

**PROPOSITION 50**

**CLEAN BEACHES INITIATIVE  
GUIDELINES**



**ADOPTED \_\_\_\_\_, 2006**

## TABLE OF CONTENTS

TOPIC	Page #
<b>I. PURPOSE</b>	<b>5</b>
<b>II. BACKGROUND</b>	<b>5</b>
<b>III. OVERVIEW</b>	<b>5</b>
<b>IV. ELIGIBILITY REQUIREMENTS AND PROGRAM PRIORITIES</b>	<b>7</b>
A. PROJECT TIMING, PROGRAM FUND LIMITS, & MATCH REQUIREMENTS	7
i. <i>Timing</i>	7
ii. <i>Funding Match Requirements</i>	7
iii. <i>Funding Match Waiver</i>	8
B. ELIGIBLE APPLICANTS	8
C. ELIGIBLE PROJECT TYPES	8
D. CBI PRIORITIES	9
i. <i>Research Priorities</i>	9
ii. <i>Implementation Project Priorities</i>	10
E. PROGRAM PREFERENCES	10
F. GEOGRAPHIC SCOPE	10
<b>V. PROPOSAL SOLICITATION, REVIEW, &amp; SELECTION PROCESS</b>	<b>12</b>
A. SOLICITATION & SUBMITTAL OF CONCEPT PROPOSALS	12
B. APPLICANT ASSISTANCE WORKSHOPS	12
C. COMPLETENESS REVIEW	12
D. ELIGIBILITY REVIEW	12
E. REVIEW AND SELECTION PROCESS	13
i. <i>Concept Proposal</i>	13
ii. <i>Detailed Application</i>	13
F. GRANT AGREEMENT	14
G. REIMBURSEMENT OF COSTS	14
<b>VI. GENERAL REQUIREMENTS</b>	<b>15</b>
A. CONFLICT OF INTEREST	15
B. CONFIDENTIALITY	15
C. LABOR CODE COMPLIANCE	15
D. CEQA COMPLIANCE	15
E. WAIVER OF LITIGATION RIGHTS	15
F. PROJECT ASSESSMENT & EVALUATION PLANS	16
G. MONITORING & REPORTING	16
H. DATA MANAGEMENT	16
I. GRANT MANAGER NOTIFICATION	16
<b>APPENDIX A: DEFINITIONS</b>	<b>17</b>
<b>APPENDIX B: USEFUL WEB LINKS</b>	<b>21</b>
<b>APPENDIX C: CONCEPT PROPOSAL APPLICATION &amp; EVALUATION CRITERIA</b>	<b>23</b>
<b>APPENDIX C-1: CONCEPT PROPOSAL APPLICATION</b>	<b>24</b>
<i>APPLICATION INSTRUCTIONS</i>	24
<i>GENERAL INFORMATION</i>	25
<i>LEGISLATIVE INFORMATION</i>	26

COOPERATING ENTITIES .....	26
AGENCY CONTACTS .....	26
APPLICATION QUESTIONNAIRE.....	26
I. PROBLEM DEFINITION.....	26
II. SOURCE OF CONTAMINATION.....	27
III. IS THE TECHNOLOGY/SOLUTION LIKELY TO BE SUCCESSFUL.....	27
IV. PROJECT EFFECTIVENESS .....	27
V. BONUS POINTS.....	27
VI. READINESS TO PROCEED.....	28
VII. APPLICANT INFORMATION.....	28
VIII. DISCLAIMER.....	28
APPLICATION ATTACHMENTS .....	29
<b>APPENDIX C-2: CONCEPT PROPOSAL EVALUATION .....</b>	<b>30</b>
<b>APPENDIX D: ENVIRONMENTAL REVIEW PROCESS .....</b>	<b>31</b>
I. PURPOSE.....	31
A. CEQA Requirements .....	31
B. Exemptions from CEQA .....	31
II. DETAILED PROCEDURES .....	32
A. Preparation of an Initial Study (CEQA Guidelines, Section 15063).....	32
B. Negative Declaration .....	32
C. Notice of Completion .....	33
D. Mitigation Monitoring & Reporting Program.....	34
<b>APPENDIX E: PREPARING PROJECT ASSESSMENT AND EVALUATION PLANS .....</b>	<b>35</b>
I. PURPOSE.....	35
II. BACKGROUND .....	35
III. PROJECT PERFORMANCE MEASURES TABLES .....	35

## **ACRONYMS USED IN THESE GUIDELINES AND APPENDICES**

ASBS	Areas of Special Biological Significance
Basin Plan	Regional Water Quality Control Plan
BMP	Best Management Practice
BMD	Beach Mile Day
Cal/EPA	California Environmental Protection Agency
CALFED	California Bay-Delta Authority
California Water Boards	State Water Resources Control Board and Regional Water Quality Control Boards
CBI	Clean Beaches Initiative
CBTF	Clean Beaches Task Force
CCA	Critical Coastal Area
CCC	California Coastal Commission
CEQA	California Environmental Quality Act
CNPS	Coastal Nonpoint Source Pollution Control Program
CP	Concept Proposal
CRO	Cultural Resources Officer
CWA	Clean Water Act
CWC	California Water Code
DCR	Disadvantaged Community Ratio
DFG	Department of Fish and Game
DIVISION	Division of Financial Assistance
EIR	Environmental Impact Report
EQIP	Environmental Quality Incentives Program
FAAST	Financial Assistance Application Submittal Tool
GIS	Geographic Information System
GPS	Global Positioning System
MHI	Median Household Income
MMP	Mitigation Monitoring Plan
MND	Mitigated Negative Declaration
MOU	Memorandum of Understanding
ND	Negative Declaration
NOD	Notice of Determination
NOP	Notice of Preparation
NPS	Nonpoint Source
OPC	Ocean Protection Council
PAEP	Project Assessment and Evaluation Plan
PRC	Public Resources Code
QAPP	Quality Assurance Project Plan
Regional Water Board	Regional Water Quality Control Board
RFMF	Reduced Funding Match Factor
RFP	Request for Proposal
RPL	Recommended Project List
RPU	Division of Financial Assistance Regional Programs Unit
SCH	State Clearinghouse
State Water Board	State Water Resources Control Board
SWAMP	Surface Water Ambient Monitoring Program
TMDL	Total Maximum Daily Load
USCB	United States Census Bureau
USEPA	United States Environmental Protection Agency

## **CLEAN BEACHES INITIATIVE GRANT PROGRAM GUIDELINES**

### **I. PURPOSE**

The purpose of these Guidelines is to establish the process and criteria that the State Water Resources Control Board (State Water Board) will use to solicit applications, evaluate proposals, and award grants for \$23 million Proposition 50, Chapter 5 funds, and the remaining \$2.9 million from the Proposition 13 Clean Beaches Initiative Grant Program (CBI). These Guidelines include the information and documentation applicants will be required to submit to apply for the grant funds.

### **II. BACKGROUND**

The CBI Grant Program was initiated in response to the poor water quality and high exceedences of bacterial indicators revealed by AB 411 (Chapter 765, Statutes of 1997) monitoring at California's beaches. The Budget Act of 2001 appropriated \$32,298,000 from Proposition 13, (the *Costa-Machado Water Act of 2000*), to implement projects at 38 specific beaches.

AB 2534 (Chapter 727, Statutes of 2002), the Watershed, Clean Beaches, and Water Quality Act (Act) was signed into law on September 20, 2002. The Act appropriated \$46 million from the *California Clean Water, Clean Air, Safe Neighborhood Parks, and Coastal Protection Act of 2002* (Proposition 40) for additional CBI grants to help public agencies and non-profit organizations implement projects that protect and restore California's coastal water quality.

Proposition 40 funds were released in two phases. Phase One identified projects from a Priority List based on the need for bacterial reduction at an identified beach and the likelihood of the project successfully reducing bacteria at the beach. Phase Two identified projects from a Competitive Locations List. This list was designed to target specific beaches that are known to have chronic bacterial water quality problems, such as a beach that is persistently posted with signs warning beachgoers of the risks associated with exposure to beach waters.

AB 2534 also required that the State Water Board appoint a Clean Beaches Task Force (CBTF) to review proposals and recommend projects for funding. The CBTF was selected from local agencies, environmental advocacy groups, academia, government, and scientific research organizations representing the breadth and diversity of coastal communities.

In November 2002, voters approved the *Water Security, Clean Drinking Water, Coastal and Beach Protection Act of 2002* (Proposition 50) authorizing the issuance of bonds to fund a variety of water quality improvement projects. The 2005/06 Budget Act appropriated \$23 million of Proposition 50 funds for CBI projects.

### **III. OVERVIEW**

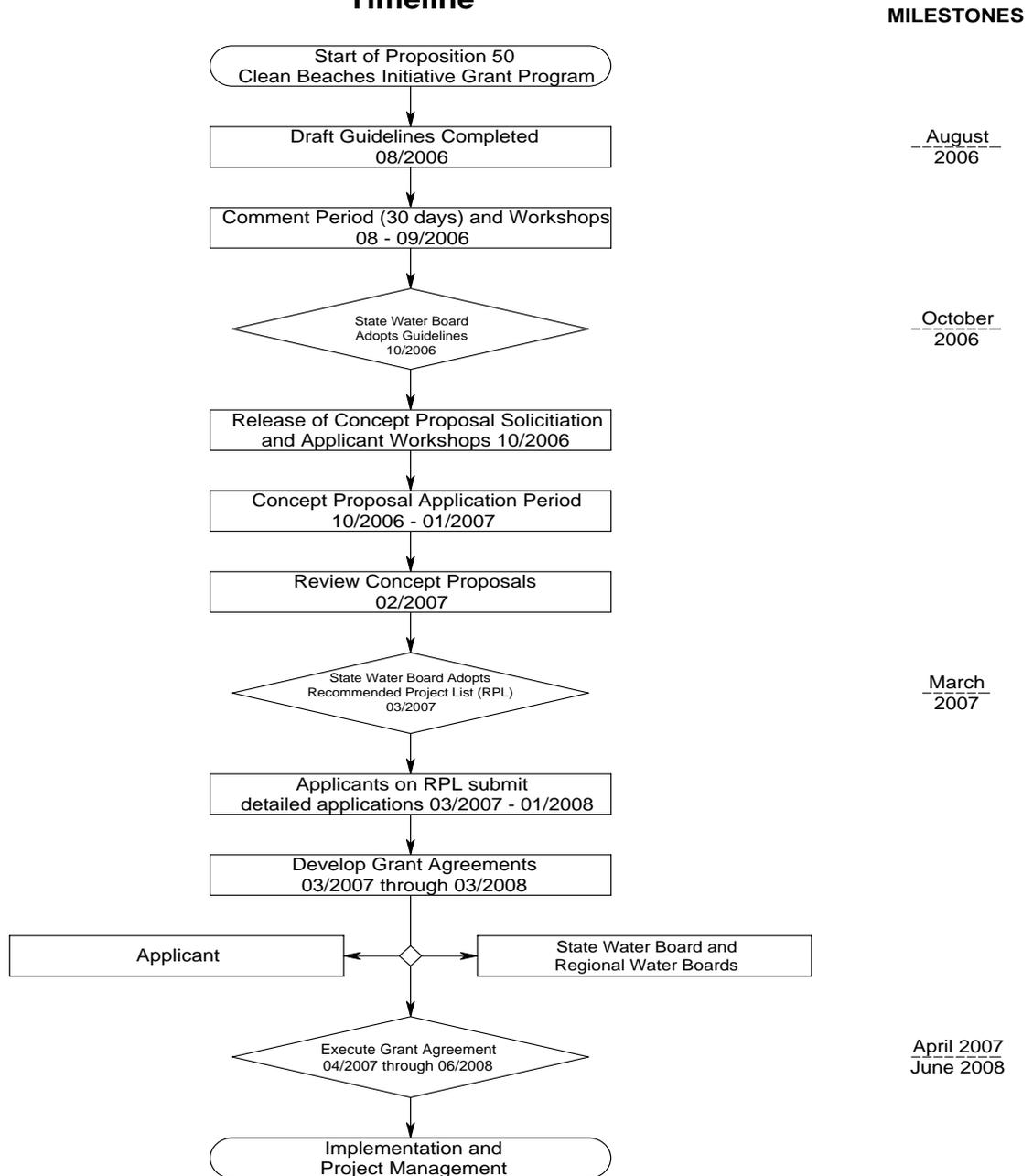
The CBI Grant Program provides funding for projects that restore and protect the water quality and the environment of coastal waters, estuaries, bays, and near shore waters. Funding priority is given to projects that reduce postings and closures on California public beaches caused by bacterial contamination.

