

Unit 5 – Manage HMGP Funding Estimate

Overview.....	5-2
Information Requirements.....	5-3
Task 1: Ensure Disaster and Grantee Information is Entered	5-4
Task 2: Enter Financial Details	5-5
Task 3: Establish Funding Estimate	5-10
Task 4: Enter Financial Information.....	5-12
Task 5: Enter Lock-in Information	5-15
Task 6: Enter Comments/Attachments.....	5-18
Task 7: Review Financial Activity Information	5-19
Task 8: Review Budget Planning Information.....	5-21
References for HMGP Funding Estimate	5-23

Overview

The NEMIS HMGP Manage HMGP Funding Estimate (FES) process allows FEMA Regional staff members to:

- Establish Funding Estimates for HMGP Grantees designated for the disaster.
- Update/Revise Funding Estimates as financial information changes during the disaster response and recovery phase.

Table 5-1 provides an overview of the Manage HMGP Funding Estimate process.

Table 5-1: Manage HMGP Funding Estimate Process

DESCRIPTION	
Purpose	Manage HMGP Funding Estimate
When does it start?	Within 30 days of a disaster declaration NOTE: <i>The complete process could last until Disaster Closeout.</i>
Who does it?	FEMA Regional Mitigation staff with the Hazard Mitigation Officer (HMO) role
How is it done?	Execute eight tasks: Task 1: Ensure Disaster and Grantee Information is Entered Task 2: Enter Financial Details Task 3: Establish Funding Estimate Task 4: Enter Financial Information Task 5: Enter Lock-in Information Task 6: Enter Comments/Attachments Task 7: Review Financial Activity Information Task 8: Review Budget Planning Information

Information Requirements

FEMA Regional Mitigation Staff with the Hazard Mitigation Officer (HMO) role will need the Disaster Projection Report (DPR) as a source of financial information that needs to be entered into the system. The DPR is attached to the CFO Lock-in memorandum.

NOTE: When using the initial DPR, verify figures with Individual Assistance (IA) and Public Assistance (PA). PA figures can be checked by printing the S5 from the NEMIS – Infrastructure module. For Disaster Numbers 1778 and newer, contact the Regional Public Assistance Point of Contact.

Task 1: Ensure Disaster and Grantee Information is Entered

Before HMGP Funding Information can be entered into NEMIS HMGP, the disaster information must have been entered in the system. Specifically, the Grantee(s) for the disaster must have been designated in the system. To ensure that this has been done, complete the following steps:

1. On the MITIGATION menu bar, click Disaster → Overview (Figure 5-1). If needed, select your Group ID and enter the Disaster Number.

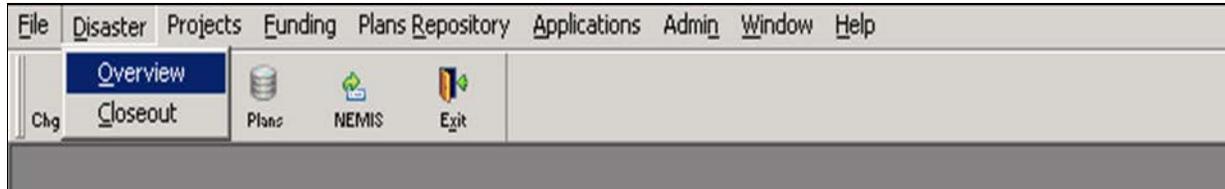


Figure 5-1: Mitigation → Disaster → Overview

2. The **Disaster Information** tab is displayed by default (Figure 5-2).

Figure 5-2: Mitigation → Disaster → Overview → Disaster Information Tab

3. Click the **Grantee Information** tab. If Grantee(s) have been designated for the disaster, their information is displayed.

NOTE: If Grantee(s) have not been designated for the disaster, complete the steps in Unit 3, Task 4: Manage Grantee Information, before proceeding to Task 2 in this Unit.

4. On the bottom right of the **Grantee Information** tab, click the CLOSE button.

Task 2: Enter Financial Details

1. On the MITIGATION menu bar, click Funding → Estimate (Figure 5-3).

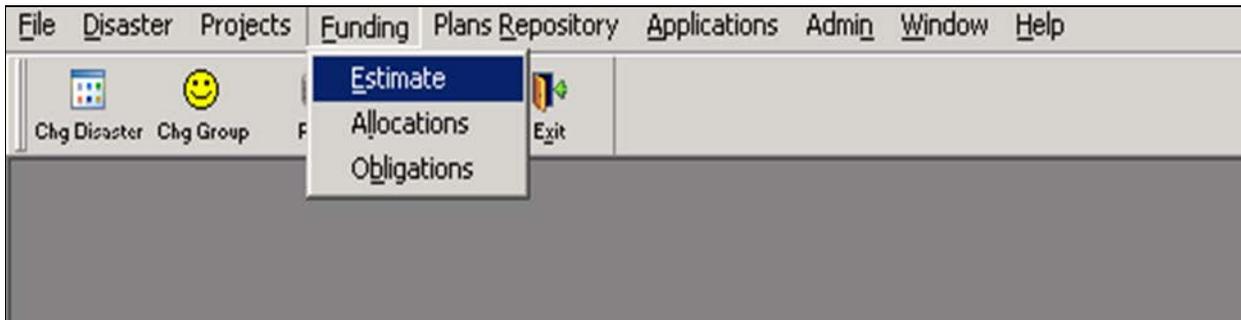


Figure 5-3: Mitigation →Funding →Estimate

2. The **HMGP Financial Activity** tab is displayed. At the top left part of the tab, select either the Grantee, if only one, or "ALL," if more than one, from the Grantee drop-down list (Figure 5-4).



