



# FEMA Resources and Services Applicable to Dam Risk Management

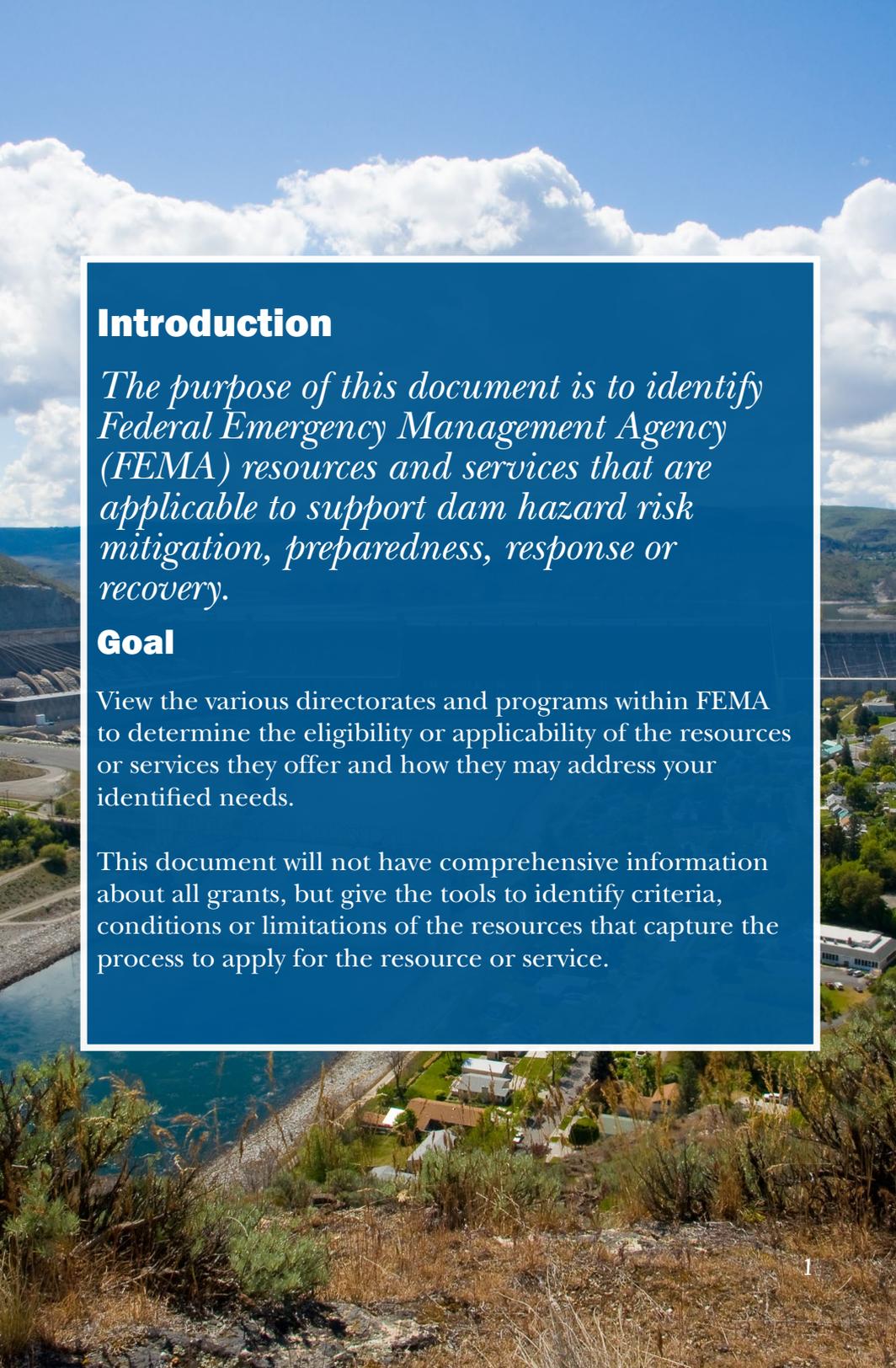
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FEMA

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The background of the page is a composite image. The top portion shows a bright blue sky with scattered white clouds. Below the sky, on the left, is a large concrete dam with water behind it. On the right, there is an aerial view of a town with green trees and buildings. The bottom portion of the page shows a rocky, dry hillside with sparse, brownish vegetation.

## Introduction

*The purpose of this document is to identify Federal Emergency Management Agency (FEMA) resources and services that are applicable to support dam hazard risk mitigation, preparedness, response or recovery.*

## Goal

View the various directorates and programs within FEMA to determine the eligibility or applicability of the resources or services they offer and how they may address your identified needs.

This document will not have comprehensive information about all grants, but give the tools to identify criteria, conditions or limitations of the resources that capture the process to apply for the resource or service.

# Key Considerations When Applying for a Federal Grant

Before getting started, check the **eligibility** between the variety of grants, note the **availability of funds**, and the **coordination** needed with local, state, and Federal Agencies such as:

- County Emergency Manager,
- Local Floodplain Manager,
- State Hazard Mitigation Officer (SHMO),
- State National Flood Insurance Program (NFIP) Coordinator,
- State Historic Preservation Officer (SHPO),
- FEMA Regional Office,
- Natural Resource Conservation Service (NRCS),
- United States Army Corps of Engineers (USACE), and
- United States Fish and Wildlife Service (USFWS)

