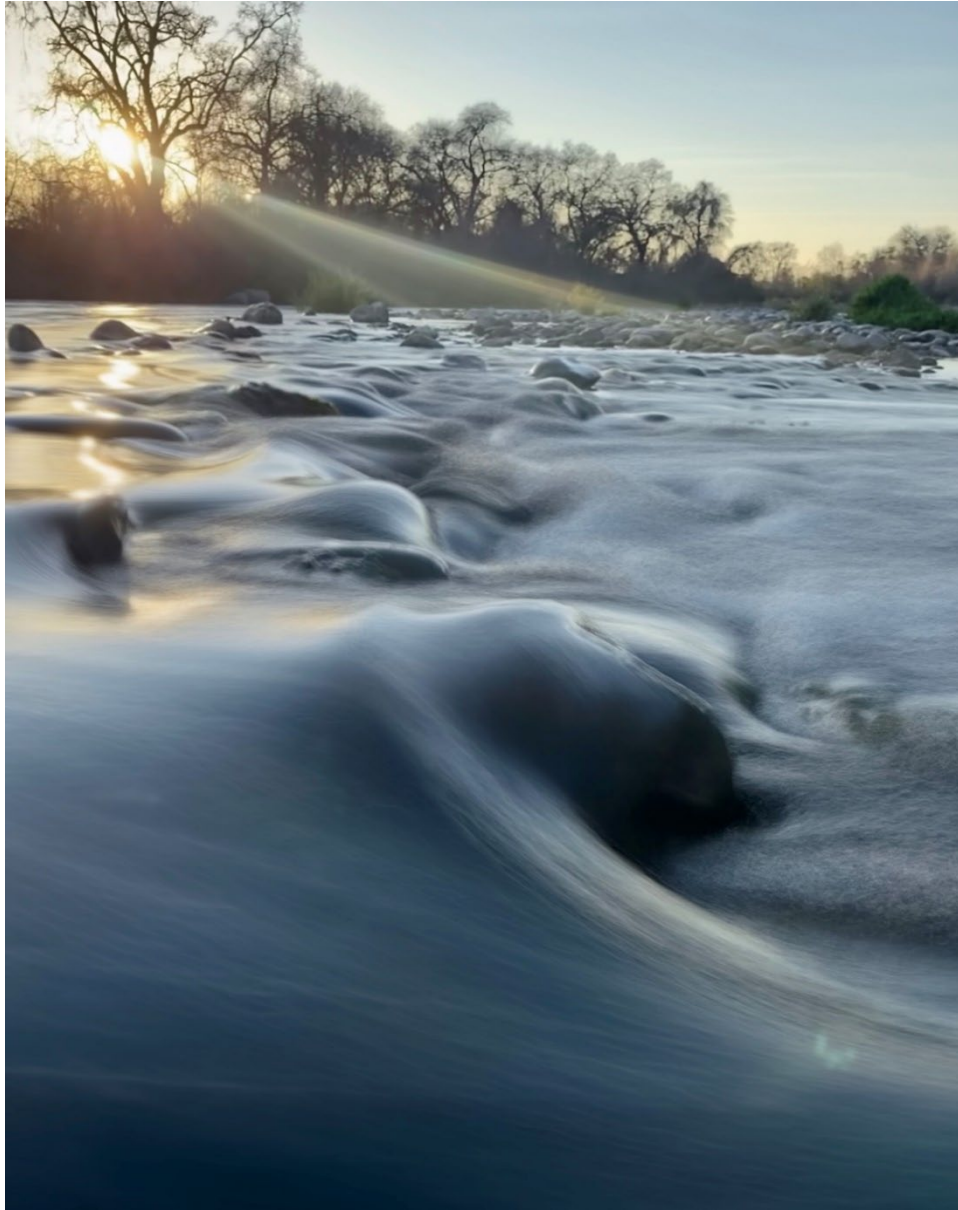


Riverine Stewardship Program

Final Guidelines and Proposal Solicitation Package



Department of Water Resources
Division of Regional Assistance
Division of Multibenefit Initiatives
Special Restoration Initiatives Branch

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INTRODUCTION

This Riverine Stewardship Program Guidelines (Guidelines) and Proposal Solicitation Package (PSP) establishes eligibility requirements and the process used to solicit applications, evaluate proposals, and award funding for the Riverine Stewardship Program (RSP), San Joaquin Fish Population Enhancement Program, and Urban Streams Restoration Program (USRP).

Program	Riverine Stewardship Program	San Joaquin Fish Population Enhancement Program	Urban Streams Restoration Program
Applicant	Requires single applicant, Local Public Agency.	Requires single applicant, Local Public Agency, Non-Profit, or Tribe.	Requires two applicants, including one Local Public Agency, Tribe, or Non-profit Organization and one Local Community Group.
Geographic Scope	Delta Export Service Area including the Association of Bay Area Governments (ABAG) cities, towns, and counties.	Lower San Joaquin River and its Tributaries Only.	Statewide.
Project Types	Habitat restoration, green infrastructure designs and solutions that improve water quality or supply issues that directly affect aquatic habitat or species, fish friendly intakes/diversions near agricultural drainage, barrier removal, or connectivity enhancements and gravel injection projects.	Fish migration enhancements including diversion modifications, spawning, and rearing habitat development, food web production, predator control, water temperature, and other water quality modifications.	Stream cleanups, bank stabilization projects, revegetation, recontouring of channels to improve floodplain functions and localized flood protection, acquisition of strategic floodplain properties.
Cost Share Required	No.	No.	Yes, projects funded with P68 funds require a minimum of 20% match of non-State sources unless the grant serves a DAC

The Riverine Stewardship Program was established in California Water Code (Water Code) section 7049 to implement watershed-based riverine and riparian stewardship improvements by providing technical and financial assistance in support of projects that reduce flood risk, restore and enhance fish populations and habitat, improve water quality, achieve climate change benefits, and in general ensure resilient ecological functions within areas that include rural, urban, or urbanizing areas of the state. The RSP coordinates implementation of the following sub-programs:

The RSP, supports fish passage improvements, and other similar projects to accomplish increased ecological, stream management, climate, and community improvement benefits. The RSP's goals include:

- (1) Protecting, restoring, and enhancing the natural environment of riparian systems.
- (2) Supporting innovations in green infrastructure that support fish migration improvements, and habitat enhancement that benefit aquatic species, by reconnecting aquatic habitat to help fish and wildlife endure drought and adapt to climate change.

The San Joaquin Fish Population Enhancement Program (SJFPEP) funds projects to:

- (1) Enhance native fish populations in the lower San Joaquin River watershed.
- (2) Reduce vulnerability of native fishes to water diversions, predation, and other impacts to their populations at all life stages within or upstream of the Sacramento-San Joaquin Delta (Delta).

A major objective of the SJFPEP is to improve conditions for survival of various life stages of salmonids and other native fishes in the lower San Joaquin River watershed.

The Urban Streams Restoration Program (USRP), established by Water Code section 7048 which declared that urban creek protection, restoration, and enhancement are best undertaken by local agencies and organizations with assistance from the State. The USRP funds projects and provides technical assistance to restore streams affected by urban development to a more natural state. The USRP goals include:

- (1) Protecting, enhancing, and restoring the natural ecological value of streams;
- (2) Preventing future property damage caused by flooding and bank erosion;
- (3) Promoting community involvement, education, and riverine stewardship.

A major objective of the USRP is to bring people together around projects that foster community relationships while ensuring the community's interests are incorporated into the project's planning, design, and outcomes. Local community-supported projects can support local economies, renew a community's understanding of the value of streams, and make streams a centerpiece for the community while expanding local contact with nature. The RSP objectives defined in the Water Code direct program staff to connect with communities and

encourage community participation in project development and stewardship.

Note: See Appendix B for definitions of select terms and acronyms used in this document.

2 FUNDING

2.1 Funding Overview

The RSP receives funds from several sources. These include the State's General Fund and the proceeds from various general obligation bonds. Each of these funding sources have different requirements as to what projects or activities may be funded as well as how the funds may be used. The California Department of Water Resources (DWR) will allocate available funding based on the requirements of each funding source and how those funds may best be used. Under no circumstances may an applicant or funding recipient request a different funding source be used for its proposal or project. The allocation of funds from a specific funding source to a specific proposal or project is within the sole discretion of DWR.

2.2 Funding Sources

Currently, the RSP has funding available from the following sources:

- The Costa-Machado Water Act of 2000 (Proposition 13; Wat. Code, § 79000 et seq.): Proposition 13 proceeds may fund projects that enhance native fish populations and reduce their vulnerability to water diversions at all life stages within or upstream of the Delta in the San Joaquin River Basin (Water Code, § 79190 et seq.). Additionally, Proposition 13 may fund projects located in the Delta Export Service Area designed to increase water supplies, enhance water supply reliability, or improve water quality. (Water Code, § 79205.2 et seq.)
- The California Drought, Water, Parks, Climate, Coastal Protection, and Outdoor Access For All Act of 2018 (Proposition 68; Pub. Resources Code, § 80000 et seq.); Safe Drinking Water, Water Quality and Supply, Flood control, River and Coastal protection Bond Act of 2006 (Proposition 84; Pub. Resources Code, SS 75001 et seq.): Proposition 68 and 84 proceeds may be used to implement the Urban Streams Program set forth in Water Code sections 7048-7049.
- The Budget Act of 2021 (Stats. 2021, Ch. 240, § 81): This General Fund appropriation and future appropriations are to be used to implement the Urban Streams Program set forth in Water Code sections 7048-7049 and San Joaquin Fish Population Enhancement Program.

Note: Chapter 3.5 (commencing with Section 11340) of Part 1 of Division 3 of Title 2 of the Government Code does not apply to the development and adoption of these Guidelines and selection criteria. As such, the existing regulations for the Urban Streams Restoration Program found in California Code of Regulations, Title 23, Division 2, Chapter 2.4 (sections 451.1–451.6, inclusive) are hereby rescinded and replaced with these Guidelines and criteria.

2.3 Implementation Grants

DWR funding applications under the RSP shall be awarded through a competitive process. These Guidelines apply to all applications submitted during a solicitation period, and such applications will be evaluated using the criteria presented in these Guidelines.

DWR will not revise the grant application package requirements during any period in which grant applications are being solicited. Sample grant application documents and templates can be found in Appendix A.

2.4 Technical Assistance

The RSP will consider requests for technical assistance based on the RSP's staff availability to provide technical assistance.

Technical assistance is defined as a range of multidisciplinary services that are provided by RSP staff to support development of a project that meets the RSP's goals. Entities that have received technical assistance from the RSP will have greater priority for project implementation grants in future solicitations.

Examples of technical assistance activities include, but are not limited to:

Planning and Design: Project concept development; project design or design criteria including habitat design and plant selection; cost estimates; and project management.

Environmental and Scientific: Watershed science; environmental planning; permit preparation; coordination with local, State, and federal regulatory agencies; protected species surveys and monitoring; construction monitoring; environmental compliance; iterative performance assessment; data collection; and study design.

