Small Communities Flood Risk Reduction Program

PROPOSAL SOLICITATION PACKAGE

Phase 2

DRAFT

STATE OF CALIFORNIA

DEPARTMENT OF WATER RESOURCES

DIVISION OF FLOOD MANAGEMENT

September 11, 2019

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1. Background

The Small Communities Flood Risk Reduction (SCFRR) Program was created as a result of the adoption of the 2012 Central Valley Flood Protection Plan (CVFPP) to reduce flood risks to the small communities located in the areas protected by the State Plan of Flood Control (SPFC) facilities.

The SCFRR Program (Program) assists the local public agencies with implementing flood risk reduction projects for the small communities in the Central Valley, consistent with the State Systemwide Investment Approach (SSIA), incorporating CVFPP principles and contribute to the integrated water management plan objectives described in the CVFPP. Under the SSIA, several small communities within the SPFC planning area could achieve the Federal Emergency Management Agency (FEMA) benchmark of 100-year (1% annual chance) flood protection through structural or nonstructural methods.

The State Department of Water Resources (Department) published the Small Communities Flood Risk Reduction Program Guidelines (hereinafter referred to as the Guidelines) on September 19, 2016. The Guidelines describe the goal, process, and requirements of the Program. Unless otherwise specified, the requirements of the Guidelines and definitions of terms apply to this Proposal Solicitation Package (PSP). A copy of the Guidelines is available upon request. In the event of any conflict between the Guidelines and this PSP, the terms of this PSP take precedence.

In Phase 1, the Department issued a PSP (Phase 1 PSP) to solicit applications for flood risk reduction feasibility study projects, in September 2016. Following review of 37 submitted applications, the Department approved award of up to $17.5 million in Program funding for 35 small communities' feasibility studies, on April 14, 2017.

In Phase 2, the Department is seeking to solicit proposals for design and implementation of preferred projects identified in Phase 1 feasibility studies' alternatives evaluation and analyses. This PSP describes Program's Phase 2 funding processes and the Department requirements for submitting proposals for small community flood risk reduction design and implementation projects.

2. Authorized Funds

The Disaster Preparedness and Flood Prevention Bond Act of 2006 (Proposition 1E; Pub. Resources Code, § 5096.800 et seq.) authorized funding for the Department to repair, rehabilitate, reconstruct or replace levees, weirs, bypasses and SPFC facilities.
Following Phase 1 funding award of approximately $16 million, the Department has up to $29 million in Proposition 1E funds to award in Phase 2 of Program funding for design and implementation of small community flood risk reduction projects. Should additional funds become available, under future legislative appropriations, the Department may release additional round(s) of PSP(s) to request proposals for design and implementation of eligible projects.

3. Eligible Applicants

An Applicant must be a local public agency with land use authority for the small community areas protected by the SPFC facilities. The Applicant may be an incorporated city or county applying on behalf of an unincorporated community. The Applicant must also demonstrate the

ability to lead implementation of the proposed flood risk reduction projects located within the SPFC areas.

The eligible Applicant must meet the following requirements:

A. It received a Phase 1 funding award and entered a funding agreement with the Department to conduct a flood risk reduction feasibility study for Applicant's small community.

B. It completed a Phase 1 feasibility study alternatives evaluation and determined a recommended flood risk reduction project for design and implementation.

C. It obtained and incorporated the Department's review comments to finalize a Phase 1 feasibility study that includes a Department approved preferred alternative for design and implementation.

D. It has a financial plan that clearly identifies all non-State resources required to proceed with implementing the flood risk reduction project through to its completion, as well as operate and maintain the project implemented.

E. Readiness to negotiate and execute a cost-share funding agreement for the awarded project by no later than March 1, 2020.

F. Submit a complete proposal package, with direct reference to the descriptions and requirements included in the Appendices of this PSP (Appendix A through Appendix J).

4. Eligible Projects

The remaining Proposition 1E funding for Phase 2 can be awarded for the following design and implementation project activities:

- Design, as element of construction phase
- Construction (or phase of construction), which can be stand-alone activity
- Land acquisition, as element of design or construction project
- Project permitting activities (including CEQA compliance, unless CEQA requested as stand-alone activity), as element of design or construction project

Priority will be assigned to land acquisition or permitting elements of a construction project proposal, as compared to representing elements of a design project proposal.

The proposed project must satisfy the following conditions:

A. The proposed project must concur with the recommended findings of the Applicant's Flood Risk Reduction Feasibility Study completed using Program funding.

B. The proposed project work plan must include the design and implementation elements required to provide up to 100-year flood protection to the small community protected by the SPFC facilities.

C. The proposed project must improve existing SPFC facilities, associated systems and appurtenances.

D. If applicable, the proposed project must include distinct work separately identifiable and physically separable from non-SCFRR Program funded activities.

E. In accordance with the requirements of the Governor's Executive Order B-30-15 (April 29, 2015) and applicable laws, the project must consider climate change hydrology and sea level rise. The proposed project work plan must incorporate necessary measures and efforts to address risks resulting from climate change[1], including the use of decision support tools to minimize risks of and adapt to climate change hydrology and sea level rise.

F. The proposed project must have ability to add resiliency and flexibility to the flood management system and be able to produce multiple benefits.

5. Ineligible Projects

Projects not eligible for Program funding will include:

A. Flood risk reduction feasibility study projects.

B. Projects that do not improve facilities that are part of the SPFC.

C. Design and construction projects with the objective to achieve flood protection exceeding 100-year level.

D. Projects that do not consider implementing impact of climate change.

E. Routine maintenance, including repair of erosion damage and removal of sediment from channels and by-passes.

F. Non-structural projects, including elevating residential properties where there is no direct connection with facilities that are part of SPFC.

6. Proposal Ranking and Selection

A. The Department will review applications for completeness and eligibility, in accordance with the requirements described in this PSP.

