

Attachment H

COVER SHEET (PAGE 1 of 2)

May 1998 CALFED ECOSYSTEM RESTORATION PROPOSAL SOLICITATION

PROTECTION OF BAY DELTA WATER SUPPLY THROUGH
 Proposal Title: ELEVATION OF SALT FLAT BRIDGE, TRINITY RIVER
 Applicant Name: TRINITY COUNTY PLANNING DEPARTMENT
 Mailing Address: P.O. Box 156 - HAYFORK, CA 96041-0156
 Telephone: (530) 628-5949
 Fax: (530) 628-5800

Amount of funding requested: \$ 1,073,500 ^{OVER} ~~for~~ 1-2 years

Indicate the Topic for which you are applying (check only one box). Note that this is an important decision: see page ___ of the Proposal Solicitation Package for more information.

- Fish Passage Assessment
- Floodplain and Habitat Restoration
- Fish Harvest
- Watershed Planning/Implementation
- Fish Screen Evaluations - Alternatives and Biological Priorities
- Fish Passage Improvements
- Gravel Restoration
- Species Life History Studies
- Education

Indicate the geographic area of your proposal (check only one box):

- Sacramento River Mainstem
- Sacramento Tributary: TRINITY RIVER
- Delta
- East Side Delta Tributary: _____
- Suisun Marsh and Bay
- San Joaquin Tributary: _____
- San Joaquin River Mainstem
- Other: _____
- Landscape (entire Bay-Delta watershed)
- North Bay: _____

Indicate the primary species which the proposal addresses (check no more than two boxes):

- San Joaquin and East-side Delta tributaries fall-run chinook salmon
- Winter-run chinook salmon
- Spring-run chinook salmon
- Late-fall run chinook salmon
- Fall-run chinook salmon
- Delta smelt
- Longfin smelt
- Splittail
- Steelhead trout
- Green sturgeon
- Striped bass
- Migratory birds

COVER SHEET (PAGE 2 of 2)

May 1998 CALFED ECOSYSTEM RESTORATION PROPOSAL SOLICITATION

Indicate the type of applicant (check only one box):

- | | |
|---|---|
| <input type="checkbox"/> State agency | <input type="checkbox"/> Federal agency |
| <input type="checkbox"/> Public/Non-profit joint venture | <input type="checkbox"/> Non-profit |
| <input checked="" type="checkbox"/> Local government/district | <input type="checkbox"/> Private party |
| <input type="checkbox"/> University | <input type="checkbox"/> Other: _____ |

Indicate the type of project (check only one box):

- | | |
|-------------------------------------|--|
| <input type="checkbox"/> Planning | <input checked="" type="checkbox"/> Implementation |
| <input type="checkbox"/> Monitoring | <input type="checkbox"/> Education |
| <input type="checkbox"/> Research | |

By signing below, the applicant declares the following:

- (1) the truthfulness of all representations in their proposal;
- (2) the individual signing the form is entitled to submit the application on behalf of the applicant (if applicant is an entity or organization); and
- (3) the person submitting the application has read and understood the conflict of interest and confidentiality discussion in the PSP (Section II.K) and waives any and all rights to privacy and confidentiality of the proposal on behalf of the applicant, to the extent as provided in the Section.

Tom Stokely

(Signature of Applicant)

II. Executive Summary

a. Project Title and Applicant Name

Protection of Delta Water Supply through Elevation of Salt Flat Bridge, Trinity River

b. Project Description and Primary Biological/Ecological Objectives

The project will subcontract final engineering and construction tasks to elevate Salt Flat Bridge to remove it from flood danger during optimum flow rates for restoration of ecological processes in the Trinity River. Restoration of the Trinity River is legally required, and optimum recommended flow rates can perform the necessary restoration functions using a smaller quantity of water than the sub-optimum flow rates to which restoration managers are constrained by existing flood hazards. An average annual volume of 150,000 acre feet of Trinity River water per year which would otherwise be required for restoration duty in the Trinity will be available for beneficial use in the Sacramento River basin if the flood hazards are removed. Completion of several necessary flood hazard reduction measures, of which the proposed project is the first and largest, will benefit both the larger Bay-Delta ecosystem and its Trinity River component, by making an average annual volume of 150,000 acre feet of water available to the former and by facilitating restoration efforts in the latter.

c. Approach/Tasks/Schedule

Preliminary engineering for elevation of Salt Flat Bridge is already in progress. The project will administer final engineering and construction tasks for the subject bridge elevation. Final engineering will be contracted within 90 days and completed within another 120 days; environmental clearance will be completed concurrently; construction will be contracted within 90 days of completion of final engineering, and completed within 120 construction-season days after contract execution.

d. Justification for Project and funding by CALFED

1. Bay-Delta ecological restoration efforts will be significantly affected by the presence or absence of 150,000 acre feet per year of fresh water from the Trinity River.
2. The Trinity River is a significant tributary of the Bay-Delta, having supplied an average 1 million acre feet of water per year to the Delta via the CVP since 1964. This massive diversion benefits the Bay-Delta but is the primary cause of 80-90% declines in anadromous fish populations in the Trinity River from pre-CVP levels. Federal and state laws and the Interior Secretary's Tribal Trust obligations to protect the fishing rights of the Hoopa Valley and Yurok tribes mandates that the decline be reversed with the return of a substantial portion of Trinity River water to its natural course.

