



Water Resource Funding in Florida

March 2010

The Florida Department of Environmental Protection provides financial assistance to local governments and certain other entities to upgrade, expand or build wastewater, stormwater, and drinking water facilities or implement various other water quality improvement projects.

- **Clean Water State Revolving Fund (SRF) loan program** provides low-interest loans to local governments to plan, design, and build or upgrade wastewater, stormwater, and nonpoint source pollution prevention projects. Certain agricultural best management practices may also qualify for funding. Discounted assistance for small communities is available. Interest rates on loans are approximately 40% below market rates but vary based on the economic wherewithal of the community. The Clean Water SRF is Florida's largest financial assistance program for water infrastructure. More information is available at www.dep.state.fl.us/water/wff/cwsrf or contact Tim Banks at 850.245.8360 or timothy.banks@dep.state.fl.us.
- **Drinking Water SRF loan program** provides low-interest loans to local governments and certain private utilities to plan, design, and build or upgrade drinking water systems. Discounted assistance for small communities is available. Interest rates on loans are as much as 40% below market rates. More information is available at www.dep.state.fl.us/water/wff/dwsrf or contact Paul Brandl at 850.245.8373 or paul.brandl@dep.state.fl.us.
- **Small Community Wastewater Facilities Grants Program** provides grants to fund the construction of wastewater facilities in municipalities with 7,500 or fewer people and *per capita* income levels below Florida's average *per capita* income. A local match is required. The program is linked to the Clean Water SRF program outlined above, and is highly competitive. More information is available at www.dep.state.fl.us/water/wff/cwsrf/smalcwgp.htm or contact Tim Banks at 850.245.8358 or timothy.banks@dep.state.fl.us.
- Florida's **Section 319 grant program** administers funds received from EPA to implement projects or programs that reduce nonpoint sources of pollution. Projects or programs must benefit Florida's priority watersheds ("impaired waters") and local sponsors must provide at least a 40% match. Eligible activities include demonstration and evaluation of urban and agricultural stormwater best management practices, stormwater retrofits, and public education. More information is available at www.dep.state.fl.us/water/nonpoint/319h.htm or contact Heather Ritchie at 850.245.8682 or heather.ritchie@dep.state.fl.us.
- Funding for projects related to the implementation of **Total Maximum Daily Load (TMDL)** determinations may be available through periodic legislative appropriations to the DEP. When funds are available, the program prioritizes stormwater retrofit projects to benefit impaired waters, somewhat along the lines of the previously mentioned Section 319 grant program. Information is available at www.dep.state.fl.us/water/watersheds/tmdl_grant.htm or by contacting Borja Crane-Amores at 850.245.8425 or borja.craneAmores@dep.state.fl.us.
- Most years, typically from mid-December to mid-January, the Florida Legislature solicits applications for "**Community Budget Issue Request**" projects, including water projects. This process is an opportunity to secure legislative sponsorship of project funding through the state budget. The legislature coordinates applications with the department although the department has no authority in the selection of projects for funding. For more information, see

www.dep.state.fl.us/water/ and look for the link to “Funding/Legislative Funding” or contact Geof Mansfield at 850.245.8339 or geofrey.mansfield@dep.state.fl.us. Information on contacting Senators and Representatives is available at www.leg.state.fl.us.

There are a number of other programs at both the state and federal levels that offer the possibility of water infrastructure funding. These include:

Florida Department of Community Affairs **Small Cities Community Development Block Grant (CDBG) Program** – Funds are available annually for water and sewer projects that benefit low and moderate income persons. Projects providing new service have a higher priority than upgrades of existing facilities. Available matching funds also are considered. The maximum grant amount is \$600,000 - \$750,000, depending on income levels. Moneys also are available for water and sewer projects that serve a specific “job-creating entity” as long as most of the jobs created are for people with low or moderate incomes. For more information, visit www.floridacommunitydevelopment.org/cdbg/index.cfm or contact Jackie Dupree at 850.487.3644 or jackie.dupree@dca.state.fl.us.

Florida Rural Water Association Loan Program – This program provides low-interest bond or bank financing for community utility projects in coordination with the DEP SRF programs discussed above. Other financial assistance may also be available. For more information, visit www.frwa.net/ and look for the link to “long term financing” or contact Gary Williams at 850.668.2746 or gary.williams@frwa.net.

Enterprise Florida – Enterprise Florida’s program is a resource for a variety of public and private projects and activities, including those in rural communities, to facilitate the creation, capital investment, and strengthening and diversification of local economies by promoting tourism, trade and economic development. The various Enterprise Florida programs and financial incentives are intended, among other things, to provide additional financial assistance to enable communities to better access other infrastructure funding programs. For more information, visit www.eflorida.com/financialadvantages or contact Bridget Merrill at 850.922.8655 or bmerrill@eflorida.com.

Florida’s **five regional water management districts** also offer financial assistance for a variety of water-related projects, for water supply development, water resource development, and surface water restoration. Assistance may be provided from *ad valorem* tax revenues or from periodic legislative appropriations for Alternative Water Supply Development and Surface Water Improvement and Management (SWIM) projects. The amount of funding available, matching requirements and types of assistance may vary from year-to-year. For information on funding opportunities, contact the water management district with jurisdiction in your area—see www.dep.state.fl.us/secretary/watman for a map and links to each of the districts.

U.S. Department of Commerce **Economic Development Administration (EDA) Public Works and Development Facilities Program** – The program provides funding to help distressed communities in economic decline revitalize, expand, and upgrade their physical infrastructure to attract new industry, encourage business expansion, diversify local economies, and generate or retain long-term, private sector jobs and investment. The program focuses on redeveloping existing infrastructure. For more information, visit www.eda.gov/InvestmentsGrants/Investments.xml or contact Phillip T. Trader at 404.730.3017 or ptrader@dea.doc.gov.

U.S. Department of Agriculture **Rural Development Rural Utilities Service (RUS) Guaranteed and Direct Loans and Grants** – This program provides a combination of loans and grants for water, wastewater, and solid waste projects to rural communities and small incorporated cities with populations of 10,000 or fewer.

Some nonprofit entities also may be eligible. To qualify, applicants must be unable to obtain financing from other sources or through their own resources at reasonable rates and terms. Projects must benefit rural users and funding is provided in a combination designed to reduce rates to a reasonable level, as determined by the RUS. For more information, visit www.usda.gov/rus/water/ or contact Michael Langston at 352.338.344085 or michael.langston@fl.usda.gov.

Congress – State and Tribal Assistance Grant Program provides the opportunity to secure Congressional sponsorship of project funding, including water project funding, through the annual federal budget process. The program's stated purpose is to strengthen state, local governments, and tribal abilities to address environmental and public health threats while furthering environmental compliance. See <http://www.epa.gov/Compliance/state/grants/stag/opportunities.html>. You may want to consider contacting your Representative or Senators for assistance in pursuing funding; see <http://thomas.loc.gov/links/>.

You may also want to review:

- **Grants.gov** at <http://www.grants.gov/>, which is the official federal website for information on more than 1,000 federal grant programs. The site includes an automatic email notification system for keeping apprised of federal grant opportunities.
- **Catalog of Federal Domestic Assistance** at <http://www.cfda.gov/>, which provides a database of all federal programs available to state and local governments; public, quasi-public, and private profit and nonprofit organizations and institutions; specialized groups; and individuals. There are a variety of sources of niche funding that may be appropriate to your situation. There are also private funding sources (endowments, private trusts, etc.) that may, on occasion, fund water-related projects; a variety of sources to investigate these opportunities are available on the web.
- **The Florida Resource Directory** at <http://www.floridaresourcedirectory.org/>, which provides a searchable directory of information about and links to many state and federal programs with resources available to help local communities. Funding for water-related projects is just one of many types of assistance identified here.

If you are interested in **disaster relief**, your first contacts should be to **Florida's Division of Emergency Management** at 1.800.342.3557, or visit <http://www.floridadisaster.org/>; and the **Federal Emergency Management Agency** at 1.800.621.FEMA (3362), or visit <http://www.fema.gov/government/grant/pa/index.shtm>, where the process for securing disaster-related infrastructure assistance begins.

