

PSP COVER SHEET

Proposal Title: Richter Brothers Anadromous Fish Screen Project
 Applicant Name: Henry D. Richter, Jr., and Lee W. Richter (H&I Partnership)
 Mailing Address: 22474 Karnak Road, Knights Landing, California 95645
 Telephone: 530-735-6721 or 530-666-1629
 Fax: 530-735-6959
 E-Mail: N A

Amount of funding requested: \$ 950,000 for Two years

Indicate the Topic for which you are applying (check only one box):

- | | |
|---------------------------------------------------------------|---------------------------------------------------|
| <input checked="" type="checkbox"/> Fish Passage/Fish Screens | <input type="checkbox"/> Introduced Species |
| <input type="checkbox"/> Habitat Restoration | <input type="checkbox"/> Fish Management/Hatchery |
| <input type="checkbox"/> Local Watershed Stewardship | <input type="checkbox"/> Fish Management/Hatchery |
| <input type="checkbox"/> Water Quality | <input type="checkbox"/> Environmental Education |

Does the proposal address a specified Focused Action? Yes X No

What county or counties is the project located in? Sutter

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

- | | |
|---------------------------------------------------------------|-----------------------------------------------------------------|
| <input checked="" type="checkbox"/> Sacramento River Mainstem | <input type="checkbox"/> East Side Trib: _____ |
| <input type="checkbox"/> Sacramento Trib: _____ | <input type="checkbox"/> Suisun Marsh and Bay |
| <input type="checkbox"/> San Joaquin River Mainstem | <input type="checkbox"/> North Bay/South Bay: _____ |
| <input type="checkbox"/> San Joaquin Trib: _____ | <input type="checkbox"/> Landscape (Entire Bay-Delta Watershed) |
| <input type="checkbox"/> Delta: _____ | <input type="checkbox"/> Other: _____ |

Indicate the primary species which the proposal addresses (check all that apply):

- | | |
|----------------------------------------------------------------------------------------------|--------------------------------------------------------------|
| <input type="checkbox"/> San Joaquin and East-side Delta tributaries fall-run chinook salmon | <input type="checkbox"/> Spring-run Chinook Salmon |
| <input checked="" type="checkbox"/> Winter-run chinook salmon | <input type="checkbox"/> Fall-run Chinook Salmon |
| <input checked="" type="checkbox"/> Late-fall Run Chinook Salmon | <input type="checkbox"/> Longfin Smelt |
| <input type="checkbox"/> Delta Smelt | <input checked="" type="checkbox"/> Steelhead Trout |
| <input type="checkbox"/> Splittail | <input type="checkbox"/> Striped Bass |
| <input type="checkbox"/> Green Sturgeon | <input checked="" type="checkbox"/> All Chinook Species |
| <input type="checkbox"/> Migratory Birds | <input checked="" type="checkbox"/> All Anadromous Salmonids |
| <input type="checkbox"/> Other | |

Specify the EFP strategic objective and target(s) that the project addresses. Include page numbers from January 1999 version of ERP Volumes I and II:

Reducing or Eliminating Stressors, Water Diversions, Volume II, Page 188.
Target 1, Programmatic Action 1A, Page 189

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 type="checkbox"/> Local Government/District | <input checked="" 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 the 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 2.4) 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.

HENRY D. RICHTER, JR.
H&L PARTNERSHIP (Formerly Richter Brothers)
Printed Name of Applicant

Henry D. Richter, Jr.
Signature of Applicant

**RICHTER BROTHERS
(H&L PARTNERSHIP)
ANADROMOUS FISH SCREEN PROJECT**

| | |
|------------------------------|-------------------------------------------------------------------|
| Name: | Henry D. Richter, Jr., Partner Lee W. Richter, Partner |
| Address: | 22474 Karnak Road Knights Landing, California 95645 |
| Telephone: | 530-735-6721 or 530-666-1629 |
| Fax: | 530-735-6959 |
| E-mail: | NA |
| Participants: | Henry D. Richter, Jr. Lee W. Richter |
| Type of Organization: | Partnership (Farming Operation) |
| Tax Status: | Non-exempt |
| TIN: | 94-2031828 |

EXECUTIVE SUMMARY

General. Richter Brothers (Richter), operating as H&L Partnership, and Emile and Simone Furlan (Furlan) own and operate three inclined propeller pumps located on the left bank of the Sacramento River, approximately one mile east of Knights Landing (River Mile 88.6). The three pumps are installed side-by-side on the same support structure. Two of the units are owned and operated by Richter, the third is owned and operated by Furlan.

Richter and Furlan divert water from the Sacramento River to irrigate approximately 700 acres of farmland. Both Richter and Furlan have licenses with the State Water Resources Control Board (SWRCB) to divert water from April to October. The existing diversion has a nominal combined capacity of 25 cfs.

In the summer of 1995, Richter changed its point of diversion from a location 800 feet upstream to a point adjacent to Furlan's. This change consolidated the Richter and Furlan facilities and provided Richter with a better location to irrigate. By making this change, Richter was required to install fish screens on its diversion. This requirement was stipulated by the SWRCB. At this time, Furlan is not required to screen its diversion, however, Furlan is interested in contributing to the overall effort to restore anadromous fisheries in the Sacramento River.

In an attempt to help restore the anadromous fisheries in the Sacramento River and comply with the SWRCB, Richter and Furlan have committed to installing a new screened diversion to replace the existing unscreened facilities. The screen design and installation will comply with the criteria of the California Department of Fish and Game (CDFG) and National Marine Fisheries Service (NMFS). With funding from CALFED, Richter retained Borcalli & Associates, Inc. (B&A), Consulting Engineers, to perform a Feasibility Investigation and select a preferred alternative for implementation.

Objectives. The unscreened diversions of Richter and Furlan are the primary stressors being addressed under this proposal. The installation of a positive-barrier fish screen will provide immediate benefits to all runs of chinook salmon and steelhead. This is a straightforward and focused action that is a documented near-term restoration action that can reduce entrainment of fish and contribute to the increased production of salmon, steelhead, and other fish in the Sacramento River system. Installing fish screens for this project will contribute to the cumulative benefits of the Ecosystem Restoration Program. This project is consistent with the Anadromous Fish Restoration Program Action Program, and is consistent with actions identified by Technical Team working with the CALFED Bay-Delta Program to address stressors.

Cost. With a feasibility investigation already prepared and a preferred project selected for screening the diversion, Phase 1 of the project is complete. Phase 2 of the project, which includes engineering design, environmental documentation, geotechnical investigation, construction/equipment installation, and construction management, remains to be completed. The total budget to design, construct, and monitor the project is \$950,000.

Third-Party Impacts. There will be no third-party impacts resulting from this project.

Applicant Qualifications. The applicant operates a successful agricultural operation and frequently contracts for professional services, equipment procurement, and construction. To ensure the

successful implementation of this project, the applicant will retain the services of B&A to manage the project and its design, construction, and monitoring.

