DEPARTMENT OF
ECOLOGY
State of Washington

Funding Guidelines

Flood Control Assistance Account Program Grants

2021-2023 Biennium

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Publication and Contact Information

This document is available on the Department of Ecology's website at:
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Chapter 1: Program Overview

In 1984, the Washington State Legislature (Legislature) established the Flood Control Assistance Account Program (FCAAP). The Washington State Department of Ecology's (Ecology's) Shorelands and Environmental Assistance Program administers the FCAAP grant program. The purpose of the FCAAP grant program is to support local jurisdictions to develop integrated flood hazard management plans that identify and prioritize strategies to reduce flood hazard risks and achieve other benefits; and help reduce flood hazards and flood damages.

Statutory Requirements

Statutory requirements applicable to the FCAAP grant program include:

- *RCW 86.26* [1] - *State Participation in Flood Control Maintenance*
- *RCW 86.26.007* [2] – *Flood control assistance account—Use.*
- *Chapter 173-145 WAC* [3] – *Administration of the Flood Control Assistance Account Program*
- *Senate Bill 5141* [4] - *Healthy Environment for All (HEAL) Act*
- *Governor's Executive Order 21-02* [5]

Administrative Requirements

Ecology's and FCAAP administrative policies provide the framework for the Funding Guidelines. Key policies include:

- *Administrative Requirements for Recipients of Ecology Grants and Loans (2017 Yellow Book)* [6]
- *Comprehensive Planning for Flood Hazard Management Guidebook (2021)*
- Ecology's Grant Agreement Terms and Conditions
- Ecology's *Quality Assurance Project Plans (QAPP) Requirements* [7]

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[1] https://app.leg.wa.gov/rcw/default.aspx?cite=86.26

[2] https://app.leg.wa.gov/rcw/default.aspx?cite=86.26.007

[3] https://apps.leg.wa.gov/wac/default.aspx?cite=173-145

[4] http://lawfilesext.leg.wa.gov/biennium/2021-22/Pdf/Bills/Session%20Laws/Senate/5141-S2.SL.pdf?q=20210521101530

[5] https://dahp.wa.gov/2102

[6] https://fortress.wa.gov/ecy/publications/SummaryPages/1701004.html

[7] https://ecology.wa.gov/About-us/How-we-operate/Scientific-services/Quality-assurance/Quality-assurance-for-NEP-grantees

How to use these guidelines

These funding guidelines provide information about the 2021-2023 FCAAP grant program eligibility requirements, grant application process, scoring criteria, evaluation process, funding decision process, grant agreement, and the general requirements for this grant program.

All grant applicants and Recipients are responsible for reading and understanding these guidelines along with the *Administrative Requirements for Ecology Grants and Loans (2017 Yellow Book)*[8] (Publication No. 17-01-004) before entering into a grant agreement with Ecology.

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[8] https://fortress.wa.gov/ecy/publications/SummaryPages/1701004.html

Chapter 2: 2021-2023 Grant Funding Program

This chapter provides a basic overview of the 2021-2023 FCAAP grant funding program, including applicant and project eligibility, and funding provisions. Ecology manages the FCAAP grant program under a biennial funding cycle.

For the 2021-2023 biennium, the Legislature appropriated approximately $1.5 million for floodplain planning projects. These projects are competitively evaluated and awarded.

In addition to funding for planning projects, the Legislature also appropriated $150,000 for emergency flood response projects. These projects are not competitively evaluated or awarded. Funding is awarded on a first come, first served basis.

Eligible Applicants

- Cities
- Towns
- Counties
- Federally-Recognized Tribes
- Conservation Districts
- Special purpose districts, such as flood control districts

Priority funding for the 2021-2023 FCAAP biennium are for flood planning projects that support the development of integrated flood hazard management plans in underserved communities.

Applicants must provide documentation of how the community is underserved. Underserved communities are defined as "communities that experience disproportionate environmental harms and risks due to exposures, greater vulnerability to environmental hazards, or cumulative impacts from multiple stressors." (Washington State Environmental Justice Task Force Report, 2020)

Ineligible Applicants

- Nonprofits
- State agencies
- Federal agencies
- Ports
- Private entities
- Local health jurisdictions

Eligible Projects

Priority funding for the 2021-2023 biennium are for flood planning projects in underserved communities. In future funding cycles, there may be funding available for implementation of flood risk reduction projects cited in Ecology-approved, completed Comprehensive Flood Hazard Management Plans (CFHMPs).

Eligible flood planning projects include:

- Developing and writing, or updating CFHMPs. CFHMPs must be consistent with state regulations ([WAC 173-145](#))[9].

  For more information, see Ecology's *Comprehensive Planning for Flood Hazard Management Guidebook* that includes required and optional flood planning elements. The link to the Guidebook can be found on the [FCAAP website](#).[10]

- Feasibility studies; community outreach and stakeholder engagement efforts; mapping/modeling projects, including Channel Migration Zone delineations; and other activities that will lead to updated CFHMPs.

- Match for federal projects that lead to CFHMPs. For example, federal General Investigations or Environmental Restoration studies by the U.S. Army Corps of Engineers, FEMA RiskMAP studies, etc.

Eligible emergency projects include:

- Emergency flood response and recovery work.

Ineligible Project Types

The following are ineligible projects for the 2021-2023 biennium, but may be made eligible in future funding cycles.

- On-the-ground implementation and construction projects for floodplain restoration. In future funding rounds Ecology will begin to fund construction activities, but for now the focus will be on planning efforts.

Public Participation and Diversity, Equity, and Inclusion

Per Ecology's *Comprehensive Planning for Flood Hazard Management Guidebook*, flooding disproportionately affects vulnerable populations. Not only are lower income individuals more likely to live in neighborhoods that are susceptible to flooding, they are also significantly disadvantaged in recovering from flood damage (Sherwin, 2019). Therefore, it is important to

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[9] https://apps.leg.wa.gov/wac/default.aspx?cite=173-145
[10] https://ecology.wa.gov/About-us/How-we-operate/Grants-loans/Find-a-grant-or-loan/Flood-control-assistance

consider diversity, equity, and inclusion when developing a flood plan. (*Comprehensive Planning for Flood Hazard Management Guidebook,* 2021)

Grant Amounts

The average award amounts for past grants are $150,000 for planning projects, and $50,000 for emergency flood response projects.

For the 2021-2023 funding cycle, there is approximately $1.5 million available for planning projects. There is no maximum award amount. Ecology anticipates the award amount won't exceed $250,000 for each planning project.

