



1C. The Riparian and Riverine Aquatic Habitats Objectives, long term and short term (VI. p.151 and VII p. 261). Agricultural Lands Objective (VI. p.174 and VII. p. 262). The Dams, Reservoirs, Weirs, and Other Structures Objective, Target 4, and Programmatic Action 4A (VII. p.272). The Chinook salmon objective, fall-run Chinook salmon vision and programmatic action (VII. p. 263 and p. 273). Spring-run Chinook Salmon Vision and Programmatic Action 1A (VII. p. 263, and p. 273). The Steelhead Objective and Programmatic Actions (VI. p. 227 and 229). AFRP Action 21, page 65.

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 type="checkbox"/> Private party  |
| <input checked="" type="checkbox"/> University           | <input type="checkbox"/> Other: _____   |

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

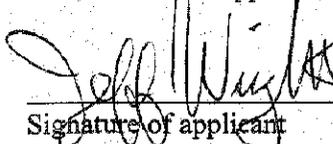
- |                                              |                                         |
|----------------------------------------------|-----------------------------------------|
| <input checked="" type="checkbox"/> Planning | <input type="checkbox"/> Implementation |
| <input type="checkbox"/>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

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.

The CSU, Chico Research Foundation

Jeff Wright  
Printed name of applicant

  
Signature of applicant

**Title of Project:** Development of a Watershed Management Strategy for Little Chico Creek Watershed, Phases II and III

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**Type of Organization:** Institution of Higher Education - 501(c)(3)

**Tax Identification Number:** 68-0386518

**Participants/Collaborators:** Listing of proposed participants are in Attachment. B  
Others will be added as they are identified during our outreach process.

## **Executive Summary**

**Project Title:** Development of a Watershed Management Strategy for Little Chico Creek Watershed, Phase II, and III

**Summary of Project Description:** The Little Chico Creek Watershed Group is requesting **293,473** for the development of a Watershed Management Strategy for the Little Chico Creek Watershed. The primary objectives of this project are to restore, protect and enhance water quality, water quantity, and important spawning habitat for Chinook salmon and Steelhead trout in the Little Chico Creek (LCC) ecosystem. The LCCWG will complete the scope of work for the Little Chico Creek Watershed in four phases. Phase I, the Scoping Process, consists of stakeholder meetings and a survey for watershed issues and concerns (funded by Prop. 204). Phase II is preparing an evaluation of existing conditions (partially funded by Prop. 204). Phase III is the development of an overall watershed management strategy (WMS) including prioritization of watershed stakeholders issues and concerns. Phase IV consists of implementation and monitoring of the strategies identified in Phase III. This grant, and thus the scope of work, solicits funding for the remainder of Phase II (remaining chapters of Existing Conditions Report) and for Phase III.

The Little Chico Creek Watershed is located approximately 90 miles north of Sacramento and flows through Butte and Glenn Counties. The Creek originates at about the 3400-foot elevation near Platt Mountain nestled south of Big Chico Creek and north of Butte Creek on the western slopes of the southern cascades and northern Sierra Nevada. Little Chico Creek spans approximately 54.6 miles of stream before flowing into Butte Creek (Please see *Attachment A - Little Chico Creek Watershed Map*). LCC influences wetlands and rearing areas of the Sacramento River and Butte Creek that are recognized as priority watersheds for native anadromous fish restoration, especially Chinook salmon. Approximately half of the Chico Urban Area stormwater system discharges to LCC before draining into Angel Slough, Llano Seco Wildlife Preserve and ultimately Butte Creek. Thus, any pollution problems on LCC directly affect downstream water quality and the habitat of native anadromous fish. The development and implementation of a WMS provides the tools to mitigate the negative impacts to the watershed that have contributed to the serious decline of many species, most especially those listed by CALFED: Chinook salmon and steelhead. Both of these species have been observed in LCC (Dr. P. Maslin personal communication.).

### **Cost:**

Phase II: **\$198,608** Phase III: **\$72,764** Project Management: **\$22,026**

Total request is **\$ 293,473**

Phase IV funding will be solicited at a later date.

### ***Adverse and third party impacts***

All impacts from this project are beneficial. There are no third party impacts from this project. Private property access for evaluation and monitoring will not create a negative impact because much of the watershed is public domain.

### ***Applicant qualifications***

The LCCWG has formed a partnership with California State University, Chico to help us achieve our goals. Dr. Donald Holtgrieve, Professor of Geography and Planning has extensive experience in directing grants awarded by both State and Federal agencies. As project Co-director, Dr. Holtgrieve will administer the CRMP process, planning related chapters of the Existing Conditions Report, and will review the ECR. Dr. Holtgrieve has served as Project Director for the Deer Creek, Upper Butte Creek and Big Chico Creek projects locally.

Dr. Tom Griggs, project co-director, is an Adjunct Professor with the Department of Biological Sciences and will be administering the riparian vegetation inventory and other biological chapters. Dr. Griggs recently joined the Dept. of Biological Sciences after a 17 year career with The Nature Conservancy where he directed land management research and implementation.

The Research Foundation, established in 1940, is an auxiliary organization, acting as fiscal agent for California State University, Chico on all externally funded projects. The Research Foundation, providing overall financial management, personnel, insurance, and other management services, acts as the administrative liaison with all funding agencies.

### ***Monitoring and Data Evaluation***

The LCCWG will be responsible for the development of technical monitoring and project data evaluation. Any plan or project that the LCCWG produces will include monitoring protocols and quality assurance programs where appropriate. The ECR includes an extensive ecological, hydrological and geomorphologic characterization of LCC since none presently exists. This characterization will use permanent plots for long-term monitoring of the ecological, hydrological and geomorphologic conditions on LCC. LCCWG will rely on a team of technical experts from CSU, Chico, as well as public and private agencies, to develop data evaluation and monitoring during Phase II and III of the WMS. During Phase IV, funding will be sought to implement those plans and projects and to continue long-term monitoring.

