

Regional Flood Management Planning Initiative

***Guidelines for Directed Funding
to Prepare Regional Flood
Management Plans***

September 2012

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Appendix A

Draft Project Management Plan for Development of Regional Flood Management Plans

Acronyms and Abbreviations

CEQA	California Environmental Quality Act
CVFPP	Central Valley Flood Protection Plan
DWR	Department of Water Resources
NEPA	National Environmental Policy Act
PMO	Program Management Office
PMP	Project Management Plan
PSC	Planning Steering Committee
RFMP	Regional Flood Management Plan
SPFC	State Plan of Flood Control

1 Introduction

1.1 Background and Context

In 2006, the Department of Water Resources (DWR) launched FloodSAFE California — a multi-faceted initiative to improve public safety through integrated flood management. The funding through Propositions 1E and 84 in November 2006 demonstrated the public’s willingness to invest in integrated flood management solutions.

In 2007, the legislature passed and the Governor signed the Central Valley Flood Protection Act (Senate Bill 5) requiring DWR to prepare the Central Valley Flood Protection Plan (CVFPP) by December 2011 and the Central Valley Flood Protection Board (Board) to adopt the CVFPP by July 2012. An important element of FloodSAFE California is preparation and implementation of the CVFPP. DWR prepared and submitted the Public Draft of the CVFPP to the Board on December 30, 2011. The Board approved the CVFPP in June 2012.

The CVFPP calls for DWR to work with local flood management agencies to prepare more detailed “Regional Flood Management Plans” (RFMPs) for nine flood inundation regions within the Central Valley that would, at the minimum, identify and articulate the following:

1. Flood management challenges and deficiencies at the regional level.
2. Potential solutions/projects identified by local public agencies and interest groups for the region, projects’ costs, and prioritization of the solutions/projects (e.g., enhanced operations and maintenance, emergency response, and floodplain management).
3. Financial strategies that identify benefits of the projects and sources of the funding for implementation of the projects.

DWR is preparing to initiate a process to assist and work with public agencies within the nine regions to prepare Regional Flood Management Plans (RFMPs). The regional planning work will be site-specific for individual river reaches. The CVFPP’s review of areas protected by facilities of the State Plan of Flood Control (SPFC) initially identified the nine regions with varying characteristics. The regions are depicted in Figure 2.

Figure 1. The FloodSAFE Initiative



FloodSAFE California
A multi-faceted program to improve public safety through integrated flood management.

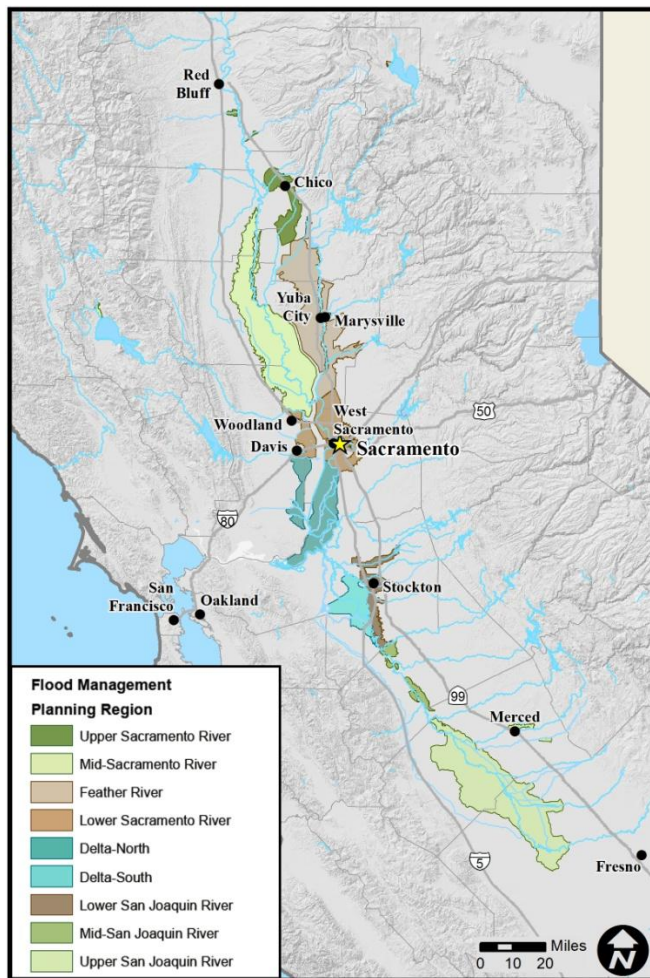


Figure 2. CVFPP's Flood Planning Regions

1.2 Purpose of These Guidelines

The purpose of these *Guidelines for Directed Funding to Prepare Regional Flood Management Plans* (Guidelines) is to describe the process for directing funds to public agencies that need funding support in order to participate in developing their RFMPs. The overall program for providing funding to public agencies for RFMP development is referred, hereinafter, as the RFMP Program. Background and context for the RFMPs and a description of the regional planning process, itself, are provided in the draft *Project Management Plan for Development of Regional Flood Management Plans* (PMP) dated June 2012. A copy of the draft PMP is presented in Appendix A of this document. The anticipated scope of work and approach needed to achieve the goals and objectives of the RFMP process, and a description of the expected deliverables, are also described in the draft PMP. In order to obtain funds through the RFMP Program, applicants will be required to develop a scope of work, schedule, and budget for developing their RFMPs in accordance with these Guidelines.

The draft PMP is not a prescriptive document. It is merely DWR's attempt at providing the local partners with initial guidance and to promote consistency among the RFMPs. The local partners may revise the PMP as they see fit.

DWR plans to assist regional flood management agencies in forming Regional Working Groups to prepare their respective RFMPs. Each Regional Working Group will include representatives of flood management implementing, operating, and maintaining agencies; local land use agencies (cities and counties); flood emergency responders; permitting agencies; and agricultural, tribal, and environmental interests.

DWR also plans to provide financial assistance to the Regional Working Groups to assist with preparation of their RFMPs. DWR intends to enter into a Funding Agreement with one public agency in each region, representing its Regional Working Group.

1.3 Bond Accountability

DWR has prepared these Guidelines in compliance with its Bond Accountability policies to provide:

- Clear Guidelines and funding solicitation materials to ensure accuracy and understanding for public agencies seeking funding assistance.
- Publicly vetted Guidelines to allow stakeholders an opportunity to provide input on program development.
- Opportunity to review and comment on these Guidelines through web postings and workshops.
- Review and approval of submitted Funding Application Packages by DWR management.

1.4 Scope of These Guidelines

Chapter 2 of this document describes the process for applying for RFMP funds, and the types of RFMP activities that are eligible for funding under the RFMP program. Chapter 3 provides a Sample Application Package.

1.5 Public Review Process

Consistent with DWR's Bond Accountability Policies, the draft Guidelines were posted on DWR's website for a forty-five (45) day public comment period. DWR held two public workshops during the last two weeks of the public comment period to allow for further input. These Guidelines have been revised as appropriate to reflect public input.

2 Directed Funding

2.1 Funding for RFMP Activities

2.1.1 Funding Sources

Funding for public agencies participating in RFMP activities will be provided through Proposition 1E, Disaster Preparedness and Flood Prevention Bond Act of 2006. Up to \$5 million will be available for the entire RFMP Program to fund RFMP activities conducted.

2.1.2 Request for Funding

Applicants seeking funding, under the RFMP Program, will prepare and submit a complete Funding Application Package to DWR.

DWR intends to enter into a Funding Agreement with one public agency within each region that will take responsibility for preparing that region's RFMP. Only public agencies that submit a complete Funding Application Package may become a Funding Recipient for funding under the RFMP Program.

A sample Funding Application Package is provided in Chapter 3 of these Guidelines.

2.1.3 RFMP Program Directed Activities

DWR is proposing to use RFMP Program funds for Direct and Indirect Expenditures or Directed Activities that fulfill the intent of the CVFPP. 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 preparing that region's RFMP in accordance with these Guidelines. The Funding Recipient will be responsible for ensuring that the interests and concerns of other entities are considered in the preparation of that region's RFMP. Direct and Indirect Expenditures or Directed Activities must address an interest of the State, may be proposed and approved at any time, but must be evaluated by the criteria presented in these Guidelines.

2.1.4 Subcontracting Requirements

The Funding Recipient may sub-contract with other local public agencies (Sub-recipients)¹ participating in Regional Working Group activities or technical consultants (Sub-contractors). All sub-contracts must be in compliance with Chapter 3.06 in Volume I of the State Contracting Manual issued by the State Department of General Services.

¹ Local public agencies receiving allocations of funds for their participation in the regional planning process from the lead agency acting on behalf of the Regional Working Group.

2.2 Activities Funded Under the RFMP Program

The RFMP Program will provide financial assistance to local public agencies participating in Regional Working Group activities associated with the development of their RFMP, if financial assistance is requested to support their participation.

In general, the Regional Working Group activities needed for successful development of a RFMP are described in the RFMP PMP (Appendix A). RFMP funding may be used for Regional Working Group management activities including: regional partner coordination; development, drafting, and reviewing the RFMP; and other Regional Working Group management activities that are needed to ensure proper management of a multi-agency program. RFMP funding may also be used by the Funding Recipient to procure technical consulting services, if needed, to assist in preparation of the RFMP. Activities related to the overhead costs, administration, and supplies should be reasonable, proportional, and necessary to support Regional Working Group activities. RFMP Program funds may only be used for activities related to preparing RFMPs. RFMP Program funds may not be used to fund flood risk reduction projects.

2.3 Eligible and Ineligible Funding Costs

Eligible costs are the reasonable and necessary actual costs associated with executing the scope of work described in the Funding Agreement. Credit or reimbursement will not be provided for work completed before a letter of commitment is received from DWR. Eligible costs may include, but are not limited to, the following:

- Direct and indirect costs of planning and preparing the RFMP and related activities
- A proportionate share of reasonable overhead costs²

Ineligible costs include, but are not limited to:

- Costs for work incurred prior to receiving a letter of commitment from DWR
- Meals
- 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
- Design work
- Feasibility studies, except as specifically allowed under these Guidelines, to prepare detailed cost estimates for the projects

² Generally, “reasonable” overhead costs range from 5 to 10% of total activity costs.

All Funding Recipients, including Sub-contractors and Sub-recipients, are subject to State conflict-of-interest laws. Failure to comply with these laws, including business and financial disclosure provisions, will result in the Funding Application Package being rejected and/or declared void. Applicable statutes include, but are not limited to, Government Code Section 1090, Public Contract Code Sections 10410 and 10411.

All Funding Application Packages will become public information, and once the Funding Agreement is signed and submitted to DWR, the Applicant waives any rights to privacy and confidentiality of the Funding Application Package.

2.4 Criteria for Funding RFMP Efforts

Below are general criteria for applying for funding under the RFMP Program. All Applicants must meet the following criteria to be considered eligible for funding.