There is also $150,000 available for emergency flood response projects in the 2021-2023 funding cycle. The maximum award amount for emergency projects varies on a first come, first served basis, and available funds.

Grant Match Requirements

Recipients are required to provide match for FCAAP grants. Recipients must provide 25 percent match for planning grants, and 20 percent match for emergency flood response grants.

Match can be shown in the form of other grant funds, time spent working on a project, and in-kind costs from a third party.

There are three different types of match: cash; in-kind other; and in-kind interlocal. Read below for more information about match.

Cash Match

Cash match includes any eligible project costs paid for directly by the Recipient that are not reimbursed by the Ecology grant or a third party. For more information, see p. 40 of the ***Administrative Requirements for Recipients of Ecology Grants and Loans (2017 Yellow Book).***[11]

Other Grants Used as Match

If a Recipient wants to use a grant from another funding agency as match, the Recipient should check with the funding agency issuing the grant to ensure that it can be used as match for an Ecology grant. The following applies when using other grants to match an Ecology grant.

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[11] https://fortress.wa.gov/ecy/publications/SummaryPages/1701004.html

- The scope of work on the matching grant must directly satisfy the portion of the scope of work on the Ecology grant where the work is contributed.

- The date that the costs for the matching grant are incurred <u>must fall within the effective dates of the Ecology grant.</u>

- The costs incurred under the matching grant must be eligible according to all criteria for the Ecology grant.

- The matching fund source(s) cannot originate from the same funding source as the Ecology grant, the State Operating Budget - Flood Control Assistance Account.

- The same funds, goods, or services cannot be used as match more than once.

In-Kind Match

In-Kind match is a donated or volunteer service, goods, or property contributed by a **third party** without direct monetary compensation. In-kind match does not include eligible project costs paid directly by the Recipient, such as paid staff services, considered a cash expenditure by Ecology (see Cash Match section above). In-kind contributions must be fully documented and identified as separate expenditures on payment requests.

Ineligible In-Kind Contributions

The following are examples of **ineligible** in-kind contributions for the FCAAP grant program:

- Donated, loaned, or purchased real or personal property.

- Contributions of overhead costs, per-diem, travel, and subsistence expenses.

- Contributed time from individuals receiving compensation through the grant, except when those individuals are off duty and contributing on their own time.

- Time spent at advisory groups or meetings that do not directly relate to the project.

Indirect Rate or Overhead

Recipients may charge an overhead or indirect rate of up to 30 percent of staff salaries and benefits combined to cover overhead, or indirect rate costs. Indirect costs are defined as administrative costs not directly associated to a particular task of the project, such as: utilities; miscellaneous copying; telephone; insurance; janitorial services; records; storage; general office supplies; or items not directly attributable to the project yet are required to conduct business. Recipients must provide documentation showing how their indirect rate is calculated, and provide a list of indirect costs included in their indirect rate. The indirect rate is negotiated and is stated in the signed grant agreement. Indirect rate charges must be reported as a separate expenditure on payment requests. For more information on the indirect rate, see p. 34 of the

[Administrative Requirements for Recipients of Ecology Grants and Loans (2017 Yellow Book)](https://fortress.wa.gov/ecy/publications/SummaryPages/1701004.html).[12]

Chapter 3: Applying for Funding

Complete grant applications must be submitted through Ecology's Administration of Grants and Loans (EAGL) online system.

Please note, the acronym for the competitive **planning** project grant applications in EAGL are named **SEAFCAAC-2123** (Shorelands and Environmental Assistance (SEA) Flood Control Assistance Account – Competitive (FCAAC) 21-23 biennium).

Similarly, the acronym for the non-competitive **emergency** project grant applications in EAGL are named **SEAFCAAP-2123** (Shorelands and Environmental Assistance (SEA) Flood Control Assistance Account Program (FCAAP) 21-23 biennium).

The 2021-2023 Funding Cycle

The grant application period for both planning and emergency projects opens on Tuesday, August 3, 2021 at 8:00 a.m. The application period for planning projects (**SEAFCAAC-2123**) closes on Thursday, September 30, 2021 at 5:00 p.m. The application period for emergency flood response projects (**SEAFCAAP-2123**) closes on Thursday, June 29, 2023 at 5:00 p.m.

Eligible applicants of planning projects must submit complete grant applications through EAGL. Planning projects are competitively evaluated and awarded. After planning project applications are submitted and the application period closes, Ecology staff evaluate, score, and rank projects. Ecology finalizes funding decisions, and sends formal notifications to applicants if project proposals are chosen, or not chosen, for funding.

Emergency projects are not competitively evaluated. Ecology awards funding based a first come, first served basis, and if funding is available. Eligible applicants of emergency flood response projects must contact [Scott McKinney](), FCAAP Fund Coordinator, to initiate a grant application in EAGL. Emergency project grant applications cannot be initiated in EAGL without prior approval by the Fund Coordinator. Once an application is initiated, applicants will be assigned an EAGL grant application number, and may submit a complete application.

Applicants with projects chosen for funding will be contacted by the assigned Ecology Project Manager to start the agreement negotiation process.

The agreement effective start date for planning projects is November 8, 2021, unless otherwise negotiated. The agreement effective start date for emergency projects is negotiable, but cannot occur before July 1, 2021. All grants expire on June 30, 2023, the end date of the biennium; this expiration date is non-negotiable.

2021-2023 Funding Cycle Schedule

Date	What's Happening
August 2, 2021	Ecology hosts virtual application workshop. Check the [FCAAP website](https://ecology.wa.gov/About-us/How-we-operate/Grants-loans/Find-a-grant-or-loan/Flood-control-assistance)[13] for more information.
August 3, 2021	EAGL grant application period for all FCAAP project types opens at 8:00 a.m.
September 30, 2021	EAGL grant application period for planning projects closes at 5:00 p.m. EAGL grant application period for emergency flood response projects remains open until June 29, 2023. Applicants must contact Scott McKinney, FCAAP Fund Coordinator, to initiate a grant application.
October 7-28, 2021	Evaluation period for planning project applications.
November 1, 2021	Ecology finalizes funding decisions for planning projects. Ecology sends funding decision emails to applicants, and grant award letters for funded planning projects.
November 8, 2021	Grant agreement start date. This date is negotiable but cannot be sooner than July 1, 2021, start date of the biennium, for grant reimbursement. Ecology and Recipients negotiate and finalize grant agreements, and begin projects.
June 30, 2023	Grant agreement expiration date. The scope of work must be completed on or before June 30, 2023, end date of the biennium, for grant reimbursement.

