

# REGIONAL FLOOD MANAGEMENT PROGRAM

## GUIDELINES

June 2022



STATE OF CALIFORNIA

THE DEPARTMENT OF WATER RESOURCES

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# Acronyms and Abbreviations

CEQA	California Environmental Quality Act
CVFPP	Central Valley Flood Protection Plan
DWR	Department of Water Resources
DFM	Division of Flood Management
FEMA	Federal Emergency Management Agency
FMAP	Flood Maintenance Assistance Program
NEPA	National Environmental Policy Act
OMRR&R	Operations, Maintenance, Repair, Rehabilitation and Replacement
PMP	Project Management Plan
PL 84-99	Public Law 84-99 (USACE Emergency Management Authority)
PSP	Proposal Solicitation Package
RCIS	Regional Conservation Investment Strategies
RFMP	Regional Flood Management Program
SPFC	State Plan of Flood Control
USACE	United States Army Corps of Engineers

# 1 Introduction

These Guidelines govern the Regional Flood Management Program (RFMP). Through agreements prepared and executed consistent with these Guidelines, DWR intends to provide funding to California local public agencies willing to coordinate and collaborate with other interested parties and stakeholders in their region to pursue local funding mechanisms and regional consolidation and, as appropriate, to implement programs, studies, and activities in support of their previously completed Regional Plans consistent with the 2017 CVFPP Update and future updates of the CVFPP.

These Guidelines will replace the May 2019 RFMP Guidelines, titled *Regional Flood Management Program Guidelines*, which provided directed funding to Regional Working Groups to further identify and describe potential systemwide improvements and identify regional and local support needs for the implementation. The six Regional Working Groups (depicted in Figure 1) from the May 2019 RFMP Guidelines are:

- Upper/Mid Sacramento River
- Feather River
- Lower Sacramento River/Delta North
- Lower San Joaquin River/Delta South
- Mid San Joaquin River
- Upper San Joaquin River

DWR values the regional planning process and acknowledges the regional partners' extensive work and investment in developing the Regional Plans. Implementation of the 2022 CVFPP Update and future updates of the CVFPP rely upon continued coordination and meaningful engagement with regional partners, local stakeholders, and interest groups.

DWR plans to continue working collaboratively with the six Regional Working Groups and encourage their efforts towards sustained regional self-reliance through this RFMP. Dependent on available funding, DWR intends to continue incentivizing regional participation in developing and implementing activities that successfully balance improvements with public safety, environmental stewardship, and economic stability pursuant to the 2022 CVFPP Update and future updates for the CVFPP.

