2016 Integrated Regional Water Management Grant Program Guidelines

Volume 1 – Grant Program Processes
July 2016

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

FOREWORD

The 2016 IRWM Guidelines is comprised of two volumes. Volume 1 contains the general process, procedures, and criteria that DWR will use to implement the Proposition 1 (The Water Quality, Supply, and Infrastructure Improvement Act of 2014) IRWM Grant Program, which includes IRWM Planning, Implementation, and Disadvantaged Community (DAC) Involvement Grant Programs. Volume 2 contains the IRWM Plan Standards and related guidance, and the region acceptance and plan review procedures. Additionally, DWR will issue separate Proposal Solicitation Packages (PSP) or Request for Proposals (RFP) to provide detailed information on how to apply for specific funding opportunities. The PSP and RFP for specific grant funding opportunities are available at the website listed below.

Grant Program Website

DWR will use the internet as a communication tool to notify interested parties of the status of the grant solicitations and to convey pertinent information. DWR will post information at the following website: http://www.water.ca.gov/irwm/grants/prop1index.cfm

See Appendix A for other useful web links and Appendix B for common usage of terms and definitions.

Mailing List

In addition to the above-referenced website, DWR will distribute information via e-mail. If you are not already on the IRWM e-mail distribution list and wish to be placed on it, please visit the following site: http://www.water.ca.gov/irwm/grants/subscribe.cfm.

Contact Information

For questions about the 2016 IRWM Guidelines or other issues, please contact DWR's Financial Assistance Branch at (916) 651-9613 or by e-mail at DWR_IRWM@water.ca.gov.

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ACRONYMS AND ABBREVIATIONS

AB	Assembly Bill
ACS	American Community Survey
AWMP	Agriculture Water Management Plan
Basin Plan	Regional Water Quality Control Plan
BMP	Best Management Practice
CalEPA	California Environmental Protection Agency
CARB	California Air Resources Board
CASGEM	California Statewide Groundwater Elevation Monitoring
CEC	California Energy Commission
CEDEN	California Environmental Date Exchange Network
CEQA	California Environmental Quality Act
CO_2E	Carbon Dioxide Equivalents
CMU	Compliance Monitoring Unit
CNRA	California Natural Resources Agency
CWC	California Water Code
CWP	California Water Plan
DAC	Disadvantaged Community
DIR	California Department of Industrial Relations
DMS	Data Management System
DWR	Department of Water Resources
EDA	Economically Distressed Area
EIR	Environnemental Impact Report
EJ	Environmental Justice
EO	Executive Order
GAMA	Groundwater Ambient Monitoring Assessment
GRanTS	Grants Review and Tracking System
GHG	Greenhouse Gas
GIS	Geographic Information System
gpcd	Gallons per Capita per Day
GSA	Groundwater Sustainability Agency
GSP	Groundwater Sustainability Plan
GWMP	Groundwater Management Plan
IRWM	Integrated Regional Water Management
JPA	Joint Powers Authority
LID	Low Impact Development
MHI	Median Household Income
MOU	Memorandum of Understanding
NEPA	National Environmental Policy Act
NAHC	Native American Heritage Council
O&M	Operation and Maintenance
OPC	Ocean Protection Council
OPR	The Governor's Office of Planning and Research
PSP	Proposal Solicitation Package
RAP	Regional Acceptance Process
RFP	Request for Proposals
RMS	Resource Management Strategies
RWMG	Regional Water Management Group
RWQCB	Regional Water Quality Control Board
SB	Senate Bill
SGMA	Sustainable Groundwater Management Act
SLR	Sea-Level Rise
SWAMP	Surface Water Ambient Monitoring Program
SWRCB	State Water Resources Control Board
USACE	United States Army Corps of Engineers
USEPA	United States Environmental Protection Agency
UWMP	Urban Water Management Plan
WDL	Water Data Library
WRI	World Resources Institute
WUEB	Water Use and Efficiency Branch

2016 Integrated Regional Water Management Grant Program Guidelines – Volume 1

I. Introduction and Overview

Proposition 1, Chapter 7 Regional Water Security, Climate and Drought Preparedness (Water Code § 79740 – 79748) funding is intended to improve regional water self-reliance security and adapt to the effects on water supply arising out of climate change. Specifically, the purpose is to assist water infrastructure systems adapt to climate change; provide incentives for water agencies throughout each watershed to collaborate in managing the region's water resources and setting regional priorities for water infrastructure; and improve regional water self-reliance, while reducing reliance on the Sacramento-San Joaquin Delta.

The IRWM Grant Program is designed to encourage integrated regional strategies for management of water resources by providing funding for projects and programs that support integrated water management. These Guidelines are intended to remain unchanged for the life of the funding source (Proposition 1). However, changes may be necessary due to legislation or changes in State's water management policy. If changes are necessary, the 2016 IRWM Guidelines will be amended and subject to a public review process per California Water Code (Water Code) §79706 (b).

In addition to other relevant statutes, the 2016 IRWM Guidelines consider the following legislation and executive order:

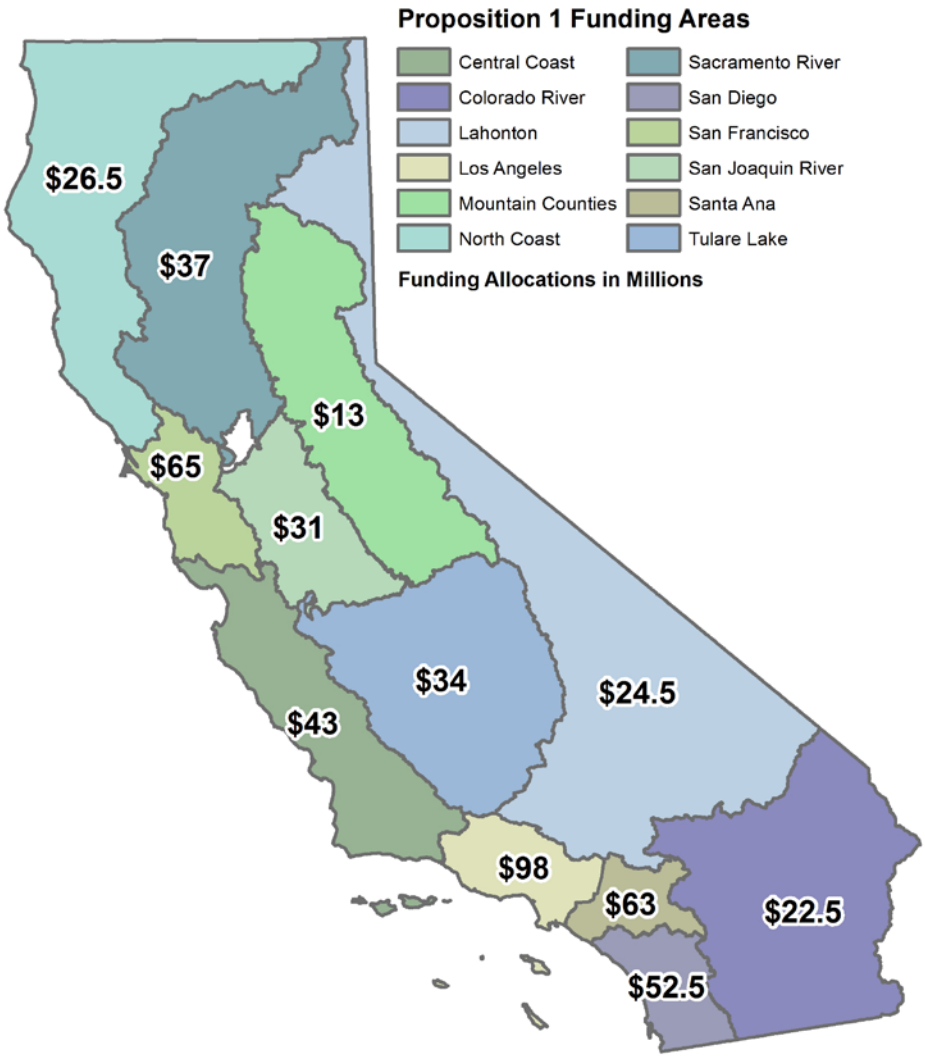
- Water Code §79700 *et seq.* Proposition 1 – The Water Quality, Supply, and Infrastructure Improvement Act of 2014.
- Senate Bill (SB) x2-1 (Perata, Statutes of 2008) – Water Code §10530 et seq. – repealed and replaced the 2002 Integrated Regional Water Planning Act to establish IRWM Plan Standards.
- SB 985 (Pavley, Chapter 555, Statues 2014) – Water Code §10562 – requires the development of a stormwater resource plan and compliance with these provisions to receive grants for stormwater and dry weather runoff capture projects from a bond act approved by voters after January 1, 2014
- SB 208 (Lara, Chapter 675, Statues 2015) – Water Code §10551 – requires a Resource Water Management Group (RWMG), within 90 days of notice that a grant has been awarded, to provide DWR with a list of projects that benefit a DAC or where the project proponent is a nonprofit organization or a DAC. Within 60 days of receiving the project information, DWR is to provide advanced payment of 50% of the grant award.
- Assembly Bill (AB) 685 (Eng, Chapter 524, Statutes of 2012) – Establishes State Policy that every human being has that right to safe, clean, affordable, and accessible water adequate for human consumption, cooking, and sanitary purposes.
- AB 52 (Gatto, Chapter 532, Statutes of 2014) – Public Resources Code §21080.3.1 – requires the California Environmental Quality Act (CEQA) lead agency to consider project effects on Tribal cultural resources and to conduct consultation with California Native American Tribes.
- AB 1249 (Salas, Chapter 717, Statues 2014) – Water Code §10541 – requires IRWM regions with nitrate, arsenic, perchlorate, or hexavalent chromium contamination to include specific information in their IRWM Plan regarding the location, impacts, actions, and needed action to address the contaminations. It also requires applications from these regions to include information regarding how the project(s) in their grant application helps to address the contamination or an explanation why the application does not include such project (s).
- AB 1739 (Dickinson, Chapter 347, Statutes of 2014), SB 1168 (Pavley, Chapter 346), SB 1319 (Pavley, Chapter 348) collectively referred to as the Sustainable Groundwater Management Act (SGMA). SGMA allows local agencies to customize groundwater sustainability plans to their regional economic and environmental needs. SGMA creates a framework for sustainable, local groundwater management by requiring local agencies to establish a new governance structure, known as Groundwater Sustainability Agencies, prior to developing groundwater sustainability plans for groundwater basins or sub-basins.
- Executive Order B-29-15 – Requires agricultural water suppliers that supply water to more than 25,000 acres to include in their required 2015 Agricultural Water Management Plans (AWMP) a detailed drought

management plan that describes the actions and measures the supplier will take to manage water demand during drought.

A. Funding

Proposition 1 (Water Code §79744) authorized $510 million in IRWM grant funds that were allocated to the 12 hydrologic region-based Funding Areas, as shown in Figure 1, for the purposes of IRWM. Narrative descriptions of the 12 Funding Areas can be found at the IRWM Funding Area Fact Sheet link listed in Appendix A.

Figure 1 – Proposition 1 Funding Area Allocations



Funding Projects in Adjacent Funding Areas

Because Proposition 1 allotted funds by Funding Area, DWR will default to project location in determining how funds are allocated. In some cases, an IRWM region may choose to propose to use grant funds allocated to its Funding Area to perform work in another Funding Area. This is allowable, but the applicant must include in their proposal:

- Clear explanation of how the project contributes directly to the objectives of their IRWM Plan
- Description of the Regional Water Management Group's (RWMG) efforts to cooperate on planning and implementation
- Description of the level of support for the Project from both IRWM regions

B. Funding Opportunities

DWR will administer three separate grant programs as described below. Each program will have specific requirements and selection processes. The anticipated schedule for the Proposition 1 grant funding opportunities can be found at the website shown in the Foreword.

- **Disadvantaged Community Involvement Program** – Water Code §79745 directs not less than $51 million, for the purpose of ensuring the involvement of DACs, economically distressed areas (EDA), and underrepresented communities within regions. These funds will be awarded on non-competitive basis or direct expenditures.
- **Planning Grant Program** – Up to $5 million will be awarded through a competitive process, to support the development of new IRWM Plans or to update an existing IRWM Plan. More information on IRWM Plan Standards and related processes are presented in Volume 2 of these guidelines.
- **Implementation Grant Program** – Approximately $418 million, will be awarded for Implementation programs and projects, of which not less than $51 million will be allocated to projects that directly benefit DACs (Water Code §79742(d)). These funds may be awarded on a competitive or non-competitive basis.

C. Minimum Local Cost Share Requirements

A local cost share of not less than 50% of the total proposal cost is required. Local cost share may include, but is not limited to, federal funds, local funding, or donated services from non-State sources. Other State funds, if part of the funding package for the proposal, must be included in the total proposal cost but cannot be used as local cost share. The local cost-sharing requirement may be waived or reduced for projects that directly benefit a DAC or EDA. Refer to each PSP for more information regarding the applicability of cost-sharing reduction or waivers. For the DAC Involvement RFP, no local cost share is required.

D. Program Preferences and Statewide Priorities

Water Code §79707 (b and e) and §79742 (a and f) identify various priorities or considerations that shall be given to proposals and are listed below and are collectively referred to as the "Program Preferences."

- Leverage Funds – Give priority to projects that leverage private, federal, or local funding or produce the greatest public benefit.
- Employ New and Innovative Technology or Practices – Give special consideration to projects that employ new or innovative technology or practices, including decision support tools that support the integration of multiple jurisdictions, including, but not limited to, water supply, flood control, land use, and sanitation.
- Implement IRWM Plans with Greater Watershed Coverage – Give priority to projects in IRWM Plans that cover the greater portion of the watershed.
- Multiple Benefits – Give special consideration to projects that achieve multiple benefits.
- In addition to the Program Preferences contained in the Water Code, DWR has compiled various statewide priorities that will be utilized for the Proposition 1 IRWM Grant Program. The Statewide Priorities are based on the 2014 California Water Action Plan, issued by the California Natural Resources Agency, California Department of Food and Agriculture, and the California Environmental Protection Agency (January 2016). Those Statewide Priorities are shown below in Table 1.

These Program Preferences and Statewide Priorities will be taken into consideration during the review process. Refer to individual PSPs for the specific details regarding the application of the Program Preferences and Statewide Priorities.

Table 1 – Statewide Priorities

Action #	Description
1. Make Conservation a California Way of Life	◆ Building on current water conservation efforts and promoting the innovation of new systems for increased water conservation. ◆ Expand agricultural and urban water conservation and efficiency to exceed SB-X7-7 targets

Table 1 – Statewide Priorities	
Action #	Description
	◆ Provide funding for conservation and efficiency ◆ Increase water sector energy efficiency and greenhouse gas reduction capacity ◆ Promote local urban conservation ordinances and programs
2. Increase Regional Self-Reliance and Integrated Water Management Across All Levels of Government	◆ Ensure water security at the local level, where individual government efforts integrate into one combined regional commitment where the sum becomes greater than any single piece. ◆ Support and expand funding for Integrated Water Management planning and projects ◆ Improve land use and water alignment ◆ Provide assistance to disadvantaged communities ◆ Encourage State focus on projects with multiple benefits ◆ Increase the use of recycled water
3. Achieve the Co-Equal Goals for the Delta	◆ This action is directed towards State and federal agencies; however, consideration will be afforded to eligible local or regional projects that also support achieving the co-equal goals providing a more reliable water supply for California and to protect, restore, and enhance the Delta ecosystem.
4. Protect and Restore Important Ecosystems	◆ Continue protecting and restoring the resiliency of our ecosystems to support fish and wildlife populations, improve water quality, and restore natural system functions. ◆ Restore key mountain meadow habitat ◆ Manage headwaters for multiple benefits ◆ Protect key habitat of the Salton Sea through local partnership ◆ Restore coastal watersheds ◆ Continue restoration efforts in the Lake Tahoe Basin ◆ Continue restoration efforts in the Klamath Basin ◆ Water for wetlands and waterfowl ◆ Eliminate barriers to fish migration ◆ Assess fish passage at large dams ◆ Enhance water flows in stream systems statewide
5. Manage and Prepare for Dry Periods	◆ Effectively manage water resources through all hydrologic conditions to reduce impacts of shortages and lessen costs of state response actions. Secure more reliable water supplies and consequently improve drought preparedness and make California's water system more resilient. ◆ Revise operations to respond to extreme conditions ◆ Encourage healthy soils
6. Expand Water Storage Capacity and Improve Groundwater Management	◆ Increase water storage for widespread public and environmental benefits, especially in increasingly dry years and better manage our groundwater to reduce overdraft. ◆ Provide essential data to enable Sustainable Groundwater Management ◆ Support funding partnerships for storage projects ◆ Improve Sustainable Groundwater Management ◆ Support distributed groundwater storage ◆ Increase statewide groundwater recharge ◆ Accelerate clean-up of contaminated groundwater and prevent future contamination
7. Provide Safe Water for	◆ Provide all Californians the right to safe, clean, affordable and accessible water

Table 1 – Statewide Priorities	
Action #	Description
All Communities	adequate for human consumption, cooking, and sanitary purposes. ◆ Consolidate water quality programs ◆ Provide funding assistance for vulnerable communities ◆ Manage the supply status of community water systems ◆ Additionally, as required by Water Code §10545, in areas that have nitrate, arsenic, perchlorate, or hexavalent chromium contamination, consideration will be given to grant proposals that included projects that help address the impacts caused by nitrate, arsenic, perchlorate, or hexavalent chromium contamination, including projects that provide safe drinking water to small disadvantaged communities.
8. Increase Flood Protection	◆ Collaboratively plan for integrated flood and water management systems, and implement flood projects that protect public safety, increase water supply reliability, conserve farmlands, and restore ecosystems. ◆ Improve access to emergency funds ◆ Better coordinate flood response operations ◆ Prioritize funding to reduce flood risk and improve flood response ◆ Encourage flood projects that plan for climate change and achieve multiple benefits
9. Increase Operational and Regulatory Efficiency	◆ This action is directed towards State and federal agencies; however, consideration will be afforded to eligible local or regional projects that also support increased operational of the State Water Project or Central Valley Project.
10. Identify Sustainable and Integrated Financing Opportunities	◆ This action is directed towards State agencies and the legislature.

E. Grant Award Process

IRWM grants will be awarded using specific criteria contained in the individual PSPs and RFP.

If there are multiple IRWM regions in a Funding Area, those IRWM regions are competing for the funding allocated to that Funding Area. DWR will make funding decisions based on application scores within a Funding Area, as described in Section V below. In order to ensure wise investments of State general obligation bond funds, minimum scores for various criteria may be established to ensure that quality proposals are awarded funding.

II. Eligibility Requirements

A. Eligible Grant Applicants

Water Code §79712 identifies the following entities as eligible grant applicants:

- Public agencies
- Non-profit organizations
- Public utilities
- Federally recognized Indian Tribes
- State Indian Tribes listed on the Native American Heritage Commission's Tribal Consultation list
- Mutual water companies

See Appendix B for definitions of these terms.

B. Eligibility Criteria

This is a general list of eligibility criteria for IRWM grant funding opportunities. Refer to the individual PSPs and RFP for specific eligibility criteria requirements and information that must be included in an application to establish eligibility.

The IRWM region must have been accepted into the IRWM Grant Program through the Region Acceptance Process (RAP) – If an IRWM region has previously gone through the RAP and any boundary changes have been accepted by DWR, no further action is required. If the IRWM region is new and has not been through the RAP process or is changing its boundary, Volume 2, Section VI contains the information needed on complying with this criterion. IRWM regions need to address this criterion prior to the close date of a grant solicitation to which they are applying. Previous RAP decisions are located at: http://www.water.ca.gov/irwm/grants/rap.cfm.

Projects included in an IRWM Implementation proposal must be consistent with an adopted IRWM Plan – Implementation projects submitted for funding must be consistent with an adopted IRWM Plan. The applicant must demonstrate that the project either is listed in the IRWM Plan project list or describe how the project has been vetted through the Regional Water Management Group (RWMG).

Proponents of projects included in an IRWM Implementation proposal must adopt the IRWM Plan – Umbrella organizations, such as a JPA, will not be allowed to adopt an IRWM Plan on behalf of its member agencies. Each individual agency proposing a project(s) must adopt the IRWM Plan.

Public Utilities and Mutual Water Companies – A project proposed by a public utility that is regulated by the Public Utilities Commission or a mutual water company shall have a clear and definite public purpose and shall benefit the customers of the water system and not the investors (Water Code §79712 (b)(1)).

AB 1249 – Water Code §10541.(e)(14) **–** IRWM Plans in regions with areas of nitrate, arsenic, perchlorate, or hexavalent chromium contamination, are required to include a description of each of the following:

- The location and extent of that contamination in the region,
- The impacts caused by the contamination to communities within the region,
- Existing efforts being undertaken in the region to address the impacts, and
- Any additional efforts needed to address the impacts.

Additionally, Water Code §10544.5 requires the RWMG, in areas that have nitrate, arsenic, perchlorate, or hexavalent chromium contamination, to include in the grant application information regarding how a project or projects in the application help to address the contamination or an explanation why the application does not include that kind of project or projects.

Water Code § 79742 (e) – Requires applicants seeking Proposition 1, Chapter 7, project funding to demonstrate that the IRWM Plan that the applicant's project implements contributes to addressing the risks in the region to water supply and water infrastructure arising from climate change.

Groundwater Management Compliance – Proposition 1 states that a local agency that does not prepare, adopt, and submit its groundwater [management] plan in accordance with groundwater planning requirements established under Division 6 (commencing with Water Code §10000) is ineligible to apply for grant funds until the plan is prepared and submitted in accordance with these legislative requirements. The groundwater management plan requirement shall not apply to a water replenishment district formed pursuant to Division 18 (commencing with Water Code §60000) or to a local agency that serves or has authority to manage an adjudicated groundwater basin (Water Code §79742 (b)).

The recent passage of the Sustainable Groundwater Management Act (SGMA) (§10720 et seq) changes grant eligibility related to groundwater management compliance. When fully implemented, Groundwater Sustainability

Plans (GSP) will replace groundwater management plans (GWMP). However, timelines for fully implementing SGMA creates a transition period, for high and medium priority groundwater basins, between GWMPs and GSPs. During this transition period, grant program eligibility will have to consider both GWMP eligibility and GSA/GSP progress. Applicants with groundwater projects must follow specific instructions contained in solicitation PSPs on what to submit for groundwater management eligibility as the GSP development process continues and SGMA is implemented. The following information discusses SGMA, GSP, and GWMP compliance.

- **Water Code §10720 *et seq*.** – SGMA specifies actions for critically overdrafted groundwater basins, high and medium priority basins, and low and very low priority basins. Groundwater project proponents must demonstrate how their project is consistent with SGMA efforts in the basin. SGMA tasked DWR with 1) developing regulations to revise groundwater basin boundaries; 2) adopting regulations for evaluating and implementing GSPs and coordination agreements; 3) identifying basins subject to critical conditions of overdraft; 4) identifying water available for groundwater replenishment; and 5) publishing best management practices for the sustainable management of groundwater.
- **Groundwater Management Plan Compliance** – For groundwater projects or for other projects that directly affect groundwater levels or quality, the applicant or the project proponent responsible must meet one of the following conditions (Water Code §10753.7 (b)(1)):
  - Conform to the requirements of an adjudication of water rights in the subject groundwater basin.
  - For projects in a high or medium priority basin, as designated by DWR, a GWMP that compiles with Water Code §10753.7 must be prepared, implemented, and have been adopted before January 1, 2015. If the GWMPs was not by adopted after January 1, 2015, then the project(s) is(are) not eligible to receive funding (Water Code §10750.1 (a)). However, this does not apply to a plan submitted as an alternative pursuant to Water Code §10733.6, unless DWR has not determined that the alternative satisfies the objectives of Part 2.74 (commencing with Section 10720) on or before January 31, 2020, or DWR later determines that the plan does not satisfy the objectives (Water Code §10750.1 (c)).
  - Participate or consent to be subject to a GWMP, basin-wide management plan, or other IRWM program or plan that meets the requirements of Water Code §10753.7.
  - For projects located in low or very low priority groundwater basins, as designated by DWR, without an existing GWMP, the proposal must commit to adopting, within one-year of the grant application submittal date, a GWMP that meets the requirements of Water Code §10753.7 or a GSP that meets the requirements of Water Code § 10727 *et seq*.

Water Code §10920 Compliance – Water Code §10920 et seq. establishes a groundwater monitoring program designed to monitor and report groundwater elevations in all or part of a basin or sub-basin. Information on the requirements of the California Statewide Groundwater Elevation Monitoring (CASGEM) Program can be found at the Groundwater Information Center link listed in Appendix A. DWR has established high, medium, low, and very low priority groundwater basins, as well as CASGEM monitoring entities. For those high and medium priority basins that do not have a CASGEM monitoring entity, the grant applicant and project proponent that match the list of potential monitoring entities identified in Water Code §10927, along with counties whose jurisdictions include unmonitored high and medium priority basins, will not be eligible for grant funding pursuant to Water Code §10933.7 (a). If the applicant is found ineligible, the entire application will be considered ineligible. If the project proponent is found ineligible, funding cannot be awarded to that project and the grant award will be proportionately reduced. Consistent with Water Code §10933.7 (b), if the entire service area of the grant applicant or the individual project proponent's service area is demonstrated to be a DAC, as defined in Appendix B, the project will be considered eligible for grant funding notwithstanding CASGEM compliance.

