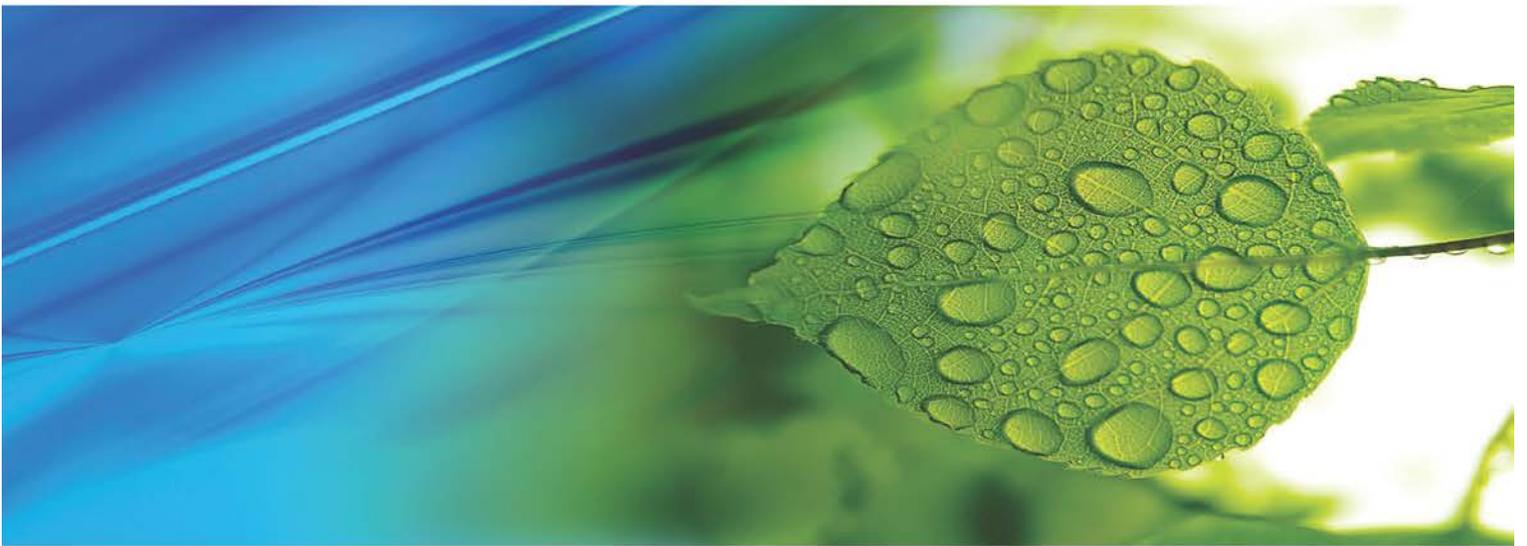


# 2014 Water-Energy Grant Program

Guidelines and Proposal Solicitation Package



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

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## Acronyms and Abbreviations

### 2014 Water-Energy Guidelines

AB  
 AWMP  
 BMPs  
 CalEnviroScreen  
 Cal/EPA  
 CWC  
 CASGEM  
 CEQA  
 DAC  
 DWR  
 EE/RE  
 EI  
 GHG  
 GRanTS  
 IRWM  
 kg CO<sub>2</sub>e  
 kWh  
 MB  
 MG  
 PSP  
 SB  
 SWRCB  
 UWMP

### 2014 Water-Energy Grant Program Guidelines and Proposal Solicitation

Assembly Bill  
 agriculture water management plan  
 best management practices  
 California Communities Environmental Health Screening Tool: Version 2.0  
 California Environmental Protection Agency  
 California Water Code  
 California Statewide Groundwater Elevation Monitoring  
 California Environmental Quality Act  
 disadvantaged community  
 California Department of Water Resources  
 Energy Efficiency and Renewable Energy  
 Energy Intensity  
 greenhouse gas  
 Grants Review and Tracking System  
 Integrated Regional Water Management  
 kilograms of carbon dioxide equivalents  
 kilowatt hour  
 megabytes  
 million gallons  
 proposal solicitation package  
 Senate Bill  
 State Water Resources Control Board  
 urban water management plan

## Foreword

This document contains the California Department of Water Resources (DWR) 2014 Water-Energy Grant Program Guidelines and Proposal Solicitation (2014 Water-Energy Guidelines). The goal of the Water-Energy Grant Program is to fund residential, commercial, and institutional water efficiency programs or projects that reduce greenhouse gas (GHG) emissions and also reduce water and energy use. This grant program is being managed as a part of DWR's Integrated Regional Water Management (IRWM) Grant Program, which administers a variety of grant programs.

### POINTS OF CONTACT

For questions about the 2014 Water-Energy Grant Program or other technical issues, please contact Ms. Laura Peters at [laura.peters@water.ca.gov](mailto:laura.peters@water.ca.gov) or (916) 653-7912.

For questions regarding the online application tool known as Grant Review and Tracking System (GRanTS), please contact GRanTS administration at (888) 907-4267 or by email at [GRanTSadmin@water.ca.gov](mailto:GRanTSadmin@water.ca.gov).

For questions regarding urban water management plans (UWMPs), Demand Management Measures, and Water Meter Implementation compliance, please contact Ms. Betsy Vail at (916) 651-9667 or by email at [betsy.vail@water.ca.gov](mailto:betsy.vail@water.ca.gov).

For questions regarding agricultural water management plans (AWMPs), please contact Mr. Marty Berbach at (916) 651-9216 or by email at [martin.berbach@water.ca.gov](mailto:martin.berbach@water.ca.gov).

### WEBSITE

This document as well as other information about the 2014 Water-Energy Grant Program can be found at the following link: <http://www.water.ca.gov/waterenergygrant/index.cfm>. In addition to the Web site, DWR will distribute information via the IRWM email contact list. If you are not already on the IRWM contact list and wish to be placed on it to receive information regarding the Water-Energy Grant Program (and other IRWM grant programs), please email your contact information to: [DWR\\_IRWM@water.ca.gov](mailto:DWR_IRWM@water.ca.gov).

### DUE DATE

Complete proposals and all supporting documentation must be submitted via DWR's GRanTS no later than **5 p.m. on December 12, 2014**. Proposals and supporting documentation received after this time will not be reviewed or considered for funding.

### TABLES AND WORKBOOK

The various tables and Excel workbook referenced in the document can be found at the following link: <http://www.water.ca.gov/waterenergygrant/templatesforms.cfm>.

#### **Limitations of Methodology**

The calculation methodologies and monitoring requirements presented in this document are specific to this solicitation and shall not be considered binding precedents for any other solicitations utilizing the Greenhouse Gas Reduction Fund.

# 2014 Water-Energy Grant Program Guidelines and Proposal Solicitation Package

## I. INTRODUCTION

The purpose of the 2014 Water-Energy Guidelines is to establish the processes that DWR will use to solicit and evaluate proposals and award grants, and to assist applicants that apply for grant funding to support the implementation of residential, commercial, and institutional water efficiency programs or projects that reduce GHG emissions as well as water and energy usage.

This document provides a framework for grant applicants and DWR to ensure that the grant solicitation and award process is fair and transparent. It also contains detailed information on the proposal requirements. The proposal solicitation, review, and selection process is a single-step process.

To ensure clarity, the following terms are used throughout this document:

A **Project** is a collection of planned activities performed in a sequence to construct a physical facility or implement a non-structural solution.

A **Proposal** is a project or suite of projects contained in a single grant application.

**Water-Energy Savings** refers to water and energy savings and GHG reductions resulting from project and proposal implementation.

**Benefit(s)** refers to a measurable benefit(s) in addition to water, energy, and GHG savings that result from project implementation. Examples of benefits include, but are not limited to, improved drinking water quality, increased water supply reliability, or reduction in utility cost.

**Benefit area** refers to the geographic area where benefits are realized by a population.

**System** is the collection of the project(s) or program(s), related infrastructure, accompanying jurisdiction(s), and benefit area.

Projects and benefit area(s) are related to one another by infrastructure and accompanying entity jurisdiction(s) that enable distribution of benefits to a benefit area. The term "System" differentiates the localized elements (i.e., infrastructure, jurisdictions, beneficiaries) from the infrastructure and energy needed to import water into the System.

## II. FUNDING

The funding for this program was approved by the Governor on March 1, 2014 through Senate Bill (SB) 103, Section 11 (2013-2014 Reg. Sess.), which appropriated funds from the Greenhouse Gas Reduction Fund (Health and Safety Code §39710 et seq.) to DWR to establish a grant program. DWR is making \$19 million in funding available through the 2014 Water-Energy grant solicitation. The maximum grant award is \$2.5 million per proposal, and DWR will not award more than \$5 million per applicant.

For the 2014 Water-Energy grant solicitation, there is no minimum cost-share contribution. However, applicants are required to document all costs and funding sources necessary to complete the scope of work if the total proposal costs exceed the maximum grant amount.

Costs incurred after July 1, 2014 that meet the reimbursable costs definition (Appendix B) will be eligible for reimbursement.

### III. ELIGIBILITY REQUIREMENTS

#### ELIGIBLE GRANT APPLICANTS

Eligible applicants are local agencies, joint powers authorities, or nonprofit organizations, as defined in Appendix B.

#### ELIGIBILITY COMPLIANCE CRITERIA

Applicants and all parties that receive funds from the 2014 Water-Energy Grant Program must meet all relevant compliance requirements listed below to be considered eligible for funding. In addition, continued compliance with eligibility requirements will be an obligation of the grant agreement. Compliance information and certification forms may be found at the Web sites listed in Appendix A.

