

# **Managing Flood Risk: A Guide for Successful Mitigation**



***“Unity is strength... when there is teamwork and collaboration, wonderful things can be achieved.” -Mattie Stepanek***

By thinking, planning, and working together, the individuals and groups that make a community can accomplish goals that neither could achieve alone.



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Through a Cooperative Technical Partnership with the  
Federal Emergency Management Agency**

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# INTRODUCTION: GET INSPIRED

The picture on the front of this document is of the Modoc County Courthouse in Alturas. The north and south forks of the Pit River converge just downstream of downtown, a few blocks away from where the picture was taken. Chronic flooding has occurred in downtown Alturas for decades, repeatedly sending flood water down Main Street, making it difficult for the small town to cope with compounded damage and repair costs. How could this small, rural community with limited resources address their flood risk?

In an attempt to answer that question, the idea of a recipe for mitigation success—or a “Mitigation Cookbook”—was born. Using Alturas as the example, it became clear that this idea was much bigger than one small town in northern California. If the cookbook could help Alturas, why not Willits or Red Bluff, or any other municipality that needs help engaging the community in mitigating their flood risk?

This guide is intended for any city or town that needs to address their flood risk and is willing to take the initiative to seek funding and develop proposals to reduce or eliminate flood risk in their watershed. Similar to the favorite dishes that you might prepare for a family feast for the holidays, the “cookbook” includes a series of steps for you to reference as you create the ideal mitigation recipe for your community. The guide includes resources on how to engage the community and build partnerships, develop competitive grant proposals, seek funding from state and federal agencies, and the success stories of other communities that have dealt with similar flood risk issues.

Before you begin down the road to mitigation, take a look at what is possible and explore ideas for your particular situation. Often, when thinking about a special meal, you look for inspiration in many different places—the same can be said for mitigation. Start by identifying the risk that exists in your community, and then explore the tools you can use to address that risk. Visit the FEMA portfolio of Best Management Practices. The FEMA Best Management Practices portfolio is a collection of ideas, activities, projects and funding sources that can help reduce or prevent the impacts of disasters. FEMA invites you to browse through this portfolio and see what others have been doing. You can access the FEMA Best Management Practices Web site by visiting:

<http://www.fema.gov/mitigationbp/>

Continue by visiting the California Hazard Mitigation Web Portal. The California Emergency Management Agency is committed to promoting hazard mitigation as an integrated public policy. They provide a variety of resources on their web site. Among the resources is a listing of Mitigation Success Stories. These success stories can be accessed at:

[http://hazardmitigation.calema.ca.gov/resources\\_and\\_education](http://hazardmitigation.calema.ca.gov/resources_and_education)

Visit the Association of State Floodplain Managers Web site. The Association of State Floodplain Managers (ASFPM) began in 1977 as the supporting organization of professionals involved in floodplain management, flood hazard mitigation, flood preparedness, and flood warning and recovery. The mission of the Association is to mitigate the losses, costs and human suffering caused by flooding and to promote wise use of the natural and beneficial functions of floodplains. They maintain information on a variety of floodplain management topics. Among them are several documents highlighting best management practices and success stories from across the nation. You can access several publications that highlight

Best Management Practices by visiting the feature publications section of the ASFPM web site, which can be accessed at:

<http://www.floods.org>

There are a number of websites that highlight success stories, these are just a few. When you find a story that resonates with you, reach out, ask for the details. The flood mitigation community is always willing to share. Don't be afraid to reach out to your neighbors and engage communities throughout your watershed. When you create something special, like a signature dish, it is always best when you share it with others—you might find that your success inspires other communities to take action.

DRAFT

# Partnerships & Collaboration: gather the chefs

## How Do Collaborative Efforts Get Started?

**S**tep inside any great family kitchen during the holidays and you will find a hard working army of aunts, grandmothers, uncles and children boisterously chatting and cackling their way through the preparation of the holiday feast. Grandma is making the stuffing, Uncle Joe the turkey, Aunty Em the pies. Each member of the family has a **role to play and each contributes.** The same holds true for the members of your community.

The axiom that two heads are better than one really is true when it comes to strengthening communities in a holistic way. By thinking, planning, and working together, the individuals and groups that make a community can accomplish goals that neither could achieve alone.

Diverse stakeholders shape their holistic efforts through collaborative partnerships. These partnerships give communities a structure for organizing, planning, and implementing their ideas. Collaborative partnerships are the mechanism for designing comprehensive strategies that strengthen communities.

The process of building a collaborative partnership is multidimensional. It involves:

- Recognizing opportunities for change;
- Mobilizing people and resources to create changes;
- Developing a vision of long-term change;
- Seeking support and involvement from diverse and non-traditional partners;
- Choosing an effective group structure;
- Building trust among collaborators; and
- Developing learning opportunities for partners.

## Creative Approaches Can Increase the Effectiveness of Governance Groups

A large governing group can form subgroups to build communication and trust, and prepare members to address specific topics. Small groups provide opportunities for local residents and other partners to get to know each other personally, before they work together in larger settings.

The guidelines your partnership chooses should be based on the unique context of your community. However, two general strategies can help most partnerships work effectively:

- **Share the spotlight; seek input from all partners.** In a truly collaborative effort, partners relate to each other on a non-hierarchical basis, regardless of the organizational structure (Jehl & Kirst, 1992). No single agency, organization, or individual should dominate or control the decision making process. Promote this balance by setting goals for your comprehensive partnership that are broader than the goals of any participating agency or individual and cannot be reached through the efforts of any single group.
- **Include community members in decision making.** Local residents bring unique perspectives and skills to partnerships and are knowledgeable about the community's cultures and languages. They remind professionals that their issues require more complex solutions than simply creating a new categorical program, and can educate other partners by describing what they and their children experience in the community outside the government or agency. By involving community members in decision making, emerging partnerships may find strategies that eluded professional staff and also demonstrate that local residents are respected as full partners. However, the schedules of working parents may make it hard for them to participate unless the partnership schedules meetings on evenings or weekends--and provides child care.

## Local and National Flood Data Tell the Story

The data available at the national and regional levels only tells part of the story. For a holistic picture of a community's flood risk, it's important to look at information and data provided by the community itself. Because flood risk changes over time, this is a great opportunity to take a look at activities that impact your community's flood risks.

Data at the National/Regional Level	Community Data
<ul style="list-style-type: none"> <li>• FEMA-approved mitigation plans</li> <li>• Previous flood studies</li> <li>• Numbers of flood insurance policies</li> <li>• Letters of Map Amendment</li> <li>• Letters of Map Revision</li> <li>• Average Annualized Loss (AAL) information</li> <li>• Census data</li> <li>• Federal and State disaster information</li> </ul>	<ul style="list-style-type: none"> <li>• Historical local flooding mitigation activities and grant projects, ongoing or planned</li> <li>• Comprehensive plans</li> <li>• Local development and floodplain management plans</li> <li>• Infrastructure information, especially for levees and new bridges, dams, culverts, and road improvements</li> <li>• Building footprints or parcel data</li> <li>• Boundary, hydrography, and transportation layers</li> <li>• Elevation data</li> <li>• Flood study needs</li> <li>• Regional watershed plans</li> <li>• Details of the current flood risk communication process</li> <li>• Details on stormwater management activities</li> </ul>

### Why Is this Important?

Because flood hazards change over time, this effort provides a great opportunity to take a comprehensive look at the components that contribute to your community's and your watershed's flood risk. In addition to providing another perspective, participating in this process will increase your understanding of your flood risk and help you identify proactive steps you can take to protect your community from losses to life and property that often accompany flooding.

### The Goal

Communities will better understand local flood risk, mitigation efforts, and other topics and spark watershed-wide discussions about increasing resilience to flooding. Communities identify areas at risk for flooding and solutions for reducing that risk.

### The Partners

- Community and Tribal officials, including leaders, floodplain administrators, engineers, watershed council representatives, planners, emergency managers, and GIS specialists, Federal, State, and regional, non-profit organizations concerned with flooding or land use
- Other locally-identified stakeholders

Keep in mind risks to your community can also affect communities that live upstream or downstream. In addition, adjacent communities might be planning actions that mitigate their flood risk, which may impact your flood risk. When visiting communities to help them identify their flood risk issues, many agencies

including FEMA and DWR, focus on a specific region—or watershed area—to group community risk. These regions are based on the United States Geological Service (USGS) hydrologic unit codes (HUCS) which divide the United States into regions and sub-regions based on drainage areas. The sub-region classifications that FEMA and DWR are focusing their efforts on are “HUC 8” watersheds, and can include multiple communities within each sub-region. It is highly recommended that all the communities within a HUC 8 communicate their risk with each other, and potentially collaborate on reducing flood risk on a regional scale throughout their watershed.

### **What are Hydrologic Units?**

The United States is divided and sub-divided into successively smaller hydrologic units which are classified into four levels: regions, sub-regions, accounting units, and cataloging units. The hydrologic units are arranged within each other, from the smallest (cataloging units) to the largest (regions). Each hydrologic unit is identified by a unique hydrologic unit code (HUC) consisting of two to eight digits based on the four levels of classification in the hydrologic unit system.

The first level of classification divides the Nation into 21 major geographic areas, or regions. These geographic areas contain either the drainage area of a major river, such as the Missouri region, or the combined drainage areas of a series of rivers, such as the Texas-Gulf region, which includes a number of rivers draining into the Gulf of Mexico. Eighteen of the regions occupy the land area of the conterminous United States. Alaska is region 19, the Hawaii Islands constitute region 20, and Puerto Rico and other outlying Caribbean areas are region 21.

The second level of classification divides the 21 regions into 221 sub-regions. A sub-region includes the area drained by a river system, a reach of a river and its tributaries in that reach, a closed basin(s), or a group of streams forming a coastal drainage area.

The third level of classification subdivides many of the sub-regions into accounting units. These 378 hydrologic accounting units are nested within, or can be equivalent to the sub-regions.

The fourth level of classification is the cataloging unit, the smallest element in the hierarchy of hydrologic units. A cataloging unit is a geographic area representing part of all of a surface drainage basin, a combination of drainage basins, or a distinct hydrologic feature. These units subdivide the sub-regions and accounting units into smaller areas. There are 2264 Cataloging Units in the Nation. [Cataloging Units sometimes are called "watersheds." See, for example, the [USGS Science in Your Watershed](#) or the [EPA Surf Your Watershed](#)

A great resource to guide you in your efforts to gather the chefs is the “Building Public Support for Floodplain Management” publication available on the ASFPM website at:

[http://www.floods.org/ace-files/documentlibrary/Publications/BPS\\_Guidebook\\_2\\_1\\_10.pdf](http://www.floods.org/ace-files/documentlibrary/Publications/BPS_Guidebook_2_1_10.pdf)

Take into account that there are resources outside of your immediate community as well; don’t confine your efforts to just your local officials. The Army Corps of Engineers offers a variety of Floodplain Management Services. The services include assistance with Hazard Mitigation Planning, technical assistance with structural and non-structural mitigation measures, and training and outreach on a variety of flood mitigation measures.

