

All Reservoir Operators:

The Department of Water Resources is pleased to announce the release of the draft Flood Emergency Response Forecast-Coordinated Operations (F-CO) of Reservoirs Direct Grant Solicitation Package and Program Guidelines. The draft Guidelines define the process for selecting and funding of projects to improve coordinated reservoir operations, during flood events, in California through implementation of the F-CO.

A copy of the PSP and Guidelines can be accessed via the internet at:

<http://www.water.ca.gov/floodsafe/news/>

These draft Guidelines have been released for public review and comment. The comment period will extend for 60 days, closing April 13, 2011. The Department will consider and incorporate appropriate comments received during this public comment period into a final PSP and Guideline Packet that is scheduled for release by May 1, 2011.

The F-CO seeks to improve management of reservoir flood control pools to reduce peak flood flows downstream through the use of improved watershed and river forecasting and coordination during flood operations. The overall goal of the F-CO program is to improve data collection, which will provide more accurate runoff forecasts to individual reservoir operators and improve coordination among reservoir operators and flood emergency responders when making reservoir release decisions. This will reduce peak flows and minimize the chances of downstream flooding over the duration of the flood event.

In 2005, DWR provided a pilot program grant to the Yuba County Water Agency to develop an F-CO program for the Yuba and Feather rivers. The pilot program was successfully implemented. The purpose of this grant program is to make available additional direct grant funding,, to the extent that funds are available, for the evaluation and implementation of forecast-coordinated operations of other reservoirs. DWR's goal is to encourage all reservoirs with flood control pool in the Central Valley (focus area) to participate in the program.

DWR will conduct two public workshops during the comment period:

March 4, 2011 in Sacramento

3310 El Camino Avenue  
Sacramento, CA 95821  
Room LL20  
At 10:30 AM

February 23, 2011 in Fresno

KRWA/KRCD Board Conference Room  
4888 East Jensen Avenue  
Fresno, CA 93752  
At 10:30 AM

Comments or questions on the Guidelines and draft Project Solicitation Package should be directed to the DWR Program Manager:

Mr. Jon Ericson  
Department of Water Resources  
Hydrology and Flood Operations Office  
Hydrology Branch  
3310 El Camino Avenue  
Sacramento, CA 95821  
(916) 574-2612  
[jericson@water.ca.gov](mailto:jericson@water.ca.gov)



**D R A F T**

**Flood Emergency Response  
Direct Grant Solicitation  
Package for**

***Forecast Coordinated  
Operation of the Reservoirs***

January 2011

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# 1 Background

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In January 2005, Governor Schwarzenegger drew attention to the State’s flood problem calling for improved maintenance, system rehabilitation, effective emergency response, and sustainable funding. In a white paper entitled *Flood Warnings: Responding to California’s Flood Crisis*, Department of Water Resource (DWR) outlined the flood problems that California faces and offered specific recommendations for administrative action and legislative changes. The funding through Propositions 1E and 84 in November 2006 demonstrated the public’s willingness to invest in integrated flood management solutions. These propositions and other emergency appropriations (Assembly Bill 142) place California flood management funding at an all time high.

Since that time, California has begun the long process of improving flood management systems. In 2006, DWR launched **FloodSAFE California**—a multi-faceted initiative to improve public safety through integrated flood management.

The FloodSAFE initiative includes four major categories of actions: Improve Flood Management Systems, Improve Operation and Maintenance, Inform and Assist Public, and Improve Emergency Response. FloodSAFE actions are organized and managed as projects.

While DWR is leading the FloodSAFE initiative, its success depends on active participation from many key partnering agencies including local emergency responders, reservoir operators, and many other local, State, and federal agencies. Improvements to the flood management system will likely exceed State funding currently available. Currently, most of the State’s funds available to help implement the FloodSAFE initiative are provided by Propositions 1E and 84. The legislature allocated proposition funds for specific purposes and regions, placing a high priority on improving flood protection and preparedness in the Central Valley and Delta as soon as possible.



