



**Military Division, State of Idaho  
Idaho Bureau of Homeland Security**



**Hazard Mitigation Assistance  
Grant Programs  
Administrative Plan**

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**Updated: June 1, 2011**

**Programs Covered:**  
Hazard Mitigation Grant Program (HMGP) for 1987-DR-ID  
Pre Disaster Mitigation (PDM) Grant Program  
Flood Mitigation Assistance (FMA) Program  
Repetitive Flood Claim (RFC) Program  
Severe Repetitive Loss (SRL) Program

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**Security Instructions/Record of Interim Changes/Record of Revision**

- I. The long title of this document is "State of Idaho, Bureau of Homeland Security, Hazard Mitigation Assistance Grant Programs Administrative Plan, Calendar Year 2011." The short title is the "BHS 2011 HMA Administrative Plan."
- II. This BHS 2011 HMA Administrative Plan consists of a basic plan and appendices. All personnel and/or organizations tasked by this plan will ensure that necessary action is taken to safeguard any operational information contained within this plan and its appendices.

III. All changes should be posted to this plan as they are received and recorded below:

IV.	Change Number	Date of Change	Date Posted	Posted By
	Sec. IV.C, VIII.A, XIII	June 3, 2011	June 9, 2011	Alicia Martin-Cowger

V. All revisions of this plan will be recorded below to document the date revised, by whom, and the version and date of the plan it replaces:

Date Revised	Remarks

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# HAZARD MITIGATION ASSISTANCE GRANT PROGRAM ADMINISTRATIVE PLAN

**CY 2011**

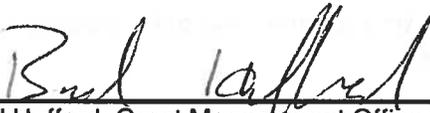
This plan sets forth the organization, staffing, and procedures for administration of the Hazard Mitigation Assistance Programs in the State of Idaho. This plan is intended to meet the requirements of 44CFR.



6-27-11

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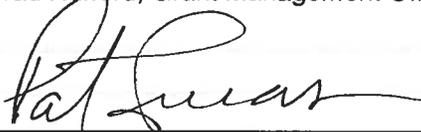
David P. Jackson, State Hazard Mitigation Officer, Idaho Bureau of Homeland Security



6-28-11

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Brad Hufford, Grant Management Office Chief, Idaho Bureau of Homeland Security



6-28-11

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Pat Lucas, SCO, Preparedness and Protection Branch Chief, Idaho Bureau of Homeland Security



6-29-11

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Bill Shawver, Brigadier General, Director, Idaho Bureau of Homeland Security

June 27, 2011

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Date

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## I. INTRODUCTION

### A. Programs Covered

*Hazard Mitigation Grant Programs Administrative Plan, June 2011* (herein referred to as the Administrative Plan) establishes the guidance, rules, and procedures used by the Idaho Bureau of Homeland Security (BHS) to administer the following mitigation grant programs funded by the Department of Homeland Security, Federal Emergency Management Agency (hereafter referred to as FEMA):

- Hazard Mitigation Grant Program (HMGP), authorized under Section 404 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1988, as amended (42 USC 5170c), and 44 CFR Subpart N. CDFA 97.039
- Pre-Disaster Mitigation (PDM) program, authorized under Section 203 of the Stafford Act (42 USC 5133). CDFA 97.047
- Flood Mitigation Assistance (FMA) program, authorized under Section 1366 of the National Flood Insurance Act of 1968, as amended (42 USC 4104c), and 44 CFR Subpart 78 (for programs which opened before December 3, 2007) and Subpart 79 (for programs which open on or after December 3, 2007). CDFA 97.029
- Repetitive Flood Claims (RFC) program, authorized under Section 1323 of the National Flood Insurance Act of 1968, as amended (42 USC 4030), and 44 CFR Subpart 78 (for programs which opened before December 3, 2007) and Subpart 79 (for programs which open on or after December 3, 2007). CDFA 97.092
- Severe Repetitive Loss (SRL) program, authorized under Section 1361A of the National Flood Insurance Act of 1968, as amended (42 USC 4102a), and 44 CFR Subpart 79. CDFA 97.110

At this time, no loss or anticipation of loss eligible under RFC or SRL is expected.

This Administrative Plan meets the requirements of 44 CFR Part 206.437.

### B. Purpose of Document

The intent of the mitigation grant programs is to reduce the risk of future damage, hardship, loss, or suffering as a result of major disasters by providing financial

support to implement cost-effective hazard mitigation measures to eligible sub-applicants around the state. In addition, the purpose of the flood-related mitigation programs is to reduce or eliminate claims under the National Flood Insurance Program. Mitigation measures should be identified as part of the mitigation planning process of state and local governments, required as a condition of receiving federal disaster assistance.

The Hazard Mitigation Grant Programs Administrative Plan provides the procedures and processes for administration of grant programs through Idaho Bureau of Homeland Security.

### **C. Eligible Sub-Applicants**

Eligible sub-applicants include agencies of state government, local governments (city, town or county), special purpose districts, Indian tribes, and certain registered private nonprofit organizations with like-government services and critical facilities. *For the PDM and three flood-related programs, non-profit organizations are ineligible to apply directly and must be sponsored by an eligible local government (city, town, or county).*

To be eligible to apply to the State of Idaho Bureau of Homeland Security for a project grant from any of the mitigation grant programs, sub-applicants (also called sub-grantees) must demonstrate a commitment to mitigation by:

- Applied for and received a free DUNS number from Dun & Bradstreet by calling the toll-free number **1-866-705-5711**.
- Be participating and in good standing in the National Flood Insurance Program (NFIP), or its successors OR located in such a community.

*The only exception to this requirement is for jurisdictions that seek grant funding to develop a new hazard mitigation plan under 44 CFR Part 201. These sub-applicants will be required to join NFIP as part of a hazard mitigation planning grant award and prior to receiving FEMA approval of their plan. This requirement pertains to jurisdictions with authority over land use and includes cities, towns, and counties, and to federally recognized Indian Tribes.*

- Have a FEMA-approved hazard mitigation plan developed under 44 CFR Part 201 prior to the award of funds under the Hazard Mitigation Grant Program (HMGP).
- Have a FEMA-approved hazard mitigation plan developed under 44 CFR Part 201 prior to close of the application period for the Pre-Disaster

Mitigation (PDM), Flood Mitigation Assistance (FMA), Repetitive Flood Claims (RFC) programs.

- Implementing the building code currently adopted by the State of Idaho.
- Having and enforcing land-use policies regulating construction in hazardous areas.
- Agreeing to establish the minimum first-floor elevation for new or remodeled structures in special flood hazard areas to be two feet above the base flood elevation.

For the flood mitigation programs, only communities as defined in 44 CFR Part 78.2(b) / Part 79.2(c) are eligible to apply; they also must meet the other state criteria.

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## II. AUTHORITIES AND REFERENCES

### Federal

- Public Law 93-288, as amended, *Robert T. Stafford Disaster Relief and Emergency Assistance Act*
- Public Law 93-234, as amended, *Flood Disaster Protection Act of 1973*
- FEMA Regulations at 44 CFR Part 9, *Floodplain Management*
- FEMA Regulations at 44 CFR Part 10, *National Environmental Policy Act*
- FEMA Regulations at 44 CFR Part 13, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.*
- FEMA Regulations at 44 CFR Part 206, Subparts M and N
- Executive Order 11988, *Floodplain Management*
- Executive Order 11990, *Protection of Wetlands*
- Executive Order 12612, *Federalism*
- Executive Order 12699, *Seismic Safety of Federal and Federally Assisted or Regulated New Building Construction*
- *Hazard Mitigation Assistance (HMA) Unified Guidance*

### State

- Title 46, Chapter 10, Idaho Code, et seq., *Disaster Preparedness Act of 1975, as amended*
- *Governor's Executive Order 2006-10*
- State of Idaho All-Hazard Mitigation Plan, *November 2010*
- Idaho Emergency Operations Plan, *January 2009*

## III. DEFINITIONS

**Applicant** – Idaho Bureau of Homeland Security (BHS)

**Sub-Applicant** – Any State agency, local government, eligible private non-profit organization, special district, or Indian tribal organization submitting a grant application under the Hazard Mitigation Grant Program, the Pre-Disaster Mitigation Grant Program, and the Flood Mitigation Assistance Grant Program.

**Application** – The initial request to be submitted to FEMA by the State for Hazard Mitigation Grant Program (Section 404) funding, as outlined in 44 CFR 206.436; for Pre-Disaster Mitigation Grant Program funding, as outlined in

section 203, 42 U.S.C 5133; and Flood Mitigation Assistance Program funding, as outlined in section 1366, 42 U.S.C. 4104 (c).

**Sub-Grant Application** – Any application requesting HMGP, PDM, and FMA grant funding submitted by a sub-applicant to FEMA through BHS.

**CFR** - Code of Federal Regulations. Contains FEMA regulations for Hazard Mitigation Planning, Hazard Mitigation Grant Program, National Environmental Policy Act compliance, and administration of grants.

**Federal Hazard Mitigation Officer (FHMO)** - A FEMA employee who is responsible for representing the agency for each declaration in carrying out the overall responsibilities for hazard mitigation, including coordinating post-disaster hazard mitigation actions with other agencies of government at all levels.

**Grant** - An award of financial assistance under the Hazard Mitigation Grant, the Pre-Disaster Mitigation Grant, and the Flood Mitigation Grant programs. Under HMGP, the total State grant award will be up to fifteen percent of the estimated total eligible Federal share of all approved projects (excluding any associated administrative costs) under Section 404. The non-Federal share of PDM and FMA grant awards are the responsibility of the sub-grantee; the State provides no share for these programs.

**Grantee** - The government to which a grant is awarded and which is accountable for use of the funds provided. The grantee is the entire legal entity even if only a particular component of the entity is designated in the grant award document. For purposes of this plan, the State is the grantee.

**Governor's Authorized Representative (GAR)** - The individual selected by the Governor to represent him/her in ongoing State disaster/emergency preparedness, response, and hazard mitigation activities. The Governor's Authorized Representative has signature authority to obligate funds.

**Hazard Mitigation Survey Team (HMST) or Interagency Hazard Mitigation Team (IHMT)** - A FEMA/State survey team activated following disasters to identify immediate opportunities and issues to be addressed in the Hazard Mitigation Plan Annex.

**HMGP Administrator** - The person responsible for monitoring projects under supervision of the State Hazard Mitigation Officer. This may include project management and administering funds to ensure that all categories meet program and administrative requirements.

**Letter of Intent** – a non-binding indication of interest in a grant program.

**Project** - Any mitigation measure, project or action proposed to reduce risk of future damage, hardship, loss or suffering from disasters.

**State Coordinating Officer (SCO)** - The person appointed by the Governor who is the primary point of contact with the Federal Coordinating Officer and who administers disaster recovery efforts.

**State Hazard Mitigation Plan** - The plan that identifies threats and risks within the State from natural hazards and that defines mitigation strategies and opportunities to reduce the threat to people.

**State Hazard Mitigation Program** –An ongoing program involving a coordinated effort of State agencies to reduce the threat to people, property, infrastructure, and the environment from natural hazards. During and following periods of presidentially declared disasters, this program will include activities required under Section 404 of the Stafford Act

**State Hazard Mitigation Officer (SHMO)** - A staff position in the Bureau of Homeland Security responsible for managing mitigation programs with state, local, and federal participation. For each presidentially declared disaster, the State must appoint a State Hazard Mitigation Officer or designee as the representative of State government who serves on and coordinates the Interagency Hazard Mitigation Team and who is the primary point of contact with FEMA, other agencies, and local units of government in the planning and implementation of post-disaster mitigation activities. This specifically includes project management, administering funds, and ensuring that all categories meet program and administrative requirements.

**State Hazard Mitigation Team** - The team of individuals representing state and federal agencies with hazard mitigation missions, programs, or interests. Team members are designated to assist with hazard mitigation activities related to both Sections 404 and 406 of the Stafford Act and to ongoing activities of the State Hazard Mitigation Program

**Sub-grantee** - The entity to which the State awards grant funds and which is accountable to the grantee for the use of the funds provided. Sub-grantees can be a state agency, city, county, intergovernmental organization, private non-profit organization, or Indian Tribe.

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## **IV. RESPONSIBILITIES**

### **A. State Government**

The Idaho Bureau of Homeland Security (BHS) administers the mitigation grant programs defined in this document. The State Hazard Mitigation Program Manager / State Hazard Mitigation Officer is the individual within the Bureau responsible for administering these programs.

In administering the mitigation grant programs, BHS staff will:

- 1) Develop and/or distribute grant guidance, funding criteria, and application forms.
  - a) BHS may limit eligibility for sub-applicants. For HMGP, first-round sub-applicants will be limited to those counties identified in Presidential Declaration DR-1987-ID.
  - b) For HMGP, BHS may limit the number of applications allowed per eligible sub-applicant and the maximum project budget/grant award based on the projected funding available for the disaster. BHS will also establish criteria for ranking and prioritizing HMGP applications.
  - c) For other mitigation programs, FEMA will publish the maximum federal grant award in annual program guidance.
  
- 2) For HMGP: Make recommendations to the Bureau Director on the scope of the program for the Governor's request for federal assistance - Presidential disaster declaration. This may include:
  - a) State-wide or county-specific application of the HMGP.
  - b) A list of communities, jurisdictions, and agencies with an approved local hazard mitigation plan.
  - c) A list of communities, jurisdictions, and agencies with a local hazard mitigation plan under development, under review, and pending approval.
  - d) A review of the entities in the disaster-impacted areas that have approved plans and those that may not have approved plans at the time of the event.
  - e) Solicit qualified mitigation planning or project proposals from eligible sub-applicants.
  - f) Provide technical assistance to eligible sub-applicants as resources permit. This may include sub-applicant briefings on program specific issues, application development and/or benefit cost training and technical support, engineering to support project development, site visits to validate potential mitigation measures, and review of draft applications prior to formal submittal of program applications.

- g) Prioritize projects for funding: convene, as needed, the Mitigation Grant Review Committee to review, evaluate, prioritize and recommend projects for funding.
- 3) PDM and FMA – BHS staff review applications for compliance with published program guidance and prioritize as necessary using established criteria (Tab Q).
  - a) A list of communities, jurisdictions, and agencies with an approved local hazard mitigation plan.
  - b) A list of communities, jurisdictions, and agencies with a local hazard mitigation plan under development, under review, and anticipating approval by FEMA prior to application deadline.
  - c) Solicit qualified mitigation planning or project proposals from eligible sub-applicants.
  - d) Provide technical assistance to eligible sub-applicants as resources permit. This may include sub-applicant briefings on program specific issues, application development and/or benefit cost training and technical support, engineering to support project development, site visits to validate potential mitigation measures, and review of draft applications prior to formal submittal of program applications.
  - e) Prioritize projects for funding: Convene, as needed, the Mitigation Grant Review Committee to review, evaluate, prioritize and recommend projects for funding.
- 4) Forward funding recommendations to FEMA for final approval.
- 5) Withdraw projects from consideration, if necessary.
- 6) Develop grant agreements, formally notify successful grant/sub-grant applicants and administer distribution of funds to sub-applicants.
- 7) Submit quarterly and final reports to FEMA.
- 8) Monitor Sub-grantee performance
- 9) Conduct final project inspection and arrange for a final engineering inspection, as necessary.

## **B. Sub-Applicant / Sub-grantee**

Representatives of the sub-applicant are responsible for:

- 1) Identifying potential mitigation projects.
- 2) Assign an Applicant Agent for HMGP application or Point of Contact for PDM and FMA sub-applicants to serve as the application point of contact with the authority to sign the necessary grant agreement papers on behalf of the sub-applicant.
- 3) Establishing local priorities, submitting Letters of Intent, and applications to the state for funding consideration.

- 4) Providing information necessary to comply with the National Environmental Policy Act (NEPA) and to support FEMA in its environmental and historic preservation analysis.
- 5) Providing information and data that will enable the state to:
  - a) Conduct benefit to cost analysis (note: sub-applicant may prepare its own cost-benefit analysis using FEMA-approved methodology and software modules).
  - b) Conduct floodplain management reviews.
  - c) Provide supporting documentation for FEMA's review of potential environmental, historic, or archaeological impacts.
- 6) Submitting invoice vouchers with appropriate documentation for reimbursement.
- 7) Submitting quarterly and final reports to BHS.
- 8) Assisting with performance reviews and project inspection by BHS staff.

As part of the project identification process, sub-applicants are required to have developed and adopted a FEMA-approved local hazard mitigation plan that meets the criteria of 44 CFR Part 201.6 (local governments, special districts, etc.) or Part 201.7 (Indian Tribes). This plan must identify the hazards, risks, and vulnerabilities of each eligible community. Proposed solutions, both short-term and long-term, also must be a part of the hazard mitigation plan.

The Chief Executive Officer of the sub-applicant, or the appropriate legislative body, must designate an Applicant Agent specific to the individual mitigation grant program. The Applicant Agent represents the sub-applicant to arrange for work, monitor and evaluate work completed, and provide all required documentation to BHS. The Applicant Agent must have authority to sign on behalf of the Applicant, such as legally binding the Applicant in the grant agreement.

### **C. Federal Government**

The Administrator of FEMA Region X will review the Bureau's recommendations for funding mitigation planning initiatives and mitigation projects. FEMA has the final approval authority for grant awards for all plans and projects. FEMA is responsible for preparing environmental review documents on the submitted projects to comply with the National Environmental Policy Act (NEPA). FEMA may require the State to incur costs for significant EHP compliance reviews.

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## **V. FUNDING OF ELIGIBLE PROJECTS**

Funding for the mitigation grant programs varies: for HMGP, the funding level is dependent on the total cost of the federally declared disaster; and for PDM, FMA, RFC, and SRL programs, it is by annual Congressional appropriation.

### **A. HMGP**

#### **1) Federal**

FEMA Region X approved Idaho's standard all-hazard mitigation plan on November 1, 2010. As of this date, and for the following three years, the maximum amount of HMGP funding for each disaster will be set at 15 percent of the federal expenditures for the disaster, under all categories of the Public Assistance and the Individual Assistance programs, less administrative costs.

Only upon formal notification by FEMA that a sub-grantee's application and funding documents have been approved, will BHS develop a grant agreement and obligation of federal funds for a specific planning initiative or mitigation project for the sub-grantee.

#### **2) Applicant/State/BHS**

For the HMGP, the State's share of the project costs is established in the FEMA-State Agreement signed by the Governor. The State's share of project costs is set at least 15 percent of the approved project costs for sub-applicants. These funds come from the Governor's Disaster Emergency Account. At the Governor's discretion, the State's share of the total project cost may be set anywhere between 15 percent and the entire non-federal share of 25 percent.

BHS provides grant funding to sub-grantees on a reimbursement basis for all hazard mitigation grants. Prior to the disbursement of any awarded funds, BHS and the sub-applicant will execute a grant agreement outlining agreed-upon costs, reimbursements, scope of work, and estimated completion schedules. The Bureau develops grant agreements following project approval and receipt of funding documents from FEMA. BHS will hold back 10 percent of the federal share of the approved project to be released upon documentation that the project has been successfully completed in accordance with the grant agreement.

For all grants, BHS maintains a grant agreement folder that contains a copy of the mitigation program application, a copy of the grant agreement and applicable contracting documents, funding documents, any amendments or changes, quarterly performance progress reports,

(requests for reimbursement) with supporting documentation, and any correspondence pertinent to the project. The grant agreement will establish the period of performance for each grant as well as established benchmarks (Tab M). BHS will utilize the sub-applicant's quarterly performance progress report as the primary method of monitoring sub-applicant performance during the grant performance period, but also may make site visits as necessary.

### 3) Sub-Applicant

The sub-applicant's required share of the project costs under the HMGP program will not exceed 10 percent as per Idaho State Code 46-1008. The sub-applicant may contribute more than 10 percent of the total project cost at their discretion.

The sub-applicant's share of the project costs may be composed of sub-applicant-generated revenue and private sector resources (loans, etc.). In some situations, other state grant funds and Community Development Block Grant funds can be used as part of the local match, as long as not precluded by law.

Sub-applicant contributions also can be in the form of documented in-kind services, pursuant to 44CFR Part 13.24. Volunteer labor and materials, actual in-house labor and equipment costs, are some of the types of in-kind services that may be considered as part of the sub-applicant share. In addition, donations from a third party, i.e. neither the State nor the sub-applicant, may be included in the sub-applicant's share, such as cash donations, building materials, and donations of time and labor.

Documentation required for in-kind contributions includes

- a record of donor
- dates of donation
- rates for staffing, equipment or usage, supplies, etc.
- amounts of donation
- deposit slips for cash contributions

## **B. PDM**

### 1) Federal

FEMA Region X approved Idaho's standard all-hazard mitigation plan on November 1, 2010. As of this date, and for the following three years, the amount of PDM funding available for hazard mitigation projects will be determined annually by Congress.

Only upon formal notification by FEMA that a sub-grantee's application and funding documents have been approved, will BHS develop a grant agreement and obligation of federal funds for a specific planning initiative or mitigation project for the sub-grantee.

2) Applicant/State/BHS

For the PDM, FMA, RFC and SRL, the entire non-federal share is a local responsibility; no state funds are provided. However, BHS does have the ability to provide technical assistance and conceptual engineering to mitigation projects funded by these programs.

BHS provides grant funding to sub-grantees on a reimbursement basis for all hazard mitigation grants. Prior to the disbursement of any awarded funds, BHS and the sub-applicant will execute a grant agreement outlining agreed-upon costs, reimbursements, scope of work, and estimated completion schedules. The Bureau develops grant agreements following project approval and receipt of funding documents from FEMA. BHS will hold back 10 percent of the federal share of the approved project to be released upon documentation that the project has been successfully completed in accordance with the grant agreement.

For all grants, BHS maintains a grant agreement folder that contains a copy of the mitigation program application, a copy of the grant agreement and applicable contracting documents, funding documents, any amendments or changes, quarterly performance progress reports, (requests for reimbursement) with supporting documentation, and any correspondence pertinent to the project. The grant agreement will establish the period of performance for each grant as well as established benchmarks (Tab M). BHS will utilize the sub-applicant's quarterly performance progress report as the primary method of monitoring sub-applicant performance during the grant performance period, but also may make site visits as necessary.

3) Sub-Applicant

The sub-applicant is responsible for the entire non-federal share of project costs for the hazard mitigation programs (PDM, FMA, RFC, SRL). Additional information and match requirements for these programs can be found in FEMA's annual Hazard Mitigation Assistance (HMA) grant program guidance.

The sub-applicant's share of the project costs may be composed of sub-applicant-generated revenue and private sector resources (loans, etc.). In some situations, other state grant funds and Community Development

Block Grant funds can be used as part of the local match, as long as not precluded by law.

In general, the sub-applicant's share may not be met using funds from other Federal agencies, with the following exceptions

- U.S. Department of Housing and Urban Development (HUD) Community Development Block Grant (CDBG) funds
- Department of the Interior Bureau of Indian Affairs funds
- Funds provided by Title III of the Secure Rural Schools and Community Self-Determination Act of 2000
- Department of Health and Human Services Indian Health Service funds
- U.S. Department of Agriculture (USDA) Farm Service Agency loans and U.S. Small Business Administration (SBA) loans

Increased Cost of Compliance (ICC) claim payments issued by the NFIP as a result of a flood event may also be used for the non-Federal share, as long as the claim is made within the timeframes allowed by the NFIP. ICC claim payments may only be used for costs that are eligible for ICC benefits. It is important to note that Federal funds may not be used when ICC funds are available. If ICC payments exceed the non-Federal share, the Federal award will be reduced by that amount. Instructions for assigning ICC coverage to the non-Federal share can be found at <http://www.fema.gov/business/nfip/iccdmw.shtm>.

Sub-applicant contributions also can be in the form of documented in-kind services. Volunteer labor and materials, actual in-house labor and equipment costs, are some of the types of in-kind services that may be considered as part of the sub-applicant share. In addition, donations from a third party, i.e. neither the State nor the sub-applicant, may be included in the sub-applicant's share, such as cash donations, building materials, and donations of time and labor.

Documentation required for in-kind contributions includes

- a record of donor
- dates of donation
- rates for staffing, equipment or usage, supplies, etc.
- amounts of donation
- deposit slips for cash contributions

**C. FMA**

1) Federal

FEMA Region X approved Idaho's standard all-hazard mitigation plan on November 1, 2010. As of this date, and for the following three years, the amount of FMA funding available for flood mitigation projects will be determined annually by Congress.

Only upon formal notification by FEMA that a sub-grantee's application and funding documents have been approved, will BHS develop a grant agreement and obligation of federal funds for a specific planning initiative or mitigation project for the sub-grantee.

2) Applicant/State/BHS

For the PDM, FMA, RFC and SRL, the entire non-federal share is a local responsibility; no state funds are provided.

BHS provides grant funding to sub-grantees on a reimbursement basis for all hazard mitigation grants. Prior to the disbursement of any awarded funds, BHS and the sub-applicant will execute a grant agreement outlining agreed-upon costs, reimbursements, scope of work, and estimated completion schedules. The Bureau develops grant agreements following project approval and receipt of funding documents from FEMA. BHS will hold back 10 percent of the federal share of the approved project to be released upon documentation that the project has been successfully completed in accordance with the grant agreement.

For all grants, BHS maintains a grant agreement folder that contains a copy of the mitigation program application, a copy of the grant agreement and applicable contracting documents, funding documents, any amendments or changes, quarterly performance progress reports, (requests for reimbursement) with supporting documentation, and any correspondence pertinent to the project. The grant agreement will establish the period of performance for each grant as well as established benchmarks (Tab M). BHS will utilize the sub-applicant's quarterly performance progress report as the primary method of monitoring sub-applicant performance during the grant performance period, but also may make site visits as necessary.

3) Sub-Applicant

The sub-applicant is responsible for the entire non-federal share of project costs for the other hazard mitigation programs (PDM, FMA, RFC, SRL). Additional information and match requirements for these programs can be

found in FEMA's annual Hazard Mitigation Assistance (HMA) grant program guidance.

The sub-applicant's share of the project costs may be composed of sub-applicant-generated revenue and private sector resources (loans, etc.). In some situations, other state grant funds and Community Development Block Grant funds can be used as part of the local match, as long as not precluded by law.

In general, the sub-applicant's share may not be met using funds from other Federal agencies, with the following exceptions

- U.S. Department of Housing and Urban Development (HUD) Community Development Block Grant (CDBG) funds
- Department of the Interior Bureau of Indian Affairs funds
- Funds provided by Title III of the Secure Rural Schools and Community Self-Determination Act of 2000
- Department of Health and Human Services Indian Health Service funds
- U.S. Department of Agriculture (USDA) Farm Service Agency loans and U.S. Small Business Administration (SBA) loans

Increased Cost of Compliance (ICC) claim payments issued by the NFIP as a result of a flood event may also be used for the non-Federal share, as long as the claim is made within the timeframes allowed by the NFIP. ICC claim payments may only be used for costs that are eligible for ICC benefits. It is important to note that Federal funds may not be used when ICC funds are available. If ICC payments exceed the non-Federal share, the Federal award will be reduced by that amount. Instructions for assigning ICC coverage to the non-Federal share can be found at <http://www.fema.gov/business/nfip/iccdmw.shtm>.

For the remainder of the sub-applicant share, contributions also can be in the form of documented in-kind services. Volunteer labor and materials, actual in-house labor and equipment costs, are some of the types of in-kind services that may be considered as part of the sub-applicant share. In addition, donations from a third party, i.e. neither the State nor the sub-applicant, may be included in the sub-applicant's share, such as cash donations, building materials, and donations of time and labor. It is important to note that FMA requires a minimum cash match for half of the non-Federal share or 12.5% for most projects. The cash match may be in the form of cash or checks from homeowners, sub-applicants, or the State paying for part of the project's expenses, but may also include "hidden" forms of cash such as salaries and benefits paid from the sub-applicant's General Fund, equipment rentals, and compensation deferred by homeowners for the acquisition of property.

Documentation required for in-kind contributions includes

- a record of donor
- dates of donation
- rates for staffing, equipment or usage, supplies, etc.
- amounts of donation
- deposit slips for cash contributions

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## **VI. GRANT MANAGEMENT**

The state's financial system enables tracking funds by disaster for HMGP and by grant cycle for PDM and FMA, as well as tracking the non-federal cost share not provided by the state. The accounting structure is established in STARS to track expenditures by disaster. The expenditure codes are set up unique to the particular disaster addressed. Within STARS are sub-object codes which are used as identifiers to the specific nature of the expenditure. The state's STARS accounting system can account for both state match as well as local (in-kind) match with distinct accounting transaction codes.

### **A. HMGP**

In accordance with 44 CFR Part 207, effective for major disaster declarations declared after November 13, 2007, BHS can request FEMA to provide a grant equal to 4.89 percent of the federal share of the estimated eligible programs costs for administration of the Hazard Mitigation Grant Program. The grant is awarded after the Bureau provides adequate documentation to FEMA, which supports the costs and activities for which the funding will be used. Management costs are defined in Part 207.2 as "... any indirect costs, administrative expenses, and any other expenses not directly chargeable to a specific project that are reasonably incurred by a grantee or sub-grantee in administering and managing the ... HMGP grant award."

These grant funds will partially reimburse BHS for its costs to support activities to administer and manage the HMGP. Examples of eligible direct costs include regular time, overtime, and fringe benefits incurred for staff while supporting HMGP. It also includes reasonable costs for goods, services, travel, per diem, and lodging incurred in support of this program. Eligible indirect costs include utilities, rent, pooled photocopying, and IT services.

BHS will not pass through any administration/indirect funding to sub-grantees for their costs associated with the administration and management of their approved planning initiatives and mitigation projects.

The sub-grantee must maintain documentation on all expenses and meet the audit requirements of its HMGP grant. The sub-grantee is not required to provide copies of the receipts to BHS. Back-up documentation will be validated during monitoring visits by grantee.

#### **1. Determination of Management Cost Funding**

Between 30 and 35 days after the declaration date, FEMA will provide BHS with the preliminary lock-in amount for management costs based on

projections at that time of the federal share for the disaster. Contingent upon FEMA's approval of the State's HMGP Administration Plan and the submission of a project sub-grant application, the State will request that FEMA obligate management cost funding. FEMA will obligate 25 percent of the estimated lock-in amount at this time.

- a) At 6 months after the date of declaration, FEMA will revise the preliminary lock-in amount for management costs based on the projections at that time of the federal share for the disaster.
- b) At 12 months after the date of declaration, FEMA will determine the final lock-in amount for management costs based on the projections at that time of the federal share for the disaster.

## 2. Procedures for Requesting Management Cost Funding

- a) In accordance, with 44 CFR 207.7, following notification by FEMA of the preliminary lock-in amount and within 120 days from the declaration date, BHS will submit a HMGP project narrative that describes the activities, projected personnel requirements, sub-grantee allowance, and other costs related to the management of the program for that disaster. Documentation to support the management activities, sub-grantee allowance and associated costs will include:
  - (1) The Bureau's plan for expending and monitoring the funds and ensuring sufficient funds are budgeted for grant closeout; and
  - (2) An estimate of the percentage of pass-through funds that BHS will make available to sub-grantees and the basis for determining the sub-grantee percentage.
- b) FEMA will approve or reject the HMGP project narrative on management costs within 30 days of its receipt.
- c) If FEMA rejects the initial narrative, it will provide BHS with reasons for the denial. BHS will then have 30 days to submit a revised narrative for consideration and approval.
- d) At 6 months after the declaration date, BHS may request an additional obligation of 10 percent of the management cost funds, based on the revised 6-month preliminary lock-in amount. This request for additional funds will include documentation to support the request and must be approved by FEMA's Chief Financial Officer.
- e) At 12 months after the declaration date, FEMA will notify the BHS of the final lock-in amount. BHS will submit a final funding request, based upon the final lock-in amount, to the FEMA Regional Administrator. The final funding request will include any necessary revisions to the required supporting documentation. FEMA will obligate the remaining funds upon approval of the final request.

3. Quarterly Performance Progress Reports

BHS will provide quarterly performance progress reports on actual expenses of HMGP management costs following approval and funding of the initial HMGP project narrative. Sub-grantees will report actual expenses of its HMGP management costs on its quarterly performance progress report to BHS.

4. Performance Period

The performance period for the HMGP management costs will be 8 years from the date of disaster declaration, or 180 days following the last performance period date of a sub-grantee project, whichever is sooner.

**B. Other Mitigation Programs (PDM, FMA, RFC, SRL)**

For the PDM, FMA, RFC, and SRL programs, sub-applicants can include project management costs, up to 5 percent of the total project costs, as part of the project budget in their grant application. FEMA makes funds available only upon approval of the application.

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## **VII. PROJECT ELIGIBILITY REQUIREMENTS**

### **A. Federal Criteria**

In addition to the federal requirements (See 44 CFR Part 206.434) a project must:

1. Solve the problem it is intended to address;
2. Be located in a community participating in good standing in the National Flood Insurance Program;
3. Meet all applicable federal, state, and local permit requirements, and not contribute to or encourage development in the floodplain, wetlands, or other hazardous areas, and support environmental justice (Federal Executive Orders 11988, 11990 and 12898); and
4. Be cost effective in that it:
  - a. Addresses a problem that has been repetitive or that poses a significant risk if left unsolved.
  - b. Will not cost more than the anticipated value of the reduction in both damages and subsequent negative impacts to the area, if future disasters were to occur (demonstrate a benefit to cost ratio of 1:1 or greater).
  - c. Has been determined to be the most practical, effective, and environmentally sound alternative after consideration of a range of options.
  - d. must solve a problem independently or constitute a functional portion of a solution.
  - e. Considers long-term changes to the areas and entities it protects, and has manageable future maintenance and modification requirements.

### **B. State Criteria**

In addition to the above criteria, a project also must support the hazard mitigation goals and objectives in the State of Idaho All-Hazard Mitigation Plan as well as the appropriate local mitigation plan. Specifically, these projects should:

1. Support the goals and objectives of the community's adopted/approved local hazard mitigation plan.
2. Protect lives and reduce public risk.
3. Reduce the level of disaster vulnerability in existing structures.
4. Solve a problem independently, or function as a beneficial part of an overall solution with assurance that the whole project will be completed.
5. Provide a long-term mitigation solution.
6. Upon completion, have affordable operation and maintenance costs.

Projects should also meet the following goals and objectives of the All-Hazard Mitigation Plan as appropriate and relevant to the nature of the project:

1. Reduce the number of vulnerable structures through acquisition, relocation, flood proofing, or seismic retrofitting.
2. Avoid inappropriate future development in areas known to be vulnerable to future disasters.
3. Provide a cooperative, inter-jurisdictional solution to reduce future disaster damage.
4. Address emerging hazard damage issues such as urban storm water, trees in power right of ways, new earthquake faults, etc.
5. Restore or protect natural resources, recreation, open spaces, and other environmental values.
6. Develop and implement comprehensive programs, standards, and regulations that reduce disaster damage.
7. Increase public awareness of natural hazards, preventive measures, and emergency responses to disasters.

Eligible jurisdictions that are not yet participating in the National Flood Insurance Program will be required to join NFIP as part of a hazard mitigation planning grant award. They must join before BHS submits the local hazard mitigation plan to FEMA for review and approval. Eligible jurisdictions are those with authority over land use and include cities, towns, counties, and federally recognized Indian Tribes.

## VIII. SOLICITATION OF APPLICATIONS

### A. HMGP

For the initial application period for DR-1987-ID, applications will be open to all eligible jurisdictions statewide. Briefings will be held in the counties impacted by DR-1987-ID: Bonner, Clearwater, Idaho, Nez Perce, and Shoshone, and in the Nez Perce Tribe. Notifications of these briefings will be sent to all cities and counties affected by the declared disaster. Briefings may also be held regionally as needed.

While each of the mitigation programs has a different funding mechanism, the basic process to solicit applications is the same.

Following a Presidential Declaration of a major disaster in the State of Idaho, the State Hazard Mitigation Program Manager / State Hazard Mitigation Officer will publicize the HMGP and inform potential sub-applicants of the availability of mitigation grant funding in a variety of ways.

At a minimum, BHS staff will provide information on the HMGP during Public Assistance program sub-applicant briefings, and send information via email to local Emergency Management offices statewide, participants in the Public Assistance program, Idaho Association of Counties, Association of Idaho Cities, State Agency Liaisons, Indian Tribes, and other interested parties and eligible sub-applicants. These briefings will include:

- General program overview
- Eligibility requirements
- The application process
- The selection process
- Compliance issues: NEPA, permits, Executive Orders, Hazardous Materials
- Project management
- Technical assistance for project identification and development

BHS staff also distribute information at all mitigation training and briefings, and will post information on the Bureau's web page. At their discretion, the BHS and FEMA may issue a joint press release describing the program may be issued.

Information disseminated about HMGP will include basic program information and requirements, "Letter of Intent" (LOI) (Tab G) for mitigation planning initiatives and projects, program timeline and application deadlines, and a point of contact for further information. After BHS

analyzes Letters of Intent it receives, it will send full application packages to eligible sub-applicants with potentially eligible applications.

Depending upon the scope of the disaster and projected amount of available funds, BHS may limit the number of applications each eligible sub-applicant can submit, and limit the size of each planning initiative and project. BHS will share this information with potential sub-applicants as early as its announcement of HMGP availability, but no later than the date at which it provides applications to potential sub-applicants.

## **B. PDM / FMA**

While each of the mitigation programs has a different funding mechanism, the basic process to solicit applications is the same.

The State Hazard Mitigation Program Manager / State Hazard Mitigation Officer will publicize the PDM / FMA and inform potential sub-applicants of the availability of mitigation grant funding in a variety of ways.

At a minimum, BHS staff will provide information on the PDM / FMA and send information via email to local Emergency Management offices statewide, county commissioners, mayors of eligible cities, State Agency Liaisons, Indian Tribes, and other interested parties and eligible sub-applicants. These briefings will include:

- General program overview
- Eligibility requirements
- The application process
- The selection process
- Compliance issues: NEPA, permits, Executive Orders, Hazardous Materials
- Project management
- Technical assistance for project identification and development

BHS staff also distribute information at all mitigation training and briefings, and will post information on the Bureau's web page. At their discretion, the BHS and FEMA may issue a joint press release describing the program.

Information disseminated about PDM / FMA will include basic program information and requirements, "Letter of Intent" (LOI) (Tab G) for mitigation planning initiatives and projects, program timeline and application deadlines, and a point of contact for further information. After BHS analyzes Letters of Intent it receives, it will send full application packages to eligible sub-applicants with potentially eligible applications.

BHS will notify communities of the availability of PDM / FMA grant funds. Upon receipt from FEMA of the Notice of Funding Availability, BHS will use a Letter of Intent process similar to that used for HMGP. Notification typically will be via e-mail through the local Emergency Management agencies, County Commission, the Association of Cities, and the Association of Counties, and to other eligible sub-applicants, as well as posting information on the Bureau's web page. BHS will base LOI and final application deadlines upon the dates that the state must submit its application materials to FEMA. Application for these programs (PDM, FMA, RFC, SRL) will be through FEMA's Internet-based *e-Grants* system.

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## **IX. PROJECT IDENTIFICATION**

### **A. HMGP**

In addition to the project application process outlined above, the State Hazard Mitigation Program Manager / State Hazard Mitigation Officer in coordination with the Federal Hazard Mitigation Officer may identify and encourage appropriate mitigation projects through the following processes:

1. Briefing Preliminary Damage Assessment survey teams on the Hazard Mitigation Grant Program and enlist their help in identifying potential mitigation projects and issues.
2. Briefing the Public Assistance Project Worksheet Teams that will complete inspections of damaged facilities so that they may identify projects.
3. Reviewing unfunded grant applications from prior declared disasters, activities, or state priorities.
4. Reviewing existing mitigation reports, local hazard mitigation plans from declared jurisdictions.
5. The Governor's Authorized Representative may also activate the State Hazard Mitigation Team to evaluate the hazards, make recommendations and identify potential projects.

### **B. PDM**

In addition to the project application process outlined above, the State Hazard Mitigation Program Manager / State Hazard Mitigation Officer may identify and encourage appropriate mitigation projects through the following processes:

1. Reviewing unfunded grant applications from prior declared disasters, activities, or state priorities.
2. Reviewing existing mitigation reports, local hazard mitigation plans from declared jurisdictions.

**C. FMA**

In addition to the project application process outlined above, the State Hazard Mitigation Program Manager / State Hazard Mitigation Officer may identify and encourage appropriate mitigation projects through the following processes:

1. Reviewing unfunded grant applications from prior declared disasters, activities, or state priorities.
2. Reviewing existing mitigation reports, local hazard mitigation plans from declared jurisdictions.

## X. PROJECT CRITERIA

### A. HMGP

In addition to meeting the state and federal criteria, HMGP project applications must document the following. Applications that do not have these items will be **INELIGIBLE** for funding consideration.

1. Development of at least three (3) viable alternatives, one of which may be a “No Action” alternative. Under the National Environmental Policy Act, FEMA requires that the three alternatives be fully developed and documented. The sub-applicant must find the Proposed Action alternative (the recommended project) as the most practical, effective, and environmentally sound alternative after considering a range of options.
2. Have appropriate public involvement in the selection of the alternatives, including involvement of the individuals that may be affected by the project. These individuals should have a germane interest or involvement in the mitigation project.
3. Be in conformance with the state and local multi-hazard mitigation plans.
4. Have a beneficial impact upon the designated disaster area, whether or not located in the designated area;
5. Be in conformance with 44 CFR part 9, Floodplain Management and Protection of Wetlands, and 44 CFR part 10, Environmental Considerations;
6. Solve a problem independently or constitute a functional portion of a solution where there is assurance that the project as a whole will be completed. Projects that merely identify or analyze hazards or problems are not eligible;
7. Be cost-effective and substantially reduce the risk of future damage, hardship, loss, or suffering resulting from a major disaster. The grantee must demonstrate this by documenting that the project:
  - a. Addresses a problem that has been repetitive, or a problem that poses a significant risk to public health and safety if left unsolved,

- b. Will not cost more than the anticipated value of the reduction in both direct damages and subsequent negative impacts to the area if future disasters were to occur (minimum BCA ratio 1:1). Both costs and benefits will be computed on a net present value basis,
- c. Has been determined to be the most practical, effective, and environmentally sound alternative after consideration of a range of options,
- d. Provides a long-term solution to the problem it is intended to address,
- e. Considers long-term changes to the areas and entities it protects, and has manageable future maintenance and modification requirements.

Annual program guidance describes how project alternatives are to be developed.

## **B. PDM**

In addition to meeting the state and federal criteria, PDM project applications must document the following. Applications that do not have these items will be **INELIGIBLE** for funding consideration.

1. Development of at least three (3) viable alternatives, one of which may be a “No Action” alternative. Under the National Environmental Policy Act, FEMA requires that the three alternatives be fully developed and documented. The sub-applicant must find the Proposed Action alternative (the recommended project) as the most practical, effective, and environmentally sound alternative after considering a range of options.
2. Appropriate public involvement in the selection of alternatives of individuals with an interest in the mitigation project must be documented.
3. Be in conformance with the state and local multi-hazard mitigation plans.
4. Be in conformance with 44 CFR part 9, Floodplain Management and Protection of Wetlands, and 44 CFR part 10, Environmental Considerations;

5. Solve a problem independently or constitute a functional portion of a solution where there is assurance that the project as a whole will be completed. Projects that merely identify or analyze hazards or problems are not eligible;
6. Be cost-effective and substantially reduce the risk of future damage, hardship, loss, or suffering resulting from a major disaster. The grantee must demonstrate this by documenting that the project:
  - a. Addresses a problem that has been repetitive, or a problem that poses a significant risk to public health and safety if left unsolved,
  - b. Will not cost more than the anticipated value of the reduction in both direct damages and subsequent negative impacts to the area if future disasters were to occur (minimum BCA ratio 1:1). Both costs and benefits will be computed on a net present value basis,
  - c. Has been determined to be the most practical, effective, and environmentally sound alternative after consideration of a range of options,
  - d. Provides a long-term solution to the problem it is intended to address,
  - e. Considers long-term changes to the areas and entities it protects, and has manageable future maintenance and modification requirements.

Annual program guidance describes how project alternatives are to be developed.

### **C. FMA**

In addition to meeting the state and federal criteria, FMA project applications must document the following. Applications that do not have these items will be **INELIGIBLE** for funding consideration.

1. Development of at least three (3) viable alternatives, one of which may be a “No Action” alternative. Under the National Environmental Policy Act, FEMA requires that the three alternatives be fully developed and documented. The sub-applicant must find the Proposed Action alternative (the recommended project) as the

most practical, effective, and environmentally sound alternative after considering a range of options.

2. Appropriate public involvement in the selection of alternatives of individuals with an interest in the mitigation project must be documented.
3. Be in conformance with the state and local multi-hazard mitigation plans.
4. Be in conformance with 44 CFR part 9, Floodplain Management and Protection of Wetlands, and 44 CFR part 10, Environmental Considerations;
5. Solve a problem independently or constitute a functional portion of a solution where there is assurance that the project as a whole will be completed. Projects that merely identify or analyze hazards or problems are not eligible;
6. Be cost-effective and substantially reduce the risk of future damage, hardship, loss, or suffering resulting from a major disaster. The grantee must demonstrate this by documenting that the project:
  - a. Addresses a problem that has been repetitive, or a problem that poses a significant risk to public health and safety if left unsolved,
  - b. Will not cost more than the anticipated value of the reduction in both direct damages and subsequent negative impacts to the area if future disasters were to occur (minimum BCA ratio 1:1). Both costs and benefits will be computed on a net present value basis,
  - c. Has been determined to be the most practical, effective, and environmentally sound alternative after consideration of a range of options,
  - d. Provides a long-term solution to the problem it is intended to address,
  - e. Considers long-term changes to the areas and entities it protects, and has manageable future maintenance and modification requirements.

Annual program guidance describes how project alternatives are to be developed.

7. Sub-applicant jurisdictions must participate and be in good standing with the National Flood Insurance Program (NFIP).
8. 50% of project benefits must be for properties currently insured by NFIP.
9. Project properties must be insured by NFIP at the time of the application and throughout the course of the activity.

*2010 HMA Unified Guidance, Part III, C.3, p. 60.*

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## **XI. Types of Projects**

There are significant differences in funding methods and criteria between grant programs. HMGP funds are established with consideration given to damage estimates due to a declared disaster. PDM and FMA funds have Federal funding limits that are capped.

### **A. HMGP Mitigation Projects**

In accordance with 44 CFR 206.434, projects may be of any nature that will result in protection to public or private property. Eligible projects include, but are not limited to:

- Structural hazard control or protection projects;
- Construction activities that will result in protection from hazards;
- Retrofitting of facilities;
- Property acquisition or relocation, as defined in 44 CFR. 206.434(d);
- Development of State or local mitigation plans and standards;
- Development of comprehensive hazard mitigation programs with implementation as an essential component;
- Public education and outreach activities associated with a hazard mitigation project.

A list of alternate properties should accompany HMGP property acquisition and elevation project applications. If such a list is not submitted by the application deadline, alternate properties cannot be substituted for the original submitted properties. Information required for alternate properties is the same as for original properties and must supply a benefit cost analysis as well as adequate justification for the alternate property's inclusion. Justification should include a description of the proposed change, an explanation of reasons for the change, an accounting of remaining funds available to support the change, and a description of the work required to complete the project.

An alternate property's benefit cost analysis should not be included in the project's overall cost estimate and benefit cost analysis. Further, the substitution of alternate properties cannot change the nature of the project or increase the amount of Federal share. In addition, changes to properties in an approved mitigation project will be considered but do not receive automatic approval. A

project must remain cost-effective overall, regardless of changes in which specific properties are removed or included.

1. Project Timelines

Most projects should be able to be completed within one to two years. Project timelines/milestones must be submitted with applications. In most cases the performance period to complete the project will allow for three years.

2. Planning Projects

Up to seven percent of the total Hazard Mitigation Grant Program funds available to the State may be used to fund hazard mitigation planning projects. These projects include the development of new hazard mitigation plans as well as the comprehensive updates required every 5 years for local governments. All planning projects must result in a FEMA approved all-hazard mitigation plan that complies with the mitigation plan requirements outlined in 44 CFR Section 201.6.

*HMA Unified Guidance, Part IV E.1*

3. Special Projects

Up to five percent of the total Hazard Mitigation Grant Program funds available to the State may be used to fund projects that do not meet all of the above criteria but that fulfill an important function within the State Hazard Mitigation Program such as studies, code development, hazard evaluation, warning systems, and other projects for which benefit cost analysis is difficult to complete. Such projects must be reviewed by the State Hazard Mitigation Officer, endorsed by the Governor's Authorized Representative, and approved by FEMA.

*HMA Unified Guidance, Part IV E.1*

**B. PDM Mitigation Projects**

Projects may be of any nature that will result in protection to public or private property. Eligible projects include, but are not limited to:

- Structural hazard control or protection projects;
- Construction activities that will result in protection from hazards;
- Retrofitting of facilities;

- Property acquisition or relocation, as defined in 44 CFR. 206.434(d);
- Development of State or local mitigation plans and standards;
- Development of comprehensive natural hazard mitigation projects with implementation as an essential component;

For projects that include property acquisition, the sub-applicant will submit a Statement of Assurance (SA) and a Notice of Voluntary Interest Document (NVID). The SA certifies that the sub-applicant will adhere to conditions of the property acquisition. A model of the SA may be found at [http://www.fema.gov/government/grant/resources/acq\\_assurances.shtm](http://www.fema.gov/government/grant/resources/acq_assurances.shtm). The NVID will include property owners' names, property address, and their signature(s). It must also include the statement, "The property owner has been informed that this project for open-space acquisition is voluntary and neither the [Applicant] or the [sub-applicant] will use eminent domain authority to acquire the property for open-space purposes should negotiations fail." While there is no required model for the NVID, FEMA has provided some example which may be used to meet this requirement at [http://www.fema.gov/government/grant/resources/vol\\_notice1.shtm](http://www.fema.gov/government/grant/resources/vol_notice1.shtm) or at [http://www.fema.gov/government/grant/resources/vol\\_notice2.shtm](http://www.fema.gov/government/grant/resources/vol_notice2.shtm).

Before funds can be awarded for projects that include property acquisition, a copy of Deed Restriction and a Documentation of Consultation with the Idaho Department of Transportation (IDOT) and the United States Army Corps of Engineers (USACE) must be submitted to FEMA. The consultation with IDOT should demonstrate and ensure that no future planned improvements or enhancements will affect the subject property or properties acquired with grant funding. The consultation with USACE should document the subject property's potential use for the construction of a levee system and, in the event that grant funds are accepted to convert the property to permanent open space, any future consideration of such use will be rejected.

A list of alternate properties should accompany PDM property acquisition and elevation project applications. If such a list is not submitted by the application deadline, alternate properties cannot be substituted for the original submitted properties. Information required for alternate properties is the same as for original properties and must supply a benefit cost analysis as well as adequate justification for the alternate property's inclusion. Justification should include a description of the proposed change, an explanation of reasons for the change, an accounting of remaining funds available to support the change, and a description of the work required to complete the project.

An alternate property's benefit cost analysis should not be included in the project's overall cost estimate and benefit cost analysis. Further, the substitution of alternate properties cannot change the nature of the project or increase the amount of Federal share. In addition, changes to properties in an approved mitigation project will be considered but do not receive automatic approval.

### 1. Project Timelines

Most projects should be able to be completed within one to two years. Project timelines/milestones must be submitted with applications. In most cases the performance period to complete the project will allow for three years.

*HMA Unified Guidance, Part VI B.4*

### 2. Planning Projects

Sub-applicants may request up to \$800,000 in Federal share of funds in a PDM planning grant to develop a new hazard mitigation plan. For updates to hazard mitigation plans that are required every 5 years, up to \$400,000 in Federal share of funds in a PDM planning grant may be requested.

All planning projects must result in a FEMA approved all-hazard mitigation plan that complies with the mitigation plan requirements outlined in 44 CFR Section 201.6.

*HMA Unified Guidance, Part IV E.2*

### 3. Project Funding Limitations

Up to \$3 million in Federal share of funds may be requested by sub-applicants for a mitigation project. However, the total Federal award for applications awarded in an annual application period cannot exceed 15% of the total amount of PDM program funds appropriated by Congress for the States for that period.

Projects are reviewed by the State Hazard Mitigation Officer who prioritizes projects, makes recommendations to the Director of BHS, and then packages sub-grant applications in the grant application submitted to FEMA.,

*HMA Unified Guidance, Part IV E.2*

### **C. FMA Mitigation Projects**

The FMA program is designed to produce savings for the NFIP. Therefore, only flood mitigation projects and plans are eligible for funding through the FMA. Only currently insured properties are eligible to receive FMA funds. Flood insurance must be in effect at the time of the application and needs to be maintained for the life of the project (*HMA Unified Guidance*, Part, VIII C.3). Projects may be of any nature that will result in protection to public or private property. Eligible projects include, but are not limited to:

- Minor localized flood reduction projects;
- Construction activities that will result in protection from hazards;
- Retrofitting of facilities;
- Property acquisition or relocation, as defined in 44 CFR. 206.434(d);
- Development of State or local mitigation plans and standards;
- Development of comprehensive hazard mitigation programs with implementation as an essential component;

Additional information regarding eligible projects may be found in the *HMA Unified Guidance*, Part III, D.1.

For projects that include property acquisition, the sub-applicant will submit a Statement of Assurance (SA) and a Notice of Voluntary Interest Document (NVID). The SA certifies that the sub-applicant will adhere to conditions of the property acquisition. A model of the SA may be found at [http://www.fema.gov/government/grant/resources/acq\\_assurances.shtm](http://www.fema.gov/government/grant/resources/acq_assurances.shtm). The NVID will include property owners' names, property address, and their signature(s). It must also include the statement, "The property owner has been informed that this project for open-space acquisition is voluntary and neither the [Applicant] or the [sub-applicant] will use eminent domain authority to acquire the property for open-space purposes should negotiations fail." While there is no required model for the NVID, FEMA has provided some example which may be used to meet this requirement at [http://www.fema.gov/government/grant/resources/vol\\_notice1.shtm](http://www.fema.gov/government/grant/resources/vol_notice1.shtm) or at [http://www.fema.gov/government/grant/resources/vol\\_notice2.shtm](http://www.fema.gov/government/grant/resources/vol_notice2.shtm).

Before funds can be awarded for projects that include property acquisition, a copy of Deed Restriction and a Documentation of Consultation with the Idaho Department of Transportation (IDOT) and the United States Army Corps of Engineers (USACE) must be submitted to FEMA. The consultation with IDOT

should demonstrate and ensure that no future planned improvements or enhancements will affect the subject property or properties acquired with grant funding. The consultation with USACE should document the subject property's potential use for the construction of a levee system and, in the event that grant funds are accepted to convert the property to permanent open space, any future consideration of such use will be rejected.

A list of alternate properties should accompany FMA property acquisition and elevation project applications. If such a list is not submitted by the application deadline, alternate properties cannot be substituted for the original submitted properties. Information required for alternate properties is the same as for original properties and must supply a benefit cost analysis as well as adequate justification for the alternate property's inclusion. Justification should include a description of the proposed change, an explanation of reasons for the change, an accounting of remaining funds available to support the change, and a description of the work required to complete the project.

An alternate property's benefit cost analysis should not be included in the project's overall cost estimate and benefit cost analysis. Further, the substitution of alternate properties cannot change the nature of the project or increase the amount of Federal share. In addition, changes to properties in an approved mitigation project will be considered but do not receive automatic approval.

## 1. Project Timelines

Most projects should be able to be completed within one to two years. Project timelines/milestones must be submitted with applications. In most cases the performance period to complete the project will allow for three years.

*HMA Unified Guidance, Part VI B.4*

## 2. Planning Projects

- a. Individual planning grants using FMA shall not exceed \$150,000 to any applicant or \$50,000 to any sub-applicant.

Indian Tribal governments have the option of applying to the State as a sub-applicant.

- b. FMA funds can be used only for the flood hazard component of a hazard mitigation plan that meets the planning criteria outlined in 44 CFR Part 201.

- c. The total planning grant using FMA funds made in any fiscal year to the State and its communities cannot exceed \$300,000, while no more than 7.5% of FMA funds can be used for planning in any fiscal year.
- d. Planning grants cannot be awarded to the State or a community more than once every 5 years.

For more information on FMA funding restrictions, see 44 CFR Section 79.4(a)(2).

*HMA Unified Guidance, Part IV E.3*

### 3. Project Funding Limitations

The total amount of FMA funds awarded during any 5-year period cannot exceed \$10 million to any State agency or \$3.3 million to any community. No more than \$20 million will be available to the entire State and its communities during any 5-year period. However, in the event of a major flood-related disaster or emergency declared under the Stafford Act, FEMA may waive these limits.

Projects are reviewed by the State Hazard Mitigation Officer who prioritizes projects, makes recommendations to the Director of BHS, and then packages sub-grant applications in the grant application submitted to FEMA.,

*HMA Unified Guidance, Part IV E.3*

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## **XII. APPLICATION PROCESS**

### **HMGP**

#### **A. Submission of Applications to the State**

BHS will solicit Letters of Intent (Tab G) from sub-applicants as described above. Upon receipt and processing of the sub-applicant's Letters of Intent, BHS will send HMGP applications (Tab I) to the interested and eligible sub-applicants for completion.

BHS will establish a date for completed applications to be returned, typically between 90 and 120 days from the date applications are mailed to potential sub-applicants. This date will allow enough time for sub-applicants to ensure compliance of environmental requirements and coordination with regulatory agencies, development of alternatives, and the public involvement process.

There will be two application periods for HMGP. The first application period will be open to only those counties affected by the Presidential Declaration for 180 days from the date of declaration. In the event that the program is under-subscribed during the first application period, the State may implement a second application period for HMGP. The second application period will open to all other eligible jurisdictions at a date established by the SHMO and GAR and will remain open for a period of 90 days.

In order to meet application deadlines, sub-applicants are encouraged to begin project identification through the local hazard mitigation planning process.

#### **B. Submission of Recommended Projects to FEMA by the State**

The processing of applications will occur in the order they are received at BHS for up to 270 days from the date of declaration. BHS must have the state's complete application packet submitted to FEMA through NEMIS within 12 months of the disaster declaration.

The State Hazard Mitigation Program Manager / State Hazard Mitigation Officer will prepare a project package, for transmittal to FEMA by the BHS Director, containing:

1. A narrative describing the anticipated projects and justification for recommendation and rationale for each project.
2. Copies of recommended applications and additional pertinent information.

3. A certification by BHS that the projects meet all federal and state eligibility requirements.
4. A completed SF 424 Application for Federal Assistance, which requests funding for all projects recommended.

Additionally, the Bureau may submit a prioritized list of state-recommended, unfunded projects as alternates for consideration when additional funds become available through cost under runs or other opportunities.

Upon notification from FEMA, the State Hazard Mitigation Program Manager will notify sub-applicants of FEMA's decision on their projects.

- a. Funded Projects – Approved and funded sub-applicants will be provided a grant award package. This document contains instructions for:
  - Reporting requirements
  - Process for requesting funds
  - Information on administrative costs
  - Mitigation Grant agreement between the State and the sub-applicant
  - Certification regarding lobbying; debarment, suspension and other responsibility matters, and drug-free workplace requirements, FEMA Form 20-16C
  - Appeal procedures
- b. Non-Approved/Unfunded Projects – Upon notification from FEMA of projects that are not approved and not funded, BHS will send a letter to sub-applicants on their non-approval/ non-funded status. Specific criteria for appealing the federal decision will be provided.

## **C. Review, Ranking and Selection of Projects**

### **1. Review Process**

BHS Mitigation staff will review all Letters of Intent submitted for all mitigation grant programs and provide a formal reply to each Letter of Intent received by potential subgrantees. This review process will determine sub-applicant eligibility, establish whether or not a proposed activity aligns with the pertinent local and state mitigation plans, and will identify potential issues regarding project eligibility or feasibility.

As required by 44 CFR Part 206.435, BHS will review all complete applications submitted by eligible jurisdictions for completeness, and to ensure they meet state and federal eligibility criteria. Additionally, BHS

staff will review the benefit-cost analysis submitted with the application or conduct its own based upon information provided by the sub-applicant for the project. While not a scored element of the state's process, the benefit-cost analysis ensures that only cost-effective projects are reviewed and submitted to FEMA for funding.

All sub-applicants will be notified whether their application passes this initial review threshold. There is no appeal of the Bureau's decision of an application's ineligibility.

BHS Mitigation staff will coordinate with appropriate local, state and federal agencies to gather and share information required for the historic and environmental review process. The FEMA Environmental Officer will conduct historic, environmental and floodplain reviews to insure compliance with all appropriate Federal Regulations. BHS Mitigation Staff are responsible for insuring that all necessary information is made available to the FEMA Environmental Officer to complete the required assessments.

If funding requested in the eligible applications exceeds the amount available, the BHS will establish a Mitigation Grant Review Committee, to review, evaluate, and prioritize the applications.

The Mitigation Grant Review Committee normally will consist of at least five members, to include at a minimum, the following:

- a. Two individuals from the Idaho Bureau of Homeland Security normally the Mitigation and Recovery Section Manager (MRSM) and the State Hazard Mitigation Program Manager (SHMPM)
- b. One designee from a state agency that deals with issues related to the particular type or nature of the disaster (example: Idaho Department of Water Resources representative for floods, Idaho Department of Lands representative for wildfire, Idaho Geologic Survey representative for geologic hazards, Division of Building Safety representative for structural mitigation).
- c. Two individuals representing local government either located outside of the declared disaster area or from a community not applying for HMGP funds.

BHS will seek local committee members that have experience in public works, engineering, land use planning, disaster grant administration, or other related experience. The committee also may consult experts from state, local, and federal agencies. BHS may seek the assistance of the

Idaho Association of Counties and the Association of Idaho Cities to provide names of potential local committee members.

Committee members will serve without compensation, but will be reimbursed for authorized expenses incurred in the performance of their duties, in accordance with Idaho State Travel Regulations, as now existing or hereafter amended.

The committee will review and prioritize those grant applications that pass initial eligibility screening. The committee will use the Hazard Mitigation Grant Program Application Evaluation Form (Tab Q), and make recommendations based on published criteria described earlier in this document.

## 2. Ranking Process and Criteria

Ranking eligible projects and developing a recommendation for funding will include consideration of the following:

- a. Combined ordinal application score(s) as determined by the Mitigation Grant Review Committee using the evaluation system mentioned above.
- b. Available funding.
- c. Goals and objectives in the effective *Idaho State All-Hazard Mitigation Plan*.
- d. Geographical mix.
- e. Previous mitigation program participation and results.
- f. Current mitigation program participation. At its discretion, BHS may limit sub-applicants to three active projects at any one time, depending upon the demonstrated capability of the sub-applicant to administer previous and existing projects.

The review committee will develop and provide to the Director for the Idaho Bureau of Homeland Security a prioritized list of projects to recommend to FEMA for approval and funding.

BHS will formally notify sub-applicants of the results of the committee ranking and review process and of their recommended, or non-recommended, status. Sub-applicants not being recommended for funding may appeal this decision under specific criteria.

## 3. Selection of Projects

Following any appeal period, a decision package will be submitted to the BHS Director containing those projects recommended for submission to FEMA for final approval and funding. These projects may be ones

proposed by BHS or that have been reviewed and ranked by the Mitigation Grant Review Committee. BHS will notify sub-applicants if their application is being forwarded to FEMA.

If the situation warrants, a percentage of the Hazard Mitigation Grant Program funds may be set aside to accomplish projects as outlined in the *State of Idaho All-Hazard Mitigation Plan*. These projects will be exempt from the Committee ranking process.

#### **D. Withdrawal of Recommended Projects**

BHS may opt to withdraw a project from consideration by FEMA. Possible reason(s) may include, but are not limited to, the following:

1. Misrepresentation(s) by the sub-applicant in the application.
2. Non-covered cost increases prior to FEMA approval.
3. Loss or reduction of committed funding.
4. Project, or sub-applicant, fails to maintain eligibility as outlined in 44 CFR Part 206.424, to include cost/benefit requirements, participation and good standing in the National Flood Insurance Program (NFIP).
5. Phased Projects. Since the inception of the mitigation programs, there have been numerous situations where FEMA has recommended to the state that an application for a project be “phased” and a “study” be funded as phase one. However, none of the second parts of these “phased projects” have ever been completed and as such no mitigation has ever been provided from such a project. Applications that fail to provide sufficient information to allow FEMA to determine eligibility will be removed from consideration for funding.

BHS reserves the right to deny application rating or funding for submitted applications from eligible sub-applicants with serious unresolved audit findings related to performance capacity.

Further, the BHS reserves the right to postpone project contracting or to deny funding if there is a significant problem with previous sub-grantee performance, such as failure to complete projects in agreed-upon times, major cost overruns, failure to provide required documentation in a timely manner, etc. In such situations, the sub-grantee is responsible for developing and initiating corrective action satisfactory to the Idaho Bureau of Homeland Security.

## **PDM**

### **A. Submission of Applications to the State**

BHS will solicit Letters of Intent (Tab G) from sub-applicants as described above. FEMA determines the opening date for the application period annually. Letters of Intent must be submitted approximately two months from the opening date. Upon receipt and processing of the sub-applicant's Letters of Intent, BHS will send PDM applications (Tab H) to the interested and eligible sub-applicants for completion.

BHS will establish a date for completed applications to be returned, typically between 90 and 120 days from the date applications are mailed to potential sub-applicants. This date will allow enough time for sub-applicants to ensure compliance with environmental requirements and coordination with regulatory agencies, development of alternatives, and the public involvement process. Online submission of sub-grants applications is encouraged through FEMA's e-Grants at <https://portal.fema.gov>. Paper applications may also be submitted to BHS.

Sub-applicants are encouraged to begin project identification through the local hazard mitigation planning process in order to meet application timelines. BHS must have the state's complete application packet submitted to FEMA within 12 months of the disaster declaration.

