



Sites Project Authority

Final Strategic Plan

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Prepared by

The Catalyst Group



Final Strategic Plan

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Introduction

The Sites Project Authority (Authority)¹ is in an important transition—from a consortium developing a project funding proposal to a diverse partnership owning and managing \$3.5 billion of water infrastructure. The Authority’s mission, vision, values, goals, and objectives are important guides to ensure this transition is thorough and efficient—the right things, done in the right way.

Figure 1 - Strategic Plan Framework²



The mission, vision, values, goals, and objectives described in this strategic plan define the organizational priorities for the next three to five years. The contents of this plan were reviewed and refined at a joint workshop of the Authority Board and Reservoir Committee on August 13, 2020. The vision, mission, values, and goals were approved in September 2020. Staff developed the action plans for the highest priority activities with ad hoc work groups through fall 2020.

This strategic plan is intended to be a living document that evolves and adapts as progress is made, objectives are achieved, and circumstances change. The project participants intend to

¹ Throughout this document, “Authority” refers to the entire organization, including the participants as represented on the Authority Board of Directors and Reservoir Committee and agents.

² Graphic adapted from Territory.co

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incorporate concepts described here into Authority activities, work plans, timelines, reporting, and decision-making.

The collaborative planning approach among the Authority Board and Reservoir Committee (as applied to the value planning and strategic planning processes) has proven to be effective for developing relationships among the participants. The participants expect to continue and expand the partnership in the next several years to incorporate federal and state participation.

Building a 21st Century Water Partnership

The Sites Project Authority is a unique partnership among local government and water managers to plan, build, and operate a new, off-stream reservoir to serve the needs of California. In 2010, county leaders and water managers in the Sacramento Valley formed the Authority to assume planning responsibility for the Sites Reservoir Project. This small group of leaders solicited project participation from other water agencies across California while maintaining a strong partnership with the federal Bureau of Reclamation (Reclamation) and California Department of Water Resources (DWR).

Today, the Authority is a diverse partnership of like-minded leaders who share a common vision of the future of water management in California—putting the state’s limited water resources to best use for people and the environment to respond to natural system needs, growing populations, and a changing climate. The participants represent agricultural and urban water users, landowners, households, and businesses in northern, central, and southern California. They have collaborated to earn initial state and federal funding approvals for the most significant water infrastructure investment in California in nearly four decades.

Now, the work continues to negotiate and secure the agreements and permits to bring the project to fruition. The collaboration that has brought the project to this point will expand to include funding and operations agreements with the California Department of Fish and Wildlife (CDFW), DWR, and Reclamation. That partnership would be the first of its kind in California where state wildlife managers would own water storage for the environment.

Communications, Relationships, and Collaboration

Communications and collaboration will be the foundation of efforts to negotiate the myriad of agreements and permits to build and operate Sites Reservoir. This strategic plan focuses Authority activities on the priority goals and objectives to build and expand the partnership and secure agreements. While there is no specific goal for communications and collaboration in the strategic plan, each objective will incorporate strategies to build relationships, collaborate, and negotiate the agreements and permits that are critical for success.

As the Authority implements the strategic plan, the audiences, participants, and collaboration approaches will be tailored to each objective and implementation strategy. As those elements are defined, progress reports on communications, relationships, and negotiations status will be incorporated into staff reporting and Board and Reservoir Committee decision-making.

Section 1. Mission, Vision, Values, & Goals

OUR VISION

Affordable water sustainably managed for California’s farms, cities, and environment for generations to come.

OUR MISSION

The Sites Project Authority will build and operate a climate-resilient, 21st Century water storage system to responsibly manage and deliver water, improve the environment, and provide flood control and recreational benefits.

OUR VALUES

To fulfill its mission, the partners and staff of the Authority uphold these central values:

- **Safety.** Design, construction, and operation of the reservoir will satisfy all federal, state, and local requirements and exceed standards for public safety and security.
- **Trust and Integrity.** The Authority is committed to operating with integrity, thoughtful information and analysis, and open and transparent communications and decision-making.
- **Respect for Local Communities.** The Authority recognizes the significant contributions of local Sacramento Valley landowners and communities and will be a respectful, supportive partner and be a good neighbor throughout the project.
- **Environmental Stewardship.** The Authority views itself as a partner with the environment with a firm duty to act as a responsible steward of natural resources.
- **Shared Responsibility for Shared Benefits.** Decisions and actions will rely on a collaborative, inclusive approach that honors, balances, and leverages the active roles and contributions of partners, Tribes, stakeholders³, and ratepayers.
- **Accountability and Transparency.** Efficiency, fiscal responsibility, equitable cost allocation, and transparency will guide the decisions, expenditures, communications, and activities of the Authority.
- **Proactive Innovation.** A nimble, responsive culture will be cultivated to provide innovative solutions in delivering the reservoir’s multiple benefits over the next century and beyond.
- **Diversity and Inclusivity.** In carrying out its mission, the Authority will foster inclusion, respect, and appreciation for the state’s diverse demographics and geographies to create a project serving all of California.

³ Stakeholders include those with an interest in or affected by the Sites project, including government agencies, landowners, business and non-governmental organizations, and others.

OUR GOALS

The Authority is committed to achieving these overarching goals and objectives in building and operating a 21st Century reservoir that will serve water needs throughout the state:

Goal 1. Affordable: Secure Commitments for Project Funding

- A. Agree on water storage and supply services contracts with local agency participants and secure project financing.
- B. Secure a final funding agreement with the California Water Commission for the remainder of the \$775 million conditionally approved for the project in July 2018.
- C. Secure federal funding from the WIIN Act and other sources.

Goal 2. Permittable: Secure the Agreements and Permits Necessary to Build and Operate a Multi-Benefit Reservoir

- A. Negotiate final operations agreements with federal, state, and local partners.
- B. Complete environmental review and secure permits for construction and operation.
- C. Complete Tribal, landowner, and local agency agreements.

Goal 3. Buildable: Complete Facilities Designs that Efficiently Manage Risks and Achieve Affordability Criteria

- A. Complete feasibility-level design and provide construction and operations costs certainty.
- B. Complete final design, value engineering, and risk management plan.
- C. Complete construction and operational commissioning.

Goal 4. Effective: Strengthen the Organization as Owner of a \$3.5 Billion Project

- A. Delegate decision responsibilities and clarify working relationships to secure project approvals and agreements.
- B. Develop and define the organizational culture, values, and management approaches.
- C. Develop governance structures and staffing plans for future phases.

Figure 2 - Strategic Goals & Objectives



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Priorities and Next Steps

The following categories prioritize the project objectives for further Board and Reservoir Committee discussion and direction to achieve the mission.

Priority 1 – Immediate Need for Further Discussion and Agreement on Approach, Roles, and Timing

The Authority Board and Reservoir Committee developed specific action plans for these high priority objectives (Section 4).

- 1A. Agree on water storage and supply services contracts with local agency participants and secure project financing.
- 2B. Complete environmental review and secure permits for construction and operation.
- 4A. Delegate decision responsibilities and clarify working relationships needed to secure project approvals and agreements.

Priority 2 – Necessary Activities to Advance the Project

These objectives will continue with Board and Reservoir Committee oversight.

- 1B. Secure a final funding agreement with the California Water Commission for the remainder of the \$775 million conditionally approved for the project in July 2018.
- 2A. Negotiate final operations agreements with federal, state, and local partners.
- 2C. Complete Tribal, landowner, and local agency agreements.
- 3A. Complete feasibility level design and provide construction and operations costs certainty.

Priority 3 – Important Activities to Advance the Project and Prepare for Future Phases

These objectives are important to continue developing and will be incorporated into action plans as necessary.

- 1C. Secure federal funding from the WIIN Act and other sources.
- 4B. Develop and define the organizational culture, values, and management approaches.
- 4C. Develop governance structures and staffing plans for future phases.

Priority 4 – Future Work

These objectives will be implemented in future phases.

- 3B. Complete appropriate level of design for project delivery method, conduct value engineering, and put construction risk control measures in place for construction.
- 3C. Complete construction and operational commissioning.

The Authority agents and consultants developed the action plans described in Section 4 to refine the Priority 1 and 2 objectives and align workplan activities and reporting. As these action plans are implemented through 2021, the Agents and select consultants will work with the Board and Reservoir Committee coordinating committees to develop a plan of action and schedule for the Priority 3 activities.

Section 2. Goals and Objectives

The Authority's mission is to build and operate a project that serves the water needs of California. This section describes the high-level goals that must be accomplished to achieve that mission and the strategies for achieving those goals. To build and operate a new reservoir in the Sacramento Valley, the Authority must achieve these goals:

1. Secure funding commitments.
2. Obtain operating agreements and permits for construction and operations.
3. Design and build cost-effective facilities.
4. Establish an effective organization to plan, build, and operate the project.

Shaping the strategies to achieve these goals requires an understanding of the major milestones and deadlines that establish the project timeline, and therefore the priorities for Authority actions and decisions. The high-level phases and target dates can be described as follows.

Phase 1. Initial Participation Commitments – November 2016 through March 2019

Phase 2. Project Feasibility and Funding – April 2019 through January 2022

- Federal Feasibility Eligibility – December 2020
- Proposition 1 Funding Commitment – January 2022
- Interim Financing Agreement – January 2022

Phase 3. Design, Permits, Agreements, and Construction Financing – January 2022 through December 2023

Phase 4. Construction – 2023 through 2030

Phase 5. Project Operations – 2029 and beyond

The following goals and objectives describe the Authority's highest priorities for implementing its mission and achieving its vision through Phase 3.

Goal 1 –Secure Commitments for Project Funding

Between now and the initiation of construction, the Authority must negotiate agreements to secure funding and financing for design, construction, and operation of the project. Three funding sources are planned for the project: (1) funding from water districts that receive water supply reliability benefits from the project (local agency participants); (2) State of California funding under the Proposition 1 Water Storage Investment Program (WSIP); and (3) federal funding through the Water Infrastructure Investments for the Nation (WIIN) Act of 2016 or other sources. Each of these funding sources define the following objectives.

Objectives

A. Agree on water storage and supply services contracts with local agency participants and secure project financing.

The Authority was formed to establish a mechanism for local agency participants to develop and finance the reservoir project. Since 2016, the participants have provided funding for project planning and design, including additional funding in 2020 for work through December 2021. Beyond that date, funding agreements are needed with each participant for final design and permitting and construction financing. These agreements are expected to be in the form of an interim financing agreement and water storage and supply services contracts. The relevant activities and milestones for this objective include:

1. Update the Storage Policy. (November 2020)
2. Update and refine cost estimates and affordability analysis. (September 2021)
3. Develop Plan of Finance. (November 2021)
4. Advance toward environmental permit certainty and draft permit applications (from Goal 2).
5. Identify and manage risk and liability issues (from Goal 3).
6. Develop interim financing agreement. (November 2021)
7. Develop water storage and supply services contracts. (terms November 2021, full agreements 2023)

B. Secure final funding agreement with the California Water Commission.

The State of California is a critical partner in the Sites Reservoir through WSIP. In July 2018, the California Water Commission (CWC) granted conditional approval of \$816 million for the project, including \$41 million of early funding for design and permitting. By January 1, 2022, the Authority must meet the funding eligibility criteria, confirm the quantification of public benefits, and secure a funding commitment from the CWC at a final award hearing. Following that, the Authority must negotiate public benefits contracts DWR and CDFW. The relevant activities and milestones for this objective include:

1. Complete Sites Feasibility Report to complete Proposition 1 requirements. (September 2021)
2. Draft environmental documents available for public review (from Goal 2).

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3. Funding commitments for 75% of the nonstate cost share (November 2021).
4. Update and refine cost estimate and benefits analysis to determine maximum eligibility (from Goals 2 and 3).
5. Completed federal, state, and local permit approvals (from Goal 2).