SB 985 – Water Code § 10562 (b)(7) – Requires the development of a stormwater resource plan and compliance with these provisions to receive grants for stormwater and dry weather runoff capture projects. Requirement does not apply to DACs with a population of 20,000 or less and that is not a co-permittee for a municipal separate stormwater system national pollutant discharge elimination system permit issued to a municipality with a population greater than 20,000 (Water Code § 10562 (c)(2)(B)).

Urban and Agricultural Water Suppliers – In accordance with Water Code §10608.56, an agricultural water supplier or an urban water supplier is ineligible for funding under the division unless it complies with the requirements of Part 2.55 (commencing with §10608) of Division 6.

Water Code §529.5 Compliance – Water Code §529.5 requires any urban water supplier applying for State grant funds for wastewater treatment projects, water use efficiency projects, drinking water treatment projects, or for a permit for a new or expanded water supply, shall demonstrate that they meet the water meter requirements in Water Code §525 et seq.

SB X7-7 (November 2009) – Requires all water suppliers to increase water use efficiency and sets an overall goal of reducing per capita urban water use by 20 percent by December 31, 2020 . In order to be consistent with the Governor's Executive Order (EO) B-37-16, all water suppliers who are grantees and their partners that receive funds shall be responsible for meeting the EO requirements to maintain eligibility. Draft requirements from EO B-37-16 will be released after January 2017, and will establish the dates for meeting the EO requirements. The current requirements for two sectors, Urban Water Conservation and Agricultural Water Conservation are described below:

- Urban water suppliers shall prepare and adopt Urban Water Management Plans (UWMP). The 2015 UWMPs are due to DWR by July 1, 2016. In order to execute a grant agreement under the 2016 Water Energy Grant Program, urban water suppliers must have a UWMP that has been reviewed by DWR and found to have addressed the requirements of the UWMP Act. In addition, urban retail water suppliers UWMPs must document compliance with their 2015 interim water use target.
- Agricultural water suppliers shall prepare and adopt Agricultural Water Management Plans (AWMP). The 2015 AWMPs were due to DWR by December 31, 2015. Agricultural water suppliers are required to measure the volume of water delivered to customers, adopt a pricing structure for water customers based at least in part on quantity delivered, and implement additional efficient management practices. EO B29-15 also required suppliers to include detailed drought management plans. Additionally, EO B-29-15 requires agricultural water suppliers that supply water to 10,000 to 25,000 acres of irrigated lands to submit AWMPs to DWR by July 1, 2016. In order to receive a grant, agricultural water suppliers must submit their plan within 30 days of adoption and have received a letter from DWR stating that their plan meets the necessary requirements

Surface Water Diversion Reporting Compliance – A diverter of surface water is not eligible for a water grant or loan awarded or administered by the State unless it complies with surface water diversion reporting requirements outlined in Part 5.1 (commencing with §5100) of Division 2 of the Water Code.

C. Eligible Project Types

Subject to regional priorities, projects may include, but are not limited to the following elements (Water Code §79743 (a - j)):

- Water reuse and recycling for non-potable reuse and direct and indirect potable reuse
- Water-use efficiency and water conservation
- Local and regional surface and underground water storage, including groundwater aquifer cleanup or recharge projects
- Regional water conveyance facilities that improve integration of separate water systems
- Watershed protection, restoration, and management projects, including projects that reduce the risk of wildfire or improve water supply reliability
- Stormwater resource management, including, but not limited to, the following:
  - Projects to reduce, manage, treat, or capture rainwater or stormwater
  - Projects that provide multiple benefits such as water quality, water supply, flood control, or open space
  - Decision support tools that evaluate the benefits and costs of multi-benefit stormwater projects

    - Projects to implement a stormwater resource plan developed in accordance with Part 2.3 (commencing with Section 10560) of Division 6 including Water Code § 10562 (b)(7)
- Conjunctive use of surface and groundwater storage facilities
- Water desalination projects
- Decision support tools to model regional water management strategies to account for climate change and other changes in regional demand and supply projections
- Improvement of water quality, including drinking water treatment and distribution, groundwater and aquifer remediation, matching water quality to water use, wastewater treatment, water pollution prevention, and management of urban and agricultural runoff
- Regional projects or programs as defined by the IRWM Planning Act (Water Code §10537), see Appendix B

Eligible projects must also:

- Provide multiple benefits
- Advance the purpose of Proposition 1 Chapter 7, Regional Water Security, Climate, and Drought Preparedness (Water Code §79707 (c) and §79740) which are, as follows:
    - Assist water infrastructure systems adapt to climate change
    - Provide incentives for water agencies throughout each watershed to collaborate in managing the region's water resources and setting regional priorities for water infrastructure
    - Improve regional water self-reliance, while reducing reliance on Sacramento-San Joaquin Delta.
- Be consistent with Division 7, commencing with Section 13000 of the Water Code and Section 13100 of the Government Code (Infrastructure Plan) (Water Code §79707 (h))
- Promote State planning priorities and sustainable community strategies, consistent with Government Code §65041.1 and §65080 (Water Code §79707 (i)
- Wherever possible, preserve California's working agricultural and forested landscapes (Water Code §79707 (j))

Proposition 1 funds cannot be used for the following actions:

- Any project that could adversely impact a wild and scenic river or any river afforded protection under the California or Federal Wild and Scenic Rivers Act (Water Code §79711 (e))
- Acquisition of land through eminent domain (Water Code §79711 (g))
- Design, construction, operation, mitigation, or maintenance of Delta conveyance facilities (Water Code §79710 (a))
- Acquisition of water except for projects that will provide fisheries or ecosystem benefits or improvements that are greater than required applicable environmental mitigation measures or compliance obligations in effect at the time the funds are made available. Such funds shall not be credited to any measures or obligations, except for any water transfers for the benefit of §3406 (d) of the Central Valley Project Improvement Act (Title 34 of Public Law 102-575) (Water Code §79709 (c)).

The PSP or RFP for a specific solicitation may also provide clarifications on the specific project eligibility requirements.

III. General Program Requirements

A. Conflict of Interest

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

B. Confidentiality

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

C. Labor Code Compliance

Grant recipients shall stay informed of and take all measures necessary to ensure compliance with California Labor Code (Labor Code) requirements; including but not limited to, §1720 *et seq*. of the Labor Code regarding public works, limitations on use of volunteer labor (Labor Code §1720.4), labor compliance programs (Labor Code §1771.3), and payment of prevailing wages for work done and funded pursuant to the IRWM Grant Program, including any payments to the California Department of Industrial Relations (DIR) under Labor Code §1771.3. The applicant must comply with all applicable laws when it hires private consultants to implement its project partially or fully.

Tribal governments may have other labor compliance requirements or obligations; Tribes are encouraged to consult their legal counsel and the DIR to determine their specific labor compliance obligations.

For additional information on Labor Code compliance, please refer to the DIR link listed in the Appendix A. Before submitting an application, applicants are urged to seek legal counsel regarding California Labor Code compliance.

D. CEQA Compliance

Activities funded under the IRWM Grant Program regardless of funding source must be in compliance with the California Environmental Quality Act (CEQA) (Public Resources Code §21000 *et seq*.). Public Resources Code §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. Appendix C contains additional information on Tribal notification.

E. Monitoring Requirements

Projects that collect surface or groundwater water quality data shall collect and report the data in a manner consistent with the State Water Resource Control Board's (SWRCB) database, the California Environmental Data Exchange Network (CEDEN). See Appendix A for web links to CEDEN. (Water Code §79704).

Projects that collect watershed monitoring data shall collect and report the data in a manner consistent with the Department of Conservation's statewide watershed monitoring program (Water Code §79704).

Water Code §10927 requires various entities, including local agencies that are managing all or part of a groundwater basin pursuant to Water Code §10750, to assume responsibilities for groundwater elevation monitoring and reporting, as required by Water Code §10920 *et seq*. Appendix A provides a link to the Groundwater Information Center website which provides useful information on the CASGEM requirement.

F. Signage or Acknowledgement of Credit

To the extent practicable, a project supported by funds made available through this program will include signage or other relevant forms of acknowledgement informing the public that the project received funds from the Water Quality, Supply, and Infrastructure Improvement Act of 2014 (Water Code §79707 (g)).

IV. Proposal Selection

This describes the proposal selection and award process for the Planning and Implementation Grant Programs' PSPs. The DAC Involvement Program RFP follows a separate specific submittal, review, and award process which is detailed in the DAC Involvement Program RFP.

A. Submittal and Review

The PSPs provide detailed instructions on the mechanics of submitting proposals and specific information on submittal requirements. PSPs will be made available on the DWR website listed in the Foreword. A notice will be emailed to all interested parties on the IRWM Grant Program mailing list and posted on the website listed in the Foreword.

Submission of proposals will be through DWR's Grant Review and Tracking System (GRanTS). Applicants will be required to submit a new application for each funding opportunity. DWR will only consider applications in response to a specific solicitation.

Each proposal will be evaluated for completeness and eligibility, in accordance with the PSP. DWR will coordinate with SWRCB for verification of SWRCB-related eligibility requirements, such as Stormwater Water Resource Plan compliance. **Proposals not containing all required information will not be reviewed or considered for funding.**

All complete and eligible proposals will be reviewed and evaluated by DWR based on the criteria and process described in the individual PSPs. DWR may request technical review services from the SWRCB or other agencies, based on technical elements of the proposals.

B. Applicant Assistance Workshops

Informational workshops will be conducted to address applicant questions and to provide general assistance to applicants preparing proposals. The dates and locations of the workshops are provided via the IRWM Grant Program website, email distribution list, and news release(s). In addition to these informational workshops, applicants are encouraged to contact DWR staff with any questions regarding the IRWM Grant Program.

C. Applicant Notification and Public Meeting

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

D. Grant Awards

Based on the proposal evaluations, and the recommendation of the selection panel, DWR's Director will approve the final awards. Awards will be posted on DWR's website followed by announcements by e-mails. Following approval by the Director, the selected grant recipients will receive a commitment letter officially notifying them of their selection, the grant amount, and associated conditions and requirements.

E. Grant Agreement

Following funding commitment, DWR will execute a grant agreement with the grant recipient. Grant agreements are not executed until signed by the authorized representative of the grant recipient and DWR. Grant agreements for Proposition 1 funds will be executed with one grant recipient (the grant applicant) for the IRWM region. For proposals with more than one Project, the Grantee will then provide funding to the local project sponsors that are responsible for implementation of the component projects.

CEQA statement of conditions must be met **for at least one project** contained in the proposal prior to execution of a grant agreement. For each remaining project(s), the condition must be met prior to disbursement of grant funds. The Grantee must demonstrate that it has a plan to comply with all applicable requirements of CEQA and the National Environmental Policy Act (NEPA) and a schedule that outlines when the appropriate environmental documents will be completed. DWR staff will review the CEQA documentation available at the time of the grant agreement execution for each project contained within the proposal. Each project with work subject to CEQA shall not proceed until documents that satisfy the CEQA process are received by DWR and DWR has completed its CEQA compliance review. Work that is subject to a CEQA document shall not proceed until and unless approved by DWR. Such approval is fully discretionary and shall constitute a condition precedent to any work for which it is required.

Once CEQA documentation has been completed, DWR will consider the environmental documents and decide whether to continue to fund the project or to require changes, alterations, or other mitigation.

As part of the grant agreement, grant recipients and associated local project sponsors will be required to provide information regarding their projects for Bond Accountability reporting. Financial statements must be met **for at least one project** contained in the proposal prior to execution of a grant agreement. The Grantee must meet the audited financial statements requirement, for each agency or organization proposed to receive grant funding.

Applicants are encouraged to review existing agreement templates for an understanding of responsibilities for the grant recipient and local project sponsors. Examples of previous agreement templates can be found at the website listed in the Foreword. Appendix D provides applicants with a summary of the minimum materials that will need to be maintained for State auditing purposes.

F. Eligible Costs and Payment

Costs incurred by grant recipients must meet the "reimbursable costs" definition contained in Appendix B to be eligible to be considered for grant share or local cost share. Additionally, these costs must be incurred between the effective dates listed in the PSP or RFP and termination date of the grant agreement. For travel and meal costs, refer to the PSP/RFP for additional guidance.

Reimbursement

DWR's standard method of payment is reimbursement in arrears. Funds are dispersed after DWR approves the submittal of the DWR invoice form and required back-up documentation by the Grantee.

Advanced Payment

Water Code §10551 authorizes advance payment by DWR for certain projects. Specifically, to be eligible for advance payment projects must be consistent with an IRWM Plan, sponsored by a nonprofit organization, DAC, or proponent of a project that benefits a DAC, and have a grant award less than $1,000,000 in order for the first 50 percent of the grant award to be advanced. See Appendix G for more detail regarding advanced funding. Water Code §10551 is in effect until January 1, 2025.

APPENDIX A
USEFUL WEB LINKS

DWR

Homepage:	http://www.water.ca.gov/
IRWM Grant Program:	http://www.water.ca.gov/irwm/grants/
	http://www.water.ca.gov/grants/
Financial Assistance Programs:	http://www.water.ca.gov/funding/
DAC Mapping Tool and Data:	http://www.water.ca.gov/irwm/grants/resources_dac.cfm
EDA Mapping Tool and Data:	http://www.water.ca.gov/irwm/grants/resources_eda.cfm
Plan Standards Review Tool:	http://www.water.ca.gov/irwm/grants/prp.cfm
IRWM Funding Area Fact Sheet:	http://www.water.ca.gov/irwm/grants/docs/P1Index/IRWM_FundingAreaFactSheet121714.pdf
Water Metering Self-Certification Form:	http://www.water.ca.gov/irwm/grants/resources_forms.cfm
California Water Plan:	www.waterplan.water.ca.gov
Water Use and Efficiency Branch:	http://www.water.ca.gov/wateruseefficiency/
Urban Water Supplier	http://www.water.ca.gov/wateruseefficiency/finance/
Groundwater Information Center:	http://www.water.ca.gov/groundwater/
Economic Analysis Handbook:	http://www.water.ca.gov/pubs/planning/economic_analysis_guidebook/econguidebook.pdf
Climate Change Website:	http://www.water.ca.gov/climatechange
SGMA website:	http://www.water.ca.gov/groundwater/sgm/

SWRCB

Homepage:	http://www.waterboards.ca.gov
Stormwater Resource Plan Guidance:	http://www.waterboards.ca.gov/water_issues/programs/grants_loans/swgp/docs/prop1/swrp_finalguidelines_dec2015.pdf
California Environmental Data Exchange Network:	http://www.ceden.org/
Impaired Water Bodies:	http://www.waterboards.ca.gov/water_issues/programs/tmdl/303d_lists2006_epa.shtml
Groundwater Ambient Monitoring and Assessment:	http://www.swrcb.ca.gov/gama

Regional Water Quality Control Plans (Basin Plans)

Region 1:	http://www.waterboards.ca.gov/northcoast/water_issues/programs/basin_plan/basin_plan.shtml
Region 2:	http://www.waterboards.ca.gov/sanfranciscobay/basin_planning.shtml
Region 3:	http://www.waterboards.ca.gov/centralcoast/publications_forms/publications/basin_plan/index.shtml
Region 4:	http://www.waterboards.ca.gov/losangeles/water_issues/programs/basin_plan/
Region 5:	http://www.waterboards.ca.gov/centralvalley/water_issues/basin_plans/
Region 6:	http://www.waterboards.ca.gov/lahontan/water_issues/programs/basin_plan/references.shtml
Region 7:	http://www.waterboards.ca.gov/coloradoriver/publications_forms/publications/docs/basinplan_2006.pdf

Region 8: http://www.waterboards.ca.gov/santaana/water_issues/programs/basin_plan/index.shtml

Region 9: http://www.waterboards.ca.gov/sandiego/water_issues/programs/basin_plan/index.shtml

Bay-Delta: http://www.waterboards.ca.gov/ water_issues/programs/bay_delta/wq_control_plans/index.shtml

Department of Conservation

California Watershed Portal: http://www.conservation.ca.gov/dlrp/watershedportal/Pages/Index.aspx

CEQA

California State Clearinghouse Handbook: http://opr.ca.gov/docs/SCH_Handbook_2012.pdf

Climate Change Information

IRWM Climate Change Clearinghouse: http://www.water.ca.gov/climatechange/IRWMClimateChangeClearinghouse.pdf

Climate Change Handbook: http://www.water.ca.gov/climatechange/CCHandbook.cfm

California Climate Change Portal: http://www.climatechange.ca.gov/

AB 32 Scoping Plan: http://www.arb.ca.gov/cc/scopingplan/scopingplan.htm

Safeguarding California: Reducing Climate Risk: http://resources.ca.gov/climate/safeguarding/

California Climate Adaptation Planning Guide: http://resources.ca.gov/climate/safeguarding/adaptation_policy_guide/

Sea Level Rise Guidance: http://www.opc.ca.gov/2013/04/update-to-the-sea-level-rise-guidance-document/

Cal-Adapt: http://cal-adapt.org/

Department of Industrial Relations

Labor Compliance Programs: http://www.dir.ca.gov/lcp.asp

Compliances Monitoring Unit (CMU): http://www.dir.ca.gov/dlse/cmu/cmu.html

Tribal Consultation

STATE

California Native American Heritage Commission: http://www.nahc.ca.gov/

Governor's Tribal Advisor Office: http://tribalgovtaffairs.ca.gov/

Office of Planning and Research

Tribal & CEQA Resources: https://www.opr.ca.gov/s_ab52.php

TRIBAL

Karuk Tribal Consultation Policy: http://www.karuk.us/images/docs/hr-files/15-03-03_consultation_policy_FINAL.pdf

Rincon Band of Luiseno Indians

Consultation Ordinance: http://media.wix.com/ugd/db3091_ca0215dd0fe14939bf25c156c7354fc2.pdf

FEDERAL

U.S. Fish & Wildlife Service Tribal Consultation Handbook: http://www.fws.gov/carlsbad/TribalRelations/Tribal_Consultation_Handbook_2013.pdf

U.S. Census Bureau

Homepage: http://www.census.gov

American Community Survey: http://www.census.gov/acs

DAC Reports and Studies

Disadvantaged Communities 2014 Visioning Workshop:
http://www.water.ca.gov/irwm/grants/docs/p1DACinvolvement/Reports_Studies/DAC2014VisioningWorkshop.pdf

Coachella Valley Disadvantaged Community Outreach Demonstration Project:
http://www.water.ca.gov/irwm/grants/docs/p1DACinvolvement/Reports_Studies/CoachellaValleyDACOutreachDemonstrationProject.pdf

Disadvantaged Communities and the Inyo-Mono IRWM Program:
http://www.water.ca.gov/irwm/grants/docs/p1DACinvolvement/Reports_Studies/DACInyoMonoIRWMProgram.pdf

Economically Disadvantaged Communities in the North Coast Region:
http://www.water.ca.gov/irwm/grants/docs/p1DACinvolvement/Reports_Studies/EconomicallyDisadvantagedCommunitiesintheNorthCoastRegion.pdf

Greater Los Angeles County Disadvantaged Community Outreach Evaluation Study:
http://www.water.ca.gov/irwm/grants/docs/p1DACinvolvement/Reports_Studies/GLACDACOutreachEvaluationStudy.pdf

Kings Basin Disadvantaged Community Pilot Project Study:
http://www.water.ca.gov/irwm/grants/docs/p1DACinvolvement/Reports_Studies/KingsBasinDACPilotProjectStudy.pdf

Tulare Lake Basin Disadvantaged Community Study:
http://www.water.ca.gov/irwm/grants/docs/p1DACinvolvement/Reports_Studies/TulareLakeBasinDACStudy.pdf

Californians without Safe Water and Sanitation, California Water Plan Update 2013:
http://www.water.ca.gov/irwm/grants/docs/p1DACinvolvement/Reports_Studies/CaliforniansWithoutSafeWaterandSanitationCAWaterPlanUpdate2013.pdf

Governor's Drinking Water Stakeholder Group, Report on New and Expanded Funding Sources:
http://www.water.ca.gov/irwm/grants/docs/p1DACinvolvement/Reports_Studies/GovernorDrinkingWaterStakeholderGroupReportonNewandExpandedFundingSources.pdf

Enhanced Infrastructure Financing Districts

SB 628 Informational page: http://abag.ca.gov/events/ga/2015/SB628.pdf

Sierra Nevada Conservancy

Watershed Improvement Program: http://restorethesierra.org

APPENDIX B
DEFINITIONS

Acquisition – Obtaining an interest in real property including, easements, leases, water, water rights, or interest in water obtained for the purposes of instream flows and development rights.

Adopted IRWM Plan – an IRWM Plan that has been formally accepted, as evidenced by a resolution or other written documentation by the governing bodies of each agency that is part of the RWMG responsible for the development of the Plan and have responsibility for implementation of the Plan. Adoption of an IRWM Plan must follow the notification process in Water Code §10543.

Advanced Payment – For some project funding solicitations, advanced funding prior to costs incurred can be requested. See Appendix G for more information. For a list of activities that are eligible for advancement, see Reimbursable Costs

Agricultural Water Supplier – a water supplier, either publicly or privately owned, that provides water to 10,000 or more irrigated acres, excluding the acreage that receives recycled water; also includes a supplier or contractor for water, regardless of the basis of right, that distributes or sells water for ultimate resale to customers (Water Code §10608.12 (a)).

Applicant – the entity that is formally submitting a grant application. This is the same entity that would enter into an agreement with the State should the grant application be funded. The grant applicant must be a public agency, non-profit organization, public utility, federally recognized Indian Tribe, state Indian Tribe listed on the Native American Heritage Commission's Tribal Consultation list, or a mutual water company (Water Code §79712 (a-b)).

Application – the electronic or hard copy submission to DWR that requests grant funding for a proposal that the applicant intends to implement.

Basin Plan – also referred to as Regional Water Quality Control Plan, identifies: 1) beneficial uses to be protected; 2) water quality objectives for their reasonable protection of beneficial uses; and 3) a program of implementation for achieving the water quality objectives as established by the RWQCBs or SWRCB.

Beneficial Uses – the uses of streams, lakes, rivers, and other water bodies to humans and other life. Beneficial uses are outlined in a Regional Water Quality Control Plan (Basin Plan).

California Native American Tribe – all Indigenous Communities of California, which are on the contact list maintained by the Native American Heritage Commission, including those that are federally non-recognized and federally recognized, and those with allotment lands, regardless of whether they own those lands. Additionally, because some water bodies and Tribal boundaries cross State borders, this term may include Indigenous Communities in Oregon, Nevada, and Arizona that are impacted by water in California.

Disadvantaged Community – a community with an annual median household income that is less than 80 percent of the Statewide annual median household income (Water Code §79505.5 which cross references to Water Code §79505.5).

Economically Distressed Area – a municipality with a population of 20,000 persons or less, a rural county, or a reasonably isolated and divisible segment of a larger municipality where the segment of the population is 20,000 persons or less, with an annual median household income that is less than 85 percent of the statewide median household income, and with one or more of the following conditions as determined by the department: (1) financial hardship, (2) Unemployment rate at least 2 percent higher than the statewide average, or (3) low population density. (Water Code §79702. (k)).

Eligible Involvement Activities – activities that benefit DACs and meet the intended outcome(s) of the DAC Involvement Program. Please reference the DAC Involvement Program RFP for additional information.

Environmental Justice – the fair treatment of people of all races, cultures, and incomes with respect to the development, adoption, implementation, and enforcement of environmental laws, regulations, and policies (Government Code §65040.12 (e)).

Grantee – a grant recipient.

In-Kind Services – work performed by the Grantee that furthers the scope of the grant, the cost of which is considered local cost share in-lieu of actual funds from the Grantee.

IRWM Plan – a comprehensive plan for a defined geographic area, the specific development, content, and adoption of which shall satisfy requirements developed pursuant to this part. At a minimum, an Integrated Regional Water Management Plan describes the major water-related objectives and conflicts within a region, considers a broad variety of resource management strategies, identifies the appropriate mix of water demand and supply management alternatives, water quality protections, and environmental stewardship actions to provide long-term, reliable, and high-quality water supply and protect the environment, and identifies disadvantaged communities in the region and takes the water-related needs of those communities into consideration. (Water Code §10530 *et seq*., in particular §10534)

Local Cost Share – non-State fund portion of Cost Share made available by the applicant to assist in financing a project which can include in-kind-services directly related to the scope of work presented in the grant proposal. Local cost share expenses must meet reimbursable cost requirements (defined below). Local cost share may also include expenses, including in-kind services, incurred by a State agency, as long as the expenses are not otherwise funded by State funds. State Revolving Funds and American Recovery and Reinvestment Act funds are not considered State funds and may be used as Local Cost Share.

Long-term – means for a period of not less than 20 years.

Mutual Water Company – a private corporation or association organized for the purposes of delivering water to its stockholders and members at cost, including use of works for conserving, treating, and reclaiming water (Public Utilities Code §2725-2729).

Non-profit Organization – any non-profit corporation qualified to do business in California and qualified under §501(c)(3) of the Internal Revenue Code. (Water Code §79702 (p))

Physical Benefits –measures of project accomplishments (expressed as numeric targets) such as amount of water supply, change in water quality, area, and types of properties protected by flood control features, habitat measured in acreage or flow, energy production or savings, recreation facilities, etc.

Program Preferences – components of a proposal that the State will give preference to, as defined in Water Code §79707 and §79742.

Proposal – the electronic submission to DWR that requests funding for the proposed activities in the DAC Involvement Program.

