

2016 Disadvantaged Community Involvement Request for Proposals

Integrated Regional Water Management
July 2016



CALIFORNIA NATURAL RESOURCES AGENCY
DEPARTMENT OF WATER RESOURCES
DIVISION OF
INTEGRATED REGIONAL WATER MANAGEMENT



FOREWORD

This document contains the California Department of Water Resources' (DWR) Integrated Regional Water Management (IRWM) Grant Program Request for Proposal (RFP) for the Proposition 1 Disadvantaged Community Involvement Program.

This document is not a standalone document and the applicant will need to refer to the 2016 IRWM Program Guidelines (2016 IRWM Guidelines) for additional information (see link below).

Grant Program Website

DWR will use the internet as a communication tool to notify interested parties of the status of the grant funding opportunities and to convey pertinent information. Proposition 1 IRWM Grant Program related information, including the 2016 IRWM Guidelines, can be found at the following website:

<http://www.water.ca.gov/irwm/grants/prop1index.cfm>. DAC Involvement Program information and resources can be found from this link by clicking on the link at the right-hand side of the screen.

See the 2016 Proposition 1 IRWM Grant Program Guidelines (2016 IRWM Guidelines), Volume 1, Appendix A for other useful web links, Appendix B for common usage of terms and definitions, Appendix E for information on Disadvantaged Communities, and Appendix F for the criteria and terms related to Economically Distressed Areas.

Mailing List

In addition to the above-referenced website, DWR will distribute information via e-mail. If you are not already on the IRWM e-mail distribution list and wish to be placed on it, please visit the following site:

<http://www.water.ca.gov/irwm/grants/subscribe.cfm>.

Contact Information

For questions about the 2016 IRWM Guidelines, how to submit a proposal, or other issues, please contact DWR's Financial Assistance Branch at (916) 651-9613 or by e-mail at DWR_IRWM@water.ca.gov.

I. INTRODUCTION

This document contains the California Department of Water Resources' (DWR) Request for Proposals (RFP) for the Disadvantaged Community Involvement Program (Program) authorized by the Water Quality, Supply, and Infrastructure Improvement Act (Proposition 1). The 2016 IRWM Guidelines can be found at the link listed in the Foreword.

Water Code §79745 requires DWR to expend not less than 10 percent of the Proposition 1, Chapter 7 funds authorized for the IRWM Grant Program, \$51 million, for the purpose of ensuring involvement of disadvantaged communities (DACs), economically distressed areas (EDAs), or underrepresented communities (in this document collectively referred to as DACs) in IRWM planning efforts. DWR is establishing this Program to support the following objectives:

- 1) Work collaboratively to involve DACs, community-based organizations, and stakeholders in IRWM planning efforts to ensure balanced access and opportunity for participation in the IRWM planning process
- 2) Increase the understanding, and where necessary, identify the water management needs of DACs on a Funding Area basis
- 3) Develop strategies and long-term solutions that appropriately address the identified DAC water management needs

It is DWR's intent to move forward efficiently with the RFP process so that the water management needs of DACs can be more fully included in IRWM planning efforts and future funding opportunities through the IRWM Grant Program or other financial assistance programs.

II. PROGRAM SCHEDULE

The schedule in Table 1 outlines the timeframe for this Program. Updates for the events listed in this schedule may be required. Any schedule updates will be posted on the website listed in the Foreword.

Table 1 – DAC Involvement Program Schedule	
Milestone or Activity	Schedule
Release of final DAC Involvement RFP	August 1, 2016
DAC Involvement Call for Proposals Workshop (<i>web broadcast</i>) Byron Sher Auditorium 1001 I Street Sacramento, CA 95812 This meeting will be web broadcast via the following link: https://video.calepa.ca.gov/	August 18, 2016 at 10:00am
Accept proposals	<i>Between September 2016 and January 2017</i>
Grant awards	<i>Upon proposal approval</i>

Italics denote time that may vary.

III. FUNDING

DWR requires a single Funding Area-wide proposal from each of the 12 Proposition 1 Funding Areas. DWR will work with the regional water management groups (RWMGs) within each Funding Area, to develop proposals to perform activities that involve DACs in IRWM planning efforts, including helping define, understand, and address DAC water management needs through a collaborative approach. The funding dispersed by this RFP will be allocated and awarded with not less than 10 percent by Funding Area, as shown in the minimum available funds column of Table 2. Local cost share is not required for this Program.