### ***Local Support/Coordination and Compatibility with other CALFED Programs***

This project, and the Prop 204 funded portion of the project, has been coordinated with the LCC stakeholders, and the LCCWG Steering Committee. Of the 60 citizens and agency personnel present at the last stakeholder meeting, all but two citizens supported the efforts to secure funding for an ECR and WMS. Therefore, permission to access property for surveys, monitoring and data collection is not a concern. There are many similar efforts in the vicinity of LCC watershed that support this effort such as Butte Creek Watershed Conservancy, Big Chico Creek Watershed Alliance, and others. The proposed activities in this proposal meet numerous CALFED objectives by researching, protecting, and enhancing the runs of Spring Run Chinook salmon and Steelhead Trout. These activities comply with Goals 1, Native Species Recovery and Conservation; Goal 2, Rehabilitation and Protection of Natural Processes; Goal 4, Habitats; and Goal 6, Water Quality. The goals and objectives of this project serve to advance the primary objectives of the CALFED Watershed Program Plan (Feb. 1999). The County of Butte and Glenn County Board of Supervisors and Planning Director have been notified of the scope and purpose of this project (see Attachment C).

## **Project Description**

### ***Proposed Scope of Work:***

The Little Chico Creek Watershed Group (LCCWG) will develop and implement a Watershed Management Strategy (WMS) in four phases creating a master plan for the restoration and protection of watershed resources. The WMS will be created by LCCWG in partnership with CSU, Chico and other named service contractors. The necessity for a management plan has been identified in CALFED's *Ecosystem Restoration Program Plan, Executive Summary*, the USFWS *Draft Restoration Plan for Anadromous Fish Restoration*, and CDFGs *Restoring Central Valley Streams: A Plan for Action*. The WMS will create and implement education and outreach programs to improve management practices, and city and county planning regulations..

The WMS will be accomplished in four Phases. Phase I, completing a *Survey of Issues and Concerns* (SIC); Phase II, development of an *"Existing Conditions Report"* (ECR) and Phase III consists of the development of a Watershed Management Strategy (WMS). Phases I through III will lead to Phase IV, implementation of the WMS. The survey (SIC) and four ECR chapters have already been funded by Prop 204. A steering committee that meets monthly will determine possible solutions to bring to stakeholder meetings for discussion. The Existing Conditions Report will characterize the hydrology, fluvial geomorphology, and ecology, including fire history, of Little Chico Creek. The ecology will focus on the aquatic environment and the terrestrial environment as a riparian corridor for wildlife. Water quality will also be assessed..

Phase III will develop the stakeholders Watershed Management Strategy handbook based on data collected in the SIC and ECR produced in Phases I and II. Public meetings will be organized and facilitated to accommodate the unique habitat management needs of each portion of the drainage. Phase III will also identify and develop implementation measures, monitoring protocols, restoration projects, educational projects and programs to improve and provide high-quality habitat for fish and wildlife. Phase IV projects and programs, identified in Phase III, will be implemented and monitored as funding allows.

### ***Ongoing Task: Managerial Oversight. Timeframe: Length of Project***

**TASK- Ongoing:** Throughout the length of the project there will be substantial administrative duties such as quarterly reporting, attendance at annual CALFED meetings, and general project management and coordination with the multiple collaborating entities. Deliverable: Quarterly Reports, Final Report, and successful completion of the project.

### ***Phase II: Existing Conditions Report-Jan 2000-Dec 2000***

**Task II.1: Little Chico Creek Watershed Group History Review,** Jeff Mott, co-founder of the LCCWG, will prepare a chapter of the ECR describing how the Group was formed and the evolution of the Steering Committee. This chapter will also include a review of the stakeholder meetings and the issues and concerns that were identified during these meetings. Deliverable: ECR Chapter.

**Task II.2: Watershed History Review.** LCCWG will review the physical and land use history of the watershed to determine past conditions, including previous fish migration patterns, past extent of riparian vegetation, and stream meandering. Deliverable: ECR chapter.

**Task II.3: Review of Education Programs.** This chapter will describe past and current educational projects including those described in other ECRs. This chapter will also summarize the efforts of the local LCC Educators Consortium. Deliverable: ECR chapter.

**Task II.4: Laws and Regulations Review.** LCCWG will conduct a detailed investigation of the laws and regulations referenced in the ECRs of Butte Creek and Big Chico Creek to develop this chapter. Deliverable: ECR chapter.

**Task II.5: Fire History Review.** This chapter will also be created by reviewing existing information in adjacent watersheds. Deliverable: ECR Chapter.

**Task II.6: Watershed Recreation Review.** LCCWG will review adjacent land uses and recreational uses of the creek resource. Deliverable: ECR Chapter

**Task II.7: Complete Watershed GIS.** Through the Chico State Geographic Information Center (GIC), the LCCWG will further develop the GIS work completed for the Butte Creek and Big Chico Creek Watersheds, focusing on the Little Chico Creek Watershed. In addition, the GIC will create the various maps as data are collected in the monitoring elements of the ECR. Deliverable: ECR Chapter.

**Task II.8: Geology.** Existing geologic data will be compiled from US Geologic Survey, California Division of Mines and Geology, and local reports. New data from the California Department of Water Resources (DWR) latest geologic cross-sections of the lower LCC watershed will be combined with existing upper watershed maps to create a comprehensive geologic map and description of the LCC Watershed. Deliverable: ECR chapter.

**Task II.9: Soils.** The Natural Resources Conservation Service is currently revising the Butte County Soil Survey, including the LCC watershed. This survey will be publicly available in approximately five years. Thus field soils data and preliminary soil maps will be compiled for inclusion in the ECR. Deliverable: ECR chapter.

**Task II.10: Hydrology.** Existing precipitation and streamflow records will be compiled to develop descriptive summary statistics of long-term averages and frequency of extreme events for the LCC watershed. Water diversions will be quantified with regard to their impacts on low-flow conditions. Groundwater resources, including a preliminary analysis of groundwater recharge, will be surveyed from existing data and limited field reconnaissance. The spatial and temporal distribution of urban stormwater discharge will be estimated using engineering study records as available. Historic topographic maps will be used to investigate buried stream channels that are believed responsible for local flooding during winters with high precipitation. Deliverable: ECR chapter.

**Task II.11: Geomorphology.** Fluvial geomorphic conditions within LCC and its major tributaries will be characterized through preliminary field surveys. All spatial data gathered will be geo-referenced for inclusion in geographic information system (GIS) coverage. Permanent stations with surveyed cross-sections will be established to monitor changes in channel form, stability and bedload transport. Channel dynamics will be characterized by measuring flow and geometric properties of the channel and floodplain. Deliverable: ECR chapter.

