

STATE OF CALIFORNIA

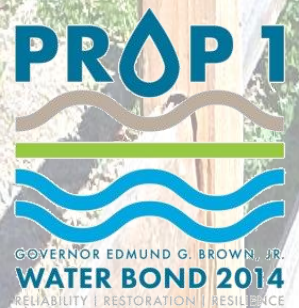
# CALIFORNIA URBAN RIVERS GRANT PROGRAM

Funded by:

**PROPOSITION 1: THE WATER QUALITY, SUPPLY,  
AND INFRASTRUCTURE IMPROVEMENT ACT OF 2014**

## GRANT GUIDELINES & APPLICATION

California Natural Resources Agency  
June 2016



**PUBLIC COMMENT HEARINGS WILL BE HELD AS FOLLOWS**

<p><b>May 12, 2016</b> 1:30 p.m. - 3:30 p.m.</p> <p><b>SAN DIEGO</b> San Diego County Administration Building 1600 Pacific Highway, Rm. 302 San Diego, CA 92101</p>	<p><b>May 20, 2016</b> 10:00 a.m. – 12:00 p.m.</p> <p><b>SACRAMENTO</b> Resources Building (Auditorium) 1416 Ninth St Sacramento, CA 95814</p> <p><i>This workshop will be also webcasted online via <a href="#">computer</a> or via <a href="#">Android</a> or <a href="#">Apple</a> mobile devices. Use Meeting ID: 9166294810 Instructions and troubleshooting information can be found <a href="#">here</a></i></p>
<p><b>June 6, 2016</b> 1:00 p.m. – 3:00 p.m.</p> <p><b>SAN JOSE</b> City of Mountain View Community Center 201 South Rengstorff Ave Mountain View, CA 94040</p>	<p><b>June 14, 2016</b> 1:00 p.m. – 3:00 p.m.</p> <p><b>LOS ANGELES</b> LA River Center 570 West Ave 26, Sierra Madre Bldg, Upper Conference Room Los Angeles, CA 90065</p>

**To RSVP (Recommended), Contact:**

**Phone:** (916) 653-2812, or  
**Email:** [urban.rivers@resources.ca.gov](mailto:urban.rivers@resources.ca.gov)

**Technical workshops will be held throughout the State once the Guidelines are finalized.**

For general application process questions, contact the California Natural Resources Agency at:

Phone: (916) 653-2812

Email: [urban.rivers@resources.ca.gov](mailto:urban.rivers@resources.ca.gov)

Website: [http://resources.ca.gov/bonds\\_and\\_grants/grant\\_programs/](http://resources.ca.gov/bonds_and_grants/grant_programs/)

## HOW TO SUBMIT

**Submit On-Line Applications:** Applicants must submit applications through the California Natural Resources Agency's System for Online Application Review (SOAR) found on our website under the California Urban Rivers Program section:

[http://resources.ca.gov/bonds\\_and\\_grants/grant\\_programs/](http://resources.ca.gov/bonds_and_grants/grant_programs/)

The SOAR system will not accept submissions for this program after 5:00 PM on October 3, 2016.

A printed original (with wet signature) and one copy must be sent to the Bonds and Grants Unit with a postmark no later than October 5, 2016. Send to:

**California Natural Resources Agency  
Attn: Urban Rivers Coordinator  
1416 Ninth Street, Suite 1311  
Sacramento, CA 95814**

Applicants will need to sign up for a SOAR user account. A detailed guide on how to use SOAR and submit applications is located on our website at:

[http://resources.ca.gov/bonds\\_and\\_grants/grant\\_programs/](http://resources.ca.gov/bonds_and_grants/grant_programs/)

**THE SOAR SYSTEM IS CURRENTLY UNDER CONSTRUCTION AND WILL NOT BE OPERATIONAL UNTIL FINAL GUIDELINES ARE RELEASED WITH SOLICITATION.**

## For SOAR System Questions

For technical assistance with the SOAR website, please contact the SOAR help desk.

Open 8:00 AM - 5:00 PM Monday thru Friday.

Phone Number: Available with release of guidelines

Email: Available with release of guidelines

A Help Desk representative will contact you regarding your email or call as soon as they are available to do so (during business hours).

If you are experiencing problems with SOAR, please provide the following

- Proposal Identification Number (PIN) assigned to the application
- Name of the funding program you are applying to
- Short description of the problem, including where in the application the problem is occurring
- A screen shot of the error received, if applicable

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## I. INTRODUCTION

California voters passed the Water Quality, Supply, and Infrastructure Improvement Act of 2014 (Act). It added Section 79730 to the Public Resources Code, authorizing the Legislature to appropriate the sum of twenty million dollars (\$20,000,000) to the California Natural Resources Agency (Agency) for green infrastructure that conserves water, buffers climate change impacts, improves water quality, water supply, public health, reduces greenhouse gas emissions, and energy demand, restores, and protects rivers, creeks and streams including the acquisition of resource lands.

The Act provides funding to implement the three objectives of the California Action Plan which are: 1) more reliable water supplies, 2) the restoration of important species and habitat, and 3) a more resilient and sustainably managed water infrastructure.

### Background

The Agency's mission is to protect and manage the state's natural, historical, and cultural resources. Grants will be awarded on a competitive basis using evaluation criteria described on page 11.

## II. ELIGIBILITY

### Eligible Applicants

Grant Funds will be awarded to public agencies, California nonprofit organizations, public utilities, federally recognized Indian tribes, state Indian tribes listed on the Native American Heritage Commission's California Tribal Consultation list and mutual water companies. All nonprofits must be a 501(c)(3) as verified by the Internal Revenue Service.

### Statutory Requirements

1. Projects must be multibenefit watershed and urban rivers enhancement projects in urban watersheds that increase regional and local water self-sufficiency.
2. Projects must meet at least **two** of the following five statutory objectives:
  - Promote Groundwater Recharge and Water Reuse
  - Reduce Energy Consumption
  - Use Soils, Plants, and Natural Processes to Treat Runoff
  - Create, or Restore Native Habitat
  - Increase Regional and Local Resiliency and Adaptability to Climate Change

### Other Requirements

1. All projects must be located in an urban area. For purposes of this program, an urban area is a geographic area designated or defined as urban by an applicable plan covering the project area, including, but not limited to general plans, specific plans, or community plans.
2. To the extent feasible, projects need to promote state planning priorities consistent with Section 65041.1 of the Government Code and sustainable communities strategies consistent with the provisions of subparagraph (B) of paragraph (2) of subdivision (b) of Section 65080 of the Government Code (Section 79707 (i)).
3. State and local water agencies are required to use the best available science to inform decisions regarding water resources.

4. Projects must comply with the California Environmental Quality Act (CEQA), Division 13 (commencing with Section 21000).
5. If project is an acquisition, real property must be acquired from a willing seller.
6. Projects must comply with all current Labor Codes.
7. At least 25 percent of the program funds available shall be allocated for projects that benefit disadvantaged communities.
8. A project proposed by a public utility that is regulated by the Public Utilities Commission or a mutual water company shall have a clear and definite public purpose and shall benefit the customers of the water system and not the investors.
9. An urban water supplier shall adopt and submit an urban water management plan in accordance with the Urban Water Management Planning Act
10. An agricultural water supplier shall adopt and submit an agricultural water management plan in accordance with the Agricultural Water Management Planning Act
11. Projects should use strategies that achieve both climate risk reduction benefits and additional benefits, such as benefits to public health, the economy, environmental justice, and conservation of natural resources.
12. For restoration and ecosystem protection projects, the services of the California Conservation Corps or a local conservation corps certified by the California Conservation Corps shall be used whenever feasible.
13. If the primary function of the project is for stormwater capture, the project should be included in a stormwater resource plan or functional equivalent.
14. Certain types of projects may require the services of a licensed professional engineer or licensed professional geologist to comply with the requirements of the *Business and Professions Code* Section 6700 et. seq. (*Professional Engineers Act*), and Section 7800 et. seq. (*Geologists and Geophysicists Act*).

### **Conflict Of Interest**

All applicants and individuals who participate in the review of submitted applications are subject to State and Federal conflict of interest laws. Any individual who has participated in planning or setting priorities for a specific solicitation or who will participate in any part of the grant development and negotiation process on behalf of the public is ineligible to receive funds or personally benefit from funds awarded through that solicitation. Applicants should also be aware that certain State agencies may submit applications that will compete for funding. Failure to comply with the conflict of interest laws, including business and financial disclosure provisions, will result in the application being rejected and any subsequent grant agreement being declared void. Other legal actions may also be taken. Applicable statutes include, but are not limited to, California Government Code section 1090 and Public Contract Code sections 10365.5, 10410, and 10411.

### **Tribal Consultation**

The Natural Resources Agency recognizes the need for agency consultation regarding projects that affect California Tribal communities. As such, applicants should make every effort to involve Native American Tribes or stakeholder groups as appropriate.

### **Funding Allocation and Grant Amounts**

The California Urban Rivers Grant Program anticipates two funding cycles with approximately \$9.3 million available to award in each cycle. There are no minimum or maximum grant amounts for this grant program.

## Sample Eligible and Ineligible Projects

**Eligible Urban Rivers Projects** - The items below provide examples of project elements that meet statutory conditions. (This is not a comprehensive list.)

### Promote Groundwater Recharge and Water Reuse

- Create or expand green alleys that moderate storm water runoff, detain water in catchments such as rain gardens, enhance infiltration, increase residence time, and mitigate localized flooding.
- Create green-streets that allow stormwater to flow into vegetated planters, or vegetated bio-swales.
- Replace impermeable surface materials (e.g., concrete) with permeable materials, or open void materials that promote infiltration and reuse and attenuate peak flows.
- Disconnect downspout and install rain barrels, or cisterns for storage.
- Create or enhance existing wetlands, recharge ponds.
- Convert irrigation to recycled water.

### Reduce Energy Consumption

- Expand urban forest to increase shade and decrease ambient temperatures around buildings and alleys (urban heat island feedback).
- Install green roofs or green/living walls.
- Remove pavement and increase vegetative cover.
- Install vertical gardens.

### Use Soils, Plants, and Natural Processes to Treat Runoff

- Create or enhance existing wetlands or riparian zones.
- Install vegetated bio-swales, depressed planters, or rain gardens with a native plant landscape system to capture and infiltrate stormwater and increase residence times to treat non-point pollution.
- Reduce impermeable surfaces by removing concrete and increasing stormwater planter area and bulb-outs, or curb extensions.
- Expand urban forest to intercept stormwater promoting infiltration and bio-remediate pollutants. (*Mature existing trees should influence how and where stormwater facilities like bio-swales or planters are designed.*)

### Create, or Restore Native Habitat

- Remove exotic and/or invasive plants along stream corridors that damage habitat and compete with native plant communities for water resources.
- Restore river channels.
- Restore or enhance riparian, aquatic, and terrestrial habitat.
- Improve/enhance ecological function of riverine, riparian, aquatic, or upland habitats.
- Acquire resource lands including agriculture and forested.
- Improve ecosystems beyond mitigation to include species recovery (i.e. restoration).

### Increase Regional and Local Resiliency and Adaptability to Climate Change

- Provide habitat connectivity to allow species a better chance to adapt and habitats to survive.
- Expand the urban forest to reduce heat island effects and provide air and water benefits.

**Ineligible Urban Rivers Projects/Applications** – The items below provide examples of projects and elements NOT funded under this program. (This is not a comprehensive list.)