C. Secure federal funding from the WIIN Act and other sources.

The Authority has received federal authorization and funding through the WIIN Act for project planning and development. The Authority has also secured a loan from the U.S. Department of Agriculture (USDA) for project development costs. The Authority is seeking additional federal funding for project construction and operations through the WIIN Act. To secure that funding, the Authority must reach agreement with Reclamation on the quantification of federal benefits, complete and gain approval of the federal feasibility report, and receive federal appropriations of funds for project construction. The Authority will also explore additional or alternate sources of federal funds. The relevant activities and milestones for this objective include:

1. Recirculate Draft EIR for public comment, proactively engage stakeholders, develop responses to comments to support environmental feasibility determination (from Goal 2).
2. Prepare and submit Final Federal Feasibility Report. (December 2020)
3. Develop federal participation model to be applied to the project.
4. Establish terms and conditions for a long-term operating partnership.

Relationship to Other Goals

Accomplishing the goals and objectives for funding and financing the project is closely related to activities in the other strategic goals. Goal 2 provides critical information regarding project operations and benefits, as well as progress and certainty on project permitting and approvals and the local commitments and agreements to secure land and support services for the project. Goal 3 provides critical information on cost and cost allocation for facilities, land acquisition, construction, mitigation, and operations and maintenance as well as management approaches for project risks. Goal 4 provides important information regarding the Authority structure and decision-making to support and manage project funding and financing agreements through the life of the project.

Goal 2 – Secure the Agreements and Permits Necessary to Build and Operate a Multi-Benefit Reservoir

The Authority will develop three types of agreements to build and operate the reservoir and associated facilities: operations agreements; environmental compliance permits; and agreements with Tribes, landowners, and local agencies. The Authority will take the lead role in convening and supporting these negotiations, identifying issues for resolution, and securing agreements, permits, and commitments. Strong relationships and partnerships with Tribes, landowners, and local, state, and federal agencies are critical for achieving this goal.

Objectives

A. Negotiate final operations agreements with federal, state, and local partners.

The Authority must negotiate agreements with Reclamation and DWR to document how Sites Reservoir operations will be coordinated with Central Valley Project and State Water Project operations. Further, the Authority must develop usage agreements with local facility owners where reservoir operations will use facilities not owned by the Authority, including the Tehama Colusa Canal, Glenn-Colusa Canal, and Colusa Basin Drain. Securing these operational agreements is foundational for determining project benefits for all users. The relevant activities and milestones for this objective include:

1. Improve definition of SWP/CVP exchange, including Operations Plan.
2. Develop Operating Agreement Term Sheets with: DWR, USBR, TCCA, GCID, Colusa Basin Drain (CBD) entities, landowners, and organizations.

B. Complete environmental review and secure permits for construction and operation.

The Authority must secure numerous federal, state, and local permits to build and operate Sites Reservoir. Completing the environmental review process is a necessary predecessor activity for securing most permits. The environmental purpose and benefits of the project are foundational for securing many of the project permits, particularly water rights and diversion permits. The relevant activities and milestones for this objective include:

1. Project Description, Objectives, and Alternatives.
2. Recirculate Draft EIR for public comment, proactively engage stakeholders, develop responses to comments to support environmental feasibility determination.
3. Secure environmental permit certainty and draft permit applications.
4. Enhance landowner, stakeholder & NGO engagement.

C. Complete Tribal, landowner, and local agency agreements.

The Authority has developed strong, constructive relationships with Tribes, landowners, and local agencies. During the final stages of project development, the Authority will continue coordination with these governments and stakeholders to prepare commitments and agreements, including land purchase agreements, as necessary. The relevant activities and milestones for this objective include:

1. Enhance Tribal, landowner, stakeholder & NGO engagement.
2. Negotiate agreements and commitments.
3. Real estate acquisition.

Relationship to Other Goals

Accomplishing the goals and objectives for permitting and operating the project is closely related to activities in the other strategic goals. Goal 1 provides critical information regarding funding and financing to secure project benefits. Goal 3 provides critical information on facilities design to inform project operations planning and landowner agreements and cost allocation to reimburse local facilities owners. Goal 4 provides important information regarding the Authority structure and decision-making for managing project operations and meet operational commitments.

Goal 3 – Complete Facilities Designs to Manage Risks & Achieve Affordability Criteria

The Authority will continue to advance and refine the facilities design and cost estimates to inform funding agreements (Goal 1) and operations agreements and permits (Goal 2). This work builds on the results of the Value Planning effort. The progressive development of design details establishes the objectives for Goal 3.

Objectives

A. Complete feasibility level design and provide construction and operations costs certainty.

Completing the feasibility-level project design for the revised project is a critical activity for accurately estimating costs and establishing cost allocation in support of the funding agreements identified in Goal 1. The relevant activities and milestones for this objective include:

1. Feasibility level design and cost estimates.

B. Complete final design, value engineering, and risk management plan.

Before construction financing and construction bids, the Authority will complete final project design as determined by the selected project delivery method. The Authority will also complete value engineering and develop a management plan for the risks associated with project construction and operations. The relevant activities and milestones for this objective include:

1. Final design and risk management plan.

C. Complete construction and operational commissioning.

During the construction phase, the Authority will complete design and construction oversight to ensure a safe, cost-effective facility for operations.

Relationship to Other Goals

Accomplishing the goals and objectives for facilities design and risk management is closely related to activities in the other strategic goals. Goal 1 provides critical information regarding funding and financing to pay for design, construction, and operations. Goal 2 provides important information from operations partners and landowners. Goal 4 provides important information regarding the Authority structure and decision-making for managing the project through design, construction, and operations.

Goal 4 – Strengthen the Organization as Owner of a \$3.5 Billion Project

The planning, design, construction, and operation of a \$3.5 billion reservoir system is a substantial undertaking. The Authority is in an important transition from a consultant-led project development process to an owner-led infrastructure investment program. The Authority must evolve through the project development phases and grow its capacity to lead the program and manage the activities, risks, finances, and operations. The following objectives contribute to Goal 4.

Objectives

A. Delegate decision responsibilities and clarify working relationships to secure project approvals and agreements.

In the past year, the Authority Board and Reservoir Committee have improved coordination, communications, work planning, and decision-making processes. Further clarification is needed for key decisions and responsibilities through project design, permitting, and approval. These clarifications can identify specific opportunities for joint work among the Board and Reservoir Committee and delegation of decisions to improve efficiency. Further, this work can inform development of governance changes for future phases to be developed in Objective C.

B. Develop and define the organizational culture, values & management approaches.

This strategic plan establishes a common purpose and direction for the Authority. Ongoing work is needed to build on the culture of collaboration among the existing Board members and local agency participants to define and expand the organization culture, work behaviors, and management policies. Clarifying and strengthening these activities will deepen the common purpose and expand it to include new and developing partners.

C. Develop governance structures and staffing plans for future phases.

The Authority Board and Reservoir Committee recognize that the Authority must grow and evolve through the phases of planning, design, construction, and operations. New or different governance structures and decision processes may be needed to manage funding and operations. Recognizing this need, the Authority will identify and evaluate governance options, project delivery modes, and staffing needs for future phases.

Relationship to Other Goals

Developing the Sites Project Authority as the owner and operator of the Sites Reservoir is closely related to activities in the other strategic goals. Goal 1 provides the critical partnerships and funding to support the Authority and its decision-making. Goal 2 provides important information from operations partners and landowners, some of whom will be important decision partners during project operations. Goal 3 provides critical information regarding facilities design, management, and maintenance for Authority decision-making.

Section 3. Challenges and Opportunities

Discussions at the August 13 strategic planning workshop identified the following high-priority challenges and opportunities for advancing the Sites Reservoir project and strengthening the Authority.

Goal 1 – Project Funding

For Goal 1, it will be important to consider the varied needs and financing capacities of project participants. Discussions over the next 13 months must explore funding and financing mechanisms to accommodate these differences and maintain project affordability for all participants. An internal project water market is one suggested mechanism to increase affordability.

Plan of Finance. The Plan of Finance will document the mechanisms and agreements that will provide interim and long-term funding and financing for the project from local agency participants, the State of California, and the federal government. The discussions to develop the Plan of Finance must consider and resolve these issues:

1. The amount to be raised in the next round of funding.
2. Refined facilities and operating costs.
3. Fair allocation of costs and risks to beneficiaries.
4. Mechanisms to maintain project affordability for all participants.
5. The financing mechanism for the next round and beyond.
6. Repayment and water storage and supply services contract terms.

Local Agency Participant Commitments. Local agency participant commitments are necessary to secure at least 75% local participation, as required by the WSIP program for state funding, and to ensure a viable, affordable project. Securing these commitments will include these issues:

1. Identification of the specific assurances for local agency participation and decision-making needs for each participant.
2. Clarification of the CWC requirements, including 75% local participation requirement.
3. Updated storage policy.
4. Refinement of project water supply deliveries and any related uncertainties.
5. Progress on project permitting and approvals to reduce uncertainty.
6. Identification and management plans for project risks and uncertainties.
7. Coordination on any unique repayment requirements for participants (e.g., State Water Contractors who are participating in Sites will need to negotiate agreements with DWR and the other State Water Contractors)
8. Certainty about the federal involvement and commitment to being a permitting and operations partner with the Authority.

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Public Benefits. Securing state and federal funding requires further analysis and updating of the public and federal benefits that can be achieved with the project. Quantifying these benefits is directly related to activities in Goal 2 and includes these issues:

1. Clarification of CWC deadlines and requirements to guide discussions and deliverables to secure the Proposition 1 funding commitment and subsequent contracts with the State.
2. Updated quantification and valuation of environmental, flood control, and recreation benefits.
3. Clarification regarding state funding for the state's share of operations and maintenance costs.

Federal Funding. Federal funding participation in the project remains an uncertain issue for the Authority. There are varied views among the project participants regarding the availability, viability, and likelihood of federal funds for the project. The issues and activities related to federal funding include the following:

1. Updated federal benefits through the federal feasibility report.
2. Identification of potential federal funding availability through the WIIN Act, the Water Infrastructure Finance and Innovation Act (WIFIA), and other grants and loans.
3. Incorporation of potential federal funding opportunities into Plan of Finance.

Goal 2 – Permits and Agreements

Negotiating the agreements and permits to build and operate the reservoir will result from expanding a balanced communications approach with key federal, state, and local partners—building collaborative partnerships with agency staff and landowners to secure shared benefits and leveraging the broad and diverse policy and political support to advance project approvals in a timely manner.

Project Benefits. A clear description and analysis of the operational benefits, particularly for the environment, is foundational for securing permits and operations agreements. State and federal agencies are important partners in the benefits for the environment and in the permitting processes to construct and operate the project. The important issues that shape the permitting strategy and develop operations agreements include the following:

1. Refinement of project operations to determine environmental benefits and CVP and SWP operations benefits.
2. Joint discussions among permitting and recovery staff at state and federal resources agencies.
3. Mechanisms to incorporate collaborative, defensible science.

Collaborative Approach. Success of the Sites Reservoir project to date has been built on a collaborative approach with partners. The project participants intend to further expand this partnership through the following approaches:

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1. Joint development of operating principles and agreements for the environment with CDFW, DWR, and Reclamation.
2. A shared benefit approach to state and federal permitting processes, including water rights, water diversion, and species and habitat permits.

Schedule and Timing. Various approval deadlines for project funding and financing establish an urgency for project permits and local agreements. The project participants intend to leverage the diverse policy and political support for the project to keep the project on schedule:

1. State support for the project as part of the Governor's Water Resilience Portfolio.
2. Bipartisan congressional support for expanding multi-benefit, off-stream water storage for California.
3. Local support for water supply resilience and economic security.

Local Relationships. Relationships with Tribes, local landowners, and facilities owners are equally important to the success of the project. The Authority intends to continue to develop these local partnerships to secure agreements and commitments within the project development timeline.

1. Continued coordination with local landowners as project facilities designs are refined with adjustments as needed to the project facilities to be a good neighbor and ensure local support.
2. Continued Tribal coordination and consultation.
3. Development of interagency agreements with local agencies.
4. Identify new demands the project puts on local services and work collaboratively to address those demands to not burden residents.

Goal 3 – Design and Costs

The activities to advance the project design and cost estimates will provide critical information for achieving Goals 1 and 2.

Facilities Locations. Developing final facility sizes and locations will specify permit requirements and local landowner agreements.

