

State Water Resources Control Board
PROPOSITION 1 TECHNICAL ASSISTANCE FUNDING PROGRAM
SOLICITATION FOR TECHNICAL ASSISTANCE PROJECTS

The State Water Resources Control Board's (State Water Board) [Proposition 1 \(Prop 1; Assembly Bill 1471, Rendon\)](#) Technical Assistance (TA) Funding Plan (Plan) outlines the general approach for administering the [Prop 1 TA Funding Program \(Program\)](#). The overarching goal of this Program is to achieve measurable improvement in water quality and supply, and more stable and sustainable community governance with enhanced public awareness. This is a multidisciplinary approach, intended to address Small Disadvantaged Community (DAC) drinking water, wastewater, groundwater quality, and stormwater needs under one program.

The amounts of funds available from Prop 1 are estimated as follows:

- Up to \$74 million for drinking water and wastewater TA (Chapter 5, Section 79725);
- Up to \$10 million for groundwater TA, possibly more upon adoption of the funding guidelines (Chapter 10; Section 79774); and
- Up to \$1 million for stormwater TA, amount to be finalized upon adoption of the funding guidelines (Chapter 7; Section 79747).

Staff from the [Office of Sustainable Water Solutions](#) in the State Water Board's Division of Financial Assistance will administer the Program.

OVERVIEW OF APPLICATION PROCESS:

This is a two-step (Concept Proposal and Full Proposal) continuous solicitation process. Unless funds are exhausted sooner, the solicitation is expected to remain open for submittal of Concept Proposals until at least June 30, 2016. At such date, the Division will evaluate whether to leave the solicitation open, or close with the possibility to reopen at a later date.

Eligible applicants include: 501(c)(3) nonprofit organizations and public universities; larger public utilities or larger public agencies wishing to assist small DACs may also be considered.

Proposed TA Project implementation period should be no longer than three (3) years, with all work completed no later than March 31, 2020.

The contents of the application and instructions for submittal are provided below. Applicants are encouraged to contact State Water Board staff with questions regarding this solicitation. Please contact: Meghan Tosney, Senior Water Resources Control Engineer in the Office of Sustainable Water Solutions, at 916-341-5729 or Meghan.Tosney@waterboards.ca.gov.

INSTRUCTIONS FOR USING FAAST:

The Concept Proposal and Full Proposal shall be submitted electronically via the Financial Assistance Application Submittal Tool (FAAST): <https://faast.waterboards.ca.gov>

The solicitation in FAAST consists of multiple tabs with text boxes, pull down menus, and multiple choice selections. Applicants will also provide additional information by uploading documents on the Attachments tab.

The following FAAST resources are available online:

[Frequently Asked Questions](#)

[How-to-Videos](#)

[User Manual](#)

If you need assistance, please contact the FFAST Help Desk between 8:00 am and 5:00 pm, Monday through Friday, at 1-866-434-1083 or FAAST_ADMIN@waterboards.ca.gov. All emails should include the subject line "Prop 1 TA Program" and the FFAST Proposal Identification Number (PIN) if known.

APPLICATION SUBMITTAL AND REVIEW:

The application consists of: (1) Concept Proposal and (2) Full Proposal.

Concept Proposal:

Eligible applicants should follow the steps below to submit:

- ✓ Navigate to [FAAST](#) website
- ✓ Create user account (if this is the first time using FFAST)
- ✓ Log on by entering your username and password
- ✓ Click on Start a New Application
- ✓ Read and check boxes for the System Disclosures
- ✓ Select appropriate applicant organization
- ✓ Choose the Proposition 1 Technical Assistance Request For Proposal (RFP)
- ✓ Fill out the following tabs: General Information, Project Management, and Funding
- ✓ Click on the Attachments tab and upload the documents described below
- ✓ Submit application

Item	Attachment	Instructions
A	Eligibility, Qualifications, Resources	<ul style="list-style-type: none">• Confirm the entity applying is either a 501(c)(3) nonprofit, public university, public utility, or public agency;• Describe your existing resources and expertise, including a list of key staff that will work on the proposed TA Project, with the following information provided for each:<ul style="list-style-type: none">○ Name;○ Title;○ Brief description of duties and qualifications;• Describe past performance on similar projects:<ul style="list-style-type: none">○ Identify at least three (3) specific projects or programs under which you have provided similar technical assistance to Small DACs. For each, please provide:<ul style="list-style-type: none">▪ Project start and end dates;▪ Project budget;▪ References (i.e., email and phone number for one or more contacts from the entity funding the TA effort such as a state/federal agency);○ Discuss the specific role your organization had in the effort, and describe your record of performance, including your ability to administer costs, maintain schedules, and ensure completion of all aspects of the project or program;• Identify what portions of the proposed scope will require your organization to contract for professional or consultant services. If you already know which contractor you plan to use for each consultant role, please indicate; and• Describe the process used, or to be used, to select each contractor.