If you have general questions about financial assistance unrelated to any particular program, please contact Geof Mansfield with the Department of Environmental Protection at 850.245.8339 or geofrey.mansfield@dep.state.fl.us.

WATERSHED FUNDING: CREATING A SUSTAINABLE FUNDING PLAN

Tim Jones and Rakhi Kasat
February 1, 2008
Targeted Watershed Grants Conference

TWG Funding Workshop Agenda
Corpus Christi, TX: February 1, 2008 8-11 AM

Objectives:

- *Build the capacity of participants to develop a realistic, sustainable funding plan*
- *Familiarize participants with funding resources and tools*

I. Introductions

- A. Introductions
- B. Workshop Goals

II. Step 1: Establish Funding Priorities

- A. Main message: Be clear about why you are raising money to gain buy-in from your entire organization and ensure you are moving towards your goal.
- B. Plan2Fund Objective Prioritization Tool (OPT)

III. Step 2: Assess Capacity

- A. Main message: Assess the capacity of your organization to be realistic about how your organization can capitalize on its strengths and minimize its weaknesses.
- B. Strengths, Weaknesses, Opportunities, Threats (SWOT) analysis

IV. Step 3: Set Fundraising goal

- A. Main message: Push your staff, board, and volunteers to set concrete short-term and long-term fundraising goals.
- B. Tips for creating a budget and calculating a fundraising goal

BREAK (15 Minutes)

V. Step 4: Identify Funding Sources

- A. Main Message: To find new sources of funding, look at the resources your entire community could provide.
- B. Asset Mapping
- C. Distance Learning Module and Watershed Funding Website

VI. Step 5: Evaluate and Select Sources

- A. Main Message: The four factors that will affect your funding success are: funding environment, diversity of sources, estimated returns, and sustainability.

VII. Step 6: Write and Implement Plan

- A. Main Message: Writing out your plan and integrating it into your annual workplan helps ensure that your group is accountable to the plan and can implement it.
- B. Elements of your plan

VIII. Conclusion/Wrap Up

- A. Main messages and funding “lessons learned”
- B. Importance of partnerships (moving from funding to finance)

INTRODUCTION

*Goal: Provide a framework and tools to create a sustainable funding plan for your organization

*Why do we need a new approach?

- Clean water infrastructure gap > \$500 billion
- Our waterways need protection today more than ever
- We need groups like yours to continue your good work for years to come.
(RN study in 2005)

*A plan can help:

- Set priorities
- Incorporate fundraisers into your organization's current activities
- Capitalize on the strengths of your organization (save time and resources)
- Target resources that are sustainable and likely to be obtained
- Generate buy-in from your board, staff, and volunteers
- Limit crisis fundraising

Step 1

Establish Funding
Priorities

Establish Funding Priorities

- Be clear about why you are raising money to gain buy-in from your entire organization and ensure you are moving towards your goal.
- Fundraising starts at your mission statement.



Why is this so important?

- “A detailed description of a desired organizational environment, generated by the people, can provide a powerful shared vision to move toward in alignment” –Ed Oakley and Doug Krug (*Enlightened Leadership*)

It may be time to dust off the old documents....

- Mission Statement
- Strategic Plan
- Any other plans that your organization has created over the last few years
- What is your lighthouse?



How do we decide between competing priorities?

- Many times, an organization will create a “laundry list” of priorities, but not have a good way of figuring out what to do first.

One Approach: Plan2Fund Objective Prioritization Tool (OPT)

 Plan2Fund
Objective Prioritization Tool



Ranking
After
Score
and
Weight
Applied

| Objective | Decision Rule 1 | Decision Rule 2 | Ranking |
|-----------|-----------------|-----------------|---------|
| Objective | High | Yes | 1.0 |
| Objective | High | No | .83 |
| Objective | Medium | Yes | .67 |
| Objective | Low | Yes | .35 |

Let's Check It Out!

Introducing a New Tool for Today's Decision Makers

Objective Prioritization Tool

When stakeholder groups are in the process of implementing large projects, they inevitably reach a point of needing to make decisions on the order in which strategic actions should be implemented. Achieving consensus on top priorities is what stakeholder groups work hard to accomplish.

Since 1996, the Environmental Finance Center at Boise State University has been building tools designed to help organizations with the "how to pay issues" of environmental protection. Our new **Objective Prioritization Tool — Plan2Fund OPT** is the latest tool designed to help stakeholder groups save time and energy when moving toward implementation of their strategic plans.



Plan2Fund OPT is a web-based decision model built in *Dot Net Nuke* that helps groups build consensus on the rules they will use in evaluating competing goals and objectives.

Once a group comes to agreement on the decision rules they will use in evaluating their strategic objectives, they can determine the scoring system that will be used to rank the objectives against their rules.

The customization of the model is unlimited. Groups can add decision rules "on the fly" and they can modify the weight each rule receives. The result? A reordering of objective priorities that can be compared and evaluated.

Using the chosen priority list as a starting point, the group can decide on a final implementation order and share this information with decision makers, funders and constituents. Try **Plan2Fund OPT** today.

Type this link in your web browser address bar, then click on "register" to begin.

<http://efc.boisestate.edu/efc/Tools/OPT/tabid/109/Default.aspx>

For more information, or if you have questions, contact Bill Jarocki at (208) 426-4293 or bjarock@boisestate.edu



Plan2Fund OPT – Objective Prioritization Tool Instructions

1. Once you are registered, go to the **Welcome** screen and left-click on the first link; *"Click here to register or log..."*
 2. This will bring you to the **Objective Prioritization Tool (OPT)** screen that you use to create a new model. In the **Title** box, enter a name for your prioritization model. Add a **Description** of the model, too.
 3. Click on the **Save** button to create and save the new model. Or click on **Return** to see a listing of all of the models you have created.
 4. Next, you'll see a list of the model(s) you have created. Left click on the **Title** of the model you would like to open and work with.
 5. Select the menu tab called **Objectives**. You can view the sample objective by clicking on the **pencil icon** under **Edit/View**. Left click on the **Return** button.
 6. Left click on the link with the **green cross (Add Objective)**. Enter an objective that you need to achieve in your strategic plan. Select a unique color for each objective so you can track the resulting prioritization later. Left click on **Save** to record this objective. Repeat this step until all of your objectives are entered.
 7. Now, select the menu tab called **Rules**. Determine a set of decision rules and how each rule will be scored. A decision rule is a way to evaluate a particular set of implementation objectives. For example, one decision rule may give higher priority to an objective that needs to be accomplished sooner -- rather than later. Another rule may be based on whether a legal requirement exists for this objective to be achieved. To begin, left click on the **Add Rule** link in the lower left section of the page.
 8. For each decision rule, determine an evaluation "rule" (criterion) and "value" for the rule. The value is the basis of ranking each objective. A simple binary test -- "yes" or "no" -- may work, or you can use a graduated scale -- such as "None", "Low", "Medium", and "High" with corresponding values of 0 through 3. **You must begin with the lowest score of "0"**, then score your other options in increments of 1.
- Each **Rule Value** is entered by typing in the name and value in the entry boxes. To approve and add the rule value to your list, left click on the **green cross**. When you're finished, left click on the **Return** button.
9. Now, select the menu tab called **Worksheets**. Left click on the **pencil icon** to edit or view your decision model worksheet. **All** cells on the worksheet must be decided on.
- Notice that your objectives, rules, and basis of ranking are presented. Initially, all of your decision rules are equally weighted. If you add a worksheet, you can change the weights of the decision rules to give some criteria more importance in the final rankings than others. Each time you add a new worksheet, the priority order of the objectives is saved as a different scenario.
10. Finally, left click on the **Return** button. At the **Worksheets** menu tab page you can choose the **Comparison Report icon**. When you left click on this link you will receive a side-by-side comparison report that shows you the order of objective priorities for each of the worksheets you have completed.



