

**The Department of Homeland Security**  
**Notice of Funding Opportunity**  
**FY 2019 Pre-Disaster Mitigation**

**NOTE:** If you are going to apply for this funding opportunity and have not obtained a Data Universal Numbering System (DUNS) number and/or are not currently registered in the System for Award Management (SAM), please take immediate action to obtain a DUNS Number, if applicable, and then to register immediately in SAM. It may take 4 weeks or more after you submit your SAM registration before your registration is active in SAM, and then an additional 24 hours for Grants.gov to recognize your information. Information on obtaining a DUNS number and registering in SAM is available from Grants.gov at <https://www.grants.gov/web/grants/Applicants/organization-registration.html>. Detailed information regarding DUNS and SAM is also provided in Section D of this Notice of Funding Opportunity (NOFO), subsection, Content and Form of Application Submission.

**A. Program Description**

**Issued By**

U.S. Department of Homeland Security (DHS),  
Federal Emergency Management Agency (FEMA),  
Federal Insurance and Mitigation Administration, Mitigation Directorate,  
Hazard Mitigation Assistance Division

**Assistance Listings Number (formerly Catalog of Federal Domestic Assistance Number)**  
97.047

**Assistance Listings Title (formerly CFDA Title)**  
Pre-Disaster Mitigation

**Notice of Funding Opportunity Title**  
FY 2019 Pre-Disaster Mitigation

**NOFO Number**  
**DHS-19-MT-047-000-99**

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

**Appropriation Authority for Program**  
Consolidated Appropriations Act, 2019 (Pub. L. No. 116-6)

**Program Type**  
One-time

**Program Overview, Objectives, and Priorities**  
The Pre-Disaster Mitigation (PDM) program makes Federal funds available to States, U.S Territories, Indian Tribal governments, and local communities to plan for and implement and sustain cost-effective measures designed to reduce the risk to individuals and property from

natural hazards, while also reducing reliance on Federal funding from future disasters. The PDM program strengthens national preparedness and resilience and supports the mitigation mission area through Strategic Goal #1 Building a Culture of Preparedness, Objectives 1.1, 1.2, 1.3, and 1.4 of the 2018 – 2022 FEMA Strategic Plan.

FEMA's priorities for funding Fiscal Year (FY) 2019 PDM applications are outlined below. Greater detail on factors to be considered in the evaluation of applications is specified in Section E of this NOFO under Application Review Information.

As required in Section 203(f)(2)(A) of the Stafford Act, FEMA will continue to provide grant funding allocations to each State and territory in the amount of \$575,000. FEMA will also set aside \$20 million for federally-recognized tribes for mitigation planning and projects.

FEMA's first priority for competitive funding after meeting the State/territory allocations and tribal set-aside is opportunities for Advance Assistance for all Applicants not to exceed \$200,000 each. In addition, there will be a competitive initiative for Resilient Infrastructure projects. These projects have a larger Federal cost share cap at \$10 million and are community based. As mitigation plans are updated, state, local, tribal, and territorial governments may want to engage partners with an interest in resilient infrastructure projects to join the planning process to identify vulnerabilities and develop updated mitigation strategies. The balance of PDM funds will be distributed on a competitive basis with priority given to multi-State/tribal mitigation initiatives and eligible Applicants that have less disaster funding available through the Hazard Mitigation Grant Program (HMGP), Section 404 of the Stafford Act (42 U.S.C. 5170c), than the PDM funding limits for planning and projects (see the Program Funding Restrictions subsection under Section D of this NOFO) to complement the HMGP funds available to States, territories, and tribes following disasters. For more information on the HMGP and FMA programs, see the Related Hazard Mitigation Assistance (HMA) Programs subsection under Section H of this NOFO.

The Disaster Recovery Reform Act (DRRA) was introduced to address the rising costs of disasters and to reform federal disaster programs. The Act established more than 50 new authorities and requirements across the Federal Emergency Management Agency. One of the most substantive provisions of DRRA is Section 1234: National Public Infrastructure Pre-Disaster Hazard Mitigation, which allows FEMA to set aside 6 percent of estimated disaster expenses for each major disaster to fund a new grant program: Building Resilient Infrastructure and Communities (BRIC). The new program will supersede the existing Pre-Disaster Mitigation (PDM) program beginning in FY 2020. FEMA's vision for BRIC is to reduce costs and loss of life from natural disasters by building a national culture of preparedness through encouraging investments to protect our communities and infrastructure and strengthening national mitigation capabilities to foster resilience.

In preparation for this new program FEMA encourages all entities to ensure their state, territory, tribal and local agencies with authority in mitigation are included in the mitigation planning and implementation process. Hazard Mitigation plans are the foundation for mitigation activities, based on risks identified and assessed in the plans, and directly tied to local mitigation plans. The Plans should reflect state-wide mitigation priorities, across all potential Federal and non-Federal mitigation funding sources.

In addition, communities are encouraged, but not required, to pursue Plan Integration, which is a process where communities look critically at their existing planning framework and align

efforts. Integration of hazard mitigation principles into other local planning mechanisms (comprehensive plans, transportation plans, floodplain ordinances, etc.) and vice versa is vital to build a safer, more resilient community. This two-way exchange of information supports community-wide risk reduction, both before and after disasters occur. Not only will the community's planning efforts be better integrated, but by going through this process there is a higher level of interagency coordination, which is just as important as the planning mechanisms themselves. Additional information on Plan Integration can be found at <https://www.fema.gov/media-library/assets/documents/108893>.

An application with an active shooter component will only be considered if the activity occurs in combination with traditional mitigation activities, not as stand-alone activities. These school safety-related actions cannot compromise the integrity of traditional mitigation activities. In addition, a reasonable increase in costs for the school safety actions may be allowed provided the project remains cost-effective.

#### **Performance Metrics:**

Based on the statutory requirements of Section 203 and the Hazard Mitigation Assistance Guidance (2015), FEMA has specified minimum project criteria including that Applicants must demonstrate mitigation projects are cost effective. Benefit-Cost Analysis (BCA) is the method by which the future benefits of a hazard mitigation project are determined and compared to its costs. The end result is a Benefit-Cost Ratio (BCR), which is calculated by a project's total benefits divided by its total costs. The BCR is a numerical expression of the "cost-effectiveness" of a project. A project is considered to be cost effective when the BCR is 1.0 or greater, indicating the benefits of a prospective hazard mitigation project are sufficient to justify the costs. Projects that are not cost-effective will not be eligible.

### **B. Federal Award Information**

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

<b>Available Funding for the NOFO:</b>	\$250,000,000
<b>Projected number of Awards:</b>	350
<b>Period of Performance:</b>	36 months
(Period of Performance for infrastructure projects will be 48 months)	

The Period of Performance (POP) starts with the acceptance of the award and ends no later than 36 months (see Section D, Application and Submission Information, of this NOFO). Given the complexity of the Resilient Infrastructure projects, the POP starts with the acceptance of the award and ends no later than 48 months from the funding Selection Date (see Section D, Application and Submission Information, of this NOFO).

An extension to the Period of Performance for grants under this program is allowed. For details on the requirements for requesting an extension to the Period of Performance, please refer to Section H, Additional Information, of this NOFO.

<b>Projected Period of Performance Start Date:</b>	various
<b>Projected Period of Performance End Date:</b>	36 months
<b>Projected Infrastructure Project Period of Performance End Date:</b>	48 months

## **Funding Instrument**

Grant

### **C. Eligibility Information**

#### **Eligible Applicants**

- States
- District of Columbia
- U.S. Territories
- Federally-recognized Tribal governments

Each State, territory, or Native American Tribal government shall designate one agency to serve as the Applicant for PDM funding. Each Applicant's designated agency may submit only one PDM grant application to FEMA. Applications under which two or more entities would carry out the award are eligible, such as a multi-State or multi-tribal initiative; however, only one entity may be the Applicant with primary responsibility for carrying out the award.