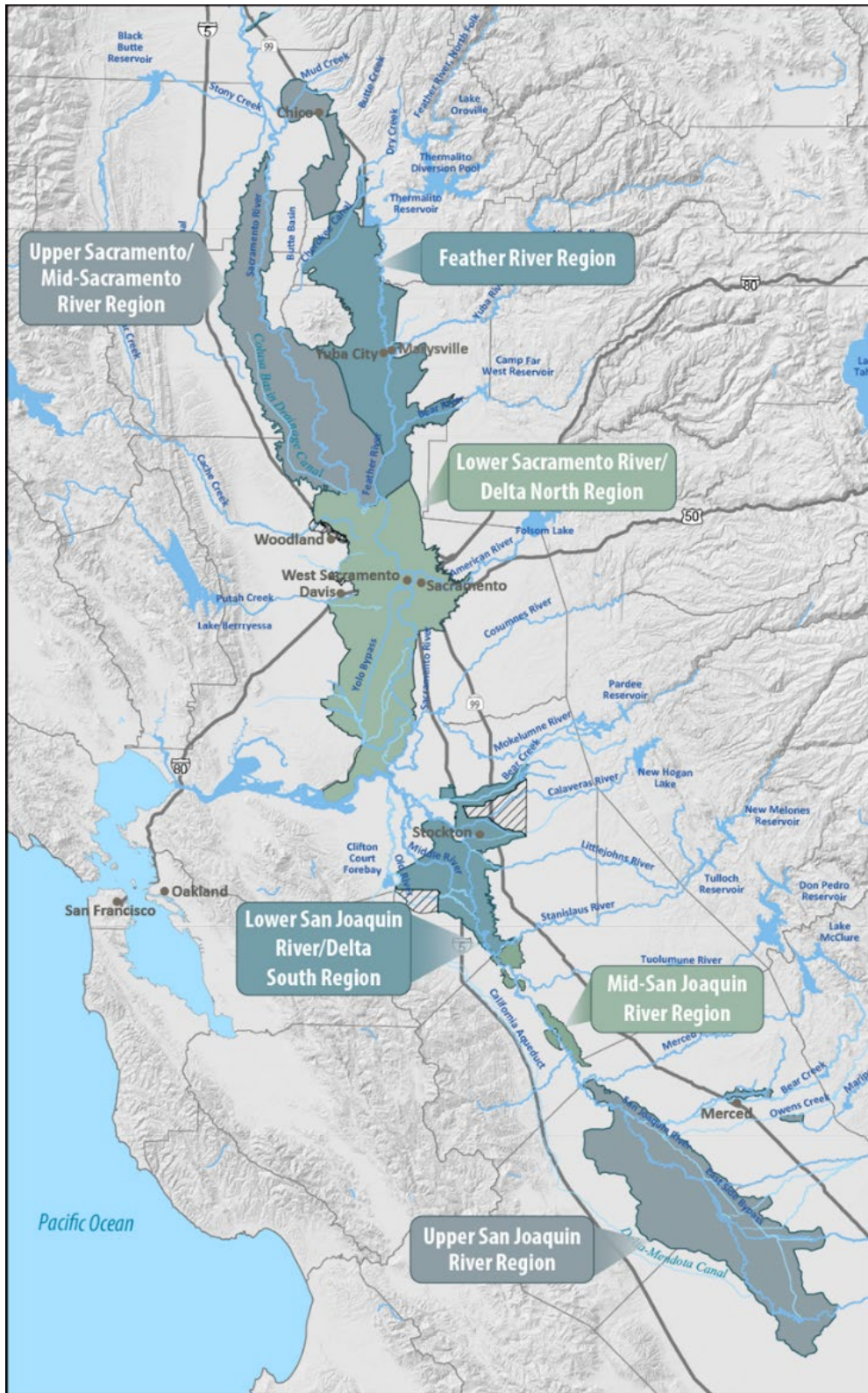


Figure 1. CVFPP's Flood Planning Regions

## 2 FUNDING AUTHORITY

Funding for public agencies participating in RFMP activities will be provided through one or more of the following sources:

- California General Fund. Where General Fund monies are available and applicable, some RFMP activities may be funded through annual General Fund appropriations.
- Proposition 68, The California Drought, Water, Parks, Climate, Coastal Protection, and Outdoor Access for All Act of 2018.<sup>1</sup>

Proposition 68 authorized the Legislature to appropriate funding to DWR for grants that reduce flood risks associated with flood protection facilities, levee improvements, and related investments that protect persons and property from flood damage in the Central Valley. Of the funding available, a maximum of 10 percent will be allocated for planning and monitoring projects that are necessary for the successful design, selection, and implementation of projects that reduce flood risks;<sup>2</sup> however, Delta conveyance facility projects are excluded.<sup>3</sup>

## 3 PROGRAM ELIGIBILITY CRITERIA

This section describes eligible applicants, general requirements, eligible activities and costs, and ineligible activities and costs.

### 3.1 Eligible Applicants

An Eligible Applicant must be a California local public agency with responsibility for flood risk management in one of the six regions established in the CVFPP, which includes areas protected by the facilities of the State Plan of Flood Control (SPFC), that is willing to lead coordination and collaboration for an agreed upon RFMP Scope of Work with other interested parties and stakeholders in their region.

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<sup>1</sup> Pub. Resources Code, § 80000 et seq.

<sup>2</sup> Pub. Resources Code, § 80006, subd. (a).

<sup>3</sup> Pub. Resources Code, § 80145, subd. (b).

The agency applying for funding should represent the interests of local flood management agencies and/or land use agencies in the region. As part of the Funding Application Package, the Eligible Applicant shall include commitment letters from any key partners that will be participating in regional flood management activities. Additional partners can be added throughout the Funding Application Review Package and after the execution of the Funding Agreement.

## **3.2 General Requirements**

All proposals must meet the following requirements to be considered eligible for funding. Eligible Applicants will be required to develop a Scope of Work, schedule, and budget for their proposed regional flood risk management actions consistent with these Guidelines, as specified by DWR.

RFMP activities funded shall be consistent with and support implementation of the 2022 CVFPP Update, all future updates of the CVFPP, the Central Valley Flood Protection Board's Resolutions Nos. 2012-25 and 2017-10, the requirements and processes presented in these Guidelines, and the Regional Plans.

## **3.3 Eligible Activities**

Proposals eligible for funding under this Program must articulate how the proposed activities would lead to the successful selection, design, and implementation of a project type or specific project(s) authorized under Proposition 68. I.e., project types or specific projects that improve flood protection facilities, levees, and/or related investments that protect persons and property from flood damage in the Central Valley.

Examples of eligible activities may include, but are not limited to, the following:

- Pursuit of local funding mechanisms and regional consolidation
- Procurement of technical consulting services
- Costs to implement programs, studies, and activities in support of previously completed RFMPs
- Direct costs of revising the Regional Plans and related activities
- Regional Working Group coordination
- Cross-Regional coordination
- Stakeholder outreach and engagement
- Activities in support of RCISs
- Activities in support of FEMA National Flood Insurance Program reform

- OMRR&R planning related to securing and maintaining active PL 84-99 status and compliance with applicable USACE Standard Operation and Maintenance manuals and supplements.
- Developing agreements, memorandums of understanding, arrangements or plans between Local Maintaining Agencies to share resources (e.g., staff, equipment, funding, etc.) for effective and efficient O&M
- Planning activities in support of identifying and defining deferred maintenance projects
- Activities in support of refined permitting strategies and planning for multi-benefit projects
- Activities in support of advancement of the CVFPP Conservation Strategy
- Activities in support of the DWR Flood Maintenance Assistance Program (FMAP)
- Encroachment compliance planning
- Development of regional governance mechanisms and Local Maintaining Agency consolidation
- Financial and technical planning and activities to secure additional local funding

### 3.4 Eligible Costs

State funding may only be used for eligible activities and costs. Activities related to overhead costs, administration, and supplies should be reasonable, necessary, and directly related to the funded activities described above. DWR considers a reasonable amount of administrative costs to be no more than 10% of the total activity costs.