**In order to be eligible for funding, the applicant must be an eligible entity identified in [Section IV.B](#) and the projects must 1) be an eligible project type, as identified in the law ([Section IV.C](#)), and 2) address at least one of the CBI Program priorities ([Section IV.D](#)).**

The CBI solicitation will be a two-step process. In the first step, applicants submit Concept Proposals (CPs) through the State Water Board's on-line Financial Assistance Application Submittal Tool ([FAAST](#)). Applicants with the highest-ranking CPs will be placed on a Recommended Project List (RPL) and invited to submit detailed applications. The RPL will include categories for both research and implementation projects, and will contain more projects than there is funding available. The RPL will be presented at a State Water Board meeting for public comment and State Water Board adoption.

Grant funding will be awarded to projects on the adopted RPL in the order complete applications are received until the funding is exhausted. An overview of the CBI Grants Program process and timeline is presented in the flowchart in [Figure 1](#).

**Figure 1**  
**Proposition 50 Clean Beaches Initiative Grant Program**  
**Timeline**



**IV. ELIGIBILITY REQUIREMENTS AND PROGRAM PRIORITIES**

Applications will be evaluated for compliance with the eligibility requirements during the CP phase. Eligibility is based on program funding limits, project timing, match requirements, applicant type, and project type. Proposals that do not meet the eligibility requirements will not be reviewed or considered for funding.

**A. PROJECT TIMING, PROGRAM FUND LIMITS, & MATCH REQUIREMENTS**

The project timing, maximum and minimum grant amounts, and the minimum match requirements are presented in [Table 1](#).

**Table 1 – Project Timing, Maximum and Minimum Grant Amounts, and Match Requirements**

Grant Program	Project Timing	Maximum Grant Amount	Minimum Grant Amount	Minimum Match Requirement <sup>1</sup>
Clean Beaches Initiative	Encumber by June 30, 2008. Complete projects by March 2010. Disburse funds by June 30, 2010.	\$5,000,000	\$125,000	20% for Projects between \$1,000,000 to \$5,000,000 15% for Projects less than \$1,000,000 <sup>2</sup>
<p><sup>1</sup> The match is calculated based on the total project capital cost, not on the amount of the grant. The match requirement may be waived or reduced for projects that directly benefit a disadvantaged community(ies).</p> <p><sup>2</sup> The match requirements for the CBI are established by law and are calculated for the portion of the project consisting of capital costs for construction (CWC, Section 79148.8(f)). See <a href="#">Appendix A</a> for the definition of capital costs.</p>				

**i. TIMING**

Projects on the RPL will be considered for funding in the order complete applications are received. The last possible date to submit a complete application is January 30, 2008 in order to secure a preliminary funding commitment and execute a grant agreement before the funding expiration date of June 30, 2008.

A project is not considered complete until post construction monitoring is conducted and the final report has been reviewed and accepted by the State Water Board grant manager. Construction projects will require a minimum of one dry weather (AB 411) season of post construction monitoring to determine project effectiveness. Therefore, construction must be completed by April 2009, and in all cases, the draft final report must be submitted for review no later than February 1, 2010.

**ii. FUNDING MATCH REQUIREMENTS**

The grantee is required to provide a funding match. “Funding match” means funds made available by the applicant from non-State sources. The funding match may include, but is not limited to, Federal funds, local funding, or donated and volunteer services from non-State sources. A State agency may use State funds and services for the funding match. (California Water Code [CWC] § 79505.5[b-c]) Funding match is calculated for the portion of the project consisting of capital costs for construction. (CWC, § 79148.8[f])

Eligible expenses incurred after adoption of these Guidelines and prior to the project completion date may be directly reimbursed or applied to the funding match. The State Water Board reserves the discretion to review and approve funding expenditures.

### **iii. FUNDING MATCH WAIVER**

The funding match requirement may be waived for projects within disadvantaged communities upon request. The applicant will be required to document that representatives of the disadvantaged community have been or will be involved in the planning and/or implementation process and that project implementation will provide direct benefits to the disadvantaged community. State Water Board staff will review and make the final determination on funding match waiver eligibility.

## **B. ELIGIBLE APPLICANTS**

The eligible applicants are defined in statute. Eligible applicants include:

- Local Public Agencies
- Public Agencies
- Public Colleges
- 501(c)(3) Nonprofit Organizations
- 501(c)(5) Nonprofit Organizations
- Indian Tribes [Limited to federally recognized tribes. To receive grant funds, tribes must waive their sovereign immunity with respect to the project and grant agreement.]
- State Agencies
- Federal Agencies

Definitions of the eligible applicants are presented in [Appendix A](#)

## **C. ELIGIBLE PROJECT TYPES**

Eligible projects must address a CBI Priority, [Section IV.D](#), and are any of the following projects that:

- ❖ Improve water quality at public beaches and make improvements to ensure that coastal waters adjacent to public beaches meet bacteriological standards as set forth in Article 2 (commencing with Section 115875) of Chapter 5 of Part 10 of Division 104 of the Health and Safety Code. Refer to [Appendix B](#) for web links to these statutes.
- ❖ Provide comprehensive capability for monitoring, collecting, and analyzing ambient water quality, including monitoring technology that can be entered into a statewide information base with standardized protocols and sampling, collection, storage, and retrieval procedures.
- ❖ Make improvements to existing sewer collection systems and septic systems for the restoration and protection of coastal water quality.
- ❖ Implement stormwater and runoff pollution reduction and prevention programs for the restoration and protection of coastal water quality.
- ❖ Are consistent with State's NPS control program, as revised to meet the requirements of Section 6217 of the Federal Coastal Zone Act Reauthorization Amendments of 1990, Section 319 of the Federal Clean Water Act (33 U.S.C. Section 1329), and the requirements of Division 7 (commencing with Section 13000). Refer to [Appendix B](#) for web links to these statutes.

All CBI projects must meet the following requirements:

- ❖ All projects must demonstrate capability of contributing to sustained, long-term water quality or environmental restoration or protection benefits for a period of 20 years, address the causes of degradation, rather than the symptoms, and be consistent with water quality and resource protection plans prepared, implemented, or adopted by the State Water Board, the applicable Regional Water Boards, and the California Coastal Commission.

- ❖ If applicable, projects funded must be consistent with recovery plans for coho salmon, steelhead trout, or other threatened or endangered species, and to the extent feasible, must seek to implement actions specified in those plans.
- ❖ No project shall receive funds from the CBI Program if it receives funds from the NPS Pollution Control Subaccount (CWC, Section 79110) or the Proposition 13 Coastal Nonpoint Source Pollution Control Program (CWC, Section 79148).
- ❖ Applicants receiving CBI funds must submit to the State Water Board a monitoring and reporting plan that does all of the following: 1) identifies the source(s) of pollution to be prevented or reduced by the project; 2) describes the baseline water quality or quality of the environment to be addressed; and 3) describes the manner in which the project will be effective in preventing or reducing pollution and in demonstrating the desired environmental results.
- ❖ Upon completion of the project, grantees must submit a report to the State Water Board that summarizes the completed activities and indicates whether the purposes of the project have been met. The report must include information collected by the grantee in accordance with the project monitoring and reporting plan, including a determination of the effectiveness of the project in preventing or reducing pollution. The State Water Board will make the report available to the public, watershed groups, and federal, state, and local agencies.
- ❖ An applicant requesting funds from the CBI Program must inform the State Water Board of any necessary public agency approvals, entitlements, and permits that may be necessary to implement the project. The application must certify to the State Water Board, at the appropriate time, that those approvals, entitlements, and permits have been granted.

## **D. CBI PRIORITIES**

The primary goal of the CBI Program is to implement projects that will result in direct water quality improvements, as measured by the reduction of Beach Mile Days (BMD) of beaches posted or closed. A BMD is the total number of miles of beach posted or closed, multiplied by the corresponding number of days of each beach posting or closure incident.

Projects must address a CBI Priority to be eligible for funding. The CBI Program has identified priorities for research and implementation projects. Concept Proposals will be screened mainly based on their ability to address the identified priorities, with other criteria (e.g., applicant's capabilities and experience, probability of success, technical expertise, etc.) also considered.

### ***i. RESEARCH PRIORITIES***

Up to \$10 million of the available funds are reserved for projects that address the following research priorities. Projects must also be an eligible project type, as identified in the statute ([Section IV.C](#)).

- ❖ Projects to develop and test rapid indicators that detect bacterial contamination in a rapid and cost efficient manner. Projects must be designed to help meet the need for a fast, reliable, accurate and inexpensive way to test beach water quality.
- ❖ Projects to conduct epidemiology studies to better understand and develop methods to monitor the risk of swimming at non-point source contaminated beaches. The need for, and prioritization of, mitigation actions at beaches with high bacterial counts is dependent on a better understanding of the relationship between the bacteria indicators used and health risk. Epidemiology studies should include efforts to associate the incidence of health effects with rapid indicators and new indicators.
- ❖ Projects to develop new quantifiable, accurate and relatively inexpensive indicators: preferably those indicators that are actually human pathogens. The new indicators need to be tied to epidemiology study results to ensure that they are indeed quantifying health risk and must be useable by most environmental microbiology labs.

- ❖ Projects to develop and test Source Tracking tools, as required under *Assembly Bill 538* (Statutes 1999, Chapter 488), to help environmental health managers identify sources of fecal contamination.
- ❖ Projects to evaluate the effectiveness of best management practices (BMPs) such as circulation enhancements, treatment wetlands, and some end of pipe treatment package plants.
- ❖ Projects to improve circulation in enclosed beaches to improve water quality and protect human health.
- ❖ Projects to improve understanding of and the ability to monitor bacterial transport mechanisms, including bacterial magnification and regrowth in sand and storm drains.

