

**The Department of Homeland Security  
Notice of Funding Opportunity  
FY 2018 Flood Mitigation Assistance**

**NOTE: If you are going to apply for this funding opportunity and have not obtained a Data Universal Numbering System (DUNS) number and/or are not currently registered in the System for Award Management (SAM), please take immediate action to obtain a DUNS number, if applicable, and then to register immediately in SAM. It may take 4 weeks or more after you submit your SAM registration before your registration is active in SAM, and then an additional 24 hours for Grants.gov to recognize your information. Information on obtaining a DUNS number and registering in SAM is available from Grants.gov at <http://www.grants.gov/web/grants/Applicants/organization-registration.html>. Detailed information regarding DUNS and SAM is also provided in Section D of this Notice of Funding Opportunity (NOFO), subsection, Content and Form of Application Submission.**

**A. Program Description**

**Issued By**

U.S. Department of Homeland Security (DHS),  
Federal Emergency Management Agency (FEMA),  
Federal Insurance and Mitigation Administration,  
Hazard Mitigation Assistance Division

**Catalog of Federal Domestic Assistance (CFDA) Number**

97.029

**CFDA Title**

Flood Mitigation Assistance

**Notice of Funding Opportunity Title**

FY 2018 Flood Mitigation Assistance

**NOFO Number**

DHS-18-MT-029-000-99

**Authorizing Authority for Program**

Section 1366 of *The National Flood Insurance Act* of 1968, as amended (Pub. L. No. 90-448)  
(42 U.S.C. 4104c)

**Appropriation Authority for Program**

Consolidated Appropriations Act, 2018 (Pub. L. No. 115-141)

**Award Type**

New

**Program Overview, Objectives, and Priorities**

The Flood Mitigation Assistance (FMA) Program makes Federal funds available to State, local, and tribal governments to reduce or eliminate the risk of repetitive flood damage to buildings and structures insured under the National Flood Insurance Program (NFIP). The

FMA program strengthens national preparedness and resilience and supports the mitigation mission area through Strategic Goal #1 Building a Culture of Preparedness, Objectives 1.1, 1.2, 1.3, and 1.4 of the 2018 – 2022 FEMA Strategic Plan.

In Fiscal Year (FY) 2018, the FMA Program will prioritize proposals that address community flood risk by setting aside \$70 million for this purpose. FEMA will seek to fund two types of community flood mitigation activities:

- Advance Assistance for flood mitigation design and development of community flood mitigation projects that will subsequently reduce flood claims.
- Mitigation projects that address community flood risk for the purpose of reducing NFIP flood claim payments.

The remaining funding, at least \$90 million, will be used for FMA technical assistance, mitigation planning, and mitigation projects that reduce the risk of flooding to severe repetitive loss (SRL) and repetitive loss (RL) properties. See Section E, Application Review Information, of this NOFO for more information on FY 2018 FMA funding priorities.

**Performance Measure:**

FEMA has specified minimum project criteria via regulation (44 CFR Part 79 and 44 CFR Section 206.434), including that Applicants must demonstrate mitigation projects are cost effective. Benefit-Cost Analysis (BCA) is the method by which the future benefits of a hazard mitigation project are determined and compared to its costs. The end result is a Benefit-Cost Ratio (BCR), which is calculated by a project's total benefits divided by its total costs. The BCR is a numerical expression of the "cost-effectiveness" of a project. A project is considered to be cost effective when the BCR is 1.0 or greater, indicating the benefits of a prospective hazard mitigation project are sufficient to justify the costs. Projects that are not cost-effective will not be eligible.

**B. Federal Award Information**

**Award Amounts, Important Dates, and Extensions**

**Available Funding for the NOFO:** \$160,000,000  
**Projected number of Awards:** 120  
**Period of Performance:** 42 Months

The Period of Performance begins with the opening of the application period and ends no later than 36 months from the Funding Selection Date (see Section D, Application and Submission Information, of this NOFO).

An extension to the Period of Performance for grants under this program is allowed. For details on the requirements for requesting an extension to the Period of Performance, please refer to Section H, Additional Information Extensions, of this NOFO.

**Projected Period of Performance Start Date:** 10/01/2018  
**Projected Period of Performance End Date:** 04/01/2022

**Funding Instrument**

Grant

## **C. Eligibility Information**

### **Eligible Applicants**

- States
- District of Columbia
- U.S. Territories
- Federally-recognized Native American Tribal governments

Each State, territory, Commonwealth, or Native American Tribal government shall designate one agency to serve as the Applicant for FMA funding. Certain political subdivisions (i.e., regional flood control districts or county governments) may apply and act as subapplicants if they are part of a community that is participating in the NFIP where the political subdivision provides zoning and building code enforcement or planning and community development professional services for that community.

Local governments, including cities, townships, counties, special district governments, and Native American Tribal organizations are considered subapplicants and must submit subapplications for mitigation planning and projects to their State/territory/tribe Applicant agency. Contact information for the State Hazard Mitigation Officers (SHMOs) is provided on the FEMA website at <http://www.fema.gov/state-hazard-mitigation-officers>.

### **Eligibility Criteria**

To be considered for funding, all Applicants must submit their FY 2018 FMA grant application to FEMA via the Mitigation eGrants system (see Section D, Application and Submission Information, of this NOFO).

All subapplicants must be participating in the NFIP, and, to be eligible to apply for FMA grant funds. Structures identified in the sub application must have an NFIP policy in force at the opening of the application period, October 1, 2018, and must maintain it through completion of the mitigation activity and for the life of the structure.

- All subapplications submitted under the community flood mitigation Advance Assistance priority (see Section E, Application Review Information, of this NOFO) must prove that future projects submitted would include NFIP-insured properties that would be in the project area and the project's benefiting area.
- All subapplications submitted under the community flood mitigation project priority (see Section E, Application Review Information, of this NOFO) must include a list of NFIP-insured properties that are included in the project area and the project's benefiting area as well as a project boundary map that portrays these properties.

All Applicants and subapplicants submitting project subapplications must have a FEMA-approved mitigation plan by the application deadline and at the time of obligation in accordance with Title 44 of the Code of Federal Regulations (CFR) Part 201. Project applications submitted by Applicants or subapplicants that do not have an approved and adopted mitigation plan as of the application deadline are ineligible.

All mitigation projects submitted as part of a FMA grant application must be consistent with the goals and objectives identified in: the current, FEMA-approved State or Tribal (Standard

or Enhanced) Mitigation Plan, and the local mitigation plan for the jurisdiction in which the project is located. Current mitigation plans are not required for Applicants and subapplicants submitting planning subapplications to develop a new mitigation plan or to update a mitigation plan.

To be eligible to receive community flood mitigation project funding, communities must be in favorable standing with the NFIP. NFIP community status can be verified at <https://www.fema.gov/national-flood-insurance-program-community-status-book>.

### **Cost Share or Match**

Cost share is required under this program. Recipients (see Section F Federal Award Administration Information, of this NOFO for definition) must provide a cost share of 25 percent of eligible activity costs derived from non-Federal sources with FEMA contributing up to a 75 percent Federal cost share. The cost share applies to all projects under this program, including community flood mitigation projects.

The non-Federal cost-share contribution is calculated based on the total cost of the proposed activity. For example, if the total cost is \$400,000 and the non-Federal cost share is 25 percent, then the non-Federal contribution is \$100,000: 25 percent of \$400,000 is \$100,000.

FEMA may contribute up to 100 percent Federal cost share for SRL properties. FEMA may contribute up to 90 percent Federal cost share for RL properties.

An SRL property is a structure that:

- (a) Is covered under a contract for flood insurance made available under the NFIP; and
- (b) Has incurred flood-related damage
  - i. For which four or more separate claims payments (includes building and contents) have been made under flood insurance coverage with the amount of each such claim exceeding \$5,000, and with the cumulative amount of such claims payments exceeding \$20,000, or
  - ii. For which at least two separate claims payments (includes only building) have been made under such coverage, with the cumulative amount of such claims exceeding the market value of the insured structure.

A RL property is a structure covered by a contract for flood insurance made available under the NFIP that:

- (a) Has incurred flood-related damage on two occasions, in which the cost of the repair, on the average, equaled or exceeded 25 percent of the market value of the structure at the time of each such flood event; and
- (b) At the time of the second incidence of flood-related damage, the contract for flood insurance contains Increased Cost of Compliance coverage.

To receive an increased Federal cost share, properties must meet one of the definitions for SRL or RL properties. Applicants and subapplicants that are requesting an increased Federal cost share must submit documentation with their application or subapplication demonstrating that properties meet these definitions. If documentation is not submitted with the application or subapplication to support a reduced non-Federal cost share, FEMA will provide no more

than 75 percent Federal cost share of the total eligible costs. The remaining 25 percent of eligible activity costs are derived from non-Federal sources.

Structures with different Federal cost-share requirements can be submitted in a single project subapplication. The overall project Federal cost share documented in the Cost Share Section of the project subgrant application in eGrants should reflect the combined Federal cost shares of the structures. For example, a project with \$100,000 costs for one SRL structure funded at 100 percent Federal cost share plus \$100,000 costs for one RL structure funded at 90 percent Federal cost share will have an overall project Federal cost share of 95 percent, or \$190,000, of the \$200,000 total cost for both structures.

For insular areas, including American Samoa, Guam, the Northern Mariana Islands, Puerto Rico, and the U.S. Virgin Islands, FEMA automatically waives the non-Federal cost share when the non-Federal cost share for the entire grant is under \$200,000. If the non-Federal cost share for the entire grant is \$200,000 or greater, FEMA may waive all or part of the cost share. If FEMA does not waive the cost share, the insular area must pay the entire non-Federal cost-share amount, not only the amount over \$200,000.

More detailed information is provided in Part III, C, and Cost Sharing, of the HMA Guidance, available on the FEMA website at <http://www.fema.gov/media-library/assets/documents/103279>.

#### **D. Application and Submission Information**

##### **Key Dates and Times**

<b>Date Posted to Grants.gov:</b>	08/03/2018
<b>Application Start Date:</b>	10/01/2018
<b>Application Submission Deadline:</b>	01/31/2019 at 03:00:00 p.m. [Eastern Standard Time]
<b>Anticipated Funding Selection Date:</b>	05/01/2019
<b>Anticipated Award Date:</b>	12/30/2019

To be considered timely, a FMA grant application must be submitted by the application deadline via the Mitigation eGrants system, and the Applicant must have received a confirmation message in eGrants that indicates successful FMA grant submission to FEMA. FEMA recommends that Applicants attach approved planning, project, and management costs subgrant applications to their FMA grant applications at least 72 hours prior to the application deadline to allow time for the Applicant to review and correct issues that may prevent subgrant applications from being attached to a FMA grant application (see the Content and Form of Application Submission subsection below).

An Applicant that experiences technical issues beyond the Applicant's control that prevents submission of the FMA grant application by the deadline may request approval to submit a late application. To request approval to submit a late application, an Applicant must email the HMA Helpline (see Section G, Additional Information, of this NOFO) within 24 hours after the application deadline.

### Other Key Dates

Event	Suggested Deadline for Completion
Obtain Dun and Bradstreet Universal Numbering System (DUNS) Number	Four weeks before actual submission deadline
Obtain a valid Employer Identification Number (EIN)	Four weeks before actual submission deadline
Register with the System for Award Management (SAM)	Four weeks before actual submission deadline
Register for access to the FEMA Grants Portal and request access to the Mitigation eGrants system	Four weeks before actual submission deadline
Create an FMA grant application and attach approved planning, technical assistance, project, and management costs subgrant applications in the Mitigation eGrants system	Seventy-two hours before actual submission deadline

### Address to Request Application Package

The application package is built into the Mitigation eGrants system, which all Applicants must use to submit FMA grant applications electronically to FEMA. The Mitigation eGrants system is available through the FEMA Grants Portal on the Internet at <https://portal.fema.gov> (see the Content and Form of Application Submission subsection below). FEMA will only process applications received via the Mitigation eGrants system. Mitigation eGrants system Information, training and resources on the Mitigation eGrants system are available on the FEMA website at <http://www.fema.gov/mitigation-egrants-system-0> or from the Mitigation eGrants Helpdesk (see section G, DHS Awarding Agency Contact Information, of this NOFO).

For a hardcopy of the full NOFO, please write or fax a request to:

**Michael Grimm**

Assistant Administrator for Mitigation  
Federal Insurance and Mitigation Administration  
400 C Street, SW  
Washington, DC 20472  
FAX: (202) 646-2880

In addition, the following Telephone Device for the Deaf (TDD) and/or Federal Information Relay Service (FIRS) number available for this Notice is 1-800-462- 7585.

### Content and Form of Application Submission

All Applicants must submit an FMA grant application to FEMA via the Mitigation eGrants system on the Internet at <https://portal.fema.gov> by the application deadline to be considered for FMA funding.

The required format for grant and subgrant applications is built into the Mitigation eGrants system, Mitigation planning activities must be submitted in a planning subgrant application;

- Community flood mitigation Advance Assistance activities must be submitted in a planning subgrant application;
- Community flood mitigation project activities and SRL or RL property mitigation projects must be submitted in a project subgrant application;
- Applicant management costs (for Applicants only) must be submitted in a management costs subgrant application;
- Technical assistance costs (for Recipients to which FEMA obligated at least \$1 million FMA awards in FY 2017) must be submitted in a technical assistance subgrant application;
- FMA grant applications, including applicant-approved planning, project, management costs, and technical assistance subapplications must be submitted in an FY 2018 FMA grant application.