- Projects with no urban watershed or urban river benefit.
- Projects that include acquisition of property that cannot be purchased at fair market value.
- Planning only.
- Operations and maintenance projects.
- Programmatic projects, such as education and outreach.
- Projects that exclusively fulfill mitigation requirements.
- Projects that will not be completed in the allotted timelines.
- Projects with bridges that are the *main* focus of the project. (Bridges *may* be eligible as necessary to fulfill the water/habitat goals of the project.)
- Renovation/restoration of structures on converted riverfront land.
- Development projects contingent on future acquisition for project implementation.
- Projects that include both acquisition and development (project must be one or the other, not both.)
- Projects that attempt to meet statutory conditions with landscaping instead of restoration.
- Projects that are intended to correct problems caused by inadequate maintenance.
- Applications that include more than one project.
- Projects with multiple sites that are not included under one environmental review.
- Design, construction, operation, mitigation, or maintenance of Delta conveyance facilities – e.g., facilities that convey water directly from the Sacramento River to the State Water Project or the federal Central Valley Project pumping facilities in the south Delta.

### **III. SELECTION PROCESS**

1. Applicants submit application through the System for Online Application Review (SOAR)
2. Applicants submit one original (with wet signature) and one copy of the complete grant application package to the State by the deadline.
3. Applications are reviewed for completeness and eligibility.
4. Incomplete or ineligible applications may not be evaluated or considered for funding, at the sole discretion of the State. (A "master" application containing several projects at more than one location is not eligible for funding. However, applicants may submit more than one application per grant round.)
5. Applications are evaluated using the established criteria and any additional funding considerations (see page 11).
6. Site visits may be scheduled prior to funding decisions.
7. Recommendations are submitted to the California Secretary for Natural Resources.
8. Final funding decisions are determined and announced.

All information contained in the grant application is confidential until the grant awards are announced.

### **IV. GRANT ADMINISTRATION**

#### **General Process**

1. State and grantee work together to finalize cost estimate, timeline and project scope.
2. State sends Grant Agreement and materials for grant administration to grantee.
3. Grantee signs and returns all required copies back to the State for signature. (A fully executed copy will be returned to the Grantee.)
4. Grantee submits completed appraisal, purchase documents, etc., for State review (acquisition projects only).
5. Grantee commences preliminary work (planning/design/CEQA, etc.) on the project and submits requests for reimbursements, as applicable.
6. Grantee submits CEQA compliance documentation.
7. Grantee submits preliminary plans to the State for review.
8. Grantee submits final site plans, bid documents, cost estimate (as applicable) for review by the State prior to commencing with construction, and verification that all required permits are secured.
9. Grantee posts signs at a visible spot on the site acknowledging source of funds.
10. Grantee commences construction work on the project and may submit payment requests for reimbursement of project expenditures.
11. State may schedule periodic on-site visits and request periodic progress reports from the grantee.
12. Grantee completes project and submits project completion documents (to be provided under separate cover).
13. State makes final project inspection and processes final payment.



## Eligible Costs

Direct project-related costs incurred during the project performance period specified in the Grant Agreement will be eligible for reimbursement. All eligible costs must be supported by appropriate documentation. Costs incurred outside of the performance period are not eligible for reimbursement. **Indirect/overhead costs are not eligible** for reimbursement (see page 47 for definition of overhead costs).

The project scope (i.e., the activities to be completed using either 100% grant funds or a combination of grant funds and matching funds) must meet the eligibility requirements. However, grant funds need not fund all activities used to meet eligibility requirements.

## Payment of Grant Funds

Funds cannot be disbursed until there is a fully-executed Grant Agreement between the State and the Grantee and satisfactory site control, including operations and maintenance agreement, has been secured. Funds for construction/implementation cannot be disbursed until CEQA / NEPA (if applicable) is completed and funding signage is installed.

### Development projects

- Payments are made on a reimbursement basis (i.e., the grantee pays for services, products or supplies, submits invoices and proof of payment and is then reimbursed by the State). It generally takes 4-6 weeks to receive payment once a complete Payment Request is submitted.
- Ten percent (10%) of the amounts submitted for reimbursement may be withheld and issued as a final payment upon project completion.

### Acquisition projects

- State-approved purchase price, together with eligible acquisition costs, may be advanced into an escrow account within 60 days of close of escrow. All disbursements may be subject to a ten percent (10%) retention, withheld at the sole discretion of the State.
- The remainder of the Grant, if any, shall be available on a reimbursable basis for other eligible project costs.

## Site Visits

The State may make periodic visits to the project site, including a final inspection. The State will determine if the work is consistent with the approved project scope and ensure compliance with signage requirements.

## Loss of Funding *(not a complete list)*

The following are examples of actions that may result in a grantee's loss of funding:

- Grantee fails to execute a grant agreement.
- Grantee withdraws from the grant program.
- Property cannot be acquired at approved fair market value.
- Grantee loses willing seller(s).

- Grantee cannot comply with CEQA/NEPA, as applicable.
- Grantee fails to submit required documentation within the time periods specified in the grant agreement.
- Grantee changes project scope without prior approval from the State.
- Grantee fails to complete the project.
- Grantee fails to demonstrate sufficient progress or is unresponsive to project status requests.

## **State Audit and Accounting Requirements**

### Audit Requirements

All projects are subject to audit by the State of California annually and for three (3) years following the final payment of grant funds. If the project is selected for audit, the grantee will be contacted in advance. The audit shall include all books, papers, accounts, documents, or other records of the grantee, as they relate to the project for which the funds were granted.

The grantee must have the project records, including the source documents and canceled checks, readily available, and provide an employee with knowledge of the project to assist the auditor. The Grantee must provide a copy of any document, paper, record, or the like, requested by the auditor.

### Accounting Requirements

The grantee must maintain an accounting system that:

- accurately reflects fiscal transactions, with the necessary controls and safeguards,
- provides a good audit trail, including original source documents such as purchase orders, receipts, progress payments, invoices, time cards, canceled checks, etc.
- provides accounting data so the total cost of each individual project can be readily determined.

### Records Retention

Project records must be retained for a period of three (3) years after final payment is made by the State. All project records must be retained by the grantee at least one (1) year following an audit. Grantees are required to keep source documents for all expenditures related to each grant for at least three (3) years following project completion and one year following an audit. A project is considered complete upon receipt of final grant payment from the State.

## V. APPLICATION INSTRUCTIONS

### Preparing a Grant Application Package

Fill out the online application and print two hardcopies (1 original, 1 copy) to be sent in by mail. Hardcopies should be bound with a binder clip only and all pages should be printed on 8½ x 11 inch paper.

**THE ONLINE APPLICATION PROCESS IS CURRENTLY UNDER CONSTRUCTION AND DETAILED INSTRUCTIONS WILL BE AVAILABLE WHEN FINAL GUIDELINES ARE RELEASED WITH SOLICITATION.**

The grant application package includes:

1. Application form (see pages 8)
2. One-page project summary - provide a brief summary of the project that includes all applicable requested information (see page 9)
3. Eligibility Checklist (see page 10)
4. Project evaluation – answer all project evaluation questions that apply to the proposed project (see Evaluation Criteria, beginning on page 11)
5. Required supporting materials (see page 19 for a detailed list). All supporting documents are also listed in the application package checklist (see page 23).

# APPLICATION FORM

**Placeholder: Fields may change once online system is completed**

## Application Form

Project Name		Estimated Date of Completion: _____		
		Grant Amount Requested: \$ _____		
		Estimated Total Project Cost: \$ _____ (State Grant and other funds and In-Kind Donations)		
<b>APPLICANT/SPONSOR (with mailing address)</b> Check one: Non Profit <input type="checkbox"/> Local Public Agency <input type="checkbox"/> State Agency <input type="checkbox"/> Indian Tribe <input type="checkbox"/> Mutual Water Company <input type="checkbox"/>		County	Nearest City/Town	
		Project Address (or nearest cross street)		
		Senate Dist.	Assembly Dist.	US Congressional Dist.
		<b>Applicant's Representative Authorized in Resolution</b> <span style="color: red;">(Signature required at bottom of this page)</span>  Name: _____ Title: _____  Phone: _____ Email Address: _____		
<b>Project Manager - Person with day to day responsibility for project (if different from authorized representative)</b>  Name: _____ Title: _____  Phone: _____ Email Address: _____				
<b>Brief Description of Project</b> (Summarize major activities to be funded by this Urban Rivers Grant)		Latitude	Longitude	
		Coordinates Represent: _____ Coordinates Determined Using: _____		
Name of River, Stream or Creek: _____				
<b>Two (2) statutory conditions</b>		<input type="checkbox"/> Promote Groundwater Recharge and Reuse <input type="checkbox"/> Reduce Energy Consumption <input type="checkbox"/> Use Soils, Plants, and Natural Processes to Treat Runoff <input type="checkbox"/> Create or Restore Native Habitat <input type="checkbox"/> Increase Regional and Local Resiliency and Adaptability To Climate Change	Project Type (Acquisition, or Devlpmt.): _____	
			Acre-feet of water captured: _____	
			Acres of habitat Created: _____	
			Acres of habitat Restored: _____	
			Acres of habitat Acquired _____	
I certify that the information contained in this project application, including required attachments, is complete and accurate				
Signed: _____		Date _____		
Applicant's Authorized Representative as shown in Resolution		Date		
Print Name:	Print Title:	Designee? Y N If yes, attach letter of designation from authorized representative.		

**ONE-PAGE PROJECT SUMMARY**

A. Summarize the specific project for this grant request and how it meets the program goals. Also include a brief description of current site conditions, community and government agency partnerships, and benefits of the proposed project.

B. Summarize major budget components of the project.

Sample Project Categories	Requested Grant Funds	Other Funding Source(s)	Total Cost
Project management/administration			
Planning, design, & permitting			
Implementation/construction			
Land acquisition			
Plant establishment & project assessment			
Contingency			
<b>Total</b>			

C. If the proposed project is in a disadvantaged community, please describe here (evidence required):

## ELIGIBILITY CHECKLIST

To help determine eligibility, prior to completing an application, answer the following questions and include the checklist with your completed application.

	Criteria	Yes/No
1.	Is the applicant one of the entities listed below? (Mark applicable)	
	Public agency	
	Non-profit organization 501 (c) (3)	
	Public utility	
	Federally recognized Indian tribe	
	State Indian tribe listed on the Native American Heritage Commission's California Tribal Consultation List	
	Mutual Water Company	
2.	Does the project meet at least two (2) of the statutory conditions listed on page 1?	
3.	Is the project part of a stormwater or urban greening strategy for the jurisdiction?	
4.	Is the project located in an urban area?  If yes, list the applicable plan covering the project area that designates or defines the area as urban. (May include, but is not limited to general plans, specific plans, or community plans). Plan Name:	
5.	If applicable, is the project included in a Stormwater Resource Plan (or functional equivalent?)  If yes, list name of plan and entity that developed it here: Plan Name: Entity:	
6.	Is the project consistent with sample eligible projects listed on page 3?	
7.	Does the project provide multiple benefits?	
8.	<b>(Acquisitions Only)</b> – Will the property be purchased at fair market value?	

## VI. EVALUATION CRITERIA

Answer the project evaluation questions for each section. The answers to these questions will be used to evaluate the project and should demonstrate how effectively the project meets the goals of the program.

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Projects will be evaluated using the following criteria to determine an initial ranking, with a score of 130 points possible. **Points will be attributed to each section and not to individual questions.**

Criteria		Points
1.	Project Statutory Conditions	40
2.	Sustainability ( <i>Organization / Project</i> )	30
3.	Collaboration/Coordination ( <i>jurisdictions, community organizations, community residents</i> )	20
4.	Project Readiness	15
5.	Additional Project Characteristics	15
6.	Leveraging of Funding Sources	10
<b>Total Points Possible</b>		<b>130</b>

The State may consider other factors in the final grant awards such as, but not limited to, economic benefits, statewide significance, and the geographic distribution of bond funds. Partial funding may be considered to fully maximize grant awards.