## **FloodSAFE California**

A multi-faceted program to improve public safety through integrated flood management

The need to improve public safety and achieve other benefits through integrated flood management is urgent due to more people living and working in flood-prone areas. Better understanding of flood system deficiencies and system improvements to remedy the deficiencies will improve flood management in California. While these flood system improvements will reduce the frequency of flood, it is understood that a chance of flooding will always remain. As

part of the FloodSAFE initiative, DWR has initiated a robust flood emergency response program to reduce the consequences of flooding when it occurs. A component of the flood emergency response is working with reservoir operators to improve flood operation through the “Forecast-Coordinated Operations of the Reservoirs.”

## 2 Introduction and Definitions

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DWR has initiated work with local agencies to improve flood emergency preparedness and response throughout California. An important component of the flood emergency preparedness and response is the Forecast-Coordinated Operations (F-CO) of the Reservoirs. These guidelines have been prepared to provide the framework for supporting reservoir operators who are working with DWR and other agencies in improving reservoir operations.

These guidelines have been prepared to provide:

- Clear guidelines and project solicitation materials to ensure accuracy and understanding for project proponents seeking grants.
- Publicly vetted guidelines to allow stakeholders an opportunity to provide input on program implementation.
- Opportunity for public briefings and workshops to review guidelines.
- Review and approval of submitted project applications by DWR management.

These guidelines are prepared for F-CO projects as described below:

### 2.1 Forecast-Coordinated Operation of the Reservoirs

Rainfall and snowmelt events can cause substantial flooding and enormous economic impacts to communities downstream. Upstream reservoirs have been designed and built to meet multiple purposes, including water supply, recreation, and flood control. Most multi-purpose reservoirs have defined water conservation pools for capturing winter runoff for water supply purposes and designated flood control pools to capture and manage these flood waters to reduce downstream impacts.

The F-CO seeks to improve management of the flood control pools to reduce peak flood flows downstream through the use of improved watershed and river forecasting and coordination during flood operations. Operators need forecasted reservoir inflows for both rain and snowmelt events; tools to analyze alternative reservoir release schedules; an ability to observe the downstream effects of their releases and the releases of other operators within the river system; and capabilities to share the data and communicate when making flood operations decisions. Coordinated operation of reservoirs is best accomplished when weather, water, and management information are shared and when operational decisions are coordinated among the agencies involved.

The primary challenge to flood managers at the DWR and California Nevada River Forecasts Center (CNRFC) is to have adequate real-time rainfall, snowmelt, and stream flow data; accurate tools and technologies with which to forecast weather and reservoir inflows; and the capability to

rapidly exchange and share information among river forecasters, Flood Operation Center, US Army Corps of Engineers, reservoir operators, and emergency response agencies.

During flood events, reservoir operators rely on reservoir inflow forecasts. Forecasts of reservoir inflows were provided by DWR and CNRFC and used by reservoir operators to make release decisions. The release schedules were not always provided to the DWR or CNRFC in a timely manner so that they could be factored into the forecast of stream flows below the reservoirs, resulting in reduced accuracy of the downstream forecasted flows. Technology, tools, and processes are needed to close this feedback loop and allow forecasters to provide timely reservoir inflow forecasts to operators, allow operators to provide release schedules back to the forecasters, and for forecasters to provide better downstream flow estimates for decision makers and downstream emergency responders. In the Central Valley many reservoirs feed into the main stem of the Sacramento and San Joaquin Rivers, therefore, coordinated releases from all reservoirs are the key to reducing peak flows downstream of the reservoirs.

The overall goal of the F-CO program is to improve data collection , which will provide more accurate runoff forecasts to individual reservoir operators develop more accurate forecasting models, and improve coordination among reservoir operators, USACE, and flood emergency responders within the Sacramento and San Joaquin watersheds so that system-wide effects are considered when making reservoir release decisions. This will reduce peak flows and minimize the chances of downstream flooding over the duration of the flood event. Specific Sacramento and/or San Joaquin watersheds' F-CO program objectives will be established through coordination and discussion with local reservoir operators. The F-CO is a multi-agency program and will be implemented through a multi-agency effort of reservoir operators, DWR, NWS-CNRFC, and USACE.