Blank copies of applications that conform to the Mitigation eGrants system format are available for reference only. FEMA will not accept these as an application package. To access these, registered eGrants system users should login to the FEMA portal at <https://portal.fema.gov> and then click the “Blank Applications” link on the eGrants system Homepage. For those without access to the eGrants system, the blank copies of eGrants applications are also available on the FEMA website at <https://www.fema.gov/hazard-mitigation-grant-program/grant-applicants-blank-applications>.

Wherever possible, supporting documentation for applications should be attached electronically in the Mitigation eGrants system. Over-sized items that cannot be scanned may be mailed to respective FEMA Regional offices as necessary (<https://www.fema.gov/fema-regional-office-contact-information>); however, Applicants must provide information regarding the paper attachments and the date mailed to FEMA in the Comments and Attachment section of the application in the eGrants system. Also, the documents must be postmarked by the submission deadline to be considered as part of the application. The Applicant is responsible for following up with FEMA to ensure that paper documents were received for consideration during the review process.

#### **National Environmental Policy Act Requirements for Mitigation Projects.**

Applicants and subapplicants applying for mitigation projects must provide information needed to comply with the National Environmental Policy Act (NEPA) (42 U.S.C. 4321–4370h) and the related DHS and FEMA instructions and directives (i.e., DHS Directive 023-01, DHS Instruction Manual 023-01-001-01, FEMA Directive 108-1, FEMA Instruction 108-1-1). The required information is included in the project subgrant application in the eGrants system under the Environmental Information section.

#### **Benefit Cost Analysis for Mitigation Projects.**

Applicants and subapplicants applying for mitigation projects must provide a Benefit Cost Analysis (BCA) or other documentation that validates cost-effectiveness. BCA is the method of estimating the future benefits of a project compared to its cost. The end result is a benefit-cost ratio (BCR), which is derived from a project’s total net benefits divided by its total project cost. The total benefits and costs must be entered in the Cost-Effectiveness section of

the project subapplication and a FEMA-approved BCA must be attached as documentation, as applicable. Planning and management costs subapplications do not require a BCA.

FEMA has created software to ensure that the BCR is calculated in accordance with FEMA's standardized methodologies and OMB Circular A-94, Guidelines and Discount Rates for Benefit-Cost Analysis of Federal Programs, available on the Internet at <https://www.whitehouse.gov/omb/information-for-agencies/circulars>. FEMA's Benefit Cost Toolkit is available on the FEMA website at [www.fema.gov/benefit-cost-analysis](http://www.fema.gov/benefit-cost-analysis). Versions 5.2.1 and Version 5.3 are the only versions FEMA will accept as documentation for demonstrating cost effectiveness. A non-FEMA BCA methodology may only be used if pre-approved by FEMA in writing. More detailed information is available in Part IV, I, Cost Effectiveness, of the HMA Guidance, available on the FEMA website at <http://www.fema.gov/media-library/assets/documents/103279>.

### **Application for Federal Assistance and Assurances and Certifications Forms.**

Applicants must complete the following forms and attach them to their FMA grant application in the Mitigation eGrants system for submittal by the application deadline:

- Application for Federal Assistance (SF-424),
- Budget Information:
  - Budget Information for Non-Construction Programs (SF-424A), *OMB #4040-0006*, or Budget Information for Construction Programs (SF- 424C), and
- Assurances and Certifications:
  - Assurances for Non-Construction Programs (SF-424B), , or Assurances for Construction Programs (SF-424D),
  - Certifications Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (FEMA Form 20-16C), and
  - Disclosure of Lobbying Activities (SF-LLL), (if the Applicant has engaged in or intends to engage in lobbying activities).

The SF-424 family of forms is available on the Grants.gov website at <http://www.grants.gov/web/grants/forms/sf-424-family.html>. The FEMA Form FF 20-16C, Certifications Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements is available from the FEMA library online at <https://www.fema.gov/media-library/assets/documents/9754>.

Applicants may require their subapplicants to complete and attach the grant application and/or Assurance and Certifications forms to their planning and project subapplications in the eGrants system. To turn on/off this requirement in the eGrants system, Applicants must click the "Administration" link on the eGrants Homepage to set their preferences for enabling/disabling the forms. Information, training and resources on the Mitigation eGrants system are available on the FEMA website at <http://www.fema.gov/mitigation-egrants-system-0>.

Subapplicants should contact their Applicant agency for information specific to their State/territory's application process. Contact information for the SHMOs is provided on the FEMA website at <http://www.fema.gov/state-hazard-mitigation-officers>.

### **Unique Entity Identifier and System for Award Management (SAM)**

Each Applicant for this award must:

1. Be registered in SAM before submitting its application;
2. Provide a valid DUNS number in its application; and
3. Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a DHS Federal Award Office (FAO).

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

### **How to Register to Apply**

1. *Instructions:* Read the instructions below about registering to apply for DHS funds. Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information.

The registration process can take up to 4 weeks to complete. Therefore, registration should be done in sufficient time to ensure it does not affect your ability to meet required application submission deadlines.

Organizations must have a Data Universal Numbering System (DUNS) number, active System for Award Management (SAM) registration, and Mitigation eGrants (MT eGrants) system registration account to apply for grants.

If individual Applicants are eligible to apply for this grant funding opportunity, refer to the NOFO subsection below: **How to Submit an Application to DHS via MT eGrants.**

2. *Obtain a DUNS Number:* All entities applying for funding, including renewal funding, must have a Data Universal Numbering System (DUNS) number from Dun and Bradstreet (D&B). Applicants must enter the DUNS number in the data entry field labeled "Organizational DUNS" on the SF-424 form built into the Mitigation eGrants system.

For more detailed instructions for obtaining a DUNS number, refer to <https://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>

3. *Register with SAM:* In addition to having a DUNS number, all organizations applying online through Grants.gov must register with SAM. Failure to register with

SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually.

For more detailed instructions for registering with SAM, refer to <https://www.grants.gov/web/grants/Applicants/organization-registration/step-1-obtain-duns-number.html>.

4. *Register on the FEMA Grants Portal:* The next step in the registration process is to create an account for the FEMA Grants Portal at <https://portal.fema.gov>.
5. *Request access to the Mitigation eGrants System:* After registering on the FEMA Grants Portal, Applicants and subapplicants will need to request access to the Mitigation eGrants system on the FEMA Portal. This step is crucial for valid and timely submissions because all applications must be submitted via the Mitigation eGrants system on the FEMA Grants Portal.

Therefore, Applicants and subapplicants are encouraged to register on the FEMA Grants Portal and request access to the Mitigation eGrants system at the time of this announcement to ensure the ability to meet required submission deadlines.

An Access ID is required to request access to the Mitigation eGrants system. Applicants should contact their appropriate FEMA Regional Office, and subapplicants should contact their Applicant agency to get the appropriate Access ID. Contact information for the FEMA Regional Offices is provided on the FEMA website at <https://www.fema.gov/about-agency>. Contact information for the SHMOs is provided on the FEMA website at <http://www.fema.gov/state-hazard-mitigation-officers>.

To read more detailed instructions for creating a profile on the FEMA Portal and registering for eGrants, see the job aid: “Registering for eGrants Accounts” on the FEMA website at <https://www.fema.gov/media-library/assets/documents/17425?id=3865>. If you experience technical difficulties with the Mitigation eGrants system, please contact the helpdesk by telephone 1-855-228-3362 or email [MTeGrants@fema.dhs.gov](mailto:MTeGrants@fema.dhs.gov).

For Applicant registrations, FEMA Mitigation staff will then log in to MT eGrants and authorize the appropriate roles. For subapplicant registrations, Applicant users of the MT eGrants system will log in and authorize appropriate roles. Only individuals who are able to make legally binding commitments on behalf of the organization as an Authorized Organizational Representative (AOR) are given “Sign/Submit” privileges and are able to submit applications in the Mitigation eGrants system. Other organizational staff will be given “Create/Edit” permission or “View/Print” privileges to assist with creating and managing applications.

Approved users will receive an email from the eGrants system that indicates what system privileges have been authorized. Once access is approved, users can login to the Mitigation eGrants system to create and manage their applications online. Only AORs, individuals who can make legally binding commitments for the Applicant/subapplicant organization, are able to submit applications online. Applicants should contact their appropriate FEMA Regional Office, and

subapplicants should contact their State/territory agency regarding the status of their registrations.

6. *Electronic Signature:* When applications are submitted through MT eGrants, the name of the AOR that submitted the application is inserted into the signature line of the application, serving as the electronic signature.

### **How to Submit an Application to DHS via MT eGrants**

1. Subapplicants must create planning, project, and/or technical assistance subgrant applications and submit them to their Applicant organization. To do this, subapplicants must click the “Create new Subgrant” link on the eGrants Homepage in the eGrants system.

Subapplicants should contact their Applicant agency for information specific to their State/territory’s application process. Contact information for the SHMOs is provided on the FEMA website at <http://www.fema.gov/state-hazard-mitigation-officers>.

If a subapplicant does not use the eGrants system to submit planning and project subapplications to the Applicant, then the Applicant must enter the subapplication(s) into the eGrants system on the subapplicant’s behalf. To do this, Applicants must click the “Create new Paper Subgrant” link on the eGrants Homepage in the eGrants system.

2. Applicants must review and approve planning, project, and technical assistance subgrant applications submitted by their subapplicants.

Applicants must ensure that accurate NFIP policy numbers and Repetitive Loss (RL) numbers are included in the Properties section of project subapplications in eGrants to be considered for competitive property flood mitigation project funding (see Section E, Review and Selection Process, of this NOFO).

3. Applicants must create an FMA grant application and then add approved planning, project, technical assistance, and management costs subgrant applications submitted by the Applicant and/or subapplicants to the FMA grant application.
4. Applicants must rank all of the subgrant applications included in their grant application in the eGrants system.

Applicants may indicate their State/territory/tribe’s priorities for funding in the Comments to FEMA section of the grant application; the subgrant ranking should not be used for that purpose.

Applicants may include no more than two community flood mitigation subapplications for competitive consideration: one Advance Assistance subapplication and one project subapplication that addresses flood risk on a community level. If multiple community flood mitigation subapplications are submitted for Advance Assistance or projects, FEMA will only consider the Applicant’s highest ranked subapplication in eGrants for competitive consideration (see Section E, Review and Selection Process, of this NOFO for further information). Applicants submitting community flood mitigation Advance Assistance and project subgrant applications must identify these subgrant applications as such in the subapplication title. For example: “Applicant X FY17 FMA – Community Flood

Mitigation Project” or “State X FY17 FMA – Community Flood Mitigation Advance Assistance” (see Section E, Review and Selection Process, of this NOFO for further information).

5. The AOR must sign and submit the FMA grant application to FEMA via eGrants by the application deadline.

Applicants who experience eGrants system technical issues should contact the Mitigation eGrants Helpdesk by telephone 1-855-228-3362 or email [MTeGrants@fema.dhs.gov](mailto:MTeGrants@fema.dhs.gov) to report the issue and receive a ticket number.

### **Timely Receipt Requirements and Proof of Timely Submission**

*Online Submissions.* All applications must be submitted to FEMA by **3 p.m. Eastern Standard Time** on the due date. Proof of timely submission is automatically recorded by MT eGrants. An electronic date/time stamp is generated within the system when the application is successfully submitted.

The Applicant with the AOR role who submitted the FMA grant applications prior to the submission deadline will receive a confirmation message, including the assigned FMA application number in the eGrants system (e.g., FMA-01-MA-2018). In addition, once FEMA receives and delegates the FMA grant application to begin the review process, the eGrants system will automatically send an email message to the Point(s) of Contact (POC) identified in the grant application.

The Mitigation eGrants system is programmed not to allow submittal of an FMA grant application after the submission deadline. Applicants who attempt to submit an FMA grant application after the deadline will receive an error message. Applicants using slow Internet, such as dial-up connections, should be aware that transmission of applications to MT eGrants could take some time.

Applicants who experience unforeseen eGrants system technical issues beyond the Applicant’s control that prevents submission of the FMA grant application by the deadline may request approval to submit a late application. To request approval to submit a late application, an Applicant must email the HMA Helpline (see Section G, DHS Awarding Agency Contact Information, of this NOFO) within 24 hours after the application deadline. The email must describe the technical difficulties and include both a timeline of submission efforts that occurred prior to the deadline and the Helpdesk ticket number. FEMA will review the request and contact the eGrants helpdesk to verify the reported technical issues before informing the Applicant whether the request to submit a late application has been approved.

### **Intergovernmental Review**

An intergovernmental review may be required. Applicants must contact their State’s Single Point of Contact to comply with the State’s process under Executive Order 12372 (see <http://www.fws.gov/policy/library/rgeo12372.pdf>).

### **Funding Restrictions**

Federal funds made available through this award may only be used for the purpose set forth in this award and must be consistent with the statutory authority for the award. Award funds may not be used for matching funds for any other Federal grants/cooperative agreements,

lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity.

