Pilot Project Grant Application Information and Instructions

Administered by the State Water Resources Control Board (State Water Board), Division of Financial Assistance (Division), the Financial Assistance Application is designed to help determine your eligibility for planning or design funding through the Water Recycling Funding Program (WRFP).

This package includes the instructions for completing the application for Recycled Water Pilot Project Grant (Pilot Project) financing.

Before proceeding with your application, please read the *Water Recycling Funding Program Guidelines.* The Pilot Project process is described in Section III:

https://www.waterboards.ca.gov/water_issues/programs/grants_loans/water_recycling/docs/wrfp_guidelines.pdf

Objective:

The objective of the WRFP is to add new and innovative technologies and data to the body of knowledge for potable reuse of wastewater

The WRFP is interested in funding projects that are ready to proceed within 12 months from the solicitation closing date.

Submitting Your Application

You can help the review process by ensuring your application contains accurate and complete information. To avoid delays in the processing of your application, we recommend:

- ✓ Contact the Division of Financial Assistance as early as possible to coordinate your application with your project's schedule; contact information is provided on the next page.
- ✓ Submit a complete application package.

   (NOTE: Projects with an incomplete application will not be selected.)

- ✓ Sign and date the application where indicated.

The application and attachments must be submitted electronically. Applicants are required to utilize the Financial Assistance Application Submittal Tool (FAAST) to streamline the application submittal and review process:

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Apply online via the FAAST: https://faast.waterboards.ca.gov

To submit a WRFP application in FAAST you must complete all the tabs in FAAST and attach the WRFP Pilot Project Grant Application. (Note: Attaching the application is not the same as submitting the application. Once the WRFP Pilot Project Grant Application has been uploaded, you must still complete the application by clicking on the "Submit" button.)

To submit additional documents for the same project, **DO NOT** start a new application, instead click on the Submitted Applications link on the Main Menu and choose the project from the list of previously submitted applications. Open the Attachments tab, and then the Post-Submission sub-tab. Choose which document from the Attachment Category drop-down list and then select the file to upload. The project manager will receive an email notification letting them know you have submitted additional information for review.

Documents submitted via FAAST are non-confidential and are available for disclosure in a public records request.

The following FAAST resources are available online:
Frequently Asked Questions
How-to-Videos
User Manual

If you need assistance, you can also contact the FAAST Help Desk, which is staffed Monday through Friday 8am through 5pm, at 1-866-434-1083 or FAAST_ADMIN@waterboards.ca.gov.

CONTACT INFORMATION

If you have general questions regarding the program, contact the WRFP at
(916) 324-8404
or
Michael.Downey@waterboards.ca.gov

PILOT PROJECT GRANT APPLICATION INSTRUCTIONS

Section I – Applicant Information

Applicant (Entity) Name – Enter the entity that will be the legal signatory to a grant agreement.

Entity Type – Enter one of the following entity types:
- Public – local (including cities, counties, and districts with water or wastewater authority)
- Other – please specify

Charter City/County – Indicate if the applicant is a charter city/county.

Street Address – Enter the applicant's physical street address. Make sure to enter the applicant's zip code plus the 4-digit add-on code.

Mailing Address – Enter the applicant's mailing address, if different from the street address. Make sure to enter the zip code plus the 4-digit add-on code for the mailing address.

Congressional District(s) – Enter the Congressional district(s) where the project will be physically located. If the project will span multiple Congressional Districts (i.e., a pipeline project), list all affected districts. A map of California Congressional Districts can be found at http://www.house.gov/representatives/find/.

State Senate and Assembly District(s) – Enter the State Senate district(s) and State Assembly district(s) where the project will be physically located. Refer to http://findyourrep.legislature.ca.gov/.

County – Enter the County (or Counties) where the project will be physically located.

Regional Water Board - Check the Regional Water Quality Control Board (Regional Water Board) jurisdiction(s) where the project will be physically located or affected by the project. A list of Regional Water Boards can be found at http://www.waterboards.ca.gov/publications_forms/publications/factsheets/docs/region_brds.pdf.

Federal Tax ID No. – Enter the Federal tax identification number of the applicant.

Authorized Representative Name, Title - The authorized representative is the person who has been authorized by resolution or ordinance to sign and submit the application materials, certify compliance with applicable state and federal laws, execute the financial assistance agreement and amendments, and certify disbursement requests.

Auth. Rep. Phone - Enter the authorized representative's telephone number.

Auth. Rep. Email – Enter the authorized representative's email address.

