



FOCUSED INVESTMENT PARTNERSHIPS

IMPLEMENTATION

Phase I Application: Instructions

GENERAL INSTRUCTIONS

1. Use Letter (8½" x 11") page size in your word processor (and in printing, for the mail-in option). All materials included with the application should be **single-spaced** wherever possible (**unstapled** and **unbound**, for the mail-in option).
2. Use an 11-pt type size to answer the questions and a 10-pt type size for tables. Use bullets where appropriate.
3. Avoid color and detail that will not photocopy clearly. Do not use color highlights for text emphasis or in tables because the highlight turns black when the application is scanned. Instead use **bold face** or *italics* for emphasis only.
4. Be sure to read and sign the Implementation Program Phase I Application Certification (p2).
5. **Refer to individual application sections for specific page length requirements.**

SUBMISSION OF IMPLEMENTATION PHASE I APPLICATION

Implementation Phase I applications must be submitted to OWEB by the deadline of July 1, 2015 via (1) mail or (2) email. OWEB will not accept an application that is part PDF and part hard copy.

Option 1 – Mail:

Send hard copy of application and all attachments to:

Attn: Gretchen Kirchner
Oregon Watershed Enhancement Board
775 Summer Street NE Ste. 360
Salem Oregon 97301-1290

Option2 – Email:

Email PDF of application and all attachments to:

gretchen.kirchner@state.or.us

IMPORTANT: The email subject line should read “FIP Implementation Phase I Application”.

Email applications must:

- Be compatible with Adobe Acrobat XI
- Have a maximum file size 20 MB
- Include one PDF document with text recognizable by the computer (not just an image). Use the “Save As” function in Microsoft Word and choose “PDF” from the “Save as type” drop-down menu. If your version of Word does not support PDF, use a conversion program (such as pdfonline.com) to do so.
- For the application Certification, include a second PDF attachment with signatures that is a scan of the originals

When OWEB receives your email, the system will send confirmation of receipt. **Applicants are responsible for checking whether they received confirmation of receipt by OWEB.** If you did not receive a confirmation email, please contact Gretchen Kirchner at 503-986-0105, or gretchen.kirchner@state.or.us.

Questions?

For assistance with submitting applications contact: Gretchen Kirchner, 503-986-0105, or gretchen.kirchner@state.or.us.

OWEB Staff Assistance

We encourage you to contact the program coordinator in your area for assistance in developing your proposal.

Central Oregon (Mid-Columbia region including the Deschutes basin) and Coast –
Juniper Davis, 503-986-0033 or juniper.davis@state.or.us

Willamette and Lower Columbia regions (Astoria to Hood River) –
Until May 26, 2015: Wendy Hudson, 503-986-0061 or wendy.hudson@state.or.us
Starting May 26, 2015: Eric Williams, 503-986-0061 or eric.williams@state.or.us

Klamath Basin, Southern Cascades, and Eastern Oregon –
Eric Hartstein, 503-986-0029 or eric.hartstein@state.or.us

Focused Investment Partnerships – Implementation Program

Your proposed Focused Investment Partnership **initiative** (hereafter called “**initiative**”) is the portion of your **strategic action plan** that is being proposed for Implementation funding through OWEB. The **initiative** may be part of your **strategic action plan**, or it may be the entire plan. The scope of the **initiative** is determined by the partnership and constitutes that portion of the **strategic action plan** that the partnership believes it can accomplish in the proposed timeframe with the available funding. **Initiatives** must address an OWEB Board-approved Priority of significance to the state. **Initiatives** will also demonstrate clear and measurable **ecological outputs and outcomes** that support limiting factors outlined in a federal recovery and/or state conservation plan(s).

A Focused Investment Partnership initiative is an OWEB investment that:

- Addresses a Board-identified Focused Investment Priority of significance to the state;
- Achieves clear and measurable *ecological outcomes*;
- Uses integrated, results-oriented *approaches* as identified through a *strategic action plan*;
- Is implemented by a high-performing *partnership*.

This **Implementation Phase I application** will address partnership capacity and strategic action planning for the proposed **initiative**. Responses to this application will help the OWEB Board understand the strength of the partnership and its plans for implementation.