Proposition 1 – "Water Quality, Supply, and Infrastructure Improvement Act of 2014" passed by California voters on November 4, 2014, and as set forth in Division 26.7 of the Water Code.

Public Agency – any state agency or department, special district, joint powers authority, city, county, city and county, or other political subdivision of the State. (Water Code §79702 (s))

Public Utility – as defined in Public Utilities Code §216.

Regional Project or Program – projects or programs identified in an IRWM Plan that accomplish any of the following (Water Code §10537):

a. Reduce water demand through agricultural and urban water use efficiency.
b. Increase water supplies for any beneficial use through the use of any of the following or other means:
    1. Groundwater storage and conjunctive water management
    2. Desalination

3. Precipitation enhancement
4. Water recycling
5. Regional and local surface storage
6. Water-use efficiency
7. Stormwater management

c. Improve operational efficiency and water supply reliability, including conveyance facilities, system reoperation, and water transfers.
d. Improve water quality, including drinking water treatment and distribution, groundwater and aquifer remediation, matching water quality to water use, wastewater treatment, water pollution prevention, and management of urban and agricultural runoff.
e. Improve resource stewardship, including agricultural lands stewardship, ecosystem restoration, flood plain management, recharge area protection, urban land use management, groundwater management, water-dependent recreation, fishery restoration, including fish passage improvement, and watershed management.
f. Improve flood management through structural and nonstructural means, or by any other means.

Regional Water Management Group – or RWMG means a group in which three or more local agencies, at least two of which have a statutory authority over water supply or water management, as well as those persons who may be necessary for the development and implementation of an IRWM Plan that meets the requirements in Water Code §10540 and §10541.

Reimbursable Costs – costs that may be repaid by state grant. Reimbursable costs may include the reasonable costs of engineering, design, land and easement, legal fees, preparation of environmental documentation, environmental mitigation, and project implementation including administrative costs and incidental costs.

Costs that are <u>not reimbursable</u> with grant funding include, but are not limited to:

a. Costs for preparing and filing a grant application belonging to another solicitation
b. Operation and maintenance costs, including post construction project performance and monitoring costs
c. Purchase of equipment not an integral part of the project
d. Establishing a reserve fund
e. Purchase of water supplies with the exception of Water Code §79709 (c)
f. Replacement of existing funding sources for ongoing programs
g. Support of existing punitive regulatory agency requirements and/or mandates in response to negligent behavior
h. Purchase of land in excess of the minimum required acreage necessary to operate as an integral part of the project, as set forth and detailed by engineering and feasibility studies or acquisition of land by eminent domain
i. Payment of principal or interest of existing indebtedness or any interest payments unless the debt is incurred after effective date of a grant award 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
j. Overhead not directly related to project costs

Scoring Criteria – set of requirements used by DWR to evaluate a proposal for a given program or for funding.

Small Disadvantaged Community – for the purposes of Water Code §10545, a small community shall mean a community with a yearlong population of no more than 10,000 persons (See also Water Code §79702 (w)).

Stakeholder – 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.

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

APPENDIX C
NATIVE AMERICAN TRIBE NOTIFICATION

In 2014, the legislature added new requirements regarding Tribal cultural resources in AB 52 (Gatto). Public Resources Code §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. Before releasing an Environmental Impact Report, Negative Declaration or Mitigated Negative Declaration, lead agencies must give notice to California Native American Tribes that have submitted a written request for notice and that are traditionally and culturally affiliated with the geographic area of the project.

Additional information on Tribal consultation and AB 52 can be found at the links in Appendix A, which includes an example Tribal Consultation Policy that was adopted by the Karuk Tribe and an example Tribal Consultation Ordinance enacted by the Rincon Band of Luiseno Indians, along with guidance from the Office of Planning and Research.

Contact information for the NAHC is as follows:

Executive Secretary
Native American Heritage Commission
1550 Harbor Blvd. Suite 100
West Sacramento, California 95691
(916) 373-3710
(916) 373-5471
nahc@nahc.ca.gov
http://www.nahc.ca.gov/

APPENDIX D
GUIDELINES FOR GRANTEES

The lists below details the documents/records that State Auditors would need to review in the event of a grant being audited. Grantees should ensure that such records are maintained for each funded project for a minimum of three years after termination of the grant agreement.

Internal Controls

1) Organization chart (e.g. Agency's overall organization chart and organization chart for the grant funded Program/Project)
2) Written internal procedures and flowcharts for the following:
   a) Receipts, deposits, and disbursements
   b) State reimbursement requests
   c) Grant expenditure tracking
   d) Guidelines, policy, and procedures on grant funded Program/Project
3) Audit reports of the Agency's internal control structure and/or financial statements within the last three years
4) Prior audit reports on grant funded Program/Project

Grants

1) Original grant agreement, any amendment(s) and budget modification documents
2) A listing of all bond-funded grants received from the State
3) A listing of all other funding sources for each Program/Project

Contracts

1) All subcontractor and consultant contracts and related or partners documents, if applicable
2) Contracts between the Agency and member agencies as related to the grant funded Program/Project

Invoices

1) Invoices from vendors and subcontractors for expenditures submitted to the State for payments under the grant
2) Documentation linking subcontractor invoices to State reimbursement, requests and related grant budget line items
3) Reimbursement requests submitted to the State for the grant

Cash Documents

1) Receipts (copies of warrants) showing payments received from the State
2) Deposit slips (or bank statements) showing deposit of the payments received from the State
3) Cancelled checks or disbursement documents showing payments made to vendors, subcontractors, consultants, and/or agents under the grant
4) Bank statements showing the deposit of the receipts

Accounting Records

1) Ledgers showing entries for grant receipts and cash disbursements
2) Ledgers showing receipts and cash disbursement entries of other funding sources
3) Bridging documents that tie the general ledger to requests for grant reimbursement

Administration Costs

1) Supporting documents showing the calculation of administration costs

Personnel

1) List of all contractors and Agency staff that worked on the grant funded Program/Project
2) Payroll records including timesheets for contractor staff and the Agency personnel who provided services charged to the program

Project Files

1) All supporting documentation maintained in the project files
2) All grant related correspondence

APPENDIX E
DISADVANTAGED COMMUNITIES

Proposition 1 allows for the continued use of the DAC definition as set forth in Water Code 79505.5 (a). "Disadvantaged community" means a community with an annual median household income that is less than 80 percent of the statewide annual median household income.

The American Community Survey (ACS) of the U. S. Census provides a dataset than can be used as a source to estimate a community's Median Household Income (MHI). The most recent and most comprehensive data available is for the 5-year period of 2010-2014. The ACS data gives estimates of MHI for different census geographies, such as for states, counties, census places (incorporated cities and unincorporated towns), census tracts, and census block groups. Using the ACS data for the years 2010-2014, 80% of the Statewide MHI is $49,191. For additional information on the ACS see the link listed in Appendix A.

DWR has developed a tool which utilizes the most current ACS data (2010-2014 ACS) to show the location and boundaries of DACs in the State, at the census place, tract, block group level, and other information. The tool allows users to view different geographies or combinations of geographies, using different base maps and to zoom in to various scales. For individuals with GIS capabilities GIS files representing the ACS data (and DAC status) for the three census geographies can also be found at the DAC mapping tool website. The DAC mapping tool can be found at the following link: http://www.water.ca.gov/irwm/grants/resources_dac.cfm

DWR will update the MHI values and the DAC mapping tool as updated ACS data sets become available. Therefore, potential applicants should check the DAC mapping tool website prior to submitting a grant application to verify that current information is being used.

The applicant may use ACS data at the census place, census tract, or census block group geography levels to show whether a project serves a DAC, based on what geography is the most representative for that community. For DACs, the allowable alternative geographies are, respectively:

Alternative Geography	**DAC**
The project serves an area that is contained within a census place for which the MHI is less than	$49,191
The project serves an area that is contained within one or more census tracts and the MHI of each census tract is less than	
The project serves an area that is inscribed within one or more census block groups and the MHI of each block group is less than	
The project serves an area that is inscribed in one or more census tracts or block groups and some (but not all) of the census tracts or block groups have an MHI of less than	

If a project serves a DAC and is divided among several contiguous census tracts or block groups, and some of the project area tracts or block groups do not meet the DAC criterion, the project will be considered a DAC project for the purpose of waiving local cost share requirements based on proportionality. For some projects, it may be more appropriate to use the proportion of the population served, the project cost, or geographic area served as the basis for proportioning the project into DAC/non-DAC segments.

In cases where the ACS 5-year survey data do not support a community as a DAC, DWR will consider use of other data that show the community is a DAC. For example, income survey data may be used to support the MHI of the project benefit area. In these instances, please contact DWR at the phone number or email listed in the Foreword for assistance on how alternate data may be used to determine whether a community is a DAC.

APPENDIX F
ECONOMICALLY DISTRESSED AREA

Proposition 1 includes a definition for an EDA. The EDA definition attempts to capture disadvantaged communities that have a state median household income between 80 and 85 percent of the statewide annual MHI. While EDA definition is similar to the DAC definition in utilizing state MHI as a determining factor, the EDA definition also includes other factors such as finical hardship, unemployment and population density.

DWR developed the Economically Distressed Area Instructions and Mapping Tool to assist potential applicants in determining whether the project is located in or benefits an EDA. The Instructions provide guidance on defining the relevant terms contained in the EDA definition and the current comprehensive data available for evaluating those terms; the Mapping Tool provides a user-friendly means to assess whether the area in question is an EDA.

The EDA Mapping Tool presents the different levels of geography, which include counties, census places (incorporated cities and unincorporated towns), census tracts, and census block groups and can be found at the following link: http://www.water.ca.gov/irwm/grants/resources_eda.cfm.

The applicant may use data at the different geography levels to show whether a project serves an EDA, based on what geography is the most representative for the project location/benefit area. GIS files representing the data and EDA status for the provided geographies are also provided at the above-referenced link.

In cases where the outlined data does not adequately portray the project benefit area (such as census geography and the project area do not match), DWR will consider use of other data that shows the appropriate criteria of an EDA. For example, income survey data may be used to support the MHI of the project benefit area. In these instances, please contact DWR at the phone number or email listed in the Forward on how alternate data may be used to demonstrate whether a project benefit area is an EDA.

APPENDIX G
ADVANCED PAYMENT

The following outlines the eligibility requirements, process to apply, accountability reporting requirements, and requirements for advancing payment.

Eligible Projects

Projects eligible for advanced payment must be consistent with the region's adopted IRWM Plan and awarded less than $1,000,000 in IRWM grant funds. Only 50 percent of the grant award may be advanced, the remaining 50 percent of the grant award will be reimbursed in arrears.

Eligible Local Project Sponsors

Eligible Local Project Sponsors are the following:

- Nonprofit organizations
- Disadvantaged communities
- Proponents of projects that benefits a DAC-only the portion of the project that benefits a DAC may be eligible for advanced payment.

Process to Apply for Advanced Payment

Individual PSPs will provide additional detail regarding the specifics for applying for advance payment for qualified projects. However, at a minimum, **within 90 days after the execution of a grant agreement**, the Grantee shall provide DWR with the list of projects requesting advanced payment. This list will also include the following:

- Project description(s) consistent with the executed grant agreement
- Local Project Sponsor(s), including DAC/nonprofit status
- Budget for each project
- Schedule for each project which shows how the advanced funds will be expended within six months of receipt
- An update on project status and funds expended to date
- And other information that DWR may deem necessary, including a discussion of the Local Project Sponsor's financial capacity to complete the project once the advance funds have been expended.

If the Grantee fails to provide this list and the related information within 90 days of grant execution, funds may not be advanced. Within 60 days of receiving the project information and subject to the availability of funds, DWR will authorize payment of 50 percent of the grant award for the qualified project(s). The Grantee will be responsible for the timely distribution of the advanced funds to the individual Local Project Sponsors.

Accountability Report Requirements

Upon receipt of advanced payment, there are requirements and responsibilities that must be met by the Grantee. The Grantee shall work with the Local Project Sponsor(s) to provide quarterly an Accountability Report regarding the advanced funds that, at a minimum:

- Itemizes what advanced funds have been expended
- Itemizes how remaining advanced funds will be expended over the next reporting period
- Provides proof of distribution of advanced funds to the appropriate Local Project Sponsor
- Documents that the funds were spent on eligible reimbursable costs
- Proof of Documentation that advanced funds were placed in a non-interest-bearing account.

Advance Payment Requirements

Any of the following actions are considered as a default on the advanced payment eligibility requirements and may result in DWR requesting the project proponent to stop work and the Grantee return all or a portion of the advanced funds, including both expended and unexpended funds:

- Failure to expend the advanced funds within six months of receipt
- Failure by Grantee to submit an accurate Accountability Report by the required due date
- Failure to deposit funds in a non-interest bearing account
- Ineligible expenses and/or activities not consistent with the grant agreement
- An inappropriate use of funds, as deemed by DWR

If the advanced funds are not expended within six months of the date of receipt, then the Grantee must return the advanced funds to DWR, unless the DWR waives this requirement. DWR will consider waiving the required return of advanced funds if the project is:

- In compliance with grant agreement terms
- Making progress towards completion
- Submitting accurate and timely Accountability Reports

At any given time, DWR reserves the right to revoke advanced funds based on failure to comply with the advanced payment requirements. Notwithstanding Water Code §10551 (c)(4), if advanced funds are not fully expended by project completion or by the grant agreement termination date, whichever is earlier, the unused portion of the grant shall be returned to DWR within 60 days.

APPENDIX H
CHANGES TO 2012 IRWM PLAN STANDARDS

IRWM Plan Standards	IRWM 2016 Plan Standards: Updates to 2012 IRWM Plan Standards	IRWM 2016 Guidelines Page Number
Region Description	2012 Guidelines (GL) Requirement (if applicable): Describe and explain how the plan will help reduce dependence on the Delta supply regionally. Updated code citation for the requirement: Public Resources Code §29700-29716.	37
	2012 GL Requirement: Describe water quality conditions. Same requirement with the following additional detail pertaining to AB 1249: "If the IRWM region has areas of nitrate, arsenic, perchlorate, or hexavalent chromium contamination, the Plan must include a description of location, extent, and impacts of the contamination; actions undertaken to address the contamination, and a description of any additional actions needed to address the contamination (Water Code §10541.(e)(14))."	37
	Additional requirement, not in 2012 GL: Describe likely Climate Change impacts on the region as determined from the vulnerability assessment [1].	42
Plan Objectives	Additional requirement, not in 2012 GL: Address adapting to changes in the amount, intensity, timing, quality and variability of runoff and recharge.	38, 42
	Additional requirement, not in 2012 GL: Consider the effects of sea level rise (SLR) on water supply conditions and identify suitable adaptation measures.	38, 42
	Additional requirement, not in 2012 GL: Reducing energy consumption, especially the energy embedded in water use, and ultimately reducing GHG emissions.	38, 42
	Additional requirement, not in 2012 GL: In evaluating different ways to meet IRWM plan objectives, where practical, consider the strategies adopted by CARB in its AB 32 Scoping Plan.	38, 42
	Additional requirement, not in 2012 GL: Consider options for carbon sequestration and using renewable energy where such options are integrally tied to supporting IRWM Plan objectives.	38, 42
Resource Management Strategies (RMS)	2012 GL Requirement: Consider all 29 California Water Plan (CWP) RMS criteria listed in Table 3 from the CWP Update 2009. Identify RMS incorporated in the IRWM Plan. Same requirement with the following updates: CWP Update 2013 referred to instead of 2009. Additional RMS's in the 2013 update are Sediment Management, Outreach and Engagement, and Water and Culture (for a total of 32 requirements).	38

IRWM Plan Standards	IRWM 2016 Plan Standards: Updates to 2012 IRWM Plan Standards	IRWM 2016 Guidelines Page Number
	2012 GL Requirement: Consideration of climate change effects on the IRWM region must be factored into RMS. Same requirement with the following additional detail: Identify and implement, using vulnerability assessments and tools such as those provided in the Climate Change Handbook, RMS and adaptation strategies that address region-specific climate change impacts. •Demonstrate how the effects of climate change on its region are factored into its RMS. •Reducing energy consumption, especially the energy embedded in water use, and ultimately reducing GHG emissions. •An evaluation of RMS and other adaptation strategies and ability of such strategies to eliminate or minimize those vulnerabilities, especially those impacting water infrastructure systems.	38, 42
Project Review Process	2012 GL Requirement: Project's contribution to climate change adaptation. Same requirement with the following additional detail: •Include potential effects of Climate Change on the region and consider if adaptations to the water management system are necessary. •Consider the contribution of the project to adapting to identified system vulnerabilities to climate change effects on the region. •Consider changes in the amount, intensity, timing, quality and variability of runoff and recharge. •Consider the effects of sea level rise on water supply conditions and identify suitable adaptation measures.	37, 43
	2012 GL Requirement: Contribution of project in reducing GHGs compared to project alternatives. Same requirement with the following additional detail: •Consider the contribution of the project in reducing GHG emissions as compared to project alternatives •Consider a project's ability to help the IRWM region reduce GHG emissions as new projects are implemented over the 20-year planning horizon. •Reducing energy consumption, especially the energy embedded in water use, and ultimately reducing GHG emissions.	39, 42
Plan Performance and Monitoring	Additional requirement, not in 2012 GL: Specific benefits to critical water issues for Native American Tribal communities.	52
	Additional requirement, not in 2012 GL: Contain policies and procedures that promote adaptive management and, as more effects of Climate Change manifest, new tools are developed, and new information becomes available, adjust IRWM Plans accordingly.	39, 43

IRWM Plan Standards	IRWM 2016 Plan Standards: Updates to 2012 IRWM Plan Standards	IRWM 2016 Guidelines Page Number
Local Water Planning	2012 GL Requirement: Discuss how the plan relates to these other planning documents and programs. Same requirement with the following additional detail: "It should be noted that Water Code § 10562 (b)(7) (i.e. SB 985) requires the development of a stormwater resource plan and compliance with these provisions to receive grants for stormwater and dry weather runoff capture projects. Upon development of the stormwater resource plan, the RWMG shall incorporate it into IRWM Plan. The IRWM Plan should discuss the processes that it will use to incorporate such plans. This requirement does not apply to DACs with a population of 20,000 or less and that is not a co-permittee for a municipal separate stormwater system national pollutant discharge elimination system permit issued to a municipality with a population greater than 20,000." Minor wording differences - e.g. Groundwater Sustainability Plan example in the 2016 Guidelines instead of Groundwater Management Plan in the 2012 Guidelines.	62
	Additional requirement, not in 2012 GL: Consider and incorporate water management issues and climate change adaptation and mitigation strategies from local plans into the IRWM Plan.	41, 43
Local Land Use Planning	Additional requirement, not in 2012 GL: Demonstrate information sharing and collaboration with regional land use planning in order to manage multiple water demands throughout the state, adapt water management systems to climate change, and potentially offset climate change impacts to water supply in California.	30, 43
Stakeholder Involvement	2012 GL Requirement: Contain a public process that provides outreach and opportunity to participate in the IRWM Plan. Same requirement with the following additional detail: “Native American Tribes – It should be noted that Tribes are sovereign nations, and as such coordination with Tribes is on a government-to-government basis.”	40
Climate Change	2012 GL Requirement: Evaluate IRWM region's vulnerabilities to climate change and potential adaptation responses based on vulnerabilities assessment in the DWR Climate Change Handbook for Regional Water Planning Same requirement with the following additional detail: "***At a minimum***, the vulnerability evaluation must be equivalent to the vulnerability assessment contained in the Climate Change Handbook for Regional Water Planning, Section 4 and Appendix B."	42, 69 - 71
	2012 GL Requirement: Provide a process that considers GHG emissions when choosing between project alternatives. Same requirement with the following additional detail: "At a minimum, that process must determine a project’s ability to help the IRWM region reduce GHG emissions as new projects are implemented over a 20-year planning horizon and consider energy efficiency and reduction of GHG emissions when choosing between project alternatives."	39, 66 - 68
	2012 GL Requirement: Include a list of prioritized vulnerabilities based on the vulnerability assessment and the IRWM’s decision making process. Same requirement with the following additional detail: "A list of prioritized vulnerabilities which includes a determination regarding the feasibility for the RWMG to address the priority vulnerabilities."	40, 42 – 43, 54

IRWM Plan Standards	IRWM 2016 Plan Standards: Updates to 2012 IRWM Plan Standards	IRWM 2016 Guidelines Page Number
	Additional requirement, not in 2012 GL: Address adapting to changes in the amount, intensity, timing, quality, and variability of runoff and recharge.	38 – 39, 42 - 43
	Additional requirement, not in 2012 GL: Areas of the State that receive water imported from the Sacramento-San Joaquin River Delta, the area within the Delta, and areas served by coastal aquifers must also consider the effects of sea level rise (SLR) on water supply conditions and identify suitable adaptation measures.	42

1. The vulnerability assessment contained in the Climate Change Handbook for Regional Water Planning, Section 4 and Appendix B in 2016 Guidelines.

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

2016 Integrated Regional Water Management Grant Program Guidelines

Volume 2 – IRWM Planning Standards
July 2016

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

2016 Integrated Regional Water Management Grant Program Guidelines – Volume 2

I. Purpose and Use

Proposition 1, Chapter 7 Regional Water Security, Climate and Drought Preparedness (Water Code § 79740 – 79748) funding is intended to improve regional water self-reliance security and adapt to the effects on water supply arising out of climate change. Specifically, the purpose is to assist water infrastructure systems adapt to climate change; provide incentives for water agencies throughout each watershed to collaborate in managing the region's water resources and setting regional priorities for water infrastructure; and improve regional water self-reliance, while reducing reliance on Sacramento-San Joaquin Delta.

The 2016 IRWM Guidelines is comprised of two volumes. Volume 1 contains the process and general procedures that DWR will use for the award of Proposition 1 IRWM grant funding (Water Code §79744 and 79745); Volume 2 contains the following items:

- IRWM Plan Standards
- Guidance related to each individual IRWM Plan Standard
- IRWM Region Acceptance Process
- IRWM Plan Review Process

The IRWM Plan Standards contained in these guidelines are applicable to Proposition 1 IRWM funding and differ slightly from those contained in the 2012 Proposition 84 IRWM Grant Program Guidelines. Refer to Appendix H for more detail on the changes to the 2012 IRWM Plan Standards. The differences are summarized below:

- Aligned standards and guidance to ensure that directive requirements are contained in the Standards portion of this document; with changes for consistency in the guidance portion and the related Plan Review process/form
- Updated to reflect release of California Water Plan Update 2013, in particular the inclusion of additional Resource Management Strategies (RMS)
- Inclusion in the Governance Standard guidance on whether or how Native American Tribes will participate in the RWMG
- Revisions to the Climate Change Standard format and updated guidance materials
- Updated to incorporate requirements that were not included or effective when the 2015 Proposition 84 IRWM Grant Program Guidelines were issued, including:
  - Tribal Consultation due to CEQA update
  - Amendments to the IRWM Planning Act related IRWMs with nitrate, arsenic, perchlorate, or hexavalent chromium contamination (AB 1249)
  - Incorporation of Stormwater Resource Plan (SB 985)
  - Economically Distressed Areas
- Issues related to IRWM Plans and regions were separated into a separate volume

II. IRWM Plan Standards

IRWM Plan Standards are used to describe the required contents of an IRWM Plan and can be used as criteria in Implementation Grant applications. Applicants should refer to the PSP or RFP for the specific function of the IRWM Plan Standards in each grant solicitation. The IRWM Plan Standards discuss specific aspects that must be part of an IRWM Plan. IRWM Plan Standards, listed in Table 1 and presented in detail below, are the content requirements for an IRWM Plan.

RWMGs are encouraged to pay attention to two concepts when incorporating the Plan Standards into their IRWM Plans:

1. **Ahwahnee Water Principles.** IRWM planning is planning that is not focused on a single use of a resource, but seeks to manage that resource based on all the ways that the resource can be used. As exhibited by the

IRWM Plan Standards, many aspects of IRWM planning reflect the Ahwahnee Water Principles, http://www.lgc.org/about/ahwahnee/h2o-principles. Commonalities between IRWM planning and the Ahwahnee Water Principles include multi-agency collaboration, stakeholder involvement and collaboration, regional approaches to water management, water management involvement in land use decisions, and project monitoring to evaluate results of current practices. Although IRWM Plan Standards can be seen as very separate and distinct items, RWMGs should be aware of the broader overarching shift to resource planning as presented in the Ahwahnee Water Principles and the practice of IRWM planning as opposed to single planning purpose (i.e. water supply, wastewater, or watershed function).

2. **IRWM Plan Outline.** The IRWM Plan Standards are intended to ensure IRWM Plans include specific content. Although the IRWM Plan Standards name specific topics, explanations, and descriptions, these do not necessarily constitute an outline of an IRWM Plan. An IRWM Plan can be written in a format that is logical for the IRWM region. The IRWM Plan can use different titles to sections than those offered in these standards. What is important is that IRWM plans contain the proper contents that ensure effective, implementable planning.

Guidance, including the intent of each standard and additional reference, is presented in the following Section.