Facilities Costs and Cost Allocation. Refined facilities costs and the allocation of those costs will inform the Plan of Finance, participant funding agreements, and usage fees in agreements with owners of non-project facilities.

Risk Identification and Mitigation. As part of planning for future phases, the Authority will identify the design, construction, and operation risks to inform risk mitigation planning, as well as funding and operations agreements.

Goal 4 – Organizational Improvement

The Authority has made substantial progress in forging the relationships and governance mechanisms to manage project development. Continued strengthening of the Authority

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through planning, design, construction, and operations involves both near-term refinements and long-term planning.

Refine Near-term Decision-making. Within the existing governance structure (Authority Board and Reservoir Committee), the participants seek to further clarify decision-making process to secure project approvals and commitments, including the following issues and activities:

1. Identification of the important decisions over the next 18 months
2. Clarification of the decision timing and the roles of the Board, Reservoir Committee, work groups, agents, and consultants in informing and making decisions.
3. Consideration of delegation of authority to improve efficiency of project delivery.
4. Improvement of participant engagement and working relationships in activities of the Reservoir Committee.
5. Clarification of the needs and timing for “home board” approvals, particularly as they relate to the agreements to be developed in Goals 1 and 2. Local agency participant representatives need to be taking Sites Reservoir project back to their agency and getting agency-wide buy-in to the project.

Participant Assurances. Participant assurances are an important element of addressing concerns about the Authority governance structure, now and in the future. The Plan of Finance and the activities related to Goal 1 are the core work to develop those assurances. As that work relates to governance issues, the following are the planned activities:

1. Authority Board and Reservoir Committee review and discussion of project assurances and agreements as they relate to Authority governance.
2. Identification of options for addressing any remaining governance issues in future phases.

Long-term Governance. Beginning soon, the participants will discuss the governance options for the Authority during design, construction, and operations. The participants recognize that continuing Sacramento Valley ownership and control is critical for maintaining local support for a water project that serves water users outside the Sacramento Valley. The participants further recognize that project decision-making will need to be more nimble as Authority expenditures increase and when operations begin. The near-term activities to review and consider long-term governance issues include the following:

1. Identification of Authority Board and Reservoir Committee roles and responsibilities in future phases needed to make the organization effective.
2. Development and discussion of near-term and longer-term issues and concerns of participants and ways to address those concerns through some delegation of authority and continued compliance with state law and conditions of Prop 1 funding.
3. Selection and implementation of changes to bylaws and agreements.

Section 4. Action Plans and Performance

The Authority Board and Reservoir Committee have reviewed and approved three near-term action plans to advance the Authority’s highest priorities: project funding; permits and agreements; and near-term decision-making. Following are brief summaries of the action plans. The full action plans are included as Attachments A, B, and C.

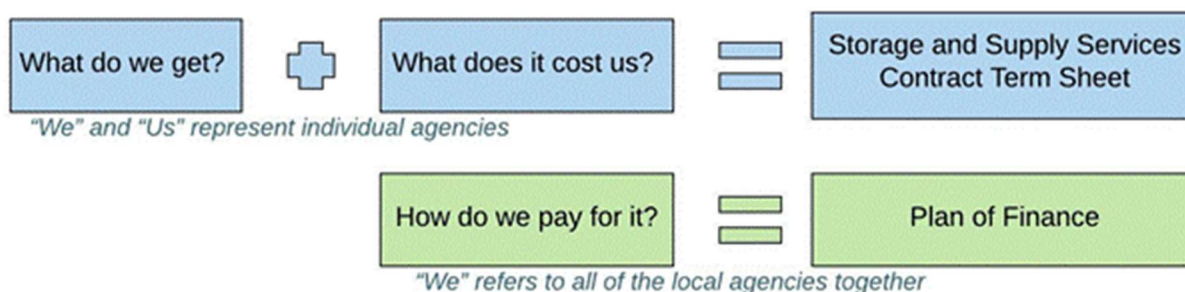
Project Funding

The Authority Board and Reservoir Committee have confirmed the following “three big questions” as an appropriate framework for developing the necessary information for each local agency participant to evaluate project costs and benefits and facilitate decisions regarding local cost share commitments.

- What do we get? (“we” refers to the individual participating agency)
- What does it cost us? (“us” refers to the individual participating agency)
- How do we pay for it? (“we” refers to all the local agencies together)

The assurances needed for agencies to commit to their share of the project are summed up in two key deliverables: the water storage and supply services contract term sheet and the plan of finance (Figure 3). Addressing these questions is expected to meet the Proposition 1 requirements for local cost share commitments prior to the State’s final contractual commitment of funding. The process for developing these key deliverables is outlined in Figure 4. The development and decision timeline is shown in Figure 5.

Figure 3 - Member Assurances



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Figure 4 - Local Cost Share Commitment Process

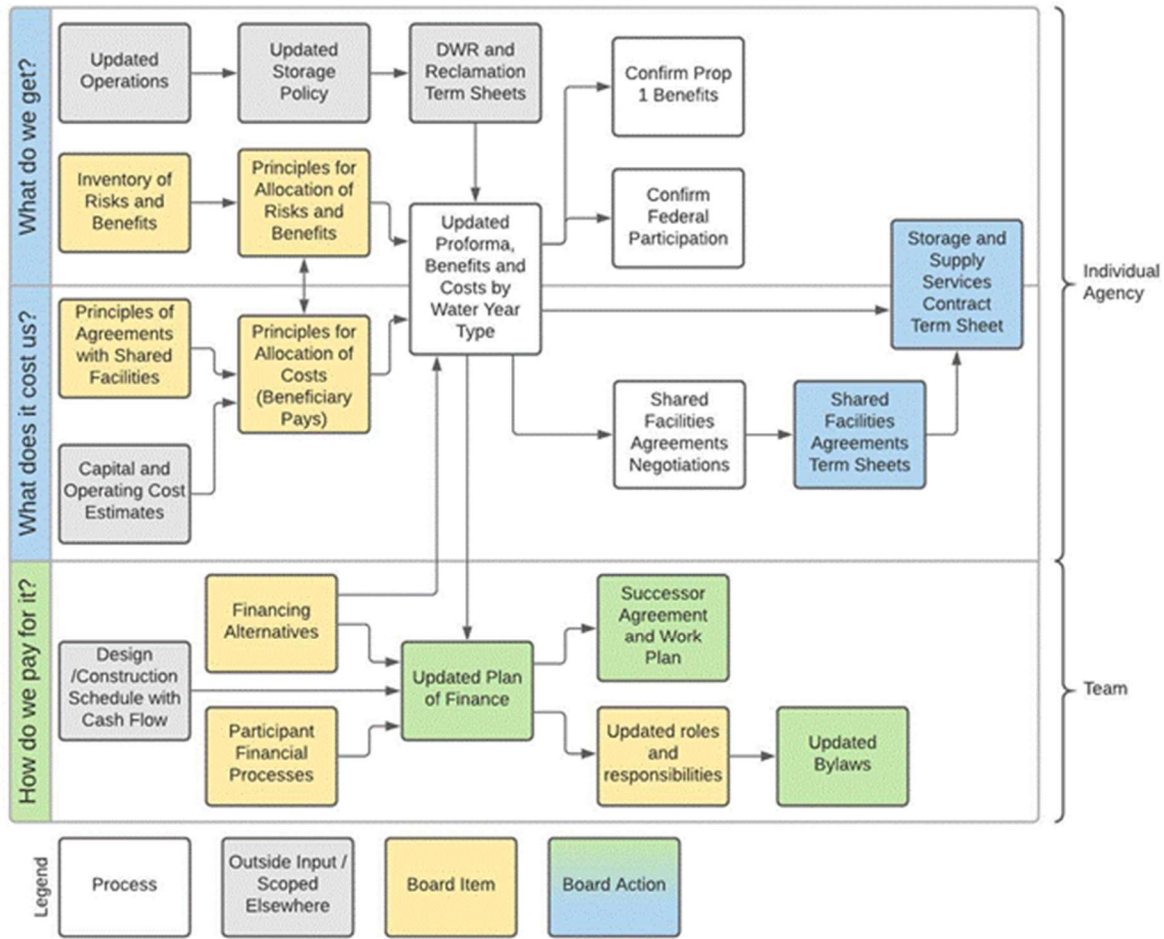
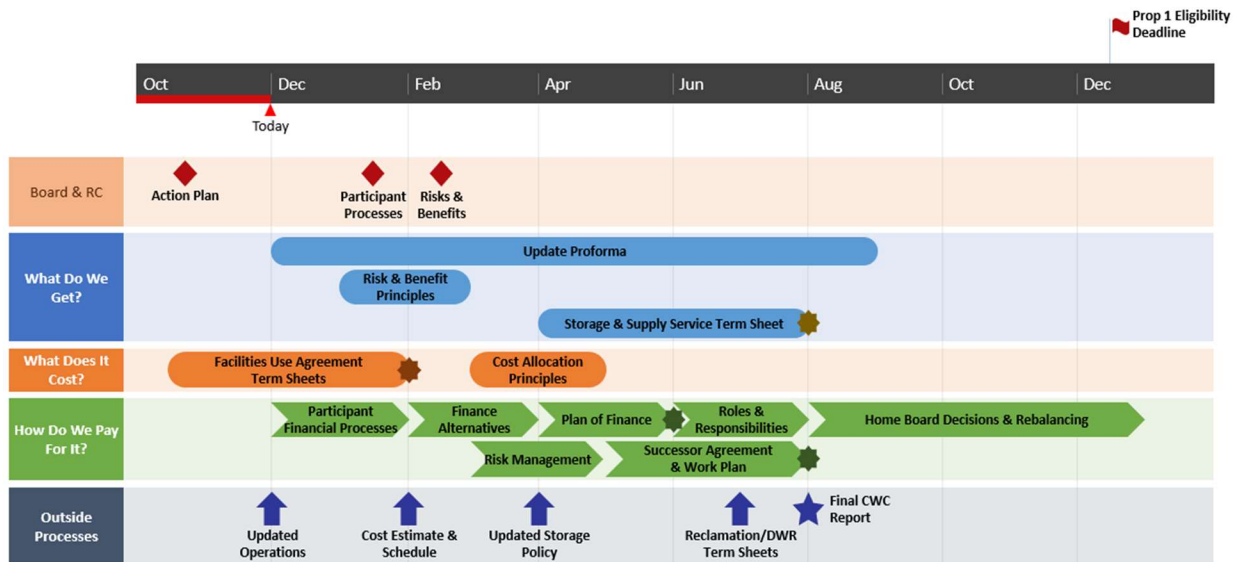


Figure 5 - Plan of Finance Timeline



Environmental Review and Permitting

The Authority Board and Reservoir Committee have reviewed and approved the action plan for environmental review and permitting for the project. The action plan describes the strategy and approach for completing the draft environmental review and submitting permit applications by the end of 2021. The following are the primary elements of the strategy. The timeline of activities is shown in Figure 6.

The Sites permitting team has three primary objectives in advancing permit approvals through 2021:

1. Make consistent progress toward securing permits for a cost-effective, affordable project.
2. Demonstrate progress and assurance that permits will be secured.
3. Maintain the schedule for project approvals, funding, and financing.

To achieve these objectives, the Sites permitting strategy is to implement the following collaborative, multi-level communications/negotiations approach for the five high priority permitting processes.