Eligible costs are the reasonable and necessary actual costs directly associated with executing the Scope of Work described in the Funding Agreement. Credit or reimbursement will not be provided for work completed before the Funding Agreement execution date.

### 3.5 Ineligible Costs

Ineligible costs include, but are not limited to:

- Costs for work incurred prior to execution of Funding Agreement
- Meals and meeting refreshments
- Equipment
- Training
- Travel unrelated to RFMP activities



- Preparation of California Environmental Quality Act (CEQA) or National Environmental Protection Act (NEPA) documents or applying for or obtaining permits for construction
- Any indirect costs. Indirect Costs means those costs that are incurred for a common or joint purpose benefiting more than one cost objective and are not readily assignable to the funded project (i.e., costs that are not directly related to the funded project). Examples of Indirect Costs include, but are not limited to: central service costs; general administration of the Funding Recipient; non-project-specific accounting and personnel services performed within the Funding Recipient's organization; depreciation or use allowances on buildings and equipment; the costs of operating and maintaining non-project-specific facilities; tuition and conference fees; and, generic overhead or markup. This prohibition applies to the Funding Recipient and any subcontract or sub-agreement for work on the funded project that will be reimbursed with grant funds from DWR

## **4 APPLICATION PROCESS**

Eligible Applicants seeking funding through RFMP must prepare and submit a complete Funding Application Package to DWR, pursuant to the needs and priorities of DWR in accordance with these Guidelines. Funding application deadlines are available on the DWR website.

The Eligible Applicant can propose combining regions or changing regional boundaries in their Funding Application package. The reasonable rationale for any such requested changes should be provided in the Funding Application.

The Eligible Applicant must provide a copy of a resolution adopted by its governing body approving the Funding Application and designating a representative to execute the Funding Agreement and to sign requests for disbursement of State funds.

## **5 REVIEW CRITERIA AND AWARD PROCESS**

This section describes the review criteria and award process for Funding Applications, including Funding Application acceptability and completeness, Funding Application review and evaluation, and funding and awards.

### **5.1 Acceptability and Completeness**

DWR will review all timely submittals for completeness. Funding Application Packages

that are not substantially complete will not be further reviewed. DWR may contact agencies which have submitted Funding Application Packages that are substantially complete but need some clarification. DWR staff will review the Funding Application Package for Funding Recipient eligibility consistent with these Guidelines.

A sample Funding Application Package is available in Appendix C. A complete Funding Application Packages must include the following documents:

- Application Cover Letter
- Funding Application Package Cover Sheet
- List of Applicant's Representatives
- Local Agency Resolution
- Applicant's Authority and Capability Form
- Scope of Work and Tasks
- Schedule by Task
- Overall Budget and Costs by Task

The Funding Application Package must identify the need for Sub-contractors and funding Sub-recipients within the proposed Scope of Work. All sub-contracts must be competitively bid or otherwise procured pursuant to applicable law.

## **5.2 Application Review and Evaluation**

DWR staff will review and evaluate each Funding Application Package within sixty (60) days of receipt of the Funding Application Package or thirty (30) days after the date that additional requested information is due, whichever is later. DWR may request the Eligible Applicant provide clarification of existing information to better evaluate the merits of the Funding Application Package.

DWR staff may determine which Funding Application Packages could be implemented with reduced funding, if funding is limited, or could defer or eliminate some work based on information provided in the Funding Application Package or from additional discussion with the Eligible Applicant.

## **5.3 Funding and Awards**

Upon DWR's approval of the Funding Application Package, DWR will apply these Guidelines to enter into a Funding Agreement with one public agency within each region (Funding Recipient) that will take responsibility for administering funds and leading

regional activities in accordance with these Guidelines. DWR and each Funding Recipient must enter into a Funding Agreement before any funds will be disbursed.

The Funding Recipient will be responsible for ensuring that the interests and concerns of other entities and stakeholders are considered in all work funded under this program. The Funding Recipient will be responsible for obtaining any and all permits, licenses, and approvals required for performing any work under the Funding Agreement. All required permits, licenses, and approvals must be obtained and copies submitted to DWR. Projects identified in the Funding Recipient's Scope of Work and selected for funding by DWR will need to comply with all State and federal environmental laws, including CEQA, prior to implementation.

