

## MEMO

To: Board of Directors

From: District Manager

Subject: Switzer Foundation Leadership Grant Program

Date: August 15, 2005

### **RECOMMENDATION:**

It is recommended that the Board of Directors review this memo and by Motion of the Board authorize submittal of a pre-application concept letter to the Switzer Foundation for a proposed Leadership Grant Program Project.

### **BACKGROUND:**

By correspondence dated August 9, 2005, the District received a request from Betsy Herbert to develop and submit a pre-application concept letter to the Switzer Foundation for a Leadership Grant Program Project. See Attachment 1.

The Robert and Patricia Switzer Foundation funds collaborative projects between Switzer Fellowship Alumni and public agencies and/or non-profit environmental agencies. Ms. Herbert is a Switzer Fellowship Alumni. The overall mission of the Switzer Foundation is the identification and nurturing of environmental leaders who have the ability and determination to make a significant impact, and to support initiatives that have direct and measurable results to improve environmental quality. Switzer Foundation Leadership Grant Program projects are designed to address environmental issues and advance the public service careers of Switzer Fellowship Alumni. See Attachment 2 for additional information regarding the Switzer Foundation Leadership Grant program, including application procedures.

In collaboration with Ms. Herbert, staff has prepared a draft pre-application concept letter for a proposed project entitled "Felton Water System Public Acquisition Project". See Attachment 3. The proposed project would provide additional staff support to facilitate District activities relative to the potential acquisition of Cal-Am's Felton District.

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James Mueller  
District Manager

JAM/kas

Betsy Herbert, Ph.D.  
150 Thayer Rd.  
Santa Cruz, CA 95060

August 9, 2005

San Lorenzo Valley Water District  
Board of Directors  
13060 Highway 9  
Boulder Creek, CA 95006

Dear SLVWD Board Members:

I am writing to ask you to partner with me in applying for a Switzer Foundation Leadership Grant Program Project. These grants provide up to \$40,000 per annum in matching funds to organizations for environmental projects that involve Switzer Fellows in a substantive role. Funds may be used to cover salary and benefits, consulting fees, travel, materials and equipment, and up to 15% of overhead recovery.

As a 2001 Switzer Fellow who completed my Ph.D. in 2004, I am eligible to apply for this grant program. As a public agency that is actively addressing issues of environmental quality, SLVWD is also eligible to apply.

After the passage of Measure W, I met with District Manager Jim Mueller to discuss the potential for a staff position to assist in designing and implementing a program to coordinate the District's efforts relative to public acquisition of the Felton water system. This project would offer a good fit for the Switzer Leadership Grant Program, which "is most appropriate for organizations creating new project initiatives or proposing to add a Switzer Fellow to permanent staff," according to proposal guidelines.

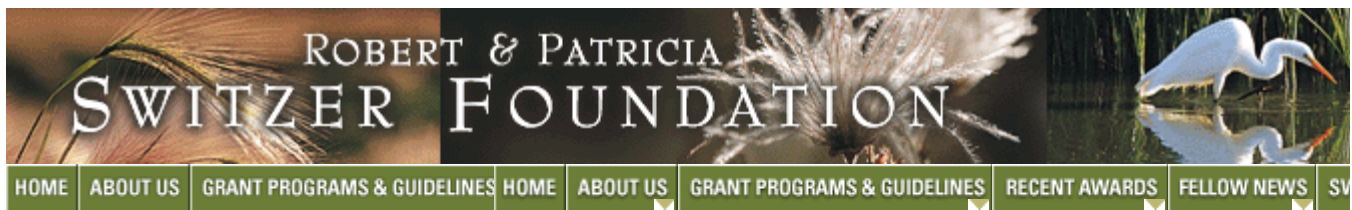
The first step in applying for a Switzer Foundation Leadership Grant Program Project is for SLVWD to submit a short pre-application concept letter which describes the proposed project and position. The purpose of the pre-application concept letter is to ensure that the proje3ct is appropriate to the guidelines.

