



# Pelton Round Butte Fund

## RESOURCE PROJECT APPLICATION INSTRUCTIONS

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While preferred, the application does not need to be typed. Try to use the space provided on the application; **attach additional pages if more space is needed.**

## **Background**

By Order dated June 21, 2005, the Federal Energy Regulatory Commission (FERC) approved a new license for the operation of the Pelton Round Butte Hydroelectric Project (Project #2030, PRB Project). The new license grants the Licensees, Portland General Electric Company and the Confederated Tribes of the Warm Springs Reservation of Oregon, the right to operate the PRB Project pursuant to the specific operational and environmental conditions in the license. The Order establishes the Pelton Round Butte Fund (PRB Fund) and specifically incorporates the provisions of Exhibit H, the Pelton Round Butte Fund Implementation Plan, taken from the multi-party settlement agreement for the PRB Project signed in July 2004.

The PRB Fund Implementation Plan (Exhibit H) establishes a tracking fund to be used for resource protection and enhancement measures that address Project-related impacts that are not otherwise covered by specific license conditions. Examples of such measures may include those that enhance and improve wetlands, riparian and riverine habitats, and riparian, aquatic and terrestrial species connectivity that may be affected by the continued operation of the PRB Project.

The PRB Fund consists of two parts: a General Fund and a Water Rights Fund. The application and approval process identified in this instruction document for the Pelton Round Butte Fund Resource Project Grant Program pertains only to funds distributed from the General Fund portion of the PRB Fund.

Decision-making is managed by a Governing Board, composed of eleven signatories of the Agreement, including one representative or designee from the following agencies or organizations:

1. Licensees (one representative collectively)
2. CTWS Branch of Natural Resources ("CTWS BNR")
3. CTWS Water Control Board ("CTWS WCB")
4. US Fish and Wildlife Service ("USFWS")
5. National Marine Fisheries Service ("NOAA Fisheries")
6. Bureau of Indian Affairs ("BIA")
7. US Forest Service ("USFS")/Bureau of Land Management ("BLM")[(one representative collectively)]
8. Non-Governmental Organizations (American Rivers, Oregon Trout, Trout Unlimited, Native Fish Society, WaterWatch of Oregon [one representative collectively])
9. Oregon Department of Fish and Wildlife ("ODFW")
10. Oregon Department of Environmental Quality
11. Oregon Water Resources Department

## **Section 1: General Information**

**Name of Resource Project.** Provide a brief descriptive name, five words or fewer, that can be used for the Resource Project on all related correspondence and agreements. Give the Resource Project a name that helps to define it. For example, "Rock Creek Watershed Rehabilitation," or "JT Ranch Irrigation Efficiency."

**Type of Project.**

**Funds Requested.** Fill in the amount, rounded to the nearest dollar.

**Total Project Cost.** Fill in the amount, rounded to the nearest dollar.

**Resource Project Location.** Identify the basin, watershed, and Hydrologic Unit Code where the proposed Resource Project is located (e.g., Deschutes/Upper Deschutes). Name the county where the proposed Resource Project is located. Show the township, range, and section. Include the river or creek name and the river mile, if the Resource Project involves a river or stream, or is adjacent to a river or stream.

**Appendix A.** Include all items listed in the checklist to ensure that the Technical Review Committee (TRT) can adequately identify the location and features of the Project. Attach an 8.5 x 11-inch map of the project site with sufficient detail to show the location of the work to be performed. Attach color photographs of the site showing current conditions. If doing construction or other engineered work, attach copies of preliminary project drawings or designs.

## **Section 2: Applicant Information**

Information in this section must be complete. The same person may serve more than one contact function.

**Applicant.** An eligible Resource Project applicant may be a tribe, watershed council, soil and water conservation district, private landowner, not-for-profit institution, school, community college, state institution of higher education, independent not-for-profit institution of higher education, local agency, state agency, or federal agency. Enter all contact information.

**Project Manager for the Applicant.** Identify the individual who will manage the proposed Resource Project from start to finish. This person will serve as the Fund's main point of contact, and in particular, will be responsible for securing signatures on the project agreement, seeing that all signatories have copies, and making sure that all required attachments accompany the application and the Request for Payment form.

**Fiscal Agent.** Councils, districts, tribes, and other entities can be fiscal agents for a Resource Project. Identify which of these entities will be responsible for tracking project income and expenses and for complying with the grant agreement terms. Please indicate the responsible party or entity that will be acting as the fiscal agent and enter all contact information. If the fiscal agent is the applicant, write in "Applicant" and leave the contact information blank.