Monitoring and Data Evaluation. B&A has performed monitoring programs on several similar projects. B&A will prepare, in consultation with the AFSP Technical Team, to ensure screen approach and sweeping velocities are within criteria and the constructed facility meets the approval of the regulatory agencies.

Local Support/Coordination With Other Programs. The applicant has notified the Sutter County Board of Supervisors of its proposed project, obtained written permission for access to the project, and enlisted the support of the adjacent diverter to consolidate their pumps into a single fish screen structure.

Compatibility With CALFED Objectives. The project is compatible with CALFED objectives for restoring salmon and steelhead. The positive barrier screen will eliminate stress on juvenile salmonids resulting from unscreened diversions.

PROJECT DESCRIPTION

Proposed Scope of Work. Richter and Furlan own and operate three inclined propeller pumps located on the left bank of the Sacramento River in Sutter County. The diversion is approximately one mile east of Knights Landing (River Mile 88.6, Map 1). Two of the units are owned and operated by Richter, the third is owned and operated by Furlan. In the summer of 1995, Richter changed its point of diversion from a location 800 feet upstream to a point adjacent Furlan's. A condition to the permit granted by the SWRCB for Richter to change its point of diversion was that the relocated facility be equipped with a fish screen. Furlan is not required to screen its diversion. However, Furlan is interested in contributing to the overall effort to restore anadromous fisheries in the Sacramento River, and agrees to consolidate the pumps and screen the combined diversion.

This project has been divided into two phases. Phase 1 involved evaluating various screening alternatives and selecting a preferred alternative for implementation, which has already been completed by B&A, including preparing CEQA documentation. Phase 2 includes all the tasks necessary to bring the proposed project to completion. These tasks are not considered inseparable for partial funding. Outlined below are tasks included in Phase 2 of this project (Figure 1 for Phase 2, Project Development Schedule).

Project Management

Prepare and Implement Project Management Plan. Prepare a Project Management Plan (PMP) and provide the basis for conducting, coordinating, and guiding the team in performing the work for design and construction. Providing a Quality Assurance Plan (QAP) will be prepared as an integral part of the PMP. The QAP will provide guidelines for Quality Assurance throughout the respective phases of the project.

Prepare Monthly Status Reports. Monthly reports will be prepared to describe the status of the work and budget. The status of the work will be described in relation to the work completed and planned over the following two weeks.

Project Coordination

Coordinate With Richter. Day-to-day activities during the design and environmental review will be coordinated with Richter.

Coordinate With AFSP Technical Team. The USFWS manages an AFSP Technical Team comprised of agencies having regulatory and resource management responsibility. Meetings with the Technical Team and or CDFG will be held as early as possible to advise them of the project and schedule and to keep them apprised of progress and receive input on the design layout of the preferred alternative.

Permitting

Obtain CDFG Streambed Alteration Permit. Under Sections 1601 - 1606 of the CDFG Code, CDFG has regulatory jurisdiction over the removal of materials and/or alteration of river bottoms.

Obtain State Reclamation Board Encroachment Permit. Approval by the State Reclamation Board will be required for the project.

Obtain California Regional Water Quality Control Board Section 401 Water Quality Certification. A Section 401 water Quality Certification will be obtained from the Central Valley Regional Water Quality Control Board.

Obtain U.S. Army Corps of Engineers - N33 and N4 Permits. Compliance with Section 404 of the Clean Water Act is required. Issuance of Nationwide Permits 33 and 4 will satisfy Section 404 requirements.

Comply With Endangered Species Act. Although there are no specific permit requirements associated with the Federal Endangered Species Act (ESA), the ESA is an important consideration in virtually all environmental process identified above. The ESA is an especially important consideration due to the potential listing of the spring-run chinook and steelhead as an endangered species.

Inform County Public Works Department. No permits are required from Sutter County, however, the county will be advised when work is to begin.

Surveying and Mapping

Perform Additional Design Surveys. If necessary, perform additional surveys required for the final design of the project. Property lines and easements will be located at this time.

Perform Construction Surveys. Perform all necessary surveying and mapping required for the design and control of construction of the project.

Engineering Design

Prepare Design Report. A Design Report that sets forth the overall concept of the project, conditions for operation, design, and design criteria will be prepared.

Perform Design and Prepare Construction/Procurement Plans and Specifications. Engineering design will be performed and construction plans and specifications for the civil, mechanical, and electrical features of the project will be prepared.

Perform Design Quality Assurance. The QAP will be prepared with a schedule and procedures to conduct quality assurance reviews of the design.

Prepare As-Built Drawings. Richter and the Technical Team will be provided with as-built drawings at the conclusion of the project.

Construction/Equipment Installation

Construction of the preferred alternative will include constructing or installing all the necessary components and structures necessary to convey screened water into the existing conversion box (Figure 2). Construction of the screened diversion will take place in order of the tasks outlined below:

Intake and Screens. The first phase of work in the construction process will be to install the intake and fish screens. Before the intake and fish screens are installed, approximately 200 lineal feet of steel sheet piling will be driven around the work area. The area within the piling will be dewatered and excavated to allow the installation of the intake and fish screens. The intake will consist of three steel pipes which convey water from the fish screens located in the river to the pumping plant located back in the levee. Filter type fish screens, constructed from perforated stainless steel plate, will be attached to the ends of the intake pipe. The screens will be supported to protect against damage from debris.

Pumping Plant. Once the fish screens and intake pipes are in place, a reinforced concrete pump sump will be constructed within the sheet pile cofferdam. The concrete sump will require

approximately 95 cubic yards of concrete and house three submersible centrifugal pumps. After the installing of the intake, screens, and pumping plant, the area within the cofferdam will be backfilled and the sheet piles removed. The newly backfilled construction will then be guarded against erosion with stone protection.

New Discharge Conduit. The discharge conduit includes the piping necessary to convey water from the pumps to the existing conversion box. A flow control system will also be included in the system to regulate and measure flow used for irrigation. Before the discharge piping can be installed, a trench will be excavated between the pump sump and existing conversion box. The steel discharge piping and the flow control structure will then be constructed.

Decommission Existing Facilities. After the new screened diversion is constructed, the existing diversion structure will be decommissioned. The three existing incline propeller pumps and motors will be removed and salvaged. All other unused components will also be removed and the entire area finish graded.

Startup and Testing. This includes performing the initial startup and testing of the new project to ensure proper operation.

Perform Construction Management

Perform Design Liaison and Manage Construction. Resolution of questions arising during construction will be coordinated with the designer. Construction and installation of materials and equipment will be managed by the contractor's superintendent.

Perform Construction Project Administration. Make clarifications and interpretations of the plans and specifications for the contractor. Ensure contractor complies with permits. Maintain all construction-related correspondence and review progress payment requests for consistency with work performed.

