



# **Addendum to the Hazard Mitigation Assistance Unified Guidance**

**Program Administration by States Pilot, Hazard Mitigation  
Grant Program**

April 1, 2013



**Federal Emergency Management Agency  
Department of Homeland Security  
500 C Street, S.W.  
Washington, DC 20472**

**Titles of Opportunities**

Hazard Mitigation Grant Program (HMGP)

**Funding Opportunity Numbers**

The Catalog of Federal Domestic Assistance (CFDA) number for the Hazard Mitigation Assistance is 97.039 Hazard Mitigation Grant Program (HMGP)

**Federal Agency Name**

U.S. Department of Homeland Security (DHS) Federal Emergency Management Agency (FEMA)

**Announcement Type**

Additional Program Guidance Sandy Recovery Improvement Act of 2013

**Dates**

This document supplements the Hazard Mitigation Assistance (HMA) Guidance by providing direction on the Program Administration by States provision in the Sandy Recovery Improvement Act, Section 1104(b). This guidance applies to HMGP grants that have open application periods after January 29, 2013. Submittal deadlines for applications for HMGP funding are set by the date of the Presidential major disaster declaration.

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## **Part 1. Background**

The Sandy Recovery Improvement Act of 2013 (the Act) (enacted concurrently with the Disaster Relief Appropriations Act of 2013) was signed by the President on January 29, 2013. The goal of the Act is to establish efficiencies in federal disaster recovery programs that will expedite the Hurricane Sandy recovery process and future disaster recovery nationwide, and to reduce costs.

The Act, Section 1104, amends Section 404 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (which authorizes the Hazard Mitigation Grant Program (HMGP)), and provides FEMA with the authority to implement the provisions of Program Administration by States (PAS) (Section 404(c)) of the Stafford Act) as a pilot program prior to the development of notice and comment rulemaking.

This option applies to the HMGP for eligible activities immediately following any major disaster or emergency declared on/after January 29, 2013, and for any declaration before this date where the application period is still open (from DR-4010-KS forward). Tribal governments that choose to be a grantee will also have an opportunity to apply for PAS delegations. In this document, unless otherwise indicated, “State” or “States” include tribal governments and territories.

## **Part 2. Program Administration by States Pilot**

The Sandy Recovery Improvement Act of 2013 (Public Law 113-2) directed FEMA to finalize the "criteria relating to administration of hazard mitigation assistance by states" by implementing a pilot Program Administration by States (PAS) program outside of normal rulemaking processes until FEMA can promulgate rules. Grantees that wish to participate in the PAS pilot may be delegated additional defined responsibilities by FEMA based on an analysis of their staffing plan, grants management and hazard mitigation experience, and demonstrated past performance. In return for assuming additional responsibilities, Grantees will have increased control and oversight to implement the program.

Many of the potential delegated tasks listed are already tasks that are completed by the States. For example, the State is responsible for preparing a benefit cost analysis for project subapplications. Under the pilot program, FEMA's role would change. The current practice is that FEMA reviews and approves all applications. Under the pilot, the State may opt to conduct the agreed upon reviews without seeking approval from FEMA.

## **Part 3. State Request**

States wishing to assume primary responsibility for various elements of the HMGP program can request grant administration delegations from FEMA. [see Addendum A]

## **Part 4. Criteria**

According to the Stafford Act (42 U.S.C. 5107c (c)), the requesting State must have:

1. current FEMA-approved State or Tribal Mitigation Plan
2. demonstrated past performance in the area(s) requested [see Table 1]
3. demonstrated commitment to mitigation [see Table 2]

## **Part 5. FEMA Assessment**

States can apply for PAS at any time. After discussing their interest in PAS with the FEMA Regional Office, the State will submit a request letter to their FEMA Regional Office. The request letter will indicate the activities the State is interested in managing, and will contain the supporting documentation. The FEMA regional mitigation staff will review the request in 30 days. The Staff will evaluate the state's request against criteria provided in Table 1. If the Region determines that the State meets the criteria, they will contact the State to work on drafting an operational agreement [See Addendum B]. If the request is denied, FEMA will notify the State in a letter indicating the reasons why the request was denied.

## **Part 6. Operational Agreement**

FEMA will develop an Operational Agreement with approved PAS States that outlines agreed-upon delegations. Because this is a pilot program, the agreements will be tied to HMGP grants.

Assigning PAS designations to HMGP grants will allow states to build capability over time while the PAS program is being developed. This agreement will define applicability, FEMA and State responsibilities and the process for withdrawing from the program if FEMA determines that the State is not administering the HMGP in a satisfactory manner. Updated Operational Agreements will be developed for each declared disaster after which a State requests delegation of some elements of HMGP administration. [See Addendum B]

## **Part 7. Administrative Plan**

If approved for the PAS pilot, the State must update its HMGP Administrative Plan for each disaster. Plans will include a PAS addendum outlining those components the State will administer for that disaster under PAS, in accordance with HMA Guidance. FEMA must review and approve the updated Plan.

## **Part 8. Delegation Options**

States participating in the PAS pilot may opt to do many of the same activities they currently perform. However, final review and approval by FEMA will not be required in most cases.

Possible delegations include:

1. Application Review
  - 1.1. Review and approve HMGP sub-applicant application and amendment requests, by using expedited application approval process for FEMA's use in obligating funds. [See Addendum C] States using the expedited application approval process would submit a completed eligibility and completeness checklist [See Addendum D: HMA Application Review Tool] and project summary [see Addendum C] via an electronic data system provided by FEMA. Once FEMA receives these completed items, FEMA would award and obligate funds.
  - 1.2. States can select one or all of the following:
    - 1.2.1. Project Applications (all projects or selected projects)
    - 1.2.2. Planning Applications
    - 1.2.3. Management Costs, if the State chooses to share State management cost funding with subgrantees
  - 1.3. Approve funding of pre-award planning and project costs incurred by subgrantees
2. Cost Benefit Analyses
  - 2.1. States would review and approve cost benefit analyses submitted by subgrantees without FEMA review.
  - 2.2. State prepares own cost-benefit analyses without FEMA review
3. Grants Management
  - 3.1. States would approve post-award subgrantee scope of work modifications (that have no change to the project activity and no resulting need for additional federal funds) without FEMA review. The State would submit an updated Eligibility and Completeness Checklist [See Addendum D: HMA Application Review Tool] and Project Summary [see Addendum C] via electronic data systems provided by FEMA. Quarterly progress reports would be updated accordingly.

- 3.2. States would approve application time limit extensions for sub-applications with no impact to grant period of performance. States would document these changes in quarterly report and electronic data systems.
- 3.3. Administer HMGP for specific project types submitted by the subgrantee including property acquisition and structure demolition, wildfire mitigation, safe rooms, structural elevation or other eligible hazard mitigation project type.
- 4. Fiscal Management
  - 4.1. Without prior approval from FEMA, States would approve post-award budget revisions using funds available as a result of cost underruns from other approved subgrants. These funds can be moved to approved subgrants with cost overruns. Funds can only be used within the same HMGP grant. Prior to its approval, the State must determine if the project meets eligibility requirements, including cost effectiveness and cost share. The State would submit an updated Eligibility and Completeness Checklist and Project Summary via electronic data systems provided by FEMA. Quarterly progress reports would be updated accordingly.
  - 4.2. States would determine the eligible amount of reimbursement for each subgrantee claim and process payment without approval from FEMA.
- 5. Mitigation Planning
  - 5.1. State approval of Local Mitigation Plans using the process described in Part 10 State Approval of Local Mitigation Plans. FEMA will continue to send final approval letters to local and tribal communities.

