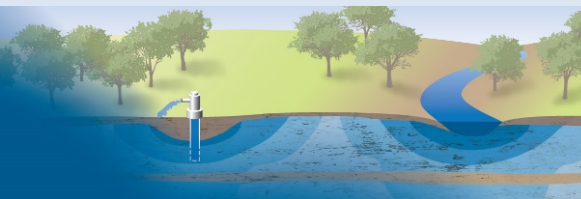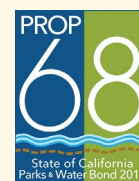Sustainable Groundwater
Management (SGM)
GRANT PROGRAM

SGM Grant Program SGMA Implementation Proposal Solicitation Package

PROP 68
State of California
Parks & Water Bond 2018

December 2021

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FOREWORD

The California Department of Water Resources (DWR) is administering the Sustainable Groundwater Management (SGM) Grant Program Sustainable Groundwater Management Act (SGMA) Implementation funding solicitation using funds authorized by the California Budget Act of 2021 (Stats. 2021, ch. 240, § 80) and the California Drought, Water, Parks, Climate, Coastal Protection, and Outdoor Access For All Act of 2018 (Proposition 68). This document is the Proposal Solicitation Package (PSP) for activities/tasks related to SGMA implementation, which includes, but are not limited to:

- Revisions, updates, and/or modifications of a Groundwater Sustainability Plans (GSPs);
- Revisions, updates, and/or modifications of an Alternative to a GSP (Alternative); and/or
- Capital improvement activities as listed within a GSP or Alternative to a GSP.

This document is not a standalone document and the applicant will need to refer to the 2021 SGM Grant Program 2021 Guidelines (2021 Guidelines) for additional information. **Potential applicants are highly encouraged to read the 2021 Guidelines, PSP, and Agreement template prior to deciding to submit an application.** The 2021 Guidelines and the Agreement template can be found at the following link: www.water.ca.gov/sgmgrants.

A glossary of terms used throughout this PSP are available in Appendix B (Definitions) of the 2021 Guidelines.

GRANT PROGRAM WEBSITE AND OTHER USEFUL LINKS

This document, as well as other pertinent information about the SGM Grant Program, can be found at the following link: www.water.ca.gov/sgmgrants.

Other useful links are identified below.

Sustainable Groundwater Management Act (SGMA):
https://leginfo.legislature.ca.gov/faces/codes_displayexpandedbranch.xhtml?tocCode=WAT&division=6.&title=&part=2.74.&chapter=&article=

GSP Regulations:
https://govt.westlaw.com/calregs/Browse/Home/California/CaliforniaCodeofRegulations?guid=I74F39D13C76F497DB40E93C75FC716AA&originationContext=documenttoc&transitionType=Default&contextData=(sc.Default)%20

Sustainable Groundwater Management Act (SGMA) Portal:
https://sgma.water.ca.gov/portal/#intro

Disadvantaged Community (DAC) and Economically Distressed Area (EDA) Mapping Tools:
https://water.ca.gov/Work-With-Us/Grants-And-Loans/Mapping-Tools

CalEnviroScreen 3.0:
https://oehha.ca.gov/calenviroscreen/report/calenviroscreen-30

DWR Grants Review and Tracking System (GRanTS) Application Tool:
https://grants.water.ca.gov

E-MAIL LIST

In addition to the website, DWR will distribute information via e-mail. If you are not already on the SGM Grant Program e-mail list, please use the following link to be added to the list: https://water.ca.gov/Work-With-Us/Grants-And-Loans/Sustainable-Groundwater and click the "Subscribe" button on the right side of the webpage.

CONTACT INFORMATION

For questions about this document, or other technical issues regarding SGM Grant Program, please contact DWR's Division of Regional Assistance at (916) 902-7131 or by e-mail at: SGWP@water.ca.gov.

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ACRONYMS AND ABBREVIATIONS
USED IN THIS PROPOSAL SOLICITATION PACKAGE

COD	Critically Overdrafted (Basin)
DAC	Disadvantaged Community
DWR	Department of Water Resources
EnvDAC	Environmentally Disadvantaged Community
FAB	Financial Assistance Branch
FE-SWRP	Functionally Equivalent Stormwater Resource Plan
GB	Gigabyte
GIS	Geographic Information System
GRanTS	Grants Review and Tracking System
GSA	Groundwater Sustainability Agency
GSP	Groundwater Sustainability Plan
IRWM	Integrated Regional Water Management
MHI	Median Household Income
OEHHA	Office of Environmental Health Hazard Assessment
PSP	Proposal Solicitation Package
SB	Senate Bill
SDAC	Severely Disadvantaged Community
SGM	Sustainable Groundwater Management
SGMA	Sustainable Groundwater Management Act
SWRP	Stormwater Resource Plan
TA	Technical Assistance

I. INTRODUCTION

DWR is administering the Sustainable Groundwater Management (SGM) Grant Program SGMA Implementation grant solicitations using funds authorized by the California Budget Act of 2021 (Stats. 2021, ch. 240, § 80) (Budget Act of 2021) and Proposition 68 for projects that encourage sustainable management of groundwater resources that support SGMA and/or invest in groundwater recharge projects with surface water, stormwater, recycled water, and other conjunctive use projects. The Budget Act of 2021 can also provide funding for planning activities that support SGMA implementation. The funding will be divided into a minimum of two rounds of grant solicitations. Round 1 will be awarded in 2022 and Round 2 is projected to be awarded in Spring/Summer 2023. Any future grant solicitations will be identified at a later time and is dependent upon future appropriation. This PSP contains specific information regarding the process, eligibility, and required content for grant applications for the grant funds for the grant solicitations. DWR also issued the 2021 Guidelines that will be used to administer the grant solicitation and provide general information regarding program and eligibility requirements.

II. FUNDING

The Budget Act of 2021 appropriates a total of $180 million in Fiscal Year (FY) 2021/2022 to DWR for SGMA implementation. After administrative costs, $171 million is available for grant awards. Of the $171 million appropriated by the Budget Act of 2021, $152 million shall be directed to projects that benefit Critically Overdrafted (COD) groundwater basins that support implementation of SGMA.

The Budget Act of 2021 also authorizes the Legislature to appropriate a total of $60 million in FY 2022/2023 and $60 million in FY 2023/2024 to DWR for SGMA implementation. After administrative costs, $114 million will be available for grant awards that will be directed to projects that benefit medium and high priority groundwater basins (including COD basins) that support implementation of SGMA. Priority in future funding grant solicitations will be given to applicants in basins that have not previously been awarded SGMA Implementation funding.

Proposition 68 authorizes the Legislature to appropriate a total of $120 million to DWR for drought and groundwater investments to achieve regional sustainability. After the administrative cost and previous funding awards, approximately $71.5 million is available for drought and groundwater investments to achieve regional sustainability through investments in groundwater recharge with surface water, stormwater, recycled water, and other conjunctive use projects, and projects to prevent or clean up contamination of groundwater that serves as a source of drinking water (Public Resources Code § 80146(a)). Of the approximately $71.5 million, a minimum of $15 million is reserved for projects located within and solely supporting a Severely Disadvantaged Community (SDAC).

The $114 million in future General Fund appropriations, the remaining $17 million in FY 2021/2022 General Fund appropriation, and the remaining $71.5 million in Proposition 68 grant funds will be combined together in a single funding round for the medium and high priority basins as outlined above. Any future appropriations will be added to this second funding solicitation. If all of the funds are not awarded, subsequent funding rounds will be conducted later using the same PSP and the 2021 Guidelines. A minimum of $35 million in future appropriations from General Funds, or 30% (whichever is greater), must be used to address the needs, risks, and/or vulnerabilities in Underrepresented Communities identified by the SGM Grant Program Underrepresented Community Technical Assistance Program (TA Program). The Project or Component must be consistent with the findings and conclusions identified in the TA Program and be within a community identified by the TA Program heat maps. The maps can be found on the TA Program website: www.water.ca.gov/sgmgrants

DWR is reserving $2 million of the General Funds for a technical assistance provider with a minimum of $1 million out of the $2 million for technical assistance. All work completed must address the needs, risks, and/or vulnerabilities of Underrepresented Communities as identified by the TA Program and must also be consistent with the TA Program. All work conducted must be reviewed and approved by DWR prior to commencing. Work should be equitably distributed throughout all regions of the State

and will use the TA Program Heat Maps. The technical assistance provider will be encouraged to conduct a minimum of one community meeting in each of the basins that includes a representative of all GSA(s) and/or responsible entity within the basin with community representatives to assist in building strong relationships between community leaders and the entities responsible for implementing SGMA. All findings/conclusions shall be reported to the local GSA(s) and/or responsible entity in a meeting that includes a representative from DWR. The goal of the TA Program is to foster strong working relationships and effective communications between the Underrepresented Communities and their local groundwater sustainability agency responsible for implementing SGMA so that those community's needs, risks, and/or vulnerabilities will be properly identified and addressed in the GSP(s) or Alternative(s) to a GSP.