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I-008642

e. Budget Costs and Third Party Impacts

Engineering costs: \$82,500; CEQA negative declaration: \$1,000; construction costs: \$990,000. Total requested: \$1,073,500. No negative third party impacts.

f. Applicant Qualifications

Applicant has nine years experience managing a federally-funded Trinity River Restoration Grant Program, with associated contracting, auditing, reporting, and performance requirements. Applicant department operates with the cooperation and/or oversight of other county departments with expertise in public works contracting, auditing, accounting, and contract law.

g. Monitoring and Data Evaluation

No monitoring is proposed under this project. Substantial monitoring of Sacramento and Trinity River flows occurs and will continue under other funding, primarily through the Bureau of Reclamation, U.S. Fish and Wildlife Service, Hoopa Valley Tribe and Yurok Tribe.

h. Local Support/ Coordination with other Programs/Compatibility with CALFED Objectives

The project is endorsed by the Trinity County Board of Supervisors, which has conducted several public workshops and numerous public discussions on the subjects of flood hazard reduction, Trinity River restoration, and Trinity River flows. General local support exists for flood hazard reduction measures and for Trinity River fishery restoration. The project is consistent with and facilitates the implementation of the Trinity River Restoration Program, the congressional authorization for which expires September 30, 1998.

Numerous CALFED and ERPP objectives seek streamflow and temperature improvements in the upper Sacramento River.

III. Title Page

a. Title of Project

Protection of Bay-Delta Water Supply Through Elevation of Salt Flat Bridge

b. Applicant: Trinity County Planning Department

Contact: Thomas Stokely, Senior Planner tel (530) 628-5949
Trinity County Planning Department fax (530) 628-5800
Natural Resources Division lstokely@tcoe.trinity.k12.ca.us
P.O. Box 156
Hayfork, CA 96041

c. Type of Organization and Tax Status

Applicant is a California County government

d. Tax Identification Number

Employer Identification Number 94-6000544

e. Participants/Collaborators

Project engineering and construction tasks will be subcontracted through a formal public works bid process.

IV. Project Description

a. Project Description and Approach

The project will elevate the privately owned Salt Flat Bridge above water levels expectable during 11,000 cubic-feet-per-second (cfs) releases of water from Lewiston Dam to the Trinity River. 11,000 cfs is the maximum release rate of a flow regime developed to restore anadromous fish populations and healthy ecological conditions in the Trinity; the project is the first and largest of several flood hazard reduction measures which must be undertaken to permit implementation of 11,000 cfs releases. Because restoration on the Trinity is legally required, and because 11,000 cfs flows are more effective than the current operational maximum of 6,000 cfs, **implementation of a Trinity River flow regime which can employ 11,000 cfs releases will free an average of 150,000 acre-feet of otherwise unavailable water per year for export to the Sacramento River and the Bay-Delta estuary.**

Salt Flat Bridge crosses the Trinity River approximately five miles downstream from Lewiston Dam, and serves 27 private parcels. The bridge begins to experience inundation when river volume reaches 9000 cfs; it was submerged in January 1997, when dam releases were 6000 cfs and tributary accretion was high. Users of the bridge have requested Trinity County assistance in removing it from flood jeopardy.

With funds provided by the Trinity River Restoration Program, Trinity County has engaged FMCH Engineering Consultants to prepare design alternatives, design and construction costs for each alternative, and engineer's recommendations for final design. This proposal is for funding for the County to contract for final design and construction services to elevate the bridge above the maximum level of prescribed restoration flows.

b. Proposed Scope of Work

Preliminary engineering is in progress, with a contracted completion date of September 30, 1998. Phases to be funded under this proposal are:

1. Within 90 days of award of grant or completion of preliminary engineering, whichever is later, negotiate or solicit proposals and execute contract for final design. Contract duration: 4 months. Cost: \$82,500.
2. Within 120 days of award of grant or completion of preliminary engineering, whichever is later, obtain Negative Declaration for CEQA clearance. Cost: \$1000.
3. Within 90 days of receipt of final design, prepare contract documents, solicit bids, and execute contract for construction. Time to complete construction: four months within a June-November construction season. Cost of construction (DWR preliminary estimate): \$990,000.

