

**Overview of Process**

The application process for the Hazard Mitigation Grant Program consists of the following steps:

1. The State notifies potential applicants of the availability of funds.
2. Applicants submit projects to the State.

Early on the State alerts FEMA of projects likely to be selected that will require detailed environmental review.

3. The State HMGP staff or team thoroughly reviews the projects submitted by potential subgrantees.

The State selects projects that best fit within its priorities and appear to be eligible.

4. The State submits selected projects to FEMA, in priority order. (Managing States forward only summaries, otherwise States send full applications to FEMA.)

5. FEMA reviews the application or the State’s eligibility recommendation and environmental documentation.

6. If the application is approved, the State begins grant management.



Job Aid 6-1

The flowchart shown in Job Aid 6-1 summarizes the basic steps in the application process.

**Timeframes**

To ensure timely administration of the HMGP, FEMA and all States will follow the timeframes detailed below.

This is a review of timeframes presented in Section 4.

**Application Submittal**

The State will submit all selected local applications or summaries to the Regional Director within 90 days after the State Hazard Mitigation Plan is approved. (Approximately 9-18 months after disaster declaration.)

**Obligations**

The Regional Director will obligate all funding within 24 months after the disaster declaration.

**Funds Expire**

Any HMGP funds not obligated or committed to a pending project application after the 24-month obligation deadline expire, and are no longer available.

**Extensions**

The Regional Director may extend any of the above timeframes by 90 days, in the event of extraordinary circumstances, upon a written request from the State. The Associate Director for Mitigation may extend timeframes related to FEMA actions by 90 days, in the event of extraordinary circumstances, upon written request by the Regional Director.

## Section 6: The Application Process

### Application Timeframe

The flowchart shown in Job Aid 6-2 illustrates the chain of events and accompanying timeframes when application to the HMGP is made.



Job Aid 6-2

### Local Application to State

There is no standard form required for the local community application to the State for the HMGP. However, States may provide potential applicants with a State application form, a copy of this section, or the HMGP Applicant Handbook to encourage complete applications in a uniform format. NEMIS also provides a model application outline for State use. (See Job Aid 6-4.)



Job Aid 6-4

### The Project Application

There are 10 sections in the project application that must be completed by the applicant:

1. Applicant Information
2. Summary Project Information
3. Description of the Problem
4. Description of Applicant's Decision-Making Process
5. Project Description
6. Project Cost Estimate and Match Source
7. Maintenance Assurance
8. Cost-Effectiveness (Risk) Information
9. Environmental and Historical Considerations
10. Attachments

Subpart N requirement 44 CFR 206.434(b)(5)(iii) reads, in part: “. . . project has been determined to be the most practical, effective, and environmentally sound alternative after considering a range of options.”

Section 4 of the proposal should clearly demonstrate that other options were considered, and the reasons why they were not selected.



**TIP: Refer to the HMGP Applicant Handbook for further detail.**

### State Application to FEMA

The State makes a single application to FEMA representing all the local applications selected by the State in priority order. This application usually takes the form of Standard Forms 424 and 424d as a cover sheet, with the selected local applications attached. If the State does not send all local applications at one time, it may amend the initial application with an amended Standard Form 424 and additional local applications attached. Managing States submit project summaries instead of local applications. (See Job Aid 6-3 for a sample Standard Form 424.)



Job Aid 6-3

Some States send an SF 424 as a cover sheet for each project. This is not required.

## Managing States

For Managing States, FEMA's role in the review process is primarily to confirm the State's eligibility decisions. Applicants submit proposed projects to the State for thorough review and ranking. States forward project summaries to FEMA for review. Later, FEMA may review a sampling of applications during a joint State/FEMA program evaluation.

For those States that request it, FEMA continues to offer support in benefit-cost analysis and other areas, as needed. However, States are urged to hire and/or train staff to fully implement and manage the program.

FEMA retains primary responsibility for compliance with the National Environmental Policy Act and other Federal environmental laws and Executive orders. While the applicant and State submit the environmental research and analysis, FEMA approves the environmental decision document.

Instead of submitting full applications to FEMA, the Managing State forwards a project summary containing the following information:

1. Major disaster number from which mitigation funds will be obligated by FEMA.
2. A hazard mitigation project number.
3. FIPS code.
4. Project location.
5. U.S. Congressional District (Senators and Representatives).
6. Applicant name(s) (i.e., Community and POC information).
7. Brief description of the project.
8. List of alternatives considered (e.g., acquisition, elevation, drainage upgrade).
9. Total project cost.
10. Amount requested (Federal share).
11. Non-Federal cost-share amount and source (e.g., local, State).
12. Proposed performance period (completion date).
13. Reviews/Results: (See Job Aid 6-5 for State Review Results).