**Task II.12: Riparian Vegetation Inventory.** LCCWG will conduct a survey on Little Chico Creek to describe the riparian vegetation (overstory, shrubs and herbs) found along the various reaches of the creek. Basal area will be computed for trees by measuring diameter at breast height (dbh), and percent cover estimates will be made for other growth forms using line and belt transects. Where possible, plant communities will be mapped to existing classification systems, e.g. the recently published system adopted by the California Native Plant Society. Permanent plots will be established for long term monitoring. Deliverable: ECR chapter.

**Task II.13: Riparian Herpetology Review.** LCCWG will compile any past work on herps as well as field observations during the aquatic and riparian vegetation surveys. Deliverable: ECR chapter.

**Task II.14: Riparian bird Inventory/Mammals Review.** Bird field sampling will be conducted during both winter and spring to determine the extent of use by migrating waterfowl as well as neotropical migrants. Both visual identification from strip transect points and song identification using tape-recorded vocalizations will be used. Mammal use will be determined by searching library records, agency technical reports (e.g. CDF&G), CSU Chico unpublished student projects, and interviews with local wildlife biologists. Deliverable: ECR chapter.

**Task II.15: Technical Team Review and Prepare Draft Existing Conditions Report and Submit to Stakeholders.** LCCWG's technical advisory committee consisting of experts from agency personnel and the University, and DWR will provide quality control review on all data obtained as a part of the existing condition assessment. This report will include data obtained through execution of tasks II.1 through II.14, and will include feedback provided by stakeholders at workshops.

**Task II.16: Meetings.** Four Steering Committee meetings and 1 Stakeholder meeting will be conducted for the purpose of reviewing and commenting on the Draft ECR.

**Task II.17: Report Preparation.** Incorporate stakeholder comments on the ECR Report and submit to the Final Existing Conditions Report to the stakeholders. Deliverable: ECR Report.

**Phase III: Development of Watershed Management Strategy (WMS) June 2000- June 2001.**

**Task III.1: Steering Committee Meetings.** Four steering Committee meetings will be held to review the watershed management strategy.

**Task III.2 Stakeholder Meetings.** LCCWG will conduct two workshops with interested parties from the watershed to prioritize issues, and review the watershed management strategy.

**Task III.3: Develop Comprehensive WMS Outline.** LCCWG will develop a detailed outline of the WMS based on priorities found in Task II.2 for the critical review of stakeholders;

**Task III.4: Prepare Draft WMS.** LCCWG will provide a draft WMS Handbook for distribution

**Task III.5: Incorporate Stakeholder Comments on Report and Submit Final Watershed Management Strategy Handbook to stakeholders and technical team.**

Little Chico Creek Watershed Group has been granted funding through the State Water Resources Control Board Safe, Clean, and Reliable Water Supply Act (Proposition 204) for the Scoping Process (Phase I) and portions of the Existing Conditions Report (Phase II). Specifically the tasks being funded are: Survey of Issues and Concerns, five stakeholder meetings (Phase I & II), stream survey, fish inventory, water quality, a review of existing management and land use planning, and steering committee meetings.

***Location and/or Geographic Boundaries of the Project.***

The Little Chico Creek Watershed is located approximately 90 miles north of Sacramento and flows through Butte and Glenn Counties. The Creek originates at about the 3400-foot elevation near Platt Mountain south of Big Chico Creek and north of Butte Creek on the western slopes of the Sierra Nevada. Little Chico Creek spans approximately 54.6 miles of stream before flowing into Butte Creek (Please see Attachment A). LCC influences wetlands and rearing areas of the Sacramento River and Butte Creek that are recognized as priority watersheds for native anadromous fish restoration, especially Chinook salmon. Approximately half of the Chico Urban Area stormwater run-off discharges to LCC, and ultimately Butte Creek. Thus, any pollution problems on LCC directly affect downstream water quality and the habitat of native anadromous fish.

## **Ecological/Biological Benefits:**

### ***Biological Objectives***

The successful development and implementation of a Watershed Management Strategy depends on solid baseline information from an extensive ECR and from a determination of the stakeholder concerns and issues. Ultimately the creation of a WMS for LCC will lead to improved water quality for Butte Creek and thus will help protect important aquatic and riparian habitat for out-migrating salmonid juveniles and rearing habitat for non-natal salmonids, occasional splittails, and other species of concern in the Butte Creek watershed. The ECR will establish baseline data that will identify any future biotic declines or improvements and provide a quantitative basis for monitoring future management actions. The WMS will identify life history stages critical to the restoration of the fishery in the watershed. The WMS will create plans to achieve greater ecosystem health to meet both the local needs and those important for the Bay-Delta restoration. The outcomes from this proposal will be useful well into the future.

The primary objective for this project is to restore, protect, and enhance the Little Chico Creek (LCC) ecosystem for improved water quality and quantity as well as important spawning habitat for Chinook salmon and steelhead trout. This proposal is for an ECS that will gather quantitative baseline data for the biological tasks (II.12, 13, 14) listed above. This data will be used in the future to monitor progress of future management actions. Under this proposal we are not testing hypotheses.

### ***Linkages***

The LCCWG was awarded \$199,709 from the State Water Quality Control Board to conduct stakeholder meetings and complete four chapters of the ECR. We are currently in contract negotiations with the SWQCB and University Foundation to develop a contract for this work. In addition, the LCCWG is proposing to share a watershed coordinator and administrative assistant with the Big Chico Creek Watershed Alliance.

The project is community based, with active leadership and participation of landowners, public agencies and the general public. The activities in this proposal meet the CALFED objectives by researching, protecting, and enhancing the runs of Spring Run Chinook salmon and Steelhead Trout in the Little Chico Creek watershed. These activities comply with Goals 1, Native Species Recovery and Conservation; Goal 2, Rehabilitation and Protection of Natural Processes; Goal 4, Habitats; and Goal 6, Water Quality. There is also an educational component in the ECR that is locally developed and supported by local elementary school teachers.