In 2005, DWR provided a grant to the Yuba County Water Agency to develop a pilot Forecast - Coordinated Operations program for the Yuba and Feather Rivers. The pilot program has been successfully implemented and provides an exemplary multiagency program for reducing flood risk in Yuba-Feather River, one of the most vulnerable flood risk stream in the Central Valley.

The purpose of this document is to provide guidelines for similar direct grant programs for coordinated operations of other reservoirs in the State, with priority for reservoirs feeding into the Sacramento-San Joaquin River system. DWR's goal is to encourage participation of all reservoirs with flood control pool in the Central Valley in the program.

## 2.2 Definitions and Acronyms

**Agreement or Funding Agreement:** An agreement entered into by a successful Applicant and the State to provide funds for the Project.

**Applicant:** A California public agency, federal agency, or an organization consisting of more than one public agency that applies for funding.

**Applicant's Cost-Share Recommendation and Report:** A report that the Applicant is required to submit with its application that will make a recommendation regarding the appropriate State cost-share and provide substantiation of the basis for this recommendation, as more fully described in these *Guidelines*.

**CEQA:** The California Environmental Quality Act.

**Contractor:** A contractor performing the Project work for the Funding Recipient to be paid for with funds from an agreement executed pursuant to these *Guidelines*.

**Corps or USACE:** The United States Army Corps of Engineers.

**DSS:** A Decision Support System used in flood operation activities.

**Department or DWR:** The Department of Water Resources.

**Eligible Project Costs or Eligible Costs:** The reasonable and necessary actual costs associated with implementing a project selected pursuant to these *Guidelines*.

**Funding Agreement or Agreement:** An agreement entered into by a successful Applicant or Project Sponsor and the State to provide funds for the Project.

**Funding Recipient:** A State or a public agency in the State of California, duly organized, existing and acting pursuant to the laws thereof, or a Project Sponsor, or a federal agency which is the signatory to a Funding Agreement, and its successors and assigns.

**Limit on State Funds:** The maximum amount of State funds that will be expended on the Project, as set forth in the Funding Agreement.

**Applicant:** A federal, State, or a local public agency in the State of California, duly organized, existing and acting pursuant to the laws thereof, including, but not limited to, any county, city, city and county, district, joint powers agency or council of governments.

**Operation and Maintenance Agreement:** An agreement between DWR and the funding recipient to operate and maintain F-CO project components when they are completed.

**Project:** Means a Project for work to be funded under these *Guidelines*.

**Project Completion Report:** A report prepared by the funding recipient certifying that the project is completed in compliance with scope of work, budget and schedule.

**Project Description:** The document each Applicant must provide with their application that describes the proposed Project in detail.

**Quarterly Progress Report:** A report on the status of the Project offered on a quarterly basis.

**Quarterly Statement of Costs:** A statement of Eligible Project Costs incurred each quarter, as further described in the Funding Agreement.

**Scope of Work:** After a project is selected and before a Project Funding Agreement is signed, the Applicant must develop a Scope of Work that provides detailed plans and information about how the Project will be implemented.

**State:** The State of California, acting by and through the Department of Water Resources.

**Statement of Costs:** A statement of incurred Eligible Project Costs.

## **3 Funding for Flood Emergency Response Projects Grants**

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### **3.1 Funding Sources**

Funding for this Grant Program will be provided through Proposition 84, The Safe Drinking Water, Water Quality & Supply, Flood Control, River & Coastal Bond Act of 2006 (Sections 75032 and 75033 of Chapter 3 of Division 43 of the Public Resources Code). Up to \$6 million will be available for the direct Grant Program through 2015.

### **3.2 Application for Funding**

Applicants for grant funding under the Program will file a complete grant application package with the Department. The Department will not revise the grant application package requirements during any period in which project proposals are being solicited. The sample documents for grant application package are attached to this document (Section 11).

### **3.3 Program Directed Activities**

The Department is proposing to use Program funds for Direct Expenditures or Directed Activities that fulfill the intent of the F-CO Program. The Department will apply these guidelines to such. Direct expenditure projects must address an interest of the State, may be proposed and approved at any time, but must be evaluated by the criteria presented in these guidelines. The Department may transfer program funds to other State agencies to implement qualifying projects pursuant to an interagency agreement, or may contract with contractors, local government agencies, and federal agencies in funding and implementing the F-CO direct expenditure projects.

