

# 2021 Urban and Multibenefit Drought Relief Grant Program

## Guidelines and Proposal Solicitation Package

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CALIFORNIA NATURAL RESOURCES AGENCY  
DEPARTMENT OF WATER RESOURCES  
DIVISION OF REGIONAL ASSISTANCE





## FOREWORD

This document contains the California Department of Water Resources' (DWR) Guidelines and Proposal Solicitation Package (GL/PSP) for the Urban and Multibenefit Drought Relief Grant Program. The Program is funded by the Budget Act of 2021 (Stats. 2021, ch. 240, § 80). Applicants must read the entire document and are encouraged to read linked references and templates prior to submitting their application.

### Grant Program and Drought Websites

This document, as well as other pertinent information about the Urban and Multibenefit Drought Relief Grant Program, can be found at the following link:

<https://water.ca.gov/Water-Basics/Drought/urbanmultibenefitdrought>

In addition, information about other DWR and State Agency drought efforts and funding programs can be found at the following link: <https://water.ca.gov/Water-Basics/Drought>

### Contact Information

For questions about this document or the Program, please send an e-mail to: [Urbandrought@water.ca.gov](mailto:Urbandrought@water.ca.gov).

### Grant Agreement

All applicants that are awarded funding will be required to enter into a grant agreement with DWR. The grant agreement template can be found at the following link:

<https://water.ca.gov/Water-Basics/Drought/urbanmultibenefitdrought> .

It is HIGHLY recommended that applicants review the grant agreement template prior to submission of their application. If applicants are not able to abide by the terms and conditions contained therein, applicants should not submit an application. Note that the agreement template is subject to change prior to agreement execution.

### Application Timeline

Applications will be accepted following publication of the Final GL/PSP. Updated timelines will be posted on the following website:

<https://water.ca.gov/Water-Basics/Drought/urbanmultibenefitdrought> . Applicants are encouraged to check the website frequently for updates.

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## ACRONYMS AND ABBREVIATIONS

<b>Abbreviation</b>	<b>Definition</b>
AB	Assembly Bill
AP	Advanced Payment
AWMP	Agricultural Water Management Plan
CASGEM	California Statewide Groundwater Elevation Monitoring
CEQA	California Environmental Quality Act
DAC	Disadvantaged Community
DIR	California Department of Industrial Relations
DWR	Department of Water Resources
EO	Executive Order
GB	Gigabyte
GL	Guidelines
GSA	Groundwater Sustainability Agency
GWMP	Groundwater Management Plan
LPS	Local Project Sponsor
NA	Not Applicable
NAHC	Native American Heritage Commission
PSP	Proposal Solicitation Package
SB	Senate Bill
SGMA	Sustainable Groundwater Management Act
URC	Underrepresented Community
UWMP	Urban Water Management Plan
Water Code	California Water Code
WSCP	Water Shortage Contingency Plan

## I. PURPOSE AND USE

This Guidelines and Proposal Solicitation Package (GL/PSP) establishes the process, procedures, and criteria that the Department of Water Resources (DWR) will use to implement the Urban and Multibenefit Drought Relief Grant Program (Program). The GL/PSP is a combined document that provides both general information about the Program and detailed information about the proposal solicitation. This document includes information on Program requirements, eligible applicant and project types, submittal and review of grant applications, and the grant award process. This Program is being conducted separately and independently from the [Small Community Drought Relief Program](#), except that applications received under either program may be referred to the other if deemed to be a better fit in terms of eligibility.

## II. INTRODUCTION

The Budget Act of 2021 (Stats. 2021, ch. 240, § 80) allocated \$300 million to DWR to deliver grants for interim and immediate drought relief to urban communities and for multibenefit projects. These grants are intended to provide water to communities that face the loss or contamination of their water supplies, to address immediate impacts on human health and safety, and to protect fish and wildlife resources.

## III. PROGRAM SCHEDULE

Table 1 outlines the general schedule for this Program. This schedule is subject to change. Applicants are encouraged to check the website listed in the Foreword frequently for exact dates as they become available. Applications will be accepted on a rolling basis and evaluated at set intervals. Awards will be made on set intervals throughout the solicitation.

**Table 1 – Urban and Multibenefit Drought Relief Grant Program Schedule**

Activity	Schedule*
DWR releases final GL/PSP	October 2021
DWR begins accepting applications on a rolling basis (see Section V.I.I. C for more detail)	Following release of final GL/PSP
DWR announces grant awards in phases	Starting early December 2021; award for a particular application will be dependent on application submittal date.

\*Subject to change. Program website will have updated information.

## IV. FUNDING

### a. Funding Source

The Budget Act of 2021 (Stats. 2021, ch. 240, § 80) for the State of California allocated \$300 million to DWR to deliver grants for interim and immediate drought relief to urban communities and for multibenefit projects. DWR is combining \$200 million of the funding into one Urban and Multibenefit Drought Relief Program and will match applications to the appropriate funding source based on eligibility (see Table 2 for the breakdown). DWR will utilize approximately 5% of the funding for administrative costs of the Program. DWR retains discretion to utilize additional funds for state operations.

**Table 2 – Funding Summary**

Funding Source*	Amount	Who may receive money from this funding source?
Urban Community Drought Relief	Approx. \$95 million	Projects benefitting areas covered by an <a href="#">Urban Water Management Plan</a>
Multibenefit Project Funds	Approx. \$95 million	Open to all communities statewide
Program Administration (approx. \$5 million from each funding source above)	Approx. \$10 million	DWR administrative costs and other State Operations as appropriate
<b>Total funding amount addressed by this solicitation</b>	<b>\$200 million</b>	-

*\*Projects may be funded by either Urban Community Drought Relief funds or Multibenefit Project funds or a mix of both. DWR will match applications to the appropriate funding source based on eligibility and the availability of funds.*

This GL/PSP makes at least \$190 million in drought relief funding available. A Set-Aside of at least \$50 million will be made available to support Underrepresented Communities and Native American Tribes (Tribes) via the existing Proposition 1 IRWM Disadvantaged Community Involvement Program (DACI) for drought relief projects. See Appendix F for more information on Underrepresented Communities; see Section V.a. for a list of Tribes eligible for the drought relief funding. The remaining funds, approximately \$140 million, will be available to all eligible applicants, including Underrepresented Communities and Tribes.

This Program strategy is intended to award all available Urban Community Drought Relief funding (approximately \$95 million) and half of the available Multibenefit Project funding (approximately \$95 million) through this solicitation. DWR may make additional funds available from the remaining Multibenefit Project funds should the demand exceed the amount made available through this solicitation.

**b. Underrepresented Communities and Native American Tribes Set-Aside (\$50M)**

A Set-Aside of at least \$50 million will be made available to support Underrepresented Communities and Native American Tribes (Tribe or Tribes) through the Proposition 1 IRWM Disadvantaged Community Involvement (DACI) Program. Applicants for this Set-Aside should preferably be an existing Grantee of the DACI Program or be an eligible applicant selected by the Funding Area<sup>1</sup> to act as the Grantee. Grantees may be awarded up to \$5 million (no minimum) to fund eligible drought relief projects benefitting Underrepresented Communities or Tribes within a Funding Area. Existing DACI grantees that receive funding through this Set-Aside will amend their existing DACI grant agreements. The Grantee/Applicant may request additional funding for existing eligible projects within their DACI grant agreement or request funding for new drought relief projects. All IRWM regions within a Funding Area must approve submittal of an application, as well as provide proof of approval by the Funding Area prior to amending an existing agreement.

**c. General Implementation Fund (\$140M)**

The remaining \$140 million will be granted to all eligible applicants, including Underrepresented Communities and Tribes with a minimum award amount of \$2 million per application. Smaller projects

<sup>1</sup> Proposition 1 (Water Code §79744) authorized \$510 million in IRWM grant funds that were allocated to the 12 hydrologic region-based Funding Areas.



may be bundled together in a single application to meet the minimum grant award requirement. For such applications, DWR requires a single primary Grantee to enter into the grant agreement with DWR and each project should have an assigned “local project sponsor” (LPS). The LPS must qualify as an eligible applicant (see V.a.). DWR may establish a maximum award size depending on the applications received and available funds.

**d. Funding Match Requirements**

No funding match is required for this Program; however, applicants are encouraged to use other fund sources to supplement the grant funds. Applicants are required to describe all other funding sources (actual and anticipated) necessary to complete the project.