Local governments, including cities, townships, counties, special district governments, and Indian tribal governments (including Federally-recognized tribes who choose to apply as subapplicants) are considered subapplicants and must submit subapplications for mitigation planning and projects to their State/territory Applicant agency. Contact information for the State Hazard Mitigation Officers (SHMOs) is provided on the FEMA website at <https://www.fema.gov/state-hazard-mitigation-officers>.

#### **Eligibility Criteria**

To be considered for funding, all Applicants must submit their FY 2019 PDM grant application to FEMA via FEMA's grant application system (see Section D, Application and Submission Information, of this NOFO).

All Applicants and subapplicants submitting project and advance assistance subapplications must have a FEMA-approved mitigation plan by the application deadline and at the time of obligation in accordance with Title 44 Code of Federal Regulations (CFR) Part 201. Project and advance assistance subapplications submitted by Applicants or subapplicants that do not have an approved and adopted mitigation plan as of the application deadline are ineligible.

All mitigation projects submitted as part of a PDM grant application must be consistent with the goals and objectives identified in a) the current, FEMA-approved State or Tribal (Standard or Enhanced) Mitigation Plan and b) the local mitigation plan for the jurisdiction in which the project is located. Current mitigation plans are not required for Applicants and subapplicants submitting planning subapplications to develop a new mitigation plan or to update a mitigation plan.

#### **Other Eligibility Criteria**

1. To be eligible for the State/territory allocation or the tribal set-aside (see Program Overview, Objectives, and Priorities in Section A, of this NOFO), the Applicant's highest ranked planning or project subapplication must not exceed \$575,000 Federal cost share. There is **no limit** to the number of planning and project subapplications that Applicants

can submit for the State/territory allocation or tribal set-aside up to \$575,000 Federal cost share, but the Applicant must rank them higher than subapplications for competitive consideration (see Section E, the Application Review Information, of this NOFO).

2. Applicants may submit subapplications for the Advance Assistance funding not to exceed a total of \$200,000 per Applicant. These Planning subapplications MUST be designated as Advance Assistance within the title of the subapplication and use the **Advance Assistance** code/activity type within FEMA's grant application system to be considered.
3. Applicants may submit **one** subapplication for the Resilient Infrastructure funding for competitive consideration. These subapplications MUST be designated as Resilient Infrastructure within the title of the subapplication and use the **Utility and Infrastructure Protection** code/activity type within FEMA's grant application system to be considered. Subapplicants should ensure the proposed project conforms with the FEMA-approved mitigation plan. If the proposed project is not in conformance, the subapplicant may consider updating the mitigation plan.
4. Applicants may submit no more than **nine** project subapplications (in addition to the one Resilient Infrastructure project application) for competitive consideration over and above any project(s) submitted for the State/territory allocation or tribal set-aside.
5. Any Applicant agency willing to serve as the Applicant for multi-State or multi-tribal mitigation activities may include **one** multi-State/tribal project subapplication(s) in its grant application for a maximum of 10 competitive projects, notwithstanding any project(s) submitted towards its State/territory allocation or tribal set-aside. Applicants who include multi-State/tribal subapplication(s) in their grant application must clearly identify how the effort will be coordinated.

### **Cost Share or Match**

Cost share is required under this program. Federal funding is available for up to 75 percent of the eligible activity costs. The remaining 25 percent of eligible activity costs must be derived from non-Federal sources.

The non-Federal cost share contribution is calculated based on the total cost of the proposed activity. For example, if the total cost is \$400,000 and the non-Federal cost share is 25 percent, then the non-Federal contribution is \$100,000: 25 percent of \$400,000 is \$100,000.

Small, impoverished communities are eligible for up to a 90 percent Federal cost share for their mitigation planning and project subapplications in accordance with the Stafford Act. A small, impoverished community must:

- Be a community of 3,000 or fewer individuals identified by the State as a rural community that is not a remote area within the corporate boundaries of a larger city;
- Be economically disadvantaged, with residents having an average per capita annual income not exceeding 80 percent of the national per capita income, based on best available data. For the most current information, go to the Bureau of Economic Analysis website at <https://www.bea.gov>;
- Have a local unemployment rate that exceeds by 1 percentage point or more the most recently reported, average yearly national unemployment rate. For the most current

information, go to the Bureau of Labor Statistics website at <https://www.bls.gov/eag/eag.us.htm>; and

- Meet other criteria required by the Applicant in which the community is located.

Native American Tribal governments meeting the definition of a small, impoverished community that apply to FEMA directly as Applicants are eligible for a 90 percent Federal cost share for their planning, project, and management costs subapplications, which make up their overall PDM grant application.

Applicants and subapplicants who apply as an impoverished community must request the Federal cost share amount up to 90 percent in the Cost Share section of their planning, project, and management costs subapplication(s). Applicants must certify small, impoverished community status and provide documentation with the subapplication(s) to justify up to a 90 percent Federal cost share. If documentation is not submitted with the subapplication, then FEMA will provide no more than 75 percent Federal cost share of the total eligible costs.

For insular areas, including American Samoa, Guam, the Northern Mariana Islands, and the U.S. Virgin Islands, FEMA automatically waives the non-Federal cost share when the non-Federal cost share for the entire grant is under \$200,000. If the non-Federal cost share for the entire grant is \$200,000 or greater, FEMA may waive all or part of the cost share. If FEMA does not waive the cost share, the insular area must pay the entire non-Federal cost-share amount, not only the amount over \$200,000.

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

## **D. Application and Submission Information**

### **Key Dates and Times**

<b>Date Posted to Grants.gov:</b>	08/26/2019
<b>Application Start Date:</b>	9/30/2019
<b>Application Submission Deadline:</b>	01/31/2020 at 3:00 pm [Eastern Standard Time]
<b>Anticipated Funding Selection Date:</b>	06/1/2020
<b>Anticipated Award Date:</b>	12/30/2020

To be considered timely, a PDM grant application must be submitted by the application deadline via FEMA's grant application system, and the Applicant must have received a confirmation message in FEMA's grant application system that indicates successful PDM grant submission to FEMA. FEMA recommends that Applicants attach approved planning, project, advance assistance and management costs subgrant applications to their PDM grant applications at least 72 hours prior to the application deadline to allow time for the Applicant to review and correct issues that may prevent subgrant applications from being attached to a PDM grant application (see the Content and Form of Application Submission subsection below). Applications not received by the application submission deadline will not be accepted.

## Other Key Dates

Event	Suggested Deadline for Completion
Obtain DUNS Number	Four weeks before actual submission deadline
Obtain a valid Employer Identification Number (EIN)	Four weeks before actual submission deadline
Register with the System for Award Management (SAM)	Four weeks before actual submission deadline
Register for access to FEMA's grant application system	Four weeks before actual submission deadline
Create a PDM grant application and attach approved planning, project, advance assistance and management costs subgrant applications in FEMA's grant application system	Seventy-two hours before actual submission deadline

## Address to Request Application Package

FEMA will only process applications received via FEMA's grant application system. Information, training, and resources on FEMA's grant application system are available on the FEMA website at <https://www.fema.gov/application-submittal> (see Section G, DHS Awarding Agency Contact Information, of this NOFO).

