

The Department of Homeland Security
Notice of Funding Opportunity
FY 2015 Community Assistance Program – State Support Services Element (CAP-SSSE)

NOTE: If you are going to apply for this funding opportunity and have **not** obtained a Data Universal Numbering System (DUNS) number and/or **are not** currently registered in the System for Award Management (SAM), please take immediate action to obtain a DUNS Number, if applicable, and then to register immediately in SAM . It may take 4 weeks or more after you submit your SAM registration before your registration is active in SAM, then an additional 24 hours for Grants.gov to recognize your information. Information on obtaining a DUNS number and registering in SAM is available from Grants.gov at: http://www.grants.gov/documents/19/18243/SAM_New_Grantee_Registration.pdf/8bf1c182-8d35-47e0-99e2-a263fa3d9005

A. Notice of Funding Opportunity (NOFO) Description

Issued By

U.S. Department of Homeland Security (DHS) Federal Emergency Management Agency, Federal Insurance & Mitigation Administration, Risk Reduction Division

Catalog of Federal Domestic Assistance (CFDA) Number

97.023

CFDA Title

Community Assistance Program - State Support Services Element (CAP-SSSE)

Notice of Funding Opportunity Title

FY 15 Community Assistance Program - State Support Services Element

NOFO Number

FEMA Region		FEMA Region	
1	DHS-15-MT-023-001-99	6	DHS-15-MT-023-006-99
2	DHS-15-MT-023-002-99	7	DHS-15-MT-023-007-99
3	DHS-15-MT-023-003-99	8	DHS-15-MT-023-008-99
4	DHS-15-MT-023-004-99	9	DHS-15-MT-023-009-99
5	DHS-15-MT-023-005-99	10	DHS-15-MT-023-010-99

Authorizing Authority for Program

The National Flood Insurance Act of 1968 (Pub. L. No. 90-448), as amended, (42 U.S.C. § 4001 et seq.).

Appropriation Authority for Program

The Department of Homeland Security Appropriations Act, 2015 (Pub. L. No. 114-4).

Program Type

Continuation

Program Overview, Objectives, and Priorities**Program Overview**

The Community Assistance Program – State Support Services Element (CAP-SSSE) program provides funding to States to provide technical assistance to communities in the National Flood Insurance Program (NFIP) and to evaluate community performance in implementing NFIP floodplain management activities.

Program Objectives

- To provide technical assistance to communities in the National Flood Insurance Program; and
- To evaluate community performance in implementing National Flood Insurance Program floodplain management activities

Program Priorities

In Fiscal Year 2015, the CAP-SSSE program will focus on compliance and enforcement. While map adoption, disaster activities, training and other assistance activities remain important components of the program's overall community assistance strategy, a credible compliance and enforcement program is essential to meet the program's goals of flood loss reduction, and to support the community Mitigation and Resilience goals of Presidential Policy Directive - 8.

B. Federal Award Information**Award Amounts, Important Dates, and Extensions**

Available Funding for the NOFO: \$10,400,000

Projected number of Awards: 52

Period of Performance: 12 months

An extension to the Period of Performance for this program is allowed. For details on the requirements for requesting an extension to the Period of Performance, please refer to Section H of this announcement.

Projected Period of Performance Start Date(s): 10/01/2014

Projected Period of Performance End Date(s): 09/30/2015

Funding Instrument

Cooperative Agreement

There is substantial FEMA Regional Office involvement throughout the performance of the CAP-SSSE Cooperative Agreements. Overall, FEMA reserves the authority to manage and direct recipient actions. The FEMA Regional Office determines the appropriate levels of effort for each activity to ensure performance metrics are being met.