#### URBAN WATER MANAGEMENT

Applicants that are urban water suppliers must provide documentation confirming their compliance with the following requirements:

*Urban Water Management Planning Act.* Water suppliers subject to the Urban Water Management Planning Act (Water Code §10610 et seq.) must have submitted their 2010 urban water management plan (UWMP) to DWR, and received DWR confirmation that the UWMP addressed the requirements of the Urban Water Management Planning Act, in order to receive a grant award. *Note: The 2015 UWMPs are due to be submitted to DWR by July 1, 2016.*

*Demand Management Measures.* Assembly Bill (AB) 1420 (Stats. 2007, Chapter 628) conditions the receipt of a water management grant or loan for urban water suppliers on the implementation of water demand management measures described in Water Code §10631. DWR has determined that meeting the best management practices (BMPs) coverage requirements detailed in the California Urban Water Conservation Council's Memorandum of Understanding (June 2010) will fulfill the requirements of AB 1420. An urban water supplier may be eligible for a 2014 water-energy grant even if it is not implementing or meeting the coverage requirement for a BMP, or BMPs, as long as it provides an implementation schedule, financing plan, and budget to meet the compliance requirements. If an implementing schedule, budget, and financing plan are used for compliance with AB 1420, they will become part of the grant agreement per Water Code § 10631.5(a)(3). Urban water suppliers must submit self-certification forms directly to DWR to document compliance with AB 1420.

*Water Meter Requirements:* Water Code §529.5 requires any urban water supplier applying for State grant funds for wastewater treatment projects, water-use efficiency projects, drinking water treatment projects, or a permit for new or expanded water supply to self-certify that they meet the water meter requirements in Water Code §525 et seq.

#### GROUNDWATER MANAGEMENT

For projects that directly affect groundwater levels, the applicant must demonstrate that the project and the applicant are consistent with the following:

*California Statewide Groundwater Elevation Monitoring (CASGEM).* Water Code §10920 et seq. establishes a groundwater monitoring program designed to monitor and report groundwater elevations in all or part of a basin or subbasin. DWR has prioritized groundwater basins and established CASGEM monitoring entities.

Grant applicants in high- and medium-priority basins that do not have a CASGEM monitoring entity, and which also are on the list of potential monitoring entities identified in Water Code §10927, including any counties whose jurisdictions involve unmonitored high- and medium-priority basins, will not be eligible for a 2014 water-energy grant award pursuant to Water Code §10933.7(a). Consistent with Water Code §10933.7(b), if the entire service area of the grant applicant is demonstrated to be a disadvantaged community (DAC), as defined in Appendix B, the proposal will be considered eligible for grant funding notwithstanding CASGEM compliance.

**SURFACE WATER DIVERSION**

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

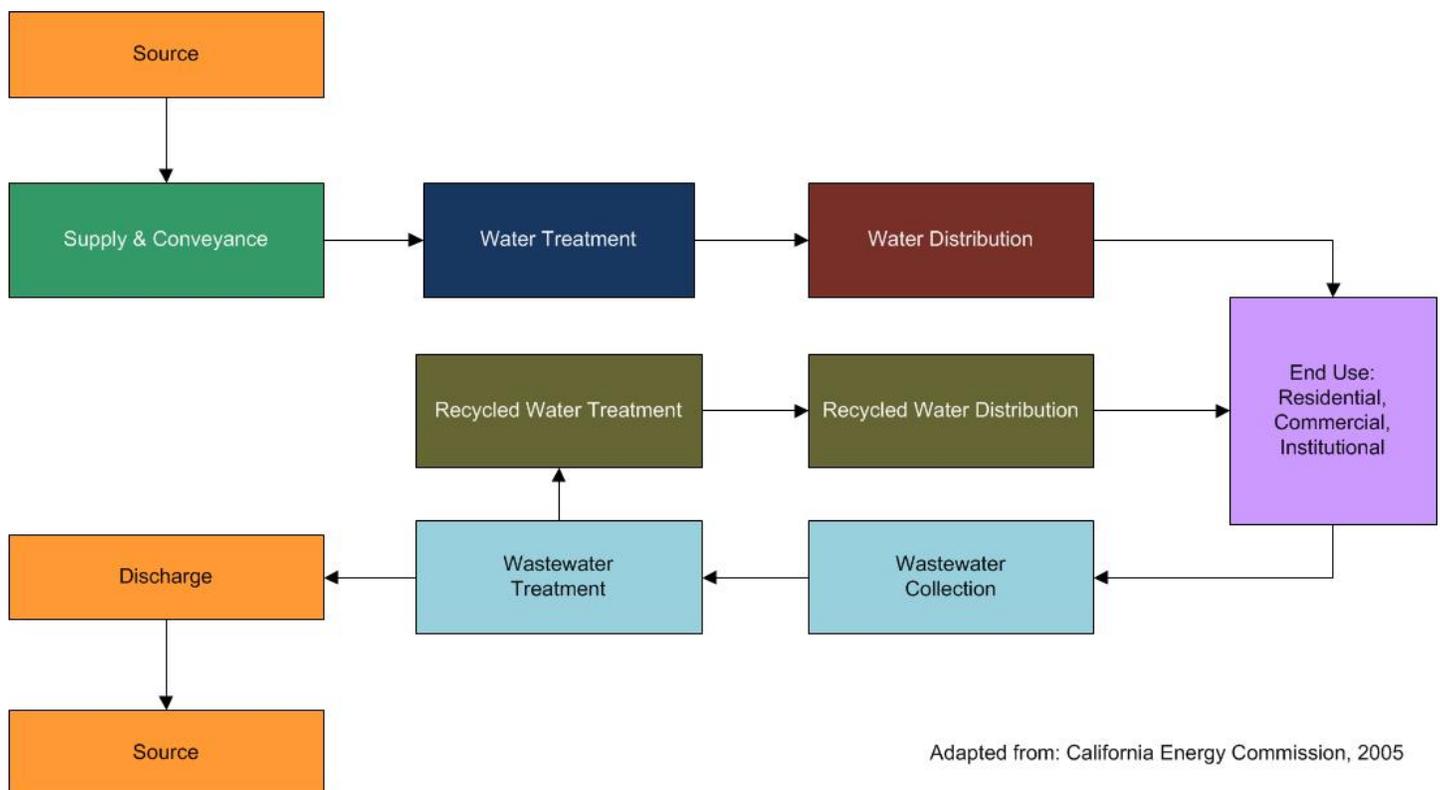
**AGRICULTURE WATER MANAGEMENT**

Agricultural water suppliers subject to the water conservation requirements outlined in Part 2.55 (commencing with §10608) of Division 6 of the Water Code, must have submitted their 2012 agricultural water management plan (AWMP) to DWR, and received DWR confirmation that the AWMP addressed the program requirements, in order to receive a grant award. *Note: The 2015 AWMP updates are due to be submitted to DWR by December 31, 2015.*

**ELIGIBLE PROJECT TYPES**

To be eligible for 2014 Water-Energy grant funding, proposals must implement residential, commercial, or institutional water-efficiency programs or projects that reduce GHG emissions and also reduce water and energy use. DWR will consider projects proposed in any segment of the Water Use Cycle, as shown in Figure 1.

FIGURE 1. THE WATER USE CYCLE



Adapted from: California Energy Commission, 2005

Water-Energy savings will first be estimated on a System level; water and energy savings associated with imported water will be added in separately. If imported water is supplied to the System, or recycled water is produced and imported to the System, additional estimates and calculations must be provided to quantify water and energy savings outside of the System.

## IV. PROGRAM REQUIREMENTS

### PROGRAM PREFERENCE

Funding priority may be given to proposals that provide direct, meaningful, and assured benefits to census tracts with CalEnviroScreen 2.0 scores exceeding 81 percent. Projects may be located within or outside the DAC. Examples of benefits provided to DACs include, but are not limited to, increased water supply reliability, drinking water quality improvements, increased employment, or water service rate reductions. California Health and Safety Code §39711(a) directs the California Environmental Protection Agency (Cal/EPA) to identify DACs for investment opportunities related to Greenhouse Gas Reduction Fund expenditures. Cal/EPA developed a tool, CalEnviroScreen 2.0, which considers factors presented in the Health and Safety code and assigns percentage scores to census tracts. The CalEnviroScreen2.0 tool can be found at: <http://www.oehha.ca.gov/ej/ces2.html>.

Additionally, preference may be given to regional proposals or proposals that utilize System-specific energy intensities and emission factors in the calculation of GHG-emission reductions. How these preferences are applied to this solicitation is detailed in Section VI, Review and Evaluation Process.

### CONFLICT OF INTEREST

All applicants 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 proposal being rejected and any subsequent grant agreement being declared void. Other legal action may also be taken. Applicable statutes include, but are not limited to, California Government Code §1090 and California Public Contract Code §10410 and §10411.

### WAIVER OF CONFIDENTIALITY

Privacy rights and other confidentiality protections afforded by law with respect to the proposal solicitation package (PSP) will be waived once the proposal has been submitted to DWR.

### LABOR CODE COMPLIANCE

Compliance with applicable laws, including California Labor Code provisions, will become an obligation of the grant recipient under the terms of the grant agreement between the grant recipient and DWR. Tribal governments may have other labor compliance requirements or obligations; tribes are encouraged to consult their legal counsel and the California Department of Industrial Relations to determine their specific labor compliance obligations.

### CALIFORNIA ENVIRONMENTAL QUALITY ACT COMPLIANCE

Activities performed under the Water-Energy Grant Program must be in compliance with the California Environmental Quality Act (CEQA) (Public Resources Code §21000 et seq.). If applicable, grantees must also demonstrate that they have complied with requirements of the National Environmental Policy Act. See Appendix A for Web links to CEQA information and the State Clearinghouse Handbook.

### MONITORING REQUIREMENTS

Projects that affect surface water quality shall include a monitoring component that allows the integration of data into the California Environmental Data Exchange Network. For more information, follow the State Water Resources Control Board's (SWRCB's) Web site link provided in Appendix A.

DWR's CASGEM program (Water Code §10927) requires various entities, including local agencies managing all or part of the groundwater basin pursuant to Water Code §10750, to assume responsibilities for groundwater elevation monitoring and reporting, as required by Water Code §10920 et seq. For more information, follow the CASGEM Web site link provided in Appendix A.

Monitoring and reporting of water, energy, and GHG reductions will be required to verify claimed savings.