Phases 1 and 2 could be undertaken before funding for Phase 3 is arranged, though the projected benefits will not be realized before all phases are complete. Phase 3 cannot proceed until both earlier phases are complete.

c. Location and/or Geographic Boundaries of Project

Salt Flat Bridge crosses the Trinity River approximately five river miles downstream from Lewiston Dam in Lewiston, Trinity County, California. It is situated within Section 13, T33N, R8W, MDB&M.

d. Expected Benefits

The project is the first and largest of several flood hazard reduction measures which are necessary prerequisites to implementation of 11,000 cfs maximum releases to the Trinity River from the CVP Lewiston Dam. As discussed in detail in section (e), if 11,000 cfs dam releases can be scheduled on the Trinity, 150,000 acre-feet per year of water which would otherwise be committed to sediment-transport and channel-maintenance duty in the watershed of origin will be freed for export to the Sacramento River. This volume of relatively cool, contaminant-free water would be of direct and substantial benefit to the streamflow-dependent Bay-Delta. A secondary project benefit is facilitation of efforts to restore Trinity River anadromous fisheries through removal of the largest flood hazard obstacle to implementation of an effective flow regime. To the extent that the Trinity River restoration effort it facilitates is successful, the project will benefit the Bay-Delta system by preventing the further reduction or complete cessation of CVP Trinity River water diversions which could follow further declines in Trinity fish populations, already reduced 80-90% from pre-CVP levels. Trinity River coho salmon are a federally listed threatened species and Trinity River steelhead are a federal candidate species. The project would create a third party benefit to users of Salt Flat Bridge in the form of increased protection from flooding.

e. Background and Ecological/Biological/Technical Justification

Diversion out of the watershed of an annual average of 90% of the Trinity River's flow for 34 years has resulted in severe degradation of fish habitat downstream from Trinity and Lewiston dams. A tremendous buildup of sediment not transportable by the diminished flows has filled pools, clogged gravels, and formed berms which confine the river to a narrow, fixed channel. In the 30 river miles below the dams, the open-water area of the river has decreased by 45% from pre-dam conditions; what remains features much less of the low-velocity shallow water habitat required by young fish and 95% less accessible gravel bar area than existed before the dams.

Restoration of Trinity River anadromous fisheries towards pre-CVP levels is legally required by federal trust obligations to preserve the federally-reserved fishing rights of the Hoopa Valley Tribe and the Yurok Tribe, by area-of-origin law, by the Public Trust doctrine, and by explicit Congressional direction. Examples of the latter include the Trinity River Act (P.L. 86-386), by which the Secretary of Interior is "authorized and directed to take appropriate measures to ensure the preservation and propagation of fish and wildlife"; the Trinity River Basin Fish and Wildlife Management Act (P.L. 98-541) which requires the Secretary to restore Trinity

fisheries to levels (including harvest levels) which existed prior to construction of the Trinity Division of the CVP, and by CVPIA (P.L. 102-575), which requires the Secretary to complete a Trinity River Flow Evaluation and, with the concurrence of the Hoopa Valley Tribe, to implement the Flow Evaluation's recommendations.

Exhaustive studies conducted over three decades (documented in Mainstem Trinity River Watershed Analysis, USBLM, December, 1995, and in Trinity River Flow Evaluation-Peer Review Draft (TRFE), USFWS and Hoopa Valley Tribe, January, 1998) have demonstrated that effective restoration of ecological conditions and fish populations in the Trinity River requires hydraulic mobilization and transport of sediment, ideally by a flow regime which includes maximum dam releases of 11,000 cfs for five days in "extremely wet" years and 8,500 cfs for five days in "wet" years.

Under present conditions, releases of this magnitude are not implementable because several downstream improvements begin to be inundated when release rates exceed 6,000 cfs. First on the list of these improvements, because of degree of flood jeopardy and projected expense of flood protection, is the Salt Flat Bridge. The California Department of Water Resources (Trinity River Damage Assessment, Lewiston to Douglas City; May, 1997) has determined that the Trinity River reaches Salt Flat Bridge at a flow of 9000 cfs. In January, 1997, the bridge was under water for a time when maximum dam releases were 6000 cfs and tributary accretion was high.

Investigations conducted by the Trinity River Flow Evaluation demonstrate that 8,500 cfs and 11,000 cfs dam releases are more effective than releases of 6,000 cfs in mobilizing and transporting sediment (see Figure 1). As reported in the Peer Review Draft TRFE Final Report, (p. 3.60b), the "extremely wet year" discharge of 11,000 cfs for five days will move 35,000 tons of sediment. The amount of water discharged during five days at 11,000 cfs is 108,900 acre feet; the same sediment transport effect would require 70 days of a 6,000 cfs discharge, using a total of 831,600 af. Similarly, the recommended "wet year" discharge of 8,500 cfs for five days would move 13,000 tons of sediment with 84,150 af of water, and the equivalent effect at 6,000 cfs would require 26 days and 308,880 af. The differences are 722,000 af in an "extremely wet" year, and 224,730 af in a "wet" year. 12% of years are "extremely wet", and 28% of years are "wet", so the long term average annual reduction in water necessary for sediment movement if the higher discharge rates can be used is $(722,700 \times .12) + (224,730 \times .28)$ or 149,648 acre-feet per year.