In California, you can contact the Sacramento District Floodplain Management Services by contacting the Sacramento District Public Affairs office at (916) 557-7461 or at [spk-pao@usace.army.mil](mailto:spk-pao@usace.army.mil). There may be charges for assistance; however upon request, program services are provided to State, regional, and local governments, Indian Tribes, and other non-Federal public agencies without charge.

FEMA also offers a variety of flood mitigation services. FEMA provides funding for mitigation programs that are designed to protect homes, businesses, and public facilities and infrastructure from future disaster damages.

FEMA's hazard mitigation programs include:

- Hazard Mitigation Grant Program (HMGP)
- Pre-Disaster Mitigation (PDM) program
- Flood Mitigation Assistance (FMA) program
- Occasional supplemental assistance, such as Unmet Needs

In California, you can contact FEMA Region IX by contacting the Mitigation Directorate at (510) 627-7100. California Department of Water Resources and the California Emergency Management Agency also offer a variety of flood mitigation services as well. These programs include:

- State Hazard Mitigation Planning
- Local Hazard Mitigation Planning
- Flood Mitigation Assistance (FMA) Planning
- Dam Safety Program
- <http://myplan.calema.ca.gov/>
- <http://hazardmitigation.calema.ca.gov/>
- <http://myhazards.calema.ca.gov/>
- <http://www.water.ca.gov/cvfmp/regionalplan/>
- <http://www.water.ca.gov/cvfmp/>

Although the effort takes time and requires careful attention, it's essential to creating strong, viable partnerships that produce lasting change. This section addresses the work that collaborative partnerships typically engage in as they begin and as they move toward action.

## Establishing a Collaborative Partnership



**Ensure a broad-based, inclusive partnership by seeking partners who represent a cross-section of the community:**

- local residents and business owners
- natural resource and ecosystem managers and local service groups and non-profits
- cultural and religious leaders
- political leaders and representatives from local universities and student groups
- staff and administrators from community organizations and health care and human service providers



**Don't wait for all partners to get on board before moving forward with your plans.**

- Partnerships expand gradually over time.
- As the community gradually embraces the idea, the size and impact of the partnership will grow.
- Research existing groups and efforts that might overlap with yours and invite them to the table.



**Establish an Effective Governance Structure.**

- Select a lead agency to manage the partnership.
- Create a new nonprofit agency to manage comprehensive strategies and free collaborators from the constraints of existing institutions and opens the possibility for change.
- Build a consortium of agencies to ensure shared leadership and collaboration with all partners.



**Form subgroups to build communication and trust, and prepare members to address specific topics.**

- Share the spotlight; seek input from all partners.
- Include community members in decision making.



**Develop a Shared Vision.**

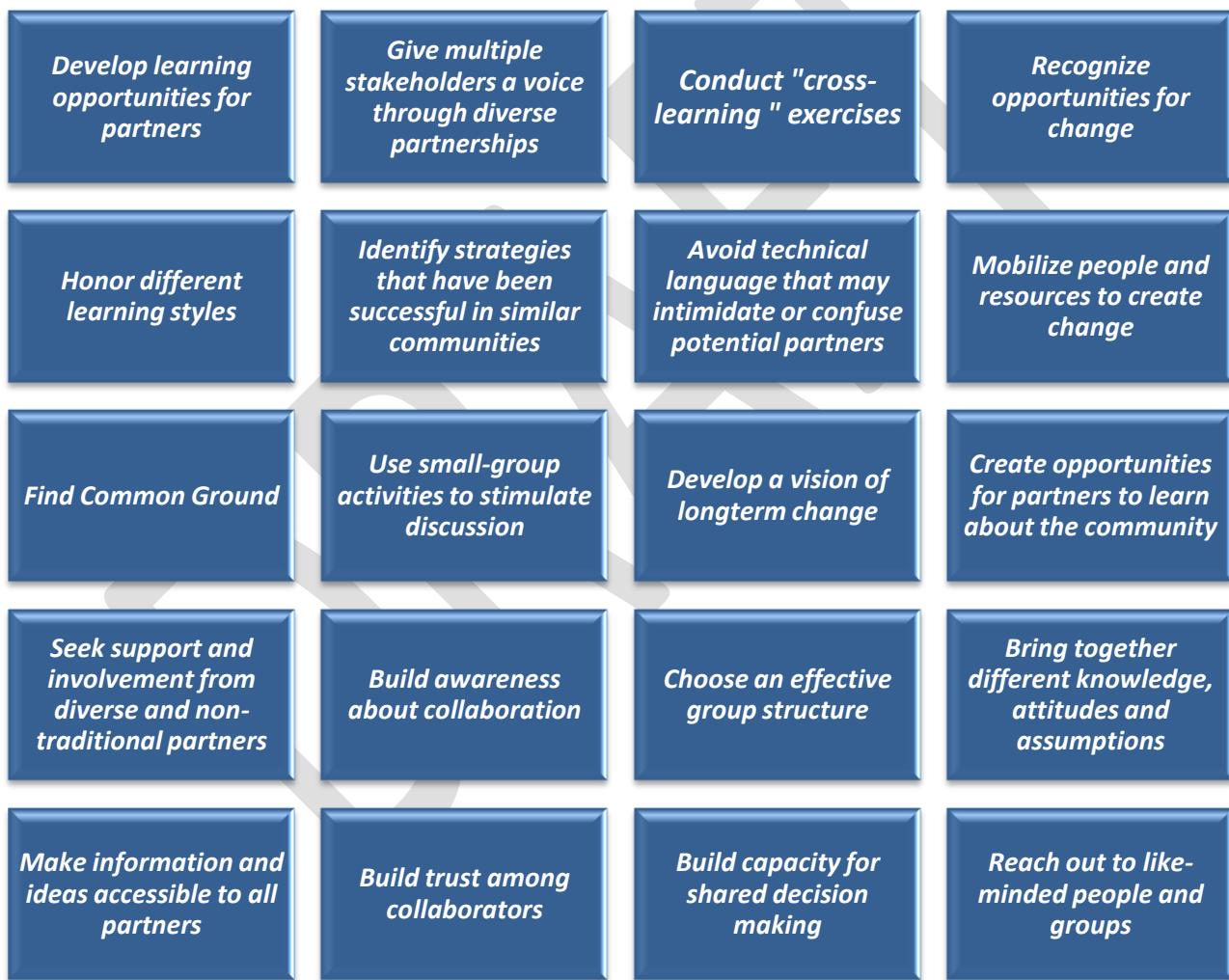
- Visit existing comprehensive strategies.
- Build shared ownership.
- Use a variety of approaches to capture ideas.
- Develop resources to support the local effort.

There are many catalysts for comprehensive partnerships. Some form when school leaders or local policy makers initiate collaboration. Others begin when a community becomes aware of an urgent need for change, or when funding becomes available to respond to conditions in the community.

Once an individual or small group of planners lights the spark of collaboration, community leaders join with city and county planners, emergency management representatives, insurance agents, and other local organizations and stakeholder groups to forge individual programs into comprehensive strategies. This core group evolves into a collaborative effort by

- 1) Understanding the context for collaboration,
- 2) Expanding to include local residents and other community partners,
- 3) Forming a partnership, and
- 4) Establishing an effective governance structure.

### The Collaboration Matrix



## DEVELOP A SHARED VISION: PLAN THE MENU

For example, a comprehensive partnership in El Paso County, Texas, developed a vision statement focusing on families, schools, and communities. The vision for each of the three groups began with a broad objective--such as, "Schools actively involve families and communities in their operation"--followed by specific goals such as:

- Campuses are open to the community, not just young children and students, for a wide array of child care, educational, health, and social services.
- Service providers, parents, teachers, and administrators share responsibility for education goals as well as the services offered at the school.
- Higher education institutions reach out to rural communities so that student teachers, especially those from the community, can teach in rural community schools and be supervised by university staff.

As you explore perspectives within the group and find common ground, you can begin to shape a vision that will guide your partnership. This process will evolve from discussions to consensus to a final written vision statement that reflects the conditions, interests, and issues of the community's many groups and organizations. The vision statement expresses your partnership's aspirations and concerns for the community. The vision may include concrete goals, but it also encompasses broader purposes.

The process of developing a shared vision is open-ended and exploratory (Kagan, 1994). It requires partners to set aside individual and agency-specific views in favor of a broader, community-wide perspective. The vision statement should reflect the fact that fulfilling the vision will require collaboration among all partners, so they are prepared for the collaborative nature of the path they have chosen.

*Because a shared vision sets the tone and direction for comprehensive strategies, it's worth investing time in formulating and reviewing your vision. This is an opportunity for you and your partners to think creatively about traditional strategies and to imagine innovative changes.*

## TIPS FOR TAKING ACTION: SEARCH OUT THE BEST INGREDIENTS

1. **Visit existing comprehensive strategies.** Arrange for administrators, agency representatives, local government staff, community members, and other partners to visit nearby programs. Seeing other efforts first-hand brings the concept home and starts creative ideas flowing.
2. **Build shared ownership.** Solicit ideas from all participants during the visioning process to promote inclusion. Write down ideas as they emerge to validate the contributions of all participants.

3. **Use a variety of approaches to capture ideas.** Remember that some people express themselves better in nonverbal ways. Use pictures, charts, diagrams, and color-coded lists to relay participants' ideas.
4. **Develop resources to support the local effort.** Even a contribution of \$150 from a local service club provides something tangible to move the effort forward--for example, postage and printing for flyers or child care for a community meeting.