SAW and EAGL Accounts

Applicants must have user accounts in both Secure Access Washington (SAW) and EAGL.

Applicants must:

1. Register for a **Secure Access Washington (SAW)** online services account by visiting the [Secure Access Washington website](http://secureaccess.wa.gov/).[14]

2. Register for an **EAGL** account. After a SAW account is set up, please follow the instructions found on [Ecology's Grants and Loans webpage](https://ecology.wa.gov/About-us/How-we-operate/Grants-loans)[15] to request access to the

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[13] https://ecology.wa.gov/About-us/How-we-operate/Grants-loans/Find-a-grant-or-loan/Flood-control-assistance
[14] http://secureaccess.wa.gov/
[15] https://ecology.wa.gov/About-us/How-we-operate/Grants-loans

EAGL system. New EAGL users should select the tab labeled "New EAGL users with a SAW account" or "New SAW and EAGL users," then follow the instructions.

Each staff member of an organization that will have a role in the grant (e.g., project manager, financial manager, and grant signatory) must each establish their own SAW account before applying for a grant. **Users cannot share SAW accounts with another person or organization.**

More information about EAGL can be found in the *[EAGL External Users' Manual](#)*.[16]

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[16] https://apps.ecology.wa.gov/publications/SummaryPages/1701015.html

Chapter 4: Evaluations and Scoring

Emergency projects are not competitively evaluated or awarded. Instead, funding decisions are based on a first come, first served basis, and available funds.

Planning projects are competitively evaluated and awarded. Ecology staff, including technical experts, evaluate, score, and rank planning project proposals based on information provided in the grant application. Ecology finalizes the funding list and sends notifications to applicants whether or not their project has been chosen for funding. For the scoring criteria, see **Appendix A: Scoring Criteria for Planning Projects**.

Elements of Successful Proposals

In general, a successful FCAAP project proposal will:

- Show how the project solves or addresses a flooding problem by focusing on the cause of damage rather than treating the symptoms.

- Identify a documented flooding issue.

- Employ an integrated floodplain management approach that brings together multiple interests to find common agreement on local floodplain visions, strategies, and actions that achieves multiple benefits.
- Demonstrate how the project benefits salmon recovery.
- Describe how the project reconnects floodplains, protects channel migration zones, and/or restores habitat.
- Demonstrate how the project will consider climate change impacts.

Explain the additional benefits of the project.
- Describe water quality and other environmental benefits from the project.
- Describe recreation and/or public access improvements included in the project.
- Describe any other benefits to the community and/or the general public.

Describe the collaboration, community support and stakeholder involvement, elements.
- Explain why the project is a high priority.
- Describe your approach to integrated floodplain management.
- Document the stakeholder engagement process, including approaches to public participation and diversity, equity, and inclusion.
- Document any support and outreach to affected parties.

- Provide a copy of existing plan(s) that support the project, if any, and the approach to collaborative planning efforts.

Show that grant funds will be spent efficiently and on schedule.

- Provide an accurate, detailed, and reasonable budget and project schedule.
- Show that the funding request is reasonable compared to the proposed benefit.
- Show that the funds can be spent in a timely manner.

Illustrate that the project is ready to proceed.

- Include a well-defined scope of work that has goals, objectives, timelines, and measurable outcomes.
- Document adequate staff capacity to manage the project.
- Provide details if a consultant will be hired to complete all or some tasks in the scope of work.

Is easy to read and understand.

- Write in complete sentences.
- Give clear, concise answers to all questions.
- Make sure the application addresses all of the items identified in the evaluation criteria and scoring guide.

Helpful hints

- Include maps, diagrams, and pictures of the project area and display past projects (if any exist).
- Provide documentation to support answers, including citations.

Integrated Floodplain Management

Comprehensive floodplain planning efforts fundamentally intersect a variety of interests and require collaboration between departments, governmental agencies, Tribes, organizations, and the public. Applicants are encouraged to consider an integrated floodplain management approach to floodplain planning, and upload letters of support in the grant application.

Chapter 5: Grant Agreement and Management

Grant Agreement Development

Ecology sends formal notification to applicants whether or not a project is chosen for funding. Projects chosen for funding will receive a grant offer letter with their assigned Ecology Project Manager and Financial Manager. The Ecology Project Manager will contact the Recipient Project Manager and begin the grant negotiation and agreement processes.

The Ecology Project and Financial Managers use information in the grant application as the basis for developing the grant agreement. Grant agreements include a detailed scope of work, measurable objectives, and accurate budgets. If the applicant makes significant changes to the scope of work after the award, Ecology may withdraw or modify a funding offer. If applicable, Ecology will notify other relevant Ecology staff that may be involved in the project.

The Ecology Project Manager is the primary contact for technical assistance and day-to-day questions. The Project Manager ensures compliance with the scope of work; reviews and approves line item costs for eligibility on payment requests. The Project Manager also works with the Financial Manager to resolve payment or eligibility issues if they arise.

The Ecology Financial Manager ensures compliance with the agreement's budget and other agency grant requirements. The Financial Manager may request additional information for staffing plans, the Recipient's overhead or indirect rate, consultant contracts and other agreements, and other budget information.

When the agreement is final, the Recipient signatory signs the agreement. The Recipient sends the agreement back to Ecology for final signature by the Shorelands and Environmental Assistance (SEA) Program Manager or the authorized designee. Ecology will send a fully signed copy of the agreement back to the Recipient, and will also upload a copy in EAGL.

Important Dates and Timelines

The grant agreement must be negotiated and signed by both parties within three (3) months of award notice. The time period can be extended for cause and is subject to Ecology's approval. This is necessary and important because FCAAP grants are funded by the State legislature on a biennial basis. FCAAP funding cannot be extended past the biennial deadline.

The *effective date* of the agreement is the earliest date on which eligible costs may be incurred. Unless explicitly stated by the state legislature in a budget appropriation, the effective date for grants is usually the beginning of the state fiscal year or biennium which occurs July 1, 2021.

The *expiration date* (of an agreement or amendment) is the last date on which costs may be incurred and be considered eligible. To be eligible for reimbursement, work must occur on or before the expiration date of June 30, 2023.

Agreement Management

Recipients may incur project costs within the grant agreement effective start and expiration dates. Recipients may incur eligible costs before the grant agreement is fully signed and as soon as the July 1, 2021 start date of the biennium, but Recipients do so at their own risk. Eligible expenditures cannot be reimbursed until the agreement is fully signed by Ecology's Shorelands and Environmental Assistance Program Manager and the agreement is active in EAGL.