For a hardcopy of the full NOFO, please write or fax a request to:

### **Kayed Lakhia**

Director, Hazard Mitigation Assistance Division, Mitigation Directorate  
Federal Insurance and Mitigation Administration  
Federal Emergency Management Agency  
400 C Street, SW  
Washington, DC 20472  
FAX: (202) 646-2880

In addition, the following Telephone Device for the Deaf (TDD) and/or Federal Information Relay Service (FIRS) number available for this Notice is 1-800-462-7585.

## Content and Form of Application Submission

All Applicants, must submit a PDM grant application via FEMA's grant application system by the application deadline to be considered for funding. The required format for grant and subgrant applications is built into FEMA's grant application system,

- Mitigation planning activities must be submitted in a planning subgrant application;
- Mitigation project activities must be submitted in a project subgrant application;
- Applicant management costs (for Applicants only) must be submitted in a management costs subgrant application;

- Advance Assistance activities must be submitted in a planning subgrant application;
- Resilient Infrastructure activities must be submitted in a project subgrant application;
- PDM grant applications, including Applicant-approved planning, project, advance assistance and management costs subapplications, must be submitted in an FY 2019 Pre-Disaster Mitigation (PDM) grant application.

Blank copies of applications that conform to FEMA's grant application system format are available for reference only at <https://www.fema.gov/application-submittal>. FEMA will not accept these as an application package.

Wherever possible, supporting documentation for applications should be attached electronically in FEMA's grant application system. Over-sized items that cannot be scanned may be mailed to respective FEMA Regional offices as necessary (<https://www.fema.gov/fema-regional-office-contact-information>); however, Applicants must provide information regarding the paper attachments and the date mailed to FEMA in the Comments and Attachment section of the application in FEMA's grant application system. Also, the documents must be postmarked by the submission deadline to be considered as part of the application. The Applicant is responsible for following up with FEMA to ensure that paper documents were received for consideration during the review process.

### **National Environmental Policy Act Requirements for Mitigation Projects.**

Applicants and subapplicants applying for mitigation projects must provide information needed to comply with the National Environmental Policy Act (NEPA) (42 U.S.C. 4321–4370h) and the related DHS and FEMA instructions and directives (i.e., DHS Directive 023-01, DHS Instruction Manual 023-01-001-01, FEMA Directive 108-1, FEMA Instruction 108-1-1). The required information is included in the subgrant application in FEMA's grant application system. Environmental Planning and Historic Preservation (EHP) Job Aids and Supplements are available on the FEMA website at <https://www.fema.gov/media-library/assets/documents/102051>

### **Benefit Cost Analysis for Mitigation Projects.**

Applicants and subapplicants applying for mitigation projects must provide a Benefit Cost Analysis (BCA) or other documentation that validates cost-effectiveness. BCA is the method of estimating the future benefits of a project compared to its cost. The end result is a benefit-cost ratio (BCR), which is derived from a project's total net benefits divided by its total project cost. The total benefits and costs must be entered in the Cost-Effectiveness section of the project subapplication and a FEMA-approved BCA must be attached as documentation, as applicable. Planning, advance assistance and management costs subapplications do not require a BCA.

FEMA has created software to ensure that the BCR is calculated in accordance with FEMA's standardized methodologies and OMB Circular A-94, Guidelines and Discount Rates for Benefit-Cost Analysis of Federal Programs, available on the Internet at <https://www.whitehouse.gov/omb/information-for-agencies/circulars>. FEMA's Benefit Cost Toolkit is available on the FEMA website at [www.fema.gov/benefit-cost-analysis](http://www.fema.gov/benefit-cost-analysis). Version 5.3 or higher are the only versions FEMA will accept as documentation for demonstrating cost effectiveness. A non-FEMA BCA methodology may only be used if pre-approved by FEMA in writing. More detailed information is available in Part IV, I, Cost Effectiveness, of

the HMA Guidance, available on the FEMA website at <https://www.fema.gov/media-library/assets/documents/103279>.

**Application for Federal Assistance and Assurances and Certifications Forms.**

Applicants must complete the following forms and attach them to their PDM grant application in FEMA's grant application system for submittal by the application deadline:

- Application for Federal Assistance (SF-424),
- Budget Information:
  - Budget Information for Non-Construction Programs (SF-424A), or Budget Information for Construction Programs (SF-424C), and
- Assurances and Certifications:
  - Assurances for Construction Programs (SF-424D),
  - Certifications Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (FEMA Form 20-16C), and
  - Disclosure of Lobbying Activities (SF-LLL), (if the Applicant has engaged in or intends to engage in lobbying activities).

The SF-424 family of forms is available on the Grants.gov website at <https://www.grants.gov/web/grants/forms/sf-424-family.html>. The FEMA Form FF 20-16C, Certifications Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements is available from the FEMA library online at <https://www.fema.gov/media-library/assets/documents/9754>.

Applicants may require their subapplicants to complete and attach the grant application and/or Assurance and Certifications forms to their planning, advance assistance, and project subapplications in FEMA's grant application system.

Subapplicants should contact their Applicant agency for information specific to their State/territory's/tribe's application process. Contact information for the SHMOs is provided on the FEMA website at <https://www.fema.gov/state-hazard-mitigation-officers>.

**Unique Entity Identifier and System for Award Management (SAM)**

Each Applicant for this award must:

1. Be registered in SAM before submitting its application;
2. Provide a valid DUNS number in its application; and
3. Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a DHS Federal Award Office (FAO).

DHS may not make a Federal award to an Applicant until the Applicant has complied with all applicable DUNS and SAM requirements. If an Applicant has not fully complied with the requirements by the time DHS is ready to make a Federal award, DHS may determine that

the Applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another Applicant.

### **How to Register to Apply:**

1. *Instructions:* Read the instructions below about registering to apply for DHS funds. Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information.

The registration process can take up to 4 weeks to complete. Therefore, registration should be done in sufficient time to ensure it does not affect your ability to meet required application submission deadlines.

Organizations must have a DUNS number, active SAM registration, and FEMA grant application system registration to apply for grants.

If individual Applicants are eligible to apply for this grant funding opportunity, refer to the NOFO subsection below: **How to Submit an Application to DHS via FEMA's Grant Application System.**

2. *Obtain a DUNS Number:* All entities applying for funding, including renewal funding, must have a DUNS number from Dun and Bradstreet (D&B).  
For more detailed instructions for obtaining a DUNS number, refer to <https://www.grants.gov/web/grants/Applicants/organization-registration/step-1-obtain-duns-number.html>.
3. *Register with SAM:* In addition to having a DUNS number, all organizations applying online through Grants.gov must register with SAM. Failure to register with SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually.  
For more detailed instructions for registering with SAM, refer to <https://www.grants.gov/web/grants/Applicants/organization-registration/step-2-register-with-sam.html>.
4. *Register for access to FEMA's grant application system:* The next step in the registration process is to create an account for FEMA's grant application system. For detailed instructions on registering, refer to <https://www.fema.gov/application-submittal>.
5. *Electronic Signature:* When applications are submitted through FEMA's grant application system, the name of the AOR that submitted the application is inserted into the signature line of the application, serving as the electronic signature.

### **How to Submit an Application to DHS via FEMA's Grant Application System**

1. Subapplicants must create planning, advance assistance and/or project subgrant applications and submit them to their Applicant organization.  
Subapplicants should contact their Applicant agency for information specific to their State/territory's application process. Contact information for the SHMOs is provided on the FEMA website at <https://www.fema.gov/state-hazard-mitigation-officers>.