## **5.4 Subcontracting Requirements**

The Funding Recipient may sub-contract with other local public agencies participating in regional flood risk management activities or technical consultants (Sub-contractors). All sub-contracts must be in compliance with Volume I of the *State Contracting Manual* issued by the State Department of General Services.

## **5.5 Direct Expenditures**

DWR may use RFMP funds for direct expenditures or directed activities that fulfill the intent of the legislation and DWR priorities. Direct expenditure projects are projects proposed by DWR either in response to a solicitation from a stakeholder, another government entity, or on its own initiative. Direct expenditure projects must address an interest of the State and may be proposed and approved at any time. However, any direct expenditure project shall be evaluated by the same eligibility criteria as competitive grants.

# **6 AGREEMENT ADMINISTRATION**

This section describes the process that will occur once a Funding Application Package has been selected for funding. The process includes Funding Agreement execution, invoicing and payments, retention, progress reporting, withholding of funding disbursements, agreement amendments, project closeout, and audits and recordkeeping.

## **6.1 Agreement Execution**

Prior to execution of the Funding Agreement, the Funding Recipient will modify elements of the Funding Application Package as may be needed to address DWR's comments. Applicable portions of the approved Funding Application Package may be appended to, and incorporated into, the Funding Agreement.

The Funding Agreement will be signed by the authorized representative of the Funding Recipient. Reimbursements will be paid only after the Funding Agreement is approved and executed. If a DWR-approved Funding Agreement is not signed by the Funding Recipient within six (6) months of the date the funding is awarded, the funding may be withdrawn.

The Funding Recipient must verify that all RFMP-funded activities are documented and comply with all applicable current laws and regulations. The proposed value of in-kind work and/or additional funding sources used for RFMP-funded activities should be listed in Costs and Budget (Appendix C-6) as applicable. Verification shall be made available to DWR upon request and/or during a State audit (see section 6.8).

## **6.2 Invoicing and Payments**

The Funding Recipient will provide reimbursement invoice requests to DWR for eligible activities and costs within an invoicing period, in accordance with the Funding Agreement. State funds will be paid to the Funding Recipient generally on a quarterly basis (but no more often than monthly), at DWR's discretion, subsequent to submittal and approval of credit or reimbursement requests (invoices) and progress reports.

All requests for reimbursement of expenses must be supported with documentation. Documentation must include a clear accounting of how the total invoice cost was calculated, what eligible activities were performed during the invoice period, who conducted the activities, when the costs were incurred, and current contractor and subcontractor rates. Reimbursements will only be approved for eligible costs incurred pursuant to these Guidelines and consistent with the approved Scope of Work and budget. Reimbursements will be paid in arrears; no advance funding will be provided.

## **6.3 Retention**

DWR will retain 10% from each approved invoice submitted by the Funding Recipient. The retention will be paid upon completion of agreed upon activities in the Funding Agreement, as determined by DWR, and after DWR's approval of the completion report.

## **6.4 Progress Reporting**

The Funding Recipient will provide written quarterly progress reports (but no more often than monthly) to DWR within sixty (60) days of the completion of the quarter (or month) to ensure funds are utilized in accordance with the Funding Agreement. Progress reports will generally coincide with a submitted invoice for reimbursement and include at least the following information:

- Records of expenditures incurred during the period covered by the report
- Description of work activities since the previous report
- Status of the work relative to the agreed upon schedule and budget
- Key issues that must be resolved
- Planned activities for the following quarter
- Upcoming events, meetings, and milestones expected for the next quarter

If no eligible activities occur or and/or no eligible costs are incurred during any quarter of the Funding Agreement, a written quarterly progress report is still required to be submitted to DWR within sixty (60) days of the completion of that quarter. In the quarterly progress report, the Funding Recipient shall provide an explanation of why there were no activities or costs within that quarter.

## **6.5 Withholding of Funding Disbursements**

If, for any reason, the Funding Recipient cannot complete the work agreed upon and documented in the Funding Agreement, DWR may, at its sole discretion:

- Terminate the Funding Agreement
- Complete the work using its own resources
- Contract with Sub-recipients or other public entity to complete the work
- Require that the Funding Recipient repay all or a portion of the State's unused or misused funds plus interest

DWR will monitor progress and may suspend all payments indefinitely if the Funding Recipient is in breach of the Funding Agreement to such an extent that ultimate achievement of RFMP objectives may be significantly compromised. In such a case, the Funding Recipient shall be given at least 10 days to cure any breach.

## **6.6 Project Closeout**

Prior to payment of the final invoice, a final completion report must be prepared and submitted to DWR by the Funding Recipient on behalf of its region. The final completion report submitted must:

- Summarize all approved progress reports prepared throughout the duration of the Funding Agreement
- Include all items required in these Guidelines
- Include a copy of the final deliverables in both electronic and hard copy form prepared for the region

## **6.7 Audits and Record Keeping**

All records and documents pertaining to the Funding Agreement shall be maintained by the Funding Recipient until three years after the final payment of funds is made.