- FEMA retains final approval of State reviewed community submitted ordinances for communities to join the NFIP. FEMA requires a mandatory map adoption rate of 93% or higher into State agreements.
- FEMA collaborates with States, but retains final approval for which communities receive State provided training and technical assistance.
- FEMA requires all States to conduct Community Assistance Visits and through negotiation, approves the annual number States will conduct. FEMA retains final approval for the community locations for these visits, based on application of FEMA's priority list and after consultation with the States.
- FEMA approves compliance follow-up actions conducted by States and requires advance approval before any follow-up actions that lead towards probation or suspension from the NFIP.
- FEMA retains approval authority for States affected by Declared Disasters to provide assistance to communities and negotiates these levels with States.
- FEMA provides continuous technical assistance and feedback to States on the conduct of these activities.
- FEMA requires detailed activity descriptions and approvals of recipient's selections for sub-contracts to achieve program goals.
- FEMA requires recipient close collaboration with FEMA mitigation staff for the purpose of monitoring all aspects of the recipient's performance of program activities, including redirection of the work as performed.
- FEMA limits discretion of variances or substitutions of activities performed including staffing, overtime, and other management processes of the recipient.
- FEMA reserves the authority to stop a recipient's funded activity immediately if the recipient fails to meet at least the above conditions.

C. **Eligibility Information**

Eligible Applicants

Only those State agencies that the State has designated by statute or Governor's declaration as a National Flood Insurance Program State Coordinating Agency as described in 44 C.F.R. § 60.25 are eligible to apply.

Eligibility Criteria

All 50 states and the territories of Puerto Rico and the US Virgin Islands are eligible to apply for CAP-SSSE funding.

Other Eligibility Criteria-- N/A

Maintenance of Effort

There is No Maintenance of Effort (MOE) requirement.

Cost Share or Match

There is a 25 percent non-federal cost match required for all recipients of CAP-SSSE funds with no restrictions on the types of costs allowed (e.g., in-kind contribution).

For a cost match the recipient contribution is calculated based on the federal contribution as:

Percent recipient contribution multiplied by the value of the federal contribution in US dollars.

For example, the CAP-SSSE requires a 25% cost match. If the federal contribution is \$100,000 the recipient contribution is calculated as $(0.25) \times \$100,000 = \$25,000$.

D. Application and Submission Information**Submission Date and Other Key Dates and Times**

Application Start Date:	05/01/2015
Application Submission Deadline:	06/15/2015 at 12:59 PM [EST]
Anticipated Funding Selection Date:	07/15/2015
Anticipated Award Date:	08/15/2015

Applications that are not submitted within the stated Application Submission Deadline will not be reviewed or considered for funding. System issues with the Grants.gov or other unforeseeable circumstances that are out of the applicants control will be taken into consideration with regards to the stated Application Submission Deadline of this NOFO.

Other Key Dates

Event	Suggested Deadline For Completion
Obtaining DUNS Number	05/18/2015
Obtaining a valid EIN	05/18/2015
Updating SAM registration	05/18/2015
Starting application in Grants.gov	06/08/2015

Address to Request Application Package

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select Apply for Grants, enter the CAP-SSSE CFDA number 97.023 or the appropriate Opportunity ID Number for the FEMA region of the applicant, then select Download Application Package, and

follow the prompts to download the application package. If you need assistance applying through Grants.gov, please go to <http://www.grants.gov/web/grants/applicants/grant-application-process.html>, or contact support@grants.gov, or call 800-518-4726. FEMA cannot assist applicants with questions related to registering with Grants.gov. **(Allow up to 7-10 business days after you submit before your registration is active in SAM, then an additional 24 hours for Grants.gov to recognize your information).**

For a hardcopy of the full NOFO, please download at:

http://www.fema.gov/plan/prevent/floodplain/fema_cap-ssse.shtm

Telephone Device for the Deaf (TDD) and/or Federal Information Relay Service (FIRS) number available for this Notice is: (800) 462-7585.

Content and Form of Application Submission

Applications will be processed through the [Grants.gov](http://www.grants.gov) portal.