Figure 5-4: Funding Estimate - Select Grantee

3. Click the **Financial Details** tab (Figure 5-5).

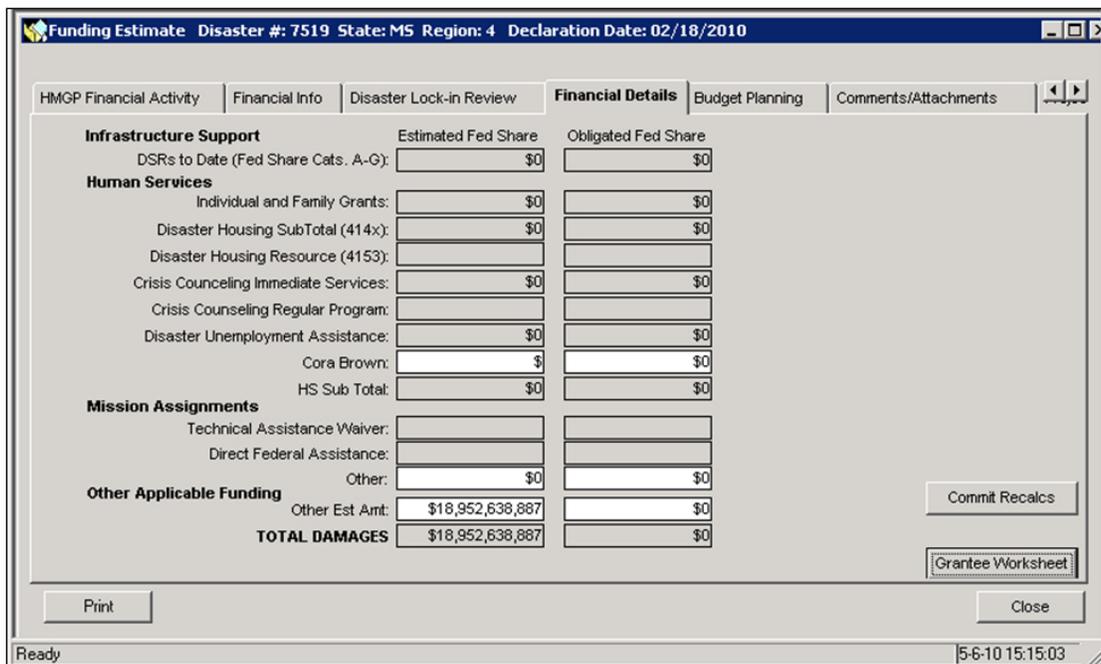


Figure 5-5: Mitigation →Funding →Estimate →Financial Details Tab

4. Under the Human Services section, in the "Cora Brown" data field, enter the Cora Brown funding amounts in the "Estimated Fed Share" field.
5. Under the Mission Assignments section, in the "Other" data field, enter the Non-Administrative Mission Assignment funding amounts in the "Estimated Fed Share" field.
6. Under the Other Applicable Funding section, in the "Other Est Amt" data field, enter the latest financial information from Infrastructure Support and Human Services in the "Estimated Fed Share" field.

NOTE: After Dec. 13, 2004, the system will no longer auto-fill the amounts in the Infrastructure Support and Human Services sections. To get the latest financial information, do one of the following:

Check the Disaster Financial Status Report (DFSR) and PA-S5

or

Ask the appropriate regional personnel.

CAUTION: Total dollars entered into these fields must be less than one trillion dollars. Overall, the disaster total damages must be less than one trillion dollars.

7. On the bottom right part of the **Financial Details** tab, click the GRANTEE WORKSHEET button. The Funding Estimate Worksheet is displayed. The left side of the screen displays read-only fields (Figure 5-6).

The Grantee Worksheet has been redesigned so that, if there is more than one Grantee, it allows the division of the funds among the Grantees. The amount is based on the percentage for each Grantee (depending on the type of mitigation plan that is in effect, i.e., Standard Plan or Enhanced Plan).

Grantee Name	Place Code	Cnty Cd	St Cd	Total Damages	Calculation	Grantee Estimate	IS Est Amount
Statewide	0	0	MS	\$10,702,638,887	20%	\$2,140,527,777	\$0
Mississippi Choctaw Indian Reserv	47980	0	MS	\$8,250,000,000	SLIDING	\$925,000,000	\$0
WORKSHEET TOTALS:				\$18,952,638,887		\$3,065,527,777	\$0
Balances from HMGP Financial Details:				\$18,952,638,887			\$0

