

Riverine Stewardship Program: San Joaquin Fish Population Enhancement and Urban Streams Restoration Grants

Guidelines and Proposal Solicitation Package



Department of Water Resources
Division of Integrated Regional Water Management
Ecosystem Restoration and Enhancement Branch

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1 INTRODUCTION

These guidelines and proposal solicitation package (PSP) establish eligibility requirements and the process used to solicit applications, evaluate proposals, and award grants and directed expenditures for San Joaquin Fish Population Enhancement Program and Urban Streams Restoration Program funding.

The Riverine Stewardship Program (RSP) was established in California Water Code (Water Code) Section 7049 to implement watershed-based riverine and riparian stewardship improvements by providing technical and financial assistance in support of projects that reduce flood risk, restore and enhance fish populations and habitat, improve water quality, achieve climate change benefits, and in general ensure resilient ecological functions within areas that include, but are not limited to, urban or urbanizing areas of the state. The RSP coordinates implementation of the following sub-programs:

The San Joaquin Fish Population Enhancement Program (SJFPEP) is funded by Proposition 13 which allows the California Department of Water Resources (DWR) to fund projects through local assistance grants or direct expenditures. The SJFPEP goals are to:

- (1) Enhance native fish populations in the lower San Joaquin River watershed.
- (2) Reduce vulnerability of native fishes to water diversions, predation, and other impacts to their populations at all life stages within or upstream of the Sacramento-San Joaquin Delta (Delta).

A major objective of the SJFPEP is to improve conditions for survival of various life stages of salmonids and other native fishes in the lower San Joaquin River watershed.

The Urban Streams Restoration Program (USRP) is currently funded by Propositions 84 and 68 and was established in Water Code Section 7048, which declared that urban creek protection, restoration, and enhancement are best undertaken by local agencies and organizations with assistance from the State. The USRP provides local assistance grants to fund projects and provide technical assistance to restore streams impacted by urban development to a more natural state. The USRP goals include:

- (1) Protecting, enhancing and restoring the natural, ecological value of streams.
- (2) Preventing future property damage caused by flooding and bank erosion.
- (3) Promoting community involvement, education, and riverine stewardship.

A major objective of the USRP is to bring people together around projects that foster community relationships while ensuring the community's interests are incorporated into the project's planning, design, and outcomes. Local community-supported projects can support local economies, renew a community's understanding of the value of streams, and make them a centerpiece for the community while expanding their contact with nature. The RSP objectives defined in the Water Code direct program staff to connect with small communities and encourage community participation in project development and stewardship.

Note: See Appendix B for definitions of select terms and acronyms used in this document.

2 FUNDING

2.1 Funding Overview

Funding for competitive grants and direct expenditures is periodically made available through the State budget process. Appropriations come with specific requirements and limitations that must be extended to the funding recipients through an agreement that is developed for each funding award. Awards may vary in the requirements and limitations imposed, dependent upon the fund source.

2.2 Funding Sources

DWR will make available as much as \$48.3 million for this solicitation, which includes:

- \$38.97 million in Proposition 13 funds for the SJFPEP.
- \$1.84 million in Proposition 84 funds for the USRP.
- \$7.58 million in Proposition 68 funds for the USRP.

2.3 Funding Authority

SJFPEP: Proposition 13, the Costa-Machado Water Act of 2000 (Water Code, Section 79000 et seq.), authorizes DWR to fund projects that enhance native fish populations and reduce their vulnerability to water diversions at all life stages within or upstream of the Delta in the San Joaquin River Basin.

(https://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?sectionNum=79190.&lawCode=WAT) and (http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180SB840).

USRP: Proposition 84, the Safe Drinking Water, Water Quality and Supply, Flood Control, River and Coastal Bond Act of 2006 (Pub. Resources Code, Section 75050 et seq.); and Proposition 68, the California Drought, Water, Parks, Climate, Coastal Protection, and Outdoor Access for all Act of 2018 (Pub. Resources Code, Section 80100 et seq.), authorize funding for the Urban Streams Restoration Program.

(https://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?sectionNum=75050.&lawCode=PRC) and (https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180SB5).

Chapter 3.5 (commencing with Section 11340) of Part 1 of Division 3 of Title 2 of the Government Code does not apply to the development and adoption of these guidelines and selection criteria. As such, the existing regulations for the Urban Streams Restoration Program found in California Code of Regulations, Title 23, Division 2, Chapter 2.4 (Sections 451.1–451.6, inclusive) are hereby rescinded and replaced with these guidelines and criteria.