Table 2 - Proposition 1 Funding Allocation for the DAC Involvement Program	
Funding Areas	Minimum Available Funds
North Coast	\$2,650,000
San Francisco Bay Area	\$6,500,000
Central Coast	\$4,300,000
Los Angeles	\$9,800,000
Santa Ana	\$6,300,000
San Diego	\$5,250,000
Sacramento River	\$3,700,000
San Joaquin River	\$3,100,000
Tulare/Kern	\$3,400,000
Lahontan	\$2,450,000
Colorado River	\$2,250,000
Mountain Counties	\$1,300,000

IV. PROPOSAL SUBMITTALS

Applicants must submit the following information to DWR. Additionally, if phases of work are anticipated, provide that level of detail in the proposal.

A. Applicant

Provide the applicant contact information and a short statement (500 characters or less) of how the applicant was selected by the DACs, RWMG(s), community based organizations, and stakeholders within the Funding Area. The proposal must contain a letter from each RWMG in the Funding Area discussing whether the RWMG supports the selection of the applicant or provide an explanation if a letter is not included from specific IRWM regions.

B. DAC Background

Provide a baseline understanding of DAC water management needs from the Funding Area’s perspective. This section must not exceed 5,000 characters and shall include the following:

- ◆ A description of the known DAC water management needs in the Funding Area.
- ◆ An outline of the existing Funding Area strategy(ies) to address DAC water management needs across the Funding Area.
- ◆ A discussion as to the level IRWM regions in the Funding Area have involved or engaged DAC members in IRWM planning efforts; if there has been no DAC involvement, identify possible barriers.
- ◆ A map that identifies all known DAC, EDA, and underrepresented communities within the Funding Area. Please show on the map all IRWM region boundaries and all proposed involvement activity boundaries. DWR’s DAC and EDA mapping tools may be useful references and can be found at the links listed in the 2016 IRWM Program Guidelines, Volume I, Appendix A.
- ◆ A discussion of the underrepresented communities within the Funding Area.

C. Activity Descriptions

Provide a detailed description of the proposed activities. There is no page or character limit on this section, but applicants are encouraged to be clear and concise. The description should include the following:

- ◆ Provide a title, description, and task outline for the proposed activities
- ◆ Justify how the proposed activities meet one or more of the desired outcomes in Table 3; or other potential outcomes
- ◆ Include a list of deliverables that will result from the proposed activities, including required final reporting obligations (see below in Section VII. Grant Agreement and Appendix A of this RFP)
- ◆ A description of the key milestones of proposed activities and any related assumptions for the proposal schedule

D. Statement of Qualifications

The proposal must include a discussion of the entities that are anticipated to be tasked to undertake the proposed activities. The discussion must include a statement of qualifications for each activity that demonstrates that each entity tasked possesses the appropriate qualifications to interface and work with DAC members. This section must not exceed 5,000 characters and should include the following:

- ◆ List the necessary qualifications of staff, community-based organizations, or consultants that are needed to work on the proposed activities
- ◆ Identify participants, if known, including the applicant, RWMG representatives, community-based organizations, or consultants who currently work with DACs. If known, describe the existing participant's qualifications with the following criteria:
 - Past performance on similar projects at a regional, community or local level
 - Qualifications in and knowledge of DAC involvement activities listed in Table 3
 - Ability to proactively manage the proposed activities to ensure a timely and successful completion

E. Schedule

Provide a schedule of the key milestones for the proposed activities. Gantt charts, bar charts, or other graphic displays are acceptable. Proposed activities should be completed within three years of grant award. The schedule should show the anticipated overall start date and end date of each proposed activity and also show quarterly and final reporting obligations. Activity sub-task schedule dates are not required.

F. Budget

Provide a budget in tabular form for the proposal. This budget must include the anticipated overall budget for each proposed activity and the basis of estimate for the activities described within the budget. The budget must also include the estimate for all grant administrative costs, if any.

V. ELIGIBILITY

A. Eligible Applicants

The Funding Area applicant must be an eligible applicant as defined in the 2016 IRWM Guidelines Sections II.A and B, Appendix B, and shown below:

- ◆ Public agencies
- ◆ Non-profit organizations
- ◆ Public utilities
- ◆ Federally recognized Indian Tribes
- ◆ State Indian Tribes listed on the Native American Heritage Commission's Tribal Consultation list
- ◆ Mutual Water Companies

B. Eligible Costs

Costs incurred after award date are eligible for reimbursement. Eligible costs include, but are not limited to, expenditures for involvement activities as discussed below and travel costs at the state rate. Grantees are encouraged to limit grant administrative costs. Grant administrative costs include coordinating contractual obligations with DWR, quarterly reporting, and submitting invoices. DWR encourages grant administrative costs are no more than 5 percent of the total grant amount.