## **Part 9. Environmental Review**

For the PAS Pilot, Environmental and Historic Preservation (EHP) review of HMGP subgrantee applications and amendments, including amendments made post-award will not be delegated to the States. The PAS statutory provision for the pilot program does not provide sufficient authority to delegate EHP review to States for compliance with HMGP eligibility and EHP requirements. FEMA has final review and approval authority on the environmental impact of any proposed Federal action or undertaking. However, States may assist FEMA with preparation for environmental review. Those delegable responsibilities include: completing project scope, describing the proposed activity, and providing background information for assessing the environmental impact of the Federal action on historic properties, endangered and threatened species, critical habitats, wetlands, floodplains, and on low income and minority populations. States should work with their subgrantees to evaluate and document environmental and cultural resource information involved with the proposed HMGP projects to consider alternatives to avoid, minimize and/or mitigate potential adverse impacts to the human environment and to integrate sustainable practices as early as possible in project formulation.

Before approving any sub-grantee applications, States must coordinate with FEMA Regional Office of Environmental and Historic Preservation (OEHP) staff to receive environmental and historic preservation clearance for approving HMGP subgrantee applications and amendments, including amendments made post-award. HMGP funds cannot be obligated until FEMA has completed the environmental review process. The attached Eligibility and Completeness Checklist [See Addendum D] and Project Summary [See Addendum C] that States agree to

submit will provide the FEMA Regional OEHP the information needed to complete EHP review in most cases. States will be required to submit to OEHP staff any additional information or documentation needed for FEMA to complete the review. States must coordinate obtaining any additional information with the subgrantee.

### **Part 10 State Approval of Local Mitigation Plans**

- A national panel comprised of FEMA headquarters and/or regional staff as well as state planning staff, will review the State's request for delegation of local mitigation plan review approval similar to the panel currently used to approved Enhanced State Mitigation Plans ([Enhanced Mitigation Plan Procedure MT-14](#)).
- Because States do not currently approve plans, FEMA and State staff will conduct a joint review period to ensure that there is a common understanding of the process and procedures related to local mitigation plan reviews. The length of the joint review period will be negotiated between FEMA and the State.
- States will review local mitigation plans within 45-days of receipt, whenever possible.
- States will notify FEMA when a local mitigation plan is approved and adopted and provide the following items to FEMA:
  1. Copy of the plan,
  2. Copy of the completed Local Mitigation Plan Review Tool (provided in the [Local Mitigation Plan Review Guide](#)), and
  3. Local jurisdiction contact information.
- FEMA will send the formal approval letter to the State and local jurisdiction.
- States will be required to send monthly updates to the FEMA Regional office, describing plan approval status, status of plan reviews, technical assistance activities and training scheduled. FEMA prepares these reports; however, if States are delegated local plan review, FEMA will not have access to data needed to prepare the reports and this will have to be completed by the State.

### **Part 11. Performance Monitoring**

FEMA will perform monitoring visits and provide tools and training as needed. On-going monitoring activities will be centered on the quarterly progress reports. FEMA regional offices will evaluate the State's performance quarterly by reviewing grant application data, quarterly reports, fiscal management processes, staffing allocation, changes in key personnel and sub-award procedures and processing. More in-depth monitoring activities will also be conducted either on-site or through desk reviews.

FEMA's monitoring program will vary depending on the size and scope of the HMGP grant and the activities that are delegated. Monitoring visits will occur at least once a year. However, it is more likely that monitoring visits will coincide with grants management activity. For example, if a state is delegated application review, FEMA might conduct a review at the half-way point to ensure compliance. Review frequency can be addressed during the drafting of the operational agreement. If local mitigation plan approval is delegated to the States, FEMA Regional

Mitigation Planning staff will conduct monitoring activities and make determinations regarding compliance.

FEMA staff will conduct an overall review to determine if processes agreed to in the Operational Agreement and Administrative Plans are being followed. A second level review will consist of reviewing project files for documentation compliance, either through a desk review or site visit. For those states requesting delegation of fiscal activities, the State's audit report will be reviewed and fiscal testing system may be used. As part of monitoring activities, FEMA Regional Staff may also interview staff working on HMGP and subrecipient contacts as needed to learn more about how the program is being managed from their perspective. After the monitoring visit is complete, FEMA will provide the State with a monitoring report. FEMA will work with the State to resolve any issues.

### **Part 12 Revocation of PAS Status**

FEMA will discuss with the State any findings that may require remediation. The State will be given an opportunity to address the findings, and must provide a plan and timeline to address them within 30 days of notice from the Region. If implementation of the corrective measures are not addressed or cannot be addressed within a reasonable timeframe, FEMA will notify the State of the options available, including possible revocation of the PAS status.

### **Part 13. Non-Compliance**

It is expected that the States will continue to maintain performance as agreed to in the Operational Agreement and State Administrative Plan. It is expected that States will maintain the performance levels under which they were evaluated for PAS status. If significant declines in performance are noted, FEMA will provide the State information regarding the consequences for non-compliance, including the circumstances in which PAS status can be rescinded.

### **Part 14. Subgrantee Appeals**

The HMGP appeals process will not change under PAS. FEMA will continue to review appeals from subgrantees regarding eligibility of activities and/or costs (44 CFR 206.440).

### **Part 15. Reconsideration**

If there is disagreement between FEMA and a State with respect to PAS application approval, a reconsideration process will be available to allow States to present to FEMA reasons to be selected for PAS activities. The reconsideration process will be determined through consultation with FEMA and the State. FEMA will re-evaluate the request against the criteria in Table 1.

### **Part 16. Financial Statement Audit**

States are responsible for obtaining annual audits in accordance with OMB Circular A-133 Audits of States, Local Governments, and Non-Profit Organizations and the Single Audit Act

Amendments of 1996. The financial audit determines if the State's financial documentation and processes are consistent with generally accepted accounting principles. These audits will help FEMA determine if HMGP funds were spent in accordance with program regulations. For States with Hazard Mitigation Assistance grants, annual audits are required regardless of where they are in the grants management process.

### **Part 17. Program Audit**

Program audits are an impartial review of program documents to provide an independent assessment of the performance of the HMGP. The information in these audits is used to help improve the provision of funds under the HMGP and report on program performance. FEMA and the Office of the Inspector General (OIG) will continue to conduct program audits of the HMGP.

### **Part 18. High Risk Grantee**

States that are classified as a high-risk grantee per 44 CFR 13.12 Special grant or subgrant cannot participate in or apply for the Program Administration by States pilot program because FEMA has determined the State has a documented history of unsatisfactory performance. High-Risk Grantees receive additional project monitoring and require additional FEMA approvals to conduct grant activities.

### **Part 19. Roles and Responsibilities**

Some of the roles listed below may be performed by FEMA and or the State currently. For states participating in the PAS pilot, FEMA will provide only minimal oversight of these activities. FEMA will:

- provide a process for application for PAS privileges as well as evaluation criteria
- provide appropriate guidance on requirements of any delegated responsibilities noted in the Administrative Plan
- receive and approve the Administrative Plan
- monitor State performance by reviewing quarterly reports
- monitor State performance through periodic evaluations to ensure PAS activities comply with program requirements
- conduct environmental and historic preservation reviews

States must:

- incorporate PAS delegated functions into Administrative Plan
- formulate hazard mitigation objectives
- decide distribution of funds among local communities
- adhere to all applicable HMGP statutes and regulations, including current guidance regarding HMGP administration
- meet all specified timelines
- maintain a continuing capacity to manage the HMGP
- retain documentation for FEMA quarterly audit reviews

**Part 20. Evaluation**

To determine the effectiveness of the PAS Pilot, a review team composed of State and FEMA representatives will conduct an evaluation. For States that participate at the start of this pilot, an evaluation will be conducted one to two years after the program starts. This evaluation would be different from monitoring and auditing activities and would focus on the program as a whole versus State performance. This team will evaluate the level of success of the pilot, based on the previously identified program evaluation criteria, identify pilot components that worked well and make recommendations for any needed improvements or changes.