2.4 Competitive Grants

DWR funding under the Riverine Stewardship Program and its sub-programs, SJFPEP and USRP, will be awarded through a competitive process. These guidelines apply to all applications submitted during a solicitation period and such applications will be evaluated using the criteria presented in these guidelines (Section 5.2).

DWR will not revise the grant application package requirements during any period in which grant applications are being solicited. Sample grant application documents and templates can be found in Appendix A.

2.5 Grant Funding Limits

USRP applications may be awarded a maximum of \$1 million per grant; but, exceptional proposals requesting funding greater than the established maximum will be considered on a case-by-case basis.

2.6 Technical Assistance and Planning Grants

The USRP will reserve as much as \$1 million to fund technical assistance and planning-only grants for projects that serve disadvantaged communities. SJFPEP has no set-aside for technical assistance or planning-only grants but will consider requests for technical assistance based on the RSP's capacity to take on staff-provided technical assistance.

Technical assistance is defined as a range of multidisciplinary services that are provided by RSP staff to support development of a project that meets the RSP's goals. For the purposes of quantifying this set-aside, funding for planning-only grants that serve disadvantaged communities will be counted toward this commitment. Entities that have received technical assistance from the RSP will have greater priority for project implementation grants in future solicitations.

Examples of technical assistance activities include, but are not limited to:

Planning and Design: project concept development; project design or design criteria including habitat design and plant selection; cost estimates; and project management.

Environmental and Scientific: watershed science; environmental planning; permit preparation; coordination with local, state, and federal regulatory agencies; protected species surveys and monitoring; construction monitoring; environmental compliance; iterative performance assessment; data collection; and study design.

Long-term Management: land management (monitoring and maintenance) planning.

Outreach: education and capacity building in local communities; curriculum development; meeting facilitation; and educational development.

The USRP may also fund planning-only grants for projects that would serve disadvantaged communities once completed. Eligible planning grants may include any combination of the technical assistance activities listed above, including project development activities that occur prior to the initiation of construction.

2.7 Funding Priorities

The SJFPEP will give priority to projects that are consistent with or aligned with existing priorities of the CalFed Environmental Impact Statement/Environmental Impact Report (EIS/EIR) Stage 1 priority actions, National Oceanic and Atmospheric Administration (NOAA) Fisheries Recovery Plan for The Evolutionarily Significant Units of Sacramento River Winter-run Chinook Salmon and Central Valley Spring-run Chinook Salmon and the Distinct Population Segment of California Central Valley Steelhead and voluntary agreements that may be identified as part of the State Water Resources Control Board (Water Board) Bay-Delta Water Quality Control Plan update process.

The USRP will prioritize projects with innovative bioengineering solutions (using natural infrastructure or leveraging ecosystem services) that reduce flooding and erosion problems. Projects will score well if they are based on watershed level planning and integrated solutions that take a systems approach. The USRP will also prioritize projects that have received technical assistance from the program.

The USRP will set aside a minimum of \$2 million to fund projects that serve disadvantaged communities (DACs) which are defined as those communities with a median household income of less than 80 percent of the statewide average. DWR's DAC Mapping Tool (<https://water.ca.gov/Work-With-Us/Grants-And-Loans/Mapping-Tools>) will be used to verify proposed project service areas. Projects that are located near a disadvantaged community may be considered to serve that community with additional justification and supporting information. The USRP has set aside a minimum of 35 percent of funding to both small and large projects. Small projects are defined as those with a total project cost (i.e., including funding match) of less than \$1 million.

2.8 Direct Expenditures

In addition to soliciting competitive grant applications, DWR may use any or all of funds from the \$48.3 million for direct expenditures that fulfill the requirements and intent of the legislation and DWR priorities. DWR may propose direct expenditure projects in response to willing partners' proposals and/or to achieve program objectives. Direct expenditure projects must address an interest of the State and the program. These projects may be proposed and approved at any time by DWR. Direct expenditures must meet the Program Eligibility Criteria in Section 5.2. The amount used for direct expenditure will be determined by the RSP.

3 PROGRAM ELIGIBILITY AND REQUIREMENTS

The following are general requirements to apply for grant funding under the RSP. Each application must meet the following criteria to be considered eligible for funding by each sub-program (SJFPEP and USRP). Applicants may submit a funding application for the same project to both sub-programs; but, a separate application must be submitted for each and funding will be considered on a case-by-case basis as described in these guidelines.

