

New Mexico
Hazard Mitigation Administrative Plan
CFDA 97.039



Department of
Homeland Security and Emergency Management

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Attachments – **SUBJECT TO UPDATES**

1. Notice of Interest
2. Sub-grant Orientation Packet
3. Sub-grant Application - Plan
4. Sub-grant Application - Project
5. Sub-grant Agreement – Plan
6. Sub-grant Agreement – Project
7. Sub-grant Certification of Completion
8. Sub-grant ‘Grant Adjustment Notice’

PLAN AUTHORIZATION AND SIGNATURE

This edition of the New Mexico Hazard Mitigation Program Administrative Plan is hereby approved for use within the State of New Mexico for all purposes related to obtaining and disbursing Hazard Mitigation Grant Program (HMGP), Pre-Disaster Mitigation Program (PDM), and Flood Mitigation Assistance (FMA) funds awarded by the Federal Emergency Management Agency to the State of New Mexico.

This plan is required by 44 CFR Part 206.437.d. and applies to all open mitigation disasters, grants and Sub-grants. Any future grants and Sub-grants will also follow the policies and processes described herein.

Hazard Mitigation Grant Program	Pre-disaster Mitigation
DR-4047	2012
DR-4079	2014
DR-4148	2016
DR-4152	2017
DR-4197	
DR-4199	



22 Dec 17

M. Jay Mitchell
Governor's Authorized Representative
Cabinet Secretary
Department of Homeland Security and Emergency Management

Date

PURPOSE

Section 404 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288 as amended, and the Disaster Mitigation Act of 2000, Public Law 106-390, establishes a cost-sharing Hazard Mitigation Grant Program (HMGP) used to fund state and local hazard mitigation projects. This section is closely tied to the post-disaster mitigation plans defined and required in Section 404 of the Act and is implemented following a Presidential declaration of a major disaster. Section 322 and 404 in combination with other state and federal programs help to form an overall pre and post disaster hazard mitigation strategy for the State of New Mexico and affected Tribal and local governments in the State. The purpose of the State Hazard Mitigation Administrative Plan is to establish a functional organizational structure, define the roles, responsibilities and staffing, and outline the management procedures that Department of Homeland Security and Emergency Management (DHSEM) will use to administer the HMGP, the Flood Mitigation Assistance Program (FMA), and the Pre-Disaster Mitigation Program (PDM). The State of New Mexico will comply with all applicable federal statutes and regulations in effect with respect to the periods for which it received grant funding, in compliance with 44 CFR and will amend this Plan whenever necessary to reflect changes in new or revised state or federal laws and statutes as required in 44 CFR and 2 CFR, as amended.

The State of New Mexico will further amend this Plan whenever necessary to reflect material change in any state law, organization, policy or state agency operation. The State of New Mexico will prepare any updates, amendments or Plan revisions required to meet current policy guidance or changes in the administration of the Hazard Mitigation Program. The State of New Mexico will revise the Plan as necessary following each major disaster declaration. Any changes to the Plan will be submitted to the Regional Administrator for approval.

The State of New Mexico understands that Hazard Mitigation Grant Program funds will not be awarded until the FEMA Regional Administrator approves the State Mitigation Administrative Plan.

The State Hazard Mitigation Officer (SHMO), acting under the oversight of the Cabinet Secretary for the Department of Homeland Security and Emergency Management (DHSEM) and the Governor's Authorized Representative (GAR), reserves the right to correct errors and omissions in this Plan. Every reasonable attempt has been made to make this Plan compliant with federal policies, procedures, and requirements. If any situation should arise where there is an apparent conflict between state procedures and federal requirements for the administration of federal funds, the federal requirements shall take precedence.

AUTHORITY

The Department of Homeland Security and Emergency Management (DHSEM) is designated to administer Section 404 of the Stafford Act as defined in this Administrative Plan. DHSEM will serve as single point of contact (POC), applicant and Grantee for all FEMA mitigation programs. The State Hazard Mitigation Officer (SHMO) identifies viable projects and tracks when and how projects are being implemented, as well as how their funding is being used. The Administrative Services Bureau Chief and the Grant Unit Manager ensure compliance with federal, state, grant rules and regulations. The Preparedness Bureau Chief oversees the process and if there is a problem or conflict with a project, acts as mediator to resolve the problem quickly and efficiently.

DHSEM has working knowledge of National Floodplain Insurance Program (NFIP) goals, requirements, and processes and ensures that programs are coordinated with other mitigation activities at the state level.

DHSEM will:

- Provide technical assistance and training on mitigation to jurisdictions on mitigation planning, projects, developing Sub-grantee applications and implementing approved sub-grants;
- Prioritize and recommend Sub-grant applications to be approved by FEMA, based on the State Natural Hazard Mitigation Plan eligibility criteria described in the State Mitigation Plan;
- Award FEMA-approved Sub-grants and;
- Comply with program requirements, grant management requirements, grant agreement articles, other federal, state, tribal and local laws and regulations¹.

Applicable Regulations and Laws

State

- The All-Hazards Emergency Management Act, Section 12-10-2 et seq., NMSA 1978 as amended
- The Disaster Relief Act, Section 6-7-1 et seq., NMSA 1978 as amended
- The Public Purchases and Property Act, Section 13-1-1 et seq., NMSA 1978 as amended
- New Mexico Emergency Operations Plan, 2014 as amended
- FEMA-State Agreement (disaster specific)

¹ (Item #1) Designation of the State Agency responsible for program administration per 44 CFR 206.437(b)(1)

Federal

- The Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended by Public Law 100-707
- Public Law 100-707, as amended by Public Law 103-181 (Hazard Mitigation and Relocation Assistance Act)
- Public Law 103-324 (Riegle Community Development and Regulatory Improvement Act of 1994)
- Robert T. Stafford Relief and Emergency Assistance Act, as amended by Public Law 106-390 (Disaster Mitigation Act (DMA) of 2000), October 30, 2000
- FEMA Regulation, 44 CFR Part 9 – Floodplain Management and Protection of Wetlands
- FEMA Regulation, 44 CFR Part 10 – Environmental Considerations
- FEMA Regulation, 44 CFR Part 13 - Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments
- FEMA Regulation, 44 CFR Part 206 - Federal Disaster Assistance for Disasters Declared on or After November 23, 1988
- FEMA Regulation, 44 CFR Part 201 – Mitigation Planning
- Executive Order 11988, Floodplain Management
- Executive Order 11990, Protection of Wetlands
- Executive Order 12612, Federalism
- Executive Order 12898, Environmental Justice
- Executive Order 13690, Federal Flood Risk Management
- FEMA Regulations, 2 CFR Part 200
- 2 CFR 200.300(b) Statutory and national policy requirements
- Provisions of FFATA (Federal Funding and Transparency Act)
- 2 CFR 25, universal identifier and central contractor registration
- 2 CFR 170, reporting sub-award and executive compensation information
- The Federal Award itself
- Section 6002 of the Solid Waste Disposal Act

Definitions and Acronyms

Administrative Services Bureau (ASB): responsible for providing administrative support to the Mitigation Program.

Applicant: State agency, local government, Indian tribal government or eligible private nonprofit organization as defined in Part 206-431, subpart N, 44CFR, submitting an application to the Grantee for assistance under the Hazard Mitigation Grant Program.

Application (Grant Application): The initial request for Section 404 funding, to be submitted to FEMA by the State within 60 days of the declaration. In OEM's initial request, mitigation is included with the request for a declaration. (44 CFR, Part 206.436)

Benefit/Cost Analysis: Provides estimates of the "benefits" and "costs" of a proposed hazard mitigation project. The benefits relate to avoided future damages and losses which are expected to accrue as a result of the mitigation project. Past disaster damages can be used to predict future damages. Costs relate to what the actual project will cost. For mitigation projects, there must be a one dollar or more benefit for each dollar of cost. The latest version of cost benefit analysis models for the various types of projects will be referenced and used as part of all FEMA mitigation applications.

Best Management Practices: Appropriate, site-specific management techniques that maximize the benefits of land and natural resource management actions, while minimizing impacts.

Cap: The maximum dollar amount that may be provided to a Grantee for management cost funds for a single declaration pursuant to 44 CFR § 207.5(c) of Part 207.

Code of Federal Regulations (CFR): Codification of the general and permanent rules published in the Federal Register by the departments and agencies of the Federal Government.

Department of Homeland Security and Emergency Management (DHSEM): Leads the State of New Mexico's response to emergencies and disasters while providing for the safety and welfare of its citizens.

Disaster Resistant University (DRU): The term relating to Natural Hazard Mitigation Plans for Universities entitling them to request appropriate funding. To date, no New Mexico Universities or schools participate.

Emergency Management Assistance Compact (EMAC): A mutual aid agreement between states and territories of the United States. It enables states to share resources during natural and man-made disasters, including terrorism.

Federal Coordinating Officer (FCO): Appointed by the Director of the Federal Emergency Management Agency, on behalf of the President, to coordinate federal assistance to a state affected by a disaster or emergency. The source and level of the federal coordinating officer will likely depend on the nature of the federal response.

Federal Emergency Management Agency (FEMA): An agency of the United States Department of Homeland Security, initially created by Presidential Reorganization Plan No. 3 of 1978 and implemented by two Executive Orders on April 1, 1979.

Flood Mitigation Assistance (FMA): State administered cost-share program through which states and local communities can receive grants for flood mitigation planning; flood mitigation projects; and, FMA technical assistance. It is a federal grant program, similar to the Hazard Mitigation Grant Program; however, FMA provides funds on an annual basis so that measures can be taken to reduce or eliminate risk of flood damage to buildings insured under the NFIP. FMA includes provisions to mitigate Severe Repetitive Loss (SRL) and Repetitive Loss (RL) properties. Grant funds are made available from NFIP insurance premiums, and therefore are only available to communities participating in the NFIP. FMA funds are 75% federal funds with 25% non-federal. Federal funding percentage can increase if the property meets the definition of small impoverished community or if the individual property is part of a repetitive loss strategy (§ 1366 of National Flood Insurance Act of 1968, as amended, 42 USC 4104c and implemented at parts 78 and 79). Most of the information that an Applicant or sub-applicant needs to apply for an FMA award or that a Grantee or Sub-grantee needs to manage an FMA award is provided in Parts I through VII, and Part IX of this document.

Governor's Authorized Representative (GAR): Individual designated by the Governor in the federal/state agreement to represent the State in activities related to the implementation of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (Public Law 93-288, as amended), and in ongoing state disaster or emergency preparedness, response and hazard mitigation activities pursuant to a Presidential major disaster declaration. In New Mexico the Governor has designated the Cabinet Secretary of DHSEM as the Governor's authorized (designated) representative.

Grant: An award of financial assistance. The maximum total HMGP grant amount available to the State will be 15% of the estimated total federal share of approved projects for permanent restoration under Section 322 of the Stafford Act (Public Assistance Categories C through G). The State will qualify for 20 percent after presenting and receiving approval of an "enhanced" State Natural Hazard Mitigation Plan.

Grantee: A government to which a grant is awarded and which is accountable for use of the funds provided. The Grantee is the entire legal entity even if only a particular component of the entity is designated in the grant award document. The State of New Mexico is the Grantee for purposes of Part 206 of 44 CFR except as noted in 206.436(g) (1) ((g) Indian tribal Grantees. Indian tribal governments may submit an SF 424 directly to the Regional Administrator.)

HMPG Lock-in Ceiling: The level of HMGP funding available to a Grantee for a particular disaster declaration.

Hazard Mitigation Grant Program (HMGP): The program authorized under section 404 of the Robert T Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. 5133.

Indian Tribal Government: Any federally recognized Indian tribe or nation, (Federal Recognized Tribe List Act of 1994, 25 U.S.C. 479a.)(44 CFR 207.2)

Indirect Costs: Costs that are incurred by a Grantee for a common or joint purpose benefiting more than one cost objective that are not readily assignable to the cost objectives specifically benefited.

Joint Field Office (JFO): A temporary field headquarters for FEMA and DHSEM recovery personnel created under a Presidential declaration to establish a coordination point for post-disaster recovery operations.

Lock-in: The amount of management cost funds available to a Grantee for PA or HMGP, respectively for a particular major disaster or emergency, as FEMA determines at 30 days, 6 months, and 12 months or upon calculation of the final HMGP lock-in ceiling. The 12 month lock-in determines the final amount. Up to 75% of the 30 day or six month lock-in can be awarded for each HMGP project type (regular project, planning and 5% initiative).

Management Costs: Any indirect costs, administrative expenses, and any other expenses not directly chargeable to a specific project that are reasonably incurred by a Grantee or sub-grantee in administering and managing an HMGP grant award. For HMGP, management cost funding is provided outside of federal assistance limits defined at §206.432(b) of Chapter.

Market Value: Generally defined as the amount in cash, or on terms reasonably equivalent to cash, for which in all probability the property would have sold on the effective date of the valuation, after a reasonable exposure time on the open competitive market from a willing and reasonably knowledgeable seller to a willing and reasonably knowledgeable buyer, with neither acting under any compulsion to buy or sell, give due consideration to all available economic uses of the property at the time of the valuation.

Multi-family: A property consisting of 5 or more residences.

National Environmental Policy Act (NEPA): PL 91-190, 42 U.S.C., Title I". Passed by Congress in 1970 and established a national policy for the protection and maintenance of the environment by providing a process which all federal agencies must follow. The Act requires that federal agencies consider the effects of their proposed actions and alternatives on the human environment before deciding to fund and implement the action.

National Flood Insurance Program (NFIP): a federal program, managed by the Federal Emergency Management Administration (FEMA), and has three components: to provide flood insurance, to improve floodplain management and to develop maps of flood hazard zones.

Point of Contact (POC): Individual acting as a representative and primary contact person for their entity in daily dealings on a given topic.

Pre-Disaster Mitigation Program (PDM): The program authorized under section 203 of the Robert T Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. 5133.

Private Non-profit (PNP): An organization which has an IRS tax exemption letter or a state PNP certification, and which owns or operates an educational, utility, emergency, medical, custodial care, or an essential governmental service facility.

Program Administration by States (PAS): a program that was established as a result of Superstorm Sandy to create a more streamlined grant approval process allowing communities to get the hazard mitigation funds they need faster.

Project: Any mitigation measure, project, or action proposed to reduce risk of future damage, hardship, loss or suffering from disasters. The terms "project," "measure," or "action" are used interchangeably for the purpose of this Administrative Plan. A logical grouping of work required as a result of a disaster or emergency.

Repetitive Loss Property: A structure covered by a contract for flood insurance made available under the NFIP that:

- 1) Has incurred flood-related damage on 2 occasions, in which the cost of the repair, on the average, equaled or exceeded 25 percent of the market value of the structure at the time of each such flood event; and
- 2) At the time of the second incidence of flood-related damage, the contract for flood insurance contains increased cost of compliance coverage.

Request for Public Assistance: Forms used by applicants to apply for public assistance.

Section 404 Projects: Projects proposed by eligible applicants to the State Hazard Mitigation Officer for implementation following a Presidential Major Disaster Declaration.

Section 406 Projects: Projects that could be integrated into the Public Assistance Program through the Project Worksheet (PW). Certain projects could be classified as "406 mitigation initiatives" when completing the PW related to Public Assistance (PA) or during the Preliminary Damage Assessment (PDA) process. These types of projects should be discussed by the PA Inspector(s), both federal and state, with respective jurisdictional representative(s), while at the

damaged site in question. These projects will also be discussed at the DFO (Disaster Field Office) between the FCO (Federal Coordinating Officer) and the SCO (State Coordinating Officer) to insure that those mitigation opportunities are incorporated into the PA process.

Severe Repetitive Loss Properties: A structure that:

- 1) Is covered under a contract for flood insurance made available under the NFIP; and
- 2) Has incurred flood related damage –
 - a) For which 4 or more separate claims payments (includes building and contents) have been made under flood insurance coverage with the amount of each such claim exceeding \$5,000, and with the cumulative amount of such claims payments exceeding \$20,000; or
 - b) For which at least 2 separate claims payments (includes building only) have been made under such coverage, with the cumulative amount of such claims exceeding the market value of the insured structure.