### **Program Funding Restrictions**

The maximum Federal cost share for FMA subapplications is as follows:

- Up to \$100,000 per Applicant for community mitigation Advance Assistance applications;
- Up to \$10 million per Applicant for community mitigation project applications;
- \$50,000 for technical assistance for Recipients to which FEMA obligated at least \$1 million in FMA awards in FY 2017;
- \$50,000 for State flood hazard mitigation planning;
- \$25,000 for local flood hazard mitigation planning;
- 10 percent of the grant application budget for Applicant management costs for Applicants to administer and manage grant and subgrant activities (see the Management and Administration Costs subsection below); and
- 5 percent of plan and project subapplication budget for subapplicant management costs for subapplicants to manage their plan or project activity (see the Management and Administration Costs subsection below).

Allowable costs are:

- Project design under Advance Assistance
- Planning costs
- Training-related costs
- Domestic travel costs
- Construction and renovation costs
- Equipment costs

Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high-cost items and those subject to rapid technical advances. Large equipment purchases must be identified and explained. For more information regarding property management standards for equipment, please reference 2 CFR Part 200, available on the Internet at [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)

Unallowable costs are:

- Exercise-related costs
- Operational overtime costs

More detailed information is available in Part III, E.1, Eligible Activities, of the HMA Guidance, available on the FEMA website at <http://www.fema.gov/media-library/assets/documents/103279>.

### **Pre-Award Costs**

Pre-award costs directly related to developing the FMA grant application or subapplication that are incurred after the application period has opened but prior to the date of the grant award are allowed. Such costs may have been incurred prior to application submission, for example, gathering NEPA data or developing a BCA (see Section D, Application and Submission Information, of this NOFO), preparing design specifications, or conducting workshops or meetings related to development and submission of subapplications.

Pre-award costs may be cost shared or Applicants and subapplicants may identify them as their non-Federal cost share (see Cost Share or Match subsection in Section C, Eligibility Information, of this NOFO).

Costs associated with implementation of the submitted grant application or subapplication that are incurred prior to the date of the grant award are not allowed. Mitigation activities initiated or completed prior to the date of the grant award are not eligible.

Applicants and subapplicants who are not awarded grants or subgrants (awards/subawards) will not receive reimbursement for the corresponding pre- award costs. More detailed information is provided in Part IV, F.2, Pre-Award Costs, of the HMA Guidance, available on the FEMA website at <http://www.fema.gov/media-library/assets/documents/103279>.

### **Management and Administration Costs.**

Management costs are any indirect costs and administrative expenses that are reasonably incurred in administering an award or subaward. Applicant and subapplicant management cost activities directly related to the implementation of the FMA program, such as subapplication development, geocoding mitigation projects, delivery of technical assistance, and managing awards and staff salary costs are eligible for FMA funding in accordance with the HMA Guidance, available on the FEMA website at <http://www.fema.gov/media-library/assets/documents/103279>.

Applicants may apply for Applicant management costs of up to 10 percent of the total FMA grant application for management of the grant and all selected subgrants. Applicant requests for management costs must be submitted in a separate management costs subgrant application in the eGrants system (see the Content and Form of Application Submission subsection).

Applicants and subapplicants may include for subapplicant management costs of up to 5 percent of the cost of a planning or project subapplication to manage the proposed activity. For Applicants, this is in addition to the 10 percent Applicant management costs to manage the overall grant. Subapplication management cost activities must be added to the Scope of Work section and reflected in the Cost Estimate section of planning and project subgrant applications in the Mitigation eGrants system.

Management costs are only awarded in conjunction with awarded project or planning subapplications. Applicants and subapplicants who do not receive awards/subawards for any planning or project subapplications will not receive reimbursement for management costs (see the Review and Selection Process subsection in Section E of this NOFO).

### **Indirect Facilities and Administrative Costs.**

Indirect costs are allowable under this program as described in 2 CFR 200.414. With the exception of Recipients who have never received a negotiated indirect cost rate as described

in 2 CFR 200.414(f), Recipients must have an approved indirect cost rate agreement with their cognizant Federal agency to charge indirect costs to this award. A copy of the approved rate (a fully executed agreement negotiated with the Applicant's cognizant Federal agency) is required at the time of application and must be provided to FEMA before indirect costs are charged to the award.

### **Other Submission Requirements**

#### Environmental Planning and Historic Preservation (EHP) Compliance

Applicants and subapplicants proposing projects that have the potential to affect the environment, including but not limited to modification or renovation of existing buildings, structures and facilities, or new construction, including replacement of facilities, must participate in the FEMA EHP review process. The EHP review process involves the submission of a detailed project description that explains the goals and objectives of the proposed project along with supporting documentation so that FEMA may determine whether the proposed project has the potential to adversely affect environmental resources and/or historic properties. EHP Job Aids and Supplements are available on the FEMA website at <https://www.fema.gov/media-library/assets/documents/102051>.

#### Mitigation Plan Requirement.

All Applicants and subapplicants must have a FEMA-approved mitigation plan at the time of obligation of grant funds (as well as by the application deadline) to receive a project award under this program in accordance with 44 CFR Part 201. FEMA may allow an exception for extraordinary circumstances for communities and tribes whose plan expired after the application deadline to allow award of the project. More detailed information is provided in Part III, E.5.3, Extraordinary Circumstances, of the HMA Guidance, available on the FEMA website at <http://www.fema.gov/media-library/assets/documents/103279>.

#### Acquisition Project Requirements.

The subrecipient must provide FEMA with a signed copy of the Statement of Voluntary Participation for each property post- award. The Statement of Voluntary Participation formally documents the Notice of Voluntary Interest and information related to the purchase offer. The Statement of Voluntary Participation is available on the FEMA website at <https://www.fema.gov/media-library/assets/documents/13708>.

Subrecipients must apply deed-restriction language to all acquired properties to ensure that the property is maintained in perpetuity as open space consistent with natural floodplain functions, as agreed to by accepting FEMA mitigation award funding. Deed-restriction language is applied to acquired properties by recording the open space and deed restrictions. The FEMA Model Deed Restriction is available on the FEMA website at <https://www.fema.gov/media-library/assets/documents/28496>.

## **E. Application Review Information**

### **Application Evaluation Criteria**

Prior to making a Federal award, the DHS FAO is required by 31 U.S.C. 3321 and 41 U.S.C 2313 to review information available through any OMB-designated repositories of government-wide eligibility qualification or financial integrity information. Therefore,

application evaluation criteria may include the following risk-based considerations of the Applicant:

1. Financial stability
2. Quality of management systems and ability to meet management standards
3. History of performance in managing Federal award
4. Reports and findings from audits
5. Ability to effectively implement statutory, regulatory, or other requirements

### **Review and Selection Process**

FEMA will review each application to ensure compliance with applicable regulations at 44 CFR Part 79 and the HMA Guidance, including eligibility of the Applicant and subapplicant, eligibility of proposed activities and costs, completeness of the subapplication, cost-effectiveness and engineering feasibility of mitigation projects, and eligibility and availability of non-Federal cost share. For more detailed information, see Part VI, Application Review Information, of the HMA Guidance, available on the FEMA website at <http://www.fema.gov/media-library/assets/documents/103279>.

FEMA will select subapplications up to the available funding amount of \$160 million in the following order.

#### **1. Community Flood Mitigation – Advance Assistance**

FEMA will select the highest ranked eligible subapplication(s) for Advance Assistance from each Applicant not to exceed \$100,000 total Federal cost share. Maximum funding for all FMA Advance Assistance is \$2 million. All subapplications must be designated as Advance Assistance within the title of the subapplication and use the correct code (**904.2 - Advance Assistance**) within eGrants to be considered.

Advance Assistance can be used to develop mitigation strategies and obtain data to prioritize, select, and develop community flood hazard projects for future funding. FEMA will select subapplications that address flood risk on a community level based on final priority scoring criteria and that benefit communities with high participation and favorable standing in the NFIP. Consideration of Advance Assistance early in the decision-making process can help facilitate the development of a viable project, as well as project implementation. FY 2018 community flood mitigation Advance Assistance projects are not eligible for FY 2018 community flood mitigation project funding. There is no guarantee for future HMA project funding if Advance Assistance is awarded. All subapplications submitted under the community flood mitigation Advance Assistance priority must prove that future projects submitted would include NFIP-insured properties that would be in the project area and the project's benefiting area.

#### **2. Community Flood Mitigation – Projects**

FEMA will select the highest ranked eligible community flood mitigation subapplication(s) from each Applicant up to \$10 million Federal cost share based on final priority scoring criteria (see table below), as needed, and that benefit communities with high participation and favorable standing in the NFIP. All

subapplications submitted under the community flood mitigation project priority must include a list of NFIP-insured properties that are included in the project area and the project's benefiting area as well as a project boundary map that portrays these properties. Applicants are not required to apply for Advance Assistance funding to be eligible to receive a project award. All subapplications must be designated as community flood mitigation within the title of the subapplication and use the appropriate code within eGrants to be considered.

Eligible activities include, but are not limited to:

- Infrastructure protective measures
- Localized flood control to protect critical facilities
- Floodwater storage and diversion
- Floodplain and stream restoration
- Water and sanitary sewer system protective measures
- Utility protective measures
- Stormwater management
- Aquifer storage and recovery
- Wetland restoration/creation

Subapplications submitted for either the FMA Advance Assistance or community flood mitigation project funding will be scored and ranked based on the priorities in the following table, as needed:

<b>FINAL Priority Scoring Criteria</b>		
<b>Priority</b>	<b>Description</b>	<b>Total Points</b>
Private-Partnership Cost Share	Cost share taken on by private organizations/businesses emphasizing community participation, collaboration, and investment. Points will be assigned based on percentage of private cost share invested.	150
Building Code Effectiveness Grading Schedule (BCEGS) rating	BCEGS rating assesses effectiveness of enforcement and adequacy of building codes with emphasis on mitigation. Classes weighted based on national class grouping ratings. Highest weight will be assigned to class 1 and descending through lower classes. (Graded Scale: 1 = 100, 2 = 90, 3 = 80, 4 = 70, 5 = 60, 5 = 50, 6 = 40, 7 = 30, 8 = 20, 9+ = 10)	100
Community Rating System (CRS) Participation	The CRS recognizes and encourages community floodplain-management activities that exceed the minimum National Flood Insurance Program standards. Depending on the level of participation, flood insurance premium rates for policyholders can be reduced up to 45%. Highest weight will be assigned to class 1 and descending through lower classes. (Graded Scale: 1 = 100, 2 = 90, 3 = 80, 4 = 70, 5 = 60, 5 = 50, 6 = 40, 7 = 30, 8 = 20, 9 = 10)	100
Cooperating Technical Partners Program (CTP) Participation	The CTP is a qualified partnership program in which communities commit to collaborate in maintaining up-to-date flood hazard maps and other flood hazard information. Points will be assigned to CTP participating communities.	100
International Building Codes (IBC) Adopted (2009 or newer)	IBC adoption epitomizes community commitment to responsible building regulations. Points will be assigned to IBC participating communities with 2009 version or higher adopted.	50
<b>Total Points Available</b>		<b>500*</b>

\* In the event of a tie between two or more community flood mitigation applications: FEMA will use the highest Benefit Cost Ratio (BCR) as a tiebreaker for projects; and FEMA will use the total number of active policies in the local jurisdiction as a tie breaker for Advance Assistance.

After meeting the \$70 million available for community flood mitigation or when all eligible community flood mitigation project subapplications have been selected, FEMA will select eligible subapplications for the remaining funds in the following order:

### **3. Technical Assistance**

FEMA will select eligible technical assistance subapplications up to \$50,000 Federal cost share for Recipients to which FEMA obligated FMA awards totaling at least \$1 million Federal cost share in FY 2017.

#### **4. Flood Mitigation Planning**

FEMA will select eligible planning subapplications up to \$100,000 Federal cost share per Applicant with a maximum of \$50,000 Federal cost share for State mitigation plan updates and \$25,000 Federal cost share for local mitigation plans. FEMA may reduce the Federal cost share of any planning subapplication that exceeds the regulatory maximums.

#### **5. Competitive funding for property flood mitigation projects**

FEMA will select eligible flood mitigation project subapplications on a competitive basis as follows:

- (a) Projects that will mitigate flood damage to at least 50 percent of structures included in the subapplication that meet the definition in 42 U.S.C. 4104c(h)(3)(B)(ii) of an SRL property: At least two separate NFIP claim payments have been made with the cumulative amount of such claims exceeding the market value of the insured structure.
- (b) Projects that will mitigate flood damage to at least 50 percent of structures included in the subapplication that meet the definition of a RL property: Have incurred flood-related damage on two occasions, in which the cost of the repair, on the average, equaled or exceeded 25 percent of the market value of the structure at the time of each such flood event.
- (c) Projects that will mitigate flood damage to at least 50 percent of structures included in the subapplication that meet the definition in 42 U.S.C. 4104c(h)(3)(B)(i) of an SRL property: four or more separate NFIP claims payments have been made with the amount of each claim exceeding \$5,000, and with the cumulative amount of claims payments exceeding \$20,000.

#### **6. FEMA will select remaining eligible applications once all above priorities are met based on benefits to the NFIP.**

Applicants must ensure that accurate NFIP policy numbers and RL numbers are included in eGrants for all subapplications to be eligible to be selected for the above priorities.

For project subapplications in priority categories 5(a) through 5(c) above, FEMA will prioritize projects as follows:

- (a) The highest percentage of structures included in the subapplication that meet the definition from 100 to 50 percent;
- (b) The largest number of structures included in the subapplication that meet the definition; and
- (c) FEMA-validated BCR.