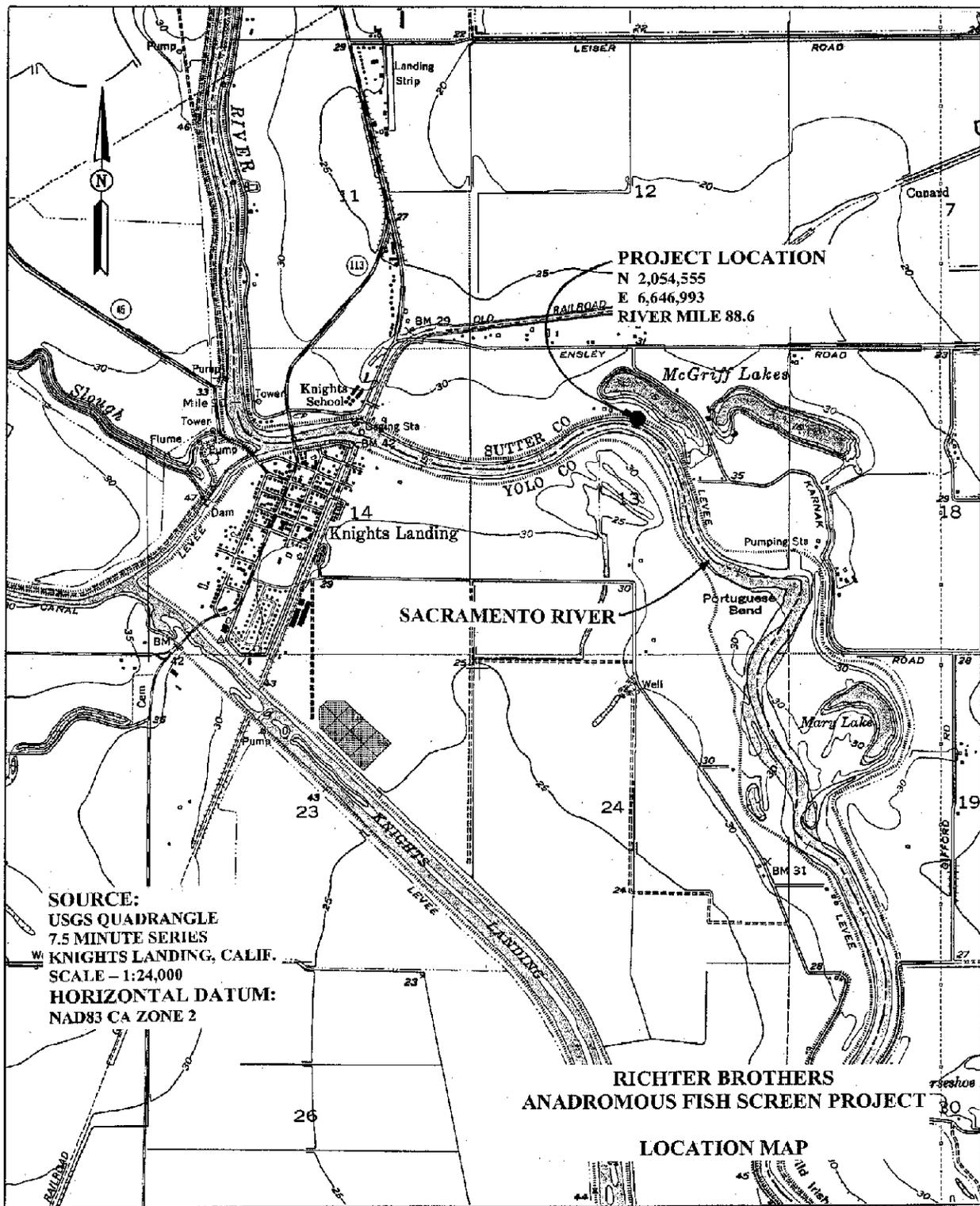
Perform Construction Quality Assurance. Ensure contractor compliance with plans and specifications.

Operations and Maintenance

Prepare Operation and Maintenance Document and Training. Compile manufacturer instructions for operation and maintenance of the equipment. Upon completion of construction, the operation and maintenance documents will be reviewed with Richter. Operation orientation will also be provided to Richter.

Project Evaluation

Measure Approach Velocity. Approach velocity is an important design parameter and a program will be developed and scheduled with AFSP Technical Team to implement the work and evaluate the data.