## **II. IMPLEMENTATION PROJECT PRIORITIES**

The remaining funds will be for eligible projects that reduce bacterial contamination at priority beaches. Priority beaches are those that meet any one of the following four criteria, or are on the Competitive Location List ([Table 2](#), page 11):

1. High frequency (>4 percent) of bacterial standard exceedences during weekly monitoring of coastal waters (as specified in Health and Safety Code, Section 115880 (AB 411, Statutes of 1997, Chapter 765);
2. A known public health threat or source of human sewage discharge to ocean waters adjacent to a beach;
3. The beach received a grade of “C”, “D”, or “F” on Heal the Bay’s report card at least once during the previous three AB 411 time periods (April 1 to October 31); or
4. Demonstrated bacterial contamination problems. Monitoring results must be provided to demonstrate contamination.

## **E. PROGRAM PREFERENCES**

Bonus points will be given to projects that address the program preferences as listed below. These preferences are reflected in the Concept Proposal Review and Selection Criteria ([Appendix C](#)). The program preferences are:

- ❖ Integrates into a larger project and provide multiple-benefits;
- ❖ Contributes expeditiously and measurably to the long-term attainment and maintenance of water quality standards by implementing a TMDL;
- ❖ Eliminate or significantly reduces pollution into areas of special biological significance (ASBS);
- ❖ Consistent with an existing coho salmon, steelhead trout, or other threatened or endangered species recovery plans; or
- ❖ Improves water quality in disadvantaged communities.

## **F. GEOGRAPHIC SCOPE**

The CBI program must meet specific geographic funding distribution requirements. The CWC, Section 79148.10 requires that, as a whole, Proposition 13 and 50 CNPS funds (\$100,000,000) must be split 60/40 between Southern and Northern California, respectively. Southern California refers to the following counties: Los Angeles, Orange, San Bernardino, Riverside, San Diego, and Ventura.

For this CBI solicitation, no less than \$16.1 million of the available Proposition 50 and \$2 million of Proposition 13 funds will be distributed to projects in Ventura, Los Angeles, Orange, and San Diego counties. The remaining funds will be distributed to projects in the remaining coastal counties.

**Table 2. COMPETITIVE LOCATION LIST**

COUNTY	BEACH NAME
Sonoma	Campbell Cove Beach
Marin	Muir Beach
Marin	Golden Hinde
Marin	China Camp
Marin	McNears Beach
San Francisco	Crissy Field Beach (Station 202.4)
San Francisco	Aquatic Park Beach
San Francisco	Candlestick Point at Windsurfer Circle
San Francisco	Baker Beach at Lobos Creek
San Mateo	Pillar Point Harbor Beach
San Mateo	Venice Beach at Frenchman's Creek
San Mateo	Fitzgerald Marine Reserve Beach at San Vicente Creek
San Mateo	Marina Lagoon Beaches
Santa Cruz	Main Beach at the Boardwalk
Santa Cruz	Rio Del Mar/Seacliff Beaches
Santa Cruz	Cowell Beach
Santa Cruz	Capitola Beach West of the Jetty
Monterey	Stillwater Cove Beach
San Luis Obispo	Pismo Beach at the Pier
San Luis Obispo	Avila Beaches at San Juan & San Luis Streets
Santa Barbara	East Beach at Mission Creek
Santa Barbara	Jalama Beach
Santa Barbara	Arroyo Burro Beach
Ventura	Rincon Beach
Ventura	San Buenaventure Beach near San Jon Rd
Ventura	Kiddie and Hobie Beaches
Los Angeles	Surfrider Beach
Los Angeles	Topanga Beach
Los Angeles	Santa Monica Beach at Montana Street
Los Angeles	Mothers Beach
Los Angeles	Dockweiler Beach at Ballona Creek
Los Angeles	28 <sup>th</sup> Street Beach in Manhattan Beach
Los Angeles	Herondo Beach
Los Angeles	Escondido Beach in Malibu
Los Angeles	Marie Canyon in Malibu
Los Angeles	Latigo Point

COUNTY	BEACH NAME
Los Angeles	Solstice Creek
Los Angeles	Los Flores Creek
Los Angeles	Pulga Canyon at Will Rogers
Los Angeles	Santa Ynez and Castlerock, Pacific Palisades
Los Angeles	Paradise Cove
Los Angeles	Zuma Creek
Los Angeles	Sweetwater Canyon
Los Angeles	Tuna Canyon
Los Angeles	Redondo Beach at the Pier
Los Angeles	Cabrillo Beach
Los Angeles	Colorado Lagoon Beaches
Los Angeles	Avalon Beaches
Orange	Huntington Beach at Brookhurst and Magnolia Streets
Orange	Newport Bay - 19 <sup>th</sup> Street Beach
Orange	Newport Bay - 38 <sup>th</sup> Street Beach
Orange	Newport Bay - 43 <sup>rd</sup> Street Beach
Orange	Harbor Patrol Beach
Orange	Newport Dunes Beaches
Orange	Monarch Beach
Orange	Baby Beach
Orange	Doheny State Beach
Orange	Santa Ana River - beaches both sides
Orange	Poche Beach
San Diego	Pacific Beach
San Diego	Ocean Beach/Dog Beach
San Diego	Oceanside Beach at San Luis Rey River
San Diego	Buccaneer Beach at Loma Alta Creek
San Diego	Border Field SP/Tijuana Slough NWR at Tijuana River
San Diego	Imperial Beach
San Diego	Mission Bay at Bonita Cove
San Diego	Mission Bay at Campland
San Diego	Mission Bay at Visitors Center
San Diego	San Diego Bay Beach at Shelter Island
San Diego	San Diego Bay Beach at Spanish Landing
San Diego	San Diego Bay Beach at Bayside Park
San Diego	San Onofre State Beach at San Mateo Creek

## V. PROPOSAL SOLICITATION, REVIEW, & SELECTION PROCESS

The 2006 CBI solicitation is a two-step process: 1) Concept Proposals (CPs); and 2) submission of complete detailed applications. The solicitation process, review process, and selection process are described below. CP content requirements and review criteria are included in [Appendix C](#).

### A. SOLICITATION & SUBMITTAL OF CONCEPT PROPOSALS

The State Water Board will release a CP Solicitation Notice upon adoption of the Guidelines. The CP Solicitation Notice will identify the due date and time for CP submittals, and will provide detailed instructions on the mechanics of submitting the CP.

The CP Solicitation Notice will be posted on the State Water Board website at:

<http://www.waterboards.ca.gov/cwphome/beaches/index.html>

A CP Solicitation Notice will also be e-mailed to all interested parties on the State Water Board's "Beaches Water Quality Grants" electronic mailing list. Interested parties may sign up for the electronic mailing list at:

[http://www.waterboards.ca.gov/lyrisforms/swrcb\\_subscribe.html](http://www.waterboards.ca.gov/lyrisforms/swrcb_subscribe.html)

The CP application will consist of an on-line application submitted using the State Water Board's FAAST system. The on-line FAAST application for the CP can be found at the following secure link:

<https://faast.waterboards.ca.gov/>

Applications must contain all required items listed in the CP Solicitation Notice. **All applications, including attachments and supporting documentation, must be provided by the submittal deadline. Any material submitted after the deadline will not be reviewed or considered for funding and will be returned to the applicant.**

### B. APPLICANT ASSISTANCE WORKSHOPS

Technical assistance workshops will be conducted to address questions and to provide general assistance to applicants in preparing their CPs. The CP technical assistance workshops will focus on priorities and will include a presentation of general program information. State Water Board staff and CBTF members will be available to assist applicants during the workshops. The dates and locations of the CP workshops will be provided on the State Water Board website at:

<http://www.waterboards.ca.gov/cwphome/beaches/index.html>

In addition to the informational workshops, applicants are encouraged to seek assistance from staff of State Water Board, Regional Water Boards, and the CCC in understanding the funding priorities, program requirements, and completing grant applications.

### C. COMPLETENESS REVIEW

Each CP application will first be evaluated and screened for completeness. **Applications not containing all required information will not be reviewed or considered for funding, and applicants will be notified.**

### D. ELIGIBILITY REVIEW

Complete applications will be evaluated for compliance with eligibility criteria during the CP phase. All proposals must meet the Eligible Applicant requirements in [Section IV.B](#), Eligible Project requirements in [Section IV.C](#), and the priority requirements in Sections [Section IV.D.i](#), or [IV.D.ii](#) **Applications that are determined to be ineligible will not be reviewed or considered for funding, and applicants will be notified.**

## **E. REVIEW AND SELECTION PROCESS**

### ***i. CONCEPT PROPOSAL***

All CPs must be submitted in FFAST by the posted date and time deadline. As the CPs arrive in FFAST, the CPs will be assigned to State Water Board staff for completeness and eligibility review. The CBTF will review all of the eligible CPs.

Each CP will be scored by at least three (3) CBTF members using the FFAST system. CBTF reviewers will not be able to review or participate in discussion of proposals for which they have a conflict of interest. All reviewers will be required to submit a statement disclosing any conflict of interest.

All eligible CPs will be scored based on technical feasibility, ability to address the identified priorities, readiness to proceed, and other criteria outlined in the *Concept Proposal Evaluation: Scoring Criteria* form ([Appendix C](#)).

The CBTF will meet to discuss the projects and determine the final score for a CP. The State Water Board staff will group the CPs into four categories:

- ❖ Invite Applicant to Submit Detailed Application;
- ❖ Invite Applicant to work with CBTF to Improve Proposed Project;
- ❖ Applicant Not Invited to Submit Detailed Application; and
- ❖ Ineligible CP Submittal.

The applicants invited to submit detailed applications will be placed on a Recommended Project List, to a level of at least 125 percent of the available grant funds.

The State Water Board will consider adoption of the Recommended Project List at a State Water Board meeting. Following approval by the State Water Board, eligible applicants will be invited to prepare and submit detailed applications.

### ***ii. DETAILED APPLICATION***

Grant funds will be committed to the projects on the Recommended Project List based on the applicants' timely submittal of complete applications. State Water Board staff will process the detailed applications in the order complete applications are received until the funding is exhausted. The following information will be required for an application to be deemed complete:

- Detailed project description;
- Documentation that the applicant is an organization listed in [Section IV.B](#);
- Names and addresses of contacts that should be notified of CBI funding;
- Documentation that environmental reviews required by the California Environmental Quality Act (CEQA) have been completed;
- A resolution from the applicant agency's Board of Directors authorizing the Project Director to enter into a grant agreement with the State Water Board;
- Draft Scope of Work for the project;
- Schedule for project activities;
- Line Item Budget for the project;
- Project Performance Measures Table(s)
- Evidence that the applicant will be able to fund the operation and maintenance of the project for a period of 20 years;
- Status of any real property or right-of-way acquisitions necessary for the project to proceed.

State Water Board staff will determine when an application is complete and notify the applicant. Funding commitments will be issued by the Deputy Director of the Division.