3.1 Grant Eligibility

Local public agencies and certified nonprofits are eligible to receive funding under the RSP as specified below. Privately held corporations, non-public entities, and individual landowners are not eligible. Other applicant types such as federally recognized tribes, tribes listed on the Native American Heritage Commission's Tribal Consultation List, or community groups will be considered on a case-by-case basis.

SJFPEP:

- Limited in geographic scope to the tributaries of the San Joaquin River, including the Cosumnes, Mokelumne, Calaveras, Stanislaus, Tuolumne, and the Merced rivers, and the San Joaquin River between its confluence with the Mokelumne River and its confluence with the Merced River.
- Requires a single applicant that is a local public agency or a nonprofit organization.
- Priority will be given to projects that are aligned with the Ecosystem Restoration Stage 1 Actions identified in the CALFED Bay-Delta Program Implementation Plan. The actions include improving and increasing aquatic habitats and ecological functions to support sustainable and diverse populations of aquatic species (to view the full implementation plan, refer to the Bay-Delta Program website http://www.calwater.ca.gov/calfed/library/Archive_EIS.html).
- Priority will also be given to projects that are aligned with the NOAA Fisheries Recovery Plan for The Evolutionarily Significant Units of Sacramento River Winter-run Chinook Salmon and Central Valley Spring-run Chinook Salmon and the Distinct Population Segment of California Central Valley Steelhead and Voluntary Agreements that may be identified as part of the Water Board's Bay-Delta Water Quality Control Plan update process. See the RSP website for applicable planning documents.
- All projects must benefit native fishes in the lower San Joaquin River watershed.
- Eligible project types include, but are not limited to:
 - Spawning habitat projects that include adequate substrate, temperature, aeration, and access.
 - Rearing habitat projects that provide sufficient cover, hydraulic complexity, refugia, temperature, flow, and food web structure with adequate seasonal timing and duration.
 - Water temperature improvement projects that include hydraulic modification to increase reserves of cold water including shading of water surface, channel modifications that could provide cool water refugia, and replacement of exotic plants with native plants.
 - Water quality improvements targeting low oxygen or pollutant concentrations.
 - Habitat connectivity projects that link habitat structure to provide continuity and reduce exposure to poor quality river reaches.

- Migration enhancements through barrier removal or passage improvements such as ladders or natural roughened channels, diversion modification and/or consolidation to eliminate entrainment, etc. that provide new or enhanced passage of adult and juvenile fishes.
- Restoration of natural river processes and morphology, including availability of naturalized flow, interaction of groundwater and surface water, sediment transport mechanisms, scour and deposition, and channel meander.

USRP:

- The geographic scope of the USRP is statewide.
- Requires a partnership of two applicants (sponsor and co-sponsor): one local public agency or tribe, and a certified 501(c)(3) non-profit organization or local community group. The USRP recognizes partnerships when there is a signed memorandum of understanding (MOU) between authorities representing the partners included in the application.
- Requires a minimum 20 percent funding match from non-State sources unless the grant benefits a disadvantaged community (no funding match is required for disadvantaged community applicants). Costs and services to be considered as funding match must fall into the categories included as eligible costs (See Section 3.3, “Eligible Costs”) below and must be incurred after the effective date of Proposition 68 (June 5, 2018).
- Requires a public outreach and education component that is designed to encourage community participation in the planning process, public support for long-term management for a minimum 10-year timeframe, and to increase the public’s understanding of the project’s benefits to the environment and the sustainability of California’s water resources. These activities may include but are not limited to: community organizing, resource interpretation, multilingual translation, natural science, community education, and communication related to water, parks, climate change resiliency, and other outdoor pursuits.
- Eligible projects must be consistent with the goals of the USRP outlined in Sections 7048–7049 of the Water Code. Eligible projects types include, but are not limited to:
 - Bank stabilization and revegetation.
 - Recontouring of channels to improve or reestablish floodplain function and localized flood protection.
 - Removing of culverts or storm drains to stabilize channels to achieve flood control objectives and daylighting of streams.
 - Purchase of lands or structures on lands to allow for floodplain reconnection and floodwater detention or wetlands/tidal zone restoration.
 -

3.2 General Grant Requirements

All applicants that are awarded funding must comply with the State's general grant requirements, which will be included in each agreement with the State. Before proceeding with the application process, applicants must consider their ability to comply with these requirements. For a complete list of the general terms and conditions and eligible and non-eligible activities and costs included in all DWR grant agreements, please refer to the RSP website: <https://water.ca.gov/rspgrants>. The Funding Agreement (Contract) Template posted on the RSP website provides all details associated with contracting with the State, including a complete list of eligible project costs, procedures for disbursement of funds, and operation and maintenance requirements.