**e. Advanced Payment**

To be eligible for advanced payment, projects must benefit a county and/or watershed included in the Governor’s state of emergency drought proclamations or a drought scenario determined by the State Water Board as set forth in Water Code Section 13198(a). Advanced payment up to 25% of the grant award will be available to eligible applicants that can demonstrate difficulty with cash flow (See Appendix E). Note that a project not explicitly identified in Water Code section 13198(c) (e.g., drought resilience planning, demand management) are not eligible to receive advance payment. Applicants are encouraged to review the statute and contact DWR with specific questions.

**V. ELIGIBILITY**

**a. Eligible Applicants**

The grant applicant is the entity submitting the grant application; this entity will also be the primary entity to enter into the grant agreement with DWR. Entities that are eligible to apply under this GL/PSP (or included as LPS in the application) are listed below:

- Public agencies
- Public utilities
- Special districts
- Colleges and universities
- Mutual water companies
- Non-profit organizations<sup>2</sup>
- Regional water management groups, as defined in Section 10539 of the Water Code
- Federally recognized California Native American Tribes
- Non-federally recognized Native American Tribes on the contact list maintained by the Native American Heritage Commission for the purposes of Chapter 905 of the Statutes of 2004

An applicant must be an existing Grantee of the Proposition 1 IRWM DACI Program to apply for the Underrepresented Community and Tribal Set-Aside. As stated earlier, DWR will match grant applications to the appropriate funding source based on eligibility and may use a mix of Urban Community Drought Relief and Multibenefit Project funding. The Urban Community Drought Relief funding source must be used for projects directly benefitting areas served by an Urban Water Supplier (see Appendix A for definition); however, the Multibenefit Project funding has no such restrictions.

**b. Eligible Project Types**

For the purposes of this GL/PSP, “project” means all planning, design, engineering, acquisition of real property interests, construction and related activities undertaken to implement a discrete action to be funded under this Program. Eligible project types include:

- Hauled water
- Installation of temporary community water tanks

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<sup>2</sup> “Non-profit organization” means an organization qualified to do business in California and qualified under Sections 501(c)(3) of Title 26 of the United States Code.

- Bottled water
- Water vending machine
- Emergency water interties
- New wells or rehabilitation of existing wells
- Construction or installation of permanent connection to adjacent water systems, recycled water projects that support immediate relief to potable water supplies
- Fish and wildlife rescue, protection, and relocation
- Drought resilience planning (not applicable to Multibenefit Project Funds)
- Other projects that support immediate drought response

Projects (e.g., water demand management, groundwater recharge, and ecosystem restoration) not explicitly identified by Water Code Section 13198 (c) may still be eligible if projects satisfy the criteria and eligibility outlined in this GL/PSP and address an immediate drought response. Applicants are encouraged to review the supporting materials and contact DWR with questions on eligibility.

**c. Eligible Costs & Reimbursement Limitations**

Costs incurred after award date are eligible for reimbursement. Eligible costs include technical assistance, site acquisitions, and costs directly related to the provision of each project.

Grantees are encouraged to limit grant administrative costs (i.e., coordinating contractual obligations with DWR, quarterly reporting, submitting invoices, etc.). Grant administrative costs should generally not exceed 10% of the total requested grant amount for the application, but exceptions may be made with reasonable justification.

Ineligible activities and costs not reimbursable by this Program include, but are not limited to, the following items:

- Meals not directly related to travel
- Payment of stipends
- Purchase of equipment that is not an integral part of the project
- Purchase of water supplies that are not an integral part of the project
- Establishment of a reserve fund
- Replacement of existing funding sources for ongoing programs
- Support of existing punitive regulatory agency requirements and/or mandates in response to negligent behavior
- Purchase of land in excess of the minimum required acreage necessary to operate as an integral part of the project, as set forth and detailed by engineering and feasibility studies, or land purchased prior to the execution of the grant agreement
- Payment of principal or interest of existing indebtedness or any interest payments.
- Operation and maintenance costs
- Costs incurred as part of any necessary response and cleanup activities required under the Comprehensive Environmental Response, Compensation, and Liability Act; Resource Conservation and Recovery Act; Hazardous Substances Account Act; or other applicable law
- Any federal or state taxes
- Expenses incurred in preparation of the application for this solicitation or an application for another program
- Indirect costs: Indirect Costs are costs that are incurred for a common or joint purpose benefiting more than one cost objective and are not readily assignable to the funded project (i.e., costs that are not directly related to the funded project). Examples of Indirect Costs include, but are not limited to, central service costs; general administration of the Funding Recipient; non-project-specific accounting and personnel services performed within the Funding Recipient’s organization; depreciation or use allowances on buildings and equipment; the costs of operating and maintaining non-project-specific facilities; tuition; conference fees, and generic overhead or

markup. It is highly recommended that the applicant review the agreement template for further guidance on how to correctly submit charges for administrative expenses.

This list applies to the Grantee and any subcontract or sub-agreement entered into for work on the funded project that will be reimbursed with grant funds from DWR.

**d. Additional Application and Project Eligibility Requirements**

As part of this GL/PSP, all projects (or a single project) submitted in a single application are collectively referred to as an Application. Application and project eligibility requirements for this GL/PSP are included in Table 3. All applicants are required to submit a self-certification form to certify compliance with the requirements to demonstrate and maintain eligibility to receive state funds. Appendix D provides more detailed information on the eligibility requirements.

**Table 3 - Additional Application and Project Eligibility Requirements**

Criteria Type	Eligibility Criteria	Guidance	Criteria Met (Yes, No, or NA)
Applicant Eligibility	Eligible Applicant Type	Applicant must be an eligible applicant type as described in Section V.a. Also, complete the self-certification form.	
Applicant Eligibility	Urban Water Management Compliance	If the applicant is an Urban Water Supplier, they must be in compliance with all requirements for Urban Water Suppliers. An exception will be for applications to update Urban Water Management Plans. See Appendix D for more information. Complete the self-certification form and include the date of plan verification and details for each LPS.	
Applicant Eligibility	Water Shortage Contingency Plan (WSCP)	If the applicant is an Urban Water Supplier facing water supply shortages, they must have activated a Water Shortage Contingency Plan to a stage commensurate with their current water supply conditions. If you are an Urban Water Supplier and have adequate water supply with no need to activate a WSCP, you are still eligible. See Appendix D for more information. Complete the self-certification form and include the date of plan activation and details for each LPS.	
Applicant Eligibility	Agricultural Water Management and Measurement Compliance	If the applicant is an Agricultural Water Supplier, they must be in compliance with all requirements for an Agricultural Water Supplier. See Appendix D for more information. Complete the self-certification form and include the date of plan verification and details for each LPS.	
Applicant Eligibility	Surface Water Diverter Compliance	If the applicant is a Surface Water Diverter, they must be in compliance with all reporting requirements for Surface Water Diversions. See Appendix D for more information. Complete the self-certification form for each LPS.	
Applicant Eligibility	Groundwater Management Compliance	If the project directly affects groundwater, the project must be in compliance with the local Groundwater Management Plan(s). See Appendix D. Complete the self-certification form and indicate if the agency self-certifies regarding Groundwater Management Plans or the project does not affect groundwater for each LPS.	