<b>Building Cultural Awareness</b>
<p>Collaborative groups function most effectively when participants recognize, understand, and value cultural diversity. As you establish guidelines, define a target community, and develop your collective vision, try to learn about the cultures of individuals and groups in the community.</p> <p>State agencies, especially in California, may already have a tribal liaison in place that can help you establish and maintain contact with tribes that might be affected by your project.</p> <p>Ethnic groups, organizations, and communities each possess a distinct culture. A group's culture includes the informal rules, beliefs, and practices that guide interaction but are invisible to those outside the culture (Boyd, 1992). Encourage your partners to consider the following questions:</p> <ul style="list-style-type: none"> <li>• How is each organization's culture reflected in its policies, procedures, and practices and in the beliefs, values, and behavior of its staff?</li> <li>• How might cultural factors affect the way a partner or community member participates in comprehensive strategies?</li> <li>• Does each partner organization support collaboration and a focus on communities, or are these concepts likely to be met with resistance and lack of understanding?</li> <li>• How might the partnership's goals and vision be affected by cultural factors?</li> </ul>

## Working With American Indian Tribes

American Indian Tribes	Federally Recognized Tribes	American Indian Nations
<ul style="list-style-type: none"> <li>• Culturally Unique</li> <li>• Politically Unique</li> <li>• Socially Unique</li> <li>• Economically Unique</li> </ul>	<ul style="list-style-type: none"> <li>• Currently over 560 federally recognized tribes in the lower 48 and Alaska</li> <li>• Many groups are not federally recognized</li> </ul>	<ul style="list-style-type: none"> <li>• Sovereign Entities</li> <li>• Independent Government</li> </ul>
American Indian Nations	Tribal Governments	Working With Tribes
<ul style="list-style-type: none"> <li>• Have a vested interest in local, clean, sustainable, development</li> <li>• Often control large parcels of land and natural resources</li> <li>• May have legal rights that must be addressed during planning</li> </ul>	<ul style="list-style-type: none"> <li>• Combine the roles served by federal, state, and local governments</li> <li>• Are unique to each tribe</li> <li>• Are the sole point of contact for all external relations for most tribes</li> </ul>	<ul style="list-style-type: none"> <li>• Respect Cultural Differences</li> <li>• Learn about and respect tribal leaders</li> <li>• Take time to develop personal relationships with tribal contacts</li> <li>• Remember that your business is only one of the many proposals in front of the tribe</li> </ul>

## Build a Contact List

It can be difficult to develop and maintain a contact list—especially with large or multi-phased projects. It is important to maintain contacts over the life of a project and make sure that all the stakeholders are at the table throughout the process. Some projects are short and might last only a year or two, while other projects can last several years or even decades. In order to help you keep track of all your partners and stakeholders, we have provided the worksheet on the following page. Please feel free to make copies and use it to compile a list of contacts that you can refer back to as needed.

## Potential Partner/Stakeholder Worksheet

Name: \_\_\_\_\_

Affiliation: \_\_\_\_\_

Address: \_\_\_\_\_

Phone Number Cell: \_\_\_\_\_ Alternate: \_\_\_\_\_

Email: \_\_\_\_\_

## Meeting Details

Time: \_\_\_\_\_ Date: \_\_\_\_\_

**Location:** \_\_\_\_\_

## Partner/Stakeholder Description

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### **Additional Potential Contacts**

Name: \_\_\_\_\_

Affiliation: \_\_\_\_\_

**Address:** \_\_\_\_\_

**Phone Number Cell:** \_\_\_\_\_ **Alternate:** \_\_\_\_\_

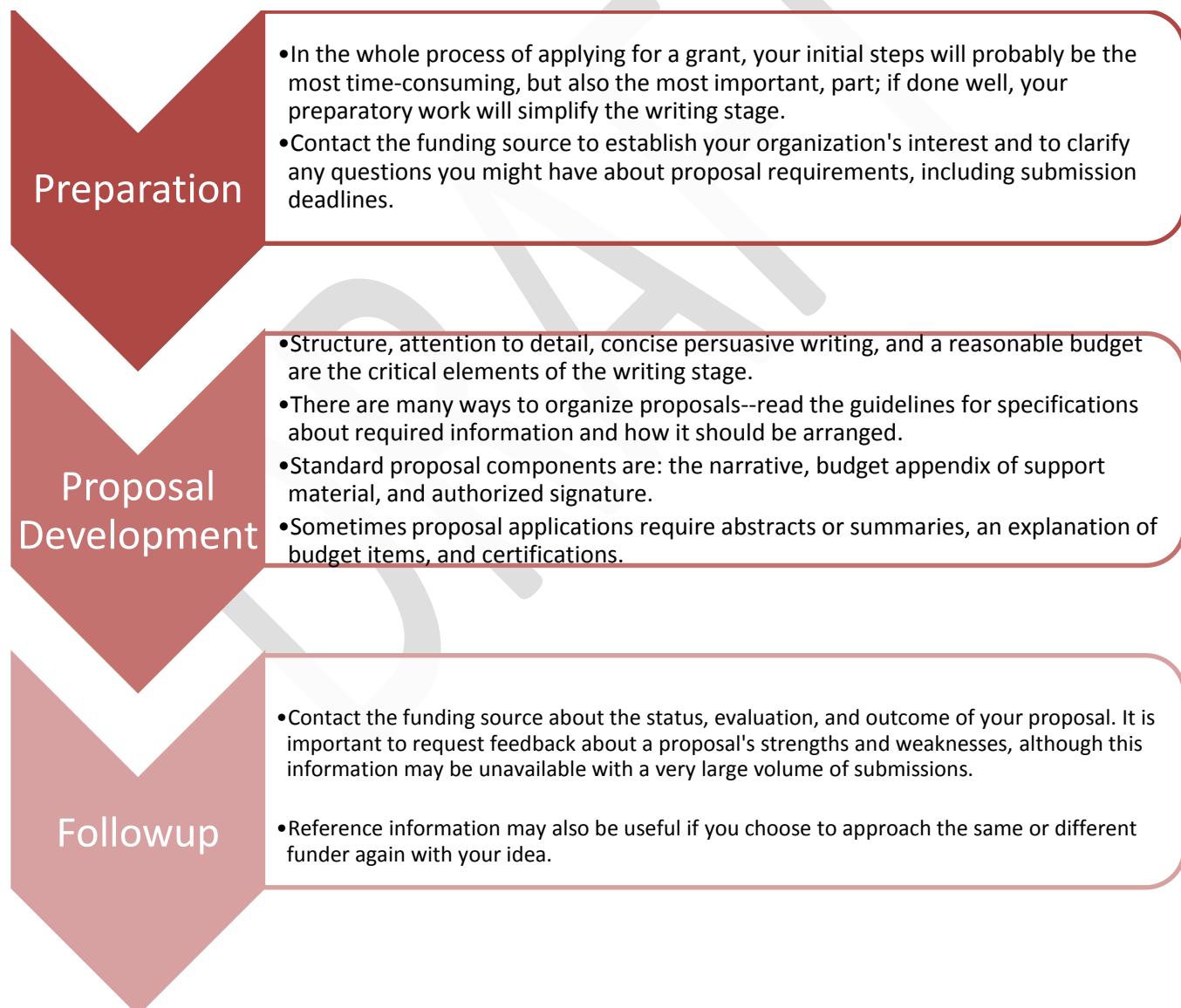
**Email:** \_\_\_\_\_

# EFFECTIVE PROPOSAL DEVELOPMENT: ROLL UP YOUR SLEEVES AND GET TO WORK

*"If everyone is thinking alike, then somebody isn't thinking."*  
-George S. Patton

## Is The Project Worth Funding?

**S**uccessful proposal writing involves the coordination of several activities, including planning, searching for data and resources, writing and packaging a proposal, submitting a proposal to a funder, and follow-up. Depending on the size of the project, proposal development time will vary. In general, you should allow at least a full month and up to six months to develop proposal. Here are the three main sections of effective proposal development:



# PREPARATION: MAKE IT YOUR SIGNATURE DISH WITH STYLE AND CREATIVITY

## 1. Define your project

- Clarify the purpose of your project and write a concise mission statement.
- Define the scope of work to focus your funding search.
- Determine the broad project goals then identify the specific objectives that define how you will focus the work to accomplish those goals.
- Decide who will benefit. Benefits may extend beyond the direct beneficiary to include the audience, other institutions, etc.
- Draft expected project outcomes in specific measurable terms.
- Draft a timeline that includes the planning phase, the period of searching for funds, proposal writing, and the intended project start date. Periodically update the timeline as you learn more about submission deadlines, award timetables, etc.

## 2. Identify the right funding sources

- Foundation centers, computerized databases, station development offices, publications, and public libraries are some of the resources available to assist your funding search.
- Do not limit your funding search to one source.
- Look for a match between your project and the grants you seek by looking for consistency between the purpose and goals of your project and the funder. In addition, pinpoint specific funding priorities and preferences.
- Make direct contact with funders to support projects like yours.
- Request proposal guidelines. Also request a list of projects previously funded through this specific grant program; an annual report may be available.
- Inquire about the maximum amount of the grant. Also, find out the average size and funding range of awards.
- Determine if funding levels of the grants you select are appropriate for your project. Note whether there is a funding floor or ceiling.
- Find out whether the funder has other grant sources for which your project is eligible.

## 3. Contact the funders

- Think of the funder as a resource.
- Identify a project officer who will address your questions.
- Some funders offer technical assistance, others do not. If it's available, ask for technical assistance, including a review of proposal drafts.
- Inquire about how proposals are reviewed and how decisions are made.
- Inquire about budgetary requirements and preferences. Are matching funds required? Is in-kind support acceptable as a portion of applicants' share? What may be counted as in-kind support, and how might it be applied?
- Learn about payment processes, including cash flow.
- Remember, the contacts you make may prove invaluable in the future.

#### 4. Acquire proposal guidelines

Read the guidelines carefully then read them again. Be sure to ask the funder any questions you may have.

Guidelines usually tell you about:

- submission deadlines
- eligibility
- proposal format: award levels forms, margins, spacing, evaluation process and restrictions on the number
- criteria of pages, etc.
- review timetable
- budgets
- funding goals and priorities
- award levels
- evaluation process and criteria
- whom to contact
- other submission requirements

#### 5. Know the submission deadline

- Plan to submit your proposal on or preferably before the deadline.
- Determine what format the funder requires for submission.
- Be realistic about whether you have time to prepare a competitive proposal that meets the deadline.
- Know the funder's policies on late submissions, exceptions, and mail delays.
- Find out how the funder will notify you about the receipt and status of your proposal. Factor this information into your timeline.

#### 6. Determine personnel needs

- Identify required personnel both by function and, if possible, by name.
- Contact project consultants, trainers, and other auxiliary personnel to seek availability; acquire permission to include them in the project; and negotiate compensation.
- Personnel compensation is important budget information.