### ***System-Wide Ecosystem Benefits.***

ECRs provide necessary information to make sound decisions for developing a WMS. The CRMP process brings all stakeholders together, making the WMS a community-based plan and thus more likely to succeed. Since LCC is a major tributary of Butte Creek, which is a CalFed priority watershed, maintenance of water quality in this tributary is of prime concern. Thus, the need for an ECR and the CRMP process to produce a WMS will achieve many of the implementation objectives and programmatic actions endorsed by CALFED and are listed below. This would compliment the efforts currently underway for the Butte Creek watershed. Specific ERPP (Vol. I & II) objectives and programmatic actions addressed by this proposal are as follows: The vision for the Butte Creek Ecological Management Unit for protecting and restoring riparian corridor (v II, p. 261). The Central

Valley Streamflow Objective and Programmatic Target 7, and programmatic action 7a (v II, Page 267). The Stream Meander Objective and Target 1 (v II, P. 268); the Upper Watershed Process Objective and Programmatic Action 1A, 1B, and 1C; the Riparian and Riverine Aquatic Habitats Objectives, long term and short term (V I, p. 151 and v. II p. 261); the Agricultural Lands Objective (v. I, p. 174 and v. II p. 262); the Dams, Reservoirs, Weirs, and Other Structures Objective, Target 4, and Programmatic Action 4A (v. II, p. 272); the Chinook Salmon Objective, Fall-run Chinook Salmon Vision and programmatic action ( vol. II, p. 263 and p. 273); Spring-run Chinook Salmon Vision and Programmatic Action 1A (Vol. II p. 263, and p. 273); the Steelhead Objective and Programmatic Actions (v. I, p. 227 and 229). The Goals and Objectives of the CalFed Watershed Program Plan (Feb. 1999) are substantially advanced through the development of the ECR/WMS. This project also addresses the objective outlined in the AFRP Action 21, page 65.

*Compatibility with Non-Ecosystem Objectives.*

The generation of an ECR and the development of a WMS ultimately result in a set of recommendations for implementing non-ecosystem objectives such as levee system integrity and non-structural flood control. The primary focus of phase four will be implementation of the WMS, which will include non-ecosystem objectives.

### ***Technical Feasibility and Timing***

Determining existing conditions of a watershed is a necessary inaugural phase of any watershed planning effort. This process leads directly to developing a watershed management strategy to serve as a guideline for watershed restoration. The LCCW is using a modified version Coordinated Resource Management Planning (CRMP) process. The CRMP process has been used in this region successfully in recent watershed restoration efforts such as Butte Creek, Deer Creek, and Mill Creek, and therefore we are using this process for our effort.

The process of gathering information and data relating to a watershed leading to a management strategy is not considered a project under CEQA, or an action under NEPA. Therefore, for the purpose of completing this stage of the process, we would not be requiring any environmental documentation or permits. Access to the large private landholdings of the Little Chico Creek Watershed will be provided by the owners of those parcels and will not preclude the implementation of any phase of the project.

**Monitoring and Data Evaluation:**

Data that needs to be evaluated for this project will come from many sources including:

1. Published studies
2. Historical information revealed by stakeholders
3. New data revealed by canvassing the existing conditions of the stresses (e.g. riparian vegetation conditions, stream cross-section profile, etc.)

The LCCWG will establish a qualified technical peer review group that will be responsible for checking all evaluations and conclusions drawn from the data. This group serves a vital quality control function to make sure that data evaluations and conclusions are valid, and consistent with the current state of scientific and engineering practices. The peer review group will consist of technical experts from state and federal agencies (DWR, USFWS, and CDFG), and CSU-Chico. State agencies have been incorporated into the peer view process because they will have various statutory authority and the most knowledge of similar programs occurring statewide, and may be able to coordinate the efforts of the LCCWG with other programs.

**Monitoring Parameters and Data Collection Approach.**

Data collected under this proposal will be used as baseline for evaluation of future management actions.

Table 2. Monitoring and Data Collection Information

<b>D) Biological/Ecological Objectives</b>			
<b>Hypothesis/ Question to be Evaluated</b>	<b>Monitoring Parameter(s) and Data Collection Approach</b>	<b>Data Evaluation Approach</b>	<b>Comments / Data Priority</b>
Task II.11 Geomorphology	Surveyed channel cross-sections	Future comparisons of channel movement and bedload transport	
Task II.12 Riparian vegetation inventory	Permanent plots that record basal area and cover by species	Future comparisons	
Task II.13 Riparian	Published reports; field		
Task II.14 Riparian bird	Birds:Permanent	Future comparisons	

## Local Involvement

The LCCWG is a community organization committed to the restoration of Little Chico Creek. The community commitment to watershed is demonstrated by the collaboration of local watershed groups, county government, educational organizations and conservation groups (see attachment B for list of local support). Local Government has been notified of this project. This includes the Butte County Board of Supervisors as well as the Planning Director Tom Parillo. Key resource agencies have been notified and have agreed to endorse our efforts.

This project, and the Prop 204 funded portion of the project, has been coordinated with the LCC stakeholders and the LCCWG Steering Committee. The membership on the steering committee is primarily landowners; membership also consists of concerned citizens who live near the creek. At the most recent stakeholder meeting there were more than 60 citizens and agency personnel present and all but two citizens supported the efforts to secure funding for an ECR and WMS.

A large portion of LCC flows through the City of Chico so access for monitoring and data collection is not a concern in that segment of the creek. There are four landowners in the upper reach of LCC that are also members of the LCCWG Steering Committee that support this project. The lower watershed also contains public lands, the Llano Seco Wildlife Preserve and another large landowner on the Steering Committee. Therefore, permission to access property for surveys, monitoring and data collection is not a concern, nor are there any third party impacts.

The LCCWG includes education as part of its Watershed Management Strategy. In Phase II, the development of the ECR, a section is dedicated to the evaluation of past and present educational watershed projects. LCCWG can utilize this information in the development of an education program by building on past deficiencies and success. The following is a list of activities planned for the education and outreach program:

- Improve the management of the riparian corridor to enhance benefits of anadromous fish
- Develop coordinated project planning between private and public landowners:
- Setup educational workshops with private landowners and local resource managers
- Utilize developing watershed education programs in the local school districts
- Distribute information on California Fish and Game Restoration techniques to landowners
- Involve local, state and federal agency personnel to coordinate efforts
- Collect and synthesize information on riparian ecosystems
- Distribute information on riparian ecosystems
- Distribute information on landowner incentives

Utilizing a series of five educational meetings, LCCWG will build and maintain strong landowner, community, and agency participation in the development of an ECR and WMS. LCCWG will utilize CSU, Chico faculty and students to assist in the development of the above named tasks. Meeting coordination will be conducted by LCCWG. Volunteers from the LCCWG will assist in all of the efforts.