## Table 2 Commitment to Mitigation

### Table One: Requirements for Potential Delegated Activities

#### Program Administration by States Pilot

##### Instructions

Attached are several tables for each delegated activity category. These tables provide a measurement item and or target to document past performance for that related delegated activity type. States must meet the required measurement for PAS approval. When FEMA reviews state requests for Program Administration by States, they will only evaluate tables for delegated activities requested by the State.

##### Timeframe for Past Performance

For the most part, FEMA will be reviewing the past performance of the last four quarters. FEMA may extend this timeframe when enough data is not available and these expectations are noted when needed. FEMA will review the last four quarterly reports submitted to FEMA prior to receiving the State Request letter. For states updating their PAS status for a new disaster declaration, FEMA will use the last four quarterly reports submitted prior to the disaster declaration.

##### Data needed in State Request Letter

The amount and type of data needed to support the state request will vary based on the types of delegated activities selected. Recommended data elements are noted in the table. States may submit other data they determine may be necessary to support their application. FEMA will supplement review of the request with grants management data.

**Table One: Requirements for Potential Delegated Activities  
Program Administration by States Pilot**

I. Application Review Delegated Activities
<p>1. Review and approve HMGP sub-applicant application and amendment requests, by using expedited application approval process for FEMA’s use in obligating funds. States can select one or all of the following:</p> <ul style="list-style-type: none"> <li>a. Project Applications (all projects or selected projects)</li> <li>b. Planning Applications</li> <li>c. Management Costs, if the State chooses to share State management cost funding with subgrantees</li> </ul> <p><i>(Note: If a state chooses a subset of application types, FEMA will only evaluate related applications. For example, FEMA would only review structural elevation applications when State requests delegated review limited to structural elevation applications.)</i></p> <p>2. Approve funding of pre-award planning and project costs incurred by subgrantees</p>

Application Review Delegated Activities Measurable Item and Target	Met	/ Not Met	FEMA or State Comments
<u>Administrative Plan</u> Documentation: list of declared disasters, HMGP grants and plan approval dates			
For the last four quarters, State Administration Plan is approved by FEMA within 90 days of the declaration date. This will be a requirement for disasters declared since April 1, 2013 <sup>1</sup>			
<u>Electronic Data Systems</u> Documentation: list of subapplications, document applications that were submitted electronically			
For all applications submitted within past four quarters, State enters applications into electronic data systems (e.g. NEMIS, Portfolio Manager) or completes FEMA data collection form and application review checklist. <sup>2</sup>			

<sup>1</sup> **Administrative Plan** Early approval of the Administration Plan is required because the plans describe how the State will notify potential applicants of HMGP availability, provide technical assistance to potential applicants, determine subapplicant eligibility, and review and prioritize applications. FEMA needs to evaluate this information before application development starts.

<sup>2</sup> **Data Systems** National Policy standards such as the Government Performance and Results Act (GPRA) and Federal Funding Transparency and Accountability Act require federal agencies to keep electronic data on grants for reporting purposes. These systems collect the basic data needed to be stored within FEMA records.

**Table One: Requirements for Potential Delegated Activities  
Program Administration by States Pilot**

Application Review Delegated Activities Measurable Item and Target	Met	/ Not Met	FEMA or State Comments
<u>Application Eligibility and Completeness</u> <sup>3</sup> Documentation: list of subapplications, date application submitted by State, date approved by FEMA, notation if Eligibility and Completeness Checklist was provided to FEMA.			
1. For applications submitted within past four quarters, the Eligibility and Completeness Checklist is completed and submitted for all applications. <sup>4</sup>			
2. Requested information has been submitted to FEMA and application is approved by FEMA within 60 days of application submittal. States with: Less than 20 applications                      90% or more of all applications 21 and 100                                      80% or more of all applications Over 100                                         75% or more of all applications			
3. For all applications, requested information has been submitted and the application is approved within 90 days of application submittal.			
<u>Grant Application Extensions</u> Documentation: list of HMGP grants; application deadline date, if applicable; date request of extension requested, if applicable.			
For the last four quarters any request to extend the application period was submitted at least 30 days prior to the end of the expiration of the application period.			
<u>Training</u> Documentation: Staffing organizational chart or roster, State Hazard Mitigation Officer or State Training Officer certifies staff completed required training within the past five years.			
1. Staff managing application development under PAS has completed E212 Unified Hazard Mitigation Assistance Course and other Hazard Mitigation Assistance related courses.			
2. Staff managing application development under PAS has completed IS-253 Coordinating Environmental and Historic Preservation Compliance.			

<sup>3</sup> **Application Eligibility and Completeness** Application packages are complete and include appropriate supporting documentation. Proposed activities are eligible and meet program requirements for project types.

<sup>4</sup> **Application Eligibility and Completeness Checklist** Since the Eligibility & Completeness Checklist will be released FY13 Hazard Mitigation Assistance Guidance; this requirement will start with after Guidance is released. The HMA Application Review Tool [see Addendum D] was optional in FY11.

**Table One: Requirements for Potential Delegated Activities  
Program Administration by States Pilot**

<b>II. Benefit-Cost Analyses Delegated Activities</b>	
1.	States would review and approve cost benefit analyses submitted by subgrantees without FEMA review.
2.	State prepares own cost-benefit analyses without FEMA review.

Benefit-Cost Analyses Delegated Activities Measurable Item and Target	Met	/ Not Met	FEMA or State Comments
<u>Benefit-Cost Analysis</u> <sup>5</sup> Documentation: list of subapplications, date BCA submitted, date reviewed and accepted as correct by FEMA			
Within 60 days of application submittal, requested information related to Benefit- Cost Analysis has been submitted to FEMA and the Benefit-Cost determination was accepted as correct by FEMA States with: Less than 20 applications                      90% or more of all applications 21 and 100                                        80% or more of all applications Over 100    75% or more of all applications			
For all applications, requested information regarding the Benefit-Cost analyses has been submitted and the determination was accepted as correct by FEMA within 90 days of application submittal.			
<u>Training</u> Documentation: Staffing organizational chart or listing, State Hazard Mitigation Officer or State Training Officer certifies staff completed training within the past five years.			
1. State Staff who have prepared the BCA’s reviewed and will prepare BCA’s under PAS have completed a FEMA Benefit-Cost Analysis Course. Staff should complete modules for project types or hazards anticipated within State. Completion of all modules is not required. <sup>6</sup>			
2. State Staff who have prepared BCA documentation have completed E212 Unified Hazard Mitigation Assistance Course, or its equivalent.			

<sup>5</sup> **Benefit Cost Analyses** Grantees use FEMA-approved methodologies and software to demonstrate the cost-effectiveness of their projects. Supporting documentation must be from credible sources as identified in regulations and guidance.

<sup>6</sup> **Benefit Cost Training** The Benefit-Cost training has several modules for different natural hazards. Field delivered courses usually only cover three modules.