## V. PROPOSAL PROCESS

### SOLICITATION NOTICE

A solicitation notice will be e-mailed to all interested parties via DWR's IRWM distribution list. Potential applicants should review the 2014 Water-Energy Guidelines in detail prior to beginning application preparation because it provides detailed instructions on the mechanics of submitting proposals and specific information on submittal requirements.

### APPLICANT ASSISTANCE WORKSHOPS

Informational workshops will be conducted to address applicant questions and to provide general assistance to applicants in preparing grant proposals. The workshops will be held at the locations listed in Table 1.

### SCHEDULE

Table 1 shows the program timeline from release of the 2014 Water-Energy Guidelines through the awarding of grants. Any updates to the schedule will be posted on DWR's Water-Energy Grant Program Web site. Updates may also be publicized through e-mail announcements and news releases.

**Table 1. Schedule**

<b>Milestone or Activity</b>	<b>Schedule</b>
Release Final Water-Energy Guidelines and PSP	October 10, 2014
Applicant Assistance Workshops	All meetings start at 1 p.m.
Cal/EPA Sierra Hearing Room 1001 I Street Sacramento CA 95814	October 28, 2014
California Tower Highgrove Room, Suite 200 3737 Main Street Riverside, CA 92501	October 30, 2014
Woodward Park Regional Library 944 East Perrin Avenue Fresno, CA 93720	November 5, 2014
Proposals Due to DWR by 5:00 p.m.	December 12, 2014
Draft Awards	<i>March 2015</i>
Public Comment Meeting Location TBD	<i>April 2015</i>
Final Awards	<i>April/May 2015</i>

*Italics denote approximate dates.*

## VI. REVIEW AND EVALUATION PROCESS

### PROCESS OVERVIEW

All proposals will undergo an eligibility and completeness review for the required and applicable items listed in this document. If a proposal is determined to be ineligible or incomplete, the proposal will not be reviewed or considered for funding.

Water and energy savings data from all complete and eligible proposals will be initially sorted from high to low. This initial sort will be used to determine the order in which the proposals will be evaluated by technical reviewers. In the event of overwhelming demand, DWR will perform detailed review of proposals that demonstrate high and medium water and energy savings first, and may not perform detailed review of proposals with low water and/or energy savings. At least two DWR technical reviewers will be assigned to each eligible proposal. The group of technical reviewers for

each proposal will include representatives from DWR and possibly technical reviewers from other agencies. The technical reviewers will individually evaluate the proposals in accordance with established review criteria.

Technical reviewers will confirm claims of benefits provided to DACs, assess sufficiency of the proposal agreement components (work plan, schedule, and budget), as well as assess the calculations and supporting information used for the water and energy savings, as well as GHG reductions, as described in Attachment 2. Technical reviewers may adjust water, energy, and GHG-emission calculations if unit conversion errors, inconsistent use of coefficients, mathematical errors, or other problems are found. The adjusted values will be used in the ranking and funding recommendation development processes.

Following completion of the technical review, DWR will convene a Selection Panel comprised of supervisory/management level staff to review the technical evaluations and to generate a preliminary funding recommendation.

When developing the funding recommendation, the Selection Panel will consider the following items:

- ✓ DAC Status and Funding Target
  - It is DWR's intent to award not less than \$9.5 million (50 percent) of the available funding to projects located in or outside a DAC and that provide direct, meaningful, and assured benefit to a DAC(s).
- ✓ Sufficiency of Agreement Components
- ✓ Attachment 2 review and ranking
- ✓ Amount of funds available

The Selection Panel may recommend reducing grant amounts from those requested in order to equitably distribute funding and stay within available funding limitations.

## TECHNICAL REVIEW

After completion and eligibility review, technical reviewers will review proposal content as depicted in Table 2.

**Table 2. Review Criteria**

Subject	Attachment	Criteria	Metric
<b>Calculation Review</b>	Attachment 2	DWR review of Excel tables and supporting information. Total water and energy savings will be reported for all segments of the water cycle; however, savings on the System level will be used to determine the funding priority.	Water saving is in MG Energy savings in kWh GHG reductions in kgCO <sub>2</sub> e <i>Numbers adjusted as necessary</i>
<b>Agreement Components</b>	Attachments 3, 4, and 5	Work Plan, Budget, and Schedule will be deemed sufficient if the following conditions are substantially met: <ul style="list-style-type: none"> <li>• Work Plan includes System map.</li> <li>• Work Plan contains project description.</li> <li>• Work Plan contains tasks presented in logical order to demonstrate implementable project(s).</li> <li>• Work Plan tasks define the main activities, including magnitude or effort, necessary to complete the task.</li> <li>• Work Plan tasks identify appropriate deliverables resulting from the activities described.</li> <li>• Work plan addresses CEQA compliance.</li> <li>• Schedule is consistent with the tasks in the Work Plan and shows the timing and duration of the tasks.</li> <li>• Budget basis of estimate contains hours and rates as appropriate.</li> <li>• Basis of estimate results in costs presented in the Budget.</li> <li>• All estimates are justified as to their use and magnitude.</li> </ul>	Sufficient/Not Sufficient
<b>Project Monitoring</b>	Attachment 6	Proposals are deemed sufficient if a general methodology for monitoring is provided that includes quantifiable parameters.	Sufficient/Not Sufficient
<b>DAC benefit/status</b>	Attachment 7	Proposals with benefit areas overlapping census tracts with CalEnviroScreen 2.0 scores of 81% or higher and where, in general, at least 75% of the benefit is directly received by the designated DAC(s).	DAC Benefit/No DAC Benefit

## PROPOSAL RANKING

DWR will rank proposals according to the following procedures:

- ✓ All complete and eligible proposals will be reviewed and assessed according to the criteria in Table 2.
- ✓ The water savings and energy savings, adjusted as necessary, will be used to produce the estimated water savings (MG/total project cost) and energy savings (kWh/total project cost). Water and energy saved within the System will be used when considering funding priority.
- ✓ The System water savings/total project cost will be ranked highest to lowest. The Selection Panel will assign a “high,” “medium,” or “low” ranking to each proposal for the water savings category. Generally, high water savings will correspond to the upper third of the ordered values, medium will correspond to the middle third of ordered values, and low will correspond to the lower third of ordered values. In addition to the general discriminator, DWR may also consider “natural breaks” that occur in ordered values when assigning the high, medium, or low groupings.
- ✓ Separately, an equivalent process will be used to rank System energy savings.
- ✓ The determination of DAC status, water savings rank, energy savings rank, and agreement component sufficiency will be entered into a ranking matrix.
- ✓ In the case of a tie, preference will be given to proposals that include regional projects, or projects that are consistent with an IRWM Plan (Water Code §10544). Additional consideration will also be given to projects that provide System specific energy intensity and emission factors.

## FUNDING RECOMMENDATION DEVELOPMENT

The Selection Panel will then rank the proposals by applying the Funding Priority shown in Table 3. Funding will be allocated to proposals in each priority class until all proposals have been funded in that priority class or funding is fully allotted. If funds remain, the next priority class will be considered for funding. When developing the funding recommendations, the Selection Panel will consider the amount of funding requested and the amount of funding available. DWR may partially fund proposals based on available funding and proposal specifics.

If funds remain after allocating funds to the listed priorities, DWR may consider funding proposals not contained on the priority list. If so, additional information may be needed from applicants prior to DWR awarding funds. Such applicants will be given a finite amount of time to provide additional materials. Funding recommendations will be released as draft for public comment.

**Table 3. Funding Priority**

Priority	DAC	Water MG/\$Million	Energy kWh/\$Million	Agreement Components
1	Yes	High	High	Sufficient
2	No	High	High	Sufficient
3	Yes	Medium	High	Sufficient
4	Yes	High	Medium	Sufficient
5	No	Medium	High	Sufficient
6	No	High	Medium	Sufficient
7	Yes	Medium	Medium	Sufficient

## VII. AWARD NOTIFICATION AND AGREEMENT PROCESS

### APPLICANT AWARD NOTIFICATION AND PUBLIC MEETING

The list of proposals recommended for funding and the recommended funding amounts will be posted on the DWR Water-Energy Web site and the applicants will be notified. The preliminary recommendation will be presented at a public meeting held by DWR to solicit public comments. Interested parties will be notified of the public meeting by

e-mail, and a news release informing the public of the date, time, and location of the meeting will be placed on the Water-Energy Web site.

## FINAL AWARDS

Based on the draft funding recommendations and the comments received during the public comment period, DWR's Director will make final awards. Following final awards, the selected grant recipients will receive a commitment letter officially notifying them of their selection and the grant amount, as well as any conditions that may apply to the award. Grant recipients will need to furnish information per the commitment letter so the agreement can be drafted. Final funding recommendations will also be posted on the program Web site.

## GRANT AGREEMENT

Following award of funds, DWR will execute a grant agreement with the grant recipient. Grant agreements are not executed until signed by the authorized representative of the grant recipient and DWR.

The agreement template will be posted on the Water-Energy Grant Program Web site no later than October 31, 2014. Applicants are encouraged to review the agreement template for an understanding of responsibilities assumed by the grant recipient. Appendix D provides applicants with a summary of the minimum materials that will need to be maintained during the life of the grant agreement for State auditing purposes.

## VIII. HOW TO SUBMIT A PROPOSAL

This section explains how to submit a proposal for the 2014 Water-Energy Grant Program. A complete proposal consists of an electronic submittal of the proposal and all relevant attachments.

### ELECTRONIC SUBMITTAL – GRANTS ONLINE TOOL

Applicants must submit a complete proposal online by using DWR's GRanTS. GRanTS can only be accessed via the Internet Explorer browser. The online application will be available in GRanTS no later than October 10, 2014, and can be found at the following link: <http://www.water.ca.gov/grants/>.

The name of the proposal solicitation for the 2014 Water-Energy Grant Program in GRanTS online tool is "Water-Energy 2014."

Applicants are encouraged to review the GRanTS Public User Guide and Frequently Asked Questions, available at the link above, prior to completing the online application. For questions regarding the GRanTS online tool, please use the GRanTS contact listed in the Foreword. For applicants that do not have internet access, please contact Ms. Mina Danieli at (916) 651-9214.