## COST

### *Costs and Schedule to Implement Proposed Project*

**Table 3. Budget Costs**

Project Phase	Direct Labor Hours	Direct Salaries and Benefits	Service Contracts	Materials and Acquisition Contracts	Miscellaneous and Other Direct Costs	Overhead Labor (general, admin and fee)	Total Costs
Phase II ECR		106,734	31,790	5,200	17,325	37,553	198,602
Phase III WMS		45,743	3,500	0	7,425	16,093	72,761
Project Management Task		14,687	0	0	2,750	4,673	22,110
<b>TOTALS</b>		<b>167,164</b>	<b>35,290</b>	<b>5,200</b>	<b>27,500</b>	<b>58,319</b>	<b>293,473</b>

**Table 4. Quarterly Budget FY 1999**

<u>Phase</u>	Quarterly Budget Oct. - Dec. 1999	Quarterly Budget Jan. - Mar. 2000	Quarterly Budget Apr. - June 2000	Quarterly Budget July - Sept. 2000	Total Budget
Phase II		49,652	49,727	49,652	149,031
Phase III		0	0	0	0
Project Management		3,671	3,671	3,671	11,013
<b>TOTALS</b>		<b>53,323</b>	<b>53,398</b>	<b>53,323</b>	<b>160,044</b>

**Table 4. cont. Quarterly Budget FY 2000**

<b>Phase</b>	<b>Quarterly Budget Oct. - Dec. 2000</b>	<b>Quarterly Budget Jan. - Mar. 2001</b>	<b>Quarterly Budget Apr. - June 2001</b>	<b>Quarterly Budget July - Sept. 2001</b>	<b>Total Budget FY 2000</b>
Phase II	49,652	0	0	0	49,652
Phase III	0	36,382	36,382	0	72,764
Project Management	3,671	3,671	3,671	0	11,013
Totals	55,323	42,054	42,054	0	135,429

**Schedule**

Phase II and III of this project will start on January 1, 2000 and be completed June 30, 2001. Phase II, producing an ECR, will be accomplished January 1, 2000 through December 31, 2000. Phase III, development of a WMS, will begin June 2000 and end June 2001.

### Cost-Sharing

The LCCWG was awarded \$199,709 of Proposition 204 funding from the State Water Resources Control Board (SWRCB) in 1999 to complete two important tasks. The first task consists of a scoping process that coordinates stakeholder meetings and identifies issues and concerns. The second task will fund four sections of the ECR. These sections include a stream survey, a fish survey, water quality data review and monitoring and, a land use and management plan review. Each of these surveys and reviews will become a chapter within the ECR. The contract between Butte County, University Foundation, and the SWRCB is currently being developed.

The funding from Prop 204 allows the LCCWG to utilize a modified version of the Coordinated Resource Management and Planning for their Scoping Process so that all LCC stakeholders can participate in the development and implementation of an integrated Watershed Management Strategy (WMS). Stakeholders are defined as all landowners, state and federal resource managers, city and county government, conservation groups, educational institutions and any other interested parties. The WMS will restore and maintain the ecosystem processes and thus water quality for sustainable economic and ecological productivity. The Scoping Process will be completed in approximately one year from the date a contract is signed, resulting in a summary document of stakeholder concerns and issues. The four chapters of the Existing Conditions Report (ECR) will take a total of 2.5 years, resulting in four chapters of 16 completed. Dr. Donald Holtgrieve will direct the Scoping Process and Ms. Jean Hubbell will direct the four portions of the ECR.

The LCCWG will also participate in cost sharing by sharing resources with the Big Chico Creek Watershed Alliance (BCCWA). The BCCWA is submitting a request to CalFed during this current funding cycle for a Watershed Coordinator and a half time Administrative Assistant to be shared by both watershed groups. The LCCWG will utilize these positions to conduct Steering Committee meetings, public outreach, respond to requests and inquiries about the LCCWG and coordinate activities of the stakeholders. Volunteers are currently doing these activities in the LCCWG.

The funding currently being requested from the CalFed Bay Delta Program will allow the LCCWG to facilitate the Scoping Process by conducting additional stakeholder meetings to prioritize the issues and concerns. This priority list will be the framework for the WMS and will direct future funding opportunities toward solving these priority issues. The CalFed Bay Delta Program will also allow the LCCWG to complete the ECR that is currently only partially funded through Proposition 204.

## Applicant Qualifications

The Little Chico Creek Watershed Group (LCCWG) was formed in 1998 by concerned citizens who began a process that was intended to ensure the vitality of the Little Chico Creek Watershed and to preserve and restore native salmon and steelhead populations dependent upon a healthy watershed. The management and organization of the project will be:

### **Little Chico Creek Watershed Group**

**Project Co-director - D. Holtgrieve**

**Project Co-director - Thomas Griggs**

University Faculty - Student Assistants

Community Volunteers

Consultants

### ***Project Co-Director:***

Dr. Donald Holtgrieve, Professor of Geography and Planning, CSU-Chico. Dr. Holtgrieve teaches courses on water resources and environmental planning. Dr. Holtgrieve has been the recipient of many grants and awards focusing 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. He has supervised over 200 projects in 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 CALFED Category III and CSU-Chico.