**Table One: Requirements for Potential Delegated Activities  
Program Administration by States Pilot**

III. Grants Management Delegated Activities
<ol style="list-style-type: none"> <li>1. States would approve post-award subgrantee scope of work modifications (that have no change to the project activity and no resulting need for additional federal funds) without FEMA review. The State would submit an updated Eligibility and Completeness Checklist and Project Summary via electronic data systems provided by FEMA. Quarterly progress reports would be updated accordingly.</li> <li>2. States would approve application time limit extensions for sub-applications with no impact to grant period of performance. States would document these changes in quarterly report and electronic data systems.</li> <li>3. Administer HMGP for specific project types submitted by the subgrantee including property acquisition and structure demolition, wildfire mitigation, safe rooms, structural elevation or other eligible hazard mitigation project type.</li> </ol>

Grants Management Delegated Activities Measurable Item and Target	Met	/ Not Met	FEMA or State Comments
<u>Grant Extensions</u> Documentation: List of HMGP grants and period of performance deadline. Date of extension requests, if applicable			
For the last four quarters, all States’ requests to extend periods of performance were submitted to FEMA 60 days before end of Period of Performance.			
<u>State Progress Reports</u> Documentation: Dates progress reports were submitted to FEMA. Documentation of extension approvals, if applicable.			
All State Progress Reports must be complete and submitted on time (unless extension granted by FEMA) for the last four quarters. Information in reports must provide an accurate picture of grant activities and supports any extension requests. Incomplete progress reports which do not provide information on all open grants and subsequent subgrants or include all information required by Hazard Mitigation Assistance Guidance are not considered on-time.			
<u>State Close-out Activities – Subgrantee</u> Documentation: Listing of all subapplications that were closed-out by the State. State Hazard Mitigation Officer certifies that sub-applications were closed-out within six month of work completion. Since this data is found in State files, FEMA will review findings from FEMA monitoring and close-out reports.			
Close-outs of all sub-grants were reported in progress reports to indicate timely closeout and financial reconciliation (completed within six months of work completion).			
Actual expenditures have been documented and consistent with SF-424A or SF-424C.			

**Table One: Requirements for Potential Delegated Activities  
Program Administration by States Pilot**

Grants Management Delegated Activities Measurable Item and Target	Met / Not Met	FEMA or State Comments
<p><u>Grant Close-Out:</u> All grant close-out activities, including financial reconciliation are completed within 90 days (plus any extensions permitted according to 44 CFR 13.50(b)) from the end of the performance period including:</p> <p>Documentation: Dates documents submitted to FEMA. Period of performance deadline of respective HMGP grant.</p>		
1. Final Financial Report FFR SF-425 and Performance Reports were submitted to FEMA on time.		
2. Statement that Scope of Work(s) for subapplications has been completed as approved and all EHP requirements have been satisfied was submitted to FEMA on time.		
3. SF-270 Request for Advance or Reimbursement or request to de-obligate funds is completed, if applicable due to cost underruns, was submitted to FEMA on time.		

**Table One: Requirements for Potential Delegated Activities  
Program Administration by States Pilot**

IV. Fiscal Management Delegated Activities
<p>1. Without prior approval from FEMA, States would approve post-award budget revisions using funds available as a result of cost underruns from other approved subgrants. These funds can be moved to approved subgrants with cost overruns. Funds can only be used within the same HMGP grant. Prior to its approval, the State must determine if the project meets eligibility requirements, including cost effectiveness and cost share. The State would submit an updated Eligibility and Completeness Checklist and Project Summary via electronic data systems provided by FEMA. Quarterly progress reports would be updated accordingly.</p> <p>2. States would determine the eligible amount of reimbursement for each subgrantee claim and process payment without approval from FEMA.</p>

Fiscal Management Delegated Activities Measurable Item and Target	Met	/ Not Met	FEMA or State Comments
<u>Federal Financial Reports (FFR SF-425) prepared by State</u> Documentation: Dates FFR SF-425 were submitted to FEMA. Documentation of extension approvals, if applicable.			
All Federal Financial Reports are submitted on time (unless extension granted by FEMA) for the last four quarters. Information in reports projects an accurate picture of grant activities and supports any extension requests.			
<u>State Financial Management Systems</u> Documentation: Narrative describing financial management.			
State consistently complies with the Financial Management System requirements described in 44 CFR 13.20. The Region will consult with the Office of the Chief Financial Officer (OFCO) on this determination.			
<u>State Financial Statement Audit</u> Documentation: Date of last audit; summary of findings for Hazard Mitigation Assistance programs, if applicable; narrative on how State addressed findings, if applicable			
No major findings on last single audit obtained by the State related to Hazard Mitigation Assistance programs. For States without Hazard Mitigation Assistance grants, FEMA will review other federal grants prepared by the responsible agency (i.e. State Emergency Management Agency).			

**Table One: Requirements for Potential Delegated Activities  
Program Administration by States Pilot**

Fiscal Management Delegated Activities Measurable Item and Target	Met / Not Met	FEMA or State Comments
<p><u>Close Out Activities</u> The following will be measured on HMGP grants that have been closed out in the past four quarters. If no grants have been closed out in this period, the State may submit data for other Hazard Mitigation Assistance grants or use data from the last HMGP grant close-out.</p> <p>Documentation: Dates documents submitted to FEMA. Period of performance deadline of respective HMGP grant.</p>		
<p>All grant close-out activities, including financial reconciliation are completed within 90 days from the end of the performance period including:</p> <ol style="list-style-type: none"> <li>1. Final FFR SF-425 and Performance Reports were submitted on time.</li> <li>2. Statement that Scope of Work(s) has been completed as approved and all EHP requirements have been satisfied was submitted on time.</li> <li>3. SF-270 Request for Advance or Reimbursement or request to de-obligate funds is completed, if applicable due to cost underruns, was submitted on time.</li> </ol>		
<ol style="list-style-type: none"> <li>4. <u>Late Drawdowns</u> No drawdowns requested or performed after the liquidation period has ended.</li> </ol>		

**Table One: Requirements for Potential Delegated Activities  
Program Administration by States Pilot**

<b>V. Mitigation Planning Delegated Activities</b>			
1. State approval of Local Mitigation Plans using the process described below; FEMA will continue to send final approval letters to local and tribal communities.			
Panel Review FEMA headquarters and or regional staff as well as state planning staff, will review the State’s request for delegation of local mitigation plan approval similar to the panel used to approve Enhanced State Mitigation Plans.			
Mitigation Planning Delegated Activities Measurable Item and Target	Met	/ Not Met	FEMA or State Comments
<u>Plans are Approvable Pending Adoption</u> Documentation: Listing of local mitigation plans submitted to FEMA noting which plans were approval pending adoptions (no required revisions).			
In the last four quarters, all local mitigation plan reviews are approvable pending adoption (no required revisions) following their initial review by FEMA. If fewer than six plans have been submitted within this time period, the six most recent plan reviews will be used to make this determination.			
<u>Mitigation Planning Training</u> Documentation: Staffing organizational chart or listing, State Hazard Mitigation Officer or State Training Officer certifies staff completed training within the past five years.			
Staff who will be performing or managing Local Mitigation Plan review under the PAS pilot have completed IS-318 and IS 328, or equivalent.			
<u>Guidance and Regulations</u> Documentation: Staffing organizational chart or listing, State Hazard Mitigation Officer or Manager of Mitigation Planning Review describes and certifies experience.			
States document that staff dedicated to Mitigation Planning understand have experience interpreting and implementing mitigation planning guidance and 44 CFR Part 201 Mitigation Planning regulations.			
<u>Administration of Mitigation Planning Activities</u> Mitigation Planning regulations include standards for Managing States, where mitigation planning regulations refer to the Stafford Act provisions for Program Administration by States (Section 404(c)). Under this pilot, states will be required to address these standards:			