Should the Foundation request a full proposal, the deadline is October 1, 2005. Proposal guidelines are detailed on the Switzer website. The full proposal requires a description of the organization, a statement of the environmental problem being addressed, the job description, the fellow's curriculum vitae, anticipated results and evaluative criteria, an itemized income and expense budget for the project (including the source of agency matching funds), and the organization's current operating budget and most recent financial statement.

Thank you for your consideration. I have attached a copy of my CV.

Yours truly,

Betsy Herbert



## LEADERSHIP PROGRAM

### OVERVIEW

The Robert and Patricia Switzer Foundation created the Leadership Grant Program in 1990 to help advance the professional careers of Switzer Fellowship Alumni and to give non-profit organizations, educational institutions and government agencies greater access to individuals with superior technical and scientific expertise. Grants are awarded to organizations actively addressing issues of environmental quality to implement programs designed collaboratively with Switzer Fellows.

Past Leadership Grant recipients have included the Union of Concerned Scientists, Yosemite National Institutes, The Wildlands Project, The H. John Heinz III Center for Science, Economics and the Environment, and the Massachusetts Audubon Society. Non-profit 501(c)(3) organizations with public charity status, government agencies and educational institutions which aim to employ a Switzer Fellow in a substantive role are eligible to apply for Leadership grants. The project or position must have an applied focus that will yield positive environmental change.

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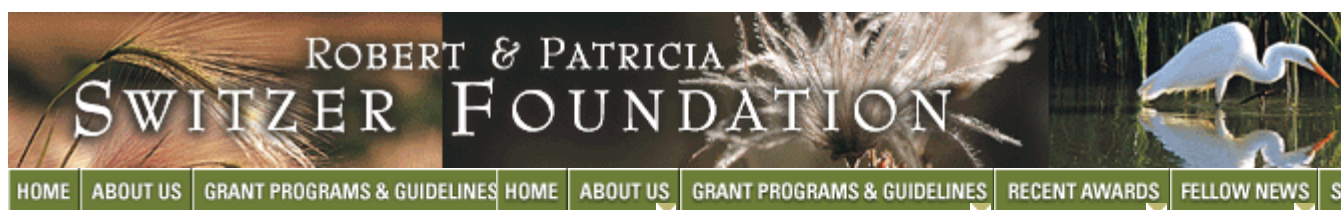
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## LEADERSHIP PROGRAM

### APPLICATION PROCEDURES AND GUIDELINES

#### Purpose

The Switzer Leadership Grant Program is designed to advance the public service careers of Switzer Fellowship alumni and to give non-profit organizations, educational institutions and government agencies addressing issues of environmental quality access to individuals with superior technical and scientific expertise, while working in partnership to address a significant environmental issue.

#### Project Criteria

Leadership Grant Projects may address any environmental issue, however there must be a clear partnership between the Fellow and the non-profit agency that accomplishes three things:

- Advances the public service career, expertise and leadership of a Switzer Fellow
- Builds the capacity of a non-profit or public agency to effectively address issues of environmental quality through the skills provided by the Switzer Fellow
- Achieves measurable improvement on a specific environmental issue or condition through the work of the Switzer Fellow.

#### Eligibility - Who Can Apply

Grants are available to any U.S.-based environmental organizations with 501(c)(3) status or public agencies. Support for Fellows doing international work may be considered as long as there is a US-based host organization as grantee and all other criteria are met.

Proposals must be developed jointly by the nonprofit or public agency and a Switzer Fellow. Only Fellows who have concluded their graduate program are eligible to participate in a Leadership Grant Program project.

#### Grant Limitations

One year grants of up to \$40,000 are available to organizations for projects which involve Switzer Fellows in a substantive role. Fellows may be employed as full-time staff or on a

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contractual or consulting basis. Funds are awarded to the organization, which is responsible for advising and mentoring the Fellow toward achieving his or her public service goals.

In some cases a Leadership grant will support a project in an organization where a Fellow is already employed. Such requests may be considered if the project will elevate the Fellow's leadership in that organization and take his or her work in a significant new direction that will have direct environmental benefits.