Criteria Type	Eligibility Criteria	Guidance	Criteria Met (Yes, No, or NA)
Applicant Eligibility	California Statewide Groundwater Elevation Monitoring (CASGEM) Compliance	The Applicant and Local Project Sponsor must be compliant with CASGEM. Complete the self-certification form and include the name of monitoring entities.	
Local Project Sponsor Eligibility	Local Project Sponsor Requirements	Each Local Project Sponsor must meet the same eligibility requirements as the applicant if applicable.	<b>Utilize same checklist as above for each Local Project Sponsor</b>
Project Eligibility	Stormwater Resource Plan Compliance	If the project is a stormwater and/or dry weather runoff capture project, it must be included in a Stormwater Resource Plan (or functionally equivalent plan). Complete self-certification form.	
Project Eligibility	Groundwater Sustainability Agency Support	If the project affects Groundwater in a high or medium priority basin, the project must have the support of the local Groundwater Sustainability Agency (GSA), or agency responsible for implementing an Alternative Plan. Complete self-certification form.	
Project Eligibility	Eligible Project Type	The project must be one of the eligible project types described in Section V.b.	
Project Eligibility	Project Purpose	<p>Projects must meet one of the following purposes:</p> <ul style="list-style-type: none"> <li>(1) Address immediate impacts on human health and safety, including providing or improving availability of food, water, or shelter.</li> <li>(2) Address immediate impacts on fish and wildlife resources.</li> <li>(3) Provide water to persons or communities that lose or are threatened with the loss or contamination of water supplies.</li> </ul>	

Criteria Type	Eligibility Criteria	Guidance	Criteria Met (Yes, No, or NA)
Project Eligibility	Multibenefit	Each project must produce two or more benefits with the primary benefit being related to water management. The primary benefit must be quantified unless it is a drought resilience planning project. Complete grant application Questions 8 and 9.	
Project Eligibility	Alignment with IRWM Plan	Projects must enhance regional drought resilience and align with the goals and objectives of the relevant approved Integrated Regional Water Management (IRWM) Plan. A project can identify the appropriate IRWM region by using the map found in Appendix E – links. Complete grant application Question 7.	

## VI. GENERAL PROGRAM GUIDELINES

### a. Conflict of Interest

All participants are subject to State 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 agreement being declared void. Other legal action may also be taken. Applicable statutes include, but are not limited to, Government Code section §1090 and Public Contract Code sections §10410 and §10411. As part of the conflict-of-interest requirements, individuals working on behalf of a Grantee may be required by the State to file a Statement of Economic Interest (Fair Political Practices Commission Form 700) if it is determined that an individual is a consultant for Political Reform Act purposes.

### b. Confidentiality

Applicants should be aware that when submitting an application to the State, they will waive their rights to the confidentiality of the contents of the application. Once a decision on an application has been made by DWR, the application is subject to disclosure pursuant to the California Public Records Act (Gov. Code, § 6250 et seq.).

### c. Labor Law Compliance

As part of the grant agreement, the funding recipient (Grantee or LPS) shall agree to be bound by all the provisions of the Labor Code regarding prevailing wages and shall monitor all contracts subject to reimbursement from the grant agreement to assure that the prevailing wage provisions of the Labor Code are being met. Current Department of Industrial Relations (DIR) requirements may be found at: <http://www.dir.ca.gov/lcp.asp>. Before submitting an application, applicants are urged to consult with their legal counsel regarding Labor Code compliance. DWR will not advise applicants on Labor Code compliance. For more information, please refer to DIR's Public Works Manual at: <http://www.dir.ca.gov/dlse/PWManualCombined.pdf>. The funding recipient will also affirm that it is aware of the provisions of Section 3700 of the Labor Code, which requires every employer to be insured against liability for workers' compensation or to undertake self-insurance.

### d. CEQA/NEPA Compliance

Activities funded under this Program, regardless of funding source, must comply with the California Environmental Quality Act (CEQA) (Public Resources Code § 21000 et seq.). Public Resources Code section 21080.3.1 requires the CEQA lead agency to consider project effects on Tribal cultural resources and to conduct consultation with California Native American Tribes. Some projects conducted on Tribal lands or with a federal permitting requirement may also require compliance with the National Environmental Policy Act (NEPA) (42 USC § 4321 et seq.).

### e. Monitoring Requirements

Water quality monitoring data shall be collected and reported to the State Water Board in a manner that is compatible and consistent with surface water monitoring data systems or groundwater monitoring data systems administered by the State Water Board (Water Code § 79704). See Appendix G for web links to the California Environmental Data Exchange Network and the Groundwater Ambient Monitoring and Assessment Program (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 section 10927 requires various entities, including local agencies that are managing all or part of a groundwater basin pursuant to Water Code section 10750, to assume responsibilities for groundwater elevation monitoring and reporting, as required by Water Code section 10920 et seq. Appendix A provides a link to the CASGEM program 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 must include signage or other relevant forms of acknowledgement informing the public that the project received drought relief funds from the Budget Act of 2021.

**g. Tribal Status**

The Department of Water Resources acknowledges federally recognized Tribes are protected by the doctrine of sovereign immunity. Further, the Department acknowledges that there are several types of Tribal land ownership, such as the following:

1. Land that is owned by or subject to an ownership of possessory interest of the Tribe.
2. Land that is “Indian Lands” of the Tribe, as that term is defined by 25 U.S.C. section 81(a)(1);
3. Land that is owned by a tribal entity, or Tribe, within the external border of such Indian lands.

If a Tribe is awarded grant funding, DWR will consult with the Tribe on a government-to-government basis to execute a limited waiver of sovereign immunity prior to the execution of a grant agreement.

**h. Competitive Bidding and Procurement**

A funding recipient’s contracts with other entities for the acquisition of goods, services, and construction of public works with funds provided by the State must be in writing and shall comply with all applicable laws and regulations regarding the securing of competitive bids and undertaking competitive negotiations. If a funding recipient does not have a written policy to award contracts through a competitive bidding or sole source process, Department of General Services’ State Contracting Manual rules must be followed and are available at: <https://www.dgs.ca.gov/OLS/Resources/Page-Content/Office-of-Legal-Services-Resources-List-Folder/State-Contracting>. Applicants with questions regarding competitive bidding requirements should be directed to their counsel. DWR will not advise applicants on competitive bidding requirements.

**i. Indemnify and Hold Harmless**

As part of the grant agreement, funding recipients shall indemnify and hold harmless the State, its officers, agents, and employees from any and all liability from any claims and damages (including inverse condemnation) arising from the planning, design, construction, repair, replacement, rehabilitation, maintenance, and operation of the project, and any breach of the grant agreement.

**VII. APPLICATION AND AWARD PROCESS**

**a. How to Submit**

Each applicant must use the application form available on the Program website, and submit a complete application to DWR using the following e-mail address:

Urbandrought@water.ca.gov

Applications may be submitted starting on the date specified on the website listed in the Foreword and will be accepted until the funding is exhausted. Any additional materials beyond the required items will not be reviewed. In addition to the set aside funds, DACI Grantees may also apply for the General Implementation Fund, but must submit a separate application.

A complete grant application consists of the following items:

- Authorizing Resolution if available (See Appendix B)
- Application form (See Appendix C)
- Self-Certification Form (See Appendix D)



- Support letter from GSA if project affects groundwater
- Underrepresented Community Benefits, if applicable (See Appendix F)

**b. Application Review Process**

DWR will perform an initial eligibility and completeness review for each application upon receipt. Applications will be screened for eligibility and completeness in accordance with this GL/PSP. The information provided by applicants will be used to determine eligibility and completeness.

If an application is initially determined to be complete and eligible, the applicant will be notified via email and their application will move on to technical review. If an application is deemed to be incomplete and/or ineligible, the application will not be reviewed and DWR will notify the applicant by email. The applicant may adjust the eligibility/completeness and resubmit the application at a later date.

Applications that are complete and eligible will proceed to technical review and be reviewed for responsiveness to the solicitation. Each application will be evaluated based on the following criteria as being sufficient or not sufficient in responsiveness to the GL/PSP. DWR will complete technical review and award funding on a rolling basis as applications are received.

**Table 4 - Technical Evaluation Criteria**

#	Criteria	Evaluation Guidance	Application Question No.
1	The application includes a schedule that demonstrates the project will be complete by March 31, 2026	The schedule is reasonable in demonstrating each project will be complete by March 31, 2026 based on the project type, status, and setting. Drought relief funds will expire on June 30, 2026.	Question 20
2	The application clearly explains the water-related impacts due to the current drought	The applicant describes water-related impacts from the current drought including but not limited to, impacts on water supply, water quality, and lack of flow for in-stream wildlife.	Question 11
3	The application clearly demonstrates how the proposed project will help alleviate the identified drought impacts	The applicant describes how each project will alleviate drought impacts based on a justified set of benefits.	Question 12
4	The application clearly demonstrates a need for state funds to complete the project and that any additional funds necessary are/will be secured to complete the project on schedule.	The applicant must show why the project could not be completed in a timely manner without state funds. The project must have secured or have a strong plan in place to secure any additional funding necessary to complete the construction of the project. DWR may award partial funds for projects that do not clearly demonstrate a need for full funding.	Question 14 and Question 15

Eligible projects that reasonably satisfy all criteria (Table 4) and meet one or more of the priorities listed below will be prioritized for funding first:

- Projects that respond to critical human and/or wildlife emergencies.<sup>3</sup> Consideration will be given to such emergency projects that benefit communities, particularly underrepresented communities (see Appendix F), facing a Human Right to Water challenge.
- Projects that can commence immediately upon receiving funding due to CEQA completion, having secured other environmental approvals, acquired necessary land or landowner permission, and completed plans and specifications.
- The applicant is an Urban Water Supplier and has activated its Water Shortage Contingency Plan commensurate with a stage appropriate for their current water supply conditions. A higher priority will be placed on Urban Water Suppliers that have activated a higher stage of their Water Shortage Contingency Plan.