TABLE A – FUNDING BREAKDOWN[1]

	Total Appropriation (in Millions)	Total Funding Available[2]	Round 1 – COD Basins (Current Solicitation)		Future Solicitations – min of 30% must be for URC's	
			General	Technical Assistance Agreement[3]	General	SDAC*/URC
Prop 68	$120	$71.5	N/A	N/A	$56.5	$15*
2021 Budget Act – General	$120	$114	$112	$2	N/A	N/A
2021 Budget Act – SJV Projects	$60	$57	$40	N/A	$17	N/A
Projected FY 2022/23 Appropriation	$60	$57	N/A	N/A	$39.5	$17.5 (or 30% whichever is greater)
Projected FY 2023/24 Appropriation	$60	$57	N/A	N/A	$39.5	$17.5 (or 30% whichever is greater)

[1]All amounts shown are in Millions of dollars and are approximate and subject to change depending on actual expenditures from previous funding awards.
[2]Amount available after deducting previous Prop 68 funding awards and 5% DWR administration costs.
[3]Agreement to a technical assistance provider for Technical Assistance to Underrepresented Communities.

A. COD Basin SGMA Implementation (Round 1)

SGM Grant Program have identified 21 groundwater basins that are listed as COD Basins, according to the most current DWR Bulletin 118. However, not all 21 COD Basins identified in the most current DWR Bulletin 118 meet the eligibility requirements listed in Section III. DWR anticipates 20 of the COD Basins will meet the eligibility requirements at the time of the Round 1 grant solicitation. If you represent a COD Basin and are unsure of your eligibility status, please contact the SGM Grant Program staff at sgwp@water.ca.gov.

DWR intends to make up to $152 million available for projects in eligible COD basins for tasks and activities that help the basins reach sustainability, whereby the $152 million will be split evenly to provide $7.6 million per eligible COD basin. However, DWR must award a minimum of $40 million of the $57 million granted by the Budget Act of 2021 by September 15, 2022 to COD basins within the San Joaquin Valley (SJV) basin for tasks and activities that include:

- Geophysical investigation(s) of groundwater basins to identify recharge potential (e.g., Aerial Electromagnetic Surveys);

- Early implementation of existing regional flood management plans that incorporate groundwater recharge (e.g., basin recharge using floodwater); or

- Projects that would complement efforts of a local GSP, that provide for floodplain expansion to benefit groundwater recharge or habitat (e.g., basin recharge using peak flows from a river, creek, or stream).

The nine COD basins outside of the SJV basin will have $7.6 million available to award based upon the submitted Spending Plan. That leaves $43.6 million in General Funds for the 11 COD basins within the SJV basin. If DWR receives Spending Plans from these 11 basins that request $40 million or more in SJV projects, then the 11 SJV COD basins will be eligible for the full $7.6 million per SJV COD basin. If DWR receives Spending Plans from these 11 basins that request less than $40 million in SJV projects, then DWR will evenly reduce the amount of funding available to each SJV COD basin according to the shortfall. For example, if DWR receives Spending Plans from the 11 basins requesting only $28 million of the $40 million for SJV projects, then the 11 basins within the SJV basin will be eligible for a maximum of $6.5 million per basin. See calculation below:

Non-SJV COD Basins - $7.6M per non-SJV COD Basin

$7.6M x 9 Basins = $68.4M of the $112M in Gen Fund

SJV COD Basins:
($112M - $68.4M) ÷ 11 = $3.963M

Assuming SJV COD basins apply for $28M in SJV-type funds, the amount per SJV COD Basin equals:

Example:
($43.6M + $28M) ÷ 11 = $6.5M per SJV COD Basin

TABLE B – FUNDING BREAKDOWN FOR ROUND 1 – COD BASINS[1]

Basin Type	# of Basins	Total Funding Available	2021 Budget Act – General	2021 Budget Act – SJV Projects	Min Grant Award per basin	Max Grant Award per basin
SJV COD	11	$83.6	$43.6	$40[2]	$3.963	$7.6
Non-SJV COD	9	$68.4	$68.4	$0	$7.6	$7.6

[1]All amounts shown are in Millions of dollars and must be awarded by September 2022 per the 2021 Budget Act.
[2]Actual amount is dependent on how much SJV COD basins request in their respective Spending Plan.

The Budget Act of 2021 requires all funding agencies to expedite execution of grant agreements in an effort to get the funding out to the eligible applicants as quickly as possible. However, the Budget Act of 2021 also requires funding for the SGMA Implementation to be awarded via a competitive grant process. DWR has determined that $7.6 million is available per COD Basin and that each COD Basin will be required to conduct a self-evaluation of their project list using the scoring criteria outlined in Table 7 to determine which projects are the most competitive within the basin. These self-evaluations shall be submitted as backup documentation to a Spending Plan. Only one Spending Plan will be accepted per COD Basin and the applicant must meet the eligibility requirements listed within the PSP and the 2021 Guidelines.

A template for the Spending Plan and the scoring criteria will be emailed out to each GSA contact once the final 2021 Guidelines and PSP are released to the public. **The Spending Plan must be in the template that is provided. Any other format will not be reviewed and the funding for that COD Basin will be forfeit.** A workshop for the COD Basins only will be provided to review the scoring criteria and Spending Plan template. Each applicant should provide a Spending Plan for a minimum of $10 million for the SGM Grant Program staff to review and rank. The COD Basin applicants **have until noon on February 18, 2022** to submit a Spending Plan to sgwp@water.ca.gov or will forfeit the allotted funding.

Once the Spending Plan is received by the SGM Grant Program staff, the applicant will be contacted to set up an appointment to review the Spending Plan, check the eligibility of the Project(s), and to develop a draft Agreement. The draft Agreement will be reviewed by the Office of General Counsel and the Financial Assistance Branch (FAB) Manager. The Manager of the SGM Grant Program will review their comments and finalize the Agreement to route for signature.

To expedite the Agreement process, it is highly recommended that the applicants within the COD Basins submit their Spending Plans well in advance of February 18, 2022, if possible. The SGM Grant Program staff will be reviewing the Spending Plans in the order in which they were received.

Any remaining available funds not awarded in the Round 1 grant solicitation will be available in future funding rounds.

B. Medium and High Priority Basin SGMA Implementation Funding (Round 2)

The remaining approximately $17 million in Budget Act of 2021 funds (including any unawarded funds in Round 1), the remaining approximately $71.5 million in Proposition 68 funds, and an estimated $114 million in future General Funds will be combined for a competitive grant solicitation(s). If any additional funds are provided to the SGM Grant Program for awards between the posting of the final PSP to the Round 2 grant solicitation, an additional solicitation(s) will be held for additional grant awards. Applicants must be located within a COD basin, medium, or high priority basins. Priority will be given to applicants who have not previously received SGMA Implementation funding. Funds can be used for revisions, updates, and/or modifications to a GSP or Alternative to a GSP and for funding capital improvement projects outlined in those plans. Funding will be awarded in a competitive manner based upon the scoring criteria outlined in Table 7.

A minimum of $35 million, or 30% (whichever is greater), of the General Funds must be used towards projects that serve Underrepresented Communities (URC); of that a minimum of 10% of the grant funds must be used for projects that serve Severely Disadvantaged Communities (SDAC). In addition, a minimum of $15 million of the Proposition 68 funds must be used towards Projects or Components that benefit an SDAC.

Any remaining funds not awarded in this grant solicitation will be available in future funding rounds.

Eligible project types and eligible tasks are described further in Section III.B.

At this time, the minimum and maximum grant award amounts for the Round 2 grant solicitation are:

Minimum Grant Amount – $1 million per basin
Maximum Grant Amount – $20 million per basin

This is subject to change based upon the future appropriations approved by the Legislature.

C. Eligible Costs and Payment

Eligible reimbursable costs are those that were: incurred by the Grantees after the date the 2021 Guidelines and PSP were approved, meet the conditions of the "Eligible Costs" as outlined in Section III., and defined as "reimbursable costs" in Appendix B of the 2021 Guidelines. DWR's standard method of payment is reimbursement in arrears. Funds are disbursed after DWR approves the submittal of the DWR invoice form and required backup documentation by the Grantee. Grantees shall invoice and report on a quarterly basis only, except for the technical assistance provider. Additionally, DWR reserves the right to withdraw awarded funds due to lack of responsiveness on the part of the Grantee in submitting invoices and reporting and associated deliverables.