2.4.1 Eligible Applicant

- A California local public agency with responsibility for flood management in the region that is a part of the area protected by the facilities of the SPFC that is willing to participate in, coordinate, and collaborate with other interested parties in the region that are participating in the development of their RFMP.
- 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 Directed Funding application package, the Lead Agency should include commitment letters from any key partners that will be participating in regional flood management planning. Other partners can be added as the RFMP progresses.

2.4.2 RFMP Funding and Reimbursement Requirements

- The RFMPs will be developed consistent with the CVFPP and the Board's resolution, the requirements and processes presented in these Guidelines, and the RFMP PMP (presented in Appendix A).
- The Applicant's scope of work for preparing its RFMP will be reviewed by DWR's Planning Steering Committee (PSC) to ensure that the scope of work is capable of meeting the above requirements.
- Requests for RFMP Program funding must be in the form of a completed Funding Application Package that includes a detailed scope of work, schedule of completion, and budget.³
- A lead agency can propose to combine regions or to change regional boundaries in their Funding Application package. The reasonable rationale for any such requested changes should be provided in the Funding Application.

³ The Funding Application Package must include a detailed scope of work, budget, and RFMP schedule satisfactory to DWR.

- The Funding Application Package must identify the need for Sub-contractors and funding Sub-recipients, and provide a description of the process by which they will be selected (or have been selected). Applicants are required to prepare Quarterly (but no more often than monthly) Progress Reports to ensure funds are utilized in accordance with the approved Funding Application scope of work and budget.
- All requests for reimbursement of expenses must be supported with documentation. Reimbursements will only be approved for Eligible Costs incurred pursuant to these Guidelines, and consistent with the approved RFMP scope of work and budget, and will be paid in arrears.
- After the RFMP is completed, an audit may be conducted to confirm that expenditures were made in accordance with the established plan and that the expenditures achieved the desired outcome.
- Upon RFMP completion, the Funding Recipient must verify that all Regional Working Group activities complied with all applicable current laws and regulations, and submit documents verifying Regional Working Group activity completion, summarizing total scope of work costs and additional funding sources used, as applicable.
- Prior to payment of the final invoice, a Regional Working Group completion report should be prepared by the Funding Recipient. The final written Regional Working Group completion report submitted must include a copy of all Regional Working Group deliverables, including a copy of the Final RFMP.⁴

2.5 RFMP Program Evaluation, Selection, and Public Review Process

This section describes the process for RFMP Program funding review, evaluation, and selection by DWR.

DWR will review all timely submittals for completeness after the Funding Application Package is submitted. Section 3 presents a sample application package that includes Attachment B-1, and Exhibit A and B. The Regional Planning PMP also includes descriptions of what should be included in the Regional Plans and deliverables. Funding Application Packages that are not substantially complete will not be further reviewed. DWR may contact proponents of Funding Application Packages that are substantially complete, but need some clarification.

1. DWR staff will review the Funding Application Package for completeness and for Funding Recipient eligibility consistent with these guidelines and the attached PMP.
2. DWR staff will review and evaluate each Funding Application Package within thirty (30) days of receipt of the Funding Application Package, or ten (10) days after the date that

⁴ In accordance with the RFMP PMP (presented in Appendix A), the Final RFMP will include a copy of the updated Regional Atlas and the Final Regional Financial Plan.

additional requested information is due, whichever is later. DWR may request the applicant provide clarification of existing information to better evaluate the merits of the Funding Application Package.

3. DWR staff will complete the evaluation of the Funding Application Package, including any recommendations for funding. If the requested funds for all qualified Funding Application Packages are more than the available funds, DWR staff may determine which Funding Application Packages could be implemented with reduced funding, or could defer or eliminate some work based on information provided in the Funding Application Package or from additional discussion with the applicant(s).
4. After completing their evaluations of the Funding Application Packages, DWR staff will submit their recommendations to the Planning Steering Committee (PSC) for review. The PSC may recommend one of the following:
 - a) Allocating any or all of the available RFMP Program funds to Funding Application Packages submitted and approved.
 - b) If inadequate funding is available for all approved Funding Application Packages, allocate partial funding to one or more of the Funding Application Packages on the list currently being funded.
5. Upon approval of one or more Funding Application Package(s), the list of approved Funding Application Packages will be posted on the RFMP Program's website.
6. Upon approval of the Funding Application Package(s), DWR staff will begin the process of developing a Funding Agreement with the approved Funding Recipient(s). DWR and each Funding Recipient must enter into a Funding Agreement before any funds will be disbursed.

2.6 RFMP Program Administration

This section describes the process entered into by the Funding Recipient and DWR once a Funding Application Package has been selected for funding. The process includes the development and signing of a Funding Agreement.

1. Prior to completion 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 Recipient must provide a copy of a resolution adopted by its governing body approving the Funding Agreement and designating a representative to execute the Funding Agreement and to sign requests for disbursement of State funds.

2. The Funding Agreement will be signed by the Funding Recipient. RFMP work performed after DWR issues a Commitment Letter to the lead agency is eligible for

reimbursement. 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 three (3) months of the date the funding is awarded, the funding may be withdrawn.

The Funding Recipient will be responsible for obtaining any and all permits, licenses, and approvals required for performing any work under the Funding Agreement.

The Funding Recipient will be required to keep informed of, and take all measures necessary, to ensure compliance with applicable California Labor Code requirements, including, but not limited to, Section 1720 et seq. of the California Labor Code regarding public works, limitations on use of volunteer labor (California Labor Code Section 1720.4), labor compliance programs (California Labor Code Section 1771.5), and payment of prevailing wages for work performed under a Funding Agreement, including any payments made to the California Department of Industrial Relations under California Labor Code Section 1771.3.

3. The Funding Agreement will state that payments will be made in arrears upon receipt and approval of Quarterly (but no more often than monthly) invoices and progress reports.
4. DWR will retain 5% from each approved invoice submitted by the Funding Recipient until the completion and delivery of the regional plan and a DWR accepted completion report.
5. The Funding Recipient will provide Progress Reports on no less than a Quarterly basis (but no more often than monthly) to DWR within 60 days of the completion of the Quarter (or month). Progress reports will include at least the following information:
 - a) Records of expenditures incurred during the period covered by the report.
 - b) Description of work activities since the previous report.
 - c) Planned activities for the following quarter.
 - d) Status of the work relative to the agreed upon RFMP schedule and budget.
6. DWR will monitor progress and may suspend all payments indefinitely if, in the opinion of DWR's Chief of the Division of Flood Management, it appears the Funding Recipient is in breach of the Funding Agreement to such an extent that ultimate achievement of RFMP objectives may be significantly compromised and the Funding Recipient fails to cure the breach within thirty (30) days. If payments are suspended, the Funding Recipient will be given thirty (30) days to cure the breach or the Funding Agreement may be terminated by DWR. Decisions to suspend payments may be appealed to the DWR Deputy Director, Integrated Water Management.
7. 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:

- a) Cancel the Funding Agreement.
 - b) Complete the work using its own resources.
 - c) Contract with Sub-recipients or any other contractor to complete the work.
 - d) Require that the Funding Recipient repay all or a portion of the State's unused or misused funds.
 - e) Require that the Funding Recipient pay for all costs (with interest) incurred by the State related to the State completing any portion of work.
8. The Funding Recipient will submit detailed invoices to DWR requesting reimbursement of eligible costs in accordance with the Funding Agreement, Quarterly (but no more often than monthly), in arrears.
 9. The Funding Recipient will submit a written completion report on behalf of its Regional Working Group that will include:
 - a) All items required in these Guidelines.
 - b) A copy of the final work products, including the Final RFMP, in both electronic and hard copy form prepared for the region.
 10. The Funding Recipient will indemnify the State and its officers, agents, and employees against and agree to hold the same free and harmless from any and all claims, demands, damages, losses, costs, expenses, or liability due or incident, either in whole or in part, and whether directly or indirectly, arising out of the RFMP effort. In addition, Sub-contractors and Sub-recipients shall also indemnify the State and its officers, agents, and employees against and agree to hold the same free and harmless from any and all claims, demands, damages, losses, costs, expenses, or liability due or incident, either in whole or in part, and whether directly or indirectly, arising out of the RFMP effort.

2.7 Audits and Record Keeping

1. All Funding Recipient records and documents pertaining to the Funding Agreement will be maintained by the Funding Recipient until three years after the final payment of funds is made.
2. All Funding Recipient records and documents pertinent to the Funding Agreement will be available for inspection 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.

2.8 Guideline Amendments

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. Amendments to Funding Agreements require the approval of DWR and the Funding Recipient. Amendments

may address:

1. Change in schedule (e.g., time extension)
2. Change in scope of work
3. Change in total budget or transfer of funds between tasks (however, DWR may agree to a reallocation of costs among tasks as long as the State's costs under the Funding Agreement do not increase)
4. Change to any of the Funding Agreement provisions
5. Change in parties to the Funding Agreement

3 Sample RFMP Program Funding Application Package

Sample Application Cover Letter

Date

Mr. Eric Koch; Chief
FloodSAFE Program Management Office
Department of Water Resources
P. O. Box 942836
Sacramento, CA 94236-0001

Subject: Funding Application for Regional Flood Management Planning, an element of the FloodSAFE Initiative

Dear Mr. Koch:

XXX (Agency Name) herewith submits three copies of an application for a funding in the amount of \$---- to prepare a Regional Flood Management Plan for xxxx Region.

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

1. A-1 Application Cover Sheet
2. A-2 Applicant's Representatives
3. A-3 Regional Working Group Costs and Budget
4. A-4 Local Authorizing Resolution
5. A-5 Applicant's Authority and Capability
6. Attachment B-1 Scope of Work and Tasks (including Exhibit A and Exhibit B)
7. Checklist of documents needed for a complete Funding Application Package

The work plan, budget, and schedule for this Funding Application Package are being prepared by xxxx (agency name), with assistance from and coordination with the staff of Division of Flood Management. We appreciate the help provided by DWR and your staff. Please call xxxx if you have any questions during your review.

Sincerely,

xxxxxx

Manager

Enclosure

Part A – Organizational, Financial and Legal information

Attachment A-1

Funding Application Package Cover Sheet

Application for Direct Funding under Proposition 1E, Disaster Preparedness and Flood Prevention Bond Act of 2006

The AGENCY NAME
(Exact legal name of entity applying for the funds)

(Mailing address of local entity)

Of the County of xxx, State of California, does hereby apply to the California Department of Water Resources for funding in the amount of \$XXXX for the preparation of a Regional Flood Management Plan for

XXXX Region
(Specify Regional Working Group title)

By _____ Date _____, 2012
(Signature of authorized representative; see Section A-4)

(Print or type name of authorized representative)

Title General Manager

Telephone

FAX

E-mail

Part A – Organizational, Financial and Legal information

Attachment A-2
Applicant's Representatives

Regional Working Group contact person: Name:
 Title:
 Telephone:
 Fax:
 E-mail:

Alternate contact person: Name
 Title:
 Telephone:
 Fax:
 E-mail:

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.:

Attach a copy of Applicant's charter and the names and titles of its officers.