### ***Project Co-Director:***

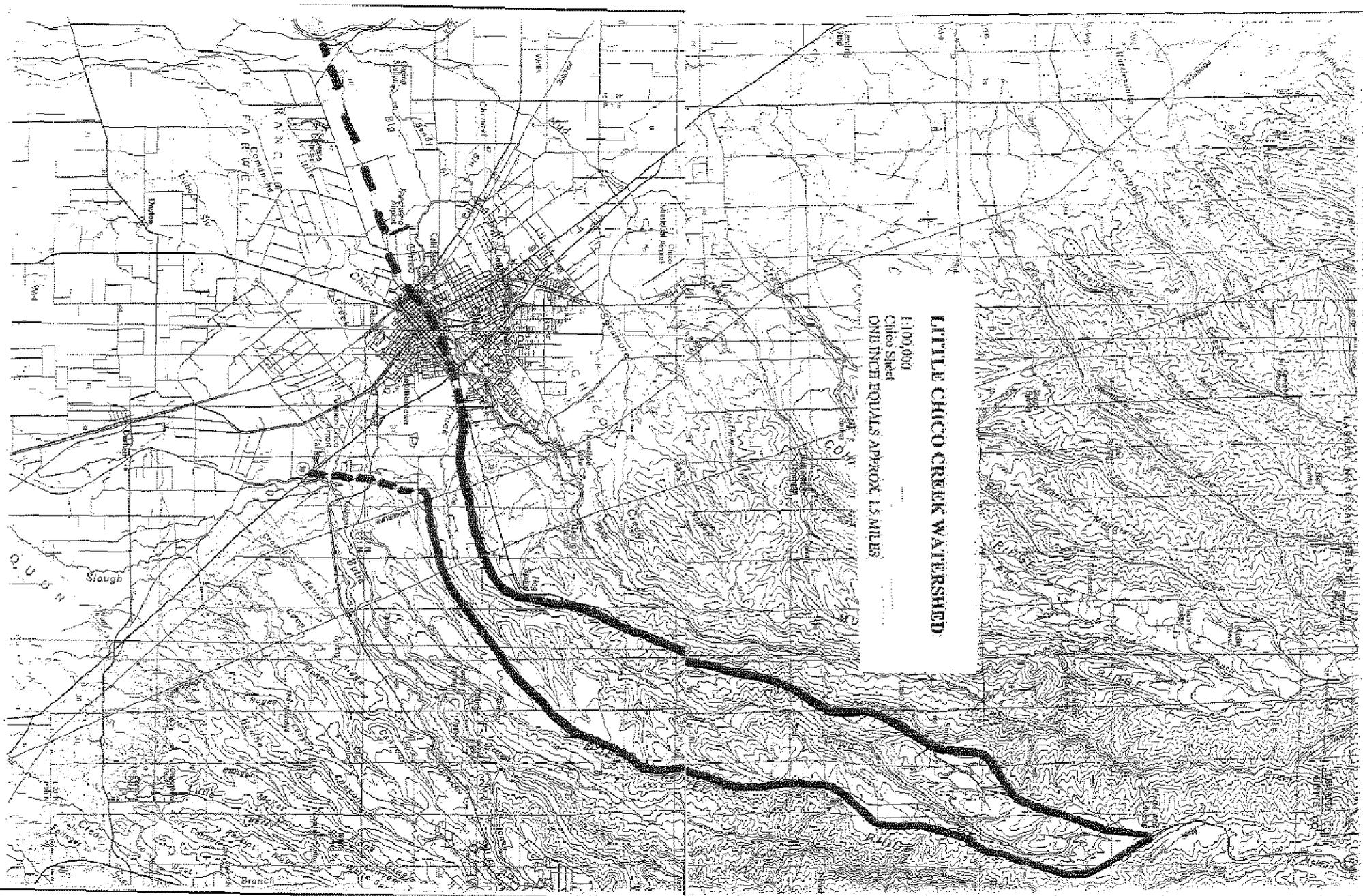
**Dr. Thomas Griggs:** project co-director, is an Adjunct Professor with the Department of Biological Sciences and will be administering the riparian vegetation inventory and other biological chapters. Dr. Griggs recently joined the Dept. of Biological Sciences after a 17 year career with The Nature Conservancy where he directed land management research and implementation, most recently developing the technology for riparian forest restoration along the Sacramento River. Under the direction of Dr. F Thomas Griggs, the Biological Sciences and will be administering the riparian vegetation inventory and other relevant biological chapters.

### ***Administrative Support***

The Research Foundation, established in 1940, is an auxiliary organization, acting as fiscal agent for California State University, Chico on all externally funded projects. The Research Foundation, providing overall financial management, personnel, insurance, and other management services, acts as the administrative liaison with all funding agencies. The Research Foundation works with Project Directors/Principal Investigators and their staff to ensure compliance with all applicable regulations and appropriate accounting standards. The Research Foundation is currently working with over 150 different agencies and is familiar with the regulations required by state and federal agencies, and those in the private sector. Project staff and associates form an efficient team of professional scientists and engineers who are experienced in all major components of the environmental field. The expertise of the staff at CSU Chico encompasses general environmental studies and reports, permitting and licensing of commercial and industrial facilities, analysis of government regulations and policies, and specialized biological, hydrological, and soil resources studies.

**ATTACHMENT A**

**Little Chico Creek Watershed MAP**



**LITTLE CHICO CREEK WATERSHED**  
1:100,000  
Chico Sheet  
ONE INCH EQUALS APPROX. 1.5 MILES

I - 0 1 7 9 3 2

I-017932

## **ATTACHMENT B**

### **Little Chico Creek Watershed Group Supporters**

Butte Creek Watershed Conservancy  
Big Chico Creek Watershed Alliance  
Environmental Resource Center at CSU-Chico (Shedheads)  
Streaminders Adopt-A-Creek Program (storm drain identification education program)  
Little Chico Creek Educators Consortium  
Chico Unified School District, Environmental Education with hands-on field training  
in the watershed  
Butte Creek Education Project  
California Department of Water Resources  
USFWS  
Chico Creek Nature Center



PARKS & PRESERVES  
FOUNDATION

April 15, 1999

Jeff Mott  
Little Chico Creek Watershed Group  
4436 Ten Mile House Trail  
Chico, Ca. 95928

Subject: Support for LCCWG restoration effort.

Dear Mr. Mott,

The Board of Directors of Parks and Preserves Foundation has learned of your labors to generate an Existing Conditions Report / Watershed Management Strategy for Little Chico Creek and would like to go on record in support of your efforts. Your work will allow for the acquisition and documentation of the existing conditions of Little Chico Creek, essential for the planning and implementation of measures to ensure the long-term health of the waterway. Please count us among your enthusiastic supporters.

