

G1035

COVER SHEET
May 1998 CALFED ECOSYSTEM RESTORATION PROPOSAL SOLICITATION

PROPOSAL
TITLE: WATERSHED ORGANIZATION ASSISTANCE PROGRAM

APPLICANT NAME: THE RESEARCH FOUNDATION

ADDRESS: Environmental Resource Program
Office of Sponsored Programs
CSU - Chico
Chico, CA 95929-0870

PHONE: (530) 898-5700/5026

FAX: (530) 898-6804

Funds Requested \$158,297 for Phase 1
\$181,477 for Phase 2

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

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

Sacramento River Mainstream	X Sacramento Tributary
Delta	East Side Delta Tributary:
Suisun Marsh and Bay	San Joaquin Tributary:
San Joaquin River Mainstream	Other:
Landscape (entire Bay-Delta watershed)	North Bay:

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

San Joaquin and East Side Delta tributaries fall-run chinook salmon	
X Winter-run chinook salmon	X Spring-run Chinook salmon
Late-fall run chinook salmon	Fall-run chinook salmon
Delta smelt	Longfin smelt
X Splittail	X 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 checked="" type="checkbox"/> Non-profit |
| <input 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.



(Signature of Applicant)

EXECUTIVE SUMMARY (no more than 2 pages)

PROJECT

TITLE: WATERSHED ORGANIZATION ASSISTANCE PROGRAM

APPLICANT

NAME: THE CALIFORNIA STATE UNIVERSITY, CHICO-RESEARCH FOUNDATION

PROJECT

DESCRIPTION: As a result of increased environmental-related issues surrounding the North State, watershed-based organizations have been established throughout the Central Valley, Sierra foothills and northern Cascades. These groups have taken a collaborative approach to environmental protection and restoration, bringing together public and private stakeholders within a watershed to identify environmental concerns, set priorities and forge comprehensive solutions. Each of these groups is working toward achieving long-term ecosystem health and fostering the connection between economic prosperity and environmental enhancement.

While the watershed groups have overwhelmingly demonstrated interest and the ability to participate in resource planning, they continue to struggle with issues such as outdated or inadequate electronic data systems, lack of information-sharing capabilities and access to resource professionals. At California State University, Chico, The Environmental Resource Program along with Dr. Donald Holtgrieve's Northern Sacramento River Tributaries Project are proposing to effectively strengthen the capacity of local watershed groups by developing a mini-grant program which would provide funding to purchase services or equipment necessary for organizational assistance in management, planning, and communications capabilities. To initiate this program, we are requesting funds to establish a block grant to equip these groups with the organizational assistance that fulfills their needs.

- Common biological and ecological objectives of all watershed programs are; to improve and increase aquatic and terrestrial habitats and improve ecological functions within their respective watersheds and to support sustainable populations of diverse and valuable plant and animal species.
- Approach/Tasks/Schedule: The proposed approach is to establish a fund to which local watershed groups could apply for mini-grants for organizational assistance. The tasks involved include: establishing a Funding Committee to evaluate and authorize grant requests from the individual watershed groups; establishing criteria for awarding grant proposals; application procedures and distributing this to appropriate groups and individuals in the Northern Sacramento River watershed area; providing fiscal management of the block grant and the mini-grant process; and, providing CALFED with quarterly Grant Award Reports

describing (1) funding amount; (2) purpose of grant; and, (3) benefit for each grant funded. A full schedule is provided.

- **Budget Costs and Third Party Impacts:** The budget is broken out into two phases. The first phase is \$154,950, with \$75,000 going to projects, the second phase is 181,477 with \$90,000 going into projects. We anticipate being able to reduce the administrative amount if we could get a commitment on behalf of the funding agency to help us with our outreach efforts. The administrative costs include developing the program, getting the word out to local watershed organizations, assisting in the development of appropriate, fundable projects. We will help them to manage these projects once they get started and meet their individually identified deliverables. Our offices will handle all of the reporting requirements, invoicing and contractual details. We will organize the Funding Committee meetings, find locations and organize all of the supporting paper work and we will assist in meeting all funding rules and regulations.
- **Applicant Qualifications:** Enclosed is a statement of capabilities for Watershed Research and Planning, faculty resources and campus resources which are available throughout this proposal to our Local Watershed Organizations.
- **Monitoring of this project** will be completed jointly between the Northern Sacramento Tributaries Project directed by Dr. Donald Holtgrieve, the Environmental Resource Program by the Coordinator, Kristin Cooper Carter and the members of the Funding Committee.
- A listing of local partners is attached to this proposal.

