

**The Department of Homeland Security  
Notice of Funding Opportunity  
FY 15 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/documents/19/18243/SAM New Grantee Registration.pdf/8bf1c182-8d35-47e0-99e2-a263fa3d9005](http://www.grants.gov/documents/19/18243/SAM%20New%20Grantee%20Registration.pdf/8bf1c182-8d35-47e0-99e2-a263fa3d9005)

**A. Notice of Funding Opportunity (NOFO) Description**

**Issued By**

U.S. Department of Homeland Security, Federal Emergency Management Agency,  
Federal Insurance and Mitigation Administration, Risk Reduction Division

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

97.047

**CFDA Title**

Pre-Disaster Mitigation

**Notice of Funding Opportunity Title**

FY 15 Pre-Disaster Mitigation

**NOFO Number**

DHS-15-MT-047-000-99

**Authorizing Authority for Program**

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

**Appropriation Authority for Program**

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

**Program Type**

Continuation

**Program Overview, Objectives, and Priorities**

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. This PDM program strengthens National Preparedness and Resilience and supports the national preparedness goal of mitigation, as specified in the Presidential Policy Directive (PPD-8).

### **Objectives**

- Minimize risk to the population and structures from future hazard events
- Reduce reliance on Federal funding from future disasters

### **Priorities**

1. Planning and project activities up to a maximum of \$250,000 Federal share for each State, Territory and the District of Columbia in accordance with Section 203(f) of the Stafford Act
2. Planning and project activities up to a maximum of \$250,000 Federal share per Federally-recognized Native American Tribe not to exceed \$5 million total as a Tribal set aside
3. Planning activities for all Applicants, including Tribes, that do not have Hazard Mitigation Grant Program (HMGP) funds available
4. Non-flood hazard mitigation projects for all Applicants that do not have HMGP funds available
5. Flood mitigation projects for all Applicants that do not have HMGP funds available
6. Planning activities for all Applicants that have HMGP funds available
7. Non-flood hazard mitigation projects for all Applicants that have HMGP funds available
8. Flood mitigation projects for all Applicants that have HMGP funds available

For the planning and project activities within each competitive category (#3-8 above), FEMA will further prioritize activities in communities with the highest assessed Building Code Effectiveness Grading Schedule (BCEGS) rating from a grade of 1 (exemplary commitment to building code enforcement) to 10 as needed to make selections. In the event of a tie for projects, FEMA will further prioritize by the highest FEMA-validated Benefit Cost Ratio (BCR) to make selections.

See Section H, Additional Information - Other Hazard Mitigation Assistance Programs for information on HMGP.

For more information on BCEGS, please visit the Insurance Services Office - Mitigation Online website:

<http://www.isomitigation.com/bcegs/0000/bcegs0001.html>. For more information

on BCEGS programs in independent-bureau states, see state contacts listed at <http://www.isomitigation.com/docs/rpc0001.html>.

**B. Federal Award Information**

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

Available Funding for the NOFO: \$30,000,000

**Projected number of Awards:** 100

**Period of Performance:** 41 months

The Period of Performance begins with the opening of the application period and ends no later than 36 months from the date of subapplication selection. 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 – Extension.

**Projected Period of Performance Start Date:** 05/29/2014

**Projected Period of Performance End Date:** 10/31/2018

**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.

Local governments are considered Subapplicants and must apply to their Applicant State/Territory.

**Eligibility Criteria**

To receive an award under this program, and in accordance with Title 44 Code of Federal Regulations (CFR) Part 201, all Applicants and Subapplicants applying for mitigation projects must have a FEMA approved Mitigation Plan by the application deadline and at the award date. There is no mitigation plan requirement for planning subapplications. More detailed information is provided in the FY 2015 Hazard Mitigation Assistance (HMA) Guidance, Part III, E.5, Hazard Mitigation Plan Requirement, available on the HMA web page on the internet at <http://www.fema.gov/media-library/assets/documents/103279>.

## **Maintenance of Effort**

Maintenance of effort is NOT required under this program.