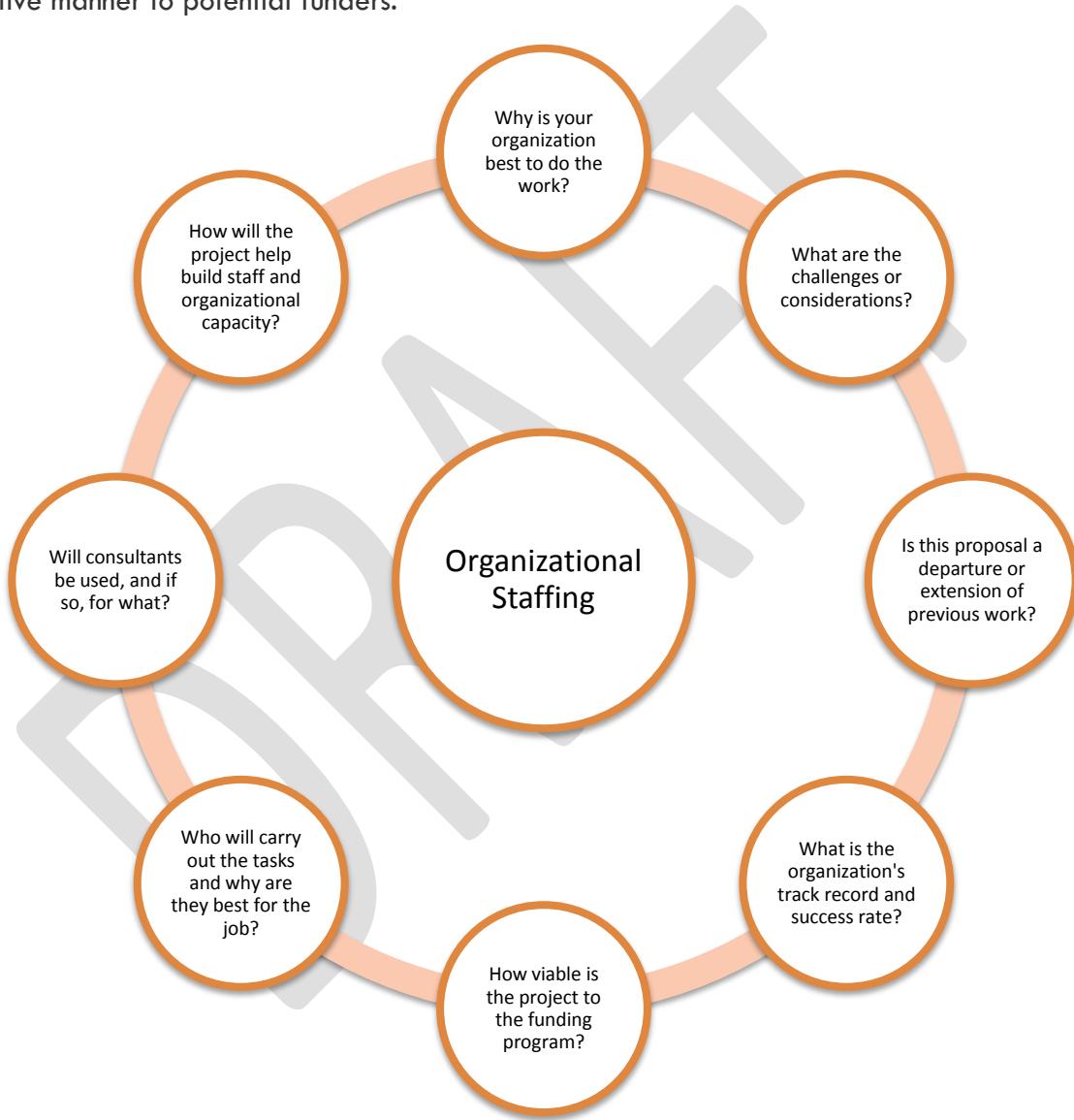
#### 7. Update your timeline

- This is a good point at which to update your timeline, now that you know about submission deadlines and review timetables.
- Factor into your schedule time to write multiple drafts, solicit the project officer for review of your draft, gather relevant and permissible materials, and prepare an impartial critique of your proposal for clarity, substance, and form.

# PROPOSAL DEVELOPMENT: RECOGNIZE WHEN TO LET YOUR PROJECT SIMMER

## *Organizational Staffing: Strengths, Capacity and Challenges*

It is important to understand your organizational capacity and be able to relay strengths and challenges in a positive manner to potential funders.



## Making the Case for Your Project

The proposal development process includes several key steps. Many grant funders will provide a unique proposal template to follow, with focal components and questions to guide you. In general, most

proposals should include the information depicted in the graph on the following page. We have also provided a proposal development worksheet that can help you begin to develop your project and keep track of potential projects for future proposals.



### The HOOK

There are many ways to represent the same idea. However, the HOOK tailors the description of the idea to the interest of a particular funder. The HOOK aligns the project with the purpose, and goals of the funding source. This is a critical aspect of any proposal's narrative because it determines how compelling reviewers will perceive your submission to be.

#### Narratives typically must satisfy the following questions:

- What do we want?
- What concern will be addressed and why it is important?
- Who will benefit and how?
- What specific objectives can be accomplished and how?
- How will results be measured?
- How does this funding request relate to the funder's purpose, objectives, and priorities?
- Who are we and how do we qualify to meet this need?

## **Proposal Development Worksheet**

### **Project Details**

Project Name: \_\_\_\_\_

Potential Partners: \_\_\_\_\_  
\_\_\_\_\_

Project Location: \_\_\_\_\_

Project Timeframe: \_\_\_\_\_

Project Cost Estimate: \_\_\_\_\_

### **Project Description**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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\_\_\_\_\_

\_\_\_\_\_

### **Potential Funder Contact Info**

Name: \_\_\_\_\_

Affiliation: \_\_\_\_\_

Address: \_\_\_\_\_

Phone Number Cell: \_\_\_\_\_ Alternate: \_\_\_\_\_

Email: \_\_\_\_\_

## The Narrative

### Executive Summary

- Brief statement about the project that draws the reader in.

### Statement of Need

- Purpose, goals, measurable objectives, and a compelling, logical reason why the proposal should be supported.
- Background provides perspective and is often a welcome component.

### Project Description

- Method and process of accomplishing goals and objectives, description of intended scope of work with expected outcomes, outline of activities, description of personnel functions with names of key staff and consultants, if possible.
- Include method of evaluation. Some funders will require very technical measurements of results. Inquire about expectations.
- Include a Project Timeline that paints a picture of project flow that includes start and end dates, schedule of activities, and projected outcomes. Should be detailed enough to include staff selection and start dates.

### Budget

- Planned budgets reflect carefully thought-out projects. Be sure to only include those things the funder is willing to support.

### Credentials

- Information about the applicant that certifies ability to successfully undertake the proposed effort. Typically includes institutional or individual track record and resumes.

## Budget 101

Budgets are cost projections. They are also a window into how projects will be implemented and managed.

Funders use these factors to assess budgets:

- Can the job be accomplished with this budget?
- How much money will be needed, for what, over what period of time?
- Is the budget realistic?
- Are there other committed funds or support, pending requests? Sources?
- Are costs reasonable for the market - or too high or low?
- Is the budget consistent with proposed activities?
- Is there sufficient budget detail and explanation?

Many funders provide mandatory budget forms that must be submitted with the proposal. Don't forget to list in-kind support and matching revenue, where appropriate. Be flexible about your budget in case the funder chooses to negotiate costs.

## Know Your Audience

Every grant funder has different proposal submission requirements, and they are constantly revised and updated to fit the current financial situation. It is extremely important to stay apprised of funding trends as well as grant administrative staff changes to be sure that you are aware of new funding opportunities and requirements. Many funders provide funding and proposal workshops and webinars, and proper planning is always a major factor in getting your projects funded. The following list includes several critical steps to a successful funding application.

### 6 STEPS TO A SUCCESSFUL APPLICATION

#### **Give yourself 3-6 months planning and development lead time.**



- Do a thorough review of the application/RFP first and then brief all the key people who need to authorize, sign-off or help complete the application.
- Develop a brief written synopsis of the guidelines to distribute to key staff with your expectations of them in the development process.

#### **Create a development schedule.**



- Ensure the schedule or timeline includes all the critical tasks (these are the benchmark activities that must be completed to keep the project moving)
- Predetermining critical tasks will help you monitor the process and employ emergency tactics if needed.
- Always assign responsibility for each critical task to stay on schedule and meet the submission deadline.

#### **Designate a project manager or hire one.**



- Collaborate as often as possible with other organizations--don't go it alone, especially if you are seeking funding from non-traditional sources.
- Seeking Community Development Block Grants and similar types of city/county funds is historically a very politically competitive endeavor since these funds tend to be let to the same organizations over time.

#### **Establish yourself with the funder.**



- Make a list of any questions, particularly those that seek clarity about instructions.
- Call the funder, introduce yourself and get feedback to your questions--this will allow you to get ahead of the game when you begin writing and new questions arise you already have a rapport with the funder.

#### **Hire a professional grant writer (if necessary).**



- Collaborate! Often nonprofit and local government agencies outsource grant writing activities, in some cases they even have grant writers on staff.
- When seeking joint funding opportunities or formally engage other partners in your project, you not only gain their alliance and possible allegiance, you gain access to their resources.

#### **Submit the application at least one day before it is due.**



- Make sure to include the submission instructions on the development schedule (email, mailing and delivery addresses, the number of copies required, and binding restrictions).
- If you plan to submit electronically, be prepared and allow yourself enough time to submit a hard copy by the deadline--just in case.

# FOLLOWUP: KEEP STIRRING THE POT & SET THE TABLE

## Keeping Track of Funding and Proposals

Proposal development can be extremely time consuming, and may not yield the results that you want or expect. It is important to remember that although your project may not get funded the first time, you can always revise your proposal and resubmit it at another time or to another potential funding source. You should keep track of all the proposals that you submit—regardless of whether or not they were funded. Proposals can be a great reference and can be excellent tools to refer to when developing new proposals or refining old ones. In addition, establishing a relationship with a funder or a potential funder might give you valuable insight into future requests for proposals. A funder that has awarded your organization funding in the past and has witnessed your capacity to complete the project on time and within the budget might be more likely to award your projects future funding. The following list includes several tactics to explore while developing and maintaining your relationship with past and future funders.

## **12 KEYS TO BUILDING A SUCCESSFUL RELATIONSHIP WITH FUNDERS**

- 1. Do your homework first:** Be sure you are informed before you talk to a representative. This may be a one-time opportunity to have a discussion and ask questions. Review their web site, and also check the listing of staff and board members; is there a link-up with someone from your organization?
- 2. Reaching out:** Personal contact is the key to building relationships. Do your best to make direct contact. Don't rely on email messages! A telephone conversation is the beginning of building a long-term relationship and if you can schedule an in-person meeting or site visit from the conversation, that is ideal.
- 3. Leverage your key stakeholders:** Be sure your board members, staff and volunteers feel confident and can skillfully represent your organization with key messages. They should be informed as to current priorities, goals, and fundraising activities and be able to describe the agency with clarity. They should also be prepared with extending next steps; how to invite a potential donor to learn more about the organization. If you haven't done so, consider bringing in a consultant to train your group. This can be a very worthwhile investment.
- 4. Site visits:** Strategize the kinds of opportunities your organization offers for a meaningful site visit. Plan this before talking to potential funders; then be prepared to invite them to visit a meeting, event or other opportunity where they can witness your mission at work.
- 5. Community Events:** Stay informed of events funders may attend and plan to personally attend or send key representatives from your organization. This may include conferences, receptions sponsored by your local community foundation, etc. Use these events to introduce yourself, let them know you are familiar with their foundation, and be ready to explain your work in the form of an "elevator speech" i.e. 3 minutes or less. This is a great way to introduce your organization to foundations who give on an 'invitation only' basis.
- 6. Education & Peer Resources:** It can be very helpful to attend training sessions and join professional round table discussions or other events where you can network with other grant seekers. Also, internet groups and

Linked In can be great resources. These will assist you in staying current with trends, identifying new prospects, as well as providing venues for posting questions.

**7. Invitations to your special events** – be sure to include potential and current funders on invitation lists for your special events. Include handwritten notes if at all possible. These are all opportunities to build personal relationships. Follow up with a personal call; did they see invite, are they able to attend, explain objectives of the event and/or check in post-event and inform them of outcomes.