Single Audit Act: A federal law (Public Law 98-502), as amended in 1996 which requires a federal grant recipient, which expends during its fiscal year an amount of federal awards (regardless of source) which meets or exceeds a federally specified amount, to perform a specialized (single) audit.

Small Project: A segregation of a logical grouping of work (Project) by estimated or documented actual costs which fall below a specified monetary threshold established by the Federal Government at the beginning of each federal fiscal year.

Special Considerations: Issues that involve insurance, floodplain management, hazard mitigation, historic preservation and environmental reviews as they relate to Public Assistance Program funding.

State Coordinating Officer (SCO): The Governor appoints a State Coordinating Officer (SCO) to oversee State response and recovery efforts.

State Hazard Mitigation Officer (SHMO): The individual designated by the Governor's Authorized Representative as the responsible individual for all matters related to the Section 404 Hazard Mitigation Grant Program, and the Section 409 Hazard Mitigation Planning Program.

State Hazard Mitigation Program: An ongoing program involving a coordinated effort of State and local agencies, communities, businesses and the private sector to reduce the threat to people and property from natural hazards. During and following periods of Presidential declared major disasters, this program or approach is the compilation of activities required under Section 404 and 409 of the Stafford Act.

State Mitigation Representative: The Mitigation Program staff may include the Preparedness Bureau Chief, State Hazard Mitigation Officer, State Mitigation Specialists, State Floodplain Coordinator, Temporary Mitigation Specialists (State temporary hire and/or contractor hire) or other states through employment of the Emergency Management Assistance Compact. With authorization from the SHMO, any of these staff may provide technical assistance to potential applicants and applicants.

State Share: The State of New Mexico share of disaster assistance for a particular project as defined within the FEMA – State Agreement. To date, no state funding has been made available for HMGP, FMA or PDM projects.

Sub-applicant: State agency, community, or Indian tribal government submitting an application for planning or project activity to the applicant for assistance under the HMGP, FMA or PDM programs. Upon grant award, the Sub-applicant is referred to as the Sub-grantee.

Sub-grant: An award of financial assistance under a grant to an eligible Sub-grantee or applicant.

Sub-grantee: The government or other legal entity to which a Sub-grant is awarded and which is accountable to the Grantee for the use of the funds provided. Sub-grantees may be a state agency, local government, private non-profit organization, or Indian tribal government as outlined in 44 CFR, Part 206.431.

System for Award Management (SAM): a Federal Government owned and operated free website that consolidates the capabilities in CCR/FedReg, ORCA, and EPLS.

Unmet Needs Projects: Special projects requiring services of non-governmental agencies to assist the general public generally accomplished through the New Mexico Volunteer Organizations Active in Disasters (VOAD) organization, often mitigating additional damages following a disaster. Projects may include but are not limited to: putting tarps over damaged roofs, cutting trees downed by the storm and other services often needed by service personnel families, elderly, and handicapped individuals.

Volunteer Organizations Active in Disasters (VOAD): A coalition of the major national voluntary organizations in the United States that have made disaster-related work a priority.

Other definitions applicable to the Hazard Mitigation Program are found in 44 CFR, Part 206.401, and the New Mexico Natural Hazard Mitigation Plan.

ORGANIZATION AND ASSIGNMENT OF RESPONSIBILITIES

Organization

State Hazard Mitigation Officer (SHMO)

The SHMO is designated to coordinate activities and serve as the responsible individual for project management, administration of funds and all matters related to HMGP, PDM and FMA programs. Furthermore the SHMO is designated by the Governor's Authorized Representative. The SHMO has overall management responsibilities and is the State's official responsible for ensuring the State properly carries out its Section 404 responsibilities subsequent to a Presidential Disaster Declaration. The SHMO, or their designee, will:

- Review and update this Administrative Plan following material changes in any State law, organization, policy, or State Agency operation, or changes in federal statutes, and/or legislation, or as a result of FEMA policy changes;
- Ensure the State Natural Hazard Mitigation Plan is active, updated regularly, identifies potential hazard mitigation projects, and establishes priorities among those projects;
- Ensure all potential applicants are notified of the program and receive assistance to which they are entitled;
- Ensure a proper initial application and any other necessary supplemental material, including SF-424, are submitted in a timely fashion to the FEMA Regional Administrator;
- Ensure technical assistance is provided to potential applicants or eligible Sub-grantees by organizing conference calls between FEMA specialists and the Sub-grantee throughout the application process and the subsequent grant management when appropriate;
- Contribute to development of adequate procedures developed for the distribution of financial assistance to eligible Sub-grantees;
- Ensure development of a system to monitor completion of approved projects in federally required time frames;
- Contribute to a system to monitor Sub-grantee accounting systems and ensure compliance with 2 CFR 200;
- Ensure that appropriate federal and state agencies are on the State Hazard Mitigation Team and are involved as necessary with the hazard mitigation process;
- Ensure that Section 404 requirements are met and closely tied to administration of Section 404 Grant Program;
- Encourage participation of the appropriate local agencies and provide technical assistance in the administration and implementation of Section 404 programs;
- Coordinate with the GAR on all policy/regulatory issues. Review and make appropriate recommendation to GAR regarding appeals, cost overruns/under runs and all other program issues;

- Maintain a spreadsheet on all active mitigation projects to ensure reports are received and the Period of Performance (POP) for each disaster is adhered to;
- Maintain operational awareness of project by quarterly reports and site visits to ensure project is progressing within established timelines;
- Monitor and evaluates project accomplishments and adherence to work schedule within the POP timeframe;
- Identify funding priorities for projects, forecast funding needs for future months and revise projections as requested by FEMA for the Spend Plan. The Spend Plan is coordinated between the SHMO and the FEMA Mitigation Program POC;
- Coordinate project actions with ASB and provides technical or administrative assistance as required in administering the mitigation program;
- Process appeals and notifies applicants of project application denials.

Grants Unit Manager

The Grants Unit Manager provides grants management oversight and administration of compliance activities for DHSEM, including but not limited to, ensuring:

- Development and implementation of adequate procedures and processes to administer and manage grant and Sub-grant level compliance, internal auditing, financial reconciliations, reporting, monitoring and performance for the department;
- Development of systems to monitor progress and completion of approved projects in federally required time frames;
- Systems exist to monitor Sub-grantee accounting; reporting and administrative systems, and that Sub-grantees are in compliance with 44 CFR and 2 CFR, A-133 requirements.

Sub-grant Analyst

The Sub-grant Analyst provides administrative compliance support with Sub-grantees to ensure applicable procedures, reporting, and monitoring, including but not limited to:

- Preparing Sub-grant administrative documents and agreements per requests of the SHMO, and subject to approval of Grants Unit Manager;
- Creating and maintaining Sub-grant files;
- Reviewing procurement procedures and professional contracts entered in to by the Sub-grantee-
 - The Sub-grantee is required to submit all procurement documents and drafts of any contract for administrative and programmatic review prior to execution. Once reviewed and approved, the Sub-grant Analyst is responsible for notifying the Sub-grantee of approval. Then the Sub-grantee can execute the contract and begin work. See Mitigation Program Standard Operating Guidelines for more detail as applicable.
- Confirming that third party vendors and other relevant parties are in good standing in the System for Award Management (SAM);

- Receiving and processing Requests for Reimbursement from Sub-grantees;
- Reviewing the Request for Reimbursement for fiscal accountability;
- Preparing documentation for applicable processing and verification in compliance with DHSEM disbursement procedures;
- Coordinating reconciliations of grant activities with Grants Management Unit Auditor;
- Providing and verifying data for submission to Grants Management Unit Auditor to prepare for periodic drawdowns and financial reconciliations of grant funds;
- Maintaining necessary financial documentation and progress reports to support funds distributed to Sub-grantee(s);
- Maintaining the official files on administering the Sub-grants;
- Tracking cost overruns, audits and appeals, and forwards documents to the SHMO for program approval;
- Providing technical assistance as required to Sub-grantee(s) in regard to finances, reimbursements and budget changes.

SHMO and Grants Management Unit work closely to assure coordination on all activities. See Mitigation Program Standard Operating Guidelines for more detail as applicable.

Staffing

The primary pre-disaster staffing for the Hazard Mitigation Program will be from DHSEM and includes:

- a) Preparedness Bureau Chief
- b) State Hazard Mitigation Officer
- c) Mitigation Specialists
- d) State Floodplain Coordinator
- e) Administrative Services Bureau Chief
- f) Grants Unit Manager
- g) Mitigation Sub-grant Analyst

Post disaster HMGP staff will include DHSEM staff, augmented as workload demands, with:

- h) Other DHSEM employees
- i) Other state/federal agencies
- j) Temporary Mitigation Specialists (State temporary hire and/or contractor hire)
- k) Other states through employment of the Emergency Management Assistance Compact (EMAC) may be requested to assist in various aspects of project management.

If the size of the disaster or the number of mitigation projects is beyond the effective capability of the assigned mitigation staff, other DHSEM personnel may be called upon to assist the mitigation section. Another source of mitigation staff support is use of the Emergency

Management Assistance Compact (EMAC). Staffing requirements will vary depending upon the number of ongoing projects, open disasters and FEMA requirements.

All temporary staff requirements and terms of employment will be reviewed annually, extended and/or terminated based on actual Hazard Mitigation Program administrative needs.

In accordance with 44 CFR Part 206, Subpart N, paragraph 206.439(b) (2):

- 1) The GAR will, within 5 days of opening the Joint Field Office (JFO), submit to the FEMA Regional Administrator, a JFO staffing plan and budget.
- 2) State Management Costs will be identified and submitted to FEMA, and could include the staff or consultant time for application development, engineering/appraisal review costs, and additional staff to manage the HMGP process (e.g. reservists and temporary Hazard Mitigation Specialists). Management costs may also include necessary training, travel and materials associated with administering the HMGP.
- 3) The State Coordinating Officer and the Preparedness Bureau Chief have the broad flexibility to utilize DHSEM staff in any way which is functionally advisable depending upon need.

Responsibilities

DHSEM will represent the State, as Grantee. The GAR serves as the grant administrator for project management, administrative requirements, audit requirements, and accountability of funds in accordance with 2 CFR 200 and 44 CFR 206 in effect on the date of the declared disaster.

The State's application may be amended as the State identifies and selects approved project applications to be funded.

All mitigation projects approved for the Grantee and Sub-grantee will be subject to the cost sharing provisions outlined in the federal award documents and/or FEMA-State Agreement. The non-federal share may exceed the federal share and be combined with other state, local or private funding sources.

Based on the approved application and work schedule of the project(s), a record keeping and financial system will be implemented for the duration of each project. Quarterly progress reports are maintained by the Grantee and required quarterly reporting is submitted to FEMA on all open projects.

Grantees:

The GAR and/or SHMO will notify Sub-grantees when the project is approved and a Sub-grant Agreement with the State has been drafted. The SHMO will provide to the Sub-grantee

additional information concerning administrative procedures, audit requirements, suspense dates, interim inspections, and project completion dates.

The SHMO will monitor and evaluate the progress of hazard mitigation projects via quarterly financial and performance reporting (to ensure reimbursement requests are in line with project completion time lines), site visits, telephone calls, e-mail, and postal mail throughout the project. For construction projects, the SHMO will visit the project site at the request of the Sub-grantee to provide direct advice and to attempt to resolve difficulties. The SHMO may visit the project site to perform an interim inspection at any time.

The Grants Unit shall submit financial reports to the FEMA regional office 30 days after the end of the first federal quarter following the initial grant award. The Grantee shall submit quarterly financial reports thereafter until the grant ends. Quarterly financial reports are to be filed on the following schedule:

- 1st federal quarter (October–December) due January 30
- 2nd federal quarter (January–March) due April 30
- 3rd federal quarter (April–June) due July 30
- 4th federal quarter (July–September) due October 30

The SHMO will submit quarterly performance reports to FEMA Region VI based on the NEMIS or eGrants protocol. These reports will allow the early identification of those projects that need special attention and expertise by comparing completion dates with the percentage of the project that has been completed. Grantee quarterly performance reports are to be filed with FEMA according to the same schedule (above). As part of the Sub-grantee quarterly performance report, the SHMO includes comments regarding special circumstances or notations about the progress of the project or plan, including State Management Cost (SMC).

The State may choose to hire a contractor to assist with management of the Mitigation Program. All federal and state procurement regulations will be followed. Tracking, invoicing and back-up will be maintained for the records.

In accordance with 2 CFR 200.328 and 200.333 the grantee is required to keep complete records of all work, i.e. receipts, checks, job orders, contracts, equipment usage documentation, and payroll information. These records must be retained for three years from the grant close-out date, or after any litigation claim, negotiation audit or other action has been resolved, whichever is later. During this three-year period, all project documentation is subject to random audits. A final audit of accounting and reporting documents will take place after the project is completed. If there is a state share, the grantee is required to retain records for not less than six years.

Sub-grantees (sub-applicants):

Sub-grantees are accountable to the Grantee for all funds that are awarded, including copies of all service and construction contracts, all payment requests with supporting receipts, and project close out documentation as required.

NOTE: Copies of all service and construction contracts executed by the Sub-grantee are to be submitted to DHSEM prior to execution for approval. A final signed copy is placed in the Sub-grant folder for reference.

Quarterly performance reports and quarterly financial reports (**Attachment 2: Sub-grant Orientation Packet, page 4 and 5**) by Sub-grantees are due on the 15th of the month following the end of the quarter.

- 1st federal quarter (October–December) due January 15
- 2nd federal quarter (January–March) due April 15
- 3rd federal quarter (April–June) due July 15
- 4th federal quarter (July–September) due October 15

Failure to submit the quarterly reports, complete and on time, will prevent the Sub-grantee from receiving payment of any requested reimbursements. Repeated failure to submit reports could result in the cancellation of the approved project funding (by FEMA and/or the State) as well as the requirement for the jurisdiction to reimburse FEMA through the State for project funds already received.

In accordance with 2 CFR 200.328, DHSEM will approve Sub-grants for the maximum FEMA Period of Performance minus 90 days to allow for adequate final reimbursement and close-out before the performance expiration date. The most recent HMGP guidance defines the performance period as being 36-months from the closing date of the application period for HMGP. PDM and FMA Notice of Funding Availability will determine the start and end date of the Period of Performance.

In order to request a Period of Performance extension for a Sub-grant, the request must be made to the State no later than 90 days prior to the expiration of the Sub-grant Period of Performance. The request must be made using the DHSEM Extension Request Form, must include a justification for the extension and a revised project schedule. See the Extension Request Form (**Attachment 2: Sub-grant Orientation Packet, page 10 and 11**). After the Sub-grant Period of Performance is approved by DHSEM, a Sub-grant Amendment will be provided to the Sub-grantee for signature.

In order to request a change to the FEMA approved cost estimate or Scope of Work, a Request for Budget Change/Scope of Work must be submitted justifying the need along with a revised budget and/or detailed revised Scope of Work. For a budget change, a new funds commitment letter and revised SF424 must also be submitted. DHSEM must pre-approve any change to the budget. See the Request for Budget Change/Scope of Work (**Attachment 2: Sub-grant**

Orientation Packet, page 9). After the Sub-grant budget is approved by DHSEM, a Sub-grant Amendment will be provided to the Sub-grantee for signature. FEMA must pre-approve any budget change that is either more than 10% in any one line item or increases the federal share. See Mitigation Program Standard Operating Guidelines for more detail as applicable.

Extension requests in excess of the FEMA Period of Performance will be reviewed by DHSEM and, if supported, will be forwarded to FEMA. An extension beyond the FEMA Period of Performance must have compelling justification and receive prior approval.

The Sub-grantee must notify DHSEM when the project is complete, ready for final inspection, close-out and audit.

In keeping with program regulations in 2 CFR 200.343 (d), funds not disbursed by the Grantee within the approved FEMA Period of Performance will be de-obligated and returned to FEMA.