General Contact Person – Enter the name of the person who is the day-to-day contact for the project. This person should be able to answer general questions about the project and application.

General Contact Person Phone – Enter the contact person's telephone number.

General Contact Person Email – Enter the contact person's email address.

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Section II – Project Information

Project Title – Enter the title or name of the project.

WRFP Pilot Project Grant Amount Requested – Enter the total project cost and grant amount requested.

(NOTE: The maximum grant is 35% of the total eligible construction cost up to a maximum grant of $1,000,000.)

Project Schedule – Enter the construction start, construction completion and final report submittal date.

(NOTE: Construction expenses incurred prior to July 1, 2018 are not eligible.)

Local and Other Funds – Include what type of funds will be used to cover the entire Project cost.

Section III – Environmental Compliance

Select how the project will comply with environmental requirements. Environmental compliance should be complete at the time the application is submitted. The Recipient shall submit proof of completed environmental documents prior to preparation of a funding agreement.

Categorical Exemption – Recipient shall submit date-stamped copy of a Notice of Exemption filed with the Governor's Office of Planning and Research (OPR), State Clearinghouse and County Clerk.

MND, IS/MND, EIR – Recipient shall submit the adopted/certified California Environmental Quality Act (CEQA) document along with all supporting documents and date-stamped copy of Notice of Determination filed with the OPR, State Clearinghouse and County Clerk.

Section IV – Water Rights

Water Diversion – Place a check (✓) in the box to indicate whether the entity is a water diverter and is subject to section 5103 of the Water Code. Subdivision (e)(1) states that on or after January 1, 2012, monthly records of water diversion must be reported to the State Water Board's Division of Water Rights.

Section V – Regulatory Information

NPDES Permit or WDR Order No. – Enter the National Pollutant Discharge Elimination System Permit number or the Waste Discharge Requirement number for the facility where the piloting is taking place, if applicable.

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Section VI - Discussion of Material Events, Material Obligation Conditions, and Any Debt Limit

Identify any current, prior or pending material events such as bankruptcy, defaults, litigation, grand jury findings, unscheduled draws on reserve funds, substitution of insurers or their failure to perform, actions taken in anticipation of filing Chapter 9, and relevant conditions in material obligations.

Section VII – Attachments

Technical Attachments:

- ✓ 1 – **Work Plan**: Refer to Exhibit A for a guide on what to include in the plan.

- ✓ 2 - **Certification for Compliance with Water Metering Form:** Water Code sections 525 through 529.7 prohibit water purveyors, both agricultural and urban, from receiving State funds if metering requirements are not met. If you are an urban water supplier (i.e., supply to more than 3,000 customers or supplying more than 3,000 acre-feet annually), you must comply with this requirement. Please consult with your legal counsel and review sections 525 through 529.7 of the Water Code before completing this certification.

- ✓ 3 – **Proof of Urban Water Management Plan compliance (if applicable):** Urban water suppliers must submit proof that an Urban Water Management Plan has been submitted to the Department of Water Resources, per Water Code Section 10653.

Financial Attachment:

- ✓ 4 - **Authorizing Resolution/Ordinance:** This resolution or ordinance designates the Authorized Representative(s) for the project, who will have the authority to sign and submit the WRFP application materials, certify compliance with applicable state and federal laws, execute the financial assistance agreement and amendments, and certify disbursement requests. A draft resolution can be submitted along with the application. The Recipient shall submit the final signed resolution prior to preparation of a funding agreement

- ✓ 5 – **Audited Financial Statements:** Provide complete audited financial statements for the most recent year.

- ✓ 6 – **Relevant Service, Management, Operating, or Joint Powers Agreements:** If applicable, provide a copy of any relevant, service, management, operating, or joint powers agreements and any amendments.

Certification and Signature of Authorized Representative

The authorized representative is the person who has the authority to sign and submit the application materials, certify compliance with applicable state and federal laws, execute the financial assistance agreement and amendments, and certify disbursement requests.

- ✓ Print the name and title of the authorized representative.
- ✓ Sign and date the application.

PROJECT SELECTION AND SCORING CRITERIA

Reviewing and scoring the WRFP Pilot Project applications is an essential step in ranking applications to determine funding awards. Each application will be reviewed and scored using criteria developed by the Division and a Recommended Funding List will be developed based on final average scores.

The scoring criteria support the Pilot Project objectives:

➢ The objective of the WRFP is to fund Pilot Projects which add new and innovative technologies and data to the body of knowledge for potable reuse of wastewater.