The Leadership Grants Program is most appropriate for organizations creating new project initiatives or proposing to add a Switzer Fellow to permanent staff. Funds may be used to cover direct program costs, including salaries and benefits, consulting fees, travel, materials and equipment. Up to 15% of overhead recovery will be considered. In some cases, a second or third year of funding may be sought from the Leadership Grants Program. In the case of successive grants, the applicant organization is expected to demonstrate an increasing cost-share over time.

Finally, a Fellow may not receive more than three years of funding through the Leadership Grant Program in one or more projects. A single organization may only submit one concept letter per cycle and may not receive more than one grant per year.

## **Application Evaluation**

Projects are evaluated on their ability to identify and address critical environmental problems, directly improve environmental quality, achieve quantitative results, provide scientific or technical expertise to organizations with limited resources, and advance the public service career of the participating Fellow.

## **How To Find A Fellow**

Organizations seeking a Fellow with whom to develop a proposal may contact the Switzer Foundation office or visit the Switzer Foundation website at <http://www.switzernetwork.org>. The website has a [Leadership Exchange](#) section that lists available Fellows and allows organizations to list the position or project they hope to fill with a Switzer Fellow. It is advisable to contact the Switzer Foundation office in addition to looking on the Leadership Exchange, as Foundation staff may know of available Fellows not listed on the Exchange.

Organizations or Fellows wishing to be listed in the Leadership Exchange should submit the following information to [erin@switzernetwork.org](mailto:erin@switzernetwork.org):

Organizations seeking to recruit a Switzer Fellow for a project or position, please submit organization name, contact name and title, full organization contact information including email and website address, brief organization description and a summary describing the position or project you hope to fill with a Switzer Fellow. Please indicate any time restrictions if applicable.

Fellows wishing to be listed in the Leadership Exchange should describe the kind of position sought, type of organization you would like to collaborate with and the skills you hope to use in a Leadership Grant Project.

## How To Apply

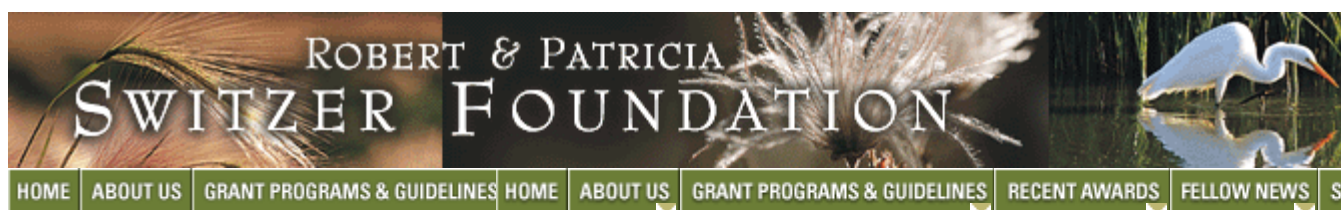
- Leadership grant proposals are to be written collaboratively between the Switzer Fellow and the applicant organization. No proposals will be considered from an organization that has not made direct contact, and developed the specifics of the proposal, with a Switzer Fellow.
- Interested Fellows should contact the Switzer Foundation office to express their interest in the program. Foundation staff will assist Fellows in posting their availability and interest on the [Leadership Exchange](#) section of the website. The Foundation may also facilitate connections between Fellows and prospective organizations suited to a Fellow's interests and skills.
- Interested organizations should contact the Switzer Foundation office to express their interest in the program. Foundation staff will help organizations post on the [Leadership Exchange](#) the position or project for which they would like to find a Fellow and also facilitate a search for an appropriate Fellow.
- Once an organization and a Fellow have made contact and agree to pursue a Leadership Grant project, the organization **MUST** contact the Switzer Foundation by phone or via a concept letter to discuss the anticipated project **BEFORE** submitting a full proposal. The purpose of this pre-proposal review is to ensure that project ideas are appropriate to the guidelines. Concept letters may be submitted at any time, but at least 4 weeks prior to an upcoming deadline to be considered during that cycle. A concept letter should be 1-2 pages and describe the project, the position for the Fellow, the ways in which the proposed project will enhance the host organization's capacity to address issues of environmental quality and the amount to be requested.
- Once a concept letter is reviewed or a telephone consultation is complete, a full proposal may be requested.
- If a full proposal is requested, follow the Grant Proposal Guidelines below. A site visit or telephone interview will be conducted during the review process.