In accordance with 2 CFR 200.328 and 200.333 the Sub-grantee is required to keep complete records of all work, i.e. receipts, checks, job orders, contracts, equipment usage documentation, and payroll information. These records must be retained for three years from the grant close-out date, or after any litigation claim, negotiation audit or other action has been resolved, whichever is later. During this three-year period, all project documentation is subject to random audits. A final audit of accounting and reporting documents will take place after the project is completed. If there is a state share, the Sub-grantee is required to retain records for not less than six years.

DHSEM is committed to provide federal entities access to records as requested per 2 CFR 200.336.

Equipment

Subject to the obligations and conditions set forth in 2 CFR 200.313, title to equipment acquired under a grant or Sub-grant will vest upon acquisition in the Grantee or Sub-grantee respectively. In accordance with 2 CFR 200.311, 200.313 and 200.313(d), DHSEM will use, manage, and dispose of equipment acquired under a grant by the State in accordance with State laws and procedures.

Procedures to properly manage (including replace) equipment are being developed under DHSEM adopted policy (Policy No. GEN 604), effective **June 30, 2017**, which will address compliance with 2 CFR 200.310. It will ensure provision of equivalent insurance coverage for any equipment acquired with federal funds as provided, 2 CFR 200.312, and outline requirements to maintain, track and report status of federally-owned property.

Other Grantees and Sub-grantees will refer to the following bullets:

- Equipment shall be used by the Grantee or Sub-grantee in the program or project for which it was acquired as long as needed, whether or not the project or program continues to be supported by federal funds. When no longer needed for the original program or project, the equipment may be used in other activities currently or previously supported by a federal agency.
- All equipment acquired by the State or its Sub-grantees from any source and having a value greater than the State threshold of \$2,000.00 is inventoried and documented on an annual basis in accordance with rules and regulations of the New Mexico General Services Department.
- Property records must be maintained that include a description of the property, a serial number or other identification number, the source of property, who holds title, the acquisition date, and cost of the property, percentage of federal participation in the cost of the property, the location, use and condition of the property, and any ultimate disposition data including the date of disposal and sale price of the property.
- Disposition of any property obtained through federal funding of hazard mitigation grants will be made in accordance with 2 CFR 200.313 (e).

If the Sub-grantee received over \$750,000.00 total funding from federal programs they may be required to provide DHSEM a copy of their audit performed for the year (2CFR 200.501).

Overpayments must be refunded and made payable to DHSEM within 30 days of DHSEM notification to the Sub-grantee. Upon determination of overpayment, communication is provided to Sub-grantee via electronic or manual means based on how the Sub-grantee is set up in the State's financial system. Internal accounting then sets up due-to and due-from accounts to ensure proper record keeping and internal control.

If state funding is made available through a State Legislature Appropriation, Capital Outlay for example, DHSEM will serve as the pass through entity. A DHSEM – local/tribal Grant will be utilized for the Capital Outlay funding which will serve as a portion of the non-federal match. In addition, a State – local/tribal Sub-grant Agreement will be utilized for the federal share and remainder of the non-federal match. Additional detail on Capital Outlay Grants is described in the DHSEM Capital Outlay Standard Operating Guidelines. If Capital Outlay funding is used, the records would be maintained for not less than six years. See Mitigation Program Standard Operating Guidelines for more detail as applicable.

If a state agency applies for funding, the match would be identified at the time of their application submittal and would be through their existing state general fund budget or through a special state legislative appropriation. If the application was submitted and approved for funding, the records would be maintained for not less than six years.

FEMA has final approval authority for the funding of all projects.

OPERATIONAL GUIDANCE

Sub-grantee Eligibility

- 1) Local governments;
- 2) Indian tribes or authorized tribal organizations;
- 3) State agencies;
- 4) Non-profit organizations with an effective ruling letter from U. S. Internal Revenue Service, granting tax exemption under sections 501(c), (d), or (e) of the Internal Revenue Code of 1954, or satisfactory evidence from the State that the non-revenue producing organization is a nonprofit organized or doing business under State Law.

All entities must:

- 1) Have a FEMA approved Natural Hazard Mitigation Plan for all mitigation funds except planning grant applications.
- 2) Be a participating member in good standing with the National Flood Insurance Program (NFIP), or must never have had their floodplains mapped by FEMA.
- 3) Have history of managing a sub-grant of equivalent dollar amount and scope of work.

Hazard mitigation applications for projects other than planning grants may be submitted prior to having the completed Mitigation Plan approved by the State and FEMA and adopted by the entity. Applications will only be accepted from eligible applicants that will have the Mitigation Plan approved within 12 months of project application submittal.

Project Eligibility

Eligible projects:

- 1) Must be in conformance with mitigation goals, objectives, and actions described in the local Hazard Mitigation Plan and the State Natural Hazard Mitigation Plan.
- 2) May reduce the impact of any natural hazard, reduce injury, and/or result in protection to property (either public or private).
- 3) Must be in conformance with 44 CFR Part 9, Floodplain Management and Protection of Wetlands and 44 CFR Part 10, Environmental Considerations.
- 4) Solve a problem independently or constitute a functional portion of a solution where there is assurance that the project as a whole will be completed. Projects that merely identify or analyze hazards or problems are not eligible.
- 5) Have a beneficial impact, are cost effective, and substantially reduce the risk of future damage, hardship, loss, or suffering resulting from a major disaster. The applicant must demonstrate this by documenting that the project:
 - a. Addresses a problem that has been repetitive, or a problem that poses a significant risk to public health and safety if left unsolved (not needed for 5% Initiative Projects);

- b. Will not cost more than the anticipated value of the reduction in both direct damages and subsequent negative impact to the area if future disasters were to occur. Both costs and benefits will be computed on a net present value basis;
- c. Is determined to be the most practical, effective, and environmentally sound alternative after consideration of a range of options;
- d. Contributes to the extent practicable to a long-term solution to the problem it is intended to address;
- e. Does not permanently affect the environment or the historic integrity of the surrounding area;
- f. Considers long-term changes to the areas and entities it protects;
- g. And; has manageable future maintenance and modification requirements.

For HMGP projects with a federal cost share of \$1 million or more, compliance must be shown for Strategic Funds Management. Compliance for Strategic Funds Management will be in accordance with FEMA’s “Strategic Funds Management Implementation Guide for Hazard Mitigation Grants Program”. A waiver request may be submitted by the Sub-grantee on a per-project basis with justification. If the State supports the waiver, the SHMO will submit a waiver request to FEMA Region VI as part of the application.

The State may request increasing the HMGP 5% initiative to a 10% initiative to be used for activities promoting disaster resistant codes or for tornado events. The request will be made to FEMA upon receipt of the initial lock-in letter.

The project must not be funded under a previous HMGP, FMA or PDM grant. Funds cannot be used as a substitute or replacement to fund projects or programs that are available under other federal authorities, except under limited circumstances in which there are extraordinary threats to lives, public health or safety, or improved property.

Project Eligibility for the Flood Mitigation Assistance Program

Properties included in a project Sub-application for FMA funding must be NFIP-insured at the time of the application submittal. Flood insurance must be maintained through completion of the mitigation activity and for the life of the structure.

Residential or non-residential properties currently insured with the NFIP are eligible to receive FMA funds. In order to receive an increased federal cost share, properties must be a repetitive loss structure or a severe repetitive loss structure as defined on pages 11 and 12 of this document (consistent with the legislative changes made in the Biggert-Waters Flood Insurance Reform Act of 2012):

Outreach to Sub-grantees (sub-applicants)

The SHMO will work with the SCO and FEMA Mitigation and Public Assistance staff at the JFO to determine a list of potential applicants within the disaster area. Because HMGP is not limited to applicants in the disaster-declared counties, applicants outside the declared counties will also be identified for outreach. It is helpful to generally inform applicants about the availability of HMGP funding early in the disaster recovery. Because initial concerns are focused on response and recovery, it is difficult to expect that potential applicants will be able to focus on HMGP right away. A general HMGP briefing will be presented at the Public Assistance Applicant Briefings, where the SHMO, other DHSEM staff, or FEMA Reservist will;

- 1) outline eligibility for HMGP applicants and projects;
- 2) describe the New Mexico HMGP application process and deadlines;
- 3) provide guidance material and other information to enable potential applicants to prepare a Notice of Interest

The SHMO will provide information to all potential applicants statewide announcing the availability of HMGP, giving program details, explaining the application process, general program eligibility, key deadlines, and reference to the State's mitigation web page for more information. This announcement, in the form of a letter, press release and/or web page reference information, is in addition to the general briefing described above. The notification will occur after DHSEM receives the initial lock-in letter. After the initial lock-in letter is received, the SCO will determine if modifications to this outreach strategy are required.

If deemed appropriate by the Preparedness Bureau Chief, notification of funds availability will be made utilizing email list serve lists.

APPLICATION PROCEDURE

Notice of Interest (NOI)

See Notice of Interest, [Attachment 1](#)

The NOI deadline will be established for each disaster declaration, PDM grant availability or FMA grant availability. The NOI deadline will be at least one month from the notification and not more than eight months after the disaster declaration. DHSEM will process late Notice of Interest for those applicants who provide suitable documentation to support and justify the reason for the delay.

To save time and effort in preparing formal applications for projects that may not meet basic requirements, applicants must submit a pre-application Notice of Interest. With this document, the applicant describes the project and shows that it appears to meet federal and state requirements. The State Mitigation Representative, will review the Notice of Interest for suitability under FEMA mitigation programs.

Sub-grant Orientation Packet

See Sub-grant Orientation Packet, [Attachment 2](#)

If the project meets minimal criteria, the State Mitigation Representative will review the Sub-grant Orientation Packet with the potential applicant. The packet includes a description of the standard DHSEM Mitigation Sub-grant Agreement, reviews procurement requirements, reporting requirements, Sub-grant amendments and additional detail about the responsibilities of the Sub-grantee. After the Orientation packet is signed by the applicant and State Mitigation Program, the State staff will encourage the applicant to begin the full application procedure.

Benefit Cost Analysis

In instances where a Benefit Cost Analysis is a required eligibility criterion, the SHMO will require that the applicant submit a Benefit Cost Analysis Data Form. The State will run a general Benefit Cost Analysis to determine if the project will likely result in at least a 1:1 ratio (benefits at least equal the costs).

If the project does not appear to meet all eligibility criteria, the SHMO will suggest changes or recommend that the applicant consider modifying the elements of the project that are not eligible for funding.

Full Grant Application

See Plan Sub-grant Application [Attachment 3](#) and Project Sub-grant Application [Attachment 4](#)

The grant application deadline will be established for each disaster declaration. The grant application deadline will be at least two months prior to the Grantee application deadline. The Grantee deadline is typically 12 months after the date of the disaster declaration.

If pre-award costs are being requested, the application must include separate line items identifying the pre-award tasks and costs.

The cost estimate can include up to 5% for project management. Eligible tasks under project management include contract oversight, conducting project meetings/calls, coordination with DHSEM or other project partners, professional staff filling-out sections of the quarterly reports.

A construction or land disturbance project may be phased to allow sufficient time and resources to prove that all grant requirements are met. The Sub-grant Application must be prepared for the entire project with phasing identified in the cost estimate, scope of work, and schedule.

Typically, Phase I will include pre-award costs, environmental compliance, and finalizing construction drawings. Phase II is the implementation of the construction project.

For HMGP projects with a federal cost share of \$1 million or more, compliance must be shown for Strategic Funds Management. Compliance for Strategic Funds Management will be in accordance with FEMA's "Strategic Funds Management Implementation Guide for Hazard Mitigation Grants Program". A waiver request may be submitted by the Sub-grantee on a per-project basis with justification. If the State supports the waiver, the SHMO will submit a waiver request to FEMA Region VI as part of the application.

Facilitation of Applications

The SHMO, or their representative, will;

- Provide guidance to applicants to enable them to secure clearance from the various state and federal agencies required to meet all compliance criteria.
- Provide technical assistance to the applicant in all aspects of the application process and subsequent grant management.
- Facilitate technical assistance that may be available to Sub-grantees from state agencies for project development and guidance. Technical assistance may be available from FEMA as well.

Below is a detailed description of application review for environmental, benefit cost and floodplain compliance.

Environmental Management Review

All land disturbance applications will be subject to environmental management review.

Applicants must respond to the Environmental Considerations Information. Applications that do

not address the Environmental Considerations will not be considered. DHSEM will work with the FEMA Region VI Environmental and Historic Preservation Officer who coordinates with the State Historic Preservation Officer and/or Tribal Environmental Officer or Tribal Historic Preservation Officer to review and comment on the Environmental Considerations in order to:

- 1) Assure that in carrying out project responsibilities it is in a manner consistent with state, tribal and national environmental policies;
- 2) Use all practical means and measures to protect, restore, and enhance the quality of the environment, and to avoid or minimize adverse environmental consequences;
- 3) Achieve use of the environment without degradation, or undesirable and unintended consequences;
- 4) Preserve and maintain historic, cultural, and natural aspects while supporting diversity and variety of individual choice;
- 5) Achieve a balance between resource use and development within the sustained carrying capacity of the ecosystem involved;
- 6) Enhance quality of renewable resources;
- 7) Work towards maximum attainable recycling of resources;
- 8) Assess environmental consequences of actions;
- 9) Use an interdisciplinary approach to ensure integrated use of natural and social sciences to fully address environmental consideration, in planning and decision making, where there is a potential for environmental impact;
- 10) Ensure presently unmeasured environmental amenities are considered in decision-making process;
- 11) Consider reasonable alternatives to recommend courses of action;
- 12) Make available technical assistance and information useful in restoring, maintaining and enhancing the overall quality of the ecosystem.

Benefit Cost Review

The State, in coordination with FEMA, will complete a technical feasibility analysis on each eligible mitigation project submitted. Technical feasible and eligible project applications are required to have a positive benefit cost ratio, regardless of the type of mitigation measure or the mitigation funding source. All proposed projects that require a positive benefit cost ratio will go through the Benefit Cost Analysis screening process.

At its most basic level, the Benefit Cost Analysis (BCA) determines whether the cost of investing in a mitigation project today will result in at least an equal amount of future damages avoided. If the benefit (future damages avoided) is equal or more than the cost, the project is considered to be cost-effective.

The screening review establishes whether the future benefits provided by the proposed mitigation activity are equal or greater than the costs associated with the project, whether the project is

feasible from an engineering standpoint and whether the project will reduce damages as proposed. The project must be feasible and must reduce damages as proposed or the BCA modeling will not be accurate and the project will not be eligible.

For all applications that have a positive BCA as a requirement, DHSEM staff or other mitigation team members will recommend that after the Notice of Interest is submitted, an initial BCA run be completed to be sure that the project is generally cost beneficial. The applicant will fill out the Benefit Cost Analysis Data Form and the State will run an initial BCA.

If an entity has the capabilities and skill to run their own BCA using the FEMA software, DHSEM will review the applicant's BCA to determine if they used the correct computer generated models and if the input data is accurate based on the supporting documentation. A more detailed method of analysis is required if the project application and data availability is complete and detailed. A limited data BCA is acceptable if the application and data is incomplete or very limited. The reviewer may suggest changes to the applicant to make the project more efficient in reducing damage and loss.

DHSEM staff or other mitigation team members will screen applications based on the BCA submitted by eligible applicants or run by the State. DHSEM staff or other mitigation team members will provide review and feedback to applicants in regard to the BCA for eligible projects. If the initial run does not show that the project is cost beneficial, the applicant can then decide if they want to continue with the full application submittal.

Applications that are not cost beneficial will not be reviewed and ranked for consideration of funding by the State. The BCA will be used to ensure that proper consideration be given to the BCA and that only cost effective projects are reviewed. If the State's Mitigation Grant Programs become competitive in nature, the BCA may also be used as one of the scoring criteria in the ranking process.

Floodplain Management Review

All project applications will be subject to floodplain management review. Completion of the DHSEM Floodplain portion of the Environmental Considerations Information is mandatory. Applications that do not address impacts to floodplain will not be considered.