Step 2

Assess Your Fundraising Capacity



Main Message

- Assess the fundraising capacity of your organization to be realistic about how your group can capitalize on its strengths and minimize on its weaknesses.
- We want to aim high, but not lose sight of our organization's realities.



What is fundraising capacity?



How do I assess capacity?

- Open discussion with your staff (p.13)
- An Assets Inventory (p. 14)
(Foundation Center)
- Strengths, Weaknesses, Opportunities, Threats
(SWOT) Analysis (p. 16)



What is the SWOT Analysis?

- A tool to review your fundraising history and discuss your organization's fundraising strengths, weaknesses, opportunities, and threats.
- Goal: Create strategies to take advantage of strengths and opportunities and minimize the impact of weaknesses and threats.



SWOT Exercise

- Work with the people at your table to come up with two examples for each of the four categories (strengths, weaknesses, threats, and opportunities). Feel free to use the prompting questions (p. 16) to generate ideas!

Discussion Questions to Assess Capacity

1. Where is your organization now (number of staff, fundraising effort, and level of success)?
2. Why are you raising money?
3. How is your organization currently raising money?
4. What were your fundraising challenges? Where have you not been able to obtain money?
5. How does your organization keep track of your funders, fundraising options, and results?
6. What sustained efforts are needed to achieve long-term financial stability for your organization?

Taking Stock of Your Strengths (An Assets Inventory)

Values, Vision, and Mission

1. What values do you hold that you associate with your organization?
2. How would the world be different on the day that you could say that your mission is accomplished?
3. What is the mission of your organization?

Accomplishments

4. What are your ongoing core projects or programs and what are the results or outcomes that you can point to as a result of these efforts?

| Projects/Programs | Results/Outcomes |
|-------------------|------------------|
| a. | |
| b. | |
| c. | |
| d. | |

5. What are the core competencies (e.g., skills and abilities) that enable your organization to succeed in these efforts--personal or organizational or both?
6. How do you endeavor to measure your effectiveness? (e.g., statistics; letters of appreciation, testimonials, assessments by outside bodies, awards and honors, etc.)
7. Do you attract any media visibility? If yes, in which media outlets?

Board and Staff History

8. What are some of the key qualifications and talents of your past and current board members and staff?

9. Have board or staff members received any recognition of their talents and contributions?

10. What percentage of your board members make financial contributions to your organization?

Organizational History

11. How long has your organization been in existence?

12. What distinguishes your past work from that of similar organizations? List the specific ways in which your work differs from theirs.

13. What recognition has your organization as a whole received since its inception? (e.g., invitations to speak at conferences, workshops, public rallies, and legislative hearings; certificates of commendation; quotations in scholarly or popular journals and magazines; letters of appreciation; etc.)

Funding History

14. Name the institutions that support your work.

a. Foundations:

b. Corporations and businesses:

c. Religious sources:

d. Associations of individuals:

e. Others (e.g., labor unions, federations, governmental agencies, etc):

15. How many individuals pay dues, make contributions, or do both to support your work? What percentage renew their support each year?

16. How diversified is your financial base? For example, how many different sources extend support to you? What percentage of your total income does each comprise?

Other:

SWOT EXERCISE: PROMPTING QUESTIONS

STRENGTHS

- What fundraising strategies do you do well?
- What skills or assets do your board/staff/volunteers have? (ex. technical skills)
- What parts of your fundraising effort are you most proud?

WEAKNESSES

- What are the gaps in your fundraising strategies (e.g. lack of planning)?
- What do you want to change about your fundraising and/or financial situation? (internal to the organization)
- What unplanned events have caused financial problems? (e.g. loss of major donor)
- What do you want to do better?
- What fundraising efforts have fallen short of your expectations?

OPPORTUNITIES

- What fundraising ideas have you considered?
- What fundraising strategies have you never tried?
- What partnership opportunities have been presented to you or exist in your area?

THREATS

- What is threatening your financial stability?
- What other organizations are competing for funding in your area?
- What is threatening your donor base in the community?
- What other organizations are working on issues similar to yours? Are they doing it better?

SWOT EXERCISE: CREATING STRATEGIES

| Category | Question | Sample Strategy |
|---------------------------------|---|--|
| Strength-Opportunity Strategies | How can I use my strengths to enable me to take advantage of the opportunities I have identified? | We are already successful at community outreach and have a growing membership. We can employ our successful outreach techniques to educate our growing membership about bequests and planned giving. |
| Weakness-Opportunity Strategies | What do I need to do to overcome the identified weaknesses in order to take advantage of the opportunities? | We need to train at least one staff member to proficiently use our database in order to begin to be able to ask members to increase their donations. |
| Strength-Threat Strategies | How can I use these strengths to overcome the threats identified? | We can use our contacts at foundations to diversify the kinds of grants we receive and become less dependent on federal funds. |
| Weakness-Threat Strategies | How will I minimize my weaknesses to overcome the identified threats? | We need to prioritize building a reserve fund to minimize the impact of increased health care costs in the future. |

Step 3

Set Fundraising Goals

Main Message

- Push your staff, board, and volunteers to set concrete short-term and long-term fundraising goals.

“Life takes on meaning when you become motivated, set goals and charge after them in an unstoppable manner.” –Les Brown

In case you need more inspiration...

“I skate to where the puck is going to be, not to where it has been.” –Wayne Gretsky

“Think little goals and expect little achievements. Think big goals and win big success.” –David J. Schwartz

A few good tips for annual budgets...

- Start Early and Review Often!!!
- Include direct AND indirect program costs.
- Involve the entire staff and board.
- Consider reserves and endowments. They increase the sustainability of your organization.
- Plan for a surplus. It increases your resiliency.
- Be Conservative: Err on the high side regarding expenditures and the low side regarding revenues.

Calculating Your Fundraising goal: Method #1

- Create an expense budget and use the amount of your total expenses (plus a modest surplus) as your fundraising goal.

Calculating Your Fundraising Goal: Method #2

- Start with last year's income. Add a modest amount to allow for realistic increases in fundraising. Subtract any amount from unusual sources that you don't expect to be repeated this year (e.g. a bequest).

Calculating Your Fundraising Goal: Method #3

IF YOU HAVE SOME EXPECTED INCOME....

1. Add up all of the program expenses (both direct and indirect) from your budget, taking into account any cost reduction methods you may have employed.

2. Next, calculate the guaranteed revenue for the next year. Guaranteed revenue is income that has already been secured for the upcoming fiscal year. This revenue could include multi-year grant money, interest income from an endowment, or earned income from renting a portion of your property.

3. Calculate your fundraising goal by subtracting your guaranteed revenue from the total of your program expenses:

**Additional fundraising goal =
expenses (plus 5%-10% surplus) - guaranteed revenue**

Activity: Be Bold

■ Please turn to the person next to you, look them in the eye, and say:

“I will work with my staff and board to create a concrete fundraising goal”

(It's optional to add what a great idea you think this is)

Method #3

Calculating Your Fundraising Goal

The example shows a worksheet for a sample watershed group showing costs and expenses totaling \$279,650, a 5% surplus of \$13,983, and expected revenue of \$275,500. The answer is calculated using \$279,650 (expenses) plus \$13,983 (5% surplus) minus \$275,500 (revenue) for a fundraising goal of \$18,133.