➢ The WRFP is interested in funding Pilot Projects that are ready to proceed within 12 months from the solicitation closing date.

➢ See attached Scoring Criteria in Exhibit C.

Additional documentation may be requested as necessary for Division staff to complete their reviews and findings.

Legal Opinion:
At closing, the applicant will be expected to submit an opinion from its general counsel that is satisfactory to the Division's counsel, substantially similar to the template located on the website.

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REPORTING REQUIREMENTS

1. Quarterly Progress Reports

The Recipient shall submit quarterly *Progress Report(s)*. Each progress report must:
   a. Summarize all agreement activities conducted by the Recipient for the preceding quarter, including an assessment of the ability to complete the agreement within the current budget and any anticipated cost overruns.
   b. Provide a synopsis of the project progress, including accomplishments, problems, milestones, products, schedule, fiscal status, and any evidence of progress such as photographs.

2. Final Report

The goal of this reporting requirement is to prepare a comprehensive *Final Report* that describes the original purpose, approach, results, and conclusions of the work performed under the agreement. Recipient shall submit a draft of the report for review and comment. Division staff will review and accept the *Final Report*, which will be due at least **two months** before the agreement end date.

3. Technology/Knowledge Transfer Activities

The goal of these reporting requirements is to develop a plan to make the knowledge gained, experimental results, and lessons learned available to the public and key decision makers.

The Recipient shall:
   a. Prepare an *Initial Fact Sheet* at start of the project that describes the project.
   b. Prepare a *Final Project Fact Sheet* at the project's conclusion that discusses results.
   c. Prepare a *Technology/Knowledge Transfer Plan* that includes:
       i. An explanation of how the knowledge gained from the project will be made available to the public, including the targeted market sector and potential outreach to end users, utilities, regulatory agencies, and others.
       ii. A description of the intended use(s) for and users of the project results.
       iii. Copies of documents, fact sheets, journal articles, press releases, and other documents prepared for public dissemination. Indicate where and when the documents were disseminated.
       iv. A discussion of policy development. State if project has been or will be cited in government policy publications or used to inform regulatory bodies.
       v. The number of website downloads or public requests for project results.
   d. Develop *Presentation Materials* for a State Water Board sponsored conference/workshop on the results of the project.
   e. Prepare a *Technology/Knowledge Transfer Report* on technology transfer activities conducted during the project.

EXHIBIT A – WORKPLAN GUIDANCE

All applications must include a workplan that provides a detailed description of the project(s) for which funding is requested. The goals and objectives of the application must be identified.

The workplan must include a description of the work to be performed under each task and deliverables for assessing progress and accomplishments. <u>The numbered headings below should be the main headings in the workplan and the lettered headings should be the subheadings in the workplan. This will help to ease review and scoring of the workplan and allow the reviewers a quick reference to the information needed to properly score the application.</u>

Provide a description of the project in detail by answering the questions below:

1. **<u>Goals and Objectives:</u>** (1 – 2 paragraphs)
    a. A clear statement of what question(s) is being asked by the Pilot Project and why it is relevant to the recycled water industry; and
    b. What body of knowledge relating to potable reuse does the proposed Pilot Project address.

2. **<u>Project Benefits:</u>** a description of
    a. How the project will improve water supply reliability, provide water quality and ecosystems benefits related to decreased reliance on surface water, and/or
    b. provide public health benefits from improved drinking water quality or supply;
    c. The project impacts on cost effectiveness; and
    d. Energy efficiency and greenhouse gas emissions impacts.

3. **<u>Project Description:</u>** a description of
    a. The project scope;
    b. The location where the facility will be constructed;
    c. How the proposed construction will be incorporated into the existing treatment facility;
    d. Equipment/ operations to be examined; and
    e. Any significant issues that may impact the project (e.g. environmental, legal, EJ, operational issues, etc.).

4. **<u>Study Design and Methods:</u>** provide a discussion of
    a. How the research question will be answered or addressed;
    b. Data analysis procedures and quality assurance methods;
    c. Facility process flow diagram/ design parameters; and
    d. Failure exit parameters if determined at some point in the project is going to fail.

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5. **Construction/ Implementation:** include a schedule of all construction activities required to complete the project (e.g. notice to proceed, construction administration, construction management, construction tasks/subtasks, etc.).

6. **Monitoring/ Performance:** a description of the project effectiveness monitoring proposed for the project (e.g. monitoring plan, quality assurance/control plan, monitoring activities).