## **4 Activities Funded Under F-CO Grant Program**

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This is a direct Grant Program designed only for the implementation of the Forecast-Coordinated Operation Program. The typical activities funded under this Grant Program include:

- Improvement of watershed and reservoir operation data collection, dissemination, and exchange.
- Development of required Decision Support System (DSS) for coordinated operation of the reservoirs.
- Purchase of equipment needed for data collection, storage, exchange, and for operation of the DSS.
- Development of the coordinated protocol for reservoir operations in a river system.
- Enhancement of watershed and river forecasting tools including watershed models, reservoir operation models, river routing models, and development of ensembles in forecasting and other tools.
- Development of the Forecast Based Operations for a watershed, if needed.
- Flood emergency training and exercises to improve coordinated reservoir operation and to ensure efficiency in the use of tools, models and processes developed for F-CO.
- Program management, agency coordination, development and implementation of coordinated operation protocols, and other program management activities to ensure proper management of a multi-agency program.

## **5 Guidelines for Funding F-CO Projects Grants**

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Below are general guidelines for applying for grant funding under the F-CO Program. All applicants must meet the following criterion to be considered eligible for funding.

### **5.1 Who is eligible to apply for Flood Emergency Response Project Grants**

- Federal agencies, State agencies or California Local Public agencies with responsibility for operating a reservoir that has a flood control reservation pool and is willing to participate in the Forecast-Coordinated Operations program and willing to coordinate its reservoir releases with other reservoir operators in the river system during flood events.

### **5.2 Grant Requirements**

- The F-CO projects will be developed consistent with multi-agency F-CO Management Team input in which participating reservoir operators will be members of. The multi-agency F-CO team consists of members from USACE, DWR F-CO program, CNRFC, and participating reservoir operators in the river system.
- The grantees are required to sign the Operation and Maintenance agreements that define the grantees' obligations and responsibilities to operate, maintain, repair, and replace their element of the projects upon completion of the project.
- Before authorizing project work, applicants must complete the required environmental documents and permits, if applicable.
- Applicants are required to prepare quarterly progress reports to ensure funds are utilized according to the approved project scope and budget.
- All expenses within a funded grant agreement must be supported with documentation, with reimbursements approved only for eligible expenses pursuant to program guidelines, and contained within the approved project budget.
- After the project is completed, an audit may be conducted to confirm that expenditures were made according to the established plan and achieved the desired outcome.
- Upon project completion, project manager must verify that the project complies with all applicable current laws and regulations and submit documents verifying project completion, summarizing total project costs, and additional funding sources used, as applicable.
- Prior to payment of the final invoice a project completion report should be prepared by the grantee. The final written project completion report submitted must include a copy of all project deliverables.

## 6 Project Evaluation, Selection, and Public Review Process

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### 6.1 Process Description

This section describes the process for project review, evaluation, and selection.

The Department will review all timely submittals for completeness after proposals are submitted. Proposals that are not substantially complete will not be further reviewed. The Department may contact proponents of proposals that are substantially complete but are missing some items.

1. Program staff will review the application package for completeness and for project eligibility.
2. Program staff will review each application and evaluate the subject project within 90 days of receipt of application package or requested additional information, whichever is later. The Department may request that the applicant provide clarification of existing information to better evaluate the merits of the project.
3. Program staff will complete the evaluation of the project including recommendation for funding. Projects not funded may be resubmitted at a later date as funding become available. If the requested funds for all qualified projects are more than available funds, staff, may determine which projects could be implemented with reduced funding or could have later phases deferred based on information provided in the application or additional discussion with the applicant.
4. After evaluations of the projects, staff will submit the recommendations to F-CO Management Team for review. The F-CO Management Team consists of managers from the Department's Division of Flood Management, USACE, River Forecast Center, and a representative from FloodSAFE Program Management Office. The Management Team may recommend one of the following:
  - a) Allocating any or all of the available funds to grants for projects on the list,
  - b) Holding over the remaining available funds for allocation in the subsequent funding years, or
  - c) Allocating partial funding to one or more of the projects on the list currently being funded.