**Technical Contact.** Identify the person who can answer technical questions about the Resource Project; for example, the NRCS agent who has worked with the landowner or applicant to develop the proposal. Enter all contact information.

### **Section 3: Landowner Information**

**Landowner.** Provide the name of the landowner(s) on whose property the proposed Resource Project will be implemented. Enter all contact information. If there is more than one landowner, a cooperative landowner agreement is recommended. However, if a cooperative landowner agreement is not used, attach a separate sheet with contact information for each landowner, along with their signatures to attest to the conditions of the application. If the landowner is the applicant, write in "Applicant" and leave the contact information blank.

## **Section 4: Project Budget and Funding Sources**

Have you also applied to other funding sources (example, OWEB or NFWF) for this Resource Project or one similar to it on the same property?

- Mark "No" if you have not previously applied for this proposed Resource Project, or a similar one, on this property.
- Mark "Yes" if you have previously submitted a Resource Project proposal for this proposed Resource Project, or a *similar* one on the *same* property. If "Yes," explain.

**Will the activities be cost shared with other funding sources?** Matching funds and/or cost sharing is not a requirement for Resource Projects submitted to the PRB Fund. However, the PRB Fund will give added consideration to applicants that can secure additional resources. In this section, if applicable, please identify the sources of additional support, the type of support offered, and a dollar value for the support.

Specify if the additional funding source has been secured or if it is pending. For purposes of this application, a "secured" resource is one for which an award or commitment has been given, and which can be documented by way of letter, memo, or other traceable commitment. Applicants will be asked to provide this documentation.

"Pending" additional resources imply the applicant has begun the process of identifying and securing other sources of funding for the proposal. Applicants should provide copies of applications and/or any additional correspondence that demonstrate such efforts. **Appendix B.** Include all items listed in the checklist to ensure that the Technical Review Committee (TRT) can review all funding commitment documentation.

Projects will be scored according to the level of matching funds pending or secured for the Project.

- Fully matched: 5 points
- ≥ 80% matched: 4
- ≥ 40-60% matched: 3
- ≥ 20% matched: 2
- ≤20% matched: 0

The PRB Fund encourages use of matching funding to the maximum extent practicable. Match funding sources may come from other grants, cash donations, donated labor or services, and donated supplies or materials. The Matching Funds Information Sheet, with signatures, may either be submitted with the proposed Resource Project application, or submitted with the first payment request. Evidence of secured match must be submitted to the PRB Fund before funds will be released.

**Budget Table Example Entry** (assuming a request for \$50,000 from Pelton Fund):

<b>Expense Category</b>	<b>Cost</b>	<b>Brief Description</b>	<b>% of Pelton Round Butte Funds Requested</b>
Travel	\$2,500	Round-trip for 2 project managers and 1 biologist for two trips	5%
Supplies/materials	\$10,000	Logs for in-stream work	20%
Equipment	\$6,000	Rent backhoe 2 weeks	12%

Projects that apply the majority of the funds to the “boots on the ground work” will be scored more favorably.

- **Project Management.** Costs associated with managing the proposed Resource Project on the ground; includes payroll expenses.
- **Travel.** Estimate the travel mileage for Resource Project implementation. Put a separate line item for each person, or groups of people, for whom you will be tracking mileage. Estimate the number of miles to be traveled and the rate per mile (per IRS guidelines).
- **Contracted Services.** List the labor that will be provided for Resource Project installation and the estimated number of hours, and the cost per hour. Identify who will provide the work (“Expense Category” column) and what they will do (“Description” column). Examples of Contracted Services are equipment operators, contracted work crews, tree planters, etc.
- **Supplies/Materials.** List all the supplies and materials needed for the Resource Project, such as fencing, pipes, seed, plants, boulders, logs, etc. Group similar supplies (e.g., boulders and logs, trees and shrubs) on the same line. Indicate the Number of Units and the Unit Cost wherever appropriate. Supplies and materials must be directly related to the on-the-ground work; The PRB Fund will not pay for film, education and outreach materials, first aid kits, or signage.
- **Equipment.** The PRB Fund discourages the use of funds for capital equipment purchases, and instead encourages applicants to obtain equipment through other means, such as borrowing or renting. In the “Expense Category” column, list any equipment that will be rented and/or purchased. Indicate the Number of Units and the Unit Cost wherever appropriate. Following project completion, equipment purchased with PRB General Fund monies shall be made available for other applicants or Resource Projects at no cost, other than nominal maintenance costs. If equipment is purchased, state in the “Description” column, where the equipment will be housed and maintained.
- **Pre-Implementation.** List the costs associated with Resource Project pre-implementation (e.g., project design, permits for the project, inspection of the project, etc.). Indicate the Number of Units and the Unit Cost wherever appropriate.
- **Monitoring, Evaluating and Reporting.** The PRB Fund requires a status during implementation and following project completion as described in Section 9. This report may be budgeted for in the PRB Fund Resource Project Application. Enter the amount here for direct costs related to staff time needed to visit the project site and then to write the report for the period described in Section 9.