**Table One: Requirements for Potential Delegated Activities  
Program Administration by States Pilot**

Mitigation Planning Delegated Activities Measurable Item and Target	Met / Not Met	FEMA or State Comments
Documentation: Narrative as needed.		
1. <u>Resources:</u> Describe the funding used to develop local mitigation plans, including HMGP (44 CFR 201.3(c)(4))		
2. <u>Staff:</u> Describe the capacity and capability of the State mitigation planning staff to adequately provide consistent plan review and technical assistance		
3. <u>Technical Assistance and Training Program:</u> Describe the process used to conduct plan review as well as the process to provide technical assistance to plan developers and to build local mitigation capability (44 CFR 201.3(c)(5))		
4. <u>Administration:</u> Describe how the State will conduct local mitigation plan reviews within the 45 day review period, whenever possible, provide a copy of the plan to FEMA, and provide a monthly status report to FEMA that includes plan approval status, status of plan reviews, technical assistance activities and training scheduled. (44 CFR 201.6(d)(4))		

**Table 2 Commitment to Mitigation**

<b>Table 2: Commitment to Mitigation</b>	
<b>Two Review Parts</b>	
There are two parts to the review of Commitment to Mitigation. The first part addresses the State’s ability to manage the HMGP and Mitigation Planning programs. The second part addresses the State’s ability to support mitigation practices and activities statewide.	
<b>Part One: Grants Management Experience</b>	
In the request letter, States should provide information that supports that they:	
1.	Staff the HMGP program such that there is in-house or contract staff responsible for all elements including delegated activities throughout the HMGP grant lifecycle
2.	Manage HMGP program resources so they can conduct the standard and delegated activities throughout the HMGP grant cycle
3.	Provide technical assistance to local communities and eligible applicants such that they are then able to perform the function for which they requested assistance
4.	Use an effective management plan to administer HMGP and mitigation planning programs such that post disaster mitigation activities derive from pre-disaster mitigation planning, and that these activities are executed in a systematic, organized fashion and ensures compliance with HMGP program requirements and regulations.
5.	
<b>Part Two: Mitigation Practices and Activities</b>	
<b>States with Enhanced Mitigation Plan</b>	
States have an approved Enhanced Mitigation Plan. Submit date of FEMA-approved plan.	
<b>States with Standard Mitigation Plan</b>	
The plan must include documentation that the State has existing processes and activities in each of the following categories that reduce risk and vulnerability and increase resilience to natural hazards:	
1.	State management of mitigation, hazard safety, and insurance programs, such as: <ul style="list-style-type: none"> <li>a. Development of a State wind insurance pool;</li> <li>b. Land management, conservation, and preservation programs; or</li> <li>c. Specific programs for hazard prevalent in the state such as flooding, earthquakes, tornadoes, wildfires, hurricanes or other natural disasters.</li> </ul>
2.	Planning capability and authorities, such as: <ul style="list-style-type: none"> <li>a. State land use planning authority requiring local land use planning and incorporation of risk reduction into other planning processes;</li> <li>b. Statewide or delegated regulatory authority to guide land use development in hazard prone areas;</li> <li>c. Adoption and enforcement of up to date disaster resistant building codes, such as the International Building Code (IBC); or</li> <li>d. Provision of technical assistance to local communities to support the integration of hazard mitigation into planning activities.</li> </ul>
3.	Commitment and Management of State Resources and Funding to support mitigation activities, such as: <ul style="list-style-type: none"> <li>a. State funding of programs and grants (i.e. funding match), as well as state staff positions (ensuring stability);</li> <li>b. Use of other Federal grant programs, such as Community Development Block Grant; or</li> <li>c. Offers statewide authority to locals for tax credits / incentives.</li> </ul>
4.	State commitment to floodplain management, such as: <ul style="list-style-type: none"> <li>a. The provision of technical assistance to local communities to support participation in the National Flood Insurance Program, and to support communities in drafting and adopting floodplain management ordinances and building code enforcement practices;</li> <li>b. Encourage enrollment in the Community Rating System; and</li> <li>c. Use of a statewide strategy to encourage mitigation of repetitive loss properties, if applicable</li> </ul>

**Addendum A  
State Request Letter**

**ADDENDUM A - Example State Request Letter**

Date

FEMA Region \_\_\_\_

Street

City, State Zip Code

**Request for Program Administration by States (PAS) of Hazard Mitigation Grant Program (HMGP) - FEMA-DR-##**

Pursuant to Section 404(c)(2) of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5170(c)(2) as amended by Section 4. HAZARD MITIGATION of the Sandy Recovery Improvement Act of 2013 (Public Law 113-2) "(b) ESTABLISHMENT OF CRITERIA RELATING TO ADMINISTRATION OF HAZARD MITIGATION ASSISTANCE BY STATES.-Section 404(c)(2) of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5170c(c)(2) is amended by inserting after “applications submitted under paragraph (1).” The following: “Until such time as the Administrator promulgates regulations to implement this paragraph, the Administrator may waive notice and comment rulemaking, if the Administrator determines doing so is necessary to expeditiously implement this section, and may carry out this section as a pilot program.”, the State of \_\_\_\_\_ requests consideration for inclusion in the pilot PAS program for FEMA-DR## .

- The requested PAS status is only applicable for the above disaster (**FEMA-DR ##**) declared (Insert Date through which the application period is open).
- Delegation of the following HMGP responsibilities is requested:

Possible HMGP Delegations to Grantees	State Request insert “X”
Review and approve HMGP sub-applicant application and amendment requests, by using expedited application approval process and project summaries for FEMA’s use in obligating funds. [See Addendum C] Select one or all of the following: <ul style="list-style-type: none"> <li>•Project Applications (all projects or selected projects)</li> <li>•Planning Applications</li> <li>•Management Costs, subgrantee if the State choses to share State management cost funding with subgrantees</li> </ul>	
Approve funding of pre-award planning and project costs incurred by subgrantees	
Review and approve cost benefit analyses submitted by subgrantees without FEMA review. State prepares own cost-benefit analyses without FEMA review.	

**Addendum A**  
**State Request Letter**

Possible HMGP Delegations to Grantees	State Request insert "X"
States would approve application time limit extensions for sub-applications with no impact to grant period of performance. States would document these changes in quarterly report and electronic data systems.	
States would approve post-award scope of work modifications with no change to the project activity and no resulting need for additional federal funds without FEMA approval.	
Administer HMGP for specific project types submitted by the subgrantee. Indicate project types selected such as property acquisition and structure demolition, wildfire mitigation, safe rooms, structural elevation or other eligible hazard mitigation project type.	
Without prior approval from FEMA, States would approve post-award budget revisions using funds available as a result of cost underruns from other approved subgrants. These funds can be moved to approved subgrants with cost overruns. Funds can only be used within the same HMGP grant.	
States would determine the eligible amount of reimbursement for each subgrantee claim and process payment without approval from FEMA.	
State approval of Local Mitigation Plans. FEMA will continue to send final approval letters to local and tribal communities.	

- Grantee has a current State/Tribal Hazard Mitigation Plan dated\_\_\_\_\_.  
 [Please indicate if this is an Enhanced Plan\_\_\_\_\_.]

- Grantee’s demonstrated ability to Administer and Manage the HMGP:

States should refer to Table 1 to find out what information and data should be included in this section. The information will vary depending on the activities selected.

- Grantee has demonstrated commitment to mitigation activities by the following projects/actions:

States should refer to Table 2 to find out what information should be included in this section. There are two parts. 1) Grant Management Experience and 2) Mitigation Practices and Activities.

**Addendum A**  
**State Request Letter**

As a participant under the Program Administration by States pilot program, the State of \_\_\_\_\_ agrees to enter into an operational agreement with FEMA. For each disaster that the State of \_\_\_\_\_ chooses the PAS option, we agree to update the HMGP Administrative Plan to address all activities that FEMA will delegate to the State.