Calculating Your Fundraising Goal

Example:

$$\begin{array}{r}
 \$279,650 \text{ (expenses)} \\
 + \quad \$13,983 \text{ (5\% surplus)} \\
 - \quad \$275,500 \text{ (revenue)} \\
 \hline
 = \quad \$18,133 \text{ (fundraising goal)}
 \end{array}$$



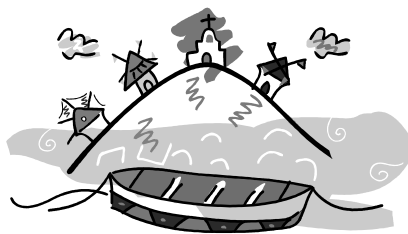
| Calculation Worksheet | |
|-------------------------------|------------------|
| Costs & Expenses | |
| Salaries | \$109,275 |
| Taxes & Fringe Benefits | 27,550 |
| Consultants | 16,500 |
| Workshops/Trainings | 14,000 |
| Printing | 14,750 |
| Staff Travel | 5,000 |
| River Festival | 31,750 |
| Telecommunications | 10,500 |
| Postage & Shipping | 10,500 |
| Materials & Supplies | 13,125 |
| Occupancy | 13,000 |
| Insurance | 4,500 |
| Donor Recognition | 2,200 |
| In-kind Expenses | 7,000 |
| Total Expenses | \$279,650 |
| 5% Surplus | \$13,983 |
| Revenue & Support | |
| Foundations | \$75,000 |
| River Festival | \$55,000 |
| Corporate Giving/Sponsorships | \$40,000 |
| Individual & Workplace Giving | \$40,000 |
| Government Contracts | \$34,000 |
| Fees for Service | 10,000 |
| Board Contributions | 10,000 |
| Sale of Materials | 5,500 |
| Interest Income | 1,000 |
| In-kind Donations | 5,000 |
| Total Revenue | \$275,500 |
| Fundraising Goals | \$18,133 |

Step 4

Identify Funding Sources

Main Message

- To find new sources of funding, look at the resources your entire community could provide. Be creative!



Identifying Community Resources: Asset Mapping

- A formal tool for targeting resources to reach goals deemed to be of critical importance to the welfare of the community.
- Helps you think outside the box about ways to support your project!

1. Choose your action to map

- The subject (the center of the map) will be one project you want to fund or goal you want to reach.



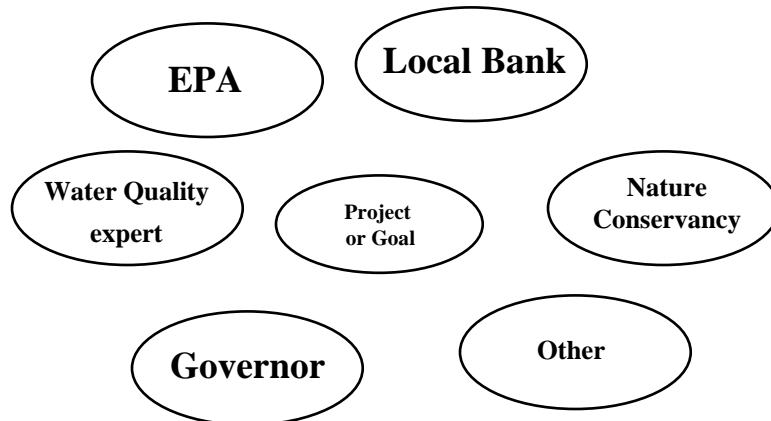
Project
or Goal

2. Think of groups from your community you'd like to map

Make sure to cover at least two of the following categories:

- **Institutions** (e.g. gov't agencies, schools, banks)
- **Groups/Organizations** (e.g. civic groups, environmental groups)
- **Individuals** (e.g. politicians, scientists)

3. Add the groups to your map



Activity: Start Creating Your Asset Map (Do #1-#3)

- Take 2-3 minutes to create an asset map with your project/goal in the center and 4 or 5 groups around it. Include one group that is “thinking outside the box.”
- Share with your neighbor and add any good ideas they have that apply to your community!

4. Think of the specific assets of each group

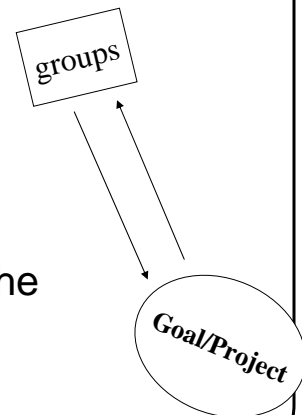
- Volunteer base
- Outreach support (e.g. media exposure)
- Office space and equipment
- Technical/fundraising expertise
- Political influence
- Funding

5. Think of the ways your project will benefit each group

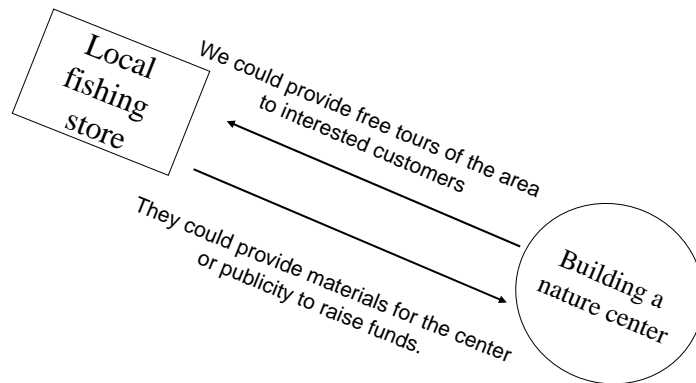
- Social benefits (e.g. good publicity)
- Monetary benefits
- Political benefits

6. Identify and describe mutually beneficial relationships

- Based on their assets, identify and briefly describe the mutually beneficial relationships that exist/can be built between the groups and the project/goal.
(Write those along the arrows)



Example Relationship



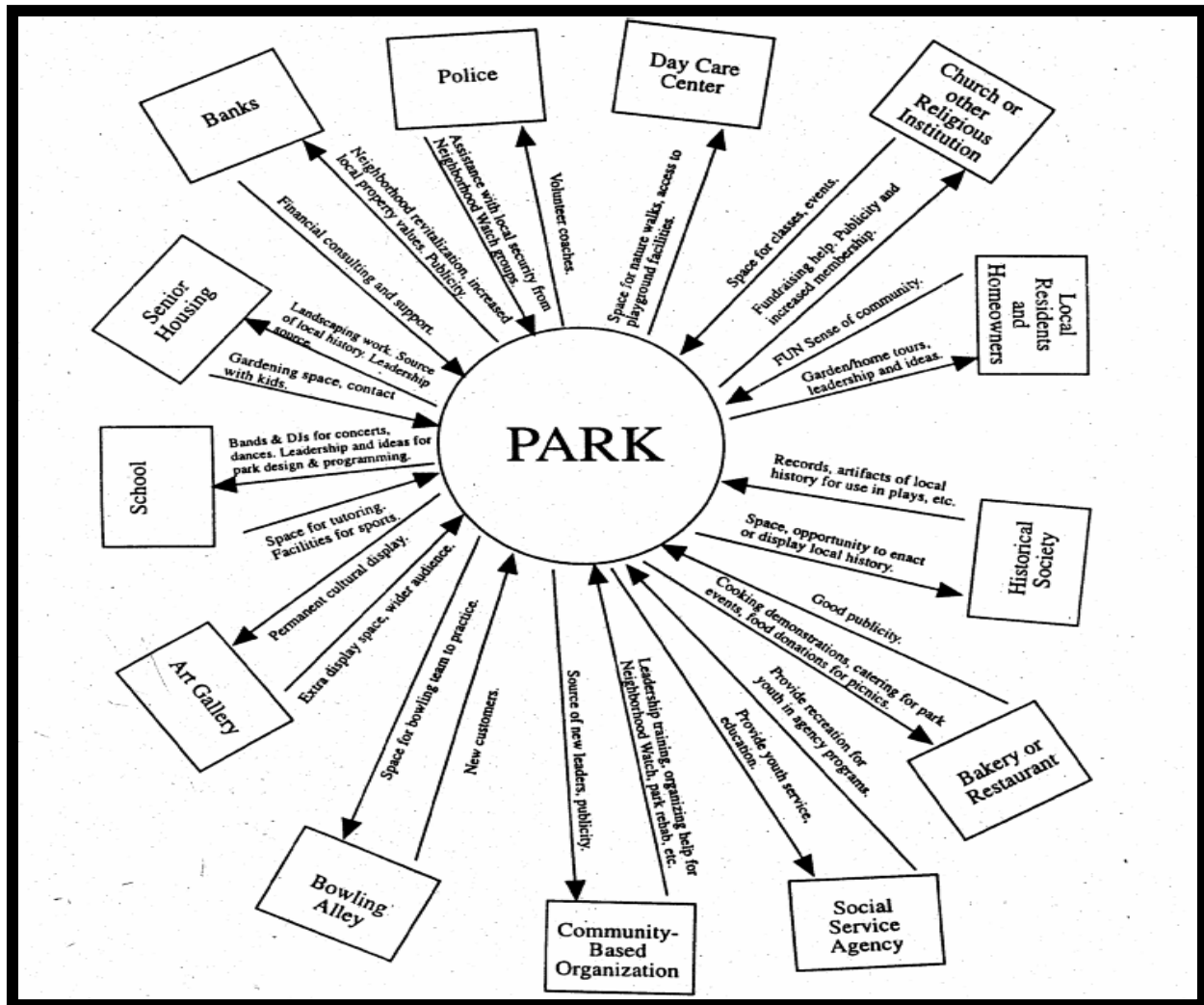
Activity: Define the relationships

- For two of the groups, define the relationship to your project (both how you would benefit and how they would benefit).
- Share with your neighbor!