### **B. Review, Ranking and Selection of Projects**

#### **1. Review Process**

BHS Mitigation staff will review all Letters of Intent submitted for all mitigation grant programs and provide a formal reply to each Letter of Intent received from potential subgrantees. This review process will determine sub-applicant eligibility, establish whether or not a proposed activity aligns with the pertinent local and state mitigation plans, and will identify potential issues regarding project eligibility or feasibility.

As required by 44 CFR Part 206.435, BHS will review all complete applications submitted by eligible jurisdictions for completeness, and to ensure they meet state and federal eligibility criteria. Additionally, BHS staff will review the benefit-cost analysis submitted with the application or conduct its own based upon information provided by the sub-applicant for the project. While not a scored element of the state's process, the benefit-cost analysis ensures that only cost-effective projects are reviewed and submitted to FEMA for funding.

All sub-applicants will be notified whether their application passes this initial review threshold. There is no appeal of the Bureau's decision of an application's ineligibility.

BHS will package sub-grant applications into a grant application that is submitted to FEMA for review. FEMA will review all applications for eligibility and ensure that all required information has been provided. In order to satisfy FEMA's criteria for cost effectiveness, a benefit cost analysis (BCA) that includes annual maintenance costs must demonstrate that the benefits of a project are equal to or exceed the proposed mitigation activity's costs. Activities with a benefit cost ratio (BCR) of less than 1.0 will not be determined to be cost effective and will be deemed ineligible for HMA funding.

FEMA will also review all applications for engineering feasibility and effectiveness to determine whether a project conforms to accepted engineering practices, codes, and standards, is effective at mitigating the risks of a hazard, and demonstrates reasonableness of costs. In addition, sub-applicants are required to comply with all Federal environmental and historic preservation policies and laws.

BHS Mitigation staff will coordinate with appropriate local, state and federal agencies to gather and share information required for the historic and environmental review process. The FEMA Environmental Officer will conduct historic, environmental and floodplain reviews to insure compliance with all appropriate Federal Regulations. BHS Mitigation Staff are responsible for insuring that all necessary information is made available to the FEMA Environmental Officer to complete the required assessments.

Following the initial review of a sub-application's eligibility under these criteria, FEMA will notify BHS which sub-grant applications have been selected for further review, determined to be eligible but not funded, or determined ineligible. Notification that an application has been selected for further review does not guarantee that it will receive funding. FEMA will only reconsider a sub-grant application if a significant technical or procedural error has been made by FEMA. PDM and FMA sub-grant applications may be resubmitted with new information under the subsequent grant cycle.

## 2. Ranking Process and Criteria

Ranking eligible projects and developing a recommendation for funding will include consideration of the following:

- g. Combined ordinal application score(s) as determined by the Mitigation Grant Review Committee using the evaluation system mentioned above.
- h. Available funding.
- i. Goals and objectives in the effective *Idaho State All-Hazard Mitigation Plan*.
- j. Geographical mix.
- k. Previous mitigation program participation and results.
- l. Current mitigation program participation. At its discretion, BHS may limit sub-applicants to three active projects at any one time, depending upon the demonstrated capability of the sub-applicant to administer previous and existing projects.

The review committee will develop and provide to the Director for the Idaho Bureau of Homeland Security a prioritized list of projects to recommend to FEMA for approval and funding.

BHS will formally notify sub-applicants of the results of the committee ranking and review process and of their recommended, or non-recommended, status. Sub-applicants not being recommended for funding may appeal this decision under specific criteria.

### 3. Selection of Projects

Following any appeal period, a decision package will be submitted to the BHS Director containing those projects recommended for submission to FEMA for final approval and funding. These projects may be ones proposed by BHS or that have been reviewed and ranked by the Mitigation Grant Review Committee. BHS will notify sub-applicants if their application is being forwarded to FEMA.

## **C. Submission of Recommended Projects to FEMA**

The State Hazard Mitigation Program Manager / State Hazard Mitigation Officer will prepare a project package, for transmittal to FEMA by the BHS Director, containing:

- 1. A narrative describing the anticipated projects and justification for recommendation and rationale for each project.
- 2. Copies of recommended applications and additional pertinent information.
- 3. A certification by BHS that the projects meet all federal and state eligibility requirements.

4. A completed SF 424 Application for Federal Assistance, which requests funding for all projects recommended.

Upon notification from FEMA, the State Hazard Mitigation Program Manager will notify sub-applicants of FEMA's decision on their projects.

- a. Funded Projects – Approved and funded sub-applicants will be provided a grant award package. This document contains instructions for:
  - Reporting requirements
  - Process for requesting funds
  - Information on administrative costs
  - Mitigation Grant agreement between the State and the sub-applicant
  - Certification regarding lobbying; debarment, suspension and other responsibility matters, and drug-free workplace requirements, FEMA Form 20-16C
  - Appeal procedures
- b. Non-Approved/Unfunded Projects – Upon notification from FEMA of projects that are not approved and not funded, BHS will send a letter to sub-applicants on their non-approval/ non-funded status. Specific criteria for appealing the federal decision will be provided.

#### **D. Withdrawal of Recommended Projects**

BHS may opt to withdraw a project from consideration by FEMA. Possible reason(s) may include, but are not limited to, the following:

1. Misrepresentation(s) by the sub-applicant in the application.
2. Non-covered cost increases prior to FEMA approval.
3. Loss or reduction of committed funding.
4. Project, or sub-applicant, fails to maintain eligibility as outlined in 44 CFR Part 206.424, to include cost/benefit requirements, participation and good standing in the National Flood Insurance Program (NFIP).

BHS reserves the right to deny application rating or funding for submitted applications from eligible sub-applicants with serious unresolved audit findings related to performance capacity.

Further, the BHS reserves the right to postpone project contracting or to deny funding if there is a significant problem with previous sub-grantee performance, such as failure to complete projects in agreed-upon times, major cost overruns, failure to provide required documentation in a timely manner, etc. In such

situations, the sub-grantee is responsible for developing and initiating corrective action satisfactory to the Idaho Bureau of Homeland Security.

## **FMA**

### **A. Submission of Applications to the State**

BHS will solicit Letters of Intent (Tab G) from sub-applicants as described above. Upon receipt and processing of the sub-applicant's Letters of Intent, BHS will send FMA applications (Tab H) to the interested and eligible sub-applicants for completion.

BHS will establish a date for completed applications to be returned, typically between 90 and 120 days from the date applications are mailed to potential sub-applicants. This date will allow enough time for sub-applicants to ensure compliance with environmental requirements and coordination with regulatory agencies, development of alternatives, and the public involvement process. Online submission of sub-grants applications is encouraged through FEMA's e-Grants at <https://portal.fema.gov>. Paper applications may also be submitted to BHS.

Sub-applicants are encouraged to begin project identification through the local hazard mitigation planning process in order to meet application timelines. BHS must have the state's complete application packet submitted to FEMA within 12 months of the disaster declaration.

### **B. Review, Ranking and Selection of Projects**

#### **1. Review Process**

BHS Mitigation staff will review all Letters of Intent submitted for all mitigation grant programs and provide a formal reply to each Letter of Intent received from potential subgrantees. This review process will determine sub-applicant eligibility, establish whether or not a proposed activity aligns with the pertinent local and state mitigation plans, and will identify potential issues regarding project eligibility or feasibility.

As required by 44 CFR Part 206.435, BHS will review all complete applications submitted by eligible jurisdictions for completeness, and to ensure they meet state and federal eligibility criteria. Additionally, BHS staff will review the benefit-cost analysis submitted with the application or conduct its own based upon information provided by the sub-applicant for the project. While not a scored element of the state's process, the benefit-

cost analysis ensures that only cost-effective projects are reviewed and submitted to FEMA for funding.

All sub-applicants will be notified whether their application passes this initial review threshold. There is no appeal of the Bureau's decision of an application's ineligibility.

BHS will package sub-grant applications into a grant application that is submitted to FEMA for review. FEMA will review all applications for eligibility and ensure that all required information has been provided. In order to satisfy FEMA's criteria for cost effectiveness, a benefit cost analysis (BCA) that includes annual maintenance costs must demonstrate that the benefits of a project are equal to or exceed the proposed mitigation activity's costs. Activities with a benefit cost ratio (BCR) of less than 1.0 will not be determined to be cost effective and will be deemed ineligible for HMA funding.

FEMA will also review all applications for engineering feasibility and effectiveness to determine whether a project conforms to accepted engineering practices, codes, and standards, is effective at mitigating the risks of a hazard, and demonstrates reasonableness of costs. In addition, sub-applicants are required to comply with all Federal environmental and historic preservation policies and laws.

BHS Mitigation staff will coordinate with appropriate local, state and federal agencies to gather and share information required for the historic and environmental review process. The FEMA Environmental Officer will conduct historic, environmental and floodplain reviews to insure compliance with all appropriate Federal Regulations. BHS Mitigation Staff are responsible for insuring that all necessary information is made available to the FEMA Environmental Officer to complete the required assessments.

After the initial review of a sub-application's eligibility under these criteria, FEMA will notify BHS which projects have been selected for further review, determined to be eligible but not funded, or determined ineligible. Notification that an application has been selected for further review does not guarantee that it will receive funding. FEMA will only reconsider a sub-grant application if a significant technical or procedural error has been made by FEMA. PDM and FMA sub-grant applications may be resubmitted with new information under the subsequent grant cycle.

## 2. Ranking Process and Criteria

Ranking eligible projects and developing a recommendation for funding will include consideration of the following:

- a. Combined ordinal application score(s) as determined by the Mitigation Grant Review Committee using the evaluation system mentioned above.
- b. Available funding.
- c. Goals and objectives in the effective *Idaho State All-Hazard Mitigation Plan*.
- d. Geographical mix.
- e. Previous mitigation program participation and results.
- f. Current mitigation program participation. At its discretion, BHS may limit sub-applicants to three active projects at any one time, depending upon the demonstrated capability of the sub-applicant to administer previous and existing projects.

The review committee will develop and provide to the Director for the Idaho Bureau of Homeland Security a prioritized list of projects to recommend to FEMA for approval and funding.

BHS will formally notify sub-applicants of the results of the committee ranking and review process and of their recommended, or non-recommended, status. Sub-applicants not being recommended for funding may appeal this decision under specific criteria.

## 3. Selection of Projects

Following any appeal period, a decision package will be submitted to the BHS Director containing those projects recommended for submission to FEMA for final approval and funding. These projects may be ones proposed by BHS or that have been reviewed and ranked by the Mitigation Grant Review Committee. BHS will notify sub-applicants if their application is being forwarded to FEMA.

### **C. Submission of Recommended Projects to FEMA**

The State Hazard Mitigation Program Manager / State Hazard Mitigation Officer will prepare a project package, for transmittal to FEMA by the BHS Director, containing:

1. A narrative describing the anticipated projects and justification for recommendation and rationale for each project.

2. Copies of recommended applications and additional pertinent information.
3. A certification by BHS that the projects meet all federal and state eligibility requirements.
4. A completed SF 424 Application for Federal Assistance, which requests funding for all projects recommended.

Additionally, the Bureau may submit a prioritized list of state-recommended, unfunded projects as alternates for consideration when additional funds become available through cost under runs or other opportunities.

Upon notification from FEMA, the State Hazard Mitigation Program Manager will notify sub-applicants of FEMA's decision on their projects.

- a. Funded Projects – Approved and funded sub-applicants will be provided a grant award package. This document contains instructions for:
  - Reporting requirements
  - Process for requesting funds
  - Information on administrative costs
  - Mitigation Grant agreement between the State and the sub-applicant
  - Certification regarding lobbying; debarment, suspension and other responsibility matters, and drug-free workplace requirements, FEMA Form 20-16C
  - Appeal procedures
- b. Non-Approved/Unfunded Projects – Upon notification from FEMA of projects that are not approved and not funded, BHS will send a letter to sub-applicants on their non-approval/ non-funded status. Specific criteria for appealing the federal decision will be provided.

#### **D. Withdrawal of Recommended Projects**

BHS may opt to withdraw a project from consideration by FEMA. Possible reason(s) may include, but are not limited to, the following:

1. Misrepresentation(s) by the sub-applicant in the application.
2. Non-covered cost increases prior to FEMA approval.
3. Loss or reduction of committed funding.
4. Project, or sub-applicant, fails to maintain eligibility as outlined in 44 CFR Part 206.424, to include cost/benefit requirements,

participation and good standing in the National Flood Insurance Program (NFIP).

5. Phased Projects. Since the inception of the mitigation programs, there have been numerous situations where FEMA has recommended to the state that an application for a project be “phased” and a “study” be funded as phase one. However, none of the second parts of these “phased projects” have ever been completed and as such no mitigation has ever been provided from such a project. Applications that fail to provide sufficient information to allow FEMA to determine eligibility will be removed from consideration for funding.

BHS reserves the right to deny application rating or funding for submitted applications from eligible sub-applicants with serious unresolved audit findings related to performance capacity.

Further, the BHS reserves the right to postpone project contracting or to deny funding if there is a significant problem with previous sub-grantee performance, such as failure to complete projects in agreed-upon times, major cost overruns, failure to provide required documentation in a timely manner, etc. In such situations, the sub-grantee is responsible for developing and initiating corrective action satisfactory to the Idaho Bureau of Homeland Security.

### **XIII. APPEALS**

It is important to note that there is no appeal of the Bureau's decision to disqualify an application because of a sub-applicant's ineligibility to receive Hazard Mitigation Assistance. For all other issues, it is the State's policy to manage an open and equitable Hazard Mitigation Assistance Grant Programs process. To this end, the State will work with the sub-applicant and FEMA to resolve any issue rather than spend time with formal appeals. If this policy fails, the following are the procedures for establishing a formal appeal:

#### **A. HMGP**

##### **1. Decisions by the State**

If a project (or request for cost overrun funding) is denied by the State Hazard Mitigation Officer, the sub-applicant or sub-grantee may submit an appeal in writing to the Governor's Authorized Representative within 30 calendar days of the date of denial. The appeal shall contain documented justification supporting the appellant's position, specifying the monetary figure in dispute and the provisions in federal or state law, regulation, or policy with which the appellant believes the initial action was inconsistent. The decision of the Governor's Authorized Representative shall be the final administrative decision.

##### **2. Decisions by FEMA**

An eligible applicant, sub-grantee, or grantee may appeal any determination previously made related to an application for or the provision of Federal assistance according to the procedures below.

If a project (or request for cost overrun funding) is denied by FEMA, an appeal may be submitted by the sub-applicant through the State Hazard Mitigation Officer. The State Hazard Mitigation Officer may then request that the Governor's Authorized Representative forward the appeal to FEMA. The State Hazard Mitigation Officer will notify the sub-applicant of the following appeal process (44 CFR 206.440).

##### **3. Format and Content**

The sub-applicant or sub-grantee will make the appeal in writing through the grantee to the Regional Administrator. The grantee

shall review and evaluate all sub-grantee appeals before submission to the Regional Administrator. The grantee may make grantee-related appeals to the Regional Administrator. The appeal shall contain documented justification supporting the appellant's position, specifying the monetary figure in dispute and the provisions in Federal law, regulation, or policy with which the appellant believes the initial action was inconsistent.

#### **4. Levels of Appeal**

- (1) The Regional Administrator will consider first appeals for hazard mitigation grant program-related decisions under subparts M and N of 44 CFR 206.
- (2) The Assistant Administrator for the Mitigation Directorate will consider appeals of the Regional Administrator's decision on any first appeal under paragraph (1) above

#### **5. Time Limits**

- (1) Appellants must make appeals within 60 days after receipt of a notice of the action that is being appealed.
- (2) The grantee will review and forward appeals from a sub-applicant or sub-grantee, with a written recommendation, to the Regional Administrator within 60 days of receipt.
- (3) Within 90 days following receipt of an appeal, the Regional Administrator (for first appeals) or Assistant Administrator for the Mitigation Directorate (for second appeals) will notify the grantee in writing of the disposition of the appeal or of the need for additional information. A request by the Regional Administrator or Assistant Administrator for the Mitigation Directorate for additional information will include a date by which the information must be provided. Within 90 days following the receipt of the requested additional information or following expiration of the period for providing the information, the Regional Administrator or Assistant Administrator for the Mitigation Directorate will notify the grantee in writing of the disposition of the appeal. If the decision is to grant the appeal, the Regional Administrator will take appropriate implementing action.

#### **6. Technical Assistance**

In appeals involving highly technical issues, the Regional Administrator or Assistant Administrator for the Mitigation

Directorate may, at his or her discretion, submit the appeal to an independent scientific or technical person or group having expertise in the subject matter of the appeal for advice or recommendation. The period for this technical review may be in addition to other allotted time periods. Within 90 days of receipt of the report, the Regional Administrator or Assistant Administrator for the Mitigation Directorate will notify the grantee in writing of the disposition of the appeal.

**B. PDM/FMA**

Appeals of a decision made by FEMA concerning a sub-application's eligibility will only be considered if a significant technical or procedural error can be shown to have been made by FEMA. Information provided in a sub-application will be considered as supporting documentation of a sub-applicant's request for reconsideration.

FEMA and BHS encourage sub-applicants to resubmit sub-applications with new information for consideration in future grant cycles.

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## **XIV. PROGRAM ADMINISTRATION**

### **A. Organization**

The Governor's Authorized Representative (GAR) oversees mitigation expenditures. The State Hazard Mitigation Program Manager / State Hazard Mitigation Officer is responsible for the daily operations and technical aspects of the program, hazard mitigation planning, and administering the hazard mitigation grant programs noted in this document, and the *State of Idaho All-Hazard Mitigation Plan*.

The Governor's Authorized Representative will designate the State Hazard Mitigation Officer to:

- Coordinate activities of the State Hazard Mitigation Team
- Incorporate the findings and recommendations required by Section 322 into a Hazard Mitigation Plan Annex
- Coordinate with state, local, and federal agencies
- Provide technical assistance to grant sub-applicants
- Manage the Hazard Mitigation Grant Program (including selecting projects, administering funds, and final closing of projects)
- Maintain State Hazard Mitigation Grant Program Project and Disaster Files

BHS will review and update state mitigation plan as necessary and it will complete a comprehensive update at least every three years as required by 44 CFR Part 201.

### **B. Staffing**

For disaster declarations, the State Hazard Mitigation Programs Manager is designated the State Hazard Mitigation Officer under 44 CFR 206.433(c), identified as such on the Bureau's organizational chart and confirmed by name in the Federal-State Agreement.

The organizational structure for Hazard Mitigation Grant Program administration will be flexible and capable of expansion and contraction as the need dictates. Program management may require the following positions, reporting to the State Hazard Mitigation Officer:

- Hazard Mitigation Grant Program Administrators
- Appropriate staff to assist the State Hazard Mitigation Officer in periodic tasks requiring special kinds of expertise to accomplish Sections 404 and other State needs in hazard mitigation. This includes access to professional engineering staff to complete project inspections.
- Clerical support not available from state agencies will be hired on a contract

or as temporary hires.

In situations where expertise is required beyond that available within the State Hazard Mitigation Team, the State Hazard Mitigation Officer will identify those needs and make a request through the Governor's Authorized Representative for the needed staff, specifying the kind of staff, the kind of tasks, the likely source of the needed expertise, and the time commitment. The Governor's Authorized Representative will contact and request the recommended agencies for such assistance.

### **C. Administration**

The State Hazard Mitigation Program Manager/State Hazard Mitigation Officer is responsible for project management and record keeping, including project files, which contain all correspondence, applications, vouchers, reports, receipts, and related documentation. The SHMPM/SHMO will oversee preparation of the state/local grant agreement for each project outlining the work to be completed and its costs (Tab K).

The Grant Management Office will track the sub-grantee's match in STARS. The Grant Management Office will book sub-grantee match upon receiving the sub-grantee's soft match form and approval of the SHMO. The sub-grantee is responsible for maintaining all backup documentation and may be required to produce documentation during monitoring visits by the grantee.

The SHMPM/SHMO will submit quarterly progress and financial reports to FEMA based on the reports provided by the Applicant Agent for each open project. When the work identified in the grant award is complete, the SHMO will facilitate grant close-out and provide a final progress and financial report to FEMA. BHS Finance and Idaho Military Division Accounting will produce the financial component of the quarterly performance progress reports and final reports submitted to FEMA.

An applicant quarterly performance progress report format is shown in (Tab N). Each sub-applicant will be required to submit a final report, and the SHMPM/SHMO will submit closeout documents to FEMA.

### **D. Financial Management**

BHS will serve as the State of Idaho Grantee for project financial management in accordance with 44 CFR Part 13. Sub-grantees (sub-applicants) are accountable to the Grantee for awarded funds.

Sub-grantees are the legal entities to which the state awards money for projects; they can be a state agency, local government, special purpose district, private nonprofit organization, or Indian Tribe. Sub-grantees are responsible to the Grantee for expenditures, work performed, and reporting requirements. Allowable costs associated with administering the program are authorized in accordance with 44 CFR Parts 206.439 and 207.

#### Procurement of Goods or Services

In accordance with 44CFR Chapter 1 Section 13.36, The State of Idaho and Sub-grantees procuring goods or services through mitigation grants must comply with all applicable Federal, State and Local Standards. Sub-grantees are required to maintain appropriate documentation to demonstrate their compliance with all applicable standards.

Political subdivisions of Idaho acting as sub-grantees must abide by their procurement regulations that comply with Idaho Code Title 67 Chapter 28 *Purchasing by Political Subdivisions*.

Idaho State Government Agencies acting as sub-grantees must abide by their procurement regulations that comply with provisions of Idaho code Title 67 Chapter 57 and Division of Purchasing Administrative rules IDAPA 38.05.01.

#### Sub-grantee Reimbursement

Sub grantees may request a portion of the awarded amount to initiate project activities. Thereafter sub-grantees should request a progress payment on eligible work that has been completed. Eligible grant costs are ***reimbursed*** on an actual cost basis up to the contract amount. For **HMGP**, the request for a progress payment is initiated by submitting a HMGP Project Reimbursement form along with a cover letter and supporting expenditure documentation to the State of Idaho Bureau of Homeland Security. Payments shall be based on sub-grantee submittal of the forms contained in the HMGP Project Reimbursement Workbook (Tab L). For **PDM** and **FMA**, requests for reimbursement are made using the Reimbursement Request form included in a sub-applicant's award package. The SHMO evaluates requests for progress payments. Progress payments must be consistent with work completed.

Requests for payments will be processed in a timely manner. The goal of BHS is to process payment requests to finance within 14 days of receipt.

Delays can occur if the sub-applicant's request for payment package is incomplete or contains inaccuracies. BHS staff notifies sub-grantees as soon as discrepancies are noted, and the payment request will be annotated as to the reason for the delay. Upon receipt of the necessary documents, BHS staff will complete its portion of the payment process.

Funds will be disbursed to the grantee within 3 days of drawing down the funds from FEMA via SmartLink or PARS, depending on the grant.

### Requests for Advance of Funds

Requests for an advance of funds will be handled on a case by case basis. Any request for an advance of funds must be submitted to BHS in writing and the request must explain why an advance is necessary. The FEMA Mitigation Program Manager / State Hazard Mitigation Officer will review each request and make a determination on whether an advance of funds is warranted. Any advance on project funding will not exceed 25% of the total project cost. An advance request will be processed for payment once it has been approved for eligibility by the state SHMO. The sub-applicant will be required to refund any part of an advance that is not supported by signed summary records with accompanying cost support and/or expended for the approved scope of the Project Worksheet within 30 days of receiving the de-obligation notice from the state.

The state will verify with sub-applicant if more than \$100 in interest has been earned from the advanced grant funds. If so, the state will require the sub-applicant to submit to State of Idaho Bureau of Homeland Security a check payable to FEMA with support documentation. The state will then forward that check to FEMA for processing.

The sub-applicant must provide documentation that advanced funds are spent before any subsequent reimbursement payments can be processed.

As part of each grant agreement file, BHS will track approved project amounts, reimbursement requests and payment dates, total expenditures by federal, state, and local funding sources, and remaining funds. For HMGP, BHS will retain 10% of the FEMA/State Share of the total project cost to be released upon documentation that the project has been completed as per the grant agreement.

### Federal Cash Transactions and Reporting

Idaho Military Division Accounting will initiate an order for cash using SmartLink or PARS upon receiving an approved pay memo from the BHS

Finance Section. Payments to sub-grantees for approved reimbursements or advances will be processed within 3 business days in accordance with Idaho Military Division Accounting Procedures.

Idaho Military Division Accounting will gather financial data for all mitigation grants from the Military Division Accounting System (STARS) to run reports on a quarterly basis. The state financial reports from STARS will be reconciled against the Federal Cash Transaction Report (HHS PSC 272) for each open mitigation grant. The reconciliation will insure that the state financial data matches data from the SmartLink or PARS systems for requested funds and available balances for all mitigation grants. The BHS Mitigation Program and the Grant Management Office will consult monthly to ensure reconciliation.

### Final Payment Requests

The sub-grantee Applicant Agent must submit a final HMGP Project Reimbursement Workbook and final report to the SHMPM/SHMO after the project work has been completed.

BHS will perform a final inspection of the completed project. BHS will complete a final project inspection summary sheet (Tab P). A joint State/FEMA inspection will be conducted if necessary and appropriate. FEMA will notify and coordinate any additional inspections by FEMA staff prior to the inspection. Final payments will be made upon completion of the Bureau's final inspection as specified in the grant agreement.

### Cost Overruns

Cost overruns will be managed in accordance with 44 CFR Part 13.30(c), the HMA Unified Guidance FY2010 Part VI B.3.1, and 44 CFR Part 206.438(b). Overruns normally fall into three categories: (1) variations in unit prices, (2) changes in the scope of work or changed site conditions, and (3) delays in start or completion of work.

Prior approval for cost overruns must be obtained from FEMA in all cases, except when the cost overrun is first identified in the project closeout process. Otherwise, it should be identified in the quarterly performance progress report and processed as a Revision Request.

For **HMGP**, if the sub-grantee determines that costs are exceeding the approved cost estimates, the sub-grantee must notify the State Hazard Mitigation Officer in writing. The appropriate quarterly progress report should also reflect the overrun. The SHMO will review the requests for

cost overruns for reasonable justification and supporting documentation. If cost overruns do not exceed the amount of the total grant award or can be offset with cost underruns on other projects, they do not need to be submitted to FEMA for approval as long as the SOW can still be met. FEMA will be informed of these offset cost adjustments so as to ensure that State and FEMA fiscal records match.

If cost overruns exceed the amount of obligated grant funds and require additional Federal funds, a request to FEMA accompanied by justification for the increase may be made. In cases where a reasonable justification is made with supporting documentation, the Governor's Authorized Representative will forward the request to FEMA with a recommendation for approval or denial. All projects must demonstrate a positive BCR before FEMA will approve any additional funding.

In cases where a cost overrun is approved, a new Benefit Cost Analysis will be completed to verify the new project cost still demonstrates a favorable benefit to cost ratio.

If a sub-grantee discovers a significant overrun related to the project's *final* cost, the sub-grantee may submit an appeal for additional funding by following the appeal procedures in this plan. The appeal must be received by the State Hazard Mitigation Officer within 60 days following the completion of the project.

When the sub-grantee can justify a cost overrun and FEMA determines that additional funds are warranted, a grant agreement amendment will be developed and processed to include any additional funds prior to disbursement.

To lessen the impact of cost overruns, the State Hazard Mitigation Officer may elect not to obligate up to 10% of available funding to be held in reserve.

For **FMA**, cost overruns may be offset by cost underruns on other projects that are part of the same award. BHS will submit a request accompanied by a new benefit cost analysis to FEMA for approval prior to implementation. Projects receiving additional funding must continue to meet the SOW and provide a benefit cost ratio equal to or greater than 1.0.

For **PDM**, cost overruns will be 100 percent responsibility of the sub-applicant and need to be approved by FEMA in compliance with 44 CFR section 13. Projects must continue to maintain a positive benefit cost ratio.

## Scope of Work Changes

Changes made to the scope of work include:

A change to the scope of work to an approved project is defined as any:

- Revision to the objectives of an approved project regardless of budget implications.
- Change in period of availability of funds.
- Change in key personnel if specified in the application.
- Budget revisions, in accordance with 44 CFR 13.30(c)
- Cost overruns
- Cost transfers among cost categories that for non-construction budgets exceed 10% of the total award or are between “Construction” and “Non-Construction” cost categories.

Transfers among Cost Categories in CONSTRUCTION-only budgets do not require FEMA approval.

Sub-grantees must submit a written request for a change in scope for any approved project to BHS as soon as significant developments occur indicating a change in scope may be necessary. The SHMO will review all requests for reasonable justification and supporting documentation. The SHMO will initiate a written request to FEMA for a change in the scope of work when they are satisfied a change to the scope of work is necessary. The State Hazard Mitigation Officer will notify the sub-grantee in writing of the outcome of a review for a change in scope of work within 45 days of receiving the request from the sub-grantee.

## Reporting

The State Hazard Mitigation Officer will submit quarterly progress and financial reports to FEMA Region X for all grant programs. These reports will reflect a compilation of quarterly performance progress reports submitted by sub-grantees. Federal Financial Reports (FFR) will be submitted using FEMA form SF-425 (FFR).

Quarterly performance progress reports will be submitted to the State Hazard Mitigation Officer by the sub-grantee. The report will include:

- *Updated copy of the Project Milestone Schedule/Summary Report (Tab M)*

- *The total amount of funds expended to date and the total amount estimated for completion*
- *A narrative of extraordinary conditions affecting scope of work and schedule.*

The State Hazard Mitigation Officer will conduct periodic site/project inspections for monitoring compliance & progress. The number of site inspections will vary with project size, complexity, and reporting history. The SHMO will compare the approved project SOW and milestones to actual progress and resolve any problems or explain slippages and remedial actions they require of sub-applicant.

### Remedial Actions

If quarterly performance progress reports and records are not submitted in accordance with requirements, BHS reserves the right to withhold a portion of payments until the satisfactory completion of the project.

### Asset Management

Sub-grantees will comply with the Federal Office of Management and Budget (OMB) Circular A-102 (or its replacement) and 44 CFR 13.32 regarding the acquisition, disposition, and management requirements of property and equipment purchased with grant funds. Documentation and accounting for equipment purchased with a cost value of \$5,000 or more rests with the sub-grantee who is responsible to maintain property records.

## **XV. AUDIT REQUIREMENTS**

Uniform audit requirements as set forth in Circular A-133 *Audits of States, Local Governments, and Non-Profit Organizations* apply to all grant assistance provided under HMA programs. FEMA may elect to conduct a federal audit on the hazard mitigation grant or on any of the sub-grants. For individual communities with mitigation projects, sub-recipient monitoring will occur on a regular basis and follow the Agency guidelines for sub-recipient monitoring, which may include reviewing audit findings/reports provided by the State Auditor's office.

Requirements of the Single Audit Act are included in section B.20 of the Mitigation Programs grant agreement between the Bureau and the sub-applicant, and are included here by reference.

Any issues that could affect the performance of that grant agreement will be analyzed to determine if they could impact the current grant, and if so, determine follow-up actions to preclude findings from reoccurring within the scope of the current agreement. For programmatic audit findings, BHS mitigation staff will work closely with the Bureau to compile the necessary responses and actions within the prescribed timeframes.

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## **XVI. CLOSEOUT PROCEDURES**

### **Project Closeout**

The sub-grantee will request final reimbursement by letter addressed to the State Hazard Mitigation Officer. The letter will include certification that reported costs were incurred in the performance of eligible work, that the work was completed, that the project was completed in compliance with the provisions of the FEMA-State Agreement, and that payments for the projects were made in accordance with the existing requirements of Federal and State laws and regulations.

The Bureau will schedule a final inspection of the project with the Sub-grantee and will notify FEMA of the inspection date, as appropriate. Project closeout will be noted in the project files upon completion of all inspection reports and outstanding documents.

FEMA may review the final accounting of eligible costs, supporting documentation, and the Governor's Authorized Representative's evaluation and recommendation. If the funds actually spent are less than the amount approved for expenditure, FEMA will adjust the Federal obligation to equal the Federal share of funds actually spent (on eligible costs) and recalculate the amount of administrative allowance the sub-grantee should have received. FEMA will not pay more than the initial amount approved unless additional funds were requested and approved according to Cost Overrun Procedures.

The State will make final payment (including any administration expense retained) to the sub-grantee, or will secure payment from the Sub-grantee to refund excess prior payments to FEMA based on the adjusted Federal obligation.

### **Grant Closeout Procedures**

#### **A. HMGP**

Upon completion of all projects within a declared disaster event in which HMGP funds have been obligated, the following steps will be taken to close-out the disaster records with FEMA. BHS will notify FEMA that all projects within a declared disaster event have been completed in accordance with grant agreements.

- Review all project files and final reports for that disaster.
- Reconcile Management Costs and Grantee Admin.
- Draw down final eligible expenditures for Management Costs and/or Grantee Administrative funds.

- The State will notify FEMA of any unliquidated balance remaining in all Management Cost and Grantee Admin.

Within 90 days following the expiration or termination of the project/sub-grant, the State Hazard Mitigation Officer will submit to FEMA an accounting of eligible costs, project performance, and other required reports and documentation for each project along with a written evaluation of the recommendations on all costs claimed by the sub-grantee and a certification by the Governor's Authorized Representative that the project was completed in accordance with FEMA approvals and that all required and allowable funds have been paid to the sub-grantee.

Closeout documentation may vary depending on the type of project. In general, for project closeout, the GAR will send a letter to FEMA requesting that the project be closed. Information and documentation required for closeout includes:

1. For planning grants, a copy of FEMA's approval letter.
2. Project's date of completion
3. Final Federal Financial Report (Form SF 425) showing project costs and calculation of Federal share
4. Cost under runs
5. Confirmation of eligibility of expenses under sub-grant
6. Confirmation that SOW was accomplished. If not, provides a statement of why not.
7. All programmatic, environmental, and financial conditions of the sub-grant were met.
8. An inventory of Federally-owned property, if applicable.
9. Final Performance Report – the final quarterly performance progress report generated in NEMIS may be used. If any reviews have been done of the project, they should also be included. These may include administrative costs, financial, scope, procurement contracting, and copyright issues.
10. Final Inspection Report (or FEMA approval letter for plans), including all data fields required by FEMA for HMGP.
11. A digital photograph of the property.
12. Other required programmatic and environmental documentation, e.g. permits and/or written statements required for EHP conditions, Signed Statements of Voluntary Participation (SVP) from property owners identified in the sub-grant SOW, elevation certificates, Certificates of

- Occupancy, copies of recorded deeds and deed restrictions, and Acknowledgement of Conditions for Special Flood Hazard Areas.
13. Latitude and longitude coordinates of the property.

Some projects will require the following additional required documentation:

1. For acquisition projects –
  - a) The Final Inspection Report will include the date of demolition for structures and confirmation that properties have been returned to “natural” conditions, such as parks or open space.
  - b) Documentation of the consultation process with the U.S. Army Corps of Engineers that the sub-grantee has addressed and considered the potential future use of these lands for the construction of flood damage reduction levees, has rejected consideration of such measure in the future in the project area, and instead has chosen to proceed with acquisition of permanent open space.
  - c) Documentation that the sub-grantee has coordinated with the Idaho Department of Transportation to ensure that no future, planned improvements or enhancements affecting the project area are under consideration
2. For structures that remain in the Special Flood Hazard Area (SFHA), the sub-grantee or property owner must legally record with the county or appropriate jurisdiction’s land records and provide a copy for closeout of a notice that includes the name of the current property owner (including book/page reference to record of current title, if readily available), a legal description of the property, and the following notice of flood insurance requirements:

This property has received Federal hazard mitigation assistance. Federal law requires that flood insurance coverage on this property must be maintained during the life of the property regardless of transfer of ownership of such property. Pursuant to 42 U.S.C § 5154a, failure to maintain flood insurance on this property may prohibit the owner from receiving Federal disaster assistance with respect to this property in the event of a flood disaster. The Property Owner is also required to maintain this property in accordance with the floodplain management criteria of 44 CFR § 60.2 and City/County Ordinance.”

The final financial reconciliation report must verify that all funds were expended on eligible, allocable costs associated with the funded project and show obligated grant funds vs. actual expenditures in the following areas:

- Total projected costs
- Federal share
- State share
- Local share
- Grantee administration costs
- Sub-grantee administration costs

Upon final review and reconciliation of all completed documents, the disaster event shall be closed.

**B. PDM/FMA**

For project closeout, the BHS Director will send a letter to FEMA requesting that the project be closed. Information and documentation required for closeout includes:

1. For planning grants, a copy of FEMA approval letter for planning grants
2. Project's date of completion
3. Final project cost and cost under runs
4. Confirmation of eligibility of expenses under sub-grant
5. Certification that all expenses have been paid.
6. SOW was accomplished. If not, provides a statement of why not.
7. All programmatic, environmental, and financial conditions of the sub-grant were met.
8. Final Financial Status Report
9. Final Financial Narrative/Spreadsheet showing expenses v. approved Cost Estimate.
10. Final Programmatic Report
11. In the case of projects, a Site Inspection Report, including before and after photos.
12. Signed Statements of Voluntary Participation (SVP) from property owners identified in the sub-grant SOW.
13. Copy of FEMA approval letter for planning grants.
14. Other required programmatic and environmental documentation, e.g. copies of 404 permits, written statements required for EHP conditions, elevation certificates, Certificates of Occupancy, copies of recorded deeds.

The final financial reconciliation report must verify that all funds were expended on eligible, allocable costs associated with the funded project and show obligated grant funds vs. actual expenditures in the following areas:

- Total projected costs
- Federal share
- State share
- Local share
- Grantee administration costs
- Sub-grantee administration costs

Upon final review and reconciliation of all completed documents, the disaster event shall be closed.

### **Recoupment of Federal Funds**

The Bureau will begin de-obligation actions in accordance with the terms and conditions of the grant agreement (Tab M) if at any time during the grant performance period, after the project closeout, or after the program closeout, the Bureau determines that the sub-grantee received federal and state funds to which it was not entitled. The sub-grantee will be notified in writing describing the finding and provided an opportunity to provide any documents or additional information. A copy of the letter will be provided to the Bureau's Finance section. BHS staff will work with the Bureau's Finance section and the sub-grantee to obtain the funds, to include any interest, if appropriate, and return them to the applicable funding sources.

Reimbursement by the sub-applicant to the State will be requested once the de-obligation of approved funding is processed. Warrants returning funds to BHS will be forwarded to the Finance Office and then returned to FEMA via the SmartLink or PARS systems, depending on the grant. Following closure of the grant whereby the state has no access to SmartLink or PARS, the State will issue a check to FEMA in the amount of federal funds to be returned. Excess funds not needed for immediate disbursement, or unapproved costs to include unapproved project cost overruns will be returned to FEMA whether or not the State (Grantee) receives the funds from the sub-grantee.

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## **XVII. RECORDS RETENTION**

The sub-grantee will be required to keep complete records of all project work (i.e. receipts, checks, job orders, contracts, in-kind documentation, etc.) funded under a mitigation grant program to include HMGP, PDM, FMA, SRL and RFC programs for a period of three (3) years. The grantee will retain programmatic documentation (i.e. quarterly reports, reimbursement requests, administrative plans, awards, etc) for grants and subgrants funded under a mitigation grant program to include HMGP, PDM, FMA, SRL, and RFC programs afor a period of three (3) years. For the applicant or State, the start date for this period begins on the date the final Federal Financial Status Report is sent to FEMA or resolution of any audit findings. For the sub-applicant the start date for this period begins on the date that the grantee confirms closeout of the subgrant.

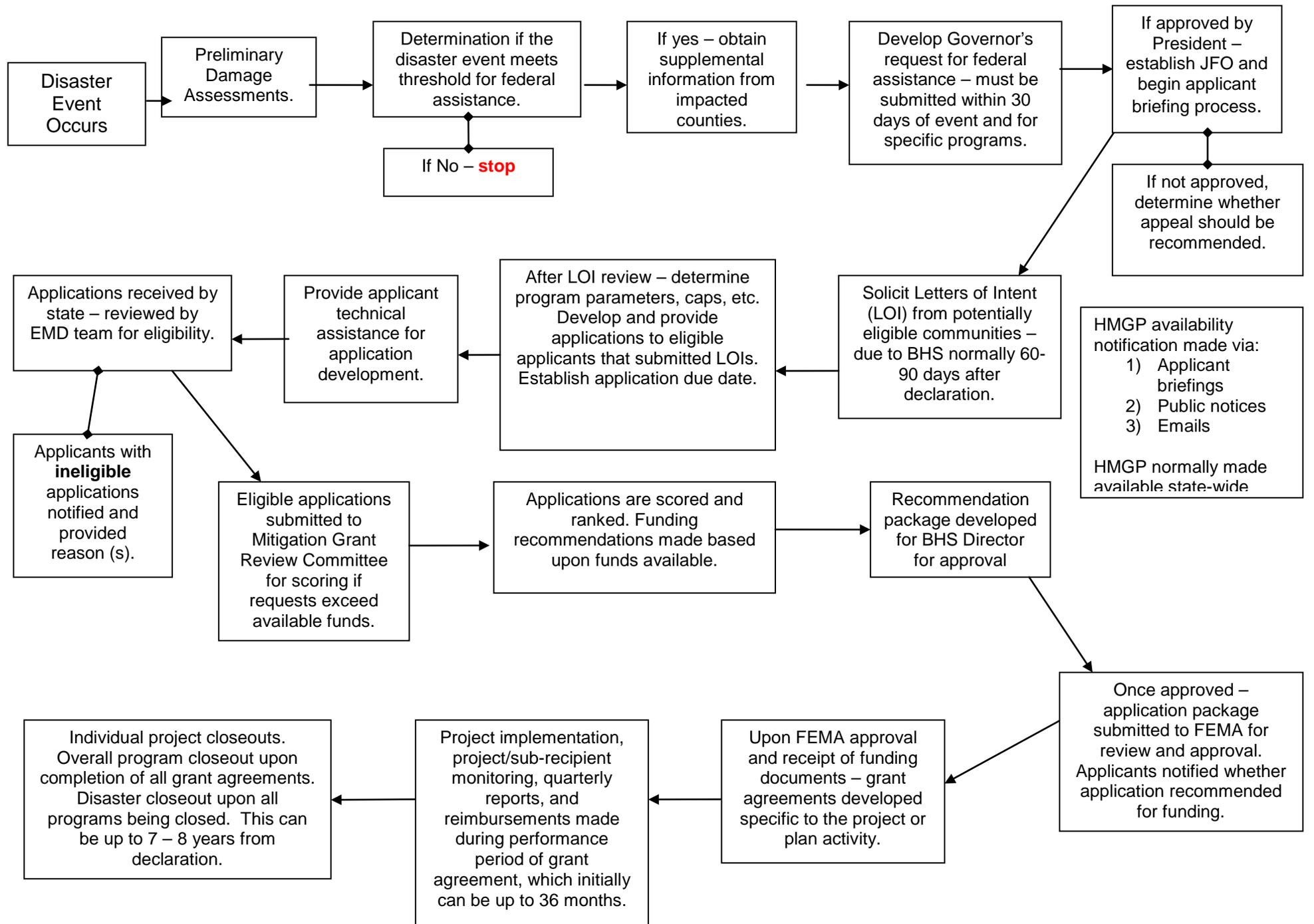
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## **XVIII. PLAN EFFECTIVE DATE, DEVELOPMENT AND MAINTENANCE**

This Administrative Plan is in effect for DR-1927 and for Hazard Mitigation Assistance Grant Programs. The Administrative Plan will be reviewed, updated and submitted to the FEMA Regional Administrator for approval by December of each year. This document will be reviewed annually, or after a Presidential Disaster Declaration (for HMGP) to ensure compliance with the law, implementing regulations, and state policies. It will be updated as needed to reflect regulatory, policy, or organizational changes to improve program administration before implementation of the applicable programs.

BHS will amend this plan whenever necessary to reflect current policy guidelines and any new or revised federal statutes or regulations or a material change in any state law, organization, policy, or state agency operation that is relevant to the state's administration of the Hazard Mitigation Grant Program or any of the Hazard Mitigation Assistance grant programs. BHS and FEMA Region X personnel worked cooperatively in the preparation and development of this plan. BHS will obtain FEMA approval of the amended plan and its effective date.

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FOR IMMEDIATE RELEASE

[*Date & Year*]

HAZARD MITIGATION FUNDING OPPORTUNITIES ANNOUNCED

Officials with the Idaho Bureau of Homeland Security (BHS) announced hazard mitigation funding opportunities resulting from the recent Federal disaster declaration (DR-XXXX-ID). These funds totaling \$XXX,XXX are made available through the Hazard Mitigation Grant Program (HMGP).

Eligible applicants for the Federal grant program include: state and local governments and their agencies, certain private nonprofit organizations, and Indian Tribes. Funding is available through the Federal Emergency Management Agency (FEMA) on a matching basis. FEMA may contribute up to 75 percent of the cost of measures approved for funding under the program. Proposed projects will typically address natural hazard mitigation measures designed to prevent property damage, death, or injury. Special consideration will be given to projects within jurisdictions impacted by the recent Presidential Disaster Declaration and those that address ...

Briefings will be held [*insert dates and locations*] to instruct potential applicants on aspects of the program including: general overview, eligibility requirements, the application process, the selection process, technical assistance, and the nature of funding.

These briefings will be given by hazard mitigation officials from BHS and FEMA. Members of the state Hazard Mitigation Team, representing various agencies will be present to provide technical assistance to potential applicants.

Additional information may be obtained by contacting the State Hazard Mitigation Officer at the Idaho Bureau of Homeland Security, 4040 Guard St, Boise, ID 83705. Phone 208-422-3047 or by visiting the Bureau's web page [www.bhs.idaho.gov](http://www.bhs.idaho.gov) .



# Hazard Mitigation Grant Program (HMGP) Applicant Briefing

State of Idaho Military Division  
Bureau of Homeland Security  
Mitigation Program  
[www.bhs.idaho.gov](http://www.bhs.idaho.gov)



# Hazard Mitigation Grant Program

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- ◉ Natural Hazard Mitigation
- ◉ Funding = 15% of total disaster cost
  - Projected \$690,000
- ◉ Competitive within the State of Idaho
- ◉ Cost Share
  - 75% Federal Funding
  - 15% State Funding
  - 10% Local / Applicant Funding



# HMGP FEMA-1987-DR-ID

## Application Process

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- Submit Letter of Intent to BHS by:
  - **Friday, August 26, 2011**
- Submit Complete Project Applications by:
  - **Friday, October 28, 2011**
- Projects reviewed and Recommendation made to BHS Director by:
  - **Friday, December 30, 2011**
- Selected Applications submitted to FEMA Region X for funding by:
  - **Friday, January 31, 2012**



# HMGP FEMA-1987-DR-ID

## Application Evaluation

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- HMGP Project Evaluation Form
- HMGP Planning Evaluation Form
- Evaluation forms under revision as part of HMGP Administrative Plan Update
- Review Committee will consider
  - Problem description
  - Alternatives considered
  - Feasibility of selected alternative
  - Cost
  - Benefit
  - Quality of Scope of Work
  - Public Benefit

# Potential Flood Mitigation Projects

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- Property Acquisition
  - Relocation
  - Demolition
- Structure Elevation
- Mitigation Reconstruction
- Dry floodproofing of Historical Residential Structures
- Dry Floodproofing of Non-residential structures
- Minor localized Flood Reduction Projects

# HMGP Program Process

- Applications reviewed by FEMA
  - Eligibility, NEPA, feasibility, etc.
- FEMA notifies BHS of awards
- BHS notifies applicant of award
- Applicant accepts award
- Project work begins
  - 1-3 years to complete work
- Project monitoring
- Project closeout(s)
- Grant closeout





# HMGP Application

- Project Information
- Applicant Information
- Project Description
  - Detailed SOW
- Damage Overview
  - Past Damages / Problem Statement
- Mitigation Alternatives
  - Minimum of 3
- Project Compliance Assurances
- Detailed Cost Estimate
- Potential Future Losses
- Cost Effectiveness
  - Supported by BCA
    - FEMA BCA Tool
    - Documentation
- Project Schedule
- Maintenance
- Appointment of Applicant Agent
  - Formal Delegation of Authority

# Project Information

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- Title of Project
- Date of Submission
- FIPS Code



# Applicant Information

- Name of Organization
  - DUNS #
  - Employer Identification # (EIN)
- Type of Organization
- Primary Contact Information
- Alternate Contact Information
- Applicant Agent
  - Applicant Agent Appointment Resolution
- Remember to include e-mail addresses



# Project Description

- Type
- Narrative Description
- Useful Life
- Location : Lat / Long Decimal Degrees
- Problem Description
- Maps
- How Project Solves the Problem
- People / Property Protection
- Future or Planned Projects
- **Explain how project will solve the problem you described**



# HMGP Application: Key Elements

## SCOPE OF WORK

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- Basis for the entire application
- Detail is important
- Explain each element of the project
- It will help you develop an accurate budget
  - Tie SOW to Cost Estimate

## COST ESTIMATE

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- Project Management
- Avoid Lump Sum
- Engineering and Design
- Site Acquisition
- Demolition
- Labor
- Materials / Supplies
- Equipment
- Transportation
- Source of Funds

**DO NOT INCLUDE  
CONTINGENCY**

# Problem Definition

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- Describe in sufficient detail the event that caused the problem
- Describe the effects the event had on the community
- Describe the historical effects similar events have had in the past
- Provide sufficient documentation to support this definition (i.e. photographs, scientific data, news articles, etc.)

# Technical Support

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- For eligible projects, BHS will contract with a third-party for BCA support
- For eligible projects, BHS will help facilitate preliminary engineering design support from the US Army Corps of Engineers

# Potential Future Losses

- Property/Asset / Service Description
- Value
- Description of Loss
- Cost Effectiveness
  - FEMA BCA Tool Kit
- Project Schedule
  - Not to exceed 3 years
- Maintenance
  - Costs
  - Maintenance Agreement
- Compliance / Assurances



# Mitigation Alternatives

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## ○ Alternatives

- Do Nothing
- Feasible Alternative
- Proposed Alternative



## ○ Consequences of each

## ○ How was the project selected

## ○ Why did you select this alternative

## ○ **Is it the best alternative?**

# Flood Mitigation Projects

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## ○ Road Damage

- Increase ditch capacity
- Install lining in the ditch

## ○ Embankment erosion

- Bio-engineered embankment slope protection
- Construct a wall or place rip-rap along slope

## ○ Surface and Shoulder Erosion

- Increase roadway elevation
- Increase capacity of drainage structure
- Construct Shoulder Protection

# Mitigation BCA Toolkit Version 4.5.5

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- BCA Full Data Model
- Limited Data Model
  - Utilities
  - Roads/Bridges
- Flood Frequency Calculator
- Inflation Calculator



# HMGP Funding Restrictions

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- 5% of the grant ceiling may be used for mitigation planning activities that are difficult to evaluate under BCA criteria
  - (for example, stream gauges)
- 7% of the grant ceiling may be used for mitigation planning activities

# Mitigation BCA Toolkit Version 4.5.5

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- 2006 BCA Guidance
- Policy Memoranda
  - 1996 FEMA Policy: Costs Included and Excluded from BCA
- How to Determine Cost Effectiveness of Mitigation Projects
- What is a Benefit?
- BC Helpline: 1-888-222-3580
- BCA Training PowerPoint and Course Material
- Case Studies

# NEPA

- ◉ Why: Assists Environmental Review Team
- ◉ If Not Provided: Expect to Answer the Questions Before the Application Can be Approved
- ◉ Streamlines the Approval Process
- ◉ Helps you prepare for conditional requirements



# Required NEPA Information

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- Project Setting / Background Info
- Clear Scope of Work
  - Sketches, Drawings, Engineer Designs
  - Calculations and Quantities
  - Photos of Project Site
- Relevant Disaster Information
- Vicinity Map
- Plat Map
  - Tax Number
  - Tax Lot Map
- Contact Information

# Required NEPA Information

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- Floodplain Information
- Wetland Information
- Endangered Species Information
- National Historic Preservation Act Section 106 Information
- Other Pertinent Environmental Data:
  - Environmental Documents
  - Geologic Studies
  - Biological Assessments
  - Programmatic Agreements

# Hazard Mitigation Assistance Useful Links

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- FEMA Hazard Mitigation Assistance Unified Guidance:  
<http://www.bhs.idaho.gov/Pages/FinanceAndLogistics/Grants/HMGP/PDF/Unified%20HMA%20Guidance.pdf>
- State of Idaho All-Hazard Mitigation Plan:  
<http://www.bhs.idaho.gov/Pages/Plans/Mitigation/MitigationPlanning.aspx>
- State of Idaho Hazard Mitigation Assistance Grant Programs Administrative Plan  
<http://www.bhs.idaho.gov/Pages/FinanceAndLogistics/Grants/HazardMitigationAssistanceGrantProgram.aspx>

# Other HMA Funding Programs

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- ◉ HMGP
- ◉ Pre-disaster Mitigation Grant Program (PDM)
- ◉ Flood Mitigation Assistance Program (FMA)
- ◉ Repetitive Flood Claims (RFC)
- ◉ Severe Repetitive Loss Program (SRL)

# Questions?

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Thank you



**STATE OF IDAHO  
BUREAU OF HOMELAND SECURITY**

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BOISE, IDAHO 83705-5004



C.L. "BUTCH" OTTER  
GOVERNOR

Maj Gen GARY L. SAYLER  
ADJUTANT GENERAL

Brig Gen BILL SHAWVER  
DIRECTOR

July 6, 2011

SUBJECT: Mitigation Opportunities through the Hazard Mitigation Grant Program DR-1987.

The Idaho Bureau of Homeland Security (BHS) announces the availability of funds for natural hazard mitigation projects through the Hazard Mitigation Grant Program (HMGP). This program provides eligible applicants with an opportunity to reduce the losses from future natural disasters through hazard mitigation projects. These funds were made available through the recent Presidential Disaster Declaration (DR-1987 ID) for flooding in Bonner, Clearwater, Idaho, Nez Perce, and Shoshone counties and the Nez Perce Tribe.

The HMGP funding is made available through the Federal Emergency Management Agency (FEMA) on a state/local matching basis. FEMA will contribute up to 75% of the total cost of the project approved under the program. The required 25% non-Federal match is to be provided by BHS (15%) and the applicant (10%). More information regarding eligible applicants, eligible projects, and the selection process is outlined in the attached HMGP Fact Sheet.

The projected total amount of \$690,000 is being made available for eligible mitigation projects. This figure includes the Federal Share of \$517,500 (estimate) and the 25% non-Federal Match of \$172,500 (estimate).

Interested parties are encouraged to submit a Hazard Mitigation Assistance (HMA) Project Letter of Intent (attached) to the State Hazard Mitigation Officer by **Friday, August 26, 2011**. You do not need to submit the NEPA information with the Letter of Intent (LOI). The NEPA information needs to accompany the HMGP grant application. Applicant Briefings will be conducted in each of the impacted counties, as well as on a regional basis as needed, and will be scheduled during the months of June and July.

The initial application period will be open to all eligible jurisdictions State-wide. Projects will be prioritized and selected through a competitive process. The project applications will be evaluated and ranked by a selection committee using a scoring methodology. Because this disaster occurred as a result of a flooding event, priority will be given to flood mitigation projects.

July 6, 2011

Page 2

The five minimum criteria that all HMGP projects must meet in order to be considered for funding by FEMA are:

1. Project conforms to the State Hazard Mitigation Plan.
2. Project provides beneficial impact on the designated disaster area.
3. Project conforms to environmental laws and regulations.
4. Project solves a problem independently or constitutes a functional portion of a solution.
5. Project is cost effective (meets or exceeds a BCA ratio of 1:1).

Please note the following important dates for this grant program:

- **Friday, August 26, 2011** Letters of Intent are due to BHS
- **Friday, October 28, 2011** Complete applications are due to BHS

The schedule for informational briefings is to be determined.

Additional information regarding the Hazard Mitigation Grant Program, including the HMGP Fact Sheet for DR-1987 ID, may be found at the Bureau of Homeland Security's website at <http://www.bhs.idaho.gov/Pages/Operations/DisasterAssistance/HMGP.aspx>. If you have any questions, you may also contact the State Hazard Mitigation Officer, Dave Jackson at 208-422-3047 or [djackson@bhs.idaho.gov](mailto:djackson@bhs.idaho.gov) or the Mitigation Planner, Mark Stephensen at 208-422-5726 or [mstephensen@bhs.idaho.gov](mailto:mstephensen@bhs.idaho.gov).

Sincerely,

Bill Shawver, Brigadier General  
Director, Idaho Bureau of Homeland Security



**MILITARY DIVISION, STATE OF IDAHO  
IDAHO BUREAU OF HOMELAND SECURITY**

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BOISE, IDAHO 83705-5004  
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## Fact Sheet

### Hazard Mitigation Grant Program

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#### (FEMA-1987-DR-ID)

The *Hazard Mitigation Grant Application Package* is available from the Idaho Bureau of Homeland Security

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As a result of a Presidential Declaration of a major disaster (*FEMA-1987-DR-ID*), the State of Idaho will be administering and helping to fund a Hazard Mitigation Grant Program. This program is authorized by Section 404 of Public Law 93-288, as amended, the Robert T. Stafford Disaster Relief and Emergency Assistance Act. It is one part of the package of federal disaster assistance made available to eligible applicants state-wide.

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#### **PURPOSE OF THE PROGRAM:**

The Hazard Mitigation Grant Program (HMGP) is a program to fund projects that will reduce or eliminate the effects (costs) of hazards and/or vulnerability to future disaster damage. Unlike the Federal Emergency Management Agency's (FEMA's) more familiar public agency disaster assistance program that helps pay for the permanent repair and restoration of existing facilities, the HMGP goes beyond simply fixing the damage. The HMGP will, within the limits of State and federal guidelines, help to fund a wide range of *new* projects that reduce hazard vulnerability and the potential for damage.

#### **ELIGIBLE APPLICANTS:**

- State Government
- Local Governments
- Registered Nonprofit Organizations with Like-Government Services
- Special Districts
- Indian Tribes

**IDAHO BUREAU OF HOMELAND SECURITY**  
**HMGP FACT SHEET DR-1987-ID**

**ADDITIONAL REQUIREMENTS:**

- Applicants must be jurisdictions that are participating in the National Flood Insurance Program (NFIP) and in good standing or be located in a community that is.
- Applicants must have a FEMA approved All-Hazards Mitigation Plan or be located in a jurisdiction that has one.

**FUNDING CONSTRAINTS:**

The grants will be made available to eligible applicants on a **competitive** basis and will be on the following cost share: 75% - Federal, 25% - Non federal (15% State, 10% local). The total amount for the Hazard Mitigation Grant Program is limited. According to the law, FEMA may contribute no more than 15% of the amount that it will spend under the Public Assistance & Individual Assistance programs for this disaster. In order to select projects for funding, all proposals will be evaluated against state and federal program criteria. Some of the general criteria are listed below.

Project total for HGMP is \$750,000 based on Public Assistance damage estimates from the Preliminary Damage Assessment (PDA). This amount is likely to change with the six month lock-in amount provided by FEMA.

**GRANT PROCESS:**

- The State conducts applicant briefings in impacted communities following disaster declaration. Because the HMGP will be open to applicants Statewide, briefings will also be held regionally as needed.
- **Letters of Intent** (LOI) to participate in the program are submitted by eligible applicants no later than **Friday, August 26, 2011.**
- Following review of LOIs, HMGP applications are mailed to eligible applicants. All project applications must be submitted to the state by **Friday, October 28, 2011.**
- Applications are reviewed for eligibility and site visits are conducted as required. Applications are then evaluated and scored by a work group of state and local representatives. Local representatives will be selected from jurisdictions that did not submit a project application.
- Projects will be recommended to FEMA for approval and funding based upon score and available funds.
- Upon notification of approval and funding, grant agreement between the state and applicant is developed.

## **SPECIAL CONSIDERATIONS:**

The Presidential declaration of a major disaster FEMA 1987-DR-ID was issued as a result of flooding in Bonner, Clearwater, Idaho, Nez Perce, and Shoshone counties and the Nez Perce Tribe in Idaho. Since a flooding event was the basis of this declaration, special consideration will be given to the following types of projects that address the flooding hazard:

- Mitigation projects that enhance road drainage systems.
- Mitigation projects that protect bridges.
- Mitigation projects that remove structures from the floodplain.

Typical eligible activities for these types of projects include:

- Increasing the size and capacity of drainage culverts.
- Strengthening bridge abutments.
- Acquisition and relocation projects
- Elevation projects.

## **GENERAL TYPES OF PROJECTS THAT CAN BE FUNDED:**

Following are examples of projects the HMGP can be used to fund:

- Structural hazard control, such as debris basins and retention ponds;
- Retrofitting, such as seismic, flood proofing and elevating to protect structures from future damage;
- Acquisition and relocation of structures from hazard-prone areas;
- Construction activities that will result in protection from hazards; and

Generally the project should:

- Substantially reduce the risk of future damage, hardship, loss, or suffering from a major disaster;
- Have a beneficial impact in the designated disaster area;
- Conform with federal floodplain, wetland, and environmental regulations;
- Solve a problem, or part of a problem when there is assurance that the whole project will be completed;
- Be cost-effective in that it addresses a problem that is repetitive or that poses a significant risk if left unsolved;
- Contribute substantially to the problem's long term solution;
- Provide cost-effective protection over the expected project life;
- Have manageable future maintenance requirements;
- Be determined to be the most practical, effective, and environmentally sound alternative among the possible options;
- Have the documented support of the local community.

## **Some of the reasons that projects / applications have been determined to be ineligible:**

- Project application fails to meet requirements under the National Environmental Policy Act (NEPA) for adequate public involvement in the development of the alternatives
- Project is for operation and maintenance versus disaster related mitigation.
- Project is the responsibility of another federal agency such as the U.S. Army Corps of Engineers, the Natural Resources Conservation Service, and FEMA's Public Assistance Program;
- Project is the result of deferred maintenance versus natural hazard related;
- Project has an inadequate cost/benefit ratio; and
- When HMGP Project is part of a larger effort, no assurance is made that the whole project will be completed.

For additional information, contact:

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**MILITARY DIVISION, STATE OF IDAHO  
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## Fact Sheet

### Pre-Disaster Mitigation (PDM) Grant Program

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The **HMA Letter of Intent (LOI)** is available from the Idaho Bureau of Homeland Security at [www.bhs.idaho.gov/Pages/FinanceAndLogistics/Grants/HazardMitigationAssistanceGrantProgram.aspx](http://www.bhs.idaho.gov/Pages/FinanceAndLogistics/Grants/HazardMitigationAssistanceGrantProgram.aspx)

All PDM grant applications must be submitted through FEMA's E-Grants system

<http://portal.fema.gov>

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The Pre-Disaster Mitigation program, authorized by Section 203 of the Robert T. Stafford Disaster Assistance and Emergency Relief Act (Stafford Act), provides technical and financial assistance to states, local and tribal governments to assist in the implementation of cost-effective hazard mitigation measures designed to reduce injuries, loss of life, and damage and destruction of property from natural hazards. The Idaho Bureau of Homeland Security administers this program for the State of Idaho.

Annual funding depends upon Congressional appropriation; in recent years, about \$100 million has been available on a nationally competitive basis for mitigation plans and projects. However, BHS anticipates that funding levels for the 2012 grant cycle will be significantly lower than in previous years. BHS announces application procedures as well as details of the annual funding and program guidance as soon as FEMA makes them available.

### Eligible Plans and Projects:

**Mitigation Planning:** Developing a new hazard mitigation plan, upgrading an existing FEMA-approved plan, or conducting a comprehensive review and update of an existing FEMA-approved plan, are eligible activities. The result must be a FEMA-approved hazard mitigation plan within three years of award that meets planning criteria outlined in 44 CFR Part 201. Funding for new plans is limited to \$800,000 federal share, while funding for revising existing plans is limited to \$400,000 federal share.

**Mitigation Projects:** Multi-hazard mitigation projects must focus on natural hazards but also may address hazards caused by non-natural forces. Funding is limited to a \$3 million federal share per project sub-application. **Sub-applicants must have an adopted, FEMA-approved hazard mitigation plan by the federal application deadline to be eligible to receive project grant funding.**

Among the eligible mitigation projects are (see Hazard Mitigation Assistance Unified Guidance, Section III.D.1):

- Acquisition or relocation of hazard-prone property for conversion to open space in perpetuity;

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## PDM FACT SHEET

- Elevation of existing public or private structures to avoid coastal or riverine flooding;
- Structural and non-structural retrofitting of existing buildings and facilities to meet or exceed applicable building codes relative to hazard mitigation;
- Protective measures for utilities, water and sanitary sewer systems, and / or infrastructure.
- Vegetation management to reduce wildland urban interface fuel loads
- Storm water management projects to reduce or eliminate long-term risk from flood hazards;
- Localized flood control projects, such as certain ring levees and floodwall systems, designed specifically to protect critical facilities and that do not constitute a section of a larger flood control system.

### Project Eligibility Requirements:

1. Be cost-effective and substantially reduce the risk of future damage, hardship, loss, or suffering resulting from a major disaster, and have a benefit-cost ratio of 1.0 or greater.
2. Be in conformance with the current FEMA-approved State Hazard Mitigation Plan;
3. Solve a problem independently or constitute a functional portion of a solution where there is assurance that the project as a whole will be completed.
4. Be in conformance with federal floodplain management and wetlands protection regulations.
5. Not duplicate benefits available from another source for the same purpose, including assistance that another Federal agency or program has the primary authority to provide.
6. Be located in a community participating in, and in good standing with, the National Flood Insurance Program.

## ELIGIBLE APPLICANTS:

- State Government
- Local Governments
- Special Districts
- Indian Tribes

### ADDITIONAL REQUIREMENTS:

- Applicants must be jurisdictions that are participating in the National Flood Insurance Program (NFIP) and are in good standing or be located in a community that is.
- Applicants must have a FEMA approved All-Hazards Mitigation Plan or be located in a jurisdiction that has one.

## Ineligible Activities:

### ***Ineligible planning activities*** (see Hazard Mitigation Assistance Unified Guidance, Section III.D.2):

- Flood studies or flood mapping, and other mapping activities that are not part of a risk assessment;
- Risk assessments, technical assistance, studies, or workshops not resulting in a FEMA-approved hazard mitigation plan;
- Information dissemination activities that exceed 10 percent of the total planning sub-application, or that are not tied directly to a PDM planning sub-application; and
- Limited revisions and amendments that do not result in comprehensive hazard mitigation plan update.