If further information is required, please contact the State Hazard Mitigation Officer at 999-999-9999 or by e-mail at [John.Doe@state.XX.us](mailto:John.Doe@state.XX.us) for additional assistance.

Sincerely,

Governor's Authorized Representative

**Addendum B**  
**Operational Agreement**

**ADDENDUM B**

**Operation Agreement**  
**[sample template language]**

**Program Administration by States (PAS) Pilot**  
**OPERATIONAL AGREEMENT**

**A. PURPOSE**

The purpose of this Operational Agreement (Agreement) between the Federal Emergency Management Agency (FEMA) and the [State/Tribe] Emergency Management Agency \_\_\_\_\_ is to implement the Pilot Program Administration by States under the Hazard Mitigation Grant Program authorized in the Stafford Act, Section 404(c), as amended by the Sandy Recovery Improvement Act of 2013 (P.L. 113-2). This document defines the roles and responsibilities, procedures and processes in effect under this Agreement. The Agreement, as an addendum to the FEMA/State Agreement, will assist FEMA and participating States in evaluating the Program Administration by States (PAS) pilot by designating [State] as a pilot PAS State for implementation of the delegations noted in this document for disaster declaration FEMA-xxxx-DR-xx.

**B. DELEGATED ACTIVITIES**

Under this arrangement, [State/Tribal Agency] will manage:

*<listing of delegated activities>*

**C. FEMA AUTHORITY**

FEMA will retain obligation authority, the final approval of environmental and historic preservation reviews, and will assist [State/Tribe] to the extent that such assistance is necessary and is specifically requested by [State/Tribe]. The PAS Pilot should be cost effective, maintain a high level of customer service, and provide consistency within the State's implementation of the HMGP operation. In designating [State/Tribe] as a PAS State, both FEMA and [State/Tribe] agree to adhere to the provisions outlined in this Agreement.

**D. APPLICABILITY**

- a. This Agreement applies to the administration of the HMGP Program under disaster declaration FEMA-xxxx-DR-xx and is effective upon date of signature by both parties. [State/Tribe] may apply the procedures in this Agreement to any eligible project under this disaster declaration not yet submitted to FEMA.

**Addendum B**  
**Operational Agreement**

- b. Under this Agreement, all applicable laws, Executive Orders, regulations, OMB Circulars and FEMA policies and guidance remain in effect. The Agreement specifies any deviations from procedures in current regulations and guidance made as part of the pilot program. This Agreement will incorporate any changes to applicable law or FEMA regulation published after the Agreement’s effective date.
- c. [State/Tribe] or FEMA may request amendments to the Agreement at any time. Both signatories must sign amendments to the Agreement.

**E. STATEMENT OF WORK**

F. The State shall perform the work required in Exhibit A (the Work)

**G. KEY PERSONNEL and LEVEL of EFFORT**

The State shall assign the following staff as Key Personnel for this Work.

Staff Member/Title	General Program Duties	Time Allocation

The State’s performance under this agreement shall be under the direction of <names(s)> that are considered essential to the Work. The full-time equivalent (FTE) level of effort, at a minimum, as specified in the Work shall be devoted by the State. Substitutions or substantial reductions in level of effort will only be for compelling reasons, and may affect the delegations provided by FEMA (i.e. work completed, close-out of grants). The State will notify FEMA of any pending changes and their plans to maintain the same level of effort.

**H. STATE PROGRESS REPORTS**

The State shall furnish FEMA with quarterly progress reports of progress made under this agreement. The State agrees to use pre-existing FEMA forms. The reports should include sufficient information to provide a realistic and timely description picture of progress.

**I. MONITORING**

The State may receive on-site reviews or desk audits from FEMA. FEMA Regional monitoring staff may review project and or financial activity related to the terms of this Agreement. FEMA will provide the State with 48 hour notice of any on-site review. The State should provide FEMA information needed to enable FEMA to perform monitoring functions.

**J. RECORD RETENTION**

The State shall retain supporting documents and other records pertinent to this Agreement until this grant is closed-out. This Agreement should not change any requirements in the FEMA-State agreement associated or other program requirements with the declared declaration which may require certain documentation to be maintained three-years after grant close-out.

## **Addendum B**

### **Operational Agreement**

#### **K. PROGRAM DEFICIENCIES**

Through audits, reviews, monitoring or other means, FEMA may find the State to have program deficiencies in the performance of the Work. If deficiencies are found, FEMA may require the State to take corrective action and to submit a written corrective action plan to address identified deficiencies. Any corrective action must be satisfactorily completed within 30 days of FEMA's acceptance of the plan unless otherwise agreed.

FEMA may require States to submit additional periodic written verification that measures have been taken to implement any corrective action. If the State fails to demonstrate its compliance with the approved corrective action plan within the agreed upon time constraints FEMA has the discretion to, exercise its rights to terminate this agreement. FEMA may also exercise any of the other rights and remedies available to it by law.

#### **L. FEDERAL COMPLIANCE**

The State shall comply with all applicable State and United States Federal statutes, laws, rules, and regulations in the performance of this Agreement, even if they are not referenced in agreement unless this Agreement or the PAS Pilot guidance specifies a different procedure than required by the regulations.

#### **M. ROLES AND RESPONSIBILITIES**

The Agreement primarily articulates the roles and responsibilities that FEMA is delegating to the State for accomplishing program requirements. Generally, [State/Tribe] assumes responsibility for management of:

delegated responsibility #1

delegated responsibility #2

#### **N. SPECIAL CONDITIONS**

*[This section of the Agreement can be used by the State and FEMA to include special considerations for the particular delegated activity.]*

#### **O. GENERAL CONDITIONS**

1. **General Compliance** The State agrees to comply with the requirements 44 CFR Subpart N Hazard Mitigation Grant Program unless this Agreement or the PAS Pilot guidance specifies a different procedure than required by the regulations .
2. **Amendments** The State or FEMA can amend this Agreement at any time provided that such an amendment makes reference to this Agreement and is executed in writing and signed by representatives from both organizations. Any amendments shall not invalidate the rest of the Agreement nor relieve the State from its obligations under this Agreement.

## **Addendum B**

### **Operational Agreement**

3. **Termination** The State may terminate this Agreement at any time by giving a 30 day written notice to FEMA. FEMA may terminate this Agreement for cause if the State materially fails to comply with the terms of this Agreement or with any the rules, regulation or provisions for HMGP or federal assistance. Before terminating the Agreement, FEMA will use the process described in Section IX Program Deficiencies to attempt to resolve the problem.
  
4. **Suspension** FEMA may suspend this Agreement, in part or in whole, if the State materially fails to comply with the terms of this Agreement, or with any of the rules, regulations or provisions for HMGP or federal assistance. As this is a pilot program, FEMA reserves the right to suspend parts of this Agreement if it is determined that an action performed by the State is not permitted with the terms of this Agreement and the applicable law and HMA Guidance. This will not invalidate the rest of the Agreement.

**Addendum B**  
**Operational Agreement**

**Attachment: The Work**

[The Work attachment can be used by the State and FEMA to draft a program management plan for each delegated activity.]

Delegated Activities:

- Application Review
- Benefit Cost Analysis
- Grants Management
- Fiscal Management
- State Approval of Local Mitigation Plans

**Attachment: Performance Measures**  
 (example chart provided below)

The chart would be completed as needed for delegated activities.