C. Eligible Activities

Table 3 provides guidance to applicants on the types of activities that are eligible for State reimbursement under this Program. Proposed activities submitted that fall outside of this guidance will need to be justified in the proposal for DWR to approve of the proposed activity and intended outcome. Applicants are encouraged to review previous DAC pilot projects funded by the IRWM Grant Program and other DAC Reports and Studies as cited in Appendix A of the 2016 IRWM Guidelines. Applicants are encouraged to review the documents and build off the prior works and general recommendations to the extent feasible.

Ineligible activities and costs are not reimbursable by this Program and include, but are not limited to, the following items:

- ◆ Application preparation costs for funding opportunities not consistent with the purposes of the Proposition 1 IRWM funding
- ◆ Meals not directly related to travel
- ◆ Payment of stipends

Table 3 – Eligible DAC Involvement Activities		
General Activity	Examples of Activity	Desired Outcome
Needs Assessments (required)	Surveys or meetings with community members to identify water management needs	Needs Assessments provide better understanding of water management needs to help direct resources and funding
Education	Translation or interpretive services for information sharing, water campaigns for community, RWMGs education on DAC needs	Education and interpretive services provide better understanding by community members or RWMGs of water management needs
Community Outreach	Public meetings open to DAC community members, door-to-door outreach	Outreach increases participation in IRWM planning or project development activities
Engagement in IRWM Efforts	DAC regional engagement coordinator role, DAC Advisory Committee to RWMG, DAC representatives in governance	Engagement activities increases activity and roles of DACs in RWMG decision making and increased participation in IRWM efforts
Facilitation	Facilitated RWMG meetings, facilitated project development meetings	Facilitation services encourage participation and stakeholders resolving or overcoming obstacles in communicating needs
Technical Assistance	Service provider trainings, local circuit rider programs to train water and wastewater staff	Technical, financial, or managerial assistance results in community staff able to support local decision making, knowledge, and skills
Governance Structure	Evaluation of governance structures and related plan financing, assessment of DAC involvement in decision making processes	Evaluation of RWMG governance to ensure DAC participation in IRWM regardless of ability to contribute financially
Site Assessment	Water quality assessments, median household income surveys, data and mapping activities	Site assessment results in knowledge gained by community staff on water management needs and data for project development
Enhancement of DAC aspects in IRWM plans	Development of Funding Area-wide DAC plan to be utilized as a unified approach for all IRWM plans	IRWM plan DAC-related changes result in IRWM plan updates that support the RWMG's understanding of DAC needs
Project Development Activities or Construction	Planning activities, environmental compliance, pre-construction engineering/design activities, or construction activities	Project development activities for future implementation/construction funding or construction activities

VI. PROPOSAL AND AWARD PROCESS

A. Funding Area Coordination

Prior to submitting a proposal to DWR, prospective applicants should, at a minimum, undertake the following actions, in conjunction with DACs, RWMG(s), community based organizations, and stakeholders:

- ◆ Discuss interest in being the Grantee for execution and management of the agreement
- ◆ Develop an initial list of potential involvement activities
- ◆ Evaluate whether the initial list of potential involvement activities aligns with the eligible activities listed below or whether those activities are ineligible

DWR will host a DAC Involvement “Call for Proposals” Workshop(s) prior to proposal submittals to discuss with Funding Area stakeholders the level of detail to be included in the proposals and expectations of this Program. The workshop information will be listed on the Upcoming Events on the website listed in the Foreword.

B. Proposal Review and Approval

Applicants should prepare and submit a proposal as based on the information requested in Section IV of this RFP. Complete proposals must be submitted in Microsoft Word format to DWR via email listed in the Foreword. Once proposals are submitted, DWR, in coordination with the State Water Resources Control

Board (SWRCB), will review the materials for its responsiveness to this RFP and then contact the Funding Area applicant to schedule a coordination meeting, if necessary. At this meeting, DWR may ask general questions regarding the proposal development process and discuss comments pertaining to the submittal. The Funding Area applicant and DWR may have additional meetings regarding any needed proposal changes to ensure the proposed activities are appropriate for this Program. Throughout proposal development and implementation, DWR expects broad participation by the applicant, members of DACs or community-based organizations, RWMG representatives, and stakeholders.

Proposal Evaluation Criteria

Each proposal will be evaluated based on the following criteria as being sufficient or not sufficient pertaining to responsiveness to the RFP.