Table 1 – IRWM Plan Standards	
◆ Governance ◆ Region Description ◆ Objectives ◆ Resource Management Strategies (RMS) ◆ Integration ◆ Project Review Process ◆ Impact and Benefit ◆ Plan Performance and Monitoring	◆ Data Management ◆ Finance ◆ Technical Analysis ◆ Relation to Local Water Planning ◆ Relation to Local Land Use Planning ◆ Stakeholder Involvement ◆ Coordination ◆ Climate Change

1. *Governance*

The IRWM Plan must document a governance structure that ensures the IRWM Plan will be updated and implemented beyond existing State grant programs. The IRWM Plan must include:

- The name of the RWMG responsible for development and implementation of the Plan. A RWMG must meet the definition of Water Code §10539, which states:

  > *"RWMG means a group in which three or more local agencies, at least two of which have statutory authority over water supply or water management, as well as those other persons who may be necessary for the development and implementation of a plan that meets the requirements of CWC §10540 and §10541, participate by means of a joint powers agreement, Memorandum of Understanding (MOU), or other written agreement, as appropriate, that is approved by the governing bodies of those local agencies."*

  The IRWM Plan must include a description of the RWMG and explain how the makeup of the RWMG meets Water Code §10539 and is sufficient in breadth of membership and participation to develop and implement the IRWM Plan.
- The RWMG and individual project proponents who adopted the Plan
- A description of the IRWM governance structure; including a discussion of whether or how Native American Tribes will participate in the RWMG.
- A description of how the chosen form of governance addresses and ensures the following:
  - Public outreach and involvement processes
  - Effective decision making
  - Balanced access and opportunity for participation in the IRWM process
  - Effective communication – both internal and external to the IRWM region
  - Long term implementation of the IRWM Plan
  - Coordination with neighboring IRWM efforts and State and federal agencies

- The collaborative process(es) used to establish plan objectives
- How interim changes and formal changes to the IRWM Plan will be performed
- Updating or amending the IRWM Plan

2. *Region Description*

An IRWM Plan must include a description of the region being managed by the RWMG. This description should include a comprehensive inclusion of the following:

- A description of the watersheds and the water systems, natural and anthropogenic (i.e. "man-made"), including major water-related infrastructure, flood management infrastructure, and major land-use divisions. Also include a description of the quality and quantity of water resources within the region (i.e. surface waters, groundwater, reclaimed water, imported water, and desalinated water). As relevant, describe areas and species of special biological significance and other sensitive habitats, such as marine protected areas and impaired water bodies within the region.
- A description of internal boundaries within the region including the boundaries of municipalities, service areas of individual water, wastewater, flood control districts, and land use agencies. The description should also include those not involved in the Plan (i.e. groundwater basin boundaries, watershed boundaries, county, State, and international boundaries).
- A description of water supplies and demands for a minimum 20-year planning horizon. Include a discussion of important ecological processes and environmental resources within the regional boundaries and the associated water demands to support environmental needs. This includes a description of the potential effects of climate change on the region as determined from the IRWM Plan vulnerability assessment.
- A descriptive comparison of current and future (or proposed) water quality conditions in the region. Describe any water quality protection and improvement needs or requirements within the area of the Plan. If the IRWM region has areas of nitrate, arsenic, perchlorate, or hexavalent chromium contamination, the Plan must include a description of location, extent, and impacts of the contamination; actions undertaken to address the contamination, and a description of any additional actions needed to address the contamination (Water Code §10541.(e)(14)).
- A description of the social and cultural makeup of the regional community. Identify important cultural or social values. Identify DACs in the management area. Describe economic conditions and important economic trends within the region. Describe efforts to effectively involve and collaborate with Tribal government representatives to better sustain Tribal and regional water and natural resources (if applicable).
- A description of major water-related objectives and conflicts in the defined management region, including clear identification of problems within the region that lead to the development of the objectives, implementation strategies, and implementation projects intended to provide resolution.
- An explanation of how the IRWM regional boundary was determined and why the region is an appropriate area for IRWM planning.
- Identification of neighboring and/or overlapping IRWM efforts (if any) and an explanation of the planned/working relationship that promotes cooperation and coordination between regions.
- For IRWM regions that receive water supplied from the Sacramento-San Joaquin Delta, an explanation of how plan will help reduce dependence on the Sacramento-San Joaquin Delta for water supply. Public Resources Code 29700-29716

3. *Objectives*

The IRWM Plan must clearly present plan objectives and describe the process used to develop the objectives. Plan objectives must address major water-related issues and conflicts of the region. RWMGs must consider the objectives in the appropriate basin plan or plans and strategies to meet applicable water quality standards, Water Code §10541.(e)(2). In addition, objectives must be measurable by some practical means so achievement of objectives can be monitored. The objectives may be prioritized for the region. The IRWM Plan must contain an explanation of the prioritization or reason why the objectives are not prioritized.

The Plan Objectives must address the following climate change adaptations and mitigation requirements:

- Address adapting to changes in the amount, intensity, timing, quality and variability of runoff and recharge.
- Consider the effects of sea level rise (SLR) on water supply conditions and identify suitable adaptation measures.
- Reduce energy consumption, especially the energy embedded in water use, and ultimately reducing GHG emissions.
- Consider, where practical, the strategies adopted by California Air Resources Board (CARB) in its AB 32 Scoping Plan, when evaluating different ways to meet IRWM plan objectives.
- Consider options for carbon sequestration and using renewable energy where such options are integrally tied to supporting IRWM Plan objectives.

4. *Resource Management Strategies*

The IRWM Plan must document the range of RMS considered to meet the IRWM objectives and identify which RMS were incorporated into the IRWM Plan. The effects of climate change on the IRWM region must factor into the consideration of RMS. RMS to be considered must at least include the RMS, listed in Table 2 below and discussed in detail in Volume 3 of the CWP Update 2013; Appendix A provides a link to the CWP Update 2013.

Table 2 – CA Water Plan Update 2013 Resource Management Strategies

Agricultural Water Use Efficiency	Conjunctive Management and Groundwater Storage
Urban Water Use Efficiency	Desalination
Crop Idling for Water Transfers	Precipitation Enhancement
Irrigated Land Retirement	Recycled Municipal Water
Conveyance – Delta	Surface Storage – CALFED
Conveyance – Regional/local	Surface Storage – Regional/local
System Reoperation	Drinking Water Treatment and Distribution
Water Transfers	Groundwater Remediation/Aquifer Remediation
Flood Risk Management	Land Use Planning and Management
Agricultural Lands Stewardship	Matching Quality to Use
Economic Incentives (Loans, Grants and Water Pricing)	Pollution Prevention
Ecosystem Restoration	Salt and Salinity Management
Forest Management	Urban Runoff Management
Recharge Area Protection	Water-Dependent Recreation
Sediment Management*	Watershed Management
Outreach and Engagement*	Water and Culture*

**New resource management strategies for California Water Plan Update 2013*

The IRWM Plan must identify and implement, using vulnerability assessments and tools such as those provided in the Climate Change Handbook, RMS and adaptation strategies that address region-specific climate change impacts, including:

- Demonstrate how the effects of climate change on its region are factored into its RMS.
- Reducing energy consumption, especially the energy embedded in water use, and ultimately reducing GHG emissions.
- An evaluation of RMS and other adaptation strategies and ability of such strategies to eliminate or minimize those vulnerabilities, especially those impacting water infrastructure systems.

5. *Integration*

An IRWM Plan must contain structures and processes that provide opportunities to develop and foster integration.

6. *Project Review Process*

The IRWM Plan must contain a process or processes to select projects for inclusion in the IRWM Plan. The selection process(es) must include the following components:

- Procedures for submitting a project to the RWMG

- Procedures for review of projects considered for inclusion into the IRWM Plan. These procedures must, at a minimum, consider the following factors:
  - How the project contributes to the IRWM Plan objectives
  - How the project is related to resource management strategies selected for use in the IRWM Plan
  - Technical feasibility of the project
  - Specific benefits to DAC water issues, including whether a project helps address critical water supply or water quality needs of a DAC
  - Environmental Justice (EJ) considerations
  - Project costs and financing
  - Economic feasibility, including water quality and water supply benefits and other expected benefits and costs
  - Project status
  - Strategic considerations for IRWM Plan implementation
  - Contribution of the project in adapting to the effects of climate change in the region
  - Contribution of the project in reducing GHG emissions as compared to project alternatives
  - Whether the project proponent has adopted or will adopt the IRWM Plan
  - For IRWM regions that receive water supplied from the Sacramento-San Joaquin Delta, how the project or program will help reduce dependence on the Sacramento-San Joaquin Delta for water supply
- Procedures for displaying the list(s) of selected projects

Review factors must be evaluated for each project and compared for all projects in a systematic manner. The results should be used to promote and prioritize projects in the selection process, while keeping in consideration the unique goals and objectives of the IRWM Region. Review factors must also include the following climate change considerations:

- Include potential effects of Climate Change on the region and consider if adaptations to the water management system are necessary.
- Consider the contribution of the project to adapting to identified system vulnerabilities to climate change effects on the region.
- Consider changes in the amount, intensity, timing, quality and variability of runoff and recharge.
- Consider the effects of SLR on water supply conditions and identify suitable adaptation measures.
- Consider the contribution of the project in reducing GHG emissions as compared to project alternatives
- Consider a project's ability to help the IRWM region reduce GHG emissions as new projects are implemented over the 20-year planning horizon.
- Reduce energy consumption, especially the energy embedded in water use, and ultimately reducing GHG emissions.

7. *Impact and Benefit*

The IRWM Plan must contain a discussion of potential impacts and benefits of Plan implementation. This discussion must include both impacts and benefits within the IRWM Region, between regions, and those directly affecting DAC, EJ related concerns, and Native American Tribal communities.

8. *Plan Performance and Monitoring*

The IRWM Plan shall contain performance measures and monitoring methods to ensure the objectives of the Plan are met. Therefore, the IRWM Plan must describe a method for evaluating and monitoring the RWMG's ability to meet the objectives and implement the projects in the IRWM Plan. The IRWM Plan must contain policies and procedures that promote adaptive management and, projects are implemented conditions change, as more effects of Climate Change manifest, new tools are developed, and new information becomes available, adjust IRWM plans accordingly.

9. *Data Management*

The IRWM Plan must describe the process of data collection, storage, and dissemination to IRWM participants, stakeholders, the public, and the State. Data in this standard may include, but is not limited to technical

information such as designs, feasibility studies, reports, and information gathered for a specific project in any phase of development including the planning, design, construction, operation, and monitoring of a project.

10. *Finance*

The IRWM Plan must include a plan for implementation and financing of identified projects and programs (Water Code §10541.(e)(8)). The IRWM Plan must also identify and explain potential financing for implementation of the IRWM Plan. The financing discussion must, at a minimum, include the following items:

- List known, as well as, possible funding sources, programs, and grant opportunities for the development and ongoing funding of the IRWM Plan.
- List the funding mechanisms, including water enterprise funds, rate structures, and private financing options, for projects that implement the IRWM Plan.
- An explanation of the certainty and longevity of known or potential funding for the IRWM Plan and projects that implement the Plan.
- An explanation of how operation and maintenance (O&M) costs for projects that implement the IRWM Plan would be covered and the certainty of operation and maintenance funding.

11. *Technical Analysis*

The IRWM Plan must document the data and technical analyses that were used in the development of the Plan.

12. *Relation to Local Water Planning*

The IRWM Plan must document the local water planning documents on which it is based including:

- A list of local water plans used in the IRWM Plan.
- A discussion of how the IRWM Plan relates to planning documents and programs established by local agencies.
- A description of the dynamics between the IRWM Plan and local planning documents.
- A description of the consideration and incorporation of water management issues and climate change adaption and mitigation strategies from local plans into the IRWM Plan.

13. *Relation to Local Land Use Planning*

IRWM Plans must contain processes that foster communication between land use managers and RWMGs with the intent of effectively integrating water management and land use planning. IRWM Plans must document:

- Current relationship between local land use planning, regional water issues, and water management objectives.
- Future plans to further a collaborative, proactive relationship between land use planners and water managers.
- Demonstrate information sharing and collaboration with regional land use planning in order to manage multiple water demands throughout the state, adapt water management systems to climate change, and potentially offset climate change impacts to water supply in California.

14. *Stakeholder Involvement*

The IRWM Plan must contain the following items:

- A public process that provides outreach and an opportunity to participate in IRWM Plan development and implementation to the appropriate local agencies and stakeholders (Water Code §10541.(g)), as applicable to the region, including the following:
  - Native American Tribes – It should be noted that Tribes are sovereign nations, and as such coordination with Tribes is on a government-to-government basis.
  - Wholesale and retail water purveyors
  - Wastewater agencies
  - Flood control agencies
  - Municipal and county governments and special districts

- Electrical corporations
- Self-supplied water users
- Environmental stewardship organizations
- Community organizations
- Industry organizations
- State, federal, and regional agencies or universities
- DAC members
- Any other interested group appropriate to the region

- The process used to identify, inform, invite, and involve stakeholder groups in the IRWM process, including mechanisms and processes that have been or will be used to facilitate stakeholder involvement and communication during development and implementation of the IRWM Plan.
- A discussion on how the RWMG will endeavor to involve DACs in the IRWM planning effort.
- A description of the decision making process including IRWM committees, roles, or positions that stakeholders can occupy and how a stakeholder goes about participating in those committees, roles, or positions regardless of their ability to contribute financially to the Plan.
- A discussion regarding how stakeholders are necessary to address the objectives and resource management strategies of the IRWM Plan and are involved or are being invited to be involved in Plan activities.
- A discussion of how collaborative processes will engage a balance of the groups listed above in the IRWM process regardless of their ability to contribute financially to the IRWM Plan's development or implementation.

15. *Coordination*

The IRWM Plan must include:

- Identification of a process to coordinate water management projects and activities of participating local agencies and local stakeholders to avoid conflicts and take advantage of efficiencies (CWC §10541.(e)(13)).
- Identification of other neighboring IRWM efforts and the way cooperation or coordination with these other efforts will be accomplished and a discussion of any ongoing water management conflicts with adjacent IRWM efforts.
- Identification of areas where a State agency or other agencies may be able to assist in communication, cooperation, or implementation of IRWM Plan components, processes, and projects, or where State or federal regulatory decisions are required before implementing the projects.

16. *Climate Change*

The IRWM Plan must address both adaptation to the effects of climate change and mitigation of GHG emissions (Water Code §10541.(e)(10)). Due to the overarching aspects of climate change, adaptation and mitigation must be addressed in various individual IRWM Plan components, along with a general discussion of climate change topic. Table 3 provides an overview of the steps RWMGs should take to address climate change within the relevant individual IRWM Plan standard which work in concert with the Climate Change standard.

Table 3 – Addressing Climate Change Within Existing IRWM Plan Standards	
Climate Change	*Adaptation:* ◆ A discussion of the potential effects of climate change on the IRWM region, including an evaluation of the IRWM region's vulnerabilities to the effects of climate change and potential adaptation responses to those vulnerabilities. At a minimum, the vulnerability evaluation must be equivalent to the vulnerability assessment contained in the *Climate Change Handbook for Regional Water Planning*, Section 4 and Appendix B[1]. ◆ Consider changes in the amount, intensity, timing, quality and variability of runoff and recharge. ◆ Consider the effects of SLR on water supply conditions and identify suitable adaptation measures. ◆ A list of prioritized vulnerabilities which includes a determination regarding the feasibility for the RWMG to address the priority vulnerabilities. ◆ A plan, program, or methodology for further data gathering and analysis of the prioritized vulnerabilities. ◆ Address adapting to changes in the amount, intensity, timing, quality, and variability of runoff and recharge. ◆ Areas of the State that receive water imported from the Sacramento-San Joaquin River Delta, the area within the Delta, and areas served by coastal aquifers must also consider the effects of sea level rise (SLR) on water supply conditions and identify suitable adaptation measures. *Mitigation:* ◆ A process that considers GHG emissions when choosing between project alternatives. At a minimum, that process must determine a project's ability to help the IRWM region reduce GHG emissions as new projects are implemented over a 20-year planning horizon and consider energy efficiency and reduction of GHG emissions when choosing between project alternatives.
Region Description	Describe likely Climate Change impacts on their region as determined from the vulnerability assessment.
Plan Objectives	*Adaptation:* ◆ Address adapting to changes in the amount, intensity, timing, quality and variability of runoff and recharge. ◆ Consider the effects of SLR on water supply conditions and identify suitable adaptation measures. *Mitigation:* ◆ Reducing energy consumption, especially the energy embedded in water use, and ultimately reducing GHG emissions. ◆ In evaluating different ways to meet IRWM plan objectives, where practical, consider the strategies adopted by CARB in its AB 32 Scoping Plan[1]. ◆ Consider options for carbon sequestration and using renewable energy where such options are integrally tied to supporting IRWM Plan objectives.
Resource Management Strategies	Identify and implement, using vulnerability assessments and tools such as those provided in the Climate Change Handbook, RMS and adaptation strategies that address region-specific climate change impacts. ◆ Demonstrate how the effects of climate change on its region are factored into its RMS. ◆ Reducing energy consumption, especially the energy embedded in water use, and ultimately reducing GHG emissions. ◆ An evaluation of RMS and other adaptation strategies and ability of such strategies to eliminate or minimize those vulnerabilities, especially those impacting water infrastructure systems.

Table 3 – Addressing Climate Change Within Existing IRWM Plan Standards	
Project Review Process	*Adaptation:* ◆ Include potential effects of Climate Change on the region and consider if adaptations to the water management system are necessary. ◆ Consider the contribution of the project to adapting to identified system vulnerabilities to climate change effects on the region. ◆ Consider changes in the amount, intensity, timing, quality and variability of runoff and recharge. ◆ Consider the effects of SLR on water supply conditions and identify suitable adaptation measures. *Mitigation:* ◆ Consider the contribution of the project in reducing GHG emissions as compared to project alternatives ◆ Consider a project's ability to help the IRWM region reduce GHG emissions as new projects are implemented over the 20-year planning horizon. ◆ Reducing energy consumption, especially the energy embedded in water use, and ultimately reducing GHG emissions.
Relation to Local Water Planning	Consider and incorporate water management issues and climate change adaptation and mitigation strategies from local plans into the IRWM Plan.
Relation to Local Land Use Planning	Demonstrate information sharing and collaboration with regional land use planning in order to manage multiple water demands throughout the state, adapt water management systems to climate change, and potentially offset climate change impacts to water supply in California.
Plan Performance and Monitoring	Contain policies and procedures that promote adaptive management and, as more effects of Climate Change manifest, new tools are developed, and new information becomes available, adjust IRWM plans accordingly.

1) Links to the above-referenced documents are listed in Volume 1, Appendix A of these guidelines.

III. GUIDANCE FOR IRWM PLAN STANDARDS

Governance

Governance plays an important role in determining how many organizations function. A definition of governance is the processes, structures and organizational traditions that determine how power is exercised, how Native American Tribes and stakeholders have their say, how decisions are taken and how decision-makers are held to account. The intent of the Governance Standard is to ensure that an IRWM Plan has the structures and procedures that maximize functionality, participation in the Plan, and plan longevity.

DWR is not advocating any one governance structure or mechanism; rather it is up to the RWMG to determine what governance structure is best for the region. Existing IRWM Plans have used various governance forms, such as Joint Powers Authorities (JPA), MOU, Resolutions, and Consensus. Some governance structures are housed within a local government agency, which fulfills the coordinating role, while others are driven by committees that are comprised of individuals from multiple agencies or interests. Regardless of the governance structure configuration, participation in IRWM planning does not affect any powers granted to a local agency by any other law (IRWM Planning Act – Water Code §10548). Access to contacts for IRWM Plans to examine a variety of governance models can be found at the following link: http://www.water.ca.gov/irwm/grants/contacts.cfm

Regardless of form, governance should be effective in updating and implementing the IRWM Plan, while safeguarding and supporting collaboration among Native American Tribes and stakeholders. The IRWM Plan must include:

- Group responsible for development of Plan: RWMGs can include, but are not limited to, local public agencies, non-profit organizations, privately owned water utilities regulated by the Public Utilities Commission, Native American Tribes, and other stakeholders that are necessary to develop and implement the IRWM Plan. The description should include a listing of all entities responsible for development of the Plan and discuss their relationship to water management issues in the IRWM Region; in particular, the membership of the RWMG should be listed and those with statutory authority for water management (i.e. water use, water delivery, natural waters, water supply, water quality, flood waters, etc.) identified.

- Public Notice Requirements: A RWMG proposing to prepare or update an IRWM Plan shall publish a notice of intent to prepare the Plan in accordance with §6066 of the Government Code. Upon the completion of the IRWM Plan, the RWMG shall publish a notice of intention to adopt the Plan in accordance with §6066 of the Government Code and shall adopt the Plan in a public meeting of the RWMG governing board (Water Code §10543).
- Plan Adoption: The governing bodies of each agency that is part of the RWMG responsible for the development of the IRWM Plan and have responsibility for implementation of the Plan, including sponsoring projects included in an IRWM Plan must formally adopt the IRWM Plan.
- Description of chosen governance structure: The description should be detailed enough so that any stakeholder in the region understands how to communicate with the RWMG and participate in the Plan. While the mechanism of governance may be formalized in an MOU or JPA, there's more to the governance structure than formal documents. The description should include a discussion of the mechanism of relationship between entities (JPA, MOU, consensus, etc.), but also how the governance structure performs basic activities (see activities section below). This discussion should include listing of committees or groups that have focused activities within the RWMG and the description of how these groups support plan development and implementation. Additionally, describe how the group gathers the information and how the group communicates with other groups or committees. Also necessary is other participatory information, such as how does a person serve on a group or committee and for what duration, or how does the public or stakeholders talk to or interface with a specific group or committee. Regardless of form, governance should be effective in updating and implementing the IRWM Plan, while safe guarding and supporting collaboration among Native American Tribes and stakeholders, and the description of the governance structure should be used to demonstrate how that is accomplished.
- Description of how governance addresses and ensures various activities: A description of how the chosen governance structure addresses the following activities can be incorporated in the description of the chosen governance structure. There also may be additional activities specific to individual IRWM governance structures and IRWM plans are encouraged to include descriptions of those activities in their IRWM plans. The guidance in this section is provided to better explain DWR's concerns about each of the activities contained in the Governance Standard and are described below.
    - Public Involvement Processes –Public involvement processes should be direct to local agencies, Native American Tribes, and stakeholders, as applicable to the region, including all of the following:
    - Wholesale and retail water purveyors, including a local agency, mutual water company, or a water corporation as defined in Section 241 of the Public Utilities Code
    - Wastewater agencies
    - Flood control agencies
    - Municipal and county governments and special districts
    - Electrical corporations, as defined in Section 218 of the Public Utilities Code
    - Native American Tribes that have lands within the region
    - Self-supplied water users, including agricultural, industrial, residential, park districts, school districts, colleges and universities, and others
    - Environmental stewardship organizations, including watershed groups, fishing groups, land conservancies, and environmental groups
    - Community organizations, including landowner organizations, taxpayer groups, and recreational interests
    - Industry organizations representing agriculture, developers, and other industries appropriate to the region
    - State, federal, and regional agencies or universities, with specific responsibilities or knowledge within the region
    - DAC members and representatives, including EJ organizations, neighborhood councils, and social justice organizations
    - Any other interested groups appropriate to the region

- Effective decision-making: Decision-making occurs at different levels. The description of the governance structure should describe how decisions are made at the regional level and how decisions are made within the RWMG. In describing decision-making, consider how information is collected and processed within the governance structure and how a decision is vetted with Native American Tribes and stakeholders in the RWMG.
- Balanced access and opportunity for participation in the IRWM process: Regional planning efforts involve a diverse group of people with differing expertise, perspectives, and authority of various aspects of water management. The IRWM Plan should describe the manner in which the governance structure ensures a balance of interested persons or entities representing different sectors and interests (see Public Involvement Processes, Nos. 1-13, above), and provides them the opportunity to participate, regardless of their ability to contribute financially to the IRWM Plan. Depending on the type of governance structure or mechanism in place, it is possible that a RWMG may need more than one governance type in order to be inclusive of all interested Native American Tribes and stakeholders. For instance, decision making within a JPA might function at the exclusion of non-public agencies. Therefore, it might be necessary to include additional mechanisms, such as MOU's, to reasonably accommodate other entities, such as non-profit organizations, in the decision making of the IRWM processes. In addition, the IRWM Plan should address:
  - Equal distribution of power and voice among Native American Tribes and stakeholders – what structures or procedures are in place that ensure there is an equal playing field for Native American Tribes and stakeholders involved in the plan development and implementation?
  - Equal opportunity and representation of Native American Tribes and stakeholders in multiple roles (leadership, advisory) regardless of economic and power status within the RWMG – what roles are there in the governance structure and how does someone occupy that role? How does the governance structure invite participation in the workings of the RWMG?
  - Terms of service for positions within the structure – what kind of time commitment do these positions require and how often do they turn over.
- Effective communication – both internal and external to the IRWM Region: Essential and inherent in any organization is the need to communicate. In many collaborative efforts, great importance may be placed on being heard and valued in the process. Some communication efforts, such as websites, e-mails, or other distributed materials, may be one-way and not necessarily require an interactive discussion. However, some portion of the communication should be two-way. How does the governance structure foster communication with the different functional groups within the RWMG, with project proponents, with Native American Tribes, with general stakeholders, with neighboring RWMGs, government agencies, and the general public? Each of those groups may require different intensities or types of communication. What mechanisms are available to accommodate adequate two-way communication?
- Long-term implementation of IRWM Plan: IRWM Plans are long-term planning documents. The description of region standard refers to a 20-year planning horizon. How does the governance structure help ensure implementation of the plan in the long-term?
- Coordination with neighboring IRWM efforts, State agencies, and federal agencies: How does the governance structure ensure coordination with neighboring RWMGs, State agencies, and federal agencies? Does the governance structure contain appropriate region-wide roles for such entities? Do the appropriate regulatory and resource agencies have advisory roles?
- The collaborative process(es) used to establish Plan objectives: Does the governance structure show that a collaborative process was used for the development of IRWM Plan objectives? The groups that were involved in the process? In addition, how the final decision was made and accepted by the RWMG?
- Interim changes and formal changes to the Plan: This may include informal changes that reflect minor process, organizational, or water management changes that occur relatively frequently and do not necessitate a decision by the governing bodies of the RWMG. Formal changes may include those which reflect significant changes to processes, organizational structure, water management conditions, or routine periodic programmatic updates of the IRWM Plan. How does the governance structure ensure the Plan is

formally updated periodically and how are changes to the Plan identified and made interim to the formal update period?