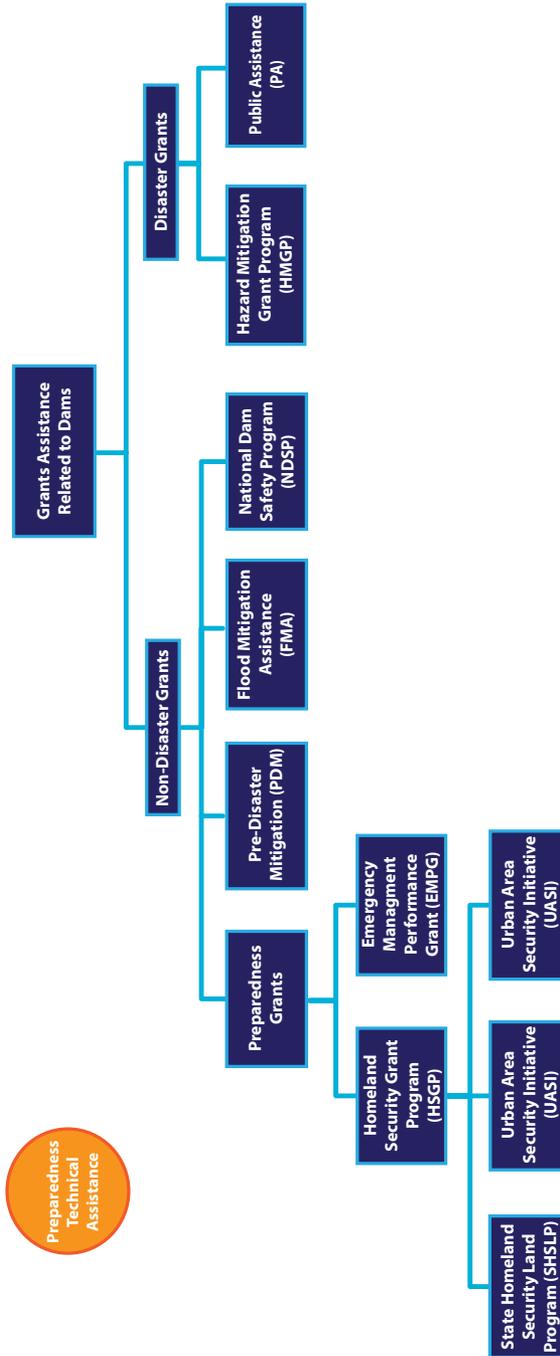
All FEMA funded projects require a review for compliance with a variety of Federal, tribal, state and local Environmental and Historic Preservation (EHP) laws, regulations, Executive Orders (EO), etc. (e.g. Clean Water Act (CWA), Endangered Species Act (ESA), National Environmental Policy Act (NEPA), National Historic Preservation Act (NHPA). EHP laws, and regulations include:

- NEPA,
- NHPA,
- ESA,
- CWA,
- EO 11988 (Floodplains),
- EO 11990 (Wetlands), and
- 44CFR Parts 9 and 10

## Five Key EHP Considerations:

1. Projects must comply with regulations and Executive Orders.
2. Impacts must be taken into account.
3. Permits and approvals are your responsibility.
4. Approvals may be contingent on natural and cultural resources.
5. Failure to comply will jeopardize FEMA funding.

## Overview of Grant Assistance Related to Dams



# Technical Assistance for Planning and Organization

## Overview

FEMA's Technical Assistance (TA) Program facilitates implementation of the National Preparedness System (NPS) by providing states, tribes, territories, and local governments with customized planning and organization support to build core capabilities, as defined in the National Preparedness Goal. The 32 core capabilities align with five mission areas of Protection, Prevention, Mitigation, Response, and Recovery. TA is available at no cost to DHS preparedness grant recipients.

TA topics may include current emergency management promising practices as well as emerging trends in the field. Delivery formats include models, templates, virtual consultations, and workshops facilitated by subject matter experts and FEMA operational specialists. They may be led by peers from jurisdictions who have encountered similar challenges. FEMA encourages jurisdictions to include the broadest practical range of emergency managers, planners, and stakeholders in TA deliveries, including local social service agencies, private sector representatives, and neighboring jurisdictions. A non-restrictive sample of available TA, along with further information, can be found at <http://www.fema.gov/fema-technical-assistance-program>.

### Eligibility:

- Dam owners should work with their local emergency management office or department to agree upon needs and courses of action. State emergency management may provide additional information and assist in the development of solutions.
- Local emergency management and the State Administrative Agency (SAA) should verify the request aligns with State goals. The SAA submits the request to FEMA.

- A thorough understanding of Comprehensive Preparedness Guide (CPG) 101 v.2 is advised before requesting or receiving TA (<https://www.fema.gov/media-library/assets/documents/25975>). FEMA may recommend participation in emergency management training courses through the FEMA Emergency Management Institute (EMI) prior to TA delivery. All TA information and workshops will be delivered to both dam owners and the allied emergency management office or department.

### Dam-Related Eligible TA Services:

The TA could include assistance for the following dam related services:

- Assist with the creation of reference guides or materials for an Emergency Operations Plan (EOP) or a Continuity of Operations Plan (COOP).
- Facilitate dam owners and public emergency managers to plan and increase preparedness efforts:
  - Provide EOP templates and sample guidance.
  - Provide a COOP assessment tool, sample COOP templates, COOP worksheets, and Request for Proposal (RFP) checklists.
  - Help organize a comprehensive preparedness plan (CPP).
  - Provide an evacuation plan subject matter expert and create emergency procedures templates and guidance.
  - Facilitate a discussion on a planning issue.
  - Provide assistance creating templates, reporting forms, and/or instructions that facilitate the integration of the Emergency Action Plan (EAP) and EOP.



# Grant Assistance

## Overview

There are two types of Grants Assistance:

- 1. Non-disaster Grants** – Emphasis is Preparedness and Mitigation. Grants are available annually.
  - Preparedness grants
  - Hazard mitigation – Pre-Disaster Mitigation Program (PDM)
  - Flood Mitigation Assistance (FMA)
- 2. Disaster Grants** – Emphasis is Recovery and Mitigation. Grants are available only after a Presidentially-declared disaster.
  - Hazard Mitigation Grant Program (HMGP)
  - Public Assistance (PA)

## What is the difference between preparedness and mitigation?

Preparedness is a continuous cycle of planning, organizing, training, equipping, exercising, evaluating, and taking corrective action in an effort to ensure effective coordination during incident response.

- Planning effective communication with the Emergency Managers and the community that could be affected in the wake of a dam failure is an example of preparedness strategy.

Mitigation is the effort to reduce loss of life and property by lessening the impact of disasters. In order for mitigation to be effective we need to take action now—before the next disaster—to reduce human and financial consequences later (analyzing risk, reducing risk, and insuring against risk).

- Planning on how to reduce disaster losses and how to protect life and property from future disaster damage are examples of mitigation strategies.



# Preparedness Grant Program

## Overview

FEMA provides state and local governments with preparedness program funding in the form of non-disaster grants to enhance the capacity of state and local emergency responders to prevent, respond to, and recover from a weapons of mass destruction terrorism incident involving chemical, biological, radiological, nuclear, explosive devices and cyber-attacks.