IMPORTANT: All prospective applicants for Focused Investment Implementation must consult with OWEB staff before submitting a Phase I Implementation application. The purpose of the consultation is to give staff a clear understanding of the readiness of the partnership to implement a focused investment partnership initiative and to meet the goals of the program. This also offers applicants an opportunity to receive guidance on eligibility and the application process, as well as feedback on the proposed Implementation initiative.

Consultations must be scheduled by May 6, 2015, and all consultations must be completed by May 20, 2015. Partnerships that do not complete a consultation during this period will not be eligible to apply for Focused Investment Implementation funding. Contact Gretchen Kirchner (gretchen.kirchner@state.or.us) to schedule a consultation. Contact Renee Davis (renee.davis@state.or.us) with questions regarding this process.

Definitions (in bold throughout the application)

Core Partners – Core partners are defined as those who will bring substantial staff and/or resources to the partnership and will lead the implementation effort.

Strategic Action Plan – The strategic action plan is the partnership’s best articulation of your aspirations over the long term and what will be required to achieve ecological uplift in your area. In essence, the strategic action plan will serve as the road map, or blueprint, for the partnership’s restoration activities.

Initiative – The *initiative* refers to the program that the partnership will pursue with Focused Investment Partnership funding support. The *initiative* must address a Board-approved Priority and be outlined in the partnership’s **strategic action plan**. The *initiative* may account for the entirety of the **strategic action plan**, but more likely it will encompass a focused area within the partnership’s geography.

Restoration Actions – Actions refer to ecological restoration treatments that have specific aims, such as juniper treatment, culvert replacement, fish passage enhancement, or acquiring interest in land or water. Restoration actions contribute to producing **ecological outputs**, which in turn generate **ecological outcomes**.

Ecological Outputs – Outputs consist of the specific, measurable products or yields resulting from a **restoration action** or series of actions. Ecological outputs are typically achieved in the near term. For instance, outputs may include (but are not limited to) the total cfs restored to instream flow, the number of stream miles restored, the number of plants employed in re-vegetation, fish barriers removed, or fish screens installed. Collectively, ecological outputs contribute to positive changes in ecological process and function that lead to the achievement of **ecological outcomes** over the long term.

Ecological Outcomes – Outcomes constitute the broader vision of ecological uplift that may be attained through the achievement of an **ecological output** or collection of outputs. Ecological outcomes are typically achieved over the long term. Outcomes may include (but are not limited to) water quality improvement, habitat connectivity, fish passage and reintroduction, and fish population increases.

Budget Overview

Focused Investment Implementation funding is guided by the following parameters:

- The OWEB Board will seek to balance Focused Investments funding each biennium. Therefore, partnerships may be asked to adjust and/or reduce their budgets to an average of \$2M for each biennium of the *initiative*, so that across all *initiatives* the average investment is \$2M in a single biennium. Partnerships are encouraged to consider such adjustments while strategizing their *initiative*’s budget and work plan.
- Maximum funding duration will be three biennia (six years) for an *initiative*.
- Maximum funding will be \$4M/biennium for an *initiative*.
- Grantees must provide at least 25% match funding (cash or in-kind) for each project under the awarded *initiative*.

APPLICANT INFORMATION

1. What is the name of your partnership?

The name of the partnership should be used on all related applications, correspondence, and/or agreements. Try to keep names to five words or fewer.

2. What is the name of your proposed initiative?

The name of the initiative should be used on all related applications, correspondence, and/or agreements. Try to keep names to five words or fewer.

3. What is the name and contact information for the main point of contact within the partnership that is responsible for communication with OWEB on details related to this grant application?