Figure 5-6: Funding Estimate Worksheet - Left Side

8. Review the read-only information listed in Table 5-2.

Table 5-2: Funding Estimate Worksheet Read-Only Data Fields

DATA FIELD	READ ONLY INFORMATION
Grantee Name	Applicant receiving HMGP funds
Place Code	Place Code, part of the Federal Information Processing Standards (FIPS) code
Cnty Cd	County Code, part of the FIPS code
St Cd	State Code
Total Damages	Auto-fills from Total Damages amount in the Financial Details tab
Grantee Estimate	Current established estimate that can be spent on HMGP by the Grantee — auto-fills by multiplying the Total Damages value with the Percent value
IS Est Amount	Amount automatically carried over from the Financial Details tab

9. The right side of the worksheet (Figure 5-7) displays the fields where you can enter financial data.

Grantee Estimate	IS Est Amount	HS Est Amount	MA Est Amount	Other Est Amount	St Mgmt Amount	Comments
\$2,321,127,777	\$0		\$0	\$11,605,638,887	\$0	
\$1,025,000,000	\$0	\$0	\$0	\$9,250,000,000	\$0	
\$3,346,127,777	\$0	\$0	\$0	\$20,855,638,887	\$0	
		\$0	\$0	\$20,855,638,887		

Figure 5-7: Funding Estimate Worksheet – Right Side

HINT: If the State is the only Grantee, the dollar amounts you enter in the MA Est Amount and Other Est Amount fields are the same as those in the Financial Details screen.

10. For each Grantee, enter the information listed in Table 5-3.

Table 5-3: Funding Estimate Worksheet Data To Be Entered

DATA FIELD	INFORMATION TO BE ENTERED
HS Est Amount	Estimated funding for Human Services
MA Est Amount	Estimated funding for Non-Administrative Mission Assignments for the Grantee (if separate figures are available)
Other Est Amount	Amount of all funding assigned to this Grantee that has not been entered elsewhere
St Mgmt Amount	State Management Costs authorized for the Grantee
Comments	Comments or notes. Double-click in the text area to access the Comment Editor.

CAUTION: After entering the information, make sure that the dollar amounts in the Worksheet Totals fields match the dollar amounts in the Balances from HMGP Financial Details fields.

11. If the dollar amounts in the Worksheet Totals fields do not match those in the Balances from HMGP Financial Details fields, the dollar amounts not accounted for are displayed in red (Figure 5-8).

Grantee Name	Place Code	Cnty Cd	St Cd	Total Damages	Calculation	Grantee Estimate	IS Est Amount	HS Est Amount
Statewide	0	0	MS	\$0	SLIDING	\$0	\$0	
Mississippi Choctaw Indian Reserv	47980	0	MS	\$0	SLIDING	\$0	\$0	
WORKSHEET TOTALS:				\$0		\$0	\$0	
Amounts not accounted for:				\$18,952,638,887				
Balances from HMGP Financial Details:				\$18,952,638,887			\$0	

Figure 5-8: Funding Estimate Worksheet Error Message -"Amounts Not Accounted For"

12. Correct the dollar amounts by repeating Steps 2 – 11 until you get matching numbers.
13. Click the OK button to close the worksheet and to return to the HMGP Financial Details screen.

Task 3: Establish Funding Estimate

1. Click the **Financial Details** tab (Figure 5-9). Ensure that the dollar amounts displayed are current.

	Estimated Fed Share	Obligated Fed Share
Infrastructure Support		
DSRs to Date (Fed Share Cats. A-G):	\$0	\$0
Human Services		
Individual and Family Grants:	\$0	\$0
Disaster Housing SubTotal (414x):	\$0	\$0
Disaster Housing Resource (4153):		
Crisis Counseling Immediate Services:	\$0	\$0
Crisis Counseling Regular Program:		
Disaster Unemployment Assistance:	\$0	\$0
Cora Brown:	\$	\$0
HS Sub Total:	\$0	\$0
Mission Assignments		
Technical Assistance Waiver:		
Direct Federal Assistance:		
Other:	\$0	\$0
Other Applicable Funding		
Other Est Amt:	\$18,952,638,887	\$0
TOTAL DAMAGES	\$18,952,638,887	\$0

Figure 5-9: Mitigation →Funding →Estimate →Financial Details Tab

2. Click the COMMIT RECALCS button. The system displays a message confirming “Commit estimated obligated funds?” (Figure 5-10).

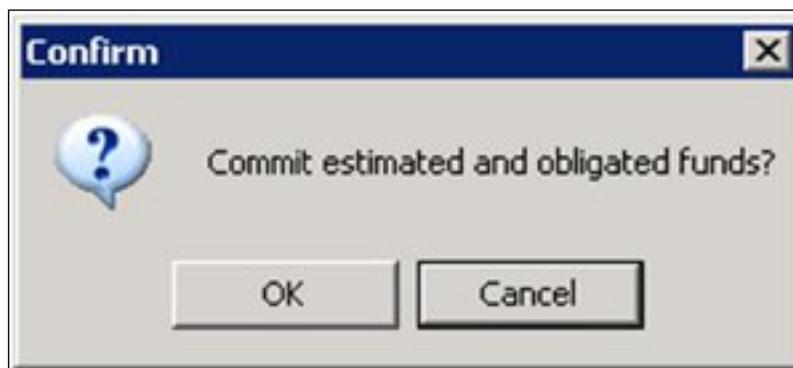


Figure 5-10: Commit Funds Confirmation Message

3. Click the OK button. This establishes the Funding Estimate and authorizes FEMA to allocate and obligate funds.

4. The warning message that it may take some time for this amount to be added to the database is displayed (Figure 5-11).