### ***Ineligible project activities*** (see Hazard Mitigation Assistance Unified Guidance, Section III.D.2):

- Major flood control / erosion projects such as the construction or repair of dikes, levees, floodwalls, seawalls, groins, jetties, or dams, waterway channelization, and beach nourishment or re-nourishment.

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## PDM FACT SHEET

- Localized flood control projects that do not protect a critical facility or constitute a part of a larger project.
- Water quality infrastructure projects.
- Projects that address ecological issues related to land and forest management (i.e., insects, diseases, weather-related damages or infestations).
- Response and communication equipment, and warning and alert notification systems.
- Phased or partial projects, including engineering designs, feasibility or drainage studies not integral to the proposed project.
- Dry floodproofing of residential structures.
- Generators and related equipment, such as hook-ups, for critical facilities that are not part of a larger eligible mitigation project sub-application and that is not directly tied to the hazard(s) that threaten the critical facility.
- Demolition / rebuild projects.
- Projects that solely address maintenance or repairs of existing structures, facilities or infrastructure.
- Projects that solely address a man-made hazard.

The state (program applicant) may be limited to the number of sub-applications it submits annually, depending upon annual program guidance. BHS will use a pre-application process, FEMA's on-line eGrants application system, and supplemental information to prioritize sub-applications. In recent years, FEMA guaranteed each state at least \$500,000 for eligible sub-applications; remaining eligible sub-applicants competed nationally for remaining PDM funds.

### GRANT PROCESS:

- BHS provides program announcement and conducts application briefings.
- **Letters of Intent (LOI)** to participate in the program are submitted by eligible applicants no later than **July 8, 2011**.
- Complete PDM applications must be submitted through the E-Grants system by the close of business on **September 30, 2011**.

### Additional Information

BHS Internet site: [www.bhs.idaho.gov](http://www.bhs.idaho.gov)

#### **Dave Jackson, State Hazard Mitigation Officer**

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## Fact Sheet

# Flood Mitigation Assistance (FMA) Grant Program

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The *HMA Letter of Intent (LOI)* is available from the Idaho Bureau of Homeland Security at [www.bhs.idaho.gov/Pages/FinanceAndLogistics/Grants/HazardMitigationAssistanceGrantProgram.aspx](http://www.bhs.idaho.gov/Pages/FinanceAndLogistics/Grants/HazardMitigationAssistanceGrantProgram.aspx)

All FMA grant applications must be submitted through FEMA's E-Grants system

<http://portal.fema.gov>

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The Flood Mitigation Assistance program (FMA) is available on an annual basis for cost-effective measures that reduce the risk of flood damage to structures that have flood insurance coverage. Funding is available for flood mitigation planning and implementation of flood mitigation projects. The Idaho Bureau of Homeland Security (BHS) administers the program and is responsible for selecting projects for funding. BHS forwards selected applications to FEMA for eligibility determination. Individuals cannot apply directly for FMA funds, although their local government may submit an application on their behalf.

## Available Funding:

Annual funding is provided through the National Flood Insurance Program (NFIP) and can vary from year to year. For FY2012, there will be a limit of \$50,000 to any subapplicant. **All grants require a 25% non-federal match, only half of which can be provided by in-kind contributions.**

The FMA program priority is to fund flood mitigation projects that reduce the number of repetitive loss structures currently insured by the National Flood Insurance Program (NFIP), although any cost-effective flood mitigation activity that reduce flood losses to any NFIP-insured property will be considered.

## ELIGIBLE APPLICANTS:

- State Government
- Local Governments
- Special Districts
- Indian Tribes

**IDAHO BUREAU OF HOMELAND SECURITY**  
**FMA FACT SHEET**

**ADDITIONAL REQUIREMENTS:**

- Applicants must be jurisdictions that are participating in the National Flood Insurance Program (NFIP) and are in good standing or be located in a community that is.
- 50% of the structures benefiting from the grant award must be insured by NFIP.
- Applicants must have a FEMA approved All-Hazards Mitigation Plan or be located in a jurisdiction that has one.

**Project Eligibility:**

For a community to be considered for project funds, it must have 1) a FEMA-approved flood hazard reduction plan or a FEMA-approved Hazard Mitigation Plan that meets the criteria of 44 CFR Part 78.5, and 2) be a participant in good standing in the NFIP.

FMA funds can be used for the following plans and projects:

- Acquiring or relocating insured structures to reduce claims on the NFIP.
- Elevating insured residential structures above the 100-year flood.
- Elevating or dry floodproofing insured non-residential structures.
- Drainage projects that protect NFIP insured properties.

All properties involved in an FMA-funded project must have NFIP insurance at the time of project application.

**INELIGIBLE PROJECTS:**

In addition to the specific ineligible project activities listed below, any proposed activity that duplicates benefits received for the same purpose or that is within the primary authority of another federal program are ineligible for funding under FMA. The following project activities are not eligible for the FMA grant program:

- Major flood control and/or erosion projects such as the construction or repair of dikes, levees, floodwalls, seawalls, groins, jetties, breakwaters, dams, and waterway channelization.
- Dry floodproofing of residential structures.
- Phased or partial project that is dependent on another phase or part to be effective and/or feasible.
- Demolition of an existing structure and rebuilding a new structure on the same site (i.e., demolition-rebuilding).
- Studies that do not result in a completed mitigation project (e.g., engineering designs, feasibility studies, or drainage studies that are not integral to the proposed project).
- Flood studies or flood mapping.
- Projects that solely address maintenance or repairs of existing structures, facilities or infrastructure (e.g., debris removal, dredging).
- Generators, and related equipment, such as generator hook-ups, for non-critical facilities or as a stand-alone activity.
- Response and communication equipment, and warning and alert notification systems (e.g., NOAA weather radios).

Project Eligibility Requirements:

- Cost-effectiveness using a FEMA-approved Benefit-Cost Analysis (BCA). A project with a benefit-cost ratio of 1.0 or greater is considered cost effective.
- All individual properties to be mitigated must have NFIP insurance at the time of project application.

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**FMA FACT SHEET**

- Conformance with 44 CFR Part 9, Floodplain Management and Protection of Wetlands, and 44 CFR Part 10, and any applicable environmental laws and regulations.
- Technical feasibility and the ability to be implemented.
- Conformance with the minimum standards of the NFIP Floodplain Management Regulations.
- Conformance with the FEMA-approved flood mitigation plan or flood hazard component of the community's FEMA-approved multi-hazard mitigation plan, (the type of project being proposed must be identified in the plan), where the plan is approved by FEMA by the application deadline.
- Located in a community participating and in good standing in the NFIP.
- Solving of a problem independently or constituting a functional portion of a solution where there is assurance that the project as a whole will be completed.
- Meeting the requirements of applicable Federal, State, Indian tribal, and local laws, implementing regulations, and executive orders.

## **GRANT PROCESS:**

- BHS provides program announcement and conducts application briefings.
- **Letters of Intent (LOI)** to participate in the program are submitted by eligible applicants no later than **July 8, 2011**.
- Complete FMA applications must be submitted through the E-Grants system by the close of business on **September 30, 2011**.

## **Additional Information**

**BHS Internet site:** [www.bhs.idaho.gov](http://www.bhs.idaho.gov)

### **Dave Jackson, State Hazard Mitigation Officer**

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**STATE OF IDAHO  
BUREAU OF HOMELAND SECURITY**

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## Hazard Mitigation Assistance (HMA) Grant Programs Planning Letter of Intent

The Idaho Bureau of Homeland Security manages FEMA-funded mitigation grant programs that help to fund hazard mitigation plans and their updates. This document is a statement of your jurisdiction's intent to participate in the planning activity. It establishes each jurisdiction's intent in applying for a grant to develop a natural hazards mitigation plan in accordance with 44 CFR 201.6 (local jurisdiction) and 44 CFR 201.7 (Tribal Nation) through one of the mitigation grant programs noted below. For a multi-jurisdictional plan, each participating jurisdiction must be described and each must sign this letter of intent.

**THIS IS NOT THE GRANT APPLICATION. When your application is reviewed and approved for submittal, you will be provided information allowing you to apply for the grant via FEMA's eGrant online application at a later date.**

Each mitigation program has its own specific eligibility and other requirements. Please consult program guidance for details on the program from which you will be seeking funds before completing and returning this document to Idaho Bureau of Homeland Security ("IDBHS").

### Applicant Type:

- |   |  |  |
|---|--|--|
| <input type="checkbox"/> State Government         | <input type="checkbox"/> Local Government                    | <input type="checkbox"/> Tribal Nation |
| <input type="checkbox"/> Special Purpose District | <input type="checkbox"/> Public/Tribal College or University | <input type="checkbox"/> Other _____   |

Name/Address of Jurisdiction: _____	Contact Person: _____
_____	Phone Number _____
_____	Email: _____
_____	County of Jurisdiction: _____

**Mitigation Program:** (Please check one program from which you are seeking funds for this project)

- Hazard Mitigation Grant Program (HMGP)     Pre-disaster Mitigation Grant (PDM)     Flood Mitigation Assistance (FMA)

- What are the primary hazards that affect your Jurisdiction?  
\_\_\_\_\_  
\_\_\_\_\_
- Describe the level of Risk (probabilities) and Impacts of these hazards upon your jurisdiction.  
\_\_\_\_\_  
\_\_\_\_\_
- How will the plan help resolve the impacts of the hazards upon your jurisdiction?  
\_\_\_\_\_  
\_\_\_\_\_
- Will this be a  **New Plan** or a  **Comprehensive Revision of an existing plan?** (Check one box)  
(Note: If this is plan revision, what is the expiration date of the current plan? \_\_\_\_\_)
- If this is a multi-jurisdiction mitigation plan, please list, a separate sheet, all of the jurisdictions who have committed to participate in this plan. Please include appropriate contact information.
- Is your jurisdiction participating in and in good standing in the National Flood Insurance Program (NFIP)?     Yes     No    [ Note: Current FEMA regulations require the applicant jurisdiction to join the NFIP if it is not already a member to be eligible for the FMA program.]

**In order to be considered for the 2012 PDM Grant cycle, please return to the address listed below *by the indicated deadline* for each grant program.**

*For PDM / FMA, return no later than FRIDAY, JULY 8, 2011.*

*For HMGP, return no later than FRIDAY, AUGUST 26, 2011.*

**Otherwise, this LOI can be submitted at any time.**

**Return to:**

State Hazard Mitigation Officer  
Idaho Bureau of Homeland Security  
4040 Guard Street, Bldg 600  
Boise ID 83705-5004

Phone: (208)422-3047  
Fax: (208)422-3044

**Questions? Contact:**

Dave Jackson, State Hazard Mitigation Officer (208)422-3047 [djackson@bhs.idaho.gov](mailto:djackson@bhs.idaho.gov)

Mark Stephensen, Mitigation Planner, (208)422-5726 [mstephensen@bhs.idaho.gov](mailto:mstephensen@bhs.idaho.gov)

Alicia Martin-Cowger, Mitigation Program Assistant (208) 422-6692 [amartin-cowger@bhs.idaho.gov](mailto:amartin-cowger@bhs.idaho.gov)

**Important:** *The completed letter of intent, including those sent US Post Office, must be received by the Bureau of Homeland Security by no later than July 8, 2011 in order to be considered for the 2012 PDM/ FMA grant cycle and August 26, 2011 for HMGP. Otherwise, LOIs can be submitted at any time during the year. Please, only one letter of intent per plan or plan revision.*



**STATE OF IDAHO  
BUREAU OF HOMELAND SECURITY**

4040 W. GUARD STREET, BLDG. 600  
BOISE, IDAHO 83705-5004



## Hazard Mitigation Assistance (HMA) Grant Programs Project Letter of Intent

This letter of intent establishes your jurisdiction's interest in the competitive hazard mitigation grant programs provided by FEMA and to identify projects that are priority for your jurisdiction to reduce fatalities or injuries or to eliminate future emergency or disaster costs associated with natural disasters.

**THIS IS NOT THE GRANT APPLICATION. When your application is reviewed and approved for submittal, you will be provided information allowing you to apply for the grant via FEMA's eGrant online application at a later date.**

Each mitigation grant program has its own specific eligibility and other requirements. Please consult program guidance for details on the program from which you will be seeking funds before completing and returning this document to Idaho Bureau of Homeland Security ("IDBHS").

**Applicant Type:**

- |   |  |  |
|---|--|--|
| <input type="checkbox"/> State Government         | <input type="checkbox"/> Local Government                    | <input type="checkbox"/> Tribal Nation |
| <input type="checkbox"/> Special Purpose District | <input type="checkbox"/> Public/Tribal College or University | <input type="checkbox"/> Other _____   |

Name/Address of Jurisdiction:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Contact Person: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Email: \_\_\_\_\_

County of Jurisdiction: \_\_\_\_\_

**Mitigation Program:**

**(Please check one program from which you are seeking funds for this project)**

- Hazard Mitigation Grant Program (HMGP)     Pre-disaster Mitigation Grant (PDM)     Flood Mitigation Assistance (FMA)

1. What is the **Natural Hazard(s)** that your project will address? Briefly describe the nature of the problem. How will this project protect life, safety or property in your jurisdiction?

\_\_\_\_\_  
\_\_\_\_\_

2. Describe the level of Risk (probabilities or frequency of occurrence) and impacts (severity) of these hazards upon your jurisdiction.

\_\_\_\_\_  
\_\_\_\_\_

3. Please provide a short description of your proposed project.

\_\_\_\_\_  
\_\_\_\_\_

4. Explain how this project is consistent with the goals/objectives of your All-Hazard Mitigation Plan. Please indicate the page number where project is located in your plan.

\_\_\_\_\_  
\_\_\_\_\_

5. Please indicate any technical assistance you will be requesting. Select all that apply.

- None     Engineering design help     Benefit cost analysis support

6. Are there any known environmental or historical preservation issues anticipated with this project?

- No     Yes (Please explain) \_\_\_\_\_

7. What is the value of the property or infrastructure you are going to protect? \_\_\_\_\_

8. What is the source of the local cost share? \_\_\_\_\_

9. Will this project be a short-term or a long-term solution to the problem being mitigated? \_\_\_\_\_

## HMA Programs Project Letter of Intent

Please answer the following yes-or-no questions to further determine if your **project** will be eligible for consideration for Unified HMA programs. Does the project:

- |  |                              |                             |
|--|------------------------------|-----------------------------|
| 1. Substantially reduce the risk of future damage, hardship, loss or suffering from a hazard?  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 2. Address a problem that is repetitive or poses a significant risk if left unresolved?  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 3. Contribute substantially to a long-term solutions?  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 4. Provide <b>cost effective</b> protection over the expected project life?  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 5. Conform to federal and state environmental regulations?   | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 6. Have manageable future maintenance requirements?  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 7. Reflect the most practical, effective and environmentally sound solution from among all Alternatives considered?  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 8. Additionally, is your jurisdiction participating and in good standing in the National Flood Insurance Program (NFIP)? (Note: If <b>No</b> , your project can <b>not</b> be considered.) | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 9. Does your community have a FEMA-approved All Hazards Mitigation Plan? (Note: If <b>No</b> , your project can <b>not</b> be considered.)   | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

**Estimated Cost of the Project:** Please provide a brief estimate of anticipated costs: \_\_\_\_\_

(Note: Every project application must include a benefit-cost analysis using FEMA's BCA tool, version 4.5.5. We suggest that you become familiar with the tool and its documentation requirements in order to better anticipate the application process.)

Please return to the address listed below ***by the indicated deadline*** for each grant program.  
***For PDM / FMA, return no later than FRIDAY, JULY 8, 2011.***  
***For HMGP, return no later than FRIDAY, AUGUST 26, 2011.***

**Return to:**

State Hazard Mitigation Officer  
Idaho Bureau of Homeland Security  
4040 Guard Street, Bldg 600  
Boise ID 83705-5004

Phone: (208)422-3047  
Fax: (208)422-3044  
Email: [djackson@bhs.idaho.gov](mailto:djackson@bhs.idaho.gov)

**QUESTIONS? Please contact:**

Dave Jackson, State Hazard Mitigation Officer	(208) 422-3047	<a href="mailto:djackson@bhs.idaho.gov">djackson@bhs.idaho.gov</a>
Mark Stephensen, Mitigation Planner	(208) 422-5726	<a href="mailto:mstephensen@bhs.idaho.gov">mstephensen@bhs.idaho.gov</a>
Alicia Martin-Cowger, Mitigation Program Assistant	(208) 422-6692	<a href="mailto:amartin-cowger@bhs.idaho.gov">amartin-cowger@bhs.idaho.gov</a>

**Important:** The completed letter of intent, including those sent US Post Office, must be received by the Bureau of Homeland Security by **no later than July 8, 2011** for PDM / FMA and **August 26, 2011** for HMGP. There will be no exceptions. Please, only one letter of intent per plan or plan revision.

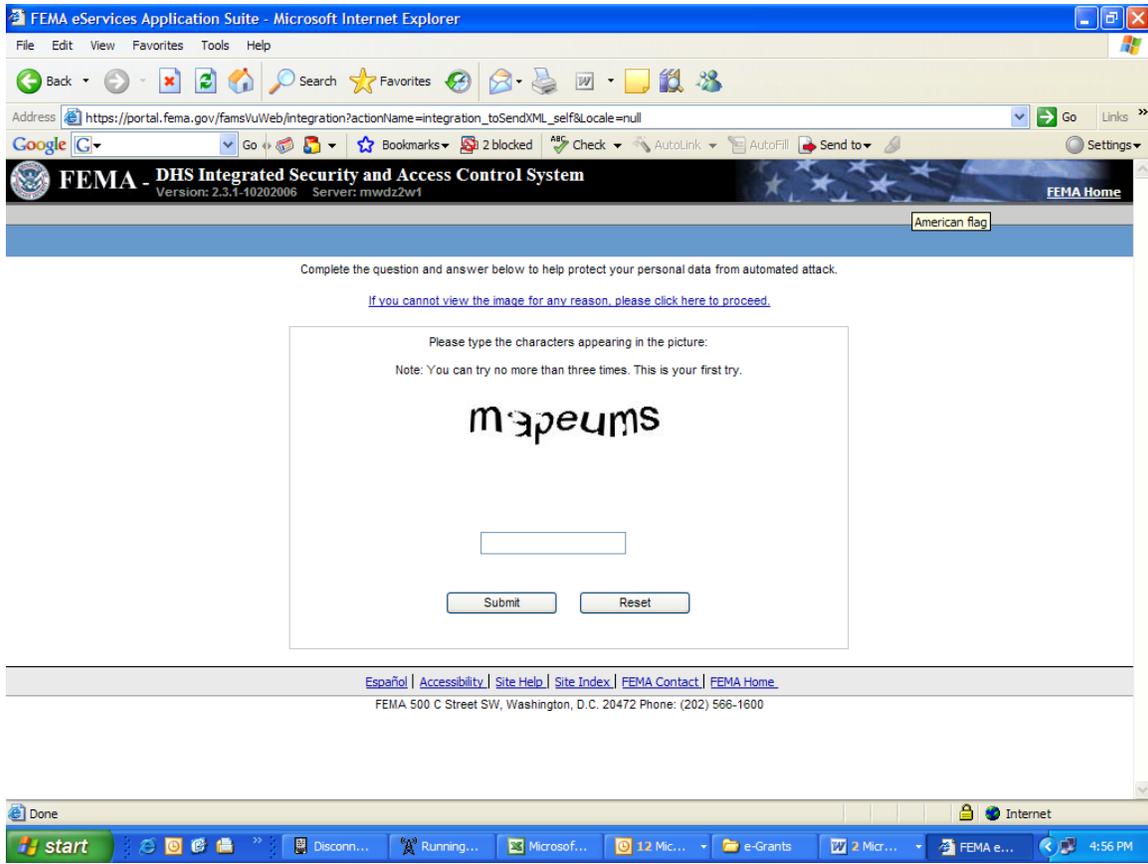
# NEW EXTERNAL eGrants USER REGISTRATION *as of 11/14/06*

The screenshot shows a Microsoft Internet Explorer browser window displaying the FEMA eServices Application Suite. The address bar shows the URL <https://portal.fema.gov/famsVuWeb/home>. The page features a navigation menu with "Español" and "English" options. Below the navigation menu is a registration form with the following fields and buttons:

- \* denotes required field
- \* User ID:
- \* Password:
- Login button
- Reset button
- Forgot ID? button
- Forgot Pwd/PIN? button
- New User? button

Below the form, there is a note: "Session expires in thirty minutes for this application". At the bottom of the page, there are links for "Español", "Accessibility", "Site Help", "Site Index", "FEMA Contact", and "FEMA Home". The footer text reads: "FEMA 500 C Street SW, Washington, D.C. 20472 Phone: (202) 566-1600". The taskbar at the bottom shows the Windows Start button, several open applications, and the system clock displaying 4:54 PM.

*Click on "New User" radio button.*



*Type in the characters appearing in the picture. Click on "Submit".*

*The next screen (see next page) is "Personal Information".*

1. Title: Ms, Mr, Mrs, Dr
2. Last and first names
3. Creation of a username: **minimum length is 7, maximum length is 14; cannot contain " , space character, ' , # Note: all lower case**
4. At least one full address (usually business address)
5. Contacts:
  - a. Organization: **caution - very important! Please try the Search function before typing in an organization name. The search Pop-up is shown below. Select from the search.**

#### ORGANIZATION SEARCH

Field	Contains	Criteria	Port Richey
<input type="button" value="SEARCH"/>		<input type="button" value="Reset"/>	

- b. Phone numbers and e-mail address (make sure this is correct!!)*
6. Date of birth
7. Providing your mother's maiden name as a security question
8. Click "Submit"

FEMA eServices Application Suite - Microsoft Internet Explorer

Address: https://portal.fema.gov/famsVuWeb/integration?actionName=toScoreCaptcha

**FEMA - DHS Integrated Security and Access Control System**  
Version: 2.3.1-10202006 Server: mwdz2w1

\* denotes required field

**PERSONAL INFORMATION**

Title \* Ms. ▾

First Name \*

Last Name \*

**LOGIN INFORMATION**

You will need to save your user ID, it will be required each time you logon to the system.  
Please note that user ID is converted to all lowercase characters.

User ID \*  minimum length is 7, maximum length is 14, cannot contain ", space character, '#

**ADDRESS**

Street \*

City \*

State \* -select one- ▾

Zip Code \*  format is 01234, 01234-5678

**ADDITIONAL ADDRESS**

Street

City

State Abbreviation -select one- ▾

Zip Code  format is 01234, 01234-5678

**CONTACT(S)**

Click the "Search" button to obtain a list of Organizations. Please do not enter duplicate names.

Organization

Done Internet

start

FEMA eServices Application Suite - Microsoft Internet Explorer

Address: https://portal.fema.gov/famsVuWeb/integration?actionName=toScoreCaptcha

State \* -select one- ▾

Zip Code \*  format is 01234, 01234-5678

**ADDITIONAL ADDRESS**

Street

City

State Abbreviation -select one- ▾

Zip Code  format is 01234, 01234-5678

**CONTACT(S)**

Click the "Search" button to obtain a list of Organizations. Please do not enter duplicate names.

Organization  [SEARCH](#)

Contact/Business Phone \* (  ) - (  ) -  Business phone extension

Home phone (  ) - (  ) -

Mobile Phone/Pager (  ) - (  ) -

Email \*  must contain @ .

Confirm Email \*

**IDENTITY CONFIRMATION INFORMATION**

Date of Birth \* Jan ▾ 1 ▾ 1900 ▾

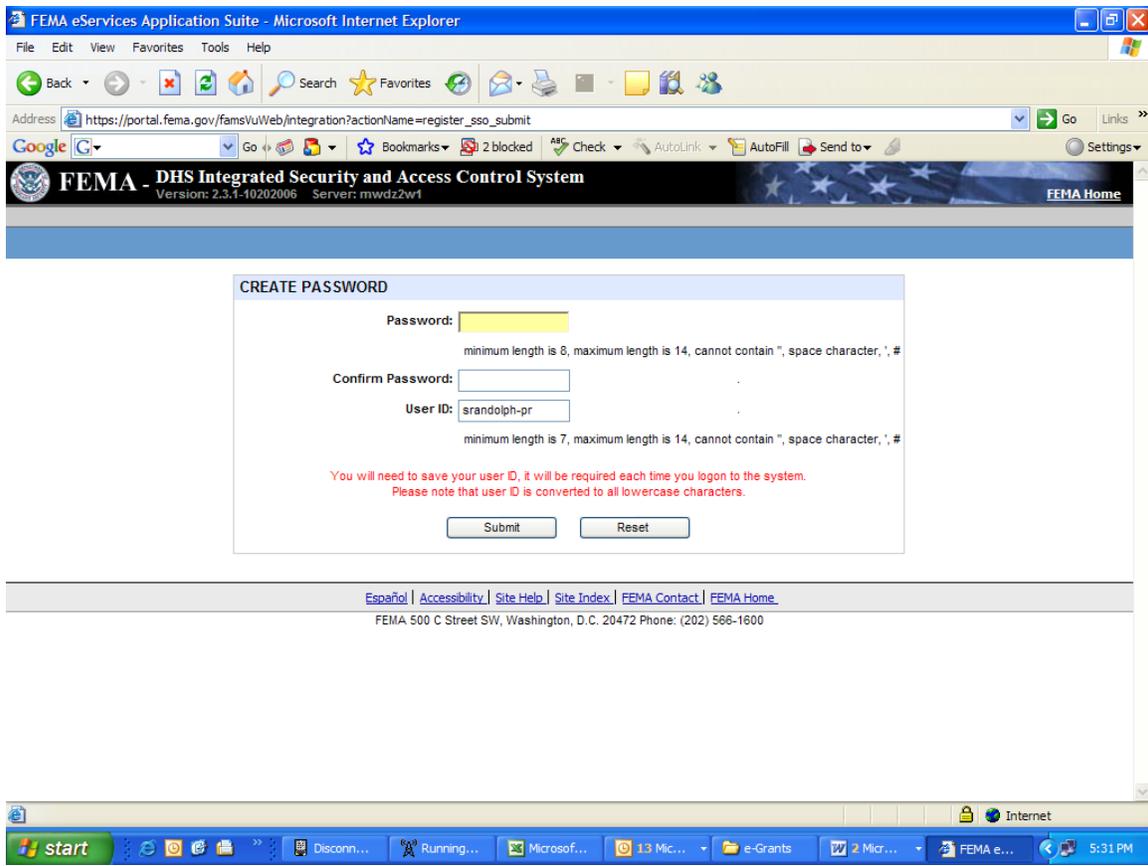
Mother's Maiden Name \*

[Español](#) | [Accessibility](#) | [Site Help](#) | [Site Index](#) | [FEMA Contact](#) | [FEMA Home](#)

FEMA 500 C Street SW, Washington, D.C. 20472 Phone: (202) 566-1600

Done Internet

start



*Please create a password:*

- *7 to 14 characters in length*
- *cannot contain " , space character , ' , #*

*Next screen that comes up is on the next page. It says:*

No privileges have been granted to this account. [Click here to request new privileges](#)

*Please click where instructed.*

*The next screen that comes up lists all the various FEMA programs that are, or will be, in eGrants. This screenshot is the lower one on the next page.*

*Find the "Mitigation Grants" icon and click "Request Access":*

FEMA eServices Application Suite - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address [https://portal.fema.gov/famsVuWeb/integration?actionName=register\\_sso\\_createUserIDPassword](https://portal.fema.gov/famsVuWeb/integration?actionName=register_sso_createUserIDPassword)

Google  Go  Links >>

Bookmarks 2 blocked Check AutoLink AutoFill Send to Settings

**FEMA - DHS Integrated Security and Access Control System**  
Version: 2.3.1-10202006 Server: mwdz2wr1 [FEMA Home](#) [Logout](#)

Available Application **Authorized Application** Inbox Profile American flag

No privileges have been granted to this account. [Click here to request new privileges.](#)

[Español](#) | [Accessibility](#) | [Site Help](#) | [Site Index](#) | [FEMA Contact](#) | [FEMA Home](#) | [Logout](#)

FEMA 500 C Street SW, Washington, D.C. 20472 Phone: (202) 566-1600

Done Internet

start Disconn... Running... Microsoft... 1.3 Mic... e-Grants 2 Mic... FEMA e... 5:32 PM

FEMA eServices Application Suite - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address [https://portal.fema.gov/famsVuWeb/available?actionName=lnk\\_authorized\\_viewAvailablePrograms&menu\\_name=lnk\\_authorized\\_viewAvailablePrograms&selectedTopMenu](https://portal.fema.gov/famsVuWeb/available?actionName=lnk_authorized_viewAvailablePrograms&menu_name=lnk_authorized_viewAvailablePrograms&selectedTopMenu)

Google  Go  Links >>

Bookmarks 2 blocked Check AutoLink AutoFill Send to Settings

**FEMA - DHS Integrated Security and Access Control System**  
Version: 2.3.1-10202006 Server: mwdz2wr1 [FEMA Home](#) [Logout](#)

Available Application **Authorized Application** Inbox Profile American flag

In order to request access, click on the button next to the system name below.

-  **Community Information System**
-  **Firefighters Grants**
-  **FMAGP eGrants internet Site**
-  **Mitigation eGrants**
-  **National Dam Safety Program**
-  **PA eGrants internet Site**

[Español](#) | [Accessibility](#) | [Site Help](#) | [Site Index](#) | [FEMA Contact](#) | [FEMA Home](#) | [Logout](#)

Done Internet

start Disconn... Running... Microsoft... 1.3 Mic... e-Grants 2 Mic... FEMA e... 5:41 PM

*The next screen (on the following page) asks for the "Access ID". Please enter the appropriate code from the following table. The Grant Applicant Codes are comprised of the Region Code (04) followed by the number denoting the place order of each state from an alphabetical list. Subgrant Applicant Codes are simply the letter "S" followed by the state number from the alphabetical list. **Note: the S must be Upper Case.***

*Then click "Submit".*

GRANT APPLICANT		
STATE/TERRITORY	ACCESS CODE	TRIBE
Alabama	0401	0401IT
Florida	0412	0412IT
Georgia	0413	0413IT
Kentucky	0421	0421IT
Mississippi	0428	0428IT
North Carolina	0437	0437IT
South Carolina	0445	0445IT
Tennessee	0447	0447IT

SUBGRANT APPLICANT		
STATE/TERRITORY	ACCESS CODE	TRIBE
Alabama	S01	S01IT
Florida	S12	S12IT
Georgia	S13	S13IT
Kentucky	S21	S21IT
Mississippi	S28	S28IT
North Carolina	S37	S37IT
South Carolina	S45	S45IT
Tennessee	S47	S47IT

***Note: State staff will use the "Grant Applicant" Codes. However, they may want to also register as a sub-applicant, to facilitate sharing rights to access and edit sub-applications.***

*The final screen (lower screen shot on the following page) confirms that the Registration has been successful.*

**Your Request is Being Processed.**

Your request has been placed in the approval queue. You will be notified via email once an approving official has taken action on your request. Thank you for your patience.

*Now it is up to the State to go into "Administration" and process the user request.*

FEMA eServices Application Suite - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites RSS Print Mail AutoFill Send to Settings

Address [https://portal.fema.gov/famsVuWeb/available?actionName=requestAccessResource&applicationName=fams\\_application\\_mitigation\\_e-grants\\_dmz](https://portal.fema.gov/famsVuWeb/available?actionName=requestAccessResource&applicationName=fams_application_mitigation_e-grants_dmz) Go Links

Google

**FEMA - DHS Integrated Security and Access Control System**  
Version: 2.3.1-10202006 Server: mwdz2wr1 [FEMA Home](#) [Logout](#)

Available Application **Authorized Application** Inbox Profile American flag

Please provide valid access ID in order to obtain access privileges to the system. The Access ID is provided by the program area sponsoring this system.

Submit Reset Cancel

[Español](#) | [Accessibility](#) | [Site Help](#) | [Site Index](#) | [FEMA Contact](#) | [FEMA Home](#) | [Logout](#)

FEMA 500 C Street SW, Washington, D. C. 20472 Phone: (202) 566-1600

Done Internet

start Disconn... Running... Microsof... 1.3 Mic... e-Grants 2 Mic... FEMA e... 5:43 PM

FEMA eServices Application Suite - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites RSS Print Mail AutoFill Send to Settings

Address [https://portal.fema.gov/famsVuWeb/available?actionName=accessid\\_submit](https://portal.fema.gov/famsVuWeb/available?actionName=accessid_submit) Go Links

Google

**FEMA - DHS Integrated Security and Access Control System**  
Version: 2.3.1-10202006 Server: mwdz2wr1 [FEMA Home](#) [Logout](#)

Available Application **Authorized Application** Inbox Profile

**Your Request is Being Processed.**

Your request has been placed in the approval queue. You will be notified via email once an approving official has taken action on your request. Thank you for your patience.

[Español](#) | [Accessibility](#) | [Site Help](#) | [Site Index](#) | [FEMA Contact](#) | [FEMA Home](#) | [Logout](#)

FEMA 500 C Street SW, Washington, D. C. 20472 Phone: (202) 566-1600

Done Internet

start Disconn... Running... Microsof... 1.3 Mic... e-Grants 2 Mic... FEMA e... 5:50 PM

## eGrants Resources

### MTeGrants Helpdesk:

The Mitigation eGrants Helpdesk is available to assist users with the eGrants system from 9 am to 5 pm (ET) Monday through Friday:

1-866-476-0544

[MTeGrants@DHS.gov](mailto:MTeGrants@DHS.gov)

### eGrants System Training for Subgrant Applicants:

FEMA has developed an interactive web-based independent study course to provide local eGrants users (Sub-applicants/Sub-grantees) basic knowledge about using the web-based Mitigation eGrants System. The course examines registering for eGrants system access; creating, completing and submitting sub-applications to Grant Applicants; and managing submitted sub-applications. *IS-30, eGrants System for Subgrant Applicants* is available from the Emergency Management Institute's Independent Study Program website:

<http://training.fema.gov/EMIWeb/IS/is30.asp>

### eGrants System Training for Grant Applicants:

- FEMA has developed a PowerPoint presentation on the eGrants system for state/tribal users (Grant Applicants/Grantees). This presentation covers the following topics: registering for eGrants system access; creating sub-applications; reviewing sub-applications; creating and submitting grant applications; accepting award packages; and preparing quarterly reports. FEMA can deliver this presentation upon request. The presentation is available on the web from the FEMA Library:

[www.fema.gov/irl](http://www.fema.gov/irl)

- FEMA is currently designing an interactive web-based independent study course to provide state/tribal eGrants users (Grant Applicants/Grantees) basic knowledge about using the web-based Mitigation eGrants System. This course will examine registering for access to the eGrants System; reviewing sub-applications submitted by locals; creating, completing and submitting grant applications to FEMA; and managing submitted grant applications. *IS-31, eGrants System for Grant Applicants* will be available by the end of 2008 on the Emergency Management Institute's Independent Study Program website:

<http://training.fema.gov/IS/>



**Project Number**  
 HMGP-1987-\_\_\_\_  
 BHS will assign

**Idaho Bureau of Homeland Security**  
 4040 Guard St  
 Boise, Idaho 83705-5004  
 208-422-3040

## APPLICATION FOR HAZARD MITIGATION GRANT

This application is for a Hazard Mitigation Grant under the provisions of the Stafford Act (Public Law 93-288, as amended). The following information is furnished in support of this application.

*Note to preparer: Any additional sheets required for responses and attachments should be placed **with the part in which they are referenced**. If subsequent references are made to the same material, a reference to that section is sufficient.*

PROJECT INFORMATION	
Title:	
Date of Submission:	Type of Submission <b>Initial</b>
County in which project is located:	Declaration: FEMA 1987-DR-ID

APPLICANT INFORMATION	
Name:	
Type <input type="checkbox"/> Government <input type="checkbox"/> Indian Tribe <input type="checkbox"/> Private Non-Profit <input type="checkbox"/> Special District <input type="checkbox"/> Other _____	
EIN Number:	FIPS Code:
DUNS Number:	U.S. Congressional District:
Was the County where the project is located identified in Presidential Disaster Declaration DR-1927-ID? <input type="checkbox"/> Yes <input type="checkbox"/> No	

## APPLICANT INFORMATION

Does the County where the project is located have a local All-Hazards Mitigation Plan?  Yes  No

Date local mitigation plan received FEMA approval: \_\_\_\_\_

Did jurisdiction sponsoring project (i.e. where project is located) formally adopt the county mitigation plan?

Yes  No

### CONTACT PERSON

Name

Title

Agency

Address

City

ID

Zip

Email

Phone

Cell Phone

Fax

### ALTERNATE CONTACT PERSON

Name

Title

Agency

Address

City

ID

Zip

Email

Phone

Cell

Fax

### APPLICANT'S AGENT

Name

Title

Agency

Address

City

ID

Zip

Email

Phone

Cell

Fax

**Attach a copy of the document appointing the Applicant's Agent as empowered to act on behalf of the applicant with regards to this grant application and project.**

## PROJECT DESCRIPTION

Detailed Problem Description:

Location:

Lat./Long. (decimal degrees):

Type  Acquisition  Relocation  Elevation  Flood protection  
 Drainage Project  Wildfire  Stream rehabilitation  Seismic retrofit  
 Other \_\_\_\_\_

Short Project Description:

Has the project been previously submitted under another FEMA program?  Yes  No

If yes, which program and year? \_\_\_\_\_

Detailed Scope of Work (SOW) attached  Yes  No

Clearly labeled photos of project site attached  Yes  No

Useful life of project (years):

Indicate maps attached  USGS 1:100,000  USGS 1:24,000  FIRM

<b>PROJECT DESCRIPTION</b>	
<input type="checkbox"/> County <input type="checkbox"/> City <input type="checkbox"/> Plat <input type="checkbox"/> Other _____	
How project reduces hazard's effects and solves the problem:	Estimated value of property protected by project
Number of people/ properties/ infrastructure protected by project	
Does the project protect specific properties? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, attach detailed information on each property, including physical address or physical/legal location, and boundaries of project site. See <i>Hazard Mitigation Assistance Unified Guidance</i> for more information on requirements by project and hazard types.	
Describe any future or planned projects that may impact the proposed project area:	
If an NFIP map revision is required, has documentation been submitted to FEMA for a Conditional Letter of Map Revision (CLOMR)?	

<b>DAMAGE HISTORY OVERVIEW</b>
Describe damage caused by this disaster
Has the building of new structures or other development changed the potential for future damage?
Did FEMA/State Public Assistance staff write a project worksheet (PW) for any portion of this project or

## DAMAGE HISTORY OVERVIEW

project area?     Yes     No

If yes, provide the PW number(s)

Describe damage caused by previous events

Year, Month	Description	Severity	Damage (\$)	Hzd Frequency

## COST ESTIMATE

### Projected Expenditures

Project Management	\$
Engineering & Design	\$
Site Acquisition	\$
Demolition	\$
Labor	\$
Materials & Supplies	\$
Equipment	\$
Transportation	\$
Other (explain) DO NOT INCLUDE CONTINGENCY	\$
	\$
	\$
	\$
<b>TOTAL</b>	<b>\$</b>

### Sources of Funds

<b>Federal sources</b>	
FEMA	\$
Other federal sources	\$
State sources	
<b>Local sources</b>	
City	\$
County	\$
Special district	\$
Private sources (In-kind)	\$
Other	\$
<b>TOTAL</b>	<b>\$</b>
Detailed budget attached, including breakdown of description, hours, rate, and cost <input type="checkbox"/> Yes <input type="checkbox"/> No	
Match Commitment Letter attached <input type="checkbox"/> Yes <input type="checkbox"/> No	

## POTENTIAL FUTURE LOSSES

Describe potential disaster impacts if not mitigated

Asset / Service Description	Value	Description of Loss Avoided ( i.e. critical function, displacement, emergency access)

## COST EFFECTIVENESS

Describe estimated quantifiable benefits:

What is the expected life of the project?	Years
Project Benefits	\$
Project Costs	\$
Benefits minus Costs	\$
Benefit- Cost Ratio (Must be greater than 1:1)	

Did you use FEMA's BCA Model?     Yes     No

- **Attach a copy of the completed BCA to the application.**
- **Include a CD with the Zip file with the BCA and supporting documentation with your application**

## PROJECT SCHEDULE

**Milestones** (Add separate sheet if necessary)

Activity / Action	Time (months, weeks, days)

How were starting and completion dates determined?

### Maintenance

Type	Provider	Date or Interval	Cost

Maintenance Agreement Letter attached  Yes  No

## MITIGATION ALTERNATIVES

Alternative	Consequences
1. Do Nothing	
2.	
3. Proposed Alternative	

*Note: Alternative 2 should be a solution that would be acceptable if the proposed project could not be realized.*

Why does the proposed project seem to be the best solution?

Describe how the proposed project alternative was selected?

## PROJECT COMPLIANCE ASSURANCES

### Building Code

Does the government jurisdiction where the project will be located currently enforce the 1991 (or later) edition of the Uniform Building Code, including seismic chapters?

Yes  No

If NO, give date when the current edition (1997) will be adopted and attach evidence of intent to adopt and enforce it.

### Land Use and Zoning

Will the project meet all land-use and zoning codes and standards for the local jurisdiction?

Yes  No

### National Flood Insurance Program

Is the government jurisdiction where the project will be located participating in the NFIP?

Yes  No

- If NO, give date when the program will be adopted and attach evidence of intent to adopt and enforce an appropriate floodplain ordinance.

If YES, are they in good standing?  Yes  No

- If not in good standing, attach an explanation

Is this project located in a floodplain or floodway designated on a FEMA Flood Insurance Rate Map (FIRM)?

Yes  No

If YES, provide

FIRM Panel Number

FIRM Zone Designation

NFIP Community ID  
Number

### Public Notification

Have there been any public notices or public meetings about this project and the problems it seeks to solve?

Yes  No

### Local Hazard Mitigation Plan

Does the local unit of government where the project will be located have a FEMA approved all-hazards mitigation plan that identifies natural hazards and lists specific plans that reduce the impact of the hazards on life and property?

Yes  No Name of Plan \_\_\_\_\_

Is the proposed project identified in your plan?

Yes  No

**SIGNATURE OF AUTHORIZED AGENT:**

The undersigned has the authority to commit the jurisdiction / agency to completing this project and submits this application for financial assistance under the Idaho State Hazard Mitigation Grant Program. Further, the undersigned certifies that the applicant will fulfill all requirements of the State and Federal Hazard Mitigation Grant Program.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Title: \_\_\_\_\_

**WHEN COMPLETED, THIS APPLICATION SHOULD BE RETURNED TO:**

Idaho Bureau of Homeland Security  
State Hazard Mitigation Officer  
4040 Guard St. Building #600  
Boise, ID 83705-5004  
208-422-3040

RESOLUTION  
APPOINTMENT OF APPLICANT AGENT  
For the  
Hazard Mitigation Grant Program (HMGP)

WHEREAS, the \_\_\_\_\_ (Applicant) is submitting a Hazard Mitigation Grant project to the Federal Emergency Management Agency and the State of Idaho; and

WHEREAS, the \_\_\_\_\_ (Applicant) is required to appoint an Applicant Agent for the purpose of signing documents and assuring the completion of all application documents;

NOW THEREFORE BE IT RESOLVED that the \_\_\_\_\_ (Applicant) appoints \_\_\_\_\_ as the authorized Applicant Agent.  
Dated this \_\_ , day of \_\_\_\_\_, 200\_\_.

Appointing Authority

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Signed \_\_\_\_\_  
Date

Appointed Agent

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Signed \_\_\_\_\_  
Date

# Chapter 6 – Enter and Submit HMGP Project Applications

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## Overview

Following a disaster declaration, the Grantee can solicit project applications from Subgrantees. Information from the project applications (see [Table 6-1](#)) can be entered into NEMIS once the declaration and disaster tasks are complete.



*Note: If the Grantee does not have access to NEMIS, FEMA Regional staff perform these tasks.*

**Table 6-1: Project Applications**

ENTER PROJECT APPLICATIONS	
What is it?	Using NEMIS to create a record for each project application and entering information on the project and the applicant on the Application Development screens
When does it start?	Post-declaration, after the Regional staff have entered disaster information
Who does it?	Grantee Mitigation staff, unless the Grantee does not have access to NEMIS; then the Regional Mitigation staff perform these tasks
How is it done?	<p>Execute 22 tasks:</p> <p><a href="#">Task 1:</a> Select Project (New or Existing)</p> <p><a href="#">Task 2:</a> Enter Applicant Information</p> <p><a href="#">Task 3:</a> Attach Problem and Risk Data</p> <p><a href="#">Task 4:</a> Enter Project Information</p> <p><a href="#">Task 5:</a> Enter Work Schedule</p> <p><a href="#">Task 6:</a> Enter Cost Estimate</p> <p><a href="#">Task 7:</a> Enter Match Sources Funds</p> <p><a href="#">Task 8:</a> Enter Cost Effectiveness Information</p> <p><a href="#">Task 9:</a> Attach Maintenance Assurance Information</p> <p><a href="#">Task 10:</a> Enter Public Notice Information</p> <p><a href="#">Task 11:</a> Attach Documents</p> <p><a href="#">Task 12:</a> Enter Eligibility Review Information</p> <p><a href="#">Task 13:</a> Enter Property Site Inventory Information</p> <p><a href="#">Task 14:</a> Enter Information for the 300-500.3 Series</p> <p><a href="#">Task 15:</a> Enter Information for the 600 Series</p> <p><a href="#">Task 16:</a> Enter Information for the 700 Series</p> <p><a href="#">Task 17:</a> Enter Information for the 800 Series</p> <p><a href="#">Task 18:</a> Authorization</p>

	<a href="#">Task 19:</a> Set Priorities, Determine Eligibility <a href="#">Task 20:</a> Verify and Submit Project Applications <a href="#">Task 21:</a> Zero Projects <a href="#">Task 22:</a> Refer to Help
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[Table 6-2](#) directs you to the sections of this chapter where specific information can be found

***Table 6-2: Instructions on Entering and Submitting Project Applications***

IF YOU WANT TO...	THEN TURN TO THIS SECTION OR SUBSECTION ...	ON THIS PAGE.
See how this process fits in the entire NEMIS Mitigation module	NEMIS Processes	6-5
Identify the documents the user needs	Information Requirements	6-11
Locate a specific task	Table of Contents	6-13
Read long drop-down lists and review sample reports. Short drop-down lists are described under the appropriate task.	References	6-107

## NEMIS Processes

This process is completed for each project application the Grantee is considering for HMGP funding.



*Notes: Applications vary in scope. An application can include a single activity (e.g., acquisition of a single property), several components of one type of activity (e.g., acquisition of several properties), or a combination of activities (e.g., acquisition of several properties and relocation of others).*

*Application, project, and project application are used synonymously in NEMIS. However, generally an application or project application refers to the unit until it is approved, and project refers to the unit after approval.*

## Prior Processes and Events

Following a disaster, the Grantee solicits and accepts applications from Subgrantees. The procedure for notifying Subgrantees and soliciting applications is outlined in the Grantee HMGP Administrative Plan. (See Chapter 4 - Enter Information for Plans Repository.)

After a disaster has been declared, Regional Mitigation staff enter disaster-specific information into NEMIS, as described in Chapter 3 – Enter Disaster Information. (This includes tracking the Declaration Request Letter to participate in the HMGP and the SF-424).

Regional staff notify the Grantee when the Declaration Request Letter has been received and the disaster information has been entered. The SF-424 is not necessarily entered at the same time as the other disaster information. If the SF-424 has not yet been received, the other information is entered and the Grantee can begin entering project applications, as described in this chapter. However, the SF-424 must be submitted and entered into NEMIS before project applications can be submitted to FEMA.

## This Process

Grantee Mitigation staff use NEMIS to create a record for each application and enter information on the project and the applicant on the Application Development screens, performing Tasks 1-18. Once project applications are entered, other staff can track and review the project applications and set priorities, as described in [Task 19: Set Priorities, Determine Eligibility](#).

A project application can be edited, as described here, until FEMA has completed the Eligibility Determination, as described in Chapter 7 – Enter Eligibility Determination Information.

Once the project application has been approved or denied, the only task possible is to attach documents, as described in [Task 11: Attach Documents](#).

To make other changes to an approved or denied project application, follow the instructions in Chapter 8 – Create an Amendment.

Generate the following reports to track and document the process of entering project applications as described in Chapter 14 – Generate Standard NEMIS Reports. Examples of each report are included in the References section at the end of this chapter.

- ◆ Project Cost Line Item Report (see [Figure 6-105](#))
- ◆ Project Non-Federal Share Fund Report (see [Figure 6-106](#))
- ◆ Property Site Inventory Report (see [Figure 6-107](#))
- ◆ Application Development Report (see [Figure 6-109](#))



*Notes: You can enter as many projects in “Application Development” as you want. In fact, this is a good way to compare projects before determining their priority for the hard copy letter to FEMA. However, once an entry has been started, it is there forever.*

*You can submit as many (or as few) project applications as you want to FEMA. The ones not submitted to FEMA (including mistakes) stay in NEMIS. The Grantee may submit more applications than for the amount of funding in case some applications are not approved.*

*You do not have to withdraw or void or mark in any way projects not submitted to FEMA. Never try to delete information from a project started here with information from a new project to replace it. In other words, let all mistakes ride! If you want to use one of the projects not submitted for use in another disaster's HMGP program, you will have to manually reenter all of the data.*

The data for each project application is verified and submitted to FEMA via NEMIS. With the first submission, the Grantee sends FEMA a hard copy letter outlining the priorities for the project applications. (See [Task 19: Set Priorities, Determine Eligibility](#) in this chapter.)

Two policies set a final deadline for project applications at 12 months after the disaster declaration.

- ◆ FEMA regulations require that once the Multihazard Mitigation Plan is approved (180 days after the declaration, unless extensions are granted), the Grantee must submit all project applications within 90 days of the plan's approval. Refer to Chapter 4 – Enter Information for Plans Repository, for details.
- ◆ FEMA's lock-in policy sets guidelines for determining a final funding estimate and requires that all project applications be submitted within 6 months of the final lock-in. Refer to Chapter 5 – Enter Funding Estimate, for details.

## Subsequent Processes and Events

Once the Grantee has submitted an SF-424, the projects selected for funding can be submitted to FEMA.

When a project application is submitted via NEMIS, FEMA staff determine if the application is eligible for HMGP funding. Both a Multihazard Mitigation Plan and Grantee HMGP Administrative Plan must be approved and on file before Project Applications can be approved by FEMA.

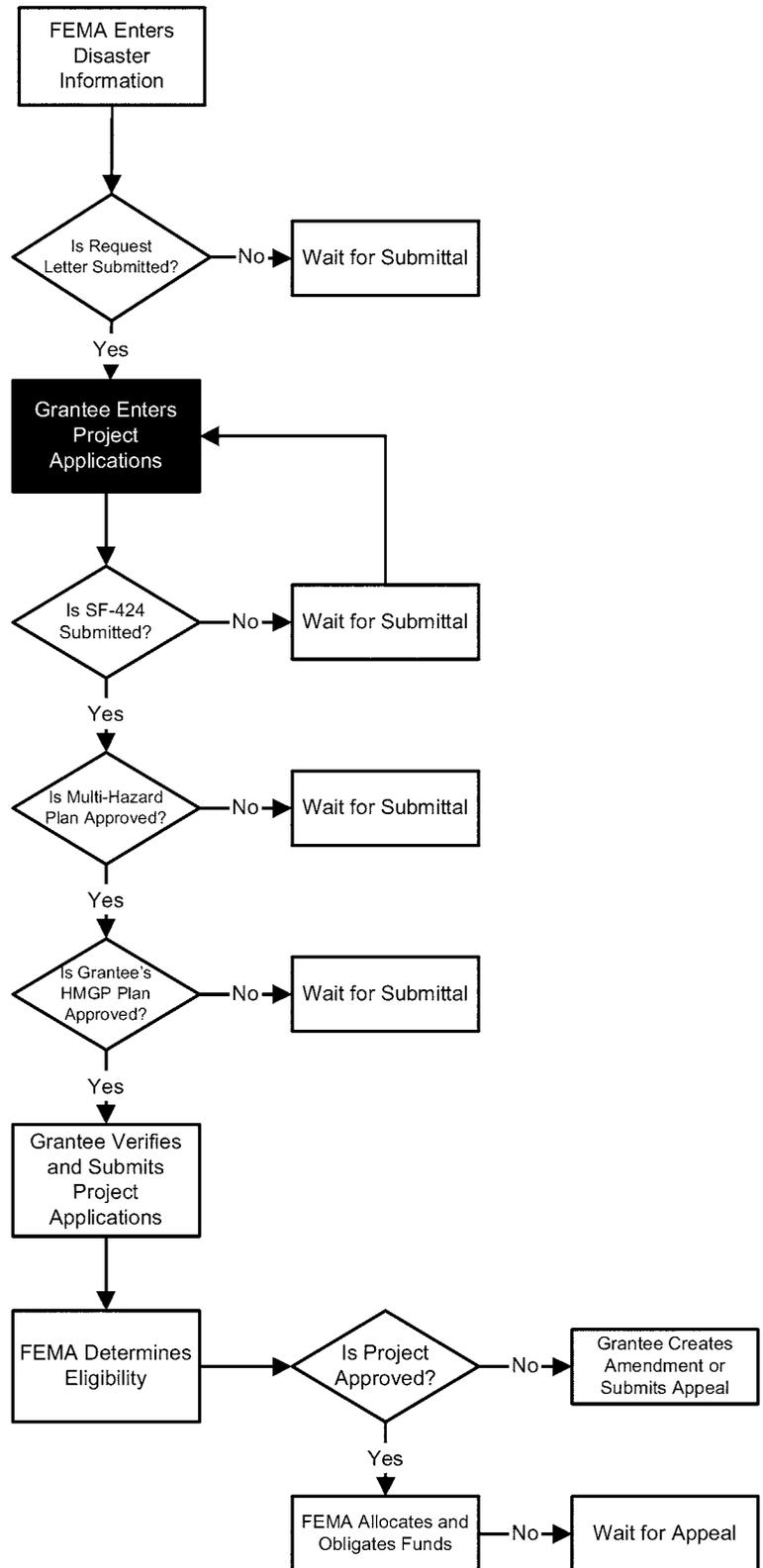


*Note: This requirement is enforced by NEMIS starting with Version 3.00. However, there is a grace period until November 4, 2004, during which time projects may be approved without the plans on file. A warning will appear at the time the project is submitted to FEMA. After November 4, 2004, no Project Applications can be approved by FEMA until both plans are approved and on file within NEMIS.*

FEMA sends the Grantee a letter stating its decision for each application.

- ◆ If the application has been denied, the Grantee can create an amendment to address the issues for which FEMA determined the project to be ineligible. This process is described in Chapter 8 – Create an Amendment. An amendment can also be created when the Grantee identifies information in the project application (e.g., cost estimates) or scope of work that needs to be changed.
- ◆ If the application has been denied and the Grantee does not agree with the decision, the Grantee can file an appeal. This is a manual process, initiated by the Grantee. It is described in Chapter 9 – Appeals.
- ◆ If the application has been approved, FEMA allocates and obligates funds for the project. These processes are described in Chapter 10 – Allocate and Obligate Funds.

These processes are illustrated in the flowchart on the next page. (See [Figure 6-1.](#))



**Figure 6-1: NEMIS Mitigation Processes**

## Information Requirements

The information needed to enter project applications should all be contained in the applicant's project file. To ensure project files contain consistent information, most Grantees have developed forms or questionnaires or use the HMGP's Project Application Checklist.

Before you begin, ensure the file is complete. FEMA regulations require that the following information be included in a project application:

- ◆ Overall project information, including Federal Information Processing Standards (FIPS) code (FEMA will assign if not included)
- ◆ Subgrantee and contact name
- ◆ Location and description of project
- ◆ Cost estimate
- ◆ Cost-effectiveness of the project comparing the cost to the anticipated value of reductions in future damage
- ◆ Work schedule
- ◆ Alternatives considered and justification for selection of one
- ◆ Environmental considerations, which may be documented using the HMGP's Environmental Considerations Questionnaire
- ◆ Compliance assurances, including National Flood Insurance Program (NFIP) participation

When completing the project application, be prepared to enter some of this information directly into the fields. Other information is stored in NEMIS by attaching or scanning documents, linking them to the project application record. Before you begin, ensure that the following documents are ready to be attached or scanned and include all the required information:

- ◆ Problem description, including 25 years of damage history

- ◆ Decision-making process, including alternatives considered, selection made, and why
- ◆ Risk and cost-effectiveness data
- ◆ Project description (you may also type this directly into the Project Description field, if less than 4,000 characters)
- ◆ Report describing the environmental impact of the proposed action with supporting documentation, such as maps and technical reports
- ◆ Benefit-Cost (BC) Analysis



*Note: The problem and risk analysis documents may be contained in a local Multihazard Mitigation Plan.*

In addition to these required documents, other supporting documentation (such as maps, blueprints, plats, and reports) can also be attached or scanned during the NEMIS project application process.

## Table of Contents

For Grantees that have access to NEMIS, Grantee Mitigation staff complete the tasks described in this chapter. Regional staff will need to review these screens to approve or deny the project. [Table 6-3](#) identifies the information the Regional user may need. This information is described in the detailed instructions aimed at the State or Tribal user.

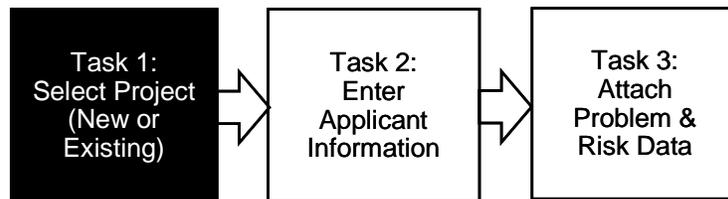
**Table 6-3: Table of Contents**

INFORMATION AVAILABLE FOR THE REGION TO REVIEW	GRANTEE'S TASK	PAGE
To determine how to select a project application to view	<a href="#">Task 1:</a> Select Project (New or Existing)	6-15
To view Grantee and Subgrantee information and to obtain contact's name and number for questions	<a href="#">Task 2:</a> Enter Applicant Information	6-22
To view problem and risk data documents	<a href="#">Task 3:</a> Attach Problem and Risk Data	6-33
To view project type codes (including Grantee Management Costs) and view the project description	<a href="#">Task 4:</a> Enter Project Information	6-35
To view the work schedule	<a href="#">Task 5:</a> Enter Work Schedule	6-42
To view cost details and identify initiative projects	<a href="#">Task 6:</a> Enter Cost Estimate	6-44
To view the sources and details of non-Federal funding	<a href="#">Task 7:</a> Enter Match Sources Funds	6-48
To view cost effectiveness information, including the benefit-cost analysis	<a href="#">Task 8:</a> Enter Cost Effectiveness Information	6-53
To view the maintenance assurance document	<a href="#">Task 9:</a> Attach Maintenance Assurance Information	6-56
To view information about the Grantee's public notice for a project	<a href="#">Task 10:</a> Enter Public Notice Information	6-58
To view supporting documentation	<a href="#">Task 11:</a> Attach Documents	6-60
To obtain reviewer's name and which reviews were performed	<a href="#">Task 12:</a> Enter Eligibility Review Information	6-62

INFORMATION AVAILABLE FOR THE REGION TO REVIEW	GRANTEE'S TASK	PAGE
To view property owners and details	<a href="#">Task 13:</a> Enter Property Site Inventory Information	6-71
To view location information for a non-property project (coming in a later version)	<a href="#">Task 14:</a> Enter Information for the 300-500.3 Series	6-88
To view location information for a non-property project (coming in a later version)	<a href="#">Task 15:</a> Enter Information for the 600 Series	6-89
To view location information for a non-property project (coming in a later version)	<a href="#">Task 16:</a> Enter Information for the 700 Series	6-90
To view location information for a non-property project (coming in a later version)	<a href="#">Task 17:</a> Enter Information for the 800 Series	6-91
To view preparer's and authorized Grantee's name	<a href="#">Task 18:</a> Authorization	6-92
Review Application for deficiencies and to ensure eligibility	<a href="#">Task 19:</a> Set Priorities, Determine Eligibility	6-96
To view submission date and authorization information	<a href="#">Task 20:</a> Verify and Submit Project Applications	6-98
To delete the funds from a project that has already been entered and submitted	<a href="#">Task 21:</a> Zero Projects	6-102
To view the NEMIS help available (coming in a later version)	<a href="#">Task 22:</a> Refer to Help	6-106

## Task 1: Select Project

Task 1 is depicted in the task flowchart below. (See [Figure 6-2](#).)



**Figure 6-2: Select Project**

To begin, the Grantee Hazard Mitigation (HM) staff selects a project for editing or creates a new record.



*Hint: Remember that your user name must be linked with all applicable Grantees in the User to Grantee Link Tab under Disaster Overview to enter or edit an application.*

1. Select Mitigation from the NEMIS Main Menu, HMGP, then Disaster Overview. The Disaster Overview screen appears. (See [Figure 6-3](#).)

Disaster Overview: DISASTER #: 6733 STATE: CA REGION #: 9 DECLARATION DATE: 04/26/2002

Disaster Information | Grantee Information | SF424 Information | Federal Public Notice | Attachments | User to Grantee Link

Final Due Date For New Application: 07/10/2003

HMGP - Total Obligation Date: 07/09/2004

HMGP - Closeout Date (Reconciliation): 07/10/2005

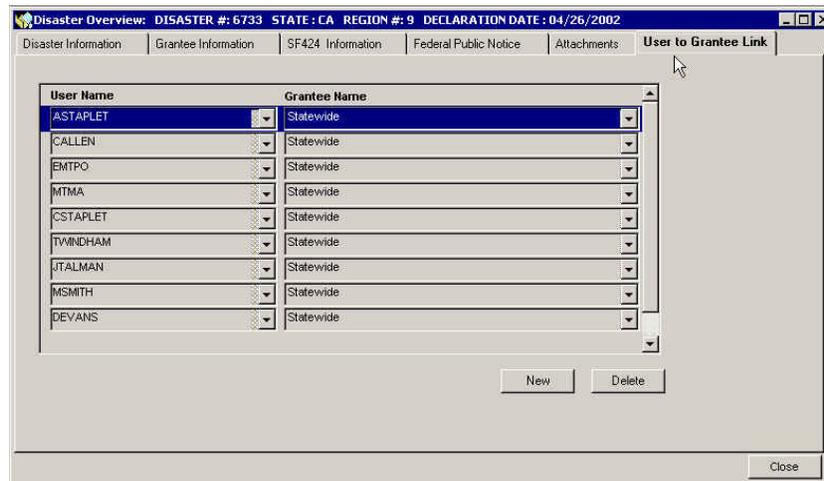
Disaster Closeout Date (FEMA - State Agreement closed by HQ): 07/10/2006

Disaster Closeout Date (From Declaration Module): 00/00/0000

Close

**Figure 6-3: Disaster Overview Screen**

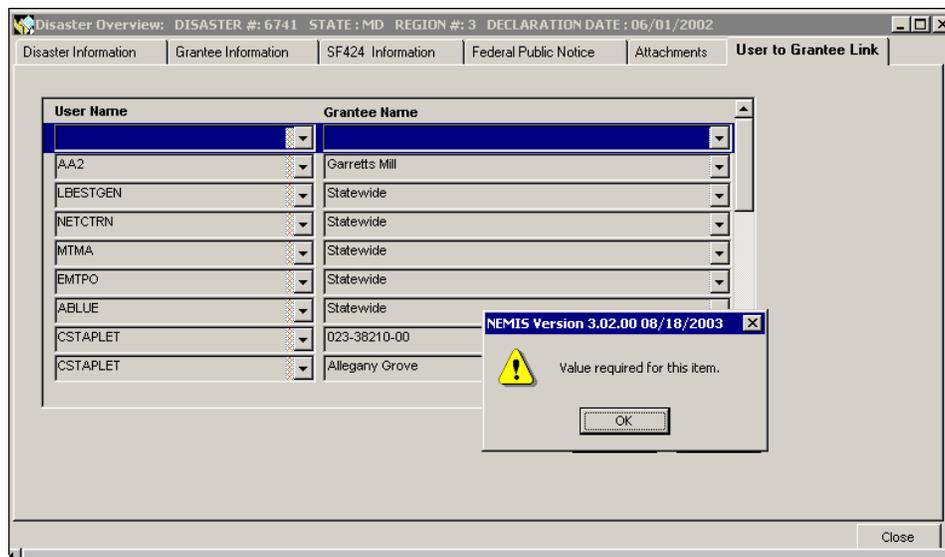
- Click on the User to Grantee Link Tab. (See [Figure 6-4](#).) If your name is on this list, proceed to Step 3. If you need to add your name, click on the NEW button in the lower right corner of the screen. A blank line will appear. Click on the drop-down lists to select your user name and the applicable Grantee. Click CLOSE.



**Figure 6-4: User to Grantee List**

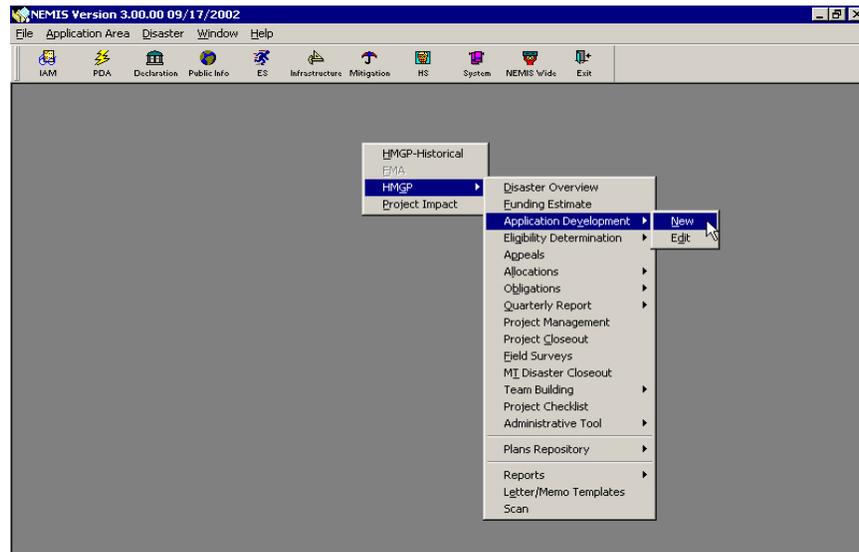


*Caution: If you need to add another user name at the same time, you may receive the error shown in [Figure 6-5](#). Click OK, select the Grantee name first, and then select your user name.*



**Figure 6-5: Error Message**

3. Click CLOSE.
4. Select Mitigation from the NEMIS Main Menu, HMGP, then Application Development. (See [Figure 6-6](#).)