B. Incomplete submittals will not be ranked. The Department may contact Applicants to request clarification of information submitted. The submittal will be considered incomplete if the requested information is not provided within 15 calendar days of a written request from the Department.

C. The Department will use the criteria and metrics described in the following sections of this PSP:

- Appendix C, Table C-1: Project Selection Criteria and Ranking.
- Appendix D, Table D-1: CVFPP Conversation Strategy Metrics for Ecosystem Processes, Habitat, and Stressors.

[1] DWR's Climate Action Plan, Resources for Water Managers, and Climate Change Program Activities are available on DWR's Climate Change website: https://water.ca.gov/Programs/All-Programs/Climate-Change-Program

- Appendix D, Table D-2: Conservation Strategy Metrics - Summary by Conservation Planning Area.

D. The Program's evaluation team will evaluate and rank each application and present the evaluation findings and determination to the Department's management, within 45 calendar days after the closure of the solicitation.

E. Following management's review and the Department Director's concurrence with management's recommendations, the recommended proposal funding award list will be posted on the Department's website, for a 15-day public comment period.

F. After reviewing and considering public comments and obtaining the Director's approval, the Department will post the final list of awards on its website and send funding commitment letters to the successful awardees.

G. The Department reserves the right to fund a percentage of the total requested project amount, or separable element of the overall proposal, due to limited availability of remaining Proposition 1E funding.

7. State-Local Cost Share

The base-level State cost share for flood management projects is 50 percent of the total project cost. The local public agency (Applicant) may not use other State funds for its local share unless the State agency providing those funds is specifically authorized by the Legislature to allow the Applicant to use the funds for its local share. The Department shall verify and give the Applicant its written permission to use the funds provided by other State agency towards Applicant's local cost share.

The State cost share of a project can be increased above the base State cost share of 50 percent by satisfying any of the following objectives: 1) disadvantaged area community, 2) system improvement, 3) ecosystem enhancement and restoration, 4) other multi- benefit features, and 5) setback levees. Refer to Appendix H for Department's guidance for State-Local cost shared flood projects.

The Applicant's proposal must include supporting documents and calculations to fully describe the basis used to determine the proposed project's State-Local cost share contributions. All project proposal elements (including design activities) will receive the same State cost share percentage. The Department will finalize the State cost share contribution before entering a funding agreement with the successful Applicant.

8. Funding Agreement Requirements

The funding recipient will need to execute a funding agreement with the State. A funding agreement template is included in Appendix J. It is HIGHLY recommended that potential applicants read the template to ensure that it can abide by the terms and conditions set forth therein. The following sections provide some of the requirements contained within the funding agreement.

8.1 Conflict of Interest and Confidentiality

All project participants are subject to State conflict of interest laws. Failure to comply with these laws, including business and financial disclosure provisions, will result in the proposal being rejected and any agreement being declared void. Other legal action may also be taken. Applicable statutes include, but are not limited to, Government Code section 1090 and Public Contract Code sections 10410 and 10411.

As part of the conflict of interest requirements, individuals working on behalf of a funding recipient may be required by the State to file a Statement of Economic Interests (Fair Political Practices Commission Form 700) if it is determined that an individual is a consultant for Political Reform Act purposes.

Applicants should be aware that when submitting a proposal to the State, they will waive their rights to the confidentiality of the contents of the proposal. Once final awards have been announced by the Department, all proposals are subject to disclosure pursuant to the California Public Records Act (Gov. Code, § 6250 et seq.).

8.2 Indemnify and Hold Harmless

As part of the funding agreement, Applicants shall indemnify and hold harmless the State, its officers, agents, and employees from any and all liability from any claims and damages (including inverse condemnation) arising from the planning, design, construction, repair, replacement, rehabilitation, maintenance, and operation of the project, and any breach of the funding agreement.

8.3 Labor Code Compliance

As part of the funding agreement, the funding recipient shall agree to be bound by all the provisions of the Labor Code regarding prevailing wages and shall monitor all contracts subject to reimbursement from the funding agreement to ensure that the prevailing wage provisions of the Labor Code are being met.

Current Department of Industrial Relations (DIR) requirements may be found at https://www.dir.ca.gov/lcp.asp . For more information, please refer to DIR's Public Works Manual at https://www.dir.ca.gov/dlse/pwmanualcombined.pdf . The funding recipient will also affirm that it is aware of the provisions of section 3700 of the Labor Code, which requires every employer to be insured against liability for workers' compensation or to undertake self-insurance.

8.4 California Environmental Quality Act (CEQA)

All activities funded pursuant to the Program must comply with CEQA. (Pub. Resources Code, § 21000 et seq.) Any work that is subject to CEQA and funded under a funding agreement shall not proceed until documents that satisfy the CEQA process are received by the Department and the Department has completed its CEQA compliance. Any work funded under the Program that is subject to CEQA shall not proceed until and unless approved by the Department; such approval is fully discretionary. If CEQA compliance by the funding recipient is not complete at the time a funding agreement is executed by the parties, once the Department has considered the environmental documents, it may decide to require changes, alterations, or other mitigation to the Project; or to not fund the Project. Should the Department decide to not fund the Project, the funding agreement shall be terminated.

8.5 Income Restrictions

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

8.6 Tribal Consultation

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

8.7 Competitive Bidding and Procurement

A funding recipient's contracts with other entities for the acquisition of goods, services, and construction of any public works with funds provided by the State must be in writing and shall comply with all applicable laws and regulations regarding the securing of competitive bids and undertaking competitive negotiations. If a grantee does not have a written policy to award contracts through a competitive bidding or sole source process, the Department of General Services' State Contracting Manual rules must be followed. They are available online at: https://www.dgs.ca.gov/PD/Resources/Page-Content/Procurement-Division-Resources-List-Folder/State-Contracting-Manual-Volume-2-3-FI$Cal.