## **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 are 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 may be eligible for up to a 90 percent Federal cost share 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 are eligible for a non-Federal cost share of 10 percent. Applicants must certify and provide documentation of small impoverished community status with the subapplication to justify the 90 percent Federal cost share. If documentation is not submitted with the subapplication, 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 cost-share amount, not only the amount over \$200,000.

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

**D. Application and Submission Information**

**Submission Date and Other Key Dates and Times**

**Application Start Date:** 05/29/2015

**Application Submission Deadline:** 08/28/2015 at 03:00:00 PM [Eastern Time Zone]

Applications that are not submitted within the stated Application Submission Deadline will not be reviewed or considered for funding.

**Anticipated Funding Selection Date:** 10/31/2015

**Anticipated Award Date:** 12/31/2015

**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 Employee 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

**Address to Request Application Package**

All applications must be submitted via the Mitigation eGrants system through the FEMA Grants Portal on the internet at <https://portal.fema.gov>.

Blank copies of applications that conform to the Mitigation eGrants system format are available for reference only. To obtain blank applications, please download from the eGrants system: <https://portal.fema.gov> or from the FEMA internet:

- Subapplicants will find the blank planning and project subapplications at <https://www.fema.gov/application-development-process/subgrant-applicants-blank-applications>;
- Applicants will find the blank planning, project and management costs subapplications and the PDM grant application at: <https://www.fema.gov/hazard-mitigation-grant-program/grant-applicants-blank-applications>.

For a hardcopy of the full NOFO, please download from the common electronic “storefront” [grants.gov](http://grants.gov). 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**

Subapplicants must submit their planning and project subapplications to their respective Applicant. Applicants will determine which subapplications to include in a PDM grant application for submittal to FEMA.

- Mitigation planning activities must be submitted in a planning subapplication;
- Mitigation project activities must be submitted in a project subapplication;
- Applicant management costs must be submitted in a management costs subapplication (for Applicants only);
- Planning, project and management costs subapplications must be included in a PDM grant application for submittal to FEMA by the Applicant.

Some Applicants also may require their Subapplicants to submit a project pre-application for approval prior to a project subapplication. Subapplicants should contact their Applicant agency for information specific to their state/territory’s application process. Contact information for the State Hazard Mitigation Officer (SHMO) is provided on the following FEMA webpage: <http://www.fema.gov/state-hazard-mitigation-officers>.

Applicants must use the planning, project, management costs subapplications and the PDM grant application in the Mitigation eGrants system to submit PDM grant applications to FEMA. If a Subapplicant does not use the eGrants system to submit planning and project subapplications, the Applicant must enter the subapplication(s) into the eGrants system on the Subapplicant’s behalf. 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>.

Applicants may include a maximum of 11 subapplications in their PDM grant application, including 1 subapplication for Applicant Management Costs. Of the 10 subapplications for hazard mitigation activities, no more than 3 subapplications may be submitted for projects.

Applicants must rank their subapplications in priority order in the Mitigation eGrants system. Each Applicant’s highest ranked planning or project subapplication must not exceed \$250,000 Federal share in order for the Applicant to be considered for the State/Tribal set aside (see Program Priorities in Section A above).

In addition, the following documentation must be attached to applications in the Mitigation eGrants system:

- Documentation of non-Federal cost share for all activities to be cost-shared.
- A FEMA-approved benefit-cost analysis for all mitigation projects, as specified in the HMA Guidance, Part IV, D.3, Cost Effectiveness, available on the HMA web page on the internet at <http://www.fema.gov/media-library/assets/documents/103279>.
- Assurances and Certifications (required from Applicants only)
  - Assurances - Non Construction Programs; FF 112-0-3A (formerly FF 20-16A) *OMB # 1660-0025* or Assurances for Non-Construction Programs; SF-424B *OMB #4040-0007*
  - Assurances – Construction Programs; FF 112-0-3B (formerly FF 20-16B) *OMB #1660-0025* or Assurances for Construction Programs; SF-424D *OMB #4040-0009*
  - Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibilities Matters; and Drug-Free Workplace Requirements; FF 112-0-3C (formerly FF 20-16C) *OMB #1660-0025*
  - Disclosure of Lobbying Activities (if the Applicant has engaged in or intends to engage in lobbying activities); SF-LLL *OMB #0348-0046*
- Grant Application (required from Applicants only); FF 112-0-10 *OMB #1660-0025* or Application for Federal Assistance; SF-424 *OMB #4040-0002*
- Budget Information - Non-Construction Programs (required from Applicants only); FF 20-20 *OMB #1660-0025* or Budget Information for Non-Construction Programs; SF-424A *OMB #4040-0006*