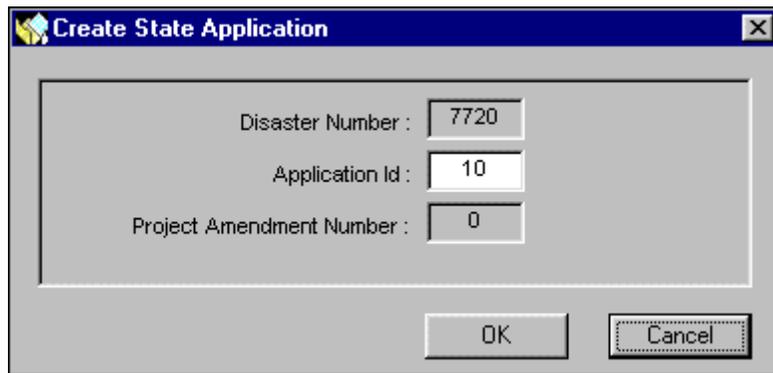


**Figure 6-6: Instructions to the New Application Screen**

You can enter information on a new project application or edit an existing one.

## Task 1A: Enter Information on a New Project Application

1. Select New from the NEMIS Mitigation Application Development menu.  
(See [Figure 6-7](#).)



The image shows a Windows-style dialog box titled "Create State Application". It has a blue title bar with a close button (X) on the right. The main area is light gray and contains three text input fields. The first field is labeled "Disaster Number" and contains the text "7720". The second field is labeled "Application Id" and contains the text "10". The third field is labeled "Project Amendment Number" and contains the text "0". At the bottom right of the dialog, there are two buttons: "OK" and "Cancel". The "Cancel" button is highlighted with a dashed border.

**Figure 6-7: New Project Dialog Box**

For the Application Id field, a sequential number is assigned. You can change this if you have your own numbering system in place to track applications. (Only numbers can be used.)



*Caution: Once you change the number in the Application Id Field and click OK, you cannot edit it later.*

Disaster Number and Project Amendment Number are read-only fields, filled in by the system.

2. Click the OK button.

**Task 1B: Edit an Existing Project Application**

*Note: A project application can be edited until FEMA has completed the Eligibility Determination. The process is described in Chapter 7 – Enter Eligibility Determination Information. Once the project application has been approved or denied, the only task permitted is to attach documents, as described in [Task 11: Attach Documents](#). To make other changes to an approved or denied project application, follow the instructions in Chapter 8 – Create an Amendment.*

1. Select Edit from the NEMIS Mitigation Application Development submenu. A list of all projects associated with the disaster number entered at login appears, as shown below. (See [Figure 6-8](#).) This list includes projects not yet submitted, those submitted and being reviewed, and those that have been reviewed and approved or denied.

Disaster Nr	Fema Proj Nr	Amendment Nr	Applic ID	Suffix	ST	Region	Project Title
6273	3	0	1	R	LA	6	Rebuild Library
6273	1	0	2	M	LA	6	State Management Cost
6273	2	0	3	R	LA	6	Project X
6273	2	1	3		LA	6	Project X
6273	4	0	4	R	LA	6	Some Swell Swales
6273	5	0	5		LA	6	Berm construction

**Figure 6-8: Select Project: Grantee Application Development Table**

2. Identify the project to edit by referring to the columns in the table shown above.

◆ **Disaster Nr** is the number selected at login.

- ◆ **FEMA Proj Nr** is the project application ID number assigned sequentially when the application is submitted to FEMA. If blank, the application has not yet been submitted.
  - ◆ **Amendment Nr** is for amendments; 0 for the initial application, 1 for the first amendment, etc.
  - ◆ **Applic ID** is the number assigned by NEMIS or by the Grantee when a new record is created.
  - ◆ **Suffix** indicates the type of funding requested: Codes are for R (regular project funding), M (Grantee management costs), F (Initiative projects), and P (Planning) projects. This column is blank until FEMA staff complete [Task 3](#) in Chapter 7: Execute Application Completeness Review of the eligibility determination process. This column auto-fills once FEMA Regional staff select the type of funding.
  - ◆ **ST** indicates State.
  - ◆ **Region** indicates FEMA Region number.
  - ◆ **Project Title** is a description of the project application.
3. Highlight a project to edit and click the OK button. If you are editing a project application that has been submitted, you need to alert FEMA to these changes because the project may be in the review process. To identify the Mitigation analyst assigned to this project application, access the Workpacket list for this disaster ([Figure 6-9](#)) (select Mitigation, HMGP Eligibility Determination, In Process from the NEMIS menu), and scroll to the right to view the FEMA Reviewer for the applicable project application. Call or e-mail the analyst to notify that person of your changes.

State	Workflow Description	Status	Project Title	FEMA Reviewer	Previous Reviewer Userid	Assign Analyst
PA	Cost Review	COMPLETE	Center Point, PA. Buy and demolish	He netctrn		
PA	Eligibility Review	COMPLETE	Center Point, PA. Buy and demolish	He netctrn		
PA	Environmental Officer Review	REWORK	Center Point, PA. Buy and demolish	He netctrn		
PA	Project Approval Decision	REVIEW	Acquisition and demolition	netctrn		
PA	Application Completeness Review	REVIEW	Bucks County Project			
PA	Application Completeness Review	REVIEW	Warrensburg, City of			
PA	Application Completeness Review	REVIEW	acquisition of 78 homes in	Fredricksburg		
PA	Application Completeness Review	REVIEW	CITY OF FRANKLIN ACQUISITION/DEM			

Work Flow Map      Change Group    Refresh    OK    Close

Current Role is MA

**Figure 6-9: Mitigation Workpacket List Screen**

## Task 2: Enter Applicant Information

Task 2 is depicted in the task flowchart below. (See [Figure 6-10.](#))



**Figure 6-10: Task 2: Enter Applicant Information**

The Applicant Information screen ([Figure 6-11](#)) is the first screen of 12 in the application development process. Information about the Grantee, Subgrantee, Subgrantee Mitigation Plans, and preparer is entered using the buttons on this screen.



*Note: Grantee and Subgrantee are REQUIRED fields and must be filled.*

HMGP APPLICATION: DISASTER #: 6741 FEMA PROJ #: - APPLICATION ID: 151 AMENDMENT #: 0

700 Series | 800 Series | Authorization | Help

Maintenance Assurance | Public Notice | Attachments | Eligibility Review | Property Site Inventory | 300-500.3 Series | 600 Series

Applicant Information | Problem & Risk Data | Project Info | Work Schedule | Cost Estimate | Match Sources | Cost Effectiveness

**Grantee**

State Code:  County Code:

Fips Place Code:

More Grantee Info ...

**Subgrantee**

State Code:  County Code:

Fips Place Code:

Public Entity:

NFIP Participation:  Last CAV Date:

More Subgrantee Info ...

**Subgrantee Mitigation Plan**

Plan Type  When Subgrantee is the Grantee, no Subgrantee Mitigation Plan is necessary.

Approval Date:  Plan Due Date:

Edit Subgr Link...

**Subgrantee Application Preparer**

Save | Verify | Submit | Amend | Close

**Figure 6-11: Applicant Information Screen**

The AMEND button at the bottom right of the screen is deactivated (grayed out, as above) unless the project application you have selected to edit has already been submitted to FEMA and approved or denied. If this button is activated, you cannot edit this project application; you must create an amendment as described in Chapter 8 – Create an Amendment.

1. Click the CLOSE button to exit from the application at any point. You will be prompted to save changes, if appropriate.
2. Click on the SAVE button at any time to save the information you have entered on the screen. Clicking on another tab will also save your information.

There are four subtasks for this tab: select a Grantee, select a Subgrantee, review Subgrantee Mitigation Plan information, and select a preparer. Each of these subtasks corresponds to a button or area on the screen and is described in this section.

## Task 2A: Select a Grantee

1. Click the MORE GRANTEE INFO button, which opens the Assign Grantee window. (See [Figure 6-12](#).)

The screenshot shows a software window titled "Assign Grantee". The window is divided into several sections. At the top, it says "Enter Criteria". Below this, there are several input fields: "Applicant ID" with an "Update ID" button next to it, "State", "County", "Place Code", "Name", "Tax Id", "Private Non-Profit" (with radio buttons for "Yes" and "No"), "CID Number" (a dropdown menu), and "Applicant Description". To the right of these fields is a vertical column of buttons: "Search", "Add", "Delete", "Add Contact", "Edit Contact", "Delete Contact", "Save", "OK", and "Cancel". At the bottom of the window, there is a table with two columns: "Contact Name" and "Contact Title".

**Figure 6-12: Assign Grantee Window**

2. Click the SEARCH button and scroll through the Grantees. Click the OK button to select a Grantee and return to the Application Information screen.

The Grantees displayed are those to which your user ID is linked. If the desired Grantee is not displayed, the link or another Grantee can be added by FEMA staff by following instructions in Chapter 3 – Enter Disaster Information.



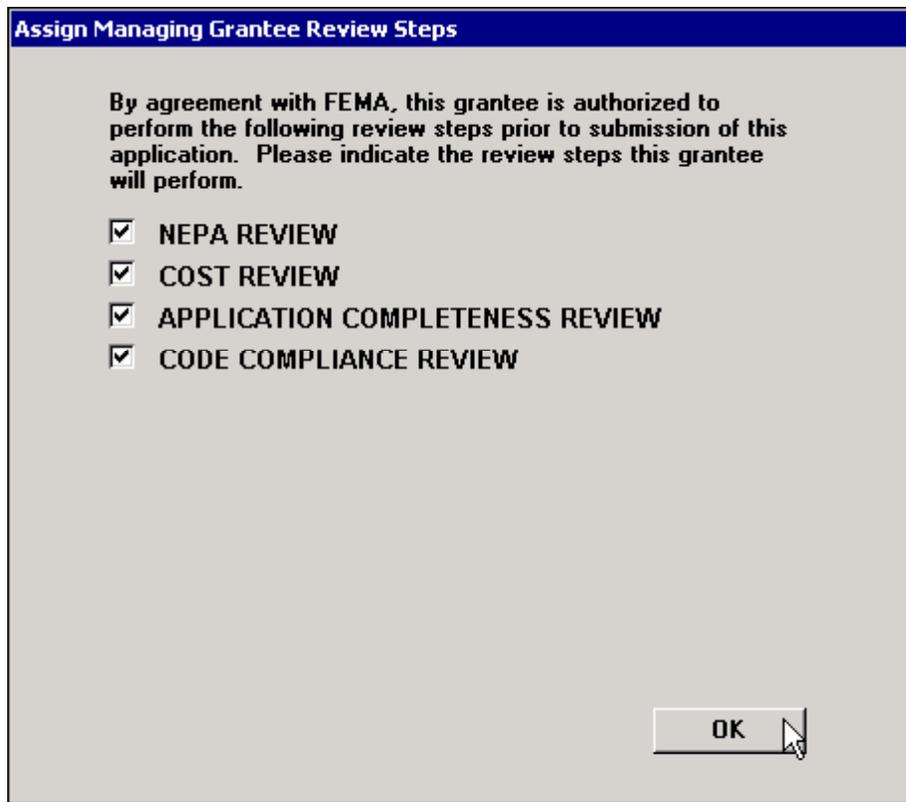
*Caution: You must designate a Grantee before you can submit the project application. See [Task 20: Verify and Submit Project Applications](#). The Grantee is generally the State, a State Agency, or a Tribe.*

## Task 2B: Select a Managing Grantee



*Note: The following screen will only appear if the Grantee has an agreement with FEMA to serve as a Managing Grantee. This agreement is between the Grantee and FEMA and is decided before a disaster. If the Grantee is serving as a Managing Grantee, it can decide which of the following four actions it feels comfortable taking.*

1. Click the MORE GRANTEE INFO button, which opens the Assign Managing Grantee Review Steps window. (See [Figure 6-13](#).)

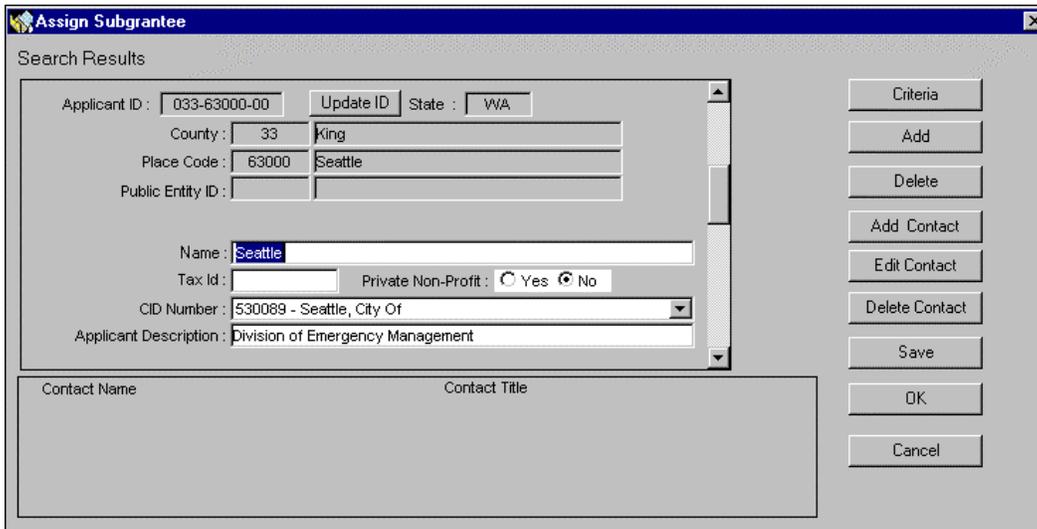


**Figure 6-13: Assign Managing Grantee Review Steps Window**

2. Check the box for each step the Managing Grantee will handle. These steps are the same as those agreed to in the FEMA-State Agreement.
3. Click OK, which will open the Assign Grantee window. Follow instructions on the previous page for entering contact information.

**Task 2C: Select a Subgrantee**

1. Click the MORE SUBGRANTEE INFO button, which opens the Assign Subgrantee window. (See [Figure 6-14](#).)



The screenshot shows a software window titled "Assign Subgrantee". The window contains a "Search Results" section with a scrollable list of search results. The first result is selected and shows the following details:

- Applicant ID: 033-63000-00
- County: 33 King
- Place Code: 63000 Seattle
- Public Entity ID: [Empty]
- Name: Seattle
- Tax Id: [Empty]
- Private Non-Profit:  Yes  No
- CID Number: 530089 - Seattle, City Of
- Applicant Description: Division of Emergency Management

Below the search results is a table with two columns: "Contact Name" and "Contact Title". The table is currently empty.

On the right side of the window, there is a vertical stack of buttons: Criteria, Add, Delete, Add Contact, Edit Contact, Delete Contact, Save, OK, and Cancel.

**Figure 6-14: Assign Subgrantee Window**

2. Determine if the Subgrantee has already been entered in the system by clicking the SEARCH button. Use the Scroll bar to view records.
3. If the desired Subgrantee is in the system, click the OK button to select it and return to the Applicant Information screen.

4. If the Subgrantee is not in the system, click the ADD button to create a new record. (See [Figure 6-15](#).)

**Figure 6-15: Assign Subgrantee Screen**

5. Click the UPDATE ID button, which opens the County/Place Code list. (See [Figure 6-16](#).) This will take a few minutes to open.

County Code	County Name	Place Code	Place Name
1	Allegany	750	Allegany
1	Allegany	99001	Allegany (County)
1	Allegany	775	Allegany Grove
1	Allegany	1175	Amcelle
1	Allegany	4525	Barrelville
1	Allegany	4625	Barton

**Figure 6-16: County/Place Code List**

6. Determine if the applicant is associated with a place (e.g., a town within a county) or a public entity (e.g., a building within a town within a county). (See [Table 6-4](#).)



*Note: The State, county, place, and public entity codes appear on the Application Information screen and comprise the FIPS code.*

**Table 6-4: Determine if the Applicant is Associated With a Place or a Public Entity**

IF ...	THEN ...
The applicant is associated with a place	Select a place code by clicking the COUNTY CODE radio button. A list of counties and places according to the FIPS system appears. Highlight the place in the table, and click the OK button, which returns you to the Assign Subgrantee window.
The applicant is associated with a public entity	Select a public entity code by clicking on the PUBLIC ENTITY radio button. A list of public entity codes, as established by the Infrastructure Division, appears. Highlight the public entity name in the table and click the OK button, which returns you to the Assign Subgrantee window.



*Note: If a place or public entity is not contained in the tables, contact the FEMA Regional HMO, who can add records.*



*Caution: When looking for a county, be sure to select the record identified with the county in the Place Name column. Since the table repeats the county name and the list under Place Name is alphabetical, this is seldom the first row when you scroll down to the records for that county. You may click on County Name or Place Name column headings to sort these columns alphabetically. Be patient since this may take a few minutes.*

7. Enter the information in [Table 6-5](#) on the Assign Subgrantee window.

**Table 6-5: Instruction for the Assign Subgrantee Window**

FIELD NAME ON SCREEN	INFORMATION TO BE ENTERED
Name	Type the name of the Subgrantee, if it is different from the name taken from the County or Public Entity table
Tax ID	Type an alpha-numeric tax identification code
Private Non-Profit	Select Y or N
CID Number	Select the CID of the Subgrantee from the drop-down list, if applicable
Applicant Description	Type a description of the Subgrantee

8. Click the ADD CONTACT button to enter information on a contact for the Subgrantee. The window for contact information appears.
9. Follow the personnel database instructions in Appendix B, which return you to the Assign Subgrantee window.
10. Click the OK button again to return to the Applicant Information screen.
11. Enter the information in [Table 6-6](#) directly on the Applicant Information screen.

**Table 6-6: Instructions for the Application Information Screen**

FIELD NAME ON SCREEN	INFORMATION TO BE ENTERED
NFIP Participation	Select Y or N from the drop-down list
Last CAV Date	Type the date, if applicable. Contact a Regional member of NFIP to obtain this information.



**Caution:** You must designate a Subgrantee before you can submit the project application. See [Task 20: Verify and Submit Project Applications](#). The Subgrantee is the Applicant and can be a State Agency, local government, or eligible nonprofit organization.

**Task 2D: Review the Subgrantee Mitigation Plan Information**

1. When the Subgrantee is not the same as the Grantee, data for the Subgrantee Mitigation Plan data will display, as shown in [Figure 6-17](#).

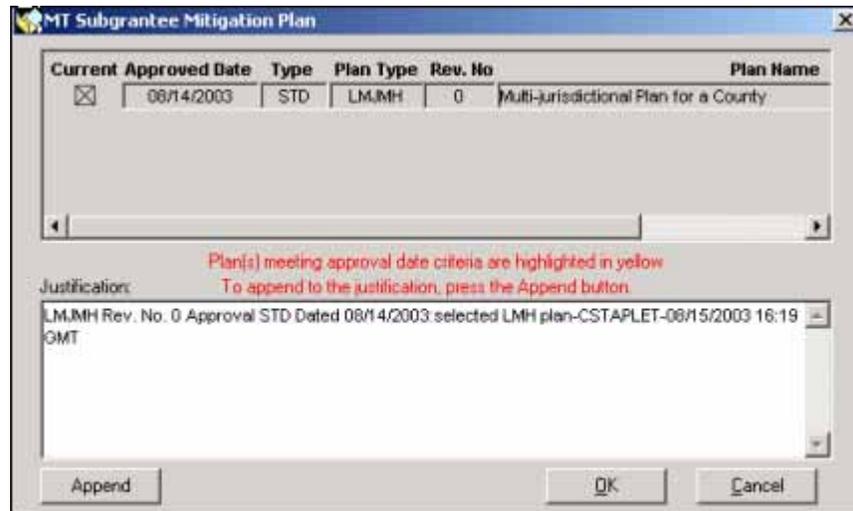
If there is no approved plan, this approval warning message will display in red next to the Edit Subgrantee Link button: There is no approved Subgrantee Multihazard Mitigation Plan meeting the date criteria for this Subgrantee. There must be a mitigation plan with a valid approval date BEFORE the disaster declaration date before any projects can be approved for regular or initiative projects.

Applicant Information	Problem & Risk Data	Project Info	Work Schedule	Cost Estimate	Match Sources	Cost Effectiveness	Mainten
<b>Grantee</b>							
Statewide		State Code : AR	County Code : 0	Statewide			
Fips Place Code :	0	Statewide		<a href="#">More Grantee Info ...</a>			
<b>Subgrantee</b>							
Warnock Springs		State Code : AR	County Code : 27	Columbia			
Fips Place Code :	73295	Warnock Springs		<a href="#">More Subgrantee Info ...</a>			
Public Entity :							
NFIP Participation :			Last CAV Date :	00/00/0000			
<b>Subgrantee Mitigation Plan</b>							
Plan Type	Local MultiJurisdictional Multihazard Mitigation Plan			<p style="color: red;">There is no approved Subgrantee Multihazard Mitigation Plan meeting the date criteria for this subgrantee. There must be a mitigation plan with a valid approval date BEFORE the disaster declaration date before any projects can be approved for regular or initiative projects.</p>			<a href="#">Edit Subgr Link...</a>
Approval Date	08/14/2003						

**Figure 6-17: No Approved Subgrantee Mitigation Plan Warning**

2. See Chapter 4 – Enter Information for Plans Repository for instructions on entering this information or reference an existing plan by following the next step.

3. Click the EDIT SUBGR LINK button, which will allow you to change the approved plan that is referenced by the Subgrantee for the project being submitted. (See [Figure 6-18](#).)



**Figure 6-18: EDIT SUBGR LINK SubMenu**

All approved plans in the Plans Repository for the designated applicant appear in the MT Subgrantee Mitigation Plan window shown above and may be selected.

However, when changing plans, you must add (append) a comment explaining why you are changing the default plan. You can always cancel if you decide not to change the plan.

4. Click the APPEND button to add a comment relative to the selected plan, or to add a justification when changing the selected plan.  
**JUSTIFICATION IS REQUIRED.**

If you change the selected plan and click the OK button without adding a comment, the Comment window will automatically open up for you to add a comment. You **CANNOT** change the selected plan without adding a comment first.

## Task 2E: Select a Preparer

1. Click the MORE PREPARER INFO button which will open the Look up a Contact screen shown below. (See [Figure 6-19](#).) Follow the personnel database instructions in Appendix B.



*Note: Anytime you enter the screen shown below, enter information in several fields before clicking the SEARCH button. Give as much information as possible because this database contains hundreds of thousands of names and will take a very long time to open if you do not limit your selection.*

Area	Phone	EXT	PIN	Area	Phone	EXT	PIN

**Figure 6-19: Look Up Contact Screen**

2. Enter the name of the person to contact with questions on the content of this application.
3. Click the OK button to return to the Applicant Information screen.

## Task 3: Attach Problem and Risk Data

Task 3 is depicted in the task flowchart below. (See [Figure 6-20.](#))



**Figure 6-20: Task 3: Attach Problem and Risk Data**

This task provides a means of attaching several files to the project record to document the hazard and risk analysis process. These documents may be contained in a local Multihazard Mitigation plan.

1. Click the Problem and Risk Data Tab. (See [Figure 6-21.](#))

HMGP APPLICATION: DISASTER #: 6741 FEMA PROJ #: - APPLICATION ID: 151 AMENDMENT #: 0

Attachments | Eligibility Review | Property Site Inventory | 300-500.3 Series | 600 Series | 700 Series | 800 Series | Authorization | Help

Applicant Information | **Problem & Risk Data** | Project Info | Work Schedule | Cost Estimate | Match Sources | Cost Effectiveness | Maintenance Assurance | Public Notice

**1. Problem Description**  
Describe the hazards and risks to life, safety and improved property that you are trying to solve. Include at least 25 years damage history.  
Attach/Scan Documents View

**2. Decision Making Process**  
Describe the community's decision making process, including the alternative solutions considered. Which proposal is the community's preferred solution? Why?  
Alternative Names  
Details may be viewed in the Eligibility Review/Env Checklist tab  
Attach/Scan Documents View

**3. Risk and Cost Effectiveness Data**  
Provide detailed data to assist State and FEMA to determine if project is cost-effective (e.g., damages from disaster events, frequency of the events, average facility occupancy, type of buildings to protect, etc.)  
Attach/Scan Documents View

Only one Document or Image can be attached to each item, please ensure that it contains all of the information needed.

**Figure 6-21: Problem and Risk Data Screen**

2. Click each of the ATTACH/SCAN DOCUMENT buttons for Problem Description, Decision Making Process, and Risk and Cost Effectiveness Data.
3. Follow the instructions to Attach/Scan Documents, described in Appendix A, for each of the three.



*Caution: All three documents must be included with the project application before it can be approved by FEMA. However, you may submit these documents after you submit the project application. See [Task 20: Verify and Submit Project Applications](#).*

To make it easier for FEMA staff to quickly review the application, the three alternatives are listed here once you add them on the Env Checklist Subtab under the Eligibility Review Tab. If you have not completed that step, nothing will appear under Alternative Names. (See [Figure 6-22](#); see [Task 12](#) in this chapter.) A checkmark will appear in the box next to the name of the alternative the Grantee has chosen. (See [Figure 6-23](#).)

HMGP APPLICATION: DISASTER #: 6296 FEMA PROJ #: 2-R APPLICATION ID: 3 AMENDMENT #: 0

Applicant Information | Problem & Risk Data | Project Info | Work Schedule | Cost Estimate | Match Sources | Cost Effectiveness | Maint

Attachments | **Eligibility Review** | Property Site Inventory | 300-500.3 Series | 600 Series | 700 Series | 800 Series | Authorization | Help

Overview | General Comments | Cost Comments | Environmental Comments | **Env Checklist**

Alternative(s) :  Acquisition of 43 Homes  
 Select only one alternative by clicking on the appropriate check box  
 Do Nothing  
 Levee

New  
Delete

**Figure 6-22: Eligibility Review – Env Checklist from Task 12**

HMGP APPLICATION: DISASTER #: 6296 FEMA PROJ #: 2-R APPLICATION ID: 3 AMENDMENT #: 0

Attachments | Eligibility Review | Property Site Inventory | 300-500.3 Series | 600 Series | 700 Series | 800 Series | Authorization | Help

Applicant Information | **Problem & Risk Data** | Project Info | Work Schedule | Cost Estimate | Match Sources | Cost Effectiveness | Maintenance Assurance | Public Notice

**1. Problem Description**  
Describe the hazards and risks to life, safety and improved property that you are trying to solve. Include at least 25 years damage history.  
 Attach/Scan Documents | View

**2. Decision Making Process**  
Describe the community's decision making process, including the alternative solutions considered. Which proposal is the community's preferred solution? Why?  
 Attach/Scan Documents | View

Alternative Names  
 Acquisition of 43 Homes  
 Do Nothing  
 Levee  
 Details may be viewed in the Eligibility Review/Env Checklist tab

**3. Risk and Cost Effectiveness Data**  
Provide detailed data to assist State and FEMA to determine if project is cost-effective (e.g., damages from disaster events, frequency of the events, average facility occupancy, type of buildings to protect, etc.)  
 Attach/Scan Documents | View

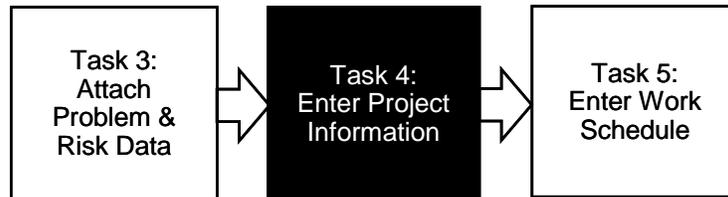
Only one Document or Image can be attached to each item, please ensure that it contains all of the information needed.

Save | Amend

**Figure 6-23: Alternatives on the Problem & Risk Data Screen**

## Task 4: Enter Project Information

Task 4 is depicted in the task flowchart below. (See [Figure 6-24.](#))



**Figure 6-24: Task 4: Enter Project Information**

The Project Information screen provides general information and categories for tracking the projects.

1. Type a descriptive title for the project in the first field. The title should include the town name and activity, if applicable. (See [Figure 6-25.](#))



*Caution: The project title must be filled in before you can submit the project application. See [Task 20: Verify and Submit Project Applications.](#)*

HMGP APPLICATION: DISASTER #: 6741 FEMA PROJ #: 52-R APPLICATION ID: 153 AMENDMENT #: 2

Attachments | Eligibility Review | Property Site Inventory | 300-500.3 Series | 600 Series | 700 Series | 800 Series | Authorization | Checklist | Help

Applicant Information | Problem & Risk Data | **Project Info** | Work Schedule | Cost Estimate | Match Sources | Cost Effectiveness | Maintenance Assurance | Public Notice

Project Title: Acquisition of 45 homes in Allegany County

Project Description: Test-CSTAPLET-10/27/2003 19:26 GMT

Attach Doc  
View

State Legislative District  
State | District Id

New | Delete

Project Type | County Code | Congressional District | Community Names/Codes \* | Hazard Type

Project Code	Description
100.1	Public Awareness and Education (Brochures, Workshops, Videos, etc.)
101.1	Professional Education (Building Inspector Architects, Engineers, Contractors, etc.)
103.1	Feasibility, Engineering and Design Studie

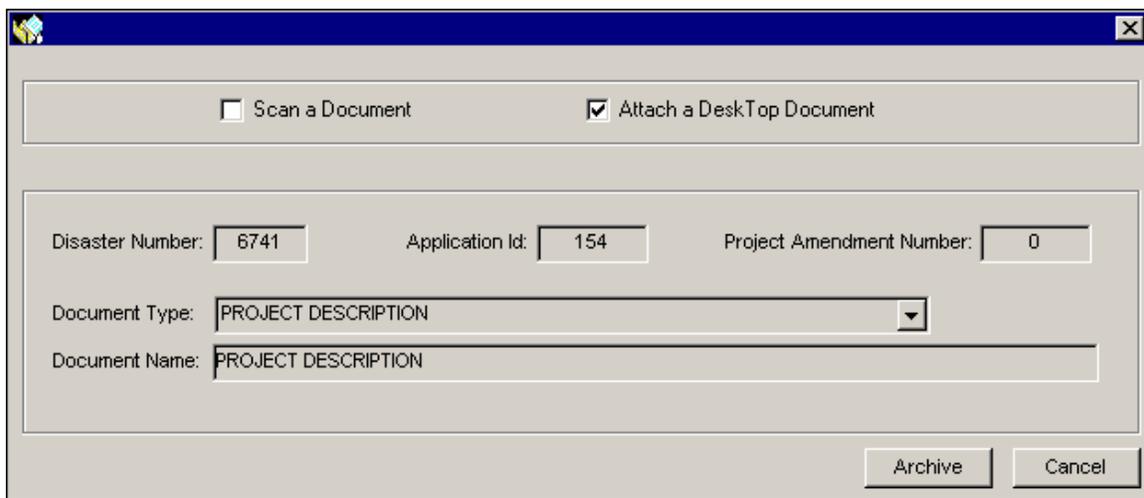
Project Code | Description

200.1 | Acquisition of Private Real Property (Structures and Land) - Riverine

Save | Verify | Submit | Amend | Close

**Figure 6-25: Project Information Screen**

2. Double-click on the Project Description field to open the Comment Editor. You can copy and paste up to 4,000 characters in comments, or type them manually. The Comment Editor will add your user name and date at the end of your comments.
3. Click OK to close the Comment Editor. Once you do so, your comment is saved and cannot be deleted.
4. Click the ATTACH DOC button, located to the right of the Project Description field, to link a file or scanned document to this project application. (See [Figure 6-26](#).)



**Figure 6-26: Window for Attaching or Scanning a Project Description**

5. Follow the instructions to Attach/Scan Documents described in Appendix A.



**Caution:** *The Project Description document must be included with the project application before it can be approved by FEMA. This can occur after you submit the project application. See [Task 20: Verify and Submit Project Applications](#).*

6. If State legislative districts are identified in the application, add them to the Project Information screen by clicking the NEW button next to the State Legislative District box. (See [Figure 6-27](#).) Enter a district name or number.

State	District Id
MD	

New Delete

**Figure 6-27: State Legislative District Window**

7. Select the appropriate codes on the Project Type Subtab ([Figure 6-28](#)) on the bottom portion of the screen by highlighting the row(s) in the table of standard codes on the left and clicking the ADD button. This moves the rows selected from the table on the left to the right.

Project Code	Description
91.1	Local Multihazard Mitigation Plan
92.1	State Multihazard Mitigation Plan
93.1	Tribal (Local) Multihazard Mitigation Plan

Add > Add All > < Delete < Delete All

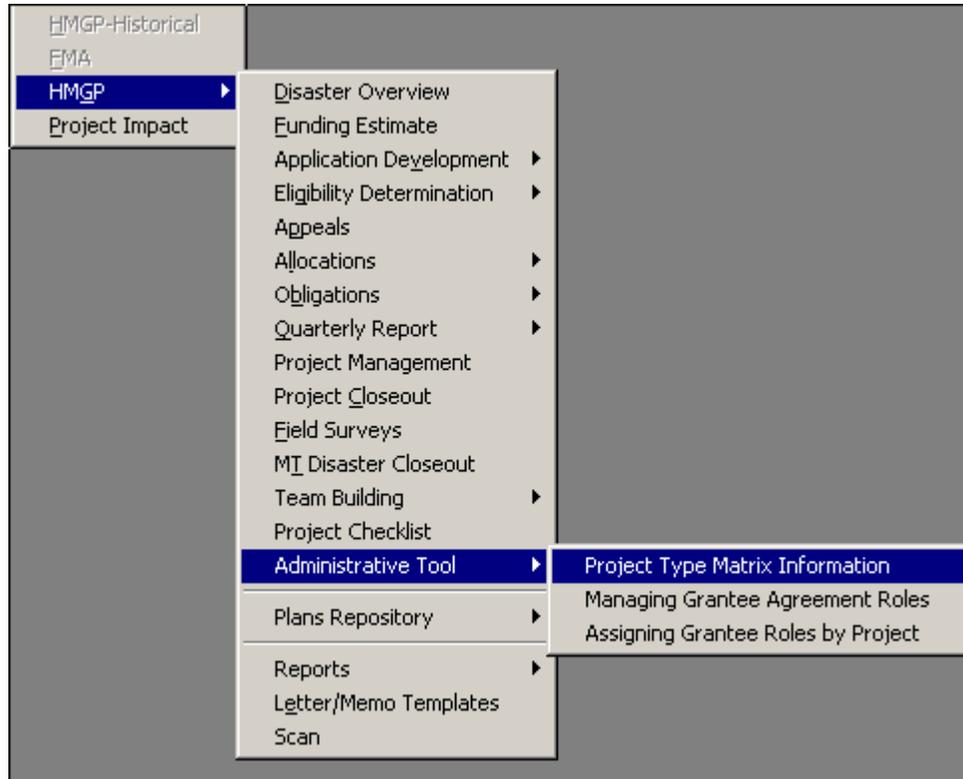
**Figure 6-28: Project Type Subtab on Project Information Screen**



*Note: State Management Cost Codes are codes 600.1-600.4. These codes cannot be selected with any other project types.*



*Hint: To see the list of Project Types available, select Mitigation from the NEMIS Main Menu, then HMGP, Administrative Tool, and Project Type Matrix Information. It is a good idea to check these since they change often. (See [Figure 6-29](#).)*



**Figure 6-29: Path to Project Type List**

A list of project types is displayed. You may use any that are checked under the HMGP column. (See [Figure 6-30.](#))

MT Project Type Matrix													
Code	Description	Legacy	PSI	Plan	SMC	HMGP	FMA	HMGP/HIST	PI	Active Date	Expire Date	Predecessors	
90.1	Mitigation Plan - Local Multihazard Mitigation Plan	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01/01/01	11/12/99	changed to 91.1	
90.2	Mitigation Plan - Tribal Multihazard Mitigation Plan	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01/01/01	11/12/99	changed to 94.1	
90.3	Mitigation Plan - State Multihazard Mitigation Plan	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01/01/01	11/12/99	changed to 92.1	
90.4	Mitigation Plan - Local Multihazard Mitigation Plan	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	01/01/01	11/12/99	91.1 HMGP-HIST	
90.5	Mitigation Plan - Tribal Multihazard Mitigation Plan	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	01/01/01	11/12/99	93.1 HMGP-HIST	
90.6	Mitigation Plan - State Multihazard Mitigation Plan	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	01/01/01	11/12/99	92.1 HMGP-HIST	
91.1	Local Multihazard Mitigation Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	11/13/99			pre
92.1	State Multihazard Mitigation Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	11/13/99			pre
93.1	Tribal (Local) Multihazard Mitigation Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	11/13/99			
94.1	Tribal Multihazard Mitigation Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	11/13/99			pre
95.1	FMA or CRS Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01/01/02		FMA Only	FM
100.1	Public Awareness and Education (Brochures, Workshops, Videos, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	01/01/01			
101.1	Professional Education (Building Inspectors, Architects, Engineers, Contractors, et	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	01/01/01			
102.1	Mitigation Plans - Storm Water/Drainage Management Plans	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01/01/01	11/12/99	none	
102.2	Mitigation Plans - Coastal Zone Management Plans	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01/01/01	11/12/99	none	
102.3	Mitigation Plans - Land Use Planning Resulting in Revised Land Development Regul	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01/01/01	11/12/99	none	

**Figure 6-30: Project Type List**



*Caution: If you are working on a disaster declared before 11/13/1999 and you get errors when reviewing planning projects, contact the NEMIS Help Desk.*

- Click the County Code Subtab and a list of codes appears. (See [Figure 6-31.](#))

Project Type	County Code	Congressional District	Community Names/Codes *	Hazard Type																
	<table border="1"> <thead> <tr> <th>County Code</th> <th>Name</th> </tr> </thead> <tbody> <tr><td>0</td><td>Statewide</td></tr> <tr><td>1</td><td>Adams</td></tr> <tr><td>3</td><td>Asotin</td></tr> <tr><td>5</td><td>Benton</td></tr> <tr><td>7</td><td>Chelan</td></tr> </tbody> </table>	County Code	Name	0	Statewide	1	Adams	3	Asotin	5	Benton	7	Chelan		<table border="1"> <thead> <tr> <th>County Code</th> <th>Name</th> </tr> </thead> <tbody> <tr><td>61</td><td>Snohomish</td></tr> </tbody> </table>	County Code	Name	61	Snohomish	
County Code	Name																			
0	Statewide																			
1	Adams																			
3	Asotin																			
5	Benton																			
7	Chelan																			
County Code	Name																			
61	Snohomish																			

**Figure 6-31: County Codes Subtab on Project Information Screen**

- Select the appropriate codes by highlighting the row(s) in the table on the left. Click the ADD button.

10. Click the Congressional District Subtab and a list of codes appears. (See [Figure 6-32.](#))

State	District Id
WA	1
WA	2
WA	4
WA	5
WA	6

State	District Id
WA	3

**Figure 6-32: Congressional District Codes Subtab on Project Information Screen**

11. Select the appropriate code by highlighting the correct row in the table on the left. Click the ADD button.

12. Click the Community Names/Codes\* Subtab, if applicable. (See [Figure 6-33.](#)) A list of codes generated by the NFIP appears.

CID Number	Community Name
539999	Statewide
530058	Aberdeen, City Of
530001	Adams County *
530270	Airway Heights, Town Of

CID Number	Community Name
535534	Snohomish County *
530171	Snohomish, City Of

**Figure 6-33: Community Names/Codes Subtab on Project Information Screen**

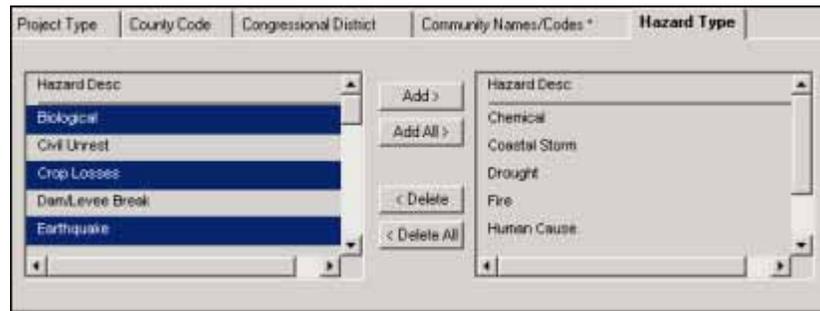
13. Select the appropriate CID numbers and place names by highlighting the rows in the table on the left. Click the ADD button. When a project is not easily associated with a designated area (i.e., a city, a county, or

statewide), the user should assess what area is best or most served by the project and make a judgment call accordingly as to what CID number should be selected in the Community selection list.



*Note: This entry may differ from the CID number entered in the Application Information screen. This entry identifies the community(ies) where the proposed project activity will occur; the Applicant Information CID entry identifies the community of the applicant or Subgrantee.*

- Click the Hazard Type Subtab, as shown in [Figure 6-34](#). Similar to e-Grants, this allows you to capture the hazard type(s) to be mitigated by this project.



**Figure 6-34: Hazard Type Subtab on Project Information Screen**

- Click on all the applicable hazard types in the left-hand window and then click the ADD button. You can click the ADD ALL button to add all the hazard types from the list.
- Click any hazard type in the left window you want to delete and then click the DELETE button, or click DELETE ALL.

For PSI-required Project Types, only the Hazard Types you select here may be selected for individual properties in the PSI.



*Caution: Hazard types are required before the project can be submitted.*

## Task 5: Enter Work Schedule

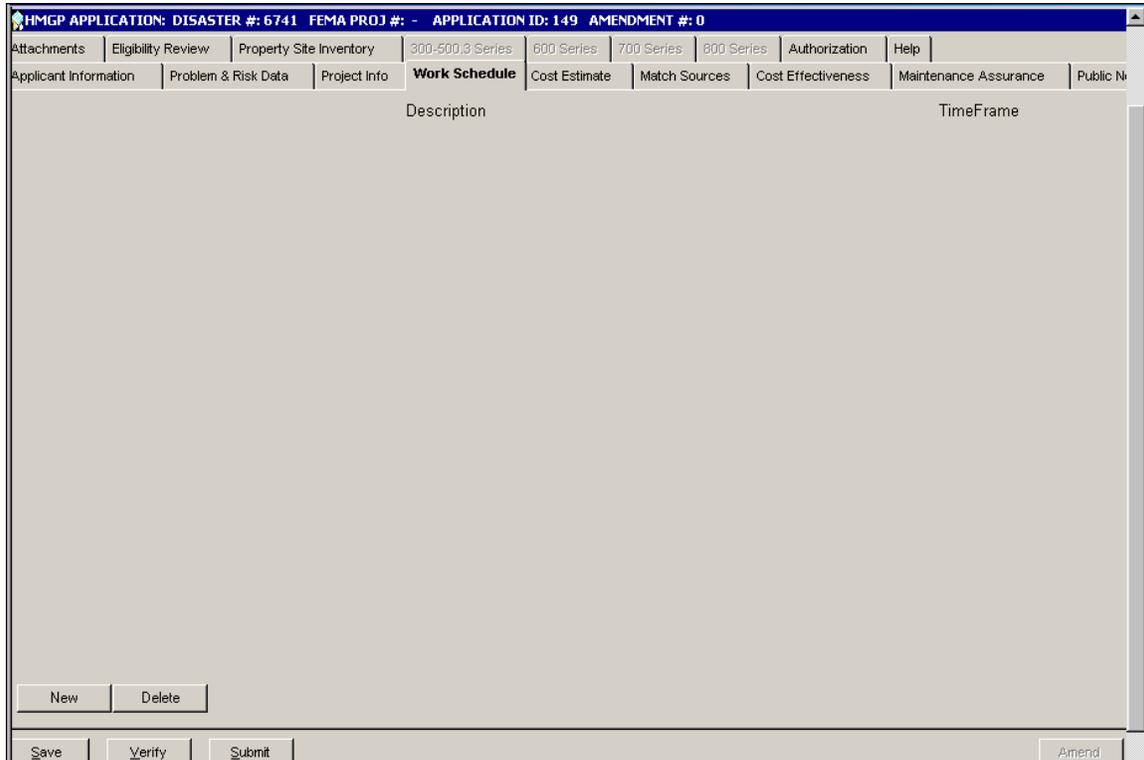
Task 5 is depicted in the task flowchart below. (See [Figure 6-35](#).)



**Figure 6-35: Task 5: Enter Work Schedule**

This screen tracks milestones and schedules in a general sense. If necessary, more detailed scheduling can be done with project management software and by attaching the file following [Task 11: Attach Documents](#). Enter as much detail as possible on the work schedule.

1. Click the Work Schedule Tab. (See [Figure 6-36](#).)



**Figure 6-36: Work Schedule Screen**

2. Click the NEW button.
3. Enter the information in [Table 6-7](#).

**Table 6-7: Instructions to Complete Work Schedule**

FIELD NAME ON SCREEN	INFORMATION TO BE ENTERED
Description	Type a description of the phase in the workflow
Time Frame	Type a description of the time frame

4. Repeat Steps 2 and 3 for each phase of the work schedule. (See [Figure 6-37](#).)

Attachments	Eligibility Review	Property Site Inventory	300-500.3 Series	600 Series	700 Series	800 Series	Authorization	Help	
Applicant Information	Problem & Risk Data	Project Info	Work Schedule	Cost Estimate	Match Sources	Cost Effectiveness	Maintenance Assurance	Public Notice	
			Description						TimeFrame
1	Purchase and close on property						6 mos.		
2									

**Figure 6-37: In Progress Work Schedule Screen**

5. To insert a row, click the NEW button. A row is added at the bottom of the table. Highlight and retype the numbers in the first column of the table if you need to renumber the phases.
6. Click another tab (e.g., Public Notice) and then the Work Schedule Tab. The table will be reordered. Clicking the SAVE button does not reorder the table.



*Caution: At least one phase of the work schedule must be filled in before you can submit the project application. See [Task 20: Verify and Submit Project Applications](#).*

## Task 6: Enter Cost Estimate

Task 6 is depicted in the task flowchart below. (See [Figure 6-38](#).)



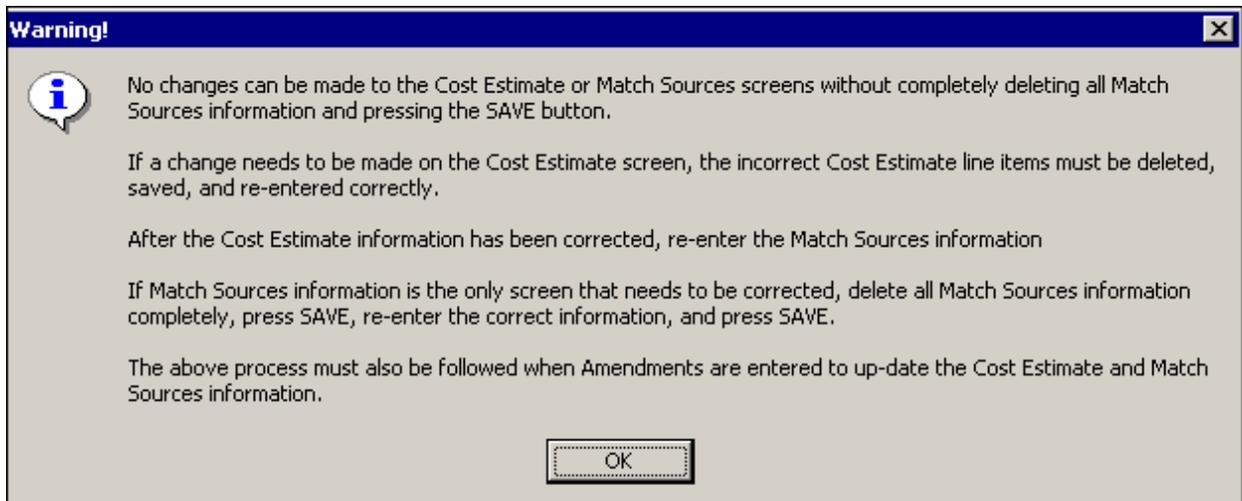
**Figure 6-38: Task 6: Enter Cost Estimate**

Project costs must be itemized; each item is entered in a row on this screen.



*Hint: Click the SAVE button in the lower left corner of the Application screen frequently as you enter information to protect the information if your computer crashes.*

1. Click the Cost Estimate Tab and the following warning appears. (See [Figure 6-39](#).) Read the Warning message very carefully if you are making any changes to Cost Estimate or Match Sources or creating an Amendment. Follow the directions given in the warning.



**Figure 6-39: Cost Estimate Change Warning Screen**

2. Click OK to see the Cost Estimate screen. (See [Figure 6-40.](#))

**Figure 6-40: Cost Estimate Screen**

3. Click the NEW button to create a row to enter costs for each item.
4. Enter the information from [Table 6-8.](#)

**Table 6-8: Instructions on Cost Estimate Screen**

FIELD NAME ON SCREEN	INFORMATION TO BE ENTERED
Item Name	Type a descriptive name
Unit Qty	Type the appropriate number
Unit of Measure	Select from the drop-down list of standard units
Unit Cost	Type the cost per unit (This must never be \$0.00.)

NEMIS calculates the Cost Estimate for each item and the Total Project Cost Estimate as shown in [Figure 6-41](#) below.

Applicant Information	Problem & Risk Data	Project Info	Work Schedule	<b>Cost Estimate</b>	Match Sources	Cost Effectiveness	Maintenance Assurance	Public Notice
<i>Do not Include Administrative Cost. These are calculated when funds are obligated for approved projects.</i>								
Item Name	Unit Qty	Unit of Measure	Unit Cost	Cost Estimate				
Lawyers fees for the closing	1	DAY	1000.00	\$1,000				
Filing fees	5	EA	25.00	\$125				
Total Project Cost Estimate				\$1,125				
New		Delete		Is this project part of the Initiative? Yes <input type="radio"/> No <input type="radio"/>				

**Figure 6-41: Cost Estimate Screen**



*Note: Enter estimated income generated by this project as negative numbers.*

5. Repeat Steps 2 and 3 for each cost item.



*Caution: At least one cost item must be filled in before you can submit the project application. See [Task 20: Verify and Submit Project Applications](#).*

6. Answer the question, “Is this project part of the Initiative?” by clicking Yes or No.



*Note: Set-aside funds for State initiative projects are currently 5% of the total HMGP funding, but the percentage may be specified in the Initiative Pct field on the Financial Info screen. This is described in Chapter 5 – Enter Funding Estimate; Task 4: Enter Financial Information.*

7. Print the Project Cost Line Item report. This is under NEMIS-wide of the NEMIS Main Menu. (See Chapter 14 – Generate Standard NEMIS Reports for instructions.)

## Task 7: Enter Match Sources Funds

Task 7 is depicted in the task flowchart below. (See [Figure 6-42.](#))



**Figure 6-42: Task 7: Enter Match Sources Funds**

Information from the Cost Estimate screen is carried to the top portion of this screen, which tracks and calculates the non-Federal portion of the costs.

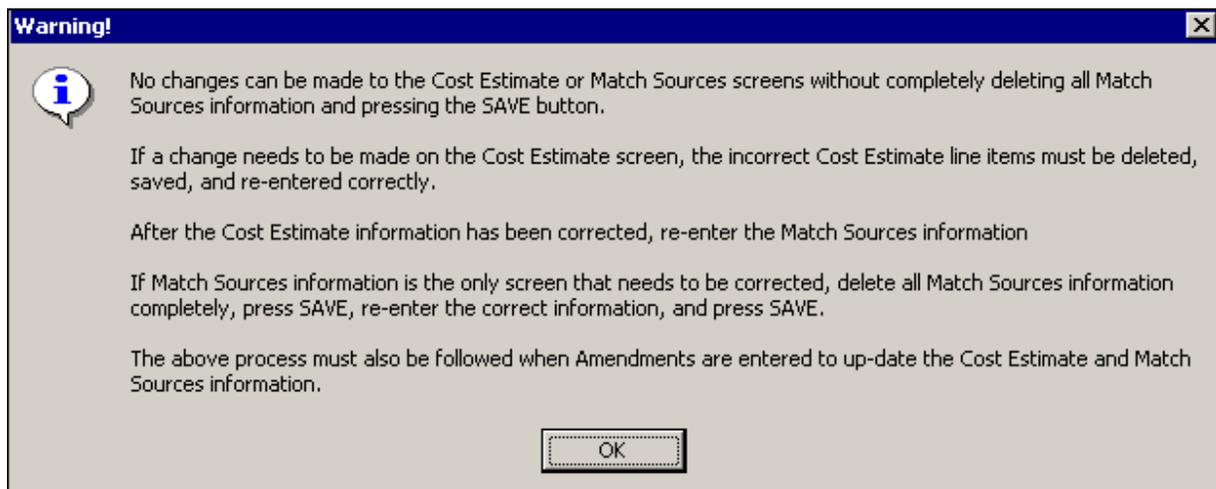


*Note: If information has not been entered on the Cost Estimate screen, this screen cannot be accessed.*

The bottom portion of the screen provides for each source of funding.

1. Click the Match Sources Tab.

Read the Warning message very carefully if you are making any changes to Match Sources or creating an Amendment. Follow the directions given in the warning. (See [Figure 6-43.](#))



**Figure 6-43: Warning Screen**

2. Click OK to see the Blank Match Sources screen. The information in the top fields, Total Project Cost Estimate, Federal Share Percentage, Proposed Federal Share, and Proposed Non-Federal Share all auto-fill from other screens in NEMIS. (See [Figure 6-44.](#))

HMGP APPLICATION: DISASTER #: 6947 FEMA PROJ #: - APPLICATION ID: 505 AMENDMENT #: 0

Attachments | Eligibility Review | Property Site Inventory | 300-500.3 Series | 600 Series | 700 Series | 800 Series | Authorization | Help

Applicant Information | Problem & Risk Data | Project Info | Work Schedule | Cost Estimate | **Match Sources** | Cost Effectiveness | Maintenance Assurance | Public Notice

Total Project Cost Estimate: \$4,325,970 Proposed Federal Share: \$3,244,478  
Federal Share Percentage: 75% Proposed Non-Federal Share: \$1,081,492

**Non-Federal Funding** 1 of 1

Grand Total Cost: \$0 0%

Reference Cost Codes  
PA  HS  Display

New Delete Save Verify Submit Amend Close

**Figure 6-44: Match Sources Screen**

3. Click the NEW button.



*Note: The bottom portion of the screen will appear blank until you click the NEW button.*

4. Edit the Federal Share Percentage, if it is other than 75%. (See [Figure 6-45.](#))

Total Project Cost Estimate:	\$1,125	Proposed Federal Share:	\$844
Federal Share Percentage:	75. %	Proposed Non-Federal Share:	\$281

**Non-Federal Funding** 1 of 1

Source Agency:		Funds Availability Date:	00/00/0000
Source Name:		Funds Commitment Letter Date:	00/00/0000
Funding Type:			
Other Funding Type Description:			

Item Name	Unit Qty	Unit of Measure	Unit Cost	Total Cost	% of Non-Fed
				\$0	

Grand Total Cost: \$0 0%

Reference Cost Codes:  
 PA  HS

**Figure 6-45: Non-Federal Share Funding Screen**



*Note: The overall percentage of all project applications Federally funded cannot exceed 75%. The State can increase the Federal share for individual projects, provided that other projects have a decreased Federal share that will balance the overall percentage. The State may identify projects for a higher share in communities that do not have the means to provide a portion of the non-Federal share.*

5. Enter the information in [Table 6-9](#) for the first source of non-Federal funding.

**Table 6-9: Instructions to Complete Source Screen**

FIELD NAME ON SCREEN	INFORMATION TO BE ENTERED
Source Agency	Select from Local, Other, Private Nonprofit, and State
Source Name	Type a description for the source
Funding Type	Select from Administration, Cash, Consulting Fees, Engineering Fees, Equipment Operation/Rental, Labor, Other, Program Income, and Supplies
Other Funding Type Description	If Other is selected for Funding Type, describe it here
Funds Availability Date <b>Required field</b>	Type the applicable date. This date and the Funds Commitment Letter Date must always be entered for any project to show that the matching non-federal funds are available before FEMA approves the project. No project can be obligated without this entry or documentation in the project file.
Funds Commitment Letter Date <b>Required field</b>	Type the applicable date.

6. Enter the requested information for each item funded by this source.

In the lower right corner, you can access two cost code lists. Click the PA (Public Assistance) or HS (Human Services) box and Display to bring up that particular cost code list. These are read-only lists for reference.

7. NEMIS calculates the Total Cost of each item, its percentage of Non-Fed Share, and the Grand Total Cost.



*Caution: At least one source of non-Federal funding must be filled in before you can submit the project application. See [Task 20: Verify and Submit Project Applications](#).*



*Note: Use the Scroll bar to view multiple sources.*

- Repeat Steps 3 and 4 for each source of non-Federal funding. When complete, the Grand Total Cost should match the Proposed Non-Federal Share in the top portion of the screen. (See [Figure 6-46](#).)

Applicant Information	Problem & Risk Data	Project Info	Work Schedule	Cost Estimate	Match Sources	Cost Effectiveness
Total Project Cost Estimate: \$1,125		Proposed Federal Share: \$563				
Federal Share Percentage: 50.00 %		Proposed Non-Federal Share: \$562				
<b>Non-Federal Funding</b>						<b>1 of 1</b>
Source Agency: Local		Funds Availability Date: 10/15/2003				
Source Name: Gettysburg Township		Funds Commitment Letter Date: 11/15/2003				
Funding Type: Administration		Other Funding Type Description: [REDACTED]				
Item Name	Unit Qty	Unit of Measure	Unit Cost	Total Cost	% of Non-Fed	
Use of Patty Smith	6	DAY	\$85	\$510	91%	
Source Agency: Other		Funds Availability Date: 10/15/2003				
Source Name: Red Cross		Funds Commitment Letter Date: 11/15/2003				
Funding Type: Cash		Other Funding Type Description: [REDACTED]				
Item Name	Unit Qty	Unit of Measure	Unit Cost	Total Cost	% of Non-Fed	
Cash to cover shortfalls	1	LS	\$52	\$52	9%	
Grand Total Cost:				\$562	100%	
Reference Cost Codes:						
PA <input checked="" type="radio"/> HS <input type="radio"/>				Display		
New		Delete				

**Figure 6-46: Match Sources – Grand Total Costs Screen**

- Print the Project Non-Federal Share report. This is under NEMIS-wide of the NEMIS Main Menu. (See Chapter 14 – Generate Standard NEMIS Reports for instructions.)

## Task 8: Enter Cost Effectiveness Information

Task 8 is depicted in the task flowchart below. (See [Figure 6-47.](#))



**Figure 6-47: Task 8: Enter Cost Effectiveness Information**

Summary information from a BC analysis is entered on this screen. This screen must be completed for all projects, including exempt project types.

1. Click the Cost Effectiveness Tab. (See [Figure 6-48.](#))

HMGP APPLICATION: DISASTER #: 6741 FEMA PROJ #: - APPLICATION ID: 149 AMENDMENT #: 0

Attachments | Eligibility Review | Property Site Inventory | 300-500.3 Series | 600 Series | 700 Series | 800 Series | Authorization | Help

Applicant Information | Problem & Risk Data | Project Info | Work Schedule | Cost Estimate | Match Sources | **Cost Effectiveness** | Maintenance Assurance | Public Notice

**All Projects Require Cost Effectiveness Data**

Amend #	Community	Net Present Value of Project Benefits ( A )	Total Project Cost Estimate ( B )	Benefit-Cost Ratio ( A / B )	Analysis Type	Exempt Type	Reviewer's Name	BC#

New Delete

Save Verify Submit Amend Close

**Figure 6-48: Cost Effectiveness Screen**

- Click the NEW button in the lower left corner of the screen. (See [Figure 6-49.](#))

Amend #	Community	Net Present Value of Project Benefits (A)	Total Project Cost Estimate (B)	Benefit-Cost Ratio (A / B)	Analysis Type	Exempt Type	Reviewer's Name	BC#
0		\$0	\$0					
<b>Amendment # 0 Totals:</b>		<b>\$0</b>	<b>\$0</b>					

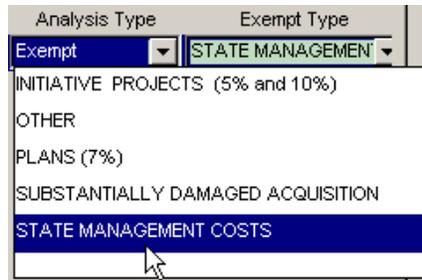
**Figure 6-49: Cost Effectiveness Screen**

- Use the drop-down list in the Community column to select the site for this project. This information is filled in from the Project Info Tab. If no place is listed under the drop-down list, go back to the Project Info Tab ([Task 4](#), Step 12), and fill in the Community Names/Codes\* Subtab in the lower half of the screen.
- Fill in the next two columns, Net Present Value of Project Benefits (A) and Total Project Cost Estimate (B), with values from the BC Analysis documentation. The system calculates the BC Ratio.
- Click the drop-down list in the Analysis Type column. Select the Analysis Type from the list. Narrative Summary is another one of the choices. (See [Figure 6-50.](#))

Amend #	Community	Net Present Value of Project Benefits (A)	Total Project Cost Estimate (B)	Benefit-Cost Ratio (A / B)	Analysis Type	Exempt Type	Reviewer's Name	BC#
3	Alegany County *	\$700,000	\$700,000	1.000	Best Data		Matt Smith	CC
<b>Amendment # 3 Totals:</b>		<b>\$700,000</b>	<b>\$700,000</b>	<b>1.000</b>	Upper Bound			
2	Alegany County *	\$600,000	\$500,000	1.200	Lower Bound		Matt Smith	CC
<b>Amendment # 2 Totals:</b>		<b>\$600,000</b>	<b>\$500,000</b>	<b>1.200</b>	Best Data			
0	Alegany County *	\$500,000	\$600,000	0.833	Not Applicable		Matt Smith	CC
<b>Amendment # 0 Totals:</b>		<b>\$500,000</b>	<b>\$600,000</b>	<b>0.833</b>	Exempt			

**Figure 6-50: Drop Down List from Analysis Type Column**

- Go to the next column if Analysis Type is Exempt. Click the drop-down list. (See [Figure 6-51](#).)



**Figure 6-51: Analysis Type Menu**

- Select the appropriate exempt type from the list.
- Add your name to the reviewer's name column. Select whether you are a contractor, or with FEMA or the State from the drop-down menu, add the date of the analysis and any comments, as shown below in [Figure 6-52](#).

Exempt Type	Reviewer's Name	BCA Performed By	Analysis Date	Comments
Exempt	Mike Smith	FEMA	10/17/2003	

**Figure 6-52: Remainder of the Cost Effectiveness Screen**

- Click another tab or click CLOSE and Yes to SAVE the changes.
- Attach the BC documentation under the Attachments Tab, [Task 11](#).

## Task 9: Attach Maintenance Assurance Information

Task 9 is depicted in the task flowchart below. (See [Figure 6-53](#).)



**Figure 6-53: Task 9: Attach Maintenance Assurance Information**

Files to document the maintenance assurance procedures are attached in this task. These documents should be provided by the agency that will be responsible for maintaining the site after the Mitigation work is completed.

1. Click the Maintenance Assurance Tab. (See [Figure 6-54](#).)

HMGP APPLICATION: DISASTER #: 6741 FEMA PROJ #: - APPLICATION ID: 149 AMENDMENT #: 0

Attachments | Eligibility Review | Property Site Inventory | 300-500.3 Series | 600 Series | 700 Series | 800 Series | Authorization | Help

Applicant Information | Problem & Risk Data | Project Info | Work Schedule | Cost Estimate | Match Sources | Cost Effectiveness | **Maintenance Assurance** | Public Notice

**Reminder: Maintenance of completed HMGP Projects is not an eligible grant cost. Applicants should identify a responsible party to ensure the project will be maintained in an effective condition corresponding to the grant.**

**Maintenance Assurance Description**

Attach/Scan Documents | View

Has the applicant identified any maintenance required to preserve the long-term mitigation effectiveness of the project?

Please attach maintenance schedule, estimated costs, and identified entity responsible for completing maintenance.

Save | Verify | Submit | Amend | Close

**Figure 6-54: Maintenance Assurance Screen**

2. Click the ATTACH/SCAN DOCUMENT button, and follow the instructions described in Appendix A.



*Caution: The Maintenance Assurance document must be included with the project application before it can be approved by FEMA. This can occur after you submit the project application. See [Task 20: Verify and Submit Project Applications](#).*

## Task 10: Enter Public Notice Information

Task 10 is depicted in the task flowchart below. (See [Figure 6-55](#).)



**Figure 6-55: Task 10: Enter Public Notice Information**

The Grantee or local community may be required to issue a public notice, in coordination with the Public Affairs Officer, for projects that have an impact on the environment or meet criteria established by State or local policies. The information is tracked in this screen.

1. Click the Public Notice Tab. (See [Figure 6-56](#).)

**Figure 6-56: Public Notice Screen**

2. Click Yes if the project requires a public notice. Click the NEW button. (If you click No, there is nothing to fill in.)
  
3. Enter the date the public notice was posted, the name of the publication that printed the notice, name of the contact person, and the telephone number.
  
4. Repeat Steps 2 and 3 for each public notice.

## Task 11: Attach Documents

Task 11 is depicted in the task flowchart below. (See [Figure 6-57.](#))



**Figure 6-57: Task 11: Attach Documents**

Supporting documentation for the project application, such as maps, photographs, cost estimate spreadsheets, descriptive files, and reports on the environmental impact of the alternatives examined are attached in this task.