**8. Got the gift?** Once you have received a gift, this is no time to drop the relationship building process. Remember these are investors in your organization. Develop a plan to regularly connect with your funders and major donors to keep them informed of your activities, learn more about them, and share your good news. Always remember to appreciate funders for their gift and to be specific about what it has done/is doing for the agency.

**9. The annual donor recognition reception:** Create an annual event to appreciate donors and invite prospects. This is also a great opportunity to invite donors you've identified for a possible upgrade, such as donors who are not at major levels, but are loyal over many years. This event should be inspiring with a presentation that illustrates your mission in action.

**10. The rejection letter:** This may be your first opportunity to make personal contact with the funder. Use the letter to contact the funder and have a conversation about why you were turned down. Get specifics and use this time to explore ways your work may still be a fit. Find out what their long-range plans are.

**11. No doesn't mean Never:** Keep checking back with funders, people and criteria change. With large public foundations, continue to work towards a site visit.

**12. Take advantage of technology:** Email announcements, e-letters, blogs, posting an inspiring video on your website or facebook or similar sites, are all ways to continue to inform funders of who you are, and what you are doing. These methods do not take the place of a personal relationship, but build towards it.

### Why You Should Watch Trends

Unless you are applying for designation and annual funding that is relatively stable, you should watch trends and allocations to the federal departments. When there is a large allocation made to one federal-government department, it's likely that large grant opportunities will be coming up within the year.

# SEEKING GOVERNMENT FUNDING: GATHER THE GUESTS

## What do State and Federal Funding Programs have to Offer?

You will find that federal-government grants are where the money is and where the work is! Federal government grants are meant to launch big programs; that's why awards can range from grants of less than \$10,000 to grants of several million dollars.

Federal-government requests for proposals are published in the Federal Register (or Catalog of Federal Domestic Assistance); are announced at various department sites on the Internet; and are available at [www.grants.gov](http://www.grants.gov). In addition, qualifying organizations often get advance notice of grants appropriate for their agency. Keep in mind, that most federal grant programs are administered through a State Administrative Agency (SAA), which means that you will most likely have to apply through the SAA and not directly to the federal funding agency.

*"Always bear in mind that your own resolution to succeed is more important than any other."*

--Abraham Lincoln

## Federal Grant Programs

### One-Time Opportunities

There are many one-time grant opportunities available from the federal government. These are usually multiyear awards — often of more than \$1 million — given to demonstration projects throughout the nation.

### New Grant Programs

When the federal government opens up a new grant program, such as the Homeland Security Act, it often means that fewer dollars are available for other grant programs. Often, particularly after an administrative change, some grant programs are phased out and funding available for grants is redistributed to new programs.

### Ongoing Federal Programs

Some federal grant programs have been offered yearly for decades, and are provided to designated agencies based on their progress reports and annual reapplications.

## What's a DUNS number?

Required on all federal grant applications, a DUNS number is the nonprofit organization's Dun and Bradstreet (D&B) number. You can apply by telephone or Internet for a DUNS number. D&B provides financial information about your organization to the federal government, eliminating the need for you to attach lengthy audit reports.

For instance, health-care clinics for the indigent may apply for a "330" designation by the federal government. Once they have that designation, they qualify to apply for ongoing funding through the aptly titled 330-program grants, which come up every year. While the 330 grants don't entirely support these clinics, they do provide a relatively stable source of ongoing funding. Head Start has also been funded for a number of years, with differing deadlines for resubmission based on geographic location.

## State Funding Resources

In 2006, DWR launched a comprehensive initiative to improve public safety through integrated flood management. The FloodSAFE program is a collaborative statewide effort designed to accomplish five broad goals:

- Reduce the Chance of Flooding
- Reduce the Consequences of Flooding
- Sustain Economic Growth
- Protect and Enhance Ecosystems
- Promote Sustainability

FEMA Region IX has been collaborating with DWR to combine resources and put California at the leading edge of Floodplain Management. Many tools such as web portals, newsletters, planning workshops and funding fairs have been developed to keep communities informed about new legislation, funding opportunities, case studies, and statewide floodplain management efforts including:

- <http://myplan.calema.ca.gov/>
- <http://hazardmitigation.calema.ca.gov/>
- <http://myhazards.calema.ca.gov/>
- <http://www.water.ca.gov/cvfmmp/regionalplan/>
- <http://www.water.ca.gov/cvfmmp/>





**FloodSAFE focus**  
A publication of the Department of Water Resources FloodSAFE California Initiative  
Volume 3 | Issue 1

**Board Announces a Series of Public Hearings to Seek Input from Stakeholders on the 2012 CVFPP**

The Central Valley Flood Protection Board (Board) has announced an agenda for a series of public hearings in April to seek input from stakeholders and others interested in the Public Draft 2012 Central Valley Flood Protection Plan (CVFPP). Additional public hearings with the Department of Water Resources (DWR) may be scheduled, if needed, before the final adoption of the CVFPP before July 1, 2012.

**At a Glance: Schedule of Board's April Public Meetings for 2012 CVFPP**

April 5: CVFPP Public Hearing, Sacramento, Resource Building Auditorium, 1410 3rd Street

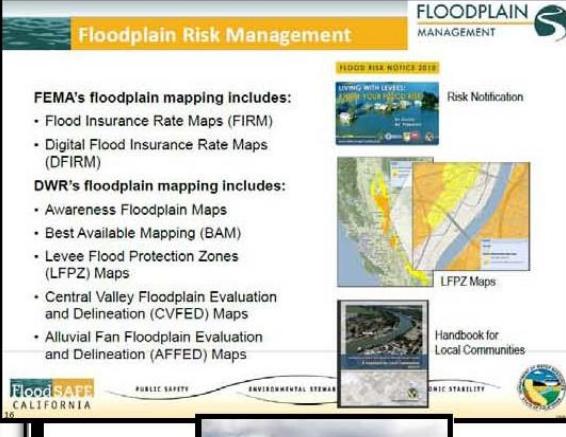
April 6: CVFPP Public Hearing, Marysville, Yuba County Government Center, Board of Supervisors Chambers, 305 Eighth Street

April 10: CVFPP Public Hearing, Stockton, Robert J. Cesar Agricultural Center, Assembly Room 1, 2101 East Cantrell Avenue

April 11: CVFPP Public Hearing, Woodland, Yolo County Board of Supervisors Chambers, Room 206, 1025 Court Street

Visit [cvfpp.ca.gov](http://cvfpp.ca.gov) for detailed schedule.

Key actions for the Board include conducting four day-long CVFPP public hearings in Sacramento, Marysville, Stockton and Woodland. The Board has structured the public hearings to increase interaction between itself and the public, and to allow the discussion of questions raised at the CVFPP in its planning documents. Content areas to be discussed include multi-benefit projects, urban infill/redevelopment area, employment, agricultural land use, funding and legislative proposals, among others.



**Floodplain Risk Management**

**FEMA's floodplain mapping includes:**

- Flood Insurance Rate Maps (FIRM)
- Digital Flood Insurance Rate Maps (DFIRM)

**DWR's floodplain mapping includes:**

- Awareness Floodplain Maps
- Best Available Mapping (BAM)
- Levee Flood Protection Zones (LFPZ) Maps
- Central Valley Floodplain Evaluation and Delineation (CVFED) Maps
- Alluvial Fan Floodplain Evaluation and Delineation (AFFED) Maps

**Risk Notification**

**LFPZ Maps**

**Handbook for Local Communities**

**ERIC STABILITY**



**California Financing Coordinating Committee**

**QUICK LINKS**

- 2012 Funding Fairs Page
- 2012 Funding Fair Registration
- 2012 Funding Fair Handbook
- Inquiry Form in Word
- Inquiry Form in PDF

**NEWS**

FOR IMMEDIATE RELEASE  
Funding Fair Details Information on Vital Infrastructure Projects

**WHO WE ARE...**



**2012 CFCC Funding Fairs  
Save the Date!**

Please join the California Financing Coordinating Committee (CFCC) for this **no-cost** event.

2012 SCHEDULE
March 28, 2012 (Wednesday) Caltrans District 11 Headquarters Gardner Auditorium 4000 Taylor Street San Diego, CA 92110
March 29, 2012 (Thursday) Regional Water Quality Control Board 9727 Main Street Highway 99, Suite 200 Riverside, CA 92501
April 25, 2012 (Wednesday) Fresno County Farm Bureau 1224 West Hedges Avenue Fresno, CA 93704
April 26, 2012 (Thursday) USGS Pacific Science Center The corner of Mission Street Extension and Western Drive Santa Cruz, CA 95060
May 15, 2012 (Wednesday) Cal EPA Headquarters Coastal Hearing Room 1001 T Street Sacramento, CA 95814 The registration link will be activated. Access to the website will be available online at <a href="http://www.cfcc.ca.gov/meetings/">http://www.cfcc.ca.gov/meetings/</a>

**AGENDA**

At each location, the Funding Fair Agenda is as follows:

Check-in: 8 a.m.-8:30 a.m.  
Agency Presentations: 8:30 a.m.-Noon  
Discuss your projects: Noon-3 p.m.

**ATTENDEE REGISTRATION**

Go to [www.cfcc.ca.gov](http://www.cfcc.ca.gov) and click on **Funding Fairs**.  
Funding Fair Questions?  
Please call (916) 447-9832 x 1029

For more information, please visit our web site at: [www.cfcc.ca.gov](http://www.cfcc.ca.gov)



A photograph showing a flooded area with houses and trees submerged in water.



**FloodSAFE CALIFORNIA**

PUBLIC SAFETY ENVIRONMENTAL STEWARDSHIP

## Flood Risk in California



*"Increasingly severe weather systems each season have accelerated the deterioration of the state's levee system to the point where they are now in danger of failing during the next major rainfall or earthquake. This worsening situation creates conditions of extreme peril to the public and property protected by the levees, to the environment, and to the very foundation of California's economy."*

-- Gov. Arnold Schwarzenegger  
in a letter to President Bush  
dated February 27, 2006

*"In California we know we have two kinds of levees those that have failed and those that will fail."*

--Jeffrey Mount

## Additional Resources

There are many additional state and federal resources that are available to help with managing flood risk. The following list is just a sample of all the available resources:

<http://www.fema.gov/about/contact/shmo.shtm>

<http://www.water.ca.gov/floodsafe/>

<http://www.grantsloans.water.ca.gov/>

<http://www.waterplan.water.ca.gov/>

<http://www.water.ca.gov/nav/nav.cfm?loc=t&id=103>

<http://www.water.ca.gov/cvmp/>

<http://www.floodsmart.gov/floodsmart/pages/index.jsp>

<http://www.water.ca.gov/levees/>

<http://www.calema.ca.gov/Pages/default.aspx>

<http://www.rcac.org/default.aspx>

This is not a complete list, but visiting any of these websites will lead you to many additional resources. In order to help you keep track of all of the potential funding resources for your project, please use the worksheet that we have provided on the following page as you develop your project proposal.