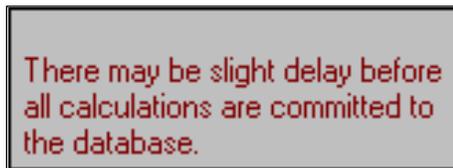


Figure 5-11: Database Warning

NOTE: When the COMMIT RECALCS button is clicked, a new Current Estimate Amount is established and added to the HMGP Financial Info screen. Until the new Current Estimate Amount appears on the Financial Information Tab, funds cannot be distributed according to the various Funding Categories (executed in Task 4: [Enter Financial Information](#)).

Task 4: Enter Financial Information

1. Click the **Financial Info** tab. At the top left of the tab, select either the Grantee, if only one, or "ALL," if more than one, from the Grantee drop-down list (Figure 5-12).

Funding Estimate Disaster #: 7519 State: MS Region: 4 Declaration Date: 02/18/2010

Statewide

HMGP Financial Activity **Financial Info** Disaster Lock-in Review Financial Details Budget Planning Comments/Attachments

Grantee Lock-In Amounts

Date	Grantee ID	Grantee Name	HMGP Lockin Amount	Initiative Pct	Initiative Lockin Amount	Planning Pct	Loc
05/06/2010 19:18:51	000-00000-00	Statewide	\$2,140,527,777	5. %	\$107,026,389	7. %	3

Current Estimate Amount

Date	Amount
07/02/2010	\$20,855,638,887
06/29/2010	\$18,952,638,887
05/25/2010	\$18,952,638,887
05/06/2010	\$18,952,638,887

For disasters declared on or after 11/13/2007:
 HMGP Lockin Amount = Regular Project Lockin Amount
 + Initiative Lockin Amount + Planning Lockin Amount.
 State Management Cost Lockin Amount is separate
 from the HMGP Lockin Amount.

New Delete

Print Close

Figure 5-12: Mitigation →Funding →Estimate →Financial Info Tab

2. On the bottom left part of the tab, the read-only Current Estimate Amount is displayed. If more than one row is displayed, each row represents a revision of the amount.

As displayed in Figure 5-12, the top row is the latest revision and is the current amount.

NOTE: This is the Current Estimate Amount that was auto-filled when Task 3: [Establish Funding Estimate](#) was completed.

- In the top half of the screen, Grantee Lock-In Amounts information is displayed (Figure 5-13).

Grantee Name	HMGP Lockin Amount	Initiative Pct	Initiative Lockin Amount	Planning Pct	Planning Lockin Amount	Regular Project Lockin Amount	State Mgmt Cost Lockin Amt
Mississippi Choctaw Indian Reservatio	\$925,000,000	5. %	\$46,250,000	7. %	\$64,750,000	\$814,000,000	\$0
Mississippi Choctaw Indian Reservatio	\$925,000,000	5. %	\$46,250,000	7. %	\$64,750,000	\$814,000,000	\$0
Statewide	\$2,140,527,777	5. %	\$107,026,389	7. %	\$149,836,944	\$1,883,664,444	\$0

Figure 5-13: Financial Info Details for Grantees

Table 5-4 describes the Grantee Lock-in Amounts data fields.

Table 5-4: Grantee Lock-In Amounts Data Fields

DATA FIELD	INFORMATION TO BE VIEWED/ENTERED
HMGP Lock-In Amount	Current Estimate Amount for the Grantee
Initiative Pct *	Percentage of funds set aside for State initiative projects. (10 percent if declared for Tornado). System default percentage is 5 percent. The percentage can be changed on this screen but the maximum value is 10 percent.
Initiative Lock-in Amount *	State initiative amount, calculated by multiplying the HMGP Lock-In Amount by the Initiative Pct. The amount may be changed on this screen but the maximum value is 10 percent of the HMGP Lock-In Amount.
Planning Pct	Percentage of funds set aside for planning projects. System default percentage is 7 percent. Edit the percentage if necessary but the maximum value is 7 percent.
Planning Lock-in Amount	Planning amount, calculated by multiplying the HMGP Lock-In Amount by the Planning Pct. Edit the dollar amount if necessary, but the maximum value is 7 percent of the HMGP Lock-In Amount.
State Management Costs (SMC) Lock-In Amt	State Management Amount that was entered in Task 2: Enter Financial Details and established in Task 3: Establish Funding Estimate .

DATA FIELD	INFORMATION TO BE VIEWED/ENTERED
Regular Project Lock-In Amount	<p>For disasters declared before 11/13/2007: Remaining funding amount after Initiative, Planning and State Management Amounts have been subtracted from the HMGP Lock-In amount — auto-filled by the system.</p> <p>For disasters declared on or after 11/13/2007: Remaining funding amount after Initiative and Planning have been subtracted from the HMGP Lock-In amount — auto-filled by the system.</p>

4. To add a new row of Financial Info, complete the following steps.
 - a. Click the NEW button. A blank row is displayed (Figure 5-14) with the default Initiative and Planning Percentages showing. The system auto-fills the Date and Time of the new record entry.