Item	Attachment	Instructions
B	Scope of Work Narrative	See template provided and refer to additional notes below.
C	Concept Proposal Budget Summary	See template provided. Limits on certain items such as indirect costs may apply. If you are invited to submit a Full Proposal, additional guidance will be provided at that time.

NOTES:

1. If several eligible applicants pursue funding for similar TA activities, the Division may opt to fund multiple agreements for similar TA activities. Certain recipients may be designated to implement activities on a local or regional level, while other recipients may be designated to implement the same type of activities on a statewide level, with clear direction not to undertake activities in the local or regional areas being addressed by other providers. In these types of cases, recipients will be expected to coordinate on a regular basis to ensure consistency in implementation and to avoid duplication of efforts. Typically, the Division will look to ensure that one recipient is assigned the lead role in assisting a given community, while allowing for the possibility for the lead to consult and coordinate with other recipients to fulfill specific aspects of the TA effort in that community.
2. Applicants may choose to submit more than one Concept Proposal if pursuing multiple TA Projects with distinct scopes. If an applicant submits a single Concept Proposal for a multi-disciplinary set of TA activities (for example to address drinking water and wastewater needs, as well as stormwater needs, under one agreement), the Division will consult with the applicant prior to completion of the Full Proposal to reach consensus regarding whether it will be more efficient to track costs from multiple funding sources within a single agreement, or whether two separate agreements may be more appropriate.
3. Upon execution of a funding agreement, funding recipients should expect to submit Quarterly Status Reports and attend the following recurring meetings:
 - a. Monthly update meetings or conference calls with State Water Board staff to discuss work completed to date and worked planned for the next month. Less frequent update meetings may be approved as appropriate for specific TA projects, depending on scope of work.
 - b. Quarterly TA Roundtable Meetings with all recipients and State Water Board staff. The goal of the quarterly meetings will be to: provide an overview of progress during the previous quarter; discuss project outcomes, including success stories and problems encountered; talk about programmatic issues; and consider additional needs that may have come to light. These meetings may be attended via conference call.

Invitation To Submit Full Proposal:

Concept Proposals will be reviewed to verify the applicant's eligibility, evaluate if the proposal adequately demonstrates the applicant's knowledge of and experience with providing related technical assistance, and determine if the applicant has the capacity to successfully execute the proposed scope of work on time and within budget. Division staff will also confirm that the proposed TA Project effectively addresses identified TA needs and priorities without duplicating efforts.

Based on the review, Division staff will do one of the following: invite the applicant to submit a Full Proposal, work with the applicant to modify or improve the Concept Proposal, or notify the applicant that they will not be invited to submit a Full Proposal. Information about which Concept Proposals have been invited to submit a Full Proposal and which Full Proposals have been approved for funding will be posted on the [Prop 1 TA Funding Program website](#).

It is the Division's intent to use grant agreements. However, an interagency agreement or contract may be necessary depending on the applicant and scope of work proposed in the Concept Proposal. If an interagency agreement or contract is needed, a separate procurement process will occur, and the applicant will be advised accordingly.

Full Proposal:

Eligible applicants invited to submit a Full Proposal will be assigned a Grant Manager (Division staff contact) to assist the applicant with the Full Proposal process and will be directed to follow the steps below to complete the Full Proposal:

- ✓ Log on to [FAAST](#) website by entering your username and password
- ✓ Click on Submitted Applications/Surveys on Main Menu
- ✓ Click on the hyperlink for your application
- ✓ Click on the Attachments tab
- ✓ Click on the Post-Submission Attachment sub-tab, and attach the following*:

Item	Attachment	Instructions
1	Scope of Work Narrative	Revise the Scope of Work Narrative submitted with the Concept Proposal to incorporate comments or direction from Division staff.
2	Full Proposal Budget Summary	Complete the budget summary, budget breakdown, and personnel detail tabs on the template provided. Drinking water and wastewater costs should be combined in one budget.
3	Organizational Chart and Resume(s)	<ul style="list-style-type: none">• Provide an organizational chart, including any new positions you intend to fill if awarded funds for this TA Project. For each staff person, provide an estimate of the portion of their time base that will be spent on this TA Project.• Provide a resume for each major TA Project participant, including consultants, as available.