During the Funding Agreement and for three years after the final payment is made, a State audit may be conducted to confirm that expenditures were made in accordance with the Funding Agreement. All Funding Recipient records and documents pertinent to the Funding Agreement shall be available for review and audit by DWR or other State representative during normal business hours while the RFMP work is active and for three years after final payment of State funds.

# **7 FUNDING AGREEMENT REQUIREMENTS**

## **7.1 Conflict of Interest and Confidentiality**

All participants are subject to State conflict-of-interest laws. Failure to comply with these laws, including business and financial disclosure provisions, will result in the proposal being rejected and any agreement being declared void. Other legal action may also be taken. Applicable statutes include, but are not limited to, Government Code section 1090 and Public Contract Code sections 10410 and 10411.

As part of the conflict-of-interest requirements, individuals working on behalf of a Funding Recipient may be required by the State to file a Statement of Economic Interests (Fair Political Practices Commission Form 700) if it is determined that an individual is a consultant for Political Reform Act purposes.

Applicants should be aware that when submitting a proposal to the State, they will waive their rights to the confidentiality of the contents of the proposal. Once final awards have

been announced by DWR, all proposals are subject to disclosure pursuant to the California Public Records Act (Gov. Code, § 6250 et seq.).

## **7.2 Indemnify and Hold Harmless**

As part of the Funding Agreement, Funding Recipients, Sub-contractors and Sub-recipients shall indemnify and hold harmless the State, its officers, agents, and employees from any and all liability from all claims (including inverse condemnation), demands, losses, costs, expenses and damages either in whole or in part, and whether directly or indirectly, arising out of the RFMP effort and any breach of the Funding Agreement.

## **7.3 Labor Code Compliance**

As part of the Funding Agreement, the Funding Recipient shall agree to be bound by all the provisions of the Labor Code regarding prevailing wages, and shall monitor all contracts subject to reimbursement from the Funding Agreement to assure that the prevailing wage provisions of the Labor Code are being met. Current Department of Industrial Relations (DIR) requirements may be found at: <http://www.dir.ca.gov/lcp.asp>. Before submitting an application, applicants are urged to consult with their legal counsel regarding Labor Code compliance. DWR will not advise applicants on Labor Code compliance. For more information, please refer to DIR's Public Works Manual at: <http://www.dir.ca.gov/dlse/PWManualCombined.pdf>. The Funding Recipient will also affirm that it is aware of the provisions of Section 3700 of the Labor Code, which requires every employer to be insured against liability for workers' compensation or to undertake self-insurance.

## **7.4 Competitive Bidding and Procurement**

A Funding Recipient's contracts with other entities for the acquisition of goods, services, and construction of public works with funds provided by the State must be in writing and shall comply with all applicable laws and regulations regarding the securing of competitive bids and undertaking competitive negotiations. If a Funding Recipient does not have a written policy to award contracts through a competitive bidding or sole source process, DWR of General Services' State Contracting Manual rules must be followed and are available at: <https://www.dgs.ca.gov/OLS/Resources/Page-Content/Office-of-Legal-Services-Resources-List-Folder/State-Contracting>. Applicants with questions regarding competitive bidding requirements should be directed to their counsel. DWR will not advise applicants on competitive bidding requirements.

## **8 Amendments to Guidelines**

These Guidelines may be amended at the sole discretion of DWR at any time. Amendments to the Guidelines must be publicly posted and made available for comment for at least forty-five (45) days.



# Appendix A: Definitions

**Central Valley Flood Protection Plan (CVFPP):** An integrated systemwide flood management plan for the Sacramento-San Joaquin River Flood Management System required by Senate Bill 5, the Central Valley Flood Protection Act of 2008.

**CEQA:** The California Environmental Quality Act (Pub. Resources Code, § 21000 et seq.).

**DWR:** State of California Department of Water Resources.

**Eligible Applicant:** A California local public agency with responsibility for flood risk management in one of the six regions established in the CVFPP, which includes areas protected by the facilities of the State Plan of Flood Control (SPFC), that is willing to lead coordination and collaboration for an agreed upon RFMP Scope of Work with other interested parties and stakeholders in their region.

**Eligible Costs:** The reasonable and necessary actual costs directly associated with executing the Scope of Work described in the Funding Agreement.

**Funding Agreement:** A legal agreement entered into between an Eligible Applicant and DWR which specifies, among other requirements, the terms, limits, responsibilities, Scope of Work schedule and funding amount to be provided.

**Funding Application Package:** Local public agency application request for State financial assistance to participate in RFMP. The package includes a proposed Scope of Work, schedule, and budget and meets the other requirements of these Guidelines.

**Funding Recipient:** A local public agency in the State of California, duly organized, existing and acting and in good standing pursuant to the laws thereof and its successors and assignees, with responsibility for flood management in the area protected by the facilities of the SPFC that enters into a Funding Agreement for RFMP activities with DWR.

**General Fund:** The primary state fund from which the daily and long-term operations and expenses of State government are paid.