Required documentation includes the following:

- ◆ Reports describing environmental impacts and supporting documentation such as maps, technical reports
- ◆ BC Analysis, if completed

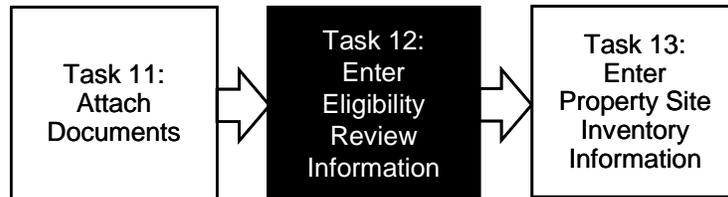
1. Click the Attachments Tab. (See [Figure 6-58.](#))

**Figure 6-58: Attachments Screen**

2. Click the ATTACH/SCAN DOCUMENTS button and follow the instructions to Attach/Scan Documents described in Appendix A.

## Task 12: Enter Eligibility Review Information

Task 12 is depicted in the task flowchart below. (See [Figure 6-59](#).)



**Figure 6-59: Task 12: Enter Eligibility Review Overview Information**

The Eligibility Review Tab has five Subtabs: Overview, General Comments, Cost Comments, Environmental Comments, and Env Checklist.

1. Click the Eligibility Review Tab, which opens the Overview Subtab. (See [Figure 6-60](#).)

Disaster Declared Areas	
Place Code	Place Name
99021	Frederick (County)
99023	Garrett (County)
99027	Howard (County)
99033	Prince George's (County)

**Figure 6-60: Eligibility Review/Overview Screen**

2. Enter the information in [Table 6-10](#). Each review listed should be documented in the applicant's project folder.

**Table 6-10: Information to Complete the Eligibility Review Screen**

FIELD NAME ON SCREEN	INFORMATION TO BE ENTERED
Eligibility Determination Criteria	
Applicant <b>Required field</b>	Select Y, P, or N (Yes, Pending, or No) from the drop-down list to indicate if the applicant criteria in 44 CFR 206.434(a) are met or if a decision is pending. Refer to the Grantee checklist, if applicable.
Project Type <b>Required field</b>	Select Y or N from the drop-down list to indicate if the project type criteria in 44 CFR 206.434(c) are met. Refer to the Grantee checklist, if applicable.
Project Criteria <b>Required field</b>	Select Y or N from the drop-down list to indicate if the project criteria 44 CFR 206.434(b) are met or if a decision is pending
Other Reviews	
Cost Effectiveness Review <b>Required field</b>	Select Y or N from the drop-down list to indicate if the review is complete. Attach the review document following the instructions in <a href="#">Task 11</a> : Attach Documents.
Code Compliance Review <b>Required field</b>	Select Y or N from the drop-down list to indicate if the applicant file documents that local codes are met and permits are documented. Attach the review document following the instructions in <a href="#">Task 11</a> : Attach Documents.
Mitigation Plan Conformance <b>Required field</b>	Select Y or N from the drop-down list to indicate if the applicant file documents the part of the Multihazard Mitigation Plan with which the project conforms
Project Reviewer <b>Required field</b>	Type the name of Grantee person who reviewed the application for eligibility considerations. It may be the same as the name of the preparer.
Recommended for Approval? <b>Required field</b>	Select Y or N to indicate your recommendation

Review Date is a read-only field filled with the current date when the Project Reviewer field is completed.



**Caution:** All fields on this screen must be filled in before you can submit the project application. See [Task 20: Verify and Submit Project Applications](#). **Applicant, Project Type, Project Criteria, and Cost Effectiveness Review must all be checked Y to submit the project application to FEMA.**

## Task 12A: Enter Eligibility Review Comments

All staff entering project information are encouraged to enter comments on any aspect of the project application that may assist the FEMA reviewers to determine the project application's eligibility for HMGP funds. This can include comments on the status of the review, the substance of the application, cost issues, or environmental issues.

1. Click one of the three subtabs of the Eligibility Review Tab: the Gen Comments Subtab, the Cost Comments Subtab, or the Environmental Comments Subtab. (See [Figure 6-61](#).)

HMGP APPLICATION: DISASTER #: 6741 FEMA PROJ #: - APPLICATION ID: 149 AMENDMENT #: 0

Applicant Information | Problem & Risk Data | Project Info | Work Schedule | Cost Estimate | Match Sources | Cost Effectiveness | Maintenance Assurance | Public Notice |

Attachments | **Eligibility Review** | Property Site Inventory | 300-500.3 Series | 600 Series | 700 Series | 800 Series | Authorization | Help |

Overview | **General Comments** | Cost Comments | Environmental Comments | Env Checklist |

Comment Date / Time	User	Amendment Number	Comments
---------------------	------	------------------	----------

New Delete

Save Verify Submit Amend Close

**Figure 6-61: Eligibility Review/General Comments Screen**

- Click the NEW button to open a new row on the applicable tab.  
Date/time, user name, and amendment number are automatically filled in by the system. Double click in the comments field to enter or paste your comments, up to 4,000 characters. (See [Figure 6-62.](#))

HMGP APPLICATION: DISASTER #: 6741 FEMA PROJ #: - APPLICATION ID: 149 AMENDMENT #: 0									
Applicant Information	Problem & Risk Data	Project Info	Work Schedule	Cost Estimate	Match Sources	Cost Effectiveness	Maintenance Assurance	Public Notice	
Attachments	<b>Eligibility Review</b>	Property Site Inventory	300-500.3 Series	600 Series	700 Series	800 Series	Authorization	Help	
Overview	<b>General Comments</b>	Cost Comments	Environmental Comments	Env Checklist					
Comment		Amendment							
Date / Time	User	Number	Comments						
10/17/03 14:44:35	CSTAPLET	0							

**Figure 6-62: General Comments Screen**

- Repeat with other subtabs.

## Task 12B: Enter Eligibility Review Environmental Checklist

Under the National Environmental Policy Act (NEPA), three project alternatives must be reviewed and considered to address an identified problem. One alternative may be “no action” but the other two must be fully documented, one being the chosen or proposed action and the other being an equally well-studied alternative. The environmental impacts for the alternatives are evaluated. Descriptions of the alternatives are contained in a report for each. The reports for the alternatives and the report for the proposed action must be attached by following the instructions in [Task 11: Attach Documents](#).

This screen contains information on the alternative methods that were examined for accomplishing this project and the proposed action and their environmental impacts.

There are very few exceptions to the NEPA policy to review and consider three project alternatives and most are for emergency measures and not in the Mitigation phase of disaster work. Under the HMGP regulations, some categorically excludable projects are exempted from this requirement (e.g., Grantee Management Costs and developing hazard-specific pamphlets).

1. Click the Eligibility Review Tab and the Env Checklist Subtab. (See [Figure 6-63](#).)

**Figure 6-63: Eligibility Review/Env Checklist Screen**

2. Click the NEW button. A dialog box to name the alternative appears. (See [Figure 6-64](#).)

**Figure 6-64: New Alternative Name Dialog Box**

3. Type a name for the alternative method, and click the OK button.

A table ([Table 6-11](#)) listing the following standard environmental and historical issues appears.

**Table 6-11: Standard Environmental and Historical Issues**

ISSUE	EXPLANATION
Aquatic and Terrestrial Biotic Resources	If the project occurs in an area that has resources designated as aquatic or terrestrial, the impact must be documented.
Designated Floodplain/ Floodway	If the project occurs in an area designated by the NFIP as a floodplain or floodway, the impact must be documented.
Hazardous Materials	If hazardous materials (as designated by EPA's hazardous materials regulations) are present at the project site, the impact of managing the materials must be documented.
Historic Structures	If historic structures (as designated by the National Historic Preservation Act) are present, the impact on those structures must be documented.
Hydrology/ Hydraulics	If the hydrology or hydraulics of the area might be impacted, the impact must be documented.
Land Use/Development Patterns	If land use or development patterns might be impacted, the impact must be documented. A document to demonstrate consultation with the local government should be attached, following the instructions in <a href="#">Task 11</a> : Attach Documents.
Local Economy/ Community/ Services	If a local economy, community, or services might be affected, the impact must be documented. A document to demonstrate consultation with the local government should be attached, following the instructions in <a href="#">Task 11</a> : Attach Documents.
Low-Income or Minority Populations	If low-income or minority populations are present, the impact must be documented.
Prime Farmland	If a prime farmland is present, the impact must be documented.
Slopes and Soils	If slopes or special soils are present, the impact must be documented.
Special Status Natural Areas	If a natural area is present, the impact must be documented.
Threatened/ Endangered Species	If a species designated as threatened or endangered is present, the impact on the species must be documented.
Water Quality	Water impacts should be documented to meet the Clean Water Act requirements.
Wetlands	If any wetlands are present, the impact must be documented.

4. Enter the information from [Table 6-12](#) on the analysis of this alternative method for its impact on the first issue listed, Aquatic and Terrestrial Biotic Resources.

**Table 6-12: Instructions to Complete Analysis**

FIELD NAME ON SCREEN	INFORMATION TO BE ENTERED
Status (Blank) second column in the table.	Click on the drop-down list and select a status from the list: Not in project area, In project area with no effect, Presence in area undetermined, In project area – effect unknown, and Adverse effect
State Agency Consulted	Click for a checkmark if the appropriate State agency was contacted
Fed Agency Consulted	Click for a checkmark if the appropriate Federal agency was contacted
Documentation Attached	Click for a checkmark to indicate the analysis of this alternative includes supporting documentation that is attached following the instructions in <a href="#">Task 11</a> : Attach Documents. Descriptive reports for the alternatives should be attached and a descriptive report for the proposed action must be attached.

5. Repeat Step 5 for each of the 14 issues listed on the screen. Click the Scroll arrow to reveal all 14 standard issues.
6. Click NEW ISSUE button if additional environmental or historical issues were addressed by this alternative. Enter the name of the issue or regulations that were addressed. Follow Steps 4 and 5 to enter the information for this issue.



*Caution: You must complete the Environmental Checklist for at least one alternative before you can submit the project application. See [Task 20](#): Verify and Submit Project Applications.*

7. Repeat Steps 2 – 6 for each of the alternatives examined.



*Note: For the proposed action, all issues should be documented unless the proposal can be categorically excluded from this requirement. State Management Costs, for instance, do not require an environmental checklist. They also do not require listing two alternatives.*

- Select the proposed action alternative by clicking the appropriate checkbox once you have entered the three project alternatives and completed the checklists. (See [Figure 6-65.](#))

The screenshot shows the 'Eligibility Review' section of the HMGP application software. At the top, the application details are: 'HMGP APPLICATION: DISASTER #: 6296 FEMA PROJ #: 2-R APPLICATION ID: 3 AMENDMENT #: 0'. Below this are several tabs: 'Applicant Information', 'Problem & Risk Data', 'Project Info', 'Work Schedule', 'Cost Estimate', 'Match Sources', 'Cost Effectiveness', and 'Main'. Underneath, there are more specific tabs: 'Attachments', 'Eligibility Review', 'Property Site Inventory', '300-500.3 Series', '600 Series', '700 Series', '800 Series', 'Authorization', and 'Help'. The 'Env Checklist' tab is currently active. In the 'Alternative(s)' section, there is a list of three options: 'Acquisition of 43 Homes' (which is selected with a checked checkbox), 'Do Nothing', and 'Levee'. To the right of this list are 'New' and 'Delete' buttons. Below the alternative selection is a table of 'Standard Issues' with columns for 'State Agency Consulted', 'Fed Agency Consulted', and 'Documentation Attached'. The table contains three rows of data:

Standard Issues		State Agency Consulted	Fed Agency Consulted	Documentation Attached
Aquatic/Terrestrial Biotic Resources	In project area with no effect	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Designated Floodplain/Floodway	In project area with no effect	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Hazardous Materials	Not in project area	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

**Figure 6-65: Selecting Project Alternative**

## Task 13: Enter Property Site Inventory Information

Task 13 is depicted in the task flowchart below. (See [Figure 6-66](#).)



**Figure 6-66: Task 13: Property Site Inventory Information**

This screen is filled in for projects that require a property site inventory. This includes projects that involve acquisition, demolition, relocation, retrofit, elevation, rehabilitation, or structural work.

If the title on the tab is grayed out, it means that the project type selected on the Project Information Tab does not require a Property Site Inventory (PSI).



*Note: All required fields do not have to be entered for a property when it is first created. You can create properties and enter information on the Owner Info Subtab, then SAVE, and then ADD another property. Certain fields must be entered before you can submit the project. Click the VERIFY button on the Authorization Tab to see what fields must be entered.*

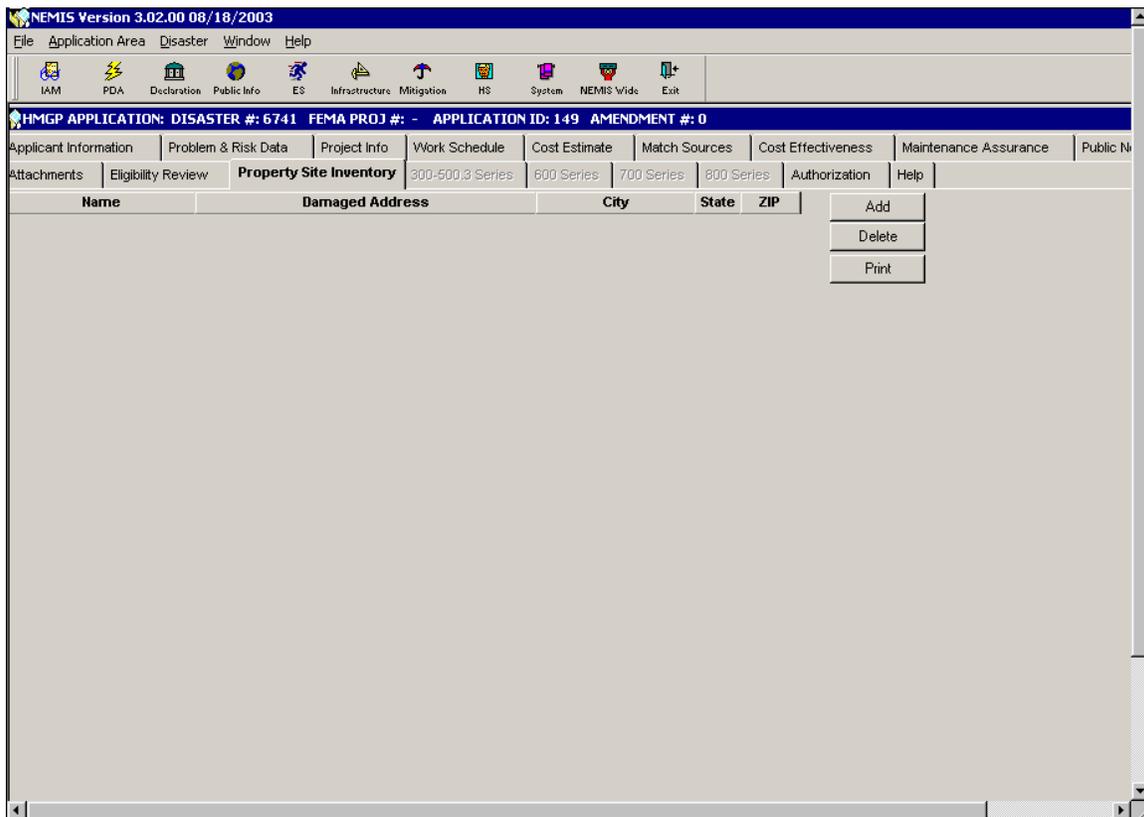
*Once you enter data in one field on a PSI Subtab, all fields in green (required) on that subtab must be entered before you can SAVE that data and move to another subtab. Otherwise, you will have to cancel your changes, and your data will be lost.*

When you enter Project Closeout for a PSI project, a notification message will appear if some properties are missing certain information. The missing information must be entered before the project can be closed out.



*Hint: Clicking the SAVE button will save your work to the database. Do this occasionally as you enter information to protect the information if your computer crashes.*

1. Click the Property Site Inventory Tab. (See [Figure 6-67](#).) This is how a blank PSI appears. As properties are added, they will be listed in a spreadsheet format here. Once a property is added, pertinent information about it will be displayed below.



**Figure 6-67: Property Site Inventory Screen**

2. Click the ADD button to search for a previously entered property and create a new record or to add a new owner record and address. The screen below asks you to look up a property. (See [Figure 6-68.](#))

**Figure 6-68: Look Up a Property Screen for Property Site Inventory**

 *Note: Name and address from the Look up a Property database are filled in from the screen above to the Property Site Inventory screen. These fields cannot be edited directly on the screen but rather must be edited following the instructions in Appendix B.*

3. Search for a property first, using last name, address, city and state. If you do not find the property, click the ADD button, type in the address, then click the SAVE button. Finally, click the OK button to enter that property on the Site Inventory. (See [Figure 6-69.](#))

**Figure 6-69: Property Site Inventory Screen**



*Note: If there is more than one property listed, simply highlight the property of interest. To display the property's information, use the Page Up/Page Down key. Use the Scroll bar on the right-hand side of the screen to scroll through the record. Each record is more than one screen.*

- Use the drop-down list to indicate if this property is included as part of the final project. (See [Figure 6-69](#).)



*Note: If you are not sure, you can leave this field blank until later. The fields marked in purple are required before project closeout. Those marked in navy are a property attribute, and those marked in red are both.*

5. Enter the information in [Table 6-13](#).**Table 6-13: Instructions to Complete Property Record**

FIELD NAME ON SCREEN	INFORMATION TO BE ENTERED
Co-owner	Enter the name of the person or organization who jointly owns the property.
County	Select from the drop-down list
Title Holder – Post Mitigation <b>Required field</b>	Enter the name of the organization, community, or person who will own the title to this property following the mitigation measures.
Purchase Offer Applicable	Select Yes or No from the drop-down menu. If the property was mitigated, then this field must be Yes. If the property was not mitigated, the purchase offer applicable field will be No.

6. Click the Mitigation Action Tab, which opens the following screen. (See [Figure 6-70](#).)

HMGP APPLICATION: DISASTER #: 6947 FEMA PROJ #: - APPLICATION ID: 505 AMENDMENT #: 0

Applicant Information | Problem & Risk Data | Project Info | Work Schedule | Cost Estimate | Match Sources | Cost Effectiveness | Maintenance Assurance | Public Notice |

Attachments | Eligibility Review | **Property Site Inventory** | 300-500.3 Series | 600 Series | 700 Series | 800 Series | Authorization | Help |

Name	Damaged Address	City	State	ZIP	
SMITH, BILL	142 SOUTH PUTTER LANE	RICHMOND	VA	22172	<input type="button" value="Add"/> <input type="button" value="Delete"/> <input type="button" value="Print"/>

Owner Info | **Mitigation Action \*** | Property Info | Flood Zone Designation | NFIP Info | Hazard Type | FIRM Info | Property Purchase Offer | Narrative |

Record 1 of 1

Property Action

- Acquisition of Vacant Land
- Acquisition/Demolition
- Acquisition/Relocation
- Elevation
- Floodproofed
- Other (Specify in Comments)
- Safe Room/Wind Shelter
- Seismic Retrofit
- Wildfire Retrofit
- Wind Retrofit

Property Action Primary

\* Required before Project Closeout.

Save | Verify | Submit | Amend | Close

**Figure 6-70: Mitigation Action Tab on Property Site Inventory**

7. Click the ADD button to select one or more of the property actions in the left column and place them in the right column. You can select multiple mitigation actions for each property. Then put a checkmark in the box indicating the one primary action. This is a required field for a property site inventory.
  
8. Click the Property Info Subtab, at least filling in the information in purple (which is required before a project closeout.) Fields in blue are property attributes, which means that they will be carried over from project to project for a particular property site. If you update a blue field in one project, the field will be updated in all projects where this property appears. (See [Figure 6-71](#).) Information for filling in this screen can be found in [Table 6-14](#).

Owner Info | Mitigation Action \* | **Property Info** | Flood Zone Designation | NFIP Info | Hazard Type | FIRM Info | Pro

Record 1 of 2

Age of Structure (year built): 1982 (e.g., 1982)      Type of Residence: Other (Specify in Comments)

Pre-Event Fair Market Value: 124567      Structure Type: Other (Specify in Comments)

Parcel Number: 45-879845      Foundation Type: Other (Specify in Comments)

Property Tax Id: 456879685      Basement: No

Latitude: 36.356486000      Base Flood Elevation: 52.68

Longitude: -84.561654000      First Floor Elevation: 37.54      Diagram...

SHPO Cleared: Not Applicable      Number of feet the lowest floor elevation of the structure is being raised above Base Flood Elevation (only applicable when Property Action is Elevation): .00

SHPO Cleared Date: 00/00/0000      Damage Category: 50-99% Damaged

Benefit-Cost Analysis Performed: Yes      Post-Mitigation - Property Use: Other (Specify in Comments)

Benefit-Cost Ratio: 2.369

Click for sample latitude and longitude => Sample ...

**Purple = Required before Project Closeout. Navy = Property Attribute**

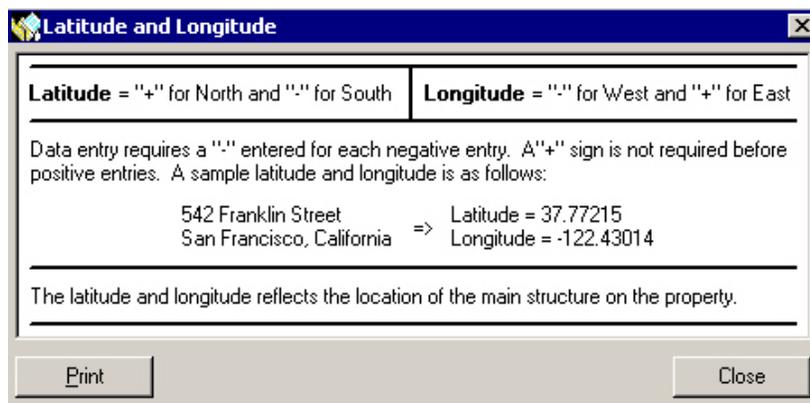
**Figure 6-71: Property Info Subtab**

**Table 6-14: Information for Completing Property Info Subtab**

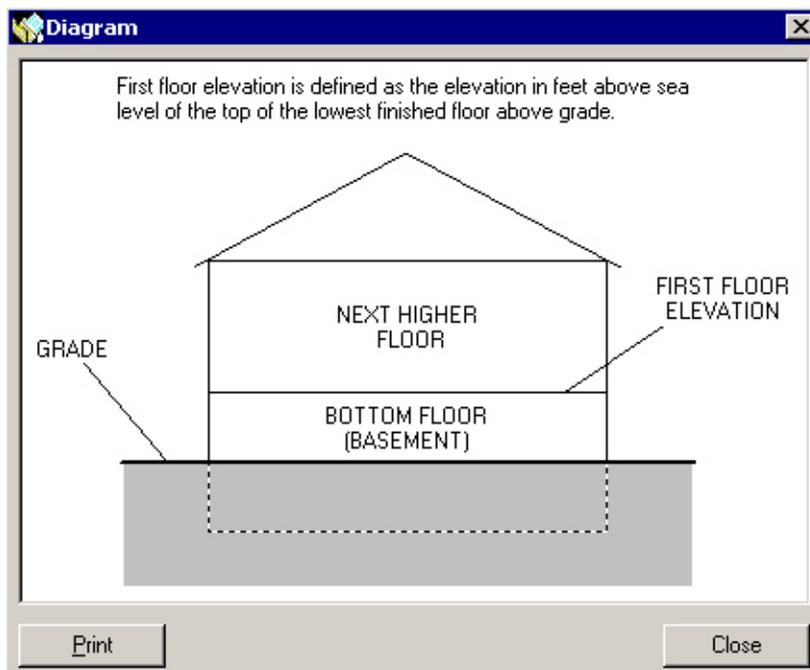
FIELD NAME ON SCREEN	INFORMATION TO BE ENTERED
Age of Structure (year built) <b>Required field</b>	Type the year built
Pre-Event Fair Market Value	Type the dollar amount of the fair market value before the event
Parcel Number <b>Required field</b>	Type number
Property Tax Id <b>Required field</b>	Type number
Latitude and Longitude <b>Required field</b>	Type in the numbers. See <a href="#">Figure 6-72</a> or click the sample button on the screen to see a diagram
SHPO Cleared	Select Yes, no, Not Applicable, or Unknown to indicate whether the State Historic Preservation Officer (SHPO) has approved the property action.
SHPO Cleared Date	Type the date that the SHPO approved the action.
Benefit-Cost Analysis Performed	Select from the drop-down list to indicate if the BC Analysis measurement method was used. Valid values are Yes, No, Not Applicable, or Unknown
Benefit-Cost Ratio	If a BC Analysis was performed, this field becomes active. Type the ratio resulting from the BC analysis
Type of Residence <b>Required field</b>	Select the type from the drop-down list or use Other (specify in comments).
Structure Type <b>Required field</b>	Select from the drop-down list: Single Family, 2-4 Family, Multi-Family Dwelling (5 or more units), Manufactured Home, Non-residential – private, Non-residential – public, Vacant Land, Other (specify comment).
Foundation Type <b>Required field</b>	Select from the drop-down list. Basement; Crawl Space; Elevated on Piers, Piles, Posts, Columns; Slab on grade; Vacant Land or Other (specify the type of foundation it is in the comments).
Basement <b>Required field</b>	Select Yes or No from the drop-down list
Base Flood Elevation	Type the number
First Floor Elevation	Type the elevation, in feet, of the property. A diagram is available to indicate what is meant by the first floor. See <a href="#">Figure 6-73</a> or click the sample button on the screen.
Number of feet . . .	Type the number of feet the lowest floor elevation of the structure is being raised above Base Flood Elevation (only applicable when Property Action is Elevation)
Damage Category	Select 0–49%, 50–99%, 100%, or N/A.

FIELD NAME ON SCREEN	INFORMATION TO BE ENTERED
Post-Mitigation Property Use <b>While not required here, it is required before project closeout</b>	Proposed property use. Select from the drop-down list. Agricultural, Park, Recreation, Vacant Land, Wetlands, Other (specify in comments)

 *Note: Once you enter data in one field on a PSI Subtab, all fields in green (required) on that subtab must be entered before you can SAVE that data and move to another subtab. Otherwise, you will have to cancel your changes, and your data will be lost.*

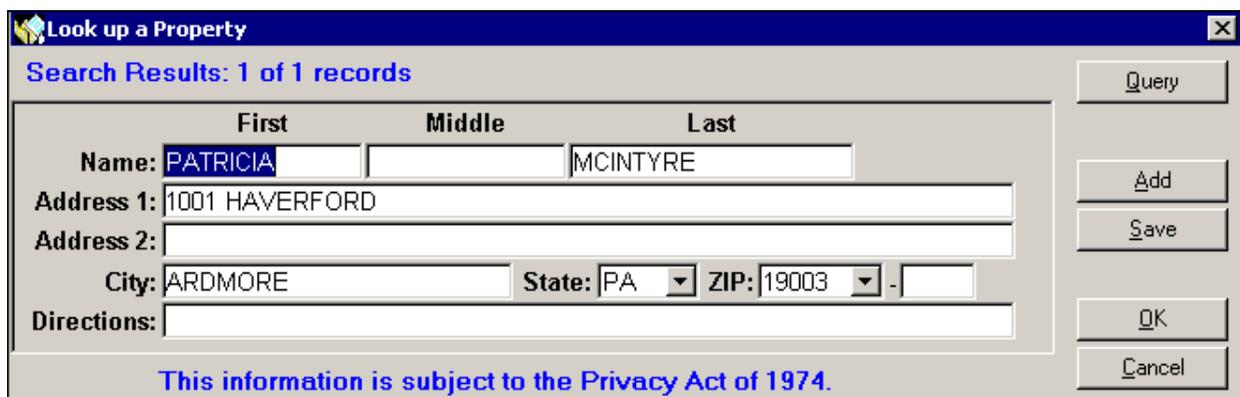


**Figure 6-72: Latitude and Longitude Sample**



**Figure 6-73: First Floor Elevation Sample**

9. Click the ADD button to create a record for each property in the project and repeat Steps 3 and 4.
10. Click ADD to open a blank PSI record if an individual owns more than one property to enter in the Property Site Inventory (PSI):
  - a. After clicking the SEARCH button to search the Property Owner database by name, you will bring up the first address for that homeowner. (See [Figure 6-74](#).) For example, Patricia McIntyre at 1001 Haverford.



The screenshot shows a window titled "Look up a Property" with a search results table. The table has columns for "First", "Middle", and "Last" under the "Name" header. The first row shows "PATRICIA" in the First column and "MCINTYRE" in the Last column. Below the name fields are fields for "Address 1" (1001 HAVERFORD), "Address 2" (empty), "City" (ARDMORE), "State" (PA), and "ZIP" (19003). There is also a "Directions" field. To the right of the table are buttons for "Query", "Add", "Save", "OK", and "Cancel". At the bottom of the window, a blue text box states "This information is subject to the Privacy Act of 1974."

Name		
First	Middle	Last
PATRICIA		MCINTYRE

Address 1: 1001 HAVERFORD  
Address 2:   
City: ARDMORE State: PA ZIP: 19003  
Directions:   
*This information is subject to the Privacy Act of 1974.*

**Figure 6-74: Look Up a Property Owner Sample**

- b. To add her second property, DO NOT edit this record.
- c. Click ADD for a new, blank record.
- d. Enter her name again; type in the new address; and enter the city, State, and ZIP again. Then click the SAVE button to save the record and click the OK button.
- e. For instance, by searching on Patricia McIntyre, we can now see that she has two different properties. (See [Figure 6-75](#).) Use the Scroll bar to see those two records.

**Look up a Property** [X]

Search Results: 1 of 2 records

	First	Middle	Last
Name:	PATRICIA		MCINTYRE
Address 1:	535 WEST MAIN STREET		
Address 2:			
City:	ARDMORE	State:	PA
		ZIP:	23456
Directions:			

This information is subject to the Privacy Act of 1974.

Buttons: Query, Add, Save, OK, Cancel

**Figure 6-75: Look Up a Property Owner Sample**

- f. If Patricia's husband is a co-owner, type a note in the Co-Owner field at the bottom of the PSI for 535 West Main Street. (See [Figure 6-76](#).)

Record 2 of 2

Is this property included as part of the final project ? [ ]

Name: PATRICIA [ ] MCINTYRE [ ] More Owner Info ...

Damaged Address: 535 WEST MAIN STREET

Address: [ ]

ARDMORE [ ] PA [ ] 23456 [ ]

Co-owner: Richard is the co-owner of this property

County: [ ]

Title Holder - Post Mitigation: [ ]

Purchase Offer Applicable: [ ]

**Figure 6-76: Co-Owner's Field**

- g. If the property is owned by a business, enter the primary point of contact for the corporation in the first and last name fields and place the name of the business or corporation in the Address 1 field.
11. Click the Flood Zone Designation Subtab, which allows you to match the flood zone description to each of the properties in the PSI. You can choose multiple flood zones for a property. (See [Table 6-18](#) on page 109 in the Reference section for a list of all the flood zone codes.) If you choose other, you must also specify a comment.

12. Highlight the property for which you want to enter a flood zone, as shown in [Figure 6-77](#) below, and select the appropriate zone or zones. Click the ADD button to move the description(s) to the right hand column.

HMGP APPLICATION: DISASTER #: 6741 FEMA PROJ #: - APPLICATION ID: 149 AMENDMENT #: 0

Applicant Information | Problem & Risk Data | Project Info | Work Schedule | Cost Estimate | Match Sources | Cost Effectiveness | Maintenance Assurance | Public N

Attachments | Eligibility Review | **Property Site Inventory** | 300-500.3 Series | 600 Series | 700 Series | 800 Series | Authorization | Help

Name	Damaged Address	City	State	ZIP
RONIS, PETER	532 WEST MAIN STREET	EMMITSBURG	MD	21727
SMITH, PAT	535 WEST MAIN STREET	EMMITSBURG	MD	21727

Add  
Delete  
Print

Owner Info | Mitigation Action \* | Property Info | **Flood Zone Designation** | NFIP Info | Hazard Type | FIRM Info | Property Purchase Offer | Narrative

Record 1 of 2

Flood Zone Desc

C, X  
Area of minimal flood hazards

B, X  
Area of moderate flood hazards

N  
Area of moderate mudslide (i.e., mudflow) hazards

Add >  
Add All >  
< Delete  
< Delete All

Flood Zone Desc

Save | Verify | Submit | Amend

**Figure 6-77: Flood Zone Designation Submenu**

13. Click the NFIP Info Subtab, which will open up the screen shown in [Figure 6-78](#).

HMGP APPLICATION: DISASTER #: 6741 FEMA PROJ #: - APPLICATION ID: 149 AMENDMENT #: 0

Applicant Information | Problem & Risk Data | Project Info | Work Schedule | Cost Estimate | Match Sources | Cost Effectiveness | Maintenance Assurance | Public N

Attachments | Eligibility Review | **Property Site Inventory** | 300-500.3 Series | 600 Series | 700 Series | 800 Series | Authorization | Help

Name	Damaged Address	City	State	ZIP	
RONIS, PETER	532 WEST MAIN STREET	EMMITSBURG	MD	21727	Add
SMITH, PAT	535 WEST MAIN STREET	EMMITSBURG	MD	21727	Delete
					Print

Owner Info | Mitigation Action \* | Property Info | Flood Zone Designation | **NFIP Info** | Hazard Type | FIRM Info | Property Purchase Offer | Narrative

Record 1 of 2

Flood Source:  Structure Located in:

**Note: NFIP repetitive loss structure is defined as a building with 2 or more insured losses greater than \$1,000 within a ten-year period.**

Repetitive Loss Structure:   2-3 insured losses cumulatively <= building fair market value  
 2-3 insured losses cumulatively > building fair market value  
 4 or more insured losses since 1978  
 Not Applicable

Repetitive Loss Number:

NFIP Policy Number:  Insurance Policy Provider:

**Flood Insurance Rate Map**

Is there a Flood Insurance Rate Map (FIRM) available?

Is the property site marked on the map?  Yes, map attached  
 No, hard copy of map will be provided  
 Not applicable

Purple = Required before Project Closeout. Navy = Property Attribute.

Save | Verify | Submit | Amend

**Figure 6-78: NFIP Info Subtab**

14. Enter the information on the screen above, using the hints in [Table 6-15](#) below. As is true with other screens, the purple indicates that the fields must be filled in before project closeout while the navy fields are property attributes.

**Table 6-15: Information to Enter on NFIP Info Subtab**

FIELD NAME ON SCREEN	INFORMATION TO BE ENTERED
Flood Source <b>Required field</b>	Select from the drop-down list. Coastal Basin, Closed Basin, Riverine Flooding, Stormwater Runoff, Other (comment required)
Structure Located in	Select Floodway, Floodplain, Other High Hazard Area or Not Applicable
Repetitive Loss Structure <b>Required field</b>	Select Yes, No or Unknown
Repetitive Loss Number	This field becomes active only when an affirmative has been made concerning repeat losses.
NFIP Policy Number	Type the number
Insurance Policy Provider	Type the insurance company name
FIRM Available?	Select Yes, No, or Unknown. Then select one of the radio buttons to indicate whether the property site is marked on the map and whether the map is attached, will be provided in hard copy, or is not applicable.

15. Click the Hazard Type Subtab, which opens the screen shown below.  
(See [Figure 6-79](#).)

**Figure 6-79: Hazard Type Subtab**

16. Select one of the hazards listed in the right column and click the ADD button to put it in the left column. You can only add hazards that were selected from the Project Info Tab, Hazard Types Subtab, for the project.
17. Click the FIRM Info Subtab, which opens the screen shown below. (See [Figure 6-80](#).) You must select Communities (from those you selected on the Project Information Tab) before you can enter FIRM Panel Numbers and Dates.

Owner Info | Mitigation Action \* | Property Info | Flood Zone Designation | NFIP Info | Hazard Type | **FIRM Info** | Property Purchase Offer | Narrative

Record 1 of 2

**Community Information**

Community [ ] [Add] [Delete]

**Map Specific Information For Selected Community**

Panel Number [ ] Date [ ] [Add] [Delete] [New]

**Figure 6-80: FIRM Info Subtab**

18. Click the ADD button for a new row then click the drop-down button to select one of the communities. (The DELETE button will remove a previously entered row.) Once the community is selected, a blank row appears under Panel Number and Date.
19. Click the ADD button under the Map Specific Information section once the community is selected and a blank row appears under Panel Number and Date.
20. Click the drop-down arrow under Panel Number to select from any previously entered Panel Numbers.

21. Click the NEW button on the small pop-up window if you do not find the Panel Number you need. (See [Figure 6-81](#).) Next, you can enter a FIRM Panel Number and the date from the actual FIRM map. Click the OK button. This allows the new panel number and date to be selected when you click the ADD button for a blank row.

The screenshot shows a software window titled "Panels for Accomack County \*". It contains a table with two columns: "Panel Nr" and "Panel Date". The first row of the table has the values "R1234567" and "12/31/2002". To the right of the table are buttons for "New", "Delete", "OK", and "Cancel". Below the table are "Delete" and "New" buttons. In the background, the "FIRM Info" subtab is visible, showing "Community" as "Accomack County" and "Map Specific Information For Selected Community" with "Panel Number" "R1234567" and "Date" "12/31/2002".

**Figure 6-81: Adding a New FIRM Panel Number and Panel Date**

22. Click the Property Purchase Offer Subtab, which opens the screen shown below. (See [Figure 6-82](#).)

The screenshot shows the "Property Purchase Offer" subtab. It contains a form with the following fields and values:

- Purchase Offer Applicable: [Dropdown]
- Amount Offered: \$0
- Offer Date for Structure and/or Land: 00/00/0000
- Offer Accepted by Owner: [Dropdown]
- Date Owner Responded to Offer: 00/00/0000
- Owner Appeal of Offer: [Dropdown]
- Date of Owner Appeal: 00/00/0000
- Actual Amount Paid: \$0
- Date Actual Amount Paid: 00/00/0000

At the bottom, there is a purple note: "Purple - Required before Project Closeout."

**Figure 6-82: Property Purchase Offer Subtab**

23. Type or select the information in the fields for this screen using the hints in [Table 6-16](#) below.

**Table 6-16: Information to be Entered on Property Purchase Offer Subtab**

FIELD NAME ON SCREEN	INFORMATION TO BE ENTERED
Purchase Offer Applicable	Select Yes or No from the drop-down menu. If the property was mitigated, then this field must be Yes. Until you select Yes and enter an amount offered, you cannot access any other fields. If the property was not mitigated, the purchase offer applicable field will be No and the amount offered will be left as \$0.
Amount Offered	Type in the dollar amount offered or leave as \$0, if appropriate.
Offer Date for Structure and/or Land	Type the date
Offer Accepted by Owner	Select Yes, Pending, No, or Unknown from the drop-down menu. If the answer is No, you are prompted to answer the Owner Appeal of Offer.
Date Owner Responded to Offer	Type the date
Owner Appeal of Offer	Select Yes, No, or Unknown from the drop-down menu
Date of Owner Appeal	Type the date
Actual Amount Paid <b>Required field before project closeout</b>	Type in the dollar amount actually paid to the property owner. The application will be submitted without this information, but it must be filled in before project closeout. You will do this by creating an amendment.
Date Actual Amount Paid <b>Required field before project closeout</b>	Type the date. The application will be submitted without this information, but it must be filled in before project closeout. . You will do this by creating an amendment.

24. Select the Narrative Subtab, which opens the screen shown below. (See [Figure 6-83](#).)

**Figure 6-83: Narrative Subtab**

25. Use the radio buttons to select either the Legal Description of the property or to add any applicable comments.
26. Double click anywhere in the white area to enter the Editing Comments window, where you can add and spell check text before saving it to the database.



*Note: Certain PSI fields must be entered before you can submit the project. Click the VERIFY button on the Authorization Tab to see what PSI fields must be entered.*

27. Click the PRINT button on the right side of the list of properties to open the following print options menu. This will allow you to print your PSI data in detail or summary fashion. (See [Figure 6-84.](#))

HMGP APPLICATION: DISASTER #: 6741 FEMA PROJ #: 2- APPLICATION ID: 1 AMENDMENT #: 3

Applicant Information | Problem & Risk Data | Project Info | Work Schedule | Cost Estimate | Match Sources | Cost Effectiveness | Maintenance Assurance | Public Notice

Attachments | Eligibility Review | **Property Site Inventory** | 300-500.3 Series | 600 Series | 700 Series | 800 Series | Authorization | Checklist | Help

Name	Damaged Address	City	State	ZIP
WINDHAM, T	1 MACON STREET	MACON	GA	30188

Buttons: Add, Delete, Print

**PSI Print**

Print Options

Print Both Summary and Detail PSI Data

Print Summary PSI Data

Print Detail PSI Data

Print Current Detail PSI Data

Print All Detail PSI Data

Print Selected Detail PSI Data

Name	Damaged Address	City	State	ZIP
WINDHAM, T	1 MACON STREET	MACON	GA	30188

Buttons: OK, Cancel

**Figure 6-84: Property Site Inventory Print Options Menu**

## **Task 14: Enter Information for the 300 – 500.3 Series**

While this is currently grayed out, it is a placeholder for the 300-500.3 Series Tab that will be used to track location information for non-PSI, “Management, Stabilization, and Control” projects. This tab will be available in a later NEMIS release.

## **Task 15: Enter Information for the 600 Series**

While this is currently grayed out, it is a placeholder for the 600 Series Tab that will be used to track location information for non-PSI, “Warning System and Other Equipment” projects. This tab will be available in a later NEMIS release.

## **Task 16: Enter Information for the 700 Series**

While this is currently grayed out, it is a placeholder for the 700 Series Tab that will be used to track location information for non-PSI, “Management Costs/Technical Assistance” projects. This tab will be available in a later NEMIS release.

## **Task 17: Enter Information for the 800 Series**

While this is currently grayed out, it is a placeholder for the 800 Series Tab that will be used to track location information for non-PSI, “Miscellaneous” projects. This tab will be available in a later NEMIS release.

## Task 18: Authorization

Task 18 is depicted in the task flowchart below. (See [Figure 6-85](#).)



**Figure 6-85: Task 18: Authorization**

The Authorized Applicant Agent and Authorized Grantee Official are identified in this task.

1. Click the Authorization Tab and Plan Information Subtab. (See [Figure 6-86](#).)

**Figure 6-86: Authorization/Plan Information Screen**

All of the fields are auto-filled under the Plan Information Subtab. If one of the required plans has not been entered into NEMIS under Chapter 4 – Enter Information for Plans Repository, you will get a warning message on the screen.



*Caution: After November 4, 2004, no project applications will be approved by FEMA until all required plans are approved and on file within NEMIS.*

28. Click the Preparation Information Subtab. (See [Figure 6-87](#).) Preparer and Title are auto-filled from information on the Applicant Information screen.

Plan Information	Preparation Information	Managing Grantee Review	FEMA Review
Preparer: BURGESS, XENA		Title :	
<b>Authorized Applicant Agent</b>			
Name: Conway		Thurston	J.
Title: FEMA		YES	Applicant Signature on File
<b>Authorized Grantee Official</b>			
Name: Wesson		Arnold	
Title: SHMO		YES	Grantee Official Signature on File with FEMA
Date: 02/06/2003			

**Figure 6-87: Authorization/Preparation Information Screen**

29. Type the Authorized Applicant Agent's last name, first name, and title in the designated boxes. These are required fields.
30. Use the drop-down list to choose Yes or No for Applicant Signature on File.
31. Type the Authorized Grantee Official's last name and first name in the designated boxes. These are required fields.

32. Use the drop-down list to choose Yes or No for Grantee Official Signature on File. NEMIS enters the current date, but you can type another date in its place.



*Caution: If NO is entered in either drop-down list, you will not be allowed to submit the application. Either include the appropriate signature in one of the attached documents or attach documentation justifying why signature is not applicable. (See [Task 11: Attach Documents](#).)*

33. Click the Managing Grantee Determination Subtab if it is not grayed out. (See [Figure 6-88](#).)

HMGP APPLICATION: DISASTER #: 6765 FEMA PROJ #: - APPLICATION ID: 102 AMENDMENT #: 0

Applicant Information | Problem & Risk Data | Project Info | Work Schedule | Cost Estimate | Match Sources | Cost Effectiveness | Maint

Attachments | Eligibility Review | Property Site Inventory | 300-500.3 Series | 600 Series | 700 Series | 800 Series | **Authorization** | Help

Application Status:  Application Submission Date: 00/00/0000  
Final Project Approval Date: 00/00/0000 Application Received Date: 00/00/0000

Plan Information | Preparation Information | **Managing Grantee Review** | FEMA Review

Sign electronically, as Preparer and/or Reviewer, for each Review Type by clicking the icon to the right of the Preparer and Reviewer fields, or enter each field manually, including Review Date

REVIEW TYPE	PREPARER		REVIEWER		REVIEW DATE
CATEX 1 REVIEW	SMITH, MATTHEW		SMITH, MATTHEW		08/30/2002
COST EFFECTIVENESS REVIEW	windham		windham		08/27/2002
PROJECT TYPE COMPLETENESS REVIEW	stapleton		SMITH, MATTHEW		08/30/2002
PROJECT CRITERIA COMPLETENESS REVIEW	windham		smith, matthew		12/19/2002
CODE COMPLIANCE REVIEW	STAPLETON, CATHERINE		stapleton		08/27/2002

**Figure 6-88: Authorization/Managing Grantee Determination Screen**

34. Fill in the Preparer and Reviewer columns for each Review Type. You may click on the icon to the right of each box to have the system automatically enter your user name. All fields, including Review Date, may be entered manually.

35. Click on the FEMA Review Subtab. This same review screen appears here for the Grantee Application Development process and is also in the Eligibility Determination process. It enables both the Grantees and FEMA staff to have an overall picture of the processing of a project. It will also assist in tracking the progress of a project through the various stages of review. (See [Figure 6-89](#).)

Plan Information	Preparation Information	Managing Grantee Review	FEMA Review	
Review Type	Reviewer/Approver	Date	User Role	Approval Rcmdtn
Mitigation Analyst appointed by HMO	SMITH, MATTHEW	08/28/2002	FEMA HMO	
<input checked="" type="checkbox"/> Cost Review	SMITH, MATTHEW	08/28/2002	Cost Reviewer	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> NEPA Documentaion Review	SMITH, MATTHEW	08/28/2002	FEMA Environmental Reviewer	
Laws/EOs Review	SMITH, MATTHEW	08/28/2002	FEMA Environmental Reviewer	
Environmental Officer Review	SMITH, MATTHEW	08/28/2002	FEMA Environmental Officer	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Eligibility Review	SMITH, MATTHEW	08/28/2002	MA	
FEMA Project Approval Decision	SMITH, MATTHEW	08/28/2002	MA	<input checked="" type="checkbox"/>
Approval Decision Concurrence	SMITH, MATTHEW	08/28/2002	HMO	<input checked="" type="checkbox"/>
Final Approval	SMITH, MATTHEW	08/28/2002	HMO for Regional Director	
Regional Director	CASTLEMAN, WILLIAM	08/28/2002	<b>Final Project Approval</b>	<input checked="" type="checkbox"/>
Appeal 1			HMO	
Appeal 2			HMO	
Project Appeal Decision			HMO	
State HMGP Administrative Plan Approved ?		<input checked="" type="radio"/> Yes <input type="radio"/> No	SF_424 received ?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Letter of Intent received ?		<input checked="" type="radio"/> Yes <input type="radio"/> No	PIO Notified ?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Public News Release Date :			08/30/2002	

**Figure 6-89: Authorization/FEMA Review**

The fields will auto-fill as screens in Chapter 7 – Enter Eligibility Determination Information are completed by FEMA personnel.

Check boxes on the left of the tab will indicate Grantee processing after the Grantee has processed the Eligibility Review. Check boxes on the right under Approval/Recommendation will display and track FEMA’s progress in reviewing and approving each project.

Grantees may use this screen to determine where this project is in the FEMA eligibility review process and the FEMA personnel involved.

36. See [Task 20](#) for instructions on verifying that the application is complete and sending the application to FEMA.

37. Click the CLOSE button. A dialog box appears asking if you want to save the changes.

38. Click the YES button to save changes.

## Task 19: Set Priorities, Determine Eligibility

Task 19 is depicted in the task flowchart below. (See [Figure 6-90](#).)



**Figure 6-90: Task 19: Set Priorities, Determine Eligibility**



*Note: This task is performed without using NEMIS.*

The process of entering the project information into NEMIS will highlight deficiencies in applications. Review the deficiencies to determine if the application can be revised to ensure eligibility.

With all information entered consistently, costs, project types, and other funding can be compared across applications. Once applications are in NEMIS, Grantee staff should review and compare applications and set priorities consistent with the updated Multihazard Mitigation and Administrative Plans and the Interagency Hazard Mitigation Team Report or Hazard Mitigation Team Report. With the first submission of project applications, the Grantee sends FEMA a hard copy letter outlining the priorities for the project applications. Priorities cannot be indicated when submitting an application via NEMIS.

In addition to identifying projects with deficiencies and setting priorities, the following steps should be taken:

1. Compare the Federal share percentages and costs of all projects. Ensure that the overall percentage of all project applications Federally funded is less than or equal to 75. The Federal share for projects can be increased for individual projects, provided that other projects have a decreased Federal share that will balance the overall percentage. Projects in

communities that do not have the means to provide a portion of the non-Federal share may be identified for a higher Federal share.

39. Identify projects that are part of the Grantee's Initiative (indicated on the Cost Estimate screen) and that include Management Costs (indicated by Project Type Codes 600.1 to 600.4 on the Project Information screen). Track the total costs for these two categories of projects.

When submitted to FEMA, projects will be categorized by funding type: Regular, Management Costs, Initiative, and Planning.

If the Grantee SF-424 has been submitted, you may verify and submit applications now. Follow the Instructions in [Task 20: Verify and Submit Project Applications](#).

To track and document the process of entering project application information, generate the Property Site Inventory Report and the Grantee Application Report, as described in Chapter 14 – Generate Standard NEMIS Reports.

## Task 20: Verify and Submit Project Applications

Task 20 is depicted in the task flowchart below. (See [Figure 6-91](#).)



**Figure 6-91: Task 20: Verify and Submit Project Applications**



*Note: The Grantee executes this task to submit applications via NEMIS. Priority of an application cannot be indicated in NEMIS; therefore, a letter must be sent to FEMA indicating project application priority.*

1. Click the Authorization Tab. (See [Figure 6-92](#).)

Applicant Information	Problem & Risk Data	Project Info	Work Schedule	Cost Estimate	Match Sources	Cost Effectiveness	Maintenance Assurance	Public Notice
Attachments	Eligibility Review	Property Site Inventory	300-500.3 Series	600 Series	700 Series	800 Series	<b>Authorization</b>	Help
Application Status: <input type="text"/>		Application Submission Date: <input type="text" value="00/00/0000"/>						
Final Project Approval Date: <input type="text" value="00/00/0000"/>		Application Received Date: <input type="text" value="00/00/0000"/>						
<b>Plan Information</b>	Preparation Information	Managing Grantee Review	FEMA Review					
Disaster Declaration Date: <input type="text" value="06/01/2002"/>								
<b>Grantee HMGP Administrative Plan</b>								
Approval Date: <input type="text" value="07/23/2002"/>	Plan Title: <input type="text" value="Grantee Statewide plan"/>							
<b>Grantee Mitigation Plan</b>								
Plan Type: <input type="text" value="State Multihazard Mitigation Plan"/>	Plan Title: <input type="text" value="TPE Statewide Plan"/>							
Approval Type: <input type="text" value="STANDARD"/>	Approval Date: <input type="text" value="05/30/2002"/>	Plan Due Date: <input type="text" value="04/01/2002"/>						
<b>Subgrantee Mitigation Plan</b>								
Plan Type: <input type="text"/>	<i>When Subgrantee is the Grantee, no Subgrantee Mitigation Plan is necessary.</i>							
Approval Date: <input type="text" value="00/00/0000"/>	Plan Due Date: <input type="text" value="00/00/0000"/>							
<input type="button" value="Save"/>	<input type="button" value="Verify"/>	<input type="button" value="Submit"/>					<input type="button" value="Amend"/>	<input type="button" value="Close"/>

**Figure 6-92: Authorization Screen**



*Note: See [Task 18: Authorization](#), for instructions on entering information in this screen.*

40. Click the VERIFY button.

If any required fields are empty or fail the verification process, you will see error messages indicating the field and tab to use to access that field. Refer to the Table of Contents in this chapter for the individual tasks.

For any application development fields that are empty, you will get the following type of notification ([Figure 6-93](#)) when you click the VERIFY button.



**Figure 6-93: Authorization Submission Notice**

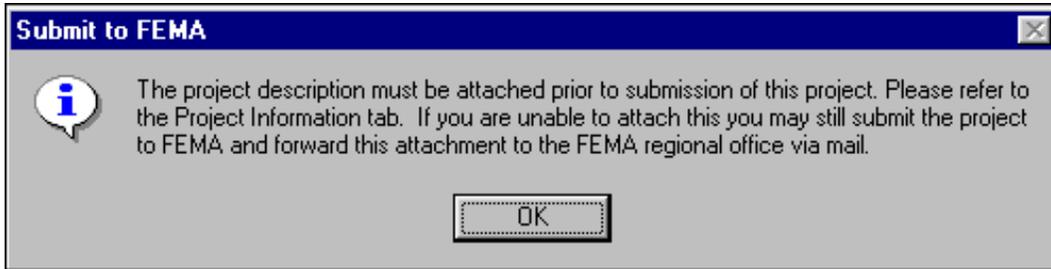
41. Make the necessary corrections and click the VERIFY button again.

The items in [Table 6-17](#) are attachments required for the project application; however, project applications may be submitted via NEMIS without these items. If this occurs, these documents must be attached before FEMA's final approval in the eligibility determination process (described in Chapter 7 – Enter Eligibility Determination Information).

**Table 6-17: Project Application Attachments**

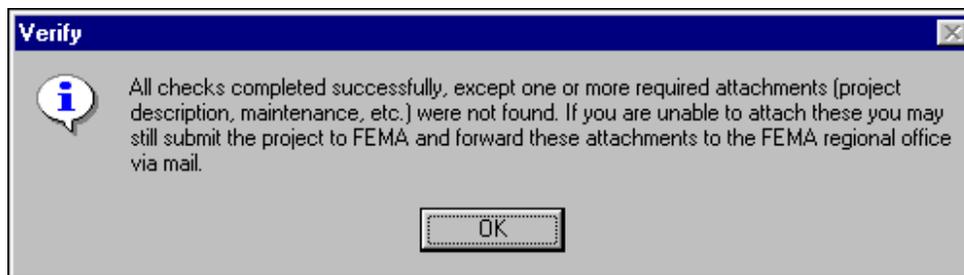
FIELD OR ITEM	TASK	PAGE
Attach History, Alternative, Proposed Action documents	<a href="#">Task 3:</a> Attach Problem & Risk Data	6-33
Attach Project Description	<a href="#">Task 4:</a> Enter Project Information	6-35
Attach Maintenance Assurance document	<a href="#">Task 9:</a> Attach Maintenance Assurance Information	6-56

For any missing attachment, you will get the following type of notification note ([Figure 6-94](#)) when you click the VERIFY button:



**Figure 6-94: Authorization Submission Notice**

42. Click the OK button. The final notification note will indicate that all checks were completed successfully. (See [Figure 6-95](#).)



**Figure 6-95: Final Notification Screen**

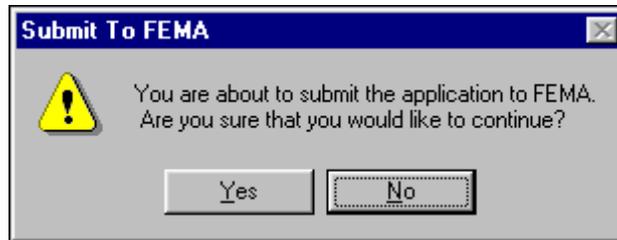
43. Click the OK button.

44. Click the SUBMIT button.



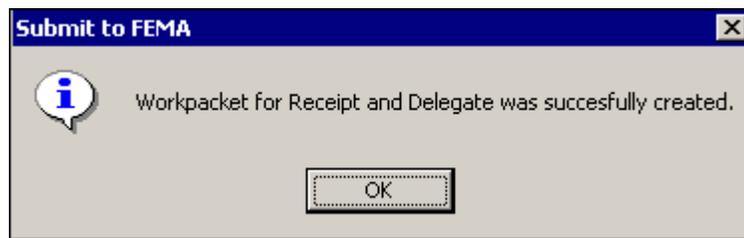
*Note: When you click on the SUBMIT button, NEMIS will automatically verify the application before displaying the final submission dialog box.*

45. Click the YES button when this final dialog box displays, confirming that you are about to submit the application to FEMA. (See [Figure 6-96](#).)



**Figure 6-96: Final Dialog Box**

46. Click the OK button to acknowledge successful submittal of the project. (See [Figure 6-97](#).)



**Figure 6-97: Acknowledgement Box**

47. Click the CLOSE button. The project application is now submitted to FEMA via NEMIS. FEMA staff will execute the eligibility reviews described in Chapter 7 – Enter Eligibility Determination Information and notify the Grantee in writing of its decision.

## Task 21: Zero Projects

Task 21 is depicted in the task flowchart below. (See [Figure 6-98](#).)



**Figure 6-98: Task 21: Zero Projects**

Zero projects are usually entered for withdrawn, void, or denied projects in order to display the overall project funds at ZERO.

Also, when projects are submitted to FEMA containing funding amounts, and there is subsequently a change by the Grantee in the priority of funding projects, projects can be zeroed out temporarily in order to allow higher priority projects to be submitted, approved, and funded. This will allow projects to be submitted by **REQUIRED DATE FOR SUBMISSION OF PROJECTS** and remain active in Eligibility Determination until the Grantee is ready to fund.

1. Click the Match Sources Tab. (See [Figure 6-99](#).)

NEMIS Version 3.00.02 03/27/2003

File Application Area Disaster Window Help

IAM PDA Declaration Public Info ES Infrastructure Mitigation HS System NEMIS Wide Exit

HMGP APPLICATION: DISASTER #: 6791 FEMA PROJ #: 1-M APPLICATION ID: 1 AMENDMENT #: 0

Maintenance Assurance Public Notice Attachments Eligibility Review Cost Effectiveness Authorization  
 Applicant Information Problem & Risk Data Project Info Property Site Inventory Work Schedule Cost Estimate **Match Sources**

Total Project Cost Estimate: \$50,000 Proposed Federal Share: \$37,500  
 Federal Share Percentage: 75.0 % Proposed Non-Federal Share: \$12,500

**Non-Federal Funding** 1 of 1

Source Agency: State Funds Availability Date: 00/00/0000  
 Source Name: TEST Funds Commitment Letter Date: 00/00/0000  
 Funding Type: Cash  
 Other Funding Type Description:

Item Name	Unit Qty	Unit of Measure	Unit Cost	Total Cost	% of Non-Fed
CASH	1	LS	\$12,500.00	\$12,500	100%

Grand Total Cost: \$12,500 100%

New Delete

Save Verify Submit Amend Close

**Figure 6-99: Opening Match Sources Tab to Zero Out a Project**

2. Select an item and click the DELETE button.
3. Select the Cost Estimate Tab and delete all line items. Click the SAVE button.
4. While in the Cost Estimate Tab, select the NEW button and enter a line item of 0 in the unit cost column and click the SAVE button (as shown in [Figure 6-100](#)).

HMGP APPLICATION: DISASTER #: 6791 FEMA PROJ #: 1-M APPLICATION ID: 1 AMENDMENT #: 0

Maintenance Assurance | Public Notice | Attachments | Eligibility Review | Cost Effectiveness | Authorization |  
 Applicant Information | Problem & Risk Data | Project Info | Property Site Inventory | Work Schedule | **Cost Estimate** | Match Sources

*Do not include Administrative Cost. These are calculated when funds are obligated for approved projects.*

Item Name	Unit Qty	Unit of Measure	Unit Cost	Cost Estimate
TEST	1	LS	\$0.00	\$0.00

Total Project Cost Estimate: \$0

Is this project part of the Initiative? Yes  No

Reference Cost Codes:  
 IS  HS

**Figure 6-100: Entering a Zero in Unit Cost on Cost Estimate Tab**

5. Select the NEW button under Match Sources Tab and enter a line item with a zero in the unit cost column and click SAVE. As shown in [Figure 6-101](#), you will receive a message indicating that the Total Percent is less than 100. Press the OK button.

HMGP APPLICATION: DISASTER #: 6791 FEMA PROJ #: 1-M APPLICATION ID: 1 AMENDMENT #: 0

Maintenance Assurance | Public Notice | Attachments | Eligibility Review | Cost Effectiveness | Authorization |  
 Applicant Information | Problem & Risk Data | Project Info | Property Site Inventory | Work Schedule | Cost Estimate | **Match Sources**

Total Project Cost Estimate: \$0  
 Federal Share Percentage: 75.0 %  
 Proposed Federal Share: \$0  
 Proposed Non-Federal Share: \$0

**Non-Federal Funding** 1 of 1

Source Agency: State  
 Source Name: STATE  
 Funding Type: Cash  
 Other Funding Type Description:

Funds Availability Date: 00/00/0000  
 Funds Commitment Letter Date: 00/00/0000

Item Name	Unit Qty	Unit of Measure	Unit Cost	Total Cost	% of Non-Fed
CASH	1	LS	\$0.00	\$0	0%

Information: Total percent is less than 100

Grand Total Cost: \$0 0%

**Figure 6-101: Warning Message on Match Sources Tab**

6. Select the SAVE button close the Application Development window.
7. To verify that the task has been done correctly, open HMGP Eligibility Determination, View All, and select the project that has just been zeroed out. As shown in [Figure 6-102](#) below, the project's funding is now at zero.

The screenshot shows a web application window titled "Federal Eligibility" with the following details: DISASTER #: 6791, FEMA PROJ #: 1-M, APPLICATION ID: 1, AMENDMENT #: 0. The "Cost Review" tab is selected. Below the navigation tabs is a table with the following data:

Item Name	Unit Qty	Unit Meas	Unit Cost	Total Amt	Elig	Approved Cost Comments
TEST	1	LS	\$0.00	\$0	<input checked="" type="checkbox"/>	

Below the table are several input fields and a summary section:

- Proposed Fed Share %:
- Total Project Cost Estimate:
- Proposed Project Federal:
- Proposed Project Non-Fed:
- Reference Cost Codes: IS  HS
- Total Approved Not Eligible Project Cost:
- Total Ineligible Project Amt:
- Approved Fed Share:
- Approved Non-Fed Share:
- Cost Approval (YM):

Instructions at the bottom of the form:

1. IF "TOTAL AMT(S)" HAS BEEN CHANGED IN THIS AMENDMENT, CLICK ON EACH "ELIG" CHECK BOX TO INDICATE THAT "APPROVED COST(S)" NEEDS TO BE CHANGED, i.e. YOU NEED TO DELETE THE "APPROVED COST(S)".
2. CLICK THE BOX (ES) AGAIN TO APPROVE THE AMOUNT(S) SHOWN IN "TOTAL AMT(S)".
3. REVISE THE AMOUNT(S) SHOWN IN "APPROVED COST(S)", IF NECESSARY.

The bottom of the window shows "Application Dev", "Complete Work Step", "MA", and a "Close" button.

**Figure 6-102: Checking the Project in Eligibility Determination**

## **Task 22: Refer to Help**

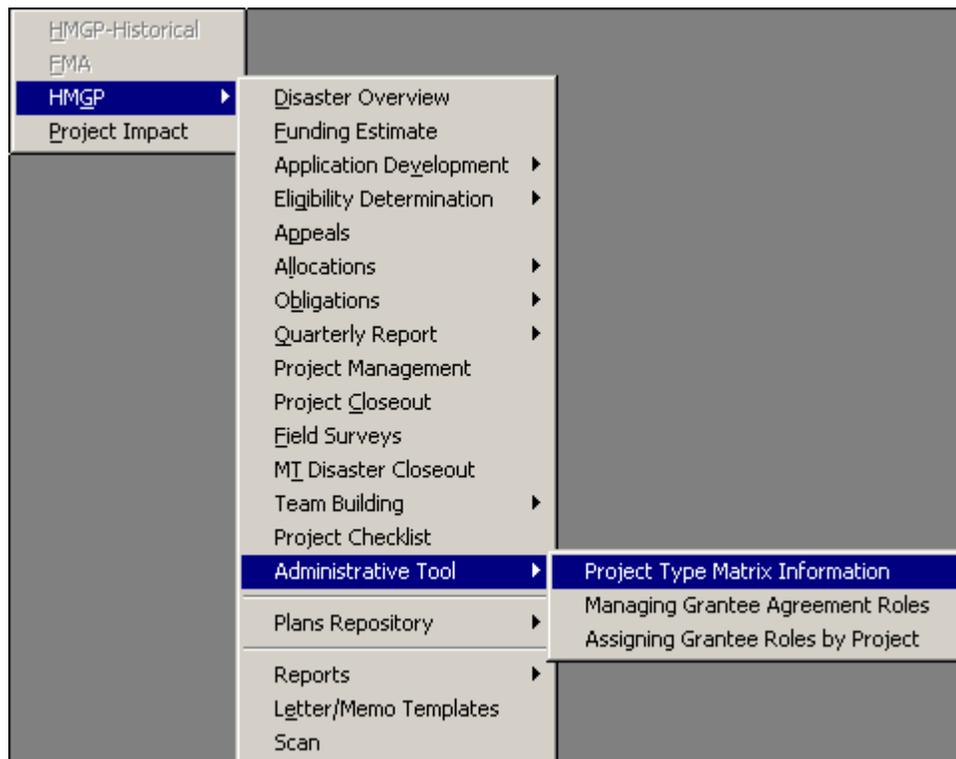
While the Help Tab is currently grayed out, it is a placeholder for the instructions that will be available in a later NEMIS release.

## References

This section shows the long drop-down lists used in the chapter. It also includes sample reports available under NEMIS Wide, Management Reporting, Mitigation.

## Project Type Codes

The Project Type Codes can be printed via NEMIS. When in Mitigation, select HMGP, Administrative Tool, Project Type Matrix Information. (See [Figure 6-103](#).)