## Switzer Leadership Grant Proposal Guidelines

All proposals should include the following:

1. A completed [Switzer Foundation Leadership Grant Program Cover Sheet](#)

2. Project Proposal Narrative:
  - a. A brief description of the applicant organization, its current programs and services.
  - b. A statement of the environmental problem being addressed and the particular skills, capacity and position that qualify the organization to undertake this work.
  - c. A description of the activity to be undertaken with Switzer Foundation support and outlining the specific work plan for the year.
  - d. A statement of anticipated results and evaluative criteria that the applicant organization will use in assessing these results. Please specify the targeted environmental outcomes.
  - e. A statement of how the organization will be strengthened by the collaboration with the Fellow, and the specific role and responsibilities of the Fellow. In addition, please specify training or professional development opportunities that will be provided to the Fellow during the project.
  - f. An explanation of the timing and commitment for raising matching funds for the project. Specify who is responsible for raising matching funds.
3. A letter from the Switzer Fellow relating the proposal to his or her professional development and public service career objectives.
4. The Switzer Fellow's curriculum vitae.
5. A statement signed by both the Fellow and the applicant organization regarding the nature of the collaboration and agreement between the two. Indicate whether the position is a temporary, part-time, full-time or consulting position and whether the position is expected to become permanent. An explanation of pay rate and benefits should be included.
6. An itemized income and expense budget for the project proposed, indicating other known or anticipated sources of funding. Please budget for attendance by the Fellow and another representative of the host organization at the annual fall Fellows' Retreat in California or New England as appropriate. In addition, please budget for any other training needs or professional development opportunities needed to meet the public service career objectives of the Switzer Fellow.
7. The organization's current operating budget and most recent financial statement.
8. For non-profit organizations, a copy of the IRS tax status determination letter along with a statement signed by an officer of the applicant organization that the IRS determination letter is still valid.



## LEADERSHIP PROGRAM

### LEADERSHIP GRANT PROGRAM FAQs

1. **WHAT DO I DO FIRST?** Start early and get a Switzer Fellow's commitment first. It is critical that you connect with a Switzer Fellow early in the process. A specific Switzer Fellow must be named and work with you to submit a proposal.
2. **HOW DO I FIND A SWITZER FELLOW?** The Switzer website ([www.switzernetwork.org](http://www.switzernetwork.org)) has a searchable [DIRECTORY](#) of all past and present Switzer Fellows and a [LEADERSHIP EXCHANGE](#) to help interested Fellows and Organizations find each other. Generally, Fellows who are just graduating from their academic programs are the most flexible.
3. **HOW DO I KNOW IF MY PROJECT IDEA IS SUITABLE?** Do your homework. Read the Switzer Leadership Program guidelines thoroughly and review other recently funded Leadership projects. A phone call or concept paper is required BEFORE submitting a full proposal. Lissa Widoff, the Switzer Foundation's Executive Director, can offer feedback and assess the suitability of your idea for this grant program, but we do not provide technical assistance in shaping or writing your proposal.
4. **WHAT ARE THE KEY CRITERIA FOR LEADERSHIP GRANT PROGRAM PROJECTS?**
  - **Your project is relevant:** You have related the goals and objectives of your project to a current and critical environmental issue. The project has the potential to solve a problem or improve a condition.
  - **A Switzer Fellow is critical to the execution and success of your project.** The Fellow's role is substantive in carrying out the project. The Fellow has special skills needed to fulfill the project.
  - **The project and the Switzer Fellow will help build the capacity of the organization.** The skills and expertise of the Fellow will leverage the organization to make a significant contribution on the environmental issue described in the proposal.
5. **HOW SHOULD THE PROPOSAL BE WRITTEN AND PRESENTED?** Follow the guidelines listed above, and be sure to include all the requested materials. Be sure your

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proposal is clear, free of jargon and emphasizes outcomes. Have another person critically read the proposal for both content and clarity. (Note: Outcomes are the specific conditions you hope to achieve - like reduction in pollution, increase in community involvement or changes in policy. This is different from outputs, or the things you will do - like hold meetings, write reports, etc.) Furthermore, responsibilities for accomplishing the project are clearly articulated, especially the role of the Fellow and other members of the organization involved in the project.