The application in GRanTS consists of multiple sections. Pull down menus, text boxes, or multiple-choice selections will be used to receive answers to the questions. GRanTS will allow applicants to type text or cut and paste information from other documents directly into a GRanTS submittal screen, but applicants should verify the cut and paste activity to be sure the field character limit has not been exceeded and text truncated.

When uploading an attachment in GRanTS, the following attachment-title naming convention must be used:

Att#\_WE14\_Agency\_AttachmentName\_#ofTotal#

Per the naming convention:

- ✓ "Att#" is the attachment number.
- ✓ "WE14" is the code for this grant solicitation.
- ✓ "Agency" is an abbreviation for the applicant agency.
- ✓ "AttachmentName" is the name of the attachment as specified in the Attachment Instructions.
- ✓ "#ofTotal#" identifies the number of files that make up an attachment, where "#" is the number of a file and "Total#" is the total number of files submitted in the attachment.

For example, if the Attachment 3 — Work Plan for applicant Hometown Water Agency is made up of three files, the second file in the set would be named “Att3\_WE14\_HWA\_WorkPlan\_2of3.”

File size for each attachment submitted via GRanTS is limited to 50 megabytes (MB). Breaking documents into logical components so that files are less than 50 MB will aid in uploading the files. Acceptable file formats are MS Word, MS Excel, MS Project, or PDF. PDF files should be generated, if possible, from the electronic proposal file rather than scanned hard copy. Attachment 2 spreadsheets must be submitted as Excel files. All portions of the application must be received in GRanTS by the application deadline. Late submittals will not be reviewed or considered for funding.

## WHAT TO SUBMIT — REQUIRED PROPOSAL ATTACHMENTS

This section presents the required elements of a proposal for grants funded by the 2014 Water-Energy Grant Program. The GRanTS application consists of three sections, or “Tabs,” as outlined in Table 4, Grant Application Checklist. Attachments 1–6 must be submitted via GRanTS. Attachment 7 is required only if the applicant is demonstrating that the proposal has benefits to DAC(s). This checklist is intended to help the applicant ensure that the proper information is submitted in GRanTS for the proposal. A discussion of each of these attachments is provided below.

**Table 4. Grant Application Checklist**

### APPLICANT INFO TAB

*The following information is general and applies to the applicant and the overall proposal. Specific project information should be detailed on separate project tabs provided in the GRanTS application.*

#### APPLICANT INFORMATION

<input type="checkbox"/>	<u>Organization Name</u> : Provide the name of the Agency/Organization responsible for submitting the proposal. Should the Proposal be successful, this Agency/Organization will be the Grantee.
<input type="checkbox"/>	<u>Tax ID</u> : Tax ID is automatically displayed for registered organizations. Verify the applicant’s federal tax ID number.
<input type="checkbox"/>	<u>Point of Contact</u> : This must be a member of the applicant organization. Select “Existing Register Users” to select the registered user associated with the organization specified above. The rest of the contact information (Division, Address, e-mail, etc.) are auto-populated once the above registered user is selected. Select “Add New User” to add an unregistered user. Please select Division (address will be auto populated) and type the First Name, Last Name, Phone (Direct), and E-mail of the new user. The e-mail address will be the new user’s login name.
<input type="checkbox"/>	<u>Point of Contact Position Title</u> : Enter position title.
<input type="checkbox"/>	<u>Proposal Name</u> : Provide the title of the proposal (maximum character limit: 150).
<input type="checkbox"/>	<u>Proposal Objective</u> : Describe the proposal objectives(s) (maximum character limit: 500).

### PROPOSAL BUDGET

*The following budget items should be taken from Attachment 5, where applicable.*

<input type="checkbox"/>	<u>Other Contribution</u> : Provide the amount of other funds not included in the categories as listed above. If there is no other contribution, enter zero.
<input type="checkbox"/>	<u>Local Contribution (Cost Share)</u> : Provide the total cost share that will be committed to the Proposal. If none, enter zeroes.
<input type="checkbox"/>	<u>Federal Contribution</u> : Enter federal funds being used. If none, enter zeroes.
<input type="checkbox"/>	<u>In-kind Contribution</u> : Provide the total amount of in-kind services in dollars. In-kind contribution refers to work performed by the grantee and may be considered as cost share. If there is no in-kind contribution, then enter zeroes in this field.

**Table 4. Grant Application Checklist**

<input type="checkbox"/>	<u>Amount Requested (Grant Funds Requested)</u> : Provide the amount of total grant funds requested.
<input type="checkbox"/>	<u>Total Proposal Cost</u> : Provide the total proposal cost, in dollars. This amount must agree with the total proposal cost shown in Attachment 4. Total proposal cost is automatically calculated based on the contribution amounts entered above.
<b>PROPOSAL GEOGRAPHIC INFORMATION</b>	
<i>GraNTS requests latitude and longitude in degrees, minutes, and seconds. You may use converters on the Web, such as <a href="http://transition.fcc.gov/mb/audio/bickel/DDMMSS-decimal.html">http://transition.fcc.gov/mb/audio/bickel/DDMMSS-decimal.html</a>.</i>	
<input type="checkbox"/>	<u>Latitude</u> : Enter the latitude at the location that best represents the center of the System.
<input type="checkbox"/>	<u>Longitude</u> : Enter the longitude at the location that best represents the center of the System.
<input type="checkbox"/>	<u>Longitude/Latitude Clarification</u> : Only use if necessary (maximum character limit: 250).
<input type="checkbox"/>	<u>Location</u> : Provide a short description of the System, if needed (maximum character limit: 100).
<input type="checkbox"/>	<u>County(ies)</u> : Provide the county in which the project(s) is located. If the project covers multiple counties hold the control key down and select all that apply.
<input type="checkbox"/>	<u>Groundwater Basins</u> : Provide the groundwater basin(s) as listed in the current version of DWR Bulletin 118 ( <a href="http://www.water.ca.gov/groundwater/bulletin118/gwbasins.cfm">http://www.water.ca.gov/groundwater/bulletin118/gwbasins.cfm</a> ), in which your project is located. For proposals covering multiple groundwater basins, hold down the Ctrl key and select all that apply.
<input type="checkbox"/>	<u>Hydrologic Region(s)</u> : Provide the hydrologic region in which your project(s) is/are located. For proposals covering multiple hydrologic regions, hold down the Ctrl key and select all that apply.
<input type="checkbox"/>	<u>Watershed(s)</u> : Provide the name of the watershed in which the project is located (maximum character limit: 250). A map of California watersheds can be found at the following link: <a href="http://www.conservation.ca.gov/dlrp/wp/Documents/CALFED_Watershed_Map[1].pdf">http://www.conservation.ca.gov/dlrp/wp/Documents/CALFED_Watershed_Map[1].pdf</a> . If your Proposal covers multiple watersheds, you may only provide one "Unique Watershed Number" as listed on the watershed map.
<b>LEGISLATIVE INFORMATION</b>	
<input type="checkbox"/>	Enter the State Assembly, State Senate, and U.S. Congressional Districts in which the project(s) is/are located (use district numbers only, not the name of the Legislator). For project(s) that include more than one district, hold down the Ctrl key and select all that apply.
<b>PROJECTS TAB</b>	
<i>This section contains information about the projects contained in the proposal. Each project in the proposal should be detailed on a separate Project Tab. Applicants may generate as many project tabs as are necessary. The following questions will be used to gather information on each specific project.</i>	
<b>PROJECT INFORMATION</b>	
<input type="checkbox"/>	<u>Project Name</u> : Provide the project name (maximum character limit: 125 characters).
<input type="checkbox"/>	<u>Implementing Organization</u> : Select the implementing organization.
<input type="checkbox"/>	<u>Secondary Implementing Organization</u> : (maximum character limit: 125 characters).
<input type="checkbox"/>	<u>Proposed Start Date</u> :

**Table 4. Grant Application Checklist**

<input type="checkbox"/>	<u>Proposed End Date</u> :
<input type="checkbox"/>	<u>Scope Of Work</u> : Leave blank.
<input type="checkbox"/>	<u>Project Description</u> : Leave blank.
<input type="checkbox"/>	<u>Project Objective</u> : Leave blank.
<b>PROJECT BENEFIT INFORMATION</b>	
<i>Please do not enter any information into GRanTS for the following Project Benefit questions. They are standard GRanTS questions and cannot be removed, but are unnecessary for this Grant Application.</i>	
<input type="checkbox"/>	<u>Benefit Level</u> : Leave blank.
<input type="checkbox"/>	<u>Benefit Type</u> : Leave blank.
<input type="checkbox"/>	<u>Description</u> : Leave blank.
<input type="checkbox"/>	<u>Measurement</u> : Leave blank.
<b>PROJECT BUDGET</b>	
<i>For each project, the following budget items should be taken from Attachment 4.</i>	
<input type="checkbox"/>	If only one project is being proposed, use the "Copy Budget data from Applicant Info" feature to populate previously entered data. Otherwise, enter individual budget items for each project in the same manner as described for the Applicant Information Tab. The sum of the budget items must agree with the total project budget.
<b>PROJECT GEOGRAPHIC INFORMATION</b>	
<input type="checkbox"/>	Enter the geographical information for each project (latitude and longitude in degrees, minutes, and seconds).
<b>LEGISLATIVE INFORMATION</b>	
<input type="checkbox"/>	If only one project is being proposed, use the "Copy Legislative data from Applicant Info" feature to populate previously entered data. Otherwise, enter the legislative information for each project in the same manner as described for the Applicant Information Tab. For projects covering more than one district, hold down the Ctrl key and select all that apply.
<b>ADDITIONAL INFORMATION TAB</b>	
<i>The answers to these questions will be used in processing the application.</i>	
<input type="checkbox"/>	<u>Q1. Project Representative</u> : Provide the name and contact information of the person authorized to execute the grant agreement for the applicant. Persons that are subcontractors to be paid by the grant cannot be listed as the Project Representative.
<input type="checkbox"/>	<u>Q2. Project Manager</u> : Provide the name and contact information of the Project Manager from the applicant agency or organization that will be the day-to-day contact on this proposal.
<input type="checkbox"/>	<u>Q3. Applicant Information</u> : Provide the agency name, address, city, state and zip code of the applicant submitting the proposal.
<input type="checkbox"/>	<u>Q4. Disadvantaged Community Proposal</u> : Select "Yes" if the applicant is claiming that the proposal provides sufficient benefit to a DAC, such that the DAC program preference should be applied. If yes, Attachment 7 must be submitted.
<input type="checkbox"/>	<u>Q5. Regional Proposal</u> : Indicate if this is a regional proposal.
<input type="checkbox"/>	<u>Q6. System Water Savings</u> : Provide System Water Savings in MG/\$M of Total Project Cost (Attachment 2 Workbook, System Summary Worksheet, Cell F4).
<input type="checkbox"/>	<u>Q7. System Energy Savings</u> : Provide System Energy Savings in kWh/\$M of Total Project Cost (Attachment 2 Workbook, System Summary Worksheet, Cell F5).