APPENDIX A - Applicant Information

Applicants' proposals must include the following minimum information:

1. Agency name, address, Agency primary contact, phone number, and email address.
2. Authorized representative: name, title, phone number and email address of the Agency representative authorized to sign funding agreement.
3. Location of the proposed project.
4. Applicant's flood management authority, role in regional flood management planning area, and reclamation district.
5. Is there a regional plan in place? Is the proposed project a priority project within the regional plan?
6. Describe how the Applicant and the proposed project meet the eligibility requirements and qualify to receive State funding under SCFRR Program.
7. Submit one original signed and two copies of the following:
    - Appendix E - Environmental Information Form
    - Appendix F - Certification for Design Projects
    - Appendix G - Certification for Construction Projects
    - Appendix I - Local Public Agency Authorizing Resolution

Applicants are required to submit **one** electronic copy and **three** hard copies of their application. Submitting a CD-ROM, DVD, or USB flash drive is acceptable, either in Microsoft Word-compatible format or in a searchable Adobe Portable Document Format with content copying enabled. All content must be completely legible and suitable for photocopying.

Submittal Deadline: 5:00 p.m., xxxxxxxxxx, 2019

Where to Submit Hard Copy Application

Department of Water Resources
3464 El Camino Avenue, Suite 200
Sacramento CA, 95821
Attn: Nahideh Madankar

For questions:
Nahideh Madankar, Program Manager
Small Community Flood Risk Reduction Program, Phase 2
(916) 574-1459
Nahideh.Madankar@water.ca.gov

Please make sure that your application package is postmarked or hand-delivered on or before the submittal deadline listed above. Applications postmarked or hand-delivered after this deadline will ***not*** be accepted.

APPENDIX B - Project Description

Applications must include a clear description of the proposed project's objectives, approach to design and implementation, scope of work, budget and schedule. The Applicant must clearly explain how the proposed project will implement the State Systemwide Investment Approach (SSIA) in achieving the CVFPP's primary and supporting goals, consistent with the requirements of the CVFPP (2012 and 2017 update). As a minimum, the project description must include the following:

1. Project name, location and area map(s).
2. Project goals and objectives.
3. Executive Summary of the small community's flood risk reduction feasibility study that Applicant completed using the Department's Phase 1 SCFRR Program funding. Executive Summary description must include the following:
    a. List of alternatives evaluated with a brief description of each.
    b. Alternatives evaluation findings, ranking and recommendations.
    c. The approach and efforts used in the feasibility study, or intended to be used for design and implementation, to inventory and assess anticipated impacts of climate change and sea level rise and develop adaptation strategies.
    d. The readiness to commence the design phase of the recommended alternative, followed by construction and/or implementation of the recommended project.
    e. Clear description of any work and activities that may be awaiting completion by the Applicant before the project design can begin.
    f. Description of how the recommended alternative incorporates reduction of flood risk within an Integrated Water Management (IWM) approach and identification of any systemwide elements of the proposed project.
4. A description of any other document, other than the Phase 1 feasibility study, prepared in support of the proposed project.
5. A description of how the project will meet flood protection improvement objectives of the CVFPP (2012 and 2017 update).
6. Describe how the project will address the goals and objectives of the CVFPP Conservation Strategy (2016).
7. A description of any sensitive ecosystem issues and how the proposed project will address the CVFPP goal to promote ecosystem functions through potential ecosystem improvements in the project area.
8. A description of any potential opportunities to improve recreation, public access, and other public benefits in the project area.
9. A description of proposed project opportunities and constraints.
10. A summary of the applicable local, State, and federal regulatory and permitting requirements for project implementation and operation and maintenance of the

completed project, including CEQA, Section 408, and the National Environmental Protection Act (NEPA).

11. A description of Land, Easements, Rights-Of-Way, Relocation, and Disposal (LERRD) requirements, and associated constraints and issues, as applicable.
12. An Operation and Maintenance (O&M) plan that identifies the responsible agencies and entities and how the project will be sustainably maintained post implementation.
13. A description of proposed project funding mechanisms and sources (local, State, and federal) including a financial plan explaining project phasing and cash flow demands and/or use of assessments or debt to complete Applicant's proposed project design and implementation and sustainably fund O&M.
14. A scope of work for both design and implementation phases that includes:
    a. A brief description of all tasks and subtasks;
    b. A description of the approach to be used to inventory and assess anticipated impacts of climate change and sea level rise and integrate adaptation strategies into project elements. The scope of work must support the State and Department's goal to use the best available climate science to develop projects that are adaptable and resilient to climate change and sea level rise impacts.
15. A summary of cost estimates for proposed project elements and implementation stages, including design, construction and O&M:
    a. Total project capital cost: to Include all expenditures necessary to complete the project (including both the flood protection system and the multi-benefit components) so operations can commence, including planning and design, land, structures, materials, equipment, and labor;
16. A description of the State cost share eligibility considerations and determination of costs. Provide a breakdown of costs at task levels to clearly present proposed State cost-share, in accordance with the Department's Guidance (in Appendix H) to complete State cost-share determination. Include the following:
    a. Eligible and ineligible tasks and subtask for State cost-share and reimbursement under Program funding;
    b. Budget estimates at task and subtask levels, clearly indicating eligible and ineligible costs for Department reimbursement;
    c. Cost share enhancement. Include supporting documents and calculations to demonstrate eligibility of cost share enhancements.
17. A schedule of the project at task level (for both design and implementation phases):
    a. Schedule must allow minimum of eight weeks for Department review of projects' final design plans and project construction specification documents, including construction strategy and constraints description.
18. A statement by a professional civil engineer registered with the State of California certifying Project Level of Protection before and after the proposed project.

APPENDIX C - Project Selection Criteria and Ranking

The required outcomes and objectives of the SCFRR Program are consistent with those of the CVFPP. Applicant's proposal must achieve the primary goal of improving flood risk management for the small communities protected by SPFC facilities. Proposed projects must also include elements consistent with the CVFPP supporting goals of improving O&M, promoting ecosystem functions, improving institutional support, and promoting multi-benefit projects. Proposed project ecosystem elements must be consistent with and support the Board adopted 2016 Conservation Strategy.