Applicants will be prompted to submit all of the information contained in the following forms. Applicants should review these forms before applying to ensure they have all the information required. Forms are located at <http://www.grants.gov/web/grants/forms/sf-424-mandatory-family.html#sortby=1>

- **Application for Federal Assistance (SF-424)**
- **Assurances for Non-Construction Programs (SF-424B)**
- **Budget Information for Non-Construction Programs (SF-424A)**
- **Disclosure of Lobbying Activities (SF-LLL)**
- **Grants.gov Lobbying Form**
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In addition applicants must submit the following in Grants.gov

- **Program Work Plan;**
- **Detailed budget;**
- **Indirect Cost Agreement**

Dun and Bradstreet Universal Numbering System (DUNS) Number, System for Award Management (SAM), and Authorized Organizational Representative (AOR)

Before you can apply for a DHS grant at Grants.gov, you must have a Dun and Bradstreet Universal Numbering System (DUNS) Number, and be registered in the System for Award Management (SAM), and Authorized Organizational Representative (AOR)

The DUNS number must be included in the data entry field labeled "Organizational DUNS" on the SF-424 form. Instructions for obtaining a DUNS number can be found at the following website:

<http://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>

System for Award Management. In addition to having a DUNS number, applicants applying electronically through Grants.gov must register with the federal System for Award Management (SAM). Step-by-step instructions for registering with SAM can be found here:

<http://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>. All applicants must register with SAM in order to apply online. Failure to register with the SAM will result in your application being rejected by Grants.gov during the submissions process.

Please give yourself plenty of time before your grant application submission deadline to obtain a DUNS number and then to register in SAM. It may take 4 weeks or more after you submit your SAM registration before your registration is active in SAM, then an additional 24 hours for Grants.gov to recognize your information.

Authorized Organizational Representative. The next step in the registration process is creating a username and password with Grants.gov to become an Authorized Organizational Representative (AOR). AORs will need to know the DUNS number of the organization for which they will be submitting applications to complete this process. To read more detailed instructions for creating a profile on Grants.gov visit:

<http://www.grants.gov/web/grants/applicants/organization-registration/step-3-username-password.html>.

AOR Authorization. After creating a profile on Grants.gov, the E-Biz Point of Contact (E-Biz POC) a representative from your organization who is the contact listed for SAM will receive an email to grant the AOR permission to submit applications on behalf of their organization. The E-Biz POC will then log in to Grants.gov and approves an applicant as the AOR, thereby giving him or her permission to submit applications. To learn more about AOR

Authorization visit: <http://www.grants.gov/web/grants/applicants/organization-registration/step-4-aor-authorization.html>. To track an AOR status visit:

<http://www.grants.gov/web/grants/applicants/organization-registration/step-5-track-aor-status.html>.

Applicants are, therefore, encouraged to register early. The registration process can take four weeks or more to be completed. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required submission deadlines. After you have been approved as an AOR you will be able to submit your application online.

Electronic Signature. Applications submitted through Grants.gov constitute a submission as electronically signed applications. The registration and account creation with Grants.gov with E-Biz POC approval, establishes an Authorized Organization Representative (AOR). When you submit the application through Grants.gov, the name of your AOR on file will be inserted into the signature line of the application. Applicants must register the individual who is able to make legally binding commitments for the applicant organization as the AOR; this step is often missed and it is crucial for valid submissions.

If you experience difficulties accessing information or have any questions please call the grants.gov customer support hotline at (800) 518-4726 or email [grants.gov](mailto:support@grants.gov) at support@grants.gov.

The Federal awarding agency may not make a Federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements and, if an applicant has not fully complied with the requirements by the time the Federal awarding agency is ready to make a Federal award, the Federal awarding agency may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant.

Intergovernmental Review

An intergovernmental review may be required. Applicants must contact their State's Single Point of Contact (SPOC) to comply with the State's process under Executive Order 12372 (see <http://www.fws.gov/policy/library/rgeo12372.pdf>). Name and addresses of the SPOCs are maintained at the Office of Management and Budget's home page at http://www.whitehouse.gov/omb/grants_spoc to ensure currency.

Funding Restrictions

Federal funds made available through this award may only be used for the purpose set forth in this award and must be consistent with the statutory authority for the award. Award funds may not be used for matching funds for any other Federal grants/cooperative agreements, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, federal funds may not be used to sue the federal government or any other government entity.

CAP-SSSE funds cannot be used for: conducting floodplain studies, developing floodplain maps, supporting/maintaining web-based digital mapping platforms, Association of State Floodplain Managers (ASFPM) or other professional association dues/memberships.