Beyond Asset Mapping

- Our distance learning module
(not yet live on EPA's website)
- The EPA watershed funding website
(www.epa.gov/owow/funding.html)

SAMPLE ASSET MAP



Step 5

Evaluate and Select Sources

Main Message

- The four factors that will affect your funding sources are: funding environment, diversity of sources, estimated returns, and sustainability.

1. Funding Environment

- What might be part of your funding environment?
(e.g. demographic trends)

2. Diversity of sources

- Why is it important to diversify?



3. Estimated Returns

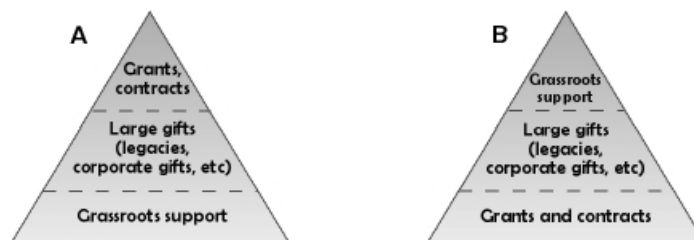
Factors that can affect your organization's fundraising costs and returns:

- **Age of your organization**
- **Competition for funds**
- **Source of funds (e.g. corporate vs. individual donors)**
- **Different Methods of Fundraising (e.g. special event vs. mailing)**
- **Non-monetary returns: examples?**

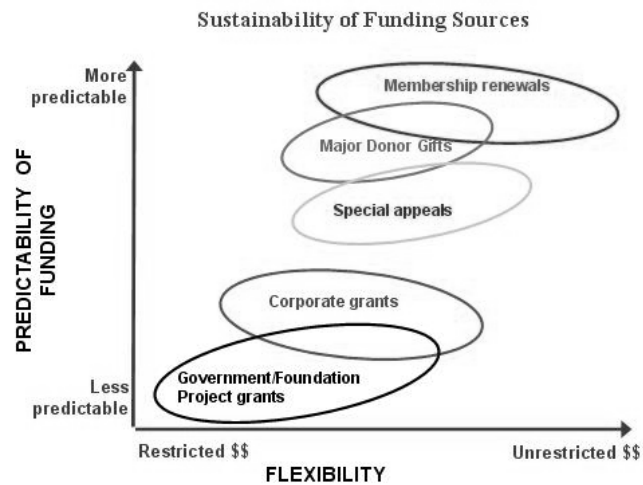
Integrity Is Critical in Reporting Fundraising Costs!

4. Sustainability

- Which fundraising model is more stable?



4. Sustainability (continued)

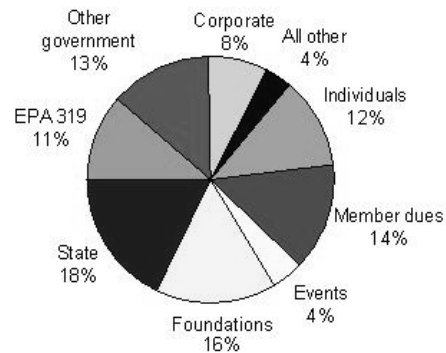


4. Sustainability (continued)

- In 2006, Giving USA reported that donations to groups that work on environmental issues (including animal rights) rose to \$8.9 billion, mostly from individuals!!

4. Sustainability (continued)

Sources of Income of Nonprofit Watershed Organizations (2005)



Source: 2005 River Network Fundraising alert 13 (1,2)

Don't forget to think about feasibility!

- Feasibility is a factor that is very specific to your organization's capacity and will affect your success with any strategy
- See list of provided discussion questions

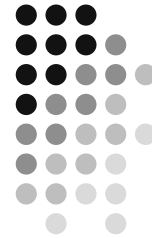
Checklist for Evaluating Funding Options

| | | |
|---|-----|----|
| 1. Can this fundraising activity be integrated into program activities that are already planned? Fundraising should be embedded in all of your organization's activities, rather than as a separate part of your organization. Whenever staff members are doing programming, they should always ask themselves how they can incorporate a fundraising component, recruit members, or maintain strong relationships with existing members. | Yes | No |
| 2. Will this strategy result in non-monetary benefits? (e.g. media exposure, new partnerships)? | Yes | No |
| 3. Do we have the resources (upfront money, people, skills, partners, and planning time) to carry it out? Remember to consider implementation and feasibility while developing your strategy. Even the most innovative ideas will fail if not implemented properly. | Yes | No |
| 4. Has this strategy worked well for us or groups like ours in the past? | Yes | No |
| 5. Will our target constituencies respond well to this strategy? What is the worst thing/best thing that could happen? | Yes | No |
| 6. Can we get everyone (staff members, board members, volunteers, etc.) involved in our fundraising strategy? | Yes | No |

Sources: Munoz, Pat & Raisbeck, Liz (1996, Fall). How to Plan Your Fundraising Strategy. *River Network's River Fundraising Alert*, 3(3) & Emmett, Meredith (1991, October). *Developing a Fundraising Plan: A Step-by-Step Process*.

Step 6

Write and Implement Your
Fundraising Plan



Main Message

- Writing out your plan (and integrating it into your annual workplans) is a time investment, but helps ensure that your group is accountable to the plan and has the means to implement it.



Elements of your plan



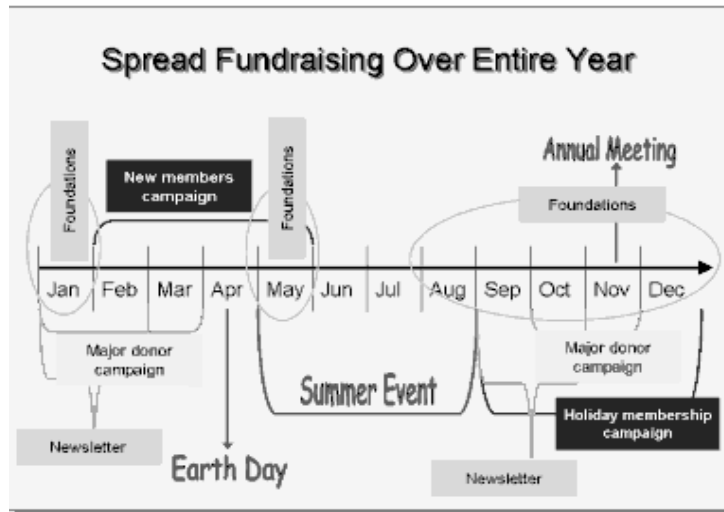
- Statement of Purpose/Case Statement (p. 40)
- Results of SWOT/Fundraising history
- Budget and Fundraising Goals
- Funding options you selected/rationale (p. 44)
- Calendar and action-oriented spreadsheet
- What you hope to accomplish
(Overall goal) (p. 45)

Activity: Fundraising Planning Calendar



- Choose one strategy on the blank "Fundraising Planning Calendar" and fill out the first three month boxes.

It's also important to have a full calendar of all funding activities!



Why do all this extra paperwork?