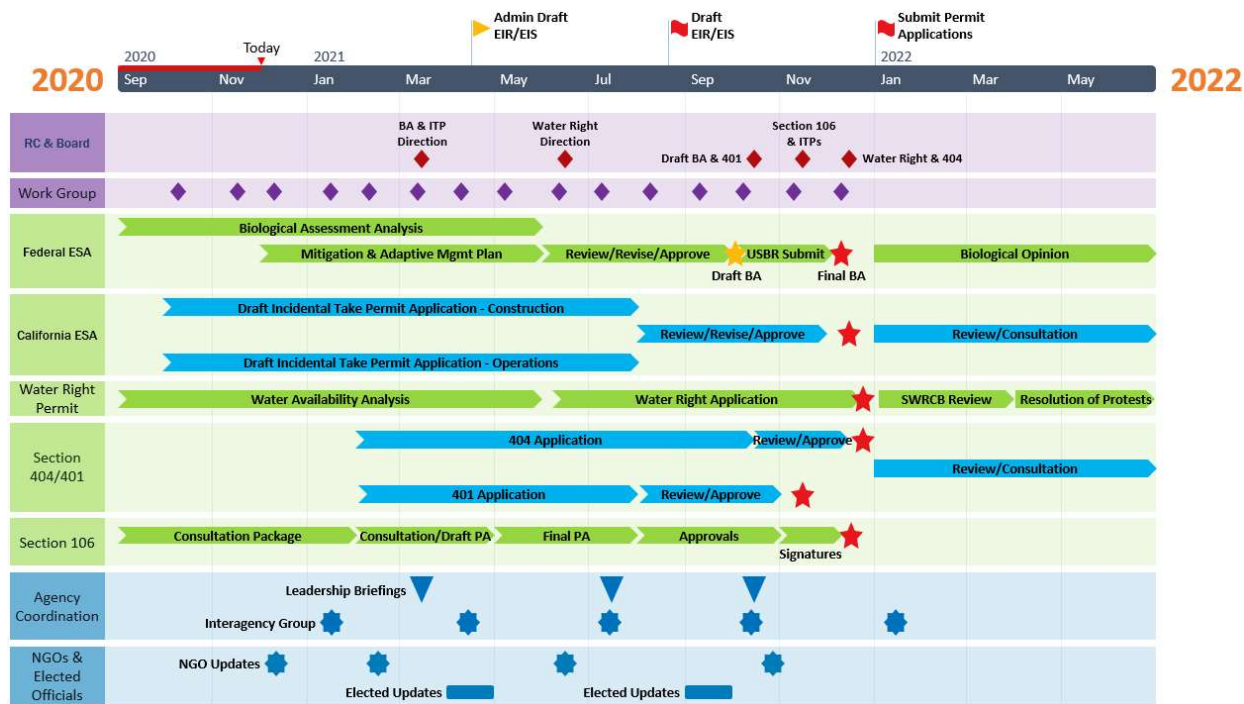
- A. **Work collaboratively with permitting and resource recovery staff** at the permitting agencies and operations staff at DWR and Reclamation to define project operations, benefits, and acceptable permit requirements.
- B. **Brief state and federal agency leadership** at permitting milestones to maintain commitment and agency alignment for successful permitting and resource recovery benefits.
- C. **Brief state and federal elected officials** as needed to maintain project funding and schedule.

Successfully accomplishing a collaborative, multi-level permitting strategy will depend on the dynamic implementation of the following principles.

- **Interest-based negotiations** within the framework established by the Authority Board and Reservoir Committee (June 2020). Interest-based negotiations are based on seeking and supporting full understanding of the interests and desired outcomes for all parties (the Authority, Reservoir Committee, regulatory agencies, and other partners).
- **Regular progress reporting** on issues, accomplishments, and challenges. The permitting negotiations teams are committed to frequent and transparent communications, with appropriate confidentiality, with all audiences on the topics that inform and support interest-based negotiations.
- **Prompt escalation of issues and challenges** for discussion and resolution. During permit negotiations, some issues may warrant additional clarification and direction from agency and Authority leadership. The permitting negotiation teams will identify and escalate these issues in cooperation with agency staff.

Sites Project Authority Strategic Plan

Figure 6 - Environmental Review and Permitting Timeline



Decision Responsibilities

Objective 4A, Delegate decision responsibilities and clarify working relationships to secure project approvals and agreements, highlights the need to clarify and improve delegation of decisions to improve efficiencies. Staff reviewed the current delegation of decision responsibilities and provided a consolidated matrix of existing and proposed responsibilities. The Authority Board and Reservoir Committee reviewed and revised the matrix. The final draft Delegated Authority Levels Matrix is included in agenda item 2.1 for the December 18 joint Reservoir Committee and Authority Board meeting. The matrix addresses the following needs:

- The matrix incorporates current delegations afforded through governance documents, except where dollar thresholds have been updated for inflation and best practice.
- Several “new” areas of delegated authority are included to reduce administrative burden where doing so would not put the Authority Board or Reservoir Committee at greater financial, regulatory, or legal risk.
- Adjusting the invoice approval and payment process is proposed to trim time between invoice and payment of claims.

Implementation in several cases would require development of policies and procedures (as noted in the matrix). Having Board approved delegations will help to define priorities for procedure development going forward. Additional revisions to the delegation of decision responsibilities will be considered as part of developing the Plan of Finance.

Progress Reporting

The environmental review and permitting team developed a dashboard to track and report on progress or work with permitting and cooperating agencies on the topics and considerations to be addressed. The dashboard tool identifies the key topics for discussion and alignment and the stepwise process toward alignment and concurrence to meet common objectives. The dashboard will be updated regularly and reviewed with the Environmental Review and Permitting Work Group and contribute to summary progress reporting for the Authority Board and Reservoir Committee. The example dashboard is included as an attachment in the Environmental Review and Permitting Action Plan (Attachment B).

Attachment A – Project Financing Action Plan

Project Financing Action Plan Technical Memorandum



To: Reservoir Committee and Authority Board
CC: Budget and Finance Committee
Date: October 8, 2020
From: JP Robinette
Authority Agent Review by: Jerry Brown
Subject: Project Financing Action Plan

1.0 Introduction

In August 2020, a revised Amendment 2 Work Plan was approved. The work plan included an operating budget through the end of 2021 with a start date of September 1, 2020. A \$1.5 million placeholder was established in the budget to resource the work needed to achieve the 75% local cost share commitment, a requirement under Prop 1 (WSIP), which is administered by the California Water Commission (CWC). The Prop 1 requirement includes no specific definition of what constitutes the commitment so there appears to be latitude to self-define.

At the joint Reservoir Committee and Authority Board September 2020 meeting, there was concurrence on a set of deliverables to achieve the required local cost share commitment and direction was given to prepare an action plan involving these items.

This action plan represents the Authority's strategy for advancing next steps for Strategic Plan Goal 1 (Affordability) and Goal 4 (Effective) and contains an approach and process for securing local cost share commitment, a schedule for these activities, a set of resources and associated budgets needed, and recommended next steps.

2.0 Cost Share Commitment Approach and Process

At the September joint meeting, it was confirmed that information answering the following "three big questions" represents an appropriate framework for providing project agreement participants and Authority Board members with project assurances that would facilitate making the necessary local cost share commitment. Also, since the Prop 1 requirement precedes the State's final contractual commitment of funding, having these questions answered for the local cost share should suffice to meet the State's requirement as well. This is an issue we would engage CWC staff on once there is Board concurrence with the approach. The proposed "three big questions" are:

- What do we get? ("we" refers to the individual participating agency)
- What does it cost us? ("us" refers to the individual participating agency)
- How do we pay for it? ("we" refers to all of the local agencies together)

The assurances needed for agencies to commit to their share of the project are summed up in two key deliverables: the storage and supply services contract term sheet and the plan of finance (Figure 1). The process for developing these key deliverables is outlined in Figure 2.

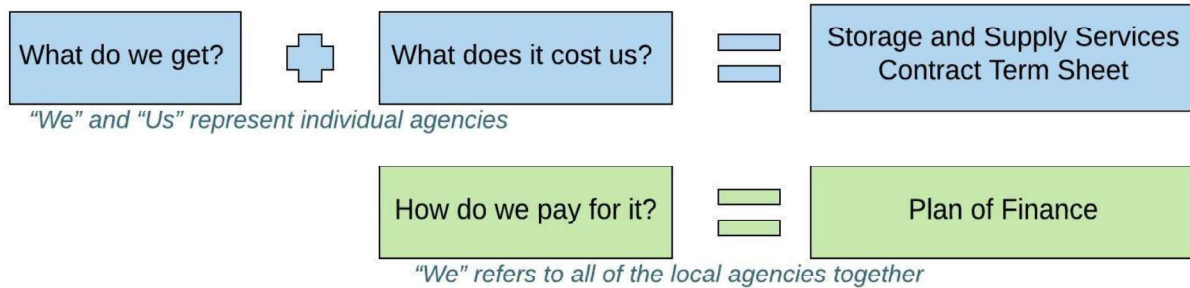


Figure 1. Member Assurances

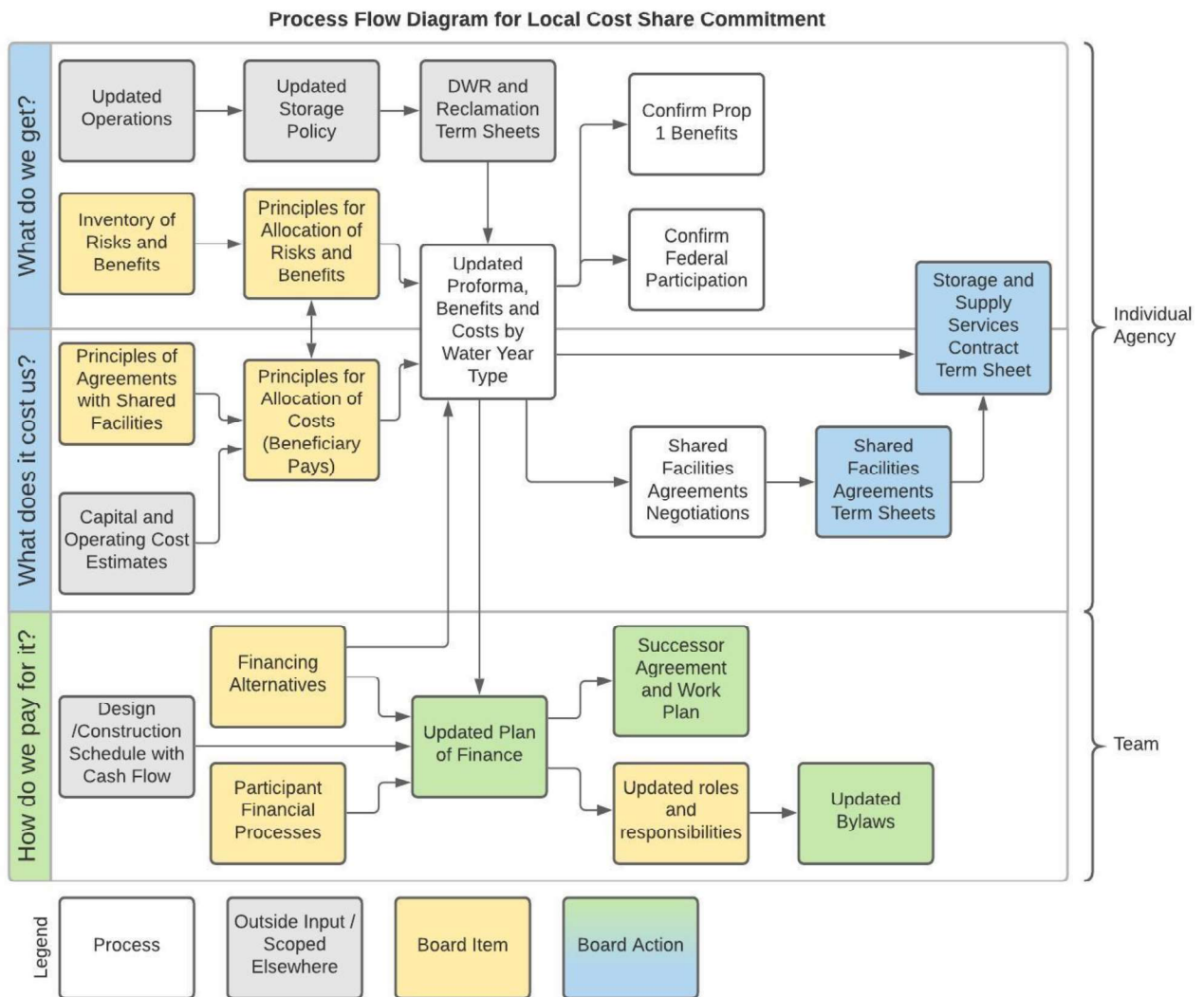


Figure 2. Cost Share Commitment Process

Confirmation will be sought from CWC staff, but it is assumed that Reservoir Committee and Authority Board approval of the following deliverables will satisfy the Prop 1 requirement of 75% local cost share commitment by Jan 1, 2022:

- Plan of Finance
- Storage and Supply Services Contract (SSSC) Term Sheet
- Successor Agreement and Work Plan (for activities post Jan 1, 2022)

In order to complete a term sheet for the SSSC it is expected that shared facilities term sheets for the use of the Glenn Colusa Irrigation District facilities, Tehama Colusa Canal Authority Facilities, and the Colusa Basin Drain will be required. Additionally, should the updated plan of finance impact roles and responsibilities between the Reservoir Committee and Authority Board, an update to the Authority Bylaws would be required.