~~///~~ Certify that the State has reviewed and determined that this project is eligible.

~~///~~ Attach record of environmental review.

~~///~~ Attach benefit-cost summary sheet.



Job Aid 6-5

## Section 6: The Application Process

### NEMIS Application

The HMGP Application Development module of the National Emergency Management Information System enables each State to store project applications and submit them to FEMA regional personnel in digital format.

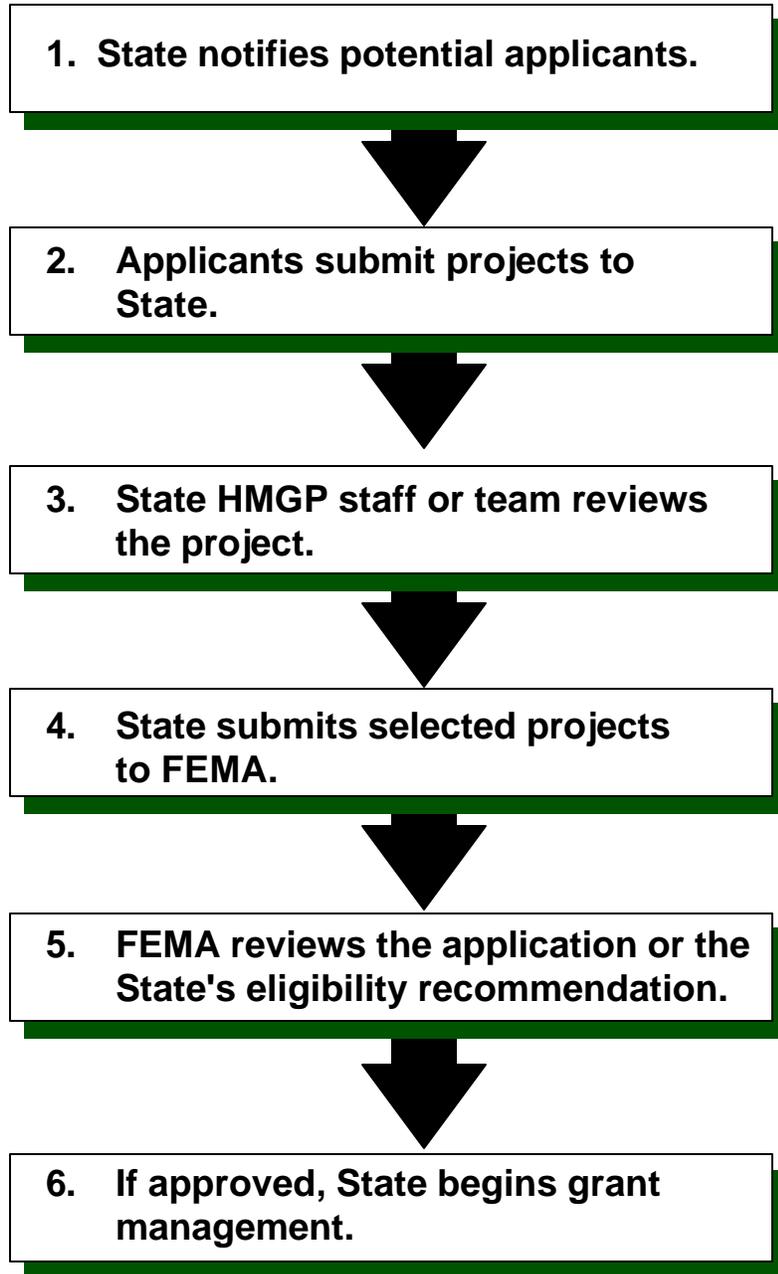
See Job Aid 6-7 for guidance on creating an application with NEMIS.



Job Aid 6-7



*Hazard Mitigation Grant Program Application Process*







## Section 6: The Application Process



### *Project Application Checklist*

Use this checklist to ensure that an HMGP application is complete. The checklist will assist in the review and will speed the application process.

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Applicant \_\_\_\_\_

Project Title \_\_\_\_\_

(Ensure that project title above matches that of the attached project application.)