If a project subapplication includes structures that meet the definition in more than one of the priority categories, then the project will be considered under each of those priority categories, and the structures that meet the definition of each priority category will be counted for that category.

- For example, a project with structures that meet the definition in priority category (a) is not selected for priority (a) because less than 50 percent of the structures included in the subapplication meet that definition. However, the project also contains structures that meet the definition in priority category (b). So the project is considered for priority (b), and the percentage of structures included in the subapplication that meet the definition in priority category (b) is used to determine whether it is selected.

FEMA may select a subapplication out of priority order based on one or more of the following factors:

- Availability of funding
- Balance/distribution of funds geographically or by type of Applicant
- Duplication of subapplications
- Program priorities and policy factors
- Other pertinent information

FEMA will designate the selected planning, project, and technical assistance subapplications as Identified for Further Review. Applicants with planning, project, and/or technical assistance subapplication(s) that are Identified for Further Review that submitted a management costs subapplication (see Content and Form of Application Submission subsection in Section C of this NOFO) are eligible to receive Applicant management costs not to exceed 10 percent of the selected planning and project subapplications.

Eligible subapplications that are not Identified for Further Review due to a lack of available funding will be given a status of Not Selected.

Planning, project, and technical assistance subapplications that do not satisfy the eligibility and completeness requirements will be given a status of Does Not Meet HMA Requirements.

At its discretion, FEMA may review a decision regarding a planning, project, or technical assistance subapplication that is Not Selected or Does Not Meet HMA Requirements only where there is an indication of substantive technical or procedural error that may have influenced FEMA's decision. There will be no reconsideration regarding the amount of planning subapplications, Applicant management costs, or technical assistance costs. Applicants must send requests for reconsideration based on technical or procedural error to their FEMA Regional Office within 60 days of the posting of subapplication status (see Anticipated Announcement and Federal Award Dates section of this NOFO). Subapplicants should contact their Applicant agency regarding reconsideration requests, so that the Applicant may submit it to FEMA on their behalf. Contact information for each SHMO is provided at <http://www.fema.gov/state-hazard-mitigation-officers>.

The FEMA Regional Office will review reconsideration requests received from Applicants and submit the Regional recommendation to FEMA Headquarters. FEMA Headquarters will make a final determination to overturn or uphold the original decision and send the response to the Applicant.

Prior to making an award, FEMA will evaluate a Recipient to determine the level of risk when there is a history of failure to comply with general or specific terms and conditions of a Federal award or failure to meet the expected performance goals. If FEMA determines that a Federal award will be made, special conditions that correspond to the degree of risk assessed may be applied to the award, as specified in Part VI, B, Risk Assessment Prior to PDM and FMA Award, of the HMA Guidance, available on the FEMA website at <http://www.fema.gov/media-library/assets/documents/103279>.

If the anticipated Federal award amount will be greater than the simplified acquisition threshold, currently \$150,000 (see 2 CFR 200.88):

- (a) Prior to making a Federal award with a total amount of Federal cost share greater than the simplified acquisition threshold, DHS is required to review and consider any information about the Applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS).
- (b) An Applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered.
- (c) DHS will consider any comments by the Applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the Applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by Applicants as described in 2 CFR 200.205 Federal awarding agency review of risk posed by Applicants.

#### **Anticipated Announcement and Federal Award Dates**

FEMA anticipates announcing the status of applications by the Funding Selection Date of 05/01/2019.

FEMA will post the status of the planning and project subapplications on the FEMA website at <http://www.fema.gov/flood-mitigation-assistance-grant-program> and alert FMA webpage subscribers when the results of the review are published. For information on how to sign up for a FEMA webpage subscription, visit <https://www.fema.gov/subscribe-receive-free-email-updates>.

Applicants with planning/project subapplications that are Identified for Further Review will receive notification through the Mitigation eGrants system via an automatic email to the point(s) of contact designated in the Contact Information section of their FMA grant application. Subapplicants should contact their Applicant agency for information. Contact information for each SHMO is provided at <http://www.fema.gov/state-hazard-mitigation-officers>.

## **F. Federal Award Administration Information**

### **Notice of Award**

FEMA will provide the Federal award package to the Applicant electronically via the Mitigation eGrants system. Award packages include an award letter, Obligating Document for Awards/Amendments, and Articles of Agreement, including EHP review and/or other conditions. An email notification of the award package will be sent through the eGrants system to the Applicant POC(s) designated in the FMA grant application. See 2 CFR 200.210, Information contained in a Federal award at <http://www.gpo.gov/fdsys/granule/CFR-2014-title2-vol1/CFR-2014-title2-vol1-sec200-210>.

When FEMA obligates funds for a grant to an Applicant, the Applicant and subapplicant are denoted as Recipient and subrecipient, respectively. The Recipient and subrecipient agree to abide by the grant award terms and conditions as set forth in the Articles of Agreement provided in the award package. Recipients must accept all conditions in this NOFO as well as any Special Terms and Conditions. For detailed information, see Part VI, A, Notice of Award, of the HMA Guidance, available on the FEMA website at <http://www.fema.gov/media-library/assets/documents/103279>.

### **Administrative and National Policy Requirements**

All successful Applicants for all DHS grant and cooperative agreements are required to comply with DHS Standard Administrative Terms and Conditions, which are available online at [DHS Standard Terms and Conditions](#).

The applicable DHS Standard Terms and Conditions will be for the last year specified at that URL, unless the application is for a continuation award. In that event, the terms and conditions in effect for the fiscal year that award was originally made will apply.

Before accepting the award, the AOR should carefully read the award package for instructions on administering the grant award and the terms and conditions associated with responsibilities under Federal awards. Recipients must accept all conditions in this NOFO as well as any special terms and conditions in the Notice of Award to receive an award under this program.

### **Environmental Planning and Historic Preservation Compliance.**

As a Federal agency, FEMA is required to consider the effects of its actions on the environment and/or historic properties to ensure that all activities and programs funded by the agency, including grants-funded projects, comply with Federal EHP regulations, laws, and Executive Orders as applicable. In some cases, FEMA is also required to consult with other regulatory agencies and the public to complete the review process. The EHP review process must be completed before funds are released to carry out the proposed project. FEMA will not fund projects that are initiated without the required EHP review.

### **Construction Project Requirements.**

Acceptance of Federal funding requires FEMA, the Recipient, and any subrecipients to comply with all Federal, State, and local laws prior to the start of any construction activity. Failure to obtain all appropriate Federal, State, and local environmental permits and clearances may jeopardize Federal funding. Also:

1. Any change to the approved scope of work will require re-evaluation by FEMA for Recipient and subrecipient compliance with the NEPA and other laws and Executive Orders.
2. If ground-disturbing activities occur during construction, the Recipient and any subrecipients must ensure monitoring of ground disturbance, and if any potential archaeological resources are discovered, the subrecipient will immediately cease construction in that area and notify the Recipient and FEMA.

**Reporting**

Recipients are required to submit financial and programmatic reports to FEMA as a condition of their award acceptance throughout the period of performance, including partial calendar quarters, as well as for periods where no grant award activity occurs. Future awards and fund drawdowns may be withheld if these reports are delinquent, demonstrate a lack of progress, or are insufficient in detail.

The following reporting periods and due dates apply:

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

**Federal Financial Reporting Requirements.**

The Federal Financial Reporting Form (FFR) (SF-425) is available online at <https://www.grants.gov/web/grants/forms/post-award-reporting-forms.html>.

Recipients must report obligations and expenditures on a quarterly basis through the FFR to DHS/FEMA. Recipients must file the FFR electronically using the Payment and Reporting System (PARS). Award Recipients must submit an FFR quarterly throughout the period of performance, including partial calendar quarters, as well as for periods where no grant award activity occurs. FEMA may withhold future awards and fund drawdowns if these reports are delinquent, demonstrate lack of progress, or are insufficient in detail.

Program Performance Reporting Requirements.

Recipients must report on the progress of the grant on a quarterly basis to DHS/FEMA using the Quarterly Performance Report in the MT eGrants system, The Quarterly Performance Reports must be submitted electronically in eGrants quarterly throughout the period of performance, including partial calendar quarters, as well as for periods where no grant award activity occurs. Reports are due within 30 days from the end of the first Federal quarter following the initial grant award and thereafter until the grant ends.

Closeout Reporting Requirements.

Within 90 days after the end of the period of performance, or after an amendment has been issued to close out a grant, whichever comes first, Recipients must submit a final

FFR and final progress report detailing all accomplishments and a qualitative summary of the impact of those accomplishments throughout the period of performance.

If applicable, an inventory of all construction projects that used funds from this program must be reported with the final progress report.

After these reports have been reviewed and approved by FEMA, a closeout notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for 3 years from the date of the final FFR.

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

## **G. DHS Awarding Agency Contact Information**

### **Contact and Resource Information**

#### **Program Questions.**

General questions about the FMA program can be directed to the appropriate FEMA Regional Office or SHMO. Contact information for FEMA Regional Offices is provided at <http://www.fema.gov/about-agency>. Contact information for the SHMOs is provided at <http://www.fema.gov/state-hazard-mitigation-officers>.

The HMA Helpline is available via telephone 1-866-222-3580 or email [HMAGrantsHelpline@fema.dhs.gov](mailto:HMAGrantsHelpline@fema.dhs.gov).

#### **Financial and Administrative Questions.**

FEMA Regional Assistance Officers manage, administer, and conduct application budget review; create the award package; approve, amend, and close out awards; and conduct cash analysis, financial monitoring, and audit resolution for this program. Contact the appropriate FEMA Regional Office for additional information. Contact information for FEMA Regional Offices is provided at <http://www.fema.gov/about-agency>.

#### **Technical Assistance.**

Upon request, FEMA will provide technical assistance to Applicants and subapplicants in preparing applications. FEMA encourages Applicants and subapplicants to seek technical assistance early in the application period by contacting their appropriate FEMA Regional Office. Contact information for FEMA Regional Offices is provided at <http://www.fema.gov/about-agency>.

For questions about cost-effectiveness and FEMA's BCA software, contact the BC Helpline via telephone 1-855-540-6744 or email [BCHelpline@fema.dhs.gov](mailto:BCHelpline@fema.dhs.gov).

The Feasibility and Effectiveness Helpline is available for guidance on FEMA Building Science publications by email [FEMA-BuildingScienceHelp@fema.dhs.gov](mailto:FEMA-BuildingScienceHelp@fema.dhs.gov).

For questions about NEPA or EHP requirements, the EHP Helpline is available via telephone 1-866-222-3580 or email [ehhelpline@fema.dhs.gov](mailto:ehhelpline@fema.dhs.gov).

The EHP POC is:  
Portia Ross, CFM

Integration and Technology Branch Chief  
Office of Environmental Planning and Historic Preservation  
FEMA / DHS  
500 C Street, SW Washington, DC 20472  
Desk: 202-212-5929  
Cell: 303-386-2316  
[portia.ross@fema.dhs.gov](mailto:portia.ross@fema.dhs.gov)

Resources and job aids intended to help Applicants and subapplicants prepare mitigation planning and project applications are available on FEMA's Hazard Mitigation Assistance webpage at <https://www.fema.gov/application-development-1>. FEMA publications that specify the documentation and information necessary for FEMA to review project applications for feasibility and effectiveness, cost-effectiveness, and potential impacts on environmental and cultural resources are available at <https://www.fema.gov/hazard-mitigation-assistance-publications>.

### **Mitigation eGrants System**

Information, training, and resources on the Mitigation eGrants system for Applicant and subapplicant users are available on the FEMA website at <http://www.fema.gov/mitigation-egrants-system-0>. The eGrants Helpdesk can be reached via telephone 1-855-228-3362 or email: [MTeGrants@fema.dhs.gov](mailto:MTeGrants@fema.dhs.gov).

## **H. Additional Information Extensions**

Extensions for grants under this program are allowed, per Part VI, D.4.1, Extensions, of the HMA Guidance, available on the FEMA website at <http://www.fema.gov/media-library/assets/documents/103279>.

Recipients must submit proposed extension requests to FEMA for review and approval at least 60 days prior to the expiration of the grant period of performance.

Extensions to the initial period of performance identified in the award will be considered only through formal, written requests to the Recipient's respective Region and must contain specific and compelling justification as to why an extension is required. Recipients are advised to coordinate with the Region as needed when preparing an extension.

All extension requests must address the following:

1. Grant Program, Fiscal Year, and award number;
2. Verification that progress has been made as described in quarterly reports;
3. Reason for delay – this must include details of the legal, policy, or operational challenges being experienced that prevent the final outlay of awarded funds by the applicable deadline;
4. Current status of the activity/activities;
5. Approved period of performance termination date and new project completion date;
6. Amount of funds drawn down to date;
7. Remaining available funds, both Federal and non-Federal;
8. Budget outlining how remaining Federal and non-Federal funds will be expended;

9. Plan for completion including milestones and timeframes for achieving each milestone and the position/person responsible for implementing the plan for completion; and
10. Certification that the activity/activities will be completed within the extended period of performance without any modification to the original Statement of Work approved by FEMA.

Requests for extensions to a grant period of performance will be evaluated by FEMA but will not be approved automatically. The Regional Administrator can extend the period of performance for up to 12 months with justification. All requests to extend the grant period of performance beyond 12 months from the original grant termination date must be approved by FEMA Headquarters.