If a subapplicant does not use FEMA's grant application system to submit planning, advance assistance and project subapplications to the Applicant, then the Applicant must enter the subapplication(s) into the grant application system on the subapplicant's behalf.

2. Applicants must review and approve planning, advance assistance and project subgrant applications submitted by their subapplicants.
3. Applicants must create a PDM grant application and then attach approved planning, project, advance assistance and management costs subapplications submitted by the Applicant and/or subapplicants to the PDM grant application.
4. Applicants must rank all of the subgrant applications included in their grant application in FEMA's grant application system.

Applicants may indicate their State/territory/tribe's priorities for funding in the Comments to FEMA section of the grant application; the subgrant ranking should not be used for that purpose.

5. The AOR must sign and submit the PDM grant application to FEMA via FEMA's grant application system by the application deadline.

### **Timely Receipt Requirements and Proof of Timely Submission**

*Online Submissions.* All applications must be submitted to FEMA by **3 p.m. Eastern Standard Time** on the due date. Proof of timely submission is automatically recorded by FEMA's grant application system. An electronic date/time stamp is generated within the system when the application is successfully submitted.

The Applicant with the AOR role who submitted the PDM grant applications prior to the submission deadline will receive a confirmation message, including the assigned PDM application number in the application system (e.g., PDM-01-MA-2017). In addition, once FEMA receives and delegates the PDM grant application to begin the review process, the application system will automatically send an email message to the Point(s) of Contact (POC) identified in the grant application.

FEMA's grant application system is programmed not to allow submittal of a PDM grant application after the submission deadline. Applicants using slow Internet, such as dial-up connections, should be aware that transmission of applications to FEMA's grant application system could take some time.

**Applicants and subapplicants who experience system-related issues will be addressed until 3 p.m. Eastern Standard Time on 01/29/2020. No new system-related issues will be addressed after this time.**

### **Intergovernmental Review**

An intergovernmental review may be required. Applicants must contact their State's Single Point of Contact to comply with the State's process under Executive Order 12372 (see <https://www.fws.gov/policy/library/rgeo12372.pdf>).

### **Funding Restrictions**

Federal funds made available through this award may only be used for the purpose set forth in this award and must be consistent with the statutory authority for the award. Award funds

may not be used for matching funds for any other Federal grants/cooperative agreements, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity.

### **Program Funding Restrictions**

No Applicant may receive more than 15 percent of the appropriated PDM funding, or \$37,500,000, per Section 203(f)(2)(B) of the Stafford Act.

The maximum Federal cost share for PDM activities is as follows:

- \$4 million for mitigation projects;
- \$200,000 per Applicant for Advance Assistance;
- \$10 million for Resilient Infrastructure projects;
- \$400,000 for **new** mitigation plans consistent with 44 CFR Part 201;
- \$300,000 for State/territorial and multi-jurisdictional local or tribal mitigation plan **updates** consistent with 44 CFR Part 201;
- \$150,000 for single jurisdiction local or tribal mitigation plan **updates** consistent with 44 CFR Part 201;
- 10 percent of plan and project subapplications for information dissemination activities, including public awareness and education (brochures, workshops, videos, etc.) related to a proposed planning or project activity;
- 10 percent of the grant application budget for Applicant management costs for Applicants to administer and manage grant and subgrant activities (see the Management and Administration Costs subsection below); and
- 5 percent of plan and project subapplication budget for subapplicant management costs for subapplicants to manage their plan or project activity (see the Management and Administration Costs subsection below).

FEMA will use the majority of PDM grant funding for mitigation projects.

Allowable costs are:

- Planning costs
- Training-related costs
- Domestic travel costs
- Construction and renovation costs
- Equipment costs

Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high-cost items and those subject to rapid technical advances. Large equipment purchases must be identified and explained. For more information regarding property management standards for equipment, please reference 2 CFR Part 200, available on the Internet at [https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl).

Unallowable costs are:

- Exercise-related costs
- Operational overtime costs

More detailed information is available in Part III, E.1, Eligible Activities, of the HMA Guidance, available on the FEMA website at <https://www.fema.gov/media-library/assets/documents/103279>.

### **Pre-Award Costs.**

Pre-award costs directly related to developing the PDM grant application or subapplication that are incurred within 8 months of the application period has opened but prior to the date of the grant award are allowed subject to FEMA's written approval. Such costs may have been incurred prior to application submission, for example gathering NEPA data or developing a BCA (see Section D, Application and Submission Information, of this NOFO), preparing design specifications, or conducting workshops or meetings related to development and submission of subapplications. To be eligible for PDM funding, pre-award costs must be identified as separate line items in the cost estimate of the subapplication. Applicants and subapplicants may identify such pre-award costs as their non-Federal cost share.

Pre-award costs may be cost shared or Applicants and subapplicants may identify them as their non-Federal cost share (see Cost Share or Match subsection in Section C, Eligibility Information, of this NOFO).

Costs associated with implementation of proposed projects in the submitted grant application or subapplication that are incurred prior to the date of the grant award are not allowed. Mitigation activities initiated or completed prior to the date of the grant award are not eligible.

Applicants and subapplicants who are not awarded grants or subgrants (awards/subawards) will not receive reimbursement for the corresponding pre-award costs. More detailed information is provided in Part IV, F.2, Pre-Award Costs, of the HMA Guidance, available on the FEMA website at <https://www.fema.gov/media-library/assets/documents/103279>.

### **Management and Administration Costs.**

Management costs are any indirect costs, any direct administrative costs, and other administrative expenses that are reasonably incurred in administering an award or subaward. Applicant and subapplicant management cost activities directly related to the implementation of the PDM program, such as subapplication development, geocoding mitigation projects, delivery of technical assistance, or managing awards and staff salary costs, are eligible for PDM funding in accordance with the HMA Guidance, available on the FEMA website at <https://www.fema.gov/media-library/assets/documents/103279>.

Applicants may apply for Applicant management costs of up to 10 percent of the total PDM grant application for management of the grant and all selected subgrants. Applicant requests for management costs must be submitted in a **separate** management costs subgrant application in FEMA's grant application system (see the Content and Form of Application Submission subsection).

Applicants and subapplicants may include subapplicant management costs of up to 5 percent of the total of their planning or project subapplication to manage the proposed activity. For

Applicants, this is in addition to the 10 percent Applicant management costs to manage the overall grant. Subapplicant management cost activities must be added to the Scope of Work section and reflected in the Cost Estimate section of subgrant applications in FEMA's grant application system.

Management costs are only awarded in conjunction with awarded project, advance assistance or planning subapplications. Applicants and subapplicants who do not receive awards/subawards for any planning, advance assistance or project subapplications will not receive reimbursement for management costs (see the Review and Selection Process subsection in Section E of this NOFO).

### **Indirect Facilities and Administrative Costs.**

Indirect costs are allowable under this program as described in 2 CFR 200.414. With the exception of Recipients who have never received a negotiated indirect cost rate as described in 2 CFR 200.414(f), Recipients must have an approved indirect cost rate agreement with their cognizant Federal agency to charge indirect costs to this award. A copy of the approved rate (a fully executed agreement negotiated with the Applicant's cognizant Federal agency) is required at the time of application and must be provided to FEMA before indirect costs are charged to the award. (See the definition of Recipient in the Notice of Award subsection in Section F of this NOFO.)