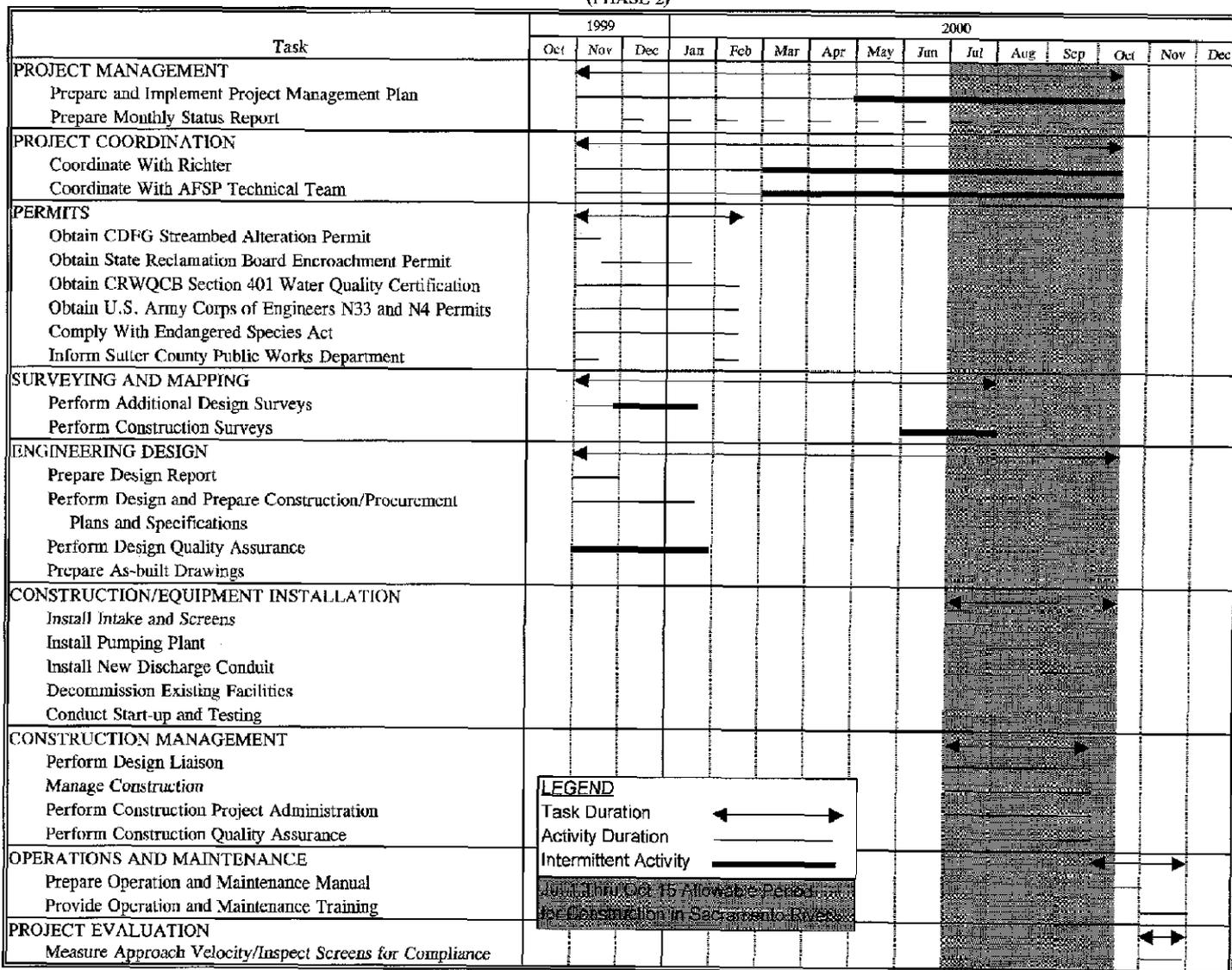


MAP I

I - 0 1 3 5 2 8

I-013528

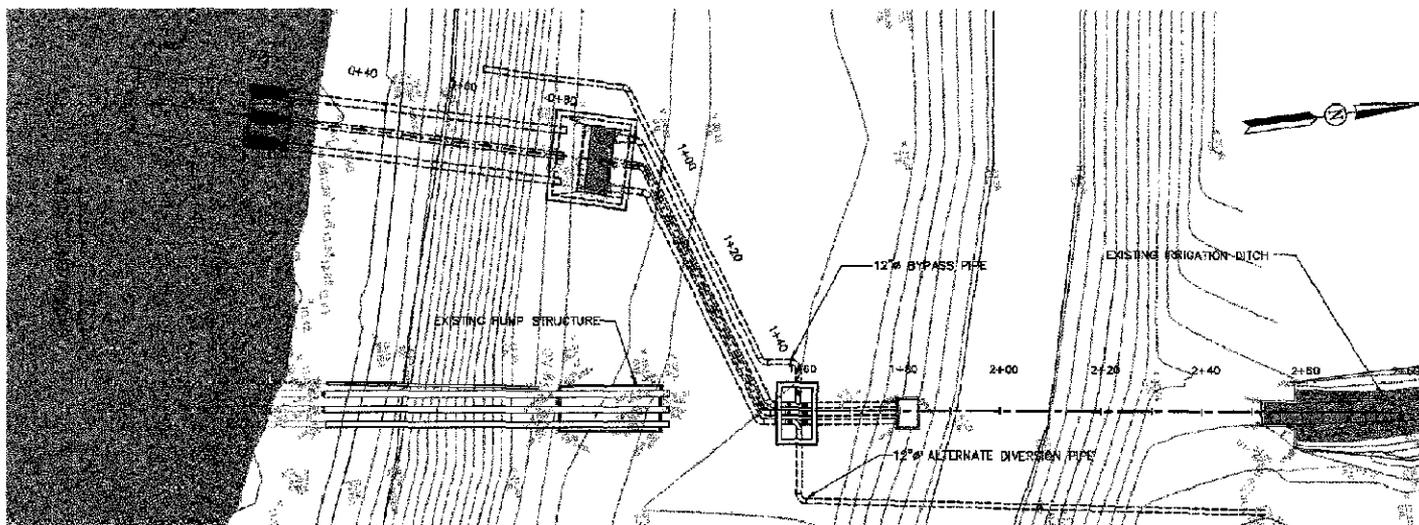
RICHTER BROTHERS
ANADROMOUS FISH SCREEN PROJECT
PROJECT DEVELOPMENT SCHEDULE
(PHASE 2)



1 - 0 1 3 5 2 9

FIGURE 1

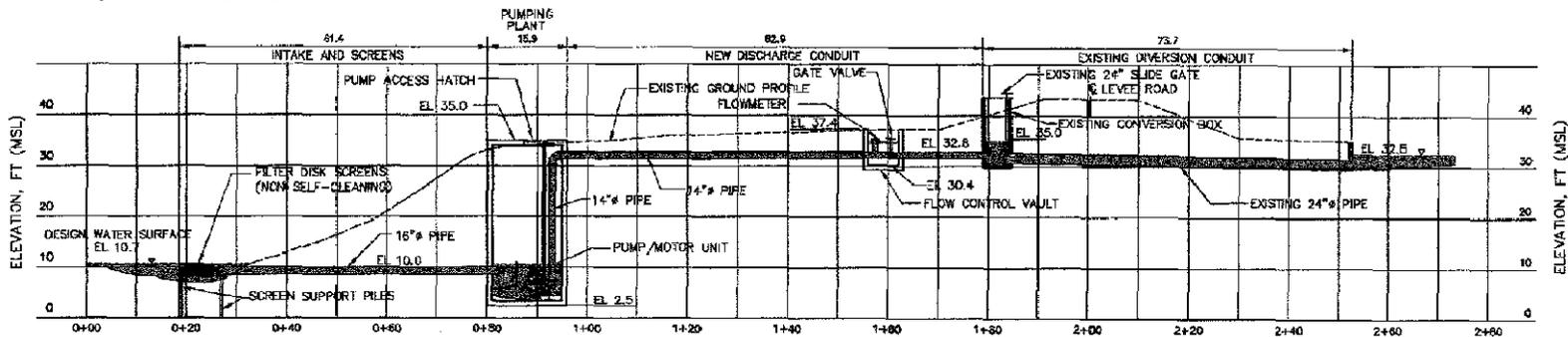
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NOTES:

1. CLEANING SYSTEM NOT REQUIRED FOR SCREENS.
2. PUMP/MOTOR CONTROL PANEL NOT SHOWN.

PLAN
SCALE: 1"=30'



PROFILE
SCALE: HORIZ: 1"=30'
VERT: 1"=30'

RICHTER BROTHERS
ANADROMOUS FISH SCREEN PROJECT

PREFERRED ALTERNATIVE
PLAN AND PROFILE

1-013530

ECOLOGICAL/BIOLOGICAL BENEFITS

Ecological/Biological Objectives. The primary stressor being addressed under this proposal is the existing unscreened diversion. Screening of all diversions of all sizes is a documented near-term restoration action that can further reduce the entrainment and contribute to increased production of salmon from the Sacramento River system. The project is enhanced with the opportunity to consolidate Richter and Furlan into one screened facility. Design and construction of a positive-barrier fish screen at this diversion that will provide immediate benefits to anadromous fish includes: winter run, fall-run, late fall-run, and spring-run chinook salmon and steelhead. The latter of the two species have potential for being listed as endangered. This project will also benefit multiple fish species in the Sacramento River, including the resident Sacramento splittail, green, and white sturgeon.

Linkages. The overall scope of the proposed project is divided in two phases. Phase 1, which is complete, included preparing a feasibility investigation report where alternatives were evaluated and a preferred alternative selected. Environmental documentation was also included in the Phase 1 scope, and is currently being completed. Funding for Phase 1 was made available through CALFED. The next step is to pursue funding for Phase 2. Completing this project will eliminate another increment of unscreened diversions and bring CALFED one step closer to fulfilling its overall objective to improve ecological health of the Bay-Delta and its tributary watersheds. Completing this project will also allow Richter to comply with its permit requirement to install fish screens, as stipulated by the SWRCB.