Grant Budget

Recipients are responsible for tracking their grant budget and ensuring they do not exceed the overall grant budget and task budgets. Recipients are also responsible for submitting the amount of match required in order to receive Ecology's grant reimbursement.

Applicants must complete the Budget Task Cost EAGL form in the grant application, which includes both budgets by task and by element. A budget by task shows how much of the grant budget will be distributed in each task scope of work. A budget by element shows how much of the grant budget will be distributed between elements, such as staff salaries and benefits, indirect / overhead, goods and services, equipment rental, and travel. This information helps Ecology evaluate if all costs have been considered by the applicant, and helps track the budget throughout the life of the grant.

Budget Deviations

A ten percent budget deviation is allowed between tasks (e.g., a Recipient may spend less funds on one task and more on another), but in no circumstance may the Recipient exceed the Total Eligible Cost. If the total of all budget deviations exceeds ten percent of the entire project cost, a formal amendment will be required. Recipients should contact their Ecology Project and Financial Managers if they have questions about budget deviations.

Grant Reimbursements

Grant funds are disbursed to Recipients on a cost-reimbursement basis. Recipients must contact the Ecology Project and Financial Managers if they have any questions or concerns. To be eligible for reimbursement, work must occur within the effective start and expiration dates of the grant agreement. All expenditures must have backup documentation. The Ecology Project Manager and Financial Manager may request additional backup documentation for expenditures before approving Payment Requests/Progress Reports (PRPRs).

Payment Requests / Progress Reports (PRPRs)

Recipients are required to submit quarterly Payment Requests/Progress Reports (PRPRs) in EAGL. PRPRs are available for the following quarters: Jan-Mar; Apr-Jun; Jul-Sep; and Oct-Dec. After a Recipient submits a complete PRPR with back-up documentation, Ecology reviews and approves it prior to disbursing the grant reimbursement.

Recipients must submit PRPRs a minimum of once a quarter even if there are no expenditures to report. Progress Reports should include a status update for the scope of work in each task during the reporting period to meet goals as well as any successes, problems, staff changes, and delays that affect the project.

All PRPRs are reviewed by Ecology's Project Manager for eligibility and compliance with the scope of work and deliverables. Both the Project Manager and Financial Manager review the Payment Request and associated deliverables for conformance to the budget and grant requirements.

PRPR's expenditures are itemized for each cost incurred by task. Backup documentation is required for each line item. Backup documentation should be uploaded and appear in the same order as the expenditure line items. Backup documentation must clearly show how the expenditure line item is calculated. If an expenditure line item cost is part of a larger cost, it is the Recipient's responsibility to detail which cost(s) Ecology is reimbursing, and the source of funding for the other costs. Ecology's Financial Manager may require more backup documentation prior to approving the PRPR.

Indirect Rate or Overhead

Recipients may charge an overhead or indirect rate of up to 30 percent of salaries and benefits combined to cover overhead, or indirect rate costs. Indirect costs are defined as administrative costs not directly associated to a particular task of the project, such as: utilities; miscellaneous copying; telephone; insurance; janitorial services; records; storage; general office supplies; or items not directly attributable to the project yet are required to conduct business. Recipients must provide documentation showing how their indirect rate is calculated, and provide a list of indirect costs included in their indirect rate. The indirect rate is negotiated and is stated in the signed grant agreement. Indirect rate charges must be reported as a separate expenditure on payment requests. For more information on the indirect rate, see p. 34 of the ***Administrative Requirements for Recipients of Ecology Grants and Loans (2017 Yellow Book).***[17]

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[17] https://fortress.wa.gov/ecy/publications/SummaryPages/1701004.html

Grant Agreements, Contracts, and Inter-Local Agreements

The following is a list of administrative requirements of the grant agreement, including guidance for hiring consultants, and entering into inter-local agreements with other agencies.

Administrative Requirements. A complete list of the administrative requirements for Ecology grants is in the ***Administrative Requirements for Recipients of Ecology Grants and Loans (2017 Yellow Book)***[18].

Agreement Terms and Conditions. The grant agreement Terms and Conditions are non-negotiable requirements of the grant, whether in statute, regulations, the Administrative Requirements, program guidelines, or the agreement document. The Terms and Conditions will be sent to the Recipient for review prior to finalizing the grant agreement, and appear in the fully signed agreement. Failure to accept the Terms and Conditions, or any attempt to alter them may result in revocation of grant funding.

Consultant Contracts. Recipients must follow the local jurisdiction's procurement policy. If there is no recorded policy, then Recipients must follow the state's procurement policy.

Interlocal Agreements are between entities within local governments (city or county) such as Department of Public Works and Department of Resource Management -   Interlocal agreements must be consistent with the terms of the grant agreement and **Chapter 39.34 RCW, *Inter-local Cooperation Act***.[19]

Interagency Agreements are used between state and state agencies or between state and federal agencies. Federally recognized Tribes, as sovereign governments, use inter-agency agreements with federal or state agencies. For more information, see **Chapter 39.34.080 RCW.**[20]

Procuring Goods and Services. The Recipient is responsible for procuring professional, personal, and other services using sound business judgment and administrative procedures consistent with applicable federal, state, and local laws, orders, regulations, and permits. This includes issuance of invitation of bids, requests for proposals, selection of contractors, award of sub-agreements, and other related procurement matters. The Recipient must follow procurement policies that follow state procurement procedures Chapter 39.26 RCW.

Recipients are required to comply with the terms of the grant agreement, including but not limited to the General Terms and Conditions and the ***Administrative Requirements for***

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[18] https://fortress.wa.gov/ecy/publications/SummaryPages/1701004.html

[19] https://app.leg.wa.gov/rcw/default.aspx?cite=39.34

[20] http://app.leg.wa.gov/RCW/default.aspx?cite=39.34.080

[Recipients of Ecology Grants and Loans (2017 Yellow Book)](link)[21] and these Funding Guidelines.

The Office of Minority and Women Owned Business Enterprises (OMWBE) has established voluntary goals for the participation of minority- and women-owned businesses in procurements made with Ecology funds. Each grant agreement will contain a condition regarding OMWBE. While participation is voluntary, Ecology requires reporting the level of participation on Form D: Contractor Participation Report and submitted with each Payment Request/Progress Report (PRPR).