Long-term Management: Land management (monitoring and maintenance) planning.

Outreach: Education and capacity building in local communities, curriculum development, meeting facilitation, and educational development.

2.5 Direct Expenditures

In addition to soliciting competitive grant applications, DWR reserves the right to use any or all of funds for direct expenditures that fulfill the requirements and intent of the legislation and DWR priorities. Direct expenditures must address an interest of the State and the RSP and may be proposed and approved at any time by DWR. Direct expenditures must meet the RSP eligibility criteria.

3 RSP ELIGIBILITY AND FUNDING REQUIREMENTS

The following are general requirements to apply for and receive funding under the RSP:

3.1 Applicant Eligibility

Tribes, local public agencies, and certified nonprofits are eligible to receive funding under the RSP as specified below. For-profit corporations, non-public entities, and individual landowners are not eligible. Other applicant types such as community groups, will be considered on a case-by-case basis.

3.2 General Grant Requirements

All applicants that are awarded funding must comply with the State's general grant requirements, a copy of which will be included in each agreement. Before proceeding with the application process, applicants must consider their ability to comply with these requirements. For a complete list of the general terms and conditions and eligible and non-eligible activities and costs included in all DWR grant agreements, please refer to the Funding Agreement Template, the "Funding Agreement (Contract) Template," which is posted on the RSP website and provides all of the details associated with contracting with the State, including a complete list of eligible project costs, procedures for disbursement of funds, and operation and maintenance requirements.

It is required that applicants review these terms to ensure acceptability before completing an application, since the terms will not be modified except under extraordinary circumstances. If an applicant cannot abide by the general terms and conditions set forth in the Funding Agreement Template, DO NOT submit an application.

3.3 Eligible Costs

Only costs incurred within the term of the executed grant agreement will be eligible for reimbursement. Eligible costs incurred will only be paid in arrears (via reimbursement through invoicing), except as set forth below. Typical activities that may be funded are listed below:

- Project planning.
- Engineering and design.
- California Environmental Quality Act (CEQA) document preparation and compliance.
- Environmental permitting and compliance.
- Acquisition of a conservation easement or other title restriction.
- Project implementation (includes construction).
- Grant administration.
- Project monitoring.
- Community education and outreach.
- Overhead expenses incidental to, but directly related to the funded project.
- Long-term management plan development.

3.4 Ineligible Costs

Costs that are generally not eligible may include, but are not limited to, the following:

- Indirect costs such as generic overhead or markup charges.
- Costs incurred outside the term of the grant agreement.
- Purchase of equipment that is not an integral part of the project.
- Establishing a reserve fund.
- Replacement of existing funding sources for ongoing projects.
- Expenses incurred in preparation of a proposal/application for the RSP or any other program.
- Payment of principal or interest of existing indebtedness or any other interest payments.
- Costs incurred as part of any necessary response and cleanup activities required under the Comprehensive Environmental Response, Compensation, and Liability Act; Resource Conservation and Recovery Act; Hazardous Substances Account Act; or other applicable law.
- Any federal or state taxes.

3.5 Conflict of Interest and Confidentiality

Applicants will be subject to State and federal conflict of interest laws. Failure to comply with these laws, including business and financial disclosure provisions, will result in the application being rejected and any subsequent Grant Agreement or contract being declared void. Other legal action may also be taken. Applicable statutes include, but are not limited to, Government Code section 1090 and Public Contract Code sections 10410 and 10411.

Applicants should note that by submitting an application they are waiving their rights to the confidentiality of that application. All applications will be public documents.

3.6 CEQA Compliance and Tribal Consultation

All activities funded pursuant to the RSP must comply with the California Environmental Quality Act (CEQA) (Pub. Resources Code, § 21000 et seq.). Any work that is subject to CEQA and funded under a grant agreement shall not proceed until documents that satisfy the CEQA process are received by DWR and DWR has completed its CEQA compliance. Alternatively, the grantee shall notify DWR if they believe their activities will not be considered a project under CEQA or that their activities qualify for a CEQA exemption. DWR must ensure the adequacy of the CEQA documents or CEQA exemption before it can provide funding; therefore, early coordination between the lead agency and DWR during the preparation of the CEQA documents will help expedite DWR's review and approval process.

If CEQA compliance by the grantee or lead agency is not complete at the time a

funding agreement is executed by the parties, once DWR has considered the environmental documents, it may decide to require changes, alterations, or other mitigation to the project or to not fund the project. Should the State decide to not fund the project, the funding agreement shall be terminated. Any work subject to CEQA that proceeds prior to DWR's review and approval process being completed will not be reimbursed and the amount will be reduced from the award amount.

Public Resources Code § 21080.3.1 requires the CEQA lead agency to consider project effects on Tribal cultural resources and to conduct consultation with California Native American Tribes. DWR recognizes the need for consultation regarding projects that affect California tribal communities. As such, applicants are required to consult with federally and non-federally recognized Tribes when and where appropriate for any projects that are including, or adjacent to, or related to Tribal lands or cultural resources. Public Resources Code section 21080.3.1 requires the CEQA lead agency to consider project effects on Tribal cultural resources and to conduct consultation with California Native American Tribes.

3.7 Labor Compliance and Prevailing Wages Provisions

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

3.8 Competitive Bidding and Procurement

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

To the extent feasible, DWR encourages the use of services of local and minority owned businesses.

3.9 Signage or Acknowledgement of Credit

To the extent practicable, a project supported by funds from the RSP will include

signage and other relevant forms of acknowledgement informing the public that the project received funds from DWR, and the specific source of bond funds. Specific verbiage will be included in the final grant agreement, depending on the funding source utilized.

3.10 Easements

The Grantee will prepare and execute a title restriction, easement, or other legal instrument that adequately describes and protects the project improvements funded through the grant award for the subject property in perpetuity, as approved by the State. The easement or other title restriction must be in the first position, ahead of any recorded mortgage or lien on the property unless this requirement is waived by the State.

Where the Grantee acquires an easement under this Agreement, the Grantee agrees to monitor and enforce the terms of the easement, unless the easement is subsequently transferred to another land management or conservation organization or entity with State permission, at which time monitoring and enforcement responsibilities will transfer to the new easement owner. Failure to provide an easement acceptable to the State prior to Project construction may result in termination of the Agreement and require the repayment of all grant funds disbursed to be repaid to the State.

3.11 Monitoring and Maintenance Plan

All grantees will be required to submit a Monitoring and Maintenance Plan (Plan) that reflects the realistic long-term monitoring and maintenance needs of the Project and should acknowledge recommended activities even if each will only be performed pending the availability of future funding for such purposes. The Plan will include project information, potential project performance risks, things to be monitored, methodology, the frequency and duration of monitoring and the sampling location for the monitoring activities, and list all maintenance activities suited for the project. The Plan shall also address how the grantee or other responsible party shall access the project site if the site is not owned by the grantee or party responsible for implementing the Plan.

The Grantee shall maintain and operate the project throughout its life, consistent with the purposes for which the grant was made. The Grantee is responsible for all operations and maintenance costs of the facilities, structures, and improvements; the Department of Water Resources is not liable for any costs of such maintenance, management, or operation.

3.12 Income Restrictions

Any capital asset acquired or constructed in any part with grant funds may not be used to generate income of any kind. The grantee shall agree that any refunds, rebates, credits, or other amounts (including any interest) accruing to or received by the grantee pursuant to public funding shall be paid by the grantee to the State, to the extent that they are properly allocable to costs for which the grantee has been reimbursed by the State pursuant to a grant agreement.

4 RIVERINE STEWARDSHIP PROGRAM

4.1 Funding Priorities

The RSP will prioritize funding for projects and programs that meet one or more of the following requirements:

- Can be completed expeditiously and provide near-term benefits and alleviation of urgent problems related to water supply and water quality affecting native species and aquatic habitats.
- Provide instream water quality benefits by improving aquatic habitats and restoring natural ecosystem functions through green infrastructure designs and solutions that increase water supplies, enhance water supply reliability, groundwater storage, or improve water quality.
- Support public-private partnerships.
- Align with the [Water Resilience Portfolio](#) Sections 3, 9,10,11, and/or 29.
- Further support National Oceanic and Atmospheric Administration Endangered Species Management and Recovery Plan that support salmon, steelhead, and other native fish populations.
 - For programs and projects designed to increase water supplies, enhance water supply reliability, groundwater storage, or improve water quality.

4.2 Grant Eligibility

- Geographic Limit of the “Delta export service area” and Counties within the Association of Bay Area Governments (Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Solano, and Sonoma), areas of the state outside the Delta that receive water from the State Water Project or the Central Valley Project, either directly or by exchange, by means of diversions from the Delta. See Appendix C.
- Requires a single applicant that is a local public agency as defined in Appendix B.
- Eligible projects must support water quality and supply consistent with Water Code section 79205.6 and may include:
 - Innovative Green infrastructure solutions that enhance water availability, groundwater storage, fish and wildlife habitat restoration, creation of cool water refugia, and address sedimentation or other water quality or water supply issues affecting fish and wildlife.
 - Fish-friendly intakes for agriculture diversions that can provide for fish passage while allowing for agricultural drainage and systems for better in-stream water quality benefits for fish.
 - Restore, conserve, or increase habitat and restore water flow through aquatic habitat to provide physical water quality and supply benefits to support fish and wildlife and restore ecological function.
 - Innovative fish passage solutions that remove barriers to fish migration or improve passage.
 - Innovative solutions to improve water conveyance and water loss within agricultural diversions to assist with increasing water supply needed to support native fishes and habitat. Increase or improve floodplain availability.
 - Habitat enhancement projects that benefit aquatic species, including reconnecting aquatic habitat to help fish and wildlife endure drought and adapt to climate change.

- Gravel injection projects that support native fish populations.
- Installation of green infrastructure that improve water quality from leachates that are lethal to threatened or endangered aquatic species.

5. SAN JOAQUIN FISH POPULATION ENHANCEMENT PROGRAM

5.1 Funding Priorities

The SJFPEP will give priority to projects that are consistent with or aligned with existing priorities of the CalFed EIS/EIR Stage 1 priority actions, National Oceanic and Atmospheric Administration (NOAA) Fisheries Recovery Plan for Central Valley Chinook and Central Valley Steelhead Populations, and Voluntary Agreements that may be identified as part of the State Water Resources Control Board (SWRCB) Bay-Delta Water Quality Control Plan update process.

- Priority will be given to projects that are aligned with the Ecosystem Restoration Stage 1 Actions identified in the CALFED Bay-Delta Program Implementation Plan. The actions include improving and increasing aquatic habitats and ecological functions to support sustainable and diverse populations of aquatic species (to view the full implementation plan, refer to the Bay-Delta Program website: https://www.baydeltalive.com/assets/c5f67c17ca965d44d6e39c3bc257f5c8/application/pdf/ERP_P_Vol_3.pdf).
- Priority will also be given to projects that are aligned with the NOAA Fisheries Recovery Plan for Central Valley Chinook and Central Valley Steelhead Populations and Voluntary Agreements that may be identified as part of the SWRCB Bay-Delta Water Quality Control Plan update process. See the [RSP website](#) for applicable planning documents.