Part A – Organizational, Financial and Legal information

Attachment A-3

Proposed Regional Flood Management Plan Costs and Budget

1) PREPARE A PROPOSED ITEMIZED BUDGET.

The planning cost estimate should be broken down to reflect the detailed tasks identified in the RFMP task breakdown developed in Attachment B-1. A summary of costs by task will be shown here.

Funding Request

- Task 1:
- Task 2:
- Task 3:
- Task 4:
- Contingency:
- Total:**

2) PROVIDE FINANCING INFORMATION ABOUT THE PROPOSED RFMP (SEE BELOW).

Mark the itemized budget and financing information as Attachment A-3

- Total cost:
- Amount to be funded under the DWR Regional Flood Management Planning Program:
- Amount to be funded by the applicant and other partners:

Sources of funds from Regional Partners for this RFMP:		
Name of Regional Partner	Name of Source	Status of funds
Total:\$		

Part A – Organizational, Financial and Legal information

Attachment A-4
Local Agency Resolution

RESOLUTION NO. XX

**A RESOLUTION OF THE BOARD OF DIRECTORS
OF THE XXXX (AGENCY NAME)
AUTHORIZING
APPLICATION FOR
XXXX REGIONAL FLOOD MANAGEMENT PLANNING**

WHEREAS, the *XXX (agency name)* proposed to prepare Regional Flood Management Plan in collaboration and coordination with interested parties in the *xxx (Region Name)* Region; and

WHEREAS, the *XXX (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 that are participating in the development of their Regional Flood Management Plan; and

WHEREAS, the *xxx (agency name)* intends to apply for funding from the California Department of Water Resources for the RFMP costs;

NOW, THEREFORE, BE IT RESOLVED by the Board of Directors of the *xxx (agency name)* as follows:

1. That pursuant and subject to all of the terms and provisions of the California Proposition 1E "Disaster Preparedness and Flood Prevention Bond Act of 2006" Bond Law, application by this Agency be made to the California Department of Water Resources to obtain funding for preparation of the *Flood Management Plan for xxxx (region name) Region*.
2. The *XXX (agency name)* General Manager is hereby authorized and directed to prepare the necessary data, make investigations, sign, and file such application with the California Department of Water Resources, and take such other actions as necessary or appropriate to obtain the funding.

Part A – Organizational, Financial and Legal information

PASSED AND ADOPTED by the Board of Directors of the *xxxx (agency name)* on the ____ day of _____ 2012 by the following vote:

AYES:

NOES:

ABSTAIN:

ABSENT:

Chair, Board of Directors

Attest:

Part A – Organizational, Financial and Legal information

Attachment A-5

Applicant’s Authority and Capability

Have the Applicant’s attorney answer the following five questions pertaining specifically to this Funding Application Package. For each question, cite statutory authority or other references.

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

Briefly describe the procedural steps required by law for the Applicant to contract with the State.

Cite the statutory authority under which the Applicant may obtain funds for the purpose, amount, and duration requested.

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

3. Is the Applicant required to hold an election before entering into a funding contract with the State? _____ Yes _____ No

4. 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 (*e.g., Local Area Formation Commission, local governments, U.S. Forest Service, California Coastal Commission, Health Services, etc.*)

5. 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.

(Signature of attorney representing the Applicant)

(Applicant’s name)

Part B – RFMP Work Plan

Attachment B-1

Regional Flood Management Plan Detailed Scope of Work and Tasks

This attachment will describe in detail the RFMP concept and scope of work, schedule, and the Regional Working Group costs. Please see Section 2 of the Guidelines for typical activities that may be funded under the RFMP Program. The scope of work will discuss in detail the anticipated tasks, deliverables, opportunities, and constraints. The work plan will also present total costs and RFMP completion date by tasks. This attachment, at a minimum, will include the following:

1. Introduction
2. Background
3. Description of the Proposed RFMP
4. Description of the Tasks
5. Deliverables
6. Opportunities and Constraints
7. Completion Date (Exhibit A presents a detailed work schedule by tasks)
8. Total Costs (Exhibit B presents detailed Regional Working Group costs by tasks)

RFMP Application Package Checklist

Checklist of Materials Required for RFMP Program Funding Application Package Completion

- Application Cover Letter
- A-1 Funding Application Package Cover Sheet
- A-2 Applicant's Representatives
- A-3 Regional Flood Management Plan Costs and Budget
- A-4 Local Agency Resolution
- A-5 Applicant's Authority and Capacity
- Attachment B-1 Regional Flood Management Plan Detailed Scope of Work and Tasks
- Attachment B-1, Exhibit A (Detailed Regional Working Group Schedule by Tasks)
- Attachment B-1, Exhibit B (Detailed Regional Flood Management Plan Costs by Tasks)

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, Public Resources Code Sections 21000 et seq.

Contractor: A contractor performing the planning work for a Funding Recipient to be paid for with funds from a Funding Agreement executed pursuant to these Guidelines. In general, a contractor would be an appropriate firm or person hired pursuant to Cal. Gov't Code Sec. 4525 et seq.

DWR: State of California Department of Water Resources.

Eligible Applicant: A California local public agency with responsibility for flood management in the area protected by the facilities of the SPFC that is willing to participate in, coordinate, and collaborate with other interested parties in the region that are participating in the development of their RFMP.

Eligible Costs: The reasonable and necessary actual costs associated with developing a RFMP pursuant to these Guidelines.

FloodSAFE: A multi-faceted initiative launched by the State of California in 2006 to improve public safety through integrated flood management.

Funding Agreement: An agreement entered into between an Eligible Applicant and DWR to provide funds for a RFMP.

Funding Application Package: Local public agency application request for State financial assistance to participate in the development of its RFMP. The package includes a proposed scope, schedule, and budget for the Regional Working Group 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.

NEPA: National Environmental Policy Act, 42 U.S.C. § 4321.

Planning Steering Committee (PSC): The DWR governing body that oversees all aspects of the Regional Flood Management Planning effort for DWR.

PMO: Chief of FloodSAFE's Program Management Office.

Project Completion Report: A report prepared by the Funding Recipient certifying that the RFMP is completed in compliance with the Funding Agreement scope of work, budget, and schedule.

Proposition 84: The "Safe Drinking Water, Water Quality and Supply, Flood Control, River and Coastal Protection Bond Act of 2006" passed by the California voters on November 7, 2006, and as set forth in Division 43 of the Public Resources Code.

Proposition 1E: The "Disaster Preparedness and Flood Prevention Bond Act of 2006" passed by the California voters on November 7, 2006, and as set forth in Division 5 of the Public Resources Code.

Quarterly Progress Report: A report on the status of the Funding Agreement scope of work submitted on a quarterly basis.

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

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

Regional Flood Management Plan (RFMP): The CVFPP calls for DWR to work with local flood management agencies to prepare a "Regional Flood Management Plan" (RFMP) for each of the nine 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. The RFMP is the document that presents long-term flood management vision for a region with implementation strategies for a "flood safe region."

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 process.

Regional Working Group: The regional partners within a single flood management region that will prepare that region's RFMP.

RFMP Program: The overall program for providing funding to Eligible Applicants that need funding support in order to participate in the RFMP development.

Scope of Work: After a RFMP Funding Application Package is tentatively selected and before a Funding Agreement is signed, the Applicant and DWR must agree to a Scope of Work that provides detailed plans and information about how the RFMP will be formulated and developed.

Senate Bill 5: Central Valley Flood Protection Act of 2008, see California Water Code . § 9600 *et seq.*

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

State Plan of Flood Control (SPFC): 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 Section 8350, and of flood control projects in the Sacramento River and San Joaquin River watersheds authorized pursuant to Article 2 (commencing with Section 12648) of Chapter 2 of Part 6 of Division 6 for which the board of DWR has provided the assurances of non-federal cooperation to the United States, and those facilities identified in Section 8361. – California Water Code Section 9110 (f).

Sub-contractor: An organization or Individual (and Sub-recipient) that contracts with the Funding Recipient to provide technical assistance to the Regional Working Group in developing that region's RFMP.

Sub-recipient: A 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 contract with a Funding Recipient to participate in RFMP activities.

Appendix A

Draft Project Management Plan for Development of Regional Flood Management Plans

Regional Flood Management Planning Initiative

June 2012

**Draft
Project Management Plan
for Development of
Regional Flood Management
Plans**

*Regional Flood Management
Planning Initiative*

June 2012

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Abbreviations and Acronyms

BDCP	Bay Delta Conservation Plan
CVFPB	Central Valley Flood Protection Board
CVFPP	Central Valley Flood Protection Plan
CVIFMS	Central Valley Integrated Flood Management Study
DRMS	Delta Risk Management Strategy
DWR	Department of Water Resources
FCSSR	Flood Control System Status Report
FERIS	Flood Emergency Response Information System
FMO	Flood Maintenance Office
FEMA	Federal Emergency Management Agency
FESSRO	FloodSAFE Environmental Stewardship and Statewide Resources Office
GIS	Geographic Information System
LMA	Local Maintaining Agency
NULE	Non-Urban Levee Evaluation
O&M	Operations and Maintenance
PMP	Project Management Plan
RFMP	Regional Flood Management Plan
SAFCA	Sacramento Area Flood Control Agency
SJAFCA	San Joaquin Area Flood Control Agency
SPFC	State Plan of Flood Control
SSIA	State System-wide Investment Approach
ULE	Urban Levee Evaluation
USACE	U.S. Army Corps of Engineers

1 Introduction

In 2006, the Department of Water Resources (DWR) launched *FloodSAFE California* —a multi-faceted initiative to improve public safety through integrated flood management. The funding through Propositions 1E and 84 in November 2006 demonstrated the public’s willingness to invest in integrated flood management solutions.

In 2007, the legislature passed and the Governor signed the Central Valley Flood Protection Act (Senate Bill 5) requiring DWR to prepare the Central Valley Flood Protection Plan (CVFPP) by December 2011 and the Central Valley Flood Protection Board (Board) to adopt the CVFPP by July 2012. An important element of FloodSAFE California is preparation and implementation of the CVFPP. DWR prepared and submitted the Public Draft of the CVFPP to the Board on December 30, 2011.

The CVFPP calls for DWR to work with local flood management agencies to prepare a more detailed “Regional Flood Management Plan” (RFMP) for nine flood inundation regions within the Central Valley that would, at the minimum, identify and articulate the following:

1. Flood management challenges and deficiencies at the regional level including operations and maintenance practices, levee and channel inspection, and emergency response plans.
2. Potential solutions/projects identified by local public agencies and interest groups for the region, projects’ costs, and prioritization of the projects.
3. Financial strategies that identify benefits of the projects, and sources of the funding for implementation of the projects.