The FEMA forms are available on the internet at <https://www.fema.gov/forms>. The OMB forms are available on the Grants.gov site from the Forms tab at <http://www.grants.gov/web/grants/forms.html>.

Some Applicants may require their Subapplicants to complete and attach the Assurance and Certifications and/or the grant application forms to their planning and project subapplications 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 following FEMA webpage: <http://www.fema.gov/state-hazard-mitigation-officers>.

### **Property Acquisition**

Project subapplications for property acquisition must include the FEMA Statement of Assurances signed by the Subapplicant's authorized agent to provide acknowledgement of, and agreement to, the requirements in the model Statement of Assurances available at <https://www.fema.gov/media-library/assets/documents/28695>. Subapplications that do not include a signed FEMA Statement of Assurances are incomplete and will not be considered for funding.

The subapplication must include a sample of the deed restriction (not including property-specific details) that the Subapplicant intends to record with each property deed. The sample must be consistent with the FEMA Model Deed Restriction, which is available on the FEMA website at <https://www.fema.gov/media-library/assets/documents/28496>.

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

DHS is participating in the Grants.gov Initiative that provides the Grant Community a single site to find grant funding opportunities:

<http://www.grants.gov/web/grants/applicants/apply-forgrants.html>. Before you can apply for a DHS grant, you must have a DUNS number and must be registered in the SAM.

The DUNS number must be included in the Applicant Information section of grant applications and subapplications in the Mitigation eGrants system. Instructions for obtaining a DUNS number can be found at the following website: <http://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>.

**System for Award Management.** In addition to having a DUNS number, Applicants must register with the federal 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>.

**Please give yourself plenty of time before your grant application submission deadline to obtain a DUNS number and then to register in SAM. It may take 4 weeks or more after you submit your SAM registration before your registration is active in SAM.**

**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/organizational-structure>. 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 Applicant agency regarding the status of their registrations. Contact information for the FEMA Regional Offices is provided on the FEMA website: <https://www.fema.gov/organizational-structure>. 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.

**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. When the AOR submits applications through the Mitigation eGrants system using his or her password, the AOR’s name is inserted into the signature line of the application. Applicants/Subapplicants must register the individual who is able to make legally binding commitments for the Applicant/Subapplicant organization as the AOR; this step is often missed and is crucial for valid submissions.

If you experience difficulties with the eGrants system, please contact the helpdesk by telephone: 1-855-228-3362 or email: [MTeGrants@fema.dhs.gov](mailto:MTeGrants@fema.dhs.gov).

FEMA 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 FEMA is ready to make a Federal award, FEMA may determine that the Applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another Applicant.

## **Intergovernmental Review**

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

## **Funding Restrictions**

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

### **Program Funding Restrictions**

Allowable activities in support of PDM program objectives include:

- Hazard mitigation planning consistent with 44 CFR Part 201
- Cost-effective and sustainable hazard mitigation projects that conform with FEMA-approved State/Tribal/local mitigation plans:
  - Property Acquisition and Structure Demolition or Relocation
  - Structure Elevation
  - Dry Flood-Proofing
  - Minor Localized Flood Reduction
  - Structural Retrofitting of Existing Buildings
  - Non-structural Retrofitting of Existing Buildings
  - Safe Room Construction
  - Infrastructure Retrofit
  - Soil Stabilization
  - Wildfire Mitigation
  - Drought Mitigation
  - Generators for the protection of critical facilities
- Information Dissemination activities, including public awareness and education (brochures, workshops, videos, etc.), related to a proposed planning or project activity
- Applicant and Subapplicant Management Costs for administering and managing grant and subgrant activities