### **Other Submission Requirements**

#### EHP Compliance.

Applicants and subapplicants proposing projects that have the potential to significantly affect the environment, including but not limited to modification or renovation of existing buildings, structures and facilities, or new construction, including replacement of facilities, must participate in the FEMA EHP review process. The EHP review process involves the submission of a detailed project description that explains the goals and objectives of the proposed project along with supporting documentation so that FEMA may determine whether the proposed project has the potential to adversely affect environmental resources and/or historic properties. EHP Job Aids and Supplements are available on the FEMA website at <https://www.fema.gov/media-library/assets/documents/102051>

#### Mitigation Plan Requirement.

All Applicants and subapplicants must have a FEMA-approved mitigation plan at the time of application and obligation of grant funds to receive a project award under this program in accordance with 44 CFR Part 201. More detailed information is provided in Part III, E.5, Hazard Mitigation Plan Requirement, of the HMA Guidance, available on the FEMA website at <https://www.fema.gov/media-library/assets/documents/103279>.

#### Acquisition Project Requirements.

The subrecipient must provide FEMA with a signed copy of the Statement of Voluntary Participation for each property post-award. The Statement of Voluntary Participation formally documents the Notice of Voluntary Interest and information related to the purchase offer. The Statement of Voluntary Participation is available on the FEMA website at <https://www.fema.gov/media-library/assets/documents/13708>.

Subrecipients must apply deed-restriction language to all acquired properties to ensure that the property is maintained in perpetuity as open space consistent with natural floodplain functions, as agreed to by their accepting FEMA mitigation award funding. Deed-restriction language is applied to acquired properties by recording the open space and deed restrictions with the deed for the property. The FEMA Model Deed Restriction is available on the FEMA website at <https://www.fema.gov/media-library/assets/documents/28496>.

## **E. Application Review Information**

### **Application Evaluation Criteria**

Prior to making a Federal award, the DHS FAO is required by 31 U.S.C. § 3321 note, 41 U.S.C. § 2313 and 2 CFR. §200.25 to review information available through any OMB-designated repositories of government-wide eligibility qualification or financial integrity information. Therefore, application evaluation criteria may include the following risk-based considerations of the applicant:

1. Financial stability
2. Quality of management systems and ability to meet management standards
3. History of performance in managing Federal award
4. Reports and findings from audits
5. Ability to effectively implement statutory, regulatory, or other requirements

### **Review and Selection Process**

FEMA will review subapplications submitted by each Applicant to ensure compliance with the HMA Guidance, including eligibility of the Applicant and subapplicant, eligibility of proposed activities and costs, completeness of the subapplication, cost-effectiveness and engineering feasibility of mitigation projects, and eligibility and availability of the non-Federal cost share. For more detailed information, see Part V, Application Review Information, of the HMA Guidance, available on the FEMA website at <https://www.fema.gov/media-library/assets/documents/103279>.

FEMA will select eligible subapplications up to the available PDM funding amount of \$250,000,000 in the following order:

#### **1. Statutory Allocation**

Statutory allocation of \$575,000 Federal cost share for States, territories, and the District of Columbia (DC).

To meet the statutory requirement, FEMA will select eligible planning and project subapplications from each State, territory, and DC in order of the Applicant's rank (#1–x) to the lowest ranked subapplication that brings the total Federal cost share to no more than \$575,000 without skipping subapplications in order (see Other Eligibility Criteria subsection under Section C of this NOFO).

For example, an Applicant's #1 ranked subapplication for \$200,000 Federal cost share and #2 ranked subapplication for \$340,000 would be selected for the allocation; however, the #3 ranked subapplication for \$575,000, #4 ranked subapplication for

\$35,000 and any other eligible subapplications would be considered on a competitive basis in priority category 3 below. Therefore the maximum allowable allocation would be \$540,000.

## **2. Tribal Set-Aside**

Tribal set-aside of \$20 million for federally-recognized Native American tribes, not to exceed \$575,000 Federal cost share per tribal Applicant.

FEMA will set aside \$20 million for federally-recognized Native American tribes applying directly to FEMA as Applicants. FEMA will select eligible planning and project subapplications for each tribal Applicant in order of the tribe's rank (#1–x) to the lowest ranked subapplication that brings the total Federal cost share to no more than \$575,000, not to exceed a total of \$20 million.

## **3. Advance Assistance**

PDM prevents loss of life and leads to significant savings by mitigating risks, reducing damage from future disasters, and lowering flood insurance premiums. Advanced Assistance can be used to develop mitigation strategies and obtain data to prioritize, select, and develop community mitigation projects for future funding. There is no guarantee for future HMA project funding if Advanced Assistance is awarded.

FEMA will select the **highest ranked** eligible subapplication(s) for Advance Assistance from each **Applicant (including territories and tribes)** not to exceed \$200,000 total Federal cost share. Maximum funding available for all Advance Assistance is \$12.5 million. All subapplications must be designated as Advance Assistance within the title of the subapplication and use the **Planning** subapplication type and **Advance Assistance** code/activity type in FEMA's grant application system to be considered.

## **4. Resilient Infrastructure Competitive Funding**

Infrastructure resilience is the ability to reduce the magnitude and/or duration of disruptive events. The effectiveness of Resilient Infrastructure or enterprise depends upon its ability to anticipate, absorb, adapt to, and/or rapidly recover from a potentially disruptive event. This funding is an opportunity to advance capital projects on a community level, ready for investment that will reduce risks, prevent loss of life and lead to significant savings by reducing damage from future disasters.

FEMA will select the Applicant's highest ranked eligible Resilient Infrastructure mitigation subapplications up to \$10 million Federal cost share based on final priority scoring criteria (see table below). The ranking will be based on the score correlating to the factors in the chart below. Maximum funding available for all Resilient Infrastructure projects is \$125 million. All subapplications must be designated as Resilient Infrastructure within the title of the subapplication and use the **Utility and Infrastructure Protection** activity type/code within FEMA's grant application system to be considered.

Resilient Infrastructure projects can be all-hazard, to include flood, seismic, wind, wildfire, and drought.

Eligible activities include, but are not limited to:

- Infrastructure protective measures (including hazard-specific retrofit projects)
- Utility protective measures (including hazard-specific retrofit projects)
- Water and sanitary sewer system protective measures
- Localized flood control to protect critical facilities
- Floodwater storage and diversion
- Floodplain and stream restoration
- Stormwater management
- Aquifer storage and recovery
- Wetland restoration/creation

<b>Final Priority Scoring Criteria for Resilient Infrastructure Projects &amp; Advance Assistance</b>		
<b>Priority</b>	<b>Description</b>	<b>Total Points</b>
Private-Partnership Cost Share	Cost share taken on by private organizations/businesses emphasizing community participation, collaboration, and investment. Points will be assigned based on percentage of private cost share invested.	150
International Building Codes (IBC) Adopted (2012 or newer)	IBC adoption epitomizes community commitment to responsible building regulations. Points will be assigned to IBC participating communities as follows: 2012 version or lower adopted = 50 and 2015 version or higher adopted = 100.	50-100
Building Code Effectiveness Grading Schedule (BCEGS) rating	BCEGS rating assesses effectiveness of enforcement and adequacy of building codes with emphasis on mitigation. Classes weighted based on national class grouping ratings. Highest weight will be assigned to class 1 and descending through lower classes. (Graded Scale: 1 = 100, 2 = 90, 3 = 80, 4 = 70, 5 = 60, 5 = 50, 6 = 40, 7 = 30, 8 = 20, 9+ = 10)	10-100
Community Rating System (CRS) Participation	The CRS recognizes and encourages community floodplain-management activities that exceed the minimum National Flood Insurance Program standards. Highest weight will be assigned to class 1 and descending through lower classes. (Graded Scale: 1 = 100, 2 = 90, 3 = 80, 4 = 70, 5 = 60, 5 = 50, 6 = 40, 7 = 30, 8 = 20, 9 = 10)	10-100

<b>Final Priority Scoring Criteria for Resilient Infrastructure Projects &amp; Advance Assistance</b>		
<b>Priority</b>	<b>Description</b>	<b>Total Points</b>
Firewise, USA	The National Fire Protection Association's Firewise USA™ program teaches people how to adapt to living with wildfire and encourages neighbors to work together and take action now to prevent losses. Points will be assigned to Firewise participating communities.	25
Cooperating Technical Partners Program (CTP) Participation	Qualified partnership program where communities commit to collaborate in maintaining up-to-date flood hazard maps and other flood hazard information. Points will be assigned to CTP participating communities.	25
<b>Total Points Available</b>		<b>500*</b>

\* FEMA-validated Benefit Cost Ratio (BCR) will be used in case of a tie in scoring

## **5. Traditional Competitive PDM Funding**

After meeting the statutory requirement for State/territory allocations and the tribal set-aside, FEMA will select from the remaining eligible planning and project subapplications from all Applicants on a competitive basis up to the available amount of funding.