3.0 Schedule

To meet the Prop 1 due date of 75% local cost share commitment by January 1, 2022, the schedule in Figure 3 has been developed. Critical outside process that impact the schedule are shown in grey.

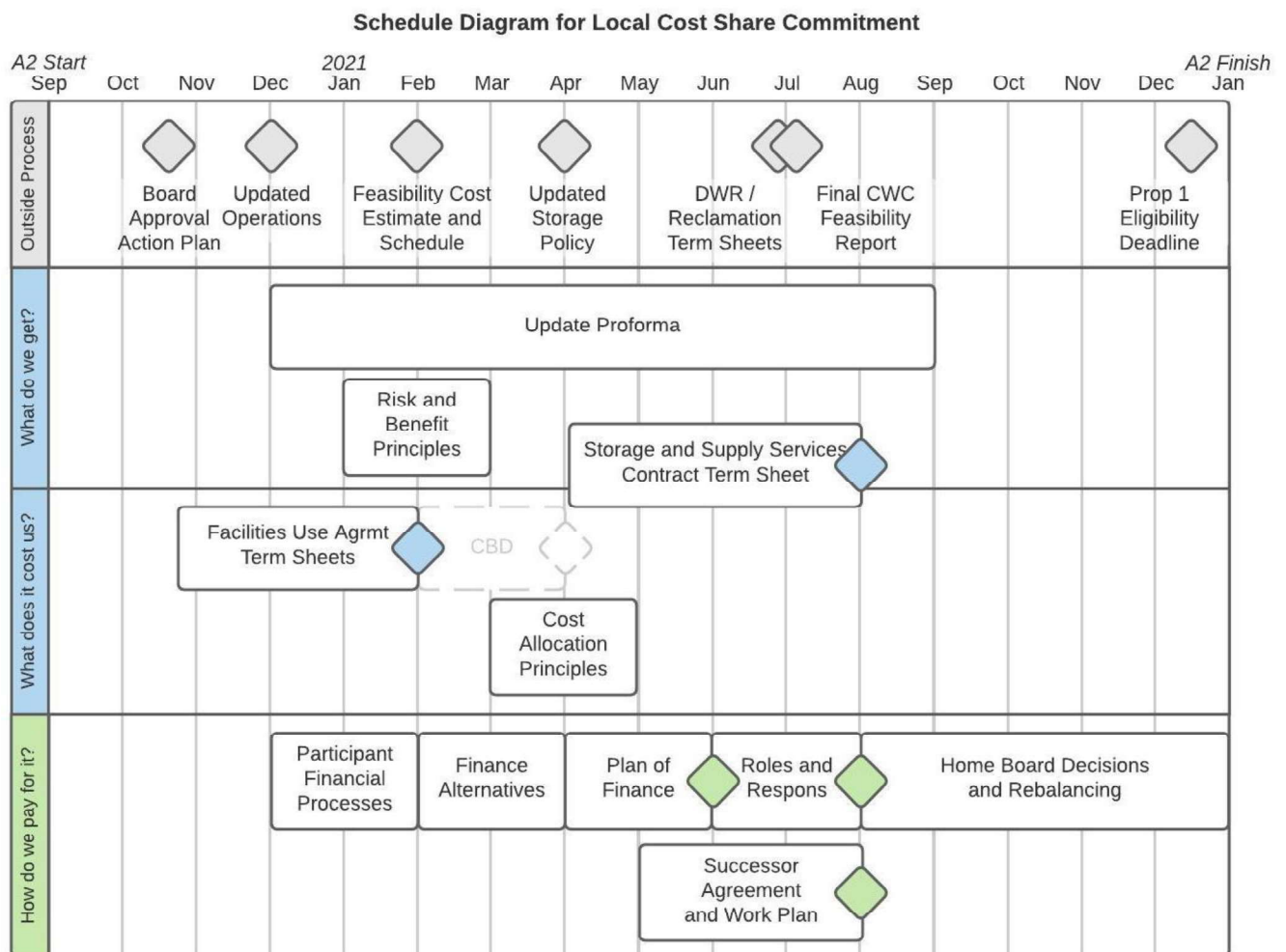


Figure 3. Cost Share Commitment Schedule

4.0 Resources and Budget

The anticipated resources include to deliver the scope on schedule include the project controls consultant, Brown and Caldwell, for overall task leadership, Montague DeRose and Associates for municipal advisory services, Stradling Yocca Carlson and Rauth for bond counsel services, and The Catalyst Group for as-needed facilitation support and strategic plan alignment. Task orders have been developed for these resources and are to be considered at the October Reservoir Committee and Authority Board meetings. Table 1 shows a summary of costs by deliverable for each firm compared to the approved work plan. Unallocated funds remain and will be committed only upon future approval by the Reservoir Committee and Authority Board.

Table 1. Cost Share Commitment Resources

Deliverable / Firm	Work Plan Budget Incl. Placeholder* (\$k)	October '20 Budget Allocations (\$k)
Plan of Finance	\$289	\$447
Brown and Caldwell	\$39	\$169
The Catalyst Group		\$40
Montague DeRose and Associates	\$250	\$148
Stradling Yocca Carlson & Rauth		\$90
Shared Facilities Term Sheets		\$105
Brown and Caldwell		\$105
Storage and Supply Services Contract Term Sheet		\$379
Brown and Caldwell		\$379
Plan of Finance Placeholder	\$1,211	\$569
Unallocated	\$1,211	\$569
Work Plan Budget	\$1,500	\$1,500

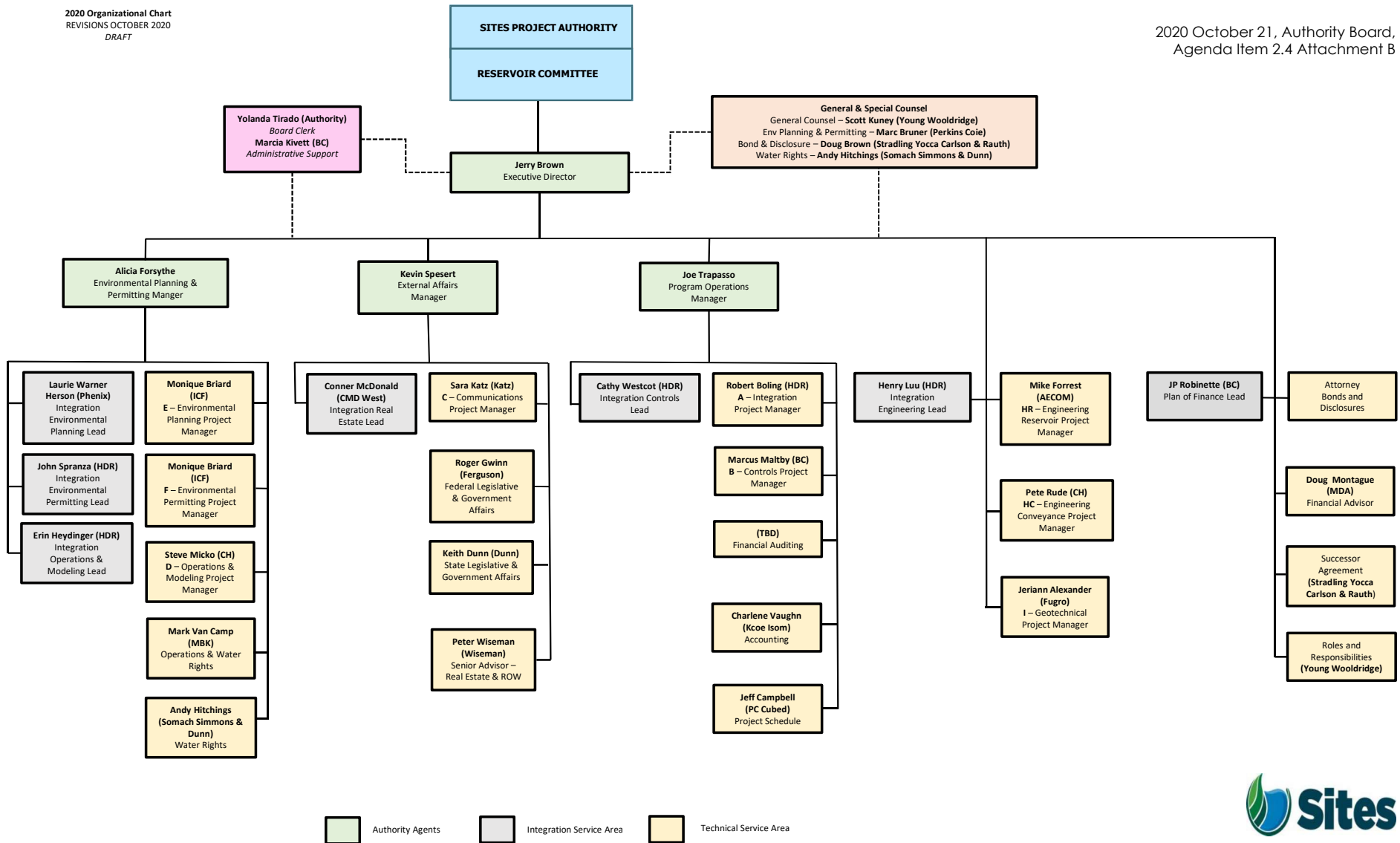
* Per Amendment 2 Work Plan (Rev D) approved in August 2020.

5.0 Recommended Next Steps

Staff recommends the approach, schedule, and budget outlined in this action plan be adopted and implemented. Approval in October 2020 is important for meeting the Prop 1 deadline for 75% local cost share commitment by January 1, 2022.

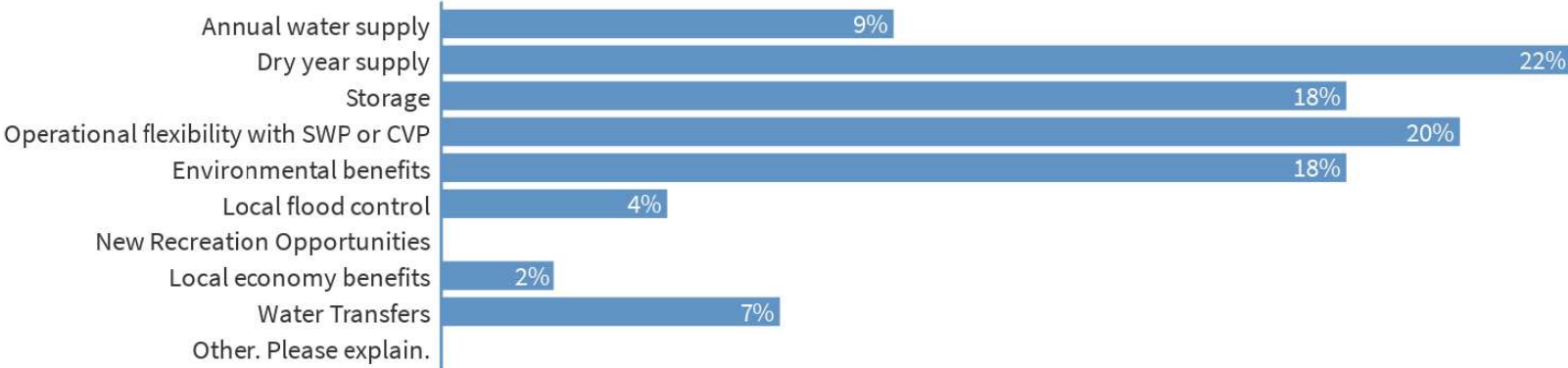
Following approval of this action plan, the following implementation steps are recommended:

1. Approve task orders for identified resources in October 2020.
2. Establish an appropriate work group / committee for the local cost share commitment effort.
3. Execute necessary organizational reporting changes.
4. Begin facilities use agreement negotiations (per Figure 3) through delegation of lead negotiator responsibilities.