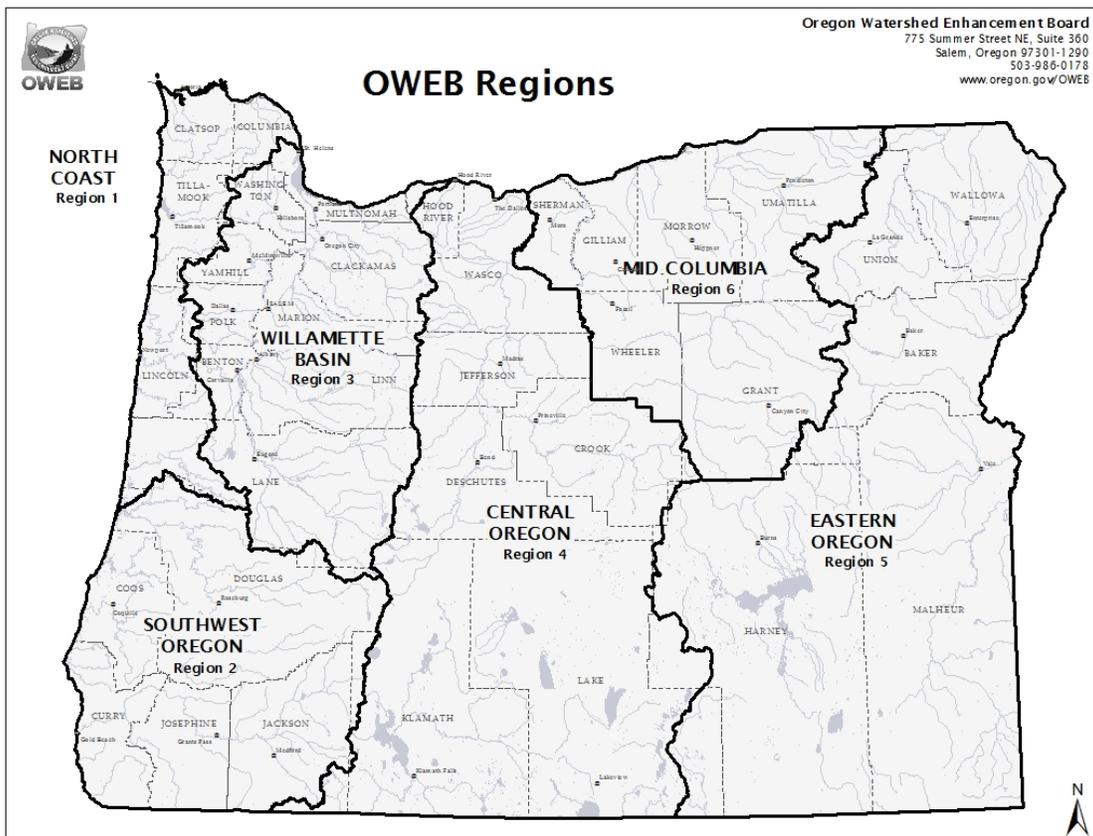
Provide the above information. This person will be the main point of contact between OWEB staff and the partnership.

4. What is the name and contact information for the fiscal agent of the partnership?

Provide the above information.

5. Indicate the OWEB region in which the partnership operates.

Check the region(s) in which the Capacity-Building funding will be used. Check all regions that apply. Use the OWEB Regions Map below to locate your OWEB region.



REQUIRED ATTACHMENTS

Attach the following to this Phase I application:

- 1) One **letter of participation** on the applicant's letterhead that includes the authorized signature(s) from each **core partner** affirming their commitment to participate throughout the proposed grant period.
- 2) **Color map(s)** that illustrates the geographical boundary and major features of the proposed *initiative* for OWEB funding.
- 3) A completed *draft* (not necessarily a final version) of the partnership's **strategic action plan**.
- 4) Formal agreement documents. See question 9 in the Application Questions section.

Certification: As the applicant, you must sign this certification.

Regardless of who wrote the application, it must be signed by the main point of contact for the partnership identified in Question 3 above. By signing, the main point of contact certifies that all the information accurately reflects the partnership, and that the partners are prepared to pursue the work as presented in the application.

INITIATIVE SUMMARY

1. Initiative Summary

Upon completing your application, write a brief **initiative** summary (**200 words or fewer**). Organize the summary to address the following four points (see example below):

- Identify all core partners
- Identify the partnership's ecological outcomes
- Briefly state what the partnership intends to do with Implementation funding, and
- State how the goals of the Implementation funding align with the OWEB Board-approved Focused Investment Priorities.

Your summary is an overview of these points and is used by OWEB as a reference for the partnership and application. It is recommended that applicants complete this Initiative Summary following the completion of the application questions.

Example (152 words):

- *The Oregon Partnership consists of four core partners – ABC Land Trust, XYZ Watershed Council, LMN Soil and Water Conservation District, and the USDA Forest Service. All who have extensive experience operating in the Oregon Watershed and possess the resources necessary to implement programmatic conservation work.*
- *Ecological outcomes identified by the partnership include improved fish passage and water quality in the Oregon Watershed to support the recovery of several listed resident and anadromous fish species.*
- *The partnership will pursue a small dam removal, strategic culvert replacements, and comprehensive fish screening at irrigation diversions to enhance fish passage in the watershed. The initiative will also include pre- and post- monitoring efforts in critical stream reaches in the watershed.*
- *The goal of the proposed initiative is to support restoration of priority streams in the Oregon Watershed, which in turn, will address the OWEB Board's Focused Investment Priority for Inland Aquatic Habitat for Native Fish Species.*

2. Is this initiative a continuation of previous OWEB Focused Investment Partnership funding (Capacity-Building or Implementation)?