## **Section 5: Resource Concern**

Type of resource concern that best describes the problem or opportunity addressed by the proposed Resource Project: The PRB Fund Implementation Plan provides the Governing Board with set priorities to guide their selection of eligible projects for funding. The list is in order of priority and applicants should select only one priority; however, applicants should be aware that project selection is contingent on a variety of factors in addition to the category or project type:

Listed in order of **priority**:

- Activities upstream of the PRB Project that will support the anadromous reintroduction program by helping to achieve a self-sustaining Chinook salmon population and a sustainable salmon harvest.
- Activities in the lower Deschutes River mainstem and tributaries that increase the likelihood of adult and juvenile salmonid survival as fish pass through the PRB Project to and from the upper basin (i.e. tributaries to the PRB Project reservoirs).
- Activities that enhance existing or reintroduced populations of resident and anadromous fish and terrestrial wildlife upstream and downstream of the PRB Project.

In the space provided in the application, briefly **describe how the proposed Resource Project addresses the resource concerns and priorities identified above** that you have indicated are applicable. In evaluating proposals, the Licensees and Governing Board will be looking for project outcomes that have a direct “nexus” with these priorities.

## **Section 6: Detailed Project Information**

**Type of activities that will be funded by the PRB General Fund (check all that apply):** Refer to the list of eligible project activities below to indicate what type of activities are being proposed to meet the priorities identified in Section 5. If you are proposing to use funds for activities not included on the list, please explain in the space provided.

Resource Projects eligible for funding must be located in the Deschutes Basin, including the Middle and Lower Deschutes River, the Crooked River, the Metolius River, and any tributaries to those river segments. Necessary studies designed to evaluate or monitor the potential benefits or environmental effects of the projects may be part of the below-described potential projects. Resource Projects funded by the General Fund are limited to:

Land acquisition or lease of riparian areas, wetlands, and uplands. Funds may be used for locating appropriate parcels, purchase costs, purchase and title expenses, surveying, and ongoing restoration, monitoring, and management for the life of the new license (through 2055).

Water rights acquisition or lease. Funds may be used for locating appropriate rights, purchase/lease costs, purchase and title expenses, and ongoing monitoring, to the extent such rights are not otherwise obtained through the Water Rights Fund.

Water conservation. Funds may be used for conservation projects pursuant to the Conserved Water Act, ORS 537.455 et. seq., which yield legally protected instream water rights. The percentage of conserved water protected instream via a Conserved Water Act project must, at a minimum, equal the percentage of General Fund monies used to finance the conservation measures

Conservation easements. Funds may be used for locating appropriate parcels, establishment of easements, surveying, and ongoing restoration, monitoring and enforcement.

Construction of fish passage facilities and removal of fish passage barriers. Funds may be used for private, non-federal dam and/or diversion removal, construction or improvement of fish passage facilities and/or screens, including planning, design, and effectiveness monitoring, provided, however, that no General Fund monies may be used for improvement or removal of barriers at other FERC-licensed projects.

Instream habitat improvements. Funds may be used for projects that improve or enhance fish habitat such as cover, pool and riffle structure, spawning beds, and water quality, including planning, design, and effectiveness monitoring.

Riparian and wetland protection and enhancement. Funds may be used to protect riparian corridors and wetlands from grazing, or to provide for native species plantings, non- native plant species management, and erosion control, including planning, design, and effectiveness monitoring.

Off-Project recreation impacts. Funds may be used to protect and restore riparian corridors, wetlands, and spawning and rearing habitats that are adversely impacted by off-Project recreation use. Such projects may include planning, design and effectiveness monitoring.

Other: Funds may be used for other Resource Projects not described in the eight categories above only if (1) the Licensees include it in their proposed project recommendations to the Governing Board and (2) the proposed Resource Project receives unanimous support from the Governing Board. Therefore, using the space provided in the application, the applicant should clearly identify activities not falling into the categories above (for example, activities focusing on terrestrial resources), and provide a justification for them.

## **Section 7: Required Questionnaire**

1. **Describe the current watershed PROBLEM(s) you are seeking to address.** Describe the problems, not the solutions. Discuss any known problems (e.g., poor water quality, excessive erosion, decreased stream flow, degraded upland forage condition, etc.). In your response, please provide information on the following:

*Current conditions at the project site(s):* Describe current physical and biological conditions, including any known problems, such as poor water quality, excessive erosion, decreased stream flow, degraded upland forage condition, etc.