- Updating or amending the IRWM Plan: Does the IRWM Plan indicate the process used to informally and formally update or amend the Plan? What changes to the Plan would require it to be readopted. What is the frequency to formally amend and readopt the Plan? DWR encourages use of adaptive management processes to ensure that the IRWM Plan and associated objectives are current. Formal updates to the Plan may be resource and time intensive processes, but are necessary to ensure that the IRWM Plan is not a static document and that the Plan continues to be accepted by the RWMG and those entities necessary to implement the Plan. Therefore, DWR encourages IRWM planning efforts to formally review, revise, and adopt the IRWM Plan, at a frequency of no less than every five years. In the Governance section, indicate if this information is contained in another part of the Plan, such as in the Project Performance section.

Region Description

Each RWMG has the responsibility of defining its own IRWM region. The intent of the Region Description Standard is to document that the IRWM planning region is defined by the combination of the water systems being managed; common water issues; and that there is sufficient variety of interested parties included in the planning region. The region description contained in the IRWM Plan should closely follow the information required in the RAP whereby DWR accepts IRWM regions into the grant program. IRWM Plans are a form of resource planning so describing the region focuses on the resource being managed.

- Description of Watersheds/Water Systems: Consideration of watershed areas should be taken to describe all aspects of the system that are being managed include a description of the natural and anthropogenic components of the region's water system.

Watersheds are often at the level suitable for regional planning efforts. Some RWMGs manage multiple watersheds based on the similarity of water management issues. Conversely, some RWMGs separate the lower and upper watersheds (each belonging to a different IRWM region) because water management issues in each area are different. Another advantage of using a watershed as a possible management unit is that there are often existing watershed planning efforts that can provide information or data on the watershed and that have existing relationships with Native American Tribes and stakeholder groups operating in the watershed.

In describing the watersheds in the region, explain the characteristics of the watershed, including hydrology, groundwater, vegetation, fisheries, species and habitats of special concern, and management issues like invasive species. IRWM regions may want to utilize existing local plans that already have these characteristics described comprehensively. IRWM regions also should describe effects climate change may have on their watersheds, in addition to water supply and demand. Additional resources can be found at the link in Volume 1, Appendix A.

Sometimes, water is moved and used outside watersheds' natural courses. There are many areas of the state that import water or have other infrastructure in addition to the natural watershed(s) in their regions. These systems are also part of the water system to be described in IRWM plans.

There are multiple types of water systems. The RWMG should consider more than just the water supply entry point to the IRWM region and the water supply system. The description should include water system infrastructure and diversions. In addition to water supply systems, there also may be wastewater, reclaimed water, desalination, floodwater, and natural water systems (surface water and groundwater). All these separate systems should be looked at collectively as part of the water system being managed as they often are interconnected.

- Description of Internal Boundaries: Describe and show on a map all the internal boundaries within the region. These internal boundaries should include the boundaries of municipalities; service areas of individual water, wastewater, flood control districts, and land use agencies; groundwater basins; watersheds; and county or other political boundaries. For land use agencies, make sure to include their boundaries even if they are not part of the RWMG, as it is important to know the agencies in the IRWM boundary that develop land use plans.
- Water Supply and Demand: Describe the water supply and demand projections for at least a 20-year planning horizon. Demand projections should include effects on demand by projected growth, projected

land use changes, and environmental need for water. In estimating the water supply for the planning horizon, consider how that supply might change with factors, such as climate change. Typically, a water supply projection might be based on past water years. Using climate change as a factor, it may no longer be adequate to simply rely on historical water years when projecting future supply. For this reason, describe what the prevailing climate change impact means to the future water supply and demand within the region. The Climate Change Standard has a detailed discussion on this matter and provides DWR's guidance on this topic.

- To the extent possible, supply and demand projections should be expressed quantitatively. However, there is value in qualitative aspects of supply and demand projections so if available tools are not adequate to quantify all the future effects on supply and demand, quantify what can be, and also include qualitative descriptions for aspects that cannot be quantified.
- Water Quality: Describe the current and future (or proposed) water quality conditions in the region. Describe any protection and improvement of water quality within the area of the IRWM Plan. For current conditions include a discussion on the quality of the following water sources: groundwater, surface water, imported water, and water from storage facilities, both within and outside the region. Describe any Basin Plans, Watershed Management Initiatives, and the water quality goals and objectives for watersheds in the region. See Appendix A for links to the RWQCB websites. Describe any projects or examples within your region of matching water quality to water use.
- Description of Major Water-Related Objectives and Conflicts: These items should be based on the parts of the description that have been previously mentioned. The description should clearly identify problems within the region that lead to the development of the objectives, implementation strategies, and implementation projects intended to provide resolution. The focus of the collaborative integrated regional planning and management effort should be a shared vision of regional goals and objectives, rather than being driven by existing projects.
- Explanation of Regional IRWM Boundary: There are no size criteria that are mandated for an IRWM region. With the information determined from the aforementioned guidance items topics, the RWMG should generate enough information to formulate the regional boundaries focused more on water system, management of that system, and on common water management issues rather than using a political jurisdiction boundary.
- Identification of Neighboring or Overlapping IRWM Regions (if any): Knowledge of and coordination with neighboring IRWM regions can help RWMGs define their region. Understanding these adjacent or overlapping regions may help confirm regional boundaries, indicate that multiple separate regions can function as one region instead of independently, and help identify inter-regional opportunities. Or, it may point to water management issues not yet considered. The description should explain the cooperation and coordination that occurs to foster a working relationship evidenced by establishing a reasonable and effective governance structure for developing and implementing its IRWM Plan.

Objectives

The intent of the Objectives Standard is to ensure IRWM regions establish the intent of their IRWM Plan. Clear objectives will demonstrate to the public which regional conflicts and water management issues the IRWM Plan is designed to address.

Determining Objectives

Determining IRWM Plan objectives is the foundation of the planning process. Based on the Plan objectives, applicable RMS and implementation projects will be determined. Solid, regionally relevant objectives give focus to the IRWM Plan and are essential for successful plan implementation. Objectives may be determined once the character of the IRWM region (geography and Tribal land(s), stakeholder makeup, water management issues, conflicts, etc.) is identified. Keep in mind that all objectives should be precise enough to be measurable.

In developing IRWM Plan objectives, RWMGs should consider overarching goals that apply to their area. These include but are not limited to the following: Basin Plan objectives, the recommendations from CWP Update 2015,

statewide water efficiency goals, the requirement of the IRWM Planning Act, and SGMA. RWMGs should ensure that Plan objectives are consistent with such overarching goals as they apply to specific regions.

California set a goal of a 20% reduction in per capita water use by the year 2020 (20x2020). Water Code §10608 *et seq.* presents the provisions to improve agricultural water use efficiency.

Water Code §10540.(c) states that, at a minimum, all IRWM Plans shall address all of the following:

- Protection and improvement of water supply reliability, including identification of feasible agricultural and urban water use efficiency strategies.
- Identification and consideration of the drinking water quality of communities within the area of the Plan.
- Protection and improvement of water quality within the area of the Plan consistent with relevant basin plan.
- Identification of any significant threats to groundwater resources from overdrafting.
- Protection, restoration, and improvement of stewardship of aquatic, riparian, and watershed resources within the region.
- Protection of groundwater resources from contamination.
- Identification and consideration of water-related needs of disadvantaged communities in the area within the boundaries of the Plan.

Although these items do not necessarily have to be included in the objectives, IRWM planning efforts should consider these points as they modify or develop Plan objectives.

Describing the Process

It is important to illustrate the collaborative process and tools used to establish objectives. This reinforces the regional relevance of the IRWM Plan and will prevent readers of the Plan from concluding the objectives were arbitrarily assigned. The discussion does not have to be lengthy and may be as simple as referring to relevant sections of the governance text, if applicable. The text should give the reader a clear understanding of:

- How the objectives were developed
- What information was considered (i.e., water management or local land use plans, etc.)
- What groups were involved in the process
- How the final decision was made and accepted by the IRWM effort

Measuring Objectives

IRWM Plans are implemented through projects, relevant to measuring objectives; it implies that metrics should apply to projects which in turn relate back to Plan objectives. Objectives can be measured quantitatively or qualitatively.

Neither quantitative nor qualitative metrics are considered inherently better. What is vital is the chosen metric be the most appropriate for the given objective. For example, an IRWM effort may have a general objective of restoring ecological function to a local wetland. Depending on the region's available resources for measuring this objective, it may be easier to express the objective quantitatively or qualitatively:

Example 1

Objective	Qualitative Measurement	Quantitative Measurement
Restore ecologic function to a local wetland	Presence/absence of key wetland species	Number of acres restored to wetland conditions

In this case meeting the objective can be expressed either qualitatively, with the presence of wetland species indicating restored ecologic function; or quantitatively, with ecological function measured as acres restored. Both measurements could be appropriate. For some objectives, only one method may be appropriate.

Example 2

Objective	Qualitative Measurement	Quantitative Measurement
Increase water supply reliability	N/A	Acre-feet of water saved per year

In Example 2, a qualitative measurement will not provide the detail required to measure the increase in water supply reliability. A quantitative measurement is the most appropriate.

Example 3

Objective	Qualitative Measurement	Quantitative Measurement
Improve communication between RWMG and Native American Tribes.	Positive participation at public meetings; increased correspondence	N/A

In Example 3, a qualitative assessment is the most appropriate. Quantifying improved communication may not be practical for determining if the objective has been met.

A quantitative measurement could be constructed, such as counting the number of positive and negative comments at public meetings, or sending surveys to stakeholders to collect data, but these methods will not give much more insight than the qualitative expression. They will, however, require more effort and time from the RWMG to measure them.

Prioritizing Plan Objectives

Objectives, RMS selection, and Implementation Projects are all linked. To meet plan objectives, certain RMS may be used and specific projects may be implemented. Therefore, prioritizing objectives may help with prioritizing RMS and project implementation.

There is no required framework for prioritizing objectives. It is not necessary to establish a specific numerical priority. A RWMG may use the prioritization tools they perceive to best meet their planning needs such as the following:

- Tiered or grouped together as one priority for implementation
- Grouped as short-term and long-term priorities for implementation
- Grouped as spatial or temporal priorities for implementation, for example:
  - Reducing upstream erosion may be more important to address before addressing downstream sedimentation
  - Conducting surveys during appropriate seasons

Flexible priorities are fundamental to any adaptive management plan, such as an IRWM Plan. Priorities may change depending on a change in regulations, shift in regional water uses, or the fulfillment of a plan objective. Prioritizing the objectives can help guide the course of adaptive management. However, if a RWMG chooses not to prioritize plan objectives, the basis for this decision should be clearly stated in the IRWM Plan.

Objectives, Goals, and the Planning Hierarchy

The terms "goals" and "objectives" may have been used by some RWMGs interchangeably. RWMGs may choose to use goals as an additional layer for organizing and prioritizing objectives, or they may choose to not use the term at all. It may be reasonable for some RWMGs to organize numerous objectives under one larger, more general objective or goal. Alternatively, the complexity of water management issues in some regions may require sub-objectives for better organization.

Whichever nomenclature a RWMG uses for describing objectives, the organization and the significance of the terms should be clearly explained and remain consistent throughout the Plan.

Resource Management Strategies

The intent of the RMS Standard is to encourage diversification of water management approaches as a way to mitigate for uncertain future circumstances and complies with Water Code §10541.(e)(1). An RMS, as defined in the CWP Update 2013, is a technique, program, or policy that helps local agencies and governments manage their water and related resources.

The discussion in this section focuses on RMS as separate topics. In reality, the various RMS are often connected to one another, as well as to other activities such as land use planning. The operating assumption in this section is to intentionally find ways to diversify a water management portfolio. Also, considering differing RMS individually is

helpful. Other IRWM Plan standards, such as Integration, address the relationships and synergies that can be gained by combining RMS. The CWP Update 2013 also provides a detailed discussion of each individual RMS, so RWMGs may wish to use the CWP as an information source to assist them in evaluating the various RMS. See Volume I, Appendix A for a link to the CWP Update 2013.

Documenting the Process

Considering RMS should be done from the perspective of maximizing the diversity of strategies versus relying on a single strategy. "Considering a RMS" means to review a strategy and to decide how applicable it is in meeting the IRWM Plan objectives. The review and decision processes should be performed according to the RWMG's chosen governance. For each strategy considered, the IRWM Plan should document the reasoning behind the decision. This can be stated briefly, for example, if the IRWM region does not have brackish or saline waters then desalination as a strategy for increasing water supply is not applicable. From the IRWM Plan perspective what is important is:

- The IRWM Plan documents the process used to consider RMS
- What RMS were considered which, at a minimum, include all of the RMS listed in Table 2
- Which RMS of those considered will be implemented to achieve the objectives of the IRWM Plan

Whatever process (i.e., technical advisory input, Native American Tribal input, stakeholder input, etc.) is used to consider RMS, the value is in creating an intentional opportunity to diversify the RWMG's water management portfolio.

RWMGs should note that in an IRWM Plan the Regional Description, Plan Objectives, and Governance Sections should support and be consistent with the decisions being made in the RMS section.

Integration

The intent of the Integration Standard is to ensure that RWMGs intentionally create a system where integration can occur. IRWM plans will likely not have a separate integration section. The standard and guidance are meant to draw particular attention to this aspect of IRWM planning. In general terms, integration is combining separate pieces into an efficiently functioning unit. Integration may occur on many levels. Here we discuss three types of integration – stakeholder/institutional, resource, and project implementation. The processes, structures, and procedures that foster integration will show up in other plan sections (i.e., governance, stakeholder outreach, data management, project review or selection). The development and implementation of the IRWM Plan should demonstrate the RWMG is forming, coordinating, and integrating separate efforts in order to function as a unified effort.

Stakeholder/Institutional Integration

Water Code §10541.(h)(2) refers to ensuring that IRWM plans are developed collaboratively in a manner which balances interests and engages a variety of stakeholders regardless of their ability to contribute financially. Structures and processes that can be used to strike such a balance should be found in the governance, cooperation, and stakeholder involvement portions of the IRWM Plan. Water Code §10541.(g) provides examples of the breadth of stakeholders than can be included in an IRWM planning effort.

Resource Integration

Resource integration can have multiple meanings. It can refer to the combining of multiple participant/agency resources to aid the regional planning effort. This can include how data are shared, common protocols to ensure data compatibility, sharing of differing expertise or technical capacity to aid the IRWM planning effort. Therefore, processes and procedures that foster combining information, expertise, knowledge or help leverage other resources of the Native American Tribes and stakeholders involved in the IRWM planning effort should be contained in the IRWM Plan. These may be documented in the governance structure; may be part of internal agreements between participants; may be found in data collection protocols or the data management section of the IRWM Plan. Resource integration can also mean considering the man-made and natural water resource infrastructure in the IRWM planning region; and how both aid in water management in the region. This may mean that watershed health as well as drinking water distribution systems are components of the water system being

managed in the IRWM planning effort. IRWM regions should consider how water enters and leaves their IRWM region when defining IRWM boundaries.

PROJECT IMPLEMENTATION INTEGRATION

IRWM planning decisions can lead to existing or "off the shelf" projects being combined or replaced by new and/or different projects. Part of the advantage of regional planning is addressing similar objectives of local interests with a regional project. Resources of personnel, finance, and equipment to implement multiple smaller efforts may benefit from economy of scale when similar local interests can be met with a regional project. IRWM plans should contain provisions for reviewing project objectives and considering new, expanded, or even different solutions that meet multiple local needs. The planning decisions made in the IRWM Plan should consider integrating the needs of the region and not just the needs of specific entities in the RWMG.

Project Review Process

The intent of the Project Review Process Standard is to ensure the process used for submitting, reviewing, and selecting projects is documented and understandable to the region's stakeholders and public. The standard is intended to produce a list of prioritized implementation projects sufficiently developed and demonstrating appropriate need that can be funded through the IRWM Grant Program or other funding opportunities.

The review process may be a collection of different processes or a single procedure, whichever fits the IRWM region best. How each factor is applied in the process is up to each RWMG to decide.

It is essential to demonstrate a well thought-out process in the IRWM Plan for decision-making and data management roles within the RWMG. Will a subcommittee be responsible for approving the project list? Will each of the projects be reviewed individually for accuracy if they are sorted automatically in a database? Through what mechanism will Native American Tribes and stakeholders provide input during the submittal, review, selection process to develop the project list? How and when is the list updated and does it require re-adoption of the Plan? The projects included in the IRWM Plan are the projects that will implement the Plan and achieve the Plan objectives. The projects should represent priorities of the planning effort and represent a wise investment for State grant funding. Hence, the process should not be designed to only select based on readiness to proceed.

PROCESS COMPONENTS

(1) Procedures for submitting a project for inclusion in the IRWM Plan

Documenting the project submittal procedures in the IRWM Plan will allow the RWMG and stakeholders to understand and use the process. Some RWMGs continually accept projects for consideration while others may have specific periods of project submission. Project submittal procedures typically require standardized information so each project submits the necessary information for the review process.

Submittal processes should balance efficiency with accessibility. It is acceptable to use web based submittal tools to aid submission and management of information; however, if there are project proponents that do not have access to such tools, projects of value may be excluded. In such cases, having an alternate submittal process may provide needed access.

Submittal processes should also specify what information is required to be submitted. Typically, we talk about projects as pieces that implement a plan. Should only projects at a certain stage be submitted? Are concepts, ideas, or needs for projects or programs allowed for submission? Remember that the product of the process is actions that will implement the IRWM Plan. Therefore, it may be wise to accept project concepts or ideas, as long as there is a process in place to take these concepts and ideas to fully developed implementation projects.

(2) Procedures for review of projects considered for inclusion into the IRWM Plan

The standard requires that certain review factors be used in the project review process. The review factors listed in this standard speak to important points to consider in the project review process. Review factors are further explained in text below. RWMGs can use the factors in any part of the process they create and they may add various weights to factors within their process to tailor the process to their specific regional needs.

In developing a project review process, RWMGs are cautioned that the project review process contained in the IRWM Plan should not contain any specific grant program related selection criteria. The purpose of identifying projects in the IRWM Plan is to understand the needed action to meet the IRWM Plan objective. Projects should not be prioritized based on any specific grant program. It can be helpful to think of the project selection process as having, at least, two phases:

- Identify projects that will be necessary to implement the IRWM Plan and
- Identify projects that may qualify for a specific funding source.

The RWMG may apply grant criteria when moving from the overall list of projects in the IRWM Plan to a specific grant proposal.

RWMGs are not limited to these review factors but they should use, at a minimum, the factors listed below.

REVIEW FACTORS

The following is a discussion of the factors that a project review process should employ when considering projects for inclusion in the IRWM Plan:

A. How the project contributes to the IRWM Plan objectives

This factor asks RWMG to consider how a project relates to achieving plan objectives. As discussed in the plan standard on objectives, it is important to be able to measure how an objective is being met through projects.

B. How the project is related to resource management strategies

The IRWM Plan identifies RMS selected for use in the Plan with the goal of diversifying the water management portfolio used to meet plan objectives. Does the proposed project contribute to the diversification of the water management portfolio? If so how? If it does, that should be seen as a positive aspect of the project. If not, the project may still aid in obtaining the plan objectives; however, depending on specific circumstances of the region, a project that contributes to the diversification of the water management portfolio may be more valuable than one that does not.

C. Technical feasibility of the project

The RWMG should consider the technical feasibility of the projects. Technical feasibility is related to the knowledge of the project location; knowledge of the water system at the project location; or with the material, methods, or processes proposed to be employed in the project. Is there enough known about the geologic conditions, hydrology, ecology, or other aspect of the system where the project is located? Are there data gaps that require additional studies to develop the project? In examining the methods, materials, or equipment used in the project, are there sufficient technical data to indicate the methods and systems employed in the project will result in a successful outcome? Success of a project is the realization of claimed benefit. For example, if a project is claiming a certain amount of recharge to the aquifer, is there enough known about the hydrogeologic characteristics to support the project claim of the quantity of recharge, and is the proposed method of recharge supported by technical data that indicate those methods will be successful?

D. Specific benefits to critical DAC water issues

Water Code §10540.(c)(7) states that identification and consideration of water-related needs of DACs in the area within the boundaries of a region is among the basic items an IRWM Plan must address. DAC projects may include work that leads to a formal project such as a needs assessment, initial engineering work (design or study) to define a project, or feasibility studies that may lead to a project. Projects that specifically address such needs should be promoted in the project selection process. See Volume 1, Appendix E for additional information regarding DACs.

E. Specific benefits to critical water issues for Native American Tribal communities

The project review process should consider if the project helps to address critical water supply and water quality needs of Native American Tribal communities within the IRWM region. Such projects may include work that leads to a formal project such as a needs assessment, initial engineering work (design or study) to define a project, or feasibility studies that may lead to a project. Projects that specifically address such needs should be promoted in the project selection process.

F. Environmental Justice Considerations

As IRWM plans contain multiple projects that will affect stakeholders in the region, the project review process should include consideration of EJ concerns. EJ seeks to redress inequitable distribution of environmental burdens (i.e. pollution, industrial facilities) and access to environmental goods (i.e. clean water and air, parks, recreation, nutritious foods, etc.). EJ relies on willing awareness of impacts by project proponents and participation in decision making by affected stakeholders. In terms of an IRWM effort, the engagement and participation of stakeholders including DACs in the decision making process can be a proactive step in understanding project impacts that can become EJ concerns. In the project review process, a project that has not been examined for EJ concerns, or a project that is discovered to have EJ concerns, should not be instantly dismissed from consideration. However, addressing the lack of EJ assessment or modifying the project to mitigate EJ concerns may allow the project to move forward.

G. Project Costs and Financing

Project costs should be considered during the project review process. The basis for the project costs should be documented in the IRWM Plan. For example, a sewage treatment plant upgrade is based on a conceptual idea, feasibility study, partial design, etc. If a cost estimate has been prepared for the project, a link to that estimate should be included in the IRWM Plan. Discuss the funding sources for the project. Is it with a State grant funded program, through regional assessments, or another funding method?

H. Economic Feasibility

As part of the project review process, the economic feasibility of a project should be considered. DWR's "Economic Analysis Guidebook" (Guidebook), published in January 2008, outlines methods for economic analysis for water resources planning and can be downloaded from the link found in Volume 1, Appendix A.

A preliminary economic analysis should be included as part of the criteria in the project selection process based upon an original assessment of the proposed project or studies conducted within the past five years and updated to most current data available. Either a cost-effectiveness or benefit-cost analysis may be used for the preliminary assessment depending on the nature of the project. Both of these methods are outlined in Chapter 3 of the Guidebook. For example, a cost-effectiveness analysis may be preferable for habitat restoration projects for which it is difficult to assign monetary benefits. The chosen method of analysis should include the types of benefits and types of costs including capital costs, O&M costs, and potential adverse effects to others from the project, described in the Guidebook (See Guidebook pages 14 and 22).

I. Project Status

In reviewing projects for prioritization in the IRWM Plan, the RWMG should consider the status of the project. Project status is equivalent to readiness to proceed. Readiness to proceed or project status is not necessarily a reason for project exclusion from an IRWM Plan. As the planning horizon for an IRWM Plan is 20-years or more, even a conceptual project should be considered as it may be projected to have benefits that would be worth realizing by developing the project or by leading towards an alternate, integrated, or modified project.

Project status may have to be reconsidered as implementation projects are matched with sources of funding. Funding sources may want projects completed within certain time limits. However, it is also true that some funding sources may cover some developmental phase of a project. RWMGs are encouraged to understand conditions of the specific funding sources they use so they can select programs, projects, or project components most appropriate for a specific funding source.

J. Strategic considerations for IRWM Plan implementation

One of the advantages of IRWM planning is to use the regional perspective to leverage any efficiency that might be gained by combining or modifying local projects into regional projects. In reviewing projects for inclusion in the IRWM Plan, the RWMG should consider a project's merit in light of strategic aspects of plan implementation such as:

- Purposefully restructuring or integrating projects
- Purposefully implementing a project as is
- Purposefully meeting project goals with an alternative project/modified project

- Plan objective priorities
- Purposefully implementing regional projects
- Purposefully implementing projects with multi-benefits

Often times, an IRWM Plan in early development stages may focus on just getting project solicitations implemented and producing a project list. RWMGs are encouraged to go further and take a look at strategic considerations as there may be benefit for multiple stakeholders. This factor acknowledges that there may be benefit in integrating local projects or project goals in developing regional projects. There is also value in examining projects for potential integration efforts and then deciding that a project is best implemented as submitted to achieve plan implementation. DWR expects RWMGs to take advantage of regional planning and integrating projects where possible, and explaining when a single purpose project should be implemented in order to best implement an IRWM Plan.

K. Contribution of the project in adapting to the effects of climate change

The standard on climate change contains more specific instructions assessing effects of climate change and adaptation to that change.