Recipients are encouraged to have at least one full-time person dedicated to CAP-SSSE and other floodplain management activities to help maintain this expertise and capability. If a recipient does not have the necessary expertise and capability to conduct CAP-SSSE activities, the Region and recipient are required to develop

a remedial plan. If the necessary expertise and capability has not been developed by the recipient, the following year's CAP-SSSE funding may be reduced or withheld.

i. Pre-award costs

Pre-award costs incurred prior to or before the period of performance start date established in the Notice of Award are not allowed and will not be considered. However, costs incurred between the established period of performance start date stated in the Notice of Award and the award date will be considered so long as the applicant includes them with all appropriate budget information in the application, and the costs are otherwise allowable under this program. FEMA will approve any pre-award costs that are authorized for this program by including them in the Notice of Award.

ii. Direct Costs

Planning related costs are allowed under this program.

Training related costs are allowed under this program.

Exercise related costs are NOT allowed under this program.

Equipment costs are allowed under this program.

Support for Enhanced Information Technology (IT) equipment

CAP-SSSE encourages the purchase and use of IT tools including computers (Desktops and Laptops), cameras, and printer/scanners for performing all aspects of State Coordinator duties related to the Community Assistance Program. The goal is to move away from printing paper products (including printed maps), to using and transferring products digitally. For example, FEMA encourages a recipient to use a Laptop with National Flood Hazard Layer (NFHL) mapping overlay onto Google Earth (or other platform) when conducting a Community Assistance Visit (CAV), rather than using printed paper maps. A Desktop and Laptop hardware and software configuration to seamlessly manage these and other activities is an approved expense subject to justification of reasonableness.

Domestic travel costs are allowed under this program. International travel is NOT an allowable cost under this program unless approved in advance otherwise by the managing Federal agency.

Construction and renovation costs are NOT allowed under this program.

Please refer to Appendix A for Eligible Activities for the CAP-SSSE and more specific information on allowable costs for these activities.

iii. Other Cost Requirements

Environmental Planning and Historic Preservation (EHP) Compliance

As a Federal agency, FEMA is required to consider the effects of its actions on the environment and/or historic properties to ensure that all activities and programs funded by the agency, including grants-funded projects, comply with Federal EHP regulations, laws and Executive Orders as applicable. Recipients and sub-recipients proposing projects that have the potential to impact the environment, including but not limited to construction of communication towers, modification or renovation of existing buildings, structures and facilities, or new construction including replacement of facilities, must participate in the FEMA EHP review process. The EHP review process involves the submission of a detailed project description that explains the goals and objectives of the proposed project along with supporting documentation so that FEMA may determine whether the proposed project has the potential to impact environmental resources and/or historic properties. In some cases, FEMA is also required to consult with other regulatory agencies and the public in order to complete the review process. The EHP review process must be completed before funds are released to carry out the proposed project. FEMA will not fund projects that are initiated without the required EHP review.

Management and Administration

Management and Administration costs are NOT allowed under this program.

Indirect (Facilities & Administrative (F&A)) Costs

Indirect costs are allowable under this program as described in 2 C.F.R. § 200.414. With the exception of recipients who have never received a negotiated indirect cost rate as described in 2 C.F.R. § 200.414(f), recipients must have an approved indirect cost rate agreement with their cognizant Federal agency to charge indirect costs to this award. A copy of the approved rate (a fully executed, agreement negotiated with the applicant's cognizant federal agency) is required at the time of application and must be provided to FEMA before indirect costs are charged to the award.

Other Submission Requirements

N/A

E. Application Review Information

Criteria

Applications will be reviewed to ensure conformance with the Eligibility Criteria in Section C of this NOFO and Application Submission in D. Applicants that do not meet eligibility or application submission requirements will be removed from consideration.

Applications will be reviewed to verify that the State recipient meets the 25 percent non-federal cost match required for all recipients of CAP-SSSE funds. However, there are no restrictions on the types of costs allowed for the match (e.g., in-kind contribution).

Review and Selection Process

FEMA Regional Offices staff, professionally and technically qualified in floodplain management will evaluate applications and select applicants for funding. Applicants are encouraged to review CAP-SSSE requirements and eligible activities available at

http://www.fema.gov/plan/prevent/floodplain/fema_cap-ssse.shtm.