The CVFPP’s review of areas protected by facilities of the State Plan of Flood Control (SPFC) initially identified the nine regions depicted in Figure 2 on the next page. DWR is preparing to assist public agencies in initiating a planning process to prepare RFMPs for each of the nine CVFPP regions. It is anticipated that the regional planning work will be site-specific for individual river reaches.

To help the public agencies with their planning, DWR has prepared Draft Regional Atlases that contain factual flood information about each region. These Draft Regional Atlases will be provided to the Regional Partners at the beginning of the RFMP process so that they can update the Atlases with local information.

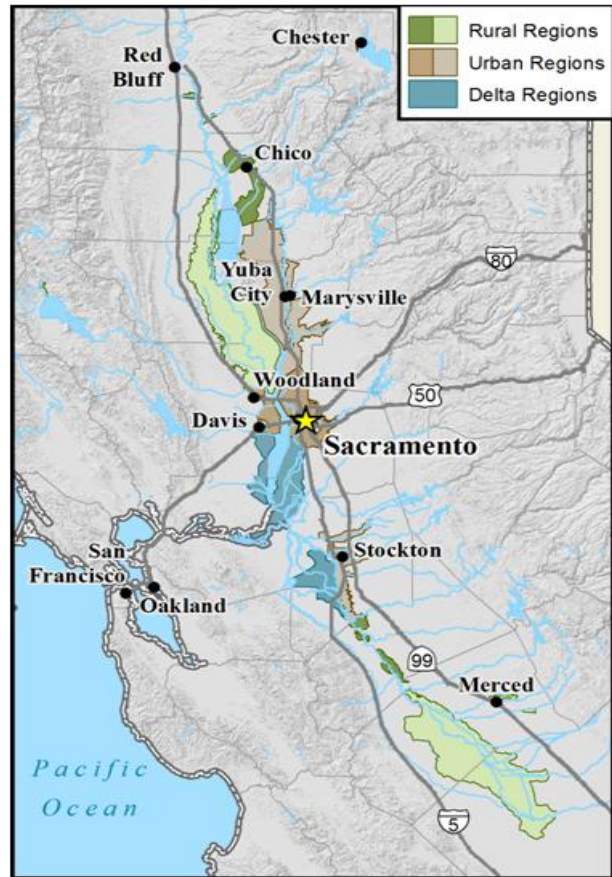
Figure 1. The FloodSAFE Initiative



DWR encourages regional flood management agencies to form Regional Working Groups to prepare their respective RFMPs. Each Regional Working Group should include representatives of Local Implementing/ Operating, and Local Maintaining Agencies; local land use agencies (cities and counties); flood emergency responders; permitting agencies; and agricultural, tribal, and environmental interests that are knowledgeable about the flood risks and potential solutions within their flood region.

DWR plans to provide financial support to public agencies that need financial assistance to assist with the timely completion of their RFMPs. DWR intends to enter into a single Funding Agreement with one flood management agency within each of the nine regions that agrees to assume lead responsibility for preparing their region’s RFMP. The lead flood management agency for each region would then be responsible for disseminating funds to members of their Regional Working Group, if needed to secure their active participation in preparation of the RFMP. Guidelines that describe the process by which the Regional Working Groups will be able to apply for directed funding to prepare their RFMPs are provided on DWR’s website.⁵

Figure 2. CVFPP’s Flood Planning Regions



1.1 Project Management Plan Goals and Objectives

The goal of the *Project Management Plan for Development of Regional Flood Management Plans* (PMP) is to assist local agencies by providing a framework for preparing an RFMP to support implementation of the CVFPP.

The PMP objective is to provide the following guidance to Regional Partners. This document describes:

- The goals and objectives of the regional planning effort.

⁵ <http://www.water.ca.gov/cvfmp/regionalplan/>

- The scope of work and approach for developing the RFMP.
- The critical milestones that will need to be achieved and the corresponding timelines.
- The primary deliverables (work products) that will be developed through the regional planning process.

1.2 Regional Flood Management Planning

The CVFPP is the State’s guiding document with respect to managing flood risks along the Sacramento and San Joaquin River systems. The CVFPP promotes a State System-wide Investment Approach (SSIA) for sustainable, integrated flood management in areas currently protected by facilities of the SPFC.

The purpose of the regional planning effort is to build upon the CVFPP by obtaining more region-specific information and local input for long term implementation of a sustainable and integrated flood risk reduction program in the Central Valley. The planning process will document site-specific flood system improvement needs, ensure local public agencies’ involvement in developing their region’s long-term vision for flood management, and prepare strategies for implementation over the long term (next 25 years or so) to achieve the region’s vision for significantly reducing flood risks.

The regional planning process will ensure that the RFMP accurately reflects the local vision for “a flood safe region” and describes strategies to achieve the region’s flood risk reduction priorities over the next 25 years.

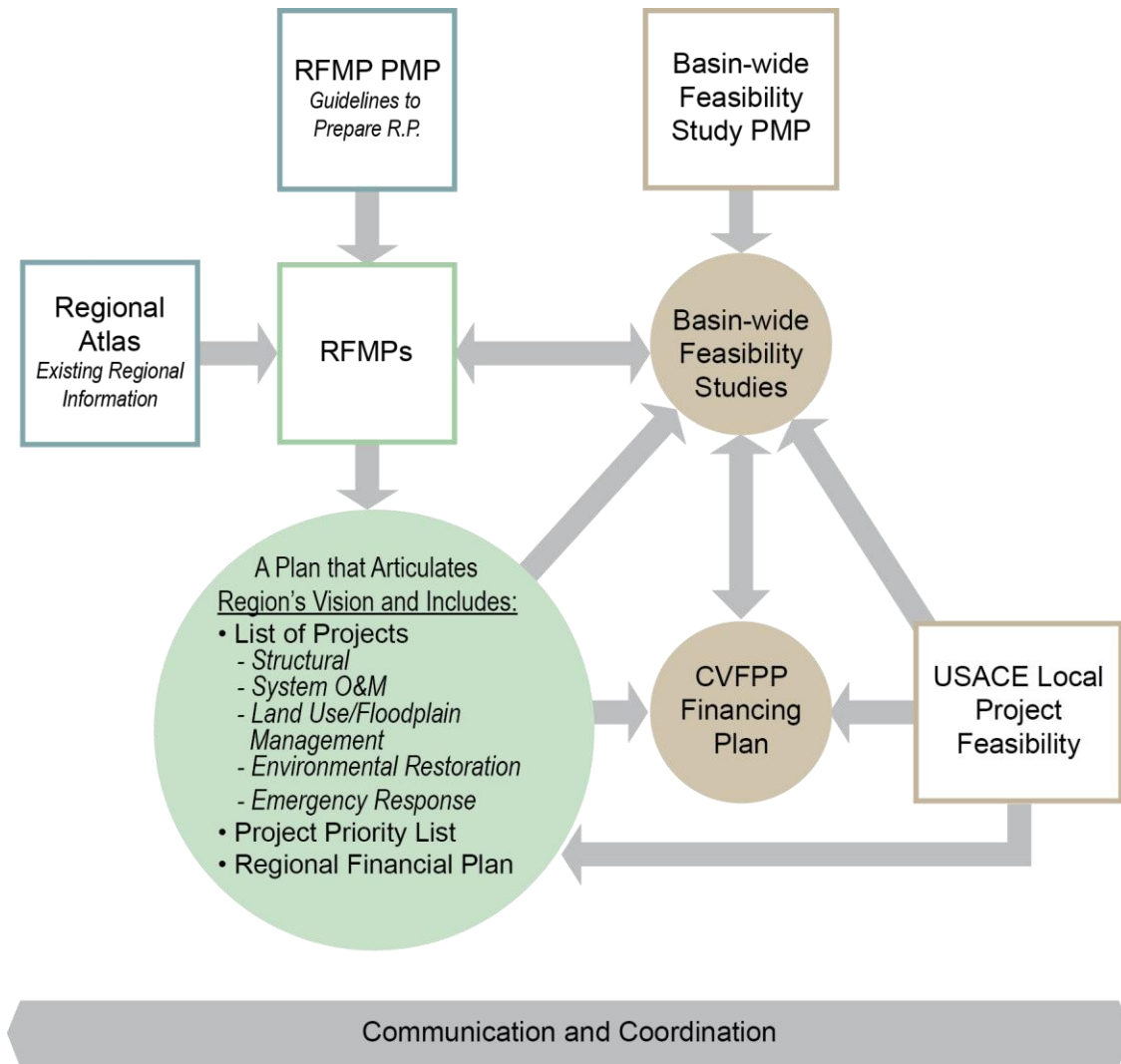
DWR is committed to assisting local public agencies with development of their RFMPs, and encourages these agencies to engage other interested local entities in the planning process to reduce flood risks in the region in a manner consistent with the SSIA.

Parallel to regional planning by local agencies, DWR will work on two Basin-wide Feasibility Studies. The Basin-wide Feasibility Studies will incorporate systemwide improvements, regional risk reductions, and ecosystem restoration within the flood management system through incorporating Conservation Strategy. The systemwide improvements will be evaluated to increase flood carrying capacity of the flood management system along the Sacramento and San Joaquin rivers and to lower the flood stages. The systemwide improvements are considered as additional protection measures beyond what local agencies are required to implement (i.e., urban agencies will provide for 200-year protection and systemwide improvement will add additional protection beyond the 200 year). DWR intends to fully coordinate the activities of the Basin-wide Feasibility Studies and regional planning in a way that the two planning processes inform each other and they are properly integrated. As such, the preparation of the RFMPs is also necessary to support development of the detailed Basin-wide Feasibility Studies, a 2017 CVFPP, and to provide detailed information for preparation of a long-term Regional Financial Plan for the FloodSAFE Program. To ensure integration of these flood management activities, a DWR manager will attend and participate in all Regional Working Group meetings and workshops to provide up to date information about DWR activities to the Working Group and to inform DWR flood management staff on regional planning processes. Communication and coordination

among Systemwide Feasibility Studies, CVFPP Financing Plan, regional planning and U.S. Army Corps of Engineers (USACE) studies are an important element of overall flood management planning for the Central Valley.

The RFMPs are targeted for completion by December 31, 2013, to allow time to provide input about regional priorities to the Basin-wide Feasibility Studies and the CVPPP Financing Plan. The regional flood management planning process and its relationship with other flood management planning programs are shown in Figure 3.

Figure 3. The Regional Planning Process/Relationship to Basin-wide Feasibility Studies



It is important that each RFMP reflects the shared understanding and recommendations of the members of its Regional Working Group. Regional flood management implementing/operating and maintaining agencies; cities and counties within the region; emergency responders; and agricultural, tribal, and environmental interests should participate in developing their RFMPs. It

is particularly important for cities and counties to participate in the planning process, since they are required to update their general plans to incorporate data and analyses from the CVFPP and the RFMPs.