If sufficient funding exists, projects that do not meet a priority above may be funded. It is anticipated that demand for funding will far exceed the funding available. DWR will make efforts to award funds equitably throughout the areas of the state eligible to receive drought funding. DWR may make partial awards to ensure equitable distribution of funding.

#### **c. Award Process**

DWR will go through the application review and award process in phases by setting “application review dates” according to the schedule posted on the website listed in the Foreword. The schedule will be updated as needed based on the number and timing of applications received. DWR will award a portion of the available funding in each phase. Eligible applications that do not receive an award (due to insufficient funds in a particular phase) will be held and prioritized against new applications in the next phase.

Awards will be posted on DWR’s website and may be announced to the public through e-mail listserv or other means. Following approval by the Director or designee, the selected grant recipient (Grantee) will receive an award letter officially notifying them of their selection, the grant amount, and associated conditions and requirements.

#### **d. Direct Expenditures**

In addition to the solicitation process, DWR reserves the right to use any or all of funds for direct expenditures that fulfill the requirements and intent of the legislation and DWR priorities. DWR may propose direct expenditure projects in response to applications submitted and/or to achieve program objectives. Direct expenditure projects must address an interest of the State and the Program. These projects may be proposed and approved at any time by DWR. Direct expenditures must meet the eligibility criteria outlined in Section V.

### **VIII. GRANT AGREEMENT**

After the grant award is approved and the Applicant is notified, a grant agreement will be executed between DWR and the Grantee; funds will not be disbursed until there is an executed agreement. DWR has discretion to develop new agreements or amend any current agreements wherever feasible (for existing Grantees). Grantees that receive funding through the Underrepresented Communities and Tribal Set-Aside Fund may amend their existing Proposition 1 IRWM DACI grant agreement. The grant agreement template is available on the website listed in the Foreword. It is HIGHLY recommended that applicants review the grant agreement template prior to submitting their application. If applicants are not able to abide by the terms and conditions contained therein, applicants should not submit an application. As part of the grant agreement, the Grantee will be required to submit quarterly progress reports, invoices, and deliverables.

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<sup>3</sup> An emergency project is considered a current water supply shortage and/or water quality emergency of a dimension which significantly impacts water supply and, thereby, endangers the public health, safety or welfare of a specific community, region, or a species of concern or a species listed on either the California or Federal Endangered Species Acts.

## Appendix A- 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.

**Advanced Payment** – is available for certain projects meeting the criteria specified in Appendix E. Advanced payment is only available for eligible reimbursable costs (see reimbursable costs definition below).

**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, public utility, special district, college or university, mutual water company, non-profit organization, regional water management group as defined in Section 10539 of the Water Code, federally recognized California Native American Tribe, or non-federally recognized Native American Tribe on the contact list maintained by the Native American Heritage Commission for the purposes of Chapter 905 of the Statutes of 2004.

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

**California Native American Tribe** – Federally recognized California Native American Tribes or Non-federally recognized Native American Tribes on the contact list maintained by the Native American Heritage Commission for the purposes of Chapter 905 of the Statutes of 2004.

**Climate Resilience** – means the ability of an entity or system, including an individual, a community, an ecosystem, or a natural system, and its component parts, to absorb, accommodate, or recover from the effects of a climate event in a timely and efficient manner, including through ensuring the preservation, restoration, or improvement of its essential basic structures and functions. In the case of natural and working lands, climate resilience includes the preservation, restoration, or enhancement of the ability to sequester greenhouse gases.

**Disadvantaged Community** – a community with an annual median household income that is less than 80 percent of the Statewide annual median household income.

**Drought Resilience Planning** – Planning efforts intended to foster long term resilience to drought to address one or more of the following: (1) building a community’s coping capacity and ability to prepare for and adapt to drought; (2) improving drought early warning, forecasting, and monitoring; (3) improving drought emergency response; and (4) improving recovery and relief from adverse effects.

**Emergency Project** - A water supply shortage and/or water quality emergency of a dimension which significantly impacts water supply and, thereby, endangers the public health, safety or welfare of a specific community or region or a water supply shortage to a species of concern or a species listed on either the California or Federal Endangered Species Act.

**Grantee** – a grant recipient that is responsible for the administration of the grant agreement.

**Grant Administration** – work or other activities performed by the Grantee or Local Project Sponsor including, but not limited to, activities associated with administering the grant, submitting progress reports, invoice processing, coordinating with DWR’s Financial Assistance Branch, and other like work required for the successful execution, managing, processing, and closing of a Grant Agreement.

**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.

**Integrated Regional Water Management (IRWM)** – a collaborative effort to manage all aspects of water resources in a region. IRWM crosses jurisdictional, watershed, and political boundaries; involves multiple agencies, stakeholders, individuals, and groups; and attempts to address the issues and differing perspectives of all the entities involved through mutually beneficial solutions.

**Integrated Regional Water Management 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 Project Sponsor** – the sponsor of an individual project contained within the grant agreement.

**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 United States Code, title 26, §501(c)(3).

**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.

**Public Agency** – any state agency or department, special district, joint powers authority, city, county, city and county, or other political subdivision of the State.

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

**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 directly related administrative costs.

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

**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.

**Tribe or Tribes** – see definition for California Native American Tribe

**Underrepresented Communities** – Disadvantaged Communities (DACs), SDACs (Severely Disadvantaged Communities), EDAs (Economically Distressed Area), Tribes, Environmentally Disadvantaged Communities (EnvDACs), and Fringe Communities are collectively referred to as Underrepresented Communities (URCs). See Appendix F for details.

**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 B- Sample Authorizing Resolution

If possible, include a resolution adopted by the applicant's governing body authorizing the application for a grant under this program that designates a representative to sign the application, and in the event of an award of grant funds, a representative to execute the funding agreement and all necessary documentation (e.g., invoices, progress reports, etc.). If the resolution has not been adopted prior to the application's submission, indicate in the self-certification form document when a signed resolution will be received by DWR. A signed, certified resolution must be received prior to the execution of a grant agreement with the State. In some cases, an applicant may have a standing (permanent) delegation, applicable ordinance, or bylaws that already delegate a representative. In such cases, please include the applicable documents with your application. Attached is a sample resolution template that may be used:

RESOLUTION NO. [xxxx]  
A RESOLUTION OF THE [GOVERNING BODY] OF THE [AGENCY NAME]  
AUTHORIZING THE GRANT APPLICATION, ACCEPTANCE, AND EXECUTION  
FOR THE [PROJECT TITLE]

WHEREAS, [Agency Name] proposes to implement [Project Title];

WHEREAS, [Agency Name] has the legal authority and is authorized to enter into a funding agreement with the State of California; and

WHEREAS, [Agency Name] intends to apply for grant funding from the California Department of Water Resources for the [Project Title];

THEREFORE, BE IT RESOLVED by the [Governing Body] of the [Agency Name] as follows:

1. That pursuant and subject to all of the terms and provisions of Budget Act of 2021 (Stats. 2021, ch. 240, § 80), the [Agency Name] [Title of Authorized Representative], or designee is hereby authorized and directed to prepare and file an application for funding with the Department of Water Resources, and take such other actions necessary or appropriate to obtain grant funding.
2. The [Agency Name] [Title of Authorized Representative], or designee is hereby authorized and directed to execute the funding agreement with the Department of Water Resources and any amendments thereto.
3. The [Agency Name] [Title of Authorized Representative], or designee is hereby authorized and directed to submit any required documents, invoices, and reports required to obtain grant funding.