7. **Data Analysis/ Report Preparation:** a discussion on the proposed procedure for analyzing the collected data and how the project findings will be documented.

8. **Education and Outreach:** a description of the type of education and community outreach proposed for the project. How does the agency plan to share the data with other entities in California? (refer to *Technology/ Knowledge Transfer Activities* in the *Reporting Requirements* section above.)

9. **Project Costs:** a table of the estimated construction budget that includes all costs related to the project. Eligible grant costs include construction performed by contractor, agency staff, or manufacturer, equipment purchases, and construction management. A construction budget template can be found on the [WRFP website](). (Note: the maximum grant is 35 percent of the total eligible construction costs up to a maximum of $1,000,000)

10. **Project Schedule:** an overall project schedule that includes (but is not limited to) planning efforts, construction activities, pilot operation and monitoring, data collection & analysis, and the submittal of reporting requirements.

11. **Research Program Partner Involvement:** a discussion on how other organizations (public agencies, Associations, Universities, Consultants, etc.) were involved in the Pilot Project development and how they will be involved in the implementation of the project.

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EXHIBIT B

PILOT PROJECT GRANT
DETAILED APPLICATION BUDGET SUMMARY

Applicant: **Name** **FAAST PIN: XXXXX**
Project Title: **Title**
(Note: the maximum grant is 35 percent of the eligible construction cost line items up to a total maximum of $1,000,000)

	Requested Grant	Local Match	Other Funding	Total	% Grant
Eligible Project Cost Activities					
1. Construction/ Implementation	$0	$0	$0	$0	0%
Contractor					
Agency Staff Labor for construction					
Manufacturer					
Equipment					
2. Construction Management	$0	$0	$0	$0	0%
Ineligible Project Cost Activities					
3. Project Administration Costs	N/A	$0	$0	$0	N/A
4. Planning/ Design/ Engineering/ Environmental	N/A	$0	$0	$0	N/A
5. Monitoring/ Performance	N/A	$0	$0	$0	N/A
5. Data Analysis/ Report Preparation	N/A	$0	$0	$0	N/A
6. Education/ Outreach	N/A	$0	$0	$0	N/A
Grand Total:	#REF!	#REF!	#REF!	#REF!	#REF!

List Other Funding Sources:

Note: CHECK YOUR NUMBERS! Do NOT assume this Excel spreadsheet is correct. Add/ delete rows as necessary. Please refer to the READ ME tab.

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EXHIBIT C

WRFP PILOT PROJECT PROPOSAL EVALUATION SCORING CRITERIA			
SCORED CRITERIA	**SCORE**	**WEIGHT**	**TOTAL POINTS**
WATER QUALITY AND ENVIRONMENTAL BENEFITS (20 POINTS POSSIBLE)			

1. Does the workplan:
   a. Describe the body of knowledge relating to potable reuse that the pilot project addresses.
   b. Describe how the project will improve water supply reliability, provide water quality benefits related to decreased reliance on diversions from the Delta or instream flows, and provide public health benefits from improved drinking water quality or supply.
   c. Describe the projects potential impacts on cost-effectiveness.
   d. Provide information on energy efficiency and greenhouse gas emissions impacts.
	0-5	4	20

STUDY DESIGN AND METHODS (20 POINTS POSSIBLE)			
2. Is there a description of data analysis procedures and quality assurance methods? How will the research question be answered and addressed?	0-5	4	20
BUDGET (10 POINTS POSSIBLE)			
3. Is a description of each budget category clearly defined and thoroughly explained? Does the explanation on the cost estimates provide sufficient detail to justify the costs provided? Are the sources of matching funds provided?	0-5	2	10
SCHEDULE (10 POINTS POSSIBLE)			
4. Is the project ready-to-proceed? When will the project be substantially complete? Are the tasks in the schedule consistent with the tasks described in the workplan and budget?	0-5	2	10
MONITORING, ASSESSMENT, AND PERFORMANCE MEASURES (20 POINTS POSSIBLE)			
5. How well will the measurement tools and methods effectively monitor project performance and target progress? Is the monitoring appropriate for the benefits claimed? Are the goals and targets reasonable and feasible within the life of the grant?	0-5	4	20
EDUCATION AND OUTREACH (20 POINTS POSSIBLE)			
6. Is there a developed plan to share the results of the research? Are there specific outreach methods that will be conducted after the project is complete?	0-5	4	20
OVERALL TOTAL POINTS:			*100*

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