Travel Costs

Travel costs for mileage, meals, and overnight stays that follow the state travel rate may be eligible for reimbursement upon approval by Ecology. For the current state mileage rate, see the [Office of Financial Management travel website](link).[22]

Light Refreshments

Light refreshment costs for meetings are eligible and must be pre-approved as permitted by Ecology's travel policy. Light refreshments include coffee and any other non-alcoholic beverage, such as tea, soft drinks, juice, or milk and snacks served at a meeting or conference. Check with the Ecology Project Manager for Ecology's Light Refreshment Approval Form. Recipients must submit this form prior to the meeting, and must be approved by the Ecology Project Manager prior to the meeting(s). After the meeting, Recipients must submit the roster of attendees and agenda for **each** meeting to be eligible for reimbursement.

Permits

Recipients must acquire all required local, state, and federal permits for the project and submit digital copies. Permit fees are eligible for grant reimbursement.

Historic and Cultural Resources Requirements

Projects may have the potential to significantly impact culturally or historically significant locations or artifacts. Projects that disturb soils from its natural state or impact buildings 50 years or older must comply with the applicable state or federal laws, such as the **Governor's Executive Order 21-02** and **Section 106 of the National Historic Preservation Act**. If applicable, applicants should address compliance with State and Federal cultural resource protection environments as part of the project work plan. All activities associated with site

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[21] https://fortress.wa.gov/ecy/publications/SummaryPages/1701004.html

[22] https://ofm.wa.gov/accounting/administrative-accounting-resources/travel

assessments for cultural and historic resources are grant eligible. See **Appendix B: Cultural and Historic Resources Review** for additional details on the process to comply with cultural resource protection requirements.

Quality Assurance Project Plan Requirements

If projects involve the collection of environmental data or the analysis of existing data that will generate new results, they may trigger the need for preparation of a Quality Assurance Project Plan (QAPP). Where relevant, applicants should include preparation of this document within the scope of work and budget when completing your application. If you are unsure whether your project requires preparation of a QAPP, please contact your regional Ecology Project Manager and see **Appendix D: Additional Grant Resources**.

Project Signs

For site-specific projects accessible to the public, Recipients must inform the public and affected parties by installing signs acknowledging state funding for the project. Ecology logos are available from Ecology's Project Manager for use on signage.

Education and Outreach

Recipients must submit a final digital copy or a link to educational products developed under the grant, such as brochures, manuals, pamphlets, videos, audio files, curriculum, posters, media announcements and web page links. Ecology logos are available from Ecology's Project Manager for use on publications.

If there are a significant number of people in the community (5 percent or 1,000 people, whichever is less) in the community with Limited English Proficiency (LEP), Recipients must consider translating educational, enforcement, and public outreach materials for those identified populations. Any emergency communications or written notifications must comply with RCW 38.52.070. Recipients should consider including in written materials, a notice advising LEP persons of free language assistance.

Grant Amendments

Modifications and changes to the grant agreement may become necessary. If and when an amendment is needed, the Recipient must submit the proposed changes in writing to the Ecology Project Manager. The Recipient and Ecology's Project and Financial Managers will negotiate changes and document the changes as an amendment to the grant agreement. All proposed project changes are subject to approval by Ecology.

Reasons for amendments may include:

- Budget changes or redistributions between tasks

- Scope of work changes

- Changes to deliverables or project outcomes

- Time extensions

Either the Recipient or Ecology may initiate the amendment process. If Ecology approves the amendment request, the Financial Manager prepares the amendment.

The Recipient signs and emails a copy of the amendment to Ecology. Ecology's SEA Program Manager or designee signs the amendment. Ecology emails a fully signed amendment back to the Recipient, and uploads a copy in EAGL.

Project Site Visits and Post Project Assessments

Ecology's Project Management Team may conduct project site visits to provide technical assistance and verify progress and payment information.

Project Close Out

Recipients have 30 days after the grant agreement expiration date to submit the final Payment Request/Progress Report (PRPR), final grant deliverables, and the Recipient Close Out Report (RCOR) in EAGL.

Please note: Ecology may not approve the final PRPR, including the RCOR, until the final deliverables are submitted and approved by the Ecology Project Manager and Financial Manager.

Appendix A: Scoring Criteria for Planning Projects

The 2021-2023 FCAAP planning project proposals are competitively evaluated. Ecology staff, including technical advisors, will evaluate project proposals based on the information provided in the grant application. Each application will be scored using the following categories and criteria. Each planning project may receive a maximum score of 65 points.

Category 1.0 Project Description and Outcomes

Criteria 1.1 (5 points maximum)

Describe the flood hazard area and flood risk the plan or activity intends to mitigate. Include a map to identify water body names, stream river mile, and section-township-range. Include a description of previous, present, and expected future planning efforts.

Criteria 1.2 (5 points maximum)

Describe the benefits of the planning effort and anticipated outcomes or deliverables, including a new Comprehensive Flood Hazard Management Plan (CFHMP), an updated CFHMP, or a technical study that will lead to a CFHMP. Describe how planning efforts will address flood hazard(s) or mitigate flood damages. Describe how planning efforts will implement specific elements of the new Comprehensive Planning for Flood Hazard Management Guidance and/or meet other planning requirements, such as hazard mitigation planning requirements.

Criteria 1.3 (5 points maximum)

Describe the outreach to and support from local, state, and federal stakeholders. Describe outreach efforts to other stakeholders that have not been involved with the planning efforts in the past. What is your strategy for reaching consensus with potentially affected stakeholders on the elements of the final CFHMP?

The governing state regulations contain the following expectations in WAC 173-145-080(5)[23]:

Where a CFCMP is being developed or has not been initiated, the following will be considered:

(a) Evidence of multijurisdictional cooperation necessary for development of a comprehensive county or multicounty comprehensive flood control management plan (CFCMP);

(d) Other planning efforts undertaken or proposed within the planning jurisdiction and their relationship to flood control management;

(f) Existing and proposed participation of community groups, private industry, professional organizations, the general public, and others toward the development

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[23] https://apps.leg.wa.gov/wac/default.aspx?cite=173-145-080

and implementation of the proposed comprehensive flood control management plan.

Criteria 1.4 (5 points maximum)

Describe how the project benefits salmon recovery, other Endangered Species Act-listed species, public health, or the environment.

Category 2.0 Underserved Communities

Criteria 2.1 (20 points maximum)

Describe benefits to overburdened or underserved communities in flood risk areas.