TITLE PAGE (1 page)

PROJECT

TITLE: WATERSHED ORGANIZATION ASSISTANCE PROGRAM

PROJECT

DIRECTOR: Dr. Don Holtgrieve, Ph.D.
Kristin Cooper-Carter
Environmental Resource Program
California State University, Chico
Chico, Ca 95929-0870
Phone: (530) 898-5026
E-mail: dholtgrieve@oavax.csuchico.edu
kcooper@oavax.csuchico.edu

TYPE OF

ORGANIZATION: Institution of Higher Education - 501(c)(3)

FEDERAL TAX ID. NO.: 68-0386518

OTHER PARTICIPANTS/COLLABORATORS: Listing of proposed participants included as an attachment. Others will be added as they are identified during our outreach process.

PROJECT DESCRIPTION

a. Project Description and Scope: As a result of increased environmentally related issues surrounding the North State, watershed-based organizations have established throughout the Central Valley, Sierra foothills and northern Cascades. These groups have taken a collaborative approach to environmental protection and restoration, bringing together public and private stakeholders within a watershed to identify environmental concerns, set priorities and forge comprehensive solutions. Each of these groups is working toward achieving long-term ecosystem health and fostering the connection between economic prosperity and environmental enhancement.

In times of shrinking budgets and increased public demands, many federal and state agencies are recognizing the benefits of cross-agency and public-private partnership and their important role in accomplishing agency objectives. For environmental matters, a voluntary partnership can address issues across agency and organizational boundaries, and serve as effective and efficient hubs for collaboration.

The Research Foundation has been invited by the watershed groups to become an active supporter of their process through the wide variety of technical, educational and planning expertise provided by the University. As a result, several departments on the CSU,Chico campus have been involved in all of the stages of these organizations from inception to active management. In response to the various requests for assistance, CSU Chico established the Environmental Resource Program for the purpose of supporting the needs of local watershed groups and other environmentally related programs.

Watershed organizations that receive start up funding, frequently find there is a lack of support resources. These groups struggle to maintain the excellent work they have begun. Those missing resources include: computer support, appropriate software, Internet access, up-to-date maps, teaching materials, and support for information exchange. Information needs include attending meetings of program developers such as CalFed to hear about new priorities and programs; traveling to conferences where other groups working on similar issues can share new approaches, successes and challenges; and attending meetings of local watershed groups where funding sources and application procedures as well as programs are discussed. Because of the wide rural area covered by our watershed groups, costs associated with travel are higher than in more urban areas, and relief from some of those costs would result in more willingness to attend important meetings and workshops. While funding has been secured to establish some watershed groups, many groups that are just starting need support that is very different from the groups which already have some staff funding. They often need outreach funding, copying, postage, funds to rent facilities for meetings, maps and staff time to develop all of these items.

All of these capacity-building resources are necessary for a successful local watershed program and for reaching the goals set by watershed partnership funders, including CALFED, the U.S. Fish and Wildlife Service, the State Water Resources Control Board and the National Fish and Wildlife Foundation.

In view of the needs detailed above, the Environmental Resource Program and the Northern Sacramento River Tributaries Program are proposing to effectively strengthen the capacity of local watershed groups by developing a mini-grant program which would provide funding to purchase services or equipment necessary to assist in the management, planning, and communications capabilities of these organizations. To initiate this program, the Environmental Resource program is requesting funding to establish a block grant.