5.2 Grant Eligibility

- Limited in geographic scope to the tributaries of the San Joaquin River, including the Cosumnes, Mokelumne, Calaveras, Stanislaus, Tuolumne, and the Merced rivers, and the San Joaquin River between its confluence with the Mokelumne River and its confluence with the Merced River.
- Requires a single applicant that is a local public agency or a nonprofit organization.
- All projects must benefit native fishes in the lower San Joaquin River watershed.
- Eligible project types include, but are not limited to, the following:
 - Spawning habitat projects that include adequate substrate, temperature, aeration, and access.
 - Rearing habitat projects that provide sufficient cover, hydraulic complexity, refugia, temperature, flow, and food web structure with adequate seasonal timing and duration.
 - Water temperature improvement projects that include hydraulic modification to increase reserves of cold water, including shading of water surface, channel modifications that could provide cool water refugia, and replacement of exotic

plants with native plants.

- Water quality improvements targeting low oxygen or pollutant concentrations.
- Habitat connectivity projects that link habitat structure to provide continuity and reduce exposure to poor quality river reaches.
- Migration enhancements through barrier removal or passage improvements such as ladders or natural roughened channels, diversion modification and/or consolidation to eliminate entrainment, etc., that provide new or enhanced passage of adult and juvenile fishes.
- Restoration of natural river processes and morphology, including availability of naturalized flow, interaction of groundwater and surface water, sediment transport mechanisms, scour and deposition, and channel meander.

6 URBAN STREAMS RESTORATION PROGRAM

6.1 Funding Priorities

The USRP will set aside a minimum of \$2 million to fund projects that serve disadvantaged communities, which are defined as those communities with a median household income of less than 80 percent of the statewide average. DWR's DAC Mapping Tool (<https://water.ca.gov/Work-With-Us/Grants-And-Loans/Mapping-Tools>) and CalEnviroScreen 4.0 (<https://oehha.ca.gov/calenviroscreen/report/calenviroscreen-40>) will be used to verify proposed project service areas. Projects that are located near a disadvantaged community may be considered to serve that community with additional justification and supporting information. The USRP has set aside a minimum of 35 percent of funding to both small and large projects. "Small projects" are defined as those with a total project cost (i.e., including funding match) of less than \$1 million. If an insufficient number of qualified projects are available to fully meet the allocation requirement, USRP may grant funds to any project that is otherwise qualified, in order to ensure that all available funds are used efficiently

- Priority will be given to projects with innovative green infrastructure and bioengineering solutions (using natural infrastructure or leveraging ecosystem services) that reduce flooding and erosion problems and utilize native plants.
- Priority will be given to projects that used the direct input from the community on project planning and design and direct outreach and education components to schools in underserved communities.
- Priority will be given to projects that have received technical assistance from the program.

6.2 Grant Eligibility

- The geographic scope of the USRP is statewide.
- Requires a partnership of two applicants (sponsor and co-sponsor): one local public agency, Tribe, or a certified 501(c)(3) non-profit organization and local community group. The USRP recognizes partnerships when there is a signed MOU between authorities representing the partners included in the application.

- Projects funded with Proposition 68 funds require a minimum 20 percent funding match from non-State sources unless the grant benefits a disadvantaged community (no funding match is required for disadvantaged community applicants). Costs and services to be considered as funding match must fall into the categories included as Eligible Costs (see 3.3 Eligible Costs) below and must be incurred after the effective date of Proposition 68 (June 5, 2018).
- Requires a public outreach and education component that is designed to encourage community participation in the planning process, public support for long-term management for a minimum 10-year timeframe, and increase the public's understanding of the project's benefits to the environment and the sustainability of California's water resources. These activities may include but are not limited to: community organizing, resource interpretation, multilingual translation, natural science, community education, and communication related to water, parks, climate change resiliency, and other outdoor pursuits.
- Eligible projects must be consistent with the goals of the USRP outlined in Water Code sections 7048-7049. Eligible project types include, but are not limited to:
 - Bank stabilization and revegetation.
 - Recontouring of channels to improve or reestablish floodplain function and localized flood protection.
 - Installation of bioswales or other green infrastructure prior to water reaching urban streams.
 - Removing of culverts or storm drains to stabilize channels to achieve flood control objectives and daylighting of streams.
 - Purchase of lands or structures on lands to allow for floodplain reconnection and floodwater detention or wetlands/tidal zone restoration.
- Grantees awarded USRP Prop 68 funds must consult with the California Conservation Corps (CCC). See appendix section A-13 for instructions and Corps Consultation Review Document.

The USRP may also fund planning-only grants for projects that would serve disadvantaged communities once completed. Eligible planning grants may include any combination of the technical assistance activities listed above, including project development activities that occur prior to the initiation of construction.

7 GRANT APPLICATION PROCESS

7.1 Applicant Assistance Workshops

RSP staff will conduct workshops to address questions and provide general assistance to applicants in preparing applications. The dates and locations of the workshops will be announced via DWR's listserv (including the RSP and USRP electronic mailing lists)

and on the RSP website at: <https://water.ca.gov/rspgrants>.

7.2 Online Concept Applications

All applicants must submit a concept application online. Section 8.2 includes a preview of the concept application form to help applicants prepare responses in advance. RSP staff will evaluate the concept applications based on proposed project alignment with Program priorities, geographic distribution, eligible activities, and project readiness.

RSP staff will evaluate concept applications and request a full application from select applicants. All application candidates may have a consultation session with staff to discuss reviewer comments prior to the full application deadline.

7.3 Application Package

DWR uses the Grants Review and Tracking System (*GRanTS*), a web-based tool for managing grant proposals and related documents, and all applications must be submitted online. The system can be accessed from the following link to the homepage: <http://www.water.ca.gov/grants/>. Any interested party or organization can register with *GRanTS* at any time. If an applicant has questions or problems with *GRanTS*, please call (888) 907-4267 or email GRanTSadmin@water.ca.gov.

Concepts must be submitted using the *GRanTS* tool.

If invited to complete a full application, the complete application will contain all the items on the following list, where applicable, or include reasons for each omitted item. Please refer to Appendix A for detailed information and templates of some application submittal documents.

- General information on applicant(s) and project.
- Responses to application questions posed in section 8.2 of these Guidelines.
- Application attachments:
 1. Resolutions from Lead Agencies and USRP partner agencies (a letter of intent is sufficient for the application).
 2. Environmental Information Form.
 3. Project Scope of Work.
 4. Project Schedule.
 5. Project Budget.
 6. Permit Checklist/ CEQA link (if applicable).
 7. Private Property Access Letter(s) (if applicable).
 8. Property Acquisition Cost Schedule (if applicable).
 9. Willing Seller Letter (if applicable).
 10. Land Tenure/Site Control Requirements and Property Data Sheet (if applicable).
 11. Maps and Diagrams.
 12. Photos of Project Site.
 13. MOU between Sponsor and Co-Sponsor (USRPs only).

7.4 Program Schedule

The table below outlines the general schedule for this Program. Applicants are encouraged to check the <https://water.ca.gov/Programs/Integrated-Regional-Water-Management/Riverine-Stewardship-Program/Riverine-Stewardship-Grants> website for exact dates as they become available. Concepts will be accepted on a rolling basis and evaluated monthly. DWR will invite Grantees to submit a full application and awards will be made on a quarterly basis through the solicitations until funds are committed.

The RSP Grant Review Team meets quarterly to review full applications. All successful full applications must be approved by the DWR Director.

Activity	Schedule
DWR releases final Guidelines/PSP	May 2022
<u>DWR Circulates Amendment for Advance Payment</u>	<u>August 2024</u>
DWR begins accepting Concepts on a rolling basis	June 2022 and monthly thereafter; concepts closing date will be the last day of the month. Concepts will be reviewed monthly starting the 1 st of following month and monthly thereafter
DWR Invites Grantees to submit a full application	<p>Starting Aug 2022; Selected candidates that submitted concept applications will be invited to provide a full application and will be evaluated for potential award on the following award date. Full application closing dates will be:</p> <ul style="list-style-type: none"> ○ Summer – August 31 ○ Fall – November 30 ○ Winter – February 28 ○ Spring – May 30 <p>award for a particular full application will be dependent on application submittal date.</p>
DWR announces grant awards	<p>Anticipated quarterly award dates as funding allows:</p> <ul style="list-style-type: none"> ○ Fall – October 30 ○ Winter – January 31 ○ Spring – April 30 ○ Summer – July 31

8 REVIEW CRITERIA AND AWARD PROCESS

This section describes the process for project review, evaluation, and selection. The RSP's Grant Review Team (GRT), which consists of RSP staff and experts from other programs as needed, will review all timely submittals.

8.1 Acceptability and Completeness

A complete application is one that is submitted to GRanTS on time and contains all required attachments or reasons for any omissions. All applications that meet the eligibility requirements and are considered complete will be evaluated further for funding. During the evaluation period, GRT staff may deem a project ineligible if there are conflicts with existing federal, State, or local laws, rulings, ordinances, or regulations. The GRT may ask the applicant to provide clarification of existing information to better evaluate the merits of the project.

8.2 Concept Review Criteria

The GRT will evaluate each concept based on the following criteria which reflect and support RSP, SJFPEP, and USRP Priorities.

Criteria	Points
Location	0
Description	0
Project Goals	1
Align with Program Priorities	3
Project Readiness	3
Total	7

The GRT will evaluate applications submitted directly to the GRanTS website based on their responses to the following questions:

- Describe the project location. Include the physical address if applicable, on site and adjacent land uses, and the distance to the nearest town or city.
- Project Description:
 - Why is this project needed? What are the project goals? What are the anticipated outcomes of the project?
 - How much funding is being requested? What are the specific components and activities to be funded by this grant?
 - What program are you applying to? How does this project support the RSP, SJFPEP, or USRP solicitation priorities?
 - How does this project support the racial inequities in the Project area?

- What is the status of CEQA? If complete, please provide link.
- What is the proposed project schedule?
- Project Type: Planning-Only, Planning and Implementation, or Implementation-Only?

8.3 Full Application Review Criteria

The GRT will evaluate each grant application based on the following criteria, which reflect and support RSP, SJFPEP, and USRP priorities.