Sincerely,

*Christine Weston*  
Jim Saake for Jim Saake  
President

167 EAST 3RD AVENUE  
CHICO, CA 95926  
916/894-7738

*CSU, Chico Research Foundation*  
*California State University, Chico*  
*Chico, California 95929-0870*  
*(530) 898-4044; FAX: (530) 898-6804*

April 14, 1999

Glenn County Planning Department  
John Benoit, Director  
125 South Murdock Avenue  
Willows, CA 95988

Kristin Cooper-Carter  
Environmental Resource Program  
Office of Sponsored Programs  
California State University, Chico  
Chico, CA 95929-0870

Dear Mr. Benoit,

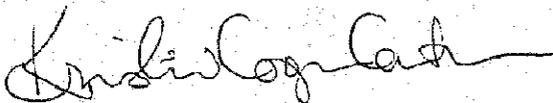
A proposal titled, "Development of a Watershed Management Strategy for Little Chico Creek Watershed, Phase II and Phase III" will be submitted on April 16, 1999 for consideration by the CALFED Bay-Delta Program's Ecosystem Restoration Program and Strategic Plan in response to the 1999 Proposal Solicitation Package. This proposed project would start on January 1, 2000 and end June 30, 2001.

The primary objectives of this project are to restore, protect and enhance water quality and quantity as well as important spawning habitat for Chinook salmon and Steelhead trout in the Little Chico Creek ecosystem. The Little Chico Creek Watershed Group will complete the scope of work in four phases. Phase I, the Scoping Process, consists of stakeholder meetings and a survey for watershed issues and concerns (funded by Prop. 204). Phase II is the preparation of an evaluation of existing conditions (partially funded by Prop. 204). (Phase III is the development of an overall watershed management strategy including prioritization of watershed stockholders issues and concerns. Phase IV consists of implementation and monitoring of the strategies identified in Phase III. The proposal solicits funding for the remainder of Phase II (remaining chapters of Existing Conditions Report) and for Phase III.

An Executive Summary of this proposal will be forthcoming by the end of the month.

If you have any questions about this proposal, please feel free to call my office at (530) 898-5026.

Sincerely,



Kristin Cooper-Carter, Coordinator  
Environmental Resource Center

KCC/ik

*CSU, Chico Research Foundation*  
*California State University, Chico*  
*Chico, California 95929-0870*  
*(530) 898-4044, FAX: (530) 898-6804*

April 14, 1999

Glenn County Board of Supervisors  
P.O. Box 391  
Willows, CA 95988

Kristin Cooper-Carter  
Environmental Resource Program  
Office of Sponsored Programs  
California State University, Chico  
Chico, CA 95929-0870

Dear Supervisors Bungarz, Freeman, Hansen, Harris and Mudd,

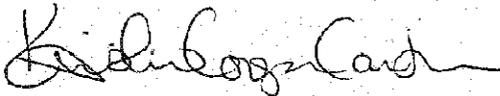
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An Executive Summary of this proposal will be forthcoming by the end of the month.

If you have any questions about this proposal, please feel free to call my office at (530) 898-5026.

Sincerely,



Kristin Cooper-Carter, Coordinator  
Environmental Resource Center

KCC/ik

CSU, Chico Research Foundation  
California State University, Chico  
Chico, California 95929-0870  
(530) 898-4044; FAX: (530) 898-6804

April 12, 1999

Butte County Board of Supervisors  
Beeler, Davis, Dolan, Houx and Josiassen  
25 County Center Drive  
Oroville, CA 95965

Kristin Cooper Carter, Coordinator  
Environmental Resource Program  
Office of Sponsored Programs  
California State University, Chico  
Chico, CA 95929-0870

Dear Supervisors Beeler, Davis, Dolan, Houx and Josiassen,

In compliance with the requirements of the CALFED Bay-Delta Program's Ecosystem Restoration Program and Strategic Plan 1999 Proposal Solicitation Package, we are formally notifying you of the submission of eight grant applications that reside either in part or fully within the boundaries of Butte County.

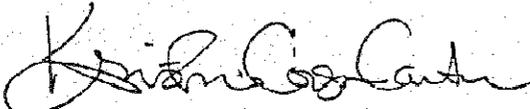
A list of the proposals submitted follows:

1. Upper Butte Creek Road Management Improvement Project
2. Butte Creek Watershed Education Program
3. Cherokee Watershed Sediment Transport and Water Quality Analysis
4. Butte Creek Howard Slough Riparian Restoration
5. Development of a Watershed Management Strategy for Little Chico Creek Watershed, Phase II and III.
6. Watershed Coordination for Big and Little Chico Creeks
7. Butte Creek Acquisition, Revegetation, and Restoration Assessment Project
8. Sacramento Valley: Eastside Small Streams

Executive summaries of all of these proposals will be forthcoming.

If you have any questions about these proposals, please feel free to call my office at (530) 898-5026.

Sincerely,



Kristin Cooper Carter  
cc. Butte County Planning Department,  
Thomas Parilo  
Project Coordinators  
Jeff Wright

*CSU, Chico Research Foundation*  
*California State University, Chico*  
*Chico, California 95929-0870*  
*(530) 898-4044; FAX: (530) 898-6804*

April 12, 1999

Tom Parilo  
Butte County Planning Department  
7 County Center Drive  
Oroville, CA 95965

Kristin Cooper Carter, Coordinator  
Environmental Resource Program  
Office of Sponsored Programs  
California State University, Chico  
Chico, CA 95929-0870

Dear Mr. Parilo

In compliance with the requirements of the CALFED Bay-Delta Program's Ecosystem Restoration Program and Strategic Plan 1999 Proposal Solicitation Package, we are formally notifying you of the submission of eight grant applications that reside either in part or fully within the boundaries of Butte County.

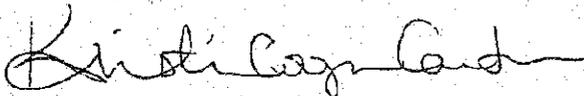
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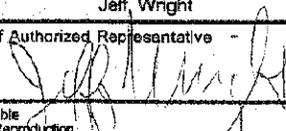
If you have any questions about these proposals, please feel free to call my office at (530) 898-5026.