Submitted proposals will be checked for completeness and eligibility and evaluated to determine fulfilling the goals and objectives of the Program. Table C-1 presents the goals, criteria and metrics, and maximum point that will be used to score and rank each eligible proposal.

Table C-1: Selection and Ranking Criteria

Goals	Criteria and Metrics	Maximum Point
Flood Risk Management	**People and Property at Risk** Reduce flood risk within SPFC protected floodplains • Life risk: change in number of lives exposed to the flood, in 100-year floodplain or preferably expected annual life loss. • Flood damage: change in the assets value at risk ($) in 100-year floodplain or preferably expected annual damage (EAD).	**20**
	Flood System Flexibility and Resiliency Improving system adaptability to changing conditions (hydrologic, regulatory, social, political, ecological) • Adaptation plan that considers different scenarios of changing conditions and their impact on the flood system • Change in life risk, protection level, and flood damage.	**5**
	Floodplain Management • Project will **not** increase urbanization of agricultural areas in deep floodplains • Address & manage residual risks, particularly in deep/rapid flooding areas. • Project incorporates non-structural flood risk management components where feasible • Project includes components designed to potentially increase FEMA Community Rating System class rating	5
Improve O&M	**Sustainable, multi-benefit O&M** • Enhance streamlining of regulatory and institutional standards, funding, O&M practices • Include performance-based and data-driven adaptive O&M management	**10**

Goals	Criteria and Metrics	Maximum Point
	• Project includes O&M plan which considers ecosystem, agriculture, and recreational benefits in the proposed design and funding plan • Project addresses deferred maintenance issues • O&M plan covers all project components and includes design life and repair, rehabilitation, and replacement (RR&R) considerations.	
Promote Ecosystem Functions	**Conservation Strategy Goals** • Ecosystem Processes – Improve and enhance natural dynamic, hydrologic, and geomorphic processes. • Habitats – Increase and improve quantity, diversity, quality, and connectivity of riverine aquatic and floodplain habitats. • Species – Contribute to the recovery and stability of native species populations and overall biotic community diversity. • Stressors – Reduce stressors related to development and operation of flood management systems that negatively affect at-risk species (e.g., reduce revetment, amount of disconnected floodplains, fish passage barriers, and invasive plants).	**20**
Promote Multi-Benefit Projects	**Integrated Water Management** • Provide additional public benefits (e.g. improving water supply and water quality, increasing groundwater recharge, and providing public recreation and educational opportunities, or any combination thereof).	**15**
Improve Institutional Support	**Improve Institutional Support** • Developing stable institutional structures, coordination and financing framework. • Enable effective, adaptive integrated flood management system, including: design, O&M, permitting, preparedness, response, recovery, land use, development planning. • Consistency with local maintaining agency and community general plan goals and objectives • Contributing to consolidation of local maintaining agencies. • Improve flood preparedness, response, recovery, and land use and development planning.	**5**
Financial Plan	**Funding Resources/Financial Plan** • Demonstrating the ability to implement project through construction and operation and maintenance. • Identify all new and existing funding sources (local, State, federal) • Include all cost-share calculations and recommendations	**20**

Goals	Criteria and Metrics	Maximum Point
	• Identify and utilize supplemental sources of O&M funding that leverage the ecosystem benefits accrued, as well as other benefits such as recreation, water quality, and water supply that are applicable • Identify correlation between all funding needs and project phasing	
Total Score		**100**

APPENDIX D - Metrics for Ecosystem Functions and Multi-benefit Projects

The Department's 2016 Conservation Strategy provides specific targeted metrics for each objective within the Conservation Planning Areas (CPAs). Proposed projects that Department's evaluations find to contribute significantly to CPA objectives identified in the Conservation Strategy will be given higher scores which will improve chances of selection for State financial assistance for implementation. Multi-benefit category points will be based on the level of inclusion of the targeted metrics in the project proposals that contribute to the measurable objectives of the Conservation Strategy. The 2016 Draft Central Valley Flood System Conservation Flood Strategy is available upon request.

Table D-1 describes the Conservation Strategy metrics for ecosystem process, habitat, and stressor objectives. Table D-2 summarizes the Conservation Strategy Metrics by conservation planning area.

Table D-1: CVFPP Conservation Strategy Metrics for Ecosystem Processes, Habitat, and Stressors

Goal	Targeted Ecosystem Process, Habitat, or Stressor	Metric
Ecosystem Processes: Improve dynamic hydrologic and geomorphic processes.	**Floodplain Inundation**	**Inundated Floodplain—total amount (acres) of 50-percent flows (i.e., a 2-year event) with 14-day or longer duration during December–May:** This is a metric of the amount of inundated floodplain benefiting riverine ecosystems and, in particular, target fish species. These amounts are derived from hydraulic modeling using data developed for planning flood management projects.
Ecosystem Processes: Improve dynamic hydrologic and geomorphic processes.	**Riverine Geomorphic Processes**	• **Natural Bank—total length (miles):** Natural bank is a component of Shaded Riverine Aquatic (SRA) habitat cover and bank habitat and is necessary for migration of a river channel. Its length is related to the area of floodplain potentially reworked by channel migration (river meander). The length of natural bank can be readily measured from imagery, topographic data, and DWR-maintained inventories of revetment. • **River Meander Potential—total amount (acres):** Movement of a river channel across its floodplain regenerates channel and floodplain habitats. River meander potential is the area of floodplain that has the potential to be reworked by the meandering channel because it is within the river's natural meander zone, not