## **F. GRANT AGREEMENT**

Following funding awards, the State Water Board will execute a grant agreement with the grantee. Grant agreements are not executed until signed by authorized representatives of the grantee and the State Water Board. A copy of a Grant Agreement Template will be available on the State Water Board website at:

<http://www.waterboards.ca.gov/cwphome/beaches/request.html>

Grant agreements will be executed with one eligible grantee per project. This grantee can subcontract with partners that are responsible for implementation of the component projects. The grant funding and the implementation responsibilities will be the province of the grantee. The State Water Board will not have a funding relationship with collaborators. The State Water Board will provide the grant agreement oversight.

Non-responsiveness has been an issue with a handful of past grant recipients. Such non-responsiveness slows down the funding process. In several cases, non-responsiveness has resulted in grant funds being left unused for a substantial and unwarranted amount of time and has caused the termination of grant agreements. For this reason, lack of responsiveness prior to finalizing and executing a grant agreement may result in withdrawal of the grant award. These funds will be made available to other competitive proposals that have submitted complete detailed applications.

## **G. REIMBURSEMENT OF COSTS**

Reimbursable costs are defined in [Appendix A](#). Only direct costs related to the project are allowed. Only work performed within the terms of the grant agreement will be eligible for reimbursement. **Advance funds will not be provided. Funding match requirements are discussed in [Section IV.A](#).**

## **VI. GENERAL REQUIREMENTS**

### **A. CONFLICT OF INTEREST**

All participants are subject to State and Federal conflict of interest laws. Failure to comply with these laws, including business and financial disclosure provisions, will result in the application being rejected and any subsequent grant agreement being declared void. Other legal action may also be taken. Before submitting an application, applicants are urged to seek legal counsel regarding conflict of interest requirements. Applicable statutes include, but are not limited to, California Government Code Section 1090, California Public Contract Code Sections 10410 and 10411.

### **B. CONFIDENTIALITY**

Once the proposal has been submitted to State Water Board, any privacy rights as well as other confidentiality protections afforded by law with respect to the application package will be waived.

The location of all projects awarded funding must be reported to the State Water Board and will be available to the public in the project files. Additionally, the State Water Board reports project locations to the public through internet-accessible databases. The locations of all monitoring points and all monitoring data generated for ambient monitoring must be provided to the State Water Board and will not be kept confidential. The State Water Board uses Geographical Positioning System (GPS) coordinates for project/sampling locations. See Monitoring and Reporting ([Section VI.G](#)) for additional information on monitoring and reporting requirements.

### **C. LABOR CODE COMPLIANCE**

California Labor Code, Section 1771.8 requires the body awarding a grant agreement for a public works project financed in any part with funds made available by Propositions 13 or 50 to adopt and enforce a labor compliance program pursuant to California Labor Code Section 1771.5(b). Compliance with applicable laws, including California Labor Code provisions, will become an obligation of the grantee under the terms of the grant agreement between the grantee and the State Water Board. California Labor Code Section 1771.8 provides, where applicable, that the grantee's Labor Compliance Program must be in place at the time of awarding of a grant agreement for a public works project by the grantee.

Before submitting an application, applicants are urged to seek legal counsel regarding California Labor Code compliance. See [Appendix B](#) for web links to the California Department of Industrial Relations.

### **D. CEQA COMPLIANCE**

All projects funded under the 2006 Clean Beaches Initiative Grants Program must comply with the California Environmental Quality Act (CEQA) (PRC § 21000 *et seq.*). See [Appendix B](#) for links to CEQA information and the State Clearinghouse Handbook.

Grantees are responsible for complying with all applicable laws and regulations for their projects, including CEQA, if applicable. State Water Board selection of a project for a grant does not foreclose appropriate consideration of alternatives or mitigation measures that would reduce or eliminate adverse environmental effects of that project during the CEQA review process. No work that is subject to CEQA may proceed until clearance is given by the State Water Board, a responsible agency. Details about the State Water Board's environmental review process can be found in [Appendix D](#). In most cases, CEQA clearance will be requested prior to agreement execution.

### **E. WAIVER OF LITIGATION RIGHTS**

Under no circumstances may a Grantee use funds from any disbursement under this Grant Agreement to pay costs associated with any litigation the Grantee pursues against the State Water Resources

Control Board or any Regional Water Quality Control Board. Regardless of the outcome of any such litigation, and notwithstanding any conflicting language in this agreement, the Grantee agrees to complete the Project funded by this agreement or to repay all of the grant funds plus interest.

## **F. PROJECT ASSESSMENT & EVALUATION PLANS**

All Detailed Applications must include the performance measure tables ([Appendix E.III](#)) that form the basis of the Project Assessment and Evaluation Plan (PAEP) to summarize how project performance will be assessed, evaluated, and reported. The goals of the PAEP are to:

- ❖ Provide a framework for assessment and evaluation of project performance;
- ❖ Identify measures that can be used to monitor progress towards achieving project goals and desired outcomes;
- ❖ Provide a tool for grantees and grant managers to monitor and measure project progress and guide final project performance reporting that will fulfill the grant agreement requirements;
- ❖ Provide information to help improve current and future projects; and
- ❖ Quantify the value of public expenditures to achieve environmental results.

The PAEP will be submitted after the grant agreement is executed and will include a summary of project goals, the desired project outcomes, the appropriate performance measures to track the project progress, and measurable targets that the applicant thinks are feasible to meet during the project period. The PAEP is not intended to be a monitoring plan. PAEP guidance is presented in [Appendix E](#).

## **G. MONITORING & REPORTING**

All projects affecting water quality must include a monitoring component that, where applicable, allows integration of data into statewide monitoring efforts, including the Surface Water Ambient Monitoring Program (SWAMP) and/or the Groundwater Ambient Monitoring Assessment (GAMA) Program. Both programs include data quality assurance and quality control requirements. Projects that include water quality monitoring must include development of an appropriate monitoring plan, Quality Assurance Project Plan (QAPP), and tasks. For surface water monitoring, the QAPP must be prepared in accordance with the SWAMP QAPP template, which is available on-line at:

<http://www.waterboards.ca.gov/swamp/index.html>

Projects must include the development and submittal of progress reports and a final report. The proposals should identify the frequency of progress report submittal.

## **H. DATA MANAGEMENT**

Projects must include appropriate data management activities so that project data can be incorporated into appropriate statewide data systems. Project-generated data will be available to the stakeholders, agencies, and the public in the California Water Boards files. Web links to additional information on the State Water Board's statewide data management efforts are provided in [Appendix B](#).

## **I. GRANT MANAGER NOTIFICATION**

Grantees will be required to notify State Water Board staff prior to conducting construction, monitoring, demonstration, or other implementation activities so that State Water Board staff may observe to verify activities are conducted in accordance with the grant agreement. State Water Board staff may document the inspection with photographs or notes, which may be included in the project file.

## ***APPENDIX A: DEFINITIONS***

**Applicant** – means an entity that files an application for funding under the provisions of Proposition 13 or 50 with the State Water Resources Control Board.

**Application** – refers to the electronic submission to the State Water Resources Control Board that requests grant funding for the project that the applicant intends to implement. It includes the responses to the questions included in the on-line application system as well as the proposal.

**Areas of Special Biological Significance** – means areas designated by the State Water Resources Control Board as requiring protection of species or biological communities to the extent that alteration of natural water quality is undesirable. All areas of special biological significance are State Water Quality Protection Areas as defined in Public Resources Code § 36700(f). There are 34 designated areas of special biological significance, which are listed in the California Ocean Plan.

**Beneficial Uses** - refers to the uses that streams, lakes, rivers, and other water bodies, have to humans and other life. These uses, or beneficial uses, are outlined in a Water Quality Control Plan, also called a Basin Plan. Categories of beneficial uses include water contact recreation, non-water contact recreation, municipal water supply, cold fresh water habitat, and more. Each body of water in the State has a set of beneficial uses it supports that may or may not include all categories of beneficial uses. Different beneficial uses require different water quality control. Therefore, each beneficial use has a set of water quality objectives designed to protect that beneficial use. Below is a list of some of the beneficial uses.

Water used for the following purposes: domestic (homes, human consumption, etc.), irrigation (crops, lawns), power (hydroelectric), municipal (water supply of a city or town), mining (hydraulic conveyance, drilling), industrial (commerce, trade, industry), fish and wildlife preservation, aquaculture (raising fish etc. for commercial purposes), recreational (boating, swimming), stockwatering (for commercial livestock), water quality, frost protection (misting or spraying crops to prevent frost damage), heat control (water crops to prevent heat damage), ground water recharge, agriculture, etc.

**Capital Cost** - as defined in Public Resources Code, Section 32025, “cost” as applied to a project, or a part thereof, financed under this division, or any part of, the costs of construction and acquisition, of all lands, structures, real or personal property, rights, rights-of-way, franchises, easements, and interests acquired or used for a project, the cost of demolition or removal of any buildings or structures on land so acquired, including the cost of acquiring any lands on which buildings or structures may be removed, the cost of all machinery and equipment, financing charges, interest prior to, during, and for a period after completion of the construction, as determined by the authority, provisions for working capital, reserves for principal and interest, and for extensions, enlargements, additions, replacements, renovations, and improvements, the cost of architectural, engineering, financial, and legal services, plans, specifications, estimates, administrative expenses, and other expenses necessary or incident to determining the feasibility of constructing any project, or incident to the construction or acquisition or financing of any project.

**Clean Beaches Task Force** – A State Water Board appointed group that reviews and recommends projects to the State Water Board for funding from Proposition 50. The Clean Beaches Task Force represents the “breadth and diversity” of California’s coastal communities and was selected from local agencies, environmental advocacy groups, academia, government, and scientific research organizations.

**Critical Coastal Areas (CCA) Program** – means an innovative program, required by California’s Nonpoint Source Pollution Plan to foster collaboration among local stakeholders and

## ***APPENDIX A: DEFINITIONS***

government agencies, to better coordinate resources and focus efforts on coastal-zone watershed areas in critical need of protection from polluted runoff.

**Disadvantaged Community** – means a community with an annual median household income that is less than 80 percent of the statewide annual median household income (California Water Code § 79505.5 (a)).

**Encumbrance** – means the commitment of part or all of an appropriation by a governmental unit for goods or services not yet received. These commitments are expressed by such documents as contracts or agreements, and cease to be encumbrances when they are paid or otherwise cancelled.

**Environmental Justice** – means the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income with respect to the development, adoption, implementation, and enforcement of environmental laws, regulations, and policies. Fair treatment means that no group of people, including racial, ethnic, or social-economic groups should bear a disproportionate share of the negative environmental consequences resulting from industrial, municipal, and commercial operations, or the execution of Federal, State, local, and tribal programs and policies.

**Evaluation Criteria** – means the set of requirements used to choose a project for a given program or for funding; the specifications or criteria used for selecting or choosing a project based on available funding.

**Funding Match** – means funds made available by the grantee from non-State sources. The funding match may include, but is not limited to, federal funds, local funding, or donated and volunteer services from non-State sources. A State agency may use State funds and services. (California Water Code § 79505.5 [b-c]) Eligible reimbursable expenses incurred after adoption of the Guidelines and prior to the project completion date can be applied to the funding match. Additionally, education and outreach may qualify as a portion of the funding match.