Applicants will be evaluated and selected for funding based on the following:

- Community Assistance Visits (CAVs) and Community Assistance Contacts (CACs). Reviewers will determine the appropriate levels of effort for each activity to ensure performance metrics are met.
- The applicant demonstrates:
 - Expertise in floodplain management or the ability to attain expertise in floodplain management through participation in the CAP-SSSE program;
 - The ability to develop, implement and manage floodplain management activities;
 - Proposed projects are compatible with CAP-SSSE priorities and requirements; and
 - Proposed costs are complete, reasonable and cost-effective in relation to proposed projects and tasks.

F. Federal Award Administration Information

Notice of Award

Notification of award approval is made by the Regional Office to the Grants recipient. The awardee should follow the directions in the notification to accept the award. The “award date” for this program will be the date FEMA approves the award.

Recipients must accept their awards no later than 60 days from the award date. The recipient shall notify the awarding agency of its intent to accept and proceed with work under the award, or provide a written notice of intent to decline. Funds will remain on hold until the recipient accepts the award. Failure to accept the grant award within the 60 day timeframe may result in a loss of funds.

Administrative and National Policy Requirements

All successful applicants for all DHS grant and cooperative agreements are required to comply with DHS Standard Administrative Terms and Conditions, which are available online at:

<http://www.dhs.gov/publication/fy15-dhs-standard-terms-and-conditions>

Before accepting the award the authorized official should carefully read the award package for instructions on administering the grant award and the terms and conditions associated with responsibilities under Federal Awards. Recipients must accept all conditions in this NOFO as well as any Special Terms and Conditions in the Notice of Award to receive an award under this program.

Reporting

Awardees are required to submit various financial and programmatic reports as a condition of their award acceptance. Future awards and fund drawdowns may be withheld if these reports are delinquent.

Financial and Program Reporting Periods and Due Dates

The following reporting periods and due dates apply:

Reporting Period	Report Due Date
October 1 – December 31	January 30
January 1 – March 31	April 30
April 1 – June 30	July 30
July 1 – September 30	October 30

Federal Financial Reporting Requirements

The Federal Financial Reporting Form (FFR) is available here:

http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf, SF-425 OMB #00348-006.

Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425) and must be filed electronically using PARS. An FFR report must be submitted quarterly throughout the period of performance, including partial calendar quarters, as well as for periods where no grant award activity occurs. Future awards and fund drawdowns may be withheld if these reports are delinquent, demonstrate lack of progress, or are insufficient in detail.

Financial and Compliance Audit Report

For audits of fiscal years beginning on or after December 26, 2014, recipients that expend \$750,000 or more from all federal funding sources during their fiscal year are required to submit an organization-wide financial and compliance audit report.

The audit must be performed in accordance with the requirements of GAO's Government Auditing Standards, located at <http://www.gao.gov/govaud/ybk01.htm>, and the requirements of Subpart F of 2 C.F.R. Part 200, located at <http://www.ecfr.gov/cgi-bin/text-idx?SID=55e12eead565605b4d529d82d276105c&node=2:1.1.2.1.1.6&rgn=div6>.

For audits of fiscal years beginning prior to December 26, 2014, recipients that expend \$500,000 or more from all federal funding sources during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with GAO's Government Auditing Standards, located at <http://www.gao.gov/govaud/ybk01.htm>, and OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, located at http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2012.

Program Performance Reporting Requirements

Awardees are responsible for providing updated quarterly performance reports. The narrative reports must be submitted within 30 days after the end of the reporting period electronically to the recipient's Regional CAP-SSSE Program Coordinator.

Recipients are required to submit an annual end of year Program Performance Progress Report SF-PPR (OMB Control Number: 0970-0334) within 30 days of the end of the Period of Performance.

Community Information System (CIS)

State recipients must use the CIS to enter and update information on ordinance adoption, CAVs and CACs, training, general technical assistance, and updating all other fields they are authorized to update. Updates within the CIS are to be made as tasks are accomplished. FEMA will use quarterly CIS reports to measure state progress on the above activities and to approve funding drawdowns.

