would then be thirty-six (36) calendar days from the date the environmental document was mailed to the reviewing agency.

If any of these agencies identify an issue of concern, the RPU will consult with the agency to determine the necessary and appropriate actions to resolve the issue. Ideally, the federal consultation review should be done concurrently with the CEQA review to allow all comments to be addressed at one time and prevent the need for supplemental documentation. However, federal consultation may also be initiated before or after CEQA review, but must be completed before a funding commitment can be approved by the State Water Board.

### *E. MITIGATION MONITORING & REPORTING PROGRAM*

In a MND, when a potentially significant impact can be mitigated to avoid or substantially reduce the project's significant environmental effect, a Mitigation Monitoring Plan (MMP) should be adopted (CEQA Guidelines, section 15097). The MMP is implemented to ensure that mitigation measures and project revisions identified in the Final MND are implemented; in some cases, they are made a condition of project approval by a Responsible Agency. The MMP must include all changes in the proposed project that mitigate each significant environmental impact and ensure implementation of each mitigation measure. The MMP should also identify how the mitigation measure is to be monitored to determine if it is meeting the specified performance standard or measure of success. The MMP is often made part of the draft MND so that the Lead Agency can make revisions based on public comment.

Effective MMPs:

1. State the objective of the mitigation measure and why it is recommended;
2. Explain the specifics of the mitigation measure and how it will be implemented;
3. Identify measurable performance standards by which the success of the mitigation can be determined;
4. Provide for contingent mitigation if monitoring reveals that the success standards are not satisfied;
5. Identify who is responsible for implementing the mitigation measure;
6. Identify the specific location of the mitigation measure; and
7. Develop a schedule for implementation.

# *APPENDIX L: PREPARING PROJECT ASSESSMENT AND EVALUATION PLANS*

## I. PURPOSE

The purpose of this Appendix is to provide background information on Project Assessment and Evaluation Plans (PAEPs) and the Project Performance Measures Tables.

## II. BACKGROUND

Monitoring, assessment, and performance measures must be designed so that the State Water Resources Control Board (State Water Board) can ensure that the projects meet their intended goals, achieve measurable outcomes, and provide value to the State of California. The State Water Board requires that all grant funded projects monitor and report project performance with respect to the stated benefits or objectives identified in the Proposal. **Applicants are required to prepare and submit Project Performance Measures Tables, specific to their proposed project, as part of the Full Proposal submittal.** As part of the grant agreement, all grantees must prepare a PAEP, which will include the performance measures tables. Guidance and tools for preparing a PAEP and the accompanying Project Performance Measures Tables can be found on our website (Appendix B).

The goals of a PAEP are to:

- Provide a framework for assessment and evaluation of project performance;
- Identify measures that can be used to monitor progress towards achieving project goals and desired outcomes;
- Provide a tool for grantees and grant managers to monitor and measure project progress and guide final project performance reporting that will fulfill the grant agreement requirements;
- Provide information to help improve current and future projects; and
- Quantify the value of public expenditures to achieve environmental results.

Many projects include multiple activities that will require measurement of several parameters to evaluate overall project performance. Successful applicants must be prepared to demonstrate the success of the project through the development and measurement of the appropriate metrics. These metrics may include water quality measurements; measurement-based estimates of pollution load reductions; acres of habitat restored; feet of stream channel stabilized; additional water supply; improved water supply reliability and flexibility; groundwater level measurements; stream flow measurements; or other quantitative measures or indicators. These and other measures and/or indicators should be selected to fit the performance evaluation needs of the Project.

## III. PROJECT PERFORMANCE MEASURES TABLES

Project Performance Measures Tables must be submitted as part of the Full Proposal. Applicants may be required to complete multiple Performance Measures Tables depending on what types of activities are proposed. A Project Performance Measures Table should be submitted for each project included in the proposal. Use the following guidance when completing tables for a project:

| | |
|---|---|
| **Project Goals:** | Identify the project goals as they relate to activities or items outlined in the proposal/grant agreement. |
| **Desired Project Outcomes:** | Identify the measurable results that the project expects to achieve by implementing project activities consistent with the specified goals. |
| **Project Performance Measures:** | Appropriate project performance measures that include: (1) Output Indicators representing measures to efficiently track outputs (activities, products, or deliverables); and (2) Outcome Indicators, measures to evaluate change that is a direct result of |

| | |
|---|---|
| | the work and can be linked through a weight-of-evidence approach to project activities or outputs (e.g. improvements in environmental conditions, awareness, participation, or community, landowner, or local government capacity); |
| **Measurement Tools and Methods:** | Methods of measurement or tools that will be used to document project performance (e.g. California Rapid Assessment Method, California Department of Fish and Game Monitoring Protocols for fisheries restoration projects); and |
| **Targets:** | Measurable targets that are feasible to meet during the Project period, such as a ninety percent (90%) reduction in invasive species acreage, or fifty percent (50%) reduction in pesticide use within the watershed. |

Example Project Performance Measures Tables are provided on the State Water Board's website (Appendix B). The format of these tables may be used as a template for completing this part of the Full Proposal. The example activities are provided for illustrative purposes only, however, and should be used to guide the identification of appropriate categories and performance measures for the project described in the Full Proposal.