Criteria	RSP	SJFPEP	USRP
1. Project Purpose and Strategic Fit	13	13	13
2. Organizational Capacity and Project Sustainability	22	22	22
3. Project Readiness	22	22	22
4. Project Characteristics and Benefits	6	6	6
5a. Fish Population Enhancement (SJFPEP)	X	20	X
5b. Community Collaboration, Access, and Flood Control (USRP)	X	X	22
5c. Riverine Stewardship Improvements, Water Quality and Water Supply	22	X	X
Total Points Possible	85	83	85

The GRT will evaluate applications based on their responses to the following questions (responses will be submitted directly to the GRanTS website):

Part 1. *(All applicants) Project Purpose and Strategic Fit*

Q1. Describe the current hydrologic conditions including the type of stream (perennial, intermittent, ephemeral), channel configuration (natural, channelized, culverted, etc.), and factors affecting stream/river function such as watershed development, land use changes, dams, or other artificial constrictions.

Q2. Discuss the compelling need for the project (e.g., critical habitat degradation, bank failure, water quality issue, etc.) and if the project provides an innovative non-structural approach to restoration or flood management.

Q3. Is the project planned in conjunction with other local projects? If so, identify and describe the local, State or federal management agencies involved in the project. If it is a crucial phase of previously funded work by DWR, provide project details including the

project's name, the year it was funded and completed, and the funding source.

Q4. What federal, State, and local flood control planning efforts is this project consistent with? How does the project align with these efforts?

Q5. Indicate that you have read and understand the RSP Grant Template. (This will be as a checkbox on the form.)

Part 2. *(All applicants) Organizational Capacity and Project Longevity*

Q1. Describe the applicant's experience in completing this type of project or similar projects within the allotted timeframe and budget. List the potential external expertise needed, and the person/organizations being considered to provide it. What expertise would the grantee provide to the project?

Q2. Will the project fully remediate problems at the site, or will additional problems still exist? If additional problems will remain, briefly describe the scope and funding needs of other similar projects or phases and discuss why the proposed improvements in this application have priority. Include specific references to components designed to remediate problems.

Q3. Who owns the property at the project site? Please provide parcel numbers for each. If the property is not owned by the applicant, has the landowner submitted a letter giving permission for the applicant to complete work on the property? At what stage will an easement or deed restriction be acquired for the improvements on the project site? Not applicable to planning only grants.

Q4. What are the initial and long-term management or maintenance plans for the project site? What entity will perform the long-term maintenance and is there an agreement in place? What are the key success criteria for the project's long-term goals?

Q5. Describe the longevity of your project's approach. What aspects of your project will ensure its sustainability in the long term? (e.g., bioengineering, specific BMPs, adaptive management, etc.) How will you measure the project's success?

Part 3. *(All applicants) Project Readiness*

Q1. Are any of the applicants urban or agricultural water suppliers? If so, has the water supplier submitted an Urban Water Management Plan (UWMP) or Agricultural Water Management Plan (AWMP) to DWR? Has the plan been verified as complete by DWR? If not, explain and provide the anticipated date for having a complete UWMP and/or AWMP. If none of the applicants are urban or agricultural water suppliers, put "N/A."

Q2. What is the current state of the planning process for the project? Are there any technical studies that will need to be completed prior to project implementation? Discuss the CEQA, NEPA, and other environmental permits obtained and still needed for project implementation. Provide CEQA documents.

Q3. Discuss any anticipated factors that could delay the project, including dependencies on other related projects, jurisdictional discrepancies, Tribal consultations, hazardous waste sites, etc.

Q4. Has the applicant previously received technical assistance from DWR on this project or any other project? Are you interested in receiving technical assistance from the Riverine Stewardship Program if you do not receive a grant award?

Q5. Has there been any opposition to the project? If so, explain the nature of the concerns and how they will be addressed. Describe any efforts or compromises needed to address potential conflicts between competing user groups.

Q6. Discuss all funding sources for this project including local match, in-kind services, secured funds, and any other potential but unsecured funds. What are the consequences if the project is not funded or receives partial funding from DWR? If the project was partially funded, which components are of the highest priority and can certain components be implemented as “stand alone” phases?

Part 4. *(All applicants) Additional Project Characteristics and Benefits*

Q1. Describe any other additional benefits the project will provide outside of habitat restoration, flood protection, and stewardship (e.g., recreation, economic, aesthetic, establishing new partnerships, etc.). How will this project support diversity and inclusion within the community?

Q2. How does the project utilize existing natural features and ecosystem processes to create climate change resiliency?

- Does the organization have a strategic business plan that includes climate change components? How are the climate change components implemented in this project? Are there other climate change plans or strategies that this project implements?
- Has the organization adopted any policies or made any formal public statements about climate change? If yes, submit a copy.
- Does the organization have a main contact person for climate change? If yes, to what position in the organization does that person report?
- Has the organization conducted a climate change vulnerability assessment? If yes, please submit a copy.
- How would you describe your organization’s capacity to adapt to the impacts of climate change?

Q3. Have you consulted with the California Conservation Corps to determine if they may assist with your project? If so, please describe.

Part 5a. *(RSP Applicants Only) Restoration of Aquatic Habitats, Ecosystem Function, Water Quality and Water Supply*

Q1. How does this project address instream water quality benefits through improving aquatic habitats and restoring natural ecosystem functions?

Q2. How does this project address water supply issues that directly address aquatic species and habitats?

Q3. What type of habitat enhancements are proposed and how do they benefit aquatic species, species recovery, and reconnect aquatic habitat to help fish and wildlife endure drought and adapt to climate change?

Q4. How does this project align with recovery plans, conservation plans, water portfolio strategies, or other documented strategies targeted for restoration in aquatic habitats? Are any public-private partnerships supported by this project?

Q5. What innovative green infrastructure design is anticipated to be used on the project to restore ecological functions and support species and their habitats?

Part 5b. *(SJFPEP Applicants Only) Fish Population Enhancement*

Q1. How does this project benefit native fishes in the lower San Joaquin River watershed? Describe how the project addresses one or more of the following restoration problem areas: spawning/rearing habitat, foraging opportunities, food web productivity (primary and secondary production), predator control, water temperature, habitat connectivity, migration enhancements, water quality, invasive aquatic vegetation, invasive and non-native species, and natural river processes and geomorphology. Include reference to specific riverine or riparian elements such as:

- Structures: Channels, riparian corridor, floodplain, terrace, runs, pools, and riffles.
- Functions: Transporting sediment, forming and/or reforming bars and pools, flooding onto the floodplain, increasing primary and secondary productivity, re-establishing the native riparian plant community, restoring habitat for threatened or endangered species, improving or creating spawning habitat, or re-establishing fish and wildlife corridors and migration routes.
- Dynamics: Re-vegetating to provide shade and erosion control on banks or floodplain, improving aquatic habitat complexity and connectivity, or removing non-native and invasive species.

Q2. Describe how the project aligns with priority actions identified in CalFed EIS/EIR Stage 1 Actions, the NOAA Fisheries Recovery Plan for Central Valley Chinook and Central Valley Steelhead Populations, the SWRCB Bay-Delta Water Quality Control Plan Program of Implementation and subsequent updates, DWR's Central Valley Flood Protection Plan — Conservation Strategy and/or (for projects within the Delta) the Delta Stewardship Council's Delta Plan (see the RSP website for links to documents).

Q3. What other native species (aquatic, terrestrial, or avian) will this project benefit and how?

Part 5c. *(USRPA Applicants Only) Community Collaboration and Flood Control*

Q1. Discuss any demographic, social, or cultural/Tribal issues that are important to the community and will influence design, implementation, and maintenance for the project. How does the project incorporate local agency and citizen group participation in planning, design, or implementation? How does this project ensure community access, address the community's needs (e.g., open green spaces, safe transportation corridors, etc.), and encourage community participation in its long-term care?

Q2. How does this project utilize a watershed approach to flood control or bank erosion issues at the site? How does the urban environment constrain the project scope?

Q3. Does the project serve a disadvantaged community? What is the median household income for the community? Please provide the Census Place, Census Tract, or Census Block Group used to identify disadvantaged community status. (See the Mapping Tool for access to a DAC website map: <https://water.ca.gov/Work-With-Us/Grants-And-Loans/Mapping-Tools>.) If the project is located partially within or adjacent to a disadvantaged community, describe its proximity in detail and justify how the project would serve this community.

Q4. How will the project restore the environment outside of flooding and erosion control? Describe benefits the project will provide for habitat creation/enhancement, listed species, and other riparian species.

8.4 Funding and Awards

Following evaluation and scoring of full applications by the GRT, the RSP manager will submit the recommendations to the Management Review Team (MRT) for further consideration. The MRT consists of program managers and managers and experts from other programs, departments, and agencies, as needed. The MRT shall make draft funding recommendations based on a priority ranking of reviewed project applications. The MRT will consider: (1) allocating any or all the available funds to grants for project applicants; (2) holding over the remaining available funds for allocation in subsequent grant cycles; or (3) allocating partial funding to one or more of the projects on the list to be funded.

The MRT may modify the recommendations of the GRT relative to which projects receive funding, their priority ranking, and the dollar amounts allocated to each project and may consider other factors in the final grant awards for both programs, including, but not limited to, multiple agency collaboration, support and involvement of community groups, economic benefits, statewide significance, disadvantaged community status, and the geographic distribution of bond funds. Written recommendations of the priority ranking and funding allocations are then sent to the DWR Deputy Director for approval.

If requested funding for all qualified projects exceed the amount of available funds, DWR may provide partial funding for selected projects based on program priorities, information provided in the application, and/or additional discussion with the applicant. Additionally, the MRT will establish a ranked contingency list of projects from applications that were not selected for funding if funding becomes available in the future.

The MRT recommendations will be posted on the RSP website (<https://water.ca.gov/rspgrants>) for a 15-day comment period after Deputy Director approval. DWR will prepare a summary of comments received during the public comment period and will post it on the RSP website. After consideration of the results of the public comments, DWR staff will make recommendations for final funding awards and request DWR director approval. The director may further modify the final content and priority order of the list and the amount of funding for each project. The

final list of awarded projects will be posted on the RSP website, and notices will be sent to all funded and non-funded project applicants.

Once final awards are approved by the director, DWR staff will notify applicants by letter, post the award amounts on the RSP website, and begin the process of developing a funding agreement with the project applicant (grantee). The grantee and DWR must enter into a funding agreement before eligible activities will be reimbursed.

9 GRANT ADMINISTRATION

This section describes the process that will occur once a project has been selected for funding. This includes developing and signing a funding agreement.

9.1 Agreement Execution

Before DWR enters into a funding agreement, the grantee will submit a detailed scope of work (Attachment 3) (based on the information provided for project evaluation) including a proposed scope of work, list of deliverables, budget, and project schedule satisfactory to DWR.

The funding agreement will not be processed and executed until a detailed final work plan and associated documents are approved by the RSP manager. To assist the grantee in developing the detailed final work plan, DWR may talk to or meet with the grantee as needed. Grantees shall provide detailed cost estimates and quantities, billable hours, a revised timeframe with required completion durations, and other information as needed. Cost estimates shall include separated step funding with subtask amounts.