Measurable Item and Target	Met / Not Met	FEMA or State Comments
<b>Application Review</b>		
All submitted applications have a completed Eligibility and Completeness Checklist.		
Fewer than 5% of reviewed applications had findings during monitoring visits.		

**Addendum D  
Eligibility and Completeness Checklist**

**ADDENDUM C**

**Project Summary Sheet**

1. Major disaster declaration number from which mitigation funds will be obligated by FEMA;
2. Project number (FEMA will provide to State);
3. Applicant name(s) (i.e., Community and POC information);
4. U.S. Congressional District (Senators and Representatives);
5. FIPS code (FEMA will provide to State);
6. DUNS Number
7. Local Mitigation Plan Information;
8. Brief description of the project;
9. Project location with GPS coordinates;
10. Total project cost;
11. Amount requested (Federal share);
12. Non-Federal cost share amount and source (e.g., local, global credit pool);
13. Cost Effectiveness Determination
14. Proposed performance period (completion date);
15. List of alternatives considered (e.g., acquisition, elevation, drainage upgrade);
16. Reviews/Results
  - Certify that the State has reviewed and determined this project is eligible
  - Attach Record of Environmental Consideration and all coordinating agency consultation letters/memos
  - Attach benefit-cost summary sheet
  - Attach project site map.
  - Attach Assurances

**Addendum D**  
**Eligibility and Completeness Checklist**

**Eligibility and Completeness Checklist**

The following documents provide information on the HMA Application Review Tool which includes an Eligibility and Completeness Checklist that was released as an option tool with the FY11 Hazard Mitigation Assistance Unified Guidance for HMGP (and other HMA grants) on June 1, 2010. States should contact their FEMA Regional Office for the digital version of this form.

## Addendum D Eligibility and Completeness Checklist



FEMA

### HMA APPLICATION REVIEW TOOL (VERSION 1.0) GENERAL AND PROJECT-SPECIFIC REQUIREMENTS FREQUENTLY ASKED QUESTIONS (FAQ)

FEMA Hazard Mitigation Assistance (HMA) has introduced a new document, the HMA Application Review Tool (ART) Version 1.0, which has a two-fold purpose. It is both an instrument to facilitate FEMA's review of HMA subapplications as well as a transparent reference to guide State Applicants and local communities in developing more complete HMA grant applications. The goal of the HMA ART is to further reduce the uncertainty of Applicants and FEMA reviewers on the level of completeness of an application.

This document seeks to identify and provide answers to frequently asked questions about the HMA Application Review Tool (ART), including its intended use and function.

#### **1. What is the intent of the HMA ART? What part of the review does it not address?**

The purpose of the HMA ART is to create a transparent method of determining whether or not an application has all of the required elements for submission to FEMA. The HMA ART also captures those elements that may need to be submitted to FEMA after the initial application, during pre-award reviews, post-award, and even during closeout. The principle objective is to eliminate, to the extent possible, questions related to "what is required and when".

The HMA ART does not speak to the 'quality' of the required elements, only whether or not the elements are in place at the appropriate time. It is important to note that this tool does not imply that by providing all of the required elements a grant award is guaranteed. Submitted documents must still be of a quality to establish the eligibility, feasibility and cost-effectiveness of the proposed mitigation activity, and there may be additional ranking factors that are considered in selecting grants for award.

#### **2. Who created the HMA ART? Who are its intended users?**

The HMA ART was drafted by FEMA with input by State and local partners who sit on the External Stakeholders Workgroup. The development of this tool has been a multi-year effort, as similar preliminary versions of this document have been in use for years by FEMA HMA staff to guide the initial review of subapplications. The HMA ART, however, represents the first comprehensive tool that will be used nationwide by FEMA during all HMA application reviews and also shared with the States and local communities to assist with application development. The intended users of the HMA ART are all stakeholders in the mitigation community, including FEMA, State, and local communities. The same document that will be used by FEMA staff to perform initial Review reviews on subapplications will be available to State and local officials during the open application period.

## **Addendum D**

### **Eligibility and Completeness Checklist**

#### **3. What are some of the benefits of the HMA ART?**

The HMA ART, when used in concert with the HMA Guidance and applicable regulations, will convey the following benefits:

- Increased level of confidence on the part of Applicants in submitting complete applications for FEMA review;
- Improved accuracy of FEMA reviewers in establishing that applications received are complete and therefore merit further review;
- Greater efficiency by FEMA reviewers during the review process, and
- Assured consistency across all FEMA Regions and Headquarters, assuring a fair and even review process nationwide.

#### **4. When will the HMA ART be available for States to use?**

The HMA ART will be released simultaneously with the opening of the FY2012 Non-Disaster Application Period for the Pre-Disaster Mitigation (PDM), Flood Mitigation Assistance (FMA), Repetitive Flood Claims (RFC), and Severe Repetitive Loss (SRL) grant programs in early June 2011.

#### **5. Are States required to use or submit the HMA ART to FEMA as part of the application process? Should it be attached to the eGrants application or otherwise submitted?**

No, States are not required to use this optional tool or submit it to FEMA. States and local communities are encouraged, however, to make use of it as it will be the same tool used by FEMA to review the completeness of the application. A completed HMA ART can be provided to FEMA as an attachment to the subapplication if so desired.

#### **6. What programs does the HMA ART apply to? What project activity types does it cover?**

The HMA ART may be used for ALL HMA programs, including PDM, PDM-Joint Explanatory Statement (JES), FMA, RFC, SRL, and the Hazard Mitigation Grant Program (HMGP). The HMA ART is composed of two main pieces: General Requirements sections and Project-Specific sections. The General Requirements sections contain information that is required for all FEMA HMA grants. The Project-Specific sections contain specific required elements to be submitted in support of applications for the following mitigation activity types:

- Acquisition
- Structural Elevation
- Mitigation Reconstruction
- Drainage Projects

**Addendum D**  
**Eligibility and Completeness Checklist**

- Seismic Projects
- Wildfire Projects
- Safe Room Projects

**The HMA ART Version 1.0 will be fully evaluated following the completion of the HMA FY2012 Reviews in order to further improve the utility of this tool.** Additional information about the FEMA HMA Application Review Tool (ART) Version 1.0 can be obtained by sending an email to FEMA's HMA Program at [HMAProgram@fema.gov](mailto:HMAProgram@fema.gov).

# Addendum D Eligibility and Completeness Checklist

## Hazard Mitigation Assistance (HMA) Application Review Tool (ART)

Application	GRANT NUMBER:						KEY  All GREEN fields must be completed during Regional Application Reviews. (A.1-A.22)  All BLUE fields must be completed during a LATER part of the Review process. (A.23-A.40)	
	SUBGRANT NUMBER:							
	SUBGRANT TITLE:							
	SUBGRANTEE NAME:							
	SUBGRANTEE TYPE:							
	FEDERAL SHARE:							
	NON-FEDERAL SHARE:							
TOTAL ESTIMATED COST:								
Reviewer	REGIONAL PROGRAM REVIEWER:							
	PROGRAM REVIEW COMPLETION DATE:							
	REGIONAL PLANNER REVIEWER:							
	PLANNER REVIEW COMPLETION DATE:							
Program	APPLICATION FOR HMA PROGRAM:							
	OTHER PROGRAM REVIEWS REQUESTED:							
<p>Note: Applicants must include a statement in their grant application under the "Comments for FEMA" field in eGrants indicating their interest to have any subapplications considered for another mitigation grant program (specify the additional mitigation grant program(s) and corresponding Catalog of Federal Domestic Assistance (CFDA) number(s)). Comments for FEMA is the last section of the application in eGrants after the SF-424. Including this comment does not commit FEMA or guarantee the application will be considered under another grant program.</p>								
GENERAL COMMENTS								
APPLICANT and SUBAPPLICANT Application Review GENERAL FACTORS		HMGP	PDM	RFC	SRL	FMA	COMMENTS and NOTES <small>(will be viewed by National Evaluation panelists)</small>	Links/Examples
A.1	Is the Applicant eligible? <i>(Required YES for ALL)</i>							<a href="#">HMA Guidance</a>
A.2	Is the Subapplicant eligible? <i>(Required YES for ALL)</i>							<a href="#">HMA Guidance</a>
A.3	Was point-of-contact information provided for the applicant and subapplicant? <i>(Required YES for ALL)</i>							<a href="#">HMA Guidance</a>
A.4	Is the proposed project type eligible under the requested funding program? <i>(Required YES for ALL)</i>							<a href="#">HMA Guidance</a>
A.5	Select the project type: <i>(Required for ALL)</i>	Please select in comment field						<a href="#">HMA Guidance</a>
A.6	Was the subapplication previously submitted under another FEMA Program? <i>(if YES, identify project Name and # in comment field)</i>							<a href="#">HMA Guidance</a>
A.7	Is the subapplication previously funded under another FEMA Program, including HMGP? <i>(Required NO for ALL)</i>							

