

**CONSIDERATION OF A RESOLUTION AUTHORIZING THE DIRECTOR, OR  
DESIGNEE, TO EXECUTE AN INTERAGENCY AGREEMENT WITH THE  
UNIVERSITY OF CALIFORNIA AT DAVIS EXTENSION TO PROVIDE TECHNICAL  
SUPPORT FOR THE EVALUATION OF ECOSYSTEM RESTORATION PROGRAM  
PROPOSALS AND PROJECTS**

**Agenda Item: 10**

**Meeting Date: 8-14-03**

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**Summary:** This resolution would authorize the Director, or designee, to execute an interagency agreement with the University of California, Davis Extension (UCD) to provide support in management of scientists' and other experts' review of the Ecosystem Restoration Program (ERP) proposals in Years 4, 5, and 6, mid-stream technical evaluations of projects or groups of projects, and training courses that help applicants improve proposals' technical quality and apply lessons from other projects.

**Recommended Action:** Adopt Resolution 03-08-24

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**Staff Recommendation:** Staff recommends that the Authority adopt the attached resolution in order to obtain from the UCD technical support for the evaluation of ERP proposals and projects. The independent technical evaluations that UCD manages are an essential element in the review and selection of ecosystem restoration projects.

**Background**

Each year, the ERP manages a grant solicitation process that results in the award of about \$100 million in grants for restoration activities. The projects are selected for funding through a competitive proposal solicitation process (PSP) that draws hundreds of proposals. The proposals are reviewed thoroughly by technical experts and others. Some experts read the proposals and prepare written evaluations. Others meet with program managers to discuss proposals and make recommendations. The 2002 PSP, for example, involved 221 external reviewers and nine panels who reviewed 260 proposals.

In 2001, the ERP began working with UCD to help manage its proposal review process. UCD recruits experts willing to review proposals, ensures they are free of inappropriate conflicts of interest, assigns them to proposals that match their expertise, manages the reviews' submittal, convenes review panels, and pays reviewers' fees and panel expenses. UCD's assistance to ERP is critically important because it can recruit highly qualified expert reviewers, guarantee reviewers' academic independence, and provide timely payment for review expenses.

This proposed interagency agreement would continue UCD's involvement in the technical review of ERP proposals through the Year 4, 5, and 6 PSPs. It would also enlarge UCD's role to include convening expert panels to conduct mid-stream technical evaluations of projects or groups of projects. These might include, for example, evaluations of similar projects, such as several tidal marsh or river restorations, to examine common approaches, successes, and frustrations, and to recommend how projects can be improved. The agreement will also fund short training courses to help applicants improve proposals' technical quality and strengthen adaptive management by applying lessons from other projects' evaluations to new restoration actions. Course registration fees will provide a modest cost-share to the Authority's funds.

Execution of this agreement is an essential precursor to the Year 4 ERP proposal solicitation, scheduled to be released later this year.

### **Fiscal Information**

**Funding Source:** Proposition 204 funds  
**Term:** July 1, 2003 through June 30, 2006  
**Total Amount:** Not to exceed \$2,815,659

### **List of Attachments**

Proposed Scope of Work

### **Contact**

**Name:** Dan Castleberry

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**CALIFORNIA BAY-DELTA AUTHORITY**  
**RESOLUTION NO. 03-08-24**

CONSIDERATION OF A RESOLUTION AUTHORIZING THE DIRECTOR, OR DESIGNEE, TO EXECUTE AN INTERAGENCY AGREEMENT WITH THE UNIVERSITY OF CALIFORNIA AT DAVIS EXTENSION TO PROVIDE TECHNICAL SUPPORT FOR THE EVALUATION OF ECOSYSTEM RESTORATION PROGRAM PROPOSALS AND PROJECTS

**WHEREAS**, the Ecosystem Restoration Program staff have supported the Resources Agency and other funding agencies in developing competitive grant solicitation packages to solicit ecosystem restoration project proposals from federal, state, and local public agencies, private entities, and universities; and

**WHEREAS**, the Ecosystem Restoration Program staff have developed a rigorous scientific and technical review process for restoration project grant proposals; and

**WHEREAS**, the selection of Ecosystem Restoration Program projects requires review of project proposals by independent scientific and technical experts who provide advice on the proposals' scientific and technical merit; and