Close Out

Within 90 days after the end of the period of performance, or after an amendment has been issued to close out a grant, whichever comes first, recipients must submit a final FFR and final progress report detailing all accomplishments and a qualitative summary of the impact of those accomplishments throughout the period of performance.

As part of the final report, recipients must also submit the Tangible Personal Property Report (SF-428), available at http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/sf-428.pdf, to provide an inventory of all tangible personal property acquired using CAP-SSSE funds.

After these reports have been reviewed and approved by Regional CAP-SSSE Program Coordinator, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be de-obligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR.

The recipient is responsible for returning any funds that have been drawn down but remain as unliquidated on recipient financial records.

G. DHS Awarding Agency Contact Information
Contact and Resource Information

For Program Questions: Contact information for each Region can be found at:
http://www.fema.gov/plan/prevent/floodplain/fema_cap-ssse.shtm.

For Financial and Administrative Questions: Contact each Region at:
http://www.fema.gov/plan/prevent/floodplain/fema_cap-ssse.shtm.

For Environmental Planning and Historic Preservation Questions:
OEHP provides guidance and information about the EHP review process to FEMA programs and its recipients and sub-recipients. All inquiries and communications about EHP compliance for FEMA grant projects or the EHP review process should be sent to
Emily Blanton
500 C Street, SW
Washington, DC 20472
(202) 646-2585
emily.blanton@fema.dhs.gov.

H. Additional Information –
Payment

FEMA utilizes the Payment and Reporting System (PARS) for financial reporting, invoicing and tracking payments. Additional information can be obtained at
<https://isource.fema.gov/sf269/execute/LogIn?sawContentMessage=true>.

DHS/FEMA uses the Direct Deposit/Electronic Funds Transfer (DD/EFT) method of payment to Recipients. To enroll in the DD/EFT, the Recipient must complete a Standard Form 1199A, Direct Deposit Form.

Extensions

Extensions to the initial period of performance identified in the award will be considered only through formal, written requests to the recipient's respective Regional Office and must contain specific and compelling justifications as to why an extension is required.

Recipients are advised to coordinate with the Regional Office, when preparing an extension. All extension requests must address the following:

1. Grant Program, Fiscal Year, and award number;
2. Reason for delay – this must include details of the legal, policy, or operational challenges being experienced that prevent the final outlay of awarded funds by the applicable deadline;
3. Current status of the activity/activities;
4. Approved period of performance termination date and new project completion date;
5. Amount of funds drawn down to date;
6. Remaining available funds, both Federal and non-Federal;
7. Budget outlining how remaining Federal and non-Federal funds will be expended;
8. Plan for completion including milestones and timeframes for achieving each milestone and the position/person responsible for implementing the plan for completion; and
9. Certification that the activity/activities will be completed within the extended period of performance without any modification to the original Statement of Work approved by FEMA.

Awardees should submit all proposed extension requests to DHS/FEMA for review and approval no later than 60 days prior to the end of the Period of Performance.

Appendix A: FY 2015 CAP-SSSE Eligible Activities

FEMA Regional Offices are to determine the appropriate levels of effort in each activity to ensure that performance metrics are being met. FEMA is requiring certain measures*, and encouraging others, for some of the CAP-SSSE activities as described below.

1. Community Assistance Visits* (CAV) and Community Assistance Contacts (CAC): States participating in CAP-SSSE are required to conduct CAVs and CACs. States will be required to incorporate the risk-based prioritization as described in the National Flood Insurance Program Guidance for Conducting Community Assistance Contacts and Community Assistance Visits. The Regions will work with each State to determine the number of CAVs and CACs to be conducted and to ensure that selection is based on the risk-based approach described above.

Regions and States are encouraged to make maximum use of the CAC process and other contacts with communities to identify potential compliance problems and needs for technical assistance. The document also provides guidance in planning for, conducting and providing follow-up for these activities. States must provide appropriate follow-up to CAVs and CACs by providing technical assistance to correct program deficiencies and remedy violations to the maximum extent possible. States must coordinate with Regions, as necessary, to clarify what follow-up is to be provided. States are expected to refer community compliance problems that they are unable to resolve to the Regional Office. Headquarters staff will also be available for training at Regional CAP Conferences. All CAVs and CACs must be entered into CIS so that FEMA can monitor this important floodplain management activity.