**NEPA:** National Environmental Policy Act (42 U.S.C. § 4321).

**Proposition 68:** The “California Drought, Water, Parks, Climate, Coastal Protection, and Outdoor Access for All Fund Act of 2018” (Pub. Resources Code, § 80000 et seq.).

**Region:** One of the flood management planning regions identified in the Central Valley Flood Protection Plan.

**Regional Financial Plan:** The component of each Regional Plan that identifies sources of financing (federal, State, local, others) for each recommended regional project.

**Regional Plan:** The Regional Plan, previously known as a Regional Flood Management Plan, is the document that presents the long-term flood management vision for a region with implementation strategies for a “flood safe region.” The 2012 CVFPP called for DWR to work with local flood management agencies to prepare a “Regional Flood Management Plan” for each of the flood inundation regions within the Central Valley that would identify: (a) flood management challenges and deficiencies at the regional level; (b) potential projects identified by local public agencies and interest groups for the region, projects’ costs, and prioritization of the projects; and (c) financial strategies that identify benefits of the projects, and sources of the funding for implementation of the projects. All six regions completed comprehensive Regional Plans by 2015 under prior funding agreements with DWR.

**Regional Partners:** Regional implementing, operating and/or maintaining flood management agencies; cities and counties within the region; agricultural, tribal, environmental interests; emergency responders and State and federal agencies that are knowledgeable about the region’s flood risks and the potential solutions, and that participate in the regional flood management planning and implementation process.

**Regional Working Group:** The regional partners within a single flood management region that prepared that region’s Regional Plan.

**Regional Flood Management Program (RFMP):** The overall program for providing funding to Eligible Applicants to perform work that is consistent with these guidelines, the CVFPP, the Regional Plans, and other applicable and related DWR and State programs.

**Scope of Work:** Description of the work activities, deliverables, and/or timeline that an applicant must execute in terms of delivering in performance of contractual services.

**Senate Bill 5 or SB5:** Central Valley Flood Protection Act of 2008 (Wat. Code, § 9600 et seq.).

**State:** The State of California, acting by and through DWR.

**State Plan of Flood Control (SPFC):** “State Plan of Flood Control” means the state and federal flood control works, lands, programs, plans, policies, conditions, and mode of maintenance and operations of the Sacramento River Flood Control Project described in Water Code section 8350, and of flood control projects in the Sacramento River and San Joaquin River watersheds authorized pursuant to Water Code section 12648 et seq. for which the Central Valley Flood Protection Board or DWR has provided the assurances of nonfederal cooperation to the United States.

## **Appendix B: RFMP Funding Application Package Completion Checklist**

- Application Cover Letter
- Application Package Cover Sheet
- List of Applicant's Representatives
- Local Agency Resolution
- Applicant's Authority and Capability Form
- Scope of Work and Tasks
- Schedule by Task
- Budget & Costs by Task

# **Appendix C: Funding Application Package**

C-1: Application Cover Letter Template

C-2: Application Package Cover Sheet Template

C-3: List of Applicant's Representatives Template

C-4: Local Agency Resolution Template

C-5: Applicant's Authority and Capability Form

C-6: Scope of Work and Tasks Template

C-7: Schedule by Task Template

C-8: Budget and Costs by Task Template

## Appendix C-1: Application Cover Letter Template

[DATE]

Mr. Aaron Wu; Program Manager  
Division of Flood Management  
Department of Water Resources  
3464 El Camino Avenue, Suite 200,  
Sacramento, CA 95821

Subject: Funding Application for Regional Flood Management Assistance Program

Dear Mr. Wu:

(Agency Name) herewith submits three copies of an application for a funding in the amount of \$(funding amount requested) to implement actions under the RFMP.

This application is pursuant to an authorizing resolution of the Board of Directors of the (Agency Name) dated (date of board resolution). The application includes the following forms and support materials:

1. Application Package Cover Sheet
2. List of Applicant's Representatives
3. Local Authorizing Resolution
4. Applicant's Authority and Capability Form
5. Scope of Work and Tasks
6. Schedule by Task
7. Budget and Costs by Task

The work plan, budget, and schedule for this Funding Application Package are being prepared by (Agency Name), with assistance from and coordination with the staff of the Division of Flood Management.

Please call (phone number) if you have any questions during your review.

Sincerely,  
(Eligible Applicant Representative Name)  
(Representative's Title)  
Enclosure

# Appendix C-2: Application Package Cover Sheet Template

## Application for Funding pursuant to (funding source/appropriation)

The (exact legal agency name of entity applying for funds)

*(Mailing address of local entity)*

Of the County of (County), State of California, does hereby apply to the California Department of Water Resources for funding in the amount of \$(requested funding amount) for Regional Flood Management Program activities.