DHSEM will coordinate with the FEMA Floodplain Specialist, State Floodplain Manager and local or tribal floodplain manager to conduct floodplain management reviews. The application process requires applicants to provide the following information:

- 1) Avoid long and short term adverse impacts associated with the occupancy and modification of floodplains and the destruction and modification of wetlands;

- 2) Avoid direct and indirect support of floodplain development and new construction in wetlands wherever there is a practicable alternative;
- 3) Reduce the risk of flood loss;
- 4) Promote the use of nonstructural flood protection methods to reduce the risk of flood loss;
- 5) Minimize the impact of floods on human health, safety and welfare;
- 6) Minimize the destruction, loss or degradation of wetlands;
- 7) Restore and preserve the natural and beneficial values served by floodplains;
- 8) Preserve and enhance the natural values of wetlands;
- 9) Involve public throughout the floodplain management and wetlands protection decision-making process;
- 10) Adheres to the objectives of the Unified National Program for Floodplain Management; and
- 11) Improve and coordinate DHSEM plans, programs, functions and resources so that New Mexico can attain the widest range of beneficial uses of the environment without degradation to risk to health and safety.

Request for Additional Information

After the application is complete, the SHMO will submit the application to FEMA for review and approval. The submittal packet will include a State Support Letter identifying the project name, funding source, federal share, and application issues.

Any additional information that may be required by FEMA Region VI will be in the format of a Request for Additional Information (RFI) with a specific deadline for submittal. The SHMO will communicate the RFI topics and deadline to the Sub-grantee and provide technical assistance for re-submittal. Turn-around for RFI response will be based on FEMA’s formal RFI schedule. If the Sub-grantee does not meet the final deadline for RFI, FEMA will determine that the project does not meet the requirements and will be denied.

RFI TIMELINES	
Informal – First Request	The Project Officer requests additional information from the Applicant . If the requested information is not received within 30 calendar days from the date of the request, FEMA will consider the application to be incomplete and not approvable. Unless the HMA program is competitive, FEMA may provide technical assistance if requested to help the Applicant respond to the RFI and set a new timeframe for the Applicant response. We may encourage phasing the project if it is feasible to do so.
Informal – Second Request	The Hazard Mitigation Branch Chief requests additional information from the Applicant . If the requested information is not received within 14 calendar days from the date of the request, FEMA will consider the application to be incomplete and not approvable. FEMA may provide technical assistance if requested, unless the HMA program is competitive. We will attempt to coordinate with FEMA, Recipient, and Applicant staff should meet to resolve any open items within the allotted timeframe, if necessary.
Formal	In a formal letter, the Division Director requests additional information and documents previous requests in letter to the State Director . If the requested information is not received within 30 calendar days from the date of the request, FEMA will consider the application to be incomplete and not approvable.
Formal	If the RFI is not answered in specified timeframe, the Regional Administrator will communicate last and final RFI to State Director with 30 day turnaround.
Final	If RFI not answered, the project will be denied.

Selection of Projects

State Natural Hazard Mitigation Prioritization

The SHMO will review submitted mitigation applications consulting with SCO, state and federal agencies as needed. All projects must meet the minimum requirements of 44 CFR 206.434 (b) and 44 CFR 206.435 (b). The SHMO will prioritize proposed projects based upon priorities established in the State Natural Hazard Mitigation Plan, although other factors may be considered. Those factors include, but are not limited to:

- Is the project legal?
- Is the project likely to limit loss and prevent harm to human life and property?
- Does the project constitute a long-term solution to a well-defined problem?
- Does the project demonstrate a favorable benefit/cost ratio?
- Is the applicant committed to maintenance of the project for the life of the project?
- Is the project environmentally sound?
- Is the project technically feasible?
- Is the project socially acceptable?
- Is the project politically acceptable?
- Does the project reflect repetitive loss properties?
- Is the applicant a community with intense development pressure?

Project Selection Criteria

The SHMO will select projects to fund based on the following criteria for selection. The criteria include, but are not limited to:

- A community or tribe that has a FEMA approved mitigation plan;
- A completed application by the submittal deadline;
- Accomplish multiple objectives including damage reduction, environmental enhancement, and economic recovery when appropriate;
- Measures that best fit within an overall plan for development and/or hazard mitigation in the community or disaster area as described in the local Natural Hazard Mitigation Plan;
- Measures that, if not taken, will have a severe detrimental impact on the applicant, such as potential loss of life, loss of essential services, or economic hardship in the community;
- Measures that have the greatest potential impact on reducing future disaster losses;
- Measures that are designed to accomplish multiple objectives for damage reduction, environmental enhancement, and economic recovery;
- Solve a problem independently or constitute a functional portion of a solution whether there is assurance that the project as a whole will be completed;

Selection Criteria for Competitive Grants

Based upon applications submitted and available funding, plans and projects may need to be prioritized for funding. Preparedness Bureau staff forms a Ranking Committee based upon formalized criteria established in the State Natural Hazard Mitigation Plan, this State Mitigation Administrative Plan and the criteria below. The Ranking Committee recommendations are provided to the GAR for approval. After the GAR provides approval, the SHMO contacts each applicant to notify them if their project was selected or not. If a project is withdrawn or is determined to not meet all eligibility criteria, the project with the next highest ranking is funded up to the maximum amount of federal dollars remaining.

Points are given for each criterion as follows:

- Completed application - If an application is not complete, it is not qualified for ranking.
- Prevents harm to human life.
- Reduces amount of property damage, both public and private, from natural hazards.
- A real world event has had severe detrimental impact on the applicant, such as potential loss of life, loss of essential services, or economic hardship in the community.
- Reduces the number of necessary evacuations.
- Shortens recovery time (community function, natural environment, other).
- Project is included in the applicant's General Plan, Comprehensive Plan, or Infrastructure Capital Improvement Plan.
- Project is identified as a high priority in an adopted plan of the applicant.
- Applicant is a community with intense development pressure.
- Improves communication, collaboration and integration among state, tribal and local emergency management agencies.

FUNDING OF PROJECTS

FEMA will advise the SHMO of the final lock-in amount for HMGP 12 months after the disaster declaration. That amount will be set aside for HMGP projects regardless of any future increases or decreases in the amount of Public Assistance.

The State may request increasing the HMGP 5% initiative to a 10% initiative to be used for activities promoting disaster resistant codes or for tornado events. The request will be made to FEMA upon receipt of the initial lock-in letter.

Once project applications are submitted to FEMA, no increase in the Scope of Work per project will be allowed. However, if the cost of doing the Scope of Work increases, individual projects can have their funding increased up to the limit of available HMGP funding for that disaster. Funds may not be exchanged between disasters. Funds may not be used for new projects once the 12-month application period has passed. DHSEM encourages Sub-grantees to submit more projects than can be funded on the chance that a funded applicant might withdraw its project, thus making additional funds available.

The State may submit a global match ('over match') request in a formal letter as soon as the source and amount is identified. The request will describe the specific projects involved and the estimated amount of global match. As additional funding sources may become available after the close of the application deadline, the State reserves the right to submit the global match request throughout the Period of Performance. For example, the State Legislature allocates capital outlay funding on an annual basis. A Sub-grantee may receive capital outlay funding one year after their submittal of the FEMA HMGP application.

State Management Costs

For major disaster declarations on or after November 13, 2007, the HMGP State Management Cost rate will be 4.89% of projected eligible program costs for the State (Grantee). Sub-grantees will not receive management costs from the state. State Management Costs are used in implementing the Hazard Mitigation Grant Program in accordance with the most recent FEMA guidance. State Management Costs will be identified and submitted to FEMA, and could include the staff or consultant time for application development, engineering/appraisal review costs, and additional staff to manage the HMGP process (e.g. reservists and temporary Hazard Mitigation Specialists). Management costs may also include necessary training, travel, and materials associated with administering the HMGP.

State Management Costs will be utilized by DHSEM to manage and oversee the grant. No State Management Costs will be passed through to the Sub-grantee.

At this time, the State will not be requesting Advance Assistance. Advanced Assistance would be used to cover the costs of developing applications for HMGP funding. The 75/25 cost share would apply and the amount utilized for Advance Assistance would be included in the HMGP ceiling for any specific disaster.

At this time, the State will not formally request that FEMA delegate responsibilities for additional duties for administration New Mexico will not participate in the Program Administration by States (PAS) option.

Grantee Application for State Management Costs

The State will submit an application for State Management Costs upon notification of the amount available. The application includes a description of the tasks that will be implemented, staffing pattern showing all staff/contractors that will implement the HMGP and a cost estimate. The State will submit for 25% of the initial State Management Costs, 35% of the 6-month lock-in for State Management Costs and 100% (or the amount remaining) of the 12-month lock-in for State Management Costs.

Reporting

The SHMO will submit quarterly performance reports to FEMA Region VI based on the NEMIS or eGrants protocol. Grantee quarterly performance reports will be filed with FEMA according to the schedule below.

- 1st federal quarter (October–December) due January 30
- 2nd federal quarter (January–March) due April 30
- 3rd federal quarter (April–June) due July 30
- 4th federal quarter (July–September) due October 30

The Grants Unit will submit quarterly financial reports to FEMA Region VI based on the NEMIS protocol. Grantee quarterly financial reports will be filed with FEMA according to the same schedule (above).

The Sub-grant Analyst, or staff member designated by the Grants Manager, prepares the quarterly report data. The financial data is reviewed by the Grants Auditor then remitted to the SHMO to ensure that the deadlines above can be met. As is the current practice, if requested by FEMA Region VI, the Grants Auditor will supply record keeping detail such as contracts, invoices, payroll, etc.

In accordance with 2 CFR 200.328 and 200.333 the grantee is required to keep complete records of all work, i.e. receipts, checks, job orders, contracts, equipment usage documentation, and payroll information. These records must be retained for three years from the grant close-out date, or after any litigation claim, negotiation audit, or other action has been resolved, whichever is

later. During this three-year period, all project documentation is subject to random audits. A final audit of accounting and reporting documents will take place after the project is completed.

More detail on the assignment and expenses for State Management Costs are found in the Mitigation Program Standard Operating Guidelines.

Spend Plan

The State will participate in the accurate budgeting and forecasting of the Spend Plan for HMGP Disasters declared after October 30, 2013. The State will identify funding priorities for projects, forecast funding needs for future months, and revise projections as requested by FEMA. The Spend Plan is coordinated between the SHMO and the FEMA Mitigation Program POC.

Expense Tracking

Payroll will be tracked on a monthly basis for each full time DHSEM employee that provides direct grant or Sub-grant oversight. Time is tracked on a per-hour basis by grant, consistent with DHSEM policies and procedures. In addition, time spent on eligible costs not directly chargeable to a specific project that are reasonably incurred by the Grantee in administering and managing an HMGP grant award will also be recorded in the timesheet. The SHMO will approve all timesheets for costs associated with HMGP State Management Costs. See the Mitigation Program Standard Operating Guidelines for more timesheet tracking detail.

The State may choose to hire a contractor to assist with application development, project oversight, plan review or management of the Mitigation Program. All federal and state procurement regulations will be followed and documentation will be on file. Tracking, invoicing and back-up will be maintained for the records.

Management costs may also include necessary training, travel and materials associated with administering the HMGP.

GRANT ADMINISTRATION

The Sub-grant Analyst, or staff member designated by Grants Manager, prepares the quarterly report data for all Sub-grants and State Management Costs. The financial data is reviewed by the Grants Auditor then remitted to the SHMO to ensure that the quarterly reporting deadlines can be met. For grants and State Management Costs, the Grant Auditor maintains record keeping detail such as contracts, invoices, payroll, etc. For the Sub-grants, the Sub-grant Analyst maintains record keeping detail such as contracts, invoices, payroll, etc.

Financial Management and Procurement Procedures

Federal Section 404 funds will be obligated by FEMA for all approved projects and supplements.

- 1) The SHMO, and when applicable, in coordination with Grants Manager will submit required documentation through the GAR to the FEMA Regional Administrator in order to receive federal funding.
- 2) The Grants Management Unit will coordinate with Financial Services Unit to ensure proper coding of these funds into the Disaster Specific HMGP Budget String at DHSEM. DHSEM does not request any cash advances. The agency will draw funds against applicable and eligible expenditures, via Smartlink, or any designated federal systems, on a regular basis. Because the State does not advance HMGP funds there is no interest earned and/or tracked.

The approved projects under the State's grant will be the basis for a Sub-grant by the State to the applying entity. All approved projects will be subject to the cost sharing provisions (75% federal share / 25% local share) established by the Hazard Mitigation Assistance Cost Share Guide. The State reimburses up to 75% of eligible and qualified project expenditure to Sub-grantees. Federal and non-federal funds will be tracked by project for reconciliation against Disaster Specific HMGP Budget String in accordance with 2 CFR 200.302.

Matching funds for state and local governments share will not be obtained from other federal programs unless applicable federal laws specifically authorize such usage. A certification signed by the applicants' CFO must be received with the Notice of Interest verifying availability on 25% non-federal match.

In determination and documenting fair market value of property, volunteer services and third-party donations, DHSEM will adhere to 2 CFR 200.307 as well as references to comparable values of similar goods and services obtained by sub recipients and/or SAA.

Program Income

To handle and monitor program income generated by sub grantees, DHSEM will adhere to 2 CFR 200.307, specifically 2 CFR 200.307(e)(1) if Federal Agency does not specify in its regulations or terms and condition of the federal award, or give prior approval of how program income is to be used. If applicable, ordinary program income must be deducted from total allowable costs to determine the net allowable costs.

DHSEM will serve as Grantee for project financial management in accordance with 2 CFR Part 200 and any other applicable federal regulations. Sub-grantee(s) (applicants) are accountable to the Grantee for funds that have been awarded.

Allowable costs associated with administering the program are authorized in accordance with 2 CFR Part 200 and any other applicable federal regulations. Administrative costs must be shown as a separate line item and must be approved by the SHMO.

No advancement of project funds will be made on grant-based projects. Federal funds for an applicant's approved project will be disbursed on a reimbursement basis. The applicant will complete the work associated with the project, then request funds from DHSEM for work completed and submit all supporting documents required by DHSEM for review, approval and verification. The applicant, with approval from DHSEM, can divide the project into phases for funding purposes. Although 2 CFR 200.305 b (8) ii makes allowances for interest earned on advances, it is not relevant to DHSEM and its Sub-grantees. DHSEM and its Sub-grantees do not accumulate any interest on funds advanced.

If a project is phased, the Sub-grant Agreement will identify the specific scope of work and amount of federal and local funds applicable for each phase of the project. One Sub-grant will be executed initially for Phase I of the project. If applicable, upon FEMA award of Phase II funding, the Sub-grant Agreement will be amended to reflect the Phase II scope of work, budget, and schedule.

Phase II of a project will be approved after the Sub-grantee revises all application materials to reflect the final design; SHMO submits amended application to FEMA and FEMA issues an award.

In the event that it is discovered that federal funds have not been used in accordance with federal regulation and the New Mexico Hazard Mitigation Administrative Plan, such funds will be recovered from the Sub-grantee as soon as practicable and funds deposited back into the appropriate accounting operating code. Subsequently a formal reimbursement check will be returned to FEMA. Upon close-out of the grant, any remaining excess funds will be de-obligated by request of the SHMO. (2 CFR 200.303(b)(3) and 200.305)

Procurement standards will comply with 2 CFR 200.320, 2 CFR 200.113, 200.317, and 200.318, as well as State of New Mexico Procurement Code which specifically include:

- 1) When procuring property and services under a grant, agencies of the State of New Mexico will follow the same policies and procedures used for procurements from its non-federal funds. The State will ensure that every purchase order or other contract includes any clauses required by federal statutes and executive orders and their implementing regulations.
- 2) DSHEM will ensure, in accordance with 2 CFR 200.319-320, that open and fair competition for procurement is supported by processes of periodic internal review and monitoring, including the activities related to sub recipients procedures using one of the methods including micro-purchases, small purchases procurement, invitation of bids, request for competitive proposals.
- 3) DHSEM will adhere to take all necessary affirmative actions as described in 2 CFR 200.321 to assure that minority businesses, women's business enterprises, and labor surplus firms are used when possible.
- 4) DHSEM will perform cost or price analysis in connection with contract procurement, as applicable, in accordance with 2 CFR 200.323. This will include, when possible, making independent estimates before receiving bids or proposals.