**Grantee** – refers to a grant recipient such as public agencies, local public agencies, public colleges, tribes, or nonprofit organizations as defined in this Appendix, which are eligible for grant funding.

**Granting Agency** – means the agency that is funding a proposal and with which a grantee has a grant agreement. The State Water Resources Control Board will be the granting agency for the 2006 Clean Beaches Initiative Program.

**Impaired Water Body** – means surface waters identified by the Regional Water Quality Control Boards as impaired because water quality objectives are not being achieved or where the designated beneficial uses are not fully protected after application of technology-based controls. A list of impaired water bodies is compiled by the State Water Resources Control Board pursuant to section 303(d) of the Clean Water Act.

**Indian Tribes** – refers to federally recognized tribes.

**Local Public Agency** – is any city, county, city and county, or district.

**Management Measures** – means economically achievable measures for the control of the addition of pollutants from existing and new categories and classes of nonpoint sources of pollution, which reflect the greatest degrees of pollutant reduction achievable through the application of the best available nonpoint pollution control practices, technologies, processes, siting criteria, operating methods, or alternatives.

## ***APPENDIX A: DEFINITIONS***

**Nonpoint Source Pollution (NPS)** - NPS Pollution is water pollution that does not originate from a discrete point, such as a sewage treatment plant outlet. NPS pollution is a by-product of land use practices, such as those associated with farming, timber harvesting, construction management, marina and boating activities, road construction and maintenance, mining, and urbanized areas not regulated under the point source stormwater program. Primary pollutants include sediment, fertilizers, pesticides and other pollutants that are picked up by water traveling over and through the land and are delivered to surface and ground water via precipitation, runoff, and leaching. From a regulatory perspective, pollutant discharges that are regulated under the National Pollutant Discharge Elimination System Permit (NPDES) are considered to be point sources. By definition, all other discharges are considered nonpoint sources of pollution.

**Nonprofit Organization** – means any California corporation organized under Sections 501(c)(3) or 501(c)(5) of the Federal Internal Revenue Code.

**Section 501(c)(3)** defines Nonprofit Organizations as:

“Corporations, and any community chest, fund, or foundation, organized and operated exclusively for religious, charitable, scientific, testing for public safety, literary, or educational purposes, or to foster national or international amateur sports competition (but only if no part of its activities involve the provision of athletic facilities or equipment), or for the prevention of cruelty to children or animals, no part of the net earnings of which inures to the benefit of any private shareholder or individual, no substantial part of the activities of which is carrying on propaganda, or otherwise attempting, to influence legislation (except as otherwise provided in subsection (h)), and which does not participate in, or intervene in (including the publishing or distributing of statements), any political campaign on behalf of (or in opposition to) any candidate for public office.”

**Section 501(c)(5)** defines Nonprofit Organizations as:

“Labor, agricultural, or horticultural organizations.”

**Northern California** – means those counties not listed below as “Southern California.”

**Pollutant Load Reduction** – means the decrease of a particular contaminant in the impaired waterbody resulting from the implementation of the project.

**Project** – refers to the entire set of actions, including planning, permitting, constructing, monitoring, and reporting on all of the proposed activities, including structural and non-structural implementation of management measures and practices.

**Project Area** - refers to the geographical boundaries, as defined by the applicant, which encompass the area where the project will be implemented/constructed, including the area where the benefits and impacts of project implementation or planning activities extend. For projects to develop local watershed management plans, the project area includes the entire area included in the planning activities.

**Proposal** – refers to all of the supporting documentation submitted that details the project and actions that are proposed for funding pursuant to an application for a grant.

**Proposition 13** – is the “Costa Machado Water Act of 2000”, as set forth in Division 26 of the California Water Code (commencing at § 79000).

**Proposition 50** – is the “Water Security, Clean Drinking Water, Coastal and Beach Protection Act of 2002”, as set forth in Division 26.5 of the California Water Code (commencing at § 79500).

## ***APPENDIX A: DEFINITIONS***

**Public Agency** – is any city, county, city and county, district, the State, or any agency or department thereof.

**Public Colleges** – refers to State Universities, Universities of California, and community colleges.

**Public Works** – as defined in the California Labor Code, Section 1720.

**Reimbursable Costs** – means costs that may be funded under Proposition 50. Reimbursable costs include the reasonable costs of engineering, design, legal fees, preparation of environmental documentation, environmental mitigation, and project implementation.

Costs that are not reimbursable with grant funding include, but are not limited to:

- a. Costs, other than those noted above, incurred outside the terms of the grant agreement with the State;
- b. Purchase of equipment not integral to the project;
- c. Establishing a reserve fund;
- d. Replacement of existing funding sources for ongoing programs;
- e. Expenses incurred in preparation of the Concept Proposal and Full Proposal;
- f. Purchase of land; and
- g. Payment of principal or interest of existing indebtedness or any interest payments unless the debt is incurred within the terms of the grant agreement with the State, the granting agency agrees in writing to the eligibility of the costs for reimbursement before the debt is incurred, and the purposes for which the debt is incurred are otherwise reimbursable project costs.

**Source Tracking** – means biological, chemical or spatial analysis tools that identify the geographical location or biological origins of fecal contamination.

**Southern California** – means the Counties of San Diego, Riverside, Orange, Los Angeles, San Bernardino, and Ventura.

**Stakeholder** – is an individual, group, coalition, agency, or others who are involved in, affected by, or have an interest in the implementation of a specific program or project.

**303(d) List** – refers to section 303(d) of the Clean Water Act that requires each state to periodically submit to the United States Environmental Protection Agency a list of impaired waters. Impaired waters are those that are not meeting the State's water quality standards. Once the impaired waters are identified and placed on the list, section 303(d) requires that the State establish total maximum daily loads that will meet water quality standards for each listed water body.

**Total Maximum Daily Load (TMDL)** – identifies the maximum quantity of a particular pollutant that can be discharged into a water body without violating a water quality standard, and allocates allowable loading amounts among the identified pollutant sources.

## **APPENDIX B: USEFUL WEB LINKS**

**Areas of Special Biological Significance (ASBS)**      <http://www.waterboards.ca.gov/plnspols/asbs.html>

### **CEQA Information**

Environmental Information: <http://ceres.ca.gov/index.html>

California State Clearinghouse Handbook: [http://www.opr.ca.gov/planning/PDFs/sch\\_handbook.pdf](http://www.opr.ca.gov/planning/PDFs/sch_handbook.pdf)

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

**California Legislative Information**      <http://www.leginfo.ca.gov/>

California Water Code (CWC):

<http://www.leginfo.ca.gov/cgi-bin/calawquery?codesection=wat&codebody=&hits=20>

Public Resources Code (PRC): <http://www.leginfo.ca.gov/cgi-bin/calawquery?codesection=prc>

**Department of Industrial Relations**      <http://www.dir.ca.gov/>

**Environmental Justice**      <http://www.waterboards.ca.gov/education/justice.html>

**Environmental Justice Coalition for Water**      <http://www.ejcw.org>

**Environmental Justice Program (USEPA's)**      <http://www.epa.gov/compliance/environmentaljustice/index.html>

**Natural Resources Conservation Services Technical Resources**      <http://www.nrcs.usda.gov/technical>

### **Performance Assessment and Evaluation Plan Websites**

PAEP Tools and Project Performance Measures Table(s)

<http://www.waterboards.ca.gov/funding/paep.html>

Project Planning, Research, Monitoring, and Assessment (many of these resources also apply to BMP implementation or habitat restoration effectiveness monitoring)

<http://www.waterboards.ca.gov/nps/volunteer.html>

<http://www.waterboards.ca.gov/swamp/qapp.html>

<http://www.calfish.org/DesktopDefault.aspx?tabId=112>

Education and Outreach

[http://www.michigan.gov/deq/0,1607,%207-135-3313\\_3682\\_3714-75944--,00.html](http://www.michigan.gov/deq/0,1607,%207-135-3313_3682_3714-75944--,00.html)

[http://cecommerce.uwex.edu/pdfs/G3658\\_10.PDF](http://cecommerce.uwex.edu/pdfs/G3658_10.PDF)

Pollutant Load Reduction Activities

<http://it.tetrattech-ffx.com/stepl/>

<http://www.sccwrp.org/pubs/annrpt/96/ar-04.htm>

## **APPENDIX A: USEFUL WEB LINKS**

### **Habitat Restoration**

<http://www.dfg.ca.gov/nafwb/manual.html>  
<http://www.dfg.ca.gov/nafwb/pubs.html>  
[http://www.dfg.ca.gov/hcpb/species/stds\\_gdl/survmonitr.shtml](http://www.dfg.ca.gov/hcpb/species/stds_gdl/survmonitr.shtml)  
<http://www.epa.gov/watertrain>  
<http://www.waterboards.ca.gov/sanfranciscobay/Agenda/04-16-03/Stream%20Protection%20Circular.pdf>  
<http://water.usgs.gov/nawqa/protocols/OFR-93-408/habit1.html>

**Proposition 50 Bond Language** [http://resources.ca.gov/bonds\\_prop50.html](http://resources.ca.gov/bonds_prop50.html)

### **Regional Water Boards Watershed Management Initiative Chapters**

Region 1: <http://www.waterboards.ca.gov/northcoast/programs/watermanageinit.html>  
Region 2: <http://www.waterboards.ca.gov/sanfranciscobay/watershedmanagement.htm>  
Region 3: [http://www.waterboards.ca.gov/centralcoast/WMI/WMI\\_2002\\_Final\\_Document\\_Revised\\_1-22-02.pdf](http://www.waterboards.ca.gov/centralcoast/WMI/WMI_2002_Final_Document_Revised_1-22-02.pdf)  
Region 4: [http://www.waterboards.ca.gov/losangeles/html/programs/regional\\_programs.html](http://www.waterboards.ca.gov/losangeles/html/programs/regional_programs.html)  
- Watershed  
Region 8: <http://www.waterboards.ca.gov/santaana/html/wmi.html>  
Region 9: <http://www.waterboards.ca.gov/sandiego/programs/wmc.html>

### **Regional Water Quality Control Plans (Basin Plans)**

Region 1: <http://www.waterboards.ca.gov/northcoast/programs/basinplan/basin.html>  
Region 2: <http://www.waterboards.ca.gov/sanfranciscobay/basinplan.htm>  
Region 3: <http://www.waterboards.ca.gov/centralcoast/BasinPlan/Index.htm>  
Region 4:  
[http://www.waterboards.ca.gov/losangeles/html/meetings/tmdl/Basin\\_plan/basin\\_plan.html](http://www.waterboards.ca.gov/losangeles/html/meetings/tmdl/Basin_plan/basin_plan.html)  
Region 8: [http://www.waterboards.ca.gov/santaana/html/basin\\_plan.html](http://www.waterboards.ca.gov/santaana/html/basin_plan.html)  
Region 9: <http://www.waterboards.ca.gov/sandiego/programs/basinplan.html>