(Regional Working Group Title) Region

By \_\_\_\_\_  
*(Signature of Authorized Representative  
identified in Local Agency Resolution)*

Date \_\_\_\_\_

### Authorized Representative

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

Title: \_\_\_\_\_

Telephone: \_\_\_\_\_

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

# Appendix C-3: List of Applicant's Representatives Template

## Applicant's Representatives

### Agency Executive Director

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

Title: \_\_\_\_\_

Phone: \_\_\_\_\_

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

### Agency Deputy Executive Director

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

Title: \_\_\_\_\_

Phone: \_\_\_\_\_

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

### Agency Counsel:

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

Title: \_\_\_\_\_

Phone: \_\_\_\_\_

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

### Contract Manager:

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

Title: \_\_\_\_\_

Phone: \_\_\_\_\_

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

### Alternate Contract Contact Person:

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

Title: \_\_\_\_\_

Phone: \_\_\_\_\_

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

### Agency Director of Planning (If Applicable):

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

Title: \_\_\_\_\_

Phone: \_\_\_\_\_

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



**Agency Director of Engineering (If Applicable):**

Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Phone: \_\_\_\_\_  
Email: \_\_\_\_\_

**Agency Accounting Department Administrative Officer (If Applicable):**

Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Phone: \_\_\_\_\_  
Email: \_\_\_\_\_

**Agency Staff Secretary (If Applicable):**

Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Phone: \_\_\_\_\_  
Email: \_\_\_\_\_

**Type of Organization:** *(Flood control district, reclamation district, city, etc.)*

**For the geographic extent of the Regional Work Group:**

California State Senator: _____	District No. _____
California State Senator: _____	District No. _____
California Assembly Member: _____	District No. _____

## Appendix C-4: Local Agency Resolution Template

### RESOLUTION NO. \_\_\_\_\_

#### A RESOLUTION OF THE BOARD OF DIRECTORS OF THE (AGENCY NAME)

#### AUTHORIZING APPLICATION FOR FUNDING FROM THE DEPARTMENT OF WATER RESOURCES AND DESIGNATING A REPRESENTATIVE TO EXECUTE THE AGREEMENT AND ANY AMENDMENTS THERETO, FOR THE REGIONAL FLOOD MANAGEMENT PROGRAM

WHEREAS, the \_\_\_\_\_ (Agency Name) \_\_\_\_\_ is a California Local Public Agency with responsibility for flood management in the area protected by the facilities of the State Plan of Flood Control and is willing to participate in, coordinate, and collaborate with other interested parties in the \_\_\_\_\_ (Region Name) \_\_\_\_\_ Region that are participating in regional flood risk management; and

WHEREAS, the \_\_\_\_\_ (Agency Name) \_\_\_\_\_ represents the interest of local flood management agencies and/or land use agencies in the region; and

WHEREAS, the \_\_\_\_\_ (Agency Name) \_\_\_\_\_ acknowledges that it must submit a complete Funding Application Package, including scope of work, schedule, and budget for proposed regional flood risk management actions prior to the receipt of Regional Flood Management Program funds; and

WHEREAS, the \_\_\_\_\_ (Agency Name) \_\_\_\_\_ acknowledges that proposed regional flood risk management actions shall be consistent with and support implementation of the 2017 Central Valley Flood Protection Plan (CVFPP) Update, all future updates of the CVFPP, and the Central Valley Flood Protection Board's Resolutions No. 2012-25 and 2017-10, the requirements and processes presented in the Regional Flood Management Program Guidelines, and the Regional Plans; and

WHEREAS, the \_\_\_\_\_ (Agency Name) \_\_\_\_\_ intends to apply for Regional Flood Management Program funding from the Department of Water Resources; and

WHEREAS, the \_\_\_\_\_ (Agency Name) \_\_\_\_\_ is authorized to enter into an agreement with the Department of Water Resources and the State of California;

NOW, THEREFORE, BE IT RESOLVED by the Board of Directors of the  
          (Agency Name)           as follows:

1. That pursuant and subject to all of the terms and provisions of Proposition 68 (Pub. Resources Code, § 80000 et seq.), application by this Agency be made to the Department of Water Resources to obtain funding for regional flood risk management activities for the  
          (Region Name)           Region.
2. The           (Agency Name) (Authorized Representative's Title)          , or designee is hereby authorized and directed to prepare the necessary data, make investigations, sign, and file such application with the Department of Water Resources.
3. In the event that Regional Flood Management funds are awarded to the  
          (Agency Name)          , the           (Authorized Representative's Title)          , or designee is authorized to execute a Funding Agreement and take other such actions as necessary or appropriate to obtain the funding.

PASSED AND ADOPTED by the Board of Directors of the  
          (Agency Name)           on the (day) day of (month),(year) by the following vote:

AYES:  
NOES:  
ABSTAIN:  
ABSENT:

\_\_\_\_\_  
*(Signature of Chair, Board of Directors)*

Attest:

\_\_\_\_\_  
*(Name and Title)*

# Appendix C-5: Applicant's Authority and Capability Form

## Applicant's Authority and Capability

The Funding Applicant's attorney shall answer the following questions pertaining specifically to this Funding Application Package. Where applicable, cite statutory authority or other references.