Provide the information requested.

3. What are the proposed start and end dates for this initiative?

Show the proposed start and end dates for the Implementation *initiative*.

4. Budget Overview

In the table provided indicate *estimated* funding requested for the partnership's Implementation initiative. **Funding estimates should be rounded to the nearest \$10,000.** At this point, OWEB staff and reviewers recognize that more detailed funding information may not be available. This table is intended to provide staff and reviewers with a sense of the scale of the project and potential overall funding request. If applicants are invited to apply for the Implementation Phase II Application, detailed budget information will be requested at that time.

APPLICATION QUESTIONS

Answer the following questions in *12 pages*:

OWEB Board-Approved Priority

1. Identify the OWEB Board-approved Priority(ies) that the proposed *initiative* will address.

This answer should:

- Check all that apply. Implementation funding is required to address the OWEB Board-approved Priority(ies).
- *Note: Indicating that your proposal addresses multiple Priorities does not make your proposal more competitive. The OWEB Board is interested in how well the proposal addresses the Priority(ies), not the number of Priorities that are addressed.*

2. Explain how the measurable ecological outcomes that the proposed *initiative* seeks to accomplish address the Board-approved Priority(ies). If the proposed *initiative* addresses more than one Priority, describe the primary benefits of the desired ecological outcomes for each Priority (i.e., the *initiative* is intended to address Priority A, but the ecological outcomes *also* benefit Priority B).

This answer should:

- Explain how the vision and goals of the partnership's restoration program will accomplish the **ecological outcomes** related to the Board-approved Priority that the partnership seeks to address.
- Demonstrate how the programmatic restoration *initiative* follows an ecosystem approach that benefits the natural resource issue to be addressed in broad terms as opposed to a specific species focus.
- *Note: Indicating that your proposal addresses multiple Priorities does not make your proposal more competitive. The OWEB Board is interested in how well the proposal addresses the Priority(ies), not the number of Priorities that are addressed.*

3. Why are these ecological outcomes important to the Board-approved Priority(ies)? Why should these ecological outcomes be prioritized over other potential outcomes in addressing the Board-approved Priority(ies)?

This answer should:

- Demonstrate that the desired **ecological outcomes** in the proposed *initiative* are relevant and important to the OWEB Board-approved Priority(ies) they seek to address.

Overview of the Initiative

- 4. Describe the *initiative*. This narrative should include the partnership’s vision and goals, a statement of the *initiative*’s desired ecological outputs and outcomes as part of the strategic action plan, and an explanation of why the partners have at this time prioritized this *initiative* over other potential initiatives in the strategic action plan (unless the partnership is proposing to address the entire strategic action plan area). Additionally, reference the recovery, conservation, and/or other key plan(s) and describe the relevant limiting factors that the *initiative* will address.**

This answer should:

- Demonstrate the strength of the partnership’s capacity to implement the proposed *initiative*.
- Describe how the goals of the *initiative* will accomplish progress towards local, state, regional, and/or federal restoration priorities.
- Demonstrate that the partnership’s proposed *initiative* is operating at the appropriate scale relative to the guidelines of the Implementation program.
- Demonstrate that the proposed **ecological outputs** and desired **ecological outcomes** are at the appropriate scale relative to the Implementation program.
- Illustrate that the partnership is ready to implement a programmatic restoration *initiative* at this scale.

- 5. Provide a synopsis of the timeline for implementation of the *initiative*, including the total funding request and potential match funding source(s) and their contribution(s) per biennium.**

This answer should:

- Consider using a table that outlines the major steps of the *initiative*.
- Feature a timeline that is realistic and demonstrates that the appropriate steps and funding distribution over the course of the *initiative* have been addressed in order to achieve the goals of the *initiative*.
- Demonstrate that the sequence of **restoration actions** is appropriate for achieving the goals of the *initiative*.
- Highlight interim milestones through the progression of the *initiative*.