**Figure 6-103: Path to Project Type Code Screen**

The resulting chart (see [Figure 6-104](#)) gives a complete breakdown of the codes, along with pertinent information such as:

- ◆ Code descriptions
- ◆ Whether the code is a legacy code (i.e., a code use in pre-3.0 NEMIS version releases)
- ◆ Whether the code requires a PSI
- ◆ Whether the code is applicable to HMGP, FMA, or the HMGP Historical Database
- ◆ If the code has been replaced with another code (for example, code 90.1, Mitigation Plan –Local Multihazard Mitigation Plan, has been replaced with 91.1, Local Multihazard Mitigation Plan)

Code	Description	Legacy	PSI	Plan	SMC	HMGP	FMA	HMGP/HIST	PI	Active Date	Expire Date	Predecessors	Successors
90.1	Mitigation Plan - Local Multihazard Mitigation Plan	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01/01/01	11/12/99	changed to 91.1	
90.2	Mitigation Plan - Tribal Multihazard Mitigation Plan	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01/01/01	11/12/99	changed to 94.1	
90.3	Mitigation Plan - State Multihazard Mitigation Plan	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01/01/01	11/12/99	changed to 92.1	
90.4	Mitigation Plan - Local Multihazard Mitigation Plan	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	01/01/01	11/12/99	91.1 HMGP-HIST	
90.5	Mitigation Plan - Tribal Multihazard Mitigation Plan	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	01/01/01	11/12/99	93.1 HMGP-HIST	
90.6	Mitigation Plan - State Multihazard Mitigation Plan	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	01/01/01	11/12/99	92.1 HMGP-HIST	
91.1	Local Multihazard Mitigation Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	11/13/99			previous
92.1	State Multihazard Mitigation Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	11/13/99			previous
93.1	Tribal (Local) Multihazard Mitigation Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	11/13/99			
94.1	Tribal Multihazard Mitigation Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	11/13/99			previous
95.1	FMA or CRS Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01/01/02		FMA Only	FMA, CMF
100.1	Public Awareness and Education (Brochures, Workshops, Videos, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	01/01/01			
101.1	Professional Education (Building Inspectors, Architects, Engineers, Contractors, et	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	01/01/01			
102.1	Mitigation Plans - Storm Water/Drainage Management Plans	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01/01/01	11/12/99	none	
102.2	Mitigation Plans - Coastal Zone Management Plans	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01/01/01	11/12/99	none	
102.3	Mitigation Plans - Land Use Planning Resulting in Revised Land Development Regul	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01/01/01	11/12/99	none	
102.4	Mitigation Plans - Vegetation Management	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01/01/01	11/12/99	none	
103.1	Feasibility, Engineering and Design Studies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	01/01/01			
104.1	Developing, Implementing and Enforcing Codes, Standards, Ordinances and Regul	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	01/01/01			
105.1	Applied Research and Development in the Building Sciences	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	01/01/01			
106.1	Other Non Construction (Regular Project Only)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	01/01/01			
106.2	Other Non Construction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	01/01/01			
200.1	Acquisition of Private Real Property (Structures and Land) - Riverine	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	01/01/01			
200.2	Acquisition of Private Real Property (Structures and Land) - Coastal	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	01/01/01			
200.3	Acquisition of Public Real Property (Structures and Land) - Riverine	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	01/01/01			
200.4	Acquisition of Public Real Property (Structures and Land) - Coastal	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	01/01/01			
200.5	Acquisition of Vacant Land	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	01/01/01			
200.6	Acquisition of Private Real Property (Structures and Land) - Landslide	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	01/01/01			
200.7	Acquisition of Private Real Property (Structures and Land) - Erosion	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	01/01/01			
200.8	Acquisition of Private Real Property (Structures and Land) - Snow Avalanche	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	01/01/01			

**Figure 6-104: Project Type Code Screen**



*Note: Because the Project Codes are subject to change, it is best to periodically review them via the NEMIS Administrative Tools.*

**Table 6-18: Property Site Inventory, Flood Zone Codes Table**

<b>CATEGORY CODE</b>	<b>DESCRIPTION</b>
C, X	Area of minimal flood hazards
B, X	Area of moderate flood hazards
N	Area of moderate mudslide (i.e., mudflow) hazards
AR	Area of special flood hazard that results from the decertification of a previously accredited flood protection system that is determined to be in the process of being restored to provide a 100-year or greater level of flood protection
A99	Area of special flood hazard where enough progress has been made on a protective system, such as dikes, dams, and levees, to consider it complete for insurance rating purposes
A1-30, AE	Area of special flood hazard with water surface elevations determined
A	Area of special flood hazard without water surface elevations determined
A0	Area of special flood hazards having shallow water depths and/or unpredictable flow paths between one and three feet
V0	Area of special flood hazards having shallow water depths and/or unpredictable flow paths between one and three feet and with velocity
AH	Area of special flood hazard having shallow water depths and/or unpredictable flow paths between one and three feet, and with water surface elevations determined
V1-30, VE	Area of special flood hazards with water surface elevations determined, and with velocity, that is inundated by tidal floods (coast high hazard area)
V	Area of special flood hazards without water surface elevations determined, and with velocity, that is inundated by tidal floods (coast high hazard area)
E	Area of special flood-related erosion hazards
M	Area of special mudslide (i.e., mudflow) hazards
D	Area of undetermined but possible flood hazards
P	Area of undetermined, but possible mudslide hazards
Other	Specify in comments

## Property Site Inventory, Property Actions

- ◆ Acquisition of Vacant Land
- ◆ Acquisition/Demolition
- ◆ Acquisition/Relocation
- ◆ Elevation
- ◆ Floodproofed
- ◆ Other (Specify in comments)
- ◆ Safe Room/Wind Shelter
- ◆ Seismic Retrofit
- ◆ Wildfire Retrofit
- ◆ Wind Retrofit

## Property Site Inventory, Hazard Type

- ◆ Biological
- ◆ Chemical
- ◆ Civil Unrest
- ◆ Coastal Storm
- ◆ Crop Losses
- ◆ Dam/Levee Break
- ◆ Drought
- ◆ Earthquake
- ◆ Fire
- ◆ Fishing Losses

- ◆ Flood
- ◆ Freezing
- ◆ Human Cause
- ◆ Hurricane
- ◆ Land Subsidence
- ◆ Mud/Landslide
- ◆ Nuclear
- ◆ Severe Ice Storm
- ◆ Severe Storm(s)
- ◆ Snow
- ◆ Special events
- ◆ Terrorist
- ◆ Tornado
- ◆ Toxic Substances
- ◆ Tropical Cyclones
- ◆ Tsunami
- ◆ Typhoon
- ◆ Volcano
- ◆ Wind Storms
- ◆ Other (Specify in comments)

**Project Cost Line Item Report**

Disaster Number: 6248    State: PA    FEMA Proj Nr: 1-R    Application ID: 1    Project Amendment Nr: 0

*Do not Include Administrative Cost. These are calculated when funds are obligated for approved projects.*

<u>Item Name</u>	<u>Unit Qty</u>	<u>Unit of Measure</u>	<u>Unit Cost</u>	<u>Cost Estimate</u>
Demolition	1,001	AC	\$21,000.00	\$21,021,000.00
appraisal	1	EA	\$1,000.00	\$1,000.00
		Total Project Cost Estimate		<b>\$21,022,000.00</b>

**Figure 6-105: Sample Project Cost Line Item Report**

Page 1 of 1

**Non-Fed Share Fund**

Disaster Number	FEMA Project Number	Amendment Number	State App ID	State	Grantee
6248	1-R	0	1	PA	Pennsylvania Department of Emergency Management

Subgrantee: Southampton (PC RR name Street Road)

FIPS Code: 017-71896      Project Title : Test

---

Source Agency	Source Name	Funding Type	Funds Avail Date	Funds Commitment Letter Date
Local	Slush funds	Cash	00/00/0000	00/00/0000

Other Funding Type Description:

Item Name	Unit Qty	Unit Of Measure	Unit Cost	Total Cost
More money	1	EA	\$5,255,500	\$5,255,500
			Grant Total Cost:	\$5,255,500

**Figure 6-106: Sample Non-Fed Share Fund Report**



10/17/2003 14:00	<b>FEDERAL EMERGENCY MANAGEMENT AGENCY HAZARD MITIGATION GRANT PROGRAM Property Site Inventory Report</b>					HMGP-PS-01
<b>Disaster Number</b>	<b>FEMA Project Number</b>	<b>Amendment Number</b>	<b>App ID</b>	<b>State</b>	<b>Grantee</b>	
6248	12 -	0	20	PA	Arendtsville	
Subgrantee : Arendtsville			Project Title : acquisition of 78 homes in Fredricksburg			
FIPS Code : 001-02928						

**Mitigation Action**

Primary Property Action

Other (Specify in Comments)

**Legal Description**

legal comment

***Figure 6-107: Sample Property Site Inventory Report (Page 2)***





## Minimal NEPA Information Required

(Note: Please review carefully and use as guidance for completing the Environmental Concerns section)

The following information will assist the environmental review team in performing reviews for compliance with all applicable laws and regulations. By providing this information upfront, the team can begin the appropriate consultation process with other Federal agencies (OFA) and complete their review in as short a time as possible. By not providing it, the team will need to contact the applicant at a later date, after meeting the appropriate protocols. Once the information is obtained the review process can begin. The later approach will result in increased time for completing the environmental compliance review. *The italicized language explains the need for the information.*

- **Project setting and background information**

*This information is needed to understand the purpose and need for the project. Although, based upon past experience, you believe the project fits a Categorical Exclusion (CATEX) experience, understanding the setting and background allows the environmental reviewer to evaluate for potential extraordinary circumstances and determine the level of review. If this involves a structure, the appropriate building information should be included here e.g. age of structure, all improvements, etc.*

- **Clear, concise scope of work**

*This is important in order to understand what the applicant proposes to do. Not only does FEMA need this, the other Federal Agencies also need it in order to perform their reviews, such as wetland impacts (USACOE) or endangered species (NMFS, USFWS). The following items help the environmental reviewer to determine and analyze the potential impacts of the project.*

- 1. Sketches, drawings, and engineer designs.**

*These assist in understanding the written description of the project, especially if contours and elevations are provided.*

- 2. Calculations and quantities.**

*This tells the reviewer how much. It is important information for understanding the immediate and broad impact the project will have on the area. A bank protection project of 100 feet has a much different impact than one of 1.5 miles.*

- 3. Photos of the project site.**

*A picture says a thousand words. Photo's help clarify the project setting and the potential impacts of the project on the environment (soils, vegetation, hydrology, wildlife, water quality). If photos are provided, then FEMA may not need to conduct a site visit, thereby, reducing the review time.*

- 4. Relevant information from a Federally declared disaster, such as the Disaster Survey Report of Disaster Project Worksheet.**

*This information may provide data, so that the applicant does not have to duplicate their efforts. Additionally, if we are aware of it, then a previous environmental review may have been performed to which we can use/reference, thereby reducing the review time.*

Idaho Bureau of Homeland Security  
NEPA Requirements for HMGP

- **Vicinity Map**

*A map needs to be provided that shows the general location of the project site and another map showing the specific site. This is needed in order to identify the specific location for review of potential impacts to existing features surrounding the project area. Section, Township, and Range needs to be given because the USFWS maintains their endangered species database on Section, Township, and Range. If GPS (Global Positioning System) is known, this should be provided. This allows the environmental reviewer to catalog and reference other disaster related projects. PA already inputs this data for PA projects (DSW, PW).*

- 1. Section, Township, and Range**

- 2. Map depicting relationship to existing features – natural and otherwise (this could be a topographic or similar type map)**

- a. Rivers, lakes, streams, wetlands, saltwater, critical habitat
- b. Geologic features, steep slopes, unstable areas
- c. Roads, bridges, buildings, etc.

- 3. GPS (latitude/longitude coordinates), if known**

- **Plat map, tax number and/or tax lot map**

*This information is needed to show where the structure is in relation to its property boundary. The information generated from this helps the reviewer evaluate impacts to floodplain, wetland and endangered species and critical habitat*

- **Contact name, phone numbers and e-mail address**

- 1. State Emergency Management (Idaho Bureau of Homeland Security)**
- 2. Applicant (Sub-grantee when project is FEMA approved and funds obligated)**

Idaho Bureau of Homeland Security  
NEPA Requirements for HMGP

***The following information would be helpful to facilitate a quicker review; however, it is not needed as minimal information in order to begin the review process. If it is not provided, the Environmental Reviewer will obtain the information.***

- **Floodplain and wetland information**

*This is needed to show compliance with Executive Orders on Floodplain Management and Wetlands.*

- 1. Floodplain, floodway, and wetland**
- 2. Critical action**
- 3. Public notice**

- **Endangered Species Information**

*This is needed to show compliance with the Endangered Species Act. The local government often knows what types of projects have occurred in the past in the vicinity of the proposed project. Information obtained from those other projects can be incorporated in the environmental review and required consultations with OFA's*

- 1. U.S. Fish and Wildlife Service (terrestrial & aquatic & plants, insects & invertebrates)**
- 2. National Marine Fisheries Service (Marine and Anadromous)**

- **National Historic Preservation Act, Section 106 Information**

*This information is needed in order to show compliance with NHPA. The State Historic Preservation Office, by law, has 30 days to respond to our determination of effect on any potential historic, cultural, or archeological site.*

- 1. Is the structure on the National Register?**
- 2. Is the structure eligible for the National Register?**
- 3. Are there any historic, archaeological or cultural sites in or near the project area?**
- 4. Does the project involve modification or alteration to undisturbed land?**
- 5. Any contact with the State Historic Preservation Office?**

- **Any other environmental data that is pertinent**

*This question is to help the environmental reviewer evaluate existing data so as not to duplicate the efforts.*

- 1. Environmental and/or SEPA documents**
- 2. Geologic studies**
- 3. Biological Assessments**
- 4. Programmatic Agreements**



U.S. DEPARTMENT OF JUSTICE  
OFFICE OF JUSTICE PROGRAMS  
OFFICE OF THE COMPTROLLER

## CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

### 1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

### 2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510—

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a

public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

### 3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67 Sections 67.615 and 67.620—

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about—

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

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Check  if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check  if the State has elected to complete OJP Form 4061/7.

**DRUG-FREE WORKPLACE  
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620—

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 810 Seventh Street NW., Washington, DC 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

---

# DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

0348-0046

(See reverse for public burden disclosure.)

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, <i>if known</i> :  <b>Congressional District, if known:</b>	<b>5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:</b>   <b>Congressional District, if known:</b>	
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>  CFDA Number, <i>if applicable</i> : _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b> \$ _____	
<b>10. a. Name and Address of Lobbying Registrant</b> <i>(if individual, last name, first name, MI):</i>	<b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
<b>11.</b> Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____	
<b>Federal Use Only:</b>		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.



## STANDARD ASSURANCES

The Applicant hereby assures and certifies compliance with all applicable Federal statutes, regulations, policies, guidelines, and requirements, including OMB Circulars A-21, A-87, A-102, A-110, A-122, A-133; Ex. Order 12372 (intergovernmental review of federal programs); and 28 C.F.R. pts. 66 or 70 (administrative requirements for grants and cooperative agreements). The applicant also specifically assures and certifies that:

1. It has the legal authority to apply for federal assistance and the institutional, managerial, and financial capability (including funds sufficient to pay any required non-federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. It will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
3. It will give the awarding agency or the General Accounting Office, through any authorized representative, access to and the right to examine all paper or electronic records related to the financial assistance.
4. It will comply with all lawful requirements imposed by the awarding agency, specifically including any applicable regulations, such as 28 C.F.R. pts. 18, 22, 23, 30, 35, 38, 42, 61, and 63, and the award term in 2 C.F.R. § 175.15(b).
5. It will assist the awarding agency (if necessary) in assuring compliance with section 106 of the National Historic Preservation Act of 1966 (16 U.S.C. § 470), Ex. Order 11593 (identification and protection of historic properties), the Archeological and Historical Preservation Act of 1974 (16 U.S.C. § 469 a-1 et seq.), and the National Environmental Policy Act of 1969 (42 U.S.C. § 4321).
6. It will comply (and will require any subgrantees or contractors to comply) with any applicable statutorily-imposed nondiscrimination requirements, which may include the Omnibus Crime Control and Safe Streets Act of 1968 (42 U.S.C. § 3789d); the Victims of Crime Act (42 U.S.C. §10604(e)); The Juvenile Justice and Delinquency Prevention Act of 2002 (42 U.S.C. § 5672(b)); the Civil Rights Act of 1964 (42 U.S.C. § 2000d); the Rehabilitation Act of 1973 (29 U.S.C. §7 94); the Americans with Disabilities Act of 1990 (42 U.S.C. § 12131-34); the Education Amendments of 1972 (20 U.S.C. §§1681, 1683, 1685-86); and the Age Discrimination Act of 1975 (42 U.S.C. §§ 6101-07); *see* Ex. Order 13279 (equal protection of the laws for faith-based and community organizations).
7. If a governmental entity–
  - a) it will comply with the requirements of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (42 U.S.C. § 4601 et seq.), which govern the treatment of persons displaced as a result of federal and federally-assisted programs; and
  - b) it will comply with requirements of 5 U.S.C. §§ 1501-08 and §§7324-28, which limit certain political activities of State or local government employees whose principal employment is in connection with an activity financed in whole or in part by federal assistance.

\_\_\_\_\_  
Signature Date

\_\_\_\_\_  
Date



**MILITARY DIVISION, STATE OF IDAHO  
IDAHO BUREAU OF HOMELAND SECURITY**

4040 W. GUARD STREET, BLDG. 600  
BOISE, IDAHO 83705-5004  
208-422-3040

**STATE- LOCAL (Sub-Grantee)  
HAZARD MITIGATION GRANT PROJECT AGREEMENT**

This agreement between the State of Idaho Bureau of Homeland Security (hereafter, the "State") and \_\_\_\_\_ (hereafter, the "Subgrantee") shall be effective on the date signed by the State and the Subgrantee. It shall apply to Hazard Mitigation Grant Program funds provided by or through the State to the Subgrantee for a project described in the Subgrantee's application dated \_\_\_\_\_, and as amended, and referenced as HMGP Project # \_\_\_\_\_ (hereafter, the "project").

The State agrees to provide up to \$\_\_\_\_\_ in funds from FEMA and \$\_\_\_\_\_ from the Governor's Disaster Emergency Account for the Sub-grantee to complete the project.

In return, the Subgrantee affirms and agrees that the governmental jurisdiction in the project area will comply with the following conditions:

1. Has adopted and enforces the Uniform Building Code, edition 1991 or later, including seismic provision;
2. Is a participant in good standing of the National Flood Insurance Program;
3. To appoint an agent to act on the Subgrantee's behalf who will establish and maintain a proper accounting system to record expenditures of funds in accordance with generally accepted accounting standards or as directed by the State;
4. To provide financial and managerial resources to meet the terms and conditions of receiving federal and state grant funds;
5. To use funds solely for the purposes for which they are provided;
6. To begin project work within 90 calendar days of approval of the grant and complete all items of work within one year, except for time extensions approved by the State and FEMA for unforeseen conditions and events that delay performance of the work;
7. To provide maintenance for the completed project as appropriate;
8. To give state and federal agencies designated by the State access to and the right to examine all records and documents related to use of funds received under this agreement;
9. To return to the State, within 15 days of such request, any funds which are not used for project completion;

10. To comply with applicable provisions of federal, state, and local laws and regulations in regard to procurement of goods and services, as well as with the National Flood Insurance Program purchase requirements;
11. Not to enter into any contract with any party debarred or suspended from participating in federal assistance programs;
12. To comply with all federal and state statutes and regulations relating to non-discrimination;
13. Not to enter into cost-plus-percentage-of-cost contracts for completion of any project;
14. To indemnify and hold harmless the State of Idaho and the Federal Emergency Management Agency in any civil action resulting from work to complete the project or in any way arising from or out of the performance of this grant agreement.
15. Federal regulation 44 CFR, Part 13, 42, (b), (c), requires that all recipients of federal grants must maintain adequate disbursements and accounting records of the costs incurred by the Hazard Mitigation Grant project, so that the documentation required by state or federal audit can be made available. Original or source documents must be available for audit purposes. The Subgrantee must keep the accounting resources and documentation for three years from the date of final project closeout or resolution of any audit findings.
16. The Subgrantee will submit Quarterly Performance Progress Reports to the State Hazard Mitigation Officer. The first quarterly report is due no later than the 15<sup>th</sup> day following the end of the current quarter. The final quarterly report is due within 30 days of receipt of final reimbursement. Reports must include:
  - An updated copy of the Program Indicators Report (Form SF-PPR-B)
  - An update Financial Status Report (FSR) showing the total amount of funds expended to date and the amount and source of matching funds.
17. The Subgrantee's project will be audited later for work completion, proper record keeping, and payment. Should the Subgrantee fail to comply with program requirements, the Subgrantee may be required to repay all or a portion of the funds.

The failure of the State to enforce any provision of this Grant Agreement shall not constitute a waiver by the State of that or any other provision.

This Grant Agreement constitutes the entire agreement between the Parties. No waiver, consent, modification or change of terms of this Grant Agreement shall bind either party unless authorized in writing signed by both parties. Such waiver, consent, modification or change, if made, shall be effective only in the specific instance and for the specific purpose given. There are no understandings, agreements, or representations, oral or written, not specified herein regarding this agreement.

The Parties by their signature below hereby acknowledge that they have read this Grant Agreement, understand it and agree to be bound by its terms and conditions. The Parties further represent and warrant that they have taken all necessary action either by resolution or

otherwise and have full and complete authority to enter into this Grant Agreement on behalf of their respective agencies.

Governor's Authorized Representative: Bill Shawver, Brigadier General  
Director, Bureau of Homeland Security  
Governor's Authorized Representative  
State of Idaho

Signed for the State:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

Signed for the Subgrantee:

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date



## PERFORMANCE PROGRESS REPORT SF-PPR

		Page	of Pages
1. Agency and Organization Element to which Report is Submitted  Idaho Bureau of Homeland Security	2. Federal Grant or Other Identifying Number Assigned by Federal Agency	3a. DUNS number <div style="background-color: yellow; height: 15px;"></div>	
		3b. EIN <div style="background-color: yellow; height: 15px;"></div>	
4. Recipient Organization (Name and complete address including zip code)		5. Recipient Identifying Number or Account Number	
6. Project/Grant Period  Start date: <i>(Month, Day, Year)</i>   End date: <i>(Month, Day, Year)</i>	7. Reporting Period End Date  <i>(Month, Day, Year)</i>	8. Final Report ? <input type="checkbox"/> Yes <input type="checkbox"/> No	
		9. Report Frequency <input type="checkbox"/> <i>annual</i> <input type="checkbox"/> <i>semi-annual</i> <input type="checkbox"/> <i>quarterly</i> <input type="checkbox"/> <i>other</i> (If other, describe)	
10. Performance narrative <i>(attach performance narrative as instructed by the awarding Federal Agency)</i>			
11. Other Attachments <i>(attach other documents as needed or as instructed by the awarding Federal Agency)</i>			
<b>12. Certification: I certify to the best of my knowledge and belief that this report is correct and complete for performance of activities for the purpose set forth in the award documents.</b>			
12a. Typed or Printed Name and Title of Certifying Official	12c. Telephone <i>(area code, number and extension)</i>		
	12d. Email Address		
12b. Signature of Authorized Certifying Official	12e. Date Report Submitted <i>(Month, day, year)</i>		
13. Agency use only			

## **Performance Progress Report (PPR) Instructions**

The *Performance Progress Report (PPR)* is a standard, government-wide performance progress reporting format used by Federal agencies to collect performance information from recipients of Federal funds awarded under all Federal programs that exceed \$100,000 or more per project/grant period, excluding those that support research. General instructions for completing the *PPR* are contained below. For further instructions on completing the *PPR*, please contact the agency's points of contact specified in the "Agency Contacts" section of your award document.

### **Report Submissions**

1. The recipient must submit the *PPR* cover page and any of the forms (*PPR A-F*), which the Federal agency requires, as specified in the award terms and conditions.
2. The *PPR* must be submitted to the attention of the agency's points of contact specified in the "Agency Contacts" section of the award document in accordance with the requirements established in the award document.
3. If additional space is needed to support the *PPR*, supplemental pages should be attached. The additional pages must indicate the following at the top of each page: Federal Grant or other Identifying Award Number, Recipient Organization, DUNS Number, EIN, and period covered by the Report. Page numbers should be used if a particular page is used more than once.

### **Reporting Requirements**

1. All recipients of grants or cooperative agreements awarded under all Federal programs that exceed \$100,000 or more per project/grant period, excluding those that support research, are required to submit a *PPR* in accordance with the terms established in the award document.
2. The *PPR* must be submitted at least once yearly, on a quarterly, semi-annual, or annual basis, as directed by the awarding Federal agency in the award document. A final *PPR* shall be required at the completion of the award agreement.
3. For interim *PPRs*, the following reporting period end dates shall be used: 3/31; 6/30; 9/30; and or 12/31. For final *PPRs*, the reporting period end date shall be the end date of the project/grant period.

4. The frequency of required reporting is stated in the solicitation and award documents. Interim PPRs are due not later than 45 days after the end of each reporting period. Final PPRs are due not later than 90 days after the end of the reporting period end date.

Performance Progress Report		
Item	Data Elements	Line Item Instructions for SF-PPR
1	Awarding Federal agency and Organizational Element to Which Report is Submitted	Enter the name of the awarding Federal agency and organizational element identified in the award document or otherwise instructed by the agency. The organizational element is a sub-agency within an awarding Federal agency.
2	Federal Grant or Other Identifying Number Assigned by the awarding Federal agency	Enter the grant/award number contained in the award document.
3a	DUNS Number	Enter the recipient organization's Data Universal Numbering System (DUNS) number or Central Contract Registry extended DUNS number.
3b	EIN	Enter the recipient organization's Employer Identification Number (EIN) provided by the Internal Revenue Service.
4	Recipient Organization	Enter the name of recipient organization and address, including zip code.
5	Recipient Account Number or Account Number	Enter the account number or any other identifying number assigned by the recipient to the award. This number is strictly for the recipient's use only and is not required by the awarding Federal agency.
6	Project/Grant Period	Indicate the project/grant period established in the award document during which Federal sponsorship begins and ends. Note: Some agencies award multi-year grants for a project/grant period (e.g., 5 years) that are funded in increments known as budget periods or funding periods. These are typically annual increments. Please enter the project/grant period, not the budget period or funding period.
7	Reporting Period End Date	Enter the ending date of the reporting period. For quarterly, semi-annual, and annual reports, the following calendar quarter reporting period end dates shall be used: 3/31; 6/30; 9/30; and or 12/31. For final PPRs, the reporting period end date shall be the end date of the project/grant period. The frequency of required reporting is usually established in the award document.
8	Final Report	Mark appropriate box. Check "yes" only if this is the final report for the project/grant period specified in Box 6.
9	Report or Frequency	Select the appropriate term corresponding to the requirements contained in the award document. "Other" may be used when more frequent reporting is required for high-risk grantees, as specified in OMB Circular A-110.
10	Performance Narrative	Attach performance narrative as instructed by the awarding Federal agency.
11	Other Attachments	Attach other documents as needed or as instructed by the awarding Federal agency.

<b>Performance Progress Report</b>		
<b>Item</b>	<b>Data Elements</b>	<b>Line Item Instructions for SF-PPR</b>
<b>Remarks, Certification, and Agency Use Only</b>		
12a	Typed or Printed Name and Title of Authorized Certifying Representative	Authorized certifying official of the recipient.
12b	Signature of Authorized Certifying Official	Original signature of the recipient's authorizing official.
12c	Telephone (area code, number and extension)	Enter authorized official's telephone number.
12d	Email Address	Enter authorized official's email address.
12e	Date Report Submitted (Month, Day, Year)	Enter date submitted to the awarding Federal agency. Note: Report must be received by the awarding Federal agency no later than 90 days after the end of the reporting period.
13	Agency Use Only	This section is reserved for the awarding Federal agency use.

**PERFORMANCE PROGRESS REPORT  
Program Measures SF-PPR-A**

**County**

Page	of Pages
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1. Agency and Organization Element to which Report is Submitted  Idaho Bureau of Homeland Security	2. Federal Grant or Other Identifying Number Assigned by Federal Agency	3a. DUNS number	7. Reporting Period End Date  (Month, Day, Year)
		3b. EIN	

**B. Program Indicators**

(1) Measure Number or Label	(2) Activity Description	(3) Measure	(4) Baseline	(5) Target Year	(6) Project Target	(7) Actual to Date	(8) Explanation
A-01							
A-02							
A-03							
A-04							
A-05							
A-06							
A-07							
A-08							

Note:  
 - Agencies will specify if this page is required  
 - This page can be used for one or more activities and results, an can be duplicated



### Line Item Instructions for Attachment B, Program Indicators

Item	Data Elements	Instructions
1	Awarding Federal agency and Organizational Element to Which Report is Submitted	Enter the name of the awarding Federal agency and organizational element identified in the award document or otherwise instructed by the agency. The organizational element is a sub-agency within an awarding Federal agency.
2	Federal Grant or Other Identifying Number Assigned by the awarding Federal agency	Enter the grant/award number contained in the award document.
3a	DUNS Number	Enter the recipient organization's Data Universal Numbering System (DUNS) number or Central Contract Registry extended DUNS number.
3b	EIN	Enter the recipient organization's Employer Identification Number (EIN) provided by the Internal Revenue Service.
4	Reporting Period End Date	Enter the ending date of the reporting period. For quarterly, semi-annual, and annual reports, the following calendar quarter reporting period end dates shall be used: 3/31; 6/30; 9/30 and or 12/31. For final PPRs, the reporting period end date shall be the end date of the project/grant period. The frequency of required reporting is usually established in the award document.
<b>Program Indicators</b>		
B.(1)	Activity Number or Label	Enter the Number or label used to track a particular award activity and enter the label used to associate the activity with a particular awarding Federal agency program goal, objective or program/priority area.  <i>(Awarding Federal agencies may provide guidance on format and purpose of this number or label. For example, an agency may prescribe specific activities or may prescribe how to map activities to specific goals, objectives or program/priority areas, or may leave determination to the recipient).</i>
B.(2)	Activity Description	Describe the approved award activities performed to achieve short and long-term goals, associated with expenditures being reported.  <i>(Awarding Federal agencies may provide guidance on the level of detail and types of activities identified).</i>
B.(3)	Indicator or Status	State if the project is completed, not completed or ongoing.
B.(4)	Explanation	If you did not meet or expect to meet your target, you must explain.



**Line Item Instructions for Attachment E, Activity Based Expenditures**

Item	Data Elements	Instructions
1	Awarding Federal agency and Organizational Element to Which Report is Submitted	Enter the name of the awarding Federal agency and organizational element identified in the award document or otherwise instructed by the agency. The organizational element is a sub-agency within an awarding Federal agency.
2	Federal Grant or Other Identifying Number Assigned by the awarding Federal agency	Enter the grant/award number contained in the award document.
3a	DUNS Number	Enter the recipient organization's Data Universal Numbering System (DUNS) number or Central Contract Registry extended DUNS number.
3b	EIN	Enter the recipient organization's Employer Identification Number (EIN) provided by the Internal Revenue Service.
4	Reporting Period End Date	Enter the ending date of the reporting period. For quarterly, semi-annual, and annual reports, the following calendar quarter reporting period end dates shall be used: 3/31; 6/30; 9/30 and or 12/31. For final PPRs, the reporting period end date shall be the end date of the project/grant period. The frequency of required reporting is usually established in the award document.
<b>Activity Based Expenditures</b>		
E.(1)	Activity Number or Label	<p>Enter the Number or label used to track a particular award activity and enter the label used to associate the activity with a particular awarding Federal agency program goal, objective or program/priority area.</p> <p><i>(Awarding Federal agencies may provide guidance on format and purpose of this number or label. For example, an agency may prescribe specific activities or may prescribe how to map activities to specific goals, objectives or program/priority areas, or may leave determination to the recipient).</i></p>
E.(2)	Activity Description	<p>Describe the approved award activities performed to achieve short and long-term goals, associated with expenditures being reported.</p> <p><i>(Awarding Federal agencies may provide guidance on the level of detail and types of activities identified).</i></p>

## PDM/FMA Reimbursement Request

<b>Jurisdiction:</b>	<b>Requested Reimbursement</b>	<b>Balance Remaining</b>
<b>Project:</b>		
<b>Award Amount</b>		\$0.00
(Date Requested)		\$0.00
<b>Total:</b>	\$0.00	\$0.00



## FORCE ACCOUNT LABOR SUMMARY RECORD

### Instructions

Force account is the term to refer to your own personnel and equipment. Keep the following points in mind when compiling force account labor information.

- \* Record regular and overtime hours separately.
- \* Record the benefits separately for regular and overtime hours. Most overtime hours include fewer benefits than regular hours.
- \* Attach a Fringe Benefit Rate Sheet giving a breakdown of what is included in your benefits, by percentages, e.g. social security----15.2%, worker's compensation----4.3%, insurance----18.5%, etc. You can use an average rate if you have different benefit rates for different employees.

#### Complete the Record as Follows:

- \* **Applicant Name:** Enter your organization's name.
- \* **Mission Assignment Number:** Enter your project number.
- \* **Disaster Number:** Enter the declaration number for this disaster here. The Public Assistance Coordinator can also provide you this information.
- \* **Employee Name:** Enter the names of each employee who worked on the project.
- \* **Title/Occupation:** Enter the title or occupation of each employee who worked on the project.
- \* **REG:** Enter the regular hours that each employee worked on the project.
- \* **OT:** Enter overtime hours that each employee worked on the project. **REMINDER: Only overtime is eligible for reimbursement. Record both regular and overtime hours, so that personnel hours can be compared with equipment use hours, if necessary.**
- \* **Total HR:** Total the hours for each employee and enter the result in this block.
- \* **Rate/Hr:** Enter each employee's hourly rate.
- \* **Benefits/Hr:** Enter each employee's hourly benefit rate. There should be different percentages for benefits pertaining to regular and overtime wages.
- \* **Total Rate/Hr:** Add the employee's hourly rate in the Rate/Hr block and the hourly benefits rate in the Benefits/Hr block and enter the result here.
- \* **Total Cost:** Multiply the entries in the Total Hr and Total Rate/Hr blocks and enter the result here.
- \* **Total Cost for Force Account Labor Regular Time:** Add the entries in the Total Cost, REG block for each employee and enter the results here.
- \* **Total Cost for Force Account Labor Overtime:** Add the entries in the Total Cost, OT block for each employee and enter the results here.

# Instructions for HMGP-XXXX Grant Program Financial Status Report (FSR) Form

***If you have any problems with this program and forms or find any errors in its automation please contact your AFO or BHS***

Please type or print legibly. The following general instructions explain how to use the form itself. You may need additional information to complete certain items correctly, or to decide whether a specific item is applicable to this award. Usually, such information will be found in the federal agency's grant regulations or in the terms and conditions of the award. You may also contact the federal agency directly.

1. Self-explanatory.

2. Self-explanatory.

3. Enter the Employer Identification Number (EIN) assigned by the U.S. Internal Revenue Service.

4. Space reserved for an account number or other identifying number assigned by the recipient.

5. Check yes only if this is the last report for the period shown in Item 8.

6. Self-explanatory.

7. Unless you have received other instructions from the awarding agency, enter the beginning and ending dates of the current funding period. If this is a multi-year program, the federal agency might require cumulative reporting through consecutive funding periods. In that case, enter the beginning and ending dates of the grant period, and in the rest of the instructions, substitute the term "grant period" for "funding period."

8. Self-explanatory.

9. The purpose of Columns I, II, and III is to show the effect of this reporting period's transactions on cumulative financial status. The amounts entered in Column I will normally be the same as those in Column III of the previous report in the same funding period. If this is the first or only report of the funding period, leave Columns I and II blank. If you need to adjust amounts entered on previous reports, footnote the column I entry on this report and attach an explanation.

9a. Enter total program outlays less any rebates, refunds or other credits. For reports prepared on a cash basis, outlays are the sum of actual cash disbursements for direct costs for goods and services and the value of in-kind contributions applied. For reports prepared on an accrual basis, outlays are the sum of actual cash disbursements for direct charges for goods and services, the amount of indirect expense incurred, the value of in-kind contributions applied, and the net increase or decrease in the amounts owed by the recipient for goods and other property received, for services performed by employees, contractors and other payees.

9b. Self-explanatory.

9c. Self-explanatory.

9d. Enter the total amount of unliquidated obligations, including unliquidated obligations to contractors. Unliquidated obligations on a cash basis are obligations incurred, but not yet paid. On an accrual basis, they are obligations incurred, but for which an outlay has not yet been recorded. Do not include any amounts on line 9d that have been included on lines 9a, b, or c. On the final report, line 9d must be zero.

9e. Self-explanatory.

9f. Self-explanatory.

9g. Self-explanatory.

9h. Self-explanatory.

9i. Self-explanatory.

10. Self-explanatory.

**Requesting HMGP Funds** : The Bureau of Homeland Security will pay periodic reimbursement payments based upon 75% of the eligible costs actually spent to date and documented. The documented expenditures must be submitted to the Idaho State Hazard Mitigation Officer and copied to BHS Finance, [bhsfinance@bhs.idaho.gov](mailto:bhsfinance@bhs.idaho.gov). Include copies of expenditure related receipts, bills, bills of lading, vouchers, checks, etc. No payment will be made for a cost not yet actually incurred by your organization. Your organization must be obligated to pay a debt before a reimbursement payment can be made. A copy of the HMGP Financial Status Report and Reimbursement Request Workbook is enclosed with this letter. It contains the appropriate forms to request reimbursement for incurred costs.

Your **initial Reimbursement Request** must include the original of the signed State-Local (Sub-grantee) Mitigation Grant Project Agreement and the completed certifications, all of which are enclosed with this letter.

Your **final Reimbursement Request** must also include the following:

- Documentation that the project is complete and that this is the last request for funds.
- Documentation that reported costs were incurred in the performance of eligible work.
- Documentation that the project was completed in compliance with the provisions of the FEMA-State Agreement.
- Documentation that the payments for the work involved in the project were made in accordance with the existing requirements of federal and state laws and regulations.

Ten percent of project funds may be withheld pending finalization of project costs and closeout of the grant.

# DATA ENTRY SHEET

**Fill out the highlighted areas only and it will fill in the additional forms**

APPLICANT NAME  
APPLICANT ADDRESS  
APPLICANT CITY, STATE, AND ZIP  
STATE DECLARATION/DISASTER NO.  
MISSION/PROJECT/PW NO.  
LOCATION/SITE  
DESCRIPTION OF WORK PERFORMED  
PERIOD COVERING  
DUNS #  
EIN #

**COMPLETING THE DATA PAGE WILL AUTOMATICALLY POPULATE YOUR SPREADSHEETS**

# Hazard Mitigation Grant Program (HMGP)

## Financial Status Report

**1. Grant or Award Number Assigned by SAA:**

0

**2. Recipient Organization (Name & Complete Address, Including Zip Code):**

0

0

0

**3. Vendor Number (Tax ID#):**

**4. Final Report**

YES    NO   

**5. Basis**

CASH     ACCRUAL

**6. Funding / Grant Period**

From:

To:

**7. Period Covered by This Report:**

**8. Transactions:**

	I Previously	II This Period	III Cumulative
a. Total Outlays	\$0.00	\$0.00	\$0.00
b. Recipient Share of Outlays (hard or soft match)	\$0.00	\$0.00	\$0.00
c. Federal Share of Outlays	\$0.00	\$0.00	\$0.00
d. Total Unliquidated Obligations	\$0.00	\$0.00	\$0.00
e. Recipient Share of Unliquidated Obligations	\$0.00	\$0.00	\$0.00
f. Federal Share of Unliquidated Obligations	\$0.00	\$0.00	\$0.00
g. Total Federal Share (Sum of Lines c and f)	\$0.00	\$0.00	\$0.00
h. Award Amount	\$0.00	\$0.00	
i. Unobligated Balance of Federal Funds (Line h Minus Line g)	\$0.00	\$0.00	\$0.00

**9. Certification:** I certify to the best of my knowledge and belief that this report is correct and complete and that all expensed funds are for the purposes set forth in the award documents.

**Comments:**

**Typed or Printed Name & Title**

**Signature of Authorized Certifying Official**

**PERFORMANCE PROGRESS REPORT  
SF-PPR**

**0**

		Page	of Pages
1. Agency and Organization Element to which Report is Submitted  Idaho Bureau of Homeland Security	2. Federal Grant or Other Identifying Number Assigned by Federal Agency  0	3a. DUNS number	
		3b. EIN	
4. Recipient Organization (Name and complete address including zip code)  0 0 0		5. Recipient Identifying Number or Account Number	
6. Project/Grant Period  Start date: <i>(Month, Day, Year)</i>   End date: <i>(Month, Day, Year)</i>		7. Reporting Period End Date  <i>(Month, Day, Year)</i>	8. Final Report ? Yes No
		9. Report Frequency <i>annual</i> <i>semi-annual</i> <i>quarterly</i> <i>other</i> (If other, describe)	
10. Performance narrative <i>(attach performance narrative as instructed by the awarding Federal Agency)</i>			
11. Other Attachments <i>(attach other documents as needed or as instructed by the awarding Federal Agency)</i>			
<b>12. Certification: I certify to the best of my knowledge and belief that this report is correct and complete for performance of activities for the purpose set forth in the award documents.</b>			
12a. Typed or Printed Name and Title of Certifying Official		12c. Telephone <i>(area code, number and extension)</i>	
		12d. Email Address	
12b. Signature of Authorized Certifying Official		12e. Date Report Submitted <i>(Month, day, year)</i>	
		13. Agency use only	

**PERFORMANCE PROGRESS REPORT  
Program Measures SF-PPR-A**

0

Page	of Pages
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1. Agency and Organization Element to which Report is Submitted  Idaho Bureau of Homeland Security	2. Federal Grant or Other Identifying Number Assigned by Federal Agency  0	3a. DUNS number 0	7. Reporting Period End Date  (Month, Day, Year)
		3b. EIN 0	

**B. Program Indicators**

(1) Measure Number or Label	(2) Activity Description	(3) Measure	(4) Baseline	(5) Target Year	(6) Project Target	(7) Actual to Date	(8) Explanation
A-01							
A-02							
A-03							
A-04							
A-05							
A-06							
A-07							
A-08							

Note:  
 - Agencies will specify if this page is required  
 - This page can be used for one or more activities and results, an can be duplicated

**PERFORMANCE PROGRESS REPORT  
Program Indicators SF-PPR-B**

0

Page	of Pages
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1. Agency and Organization Element to which Report is Submitted  Idaho Bureau of Homeland Security	2. Federal Grant or Other Identifying Number Assigned by Federal Agency  0	3a. DUNS number 0	7. Reporting Period End Date  (Month, Day, Year)
		3b. EIN 0	

**B. Program Indicators**

(1) Activity Number or Label	(2) Activity Description	(3) Indicator or Status	(4) Explanation
B-01			
B-02			
B-03			
B-04			
B-05			
B-06			
B-07			
B-08			

**Note:**

- Agencies will specify if this page is required
- This page can be used for one or more activities and results, and can be duplicated



## HMGP Reimbursement Request

Jurisdiction:	Requested Reimbursement	Balance Remaining
0		
<b>Project:</b>		
<b>Award Amount</b>		\$0.00
(Date Requested)		\$0.00
<b>Total:</b>	\$0.00	\$0.00

# Idaho Bureau of Homeland Security Soft Match Funds Report

---

## I. Personnel Information

Name: \_\_\_\_\_

Social Security #: \_\_\_\_\_

Agency: \_\_\_\_\_

Job Title: \_\_\_\_\_

Hourly Rate (Wage + Benefits): \_\_\_\_\_ \$0.00

## II. Meeting Information

Title: \_\_\_\_\_

Date(s): \_\_\_\_\_

Meeting Hours: \_\_\_\_\_ 0

Travel Hours: \_\_\_\_\_ 0

## III. In-Kind Match (all time must pertain to grant goals)

Total Match 0 x \$0.00 = **\$0.00**  
Hours Wage

## IV. Funding Source

*Is any part of your salary paid by federal funds?*

Yes  *If yes, what percentage? \_\_\_\_\_  
This amount cannot be used as match*

No

Signature of Participant:		
	Name	Date

Program Manager:		
	Name	Date

**IDAHO BUREAU OF HOMELAND SECURITY  
DISASTER COST REIMBURSEMENT WORKBOOK**

To receive payment, complete and sign the documents specified below. If a form is not applicable, please enter N/A.

**State Disaster Cost Claim**

- o Section 3: Type of Claim. Choose type of claim being submitted. If an emergency situation exists where an advance is necessary, you may request up to 50% of your cost claim. Cost documentation to substantiate the advance must be submitted within 30 days from receipt of advance request.  
(Note: BHS will provide assistance to the jurisdiction in completing the Request for Reimbursement)

**Request for Reimbursement**

- o Signature of certifying official needed for reimbursement

**Force Account Labor Costs**

- o Force Account Labor Record (Form 90-123)
- o Copies of Timesheets
- o Copies of Payroll Records. Payroll record should include employee name, pay period dates, regular and overtime rates, and benefits paid (if claimed)
- o Benefit Rate Calculation Sheet (Form 90-128) if claiming benefits

**Materials & Supplies**

- o Material Summary Sheet (Form 90-124)
- o For purchased materials or supplies, copy of vendor invoice detailing supplies or materials used
- o If using existing inventory, document detailing supplies or materials used. Provide record of last purchase of materials to substantiate cost.
- o Meeting expenses (i.e. food) . Receipts for expenses, meeting agenda to show date and time of meeting, and sign-in sheet to show number of attendees. Provide a copy of your jurisdictions policies and procedures regarding meeting expenses. For an example, see the State Travel Policies and Procedures.  
<http://www.sco.idaho.gov/web/sbe/sbeweb.nsf/pages/trvlpolicy.htm>
- o Meals: Meals are covered under state and local jurisdiction policies. For an example, see the State Travel Policies and Procedures for eligibility guidelines
- o Finance record indicating expenses were paid.

**Rented Equipment**

- o Rented Equipment Record (Form 90-125)
- o Copy of invoice referencing daily and hourly cost of equipment actually used

**Contract Work**

- o Contract Work Record (Form 90-126)
- o Copies of Contract labor time sheets
- o Contract Agreement with Vendor: Submit copy of invoice detailing work performed and costs incurred
- o Finance record indicating contract was paid

**Force Account Equipment**

Note: Equipment rates on the FEMA Force Account equipment rate sheet include operation, depreciation, fuel, and maintenance, but do not include operator labor.

- o Force Account Equipment Summary Record (Form 90-127)
- o Equipment log to show equipment date and operator usage
- o Equipment operator timesheet associating operator with each piece of equipment
- o Fuel claims: Description of equipment used, operator timesheet, receipt for fuel, and reason for equipment expense.  
Fuel may not be claimed if equipment rates are claimed for the same equipment.
- o Mileage: Description of equipment used, operator timesheet, receipt for fuel, and reason for expense.  
Mileage may not be claimed if equipment rates are claimed for the same equipment.

**Fire Department Claims:**

- o Copy of Resource Order or detail about WHO ordered them to fire
- o Copy of Equipment Rental Agreement
- o Copy of Emergency Equipment Shift Ticket
- o Copy of Fire Timesheet for personnel or Crew Time Reports
- o Daily Timesheet for individual to show entire week of work
- o Copy of IDL rate sheet to verify equipment rates
- o Emergency Equipment Fuel and Oil Tickets
- o Vehicle Inspection Checklist
- o Check-In Sheet (showing resource was checked in)
- o General Message Forms (indicates situations i.e. fire truck down for period of time or ordered somewhere for specific reason)
- o AD Wage Rates (if hired AD (casual hire) (assigns a certain rate to fire positions and equipment
- o If claiming Unoperated Rates:In addition to the above:
  - o Copies of Timesheets **and** Payroll Reports
  - o If union, need union rates,payroll, OT and comp time policy info

## STATE DISASTER COST CLAIM

1. Applicant Name: <div style="background-color: yellow; height: 20px; width: 100%;"></div>	2. EMPLOYER IDENTIFICATION NUMBER <div style="text-align: center; font-weight: bold; font-size: 1.2em;">0</div>
Number <div style="float: right; font-weight: bold; font-size: 1.2em;">0</div>	3. Type of Claim (Choose Type of Claim) <div style="background-color: yellow; width: 150px; height: 60px; margin-left: 20px;"></div>
and Street:	
City, State, and ZIP Code: <div style="float: right; font-weight: bold; font-size: 1.2em;">0</div>	
4. Mission Assignment/Project Agreement/PW#: <div style="background-color: yellow; height: 20px; width: 100%;"></div>	
5. COMPUTATION OF CLAIM REQUESTED	
	PERIOD COVERED BY THIS REQUEST
	0
	CLAIM
Force Account Labor	\$0.00
Force Account Equipment	\$0.00
Rented Equipment	\$0.00
Contract Services	\$0.00
Materials & Supplies	\$0.00
Direct Administrative Costs (Fed only)	\$0.00
TOTAL CLAIM	\$0.00
6 I certify that to the best of my knowledge and belief the data is correct and that all outlays were made in accordance with the grant conditions or other agreement and that this claim has not been previously requested.	
SIGNATURE OF AUTHORIZED CLAIMANT	DATE REQUEST SUBMITTED:
TYPED OR PRINTED NAME AND TITLE	TELEPHONE (AREA CODE, NUMBER, EXTENSION)

# IDAHO BUREAU OF HOMELAND SECURITY

<b>REQUEST FOR ADVANCE OR REIMBURSEMENT</b>	1. Type of Payment Requested (See Section 7 below) Advance <span style="float: right;"><b>1</b></span> <input style="width: 100px;" type="text"/> Partial Reimbursement <span style="float: right;"><b>2</b></span> <input style="width: 100px;" type="text"/> Final Payment <span style="float: right;"><b>3</b></span> <input style="width: 100px;" type="text"/>	For BHS Use Only Approved by: _____ Approved Date: _____ Pay Request #: _____	
2. Applicant Name: <span style="float: right;"><b>0</b></span>			
3. EMPLOYER IDENTIFICATION NUMBER	4. PERIOD COVERED BY THIS REQUEST		
	FROM (month, day, year)	TO (month, day, year)	
5. RECIPIENT ORGANIZATION			
Name: <b>Idaho Bureau of Homeland Security</b>  Number <b>4040 Guard Street, Bldg. 600</b>  and Street:   City, State, and ZIP Code: <b>Boise, ID 83705-5004</b>	6. PAYEE ( <i>Where check is to be sent</i> ) Name:  Number  and Street:   City, State, and ZIP Code:		
<b>7. COMPUTATION OF AMOUNT OF REIMBURSEMENTS/ADVANCES REQUESTED</b>			
Mission Assignment/Project Agreement/PW#:			<b>TOTAL</b>
Type of Payment Requested (Choose from #1 above)			
a. Costs Claimed			<b>\$0.00</b>
b. Advance			<b>\$0.00</b>
c. State Share to be requested (____%)			
d. Local Share of PA (____%)			
<b>f. Total to be paid:</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>
8  I certify that to the best of my knowledge and belief the data is correct and that all outlays were made in accordance with the grant conditions or other agreement and that payment is due and has not been previously requested.	SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL		DATE REQUEST SUBMITTED:
	TYPED OR PRINTED NAME AND TITLE		TELEPHONE (AREA CODE, NUMBER, EXTENSION)

**IDAHO BUREAU OF HOMELAND SECURITY  
FORCE ACCOUNT LABOR RECORD**

APPLICANT NAME 0			DISASTER NO. 0			MISSION/PROJECT/PW# 0			PAGE OF 0				
LOCATION/SITE 0						PERIOD COVERING 0							
DESCRIPTION OF WORK PERFORMED 0													
	Federal/State/ Dedicated (F/S/D) Employee	Use Actual Calendar Weeks , Do Not Mix Dates Regardless of Pay Periods.							<b>Costs</b>				
		Dates and Hours Worked Each Week											
		DATE	SUN	MON	TUES	WED	THURS	FRI	SAT	TOTAL HOURS	HOURLY RATE	BENEFIT RATE/HR	TOTAL HOURLY RATE
NAME	REG.							0.00			\$0.00	\$0.00	
JOB TITLE	O.T.							0.00			\$0.00	\$0.00	
NAME	REG.							0.00			\$0.00	\$0.00	
JOB TITLE	O.T.							0.00			\$0.00	\$0.00	
NAME	REG.							0.00			\$0.00	\$0.00	
JOB TITLE	O.T.							0.00			\$0.00	\$0.00	
NAME	REG.							0.00			\$0.00	\$0.00	
JOB TITLE	O.T.							0.00			\$0.00	\$0.00	
NAME	REG.							0.00			\$0.00	\$0.00	
JOB TITLE	O.T.							0.00			\$0.00	\$0.00	
NAME	REG.							0.00			\$0.00	\$0.00	
JOB TITLE	O.T.							0.00			\$0.00	\$0.00	
NAME	REG.							0.00			\$0.00	\$0.00	
JOB TITLE	O.T.							0.00			\$0.00	\$0.00	
NAME	REG.							0.00			\$0.00	\$0.00	
JOB TITLE	O.T.							0.00			\$0.00	\$0.00	
NAME	REG.							0.00			\$0.00	\$0.00	
JOB TITLE	O.T.							0.00			\$0.00	\$0.00	
NAME	REG.							0.00			\$0.00	\$0.00	
JOB TITLE	O.T.							0.00			\$0.00	\$0.00	
NAME	REG.							0.00			\$0.00	\$0.00	
JOB TITLE	O.T.							0.00			\$0.00	\$0.00	
NAME	REG.							0.00			\$0.00	\$0.00	
JOB TITLE	O.T.							0.00			\$0.00	\$0.00	
<b>TOTAL COST FOR FORCE ACCOUNT LABOR REGULAR TIME</b>											\$0.00		
<b>TOTAL COSTS FOR FORCE ACCOUNT LABOR OVERTIME</b>											\$0.00		
I CERTIFY THAT THE ABOVE INFORMATION WAS OBTAINED FROM PAYROLL RECORDS, INVOICES, OR OTHER DOCUMENTS THAT ARE AVAILABLE FOR AUDIT.													
CERTIFIED						TITLE			DATE				
PRINT NAME													

The BHS Force Account Labor Summary Record is comparable to FEMA form 90-123

## FRINGE BENEFIT RATE SHEET INSTRUCTIONS

### Fringe Benefit Calculations

Fringe benefits for force account labor is eligible. Except in extremely unusual cases, fringe benefits for overtime will be significantly less than regular time.

The following steps will assist in calculating the percentage of fringe benefits paid on an employee's salary.

Note that items and percentages will vary from one entity to another.

1. The normal year consists of 2080 hours (52 weeks x 5 workdays/week x 8 hours/day). This does not include holidays and vacations.
2. Determine the employee's basic hourly pay rate (annual salary/2080 hours).
3. Fringe benefit percentage for vacation time: Divide the number of hours of annual vacation time provided to the employee by 2080 (80 hours (2 weeks)/2080 = 3.85%).
4. Fringe benefit percentage for paid holidays: Divide the number of paid holiday hours by 2080 (64 hours (8 holiays)/2080 = 3.07%).
5. Retirement pay: Because this measure varies widely, use only the percentage of salary matched by the employer.
6. Social Security and Unemployment Insurance: Both are standard percentages of salary.
7. Insurance: This benefit varies by employee. Divide the amount paid by the city or county by the basic pay rate determined in Step 2.
8. Workman's Compensation: This benefit also varies by employee. Divide the amount paid by the city or county by the basic pay rate determined in Step 2. Use the rate per \$100 to determine the correct percentage.

Note: Typically, you should not be charging the same rate for regular time and overtime. Generally, only FICA (Social Security) is eligible for overtime; however, some entities may charge retirement tax on all income.

### Sample Rates

Although some rates may differ greatly between organizations due to their particular experiences, the table below provides some general guidelines that can be used as a reasonableness test to review submitted claims. These rates are based on experience in developing fringe rates for several state departments, the default rate is that used for the state of Florida, following Hurricane Andrew (August 1992), and the review of several FEMA claims. The rates presented are determined using the gross wage method applicable to the personnel hourly rate (PHR) method. The net available hours method would result in higher rates.

#### **Paid Fringe Benefits**

HCA Matching	7.65%	(or slightly less)
Retirement--Regular	17.00%	(or less)
Retirement--Special Risk	25.00%	(or slightly more)
Health Insurance	12.00%	(or less)
Life & Disability Insurance	1.00%	(or less)
Worker's Compensation	3.00%	(or less)
Unemployment Insurance	0.25%	(or less)

#### **Leave Fringe Benefits**

Accrued Annual Leave	7.00%	(or less)
Sick Leave	4.00%	(or less)
Administrative Leave	0.50%	(or less)
Holiday Leave	4.00%	(or less)
Compensatory Leave	2.00%	(or less)

Rates outside of these ranges are possible, but should be justified during the validation process.



## THE MATERIAL RECORD SUMMARY INSTRUCTIONS

This form is used to record the costs of supplies and materials purchased in response to the disaster or used to repair damages caused by the disaster.

### Complete the Record as Follows:

- \* **Applicant Name:** Enter your organization's name.
- \* **Mission Assignment Number:** Enter the number you have assigned to this project.
- \* **Disaster Number:** Enter the declaration number for this disaster here. The Public Assistance Coordinator can also provide you this information.
- \* **Invoice Number:** Enter the invoice number.
- \* **Date:** Enter the date on the invoice.
- \* **Vendor:** Enter the name of the supplier if the material was bought specifically as a result of the disaster.
- \* **Description:** Enter a brief description of the supplies or materials used or purchased.
- \* **Invoice Total:** Enter the total cost listed on the invoice.
- \* **Total Cost for Material:** Add the numbers in the Invoice Total block and enter the result here.



## THE RENTED EQUIPMENT SUMMARY RECORD

### INSTRUCTIONS

This form is used to record the costs of equipment that you had to rent or lease to respond to the disaster or to be used in making repairs to damages caused by the disaster.

#### Complete the Record as Follows:

- \* **Applicant Name:** Enter your organization's name.
- \* **Mission Assignment Number:** Enter the mission assignment number.
- \* **Disaster Number:** Enter the declaration number for this disaster here. The Public Assistance Coordinator can also provide you this information.
- \* **Date:** Enter the dates for each day the project was worked on.
- \* **Company:** Enter the name of the company that rented or leased the equipment to you.
- \* **Equipment Description:** Enter a brief description of the equipment that you leased or rented.
- \* **Hours Used:** Enter the number of hours that the equipment was used on the project.
- \* **Cost/Hour:** Enter the hourly rental or lease cost of the equipment. Indicate if the equipment was rented on a daily, weekly, or monthly rate, instead of an hourly rate. **NOTE: Determine that the rental rate is fair and reasonable and has not been raised to an unacceptable rate because of the disaster.**
- \* **Total Cost:** Enter the usage cost based on the renter's agreement.
- \* **Total Cost for Rented Equipment:** Add the numbers in the Total Cost blocks and enter the result here.

IDAHO BUREAU OF HOMELAND SECURITY  
RENTED EQUIPMENT

APPLICANT 0		DISASTER NO. 0		MISSION/PROJECT/PW# 0		PAGE _____ OF _____		
LOCATION/SITE 0				PERIOD COVERING 0				
DESCRIPTION OF WORK PERFORMED 0								
TYPE OF EQUIPMENT Indicate size, Capacity, Horsepower, Make and Models as Appropriate	DATES AND HOURS USED	RATE PER HOUR		TOTAL COST	VENDOR	INVOICE NO.	DATE AND AMOUNT PAID	CHECK NO.
		W/OPR	W/OUT OPR					
				\$0.00				
				\$0.00				
				\$0.00				
				\$0.00				
				\$0.00				
				\$0.00				
				\$0.00				
				\$0.00				
				\$0.00				
<b>GRAND TOTAL</b>							\$0.00	
I CERTIFY THAT THE ABOVE INFORMATION WAS OBTAINED FROM PAYROLL RECORDS, INVOICES, OR OTHER DOCUMENTS THAT ARE AVAILABLE FOR AUDIT.								
CERTIFIED					TITLE		DATE	
PRINT NAME								

## CONTRACT WORK SUMMARY RECORD

### INSTRUCTIONS

This form is used to record the costs of contracts that you awarded to respond to the disaster or to make repairs to damages caused by the disaster.

#### Complete the Record as Follows:

- \* **Applicant Name:** Enter your organization's name.
- \* **Mission Assignment Number:** Enter the number you have assigned to this project.
- \* **Disaster Number:** Enter the declaration number for this disaster here. The Public Assistance Coordinator can also provide you this information.
- \* **Invoice Number:** Enter the invoice number.
- \* **Date:** Enter the date on the invoice.
- \* **Contractor:** Enter the name of the contractor receiving the contract.
- \* **Description of Work:** Enter the brief description of the work being performed.
- \* **Invoice Cost:** Enter the total dollar figure listed on the invoice for that site.
- \* **Total Cost for Contract Service (includes contract labor):** Add the numbers in the Invoice Cost column and enter the result here.

**IDAHO BUREAU OF HOMELAND SECURITY  
CONTRACT WORK RECORD**

<b>APPLICANT</b> 0	<b>DISASTER NO.</b> 0	<b>MISSION/PROJECT/PW#</b> 0	<b>PAGE</b> <u>  1  </u> <b>OF</b> <u>      </u>	
<b>LOCATION/SITE</b> 0		<b>PERIOD COVERING</b> 0		
<b>DESCRIPTION OF WORK PERFORMED</b>  0				
<b>DATES WORKED</b>	<b>CONTRACTOR</b>	<b>BILLING/INVOICE NUMBER</b>	<b>AMOUNT</b>	<b>COMMENTS - SCOPE</b>
			\$0.00	
<b>GRAND TOTAL</b>			<b>→</b>	\$0.00
I CERTIFY THAT THE ABOVE INFORMATION WAS OBTAINED FROM PAYROLL RECORDS, INVOICES, OR OTHER DOCUMENTS THAT ARE AVAILABLE FOR AUDIT.				
<b>CERTIFIED</b>		<b>TITLE</b>		<b>DATE</b>
<b>PRINT NAME</b>				

## FORCE ACCOUNT EQUIPMENT SUMMARY RECORD

### INSTRUCTIONS

Force account is the term to refer to your own personnel and equipment.

#### Complete the Record as Follows:

- \* **Applicant Name:** Enter your organization's name.
- \* **Mission Assignment Number:** Enter the number you have assigned to this project.
- \* **Disaster Number:** Enter the declaration number for this disaster here. The Public Assistance Coordinator can also provide you this information.
- \* **Date:** Enter the dates for each day the project was worked on.
- \* **Equipment Description:** Enter a brief description of the equipment, including the rated horsepower or capacity of the equipment. Be sure to include this information if you also use a trade name or common name to describe the equipment, e.g., Ditch Witch.
- \* **Equipment Code Number:** See the Cost Code Worksheet for the correct equipment code.
- \* **Operator:** Enter the equipment operators name.
- \* **Hours Used:** Enter the hours the equipment was used on the project.
- \* **Cost/Hour:** Enter the hourly cost to use the equipment.
- \* **Total Cost:** Multiply the number in the Hours Used block by the number in the Cost/Hour block and enter the result here.
- \* **Total Cost for Force Account Equipment:** Add the numbers in the Total Cost blocks and enter the result here.