F-CO Management Team recommendations of the projects for funding allocations are then sent to the FloodSAFE Executive Director for approval.

5. Upon approval of a project(s), the list of approved projects will be posted on the Program's website for public review and comment. The Department will provide a public comment period of four weeks in order to receive comments concerning the proposed project.
6. The Department will prepare a summary of comments received during the public comment period, and will make the summary of comments available on its website.
7. After consideration of the results of the public comments, if the project is still considered by the Department as priority project for funding, Department staff will begin the process of developing a funding agreement with the project applicant (grantee). The grantee and the Department must enter into a funding agreement before any funds will be disbursed.

# 7 Grant Administration

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## 7.1 Process Description

This section describes the process entered into by the grantee and the Department once a project has been selected for funding. This includes the development and signing of a grant funding agreement.

1. Before the Department enters into a funding agreement (agreement) the grantee will submit a work plan (based on the information provided for project evaluation) including a detailed scope of work, budget, and project schedule satisfactory to the Department. To assist the grantee in developing the work plan, the Department may meet with applicant as needed. The agreement may be initiated once the Department approves the work plan.
2. The agreement will be signed by the grantee. If a Department approved agreement is not signed by the grantee within six months of the date the grant is awarded, the grant may be withdrawn.
3. Although grant funds will be disbursed as provided in the agreement to reimburse costs incurred by the grantee or to make payments directly into escrow, certain costs will not be reimbursed or paid until the following conditions are met:
  - a) For project activities that could affect the environment, the grantee complies with all applicable requirements of CEQA and other environmental laws.
  - b) For project activities requiring permits, the permits are obtained.
4. The Department may withhold up to 10 percent of each disbursement, as specified in the agreement, to ensure completion of the project. Such withholding will generally not apply to the planning and design of the projects.
5. The grantee will be required to keep informed of, and take all measures necessary, to ensure compliance with applicable California Labor Code requirements, including, but not limited to, Section 1720 et seq. of the California Labor Code regarding public works, limitations on use of volunteer labor (California Labor Code Section 1720.4), labor compliance programs (California Labor Code Section 1771.5) and payment of prevailing wages for work done under an agreement.
6. For projects that receive funding pursuant to the provisions of Proposition 84, the agreement will require the sponsor to submit verification of a Labor Compliance Program acceptable to the Department that meets the requirements of California Labor Code Section 1771.5. Written evidence of the Labor Compliance Program will need to be submitted to the Department before the project is funded.

7. The agreement will state that payment will be made monthly or quarterly in arrears upon receipt of invoices.
8. The grantee will provide a progress report to the Department, as a prerequisite to payment of each invoice. Progress reports will include the following:
  - a) Records of expenditures
  - b) Description of project activities since the previous report
  - c) Status of the project relative to the progress schedule
  - d) Key issues that must be resolved
  - e) Results of project monitoring

The first progress report shall be made at the end of the first complete calendar quarter after the date of execution. Progress reports will be submitted quarterly thereafter. The Department will monitor progress and may suspend all payments indefinitely if, in the opinion of the Department's Chief of the Division of Flood Management, it appears the grantee is in breach of the agreement to such an extent that ultimate achievement of project objectives may be significantly compromised. If payments are suspended, the grantee will be given six months to cure the breach or the funding agreement will automatically terminate. Decisions to suspend payments may be appealed to the Director of the Department.

9. Amendments to agreements require the approval of all parties. Amendments may address:
  - a) Change in schedule (e.g. time extension)
  - b) Change in scope of work
  - c) Change in total budget or transfer of funds between tasks that exceeds 20 percent of the Department approved budget for either task ( less than 20 percent does not require a formal amendment but does require the Department's program manager's approval)
  - d) Change to any of the agreement provisions
  - e) Change in parties to the agreement
10. The grantee will submit a written project completion report which will include:
  - a) All items required in Section 8 items 9 above
  - b) Photographs of the before-project and after project conditions if applicable
11. All grantees 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 contract being declared void. Other legal action may also be taken. Applicable statutes include, but are not limited to, Government Code Section 1090, and Public Contract Code Sections 10410 and 10411, for State conflict of interest requirements.
12. The grantee will indemnify State and its officers, agents and employees against and to hold the same free and harmless from any and all claims, demands, damages, losses,

costs, expenses, or liability due or incident to, either in whole or in part, and whether directly or indirectly, arising out of the Project, including, but not limited to liability due to design, construction, maintenance, repair replacement, or rehabilitation of the project facilities and properties.