The maximum Federal share for PDM activities is as follows:

- \$3M for mitigation projects
- \$400,000 for new mitigation plans
- \$150,000 for mitigation plan updates
- 10 percent of submitted plan and project subapplications for information dissemination activities included in plan and project subapplications

- 5 percent of submitted plan and project subapplications for Subapplicant management costs included in plan and project subapplications
- 10 percent of grant application for Applicant management costs

Allowable costs are:

- 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>.

### **Construction Project Requirements**

Acceptance of Federal funding requires FEMA, the Applicant and any Subapplicants 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 Applicant and Subapplicant compliance with the National Environmental Policy Act and other laws and Executive Orders.
2. If ground disturbing activities occur during construction, the Applicant and any Subapplicants must ensure monitoring of ground disturbance, and if any potential archeological resources are discovered, the Subapplicant will immediately cease construction in that area and notify the Applicant and FEMA.

### **Acquisition Project Requirements**

The Subapplicant 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>.

Subapplicants 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>.

### **Pre-Award Costs**

Pre-award costs directly related to developing the application or subapplication after the application period has opened, but prior to the date of the grant award or final approval, are allowed. Such costs may have been incurred, for example, to develop a Benefit Cost Analysis, to gather Environmental and Historic Preservation data, for preparing design specifications, or for workshops or meetings related to development and submission of applications and subapplications. Applicants and Subapplicants who are not awarded grants or subgrants (awards/subawards) will not receive reimbursement for the corresponding pre-award costs.

To be eligible for pre-award costs, the amount requested must be identified as separate line items in the cost estimate of the subapplication. Applicants and Subapplicants may identify pre-award costs as their non-Federal cost share in the Cost Share section of the subapplication. 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>.

Costs associated with implementation of the activity but incurred prior to grant award or final approval are not eligible. Projects initiated or completed prior to grant award or full approval of the subapplication are not eligible.

### **Management and Administration**

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, 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 10 percent of the PDM grant application for Applicant management costs. Applicant requests for management costs must be submitted in a management costs subapplication in the eGrants system. A blank

management cost subapplication is available for reference at <https://www.fema.gov/hazard-mitigation-grant-program/grant-applicants-blank-applications>.

Subapplicants may apply for 5 percent of submitted plan and project subapplications for Subapplicant management costs. Subapplicant management costs must be identified as separate line items in the cost estimate of the planning or project subapplication.

Management costs are only awarded in conjunction with awarded project or planning subapplications. Applicants and Subapplicants who do not have any planning/project subapplications selected for award may not receive reimbursement for management costs (see Review and Selection Process in Section E).

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

Indirect costs are allowable under this program as described in 2 CFR § 200.414. With the exception of Applicants who have never received a negotiated indirect cost rate as described in 2 CFR § 200.414(f), Applicants 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**

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. Applicants and Subapplicants proposing projects that have the potential to impact the environment, including but not limited to construction of communication towers, modification or renovation of existing buildings, structures and facilities, or new construction including replacement of facilities, must participate in the FEMA EHP review process. The EHP review process involves the submission of a detailed project description that explains the goals and objectives of the proposed project along with supporting documentation so that FEMA may determine whether the proposed project has the potential to adversely impact environmental resources and/or historic properties. In some cases, FEMA is also required to consult with other regulatory agencies and the public in order to complete the review process. The EHP review process must be completed before funds are released to carry out the proposed project. FEMA will not fund projects that are initiated without the required EHP review.

## **E. Application Review Information**

### **Criteria**

FEMA will review the 10 highest ranked planning and project subapplications plus one management cost subapplication 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 the HMA Guidance, Part VI, Application Review Information, available on the FEMA website: <http://www.fema.gov/media-library/assets/documents/103279>.