**IDAHO BUREAU OF HOMELAND SECURITY  
FORCE ACCOUNT EQUIPMENT SUMMARY RECORD**

APPLICANT 0		DISASTER NO. 0		MISSION/PROJECT/PW# 0				PAGE _____ OF _____					
LOCATION/SITE 0								PERIOD COVERING 0					
DESCRIPTION OF WORK PERFORMED  0													
Type of Equipment		OPERATOR'S NAME (Do Not Group Operators Together, List Separately)	Use Actual Calendar Weeks , Do Not Mix Dates Regardless of Pay Periods Or Dates Used.							Costs			
			Dates and Hours Used Each Day										
INDICATE SIZE, CAPACITY, HORSEPOWER, MAKE AND MODEL AS APPROPRIATE	Cost Code (From FEMA Rate Sheet)		DATE	SUN	MON	TUES	WED	THURS	FRI	SAT	TOTAL HOURS	EQUIPMENT RATE	TOTAL COST
			Hours								0.0		\$0.00
			Hours								0.0		\$0.00
			Hours								0.0		\$0.00
			Hours								0.0		\$0.00
			Hours								0.0		\$0.00
			Hours								0.0		\$0.00
<b>GRAND TOTAL</b>											0.0		\$0.00
I CERTIFY THAT THE ABOVE INFORMATION WAS OBTAINED FROM PAYROLL RECORDS, INVOICES, OR OTHER DOCUMENTS THAT ARE AVAILABLE FOR AUDIT.													
CERTIFIED			TITLE							DATE			
PRINT NAME													



**MILITARY DIVISION, STATE OF IDAHO  
IDAHO BUREAU OF HOMELAND SECURITY**

4040 W. GUARD STREET, BLDG. 600  
BOISE, IDAHO 83705-5004  
208-422-3040

**HMA Project Sub-Application Checklist**

Mitigation project sub-applications must include the following to be eligible for consideration under the PDM program:

**Sub-application ID** (name/number or both): \_\_\_\_\_

<b>1. Applicant Information:</b> Provide name, type, and location of the sub-applicant (for States/Tribes, this may be the same as the Applicant), State and Federal tax numbers, and Federal Employer Identification Number	<b>Is this Information Complete?</b> <b>YES / NO</b>
<b>Comments:</b>	
<b>2. Contact Information:</b> Provide the name, agency, and address for the point of contact for the project sub-application.	<b>Is this Information Complete?</b> <b>YES / NO</b>
<b>Comments:</b>	
<b>3. Sub-application Name:</b> Applicants must verify that the sub-application name includes the location of the proposed activity and the activity type	<b>Is this Information Complete?</b> <b>YES / NO</b>

## HMA Project Sub-Application Checklist

<b>Comments:</b>	
<b>4. Community Information:</b> Select the name of the community or entity ( <i>e.g.</i> , Tribe, college, university) that will benefit from the project subapplication. If the community or entity is not listed, please advise the FEMA Regional Office (See <i>Section 1.15, Regional Contact Information</i> ). Provide a Community Profile with a brief description of the community to include population, location, any geographic areas of interest, description of critical facilities of a national, Statewide, or regional significance ( <i>e.g.</i> , military bases, hydroelectric dams), a synopsis and history of hazards affecting the community, and other applicable information that will clarify the need for the mitigation project	<b>Is this Information Complete?</b> <b>YES / NO</b>
<b>Comments:</b>	

## HMA Project Sub-Application Checklist

<p><b>5. Mitigation Plan Information:</b> Indicate whether the local entity that will benefit from the project subapplication is covered by a FEMA-approved tribal/local hazard mitigation plan and whether the State/Tribe/Territory is covered by a FEMA-approved and adopted State/tribal Standard or Enhanced hazard mitigation plan and describe how the proposed project aligns with the goals, objectives, and priorities identified in the existing State/tribal hazard mitigation plan. Provide reference to planning documents (<i>i.e.</i>, section and page number)</p>	<p><b>Is this Information Complete?</b> <b>YES / NO</b></p>
<p><b>Comments:</b></p>	
<p><b>6. Mitigation Activity Information:</b> Indicate the type and title of the proposed project, and whether construction is involved</p>	<p><b>Is this Information Complete?</b> <b>YES / NO</b></p>
<p><b>Comments:</b></p>	
<p><b>7. Hazard Information:</b> Identify the hazard to be mitigated by the project and the location and dimensions (<i>i.e.</i>, area, volume, depth) of the project, including project site location on at least a 1:24,000 scale US Geological Survey (USGS) topographic map, photographs showing the project site, sketches, and/or drawings showing the project site (<i>e.g.</i>, appropriate sections of FIRM)</p>	<p><b>Is this Information Complete?</b> <b>YES / NO</b></p>

## HMA Project Sub-Application Checklist

<p><b>Comments:</b></p>	
<p><b>8. Scope of Work:</b> Describe the objectives, methodology, feasibility, outcomes, timeline, milestones, resources, deliverables, and benefits of as well as reasons for the proposed project, including work schedule/tasks for each activity and who will compete each task</p>	<p><b>Is this Information Complete?</b> <b>YES / NO</b></p>
<p><b>Comments:</b></p>	
<p><b>9. Properties:</b> Provide a list of properties (and alternative properties) to be mitigated. The property information history must include owner name, address, latitude and longitude, type of structure, hazard to be mitigated, damage category, year built, flood zone designation, NFIP repetitive loss number (if applicable), property action, and property BCA information</p>	<p><b>Is this Information Complete?</b> <b>YES / NO</b></p>
<p><b>Comments:</b></p>	

## HMA Project Sub-Application Checklist

<b>10. Decision Making Process:</b> Identify alternatives considered to address the hazard prior to deciding upon the proposed project and describe the process used to determine that the proposed project is the best alternative to solve the identified problem and the reasons the alternatives were not selected	<b>Is this Information Complete?</b> <b>YES / NO</b>
<b>Comments:</b>	
<b>11. Cost Estimate:</b> Provide all anticipated and potential costs for each proposed project activity, including Federal and non-Federal shares. Provide an Approved Indirect Cost Agreement, if applicable	<b>Is this Information Complete?</b> <b>YES / NO</b>
<b>Comments:</b>	
<b>12. Match Sources:</b> Provide the non-Federal cost share for the proposed activity, including documentation to support the non-Federal cost share and subapplicant status as a small and impoverished community, if appropriate, for Federal cost share of up to 90% (See <i>Section 1.7, Cost Share Requirements</i> )	<b>Is this Information Complete?</b> <b>YES / NO</b>
<b>Comments:</b>	

## HMA Project Sub-Application Checklist

<p><b>13. Cost-Effectiveness Information:</b> Provide complete BCA and documentation, including damage history, methodology used for the event frequency determination, and all BCAs to support the project benefit-cost ratio</p>	<p><b>Is this Information Complete?</b> <b>YES / NO</b></p>
<p><b>Comments:</b></p>	
<p><b>14. Environmental/Historic Preservation:</b> Provide complete responses to established Environmental/Historic Preservation questions, and complete Environmental/Historic documentation</p>	<p><b>Is this Information Complete?</b> <b>YES / NO</b></p>
<p><b>Comments:</b></p>	
<p><b>15. Maintenance Schedule:</b> Provide a maintenance schedule, including cost information, and identify the entity that will perform long-term maintenance</p>	<p><b>Is this Information Complete?</b> <b>YES / NO</b></p>
<p><b>Comments:</b></p>	

## HMA Project Sub-Application Checklist

<b>16. Evaluation Information:</b> Provide responses to the questions for each subapplication for competitive National Ranking and Evaluation, including documentation for the BCA	<b>Is this Information Complete?</b> <b>YES / NO</b>
<b>Comments:</b>	
<b>17. Assurances and Certifications:</b> If applicable in your Applicant State/Tribe/Territory, complete the Summary Sheet for Assurances and Certification, FEMA Form 20-16; Assurances-Non-Construction Programs, FEMA Form 20-16A; Assurances-Construction Programs, FEMA Form 20-16B; Certification Regarding Lobbying; Debarment, Suspension and Other Responsible Matters; Drug-Free Workplace Requirements, FEMA Form 20-16C; and Disclosure of Lobbying Activities, Standard Form LLL.	<b>Is this Information Complete?</b> <b>YES / NO</b>
<b>Comments:</b>	

<b>Mitigation Final Inspection Report</b>		Grant Number	State	Declaration Date
<b>STATE OF IDAHO</b>			ID	
FEMA PROJECT NO.				
PROJECT NAME	Project Manager:			
	Phone:		Fax:	
	E-Mail:			
HMGP FUNDING:	<input type="checkbox"/> Regular	<input type="checkbox"/> 7% Planning	<input type="checkbox"/> 5% Initiative	<input type="checkbox"/> SMC
PDM/FMA FUNDING:	<input checked="" type="checkbox"/> Regular	<input type="checkbox"/> Competitive		
<p><b>SUMMARY OF WORK:</b></p> <p>_____ County has completed their multi-jurisdiction all hazard mitigation plan in accordance with the scope of work provided in their PDM planning sub-grant application. The plan was reviewed by the state and subsequently approved by FEMA Region X as a multi-jurisdictional all hazard mitigation plan covering the jurisdictions of _____, _____, _____ on (date of approval).</p>				
Date Project Completed:		Date Project Inspected:		
Questions:	None			
Did you personally inspect completed project?	<input checked="" type="checkbox"/>	Yes	<input type="checkbox"/>	No
Did you review applicable sub-grantee documentation?	<input checked="" type="checkbox"/>	Yes	<input type="checkbox"/>	No
Did you make prior inspections on this project?	<input type="checkbox"/>	Yes	<input checked="" type="checkbox"/>	No
<b>CERTIFICATION</b>				
I certify that the above numbered project has been inspected, that the work has been completed as approved therein (except as noted above, if any), That this report is correct and complete and for the purposes set forth in the obligation document.				
State Reviewer (Signature and Title)		Date		

<b>Mitigation Final Inspection Report</b>		Grant Number	State	Declaration Date
<b>STATE OF IDAHO</b>			ID	
FEMA PROJECT NO.				
PROJECT NAME		Project Manager:		
		Phone:	Fax:	
		E-Mail:		
HMGP FUNDING:	<input checked="" type="checkbox"/> Regular	<input type="checkbox"/> 7% Planning	<input type="checkbox"/> 5% Initiative	<input type="checkbox"/> SMC
PDM/FMA FUNDING:	<input type="checkbox"/> Regular	<input type="checkbox"/> Competitive		
SUMMARY OF WORK:				
<p>All necessary permits were obtained for the project and conditions adhered to by the BHS. Inspection by _____, on _____ verified the work was complete per the HMGP Grant Application, meeting the Scope of Work and overall State's hazard mitigation objectives.</p>				
Date Project Completed:	02/06/09	Date Project Inspected:		
Questions:	None			
Did you personally inspect completed project?	<input checked="" type="checkbox"/>	Yes	<input type="checkbox"/>	No
Did you review applicable sub-grantee documentation?	<input checked="" type="checkbox"/>	Yes	<input type="checkbox"/>	No
Did you make prior inspections on this project?	<input type="checkbox"/>	Yes	<input checked="" type="checkbox"/>	No
<b>CERTIFICATION</b>				
I certify that the above numbered project has been inspected, that the work has been completed as approved therein (except as noted above, if any), That this report is correct and complete and for the purposes set forth in the obligation document.				
State Reviewer (Signature and Title)		Date		
Local Representative (Signature and Title)		Date		

# Hazard Mitigation Assistance (HMA) Mitigation Planning Application Evaluation

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All mitigation grant applications will be evaluated against established criteria. If funding requested in eligible applications exceeds the amount available in grant programs, BHS will establish a Mitigation Grant Review Committee consisting of state and local representatives. The purpose of the Committee is to review, evaluate and prioritize eligible applications for funding.

Applications will be reviewed to ensure they meet minimum state and federal eligibility requirements prior to evaluation and scoring by BHS or the Mitigation Grant Review Committee.

## **SCORING**

The application evaluation package corresponds to the format of the grant application.

Each section has a maximum assigned point value:

Part 1, Planning Process Element, is weighted at 15 points

Part 2, Risk Assessment Element, is weighted at 35 points

Part 3, Mitigation Strategy Element, is weighted at 130 points

Part 4, Plan Maintenance Element, is weighted at 20 points

The total possible score is **200 points**.

# Hazard Mitigation Assistance (HMA) Mitigation Planning Application Evaluation

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## SCORING, continued

Due to the varied scoring criteria per section, the following guidelines, definitions, and percentages have been developed to help maintain consistent scoring:

<b>CRITICAL RISK</b>	<b>80% - 100%</b> Documented <b>SEVERE</b> public health and safety problems.
<b>SERIOUS RISK</b>	<b>70% - 79%</b> High potential for <b>SERIOUS</b> public health, safety, or  environmental problems.
<b>MODERATE RISK</b>	<b>60% - 69%</b> Moderately <b>SERIOUS</b> problems, high maintenance and operations costs, inefficient.
<b>ROUTINE</b>	<b>0% - 59%</b> <b>ROUTINE</b> activities or <b>non-mitigation projects</b> ; projects that lack adequate information upon which to make an informed judgment.

# Standard Conditions for Acquisition for Open Space

*As applied to all HMA Grant Programs, per 44 CFR 80*

1. Participation by property owners is voluntary. The prospective participants were informed in writing that participation in the program is voluntary and that the Applicant/Sub-applicant will not use its eminent domain authority to acquire their property for the project purposes should negotiations fail.
2. The Sub-applicant agrees that land acquired for open space purposes under a FEMA mitigation grant program will be restricted in perpetuity to open space uses and will be unavailable for the construction of flood damage reduction levees, transportation facilities, and other incompatible purposes.
3. The Sub-applicant agrees to record Deed Restrictions for each affected property utilizing the Model provided on the FEMA website at:  
<http://www.fema.gov/government/grant/resources/pre-award.shtm>
4. The Sub-applicant accepts all of the requirements of the deed restriction governing the use of the land.
5. Prior to acquisition of the property, in consultation with the U.S. Army Corps of Engineers, the Sub-applicant has addressed and considered the potential future use of these lands for the construction of flood damage reduction levees, has rejected consideration of such measures in the future in the project area, and instead has chosen to proceed with acquisition of permanent open space. Documentation to this affect will be provided at close-out.
6. Prior to acquisition of the property, the Sub-applicant has coordinated with its State Department of Transportation to ensure that no future, planned improvements or enhancements are under consideration that will affect the proposed project area. Documentation to this affect will be provided at close-out.
7. Existing buildings will be removed within 90 days of settlement, unless such cannot be accomplished due to environmental conditions placed on project approval. The State will provide confirmation as to the date of demolition of each structure included in the final project, as well as confirmation from a site inspection that the property has been returned to "natural" or park/open space condition.
8. The State and the subapplicant/subgrantee agree to comply with the requirements of Section 80.19 *Land Use and Oversight*, of 44 CFR 80, *Property Acquisition and Relocation for Open Space*, which are incorporated into these conditions by reference. These requirements include, but are not limited to the following. Further explanation and guidance with regard to implementation of Section 80.19 is found in Section 2.3.13.3.2 (Pages 55-59) of the Unified Hazard Mitigation Guidance of June 19, 2008, located on the FEMA website at: <http://www.fema.gov/library/viewRecord.do?id=3324>
  - a. Restriction on future disaster assistance for damages to the property.
  - b. Lists of allowable open space uses as well as uses generally not allowed on acquired open space land.
  - c. Provision for salvage of pre-existing structures and paved areas.
  - d. Requirements pertaining to future transfer of property interest.
  - e. Requirement for joint State/subgrantee monitoring and inspection of the acquired property at least every 3 years.

- f. Provisions for enforcement of violation of open space requirements.
9. The following documentation will be provided at closeout of the project:
- a. A report of the State's final on-site inspection of the project, including the date of demolition of each structure and confirmation that the property has been returned to "natural" or park/open space condition.
  - b. Confirmation that Environmental Conditions were complied with.
  - c. Documentation in support of the consultation processes required in Conditions 5 and 6 above.
  - d. A digital photograph of the property site after project implementation.
  - e. A copy of the recorded deed and attached deed restrictions for each property.
  - f. Latitude and longitude coordinates of the property.
  - g. Signed Statements of Voluntary Participation from the owner of each property identified in the subgrant Scope of Work. The Statement of Voluntary Participation documents more formally the Notice of Voluntary Interest provided in the subapplication, as well as documenting required property valuation notices. A Model Statement of Voluntary Participation is available on FEMA's Web site at: [http://www.fema.gov/government/grant/vol\\_participation.shtm](http://www.fema.gov/government/grant/vol_participation.shtm)
  - h. For each property identified on FEMA's Repetitive Loss list, a completed FEMA form AW-501, documenting the completion of mitigation on the repetitive loss property. The form is available on FEMA's Web site at: <http://www.fema.gov/government/grant/resources/aw501ins.shtm>

## Circular No. A-133

Revised to show changes published in the *Federal Register* June 27, 2003  
Audits of States, Local Governments, and Non-Profit Organizations

TO THE HEADS OF EXECUTIVE DEPARTMENTS AND ESTABLISHMENTS

SUBJECT: Audits of States, Local Governments, and Non-Profit Organizations

1. Purpose. This Circular is issued pursuant to the Single Audit Act of 1984, P.L. 98-502, and the Single Audit Act Amendments of 1996, P.L. 104-156. It sets forth standards for obtaining consistency and uniformity among Federal agencies for the audit of States, local governments, and non-profit organizations expending Federal awards.

2. Authority. Circular A-133 is issued under the authority of sections 503, 1111, and 7501 *et seq.* of title 31, United States Code, and Executive Orders 8248 and 11541.

3. Rescission and Supersession. This Circular rescinds Circular A-128, "Audits of State and Local Governments," issued April 12, 1985, and supersedes the prior Circular A-133, "Audits of Institutions of Higher Education and Other Non-Profit Institutions," issued April 22, 1996. For effective dates, see paragraph 10.

4. Policy. Except as provided herein, the standards set forth in this Circular shall be applied by all Federal agencies. If any statute specifically prescribes policies or specific requirements that differ from the standards provided herein, the provisions of the subsequent statute shall govern.

Federal agencies shall apply the provisions of the sections of this Circular to non-Federal entities, whether they are recipients expending Federal awards received directly from Federal awarding agencies, or are subrecipients expending Federal awards received from a pass-through entity (a recipient or another subrecipient).

This Circular does not apply to non-U.S. based entities expending Federal awards received either directly as a recipient or indirectly as a subrecipient.

5. Definitions. The definitions of key terms used in this Circular are contained in §\_\_\_105 in the Attachment to this Circular.

6. Required Action. The specific requirements and responsibilities of Federal agencies and non-Federal entities are set forth in the Attachment to this Circular. Federal agencies making awards to non-Federal entities, either directly or indirectly, shall adopt the language in the Circular in codified regulations as provided in Section 10 (below), unless different provisions are required by Federal statute or are approved by the Office of Management and Budget (OMB).

7. OMB Responsibilities. OMB will review Federal agency regulations and implementation of this Circular, and will provide interpretations of policy requirements and assistance to ensure uniform, effective and efficient implementation.

8. Information Contact. Further information concerning Circular A-133 may be obtained by contacting the Financial Standards and Reporting Branch, Office of Federal Financial Management, Office of Management and Budget, Washington, DC 20503, telephone (202) 395-3993.

9. Review Date. This Circular will have a policy review three years from the date of issuance.

10. Effective Dates. The standards set forth in §\_\_\_.400 of the Attachment to this Circular, which apply directly to Federal agencies, shall be effective July 1, 1996, and shall apply to audits of fiscal years beginning after June 30, 1996, except as otherwise specified in §\_\_\_.400(a).

The standards set forth in this Circular that Federal agencies shall apply to non-Federal entities shall be adopted by Federal agencies in codified regulations not later than 60 days after publication of this final revision in the *Federal Register*, so that they will apply to audits of fiscal years beginning after June 30, 1996, with the exception that §\_\_\_.305(b) of the Attachment applies to audits of fiscal years beginning after June 30, 1998. The requirements of Circular A-128, although the Circular is rescinded, and the 1990 version of Circular A-133 remain in effect for audits of fiscal years beginning on or before June 30, 1996.

The revisions published in the *Federal Register* June 27, 2003, are effective for fiscal years ending after December 31, 2003, and early implementation is not permitted with the exception of the definition of *oversight agency for audit* which is effective July 28, 2003.

Augustine T. Smythe  
Acting Director

Attachment

PART \_\_ --AUDITS OF STATES, LOCAL GOVERNMENTS, AND NON-PROFIT ORGANIZATIONS

Subpart A--General

Sec.

- \_\_.100 Purpose.
- \_\_.105 Definitions.

Subpart B--Audits

- \_\_.200 Audit requirements.
- \_\_.205 Basis for determining Federal awards expended.
- \_\_.210 Subrecipient and vendor determinations.
- \_\_.215 Relation to other audit requirements.
- \_\_.220 Frequency of audits.
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- \_\_.230 Audit costs.
- \_\_.235 Program-specific audits.

Subpart C--Auditees

- \_\_.300 Auditee responsibilities.
- \_\_.305 Auditor selection.
- \_\_.310 Financial statements.
- \_\_.315 Audit findings follow-up.
- \_\_.320 Report submission.

Subpart D--Federal Agencies and Pass-Through Entities

- \_\_.400 Responsibilities.
- \_\_.405 Management decision.

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- \_\_.500 Scope of audit.
- \_\_.505 Audit reporting.
- \_\_.510 Audit findings.
- \_\_.515 Audit working papers.
- \_\_.520 Major program determination.
- \_\_.525 Criteria for Federal program risk.
- \_\_.530 Criteria for a low-risk auditee.

Appendix A to Part \_\_ - Data Collection Form (Form SF-SAC).

Appendix B to Part \_\_ - Circular A-133 Compliance Supplement.

**Subpart A--General**  
**§ \_\_.100 Purpose.**

This part sets forth standards for obtaining consistency and uniformity among Federal agencies for the audit of non-Federal entities expending Federal awards.

**§ \_\_.105 Definitions.**

Auditee means any non-Federal entity that expends Federal awards which must be audited under this part.

Auditor means an auditor, that is a public accountant or a Federal, State or local government audit organization, which meets the general standards specified in generally accepted government auditing standards (GAGAS). The term auditor does not include internal auditors of non-profit organizations.

Audit finding means deficiencies which the auditor is required by § \_\_.510(a) to report in the schedule of findings and questioned costs.

CFDA number means the number assigned to a Federal program in the Catalog of Federal Domestic Assistance (CFDA).

Cluster of programs means a grouping of closely related programs that share common compliance requirements. The types of clusters of programs are research and development (R&D), student financial aid (SFA), and other clusters. "Other clusters" are as defined by the Office of Management and Budget (OMB) in the compliance supplement or as designated by a State for Federal awards the State provides to its subrecipients that meet the definition of a cluster of programs. When designating an "other cluster," a State shall identify the Federal awards included in the cluster and advise the subrecipients of compliance requirements applicable to the cluster, consistent with § \_\_.400(d)(1) and § \_\_.400(d)(2), respectively. A cluster of programs shall be considered as one program for determining major programs, as described in § \_\_.520, and, with the exception of R&D as described in § \_\_.200(c), whether a program-specific audit may be elected.

Cognizant agency for audit means the Federal agency designated to carry out the responsibilities described in § \_\_.400(a).

Compliance supplement refers to the Circular A-133 Compliance Supplement, included as Appendix B to Circular A-133, or such documents as OMB or its designee may issue to replace it. This document is available from the Government Printing Office, Superintendent of Documents, Washington, DC 20402-9325.

Corrective action means action taken by the auditee that:

- (1) Corrects identified deficiencies;
- (2) Produces recommended improvements; or
- (3) Demonstrates that audit findings are either invalid or do not warrant auditee action.

Federal agency has the same meaning as the term agency in Section 551(1) of title 5, United States Code.

Federal award means Federal financial assistance and Federal cost-reimbursement contracts that non-Federal entities receive directly from Federal awarding agencies or indirectly from pass-through entities. It does

not include procurement contracts, under grants or contracts, used to buy goods or services from vendors. Any audits of such vendors shall be covered by the terms and conditions of the contract. Contracts to operate Federal Government owned, contractor operated facilities (GOCOs) are excluded from the requirements of this part.

Federal awarding agency means the Federal agency that provides an award directly to the recipient.

Federal financial assistance means assistance that non-Federal entities receive or administer in the form of grants, loans, loan guarantees, property (including donated surplus property), cooperative agreements, interest subsidies, insurance, food commodities, direct appropriations, and other assistance, but does not include amounts received as reimbursement for services rendered to individuals as described in § \_\_\_.205(h) and § \_\_\_.205(i).

Federal program means:

(1) All Federal awards to a non-Federal entity assigned a single number in the CFDA.

(2) When no CFDA number is assigned, all Federal awards from the same agency made for the same purpose should be combined and considered one program.

(3) Notwithstanding paragraphs (1) and (2) of this definition, a cluster of programs. The types of clusters of programs are:

(i) Research and development (R&D);

(ii) Student financial aid (SFA); and

(iii) "Other clusters," as described in the definition of cluster of programs in this section.

GAGAS means generally accepted government auditing standards issued by the Comptroller General of the United States, which are applicable to financial audits.

Generally accepted accounting principles has the meaning specified in generally accepted auditing standards issued by the American Institute of Certified Public Accountants (AICPA).

Indian tribe means any Indian tribe, band, nation, or other organized group or community, including any Alaskan Native village or regional or village corporation (as defined in, or established under, the Alaskan Native Claims Settlement Act) that is recognized by the United States as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

Internal control means a process, effected by an entity's management and other personnel, designed to provide reasonable assurance regarding the achievement of objectives in the following categories:

(1) Effectiveness and efficiency of operations;

(2) Reliability of financial reporting; and

(3) Compliance with applicable laws and regulations.

Internal control pertaining to the compliance requirements for Federal programs (Internal control over Federal programs) means a process--effected by

an entity's management and other personnel--designed to provide reasonable assurance regarding the achievement of the following objectives for Federal programs:

- (1) Transactions are properly recorded and accounted for to:
  - (i) Permit the preparation of reliable financial statements and Federal reports;
  - (ii) Maintain accountability over assets; and
  - (iii) Demonstrate compliance with laws, regulations, and other compliance requirements;
- (2) Transactions are executed in compliance with:
  - (i) Laws, regulations, and the provisions of contracts or grant agreements that could have a direct and material effect on a Federal program; and
  - (ii) Any other laws and regulations that are identified in the compliance supplement; and
- (3) Funds, property, and other assets are safeguarded against loss from unauthorized use or disposition.

Loan means a Federal loan or loan guarantee received or administered by a non-Federal entity.

Local government means any unit of local government within a State, including a county, borough, municipality, city, town, township, parish, local public authority, special district, school district, intrastate district, council of governments, and any other instrumentality of local government.

Major program means a Federal program determined by the auditor to be a major program in accordance with § \_\_\_\_.520 or a program identified as a major program by a Federal agency or pass-through entity in accordance with § \_\_\_\_.215(c).

Management decision means the evaluation by the Federal awarding agency or pass-through entity of the audit findings and corrective action plan and the issuance of a written decision as to what corrective action is necessary.

Non-Federal entity means a State, local government, or non-profit organization.

Non-profit organization means:

- (1) any corporation, trust, association, cooperative, or other organization that:
  - (i) Is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest;
  - (ii) Is not organized primarily for profit; and
  - (iii) Uses its net proceeds to maintain, improve, or expand its operations; and
- (2) The term non-profit organization includes non-profit institutions of higher education and hospitals.

OMB means the Executive Office of the President, Office of Management and Budget.

Oversight agency for audit means the Federal awarding agency that provides the predominant amount of direct funding to a recipient not assigned a cognizant agency for audit. When there is no direct funding, the Federal agency with the predominant indirect funding shall assume the oversight responsibilities. The duties of the oversight agency for audit are described in § \_\_.400(b).

*Effective July 28, 2003, the following is added to this definition:*  
A Federal agency with oversight for an auditee may reassign oversight to another Federal agency which provides substantial funding and agrees to be the oversight agency for audit. Within 30 days after any reassignment, both the old and the new oversight agency for audit shall notify the auditee, and, if known, the auditor of the reassignment."

Pass-through entity means a non-Federal entity that provides a Federal award to a subrecipient to carry out a Federal program.

Program-specific audit means an audit of one Federal program as provided for in § \_\_.200(c) and § \_\_.235.

Questioned cost means a cost that is questioned by the auditor because of an audit finding:

(1) Which resulted from a violation or possible violation of a provision of a law, regulation, contract, grant, cooperative agreement, or other agreement or document governing the use of Federal funds, including funds used to match Federal funds;

(2) Where the costs, at the time of the audit, are not supported by adequate documentation; or

(3) Where the costs incurred appear unreasonable and do not reflect the actions a prudent person would take in the circumstances.

Recipient means a non-Federal entity that expends Federal awards received directly from a Federal awarding agency to carry out a Federal program.

Research and development (R&D) means all research activities, both basic and applied, and all development activities that are performed by a non-Federal entity. Research is defined as a systematic study directed toward fuller scientific knowledge or understanding of the subject studied. The term research also includes activities involving the training of individuals in research techniques where such activities utilize the same facilities as other research and development activities and where such activities are not included in the instruction function. Development is the systematic use of knowledge and understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including design and development of prototypes and processes.

Single audit means an audit which includes both the entity's financial statements and the Federal awards as described in § \_\_.500.

State means any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and the Trust Territory of the

Pacific Islands, any instrumentality thereof, any multi-State, regional, or interstate entity which has governmental functions, and any Indian tribe as defined in this section.

Student Financial Aid (SFA) includes those programs of general student assistance, such as those authorized by Title IV of the Higher Education Act of 1965, as amended, (20 U.S.C. 1070 et seq.) which is administered by the U.S. Department of Education, and similar programs provided by other Federal agencies. It does not include programs which provide fellowships or similar Federal awards to students on a competitive basis, or for specified studies or research.

Subrecipient means a non-Federal entity that expends Federal awards received from a pass-through entity to carry out a Federal program, but does not include an individual that is a beneficiary of such a program. A subrecipient may also be a recipient of other Federal awards directly from a Federal awarding agency. Guidance on distinguishing between a subrecipient and a vendor is provided in §     .210.

Types of compliance requirements refers to the types of compliance requirements listed in the compliance supplement. Examples include: activities allowed or unallowed; allowable costs/cost principles; cash management; eligibility; matching, level of effort, earmarking; and, reporting.

Vendor means a dealer, distributor, merchant, or other seller providing goods or services that are required for the conduct of a Federal program. These goods or services may be for an organization's own use or for the use of beneficiaries of the Federal program. Additional guidance on distinguishing between a subrecipient and a vendor is provided in §     .210.

#### **Subpart B--Audits**

##### **§     .200     **Audit requirements.****

(a) Audit required. Non-Federal entities that expend \$300,000 (*\$500,000 for fiscal years ending after December 31, 2003*) or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of this part. Guidance on determining Federal awards expended is provided in §     .205.

(b) Single audit. Non-Federal entities that expend \$300,000 (*\$500,000 for fiscal years ending after December 31, 2003*) or more in a year in Federal awards shall have a single audit conducted in accordance with §     .500 except when they elect to have a program-specific audit conducted in accordance with paragraph (c) of this section.

(c) Program-specific audit election. When an auditee expends Federal awards under only one Federal program (excluding R&D) and the Federal program's laws, regulations, or grant agreements do not require a financial statement audit of the auditee, the auditee may elect to have a program-specific audit conducted in accordance with §     .235. A program-specific audit may not be elected for R&D unless all of the Federal awards expended were received from the same Federal agency, or the same Federal agency and the same pass-through entity, and that Federal agency, or pass-through entity in the case of a subrecipient, approves in advance a program-specific audit.

(d) Exemption when Federal awards expended are less than \$300,000 (*\$500,000 for fiscal years ending after December 31, 2003*). Non-Federal

entities that expend less than \$300,000 (\$500,000 for fiscal years ending after December 31, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in §\_\_\_\_.215(a), but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO).

(e) Federally Funded Research and Development Centers (FFRDC). Management of an auditee that owns or operates a FFRDC may elect to treat the FFRDC as a separate entity for purposes of this part.

**§\_\_\_\_.205 Basis for determining Federal awards expended.**

(a) Determining Federal awards expended. The determination of when an award is expended should be based on when the activity related to the award occurs. Generally, the activity pertains to events that require the non-Federal entity to comply with laws, regulations, and the provisions of contracts or grant agreements, such as: expenditure/expense transactions associated with grants, cost-reimbursement contracts, cooperative agreements, and direct appropriations; the disbursement of funds passed through to subrecipients; the use of loan proceeds under loan and loan guarantee programs; the receipt of property; the receipt of surplus property; the receipt or use of program income; the distribution or consumption of food commodities; the disbursement of amounts entitling the non-Federal entity to an interest subsidy; and, the period when insurance is in force.

(b) Loan and loan guarantees (loans). Since the Federal Government is at risk for loans until the debt is repaid, the following guidelines shall be used to calculate the value of Federal awards expended under loan programs, except as noted in paragraphs (c) and (d) of this section:

(1) Value of new loans made or received during the fiscal year;  
plus

(2) Balance of loans from previous years for which the Federal Government imposes continuing compliance requirements; plus

(3) Any interest subsidy, cash, or administrative cost allowance received.

(c) Loan and loan guarantees (loans) at institutions of higher education. When loans are made to students of an institution of higher education but the institution does not make the loans, then only the value of loans made during the year shall be considered Federal awards expended in that year. The balance of loans for previous years is not included as Federal awards expended because the lender accounts for the prior balances.

(d) Prior loan and loan guarantees (loans). Loans, the proceeds of which were received and expended in prior-years, are not considered Federal awards expended under this part when the laws, regulations, and the provisions of contracts or grant agreements pertaining to such loans impose no continuing compliance requirements other than to repay the loans.

(e) Endowment funds. The cumulative balance of Federal awards for endowment funds which are federally restricted are considered awards expended in each year in which the funds are still restricted.

(f) Free rent. Free rent received by itself is not considered a Federal award expended under this part. However, free rent received as part

of an award to carry out a Federal program shall be included in determining Federal awards expended and subject to audit under this part.

(g) Valuing non-cash assistance. Federal non-cash assistance, such as free rent, food stamps, food commodities, donated property, or donated surplus property, shall be valued at fair market value at the time of receipt or the assessed value provided by the Federal agency.

(h) Medicare. Medicare payments to a non-Federal entity for providing patient care services to Medicare eligible individuals are not considered Federal awards expended under this part.

(i) Medicaid. Medicaid payments to a subrecipient for providing patient care services to Medicaid eligible individuals are not considered Federal awards expended under this part unless a State requires the funds to be treated as Federal awards expended because reimbursement is on a cost-reimbursement basis.

(j) Certain loans provided by the National Credit Union Administration. For purposes of this part, loans made from the National Credit Union Share Insurance Fund and the Central Liquidity Facility that are funded by contributions from insured institutions are not considered Federal awards expended.

**§ \_\_.210 Subrecipient and vendor determinations.**

(a) General. An auditee may be a recipient, a subrecipient, and a vendor. Federal awards expended as a recipient or a subrecipient would be subject to audit under this part. The payments received for goods or services provided as a vendor would not be considered Federal awards. The guidance in paragraphs (b) and (c) of this section should be considered in determining whether payments constitute a Federal award or a payment for goods and services.

(b) Federal award. Characteristics indicative of a Federal award received by a subrecipient are when the organization:

- (1) Determines who is eligible to receive what Federal financial assistance;
- (2) Has its performance measured against whether the objectives of the Federal program are met;
- (3) Has responsibility for programmatic decision making;
- (4) Has responsibility for adherence to applicable Federal program compliance requirements; and
- (5) Uses the Federal funds to carry out a program of the organization as compared to providing goods or services for a program of the pass-through entity.

(c) Payment for goods and services. Characteristics indicative of a payment for goods and services received by a vendor are when the organization:

- (1) Provides the goods and services within normal business operations;

- (2) Provides similar goods or services to many different purchasers;
- (3) Operates in a competitive environment;
- (4) Provides goods or services that are ancillary to the operation of the Federal program; and
- (5) Is not subject to compliance requirements of the Federal program.

(d) Use of judgment in making determination. There may be unusual circumstances or exceptions to the listed characteristics. In making the determination of whether a subrecipient or vendor relationship exists, the substance of the relationship is more important than the form of the agreement. It is not expected that all of the characteristics will be present and judgment should be used in determining whether an entity is a subrecipient or vendor.

(e) For-profit subrecipient. Since this part does not apply to for-profit subrecipients, the pass-through entity is responsible for establishing requirements, as necessary, to ensure compliance by for-profit subrecipients. The contract with the for-profit subrecipient should describe applicable compliance requirements and the for-profit subrecipient's compliance responsibility. Methods to ensure compliance for Federal awards made to for-profit subrecipients may include pre-award audits, monitoring during the contract, and post-award audits.

(f) Compliance responsibility for vendors. In most cases, the auditee's compliance responsibility for vendors is only to ensure that the procurement, receipt, and payment for goods and services comply with laws, regulations, and the provisions of contracts or grant agreements. Program compliance requirements normally do not pass through to vendors. However, the auditee is responsible for ensuring compliance for vendor transactions which are structured such that the vendor is responsible for program compliance or the vendor's records must be reviewed to determine program compliance. Also, when these vendor transactions relate to a major program, the scope of the audit shall include determining whether these transactions are in compliance with laws, regulations, and the provisions of contracts or grant agreements.

**§ .215 Relation to other audit requirements.**

(a) Audit under this part in lieu of other audits. An audit made in accordance with this part shall be in lieu of any financial audit required under individual Federal awards. To the extent this audit meets a Federal agency's needs, it shall rely upon and use such audits. The provisions of this part neither limit the authority of Federal agencies, including their Inspectors General, or GAO to conduct or arrange for additional audits (e.g., financial audits, performance audits, evaluations, inspections, or reviews) nor authorize any auditee to constrain Federal agencies from carrying out additional audits. Any additional audits shall be planned and performed in such a way as to build upon work performed by other auditors.

(b) Federal agency to pay for additional audits. A Federal agency that conducts or contracts for additional audits shall, consistent with other applicable laws and regulations, arrange for funding the full cost of such additional audits.

(c) Request for a program to be audited as a major program. A Federal agency may request an auditee to have a particular Federal program audited as a major program in lieu of the Federal agency conducting or arranging for the additional audits. To allow for planning, such requests should be made at least 180 days prior to the end of the fiscal year to be audited. The auditee, after consultation with its auditor, should promptly respond to such request by informing the Federal agency whether the program would otherwise be audited as a major program using the risk-based audit approach described in § \_\_.520 and, if not, the estimated incremental cost. The Federal agency shall then promptly confirm to the auditee whether it wants the program audited as a major program. If the program is to be audited as a major program based upon this Federal agency request, and the Federal agency agrees to pay the full incremental costs, then the auditee shall have the program audited as a major program. A pass-through entity may use the provisions of this paragraph for a subrecipient.

**§ \_\_.220 Frequency of audits.**

Except for the provisions for biennial audits provided in paragraphs (a) and (b) of this section, audits required by this part shall be performed annually. Any biennial audit shall cover both years within the biennial period.

(a) A State or local government that is required by constitution or statute, in effect on January 1, 1987, to undergo its audits less frequently than annually, is permitted to undergo its audits pursuant to this part biennially. This requirement must still be in effect for the biennial period under audit.

(b) Any non-profit organization that had biennial audits for all biennial periods ending between July 1, 1992, and January 1, 1995, is permitted to undergo its audits pursuant to this part biennially.

**§ \_\_.225 Sanctions.**

No audit costs may be charged to Federal awards when audits required by this part have not been made or have been made but not in accordance with this part. In cases of continued inability or unwillingness to have an audit conducted in accordance with this part, Federal agencies and pass-through entities shall take appropriate action using sanctions such as:

(a) Withholding a percentage of Federal awards until the audit is completed satisfactorily;

(b) Withholding or disallowing overhead costs;

(c) Suspending Federal awards until the audit is conducted; or

(d) Terminating the Federal award.

**§ \_\_.230 Audit costs.**

(a) Allowable costs. Unless prohibited by law, the cost of audits made in accordance with the provisions of this part are allowable charges to Federal awards. The charges may be considered a direct cost or an allocated indirect cost, as determined in accordance with the provisions of applicable OMB cost principles circulars, the Federal Acquisition Regulation (FAR) (48 CFR parts 30 and 31), or other applicable cost principles or regulations.

(b) Unallowable costs. A non-Federal entity shall not charge the following to a Federal award:

(1) The cost of any audit under the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.) not conducted in accordance with this part.

(2) The cost of auditing a non-Federal entity which has Federal awards expended of less than \$300,000 (*\$500,000 for fiscal years ending after December 31, 2003*) per year and is thereby exempted under **§\_\_.200(d)** from having an audit conducted under this part. However, this does not prohibit a pass-through entity from charging Federal awards for the cost of limited scope audits to monitor its subrecipients in accordance with **§\_\_.400(d)(3)**, provided the subrecipient does not have a single audit. For purposes of this part, limited scope audits only include agreed-upon procedures engagements conducted in accordance with either the AICPA's generally accepted auditing standards or attestation standards, that are paid for and arranged by a pass-through entity and address only one or more of the following types of compliance requirements: activities allowed or unallowed; allowable costs/cost principles; eligibility; matching, level of effort, earmarking; and, reporting.

**§\_\_.235 Program-specific audits.**

(a) Program-specific audit guide available. In many cases, a program-specific audit guide will be available to provide specific guidance to the auditor with respect to internal control, compliance requirements, suggested audit procedures, and audit reporting requirements. The auditor should contact the Office of Inspector General of the Federal agency to determine whether such a guide is available. When a current program-specific audit guide is available, the auditor shall follow GAGAS and the guide when performing a program-specific audit.

(b) Program-specific audit guide not available. (1) When a program-specific audit guide is not available, the auditee and auditor shall have basically the same responsibilities for the Federal program as they would have for an audit of a major program in a single audit.

(2) The auditee shall prepare the financial statement(s) for the Federal program that includes, at a minimum, a schedule of expenditures of Federal awards for the program and notes that describe the significant accounting policies used in preparing the schedule, a summary schedule of prior audit findings consistent with the requirements of **§\_\_.315(b)**, and a corrective action plan consistent with the requirements of **§\_\_.315(c)**.

(3) The auditor shall:

(i) Perform an audit of the financial statement(s) for the Federal program in accordance with GAGAS;

(ii) Obtain an understanding of internal control and perform tests of internal control over the Federal program consistent with the requirements of **§\_\_.500(c)** for a major program;

(iii) Perform procedures to determine whether the auditee has complied with laws, regulations, and the provisions of contracts or grant agreements that could have a direct and material effect on the Federal program consistent with the requirements of **§\_\_.500(d)** for a major program; and

(iv) Follow up on prior audit findings, perform procedures to assess the reasonableness of the summary schedule of prior audit findings prepared by the auditee, and report, as a current year audit finding, when the auditor concludes that the summary schedule of prior audit findings materially misrepresents the status of any prior audit finding in accordance with the requirements of § \_\_.500(e).

(4) The auditor's report(s) may be in the form of either combined or separate reports and may be organized differently from the manner presented in this section. The auditor's report(s) shall state that the audit was conducted in accordance with this part and include the following:

(i) An opinion (or disclaimer of opinion) as to whether the financial statement(s) of the Federal program is presented fairly in all material respects in conformity with the stated accounting policies;

(ii) A report on internal control related to the Federal program, which shall describe the scope of testing of internal control and the results of the tests;

(iii) A report on compliance which includes an opinion (or disclaimer of opinion) as to whether the auditee complied with laws, regulations, and the provisions of contracts or grant agreements which could have a direct and material effect on the Federal program; and

(iv) A schedule of findings and questioned costs for the Federal program that includes a summary of the auditor's results relative to the Federal program in a format consistent with § \_\_.505(d)(1) and findings and questioned costs consistent with the requirements of § \_\_.505(d)(3).

(c) Report submission for program-specific audits.

(1) The audit shall be completed and the reporting required by paragraph (c)(2) or (c)(3) of this section submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine months after the end of the audit period, unless a longer period is agreed to in advance by the Federal agency that provided the funding or a different period is specified in a program-specific audit guide. (However, for fiscal years beginning on or before June 30, 1998, the audit shall be completed and the required reporting shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or 13 months after the end of the audit period, unless a different period is specified in a program-specific audit guide.) Unless restricted by law or regulation, the auditee shall make report copies available for public inspection.

(2) When a program-specific audit guide is available, the auditee shall submit to the Federal clearinghouse designated by OMB the data collection form prepared in accordance with § \_\_.320(b), as applicable to a program-specific audit, and the reporting required by the program-specific audit guide to be retained as an archival copy. Also, the auditee shall submit to the Federal awarding agency or pass-through entity the reporting required by the program-specific audit guide.

(3) When a program-specific audit guide is not available, the reporting package for a program-specific audit shall consist of the financial statement(s) of the Federal program, a summary schedule of prior audit findings, and a corrective action plan as described in paragraph (b)(2) of this section, and the auditor's report(s) described in paragraph (b)(4) of this section. The data collection form prepared in accordance with

§ \_\_.320(b), as applicable to a program-specific audit, and one copy of this reporting package shall be submitted to the Federal clearinghouse designated by OMB to be retained as an archival copy. Also, when the schedule of findings and questioned costs disclosed audit findings or the summary schedule of prior audit findings reported the status of any audit findings, the auditee shall submit one copy of the reporting package to the Federal clearinghouse on behalf of the Federal awarding agency, or directly to the pass-through entity in the case of a subrecipient. Instead of submitting the reporting package to the pass-through entity, when a subrecipient is not required to submit a reporting package to the pass-through entity, the subrecipient shall provide written notification to the pass-through entity, consistent with the requirements of § \_\_.320(e)(2). A subrecipient may submit a copy of the reporting package to the pass-through entity to comply with this notification requirement.

(d) Other sections of this part may apply. Program-specific audits are subject to § \_\_.100 through § \_\_.215(b), § \_\_.220 through § \_\_.230, § \_\_.300 through § \_\_.305, § \_\_.315, § \_\_.320(f) through § \_\_.320(j), § \_\_.400 through § \_\_.405, § \_\_.510 through § \_\_.515, and other referenced provisions of this part unless contrary to the provisions of this section, a program-specific audit guide, or program laws and regulations.

#### **Subpart C--Auditees**

#### **§ \_\_.300 Auditee responsibilities.**

The auditee shall:

(a) Identify, in its accounts, all Federal awards received and expended and the Federal programs under which they were received. Federal program and award identification shall include, as applicable, the CFDA title and number, award number and year, name of the Federal agency, and name of the pass-through entity.

(b) Maintain internal control over Federal programs that provides reasonable assurance that the auditee is managing Federal awards in compliance with laws, regulations, and the provisions of contracts or grant agreements that could have a material effect on each of its Federal programs.

(c) Comply with laws, regulations, and the provisions of contracts or grant agreements related to each of its Federal programs.

(d) Prepare appropriate financial statements, including the schedule of expenditures of Federal awards in accordance with § \_\_.310.

(e) Ensure that the audits required by this part are properly performed and submitted when due. When extensions to the report submission due date required by § \_\_.320(a) are granted by the cognizant or oversight agency for audit, promptly notify the Federal clearinghouse designated by OMB and each pass-through entity providing Federal awards of the extension.

(f) Follow up and take corrective action on audit findings, including preparation of a summary schedule of prior audit findings and a corrective action plan in accordance with § \_\_.315(b) and § \_\_.315(c), respectively.

#### **§ \_\_.305 Auditor selection.**

(a) Auditor procurement. In procuring audit services, auditees shall follow the procurement standards prescribed by the Grants Management Common Rule (hereinafter referred to as the "A-102 Common Rule") published March 11, 1988 and amended April 19, 1995 [insert appropriate CFR citation], Circular A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations," or the FAR (48 CFR part 42), as applicable (OMB Circulars are available from the Office of Administration, Publications Office, room 2200, New Executive Office Building, Washington, DC 20503). Whenever possible, auditees shall make positive efforts to utilize small businesses, minority-owned firms, and women's business enterprises, in procuring audit services as stated in the A-102 Common Rule, OMB Circular A-110, or the FAR (48 CFR part 42), as applicable. In requesting proposals for audit services, the objectives and scope of the audit should be made clear. Factors to be considered in evaluating each proposal for audit services include the responsiveness to the request for proposal, relevant experience, availability of staff with professional qualifications and technical abilities, the results of external quality control reviews, and price.

(b) Restriction on auditor preparing indirect cost proposals. An auditor who prepares the indirect cost proposal or cost allocation plan may not also be selected to perform the audit required by this part when the indirect costs recovered by the auditee during the prior year exceeded \$1 million. This restriction applies to the base year used in the preparation of the indirect cost proposal or cost allocation plan and any subsequent years in which the resulting indirect cost agreement or cost allocation plan is used to recover costs. To minimize any disruption in existing contracts for audit services, this paragraph applies to audits of fiscal years beginning after June 30, 1998.

(c) Use of Federal auditors. Federal auditors may perform all or part of the work required under this part if they comply fully with the requirements of this part.

**§ \_\_.310 Financial statements.**

(a) Financial statements. The auditee shall prepare financial statements that reflect its financial position, results of operations or changes in net assets, and, where appropriate, cash flows for the fiscal year audited. The financial statements shall be for the same organizational unit and fiscal year that is chosen to meet the requirements of this part. However, organization-wide financial statements may also include departments, agencies, and other organizational units that have separate audits in accordance with § \_\_.500(a) and prepare separate financial statements.

(b) Schedule of expenditures of Federal awards. The auditee shall also prepare a schedule of expenditures of Federal awards for the period covered by the auditee's financial statements. While not required, the auditee may choose to provide information requested by Federal awarding agencies and pass-through entities to make the schedule easier to use. For example, when a Federal program has multiple award years, the auditee may list the amount of Federal awards expended for each award year separately. At a minimum, the schedule shall:

(1) List individual Federal programs by Federal agency. For Federal programs included in a cluster of programs, list individual Federal programs within a cluster of programs. For R&D, total Federal awards expended shall be shown either by individual award or by Federal agency and major subdivision within the Federal agency. For example, the National Institutes of Health is a major subdivision in the Department of Health and Human Services.

(2) For Federal awards received as a subrecipient, the name of the pass-through entity and identifying number assigned by the pass-through entity shall be included.

(3) Provide total Federal awards expended for each individual Federal program and the CFDA number or other identifying number when the CFDA information is not available.

(4) Include notes that describe the significant accounting policies used in preparing the schedule.

(5) To the extent practical, pass-through entities should identify in the schedule the total amount provided to subrecipients from each Federal program.

(6) Include, in either the schedule or a note to the schedule, the value of the Federal awards expended in the form of non-cash assistance, the amount of insurance in effect during the year, and loans or loan guarantees outstanding at year end. While not required, it is preferable to present this information in the schedule.

**§ \_\_.315 Audit findings follow-up.**

(a) General. The auditee is responsible for follow-up and corrective action on all audit findings. As part of this responsibility, the auditee shall prepare a summary schedule of prior audit findings. The auditee shall also prepare a corrective action plan for current year audit findings. The summary schedule of prior audit findings and the corrective action plan shall include the reference numbers the auditor assigns to audit findings under **§ \_\_.510(c)**. Since the summary schedule may include audit findings from multiple years, it shall include the fiscal year in which the finding initially occurred.

(b) Summary schedule of prior audit findings. The summary schedule of prior audit findings shall report the status of all audit findings included in the prior audit's schedule of findings and questioned costs relative to Federal awards. The summary schedule shall also include audit findings reported in the prior audit's summary schedule of prior audit findings except audit findings listed as corrected in accordance with paragraph **(b)(1)** of this section, or no longer valid or not warranting further action in accordance with paragraph **(b)(4)** of this section.

(1) When audit findings were fully corrected, the summary schedule need only list the audit findings and state that corrective action was taken.

(2) When audit findings were not corrected or were only partially corrected, the summary schedule shall describe the planned corrective action as well as any partial corrective action taken.

(3) When corrective action taken is significantly different from corrective action previously reported in a corrective action plan or in the Federal agency's or pass-through entity's management decision, the summary schedule shall provide an explanation.

(4) When the auditee believes the audit findings are no longer valid or do not warrant further action, the reasons for this position shall be described in the summary schedule. A valid reason for considering an audit finding as not warranting further action is that all of the following have occurred:

(i) Two years have passed since the audit report in which

the finding occurred was submitted to the Federal clearinghouse;

(ii) The Federal agency or pass-through entity is not currently following up with the auditee on the audit finding; and

(iii) A management decision was not issued.

(c) Corrective action plan. At the completion of the audit, the auditee shall prepare a corrective action plan to address each audit finding included in the current year auditor's reports. The corrective action plan shall provide the name(s) of the contact person(s) responsible for corrective action, the corrective action planned, and the anticipated completion date. If the auditee does not agree with the audit findings or believes corrective action is not required, then the corrective action plan shall include an explanation and specific reasons.

**§ \_\_\_\_.320 Report submission.**

(a) General. The audit shall be completed and the data collection form described in paragraph (b) of this section and reporting package described in paragraph (c) of this section shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine months after the end of the audit period, unless a longer period is agreed to in advance by the cognizant or oversight agency for audit. (However, for fiscal years beginning on or before June 30, 1998, the audit shall be completed and the data collection form and reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or 13 months after the end of the audit period.) Unless restricted by law or regulation, the auditee shall make copies available for public inspection.

(b) Data Collection. (1) The auditee shall submit a data collection form which states whether the audit was completed in accordance with this part and provides information about the auditee, its Federal programs, and the results of the audit. The form shall be approved by OMB, available from the Federal clearinghouse designated by OMB, and include data elements similar to those presented in this paragraph. A senior level representative of the auditee (e.g., State controller, director of finance, chief executive officer, or chief financial officer) shall sign a statement to be included as part of the form certifying that: the auditee complied with the requirements of this part, the form was prepared in accordance with this part (and the instructions accompanying the form), and the information included in the form, in its entirety, are accurate and complete.

(2) The data collection form shall include the following data elements:

- (i) The type of report the auditor issued on the financial statements of the auditee (i.e., unqualified opinion, qualified opinion, adverse opinion, or disclaimer of opinion).
- (ii) Where applicable, a statement that reportable conditions in internal control were disclosed by the audit of the financial statements and whether any such conditions were material weaknesses.
- (iii) A statement as to whether the audit disclosed any noncompliance which is material to the financial statements of the auditee.
- (iv) Where applicable, a statement that reportable conditions in internal control over major programs were disclosed by the audit and whether any such conditions were material weaknesses.
- (v) The type of report the auditor issued on compliance for major

programs (i.e., unqualified opinion, qualified opinion, adverse opinion, or disclaimer of opinion).

- (vi) A list of the Federal awarding agencies which will receive a copy of the reporting package pursuant to § \_\_\_.320(d)(2) of OMB Circular A-133.
- (vii) A yes or no statement as to whether the auditee qualified as a low-risk auditee under § \_\_\_.530 of OMB Circular A-133.
- (viii) The dollar threshold used to distinguish between Type A and Type B programs as defined in § \_\_\_.520(b) of OMB Circular A-133.
- (ix) The Catalog of Federal Domestic Assistance (CFDA) number for each Federal program, as applicable.
- (x) The name of each Federal program and identification of each major program. Individual programs within a cluster of programs should be listed in the same level of detail as they are listed in the schedule of expenditures of Federal awards.
- (xi) The amount of expenditures in the schedule of expenditures of Federal awards associated with each Federal program.
- (xii) For each Federal program, a yes or no statement as to whether there are audit findings in each of the following types of compliance requirements and the total amount of any questioned costs:
  - (A) Activities allowed or unallowed.
  - (B) Allowable costs/cost principles.
  - (C) Cash management.
  - (D) Davis-Bacon Act.
  - (E) Eligibility.
  - (F) Equipment and real property management.
  - (G) Matching, level of effort, earmarking.
  - (H) Period of availability of Federal funds.
  - (I) Procurement and suspension and debarment.
  - (J) Program income.
  - (K) Real property acquisition and relocation assistance.
  - (L) Reporting.
  - (M) Subrecipient monitoring.
  - (N) Special tests and provisions.
- (xiii) Auditee Name, Employer Identification Number(s), Name and Title of Certifying Official, Telephone Number, Signature, and Date.
- (xiv) Auditor Name, Name and Title of Contact Person, Auditor Address, Auditor Telephone Number, Signature, and Date.
- (xv) Whether the auditee has either a cognizant or oversight agency for audit.
- (xvi) The name of the cognizant or oversight agency for audit determined in accordance with § \_\_\_.400(a) and § \_\_\_.400(b), respectively.

(3) Using the information included in the reporting package described in paragraph (c) of this section, the auditor shall complete the applicable sections of the form. The auditor shall sign a statement to be included as part of the data collection form that indicates, at a minimum, the source of the information included in the form, the auditor's responsibility for the information, that the form is not a substitute for the reporting package described in paragraph (c) of this section, and that the content of

the form is limited to the data elements prescribed by OMB.

(c) Reporting package. The reporting package shall include the:

- (1) Financial statements and schedule of expenditures of Federal awards discussed in § \_\_\_\_.310(a) and § \_\_\_\_.310(b), respectively;
- (2) Summary schedule of prior audit findings discussed in § \_\_\_\_.315(b);
- (3) Auditor's report(s) discussed in § \_\_\_\_.505; and
- (4) Corrective action plan discussed in § \_\_\_\_.315(c).

(d) Submission to clearinghouse. All auditees shall submit to the Federal clearinghouse designated by OMB the data collection form described in paragraph (b) of this section and one copy of the reporting package described in paragraph (c) of this section for:

(1) The Federal clearinghouse to retain as an archival copy;  
and

(2) Each Federal awarding agency when the schedule of findings and questioned costs disclosed audit findings relating to Federal awards that the Federal awarding agency provided directly or the summary schedule of prior audit findings reported the status of any audit findings relating to Federal awards that the Federal awarding agency provided directly.

(e) Additional submission by subrecipients. (1) In addition to the requirements discussed in paragraph (d) of this section, auditees that are also subrecipients shall submit to each pass-through entity one copy of the reporting package described in paragraph (c) of this section for each pass-through entity when the schedule of findings and questioned costs disclosed audit findings relating to Federal awards that the pass-through entity provided or the summary schedule of prior audit findings reported the status of any audit findings relating to Federal awards that the pass-through entity provided.

(2) Instead of submitting the reporting package to a pass-through entity, when a subrecipient is not required to submit a reporting package to a pass-through entity pursuant to paragraph (e)(1) of this section, the subrecipient shall provide written notification to the pass-through entity that: an audit of the subrecipient was conducted in accordance with this part (including the period covered by the audit and the name, amount, and CFDA number of the Federal award(s) provided by the pass-through entity); the schedule of findings and questioned costs disclosed no audit findings relating to the Federal award(s) that the pass-through entity provided; and, the summary schedule of prior audit findings did not report on the status of any audit findings relating to the Federal award(s) that the pass-through entity provided. A subrecipient may submit a copy of the reporting package described in paragraph (c) of this section to a pass-through entity to comply with this notification requirement.

(f) Requests for report copies. In response to requests by a Federal agency or pass-through entity, auditees shall submit the appropriate copies of the reporting package described in paragraph (c) of this section and, if requested, a copy of any management letters issued by the auditor.

(g) Report retention requirements. Auditees shall keep one copy of the data collection form described in paragraph (b) of this section and one copy of the reporting package described in paragraph (c) of this section on file for three years from the date of submission to the Federal clearinghouse

designated by OMB. Pass-through entities shall keep subrecipients' submissions on file for three years from date of receipt.

(h) Clearinghouse responsibilities. The Federal clearinghouse designated by OMB shall distribute the reporting packages received in accordance with paragraph (d) (2) of this section and § \_\_\_\_ .235 (c) (3) to applicable Federal awarding agencies, maintain a data base of completed audits, provide appropriate information to Federal agencies, and follow up with known auditees which have not submitted the required data collection forms and reporting packages.

(i) Clearinghouse address. The address of the Federal clearinghouse currently designated by OMB is Federal Audit Clearinghouse, Bureau of the Census, 1201 E. 10th Street, Jeffersonville, IN 47132.

(j) Electronic filing. Nothing in this part shall preclude electronic submissions to the Federal clearinghouse in such manner as may be approved by OMB. With OMB approval, the Federal clearinghouse may pilot test methods of electronic submissions.

**Subpart D--Federal Agencies and Pass-Through Entities**  
**§ \_\_\_\_ .400 Responsibilities.**

(a) Cognizant agency for audit responsibilities. Recipients expending more than \$25 million (*\$50 million for fiscal years ending after December 31, 2003*) a year in Federal awards shall have a cognizant agency for audit. The designated cognizant agency for audit shall be the Federal awarding agency that provides the predominant amount of direct funding to a recipient unless OMB makes a specific cognizant agency for audit assignment.

*Following is effective for fiscal years ending on or before December 31, 2003:* To provide for continuity of cognizance, the determination of the predominant amount of direct funding shall be based upon direct Federal awards expended in the recipient's fiscal years ending in 1995, 2000, 2005, and every fifth year thereafter. For example, audit cognizance for periods ending in 1997 through 2000 will be determined based on Federal awards expended in 1995. (However, for States and local governments that expend more than \$25 million a year in Federal awards and have previously assigned cognizant agencies for audit, the requirements of this paragraph are not effective until fiscal years beginning after June 30, 2000.)

*Following is effective for fiscal years ending after December 31, 2003:* The determination of the predominant amount of direct funding shall be based upon direct Federal awards expended in the recipient's fiscal years ending in 2004, 2009, 2014, and every fifth year thereafter. For example, audit cognizance for periods ending in 2006 through 2010 will be determined based on Federal awards expended in 2004. (However, for 2001 through 2005, the cognizant agency for audit is determined based on the predominant amount of direct Federal awards expended in the recipient's fiscal year ending in 2000).

Notwithstanding the manner in which audit cognizance is determined, a Federal awarding agency with cognizance for an auditee may reassign cognizance to another Federal awarding agency which provides substantial direct funding and agrees to be the cognizant agency for audit. Within 30 days after any reassignment, both the old and the new cognizant agency for audit shall notify the auditee, and, if known, the auditor of the reassignment. The cognizant agency for audit shall:

(1) Provide technical audit advice and liaison to auditees and auditors.

(2) Consider auditee requests for extensions to the report

submission due date required by § \_\_.320(a). The cognizant agency for audit may grant extensions for good cause.

(3) Obtain or conduct quality control reviews of selected audits made by non-Federal auditors, and provide the results, when appropriate, to other interested organizations.

(4) Promptly inform other affected Federal agencies and appropriate Federal law enforcement officials of any direct reporting by the auditee or its auditor of irregularities or illegal acts, as required by GAGAS or laws and regulations.

(5) Advise the auditor and, where appropriate, the auditee of any deficiencies found in the audits when the deficiencies require corrective action by the auditor. When advised of deficiencies, the auditee shall work with the auditor to take corrective action. If corrective action is not taken, the cognizant agency for audit shall notify the auditor, the auditee, and applicable Federal awarding agencies and pass-through entities of the facts and make recommendations for follow-up action. Major inadequacies or repetitive substandard performance by auditors shall be referred to appropriate State licensing agencies and professional bodies for disciplinary action.

(6) Coordinate, to the extent practical, audits or reviews made by or for Federal agencies that are in addition to the audits made pursuant to this part, so that the additional audits or reviews build upon audits performed in accordance with this part.

(7) Coordinate a management decision for audit findings that affect the Federal programs of more than one agency.

(8) Coordinate the audit work and reporting responsibilities among auditors to achieve the most cost-effective audit.

(9) For biennial audits permitted under § \_\_.220, consider auditee requests to qualify as a low-risk auditee under § \_\_.530(a).

(b) Oversight agency for audit responsibilities. An auditee which does not have a designated cognizant agency for audit will be under the general oversight of the Federal agency determined in accordance with § \_\_.105. The oversight agency for audit:

(1) Shall provide technical advice to auditees and auditors as requested.

(2) May assume all or some of the responsibilities normally performed by a cognizant agency for audit.

(c) Federal awarding agency responsibilities. The Federal awarding agency shall perform the following for the Federal awards it makes:

(1) Identify Federal awards made by informing each recipient of the CFDA title and number, award name and number, award year, and if the award is for R&D. When some of this information is not available, the Federal agency shall provide information necessary to clearly describe the Federal award.

(2) Advise recipients of requirements imposed on them by Federal laws, regulations, and the provisions of contracts or grant agreements.

(3) Ensure that audits are completed and reports are received

in a timely manner and in accordance with the requirements of this part.

(4) Provide technical advice and counsel to auditees and auditors as requested.

(5) Issue a management decision on audit findings within six months after receipt of the audit report and ensure that the recipient takes appropriate and timely corrective action.

(6) Assign a person responsible for providing annual updates of the compliance supplement to OMB.

(d) Pass-through entity responsibilities. A pass-through entity shall perform the following for the Federal awards it makes:

(1) Identify Federal awards made by informing each subrecipient of CFDA title and number, award name and number, award year, if the award is R&D, and name of Federal agency. When some of this information is not available, the pass-through entity shall provide the best information available to describe the Federal award.

(2) Advise subrecipients of requirements imposed on them by Federal laws, regulations, and the provisions of contracts or grant agreements as well as any supplemental requirements imposed by the pass-through entity.

(3) Monitor the activities of subrecipients as necessary to ensure that Federal awards are used for authorized purposes in compliance with laws, regulations, and the provisions of contracts or grant agreements and that performance goals are achieved.

(4) Ensure that subrecipients expending \$300,000 (*\$500,000 for fiscal years ending after December 31, 2003*) or more in Federal awards during the subrecipient's fiscal year have met the audit requirements of this part for that fiscal year.

(5) Issue a management decision on audit findings within six months after receipt of the subrecipient's audit report and ensure that the subrecipient takes appropriate and timely corrective action.

(6) Consider whether subrecipient audits necessitate adjustment of the pass-through entity's own records.

(7) Require each subrecipient to permit the pass-through entity and auditors to have access to the records and financial statements as necessary for the pass-through entity to comply with this part.

**§ \_\_.405 Management decision.**

(a) General. The management decision shall clearly state whether or not the audit finding is sustained, the reasons for the decision, and the expected auditee action to repay disallowed costs, make financial adjustments, or take other action. If the auditee has not completed corrective action, a timetable for follow-up should be given. Prior to issuing the management decision, the Federal agency or pass-through entity may request additional information or documentation from the auditee, including a request for auditor assurance related to the documentation, as a way of mitigating disallowed costs. The management decision should describe any appeal process available to the auditee.

(b) Federal agency. As provided in § \_\_.400 (a) (7), the cognizant agency for audit shall be responsible for coordinating a management decision for audit findings that affect the programs of more than one Federal agency.

As provided in §     .400(c)(5), a Federal awarding agency is responsible for issuing a management decision for findings that relate to Federal awards it makes to recipients. Alternate arrangements may be made on a case-by-case basis by agreement among the Federal agencies concerned.

(c) Pass-through entity. As provided in §     .400(d)(5), the pass-through entity shall be responsible for making the management decision for audit findings that relate to Federal awards it makes to subrecipients.

(d) Time requirements. The entity responsible for making the management decision shall do so within six months of receipt of the audit report. Corrective action should be initiated within six months after receipt of the audit report and proceed as rapidly as possible.

(e) Reference numbers. Management decisions shall include the reference numbers the auditor assigned to each audit finding in accordance with §     .510(c).

#### **Subpart E--Auditors**

##### **§     .500     Scope of audit.**

(a) General. The audit shall be conducted in accordance with GAGAS. The audit shall cover the entire operations of the auditee; or, at the option of the auditee, such audit shall include a series of audits that cover departments, agencies, and other organizational units which expended or otherwise administered Federal awards during such fiscal year, provided that each such audit shall encompass the financial statements and schedule of expenditures of Federal awards for each such department, agency, and other organizational unit, which shall be considered to be a non-Federal entity. The financial statements and schedule of expenditures of Federal awards shall be for the same fiscal year.

(b) Financial statements. The auditor shall determine whether the financial statements of the auditee are presented fairly in all material respects in conformity with generally accepted accounting principles. The auditor shall also determine whether the schedule of expenditures of Federal awards is presented fairly in all material respects in relation to the auditee's financial statements taken as a whole.

(c) Internal control. (1) In addition to the requirements of GAGAS, the auditor shall perform procedures to obtain an understanding of internal control over Federal programs sufficient to plan the audit to support a low assessed level of control risk for major programs.

(2) Except as provided in paragraph (c)(3) of this section, the auditor shall:

(i) Plan the testing of internal control over major programs to support a low assessed level of control risk for the assertions relevant to the compliance requirements for each major program; and

(ii) Perform testing of internal control as planned in paragraph (c)(2)(i) of this section.