## **8 Audits and Record Keeping**

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

## 9 Guideline Amendments

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These *Guidelines* may be amended at the sole discretion of the Department at any time. Amendments to the *Guidelines* must be publically posted and made available for comment. If an amendment substantively changes these *Guidelines*, such that an applicant can make a showing that it would have qualified and would have submitted a proposal under the amended *Guidelines*, the applicant *will* be give the opportunity to submit the proposal for review.

# 10 How to Apply for the F-CO Grant Program

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The application package will be considered complete and will be evaluated for funding once the applicants complete the following documents and submit an original signed hard copy to the DWR program manager:

- Application Cover Letter to DWR program manager
- A-1 Application Cover Sheet
- A-2 Applicant's Representatives
- A-3 Project Costs and Budget
- A-4 Local Agency Resolution
- A-5 Applicant's Authority and Capacity
- Attachment B-1- Project Scope of Work and Tasks (including Exhibit A and Exhibit B)
- Attachment B-2 - Environmental Information Form
- A checklist of the materials required for a complete application

DWR Program Manager:

Mr. Jon Ericson  
Department of Water Resources  
Hydrology and Flood operation Office

Hydrology Branch  
3310 El Camino Ave  
Sacramento, CA 95821

# 11 Sample Documents

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**ATTACHED ARE SAMPLES OF THE DOCUMENTS LISTED ABOVE**

## Sample Application Cover Letter

Date

Mr. Jon Ericson  
Department of Water Resources  
Division of Flood Management  
Hydrology and Flood Operations Office  
Hydrology Branch

P. O. Box 942836  
Sacramento, CA 94236-0001

Subject: Grant Application for Local Agency Flood Emergency Preparedness and Response  
an element of FloodSAFE Flood Emergency Response Program

Dear Mr. Ericson:

XXX (Agency Name) herewith submits three copies of an application for a grant in the amount of \$----- to plan, design, and implement F-CO Project for xxx (Reservoir name). This application additionally requests \$----- for reimbursement of the costs of preparing this application.

This application is pursuant to an authorizing resolution of the Board of Directors of the xxx (Agency) dated \_\_\_\_\_. The application includes the following forms and support materials:

1. A-1 Application Cover Sheet
2. A-2 Applicant's Representatives
3. A-3 Project Costs and Budget
4. A-4 Local Authorizing Resolution
5. A-5 Applicant's Authority and Capability
6. Attachment B-1 Project Scope of Work and Tasks (including Exhibit A and Exhibit B)
7. Attachment B-2 Environmental Information Form
8. Checklist of documents needed for a complete application

The work plan, budget, and schedule for this application are being prepared by the xxx agency and the staff of Division of Flood Management, Hydrology and Flood Operation Office, and in coordination with the staff of xxx. We appreciate the help provided by DWR and your staff. Please call xxxx if you have any questions during your review.

Sincerely, xxxxxx

Manager

Enclosure

Flood Emergency Response  
Direct Grant Solicitation Package for  
Forecast-Coordinated Operation of the Reservoirs  
January 2011

***Part A-Organizational, financial and legal information***  
State of California, The Resources Agency, Department of Water Resources

**A-1**  
**Application Cover Sheet**

**Application for a Direct Grant under Proposition 84, "Water Quality, Safety and Supply, Flood Control, Natural Resource Protection, Park Improvements", Chapter 3, Flood Control**

The AGENCY NAME  
*(Exact legal name of entity applying for the grant)*

*(Mailing address of local entity)*

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of the County of xxx, State of California, does hereby apply to the California Department of Water Resources for a grant in the amount of \$XXXX plus \$xx application costs.

for the planning and implementation of the following program under the:

*(Specify project title)*

By \_\_\_\_\_ Date \_\_\_\_\_, 2010  
*(Signature of authorized representative; see Section A-4)*

*(Print or type name of authorized representative)*

Title General Manager

Telephone

Fax

E-mail



# A-3

## Project Costs and Budget

**1) PREPARE A PROPOSED ITEMIZED BUDGET.**

The planning and implementation cost estimate should be broken down to reflect the detailed tasks identified in the Project task breakdown developed in Attachment B-1.