DWR plans to participate in the regional flood management planning process by providing available information and financial assistance to public agencies if needed to prepare their RFMPs. The amount of financial assistance provided by DWR will depend on the availability of funds and the level of effort needed by the public agencies and other Regional Partners to complete their RFMPs.

One of the key outputs needed from the regional flood management planning process is the Regional Financial Plan that identifies project costs, benefits, and potential sources of funding (e.g., federal, State, and local cost-shares) for each priority regional project. To complete their Regional Financial Plan, the Regional Working Groups will need to estimate costs and benefits for selected flood risk reduction strategies and projects. Since each region has a unique set of flood risk reduction opportunities, the cost-shares and financing strategies will likely be different for each region and among the projects within the region.

DWR encourages all flood management agencies in the areas protected by the facilities of the SPFC to participate in the regional flood management planning process to ensure that their RFMP accurately conveys their understanding of the region's flood risk reduction priorities and opportunities.

RFMPs *are not* feasibility studies. RFMPs *are* extensions of the CVFPP planning process to provide more information about long term regional priorities, potential solutions, and financing to help inform the Basin-wide Feasibility Studies and the CVFPP Financing Plan.

1.3 State Systemwide Investment Approach

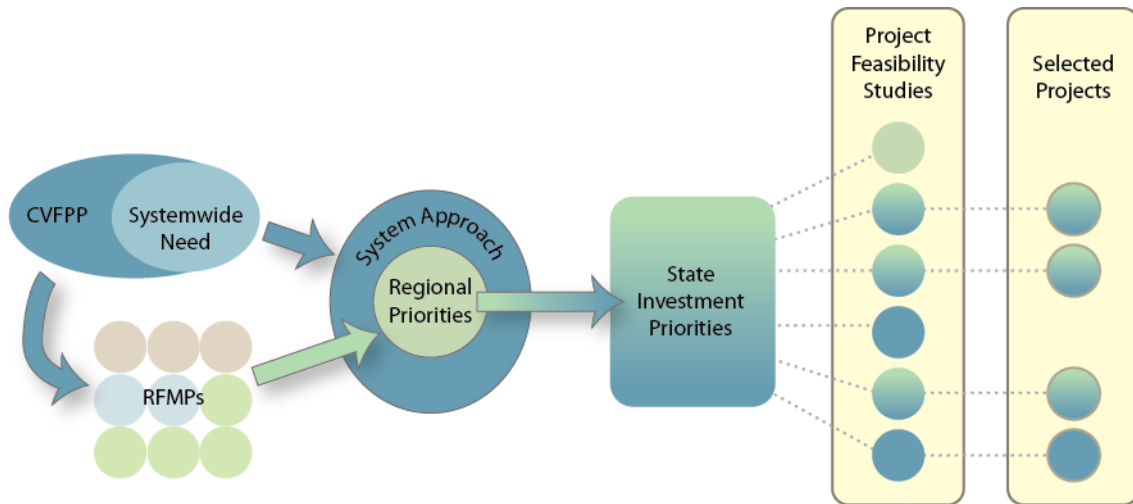
The Regional Working Groups will need to evaluate regional projects for both feasibility and Benefits-to-Costs. The assessment of benefits will consider potential contributions of the regional projects to basin-wide solutions and the SSIA.

Given the relatively short timeline for preparing the RFMPs, DWR anticipates that RFMPs will be formulated primarily from existing information. However, DWR also recognizes that the Regional Working Groups may need to conduct some technical work in order to develop estimated costs and benefits for each priority regional project. The Regional Working Groups will also need to prioritize and identify funding strategies for proposed regional projects.

Not all projects included in the RFMPs may necessarily be financially supported by the State. RFMPs may, for example, include projects and programs that solely support local interests, including non-SPFC projects. The State's interest is to implement an integrated flood management program that provides regional and systemwide benefits, is multi-objective, and applies a risk-based approach, consistent with the SSIA. DWR will therefore review the RFMPs to identify priority regional projects that are consistent with the State's priorities, and will incorporate only those projects that are consistent in the corresponding CVFPP Financing Plan for potential State co-funding and implementation during the next 25 years. The actual timing of

implementation will depend on each project’s relative ranking compared to other candidate projects throughout the nine CVFPP regions. Those projects that are deemed high priority and most consistent with the SSIA will be funded earlier in the process than other projects that may also be consistent with the SSIA, but that may not be scored as high with respect to Benefits-to-Costs. Figure 4 illustrates this approach.

Figure 4. Central Valley Flood Protection and State Investment Priorities



In preparing the CVFPP Financing Plan, DWR may use the following criteria to prioritize allocation of the State investments in projects:

- A risk-based approach
- Multi-benefits
- An integrated flood management approach
- Availability and sources of local and federal funding for proposed projects
- A systemwide approach to flood management
- Consideration of disadvantaged communities, tribal interests, and environmental justice
- Consideration of projects’ costs and benefits

The CVFPP Financing Plan will be formulated in a manner that supports phased implementation. The first phase of the investment will occur during the next five years. At the end of each phase, the State will consider progress made towards reducing flood risks in each region and reassess needs for future investments. As described previously, the highest priority projects will receive State cost-shared funding in the early phases of implementation. The timing and amount of funding for the various regional projects will be determined across all nine CVFPP regions in accordance with highest-to-lowest State investment priorities.

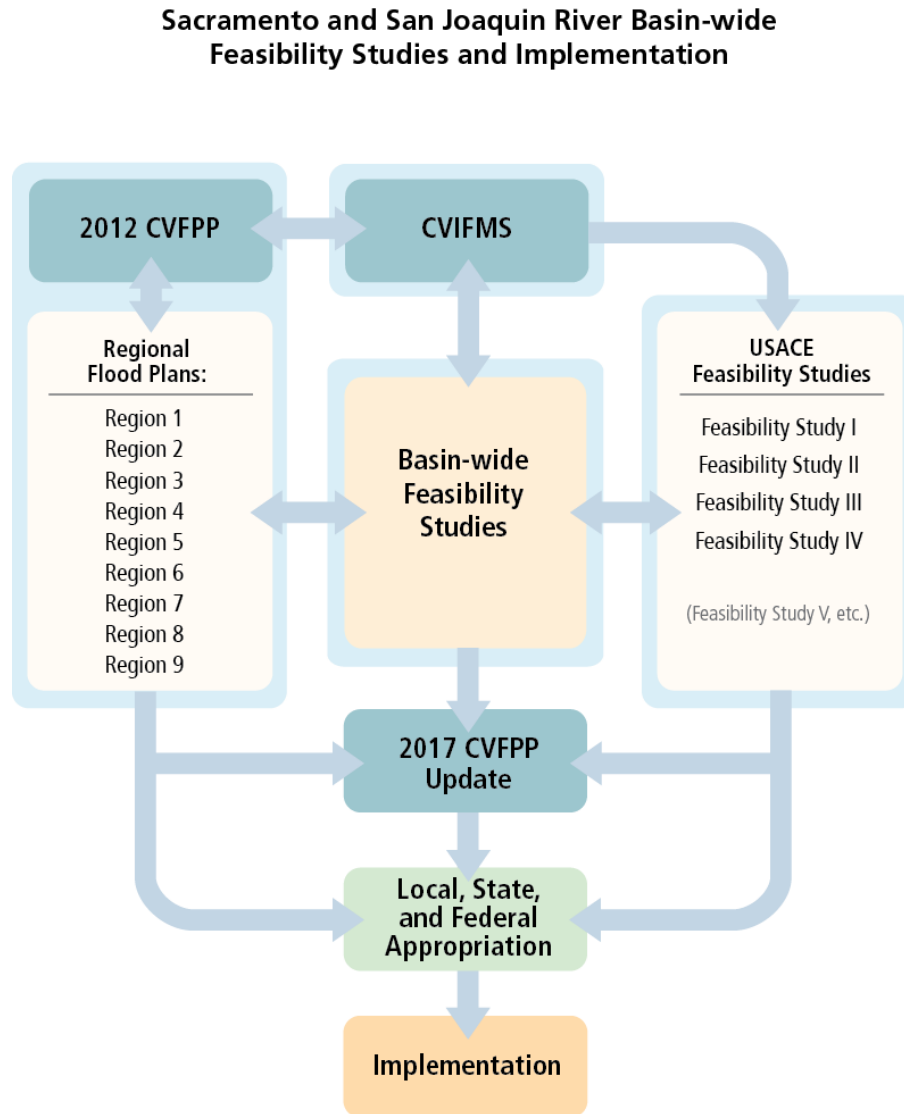
As funds become available, competitive processes will be conducted by DWR through issuance of one or more “project solicitation packages” (PSPs). All regions may then compete for funding through the PSP process for the priority projects identified in their RFMPs that are consistent with the SSIA. The guidelines and criteria for project funding are expected to be similar to PSPs developed for other flood management programs. It is anticipated that only projects identified in regional plans will be targeted for funding. RFMPs will be periodically updated by regional entities.

It should be noted that the RFMP is intended to represent the long-term vision for the next twenty five (25) years of “a flood safe region” so that regional projects can be considered in the SSIA. The regional planning process is not intended to provide a means for local projects that may not be consistent with the SSIA to access remaining Proposition 1E funds. Therefore, a Regional Plan should not be viewed as only a short-term plan to fund a few “ready to go” projects.

DWR will collaborate with and assist Regional Partners in developing the Benefits-to-Costs analyses. Different project purposes may be targeted in various reaches of the system. For example, in urban areas the focus will likely be on flood risk reduction while considering environmental restoration. In rural-agricultural areas, the focus will likely be on flood risk reduction supported by floodplain management and improved ecosystem function and sustainability. The State intends to provide greater cost-shares for environmentally beneficial projects that incorporate ecosystem restoration as a component of project formulation and implementation. Local rural entities will be allowed to cover their cost-shares with in-kind services (e.g., staff time), agricultural conservation easements, and other compatible elements.

Figure 5 illustrates the anticipated relationship of the RFMPs to USACE feasibility studies, the Central Valley Integrated Flood Management Study (CVIFMS), the Basin-wide Feasibility Studies, and CVFPP implementation. The intent of this figure is not to state that the State will halt all flood system improvement funding until the RFMPs and/or Basin-wide Feasibility Studies are completed. In fact, levee repairs and flood system improvements will continue through various DWR grant programs while the RFMPs are being developed.

Figure 5. Role of RFMPs in CVFPP Implementation



1.4 Goals and Objectives for the RFMPs

The goals of the RFMP are to build upon flood risk management information developed through, and contained in the CVFPP, and to develop a long-term vision for “a flood safe region” through the use of more detailed regional information and a collaborative local planning process.