### **State Water Board Program Information**

303d List: [http://www.waterboards.ca.gov/tmdl/303d\\_lists.html](http://www.waterboards.ca.gov/tmdl/303d_lists.html)  
Critical Coastal Areas Program: <http://www.coastal.ca.gov/nps/cca-nps.html>  
California Ocean Plan: <http://www.waterboards.ca.gov/plnspols/oplans/index.html>  
Division of Financial Assistance: <http://www.waterboards.ca.gov/funding/index.html>  
NPS Plan: <http://www.waterboards.ca.gov/nps/5yrplan.html>  
NPS Program: <http://www.waterboards.ca.gov/nps/protecting.html>  
Stormwater Program: <http://www.waterboards.ca.gov/stormwtr/index.html>  
TMDL List: <http://www.waterboards.ca.gov/funding/docs/tmdlolist.doc>

### **State Water Board Statewide Data Management Programs**

Surface Water Ambient Monitoring Program:  
<http://www.waterboards.ca.gov/swamp/index.html>  
SWAMP QAPP Template:  
[http://www.waterboards.ca.gov/swamp/docs/swampqapp\\_template032404.doc](http://www.waterboards.ca.gov/swamp/docs/swampqapp_template032404.doc)

**US Census 2000** <http://www.census.gov/main/www/cen2000.html>

**APPENDIX C: CONCEPT PROPOSAL APPLICATION & EVALUATION  
CRITERIA**

**Appendix C-1 Concept Proposal Application**

**Appendix C-2 Concept Proposal Evaluation Criteria**

## **APPENDIX C-1: CONCEPT PROPOSAL APPLICATION**

### APPLICATION INSTRUCTIONS

This section provides instructions for preparing and submitting an application. It is important that the applicants follow the instructions to ensure that their application will address all of the required elements. Applicants are reminded that, once the application has been submitted to the State Water Board, any privacy rights as well as other confidentiality protections afforded by law with respect to the application package will be waived.

**A complete application must be submitted no later than 5:00 p.m. on <date TBD>.** Applicants must submit a complete application online using the State Water Board Financial Assistance Application Submittal Tool (FAAST). The on-line FAAST application for the Clean Beaches Initiative Grant Program will be available no later than <date TBD> at the following secure link:

<https://faast.waterboards.ca.gov>.

Applicants are encouraged to review the FAAST User Manual and Frequently Asked Questions, available at the above link, before creating a user account and completing the online application. When an applicant has created a user account and begins to fill out an application, FAAST assigns a unique proposal identification number (PIN). Applicants should make note of this number as it is used when an applicant needs assistance with FAAST. A new PIN will be assigned to the Step 2 Proposal; however, the Step 1 PIN must be entered into FAAST for tracking and reference purposes.

FAAST allows an applicant to save an application in progress online and submit the application when the applicant has gathered and entered all requested information. After the application is submitted, an automated confirmation email will be sent to the applicant confirming the date and time of submission. Applicants are strongly encouraged to avoid last minute submittals to allow time for FAAST staff assistance should any submittal problems occur. **Applicants are also strongly encouraged to review their complete application prior to executing the submit function in FAAST. Once an application has been submitted no further modifications, additions, or deletions will be allowed.**

To print out a blank copy of the entire application:

1. Initiate a new application and fill out the following three fields on the first page: "Project Title", "Project Description", and "Responsible Regional Water Board." Applicants can come back to edit these fields later.
2. Click on the "Save and Continue" button to initiate the application process.
3. Click on the "Preview/Submit Application" button and select the "Print" option from the browser "File" menu.

**Non-Profit Organizations:** If the applicant is a nonprofit organization, the applicant must use the organization name that is registered with the California Secretary of State: <http://kepler.ss.ca.gov/list.html>. If a different name was initially used, please see [FAAST User Manual](#), Section V.A. (<https://faast.waterboards.ca.gov>) for instructions on changing the name.

APPENDIX C-1: Concept Proposal Application

The grant application in FFAST consists of seven sections outlined below in Table 1 – FFAST Checklist. Within FFAST, pull-down menus, text boxes, or multiple-choice selections will be used to receive answers to the questions. FFAST will allow applicants to type text or cut and paste information from other documents directly into a FFAST submittal screen.

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

Att#\_PIN\_AttachmentName\_#ofTotal#

Where:

- ◆ “Att#” is the attachment number;
- ◆ “PIN” is the applicant’s PIN assigned by FFAST;
- ◆ “AttachmentName” is the name of the attachment; and
- ◆ “#ofTotal#” identifies the number of files that make up an attachment, where “#” is the number of a file and “Total#” is the total number of files submitted in the attachment.

For example, if Attachment 3 – Work Plan for applicant with PIN “1234” is made up of 3 files, the second file in the set would be named “Att3\_IG2\_1234\_WorkPlan\_2of3”.

FFAST tracks attachments by an **attachment title, not by file name**. The file name section in FFAST requires a computer path to the file location on the applicant’s computer. While there is no specific naming convention given here for the file name, applicants should consider using a name similar to the attachment title to simplify personal file management. **Do not use special characters such as dashes, asterisks, symbols, spaces, percentage signs, etc. Underscores are acceptable, as shown above.**

The checklist below is provided as a guide for applicants to ensure that they have submitted the required information.

Table 1 – FFAST Checklist	
1.	<b>GENERAL INFORMATION</b> <i>The following fields must be completed.</i>
<input type="checkbox"/>	<u>Project Title</u> – Provide title of the Proposal. <b>If this item is not completed, FFAST will not accept the application.</b>
<input type="checkbox"/>	<u>Project Description</u> – Provide a brief description of the Proposal. The length of the Project Description is limited to 1,000 characters including spaces and returns. <b>If this item is not completed, FFAST will not accept the application.</b>
<input type="checkbox"/>	<u>Applicant Details</u> – Provide the name and address of the applicant organization.
<input type="checkbox"/>	<u>Project Director</u> – The Project Director is the person responsible for filing an application and executing a grant agreement and subsequent amendments for the applicant. Persons that are subcontractors to be paid by the grant cannot be listed as the Project Director. <u>Project Manager</u> – The Project Manager is the day-to-day contact on this project from Applicant Organization.
<input type="checkbox"/>	<u>Grant Funds Requested</u> – Provide amount of grant funds requested for the Proposal in dollars.
<input type="checkbox"/>	<u>Local Cost Match</u> – “Local Cost Match” is the same as “Funding Match” in the Guidelines. Provide Funding Match for the Proposal in dollars. <b>A minimum Funding Match of 10% of the total cost of</b>

<b>Table 1 – FAAST Checklist</b>	
	<b>the Proposal is required for Clean Beaches Initiative Grants unless a waiver or reduction of the funding match is requested.</b>
<input type="checkbox"/>	<u>Total Budget</u> – Provide total cost for the Proposal in dollars.
<input type="checkbox"/>	<u>Latitude/Longitude</u> – Enter latitude/longitude coordinates of the approximate midpoint of the Project Location in degrees using decimal format.
<input type="checkbox"/>	<u>Watershed</u> – Provide name(s) of the watershed(s) the Project is located. If the Project covers multiple watersheds, list the primary watershed first.
<input type="checkbox"/>	<u>County</u> – Provide the county in which the Project is located. If the Project covers multiple counties, select “Multiple Counties” from the drop down list.
<input type="checkbox"/>	<u>Responsible Regional Water Board</u> – Provide the name of the Regional Water Quality Control Board (Regional Water Board) in which the Project is located. If the Project extends beyond one Regional Water Board boundary, select “Statewide” from the drop down list. <b>If this item is not completed FAAST will not accept the application.</b>
2.	<b>LEGISLATIVE INFORMATION</b>
<input type="checkbox"/>	Enter the State assembly, State senate, and U.S. congressional districts in which the Project is located. For Projects that include more than one district, please enter each district. Look at tables provided in FAAST to assist with determining the appropriate districts.
3.	<b>COOPERATING ENTITIES</b>
<input type="checkbox"/>	Include entities that have/will assist the applicant in Proposal development or implementation. Provide name(s) of cooperating entity(ies), role/contribution to Proposal, first and last name of entity contact, phone number, and email address.
4.	<b>AGENCY CONTACTS</b>
<input type="checkbox"/>	If the applicant has been collaborating with State and Federal agencies (DWR, Regional Water Board, State Water Board, U.S. Environmental Protection Agency (USEPA), etc.) in Proposal development, please provide agency name, agency contact first and last name, phone, and email address. This information is used to identify individuals who may have an understanding of a Proposal and in no way indicates an advantage or disadvantage in the ranking process.
5.	<b>APPLICATION QUESTIONNAIRE</b>
	<i>The answers to these questions will be used in processing the application and determining eligibility and completeness.</i>
	<b><i>1. PROBLEM DEFINITION - Answer the following questions to describe the beach water quality problem the Project is addressing.</i></b>
<input type="checkbox"/>	<b>Q1.</b> How does the beach affected by the Project meet the criteria in <a href="#">Section IV.D.i</a> or <a href="#">Section IV.D.ii</a> ?
<input type="checkbox"/>	<b>Q2.</b> Provide data on the number of posting and closures by year and the population of affected for at least two years. Additional data should be included if available..
<input type="checkbox"/>	<b>Q3.</b> What is the water quality problem(s) the project is proposing to solve?
<input type="checkbox"/>	<b>Q4.</b> Describe the impaired waters, their beneficial uses, and the water quality problem(s) that interfere with the beneficial uses of those waters. Beneficial uses associated with a water body can be found in each RWQCB Basin Plan located on their website ( <a href="#">Appendix B</a> ).
<input type="checkbox"/>	<b>Q5.</b> If necessary, provide additional problem definition information not addressed in the previous