2. Ordinance Assistance*: Assisting communities in reviewing local ordinances to ensure compliance with NFIP requirements and adoption before Flood Insurance Rate Maps (FIRMs) become effective is of paramount importance. This includes necessary ordinance revisions based upon new hazard data provided by FEMA, as well as incorporating any regulatory changes to meet minimum floodplain management criteria. State Cooperative Agreements shall include a performance measure relating to map adoption. The metric will measure the percentage of participating communities that have an adopted ordinance referencing the updated map by the FIRM effective date. States must include a mandatory map adoption rate of 93% or higher into their cooperative agreement.

3. Strategic Planning: Strategic Planning is an optional task and provides an opportunity to assess the current status of a State program and plan for future year demands, find efficiencies, and explore opportunities for expanded services. In cooperation with FEMA, the Association of State Floodplain Managers (ASFPM) has developed a guidance document for strategic planning within State floodplain management programs. The guidance document can be found at http://www.fema.gov/plan/prevent/floodplain/fema_cap-ssse.shtm and <http://www.floods.org>.

4. CAP Gap Analysis: States may optionally choose to conduct an annual gap analysis by using the CAP GAP tool provided at http://www.fema.gov/plan/prevent/floodplain/fema_cap-ssse.shtm. The data collected in the annual analyses has been used to create budget justifications for the current funding. States who believe they may benefit from providing a more refined or revised gap analysis may optionally submit this to the Region for future year consideration. The gap analysis is also an important part of the strategic planning process and can be utilized by States in their planning efforts.

5. State Model Ordinance Updates and Monitoring of State Regulatory

Environment: Most States have developed a State model floodplain management ordinance containing the minimum requirements outlined in 44 CFR Section 60.3, as well as any State required floodplain management provisions. In addition, States are encouraged to offer their communities model ordinances that include higher regulatory standards and assist communities to update their model ordinances to include higher standards. States are also encouraged to monitor legal issues affecting floodplain management regulations and activities related to State building code adoption and modifications.

- **Model Building Codes:** Many States adopt a building code that is based on one or more of the model codes developed by the International Code Council (the I-Codes) or the National Fire Protection Association. Most States require all or some communities to enforce the code. Unless modified by a State, the model codes contain NFIP-consistent provisions for buildings and structures. FEMA and States must ensure an understanding of the implications that the enforcement of these codes have on the local regulatory environment in order to provide accurate technical assistance. States should review their model ordinances and work with communities to ensure that they understand the implications of these codes and how the codes are enforced with respect to NFIP requirements.

A model companion ordinance designed specifically to coordinate with building codes based on the I-Codes will be provided to the Regional Offices. State NFIP coordinators should coordinate with their counterparts in the State code commission or State agency that is responsible for the building code, especially with respect to interpretations that the code commission or State agency may be asked to issue. The Building Science Branch at FEMA Headquarters is available upon request to provide training on the flood provisions of the International Codes at Regional CAP Conferences.

6. Outreach, Workshops, and Other Training: States are encouraged to conduct outreach, workshops, and other training for local officials and other stakeholders, including insurance agents, lenders, adjustors, realtors, land surveyors, and design professionals to support implementation and enforcement of community floodplain management regulations, promotion of hazard identification, providing NFIP insurance training, and support of local and State planning initiatives. States should conduct

workshops and other training and outreach opportunities on a schedule and at locations that are coordinated with the FEMA Region.

a. ASFPM Activities and Credentialing: FEMA encourages State floodplain management personnel to attain Certified Floodplain Manager (CFM) credentials. State employees that are involved in floodplain management activities may use CAP-SSSE funds for costs associated with the initial exam and biennial CFM renewal fees. States are further encouraged to sponsor and proctor CFM exams in coordination with the ASFPM. Note: CAP- SSSE funding cannot be used to reimburse Individual ASFPM membership fees.