The proposed project is an additional increment of a successful fish screen program that has been funded by CALFED, CVPIA, and DWR 4 Pumps. Seventy-five to eighty percent of the diverted water on the Sacramento River is or will soon be screened. Several projects are currently being implemented on the Sacramento River, Butte Creek, and in the Suisun Marsh. One example is the Princeton-Codora-Glenn District and Provident Irrigation District project of consolidating three diversions into one 600 cfs screened pump station. This pump station is currently being constructed on the Sacramento River above Colusa. Recently constructed fish screens on Butte Creek and in the Suisun Marsh have also received CALFED/CVPIA funding.

System-Wide Ecosystem Benefits. Many fish screen/fish passage projects have already been completed and are currently being proposed to benefit fish species in the watershed. If the proposed project was implemented it would compliment the overall efforts of these projects, to increase the numbers of anadromous and resident fish species in the Sacramento River system. The increase in fisheries will also provide benefits to the overall ecological health of the Bay-Delta and its tributary watersheds.

Compatibility With Non-ecosystem Objectives. This project provides no benefits or conflicts with other CALFED nonecosystem objectives.

TECHNICAL FEASIBILITY AND TIMING

In the early stages of this project, the option of installing wells, in place of the river diversion, was discussed. Richter currently uses land side wells to make up shortages in water being supplied by the river diversion, however, these wells are used sparingly because of the high salinity in the groundwater in this area. Installing additional wells would not provide a positive benefit to Richter's operation. Due to the salinity problem, the option of installing collector-type wells located on the water side of the levee was also addressed. In theory, this type of well would collect river subflow without the high salinity associated with land side well water. This alternative was not considered further for two reasons. First, an extensive geotechnical investigation would be necessary to find a location that offers adequate yield. Once this location was found, a method would have to be established to test water suitable for irrigation use. Second, installing wells would cost at least twice as much as the proposed project.

Seasonal low water depths at the project site limit the types of screens that can be considered suitable for reliable operations. Various types of screen systems were examined. Some types of screens, which were thought to be acceptable a couple of years ago, are no longer considered acceptable due to problems encountered. The fish screen installation proposed for the project will operate reliably from the standpoint of fish as well as for irrigation.

CEQA and NEPA documentation are currently being prepared for this project by Resource Insights, Inc., of Sacramento, California. This documentation is expected to be completed in May 1999. Upon completion, this documentation will be routed to the proper agencies for review.

Currently no permits have been obtained under Phase 1 of the proposed project. The permitting process is included in the scope of work for Phase 2, and is dependant upon receiving CALFED funding. The permits required for construction of this project are outlined below:

CDFG Streambed Alteration Permit. Under Sections 1601 - 1606 of the CDFG Code, the CDFG has regulatory jurisdiction over the removal of materials and/or alteration of river bottoms. Therefore, prior to construction, a Streambed Alteration Agreement must be obtained from the CDFG.

State Reclamation Board Encroachment Permit. Approval by the State Reclamation Board will be required for the project since the Board approves all projects that encroach into rivers and waterways contained by federal and state authorized flood control projects, and within designated floodways adopted by the Board.

California Regional Water Quality Control Board Section 401 Water Quality Certification. A Section 401 water Quality Certification will be obtained from the Central Valley Regional Water Quality Control Board.

U.S. Army Corps of Engineers - N33 and N4 Permits. Compliance with Section 404 of the Clean Water Act is required. Issuance of Nationwide Permits 33 and 4 will satisfy Section 404 requirements.

MONITORING AND DATA COLLECTING METHODOLOGY

Biological/Ecological Objectives. The primary biological/ecological objective of this project is to protect fish species in the Sacramento River. To achieve this objective, the use of a positive-barrier-type fish screen is being proposed. Fish screens can provide immediate benefits to fish species if designed according to CDFG and NMFS criteria. CDFG and NMFS design criteria, established through extensive screen testing, sets standards for items such as screen approach velocity, size of screen opening, and cleaning systems, if required. After completing this project, the screens will need to be monitored and evaluated to confirm they function within the established criteria and are maintained to ensure they operate as intended. The primary items that need to be monitored and evaluated are fish entrainment, fish impingement, approach velocity, and hydraulic characteristics. The screen proposed for the project will meet the CDFG and NMFS requirements for being noncontinually cleaned, therefore a cleaning system will not be required. The screen will be treated with an antifouling coating to minimize the effort required for maintenance. The screen selected for this project employs no mechanical, electrical, or pneumatic systems, thereby making the installation more "user friendly."

Monitoring Parameters and Data Collection Approach. Fish Entrainment -- Fish entrainment will be addressed by: (1) confirming the screen opening conforms to the criteria of CDFG and NMFS; and (2) conducting an underwater inspection of the screen and intake to determine if any "gaps" exist in joining various components.

Fish Impingement -- Fish impingement will be addressed by: (1) an underwater inspection of the screen surfaces; and (2) flow measurements to confirm the approach velocity does not exceed the design value.

Approach Velocity -- An Acoustic Doppler Velocimeter (ADV) will be used to measure the approach velocity. The velocity will be measured at a distance of approximately three inches from the face of the screen.

Hydraulic Characteristics -- Hydraulic characteristics of the screens relate to the relative uniformity of flow around the screen. Velocity measurements will be made at predetermined locations on the screen using an (ADV). These measurements will be used to create a map of the screen's velocity profile to determine the uniformity of flow.

Screen Cleaning Underwater inspections of the screens will be performed at predetermined intervals. The results of these inspections will be used to determine the screens ability to remain clean under the given environment.

Data Evaluation Approach. Upon compiling data for the above tasks, the information will be evaluated by the Anadromous Fish Screening Program (AFSP) Technical Team. The AFSP Technical Team will then determine if fish entrainment, impingement, approach velocity, and hydraulic characteristics are acceptable and conform to the CDFG and NMFS requirements. Information on the cleanliness of the screen will be used to establish cleaning intervals and techniques for screen maintenance.

Table 1 presents a breakdown of the biological/ecological objectives.