## **Other**

### Related HMA Programs

***Hazard Mitigation Grant Program (HMGP):*** The HMGP is authorized by Section 404 of the Stafford Act, 42 U.S.C. 5170c. The key purpose of HMGP is to ensure that the opportunity to take critical mitigation measures to reduce the risk of loss of life and property from future disasters is not lost during the reconstruction process following a disaster. HMGP funding is available, when authorized under a Presidential major disaster declaration, in the areas of the State requested by the Governor. Indian Tribal governments may also submit a request for a major disaster declaration within their impacted areas.

The amount of HMGP funding available to the Applicant is based on the estimated total of Federal assistance, subject to the sliding scale formula outlined in 44 CFR 206.432(b) that FEMA provides for disaster recovery under the Presidential major disaster declaration. The formula provides for up to 15 percent of the first \$2 billion of estimated aggregate amounts of disaster assistance, up to 10 percent for amounts between \$2 billion and \$10 billion, and up to 7.5 percent for amounts between \$10 billion and \$35.333 billion. For States with enhanced plans, the eligible assistance is up to 20 percent for estimated aggregate amounts of disaster assistance not to exceed \$35.333 billion. No more than 7 percent of the HMGP funds available may be used for mitigation planning. The remaining funds may be used for projects. Local governments are considered subapplicants and must apply to their Applicant State/territory, who then may apply to FEMA on their behalf.

***Pre-Disaster Mitigation (PDM):*** The PDM program, authorized by the Stafford Act, 42 U.S.C. 5133, is designed to assist States, U.S Territories, Native American Tribal governments, and local communities to implement a sustained pre-disaster natural hazard mitigation program to reduce overall risk to the population and structures from future hazard events, while also reducing reliance on Federal funding in future disasters. Congressional appropriations provide the funding for PDM. The total amount of funds distributed for PDM is determined once the appropriation is provided for a given Fiscal Year. PDM funds can be used for mitigation projects and planning activities.

Further information regarding these programs is available in the HMA Guidance, available on the FEMA website at <http://www.fema.gov/media-library/assets/documents/103279>.

### Payment

FEMA utilizes PARS for financial reporting, invoicing, and tracking payments. Additional information on PARS can be obtained at

<https://isource.fema.gov/sf269/execute/LogIn?sawContentMessage=true>.

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

### Conflict of Interest

To eliminate and reduce the impact of conflicts of interest in the subaward process, Recipients must follow their own policies and procedures regarding the elimination or reduction of conflicts of interest when making subawards. Recipients are also required to follow any applicable State, local, or tribal statutes or regulations governing conflicts of interest in the making of subawards.

The Recipient must disclose to FEMA, in writing, any real or potential conflict of interest as defined by the Federal, State, local, or tribal statutes or regulations or their own existing policies that may arise during the administration of the Federal award. Recipients must disclose any real or potential conflicts to the FEMA Program Analyst within 15 days of learning of the conflict of interest, per Part III, D.2, Conflict of Interest, of the HMA Guidance, available on the FEMA website at <http://www.fema.gov/media-library/assets/documents/103279>. Similarly, subrecipients must disclose any real or potential conflict of interest to the Recipient as required by the Recipient's conflict of interest policies, or any applicable State, local, or tribal statutes or regulations.

Conflicts of interest may arise during the process of FEMA making a Federal award in situations where a FEMA employee, officer, or agent, any members of his or her immediate family, or his or her partner has a close personal relationship, a business relationship, or a professional relationship, with an Applicant, subapplicant, Recipient, subrecipient, or FEMA employee.

**The Department of Homeland Security  
Notice of Funding Opportunity  
FY 2017 Pre-Disaster Mitigation**

**NOTE:** If you are going to apply for this funding opportunity and have **not** obtained a Data Universal Numbering System (DUNS) number and/or **are not** currently registered in the System for Award Management (SAM), please take immediate action to obtain a DUNS Number, if applicable, and then to register immediately in SAM . It may take 4 weeks or more after you submit your SAM registration before your registration is active in SAM, then an additional 24 hours for Grants.gov to recognize your information. Information on obtaining a DUNS number and registering in SAM is available from Grants.gov at: <http://www.grants.gov/web/grants/applicants/organization-registration.html>. Detailed information regarding DUNS and SAM is also provided in Section D of this Notice of Funding Opportunity (NOFO), Application Submission Information.

**A. Program Description**

**Issued By**

U.S. Department of Homeland Security (DHS),  
Federal Emergency Management Agency (FEMA),  
Federal Insurance and Mitigation Administration,  
Hazard Mitigation Assistance Division

**Catalog of Federal Domestic Assistance (CFDA) Number**

97.047

**CFDA Title**

Pre-Disaster Mitigation

**Notice of Funding Opportunity Title**

FY 2017 Pre-Disaster Mitigation

**NOFO Number**

DHS-17-MT-047-00-99

**Authorizing Authority for Program**

Section 203 of the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (Stafford Act), as amended (Pub. L. No. 93-288) (42 U.S.C. § 5133)

**Appropriation Authority for Program**

Consolidated Appropriations Act, 2017 (Pub. L. No. 115-31)

**Program Type**

Continuation

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

The Pre-Disaster Mitigation (PDM) program makes available Federal funds to State, Local and Tribal Governments to implement and sustain cost-effective measures designed to reduce the risk to individuals and property from natural hazards, while also reducing reliance on Federal funding from future disasters. The PDM program strengthens national preparedness and resilience and supports the mitigation mission area in the National Preparedness System and National Preparedness Goal.

FEMA's priorities for funding FY 2017 PDM applications are outlined below. Greater detail on factors to be considered in the evaluation of applications is specified in Section E of this NOFO under Application Evaluation Criteria.

As required in Section 203(f)(2)(A) of the Stafford Act, FEMA will continue to provide grant funding allocations to each state and territory in the amount of the lesser of one percent of the appropriation amount or \$575,000. FEMA will also set aside funding for federally-recognized Native American tribes for mitigation planning and projects in an amount not to exceed ten percent of the appropriation amount. FEMA's first priority for competitive funding after meeting the state/territory allocations and tribal set-aside is multi-state/tribal mitigation initiatives. The balance of PDM funds will be distributed on a competitive basis with priority given to eligible applicants that have less disaster funding available through the Hazard Mitigation Grant Program (HMGP) than the PDM funding limits for planning and projects (see the Program Funding Restrictions subsection under Section D of this NOFO) in order to complement the HMGP funds available to states, territories and tribes following disasters. In addition, FEMA will prioritize competitive projects for funding by hazard and activity type in an effort to minimize duplication of the Flood Mitigation Assistance (FMA) grant program with a priority of non-flood hazard (e.g., wildfire, drought, seismic, and wind) mitigation project activities over flood mitigation projects. For more information on the HMGP and FMA programs, see the Related Hazard Mitigation Assistance (HMA) Programs subsection under Section H of this NOFO.

FEMA will prioritize funding mitigation projects over mitigation planning in accordance with the 2017 appropriations report language.

### **B. Federal Award Information**

#### **Award Amounts, Important Dates, and Extensions**

Available Funding for the NOFO: \$90,000,000

**Projected number of Awards:** 250

**Period of Performance:** 42 months

The Period of Performance begins with the opening of the application period and ends no later than 36 months from the Funding Selection Date (see section D, Application and Submission Information of this NOFO).

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

**Projected Period of Performance Start Date:** 08/14/2017

**Projected Period of Performance End Date:** 01/30/2021

**Funding Instrument**  
Grant

**C. Eligibility Information**

**Eligible Applicants**

States

District of Columbia

U.S. Territories

Federally recognized Native American Tribal governments

Each State, Territory, Commonwealth, or Native American Tribal government shall designate one agency to serve as the applicant for PDM funding. Each applicant's designated agency may submit only one PDM grant application to FEMA. Applications under which two or more entities would carry out the award are eligible, such as a multi-state or multi-tribal initiative; however, only one entity may be the applicant with primary responsibility for carrying out the award.

Local governments, including cities, townships, counties, special district governments, and Native American tribal organizations are considered subapplicants and must submit subapplications for mitigation planning and projects to their State/Territory applicant agency. Contact information for the State Hazard Mitigation Officers (SHMOs) is provided on the FEMA website: <http://www.fema.gov/state-hazard-mitigation-officers>.

**Eligibility Criteria**

To be considered for funding, all applicants must submit their FY 2017 PDM grant application to FEMA via the Mitigation eGrants system (see section D, Application and Submission Information, of this NOFO).

All applicants and subapplicants submitting project subapplications must have a FEMA approved Mitigation Plan by the application deadline and at the time of obligation in accordance with Title 44 Code of Federal Regulations (CFR) Part 201. Project applications submitted by applicants or subapplicants that do not have an approved and adopted mitigation plan as of the application deadline are ineligible.

All mitigation projects submitted as part of a PDM grant application must be consistent with the goals and objectives identified in a) the current, FEMA-

approved State or Tribal (Standard or Enhanced) mitigation plan and b) the local Mitigation Plan for the jurisdiction in which the project is located. There is no mitigation plan requirement for applicants and subapplicants to submit planning subapplications for the development of a new mitigation plan or the update of a mitigation plan.

### **Other Eligibility Criteria**

To be eligible for the state/territory allocation or the tribal set aside (see Program Overview, Objectives, and Priorities in Section A of this NOFO), the applicant's highest ranked planning or project subapplication must not exceed \$575,000 Federal share. There is no limit to the number of planning and project subapplications that applicants can submit for the state/territory allocation or tribal set aside up to \$575,000 federal share, but the applicant must rank them higher than subapplications for competitive consideration (see the Review and Selection Process in section E of this NOFO).

Applicants may include no more than nine project subapplications for competitive consideration over and above any project(s) submitted for the state/territory allocation or tribal set aside.

Any applicant agency willing to serve as the applicant for multi-state or multi-tribal mitigation activities may include one multi-state/tribal project subapplication(s) in their grant application for a maximum of ten competitive projects, notwithstanding any project(s) submitted towards their state/territory allocation or tribal set aside. Applicants who include multi-state/tribal subapplication(s) in their grant application must clearly identify how the effort will be coordinated.

### **Cost Share or Match**

Cost share is required under this program. Federal funding is available for up to 75 percent of the eligible activity costs. The remaining 25 percent of eligible activity costs must be derived from non-Federal sources.

The non-Federal cost share contribution is calculated based on the total cost of the proposed activity. For example, if the total cost is \$400,000 and the non-Federal cost share is 25 percent, then the non-Federal contribution is \$100,000: 25 percent of \$400,000 is \$100,000.

Small, impoverished communities are eligible for up to a 90 percent Federal cost share for their mitigation planning and project subapplications in accordance with the Stafford Act. A small, impoverished community must:

- Be a community of 3,000 or fewer individuals identified by the State as a rural community that is not a remote area within the corporate boundaries of a larger city;
- Be economically disadvantaged, with residents having an average per capita annual income not exceeding 80 percent of the national per capita income,

based on best available data. For the most current information, go to the Bureau of Economic Analysis website at <http://www.bea.gov>;

- Have a local unemployment rate that exceeds by 1 percentage point or more the most recently reported, average yearly national unemployment rate. For the most current information, go to the Bureau of Labor Statistics website at <http://www.bls.gov/eag/eag.us.htm>; and
- Meet other criteria required by the applicant in which the community is located.

Native American Tribal applicants meeting the definition of a small, impoverished community that apply to FEMA directly as applicants are eligible for a 90 percent Federal cost share for their planning, project and management costs sub-applications, which make up their overall PDM grant application.

Applicants and subapplicants must request the Federal cost share amount up to 90 percent in the Cost Share section of their planning, project and management costs subapplication(s). Applicants must certify small, impoverished community status and provide documentation with the subapplication(s) to justify up to a 90 percent Federal cost share. If documentation is not submitted with the subapplication, then FEMA will provide no more than 75 percent Federal share of the total eligible costs.

For insular areas, including American Samoa, Guam, the Northern Mariana Islands, Puerto Rico, and the U.S. Virgin Islands, FEMA automatically waives the non-Federal cost share when the non-Federal cost share for the entire grant is under \$200,000. If the non-Federal cost share for the entire grant is \$200,000 or greater, FEMA may waive all or part of the cost share. If FEMA does not waive the cost share, the insular area must pay the entire non-Federal cost-share amount, not only the amount over \$200,000. More detailed information is provided in Part III, C, Cost Sharing of the HMA Guidance available at <http://www.fema.gov/media-library/assets/documents/103279>.

#### **D. Application and Submission Information**

##### **Key Dates and Times**

**Date Posted to Grants.gov:** 07/10/2017

**Application Start Date:** 08/14/2017

**Application Submission Deadline:** 11/14/2017 at 03:00:00 PM [Eastern Time]

**Anticipated Funding Selection Date:** 01/30/2018

**Anticipated Award Date:** 12/30/2018

To be considered timely, a PDM grant application must be submitted by the application deadline via the Mitigation eGrants system, and the Applicant must have received a confirmation message in eGrants that indicates successful PDM grant submission to FEMA. It is recommended that applicants attach approved planning, project and management costs subgrant applications to their PDM grant applications at least 72 hours prior to the application deadline in order to allow time for the Applicant to review and correct issues that may prevent subgrant applications from being attached to a PDM grant application (see the Content and Form of Application Submission subsection below).