6. **HOW SHOULD WE ADDRESS EVALUATION IN THE PROPOSAL?** Describe the lasting results expected from the project. Include a plan to evaluate the successes and failures of the project and measurable outcomes. How will the impact of your project live on after the grant period has expired?
7. **WHAT TIME FRAME SHOULD WE PLAN FOR THE PROJECT?** Your project should match the resources available. Be realistic about what can be carried out within the time schedule and with the budget you propose.
8. **ARE MULTI-YEAR GRANTS AVAILABLE?** At this time, multi-year grant proposals are discouraged. However, grants of up to \$40,000 may be requested for a one or two-year period to help leverage other grant funds. Successful applicants may be permitted to apply for a second year of funding if needed. In the future, we hope to be able to offer multi-year grants. Please specify if the project is expected to be multi-year and describe your plans for raising necessary funding.
9. **ARE MATCHING FUNDS REQUIRED?** Yes. We expect that our funding can help establish a new position within your organization and that additional funds will be required to carry out the proposed project. For organizations invited to apply for a second year of funding, we anticipate that the organization's share of funding the Fellow and the project will increase over time and the Switzer Foundation share will decrease.
10. **HOW SHOULD WE DESCRIBE THE NEED TO RAISE ADDITIONAL FUNDS FOR THE PROJECT?** Fundraising and professional commitments must be made clear at the outset. The proposal must address who will raise other needed funds for the project and the role of the Fellow in any fundraising activities.
11. **HOW DO WE ENSURE THAT THE SWITZER FELLOW'S PROFESSIONAL OBJECTIVES WILL BE MET?** The proposal should address specific steps to build the professional standing of the Fellow and appropriate training or professional development opportunities for the Fellow that will be available during the project period. In addition, the terms of employment for the Fellow should be specified in writing.



## LEADERSHIP PROGRAM

### WHERE AND WHEN TO APPLY

#### Application Deadlines

Proposals will be reviewed two times during the year. Deadlines for proposals in 2005 are March 1 and October 1. Concept letters and telephone contact must be made at least 4 weeks prior to the full proposal deadline. Award decisions will be announced early June for the March deadline and early December for the October deadline.

Concept letter	February 1	September 1
Proposal deadline	March 1	October 1
Review/decision	May 15	December 15
Award notification	June 1	January 1

#### Where To Apply

Lissa Widoff, Executive Director  
 Robert and Patricia Switzer Foundation  
 PO Box 293  
 Belfast, ME 04915  
 207.338.5654 phone  
 207.338-5655 fax  
[lissa@switzernetwork.org](mailto:lissa@switzernetwork.org)  
[www.switzernetwork.org](http://www.switzernetwork.org)

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**Switzer Foundation  
Leadership Grant Program  
DRAFT CONCEPT LETTER**

Describe the project:

The proposed project would be entitled the "Felton Water System Public Acquisition Project." This project will facilitate San Lorenzo Valley Water District (SLVWD), a publicly owned and operated municipal water district, in carrying out the will of local voters.

In July 2005, local voters overwhelmingly approved a bond measure, known as Measure W, to finance the potential public acquisition of their private investor owned water utility system from a large multi-national corporation. The town of Felton, a small unincorporated area of Santa Cruz County, California with approximately 1,300 water service connections, historically received water service provide by the Citizen Utilities Company. In 2002 American Water Works Company bought the Felton water system from Citizens Utilities, and one of American Water's subsidiaries, California-American Water Company (Cal-Am), began operating the Felton water system. Shortly thereafter, Germany's Rheinisch-Westfsches Elektrizitwerk Aktiengesellschaft (RWE), the third largest water supplier in the world, acquired the assets of American Water Works Company.