Item	Attachment	Instructions
4	Resources and Consultant Qualifications	<ul style="list-style-type: none"> • Describe the expected process and timeline to secure additional in-house and consultant resources necessary to implement the proposed TA Project. For each consultant role identified in the budget breakdown (Attachment 2), provide one of the following, as applicable: <p>(1) <u>For Selected Consultants:</u></p> <ul style="list-style-type: none"> • Provide the following for each consultant: <ul style="list-style-type: none"> ○ A description of past performance on similar projects: <ul style="list-style-type: none"> ▪ Identify at least three (3) specific projects under which the consultant provided a similar scope of work to Small DACs; ▪ Provide references for each project; and ▪ Discuss the consultant's specific role in each project and describe their overall record of performance, including their ability to manage costs, maintain schedules, and ensure completion of the project. <p>(2) <u>For Unfilled Consultant Roles:</u></p> <ul style="list-style-type: none"> • The selected consultant must be accepted in writing by the Grant Manager at a future date. Please provide the following for each unfilled consultant role: <ul style="list-style-type: none"> ○ A brief description of the anticipated procurement process, which should be based on demonstrated competence and qualifications, and reasonable costs for the types of services to be performed; and ○ A list of significant minimum qualifications.
5	Project Effectiveness and Performance Measures	<p>For each significant project activity, describe the following:</p> <ul style="list-style-type: none"> • Overarching goal of the activity; • Desired outputs and outcomes (quantitative where possible); and • Tools or methods that will be used to collect supporting data. <p>Focus on how the proposed activity will help Small DACs implement practical, cost effective drinking water, wastewater, stormwater and/or groundwater quality projects that will be adequately maintained over the long term.</p>
6	Authorizing Resolution	<p>Provide a resolution or other similar documentation from the applicant's governing body assigning an authorized representative to enter into an agreement with the State Water Board. See template provided.</p>

Item	Attachment	Instructions
7	Litigation, Audits and Disputes	Identify any current, prior, or pending material events, such as litigation, adverse findings by outside auditors, or grand jury findings that might impact the applicant's existence or ability to meet obligations in implementing the proposed TA Project.
8	Financial Statements	Provide audited financial statements from the last three (3) fiscal years.
9	Proof of Nonprofit Status	Nonprofit organizations must submit: <ul style="list-style-type: none"><li data-bbox="678 541 1446 604">• Current IRS determination letter indicating 501(c)(3) tax exempt status<li data-bbox="678 611 1029 640">• Articles of Incorporation<li data-bbox="678 646 1398 709">• Filing documents for fictitious business name (Doing Business As), if applicable

Review and Approval of Full Proposal:

Full Proposals will be processed and funds committed to TA Projects based on timely submittal of complete Full Proposal materials. Division staff may require additional supporting information or adjustments to the TA Project scope, schedule, or budget, prior to approving funding. A legal opinion may also be required.

Eligible costs incurred after November 4, 2015, may be considered for reimbursement. Funds will not be disbursed until there is a fully executed grant agreement between the State Water Board and the grantee. Any costs incurred prior to grant agreement execution are incurred at the applicant's own risk.

DEFINITIONS:

“Eligible Applicant” means eligible 501(c)(3) nonprofit organizations and public universities. The Division may also consider providing TA funding to public utilities or public agencies (such as special districts, joint powers authorities, cities, and counties).

“Division” means the Division of Financial Assistance within the State Water Board.

“Financial Assistance Application Submittal Tool” or “FAAST” is an online tool managed by the Division which allows funding applicants to apply for grants and loans offered by various State agencies.

“Grant Manager” means the Division staff person designated by the State Water Board to monitor performance of the grant agreement and approve project costs

“Median Household Income” or “MHI” is typically determined based on either data from the United State Census Bureau’s American Community Survey or a community income survey. For the purposes of streamlining assistance under this TA Funding Program, if representative American Community Survey data is not available, the Division may make a determination to accept a community as eligible for TA without requiring an income survey.

“Proposition 1” or “Prop 1” means Assembly Bill 1471, Rendon.

“Office” means the Office of Sustainable Water Solutions within the Division.

“Small Disadvantaged Community” or “Small DAC” generally means a community with a population less than 10,000 and an MHI less than 80 percent of the statewide MHI. This includes communities served by public water systems, state small water systems, private wells, onsite wastewater systems, or some combination thereof. The Division may determine community boundaries based upon existing sewer or water system service areas, census geographies, project boundaries, or other basis, as appropriate. If a disadvantaged community (MHI less than 80 percent of statewide MHI) with a population larger than 10,000 has a demonstrated TA need consistent with the priorities of this program, the Division may make an exception to include them as eligible for TA.

“State Water Board” means State Water Resources Control Board.

“TA Project” means activities determined by the Division as appropriate for funding under this TA Funding Program.