Specific funding criteria and application procedures would be developed by the Funding Committee described below. However, it is anticipated that the following categorical activities would be eligible for funding under this program:

- information and assistance on watershed program establishment and assistance identifying funding sources and completing applications;
- support for information exchange (conferences, workshops, etc.) to share experiences with local watershed management;
- equipment needs (computers, overhead projectors, communication equipment, etc.);
- consultation with resource professionals to help address specific problems and solutions, including hydrologists, aquatic and fishery biologist, fluvial geomorphologist, engineers, economists, etc.;
- training and education for watershed coordinators and other local program participants;
- informational needs for watershed planning and assessment (i.e., monitoring equipment, photography, GIS, historical research, etc.)
- staff support to hire part-time assistants and/or increase the base time of existing staff.

b. Proposed Scope of Work: Over the course of the three years of this project, mini-grant applications will be submitted by local watershed organizations in the Northern Sacramento River region. The Funding Committee will evaluate each mini-grant in terms of bringing benefits to an over-all project that supports water quality improvement, best management practices and protection of endangered species and habitat. We estimate that approximately 45 mini-grants will be approved and distributed to local watershed groups over the life of the grant. All of the phases of this grant will include; outreach to the watershed organizations, identification of fundable needs, assistance in developing their requests, budget

development, proposal processing through the Funding Committee, assistance with invoicing, and any other subsequent paperwork which may be required by the funding agency. Phase One will include the development of funding guidelines which will be done through the Funding Committee during the first three months of the first year. Funding applications will be available as needed and evaluated by this committee on a quarterly bases.

The timeline is as follows:

Application Review Schedule
Request Form Development
Application Deadlines
Application Review Schedule
Funding to Projects
Deliverables (Finalized mini-grant projects)
***Actual dates can be found under scheduled milestones**

The Funding Committee consists of the AFRP Habitat Restoration Coordinators, plus a regional representative of the State Water Resources Control Board, EPA and CALFED.

Proposed Funding Committee:

Paul Ward	California Department of Fish and Game
John Icanberry	U.S. Fish and Wildlife Service
Randy Bentine	California Department of Fish and Game
John Nelson	California Department of Fish and Game
Dennis Heimen	State Water Resources Control Board
Judy Heath	CALFED Watershed Management Subcommittee
Joe Karkowski	U.S. EPA

c. Location and/or Geographic Boundaries of the Project: The proposed project includes the watersheds in the Northern California Sacramento River Basin located in the 12-county Chico State service region. The northern area of the Sacramento River watershed is included within the Sacramento River Ecological Zone defined by CALFED Ecosystem Restoration Program Plan. Each watershed within this ERPP Zone has been evaluated for implementation objectives and programmatic actions.

Also, the Sacramento River basin is a targeted watershed as identified in the Central Valley Regional Board's Watershed Management Initiative Strategy. Support of local watershed program efforts is a key element in the Regional Board's plan for achieving water quality goals and objectives.

d. Expected Benefit(s): The primary benefit would be to support the watershed organizations in their efforts to reach their goals. The watershed groups have overwhelmingly demonstrated the interest and the ability to participate in resource planning and issue resolution. People working through these watershed

partnerships are the linkage to ideas and information; to technical and financial resources; to the energy, enthusiasm and persistence that are the hallmarks of a successful project.

e. Background and Ecological/Biological/Technical Justification: Currently there is no mechanism in place to meet many of the organizational needs of these groups. There is nowhere for new organizations to go to seek start-up funds. There is no program available to assist the existing groups with support services. In the Ecosystem Restoration Program Plan (ERPP) the sections addressed are Section 2, objective; to improve and increase aquatic and terrestrial habitats and improve ecological functions in the bay delta system and to support sustainable populations of diverse and valuable plant and animal species, page 4, and Section 2, objective; to provide good quality water for all beneficial uses, page 7. This project addresses the Anadromous Fish Restoration Program (AFRP) Actions 1-24. This project also addresses the CVPIA sections 3406(b) (3), 3406(b) (8), 3406 (b) (13), 3406 (b) (16), 3406 (b) (21), 3406 (e) (1), 3406 (e) (3), 3406 (e) (6). This is a new project that has the support of EPA, US Fish and Wildlife Service, California Department of Fish and Game, and other federal and state agencies as well as several local organizations. Once the infrastructure is developed, we will be seeking funding from other organizations to help support this project. We plan to leverage the involvement of CalFed funding in this project to entice other organizations into providing additional funds. An additional proposal will be submitted to the Packard Foundation and to the U.S. Fish and Wildlife Foundation.