*What is known about what caused the site(s) to degrade to its current condition:* Describe factors contributing to the condition described above (such as stream channelization, fire, undersized culverts, etc.) and how these factors are addressed in the proposed Resource Project in the course of correcting the problems identified above. What specific watershed functions or limiting factors will be addressed and why is it important to address these. Explain why you are not addressing any problems identified as a part of this project. Show that solving these problems will address the underlying causes and not just treat the symptoms of the problems

*What is the impact of the problem on anadromous fish species, native fish species, or terrestrial wildlife above or below the project.* Please describe how the problem described affects life history of these species, or addresses limiting factors; be specific in terms of the describing the geographic extent of the problem and the overlay with life history requirements.

2. **Describe the SOLUTION(s) you are proposing to use to address the current problem(s) identified above** (attach a site map, project drawing, and/or photos). Describe the proposed solutions or practices in sufficient detail for members of the Pelton Round Butte Project Implementation Committees and PRB Fund Governing Board to understand what you are planning to do and how the practices will address the problem(s) identified above.

*What are the project objectives? Provide a bulleted list of measurable indicators:* The objectives should, in most cases, be measurable and able to be monitored. Objectives describe what you will accomplish, not the actual work you will do. They should reflect what you think the project site should look like after a set number of years and what you think implementation of the project should accomplish. For example, "Fish spawning habitat will be expanded by 4 miles," "20% of the stream will be shaded after 10 years," "Erosion will be reduced by 50% in 3 years," etc.

*What is the connection between the Resource Project's measurable resource outcomes and the priority you identified in Section 6?* Describe how the project addresses limiting factors of species of concern; be specific in terms of the describing the geographic extent of the project and the overlay with life history requirements of species benefiting from this proposal.

*What will be the anticipated condition of the site(s) upon project completion, and in 10 years?* Be site specific.

*How does the project fit within the larger watershed context?* Describe how project planning and design take into consideration year-round upstream, downstream and upslope conditions, fish and wildlife life cycle stages, and known potential future events (e.g. floods, harvest, etc.). Is it part of a larger watershed program being planned or implemented by any other entities in the basin? Describe how this project complements other efforts completed or planned in the watershed.

3. **Please describe the status of your technical preparation:**

**Summarize the technical guidance sources you anticipate using for your project.** Where applicable, the applicant should indicate which technical guidance sources will be used to ensure that best practices are applied and considered. Check the technical guidance source used to design and implement the project. Information on recommended technical guidance sources is found on the OWEB web sites:

<https://www.oregon.gov/oweb/resources/Pages/Field-Tech-Guidance.aspx>

Additional guidance material to be referenced may include fish passage criteria as promulgated through state and federal agencies, such as:

Oregon Department of Fish and Wildlife Fish Passage Criteria

<http://www.dfw.state.or.us/OARs/412.pdf>

or

National Marine Fisheries Service Fish Passage Guidance Documents

[https://www.westcoast.fisheries.noaa.gov/publications/reference\\_documents/fish\\_passage\\_references.html](https://www.westcoast.fisheries.noaa.gov/publications/reference_documents/fish_passage_references.html)

**Describe and document the technical plans.** As applicable, applicants should describe status and completeness of any engineering plans, specification, or drawings that have been completed for the proposed project. Summarize the involvement to date of agency reviewers, how their concerns have been addressed, and any future plans for consultation, including (and especially) required agency approvals.

**How are you planning for contingencies?** Identify uncertainties and areas of potential risk due to project size or techniques used, and the steps the applicant has taken to respond to those uncertainties. The narrative may summarize discussions with landowners and agencies over unknowns and what decisions may need to be made during implementation or changes that may need to be made following completion, as determined through monitoring and evaluation. Is there a financial contingency should natural or man-made events cause damage to the project that requires repairs or modifications?

## **Section 8: Practical Considerations**

**How long will it take to plan and complete the project?** In order to best manage and anticipate annual budgets, the Licensees prefer to allocate PRB funds to projects that can be implemented quickly. However, this is not a requirement. The PRB Fund expects that some projects may have a high degree of uncertainty with respect to overcoming regulatory or technical milestones that will take some time and effort to achieve. In some instances, having secured PRB funding may help the applicant overcome obstacles. Applicants are requested to identify such obstacles and provide a general timeline for planning, initiating, and completing the Resource Project. If appropriate, the applicant should attach a project schedule showing key milestones and critical paths for multi-year projects.