### The Preparedness Grants Program:

- recognizes that a Government-centric approach to emergency management is not enough to meet the challenges posed by a catastrophic incident.
- is based on a whole community approach to emergency management where FEMA is only one part of the United States emergency management team.



### Eligibility:

- Eligible applicants are either the SAA or the Office of Emergency Management (OEM).
- Dam owners may partner with an emergency manager to receive assistance.

### Preparedness Available Resources:

From the preparedness portfolio, two grants have been identified as potentially having eligible funding for dams:

- 1. Homeland Security Grant Program (HSGP)** – provides funding to support state and local efforts to prevent terrorism and other catastrophic events and to prepare the Nation for the threats and hazards that pose the greatest risk to the security of the United States.
- 2. Emergency Management Performance Grant (EMPG)** – provides resources (Federal funds) to assist state, local, tribal and territorial governments to achieve the national preparedness goal of a secure and resilient Nation.



# Homeland Security Grant Program

## Overview

The HSGP is the primary funding mechanism for building and sustaining national preparedness capabilities. The HSGP is comprised of three interconnected grant programs: State Homeland Security Program, Urban Area Security Initiative, and Operation Stonegarden.

The purpose of the HSGP is to support state and local efforts to prevent terrorism and other catastrophic events and to prepare the Nation for the threats and hazards that pose the greatest risk to the security of the United States.

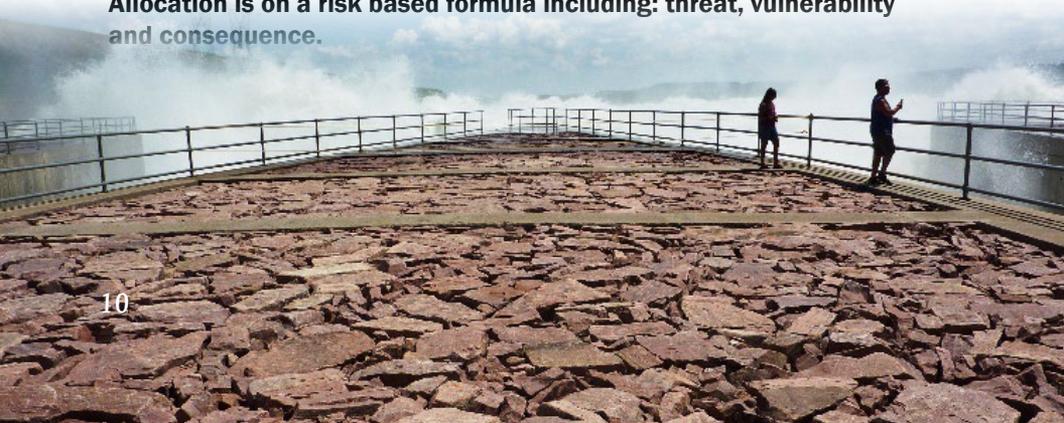
All three programs are based on risk-driven, capabilities-based strategic plans that outline high-priority needs relating to terrorism preparedness. Government officials and elected leaders working with the whole community must consider how to sustain current capability levels, while also addressing potential gaps.

### Eligibility:

The SAA is the only entity eligible to apply for and administer HSGP funds.

- Dam owners would need to partner with an emergency manager to receive the service.
- A cost share or match was not required for the Fiscal Year (FY) 2015 HSGP.

**Allocation is on a risk based formula including: threat, vulnerability and consequence.**



### The HSGP is comprised of three interconnected grant programs:

- 1. State Homeland Security Program (SHSP):** Assists state, tribal and local preparedness activities that address high-priority preparedness gaps across all core capabilities where a nexus to terrorism exists. SHSP funds recipients are required to prioritize investments to address gaps identified during the Threat and Hazard Identification and Risk Assessment (THIRA) and State Preparedness Report (SPR) process.
- 2. Urban Area Security Initiative (UASI):** Assists high-threat, high-density urban areas in efforts to build and sustain the capabilities necessary to prevent, protect against, mitigate, respond to, and recover from acts of terrorism.
- 3. Operation Stonegarden:** Supports enhanced cooperation and coordination among Customs and Border Protection (CBP), United States Border Patrol (USBP), and local, tribal, territorial, state, and Federal law enforcement agencies.

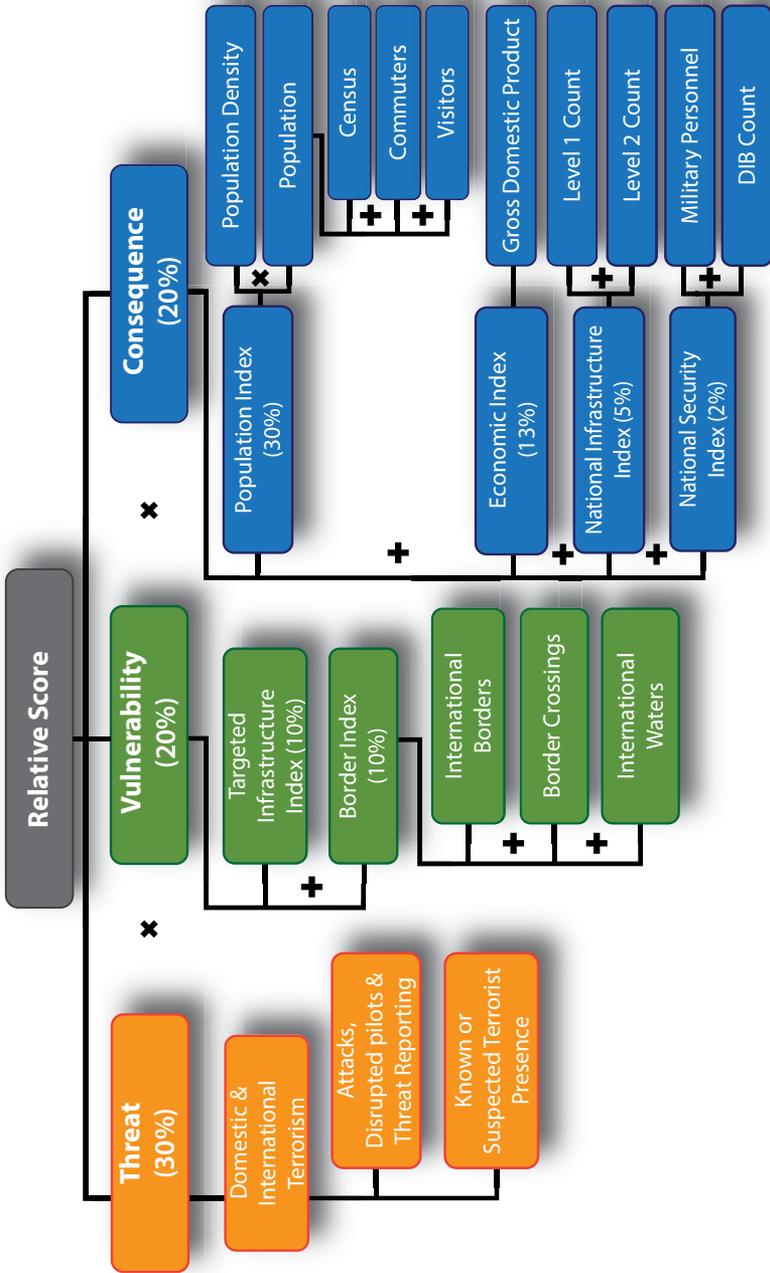
All three programs are awarded by FEMA Headquarters. The FEMA regions administer the grants and work with state or jurisdictional partners.