If all of the flood hazard reduction measures necessary to "save" this 149,648 af can be implemented for a total cost of \$5 million, and this amount is amortized over a ten year period, the "saved" water may be considered to cost \$3.34 per acre foot.

150,000 acre feet of water would significantly aid the implementation of the ERPP by its availability and significantly hamper ERPP implementation by its absence. The provision (or protection) of this volume of water in the Sacramento River would assist in the achievement of the following ERPP objectives:

TRINITY RIVER SEDIMENT TRANSPORT COMPARISONS

Modified From: Peer Review Draft Trinity River Flow Evaluation Final Report (TRFE), page 3.60b, 11/10/97

Table 3.4.3 Total mainstem bedload transport (> 8 mm) at the Trinity River Lewiston gaging station cableway (RM 110.2) as a function of release duration, in tons.

| DURATION | 1 DAY | 2 DAYS | 3 DAYS | 5 DAYS | 7 DAYS | 10 DAYS |
|---------------|--------|--------|--------|--------|---------|---------|
| Discharge | | | | | | |
| 14,000 cfs(1) | 16,500 | 33,000 | 49,000 | 82,000 | 115,000 | 165,000 |
| 11,000 cfs | 7,100 | 14,200 | 21,000 | 35,000 | 50,000 | 71,000 |
| 8,500 cfs (2) | 2,600 | 5,200 | 7,800 | 13,000 | 18,000 | 26,000 |
| 6,000 cfs (3) | 500 | 1,000 | 1,500 | 2,500 | 3,500 | 5,000 |
| 4,500 cfs | 70 | 130 | 200 | 340 | 470 | 670 |
| 2,000 cfs | 0 | 0 | 0 | 0 | 0 | 0 |

- (1) 14,000 was included for consideration in the event 11,000 cfs does not provide adequate bed scour
 (2) 8,500 cfs is the current 100-year flood, according to FEMA and the Army Corps of Engineers
 (3) 6,000 cfs is the current limit on Lewiston Dam releases to the Trinity River due to bridge and home flooding

TREE RECOMMENDATIONS**Extremely Wet (12% Recurrence)**

5 days @ 11,000 cfs will move 35,000 tons (uses 108,900 af)

6,000 cfs equivalent = 70 days = 831,600 af

831,600 af minus 108,900 af = 722,700 af "savings"

Wet Year (28% Recurrence)

5 days @ 8,500 cfs will move 13,000 tons (uses 84,150 af)

6,000 cfs equivalent = 26 days = 308,880 af

308,880 af minus 84,150 af = 224,730 af

Annual savings = (722,700 X .12) + (224,730 X .28) = 149,648 af/year

If it costs \$5 million to take care of Trinity River flooding problems, amortized over a 10 year period it is

\$3.34/Acre-Foot (cheap water!)

- "Restore basic hydraulic conditions..." and "provide adequate attraction and migrating flows..."(Delta Ecological Zone, Central Valley Streamflows Objective, p39)
- "...improve Delta inflow..." (Delta Ecological Zone, Chinook Salmon Objective, p.66)
- "restore basic hydraulic conditions", "emulate the natural seasonal freshwater inflow pattern" and "provide adequate attraction flows" (Suisun Marsh Ecological Zone, Central Valley Streamflows Objective, p.100)
- "restore basic hydraulic conditions" (Sacramento River Ecological Zone, Central Valley Streamflows Objective, p.145)
- "maintain, improve and restore water temperature regimes" and "these criteria cannot be met consistently, and other structural facilities and operation measures are needed" (Sacramento River Ecological Zone, Central Valley Stream Temperatures Objective, p.149)
- "reduce concentrations...of contaminants in the aquatic environment" (Sacramento River Ecological Zone, Contaminants Objective, p. 154)
- "address Central Valley streamflows...Central Valley water temperatures...contaminants" (Sacramento River Ecological Zone, Chinook Salmon objective, p.160; repeated under Fall run, p.161, Spring Run, p.162, Late Fall Run, p.163, and Steelhead, p.164)
- "emulate seasonal streamflow patterns in Clear Creek" and "improve flow in Clear Creek" (North Sacramento Valley Ecological Zone, Central Valley Streamflows objective, p.181) (note: Trinity River water is exported through Whiskeytown Reservoir on Clear Creek)
- "address Central Valley streamflows" (North Sacramento Valley Ecological Zone, Fall Run Chinook Salmon objective, p.188; repeated under Spring-run, p.189, Late fall run, p. 190, and Steelhead, p191)

In addition, 150,000 acre feet of water is of substantial importance to the AFRP goal "Improve habitat of all life stages of anadromous fish through provision of flows of suitable quality, quantity, and timing...".