### Project Funding Worksheet

**Project Description:**

**Potential Partners:**

**Comments:**

Grant Name	Funding Agency	Eligibility	Website

## Federal Funding Resources for Mitigation Activities

GRANT NAME	DEPARTMENT OR AGENCY	DESCRIPTION	ELIGIBILITY INFORMATION	WEBSITES
Hazard Mitigation Grant Program	FEMA	<ul style="list-style-type: none"> <li>Funds mitigation projects in accordance with priorities identified in State, Tribal or local Hazard Mitigation Plans.</li> <li>Intended to significantly reduce or eliminate future risk to lives and property from natural hazards.</li> </ul>	<ul style="list-style-type: none"> <li>Eligible entities include governments of the States, Territories, Commonwealths, and Indian Tribes</li> <li>Local governments or certain non-profit organizations can apply as sub-applicants.</li> <li>Individual homeowners and businesses may not apply directly to the program; however, a community may apply on their behalf.</li> </ul>	<a href="http://www.fema.gov/about/contact/shmo.shtm">http://www.fema.gov/about/contact/shmo.shtm</a> <a href="http://www.fema.gov/government/grant/hmgp/index.shtm">http://www.fema.gov/government/grant/hmgp/index.shtm</a> <a href="http://www.fema.gov/library/viewRecord.do?id=4225">http://www.fema.gov/library/viewRecord.do?id=4225</a>
Pre-Disaster Mitigation (PDM) Grant Program	FEMA	<ul style="list-style-type: none"> <li>Provides funds for the implementation of mitigation projects prior to disaster events and reduces overall risks to people and buildings, while also reducing reliance on disaster funding for recovery.</li> </ul>	<ul style="list-style-type: none"> <li>Eligible entities include the governments of the States, Territories, Commonwealths, and Indian Tribes.</li> <li>Local Governments or certain non-profit organizations can apply as sub-applicants.</li> <li>Individual homeowners and businesses may not apply directly to the program; however, a community may apply on their behalf.</li> </ul>	<a href="http://www.fema.gov/about/contact/shmo.shtm">http://www.fema.gov/about/contact/shmo.shtm</a> <a href="http://www.fema.gov/government/grant/pdm/index.shtm">http://www.fema.gov/government/grant/pdm/index.shtm</a> <a href="http://www.fema.gov/library/viewRecord.do?id=4225">http://www.fema.gov/library/viewRecord.do?id=4225</a>
Flood Mitigation Assistance (FMA) Grant Program	FEMA	<ul style="list-style-type: none"> <li>FEMA provides FMA funds to help States, Tribes, and communities implement the long-term risk of flood damage to structures insured under the National</li> </ul>	<ul style="list-style-type: none"> <li>Eligible entities include the governments of the States, Territories, Commonwealths, and</li> </ul>	<a href="http://www.fema.gov/about/contact/shmo.shtm">http://www.fema.gov/about/contact/shmo.shtm</a>

		<p><b>Flood Insurance Program (NFIP).</b></p> <ul style="list-style-type: none"> <li>• Objective is to significantly reduce or permanently eliminate NFIP claims.</li> </ul>	<p><b>Indian Tribes.</b></p> <ul style="list-style-type: none"> <li>• Local Governments or certain non-profit organizations can apply as sub-applicants.</li> <li>• Individual homeowners and businesses may not apply directly to the program; however, a community may apply on their behalf.</li> </ul>	<a href="http://www.fema.gov/government/grant/fma/index.shtm">http://www.fema.gov/government/grant/fma/index.shtm</a>  <a href="http://www.fema.gov/library/viewRecord.do?id=4225">http://www.fema.gov/library/viewRecord.do?id=4225</a>
Repetitive Flood Claims (RFC) Grant Program	FEMA	<ul style="list-style-type: none"> <li>• Intended to significantly reduce flood damages to individual properties for which one or more claim payments for losses have been made under flood insurance coverage.</li> </ul>	<ul style="list-style-type: none"> <li>• Eligible entities include the governments of the States, Territories, Commonwealths, and Indian Tribes.</li> <li>• Local Governments or certain non-profit organizations can apply as sub-applicants.</li> <li>• Individual homeowners and businesses may not apply directly to the program; however, a community may apply on their behalf.</li> </ul>	<a href="http://www.fema.gov/about/contact/shmo.shtm">http://www.fema.gov/about/contact/shmo.shtm</a>  <a href="http://www.fema.gov/government/grant/rfc/index.shtm">http://www.fema.gov/government/grant/rfc/index.shtm</a>  <a href="http://www.fema.gov/library/viewRecord.do?id=4225">http://www.fema.gov/library/viewRecord.do?id=4225</a>
Severe Repetitive Loss (SRL) Grant Program	FEMA	<ul style="list-style-type: none"> <li>• Objective is to significantly reduce flood damages to residential properties that have experienced repetitive losses under flood insurance coverage.</li> </ul>	<ul style="list-style-type: none"> <li>• Eligible entities include the governments of the States, Territories, Commonwealths, and Indian Tribes.</li> <li>• Local Governments or certain non-profit organizations can apply as sub-applicants.</li> <li>• Individual homeowners and businesses may not apply directly to the program; however, a community</li> </ul>	<a href="http://www.fema.gov/about/contact/shmo.shtm">http://www.fema.gov/about/contact/shmo.shtm</a>  <a href="http://www.fema.gov/government/grant/srl/index.shtm">http://www.fema.gov/government/grant/srl/index.shtm</a>  <a href="http://www.fema.gov/library/viewRecord.do?id=4225">http://www.fema.gov/library/viewRecord.do?id=4225</a>

			<b>may apply on their behalf.</b>	
Public Assistance (PA) Grant Program	FEMA	<ul style="list-style-type: none"> <li>● Provides supplemental Federal disaster grant assistance for debris removal; emergency protective measures; and the repair, replacement, or restoration of certain facilities.</li> <li>● Also encourages protection of damaged facilities from future events by providing assistance for hazard mitigation measures during the recovery process.</li> </ul>	<b>Eligible applicants include:</b> <ul style="list-style-type: none"> <li>● State agencies</li> <li>● Local governments</li> <li>● Private non-profit organizations</li> <li>● Tribal governments</li> </ul>	<a href="http://www.fema.gov/about/contact/shmo.shtm">http://www.fema.gov/about/contact/shmo.shtm</a>  <a href="http://www.fema.gov/government/grant/pa/index.shtm">http://www.fema.gov/government/grant/pa/index.shtm</a>
Disaster Resilience for Rural Communities Grants	USDA	<ul style="list-style-type: none"> <li>● Advance basic research in enhancing disaster resilience in rural communities.</li> <li>● Provide research that addresses at least one of the following topics, or a combination of topics: <ul style="list-style-type: none"> <li>-Hazard mitigation practices of rural communities</li> <li>-Hazard preparedness and emergency response in rural communities</li> <li>-Disaster recovery in rural communities</li> </ul> </li> </ul>	<b>Eligible applicants include:</b> <ul style="list-style-type: none"> <li>● State Agricultural Experiment Stations</li> <li>● Colleges and universities</li> <li>● University research foundations</li> <li>● Other research institutions and organizations</li> <li>● Federal agencies</li> <li>● National laboratories</li> <li>● Private organizations or corporations</li> <li>● Individuals who are U.S. citizens, nationals, or permanent residents</li> <li>● Any group consisting of two or more of the eligible entities listed above</li> </ul>	<a href="http://www.csrees.usda.gov/fo/disasterresilienceforruralcommunities.cfm">http://www.csrees.usda.gov/fo/disasterresilienceforruralcommunities.cfm</a>
NRCS Emergency Watershed Protection Support Services	USDA	<ul style="list-style-type: none"> <li>● Assist sponsors and individuals in implementing emergency measures to relieve imminent hazards to life and property created by natural disaster.</li> <li>● Activities include providing financial and technical assistance to remove debris from streams, protect</li> </ul>	<ul style="list-style-type: none"> <li>● Public and private landowners that are represented by a sponsor that must be a public agency of the state, county, or city government, or a special district or tribal government.</li> </ul>	<a href="http://www.nrcs.usda.gov/programs/ewp/">http://www.nrcs.usda.gov/programs/ewp/</a>

		destabilized stream banks, establish cover on critically eroding lands, repairing conservation practices, and the purchase of flood plain easements.		
Business Physical Disaster Loans	U.S. Small Business Association	<ul style="list-style-type: none"> <li>Provide private non-profit organizations or businesses with loans up to \$2 million to repair or replace real property, machinery, equipment, fixtures, inventory, and leasehold improvements.</li> <li>Loans may be increased by as much as 20% for improvements designed to protect the damaged property against possible future disasters of the same type.</li> </ul>	<ul style="list-style-type: none"> <li>Businesses or private, non-profit organizations that are located in a declared disaster area and have incurred damage during the disaster.</li> </ul>	<a href="http://www.sba.gov/content/businesses-physical-disaster-loans">http://www.sba.gov/content/businesses-physical-disaster-loans</a>
Economic Injury Disaster Loans	U.S. Small Business Association	<ul style="list-style-type: none"> <li>Provides up to \$2 million of financial assistance to small businesses or private, non-profit organizations that suffer substantial economic injury as a result of a declared disaster, regardless of whether the applicant sustained physical damage.</li> </ul>	<p>Eligible applicants include:</p> <ul style="list-style-type: none"> <li>Small businesses</li> <li>Small agricultural cooperatives</li> <li>Certain non-profit organizations</li> </ul>	<a href="http://www.sba.gov/content/economic-injury-disaster-loans">http://www.sba.gov/content/economic-injury-disaster-loans</a>
Disaster Recovery Enhancement Fund  (Community Block Development Grant Program)	U.S. Department of Housing and Urban Development	<ul style="list-style-type: none"> <li>Encourages States to undertake activities and long-term strategies that focus on reducing damages from future natural disasters, such as: <ul style="list-style-type: none"> <li>-Development and adoption of forward-thinking land-use plans.</li> <li>-Individual mitigation measures to improve residential properties and make them less prone to damage.</li> <li>-Implementation of modern disaster resistant building codes.</li> </ul> </li> </ul>	<p>In the past, only states that received a disaster recovery allocation under Public Law 110-329 have qualified for this program:</p> <ul style="list-style-type: none"> <li>Arkansas</li> <li>California</li> <li>Florida</li> <li>Georgia</li> <li>Illinois</li> <li>Indiana</li> <li>Iowa</li> </ul>	<a href="http://www.hud.gov/offices/cpd/communitydevelopment/programs/drsl/dref.cfm">http://www.hud.gov/offices/cpd/communitydevelopment/programs/drsl/dref.cfm</a>