The Concurrent Drawdown method, in which the Grantee can request reimbursement, will be the only payment method in this solicitation. See the 2021 Guidelines Appendix B for more information on reimbursement methods. Costs associated with the development or management of the GSA and costs associated with the development and submittal of a grant application are not eligible.

III. ELIGIBILITY

Applications for the Grant Solicitation(s) must meet all applicable eligibility criteria to be considered for grant funding as described in the 2021 Guidelines, Section III. Additional eligibility requirements are described below and identified in Question 5 in Table 3 – Grant Application Checklist, of this PSP. A comprehensive eligibility checklist is provided in Table 2 – SGM Grant Program SGMA Implementation Eligibility Checklist, as a reference for applicants.

A. Eligible Applicants

Eligible applicants for the SGMA Implementation are:

- GSAs;
- Member agencies of GSAs;
- An entity that represents a GSA(s) which can include public agencies, non-profit organizations, public utilities, federally recognized Indian Tribes, State Indian Tribes listed on the Native American Heritage Commission's Tribal Consultation list, or mutual water companies; and
- Agencies with an Alternative to a GSP, including those within basins that adjudicated after January 1, 2015 or adjudications that have been filed but the court has not acted on the filing; and
- Entities that have adjudicated with or without a Watermaster or are in the process of adjudicating that do not have a GSP or Alternative to a GSP.

The Round 1 grant solicitation is limited to applicants who meet the criteria listed above and are located within eligible COD basins only.

The Round 2 grant solicitation is limited to the applicants who meet the criteria listed above and are located within medium and high priority basins, including COD basins.

Public utilities and mutual water companies must provide justification that the proposed project has a clear and definite public purpose and shall benefit the customers of the water system and not the investors. All applicants must comply with the eligibility criteria outlined in the 2021 Guidelines.

Entities representing a GSA(s) must have a letter of support from each GSA they represent. All applicants must have a GSP that has been submitted to DWR for review and deemed complete by DWR (posted to the SGMA Portal by DWR) or an Alternative to a GSP. An exemption to this requirement can be provided for those basins whose basin prioritization was changed by DWR and whose GSPs are not due to DWR until 2024/2025. Basins that are adjudicated prior to January 1, 2015 **are not** eligible to apply for or receive grant funding. Go to the SGMA website link provided in the Foreword for additional information on Bulletin 118, Basin Prioritization. If you are uncertain of the eligibility requirements, please contact the SGM Grant Program staff at sqwp@water.ca.gov.

Only one application will be accepted per basin. Applicants who apply on behalf of a GSA(s) are required to obtain and submit a letter of support from each GSA they represent.

Applicants are encouraged to work with the interested parties and other non-member agency(-ies) of the GSA(s) in their basin(s) (e.g., resource conservation districts, nonprofit organizations, Tribes, etc.) that have potential activities, tasks, and/or components that are complimentary to the overall grant application and proposed Project. These activities, tasks, and/or components should be included within the proposed application with the GSA, member agency(-ies) of a GSA, or Alternative to a GSP as the applicant and potential Grantee. The interested parties and/or non-member agency(-ies) would be listed as a cooperating entity. Project proponents would access grant funding through their relationship with the grant applicant, at DWR's discretion. DWR strongly recommends working with all potential interested parties within the basin(s) to ensure successful implementation of the GSP or Alternative to a GSP.

The grant applicant is the agency submitting the application (e.g., GSA) on behalf of the basin(s). The grant applicant is also the same agency that would enter into an agreement with the state should the

application be successful. If there is more than one eligible agency within a basin, an eligible agency may be part of the proposals as a cooperating entity but must identify a single entity that will act as the grant applicant and submit a basin-wide application and receive the grant on behalf of the basin.

Any funds not awarded and still available to DWR to award, and any future funding provided to the SGM Grant Program, will use the 2021 Guidelines and this PSP in a future grant solicitation.

B. Eligible Project Types

Eligible project types for the SGM Grant Program SGMA Implementation – Planning and Projects must be consistent with the purpose of the Budget Act of 2021 and Proposition 68, which include:

- Activities and/or tasks that consist of the development of groundwater recharge projects with surface water, stormwater, recycled water, and other conjunctive use projects;
- Projects that prevent or clean up contamination of groundwater that serve as a source of drinking water (Public Resources Code § 80146(a));
- Projects and programs that support water supply reliability, water conservation, and water use efficiency and water banking, exchange, and reclamation;
- Geophysical investigation(s) of groundwater basins to identify recharge potential; early implementation of existing regional flood management plans that incorporate groundwater recharge; or projects that would complement efforts of a local GSP, that provide for floodplain expansion to benefit groundwater recharge or habitat; and
- Revisions, updates, and/or modifications to a GSP or Alternative to a GSP. The Project or Component must fill known data gaps and address comments received from DWR after its review of a submitted GSP or Alternative to a GSP, if received. If the applicant has not received comments from DWR on their GSP or Alternative to a GSP, the Project or Component must be consistent with SGMA regulations and GSP requirements.

Eligible projects include those activities associated with the planning and implementation of a GSP or Alternative to a GSP and must also be consistent with the goals within the GSP or Alternative to a GSP.

Projects that are in basins determined to be probationary under SGMA by the State Water Board at or after the time of application submittal **are** eligible for this grant program to allow for those applicants to continue working towards sustainability. The project area and service area must be within the most current DWR Bulletin 118 basin that are designated by DWR as medium or high priority basins, including COD basins, by the latest SGMA Basin Prioritization.

The use of the term "project" refers to the activities and/or tasks related to the planning or implementation of a GSP or Alternative to a GSP and can include multiple components and/or tasks. A proposal, or project for purposes of this PSP, refers to all the supporting documentation submitted that details the actions that are proposed for the funding. The application will describe a single proposal/project; however, each application may contain multiple components and tasks that collectively makeup a single proposal/project. See the 2021 Guidelines, Appendix B for further definitions of components and project.

Examples of <u>eligible</u> project activities, tasks, and/or components can include, but <u>are not limited to</u>, the following:

- Filling data gaps in a GSP(s) or Alternative to a GSP
- Project development activities (e.g., feasibility studies, design, permits, environmental documents)
- Long-term planning studies
- Technical and planning assistance for Underrepresented Communities
- Interested party outreach and engagement
- Vulnerability or risk assessments
- Technical assistance for Underrepresented Communities
- Engagement and outreach to Underrepresented Communities
- Evaluation of groundwater management needs

- Impact studies on domestic and de minimis groundwater well users
- Annual reporting for GSPs and Alternative to a GSP
- Identifying and proper destruction of abandoned wells
- Identifying of recharge location(s)
- Soil carbon enhancement and Healthy Soil Initiative activities
- Native Yield studies
- Coordination activities with adjacent GSA(s)
- Instrumentation for monitoring wells (e.g., pressure transducers)
- Pilot or demonstration projects meeting the purpose of SB-170 and Proposition 68
- Installation of meters on groundwater production and agricultural wells
- Installation of monitoring well(s)
- Connection of communities to a municipal water supply (except laterals on private land)
- Groundwater recharge projects with surface water, stormwater, recycled water, and other conjunctive use projects
- Groundwater contaminant remediation or prevention projects for groundwater that serves as a source of drinking water
- Construction, rehabilitation, or expansion of conveyance facilities for groundwater recharge projects
- Wastewater treatment and water recycling facility upgrades for groundwater recharge project sources
- Stormwater and runoff capture projects that support groundwater recharge
- Groundwater recharge facility expansion
- Seawater barrier injection wells
- Groundwater recharge projects that address groundwater dependent ecosystems (GDEs)
- Projects and programs that support water supply reliability, water conservation, water use efficiency and water banking, exchange, and reclamation
- Planning, design, and environmental documentation only as a task of a Project or Component of an overall project (not a standalone task).

Please email the SGM Grant Program staff at sgwp@water.ca.gov if you are not sure about a Project, component, or activity that you may be applying for funding. The SGM Grant Program staff will make appointments with you to review your project(s) in relationship to the eligible activities/tasks and competitiveness of the application as a whole.