### **Review and Selection Process**

FEMA will select eligible planning and project subapplications and associated Applicant management cost subapplications up to the available amount of funding in order of the agency's priorities:

1. Planning and project subapplications from each State, Territory and the District of Columbia in order of the Applicant's rank (#1–11) to the lowest ranked subapplication that brings the total selection up to a maximum of \$250,000 Federal share per Applicant to meet the one percent set aside required by Section 203(f) of the Stafford Act.

For example, #1 ranked subapplication for \$100,000 Federal share and #2 ranked subapplication for \$140,000 are selected; however, #3 ranked subapplication for \$70,000 and #4 ranked \$250,000 subapplication will be considered on a competitive basis.

If an Applicant's highest ranked planning or project subapplication exceeds \$250,000 Federal share, then the Applicant's subapplications will not be considered for the set aside but on a competitive basis only in priorities 3-8 below.

2. Planning and project subapplications from each Tribal Applicant in the Tribe's rank order (#1–11) up to a maximum of \$250,000 Federal share per Tribe not to exceed \$5 million total for Tribes.

For example, #1 ranked subapplication for \$175,000 Federal share is selected; however, #2 ranked subapplication for \$250,000 will be considered on a competitive basis.

If a Tribe's highest ranked planning or project subapplication exceeds \$250,000 Federal share, then the Tribe's subapplications will not be considered for the set aside but on a competitive basis only in priorities 3-8 below.

3. Planning subapplications from Applicants (including States, Territories and Tribes) that do not have HMGP funds available
4. Non-flood hazard project subapplications from Applicants that do not have HMGP funds available
5. Flood mitigation project subapplications from Applicants that do not have HMGP funds available
6. Planning subapplications from Applicants that have HMGP funds available
7. Non-flood hazard project subapplications from Applicants that have HMGP funds available
8. Flood hazard project subapplications from Applicants that have HMGP funds available

Within each competitive category in priorities 3-8 above, FEMA will prioritize activities from Subapplicants with the highest assessed (Building Code Effectiveness Grading Scale (BCEGS) rating from a grade of 1 to 10. If necessary, FEMA will further prioritize projects by the highest FEMA-validated Benefit Cost Ratio. For more information on BCEGS, please visit the Insurance Services Office - Mitigation Online website: <http://www.isomitigation.com/bcegs/0000/bcegs0001.html>. For more information on BCEGS programs in independent-bureau states, see state contacts listed at <http://www.isomitigation.com/docs/rpc0001.html>.

Cost sharing will not be considered in the selection process.

FEMA may select a subapplication out of priority order based upon 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; and,
- Other pertinent information.

Management costs subapplications will be selected for Applicants with selected planning/project subapplications on a case by case basis not to exceed 10 percent of the awarded planning/project subapplications or the amount requested.

Selected subapplications are given a status of Identified for Further Review. Eligible subapplications that are not Identified for Further Review due to funding

limitations will be given a status of Not Selected. Planning and project subapplications that do not satisfy the eligibility and completeness requirements will be given a status of Did Not Meet HMA Requirements.

At its discretion, FEMA may review a decision regarding a planning or project subapplication that Did Not Meet HMA Requirements only where there is an indication of material, technical, or procedural error that may have influenced FEMA's decision. There will be no reconsideration regarding the amount of Applicant management costs. For more detailed information on the selection process, see Part V, B of the HMA Guidance available on the FEMA website: <http://www.fema.gov/hazard-mitigation-assistance>.

Prior to making an award, FEMA will evaluate a pass-through entity 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 the HMA Guidance, Part VI, B, available on the internet at <http://www.fema.gov/media-library/assets/documents/103279>.

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

FEMA anticipates announcing the status of applications by 10/31/2015.

FEMA will post the status of the planning and project subapplications on the FEMA website: <http://www.fema.gov/hazard-mitigation-assistance> 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 their PDM grant application.