Grantees and Sub-grantees will use their own procurement procedures which reflect applicable state and local laws and regulations, provided that the procurements conform to applicable federal law and the standards identified in this section. For reference to State of New Mexico Procurement Regulations, the link is:

<http://www.generalservices.state.nm.us/uploads/files/SPD/Presentations/1%204%201%20NMAC.pdf>

The Mitigation Program and Administrative Services Bureau are responsible for reviewing procurement procedures and professional contracts entered into by the Sub-grantee. The Sub-grantee is required to submit all procurement documents, drafts of any contracts, task orders, and change orders (or similar) for administrative and programmatic review prior to execution. Upon receipt, a review is conducted by Mitigation Program and ASB utilizing a "Third-party DHSEM Review and Approval" Checklist. See **Attachment 2: Sub-grant Orientation Packet, page 6 and 7**. The Sub-grant Analyst and Mitigation Program staff will simultaneously review drafts submitted by the Sub-grantee and coordinate response to the Sub-grantee. Once reviewed and approved, the Sub-grant Analyst is responsible for notifying the Sub-grantee of approval to proceed with applicable next steps in procurement and/or execution of contract. More detail on review and pre-approval of contracts is found in the Mitigation Program Standard Operating Guidelines.

Grantees and Sub-grantees will maintain a contract administration system which ensures that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders.

2 CFR 200.212 of the UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS states: Non-federal entities and contractors are subject to the non-procurement debarment and suspension regulations implementing Executive Orders 12549 and 12689, 2 CFR part 180. These regulations restrict awards, sub-awards, and contracts with certain parties that are debarred, suspended, or otherwise excluded from or ineligible for participation in federal assistance programs or activities. DHSEM utilizes the System for Award Management (SAM) for verification of a DUNS number in good standing.

Requests for funds in accordance with 2 CFR 200.305(b):

- 1) Requests for reimbursement must be submitted in writing to the Sub-grant Analyst with supporting documentation. See Request for Payment [Attachment 2: Sub-grant Orientation Packet, page 9](#).
- 2) The Sub-grant Analyst reviews the invoice for completeness and correctness before submitting to SHMO for a programmatic review.
- 3) The SHMO reviews the request and supporting documentation. If all programmatic requirements are met, the SHMO approves the Request for Reimbursement and returns to the Sub-grant Analyst for further processing and approval by Grants Manager.
- 4) Sub-grant Analyst reviews certification of costs, including match and processes the reimbursement.
- 5) If the request for funds is questioned, the Grant Specialist will notify the applicant in writing that additional documentation or performance is required to support the request.
- 6) The DHSEM Grants Specialist reviews the Request for Payment for fiscal accountability, prepares documentation for signature, and submission to the DHSEM Financial Services Unit to remit to New Mexico State Department of Finance and Administration (DFA) for disbursement. DFA processes the reimbursement request and either completes a direct deposit or a check is sent to DHSEM for delivery to the Sub-grantee.
- 7) 15% of the federal funds are held until project completion and will be payable upon close-out. A statement to this effect is included in the Sub-grant Agreement.
- 8) Final reimbursement will be made based upon DHSEM approval of completion, based on the Special Conditions wording in the Sub-grant Agreement. For a mitigation plan, final reimbursement will be made after receipt of the FEMA Approval Letter. For a construction project, final reimbursement will be made after inspection, as-built approval, maintenance plan approval, and proof of compliance with all environmental conditions.

Sub-grant Analyst maintains necessary financial documentation and progress reports to support funds distributed to Sub-grantee(s). The Grant Specialist maintains the official files on administering the Sub-grants.

Sub-grant Analyst tracks cost overruns, audits and appeals, and forwards documents to the SHMO for Mitigation Program records and to Grants Manager for Grants Management Unit approval.

SHMO reviews budget changes and cost overruns when justified, after a request is submitted for additional funding to DHSEM. The SHMO will submit the request to FEMA with a recommendation in the following situations;

- 1) Sub-grant adjustments of more than 10% in any direct cost category
- 2) Sub-grant budget change request that would result in additional federal funding

All requests for additional consideration will contain sufficient documentation to support the eligibility of all claimed work and costs. FEMA will notify the state in writing of the final determination. A denial of additional funding is subject to appeal. In no case is either FEMA or the State liable for any obligation beyond that which has been agreed to in the Sub-grant Agreement, as amended. Overruns will not normally be considered but will be at the discretion of the GAR based on available funds.

All requests for funds will be tracked and monitored using fund accounting which document the specific source of funding, i.e., by disaster declaration number as well as by grant funding program. All funds attributable to a specific grant program will also be documented by Sub-grantees in each disaster and grant program. Hence, a Sub-grantee may receive grant funding in several different disasters and/or grant programs. Accounting processes will identify all Sub-grantees to a specific disaster or grant program, but will also identify all funds disbursed by Sub-grantee, regardless of the program source.

Pursuant to 2 CFR 200.205 (b) DHSEM has established reasonable procedures to ensure the receipt of reports on Sub-grantees' cash balances and cash disbursements in sufficient time to enable them to prepare complete and accurate cash transactions reports to the awarding agency. On a monthly basis, DHSEM reconciles the internal records that are maintained for each individual grant. Expenditures are posted by journal date from the HMGP SHARE Budget String report furnished by the New Mexico Department of Finance and Administration (DFA). The expenditures and draws should be equal at the end of each month. In addition:

- 1) At the end of each quarter, all draws are uploaded to the Payment Management System (PMS) and then are compared to the draws recorded in DHSEM internal worksheets to verify accuracy;

- 2) Cumulative expenditures from the HMGP SHARE Budget String by Journal Date report for each individual grant are recorded on the HHS SF425 Federal Financial Report;
- 3) Each grant has a reporting entry if the grant has a balance still to be drawn or has had activity during the quarter;
- 4) Totals are verified to insure that the expenditures are equal to the revenue from draws for the quarter; if not, any discrepancies are reconciled;
- 5) The SF425 FFR's are submitted to FEMA Region VI within 30 days of the end of the quarter.

Systems reconciliation (2 CFR 200.302 and 200.328):

- 1) The New Mexico DFA and DHSEM work together to expend and account for grant funds in accordance with State laws and procedures for expending and accounting for their own funds.
- 2) Fiscal control and accounting procedures of the State, as well as its Sub-grantees and cost-type contractors, must be sufficient to:
 - a. Permit preparation of reports required by federal regulation and the statutes authorizing each grant;
 - b. Permit the tracing of funds to a level of expenditures adequate to establish that such funds have not been used in violation of the restrictions and prohibitions of applicable statutes to include State Management Costs;
 - c. Provide accurate, current and complete disclosure of the financial results of financially assisted activities, which would include expenditures against State Management Costs, made in accordance with the financial reporting requirements of the grant or Sub-grant.

DHSEM performs a monthly reconciliation of records once DFA closes the accounting period to ensure that the Grantee (DHSEM) has accurate accountability for expenses and draws.

- Accounting records - Both the Grantee and the Sub-grantees are required to maintain records which adequately identify the source.
- Records retention - Records reflecting the administration and management of federal grant programs will be maintained by the Grantee and Sub-grantees for a period consistent with state and local records retention policies, but shall also be in conformance with policies mandated by federal regulations governing each specific grant program. For Hazard Mitigation grants, such guidance is found in 2 CFR 200.333. The State policies which mandate records retention greater than that which is required by federal regulation, will be implemented, and the records retention period would be the greater of the two.

Sub-grantee Monitoring

DHSEM has developed and implemented internal monitoring protocols and procedures which ensure compliance with all administrative requirements of 44 CFR Part 206 and 2 CFR 200.331.

DHSEM will monitor Sub-grantee activities to assure compliance with applicable federal requirements (2 CFR Part 200.331). In accordance with 2 CFR Part 200.331, to assist DHSEM in fulfilling its obligations, the Fiscal Monitoring will be an integral element of the Department.

In instances where non-compliance is identified, including audit findings, DHSEM will promptly work with Sub-grantees, according to 2 CFR 200.303 (d), to address corrective actions as part of monitoring procedures.

DHSEM is responsible for fiscal monitoring of all Sub-grantees regardless of the federal funding source. Fiscal monitoring is conducted through documentation review, on-site visits, review of A-133 Single Audit reports and technical assistance. All DHSEM Sub-grantees have been assigned a Sub-grant Analyst responsible for this fiscal monitoring function. DHSEM Responsibilities are to:

- 1) Provide on-going fiscal oversight and fiscal monitoring of all federally funded Sub-grant Agreements;
- 2) Obtain a reasonable assurance that grantees are expending funds in accordance with state and federal guidelines;
- 3) Inform grantees of fiscal compliance requirements;
- 4) Provide technical advice and training to grantees as necessary and feasible;
- 5) Help ensure timely expenditure of grant funds;
- 6) Work with grantees to help detect and prevent fraud and abuse.

General Administrative Requirements

DHSEM will ensure that Sub-grantees are aware of requirements imposed upon them by federal statute and regulation at the Sub-grant Orientation meeting and through wording in the Sub-grant Agreement. Sub-grantees are contacted to plan either a meeting in person or via conference call to discuss expectations, procedures and helpful information for adherence to the Sub-grant guidelines and requirements. Topics include: records management, timely reporting, procurement responsibilities, reimbursements, amendments and extensions, and close-out procedures.

Once an entity's approved FEMA Hazard Mitigation Plan is three years from expiration, Mitigation Program staff will notify them to seek funding for the update planning process. See Mitigation Program Standard Operating Guidelines for more detail as applicable.

All financial, accounting and audit procedures will conform to 2 CFR 215, 2 CFR 225, 2 CFR 220, 2 CFR 230, and A-133

DHSEM will adhere to measures, as part of general administrative practices, to safeguard protected personally identifiable information (PII) and other information the federal awarding agency or pass-through entity designates as sensitive per 2 CFR 200.303(e)

DHSEM currently does not use indirect rates. In the event that indirect rates are considered, DHSEM will adhere to requirements per 2 CFR200.333(f).

DHSEM will expend and account for grant funds in accordance with state laws and procedures for expending and accounting for its own funds. See 13-1-1 through 13-1-199 NM State Annotated 1978: www.conwaygreene.com/nmsu/lpext.dll?f=templates&fn=main-h.htm&2.0

DHSEM will adhere to the following fiscal control and accounting procedures:

- 1) Provide accurate, current, and complete disclosure of the financial transactions made by the Sub-grantee in relation to the grant.
- 2) Track the cost share requirements through the quarterly financial reports which are submitted by the Sub-grantee on the four established dates – January 15, April 15, July 15, and October 15 and, in addition, through the states grants management system.
- 3) All DHSEM financial records will adequately identify the source and application of funds provided to Sub-grantees and, in addition, will contain information pertaining to grant or Sub-grant awards and authorizations obligated and un-obligated balances, assets, liabilities, outlays or expenditures.
- 4) DHSEM will ensure adequate safeguards are instituted to effectively control and establish accountability for all grant and Sub-grant cash, real and personal property and other assets and ensure it is used solely for authorized purposes.
- 5) Actual expenditures or outlays will be compared with budgeted amounts for each grant or Sub-grant. All other requirements of the grant or Sub-grant as related to unit cost information will be adhered to.

DHSEM and Sub-grantees will follow applicable CFR cost principles, agency program regulations, and grant/Sub-grant Agreements to determine if all associated costs are reasonable and allowable.

- 1) Applicable accounting records will be substantiated by adequate source documents such as proof of payments, cancelled checks, paid bills, payrolls, and time and attendance records.
- 2) DHSEM will review the adequacy of the financial management system of any applicant as part of a pre-award review or at any time subsequent to the award.

Allocable costs: (OMB Guidance 200.405) A cost is allocable to a particular federal award or other cost objective if the goods or services involved are chargeable or assignable in accordance with relative benefits received. This standard is met if the cost:

- 1) Is incurred specifically for the federal award;
- 2) Benefits both the federal award and other work of the non-federal entity and can be distributed in proportions that may be approximated using reasonable methods; and
- 3) Is necessary to the overall operation of the non-federal entity.

Note: concerning expenditures for training:

Planning training is an allocable cost if incurred for a Hazard Mitigation Plan only. (BCA or EHP training is not an allocable cost). For Projects, there must be a “Project Management” line in the approved budget which will cover training up to 5% for any NM Disasters covered by this Administrative Plan, OR could be “Pre-Award” costs.

Conflict Resolution

The SHMO will monitor and evaluate the progress of HMGP projects via quarterly financial and performance reporting (to ensure reimbursement requests are in line with project completion time lines), site visits, telephone, e-mail, and postal mail throughout the project. For construction projects, the SHMO, or other designated person, will visit the project site at the request of the Sub-grantee to provide direct advice and to attempt to resolve difficulties. The SHMO may visit the project site to perform an interim inspection at any time.

To minimize applicant appeals, DHSEM will follow the following conflict resolution process:

- 1) The SHMO will work directly with the applicant to resolve the issue.
- 2) If they cannot achieve a resolution, the SHMO will notify the Preparedness Bureau Chief, and they will work together with the applicant to resolve the issue.
- 3) If all these steps fail and the issue remains unresolved, the applicant may submit a formal appeal to the Cabinet Secretary.

Appeal Procedures

In accordance with the 44 CFR, any eligible applicant may appeal any state or FEMA decision regarding projects submitted for HMGP funding under the following appeal guidelines:

- 1) The appeal package must contain documentation that justifies the request for reconsideration such as but not limited to:
 - a. a necessary change in the scope of work,
 - b. an increase in the cost of available materials,
 - c. new or corrected information,
 - d. reviewer oversight from lack of documentation,
- 2) The appeal must be in writing and signed by the chief elected representative.
- 3) The appeal must be submitted by the Sub-grantee to the Grantee within 30 days of the date of written notice of the determination being appealed.

- 4) The appeal will be reviewed by the SHMO and sent with a State determination letter to FEMA within 60 days of the original determination being appealed or within 30 days of receipt of appeal from Sub-grantee – whichever is the shorter time frame.
- 5) It is a responsibility of the SHMO, based on the appeal received, to determine which appeals are sent on to FEMA and to deny unjustified appeals at the state level.

The second and final appeal must follow the same guidelines outlined in item one for the appeal package including the same timeframes.

Project Reviews and Monitoring/Audits

Final inspections and reviews of all projects will be performed in accordance with 2 CFR 200.331, and approved by the SHMO.

In accordance with OMB Circular A-133 (Single Audit Act of 1996) applicants with federal expenditures in excess of \$750,000 within their own fiscal year, will be required to have an audit completed by an independent outside auditor. This audit must be submitted to the State within 30 days after completion but not later than 6 months from their fiscal year end. The DHSEM has established a protocol related to the review of the A-133 Audit Requirements, to include federal clearing house cursory review of audit submissions; review of audit findings for Sub-grantees; as well as formal correspondence to the Sub-grantee to correct deficiencies.

The procedure for ensuring compliance with uniform audit requirements is established and documented within the DHSEM monitoring protocol in accordance with 2 CFR 200.331.

FEMA may elect to conduct a federal monitoring visit on the disaster assistance grant or any of the Sub-grants.

Real Property and Equipment

The State will ensure that records pertaining to real property and equipment are maintained, including requirements for insurance for equipment purchased with federal funds, during the performance period as well as at the close of the grant in accordance with 2 CFR 200.311, 2 CFR 200.313, and 2 CFR 200.343.

Equipment purchased with grant funds shall be accounted for at the time sub-recipient monitoring is conducted. The information gathered shall follow the State's monitoring protocol. In addition, the State will have right of first refusal for any equipment no longer needed or being used for the intent that it was purchased by the applicant.

In accordance with 2 CFR 200.312, DHSEM will assure that inventory listing of federally owned property in its custody to the federal awarding agency. Inventory tracking and maintenance is part of DHSEM internal control procedures and continuous improvements are taking place with applicable technology and development of processes. In addition and as applicable, DHSEM will comply with 2 CFR 200.329 to submit annual reports on real property.