**Other Key Dates**

<b>Event</b>	<b>Suggested Deadline For Completion</b>
Obtaining Dun and Bradstreet Universal Numbering System (DUNS) Number	Four weeks before actual submission deadline
Obtaining a valid Employer Identification Number (EIN)	Four weeks before actual submission deadline
Register with the System for Award Management (SAM)	Four weeks before actual submission deadline
Register for access to the FEMA Grants Portal and request access to the Mitigation eGrants system	Four weeks before actual submission deadline
Create a PDM grant application and attach approved planning, project and management costs subgrant applications in the Mitigation eGrants system	72 hours before actual submission deadline

**Address to Request Application Package**

The application package is built into the Mitigation eGrants system, Office of Management and Budget (OMB) collection #1660-0072, which all applicants must use to submit PDM grant applications electronically to FEMA. The Mitigation eGrants system is available through the FEMA Grants Portal on the internet at <https://portal.fema.gov> (see the Content and Form of Application Submission subsection below). FEMA will only process applications received via the Mitigation eGrants system. Mitigation eGrants system Information, training and resources on the Mitigation eGrants system are available on the FEMA website: <http://www.fema.gov/mitigation-egrants-system-0> or from the Mitigation eGrants Helpdesk (see section G, DHS Awarding Agency Contact Information of this NOFO).

For a hardcopy of the full NOFO, please write or fax a request to:

Michael Grimm  
 Assistant Administrator for Mitigation  
 Federal Insurance and Mitigation Administration  
 400 C Street, SW  
 Washington, DC 20472  
 FAX: (202) 646-2880

In addition, the following Telephone Device for the Deaf (TDD) and/or Federal Information Relay Service (FIRS) number available for this Notice is: 1-800-462-7585.

### **Content and Form of Application Submission**

All applicants, including States, Tribes and Territories, must submit a PDM grant application to FEMA via the Mitigation eGrants system on the internet: <https://portal.fema.gov> by the application deadline to be considered for funding.

The required format for grant and subgrant applications is built into the Mitigation eGrants system, *OMB #1660-0072*:

- Mitigation planning activities must be submitted in a planning subgrant application;
- Mitigation project activities must be submitted in a project subgrant application;
- Applicant management costs (for applicants only) must be submitted in a management costs subgrant application;
- PDM grant applications, to include applicant-approved planning, project and management costs subapplications, must be submitted in a FY 2017 PDMC grant application.

Blank copies of applications that conform to the Mitigation eGrants system format are available for reference only. FEMA will not accept these as an application package. To access these, registered eGrants system users should login to the FEMA portal at <https://portal.fema.gov> and then click the “Blank Applications” link on the eGrants system Homepage. For those without access to the eGrants system, the blank copies of eGrants applications are also available on the FEMA internet: <https://www.fema.gov/hazard-mitigation-grant-program/grant-applicants-blank-applications>.

Subapplicants should contact their applicant agency for information specific to their state/territory’s application process. Contact information for the SHMOs is provided on the following FEMA webpage: <http://www.fema.gov/state-hazard-mitigation-officers>.

Applicants must create a PDMC grant application and then add approved planning, project and management costs subgrant applications submitted by the applicant and/or subapplicants to the PDMC grant application. If a subapplicant does not use the eGrants system to submit planning and project subapplications to the applicant, then the applicant must enter the subapplication(s) into the eGrants system on the subapplicant’s behalf. To do this, applicants must click the “Create new Paper Subgrant” link on the eGrants Homepage in the eGrants system.

Applicants must rank all of the subgrant applications included in their grant application in the eGrants system. FEMA will consider the applicant’s highest ranked planning or project subapplication(s) for the state/territory allocation or

tribal set aside up to \$575,000 federal share and the remaining eligible subapplications on a competitive basis (see Review and Selection Process in section E of this NOFO). Applicants may indicate their state/territory/tribe's priorities for funding in the Comments to FEMA section of the grant application; the subgrant ranking should not be used for that purpose.

Wherever possible, supporting documentation for applications should be attached electronically in the Mitigation eGrants system. Over-sized items that cannot be scanned may be mailed to FEMA as necessary; however, applicants must provide information regarding the paper attachments and the date mailed to FEMA in the Comments and Attachment section of the application in the eGrants system. Also, the documents must be postmarked by the submission deadline to be considered as part of the application. It is the Applicant's responsibility to follow-up with FEMA to ensure that paper documents were received for consideration during the review process.

Applicants who submit PDMC grant applications prior to the submission deadline will receive a confirmation message including the assigned PDM application number in the eGrants system (e.g., PDMC-01-MA-2017). In addition, once FEMA receives and delegates the PDM grant application to begin the review process, the eGrants system will send an automatic email message to the Point(s) of Contact (POC) identified in the grant application. The Mitigation eGrants system is programmed to not allow submittal of a PDM grant application after the submission deadline. Applicants who attempt to submit a PDM grant application after the deadline will receive an error message.

Applicants who experience eGrants system technical issues should contact the Mitigation eGrants Helpdesk by telephone: 1-855-228-3362 or email: [MTeGrants@fema.dhs.gov](mailto:MTeGrants@fema.dhs.gov) to report the issue and receive a ticket number. Applicants who experience unforeseen eGrants system technical issues beyond the applicant's control that prevents submission of the PDM grant application by the deadline may request approval to submit a late application. To request approval to submit a late application, an applicant must email the HMA Helpline (see section G, DHS Awarding Agency Contact Information, of this NOFO) within 24 hours after the application deadline. The email must describe the technical difficulties, include a timeline of submission efforts that occurred prior to the deadline and the Helpdesk ticket number. FEMA will review the request and contact the eGrants helpdesk to verify the reported technical issues before informing the applicant whether the request to submit a late application has been approved or denied.

**National Environmental Policy Act Requirements for Mitigation Projects.**

Applicants and subapplicants applying for mitigation projects must provide information needed to comply with the National Environmental Policy Act (NEPA) (42 U.S.C. 4321-4370h) and the related DHS and FEMA instructions and directives (i.e., DHS Directive 023-01, DHS Instruction Manual 023-01-001-01,

(FEMA Directive 108-1, FEMA Instruction 108-1-1). The required information is included in the project subgrant application in the eGrants system under the Environmental Information section.

**Benefit Cost Analysis for Mitigation Projects.** Applicants and subapplicants applying for mitigation projects must provide a benefit cost analysis (BCA) or other documentation that validates cost-effectiveness. BCA is the method of estimating the future benefits of a project compared to its cost. The end result is a benefit-cost ratio (BCR), which is derived from a project's total net benefits divided by its total project cost. The total benefits and costs must be entered in the Cost-Effectiveness section of the project subapplication and a FEMA-approved BCA attached as documentation, as applicable. Planning and management costs subapplications do not require a BCA.

FEMA has created software to ensure that the BCR is calculated in accordance with FEMA's standardized methodologies and OMB Circular A-94, Guidelines and Discount Rates for Benefit-Cost Analysis of Federal Programs, available on the internet at <https://www.whitehouse.gov/omb/information-for-agencies/circulars>. FEMA's Benefit Cost Toolkit is available on the FEMA website at [www.fema.gov/benefit-cost-analysis](http://www.fema.gov/benefit-cost-analysis). Versions 5.2.1 and Version 5.3 are the only versions FEMA will accept as documentation for demonstrating cost effectiveness. A non-FEMA BCA methodology may only be used if pre-approved by FEMA in writing. More detailed information is available in Part IV, I, Cost Effectiveness of the HMA Guidance available on the FEMA website at: <http://www.fema.gov/media-library/assets/documents/103279>.

**Application for Federal Assistance and Assurances and Certifications Forms.**

Applicants must complete the following forms and attach them to their PDM grant application in the Mitigation eGrants system for submittal by the application deadline:

- Application for Federal Assistance (SF-424), *OMB #4040-0004*;
- Budget Information:
  - Budget Information for Non-construction Programs (SF-424A), *OMB #4040-0006*, or Budget Information for Construction Programs (SF-424C), *OMB #4040-0008*; and
- Assurances and Certifications:
  - Assurances for Non Construction Programs (SF-424B), *OMB #4040-0007*, or Assurances for Construction Programs (SF-424D), *OMB #4040-0009*;
  - Certifications Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (FEMA Form 20-16C), *OMB #1660-0025*; and
  - Disclosure of Lobbying Activities (SF-LLL), *OMB #4040-0013* (if the Applicant has engaged in or intends to engage in lobbying activities).

The SF-424 family of forms are available on the Grants.gov website: <http://www.grants.gov/web/grants/forms/sf-424-family.html>. The FEMA Form

FF 20-16C, Certifications Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements is available from the FEMA library online at <https://www.fema.gov/media-library/assets/documents/9754>.

Applicants may require their subapplicants to complete and attach the grant application and/or Assurance and Certifications forms to their planning and project subgrants in the eGrants system. To turn on/off this requirement in the eGrants system, applicants must click the “Administration” link on the eGrants Homepage to set their Preferences for enabling/disabling the forms. Information, training and resources on the Mitigation eGrants system are available on the FEMA website: <http://www.fema.gov/mitigation-egrants-system-0>.

Subapplicants should contact their applicant agency for information specific to their state/territory’s application process. Contact information for the SHMOs is provided on the following FEMA webpage: <http://www.fema.gov/state-hazard-mitigation-officers>.

### **Unique Entity Identifier and System for Award Management (SAM)**

DHS is participating in the Grants.gov initiative that provides the grant community a single site to find grant funding opportunities. Before you can apply for a DHS grant, you must have a DUNS number, be registered in SAM, and be approved as an Authorized Organizational Representative (AOR).

**Applicants are encouraged to register early. The registration process can take four weeks or more to be completed. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required submission deadlines.**

**DUNS number.** Instructions for obtaining a DUNS number can be found at the following website: <http://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>. The DUNS number must be included in the data entry field labeled "Organizational DUNS" on the SF-424 forms submitted as part of this application.

**System for Award Management.** In addition to having a DUNS number, applicants must register with SAM. Step-by-step instructions for registering with SAM can be found here: <http://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>.

**Authorized Organizational Representative.** A key step in the registration process is creating a username and password for the FEMA Grants Portal <https://portal.fema.gov>. Applicants and subapplicants must register the individual who is able to make legally binding commitments for the applicant/subapplicant organization as the AOR in addition to other organizational staff who will assist with creating and managing applications.

After registering on the FEMA Grants Portal, applicants and subapplicants will need to request access to the Mitigation eGrants system on the FEMA Portal. This is crucial because all applications and subapplications must be submitted via the Mitigation eGrants system on the FEMA Grants Portal.

An Access ID is required to request access to the Mitigation eGrants system. Applicants should contact their appropriate FEMA Regional Office, and subapplicants should contact their Applicant agency to get the appropriate Access ID. Contact information for the FEMA Regional Offices is provided on the FEMA website: <https://www.fema.gov/about-agency>. Contact information for the SHMOs is provided on the following FEMA webpage: <http://www.fema.gov/state-hazard-mitigation-officers>.

To read more detailed instructions for creating a profile on the FEMA Portal and registering for eGrants, see the job aid: “Registering for eGrants Accounts” on the FEMA web: <https://www.fema.gov/media-library/assets/documents/17425?id=3865>.

**AOR Authorization.** After creating a profile on the FEMA Portal and registering for Mitigation eGrants system access, FEMA Regions review eGrants access requests from applicants, and applicants review eGrants access requests from their subapplicants. Applicants should contact their appropriate FEMA Regional Office, and subapplicants should contact their state/territory agency regarding the status of their registrations. Contact information for the FEMA Regional Offices is provided on the FEMA website: <https://www.fema.gov/about-agency>. Contact information for the SHMOs is provided on the following FEMA webpage: <http://www.fema.gov/state-hazard-mitigation-officers>.

Approved users will receive an email from the eGrants system that indicates what system privileges have been authorized. “Sign/Submit” privileges are given to the AOR. Other users may be given “Create/Edit” and/or “View/Print” privileges. Once access is approved, users can login to the Mitigation eGrants system to create and manage their applications online. Only AORs, individual who can make legally binding commitments for the applicant/subapplicant organization, who have “Sign/Submit” privileges will be able to submit applications in the Mitigation eGrants system.

**Applicants and subapplicants are, therefore, encouraged to register on the FEMA Grants Portal and request access to the Mitigation eGrants system at the time of this announcement to ensure the ability to meet required submission deadlines. After you have been approved for access to the Mitigation eGrants system, you will be able to create applications online.**

**Electronic Signature.** Applications submitted through the Mitigation eGrants system constitute electronically signed applications. The registration and account creation for the AOR establishes the AOR for each applicant/subapplicant's organization. If you experience technical difficulties with the Mitigation eGrants system, please contact the helpdesk by telephone: 1-855-228-3362 or email: [MTeGrants@fema.dhs.gov](mailto:MTeGrants@fema.dhs.gov).

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

### **Intergovernmental Review**

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

### **Funding Restrictions**

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

**Program Funding Restrictions.** No applicant may receive more than 15 percent of the appropriated PDM funding, or \$15 million, per Section 203(f)(2)(B) of the Stafford Act.