- “A good plan today is better than a perfect plan tomorrow”-General Patton
- “Setting a goal is not the main thing. It is deciding how you will go about achieving it and staying with that plan.” -Tom Landry

How to Write a Great Case Statement

Tim Jones and Rakhi Kasat

What is a Case Statement?

A case statement is a concise document that clearly explains what need your organization seeks to meet, how you have and plan to meet that need, and what you could achieve with additional resources.

Why Write a Case Statement?

A clear case statement ensures that you and your board convey a consistent message when speaking to the public, developing educational materials, working with the press, and fundraising.

What do you need?

TIME...this is not the place to cut corners!

Ability to update the statement regularly

Ability to tailor for your audience

Two types of case statements/case for support:

1. Internal- Longer and more comprehensive (typically 5-10 pages). The internal case statement will serve as the foundation for promotional efforts such as creating brochures, writing grant proposals, and submitting press releases. It details your organization's mission, vision, history, and reason for seeking funds.

2. External- Draws from the internal case statement and tailored for a particular audience. Used for letters, proposals, speeches, reports, brochures, and staff/board training. Typically, no longer than one page.

Internal case statement outline

*Note: The model presented here should give you a framework to get started and ideas for elements you should consider. This is not meant to be an exhaustive list!

1. Mission: Why the organization exists

2. Goals: What your organization hopes to accomplish

3. Objectives: How you can accomplish the goals

4. History: Which objectives you have already accomplished and what successes you have had (track record)

5. Structure: How the group is organized and governed (Who are its officers? Do you have members?)

6. Fundraising: How the organization plans for its future and manages its finances appropriately

External case statement outline

*Note: The model presented here should give you a framework to get started and ideas for elements you should consider. This is not meant to be an exhaustive list!

1. History/The story

-Describe your watershed. What makes it special?

2. Challenge/ Ramifications

-Describe any challenges/threats your watershed faces.

-What could be the impact if these challenges are unmet? (unsafe drinking water, impact on habitat, loss of biodiversity, loss of aesthetic values, etc.)

3. Who you are and what you do

-How did your organization begin? What is its mission/vision? (Note: It may be important here to say something about the organizational structure and work philosophy of your group, particularly for businesses that want to see your “business model”)

-What makes your organization unique?

-How large is your organization and how many does it serve?

-What are your primary programs, services, or areas of focus? In other words, how does your organization work to meet the challenge?

4. Results

- What results has your organization achieved thus far?

- What are your organization’s future plans? What are the goal and the values you support?

5. The Ask/Contact Information

-Why are you asking for money? What is the cost of doing your work?

-If this is a special campaign, how much do you hope to raise? How will the money be spent and what are the long term impacts? How will the donor make a difference?

-How can people contact you to donate?

Case Statement Guideline: Sources

Foundation Center's "Introduction to Fundraising Planning" seminar (January 11, 2008)

Fundraising Basics: A Complete Guide, Second Edition by Barbara Ciconte and Jeanne Jacob (2005)

Juniata Clean Water Partnership's *Juniata Watershed Journal* v2n2, (Winter 2001)

"Making the Case" by Connie Hughes, *EarthDreams*

River Network's *River Fundraising Alert*, v3n2 (1996)

Tech Soup's "Technology Funding Planner Worksheet #2: Building a Great Case Statement" (Developed for TechSoup by Mark Osten of Summit Collaborative)

Cahaba River Society

The Cahaba is Alabama's longest remaining free-flowing river, the main source of drinking water for nearly a quarter of the people of the state, an outstanding scenic and recreational resource, and an ecological resource of national significance. While only two percent of the country's river miles have been determined in the National Rivers Inventory to exhibit any "outstandingly remarkable" resource characteristics, the Cahaba has been deemed to do so in seven of eight possible categories. The Cahaba supports a tremendous diversity of life, including an exceptionally wide variety of invertebrates, plants, and birds. Its 131 species of fish are far more than are known today in any river of comparable size in North America.

Unfortunately, this remarkable river is also one of the nation's most threatened. The cumulative effects of rapid urbanization in the watershed of its headwaters; excessive water withdrawals; large and growing volumes of sewage discharges; substandard mining, forestry, and agricultural practices; and a number of other pressures threaten the Cahaba's beauty, its usefulness, and its very life. Some Cahaba species have diminished in range or number by as much as 75% over the past two decades. Concern over the fate of this irreplaceable resource has become so great that in 1990 a national conservation organization named the Cahaba one of the continent's 10 most endangered rivers.

The Cahaba River Society is a 7-year-old nonprofit organization working to promote the understanding, appreciation, enjoyment, protection, and preservation of this unusually important and imminently threatened natural resource. In just over seven years our membership has grown to include more than 2,300 individual and 60 business members. The Society's four-person staff coordinates the efforts of hundreds of individuals who serve on our boards, committees, and in other volunteer capacities. Our efforts fall into three major areas of Conservation, Education, and Recreation. Our proactive conservation efforts include interrelated programs in the fields of urban watershed planning, state water policy, wastewater management, and water efficiency. More information is available about each of these programs upon request.

We pursue our compelling mission of Cahaba protection in a generally nonconfrontational style. While we are willing and able to confront problems as aggressively as necessary, we have shown that stating our objectives clearly, identifying stakeholders in the watershed, seeking to understand the perspectives of all concerned, and working collaboratively with a wide variety of interests almost always yields better, faster results than adversarial actions. Our approach to conservation has already helped solve some longstanding problems in the Cahaba River watershed. By broadening the traditional support for environmental efforts in our area, it is also proving key to our building a strong, credible, stable community-based organization capable of providing the long-term protection and stewardship that our great river needs and deserves.

The Society relies heavily on the support of generous individuals and corporations in our area.

For more information on the Society and how you can contribute to its efforts please call (205) 322-5326 today. ■

RIVER FUNDRAISING ALERT

The "River Fundraising Alert," is one of the services available to River Network Partners. Other publications and services include "Funding Sources for Grassroots River Conservation Groups," how-to references, sample materials, and individualized assistance. River Network is dedicated to building the capacity of river and watershed organizations to support themselves financially.

Editors: Pat Munoz, Alison Cook,
David Wilkins, Kathleen Krushas
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Publications, Portland, OR

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E-mail: rivernet@igc.apc.org

Fundraising Training (cont.)

July 12: St. Louis, MO. "Citizen Skill-Building Sessions" is part of the 2nd Annual Mississippi River Conference, sponsored by the Mississippi River Basin Alliance: Box 3878, St. Louis, MO 63122, (314) 822-4114.

Other organizations which offer fundraising training opportunities:

Donors Forum, Chicago, IL,
(312) 431-0264

Grant Resource Center of Northern California, Redding, CA,
(916) 244-1219

The Institute for Charitable Giving,
Chicago, IL, (800) 234-7777

National Center for Nonprofit Boards,
Washington, D.C., (202) 452-6262

Pacific Non-Profit Network, Medford, OR, (541) 882-1295.