Examples of ineligible project activities, tasks, and/or components can include, but are not limited to, the following:
- Gifts of public funds to a private person or entity (e.g., gift certificates and other incentives to attend public meetings, complete surveys, etc.)
- Purchasing of low-flow and/or high-density appliances
- Water markets and trading programs
- Purchases of water supplies
- Rebate programs
- Travel expenses, except mileage to the project location from a pre-approved starting location
- Food and drink
- Per diem expenses
- Federal and state taxes
- Tuition
- Overhead/Indirect/Markup – for Grantees, consultants/contractors, or their subs.

NOTE: Water Code section 10562(b)(7) requires that all projects that include stormwater and dry weather runoff capture be listed in a SWRP or Functionally Equivalent SWRP (FE-SWRP) and the SWRP or FE-SWRP must be incorporated into an adopted Integrated Regional Water Management Plan (IRWM) for the region the project is located. The State Water Board defines stormwater as "the temporary surface water runoff and drainage generated by immediately preceding storms" and defines stormwater and dry weather runoff capture as "to intercept, store, manage, and use stormwater and dry weather runoff, thereby reducing the volume of runoff exiting a site". All proposals using stormwater runoff, dry weather runoff, and potential peak flows should review Water Code section

10562 and the State Water Board's SWRP Guidelines. Applicants should consult their legal counsel regarding this topic.

IV. SOLICITATION PROCESS AND SCHEDULE

The solicitation period is listed in the table below. These dates are estimated and are subject to change. Any change or update to the schedule will be posted on the SGM Grant Program website. Updates may also be sent through email announcements. To be placed on the SGM Grant Program email contact list, please use the link listed in the Foreword.

Milestone or Activity	Tentative Date[1]
SGMA Implementation - Round 1 Schedule	
Final 2021 Guidelines & PSP posted to public	December 17, 2021
COD Basin – Round 1 Grant Solicitation Opens	December 20, 2021
Application Workshop	January 5, 2021
Round 1 Grant Solicitation Closes	February 18, 2022[2]
Final Awards	March/April 2022
Execute Agreements	May 2022
Initial TA Program Ends – Release of Needs, Risks, and/or Vulnerabilities in Underrepresented Communities to public	**July/August 2022**
SGMA Implementation - Round 2 Schedule	
Medium & High Priority - Round 2 Grant Solicitations Opens	September 2022
Public Review of Draft Funding List	April/May 2023
Final Awards	June 2023
Execute Agreements	July/August 2023

[1] Dates are subject to change and will be determined based on number of comments received for the draft document, number of applications received, amount of funds requested, and number of grant awards given. Dates for the TA Program is dependent upon the ability to have public meetings due to COVID-19 mandates by State and/or County.
[2] Applicants are encouraged to submit their Round 1 Spending Plan prior to February 18, 2022 deadline, if possible.

An applicant workshop will be conducted to address questions and to provide general assistance to potential applicants preparing grant applications. Details of the workshop will be provided via the SGM website and email distribution list. In addition to the informational workshop, applicants are encouraged to seek assistance from DWR staff in understanding SGM Grant Program requirements and completing grant applications. Questions can be submitted via the contact information provided in the Foreword on Page 2.

V. APPLICATION INSTRUCTIONS

This section provides instructions for preparing and applying and consists of two subsections: A. What to Submit and B. How to Submit. It is important that applicants follow the Application Instructions to ensure that their application will address all the required elements. Applicants are reminded that once the application has been submitted to DWR, any privacy rights as well as other confidentiality protections afforded by law with respect to the application package, will be waived. Prior to beginning the application, applicants should verify that they meet the Eligibility Criteria outlined in the 2021 Guidelines, Section III.C. and in Table 2 below.

TABLE 2 – SGM GRANT PROGRAM SGMA IMPLEMENTATION ELIGIBILITY CHECKLIST

Criteria Type	Eligibility Criteria	Place to Provide Information	Criteria Met (Yes, No, or NA[1])
Applicant Eligibility	Is the applicant eligible?	Self-Certification Form	
	Agricultural Water Management Compliance Link: https://water.ca.gov/Programs/Water-Use-And-Efficiency (2015 and/or 2020 AWMPs are applicable).	Self-Certification Form	
	California Statewide Groundwater Elevation Monitoring (CASGEM) Compliance Link: https://water.ca.gov/Programs/Groundwater-Management/Groundwater-Elevation-Monitoring--CASGEM. Basin Prioritization information can be found at: https://water.ca.gov/Programs/Groundwater-Management/Basin-Prioritization	Self-Certification Form	
	Climate Change Compliance	Self-Certification Form	
	Consistency with the Delta Plan	Self-Certification Form	
	Groundwater Management Compliance, SGMA Compliance	Self-Certification Form	
	Open and Transparent Water Data	Self-Certification Form	
	Public Utilities and Mutual Water Companies Compliance	Self-Certification Form	
	SWRP Compliance SB 985 Link: https://www.waterboards.ca.gov/water_issues/programs/grants_loans/swrp/	Self-Certification Form	
	Surface Water Diverter Compliance	Self-Certification Form	
	Sustainable Water Use and Demand Reduction Compliance	Self-Certification Form	
	Urban Water Management Compliance Link: https://water.ca.gov/Programs/Water-Use-And-Efficiency/Urban-Water-Use-Efficiency/Urban-Water-Management-Plans. (2015 and/or 2020 UWMPs are applicable).	Self-Certification Form	
	Water Metering Compliance	Self-Certification Form	
Proposal Eligibility	Only one application per basin OR Applicant is acting as the sole GSA over multiple basins	NA	
	Does the proposal include design, construction, operation, mitigation, or maintenance of Delta conveyance facilities?	GRanTS Application	
	Does the proposal include acquisition of water except for projects that will provide fisheries or ecosystem benefits or improvements that are greater than required current applicable environmental mitigation measures or compliance obligations?	GRanTS Application	
	Does the proposal include any share of the costs of remediation recovered from parties responsible for the contamination of a groundwater storage aquifer?	GRanTS Application	
Project Type Eligibility	Is the project eligible?	NA	

[1] NA = not applicable

A. What to Submit

Applicants must submit a complete SGM Grant Program Application during the open filing phase as shown in Table 1 – Schedule for SGM Grant Program SGMA Implementation – Planning and Projects Grant Solicitation.

B. How to Submit

1. Round 1

Applicants should submit a Spending Plan to SGWP@water.ca.gov by February 18, 2022, to obtain funding. The Spending Plan should be completed using the template provided by the assigned DWR Grant Manager. Any Spending Plans outside of the template format will not be reviewed or awarded any funding. The Spending Plan should have copies of the completed scoring criteria as outlined in Table 7 for each project proposed for funding for the basin. Below are the steps an applicant must take to apply for the Round 1 grant solicitation funds.

1. Depending on the COD Basin, the applicants should develop a project review committee that are responsible for completing a self-evaluation for a project using the scoring criteria outlined in Table 7. The project review committee should include a representative for each entity within a GSA, a representative from each GSA within the basin if there are multiple GSAs, a representative from each entity within an, and/or another method where all interested parties have an equal vote.
2. The project review committee can either develop one consensus scoring self-evaluation for each project; complete an independent scoring criterion and then use the average as the final score; have one entity that is not related to the project to conduct an independent review of another entities project and have that one score as the final; or another un-biased review process predetermined by the review committee. The scoring criteria Excel table will be provided by the assigned DWR Grant Manager. This scoring criteria should be used as it is and cannot be edited in any way. Any applications who have edited the scoring criteria will be thrown out and not awarded any grant funds.
3. Once the final score(s) is obtained for each project, the projects should be ranked based upon the scoring criteria and listed highest to lowest.
4. If the project review committee determine that a lower scoring project(s) should be higher on the ranking list due to available funding, accessibility to the site, already completed environmental/permitting/design, then the project review committee must be responsible for fully documenting and justifying why a lower scoring project was included within the Spending Plan versus a higher scoring project.
5. The applicant must provide an adopted resolution that has been adopted by the applicant's governing body designating an authorized representative to submit the application and execute an agreement with the State of California for the SGMA Implementation grant application. Please see Pages 19 – 20 for the example resolution language and additional instructions.
6. Complete the Eligibility Self-Evaluation form located on the SGM Grant Program website at www.water.ca.gov and submit the Eligibility Self-Evaluation form with the Spending Plan. Please see Page 20 for additional instructions. Table 2 below is an example of the eligibility questions included within the Eligibility Self-Evaluation form.
7. Prepare the Spending Plan and include the scoring criteria sheet(s) per recommended project, review notes, and other justification, along with the resolution(s) and Eligibility Self-Evaluation form, and submit the plan to SGWP@water.ca.gov **prior to noon on February 18, 2022**. Any COD Basin that has not submitted a Spending Plan by this date and time has forfeited the funds and they will be moved into the available funding for Round 2.