(3) When internal control over some or all of the compliance requirements for a major program are likely to be ineffective in preventing or detecting noncompliance, the planning and performing of testing described in paragraph (c)(2) of this section are not required for those compliance requirements. However, the auditor shall report a reportable condition (including whether any such condition is a material weakness) in accordance with §     .510, assess the related control risk at the maximum, and consider whether additional compliance tests are required because of ineffective

internal control.

(d) Compliance. (1) In addition to the requirements of GAGAS, the auditor shall determine whether the auditee has complied with laws, regulations, and the provisions of contracts or grant agreements that may have a direct and material effect on each of its major programs.

(2) The principal compliance requirements applicable to most Federal programs and the compliance requirements of the largest Federal programs are included in the compliance supplement.

(3) For the compliance requirements related to Federal programs contained in the compliance supplement, an audit of these compliance requirements will meet the requirements of this part. Where there have been changes to the compliance requirements and the changes are not reflected in the compliance supplement, the auditor shall determine the current compliance requirements and modify the audit procedures accordingly. For those Federal programs not covered in the compliance supplement, the auditor should use the types of compliance requirements contained in the compliance supplement as guidance for identifying the types of compliance requirements to test, and determine the requirements governing the Federal program by reviewing the provisions of contracts and grant agreements and the laws and regulations referred to in such contracts and grant agreements.

(4) The compliance testing shall include tests of transactions and such other auditing procedures necessary to provide the auditor sufficient evidence to support an opinion on compliance.

(e) Audit follow-up. The auditor shall follow-up on prior audit findings, perform procedures to assess the reasonableness of the summary schedule of prior audit findings prepared by the auditee in accordance with § \_\_.315(b), and report, as a current year audit finding, when the auditor concludes that the summary schedule of prior audit findings materially misrepresents the status of any prior audit finding. The auditor shall perform audit follow-up procedures regardless of whether a prior audit finding relates to a major program in the current year.

(f) Data Collection Form. As required in § \_\_.320(b)(3), the auditor shall complete and sign specified sections of the data collection form.

**§ \_\_.505     Audit reporting.**

The auditor's report(s) may be in the form of either combined or separate reports and may be organized differently from the manner presented in this section. The auditor's report(s) shall state that the audit was conducted in accordance with this part and include the following:

(a) An opinion (or disclaimer of opinion) as to whether the financial statements are presented fairly in all material respects in conformity with generally accepted accounting principles and an opinion (or disclaimer of opinion) as to whether the schedule of expenditures of Federal awards is presented fairly in all material respects in relation to the financial statements taken as a whole.

(b) A report on internal control related to the financial statements and major programs. This report shall describe the scope of testing of internal control and the results of the tests, and, where applicable, refer to the separate schedule of findings and questioned costs described in paragraph (d) of this section.

(c) A report on compliance with laws, regulations, and the provisions of contracts or grant agreements, noncompliance with which could have a

material effect on the financial statements. This report shall also include an opinion (or disclaimer of opinion) as to whether the auditee complied with laws, regulations, and the provisions of contracts or grant agreements which could have a direct and material effect on each major program, and, where applicable, refer to the separate schedule of findings and questioned costs described in paragraph (d) of this section.

(d) A schedule of findings and questioned costs which shall include the following three components:

(1) A summary of the auditor's results which shall include:

(i) The type of report the auditor issued on the financial statements of the auditee (i.e., unqualified opinion, qualified opinion, adverse opinion, or disclaimer of opinion);

(ii) Where applicable, a statement that reportable conditions in internal control were disclosed by the audit of the financial statements and whether any such conditions were material weaknesses;

(iii) A statement as to whether the audit disclosed any noncompliance which is material to the financial statements of the auditee;

(iv) Where applicable, a statement that reportable conditions in internal control over major programs were disclosed by the audit and whether any such conditions were material weaknesses;

(v) The type of report the auditor issued on compliance for major programs (i.e., unqualified opinion, qualified opinion, adverse opinion, or disclaimer of opinion);

(vi) A statement as to whether the audit disclosed any audit findings which the auditor is required to report under § \_\_.510 (a);

(vii) An identification of major programs;

(viii) The dollar threshold used to distinguish between Type A and Type B programs, as described in § \_\_.520 (b); and

(ix) A statement as to whether the auditee qualified as a low-risk auditee under § \_\_.530.

(2) Findings relating to the financial statements which are required to be reported in accordance with GAGAS.

(3) Findings and questioned costs for Federal awards which shall include audit findings as defined in § \_\_.510 (a).

(i) Audit findings (e.g., internal control findings, compliance findings, questioned costs, or fraud) which relate to the same issue should be presented as a single audit finding. Where practical, audit findings should be organized by Federal agency or pass-through entity.

(ii) Audit findings which relate to both the financial statements and Federal awards, as reported under paragraphs (d) (2) and (d) (3) of this section, respectively, should be reported in both sections of the schedule. However, the reporting in one section of the schedule may be in summary form with a reference to a detailed reporting in the other section of the schedule.

§ \_\_.510 **Audit findings.**

(a) Audit findings reported. The auditor shall report the following as audit findings in a schedule of findings and questioned costs:

(1) Reportable conditions in internal control over major programs. The auditor's determination of whether a deficiency in internal control is a reportable condition for the purpose of reporting an audit finding is in relation to a type of compliance requirement for a major program or an audit objective identified in the compliance supplement. The auditor shall identify reportable conditions which are individually or cumulatively material weaknesses.

(2) Material noncompliance with the provisions of laws, regulations, contracts, or grant agreements related to a major program. The auditor's determination of whether a noncompliance with the provisions of laws, regulations, contracts, or grant agreements is material for the purpose of reporting an audit finding is in relation to a type of compliance requirement for a major program or an audit objective identified in the compliance supplement.

(3) Known questioned costs which are greater than \$10,000 for a type of compliance requirement for a major program. Known questioned costs are those specifically identified by the auditor. In evaluating the effect of questioned costs on the opinion on compliance, the auditor considers the best estimate of total costs questioned (likely questioned costs), not just the questioned costs specifically identified (known questioned costs). The auditor shall also report known questioned costs when likely questioned costs are greater than \$10,000 for a type of compliance requirement for a major program. In reporting questioned costs, the auditor shall include information to provide proper perspective for judging the prevalence and consequences of the questioned costs.

(4) Known questioned costs which are greater than \$10,000 for a Federal program which is not audited as a major program. Except for audit follow-up, the auditor is not required under this part to perform audit procedures for such a Federal program; therefore, the auditor will normally not find questioned costs for a program which is not audited as a major program. However, if the auditor does become aware of questioned costs for a Federal program which is not audited as a major program (e.g., as part of audit follow-up or other audit procedures) and the known questioned costs are greater than \$10,000, then the auditor shall report this as an audit finding.

(5) The circumstances concerning why the auditor's report on compliance for major programs is other than an unqualified opinion, unless such circumstances are otherwise reported as audit findings in the schedule of findings and questioned costs for Federal awards.

(6) Known fraud affecting a Federal award, unless such fraud is otherwise reported as an audit finding in the schedule of findings and questioned costs for Federal awards. This paragraph does not require the auditor to make an additional reporting when the auditor confirms that the fraud was reported outside of the auditor's reports under the direct reporting requirements of GAGAS.

(7) Instances where the results of audit follow-up procedures disclosed that the summary schedule of prior audit findings prepared by the auditee in accordance with §     .315(b) materially misrepresents the status of any prior audit finding.

(b) Audit finding detail. Audit findings shall be presented in sufficient detail for the auditee to prepare a corrective action plan and take corrective action and for Federal agencies and pass-through entities to arrive at a management decision. The following specific information shall be

included, as applicable, in audit findings:

(1) Federal program and specific Federal award identification including the CFDA title and number, Federal award number and year, name of Federal agency, and name of the applicable pass-through entity. When information, such as the CFDA title and number or Federal award number, is not available, the auditor shall provide the best information available to describe the Federal award.

(2) The criteria or specific requirement upon which the audit finding is based, including statutory, regulatory, or other citation.

(3) The condition found, including facts that support the deficiency identified in the audit finding.

(4) Identification of questioned costs and how they were computed.

(5) Information to provide proper perspective for judging the prevalence and consequences of the audit findings, such as whether the audit findings represent an isolated instance or a systemic problem. Where appropriate, instances identified shall be related to the universe and the number of cases examined and be quantified in terms of dollar value.

(6) The possible asserted effect to provide sufficient information to the auditee and Federal agency, or pass-through entity in the case of a subrecipient, to permit them to determine the cause and effect to facilitate prompt and proper corrective action.

(7) Recommendations to prevent future occurrences of the deficiency identified in the audit finding.

(8) Views of responsible officials of the auditee when there is disagreement with the audit findings, to the extent practical.

(c) Reference numbers. Each audit finding in the schedule of findings and questioned costs shall include a reference number to allow for easy referencing of the audit findings during follow-up.

**§ \_\_.515 Audit working papers.**

(a) Retention of working papers. The auditor shall retain working papers and reports for a minimum of three years after the date of issuance of the auditor's report(s) to the auditee, unless the auditor is notified in writing by the cognizant agency for audit, oversight agency for audit, or pass-through entity to extend the retention period. When the auditor is aware that the Federal awarding agency, pass-through entity, or auditee is contesting an audit finding, the auditor shall contact the parties contesting the audit finding for guidance prior to destruction of the working papers and reports.

(b) Access to working papers. Audit working papers shall be made available upon request to the cognizant or oversight agency for audit or its designee, a Federal agency providing direct or indirect funding, or GAO at the completion of the audit, as part of a quality review, to resolve audit findings, or to carry out oversight responsibilities consistent with the purposes of this part. Access to working papers includes the right of Federal agencies to obtain copies of working papers, as is reasonable and necessary.

**§ \_\_.520 Major program determination.**

(a) General. The auditor shall use a risk-based approach to determine which Federal programs are major programs. This risk-based approach shall include consideration of: Current and prior audit experience, oversight by Federal agencies and pass-through entities, and the inherent risk of the Federal program. The process in paragraphs (b) through (i) of this section shall be followed.

(b) Step 1. (1) The auditor shall identify the larger Federal programs, which shall be labeled Type A programs. Type A programs are defined as Federal programs with Federal awards expended during the audit period exceeding the larger of:

(i) \$300,000 or three percent (.03) of total Federal awards expended in the case of an auditee for which total Federal awards expended equal or exceed \$300,000 but are less than or equal to \$100 million.

(ii) \$3 million or three-tenths of one percent (.003) of total Federal awards expended in the case of an auditee for which total Federal awards expended exceed \$100 million but are less than or equal to \$10 billion.

(iii) \$30 million or 15 hundredths of one percent (.0015) of total Federal awards expended in the case of an auditee for which total Federal awards expended exceed \$10 billion.

(2) Federal programs not labeled Type A under paragraph (b) (1) of this section shall be labeled Type B programs.

(3) The inclusion of large loan and loan guarantees (loans) should not result in the exclusion of other programs as Type A programs. When a Federal program providing loans significantly affects the number or size of Type A programs, the auditor shall consider this Federal program as a Type A program and exclude its values in determining other Type A programs.

(4) For biennial audits permitted under § \_\_.220, the determination of Type A and Type B programs shall be based upon the Federal awards expended during the two-year period.

(c) Step 2. (1) The auditor shall identify Type A programs which are low-risk. For a Type A program to be considered low-risk, it shall have been audited as a major program in at least one of the two most recent audit periods (in the most recent audit period in the case of a biennial audit), and, in the most recent audit period, it shall have had no audit findings under § \_\_.510(a). However, the auditor may use judgment and consider that audit findings from questioned costs under § \_\_.510(a)(3) and § \_\_.510(a)(4), fraud under § \_\_.510(a)(6), and audit follow-up for the summary schedule of prior audit findings under § \_\_.510(a)(7) do not preclude the Type A program from being low-risk. The auditor shall consider: the criteria in § \_\_.525(c), § \_\_.525(d)(1), § \_\_.525(d)(2), and § \_\_.525(d)(3); the results of audit follow-up; whether any changes in personnel or systems affecting a Type A program have significantly increased risk; and apply professional judgment in determining whether a Type A program is low-risk.

(2) Notwithstanding paragraph (c) (1) of this section, OMB may approve a Federal awarding agency's request that a Type A program at certain recipients may not be considered low-risk. For example, it may be necessary for a large Type A program to be audited as major each year at particular recipients to allow the Federal agency to comply with the Government Management Reform Act of 1994 (31 U.S.C. 3515). The Federal agency shall notify the recipient and, if known, the auditor at least 180 days prior to the

end of the fiscal year to be audited of OMB's approval.

(d) Step 3. (1) The auditor shall identify Type B programs which are high-risk using professional judgment and the criteria in § .525. However, should the auditor select Option 2 under Step 4 (paragraph (e)(2)(i)(B) of this section), the auditor is not required to identify more high-risk Type B programs than the number of low-risk Type A programs. Except for known reportable conditions in internal control or compliance problems as discussed in § .525(b)(1), § .525(b)(2), and § .525(c)(1), a single criteria in § .525 would seldom cause a Type B program to be considered high-risk.

(2) The auditor is not expected to perform risk assessments on relatively small Federal programs. Therefore, the auditor is only required to perform risk assessments on Type B programs that exceed the larger of:

(i) \$100,000 or three-tenths of one percent (.003) of total Federal awards expended when the auditee has less than or equal to \$100 million in total Federal awards expended.

(ii) \$300,000 or three-hundredths of one percent (.0003) of total Federal awards expended when the auditee has more than \$100 million in total Federal awards expended.

(e) Step 4. At a minimum, the auditor shall audit all of the following as major programs:

(1) All Type A programs, except the auditor may exclude any Type A programs identified as low-risk under Step 2 (paragraph (c)(1) of this section).

(2) (i) High-risk Type B programs as identified under either of the following two options:

(A) Option 1. At least one half of the Type B programs identified as high-risk under Step 3 (paragraph (d) of this section), except this paragraph (e)(2)(i)(A) does not require the auditor to audit more high-risk Type B programs than the number of low-risk Type A programs identified as low-risk under Step 2.

(B) Option 2. One high-risk Type B program for each Type A program identified as low-risk under Step 2.

(ii) When identifying which high-risk Type B programs to audit as major under either Option 1 or 2 in paragraph (e)(2)(i)(A) or (B), the auditor is encouraged to use an approach which provides an opportunity for different high-risk Type B programs to be audited as major over a period of time.

(3) Such additional programs as may be necessary to comply with the percentage of coverage rule discussed in paragraph (f) of this section. This paragraph (e)(3) may require the auditor to audit more programs as major than the number of Type A programs.

(f) Percentage of coverage rule. The auditor shall audit as major programs Federal programs with Federal awards expended that, in the aggregate, encompass at least 50 percent of total Federal awards expended. If the auditee meets the criteria in § .530 for a low-risk auditee, the auditor need only audit as major programs Federal programs with Federal awards expended that, in the aggregate, encompass at least 25 percent of total Federal awards expended.

(g) Documentation of risk. The auditor shall document in the working

papers the risk analysis process used in determining major programs.

(h) Auditor's judgment. When the major program determination was performed and documented in accordance with this part, the auditor's judgment in applying the risk-based approach to determine major programs shall be presumed correct. Challenges by Federal agencies and pass-through entities shall only be for clearly improper use of the guidance in this part. However, Federal agencies and pass-through entities may provide auditors guidance about the risk of a particular Federal program and the auditor shall consider this guidance in determining major programs in audits not yet completed.

(i) Deviation from use of risk criteria. For first-year audits, the auditor may elect to determine major programs as all Type A programs plus any Type B programs as necessary to meet the percentage of coverage rule discussed in paragraph (f) of this section. Under this option, the auditor would not be required to perform the procedures discussed in paragraphs (c), (d), and (e) of this section.

(1) A first-year audit is the first year the entity is audited under this part or the first year of a change of auditors.

(2) To ensure that a frequent change of auditors would not preclude audit of high-risk Type B programs, this election for first-year audits may not be used by an auditee more than once in every three years.

**§ \_\_.525 Criteria for Federal program risk.**

(a) General. The auditor's determination should be based on an overall evaluation of the risk of noncompliance occurring which could be material to the Federal program. The auditor shall use auditor judgment and consider criteria, such as described in paragraphs (b), (c), and (d) of this section, to identify risk in Federal programs. Also, as part of the risk analysis, the auditor may wish to discuss a particular Federal program with auditee management and the Federal agency or pass-through entity.

(b) Current and prior audit experience. (1) Weaknesses in internal control over Federal programs would indicate higher risk. Consideration should be given to the control environment over Federal programs and such factors as the expectation of management's adherence to applicable laws and regulations and the provisions of contracts and grant agreements and the competence and experience of personnel who administer the Federal programs.

(i) A Federal program administered under multiple internal control structures may have higher risk. When assessing risk in a large single audit, the auditor shall consider whether weaknesses are isolated in a single operating unit (e.g., one college campus) or pervasive throughout the entity.

(ii) When significant parts of a Federal program are passed through to subrecipients, a weak system for monitoring subrecipients would indicate higher risk.

(iii) The extent to which computer processing is used to administer Federal programs, as well as the complexity of that processing, should be considered by the auditor in assessing risk. New and recently modified computer systems may also indicate risk.

(2) Prior audit findings would indicate higher risk, particularly when the situations identified in the audit findings could have a significant impact on a Federal program or have not been corrected.

(3) Federal programs not recently audited as major programs

may be of higher risk than Federal programs recently audited as major programs without audit findings.

(c) Oversight exercised by Federal agencies and pass-through entities.

(1) Oversight exercised by Federal agencies or pass-through entities could indicate risk. For example, recent monitoring or other reviews performed by an oversight entity which disclosed no significant problems would indicate lower risk. However, monitoring which disclosed significant problems would indicate higher risk.

(2) Federal agencies, with the concurrence of OMB, may identify Federal programs which are higher risk. OMB plans to provide this identification in the compliance supplement.

(d) Inherent risk of the Federal program. (1) The nature of a Federal program may indicate risk. Consideration should be given to the complexity of the program and the extent to which the Federal program contracts for goods and services. For example, Federal programs that disburse funds through third party contracts or have eligibility criteria may be of higher risk. Federal programs primarily involving staff payroll costs may have a high-risk for time and effort reporting, but otherwise be at low-risk.

(2) The phase of a Federal program in its life cycle at the Federal agency may indicate risk. For example, a new Federal program with new or interim regulations may have higher risk than an established program with time-tested regulations. Also, significant changes in Federal programs, laws, regulations, or the provisions of contracts or grant agreements may increase risk.

(3) The phase of a Federal program in its life cycle at the auditee may indicate risk. For example, during the first and last years that an auditee participates in a Federal program, the risk may be higher due to start-up or closeout of program activities and staff.

(4) Type B programs with larger Federal awards expended would be of higher risk than programs with substantially smaller Federal awards expended.

**§ \_\_.530 Criteria for a low-risk auditee.**

An auditee which meets all of the following conditions for each of the preceding two years (or, in the case of biennial audits, preceding two audit periods) shall qualify as a low-risk auditee and be eligible for reduced audit coverage in accordance with § \_\_.520:

(a) Single audits were performed on an annual basis in accordance with the provisions of this part. A non-Federal entity that has biennial audits does not qualify as a low-risk auditee, unless agreed to in advance by the cognizant or oversight agency for audit.

(b) The auditor's opinions on the financial statements and the schedule of expenditures of Federal awards were unqualified. However, the cognizant or oversight agency for audit may judge that an opinion qualification does not affect the management of Federal awards and provide a waiver.

(c) There were no deficiencies in internal control which were identified as material weaknesses under the requirements of GAGAS. However, the cognizant or oversight agency for audit may judge that any identified material weaknesses do not affect the management of Federal awards and provide a waiver.

(d) None of the Federal programs had audit findings from any of the following in either of the preceding two years (or, in the case of biennial audits, preceding two audit periods) in which they were classified as Type A programs:

(1) Internal control deficiencies which were identified as material weaknesses;

(2) Noncompliance with the provisions of laws, regulations, contracts, or grant agreements which have a material effect on the Type A program; or

(3) Known or likely questioned costs that exceed five percent of the total Federal awards expended for a Type A program during the year.

Appendix A to Part \_\_\_ - Data Collection Form (Form SF-SAC)  
[insert SF-SAC after finalized]

Appendix B to Part \_\_\_ - Circular A-133 Compliance Supplement

Note: Provisional OMB Circular A-133 Compliance Supplement is available from the Office of Administration, Publications Office, room 2200, New Executive Office Building, Washington, DC 20503.

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## TITLE 44--EMERGENCY MANAGEMENT AND ASSISTANCE

### CHAPTER I--FEDERAL EMERGENCY MANAGEMENT AGENCY

#### **PART 201--MITIGATION PLANNING**

*As revised by Interim Rule FR Doc. E7-21265 published at 72 FR 61749, October 30, 2007*

##### Sec. 201.1 Purpose.

(a) The purpose of this part is to provide information on the polices and procedures for mitigation planning as required by the provisions of section 322 of the Stafford Act, 42 U.S.C. 5165.

(b) The purpose of mitigation planning is for State, local, and Indian tribal governments to identify the natural hazards that impact them, to identify actions and activities to reduce any losses from those hazards, and to establish a coordinated process to implement the plan, taking advantage of a wide range of resources.

##### Sec. 201.2 Definitions

*Administrator* means the head of the Federal Emergency Management Agency, or his/her designated representative, appointed under section 503 of the Post-Katrina Emergency Management Reform Act of 2006 (Pub. L. 109-295). The term also refers to the Director as discussed in part 2 of this chapter.

*Flood Mitigation Assistance (FMA)* means the program authorized by section 1366 of the National Flood Insurance Act of 1968, as amended, 42 U.S.C. 4104c, and implemented at parts 78 and 79.

*Grantee* means the government to which a grant is awarded, which is accountable for the use of the funds provided. The grantee is the entire legal entity even if only a particular component of the entity is designated in the grant award document. Generally, the State is the grantee. However, after a declaration, an Indian tribal government may choose to be a grantee, or may act as a subgrantee under the State. An Indian tribal government acting as grantee will assume the responsibilities of a "state", as described in this part, for the purposes of administering the grant.

*Hazard mitigation* means any sustained action taken to reduce or eliminate the long-term risk to human life and property from hazards.

*Hazard Mitigation Grant Program (HMGP)* means the program authorized under section 404 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. 5170c, and implemented at part 206, subpart N of this chapter.

*Indian tribal government* means any Federally recognized governing body of an Indian or Alaska Native tribe, band, nation, pueblo, village, or community that the Secretary of Interior acknowledges to exist as an Indian tribe under the Federally Recognized Tribe List Act of 1994, 25 U.S.C. 479a. This does not include Alaska Native corporations, the ownership of which is vested in private individuals.

*Local government* is any county, municipality, city, town, township, public authority, school district, special district, intrastate district, council of governments (regardless of whether the council of governments is incorporated as a nonprofit corporation under State law), regional or interstate government entity, or agency or instrumentality of a local government; any Indian tribe or authorized tribal

organization, or Alaska Native village or organization; and any rural community, unincorporated town or village, or other public entity.

*Managing State* means a State to which FEMA has delegated the authority to administer and manage the HMGP under the criteria established by FEMA pursuant to 42 U.S.C. 5170c(c). FEMA may also delegate authority to tribal governments to administer and manage the HMGP as a Managing State.

*Pre-Disaster Mitigation Program* (PDM) means the program authorized under section 203 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. 5133.

*Regional Director* is a director of a regional office of FEMA, or his/her designated representative.

*Repetitive Flood Claims* (RFC) program means the program authorized under section 1323 of the National Flood Insurance Act of 1968, as amended, 42 U.S.C. 4011, which provides funding to reduce flood damages to individual properties for which 1 or more claim payments for losses have been made under flood insurance coverage and that will result in the greatest savings to the National Flood Insurance Program (NFIP) in the shortest period of time.

*Severe Repetitive Loss* (SRL) program means the program authorized under section 1361(a) of the National Flood Insurance Act of 1968, as amended, 42 U.S.C. 4102a, and implemented at part 79 of this chapter.

*Severe Repetitive Loss properties* are defined as single or multifamily residential properties that are covered under an NFIP flood insurance policy and: (1) That have incurred flood-related damage for which 4 or more separate claims payments have been made, with the amount of each claim (including building and contents payments) exceeding \$5,000, and with the cumulative amount of such claims payments exceeding \$20,000; or (2) For which at least 2 separate claims payments (building payments only) have been made under such coverage, with cumulative amount of such claims exceeding the market value of the property. (3) In both instances, at least 2 of the claims must be within 10 years of each other, and claims made within 10 days of each other will be counted as 1 claim.

*Small and impoverished communities* means a community of 3,000 or fewer individuals that is identified by the State as a rural community, and is not a remote area within the corporate boundaries of a larger city; is economically disadvantaged, by having an average per capita annual income of residents not exceeding 80 percent of national, per capita income, based on best available data; the local unemployment rate exceeds by one percentage point or more, the most recently reported, average yearly national unemployment rate; and any other factors identified in the State Plan in which the community is located.

*The Stafford Act* refers to the Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended (42 U.S.C. 5121-5206).

*State* is any State of the United States, the District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands.

*State Hazard Mitigation Officer* is the official representative of State government who is the primary point of contact with FEMA, other Federal agencies, and local governments in mitigation planning and implementation of mitigation programs and activities required under the Stafford Act.

*Subgrantee* means the government or other legal entity to which a subgrant is awarded and which is accountable to the grantee for the use of the funds provided. Subgrantees can be a State agency, local government, private non-profit organizations, or Indian tribal government. Indian tribal governments acting as a subgrantee are accountable to the State grantee.

### Sec. 201.3 Responsibilities.

(a) *General*. This section identifies the key responsibilities of FEMA, States, and local/tribal governments in carrying out section 322 of the Stafford Act, 42 U.S.C. 5165.

(b) *FEMA*. The key responsibilities of the Regional Director are to:

- (1) Oversee all FEMA related pre- and post-disaster hazard mitigation programs and activities;
- (2) Provide technical assistance and training to State, local, and Indian tribal governments regarding the mitigation planning process;
- (3) Review and approve all Standard and Enhanced State Mitigation Plans;

(4) Review and approve all local mitigation plans, unless that authority has been delegated to the State in accordance with Sec. 201.6(d);

(5) Conduct reviews, at least once every three years, of State mitigation activities, plans, and programs to ensure that mitigation commitments are fulfilled, and when necessary, take action, including recovery of funds or denial of future funds, if mitigation commitments are not fulfilled.

(c) *State.* The key responsibilities of the State are to coordinate all State and local activities relating to hazard evaluation and mitigation and to:

(1) Prepare and submit to FEMA a Standard State Mitigation Plan following the criteria established in part 201.4 as a condition of receiving nonemergency Stafford Act assistance and FEMA mitigation grants. In addition, a State may choose to address severe repetitive loss properties in their plan as identified in part 201.4(c)(3)(v) to receive the reduced cost share for the Flood Mitigation Assistance (FMA) and Severe Repetitive Loss (SRL) programs, pursuant to part 79.4(c)(2) of this chapter.

(2) In order to be considered for the 20 percent HMGP funding, prepare and submit an Enhanced State Mitigation Plan in accordance with Sec. 201.5, which must be reviewed and updated, if necessary, every three years from the date of the approval of the previous plan.

(3) At a minimum, review and update the Standard State Mitigation Plan every 3 years from the date of the approval of the previous plan in order to continue program eligibility.

(4) Make available the use of up to the 7 percent of HMGP funding for planning in accordance with Sec. 206.434.

(5) Provide technical assistance and training to local governments to assist them in applying for HMGP planning grants, and in developing local mitigation plans.

(6) For Managing States that have been approved under the criteria established by FEMA pursuant to 42 U.S.C. 5170c(c), review and approve local mitigation plans in accordance with Sec. 201.6(d).

(d) *Local governments.* The key responsibilities of local governments are to:

(1) Prepare and adopt a jurisdiction-wide natural hazard mitigation plan as a condition of receiving project grant funds under the HMGP, in accordance with Sec. 201.6.

(2) At a minimum, review and update the local mitigation plan every 5 years from date of plan approval of the previous plan in order to continue program eligibility.

(e) *Indian tribal governments.* The key responsibilities of the Indian tribal government are to coordinate all tribal activities relating to hazard evaluation and mitigation and to:

(1) Prepare and submit to FEMA a Tribal Mitigation Plan following the criteria established in part 201.7 as a condition of receiving non-emergency Stafford Act assistance as a grantee. This plan will also allow Indian tribal governments to apply through the State, as a subgrantee, for any FEMA mitigation project grant. Indian tribal governments with a plan approved by FEMA on or before October 1, 2008 under part 201.4 or part 201.6 will also meet this planning requirement. All Tribal Mitigation Plans approved after that date must follow the criteria identified in part 201.7. In addition, an Indian tribal government may choose to address severe repetitive loss properties as identified in part 201.4(c)(3)(v) as a condition of receiving the reduced cost share for the FMA and SRL programs, pursuant to part 79.4(c)(2) of this chapter.

(2) Review and update the Tribal Mitigation Plan at least every 5 years from the date of approval of the previous plan in order to continue program eligibility.

(3) In order to be considered for the increased HMGP funding, the Tribal Mitigation Plan must meet the Enhanced State Mitigation Plan criteria identified in part 201.5. The plan must be reviewed and updated at least every 3 years from the date of approval of the previous plan.

[67 FR 8848, Feb. 26, 2002, as amended at 67 FR 61515, Oct. 1, 2002]

#### Sec. 201.4 Standard State Mitigation Plans.

(a) Plan requirement. States must have an approved Standard State Mitigation Plans meeting the requirements of this section as a condition of receiving nonemergency Stafford Act assistance and FEMA

mitigation grants. Emergency assistance provided under 42 U.S.C. 5170a, 5170b, 5173, 5174, 5177, 5179, 5180, 5182, 5183, 5184, 5192 will not be affected. Mitigation planning grants provided through the Pre-disaster Mitigation (PDM) program, authorized under section 203 of the Stafford Act, 42 U.S.C. 5133, will also continue to be available. The mitigation plan is the demonstration of the State's commitment to reduce risks from natural hazards and serves as a guide for State decision makers as they commit resources to reducing the effects of natural hazards.

(b) Planning process. An effective planning process is essential in developing and maintaining a good plan. The mitigation planning process should include coordination with other State agencies, appropriate Federal agencies, interested groups, and be integrated to the extent possible with other ongoing State planning efforts as well as other FEMA mitigation programs and initiatives.

(c) Plan content. To be effective the plan must include the following elements:

(1) Description of the planning process used to develop the plan, including how it was prepared, who was involved in the process, and how other agencies participated.

(2) Risk assessments that provide the factual basis for activities proposed in the strategy portion of the mitigation plan. Statewide risk assessments must characterize and analyze natural hazards and risks to provide a statewide overview. This overview will allow the State to compare potential losses throughout the State and to determine their priorities for implementing mitigation measures under the strategy, and to prioritize jurisdictions for receiving technical and financial support in developing more detailed local risk and vulnerability assessments. The risk assessment shall include the following:

(i) An overview of the type and location of all natural hazards that can affect the State, including information on previous occurrences of hazard events, as well as the probability of future hazard events, using maps where appropriate;

(ii) An overview and analysis of the State's vulnerability to the hazards described in this paragraph (c)(2), based on estimates provided in local risk assessments as well as the State risk assessment. The State shall describe vulnerability in terms of the jurisdictions most threatened by the identified hazards, and most vulnerable to damage and loss associated with hazard events. State owned critical or operated critical facilities located in the identified hazard areas shall also be addressed;

(iii) An overview and analysis of potential losses to the identified vulnerable structures, based on estimates provided in local risk assessments as well as the State risk assessment. The State shall estimate the potential dollar losses to State owned or operated buildings, infrastructure, and critical facilities located in the identified hazard areas.

(3) A Mitigation Strategy that provides the State's blueprint for reducing the losses identified in the risk assessment. This section shall include:

(i) A description of State goals to guide the selection of activities to mitigate and reduce potential losses.

(ii) A discussion of the State's pre- and post-disaster hazard management policies, programs, and capabilities to mitigate the hazards in the area, including: an evaluation of State laws, regulations, policies, and programs related to hazard mitigation as well as to development in hazard-prone areas; a discussion of State funding capabilities for hazard mitigation projects; and a general description and analysis of the effectiveness of local mitigation policies, programs, and capabilities.

(iii) An identification, evaluation, and prioritization of cost-effective, environmentally sound, and technically feasible mitigation actions and activities the State is considering and an explanation of how each activity contributes to the overall mitigation strategy. This section should be linked to local plans, where specific local actions and projects are identified.

(iv) Identification of current and potential sources of Federal, State, local, or private funding to implement mitigation activities.

(v) A State may request the reduced cost share authorized under part 79.4(c)(2) of this chapter for the FMA and SRL programs, if it has an approved State Mitigation Plan meeting the requirements of this section that also identifies specific actions the State has taken to reduce the number of repetitive loss properties (which must include severe repetitive loss properties), and specifies how the State intends to reduce the number of such repetitive loss properties. In addition, the plan must describe the strategy the State has to ensure that local jurisdictions with severe repetitive loss properties take actions to reduce the number of these properties, including the development of local mitigation plans.

(4) A section on the Coordination of Local Mitigation Planning that includes the following:

(i) A description of the State process to support, through funding and technical assistance, the development of local mitigation plans.

(ii) A description of the State process and timeframe by which the local plans will be reviewed, coordinated, and linked to the State Mitigation Plan.

(iii) Criteria for prioritizing communities and local jurisdictions that would receive planning and project grants under available funding programs, which should include consideration for communities with the highest risks, repetitive loss properties, and most intense development pressures. Further, that for non-planning grants, a principal criterion for prioritizing grants shall be the extent to which benefits are maximized according to a cost benefit review of proposed projects and their associated costs.

(5) A Plan Maintenance Process that includes:

(i) An established method and schedule for monitoring, evaluating, and updating the plan.

(ii) A system for monitoring implementation of mitigation measures and project closeouts.

(iii) A system for reviewing progress on achieving goals as well as activities and projects identified in the Mitigation Strategy.

(6) A Plan Adoption Process. The plan must be formally adopted by the State prior to submittal to us for final review and approval.

(7) Assurances. The plan must include assurances that the State will comply with all applicable Federal statutes and regulations in effect with respect to the periods for which it receives grant funding, in compliance with 44 CFR 13.11(c) of this chapter. The State will amend its plan whenever necessary to reflect changes in State or Federal laws and statutes as required in 44 CFR 13.11(d) of this chapter.

(d) Review and updates. Plan must be reviewed and revised to reflect changes in development, progress in statewide mitigation efforts, and changes in priorities and resubmitted for approval to the appropriate Regional Director every three years. The Regional review will be completed within 45 days after receipt from the State, whenever possible. We also encourage a State to review its plan in the post-disaster timeframe to reflect changing priorities, but it is not required.

#### Sec. 201.5 Enhanced State Mitigation Plans.

(a) A State with a FEMA approved Enhanced State Mitigation Plan at the time of a disaster declaration is eligible to receive increased funds under the HMGP, based on twenty percent of the total estimated eligible Stafford Act disaster assistance. The Enhanced State Mitigation Plan must demonstrate that a State has developed a comprehensive mitigation program, that the State effectively uses available mitigation funding, and that it is capable of managing the increased funding. In order for the State to be eligible for the 20 percent HMGP funding, FEMA must have approved the plan within three years prior to the disaster declaration.

(b) Enhanced State Mitigation Plans must include all elements of the Standard State Mitigation Plan identified in Sec. 201.4, as well as document the following:

(1) Demonstration that the plan is integrated to the extent practicable with other State and/or regional planning initiatives (comprehensive, growth management, economic development, capital improvement, land development, and/or emergency management plans) and FEMA mitigation programs and initiatives that provide guidance to State and regional agencies.

(2) Documentation of the State's project implementation capability, identifying and demonstrating the ability to implement the plan, including:

(i) Established eligibility criteria for multi-hazard mitigation measures.

(ii) A system to determine the cost effectiveness of mitigation measures, consistent with OMB Circular A-94, Guidelines and Discount Rates for Benefit-Cost Analysis of Federal Programs, and to rank the measures according to the State's eligibility criteria.

(iii) Demonstration that the State has the capability to effectively manage the HMGP as well as other mitigation grant programs, including a record of the following:

(A) Meeting HMGP and other mitigation grant application timeframes and submitting complete, technically feasible, and eligible project applications with appropriate supporting documentation;

(B) Preparing and submitting accurate environmental reviews and benefit-cost analyses;

(C) Submitting complete and accurate quarterly progress and financial reports on time; and  
(D) Completing HMGP and other mitigation grant projects within established performance periods, including financial reconciliation.

(iv) A system and strategy by which the State will conduct an assessment of the completed mitigation actions and include a record of the effectiveness (actual cost avoidance) of each mitigation action.

(3) Demonstration that the State effectively uses existing mitigation programs to achieve its mitigation goals.

(4) Demonstration that the State is committed to a comprehensive state mitigation program, which might include any of the following:

(i) A commitment to support local mitigation planning by providing workshops and training, State planning grants, or coordinated capability development of local officials, including Emergency Management and Floodplain Management certifications.

(ii) A statewide program of hazard mitigation through the development of legislative initiatives, mitigation councils, formation of public/private partnerships, and/or other executive actions that promote hazard mitigation.

(iii) The State provides a portion of the non-Federal match for HMGP and/or other mitigation projects.

(iv) To the extent allowed by State law, the State requires or encourages local governments to use a current version of a nationally applicable model building code or standard that addresses natural hazards as a basis for design and construction of State sponsored mitigation projects.

(v) A comprehensive, multi-year plan to mitigate the risks posed to existing buildings that have been identified as necessary for post-disaster response and recovery operations.

(vi) A comprehensive description of how the State integrates mitigation into its post-disaster recovery operations.

(c) Review and updates.

(1) A State must review and revise its plan to reflect changes in development, progress in statewide mitigation efforts, and changes in priorities, and resubmit it for approval to the appropriate Regional Director every three years. The Regional review will be completed within 45 days after receipt from the State, whenever possible.

(2) In order for a State to be eligible for the 20 percent HMGP funding, the Enhanced State Mitigation plan must be approved by FEMA within the three years prior to the current major disaster declaration.

#### Sec. 201.6 Local Mitigation Plans.

The local mitigation plan is the representation of the jurisdiction's commitment to reduce risks from natural hazards, serving as a guide for decision makers as they commit resources to reducing the effects of natural hazards. Local plans will also serve as the basis for the State to provide technical assistance and to prioritize project funding.

(a) Plan requirements. (1) A local government must have a mitigation plan approved pursuant to this section in order to receive HMGP project grants. The Administrator may, at his discretion, require a local mitigation plan for the Repetitive Flood Claims Program. A local government must have a mitigation plan approved pursuant to this section in order to apply for and receive mitigation project grants under all other mitigation grant programs.

(2) Plans prepared for the FMA program, described at part 79 of this chapter, need only address these requirements as they relate to flood hazards in order to be eligible for FMA project grants. However, these plans must be clearly identified as being flood mitigation plans, and they will not meet the eligibility criteria for other mitigation grant programs, unless flooding is the only natural hazard the jurisdiction faces.

(3) Regional Directors may grant an exception to the plan requirement in extraordinary circumstances, such as in a small and impoverished community, when justification is provided. In these cases, a plan will be completed within 12 months of the award of the project grant. If a plan is not

provided within this timeframe, the project grant will be terminated, and any costs incurred after notice of grant's termination will not be reimbursed by FEMA.

(4) Multi-jurisdictional plans (e.g. watershed plans) may be accepted, as appropriate, as long as each jurisdiction has participated in the process and has officially adopted the plan. State-wide plans will not be accepted as multi-jurisdictional plans.

(b) Planning process. An open public involvement process is essential to the development of an effective plan. In order to develop a more comprehensive approach to reducing the effects of natural disasters, the planning process shall include:

(1) An opportunity for the public to comment on the plan during the drafting stage and prior to plan approval;

(2) An opportunity for neighboring communities, local and regional agencies involved in hazard mitigation activities, and agencies that have the authority to regulate development, as well as businesses, academia and other private and non-profit interests to be involved in the planning process; and

(3) Review and incorporation, if appropriate, of existing plans, studies, reports, and technical information.

(c) Plan content. The plan shall include the following:

(1) Documentation of the planning process used to develop the plan, including how it was prepared, who was involved in the process, and how the public was involved.

(2) A risk assessment that provides the factual basis for activities proposed in the strategy to reduce losses from identified hazards. Local risk assessments must provide sufficient information to enable the jurisdiction to identify and prioritize appropriate mitigation actions to reduce losses from identified hazards. The risk assessment shall include:

(i) A description of the type, location, and extent of all natural hazards that can affect the jurisdiction. The plan shall include information on previous occurrences of hazard events and on the probability of future hazard events.

(ii) A description of the jurisdiction's vulnerability to the hazards described in paragraph (c)(2)(i) of this section. This description shall include an overall summary of each hazard and its impact on the community. All plans approved after October 1, 2008 must also address NFIP insured structures that have been repetitively damaged by floods. The plan should describe vulnerability in terms of:

(A) The types and numbers of existing and future buildings, infrastructure, and critical facilities located in the identified hazard areas;

(B) An estimate of the potential dollar losses to vulnerable structures identified in paragraph (c)(2)(i)(A) of this section and a description of the methodology used to prepare the estimate;

(C) Providing a general description of land uses and development trends within the community so that mitigation options can be considered in future land use decisions.

(iii) For multi-jurisdictional plans, the risk assessment section must assess each jurisdiction's risks where they vary from the risks facing the entire planning area.

(3) A mitigation strategy that provides the jurisdiction's blueprint for reducing the potential losses identified in the risk assessment, based on existing authorities, policies, programs and resources, and its ability to expand on and improve these existing tools. This section shall include:

(i) A description of mitigation goals to reduce or avoid long-term vulnerabilities to the identified hazards.

(ii) A section that identifies and analyzes a comprehensive range of specific mitigation actions and projects being considered to reduce the effects of each hazard, with particular emphasis on new and existing buildings and infrastructure. All plans approved by FEMA after October 1, 2008, must also address the jurisdiction's participation in the NFIP, and continued compliance with NFIP requirements, as appropriate.

(iii) An action plan describing how the actions identified in paragraph (c)(2)(ii) of this section will be prioritized, implemented, and administered by the local jurisdiction. Prioritization shall include a special emphasis on the extent to which benefits are maximized according to a cost benefit review of the proposed projects and their associated costs.

(iv) For multi-jurisdictional plans, there must be identifiable action items specific to the jurisdiction requesting FEMA approval or credit of the plan.

(4) A plan maintenance process that includes:  
(i) A section describing the method and schedule of monitoring, evaluating, and updating the mitigation plan within a five-year cycle.  
(ii) A process by which local governments incorporate the requirements of the mitigation plan into other planning mechanisms such as comprehensive or capital improvement plans, when appropriate.  
(iii) Discussion on how the community will continue public participation in the plan maintenance process.

(5) Documentation that the plan has been formally adopted by the governing body of the jurisdiction requesting approval of the plan (e.g., City Council, County Commissioner, Tribal Council). For multi-jurisdictional plans, each jurisdiction requesting approval of the plan must document that it has been formally adopted.

(d) Plan review. (1) Plans must be submitted to the State Hazard Mitigation Officer for initial review and coordination. The State will then send the plan to the appropriate FEMA Regional Office for formal review and approval. Where the State point of contact for the FMA program is different from the SHMO, the SHMO will be responsible for coordinating the local plan reviews between the FMA point of contact and FEMA

(2) The Regional review will be completed within 45 days after receipt from the State, whenever possible.

(3) A local jurisdiction must review and revise its plan to reflect changes in development, progress in local mitigation efforts, and changes in priorities, and resubmit it for approval within 5 years in order to continue to be eligible for mitigation project grant funding.

(4) Managing States that have been approved under the criteria established by FEMA pursuant to 42 U.S.C. 5170c(c) will be delegated approval authority for local mitigation plans, and the review will be based on the criteria in this part. Managing States will review the plans within 45 days of receipt of the plans, whenever possible, and provide a copy of the approved plans to the Regional Office.

#### Sec. 201.7 Tribal Mitigation Plans.

The Indian Tribal Mitigation Plan is the representation of the Indian tribal government's commitment to reduce risks from natural hazards, serving as a guide for decision makers as they commit resources to reducing the effects of natural hazards.

(a) *Plan requirement.* (1) Indian tribal governments applying to FEMA as a grantee must have an approved Tribal Mitigation Plan meeting the requirements of this section as a condition of receiving non-emergency Stafford Act assistance and FEMA mitigation grants. Emergency assistance provided under 42 U.S.C. 5170a, 5170b, 5173, 5174, 5177, 5179, 5180, 5182, 5183, 5184, 5192 will not be affected. Mitigation planning grants provided through the PDM program, authorized under section 203 of the Stafford Act, 42 U.S.C. 5133, will also continue to be available.

(2) An Indian tribal government may choose to address severe repetitive loss properties in their plan, as identified in 44 CFR part 201.4(c)(3)(v), to receive the reduced cost share for the FMA and SRL programs.

(3) Indian tribal governments applying through the State as a subgrantee must have an approved Tribal Mitigation Plan meeting the requirements of this section in order to receive HMGP project grants. The Administrator, at his discretion may require a local mitigation plan for the Repetitive Flood Claims Program. A tribe must have an approved Tribal Mitigation Plan in order to apply for and receive FEMA mitigation project grants, under all other mitigation grant programs.

(4) Multi-jurisdictional plans (e.g. county-wide or watershed plans) may be accepted, as appropriate, as long as the Indian tribal government has participated in the process and has officially adopted the plan. Indian tribal governments must address all the elements identified in this section to ensure eligibility as a grantee or as a subgrantee.

(b) An effective planning process is essential in developing and maintaining a good plan. The mitigation planning process should include coordination with other tribal agencies, appropriate Federal agencies, adjacent jurisdictions, interested groups, and be integrated to the extent possible with other ongoing tribal planning efforts as well as other FEMA mitigation programs and initiatives.

(c) *Plan content.* The plan shall include the following:

(1) Documentation of the *planning process* used to develop the plan, including how it was prepared, who was involved in the process, and how the public was involved. This shall include:

(i) An opportunity for the public to comment on the plan during the drafting stage and prior to plan approval, including a description of how the Indian tribal government defined “public;”

(ii) As appropriate, an opportunity for neighboring communities, tribal and regional agencies involved in hazard mitigation activities, and agencies that have the authority to regulate development, as well as businesses, academia, and other private and nonprofit interests to be involved in the planning process;

(iii) Review and incorporation, if appropriate, of existing plans, studies, and reports; and

(iv) Be integrated to the extent possible with other ongoing tribal planning efforts as well as other FEMA programs and initiatives.

(2) A *risk assessment* that provides the factual basis for activities proposed in the strategy to reduce losses from identified hazards. Tribal risk assessments must provide sufficient information to enable the Indian tribal government to identify and prioritize appropriate mitigation actions to reduce losses from identified hazards. The risk assessment shall include:

(i) A description of the type, location, and extent of all natural hazards that can affect the tribal planning area. The plan shall include information on previous occurrences of hazard events and on the probability of future hazard events.

(ii) A description of the Indian tribal government's vulnerability to the hazards described in paragraph (c)(2)(i) of this section. This description shall include an overall summary of each hazard and its impact on the tribe. The plan should describe vulnerability in terms of:

(A) The types and numbers of existing and future buildings, infrastructure, and critical facilities located in the identified hazard areas;

(B) An estimate of the potential dollar losses to vulnerable structures identified in paragraph (c)(2)(i)(A) of this section and a description of the methodology used to prepare the estimate;

(C) A general description of land uses and development trends within the tribal planning area so that mitigation options can be considered in future land use decisions; and

(D) Cultural and sacred sites that are significant, even if they cannot be valued in monetary terms.

(3) A *mitigation strategy* that provides the Indian tribal government's blueprint for reducing the potential losses identified in the risk assessment, based on existing authorities, policies, programs and resources, and its ability to expand on and improve these existing tools. This section shall include:

(i) A description of mitigation goals to reduce or avoid long-term vulnerabilities to the identified hazards.

(ii) A section that identifies and analyzes a comprehensive range of specific mitigation actions and projects being considered to reduce the effects of each hazard, with particular emphasis on new and existing buildings and infrastructure.

(iii) An action plan describing how the actions identified in paragraph (c)(2)(ii) of this section will be prioritized, implemented, and administered by the Indian tribal government.

(iv) A discussion of the Indian tribal government's pre- and post-disaster hazard management policies, programs, and capabilities to mitigate the hazards in the area, including: An evaluation of tribal laws, regulations, policies, and programs related to hazard mitigation as well as to development in hazard-prone areas; and a discussion of tribal funding capabilities for hazard mitigation projects.

(v) Identification of current and potential sources of Federal, tribal, or private funding to implement mitigation activities.

(vi) An Indian tribal government may request the reduced cost share authorized under § 79.4(c)(2) of this chapter of the FMA and SRL programs if they have an approved Tribal Mitigation Plan meeting the requirements of this section that also identify actions the Indian tribal government has taken to reduce the number of repetitive loss properties (which must include severe repetitive loss properties), and specifies how the Indian tribal government intends to reduce the number of such repetitive loss properties.

(4) A *plan maintenance process* that includes:

(i) A section describing the method and schedule of monitoring, evaluating, and updating the mitigation plan.

(ii) A system for monitoring implementation of mitigation measures and project closeouts.

(iii) A process by which the Indian tribal government incorporates the requirements of the mitigation plan into other planning mechanisms such as reservation master plans or capital improvement plans, when appropriate.

(iv) Discussion on how the Indian tribal government will continue public participation in the plan maintenance process.

(v) A system for reviewing progress on achieving goals as well as activities and projects identified in the mitigation strategy.

(5) *Plan Adoption Process.* The plan must be formally adopted by the governing body of the Indian tribal government prior to submittal to FEMA for final review and approval.

(6) *Assurances.* The plan must include assurances that the Indian tribal government will comply with all applicable Federal statutes and regulations in effect with respect to the periods for which it receives grant funding, in compliance with part 13.11(c) of this chapter. The Indian tribal government will amend its plan whenever necessary to reflect changes in tribal or Federal laws and statutes as required in part 13.11(d) of this chapter.

(d) *Plan review and updates.* (1) Plans must be submitted to the appropriate FEMA Regional Office for formal review and approval. Indian tribal governments who would like the option of being a subgrantee under the State must also submit their plan to the State Hazard Mitigation Officer for review and coordination.

(2) The Regional review will be completed within 45 days after receipt from the Indian tribal government, whenever possible.

(3) Indian tribal governments must review and revise their plan to reflect changes in development, progress in local mitigation efforts, and changes in priorities, and resubmit it for approval within 5 years in order to continue to be eligible for non-emergency Stafford Act assistance and FEMA mitigation grant funding, with the exception of the Repetitive Flood Claims program.



MILITARY DIVISION, STATE OF IDAHO  
IDAHO BUREAU OF HOMELAND SECURITY

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208-422-3040

FMA Grant  
Closeout Checklist

Grant Cycle \_\_\_\_\_ Project Title \_\_\_\_\_ Project # \_\_\_\_\_

Upon completion of all projects in a FMA Grant cycle, the following steps will be taken to closeout the grant.

1. The BHS Director will send a letter to FEMA requesting that the project be closed. Information and documentation required includes:

	<u>Remarks</u>
<input type="checkbox"/> Project's Date of Completion	_____
<input type="checkbox"/> Final project cost and cost under runs	_____
<input type="checkbox"/> Confirmation of eligibility of expenses under sub-grant	_____
<input type="checkbox"/> Certification that all expenses have been paid	_____
<input type="checkbox"/> Certification that SOW was accomplished. If not, provide a statement explaining why.	_____
<input type="checkbox"/> All programmatic, environmental, and financial conditions of the sub-grants were met	_____
<input type="checkbox"/> Final Financial Status Report (see #2 below for information needed)	_____
<input type="checkbox"/> Final Financial Narrative/Spreadsheet	_____
<input type="checkbox"/> Final Performance Report	_____
<input type="checkbox"/> Project meets FMA requirements for NFIP insurability	_____
<input type="checkbox"/> Letter signed by BHS Director	_____

For planning projects, the following will also be required.

<input type="checkbox"/> Verify final copy of FEMA-approved and community-adopted plan has been submitted.	_____
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A copy of FEMA approval letter \_\_\_\_\_

For hazard mitigation projects, the following will also be required.

Site Inspection Report \_\_\_\_\_

Before and after photos of project site \_\_\_\_\_

Signed Statements of Voluntary Participation (SVP) from property owners identified in project SOW (if applicable, i.e. elevations or acquisitions). \_\_\_\_\_

Copies of required permits, if needed. \_\_\_\_\_

Elevation certificates, if needed. \_\_\_\_\_

Certificates of Occupancy, if needed. \_\_\_\_\_

Copies of recorded deeds, if needed. \_\_\_\_\_

Other necessary documentation \_\_\_\_\_

2. The Final Financial Reconciliation will include:

Total Projected Costs (see SOW) \_\_\_\_\_

Federal Share (see FEMA Award letter) \_\_\_\_\_

Local Share (see FEMA Award letter) \_\_\_\_\_

Grantee administration costs \_\_\_\_\_

Sub-grantee administration costs \_\_\_\_\_

3. A Final Inspection Report will be filled out for each sub-grant. For mitigation projects, an on-site inspection will be necessary and signatures from both the local representative and the state reviewer is required on the report.

On-site inspection of completed project \_\_\_\_\_

Submission of completed Final Inspection Report \_\_\_\_\_

4. Recoupment of Federal Funds - in the event that grant funds were not completely expended, BHS staff will work with the sub-grantee to recover any unused Federal share.

Notification sent to sub-grantee that BHS has determined the sub-grantee received federal and

state funds to which it was not entitled

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De-obligation of approved funding is processed

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Reimbursement request sent to sub-grantee by BHS

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**PDM Grant**

**Closeout Checklist**

**Grant Cycle** \_\_\_\_\_ **Project Title** \_\_\_\_\_ **Project #** \_\_\_\_\_

Upon completion of all projects in a PDM Grant cycle, the following steps will be taken to closeout the grant.

1. The BHS Director will send a letter to FEMA requesting that the project be closed. Information and documentation required includes:

	<u>Remarks</u>
<input type="checkbox"/> Project's Date of Completion	_____
<input type="checkbox"/> Final project cost and cost under runs	_____
<input type="checkbox"/> Confirmation of eligibility of expenses under sub-grant	_____
<input type="checkbox"/> Certification that all expenses have been paid	_____
<input type="checkbox"/> Certification that SOW was accomplished. If not, provide a statement explaining why.	_____
<input type="checkbox"/> All programmatic, environmental, and financial conditions of the sub-grants were met	_____
<input type="checkbox"/> Final Financial Status Report (see #2 below for information needed)	_____
<input type="checkbox"/> Final Financial Narrative/Spreadsheet	_____
<input type="checkbox"/> Final Programmatic Report	_____
<input type="checkbox"/> Letter signed by BHS Director	_____

For planning projects, the following will also be required.

<input type="checkbox"/> Verify final copy of FEMA-approved and community-adopted plan has been submitted.	_____
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A copy of FEMA approval letter \_\_\_\_\_

For hazard mitigation projects, the following will also be required.

Site Inspection Report \_\_\_\_\_

Before and after photos of project site \_\_\_\_\_

Signed Statements of Voluntary Participation (SVP) from property owners identified in project SOW (if applicable, i.e. elevation or acquisition). \_\_\_\_\_

Copies of required permits, if needed. \_\_\_\_\_

Elevation certificates, if needed. \_\_\_\_\_

Certificates of Occupancy, if needed. \_\_\_\_\_

Copies of recorded deeds, if needed. \_\_\_\_\_

Other necessary documentation \_\_\_\_\_

2. The Final Financial Reconciliation will include:

Total Projected Costs (see SOW) \_\_\_\_\_

Federal Share (see FEMA Award letter) \_\_\_\_\_

Local Share (see FEMA Award letter) \_\_\_\_\_

Grantee administration costs \_\_\_\_\_

Sub-grantee administration costs \_\_\_\_\_

3. A Final Inspection Report will be filled out for each sub-grant. For mitigation projects, an on-site inspection will be necessary and signatures from both the local representative and the state reviewer is required on the report.

On-site inspection of completed project \_\_\_\_\_

Submission of completed Final Inspection Report \_\_\_\_\_

4. Recoupment of Federal Funds - in the event that grant funds were not completely expended, BHS staff will work with the sub-grantee to recover any unused Federal share.

Notification sent to sub-grantee that BHS has determined the sub-grantee received federal and state funds to which it was not entitled \_\_\_\_\_



De-obligation of approved funding is processed



Reimbursement request sent to sub-grantee by BHS





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**HMGP Grant  
Closeout Checklist**

**Disaster Declaration** \_\_\_\_\_ **Project Title** \_\_\_\_\_ **Project #** \_\_\_\_\_

Upon completion of all projects in a FMA Grant cycle, the following steps will be taken to closeout the grant.

1. The BHS Director will send a letter to FEMA requesting that the project be closed. Information and documentation required includes:

	<u>Remarks</u>
<input type="checkbox"/> Project's Date of Completion	_____
<input type="checkbox"/> Final project cost and calculation of Federal share	_____
<input type="checkbox"/> Cost under runs	_____
<input type="checkbox"/> Confirmation of eligibility of expenses under sub-grant	_____
<input type="checkbox"/> Confirmation that SOW was accomplished	_____
<input type="checkbox"/> All programmatic, environmental, and financial conditions of the sub-grants were met	_____
<input type="checkbox"/> An inventory of Federally-owned property, if applicable	_____
<input type="checkbox"/> Final Performance Report - final quarterly report generated in NEMIS may be used	_____
<input type="checkbox"/> Final Inspection Report (see #3 below)	_____
<input type="checkbox"/> Final Programmatic Report	_____
<input type="checkbox"/> Letter signed by Governor's Authorized Representative (GAR)	_____

For planning projects, the following will also be required.

Verify final copy of FEMA-approved and community-

adopted plan has been submitted.

A copy of FEMA approval letter

For hazard mitigation projects, the following will also be required.

Latitude and longitude coordinates of property

Digital photograph of property / project location

Signed Statements of Voluntary Participation (SVP)  
from property owners identified in project SOW.  
(if applicable, i.e. elevation or acquisition).

Copies of required permits, if needed.

Copies of recorded deeds and deed restrictions, if needed.

Other necessary documentation

#### 2. Reconcile HMGP disaster funds between BHS and FEMA to verify data to BHS records

Total Projected Costs (see SOW)

Federal Share (see FEMA Award letter)

State Share (see FEMA Award letter)

Local Share (see FEMA Award letter)

Grantee administration costs

Sub-grantee administration costs

#### 3. A Final Inspection Report will be filled out for each sub-grant. For mitigation projects, an on-site inspection will be necessary and signatures from both the local representative and the state reviewer is required on the report.

On-site inspection of completed project

Submission of completed Final Inspection Report for each  
project

#### 4. Obligate any remaining Management Cost funds

Reconciliation of Management Costs funds as approved  
by FEMA for each disaster

5. Recoupment of Federal Funds - in the event that grant funds were not completely expended, BHS staff will

Notification sent to sub-grantee that BHS has determined the sub-grantee received federal and state funds to which it was not entitled

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De-obligation of approved funding is processed

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Reimbursement request sent to sub-grantee by BHS

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STATE OF IDAHO  
BUREAU OF HOMELAND SECURITY

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BOISE, IDAHO 83705-5004



C.L. "BUTCH" OTTER  
GOVERNOR

Maj Gen GARY L. SAYLER  
ADJUTANT GENERAL

Brig Gen BILL SHAWVER  
DIRECTOR

Date

Kenneth Murphy  
Regional Administrator  
FEMA, Region X  
130 228<sup>th</sup> St. SW  
Bothell, WA 98021

RE: **[Project grant number and description]** Closeout and De-obligation of Funds

Dear Mr. Murphy:

The State of Idaho Bureau of Homeland Security (BHS) requests closeout of project **[project no.]**.

In accordance with 44 CFR 206.438 (d), BHS certifies the following reported costs were incurred performing eligible work.

	<b>FEMA Obligated</b>	<b>Actually Expended</b>	<b>De-obligation Requested</b>
<b>Total Project Cost</b>			
<b>Federal Share</b>			
<b>State Share</b>			
<b>Local Share</b>			
<b>Grantee Admin Allowance</b>			

BHS certifies payment of the Federal and State share to the Subgrantee including the Administrative Allowance. The approved work was fully completed on **[project completion date]**. The programmatic and environmental conditions were met. The mitigation measures have been accomplished as described in the Sub-grant application's SOW and are in compliance with the provisions of the FEMA/State Agreement and award approval letter.

**[If de-obligation is necessary]** Additionally, please de-obligate remaining un-expended Project, Sub-grantee and Grantee Admin Allowance funds. The applicant incurred a cost under-run as a result of **[reason for cost under run]**.

Please find the following enclosures for your review:

Recipient's Name

Date

Page 2

- Final Financial Status Report
- Final Inspection Report(s)
- Final Progress Report
- Additional documentation and photographs, as required

Please contact Dave Jackson at (208) 422-3047 or [djackson@bhs.idaho.gov](mailto:djackson@bhs.idaho.gov) if you have any questions or need further information.

Sincerely,

Bill Shawver, Brigadier General  
Governor's Authorized Representative

Enclosures



STATE OF IDAHO  
BUREAU OF HOMELAND SECURITY

4040 W. GUARD STREET, BLDG. 600  
BOISE, IDAHO 83705-5004



C.L. "BUTCH" OTTER  
GOVERNOR

Maj Gen GARY L. SAYLER  
ADJUTANT GENERAL

Brig Gen BILL SHAWVER  
DIRECTOR

Date

Kenneth Murphy  
Regional Administrator  
FEMA, Region X  
130 228<sup>th</sup> St. SW  
Bothell, WA 98021

RE: **[Project grant number and description]** Closeout and De-obligation of Funds

Dear Mr. Murphy:

The State of Idaho Bureau of Homeland Security (BHS) requests closeout of project **[project no.]**.

In accordance with 44 CFR 206.438 (d), BHS certifies the following reported costs were incurred performing eligible work.

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<b>Total Project Cost</b>			
<b>Federal Share</b>			
<b>Non-Federal Share</b>			

BHS certifies payment of the Federal share to the Subgrantee. The approved work was fully completed on **[project completion date]**. The programmatic and environmental conditions were met. The mitigation measures have been accomplished as described in the Sub-grant application's SOW and are in compliance with the provisions of the FEMA/State Agreement and award approval letter.

**[If de-obligation is necessary]** Additionally, please de-obligate remaining un-expended Project, Sub-grantee and Grantee Admin Allowance funds. The applicant incurred a cost under-run as a result of **[reason for cost under run]**.

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- Copy of FEMA approval letter

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<b>Non-Federal Share</b>			

BHS certifies payment of the Federal share to the Subgrantee. The approved work was fully completed on **[project completion date]**. The programmatic and environmental conditions were met. The mitigation measures have been accomplished as described in the Sub-grant application's SOW and are in compliance with the provisions of the FEMA/State Agreement and award approval letter.

**[If de-obligation is necessary]** Additionally, please de-obligate remaining un-expended Project, Sub-grantee and Grantee Admin Allowance funds. The applicant incurred a cost under-run as a result of **[reason for cost under run]**.

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DIRECTOR

Date

Address Block

RE: **[Project grant number and description]** Closeout and De-obligation of Funds

Dear \_\_\_\_\_:

Congratulations on the successful completion of your project to **[project description]** using **[grant and disaster #]**. This notification constitutes final closeout of the **[grant & year]** award **[grant award #]** that **[sub-grantee]** received to complete **[project title]**.

In accordance with 44 CFR 206.438 (d), BHS certified the following reported costs were incurred performing eligible work.

	FEMA Obligated	Actually Expended	De-obligation Requested
<b>Total Project Cost</b>			
<b>Federal Share</b>			
<b>State Share</b>			
<b>Local Share</b>			
<b>Grantee Admin Allowance</b>			

BHS certified payment of the federal and state share to **[Sub-grantee]** including the Administrative Allowance, that the approved work was fully completed on **[project completion date]**, and that the programmatic and environmental conditions were met. FEMA was notified that the mitigation measures have been accomplished as described in the **[Sub-grantee]** Sub-grant application's SOW and that you are in compliance with the provisions of the FEMA/State Agreement and award approval letter.

**[If de-obligation is necessary]** Additionally, I have requested FEMA to de-obligate remaining un-expended Project, Sub-grantee and Grantee Admin Allowance funds. An amended award

Recipient's Name

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Page 2

reflecting the de-obligation of federal funds has been enclosed. Please sign and return to BHS at your earliest convenience.

All related records and documents must be retained for three years from the date of this letter. The retained records may be used to facilitate a federal audit required under the Single Audit Act of 1984, Public Law 89-502, and amendments of 1996, Public Law 104-156. As a sub-grantee, a non-federal audit may be required under the Single Audit Act, OMB A133. If a non-federal audit is required, please submit a copy of the audit to Legislative Services Office, Idaho State Legislature, P.O. Box 83720, Boise, ID 83720-0054 and a copy to our office.

We offer our sincere thanks and appreciation for the hard work and cooperation of your County Coordinator and everyone else that played a role in the management of this grant. If you have programmatic or administrative questions pertaining to this grant, please feel free to contact David Jackson at (208)422-3047 or [djackson@bhs.idaho.gov](mailto:djackson@bhs.idaho.gov). You may also contact [AFO name], your Area Field Officer.

Sincerely,

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Governor's Authorized Representative

BS/amc

CC:



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<b>Total Project Cost</b>			
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BHS certified payment of the federal share to **[Subgrantee]**, that the approved work was fully completed on **[project completion date]**, and that the programmatic and environmental conditions were met. FEMA was notified that the mitigation measures have been accomplished as described in **[Sub-grantee]** Sub-grant application's SOW and are in compliance with the provisions of the FEMA/State Agreement and award approval letter.

**[If de-obligation is necessary]** Additionally, I have requested FEMA de-obligate remaining un-expended Project, Sub-grantee and Grantee Admin Allowance funds. An amended award reflecting the de-obligation of federal funds has been enclosed. Please sign and return to BHS at your earliest convenience.

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BS/amc

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