**WHEREAS**, the Ecosystem Restoration Program can be strengthened by conducting mid-stream evaluations of selected projects and training that helps applicants improve proposals' technical quality and apply lessons from other projects; and

**WHEREAS**, the involvement of independent scientific and technical experts in the grant solicitation process, and in providing mid-stream evaluations of selected projects is consistent with the California Bay-Delta Authority's role in coordinating the activities of the implementing agencies for the Ecosystem Restoration Program; and

**WHEREAS**, the involvement of independent scientific and technical experts in the grant solicitation process, and in mid-stream evaluations of selected projects is consistent with the emphasis on science and adaptive management in implementing the Bay-Delta Program; and

**WHEREAS**, the University of California, Davis Extension has the expertise to administer a program to provide a high standard of scientific and technical review in the areas required by the Ecosystem Restoration Program; and

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**NOW, THEREFORE, BE IT RESOLVED** that the Authority authorizes the Director, or designee, to execute an interagency agreement with University of California at Davis Extension, to provide technical support for the evaluation of ecosystem restoration project grant proposals, as generally described in the attached proposed Scope of Work, for an amount not to exceed \$2,815,659, subject to appropriation of adequate funds.

#### CERTIFICATION

The undersigned Assistant to the California Bay-Delta Authority does hereby certify that the foregoing is a full, true, and correct copy of a resolution duly and regularly adopted at a meeting of the California Bay-Delta Authority held on August 14, 2003.

Heidi Rooks  
Assistant to the California Bay-Delta Authority

**Attachment 1**  
**University of California, Davis**  
**Ecosystem Restoration Program Support**  
**Proposed Scope of Work**

**1. Background**

The University of California at Davis, Extension (UNEX), will administer a program to provide a high standard of scientific and technical review for ongoing projects and for proposals submitted in response to the California Bay-Delta Program's Ecosystem Restoration Program (ERP) Proposal Solicitation Package (PSP) and other focused solicitations, as desired by the California Bay-Delta Authority staff. The review process will be completed under the auspices of a UC Davis Extension Proposal Review Program.

**2. General Statement of Work and Deliverables**

**Tasks:**

Task 1. Open Solicitation Proposal Review Process

A. Communication

- i. The Review Coordinator and office staff will communicate regularly with Authority staff, including regularly scheduled conference calls, meetings and reports as required.

Schedule: July 1, 2003 through June 30, 2006.

Deliverables: Participation in conference calls and meetings as required throughout schedule period. Memoranda as necessary recording calls' conclusions and action items

B. Web-based Proposal Submission and Review System Support

- i. Provide support for a web-based proposal submission and review system. This support includes providing telephone and email helpline assistance for proposal applicants. It is understood that the web-based database will not be developed, refined or housed at U.C. Davis Extension; but that U.C. Davis Extension will coordinate with Dr. Jeff Wright and his staff at U.C. Merced, responsible for the database development, refinement and maintenance.

Schedule: July 1, 2003 through June 30, 2006.

Deliverables: Documentation of helpline assistance provided due June 30, 2006.

C. Panelists and Reviewers

- i. Utilizing information from previous and current proposal review cycles, panelists, and staff, develop and maintain a database of potential reviewers and panelists, including expertise and contact information.
- ii. Perform initial conflict of interest check on potential panelists and external reviewers.
  - (1) In conjunction with ERP staff and utilizing the web-based proposal system, develop list of all applicants, subcontractors, individuals who helped with proposal development and others who would benefit financially if a proposal were awarded funds.
  - (2) Run cross check of all potential panelists and external reviewers against this list to eliminate those with matches. Maintain conflict of interest check records. Communicate any questions to ERP staff. ERP staff and Authority legal counsel will provide the final decision on conflict of interest questions.
- iii. Panelists (on an as needed basis as determined in communication with ERP staff)
  - (1) Identify potential review panelists appropriate for the range of proposals received in conjunction with ERP and Science Program staff.
  - (2) After performing initial conflict of interest check, invite panelists to serve and monitor response. Request additional panelist suggestions from each invitee to bolster list of potential panelists and reviewers.
  - (3) Identify primary, secondary and tertiary panelist reviewers for each proposal in conjunction with ERP and Science Program staff.
  - (4) Query panelists for three or more suggested external reviewers for their primary review proposals, and possibly secondary and tertiary.
- iv. Reviewers
  - (1) Utilizing available resources (potential panelist and reviewer database, panelist and staff suggestions) identify potential external scientific and engineering reviewers for each proposal undergoing scientific or engineering review.
  - (2) After performing initial conflict of interest check, invite external reviewers to serve and monitor response. Continue to invite external reviewers until meeting goal of number of confirmed external reviewers per proposal as conveyed by ERP staff.
  - (3) Assure that the Authority receives status reports and reviews for each proposal on a timely basis.