2. Round 2

Applicants must submit a complete application online using DWR's GRanTS electronic submittal tool, or another electronic submittal tool, please use the link listed in the Foreword or as directed by SGM Grant Program via email and on the SGM Grant Program website. GRanTS can only be accessed with Microsoft Edge and Google Chrome. The name of these grant solicitations in GRanTS is " SGMA Implementation Round #" depending on the grant solicitation in which you are applying. To access the

application, applicants must register and have an account in GRanTS, or another online submittal tool, if they have not already done so. The online application will be available no later than the date specified on the Program website, according to Table 1. If an applicant has questions as to the content or the information requested in the grant solicitation, or questions or problems with GRanTS, please refer to the phone number or email listed in the Foreword.

When uploading an attachment in GRanTS, the following attachment title naming convention must be used: Att#_SGM_AttachmentName_#ofTotal#, where "#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. This naming convention will be repeated in more detail for each Attachment in the following pages.

File size for each attachment submitted via GRanTS is limited to 2 gigabytes (GB). Breaking documents into sections or chapters so that each are less than 2 GB will aid in uploading files. Acceptable file formats are: PDF, MS Word, MS Excel, or MS Project. However, DWR prefers and highly encourages applicants to use PDF files. All portions of the GRanTS application must be received in the open filing phase. Submittals received outside the open filing phase may not be reviewed or considered for funding. The GRanTS system will allow applicants to resubmit any attachments before the close of the open filing phase.

*Note: **The GRanTS, or other application tool, instruction is not for Round 1. All of the instructions listed below is not for Round 1; however, applicants for Round 1 will access certain tables in this section following the instructions listed above on Page 15**. Please provide answers to only the questions listed in Table 3. Do not answer questions that appear on the screen in GRanTS that are not listed below, unless marked with an asterisk (*). Please note that the application and/or review questions outlined in Tables 3 through 7 may be reworded, combined, or separated as the information is transferred into our online application tool (e.g., GRanTS or other application). SGM Grant Program staff may make clarifying or editorial changes to the application following approval. SGM Grant Program staff may also make changes to Tables 3 through 7 depending upon language outlined in future appropriations and legislative requirements. **Tables 3 through 7 are subject to change depending on the final preparations of the review questionnaire.** No substantive changes will be made to the evaluation criteria and scoring scheme.*

TABLE 3 – GRANT APPLICATION CHECKLIST (NOT FOR ROUND 1)
APPLICANT INFORMATION TAB ***The following information is general and applies to the applicant and the overall proposal**. Specific project information should be detailed on separate project component tabs provided in the GRanTS application. Applicants must enter all information listed in the Information Tab of this checklist (Table 3) along with any field marked with an asterisk (*).*
Organization Name: Provide the name of the Agency/Organization responsible for submitting the application. Should the proposal be successful, this Agency/Organization will be the Grantee.
Point of Contact: Please type the First Name, Last Name, Email Address, Phone Number, Division Name, Address, City, State, and Zip of the Point of Contact person. Should the proposal be successful, this person will be the Point of Contact for the Agreement.
Point of Contact Position Title: Provide the title of the Point of Contact person. (Maximum Character Limit: 50)
Proposal Name: Provide the title of the proposal. This title cannot be changed for the life of the grant and **should NOT include the grant solicitation title anywhere**. (Maximum Character Limit: 50)
Proposal Objective: Provide the objective of the proposal. The objective should include the project description, purpose, goals, and targets of the proposed project. The reader should be able to understand what is being proposed (project description), where the project will be located, the purpose/why the project is needed, and how (goals and targets) those needs will be met. (Maximum Character Limit: 2,000)
PROPOSAL BUDGET *For the proposal, the following budget items should be taken from Table 5A or 5B – Grant Proposal Summary Budget*
Other Contribution: Provide the amount of other funds (such as other State grants, Federal grants, etc.) not included in the categories as listed below. If there is no other contribution, enter zero. Other Contribution costs are not considered part of the total project cost.
Local Contribution (Cost Share): Provide the local cost share that will be committed to the Project. If none, enter zero.
Federal Contribution: Enter any Federal funds being used. If none, enter zero.
In-Kind Contribution: **Leave blank** and include all In-Kind Contributions in the Local Contribution above.
Grant Funds Requested: Please provide the amount of total grant funds requested. Amounts must be between $1,000,000 and $20,000,000. The amounts may be edited based upon Legislature approval of future appropriations.
Total Proposal Cost: Provide the total proposal cost, in dollars. This amount must agree with the total proposal cost shown in Attachment 3 Budget Table is the sum of the Local Contribution (Cost Share) and Grant Funds Requested.
GEOGRAPHIC INFORMATION *GRanTS requests latitude and longitude in degrees, minutes, and seconds.* *You may use converters on the web, such as https://www.fcc.gov/media/radio/dms-decimal*
Latitude: Enter the latitude at the location that best represents the Project area. This should be taken from the center of the Project site.
Longitude: Enter the longitude at the location that best represents the Project area. This should be taken from the center of the Project site.
Longitude/Latitude Clarification: Only use if necessary to explain the location. (Maximum Character Limit: 250)
Location: Identify the approximate location that best represents the center of the Project area. Provide cross-streets or the closest main streets for reference. Provide City and County(-ies) the Project is located in for frame of reference. (Maximum Character Limit: 100)
County(-ies): Provide the County(ies) in which the Project is located.
Groundwater Basins: Provide the groundwater basin as listed in the current version of DWR Bulletin 118 (https://water.ca.gov/Programs/Groundwater-Management/Basin-Boundary-Modifications) in which the Project is located. Only one application per basin is allowed.
Hydrologic Regions: Provide the hydrologic region in which the Project is located. For proposals covering multiple hydrologic regions, hold down the control key and select all that apply.
Watershed(s): Provide the name of the watershed(s) the groundwater basin underlies (Maximum Character Limit: 250)

TABLE 3 – GRANT APPLICATION CHECKLIST (NOT FOR ROUND 1)

A map of California watershed can be found at the following link: https://www.conservation.ca.gov/dlrp/grant-programs/watershed/Documents/CALFED_Watershed_Map[1].pdf. If the groundwater basin covers multiple watersheds, you may only provide one "Unique Watershed Number" as listed on the watershed map and should be the one that the majority of the Project is located.

LEGISLATIVE INFORMATION

Enter the State Assembly, State Senate, and U.S. Congressional Districts in which the groundwater basin is located. For proposals covering multiple State Assembly, State Senate, and U.S. Congressional Districts, hold the control key down and select all that apply. Maps of these districts are found at:
http://www.legislature.ca.gov/legislators_and_districts/legislators/your_legislator.html.

PROJECTS TAB
This section contains information about the project contained in the Proposal. *Applicants must enter all information listed in the Projects Tab of this Checklist (Table 3) along with any field marked with an asterisk (*).*

PROJECT INFORMATION

Project Name: Provide the title of the Project (Maximum Character Limit: 150)
DO NOT include the solicitation name in the Project name (e.g., SGMA Implementation). The Project name will remain the same for the life of the grant and must match identically with all invoices and timesheets that will be provided in invoicing if the Project is selected for funding.

Implementing Organization: This should be GSAs, member agencies of GSAs, an entity that represents a GSA(s) (which can include public agencies, non-profit organizations, public utilities, federally recognized Indian Tribes, State Indian Tribes listed on the Native American Heritage Commission's Tribal Consultation list, or mutual water companies), and agencies with an Alternative to a GSP.

Secondary Implementing Organization: Not applicable to this solicitation

Proposed Start Date: This date includes local cost share and reimbursement; therefore, the Start Date should be after the date the 2021 Guidelines and PSP were approved (approximately December 24, 2021).

Proposed End Date: This is the last date that funds can be reimbursed for the Project; therefore, the End Date should be before June 30, 2025 (end date could be subject to change based upon legislative approval of future appropriations).

Scope of Work: Describe the type(s) of work proposed and task(s) needed to complete work. (Maximum Character Limit: 450)

Project Description: Provide a generalized description of the proposed Project. Provide the need the Project will meet and how the proposed Project will meet the need(s). (Maximum Character Limit: 1,000)

Project Objective: Provide a description of the proposed Project's objectives, the goals and targets needed to meet those objectives, and how the proposed Project will meet those. (Maximum Character Limit: 500)

PROJECT BENEFITS INFORMATION

Benefit Level: Leave blank.

Benefit Type: Leave blank.

Benefit: Leave blank.

Description: Leave blank.