<b>Table 1 – FAAST Checklist</b>	
	questions.
	<b>Q6.</b> Attach a map or diagram depicting the project and watershed, and provide photographs of the proposed site.
	<b><u>II. SOURCE OF CONTAMINATION</u></b> – Use the following questions to explain how well you understand the source of the contamination.
<input type="checkbox"/>	<b>Q7.</b> What are possible or known sources of bacteria or pathogens? Describe any studies or data collection efforts that have been done to confirm these conclusions. Attach copies of reports (or any data that might be available but unreported to date) on the “Attachments” tab of the FAAST application.
<input type="checkbox"/>	<b>Q8.</b> What is the quantity and origin of the flow to be treated?
<input type="checkbox"/>	<b>Q9.</b> If necessary, provide additional information about the source of contamination that was not addressed in the previous questions.
	<b><u>III. IS THE TECHNOLOGY/SOLUTION LIKELY TO BE SUCCESSFUL</u></b> – Describe the proposed Project and discuss why you think it will be successful.
<input type="checkbox"/>	<b>Q10.</b> Provide a list and brief description of all major project work items and the associated schedule for completion of all major project work items.
<input type="checkbox"/>	<b>Q11.</b> Is this a phased project or part of a larger project effort? Please explain the objectives, framework, and scheduling for the larger project. Note whether there is a commitment to complete the entire project.
<input type="checkbox"/>	<b>Q12.</b> Describe any computer models, management practices, specialized testing, or other extraordinary methods and materials that will be implemented or used as part of this project.
<input type="checkbox"/>	<b>Q13.</b> Indicate the expected project benefits to water quality and beneficial uses.
<input type="checkbox"/>	<b>Q14.</b> If necessary, provide additional information about the proposed solution that was not addressed in the previous questions.
	<b><u>IV. PROJECT EFFECTIVENESS</u></b> – Explain how you propose to measure the Project effectiveness. Topics could include:
<input type="checkbox"/>	<b>Q15.</b> How do you propose to measure and document your project’s benefits to water quality and beneficial uses (e.g. before and after concentrations of a constituent, percent load reduction, data that conforms to the Surface Water Ambient Monitoring Program template and Quality Assurance Project Plan, amounts of storm water captured, etc.)?
	<b><u>V. BONUS POINTS</u></b>
<input type="checkbox"/>	<b>Q16.</b> If applicable, describe if the project is an integral part of a larger project, or how it provides multiple benefits.
<input type="checkbox"/>	<b>Q17.</b> Indicate if this project is implementing a Total Maximum Daily Load (TMDL). If yes, identify the TMDL by name.
<input type="checkbox"/>	<b>Q18.</b> Is the project located in an area of special biological significance (ASBS)? (Select yes or no from the drop down menu.) If yes, identify the ASBS in the box below and briefly describe how your project will benefit the ASBS. A list of ASBSs is available on-line at: <a href="http://www.waterboards.ca.gov/plnspols/asbs.html">http://www.waterboards.ca.gov/plnspols/asbs.html</a>
<input type="checkbox"/>	<b>Q19.</b> If applicable, describe the Project’s consistency with the existing coho salmon, steelhead trout, or other threatened or endangered species recovery plans. Describe how the Proposal seeks to implement actions specified in those plans.

APPENDIX C-1: Concept Proposal Application

<b>Table 1 – FFAST Checklist</b>	
<input type="checkbox"/>	<b>Q20.</b> Does the project improve water quality in a disadvantaged community? Yes or No. If yes, the applicant must complete Attachment 6 – Disadvantaged Communities.
7.	<b><i>VI. READINESS TO PROCEED</i></b>
<input type="checkbox"/>	<b>Q22.</b> Provide the status of all environmental documents required for the project. All projects that require CEQA compliance will be allowed to use funds for reimbursement of CEQA costs. The amount budgeted should be consistent with the size and complexity of the project. Work that is subject to CWEQA shall not proceed until the SWRCB has received documents that satisfy the CEQA process and the SWRCB has approved a grant commitment for the project. If draft CEQA documents are available, the project applicant should attach those. The applicant should send 2 copies of the final environmental document to the SWRCB and 15 copies to the State Clearinghouse.
<input type="checkbox"/>	<b>Q23.</b> List any permits, approvals, or design standards that must be obtained/met before the project can be implemented. (All grant recipients will be required to certify prior to final disbursement that they have obtained all necessary permits and approvals required to construct their projects.)
<input type="checkbox"/>	<b>Q24.</b> Is project planning and design complete?
8.	<b><i>VII. APPLICANT INFORMATION</i></b>
<input type="checkbox"/>	<b>Q25.</b> Have you or any cooperating entities applied for other funds from another program for this specific project? (This includes programs not administered by the State Water Board.) If yes, identify the agency and program.
<input type="checkbox"/>	<b>Q26.</b> Has the Applicant or any Cooperating Entities entered into a contract or grant agreement: (1) that was terminated; (2) in which funds were withheld by the State Water Board; or (3) that has been the subject of an audit in which there were findings regarding the management of the project or funds by the Applicant or a Cooperating Entity? If so, please explain in the box below, including actions taken to address the problem(s).
<input type="checkbox"/>	<b>Q27.</b> Is the Applicant or was the Applicant a party to a current or pending legal challenge to any State Water Board or Regional Water Board regulation or order, which either requires performance of the project, or though not required, whose terms or conditions would be satisfied in whole or in part by performance of the project? If so, please explain in the box below (include the name and case number in your explanation).
9.	<b><i>VIII. DISCLAIMER</i></b>
<input type="checkbox"/>	_____ (Initials): The <u>Project Director</u> has read and understands the General Terms and Conditions of the Grant Agreement. If the Project Director does not agree with the terms and conditions, a grant award may be denied. (All applicants will be required to check the box and initial next to the statement.)

**Table 1 – FFAST Checklist**

**APPLICATION ATTACHMENTS**  
 Provide the attachments listed below by attaching files to the FFAST application. For instructions on attaching files, please refer to the FFAST User Manual. When attaching files, applicants must use the naming convention noted above.  
 File size for each attachment submitted via FFAST is limited to 10 Megabytes (MB). Acceptable file formats are: MS Word, MS Excel, MS Project, or PDF. If the application has files larger than 10 MB, files must be mailed to the State Water Board on a CD.

6. The mailing address is:  
     Ms. Laura Peters  
     State Water Resources Control Board  
     Division of Financial Assistance  
     1001 I Street, 15th floor  
     Sacramento, CA 95814

All CDs and the cover page of any hardcopy documents must be clearly labeled with the applicant name, project title, grant program name, and PIN.

Attachment #		Attachment Title
<input type="checkbox"/>	Attachment 1	Project Site/Location Map
<input type="checkbox"/>	Attachment 2	Environmental Clearance Checklist and CEQA Documentation
<input type="checkbox"/>	Attachment 3	Draft Grant Agreement
<input type="checkbox"/>	Attachment 4	Project Performance Measures Table(s)
<input type="checkbox"/>	Attachment 5	Technical Report(s) (If Applicable)
<input type="checkbox"/>	Attachment 6	Disadvantaged Communities (If Applicable)
<input type="checkbox"/>	Attachment 7	Letters of Support or Opposition (If Applicable)

## ***APPENDIX C-2: CONCEPT PROPOSAL EVALUATION***

<b>CLEAN BEACHES INITIATIVE GRANTS PROGRAM CONCEPT PROPOSAL EVALUATION: ELIGIBILITY REVIEW</b>		
<b>SCORED CRITERIA</b>	<b>SCORE</b>	<b>POINTS POSSIBLE<sup>1</sup></b>
<b>I. PROBLEM DEFINITION</b>		10
<b>II. SOURCE OF CONTAMINATION</b>		10
<b>III. IS THE TECHNOLOGY/SOLUTION LIKELY TO BE SUCCESSFUL</b>		20
<b>IV. PROJECT EFFECTIVENESS</b>		5
<b>V. BONUS POINTS</b>		10
<b>VI. READINESS TO PROCEED</b>		5
<b>VII. APPLICANT INFORMATION</b>		0

<sup>1</sup> In section I – IV, each criterion will be scored on a scale of 0 to 5, 0 to 10, or 0 to 20 with a 0 being “low” and a 5, 10, or 20 being “high.” Points are assigned for each criterion, as indicated in the Scoring Table below.

SCORING TABLE			
Score Range			Scoring Rationale
0-5	0-10	0-20	
5	10	20	Criterion is fully addressed and supported by logical rationale.
3-4	7-9	15-19	Criterion is fully addressed but marginally supported by logical rationale.
2	4-6	10-14	Criterion is marginally addressed and marginally supported by logical rationale.
1	1-3	1-9	Criterion is marginally addressed and not supported by logical rationale.
0	0	0	Applicant is not responsive (i.e., the criterion is not addressed and no rationale is presented).

In Section V, two points will be added for each yes answer that can be substantiated.

In Section VI, three points will be added if the CEQA process is complete. Additionally, one point each will be added if: 1) project design is complete, and 2) the needed permits are secured.

The questions in Section VII must be completed for the applicant to be considered for funding.

## ***APPENDIX D: ENVIRONMENTAL REVIEW PROCESS***

### **I. PURPOSE**

This document details steps the applicants must take to comply with environmental review requirements for the Clean Beaches Initiative Grants Program administered by the State Water Resources Control Board (State Water Board), Division of Financial Assistance (Division).

Generally, the process is accomplished through compliance with the California Environmental Quality Act (CEQA). Detailed requirements are given in the CEQA Guidelines (California Code of Regulations, Title 14, Division 6, Chapter 3). For information on how to obtain a copy of CEQA and the CEQA Guidelines, contact the State Clearinghouse at (916) 445-0613.

This document is intended to supplement the CEQA Guidelines with specific requirements for environmental documents acceptable to the State Water Board when reviewing applications for funding; they are not intended to supersede or replace the CEQA Guidelines.

Questions regarding environmental procedures and practices should be directed to the Division's Regional Programs Unit (RPU), at (916) 341-5686 or (916) 341-5667. Questions regarding cultural resources should be directed to the Division's Cultural Resources Officer (CRO) at (916) 341-5690.

Additional information is available at the web links listed under "CEQA Information" in [Appendix B](#).

#### **A. CEQA REQUIREMENTS**

As defined under CEQA, the applicant may be the *Lead Agency* and will be responsible for the preparation, circulation, and consideration of the environmental document prior to approving the project. The State Water Board and other agencies having jurisdiction over the proposed project are *Responsible Agencies* and are accountable for reviewing and considering the information in the environmental document prior to approving any portion of the project.

The applicant may use a Negative Declaration (ND), a Mitigated Negative Declaration (MND), or an Environmental Impact Report (EIR) to comply with CEQA requirements. The applicant may use a previously prepared document accompanied by a checklist to determine if the project is adequately covered. If the project is not adequately covered by an existing document, an updated or subsequent document should be prepared. Applicants should contact the Division before they decide to use an existing final document.

Public participation: For all projects, public participation and review are essential to the CEQA process (CEQA Guidelines, section 15087). An earnest public participation program can improve the planning process and reduce the chance of delays due to public controversy. Each public agency, consistent with its existing activities and procedures, should include formal and informal public involvement and receive and evaluate public reactions to environmental issues related to its project. Public comments or controversies not addressed during the planning of a proposed project could result in the need for a subsequent environmental document at a later stage or lead to legal challenges, delaying the project and raising the cost significantly. For assistance in this area, the applicant should call the RPU.

#### **B. EXEMPTIONS FROM CEQA**

In many circumstances, the applicant's project may be approved under a statutory or categorical exemption from CEQA. Applicants should submit the exemption findings to the Division for these projects. After the Lead Agency approves the statutory or categorical exemption for the project, the Lead Agency should file a Notice of Exemption with the County Clerk and provide a copy of the Notice to the Division.

A *Notice of Exemption* should include:

- ❖ A brief description of the project;
- ❖ A finding that the project is exempt;

## ***APPENDIX D: ENVIRONMENTAL REVIEW PROCESS***

- ❖ References stating the applicable statutory or categorical exemption in the law or State guidelines; and
- ❖ A brief statement supporting the finding of exemption.

Categorical Exemptions cannot be used if the project is in an environmentally sensitive area. Compliance with applicable federal environmental regulations including consultation with federal authorities is required for some exempt projects.