Goal	Targeted Ecosystem Process, Habitat, or Stressor	Metric
		underlain by substrates resistant to erosion, and not isolated by revetted banks or levees. Areas with river meander potential can be cost- effectively mapped using aerial photography, inventories of revetment and levees, and existing geologic/soils data.
Habitats: Increase and improve quantity, diversity, quality, and connectivity of riverine aquatic and floodplain habitats.	**Shaded Riparian Area Cover**	• **Natural Bank—total length (miles):** See natural bank description under "Riverine Geomorphic Processes." • **Riparian-Lined Bank—total length (miles):** Riparian-lined banks are natural or revetted banks bordered by trees and shrubs. Riparian-lined banks are an attribute of SRA cover and because SRA cover exists only along channel margins, length is a direct measure of its quantity. Mapping of riparian-lined banks is related to the mapping of riparian vegetation, natural bank, and revetment, all of which DWR inventories for multiple purposes.
Habitats: Increase and improve quantity, diversity, quality, and connectivity of riverine aquatic and floodplain habitats.	**Riparian**	**Habitat Amount—total amount (acres) in floodways:** The area of riparian vegetation (i.e., riparian forests, woodlands, and scrub) is a direct measure of its quantity. DWR has mapped this vegetation in the Sacramento and San Joaquin Valleys.
Habitats: Increase and improve quantity, diversity, quality, and connectivity of riverine aquatic and floodplain habitats.	**Marsh (and Other Wetlands)**	**Habitat Amount—total area (acres) in floodways:** The area of marsh and other wetlands is a direct measure of their quantity. DWR has mapped this vegetation in the Sacramento and San Joaquin Valleys.
Habitats: Increase and improve quantity, diversity, quality, and connectivity of riverine aquatic and floodplain habitats.	**Floodplain Agriculture, Wildlife, Friendly**	**Habitat Amount—total amount (acres) of wildlife-friendly agriculture in floodways:** The area of floodplain agricultural land with wildlife-friendly agricultural practices is a direct measure of its quantity. Wildlife-friendly practices are those increasing habitat value for target wildlife species; fish habitat provided by inundated agricultural land is addressed under inundated floodplain. Areas implementing wildlife-

Goal	Targeted Ecosystem Process, Habitat, or Stressor	Metric
		friendly practices have not yet been mapped.
Stressors: Reduce stressors related to the development and operation of the SPFC that negatively affect at- risk species.	**Fish Passage Barriers**	**Fish Passage Barriers—number of high-priority barriers remediated:** This metric documents the number of high-priority barriers modified to improve passage. DWR has inventoried and prioritized barriers in the Sacramento Valley and inventoried prioritized barriers in the Sacramento Valley and inventoried barriers in the San Joaquin Valley (DWR 2014a). (San Joaquin Valley barriers have not yet been prioritized.) This inventory will be updated to support multiple programs. (It is important to recognize that, even among high-priority barriers, there is a range of effects on fish migration.)
Stressors: Reduce stressors related to the development and operation of the SPFC that negatively affect at- risk species.	**Invasive Plants**	**Invasive Plant–Dominated Vegetation in Channel Maintenance Areas—total area reduced (acres):** Land identified as Channel Maintenance Areas in the SPFC Descriptive Document (DWR 2010) include areas dominated by invasive plants. For species prioritized for treatment, this metric measure reduction in the extent of infested areas that impact both ecosystem targets as well as O&M of the SPFC. DWR has mapped this vegetation in the Sacramento and San Joaquin Valley.

Table D-2: Conservation Strategy Metrics- Summary by Conservation Planning Area [1]

Goal Objective: Metric	Upper Sacramento River	Feather River	Lower Sacramento River	Upper San Joaquin River	Lower San Joaquin River
Ecosystem processes					
Floodplain inundation: inundated floodplain—major river reaches Area inundated by 2-year, 14-day or longer flows, December–May (acres)	6,300	3,700	7,650	2,800	11,600
Floodplain inundation: inundated floodplain—bypasses/transient storage areas (acres)	9,600	N/A	7,500	0	200
Riverine geomorphic processes: natural bank (miles)	20	0	4	8	13
Riverine geomorphic processes: river meander potential (acres)	5,600	400	1,300	2,100	4,300
Habitats					
SRA cover: natural bank (miles)	20	0	4	8	13
SRA cover: riparian-lined bank (miles)	8	0	3	2	6
Riparian habitat (acres)	3,400	1,800	1,900	2,100	5,800
Marsh/other wetland habitat (acres)	2,400		3,500	0	100
Stressors					
Fish passage barriers: channel-wide structures	5	0	4	TBD	TBD
Invasive plants: prioritized species (infested acres)	268	257	363	143	34

APPENDIX E - Environmental Information Form

ENVIRONMENTAL INFORMATION FORM

Grantees are responsible for complying with all applicable laws and regulations for their projects, including the California Environmental Quality Act (CEQA). Work that is subject to the California Environmental Quality Act (CEQA) shall not proceed under this Agreement until documents that satisfy the CEQA process are received by the Department of Water Resources (Department) and the Department has completed its CEQA compliance. Work that is subject to a CEQA shall not proceed until and unless approved by the Department. Such approval is fully discretionary and shall constitute a condition precedent to any work for which it is required. Once CEQA documentation has been completed, the Department will consider the environmental documents and decide whether to continue to fund the project or to require changes, alterations or other mitigation.

Grant Recipient:

_____

Project Manager:

_____

Phone Number: _____ Agreement #: _____

Address:

_____

_____

1. List the source of any other grants or funds received from the Department of Water Resources to implement a portion of this project.

   _____

   _____

   _____

   _____

2. Is this a project as defined by CEQA? Yes □□No □□(if "yes", skip to #3) If "no", please explain below then skip to #8.

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ENVIRONMENTAL INFORMATION FORM

3. Is this project exempt from CEQA compliance? Yes □□No □□(if "no", skip to #4) If “yes”, provide reasons for exemption. Cite the CEQA Article, Section and Title of the CEQA exemption, if appropriate. A partial list of the statutory exemptions is found in Cal. Code Regs., tit.14, art. 18 (sections 15260 – 15285) and a list of categorical exemptions is found in Cal. Code Regs., tit. 14, art. 19 (sections 15300 – 15332). A copy of CEQA and the applicable regulations may be found at: http://resources.ca.gov/ceqa/docs/2016_CEQA_Statutes_and_Guidelines.pdf Check appropriate box below:

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

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

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

   If Lead Agency chooses not to file a NOE, sufficient documentation and information must be submitted to the Project Director, along with this form, to allow DWR to make its own determination that the project is exempt from CEQA.