**Table 4. Grant Application Checklist**

<input type="checkbox"/>	<u>Q8. Grand Total GHG Savings:</u> Provide Grand Total GHG Savings in kgCO <sub>2</sub> e (Attachment 2 Workbook, System Summary Worksheet, Cell M6).	
<b>APPLICATION ATTACHMENTS TAB</b>		
<i>Provide the attachments listed below by attaching files to the GRanTS application. When attaching files, please use the naming convention found in Table 5. Requirements for information to be included in these attachments are found in the Attachment Instructions below. For instructions on attaching files, please refer to the GRanTS User Manual.</i>		
Attachment #	Attachment Title	Requirements
<input type="checkbox"/>	Attachment 1	Authorization and Eligibility Requirements
<input type="checkbox"/>	Attachment 2	Water and Energy Savings and Green House Gas Calculations
<input type="checkbox"/>	Attachment 3	Work Plan/ Project Map(s)
<input type="checkbox"/>	Attachment 4	Budget
<input type="checkbox"/>	Attachment 5	Schedule
<input type="checkbox"/>	Attachment 6	Project Monitoring
<input type="checkbox"/>	Attachment 7	Disadvantaged Community
		Include only if proposal claims DAC Program preference.

## ATTACHMENT INSTRUCTIONS

Within the instructions for each attachment there may be reference to external forms, worksheets, or tools. All external items can be accessed from the Water-Energy Web site referenced in the Foreword. A discussion of the contents for each attachment is provided below.

### ATTACHMENT 1. AUTHORIZATION AND ELIGIBILITY REQUIREMENTS

Attachment 1 consists of authorization and eligibility documentation. Self-certification documents must be completed and included in Attachment 1, where applicable.

Attachment 1 contains multiple parts. For the “AttachmentName” in the naming convention of GRanTS, see Table 5.

**Table 5. Attachment 1 Documents and AttachmentName**

Documents	AttachmentName
Authorizing Documentation	AuthDoc
Eligible Applicant Documentation	EligDoc
Urban Water Management DWR Verification of Urban Water Management Plan Demand Management Measures (AB 1420 Compliance Forms) Water Meter Requirements (AB1420 Metering Compliance Form)	UWM
Groundwater Management CASGEM	GWM
Agricultural Water Management	AWM
Surface Water Diversion	SWD

## AUTHORIZING DOCUMENTATION

The applicant must provide a copy of documentation, such as a resolution adopted by the applicant’s governing body, designating an authorized representative to submit a proposal for the 2014 Water-Energy Grant and enter into an

agreement with the State of California. Note that the authorized representative may not be a consultant or subcontractor. The following text box provides an example resolution.

**RESOLUTION NO. \_\_\_\_\_**

Resolved by the *<Insert name of governing body, city council, organization, or other>* of the *<Insert name of agency, city council, organization, or other>*, that application be made to the California Department of Water Resources to obtain a 2014 Water-Energy Grant pursuant to Senate Bill No. 103 Section 11 (2013-2014 Regular Session), and to enter into an agreement to receive a grant for the: *<Insert name of Proposal>*. The *<Insert title – Presiding Officer, President, Agency Manager, or other officer>* of the *<Insert name of agency, city, county, organization, or other>*, or designee, is hereby authorized and directed to prepare the necessary data, conduct investigations, file such application, and execute a grant agreement and any amendments thereto, with California Department of Water Resources.

Passed and adopted at a meeting of the *<Insert name of agency, city, county, organization, or other>* on *<Insert date>*.

Authorized Original Signature: \_\_\_\_\_

Printed Name: \_\_\_\_\_

Title: \_\_\_\_\_

Clerk/Secretary: \_\_\_\_\_

If the authorizing documentation is not available by the application due date, list the anticipated date the documentation will be submitted to DWR. The authorizing documentation must be submitted to the following address no later than March 2, 2015:

Department of Water Resources  
P.O. Box 942836  
Sacramento, CA 94236-0001

Attn: IRWM Financial Assistance Branch  
Water-Energy Grant Program

### ELIGIBLE APPLICANT DOCUMENTATION

Eligible applicants are local agencies, joint powers authorities, or nonprofit organizations. The applicant must provide a written statement (and additional information if needed) containing the appropriate information, as follows:

- ✓ Is the applicant a local agency, joint powers authorities, or nonprofit organization, as defined in Appendix B? Please explain.
- ✓ What is the statutory or other legal authority under which the applicant was formed and is authorized to operate?
- ✓ Does the applicant have legal authority to enter into a grant agreement with the State of California?
- ✓ Describe any legal agreements among partner agencies and/or organizations that ensure performance of the project and tracking of funds.

### ELIGIBILITY DOCUMENTATION

#### Urban Water Management Compliance

List the urban water suppliers that will receive funds from the proposed grant. If there are none, please indicate so.

For listed urban water suppliers include documentation, from DWR, that verifies that each supplier's 2010 UWMP addresses the requirements of the California Water Code. If an urban water supplier's 2010 UWMP has not been verified by DWR, explain and provide the anticipated date for addressing this eligibility requirement.

Listed urban water suppliers must submit scanned, signed, self-certification forms (AB 1420 Compliance Tables and AB 1420 Metering Compliance Forms). These forms can be found at DWR's Water Use Efficiency link listed in Appendix A.

Urban water suppliers who have already submitted AB 1420 Compliance Tables 1 and 2 will only need to re-submit updated tables if:

- ✓ There have been changes in the implementation schedule, financing, budget, and level of coverage since the prior submittal of those tables, or

- ✓ The previous submittal was over one year ago.

If the tables do not need to be resubmitted, include a statement in Attachment 1 that the tables have already been submitted to DWR; provide the submission date, and state that there are no changes, updates, or time lapse.

#### Ground Water Management Compliance

Upload the following documents to GRanTS for projects that directly affect groundwater levels:

- ✓ Provide the agency name and contact information responsible for project implementation.
- ✓ Project location and the implementing agency's service area boundary. Project latitude and longitude coordinates and a service area boundary GIS shape file must be provided.
- ✓ Name of groundwater basin that each project overlies. State the basin priority as determined by the CASGEM Program.
- ✓ If the basin is a high- or medium-priority basin, please specify the name(s) of the organization(s) that is the designated monitoring entity(ies).
- ✓ If there is no monitoring entity, please indicate whether the implementing agency is an eligible monitoring entity per CWC §10927.

If the implementing agency is in the process of becoming a monitoring entity, please discuss the current status and list any issues that need to be resolved for it to become a monitoring entity.

#### Agricultural Water Management Compliance

List the agricultural water suppliers that will receive funding from the proposed grant. If there are none, please indicate so.

Please provide the agency/organization name, a contact phone number, and an e-mail address for each agricultural water supplier listed and include documentation, from DWR, that verifies that each supplier's agricultural water management plan (AWMP) addresses the applicable Water Code requirements. If an agricultural water supplier's AWMP has not been verified by DWR, explain and provide the anticipated date for having an AWMP addresses the Water Code requirements.

#### Surface Water Diversion Compliance

List the surface water diverters that will receive funding from the proposed grant. If there are none, please indicate so.

Please provide the agency/organization name, a contact phone number, and an e-mail address for each surface water diverter listed and state whether they have submitted surface water diversion reports the SWRCB in compliance with requirements outlined in Part 5.1 (commencing with §5100) of Division 2 of the Water Code. If a surface water diverter has not submitted the reports, explain and provide the anticipated date for meeting the requirements.

## **ATTACHMENT 2. WATER AND ENERGY SAVINGS AND GHG CALCULATIONS**

Use "WEGHG" for the "AttachmentName" in the naming convention of GRanTS for this attachment.

Attachment 2 consists of an Excel workbook and supporting documentation. The workbook used as part of Attachment 2 must be uploaded as Excel files. The workbook template can be found at the Web site link listed in the Foreword. The supporting documents can be submitted as PDF, Word, or Excel files.

The workbook is comprised of a summary sheet and 10 project worksheets. Project water and energy savings and GHG reductions, including embedded energy and associated GHG reductions in imported water, are automatically calculated on the project-level worksheets. Project-level savings are calculated on the Summary worksheet in order to arrive at the proposal-level savings and GHG reduction.

Assumptions, methodologies, detailed analyses used, as well as supporting documentation showing the basis of estimates, must be submitted per project. DWR technical reviewers will use this information to evaluate the proposals.

To establish a project's water savings, the applicant will provide three assumptions:

- ✓ The existing baseline volume of water associated with the project,
- ✓ An estimation of the volume of water that will be delivered after the project is implemented, and
- ✓ An approximation of the useful life of the project.

The estimated annual water savings and the total volume of water saved over the useful life of the project will be calculated based on this information. In addition, these estimates are the basis for determining energy savings and GHG reductions.

Energy savings can be calculated in up to four areas, three of which are within, or directly associated with, the System:

- (1) Energy embedded in the water saved from the project
- (2) Additional energy saved from water heating
- (3) Direct energy saved from implementing energy efficiency and renewable energy measures
- (4) Energy embedded in the imported water for its supply and conveyance to the System

The GHG emission data will be treated in the same way. Once the water, energy, and GHG assumptions are entered into Steps 1–10 of the project tabs of the workbook, the resulting values are automatically calculated and populated on both the project page and summary page of the workbook.