L. Contribution of the project in reducing GHG emissions as compared to project alternatives

Considerations include energy efficiency and reduction of GHG emissions when choosing between project alternatives. See the guidance on Climate Change below, for more discussion on this topic.

M. Plan Adoption

The project review process should consider whether the project proponent has adopted or will adopt the IRWM Plan.

N. Reduce Reliance on the Delta

In reviewing projects for prioritization in the IRWM Plan, the RWMG should consider how the project or program will help reduce dependence on the Sacramento-San Joaquin Delta for water supply for IRWM regions that receive water supplied from the Sacramento-San Joaquin Delta.

(3) Procedure for communicating the list(s) of selected projects

The project lists may be quite extensive or change over time. In such cases, it is acceptable for an IRWM Plan to contain a hyperlink or URL to where the list(s) can be viewed. The IRWM Plan should demonstrate that the selection process has been conducted and there are identified projects that will implement the IRWM Plan.

Impacts and Benefits

The intent of this standard is to document potential impacts and benefits of implementation of the IRWM Plan and to clearly communicate those impacts and benefits to Native American Tribes and stakeholders. The IRWM Plan should contain, at least, a screening level discussion of the potential impacts and benefits of plan implementation. The screening level analysis should help any reader of the IRWM Plan begin to understand the potential impacts and benefits of implementing the IRWM Plan. This means the benefit/impact analysis does not have to be extensive or exhaustive.

In the development of an IRWM Plan, it is likely that participants understand the potential benefits to be gained by implementing a regional plan and some of the impacts that may occur. One assumption regarding this standard is that extensive impact and benefit analyses usually occur closer to project implementation than plan development. The list of implementation projects may change as the IRWM planning effort matures; consequently, it may be difficult if not impractical to provide an extensive analysis of impacts and benefits within the IRWM Plan.

The impact and benefit analysis in the IRWM Plan should also serve as a benchmark as the Plan is implemented and Plan performance is evaluated; that is, have the potential benefits been realized or have unanticipated impacts occurred? Since a simplified impact and benefit analysis is included in the IRWM Plan, the Plan should clearly state when more detailed project-specific impact and benefit analyses will occur and that the more detailed analysis will occur prior to any implementation activity.

Many IRWM Plans present and discuss tables of the potential impacts and benefits of Plan implementation. Often times the building blocks of this information are the potential impacts and benefits anticipated from implementing projects. RWMGs may want to organize potential impacts and benefits to emphasize different aspects of their Plan, such as regional benefits, local benefits, by resource management strategy, or objective.

In presenting impacts and benefits information in an IRWM Plan, RWMGs should consider using tables to convey the potential impacts and benefits in an organized, understandable fashion. Table 4 provides an example that shows impacts and benefits specific to the IRWM Plan:

Table 4 – Impacts and Benefits Example

	Within IRWM Region		Inter-regional	
Program	Potential Impacts	Potential Benefits	Potential Impacts	Potential Benefits
Water Supply Enhancement				
Water Quality Improvement				
Groundwater Improvements				
Water Conservation and Reuse				
Watershed Rehabilitation				
Habitat Improvement				
Flood Management				
DAC and EJ Concerns				
Native American Tribal communities				

NOTE: Level of impacts or benefits can be discussed as primary and secondary, by qualitative indicators, using monetary values, or other methods to show relative degree of impact or benefit.

In the example above, RMS, project types, objectives, or other similar categories that are named in the IRWM Plan could be used to replace "Program." IRWM Plans have various approaches on how to discuss impacts and benefits. These updates should reflect changes to the Impacts and Benefits section from any data gathered, and any changes to the implementation projects listed in the IRWM Plan.

The following text provides examples of impacts and benefits for the programs used in the example table above.

Water Supply Enhancement

A program to increase water supply may include projects, such as:

- Rehabilitation of diversion structures
- Water supply pipelines and water systems
- Additional water system tie-ins/interconnections
- Construction of groundwater treatment and extraction facilities
- Conjunctive water management
- Aquifer storage and recovery
- New or upgrades to existing reservoirs
- Water storage facilities
- Production well construction

Possible impacts may include reduced in-stream flow, water quality degradation, habitat removal, species removal, flooding, loss of farmland, and construction related impacts. Some of the proposed projects may have impacts on communities, including DACs. If so, these impacts should be discussed. If there are any EJ impacts, they should be addressed as well. Water supply benefits may be characterized as increased water supply or range in water supply (i.e. acre-feet per year). Other anticipated benefits, such as improved water quality, increased recreational opportunities, decreased reliance on imported water, reduced groundwater overdraft, creation of wetlands and riparian habitat, and decreased operational costs.

Water Quality Improvement

A program to improve water quality may include projects, such as:

- Building or upgrading wastewater treatment plants/technology
- Conversion of septic tanks to a sewer system
- Construction of new and updating collection, sewer, and interceptor sewer facilities
- Capture and treatment of stormwater/urban runoff, including the construction of rain gardens
- Construction of wetlands for water quality treatment
- Contaminant removal
- Salinity management

Possible impacts may include construction related impacts including short-term, site-specific impacts related to site grading and construction, and long-term impacts associated with project operation. Construction-related impacts may include: traffic, noise, biological resources, water quality, public services and utilities, cultural resources, and aesthetics. Other impacts may include surface water and ocean habitat loss from new outflow locations, and waste discharge issues associated with brine management and brine disposal. Possible benefits from improved water quality projects may include increased water supply, improved aquatic and wetland species habitat and populations, increased cropland production, creation of wetlands and riparian habitat, improved recreation opportunities, and decreased treatment costs.

Groundwater Improvements

Groundwater improvement programs may include projects to:

- Enhance conjunctive management and groundwater storage
- Capture and recharge Stormwater/Urban Runoff
- Install groundwater recovery wells
- Construct new and/or rehabilitate surface water recharge spreading grounds
- Perform aquifer storage and recovery
- Improve groundwater monitoring
- Conduct hydrogeologic investigations
- Model groundwater
- Protect recharge area

Possible impacts may include construction related effects, changes in water quality, increased contaminant transport, increased pumping, and in-stream flow reduction. Possible benefits may include improved flood protection, decreased reliance on imported water, reduced surface water use, reduced pumping costs, and decreased or prevention of groundwater overdraft.

Water Conservation and Reuse

Water conservation and reuse programs may include projects to:

- Upgrade wastewater treatment facilities to recycle water
- Landowner and homeowner incentive programs, such as rebate programs
- Improve agricultural drainage water reuse or management
- Construct recycled water systems and pipelines
- Improve urban landscape water use efficiency

Possible impacts may include construction related effects, loss of drainage flow to downstream water users, in-stream flow loss, groundwater and surface water quality effects associated with recycled water use, and reduced groundwater recharge. Benefits could be increased water saving, efficient reuse of wastewater, costs savings from reduced purchases of imported water, and saving construction of water storage facilities, and increased nutrient levels for plant and crop use from use of reclaimed wastewater.

Watershed Rehabilitation

A watershed rehabilitation program may include projects to:

- Decommission abandoned roads
- Enhance unimproved and county road systems for erosion control
- Restore sloughs and/or wetlands
- Manage Stormwater/Urban Runoff
- Conduct channel and riparian restoration and upland source control
- Conduct stream stabilization and other sediment load reduction projects
- Implement BMPs, including forestry BMPs
- Reduce non-point source pollution

Possible impacts could be introduction of non-native plants for erosion control and temporary increased turbidity in streams due to construction or related activities, including revegetation and forest regeneration activities and prescribed fires (to reduce undesirable trees and vegetation, etc.). Benefits may include long-term sediment reduction and temperature improvements, reduced surface water nutrient and bacteria concentrations (improved water supply quality), improved fish and wildlife habitat and passage, and enhanced public safety and recreational opportunities.

HABITAT IMPROVEMENT

A habitat improvement program may include projects to:

- Augment stream flows
- Preserve existing habitat
- Remove invasive, non-native species
- Restore wetlands and upland habitat
- Protect ecological reserves

Possible impacts could include short-term, site-specific impacts related to site grading and construction, loss of agricultural land protection and urban uses and associate local revenue. Benefits may be reduced surface water nutrient and bacteria concentrations (improved water supply quality), enhanced fish habitat, increased opportunities for recreational hunting and viewing, increased numbers of native species, reduced flood risks, and education opportunities.

FLOOD MANAGEMENT

Flood management programs may include projects to:

- Improve levee systems (i.e. floodwalls, raising levee heights, setback levees, etc.)
- Preserve floodplains
- Development drainage master plans
- Remove invasive species from stream channels to improve surface flow
- Improve stormwater collection, diversion, or capture
- Improve infrastructure, including weir upgrades

Impacts may include short-term, site-specific impacts related to construction, land use restrictions, development moratoriums (with potential economic effects), and loss of riparian and/or wetland acreage. Benefits could include increased aquifer recharge, runoff reduction, improved surface water quality, natural resources preservation and restoration, reduced risk to life and property, and decreased flood insurance costs.

Plan Performance and Monitoring

The intent of the Plan Performance and Monitoring Standard is to ensure:

- The RWMG is efficiently making progress towards meeting the objectives in the IRWM Plan.
- The RWMG is implementing projects listed in the IRWM Plan.
- Each project in the IRWM Plan is monitored to comply with all applicable rules, laws, and permit requirements.

Monitoring performance should be closely related to the implementation of projects. This discussion is written assuming the details of projects will be identified during planning, design, plans and specifications stages of

development. Details related to implementation of specific projects in the IRWM Plan are not necessary. To guide the RWMG in implementing IRWM projects, the IRWM Plan should:

- Contain an explanation of whom or what group within the RWMG will be responsible for IRWM implementation evaluation.
- List the frequency of evaluating the RWMG's performance at implementing projects in the IRWM Plan (monthly, semi-annual, yearly, etc.).
- Explain how IRWM implementation will be tracked with a Data Management System (DMS), and who will be responsible for maintaining the DMS.
- Discuss how findings or "lessons learned" from project-specific monitoring efforts will be used to improve the RWMG's ability to implement future projects in the IRWM Plan. For example, after review of the RWMG performance measures, the RWMG may need to amend the RMS or the actual IRWM objectives to account for new scientific data, and regional changes in conditions that can alter baseline assumptions or understanding of water management issues discussed in the IRWM Plan. Any amendments to the RMS or objectives will need to adequately identify water demand, water supply, water quality protections, and environmental stewardship actions that provide long-term, reliable, and high-quality water supply; including water supply to DACs. The standards and guidance for amendments to the IRWM Plan are contained in Governance Standard.
- Identify who has the primary responsibility for development of the project-specific monitoring plans and who is responsible for project-specific monitoring activities.
- Specify the stage of project development that a project-specific monitoring plan will be prepared
- Provide an explanation of typically required contents of a project-specific monitoring plan including, but not limited to, the following:
  - Clearly and concisely (in a table format) describe what is being monitored for each project. Examples include monitoring for water quality, water depth, flood frequency, and effects the project may have on habitat or particular species (before and after construction).
  - Measures to remedy or react to problems encountered during monitoring. An example would be to coordinate with the Department of Fish and Wildlife if a species or its habitat is adversely impacted during construction or after implementation of a project.
  - Location of monitoring
  - Monitoring frequency
  - Monitoring protocols/methodologies, including who will perform the monitoring
  - DMS or procedures to keep track of what is monitored. Each project's monitoring plan will also need to address how the data collected will be or can be incorporated into statewide databases. Note that standards and guidance related to the integration of data into statewide databases is included in the Data Management Standard.
  - Procedures to ensure the monitoring schedule are maintained and that adequate resources (including funding) are available to maintain monitoring of the project throughout the scheduled monitoring timeframe.

Data Management

The intent of the Data Management Standard is to ensure efficient use of available data, access to data, and to ensure the data generated by IRWM implementation activities can be integrated into existing State databases.

As specified in the Integration Standard, IRWM Plans should contain common protocols that gather data in a consistent manner, and processes for data and information sharing that assist Native American Tribes and stakeholders in their local efforts, as well as regional efforts. Data integration is best achieved through the use of common and compatible methods for data gathering, analysis, monitoring, and reporting systems used by members of the RWMG. The data management description in the IRWM Plan should be of sufficient detail so that it is clear to all interested parties how data are collected, validated, and shared in the region. At a minimum, the data management description in the IRWM Plan should include the following:

- A brief overview of the data needs within the IRWM region
- A description of typical data collection techniques

- A description of how stakeholders contribute data to a DMS
- The entity responsible for maintaining data in the DMS
- A description of the validation or quality assurance/quality control measures that will be implemented by the RWMG for data generated and submitted for inclusion into the DMS
- An explanation of how data collected for IRWM project implementation will be transferred or shared between members of the RWMG and other interested parties throughout the IRWM region, including local, State, and federal agencies
- An explanation of how the DMS supports the RWMG's efforts to share collected data
- An outline of how the data saved in the DMS will be distributed and remain compatible with State databases including CEDEN, Water Data Library (WDL), and CASGEM.

The following section provides specific guidance on a variety DMSs maintained by the State. These materials are not exhaustive, but are intended to provide RWMGs with general direction and useful web links for finding additional information on the subject of integrating data into State databases. In general, State databases have specific requirements for data submittal (format and procedural) that will need to be followed. RWMGs should consider what State databases they may be contributing data to, because the legislation supporting a given grant program may specify a State database for data submittal.

For geospatial data collected by RWMG members, data maintained by the region should be accompanied by applicable metadata that describes each data set (including projection and datum information, dataset description, data lineage, etc.).

California Environmental Data Exchange Network – CEDEN is a system designed to facilitate integration and sharing of data collected by many different participants. The CEDEN data templates are available on the CEDEN website: http://www.ceden.org.

Water Data Library – DWR maintains the State's WDL which stores data from various monitoring stations, including groundwater level wells, water quality stations, surface water stage and flow sites, rainfall/climate observers, and well logs. Information regarding the WDL can be found at: http://wdl.water.ca.gov/.

California Statewide Groundwater Elevation Monitoring Program – Water Code §10920 *et seq*. establishes a groundwater monitoring program designed to monitor and report groundwater elevations in all or part of a basin or sub-basin. These requirements also limit counties and various entities (Water Code §10927.(a)-(d), inclusive) ability to receive State grants or loans in the event that DWR is required to perform ground monitoring functions pursuant to Water Code §10933.5. Requirements of the CASGEM Program can be found at the following link: http://www.water.ca.gov/groundwater/casgem/.

Surface Water Ambient Monitoring Program –The SWRCB has developed required standards for SWAMP. Any group collecting or monitoring surface water quality data, using funds from Propositions 13, 40, 50, 84 and 1 must provide such data to SWAMP. More information on SWAMP is available at the following link: http://www.swrcb.ca.gov/water_issues/programs/swamp.

Groundwater Ambient Monitoring and Assessment program – The Groundwater Ambient Monitoring and Assessment (GAMA) Program is California's comprehensive groundwater quality monitoring program that was created by the State Water Resources Control Board (State Water Board) in 2000. The main goals of GAMA are to: Improve statewide groundwater monitoring and establish ambient groundwater quality on a basin wide scale; continue periodic groundwater sampling and groundwater quality studies in order to characterize chemicals of concern and identify trends in groundwater quality; and to centralize and increase the availability of groundwater information to the public and decision makers to better protect our groundwater resources. Additional information on the GAMA program is at the link in Volume 1, Appendix A.

Finance

The intent of the Finance Standard is to ensure that financing of the IRWM Plan has been considered at a programmatic level by the RWMG; and that a snapshot of financing is documented for Native American Tribes and stakeholders. Most of the cost of developing, maintaining, and implementing an IRWM Plan should be borne by local entities with State grant funding providing a necessary, but relatively small, supplement in funds. With potentially multiple sources of funding being accessed to formulate, maintain, and implement an IRWM Plan,

documentation of how the funding pieces fit together is necessary for the RWMG and stakeholders to understand how the plan will be implemented.

Sources of Funding

In addition to demonstrating potential funding for project construction, the IRWM Plan should also contain a discussion of the potential sources of funding for project O&M.

It may be useful for the IRWM Plan to present financing options in a tabular format. The table(s) should list sources of funding that the RWMG has obtained or may pursue to finance the IRWM Plan, the associated implementation projects, and O&M costs. Sources of funding may include, but are not limited to:

- Ratepayers
- Operating funds
- Water Enterprise funds
- Enhanced Infrastructure Financing Districts, see link in Volume 1, Appendix A
- Special taxes, assessments, and fees
- State or federal grants and loans
- Private loans
- Local bonds

Certainty of Funding

The table should also include an indication of the certainty and longevity of the funding sources. For example, if the RWMG indicates that it is targeting a State grant program to fund an implementation project, the RWMG should discuss the following items:

- Whether the funding has been secured via grant award with the State and the status of associated grant agreement.
- Whether an application for funding has or will be submitted at a future date.

Table 5 below is one option for presenting information regarding IRWM Plan financing.

Table 5 – IRWM Plan Financing Example

Activity Description	Approximate Total Cost	Funding Source & % of Total Cost	Funding: Certainty/Longevity	O&M Finance Source	O&M Finance Certainty
IRWM planning efforts	$850,000	Local Partners – MOU, 100%	Contingent on continued success in grant programs. Secure through fall, 2017.	NA	NA
Implementation Project #1	$10M	XY water agency, 50%	Secure, part of XY agency current capital improvement budget.	XY water agency budget	Secure- 2015 O&M budget.
		Grant-Prop 1, 30%	Application will be submitted FY 16/17	NA	NA
		Federal Grant, 20%	Tentative award, contingent on State funding.	NA	NA
Implementation Project #2	$250,000	State Grant, DAC assistance, DWR, 100%	Application submitted, in review.	Agency YY, operational budget	Secure, rate increase covers O&M costs

The RWMGs may condense or expand activity descriptions as they see fit. As an example, it may be helpful for an RWMG to break the costs of the functional effort into categories if those categories have separate funding sources, or present only the priority projects that are well defined.

Although a table listing the information described may satisfy the standard, the RWMGs should include any additional explanatory text that would help stakeholders understand how the IRWM Plan would be financed.

The list described in the table above should also contain information on how project O&M costs will be paid and the certainty of O&M funding. O&M costs are not eligible costs for grant reimbursement by the IRWM Grant Programs and most other State financial assistance programs.

The purpose of this standard is not to document that all funding has been fully secured. DWR wants to see that the RWMG has thought through financing of the Plan and implementation projects and programs even though substantial uncertainty regarding funding may exist. It is recommended that RWMGs do not overly rely on grant awards, but look at other forms of consistent, secure, long-term sources of funding, such as general funds or rate-based funds.

Technical Analysis

The intent of this standard is to document that the IRWM Plan is based on sound technical information, analyses, and methods. The IRWM planning horizon is for a minimum of 20 years. The objectives, RMS, and implementation projects contained in the IRWM Plan are based on the water management needs forecasted within that planning horizon. The Technical Analysis Standard requires a discussion in the IRWM Plan that explains the technical information, methods, and analyses used by the RWMG to understand the water management needs over the planning horizon.

TECHNICAL INFORMATION

Provide a brief description of the technical information sources and/or data sets used to develop the water management needs in the IRWM Plan. Explain why this technical information is representative or adequate for developing the IRWM Plan. For example, how the technical information represents the current conditions, the scope of historic highs and lows, or the best forecast for future years, etc.

Data sets may be from studies, historical records, monitoring activities, or investigations. It is not necessary to include the technical information and literature reviewed in the IRWM Plan development, but the Plan should provide references and brief descriptions.

The IRWM Plan should identify data gaps where additional monitoring or studies are needed, and should also describe how the Plan will help bridge these data gaps.

TECHNICAL ANALYSES AND METHODS

Provide a description of studies, models, or other technical methodologies used to analyze the technical information and data sets. Explain how such studies, models, or technical methodologies aid the RWMG's and stakeholders' understanding of the water management picture for the period of the planning horizon.

In describing technical analyses and studies, it is not necessary to have an exhaustive discussion of each type of analysis and study performed, nor all copies of raw input and output files, nor inclusion of every study used. Provide summary information, such as what the particular technical analysis does; what are the outcomes; what is the certainty or uncertainty involved in the analysis; or how the outcomes are applied to the planning horizon.

Examples of possible studies/data sets are shown in Table 6. The listed items in the table are examples only. For a specific IRWM Plan, there are likely to be more items to document. Any referenced data should be made available to the public upon request.

Table 6 – Possible Studies/Data Sets				
Data or Study	Analysis Method	Results/Derived Information	Use in IRWM Plan	Reference or Source
Population Growth Study	Statistical Analysis	Future Population	Used to calculate future water demand.	Census Bureau
Surface Storage Capacity Study	HEC-ResSim	Current Reservoir Capacity	Used to calculate current surface capacity.	Army Corps of Engineers
Floodplain Analysis	HEC-RAS, HEC-FDA	Identify flood areas and potential damage	Used to prioritize levee repairs.	Army Corps of Engineers
Water Use Study	Review of existing records	Current water use	Used to evaluate current water supply system and as basis for future water supply needs.	Local Water Purveyor
Additional studies to be added as necessary:				

Relation to Local Water Planning

The intent of the Relation to Local Water Planning Standard is to ensure the IRWM Plan is congruent with local plans, and that the Plan includes current, relevant elements of local water planning and water management issues common to multiple local entities in the Region. Regional planning does not replace or supersede local planning, rather regional planning should appropriately incorporate local planning elements. The IRWM Plan describes how the RWMG has or will coordinate its water management planning activities to address or incorporate all or part of the following actions of its members:

- Sustainable Groundwater Management
- Urban Water Management
- Water Supply Assessments
- Agricultural Water Management
- City and County General Planning
- Stormwater Resource Plans

It should be noted that Water Code § 10562 (b)(7) requires the development of a stormwater resource plan and compliance with these provisions to receive grants for stormwater and dry weather runoff capture projects. Upon development of the stormwater resource plan, the RWMG shall incorporate it into IRWM plan. The IRWM Plan should discuss the processes that it will use to incorporate such plans. This requirement does not apply to DACs with a population of 20,000 or less and that is not a co-permittee for a municipal separate stormwater system national pollutant discharge elimination system permit issued to a municipality with a population greater than 20,000.

Other resource management planning including:

- Flood Protection
- Watershed Management
- Multipurpose Program Planning

Other resource planning efforts should also be considered including:

- Low Impact Development
- Salt and Salinity Management
- Emergency Response, Disaster Plans

When describing how the local plan relates to the IRWM Plan and the dynamics of that relationship include the following:

- Jurisdiction of local plans and how they apply or not to the IRWM Plan
- When the local plan is updated and how/when any updates will be considered in the IRWM Plan
- How regional planning efforts may feedback to local planning efforts

- If inconsistencies between local and regional plans are identified, how those might be resolved

For example, a local Groundwater Sustainability Plan (GSP) may set extraction limits for a specific groundwater basin. The IRWM Plan should be consistent with those limits. Are there other groundwater basins in the region with or without GSPs? If so, how does the IRWM Plan coordinate with those plans or lack of plans, and what does that mean to those adopting and implementing the IRWM Plan?

Effective, integrated, and consistent water planning and management is imperative both now and in the future, as California faces increasing challenges in managing its water supply due to climate change, increasing water demand as California's population increases, and uncertainty regarding the availability of water from the Sacramento-San Joaquin Delta and other sources.

Relation to Local Land Use Planning

The intent of the Relation to Land Use Planning Standard is to require an exchange of knowledge and expertise between land use and water resource managers; examine how RWMGs and land use planning agencies currently communicate; and identify how to improve planning efforts between the RWMGs and land use planning agencies.

A goal of CWP Update 2013 is to ensure water managers and land use planners make informed, collaborative water management decisions on a statewide basis. For land use planners and water managers, meeting this goal will require improved, effective coordination among all parties at the federal, State, and local levels with attention on the RMS identified in CWP Update 2013.

Every city and county in California is required adopt a comprehensive long-term General Plan in accordance with Section 65300 of the California Government Code. There are seven required elements of a General Plan including Land Use, Circulation, Housing, Conservation, Open Space, Noise, and Safety, which provide a broad overview of the issues within a jurisdiction. Water-related supply and treatment issues are included in the Conservation element. Policies that are required to be addressed in the Conservation element include the following:

- SB 221 (Bus. and Prof. Code, §11010 as amended; Gov. Code, §65867.5 as amended; Gov. Code, §66455.3 and 66473.7) prohibits approval of subdivisions consisting of more than 500 dwelling units unless there is verification of sufficient water supplies for the project from the applicable water supplier(s). This requirement also applies to increases of 10 percent or more of service connections for public water systems with less than 500 service connections.
- SB 610 (Water Code §10631, 10656, 10910, 10911, 10912, and 10915 as amended; Public Resources Code §21151.9 as amended) and AB 901 (Water Code §10610.2 and 10631 as amended; Water Code §10634) make changes to the Urban Water Management Planning Act to require additional information in UWMPs if groundwater is identified as a source available to the supplier. A key provision in SB 610 requires that any project subject to the CEQA and supplied with water from a public water system be provided a water supply assessment, except as specified in the law.
- State of California General Plan Guidelines (Governor's Office of Planning and Research (OPR) 2003) recommends facilitating SB 610 by having strong water elements in local general plans that incorporate coordination between the land use agency and the water supply agency.