# Addendum D Eligibility and Completeness Checklist

## Hazard Mitigation Assistance (HMA) Application Review Tool (ART)

APPLICANT and SUBAPPLICANT Application Review GENERAL FACTORS		HMGP	PDM	RFC	SRL	FMA	COMMENTS and NOTES (will be viewed by National Evaluation panelists)	Links/Examples
A.8	Has construction started for this project? (NO required for all)							
A.9	Does another Federal entity have primary funding authority for this project? NO required for ALL							44 CFR 206.434(f)
A.10	Does the subapplicant participate in the National Flood Insurance Program (NFIP)? If yes, please indicate participation status in comment field. (Required YES for: HMGP, PDM, RFC, SRL, FMA)							<a href="#">HMA Guidance</a>
A.11	If the location of the project is in an identified Special Flood Hazard Area, are all NFIP requirements being addressed? (Required YES for ALL)							<a href="#">HMA Guidance</a>
A.12	Is a pre-award consultation agreement attached? (Required YES for SRL)	n/a	n/a	n/a		n/a		<a href="#">HMA Guidance</a>
A.13	Do all the properties included in the subgrant application have flood insurance? (Not required for minor localized flood control projects.) (Required YES for FMA, RFC and SRL)	n/a	n/a					<a href="#">HMA Guidance</a>
A.14	Will the proposed project solve the problem independently or constitute a functional part of a solution? (Required YES for ALL)							<a href="#">HMA Guidance</a>
A.15	Is the SOW complete and well-described, and does it match the Mitigation Activity? (Required YES for ALL)							
A.16	Is the Period of Performance 3 years or less? (Required YES for ALL)							
A.17	Does the Work Schedule accurately reflect the description of the mitigation activity provided in the SOW, and are milestones and associated timeframes reasonable and complete? (Required YES for: ALL)							
A.18	Have alternative project types been considered, and was the decision-making process for the chosen activity type described?							

# Addendum D

## Eligibility and Completeness Checklist

### Hazard Mitigation Assistance (HMA) Application Review Tool (ART)

APPLICANT and SUBAPPLICANT Application Review GENERAL FACTORS		HMGP	PDM	RFC	SRL	FMA	COMMENTS and NOTES <small>(will be viewed by National Evaluation panelists)</small>	Links/Examples
APPLICANT and SUBAPPLICANT Application Review PLAN STATUS FACTORS		HMGP	PDM	RFC	SRL	FMA	COMMENTS and NOTES <small>(will be viewed by National Evaluation panelists)</small>	Links/Examples
A.19	Does the Applicant have a current FEMA-approved Part 201 State/Tribal hazard mitigation plan? <i>(Required YES for ALL)</i>							<a href="#">44 CFR § 201</a>
A.20	If the subapplication is not for a new local mitigation plan (LMP), does the subapplicant have a current FEMA-approved LMP? <i>(Required YES for HMGP, PDM, SRL, FMA)</i>			n/a				<a href="#">44 CFR § 201</a>
A.21	Is the project described in this subapplication consistent with the goals and objectives of the Part 201 local hazard mitigation plan? <i>(Required YES for ALL)</i>							<a href="#">How-To Guide #9: Using the Hazard Mitigation Plan to Prepare Successful Mitigation Projects</a>
APPLICANT and SUBAPPLICANT Application Review COST EFFECTIVENESS FACTOR		HMGP	PDM	RFC	SRL	FMA	COMMENTS and NOTES <small>(will be viewed by National Evaluation panelists)</small>	Links/Examples
A.22	Is the calculated Benefit Cost Ratio (BCR) 1.0 or over, and does it match the BCR given elsewhere in the subapplication? <i>(Required YES for ALL)</i>							
A.23	<b>The data fields below are required components of a COMPLETE application, and may be used to establish valid ranking for competitive programs. Failure to provide this data at initial submittal will result in delayed eligibility decision and funding, and may contribute to the project being 'not selected for further review'. A non-selected project may be re-submitted at a later date with additional information if the application period for the requested program funding is open.</b>							
A.24	Select the project suffix: <i>(Required for HMGP)</i>		n/a	n/a	n/a	n/a		<a href="#">HMA Guidance</a>
A.25	Will the project have a beneficial impact upon the designated disaster area, whether or not located in the designated disaster area? <i>(Required YES for HMGP)</i>		n/a	n/a	n/a	n/a		<a href="#">CFR 206.435</a>
A.26	Are all of the "evaluation information questions" answered? <i>(Required YES for PDM)</i>	n/a		n/a	n/a	n/a		
A.27	Are all appropriate assurances provided (424, maintenance, etc)? <i>(Required YES for ALL)</i>							
A.28	Does the subapplicant provide adequate details about the community/ies? <i>(Required YES for ALL)</i>							<a href="#">FEMA: The National Flood Insurance Program Community Status Book</a>
A.29	Was the CID Number provided? <i>(Required YES for ALL)</i>							<a href="#">HMA Guidance</a>
A.30	Are the hazard problems and impacts explained in detail? <i>(Required YES for ALL)</i>							
A.31	If the project application will protect specific properties, is detailed information provided on each property? <i>(Required YES for ALL)</i>							

# Addendum D

## Eligibility and Completeness Checklist

### Hazard Mitigation Assistance (HMA) Application Review Tool (ART)

APPLICANT and SUBAPPLICANT Application Review GENERAL FACTORS		HMGP	PDM	RFC	SRL	FMA	COMMENTS and NOTES <small>(will be viewed by National Evaluation panelists)</small>	Links/Examples	
A.32	Was the DUNS Number provided?						A 33-41 are needed prior to requesting funding for an eligible project.	<a href="#">What is a DUNS Number</a>	
A.33	Was the FIPS Code provided?								
A.34	Was the U.S. congressional district provided?							<a href="#">US Congressional District Locator</a>	
A.35	Was the State Legislative District provided?								
A.36	In what County(s) is the project located?	Please answer in comment field							
A.37	Is the location of the project adequately described in the application including latitude and longitude coordinates consistent with geocoding policy standards (and property sites)?							<a href="#">Guidance for Geocoding Mitigation Data</a>	
A.38	If approved, is a Public Notice required?							<a href="#">Executive Order 11988 and Executive Order 11990</a>	
A.39	If approved, is a Press Release required?								
A.40	If approved, is a Large Project Notification required?								
<b>Go to Next Worksheet for Section B. Plan Status &amp; Planning Subapplication</b>									