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### *PROJECT STATUTORY CONDITIONS*

Projects must meet at least **two** of the following five statutory conditions:

- Promote Groundwater Recharge and Water Reuse
- Reduce Energy Consumption
- Use Soils, Plants, and Natural Processes to Treat Runoff
- Create, or Restore Native Habitat
- Increase Regional and Local Resiliency and Adaptability to Climate Change

Answer each of the questions listed under the two statutory conditions that best apply to the project as indicated on the Application Form on page 8. If the project meets additional statutory conditions, an opportunity to explain is provided under Additional Project Characteristics on page 17.

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## **Promote Groundwater Recharge and Reuse**

1. How will the project promote groundwater recharge and reuse?
2. Will the project simulate natural hydrology by capturing stormwater where it falls and infiltrates? Will it be harvested and reused?
3. Describe innovative technologies or methodologies to be employed in the project that could contribute to improved efficiencies in projects throughout the State.
4. Describe how the proposed project is consistent with local or regional water management plans or other resource management plans including graywater use.
5. If applicant is an urban water supplier, how is the project consistent with the urban water management plan in accordance with the Urban Water Management Planning Act?
6. If applicant is an agricultural water supplier, how is the project consistent with the agricultural water management plan in accordance with the Agricultural Water Management Planning Act?
7. Describe your plan for public outreach to the groups that may be affected by the project.
8. Identify which local groups or other interested organizations are aware of the project and their level of support or opposition.
  - Include in the description how other local agencies whose jurisdiction or water service area is adjacent to the project location may be involved in the project.
9. Include an explanation of the need for the project. Need is determined by the general condition of the water system, current and future water supply and demand.

## **Reduce Greenhouse Gas Emissions and Energy Consumption**

Water delivery, treatment, and use constitute one of the largest sources of energy demand. Projects that incorporate green infrastructure, water recycling, or filtration techniques produce verifiable water and energy savings. Applicants should demonstrate a quantifiable reduction in energy and greenhouse gas (GHG) emissions.

1. Explain how the project will reduce dependency on fossil fuel.
2. Explain how the project will reduce greenhouse gases by reducing energy demand, conserving water and promoting resource efficiencies.
3. Explain how the project will mitigate urban heat island effects.

## **Use Soils, Plants and Natural Processes to Treat Runoff**

1. How will the project treat stormwater?
2. Describe generally the type of stormwater facilities in your proposal (e.g. rain gardens, planters, bio-swales, green-roof, etc.).



3. Describe how the project will capture, or slow runoff by answering the following -
  - What is the estimate of the volume of water you want to treat?
  - What is the estimate of the amount of water the project could capture during a peak flow event based on the project's soil types?
  - Explain how your design, plant selection and soil type will do the work to treat non-point source pollution.
4. How much concrete, or asphalt, in square feet, will be removed as part of the project?

### **Create or Restore Native Habitat**

1. Describe how the project will protect, restore, enhance, or preserve a riparian environment using either common or scientific names to identify elements.
2. Describe the planned stream restoration or watershed management techniques, including any biotechnical methods or other innovative methods intended.
  - For innovative approaches to stream management, describe how the approach may influence imminent projects in the area.
  - If the project will use conventional construction materials like manufactured block or concrete, describe why these materials were selected vs. other alternatives, and how these materials will be integrated into the landscape in a natural way.
3. Describe specific riverine or riparian elements that will be established with the project, including but not limited to:
  - Structures: channel, riparian corridor, floodplain, terrace, pools and riffles, etc.
  - Functions: transporting sediment, forming and/or reforming bars and pools, flooding onto the floodplain, restoring habitat for threatened or endangered species, or re-establishing wildlife corridors.
  - Dynamics: re-vegetating to provide shade and erosion control on floodplain, providing food for insects or removing exotic species.
4. Is there an imminent threat to the habitat (i.e., projects planned and approved in the immediate vicinity that will preclude or conflict with the maintenance of the habitat)?
5. How will the project provide habitat for pollinators and birds?
6. One of the major challenges facing the biodiversity sector that is being exacerbated by climate change includes the accelerated spread of invasive species. Describe how your project addresses invasive and non-native plant species.

## **Increase Regional and Local Resiliency and Adaptability to Climate Change**

Describe how your project reduces climate change vulnerability with respect to:

1. Energy demand
2. Infrastructure
3. Sea level rise
4. Increased temperatures and extreme events (wildfires, flooding, etc.)

Just as different regions of California will experience the impacts of climate change differently, so will the diverse populations of California. Will the project benefit disadvantaged communities already coping with drinking water quality and supply problems?

### ***SUSTAINABILITY (Organization / Project)***

Entities must demonstrate their ability and willingness to complete and maintain the project according to program requirements.

#### **Organizational Capacity:**

1. Describe the applicant's experience in completing this type of project or similar projects within the scheduled timeframe and within the allowable budget.
2. Is the expertise needed for the project readily available within the applicant's organization? If not, what are the plans to acquire it?
3. Identify and describe steps to be taken and the work to be completed within the first year following the award of grant funds.
4. Explain methods used for estimating costs and in what way the project is cost-effective.

#### **Monitoring, Reporting, Operations and Maintenance**

All grant applications must include an annual monitoring and reporting component that explains how the effectiveness of the project will be measured and reported. The monitoring and reporting component will vary depending on the nature of the project, but must include an annual summary of plant mortality, percent survivorship, number replanted, and a qualitative measure of individual plant condition (poor, fair, good, excellent) by species during the plant establishment period. The grant application evaluation will assess the robustness of the proposed monitoring program. For wetland and watershed restoration and protection projects, monitoring should be consistent with the State's Wetlands and Riparian Area Monitoring Plan (WRAMP), as applicable.

1. Describe the proposed monitoring process including the data to be collected within the project performance period (grant period) to help determine whether the project will be effective and successful.
2. Describe how long-term monitoring, operations and maintenance will be provided over the time period required by the grant including:
  - What is the strategy for long-term maintenance?
  - Who will perform long-term maintenance?
  - Describe their experience in maintaining this type of project.

- How will ongoing maintenance be funded?
3. If the project is easily affected by external events (e.g., weather, floods, fire or other disturbances), what is planned within the project design to ensure the sustainability of the project?
  4. Is your project in an area designated as at-risk to rising sea levels? If so, you may be required to provide an assessment of the risks in the evaluation of your proposed project. What considerations and modifications have you made to the project concept to address its susceptibility to rising sea levels?
  5. How will the project be protected from vandalism and deterioration?
  6. What local organizations or partnerships will be assisting with ongoing operations and maintenance of the project?

## **COLLABORATION/COORDINATION**

### **Collaboration with Organizations**

1. Describe partnerships with nonprofit groups, citizens' groups, non-governmental organizations and public or governmental agencies and their corresponding roles.
2. How does the project incorporate participation of local agencies, nonprofits, non-governmental organizations and citizens' groups in project planning, design, or implementation?
  - Describe any work completed on the project to date by each of the groups identified above.
  - Describe any outreach efforts in bringing groups from diverse cultural backgrounds and incomes into the planning process.
3. Has it been determined whether the California Conservation Corps (CCC) and/ or the California Association of Local Conservation Corps (CALCC) will be involved in the construction of the project?
  - If yes, to what extent?
  - If no, please explain. (*Note: If a determination was made that the CCC or local Corp cannot be used, please provide concurrence from the Corp.*)
4. Are there relevant local land use, watershed, water management or general plans that include the project?
  - How is the project consistent with these plans?
  - Has this project been coordinated with local land use authorities?

### **Community**

1. Describe community involvement and support for the project, including watershed groups, appropriate business groups, landowners, local governments, environmental groups, technical experts, neighborhood associations and individual citizens, etc.

2. Has there been any opposition to the project? If so, explain the nature of the concerns and how they were addressed.
  - Describe efforts to address potential conflicts between competing user groups.
3. Explain plans to keep the community informed and involved in the project.

### **Project Need**

1. Describe any compelling reason(s) (timing, loss of matching funds, project momentum, etc.) the grant review team should select the project:
  - Is there an urgent need to implement the project?
  - What will happen to the project site if this project does not occur?
  - Describe any future actions needed beyond the scope of this project to fully address the overall project goals.
2. Is the project a continuation of previously completed work, and if so, is this next phase crucial for the continued success of the prior work? If the previous work was funded by Agency, list the project name.

### **PROJECT READINESS**

#### ***Development Projects Answer the Following:***

Projects that are “shovel ready” may be more competitive for funding.

1. For development projects, explain the status and timeline of each of the following:
  - Preliminary plans
  - CEQA compliance
  - Commitments from project partners, etc.
  - Plant list (Drought tolerant, predominately native, low-water usage, appropriate habitat for site, nothing larger than 15 gallon)
  - Land access/tenure agreements, permits or reviews by other agencies
  - Project mitigation requirements (permits or environmental clearance)
  - Property restrictions and/or encumbrances (including Caltrans, utilities, railroad etc.)
  - Phase 1/Phase 2 Assessment including soil testing/water quality assessment as appropriate
2. Describe any possible factors which could significantly delay the implementation and/or completion of the project and how these factors will be addressed (e.g., permitting delays, habitat seasonal restrictions, community outreach, etc.).
3. Are there any toxins on the property? Has a Phase I or Phase II Toxic Report been done? If so, address timing of clean-up, type of toxins and delays to project construction that might result from toxins on the site.
5. Are there other impediments on the project site (e.g., overhead or underground utilities)? If so, explain their location and nature, including any mitigation measures planned.

6. Does the applicant own the property to be developed? If not, please indicate all entities with jurisdiction and approval power over the project – e.g., county flood control agencies, Army Corp of Engineers, Southern Pacific Railroad, Southern California Edison, etc.
7. Describe any due diligence to determine whether there are any abandoned mines on or near the property? Has the Department of Conservation been consulted?

***Acquisition Projects Answer the Following:***

1. Describe the actions to be taken after the acquisition is completed to develop the project. Describe the timeline to begin development (habitat or stream restoration, etc.).
2. Indicate how many parties will be involved in the transaction, their roles, and whether any party other than the applicant owns an option to buy the real property in question.
3. Address the status and timeline of all the following:
  - CEQA compliance
  - Commitments from project partners and contractors
  - Details on sale including comparable sales data
  - Appraisal
  - Preliminary title report
  - Property restrictions and/or encumbrances
  - Negotiations with a willing seller
  - Phase 1/Phase 2 Assessment including soil testing/water quality assessment as appropriate
4. For conservation easements, describe plans for perpetual stewardship and address the ongoing funding that will be needed to support the terms and conditions of the stewardship plan.

***ADDITIONAL PROJECT CHARACTERISTICS***

Improving environmental quality, addressing climate change through a reduction of greenhouse gas emissions and adaptation, conserving natural resources, and improving public health are among the additional benefits that may be achieved by an Urban Rivers project.

1. If the project meets other statutory conditions in addition to the two conditions previously answered, please describe here.
2. If the project addresses environmental issues not previously discussed, describe here.
3. If the project is accessible to the public, how will appropriate security and safety be provided?
4. If the project is part of a larger community-wide health initiative/coalition, provide details.
5. Describe any public health agencies or groups involved in developing or promoting the project and any other public health benefits provided by the project.

6. Innovation: This program gives special consideration to projects that adopt innovative conservation, environmental enhancement, and community involvement approaches into the design and implementation.
  - Describe how the project is innovative and creative.
  - Describe how this project is requiring an approach that is “out of the box” (paradigm shift).
  - Describe how this project might be used as a model, or easily transferred to other communities and/or organizations, or explain the unique conditions in the community that make this project a good fit.
  - Identify any unique partnerships, design parameters, performance measures, or potential outcomes planned for your project.
  - Innovative projects can generally satisfy more than two of the minimum statutory requirements. Explain how your project uses an idea or process to achieve the greatest number of environmental benefits beyond the minimum requirements.

### *LEVERAGING FUNDING SOURCES*

Priority will be given to projects that leverage private, federal, or local funding, or produce the greatest public benefit.