The engineered bridge construction proposed herein will be durable and relatively insensitive to hydrologic or climatic change. The project's water supply benefit to the Bay-Delta accumulates in wet and extremely wet years, and is then a function of storage management. It will not be possible to take full advantage of this long-term benefit during successive dryer years or in the event of injudicious management decisions, such as overselling water in storage during wet years, resulting in inadequate storage for fishery and other ecosystem needs during dry periods.

The project may be viewed as a component of the effort, begun soon after completion of the Trinity Division as the deleterious effects of CVP operations became apparent, to restore the fisheries of the Trinity River. A Trinity River Restoration Program, authorized and funded by Congress in 1984, has overseen the expenditure of tens of millions of dollars to study the life stages, habitat needs, population trends, and stressors of Trinity fish, reduce sediment input to the River from tributary watersheds, upgrade a mitigation hatchery, analyze hydraulic processes and channel morphology, and manipulate the river channel mechanically. The U.S Fish and Wildlife Service and the Hoopa Valley tribe are completing the final report on the twelve-year Trinity River Flow Evaluation first ordered by Interior Secretary Cecil

Andrus in 1981. Concurrently, the Trinity River Mainstem Fishery Restoration EIS/EIR is being prepared (by the Bureau of Reclamation, the Fish and Wildlife Service, the Hoopa Valley Tribe, and Trinity County) to support a "permanent" Trinity River Flow Decision by the Interior Secretary. This EIS/EIR, which features recommendations from the Flow Evaluation as one of its Alternatives, is scheduled to be released in draft form in Fall, 1998, with a Record of Decision in March, 1999. Authorization for the Trinity River Restoration Program expires September 30, 1998, and future funding for restoration activities, including necessary flood hazard reduction measures, is problematic.

f. Monitoring and Data Evaluation

No monitoring is proposed under this project. The elevated Salt Flat Bridge is intended to be biologically inert, and \$800,000 per year is being requested from Congress by the Trinity River Task Force to monitor the performance of channel modifications and associated flows in federal fiscal years 1999, 2000, and 2001. Monitoring of changes in the deployment and ecological influence of water supplies in the Bay-Delta ecosystem or the Sacramento River is well beyond the scope of this request.

g. Implementability

As discussed under (c) above, an EIS/EIR is in preparation which analyzes a range of activities, prominently including higher dam releases, proposed for restoration of Trinity River fisheries. A Record of Decision is currently scheduled for March of 1999. The elevation of Salt Flat Bridge could proceed in advance of the EIS/EIR, but requires its own negative declaration under CEQA as proposed herein.

Resident users of the bridge have unanimously asked that it be elevated, the Trinity County Board of Supervisors has endorsed the concept, and there is no known opposition. There is general local support, popular and political, for Restoration, though individual activities and approaches including higher flows are the subject of discussion and argument. In the case of higher flows, timing seems to be of greater interest to local citizens than magnitude, within the range under consideration. Trinity County has sponsored several public workshops on restoration issues, including flows, and plans additional workshops in the future. Export of Trinity River water to the Central Valley is generally unpopular within Trinity County, primarily due to the widespread opinion that this area of origin has been abused for the benefit of people elsewhere.

V. Costs and Schedule to Implement Proposed Project

a. Budget Costs

| Project Phase & task | Direct Labor Hours | Direct Salary and Benefits | Overhead Labor (General, Admin & Fee) | Service Contracts | Material and Acquisition Contracts | Misc & other Direct Costs | Total Cost |
|----------------------|--------------------|----------------------------|---------------------------------------|-------------------|------------------------------------|---------------------------|------------------|
| Phase 1 | - | - | 7,500 | 75,000 | - | - | 82,500 |
| Phase 2 | - | - | - | - | - | 1,000 | 1,000 |
| Phase 3 | - | - | 90,000 | 900,000 | - | - | 990,000 |
| Project Total: | | | | | | | <u>1,073,500</u> |

b. Schedule Milestones

Phase 1: Within 90 days of award of grant or completion of preliminary engineering, whichever is later, negotiate or solicit proposals and execute contract for final design. Contract duration: 4 months.

Phase 2: Within 120 days of award of grant or completion of preliminary engineering, whichever is later, obtain Negative Declaration for CEQA clearance.

Phase 3: Within 90 days of receipt of final design, prepare contract documents, solicit bids, execute contract for construction. Time to complete construction: four months within a June-November construction season.

c. Third Party Impacts

No negative third party impacts are anticipated. Positive impact: increased flood protection for users of Salt Flat Bridge and an enhanced ability for the Bureau of Reclamation to release excess inflow to Trinity Lake during large runoff events.

VI. Applicant Qualifications

The project will be administered by Thomas Stokely, Senior Planner and Chief of the Natural Resources Division of the Trinity County Planning Department. Engineering and construction tasks will be performed by subcontractors chosen by formal county bid procedures.