The maximum Federal share for PDM activities is as follows:

- \$4 million for mitigation projects
- \$400,000 for new mitigation plans consistent with 44 CFR Part 201
- \$300,000 for state/territorial and multi-jurisdictional local or tribal mitigation plan updates consistent with 44 CFR Part 201
- \$150,000 for single jurisdiction local or tribal mitigation plan updates consistent with 44 CFR Part 201
- 10 percent of plan and project subapplications for information dissemination activities including public awareness and education (brochures, workshops, videos, etc.) related to a proposed planning or project activity
- 5 percent of plan and project subapplication budget for subapplicant management costs for subapplicants to manage their plan or project activity (see the Management and Administration (M&A) Costs subsection below)

- 10 percent of the grant application budget for applicant management costs for applicants to administer and manage grant and subgrant activities (See the M&A Costs subsection below)

As directed by the appropriations language, FEMA will use the majority of PDM grant funding for mitigation projects.

Allowable costs are:

- Planning costs
- Training related costs
- Domestic travel costs
- Construction and renovation costs
- Equipment costs

Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Large equipment purchases must be identified and explained. For more information regarding property management standards for equipment, please reference 2 CFR Part 200, available on the internet: [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)

Unallowable costs are:

- Exercise related costs
- Operational Overtime costs

More detailed information is available in Part III, E.1, Eligible Activities, of the HMA Guidance available at <http://www.fema.gov/media-library/assets/documents/103279>.

**Pre-Award Costs.** Pre-award costs directly related to developing the PDM grant application or subapplication incurred after the application period has opened but prior to the date of the grant award are allowed. Such costs may have been incurred prior to application submission, for example gathering NEPA data or developing a BCA (see section D, Application and Submission Information of this NOFO), preparing design specifications, or conducting workshops or meetings related to development and submission of subapplications.

Pre-award costs may be cost shared or applicants and subapplicants may identify them as their non-Federal cost share (see Cost Share or Match subsection in Section C, Eligibility Information of this NOFO).

Costs associated with implementation of the submitted grant application or subapplication incurred prior to grant award are not allowed. Mitigation activities initiated or completed prior to award are not eligible.

Applicants and subapplicants who are not awarded grants or subgrants (awards/subawards) will not receive reimbursement for the corresponding pre-award costs. More detailed information is provided in the HMA Guidance, Part IV, F.2, Pre-Award Costs, available on the FEMA website: <http://www.fema.gov/media-library/assets/documents/103279>.

**Management and Administration (M&A) Costs.** Management costs are any indirect costs and administrative expenses that are reasonably incurred in administering an award or sub-award. Applicant and subapplicant management cost activities directly related to the implementation of the PDM program, such as subapplication development, geocoding mitigation projects, delivery of technical assistance, or managing awards and staff salary costs, are eligible for PDM funding in accordance with the HMA Guidance available on the FEMA website: <http://www.fema.gov/media-library/assets/documents/103279>.

Applicants may apply for applicant management costs up to 10 percent of the total PDM grant application for management of the grant and all selected subgrants. Applicant requests for management costs must be submitted in a separate management costs subgrant application in the Mitigation eGrants system (see the Content and Form of Application Submission subsection).

Applicants and subapplicants may include subapplicant management costs up to 5 percent of the total of their planning or project subapplication to manage the proposed activity. For applicants, this is in addition to the 10 percent applicant management costs to manage the overall grant. Subapplicant management cost activities must be added to the Scope of Work section and reflected in the Cost Estimate section of planning and project subgrant applications in the Mitigation eGrants system.

Management costs are only awarded in conjunction with awarded project or planning subapplications. Applicants and subapplicants who do not receive awards/subawards for any planning or project subapplications will not receive reimbursement for management costs (see the Review and Selection Process subsection of Section E in this NOFO).

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

## **Other Submission Requirements**

### **Environmental Planning and Historic Preservation (EHP) Compliance**

Applicants and subapplicants proposing projects that have the potential to impact the environment, including but not limited to modification or renovation of existing buildings, structures and facilities, or new construction including replacement of facilities, must participate in the FEMA EHP review process. The EHP review process involves the submission of a detailed project description that explains the goals and objectives of the proposed project along with supporting documentation so that FEMA may determine whether the proposed project has the potential to adversely impact environmental resources and/or historic properties.

## **E. Application Review Information**

### **Application Evaluation Criteria**

Prior to making a Federal award, FEMA is required by 31 U.S.C. 3321 and 41 U.S.C. 2313 to review information available through any OMB-designated repositories of government-wide eligibility qualification or financial integrity information. Application evaluation criteria may include the following risk based considerations of the applicant: (1) financial stability; (2) quality of management systems and ability to meet management standards; (3) history of performance in managing federal award; (4) reports and findings from audits; and (5) ability to effectively implement statutory, regulatory, or other requirements.

### **Review and Selection Process**

FEMA will review subapplications submitted by each applicant to ensure compliance with the HMA Guidance, including eligibility of the applicant and subapplicant; eligibility of proposed activities and costs; completeness of the subapplication; cost effectiveness and engineering feasibility of mitigation projects; and eligibility and availability of non-Federal cost share. For more detailed information, see Part V, Application Review Information, of the HMA Guidance available on the FEMA website: <http://www.fema.gov/media-library/assets/documents/103279>.

FEMA will select eligible subapplications up to the available PDM funding amount of \$90 million in the following order:

1. Statutory allocation of \$575,000 federal share for States, Territories and the District of Columbia (DC).

To meet the statutory requirement, FEMA will select eligible planning and project subapplications from each state, territory and DC in order of the applicant's rank (#1-x) to the lowest ranked subapplication that brings the total federal share to no more than \$575,000 (see Other Eligibility Criteria subsection under section C of this NOFO).

For example, an Applicant's #1 ranked subapplication for \$200,000 Federal share and #2 ranked subapplication for \$340,000 would be selected for the allocation; however, the #3 ranked subapplication for

\$575,000 and any other eligible subapplications would be considered on a competitive basis in priority category 3 below.

2. Tribal set aside of \$10 million for federally-recognized Native American tribes, not to exceed \$575,000 federal share per tribal applicant.

FEMA will set aside \$10 million for federally-recognized Native American tribes applying directly to FEMA as applicants. FEMA will select eligible planning and project subapplications for each tribal applicant in order of the tribe's rank (#1-x) to the lowest ranked subapplication that brings the total federal share to no more than \$575,000, not to exceed a total of \$10 million.

3. Competitive Funding.

After meeting the statutory requirement for state/territory allocations and the tribal set aside, FEMA will select from the remaining eligible planning and project subapplications from all applicants on a competitive basis up to the available amount of funding.

If an applicant submits projects in excess of the limit for competitive consideration (see Other Eligibility Criteria subsection under section C of this NOFO), then FEMA will only review the highest ranked competitive project subapplications up to the limit.

FEMA will select subapplications for competitive funding in the following order:

- a. Multi-state/tribal mitigation initiatives.

FEMA will select one eligible multi-state/tribal mitigation planning or project subapplication per applicant.

- b. Planning subapplications from applicants that have less than \$400,000 HMGP planning funds available.

FEMA will select eligible planning subapplications from applicants that have less than \$400,000 HMGP planning funds available (see Hazard Mitigation Grant Program subsection in Section H of this NOFO).

- c. Project subapplications from applicants that have less than \$4 million HMGP regular project funds available.

FEMA will select eligible project subapplications from applicants that have less than \$4 million HMGP regular project funds in the following order:

- i. Non-flood hazard (e.g., seismic, wildfire, landslide, wind and drought) mitigation projects
  - ii. Flood mitigation activities except acquisition, elevation, or mitigation reconstruction (e.g., stormwater management and flood control measures)
  - iii. Acquisition, elevation and mitigation reconstruction projects
  - iv. Generators for critical facilities identified in a FEMA-approved Mitigation Plan
- d. Planning subapplications from applicants that have \$400,000 or more HMGP planning funds available.

FEMA will select eligible planning subapplications from applicants that have \$400,000 or more HMGP planning funds available.

- e. Project subapplications from applicants that have \$4 million or more HMGP regular project funds available.

FEMA will select eligible project subapplications from applicants that have \$4 million or more HMGP regular project funds available in the following order:

- i. Non-flood hazard mitigation projects
- ii. Flood mitigation activities except acquisition, elevation, or mitigation reconstruction
- iii. Acquisition, elevation and mitigation reconstruction projects
- iv. Generators for critical facilities identified in a FEMA-approved Mitigation Plan

FEMA will further prioritize planning and project subapplications in priority categories 2 and 3 above, as needed, in the following order:

1. Subapplicant's small impoverished community status (see Cost Share or Match subsection under section C of this NOFO);
2. Indication of public-private partnership (i.e., whether private sector funding is included in the required non-federal cost share);
3. Subapplicant's FEMA-validated residential or commercial Building Code Effectiveness Grading Schedule (BCEGS) rating, as appropriate to the activity type, from a grade of 1 to 10;
4. FEMA-validated Benefit Cost Ratio (BCR) for projects (see Benefit Cost Analysis for Mitigation Projects subsection under section D of this NOFO); and
5. The applicant's rank of subapplications (see Content and Form of Application Submission subsection under Section D of this NOFO).

For more information on BCEGS, please visit the Insurance Services Office - Mitigation website: <https://www.isomitigation.com/bcegs/iso-s-building-code-effectiveness-grading-schedule-bcegs.htm>.

FEMA may select a subapplication out of priority order based upon one or more of the following factors:

- Availability of funding;
- Duplication of subapplications;
- Program priorities and policy factors; and,
- Other pertinent information.

FEMA will ensure the majority of funding will be for selected mitigation projects, per the 2017 appropriations report language.

FEMA will designate the selected planning and project subapplications as Identified for Further Review. Applicants with planning and/or project subapplication(s) that are Identified for Further Review that submitted a management costs subapplication in their PDMC grant application (see Content and Form of Application Submission subsection in section C of this NOFO) are eligible to receive applicant management costs not to exceed 10 percent of the selected planning and project subapplications.

Eligible subapplications that are not Identified for Further Review due to a lack of available funding will be given a status of Not Selected.

Planning and project subapplications that do not satisfy the eligibility and completeness requirements and projects that exceed the competitive project application limit (see Other Eligibility Criteria under Section C of this NOFO) will be given a status of Does Not Meet HMA Requirements.

At its discretion, FEMA may review a decision regarding a planning or project subapplication that is Not Selected or Does Not Meet HMA Requirements only where there is an indication of substantive technical or procedural error that may have influenced FEMA's decision. There will be no reconsideration regarding the amount of management costs. Applicants must send requests for reconsideration based upon technical or procedural error to their FEMA Regional Office within 60 days of the posting of subapplication status (see Anticipated Announcement and Federal Award Dates section in this NOFO). Subapplicants should contact their applicant agency regarding reconsideration requests, so that the applicant may submit it to FEMA on their behalf. Contact information for each SHMO is provided at <http://www.fema.gov/state-hazard-mitigation-officers>.

The Regional Office will review reconsideration requests received from Applicants and submit the regional recommendation to FEMA Headquarters. FEMA Headquarters will make a final determination to overturn or uphold the original decision and send the response to the Applicant.

If FEMA determines that a Federal award will be made, special conditions that correspond to the degree of risk assessed may be applied to the award, as specified in the HMA Guidance, Part VI, B, which is available on the internet at <http://www.fema.gov/media-library/assets/documents/103279>.

If the anticipated Federal award amount will be greater than the simplified acquisition threshold, currently \$150,000 (see 2 CFR § 200.88):

- i. Prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, DHS is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS).
- ii. An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM.
- iii. DHS will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in 2 CFR § 200.205 Federal awarding agency review of risk posed by applicants.

#### **Anticipated Announcement and Federal Award Dates**

FEMA anticipates announcing the status of applications by the Projected Funding Selection Date of 01/30/2018.

FEMA will post the status of the planning and project subapplications on the FEMA website: <https://www.fema.gov/pre-disaster-mitigation-grant-program> and alert PDM webpage subscribers when the results of the review are published. For information on how to sign up for a FEMA webpage subscription, visit <https://www.fema.gov/subscribe-receive-free-email-updates>.

Applicants with planning/project subapplications that are Identified for Further Review will receive notification through the Mitigation eGrants system via an automatic e-mail to the point(s) of contact designated in the Contact Information section of their PDM grant application. Subapplicants should contact their Applicant agency for information. Contact information for each SHMO is provided at <http://www.fema.gov/state-hazard-mitigation-officers>.

## **F. Federal Award Administration Information**

### **Notice of Award**

FEMA will provide the Federal award package to the Applicant electronically via the Mitigation eGrants system. Award packages include an award letter, Obligating Document for Awards/Amendments, and Articles of Agreement, including EHP review and/or other conditions. An email notification of the award package will be sent through the eGrants system to the Applicant point(s) of contact designated in the Contact section of their PDM grant application. See 2 CFR § 200.210, Information contained in a Federal award:

<http://www.gpo.gov/fdsys/granule/CFR-2014-title2-voll/CFR-2014-title2-voll-sec200-210>.

When FEMA obligates funds for a grant to an applicant, the applicant and subapplicant are denoted as recipient and subrecipient, respectively. The recipient and subrecipient agree to abide by the grant award terms and conditions as set forth in the Articles of Agreement provided in the award package. Recipients must accept all conditions in this NOFO as well as any Special Terms and Conditions. For detailed information, see the HMA Guidance, Part VI, A on the FEMA website: <http://www.fema.gov/media-library/assets/documents/103279>.