- Can be initiated within 2 years: Yes (1 point)
- Cannot be initiated within 2 years: No (0 points)

**Will the project provide benefits for at least the length of the PRB Round Butte Project license (through 2055) or in the case of lease-based stream flow restoration proposals, the length of the lease?** The goal of the PRB Fund is to provide tangible resource benefits for at least the duration of the license. Please describe the measurable benefits that are likely to be achieved by the proposed Resource Project and explain how these benefits may endure throughout (at a minimum) the license term. If the applicant is proposing a stream flow restoration project involving a lease, explain how these benefits will be measured and sustained for the length of the lease.

- Can provide benefits for life of license or length of lease: Yes (4 points)
- Cannot provide benefits for life of license or length of lease: No (0 points)

**Describe steps taken (or proposed) to gather community support for the proposed Resource Project.** The Licensees and the PRB Fund Governing Board have made community outreach for the PRB fund a priority. While the Fund may consider projects that are not fully supported by the community, it is expected that "due diligence" will be undertaken in assessing possible objections and addressing such concerns to the maximum extent practicable. Applicants are requested to identify an outreach plan for the project. Applicants should specifically identify the target audience for outreach and identify existing or possible hurdles or issues that specific groups may have with the proposed action. Applicants will be ranked on a scale of 3, 1, or 0 for high, medium, or low level of community support.

## **Section 9: Monitoring and Evaluation Reporting Requirements**

Based on previous experience, the Licensees have established some minimum expectations for reporting. During project planning and implementation:

- Provide quarterly update summary including expenditures.
- 4th quarter report is a summary of the entire year's activity.

Following project completion:

- Within three months, submit a completion memo summarizing the project and expenditures including any refunds of unused money.
- Annual monitoring reports are expected for five years following project completion, including photo-points as appropriate.
- Monitoring reports should state current status of objectives as compared to project proposal.

How will success be determined? What are the measurable project outcomes that are being sought by Resource Project Sponsor, and how do these relate to the priority identified in Section 5?

**What aspects of the Resource Project(s) will be maintained and monitored?** If you are using an agency or entity other than yourself for monitoring/evaluation have them sign the application or write a letter to acknowledge their role in the project. Be specific for each site where work will be undertaken. Refer to the sample chart below to help complete the chart in the application. Costs for monitoring can be included in your grant request.

**Who will be responsible for writing the Monitoring and Evaluation Reports?** Name and role of the individual who will take responsibility for documenting the condition of the Resource Project during implementation and following project completion. The individual should be either the Resource Project Manager for the Grantee or the Technical Contact. The budget allows this person to be compensated for the report.

## **Section 10: Permits and Authorizations**

**Have the required permits been obtained for the proposed Resource Project?** Indicate whether required permits for the proposed Resource Project have been obtained, or if permits are not needed. List the permits that have either been issued or remain to be obtained. If permits are needed, copies of the obtained permits must be provided to the PRB Fund prior to the release of funds (upon request only).

**Is this proposed Resource Project required as a condition of a local, state, tribal or federal permit, order, or enforcement action (e.g., a manure storage and management project required by ODA permit)?** Please indicate if the proposed Resource Project is required as a condition of a local, state, tribal or federal permit, order, or enforcement action. The PRB Fund Implementation Plan specifically states that no General Fund monies may be used for improvement or removal of fish passage barriers at other Federal Energy Regulatory Commission licensed projects.

***DO NOT provide copies of permits that have been obtained unless requested to do so by the Technical Review Team***

## **Section 11: Threatened and Endangered Species List**

**Will a species listed as Threatened or Endangered under the federal Endangered Species Act benefit from the proposed activity?** Providing benefits to T&E species is not a requirement for Resource Projects funded by the PRB Fund. However, it will be important for the Governing Board to understand how proposed Resource Projects may impact federally protected species, and any additional processes, conditions, permits, or documentation that may be required under federal statute.

## **Section 12: Groups Involved in Project**

**Identify all groups, volunteers, or agencies participating in the proposed Resource Project and what they will do.** List any agencies, volunteers, or groups who will assist with the design or implementation of the proposed Resource Project and describe briefly what they will do. For example, indicate that the landowner will purchase plants and donate the use of his equipment; an NRCS employee will design the project; or student volunteers will plant the trees.

## **Section 13: Comparable Projects**

**Please identify similar projects that have been completed in the Deschutes Basin and compare relative costs and benefits of these projects as compared to what is being proposed here.** Exhibit H provides that the Governing Board may consider relative costs and benefits as compared to similar projects in evaluating Resource Project Proposals. Applicants are requested to provide any information available on similar projects for comparison purposes. Useful information would be size of comparable projects, costs (if known) and results to date.