Measurement: Leave blank.

PROJECT BUDGET
The following budget items should be taken from the Grant Proposal Summary Budget

If only one Project (no components) 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 component in the same manner as described for the Applicant Information Tab. The sum of the budget items must agree with the total project budget.

GEOGRAPHIC INFORMATION

Enter the geographical information for each individual Project and Project component location (latitude and longitude in degrees, minutes, and seconds).

LEGISLATIVE INFORMATION *(Note: for each Project component; different from Applicant Information)*

If only one Project is being proposed, use the "Copy Legislative data from Applicant Info" feature to populate previously entered data. Otherwise, enter legislature information for each Project component in the same manner as described for the Applicant Information Tab. For projects covering more than one district, hold the control key down and select all that apply.

TABLE 3 – GRANT APPLICATION CHECKLIST (NOT FOR ROUND 1)

| **QUESTIONS TAB** |
| *The answers to these questions will be used in processing the application and determining eligibility and completeness.* |

Q.1. Project Description: Provide a brief abstract of the proposal. This abstract must provide an overview of the proposal including the main issues and priorities addressed in the proposal. (25 words or less)
Q.2. Previous Funding: Has the applicant received prior funding through another grant source? If so, identify the source and amount of funding provided for the Project.
Q.3. Project Representatives: Provide the name and details of the Project Director who is responsible for signing and executing the Agreement for the applicant. This is the authorized person as outlined within the adopted resolution and the title within the adopted resolution must align with the title provided here. Persons that are contractors/consultants or their subs cannot be listed as the Project Director. Other entities included in the GSA can be listed here.
Q.4. Project Manager: Provide the name, title, and contact information of the Project Manager from the applicant agency or organization that will be the day-to-day contact on this application. This person must be an employee of the applicant agency and cannot be contactors/consultants or their subs.
Q.5. Eligibility: Has the applicant met the requirements listed within the 2021 Guidelines and submitted the Eligibility Criteria Self-Certification form? Q.5.1. Is the proposed Project consistent with the goals within the GSP or Alternative to a GSP?
Q.6. Eligibility: To satisfy SB 985 requirements, all stormwater and dry weather capture projects must be listed in a SWRP or approved FE-SWRP that is consistent with the relevant code provisions enacted by SB 985 (Water Code §10562 (b)(7)) as determined by the State Water Board. The SWRP or FE-SWRP must be incorporated within the local Integrated Regional Water Management Plan (IRWMP). The definition of a stormwater and dry weather capture project is provided within Appendix B of the 2021 Guidelines.
Q7. Underrepresented Community Assistance: Will the Project benefit an Underrepresented Community? Q.7.1.: If so, how much of the funds requested will directly benefit the Underrepresented Community? Q.7.2: How much of the funds being requested will benefit an SDAC?
Q.8. Certification: By submitting the application, the applicant and its authorized representative are certifying that: a) The applicant is an eligible entity; b) He/She/They is/are aware that any attachment exceeding the page limit listed in the attachment templates will NOT be reviewed; c) He/She/They is/are aware that, once the proposal is submitted in GRanTS, any privacy rights and other confidentiality protections offered by law with respect to the application package and project location are waived; d) He/She/They is/are aware that, if the proposed Project is chosen for funding, any privacy rights and other confidentiality protections offered by law with respect to any portion of the grant (including the Agreement, all deliverables, all invoices, and backup documentation supporting the invoices, and all reporting requirements outlined within the agreement) are waived; e) He/She/They agrees/agree to the Start and End Dates provided in this application and will complete the project within the dates provided; and f) **He/She/They, and their attorney, has/have read and agrees to all the Terms and Conditions of the Agreement template**.

| **CLIMATE RISK IN INVESTMENTS TAB** |
| *The answers to these questions will be used in surveying Program applicants.* |

Q.9. Climate: Does the organization have a primary point of contact for climate change? (Yes/No. If yes, who is it and to what position in the organization does that person report?)
Q.10. Climate: Does the organization have a strategic business plan that considers climate change? (Yes/No. If yes, please submit a copy.)
Q.11. Climate: Has the organization adopted any policies or made any formal public statements about climate change? (Yes/No. If yes, please submit a copy.)
Q.12. Climate: Has the organization conducted a climate change vulnerability assessment? (Yes/No. If yes, please submit a copy.)
Q.13. Climate: How would you describe your organization's capacity to adapt to the impacts of climate change? (Open ended; one to three paragraphs.)

ATTACHMENTS TAB	Provide the attachments listed below by attaching files to the GRanTS application. When attaching files, please use the naming convention found in Section V.B of this PSP. Requirements for information to be included in these attachments are found in Section V.B.2 of this PSP or in the supplied templates.	
ATTACHMENT #	**ATTACHMENT TITLE**	
Attachment 1	Authorizing Documentation (e.g., adopted resolution using example provided on Page 18)	
Attachment 2	Eligibility Criteria Self-Certification Form	
Attachment 3	Work Plan **(Applicant <u>MUST</u> use supplied template)**	
Attachment 4	Maps, supporting letters, figures, tables, or budget backup documentation (Optional)	

ATTACHMENTS TAB INSTRUCTIONS (not for Round 1)

Within the Attachments Tab, applicants are required to submit up to three attachments, as applicable, to complete the SGMA Implementation grant solicitation application. A discussion of each attachment is provided below. Attachments 1 and 2 (Authorizing Documentation and Eligibility Criteria Self-Certification Form) are mandatory and provide backup documentation for the eligibility of an applicant. Attachments 3 (Work Plan) is also mandatory and will be scored during the application review based upon the applicant using the templates provided on the Program website.

ATTACHMENT 1. AUTHORIZING DOCUMENTATION

For the "AttachmentName" in the naming convention of GRanTS, use the following for this attachment:

Att1_SGM_AuthDoc_#of#".

The applicant must provide an adopted resolution that has been adopted by the applicant's governing body designating an authorized representative to submit the application and execute an agreement with the State of California for the SGMA Implementation grant application. An adopted resolution must be provided before DWR can enter into an agreement with the Grantee. If a resolution cannot be adopted prior to the application submittal, a draft can be submitted with a note of when an adopted resolution is expected.

If an entity is acting on behalf of a GSA, then an adopted resolution from the GSA is required authorizing the applicant entity to act in such a role. Furthermore, a resolution is required by the entity acting as applicant stating authorization to work on behalf of the GSA. Therefore, no less than two adopted resolutions are required for the application and grant execution.

The following text box provides an example of the resolution that must be submitted to fulfill this requirement.

<div style="border:1px solid black; padding:10px;">

RESOLUTION NO. _____

Resolved by the *<Insert Name of Applicant Governing Body>*, that an application be made to the California Department of Water Resources to obtain a grant under the 2021 Sustainable Groundwater Management (SGM) Grant Program SGMA Implementation Round *<insert funding round>*Grant pursuant to the California Drought, Water, Parks, Climate, Coastal Protection, and Outdoor Access For All Act of 2018 (Proposition 68) (Pub. Resource Code, § 80000 et seq.) and the California Budget Act of 2021 (Stats. 2021, ch. 240, § 80) and to enter into an agreement to receive a grant for the: *<Insert Project Name>*. The *<Insert title of Authorized Applicant Official>* of the *<Insert Name of Applicant>*, or designee, is hereby authorized and directed to prepare the necessary data, conduct investigations, file such application, and execute a grant agreement and any future amendments (if required), submit invoices, and submit any reporting requirements with the California Department of Water Resources. Passed and adopted at a meeting of the *<Insert Name of Applicant>* on *<Insert date>*.

Authorized Original Signature: _____
Printed Name: _____
Title: _____
Clerk/Secretary: _____

CERTIFICATION

I do hereby certify that the foregoing is a full, true, and correct copy of a resolution duly and regularly adopted at a meeting of the *<Insert Name of Applicant>* held on *<Insert date>*.

Clerk/Secretary: _____

</div>

DWR highly recommends you follow this language verbatim to ensure that the resolution is sufficient to execute an agreement, execute future amendments (if required), submit invoices, and submit all reporting requirements. ***Any deviation from this template may result in a delay in executing the Agreement and beginning the Project***.

ATTACHMENT 2. ELIGIBILITY CRITERIA SELF-CERTIFICATION FORM
For the "AttachmentName" in the naming convention of GRanTS, use the following for this attachment:

"Att2_SGM_EligDoc_#of#".

The applicant must use the form located on the Program website (www.water.ca.gov/sgmgrants) and upload the completed form as Attachment 2. Details for the eligibility criteria can be found in Section III.C. of the 2021 Guidelines.