It is *highly recommended* that applicants review these terms to ensure acceptability before completing an application, because the terms will not be modified except under extraordinary circumstances.

3.3 Eligible Costs

Only costs incurred within the terms of the executed grant agreement will be eligible for reimbursement. Eligible costs incurred will only be paid in arrears (via reimbursement through invoicing), except as set forth below. Typical activities that may be funded under the USRP and SJFPEP include:

- Project planning.
- Engineering and design.
- California Environmental Quality Act (CEQA) document preparation and compliance.
- Environmental permitting and compliance,
- Project implementation (includes construction).
- Grant administration.
- Project monitoring.
- Community education and outreach.
- Overhead expenses incidental to, but directly related to, the project.
- Long-term management plan development.

Grantees awarded Proposition 68 funds for projects serving DACs are eligible to receive as much as 25 percent of the grant amount in advance, subject to the following constraints:

- The project proponent is a DAC or a nonprofit serving a DAC.
- The grant award is less than \$1 million.
- The funds are placed in a non-interest-bearing account until expended.
- The funds must be spent within six months of the date of receipt.

- The recipient must provide project status and budget reports on a quarterly basis detailing how the funds are being spent.
- If the funds are not expended within the grant agreement timeframe, or if the project is terminated before completion, the unused portion must be returned to the State.

3.4 Ineligible Costs

Costs that are generally not eligible may include, but are not limited to:

- Indirect costs such as generic overhead or markup charges.
- Costs incurred outside the terms of the grant agreement.
- Purchase of equipment that is not an integral part of the project.
- Establishing a reserve fund.
- Replacement of existing funding sources for ongoing projects.
- Expenses incurred in preparation of the proposal/application.
- Payment of principal or interest of existing indebtedness or any other interest payments.

3.5 Conflict of Interest and Confidentiality

Applicants will be 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 or contract being declared void. Other legal action may also be taken. Applicable statutes include, but are not limited to, Government Code Section 1090 and Public Contract Code Sections 10410 and 10411.

Applicants should note that by submitting an application they are waiving their rights to the confidentiality of that application. All applications will be public documents.

3.6 Tribal Consultation

DWR recognizes the need for consultation regarding projects that affect California tribal communities. As such, applicants are required to consult with federally and non-federally recognized tribes when and where appropriate for any projects that are including, or adjacent to, or related to tribal lands. Public Resources Code Section 21080.3.1 requires the CEQA lead agency to consider project effects on tribal cultural resources and to conduct consultation with California Native American Tribes.

3.7 Labor Compliance and Prevailing Wages Provisions

All grantees are bound by the provisions of the Labor Code regarding prevailing wages and shall monitor all contracts subject to reimbursement from any agreement with the State to assure that the prevailing wage provisions of the Labor Code are being met.

Current Department of Industrial Relations (DIR) requirements may be found at: <http://www.dir.ca.gov/lcp.asp>. For more information, please refer to DIR's Public Works Manual at: <http://www.dir.ca.gov/dlse/PWManualCombined.pdf>.

If the applicant is awarded Proposition 84 funds within USRP, they will be required to certify that they have a labor compliance program (LCP) in place or have contracted with a third party that has been approved by the director of DIR to operate an LCP. The LCP must be in place at the time of awarding of a contract for a public works project by the grantee.

Before submitting an application, all applicants are urged to seek legal counsel regarding prevailing wage and Labor Code compliance. See the DIR's website (<http://www.dir.ca.gov/>) for more information.

3.8 Urban and Agricultural Water Suppliers

Urban water suppliers must have a current urban water management plan that has been reviewed by DWR and found to have addressed the requirements of the Urban Water Management Planning Act (Water Code, Section 10610 et seq.).

Agricultural water suppliers must have a current agricultural water management plan that has been reviewed by DWR and found to have addressed the requirements of the Agricultural Water Management Planning Act (Water Code, Section 10800 et seq.).

Agricultural and urban water suppliers must comply with the conservation and water use efficiency measures of Water Code, Division 6, Part 2.55 (Water Code Section 10608 et seq.), Sustainable Water Use and Demand Reduction, and associated regulations.

3.9 Competitive Bidding and Procurement

A grantee's contracts with other entities for the acquisition of goods, services, and construction of public works with funds provided by the State must be in writing and shall comply with all applicable laws and regulations regarding the securing of competitive bids and undertaking competitive negotiations. If a grantee does not have a written policy to award contracts through a competitive bidding or sole source process, the Department of General Services' State Contracting Manual rules must be followed. They are available online at:

<https://www.dgs.ca.gov/OLS/Resources/Page-Content/Office-of-Legal-Services-Resources-List-Folder/State-Contracting>.