If a DWR-approved agreement is not executed within six months of the date the grant is awarded, the grant award may be withdrawn. **It is highly recommended that applicants review DWR's general terms and conditions to ensure acceptability before completing an application, since the terms will not be modified except under extraordinary circumstances.** These can be found online at the following link: <https://water.ca.gov/rspgrants>.

9.2 Invoicing and Payments

Except as permitted by statute and as set forth in Appendix A11 of these Guidelines, any funding agreement that disburses funds from any State funding source must do so in arrears, meaning on a reimbursement basis. The grantee will provide reimbursement invoices to DWR for work completed within an invoicing period. DWR will retain ten percent of each disbursement to ensure completion of the project. The retention will be paid upon submittal of all grant agreement deliverables, including the final project completion report by the grantee, and approval by DWR.

Although grant funds will be disbursed as provided in the agreement to reimburse costs incurred by the grantee, costs will not be reimbursed or paid until all the following conditions are met:

- An agreement is fully executed.
- For project activities that could affect the environment, the grantee complies with all applicable requirements of CEQA and other environmental laws, submits copies of environmental documents to DWR and receives environmental clearance from the DWR Contract Manager.
- All applicable permits are obtained, and copies submitted to DWR. Tasks that require permits may not be reimbursed until the permit has been received by DWR.

State funds will be paid to grantees generally on a quarterly basis, but in no event more often than monthly, at DWR's discretion, after submittal and approval of invoices and progress reports. RSP staff will attempt to process payments within 15 days of receipt of complete invoices, which includes progress reports and all supporting documentation.

9.3 Reporting

Each quarter, and as a prerequisite to payment of each invoice, the grantee will be required to submit a progress report in sufficient detail to substantiate reimbursable expenses. The report will be a key item in evaluating requests for reimbursement, and as such, a reimbursement request must coincide with a report submittal. Progress reports will include the following:

- Records of expenditures.
- Description of project activities and task completions since the previous report.
- Status of progress relative to the project schedule.
- Key issues that must be resolved.
- Upcoming events, meetings, and milestones expected for the next quarter.

Progress reports will be submitted quarterly based on the calendar year. DWR will monitor progress and may suspend all payments or take other legal actions if it appears the grantee is in breach of the agreement to such an extent that ultimate achievement of project objectives may be significantly compromised. If actions are taken, the grantee will be given three months to correct the breach or DWR may terminate the funding agreement and exercise its right to require repayment of grants funds disbursed.

9.4 Amendments

Agreements may be amended at any time by mutual agreement of the Parties. Requests by the funding recipient for amendments must be in writing stating the amendment request and the reason for the request. Requests solely for a time extension must be submitted at least 90 days prior to the work completion date. Any other request for an amendment must be submitted at least 180 days prior to the work completion date. The State shall have no obligation to agree to an amendment. Minor changes to the scope of work may not necessitate an amendment and will be decided on a case-by-case basis.

Amendments are required for the following circumstances:

- Change in schedule (e.g., time extension).

- Substantial change in scope of work.
- Change in total budget or transfer of funds between tasks that exceeds 20 percent of the DWR-approved budget for either task (less than 20 percent does not require a formal amendment but does require DWR's written approval).
- Change to any of the agreement provisions.
- Change in parties to the agreement.

9.5 Project Closeout

The grantee shall submit a Project Completion Report within ninety (90) calendar days of completion of all tasks associated with the project. The report shall include a description of work done, a description of expenditures, a final schedule showing actual work completed versus planned work, copies of any final documents or reports generated or utilized during the project, a discussion of problems that occurred during the work and how the problems were resolved, and photo documentation of the entire project including before/after photos from consistent monitoring points.

DWR will notify the sponsor that the project is complete and will release any remaining retained funds when the following criteria are satisfied:

- The work is completed to the satisfaction of DWR following a final site visit.
- DWR has approved all products and deliverables required by the project and agreement as provided by the grantee.
- The grantee has provided, and DWR has approved, a Project Completion Report as described above.

9.6 Audits and Record Keeping

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

9.7 Riverine Stewardship Program Contact Information

RSP@water.ca.gov

Amy Bailey
 Program Manager
 Riverine Stewardship Program
 715 P Street
 Sacramento, CA 95814
Amy.Bailey@water.ca.gov

Esther Tracy
 Lead for the USRP
 Riverine Stewardship Program
 715 P Street
 Sacramento, CA 95814
Esther.Tracy@water.ca.gov

GRanTS Administrator: GRanTSadmin@water.ca.gov

APPENDIX A – SAMPLE DOCUMENTS AND FORMS TEMPLATES AND RESOURCES FOR PROJECT PROPOSALS (ATTACHED)

A1. Example Authorized Resolution Template

A2. Environmental Information Form

A3. Project Scope of Work Template

A4. Example Project Schedule

A5. Example Project Budget

A6. Permit Checklist

A7. Example Private Property Access Letter Template

A8. Example Property Acquisition Cost Schedule (if applicable)

A9. Example Willing Seller Letter Template (if applicable)

A10. Land Tenure/Site Control Requirements and Property Data Sheet

A11. Application Signature Page

A12. Example Invoice Template

A1. Example Authorized Resolution Template

RESOLUTION NO. [xxxx]

A RESOLUTION OF THE [GOVERNING BODY] OF THE [AGENCY NAME]
AUTHORIZING THE GRANT APPLICATION, ACCEPTANCE, AND EXECUTION
FOR THE [PROJECT TITLE]

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

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

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

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

1. That pursuant and subject to all of the terms and provisions of [for SJFPEP and/or RSI applicants] the Costa-Machado Water Act of 2000 (Wat. Code, § 79000 et seq.) [for USRP applicants] the Budget Act of 2021 (Stats. 2021, ch. 240, § 81) and the California Drought, Water, Parks, Climate, Coastal Protection, and Outdoor Access For All Act of 2018 (Pub. Resources Code, § 80000 et seq.), the [Agency Name] [Title of Authorized Representative], or designee is hereby authorized and directed to prepare and file an application for funding with the Department of Water Resources, and take such other actions as necessary or appropriate to obtain grant funding.
2. The [Agency Name] [Title of Authorized Representative], or designee is hereby authorized and directed to execute the funding agreement with the Department of Water Resources and any amendments thereto.
3. The [Agency Name] [Title of Authorized Representative], or designee is hereby authorized and directed to submit any required documents, invoices, and reports required to obtain grant funding.

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

AYES:

NOES:

ABSTAIN:

ABSENT:

[Printed Name]

[Title], [Governing Body]

Attest:

[Secretary/Clerk]

A2. Environmental Information Form

Grantees are responsible for complying with all applicable laws and regulations for their projects, including the California Environmental Quality Act (CEQA) (please see CEQA Process document in Appendix B2). Work that is subject to CEQA shall not proceed under this Agreement until documents that satisfy the CEQA process are received and approved by the Department of Water Resources.

Such approval is fully discretionary and shall constitute a condition precedent to any work for which it is required. Once CEQA documentation has been completed, DWR will consider the environmental documents and decide whether to continue to fund the project or to require changes, alterations, or other mitigation (see CEQA Process document in Appendix B2 for details).

Grant Recipient: _____

Project Manager: _____

Phone Number: _____

Address: _____

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

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

[CEQA statutory exemptions](#): Title 14. Natural Resources;
Division 6. Resources Agency; Chapter 3. Guidelines for
Implementation of CEQA; Article 18. Statutory Exemptions

[CEQA categorical exemptions](#): Title 14. Natural Resources;
Division 6. Resources Agency; Chapter 3. Guidelines for
Implementation of CEQA; Article 19. Categorical Exemptions

Check appropriate box below:

Lead Agency has already filed a Notice of Exemption (NOE) with the State Clearinghouse and/or County Clerk. (Attach copy of NOE and, if applicable, a copy of Board Resolution.)

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

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

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

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

CEQA Lead Agency: _____

3. Please check types of CEQA documents that have been or are to be prepared:

- Initial Study
- Negative Declaration / Mitigated Negative Declaration
- Environmental Impact Report
- Statement of Overriding Considerations

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

Status: _____

Date of Completion: _____

Estimated Costs: _____

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

Name: _____ SC #: _____

6. Please list all environmental permits you must obtain to complete the project:
(Attach additional pages as necessary)

Type of Permit Required	Permitting Agency
_____	_____
_____	_____

7. This form was completed by:

Print or Type Name _____ Phone Number: _____

Signature _____

Date: _____

- DWR received environmental documents.
- DWR made findings.

A3. Project Scope of Work Template

Instructions: The following format should be used to develop the Scope of Work. The items listed as task deliverables are the minimum requirements for all grants awarded through the Riverine Stewardship Program. Please insert the corresponding information under each task in the template.

Project Description:

Insert short description of the project.

Project Location:

Insert GPS coordinates of project location and map

Project Goals:

Tasks and Deliverables:

Task 1 - Project Administration and Management

Subtask 1A – Project Oversight and Administration

Subtask 1B – Quarterly Progress Reports and Final Report

Subtask 1C – Invoicing

Task 1 – Deliverables

- Quarterly progress reports
- Quarterly invoices
- Easement or other form of title restriction
- Access Easement/letter allowing DWR access to project site
- Boundary of the Project Location
- Digital copy of the grant acknowledgement sign
- Contractor agreements
- Final report

Task 2 – Planning, Design, and Permitting

Subtask 2A – Technical Studies, Surveys, and Assessments

Subtask 2B – Designs and Improvement Plan

The Grantee will prepare preliminary (30%) design documents, 60% design documents, 90% design documents, final (100%) design documents and Engineer's Estimate, and an Improvement Plan for DWR's review and approval.

Subtask 2C – Specifications and Estimates

Subtask 2D – Environmental Documentation and Permitting

The Grantee will prepare environmental documents that satisfy the CEQA process and permit applications. The Grantee is the Lead Agency, will coordinate with permitting agencies, and obtain all permits necessary to construct the Project. Environmental documentation and permits may include, but are not limited to:

- Complete CEQA Process
- Clean Water Act Section 404 Permit or Individual Permit – USACE
- Clean Water Act Section 401 Certification – RWQCB
- Lake and Stream Alteration Agreement – CDFW
- Coastal Zone Act 100-foot shoreline band – BCDC
- Section 106 Consultation – CSP
- Construction Stormwater General Permit – RWQCB
 - Stormwater Pollution Prevention Plan

Task 2 – Deliverables

- Technical Studies
- Preliminary (30%) design documents
- 60% design documents
- 90% design documents
- Final (100%) design documents
- Improvement Plan
- Final Design Specifications and Special Provisions
- Copies of permit applications (if requested)
- Documents that satisfy the CEQA process stamped and dated by the CA State Clearinghouse and/or County Clerk (notices, formal drafts, final documents, etc.), which the Grantee estimates to include the following:
 - Initial Study
 - Final CEQA Determination
 - Final NOP
 - Tribal Consultation
 - Notice of Completion
 - Final NOD
- Copies of all permits

Task 3 – Construction

Subtask 3A – Award Construction Contracts

Subtask 3B – Construction Management and Inspection

Subtask 3C – Construction

Subtask 3D – As-Built Report

Task 3 - Deliverables

- Construction Bid package

- Awarded construction contract
- Environmental monitoring reports
- Photos of the Project site before, during, and after construction at established photo points
- Photo of installed grant acknowledgment sign
- As-Built Report

Task 4 – Monitoring and Maintenance

Subtask 4A – Monitoring and Maintenance Plan

Subtask 4B – Project Monitoring and Maintenance

Subtask 4C – Annual Monitoring Reports

Task 4 – Deliverables

- Draft Monitoring and Maintenance Plan (submit with 30%, 60%, and 90% design documents)
- Final Monitoring and Maintenance Plan (submit with 100% design documents)
- Annual Monitoring Reports

Task 5 – Community Engagement and Education

Subtask 5A – Community Engagement

Subtask 5B – Interpretive Signage

Task 5 – Deliverables

- Education and outreach materials
- Summary of engagement activities in quarterly progress reports (include photos, number of participants and volunteers, and hours of service)
 - a. Digital copy of interpretive signs and photo of installed signs

A4. Example Project Schedule

Provide a project schedule based on the project task breakdown (preferably in a Microsoft Project or Excel Gantt chart). The schedule should display the number of calendar days needed to complete the project. Explicitly state the expected start and completion date of the project in this section. Below is an example.