Overburdened communities are defined as "communities that experience disproportionate environmental harms and risks due to exposures, greater vulnerability to environmental hazards, or cumulative impacts from multiple stressors." (Washington State Environmental Justice Task Force Report, 2020)[24]

a. Provide a narrative and supporting documentation how underserved or overburdened communities in the floodplain area are currently supported.

b. Do you currently have resources to manage the floodplain, i.e., staff and workload capacity or available funds? Explain.

c. Will the planning process serve communities where flood risks intersect with poverty, or other economic or underserved community measurements?

d. Describe how you identified your underserved or overburdened communities. Also describe the outreach process you used to connect with those communities.

e. Include quantitative data and references to the data sources. Upload any supporting documentation below.

Below are a few examples of mapping resources that show where underserved communities are located, and how they are impacted. We encourage you to use the mapping resources below to help describe how the project will benefit underserved communities.

- Senate Bill 5141 - Healthy Environment for All (HEAL) Act[25]
- Washington Environmental Health Disparities Map[26]
  Washington State Employment Security Dept. Distressed Areas Map[27]

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[24] https://healthequity.wa.gov/Portals/9/Doc/Publications/Reports/EJTF%20Report_FINAL(1).pdf

[25] http://lawfilesext.leg.wa.gov/biennium/2021-22/Pdf/Bills/Session%20Laws/Senate/5141-S2.SL.pdf?q=20210521101530

[26]
https://www.doh.wa.gov/DataandStatisticalReports/WashingtonTrackingNetworkWTN/InformationbyLocation/WashingtonEnvironmentalHealthDisparitiesMap

[27] https://esd.wa.gov/labormarketinfo/distressed-areas

- [Washington State Environmental Justice Task Force Final Report (2020)](...)[28]
- [US Environmental Protection Agency Environmental Justice Screen](...)[29]

Category 3.0 Regulations and Requirements

Criteria 3.1 (5 points maximum)

Describe local, state, federal, and other laws and requirements that will have an impact on the planning work (e.g. National Flood Insurance Program requirements).

Category 4.0 Schedule and Readiness to Proceed

Criteria 4.1 (3 points maximum)

Describe the project schedule, including project milestones, and when the milestones will be completed. Give more details in the grant proposal, if this is part of a bigger project.

Criteria 4.2 (4 points maximum)

Describe the readiness to proceed with scope of work as soon as funding is awarded. Describe the deliverables that will be completed by the grant expiration date of June 30, 2023. If the project will not be complete by June 20, 2023, will you be applying for additional funding in the next grant round? Explain.

Criteria 4.3 (3 points maximum)

Describe the ability and capacity to manage and complete the scope of work with current staff, project partners, or hired consultant(s).

Category 5.0 Budget

Criteria 5.1 (5 points maximum)

Provide a detailed budget, including reasonable cost estimates for the scope and size of the proposed effort. Include all the important elements of the project or study.

Criteria 5.2 (5 points maximum)

Describe how the required 25 percent match funding will be secured, the source(s) of match, or whether the match funds are not yet secured (e.g. waiting to see if another grant comes through).

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[28] https://healthequity.wa.gov/Portals/9/Doc/Publications/Reports/EJTF%20Report_FINAL(1).pdf
[29] https://www.epa.gov/ejscreen

Appendix B: Cultural and Historic Resources Review

This guidance provides information for projects funded by Ecology to meet Executive Order 21-02 and Section 106 of the National Historic Preservation Act requirements.

Please note that the cultural resources review process is for government-to-government communication. Requirements of this process will not be met until Ecology has provided information to the Tribes and the Washington State Department of Archaeology and Historic Preservation (DAHP) about project activity.

Recipients must comply with all cultural resources review requirements prior to implementing any project that involves **modification to cultural or historic resources or ground disturbing activities**.

Federal and state laws and rules require the funding agency (Ecology) to contact DAHP and affected Tribes regarding the proposed project activities. Any prior communication between the Recipient, the DAHP, and the Tribes is not sufficient to meet requirements.

Another agency's cultural resources may be used to meet Ecology's requirements. To do this, Recipients should submit the review documents to Ecology's Project Manager for review and approval.

Any actions that result in **modification to cultural or historic resources or ground disturbing activities** that occur prior to the completion of the cultural resources review process **will not** be eligible for reimbursement. Activities associated with cultural resources review are grant eligible subject to available funding. Any mitigation measures as an outcome of the process will be requirements of the agreement. **Note:** Modification to cultural or historic resources or ground disturbing activities **can include removal or modification to above ground resources such as culturally modified trees and petroglyphs.**

Section 106 versus Executive Order 21-02

If your project has a Federal partner (Corps, NOAA, etc.) and is using Federal funds or will implement Federal actions and decisions, the Federal partner will be the lead on Cultural Resource review and will complete the Section 106 process of the National Historic Preservation Act. Ecology has delegated authority over ensuring Section 106 compliance when Recipients apply for grants under the FCAAP grant program.

Note: The Federal partner and the Section 106 process supersedes Governor's Executive Order 21-02 process described below.

If your project has no Federal Partner, is not using Federal funds and will not implement Federal actions, then Cultural Resource review will be conducted by your Ecology Project Manager and

will utilize the Governor's Executive Order 21-02 process as it is required for all state funded capital projects. Ecology is the lead for ensuring the Governor's Executive Order 21-02 compliance.

This process and reviews described above must be followed even if the Recipient has been working with Tribes on the project.

The Recipient must complete Ecology's Cultural Resources Project Review form (or conduct a site specific survey). A site specific survey is only required for areas where there is a high sensitivity and potential to discover cultural resources. If the project will alter a building that is 50 years or older, the Recipient must still complete an EZ-2 Form available from the DAHP website.