DHSEM, in accordance with 2 CFR 200.313(d), reviews inventory periodically to assess management, including physical inspections, potential disposition, maintenance and replacement, requirements along with applicable asset management cycles.

Sub-grant Close-out Procedures

When all work has been completed, all necessary documentation has been submitted, all reimbursements have been made, and no further actions or appeals are pending, the SHMO and Sub-grant Analyst conduct final inspections and financial monitoring. The Sub-grant Analyst conducts an internal reconciliation, and submits to Grants Management Unit Auditor for review, as outlined in the requirements of Uniform Grants Management Standards.

The Sub-grant Analyst then prepares a Certificate of Completion and Grant Adjustment Notice. The Grant Adjustment Notice identifies the amount of de-obligation of any remaining federal, state, and/or local funds. The Sub-grant Analyst will email the documents to the Sub-grantee for signature and return. The Sub-grant Analyst obtains GAR signature on these documents and on the FEMA Close-out Request cover letter.

The Sub-grant Analyst submits the Project Completion Certificate and Grant Adjustment Notice with the cover letter to the Regional Administrator along with any additional documentation required. If de-obligation is needed, the cover letter will request the specific amount to be de-obligated. Examples of supporting documentation are FEMA Approval Letter for a mitigation plan, final quarterly performance report, final financial report, photographs of construction location, as-built drawings, example outreach/education document, reimbursement proof, contracts, etc.

Upon approval of project or plan close-out, FEMA sends DHSEM a close-out letter. The Sub-grant Analyst sends a copy of the FEMA Close-out Letter to the Sub-grantee.

Grant Close-out Procedures

Upon closing the last project in a disaster funding stream, the State conducts an internal reconciliation, including for State Management Costs, as outlined in the requirements of Uniform Grants Management Standards. DHSEM will adhere to submission of financial and programmatic closeout within 90-days after the end of grant period of performance and for all financial, performance and other reports, including Final SF425 reports per 2 CFR 200.343(a).

Grants Unit Manager requests de-obligation of any remaining funds, including any unused State Management Costs in accordance with 2 CFR 200.345.

Upon approval of grant close-out, FEMA sends SHMO a close-out letter.

The close-out of a grant does not affect:

- 1) FEMA's right to disallow costs and recover funds on the basis of a later audit or monitoring.
- 2) The Grantee's obligation to return any funds due as a result of later refunds, corrections, or other transactions. Refund of excess federal funds to FEMA will be processed through a check made payable to FEMA. Over-payment will be mailed to FEMA Regional Administrator.

DEVELOPMENT AND MAINTENANCE

All updates and or amendments to this Plan will be prepared by the SHMO and submitted through the GAR/State Director to the FEMA Regional Administrator for approval. As Attachments are updated, the SHMO will notify the Mitigation Branch Point of Contact.

New Mexico
Hazard Mitigation Administrative Plan
CFDA 97.039

Attachment 1
Notice of Interest



New Mexico Department of Homeland Security and Emergency Management

Mitigation Grant Notice of Interest (NOI)



For inquiries or submission contact: State Mitigation Program dhsem.mitigation@state.nm.us P.O. Box 27111 Santa Fe, NM 87502 Phone: 505-476-9682 Fax: 505-476-9650

- 1. Name of Applicant: Date:
2. Type of Applicant:
3. Project Point of Contact: Phone:
4. Address: E-Mail Address: Fax:
5. Provide a description of the planning project or construction project:
6. List the specific area affected by the proposed planning project or construction project (Tribal Entity, County, City, Subdivision, Street):
7. What hazards does the project address?
8. Total estimated cost of planning project or construction project:
9. Does the applicant have an approved Mitigation Plan? Y N
10. Will applicant guarantee the mandatory local match is available? Y N
11. If this is a construction project, percentage of population served? %
12. If this is a construction project, estimate the benefit:cost ratio (benefits in monetary value for future damages avoided. Costs equal all associated studies, project management, application development, etc.)

I acknowledge all information in this form is true and correct. The document has been approved according to the local jurisdiction procedures and policies.

Name/Title (print) Signature (Authorized Agent)

This is not an application and does not constitute funding approval by DHSEM or FEMA. DO NOT begin any project without prior written approval from DHSEM.

New Mexico
Hazard Mitigation Administrative Plan
CFDA 97.039

Attachment 2
Sub-grant Orientation Packet



DHSEM
New Mexico

New Mexico Hazard Mitigation Assistance Sub-grant Orientation Guidelines

Acknowledgment

My signature below is in agreement that I have reviewed the content of this Hazard Mitigation Assistance Sub-grant Orientation packet with the DHSEM representative named below.

Entity:

Signature:

Name (printed):

Title:

Date:

DHSEM Representative:

Signature:

Name (printed):

Title:

Date:

This document outlines the general requirements to implement your DHSEM mitigation Sub-grant Agreement. The following are guidelines that summarize the Sub-grant Agreement. All Sub-grant Agreement requirements must be met. Hazard Mitigation Assistance Sub-grantees have the final legal responsibility for the awarded funding, locally maintained grant files, the timely submission of reports, and compliance with program guidelines

1. **Read the Sub-grant**

We encourage the Sub-grantee to read through the entire Sub-grant Agreement prior to signature. There are programmatic, financial and legal aspects to the Agreement. Signatures from the Sub-grantee constitute concurrence with all aspects of the Agreement.

2. **Pre-Award Cost**

Pre-award costs are those incurred by the sub-recipient between the effective date of the grant application period and the date of the final Hazard Mitigation Assistance project award by FEMA. Eligible activities are restricted to application development. The costs for eligible pre-award activities must be included in the total project cost, reflected in the benefit cost analysis when one is required, and specifically identified in the application budget. Upon approval of the project, these costs are eligible for reimbursement or for use in meeting the federal fund matching requirement. All requests for reimbursement are subject to the same State review for eligibility and require documented support.

3. **Sub-grant Execution Prior to Any Work**

The Sub-grant Agreement must be executed before project implementation can begin or reimbursements can be requested. **The Sub-grantee may not implement any project activities prior to Sub-grant Agreement execution and must follow all requirements in the Sub-grant Agreement.**

4. **Reporting and Recordkeeping**

Before the start of actual project activities, the Sub-grantee should review each major project activity to determine what Federal, State and local requirements may apply. Record-keeping is necessary to meet all requirements of the Sub-grant Agreement, including Federal, State, Tribal, local, and program requirements.

Quarterly Performance Reports

The *Quarterly Performance Report* (QPR) must be received by DHSEM no later than the 15th day of the month following the end of each quarter. The quarterly report should provide all up-to date information on the project including any reason for delays. A quarterly report is due each quarter regardless of progress and shall be submitted to catherine.watson@state.nm.us as identified in the Sub-grant Agreement (also listed below). The Mitigation Program staff will provide comments, approve the *Quarterly Performance Report*, and return a State Approved version for the Sub-grantee’s records. The Sub-grantee should read the State comments and contact dhsem.mitigation@state.nm.us with any questions. **No reimbursement can be made until all quarterly reports are up to date and the Sub-grantee is in compliance with all requirements.** Attached is an example of the *Quarterly Performance Report* (Attachment A, Page 4).

Quarter	Reports for Months	Due On
1 st	October – December	January 15 th
2 nd	January – March	April 15 th
3 rd	April – June	July 15 th
4 th	July – September	October 15 th

Quarterly Financial Report

The *Quarterly Financial Report* (QFR) follows the same schedule requirements as the performance reports above. The information will be used by DHSEM to monitor compliance with regulations. Submit completed reports to catherine.watson@state.nm.us. **No reimbursement can be made until all quarterly reports are up to date and the Sub-grantee is in compliance with all requirements.** Attached is an example of the *Quarterly Financial Report* (Attachment B, Page 5)

5. **Procurement and Contracts**

The Sub-grant Agreement states the procurement and contracting requirements. All applicable Federal, State and local laws must be followed. **Documentation must be pre-approved by DHSEM prior to execution.** See the attached *Procurement Third Party Review and Approval Checklists*; there is one for the Mitigation Program (Attachment C, Page 6) and one for the Grants Management Unit (Attachment D, Page 7).

6. **Reimbursements**

Reimbursement payments are based on the eligible and properly documented costs submitted to the State. Each reimbursement request should include matching funds documentation. All reimbursement requests must be accompanied by supporting documentation such as copies of invoices, delivery receipts, timesheets, certified payroll reports, warrants, contracts, etc. The request for reimbursement, now called an “Invoice” is attached (Attachment E, Page 8). Reimbursement will not be approved if quarterly reporting is delinquent. As stated in the Sub-grant Agreement, reimbursement can be requested as needed, with no minimum. An Invoice is required to be submitted every quarter and is due no later than the 15th of the month following the close of the quarter. If there were no expenditures during the quarter, an email notification must be remitted to the Mitigation Sub-grant Analyst with an explanation. Reimbursement will be approved with proof of the required match. (Match submitted per invoice must meet at least the minimum percentage required by the Sub-grant Agreement). If more than the percentage, “over-match” will be applied cumulatively in future invoices.

Confirmation of completed work is a requirement for reimbursement approval. Proof of completed work deliverables may be emailed. For construction projects, site visits may be required for approval of reimbursement requests.

7. **Site Visits/Project Meetings**

DHSEM will determine the number of on-site visits needed for each award based on plan or construction activity and needs for on-site technical assistance. At a minimum, the Mitigation Program staff will conduct a Post Award Orientation Meeting and construction project site visits.

Photograph Requirement – Photographs of a land disturbance project site(s) are required prior to construction and after construction. Photographs are required from each direction (north, south, east, and west). These photographs should be labeled ‘Pre-Construction’ and ‘Post-Construction’ or similar.

Initial Site Visit (or conference call) - Once an award has been issued, the Mitigation Program staff will schedule a Post Award Orientation Meeting with the Sub-grantee to discuss the project requirements.

50% Construction Site Visit (if required) - Once a construction related project is 50% complete, the Sub-grantee should request a site visit to verify the progress of the project based on the programmatic requirements and the Scope of Work. Approval of the reimbursement is dependent on confirming the 50% construction completion.

100% Construction Site Visit (if required) - Once construction activities are complete, the Sub-grantee should request a site visit to verify the completion of the project based on the programmatic requirements, Scope of Work, and the budget. Approval of reimbursement is dependent on confirming 100% construction completion. **The final 15% of the Federal share will not be reimbursed until**

DHSEM confirms all activities and final deliverables have been provided. See the Special Conditions section of the Sub-grant Agreement. Sub-grant Amendments

Budget and Scope of Work Revisions

Modifications to the budget or Scope of Work must be requested and approved through DHSEM. The attached *Budget/Scope Revision Form* should be completed with detailed reasoning and justification (Attachment F, Page 9). It takes at least 30 days to process a complete formal request; if FEMA approval is required it could take several months. Request should be made as soon as possible for any of the following changes:

- a. Scope of Work - This includes revisions to details about the proposed project or plan, such as acres of land for wildfire mitigation, sizes and locations of components of drainage projects, and level of protection. Any changes in the original Scope of Work may trigger re-evaluation of all eligibility, benefit cost analysis and environmental compliance;
- b. Budget Revision – If any one line item in the approved cost estimate is proposed for more than a 10% change, FEMA Region must approve the modification prior to the Sub-grantee taking action based on the revised budget. If the Sub-grantee is proposing less than a 10% change to any one line item in the approved cost estimate, DHSEM must approve the modification prior to the Sub-grantee taking action based on the revised budget. In either case, the *Budget/Scope Revision Form* must be submitted to DHSEM along with a revised cost estimate that clearly shows the modifications from the original approved cost estimate
- c. Budget Increase – If Federal or non-federal fund amounts increase, approval is required for any change to the budget, even moving funds from one line item to another. New cost share agreements may need to be approved;
- d. Any additional changes that could affect the overall project scope, budget, or timeline.

Sub-grant Extension

An extension of the Sub-grant Period of Performance must be requested sixty (60) days prior to the end of the period of performance. DHSEM will review the justification and notify the Sub-grantee of approval or denial. The attached *Sub-grant Extension Request Form* should be completed and provided along with a modified schedule (Attachment G, Pages 10 and 11). The revised schedule should clearly show the modifications from the original approved schedule and include the schedule for all activities (even pre-award, if being requested).

8. Close-out

DHSEM will initiate the Sub-grant Agreement close-out after all Scope of Work tasks have been completed, after all reimbursements have been processed, and all quarterly reports are up-to-date. The Sub-grantee will be asked to sign a Grant Adjustment Notice to confirm the remaining amount of federal funding (if any) and to sign a Certification of Completion Form confirming that all federal, state, and local regulations have been followed. DHSEM will then process the close-out documentation and receive a formal close-out letter from FEMA. The letter will be provided to the Sub-grantee. All documentation is to be completed within ninety (90) days after the Period of Performance.

Attachments:

Please check with your Administrative Services Bureau Sub-grant Analyst (identified on your Sub-grant Agreement) for the most recent forms.

- Attachment A: Quarterly Performance Report; Page 4
- Attachment B: Quarterly Financial Report; Page 5
- Attachment C: Procurement Third Party Review and Approval Checklist – Mitigation Program; Page 6
- Attachment D: Procurement Third Party Review and Approval Checklist – Grant Management Unit; Page 7
- Attachment E: Invoice; Page 8
- Attachment F: Budget/Scope Revision Form; Page 9
- Attachment G: Sub-grant Extension Request Form; Pages 10 and 11

Attachment A: Quarterly Performance Report

 STATE OF NEW MEXICO DEPARTMENT OF HOMELAND SECURITY & EMERGENCY MANAGEMENT 	
Mitigation Program Quarterly Performance Report (QPR)	
Sub-Grantee Name:	Project Title:
DHSEM Sub-Grant Number:	FEMA Award Number:
	EMT Number (PDM only):
	Date of award:
DUNS Number:	Percentage Completed:
EIN:	Period of Performance:
Federal Share: \$	Report Quarter:
Local Match: \$	Select Reporting Quarter / Year
Total Sub-Grant:	Oct-Dec 1st Quarter
Narrative Report (attach additional sheets if necessary):	
Problems/Delays Encountered and Reasons Why:	
Sub-Grant Contact	
_____	_____
<small>TYPED NAME</small>	<small>SIGNATURE (digital accepted)</small>

	<small>DATE</small>
DHSEM USE ONLY BEYOND THIS LINE	
State Comments:	
Anticipated cost overrun <input type="checkbox"/>	Change in Scope of Work <input type="checkbox"/>
Extension in Performance Period <input type="checkbox"/>	

Attachment B: Quarterly Financial Report

DRAFT

STATE OF NEW MEXICO							
		DEPARTMENT OF HOMELAND SECURITY AND EMERGENCY MANAGEMENT					
		QUARTERLY FINANCIAL PROGRESS REPORT					
The information in this report will be used by the grantor agency to monitor grantee cash flow, grantee performance and project implementation to ensure proper use of Federal funds. No further monies or other benefits may be paid out under this program unless this report is completed and filed as required. All reimbursement requests must be accompanied by supporting documentation such as copies of invoices, delivery receipts, timesheets, certified payroll reports, warrants, contracts, etc.							
1. GRANTEE NAME & ADDRESS				2. SUB GRANT NUMBER		3. REPORT DUE BY:	
						MM/DD/YYYY	
				4. QUARTER NUMBER		FROM:	
						TO:	
5. GRANT YEAR	6. GRANT TYPE			7. TOTAL AWARDED AMOUNT	8. REPORT TYPE (QUARTERLY OR FINAL)		
9. BUDGET TABLE							
	EQUIPMENT	EXERCISE	TRAINING	PLANNING	SALARY	BENEFITS	EMERGENCY MANAGEMENT OPERATING COSTS
Total Awarded Amount	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Total Previously Reported Expenditures	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Total Reimbursement Requested To Date	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Total Payments Received To Date	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Total Expenditures This Quarter	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Reimbursement Requested This Quarter	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Local Match To Date	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Grant Amount Remaining	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CERTIFICATION BY GRANTEE: I certify that the financial expenditures submitted for reimbursement with this report, including supporting documentation, are eligible, and allowable expenditures consistent with the project goals and objectives and grant guidance, have not been previously requested, and that payment is due.							
SIGNATURE OF FINANCIAL REPRESENTATIVE							DATE