CERTIFICATION I hereby certify that the foregoing Resolution was duly and regularly adopted by the [Governing Body Name] of the [agency name] at the meeting held on [date], motion by [member name] and seconded by [member name], motion passed by the following vote:

AYES:

NOES:

ABSTAIN:

ABSENT:

\_\_\_\_\_  
[Printed Name]  
[Title], [Governing Body]

Attest:

\_\_\_\_\_  
[Printed Name]  
[Secretary/Clerk]

## Appendix C- Grant Application

The following outlines the required questions included in the application form for reference. Applicants must complete the application form, available on the webpage linked in the Foreword, and submit via email, to be considered for this grant opportunity.

### APPLICANT INFORMATION

Please complete the following summary form for the application. This form should be saved and submitted with the forms intact via email to [urbandrought@water.ca.gov](mailto:urbandrought@water.ca.gov). Please do not print to pdf or scan this form. If the application contains more than five projects, please contact DWR for an expanded form. A Project Information Form should be complete for each project in addition to this summary form.

Applicant Name

Primary Contact Name Title E-mail

Address City Zip Code

Telephone (    )

Total State Funding Requested:

Does this application include project(s) benefitting underrepresented communities/Tribes? Yes/No

Provide a summary of the budget for the application including other cost share (if applicable), for all projects included in the application. Please note that there is no required non-state cost share, but cost share is encouraged. Applicants are required to show other cost share to account for the full project budget. Funding source(s) for cost share must be described for each project in Question 15 on the Project Information Form.

### APPLICATION BUDGET SUMMARY

	PROJECTS	Grant Amount	Other Cost Share	Total Cost
	Grant Administration			
1	Project Name:			
2	Project Name:			
3	Project Name:			
4	Project Name:			
5	Project Name:			
	<b>GRAND TOTAL</b>			

## PROJECT INFORMATION FORM

**Please complete a unique Project Information Form for each project in the application. There are no character limits on specific questions but the Project Information Form as a whole may not exceed 10 pages.**

1. Project Name
2. Local Project Sponsor (if different than Grantee):
3. Please provide the latitude and longitude of the project site. For linear projects or those covering a large area, report the coordinates for a central point. If this information is confidential, it must be clearly labeled "confidential." You can find the latitude and longitude easily using google maps. You can find instructions at the following link:  
<https://support.google.com/maps/answer/18539?hl=en&co=GENIE.Platform%3DDesktop>.

Latitude:

Longitude:

4. Please briefly describe the proposed project.
5. Does this project respond to an existing emergency to humans and/or wildlife? If so, please describe the emergency and how this project is addressing it.
6. Each project must meet one of the following purposes as it relates to drought. Please select the appropriate purpose for your project.
  - a. Address immediate impacts on human health and safety, including providing or improving availability of food, water, or shelter.
  - b. Address immediate impacts on fish and wildlife resources.
  - c. Provide water to persons or communities that lose or are threatened with the loss or contamination of water supplies.
7. Each project must enhance regional drought resilience and align with the goals and objectives of the relevant approved Integrated Regional Water Management Plan. You can find the relevant IRWM Region by using the map at the following link: <https://gis.water.ca.gov/app/dacs/>. The IRWM Plans can be found at the following link: <https://water.ca.gov/Work-With-Us/Grants-And-Loans/IRWM-Grant-Programs/Plan-Review-Process>. If you have any questions about the IRWM region the contact list can be found at the following link: <https://water.ca.gov/Work-With-Us/Grants-And-Loans/IRWM-Grant-Programs>. Applicants are encouraged to contact and coordinate with the applicable RWMG for the IRWM region in which the project is located Please identify the IRWM objective your project addresses.



8. Describe the Primary Benefit of the project:  
 Quantified benefit:                                      Units:                                      Benefit Type:

Drop down Unit: mg/l, Acres, Acre feet per year, cubic feet per second

Drop Down Benefit type: Ecosystem/Habitat Restoration, Ecosystem/Freshwater habitat, Fishery Improvements, Flood Damage Reduction, Groundwater Quality, Groundwater Recharge, Improve operational efficiency, Other, Reduce Groundwater Pumping, Reduce Water Demand, Stormwater and Flood Management, Surface Water Quality. Water Conservation, Water Quality, Water Quality – Groundwater, Water Quality – Sediment, Water Quality - Surface Water, Water Supply, Water Supply (Ground), Water Supply (recycle), Water Supply (Surface), Water Supply Reliability

If 'other' benefit please provide here:  
 If 'other' benefit type please provide here:

9. Describe the Secondary Benefit of the project:  
 Quantified benefit:                                      Units:                                      Benefit Type:

10. Please briefly describe how the project will achieve the claimed benefits.
11. Briefly describe how the community/area benefiting from this project is being impacted by the current drought.
12. How will this project alleviate the impacts described in your answer to Question 11?
13. Please complete the following budget table for the project. (Identify funding sources in Question 15)

	<b>BUDGET CATEGORY</b>	<b>Grant Amount</b>	<b>All Other Cost</b>	<b>Total Cost</b>
(a)	Project Administration			
(b)	Land Purchase / Easement			
(c)	Planning / Design / Engineering / Environmental Documentation			
(d)	Construction / Implementation			
<b>TOTAL COSTS</b>				

14. Please describe why state funding is needed for this project. If state funding is not secured, what will happen to the project?
15. Will the applicant provide cost share (encouraged but not required) and/or will this project require any additional funding from sources other than this solicitation? If so, please describe the funding source and indicate if the funding has been secured. If the funding has not been secured, please describe the plan to secure the necessary funding.

16. Is land acquisition or landowner permission required for this project? If so, please briefly describe the status of the acquisition or agreement with the landowner. If the acquisition is not complete or permission not secured at the time of application, please describe the plan to complete it.
17. Has planning and design for this project been completed? If not, please describe the status of planning and design.
18. Are the CEQA (and NEPA if applicable) and permitting processes for this project complete? If not, please briefly describe the permits and CEQA (or NEPA) documents to be completed and projected schedule for completion.
19. Please briefly describe the necessary construction/implementation for this project.
20. Please complete the schedule below for the project. Projects must be complete by March 31, 2026, to allow time for final invoice processing and retention payment before the State funds expire on June 30, 2026. Project administration should end at least three months after construction.

	<b>Categories</b>	<b>Start Date</b>	<b>End Date</b>
(a)	Project Administration		
(b)	Land Purchase / Easement		
(c)	Planning/ Design / Engineering / Environmental Documentation		
(d)	Construction/ Implementation		

## Appendix D- Self-Certification for Eligibility

Each applicant must complete and submit a self-certification form for the following eligibility items. The self-certification form can be found on the website listed in the Foreword.

### Eligible Applicant

Eligible applicants are public agencies; public utilities; special districts; colleges and universities; mutual water companies; non-profit organizations; regional water management groups, as defined in Section 10539 of the Water Code; federally recognized California Native American Tribes; and non-federally recognized Native American Tribes on the contact list maintained by the Native American Heritage Commission for the purposes of Chapter 905 of the Statutes of 2004.

DWR encourages potential applicants to reach out to DWR regarding any eligibility questions or concerns prior to submitting an application.

### Urban Water Management Compliance

Each urban water supplier must:

- Have a current Urban Water Management Plan (UWMP) verified by DWR that addresses the requirements of the California Water Code. If an urban water supplier's UWMP has not been verified by DWR, explain, and provide the anticipated date for having a UWMP that addresses the requirements of the Water Code, including interim target reporting, as applicable in the self-certification form.
- If applicable, have a complete and validated water loss audit report verified by DWR in accordance with Senate Bill No. 555 (Stats. 2015, ch. 679).
- If applicable, must be compliant with the water metering requirements contained in Water Code section 525 et seq. Each urban water supplier proposing wastewater projects, water use efficiency projects, or drinking water projects must be compliant.
- If applicable, be compliant with requirements to submit to the State Water Resources Control Board their monthly water use reports in compliance with requirements outlined in the California Code of Regulations, title 23, sections 991.
- If facing water supply shortages, must have activated a Water Shortage Contingency Plan to a stage commensurate with their current water supply conditions. The applicant must report activation of the plan to the State Water board to be considered eligible.