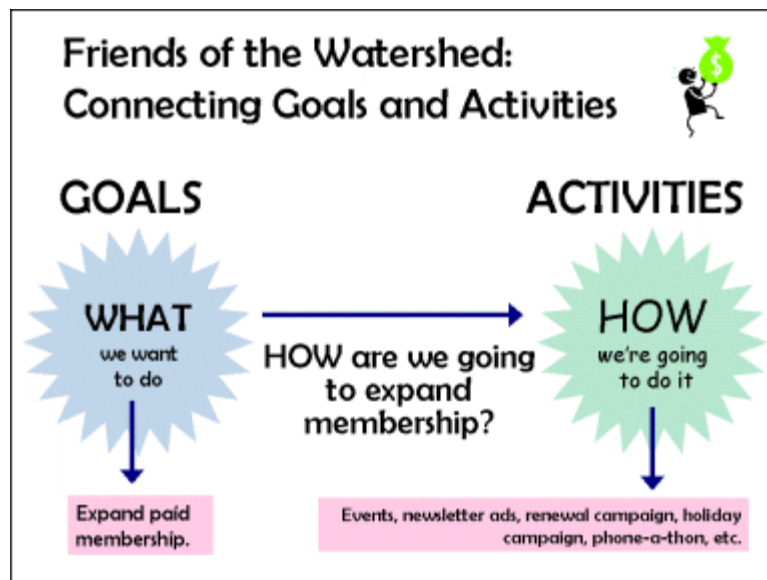
If you attend any of the above, please forward feedback to us. To submit future listings, contact Alison Cook at (202) 364-2550 or rivernet2@aol.com. ■

Detailing your Selected Sources of Funding

In step 5, you selected the sources of funding that best matched your organization's goals. Taking into consideration your fundraising environment, selected sources, estimated returns, and sustainability of your options (from Step 4), write down a description of each option, including the following:

- A short description of why you picked that option and how it fits your goals
- Specified instructions, including a timeline, on how to carry it out and who will be responsible
- Detailed description of how you plan to handle the upfront costs (it might be helpful to create a separate budget for each option)
- Names of who will begin carrying out the project and who will hold the group accountable for the next steps
- A description of how these funds can be leveraged to receive additional funding (if applicable)

You can visually tie your fundraising goals to your organization's activities, as shown in the figure below:





Fundraising Planning Calendar

Organization _____

Year _____

Total FR goal: \$ _____

Action steps: (Include person responsible)

This calendar works best if you reproduce it on a chalkboard, white board, or large pieces of paper taped to the wall. Adjust the spacing as needed; for example, if you write a lot of grant proposals, you will need more space to mark down application and reporting deadlines for all prospective funders. (Some groups include even more details: grant research, preliminary phone calls, trips to meet funders, etc.) Ideally, 3-5 people should prepare the first draft of this calendar, then share it with program staff and board.

| Fundraising Strategy | \$ Annual Goal | Month 1 | Month 2 | Month 3 | Month 4 | Month 5 | Month 6 |
|---------------------------|----------------|---------|---------|---------|---------|---------|---------|
| 1. Foundations | | | | | | | |
| 2. Business, Civic Groups | | | | | | | |
| 3. Government | | | | | | | |
| 4. New Members | | | | | | | |
| 5. Renewals | | | | | | | |



| Fundraising Strategy | \$ Goal | Month1 | Month 2 | Month 3 | Month 4 | Month 5 | Month 6 |
|-----------------------------|----------------|---------------|----------------|----------------|----------------|----------------|----------------|
| 6. Special Appeals | | | | | | | |
| 7. Board Giving | | | | | | | |
| 8. Major Donations | | | | | | | |
| 9. Events | | | | | | | |
| 10. Earned Income | | | | | | | |
| 11. Interest | | | | | | | |
| 12. Other | | | | | | | |



Fundraising Planning Calendar (*months 7-12*)

Organization

Year _____

Total FR goal: \$ _____

Action steps by month: (*Include person responsible*)

| Fundraising Strategy | Month 7 | Month 8 | Month 9 | Month 10 | Month 11 | Month 12 |
|---------------------------|---------|---------|---------|----------|----------|----------|
| 1. Foundations | | | | | | |
| 2. Business, Civic Groups | | | | | | |
| 3. Government | | | | | | |
| 4. New Members | | | | | | |
| 5. Renewals | | | | | | |



| Fundraising Strategy | Month 7 | Month 8 | Month 9 | Month 10 | Month 11 | Month 12 |
|-----------------------------|----------------|----------------|----------------|-----------------|-----------------|-----------------|
| 6. Special Appeals | | | | | | |
| 7. Board Giving | | | | | | |
| 8. Major Donations | | | | | | |
| 9. Events | | | | | | |
| 10. Earned Income | | | | | | |
| 11. Interest | | | | | | |
| 12. Other | | | | | | |



Sample Fundraising Plan – 2004

Red River Watershed Association

Total 2004 Income: \$85,700

Total Fundraising Costs: \$10,400

Summary of 2004 Plan

| Category | Income 2003 | Income 2004 | Cost |
|--------------------------------|-----------------|-----------------|-----------------|
| | | | |
| Foundations | \$45,000 | \$50,000 | \$2,500 |
| Corporations | \$7,500 | \$10,000 | \$1,000 |
| Special Events | \$6,130 | \$10,000 | \$2,000 |
| New Members | 2,000 | \$3,500 | \$3,500 |
| Renewals | \$2,800 | \$3,000 | \$500 |
| Special Appeal | 0 | \$1,200 | \$200 |
| Major Donors | \$2,000 | \$4,000 | \$400 |
| Board Contributions | \$2,500 | \$4,000 | -0- |
| | 67,930 | \$85,700 | \$10,400 |

1. Foundations

Income: \$50,000

Cost: \$2,500 (proposal writing services)

Who: Executive Director, with help from the board

What: Develop a good general operating support proposal and tailor it to the needs of each foundation; begin a series of foundation visits.

| Name | Amt Requested | Project | Ddline | Chance | Forecast |
|----------------|---------------|--------------|---------|--------|----------|
| Lazar | \$20,000 | GOS | 1/15/04 | 50% | \$10,000 |
| Meyer | \$20,000 | Monitoring | 2/1/04 | 50% | \$10,000 |
| Bullitt | \$15,000 | Well testing | 3/1/04 | 30% | \$ 5,000 |
| Northwest Area | \$10,000 | GOS | 1/15/04 | 50% | \$ 5,000 |
| Compton | \$15,000 | Monitoring | none | 30% | \$ 5,000 |
| Flintridge | \$15,000 | Well testing | none | 30% | \$ 5,000 |
| Harder | \$20,000 | GOS | 4/1/04 | 50% | \$10,000 |
| Total | 115,000 | | | | \$50,000 |



2. Corporate Donations

Income: \$10,000

Cost: \$1,000 (printing, mailing, services)

Who: Teresa, with board assistance

What: Prepare a corporate proposal and begin making visits as soon as possible.

| Name | Amt Requested | Project | % Chance | Forecast |
|---------------|---------------|--------------------|----------|----------|
| Starbucks | \$5,000 | Education | 50% | \$2,500 |
| Patagonia | \$5,000 | Monitoring Network | 20% | \$1,000 |
| REI | \$10,000 | Monitoring Network | 20% | \$2,000 |
| Con. Alliance | \$25,000 | Legal Project | 20% | \$5,000 |
| Total | 45,000 | | | \$10,500 |

3. Special Events

Income: \$10,000

Cost: \$2,000 (food, postage, printing, services)

Who: John, with assistance from other board members

What: Hold a spring party at the home of Beverly Jones with silent auction.

4. New Memberships,

Income: \$3,500

Cost: \$3,500 (postage, printing, list rental)

Who: Pat, with assistance from the board

What: One mailing, Jan-Mar, 04, to 7,000 names @ 1.5% response=100 new members @ \$35=\$3,500

| Mailing List | # Names | Cost | Contact Person | Telephone/email |
|-------------------|---------|------------|----------------|-----------------|
| Coastal Canoeists | 1,000 | -0- | Ann Jones | |
| American Rivers | 3,000 | \$25/1000 | Tom Smith | |
| Canoe Magazine | 3,000 | \$100/1000 | Steve Adams | |
| Total Names | 7,000 | | | |

5. Renewals

Income: \$3,000

Cost: \$500

Who: Administrative Assistant.

What: Three renewal mailings, Feb, March and May, to 150 existing members @ \$35 each, 65% cumulative response.