1. Identify the source and amount of funds currently committed to the project and expected timing of funds. Cite specific dollar amounts for cash contributions, in-kind services, volunteer effort, donated labor and materials, technical expertise, etc.
2. Indicate any other grants where funding has been requested, the requested amount, and the expected notification date.
  - If funding is not received from other sources, is the requested grant amount sufficient to complete the project? Explain.
3. What other options are available to meet the project objectives if this grant request is not successful?
4. What is the contingency plan for implementation if the project is over budget?

## VII. REQUIRED SUPPORTING MATERIALS

These documents will give reviewers a better understanding of what was described in the narrative. Please refer to Application Package Checklist (page 23) for the appropriate number of copies of each of the following, to submit with the application package.

### *FOR ALL PROJECTS:*

1. **Location Map** – Directional map, with enough detail to allow a person unfamiliar with the area to locate the project site. Streets and other notable landmarks should be clearly marked to allow for easy identification. Maps or images must fit into an 8½” x 11” folder.
2. **USGS 1:24,000 Scale Quad Map** – Project area should be clearly marked.
3. **Site Plan** – All site plans should contain details of the property. Indicate the names and location of rivers, creeks or streams that abut or cross the property, other natural/geologic features, as well as any existing buildings and/or impediments (wells, storm drains, power lines, etc.), including exterior boundaries, public access points (if applicable) and proposed signage (bond acknowledgement signage and any interpretive signage).

For all projects that cite stream and streamside habitat restoration as an objective, submit the following information:

- Summary of a concept restoration plan that includes a cross-section, and plan-view and longitudinal profile of the proposed restoration project.
- Submit the same information and views for existing conditions.
- A list of plants that currently inhabit the site (dominant overstory and understory species) and **an appropriate local native plant species list, size included, proposed for implementation**. Please include container sizes when possible. This program will not participate in projects that include plantings more than 15 gallon and that are not appropriate for the area.
- Any additional maps, photos, etc. that will help evaluate the benefits of the project.

For development projects, the site plan should include details regarding the location of the improvements, including all amenities. Plan should be specific enough to allow someone unfamiliar with the project to visualize it in detail. Site plans of a future or master plan may be submitted but should not replace the project site plan.

4. **Photographs** – Provide up to five (5) labeled color photographs of different views of the project site reflecting current conditions, flooding or erosion problems, and/or the locations of restoration work. Pictures should be no larger than 8 ½ by 11 inches.
5. **Urban Water Management Plan** (if applicable) – If applicant is an urban water supplier, provide a copy of an urban water management plan in accordance with the Urban Water Management Planning Act.
6. **Agricultural Water Management Plan** (if applicable) – If applicant is an agricultural water supplier, provide a copy of an agricultural water management plan in accordance with the Agricultural Water Management Planning Act.

7. **Signed Authorizing Resolution** – Provide a signed authorizing resolution from governing board (see page 24). Certification Letter acceptable for agencies without a governing board (see page 25). Resolutions may be submitted later than the application filing deadline if the board meeting schedule prohibits the applicant from obtaining a signed resolution at application filing. Submit the draft resolution(s) and indicate the board meeting date(s) when the resolution(s) will be adopted. Provide the adopted Resolution as soon as it comes available.
8. **Other Sources of Funds** – Identify all funding sources necessary to complete the project. Indicate if funds have been committed or requested and provide evidence. Include cash contributions, in-kind services, volunteer efforts, donated labor and materials, technical expertise, etc. Cite specific dollar amounts and the percentages of the total project funding provided from all sources.
9. **Eligibility for Nonprofit Applicants** – (if applicable) Evidence that the corporation is qualified under Section 501(c)(3) of the *Internal Revenue Service Code*. Entities must have active status with the Secretary of State.
10. **Local support** - Applicants that are not a city or county must provide evidence of collaboration and support from the applicable local jurisdiction.
  - If your project meets the groundwater recharge statutory condition, please also provide evidence of collaboration with entities working on, or have jurisdiction over water quality and supply within, or adjacent to the project location.
11. **Status of Environmental Compliance (CEQA)** (see page 26)
12. **Disadvantaged Community** - Evidence project qualifies as a disadvantaged community. Provide documentation to support the Disadvantaged Community determination as defined in these guidelines (page 27).

*DEVELOPMENT PROJECT ONLY:*

13. **Property Data Sheet** – For development projects, complete the property data sheet for all parcels included in the project (see page 29).
14. **Assessor's Parcel Map** – Photocopy from Assessor's Office, with project parcels highlighted and full parcel numbers clearly labeled.
15. **Adequate Site Control/Land Tenure** – Provide copies of documents identifying current ownership information associated with each and every parcel involved in the project.

Examples of such documents include tax records, owner data sheets from county records, recorded deeds, title reports or other documents that verify ownership. All documents verifying ownership must have the parcel numbers clearly indicated on the document (handwritten acceptable).

If applicant does not own all of the parcels, provide a copy of an agreement that gives the applicant legal access, permission to construct and maintain the project for the required number of years, based on the size of grant requested (See page 28). For the purposes of the application, it will be sufficient to submit a letter from each landowner identifying the



parcel(s), and indicating that, if awarded funding, the owner is willing to enter into a long-term agreement with the applicant to allow long-term access for construction, maintenance and public use of project on the affected parcel(s).

**16. Cost Estimate** – For development projects, provide a cost estimate reflecting all costs associated with the project. Identify costs included in the grant request and costs covered by other funding sources. Show all costs by type, unit, quantity and total dollar amount. Projects using in-house services must also detail the labor, materials and equipment costs as separate line items. Include Proposition 1 acknowledgement signage costs as an individual line item (see page 30).

**17. Project Permit/Approval Status** – For development projects, indicate the types of permits necessary to complete the project, permitting submittal and acquisition status, and potential project delays due to permitting (see Project Permit/Approval Status, page 33).

**18. Operations and Maintenance** - If operations and maintenance will be performed by an entity other than the applicant explain and provide evidence of concurrence from that entity, e.g., memoranda of understanding, operational agreement, letters of intent, etc., signed by all parties. If an agreement has not yet been executed, a signed letter by the other party indicating their intent to enter into such an agreement is acceptable.

**19. Corps Consultation Form** – Provide form completed by the California Conservation Corp or the local corp in project jurisdiction (see page 34).

#### *ACQUISITION PROJECTS ONLY:*

**20. Land Acquisition Form** – Submit a Land Acquisition Form for each escrow (see page 37).

**21. Assessor's Parcel Map** – Photocopy from Assessor's Office, with project parcels highlighted and full parcel number clearly labeled.

**22. Evidence of Willing Seller** – For acquisitions, provide a letter from EACH landowner indicating they are a willing participant in the proposed real property transaction (see page 39). The letter should clearly identify the parcels owned by each willing seller and indicate that if grant funds are awarded, the seller is willing to enter into an agreement or negotiation for an agreement for the sale of the real property at a purchase price not to exceed fair market value.

- If the grantee has plans to immediately transfer title to the property, a letter of agreement between the grantee and the eventual title holder must be also be included with the application. All transfers must be approved by the State.

**23. Stewardship Plan** – If acquiring a conservation easement, provide a plan describing the proposed restrictions and reservations for the easement and the funding mechanism available to support the plan.

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## **VIII. APPENDICES**

### **SAMPLES, TEMPLATES, and INSTRUCTIONS FOR APPLICATION**

- A. Application Package Checklist (page 23)
- B. Resolution Template (page 24)
- C. Certification Letter Requirements (page 25)
- D. Environmental Compliance Summary (page 26)
- E. Disadvantaged Communities Tool (page 27)
- F. Site Control/Land Tenure Requirements (page 28)
- G. Property Data Sheet (page 29)
- H. Cost Estimate (page 30)
- I. Eligible Costs (page 31)
- J. Project Permit/Approval Status (page 33)
- K. Corps Consultation Form (page 34)
- L. Land Acquisition Form & Instructions (page 37)
- M. Willing Seller Letter (page 39)

### **ADDITIONAL INFORMATION AND DOCUMENTS**

- N. Signage Guidelines (page 40)
- O. Memorandum of Unrecorded Grant Agreement/ Deed Restrictions (page 41)
- P. Urban Rivers Program Implementing Statute (page 42)
- Q. Glossary (page 45)

## APPENDIX A: APPLICATION PACKAGE CHECKLIST

Submit one Application Package for each **project**. Application Packages should be organized in the following order. Clearly number and label each item and number all pages in sequential order. The appropriate number of copies should be provided. Bind packages with binder clips only. Do not put in folders or notebooks. All items will also be submitted online through SOAR (see page 7 for instructions).

**Submit two (2) unbound copies (one original and one copy) of all items besides CEQA (one only)**

<b>Completed Application Form</b> – page 8 <input type="checkbox"/> One application form <input type="checkbox"/> Original application form with <b>original signature</b>	<input type="checkbox"/>
<b>One-page summary</b> - page 9	<input type="checkbox"/>
<b>Eligibility checklist</b> - page 10	<input type="checkbox"/>
<b>Evaluation Criteria</b> - page 11 (Limit 15 pages)	<input type="checkbox"/>
<b>Project location map</b> - page 19	<input type="checkbox"/>
<b>USGS quad map</b> (1:24,000 scale) - page 19	<input type="checkbox"/>
<b>Site plan (with supporting documents: cross section, plant list, etc.)</b> - page 19	<input type="checkbox"/>
<b>Photographs</b> - page 19	<input type="checkbox"/>
<b>Urban or Agricultural Water Management Plan (if applicable)</b> - page 19	<input type="checkbox"/>
<b>Signed authorizing resolution <u>or</u> certification letter from CEO</b> – page 20 <input type="checkbox"/> Resolution Template –page 24 <input type="checkbox"/> Certification Letter Template –page 25	<input type="checkbox"/>
<b>Other sources of funds</b> - page 20	<input type="checkbox"/>
<b>Eligibility for nonprofit applicants</b> - page 20	<input type="checkbox"/>
<b>Local support letters</b> - page 20 <input type="checkbox"/> Also include further evidence of collaboration with proper entities if meets groundwater recharge statutory condition	<input type="checkbox"/>
<b>Environmental Compliance (CEQA) – WITH ORIGINAL ONLY</b> - page 20 <input type="checkbox"/> Copy of minimum required CEQA documents listed on Summary –page 26	<input type="checkbox"/>
<b>Evidence of Disadvantaged Area</b> (if applicable)- page 20, 27	<input type="checkbox"/>

**For Development Projects: Also submit two (2) unbound copies (one original and one copy)**

<b>Property Data Sheet</b> –page 20, 29	<input type="checkbox"/>
<b>Assessor’s Parcel Map(s) of all parcels</b> - page 20	<input type="checkbox"/>
<b>Adequate site control/land tenure</b> - page 20, 28 Proof of ownership (tax rolls, grant deed, etc.)	<input type="checkbox"/>
<b>Cost estimate (development projects)</b> - page 21, 30	<input type="checkbox"/>
<b>Project permit / approval status</b> –page 21, 33	<input type="checkbox"/>
<b>Operations &amp; maintenance documents</b> - page 21	<input type="checkbox"/>
<b>Consultation Form from CCC or local corps</b> - page 21, 34	<input type="checkbox"/>

**For Acquisition Projects: Also submit two (2) unbound copies (one original and one copy)**

<b>Land acquisition form</b> - page 21, 37	<input type="checkbox"/>
<b>Assessor’s Parcel Map(s) of all parcels</b> - page 21	<input type="checkbox"/>
<b>Evidence of willing seller (Willing Seller Letter or Purchase Option Agreement)</b> –page 21, 39	<input type="checkbox"/>
<b>Stewardship plan (conservation easements)</b> - page 21	<input type="checkbox"/>