The programs are based on risk-driven, capabilities-based strategic plans that outline high-priority needs relating to terrorism preparedness. For these plans to be effective, government officials and elected leaders working with the whole community must consider how to sustain current capability levels, while also addressing potential gaps.

The grant Notice of Funding Opportunity (NOFO) identifies national security related priorities for grant recipients to consider. For instance, FY 2015 recipients were required to consider national areas for improvement identified in the 2014 NPR, which include the following core capabilities:

- cybersecurity,
- infrastructure systems,
- health and social services,
- housing, and
- long-term vulnerability reduction.

**FY2015 State Homeland Security Program and Urban Area Security Initiative Risk Formula**



## FY 2015 State Homeland Security Program and Urban Area Security Initiative Risk Formula:

All three State Homeland Security Programs (SHSP) are based on risk-driven, capabilities-based strategic plans that outline high-priority needs relating to terrorism preparedness.

For these plans to be effective, government officials and elected leaders, working with the whole community must consider how to sustain current capability levels while also addressing potential gaps.

### Risk Methodology:

- Used to determine final HSGP allocations.
- Based on the requirements of the Homeland Security Act of 2002, as amended.

FEMA defines risk as: “potential for an unwanted outcome resulting from an incident, event, or occurrence, as determined by its likelihood and the associated consequences.”

- **Risk** – chance of something going wrong combined with some negative consequence.
  - (Probability of Failure) \* (Consequences)
- **Threat** – could be found with a large dam with a large urban area nearby.
- **Vulnerability** – lack of security controls, and adequate access control including – fences or security cameras.

The consequences will result in:

- fatalities,
- property damage to key facilities including hospitals and first responders facilities,
- infrastructure damage to potable water facilities and hydropower facilities,
- block access to main roads with key facilities like hospitals, first responders will be blocked,
- agricultural loss,
- damage to the environment including sanitary sewer cross contamination, toxic waste spill (industry downstream), and
- economic loss.

# State Homeland Security Program

## Overview

The SHSP assists state, tribal and local preparedness activities that address high-priority preparedness gaps across all core capabilities where a nexus to terrorism exists. The purpose of the SHSP is to support state and local efforts to prevent terrorism and other catastrophic events and to prepare the Nation for the threats and hazards that pose the greatest risk to the security of the United States.

### Eligibility:

The SAA is the only entity eligible to apply for and administer SHSP funds.

- Dam owners could partner with the state to address/meet their preparedness goals using the “whole community” approach.
- Recipients are required to prioritize investments to address gaps identified during the Threat and Hazard Identification and Risk Assessment (THIRA) and State Preparedness Report (SPR) process.
- Cost share or match was not required for the FY 2015 HSGP.
- The Period of Performance (POP) for the SHSGP is 36 months. The start and end projected dates were specified in each FY NOFO.



## Allocations:

Risk based formula including threat, vulnerability, and consequence:

- Each state and territory will receive a minimum allocation per thresholds in Homeland Security Act of 2002, as amended.
- All 50 states, the District of Columbia, and the Commonwealth of Puerto Rico will receive 0.35 percent of the total funds allocated for grants under Section 2003 and Section 2004 of the Homeland Security Act of 2002, as amended. Four territories (American Samoa, Guam, the Northern Mariana Islands, and the U.S. Virgin Islands) will receive a minimum allocation of 0.08 percent of the total funds allocated for grants under Section 2003 and 2004 of the Homeland Security Act of 2002, as amended.
- FY 2014 funding was \$401,346,000.
- FY 2015 funding was \$402,000,000.

## Dam Related Eligible Activities:

Dam related eligible activities that can be linked to terrorism include:

- target hardening;
- access control including fences, security cameras, inspection and screening systems;
- security control initiatives/enhancements including cyber security and security salaries;
- early warning systems including sirens and communication devices
- communication capabilities to respond;
- training;
- exercise;
- improve trainings and exercise programs; and
- planning and consequence assessment.

# Urban Area Security Initiative

## Overview

The UASI Program assists high-threat, high-density urban areas in an effort to build and sustain the capabilities necessary to prevent, protect against, mitigate, respond to, and recover from acts of terrorism.

### Eligibility:

- Sub-awards are made by the SAA to the designated Urban Areas identified in list at the NOFO.
- The use of funds need to address the unique risk driven and capabilities-based planning, organization, equipment, training, and exercise needs are based on the capabilities targets identified during the THIRA process and associated assessment efforts.
- A cost share or match is not required under this program.
- The POP for UASI program is 36 months. The start and end project dates are specified in each FY NOFO.

### Allocations:

Risk based formula includes threat, vulnerability and, consequence:

- Funds will be allocated based on DHS/FEMA's risk methodology and anticipated effectiveness of proposed projects. Anticipated effectiveness is assessed based on the applicant's description of how proposed projects, as outlined in the Investment Justification, align with the urban area THIRA.
- FY 2014 funding was \$587,000,000.
- FY 2015 funding was \$587,000,000.

### How can a dam be eligible for UASI?

A dam that is located in a high-threat and could impact a high-density Urban Area, or be a threat to one is eligible.

- High threat is at a high risk of a terrorist attack.
- High-density Urban Area = as listed in 2015 NOFO *Appendix A-FY 2015 Program Allocations*.