Dark Green- Expected timeframe to complete task

Light Green- Task on schedule

Grey- Delay

Blank- No information

Project Elements (Sample Only)	2022				2023
	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st -4th Qtr
Project Administration					
Quarterly & Final Report Preparation					
Public Meetings and Notices					
Labor Compliance Program					
Pre-implementation: Designs, CEQA/Permitting, Bidding, etc.					
Finish final designs					
CEQA & Regulatory Compliance					
Contractor Bidding and Selection					
Site Preparation					
Implementation/Construction					
List activities from the scope of work specific to implementation (i.e. boulder revetment, grading, planting, etc...)					
Post Construction Monitoring					
List activities from the monitoring plan specific to monitoring and maintenance (i.e., weeding, plant replacement, surveying, annual reporting, etc.)					

A5. Example Project Budget

Briefly discuss the estimated project cost and financial resources to be used in meeting those costs. Provide a table detailing all costs. The task and subtasks shown in the budget should match the scope of work and schedule.

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 USRP / SJFPEP and by other sources, as well as in-kind contributions. Below is an example.

Project Elements (SAMPLE ONLY)	Unit Price	Units	Quant.	Total Project Costs	USRP/ SJFPEP Grant	Local Contributions (Specify)	Other Funding Source(s) (Specify)
Project Management & Administration							
Staff Time							
Incidental Charges							
Consultants							
Subtotal							

Project Elements (SAMPLE ONLY)	Unit Price	Units	Quant.	Total Project Costs	USRP/ SJFPEP Grant	Local Contributions (Specify)	Other Funding Source(s) (Specify)
Planning, Design & Permitting							
Staff Time							
Consultants							
Permit Costs							
Subtotal							

Project Elements (SAMPLE ONLY)	Unit Price	Units	Quant.	Total Project Costs	USRP/ SJFPEP Grant	Local Contributions (Specify)	Other Funding Source(s) (Specify)
CEQA Compliance (if applicable)							
Staff Time							
Consultants							
Subtotal							

Project Elements (SAMPLE ONLY)	Unit Price	Units	Quant.	Total Project Costs	USRP/ SJFPEP Grant	Local Contributions (Specify)	Other Funding Source(s) (Specify)
Implementation/Construction							
Labor							
Materials							
Equipment							
Bid Items							

Project Elements (SAMPLE ONLY)	Unit Price	Units	Quant.	Total Project Costs	USRP/ SJFPEP Grant	Local Contributions (Specify)	Other Funding Source(s) (Specify)
Land Acquisition (if applicable)							
Staff Time							
Conservation Easement/Deed Restriction							
Consultants							
Appraisal, Escrow, Title Reports, etc.							
Subtotal							

Project Elements (SAMPLE ONLY)	Unit Price	Units	Quant.	Total Project Costs	USRP/ SJFPEP Grant	Local Contributions (Specify)	Other Funding Source(s) (Specify)
GRAND TOTAL:							

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 USRP / SJFPEP Grants and Other Funding Sources should also sum to the Total Project Costs column. LS = Lump Sum.

List all sources of project funding and their current status. Below is an example.

Source	Amount	Describe Status of Funds
DWR	\$939,000.00	This amount is being requested and is contingent on award.
Local Agency	\$5,000.00	The county has reserved these funds for the project.
Third Party	\$2,500.00	The third party has reserved these funds for the project.
Total	\$946,500.00	

A6. Permit Checklist

Federal Agencies:

- A. U.S. Army Corps of Engineers (USACE)
 - a. Clean Water Act Section 404 Permit, in consultation w/USFWS & NMFS
 - i. Required:
 - ii. Applied:
 - iii. Acquired:
 - iv. Date Anticipated:
- B. U.S. Fish and Wildlife Service (USFWS), or NOAA Fisheries
 - a. Biological Opinion (Section 7 Endangered Species Act)
 - i. Required:
 - ii. Applied:
 - iii. Acquired:
 - iv. Date Anticipated:

State Agencies

- C. California Department of Fish and Wildlife
 - a. Streambed Alteration Agreement (Section 1600)
 - i. Required:
 - ii. Applied:
 - iii. Acquired:
 - iv. Date Anticipated:
 - b. Incidental Take Permit, or consistency determination (CA Endangered Species Act)
 - i. Required:
 - ii. Applied:
 - iii. Acquired:
 - iv. Date Anticipated:
- D. California Department of Transportation (Caltrans)
 - a. Encroachment Permit
 - i. Required:
 - ii. Applied:
 - iii. Acquired:
 - iv. Date Anticipated:
- E. California Coastal Commission
 - a. Letter of Consistency
 - i. Required:
 - ii. Applied:
 - iii. Acquired:
 - iv. Date Anticipated:
- F. Regional Water Quality Control Board (RWQCB)
 - a. 401 Water Quality Certification or Waste Discharge Requirement
 - i. Required:

- ii. Applied:
 - iii. Acquired:
 - iv. Date Anticipated:
- G. State Water Resources Control Board
 - a. Construction Activities Storm Water General Permit (RWQCB in Lake Tahoe and San Jacinto watersheds)
 - i. Required:
 - ii. Applied:
 - iii. Acquired:
 - iv. Date Anticipated:
- H. Central Valley Flood Protection Board
 - a. Permission to Encroach on Waterways within Designated Floodways
 - i. Required:
 - ii. Applied:
 - iii. Acquired:
 - iv. Date Anticipated:
- I. State Lands Commission
 - a. Permit required if using State owned property
 - i. Required:
 - ii. Applied:
 - iii. Acquired:
 - iv. Date Anticipated:
- J. State Office of Historic Preservation
 - a. Cultural Resources Assessment (National Historic Preservation Act, Section 106) – required by USACE
 - i. Required:
 - ii. Applied:
 - iii. Acquired:
 - iv. Date Anticipated:
- K. Delta Stewardship Council
 - a. Delta Plan Consistency Determination
 - i. Required:
 - ii. Applied:
 - iii. Acquired:
 - iv. Date Anticipated:

Local and Regional Planning Agencies

- L. City/County
 - a. Grading Permit
 - i. Required:
 - ii. Applied:
 - iii. Acquired:
 - iv. Date Anticipated:
 - b. Environmental Health Department
 - i. Required:

- ii. Applied:
 - iii. Acquired:
 - iv. Date Anticipated:
 - c. Road use permits
 - i. Required:
 - ii. Applied:
 - iii. Acquired:
 - iv. Date Anticipated:
- M. San Francisco Bay Conservation and Development Commission
 - a. Any relevant permit
 - i. Required:
 - ii. Applied:
 - iii. Acquired:
 - iv. Date Anticipated:
- N. Tahoe Regional Planning Agency
 - a. Any relevant permit
 - i. Required:
 - ii. Applied:
 - iii. Acquired:
 - iv. Date Anticipated
- O. Local Resource Conservation District
 - a. Consultation
 - i. Required:
 - ii. Applied:
 - iii. Acquired:
 - iv. Date Anticipated:
- P. Flood Control Districts
 - a. Floodway & Hydrological Analysis
 - i. Required:
 - ii. Applied:
 - iii. Acquired:
 - iv. Date Anticipated:

A7. Private Property Access Letter Template (if applicable)

Date:

To: California Department of Water Resources
Division of Integrated Regional Water Management
Riverine Stewardship Program

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

Re: Property Name/Parcel Number:
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 restoration project. Should grant funds be awarded to the grant applicant (name of grant applicant), then (name of owner, trust, etc.), is willing to allow the applicant (with reasonable notice), to access, implement, and when applicable, operate and maintain the proposed project. Owner is aware that a temporary easement may be placed on property deed for life of the project including construction, operation for the project's useful life.

Acknowledged:

Signature of ALL parties required to sign to allow access

Date Signed: _____

A8. Property Acquisition Cost Schedule (if applicable)

Project Name:	
----------------------	--

Indicate fee or easement:			
Willing Seller? (check one)	<input type="checkbox"/> Yes	<input type="checkbox"/> No/Unsure	

ACQUISITION BUDGET				
I. Land Value	DWR Share	Other Share	Other Share Description	Total Cost
Fair Market Value				
Improvements				
Other				
Subtotal				
II. Associated Costs	DWR Share	Other Share	Other Share Description	Total Cost
Preliminary Title Rpt.				
Appraisal				
Negotiations				
Escrow				
Surveying				
Site Assessment				
Other				
Subtotal				

III. Other Costs	DWR Share	Other Share	Other Share Description	Total Cost
Administration				
Contingency				
Subtotal				
Grand Total				

ACQUISITION SCHEDULE		
Description	Timeframe	Comments
Request appraisals		
Submit appraisal and title report for State approval		
Submit instruments of conveyance, escrow instructions, and purchase agreements for State approval		
Close of escrow and complete acquisition		

A9. Willing Seller Letter Template (if applicable)

Project Name

Property owner mailing info to be filled in by grantee/applicant:

Name:

Address:

City and zip:

Property Address:

Assessor Parcel Number (APN):

Please check the appropriate paragraph below (filled out by resident):

- Subject to terms yet to be negotiated that are mutually acceptable to seller and buyer, I would be willing to sell the property and/or grant an easement restricting the use of the property listed above to the (grantee/applicant name) for fair market value in accordance with the Federal Land Acquisition rules.

- I am not willing to sell the property listed above to the (grantee/applicant name) for fair market value in accordance with the Federal Land Acquisition rules.

If you are willing to sell, please provide the following information:

Best time to contact you: _____

Telephone #: _____ Cell: _____

Email: _____

Signature of landowner (trustee, etc.)