3.10 Signage or Acknowledgement of Credit

To the extent practicable, a project supported by funds from the RSP will include signage and other relevant forms of acknowledgement informing the public that the project received funds from DWR, and the specific source of bond funds. Specific verbiage will be included in the final grant agreement, depending on the funding source utilized.

3.11 California Conservation Corps

To the extent feasible, a project application that includes the use of services of the California Conservation Corps (CCC), or a certified community conservation corps, will score higher in competitive review for receipt of a grant. Applicants should consult with the CCC or a certified local conservation corps as to the feasibility of using their services to implement projects. See appendix section A-13 for instructions and Corps Consultation Review Document.

4 GRANT APPLICATION PROCESS

4.1 Applicant Assistance Workshops

RSP staff will conduct workshops to address questions and provide general assistance to applicants in preparing applications. The dates and locations of the workshops will be announced via DWR's listserv (including the RSP and USRP electronic mailing lists) and on the RSP website at: <https://water.ca.gov/rspgrants>.

4.2 Application Package

DWR uses the Grants Review and Tracking System (GRanTS), a web-based tool for managing grant proposals and related documents. All applications must be submitted online. The system can be accessed from the following link: <http://www.water.ca.gov/grants/>. Any interested party or organization can register with GRanTS at any time. If an applicant has questions or problems with GRanTS, please call (888) 907-4267 or email GRanTSadmin@water.ca.gov.

A complete application will contain all the items on the following list, where applicable, or include reasons for each omitted item. Please refer to Appendix A for detailed information and templates of some application submittal documents.

- General information on applicant(s) and project.
- Responses to application questions posed in Section 5.2 of these guidelines.
- Application attachments:
 1. Resolution from Lead Agency (SJFPEP) or BOTH Partner Agencies (USRP) (a letter of intent is sufficient for the application).
 2. Environmental Information Form.
 3. Project Scope of Work.
 4. Project Schedule.
 5. Project Budget.
 6. Permit Checklist.
 7. Documentation of Completed Urban or Agricultural Water Plans (if applicable).

8. Private Property Access Letter(s) (if applicable).
9. Property Acquisition Cost Schedule (if applicable).
10. Willing Seller Letter (if applicable).
11. Land Tenure/Site Control Requirements and Property Data Sheet (if applicable).
12. Maps and Designs.
13. Photos of Project Site.
14. Application Signature Page.
15. California Conservation Corps Consultation Process and Review Document (if applicable).
16. Any other applicable documents (e.g. letters of support).
17. MOU between Sponsor and Co-Sponsor (USRP only).

4.3 Program Application Deadlines

USRP

USRP applications must be submitted to the GRanTS website by 5:00 p.m. PDT August 30, 2019.

SJFPEP

SJFPEP applications must be submitted to the GRanTS website by 5:00 p.m. PDT November 1, 2019.

5 REVIEW CRITERIA AND AWARD PROCESS

This section describes the process for project review, evaluation, and selection. The RSP's Grant Review Team (GRT), which consists of RSP staff and experts from other programs as needed, will review all timely submittals.

5.1 Acceptability and Completeness

A complete application is one that is submitted to GRanTS on time and contains all required attachments or reasons for any omissions. All applications that meet the eligibility requirements and are considered complete, will be evaluated further for funding. During the evaluation period, GRT staff may deem a project ineligible if there are conflicts with existing federal, State, or local laws, rulings, ordinances, or regulations. The GRT may ask the applicant to provide clarification of existing information to better evaluate the merits of the project.

5.2 Review Criteria

The GRT will evaluate each grant application based on the following criteria which reflect and support RSP, SJFPEP, and USRP priorities.

Criteria	SJFPEP	USRP
1. Project Purpose and Strategic Fit	13	13
2. Organizational Capacity and Project Sustainability	22	22
3. Project Readiness	22	22
4. Project Characteristics and Benefits	6	6
5a. Fish Population Enhancement (SJFPEP)	20	x
5b. Community Collaboration, Access, and Flood Control (USRP)	x	22
Total Points Possible	83	85

The GRT will evaluate applications based on their responses to the following questions (responses will be submitted directly to the GRanTS website):

Part 1. *(All applicants) Project Purpose and Strategic Fit*

Q1. Describe the current hydrologic conditions including the type of stream (perennial, intermittent, ephemeral), channel configuration (natural, channelized, culverted, etc.), and factors affecting stream/river function such as watershed development, land use changes, dams, or other artificial constrictions.