TABLE 1
RICHTER BROTHERS
(H&L PARTNERSHIP)
ANADROMOUS FISH SCREEN PROJECT
BIOLOGICAL/ECOLOGICAL OBJECTIVES

| Hypothesis/Question to be Evaluated | Monitoring Parameters and Data Collection Approach | Data Evaluation Approach | Comments/Data Priority |
|---------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|
| Do the fish screens comply with CDFG and NMFS design criteria | Fish Entrainment 1. Confirm screen opening 2. Underwater field inspection during operation | ASFP Technical Team will review inspection to determine compliance with CDFG and NMFS requirements | |
| | Fish Impingement 1. Underwater field inspection of screens and intake during operation 2. Perform velocity measurements, during operation with an ADV | ASFP Technical Team will review inspection and velocity measurements to determine compliance with CDFG and NMFS requirements | |
| | Approach Velocity Perform velocity measurements at pre-determined strategic locations, 3 inches from the screen surface with an ADV | ASFP Technical Team will review velocity measurements to determine compliance with CDFG and NMFS requirements | Approach velocity must be below 0.0825 ft/sec to meet CDFG and NMFS criteria for non-continually cleaned screens |
| | Hydraulic Characteristics Use data collected to determine approach velocity | ASFP Technical Team will review velocity measurements to determine flow uniformity related to the entire screen surface area | Nonuniform flow distributions will create velocity hot-spots that can exceed CDFG and NMFS approach velocity requirements |
| | Screen Cleaning Perform underwater visual inspections for debris buildup and accumulation of biological growth | Inspections will be evaluated to determine screen maintenance interval | Screens meet CDFG and NMFS requirements for being noncontinually cleaned, however, periodic maintenance will be required to remove biological growth |

LOCAL INVOLVEMENT

The Sutter County Board of Supervisors was notified, in writing, of the project and Richter's intent to apply for CALFED funding. The California Department of Fish and Game has also been involved in the proposed project from the beginning. Agency involvement started in July 1995, when the SWRCB required Richter to install fish screens.

Landowners affected by the proposed project have also been informed. Emile and Simone Furlan actually own the land on which the Richter diversion is located. Furlan has been involved in the project from the time Richter moved its point of diversion onto the Furlan property. Furlan is supportive of the project and is willing to participate in screening his and Richter's diversion if funding is made available. Also, Dixon, Larson, and Greene own the property to the west of Furlan. The use of this property will be required to access the proposed project during construction. Greene has been notified of this situation and is supportive in allowing Richter to use his property.

Letters from the above-referenced entities, relative to the project, follow this section.

H and L Partnership

22474 Karnak Road
Knights Landing, CA 95645

Phone (530) 733 - 6721
Fax (530) 733 - 6939

April 08, 1999

Sutter County Board of Supervisors
1160 Civic Center Blvd.
Yuba City, CA 95993

Dear Supervisors,

H and L Partnership, formally Richter Brothers, a farming operation in the southern most end of the Sutter Basin, is diverting water from the Sacramento River. The water diversion is located one mile down river from Knights Landing.

H and L Partnership, in conjunction with the firm of Borecall and Associates Inc., have completed the anadromous fish screen feasibility investigation. The findings of this investigation, screen designs and cost analysis, are being submitted to Cal Fed for funding. Following the Cal Fed process, all applicants must notify the Supervisors and Planning Department of their county. H and L Partnership, respectfully notifies the Board of Supervisors and the Planning Department of their intent.

Completion of this project is dependent upon approval of funds from Cal Fed. Notification of Cal Fed's decision will follow.

Sincerely,


Henry D. Richter Jr.

Emile & Simone Furlan
22122 Karnak Rd.
Knights Landing, Ca. 95645
530 735-6388

4/13/99

To whom it may concern,

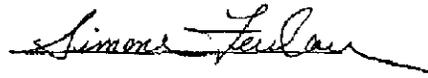
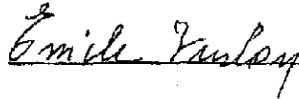
Statement concerning the fish screen requirement:

The Furlan's and Richter Bros. have irrigation pumps on the Sacramento River at the same location.

If the Federal and or State Agency's provide sufficient funding to pay for and install the required fish screens, the Furlan's would be willing to participate in the installation of the fish screen on the pumps used for irrigation.

Emile Furlan

Simone Furlan



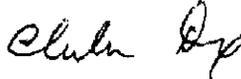
Dixon, Larson, and Greene
524 #B Ocean View Avenue
Santa Cruz, California 95062
(831) 426-3689
4/13/99

Richter Brothers
22474 Karnak Road
Knights Landing, CA 95645

The purpose of this letter is to grant permission to Richter Brothers to use our property as access to the Sacramento River. Specifically to access our side of the property line where it meets the Furlan property on the Sutter County side of the Sacramento River. Richter Brothers has an easement for access to the Furlan property. The proposed access will approach the river on our road and then proceed down river near a house owned by Dixon, Larson, and Greene.

Please feel free to call Charles Dixon at (831) 426-3689 if there are questions.

Sincerely,



Charles Dixon Trustee

COST

Budget. The budget for performing the tasks and activities described in the Scope of Work is \$950,000. A breakdown of the costs, according to task and activity, is presented in Table 2. All work required to implement the proposed project will be performed under service contracts. All costs are shown accordingly. The applicant does not propose to perform any of the work required.

Presented in Table 3, is a breakdown of the tasks on a quarterly basis.

Schedule. Presented on Figure 2, under Project Description, is the schedule for implementing the proposed project.

**TABLE 2
RICHTER BROTHERS
(H&L PARTNERSHIP)
ANADROMOUS FISH SCREEN PROJECT**

**TOTAL BUDGETED COSTS
(CALFED Funds Only)**

| Task | Total Cost, \$ |
|------------------------------------------------------------------------------|----------------|
| Project Management | |
| Prepare and Implement Project Management Plan | 8,000 |
| Prepare Monthly Status Reports | 3,000 |
| Subtotal | 11,000 |
| Project Coordination | |
| Coordinate with Richter | 3,000 |
| Coordinate with AFSP Technical Team | 1,000 |
| Subtotal | 4,000 |
| Permits | |
| Obtain CDFG Streambed Alteration Permit | 400 |
| Obtain State Reclamation Board Encroachment Permit | 400 |
| Obtain CRWQCB Section 401 Water Quality Certification | 500 |
| Obtain U.S. Army Corps of Engineers N33 and N4 Permits | 5,100 |
| Comply with Endangered Species Act | 1,400 |
| Inform Surter County Public Works Department | 100 |
| Subtotal | 7,900 |
| Surveying and mapping | |
| Perform Additional Design Surveys | 3,000 |
| Perform Construction Surveys | 3,000 |
| Subtotal | 6,000 |
| Engineering Design | |
| Prepare Design Report | 3,600 |
| Perform Design and Prepare Construction/Procurement Plans and Specifications | 76,000 |
| Perform Design Quality Assurance | 4,500 |
| Prepare As-built Drawings | 2,000 |
| Subtotal | 86,100 |
| Construction/Equipment Installation | |
| Install Intake and Screens | 542,800 |
| Install Pumping Plant | 127,700 |
| Install New Discharge Conduit | 103,500 |
| Decommission Existing Facilities | 13,800 |
| Conduct Start-up and Testing | 1,000 |
| Subtotal | 788,800 |
| Construction Management | |
| Perform Design Liaison | 1,000 |
| Manage Construction | 0 |
| Perform Construction Project Administration | 20,000 |
| Perform Construction Quality Assurance | 18,000 |
| Subtotal | 39,000 |
| Operations and Maintenance | |
| Prepare Operations and Maintenance Manual | 2,700 |
| Provide Operations and Maintenance Training | 2,500 |
| Subtotal | 5,200 |
| Project Evaluation | |
| Measure Approach Velocity/Inspect Screen System for CDFG and NMFS Compliance | 2,000 |
| Subtotal | 2,000 |
| TOTAL | 950,000 |