f. Monitoring and Date Evaluation: Each mini-grant proposal will be submitted with completed deliverables at the start of quarterly Funding Committee meetings. If the project seeks an extension or change in deliverable, those will be granted by this committee on a case-by-case basis. It will be the job of the Northern Sacramento Tributaries Project directed by Dr. Donald Holtgrieve to see that the proposed scope of work for each proposal is completed. Because of the nature of this project the ability to coordinate similar requests, share equipment and information, and materials is greatly enhanced.

g. Implementability: The role of the Funding Committee is in part to oversee that funding requests are in compliance with appropriate the laws and regulations. The Funding Committee, the Environmental Resource Program and the Northern Sacramento Tributaries Project will all share responsibility of ensuring that there is a high level of coordination with other projects. As a criteria for funding consideration each of the applicants MUST demonstrate that their organization follow the principles of Coordinated Resource Management Process (CRMP). The Funding Committee will consider criteria such as that used by "For the Sake of Salmon" when funding watershed coordinators. The Environmental Resource Program will be primarily responsible for outreach efforts

V. Costs and Schedule to Implement Proposed project

a. Budget costs

Phase and Task	Labor Hours	Salary and Benefits	Labor (General Admin. and fee)	Contracts (Mini grants)	Materials and Aquis. contracts	Travel and supplies	Total
Phase 1							
Task 1 - RFP development	570	14,904	3,864			1,025	18,119
Task 2 - Outreach	1,028	17,336	6,915			1,752	26,003
Task 3 - Quarterly meetings	476	10,354	3,205			1,389	14,948
Task 4 - Project development	645	10,674	4,334	75,000		1,254	89,588
Task 5 - Quarterly reports	341	2,423	2,298			571	5,292
TASK TOTAL	3,060	56,690	20,616	75,000		5,991	158,297
Phase 2							
Task 1 - RFP development	120	2,611	806			236	
Task 2 - Outreach	980	21,324	6,586			2,234	
Task 3 - Quarterly meetings	421	9,161	2,829	90,000		1,420	
Task 4 - Project development	860	18,714	5,779			2,390	
Task 5 - Quarterly reports	390	8,486	2,621			6,280	
TASK TOTAL	2,771	60,296	18,621	90,000		12,560	181,477

b. Scheduled Milestones

Assuming funding is received on June 1, 1999, the schedule of milestones is as follows:

Request Form Development
July 15, 1999

Application Deadlines

Year One	Year Two
November 1, 1999	November 1, 2000
February 1, 2000	February 1, 2001
May 1, 2000	May 1, 2001
August 1, 2000	August 1, 2001

Application Review Schedule

Year One	Year Two
January 1, 2000	January 1, 2001
April 1, 2000	April 1, 2001
July 1, 2000	July 1, 2001
October 1, 2000	October 1, 2001

Funding to Projects

Year One	Year Two
February 1, 2000	February 1, 2001
May 1, 2000	May 1, 2001
August 1, 2000	August 1, 2001
November 1, 2000	November 1, 2001

*All Mini grants will be one year projects

Deliverables (Finalized mini-grant projects)

Year One	Year Two
December 15, 2000	December 15, 2001
June 15, 2000	June 15, 2001
September 15, 2000	September 15, 2001
December 15, 2000	December 15, 2001

c. Third Party Impacts

No third party impacts realized.

VI. Applicant qualifications

- Director:** Dr. Donald Holtgrieve, Professor of Geography and Planning, CSU, Chico. He teaches courses in water resources and environmental planning. Dr. Holtgrieve has been the recipient of many grants and awards, with a particular focus on the environment, specifically water quality and watershed management. He has extensive experience in directing grants awarded by both State and Federal Agencies, as well as official certification in Land Use, Transportation, and Wetlands Planning. Dr. Holtgrieve has supervised over 200 projects over the last 25 years. As Project Director, Dr. Holtgrieve will provide assurance that adequate resources are provided to the project, and will be the first line of communication between CAL FED Category III and CSU Chico.
- Co-Director:** Kristin Cooper-Carter, Coordinator, Environmental Resource Program, CSU, Chico. She designed and developed the newly formed Environmental Resource Program from conception. This Program plays a significant role in the support of local watershed organizations, whether it is administrative or linking new projects to existing resources. She has worked with the Office of Sponsored programs as a development Specialist for three and a half years, prior to this she work as a program developer for three years. Her duties include but are not limited to; project oversight, development and implementation, exploration of grant resources, grant writing and budget development, as well as other fiscal duties.