6. Special Appeal

Income: \$1,200

Cost: \$400

Who: Tim with help from other board members

What: One appeal, Nov/Dec 04, to 200 members, @12% response x \$50 average gift=\$1,200

7. Major Donors

Income: \$4,000

Cost: \$500

Who: Sandra, with help from other board members

What: Personal asks to 10 prospects, 5 gifts, average gift, \$500=\$2,500; special year-end appeal to 100 prospects, 15% response x \$100 average gifts=\$1,500. Sandra will put together the 100-name prospect list for the year-end mailing with help from the staff and board (10 names/board members)

Prospect List

| Name | Amount | Asker |
|-----------------|---------|-----------------|
| Nathan Allen | \$1,000 | Sandra |
| Helen Aiken | \$500 | Sandra |
| Allen Williams | \$1,000 | Sandra and Phil |
| Sue Brattz | \$1000 | Ann |
| Joe Green | \$500 | Sandra and Ann |
| William Brown | \$1,000 | John |
| Phils' Aunt | \$1,000 | Phil |
| Sandra's mother | \$500 | Sandra |
| Lee Smothers | \$250 | Sandra and John |
| Marvin Gold | \$1,000 | Ann |

8. Board Donations

Income: \$4,000

Cost: -0-

Who: Board Chair

What: Board members will be asked to be hosts at special event; Board chair will make a personal request to each board member in late November/early December.

| Name | 2003 Gift | Projected for 2004 |
|--------------|-----------|--------------------|
| Sandra Scott | \$500 | \$500 |
| Phil Smith | \$200 | \$250 |
| Ken Jones | \$200 | \$250 |

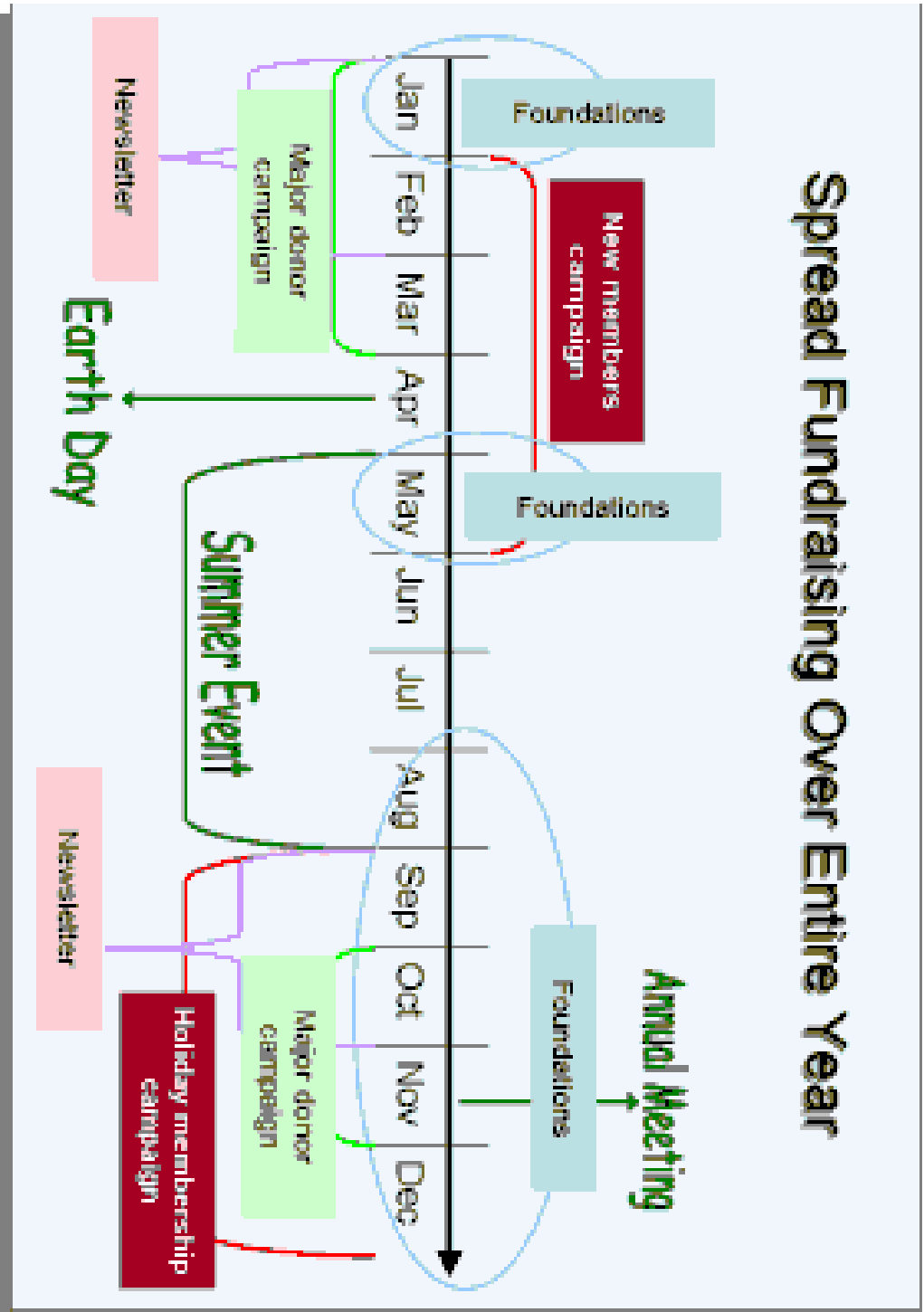


| | | |
|-------------------------|---------|---------|
| Ann Evans (board match) | \$2,000 | \$2,000 |
| John Mackwell | new | \$100 |
| Linda Munoz | \$250 | \$250 |
| Tim Logan | \$100 | \$150 |
| Teresa Deriso | \$250 | \$500 |
| Total | \$3,500 | \$4,000 |

Fundraising Calendar: Red River WS Association

| Strategy | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec |
|-------------|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|
| Fndtns | X | | | X | X | | | X | X | X | X | X |
| Corp | | | | | | | X | X | X | X | | |
| Event | | | | | X | X | X | | | | | |
| New Members | X | X | X | X | | | | | | | | |
| Renewals | | | X | X | | X | | | | | | |
| Appeal | | | | | | | | | | | X | X |
| Board | | | | | X | | | | | | | X |
| Newsletter | | X | | | | X | | | | X | | |

Spread Fundraising Over Entire Year



Putting it all together

Your Funding Plan!

The six steps

- Establish priorities
- Assess Capacity
- Create a Fundraising Goal
- Identify Funding Sources
- Evaluate and Select Funding Sources
- Write your plan

Funding “Lessons Learned”

- Incorporate fundraisers into your organization's current activities
- Capitalize on the strengths of your organization
- Target a diversity of resources that are sustainable and likely to be obtained
- Create a finance plan that can be used year after year to guide efforts
- Diffuse fundraising efforts throughout your organization

And most importantly....

Plan, Plan, and Work the Plan!!!

Next step: Moving from fundraising to financing

- Financing helps us determine how we should go about accomplishing a goal. It is the how and the when, not the why
- True financing of environmental protection involves partnerships, innovative mechanisms, and moving money as efficiently as possible
- For more information, check out EPA watershed academy webcast in October 2007 “Moving Beyond Grants: Financing Environmental Protection”
(http://www.clu-in.org/conf/tio/owwtrfin_101707/)









Thank You!

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202-566-1644

Many thanks to River Network, The Foundation Center, and many other organizations for use of their materials!

Visit the EPA Watershed Funding Portal!

epa.gov/owow/funding.html

| | | |
|---|--|--|
|  | Resources for Nonprofit Organizations | <ul style="list-style-type: none">-Information resources on fundraising-Groups that provide funding assistance-Case studies for funding mechanisms |
|  | Resources for State and Local Governments | <ul style="list-style-type: none">-Fact sheets on finance examples-Funding handbooks-Groups that provide assistance |
|  | Resources for Funders | <ul style="list-style-type: none">-Information resources-Funder associations and networks |
|  | Sustainable Finance Tools | <ul style="list-style-type: none">-General finance planning tools-Watershed assessment tools for funders |
|  | Requests for Proposals | <ul style="list-style-type: none">-Recent RFPs related to watershed funding |
|  | Federal Funding Opportunities | <ul style="list-style-type: none">-Watershed funding programs from EPA, NOAA, and other federal funding agencies. |
|  | Databases of Funding Opportunities | <ul style="list-style-type: none">-Searchable electronic databases of funding opportunities |
|  | Sustainable Finance Training | <ul style="list-style-type: none">-Notes from past live trainings-Finance webcasts-Finance videos |