**TABLE 3
RICHTER BROTHERS
(H&L PARTNERSHIP)
ANADROMOUS FISH SCREEN PROJECT**

QUARTERLY BUDGET

| Task | Quart. Budget Oct - Dec '99 | Quart. Budget Jan - Mar '00 | Quart. Budget Apr - Jun '00 | Quart. Budget Jul - Sep '00 | Quart. Budget Oct - Dec '00 | Total Budget |
|------------------------------------------------------------------------------|--------------------------------|--------------------------------|--------------------------------|--------------------------------|--------------------------------|-----------------|
| PROJECT MANAGEMENT | | | | | | |
| Prepare and Implement Project Management Plan | 3,600 | 1,400 | 1,400 | 1,400 | 200 | 8,000 |
| Prepare Monthly Status Reports | 273 | 818 | 818 | 818 | 273 | 3,000 |
| Subtotal | 3,873 | 2,218 | 2,218 | 2,218 | 473 | 11,000 |
| PROJECT COORDINATION | | | | | | |
| Coordinate with Richter | 1,000 | 1,100 | 300 | 300 | 300 | 3,000 |
| Coordinate with AFSP Technical Team | 100 | 200 | 100 | 100 | 500 | 1,000 |
| Subtotal | 1,100 | 1,300 | 400 | 400 | 800 | 4,000 |
| PERMITS | | | | | | |
| Obtain CDFG Streambed Alteration Permit | 400 | 0 | 0 | 0 | 0 | 400 |
| Obtain State Reclamation Board Encroachment Permit | 300 | 100 | 0 | 0 | 0 | 400 |
| Obtain CRWQCB Section 401 Water Quality Certification | 300 | 200 | 0 | 0 | 0 | 500 |
| Obtain Corp of Engineers N33 and N4 Permits | 3,500 | 1,600 | 0 | 0 | 0 | 5,100 |
| Comply with Endangered Species Act | 700 | 700 | 0 | 0 | 0 | 1,400 |
| Inform Sutter County Public Works Department | 50 | 50 | 0 | 0 | 0 | 100 |
| Subtotal | 5,250 | 2,650 | 0 | 0 | 0 | 7,900 |
| SURVEYING AND MAPPING | | | | | | |
| Perform Additional Design Surveys | 2,000 | 1,000 | 0 | 0 | 0 | 3,000 |
| Perform Construction Surveys | 0 | 0 | 2,000 | 1,000 | 0 | 3,000 |
| Subtotal | 2,000 | 1,000 | 2,000 | 1,000 | 0 | 6,000 |
| ENGINEERING DESIGN | | | | | | |
| Prepare Design Report | 3,600 | 0 | 0 | 0 | 0 | 3,600 |
| Perform Design and Prepare Construction/Procurement Plans and Specifications | 61,000 | 15,000 | 0 | 0 | 0 | 76,000 |
| Perform Design Quality Assurance | 3,000 | 1,500 | 0 | 0 | 0 | 4,500 |
| Prepare As-built Drawings | 0 | 0 | 0 | 0 | 2,000 | 2,000 |
| Subtotal | 67,600 | 16,500 | 0 | 0 | 2,000 | 86,100 |

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1-013541

1-013542

| Task | Quart. Budget Oct - Dec '99 | Quart. Budget Jan - Mar '00 | Quart. Budget Apr - Jun '00 | Quart. Budget Jul - Sep '00 | Quart. Budget Oct - Dec '00 | Total Budget |
|------------------------------------------------------------------------------|--------------------------------|--------------------------------|--------------------------------|--------------------------------|--------------------------------|-----------------|
| CONSTRUCTION/EQUIPMENT INSTALLATION | | | | | | |
| Install Intake and Screens | 0 | 0 | 0 | 542,800 | 0 | 542,800 |
| Install Pumping Plant | 0 | 0 | 0 | 127,700 | 0 | 127,700 |
| Install New Discharge Conduit | 0 | 0 | 0 | 103,500 | 0 | 103,500 |
| Decommission Existing Facilities | 0 | 0 | 0 | 13,800 | 0 | 13,800 |
| Conduct Start-up and Testing | 0 | 0 | 0 | 0 | 1,000 | 1,000 |
| Subtotal | 0 | 0 | 0 | 787,800 | 1,000 | 788,800 |
| CONSTRUCTION MANAGEMENT | | | | | | |
| Perform Design Liaison | 0 | 0 | 0 | 1,000 | 0 | 1,000 |
| Manage Construction | 0 | 0 | 0 | 0 | 0 | 0 |
| Perform Construction Project Administration | 0 | 0 | 0 | 20,000 | 0 | 20,000 |
| Perform Construction Quality Assurance | 0 | 0 | 0 | 18,000 | 0 | 18,000 |
| Subtotal | 0 | 0 | 0 | 39,000 | 0 | 39,000 |
| OPERATIONS AND MAINTENANCE | | | | | | |
| Prepare Operations and Maintenance Manual | 0 | 0 | 0 | 0 | 2,700 | 2,700 |
| Provide Operations and Maintenance Training | 0 | 0 | 0 | 0 | 2,500 | 2,500 |
| Subtotal | 0 | 0 | 0 | 0 | 5,200 | 5,200 |
| PROJECT EVALUATION | | | | | | |
| Measure Approach Velocity/Inspect Screen System for CDFG and NMFS Compliance | 0 | 0 | 0 | 0 | 2,000 | 2,000 |
| Subtotal | 0 | 0 | 0 | 0 | 2,000 | 2,000 |
| TOTAL | 79,823 | 23,668 | 4,618 | 830,418 | 11,473 | 950,000 |

1-013542

COST-SHARING

No commitments for funding have been solicited to date. Thus, no commitments for funding exist. This application is the first attempt to obtain funding for the proposed project.

APPLICANT QUALIFICATIONS

The applicant manages a successful agricultural operation and is well-acquainted with executing contracts and agreements for professional services, equipment, and construction/equipment installation. The applicant plans to contract for services to handle all facets of the project.

The management of the project will be handled through Borcalli & Associates, Inc. (B&A), Consulting Engineers. B&A will perform the design, prepare construction documents, and perform the construction management.

Environmental documentation and permits will be handled by Resource Insights, Inc., and additional surveying and mapping will be performed by Andregg, Inc. This work will be handled through subconsultant agreements with B&A.

Construction and equipment installation will be bid with the lower responsive bidder being selected to perform the work.

APPENDIX D

AND

APPENDIX E

**STANDARD CLAUSES --
SMALL BUSINESS PREFERENCE AND CONTRACTOR IDENTIFICATION NUMBER**

NOTICE TO ALL BIDDERS:

Section 14835, et. seq. of the California Government Code requires that a five percent preference be given to bidders who qualify as a small business. The rules and regulations of this law, including the definition of a small business for the delivery of service, are contained in Title 2, California Code of Regulations, Section 1896, et. seq. A copy of the regulations is available upon request. Questions regarding the preference approval process should be directed to the Office of Small and Minority Business at (916) 322-5060. To claim the small business preference, you must submit a copy of your certification approval letter with your bid.