### Agricultural Water Management and Measurement Compliance

Each agricultural water supplier that provides water to *less than 10,000 irrigated acres*, excluding recycled water must:

- Indicate on the self-certification form that the supplier provides water to less than 10,000 irrigated acres, excluding recycled water.

or:

- Indicate on the self-certification form that each supplier's Agricultural Water Management Plan (AWMP) addresses the Water Code and Executive Order (EO) B-29-15 requirements. If an agricultural water supplier's AWMP has not been verified by DWR, explain, and provide the anticipated date for having an AWMP that addresses the Water Code and EO B-29-15 requirements.

Each agricultural water supplier that provides water to *less than 25,000 irrigated acres*, excluding recycled

water must:

- Indicate on the self-certification form the supplier provides water to less than 25,000 irrigated acres, excluding recycled water, or is otherwise deemed exempt from Water Code Efficient Water Management Practices (EWMPs) and the Water Measurement Regulation.

or:

- Indicate on the self-certification form that each supplier addresses the Water Code requirements for implementing EWMPs including Water Measurement, Volumetric Water Pricing, and all technically feasible and locally cost-effective EWMPs listed in the Water Code; and
- Indicate on the self-certification form that each supplier implements the Water Measurement Regulation, including AWMP reporting requirements.

or:

- Submit to DWR for approval a schedule, financing plan, and budget, to be included in the grant or loan agreement, for implementation of the EWMPs. The supplier may request grant or loan funds to implement the efficient water management practices to the extent the request is consistent with the eligibility requirements applicable to the water funds.

To comply with the farm-gate delivery requirements, each agricultural water supplier must complete the self-certification form based on the agricultural water supplier's irrigated acres.

- For those agricultural water suppliers that supply less than 2,000 acre-feet of water or water to less than 2,000 irrigated acres, excluding recycled water, provide the suppliers supply of water or irrigated area.

or:

- For those agricultural water suppliers that supply water to areas greater than 2,000 irrigated acres, verify that the annual aggregated monthly or bi-monthly farm-gate delivery data has been provided to DWR.

and/or:

- For those suppliers that provide water to less than 25,000 irrigated acres, complete the self-certification form and indicate that the implementation of a program or practices to measure farm-gate deliveries using Best Professional Practices is not locally cost-effective.

### **Surface Water Diverter Compliance**

List the surface water diverters that will receive funding from the proposed grant on the self-certification form. If there are none, please indicate so. For the listed surface water diverters, state whether they have submitted to the State Water Resources Control Board their annual and monthly surface water diversion reports in compliance with requirements outlined in Water Code section 5100 et seq., and California Code of Regulations, title 23, sections 907-930. If a surface water diverter has not, explain and provide the anticipated date for meeting the requirements.

### **Groundwater Management Compliance**

Each local sponsor or applicant implementing groundwater projects or projects directly affecting groundwater levels or quality must be compliance with Water Code section 10753 regarding Groundwater Management Plans (GWMPs). Please note that projects that affect groundwater levels or quality located in a CASGEM High or Medium priority groundwater basin without an adopted GWMP in compliance of Water Code section 10753 before January 1, 2015 will not be eligible (Wat. Code, § 10750.1(a)).

For groundwater projects or other projects that directly affect groundwater levels or quality in a high or medium priority basin, documentation that the project has support from the Groundwater Sustainability

Agency of the impacted groundwater basin(s), or the agency responsible for implementing an alternative plan should be included with the application.

Note that Local Project Sponsors that receive a grant award will have to maintain compliance with Water Code section 10000 et seq. of the Water Code as part of continuing eligibility requirements. Groundwater Management compliance requirements may be revised or updated based upon the implementation of the Sustainable Groundwater Management Act of 2014 (SGMA).

### **CASGEM Compliance**

DWR has prioritized the groundwater basins. The CASGEM Program description, along with the basin prioritization information, can be found at: [https://water.ca.gov/Programs/Groundwater-Management/Groundwater-Elevation-Monitoring-- CASGEM](https://water.ca.gov/Programs/Groundwater-Management/Groundwater-Elevation-Monitoring--CASGEM)

For the high and medium priority basins that do not have a CASGEM monitoring entity, the grant applicant and Local Project Sponsor that match the list of potential monitoring entities identified in Water Code section 10927, along with the counties whose jurisdictions include unmonitored high and medium priority basins, will not be eligible to receive grant funding (Wat. Code, § 10933.7(a)).

Consistent with Water Code section 10933.7(b), if the entire service area of the grant applicant or the individual Local Project Sponsor's service area is demonstrated to be a DAC, as defined in the 2021 Guidelines, Appendix E, the project will be considered eligible for grant funding notwithstanding CASGEM compliance. If the Local Project Sponsor is exempt, a map must be included with the application that shows the Project's implementing agency's service area boundary. The map should include a DAC overlay to demonstrate the project is exempt.

Water Code section 10927 identifies GSAs as entities that may assume responsibility for the monitoring and reporting of groundwater elevations as required by section 10920 et seq. Following a GSAs submittal of a GSP, compliance with this section is required to continue through the monitoring and reporting of groundwater elevations as required by the GSA per the GSP regulations (Cal. Code Regs., tit. 23, § 350 et seq.), rather than the previously defined monitoring entity and the groundwater level data must be submitted through the SGMA Portal at SGMA Groundwater Management (SGMA) Portal - Department of Water Resources (ca.gov).

### **Stormwater Management Plan Compliance**

For all Stormwater projects and/or dry weather runoff capture projects the project must be included in a Stormwater Resource Plan (or Functionally Equivalent Stormwater Resource Plan), or the project must benefit a DAC with a population of 20,000 or less 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.

## Appendix E- Advanced Payment

Water Code section 13198.4 authorizes advanced payment of up to 25% by DWR to eligible entities (Grantees and/or Local Project Sponsors) for eligible projects. Eligible projects listed in Water Code section 13198(c), must benefit a county and/or watershed included in Governor's state of emergency drought proclamations or a drought scenario determined by the State Water Board as set forth in Water Code section 13198(a) to be eligible for advanced payment. The following outlines the general requirements for advanced payment eligibility, application process, accountability reporting, and default provisions. **Additional details regarding the specific requirements for advanced payment will be provided in individual grant agreements.**

### Process to Apply for Advanced Payment

Following award notification and within 90 calendar days of execution of a grant agreement with DWR, the Grantee shall provide DWR with the list of projects for which advanced payment is requested. Failure to provide this list within 90 calendar days of execution of the grant agreement shall result in the forfeiture of the right to request or receive advanced payment for the grant. The list of projects shall include the following:

- Description of each project requesting advanced funds, consistent with the executed grant agreement.
- The names of the entities that will receive the funding for each project.
- Description of each funding recipient's cash flow needs (an explanation of why the entity does not have enough funding to cover its liabilities for the project).
- Description of each funding recipient's financial capacity to administer the advanced funds and complete the project once the advanced funds have been expended.
- Statement acknowledging that advanced funds will be placed in a non-interest-bearing account.
- A Funding Plan (template will be provided) that includes:
  - a. Budget for each project.
  - b. Anticipated quarterly schedule for each project, showing how the advanced payment funds will be expended including associated activities and deliverables.
  - c. Any reimbursable funds expended to date.
- Any other information that DWR may deem necessary.

Within 60 days of receiving all required project information and that information being deemed adequate at the sole discretion of DWR, DWR may authorize payment of up to 25 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, if applicable.

### Accountability Report Requirements

Upon receipt of advanced payment, there are requirements and responsibilities that must be met by the Grantee. The Grantee shall, on a quarterly basis, provide an Accountability Report to DWR regarding the expenditure and use of the advanced grant funds that provides, at a minimum, the following information:

- An itemization as to how advanced payment funds have been expended, including documentation that advanced funds were spent on eligible reimbursable costs.
- An updated Funding Plan with project itemization and a quarterly schedule describing how any remaining advanced payment funds will be expended.
- Documentation that the funds were placed/remain in a non-interest-bearing account, and the dates

of withdrawals of funds from that account during the reporting period.

- Proof of distribution of advanced funds to Local Project Sponsor(s), if applicable.

### **Default of Advanced Payment Obligations**

Any of the following actions will be considered a default on the advanced payment obligations and shall result in DWR requesting the Grantee return all or a portion of the advanced funds and may result in a breach of the grant agreement:

- Failure to expend the advanced funds within the timeframe agreed to by DWR and the Grantee when the advanced payment request was approved unless an extension has been approved by DWR.
- Failure by Grantee to submit complete and accurate quarterly Accountability Reports by the required due dates, unless otherwise approved by DWR.
- Failure to deposit funds in a non-interest-bearing account.
- Use of Advance Payment funds for ineligible expenses and/or activities not consistent with the grant agreement.
- Inappropriate use of funds, as deemed by DWR.
- Failure to comply with any other term of the executed grant agreement.