   Reason for exemption:

   _____
   _____
   _____
   _____

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

   _____

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

   ☐ Initial Study

   ☐ Negative Declaration / Mitigated Negative Declaration

   ☐ Environmental Impact Report

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

   Status:

   _____
   _____

   Date of Completion:

   _____

   Estimated Costs:

   _____

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

   _____
   _____

ENVIRONMENTAL INFORMATION FORM

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

TYPE OF PERMIT REQUIRED	PERMITTING AGENCY

9. This form was completed by:

_____ _____
Print or Type Name Phone Number

_____ _____
Signature Date

Please send the completed and signed form to DWR Project Manager.

For DWR internal use:

☐ DWR received environmental documents.

☐ DWR made findings.

APPENDIX F - Certification for Design Projects

_____

(Name of Local Agency)

hereby applies to the California Department of Water Resources for funding in the amount of $XXX.XX as authorized by Section 5096.821 of the California Public Resources Code for the purpose of designing a flood control repair or improvement work identified herein as

_____

(Title of Project)

On behalf of the Applicant, I certify the following:

- Applicant has sufficient funds or other resources to finance the proposed percentage of the cost of the Project. *(Project sponsors will be required to provide a financial plan.)*
- If Applicant is awarded funding for a Design Project and later enters into a Design-Construction Agreement, Applicant shall not commence construction activities until receiving an Approval Letter from the State.
- If Applicant is awarded funding and the Project is constructed, applicant will (1) operate, maintain, repair, rehabilitate, and replace the Project facilities as needed in perpetuity, or until the Department of Water Resources and the Central Valley Flood Protection Board agree in writing that such services are no longer needed, and (2) provide a manual for operation and maintenance that is satisfactory to the Department of Water Resources and the Central Valley Flood Protection Board; and (3) sign an agreement to operate, maintain, repair, rehabilitate, and replace the Project facilities with the Central Valley Flood Protection Board.

By _____ Date _____

(Signature of Authorized Representative)

_____

(Printed Name of Authorized Representative) *(Title)*

APPENDIX G - Certification for Construction Projects

_____

(Name of Local Agency)

hereby applies to the California Department of Water Resources for funding in the amount of $XXX.XX as authorized by Section 5096.821 of the California Public Resources Code for the purpose of constructing the flood control repair or improvement work identified herein as

_____

(Title of Project)

On behalf of the Applicant, I certify the following:

- Applicant has sufficient funds or other resources to finance the proposed percentage of the cost of the Project and to operate, maintain, repair, rehabilitate, or replace the Project as long as necessary. *(Applicant will be required to provide a financial plan.)*
- If Applicant is awarded funding and becomes the sponsor of this Project, applicant will (1) operate, maintain, repair, rehabilitate, and replace the Project facilities as needed in perpetuity, or until the Department of Water Resources and the Central Valley Flood Protection Board agree in writing that such services are no longer needed, and (2) provide a manual for operation and maintenance that is satisfactory to the Department of Water Resources and the Central Valley Flood Protection Board; and (3) sign an agreement to operate, maintain, repair, rehabilitate, and replace the Project facilities with the Central Valley Flood Protection Board.

By _____ Date _____

(Signature of Authorized Representative)

_____

(Printed Name of Authorized Representative) *(Title)*

APPENDIX H - Guidance for State-Local Cost Shared Flood Projects

The State base-level cost share for flood management projects is 50% of the Total Project Cost.[2] Cost share may vary from this base share.[3] Applicants may not use other State funds for its local share unless the State agency providing those funds is specifically authorized by the Legislature to allow the Local Agency to use the funds for its local share. The State shall verify and give the applicant its written permission to use the funds provided by the State agency for the local share.

The State cost share of a project can be increased above the base State cost share of 50% by satisfying any of the following objectives: 1) disadvantaged area community,[4] 2) system improvement, 3) ecosystem enhancement and restoration, 4) other multi-benefit features, and 5) setback levees, as described below:

Disadvantaged Area Community – The State will increase the cost share for disadvantaged areas' flood management projects up to 40% in 1% increments. This would increase the State cost share of such projects up to 90% of the Total Project Costs. The exact amount of the increase in the State cost share will depend on the degree to which the Benefited Area is economically disadvantaged at the time the project agreement is executed. The State cost share increase is equal to the difference between the Benefited Area's Median Annual Household Income[5] and the Disadvantaged Household Income[6], both of which are measured as percentages of the California Median Annual Household Income (rounded to the nearest whole percentage). See Exhibit 1 for how the cost share increase is calculated.

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[2] Total Project Cost means the portion of the project cost that is to be shared between DWR and the Local Agency. The costs contributed by other State or federal agencies are not included in the Total Project Cost.

[3] In addition, the State may cap certain types of project costs at 50%. For instance, environmental compliance (CEQA, NEPA, etc.) preparation work directly related to a project and early consultation with agencies will continue to be capped at a 50% State cost share, consistent with current DWR guidelines. This 50% cost limitation for specific costs applies irrespective of the actual cost-sharing formula for the underlying project.

[4] The Department has defined the terms "Disadvantaged Area" and "Disadvantaged Household Income" in a manner that is consistent with state law. In legislation passed to implement the Water Security, Clean Drinking Water, Coastal and Beach Protection Act of 2002, the legislature defined a "Disadvantaged Area" as "a community with an annual median household income that is less than 80% of the statewide annual median household income." Cal. Water Code § 79505.5(a). In recently enacted AB 1788 (Yamada) (Ch. 579), the legislature again used this definition for purposes of establishing the cost-sharing formulas for federal flood control projects. Cal. Water Code § 12585.7(d)(4).