The Partnership

- 6. Describe the lessons learned of individual core partners working in other partnerships and in partnership together, including current and past partnerships (it is not necessary to list the members of each partnership discussed).**

This answer should:

- Illustrate that the partnership includes the ‘right’ partners to meet its objectives.
- Describe the degree of each individual partner’s capacity to work in a collaborative partnership.
- Reflect the partner’s ability to apply lessons learned from past experiences.
- Demonstrate that the partnership is equipped to manage restoration efforts on the programmatic scale on a long-term basis.
- Demonstrate that the partnership has had success in the past in conducting collaborative restoration efforts.

7. How do the goals of Implementation funding relate to the core partners' partnership experiences in the past? How do the goals of Implementation funding relate to the current experience of working in partnership together?

This answer should:

- Demonstrate the partnership history and formal commitment and trust among partners.
- Explain why and how the current core partners were decided upon.
- Demonstrate an understanding of each partner's capacities.
- Demonstrate a balance among the capacity and resources that each partner is able to bring to the partnership.
- Demonstrate leadership within individual organizations and among the partnership.
- Demonstrate the degree to which each individual partner has a history of commitment to the restoration goals as well as a collective vision of the partnership and the specific goals of the proposed *initiative*.

8. Explain how this partnership includes the right partners (core and other) to successfully implement the *initiative*? What partners and/or capacity are missing from the partnership and how do you propose to fill the gap(s)?

This answer should:

- Describe how each of the core partners demonstrates a relationship to the ecological issues in their area.
- Demonstrate that the partnership includes the 'right' partners to meet its objectives.
- Demonstrate the degree to which the partnership has conducted strategic thinking toward the implementation of projects under the scope of the *initiative*.
- Illustrate that the partnership reflects a diversity of partners that aptly represents the community(ies) in which the *initiative* will occur.
- Demonstrate the long-term sustainability of individual partners and the partnership.
- Demonstrate that the partnership has assessed all partners' strengths and limitations and individual partners are clear on their roles and specific niches so that there will be no duplication of efforts.

9. Implementation grants seek partnerships that have clearly defined implementation roles and responsibilities among partners. Summarize the substance of the partnership's formal agreement document(s) (e.g., memorandum of understanding, management plan, or other guidance document) and explain what the document(s) does for the partnership. Attach the fully executed document(s) to this Phase I application.

This answer should:

- Demonstrate how the partnership will avoid overlap and duplication of efforts and sort out appropriate institutional niches, implementation roles, and accountability among for responsibilities.
- Demonstrate that each partner has clear roles and responsibilities and accountability for both.
- Describe how the partners will provide for technology and knowledge transfer between partners and through key staff turnover.
- Describe the process by which a common vocabulary and communication norms has developed from continuous communication within the partnership.
- Demonstrates leadership within organizations and among the partnership.
- Illustrates that partnership infrastructure is in place and operating effectively.

10. Describe the partnership’s decision-making process to identify and select priority restoration actions, ecological outputs, and ecological outcomes.

This answer should:

- Demonstrate the partnership is ready to take action under the proposed *initiative*.
- Demonstrate that the proposed *initiative* is ripe for **restoration actions**.
- Describes how the partnership has the ability to overcome territoriality in geographies or technical expertise.
- Demonstrate that the partnership is self-sufficient in determining the best strategies for pursuing **restoration actions** and achieving the proposed **ecological outputs**.

11. What is the administrative structure and process that the partnership will use to coordinate and manage projects on the ground and maintain individual partner accountability for implementation?

This answer should:

- Demonstrate that the partnership has a strong infrastructure in place to guide the coordination of **restoration actions** and maintain accountability for those actions.
- Demonstrate that the partnership has appropriate methods in place to manage and share data, logistics, and other planning and execution details for the proposed *initiative*.

12. Explain how the partnership is equipped to budget and manage programmatic restoration funding within the partnership. Describe the partnership’s capacity to leverage funds over the duration of the Focused Investment Partnership funding commitment?

This answer should:

- Demonstrate the partnership’s capacity to procure leveraged funding.
- Demonstrate that the partnership has the capacity to leverage funding for continued implementation beyond the *initiative* funding period.
- Illustrate the degree of funding support that the proposed *initiative* is receiving from sources other than OWEB, as well as the partnership’s commitment to the *initiative* effort.