Q2. Discuss the compelling need for the project (e.g. critical habitat degradation, bank failure, water quality issue, etc.) and if the project provides an innovative non-structural approach to restoration or flood management.

Q3. Is the project planned in conjunction with other local projects? If so, identify and describe the local, State or federal management agencies involved in the project. If it is a crucial phase of previously funded work by DWR, provide project details including the project's name, the year it was funded and completed, and the funding source.

Q4. Describe how the project is consistent with existing federal, State, and local flood control planning efforts.

Part 2. *(All applicants) Organizational Capacity and Project Longevity*

Q1. Describe the applicant's experience in completing this type of project or similar projects within the allotted timeframe and budget. What expertise would the grantee provide to the project? List potential external expertise needed and describe any established partnerships that could provide this expertise for your project.

Q2. Will the project fully remediate problems at the site or will additional problems still exist? If additional problems will remain, briefly describe the scope and funding needs of other similar projects or phases and discuss why the proposed improvements in this application have priority. Include specific references to components designed to remediate problems.

Q3. Who owns the property at the project site? If the property is not owned by the applicant, has the landowner submitted a letter giving permission for the applicant to complete work on the property? If the project includes property/easement acquisition, at what stage are the proceedings and will grant funds be used to acquire the property/easement?

Q4. What are the initial and long-term management or maintenance plans for the project site? What entity will perform the long-term maintenance and is there an agreement in place? What are the key success criteria for the project's long-term goals?

Q5. Describe the longevity of your project's approach. What aspects of your project will ensure its sustainability in the long term? (e.g. bioengineering, BMPs, adaptive management, etc.)

Part 3. *(All applicants) Project Readiness*

Q1. Are any of the applicants urban or agricultural water suppliers? If so, has the water supplier submitted an urban water management plan (UWMP) or agricultural water management plan (AWMP) to DWR? Has the plan been verified as complete by DWR? If not, explain and provide the anticipated date for having a complete UWMP and/or AWMP. If none of the applicants are urban or agricultural water suppliers, put "N/A".

Q2. What is the current state of the planning process for the project? Are there any technical studies that will need to be completed prior to project implementation? Discuss CEQA/National Environmental Policy Act (NEPA) and other environmental permits obtained and still needed for project implementation.

Q3. Discuss any anticipated factors that could delay the project, including dependencies on other related projects, jurisdictional discrepancies, tribal consultations, etc.

Q4. Has the applicant previously received technical assistance from DWR on this project or any other project? Are you interested in receiving technical assistance from the Riverine Stewardship Program if you do not receive a grant award?

Q5. Has there been any opposition to the project? If so, explain the nature of the concerns and how they will be addressed. Describe any efforts or compromises needed to address potential conflicts between competing user groups.

Q6. Discuss all funding sources for this project including local match, in-kind services, secured funds and any other potential but unsecured funds. What are the consequences if the project is not funded or receives partial funding from DWR? If the project was partially funded, which components are of the highest priority and can certain components be implemented as "stand alone" phases?

Part 4. *(All applicants) Additional Project Characteristics and Benefits*

Q1. Describe any other additional benefits the project will provide outside of habitat restoration, flood protection, and stewardship (e.g. recreation, economic, aesthetic, establishing new partnerships, etc.).

Q2. How does the project utilize existing natural features and ecosystem processes to create climate change resiliency?

- Does the organization have a strategic business plan that includes climate change components? If yes, submit a copy.
- Has the organization conducted a climate change vulnerability assessment? If yes, submit a copy.
- Does the organization have a main contract person for climate change? If yes, to what position in the organization does that person report?
- Has the organization considered the risk of climate change in its capital reserves and investments?

Q3. Have you consulted with the California Conservation Corps to determine if they may assist with your project? If so, please describe.

Part 5a. *(SJFPEP Applicants Only) Fish Population Enhancement*

Q1. How does this project benefit native fishes in the lower San Joaquin River watershed? Describe how the project addresses one or more of the following restoration problem areas: spawning/rearing habitat, prey availability, predator control, water temperature, habitat connectivity, migration enhancements, water quality, and natural river processes and morphology. Include reference to specific riverine or riparian elements such as:

- Structures: channels, riparian corridor, floodplain, terrace, pools, and riffles.
- Functions: transporting sediment, forming and/or reforming bars and pools, flooding onto the floodplain, restoring habitat for threatened or endangered species, or re-establishing wildlife corridors.
- Dynamics: re-vegetating to provide shade and erosion control on banks or floodplain, providing food for insects, or removing exotic species.