**APPENDIX B: RESOLUTION TEMPLATE**

Resolution No: \_\_\_\_\_

**RESOLUTION (GOVERNING BODY OF APPLICANT)**

**APPROVING THE APPLICATION FOR GRANT FUNDS FOR THE CALIFORNIA URBAN RIVERS GRANT PROGRAM UNDER THE WATER QUALITY, SUPPLY, AND INFRASTRUCTURE IMPROVEMENT ACT OF 2014 (Proposition 1)**

WHEREAS, the Legislature and Governor of the State of California have provided funds for the program shown above; and

WHEREAS, the California Natural Resources Agency has been delegated the responsibility for the administration of this grant program, establishing necessary procedures; and

WHEREAS, said procedures established by the California Natural Resources Agency require a resolution certifying the approval of application(s) by the Applicants governing board before submission of said application(s) to the State; and

WHEREAS, the Applicant, if selected, will enter into an agreement with the State of California to carry out the project

NOW, THEREFORE, BE IT RESOLVED that the \_\_\_\_\_ (Governing Body)

1. Approves the filing of an application for the (*name of the project*);
2. Certifies that Applicant understands the assurances and certification in the application; and,
3. Certifies that Applicant or title holder will have sufficient funds to operate and maintain the project(s) consistent with the land tenure requirements; or will secure the resources to do so; and,
4. Certifies that it will comply with all provisions of Section 1771.5 of the California Labor Code; and,
5. If applicable, certifies that the project will comply with any laws and regulations including, but not limited to, the *California Environmental Quality Act (CEQA)*, legal requirements for building codes, health and safety codes, disabled access laws, and, that prior to commencement of construction, all applicable permits will have been obtained; and,
6. Certifies that applicant will work towards the State Planning Priorities intended to promote equity, strengthen the economy, protect the environment, and promote public health and safety as included in Government Code Section 65041.1, and
7. Appoints the (*designate position, not person occupying position*) \_\_\_\_\_, or designee, as agent to conduct all negotiations, execute and submit all documents including, but not limited to applications, agreements, payment requests and so on, which may be necessary for the completion of the aforementioned project(s).

Approved and adopted the \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_. I, the undersigned, hereby certify that the foregoing Resolution Number \_\_\_\_\_ was duly adopted by the \_\_\_\_\_ (*Governing Body*).

Following Roll Call Vote: Ayes: \_\_\_\_\_  
Nos: \_\_\_\_\_  
Absent: \_\_\_\_\_

\_\_\_\_\_  
Clerk/Secretary for the Governing Board

## APPENDIX C: CERTIFICATION LETTER REQUIREMENTS

If an applicant does not have a governing board, a certification letter from the organization's director or chief executive officer must be furnished. The letter must:

1. Approve the application for grant funds from the Urban Rivers Grant Program under the *Water Quality, Supply and Infrastructure Improvement Act of 2014*.
2. Approve the filing of an application for the (*project*).
3. Certify that the applicant understands the assurances and certification in the application.
4. Certify that applicant or title holder has or will have sufficient funds to operate and maintain the project(s).
5. Certify that the project will comply with any laws and regulations that apply to development projects including, but not limited to, the *California Environmental Quality Act* (CEQA), legal requirements for prevailing wages, building codes, health and safety codes, and disabled access laws.
6. Certify that prior to commencement of construction all applicable permits will have been obtained.
7. Certify that it will comply with all provisions of Section 1771.5 of the California Labor Code.
8. Certifies that applicant will work towards the State Planning Priorities intended to promote equity, strengthen the economy, protect the environment, and promote public health and safety as included in Government Code Section 65041.1.
9. Appoint the (***designate position, not person occupying position***), or designee, \_\_\_\_\_ as agent to conduct all negotiations, execute and submit all documents including, but not limited to applications, agreements, payment requests and so on, which may be necessary for the completion of the aforementioned project(s).
10. Contain the signature of the Director or Chief Executive Officer and date of signature.

## APPENDIX D: ENVIRONMENTAL COMPLIANCE SUMMARY

To demonstrate compliance with the California Environmental Quality Act (CEQA) Public Resources Code, Sections 21000 et seq. Applicants must submit one of the following:

- a) Notice of Exemption stamped by the county clerk if the Urban Rivers Project is categorically exempt.
- b) Negative Declaration and Initial Study including the checklist and Notice of Determination stamped by the county clerk or State Clearinghouse with the State Clearinghouse response, as applicable.
- c) Final Environmental Impact Report with Initial Study including the checklist and Notice of Determination with State Clearinghouse response.

For b and c: include documentation that the State of California Department of Fish and Game CEQA fee was paid or is not applicable.

- d) A current and complete Initial Study with a description of how the Grantee will complete CEQA compliance within one year from date of Grant Agreement. Remaining CEQA requirements may be met as part of the grant work plan. However, grant Funds for construction or Acquisition will be available only after the Project is in compliance with CEQA and other environmental laws. Funds for Planning and document preparation may be available sooner if included in the grant work plan.
- e) For Urban Rivers Projects included in a Master Environmental Impact Report (MEIR), CEQA compliance shall include a copy of the subsequent Initial Study for the proposed Project together with a copy of the Notice of Determination, stamped by the county clerk or State Clearinghouse, as applicable.

Where a lead agency cannot make the findings required in Section 21157.1 Subdivision (c) of the California Public Resources Code for a subsequent Project, CEQA compliance shall include a copy of the Mitigated Negative Declaration or Environmental Impact Report.

## APPENDIX E: DISADVANTAGED COMMUNITIES TOOL

For the purposes of this program, the project must be primarily or substantially within, adjacent to, or one mile from the geographic boundary of the Disadvantaged Community to be considered “serving” the Disadvantaged Community.

To determine if the Urban Rivers project is located within or serves a Disadvantaged OR Severely Disadvantaged Community, the following questions should be addressed:

- What communities are located within the project area?
- Does the project serve any communities located adjacent to or within one mile of the project area?
- Do any of the communities located within, immediately adjacent to or within one mile of the project area have a median household income (MHI) of less than:
  - \$ 47, 942 (or 80% of the statewide annual median household income), the community is considered **disadvantaged**.
  - \$ 35,956 (or 60% of the statewide annual median household income), the community is considered **severely disadvantaged**.

### Accessing Census Data for Project Service Area:

Applicants may use California State Parks’ Community Fact Finder to pinpoint the project service area (within ½ mile radius) and determine its MHI using the following steps:

1. Open <http://www.parkinfo.org/factfinder2011/grantee.html> to access California State Parks’ Community Fact Finder.
2. Once in the Community Fact Finder, obtain MHI data for the project area by (1) entering the project site address or (2) specifying a custom service area by using the zoom feature on the map.
  - a) If the project site has a specific address, click in the box that says “Type Project Address”, type the address and click “Go”. This brings up the map of the project area. The blue circle represents a ½ mile radius around the project address. To submit the MHI information for the project service area, click “Create Report (PDF)”, print report, and submit with the Grant Application as required in the What to Submit section.
  - b) If the project does not have a specific address but will serve a specific neighborhood, parts of the city or county, etc., a custom service area needs to be specified. Double click on the California map on the right side of the screen in the area/city closest to the project. (Use the blue slide bar on the right to switch the map between Northern and Southern California.) Keep double clicking on the area until the map has zoomed sufficiently to show the project area. Also use the arrows on the left side of the map to move left, right, up or down, as necessary. Once the blue circle (representing ½ mile radius) “frames” the project area correctly, click “Create Report (PDF)”, print the report, and submit with the Grant Application.

## **APPENDIX F: SITE CONTROL/LAND TENURE REQUIREMENTS**

The State recognizes that specific activities may change over time; however all uses on the project property must remain compatible with the Urban Rivers Grant Program in accordance with the following requirements:

### **Acquisition projects -**

The grantee or the grantee's successor in interest shall hold the real property in perpetuity only for the purpose for which the grant was made and make no other use or sale or other disposition of the property without the written permission of the State.

### **Development projects -**

The grantee shall maintain and operate the property developed pursuant to this grant for a period of:

- a. Up to 10 years for grants up to \$100,000
- b. At least 20 years for grants up to \$1 million
- c. At least 25 years for grants over \$1 million

### **All projects**

- A document must be recorded against the real property that defines the State's interest in the property whether the grantee owns the property or not. Exceptions may be granted as appropriate and at the sole discretion of the State. A copy of the full grant terms and conditions may be obtained by contacting our office.
- The grantee shall not use or allow the use of any portion of the real property for mitigation (i.e., to compensate for adverse changes to the environment elsewhere) without the written permission of the State.
- The grantee shall not use or allow the use of any portion of the real property as security for any debt.
- With the approval of the State, the grantee or the grantee's successor in interest in the property may enter into an agreement with another party to maintain and operate the property in accordance with this program. At a minimum, the agreement must do the following:
  1. Clearly spell out the roles of each party in detail,
  2. Be signed by both parties signifying their acceptance,
  3. Not terminate prior to the length of site control/land tenure required by the grant agreement (only agreements that allow early termination for cause or by mutual consent will be acceptable) and,
  4. Include language that the grantee would resume responsibility for ongoing operations and maintenance in the event of cancellation.
- Grantee may be excused from its obligations for operation and maintenance of the project site only upon the written approval of the State for good cause. "Good cause" includes, but is not limited to, natural disasters that destroy the project improvements and render the project obsolete or impracticable to rebuild.



## APPENDIX G: PROPERTY DATA SHEET

Use the Property Data Sheet to list the owner(s) of all parcels included in the proposed project. Indicate and attach all required documents including any clarifying comments below. Attach additional sheets if necessary.

No	Owner Name	Assessor Parcel Number(s)	Acreage	If parcel(s) owned by applicant(s), indicate type of ownership			For all parcels, indicate document used to demonstrate ownership and attach a copy of each document-clearly labeled with the APN-to this document	If parcel(s) not owned by applicant(s) indicate document verifying Permission to Develop and attach						Entity to perform O&M	# of years O&M to be performed
				Fee Simple	Easement	Other (describe)		Proof of Ownership (tax bill, grant deed, etc.)	O&M Agreement	Lease	JPA	Letter from Owner	Other (describe)		
1															
2															
3															
4															
5															
6															
7															
8															
9															
10															

**Comments:**

Total Number of Parcels: \_\_\_\_\_ Total Number of Acres: \_\_\_\_\_

**APPENDIX H: SAMPLE COST ESTIMATE FORM FOR DEVELOPMENT URBAN RIVERS PROJECTS**

**Water Quality, Supply, and Infrastructure Improvement Act of 2014 – Proposition 1**

Attach the proposed budget. Where possible, quantify the components of the project (e.g. labor, materials, etc), the lateral and linear extent of restoration work, labor, materials, and equipment requirements. Indicate tasks to be funded by Urban Rivers and by other sources, as well as in-kind contributions. All cost elements included should be clearly described in the Project Application.

<b>Project Elements (SAMPLE ONLY)</b>	<b>Unit Price</b>	<b>Units</b>	<b>Quant.</b>	<b>Total Project Costs</b>	<b>Urban Rivers Grant</b>	<b>Local Contributions (Specify)</b>	<b>Other Funding Source(s) (Specify)</b>
<b><u>NON-CONSTRUCTION COSTS</u></b>							
<b>Direct Project Management &amp; Administration</b>							
Staff Time (direct costs only)		Hrs					
Incidental Charges	LS	LS	LS		<b>Ineligible</b>		
Consultants							
<b>Subtotal – Direct Management</b>							
<b>Planning, Design &amp; Permitting</b>							
Staff Time (direct costs only)		Hrs					
Consultants							
Permit Costs	LS	LS	LS				
<b>Subtotal - Planning, Design &amp; Permitting</b>							
<b>CEQA Compliance (if applicable)</b>							
Staff Time (direct costs only)		Hrs					
Consultants							
<b>Subtotal – CEQA</b>							
<b>SUB-TOTAL Non-Construction Costs</b> (not to exceed 25% of grant)							
<b><u>CONSTRUCTION COSTS</u></b>							
<b>Implementation/Construction – Contracted</b>							
Installed cost (Calif. Conservation Corps) planting							
Installed cost (Calif. Conservation Corps) trail							
<b>Implementation/Construction – Applicant</b>							
<b>Component Y</b>							
Labor (applicant’s personnel/direct costs only)		Hrs					
Materials							
Equipment							
<b>Component Z</b>							
Labor (applicant’s personnel/direct costs only)		Hrs					
Materials							
Equipment							
<b>SUB- TOTAL Construction Costs</b>							
<b>Contingency</b> (not to exceed 10% of grant)							
<b>PROJECT GRAND TOTAL:</b>							

Category listing should be detailed and customized to fit the project proposal. Each funding source, whether in-kind or cash should have its own column. Specify in-kind or cash in each column heading. The unit price multiplied by the quantity equals the Total Project Costs column. The Urban Rivers Grant and Other Funding Sources should also sum to the Total Project Costs column. LS = Lump Sum.