	Total	Grant Request
Task 1:		
Task 2:		
Task 3:		
Task 4:		
Contingency		
<b>Total</b>		

**2) PROVIDE FINANCING INFORMATION ABOUT THE PROPOSED PROJECT(SEE BELOW).**

**Mark the itemized budget and financing information as Attachment A-3.**

Total cost:

Amount to be funded under the  
DWR Flood Emergency Response Program:

Amount to be funded by the applicant and other partners:

Sources of funds from partner agencies for this design:

	Name of Source	Status of funds
<b>Total: \$</b>		

Mark as ATTACHMENT A-3

**A-4 Local Agency Resolution**  
**RESOLUTION NO. XX**

**A RESOLUTION OF THE BOARD OF DIRECTORS**  
**OF THE XXXX AGENCY**  
**AUTHORIZING**  
**GRANT APPLICATION FOR**  
**XXXX PROJECT**

WHEREAS, the *XXX agency* proposed to implement xxx Project, and

WHEREAS, the xxx agency intends to apply for grant funding from the California Department of Water Resources for the project costs;

NOW, THEREFORE, BE IT RESOLVED by the Board of Directors of the xxx agency as follows:

1. That pursuant and subject to all of the terms and provisions of the California Proposition 84 " Water Quality, Safety and Supply, Flood Control, Natural Resource Protection, Park Improvements" Bond Law, application by this Agency be made to the California Department of Water Resources to obtain a grant for the xxx Project.
2. The XXX agency General Manager is hereby authorized and directed to prepare the necessary data, make investigations, sign, and file such application with the California Department of Water Resources, and take such other actions as necessary or appropriate to obtain the grant funding.

PASSED AND ADOPTED by the Board of Directors of the *xxxx agency* on the \_\_\_ day of \_\_\_\_\_ 2011 by the following vote:

AYES:  
NOES:  
ABSTAIN:  
ABSENT:

\_\_\_\_\_  
Chair, Board of Directors

Attest:

\_\_\_\_\_  
Secretary

Mark as ATTACHMENT A-4

**A-5**

**Applicant's Authority and Capability**

Have the applicant's attorney answer the following six questions pertaining specifically to this grant application. For each question, cite statutory authority or other references.

1. Does the applicant have the legal authority to enter into a grant contract with the State of California?

Briefly describe the procedural steps required by law for the applicant to contract with the State.

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Cite the statutory authority under which the applicant may obtain funds for the purpose, amount, and duration requested.

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2. What is the statutory authority under which the local public entity was formed and is authorized to operate?

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3. Is the applicant required to hold an election before entering into a funding contract with the State?

\_\_\_\_\_ Yes \_\_\_\_\_ No

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4. Will a funding agreement between the applicant and the State of California be subject to review and/or approval by other government agencies? \_\_\_\_\_ Yes \_\_\_\_\_ No

Identify all such agencies (*e.g., Local Area Formation Commission, local governments, U.S. Forest Service, California Coastal Commission, Health Services, etc.*).

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5. Describe any pending litigation that impacts the financial condition of the applicant or the project seeking the grant for. If none is pending, so state.

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**Continued on next page.**

Mark as ATTACHMENT A-5

**A-5 (continued)**

**Applicant’s authority and capability**

6. Can the applicant demonstrate that it will be able to ensure the operation and maintenance of the completed project? \_\_\_\_\_ Yes \_\_\_\_\_ No

Provide documentation demonstrating this ability.