Attachment C: Procurement Third Party Review and Approval Checklist – Mitigation Program

2 CFR 200.331

Name of Sub-grantee; _____

Name of Project; _____

Sub-grant Number; _____

Name of Third Party; _____

Check all that apply;

- RFP/RFQ Review
- Original Contract
- Amendment to Contract Number ____
- On-call Contract
- Task Order (or similar) Number ____
- Pre-award
- Post-award

The Department of Homeland Security and Emergency Management, Mitigation Program will ensure the following during third-party contract review:

- Scope of Work clearly defined
FEMA Procurement Guidance, Ch. IV (4)(a), (10)(b)(i)
- Scope of Work sufficient for pre-award work
FEMA Procurement Guidance, Ch. II, (3)(d)(i)
- Deliverables clearly identified
FEMA Procurement Guidance, Ch. IV (10)(b)(iii)
- Payment Schedule
FEMA Procurement Guidance Ch. IV (10)(b)(vi)
- Length of contract does not exceed the Sub-grant expiration
FEMA Procurement Guidance, Ch. II, (3)(c)

Approved by;

Signature

Date

= Reviewed and Approved

NA = Not Applicable

Attachment D: Procurement Third Party Review and Approval Checklist – DHSEM

Sub-Grant Number: _____

Sub-Recipient Name: _____

Contractor Name: _____

Contract Amount: _____

Contract Description: _____

The Department of Homeland Security and Emergency Management, Grants Management Unit will ensure the following during third-party contract review:

- The contractor has a DUNS and it is in good standing No. _____;
- The contractor is **NOT** listed on the debarred vendor list Federal State;
- The third-party agreement/contract falls within the approved budget;
- The third-party contract / agreement contains “termination” language;
- Local and/or Tribal Procurement regulations are provided; and
- Procurement documentation in accordance with NMAC 1.4.1 PROCUREMENT CODE REGULATIONS, including applicable use of State Pricing Agreement “SPA” (Check here if using SPA _____)
 - Small Purchase (NMAC 1.4.1.50 SMALL PURCHASES OF \$20K OR LESS):
 - Proof of Best Obtainable Price
 - *NMAC 1.4.1.7 DEFINITIONS 2) “Best obtainable price” means that price at which services or goods can be purchased which is most advantageous to the purchasing entity; best obtainable price can be found by obtaining quotes or other appropriate methods; where there is only one vendor available for such a purchase utilizing a direct purchase order in accordance with statute (such as an entity requiring dues, for example), the price would be the best obtainable price since it is the only possible price for that particular procurement.
 - Small Purchase (NMAC 1.4.1.51 SMALL PURCHASES OF ITEMS OF TANGIBLE PERSONAL PROPERTY, CONSTRUCTION AND NONPROFESSIONAL & PROFESSIONAL SERVICES GREATER THAN \$20K BUT NOT EXCEEDING \$60K)
 - 3 Written Quote – N/A for Professional Services
 - Sole Source (NMAC 1.4.1.54 SOLE SOURCE PROCURMENT OF ITEMS OF TANGIBLE PERSONAL PROPERTY, CONSTRUCTION AND NONPROFESSIONAL SERVICES any amount)
 - Determination of Sole Source Letter;
 - Public Notice of Sole Source Procurement (SHALL BE POSTED FOR 30 DAYS AND SPECIFICATION SHALL BE IN DETAIL);
 - Protests, if any and coinciding responses.
 - Large Purchases (NMAC 1.4.1.16 INVITATION FOR BID (“IFB”) over \$60K)
 - IFB, and if applicable Amendment to IFB;
 - Public Notices (3 newspapers for 10 days);
 - Pre-Bid Conference Sign-in Sheet and Agenda;
 - All bids in response to IFB; and
 - Bid Evaluation, and
 - Award.
 - Large Purchases (NMAC 1.4.1.31 REQUEST FOR PROPOSALS (RFP) over \$60K)
 - Request for Proposal (RFP), and if applicable, Amendments to RFP;
 - RFP Legal Notice (3 newspapers for 20 or more days);
 - Pre-Proposal Conference Sign-in Sheet and Agenda;
 - All Proposals to RFP
 - Proposal Evaluations; and
 - Award.

Sub Grant Analyst

Date

Grant Manager or ASB Bur. Chief

Date

Attachment E: Invoice

NEW MEXICO DEPARTMENT OF HOMELAND SECURITY AND EMERGENCY MANAGEMENT

INVOICE



TYPE OF GRANT:

SUB-GRANTEE INFORMATION	
<small>*Exactly as specified on Sub-Grant Agreement</small>	
A. Sub- Grant No.:	_____
B. Termination Date:	_____
C. Recipient's Name:	_____
D. Address:	_____
E. Contact:	_____
F. Phone:	_____
G. Email:	_____

INVOICE INFORMATION
Date: _____
Quarter: _____
Invoice #: _____
Partial Payment Amount: \$ _____
Final Payment Amount: \$ _____
REMIT TO ADDRESS: <small>(Must correspond with w-9 on file)</small>

FOR DHSEM USE ONLY	
SHARE Vendor Number:	_____
P.O. Number:	_____
P.O. Line Item Numbers:	_____
Voucher Number:	_____
Payment:	<input type="checkbox"/> Final <input type="checkbox"/> Partial Amount: _____
Prior Year:	<input type="checkbox"/> Yes <input type="checkbox"/> No Date: _____
Quarterly Reports Current:	<input type="checkbox"/> Yes <input type="checkbox"/> No
Reviewed By Analyst:	_____
LOCAL PREPAREDNESS PROGRAM REVIEW	
<small>The aforementioned Jurisdiction has met all programmatic performance requirements; and has no outstanding compliance issues. Print Name: _____</small>	
Signature: _____	Date: _____

PROJECT / CATEGORIES	PW#	APPROVED BUDGET		INVOICE AMOUNT <small>(This Request)</small>		INVOICE THIS AMOUNT TO DATE <small>(Not including This Request)</small>		REMAINING BALANCE	
		SUB-GRANT FUNDS	COST MATCH FUNDS	SUB-GRANT FUNDS	COST MATCH FUNDS	SUB-GRANT FUNDS	COST-MATCH FUNDS	SUB-GRANT FUNDS	COST-MATCH FUNDS
1		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
2		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
3		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
4		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
5	TOTAL	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

SUB-GRANTEE CERTIFICATION	
I, _____ do hereby certify: 1) the information on this invoice is true and correct; 2) the match requirement has been met; and 3) the attached back-up documentation is valid.	
Sub-Grantee Representative (signature): _____	Date: _____
I, _____, certify this invoice and all of its backup documentation has been reviewed and is in accordance with corresponding grant and sub-grant requirements.	
Sub-Grantee Fiscal Officer (signature): _____	Date: _____
FOR DHSEM USE ONLY	
DHSEM Grant Specialist (print name): _____	
DHSEM Grant Specialist (signature): _____ Date: _____	
DHSEM Grant Unit Manager (print name): _____	
DHSEM Grant Unit Manager (signature): _____ Date: _____	

DLA 7/5/2017

Attachment F: Request for Budget/Project Revision

 <p style="text-align: center;">STATE OF NEW MEXICO Department of Homeland Security and Emergency Management</p> <p style="text-align: center;">REQUEST FOR BUDGET/PROJECT REVISION</p> <p>DHSEM New Mexico</p>		
The information provided will be used by the grantor agency to monitor grantee performance and project implementation to ensure proper use of Federal funds. No future monies or other benefits may be paid out under this program unless this report is completed and filed on time as required. The Narrative Progress Report must support the expenditures in the Financial Progress Report.		
1. SUB-RECIPIENT NAME AND ADDRESS	2. SUB GRANT NUMBER	3. REQUEST NUMBER
4. SHORT TITLE OF PROJECT: Use one form per program. Check appropriate box above.		5. TOTAL AWARD AMOUNT—NEW TOTAL AWARD AMOUNT
6. NAME AND TITLE OF PROJECT MANAGER	7. SIGNATURE OF PROJECT MANAGER	
8. EXTENSION JUSTIFICATION HERE		
<p>1. Explain in detail the jurisdiction's need with regard to the requested revision:</p>		
<p>2. Explain the category that the requested budget would apply toward. Breakdown the anticipated cost per project:</p>		
<p>3. Explain in detail how the jurisdiction will ensure that the project is completed within the time frame allowed for project completion:</p>		
<p>Break Down of New Award Costs</p> <p>Total Award Amount: Federal Share: State Share: Local Share:</p>		
<p>Approved <input type="checkbox"/> Denied <input type="checkbox"/></p> <p>Grant Unit Manager Signature: _____ Date: _____</p>		
<p>Approved <input type="checkbox"/> Denied <input type="checkbox"/></p> <p>Mitigation Specialist Signature: _____ Date: _____</p>		



DHSEM
New Mexico

STATE OF NEW MEXICO
Department of Homeland Security and Emergency Management

REQUEST FOR GRANT EXTENSION

The information provided will be used by the grantor agency to monitor grantee performance and project implementation to ensure proper use of Federal funds. No further monies or other benefits may be paid out under this program unless this report is completed and filed on time as required. The Narrative Progress Report must support the expenditures in the Financial Progress Report.

1. SUB-RECIPIENT NAME AND ADDRESS		2. SUB GRANT NUMBER	3. EXTENSION NUMBER
4. SHORT TITLE OF PROJECT: Use one form per program. Check appropriate box above.		5. TOTAL AWARD AMOUNT	
		\$0.00	
6. NAME AND TITLE OF AUTHORIZED MANAGER		7. SIGNATURE OF AUTHORIZED MANAGER	

8. EXTENSION JUSTIFICATION HERE

Purposed Extension Date

Explain why the grant was not accomplished within the original period of performance:

Provide the reason(s) the extension is needed:

What action has been taken by the sub-recipient to ensure that if an extension is granted the grant objectives will be accomplished within the extended period of performance:

What are the consequences, if the period of performance extension is not approved:

Provide a plan for completion including milestones and timeframes for achieving each milestone and the position/person responsible for implementing the plan for completion:

Provide certification that the activity/activities will be completed within the extended period of performance without any modification to the original scope of work:

DRAFT Attachment G: Request for Grant Extension

Budget Breakdown:

Planned Expenditures		
Training	Date (If Applicable)	\$
Total Training		
Planning		\$
Total Planning		
Equipment		\$
Total Equipment		\$
Regional Exercises		
Total Exercises		
GRAND TOTAL		\$

Approved Denied

Mitigation Specialist Signature: _____ Date: _____

Reason Denied:

New Mexico
Hazard Mitigation Administrative Plan
CFDA 97.039

Attachment 3
Sub-grant Application – Plan



**NEW MEXICO DEPARTMENT OF HOMELAND
SECURITY & EMERGENCY MANAGEMENT**



**Hazard Mitigation Planning Sub-grant
Application**

Initial Application Date:	Application Revision Date:
Jurisdiction:	
Project Name:	
Project Budget:	
Participating Communities/Tribal Entities:	
Document Checklist	
<input type="checkbox"/> Completed Application <i>(Section 1 of Application, page 2)</i>	
<input type="checkbox"/> Assurances and Certifications <i>(Section 2 of Application, page 7)</i>	
<input type="checkbox"/> Scope of Work <i>(Example in Section 3 of Application, page 12)</i>	
<input type="checkbox"/> Schedule <i>(Example in Section 3 of Application, page 13)</i>	
<input type="checkbox"/> Cost Estimate <i>(Example in Section 3 of Application, page 14)</i>	
<input type="checkbox"/> Commitment of 25% Match Letter <i>(Example in Section 3 of Application, page 15)</i>	
<input type="checkbox"/> Participation letters from jurisdictions/tribes <i>(Example in Section 3 of Application, page 16)</i>	
<input type="checkbox"/> Standard Form 424 <i>(Separate digital file) Must accompany application</i>	

Submit one hard copy, and one digital copy of the completed application via one of the addresses below.

Fed Ex or UPS

State Hazard Mitigation Program
NM DHSEM
13 Bataan Blvd.
Santa Fe, NM 87508

US Postal Service

State Hazard Mitigation Program
NM DHSEM
PO Box 27111
Santa Fe, NM 87502

INSTRUCTION NOTES:

- Please feel free to attach additional sheets if more space is needed.
- Please provide a list of all attachments.
- Fields marked with a **red** asterisk are required.
- For questions or more information please contact DHSEM.Mitigation@state.nm.us or call 505-476-9682

I, _____, hereby sign this application as of (date) _____, 201__ Check appropriate box below:

<input type="checkbox"/> Title:	Will operationally manage and coordinate the day-to-day project activities.
<input type="checkbox"/> Title:	Authorized to certify financial expenditures and records.

SECTION 1

Sub-applicant Information			
*Name of Sub-Applicant:		*State:	New Mexico
*Type of Sub-Applicant (Check one)	<input type="checkbox"/> Local Government <input type="checkbox"/> Indian Tribal Government <input type="checkbox"/> Other:	<input type="checkbox"/> Special Government District <input type="checkbox"/> Private Non-Profit	
If private, Non-Profit, describe the legal status, function, and facilities owned:			
*State Gross Receipts /Combined Reporting System Tax number: (e.g. 11-111111-111)			
*State Department of Finance and Administration Vendor number:			
*Federal EIN/Tax number: (e.g. 11-1111111)			
<i>If other, please specify:</i>			
Tribal ID Number			
*DUNS Number			
*Is Sub-application subject to review by executive order 12372 Process?	<input type="checkbox"/> YES	<input checked="" type="checkbox"/> NO	
*Is the Sub-applicant delinquent on any federal debt?	<input type="checkbox"/> YES	<input checked="" type="checkbox"/> NO	
If yes, provide explanation:			

Primary Contact			
*First and Last Name			
*Title:			
*Agency/Organization:			
*Address:			
*City:	*State:	New Mexico	*Zip Code
*Phone:	*Fax:		*Other:
*E-Mail:			

Alternate Contact			
*First and Last Name			
*Title:			
*Agency/Organization:			
*Address:			
*City:	*State:	New Mexico	*Zip Code
*Phone:	*Fax:		*Other:
*E-Mail:			

General Community Information	Community 1	Community 2	Community 3
Participating Jurisdiction Name			
Federal Identification Processing Standard Code (FIPS Code)			
State Legislative District			
US Congressional District			
Community Identification Number (CID Number for National Flood Insurance Program)			
Community Rating System Number (Part of National Flood Insurance Program)			
Is the community a Cooperating Technical Partner? (Part of National Flood Insurance Program)	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO
Firewise Community Number			
Has the community adopted the National Fire Protection Association Codes (NFPA 5000)?	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO
Has the community adopted building codes consistent with the International Codes?	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO
What is the community's Building Code Effectiveness Schedule (BCEGS) rating?			

Current State Mitigation Plan

* Does the State in which the entity is located have a current FEMA-approved multi-hazard mitigation plan in compliance with 44 CFR Part 201? YES NO Not Known

If yes, please answer the following:

* What is the name of the plan? **New Mexico Natural Hazard Mitigation Plan**

* What is the type of plan? **Standard State Plan**

* What is the expiration date of the State Plan? **September 18, 2018**

Current Community Mitigation Plan

* Is the entity that will benefit from the proposed activity covered by a current FEMA-approved multi-hazard mitigation plan in compliance with 44 CFR Part 201? "Yes" only if currently active. YES NO Not Known

* If yes, please answer the following:

* What is the name of the plan? _____

* What is the type of plan? Check all that apply: Local Tribal Multi-Jurisdictional Multi-Hazard

* When was the plan approved by FEMA? _____

If no, please explain current status of Mitigation Plan up-date or creation: _____

* Does the entity have any other mitigation plan adopted? YES NO Not Known

If yes, what is the name of the plan and the date it was adopted? _____

All Previous FEMA Planning and Project Sub-grants

*Type of Sub-grant	Performance Period		Federal Share Amount
	Beginning Date	Ending Date	
TOTAL			

Planning Activity Description

*Title of your proposed planning activity (for example “Plan Up-date or “New Plan”). If a plan update, please describe the evaluation process of the existing plan for its strengths, weaknesses and utility. Describe how deficiencies will be addressed.