Eligible high-risk Urban Areas for the FY2015 UASI Program were determined through an analysis of relative risk of terrorism faced by the 100 most populous metropolitan statistical areas (MSAs) in the United States.

Eligible funding is needed to prevent, protect against, respond to, and to recover from acts of terrorism:

- target hardening;
- access control including fences, security cameras, inspection and screening systems;
- security control initiatives/enhancements including cyber security and security salaries;
- early warning systems including sirens and communication devices
- communication capabilities to respond;
- training;
- exercise;
- improve trainings and exercise programs; and
- planning and consequence assessment.

The use of funds will need to be linked back to the THIRA and the SPR, therefore it will need to meet the same requirements as in the SHSP.



# Emergency Management Performance Grant Program

## Overview

The Emergency Management Performance Grant program provides Federal funds to assist state, local, territorial, and tribal governments in preparing for all hazards. The Federal government, through an Emergency Management Performance Grant, provides necessary direction, coordination, guidance and assistance to support a comprehensive all hazards emergency preparedness system. The EMPG Program is run by the FEMA Regions.

### Eligibility:

State government's SAA or Emergency Management Agency are the only entities eligible to apply for and administer EMPG funds.

- Applications must include a work plan.
- Use of funding will focus on planning, operations, equipment acquisitions, trainings, exercises, construction, and renovation to enhance and sustain the all-hazards core capabilities of state, local, tribal and territorial governments.

### Objective:

The EMPG Program supports a comprehensive, all-hazard emergency preparedness system by building and sustaining the core capabilities contained in the goal. This grant is not tied to terrorism.



**Allocations:**

- It is formula based and funds are distributed based on population.
- A cost match is required under this program.
- All 50 states, the District of Columbia, and Puerto Rico receive a base amount of 0.75 percent of the total available funding appropriated for the EMPG program. Four territories (American Samoa, Guam, Northern Mariana Islands, and the U.S. Virgin Islands) receive a base amount of 0.25 percent of the total available funding appropriated for the EMPG program. The balance of the funds appropriated for the EMPG Program are distributed on a population-share basis.
- FY 2014 Funding was \$350,100,000.
- FY 2015 Funding was \$350,100,000.

<b>Examples of EMGP Eligible Dam Related Activities</b>	
Examples of EMGP funded activities (from the FY 2015 NOFO)	Examples related to dams:
<ul style="list-style-type: none"> <li>• Initiating or achieving all-of-Nation/whole community approach to security and emergency management</li> </ul>	<ul style="list-style-type: none"> <li>• Standard Operating Procedures (SOP) and Threat and Hazard identification Consequence Assessments</li> </ul>
<ul style="list-style-type: none"> <li>• Strengthening state or community’s emergency management program</li> </ul>	<ul style="list-style-type: none"> <li>• Emergency communication capabilities (to respond)</li> </ul>
<ul style="list-style-type: none"> <li>• Updating Emergency Plans</li> </ul>	<ul style="list-style-type: none"> <li>• Evacuation plan and EAPs</li> </ul>
<ul style="list-style-type: none"> <li>• Designing and conducting exercises that engage all-of-Nation/ whole community of stakeholders and validate core capabilities</li> </ul>	<ul style="list-style-type: none"> <li>• Exercises: evacuation, COOP, and continuity planning</li> </ul>
<ul style="list-style-type: none"> <li>• Conducting training</li> </ul>	<ul style="list-style-type: none"> <li>• Planning SOP (response) - how to respond to and operate in case of incident at affected location</li> </ul>

# Hazard Mitigation Assistance Program

## Overview

### What is Mitigation?

Mitigation is the effort to reduce loss of life and property by lessening the impact of disasters. In order for mitigation to be effective we need to take action now—before the next disaster—to reduce human and financial consequences later (analyzing risk, reducing risk, and insuring against risk). It is important to know that disasters can happen at anytime and anywhere and if we are not prepared, consequences can be fatal.

Effective mitigation requires an understanding of local risks, addressing the hard choices, and investing in long-term community well-being. Without mitigation actions, our safety, financial security and self-reliance are jeopardized.

### Hazard Mitigation Assistance Grant Programs:

- 1. Hazard Mitigation Grant Program (HMGP) – DISASTER**
- 2. Pre-Disaster Mitigation Grant Program (PDM) – NON-DISASTER**
- 3. Flood Mitigation Assistance (FMA) – NON-DISASTER**
  - [HMGP](#) assists in implementing long-term hazard mitigation measures.
  - [PDM](#) provides funds for hazard mitigation planning and projects on an annual basis.
  - [FMA](#) provides funds for projects to reduce or eliminate risk of flood damage to buildings that are insured under the National Flood Insurance Program (NFIP) on an annual basis.

Hazard Mitigation Assistance grants are awarded by FEMA regions.

### Post-Disaster Mitigation Assistance (HMGP):

Hazard mitigation is any action taken to reduce or eliminate long term risk to people and property from natural hazards.

- The HMGP is authorized under Section 404 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act through a Presidential major disaster declaration.
  - Eligible applicants are either the states, territories or Federally-recognized tribes. Funding is available after a Presidentially declared disaster.
  - State recipients must have a FEMA-approved standard or enhanced state mitigation plan at the time of the Presidential major disaster declaration and at the time HMGP funding is obligated to the recipient or any subrecipient.
- A Governor, or equivalent Governor's Authorized Representative (GAR) may request that HMGP funding be available throughout the state, territory, or tribal area or only in specific jurisdictions.
- HMGP is also known as 404 HM.
- Recipients must have a current Administrative Plan approved by FEMA.
  - State Administrative Plan is a procedural guide that details how the recipient will administer HMGP.
- FEMA will determine the funding it will make available for HMGP by a lock-in, which will act as a ceiling for funds available to a recipient, including its sub recipients. The level of HMGP funding available for a given disaster is based on a percentage of the estimated total Federal assistance under the Stafford Act, excluding administrative costs for each Presidential major disaster declaration, as described in 44 CFR Section 206.432(b).
- Recipients must have a FEMA-approved Standard or Enhanced Mitigation Plan prior to the date of declaration.