Poll results from September 17, 2020 joint meeting presentation on item 3.1: Review Activities Needed to Achieve 75% Local Cost Share Commitment by Jan 1, 2022

This list represents all of the things individual agencies are seeking from the project (select all that apply)



 Answers to this poll are anonymous

Poll results from September 17, 2020 joint meeting presentation on item 3.1: Review Activities Needed to Achieve 75% Local Cost Share Commitment by Jan 1, 2022

Are there any other information needs and/or assurances your agency will require to make your local cost share commitment? (please explain)

"Long term governance structure that provides assurance for securing benefits and empowering decision making"

"Internal water transfer "clearing house" structure. "

"Certainty on contributions from non-water agency sources"

"How much water will the fish agencies be taking?"

"Is there any work being done on a future clearinghouse structure"

"Educational support to help individual investors understand what they are receiving with their investment"

"A schedule of anticipated charges in the upcoming years"

"What do we get in the form of a water storage component for each ac/ft?How is that defined?"

"More certainty on storage"

"Not at this time."

"financing terms"

"We need to better understand how exchanges between members might work."

"Ability to place on Statement if Charges"

"Not that I can think of, well done!"

 Answers to this poll are anonymous

Attachment B – Environmental Review and Permitting Action Plan



Environmental Review and Permitting Action Plan

Permitting Strategy

The Sites environmental review and permitting team has three primary objectives in advancing permit approvals through 2021:

1. Make consistent progress toward securing permits for a cost-effective, affordable project.
2. Demonstrate progress and assurance that permits will be secured.
3. Maintain the schedule for project approvals, funding, and financing.

To achieve these objectives, the Sites permitting strategy is to implement the following collaborative, multi-level communications/negotiations approach for the environmental review and five high priority permitting processes.

- A. **Work collaboratively with permitting and resource recovery staff** at the permitting agencies and operations staff at DWR and Reclamation to define project operations, benefits, and acceptable permit requirements.
- B. **Brief state and federal agency leadership** at permitting milestones to maintain commitment and agency alignment for successful permitting and resource recovery benefits.
- C. **Brief state and federal elected officials** as needed to maintain project funding and schedule.

Successfully accomplishing a collaborative, multi-level permitting strategy will depend on the dynamic implementation of the following principles.

- **Interest-based negotiations** within the framework established by the Authority Board and Reservoir Committee (June 2020). Interest-based negotiations are based on seeking and supporting full understanding of the interests and desired outcomes for all parties (the Authority, Reservoir Committee, regulatory agencies, and other partners).
- **Regular progress reporting** on issues, accomplishments, and challenges. The permitting negotiations teams are committed to frequent and transparent communications, with appropriate confidentiality, with all audiences on the topics that inform and support interest-based negotiations.
- **Prompt escalation of issues and challenges** for discussion and resolution. During permit negotiations, some issues may warrant additional clarification and direction from agency and Authority leadership. The permitting negotiation teams will identify and escalate these issues in cooperation with agency staff.

Sites Environmental Review and Permitting Action Plan

Key Permits

Five primary permitting processes determine the necessary project approvals by regulatory agencies and influence the cost and operations of the Sites Reservoir Project.

Permit	Law	Agencies	Focus
Biological Assessment/ Biological Opinion	Federal Endangered Species Act	US Fish & Wildlife Service (USFWS) National Marine Fisheries Service (NMFS)	Terrestrial and aquatic impacts and mitigation
Incidental Take Permit – Construction	California Endangered Species Act	CA Dept. of Fish and Wildlife (CDFW)	Construction footprint Construction activities Listed species impacts and mitigation
Incidental Take Permit – Operations	California Endangered Species Act	CA Dept. of Fish and Wildlife (CDFW)	Diversion criteria Operations benefits Listed species impacts and mitigation
Water Right	Water Commission Act of 1914 and others	State Water Resources Control Board	Points of diversion Beneficial uses Place of use
Section 106	National Historic Preservation Act	Reclamation Advisory Council on Historic Preservation (ACHP) State Historic Preservation Office (SHPO)	Construction footprint Historical and cultural resources Tribal lands and resources
Sections 404	Clean Water Act	U.S. Army Corps of Engineers	Dredge and fill of the waters of the U.S.
Section 401 Water Quality Certification	Clean Water Act	State Water Resources Control Board	Discharge of pollutants into waters of the U.S.

Other Permit Processes

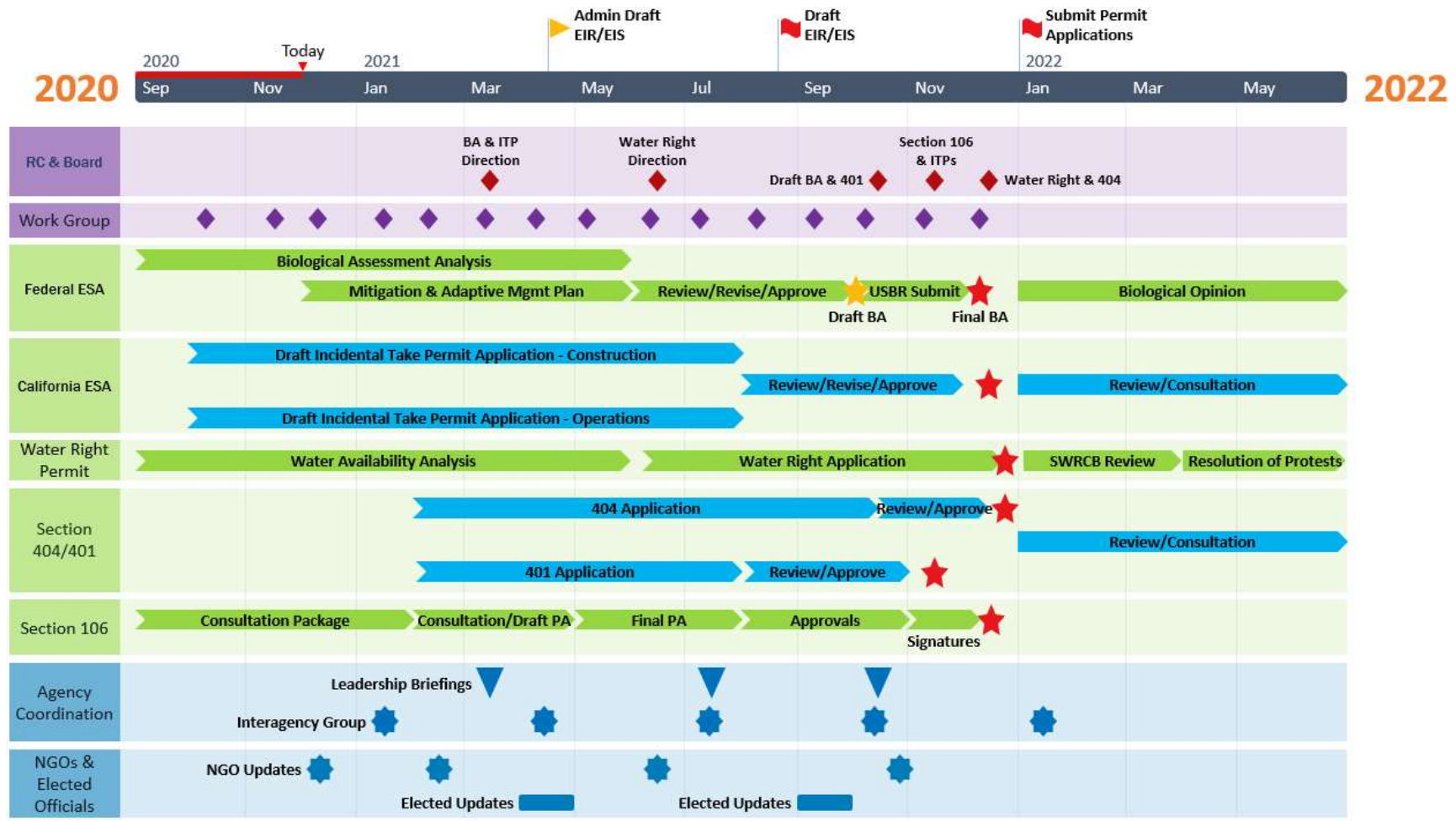
The Authority must obtain other permits for construction and operations that will be completed after 2021.

Sites Environmental Review and Permitting Action Plan

Schedule

Figure 1 shows the anticipated schedule for the draft environmental document and five major permitting processes. All permit applications are expected to be submitted to the responsible agencies by January 15, 2022. Final permits are expected in 2022 with the water right permit expected in 2023. The detailed roadmaps for each permitting process are included in Attachment A.

Figure 1 - Anticipated Schedule for the Sites Project Five Major Permitting Processes and Environmental Review



Permitting Communications Approach

The following summarizes the planned communications approach with important leaders, decision-makers, staff, and interested parties. This approach will be implemented consistent with the negotiations approach for permits and operating agreements approved by the Reservoir Committee and Authority Board in June 2020.

Agency Staff

As presented in June 2020, the Authority staff will coordinate communications with two agency technical working groups (see Attachment B for expected participants):

- **Interagency Update and Coordination Meetings.** Quarterly updates to all interested permitting and partnering agencies.
- **Fishery and Operations Technical Meetings.** As needed coordination meetings with fisheries agencies, Reclamation, and other agencies with specific expertise to review modeling and analysis approaches, operational criteria, and species effects.

Additional individual agency coordination meetings are planned to review permit-specific considerations.

Agency Leadership / Management

Provide update briefings every four months or as needed to report on progress and accomplishments, next steps, and timeline.

Escalate issues and challenges to management, if necessary, for discussion and resolution.

- Issues that cannot be resolved at the staff level.
- Issues that could have material impact on cost or schedule as defined in the bylaws.
- Coordination issues across multiple agencies or departments.

Ad Hoc Environmental Planning & Permitting Work Group

The Work Group will be the primary means for conveying progress updates and seeking input. Three types of information/action will be planned with the Work Group:

1. **Briefings and Guidance** on requirements, assumptions, approach, and topics.
2. **Updates** on status and progress.
3. **Review and Recommendations** on permit applications and acceptance.

Reservoir Committee & Authority Board

The Reservoir Committee and Authority Board will review and approve the permitting action plan, negotiation principles and parameters, and permit applications. Staff and the Work Group will keep the boards informed and seek approval as follows:

1. **Updates** on status and progress.
2. **Direction** on negotiation principles and parameters.
3. **Approval** of strategy and action plan, permit applications, and permit acceptance.

Non-Governmental Organizations, Tribes, and Landowners

Staff will schedule update briefings with environmental NGOs to review progress and topics of concern. Up to four rounds of briefings with NGOs are planned through 2021. Meetings will also occur throughout 2021 with Tribes and local landowners.

Sites Environmental Review and Permitting Action Plan

Responsibilities

Consulting Team

- Conduct modeling and analysis.
- Prepare permit materials and deliverables.
- Support Work Group and technical working group collaboration.

Authority Agents

- Lead negotiation teams as delegated by the Executive Director.
- Coordinate agency communications and technical working groups.
- Direct permit modeling, analysis, and deliverables.
- Report progress and issues for escalation.

Environmental Review and Permitting Work Group

- Advise the Reservoir Committee on all environmental planning and permitting aspects of the development and implementation of pre-construction, construction, and mitigation actions for the Sites Reservoir Project.
- Review progress and suggest refinements.

Reservoir Committee and Authority Board

- Provide oversight and guidance on the permitting strategy and action plan.
- Approve permit negotiation principles and parameters.
- Approve permit applications.
- Participate in leadership and elected official briefings, as appropriate.