ATTACHMENT 3. WORK PLAN (not for Round 1)
For the "AttachmentName" in the naming convention of GRanTS, use the following for this attachment:

"Att3_SGM_WrkPlan_#of#".

Attachment 3 must contain the Project description, a Scope of Work, one budget summary table, and one schedule table. The budget categories, schedule tasks, and scope of work must align with one another. The Work Plan template should be downloaded from the Program webpage at www.water.ca.gov/sgmgrants.

The Work Plan **MUST NOT EXCEED** the page limits as detailed in Table 4 below. Pages must use a minimum Arial, 10-point type font. Anything greater than the maximum allowed page will not be

reviewed or used in our scoring of the application. Maps, supporting letters, or figures should NOT be included within the Work Plan document and should be uploaded separately. There is no limit to the maps, supporting letters, figures, or tables. Please refer to the template for specific details that should be included. An outline and general description are provided in the table below. **Any changes made to the Word template will not be reviewed or scored by DWR technical staff.**

TABLE 4 – WORK PLAN TEMPLATE OUTLINE

Section Title	Section Description	Maximum Page Limit
GENERAL PROJECT DESCRIPTION	Provide a narrative description of the proposed Project (or component), a brief description of the groundwater basin from the GSP, and a description of communities served by the Project. Describe how the Project (or component) will help to meet or meet the sustainability goal(s) outlined in the GSP or Alternative to a GSP. Provide the goal(s) and target(s) using quantifiable benefits only (e.g., acre-feet per year (AFY) captured, AFY recharged, etc.). Other benefits can be discussed but will not increase your score.	4 PAGES PER COMPONENT
SCOPE OF WORK AND DELIVERABLES	Descriptions of the anticipated tasks necessary to complete the proposal. Tasks should be organized by the budget categories, as indicated in the template. Each task identified in the proposal must have a minimum of one deliverable. Deliverables should be actual work products that can be submitted to DWR.	2 PAGES PER COMPONENT
BUDGET	In the table provided in the template, provide the estimated costs for each budget category. If the Project has components, the budget summary is an estimate per component only. This is a summary budget only. If desired, backup documentation for the cost estimates can be provided in a separate document along with the maps, figures, or tables. Local Cost Share (aka. Matching Funds) are not required. However, additional points will be provided for those who provide Local Cost Share at a minimum of 5% of the total project cost.	2
SCHEDULE	In the table provided in the template, provide a schedule for each budget category showing the sequence and timing of each of the tasks and subtasks, depending on how the tasks and subtasks are outlined in the Work Plan's Scope of Work and Deliverables and Budget table.	2

Use Table 5: Proposal Summary Budget Table (Table 5A, No Components) or Component Summary Budget (Table 5B, Multiple Components). Costs must be broken down consistent with how tasks are presented in the Scope of Work section of the Work Plan. For example, if the Scope of Work describes projects at the task and subtask level, the budget must also present costs at the task and subtask level.

NOTE: the <u>maximum grant administration budget cannot exceed 10%</u> and the <u>maximum construction administration budget cannot exceed 15%</u> of the requested grant funds. Grantees shall invoice and report on a quarterly basis only. The technical assistance provider may invoice and report on a monthly basis.

Grant Proposal Summary Budget

If there are no components to the proposal, Table 5A should be used.

TABLE 5A – GRANT PROPOSAL SUMMARY BUDGET (NO COMPONENTS)

GRANT PROPOSAL TITLE: _____

Budget Categories [1]	(a) Requested Grant Amount	(b) Local Cost Share: Non-State Fund Source[2]	(c) Total Cost	(d) % Local Cost Share (Col (b))/(Col (c))
(a) Grant Administration	$0	$0	$0	
(b) Planning / Design / Environmental	$0	$0	$0	
(c) Construction / Implementation	$0	$0	$0	
(d) Monitoring / Assessment	$0	$0	$0	
(e) Interested Parties Outreach / Public Education	$0	$0	$0	
Grand Total *Sum rows (a) through (e) for each column*	**$0**	**$0**	**$0**	**0%**

[1] Only these Budget Categories shall be used. Tasks can be added for more detail. **If any Budget Category is edited, the budget will not be scored.**

[2] List sources of funding: *Use as much space as required here. If reporting Local Cost Share, Local Cost Share is calculated based on the total project cost (grant amount plus match),* **not** *the grant amount. Local Cost Share will not be included in the Agreement, if awarded, and will only be used as a tool for scoring the grant application.*

If there are components, Table 5B should be used.

TABLE 5B – GRANT PROPOSAL SUMMARY BUDGET (MULTIPLE COMPONENTS)

GRANT PROPOSAL TITLE: _____

Budget Categories [1]	(a) Requested Grant Amount	(b) Local Cost Share: Non-State Fund Source[2]	(c) Total Cost	(d) % Local Cost Share (Col (b)/ Col (c))
Component 1 Grant Administration	$0	$0	$0	
Component 2: Title	$0	$0	$0	
Component 3: Title	$0	$0	$0	
Component n: Title	$0	$0	$0	
Grand Total *Sum rows (1) through (n) for each column*	**$0**	**$0**	**$0**	**%**

[1] These components are shown here for example purpose only. Actual number of components may vary.

[2] List sources of funding: *Use as much space as required. Local Cost Share is calculated based on the total project cost (grant amount plus match),* **not** *the grant amount. Local Cost Share will not be included in the Agreement, if awarded, and will only be used as a tool for scoring the grant application.*

Grant Proposal Summary Schedule

The schedule should show the sequence and timing of each of the tasks and subtasks, depending on how the tasks and subtasks are outlined in the Scope of Work and Budget table. Please use Table 6A for applications without components and Table 6B for applications with multiple components.

The proposal dates within the proposal must start and end at the following dates:

Start Date –   Reimbursable grant funds begin after the date the 2021 Guidelines and PSP are approved (anticipated for December 17, 2021).

Work Completion Date –   All work, including final invoicing and reporting and retention invoice, must be completed on or before June 30, 2025. Actual end date may be edited based upon future appropriations and legislature approvals.

The dates within the Schedule cannot be before the Start Date listed above or after the Work Completion Date. The Work Completion Date is the date that all deliverables and invoices are submitted to DWR and approved by the DWR Grant Manager. The Work Completion Date IS NOT the construction end date. Absolutely no work will be reimbursed or reported as local cost share after the Work Completion Date.

TABLE 6A – GRANT PROPOSAL SCHEDULE (NO COMPONENTS)

GRANT PROPOSAL TITLE: _____

Categories	Start Date (Earliest Start Date)	End Date (Latest End Date)
(a) Grant Agreement Administration		
Task n. xx		
(b) Planning / Design / Environmental		
Task n. xx		
(c) Construction / Implementation		
Task n. xx		
(d) Monitoring / Assessment		
Task n. xx		
(e) Interested parties Outreach / Public Education		
Task n. xx		

TABLE 6B – GRANT PROPOSAL SCHEDULE (MULTIPLE COMPONENTS)
GRANT PROPOSAL TITLE: _____
COMPONENT TITLE: _____

Categories	Start Date	End Date
Component 1: Grant Agreement Administration	Earliest Start Date	Latest End Date
(a) Grant Agreement Administration		
Task 1. xx		
Task n. xx		
Component 2: Title	Earliest Start Date	Latest End Date
(a) Component Administration		
Task 1. xx		
Task n. xx		
(b) Planning / Design / Environmental		
Task 1. xx		
Task n. xx		
(c) Construction / Implementation		
Task 1. xx		
Task n. xx		
(d) Monitoring / Assessment		

Categories	Start Date	End Date
Task 1. xx		
Task n. xx		
(e) Stakeholder Outreach / Public Education		
Task 1. xx		
Task n. xx		
Component n: Title	Earliest Start Date	Latest End Date
(a) Component Administration		
Task 1. xx		
Task n. xx		
(b) Planning / Design / Environmental		
Task 1. xx		
Task n. xx		
(c) Construction / Implementation		
Task 1. xx		
Task n. xx		
(d) Monitoring / Assessment		
Task 1. xx		
Task n. xx		
(e) Interested parties Outreach / Public Education		
Task 1. xx		
Task n. xx		

VI. APPLICATION REVIEW

All applications will first be screened for eligibility and completeness in accordance with Section VI of the 2021 Guidelines and Section III of this PSP. The information provided by applicants in GRanTS, as well as Attachments 1 through 3 of the application, will be used in determining eligibility and completeness. The final dates for all proposals for both Round 1 and Round 2 will be provided in the grant solicitation announcement and posted on the SGM Grant Program website (www.water.ca.gov/sgmgrants).