			<ul style="list-style-type: none"> <li>● Kentucky</li> <li>● Louisiana</li> <li>● Mississippi</li> <li>● Missouri</li> <li>● Puerto Rico</li> <li>● Tennessee</li> <li>● Texas</li> <li>● Wisconsin</li> </ul>	
Planning Assistance to States (PAS) Program	U.S. Army Corps of Engineers	<ul style="list-style-type: none"> <li>● Provides funds to assist with the preparation of comprehensive plans for the development, utilization, and conservation of water and related land. Types of funded studies include: <ul style="list-style-type: none"> <li>-Water Supply and Demand Studies</li> <li>-Water Quality Studies</li> <li>-Environmental Conservation/Restoration Studies</li> <li>-Wetlands Evaluation Studies</li> <li>-Dam Safety/Failure Studies</li> <li>-Flood Damage Reduction Studies</li> <li>-Flood Plain Management Studies</li> <li>-Coastal Zone Management/Protection Studies</li> <li>-Harbor/Port Studies</li> </ul> </li> </ul>	<p>Eligible applicants include:</p> <ul style="list-style-type: none"> <li>● States</li> <li>● Local governments</li> <li>● Other non-Federal entities</li> </ul>	<a href="http://www.lre.usace.army.mil/planning/assist.html">http://www.lre.usace.army.mil/planning/assist.html</a>
Flood Plain Management Services (FPMS)	U.S. Army Corps of Engineers	<ul style="list-style-type: none"> <li>● Provides funds for a wide range of technical services and planning guidance on floods and floodplain issues including: <ul style="list-style-type: none"> <li>-Flood damage mitigation study</li> <li>-Flood warning or preparedness study</li> <li>-Stormwater management study</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>● State and local governments can receive technical assistance free of charge. Requests are funded in the order in which they are received, subject to funding availability.</li> <li>● Program services are also offered to non-water resource Federal agencies</li> </ul>	<a href="http://www.lrl.usace.army.mil/p3mdo/article.asp?id=9&amp;MyCategory=126">http://www.lrl.usace.army.mil/p3mdo/article.asp?id=9&amp;MyCategory=126</a>

		<ul style="list-style-type: none"> <li>-Special flood hazard information report</li> <li>-GIS floodplain maps</li> <li>-Elevation reference mark database</li> <li>-Flood control planning database</li> <li>-Urbanization analysis</li> <li>-Dam failure analysis</li> <li>-HEC-1 and HEC-2 workshops</li> <li>-Community floodzone database</li> <li>-Community rating system support</li> <li>-Floodproofing Workshops</li> </ul>	<p>and to the private sector on a 100% cost recovery basis.</p>	
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### State Funding Resources for Mitigation Activities

Program Name	Grantee Eligibility	Program Description & Eligible Projects	Funding Source <sup>1</sup>
<b>Delta Levees Program</b>	Local Public Agencies	<p>This program provides financial assistance to local agencies in the Delta and portions for the Suisun Marsh as outlined in Water Code §12200 et seq. for levee maintenance and improvements costs, and to provide mitigation and environmental enhancement associated with Delta and Suisun Marsh levee maintenance and improvements.</p> <p>There are several components of the <a href="#">Delta Levees Program</a>. These components offer a variety of tools to implement projects efficiently to achieve core program goals. The two largest components are the Special Flood Control Projects and Delta Levee Subventions. Through these components, the majority of the Delta Levees Program is utilized to plan and build levee maintenance, levee improvement, and habitat-related projects.</p>	Proposition 84 will provide \$57.9 million to the Delta Levees Program for Fiscal Year 2007-08

<b>Flood Control Subventions Program</b>	Local Public Agencies	<p>This program is for local agencies with authorized projects as outlined in Water Code §12570, §12750, or §12850 that are not part of the State Plan of Flood Control.</p> <p>The <a href="#">Flood Control Subventions Program</a> provides financial assistance to local agencies cooperating in the construction of federally-authorized flood control projects (minor or major), and Watershed Protection Flood Prevention Projects.</p>	Proposition 84 will provide \$100 million to the Flood Control Subventions Program for Fiscal Year 2007-08
<b>Flood Protection Corridor Program</b>	Local Public Agencies Non-Profit/Citizens Groups State and Federal Agencies	<p>This program is for primarily non-structural projects that include wildlife habitat enhancement and/or agricultural land preservation.</p> <p>The <a href="#">Flood Protection Corridor Program</a> (FPCP) was established when California voters passed Proposition 13, the "Safe Drinking Water, Watershed Protection and Flood Protection Act" in March of 2000.</p>	Proposition 84 will provide \$25 million to the FPCP for Fiscal Year 2007-08.
<b>Floodway Corridor Program</b>	To Be Determined; Likely Similar to Flood Protection Corridor Program	<p>This program is similar to <b>Flood Protection Corridor Program</b>, but projects can be larger and focus will likely be on protecting urban areas.</p>	Proposition 1E provides only program start-up funds (\$2 million) in FY 2007-08
<b>Local Levee Assistance Program</b>	Local Public Agencies	<p>The <a href="#">Local Levee Assistance Program</a> (LLAP) is for projects to immediately repair and improve critically-damaged local levees, evaluate levee stability and levee seepage and underseepage, and to perform design or alternatives analysis. Local levees are levees throughout the State that are not part of the State Plan of Flood Control for the Central Valley and are not located within the Sacramento-San Joaquin Delta.</p> <p>LLAP has two components. The Local Levee Critical Repair (LLCR) Program provides for design and repairs of critically-damaged levees. The Local Levee</p>	Proposition 84 will provide \$60 million to the Local Levee Assistance Program for Fiscal Year 2007-08.  (\$40M for Local Levee Urgent Repair Program) (\$20M for Local Levee Evaluation Program)

		Evaluation (LOLE) Program provides funds for feasibility studies and geotechnical evaluation of levees. Both programs require a 50% base cost share. Applicants can increase cost share up to a maximum of 90% by contributing to one or more objectives outlined in the program <a href="#">Guidelines</a> .	\$49.7M is currently available for projects.
<b>State-Federal Flood Control System Modifications</b>	Local Public Agencies  Federal Agencies	This program provides funding for local agencies and Federal government projects on the State-Federal flood control system that: (1) are/would become part of the State Plan of Flood Control for the Central Valley; and (2) are consistent with the objectives and requirements of Propositions 1E and 84.  Funding for this program was established in 2006 when California voters approved Propositions 1E and 84. The criteria for selection of early implementation projects are embodied within the Bond Expenditure Plan required by Proposition 1E.  <a href="#">Early Implementation Program Summaries (PDF: 26KB)</a>	Propositions 84 and 1E will provide \$200 million for early implementation of State-Federal Flood Control System Modification projects in the Central Valley for Fiscal Year 2007-08.  (\$170M from Proposition 1E) (\$30M from Proposition 84)
<b>Urban Streams Restoration Program</b>	Local Public Agencies  Non-Profit/Citizens Groups	This program is for projects that assist communities in reducing damages from stream bank and watershed instability and floods while restoring the environmental and aesthetic values of streams, and to encourage stewardship and maintenance of streams by the community.  Please check the <a href="#">Urban Streams Restoration Program</a> website periodically for updates.	Proposition 84 will provide \$9.1 million to the Urban Stream Restoration Program for Fiscal Year 2007-08.

<sup>1</sup> Indicated funding levels include program administration costs.

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*"Experience enables you to recognize a mistake when you make it again."*

--Franklin P. Jones

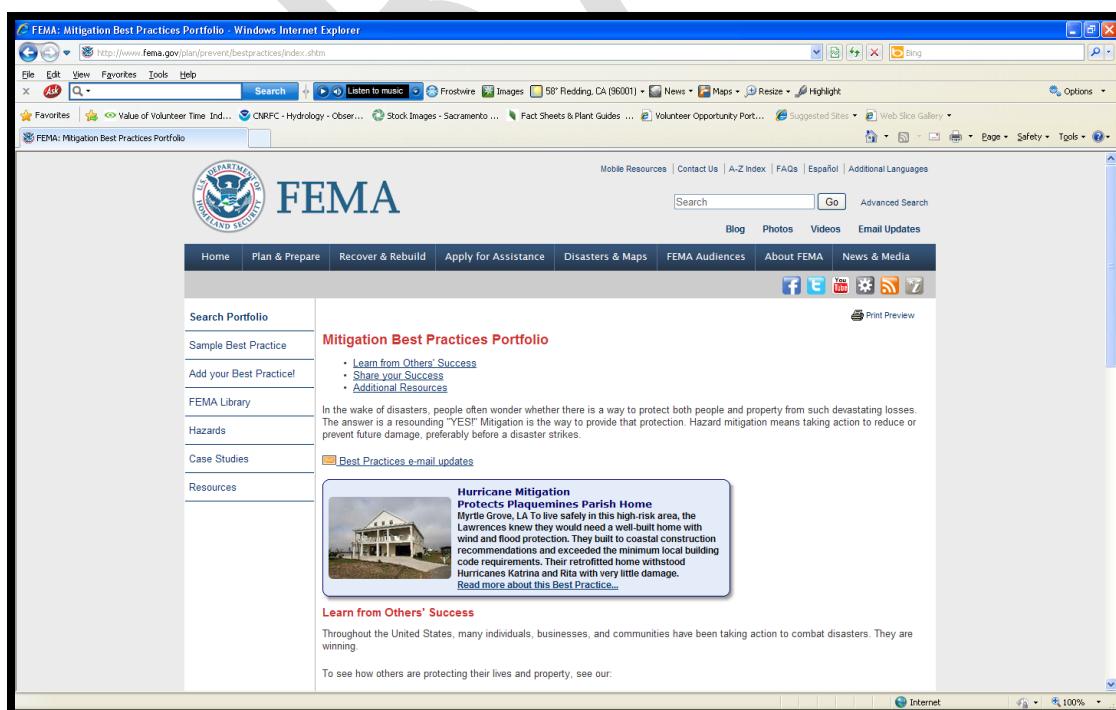
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## SHARING SUCCESS STORIES: CELEBRATE THE FEAST

### How Have Other Communities Dealt with Flood Risk?

When you discover a delicious new recipe or meal, you naturally want to share it with your friends and family—and you would hope that they would do the same. Many small or rural communities can become overwhelmed when trying to address hazard mitigation issues such as flood risk. In order to encourage communities to take action, FEMA developed a web-based tool that allows municipalities to share success stories about how they dealt with risk in their own community. The Mitigation Best Management Portfolio (MBMP) is a searchable database of success stories submitted by communities throughout the country. The MBMP is an excellent resource to search for proven hazard mitigation practices that have been successfully implemented in communities similar to yours. Please visit the website at:

<http://www.fema.gov/plan/prevent/bestpractices/index.shtm>



# Homes Saved From Flooding-Hazard Mitigation Grant Program Used to Purchase Homes

## Livingston County, Michigan

*Willingness to work with FEMA and local agencies resulted in a better way of life in Livingston County, MI.*

### Main Points

- Six mobile homes were purchased through the Hazard Mitigation Program Grant (HMPG) to eliminate the emotional and financial hardships that would afflict the homes' residents following potential floods.
- Granted \$524,475, the Livingston County Drain Commission acquired six residential structures in the Portage River floodplain.
- Damage to the homes would result due to sewer backups caused by short-term power failure at pumping stations and the capacity of the storm water collection system being exceeded when floods occurred.
- The mobile homes were removed and the sewer system was secured to prevent future backups of sewage into neighboring homes and waterways.
- Potential hardships caused by this recent flood were avoided and will continue to be avoided in years to come.