\_\_\_\_\_  
*(Signature of attorney representing the applicant)*

\_\_\_\_\_  
*(Applicant’s name)*

Mark as Attachment A-5

# **Attachment B-1**

## **Project Scope of Work and Tasks**

This attachment will describe in detail the project concept and scope of work. Please see Section 4 of the guidelines for typical activities that may be funded under this program. The scope of work will discuss project deliverables, opportunities, and constraints. It will also present total costs and project completion date. This attachment as a minimum will include the following:

1. Introduction
2. Background
3. Description of the Proposed Project
4. Description of the Project Tasks
5. Project Deliverables
6. Project Opportunities and Constraints
7. Project Completion Date (Exhibit A presents a detailed project schedule by tasks)
8. Project Total Costs (Exhibit B presents a detailed project costs by tasks)

# Attachment B-2

## Environmental Information Form

Grantees are responsible for complying with all applicable laws and regulations for their projects, including the California Environmental Quality Act (CEQA). Work that is subject to the California Environmental Quality Act (CEQA) shall not proceed under this Agreement until documents that satisfy the CEQA process are received by the Department of Water Resources. Work that is subject to a CEQA document shall not proceed until and unless approved by the Department. 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.

Grant Recipient: \_\_\_\_\_

Project Manager: \_\_\_\_\_

Phone Number: \_\_\_\_\_ Work Agreement #  
\_\_\_\_\_

Address: \_\_\_\_\_

2. Is this project exempt from CEQA compliance? Yes  No  (if no – skip to #3)

If “yes”, provide reasons for exemption. Cite the CEQA Article, Section and Title of the CEQA exemption, if appropriate.

CEQA statutory exemptions:

[http://ceres.ca.gov/topic/env\\_law/ceqa/guidelines/art18.html](http://ceres.ca.gov/topic/env_law/ceqa/guidelines/art18.html)

CEQA categorical exemptions:

[http://ceres.ca.gov/topic/env\\_law/ceqa/guidelines/art19.html](http://ceres.ca.gov/topic/env_law/ceqa/guidelines/art19.html)

Check appropriate box below:

Flood Emergency Response  
Direct Grant Solicitation Package for  
Forecast-Coordinated Operation of the Reservoirs  
January 2011

Lead Agency has already filed a Notice of Exemption (NOE) with the State Clearinghouse and/or County Clerk.

(Attach copy of NOE, receipt of payment of DFG fees, and, if applicable, a copy of Board Resolution)

Lead Agency will file a NOE with the State Clearinghouse and/or County Clerk.  
Provide estimated date: \_\_\_\_\_

Lead Agency will NOT file a NOE with the State Clearinghouse and/or County Clerk.

*If Lead Agency chooses not to file a NOE, sufficient documentation and information must be submitted to the Project Director, along with this form, to allow DWR to make its own CEQA findings.*

3. If the project will require CEQA compliance, identify the Lead Agency.

CEQA Lead Agency: \_\_\_\_\_

4. Please check types of CEQA documents to be prepared:

Initial Study

Negative Declaration / Mitigated Negative Declaration

Environmental Impact Report

5. Please describe the status of the CEQA documents, expected date of completion, and estimated cost, if requesting DWR funds relating to CEQA compliance:

Status: \_\_\_\_\_

Date of Completion: \_\_\_\_\_

Estimated Costs: \_\_\_\_\_

6. If the CEQA document has been completed, please provide the name of the document and the State Clearinghouse number if available. Submit two copies to the Program Manager.

\_\_\_\_\_

7. Please list all environmental permits you must obtain to complete the project:

(Attach additional pages as necessary)

**Type of Permit Required**

**Permitting Agency**

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8. This form was completed by:

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Print or Type Name

Phone Number

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Signature

Date

- DWR received environmental documents.
- DWR made findings.

## **Checklist of Materials Required For Application Completion**

- Application cover letter
- A-1 Application Cover Sheet
- A-2 Applicant's Representatives
- A-3 Project Costs and Budget
- A-4 Local Agency Resolution
- A-5 Applicant's Authority and Capacity
- Attachment B-1 Project Scope of Work and Tasks
- Exhibit A (Detailed Project Schedule by Tasks)
- Exhibit B (Detailed Project Costs by Tasks)
- Attachment B-2 Environmental Information Form