To find the energy embedded in the water saved within the System, the applicant must find the Energy Intensity (EI) associated with the project. EI refers to the energy consumption per unit volume of water through one or several consecutive segments of the Water Use Cycle. EI can be determined directly, by using actual energy/water data at the System level (the preferred method), or indirectly, by using the EI value for the System provided by the applicable water or energy provider or other sources. Once the EI is found, it will be used to calculate the annual and lifetime energy savings. The source for the EI factor must be cited in the backup documentation.

The preferred method to calculate GHG emission reductions involves using the annual total-output emission rate specific to the project location. Coordinate with the energy utility to determine the local total-output emission rate. If the local total-output emission rate is unavailable, use the annual total-output statewide emission rate of 0.278 kg CO<sub>2</sub>e/kWh (Source U. S. Environmental Protection Agency Emissions and Generation Resource Integrated Database for the CAMX sub-region). Annual and lifetime GHG emission reductions will be calculated by using the emission rate and annual and lifetime energy savings, respectively.

If the System relies on imported water, the energy embedded in the imported water for its supply and conveyance must be reported. The applicant must find the EI associated with imported water and the percentage of imported water in the System water supply. The relevant EI values for the State Water Project, Colorado River Aqueduct, Central Valley Aqueduct, and others can be found in Table 6.

If hot water is a component of the water saved, you must also calculate the additional energy savings and related GHG-emissions reductions realized from reduced water heating. Note that the quantity of hot water saved is already included in the total water-saved calculation. In general, two types of water heaters are used: electric and natural gas. Because they use different heating sources, the energy and GHG estimates must be calculated individually for each case.

#### Electric Water Heater

Estimate the volume of hot water saved with the electric heating in MG per year and input it in Step 3 of the project worksheet. The worksheet will use this figure to automatically calculate and provide you with the following results:

- ✓ Annual energy savings in KWh/year
- ✓ Lifetime energy savings in KWh
- ✓ Annual GHG emission reduction in Kg CO<sub>2</sub>e/year
- ✓ Lifetime GHG emission reduction in Kg CO<sub>2</sub>e

## Natural Gas Storage Water Heater

Input the volume of hot water saved with natural gas heating in MG per year in Step 4 of the project worksheet. The worksheet will use this figure to automatically calculate and provide the following results:

- ✓ Annual energy saving in therms as well as in KWh/year
- ✓ Lifetime energy saving in therms as well as in KWh
- ✓ Annual GHG-emission reduction in Kg CO<sub>2</sub>e/year
- ✓ Lifetime GHG-emission reduction in Kg CO<sub>2</sub>e

**Table 6. Energy Intensities for Imported Water\***

Pumping Plant	kWh per acre-foot		kWh/MG	
	At Plant	Cumulative from data	At Plant	Cumulative from data
Barker Slough	223	223	685	685
Cordelia-Benicia	434	657	1,332	2,017
Cordelia-Vallejo	178	401	546	1,231
Cordelia-Napa	563	786	1,728	2,413
Harvey O. Banks (Delta)	296	296	909	909
South Bay (including Del Valle)	869	1,165	2,668	3,577
Dos Amigos	138	434	424	1,332
Buena Vista	242	676	743	2,075
Teerink	295	971	906	2,981
Chrisman	639	1,610	1,962	4,943
Edmonston	2,236	3,846	6,865	11,807
Pearblossom**	703	4,432	2,158	13,606
Greenspot**	871	4,015	2,674	12,326
Crafton Hills**	1,087	5,102	3,337	15,663
Cherry Valley**	224	5,326	688	16,351
Oso	280	4,126	860	12,667
Las Perillas	77	511	236	1,569
Badger Hill	200	711	614	2,183
Devil's Den	705	1,416	2,164	4,347
Bluestone	705	2,121	2,164	6,511
Polonio Pass	705	2,826	2,164	8,676
Colorado River Aqueduct		1,976		6,066
<b>Central Valley Project (in Hydrologic Regions)</b>				
Sacramento		15		46
San Francisco		799		2452
San Joaquin River		197		605
Tulare Lake		174		534
Central Coast		780		2394
Other Hydrologic Regions		0		0

\* SWP values based on off-Aqueduct Power Facility Costs (DWR Bulletin B-132-10, 2013)

Colorado River Aqueduct value from CPUC Study 1, page 64

CVP value from CA Water Plan Update 2013 (pending)

\*\* In-conduit hydropower generation was subtracted from the cumulative EI values as following (unit in KWh/AF): 117 at Pearblossom; 1405 at Greenspot, Crafton Hills, and Cherry Valley.

Finally, if the project also includes direct energy savings from energy efficiency and renewable energy measures, including saving fossil fuel, those direct energy savings should be entered in Step 10 of the project spreadsheet.

Use the following U.S. Environmental Protection Agency parameters to convert gasoline savings to kWh (where 1 therm equals 29.3 KWh):

- Average mileage of car and light truck is 21.5 miles/gallon.
- Average heat content per gallon of gasoline is 1.25 therms/gallon.

Table 7 shows the Excel worksheet that will be used to determine project-level water savings, energy savings, and GHG-emission reductions.

**Table 7**  
**Estimates of Water Savings, Energy Savings, and GHG Emissions Reduction**

Project Name			
Total Project Cost			
Project Estimates – Values entered by applicant			Units
<b>Step 1</b>	Enter the baseline (pre-project) volume of water associated with the project		MG/year
<b>Step 2</b>	Enter the volume of water that will be delivered after the project is implemented.		MG/year
<b>Step 3</b>	Enter the volume of hot water saved from the project's electric water heating system (the summation of step 3 and step 4 must not exceed annual volume of water savings). If not applicable, enter "0".		MG/year
<b>Step 4</b>	Enter the volume of hot water saved from the project's natural gas water heating system (the summation of step 3 and step 4 must not exceed annual volume of water savings). If not applicable, enter "0".		MG/year
<b>Step 5</b>	Enter the useful life in years for the project		years
<b>Step 6</b>	Enter the percentage of water that is imported		%
<b>Step 7</b>	Enter the Energy Intensity (EI) of the System associated with the project's water savings		kWh/MG
<b>Step 8</b>	Enter the total output emission rate specific to the power supplier or use the default value of 0.278		kg CO <sub>2</sub> e/kWh
<b>Step 9</b>	Enter EI associated with the Supply and Conveyance segment of the imported water or enter "0" if imported water is not applicable		kWh/MG
<b>Step 10</b>	Enter any additional annual energy savings from energy efficiency and renewable energy (EE/RE), etc.		kWh/year
<b>Note: On a separate sheet provide the basis for the estimates or information sources for factors entered.</b>			
Values Determined by Worksheet			Units
<b>Water Savings</b>			
<b>1</b>	Annual volume of water savings within system		MG/year
<b>2</b>	Annual volume of imported water savings		MG/year
<b>3</b>	Annual volume of hot water heating system savings		MG/year
<b>4</b>	Lifetime volume of water savings within system		MG
<b>5</b>	Lifetime volume of imported water savings		MG
<b>6</b>	Lifetime volume of hot water heating system savings		MG
<b>Energy Savings</b>			
<b>1</b>	Annual energy savings within system		kWh/year
<b>2</b>	Annual energy savings from imported water		kWh/year
<b>3</b>	Annual energy savings from electric hot water heating system		kWh/year
<b>4</b>	Annual energy savings from natural gas hot water heating system		kWh/year
<b>5</b>	Total annual energy savings from electric and natural gas hot water heating systems		kWh/year
<b>6</b>	Annual energy savings from natural gas hot water heating system		therms/year
<b>7</b>	Lifetime energy savings within system		kWh
<b>8</b>	Lifetime energy savings from imported water		kWh
<b>9</b>	Lifetime energy savings from electric hot water heating system		kWh
<b>10</b>	Lifetime energy savings from natural gas hot water heating system		kWh
<b>11</b>	Total lifetime energy savings from electric and natural gas hot water heating systems		kWh
<b>12</b>	Lifetime energy savings from natural gas water heating system		Therms
<b>13</b>	Additional lifetime energy savings from EE/RE		kWh
<b>GHG Emission Reductions</b>			
<b>1</b>	Annual GHG emission reductions within system		kg CO <sub>2</sub> e/year
<b>2</b>	Annual GHG emission reductions from imported water		kg CO <sub>2</sub> e/year
<b>3</b>	Annual GHG emission reductions from electric hot water heating		kg CO <sub>2</sub> e/year
<b>4</b>	Annual GHG emission reductions from natural gas hot water heating system		kg CO <sub>2</sub> e/year
<b>5</b>	Total annual GHG reductions from electric and natural gas hot water heating systems		kg CO <sub>2</sub> e/year
<b>6</b>	Lifetime GHG emission reductions within system		kg CO <sub>2</sub> e
<b>7</b>	Lifetime GHG emission reductions from imported water		kg CO <sub>2</sub> e
<b>8</b>	Lifetime GHG emission reductions from electric heating system		kg CO <sub>2</sub> e
<b>9</b>	Lifetime GHG emission reductions from natural gas water heating system		kg CO <sub>2</sub> e
<b>10</b>	Total lifetime GHG reductions savings from electric and natural gas hot water heating systems		kg CO <sub>2</sub> e
<b>11</b>	Additional annual GHG emission reductions from EE/RE		kg CO <sub>2</sub> e/year
<b>12</b>	Additional lifetime GHG emission reductions from EE/RE		kg CO <sub>2</sub> e
<b>Project Summary</b>		<b>Total annual water savings</b>	MG/year
		<b>Total lifetime water savings</b>	MG
		<b>Total annual energy savings</b>	kWh/year
		<b>Total lifetime energy savings</b>	kWh
		<b>Total annual GHG emission reductions</b>	kg CO <sub>2</sub> e/year
		<b>Total lifetime GHG emission reductions</b>	kg CO <sub>2</sub> e

### ATTACHMENT 3. WORK PLAN

For the “AttachmentName” in the naming convention of GRanTS, use “Work Plan” for this attachment.