[5] California Median Annual Household Income means the median annual household income for California reported in the most recent census or updated census-based data. Median should be used exclusively except where there is insufficient median income information for estimating or determining the median in a particular area.

[6] Disadvantaged Household Income means 80% of the California Median Annual Household Income.

System Improvement – The State will increase the cost share for system improvement projects up to 50% in 1% increments. This would increase the State cost share of such projects up to 100% of the Total Project Costs. The State will implement system improvement projects, which will potentially result in a variety of cost share percentages for different project segments. System improvement features of flood management in the Central Valley include improvement, expansion, and extension of the bypass system, weirs, gates, pumping plants, and fish passage facilities of the flood management system, etc. as presented in the CVFPP under the SSIA. The State will pay applicants up to 100% of the cost for the DWR-approved system improvement works.

Ecosystem Enhancements and Restorations – The State will increase the cost share for ecosystem enhancement and restoration projects up to 20% in 1% increments to cover the cost of such features, not including any cost required for project permitting and mitigations. This would increase the State cost share of such projects up to 70% of the Total Project Costs. Environmental enhancements and restorations, which are public trust resources, include, but are not limited to: protecting, creating, enhancing, or providing opportunities for enhancing the ecosystem, including increasing the quantity, diversity, and connectivity of riparian, wetland, floodplain, and shaded riverine aquatic habitats; promoting the recovery and stability of native species populations and overall biotic community diversity; improving conditions for upstream migration, spawning, egg incubation, emergence, rearing, and migration of priority fish species; and improving fish passage through modification or removal of barriers.

Other Multi-benefit Features of the Project – The State will increase the cost share for Multi-benefit Features of the flood control projects up to 20%, with each feature not exceeding 10% of the Total Project Costs. This would increase the State cost share of such projects up to 70% of the Total Project Costs. Other Multi-benefit features of the project include:

Feature 1: Protection of State Facilities – The State will increase the cost share for protection of State Facilities up to 10% in 5% increments. The State will increase its cost share of the Project for significant contributions to the objective of providing flood benefits to a State Facility[7].

A significant contribution for the State Facilities objective requires that state transportation facilities or State water supply facilities receive at least a 10% increase in flood protection. The increase in flood protection may be determined from either a DWR or Central Valley Flood Protection Board-approved feasibility study report or other supplemental information as deemed appropriate by the Department or the Board.

Feature 2: Contribution to the State Sustainability Objective – The State will increase the cost share for protection of State Sustainability objective up to 10% in 5% increments. The State will increase its cost share of the project for implementing a significantly increased level of sustainability objectives into the project. The goal of including sustainability objectives in the proposed project is to better manage water resources in a manner that meets California's long-term environmental needs. The

[7] State Facility means either a State Transportation Facility or a State Water Supply Facility.

applicant should provide evidence that their project has been rated at the Gold or Platinum Award recognition level by the Institute for Sustainable Infrastructure (ISI). The applicants will be entitled to a 5% increase in the State cost share of the Total Project Cost if their project has received a Gold Award from ISI, and a 10% increase in the State cost share of the Total Project Cost if their project has received a Platinum Award from ISI. Note that habitat, open space, recreation, and disadvantaged elements are some of the sustainability objectives already included in the ISI Envision ranking system.

Feature 3: Open Space[8] and Recreation – The State will increase the cost share for Open Space and Recreation projects up to 10% in 1% increments to cover the cost of such features. This includes land acquisition, improvement and preservation of open space and recreation beyond what is required for the project. Such lands may be acquired in fee or subject to restrictions, such as open space or conservation easements that permanently restrict the land to open space uses and secure the rights necessary for flood management operations and maintenance. Recreational opportunities include developing and maintaining trails for pedestrians, bicycles, and/or equestrians; modifying the operation of flood protection facilities to increase the diversity and duration of recreational opportunities; enhancing the condition and quality of existing recreational facilities; providing facilities for rafting, canoeing, boating, fishing, viewing wildlife, swimming, or other water-dependent activities; providing interpretive facilities and services that enhance visitor appreciation of natural, historical, and cultural resources; relocating major trails to avoid flooding so that they may remain open all year; and enhancing public beach areas.

Feature 4: Enhance Water Supply (including groundwater recharge, increase base flow of streams, etc.) – The State will increase the cost share for projects that significantly enhance Water Supply up to 10% in 1% increments to cover the cost of such features. The enhancement of water supply includes increased groundwater recharge, base flow of streams, and any other enhancements documented through engineering studies and modeling work and presented in quantitative means.

Setback Levee – The State will increase the cost share for segments with setback levee by covering the cost of extra work incurred by building setback levees, minus the cost of the hypothetical repair-in-place or improve-in-place of the project, up to 30% in 1% increments. This would increase the State cost share for the project segment up to 80% of the Total Project Costs. See Exhibit 2 on how to calculate the blended cost share for setback levees.

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[8] Open Space means any parcel or area of land or water that is essentially unimproved and restricted to an Open Space use. Open Space can be designated as any of the following:

- For the preservation of natural resources.
- For managing production of resources, including but not limited to, forest lands, rangeland, and agricultural lands.
- For outdoor recreation.
- For public health and safety, including, but not limited to, flood plains, watersheds, and areas required for the protection of water quality or groundwater recharge.

The applicants must avoid documenting duplicative benefits. State will not account for any project feature that is cost shared as additional benefit to increase the project cost share. For example, the State may pay for additional costs associated with setback levee but will not pay for additional benefits that may result from the levee setback, such as recreation, open space, or increased groundwater recharge. Features paid for by funding recipient can be identified as benefits to increase the project cost share.

EXHIBIT 1

Disadvantaged Area Community Calculation

Z = X/Y – 80%

X is the Median Annual Household Income for the Benefitted Area Y is the California Median Annual Household Income

X/Y is the Relative Median Annual Household Income percentage or the Benefitted Area's Median Annual Household Income relative to the California Median Annual Household Income. If the X/Y value is greater than 100%, then the Benefitted Area is not a Disadvantaged Area.