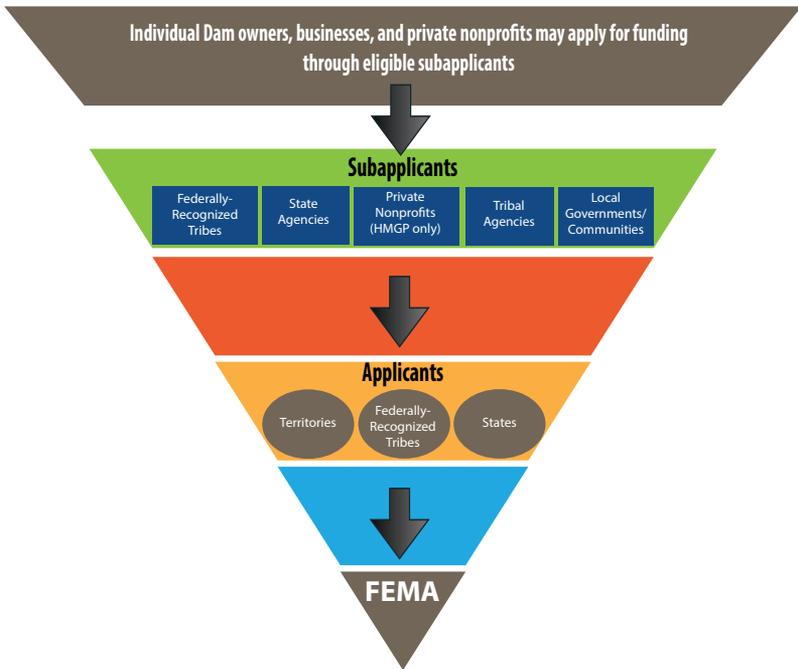
### Allocations in HMGP:

- The formula for calculating the HMGP allocation for states with a standard state mitigation plan is based on 15 percent of the first \$2 billion of estimated aggregate amounts of disaster assistance.
- For amounts greater than \$2 billion, a sliding scale is used to make allocation determinations. States with enhanced mitigation plans are eligible for a 20 percent HMGP formula.
- A Cost Shared Program – 75 percent Federal and percent cost match.
- The POP for HMGP begins with the opening of the application period and ends no later than 36 months from the close of the application period.

**Eligible activities related to dam safety may include:**

- Dam breach/ Danger reach analysis to determine the effect on the downstream floodplain in the event of a dam break.
- Engineering study to determine potential dam enhancements to increase reservoir capacity/reduce downstream flooding or reduce upstream backwater flood conditions.
- Enhancements to dam control structure, emergency spillway or other critical dam infrastructure in order to mitigate existing flooding conditions.

The following chart explains the process Dam owners, businesses, and sub-applicants must go through in order to apply for HMGP and how this process leads to FEMA.



## Non-Disaster Mitigation Assistance

Eligible applicants are either the states, territories or Federally-recognized tribes.

- PDM and FMA are competitive grants nationwide.
- Funds are appropriated on an annual basis.

### PDM Highlights:

- The PDM Program is authorized by [Section 203 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act](#). It is designed to assist states, territories, Federally-recognized tribes, and local communities in implementing a sustained pre-disaster natural hazard mitigation program.
- The goal is to reduce overall risk to the population and structures from future hazard events, while also reducing reliance on Federal funding in future disasters. This program awards planning and project grants and provides opportunities for raising public awareness about reducing future losses before disaster strikes.
- PDM grants are funded annually by Congressional appropriations and are awarded on a nationally competitive basis.
- PDM program is a competitive grant program and FEMA chooses the applications to be funded based on the applicant's ranking of the project and the eligibility and cost-effectiveness of the project.
- Application of funds is by a state, U.S. Territory, or Federally-recognized tribe.
  - In addition to the state, and local communities or private nonprofits (PNP) can also sponsor applications on behalf of homeowners and then submit the applications to their state.
- FY 2014 Funding was \$63,000,000. The POP was for 24 months.
- FY 2015 Funding was \$30,000,000. The POP was for 36 months.

### FMA Highlights:

- The FMA program is authorized by Section 1366 of the National Flood Insurance Act of 1968, as amended, 42 U.S.C. 4104c with the goal of reducing or eliminating claims under the NFIP.
- FMA provides funding to states, and Federally-recognized tribes and communities for measures that reduce or eliminate the long-term risk of flood damage to structures insured under the NFIP.
- FMA funding is available through the NFIF for flood hazard mitigation projects, plan development, and management costs, which is appropriated by Congress annually.
- Application of funds is by a state, U.S. Territory, or Federally-recognized tribe.
  - In addition to state and local communities, PNPs can also sponsor applications on behalf of homeowners and then submit the applications to their state.
- FMA is a competitive grant program and FEMA chooses the applications to be funded based on the applicant's ranking of the project and the eligibility and cost-effectiveness of the project.

### POP was 36 months:

- FY 2014 funding was \$89,000,000.
- FY 2015 funding was \$150,000,000.

### Requirements:

- States must have a FEMA-approved standard state mitigation plan.
- Local communities or tribes must have a FEMA-approved local or tribal mitigation plan, respectively.
- Projects must be technically feasible.
- Mitigation measures are required to be cost effective.

### How can you determine Cost Effectiveness?

Using the FEMA Benefit Cost Analysis software, the result must benefit in a cost ratio of  $\geq 1.0$ . In addition, FEMA has determined "pre-calculated" benefits for a number of project types.

## Eligible HMA Program Activities:

- property acquisitions
- building elevation
- seismic retrofit
- drainage upgrade
- education and training
- wind retrofits
- safe rooms
- demolition
- relocation
- flood-proofing
- localized flood risk reduction projects and
- non-localized flood risk reduction projects.



## Localized Flood Risk Reduction Projects:

These projects lessen the frequency or severity of flooding and decrease predicted flood damage within an isolated and confined drainage or catchment area that is not hydraulically linked or connected to a larger basin.

- Projects are eligible for funding under HMGP, PDM, and FMA.
- Must not duplicate the flood prevention activities of other Federal agencies.
- May not constitute a section of a larger flood control system.
- Modifications must be for increasing risk reduction capabilities of the existing structures and cannot constitute only repairs.

Examples of localized flood risk reduction efforts include, but are not limited to:

- Installation or modification of culverts.
- Stormwater management facilities.
- Construction or modification of retention and detention basins.
- Construction or modification of floodwalls, dams, and weirs.