Date signed

A10. Land Tenure/Site Control Requirements and Property Data Sheet

DWR recognizes that specific activities may change over time; however, uses of the project property must remain compatible with the Program in accordance with the following requirements:

Projects That Include Acquisitions

The grantee or the grantee's successor in interest shall use the real property acquired with grant funds only for the purpose for which the grant was made and make no other use or sale or other disposition of the property without DWR's written permission. A document must be recorded against the real property that defines the State's interest in the property. The grantee shall not use any portion of the real property for mitigation (e.g., to compensate for adverse changes to the environment elsewhere) or as security for any debt without DWR's written permission. Any new debt incurred shall be on parity with or inferior to the State's interest in the real property.

Management and Maintenance – All Projects

Projects generally should be maintained for a minimum of twenty (20) years, although some projects and land uses may be required to exist in perpetuity. To facilitate project success, the grantee shall provide a mutually agreeable plan of long-term management and maintenance as part of their grant agreement. Specific terms and conditions appropriate to the scope of the project may be negotiated prior to grant execution.

With DWR's approval, 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.

Working on Private Property

An applicant may propose a project that includes working on private properties; however, to be competitive the project must result in a larger community benefit (e.g., bank stabilization work on several private properties that contributes to downstream community flood reduction benefits) and not result in a direct, material benefit to the private land owner. If the project site is not owned by one of the project sponsors, the application package must include letter(s) from the property owner(s) stating support for the project, allowing access by the project sponsor(s) to implement the project, and willingness to manage the stream in accordance with the goals of the program (or to allow the project sponsor(s) to manage the stream for an appropriate period with DWR's concurrence to ensure success of the project). As a condition of being awarded funding, the grantee shall be required to obtain easement(s) or other legal mechanisms to ensure that the project will be constructed and maintained, and that the project site may be

accessed as deemed necessary by DWR. The legal mechanism must protect the environmental benefits provided by the project in perpetuity.

Property Data Sheet

Owner Name	Address of Property to be Acquired	Mailing Address of Owner	Email Address	APN	Acreage	Type of Property Interest to be Acquired		
						Fee Simple	Easement	Other ^b

Notes:

- A) If acquiring a conservation easement, describe the proposed restrictions and reservation for the easement and the funding mechanism available to support the plan.
- B) If applicable, describe other property interest to be acquired.

A11. Advance Payment Procedures

Advance payments under State funding agreements are prohibited unless authorized by statute. Below are the procedures by which an entity may apply for and receive advance pay of their award from the Department. Recipients of advance payment have a fiduciary responsibility to the people of the State.

Application Process

Upon approval of the final award, the Department shall notify the awardee in writing of its award and the opportunity to apply for advance payment. The Notice of Award shall include an advance payment form. The awardee shall have up to 90 calendar days from the date of the Notice of Award to return the form and provide all applicable backup documentation if advance payment is requested. If the awardee fails to return all completed forms and backup documentation within 90 calendar days, the awardee has forfeited the right to request advance payment for its award. If documents are incomplete or inadequate, the Department shall reach out as soon as it is aware of the issue to notify the awardee of the issue. Failure of the awardee to respond to Department requests for clarification or further documentation shall result in a denial of the request for advance payment. The Department will notify the awardee within 90 calendar days of receipt of a complete advance payment request on its final decision. The Department's final decision is not appealable.

An awardee's application for advance pay must include its most recent financial documents that include sufficient detail to enable the Department to determine the financial and institutional capacity of the awardee, the details of the use of any authorized advance payment, and to determine the risk being taken by the Department on behalf of the taxpayers and/or bond holders providing the funds. Failure to provide adequate documentation shall result in the awardee being deemed ineligible for advance payment. To apply for advance payment, the awardee must:

- Submit a statement of need explaining its need for advance payment. The awardee must submit the most recent three years of verifiable documentation supporting its claim. These may include:
 - Most recent audited financial statements.
 - Revenue and cost statements.
 - Other financial statements, including bank statements.
 - Tax returns.
- Submit a statement explaining the awardee's ability to manage the approved project and its finances. The awardee must submit verifiable documentation supporting its claim. These may include:
 - Audit reports or other financial reviews completed within the last three years.
 - List of its other projects (current and past) including scope, duration, and funding partners.
 - Organization chart of employees responsible for approved project.
- Submit a detailed work plan, budget, and schedule showing how the advance

payment will be used. These will need to break down activities and corresponding expenditures on a quarterly basis.

- For habitat restoration projects, if not previously identified in the awardee's application, the awardee will need to list which threatened and/or endangered species under the federal Endangered Species Act (16 U.S.C. § 1531, et seq.) or California Endangered Species Act (Fish & G. Code, § 2050 et seq.), for which the project is providing habitat.
- For non-profit (private) awardees, demonstrate its good standing as a tax-exempt organization.
- For non-profit (private) awardees, submit verification that all advanced State funds provided shall be deposited into a separate federally insured bank account that either tracks interest earned, or is non-interest-bearing, as required by the Department.

Some of these documents (e.g., detailed work plan, budget, and schedule) may have been included in your initial application for funding. It is not necessary to resubmit these documents, but if there have been changes since the initial application, please document those changes when submitting your request for advance payment.

Approval Process

Once the Department has received a complete application for advance payment, it shall inform the awardee within 90 calendar days of its decision. The final decision will be in writing and will either be a denial or approval of the request. This decision is not appealable.

If the awardee's request is denied, the awardee may request the reason(s) for denial from the Department. If the awardee's request is approved, the awardee will be notified of the amount approved and the conditions of approval. The maximum amount that may be awarded is 25% of the full award amount or the project's reasonable needs based on an immediate six-month planning period, whichever is the lesser amount. The project's immediate six-month need will be based on the awardee's submissions during the application process.

The notification shall also state the frequency of the accountability and progress reports to be submitted, the timeline by which advance payment funds are to be spent, and any other restrictions deemed necessary by the Department. Accountability report and progress report templates shall be provided to the awardee. The awardee must respond within fourteen calendar days accepting the terms of the advance payment; failure to notify the Department within fourteen calendar days shall be considered as the awardee's refusal to accept the advance payment terms, and the awardee shall no longer be eligible for advance payment. Note that, although advance payment has been authorized, no disbursement of funds can occur until a funding agreement incorporating the terms and conditions of the advance payment's use has been executed.

Use of Advance Payment

Advance payment funds may be used for any eligible project costs as set forth in your funding agreement and its work plan except for the purchase of real property or interests in real property. Those expenses must use the existing State process whereby the real property purchase price (plus escrow fees) is deposited into a qualified escrow account after State review of DWR and/or Department of General Services-approved appraisals. The “purchase” only includes the amount deposited into a qualified escrow account or costs associated with obtaining financing. This does not include those items necessary and directly related to the due diligence for acquisition of real property or interests in real property (e.g., appraisals, environmental assessments, legal fees, surveys, recording fees, etc.); these may be paid for with advance payment funds.

During any period in which a funding recipient is using advance payment, it shall submit an accountability report and a progress report to its grant manager for review and approval. These reports must be submitted on the time schedule set forth in the funding agreement but shall be no less frequently than once per quarter (i.e., every three months). If a funding recipient is late in submitting any of its required reports, it is grounds for termination of its privilege to continue using advance payment on its existing project and any potential future projects that may receive funding from DWR. Accountability Report and Progress Report templates shall be provided to each funding recipient.

Accountability reports are intended to demonstrate the proper use of the State’s fiscal resources. Accountability reports must include:

- All supporting documentation of funds spent (e.g., receipts, invoices, etc.).
- Any updates to the project’s projected spending plan for the next three months, six months and for the remainder of the project’s implementation period.
- If applicable, a statement that the funds have been deposited and use of advance payment funds were withdrawn from a federally insured, non-interest-bearing account and is separate from other funding sources.
- If applicable, documentation of interest earned during the reporting period. Any interest earned shall be considered part of the funding award and shall be used towards the project.

Progress reports are intended to demonstrate the proper implementation of the project. Progress reports must include:

- Actions taken by the funding recipient on the project.
- A statement of milestones achieved, and problems encountered on the project.
- A statement of whether the project is on schedule.
- If the project is not on schedule, the reasons for the delay and proposed

remedy(-ies), and an updated schedule.

Request for Further Advance Payments

Once the initial authorized advance payment has been spent by the funding recipient, further advance payments may be allowed. Further use of advance payments by a funding recipient may only be granted if there was prudent use of the initial advance payment, adherence to all corresponding requirements (e.g., timely submission of deliverables and reports), and compliance with all requirements in the funding agreement, and it is permitted by statute. Further advance payments may be requested in writing up to 90 days in advance of the anticipated exhaustion of the initial amount advanced. However, unless requested by the DWR or if there has been a change in circumstances, no additional documentation need be submitted. Further advance payments shall only be permitted in the amount of a project's reasonable needs based on an immediate six-month planning period, or 25% of the full award amount, whichever is the lesser amount. However, under no circumstances may advance payments result in the reduction or elimination of the amount of required withholding (retention) or any required cost share amount. Any determination regarding further advance payment(s) must be made in writing.

Emergency Advance Payment Requests

During the course of implementing a project, a funding recipient may have an emergency arise that may significantly affect its cash flow or available capital. In this case, it may be possible to award a funding recipient and advance payment based on emergency needs. An "emergency" is a sudden, unexpected occurrence, beyond the control of the funding recipient. A funding recipient's mismanagement of its resources or lack of sufficient planning does not constitute an emergency. If a funding recipient has previously been denied a request for advance payment, it is not eligible to receive an emergency advance payment. A request for emergency advance payment is open to any funding recipient that has been previously awarded advance payment (whether it accepted it or not), and any funding recipients that did not apply for an advance when permitted to do so.

To make a request for an emergency advance payment, a funding recipient will need to provide a statement explaining the nature of the emergency and how that emergency necessitates the need for advance payment, along with supporting documentation. If the funding recipient has not previously applied for advance payment, all the documentation required for an initial application for advance payment must be submitted as well. Approval and use of an emergency advance payment is subject to the same requirements as listed above and while DWR shall endeavor to expedite an emergency request, there is no guarantee that funds can be disbursed more quickly than the usual State process.

Reduction of Withholding Amount

Funding agreements are required to have a minimum withholding amount of ten percent

(10%) of the total award amount pending the satisfactory completion of the project and submission of all deliverables. (Gov. Code, § 10346; State Contract Manual, vol. 1, § 7.33.) This minimum amount is required unless there is statutory authority permitting a reduction or elimination of the withholding amount.

Water Code section 550 permits DWR to reduce or eliminate the withholding amount for funding agreements with local public agencies that have been approved and receive an advance payment, and the project's purpose is to (1) restore habitat for threatened or endangered species, and/or (2) improve flood protection. For any such project that has also been awarded an amount of \$10,000,000 or more, the withholding amount shall be reduced to five percent (5%) and set forth in the funding agreement.