CALIFORNIA STATE UNIVERSITY, CHICO Statement of Capabilities for Watershed Research and Planning

The protection and enhancement of local creeks and watersheds by local community groups is a high priority at California State University, Chico. Toward this end the faculty and resources, conservation groups, public agencies and others as needed. As part of its community service mission, it is the policy of the University Foundation to organize teams for special projects and to provide the kinds of services described below.

Project Administration The University Foundation, as part of its regular operation, searches for government and foundation funding opportunities, makes contact with those organizations and provides assistance in grant proposal writing. Foundation personnel then administer the grant funds, provide auditing and bookkeeping functions and insure compliance with all government regulations and procedures.

Faculty The primary mission of our faculty is teaching our own students. However, with funds generated from grants and contracts, our faculty often undertake research, planning, and other community based projects. Faculty who are particularly expert watershed research and planning are listed on attached pages. Faculty can also be of service by supervising interns and conducting class projects that relate to the mission of the watershed protection groups (see below). Environmental education faculty are also available to assist local school teachers in creating and teaching curricula about our region's diverse natural environments.

Departments, Institutes, Centers and Laboratories Special units of the university are often organized and called upon to address specific community and regional needs. Those related to watershed protection are listed on the attached pages. In addition to the more obvious

administrative units, such as the Department of Geography and Planning, there are others that could be called on to fill specific needs such as the Departments of Communications Design and Journalism which can produce informational material such as newsletters, videos and press releases. The Geographic Information Center, (GIC), has the capability collecting and compiling public domain maps through the Internet as well as producing GIS maps on request.

Internships and Class Projects Other possible resources are community based internships supervised by several of the departments and faculty listed on the attachments. In the past interns have gained personal knowledge and skills while providing community service in environmental monitoring, report writing, field mapping, GIS mapping, interviewing informants, documentary research, classroom teaching assistance, plan design, and questionnaire design and administration. Such win-win arrangements can also be established for small groups of students and, sometimes an entire class may be organized around a particular issue or need (e.g. Geog 224 Planning Studio).

VII. Compliance with standard terms and conditions (no more than 1 page plus forms)

A Listing of Local Partners

This is on our current Shedhead mailing list. All of these people would be made aware of this program. Several of these people have participated in the development of this proposal. If the technical committee seeks specific letters of support, we are happy to get them. At the time that this grant was submitted, we did not have time to seek those letters of endorsement.

John Benoit
Resource, Planning & Development
Glenn County
125 S. Murdock Ave.
Willows, CA 95988

Timmarie Hamill
1282 Filbert Avenue
Chico, CA 95926

Brendon Vieg
Butte Creek Watershed Conservancy
P.O. Box 1611
Chico, CA 95927-1611

Lynn Barris
CMP-ORU,CSUC
2830 House Ave.
Durham, CA 95938

Battle Creek Watershed
Laurie Aumack
2 Sutter St. Suite D
Red Bluff, CA 96080

Big Chico Creek Watershed Alliance
Suzanne Gibbs
1162 E. 7th Street
Chico, CA 95928

Butte Creek Watershed Conservancy
Laurie Mullen
PO Box 1611
Chico, CA 95927

Eva Butler and Associates
1940 Markham Way
Sacramento, CA 95818-3019

Cottonwood Creek Watershed Group
Dee Swearingen
2810 Silver Street
Anderson, CA 96007

Cache Creek Basin Resource Coalition
Janet Levers
16043 Mefford Ln
Capay, CA 95607

John Carlon
Nature Conservancy
Sacramento River Project
261 E. 3rd Street
Chico, CA 95928

Cherokee Watershed
Linda and Gary Cole
7399 Hwy 99
Oroville, CA 95927

Deer Creek Watershed Conservancy
Sue Knox
P O Box 307
Vina CA 96092

Diane Gaumer
Deer Creek Watershed Conservancy
P.O. Box 307
Vina, CA 96092

Little Chico Creek
Jean Hubbell
P.O. Box 365
Forest Ranch, CA 95942

Lois Flynn
Stoney Creek
19100 Newville Rd.
Orland, CA 95963

Constance Holland
P.O. Box 6063
Chico, CA 95927

Roger McComas
4150 Road K
Orland, CA 95963

Peggy McNutt
Nature Conservancy
335 Elm St.
Red Bluff CA 96080

Melanie McFarland
Lassen National Forest
55 So. Sacramento St.
Susanville, CA 96130