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

##### **Notice of Award**

FEMA will provide an award package to the Applicant via the Mitigation eGrants system. The award package must be electronically signed by the Applicant and returned to FEMA for approval in the eGrants system before a Federal award can be made and funds can be obligated. An email notification of the award package will be sent through the eGrants system to the Applicant point(s) of contact designated in the PDM grant application. Award packages include an award letter, Obligating Document for Awards/Amendments, and Articles of Agreement, including EHP and/or other conditions. See 2 CFR § 200.210, Information contained in a Federal award: <http://www.gpo.gov/fdsys/granule/CFR-2014-title2-vol1/CFR-2014-title2-vol1-sec200-210>.

The Applicant shall notify FEMA of its intent to accept the award package and proceed with work under the award, or provide notice of intent to decline via the eGrants system no later than 90 days from the date the award package is provided by FEMA. Funds will remain on hold until the Applicant accepts the award package and all other conditions of award have been satisfied, or the award is otherwise rescinded.

The Applicant and Subapplicant agree to abide by the grant award terms and conditions as set forth in the Articles of Agreement provided in the Award Package. When the Applicant or Subapplicant accepts an award or subaward, they are denoted as Recipient and Subrecipient, respectively.

After the Recipient has accepted the award package in the eGrants system, a FEMA grants officer will electronically sign the award, and FEMA will obligate the grant funds. The Federal award date is the date that the authorized FEMA official signs an award package. The Federal award package will be made available electronically via the eGrants system. For detailed information on notice of award, 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 must comply with DHS Standard Administrative Terms and Conditions available at: <https://www.dhs.gov/publication/fy15-dhs-standard-terms-and-conditions>.

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

### **Reporting**

Recipients are required to submit financial and programmatic reports 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**

The SF-425, Federal Financial Reporting Form (FFR) is available here: [http://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf), SF-425 OMB #00348-0061.

Recipients must submit the SF-425, PPR using the Payment and Reporting System (PARS).

### **Program Performance Reporting Requirements**

The Performance Progress Report (PPR) is available here: [http://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/sf-pr.pdf](http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/sf-pr.pdf), SF-PPR OMB #0970-0334.

Recipients must submit the SF-PPR using the Mitigation eGrants system.

### **Close Out**

Within 90 days after the end of the period of performance, or after an amendment has been issued to close out a grant, whichever comes first, Recipients must submit a final SF-425 and final SF-PPR 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 SF-429, Real Property Status Report available from the Office of Management and Budget's Grants Management Forms webpage:

[http://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/sf-429.pdf](http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/sf-429.pdf).

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 three years from the date of the final SF-425.

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 <https://www.fema.gov/regional-operations>. 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/regional-operations>.

### **Technical Assistance**

Upon request, FEMA will provide technical assistance. 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/regional-operations>.

For questions about Benefit-Cost Analysis, 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).

The Environmental & Historic Preservation Helpline is available via telephone: 1-866-222-3580 or email: [ehhelpline@fema.dhs.gov](mailto:ehhelpline@fema.dhs.gov).

### **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: [MTeGrantsHelpdesk@fema.dhs.gov](mailto:MTeGrantsHelpdesk@fema.dhs.gov).

## **H. Additional Information**

### **Other Hazard Mitigation Assistance Programs**

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. 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. Local governments are considered Subapplicants and must apply to their Applicant State/territory.

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. Local governments are considered Subapplicants and must apply to their Applicant State/territory.

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 the Payment and Reporting System (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.

### **Extensions**

Extensions to this program are allowed.

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

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.

### **Conflict of Interest**

To eliminate and reduce the impact of conflicts of interest in the subaward process, Recipients and pass-through entities must follow their own policies and procedures regarding the elimination or reduction of conflicts of interest when making subawards. Recipients and pass-through entities 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 or pass-through entity 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 and pass-through entities must disclose any real or potential conflicts to the FEMA Program Analyst within five days of learning of the conflict of interest. Similarly, Subrecipients must disclose

any real or potential conflict of interest to the pass-through entity 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 an 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.