A. Round 1

All complete and eligible applications will require a self-evaluation be submitted with the application package. Applicants will self-evaluate their application based on the evaluation questions presented below in Table 7 – Application Evaluation Criteria. Eligible applicants should submit their self-evaluation form and spending plan to sgwp@water.ca.gov no later than **noon on February 18, 2022**. SGM Grant Program staff will meet with each eligible applicant to review their spending plan and self-evaluation forms to determine the final project list for award.

B. Round 2

All complete and eligible applications will be evaluated, scored, and ranked based on the evaluation questions presented below in Table 7 – Application Evaluation Criteria. Please note that the application and/or review questions outlined in Table 7 – Application Evaluation Criteria may be reworded, combined, or separated as the information is transferred into our online application tool (e.g., GRanTS or other application). SGM Grant Program staff may make clarifying or editorial changes to the application following PSP approval. Table 7 is subject to change depending on the final preparations of the review questionnaire and various application templates. No substantive changes will be made to the evaluation criteria and scoring scheme.

For proposals with multiple components, the evaluation will be repeated for each component. The score for a proposal with multiple components will be determined by summing each individual component's total score, dividing that summation by the number of components for the Component Average Score, and then rounding up or down to the nearest whole number (Final Score). See Table 7 for an example of the scoring criteria.

DWR staff may recommend reducing individual grant amounts from the requested amount. However, such reductions will be considered only if technical reviewers have indicated that the budget is too high for the task(s)/component(s) described or some tasks/components are determined to be ineligible for the grant program or are not necessary for project completion. A reduction would also be weighed against whether the reduced funding would impede project implementation or if the proposed budget is determined inconsistent with similar projects. A reduction in requested grant funds can also occur when a greater number of well-qualified projects are requesting grant funds greater than the funding available.

If multiple applications are received within a single basin, DWR will contact the applicants and request that a consolidated application for the basin be submitted before the close of the open filing period, if feasible. If identified after the close of the solicitation, DWR will work with the multiple applicants to consolidate, if awarded.

VII. AWARD PROCESS

Funding will be allocated to proposals consistent with minimum and maximum award amounts, using the proposal score, professional judgement, and available funding. DWR's funding recommendation may vary from grant funding requests.

Following funding awards DWR will execute an Agreement with the Grantee. Agreements are not executed until signed by both the authorized representative of the Grantee and DWR. The Grantees

have approximately six months to obtain an executed Agreement after the grant award notification letter is sent by DWR. The exact date for Agreement execution will be outlined in the grant award notification letter. DWR reserves the right to withdraw an award due to lack of responsiveness on the part of the applicant.

Please note that the review questions outlined in Table 7 may be reworded, combined, or separated. SGM Grant Program staff may make clarifying or editorial changes to the scoring criteria following approval. SGM Grant Program staff may also make changes to Table 7 depending upon language outlined in future appropriations and legislative requirements. **Table 7 is subject to change depending on the final preparations of the review questionnaire.** *No substantive changes will be made to the evaluation criteria and scoring scheme.*

TABLE 7 – APPLICATION EVALUATION CRITERIA				
Section Name	**Q#**	**Questions**	**Possible Points**	**Scoring Guidance**
General	1	Was a description of the proposed Project or Component provided? Did it explain why this Project or Component was chosen over all others identified in the Plan in terms of benefits provided, communities served, measurable objectives, minimum thresholds, plan implementation timeline, and feasibility? If you feel a question component does not apply to your proposed project, please explain why it is not applicable. (Example "Measurable objective not applicable because project is planning only".) • *No funds will be awarded without clear justification for the proposed tasks/subtasks.*	4	• 4 – Fully addressed • 3 – Mostly addressed, with minor details not included or unclear • 2 – Mostly addressed, with significant details missing or unclear • 1 – Marginally addressed • 0 – Not addressed
General Implementation Only	2-Imp	Does the Project or Component provide a description of quantifiable benefits? Was an explanation of the benefits that are expected to be realized from the Project or Component provided, along with how those benefits will be evaluated and quantified? • *To obtain full points, 3 or more quantifiable benefits must be identified and fully supported with backup documentation.*	4	• 4- At least three quantifiable benefits with explanations and supporting documents. • 3 – Two quantifiable benefits with explanations and supporting documents. • 2 - Two quantifiable benefits lacking explanations and supporting documents. • 1 - One quantifiable benefit with explanations and supporting documents. 0 – Benefits provided but are not explained or quantified.
General Planning Only	2-Plan	Does the Project Description describe a well-coordinated proposal including a GSP(s) that encompasses the entire basin or describes why a portion of the basin is not covered in the proposal? Does it describe how well the multiple GSA(s) surrounding and within the basin are working together?	4	• 4 – Fully addressed • 3 – Mostly addressed, with minor details not included or unclear • 2 – Mostly addressed, with significant details missing or unclear • 1 – Marginally addressed • 0 – Not addressed
General	3	Does the Project or Component fully describe their plan for outreaching and engaging interested parties (e.g., residents, local leaders, non-profit representing Underrepresented Communities, etc.) located within Underrepresented Communities? Does the outreach and engagement include interested parties during all phases of the Project or Component (e.g., planning, design, and implementation)? Can interested parties provide input and be involved in the decision-making processes? • *To obtain full points, a minimum of three comment letters are required from the Underrepresented Communities.*	3	• 3 – Interested parties included on decision-making committees and fully engaged/involved in all aspects of the Project or Component • 2 – Interested parties engaged/involved, but not included on decision-making committees • 1 – Marginally addressed • 0 – Not addressed
General	4	Was there a regional and Project map(s) depicting the site location, current conditions, and benefitting areas? • *The information should be clear and easy to read. If not, the point will not be given.*	2	• 2 – Provided and all necessary information provided • 1 – Provided but missing some information • 0 – Not provided

General	5	Does the project benefit an Underrepresented Community (-ies)? Was there a map(s) depicting the Underrepresented Community (-ies) that the project will benefit? Does the project benefit an SDAC? Was there a map(s) depicting the SDAC(s) that the project will benefit? Please provide the amount of funding that will benefit both the Underrepresented Community and SDAC. • *No points will be given if a map(s) is not provided.*	3	• 3- Project benefits an SDAC(s) • 2- Project benefits Underrepresented Community • 1 – Project partially benefits either • 0 – Project does not benefit either
General	6	Will the Project or Component positively impact issues associated with small water systems or private shallow domestic wells (e.g., groundwater contamination vulnerability, drawdown, etc.)? Was justification such as domestic well census results, water system maps, service area maps, etc. provided? Does the Project or Component help address the needs of the State Water Board's SAFER Program?	3	• 3 – Fully addressed • 2 – Mostly addressed, with minor details not included or unclear • 1 – Marginally addressed • 0 – Not addressed
General	7	How does the proposed Project or Component address the Human Right to Water (AB 685 Section 106.3)? How will the Project or Component support the established policy of the State that every human being has the right to safe, clean, affordable, and accessible water adequate for human consumption, cooking, and sanitary purposes?	4	• 4 – Fully addressed • 3 – Mostly addressed, with minor details not included or unclear • 2 – Mostly addressed, with significant details missing or unclear • 1 – Marginally addressed • 0 – Not addressed
Scope of Work	8	Did the proposal provide a description of the tasks/subtasks that will be completed as part of this grant Project? • *No funds will be awarded without clear justification for the proposed tasks/subtasks.*	3	• 3 – Fully addressed • 2 – Mostly addressed • 1 – Marginally addressed • 0 – Not addressed
Budget	9	Is a budget summary table provided? Is the budget reasonable for the project? Is the budget table tasks/subtasks provided in the scope of work coincide with the tasks/subtasks in the budget and schedule tables? Is local cost share included (minimum of 5%)? Local cost share may include costs expended on projects before grant agreement date. • *Local cost share is not required but necessary to obtain full points.*	3	• 3 – Local cost share is provided, and budget is consistent and feasible • 2 – Budget is consistent and feasible • 1 – Budget is consistent but not feasible • 0 – Not consistent and feasible
Schedule	10	Is the tasks/subtask in the schedule table consistent with those listed in the budget table and within the description in the application? Is the schedule feasible?	1	• 1 – Consistent and feasible • 0 – Not consistent and feasible
		Total Range of Possible Points	0-30	
		(a) Average of Questions 1 – 8 for Multiple Component Applications		
		(b) Total Score for Questions 9 and 10		
		Total Points Overall Project:		
		TOTAL FUNDING RECOMMENDED:		$

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