At the discretion of the Region, States may use limited CAP-SSSE funding to allow local officials to attend and/or assist with the annual ASFPM conference held within their State. These costs must be negotiated with the Region as part of the annual agreement.

b. Meetings: CAP-SSSE funds may be used to reimburse travel costs associated with attendance by State floodplain management personnel at the ASFPM National Conference, FEMA Regional Office CAP-SSSE Coordination Meetings, and in-State Silver Jackets coordination meetings. Other national and regional meetings related to floodplain management may be considered for reimbursement if approved in advance by Regional Office CAP-SSSE staff.

7. General Technical Assistance: States should provide general technical assistance to communities and individuals to resolve floodplain management issues related to the NFIP.

8. Enrollment of Communities: States should assist communities in joining the NFIP by providing technical assistance to ensure the community meets the minimum eligibility requirements for participation.

9. Community Rating System (CRS) Support: States should assist communities in joining the NFIP Community Rating System (CRS) through providing general technical assistance, conducting entry CAVs and providing support for activities credited by CRS.

10. Mapping Coordination Assistance: As part of the Flood Map Modernization process and the FEMA Risk Map Initiative, States must work with the Regions to develop flood mapping priorities and participate in community meetings held as part of the mapping process. In addition to CAP-SSSE grants, States are eligible for Cooperating Technical Partner (CTP) Program Management funding to meet these responsibilities. The CAP- SSSE plans must be developed separately from, but in coordination with, the CTP Program Management plans to ensure that CTP is used to complement CAP-SSSE activities and that States will meet all of their responsibilities under Flood Map Modernization and Risk Map. Neither CTP Program Management nor CAP-SSSE funds can be used for conducting floodplain studies or developing floodplain maps. However, several activities are allowable under both grant programs, including

map adoption, training, and outreach. Use of these resources should be closely coordinated to prevent duplication of effort.

11. Coordination with Other State Programs and Agencies: States are encouraged to coordinate with other State administered programs that impact floodplain management such as the Hazard Mitigation Assistance (HMA) that includes: Hazard Mitigation Grant Program, Pre- Disaster Mitigation Program, and Flood Mitigation Assistance Program. Additional coordination may include the State Dam Safety Program, State land-use, building code and water resources programs, as well as State agencies that routinely conduct activities within floodplains, such as State Departments of Transportation or port authorities. Coordination with other State agencies on adoption and implementation of State Executive Orders and regulations that meet State NFIP requirements is also encouraged.

12. Assistance to Communities in Responding to Disasters: States are encouraged to provide post-disaster assistance and support to NFIP communities. Examples of these activities include: technical assistance implementing substantial damage requirements, including use of the Substantial Damage Estimating Software; assistance to communities enrolling into the NFIP; general floodplain management technical assistance; assistance with the promotion and use of the NFIP Increased Cost of Compliance coverage; and assistance with HMA programs. Generally, these activities are not included in the annual CAP-SSSE Agreement, but can be negotiated when a disaster occurs. The CAP-SSSE Agreement must be modified to reflect these changes when they occur.

*CAVs and Ordinance Reviews are mandatory annual activities.

Selection of CACs and CAVs

A risk based approach is intended to help ensure that limited staff resources are applied to the communities most in need of a CAV or CAC in each fiscal year in a cost-effective manner. The selection of CACs and CAVs to be conducted shall continue to use the CAV Tier 1 Prioritization Tool as guidance for determining which communities should receive a CAV. While Selection of CAVs using the Tier 1 tool is required, States and regions may, by exception, select Tier 2 communities for CAVs, with justification added to the CAV Comment Field in the Community Information System (CIS).

Special Attention to Mechanical, Electrical, and Utility Equipment and Flood Openings
The NFIP Evaluation also concluded that the most common type of violation found in the Study's quantitative assessment of building compliance were mechanical and utility equipment located below the Base Flood Elevation (BFE) and openings that do not meet requirements at 44 CFR 60.3(c)(5). Between them, these two types of violations accounted for 50 percent of the violations found within the sample. To improve enforcement of these requirements, special consideration and attention should be paid to mechanical, utility and openings requirements during CAVs.

State CAVs

In coordination with the State NFIP Coordinator, Regional Offices may determine that a CAV of the State floodplain management program is appropriate. Regional staff may request assistance with coordination with State agencies or officials, the collection of data and other assistance in preparation of conducting the CAV.