### **II. DETAILED PROCEDURES**

#### **A. PREPARATION OF AN INITIAL STUDY (CEQA GUIDELINES, SECTION 15063)**

An *Initial Study* is a preliminary analysis prepared by the Lead Agency to determine whether an EIR or a ND should be prepared. The Initial Study uses the fair argument standard to determine if a project may have a significant environmental effect that cannot be mitigated before public release of the environmental document. The criteria for "significance" of impacts (CEQA Guidelines, sections 15064 et seq.) must be based on substantial evidence in the record and includes:

- ❖ Direct effects;
- ❖ Reasonably foreseeable indirect effects;
- ❖ Expert disagreement;
- ❖ Considerable contribution to cumulative effects; and
- ❖ Special thresholds for historical and archaeological resources.

If an applicant can determine that an EIR will clearly be required for the project, an Initial Study is not required but may still be desirable to focus the analysis of impacts.

The Initial Study must include:

- ❖ A project description;
- ❖ An environmental setting;
- ❖ Potential environmental impacts;
- ❖ Mitigation measures for any significant effects;
- ❖ Consistency with plans and policies; and
- ❖ The names of preparers.

If a checklist is used, it must be supplemented with explanations for all applicable items, including the items that are checked "no impact." Checklists should follow the format used in Appendix G of the most recent revision (1999 or later) of the CEQA Guidelines.

If the project has no significant effect on the environment, the applicant should prepare a ND (or MND) and Initial Study (CEQA Guidelines, section 15371).

#### **B. NEGATIVE DECLARATION**

A *Negative Declaration* is a written statement, briefly explaining why a proposed project will not have a significant environmental effect. It must include:

- ❖ A project description;
- ❖ The project location;
- ❖ The identification of the project proponent;
- ❖ A proposed finding of no significant effect; and
- ❖ A copy of the Initial Study.

For MNDs, the mitigation measures included in the project to avoid significant effects must be described.

The applicant must provide a notice of intent to adopt a ND (CEQA Guidelines, Section 15072) specifying:

## ***APPENDIX D: ENVIRONMENTAL REVIEW PROCESS***

- ❖ The review period;
- ❖ The time and location of any public meetings or hearings on the proposed project;
- ❖ A brief project description; and
- ❖ The location that copies of the proposed ND or MND is available for review.

A copy of the notice of intent and the proposed ND must be mailed to responsible and trustee agencies, agencies with jurisdiction, and all parties previously requesting notice. Since the State Water Board will be a Responsible Agency, the ND/Initial Study also needs to be circulated through the State Clearinghouse (CEQA Guidelines, sections 15072 and 15073). The notice of intent must be posted in the county clerk's office and sent to the State Clearinghouse with fifteen (15) copies of the ND.

After the review period ends, the applicant should review and address comments received. The applicant's decision-making body should make a finding that the project will have no significant effect on the environment based on the commitment to adequately mitigate significant effects disclosed in the Initial Study or the lack of significant effects, and the absence of significant comments received, and adopt the ND.

### **C. NOTICE OF COMPLETION**

Draft environmental documents must be submitted to the State Clearinghouse for review by state agencies (CEQA Guidelines, section 15205). The applicant needs to send fifteen (15) copies of the ND to the State Clearinghouse, unless the State Clearinghouse approves a lower number in advance (Section 15205(e)).

The applicant may use the standard *Notice of Completion and Environmental Document Transmittal Form* included in the CEQA Guidelines ([Appendix B](#)), or develop a similar form to be used when submitting the documents. The Notice of Completion must include:

- ❖ A brief project description;
- ❖ The project location;
- ❖ The address where the draft environmental document is available; and
- ❖ The public review period.

On the backside of the form, applicants should put a check on any of the "REVIEWING AGENCIES" that they would like draft documents to be sent to including "State Water Board – Financial Assistance," otherwise the State Clearinghouse will select the appropriate review agencies.

The applicant must also send a formal transmittal letter to the State Clearinghouse giving them the authority to distribute the copies of the document. If a consultant is preparing the draft environmental document, the consultant must obtain a formal transmittal letter from the applicant stating that they give permission to the consultant to send the copies of the document to the State Clearinghouse. The letter should include the State Clearinghouse number (SCH#).

If the applicant needs a shorter review period than the 30 or 45-day period required by the CEQA Guidelines, the applicant, not the consultant, must submit a written request. This formal request can be included in the transmittal letter stating the reasons for a shorter review period. Use the following address to send documents to the State Clearinghouse:

STATE CLEARINGHOUSE  
OFFICE OF PERMIT ASSISTANCE  
GOVERNOR'S OFFICE OF PLANNING AND RESEARCH  
P.O. Box 3044  
SACRAMENTO, CA 95812-3044

The focal point of the CEQA review is the State Clearinghouse. The review starts when the State Clearinghouse receives your ND/Initial Study or MND at which time it will assign a SCH# to the project. If a Notice of Preparation (NOP) was previously filed, the State Clearinghouse will use the SCH# assigned to the

## ***APPENDIX D: ENVIRONMENTAL REVIEW PROCESS***

NOP. This ten-digit number (e.g. SCH# 2002061506) is very important and should be used on all documents, such as inquiry letters, supplemental drafts, final environmental documents, etc. The State Clearinghouse will send the applicant an *Acknowledgment of Receipt* card when the document is received. If applicants have questions about the State Clearinghouse procedures, they should call (916) 445-0613.

To ensure that responsible agencies, including the Division, will receive copies of the environmental document for review, the applicant should send them directly to the agencies. This submittal does not replace the requirement to submit environmental documents to the State Clearinghouse for distribution (CEQA Guidelines, section 15205(f)). The applicant is also responsible for sending copies of the environmental documents to any local or federal responsible agency with jurisdiction over any part of the proposed project.

After the review period ends, the State Clearinghouse should send the applicant a letter stating that the review process is closed and that they have complied with the review requirements. Any comments from state agencies will be forwarded with the letter. Lack of response from a state or federal agency does not necessarily imply concurrence.

When the comment period closes, the applicant should review all comments received during the review process, including any oral comments received at formal or informal public meetings. The applicant should then consider whether comments are significant enough to require a complete revision of the environmental document or the proposed project, or whether minor changes in the document or addition of mitigation measures could adequately address the issues raised.

Within five days after the applicant's decision making body has made a decision to proceed with the project, the applicant should prepare and file a *Notice of Determination* (NOD) with the Governor's Office of Planning and Research and the local County Clerk (see Appendix D of the CEQA Guidelines).

### ***D. MITIGATION MONITORING & REPORTING PROGRAM***

In a MND, when a potentially significant impact can be mitigated to avoid or substantially reduce the project's significant environmental effect, a Mitigation Monitoring Plan (MMP) should be adopted (CEQA Guidelines, section 15097). The MMP is implemented to ensure that mitigation measures and project revisions identified in the Final MND are implemented; in some cases, they are made a condition of project approval by a Responsible Agency. The MMP must include all changes in the proposed project that mitigate each significant environmental impact and ensure implementation of each mitigation measure. The MMP should also identify how the mitigation measure is to be monitored to determine if it is meeting the specified performance standard or measure of success. The MMP is often made part of the draft MND so that the Lead Agency can make revisions based on public comment.

Effective MMPs:

1. State the objective of the mitigation measure and why it is recommended;
2. Explain the specifics of the mitigation measure and how it will be implemented;
3. Identify measurable performance standards by which the success of the mitigation can be determined;
4. Provide for contingent mitigation if monitoring reveals that the success standards are not satisfied;
5. Identify who is responsible for implementing the mitigation measure;
6. Identify the specific location of the mitigation measure; and
7. Develop a schedule for implementation.

## ***APPENDIX E: PREPARING PROJECT ASSESSMENT AND EVALUATION PLANS***

### **I. PURPOSE**

The purpose of this Appendix is to provide background information on Project Assessment and Evaluation Plans (PAEPs) and the Project Performance Measures Tables.

### **II. BACKGROUND**

Monitoring, assessment, and performance measures must be designed so that the State Water Resources Control Board (State Water Board) can ensure that the projects meet their intended goals, achieve measurable outcomes, and provide value to the State of California. The State Water Board requires that all grant funded projects monitor and report project performance with respect to the stated benefits or objectives identified in the Proposal. **Applicants are required to prepare and submit Project Performance Measures Tables, specific to their proposed project, as part of the Detailed Application submittal.** As part of the grant agreement, all grantees must prepare a PAEP, which will include the performance measures tables. Guidance and tools for preparing a PAEP and the accompanying Project Performance Measures Tables can be found on our website ([Appendix B](#)).

The goals of a PAEP are to:

- ❖ Provide a framework for assessment and evaluation of project performance;
- ❖ Identify measures that can be used to monitor progress towards achieving project goals and desired outcomes;
- ❖ Provide a tool for grantees and grant managers to monitor and measure project progress and guide final project performance reporting that will fulfill the grant agreement requirements;
- ❖ Provide information to help improve current and future projects; and
- ❖ Quantify the value of public expenditures to achieve environmental results.

Many projects include multiple activities that will require measurement of several parameters to evaluate overall project performance. Successful applicants must be prepared to demonstrate the success of the project through the development and measurement of the appropriate metrics. These metrics may include water quality measurements; measurement-based estimates of pollution load reductions; acres of habitat restored; feet of stream channel stabilized; additional water supply; improved water supply reliability and flexibility; groundwater level measurements; stream flow measurements; or other quantitative measures or indicators. These and other measures and/or indicators should be selected to fit the performance evaluation needs of the Project.

### **III. PROJECT PERFORMANCE MEASURES TABLES**

Project Performance Measures Tables must be submitted as part of the Detailed Application submittal. Applicants may be required to complete multiple Performance Measures Tables depending on what types of activities are proposed. Use the following guidance when completing tables for a project:

<b>Project Goals:</b>	Identify the project goals as they relate to activities or items outlined in the proposal/grant agreement.
<b>Desired Project Outcomes:</b>	Identify the measurable results that the project expects to achieve by implementing project activities consistent with the specified goals.
<b>Project Performance Measures:</b>	Appropriate project performance measures that include: (1) Output Indicators representing measures to efficiently track outputs (activities, products, or deliverables); and (2) Outcome Indicators, measures to evaluate change that is a direct result of the work and can be linked through a weight-of-evidence approach to project activities or outputs (e.g.

## ***APPENDIX E: PREPARING PROJECT ASSESSMENT AND EVALUATION PLANS***

	improvements in environmental conditions, awareness, participation, or community, landowner, or local government capacity);
<b>Measurement Tools and Methods:</b>	Methods of measurement or tools that will be used to document project performance (e.g. California Rapid Assessment Method, California Department of Fish and Game Monitoring Protocols for fisheries restoration projects); and
<b>Targets:</b>	Measurable targets that are feasible to meet during the Project period, such as a ninety percent (90%) reduction in invasive species acreage, or fifty percent (50%) reduction in pesticide use within the watershed.

Example Project Performance Measures Tables are provided on the State Water Board's website ([Appendix B](#)). The format of these tables may be used as a template for completing this part of the Detailed Application submittal. The example activities are provided for illustrative purposes only, however, and should be used to guide the identification of appropriate categories and performance measures for the project described in the recommended Concept Proposal.