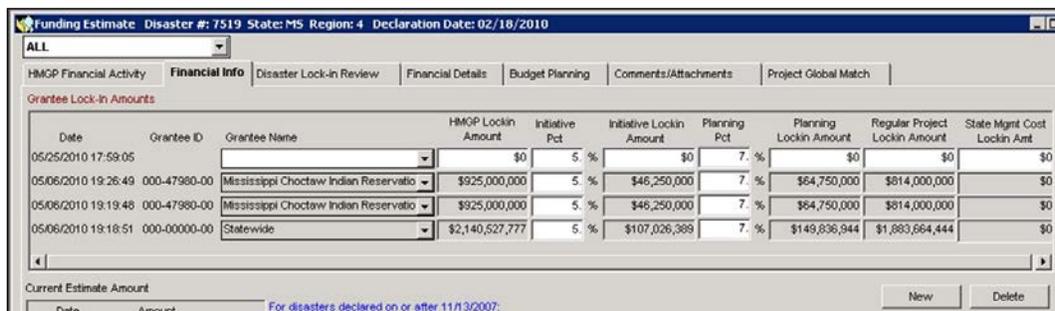


Figure 5-14: Financial Info Details - New Row

- b. At the top left of the **Financial Info** tab, select a Grantee from the drop-down list. It will either auto-fill or enter the dollar amounts or percentages for that Grantee.

CAUTION: DO NOT DELETE GRANTEE LOCK-IN AMOUNT ESTIMATES UNLESS ABSOLUTELY NECESSARY.

For audit purposes, all changes or updates must be viewable and not deleted, except for typo errors.

Upon completion of the Financial Info Line for each Grantee, verify funding calculations for each Funding Category and Grantee.

Task 5: Enter Lock-in Information

1. Click the **Disaster Lock-In Review** tab. The Review and Ceiling Lock-in Dates and Amounts table is displayed (Figures 5-15 and 5-16).

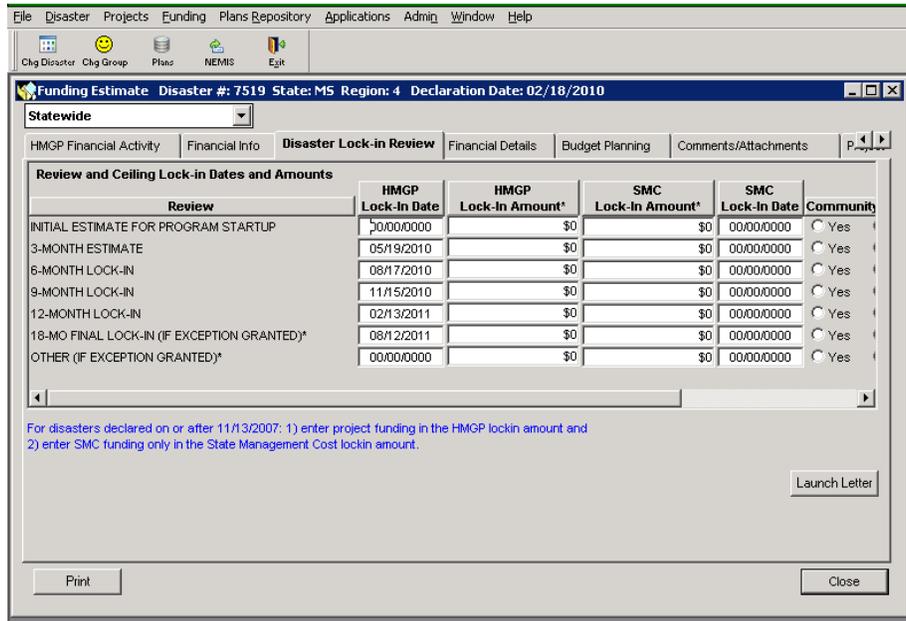


Figure 5-15: Mitigation →Funding →Estimate →Disaster Lock-In Review Tab →Left Side

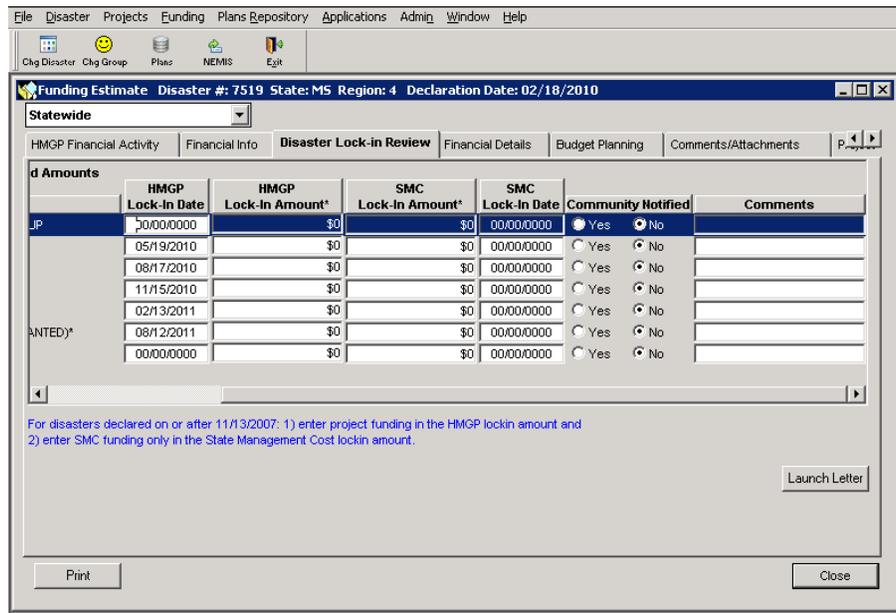


Figure 5-16: Mitigation →Funding →Estimate →Disaster Lock-In Review Tab →Right Side