## APPENDIX I: ELIGIBLE COSTS

Direct project-related costs incurred during the project performance period specified in the grant agreement will be eligible for funding. All eligible project costs must be supported by appropriate documentation. **Costs incurred outside of the project performance period, and overhead rates/costs are not eligible for reimbursement** (see page 47 for definition of overhead costs).

Any project financed with funds made available by the *Water Quality, Supply, and Infrastructure Improvement Act of 2014* (Proposition 1) must comply with all provisions of the California Labor Code. Be sure to include prevailing wages in the cost estimates, as/if applicable. Refer to the Department of Industrial Relations' Division of Labor Statistics and Research Web site at <http://www.dir.ca.gov/DLSR/PWD/index.htm> for general prevailing wage determinations. For questions regarding prevailing wage, contact Department of Industrial Relations.

### A. Development

**Project Management** – Up to 25 percent (25%) of the grant funds may be spent on non-construction costs (CEQA compliance, environmental impact reports and assessments, planning and design, utility coordination, architecture and engineering, construction plans, bid preparation, direct project administration and management).

**Personnel or employee services** – Costs for services of the grantee's employees directly engaged in project execution must be computed according to the grantee's prevailing wage or salary scales, and may include fringe benefit costs such as vacations, sick leave, Social Security contributions, etc., that are customarily charged to the recipient's various projects. Costs charged to the project must be computed on actual time spent on the project and evidenced by time and attendance records describing the work performed on the project as well as payroll records. Overtime costs are allowed under the recipient's established policy provided the regular work time was devoted to the same project.

**Construction** - All necessary labor and construction activities, from site preparation (including demolition, excavation, grading, soil/water testing, monitoring during construction, on-site/field supervisor, etc.) to the completion of the project are eligible costs.

Equipment owned by the grantee may be charged to the project for each use. Equipment use charges must be made in accordance with the grantee's normal accounting practices. The equipment rental rates published by the California Department of Transportation or local prevailing rental rates may be used as a guide.

If the grantee's equipment is used, a report or source document must describe the work performed, indicate the hours used, relate the use to the project, and be signed by the operator and supervisor.

Equipment may be leased, rented, or purchased, whichever is most economical. If equipment is purchased, its residual market value must be credited to the project costs upon project completion.

Supplies and materials may be purchased for a specific project or may be drawn from a central stock, providing they are claimed at a cost no higher than paid by the grantee. When supplies and/or materials are purchased with the intention of constructing a piece of equipment, a structure or a part of a structure, the costs that are charged as supplies and

materials may be capitalized according to the grantee's normal practice or policy. If capitalized, only that cost reasonably attributable to the project may be claimed under the project.

**Other expenditures** - In addition to the major categories of expenditures, funding may be provided for miscellaneous costs necessary for execution of the project at the discretion of the State. Some of these costs may include:

- Premiums on hazard and liability insurance to cover personnel and/or property.
- Work performed by another section or department of the grantee's agency that can be documented as direct costs to the project. (See requirements above under personnel or employee services).
- Transportation costs for moving equipment and/or personnel.

## **B. Acquisition**

Costs of acquiring real property are eligible and include the purchase price of the property at the approved fair market value, appraisals, surveys for boundary adjustments, preliminary title reports, escrow fees and title insurance fees. Direct staff and consultant costs are limited to \$10,000 per grant. Costs of obtaining State approvals of purchase price and transaction reviews from the Department of General Services are also allowable.

Relocation costs are allowable for acquisition projects that result in displacement of any person and/or business. Grantee must comply with the State Relocation Act requirements (Government Code, Chapter 16, Section 7260 et seq.), even if relocation costs are not claimed for funding as part of the grant request.

## **C. All Projects**

**Contingency** – Up to 10% of the grant may be budgeted for contingency costs. All such costs must be eligible per these guidelines. Contingency funds may not be used to increase the amount of funds used for project management beyond the 10 % maximum nor any other caps set forth in the guidelines.

**Signs and interpretive aids** – Costs include construction of exhibits, kiosks, display boards or signs located at and communicating information about the project and the costs of required acknowledgement signs (see page 40).

## APPENDIX J: PROJECT PERMIT/APPROVAL STATUS

List is not all inclusive. It is Grantee's responsibility to comply with all applicable permits.

Permitting Agency	Type of Requirement	Required?	Applied?	Acquired?	Date Anticipated
<b>State Agencies:</b>					
California Department of Fish and Game	Streambed Alteration Agreement Permit (Section 1600)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
California Department of Fish and Game	Incidental Take Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
CalTrans	Encroachment Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Coastal Commission	Coastal Development Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Coastal Commission	Letter of Consistency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Regional Water Quality Control Board	401 Water Quality Certification or Waste Discharge Requirement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
State Water Resources Control Board	Water Rights Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
State Water Resources Control Board	General Industrial Storm Water Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Central Valley Flood Protection Board	Permission to Encroach on Waterways within Designated Floodways	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
State Lands Commission	Permit required if using State owned property	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
State Office of Historic Preservation	Cultural Resources-Submission of findings to State Historic Preservation Officer (National Historic Preservation Act, Section 106)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Federal Agencies</b>					
U.S. Fish and Wildlife Service (USFWS)	Section 7 consultation if federal nexus (see ACOE), or Section 10 Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
U.S. Army Corps of Engineers (ACOE)	Clean Water Act, Section 404 Permit, will consult w/USFWS & NMFS Section 7	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
U.S. Army Corps of Engineers	Rivers and Harbors Act, Section 10 Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
U.S. Coast Guard / U.S. Army Corps of Engineers	Rivers and Harbors Act, Section 9 Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
U.S. National Resources Conservation Service	Consultation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
National Marine Fisheries Service (NMFS)	Section 7 consultation if federal nexus see ACOE, or Section 10 Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Local and Regional Planning Agencies</b>					
City/County	Grading Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
City/County	Environmental Health Department	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
San Francisco Bay Conservation and Development Commission	Any relevant permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Tahoe Regional Planning Agency	Any relevant permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Local Resource Conservation District	Consultation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Flood Control Districts	Floodway & Hydrological Analysis	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Others</b> (e.g., CalRecycle, State Contractors Board, State Lands Commission):					
<b>Describe any potential delays due to permitting (indicate specific permits):</b>					

## APPENDIX K: CORPS CONSULTATION FORM

### California Conservation Corps and Certified Community Conservation Corps Proposition 1 - Water Bond Guidelines – Chapter 6

#### Corps Consultation Process

This process has been developed to ensure compliance with Division 26.7 of the Water Code, Chapter 6, Section 79734 that specifies the involvement of the CCC and the certified community conservation corps (as represented by the California Association of Local Conservation Corps-CALCC).

Section 79734 states “For restoration and ecosystem protection projects funded pursuant to this chapter, the services of the California Conservation Corps or a local conservation corps certified by the California Conservation Corps ***shall be used whenever feasible.***”

Applicants for funds to complete restoration and ecosystem protection projects shall consult with representatives of the California Conservation Corps (CCC) AND the California Association of Local Conservation Corps (CALCC), the entity representing the certified community conservation corps, to determine the feasibility of the Corps participation. Unless otherwise exempted (see notes below), applicants that fail to engage in such consultation should not be eligible to receive Chapter 6 funds. CCC and CALCC have developed the following consultation process for inclusion in Prop 1 – Chapter 6 project and/or grant program guidelines:

- Step 1: Prior to submittal of an application or project plan to the Funder, Applicant prepares the following information for submission to both the California Conservation Corps (CCC) and CALCC (who represents the certified community conservation corps):
- Project Title
  - Project Description (identifying key project activities and deliverables)
  - Project Map (showing project location)
  - Project Implementation estimated start and end dates

- Step 2: Applicant submits the forgoing information via email concurrently to the CCC and CALCC representatives:

California Conservation Corps representative:

Name: Wei Hsieh

Email: [Prop1@ccc.ca.gov](mailto:Prop1@ccc.ca.gov)

Phone: (916) 341-3154

California Association of Local Conservation Corps representative:

Name: Crystal Muhlenkamp

Email: [inquiry@prop1communitycorps.org](mailto:inquiry@prop1communitycorps.org)

Phone: 916-426-9170 ext. 0

- Step 3: Within five (5) business days of receiving the project information, the CCC and CALCC representatives will review the submitted information, contact the applicant if necessary, and respond to the applicant with a Corps Consultation Review Document (template attached) informing them:

- (1) It is NOT feasible for CCC and/or certified community conservation corps services to be used on the project; or
- (2) It is feasible for the CCC and/or certified community conservation corps services to be used on the project and identifying the aspects of the project that can be accomplished with Corps services.

Note: While the Corps will take up to 5 days to review projects, applicants are encouraged to contact the CCC/CALCC representatives to discuss feasibility early in the project development process.

The Corps cannot guarantee a compliant review process for applicants who submit project information fewer than 5 business days before a deadline.

Step 4: Applicant submits application to Funder that includes Corps Consultation Review Document.

Step 5: Funder reviews applications. Applications that do not include documentation demonstrating that the Corps have been consulted will be deemed “noncompliant” and will not be considered for funding.

**NOTES:**

1. The Corps already have determined that it is not feasible to use their services on restoration and ecosystem protection projects that solely involve either planning or acquisition. Therefore, applicants seeking funds for such projects are exempt from the consultation requirement and should check the appropriate box on the Consultation Review Document.
2. An applicant that has been awarded funds to undertake a project where it has been determined that Corps services can be used must thereafter work with either the CCC or CALCC to develop a scope of work and enter into a contract with the appropriate Corps. Unless otherwise excused, failure to utilize a Corps on such a project will result in Funding Entities assessing a scoring penalty on the applicant’s future applications for Chapter 6 Funds.

**California Conservation Corps and Certified Community Conservation Corps  
Proposition 1 - Water Bond  
Corps Consultation Review Document  
June 2015**

Unless an exempted project, this Corps Consultation Review Document must be completed by California Conservation Corps and Community Conservation Corps staff and accompany applications for projects or grants seeking funds through Proposition 1, Chapter 6, Protecting Rivers, Lakes, Streams, Coastal Waters and Watersheds. Non-exempt applications that do not include this document demonstrating that the Corps have been consulted will be deemed “noncompliant” and will not be considered for funding.

1. Name of Applicant: \_\_\_\_\_ Project Title: \_\_\_\_\_

Department/Conservancy to which you are applying for funding: \_\_\_\_\_

**To be completed by Applicant:**

Is this application solely for planning or acquisition?