Mr. Stokely graduated from UC Santa Cruz in 1979 with honors in Biology and Environmental Studies. He has worked for Trinity County for 11 years as a planner in various capacities, focusing exclusively on Trinity River issues since 1992. His current responsibilities include lead agency representative for preparation of the Trinity River Mainstem Fishery Restoration EIS/EIR. For the past nine years he has managed the Trinity River Basin Fish and Wildlife Restoration Grant Program, with funds provided by the Trinity River Task Force through the Bureau of Reclamation.

Mr. Stokely enjoys the assistance of an administrative clerk and a project specialist. The Planning Department operates with the cooperation and/or oversight of other County departments experienced in public works contracting, auditing and accounting, and contract law.

VII. Compliance with standard terms and conditions

Forms attached; terms and conditions are agreeable.

APPLICATION FOR
FEDERAL ASSISTANCE

| | | | | | |
|---|------------------|--|---|---------------------------------------|--|
| 1. TYPE OF SUBMISSION: Application <input checked="" type="checkbox"/> Construction <input type="checkbox"/> Non-Construction | | 2. DATE SUBMITTED 6-29-98 | | Applicant Identifier | |
| <input type="checkbox"/> Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction | | 3. DATE RECEIVED BY STATE | | State Application Identifier | |
| | | 4. DATE RECEIVED BY FEDERAL AGENCY | | Federal Identifier | |
| 5. APPLICANT INFORMATION | | | | | |
| Legal Name: COUNTY OF TRINITY | | | Organizational Unit: PLANNING DEPT. | | |
| Address (give city, county, state, and zip code): P.O. Box 156 HAYFORK, CA 96041-0156 | | | Name and telephone number of the person to be contacted on matters involving this application (give area code): TOM STOKELY (530) 628-5949 ARNOLD WHITBRIDGE (530) 623-6688 | | |
| 6. EMPLOYER IDENTIFICATION NUMBER (EIN): 94-6000544 | | | 7. TYPE OF APPLICANT: (enter appropriate letter in box) <input checked="" type="checkbox"/> B A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify): | | |
| 8. TYPE OF APPLICATION: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify): | | | 9. NAME OF FEDERAL AGENCY: | | |
| 10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: TITLE: CALFED CATEGORY 3 | | | 11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: PROTECTION OF BAY DELTA WATER SUPPLY THROUGH ELEVATION OF SALT FLAT BRIDGE, TRINITY RIVER | | |
| 12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.): TRINITY COUNTY, CALIFORNIA | | | | | |
| 13. PROPOSED PROJECT: | | 14. CONGRESSIONAL DISTRICTS OF: | | | |
| Start Date | Ending Date | a. Applicant | | b. Project | |
| 15. ESTIMATED FUNDING: | | 16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? | | | |
| a. Federal | \$ 1,073,500 .00 | a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____ | | | |
| b. Applicant | \$.00 | b. NO. <input checked="" type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW | | | |
| c. State | \$.00 | 17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? | | | |
| d. Local | \$.00 | <input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No | | | |
| e. Other | \$.00 | | | | |
| f. Program Income | \$.00 | | | | |
| g. TOTAL | \$ 1,073,500 .00 | | | | |
| 18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED | | | | | |
| Typed Name of Authorized Representative TOM STOKELY | | b. Title SENIOR PLANNER | | c. Telephone number (530) 628-5949 | |
| d. Signature of Authorized Representative Tom Stokely | | | | a. Date Signed 6-29-98 | |

INSTRUCTIONS FOR THE SF 424

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- | Item: | Entry: |
|---|--|
| 1. Self-explanatory. | 12. List only the largest political entities affected (e.g., State, counties, cities). |
| 2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable). | 13. Self-explanatory. |
| 3. State use only (if applicable). | 14. List the applicant's Congressional District and any District(s) affected by the program or project. |
| 4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank. | 15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <i>only</i> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application. | 16. Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. |
| 6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service. | 17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. |
| 7. Enter the appropriate letter in the space provided. | 18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.) |
| 8. Check appropriate box and enter appropriate letter(s) in the space(s) provided: — "New" means a new assistance award. — "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. — "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. | |
| 9. Name of Federal agency from which assistance is being requested with this application. | |
| 10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested. | |
| 11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project. | |

INSTRUCTIONS FOR THE SF-424A

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary Lines 1-4, Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g).

For *new applications*, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

Lines 1-4, Columns (c) through (g.) (continued)

For *continuing grant program applications*, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For *supplemental grants and changes* to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5 — Show the totals for all columns used.

Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i — Show the totals of Lines 6a to 6h in each column.

Line 6j — Show the amount of indirect cost.