2. At the top left part of the tab, select a Grantee from the drop-down list.
3. The tab displays a row of information for each of the seven potential lock-in stages:
 - Initial Estimate for Program Startup (usually performed 30 days after the disaster declaration)
 - 3-Month Estimate *
 - 6-Month Lock-in
 - 9-month Lock-in *
 - 12-Month Lock-in (usually the final lock-in)
 - 18-Mo Final Lock-in (if exception granted)
 - Other (if exception granted)

*** Note – For the 3-month and 9-month estimates:** While the system still shows a 3- and 9-month estimate, these are not required by 44CFR Part 207.5 (b) and usually are no longer provided at these intervals.

4. Enter the information listed in Table 5-5 for the appropriate lock-in stage.

Table 5-5: Disaster Lock-in Review Data Fields

DATA FIELD	INFORMATION TO BE ENTERED
Lock-in Date	Date current HMGP Lock-in Amount was established. If Lock-in Amount greater than 0 is entered, a valid date must be entered to proceed.
Lock-in Amount	HMGP Lock-in Amount currently established for the Grantee
SMC Lock-In Amount	State Management Costs currently established for the Grantee
SMC Lock-In Date	Date current SMC Lock-in Amount was established. If SMC Lock-in Amount greater than 0 is entered, a valid date must be entered to proceed.

DATA FIELD	INFORMATION TO BE ENTERED
Community Notified	<p>Was the Funding Estimate Lock-in Letter sent to the Grantee? Select one of the following:</p> <ul style="list-style-type: none"> • Yes • No <p>If you select "No" and then click the LAUNCH LETTER button, the system changes the selection to "Yes."</p> <p><i>NOTE: A letter must be sent to each Grantee. The form letter may be used or another letter that is generated manually.</i></p>
Comments	<p>Comments regarding the Lock-in Date or Lock-in Amount that provide clarification or required additional information. The Inspector General may be inquiring how the funding estimate is being determined. The supporting Comments may be used to support calculations. Double-click inside the text area to access the Comment Editor.</p>

5. Repeat Steps 2 – 5 for each Grantee designated for the disaster.

Task 6: Enter Comments/Attachments

Comments/Attachments are used to capture the historical flow of financial information as entered by different system users.

CAUTION: Attachments cannot be deleted once they have been added to NEMIS HMGP. Please make every effort to limit the file attachment size to less than 1 GB.

Do not attach documents in the Funding Estimate area. Funding Estimate documentation should only be attached in the Disaster Overview area.