### **Administrative and National Policy Requirements**

All successful applicants for all DHS grant and cooperative agreements are required to comply with DHS Standard Administrative Terms and Conditions. The terms & conditions are located on the FAPO DHS Connect website in the *Standardized Formats and Templates folder* in the Document Library at the following location: <https://www.dhs.gov/publication/fy15-dhs-standard-terms-and-conditions>. The applicable DHS Standard Administrative Terms and Conditions will be those in effect at the time in which the award was made.

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

**Mitigation Plan Requirement.** All applicants and subapplicants must have a FEMA approved Mitigation Plan at the time of obligation of grant funds (as well as by the application deadline) to receive a project award under this program in accordance with Title 44 CFR Part 201. FEMA may grant an exception for the local or Tribal Mitigation Plan requirement to allow award of the project in extraordinary circumstances when justification is provided. More detailed information is provided Part III, E.5.3, Extraordinary Circumstances, of the HMA Guidance available on the internet at <http://www.fema.gov/media-library/assets/documents/103279>.

**Environmental Planning and Historic Preservation (EHP) Compliance.** As a Federal agency, FEMA is required to consider the effects of its actions on the environment and/or historic properties to ensure that all activities and programs funded by the agency, including grants-funded projects, comply with Federal EHP regulations, laws and Executive Orders as applicable. In some cases, FEMA is also required to consult with other regulatory agencies and the public in order to complete the review process. The EHP review process must be completed before funds are released to implement the proposed project. FEMA will not fund projects that are initiated without the required EHP review.

**Construction Project Requirements.** Acceptance of Federal funding requires FEMA, the recipient and any subrecipients to comply with all Federal, state and local laws prior to the start of any construction activity. Failure to obtain all appropriate Federal, state and local environmental permits and clearances may jeopardize Federal funding.

1. Any change to the approved scope of work will require re-evaluation by FEMA for recipient and subrecipient compliance with the NEPA and other laws and Executive Orders.
2. If ground disturbing activities occur during construction, the recipient and any subrecipients must ensure monitoring of ground disturbance, and if any potential archaeological resources are discovered, the subrecipient will immediately cease construction in that area and notify the recipient and FEMA.

**Acquisition Project Requirements.** The subrecipient must provide FEMA with a signed copy of the Statement of Voluntary Participation for each property post-award. The Statement of Voluntary Participation formally documents the Notice of Voluntary Interest and information related to the purchase offer. The Statement of Voluntary Participation is available on the FEMA website at <https://www.fema.gov/media-library/assets/documents/13708>.

Subrecipients must apply deed-restriction language to all acquired properties to ensure that the property is maintained in perpetuity as open space consistent with natural floodplain functions, as agreed to by accepting FEMA mitigation award funding. Deed-restriction language is applied to acquired properties by recording the open space and deed restrictions. The FEMA Model Deed Restriction is available on the FEMA website at <https://www.fema.gov/media-library/assets/documents/28496>.

### **Reporting**

Recipients are required to submit financial and programmatic reports to FEMA as a condition of their award acceptance throughout the period of performance, including partial calendar quarters, as well as for periods where no grant award

activity occurs. Future awards and fund drawdowns may be withheld if these reports are delinquent, demonstrate lack of progress, or are insufficient in detail.

The following reporting periods and due dates apply:

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

**Federal Financial Reporting Requirements.** Recipients must report obligations and expenditures on a quarterly basis through the Federal Financial Reporting (FFR), SF-425, to DHS/FEMA. Recipients must file the FFR electronically using the Payment and Reporting System (PARS). Award recipients must submit an FFR quarterly throughout the period of performance, including partial calendar quarters, as well as for periods where no grant award activity occurs. FEMA may withhold future awards and fund drawdowns if these reports are delinquent, demonstrate lack of progress, or are insufficient in detail.

The SF-425, FFR form, *OMB #4040-0014*, is available from the Grants.gov website: <https://www.grants.gov/web/grants/forms/post-award-reporting-forms.html>.

**Financial and Compliance Audit Report.** For audits of fiscal years beginning on or after December 26, 2014, recipients that expend \$750,000 or more from Federal funding sources during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the requirements of Government and Accountability Office's (GAO) Government Auditing Standards, located at <http://www.gao.gov/govaud/ybk01.htm>, and the requirements of Subpart F of 2 C.F.R. Part 200, located at <http://www.ecfr.gov/cgi-bin/text-idx?SID=55e12eead565605b4d529d82d276105c&node=2:1.1.2.1.1.6&rgn=div6>.

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

**Program Performance Reporting Requirements.** Recipients must report on the progress of the grant on a quarterly basis to DHS/FEMA using the Quarterly Performance Report in the eGrants system, *OMB #1660-0072*. The Quarterly Performance Reports must be electronically submitted in eGrants quarterly

throughout the period of performance, including partial calendar quarters, as well as for periods where no grant award activity occurs. Reports are due within 30 days from the end of the first Federal quarter following the initial grant award and thereafter until the grant ends.

**Close Out Reporting Requirements.** Within 90 days after the end of the period of performance, or after an amendment has been issued to close out a grant, whichever comes first, recipients must submit a final SF-425, FFR and final progress report detailing all accomplishments and a qualitative summary of the impact of those accomplishments throughout the period of performance.

If applicable, an inventory of all construction projects that used funds from this program has to be reported using the Real Property Status Report (SF-429), *OMB #4040-0016*, available on the Grants.gov website:

<https://www.grants.gov/web/grants/forms/post-award-reporting-forms.html>.

After FEMA has reviewed and approved these reports, FEMA will issue a close-out notice to the recipient to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR.

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

## **G. DHS Awarding Agency Contact Information**

### **Contact and Resource Information**

**Program Questions.** General questions about the PDM program can be directed to the appropriate FEMA Regional Office or SHMO. Contact information for FEMA Regional Offices is provided at <http://www.fema.gov/about-agency>. Contact information for each SHMO is provided at <http://www.fema.gov/state-hazard-mitigation-officers>.

The HMA Helpline is available via telephone: 1-866-222-3580 or email: [HMAGrantsHelpline@fema.dhs.gov](mailto:HMAGrantsHelpline@fema.dhs.gov).

**Financial and Administrative Questions.** FEMA Regional Assistance Officers manage, administer and conduct application budget review, create the award package, approve, amend and close out awards, as well as conduct cash analysis, financial monitoring, and audit resolution for this program. Contact the appropriate FEMA Regional Office for additional information. Contact information for FEMA Regional Offices is provided at <http://www.fema.gov/about-agency>.

**Technical Assistance.** Upon request, FEMA will provide technical assistance to applicants and subapplicants in preparing applications. FEMA encourages

applicants and subapplicants to seek technical assistance early in the application period by contacting their appropriate FEMA Regional Office. Contact information for FEMA Regional Offices is provided at <http://www.fema.gov/about-agency>.

For questions about cost effectiveness and FEMA's BCA software, contact the BC Helpline via telephone: 1-855-540-6744 or email: [BCHelpline@fema.dhs.gov](mailto:BCHelpline@fema.dhs.gov).

The Feasibility and Effectiveness Helpline is available for guidance on FEMA Building Science publications via email: [FEMA-BuildingScienceHelp@fema.dhs.gov](mailto:FEMA-BuildingScienceHelp@fema.dhs.gov).

A Helpline for guidance on FEMA Safe Room publications is available via email: [Saferoom@fema.dhs.gov](mailto:Saferoom@fema.dhs.gov).

For questions about NEPA or EHP requirements, the EHP Helpline is available via telephone: 1-866-222-3580 or email: [ehhelpline@fema.dhs.gov](mailto:ehhelpline@fema.dhs.gov).

The EHP POC is  
Portia Ross, CFM  
Integration and Technology Branch Chief  
Office of Environmental Planning and Historic Preservation  
FEMA / DHS  
500 C Street, SW  
Washington, DC 20472  
Desk: 202-212-5929  
Cell: 303-386-2316  
[portia.ross@fema.dhs.gov](mailto:portia.ross@fema.dhs.gov)

Resources and job aids intended to help applicants and subapplicants prepare mitigation planning and project applications are available on FEMA's Hazard Mitigation Assistance web page: <https://www.fema.gov/application-development-1>. FEMA has developed publications that specify the documentation and information necessary for FEMA to review project applications for feasibility and effectiveness, cost effectiveness, and potential impacts on environmental and cultural resources: <https://www.fema.gov/hazard-mitigation-assistance-publications>.

**Mitigation eGrants System.** Information, training and resources on the Mitigation eGrants system for applicant and subapplicant users are available on the FEMA website: <http://www.fema.gov/mitigation-egrants-system-0>. The eGrants Helpdesk can be reached via telephone: 1-855-228-3362 or email: [MTeGrants@fema.dhs.gov](mailto:MTeGrants@fema.dhs.gov).

## **H. Additional Information**

### **Extensions**

Extensions to this program are allowed, per HMA Guidance, Part VI, D.4.1 available on the internet at <http://www.fema.gov/media-library/assets/documents/103279>.

Recipients must submit proposed extension requests to FEMA for review and approval at least 60 days prior to the expiration of the grant period of performance.

Extensions to the initial period of performance identified in the award will be considered only through formal, written requests to the recipient's respective Region and must contain specific and compelling justification as to why an extension is required. Recipients are advised to coordinate with the Region as needed when preparing an extension.

All extension requests must address the following:

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

Requests for extensions to a grant period of performance will be evaluated by FEMA but will not be approved automatically. The Regional Administrator can extend the period of performance for up to twelve months with justification. All requests to extend the grant period of performance beyond twelve months from the original grant termination date must be approved by FEMA Headquarters.

### **Other**

#### **Related HMA Programs**

**Hazard Mitigation Grant Program.** The Hazard Mitigation Grant Program (HMGP) is authorized by Section 404 of the Stafford Act, 42 U.S.C. 5170c. The key purpose of HMGP is to ensure that the opportunity to take critical mitigation measures to reduce the risk of loss of life and property from future disasters is not lost during the reconstruction process following a disaster. HMGP funding is available, when authorized under a Presidential major disaster declaration, in the

areas of the State requested by the Governor. Tribal governments may also submit a request for a major disaster declaration within their impacted areas.

The amount of HMGP funding available to the Applicant is based on the estimated total of Federal assistance, subject to the sliding scale formula outlined in 44 CFR § 206.432(b) that FEMA provides for disaster recovery under the Presidential major disaster declaration. The formula provides for up to 15 percent of the first \$2 billion of estimated aggregate amounts of disaster assistance, up to ten percent for amounts between \$2 billion and \$10 billion, and up to 7.5 percent for amounts between \$10 billion and \$35.333 billion. For States with enhanced plans, the eligible assistance is up to 20 percent for estimated aggregate amounts of disaster assistance not to exceed \$35.333 billion. No more than seven percent of the HMGP funds available may be used for mitigation planning. The remaining funds may be used for projects. Local governments are considered subapplicants and must apply to their applicant state/territory who then may apply to FEMA on their behalf.

**Flood Mitigation Assistance.** The Flood Mitigation Assistance (FMA) program is authorized by Section 1366 of the National Flood Insurance Act of 1968, as amended (NFIA), 42 U.S.C. 4104c, with the goal of reducing or eliminating claims under the National Flood Insurance Program. FMA funding is available through National Flood Insurance Fund for flood hazard mitigation projects as well as plan development and is appropriated by Congress.

The total amount of funds distributed for FMA is determined once the appropriation is provided for a given Fiscal Year. All 50 States, the District of Columbia, U.S. Territories, and Federally-recognized Native American Tribal governments are eligible to apply for FMA funds. Projects that mitigate severe repetitive loss and repetitive loss properties are the priority for FMA funding. Local governments are considered subapplicants and must apply to their applicant state/territory who then may apply to FEMA on their behalf.

Further information regarding these programs is available in the HMA Guidance on the FEMA website: <http://www.fema.gov/media-library/assets/documents/103279>.

### **Payment**

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

FEMA uses the Direct Deposit/Electronic Funds Transfer (DD/EFT) method of payment to recipients. To enroll in the DD/EFT, the recipient must complete a SF-1199A, Direct Deposit Form.

### **Conflict of Interest**

To eliminate and reduce the impact of conflicts of interest in the subaward process, recipients must follow their own policies and procedures regarding the elimination or reduction of conflicts of interest when making subawards. Recipients are also required to follow any applicable State, local, or tribal statutes or regulations governing conflicts of interest in the making of subawards.

The recipient must disclose to FEMA, in writing, any real or potential conflict of interest as defined by the Federal, state, local, or tribal statutes or regulations or their own existing policies that may arise during the administration of the federal award. Recipients must disclose any real or potential conflicts to the FEMA Program Analyst within fifteen days of learning of the conflict of interest, per HMA Guidance Part III, D.2 available on the internet at <http://www.fema.gov/media-library/assets/documents/103279>. Similarly, subrecipients must disclose any real or potential conflict of interest to the recipient as required by the recipient's conflict of interest policies, or any applicable State, local, or tribal statutes or regulations.

Conflicts of interest may arise during the process of FEMA making a Federal award in situations where a FEMA employee, officer, or agent, any members of his or her immediate family, or his or her partner has a close personal relationship, a business relationship, or a professional relationship, with an applicant, subapplicant, recipient, subrecipient, or FEMA employee.

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