Q2. Describe how the project aligns with priority actions identified in CalFed EIS/EIR Stage 1 Actions, the NOAA Fisheries Recovery Plan for The Evolutionarily Significant Units of Sacramento River Winter-run Chinook Salmon and Central Valley Spring-run Chinook Salmon and the Distinct Population Segment of California Central Valley Steelhead, the Water Boards Bay-Delta Water Quality Control Plan Program of Implementation and subsequent updates, DWR's Central Valley Flood Protection Plan Conservation Strategy, and/or (for projects within the Delta) the Delta Stewardship Council's Delta Plan (see the RSP website for links to documents).

Q3. What other native species (aquatic and terrestrial) will this project benefit and how?

Part 5b. *(USRP Applicants Only) Community Collaboration and Flood Control*

Q1. Discuss any demographic, social, or cultural/tribal issues that are important to the community and will influence design, implementation, and maintenance for the project. How does the project incorporate local agency and citizens' group participation in planning, design, or implementation? How does this project ensure community access

and address the community's needs (e.g. open green spaces, safe transportation corridors, etc.)?

Q2. How does this project utilize a watershed approach to flood control or bank erosion issues at the site? How does the urban environment constrain the project scope?

Q3. Does the project serve a DAC? What is the median household income for the community? Please provide the census place, census tract, or census block group used to identify DAC status. (see the Mapping Tool for access to a DAC website map: <https://water.ca.gov/Work-With-Us/Grants-And-Loans/Mapping-Tools>). If the project is located partially within or adjacent to a DAC, describe its proximity in detail and justify how the project would serve this community.

Q4. How will the project restore the environment outside of flooding and erosion control? Describe benefits the project will provide for habitat creation/enhancement, listed species, and other riparian species.

5.3 Funding and Awards

Following evaluation and scoring of applications by the GRT, the RSP manager will submit the recommendations to the Management Review Team (MRT) for further consideration. The MRT consists of program managers and managers and experts from other programs, departments, and agencies, as needed. The MRT shall make draft funding recommendations based on a priority ranking of reviewed project applications. The MRT will consider: (1) allocating any or all the available funds to grants for project applicants, (2) holding over the remaining available funds for allocation in subsequent funding years, or (3) allocating partial funding to one or more of the projects on the list to be funded.

The MRT may modify the recommendations of the GRT relative to which projects receive funding, their priority ranking, and the dollar amounts allocated to each project and may consider other factors in the final grant awards for both programs, including, but not limited to, multiple agency collaboration, support and involvement of community groups, economic benefits, statewide significance, disadvantaged community status, and the geographic distribution of bond funds. Written recommendations of the priority ranking and funding allocations are then sent to the DWR deputy director for approval.

If requested funds for all qualified projects exceed the amount of available funds, DWR may provide partial funding for selected projects based on program priorities, information provided in the application, and/or additional discussion with the applicant. Additionally, the MRT will establish a contingency list of projects from applications that were not selected for funding in the event that funding becomes available in the future.

The MRT recommendations will be posted on the RSP website (<https://water.ca.gov/rspgrants>) for a 15-day comment period after deputy director approval. DWR will prepare a summary of comments received during the public comment period and will post it on the RSP website. After consideration of the results of the public comments, DWR staff will make recommendations for final funding

awards and request DWR director approval. The director may further modify the final content and priority order of the list and the amount of funding for each project. The final list of awarded projects will be posted on the RSP website, and notices will be sent to all funded and non-funded project applicants.

Once final awards are approved by the director, DWR staff will notify applicants by letter, post the award amounts on the RSP website, and begin the process of developing a funding agreement with the project applicant (grantee). The grantee and DWR must enter into a funding agreement before eligible activities will be reimbursed.

6 GRANT ADMINISTRATION

This section describes the process that will occur once a project has been selected for funding. This includes developing and signing a grant funding agreement.

6.1 Agreement Execution

Before DWR enters into a funding agreement, the grantee will submit a detailed work plan (based on the information provided for project evaluation) including a proposed scope of work, list of deliverables, budget, and project schedule satisfactory to DWR.

The funding agreement will not be processed and executed until a detailed final work plan and associated documents are approved by the RSP manager. To assist the grantee in developing the detailed final work plan, DWR may talk to or meet with the grantee as needed. Grantees shall provide detailed cost estimates and quantities, billable hours, a revised timeframe with required completion durations, and other information as needed. Cost estimates shall include separated step funding with subtask amounts.