1. Click the **Comments/Attachments** tab (Figure 5-17).

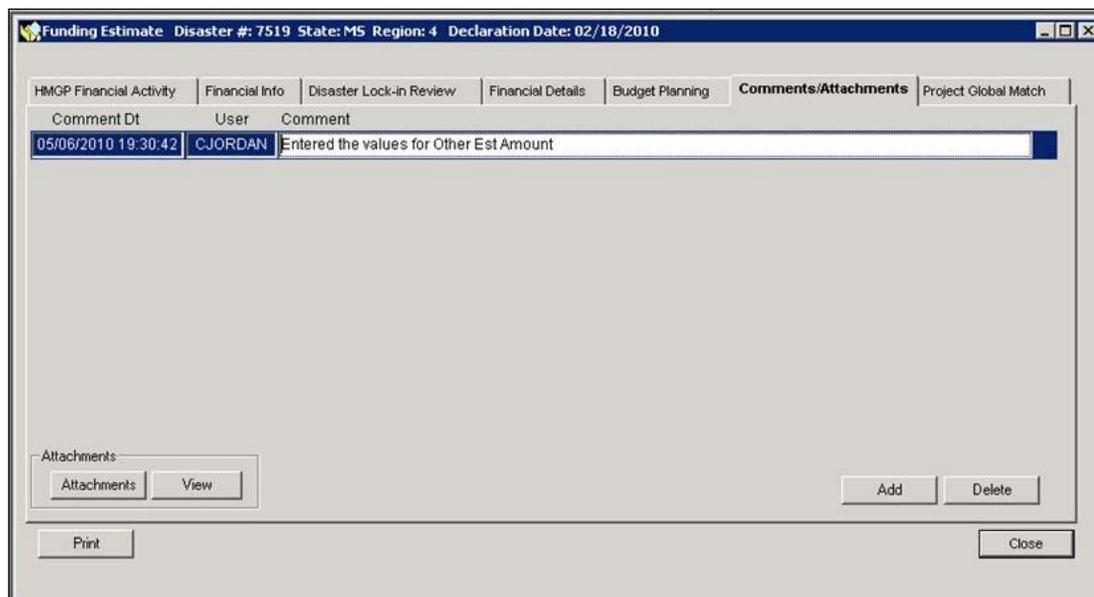


Figure 5-17: Mitigation →Funding →Estimate →Comments/Attachments Tab

2. To add comments, complete Steps 2a – 2d.
 - a. Click the ADD button. A new row for Comments is displayed, with the date and time of entry and your User Name.
 - b. Double-click inside the text field to access the Comment Editor.
 - c. In the Comment Editor text area, enter the comments. Click the OK button.
 - d. The comments you entered are now displayed on the **Comments/Attachments** tab.
3. To attach documents, click the ATTACHMENTS button. You are strongly urged to read and follow the instructions in Appendix A: Attach/Scan Documents.

Task 7: Review Financial Activity Information

1. Click the **HMGP Financial Activity** tab (Figure 5-18).

	Projected A	Total Allocated in NEMIS B	Available C (A - B)	Total Obligated in NEMIS D	Available E (A - D)
HMGP Project Funds:	\$2,140,527,777	\$0	\$2,140,527,777	\$0	\$2,140,527,777
Regular Projects:	\$1,883,664,444	\$0	\$1,883,664,444	\$0	\$1,883,664,444
Initiative Projects:	\$107,026,389	\$0	\$107,026,389	\$0	\$107,026,389
Planning Projects:	\$149,836,944	\$0	\$149,836,944	\$0	\$149,836,944
Subtotal:	\$2,140,527,777	\$0	\$2,140,527,777	\$0	\$2,140,527,777
State Management Cost:	\$0	\$0	\$0	\$0	\$0
Total:	\$2,140,527,777	\$0	\$2,140,527,777	\$0	\$2,140,527,777

For disasters declared on or after 11/13/2007: HMGP Project Funds = Regular Projects + Initiative Projects + Planning Projects.
State Management Cost is separate from HMGP Project Funds.

Figure 5-18: Mitigation →Funding →Estimate →HMGP Financial Activity Tab

2. At the top left part of the tab, select the Grantee from the drop-down list. The tab displays five columns for various funding amounts:
 - A. Projected (Current Funding Estimate)
 - B. Total Allocated in NEMIS HMGP
 - C. Available (Projected minus Allocated)
 - D. Total Obligated in NEMIS HMGP
 - E. Available (Projected minus Obligated)

CAUTION: There must never be a negative amount in any column on this tab. In order to avoid negative amounts or errors when preparing an Allocation, always review the information in the HMGP Financial Activity and Budget Planning tabs first to ensure there are sufficient funds.

3. Review the read-only information listed in Table 5-6.

Table 5-6: HMGP Financial Activity Data Fields

DATA FIELD	INFORMATION TO BE REVIEWED
HMGP Project Funds	Amount available for all project types in the current funding estimate, as established in Task 3: Establish Funding Estimate
Regular Projects	Amount remaining (minus the Initiative and Planning Amounts, if utilized) of project funds
Initiative Projects	Amount calculated from the percentage set aside for State initiatives, as set in Task 4: Enter Financial Information
State Management Costs	Amount entered in Task 2: Enter Financial Details
Planning Projects	As authorized by the Disaster Mitigation Act of 2000, this is calculated at up to 7 percent of the estimated HMGP funds for each disaster
Estimated Ceiling	Total amount of the funding estimate, including the State Management Costs (SMC)
Grantee Admin Costs	Estimated administrative costs for the Grantee, calculated at approximately 3 percent
Subgrantee Admin Costs	Estimated administrative costs for the Subgrantee, calculated at approximately 5 percent
Admin Cost Sub Total	Total of the Grantee and Subgrantee administrative costs
TOTALS	Total of administrative, projects, and State Management costs

Task 8: Review Budget Planning Information

The **Budget Planning** tab displays read-only information on the most current Funding Estimate.

The dollar amounts of projects submitted by the Grantee are added to the figures on this screen after the Application is assigned. (Unit 7)