## Examples of Dam Related Localized Flood Risk Reduction Projects:

- Modifications to dams can extend their height and reinforce the toe so that they are able to resist more hydrodynamic loads behind it while adding additional spillways will increase how many ways the water can go during high flow situations.
- Dam modifications may include increasing the height and reinforcing the toe of the dam so that it can better withstand hydrodynamic loads.
- Modifications can also be made to the dam outlet control structure or installation/upgrade to emergency spillways to enhance overall dam safety.
- The activity must show a reduction in risk either upstream or downstream of the dam and is not routine maintenance that should have been completed by the owner.

## Non-localized Flood Risk Reduction Projects:

These projects lessen the frequency or severity of flooding and decrease predicted flood damage within an area that is hydraulically linked or connected to a drainage basin that is regional in scale. The projects reduce flood hazards in areas larger than that of localized flood reduction projects.

- Non-localized flood risk reduction projects are eligible for funding under HMGP and PDM only.

### **These projects include but are not limited to:**

- The construction, demolition, or rehabilitation of dams.
- Construction or modification of dikes, levees, floodwalls, seawalls, groins, jetties, breakwaters, and stabilized sand dunes.
- Large-scale channelization of a waterway.

## Examples of Dam Related Non-Localized Flood Risk Reduction Projects:

- Rehabilitation under HMA grants pertains to risk-reducing structural improvements designed to upgrade dams to current safety standards.
- Does not include repair to dams for the purpose of routine and damage-induced maintenance of existing structures.



# Public Assistance Program

## Overview

The PA Program is activated by a Presidentially declared disaster or emergency, which could include natural or man-made events such as hurricanes, tornadoes, storms, earthquakes, volcanic eruptions, landslides, snowstorms, droughts, floods, fires, and explosions.

The purpose of this program is to provide supplemental Federal disaster grant assistance for debris removal, emergency protective measures, and the repair, replacement, or restoration of disaster-damaged, publicly owned facilities damaged or destroyed.

The PA Program is run by the FEMA Regions.

### Eligibility:

All states (including territories and the District of Columbia) and Federally-recognized tribes applying directly to FEMA as an applicant must have a FEMA-approved mitigation plan as a condition for receiving non-emergency Public Assistance (Categories C-G).

The state as the applicant is responsible to administer the grants awarded by a person designated by the Governor as the Governor's Authorized Representative (GAR).



### Applicant:

- The four types of eligible applicants for the PA Program include State and Local governments, Indian tribes and PNP organizations.
- State government make the state declaration.
- Local government make the county declaration.
- Indian tribes/PNP organizations will need to be in a declared county from a declared state.

### Facility:

- An eligible facility is any building, works, system, or equipment that is built or manufactured, or any improved and maintained natural feature that is owned by an eligible public or PNP applicant.
- The applicant needs to be legally responsible of facility.
- The facility must not under the jurisdiction of the USACE, NRCS, or any other Federal entity.

### Work:

To be eligible for funding, disaster recovery work performed on an eligible facility must be required as the result of a Federally declared disaster, be located within a designated disaster area, and be the legal responsibility of an eligible applicant.

- Three types of work dams will fall under permanent restoration.
- Permanent work includes restoring the facility back to its pre-disaster design, function, and capacity.
- Codes and standards are applicable under the approved work (repaired or replaced).
- Codes must be formally adopted and enforced.
  - Example: a new spillway or an extension of a damaged spillway.

### Cost:

- Costs that can be directly tied to the performance of eligible work are eligible.
- Costs should be reasonable, compliant of all Federal, state, and local requirements and regulations.

## Public Assistance PNP:

PNP organizations are those who own or operate facilities that provide services of a governmental nature for assistance.

### Eligibility:

PNP applicants must meet additional eligibility criteria beyond the state, local and tribal including:

- Meet facilities requirements as listed in 44 CFR§206.221(e).
- Submit satisfactory evidence from the state that the organization is a non-revenue producing, nonprofit entity organized or doing business under state law.

## Eligible PNP Facilities for Permanent Work:

- **Critical Facilities** – Provide education medical care, custodial care, emergency, and utilities.
  - Power facilities for generation, transmission and distribution or electric power
  - Water facilities for treatment, transmission and distribution by a water company supplying municipal water. Water provided by an irrigation company for potable, fire, protection, or electricity generation purposes.
  - Eligible supporting facilities that provide critical services (e.g. hospital labs, storage, administration, and records areas) except for irrigation facilities.
- **Non-Critical Facilities** – day care for special needs, low income housing, food programs for the needy, libraries, museums, and zoos.
- **Ineligible Facilities** – A dam owned by a property owners associations.

## Eligible PA Work:

- **Entire dam structure**
- **Element from the dam structure**
  - Spillway, channels, and drainage pipes

- Embankment, stones or other element associated with erosion caused by the event
  - Walls, footings and slabs
  - Siphons and support
  - Early warning system, including sirens
  - Electric system and
  - Equipment
- **Work associated with the damage and needed for repair of damaged facility**
- Clearing and grubbing
  - Demolition
  - Excavation
  - Dewatering
  - Permitting
  - Architect/Engineer design and Hydrologic-Hydraulic Studies, and
  - Contract work

### PA Section 406 Hazard Mitigation:

If a facility is being repaired under the Public Assistance grant program and improvements are being added, FEMA may provide assistance with hazard mitigation under Section 406 of the Stafford Act to prevent or reduce the threat of future damage to a facility. These funds must be applied to the original facility. If the improved project involves a complete new facility on the same site or on a different site, FEMA cannot approve Section 406 Hazard Mitigation funding that may otherwise have been eligible for the original facility.

### Differences between Section 404 and Section 406 Hazard Mitigation Measures:

The Stafford Act provides for two types of funding for hazard mitigation measures :

- Statewide mitigation programs and mitigation for disaster-damaged facilities are authorized under Section 404 of the law.
- Mitigation for disaster-damaged facilities are authorized under Section 406 of the law.

## Section 404 Hazard Mitigation compared to 406 Hazard Mitigation

(from FEMA PA guide, Table 9)

404 Hazard Mitigation (HMGP)	406 Hazard Mitigation (PA)
Separate program run by the state.	Implemented through the PA Program.
Applies to structural measures and to non-structural measures (such as planning, property acquisition, and drainage projects).	Applies only to structural measures and does not apply to buyouts.
Applies throughout the state in most disasters.	Must apply to the damaged element of the facility.
The formula for calculating the HMGP allocation for states with a standard state mitigation plan is based on 15 percent of the first \$2 billion of estimated aggregate amounts of disaster assistance. For amounts greater than \$2 billion, a sliding scale is used to make allocation determinations. States with enhanced mitigation plans are eligible for a 20 percent HMGP formula.	No program-wide limits on funds, but each project must be cost-effective and approved by FEMA.