The EZ-2 form and Survey Coversheet can be downloaded from [DAHP's website](https://dahp.wa.gov).[30] [Ecology's Cultural Resources Project Review form](https://fortress.wa.gov/ecy/publications/SummaryPages/ECY070537.html)[31] can be downloaded from Ecology's website.
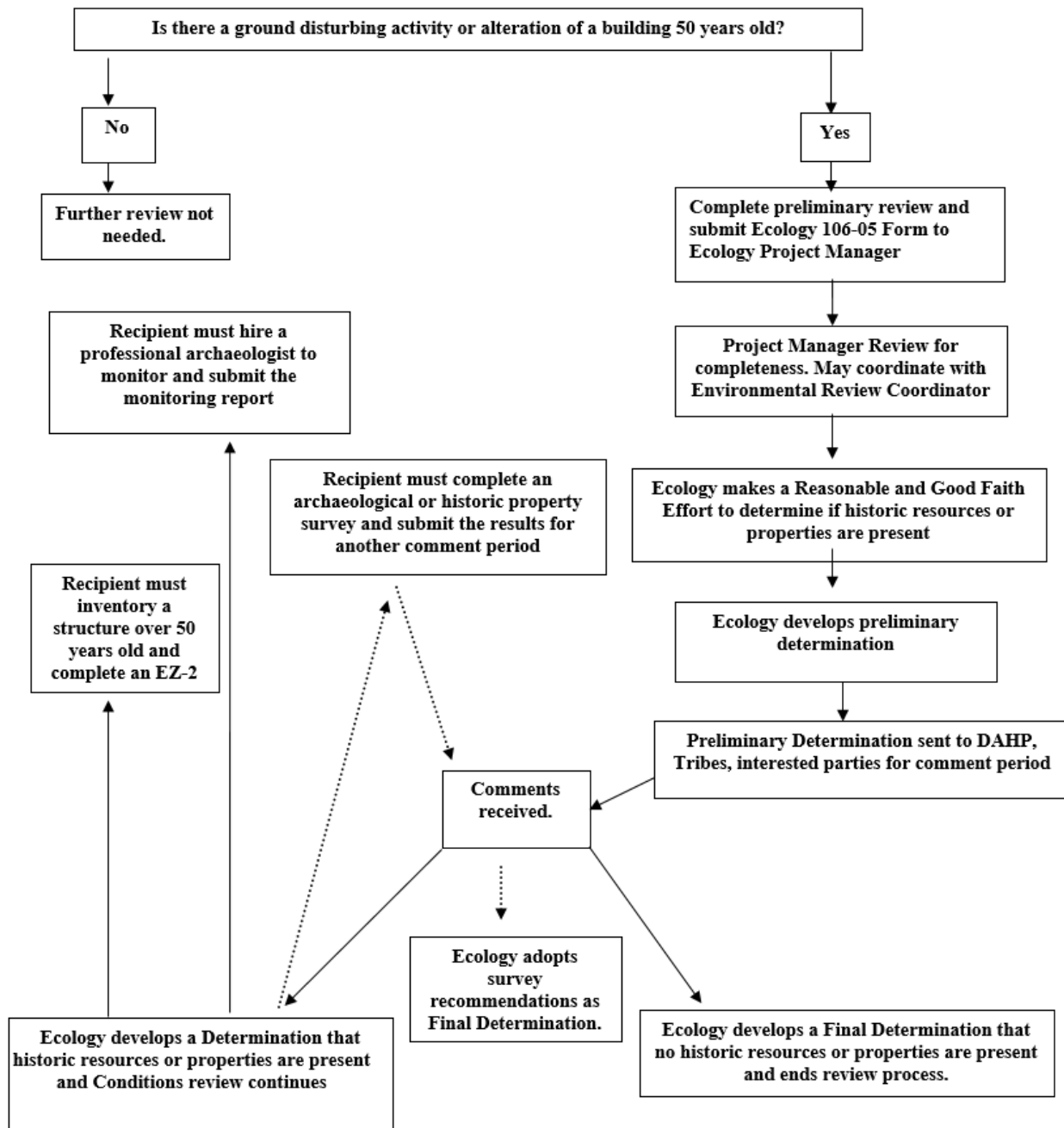
1) The Recipient must create an Inadvertent Discovery Plan (IDP). An IDP does not need to be site-specific, however it can be a general procedure for all projects implemented by the organization. The **IDP must be distributed and reviewed by all participating parties prior to any on-the-ground work so they are fully informed of the appropriate procedures.**

2) The Recipient must send an electronic version of Ecology's Cultural Resources Project Review form and/or the EZ-2 Form, any tribal communication, and identify the potentially interested Tribes to Ecology's Project Manager.

3) Ecology will initiate formal cultural resources consultation using the completed Ecology CR review form, EZ-2 and/or any surveys, to affected Tribes, and DAHP. The Tribes have an approximate 30-day comment period to initiate a more in-depth discussion about the project, submit any comments, or make an effect determination on the project. After the 30-day comment period, if there has not been a determination of impact by a Tribe, DAHP, or other interested party, Ecology will make an initial determination and send out a formal letter to the above parties. The Ecology Project Manager will let the Recipient Project Manager know when the project may proceed as planned.

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[30] https://dahp.wa.gov
[31] https://fortress.wa.gov/ecy/publications/SummaryPages/ECY070537.html

The flowchart below outlines the CR review process and provides additional information.

Is there a ground disturbing activity or alteration of a building 50 years old?

No

Further review not needed.

Yes

Complete preliminary review and submit Ecology 106-05 Form to Ecology Project Manager

Project Manager Review for completeness. May coordinate with Environmental Review Coordinator

Ecology makes a Reasonable and Good Faith Effort to determine if historic resources or properties are present

Ecology develops preliminary determination

Preliminary Determination sent to DAHP, Tribes, interested parties for comment period

Comments received.

Recipient must hire a professional archaeologist to monitor and submit the monitoring report

Recipient must complete an archaeological or historic property survey and submit the results for another comment period

Recipient must inventory a structure over 50 years old and complete an EZ-2

Ecology adopts survey recommendations as Final Determination.

Ecology develops a Determination that historic resources or properties are present and Conditions review continues

Ecology develops a Final Determination that no historic resources or properties are present and ends review process.

Ecology's Cultural Resources Review Process

Frequently Asked Question: Can Ecology "adopt" another agency's Section 106 review, or 21-02 review?

- For Section 106 Adoption:

    o The answer is *yes*, if your project is state funded.

    o Ecology can "adopt" Section 106 for state-funded projects that would normally go through the 21-02 cultural resource review process. Ecology has a review in place to verify the Section 106 documents are applicable. Please contact your Project Manager to verify a review can be adopted.

    o If your project involves federal funds, Ecology may still use another agency's documents when making its Preliminary and Final Determinations, which helps speed up cultural resource review.

- For Executive Order 21-02 Adoption:

    o The answer is *yes*, if your project is state funded.

    o Ecology can adopt another state agency's 21-02 process to meet cultural resources review requirements. Please contact your Project Manager to verify a review can be adopted.

    o The answer is no if your project is federally funded. However, Ecology may still use another agency's documents when making its Preliminary and Final Determinations, which helps speed up cultural resource review.