#### **1. Applicant Information**

† † What is the name of applicant organization?

† † Is contact information for the applicant provided?

† † Did the applicant check a (proper) category of eligible applicants from below?

?? State or local government.

?? Native American tribe

?? Special governmental district

?? Eligible private non-profit (PNP)

† † If the applicant is a PNP:

?? Is there a description of the legal status, function, and facilities owned?

?? Is the State or Federal tax number and tax-exempt certificate provided?

† † If the applicant is a Native American tribe:

?? Is the appropriate tribal identification number or other proof of eligibility provided?

?? "Standard Applicant Certifications and Assurances" (See your States' application.)

† † Has the applicant signed the project application?

† † Has the applicant provided the following additional information?

?? Applicant's FIPS number for this disaster

?? Applicant's NFIP participation, status, and compliance history

?? List of all Project Worksheets that relate to this project, if any





**Project Application Checklist (Continued)**

**2. Summary Project Information**

- † † Does the project title adequately describe the proposed measure?  
(location and project type)
- † † Has the applicant estimated the total cost of the mitigation measure?
- † † Has the applicant specified the requested HMGP grant amount  
(Federal share)?
- † † Confirm and certify that the project is in conformance with the State Mitigation Plan required by  
Section 409 of the Stafford Act.

**3. Description of the Problem**

- † † Has the applicant written a narrative description of the existing problem that includes a brief  
narrative description of the existing problem, the location, the source of the hazard, and the  
history and extent of the damage?

**4. Description of Applicant's Decision-Making Process**

- † † Has the applicant described the process for selecting the project as the best solution to the  
problem?
- † † Are the alternative approaches that were considered listed?
- † † Has it been confirmed that the selection process used by the applicant was sufficient and  
included appropriate public notice and involvement?

**5. Project Description**

- † † Has the applicant written a narrative description of the mitigation measure?
- † † Does the application explain how and to what extent the project solves the problem?
- † † Is there a detailed scope of work with:
  - ?? Schematic plans and preliminary engineering specifications?
  - ?? Explanation if mitigation measure is a functional part of a bigger project?
  - ?? Property site inventory (especially residential retrofits and acquisitions)?
  - ?? Building construction date, condition, and renovation history?  
(if applicable)
  - ?? Maps of site/location (street, plat, flood, topographic)?

## Section 6: The Application Process

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### *Project Application Checklist (Continued)*

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#### **5. Project Description (Continued)**

- ?? Photographs?
- ?? Work schedule (milestones, start/stop, limitations)?

#### **6. Project Cost Estimate and Match Source**

† † Ensure that the following are provided:

- ?? An estimate of the total mitigation project budget, including any items to be used as match;
- ?? Line-items that reflect elements identified in the scope of work; and
- ?? The source and value of funds to be used for the non-Federal match.

#### **7. Maintenance Assurance**

- † † Has the applicant identified any maintenance required to preserve the long-term mitigation effectiveness of the project?
- † † Are maintenance costs and schedules included?
- † † Is the entity that will perform the long-term maintenance identified?
- † † If the responsible entity is other than the applicant, is a letter attached from the entity accepting performance responsibility?

#### **8. Cost-Effectiveness (Risk) Information**

- † † At a minimum, has the applicant provided the following in order to calculate a “lower bound” benefit-cost ratio using the FEMA module?
  - ?? Cost of observed damages in declared events (includes PA, IA, NFIP, etc.);
  - ?? Frequency of declared events (years);
  - ?? Average facility or facility occupancy (24 hours/7 days per week);
  - ?? Building structural type;
  - ?? Total floor area (sf);
  - ?? First finished floor elevation;
  - ?? Annual operating budget for the building or facility.



**Project Application Checklist (Continued)**

**8. Cost-Effectiveness (Risk) Information (Continued)**

- † † Loss of function (time) based on various frequency events;
- † † Loss of function (\$) based on various frequency events;
- † † Annual budget of public or non-profit agencies occupying facility;
- † † Total monthly rent from all tenants (\$/month); and
- † † Estimated net income of commercial businesses (\$/month).

**9. Environmental and Historic Review Information**

- † † Non-construction or ground disturbance projects (e.g., planning, training, education, mapping, studies, codes development inspection/monitoring) do not require detailed environmental review.
- † † For all other projects, ensure that Environmental Considerations and Review Checklist (Job Aid 8-2, or an equivalent) is completed and attached.