- Yes (application is exempt from the requirement to consult with the Corps)
- No (proceed to #2)

**To be completed by Corps:**

This Consultation Review Document is being prepared by:

- The California Conservation Corps (CCC)
- California Association of Local Conservation Corps (CALCC)

2. Applicant has submitted the required information by email to the California Conservation Corps (CCC) and California Association of Local Conservation Corps (CALCC):

- Yes (applicant has submitted all necessary information to CCC and CALCC)
- No (applicant has not submitted all information or did not submit information to both Corps – application is deemed non-compliant)

3. After consulting with the project applicant, the CCC and CALCC has determined the following:

- It is NOT feasible for CCC and/or certified community conservation corps services to be used on the project (deemed compliant)
- It is feasible for the CCC and/or certified community conservation corps services to be used on the project and the following aspects of the project can be accomplished with Corps services (deemed compliant).

\_\_\_\_\_  
\_\_\_\_\_

CCC AND CALCC REPRESENTATIVES WILL RETURN THIS FORM AS DOCUMENTATION OF CONSULTATION BY EMAIL TO APPLICANT WITHIN FIVE (5) BUSINESS OF RECEIPT AS VERIFICATION OF CONSULTATION. APPLICANT WILL INCLUDE COPY OF THIS DOCUMENT AS PART OF THE PROJECT APPLICATION.



## APPENDIX L: LAND ACQUISITION FORM

### Water Quality, Supply, and Infrastructure Improvement Act of 2014 Proposition 1 - California Urban Rivers Grant Program

(Complete one form for **each escrow**)

<b>Project Title:</b>			
<b>Assessor's Parcel Number(s):</b>	<b>Acreage</b>	<b>Fee Title or Easement</b>	<b>Willing Seller Name and Address</b>
<b>ACQUISITION COST ESTIMATE</b>			
	<b>Total Costs</b>	<b>Urban Rivers Grant</b>	<b>Other Sources of Funds (specify by name)</b>
Estimated Fair Market Value of property			
Relocation Costs			
Preliminary Title Reports, Appraisal			
Escrow Fees, Title Insurance, Closing Costs			
Surveying (limited to boundary line adjustment)			
Direct costs (staff and consultants) – limited to \$10,000 per grant			
State approval costs of appraisal, transaction review etc.			
Contingency (Not to exceed 10% of total grant)			
Required signage			
Other (Specify)			
<b>Grand Total</b>			

<b>Acquisition Schedule</b>	<b>Timeframe</b>	<b>Comments</b>
Complete Appraisal		
Submit appraisal and title report for State review		
Submit instruments of conveyance, etc.		
Close of escrow (submit all final closing documents specified in the grant agreement)		
Install Bond Acknowledgement Sign		
Close-out		

## LAND ACQUISITION FORM, Continued - INSTRUCTIONS

### Complete a separate form for each escrow.

1. **Estimated Fair Market Value of Land and Improvements** – Provide an estimate for each parcel. On a separate sheet, describe existing improvements and explain the proposed use or disposition.

Note: The State must approve the fair market value of the acquisition.

2. **Relocation Costs** – Attach additional pages as needed. Provide a parcel-by-parcel analysis of the extent of the relocation assistance required by Government Code and the *State Relocation Act*, Chapter 16, Section 7260.

Include at a minimum:

- a. Number of persons/businesses displaced.
  - b. Types of displaced entities (families, small retail businesses, large wholesale or manufacturing enterprises, farms, churches, hospitals, etc.).
  - c. Tenure (month-to-month rent, long-term lease or fee title) of the displaced entities.
  - d. Special problems inherent in relocating the displaced entities (lack of adequate replacement housing, large inventory of merchandise to be moved, or unique quality of the enterprise difficult to duplicate at any other location).
3. **Preliminary Costs** – Provide an estimate of the preliminary acquisition costs. Direct staff and consultant costs are limited to \$10,000 per grant.
  4. **Cost of State Approval of Appraisal, Transaction Review, etc.** – For cost estimation purposes, use \$10,000 per escrow.
  5. **Contingency** – Grantees are allowed to use ten percent (10%) for contingency to cover unexpected eligible costs.
  6. **Required Signage** – Provide an estimated cost of required signage (see page 40).
  7. **Other** – Include any additional tasks directly related to the proposed acquisition.
  8. **Acquisition Timeline** – Provide the estimated dates of completion for each acquisition task. (Grantee should submit evidence of progress on the acquisition, e.g. appraisal, title report, purchase documents, correspondence with owner, etc., within 6 months of grant execution.) All escrows must close concurrently.

**APPENDIX M: WILLING SELLER LETTER (If Purchase Option Agreement not available)**  
(Acquisition Projects Only)

All acquisition application packages must include willing seller letters from each legal owner. The letter must include the following information and be signed and dated from the legal owner(s) of each parcel to be acquired.

***(Sample -- Willing Seller Letter)***

Date:

To: California Natural Resources Agency  
California Urban Rivers Grant Program

From: Name(s) of Legal Owner (*Trust, etc.*)  
Address of Legal Owner(s)

Re: Parcel numbers:  
County:  
Property Address:

To Whom It May Concern:

This letter is provided to confirm that (*name of owner, trust, etc.*), owner of the above referenced property, is a willing participant in the proposed real property transaction. Should grant funds be awarded to the grant applicant (*name of grant applicant*), then (*name of owner, trust, etc.*), as Seller, is willing to enter into negotiations for the sale of the real property for a purchase price not to exceed fair market value.

Acknowledged:

\_\_\_\_\_  
*Signature of land owner (trustee, etc.)*

\_\_\_\_\_  
*Date signed*

## APPENDIX N: SIGNAGE GUIDELINES

### Types of Signs

- 1) Construction - A sign acknowledging the funding source is required during construction.
- 2) Post Completion - All grantees are required to post a sign at the project site upon completion of the project. The sign must be available for the final inspection of the project and be in place for a minimum of four (4) years from date of project completion. There is no minimum or maximum size other than the minimum size for the logo as long as the sign contains the required wording.

If appropriate, the same sign can be used during construction and completion.

### Language for Signs

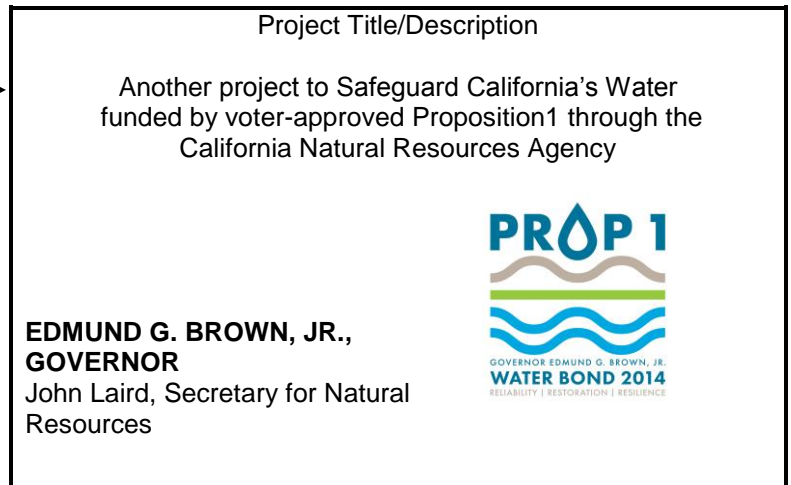
All signs will contain the following minimum language:

The name of the director of the local public agency or other governing body may also be added. The sign may also include the names (and/or logos) of other partners, organizations, individuals and elected representatives.

### Logo

All signs must contain the universal logo for the Infrastructure Improvement Act. This Proposition 1 logo is available at

[http://resources.ca.gov/bonds\\_and\\_grants/logos/](http://resources.ca.gov/bonds_and_grants/logos/). The logo must be mounted in an area to maximize visibility and durability. Each edge of the logo itself must be a minimum of 1' X 1'. Exceptions may be approved when appropriate at the discretion of the State.



### Sign Construction

All materials used shall be durable and resistant to the elements and graffiti. The California Department of Parks and Recreation and California Department of Transportation standards can be used as a guide for gauge of metal, quality of paints used, mounting specifications, etc.

### Sign Cost

The cost of the sign(s) is an eligible project cost. Permanent signage is encouraged.

### Appropriateness of Signs

For projects where the required sign may be out of place or where affected by local sign ordinances, the Grants Administrator in consultation with the grantee may authorize a sign that is appropriate to the project in question.

### Signs on State Highways

Signs placed within the state highway right-of-way may require a Caltrans encroachment permit. Contact the local Caltrans District Office early in the planning phases for more information. For locations, visit <http://www.dot.ca.gov/localoffice.htm>.

### State Approval

The grantee shall submit proposed locations, size, number of signs and language for review prior to ordering signs. Final funds for development projects will not be reimbursed until signage has been approved and installed.

**APPENDIX O: SAMPLE MEMORANDUM OF UNRECORDED GRANT AGREEMENT/  
DEED RESTRICTIONS**

Note: Deed Restriction is to be recorded at project completion. Do NOT include in application.

Recording requested by, and )  
 when recorded, return to: )  
 State of California )  
 Natural Resources Agency )  
 Bonds & Grants )  
 1416 Ninth Street, Suite 1311 )  
 Sacramento, CA 95814 )

Space above this line for Recorder's use

**MEMORANDUM OF UNRECORDED GRANT AGREEMENT**

This Memorandum of Unrecorded Grant Agreement (Memorandum), dated as of \_\_\_\_\_, 20\_\_\_\_, is recorded to provide notice of an agreement between the State of California, by and through the Natural Resources Agency ("Agency") and

\_\_\_\_\_  
 ("Grantee").

RECITALS

- On or about \_\_\_\_\_, \_\_\_\_\_, Agency and Grantee entered into a certain Grant Agreement, Grant No. \_\_\_\_\_ ("Grant"), pursuant to which Agency granted to Grantee certain funds for the acquisition of certain real property, more particularly described in attached Exhibit A and incorporated by reference (the "Real Property").
- Under the terms of the Grant, Agency reserved certain rights with respect to the Real Property.
- Grantee desires to execute this Memorandum to provide constructive notice to all third parties of certain Agency reserved rights under the Grant.

NOTICE

- The Real Property (including any portion of it or any interest in it) may not be sold or transferred without the written approval of the State of California, acting through the Natural Resources Agency, or its successor, provided that such approval shall not be unreasonably withheld as long as the purposes for which the Grant was awarded are maintained.
- The Grantee shall not use or allow the use of any portion of the real property for mitigation without the written permission of the State.
- The Grantee shall not use or allow the use of any portion of the real property as security for any debt.
- For additional terms and conditions of the Grant, reference should be made to the Grant Agreement, which is on file with the Natural Resources Agency, 1416 Ninth Street, Suite 1311, Sacramento, California 95814.

GRANTEE:

By:\_\_\_\_\_

## APPENDIX P: URBAN RIVERS PROGRAM IMPLEMENTING STATUTE

### WATER QUALITY, SUPPLY, AND INFRASTRUCTURE IMPROVEMENT ACT OF 2014 CHAPTER 188, STATUTES OF 2014

Division 26.7. This Division shall be known, and may be cited, as the Water Quality, Supply, and Infrastructure Improvement Act of 2014.

#### Chapter 2

79701.

The people of California find and declare all of the following:

- (a) Safeguarding California's supply of clean and safe water for homes, businesses, and farms is an essential responsibility of government, and critical to protecting the quality of life for all Californians.
- (b) Every Californian should have access to clean, safe, and reliable drinking water.
- (c) California has been experiencing more frequent and severe droughts and is currently enduring the worst drought in 200 years. These droughts are magnifying the shortcomings of our current water infrastructure.
- (d) California's water infrastructure continues to age and deteriorate. More than 50 years ago, Californians approved the construction of the State Water Project. In recent decades, however, that infrastructure has proven inadequate to meet California's growing needs.
- (e) This measure provides funding to implement the three objectives of the California Water Action Plan which are more reliable water supplies, the restoration of important species and habitat, and a more resilient and sustainably managed water infrastructure.
- (f) Developing and guarding our water resources is critical for California to maintain vibrant communities, globally competitive agriculture, and healthy ecosystems.
- (g) Encouraging water conservation and recycling are commonsense methods to make more efficient use of existing water supplies.
- (h) Sustainable water management in California depends upon reducing and reversing overdraft and water quality impairment of groundwater basins. Investments to expand groundwater storage and reduce and reverse overdraft and water quality impairment of groundwater basins provide extraordinary public benefit and are in the public interest.
- (i) Protecting lakes, rivers, and streams, cleaning up polluted groundwater supplies, and preserving water sources that supply the entire state are crucial to providing a reliable supply of water and protecting the state's natural resources.
- (j) The Water Quality, Supply, and Infrastructure Improvement Act of 2014 provides a comprehensive and fiscally responsible approach for addressing the varied challenges facing California's water resources.