1. Is the applicant a political subdivision of the State of California?

Yes  No

2. Does the applicant have the legal authority to enter into a contract with the State of California?

Yes  No

Citation: \_\_\_\_\_

3. What steps are required by law for the applicant to sign a Funding Agreement with the State of California?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. What is the statutory authority under which the applicant may obtain funds for the purpose, amount, and duration requested?

Citation: \_\_\_\_\_

5. What is the statutory authority under which the local public entity was formed and is authorized to operate?

Citation: \_\_\_\_\_

6. Is the Applicant required to hold an election before entering into a funding contract with the State?

Yes  No

7. Will a Funding Agreement between the Applicant and the State of California be subject to review and/or approval by other government agencies?

Yes  No

Identify all such agencies: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

8. Describe any pending litigation that impacts the financial condition of the Applicant or the Regional Work Group seeking the funds. If none is pending, so state.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

I certify that I am a duly qualified and licensed attorney in California representing the Applicant Agency and that I have answered the questions on this page and the preceding page to the best of my knowledge.

By \_\_\_\_\_  
*(Signature of Applicant Agency's Attorney)*

Date \_\_\_\_\_

\_\_\_\_\_  
*(Printed Name of Applicant Agency's Attorney)*

\_\_\_\_\_  
*(Title) (Bar No.)*

\_\_\_\_\_  
*(Name of Applicant Agency)*

# Appendix C-6: Scope of Work and Tasks Template

## SCOPE OF WORK AND TASKS

### REGIONAL FLOOD MANAGEMENT PROGRAM

(Agency Name)

(Region Name) Region

#### 1. INTRODUCTION

*Provide an introduction on the Regional Working Group and what it aims to accomplish through the Funding Agreement.*

#### 2. BACKGROUND

*Provide background on the region, participants and history of the Regional Working Group, previously developed Regional Plan, and accomplishments from past Funding Agreements through the Regional Flood Management Program.*

#### 3. DESCRIPTION OF TASKS

This contract provides funding for the following tasks:

Task 1 – (Name of Task 1)

Task 2 – (Name of Task 2)

Task 3 – (Name of Task 3)

Task 4 – (Name of Task 4)

Task 5 – (Name of Task 5)

Task # - (Name of Task #)

##### **Task 1 – (Name of Task 1)**

*Describe Task 1.*

##### **Task 2 – (Name of Task 2)**

*Describe Task 2.*

##### **Task 3 – (Name of Task 3)**

*Describe Task 3.*

**Task 4 – (Name of Task 4)**

*Describe Task 4.*

**Task 5 – (Name of Task 5)**

*Describe Task 5.*

**Task # – (Name of Task #)**

*Describe Task #.*

**4. OPPORTUNITIES AND CONSTRAINTS**

*Describe the opportunities and constraints related to this scope of work and tasks.*

**5. DELIVERABLES**

The following deliverables will be provided to DWR within the timeframes specified in the Funding Agreement:

- Deliverable 1
- Deliverable 2
- Deliverable 3
- Deliverable #

## Appendix C-7: Schedule by Task Template

### SCHEDULE BY TASK

#### REGIONAL FLOOD MANAGEMENT PROGRAM

(Agency Name)

(Region Name) Region

<b>Task</b>	<b>Subtotal Hours</b>	<b>Expected Start</b>	<b>Expected End</b>
Task 1: (Name of Task 1)	###	MMM YYYY	MMM YYYY
Task 2: (Name of Task 2)	###	MMM YYYY	MMM YYYY
Task 3: (Name of Task 3)	###	MMM YYYY	MMM YYYY
Task 4: (Name of Task 4)	###	MMM YYYY	MMM YYYY
Task 5: (Name of Task 5)	###	MMM YYYY	MMM YYYY
Task 6: (Name of Task 6)	###	MMM YYYY	MMM YYYY
Task #: (Name of Task #)	###	MMM YYYY	MMM YYYY
<b>TOTAL HOURS</b>	<b>#####</b>		



## Appendix C-8: Budget and Costs by Task Template

### **COSTS AND BUDGET BY TASK** **REGIONAL FLOOD MANAGEMENT PROGRAM** (Agency Name) (Region Name) Region

Task	Funding Request <sup>1</sup>	In-Kind Funding <sup>2</sup>
Task 1: (Name of Task 1)	\$ -----	\$ -----
Task 2: (Name of Task 2)	\$ -----	\$ -----
Task 3: (Name of Task 3)	\$ -----	\$ -----
Task 4: (Name of Task 4)	\$ -----	\$ -----
Task 5: (Name of Task 5)	\$ -----	\$ -----
Task 6: (Name of Task 6)	\$ -----	\$ -----
Task #: (Name of Task #)	\$ -----	\$ -----
<b>Total Funding Request</b>	<b>\$ -----</b>	<b>\$ -----</b>
<b>TOTAL COST</b>	<b>\$ -----</b>	

Notes

1. Funding request is the amount funded by DWR RFMP.
2. If Eligible Applicant has information on in-kind funding from Regional Partners, please include the funding amounts.