80% is the threshold percentage of the California Median Annual Household Income that a Benefitted Area community would need to qualify as a Disadvantaged Area. This income percentage is also known as the Disadvantaged Household Income percentage.

Z = X/Y – 80% is the percentage that a Benefitted Area is considered to be disadvantaged. If the Z value is positive, then the Benefitted Area is not a Disadvantaged Area. If the Z value is negative, then the Benefitted Area is a Disadvantaged Area.

Some examples as follows:

The exact amount of the increase in the State cost share will depend on the degree to which the Benefited Area is economically disadvantaged at the time the project agreement is executed. The enhancement is equal to the difference between the Benefited Area's Median Annual Household Income and the Disadvantaged Household Income, measured as percentages of the California Median Annual Household Income (rounded to the nearest whole percentage). Three examples illustrate this approach, assuming $61,000 California Median Annual Household Income:

Benefited Area "A" has a Median Annual Household Income of $51,800, which is 84.9% of the California Median Annual Household Income ($51,800/ $61,000 = 84.9%). The Relative Median Annual Household Income percentage (84.9%) exceeds the Disadvantaged Household Income percentage (80%). Thus, the Benefitted Area would not be eligible for a Disadvantaged Area State cost share increase.

X = $51,800 Y = $61,000 X/Y = 84.9%
Z = 84.9% - 80% = 4.9%
The Z value is positive, so the Benefitted Area is not a Disadvantaged Area.

Benefited Area "B" has a Median Annual Household Income of $42,900, which is 70.3% of the California Median Annual Household Income ($42,900/ $61,000 = 70.3%). The difference between the Relative Median Annual Household Income percentage

(70.3%) and the Disadvantaged Household Income percentage (80%) is -9.7% (70.3% - 80% = -9.7%). Thus, the Benefitted Area would be eligible for a Disadvantaged Area State cost share increase of 9.7%, which would be rounded up to 10%.

X = $42,900 Y = $61,000 X/Y = 70.3%
Z = 70.3% - 80% = -9.7%
The Z value is negative, so the Benefitted Area is a Disadvantaged Area. The Disadvantaged Area State cost share increase is 9.7% (rounded up to 10%).

Benefited Area "C" has a Median Annual Household Income of $33,500, which is 54.9% of the California Median Annual Household Income ($33,500/ $61,000 = 54.9%). The difference between the Relative Median Annual Household Income percentage (54.9%) and the Disadvantaged Household Income percentage (80%) is -25.1% (54.9% - 80% = -25.1%). Thus, the Benefitted Area would be eligible for a Disadvantaged Area State cost share increase of 25.1%, which would be rounded down to 25%.

X = $33,500 Y = $61,000 X/Y = 54.9%
Z = 54.9% - 80% = -25.1%

The Z value is negative, so the Benefitted Area is a Disadvantaged Area. The Disadvantaged Area State cost share increase is 25.1% (rounded down to 25%).

EXHIBIT 2

Cost Sharing for Project Setback Levees

The Department will pay a State cost share for Projects or Project components that are setback levees. The following is a brief description of how the State will determine the State cost share for setback levees:

Define the Portion of the Project Eligible for Application of the Setback Levee Rules

For purposes of applying the cost sharing rules for a setback levee, it will be important to determine whether the entire Project is a setback levee or whether one or more Project segments is a setback levee. Thus, the Applicant should provide adequate documentation to support their project proposal.

Determine the State Cost Share for Hypothetical Repair/Improve-in-Place Project

For any Project that includes a setback levee, the Applicant will be required to describe a hypothetical repair-in-place or improve-in-place project, depending on whether it is a Repair Project or an Improvement Project. The Applicant shall prepare an analysis of what the appropriate State cost share would be for the hypothetical Project, including any increase in the State cost share that the hypothetical Project would be entitled to for meeting the multi-benefit objectives. For purposes of this analysis, the Applicant should not take into account that the actual Project will include construction of the setback levee. On the basis of this analysis, the State will determine what the appropriate State cost share would be for the hypothetical repair-in-place or improve- in-place project.

Determine the Incremental Cost of Constructing a Setback Levee

The Applicant will also be required to submit an analysis of the incremental cost of building a setback levee rather than the hypothetical repair-in-place or improve-in-place project. The State will review the Applicant's estimate to make sure that it fairly and accurately reflects the likely incremental costs.

Determine the State Cost Share

The State will pay the State's cost share for the hypothetical repair-in-place or improve-in-place project plus 100% of the incremental additional Eligible Project Costs incurred as a result of constructing the setback levee instead of the hypothetical repair-in-place or improve-in-place project, up to 30% of total project costs. For the State to cost share in the setback levee above the cost of repair-in-place or improve-in place, the setback levee must provide regional benefits in flood risk reduction or significant environmental benefits in the judgment of the State.

Example:

Cost of improving a levee segment is $600,000 with State cost share of 60%, the State share would be $600,000 x 60% = $360,000.

Cost of building a setback levee for this levee segment is $1 million. Incremental cost of setback levee would be $1,000,000 - $600,000 = $400,000.
At 100% State cost share for this incremental cost, total State share for this project segment would be $400,000 + $360,000 = $760,000.

The blended State cost share for this segment would be $760,000 / $1,000,000 = 76%, which is less than the 80% cap.

Scope of Work	Cost	Cost Share	State Share
Repair in Place	$600,000	60%	$360,000
Setback Levee	$1,000,000	-	-
Incremental Cost of Setback Levee	$1,000,000 - $600,000 = $400,000	100%	$400,000
Blended Cost Share	($400,000 + 360,000) / $1,000,000 = 0.76	76%	$760,000

APPENDIX I - Local Public Agency Authorizing Resolution

APPENDIX J - Funding Agreement Template