79702.

For purposes of this chapter, the following terms have the following meanings:

- (a) "Acquisition" means obtaining a fee interest or any other interest in real property, including, easements, leases, water, water rights, or interest in water obtained for the purposes of instream flows and development rights.
- (b) "Stormwater" has the meaning set forth in subdivision (e) of Section 10573.
- (c) "Nonprofit organization" means an organization qualified to do business in California and qualified under Section 501(c)(3) of Title 26 of the United States Code.
- (d) "Public agency" means a state agency or department, special district, joint powers authority, city, county, city and county, or other political subdivision of the state.
- (e) "Secretary" means the Secretary of the State Resources Agency.

- (f) “Economically distressed area” means a municipality with a population of 20,000 persons or less, a rural county, or a reasonably isolated and divisible segment of a larger municipality where the segment of the population is 20,000 persons or less, with an annual median household income that is less than 85 percent of the statewide median household income, and with one or more of the following conditions as determined by the department:
- (1) Financial hardship.
  - (2) Unemployment rate at least 2 percent higher than the statewide average.
  - (3) Low population density.

79712.

- (a) Eligible applicants under this division are public agencies, nonprofit organizations, public utilities, federally recognized Indian tribes, state Indian tribes listed on the Native American Heritage Commission’s California Tribal Consultation List, and mutual water companies.
- (b) (1) To be eligible for funding under this division, a project proposed by a public utility that is regulated by the Public Utilities Commission or a mutual water company shall have a clear and definite public purpose and shall benefit the customers of the water system and not the investors.
- (c) (2) To be eligible for funding under this division, an urban water supplier shall adopt and submit an urban water management plan in accordance with the Urban Water Management Planning Act (Part 2.6 (commencing with Section 10610) of Division 6).
- (d) (3) To be eligible for funding under this division, an agricultural water supplier shall adopt and submit an agricultural water management plan in accordance with the Agricultural Water Management Planning Act (Part 2.8 (commencing with Section 10800) of Division 6).
- (e) (4) In accordance with Section 10608.56, an agricultural water supplier or an urban water supplier is ineligible for funding under this division unless it complies with the requirements of Part 2.55 (commencing with Section 10608) of Division 6.

79730. (Chapter 6)The sum of one billion four hundred ninety-five million dollars (\$1,495,000,000) shall be available, upon appropriation by the Legislature from the fund, in accordance with this chapter, for competitive grants for multi-benefit ecosystem and watershed protection and restoration projects in accordance with statewide priorities.

79735.

- (a) Of the funds authorized by Section 79730, one hundred million dollars (\$100,000,000) shall be available, upon appropriation by the Legislature, for projects to protect and enhance an urban creek, as defined in subdivision (e) of Section 7048, and its tributaries, pursuant to Division 22.8 (commencing with Section 32600) of, and Division 23 (commencing with Section 33000) of, the Public Resources Code and Section 79508.
- (b) (1) Of the funds authorized by Section 79730, twenty million dollars (\$20,000,000) shall be made available to the secretary for a competitive program to fund multibenefit watershed and urban rivers enhancement projects in urban watersheds that increase regional and local water self-sufficiency and that meet at least two of the following objectives:
  - (A) Promote groundwater recharge and water reuse.
  - (B) Reduce energy consumption.
  - (C) Use soils, plants, and natural processes to treat runoff.
  - (D) Create or restore native habitat.
  - (E) Increase regional and local resiliency and adaptability to climate change.
- (2) The program under this subdivision shall be implemented by state conservancies, the Wildlife Conservation Board, the state board, or other entities whose jurisdiction includes urban watersheds, as designated by the secretary. Projects funded under the program

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- shall be a part of a plan developed jointly by the conservancies, the Wildlife Conservation Board, the state board, or other designated entities in consultation with the secretary.
- (c) At least 25 percent of the funds available pursuant to this section shall be allocated for projects that benefit disadvantaged communities.
  - (d) Up to 10 percent of the funds available pursuant to this section may be allocated for project planning.



## APPENDIX Q: GLOSSARY – Definition of Terms

Unless otherwise stated, the terms used in these grant guidelines have the following meanings:

**Acquisition** - obtaining a fee interest or any other interest in real property, including, easements, leases, water, water rights, or interest in water obtained for the purposes of instream flows and development rights.

**Applicant** - an eligible organization requesting funding from a program administered by the State.

**Biotechnical Methods** - the use of mechanical elements in combination with live vegetation to arrest and prevent slope failures and erosion. The mechanical elements may include large organic structures like wood and natural rock as well as man-made materials like concrete and engineered rock revetment. The biological and mechanical elements must be appropriate to the site-specific landscape and must function together in an integrated and complementary manner.

**Bond or Bond Act** - Proposition 1 Water Quality Supply, and Infrastructure Improvement Act of 2014

**CEQA** – the California Environmental Quality Act, Public Resources Code Section 21000 et seq.; Title 14, California Code of Regulations, Section 15000 et seq.

**Conservation Easement** - any limitation in a deed, will or other instrument in the form of an Easement, restriction, covenant or condition which is or has been executed by or on behalf of the owner of the land subject to such easement and is binding upon the successive owners of such land, and the purpose of which is to retain land predominantly in its natural, scenic, historical, agricultural, forested or open-space condition (Civil Code Section 815.1).

**Development** - includes, but is not limited to, improvement, rehabilitation, restoration, enhancement, preservation, protection, and interpretation.

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

**Easement** - an interest in land entitling the holder thereof to a limited use or enjoyment of the land in which the interest exists.

**Enhancement** – modification of current conditions. May be used to describe an Urban Rivers project that would result in a natural resource, recreational area, or existing facility realizing desired improvements (e.g., increased riparian habitat, stormwater harvest, etc.) while considering the protection of the natural environment. It is distinguishable from “Restoration” in that it does not imply merely a return to natural conditions, but may include the provision of recreation or other aspects that were not originally part of the features.

**Environmental Justice** - the fair treatment of people of all races, physical and cognitive abilities, cultures and income with respect to the development, adoption, implementation, and enforcement of environmental laws, regulations and policies.

**Environmentally-Friendly Materials** - (EFM) inflict little or no harm on the environment either through their production or subsequent use. Some examples of EFM include: benches using

materials comprised of recycled post-consumer waste; trail surface constructed of durable natural materials such as decomposed granite (versus asphalt); or pier posts made of inert material such as recycled plastic (versus creosote-treated wood) that if lost during a flood event would pose little harm to the aquatic community.

**Fair Market Value** - the value placed upon the property as supported by an appraisal that has been reviewed and approved by the State.

**Fund or Funds** - The Water Quality, Supply, and Infrastructure Improvement Fund of 2014 created by Section created pursuant to Water Code Section 79715.

**Grant Agreement** - a contractual arrangement between the State and Grantee specifying the payment of funds by the State for the performance of specific project objectives within a specific project performance period by the Grantee.

**Grantee** - an applicant that has an agreement for grant funding with the State.

**Grants Administrator** - an employee of the State who manages the grants.

**Hardscape** - “engineered elements” within a natural environment. Examples of well engineered elements include: walkways in a dune area designed to work with or allow the uninterrupted and natural movement of sand; pedestrian/bikeway bridges across streams with support piers designed to accommodate the natural movement of sediment; or parking areas designed with permeable surface and/or storm water drainage systems to protect water quality by minimizing hydrocarbon-laden runoff into surface water.

**In-Kind** - non-cash donations, from governmental or private sources, and includes volunteers, materials and services.

**Land Tenure/Site Control** - the applicant owns the project land or has other legal long-term interest with the landowner that is satisfactory to the State (see pages 28).

**Local Public Agency** - any political subdivision of the State of California, including but not limited to any county, city, city and county, district, joint powers agency, local community conservation corps agency, or council of governments.

**Local Watershed Group** - a group consisting of owners and managers of land within the watershed of interest, local, State and federal government representatives and interested persons other than landowners, who reside or work within the watershed of interest, and may include other persons, organizations, Nonprofit corporations and businesses.

**Mutual Water Company** – any private corporation or association organized for the purposes of delivering water to its stockholders and members at cost, including use of works for conserving, treating and reclaiming water.

**Nonprofit Organization** - any nonprofit corporation qualified to do business in California, and qualified under Section 501 (c) (3) of Title 26 of the Internal Revenue Code.

**Other Sources of Funds** - cash or in-kind contributions that are required or used to complete the project beyond the grant funds provided by the Urban Rivers grant.

**Overhead/Indirect Costs** - expenses of doing business that are of a general nature and are incurred to benefit at least two or more functions within an organization. These costs are not usually identified specifically with a grant, Grant Agreement, Project or activity, but are necessary for the general operation of the organization. Examples of overhead costs include salaries and benefits of employees not directly assigned to a project; functions such as personnel, business services, information technology, janitorial, and salaries of supervisors and managers; and rent, utilities, supplies, etc. These costs are NOT eligible for reimbursement with grant funds, but may be used to show applicant's portion of costs.

**Planning** - specific preparations necessary to execute eligible Urban Rivers projects. Planning includes conceptual designs, pre-schematic work, such as initial architectural and engineering plans prepared during the preliminary project phase; schematic documents; technical consulting; construction design; preparation of construction bidding documents; permits or appraisals. Planning costs are distinct from "hard" project costs of actual construction or acquisition.

**Project** - the acquisition or development activity to be accomplished with Urban Rivers grant funds, and other funds if necessary, that meets eligibility requirements.

**Project Performance Period** - the beginning and ending dates of the grant agreement. Eligible costs incurred during this period may be funded from the grant.

**Project Scope** - the description or activity of work to be accomplished by the project.

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

**Rainwater** - precipitation on any public or private parcel that has not entered an offsite storm drain system or channel, a flood control channel, or any other stream channel, and has not previously been put to beneficial use.

**Restore or Restoration** - to reproduce and reestablish the physical and biological characteristics of a natural channel which would occur at a given location under the current climatic, geologic and hydrologic conditions. Either a natural channel that has been damaged or a channel that has been modified by human efforts can be restored.

**Riparian Habitat** - lands that contain habitat which grows close to, and which depends upon, soil moisture from a nearby freshwater source.

**Riverine** - living in, growing in, or located in a stream or river.

**Secretary** - the Secretary for Natural Resources or his/her representative.

**State** - a political subdivision of the State of California.

**Stewardship Plan** - a plan to provide ongoing implementation and management associated with the acquisition of a conservation easement.

**Stormwater** - temporary surface water runoff and drainage generated by immediately preceding storms.

**Urban Area** - a geographic area designated or defined as urban by an applicable plan covering the project area, including, but not limited to general plans, specific plans, or community plans.

**Watershed Management** – the local stewardship and partnerships among local government agencies, private interests and stakeholders for the protection, use, restoration and enhancement of water quality, water quantity, ecosystems, estuaries and floodplains.

**Willing Seller** - the project property owner(s) is/are a willing participant(s) in the proposed real property transaction and at a purchase price not to exceed fair market value as verified by the State.

**END OF GUIDELINES**



*EDMUND G. BROWN JR., Governor*  
*JOHN LAIRD, Secretary for Natural Resources*