

DEPARTMENT OF HOMELAND SECURITY  
Federal Emergency Management Agency

**RESIDENTIAL BASEMENT FLOODPROOFING CERTIFICATE**

OMB Control Number: 1660-0033  
Expiration: 11/30/2016

PAPERWORK BURDEN DISCLOSURE NOTICE

Public reporting burden for this data collection is estimated to average 3.25 hours per response. The burden estimate includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and submitting this Residential Basement Floodproofing Certificate. You are not required to respond to this collection of information unless a valid OMB control number is displayed in the upper right corner of this Residential Basement Floodproofing Certificate. Send comments regarding the accuracy of the burden estimate and any suggestions for reducing the burden to: Information Collections Management, Department of Homeland Security, Federal Emergency Management Agency, 500 C Street, SW, Washington, DC 20472, Paperwork Reduction Project (1660-0033).

**NOTE: Do not send your completed form to this address.**

**Privacy Act Statement**

**AUTHORITY**

National Flood Insurance Act of 1968, as amended (42 U.S.C. § 4001 et seq.).

**PRINCIPAL PURPOSE(S)**

This information is being collected for two primary purposes. First, for community use in documenting compliance with floodplain management ordinances, where records are maintained by the community. Second, for flood insurance purposes of estimating the risk premium rates necessary to provide flood insurance for new or substantially improved structures in designated Special Flood Hazard Areas. Records are located at the facility that underwrites and administers the policy (Write Your Own (WYO) companies or the Federal Emergency Management Agency's (FEMA) National Flood Insurance Program (NFIP) Direct).

**ROUTINE USE(S)**

When this form is maintained by FEMA and is used in conjunction with the application and maintenance of a flood insurance policy, the information requested on this form may be shared externally as a "routine use" to authorized WYO companies receiving transferred policies, to assist the Department of Homeland Security (DHS)/FEMA in estimating the risk premium rates necessary to provide flood insurance for new or substantially improved structures in designated Special Flood Hazard Areas. A complete list of the routine uses can be found in the system of records notice associated with this form, "DHS/FEMA-003 - National Flood Insurance Program Files 79 Fed. Reg. 28,747 (May 19, 2014); and upon written request, written consent, by agreement, or as required by law. The Department's full list of system of records notices can be found on the Department's website at <http://www.dhs.gov/system-records-notices-sorns>.

**DISCLOSURE**

The disclosure of information on this form is voluntary; however, failure to provide the information requested may result in the inability to obtain flood insurance through the National Flood Insurance Program, or the building being subject to higher premium rates for flood insurance. Information will only be released as permitted by law.

## RESIDENTIAL BASEMENT FLOODPROOFING CERTIFICATE

BUILDING OWNER'S NAME <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<b>FOR INSURANCE COMPANY USE</b>
	POLICY NUMBER <div style="border: 1px solid black; height: 20px; width: 100%;"></div>

BUILDING STREET ADDRESS <i>(Including Apt., Unit Number)</i> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	COMPANY NAIC NUMBER <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
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OTHER DESCRIPTION *(Lot and Block Numbers, etc.)*

CITY <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	STATE <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	ZIP CODE <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
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**SECTION I - FLOOD INSURANCE RATE MAP (FIRM) INFORMATION**  
 Provide the following from the FIRM and flood profile *(from Flood Insurance Study)*

COMMUNITY NUMBER	PANEL NUMBER	SUFFIX	DATE OF FIRM	ZONE	BASE FLOOD ELEVATION <small>(In AO Zones, Use depth)</small>	NAME OF FLOODING SOURCE(S) AFFECTING BUILDING
<div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<div style="border: 1px solid black; height: 20px; width: 100%;"></div>

Indicate elevation datum used for Base Flood Elevation shown above:  NGVD 1929  NAVD 1988  Other/Source: \_\_\_\_\_

**SECTION II - FLOODPROOFED ELEVATION CERTIFICATION** *(By a Registered Professional Land Surveyor, Engineer, or Architect)*

All elevations must be based on finished construction.

**Floodproofing Elevation Information for Zones A1-30, AE, AH, AO:**

Building is floodproofed to an elevation of \_\_\_\_\_ feet. (In Puerto Rico only: \_\_\_\_\_ meters.)  
*(Elevation datum used must be the same as that on the FIRM.)*

Elevation of the top of the basement floor is \_\_\_\_\_ feet. (In Puerto Rico only: \_\_\_\_\_ meters.)