### Eligibility:

- Applies only to repairs of a building or infrastructure.
- Must be appropriate to the disaster damage/ prevent future damage similar to that caused by the declared event.
- Applies only to the damaged element of a facility.
- Does not apply to the replacement of buildings or infrastructure.
  - Only repairs are eligible.
  - Codes and standards are not eligible.

### Costs:

- Must be determined cost effective.
  - 15 percent rule of the first \$2 billion
  - Up to a 100 percent funding and
  - Benefit/Cost analysis



# National Dam Safety Program

## Overview

The NDSP, which is led by FEMA, is a partnership of states, Federal agencies, and other stakeholders to encourage individual and community responsibility for dam safety. NDSP is an investment in preventing dam failures and reducing the impacts on lives and property that may be at risk from a dam failure. The program plays an important role in raising dam safety awareness and lessening the impacts if a dam was to fail. Key initiatives include:

- Assisting states in establishing and maintaining dam safety programs;
- Providing technical training to state and Federal dam safety staff; and
- Supporting research and development of guidance to advance the practice of dam safety to improve public safety.

There is no cost match or cost share requirement for this program.

## Mission:

To reduce risks to lives, property, and the environment from dam failure by guiding public policy and leveraging industry best practices across the dam safety community. NDSP supports DHS' mission of Strengthening national preparedness and resilience as reflected in the Quadrennial Homeland Security Review.

The program enables statutory state dam safety programs to take precautions that ensure the safety of the dams, such as:

- The development of regulatory authority for the design, construction, operation, and maintenance of dams,
- The undertaking of dam inspections, development of Emergency Action Plans for dams, and
- Educating dam owners and the public about the necessity of dam safety.

The NDSP is run by the FEMA Regions and Headquarters.

## Objectives:

The objectives of the Program are to:

- Ensure that new and existing dams are safe through the development of technologically and economically feasible programs and procedures for national dam safety hazard reduction.
- Encourage acceptable engineering policies and procedures to be used for dam site investigation, design, construction, operation and maintenance, and emergency preparedness.
- Encourage the establishment and implementation of effective dam safety programs in each state based on state standards.
- Develop and implement a comprehensive dam safety hazard education and public awareness initiative to assist the public in preparing for, mitigating, responding to, and recovering from dam incidents.
- Develop technical assistance materials for Federal and non-Federal dam safety programs.
- Develop mechanisms with which to provide Federal technical assistance for dam safety to the non-Federal sector, and
- Develop technical assistance materials, seminars, and guidelines to improve security for dams in the United States.

<b>Funding FY 2015:</b>	\$7,591,711.00
<b>Number of Awards:</b>	51
<b>Period of Performance:</b>	1 year

## Eligible Applicants:

This funding opportunity is restricted to the state dam safety program for eligible entities meeting the statutory definition of a “state” (See 33 U.S.C. § 467(10)). Per 33 U.S.C. § 467(10), the term “state” means each of the several states of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any other territory or possession of the United States.

### Eligibility Criteria:

For a state to be eligible for assistance under this program, a state dam safety program must be authorized by state legislation and working toward meeting the following criteria and budgeting requirements:

1. The authority to review and approve plans and specifications to construct, enlarge, modify, remove, and abandon dams.
2. The authority to perform periodic inspections during dam construction to ensure compliance with approved plans and specifications.
3. A requirement that, on completion of dam construction, state approval must be given before the dam is operated.
4. The authority to require or perform periodic evaluations of all dams and reservoirs to determine the extent of the threat to human life and property in case of failure.
5. The authority to require or perform the inspection, at least once every 5 years, of all dams and reservoirs that would pose a significant threat to human life and property in case of failure to determine the continued safety of the dams and reservoirs.
  - a. A procedure for more detailed and frequent safety inspections.
6. Have a requirement that all inspections be performed under the supervision of a state-registered professional engineer with related experience in dam design and construction.
7. The authority to issue notices, when appropriate, to require owners of dams to perform necessary maintenance or remedial work, install and monitor instrumentation, improve security, revise operating procedures, or take other actions, including breaching dams when necessary.
8. Have regulations for carrying out the legislation of the state described in this subparagraph.
9. Have provision for necessary funds—
  - a. To ensure timely repairs or other changes to, or removal of, a dam in order to protect human life and property, and
  - b. To take appropriate action as expeditiously as practicable if the owner of the dam does not take action described in 9.a.
10. A system of emergency procedures to be used if a dam fails or if the failure of a dam is imminent.

11. An identification of—
  - a. Each dam the failure of which could be reasonably expected to endanger human life.
  - b. The maximum area that could be flooded if the dam failed; and
  - c. Necessary public facilities that would be affected by the flooding.

# Links

## References:

- [www.fema.gov/dam-safety](http://www.fema.gov/dam-safety)
- [www.fema.gov/grants](http://www.fema.gov/grants)
- [www.fema.gov/technical-assistance](http://www.fema.gov/technical-assistance)
- [www.fema.gov/preparedness-non-disaster-grants](http://www.fema.gov/preparedness-non-disaster-grants)
- [www.fema.gov/homeland-security-grant-program](http://www.fema.gov/homeland-security-grant-program)
- [www.fema.gov/emergency-management-performance-grant-program](http://www.fema.gov/emergency-management-performance-grant-program)
- [www.fema.gov/hazard-mitigation-assistance-hma-program-guidance](http://www.fema.gov/hazard-mitigation-assistance-hma-program-guidance)
- [www.fema.gov/hazard-mitigation-planning](http://www.fema.gov/hazard-mitigation-planning)
- [www.fema.gov/benefit-cost-analysis](http://www.fema.gov/benefit-cost-analysis)
- [www.fema.gov/public-assistance-local-state-tribal-and-non-profit/](http://www.fema.gov/public-assistance-local-state-tribal-and-non-profit/)
- [www.fema.gov/office-environmental-planning-and-historic-preservation](http://www.fema.gov/office-environmental-planning-and-historic-preservation)

## Other useful related websites:

- e-CFR or electronic version of 2 CFR Part 200 - UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS — [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)



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