SB 244 (Gov. Code §56375, 56425, and 56430 as amended; Gov. Code §53082.5, 56033.5, and 65302.10; and Water Code §13481.7) requires on or before the next adoption of a general plan's housing element, a city or county to review and update the land use element of its general plan to include an analysis of the presence of island, fringe, or legacy unincorporated communities. This bill also requires a written statement a determination with respect to the location and characteristics and the present and planned capacity of public facilities and adequacy of public services, including sewers, water, and structural fire protection needs or deficiencies, of any disadvantaged unincorporated communities within or adjacent to the sphere of influence, thereby imposing a state-mandated local program that could impact IRWM plans.

Even with such advances in policy, efforts to link land use decisions and water management decisions remains an area of challenge. Land use decisions and water management decisions are often under the purview of different agencies, yet the resources each agency manages are inextricably linked. Early communication is vital in changing the relationship from reactive to proactive.

IRWM and the Link between Water Management and Land-Use Planning

IRWM plans seek to solve regional water management issues through diversified water management portfolios and early water management input into and coordination with those responsible for making land use decisions and implementing land use changes. This relationship can significantly influence how both water management decisions and land use decisions are made.

Consider the opportunities RWMGs may provide to land use planners for input. Some instances where this may occur could be:

- Floodplain management
- Flood control planning
- Groundwater recharge and conjunctive water use
- Treatment and conveyance facilities
- Stormwater and runoff management
- Water conservation efforts
- Watershed management and restoration

Alternately, consider opportunities land use planners may utilize to provide input to RWMGs, such as:

- Municipal landscaping programs
- Public access and recreational area management
- Changes in land use that affect water resources
- General plan updates and long-term planning
- Planning review
- Development review
- Water supply for public safety and emergency planning purposes
- Habitat management

These are merely a few, general examples where coordination among land use and RWMGs could result in more efficient IRWM planning and implementation. Since the IRWM planning effort often encompasses large regions and has an increased probability of including larger more costly projects, the importance of open lines of communication between land use planners and RWMGs is imperative to a successful IRWM effort.

Describing the Current Relationship between Local Land Use Planning Entities and Water Management Entities

When describing the relationship between local land use planning and water management entities, include the following considerations:

- How land use planning entities and RWMGs interact. Describe any existing forums, policies, projects, etc. that illustrate this relationship. These interactions do not have to be specifically related to the IRWM, but in the description, clearly explain if the meetings or forums are part of IRWM meetings or part of other planning (land use) efforts within the Region. For example, do water managers and land use planners interact in a forum, such as planning commission meetings?
- Do water managers provide input at county supervisor or city council meetings regarding project or land use decisions that may impact water supply or water quality?
- Are land-use planners a part of the IRWM governance structure or are they included on the RWMG's project selection committee? Do both groups openly exchange information pertinent to the other?

Characterizing the current land use-water use planning relationship in the IRWM Region will help illustrate the context in which IRWM activities are planned and implemented and where communication and coordination can be extended or improved.

Describing future efforts in the process of establishing a proactive relationship between land use planning and water management

With the current relationship identified, determine what opportunities exist in the future for a better working relationship between water managers and land use decision makers. Consider how the IRWM Plan could facilitate improvements to the relationship described in the section above. Some points to consider are:

- Internal planning and coordination changes that would need to occur within RWMGs.
- Improvements which could be made to the mechanisms for interacting with the land use planning community.
- Possible avenues for the RWMG to facilitate internal changes within the land use planning community.
- Future forums, policies, and projects that could improve water management efforts in IRWM Regions. For example, regular RWMG meetings between water managers and land use planners to discuss regional water issues and concerns.
- Water management projects that meet various water supply and water quality objectives while still being compatible with existing and planned future land use designations, and providing the type of projects the IRWM Program desires.
- The Ahwahnee Principles for Resource Efficient Land Use, see link in Appendix A, developed by water resource policy and management experts, advocate a more proactive relationship between land use and water management. The first implementation principal of the Ahwahnee Principles is early consultation with water managers on land use decisions.
- How improved interaction between water managers and land use planners can advance the implementation of the IRWM Plan.
- Utilizing current land use and water issues and identify planning strategies which may be implemented or explored in the future through the IRWM process.

Focusing on and acting in a purposeful, collaborative, and informed manner regarding regional land use planning and water management will assist California in successfully managing multiple water demands throughout the State, as described in CWP Update 2013, adapting water management systems in regions to climate change, and potentially offsetting climate change impacts to water supply in California.

Stakeholder Involvement

The intent of the Stakeholder Involvement Standard is to ensure the RWMGs give the opportunity to all interested parties to actively participate in the IRWM decision-making process on an on-going basis. It should be noted that Native American Tribes are sovereign nations, and as such coordination with Tribes is on a government-to-government basis.

Water Code §10539 defines a RWMG as:

> "a group in which three or more local agencies, at least two of which have statutory authority over water supply or water management, as well as those other persons who may be necessary for development and implementation of a [IRWM] Plan…"
>
> *See the Governance Standard and related guidance regarding whether and how Native American Tribes are members of a RWMG.*

This section of the Water Code recognizes the collaborative nature of IRWM planning. IRWM Plans rely on Native American Tribe and stakeholder involvement to gather regional information and make regional decisions. It is important for RWMGs to pursue involvement and use processes that support Native American Tribe and stakeholder inclusion and active participation.

The opportunity for a Native American Tribe or stakeholder to become involved is not limited to the beginning stages of plan development. A Native American Tribe or stakeholder may become involved later as their awareness of IRWM increases or new issues or concerns develop. Native American Tribes and stakeholders cannot be forced to participate, but the IRWM Plan should contain and the RWMG implement protocols to continually invite and involve Native American Tribes and stakeholders in the process. "Continually invite" does not mean that the RWMG engages in a continuous, intense Native American Tribe and stakeholder solicitation campaign. DWR's intent is that

"continually invite" means that an RWMG adopts an open-door stance and has the processes in place so that any person can contact the RWMG and the RWMG will orient them to the various IRWM processes, encourage them to access information about the RWMG and its IRWM Plan, and inform them how they can participate.

Stakeholder Composition

The IRWM Plan should contain a listing of the Native American Tribes and stakeholders participating in the planning effort as documentation that the RWMG is a collaborative effort with participation from Native American Tribes and stakeholders.

The stakeholder group should reflect a broad cross-section of stakeholders. Water Code §10541(g) identifies the following as potential stakeholders in a region:

- Wholesale and retail water purveyors
- Wastewater agencies
- Flood control agencies
- Municipal and county governments and special districts
- Electrical corporations
- Native American Tribes
- Self-supplied water users
- Environmental stewardship organizations
- Community organizations
- Industry organizations
- State, federal, and regional agencies or universities
- DAC members
- Any other interested group appropriate to the region

Process Used to Identify Stakeholders

While the processes used to identify Native American Tribes and stakeholders likely perform a combination of functions in a single process (i.e. identify stakeholders, share information, invite and involve interested parties, etc.), we discuss each function separately in these guidelines. Processes may be contained in a variety of sections in an IRWM Plan and do not have to exist in a single separate section of the Plan. These processes can exist in a separate Native American Tribe and stakeholder outreach plan (outside of the IRWM Plan), but the IRWM Plan should contain a reference to the location of that plan.

There are no DWR supplied protocols as each IRWM region will have differing relationships among the various Native American Tribes and stakeholders. However, the following guidance is provided in developing protocols specific to your IRWM region. When developing processes for identifying stakeholders, consideration should be given to not only the easily identified parties, but also the less obvious parties. Often, an initial list of Native American Tribes and stakeholders may unintentionally omit important segments of the IRWM region. These include interested parties who are not usually well represented in the process of planning or project development. Multiple avenues of identifying Native American Tribes and stakeholders are needed in any IRWM Plan. Examples of processes used to identify Native American Tribes and stakeholders include, but should not be limited to the following items:

- Open announcements of IRWM meetings that invite new stakeholders (self-identification)
- Recommendation of additional stakeholders from those already involved in the IRWM Plan
- Identification of Native American Tribes and stakeholders through water management issues in the region
- Targeted outreach to underrepresented groups

Disadvantaged Communities and Economically Distressed Areas

Multiple definitions of a DAC exist in California statutes. For the purposes of Proposition 1 funding, a DAC is defined as "a community with a MHI less than 80% of the Statewide average." Proposition 1 also defines economically distressed areas (EDAs), which are further explained in Appendix F of Volume 1 of these Guidelines. There is a financial opportunity for most RWMGs to seek out DACs or EDAs in their region, as most State grants either give special consideration or preferences for projects that serve DACs or EDAs, or have funding percentages

set-aside for projects that help meet the needs of DACs or EDAs. There may be some regions, where very few, if any, communities that meet the statutory definition of a DAC or EDA. However, even in such regions there will be communities that are well below the MHI for the region, and they should be specifically invited to participate in the IRWM planning and implementation process.

Technology and Information Access

In this age of technology and information accessibility, we often unintentionally believe that all segments of our society have uniform access to all modern conveniences. When communication methods such as e-mail or web postings are used, we often assume everyone has received and understood the invitation or the transfer of information. Particularly, when a RWMG has identified an often commonly overlooked Native American Tribes or group of stakeholders, extra efforts may be required to invite, inform, and involve parties who may have different needs and perspectives than the majority. Those extra efforts may consist of special considerations such as access to public transportation when determining meeting places; shifting times of meetings so certain Native American Tribes and stakeholder groups can attend; or translation services, including telecommunications device for the deaf (TDD/TTY) services. Such outreach techniques should be part of the IRWM Plan's written Native American Tribe and stakeholder involvement processes. Processes that invite, inform, and involve Native American Tribes and stakeholders should also consider that not all parties will participate in the development of the IRWM Plan. Processes should include ways to orient and involve Native American Tribes and stakeholders whenever they approach the RWMG. This may be as simple as an available phone number and contact person that people new to the IRWM process can call.

Decision-Making Process

Part of involving Native American Tribes and stakeholders in the IRWM process is making clear how someone can participate.

From reading the IRWM Plan sections regarding decision processes, a Native American Tribe or stakeholder should understand the decision process, know how they can give input to the process, and know if they can serve on committees or groups, and know who they should contact should they have questions about the process or involvement in the process. The IRWM Plan can include diagrams or graphics as necessary to illustrate the process. For more information regarding the decision making process to be included in an IRWM Plan, refer to the Governance Standard.

Involving Native American Tribes and Stakeholders

This discussion is meant to inform readers of how input from a broad spectrum of Native American Tribes and stakeholders are necessary for effective plan implementation. There may be Native American Tribes and stakeholders that are not currently active in the planning effort, but whose input would increase the effectiveness of the IRWM Plan in meeting its objectives. Discuss what mechanisms the IRWM Plan includes that describe how Native American Tribes and stakeholders not currently involved in the IRWM Plan will be invited to participate. This discussion would likely be inserted in the section of the IRWM Plan pertaining to objectives or Native American Tribe and stakeholder outreach. DWR is interested in seeing that RWMGs utilize a broad perspective and that they are aware of Native American Tribes and stakeholders who are not currently active, but whose input would benefit attainment of IRWM Plan goals. Access to participate or be involved in the IRWM effort is not to be based on an individual's or group's ability to pay.

Coordination

Through coordination among local agencies and between IRWM regions, IRWM efforts may reduce redundant actions; identify opportunities for cooperative projects; or discover that adjustments are needed in IRWM boundaries. Although the degree of coordination may vary among various RWMGs, DWR does expect that each RWMG have an understanding of the neighboring IRWM efforts and the way their management issues are similar or different. DWR also expects that the RWMG and project proponent's relationships be well enough established to take advantage of any cooperative project opportunities.

The intent of the Coordination Standard is to ensure the following items:

- That a RWMG coordinates its activities with local agencies, Native American Tribes, and stakeholders to avoid conflict within the region and to best utilize resources.
- That RWMGs are aware of adjacent planning efforts and are coordinating with adjacent RWMGs
- That the RWMGs are aware of state, federal, and local agency resources and roles in the implementation of their plans and projects.

Coordination of Activities within an IRWM Region

This coordination process could include mechanisms such as the posting of proposed projects and Native American Tribe and stakeholder meetings on a website, a portion of every Native American Tribe and stakeholder meeting held by the RWMG set aside to discuss upcoming proposed projects and activities of interest to Native American Tribe and/or stakeholders, or the development of a team within the RWMG who would be responsible for bringing together local agencies, Native American Tribes, and stakeholders groups in a setting where their projects and activities could be discussed. In doing so, opportunities for combining activities or eliminating redundant or overlapping efforts could be realized.

Identification and Coordination with Neighboring IRWM Regions

Although adjacent RWMGs may function independently, coordination is still essential. If there are no adjacent IRWM regions bordering the IRWM region, then the IRWM Plan should indicate such. In the IRWM Plan, submit a map showing the IRWM region and any adjacent IRWM regions. Describe how the adjacent IRWM regions have similar and different water management issues from your own. Describe how your RWMG coordinates with adjacent RWMGs. Additionally, discuss any joint project opportunities and/or conflicts. If water management issues are similar to an adjacent IRWM region, explain if any discussions have taken place or are planned to consider consolidating into a single, larger, more regional IRWM region.

Coordination with Agencies

Coordination with State, federal, or local agencies for implementation of projects may include, but is not limited to the following:

- State agencies, such as California Environmental Protection Agency (CalEPA), DWR, Department of Fish and Wildlife, SWRCB, RWQCBs, and California Coastal Commission.
- Federal agencies, such as U.S. Army Corps of Engineers (USACE), U.S. Fish and Wildlife Service, U.S. Bureau of Reclamation, and the U.S. Environmental Protection Agency (USEPA).
- Local agencies, such as county flood control districts, public works departments, and environmental health departments.

Climate Change

Climate change is a complex issue; therefore, this guidance is meant to help RWMGs integrate climate change considerations into their IRWM planning and project review process. California is already seeing the effects of climate change on hydrology (snowpack, river flows, storm intensity, temperature, winds, and sea levels). Planning for and adapting to these changes, particularly their impacts on public safety, ecosystems, infrastructure, and long-term water supply reliability, will be among the most significant water management challenges of this century. By design, IRWM planning efforts are collaborative and include many entities dealing with water management. These aspects make IRWM a good platform for addressing broad-based concerns like climate change where multiple facets of water management are affected.

Legislative and Policy Context

While there are numerous pieces of policy and legislation dealing with climate change, the following are important regarding the State's response to climate change, including how IRWM planning efforts analyze climate change on a project level.

- EO S-3-05 and the California Global Warming Solutions Act of 2006 (AB 32; amending California Health and Safety Code Division 25.5, §38500, *et seq*.) lay the foundation for California's response to climate change.
- Public Resources Code §21083.05 requires periodic updates to the CEQA Guidelines for analyzing mitigation of GHG or the effects of GHG emissions in CEQA documents.

- EO S-13-08, signed by the Governor on November 14, 2008, directed the preparation of a sea level rise impact study, a transportation systems vulnerability assessment, and preparation of the California Climate Adaptation Strategy.
- OPC Resolution, adopted on March 11, 2011, requires the vulnerabilities associated with SLR to be considered for all projects or programs receiving funding from the State. In 2013 OPC issued a SLR guidance document.
- EO B-30-15, signed by the Governor on April 29, 2015, expanded EO S-3-05 by establishing an additional California GHG reduction target of 40 percent below 1990 levels by 2030. EO B-30-15 also emphasized the need for State agencies to take climate change into account in planning and investment decisions.

Vulnerabilities and Adaptation Strategies

Effects of climate change have been identified in a variety of California resources; Volume 1 Appendix A provides links to various Climate Change resources and tools discussed below. Regional information can be found in the *California Climate Adaptation Planning Guide*, as well as through on-line tools, such as *Cal-Adapt*. RWMGs should consider whether more detailed and downscaled analyses should be pursued. Vulnerability evaluation tools, from simple checklists to more complex ones, are available on-line and at the links provided in Appendix A.

- The *Climate Change Handbook for Regional Water Planning* is a handbook designed for use by RWMGs in integrating climate change into IRWM plans; not only in identifying effects and evaluating vulnerabilities, but also in providing an analytical framework for incorporating climate change impacts into a regional and watershed planning approach. The handbook also presents various case studies to help improve decisions about water resources management systems in adapting them to current and future climate change.
- Once vulnerabilities of a region have been assessed by the RWMG, those vulnerabilities are vetted through an IRWM decision-making process to prioritize them and to determine the feasibility for the RWMG to address them. Section 4.4 of the *Climate Change Handbook for Regional Water Planning* provides several factors that a RWMG might want to consider when prioritizing its vulnerabilities. These factors include the region's overall planning priorities, risks involved, potential for multiple stressors, and potential adaptive capacity.
- RWMGs should incorporate strategies to eliminate or minimize the prioritized vulnerabilities into a broader planning context that considers the uncertainties associated with climate change.
- IRWM Plans should contain policies or procedures that promote adaptive management. As more effects of climate change manifest, new tools are developed, and new information becomes available, RWMGs will need to adjust their IRWM Plans to integrate new knowledge and data into those plans. Section 7 of the *Climate Change Handbook for Regional Water Planning* describes several approaches for handling uncertainty and incorporating new information as it becomes available.

Climate Change Mitigation (GHG Reduction)

- IRWM plans can also help mitigate climate change by reducing energy consumption, especially the energy embedded in water use, and ultimately reducing GHG emissions. Water management results in the consumption of energy in California and the accompanying production of GHG emissions, where water must be pumped from long distances from underground aquifers or over significant elevations. End-uses of water also have an important role in energy consumption. According to the California Energy Commission (2005), 19% of the electricity and 30% of the non-power plant natural gas of the State's energy consumption (i.e., 12% of all energy used in California) are spent on water-related activities, primarily related to end-uses of water. What the customer does with the water results in 10% of the total energy used.
- The close connection between water resource management and energy is an important consideration for helping the State meet its GHG emission reduction goals. All aspects of water resources management have an impact on GHG emissions, including the development and use of water for habitat management and recreation; domestic, municipal, industrial, and agricultural supply; hydroelectric power production; and flood control.

CEQA project-level analyses in the area of climate change may assist RWMGs with a means of disclosing and evaluating GHG emissions of project alternatives. An analysis of GHG emissions on a project – performed so that it not only serves to evaluate that aspect of a project for the purposes of IRWM project selection, but also satisfies the requirements of CEQA – may be a useful analysis that satisfies multiple purposes. In preparing a project-level GHG emissions analysis, RWMGs and the project proponents should estimate GHG emissions from the project; establish significance criteria; identify those project components that may support carbon sequestration; and, explain how the project may help in adapting to effects of climate change. Section 3 of the *Climate Change Handbook for Regional Water Planning* provides guidance on how to evaluate GHG emissions. Where practical, RWMGs should consider the mitigation strategies adopted by CARB in its *Climate Change Scoping Plan*.

Resources and Tools

While there are many sources of information on climate change, RWMGS should consider the documents when assessing the vulnerabilities and effects of climate change on their regions; considering how to adapts to those effects; and seeking to mitigate GHG emissions:

- *Managing an Uncertain Future: Climate Change Adaptation Strategies for California's Water* (DWR, 2008) – This white paper urges a different approach to managing California's water and other natural resources in the face of climate change.
- *Climate Change Handbook for Regional Water Planning* (USEPA, DWR, USACE, and the Resource Legacy Fund, 2011) – The handbook is intended to assist IRWM regions with incorporating climate change analysis and methodologies into their planning efforts. As noted previously, the handbook contains a vulnerability assessment, which is the minimum level of assessment for IRWM Plan; adaptation and mitigation strategies are also included.
- *California Climate Adaptation Planning Guide* (APG) (California Emergency Management Agency and CNRA, 2012) – The APG can be used by RWMGs and others to incorporate climate change adaptation into existing local and regional planning processes. The APG is comprised of an overview document that provides a step-by-step process for local and regional climate vulnerability assessments and adaptation strategy development, and three companion documents that focus more in-depth on specific parts of the process.
- *Volume 3 of California Water Plan Update 2013* (DWR, 2013) – Volume 3 considers how RMS could be used to adapt to various effects of climate change. A synopsis of this work, along with an analysis of the linkages between water and energy, is presented in *California Climate Science and Data for Water Resources Management* (DWR, 2015).
- *Climate Change Scoping Plan* (CARB, 2014) – CARB discusses different business sectors including water management and recommends specific strategies that could help reduce GHG emissions.
- *California Water Action Plan* (CalEPA, CNRA, and CDFA, 2014) – Provides a 5-year roadmap for the state's journey toward sustainable water management in the face of climate change and other challenges.
- *Safeguarding California: Reducing Climate Risk* (CNRA, 2014) – CNRA discusses Statewide and sector-specific vulnerability assessments. Related Implementation Action Plans are currently being finalized.

Additional resources that will further help RWMGs with their climate change analyses include the following:

- DWR's Climate Change website provides other resources and tools not identified already. The Local and Regional Resources tab was specifically created for IRWM planning. Additional tabs include information on the Water-Energy Nexus and DWR publications.
- The State has its own Climate Change portal with further information on taking action in preparing for climate change.
- Cal-Adapt is the State's on-line tool designed to provide access to data and information produced by the scientific and research community in California. The data available on this site offer a view of how climate change might affect California at the local level. RWMGs can use visualization tools, access data, and participate in sharing information.
- The State guidance on adapting to SLR provides assistance on how to incorporate SLR projections into planning and decision-making for projects in California.
- CNRA amendments to the CEQA Guidelines for GHG.

- The Climate Registry is a private non-profit organization that serves as a voluntary GHG emissions registry for North America. Participation in these voluntary GHG registries allows access to tools and consistent reporting formats that may aid RWMGs in understanding their GHG emissions and ways to promote early actions to reduce GHG emissions.
- For project-level GHG emissions assessments, a useful emissions reporting protocol has been developed by the World Resources Institute (WRI) in cooperation with the World Business Council for Sustainable Development. WRI protocol was used as the basis for the Climate Registry; both emissions reporting protocols establish-+h guidelines for voluntary accounting of GHG emissions and provide a peer reviewed and widely accepted methodology for calculating GHG emissions. WRI has also published several calculation tools to simplify and document the procedure. In general, the protocols outline how to estimate emissions from mobile combustion sources, electricity consumption, and industrial processes.

IV. Plan Review Process

Purpose and Use

The Plan Review Process (PRP) is used by DWR to evaluate IRWM plans against the above-listed IRWM plan standards. One of the grant eligibility requirements for the Proposition 1 IRWM Implementation Grant funding is adoption of an IRWM Plan that is consistent with the IRWM Plan Standards contained in the 2016 IRWM Program Guidelines. The PRP provides a standardized means to review IRWM Plans for consistency. The PRP is composed of four major elements – when to submit, what to submit, how to submit, and DWR's review efforts.

Please note that future grant eligibility, associated with the IRWM Plan Standards, may need to be reevaluated if the plan content or eligibility criteria are altered through future legislative actions, such as the appropriations process.

There are several reasons or combinations of reasons that a Regional Water Management Group (RWMG) may decide to submit an IRWM Plan to the PRP. The RWMG submitting the IRWM Plan must be clear on reasons for submitting their plans. Potential reasons for submitting a plan for review include eligibility for future funding and general IRWM plan review.

When to Submit

DWR will generally review plans as they are received. For RWMGs seeking IRWM Plan review prior to a future Implementation Grant solicitation, DWR recommends that the IRWM Plan be submitted as early as possible prior to the application deadline. This will afford RWMG's time to address any deficiencies identified by DWR prior to any funding considerations or constraints. To ensure that IRWM Plan reviews can be completed in time, DWR will set a plan submittal deadline of 60 calendar days prior to the application due date for the Proposition 1 Implementation grant solicitation. RWMGs, and respective project proponents, are encouraged to adopt their updated IRWM Plan after completing the relevant plan updates, so as to have proof of adoption of the most up-to-date IRWM Plan for eligibility purposes of upcoming grant solicitations.

What to Submit

The submittal package consists of three items, a transmittal letter, an electronic copy of the plan, and an optional "road map" that refers reviewers to specific pages for required plan elements.

1. ***Transmittal Letter/Email (Required).*** The transmittal letter or email must include the following items:
   - Name of the IRWM region and name of the organization submitting the IRWM Plan
   - Name and contact information (email address, mailing address, and phone number) of one specific individual acting as contact for the plan. This individual will receive correspondence regarding results of the plan review.
   - Status of the IRWM Plan at the time of submittal (i.e., final and not adopted or adopted).
   - For non-adopted IRWM Plans, a list of any remaining steps that the RWMG must undertake prior to formal adoption by the RWMG and others, including the timeline to adoption.
2. ***IRWM Plan (Required).*** The IRWM Plan must be complete, including all appendices. DWR will not review a plan in piecemeal fashion. The IRWM Plan must be at least a final non-adopted version.

The plan may be submitted as a single file or as multiple files. If the IRWM plan is submitted in multiple files, each file should be unambiguously named as part of the entire document in order to ensure complete and timely review by DWR staff; for example Chapter 1, 2, 3, etc., or Appendix A, B, C, etc. Acceptable file formats are: PDF, MS Word, MS Excel, and MS Project.

3. ***Reference list to Required Standard Elements (Optional).*** A list or lookup table of Plan Standard guideline requirement locations in the IRWM Plan may be provided to DWR. This list will be used by DWR reviewers during the review to access specific locations in the plan that address specific standard requirements.

How to Submit

The transmittal letter/email and IRWM Plan must be submitted electronically. Hard copies of the IRWM Plan will not be accepted. A single CD/DVD is preferred, but submittal via email is also acceptable.