The citizens of Felton, alarmed by multi-national corporate ownership of their water resources and a proposed 74% increase in local water rates, formed Friends of Locally Own Water (FLOW) to investigate the possibility of buying back their water system. FLOW's plan was to buy back the water system and turn operations over to the adjacent SLVWD, which provides 20,000 of their neighbors with high quality water at a substantially lower cost than Cal-Am. FLOW circulated a petition to have the citizens of Felton fund the proposed buyout through the issuance of \$11 million in bonds. The bonds would be repaid by Felton property owners taxing themselves over a period of 30 years.

Santa Cruz County Board of Supervisors unanimously supported FLOW's efforts, and initiated a Joint Facilities Agreement with SLVWD. The Joint Facilities Agreement authorizes Santa Cruz County subject to voter approval, to levy taxes and incur bond indebtedness. In addition, the Agreement authorizes SLVWD to purchase and incorporate the Felton water system with proceeds from the sale of these bonds.

On July 23, 2005 Felton voters approved Measure W with a 74.8 percent majority. Santa Cruz County Board of Supervisors passed an ordinance to levy the necessary taxes that will finance the bond, and approved issuance of the first set of bonds. SLVWD may now proceed using Measure W funds to acquire the Felton water system.

There are several steps in the potential acquisition project, which include but may not be limited to, assessing the potential environmental impacts of the proposed acquisition, assessing valuation of the holdings to be acquired, and negotiating with the current owners. These activities will require staff time to recruit the services of legal, financial, environmental and other consultants. Staff must evaluate consultants' proposals, reports and advice, and prepare recommendations for the Board of Directors. Staff must keep the community informed and notified as these steps proceed. Because the project is of wide

public interest and has been extensively covered by local media, staff must sustain a public relations effort throughout the process. In addition, a considerable amount of research will be needed to keep abreast of other efforts to achieve local control of water resources, from the regional to the global scale.

Describe the position for the Switzer Fellow:

SLVWD would propose to hire Switzer Fellow Betsy Herbert to serve as our liaison for the Felton Water System Public Acquisition Project. This is a full-time position for a period of one (1) year. Under administrative direction of the District Manager, the incumbent would be responsible for a variety of administrative and analytical duties including the following:

- Preparation and coordination of Requests for Proposals (RFPs) for the procurement of various legal, financial, environmental and other consultant services for the project.
- Monitor, review and evaluate various consultant reports and preparation of recommendations to the District Manager.
- Assist and participate in the development and coordination of strategic and administrative planning activities relative to the project.
- Attend SLVWD Board of Directors and other community meetings.
- Conducting public outreach for the project and serve as media contact for the project.

Describe the ways in which the proposed project will enhance the host organization's capacity to address issues of environmental quality:

The Felton Water System Public Acquisition Project, if successful, will incorporate an additional 1,300 service connections in the San Lorenzo Valley under SLVWD's umbrella of public service and local control. Because the agency is in public ownership, SLVWD's policies are decided by a locally elected Board of Directors, who are accountable to the voters. The mission statement for SLVWD is as follows:

"Our mission is: to provide our customers and all future generations with reliable, safe and high quality water at an equitable price; to create and maintain outstanding customer service; to manage and protect the environmental health of the aquifers and watersheds; and, to ensure the fiscal vitality of the San Lorenzo Valley Water District." This project will also serve as an important model for other communities seeking local control of their water resources.

Amount to be requested:

SLVWD will request the sum of \$40,000 from the Switzer Foundation Leadership Grant Program for the proposed project. Foundation funds would be utilized to cover the direct costs associated with the Switzer Fellowship Alumni's salary and benefits for a period of one (1) year. SLVWD would provide matching funds. The SLVWD Board of Directors is currently discussing the overall budget for the proposed project, including potential sources for matching funds.