- ◆ **Applied Nature of the Proposal.** The extents to which the proposed activities are structured to assist DACs, identify community water management needs, and meet the objectives of this Program.
- ◆ **Relevance and Importance.** The extent to which the regions develop the DAC involvement activities to adequately address the most relevant and important community needs, consistent with the intent of this RFP.
- ◆ **Feasibility.** (1) The extent to which the proposal objectives, methodologies, designs, and involvement activities are adequately and completely articulated; and (2) the likelihood of success given the methods and time frame proposed.
- ◆ **Past Performance.** The extent to which the proposal (1) provides an explanation of past IRWM practices of involving DACs; and (2) builds upon existing DAC involvement and engagement.
- ◆ **Qualifications of the Staff/Consultants.** The extent to which the qualifications of the staff/consultants are commensurate with the proposed activities and are experienced in regional, community, and local knowledge of DAC needs. The use of facilities and equipment must be justified.

Proposal Approval and Grant Award

Once all requirements of the RFP are met and DWR approves the proposal, DWR will announce awards by issuing a commitment letter on a per Funding Area basis. If an acceptable proposal is not developed in a timely manner, DWR may directly expend the funds to support DAC involvement actions within the relevant Funding Area or the Funding Area funds will remain un-awarded until such time that a responsive proposal is submitted. For this program only, the approval of grant awards has been delegated from DWR's Director to the Chief of the Division of IRWM; thereby modifying Section IV.D, Volume I of the 2016 IRWM Guidelines .

VII. GRANT AGREEMENT

After the grant award is approved, an agreement will be developed and executed between the DWR and the Grantee; funds will not be disbursed until there is an executed agreement. An agreement template will be posted on the DAC Involvement website as referenced in the Foreword.

As part of the grant agreement, the Funding Area Grantee will be required to submit quarterly progress reports, invoices, and deliverables. As part of reporting results on activity performance, DWR will host semi-annual coordination conference calls with the 12 Grantees. DWR will also request formal visits or meetings to monitor activities through the duration of the agreement. As part of the grant agreement, deliverables and a Final Report that includes a Funding Area-wide Needs Assessment will be required (see Appendix A). Funding Areas shall be requested by DWR to provide a presentation of completed activities near the end of the activities, prior to termination of the agreement.

APPENDIX A

Appendix A includes the templates for the Final Report and the Funding Area-wide Needs Assessment. The Funding Area may modify the Needs Assessment template based on the specific needs identified by the Funding Area in consultation with DWR.

FINAL REPORT TEMPLATE

- I. Executive Summary
- II. Stakeholder Summary
 - a. General description of water management needs of DACs, EDAs, and underrepresented communities at the Funding Area learned from the activities performed in this program
 - b. General summary of DACs, EDAs, and underrepresented communities involved in IRWM efforts through this Program
 - c. Map(s) identifying all DACs, EDAs, and underrepresented communities with IRWM regions learned from the activities performed in this program
- III. Involvement Activity Summary
 - a. General description of involvement activities performed in this Program, including both successful and unsuccessful involvement activities
 - b. Identification of projects developed from the DAC involvement activities, if applicable
- IV. Findings
 - a. Needs Assessment
 - i. Narrative summary of community characteristics identified and specific community water management needs and resources (technical, managerial, and financial) to address the needs of DACs, EDAs, and underrepresented communities
 - ii. Needs Assessment template table filled in (at the community level)
 - b. Identification of ongoing barriers for DAC involvement in IRWM efforts
 - c. Recommendations for water managers on future DAC involvement activities in IRWM efforts
- V. Looking into the Future
 - a. Next steps for the IRWM regions to continue DAC involvement efforts
- VI. References

NEEDS ASSESSMENT TEMPLATE

Example Tables - May be modified to best fit specific needs

Identify the following for DAC communities within the Funding Area:

Community Characteristics					Drinking Water							Wastewater		Stormwater	Other		Water System Financing	
Community	County	IRWM region	Describe community characteristics (i.e. MHI, population, or other DAC indicators)	Describe involvement with local IRWM Governance	Source(s) of water	Estimate number of private wells	Estimate number of public wells	Water supply treatment (i.e. carbon, RO, etc.)	Accessible for community (y/n)	Affordable for community (y/n)	Identify any drinking water system issues	Type of system	Describe any insufficient wastewater system issues	Identify stormwater/urban water runoff/ flood management issues	Identify drinking water, wastewater, or stormwater regulatory/compliance issues	Identify other conditions/issues (drought, etc.)	Identify the rate structure (i.e. block, tiered)	Describe system financing needs (i.e. operation and maintenance costs)
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2																		
3																		
4																		
5																		
6																		
7																		
8																		
9																		
10																		

**Note: Multiple rows can be used to describe the current characteristics of a community*

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