Line 6k — Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

INSTRUCTIONS FOR THE SF-424A (continued)

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11 - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the contribution to be made by the applicant.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (d), Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16 - 19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

BUDGET INFORMATION — Construction Programs

NOTE: Certain Federal assistance programs require additional computations to arrive at the Federal share of project costs eligible for participation. If such is the case you will be notified.

| COST CLASSIFICATION | a. Total Cost | b. Costs Not Allowable for Participation | c. Total Allowable Costs (Column a-b) |
|---|------------------|--|---------------------------------------|
| 1. Administrative and legal expenses | \$ 97,500 .00 | \$.00 | \$ 97,500 .00 |
| 2. Land, structures, rights-of-way, appraisals, etc. | \$.00 | \$.00 | \$.00 |
| 3. Relocation expenses and payments | \$.00 | \$.00 | \$.00 |
| 4. Architectural and engineering fees | \$ 75,000 .00 | \$.00 | \$ 75,000 .00 |
| 5. Other architectural and engineering fees | \$.00 | \$.00 | \$.00 |
| 6. Project inspection fees | \$.00 | \$.00 | \$.00 |
| 7. Site work | \$.00 | \$.00 | \$.00 |
| 8. Demolition and removal | \$.00 | \$.00 | \$.00 |
| 9. Construction | \$ 900,000 .00 | \$.00 | \$ 900,000 .00 |
| 10. Equipment | \$.00 | \$.00 | \$.00 |
| 11. Miscellaneous | \$ 1,000 .00 | \$.00 | \$ 1,000 .00 |
| 12. SUBTOTAL (sum of lines 1-11) | \$.00 | \$.00 | \$.00 |
| 13. Contingencies | \$.00 | \$.00 | \$.00 |
| 14. SUBTOTAL | \$.00 | \$.00 | \$.00 |
| 15. Project (program) income | \$.00 | \$.00 | \$.00 |
| 16. TOTAL PROJECT COSTS (subtract #15 from # 14) | \$ 1,073,500 .00 | \$.00 | \$ 1,073,500 .00 |
| FEDERAL FUNDING | | | |
| 17. Federal assistance requested, calculate as follows: Enter eligible costs from line 16c. Multiply X <u>100</u> % (Consult Federal agency for Federal percentage share). Enter the resulting Federal share. | | | \$ 1,073,500 .00 |

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11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. § 874), the Contract Work Hours and Safety Standards Act (40 U.S. §§ 327-333) regarding labor standards for federally assisted construction subagreements.
14. Will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and preservation of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
19. Will comply with all applicable requirements of all other Federal laws, Executive Orders, regulations and policies governing this program.

| | |
|---|-------------------------------|
| SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL <i>Tom Haskely</i> | TITLE SENIOR PLANNER |
| APPLICANT ORGANIZATION TRINITY COUNTY PLANNING DEPT. | DATE SUBMITTED 6-29-98 |

INSTRUCTIONS FOR THE SF-424C

This sheet is to be used for the following types of applications: (1) "New" (means a new [previously unfunded] assistance award); (2) "Continuation" (means funding in a succeeding budget period which stemmed from a prior agreement to fund); and (3) "Revised" (means any changes in the Federal government's financial obligations or contingent liability from an existing obligation). If there is no change in the award amount there is no need to complete this form. Certain Federal agencies may require only an explanatory letter to effect minor (no cost) changes. If you have questions please contact the Federal agency.

Column a. — If this is an application for a "New" project, enter the total estimated cost of each of the items listed on lines 1 through 16 (as applicable) under "COST CLASSIFICATIONS."

If this application entails a change to an existing award, enter the eligible amounts *approved under the previous award* for the items under "COST CLASSIFICATION."

Column b. — If this is an application for a "New" project, enter that portion of the cost of each item in Column a. which is *not* allowable for Federal assistance. Contact the Federal agency for assistance in determining the allowability of specific costs.

If this application entails a change to an existing award, enter the adjustment [+ or (-)] to the previously approved costs (from column a.) reflected in this application.

Column c. — This is the net of lines 1 through 16 in columns "a." and "b."

Line 1 — Enter estimated amounts needed to cover administrative expenses. Do not include costs which are related to the normal functions of government. Allowable legal costs are generally only those associated with the purchase of land which is allowable for Federal participation and certain services in support of construction of the project.

Line 2 — Enter estimated site and right(s)-of-way acquisition costs (this includes purchase, lease, and/or easements).

Line 3 — Enter estimated costs related to relocation advisory assistance, replacement housing, relocation payments to displaced persons and businesses, etc.

Line 4 — Enter estimated basic engineering fees related to construction (this includes start-up services and preparation of project performance work plan).

Line 5 — Enter estimated engineering costs, such as surveys, tests, soil borings, etc.

Line 6 — Enter estimated engineering inspection costs.

Line 7 — Enter estimated costs of site preparation and restoration which are not included in the basic construction contract.

Line 9 — Enter estimated cost of the construction contract.

Line 10 — Enter estimated cost of office, shop, laboratory, safety equipment, etc. to be used at the facility, if such costs are not included in the construction contract.