**10. Attachments**

- † † Review attachments to the application, which may include:
  - ?? PNPs: Tax-exempt certificate and articles of incorporation;
  - ?? Schematic plans and preliminary engineering specifications;
  - ?? Maps of site/location (street, plat, flood, topographic);
  - ?? Photographs;
  - ?? Detailed address list (if multi-site project);
  - ?? Maintenance agreement (if other than applicant responsible for maintenance);
  - ?? Environmental/historic studies and letters.

## Section 6: The Application Process

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### *State Review Results*

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By signing the SF 424 and forwarding a project application or summary to FEMA, the State certifies that:

- ///* The applicant is eligible based on HMGP regulations and guidance.
- ///* The project is in conformance with the State Mitigation Plan required by Section 409 of the Stafford Act.
- ///* The selection process used by the applicant was sufficient and included appropriate public notice and involvement.
- ///* The applicant's project description and proposed scope of work are sufficiently detailed and documented to determine eligibility based on the HMGP regulations and guidance.
- ///* The applicant's costs are accurate, complete, and reasonable compared to industry standards, and that non-Federal matching funds are or will be available for the project.
- ///* The maintenance requirements have been sufficiently identified, and the applicant or another authorized entity has accepted performance responsibility.
- ///* The applicant's underlying benefit-cost data is accurate and complete.
- ///* The environmental information submitted by the applicant is sufficient for FEMA to determine whether or not the project can be categorically excluded from further environmental review
- ///* The State as grantee will comply with the standard disaster grant agreement articles (Job Aid 6-6).



**Federal Emergency Management Agency Disaster Grant Agreement Articles  
Hazard Mitigation Grant Program**

**ARTICLE I.** The United States of America through the Director, Federal Emergency Management Agency (FEMA) (hereinafter referred to as "the Grantor") or his/her delegate, agrees to grant to the State Government, through its designated agency named above (hereinafter referred to as "the Grantee") funds in the amount specified on the obligating document, to support the Hazard Mitigation Grant Program (HMGP) authorized under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. 5121 et seq. By signing the Memorandum of Understanding, the Grantee agrees to abide by the grant terms and conditions as set forth in this document as well as all conditions contained in the FEMA-State Agreement.

**ARTICLE II.** This agreement takes effect at the time it is executed and the obligating document is signed and remains in effect until the grant program is completed. Refer to obligating documents for funding information.

**ARTICLE III.** The following laws and regulations govern standard grant management practices and are incorporated into this Agreement by reference. Due to the nature of grant administration following Presidential declaration of a disaster or emergency, some variance from standard practice may be warranted upon determination by FEMA.

**Public Law 93-288**, as amended. Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. 5121 et seq.

**Title 44 of the Code of Federal Regulations (CFR)**

44 CFR	Part 13 Uniform administrative requirements for grants and cooperative agreements to state and local governments
44 CFR	Part 14 Administration of grants: Audits of State and local governments
44 CFR	Part 17 Government-wide debarment and suspension (nonprocurement) and government wide requirements for drug-free workplace (grants)
44 CFR	Part 18 New restrictions on lobbying
44 CFR	SUBCHAPTER B - Insurance and Hazard Mitigation
44 CFR	SUBCHAPTER C - Fire Prevention and Control
44 CFR	SUBCHAPTER D - Disaster Assistance
44 CFR	Part 7 Nondiscrimination in Federally Assisted Programs

## Section 6: The Application Process

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### *Federal Emergency Management Agency Disaster Grant Agreement Articles Hazard Mitigation Grant Program (Continued)*

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**OMB Circular A-110** Uniform Administrative Requirements for Grants and Agreements with institutions of Higher Education, Hospitals, and Other Non-Profit Organizations