Sincerely,



Kristin Cooper Carter  
Butte County Board of Supervisors  
Project Coordinators  
Jeff Wright

**APPLICATION FOR FEDERAL ASSISTANCE**

		2. DATE SUBMITTED 04/16/99	Applicant Identifier
1. TYPE OF SUBMISSION <i>Application</i> <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction		3. DATE RECEIVED BY STATE State Applicant Identifier	
		4. DATE RECEIVED BY FEDERAL AGENCY Federal Identifier	
5. APPLICANT INFORMATION Legal Name: The CSU, Chico Research Foundation Address (give city, county, state, and zip code): Kendall Hall, Room 114 CSU, Chico Chico, CA 95929-0870		Organizational Unit:	
		Name and telephone number of person to be contacted on matters involving this application. (give area code) Technical: Dr. Donald Holtgrieve: (530) 898-5780 Budgetary: Kristin Cooper-Carter: (530) 898-5026 Contractual: Virginia Sturr: (530) 898-5700	
6. EMPLOYER IDENTIFICATION NUMBER (EIN): 6 8 - 0 3 8 6 5 1 8		7. TYPE OF APPLICANT: (enter appropriate letter in box) <input checked="" type="checkbox"/> I A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify) _____	
8. TYPE OF APPLICATION: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify): _____		9. NAME OF FEDERAL AGENCY: CalFed	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> TITLE:		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: Development of a Watershed Management Strategy for Little Chico Creek Watershed, Phase II and Phase III.	
12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.): Butte and Glenn Counties			
13. PROPOSED PROJECT: Start Date: Jan. 1, 2000 Ending Date: June 30, 2001		14. CONGRESSIONAL DISTRICTS OF: a. Applicant: 2 b. Project: 23	
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$ 293,473.00	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____ 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	
b. Applicant	\$ .00		
c. State	\$ .00		
d. Local	\$ .00		
e. Other	\$ .00		
f. Program Income	\$ .00		
g. TOTAL	\$ 293,473.00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input checked="" type="checkbox"/> No	
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 530-898-5700
d. Signature of Authorized Representative 		e. Date Signed 4/16/99	

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Standard Form 424 (REV. 4-82)  
Prescribed by OMB Circular A-102

## 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. Little Chico Creek ECR/WM	N/A	\$ 293,473	\$	\$	\$	\$ 293,473
2.						\$ 0
3.						\$ 0
4.						\$ 0
<b>5. TOTALS</b>		<b>\$ 293,473</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 293,473</b>
SECTION B - BUDGET CATEGORIES						
6. OBJECT CLASS CATEGORIES	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total	
	(1) Little Chico Creek ECR/WM	(2)	(3)	(4)	(5)	
a. Personnel	\$ 138,857	\$	\$	\$	\$ 138,857	
b. Fringe Benefits	28,307				28,307	
c. Travel	10,000				10,000	
d. Equipment	5,200				5,200	
e. Supplies	17,500				17,500	
f. Contractual	35,290				35,290	
g. Construction					\$ 0	
h. Other					\$ 0	
i. Total Direct Charges (sum of 6a-6h)	235,154				235,154	
j. Indirect Charges	58,320				103,479	
<b>k. TOTALS (sum of 6i and 6j)</b>	<b>293,473</b>				<b>338,633</b>	
<b>7. PROGRAM INCOME</b>		<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>

1-017940

1-017940

1-017941

SECTION C - FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other sources	(e) TOTALS	
8. Little Chico Creek ECR/WMS	\$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	\$160,044		\$53,323	\$53,398	\$53,323
14. NonFederal		\$0	\$0	\$0	\$0
15. TOTAL (sum of lines 13 and 14)	\$160,044	\$0	\$53,323	\$53,398	\$53,323
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16. Little Chico Creek ECR/WMS	\$133,339	\$0	\$0	\$0	
17.					
18.					
19.					
20. TOTALS (sum of lines 16 - 19)	\$133,339	\$0	\$0	\$0	
SECTION F - OTHER BUDGET INFORMATION					
21. Direct Charges:	\$235,154	22. Indirect Charges	\$138,857	Base (Salaries & Wages)	
			\$58,320	Total Indirect (42% of S&W)	
23. Remarks					

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1-017941

*CSU, Chico Research Foundation*  
California State University, Chico  
Chico, California 95929-0870  
(530) 898-4044; FAX: (530) 898-6804

Indirect costs are those costs that cannot by their nature be specified on a project by project basis in the same way that line item direct costs can. Generally, indirect costs are those that support project activities, as compared to those that are directly related to specific project tasks. Universities establish an indirect cost rate with the Federal Government by following the appropriate provisions of OMB Circular A-21. This circular was officially modified and reissued on May 8, 1996, which, among other things, changed the term "indirect costs" to "Facilities and Administrative (F&A) Costs." The circular spells out two methods for determining such costs. We use the "Simplified Method" for institutions with less than \$10 million in awards annually from the Federal Government. Currently, we have two rates approved by our Health and Human Services Regional Office (Region IX) contacts: 42% of salaries and wages for on-campus projects and 18.5% of salaries and wages for off-campus projects. May Wong (415-556-1704) is our contact and can provide you with verification of our rate which her office approves after reviewing our financial statements.

Typically indirect costs are intended to generally cover costs such as facilities (including the space itself as well as utilities and janitorial services), general administration, insurance, "infrastructure" (for instance, availability of such resources as library holdings and other resources--e.g., access to electronic databases, communication links, computing backbone, and the like), grant and contract management services, cost of advancing funds for projects which pay in arrears and similar costs.

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 19. 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.

DI-2018  
March 1995

**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)

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 designated official, unless the Federal agency has designated a central point for the receipt of such notices.

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.

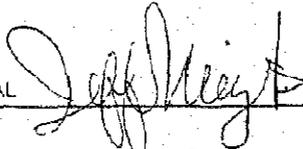
The undersigned certifies, to the best of his or her knowledge and belief, that:

- (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



TYPED NAME AND TITLE

Jeff Wright, Director, Office of Sponsored Programs

DATE

4-12-99

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

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 (0348-0040), 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.

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

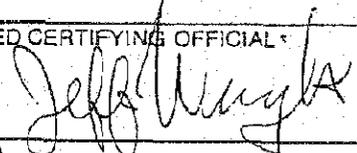
1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give 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 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 19 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 nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with 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.

Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.

Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
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  Jeff Wright	TITLE Director, Office of Sponsored Programs
DONOR ORGANIZATION The CSU, Chico Research Foundation	DATE SUBMITTED 4-16-99

Standard Form 424B (Rev. 7-97) Back