Line 11 — Enter estimated miscellaneous costs.

Line 12 — Total of items 1 through 11.

Line 13 — Enter estimated contingency costs. (Consult the Federal agency for the percentage of the estimated construction cost to use.)

Line 14 — Enter the total of lines 12 and 13.

Line 15 — Enter estimated program income to be earned during the grant period, e.g., salvaged materials, etc.

Line 16 — Subtract line 15 from line 14.

Item 17 — This block is for the computation of the Federal share. Multiply the total allowable project costs from line 16, column "c." by the Federal percentage share (this may be up to 100 percent; consult Federal agency for Federal percentage share) and enter the product on line 17.

ASSURANCES — CONSTRUCTION PROGRAMS

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure nondiscrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686) which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794) which prohibit discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107) which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 93-255), as amended, relating to non-discrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to non-discrimination in the sale, rental or financing of housing; (i) any other non-discrimination provisions in the specific statute(s) under which application for Federal assistance is being made, and (j) the requirements on any other non-discrimination Statute(s) which may apply to the application.

SECTION C - NON-FEDERAL SOURCES

| (a) Grant Program | (b) Applicant | (c) State | (d) Other Sources | (e) TOTALS |
|-----------------------------------|---------------|-----------|-------------------|------------|
| N/A | \$ | \$ | \$ | \$ |
| 0. | | | | |
| 1. | | | | |
| 2. TOTALS (sum of lines 8 and 11) | \$ | \$ | \$ | \$ |

SECTION D - FORECASTED CASH NEEDS

| | Total for 1st Year | 1st Quarter | 2nd Quarter | 3rd Quarter | 4th Quarter |
|------------------------------------|--------------------|-------------|-------------|-------------|-------------|
| 3. Federal | \$ 1,073,500 | \$ 82,500 | \$ 1,000 | \$ 495,000 | \$ 495,000 |
| 4. NonFederal | | | | | |
| 15. TOTAL (sum of lines 13 and 14) | \$ 1,073,500 | \$ 82,500 | \$ 1,000 | \$ 495,000 | \$ 495,000 |

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

| (a) Grant Program | FUTURE FUNDING PERIODS (Years) | | | |
|----------------------------------|--------------------------------|------------|-----------|------------|
| | (b) First | (c) Second | (d) Third | (e) Fourth |
| 16. N/A | \$ | \$ | \$ | \$ |
| 17. | | | | |
| 18. | | | | |
| 19. | | | | |
| 10. TOTALS (sum of lines 16 -19) | \$ | \$ | \$ | \$ |

SECTION F - OTHER BUDGET INFORMATION

(Attach additional Sheets if Necessary)

| | |
|-----------------------------------|------------------------------------|
| 21. Direct Charges: \$ 976,000.00 | 22. Indirect Charges: \$ 97,500.00 |
| 23. Remarks | |

BUDGET INFORMATION — Non-Construction Programs

N/A

SECTION A — BUDGET SUMMARY

| Grant Program Function or Activity (a) | Catalog of Federal Domestic Assistance Number (b) | Estimated Unobligated Funds | | New or Revised Budget | | |
|--|---|-----------------------------|-----------------|-----------------------|-----------------|-----------|
| | | Federal (c) | Non-Federal (d) | Federal (e) | Non-Federal (f) | Total (g) |
| | | \$ | \$ | \$ | \$ | \$ |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| TOTALS | | \$ | \$ | \$ | \$ | \$ |

SECTION B — BUDGET CATEGORIES

1-008662

| Object Class Categories | GRANT PROGRAM, FUNCTION OR ACTIVITY | | | | Total (5) |
|--|-------------------------------------|-----|-----|-----|-----------|
| | (1) | (2) | (3) | (4) | |
| a. Personnel | \$ | \$ | \$ | \$ | \$ |
| b. Fringe Benefits | | | | | |
| c. Travel | | | | | |
| d. Equipment | | | | | |
| e. Supplies | | | | | |
| f. Contractual | | | | | |
| g. Construction | | | | | |
| h. Other | | | | | |
| i. Total Direct Charges (sum of 6a - 6h) | | | | | |
| j. Indirect Charges | | | | | |
| k. TOTALS (sum of 6i and 6j) | \$ | \$ | \$ | \$ | \$ |
| | | | | | |
| 7. Program Income | \$ | \$ | \$ | \$ | \$ |

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Standard Form 424A (4-88)
Prescribed by OMB Circular A-102

1-008662

ASSURANCES — NON-CONSTRUCTION PROGRAMS

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1688), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255); as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

| | |
|--|---------------------------|
| SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL <i>Tom H. Healy</i> | TITLE SENIOR PLANNER |
| APPLICANT ORGANIZATION TRINITY COUNTY PLANNING DEPT. | DATE SUBMITTED 6-29-98 |