The key differences between the RFMPs and the Basin-wide Feasibility Studies are described in Table 1.

Table 1. Comparison of RFMPs and Basin-wide Feasibility Studies

Characteristics	RFMPs	Basin-wide Feasibility Studies
Goal	To build upon flood risk management information developed through, and contained in the CVFPP, and to develop more detailed regional information	To conduct two State-led Basin-wide Feasibility Studies that refine the SSIA and prioritize State flood management investments
Objectives	<p>Consistent with the SSIA:</p> <ul style="list-style-type: none"> ▪ Identify Regional Flood Risk Characteristics ▪ Identify Regional Priorities ▪ Identify and Prioritize Proposed Regional Projects ▪ Estimate Costs and Benefits, and Identify Sources of Financing for Proposed Regional Projects ▪ Identify Strategies and Funding for Projects including O&M, Land Use and Environmental Restoration and Emergency Response for the Region ▪ Evaluate and enhance the ability of Regional Partners to manage residual risks (e.g., Emergency Response) 	<ul style="list-style-type: none"> ▪ Assess how major elements of system-wide and regional projects fit, work together, and complement each other ▪ Assess the feasibility of, and State interest in, major system elements and regional elements described in the 2012 CVFPP and refined through the regional planning process ▪ Inform development of the CVFPP Financing Plan and 2017 CVFPP Update ▪ Incorporate on-going and planned federal feasibility studies
Planning Approach	<ul style="list-style-type: none"> ▪ Use existing sources of information to develop a description of the current state of flood management within each of the nine planning regions; supplement local information provided by Regional Partners with DWR available information ▪ Develop a long term vision for flood risk reduction in the region by formulating strategies for “a flood safe region” that includes identification of potential solutions, prioritized solutions (projects), and a Regional Financial Plan developed through discussion with participating Regional Partners 	<p>Conduct feasibility level analyses and comparisons of SSIA implementation elements using the following approach:</p> <ul style="list-style-type: none"> ▪ Evaluate and refine physical elements of the SSIA improvements (e.g., bypass expansion, new bypasses, etc.) ▪ Combine the system elements with prioritized regional projects (identified in RFMPs) and conduct analyses to evaluate the effect of the combined elements on the system as a whole ▪ Evaluate and compare the costs, benefits and effects at a basin-wide level ▪ Develop a plan for SSIA implementation that will help to inform on-going studies and the 2017 CVFPP Update ▪ Prepare Basin-wide Feasibility Reports and accompanying environmental documentation

Characteristics	RFMPs	Basin-wide Feasibility Studies
Primary Deliverables	<p>A plan that present a long-term vision for a flood safe region. The Draft and Final RFMPs, at a minimum, comprised of the following key elements:</p> <ul style="list-style-type: none"> ▪ Regional Atlases that describe the current state of flood management* ▪ Regional Financial Plans that support the RFMP ▪ RFMPs that document the regions' long-term visions for flood risk reduction and strategies to implement their respective plans over the next 25 years 	<p>Deliverables (in each basin) include the following:</p> <ul style="list-style-type: none"> ▪ Two interim reports documenting progress at key planning milestones ▪ Basin-wide Feasibility Reports ▪ Environmental documentation ▪ Conservation Strategy that incorporates regional and system-wide ecosystem restoration efforts with the objective of developing a self-mitigated and self-permitting SSIA

* The Draft Regional Atlases will be prepared by DWR and provided to the Regional Working Groups to facilitate development of their respective RFMPs. DWR anticipates that in some regions, the Regional Atlases may need to be updated by the Regional Working Groups with additional local information. In these cases, the Regional Atlases will be updated to reflect the updates identified by the Regional Working Groups. The Final Regional Atlases will become an appendix to each RFMP.

2 Approach

2.1 Regional Planning Process

2.1.1 Regional Partners

Table 2 lists the types of partners that are expected to participate in the regional planning process, and their respective interests in the regional flood management planning effort.

Table 2. Types of Partners to be Engaged through the Regional Flood Management Planning Initiative

Type of Partner	Interest in Regional Planning Effort
Regional Implementing, Operating and Maintaining Agencies	Implementing Agencies (e.g., SAFCA, SJAFCA) implement regional flood projects. LMAs operate and maintain levees and other local flood control facilities. Their knowledge about local system deficiencies and potential remedies, regional financial capacity, and other elements of regional flood risk reduction strategies are critical inputs to the RFMPs.
Land Use Agencies (Cities and Counties)	Local land use agencies can manage development within floodplains through zoning and land use permits, thereby playing a key role in reducing future flood risk in the region. Local land use agencies are also interested in additional flood protection to support economic sustainability and growth in their regions.
Agricultural Interests	Agricultural interests are concerned about land use and other decisions being made during the development of RFMPs that may affect agricultural lands and crops. Agricultural interests are also interested in improving flood management in rural agricultural areas and providing flood protection for small communities.
Environmental Interests	Environmental groups are interested in ensuring that flood investments meet the state's multi-purpose objectives that include improving ecosystem functions.
Permitting Agencies/ Resource Agencies	Permitting agencies are interested in ecosystem restoration and in leveraging flood investments to restore endangered and threatened species to a secure status in the wild.
Local Emergency Responders	Local emergency responders' "operation areas" play a big role in responding to flood emergencies and in coordinating flood response activities with LMAs, the State-Federal Flood Operations Center, and Cal EMA.
Tribes	Tribes have long been interested in solutions for reducing flood risks.

2.1.2 USACE and FEMA Involvement

In addition to the above Regional Partners, federal agencies will be interested in flood risk management information developed through the regional planning process; therefore, coordination and engagement with these agencies are important to regional planning.

- The USACE is working with local entities on local project feasibility studies and will be interested in understanding the current state of flood hazards, risks and system deficiencies within each region, as well as the solutions proposed by the Regional Partners. The outcome of the regional planning process could affect some of the USACE's own studies and assessments. In addition, USACE needs to be aware of potential requests for federal co-funding of regional projects. Current USACE feasibility study processes will also provide valuable information to RFMPs.

- FEMA’s support will be in floodplain management and flood risk reduction, such as updating floodplain maps and assisting in raising existing structures within floodplains to reduce the likelihood and extent of flood damages. In some cases, raising the structures may not be feasible. In those cases, the Regional Partners may engage FEMA’s support to provide funding for purchase of buildings that are at high risk during flood events. FEMA can also help to develop affordable risk-based flood insurance for rural agricultural areas.

DWR is planning to meet with Local Implementing/Operating and Local Maintaining agencies to initiate the regional planning process. These flood management agencies will be responsible for identifying and engaging the participation of other local public agencies and organizations that have knowledge about, and interest in, the region’s flood risk reduction plan. The resultant Regional Working Groups will develop the RFMP for their region.

Figure 6 illustrates a conceptual approach for effective engagement of Regional Partners and Local Interests at various points in the regional planning process.

Figure 6. Approach to Developing RFMPs



2.1.3 Level of DWR/Partner Involvement

Through working meetings and workshops, DWR will assist the Regional Working Groups in compiling their RFMPs from available data about regional deficiencies, potential management actions, regional priorities, and financing sources and strategies.

The Local Implementing/Operating and Maintaining flood management agencies within the region will lead and be engaged in all aspects of the development of their RFMPs.

2.1.4 Roles of the Regional Partners, Local Interests and DWR

DWR will provide Draft Regional Atlases to help the Regional Working Groups get a quick start on documenting the current state of regional flood risks. The Local Implementing/Operating and Local Maintaining agencies will assume responsibility for identifying and engaging the participation of Regional Partners and Local Interests that are knowledgeable about the region’s flood risks and potential solutions. The Regional Partners are responsible for:

1. Preparing the RFMP
2. Engaging all interested parties in the planning process.
3. Communicating with and briefing regional agencies and entities including but not limited to, the County Boards, city councils, agricultural interest, environmental organizations, water agencies, etc.
4. Briefing the Central valley Flood Protection Board (CVFPB) on the planning process and the status of their activities.

DWR will participate in RFMP meetings and workshops. DWR's role in these meetings and workshops is to provide coordination between regional and basin-wide planning studies and to assist the Regional Working Groups in understanding DWR's policies, plans and programs related to CVFPP implementation, so that the Regional Working Groups have the opportunity to consider potential overlaps and gaps between the RFMPs and the SSIA.

Given the level of technical understanding that is needed to develop the RFMPs, it is important that the Local Implementing/Operating and Local Maintaining agencies within each region assume leadership roles in developing their RFMPs and participate in all aspects of the regional planning process. Other Regional Partners and Local Interests would likely have the opportunity to engage in, and provide input to the RFMPs at three key points in the process:

1. When developing a vision for long term flood risk reduction in the region to: formulate solutions and projects to address deficiencies; to address regional priorities, operations and maintenance (O&M) strategies, land use and environmental restoration priorities, and emergency response enhancements; and to prepare a Regional Financial Plan and identify potential sources of funding.
2. When preparing the early Draft RFMPs that will include proposed financing sources and strategies.
3. When preparing the Final Draft RFMPs.

Although it is important that the Regional Working Groups lead development of their own RFMPs, DWR may play a larger role if requested by regions in which the Regional Working Groups do not have sufficient resources to prepare their own RFMPs. In those cases, DWR's role will be to help the regions compile their flood management information and priorities and produce their draft plan. However, the RFMPs for those regions must still reflect the region's proposed solutions and Regional Financial Plan and strategy as defined by the respective Regional Working Groups.

2.2 RFMP Elements and Data

The RFMPs will be comprised of two primary elements:

- The Regional Atlases (representing existing and "current state") are primarily graphic depictions of the region, its assets and resources, flood management agencies, the flood risk characteristics of each region, and CVFPP information as they relate to the region. Each Regional Atlas will present factual, existing, and current information. As noted previously, the Regional Atlases will be compiled by DWR in a draft form and provided

to Regional Partners in advance of the regional meetings and workshops. Regional Partners will have the opportunity to update the Regional Atlases with additional local information. A copy of the Final Regional Atlas will be appended to each RFMP.

- The RFMPs will be prepared in collaboration with, and coordination among all Regional Partners and local interests through the regional planning process.