Mill Creek Conservancy
Kerry Burke
P O Box 2700
Mill Creek, CA 96061

Steve Morra
Glenn County Farm Bureau
501 Walker St.
Orland, CA 95963

Vicky Murphy
Cache Creek
P.O. Box 97
Brooks, CA 95606

John McCullah
Sacramento Watersheds Action
Group
3141 Bechelli Lane
Redding, CA 96002

Tricia Parker
U.S. Fish and Wildlife Service
10950 Tyler Rd.
Red Bluff, CA 96080

Quincy Library Group
Mike Delaxaux
208 Fairground Rd
Quincy, CA 95971

Del and Holly Reimers
5600 W. County Rd. 200
Orland, CA 95963

Sacramento River Preservation
Trust
John Merz
P. O. Box 5366
Chico, CA 95926

Sand and Salt Creek Watershed
Project
Colusa RCD
100 Sunrise Blvd. Suite B
Colusa, CA 95932

Shasta River Coord. Resources
Mngmt & Plan. Com.
Dave Webb
P O Box 277
Mt Shasta CA 96067

Shasta-Tehama Group (Trinity
River)
Melinda Brown
9951 Tilton Mine Rd
Redding, CA 96001

South Yuba River Citizen League
Mary Haughey
P O Box 841
Nevada City, CA 95959

Jeff Souza
Western Shasta Resource District
3179 Bechelli Ln.
Suite 110
Redding, CA 96002

Thomas Creek Watershed
Association
Sandy Flournoy
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Flournoy, CA 96029

Chris Knoch
Upper Pit River Watershed
Enhancement and Protection Project
P.O. Box 745
Alturas, CA 96101

Glenn County Agricultural
Commissioners Office
Ray Lopez
P.O. Box 351
Willows CA 95988

Ann Reed
18085 Johnson Rd.
Red Bluff, CA 96080
Constance Holland
P.O. Box 6063
Chico, CA 95927

Jeff Mott
4436 Ten Mile House Trail
Chico, CA 95928

Randy Benthin
601 Locust St.
Redding, CA 96001

Linda Hughes
2 Sutter Street
Suite D
Red Bluff, CA 96080

APPLICATION FOR
FEDERAL ASSISTANCE

2. DATE SUBMITTED July 2, 1998		Applicant Identifier	
3. DATE RECEIVED BY STATE		State Applicant Identifier	
4. DATE RECEIVED BY FEDERAL AGENCY		Federal Identifier	
5. APPLICANT INFORMATION			
1. TYPE OF SUBMISSION <i>Application</i> <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction		Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	
Legal Name: The CSU, Chico Research Foundation		Organizational Unit:	
Address (give city, county, state, and zip code). Kendall Hall, Room 111 CSU, Chico Chico, CA 95929-0870		Name and telephone number of person to be contacted on matters involving this application (give area code) Technical: Kristin Cooper Carter (530) 898-5026 Budgetary: Jeff Wright (530) 898-5700 Contractual: Virginia Sturm (530) 898-4044	
6. EMPLOYER IDENTIFICATION NUMBER (EIN): 6 8 - 0 3 8 5 1 8		7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/> I	
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):		A. State H. Independent School Dist. B. County I. State Controlled Institution of Higher Learning C. Municipal J. Private University D. Township K. Indian Tribe E. Interstate L. Individual F. Inter-municipal M. Profit Organization G. Special District N. Other (Specify) _____	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: TITLE: [] [] - [] [] [] []		9. NAME OF FEDERAL AGENCY: CALFED Bay-Delta Programs	
12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.): 12 Counties		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: Watershed Organization Assistance Program	
13. PROPOSED PROJECT: Start Date: 7/99 Ending Date: 6/2002		14. CONGRESSIONAL DISTRICTS OF: a. Applicant 2nd b. Project 2nd/3rd	
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$ 342,781 .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? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input checked="" type="checkbox"/> No	
d. Local	\$.00		
e. Other	\$.00		
f. Program Income	\$.00		
g. TOTAL	\$ 342,781 .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.			
a. Typed Name of Authorized Representative Jeff Wright		b. Title Director, Office of Sponsored Programs	c. Telephone number 916-898-5700
d. Signature of Authorized Representative <i>Robert J. [unclear] for Jeff Wright</i>		e. Date Signed 7/2/98	