The work plan must be consistent with the schedule and support the budget. The level of detail must be sufficient for the work plan to function as the scope of work for the agreement. It must also allow reviewers to understand the level of the work effort being performed and substantiate the cost estimates in the budget. For multi-project proposals, the work plan must include a separate scope of work for each project within the proposal. The work plan should include, at a minimum, the following items:

- ✓ A System map showing project location, associated water infrastructure, entity jurisdictional boundaries associated with infrastructure, and area of benefit. If necessary, provide text to further explain the map (limit to 250 words).
- ✓ Work items to be performed under each task of the proposed project(s) (consistent with the schedule).
- ✓ Task deliverables for assessing progress and accomplishments.
- ✓ The plan for environmental compliance and permitting, including a discussion of the following items:
  - Address any CEQA obligations in connection with the project.
  - Provide a listing of permits that are anticipated for the project.

Use the template in Appendix C as the basis for developing the Proposal Work Plan.

### ATTACHMENT 4. BUDGET

For the “AttachmentName” in the naming convention of GRanTS, use “Budget” for this attachment.

The budget must be based on and support the work plan. The budget attachment consists of a budget table (Table 8) and a basis of estimate that briefly explains how the budget estimate was developed. This includes supporting information, such as Personnel Services labor categories, hourly rates, labor time estimates, and Professional and Consultant Services subcontractor quotes. While subcontractor quotes may include hourly rates and hour estimates, other forms of cost estimation may be appropriate; however, applicants must substantiate the reasonableness and logic for using a particular form of estimate.

The sources for Cost Share funding must be provided. Applicants are encouraged to limit direct project administrative expenses to 5 percent of the total proposal costs.

**Table 8. Budget Table Example**

Line Item	Requested Grant Funding	Cost Share	Total
Personnel Services These individuals must be employed by the Grantee. If CEQA, construction services, or other work is done by Grantee’s employee, costs are incurred in this category.	\$	\$	\$
Land/Easement Acquisition	\$	\$	\$
Grantee Expenses All Grantee expenses directly associated with the project. Examples: Document Reproduction, Office Supplies, Office Expenses, Permit Fees, materials, equipment. If an item is described as “Equipment” it must be followed by “less than \$5,000” in this category.	\$	\$	\$
Equipment Itemize each piece of equipment over \$5,000	\$	\$	\$
Professional and Consultant Services List type of services contracted out. Examples: Pre-Design Services, CEQA/NEPA, Site Survey, Design Plans and Specifications, Report Preparation, etc.	\$	\$	\$
Construction/Implementation Costs	\$	\$	\$
<b>TOTAL</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>

For multi-project proposals, submit a separate budget for each project in the proposal as well as a summary budget for the entire proposal.

## ATTACHMENT 5. SCHEDULE

For the “AttachmentName” in the naming convention of GRanTS, use “Schedule” for this attachment.

Provide a detailed realistic schedule showing the timeline for each task shown on the work plan. Assume a realistic start date for your proposed project of no sooner than July 1, 2014. All work must be completed by April 1, 2018. The work plan and schedule must be consistent throughout the proposal. Explain how the proposed work will be ready to proceed when funding is secured, including time to obtain environmental and other permits and complete any CEQA documentation. For multi-project proposals, please submit a schedule for each project and a summary schedule for the proposal.

## ATTACHMENT 6. PROPOSAL MONITORING

For the “AttachmentName” in the naming convention of GRanTS, use “Monitor” for this attachment.

This attachment is limited to one page, single spaced, font size 12. Please describe how the System will be monitored to verify the water and energy savings and GHG reduction. The parameters that will be monitored need to be quantifiable. Only a general methodology for monitoring is needed for this attachment. Post-construction reporting will be a requirement for successful applications. Details of the monitoring program will be finalized through the agreement development process.

## ATTACHMENT 7. DISADVANTAGED COMMUNITY

For the “AttachmentName” in the naming convention of GRanTS, use “DAC” for this attachment. This attachment consists of two components, a map and a textual description of benefits to DAC.

Attachment 7 is required for applicants claiming DAC program preference. Applicants who claim that the proposal will benefit a DAC must provide a map showing the location of the project(s), benefit area, and DAC census tracts. The DAC census tracts will be derived from the CalEnviroScreen 2.0 Tool (Appendix A).

For a proposal to be considered for the DAC preference, the grantee must demonstrate that an appropriate percentage of the proposal’s benefits are received by at least a portion of a census tract with a CalEnviroScreen 2.0 score of 81 percent or higher. In general, 75 percent of the claimed benefit must be provided to a DAC, except in instances of project labor hours performed by residents of the DAC. In those instances, DWR will defer to DAC Benefit interim guidance criteria (Appendix A). Projects can be located within or outside the boundaries of a DAC as long as the benefit criterion is met.

There are two ways to provide the required map(s) using the CalEnviroScreen 2.0 Tool:

**Option 1:** From the CalEnviroScreen link listed in Appendix A, scroll down to “CalEnviroScreen 2.0 Mapping Applications and Data” and download the ArcGIS Geodatabase. Once the Geodatabase is downloaded, unzipped, and added to the GIS, include applicable layers to show the benefit area, the proposed project location(s), and the benefiting census tract(s) with scores higher than 81 percent. Please provide the applicable shapefiles used to produce the map(s) created in ArcGIS (ArcGIS is a paid subscription).

Note: The data contained in the downloadable Geodatabase includes *all* data from the CalEnviroScreen 2.0 tool. In the Geodatabase, the only field applicable to this exercise is the “CES Deciles” field, which contains values 0-10. To map census tracts with scores higher than 81 percent only, the GIS user will need to query and display only the values “9” and “10” in the “CES Deciles” field. A correct query of the requisite data will yield 1,595 records total. As one of many options, the ArcGIS user may follow the following steps to produce an appropriate map:

1. Add/Upload Geodatabase ( [CES2\\_0Results.gdb](#)) into the GIS.
2. In the Table of Contents, right click on the “CES2\_0Results” layer and click **Properties**.
3. Click on the **Symbology** tab.

4. In the Show box, click **Categories** and then **Unique Values**.
5. In the Value Field drop-down box, select “CES Deciles.”
6. Click on the **Add Values...** button.
7. In the Add Values window, select both “9” and “10”. (Note: if “10” does not appear as a selectable value, click the **Complete List** button, then restart Step 7.)
8. Please symbolize the subject census tracts so that they are apparent to the reviewer. (Suggested symbology: Use a solid-red fill color and no outline. Use symbol transparency, as appropriate).
9. Zoom into applicable area and add layer(s) to show the benefit area and the proposed project location(s). Add other relevant layers for appropriate reference.

For additional information, refer to the “readme” file that is included in the downloaded ArcGIS Geodatabase.

**Option 2:** From the CalEnviroScreen link listed in Appendix A, scroll down to “CalEnviroScreen 2.0 Mapping Applications and Data” and click on the link for “Mobile Map.” Use the mapping application to zoom/pan, as appropriate, to the targeted System boundary area. Take a screen capture of the area of interest. Then, either “Print” (for use as a basemap) and add the project location(s) and System boundary area to the basemap or insert a screenshot of the area of interest into any basic drawing/word-processing program and then appropriately annotate the basemap with the targeted System boundary area and project location(s), relative to the 20-percent Highest Scoring Areas.

In addition to the map, please provide text that provides the following information:

- The measurable benefit and percentage of benefit provided to the DAC(s). Examples of benefit include, but are not limited to, improved water quality, increased water supply reliability, increased employment, and reduction of utility service rates or costs.
- Logic that supports the claimed percentage of benefit to be received by DAC(s). Include any basis of the estimate information (e.g., assumed percentage of households taking advantage of a rebate offer). Explain how the benefit is direct, meaningful, and assured (see the Disadvantaged Community Benefit Link in Appendix A).

DWR technical staff will review the attachment. If sufficient evidence is not provided to concur with the benefit threshold, the proposal will be included in the non-DAC priority category.

## Appendix A Web Links

### DWR

Home Page: <http://www.water.ca.gov/>

Water-Energy Grant: <http://www.water.ca.gov/waterenergygrant/index.cfm>

CASGEM: <http://www.water.ca.gov/groundwater/casgem/>

AB 1420 Compliance Forms: <http://www.water.ca.gov/wateruseefficiency/finance/>

Metering Compliance Form: <http://www.water.ca.gov/wateruseefficiency/finance/>

Water Use Efficiency: <http://www.water.ca.gov/wateruseefficiency/>

Urban Water Management Plan Review Process: <http://www.owue.water.ca.gov/urbanplan/index.cfm>

Agriculture Water Management Plan Review Process:  
<http://www.water.ca.gov/wateruseefficiency/agricultural/agmgmt.cfm>

### CALENVIROSCREEN

Version 2.0: <http://www.oehha.ca.gov/ej/ces2.html>

### CEQA

Information Environmental Information: <http://ceres.ca.gov/ceqa/>

State Clearinghouse Handbook: <http://ceres.ca.gov/planning/sch/>

### DEPARTMENT OF INDUSTRIAL RELATIONS

Labor Compliance: <http://www.dir.ca.gov/>

### SWRCB

Surface water diversion:

[http://www.waterboards.ca.gov/waterrights/water\\_issues/programs/diversion\\_use/#gen\\_info](http://www.waterboards.ca.gov/waterrights/water_issues/programs/diversion_use/#gen_info)

Monitoring: <http://www.ceden.org/>

### OTHER INFORMATION

California Public Utilities Commission Studies 1and 2 (2010):

[http://www.cpuc.ca.gov/PUC/energy/Energy+Efficiency/EM+and+V/Embedded+Energy+in+Water+Studies1\\_and\\_2.htm](http://www.cpuc.ca.gov/PUC/energy/Energy+Efficiency/EM+and+V/Embedded+Energy+in+Water+Studies1_and_2.htm).