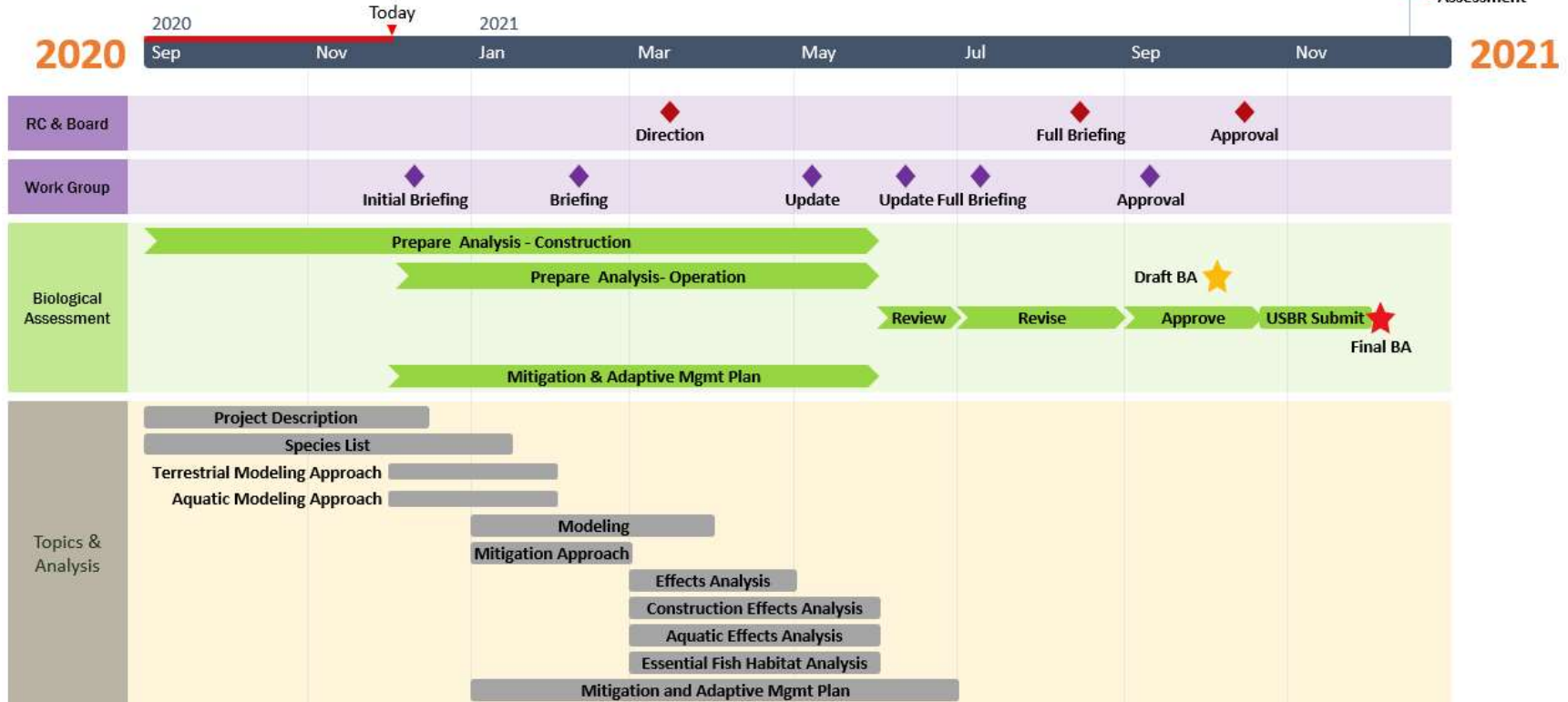
Progress Reporting

The Authority agents will provide frequent progress reports on the status of coordination and negotiation for each of the major permit processes in the Work Group. Progress reports will include the status of deliverables, major coordination/negotiation topics, and any anticipated challenges. Summaries of the permitting progress reports will be incorporated into regular progress reports for the Reservoir Committee and Board. An example permitting progress dashboard is included as Attachment C.

Attachment A Detailed Roadmaps for Five Key Permits and Draft EIR/EIS

Federal Endangered Species Act (ESA) - Biological Assessment

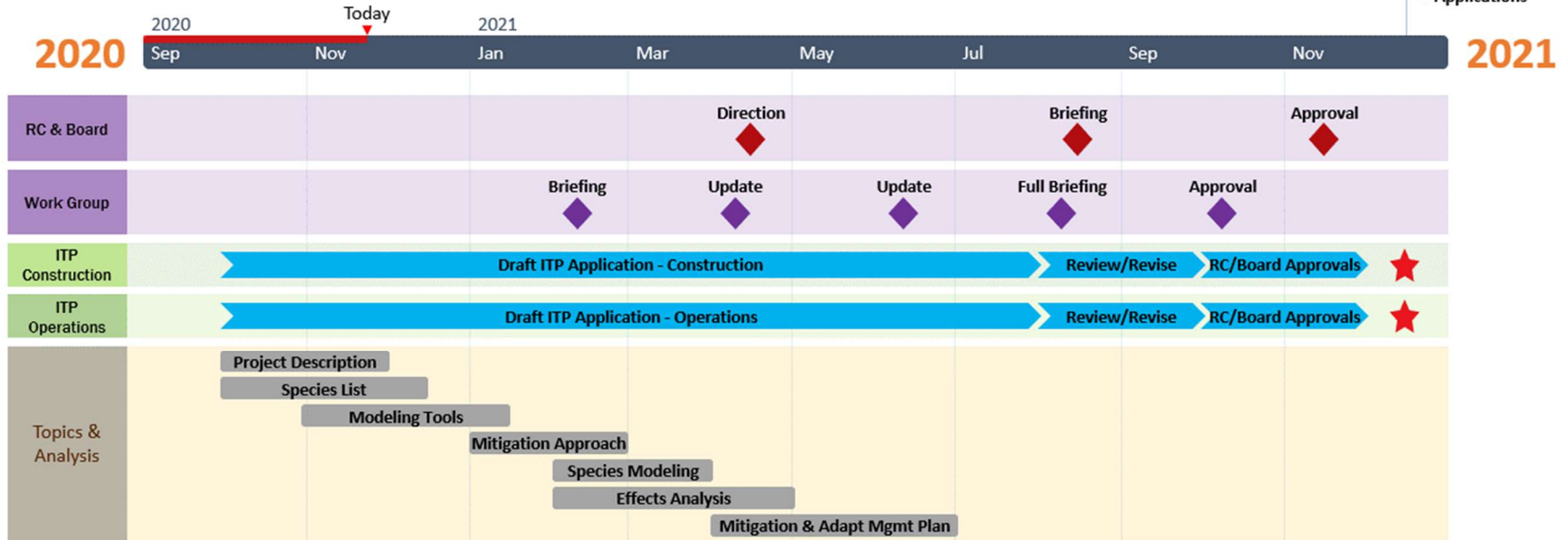
Biological Assessment



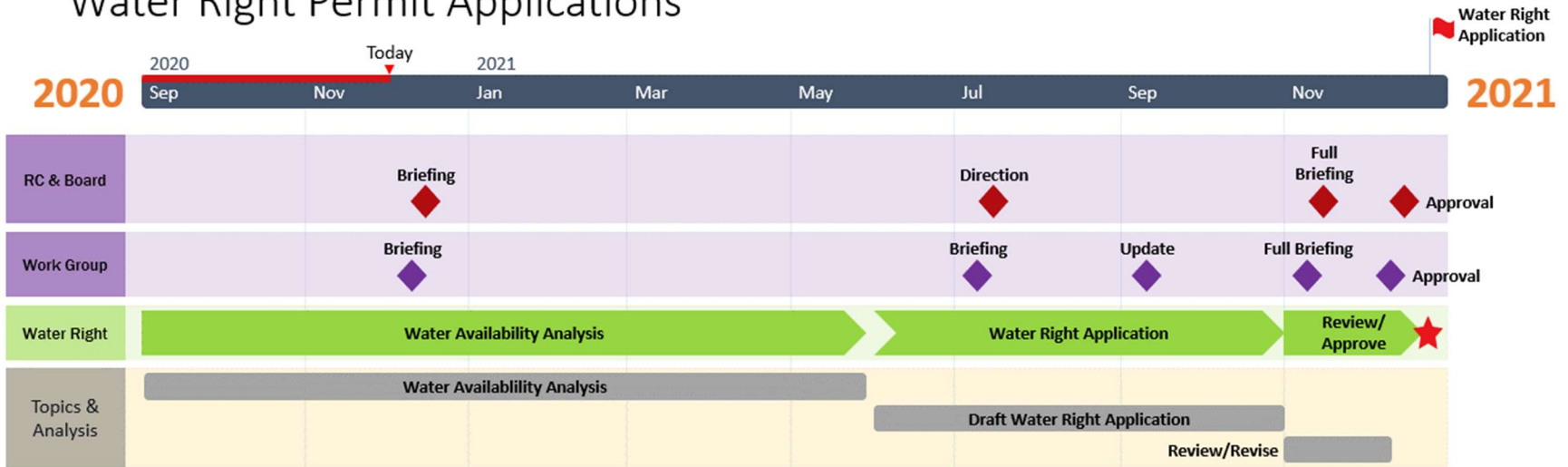
Sites Environmental Review and Permitting Action Plan