Lowest adjacent (finished) grade next to the building (LAG): \_\_\_\_\_ feet. (In Puerto Rico only: \_\_\_\_\_ meters.)

Highest adjacent (finished) grade next to the building (HAG): \_\_\_\_\_ feet. (In Puerto Rico only: \_\_\_\_\_ meters.)

Indicate elevation datum used for Section II:  NGVD 1929  NAVD 1988  Other/Source: \_\_\_\_\_

(NOTE: For insurance rating purposes, the building's floodproofed elevation must be at least 1 foot above the Base Flood Elevation to receive rating credit. If the building is floodproofed only to the Base Flood Elevation, then the building's insurance rating will result in a higher premium.)

Section II certification is to be signed and sealed by a land surveyor, engineer, or architect authorized by law to certify elevation information.

*I certify that the information in Section II on this Certificate represents a true and accurate interpretation and determination by the undersigned using the available information and data. I understand that any false statement may be punishable by fine or imprisonment under 18 U.S. Code, Section 1001.*

CERTIFIER'S NAME <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	LICENSE NUMBER <i>(or affix Seal)</i> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>			Place Seal Here
TITLE <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	COMPANY NAME <div style="border: 1px solid black; height: 20px; width: 100%;"></div>			
ADDRESS <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	CITY <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	STATE <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	ZIP CODE <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	
SIGNATURE <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	PHONE NO. <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	DATE <div style="border: 1px solid black; height: 20px; width: 100%;"></div>		

## RESIDENTIAL BASEMENT FLOODPROOFING CERTIFICATE cont.

BUILDING STREET ADDRESS <i>(Including Apt., Unit Number)</i>

CITY	STATE	ZIP CODE

### SECTION III - FLOODPROOFING CERTIFICATION *(By a Registered Professional Engineer or Architect)*

#### Residential Floodproofed Basement Construction Certification:

I certify the structure, based upon development and/or review of the design, specifications, as-built drawings for construction and physical inspection, has been designed and constructed in accordance with the accepted standards of practice (ASCE 24-05, ASCE 24-14, or their equivalent) and any alterations also meet those standards and the following provisions.

- \* Basement area, together with attendant utilities and sanitary facilities, is watertight to the floodproofing design elevation with walls that are impermeable to the passage of water without human intervention; and
- \* Basement walls and floor are capable of resisting hydrostatic and hydrodynamic loads and the effects of buoyancy resulting from flooding to the floodproofing design elevation; and have been designed so that minimal damage will occur from floods that exceed the floodproofing design elevation; and
- \* Building design, including the floodproofing design elevation, complies with community requirements; and
- \* Soil or fill adjacent to the structure is compacted and protected against erosion and local scour (in accordance with ASCE 24).

I certify that the information in Section III on this certificate represents a true and accurate determination by the undersigned using the available information and data. I understand that any false statement may be punishable by fine or imprisonment under 18 U.S. Code, Section 1001.

CERTIFIER'S NAME	LICENSE NUMBER <i>(or affix Seal)</i>			Place Seal Here
TITLE	COMPANY NAME			
ADDRESS	CITY	STATE	ZIP CODE	
SIGNATURE	PHONE NO.	DATE		

Copies of this certificate must be given to: 1) the community official: 2) the insurance agent: and 3) the building owner.

## RESIDENTIAL BASEMENT FLOODPROOFING CERTIFICATE cont.

### Instructions for Completing the Residential Basement Floodproofing Certificate

To receive credit for floodproofing, a completed Residential Basement Floodproofing Certificate is required for residential buildings with basements in Regular Program communities, located in zones A1 -A30, AE, AR, AR Dual, AO, AH, and A with BFE.

The communities must have been specifically approved and authorized by FEMA to receive residential basement floodproofing rating credit. Approved communities are listed in the Special Certifications section of the NFIP Flood Insurance Manual, available on the FEMA website at <https://www.fema.gov/flood-insurance-manual>.

When applying for flood insurance, the following information must be provided with the completed Residential Basement Floodproofing Certificate:

- The Flood Insurance Application
- At least two photographs of the building.