APPENDIX B – Definitions and Acronyms

Acquisition: Obtaining a fee interest or any other interest in real property from willing sellers, including easements, leases, water, water rights, or interest in water obtained for the purposes of instream flows and development rights.

Bioengineering: A technology that encourages scientists and practitioners to combine their knowledge and skills in the management of ecosystems with a common goal to maximize benefits to both the human and natural environment. It involves the use of horticultural and landscape planting techniques with living building materials, in conjunction with grading, earth moving and conventional soil stabilization structures, to produce a self-repairing, low-cost composite bank or channel. For a bioengineering project to be successful, engineers should highlight all potential benefits and ecosystem services by documenting the technical, ecological, economic, and social values.

Certified nonprofit organization: A corporation certified to do business in California and qualified under Section 501(c)(3) of the Internal Revenue Code.

Citizens' Group: An organization of the public which has no official governmental status, including but not limited to clubs, societies, neighborhood organizations, advisory councils, and nonprofit local community conservation corps and other nonprofit organizations.

Co-sponsor: A local agency involved in planning, flood control, or waterway management or an individual or citizens' group interested in floodplain management and stream restoration which, jointly with the sponsor, supports and actively participates in a project. There may be more than one co-sponsor for a single project. If the sponsor is a local public agency, at least one co-sponsor must be a citizens' group and vice-versa.

Community access: engagement programs, technical assistance, or facilities that maximize safe and equitable physical admittance, especially for low-income communities, to natural or cultural resources, community education, or recreational amenities.

Conservation actions on private lands: projects with willing landowners that involve the adaptive flexible management or protection of natural resources in response to changing conditions and threats to habitat and wildlife. The actions may include the acquisition of conservation interests or fee interests in the land. These projects result in habitat conditions on private lands that, when managed dynamically over time, contribute to the long-term health and resiliency of vital ecosystems and enhance wildlife populations.

Daylighting: a process of improving streams or rivers by removing artificial impediments which cover the waterway and restoring the channel to its natural condition.

Disadvantaged community (DAC): a community with a median household income less than 80 percent of the statewide average using U.S. Census data current at the time of an application's submission to DWR.

Eligible costs: expenses incurred by the grantee during the term of the agreement, which may be reimbursed by DWR.

Eligible entities: public agencies, nonprofit organizations, citizens groups, federally recognized Indian Tribes, and state Indian Tribes listed on the Native American Heritage Commission's California Tribal Consultation List.

Endorse or Endorser: a group or individual who expresses written support for a grant application and may or may not have a commitment to actively participate.

Enhancement: the process of improving upon current conditions and may be used to describe a program that would result in a channel gaining desired features, while considering conditions for fish and wildlife. 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 features that were not part of the natural channel.

Flood mitigation measures: refers to several tasks, including: the selective removal of excess sediment or debris deposited during a flood event that is likely to deflect or restrict flows and increase flooding or erosion in the future; bioengineering projects to restore streambanks damaged during flood events; and revegetation efforts to improve the fluvial geomorphology and ecological functions of streams.

Grant Review Team (GRT): consists of staff from DWR's Riverine Stewardship Program and experts from other programs, departments, and agencies, as needed

Indirect costs: expenses that are incurred for a common or joint purpose benefiting more than one objective and are not readily assignable to the funded project (i.e., expenses that are not directly related to the funded project). Examples of indirect costs include but are not limited to: central service costs; general administration of the Grantee organization; non-project-specific accounting and personnel services performed within the Grantee's organization; depreciation or use allowances on buildings and equipment; the costs of operating and maintaining non-project-specific facilities; tuition and conference fees; and, generic overhead or markup.

Interpretation: includes a visitor-serving amenity that enhances the ability to understand and appreciate the significance and value of natural, historical, and cultural resources and that may utilize educational materials in multiple languages, digital information, and the expertise of a naturalist or other skilled specialist.

Local public agency: any political subdivision of the State of California, including but not limited to any county, city, city and county, district, or local community conservation corps agency.

Local Community Conservation Corps: a nonprofit public-benefit corporation formed or operating pursuant to Part 2 (commencing with Section 5110) of Division 2 of Title 1 of the Corporations Code, or an agency operated by a city, or city and county, which is certified by the California Conservation Corps under Section 14507.5 of the Public Resources Code. These organizations may also be referred to as local urban conservation corps or local conservation corps to avoid confusion with the California Conservation Corps.

Management Review Team (MRT): consists of managers from DWR's Riverine Stewardship Program and managers and experts from other programs, departments, and agencies, as needed.

Memorandum of Authorization/Memorandum of Understanding (MOA/MOU): a formal agreement between two or more parties that is not legally binding but carries a degree of seriousness and mutual respect.

Nonstructural: refers to measures that solve flooding or erosion problems without physically changing the dimensions of a waterway. This may include floodplain zoning, land acquisition, flood insurance, watershed management, debris removal, and floodproofing of existing structures by elevating or building a berm around them but does not include constructing storage reservoirs or lining channels.

Preservation: rehabilitation, stabilization, restoration, conservation, development, and reconstruction, or any combination of those activities.

Protection: those actions necessary to prevent harm or damage to persons, property, or natural, cultural, and historic resources, actions to improve access to public open-space areas, or actions to allow the continued use and enjoyment of property or natural, cultural, and historic resources, and includes site monitoring, acquisition, development, restoration, preservation, and interpretation.

Restore or Restoration: the improvement of physical structures or facilities and, in the case of natural systems and landscape features, includes, but is not limited to, projects for the control of erosion, storm water capture and storage or to otherwise reduce storm water pollution, the control and elimination of invasive species, the planting of native species, the removal of waste and debris, prescribed burning, fuel hazard reduction, fencing out threats to existing or restored natural resources, road elimination, improving instream, riparian, or managed wetland habitat conditions, and other plant and wildlife habitat improvement to increase the natural system value of the property or coastal or ocean resource. Restoration also includes activities described in subdivision (b) of Section 79737 of the Water Code.

Sponsor: a local agency involved in planning, flood control or waterway management or an individual or citizens' group interested in floodplain management and stream restoration. which is acting as the principal party making the grant application and which will have primary responsibility for executing the contract, submitting the invoices and receiving reimbursements.

Stable and Stabilize: refers to the state or process of bringing a channel to a condition of equilibrium in which the dimensions and gradient are appropriately matched to the watershed and the runoff of water and sediment, with the objective to have a self- maintaining system.

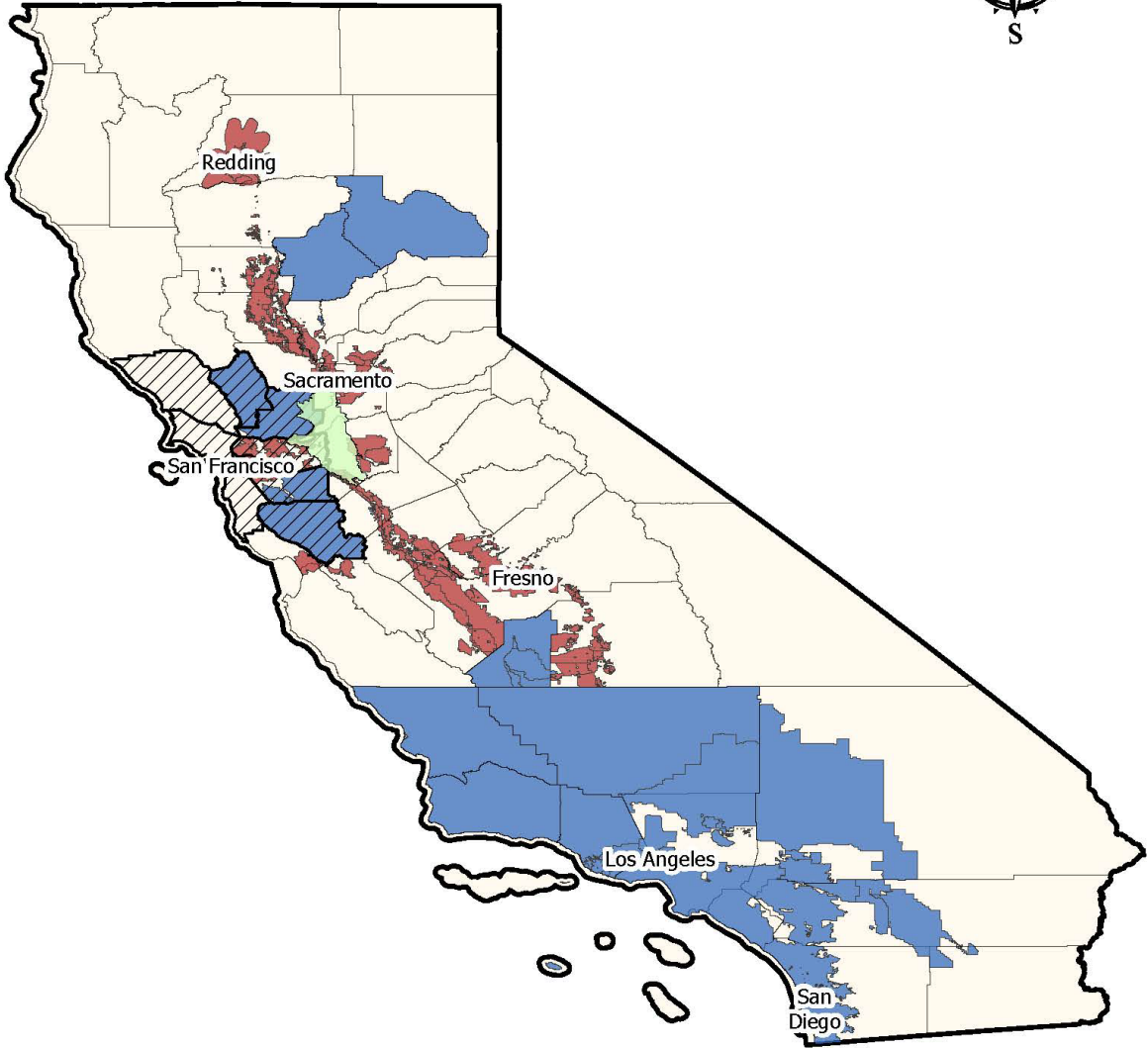
Stream clearance: refers to removal of garbage, junk and excessive vegetation to allow for more effective geomorphic functioning of the stream, so that there is neither excessive deposition or excessive erosion, while maintaining suitable vegetation and woody debris to provide aquatic and riparian habitat.





Technical assistance: a range of multidisciplinary services that are provided by Program staff to support and deliver program goals (see section 3.6 for more information).

Urban stream: a creek that crosses built-up residential, commercial, or industrial property, or which crosses land where development of residential, commercial, or industrial property is planned in the near future.

APPENDIX C— MAP

Riverine Stewardship Program Geographic Limit



-  Association of Bay Area Governments
-  State Water Project Service Area
-  Central Valley Project Service Area
-  Sacramento-San Joaquin Delta Land Use



0 25 50 100 Miles