If an Applicant submits projects in excess of the limit for competitive consideration (see Other Eligibility Criteria subsection under Section C of this NOFO), then FEMA will only review the highest ranked competitive project subapplications up to the limit.

FEMA will select subapplications for competitive funding in the following order:

**A. Multi-State/tribal mitigation initiatives.**

FEMA will select one eligible multi-State/tribal mitigation planning or project subapplication per Applicant.

**B. Planning subapplications** from Applicants that have **less than \$400,000** HMGP planning funds available.

FEMA will select eligible planning subapplications from Applicants that have less than \$400,000 HMGP planning funds available (see Hazard Mitigation Grant Program subsection in Section H of this NOFO).

**C. Project subapplications** from Applicants that have **less than \$4 million** HMGP regular project funds available.

FEMA will select eligible project subapplications from Applicants that have less than \$4 million in HMGP regular project funds in the following order:

- i. Mitigation projects that reduce risk to any natural hazard (e.g., seismic, wildfire, landslide, wind, flood, drought)
- ii. Generators for critical facilities identified in a FEMA-approved mitigation plan and meet the standards set by local building codes

D. **Planning subapplications** from Applicants that have **\$400,000 or more** HMGP planning funds available.

FEMA will select eligible planning subapplications from Applicants that have \$400,000 or more HMGP planning funds available.

E. **Project subapplications** from Applicants that have **\$4 million or more** HMGP regular project funds available.

FEMA will select eligible project subapplications from Applicants that have \$4 million or more HMGP regular project funds available in the following order:

- i. Mitigation projects that reduce risk to any natural hazard (e.g., seismic, wildfire, landslide, wind, flood, drought)
- ii. Generators for critical facilities identified in a FEMA-approved mitigation plan and meet the standards set by local building codes

**FEMA will further prioritize planning and project subapplications in priority categories 2 “Tribal Set-Aside” and 5 “Traditional Competitive PDM Funding” above, as needed, in the following order:**

1. Subapplicant’s small impoverished community status (see Cost Share or Match subsection under Section C of this NOFO);
2. Indication of public-private partnership (i.e., whether private-sector funding is included in the required non-Federal cost share);
3. Subapplicant’s FEMA-validated residential or commercial Building Code Effectiveness Grading Schedule (BCEGS) rating, as appropriate to the activity type, from a grade of 1 to 10;
4. FEMA-validated BCR for projects (see Benefit Cost Analysis for Mitigation Projects subsection under Section D of this NOFO); and
5. The Applicant’s rank of subapplications (see Content and Form of Application Submission subsection under Section D of this NOFO).

For more information on BCEGS, please visit the Insurance Services Office – Mitigation website at <https://www.isomitigation.com/bcegs/iso-s-building-code-effectiveness-grading-schedule-bcegs.htm>.

FEMA may select a subapplication out of priority order based on one or more of the following factors:

- Availability of funding
- Duplication of subapplications
- Program priorities and policy factors

- Other pertinent information

FEMA will ensure the majority of funding will be for selected mitigation projects.

FEMA will designate the selected planning, advance assistance and project subapplications as **Identified for Further Review**. Applicants with planning, advance assistance and/or project subapplication(s) that are Identified for Further Review that submitted a management costs subapplication in their PDM grant application (see Content and Form of Application Submission subsection in Section C of this NOFO) are eligible to receive Applicant management costs not to exceed 10 percent of the selected planning and project subapplications.

Eligible subapplications that are not Identified for Further Review due to a lack of available funding will be given a status of **Not Selected**.

Planning, advance assistance and project subapplications that do not satisfy the eligibility and completeness requirements and projects that exceed the competitive project application limit (see Other Eligibility Criteria subsection under Section C of this NOFO) will be given a status of **Does Not Meet HMA Requirements**.

At its discretion, FEMA may review a decision regarding a planning or project subapplication that is Not Selected or Does Not Meet HMA Requirements only where there is an indication of substantive technical or procedural error that may have influenced FEMA's decision. There will be no reconsideration regarding the amount of management costs. Applicants must send requests for reconsideration based on technical or procedural error to their FEMA Regional Office within 60 days of the posting of subapplication status (see Anticipated Announcement and Federal Award Dates section of this NOFO).

Subapplicants should contact their Applicant agency regarding reconsideration requests, so that the Applicant may submit it to FEMA on their behalf. Contact information for each SHMO is provided at <https://www.fema.gov/state-hazard-mitigation-officers>.

The Regional Office will review reconsideration requests received from Applicants and submit the Regional recommendation to FEMA Headquarters. FEMA Headquarters will make a final determination to overturn or uphold the original decision and send the response to the Applicant.

If FEMA determines that a Federal award will be made, special conditions that correspond to the degree of risk assessed may be applied to the award, as specified in Part VI, B, Risk Assessment prior to PDM and FMA Award, of the HMA Guidance, available on the FEMA website at <https://www.fema.gov/media-library/assets/documents/103279>.

If the anticipated Federal award amount will be greater than the simplified acquisition threshold, currently \$250,000 (see 2 CFR 200.88):

- i. Prior to making a Federal award with a total amount of Federal cost share greater than the simplified acquisition threshold, DHS is required to review and consider any information about the Applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS).
- ii. An Applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered.

iii. DHS will consider any comments by the Applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the Applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by Applicants as described in 2 CFR 200.205 Federal awarding agency review of risk posed by Applicants.

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

FEMA anticipates announcing the status of applications by the Anticipated Funding Selection Date of 6/1/2020.

FEMA will post the status of the planning, advance assistance and project subapplications on the FEMA website at <https://www.fema.gov/pre-disaster-mitigation-grant-program> and alert PDM webpage subscribers when the results of the review are published. For information on how to sign up for a FEMA webpage subscription, visit <https://www.fema.gov/subscribe-receive-free-email-updates>.

Applicants with planning, advance assistance and project subapplications that are Identified for Further Review will receive notification through FEMA's grant application system via an automatic email to the POC(s) designated in the Contact Information section of their PDM grant application. Subapplicants should contact their Applicant agency for information. Contact information for each SHMO is provided at <https://www.fema.gov/state-hazard-mitigation-officers>.

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

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

FEMA will provide the Federal award package to the Applicant electronically via FEMA's grant application system. Award packages include an award letter, Obligating Document for Awards/Amendments, and Articles of Agreement, including EHP review and/or other conditions. An email notification of the award package will be sent through FEMA's grant application system to the Applicant POC(s) designated in the Contact Information section of their PDM grant application. See 2 CFR 200.210, Information contained in a Federal award at <https://www.gpo.gov/fdsys/granule/CFR-2014-title2-vol1/CFR-2014-title2-vol1-sec200-210>.