Correspondence: Ecology is responsible, as the funding agency, for contacting the Washington State Department of Archaeology and Historic Preservation (DAHP), Tribes, and other interested parties to meet cultural resource review requirements.

Modification to Cultural or Historic Resources or Ground Disturbing Activities:
This refers to any work that impacts the soil or ground from its current conditions. There is no threshold for this criterion. If the activity requires any work that goes below the surface of the ground, it requires a cultural resources review.

Area of Potential Effect: The Area of Potential Effect (APE) is the maximum geographic area where your project could potentially have an effect on historic properties, if any are present. The APE will vary with the type of project. To determine the APE you must know the nature and full extent of your project. For example, the APE for a natural gas pipeline might include not only the actual pipeline trench, but also includes the construction right-of-way, compressor

stations, meter stations, staging areas, storage yards, access roads, and other ancillary facilities. The APE for a construction project will include the construction site, but might also include the buildings in a downtown area adjacent to the construction where vibrations may cause foundations to crack.

Changes to Project Design or Project Area: If there are any changes made to the project area or design after cultural resources review has been completed, review will have to be reinitiated or amended in order to capture the changes. For geo-tech work that occurs in the planning or design phases, ensuring your cultural review is completed early can not only help identify the appropriate locations from a subsurface perspective, you can obtain valuable input early in the planning process about sensitive locations. A simple amendment to your documents in the construction phase will complete your cultural resource compliance, and generally will present no issues, as DAHP and the Tribes will already be familiar with your project.

Eligibility

- All activities associated with cultural resources review are grant and loan eligible.

- Construction or BMP implementation that occurs prior to cultural resources review will not be eligible for reimbursement.

For questions, contact the Ecology Project Manager.

Appendix C: Grant Agreement Definitions

Administrative Requirements refers to the *[Administrative Requirements for Recipients of Ecology Grants and Loans (2017 Yellow Book)](#).*[32] The Yellow Book provides instructions, explanations, requirements, definitions, and includes details on agreement language, costs, budgets, financial management, procurement, contracting, property management, closeout, and record keeping.

(Consultant) Contract is a signed contract between the Recipient and a hired contractor to complete the project scope of work. Recipients must follow the local jurisdiction's procurement policy. If there is no recorded policy, then Recipients must follow the state's procurement policy.

Effective Dates are the start and end dates of the grant which eligible costs may be incurred.

Funding Guidelines are Ecology's grant program guidelines that correlate to the biennium in which the project is funded.

Interagency Agreements are used between state and state agencies or between state and federal agencies. Federally recognized Tribes, as sovereign governments, use inter-agency agreements with federal or state agencies. For more information, see **[Chapter 39.34.080 RCW](#)**.[33]

Interlocal Agreements are between entities within local governments (city or county) such as Department of Public Works and Department of Resource Management -   Interlocal agreements must be consistent with the terms of the grant agreement and **[Chapter 39.34 RCW, *Inter-local Cooperation Act](#)*.[34]

Project means the project described in this agreement.

Project Schedule means that schedule for the project specified in the agreement.

Scope of Work means the tasks and activities constituting the project.

Termination Date means the effective date of Ecology's termination of the agreement.

Total Eligible Cost is the sum of all costs associated with the FCAAP project that have been determined to be eligible for Ecology grant funding. Total Eligible Cost includes Ecology's grant share and the required Recipient's match.

Total Project Cost or **Total Cost** is the sum of all costs associated with the FCAAP project, including the Total Eligible Cost, costs *eligible* but not funded by the FCAAP grant, and costs *not eligible* for funding by the FCAAP grant.

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[32] https://fortress.wa.gov/ecy/publications/SummaryPages/1701004.html
[33] http://app.leg.wa.gov/RCW/default.aspx?cite=39.34.080
[34] https://app.leg.wa.gov/rcw/default.aspx?cite=39.34

Appendix D: Additional Grant Resources

[Administrative Requirements for Recipients of Ecology Grants & Loans (2017 Yellow Book)](#).[35]
The Yellow Book establishes the administrative requirements for Recipients of all Ecology grants and loans, including the 2021-2023 FCAAP grant agreements. Topics include financial management, expenditure and income reporting, contracting, and record retention.

Comprehensive Planning for Flood Hazard Management Guidebook. This Guidebook provides information about the required elements of the planning process and plan, as well as optional elements that a community may choose to undertake (e.g. pursuing higher regulatory standards than the base National Flood Insurance Program). FCAAP applicants are strongly encouraged to review the guidebook prior to commencing planning efforts. See the [FCAAP website](#)[36] for a link to Guidebook.

[EAGL External Users' Manual](#) [37] for guidance using Ecology's EAGL online grant and loan system.

[Ecology's Grants and Loans Resources website](#) [38] for general Ecology grant and loans guidance, including EAGL training tools and resources.

Environmental Data. If grant and loan projects involve collecting and monitoring environmental data, Recipients may be required to create Quality Assurance Project Plans (QAPPs) and enter information in Ecology's Environmental Information Management (EIM) database per Ecology's standards. Recipients are responsible for ensuring the QAPP and EIM processes are complete if applicable. Grant reimbursement may be withheld if these requirements are necessary and incomplete.

- **Quality Assurance Project Plan (QAPP)**. If grant projects involve *collecting* environmental data, Recipients are required to create QAPPs per Ecology's standards. For more information, see [Ecology's QAPP guidance for grantees website](#).[39]

- **Environmental Information Management (EIM)**. If grant projects involve environmental *monitoring* data, Recipients are required to submit data in the EIM online database per Ecology's standards. For more information, see [Ecology's EIM website](#).[40]

[FCAAP website](#) [41] for more information about Ecology's FCAAP grant program.

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[35] https://fortress.wa.gov/ecy/publications/SummaryPages/1701004.html

[36] https://ecology.wa.gov/About-us/How-we-operate/Grants-loans/Find-a-grant-or-loan/Flood-control-assistance

[37] https://fortress.wa.gov/ecy/publications/SummaryPages/1701015.html

[38] https://ecology.wa.gov/About-us/How-we-operate/Grants-loans/Grant-loan-guidance

[39] https://ecology.wa.gov/About-us/How-we-operate/Scientific-services/Quality-assurance/Quality-assurance-for-NEP-grantees

[40] https://ecology.wa.gov/Research-Data/Data-resources/Environmental-Information-Management-database

[41] https://ecology.wa.gov/About-us/How-we-operate/Grants-loans/Find-a-grant-or-loan/Flood-control-assistance