Each RFMP will represent the Regional Working Group’s vision for a long term “flood safe region.” Each RFMP should include the following minimum elements:

- A description and list of organizations that participated in development of the RFMP.
- A description and characterization of flood risks and assets at risk in the region.
- Descriptions of regional solutions /projects (or management actions) and strategies, together with a prioritized list of proposed solutions.
- A description of, and rationale for the criteria that were developed by the Regional Partners and applied to rank the proposed flood risk reduction solutions /projects.
- Opportunities to consider and include system-wide flood management activities and integration of flood risk reduction projects with other resources of the region. An assessment of opportunities for developing multi-objective solutions in the region may, for example, include enhancements of ecosystems within the region’s flood management system.
- Potential sources of financing for the proposed solutions /projects (regional funding capacity) and a Regional Financial Plan for the region. The Regional Financial Plan will address long-term capital improvement investments, as well as funding for flood emergency response operations, and O&M of the region’s flood management facilities.
- Residual risk management strategies, including:
 - O&M strategies for the region, and opportunities for consolidation of O&M activities at the regional level to enhance O&M at a reduced cost and for sustainable O&M funding
 - Enhanced emergency response in the region
 - Land use priorities and environmental restoration

2.2.1 Regional Atlases

Table 3 presents proposed contents of the Regional Atlas. These initial maps and other regional content may be supplemented by other relevant local information identified during the regional planning process. In addition, each item may be comprised of multiple maps. For example, identification of flood hazards may require multiple maps in each region.

Table 3. Suggested Regional Atlas Table of Contents

Item	Elements to Include
Regional Overview	<ul style="list-style-type: none"> ▪ This map identifies the boundaries and map extent for the Region.
Protected Populations and Assets	<ul style="list-style-type: none"> ▪ This map identifies the distribution of protected populations and assets in the Central Valley.
Levee Flood Protection	<ul style="list-style-type: none"> ▪ This map shows areas within the Region protected by the facilities of the SPFC.
Local Jurisdictions	<ul style="list-style-type: none"> ▪ This map shows the city and county boundaries and will be used to identify the local land use planning authority in order to identify the appropriate land use-based roles and responsibilities.
DWR Integrated Regional Water Management Regions	<ul style="list-style-type: none"> ▪ This map identifies the DWR Integrated Regional Water Management Planning Regions that coincide with the Flood Management Region.
General Land Use	<ul style="list-style-type: none"> ▪ This map identifies general land uses, including agricultural, urban, and native vegetation. This information will be used to ensure flood risks do not increase by encouraging development in the floodplains.
Local Maintaining Agencies	<ul style="list-style-type: none"> ▪ This map identifies the LMA boundaries within the Region.
Existing Critical Facilities and Economic Assets	<ul style="list-style-type: none"> ▪ This map identifies highways, primary county roads, railroads, bridges, airports, docks/marinas, hospitals, police, fire, and schools.
SPFC and Local Flood Control Facilities	<ul style="list-style-type: none"> ▪ This map identifies the SPFC and Non-SPFC flood control facilities (levees, weirs, pump stations, canals) that provide flood protection. This information will be used to identify and locate all flood facilities in the Region.
Flood Emergency Response Facilities	<ul style="list-style-type: none"> ▪ This map identifies facilities that may be used to support Emergency Response Readiness.
Overall Levee Conditions	<ul style="list-style-type: none"> ▪ These maps will include the results of inspection reports, Non-Urban Levee Evaluations/Urban Levee Evaluations, and other known/identified deficiencies or areas of poor past performance.
Flood Inundation Maps	<ul style="list-style-type: none"> ▪ These maps identify the 100-year and 200-year flood inundation areas from the Comprehensive Study and the FEMA 100-year effective floodplain.
Channel Capacities and Flood Monitoring Network	<ul style="list-style-type: none"> ▪ This map identifies the current channel capacities of the SPFC. This information will be used to identify the floodways and their capacities within the Region.
Managed Environmental Lands	<ul style="list-style-type: none"> ▪ This map identifies the wildlife refuges and areas and critical habitat areas. This information will be used to map ecologically sensitive areas within the Region.
Riparian Vegetation, Critical Habitat, and Sensitive Species	<ul style="list-style-type: none"> ▪ This map identifies riparian vegetation along the rivers and streams affected by the SPFC facilities, and the presence of Critical Habitat or Sensitive Species within the Region.

2.2.2 Suggested Draft of Table of Contents for RFMPs

Table 4 is an illustrative table of contents for RFMPs. The Regional Working Groups may develop whatever table of contents they deem appropriate for their region’s plan.

Table 4. RFMPs Annotated Table of Contents

Item	Description	Elements to Include
Executive Summary	The Executive Summary succinctly summarizes the goals and objectives of the regional planning effort, the regional planning process, and the region-specific flood system characteristics and challenges that drove identification of priority solutions. The Executive Summary also presents the outcome of the planning process, including recommended management actions/projects, financing, and other strategies for reducing regional flood risks.	Generally describe the flood risk characteristics of the region: its current vs. planned future state; flood hazards; proposed improvements; key partners; total plan cost; significant strategies (e.g., for financing the proposed projects)
Regional Setting	By providing the region's flood history, natural resources and assets, demographics, land use, economy, and other region-specific information, the regional setting sets the stage for characterizing flood system deficiencies and risks within the region. The Regional Setting also identifies the Regional Partners and their respective jurisdictions, roles, and responsibilities with respect to reducing both the risks and consequences of flood within the regions.	Generally describe the region: population density by area, zoned land uses, industry and economic elements, streams and rivers, flood history past events, local flood management agencies, and their respective jurisdictions, etc.
Assessments of Flood Hazards in the Region: Deficiencies, Assets and Risks	This section describes regional flood hazards and system deficiencies, as well as the levees, channels, structures and other existing assets for managing or mitigating flood risks. It also identifies the locations of urban and rural communities relative to these hazards and deficiencies for the purpose of assessing the regions' flood risks.	<ul style="list-style-type: none"> ▪ Use Urban Levee Evaluations (ULE) and Non-Urban Levee Evaluations (NULE) information to define flood system deficiencies in the region ▪ Identify flood assets in the region ▪ Identify urban vs. rural vs. open space areas ▪ Identify locations and populations of small communities relative to flood deficiencies
Proposed Regional Improvements (Management Actions/Projects)	Once the current state has been established, the Regional Working Groups will identify management actions to reduce flood risks. Management actions may include both structural and non-structural solutions. The ultimate objective of this part of the regional planning process is to identify specific solutions (i.e., projects) that could cost-effectively reduce flood risks. The proposed solutions should also be technically and economically feasible, and effective in achieving the targeted reduction in flood risks.	<ul style="list-style-type: none"> ▪ List and describe proposed improvements, using ULE, NULE and fragility curves prepared for the CVFPP (include structural and non-structural solutions) ▪ Identify ecosystem projects in the region ▪ Identify estimated costs and benefits for the proposed improvements ▪ Estimate the flood risk reduction value of the proposed improvements ▪ Describe the region's role in the SSIA

Item	Description	Elements to Include
Regional Priorities	Not all proposed projects can be funded in the short-term. The RFMPs should prioritize projects that represent the regions' priorities.	Rank the proposed improvements in order of risk reduction, multi-purpose objectives and Benefits-to-Costs, identifying criteria that will be used to rank the respective improvements.
O&M	Regional Partners will identify strategies for reducing flood risks through enhanced O&M. They will also provide input about the level of funding, training and other resources that may be needed to implement these recommended strategies.	Strategies for improving O&M in the region and how to provide sustainable funding for O&M. Examine the opportunities for regional O&M consolidation.
Emergency Response Planning	Ultimately, the RFMPs are intended to address residual risk. One of the most important strategies for addressing residual risk is Emergency Response. The RFMPs will identify the roles and responsibilities of each region's emergency responders; the level and quality of their readiness (indicated by adopted Emergency Plans, frequency of training and re-training of responders, stockpiling of equipment and materials needed for flood fights, etc.). In addition, the Regional Partners will help to identify potential enhancements to regional emergency response systems, and resources and assets. They will also help to identify potential sources of financial and technical assistance for Emergency Response and Planning.	State of Emergency Response readiness within each region, including lists of Emergency Response Plans in-place, the entities responsible for responding to emergencies within each region, and the extent to which residual risk is capable of being addressed within the region.
Land Use and Environmental Enhancements	Land use (zoning) is an essential tool for managing flood risks. In particular, State law requires that local jurisdictions do not increase the State's risks by allowing development within floodplains. Through the regional planning process, the Regional Partners will develop measures to ensure appropriate local planning to reduce flood risks in the floodplains. Environmental interests will be considered contemporaneously, since opportunities for environmental restoration will be impacted by these types of land use decisions.	Strategies for resolving land use issues while also providing for environmental restoration in the region.
Regional Financial Plan	Financing is a unifying factor for all elements of the RFMPs. It is not sufficient that identified solutions be technically feasible and relevant to flood risk reduction – they must also meet a variety of criteria to qualify for different types of federal and State funding sources. The purpose of the RFMPs is to identify high priority regional flood risk reduction solutions that are both economically viable and implementable.	List of ranked proposed improvements, including estimated costs and benefits, amounts to be funded by federal vs. State vs. local cost shares, and local agencies' plans to finance their share of each project's costs.

2.2.3 Data Sources

Multiple data sources will be used to compile the Regional Atlases and the RFMPs. Table 5 describes some sources of existing data that can be accessed to develop the Regional Atlases and to support development of the inventories of deficiencies and recommended system improvements for inclusion in the RFMPs.

Table 5. Potential Sources of Data for the Regional Atlases and RFMPs

Potential Sources of Data for the Regional Atlases and RFMPs		Prior and Current State			Future State (Proposed Regional Enhancements, and Their Costs and Benefits)				
		Flood History	Flood Risks	Deficiencies	Future Challenges	Proposed Projects	Ecosystem Enhancements	Risk Reduction	Est. Costs & Benefits
Flood Emergency Response Information System (FERIS)	GIS database of the entire flood control system including levees, structures and flood control features with key attributes	X		X					
Critical Repairs	Prioritized list being prepared by Flood Maintenance Office (FMO)			X		X			X
Restoration Opportunities and Conservation Framework	List being prepared by FloodSAFE Environmental Stewardship and Statewide Resources Office (FESSRO)						X		
Flood Control System Status Report (FCSSR) [December 2011]	Describes the current status (physical condition) of SPFC facilities at a basin-wide level	X	X	X					
Inspection Reports	From Flood Maintenance Office (FMO), Inspection Section and Local Maintaining Agencies (LMAs)	X	X	X		X			
Local Hazard Mitigation Plans	Prepared by LMAs when applying for financial assistance		X	X		X		X	X
Management Action Plans [November 2010]	Summarizes a range of potential management actions to address identified problems and opportunities related to flood management and to contribute to CVFPP goals; compiled to support development of the CVFPP		X	X	X	X	X	X	
Regional Conditions Report – A Working Document [March 2010]	Interim document prepared to help verify that State, federal, tribal, local, regional, and other perspectives have been recognized and applied appropriately to the development of the 2012 CVFPP; defines existing conditions and likely future challenges	X	X	X	X		X		

Potential Sources of Data for the Regional Atlases and RFMPs		Prior and Current State			Future State (Proposed Regional Enhancements, and Their Costs and Benefits)				
		Flood History	Flood Risks	Deficiencies	Future Challenges	Proposed Projects	Ecosystem Enhancements	Risk Reduction	Est. Costs & Benefits
State Plan of Flood Control Descriptive Document [November 2010]	Inventory and description of the flood control projects and works (facilities), lands, programs, plans, conditions, and mode of O&M for the State-federal flood protection system in the Sacramento River and San Joaquin River watersheds of California	X		X		X			
Statewide Integrated Flood Management Planning	Flood management related information gathered by the program through meeting with individual agencies throughout the State	X	X	X	X	X			
Urban Levee Evaluation (ULE) and Non-Urban Levee Evaluation (NULE)	Phase 1 deficiencies were identified solely on the basis of paper studies (i.e., no deterministic analyses have yet been performed); cost estimates available for in-place fixes (pre-feasibility level)	X		X		X			X
Delta Risk Management Strategy (DRMS)	The Phase 2 report evaluated alternatives to reduce flood risks and consequences to the Delta and the State in case of levee failure	X	X	X		X	X	X	

The foregoing list of potential sources is not intended to be comprehensive. Over time, DWR, USACE, regional implementing and operating agencies, and others have conducted a wide variety of studies and assessments of flood risks and potential strategies for reducing those risks. There is no single comprehensive study that encompasses all of the elements needed to develop the Regional Atlases, nor have all past assessments been conducted and compiled on comparable bases. Further, inasmuch as some of the past studies were completed more than 10 years ago, the inventory of “current state” deficiencies, findings and recommendations therein may need to be refreshed.