If advanced funds are not fully expended by project completion or by the grant agreement termination date, whichever is earlier, the unused grant funds shall be returned to DWR within 60 calendar days.

## Appendix F – Underrepresented Communities

For the purposes of this GL/PSP, Disadvantaged Communities (DACs), SDACs (Severely Disadvantaged Communities), EDAs (Economically Distressed Area), Tribes, Environmentally Disadvantaged Communities (EnvDACs), and Fringe Communities are collectively referred to as Underrepresented Communities (URCs). DWR will use the information presented in the applications to evaluate whether the project provides benefits to an Underrepresented Community and to determine whether the project is eligible for the Underrepresented Community Funding. The Underrepresented Community Funding is available to eligible Proposition 1 Disadvantaged Community and Tribal Involvement Program Grantees.

Applicants seeking this determination must include in their grant application, supporting documentation that identifies the Project benefit area and location(s) of the Underrepresented Communities, identifies how the proposed Project provides benefits to an Underrepresented Community, and indicates the total project benefits provided.

### Underrepresented Community Classifications

#### Disadvantaged Communities (DACs)

A disadvantaged community (DAC) is a community with an annual median household income (MHI) that is less than 80% of the Statewide annual median household income. Using the U.S. Census Bureau American Community Survey (ACS) data for the years 2012 -2016, 80% of the California Statewide MHI is \$51,026.

Applicants must provide the following information for each project claiming benefits to a DAC(s):

- Percentage of the project benefits provided to a DAC, by geographic area or population.
- Information that supports the project benefits a DAC(s), such as a map or shapefile that shows the project benefit area and the location of the DAC(s).
- Where the lack of representative census data that adequately represents the community can be documented, alternative studies (local income surveys, a subset of a block group, older (ACS) data, etc.) may be substituted in the attachment. Include justification for the use of alternate data.

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.

DWR has developed a tool which utilizes the most current ACS data to show the location and boundaries of DACs and Severely Disadvantaged Communities (SDACs)

in the State, at the census place, tract, and block group level. The tool allows users to view different geographies or combinations of geographies, using different base maps and to zoom in to various scales. The DAC tool can be found at the following link: <https://water.ca.gov/Work-With-Us/Grants-And-Loans/mapping-tools>. For individuals with Geographic Information System (GIS) capabilities, also provided at this link are GIS files representing the ACS data (and DAC status) for the three census geographies.

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:

#### Severely Disadvantaged Communities (SDACs)

A severely disadvantaged community (SDAC) is a community with a median household income of less than 60% of the Statewide average.

Applicants must provide the following information for each project claiming benefits to a SDAC(s):

- Percentage of the project benefits provided to an SDAC, by geographic area or population.



- Information that supports the project benefits an SDAC(s), such as a map or shapefile that shows the project benefit area and the location of the SDAC(s).

If a project serves a DAC or SDAC 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 or SDAC criterion, the project will be considered a DAC project for the purpose of waiving cost share requirements in proportion to the population served that meets the DAC criterion. The DAC tool described in the previous section can also be used to identify SDAC locations in California.

### **Economically Distressed Areas (EDAs)**

An economically distressed area (EDA) is 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% of the Statewide median household income, and with one or more of the following conditions as determined by the DWR: (1) financial hardship, (2) Unemployment rate at least 2% higher than the Statewide average, or (3) low population density.

Applicants must provide the following information for each project claiming benefits to an EDA(s):

- Percentage of the project benefits provided to an EDA, by geographic area or population.
- Include information that supports the project benefits an EDA(s), such as a map or shapefile that shows the project benefit area and the location of the EDA(s).
- Where the lack of representative census data that adequately represents the community can be documented, alternative studies (local income surveys, a subset of a block group, etc.) may be substituted in the attachment.
- In determining the MHI for EDAs, applicants may use a single type of census geography or combinations of census geographies that best represent the EDA.

The EDA Mapping Tool is an interactive map that allows users to overlay multiple geographies as separate data layers. Go to <https://water.ca.gov/Work-With-Us/Grants-And-Loans/mapping-tools> to access the EDA mapping tool.

### **Tribes**

For the purposes of this GL/PSP, federally recognized Indian Tribes and California State Indian Tribes listed on the Native American Heritage Commission’s California Tribal Consultation List are collectively referred to as “Tribe” or “Tribes.”

California Native American Tribe: The term “state Indian tribes” means Federally recognized California Native American Tribes or Non-federally recognized Native American Tribes on the contact list maintained by the Native American Heritage Commission for the purposes of Chapter 905 of the Statutes of 2004.

Federally Recognized Indian Tribes: A federally recognized Tribe is an American Indian or Alaska Native Tribal entity that is recognized as having a government-to-government relationship with the United States, with the responsibilities, powers, limitations, and obligations attached to that designation, and is eligible for funding and services from the Bureau of Indian Affairs.

The Tribal applicant shall provide a brief narrative that describes the Tribe, how the Tribe meets the minimum definition for eligibility, and any back-up documentation to support the Tribe’s recognition. Provide justification demonstrating the percent of project benefits provided to the Tribe.

DWR will not knowingly disclose information related to Native American cultural sites or sacred places per Government Code section 6254(r). There is no requirement to disclose any information related to Native

American cultural sites or sacred places to DWR in the application. If this information is included in the application, it must be clearly labeled “confidential.”

### **Environmentally Disadvantaged Communities (EnvDACs)**

The California Environmental Protection Agency (CalEPA) designates the top 25% scoring census tracts as DACs. Census tracts that score the highest 5% of Pollution Burden scores, but do not have an overall CalEnviroScreen score because of unreliable socioeconomic or health data, are also designated as DACs (found to be 22 census tracts in the 2021 CalEnviroScreen version 4.0).

CalEPA (through the Office of Environmental Health Hazard Assessment (OEHHA)) developed a mapping tool that assesses environmental, health, and socioeconomic indicators to produce a score for each census tract in the State. Each tract receives a Pollution Burden score (Exposures and Environmental Effects) and a Population Characteristics score (Sensitive Populations and Socioeconomic Factors). The average Pollution Burden and Population Characteristics scores are multiplied together to produce an overall CalEnviroScreen score.

There are two tools available to verify if a census tract is considered an EnvDACs:

#### OPTION 1: CalEnviroScreen 4.0 Mapping Tool

The CalEnviroScreen 4.0 Mapping Tool is an interactive map that allows users to overlay Census Tracts.

Go to <https://oehha.ca.gov/calenviroscreen/report/calenviroscreen-40> and scroll down to access the CalEnviroScreen 4.0 Mapping Tool.

#### OPTION 2: CalEnviroScreen 4.0 Results Excel Sheet

The CalEnviroScreen 4.0 Results Excel Sheet is a sortable spreadsheet that contains all CalEnviroScreen 4.0 scores.

Go to <https://oehha.ca.gov/calenviroscreen/report/calenviroscreen-40> scroll down to Data and Additional Materials.

### **Fringe Communities**

Fringe Communities are those communities that do not meet the established DAC, SDAC, and EDA definitions, but can show that they score in the top 25% of either the Pollution Burden or Population Characteristics score, using the CalEnviroScreen version 4.0, linked above.