Are you claiming preference as a small business?

_____ Yes* X No

*Attach a copy of your certification approval letter.

NONDISCRIMINATION COMPLIANCE STATEMENT

STD. 19 (REV. 3-95) P/MC

COMPANY NAME

H&L PARTNERSHIP (Formerly Richter Brothers)

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

Henry D. Richter, Jr.

DATE EXECUTED

April 16, 1999

EXECUTED IN THE COUNTY OF

Sacramento

PROSPECTIVE CONTRACTOR'S SIGNATURE

PROSPECTIVE CONTRACTOR'S TITLE

Partner

PROSPECTIVE CONTRACTOR'S LEGAL BUSINESS NAME

H&L Partnership

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; use this form for certification and sign; or use Department of the Interior Form 1954 (DI-1954). (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 from covered transactions 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

0-1014
March 1955
(This form consolidates DI-1953, DI-1954,
CI-1951, DI-1956 and DI-1983)

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 site(s) for the performance of work done in connection with the specific grant:

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

Sacramento River (River Mile 88.6) Near Knights Landing, CA

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.

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

Henry D. Richter, Jr.

TYPED NAME AND TITLE HENRY D. RICHTER, JR. (PARTNER)

DATE

APRIL 16, 1999

**APPLICATION FOR
FEDERAL ASSISTANCE**

OMB Approval No. 0348-0043

| | | | | | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|--|
| 1. TYPE OF SUBMISSION: Application <input checked="" type="checkbox"/> Construction <input type="checkbox"/> Non-Construction | | 2. DATE SUBMITTED April 16, 1999 | | Applicant Identifier | |
| 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: H&L Partnership (Formerly Richter Brothers) | | | Organizational Unit: Partnership | | |
| Address (give city, county, State, and zip code): 22474 Karnak Road Knights Landing, CA 95645 | | | Name and telephone number of person to be contacted on matters involving this application (give area code): Henry D. Richter, Jr. (530-735-6721) Lee W. Richter | | |
| 6. EMPLOYER IDENTIFICATION NUMBER (EIN): 94-2031828 | | | 7. TYPE OF APPLICANT: (enter appropriate letter in box) | | |
| 8. TYPE OF APPLICATION: <input type="checkbox"/> New <input checked="" 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): | | | <input type="checkbox"/> M <input type="checkbox"/> H <input type="checkbox"/> I <input type="checkbox"/> J <input type="checkbox"/> K <input type="checkbox"/> L <input type="checkbox"/> M <input type="checkbox"/> N | | |
| 10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: TITLE: [] [] - [] [] [] [] | | | 9. NAME OF FEDERAL AGENCY: U.S. Bureau of Reclamation and U.S. Fish & Wildlife Service | | |
| 12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.): Knights Landing, Sutter County, CA | | | 11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: Anadromous Fish Screen Project | | |
| 13. PROPOSED PROJECT | | 14. CONGRESSIONAL DISTRICTS OF: | | | |
| Start Date 10/99 | Ending Date 11/00 | a. Applicant Congressman Ose | | b. Project Congressman Ose | |
| 15. ESTIMATED FUNDING: | | 16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? | | | |
| a. Federal | \$ | a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____ | | | |
| b. Applicant | \$ | b. No. <input 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 | \$ | 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 | \$ | | | | |
| e. Other | \$ | | | | |
| f. Program Income | \$ | | | | |
| g. TOTAL | \$ 950,000 | | | | |
| 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. Type Name of Authorized Representative Henry D. Richter, Jr. | | b. Title Partner | | c. Telephone Number 530-735-6721 | |
| d. Signature of Authorized Representative <i>Henry D. Richter, Jr.</i> | | | | e. Date Signed April 16, 1999 | |

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Standard Form 424 (Rev. 7-97)
Prescribed by OMB Circular A-102

INSTRUCTIONS FOR THE SF-424

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.

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: | 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) and 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 (SPCC) 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. | | |

SF-424 (Rev. 7-97) Back

BUDGET INFORMATION -- Construction Programs

OMB Approval No. 0348-0041

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 | \$ | \$ | \$ |
| 2. Land, structures, rights-of-way, appraisals, etc. | \$ | \$ | \$ |
| 3. Relocation expenses and payments | \$ | \$ | \$ |
| 4. Architectural and engineering fees | \$ 101,100 | \$ | \$ 101,100 |
| 5. Other architectural and engineering fees | \$ 13,900 | \$ | \$ 13,900 |
| 6. Project inspection fees | \$ 39,000 | \$ | \$ 39,000 |
| 7. Site work | \$ 20,000 | \$ | \$ 20,000 |
| 8. Demolition and removal | \$ 13,800 | \$ | \$ 13,800 |
| 9. Construction | \$ 710,000 | \$ | \$ 710,000 |
| 10. Equipment | \$ 45,000 | \$ | \$ 45,000 |
| 11. Miscellaneous | \$ 7,200 | \$ | \$ 7,200 |
| 12. SUBTOTAL | \$ | \$ | \$ |
| 13. Contingencies | \$ | \$ | \$ |
| 14. SUBTOTAL | \$ | \$ | \$ |
| 15. Project (program) income | \$ | \$ | \$ |
| 16. TOTAL PROJECT COSTS (subtract #15 from #14) | \$ 950,000 | \$ | \$ 950,000 |
| 17. Federal assistance requested, calculate as follows: (Consult Federal agency for Federal percentage share). Enter the resulting Federal share. | | | \$ 950,000 |

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Standard Form 424C (Rev. 4-92)
Prescribed by OMB Circular A-102

1-013553

1-013553

INSTRUCTIONS FOR THE SF 424C

Public reporting burden for this collection of information is estimated to average 180 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 (0348-0041), 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.

This sheet is to be used for the following types of applications: (1) "New" (means a new [previous 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 the 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 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.

Line 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.

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ASSURANCES -- CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 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 (0348-0042), 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 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 cost) 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 non-discrimination 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. Secs. 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. Secs. 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. Secs. 1681-1683, and 1683-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. Secs. 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. Secs. 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) Secs. 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. Secs. 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 of any other non-discrimination Statute(s) which may apply to the application.

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Prescribed by OMB Circular A-102

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. Secs. 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. Secs. 276a to 276a - 7), the Copeland Act (40 U.S.C. Secs. 276c and 18 U.S.C. Sec. 874), the Contract Work Hours and Safety Standards Act (40 U.S.C. Secs. 327-333), regarding labor standards for federally assisted construction subagreements.
14. Will comply 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.
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. Secs. 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. Secs. 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. Secs. 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. Sec. 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.

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|-----------------------------------------------------------------------------|----------------------------------|
| SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL <i>Henry D. Richter, Jr.</i> | TITLE Partner |
| APPLICANT ORGANIZATION H&L PARTNERSHIP | DATE SUBMITTED April 16, 1999 |

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