When FEMA obligates funds for a grant to an Applicant, the Applicant and subapplicant are denoted as Recipient and subrecipient, respectively. The Recipient and subrecipient agree to abide by the grant award terms and conditions as set forth in the Articles of Agreement provided in the award package. Recipients must accept all conditions in this NOFO as well as any Special Terms and Conditions. For detailed information, see Part VI, A, Notice of Award, of the HMA Guidance, available on the FEMA website at <https://www.fema.gov/media-library/assets/documents/103279>.

The Department of Homeland Security may initiate a formal evaluation of programs, projects or activities supported by this grant. By accepting grant funds, Recipients agree to participate in the evaluation, which may include analysis of individuals who benefit from the grant (such as property owners), and providing access to program operating personnel and participants, as specified by the evaluator(s) including after the period of performance.

## **Administrative and National Policy Requirements**

All successful Applicants for DHS grant and cooperative agreements are required to comply with DHS Standard Terms and Conditions, which are available online at [DHS Standard Terms and Conditions.](#)

The applicable DHS Standard Terms and Conditions will be for the last year specified at that URL, unless the application is for a continuation award. In that event, the terms and conditions in effect for the fiscal year that award was originally made will apply.

Pursuant to EO 13858 “Strengthening Buy-American Preferences for Infrastructure Projects,” FEMA encourages recipients to use, to the greatest extent practicable and consistent with the law, iron and aluminum as well as steel, cement, and other manufactured products produced in the United States, in the Public Assistance and Hazard Mitigation Grant Program for eligible public infrastructure repair and construction projects, as applicable, affecting surface transportation, ports, water resources including sewer and drinking water, and power. Such preference must be consistent with the law, including cost and contracting requirements at 2 C.F.R. Part 200, and program requirements.

Before accepting the award, the AOR should carefully read the award package for instructions on administering the grant award and the terms and conditions associated with responsibilities under Federal awards. Recipients must accept all conditions in this NOFO as well as any special terms and conditions in the Notice of Award to receive an award under this program.

## **Environmental Planning and Historic Preservation (EHP) Compliance**

As a Federal agency, FEMA is required to consider the effects of its actions on the environment and/or historic properties to ensure that all activities and programs funded by the agency, including grants-funded projects, comply with Federal EHP regulations, laws, and Executive Orders as applicable. In some cases, FEMA is also required to consult with other regulatory agencies and the public to complete the review process. The EHP review process must be completed before funds are released to implement the proposed project. FEMA will not fund projects that are initiated without the required EHP review.

## **Construction Project Requirements**

Acceptance of Federal funding requires FEMA, the Recipient, and any subrecipients to comply with all Federal, State, and local laws prior to the start of any construction activity. Failure to obtain all appropriate Federal, State, and local environmental permits and clearances may jeopardize Federal funding. Also:

1. Any change to the approved scope of work will require re-evaluation by FEMA for Recipient and subrecipient compliance with the NEPA and other laws and Executive Orders.
2. If ground-disturbing activities occur during construction, the Recipient and any subrecipients must ensure monitoring of ground disturbance, and if any potential archaeological resources are discovered, the subrecipient will immediately cease construction in that area and notify the Recipient and FEMA.
3. In compliance with 42 U.S.C. 4012a(a), when financial assistance is approved for acquisition or construction purposes within the Special Flood Hazard Area (SFHA),

flood insurance shall be maintained for the life of the property regardless of transfer of ownership for any properties.

### **Reporting**

Recipients are required to submit quarterly financial and performance reports to FEMA as a condition of their award acceptance throughout the period of performance, including partial calendar quarters, as well as for periods where no grant award activity occurs. Future awards and fund drawdowns may be withheld if these reports are delinquent, demonstrate a lack of progress, or are insufficient in detail. Recipients are also required to submit closeout reports which consist of the final financial and performance reports.

The following reporting periods and due dates apply:

<b>Reporting Period</b>	<b>Report Due Date</b>
October 1 – December 31	January 30
January 1 – March 31	April 30
April 1 – June 30	July 30
July 1 – September 30	October 30

### **Federal Financial Reporting Requirements.**

The Federal Financial Reporting Form (FFR) (SF-425) is available online at [SF-425 OMB #4040-0014](#)

Recipients must report obligations and expenditures on a quarterly basis through the FFR to DHS/FEMA. Recipients must file the FFR electronically using the Payment and Reporting System (PARS). Award Recipients must submit an FFR quarterly throughout the period of performance, including partial calendar quarters, as well as for periods where no grant award activity occurs. FEMA may withhold future awards and fund drawdowns if these reports are delinquent, demonstrate a lack of progress, or are insufficient in detail.

### Program Performance Reporting Requirements.

In addition to the FFR reports, Recipients must report on the progress of the grant on a quarterly basis to DHS/FEMA using the Quarterly Performance Report in FEMA's grant application system. The Quarterly Performance Reports must be submitted electronically in FEMA's grant application system quarterly throughout the period of performance, including partial calendar quarters, as well as for periods where no grant award activity occurs. Reports are due within 30 days from the end of the first Federal quarter following the initial grant award and thereafter until the grant ends.

### Closeout Reporting Requirements.

Within 90 days after the end of the period of performance, or after an amendment has been issued to close out a grant, whichever comes first, Recipients must submit a final FFR and final performance report detailing all accomplishments and a qualitative summary of the impact of those accomplishments throughout the period of performance.

If applicable, an inventory of all construction projects that used funds from this program must be reported with the final performance report.

After these reports have been reviewed and approved by FEMA, a closeout notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for 3 years from the date of the final FFR.

The Recipient is responsible for returning any funds that have been drawn down but remain as unliquidated on Recipient financial records.

#### **Disclosing Suspension and Disbarment Information per 2 CFR 180.335**

This reporting requirement pertains to disclosing information related to government-wide suspension and debarment requirements. Before a Recipient enters into a grant award with a federal agency, the Recipient must notify the federal agency if it knows if any of the Recipient's principals under the award fall under one or more of the four criteria listed at 2 CFR 180.335 including whether principal is excluded or disqualified. At any time after accepting the award, if the Recipient learns that any of its principals falls under one or more of the criteria listed at 2 CFR 180.335, the Recipient must provide immediate written notice to the federal agency in accordance with 2 CFR 180.350.

### **G. DHS Awarding Agency Contact Information**

#### **Contact and Resource Information**

##### **Program Questions.**

General questions about the PDM program can be directed to the appropriate FEMA Regional Office or SHMO. Contact information for FEMA Regional Offices is provided at <https://www.fema.gov/about-agency>. Contact information for the SHMOs is provided at <https://www.fema.gov/state-hazard-mitigation-officers>.

The HMA Helpline is available by telephone 1-866-222-3580 or email [HMAGrantsHelpline@fema.dhs.gov](mailto:HMAGrantsHelpline@fema.dhs.gov).

##### **Financial and Administrative Questions.**

FEMA Regional Assistance Officers manage, administer, and conduct application budget review; create the award package; approve, amend, and close out awards; and conduct cash analysis, financial monitoring, and audit resolution for this program. Contact the appropriate FEMA Regional Office for additional information. Contact information for FEMA Regional Offices is provided at <https://www.fema.gov/about-agency>.

##### **Technical Assistance.**

Upon request, FEMA will provide technical assistance to Applicants and subapplicants in preparing applications. FEMA encourages Applicants and subapplicants to seek technical assistance early in the application period by contacting the appropriate FEMA Regional Office. Contact information for FEMA Regional Offices is provided at <https://www.fema.gov/about-agency>.