Emissions & Generation Resource Integrated Database:

<http://www.epa.gov/cleanenergy/energy-resources/egrid/>

Emission Factors: <http://www.theclimateregistry.org/climate-registry-information-system-cris/>

Benefits to Disadvantaged Communities:

<http://www.arb.ca.gov/cc/capandtrade/auctionproceeds/workshops/arb-sb-535-interim-guidance-08-22-2014.pdf>

## Appendix B

### Definitions

**Applicant**: the entity that is formally submitting a grant proposal. This is the same entity that would enter into an agreement with the State should the grant proposal be funded. The grant applicant must be a local agency, joint powers authority, or non-profit organization.

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

**Best Management Practices**: a schedule of activities, prohibitions of practices, maintenance procedures, and other management practices to reduce water use and/or prevent or reduce pollution of water.

**CalEnviroScreen 2.0**: a screening methodology that can be used to help identify California communities that are disproportionately burdened by multiple sources of pollution.

**Cost Share**: any non-grant funds attributed to the total project cost.

**Carbon Dioxide Equivalent**: a metric measure used to compare the emissions from various greenhouse gases based on their global warming potential. The carbon dioxide equivalent for a gas is derived by multiplying the tons of the gas by the associated global warming potential.

**Commercial Water Use**: light industry and light or non-manufacturing business establishments, including retail services, office buildings, restaurants, dry cleaners, and other consumer-oriented services or businesses. This also includes employee uses and recreational facilities (temporary lodging) and may include institutional or governmental use, as well.

**Demand Management Measures**: those water conservation measures, programs, and incentives that prevent the waste of water and promote the reasonable and efficient use and reuse of available supplies.

**Disadvantaged Community**: any community identified on the CalEnviroScreen 2.0 tool with a score of 81 percent or higher.

**Energy Intensity**: the average amount of energy needed to collect, transport, or treat water or wastewater on a per unit basis (kWh/MG) through one or several consecutive segments of the water use cycle.

**Embedded Energy**: the amount of energy used to collect, convey, treat, and distribute water to end-users, including the amount of energy that is used to collect and transport and treat wastewater prior to safe discharge of the effluent in accordance with regulation.

**Implementing Agency**: the applicant or other entity responsible for implementing a project or proposal.

**Greenhouse Gas**: a gas in the atmosphere that absorbs and emits radiation within the thermal infrared range. The primary greenhouse gases in Earth's atmosphere are water vapor, carbon dioxide, methane, nitrous oxide, and ozone.

**Institutional Water Use**: any water-using establishment dedicated to public service. This could be a school, court, church, hospital, or government facility.

**Joint Powers Authority**: an entity permitted under Section 6502 of the California Government Code, whereby two or more public authorities — such as local, state, or federal governments, counties, cities, federally recognized Native American tribes, or special districts — create another legal entity or establish a joint approach to work on a common problem, fund a project, or act as a representative body for a specific activity, and which may jointly exercise any power common to them all.

**Local Agency**: any city, county, city and county, special district, joint powers authority, or other political subdivision of the State; a public utility, as defined in Public Utilities Code §216; or a mutual water company, as defined in Public Utilities Code §2725.

**kgCO<sub>2</sub>e:** kilograms of carbon dioxide equivalent.

**Non-Profit Organization:** any non-profit corporation qualified to do business in California under §501(c) (3) of the Internal Revenue Code.

**Program:** a suite of projects or actions.

**Regional Project:** a project that is consistent with an adopted integrated regional water management plan or involves multiple cooperative entities working together to expand the benefit area to something larger than a single entity's jurisdiction.

**Reimbursable Costs:** costs that may be repaid by State funds. Reimbursable costs include the reasonable costs of engineering, design, land and easement, legal fees, preparation of environmental documentation, environmental mitigation, and project implementation, including administrative costs and incidental costs. Costs that are not reimbursable with grant funding include, but are not limited to:

- ✓ Costs for preparing and filing a grant application belonging to another solicitation
- ✓ Operation and maintenance costs, including post-construction project performance and monitoring costs
- ✓ Purchase of equipment not an integral part of the project
- ✓ Establishing a reserve fund
- ✓ Purchase of water supplies
- ✓ 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
- ✓ Payment of principal or interest on existing indebtedness, or any interest payments, unless the debt is incurred after the effective date of a grant award with the State — the granting agency agrees in writing to the eligibility of the costs for reimbursement before the debt is incurred, and the purposes for which the debt is incurred are otherwise reimbursable project costs
- ✓ Overhead not directly related to project costs
- ✓ Meals, food items, or refreshments
- ✓ Costs associated with travel

**Residential Water Use:** indoor and outdoor water used in single family or multifamily dwelling units.

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

**Selection Panel:** group of DWR representatives at the supervisory or management level assembled to review and consider proposal evaluations and scores developed by the Technical Reviewers and to make initial funding recommendations.

**Total Output Emission Rate:** the total GHG emissions from fuel used for generating electricity divided by the total net generation associated with the emissions, where "net generation" is the electricity produced and transmitted to the grid. It is calculated as the emissions mass value divided by the generation MWh multiplied by a unit conversion factor (units are in lb/MWh).

**Urban Water Supplier:** a supplier providing 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 (CWC §10617).

## Appendix C

### Work Plan

The work plan must include a separate scope of work for each project within the proposal. Below is an example of a typical scope of work outline. Project tasks may include sub-tasks if necessary, and must include appropriate deliverables.

#### **Description of the Project:**

[Briefly describe the project.]

#### **Project Proponent/Partner (if applicable):**

[List the project partner/proponent who will receive funding through this grant.]

#### **WORK PLAN TASKS**

##### **Task 1: Direct Project Administration and Reporting:**

*This task includes management of the grant agreement in compliance with grant requirements, and preparation and submission of supporting documents and coordination with the Grantee.*

[Describe the work.]

*A few examples of activities for this task include:*

- ✓ Progress Reports and Invoicing
- ✓ Draft and Final Project Report
- ✓ Labor Compliance Program

*Example of Deliverables: preparation of invoices, submission of quarterly and final reports, and other deliverables as required.*

##### **Task 2: Easement(s):**

*The purpose of this task is acquiring easement(s) for project work, if necessary.*

[Describe the work.]

*One example of an activity for this task includes:*

- ✓ Acquiring easement for project site

*Example of Deliverables: acquisition of easement(s).*

##### **Task 3. Project Evaluation/Design/Engineering**

*This task covers the basis of design, design criteria, and construction/implementation methods that will be evaluated for the project components. This task completes the final design plans and specifications.*

[Describe the work.]

*Examples of activities for this task include:*

- ✓ Performing preliminary and final design analyses
- ✓ Developing preliminary and final plans and specifications
- ✓ Developing preliminary and final construction cost estimates

*Example of Deliverables: 100-percent Plans and Specifications or 100-percent Work Plan*

**Task 4: Environmental Documentation:**

*The objective of this task is to identify and provide project-specific documents to comply with the California Environmental Quality Act (CEQA). If applicable, include National Environmental Policy Act (NEPA) documents.*

[Describe the work.]

*Example of Deliverables: Approved and adopted CEQA documentation and NEPA, if applicable.*

**Task 5: Permitting:**

*This task involves acquisition of permits for the project, if applicable.*

[Describe the work.]

*Example of Deliverables: Required project permits, if applicable.*

**Task 6: Proposal Monitoring Plan:**

*This task involves preparation of the Proposal Monitoring Plan.*

[Describe the work.]

*Example of Deliverables: proposal monitoring plan.*

**Task 7: Project Construction/Implementation:**

*This task involves project construction contracting, construction or implementation, and construction administration. This task should list and explain the construction/implementation activities of the project, including the quantities of components installed, length of pipe, area of improvement, and so forth.*

[Describe the work.]

*Examples of activities for this task include:*

- ✓ Construction Contracting (bid process, notice of award, notice to proceed, notice of completion, and so forth)
- ✓ Description of project construction/implementation (mobilization/construction/ demobilization)

*Examples of Deliverables: Advertisement for bids, bid results, construction contracting and award, construction/implementation photographs, project completion verification, and so forth.*

## Appendix D

### Guidelines For Grantees

The list below details the documents/records that State Auditors would need to review in the event of a grant or loan being audited. Grantees should ensure that such records are maintained for each funded project.

#### **Internal Controls**

- ✓ Organization chart (e.g., Agency's overall organization chart and organization chart for the grant or loan funded program/project)
- ✓ Written internal procedures and flowcharts for the following:
  - Receipts and deposits
  - Disbursements
  - State reimbursement requests
  - Grant or loan expenditure tracking
  - Guidelines, policy, and procedures on grant or loan funded program/project
- ✓ Audit reports of the agency's internal control structure and/or financial statements within the last two years
- ✓ Prior audit reports on grant or loan funded program/project
- ✓ Grants or Loans
- ✓ Original grant or loan agreement, any amendment(s), and budget modification documents
- ✓ A listing of all bond-funded grants or loans received from the State
- ✓ A listing of all other funding sources for each Program/Project

#### **Contracts**

- ✓ All subcontractor and consultant contracts and related or partners documents, if applicable
- ✓ Contracts between the agency and member agencies, as related to the grant funded program/project

#### **Invoices**

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

#### **Cash Documents**

- ✓ Receipts (copies of warrants) showing payments received from the State
- ✓ Deposit slips (or bank statements) showing deposit of the payments received from the State
- ✓ Cancelled checks or disbursement documents showing payments made to vendors, subcontractors, consultants, and/or agents under the grants or loans
- ✓ Bank statements showing the deposit of the receipts

#### **Accounting Records**

- ✓ Ledgers showing entries for or loan receipts and cash disbursements
- ✓ Ledgers showing receipts and cash disbursement entries of other funding sources
- ✓ Bridging documents that tie the general ledger to requests for grant reimbursement

#### **Administration Costs**

- ✓ Supporting documents showing the calculation of administration costs
- ✓ Personnel
- ✓ List of all contractors and agency staff that worked on the grant or loan funded program/project
- ✓ Payroll records, including timesheets for contractor staff and the agency personnel who provided services charged to the program

#### **Project Files**

- ✓ All supporting documentation maintained in the project files
- ✓ All grant-related correspondence