California Endangered Species Act – Incidental Take Permit Applications

Submit Applications

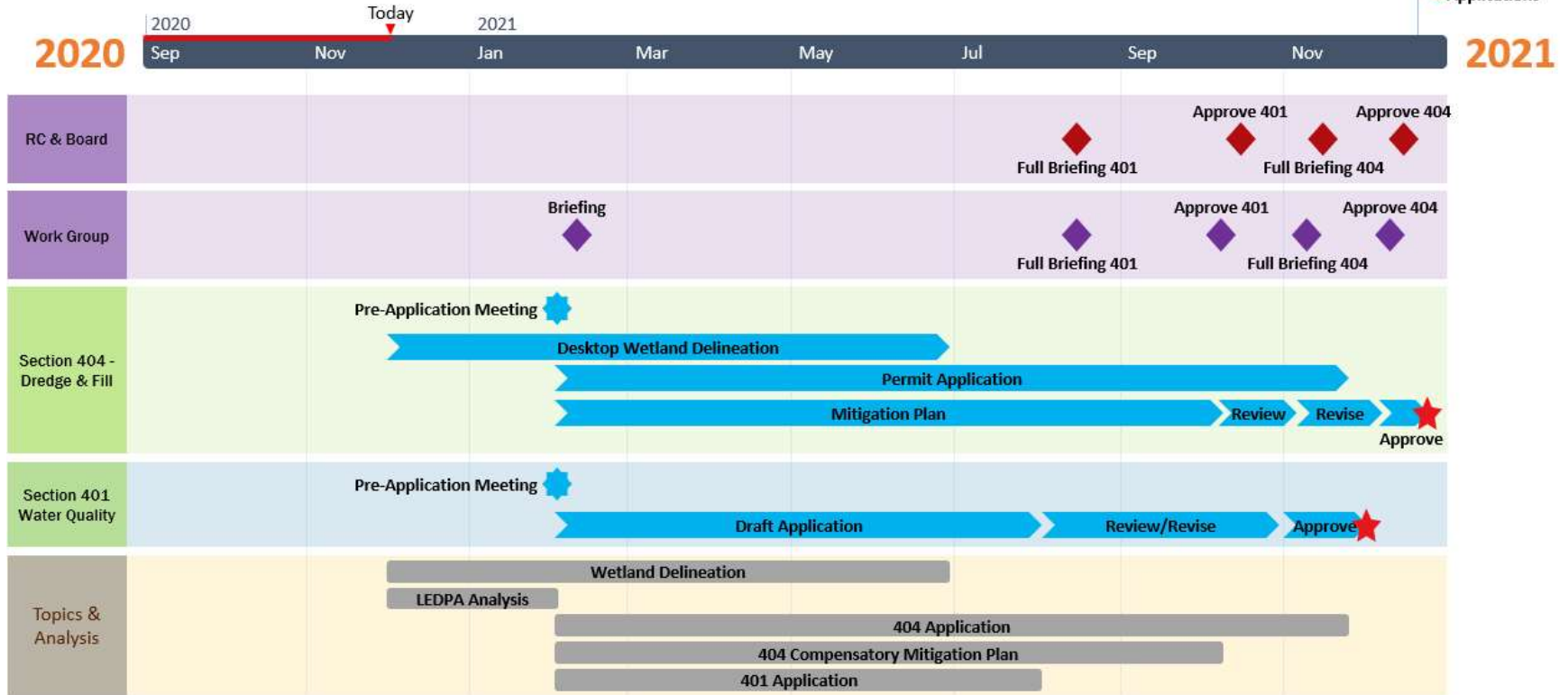


Water Right Permit Applications



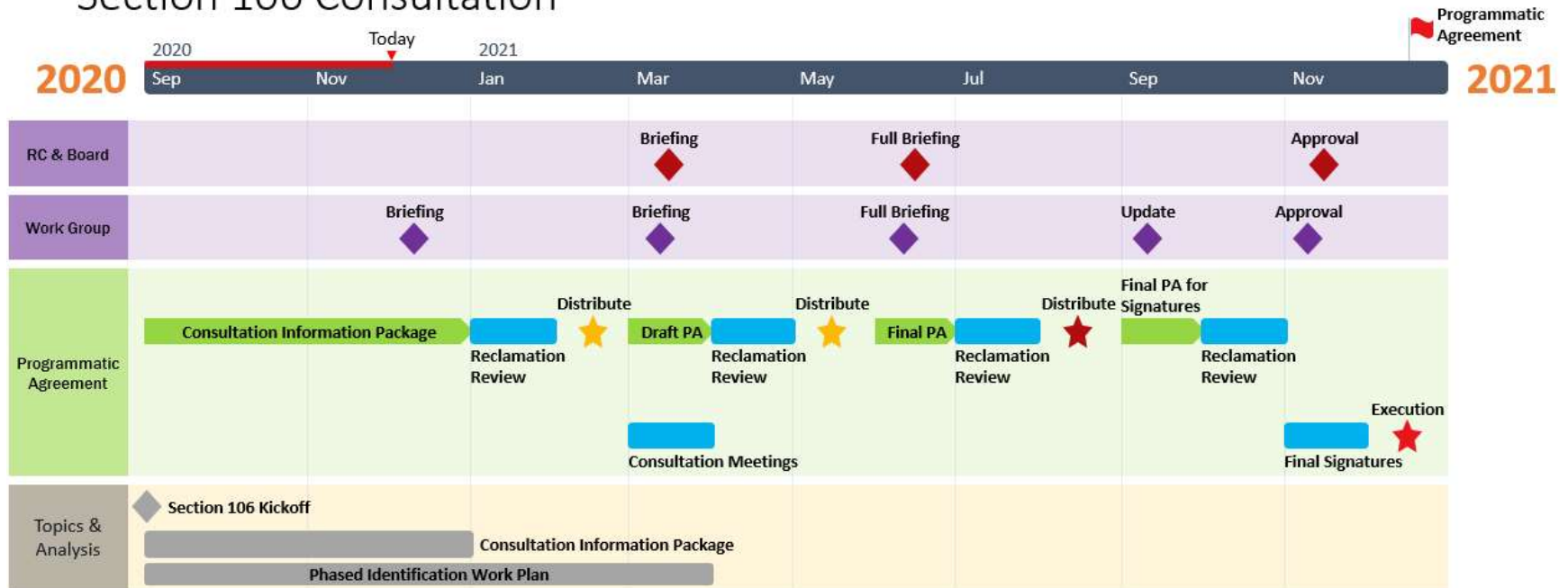
Clean Water Act Sections 404 and 401 Applications

Submit Applications

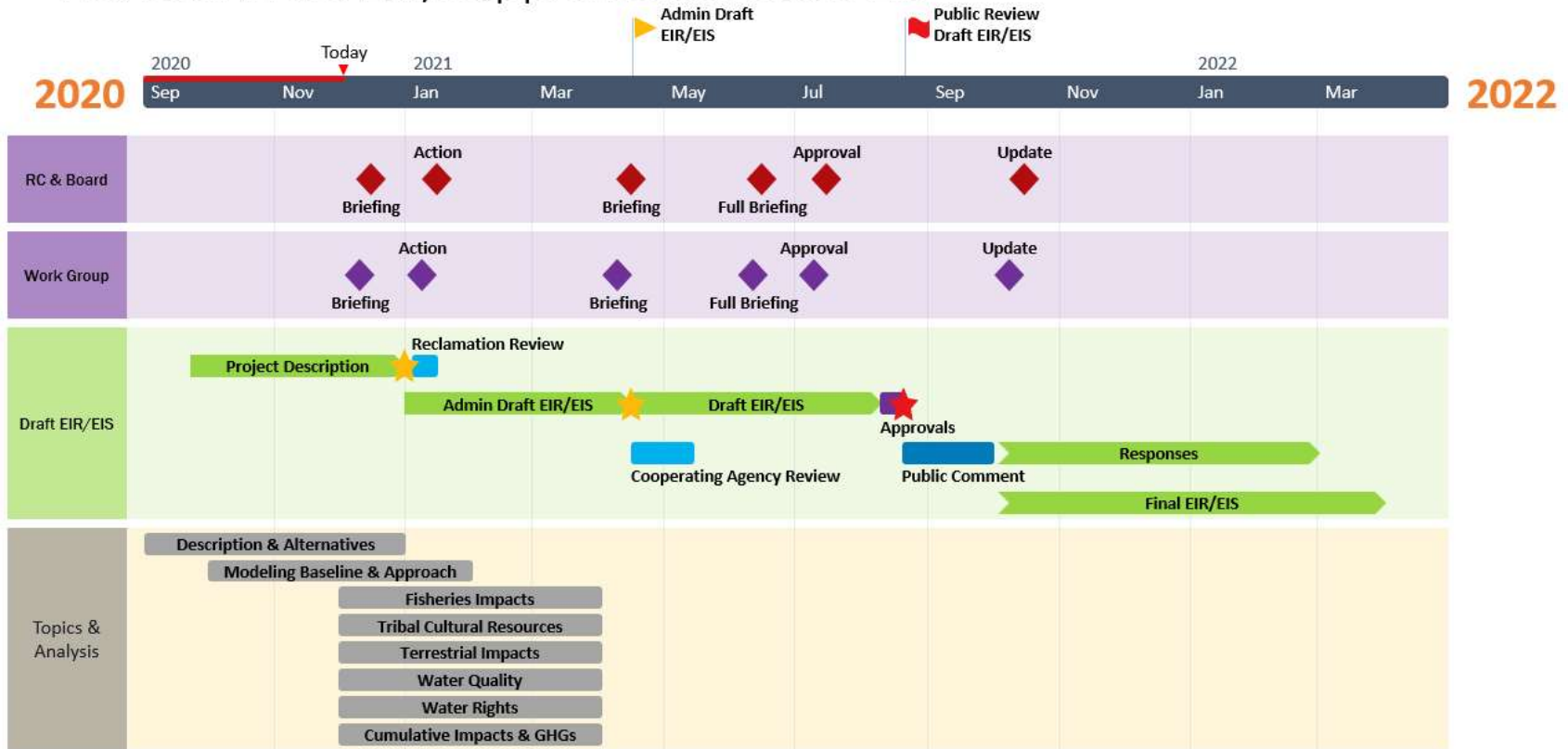


Sites Environmental Review and Permitting Action Plan

Section 106 Consultation



Revised Draft EIR/Supplemental Draft EIS



Potential Cooperating Agencies for NEPA Review: BIA, USEPA, WAPA, USFWS, NMFS, USACE, and three federally recognized tribes.

Attachment B

Regulatory Agency Technical Working Groups

Interagency General Update and Coordination Meetings

Potential Attendees: This meeting would be open to any agency that had an interest. Potential attendees would be broad and could include the following:

- United States Fish and Wildlife Service (USFWS)
- Bureau of Reclamation (Reclamation)
- Bureau of Indian Affairs (BIA)
- National Marine Fisheries Service (NMFS)
- Natural Resources Conservation Service (NRCS)
- United States Army Corps of Engineers (USACE)
- United States Environmental Protection Agency (USEPA)
- Western Area Power Administration (WAPA)
- California Department of Fish and Wildlife (CDFW)
- California Department of Transportation (Caltrans)
- California Department of Water Resources (DWR)
- California Office of Historic Preservation - State Historic Preservation Officer (SHPO)
- California State Water Resources Control Board
- Central Valley Regional Water Quality Control Board
- Central Valley Flood Protection Board
- County of Colusa
- County of Glenn
- County of Yolo

Fishery and Operations Technical Meetings

Potential attendees could include the following:

- United States Fish and Wildlife Service (USFWS)
- Bureau of Reclamation (Reclamation)
- National Marine Fisheries Service (NMFS)
- California Department of Fish and Wildlife (CDFW)
- Additional agencies, depending on topics and authority





Attachment C

Permitting Progress Dashboard

Key

- Prepared:** Internal work by team
- Presented:** Provided to agencies for review
- Reviewed:** Reviewed and discussed with agencies
- Revised:** Agency comments considered and addressed
- Resolved:** Agency issues/concerns discussed and resolved
- Deferred:** Deferred to further negotiations after application
- Confirmed:** Agencies have confirmed acceptance/agreement

Complete	Activity completed
In Process	Activity in progress
Challenge	Team and agencies discussing how to resolve issues
Roadblock	Significant issues slowing progress; escalation may be needed

Permit	Summary Status	Permit Topics/Considerations	Agreement Status with Agencies							
			Prepared	Presented	Reviewed	Revised	Resolved	Deferred	Confirmed	
Biological Assessment/ Biological Opinion Reclamation USFWS NMFS		Project Description								
		Species List								
		Terr. Species Modeling Approach								
		Aquatic Species Modeling Approach								
		Mitigation Approach								
		Species Modeling								
		Effects Analysis								
		Essential Fish Habitat Analysis								
		Construction Effects Analysis								
		Aquatic Effects Analysis								
Mitigation and Adaptive Mgmt Plan										
Incidental Take Permit – Construction CDFW		Project Description								
		Species List								
		Species Modeling Approach								
		Mitigation Approach								
		Species Modeling								
		Effects Analysis								
Mitigation and Adaptive Mgmt Plan										
Incidental Take Permit – Operations CDFW		Project Description								
		Diversion Criteria								
		Modeling Approach								
		Mitigation Approach								
		Species Modeling								
		Effects Analysis								
Mitigation and Adaptive Mgmt Plan										
Water Right Permit SWRCB		Water Availability Analysis								
		Draft Water Right Application								
		Internal Review/Revise								
		Submit Water Right Application								

Key

- Prepared:** Internal work by team
- Presented:** Provided to agencies for review
- Reviewed:** Reviewed and discussed with agencies
- Revised:** Agency comments considered and addressed
- Resolved:** Agency issues/concerns discussed and resolved
- Deferred:** Deferred to further negotiations after application
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Complete	Activity completed
In Process	Activity in progress
Challenge	Team and agencies discussing how to resolve issues
Roadblock	Significant issues slowing progress; escalation may be needed

Permit	Summary Status	Permit Topics/Considerations	Agreement Status with Agencies						
			Prepared	Presented	Reviewed	Revised	Resolved	Deferred	Confirmed
Clean Water Act - Section 404 USACOE		Desktop Wetland Delineation							
		LEDPA* Analysis							
		404 Permit Application							
		Compensatory Mitigation Plan							
		Internal Review/Revise							
		Approve/Submit 404 Application							
Clean Water Act - Section 401 SWRCB		Pre-Application Meeting							
		Draft 401 Application							
		Review/Revise							
		Approve/ Submit							
Section 106 Consultation Reclamation SHPO Tribes		Consultation Information Package							
		Phased Identification Work Plan							
		Draft Programmatic Agreement							
		Consultations							
		Final Programmatic Agreement							
		Reviews							
		Final PA for signature							
Execution									
EIR/EIS Reclamation & Cooperating Agencies		Project Description & Alternatives							
		Modeling Baseline & Approach							
		Fisheries Impacts							
		Tribal Cultural Resources							
		Terrestrial Impacts							
		Water Quality							
		Water Rights							
		Cumulative Impacts & GHGs							

* LEDPA Least environmentally damaging practicable alternative