1. Click the **Budget Planning** tab (Figure 5-19).

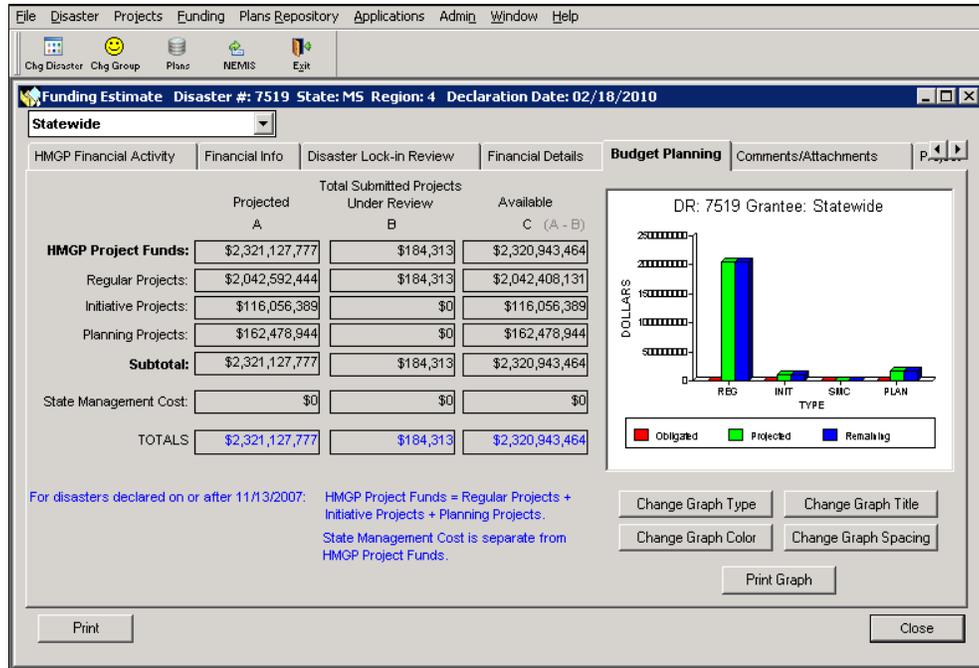


Figure 5-19: Mitigation →Funding →Estimate →Budget Planning Tab

2. At the top left part of the tab, select the Grantee from the drop-down list. The tab displays three columns of information for various funding amounts:
 - A. **Projected** (Current Funding Estimate)
 - B. **Total Submitted Projects Under Review** — Total amount of projects submitted by the Grantee for which FEMA has completed the Application Completeness Review (as described in Unit 7: Manage Eligibility Determination)
 - C. **Available** — (Projected minus Total Submitted Projects Under Review)

CAUTION: *There must never be a negative amount in any column on this tab. In order to avoid negative amounts or errors when completing an Application Completeness Review, always review the Budget Planning tab first to ensure there are sufficient funds. If the amount of the project submitted for approval will cause the total available to drop*

below 0, you will not be able to approve the application without first adjusting the amount of the current project or previously approved projects down to below the amount available for the project suffix under review.

NOTE: The PROJECT GLOBAL MATCH tab (Figure 5-20) is used to ensure that the total of all projects approved for the disaster does not exceed the overall Federal share percentage of 75 percent. If utilized, Project Global Match must be completed before the Disaster is closed in NEMIS HMGP. Information on using this tab is in Unit 11: Manage Project and Program Oversight Tasks.

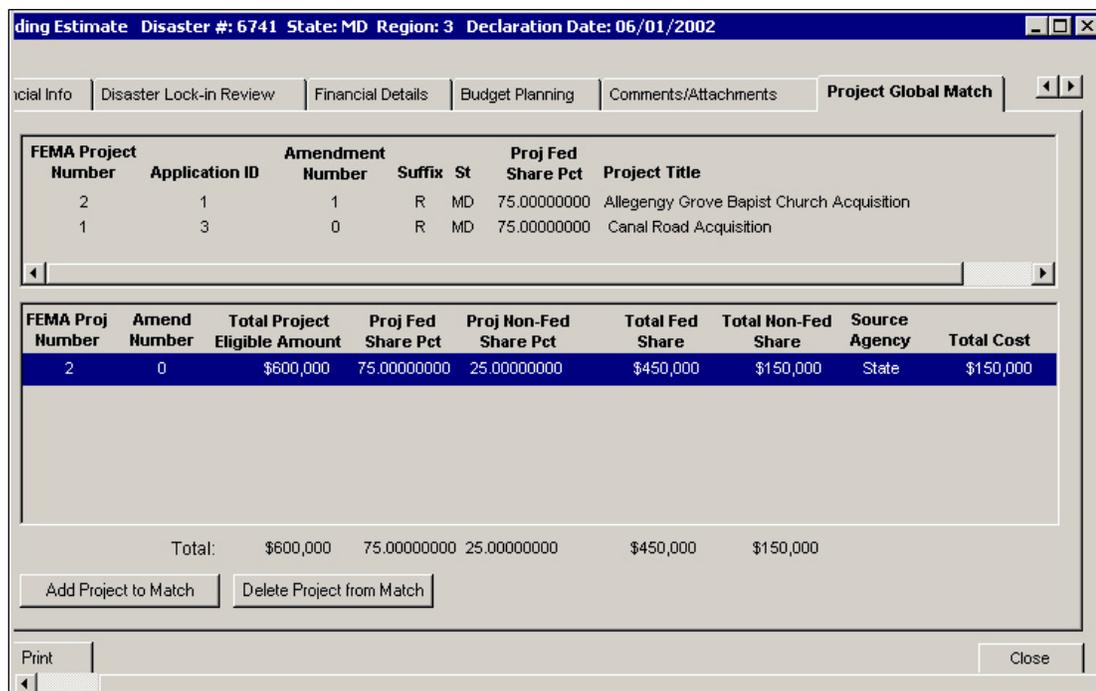


Figure 5-20: Mitigation →Funding →Estimate →Project Global Match Tab

References for HMGP Funding Estimate

To track and document the process of Managing Funding Estimates, the following reports can be generated, as described in ***Unit 14: Generate Standard HMGP Reports***:

- Disaster Overview Report (Percentages and Plan Info)
- Funding Estimate Report
- Funding Estimate Budget Planning Report
- Funding Estimate Financial Activity Report

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