Schedule: July 1, 2003 through June 30, 2006.

- Deliverables:
1. Initial database/spreadsheet of potential reviewers and panelists, including expertise and contact information due September 30, 2003. Subsequent tasks include updating the database periodically to retain a current list of qualified candidates.
  2. For each solicitation, a list of all applicants, subcontractors, individuals who helped with proposal development and others who would benefit financially if a proposal were awarded funds due within one month of proposal deadline.
  3. For each solicitation, a list of potential panelists and/or external reviewers and results of initial conflict of interest check due within one month of proposal deadline
  4. Documentation of proposal and/or review status periodically starting October 1, 2003.

D. Panel Logistics and Reviewer Honorarium payments

- i. Make arrangements, including meeting space, travel, amenities, and computer, internet and telephone support, and provide logistical support for panel review meetings and other events as requested by ERP staff
- ii. Make honorarium payments and, where necessary, reimburse travel expenses to eligible panelists and external reviewers.

Schedule: July 1, 2003 through June 30, 2006.

Deliverables: 1. Panel logistic information due approximately one week prior to each panel meeting.  
2. Spreadsheet showing honorarium payment status due upon request from July 31, 2003 through June 30, 2006, or until all payments have been made.

E. Debriefing on process

- i. Meet with ERP staff to discuss lessons learned and possible improvements to system.

Schedule: July 1, 2003 through June 30, 2006.

Deliverables: Attendance at 1-2 debriefing meetings to be held during the period.  
Memoranda as necessary recording conclusions and action items

Task 2. Directed Action Proposal Review Process

A. Communication

- i. The Review Coordinator and office staff will communicate regularly with ERP staff, including regularly scheduled conference calls.

Schedule: July 1, 2003 through June 30, 2006.

Deliverables: Participation in conference calls throughout schedule period. Memoranda as necessary recording calls' conclusions and action items

B. Web-based Proposal Submission and Review System

- i. Provide support for a web-based proposal submission and review system. It is understood that the web-based data base will not be developed, refined or housed at U.C. Davis Extension; but that U.C. Davis Extension will coordinate with Dr. Jeff Wright and his staff at U.C. Merced, responsible for the data based development, refinement and maintenance.
- ii. Upload files to web database as needed.

Schedule: July 1, 2003 through June 30, 2006.

Deliverables: Documentation of helpline assistance provided due October 1, 2003.

C. Panelists and Reviewers

- i. Perform initial conflict of interest check on potential panelists and external reviewers.
  - (1) In conjunction with ERP staff, develop list of all applicants, subcontractors, individuals who helped with proposal development and others who would benefit financially if a proposal were awarded funds.
  - (2) Run cross check of all potential panelists and external reviewers against this list to eliminate those with matches. Maintain conflict of interest check records. Communicate any questions to ERP staff. ERP staff and Authority legal counsel will provide the final decision on conflict of interest questions.

- ii. Panelists (on an as needed basis as determined in communication with ERP staff)
  - (1) Identify potential review panelists appropriate for the range of proposals received in conjunction with ERP and Science Program staff.
  - (2) After performing initial conflict of interest check, invite panelists to serve and monitor response. Request additional panelist suggestions from each invitee to bolster list of potential panelists and reviewers.
  - (3) Identify primary, secondary and tertiary panelist reviewers for each proposal in conjunction with ERP and Science Program staff.
  - (4) Query panelists for three or more suggested external reviewers for their primary review proposals, and possibly secondary and tertiary.

iii. Reviewers

- (1) Utilizing available resources (potential panelist and reviewer database, panelist and staff suggestions) identify potential external scientific and engineering reviewers for each proposal undergoing scientific or engineering review.
- (2) After performing initial conflict of interest check, invite external reviewers to serve and monitor response. Continue to invite external reviewers until meeting goal of number of confirmed external reviewers per proposal as conveyed by ERP staff.
- (3) Assure that the Authority receives status reports and reviews for each proposal on a timely basis.