For questions about cost-effectiveness and FEMA's BCA software, contact the BC Helpline by telephone 1-855-540-6744 or email [BCHelpline@fema.dhs.gov](mailto:BCHelpline@fema.dhs.gov).

The Feasibility and Effectiveness Helpline is available for guidance on FEMA Building Science publications by email [FEMA-BuildingScienceHelp@fema.dhs.gov](mailto:FEMA-BuildingScienceHelp@fema.dhs.gov).

A Helpline for guidance on FEMA Safe Room publications is available by email [Saferoom@fema.dhs.gov](mailto:Saferoom@fema.dhs.gov).

For questions about NEPA or EHP requirements, the EHP Helpline is available by telephone 1-866-222-3580 or email [ehhelpline@fema.dhs.gov](mailto:ehhelpline@fema.dhs.gov).

Resources and job aids intended to help Applicants and subapplicants prepare mitigation planning and project applications are available on FEMA's Hazard Mitigation Assistance webpage at <https://www.fema.gov/application-development-1>. FEMA publications that specify the documentation and information necessary for FEMA to review project applications for feasibility and effectiveness, cost-effectiveness, and potential impacts on environmental and cultural resources are available on the FEMA website at <https://www.fema.gov/hazard-mitigation-assistance-publications>.

#### **FEMA's Grant Application System.**

Information, training, and resources on FEMA's grant application system for applicant and subapplicant users are available on the FEMA website <https://www.fema.gov/application-submittal>.

## **H. Additional Information**

### **Extensions**

Extensions for grants under this program are allowed, per Part VI, D.4.1, Extensions, of the HMA Guidance, available on the FEMA website at <https://www.fema.gov/media-library/assets/documents/103279>.

Recipients must submit proposed extension requests to FEMA for review and approval at least 60 days prior to the expiration of the grant period of performance.

Extensions to the initial period of performance identified in the award will be considered only through formal, written requests to the Recipient's respective Region and must contain specific and compelling justification as to why an extension is required. Recipients are advised to coordinate with the Region as needed when preparing an extension.

All extension requests must address the following:

1. Grant Program, Fiscal Year, and award number;
2. Verification that progress has been made as described in quarterly reports;
3. Reason for delay – this must include details of the legal, policy, or operational challenges being experienced that prevent the final outlay of awarded funds by the applicable deadline;
4. Current status of the activity/activities;
5. Approved period of performance termination date and new project completion date;
6. Amount of funds drawn down to date;
7. Remaining available funds, both Federal and non-Federal;
8. Budget outlining how remaining Federal and non-Federal funds will be expended;

9. Plan for completion, including milestones and timeframes for achieving each milestone and the position/person responsible for implementing the plan for completion; and
10. Certification that the activity/activities will be completed within the extended period of performance without any modification to the original Statement of Work approved by FEMA.

Requests for extensions to a grant period of performance will be evaluated by FEMA but will not be approved automatically. The Regional Administrator can extend the period of performance for up to 12 months with justification. All requests to extend the grant period of performance beyond 12 months from the original grant termination date must be approved by FEMA Headquarters.

## Other

### Related HMA Programs.

***Hazard Mitigation Grant Program (HMGP):*** The HMGP is authorized by Section 404 of the Stafford Act, 42 U.S.C. 5170c. The key purpose of HMGP is to ensure that the opportunity to take critical mitigation measures to reduce the risk of loss of life and property from future disasters is not lost during the reconstruction process following a disaster. HMGP funding is available, when authorized under a Presidential major disaster declaration, in the areas of the State requested by the Governor. Tribal governments may also submit a request for a major disaster declaration within their impacted areas.

The amount of HMGP funding available to the Applicant is based on the estimated total of Federal assistance, subject to the sliding scale formula outlined in 44 CFR 206.432(b) that FEMA provides for disaster recovery under the Presidential major disaster declaration. The formula provides for up to 15 percent of the first \$2 billion of estimated aggregate amounts of disaster assistance, up to 10 percent for amounts between \$2 billion and \$10 billion, and up to 7.5 percent for amounts between \$10 billion and \$35.333 billion. For States with enhanced plans, the eligible assistance is up to 20 percent for estimated aggregate amounts of disaster assistance not to exceed \$35.333 billion. No more than 7 percent of the HMGP funds available may be used for mitigation planning. The remaining funds may be used for projects. Local governments are considered subapplicants and must apply to their Applicant State/territory, who then may apply to FEMA on their behalf.

***HMGP Post Fire:*** The HMGP Post Fire is authorized by section 1204 of the Disaster Recovery Reform Act (DRRA), Public Law 115-254. The key purpose of HMGP Post Fire is to ensure that the opportunity to implement critical mitigation measures to reduce the risk of loss of life and property from future disasters is not lost during the reconstruction process following a major disaster or any area affected by a fire for which assistance was provided under Section 420 Fire Management Assistance Grant (FMAG). HMGP Post Fire provides mitigation assistance using the Hazard Mitigation Grant Program (HMGP) for Fire Management Assistance declarations on or after October 5, 2018.

***Flood Mitigation Assistance (FMA):*** 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 National Flood Insurance Program. FMA

funding is available through the National Flood Insurance Fund for flood hazard mitigation projects as well as plan development and is appropriated by Congress.

The total amount of funds distributed for FMA is determined once the appropriation is provided for a given Fiscal Year. All 50 States, the District of Columbia, U.S. Territories, and federally-recognized Native American Tribal governments are eligible to apply for FMA funds. Projects that mitigate severe repetitive loss and repetitive loss properties are the priority for FMA funding. Local governments are considered subapplicants and must apply to their Applicant State/territory, who then may apply to FEMA on their behalf.

Further information regarding these programs is available in the HMA Guidance, available on the FEMA website at <https://www.fema.gov/media-library/assets/documents/103279>.

**Payment.**

FEMA utilizes PARS for financial reporting, invoicing, and tracking payments. Additional information on PARS can be obtained at <https://isource.fema.gov/sf269/execute/LogIn?sawContentMessage=true>.

FEMA uses the Direct Deposit/Electronic Funds Transfer (DD/EFT) method of payment to Recipients. To enroll in the DD/EFT, the Recipient must complete an SF-1199A, Direct Deposit Form.

**Conflict of Interest.**

To eliminate and reduce the impact of conflicts of interest in the subaward process, Recipients must follow their own policies and procedures regarding the elimination or reduction of conflicts of interest when making subawards. Recipients are also required to follow any applicable State, local, or tribal statutes or regulations governing conflicts of interest in the making of subawards.

The Recipient must disclose to FEMA, in writing, any real or potential conflict of interest as defined by the Federal, State, local, or tribal statutes or regulations or their own existing policies that may arise during the administration of the Federal award. Recipients must disclose any real or potential conflicts to the FEMA Program Analyst within 15 days of learning of the conflict of interest, per Part III, D.2, Conflict of Interest, of the HMA Guidance, available on the FEMA website at <https://www.fema.gov/media-library/assets/documents/103279>. Similarly, subrecipients must disclose any real or potential conflict of interest to the Recipient as required by the Recipient's conflict of interest policies or any applicable State, local, or tribal statutes or regulations.

Conflicts of interest may arise during the process of FEMA making a Federal award in situations where a FEMA employee, officer, or agent, any members of his or her immediate family, or his or her partner has a close personal relationship, a business relationship, or a professional relationship, with an Applicant, subapplicant, Recipient, subrecipient, or FEMA employee.