NONDISCRIMINATION COMPLIANCE STATEMENT

FD-11 (REV. 5-81) (CAC)

EMPLOYER NAME

CSU, Chico Research Foundation

The company named above (hereinafter referred to as "prospective contractor") hereby certifies, unless specifically exempted, compliance with Government Code Section 12990 (a-f) and California Code of Regulations, Title 2, Division 4, Chapter 5 in matters relating to reporting requirements and the development, implementation and maintenance of a Nondiscrimination Program. Prospective contractor agrees not to unlawfully discriminate, harass or allow harassment against any employee or applicant for employment because of sex, race, color, ancestry, religious creed, national origin, disability (including HIV and AIDS), medical condition (cancer), age, marital status, denial of family and medical care leave and denial of pregnancy disability leave.

CERTIFICATION

I, the official named below, hereby swear that I am duly authorized to legally bind the prospective contractor to the above described certification. I am fully aware that this certification, executed on the date and in the county below, is made under penalty of perjury under the laws of the State of California.

OFFICIAL'S NAME

Jeff Wright

DATE EXECUTED

July 2, 1998

EXECUTED IN THE COUNTY OF

Butte

RESPECTIVE CONTRACTOR'S SIGNATURE

RESPECTIVE CONTRACTOR'S TITLE

Director, Office of Sponsored Programs

RESPECTIVE CONTRACTOR'S LEGAL BUSINESS NAME

CSU, Chico Research Foundation

ASSURANCES—NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

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 1685-1686), 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 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 non-discrimination 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 276a7), 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. 93234) 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 (Clear Air) Implementation Plans under Section 176(c) of the Clear 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. 93-203).
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 or OMB Circular No. A-133, Audits of Institutions of Higher Learning and other Non-profit Institutions.
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 	TITLE Director, Office of Sponsored Programs
APPLICANT ORGANIZATION The CSU, Chico Research Foundation California State University, Chico	DATE SUBMITTED 7-2-98

Standard Form 424B (Rev. 4/92) back

U.S. Department of the Interior

Certifications Regarding Debarment, Suspension and
Other Responsibility Matters, Drug-Free Workplace
Requirements and Lobbying

Persons signing this form should refer to the regulations referenced below for complete instructions:

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions - The prospective primary participant further agrees by submitting this proposal that it will include the clause titled, "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions. See below for language to be used or use this form for certification and sign. (See Appendix A of Subpart D of 43 CFR Part 12.)

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions - (See Appendix B of Subpart D of 43 CFR Part 12.)

Certification Regarding Drug-Free Workplace Requirements - Alternate I. (Grantees Other Than Individuals) and Alternate II. (Grantees Who are Individuals) - (See Appendix C of Subpart D of 43 CFR Part 12)

Signature on this form provides for compliance with certification requirements under 43 CFR Parts 12 and 18. The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of the Interior determines to award the covered transaction, grant, cooperative agreement or loan.

PART A: Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions

CHECK ___ IF THIS CERTIFICATION IS FOR A PRIMARY COVERED TRANSACTION AND IS APPLICABLE

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

PART B: Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions

CHECK ___ IF THIS CERTIFICATION IS FOR A LOWER TIER COVERED TRANSACTION AND IS APPLICABLE

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

OI-2010
 June 1995
 ITNA form replaces OI-1963, OI-1964,
 OI-1965, OI-1966 and OI-1971

PART C. Certification Regarding Drug-Free Workplace Requirements

CHECK IF THIS CERTIFICATION IS FOR AN APPLICANT WHO IS NOT AN INDIVIDUAL.

Alternate I. (Grantees Other Than Individuals)

A. The grantee certifies that it will or continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about—
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a) (b), (c), (d), (e) and (f).

B. The grantee may insert in the space provided below the sites for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

CSU, Chico Research Foundation, Kendall Hall Room 114
Chico, California, 95929-0870

Check if there are workplaces on file that are not identified here.