VIA CD/DVD – The CD/DVD can be sent to DWR via any of the following methods:

By U.S. Mail:

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

Overnight courier to:

California Department of Water Resources
Division of Integrated Regional Water Management
Financial Assistance Branch – Attn: Chief, Planning Section
1416 9th Street, Room 354
Sacramento, CA 95814

Or hand-deliver to:

901 P Street, Lobby
Sacramento, CA 95814
Chief, Planning Grant Section

VIA EMAIL

DWR can accept email files up to 50 megabytes inclusive of the email content plus any attachments. An IRWM plan with an overall file size exceeding this limit may be sent in multiple emails. The subject line of each email must include the name of the IRWM region. It must also include the email number and total number of emails being sent to submit the entire plan. For example, the first of three emails from ABC IRWM region would have the subject line of: ABC IRWM region 1 of 3. Each file must be named per this multiple file naming convention. Send the email(s) to DWR_IRWM@water.ca.gov.

Once DWR has received the plan, the IRWM contact person will receive an email confirming the receipt of the plan and estimated completion date of the draft review (approximately 60 calendar days).

Review Process

DWR will review the submitted plans to evaluate whether the IRWM Plan meets each of the 16 IRWM Plan Standards. For IRWM Plans that have been recently evaluated in a PRP, DWR may review only the Standard elements that were updated in the 2016 IRWM Plan Standards. This review will be accomplished using the Plan Standards Review Tool. The Plan Standards Review Tool, Table 7, is an Excel workbook consisting of one worksheet for each of the 16 IRWM Plan Standards. Each worksheet is made up of a checklist of required components (between 1 and 14 components depending on the individual standard) for each standard and may contain narrative evaluations as appropriate. The Plan Standard Review Tool contains formulas within and between worksheets to aid in the review process.

The evaluation is pass/fail assessment; there is no numeric scoring or grading of individual IRWM Plans. A "yes" or "no" determination for each Standard is assigned based on the required component evaluation for each Standard. A summary of the sufficiency of each Standard is automatically calculated on the Standards Summary worksheet. A "no" evaluation indicates that a Standard was not met due to insufficient individual requirements which comprise the Standard. The evaluation for each Plan Standard with any associated insufficiencies is compiled on the Standards Summary page.

For each IRWM Plan reviewed, a review team of two technical reviewers will be assigned. Each reviewer will perform a review using the Plan Standards Review Tool. Once finished, the two technical reviewers will meet with FAB senior staff and create a consensus review. This consensus review, once approved by the FAB Planning Section Chief and Branch Chief, will be provided to the RWMG as a draft review. The RWMG will have an opportunity to comment, per Section VI below.

DWR Response

DWR will send the draft review package to the RWMG contact via email which will include the following:

- Cover letter
- IRWMP Draft Review – the review summary sheet and a single review form for each Plan Standard
- Notification of any necessary follow-up
- Request of confirmation that the DWR draft review was received

Public Comment Period

DWR's draft IRWM Plan reviews will be posted on the IRWM grants website. The draft reviews will be batch posted on the first and 15th of the month. A 30-calendar day public comment period (starting on the day the review is posted on the website) will be in place for these reviews. DWR will share any public comments for a particular IRWM plan with the RWMG for that region and will determine whether the comments require being addressed in the plan. DWR will finalize a plan review after the public comment period has closed for the specific review and any related discussion with the applicable RWMG has occurred.

If the IRWM Plan is Consistent with the Plan Standards

If the IRWM Plan is consistent with the Plan Standards and no public comments were received by DWR that indicate inconsistency, the cover letter of the review will state that the plan is consistent with the IRWM Planning Act, as outlined in Volume II, Section II of these Guidelines. Draft IRWM reviews will be finalized and the plan will be deemed Plan Standard consistent. A final review will be sent to the RWMG and posted on the website listed above.

If Revisions are Necessary

If revisions are necessary based on DWR review or public comments, the RWMG will have an opportunity to follow-up with revisions to the IRWM Plan. DWR will contact the RWMG after the 30-day public comment period to determine the status of the RWMG's response. It is incumbent on the RWMG to respond in a timely manner with revisions as the PRP does not exempt IRWM regions from compliance with external deadlines and requirements, such as application due dates.

If revisions are adequate to meet Plan Standards, DWR will accept the revised text without a requirement of any immediate re-adoption of the IRWM Plan. DWR will defer to the processes and timelines that exist in the IRWM Plan for approval of changes to the plan. DWR will finalize the plan review stating actions the IRWM has taken and that the IRWM Plan is now consistent with the standards. The final review will be sent to the IRWM contact and posted on the web.

If revisions are not adequate to make the IRWM Plan consistent with standards, the reasons for the inadequacy will be included in the follow-up response email to the RWMG. Inadequate revisions may be addressed in subsequent follow up with DWR. For applicants seeking eligibility in future grant solicitations, DWR will allow needed revisions up to the date of draft award for an applicable solicitation. DWR's intent through the PRP is to hold any necessary revisions to as few iterations as possible. A final plan review will be sent to the IRWM contact and posted on the web.

V. IRWM Plan Standards Review Form

IRWM planning regions must have an IRWM Plan that has been reviewed and deemed consistent with the IRWM Plan Standards by DWR for eligibility to receiving Proposition 1 IRWM Implementation Grant funding. DWR will use this IRWM Plan Standards Review Form, which can be found at the link in Volume 1, Appendix A and represented in Table 7, to ensure a consistent assessment of whether the 2016 IRWM Guidelines are being addressed in the IRWM Plan. The form contains a checklist for each of the 16 Plan Standards and narrative evaluations where required. The evaluation is pass/fail; there is no numeric scoring. Each Plan Standard is either sufficient or not, based on its associated requirements. Each Standard consists of between one and fifteen requirements. A Yes or No is automatically calculated in each Plan Standard header based on the individual requirement evaluations. In general, a passing score of "C" (i.e. 70% of the requirements for a given Plan Standard) is required for a Standard to pass. Standards with only one or 2 requirements will need one or both of those requirements to pass. Standards with 3 requirements will need at least 2 of the requirements to pass. Standards with 4 or 5 requirements will need at least 3 to pass. Some plan elements are legislated requirements. Such plan elements must be met in order to be considered consistent with plan standards. A summary of the sufficiency of each Standard is automatically calculated on the Standards Summary worksheet. A "No" evaluation indicates that a Standard was not met due to insufficient requirements comprising the Standard. The evaluation for each Plan Standard and any associated insufficiencies is automatically compiled on the Standards Summary page. Additional reviewer comments may be added at the bottom of each standards work sheet.

Note: This review form is meant to be a tool used in conjunction with the relevant IRWM Grant Program Guidelines document to assist in the evaluation of IRWM plans. It is not designed to be a substitute for the guidelines document itself. Reviewers must use the relevant guidelines in determining plan consistency.

Table 7 Plan Standards Review Tool Content

DEFINITION OF TABLE HEADINGS	
IRWM Plan Standard:	As named in the 2016 IRWM Guidelines.
Overall Standard Sufficient:	This field is either "YES" or "NO" and is automatically calculated based on the "Sufficient" column described below. If all fields are "y", the overall standard is deemed sufficient. Any entry other than a "y" in the Sufficient column (i.e. "n", ?, not sure, more detail needed, etc.) results in a NO.
Plan Standard Requirements Which Must Be Addressed	Fields with an asterisk * are required by legislation to be included in an IRWM Plan.
Requirement	Requirements are taken directly from the 2016 IRWM Guidelines.
Included	Is the Guideline Requirement included in the IRWM Plan? The options are: y = yes, requirement is included in the IRWMP; or n = no, requirement is not included in the IRWMP. If only y or n then presence/absence of the requirement is sufficient for evaluation. If there is a "q" (qualitative) then add a brief narrative, similar to a Grant Application Review public evaluation or supporting information.
Plan Standard Source	
2016 IRWM Guidelines/Source Page(s)	Page(s) in the Guidelines (2016 IRWM Guidelines) which pertain to the Requirement.
Legislative Support and/or Other Citations	The CWC or other regulations that pertain to the Requirement, **if applicable**. This is for reference purposes. The cell links to a weblink of the regulatory code.
Evidence of Sufficiency	
Location of Standard in Grantee IRWM Plan	The page(s) or sections in the IRWM Plan where information on the Requirement can be found. This can be specific paragraphs or entire chapters for more general requirements.
Brief Qualitative Evaluation Narrative	Supporting information for the Requirement if a "q" is in the Included column. This can be just a few sentences or a paragraph and can be taken directly from the IRWM Plan. Comments or supporting information may be entered regardless of whether required.
Sufficient	Is the Guidelines requirement sufficiently represented in the IRWM Plan (y/n).

IRWM Plan Standards Review Form
Regional Acceptance Process Planning Region:
Regional Water Management Group:
IRWM Plan Title: DWR Reviewer:

ONE OR MORE PLAN STANDARDS NOT SUFFICIENT

IRWM Plan Standard	Overall Standard Sufficient	Requirement(s) Insufficient
Governance	Yes/No	

Table 7 Plan Standards Review Tool Content		
Region Description	**Yes/No**	
Objectives	**Yes/No**	
Resource Management Strategies	**Yes/No**	
Integration [1]	**Yes/No**	
Project Review Process	**Yes/No**	
Impact and Benefit	**Yes/No**	
Plan Performance and Monitoring	**Yes/No**	
Data Management	**Yes/No**	
Finance	**Yes/No**	
Technical Analysis	**Yes/No**	
Relation to Local Water Planning	**Yes/No**	
Relation to Local Land Use Planning	**Yes/No**	
Stakeholder Involvement	**Yes/No**	
Coordination	**Yes/No**	
Climate Change	**Yes/No**	
Additional Comments:		
1. If not included as an individual section use Governance, Project Review Process, and Data Management Standards per the relevant IRWM Program Guidelines.		

VI. Region Acceptance Process

DWR uses the RAP to evaluate and accept an IRWM region into the IRWM Grant Program, pursuant to Water Code §10541(f). Acceptance of a region through the RAP process is necessary for IRWM regions that anticipate applying for DWR's IRWM grant funding programs.

This section discusses When to Submit, Who Should Submit, What to Submit, How to Submit, and the RAP Review Steps.

DWR will conduct RAP evaluations on an as needed/on request basis in order to provide an opportunity to those regions that have not been accepted into the IRWM Grant Program or that have addressed any prior conditional approval requirements to be evaluated for acceptance into the IRWM Grant Program.

Events that may cause a region to have their previously approved region acceptance status suspended by DWR include but are not limited to: changes in the regional boundary, loss or addition of signatory agencies of the RWMG, continued and prolonged inactivity, and inability to self-sustain IRWM efforts, changes in statutory requirements, or changes in state water management policy. DWR will evaluate any above-listed changes on a case-by-case-basis and will make a suitable determination of the region acceptance status. In the event that DWR suspends a region's acceptance status, DWR will provide the RWMG with written notice of their suspension and the basis for that suspension.

The RWMG may also use the RAP process to formally document more ministerial actions, such as changes to the region name or minor alterations to the regional boundary.

When to Submit

An IRWM region seeking acceptance into the IRWM Grant Program may submit a complete RAP application to DWR at any time.

Who Should Submit

The RWMG, or an entity representing an IRWM, region that meets one of the following conditions should submit RAP materials on behalf of the proposed IRWM region:

- Has not already been granted region acceptance
- Has made significant modifications to the region's characteristics that necessitate reevaluation of the region

Any entity submitting RAP materials on behalf of the RWMG must have been granted specific consent by the RWMG.

What to Submit

The RWMG shall submit RAP materials in the form of written text, maps, figures, and tables that demonstrate that the IRWM region is the most comprehensive, contiguous area defined by common water management issues related to the water system(s), both natural and man-made, including water supply, water quality, environmental stewardship, and flood management.

DWR understands that some regions may be in the initial developmental process and other regions may have more fully developed IRWM planning efforts. A developing IRWM region and an established region may have differing abilities to provide information about their IRWM region. In such cases as appropriate, the developing region may only be able to provide a conceptual discussion and limited supporting information regarding the composition of the IRWM region. The RAP materials must provide the information necessary to justify and support the proposed region boundary. The RAP materials should thoroughly support the basis for the proposed region boundary. The information submitted should be clear and succinctly written. Please do not submit non-essential information. Table 8 describes the specific information a RWMG must submit for the RAP. Corresponding evaluation criteria is provided to clarify how the submitted material will be assessed. If the IRWM region was conditionally accepted in a previous RAP and is submitting information in a subsequent RAP to remove the condition, the entity submitting RAP materials should contact DWR before preparing the RAP submittal. In such cases a full RAP submittal may not be necessary.

In the case of minor alterations to a previously approved IRWM region, the RWMG may submit a letter report documenting the proposed change(s). DWR will review the letter and either make a decision based on the letter or request additional information if deemed necessary.

Table 8 – Submittal Materials and Reviewer Information

WHAT TO SUBMIT	EVALUATION CRITERIA
<u>Submitting Entity:</u> 1. Contact information (name, address, phone, fax, and e-mail) of the person with whom DWR should coordinate. 2. Information on the submitting entity including why the RWMG has selected the entity to submit the RAP materials.	Ensure that contact information was provided. Is it clear that the submitting agency has been given permission to submit on behalf of the RWMG?
<u>RWMG Composition:</u> 3. A description of the composition of the RWMG. Identify RWMG members, including their statutory authority over water supply or water management, their role in the IRWM effort, regional water management responsibilities, and the level of IRWM participation. For each entity, state whether they have adopted, plan to adopt, or will not adopt the IRWM Plan. For the purposes of this document "statutory authority over water supply or water management" may include, but is not limited to, water supply, water quality management, wastewater treatment, flood management/control, or storm water management. This should include a discussion of whether or how Native American Tribes will participate in the RWMG. 4. A description of the difference between RWMG members and stakeholders in terms of development, participation, decision-making, and adoption of the IRWM Plan.	• Have all the RWMG members indicated that they have adopted or plan to adopt the completed IRWM plan? • Does the RWMG consist of at least 3 agencies with at least 2 local agencies having statutory authority over water supply, water quality, water management, or flood protection? • Was a discussion provided about the participation of Native American Tribe in the RWMG? • Is there diversity in the water management responsibilities of the RWMG members? • For entities that are not currently participating in the IRWM effort, are any of these not adequately represented by other RWMG members or stakeholders holding similar water management interests?

Table 8 – Submittal Materials and Reviewer Information	
WHAT TO SUBMIT	**EVALUATION CRITERIA**
Stakeholder Inclusiveness: 5. A listing of the stakeholders participating in the IRWM Plan including each stakeholder's tie to water management within the IRWM region. 6. Describe the procedures, processes, or structures that promote access to information and collaboration among people or agencies, including DAC and EDAs with diverse water management views within the region. 7. A listing of agencies or entities that are not currently participating in the IRWM efforts but could possibly in the future. Also list each of these agencies' or entities' ties to water management within the IRWM region.	• Does the submitted material demonstrate a diverse range of stakeholders including DACs and other interests in water management and use? • Are stakeholders given an opportunity to participate? • Does it appear that the IRWM region is inclusive and utilizes a collaborative, multi-stakeholder process that provides mechanisms to assist and involve DAC and EDAs in addressing water management issues? • Do the RWMG members and stakeholders have access to and exchange information on water management issues? • Are processes and procedures in place that outreach to and allow participation by those entities currently not participating?
Public Involvement: 8. A description of the process being used that makes the public both aware of and part of IRWM efforts. 9. Discuss ways for the public to gain access to the RWMG and IRWM Plan for information and how the public is allowed to provide input. 10. Discuss how the RWMG evaluates and responds to public input.	• Does the RWMG allow the public to participate in regular meetings? • Is there an established method of making meeting agendas, notices, and minutes accessible? • Are the items above posted with sufficient lead-time for the public to participate in meetings? • Is it clear who the public should contact within the RWMG if they have questions regarding regional water management efforts or IRWM planning and implementation in the region? • Are there public meetings held to solicit public comments ahead of major decisions to be made by the RWMG? • What is the process for the public to provide input to the RWMG on regional water management and on the IRWM Plan? • What is the process being used by the RWMG to evaluate and respond to public input?
Governance: 11. Describe the RWMG governance structure and how it will facilitate the sustained development of regional water management and the IRWM process, both now and beyond the state grant IRWM funding programs. 12. Describe how decisions are made. Identify the steps by which the RWMG arrives at decisions and how RWMG members and stakeholders participate in the decision-making process. Examples of RWMG decisions to consider in the discussion include: a. Establishing IRWM Plan goals and objectives b. Prioritizing projects c. Financing RWMG and IRWM Plan activities d. Implementing plan activities e. Making future revisions to the IRWM Plan 13. Describe how the RWMG will incorporate new members into the governance structure. Explain the manner in which a balance of interested persons or entities representing different sectors and interests have been or will be engaged in the process, regardless of their ability to contribute financially to the plan. 14. Describe any conflict resolution processes and any known existing conflicts regarding water management in the region.	• Is it clear how decisions are made, including establishing plan goals and objectives, prioritizing projects, financing RWMG activities, implementing plan activities, and making future revisions to the IRWM Plan? • Who participates in the decision making process? • Are all of the RWMG members involved or are there designated committees? • Does the governance structure allow only certain RWMG members to vote on decisions? • Does the decision making process allow for the participation of stakeholders and smaller entities? • Can stakeholders influence RWMG decisions? • Do members have to contribute financially to the RWMG to be allowed a voice? • Can the RWMG governance structure facilitate the sustained development of the IRWM region now and beyond the current IRWM funding programs? • Do conflict resolution processes exist in the governance structure? • Will the processes and procedures as described result in the promotion of integrated, multi-benefit, regional solutions that incorporate environmental stewardship toward development and implementation of the IRWM

Table 8 – Submittal Materials and Reviewer Information	
WHAT TO SUBMIT	**EVALUATION CRITERIA**
15. Explain how the governance structure results in an IRWM planning effort that is inclusive and utilizes a collaborative, multi-stakeholder process that provides mechanisms to assist DAC and EDAs; addresses water management issues; and promotes integrated, multi-benefit, regional solutions that incorporate environmental stewardship toward the development and implementation of the IRWM Plan.	Plan? • Did the RWMG demonstrate a reasonable and effective governance structure for development and implementation of the IRWM Plan?
<u>Region:</u> 16. Present the features that dictate and describe how the IRWM regional boundary was determined, such as: a. Political/jurisdictional boundaries b. Groundwater basins as defined in DWR Bulletin 118, Update 2003 – California's Groundwater c. Watersheds d. RWQCB boundaries e. Physical, topographical, geographical, and biological features f. Surface water bodies g. Major water-related infrastructure 17. Explain how the IRWM region encompasses the service areas of multiple local agencies and will maximize opportunities to integrate water management activities related to natural and manmade water systems, including water supply reliability, water quality, environmental stewardship, and flood management. 18. Please include a map of the IRWM boundary. 19. Please include a GIS shapefile on CD showing the IRWM region boundary. The GIS file must be NAD83, UTM 10 or UTM11.	• Does it appear that the IRWM region boundary was based solely on jurisdictional boundaries? • Is the basis and rationale clear for the IRWM region boundary? • Does the region make sense for long-term water management? How? • Does the IRWM region boundary consider multiple water management boundaries such as watersheds and groundwater basins? • Does the IRWM region encompass the service areas of multiple local agencies? • Does it appear that the IRWM region is structured: o To maximize opportunities to integrate water management activities related to natural and man-made water systems, including water supply reliability, water quality, environmental stewardship, and flood management? o Such that the water management portfolio in the region is strengthened and diversified?
<u>Water Management History:</u> 20. Describe the history of IRWM efforts in the region. 21. Describe the regional water management issues and any water-related conflicts in the region. Include a discussion of any progress towards resolution of any water–related conflicts. Issues and conflicts may relate to water supply, water rights, water quality, flood management, environmental stewardship, imported water, waste water, conjunctive use, etc.	• Is the history of the IRWM efforts in the region discussed? • Are the water management issues and water-related conflicts presented clearly? • If applicable, how has water conflict been managed in the region? • Does the region boundary appear appropriate given the context of the region's unique water management issues? • Do the listed stakeholders (See Stakeholder Inclusiveness, above) provide a balanced representation of the water issues in the region?

Table 8 – Submittal Materials and Reviewer Information	
WHAT TO SUBMIT	**EVALUATION CRITERIA**
Inter-regional Coordination: 22. A description of the IRWM region's relationship and coordination with adjacent IRWM regions. 23. Identify any overlapping areas and explain the basis for the overlap. Discuss whether there is a clear relationship and acknowledgement by both regions that the overlap is acceptable. 24. Describe any areas within the IRWM region boundary that are excluded or create a void area with adjacent IRWM regions and explain why this is reasonable and appropriate. 25. Describe any distinct water management differences between adjacent or overlapping IRWM regions that support being separate IRWM regions.	• Has the RWMG successfully managed overlaps or gaps within and outside of the region boundary? • If there are overlapping IRWM regions, is there a clearly defined relationship between the IRWM planning efforts? • Are there indications that the overlapping regions have discussed and will continue to discuss their water management issues and coordinate on activities occurring in overlapping areas? • If there are inter-regional water management issues across adjacent IRWM regions, is there a clearly defined relationship between the IRWM planning efforts? • Are there indications that the adjacent regions have committed to a process to address their inter-regional water management issues and coordinate on interrelated water management activities? • Does the submittal describe any areas within the region that are excluded or create a void area, and if so, explain why this is reasonable and appropriate? • Has the boundary been drawn such that the region leaves uncovered areas immediately outside the boundary? • Based on the justification for the region boundary, the water management issues, and coordination with adjacent areas, does the proposed region represent the largest defined contiguous geographic area that maximizes opportunities to integrate water management activities related to natural and man-made water systems?

How to Submit

Applicants may e-mail the complete RAP application to DWR at DWR_IRWM@water.ca.gov or may submit information with their Planning Grant application. Please see the 2016 Planning Grant PSP for further information on submitting a RAP application as part of a planning grant application.

IRWM RAP Review Steps

Step 1 – Submission of RAP material

RWMG submits materials to DWR, as described in "What to Submit" column of Table 8.

Step 2 – DWR reviews RAP material

DWR reviews the RAP material using evaluation criteria from Table 8, and makes one of the following determinations:

1. Application not accepted. The information presented does not support the concepts and basis for the proposed IRWM region, including the region boundary and governance structure of the RWMG. Following this review, DWR will identify for the applicant the reasons why the application does not support the basis for the IRWM region.
2. Application potentially accepted. Based on the information presented, DWR may schedule an interview with the RWMG. DWR will prepare a list of questions or discussion points to clarify the questionnaire responses. An e-mail with the questions/discussion points will be sent to the point-of-contact indicated in the RAP materials submitted by the RWMG. The e-mail will also provide the date, time, and location of the interview.

STEP 3 – INTERVIEWS, IF NECESSARY

If DWR determines an interview is necessary, including questions or discussion points, described in Step 2, DWR representatives will contact and schedule an interview meeting time and location. The RWMG may wish to prepare a presentation in response to the questions and discussion points sent previously by DWR. DWR will have an opportunity to ask questions and seek clarification. The purpose of the interview is to provide DWR with answers to questions raised during the review process. Representatives of the SWRCB, the appropriate RWQCB, or other interested state agencies may participate in the interviews. The applicant will be informed of the number of representatives to participate in the RAP interview. RWMGs will be expected to limit their presentation to approximately one hour.

During the interview, the RWMG may be requested to submit additional information to DWR. This additional information may be considered by DWR before making draft region acceptance status recommendations for a region. At the time of the interview, the RWMG will be instructed to submit any additional information to DWR by a specified date.

STEP 4 – DECISION PROCESS

DWR will consider the RAP materials and information discussed during the interview process. DWR will post draft region acceptance status recommendations for the regions evaluated during the RAP. The draft recommendations will be posted on the website in the Foreword. An e-mail announcement will be issued via IRWM's e-mail distribution list. If a RWMG representative is not already on the IRWM contact list and wishes to subscribe, the representative may request to be added by sending an e-mail with contact information to the e-mail addressed listed in the Foreword.

Before making a final decision, DWR will provide a public comment period. Based on the draft region acceptance recommendations, public comments received, and consultation with reviewers, DWR's Director will make one of the following determinations:

1. Region Not Accepted. The information provided in the RAP materials and the interview does not reasonably support the concepts and basis for one or more of the following: the IRWM region boundary, governance structure, or inclusion of Native American Tribes or stakeholders.
2. Region Accepted. The information provided in the RAP materials and the interview reasonably supports the IRWM region boundary, governance structure, or inclusion of Native American Tribes or stakeholders.
3. Region Conditionally Accepted. In some regions where information on the exact region boundaries is not complete (or accepted by DWR), or where the governance structure or Native American Tribes or stakeholder involvement functions of a region are not well understood, DWR may issue conditional region acceptance.
4. Other Action. DWR may make other recommendations as necessary to address specific concerns with an individual IRWM region or a group of IRWM regions.

DWR's final RAP decisions will be posted on the IRWM website, along with an updated map of IRWM regions, and e-mailed to the IRWM distribution list.

If the region is not accepted or conditionally accepted into the grant program, then DWR will notify the RWMG of the reason(s) for non-acceptance or the reason(s) for not granting full acceptance and the limitation to its participation in the grant program. The RWMG will need to update RAP materials to demonstrate that the RWMG has addressed the conditional acceptance items, if it wishes to participate in the grant program.

If the region is granted conditional acceptance, it will only need to submit those materials during the next RAP that address all of the reasons for the conditional acceptance; it will not be required to resubmit previously submitted materials that have otherwise not changed since the previous RAP. In this case, the applicant should provide affirmation that no other significant changes have occurred in the region and that the current application materials supplements the previous application.

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