Some data will be more pertinent than others to the regional planning effort. Some may be duplicative – e.g., some of the data sources listed in Table 4 were compiled from data developed for, and contained in, other reports.

2.2.4 Data Issues

Given the breadth of data that will need to be reviewed, assessed, and extracted to develop the RFMPs, DWR and the Regional Working Groups will need to confer with the originators or custodians of each of these data sources to determine which are useful to their respective regional planning efforts. In addition, DWR’s Regional Planning Managers will need to confer

with the Regional Partners to obtain their insights as to the “best” sources of data for development of the RFMPs.

Table 6 describes the types of data issues that the regional Working Groups will need to address and resolve when selecting the “best available” data.

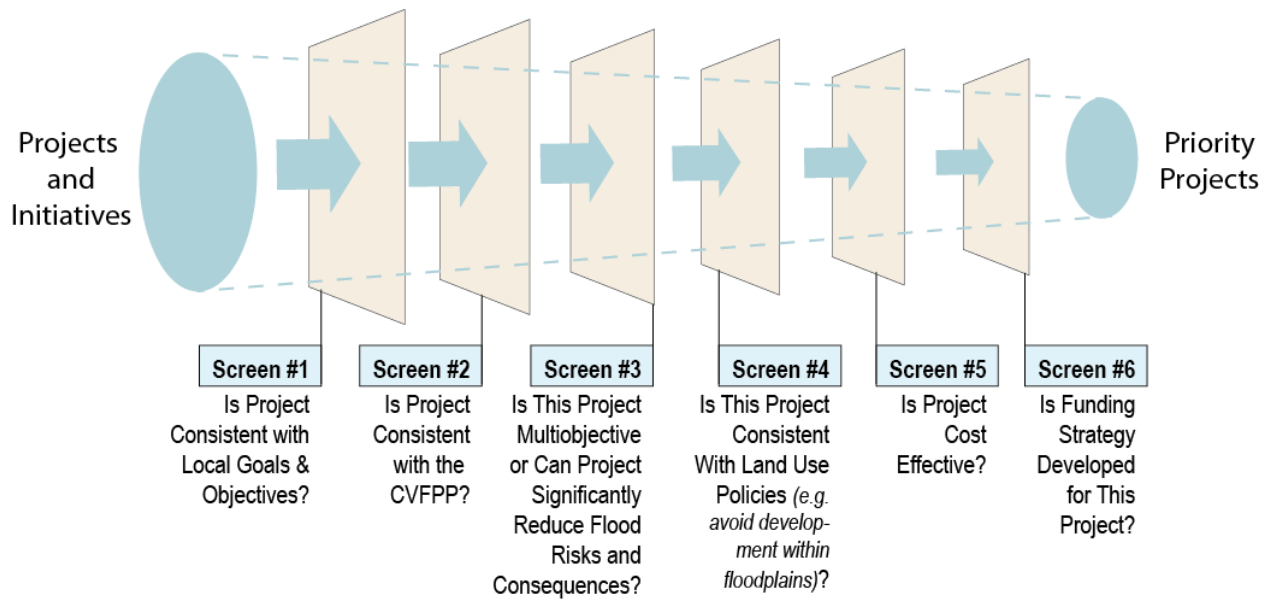
Table 6. Anticipated Data Issues

Data Issue	Example
Work in Progress	FERIS is the source for many of the data and will eventually become the authoritative source for the flood management information. The users must consult with the owners of the data to ensure the data is current.
Data May be “Stale”	Other studies may contain some usable data, but may be incomplete. Further, some of the data may be “stale.” For example, the Flood Control System Status Report (FCSSR) collected data from LMAs describing deficiencies that were identified during maintenance work. These data need to be reviewed to confirm that these deficiencies still exist.
Data May Not Be the Right Level	The management actions that were collected through the CVFPP process workshops may provide a useful framework for developing portions of the RFMPs. However, these were very broad and at a higher level than that needed for the RFMPs.
Data May Not be Easily Attributed to the Respective Regions	The Detailed Management Action Database contains several thousand ideas. While this may be a good source of information about local ideas, the workshops that were used to compile these data were not organized along the lines of the nine CVFPP planning regions. Any usable data would need to be identified to the nine CVFPP regions.
Some Studies Integrate Data from Other Sources	The FCSSR relied heavily upon data from ULE/NULE. Consequently, it may not be needed if ULE/NULE data will be directly used.
Not All Data Have the Same Value	ULE is a good source of data for urban areas, but NULE does not yet provide a comparable level of information for rural areas.
Some Reports Contain Specific Information but may not be fully applicable	The Delta Risk Management Strategy (DRMS) conducted a risk analysis of the Delta and Suisun Marsh, but the information is only useful to the extent that it can be applied to facilities of the SPFC in the Delta.

2.2.5 Screening Process

Figure 7 illustrates a conceptual screening process and the types of criteria that could be applied by Regional Partners to screen, rank, and prioritize their proposed regional solutions/projects. Regional Working Groups may develop their own screening processes and criteria, as deemed appropriate for their region.

Figure 7. Suggested Screening Criteria for Regional Solutions/Projects



Projects that pass the screening process can then be prioritized in accordance with criteria developed by the Regional Working Groups. Potential sources of financing will be identified for priority projects recommended for inclusion in the RFMPs. Table 7 provides an illustrative template for documenting priority ranked projects, their estimated costs and benefits, and potential sources of financing.

Table 7. Template for Ranked Projects with Regional Financial Plan

Priority	Name of Project	Reduction in Flood Risk	Est. Cost	Est. Benefits	FINANCIAL PLAN			
					Federal	State	Local	Source(s) of Local Financing
1	Project ABC		\$	\$	\$	\$	\$	
1	Project XYZ		\$	\$	\$	\$	\$	
2	Project NJB		\$	\$	\$	\$	\$	
3			\$	\$	\$	\$	\$	

The purpose of this effort is to quickly develop estimates of the magnitude of dollars that might be needed, and the potential sources of funding that could be secured to help address known flood risks within the regions. When complete, the Draft and Final RFMPs may be posted to the FERIS website. The RFMPs will be updated periodically during the next 25 years as additional information becomes available and some progress is made in reducing flood risks in the region.

Definitions

Basin-wide Feasibility Studies: State-led feasibility studies for the Sacramento River and San Joaquin River Basins to assess State interest in major system and regional elements described in the 2012 Central Valley Flood Protection Plan (CVFPP).

Central Valley Integrated Flood Management Study (CVIFMS): USACE-led feasibility study for the Central Valley.

Flood Control System Status Report (FCSSR): Describes the current status (physical condition) of State Plan of Flood Control (SPFC) facilities at a system-wide level.

CVFPP Financing Plan: A funding Plan Developed by DWR in collaboration with local and federal agencies presenting a recommended schedule and funding Plan to implement the CVFPP recommendations, as required by the Central Valley Flood Protection Planning Act.

Local Interests: Cities and counties; agricultural, tribal and environmental interests; and emergency responders within the region that have knowledge about the region's flood risks and potential solutions, and whose participation would be beneficial to the regional flood management planning process.

Local Maintaining Agency (LMA): Local public agencies with authority to operate and maintain levees and other local flood control facilities.

Local Implementing/Operating Agency: Local public agencies (e.g., SAFCA, SJAFCA) with authority to implement regional flood projects.

Proposition 84: The "Safe Drinking Water, Water Quality and Supply, Flood Control, River and Coastal Protection Bond Act of 2006" passed by the California voters on November 7, 2006, and as set forth in Division 43 of the Public Resources Code.

Proposition 1E: The "Disaster Preparedness and Flood Prevention Bond Act of 2006" passed by the California voters on November 7, 2006, and as set forth in Division 5 of the Public Resources Code.

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

Regional Atlases: Maps provided by DWR to the Regional Partners as a graphic depiction of factual, existing, and current information within each region which include the region's assets, resources, flood management agencies, flood risk characteristics, and CVFPP information.

Regional Financial Plan: The component of each RFMP that identifies sources of financing (federal, state, local, others) for each recommended regional project and programs.

Regional Flood Management Plan (RFMP): The CVFPP calls for DWR to work with local flood management agencies to prepare a “Regional Flood Management Plan” (RFMP) for each of the nine 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. The RFMP is the document in which each region’s future flood risk management plans, strategies, projects, and potential sources of funding to support CVFPP implementation will be described - it is the local vision for a future “flood safe region” over the next twenty five (25) years.

Regional Partners: Regional Implementing, Operating and/or Maintaining Flood Management Agencies; cities and counties within the region; agricultural, tribal and environmental interests; and emergency responders that are knowledgeable about the region’s flood risks and potential solutions, and that participate in the regional flood management planning process who are responsible for flood management in the area protected by the facilities of the SPFC. State and federal agencies participating in regional activities are not considered Regional Partners.

Regional Working Group: The Regional Partners within a single flood management region that will prepare that region’s RFMP.

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

State Plan of Flood Control (SPFC): 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 Section 8350, and of flood control projects in the Sacramento River and San Joaquin River watersheds authorized pursuant to Article 2 (commencing with Section 12648) of Chapter 2 of Part 6 of Division 6 for which the board or DWR has provided the assurances of non-federal cooperation to the United States, and those facilities identified in Section 8361.” – California Water Code Section 9110 (f)

State Systemwide Investment Approach (SSIA): The State’s strategy for modernizing the State Plan of Flood Control (SPFC) as explained in the 2012 Central Valley Flood Protection Plan (CVFPP).