PART D: Certification Regarding Drug-Free Workplace Requirements

CHECK IF THIS CERTIFICATION IS FOR AN APPLICANT WHO IS AN INDIVIDUAL.

Alternate II. (Grantees Who Are Individuals)

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to the grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

01-2019
June 1996
(This form replaces 01-1963, 01-1964,
01-1966, 01-1968 and 01-1993)

PART E: Certification Regarding Lobbying
Certification for Contracts, Grants, Loans, and Cooperative Agreements

CHECK IF CERTIFICATION IS FOR THE AWARD OF ANY OF THE FOLLOWING AND THE AMOUNT EXCEEDS \$100,000: A FEDERAL GRANT OR COOPERATIVE AGREEMENT; SUBCONTRACT, OR SUBGRANT UNDER THE GRANT OR COOPERATIVE AGREEMENT.

CHECK IF CERTIFICATION IS FOR THE AWARD OF A FEDERAL LOAN EXCEEDING THE AMOUNT OF \$150,000, OR A SUBGRANT OR SUBCONTRACT EXCEEDING \$100,000, UNDER THE LOAN.

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

As the authorized certifying official, I hereby certify that the above specified certifications are true.



SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

Jeff Wright Director, Office of Sponsored Programs

TYPED NAME AND TITLE

DATE July 2, 1998

DI-2010
June 1998
(This form replaces DI-1953, DI-1954,
DI-1955, DI-1956 and DI-1957)

BUDGET INFORMATION - Non-Construction Programs

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)
1. CALFED Category III		\$	\$	\$ 158,297	\$	\$ 158,297
2.	N/A					\$ 0
3.						\$ 0
4.						\$ 0
5. TOTALS		\$ 0	\$ 0	\$ 158,297	\$ 0	\$ 158,297
SECTION B - BUDGET CATEGORIES						
6. OBJECT CLASS CATEGORIES	GRANT PROGRAM FUNCTION OR ACTIVITY				Total (5)	
	(1) CALFED Category III	(2)	(3)	(4)		
a. Personnel	\$ 36,849	\$	\$	\$	\$ 36,849	
b. Fringe Benefits	\$ 19,842				\$ 19,842	
c. Travel	\$ 3,894				\$ 3,894	
d. Equipment					\$ 0	
e. Supplies	\$ 2,097				\$ 2,097	
f. Contractual					\$ 0	
g. Construction					\$ 0	
h. Other Mini Grants	\$ 75,000				\$ 75,000	
i. Total Direct Charges (sum of 6a-6h)	\$ 137,682				\$ 137,682	
j. Indirect Charges	\$ 20,616				\$ 20,616	
k. TOTALS (sum of 6i and 6j)	\$ 158,298				\$ 158,298	
7. PROGRAM INCOME		\$ 0	\$ 0	\$ 0	\$ 0	\$ 0

SECTION C - NON FEDERAL RESOURCES						
(a) Grant Program	(b) Applicant	(c) State	(d) Other sources	(e) TOTALS		
8. CALFED Category III	\$0	\$0	\$0			\$0
9.						\$0
10.						\$0
11.						\$0
12. TOTALS (sum of lines 8 and 11)	\$0	\$0	\$0			\$0
SECTION D - FORECASTED CASH NEEDS						
Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter		
13. Federal	\$158,297	\$39,574	\$39,574	\$39,574	\$39,574	\$39,574
14. NonFederal	\$0	\$0	\$0	\$0	\$0	\$0
15. TOTAL (sum of lines 13 and 14)	\$158,297	\$39,574	\$39,574	\$39,574	\$39,574	\$39,574
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT						
(a) Grant Program	(b) First	FUTURE FUNDING PERIODS (YEARS)			(e) Fourth	
		(c) Second	(d) Third			
16. Mini Grant Program phase I	\$	\$158,297	\$	\$		
17. Mini Grant Program phase II			\$181,477			
18.						
19.						
20. TOTALS (sum of lines 16 - 19)		\$158,297	\$181,477	\$0	\$0	
SECTION F - OTHER BUDGET INFORMATION						
21. Direct Charges:	\$0					
22. Indirect Charges				42%/20616		
23. Remarks						

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