If a DWR-approved agreement is not executed within six months of the date the grant is awarded, the grant award may be withdrawn. It is highly recommended that applicants review DWR's general terms and conditions to ensure acceptability before completing an application since the terms will not be modified except under extraordinary circumstances. These can be found online at:

<https://water.ca.gov/rspgrants>.

For direct expenditures DWR will require a scope of work, list of deliverables, budget, and project schedule. To the extent possible DWR will work with a direct expenditure funding recipient to develop the required scope of work, list of deliverables, budget, and project schedule.

6.2 Invoicing and Payments

The grantee will provide reimbursement invoices to DWR for work completed within an invoicing period. Except for the case of DACs, DWR will retain 10 percent of each disbursement to ensure completion of the project (retention for DACs is 5 percent). The

retention will be paid upon submittal of all grant agreement deliverables, including the final project completion report by the grantee, and approval by DWR.

Although grant funds will be disbursed as provided in the agreement to reimburse costs incurred by the grantee, costs will not be reimbursed or paid until all the following conditions are met:

- An agreement is fully executed.
- For project activities that could affect the environment, the grantee complies with all applicable requirements of CEQA and other environmental laws, submits copies of environmental documents to DWR, and receives environmental clearance from the DWR contract manager.
- All applicable permits are obtained, and copies submitted to DWR. Tasks that require permits may not be reimbursed until the permit has been received by DWR.

State funds will be paid to grantees generally on a quarterly basis, but in no event more often than monthly, at DWR's discretion, after submittal and approval of invoices and progress reports. RSP staff will attempt to process payments within 30 days of receipt of complete invoices, which includes progress reports and all supporting documentation. See Appendix A.12 for an example of the invoice template which must be used by all grantees.

6.3 Reporting

Each quarter, and as a prerequisite to payment of each invoice, the grantee will be required to submit a progress report in sufficient detail to substantiate reimbursable expenses. The report will be a key item in evaluating requests for reimbursement, and as such, a reimbursement request must coincide with a report submittal. Progress reports will include the following:

- Records of expenditures.
- Description of project activities and task completions since the previous report.
- Status of progress relative to the project schedule.
- Key issues that must be resolved.
- Upcoming events, meetings, and milestones expected for the next quarter.

The first progress report shall be made at the end of the first complete calendar quarter after the date of execution. Progress reports will be submitted quarterly thereafter. DWR will monitor progress and may suspend all payments indefinitely if it appears the grantee is in breach of the agreement to such an extent that ultimate achievement of project objectives may be significantly compromised. If payments are suspended, the grantee will be given three months to correct the breach or DWR may terminate the funding agreement.

Decisions to suspend payments or terminate agreements may be appealed to the DWR director.

6.4 Amendments

Agreements may be amended at any time by mutual agreement of the parties. Requests by the funding recipient for amendments must be in writing stating the amendment request and the reason for the request. Requests solely for a time extension must be submitted at least 90 days prior to the work completion date. Any other request for an amendment must be submitted at least 180 days prior to the work completion date. The State shall have no obligation to agree to an amendment. Minor changes to the scope of work may not necessitate an amendment and will be decided on a case-by-case basis.

Amendments are required for the following circumstances:

- Change in schedule (e.g., time extension).
- Substantial change in scope of work.
- Change in total budget or transfer of funds between tasks that exceeds 20 percent of DWR approved budget for either task (less than 20 percent does not require a formal amendment but does require DWR's written approval).
- Change to any of the agreement provisions.
- Change in parties to the agreement.

6.5 Project Closeout

The grantee shall submit a project completion report within 90 calendar days of completion of all tasks associated with the project. The report shall include a description of work done, a description of expenditures, a final schedule showing actual work completed versus planned work, copies of any final documents or reports generated or utilized during the project, a discussion of problems that occurred during the work and how the problems were resolved, and photo documentation of the entire project including before and after photos from consistent monitoring points.

DWR will notify the sponsor that the project is complete and will release any remaining retained funds when the following criteria are satisfied:

- The work is completed to the satisfaction of DWR following a final site visit.
- DWR has approved all products and deliverables required by the project and agreement as provided by the grantee.
- The grantee has provided, and DWR has approved, a project completion report as described above.

6.6 Audits and Record Keeping

All grantee records and documents pertaining to the grant will be maintained by the grantee until three years after the final payment of grant funds is made. All grantee records and documents pertinent to the grant will be available for inspection and audit by DWR or other State representative during normal business hours while the project is active, and for three years after final payment of grant funds.

6.7 Riverine Stewardship Program Contact Information

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