### Activity/Project Location

Geographical Area: **Single County in a State**  
FEMA Region: **Region V**  
State: **Michigan**  
County: **Livingston County**

### Key Activity/Project Information

Sector: **Public/Private Partnership**  
Hazard Type: **Flooding; Dam/Levee Break**  
Activity/Project Type: **Acquisition/Buyouts; Flood Control; Floodplain Management**  
Structure Type: **Mobile Home**  
Activity/Project Start Date: **12/2001**  
Activity/Project End Date: **07/2007**  
Funding Source: **Hazard Mitigation Grant Program (HMGP)**  
Funding Recipient: **Local Government**  
Funding Recipient Name: **Livingston County Drain Commission**

### Activity/Project Disaster Information

Mitigation Resulted From Federal Disaster? **Yes**  
Federal Disaster #: **1346 , 10/17/2000**  
Value Tested By Disaster? **Yes**  
Tested By Federal Disaster #: **No Federal Disaster specified**  
Year First Tested: **2005**  
Repetitive Loss Property? **Unknown**

### Activity/Project Economic Analysis

Cost: **\$584,887.00 (Actual)**  
Non FEMA Cost:

### Reference URLs

Reference URL 1:  
<http://www.co.livingston.mi.us/>  
Reference URL 2: <http://www.floodsmart.gov/>

# Napa River Flood Protection Project

Napa County, California

*Repeated flooding over decades left a path of damage and destruction in Napa County, CA.*

## Main Points

- Over the span of 36 years (1961-1997), a total off 19 floods have caused more than \$542 million in residential property damage.
- The Napa River – Napa Creek Flood Protection Project was voted into effect in March 1998.
- Measure A, a half-cent local sales tax levy passed by the citizens of Napa County, provided a funding mechanism for the local share of the project cost
- December 2005 was the first test for Napa County's new mitigation efforts when nearly 10 inches fell in a 24 hour period.
- At the time of the December 2005 floods, officials estimated that the project was only 40% completed. However, significant losses were avoided.

## Activity/Project Location

Geographical Area: **Single County in a State**  
FEMA Region: **Region IX**  
State: **California**  
County: **Napa County**  
City/Community: **Napa**

## Key Activity/Project Information

Sector: **Public/Private Partnership**  
Hazard Type: **Flooding**  
Activity/Project Type: **Acquisition/Buyouts; Flood Control; Wetland Restoration**  
Activity/Project Start Date: **03/1998**  
Activity/Project End Date: **Ongoing**  
Funding Source: **Flood Mitigation Assistance (FMA); Hazard Mitigation Grant Program (HMGP); Mitigation Planning; National Flood Insurance Program (NFIP); State sources; Other Federal Agencies (OFA); Other FEMA funds/ US Department of Homeland Security; Property Owner, Commercial; Property Owner, Residential; U.S. Small Business Administration (SBA)**  
Funding Recipient: **Local Government**

Funding Recipient Name: **Napa County Flood Control and Water Conservation District**  
Application/Project Number: **9999**

## Activity/Project Disaster Information

Mitigation Resulted From Federal Disaster? **Yes**  
Federal Disaster #: **1046, 3/12/1995**  
Federal Disaster Year: **1995**  
Value Tested By Disaster? **Yes**  
Tested By Federal Disaster #: **No Federal Disaster specified**  
Repetitive Loss Property? **Yes**

## Activity/Project Economic Analysis

Cost: **\$18,940,392.00 (Actual)**  
Non FEMA Cost: **Not specified**

## Reference URLs

Reference URL 1: <http://www.napaflooddistrict.org>  
Reference URL 2: <http://www.cityofnapa.org>

# Snake Creek Diversion Channel

McCook County, South Dakota

**FEMA's HMGP Project Proved Successful in Four Flooding Events: Snake Creek Diversion Channel Reduces Flood Risk in Salem, SD**

## Main Points

- FEMA's Hazard Mitigation Grant Program (HMGP) project proved successful in four flooding events in Salem, McCook County, SD.
- In 1993, the city of approximately 1,300 experienced a flood that damaged 68 homes, affected 22 businesses, destroyed utilities and closed roads, and sent its residents to shelters.
- In 1995, the city built a diversion channel along Snake Creek that accommodates overflow during heavy rains and flooding. In four subsequent events (in 1995, 2008, 2009, and 2010), the area drained by the diversion avoided flooding despite heavy rains. Approximately 72 percent of the funding for the project came from HMGP and the rest from local sources.

## Activity/Project Location

Geographical Area: **Single County in a State**  
FEMA Region: **Region VIII**  
State: **South Dakota**  
County: **McCook County**  
City/Community: **Salem**

## Key Activity/Project Information

Sector: **Public**  
Hazard Type: **Flooding**  
Activity/Project Type: **Flood Control**  
Activity/Project Start Date: **06/1995**  
Activity/Project End Date: **Ongoing**  
Funding Source: **Hazard Mitigation Grant Program (HMGP)**  
Funding Recipient: **Local Government**  
Funding Recipient Name: **City of Salem**  
Application/Project Number: **1**

## Activity/Project Disaster Information

Mitigation Resulted From Federal Disaster? **Yes**  
Federal Disaster #: **999 , 07/19/1993**  
Federal Disaster Year: **1993**  
Value Tested By Disaster? **Yes**  
Tested By Federal Disaster #: **1844 , 06/16/2009; 1886 , 03/09/2010**  
Repetitive Loss Property? **Unknown**

## Activity/Project Economic Analysis

Cost: **\$902,612.00 (Actual)**  
Non FEMA Cost: **247873**

## Reference URLs

No URLs were submitted

# Puyallup River Levee Rehabilitation Project

Pierce County, Washington

**A Team Approach Demonstrates a Creative and Ecologically Sound Way to Address Issues of Flood Control in Pierce County, WA.**

## Main Points

- Since the early 1900s, approximately 90 miles of levees have been built in the Puyallup River system.
- Although the levees were built primarily to control inundation of agricultural fields, the flood protection afforded by the levees allowed human occupation and development of the floodplain.
- That protection was compromised over time, however, as maintenance lapsed and sections of the levees were damaged or destroyed by flooding and resulting erosion.
- After a 1996 flood, efforts began to address the flood damages and reduce the risk of future damages.
- The plan proposed creating a system of new setback levees (built several hundred feet from the river's edge) and bank protection measures.
- The reconnection of the Puyallup River with about 125 acres of its natural floodplain had positive consequences.

## Activity/Project Location

Geographical Area: **Single County in a State**  
FEMA Region: **Region X**  
State: **Washington**  
County: **Pierce County**  
City/Community: **Orting**

## Key Activity/Project Information

Sector: **Public**  
Hazard Type: **Flooding**  
Activity/Project Type: **Flood-proofing; Flood Control**  
Activity/Project Start Date: **02/1996**  
Activity/Project End Date: **12/1997**  
Funding Source: **Hazard Mitigation Grant Program (HMGP); State sources**

Application/Project Number: **9999**

## Activity/Project Disaster Information

Mitigation Resulted From Federal Disaster? **Unknown**  
Value Tested By Disaster? **Unknown**  
Repetitive Loss Property? **Unknown**

## Activity/Project Economic Analysis

Cost: **Amount Not Available**  
Non FEMA Cost: **0**

## Reference URLs

Reference URL 1: <http://www.floodsmart.gov>  
Reference URL 2: <http://www.usace.army.mil/>

## Buyouts in Kokomo, Indiana

Howard County, Indiana

**A Broad Vision and Pooled Resources Helps Limit the Financial and Emotional Toll of Repetitive Flooding on a Community in Howard County, IN.**

### Main Points

- A neighborhood near Wildcat Creek was prone to repetitive flooding.
- The residents took pre-emptive action by purchasing sump pumps and raising appliances such as furnaces and water heaters.
- The community followed the HUD process for selecting which homes to buyout.
- The City sent out informative mailings while the application for the HMGP funds was being processed.
- HUD Block Grants and Urban Enterprise Association funds were pursued to incorporate more properties in the buyout, thus reducing the number of affected flood properties.

### Activity/Project Location

Geographical Area: **Single County in a State**  
FEMA Region: **Region V**  
State: **Indiana**  
County: **Howard County**

### Key Activity/Project Information

Sector: **Private**  
Hazard Type: **Flooding**  
Activity/Project Type: **Acquisition/Buyouts; Retrofitting, Structural**  
Activity/Project Start Date: **12/2004**  
Activity/Project End Date: **Ongoing**  
Funding Source: **Hazard Mitigation Grant Program (HMGP)**  
Funding Recipient: **Local Government**  
Funding Recipient Name: **City of Kokomo**

### Activity/Project Disaster Information

Mitigation Resulted From Federal Disaster? **Yes**  
Federal Disaster #: **1476 , 07/11/2003**  
Value Tested By Disaster? **Yes**  
Tested By Federal Disaster #: **No Federal Disaster specified**  
Year First Tested: **2005**  
Repetitive Loss Property? **Yes**

### Activity/Project Economic Analysis

Cost: **\$430,688.00 (Actual)**  
Non FEMA Cost:

### Reference URLs

Reference URL 1: <http://www.floodsmart.gov>  
Reference URL 2: <http://www.aiez.org>

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**Koch Deborah S.**, How to Say It: Grantwriting: Write Proposals That Grantmakers Want to Fund, 2009.

**Tiller, Veronica**, Tiller's Guide to Indian Country: Economic Profiles of American Indian Reservations, 2<sup>nd</sup> ed., 2006.

### WEBSITES

<http://www.fema.gov/about/contact/shmo.shtml>

<http://www.water.ca.gov/floodsafe/>

<http://www.grantsloans.water.ca.gov/>

<http://www.waterplan.water.ca.gov/>

<http://www.water.ca.gov/nav/nav.cfm?loc=t&id=103>

<http://www.water.ca.gov/cvfmpl/>

<http://www.floodsmart.gov/floodsmart/pages/index.jsp>

<http://www.water.ca.gov/levees/>

<http://www.calema.ca.gov/Pages/default.aspx>

<http://www.rcac.org/default.aspx>

[http://www.grants.gov/aboutgrants/agencies that provide grants.jsp](http://www.grants.gov/aboutgrants/agencies_that_provide_grants.jsp)

<https://www.cfda.gov/index?s=main&mode=list&tab=list>

<http://www.nacdnet.org/>

<http://www.npguides.org/index.html>

<http://www.cnmdallas.org/>

<http://www.thenonprofitedge.com/>

<http://www.foundationcenter.org/getstarted/tutorials/shortcourse/index.html>

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<http://glenpricegroup.com/>