**OMB Circular A-102** Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments

**OMB Circular A-87** Cost Principles for State and Local Governments

**OMB Circular A-21** Cost Principles for Educational Institutions

**OMB Circular A-122** Cost Principles for Nonprofit Organizations

**OMB Circular A-133** Audits of States, Local Governments, and Non-Profit Organizations

Assurances submitted with the SF 424, Application for Federal Assistance

**31 CFR 205.6** Funding techniques

**ARTICLE IV.** The specific terms and conditions of this agreement are as follows:

1. No transfer of funds to agencies other than those identified in the approved grant agreement shall be made without prior approval of FEMA. Grantee shall be paid using the HHS SMARTLINK System, provided Grantee maintains and complies with procedures for minimizing the time between transfer of funds from the US Treasury and disbursement by the state and subgrantees. The state should make drawdowns as close as possible to the time of making disbursements.
2. The Grantee shall submit financial and programmatic reports 30 days after the end of each Federal quarter following the initial grant award. Reporting dates are: January 30, April 30, July 30, October 30. Final reports are due 90 days after the end of the grant. The FEMA Disaster Recovery Manager (DRM) may waive the initial report if the disaster occurs too close to the end of the Federal quarter. The DRM may suspend state drawdowns if quarterly reports are not submitted on a timely basis.
3. The Grantee shall transfer to FEMA the appropriate share, based on the Federal support percentage, of any refund, rebate, credit or other amounts arising from the performance of this agreement, along with accrued interest, if any. The Grantee shall take necessary action to effect prompt collection of all monies due or which may become due and to cooperate with FEMA in any claim or suit in connection with amounts due.
4. Prior to the start of any construction activity, the Grantee shall ensure that all applicable Federal, State, and local permits and clearances are obtained including FEMA compliance with NEPA.
5. The Grantee is free to copyright any original work developed in the course of or under the agreement. FEMA reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish or otherwise use, and to authorize others to use, the work for Government purposes. Any publication resulting from work performed under this agreement shall include an acknowledgement of FEMA financial support and a statement that the publication does not necessarily reflect FEMA's views.





**Federal Emergency Management Agency Disaster Grant Agreement Articles  
Hazard Mitigation Grant Program (Continued)**

6. Per 44 CFR Part 13.50, when FEMA and the state have completed the agreed upon grant activities, the State shall submit a final financial status report, any required performance reports, a request to close the program, and any other required forms and certifications within 90 days of completion of grant activities. FEMA will evaluate grantee reports, perform the necessary financial reconciliation, make any necessary adjustments, and closeout the grant.
7. The grant shall be completed within four years of the disaster declaration. Written request for an extension will include information and documentation to support the amendment and a schedule for completion. No subsequent grant agreements, monetary increase amendments, or time extension amendments will be approved unless all overdue final financial or performance reports have been submitted by the Grantee to the appropriate Regional Office. Exceptions to this policy can be approved only by the FEMA Regional Director or DRM.
8. Within his/her authorities, the Governor shall ensure, through the State agency responsible for regulation of the insurance industry, that insurance companies make full payment of eligible insurance benefits for damage resulting from a disaster. The State also shall take all responsible steps to ensure that disaster victims are aware of procedures for filing insurance claims, are informed of any State procedures instituted for assisting insured disaster victims, and are aware of their responsibility to repay government assistance which is duplicated by insurance proceeds.
9. The State agrees, on its behalf and on behalf of its political subdivisions and other recipients of Federal disaster assistance, to cooperate with the Federal Government in seeking recovery of any funds expended as a result of fraudulent actions that contributed to those damages which resulted in a disaster declaration.
10. The certifications signed by the State on the FEMA-State Agreement relating to maintenance of a Drug-Free workplace (per 44 CFR Part 17, Subpart F) and New Restrictions on Lobbying (44 CFR Part 18) apply to this grant agreement and are incorporated by reference.

## Section 6: The Application Process



### *Creating the Application in NEMIS*

See the NEMIS Software User Manual for detailed guidance on performing the following tasks:

Task	Name of Screen Where Task Is Performed
1. Applicant Information: Enter name, contact information, category of eligible subgrantee, and signature.	Applicant Information
2. Description of the Problem: Describe the problem and your decision-making process, including alternative measures considered. Supply risk information for cost-effectiveness.	Problem & Risk
3. Describe the scope of the mitigation measure. Explain how and to what degree the project solves the problem. Describe the existing environment in the project area. Attach environmental information here.	Project Information
4. Provide work schedule including significant milestones.	Work Schedule
5. Include location, age of structure, and expected impact of project on environmental, archaeological, or historic conditions.	Property Site Inventory
6. Provide a detailed line-item budget that is based on industry standards and specifies unit costs.	Cost Estimate
7. Identify source and value of non-Federal match.	Match Sources
8. Provide maintenance schedule, costs, and assurances of implementation.	Maintenance Assurance
9. Scan and/or attach all supporting documentation.	Attachments
10. Identify details of public notice actions.	Public Notice
11. Provide results of thorough State review of project eligibility.	Eligibility Review
12. Signature of State submission.	Authorization