## Appendix G – Useful Links

### California Drought

<b>Destination</b>	<b>Link</b>
California Drought Action:	<a href="https://drought.ca.gov/">https://drought.ca.gov/</a>
DWR Drought Page	<a href="https://water.ca.gov/Programs/All-Programs/Drought">https://water.ca.gov/Programs/All-Programs/Drought</a>
State Waterboard Drought Page:	<a href="https://www.waterboards.ca.gov/drought/">https://www.waterboards.ca.gov/drought/</a>
Small Community Drought Relief Program	<a href="https://water.ca.gov/Water-Basics/Drought/Small-Community-Drought-Relief">https://water.ca.gov/Water-Basics/Drought/Small-Community-Drought-Relief</a>
Urban and Multibenefit Drought Relief Program	<a href="https://water.ca.gov/Water-Basics/Drought/urbanmultibenefidrought">https://water.ca.gov/Water-Basics/Drought/urbanmultibenefidrought</a>

### CA Department of Water Resources (DWR)

<b>Destination</b>	<b>Link</b>
Homepage:	<a href="http://www.water.ca.gov/">http://www.water.ca.gov/</a>
Financial Assistance Programs:	<a href="https://water.ca.gov/Work-With-Us/Grants-And-Loans">https://water.ca.gov/Work-With-Us/Grants-And-Loans</a>
AB 1755: Open and Transparent Water Data Platform for California	<a href="https://water.ca.gov/ab1755">https://water.ca.gov/ab1755</a>
Water Use and Efficiency Branch:	<a href="https://water.ca.gov/Programs/Water-Use-And-Efficiency">https://water.ca.gov/Programs/Water-Use-And-Efficiency</a>
Urban Water Management Plans:	<a href="https://water.ca.gov/Programs/Water-Use-And-Efficiency/Urban-Water-Use-Efficiency/Urban-Water-Management-Plans">https://water.ca.gov/Programs/Water-Use-And-Efficiency/Urban-Water-Use-Efficiency/Urban-Water-Management-Plans</a>
Agricultural Water Management Plans:	<a href="https://water.ca.gov/Programs/Water-Use-And-Efficiency/Agricultural-Water-Use-Efficiency">https://water.ca.gov/Programs/Water-Use-And-Efficiency/Agricultural-Water-Use-Efficiency</a>
General Groundwater Management:	<a href="https://water.ca.gov/Programs/Groundwater-Management">https://water.ca.gov/Programs/Groundwater-Management</a>
Climate Change Website:	<a href="https://water.ca.gov/Programs/All-Programs/Climate-Change-Program">https://water.ca.gov/Programs/All-Programs/Climate-Change-Program</a>
SGMA Website:	<a href="https://water.ca.gov/Programs/Groundwater-Management/SGMA-Groundwater-Management">https://water.ca.gov/Programs/Groundwater-Management/SGMA-Groundwater-Management</a>
CASGEM Program:	<a href="https://water.ca.gov/Programs/Groundwater-Management/Groundwater-Elevation-Monitoring--CASGEM">https://water.ca.gov/Programs/Groundwater-Management/Groundwater-Elevation-Monitoring--CASGEM</a>

## Integrated Regional Water Management (IRWM)

<b>Destination</b>	<b>Link</b>
IRWM Grant Program:	<a href="https://water.ca.gov/Work-With-Us/Grants-And-Loans/IRWM-Grant-Programs">https://water.ca.gov/Work-With-Us/Grants-And-Loans/IRWM-Grant-Programs</a>
DAC and EDA Mapping Tools and Data:	<a href="https://water.ca.gov/Work-With-Us/Grants-And-Loans/Mapping-Tools">https://water.ca.gov/Work-With-Us/Grants-And-Loans/Mapping-Tools</a>
DAC Involvement Program	<a href="https://water.ca.gov/Work-With-Us/Grants-And-Loans/IRWM-Grant-Programs/Proposition-1/DAC-Involvement-Program">https://water.ca.gov/Work-With-Us/Grants-And-Loans/IRWM-Grant-Programs/Proposition-1/DAC-Involvement-Program</a>

## State Water Resources Control Board (State Water Board)

<b>Destination</b>	<b>Link</b>
Homepage:	<a href="http://www.waterboards.ca.gov">http://www.waterboards.ca.gov</a>
Stormwater Resource Plan Guidance:	<a href="https://www.waterboards.ca.gov/water_issues/programs/grants_loans/swgp/docs/prop1/swrp_finalguidelines_dec2015.pdf">https://www.waterboards.ca.gov/water_issues/programs/grants_loans/swgp/docs/prop1/swrp_finalguidelines_dec2015.pdf</a>
California Environmental Data Exchange Network:	<a href="http://www.ceden.org/">http://www.ceden.org/</a>
Impaired Water Bodies:	<a href="https://www.waterboards.ca.gov/rwqcb5/water_issues/tmdl/impaired_waters_list">https://www.waterboards.ca.gov/rwqcb5/water_issues/tmdl/impaired_waters_list</a>
Groundwater Ambient Monitoring and Assessment:	<a href="http://www.swrcb.ca.gov/gama">http://www.swrcb.ca.gov/gama</a>
Financial Assistance Funding	<a href="https://www.waterboards.ca.gov/water_issues/programs/grants_loans/">https://www.waterboards.ca.gov/water_issues/programs/grants_loans/</a>

## Regional Water Quality Control Plans (Basin Plans)

<b>Destination</b>	<b>Link</b>
All Regions:	<a href="https://www.waterboards.ca.gov/plans_policies/">https://www.waterboards.ca.gov/plans_policies/</a>

## California Environmental Quality Act (CEQA)

<b>Destination</b>	<b>Link</b>
California State Clearinghouse Handbook	<a href="http://opr.ca.gov/docs/SCH_Handbook_2012.pdf">http://opr.ca.gov/docs/SCH_Handbook_2012.pdf</a>

## Climate Change Information

<b>Destination</b>	<b>Link</b>
Climate Change Regional Water Planning Handbook:	<a href="http://climate.calcommons.org/sites/default/files/basic/climate_change_handbook_regional_water_planning.pdf">http://climate.calcommons.org/sites/default/files/basic/climate_change_handbook_regional_water_planning.pdf</a>
California Climate Change Portal:	<a href="http://www.climatechange.ca.gov/">http://www.climatechange.ca.gov/</a>

AB 32 Scoping Plan	<a href="http://www.arb.ca.gov/cc/scopingplan/scopingplan.htm">http://www.arb.ca.gov/cc/scopingplan/scopingplan.htm</a>
California Climate Adaptation Planning Guide:	<a href="https://resources.ca.gov/CNRALegacyFiles/docs/climate/01APG_Planning_for_Adaptive_Communities.pdf">https://resources.ca.gov/CNRALegacyFiles/docs/climate/01APG_Planning_for_Adaptive_Communities.pdf</a>
Sea Level Rise Guidance:	<a href="http://www.opc.ca.gov/webmaster/ftp/pdf/agenda_items/20180314/Item3_Exhibit-A_OPC_SLR_Guidance-rd3.pdf">http://www.opc.ca.gov/webmaster/ftp/pdf/agenda_items/20180314/Item3_Exhibit-A_OPC_SLR_Guidance-rd3.pdf</a>
Cal-Adapt:	<a href="http://cal-adapt.org/">http://cal-adapt.org/</a>

## CA Department of Industrial Relations

Destination	Link
Labor Compliance Programs:	<a href="http://www.dir.ca.gov/lcp.asp">http://www.dir.ca.gov/lcp.asp</a>
DIR's <i>Public Works Manual</i> :	<a href="http://www.dir.ca.gov/dlse/PWManualCombined.pdf">http://www.dir.ca.gov/dlse/PWManualCombined.pdf</a>

## Tribal Consultation

Destination	Link
California Native American Heritage Commission:	<a href="http://www.nahc.ca.gov/">http://www.nahc.ca.gov/</a>
Governor's Tribal Advisor Office:	<a href="http://tribalgovtaffairs.ca.gov">http://tribalgovtaffairs.ca.gov</a>
Office of Planning and Research Tribal & CEQA Resources:	<a href="http://opr.ca.gov/ceqa/updates/ab-52/">http://opr.ca.gov/ceqa/updates/ab-52/</a>
DWR Office of Tribal Policy Advisory	<a href="https://water.ca.gov/about/tribal-policy">https://water.ca.gov/about/tribal-policy</a>
U.S. Fish & Wildlife Service Tribal Consultation Handbook:	<a href="http://www.fws.gov/carlsbad/TribalRelations/Tribal_Consultation_Handbook_2013.pdf">http://www.fws.gov/carlsbad/TribalRelations/Tribal_Consultation_Handbook_2013.pdf</a>

## U.S. Census Bureau

Destination	Link
Homepage:	<a href="http://www.census.gov">http://www.census.gov</a>
American Community Survey:	<a href="http://www.census.gov/acs">http://www.census.gov/acs</a>

CALIFORNIA NATURAL RESOURCES AGENCY

DEPARTMENT OF WATER RESOURCES

DIVISION OF REGIONAL ASSISTANCE