Schedule: July 1, 2003 through June 30, 2006.

- Deliverables:
- 1. List of all applicants, subcontractors, individuals who helped with proposal development and others who would benefit financially if a proposal were awarded funds due within one month of proposal deadline.
  - 2. List of potential panelists and/or external reviewers and results of initial conflict of interest check due within one month of proposal deadline.
  - 3. Documentation of proposal and/or review status periodically starting October 1, 2003.

D. Panel Logistics, Travel and Reviewer Honorarium payments

- i. Make arrangements, including meeting space, travel, amenities, and computer, internet and telephone support, and provide logistical support for panel review meetings and other events as requested by ERP staff
- ii. Make travel and honorarium payments to eligible panelists and external reviewers. Travel payment will conform to acceptable State and University rates and standards.

Schedule: July 1, 2003 through June 30, 2006.

- Deliverables:
- 1. Panel logistic information due one week prior to each panel meeting.
  - 2. Spreadsheet showing travel and honorarium payment status due monthly (as requested) from Sept. 30, 2003 through June 30, 2006, or until all payments have been made.

E. Debriefing on process

- i. Meet with ERP staff to discuss lessons learned and possible improvements to system

Schedule: July 1, 2003 through June 30, 2006.

Deliverables: Attendance at debriefing meetings as needed.

Task 3. Training and Related Tasks

A. Communication

- i. The Review Coordinator and office staff will communicate regularly with ERP staff, including regularly scheduled conference calls.

Schedule: July 1, 2003 through June 30, 2006.

Deliverables: Participation in conference calls throughout schedule period.

B. Training Sessions, Classes, Conferences, Symposia and Related Events

- i. Develop and provide all logistical support and deliver (host) various types of training sessions, classes and conferences/symposia related directly to the ERP and its objectives. These events may be "in person" sessions or may be sessions that occur as distance learning modules on the web. These events would be for grantees and grant-seekers, reviewers, state and federal agency staff (including ERP staff), and other interested professionals. The goal of these training events is to provide common understanding of ecosystem restoration principles and practices, to review important advances and research and to disseminate information related to water policies and environmental policies as they relate to ecosystem restoration. It is recognized that fees may be set by U.C. Davis Extension and charged to participants in these events to cover costs that are not covered directly by this contract. These fees would be paid to U. C. Davis Extension unless otherwise specified for a given event. It is understood that the training and educational component of this contract is not the primary work under the scope for the staff members of the Proposal review Office. As such, approximately 15% of the time allocated to the Academic Coordinator and Assistant can be applied to these tasks.

Schedule: July 1, 2003 through June 30, 2006.

Deliverables: Periodic training events including written materials (and computer materials), delivery of events, necessary catering and related products.

C. Documentation of Training Events

- i. As requested by ERP staff, provide written documentation in the form of spreadsheets and analysis to show the results of training events including number and type of attendees, actual costs, and evaluations from the attendees of the value and quality of the event.

(1) Meet with ERP staff as appropriate to review and evaluate training events, and suggest new topics, revised formats and delivery modes, etc.

Schedule: July 1, 2003 through June 30, 2006.

Deliverables: 1.Documentation and evaluation of training events as requested; attendance at meetings and/or conference calls as needed.

### 3. Representative

California Bay-Delta Authority Program Manager

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#### **4. Term**

The term of this Agreement shall be from July 1, 2003, through June 30, 2006. At least once each year prior to September 1<sup>st</sup>, an annual budget must be submitted to the CBDA and approved for the upcoming year. This budget shall specify the estimated number of proposal offerings, panels, reviewers, and related tasks for the upcoming year. The budget will also indicate the anticipated costs of all of those items in addition to the programmatic costs for maintaining staff, equipment, office space and related items for the Proposal Review Office.

#### **5. Payment**

The maximum amount payable under this agreement shall not exceed \$2,815,659 over the 3-year agreement.