*Describe the geographic area(s) to be covered by the plan. Provide an overview of the community (or communities for a multi-jurisdictional plan) including population, primary industry, unique resources, etc. *Attach a map showing all jurisdictions participating.*

*Identify hazard(s) to be mitigated (*Check all that apply*)

<input type="checkbox"/> Biological	<input type="checkbox"/> Drought	<input type="checkbox"/> Freezing	<input type="checkbox"/> Severe Ice Storm(s)	<input type="checkbox"/> Tornado
<input type="checkbox"/> Chemical	<input type="checkbox"/> Earthquake	<input type="checkbox"/> Land Subsidence	<input type="checkbox"/> Severe Storm(s)	<input type="checkbox"/> Toxic Substances
<input type="checkbox"/> Civil Unrest	<input type="checkbox"/> Fire	<input type="checkbox"/> Mud/Landslide	<input type="checkbox"/> Snow	<input type="checkbox"/> Volcano
<input type="checkbox"/> Dam/Levee Break	<input type="checkbox"/> Flood	<input type="checkbox"/> Nuclear	<input type="checkbox"/> Special Events	<input type="checkbox"/> Windstorms
			<input type="checkbox"/> Terrorist	<input type="checkbox"/> Other:

***Please attach a Scope of Work. An example of a Scope of Work is located in Section 3 (page 12) of the Application.**

*Describe the process for implementing the planning activity, including the following plan development requirements: 1) participation of agencies, stakeholders and the public; 2) hazard identification and risk/vulnerability assessment; 3) mitigation strategy; 4) plan adoption; and 5) plan maintenance.

*What are the primary sources of information and data? How will the data be incorporated into existing planning mechanisms? (State of NM Hazard Mitigation Plan, COOP Plan, EOP, etc.)

*What staff and resources will be used to implement this planning activity? (Describe internal staffing, Sub-grant oversight,) Who will be the responsible internal staff member for project management? What are the specific tasks that will be performed by a consultant?

*Describe how this planning activity will benefit your community and how the plan/data will be used to promote resiliency.

*How will this mitigation activity leverage involvement of partners to enhance its outcome?

*Describe at least 3 alternative actions (creation or up-date of the plan will be one of the alternatives)

An example for alternatives wording is below. Please modify the text to meet your community's needs.

1. If no action is taken to up-date/create the Mitigation Plan, hazard and risks will not be identified through a multi-stakeholder planning process and the community will no longer be eligible for federal mitigation grant funds.
2. Another alternative would be to up-date/create and adopt a plan using existing personnel. However, with current limited resources and staffing, this alternative does not meet the immediate need for up-dating/creating the Mitigation Plan.
3. The most effective alternative would be to apply for grant funding opportunities to up-date/create the Mitigation Plan using a consultant.

Project Schedule

**Please attach a Project Schedule. An example of a Schedule is located in Section 3 (page 13) of the Application*

Cost Estimate

**Please attach a Cost Estimate. An example of a Cost Estimate is located in Section 3 (page 14) of the Application*

Cost Share

*Plan Cost Estimate			
		Dollars	Percentage
*Proposed Federal Share (up to 75%)	\$		%
*Proposed Non-Federal Share	\$		%

Non-Federal Funds

*Source Agency	*Name of Fund	*Funding Type (In-kind, cash, etc.)	*Amount (\$)
			\$
			\$
			\$
Grand Total			\$

Describe non-federal cost share:

SECTION 2

Assurances and Certifications	
Forms	Status
Part I: FEMA Form 20-16A, Assurances Non-Construction Programs.	<input type="checkbox"/> Incomplete <input type="checkbox"/> Complete
Part II: FEMA Form 20-16C, Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibilities Matters; and Drug-Free Workplace Requirements.	<input type="checkbox"/> Incomplete <input type="checkbox"/> Complete
Part III: SF-LLL, Disclosure of Lobbying Activities (Complete only if applying for a Sub-grant of more than \$100,000 and have lobbying activities using Non-Federal funds. See Form 20-16C for lobbying activities definition.)	<input type="checkbox"/> Incomplete <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable

FEMA Form 20-16A, Assurances-Non-Construction Programs

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 USC Section 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 CFR 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (PL 89-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 USC Section 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 USC Section 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 USC Section 6101-6107), which prohibits discrimination on the basis of age; (e) The Drug Abuse Office and Treatment Act of 1972 (PL 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (PL 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) Sections 523 and 527 of the Public Health Service Act of 1912 (42 USC 290-dd-3 and 290-ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 USC Section 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) Any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) The requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (PL 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provisions of the Hatch Act (5 USC Section 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of Davis-Bacon Act (40 USC Section 276a to 276a-7), Copeland Act (40 USC Section 276c and 18 USC 874), and the Contract Work Hours and Safe Standards Act (40 USC Section 327-333), regarding labor standards for federally assisted construction sub-agreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster

Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (PL 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 USC Section 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 USC Section 17401 et seq.); (g) protection of underground source of drinking water under the Safe Drinking Water Act of 1974, as amended, (PL 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (PL 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 USC Section 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 USC Section 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 USC Section 469a-1 et seq.)
14. Will comply with PL 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (PL 89-544, as amended, 7 USC 2131 et seq.) pertaining to the care, handling, treatment of warm blooded animals held research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 USC Section 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.
19. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act (29 USC Section 201), as they apply to employees of institutions of higher education, hospitals, and other non-profit organizations.

I, _____, hereby sign this form as of _____.

FEMA Form 20-16C

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature on this form provides for compliance with certification requirements under 44 CFR Part 18, "New Restrictions on Lobbying; and 28 CFR Part 17, "Government-wide Debarment and suspension (Non-procurement) and Government-wide Requirements for Drug-Free Workplace (Sub-grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Federal Emergency Management Agency (FEMA) determines to award the covered transaction, Sub-grant, or cooperative agreement.

1. LOBBYING

A. As required by the section 1352, Title 31 of the US Code, and implemented at 44 CFR Part 18 for persons entering into a Sub-grant or cooperative agreement over \$100,000, as defined at 44 CFR Part 18, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal Sub-grant, the entering into of any cooperative agreement and extension, continuation, renewal, amendment, or modification of any Federal Sub-grant or cooperative agreement;

(b) If any other funds than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal Sub-grant or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities", in accordance with its instructions;

Standard Form LLL Disclosure of Lobbying Activities Attached

(c) The undersigned shall require that the language of this certification be included in the award documents for all the sub awards at all tiers (including sub-Sub-grants, contracts under Sub-grants and cooperative agreements, and subcontract(s) and that all sub-recipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 44 CFR Part 67, for prospective participants in primary covered transactions, as defined at 44 CFR Part 17, Section 17.510-A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civilian judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or perform a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or locally) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

Explanation:

3. DRUG-FREE WORKPLACE (SUB-GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 44 CFR Part 17, Subpart F, for Sub-grantees, as defined at 44 CFR part 17, Sections 17.615 and 17.623:

- (A) The applicant certifies that it will continue to provide a drug-free workplace by:
 - (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Sub-grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - (b) Establishing an on-going drug free awareness program to inform employees about:
 - (1) The dangers of drug abuse in the workplace;
 - (2) The Sub-grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - (c) Making it a requirement that each employee to be engaged in the performance of the Sub-grant to be given a copy of the statement required by paragraph (a);
 - (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the Sub-grant, the employee will:
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employee in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction.
 - (e) Notifying the agency, in writing within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to the applicable FEMA awarding office, i.e. regional office or FEMA office.
 - (f) Taking one of the following actions against an employee, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Require such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement or other appropriate agency.
 - (g) Making a good effort to continue to maintain a drug free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

(B) The Sub-grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific Sub-grant:

*** Place of Performance**

Street	City	State	Zip

Section 17.630 of the regulations provides that a Sub-grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for FEMA funding. States and State agencies may elect to use a Statewide certification.

I, _____, hereby sign this form as of _____.

Standard Form LLL: Disclosure of Lobbying Activities

* 1. Type of Federal Action	* 2. Status of Federal Action	* 3. Report Type
<input type="checkbox"/> a. contract <input type="checkbox"/> b. Sub-grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post award	<input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <i>For Material Change Only:</i> Year : _____ Quarter : _____ Date of Last Report : _____
4. * Name and Address of Reporting Entity: Reporting Entity Type: <input type="checkbox"/> Prime <input type="checkbox"/> Sub-Awardee Tier, if known: Congressional District, If known:		5. If Reporting Entity in No.4 is a Sub-Awardee, Enter Name and Address of Prime: Congressional District, if known:
* 6. Federal Department/Agency	* 7. Federal Program Name/Description CFDA Number, if applicable:	
8. Federal Action Number, if Known:	9. Award Amount, if Known: \$	
10a. Name and address of Lobbying Registrant: <i>(if individual, last name, first name, MI)</i>	10b. Individuals Performing Services: <i>(including address if different from No.10a)</i> (Last Name, First Name, MI)	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.		

I, _____, hereby sign this form as of _____.

SECTION 3

Hazard Mitigation Plan Scope of Work Example

Note: Plan must meet all requirements of CFR 44 201.6 (local jurisdiction) and/or CFR 44 201.7 (tribal)

Task 1: Select contractor according to local jurisdiction or tribal procurement regulations AND State procurement regulations

Task 2: Establish Hazard Mitigation Planning Team Meeting and Conduct meetings throughout the planning process

- Identify key stakeholders, conduct notification process and form Hazard Mitigation Plan (HMP) Planning Team.
- Discuss background, current/ongoing initiatives and the approach desired for public involvement.
- Conduct kick-off meeting with primary contact from each participating jurisdiction.
- Provide the HMP Team and stakeholders with a detailed agenda for Plan creation or up-date.
- Meet with the Planning Team (or provide venue for providing input) for the creation or up-date of each section of the Mitigation Plan.
- For an up-date, draft text describing how the up-date addresses deficiencies of the previous plan. FEMA review crosswalk from the previous plan will be included in the up-dated plan.
- Present the planning process to elected and appointed officials of each jurisdiction.
- For multi-jurisdictional plans, coordination among jurisdictions will be determined and explained in text within the plan.

Task 3: Public Involvement (throughout the process)

- Invite all stakeholders (as defined in 44CFR 201) to participate.
- Conduct a public meeting (or other venue) for public review and comment at the draft stage and prior to final adoption.

Task 4: Draft the Plan or Plan Up-date to include Hazard Identification, Risk Assessment, Capability Mitigation Actions, Incorporation with other Plans and Plan Maintenance

- Hazard Identification and Risk Assessment creation or up-date. Create or up-date hazard profiles, location, extent, past occurrence, critical facility inventory, risk assessment, vulnerability and loss estimation. This information will be collected and text drafted for each hazard for each participating jurisdiction.
- Capability Assessment. Create or up-date the inventory of current capability to mitigate each hazard type for each jurisdiction.
- Identify Hazard Mitigation Measures. Create or up-date mitigation activities for each hazard type for each jurisdiction (two actions per hazard per jurisdiction at a minimum). Develop mitigation goals, objectives and mitigation strategies. Research mitigation strategies and mitigation alternatives. Evaluate mitigation strategies and identify priorities.
- Identify opportunities for incorporation of the Mitigation Plan into other planning and implementation documents for each community.
- Describe Plan review, maintenance and up-date approach/schedule.

Task 5: Plan revisions and final adoption

- Present Plan to HMP Planning Team for final review and comment. Incorporate comments.
- Submit plan to NMDHSEM for review and comment. Then, respond to NMDHSEM comments and incorporate changes into draft. Respond to all required rounds of edits. DHSEM will submit the draft Plan to FEMA Region for review and comment. Respond to FEMA comments and incorporate changes into draft. Respond to all required rounds of edits.
- After FEMA issues the Approved Pending Adoption letter, each participating community will adopt the final version of the Plan.
- Submit final version of the Plan with adoption resolutions to DHSEM. DHSEM will submit the final Plan to FEMA for a final approval letter.
- The planning process will result in a FEMA-approved multi-hazard mitigation plan.

Task 6: Provide final close-out documentation to DHSEM.

SCHEDULE EXAMPLE

	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6	Month 7	Month 8	Month 9	Month 10	Month 11	Month 12	Month 13	Month 14	Month 15	Month 16	Month 17	Month 18
Task 1: Select contractor																		
Task 2: Planning Team																		
Task 3: Public Involvement																		
Task 4: Draft the Plan																		
Task 5: Plan revisions & adoption																		
Task 6: Grant close-out																		

COST ESTIMATE EXAMPLE

Item Name	Sub-Sub-grant Budget	Unit Cost (\$)	Unit Quantity	Unit Measure	Federal	Sub-Sub-grant Budget	Unit Cost (\$)	Unit Quantity	Unit Measure	Local
Task 1: Select contractor according to local jurisdiction or tribal procurement regulations AND State procurement regulations.						Personnel	\$25.00	24	Hour	\$600.00
Task 2: Establish Hazard Mitigation Planning Team Meeting and Conduct meetings throughout the planning process	Contractor	\$50.00	120	Hour	\$8,267.00	Personnel	\$25.00	40	Hour	\$1,000.00
Task 3: Public Involvement (throughout the process)	Contractor	\$50.00	40	Hour	\$3,000.00	Personnel	\$25.00	48	Hour	\$1,200.00
Task 4: Draft the Plan or Plan Up-date to include Hazard Identification, Risk Assessment, Capability, Mitigation Actions, Incorporation with other Plans and Plan Maintenance	Contractor	\$50.00	284	Hour	\$16,470.00	Personnel	\$25.00	180	Hour	\$4,500.00
Task 5: Plan revisions and final adoption	Contractor	\$50.00	80	Hour	\$6,650.00	Personnel	\$25.00	32	Hour	\$800.00
Task 6: Provide final close-out documentation to DHSEM.						Personnel	\$25.00	16	Hour	\$400.00
*Travel Costs (per trip \$250 = contractor mileage 164x.55, hotel \$120, meals \$40)	Contractor	\$250.00	6	Each Trip	\$2,500.00					
*Direct Expenses										
- Printing (10 team members x 6 meetings x \$8 per hand-out packet)						Supplies	\$8.00	60	Each	\$480.00
- Printing (40 members of public x 2 community meetings x \$3 per hand-out)						Supplies	\$3.00	80	Each	\$240.00
- County Fair Questionnaire (500 packets x \$.25 per packet)						Supplies	\$0.60	500	Each	\$300.00
- Advertisement with local media (3 newspapers x 2 meetings x \$80 per ad)						Advertisements	\$80.00	6	Each	\$480.00
*Administrative Costs (5% of total project for internal staff oversight as described in Scope of Work)										\$5,000
*Gross Receipts Tax on Services (include exact tax rate for your community)					\$3,613.00					
Total Share					\$37,500.00					\$12,500.00
Project Total					\$50,000.00					
Average \$25 in-kind justification;		Hourly wage w/o benefits**	Quantity	Amount	Average					
Emergency Manager (not EMPG funded)		\$29.00	40	\$1,160.00						
Administrative Assistant		\$17.00	24	\$408.00						
Planning Director		\$34.00	12	\$408.00						
Land Use Planner		\$25.00	40	\$1,000.00						
Floodplain Administrator		\$22.00	24	\$528.00						
			140	\$3,504.00	\$25.03					
<i>*Note: The items in red must be included in the cost estimate if request for reimbursement or invoices will include these items.</i>										

EXAMPLE Letter of COMMITMENT for Planning Sub-grant
(Required for entity contributing to non-Federal share)

PLACE ON YOUR COMMUNITY LETTER HEAD

Date

Wendy Blackwell, CFM
State Hazard Mitigation Officer
NMDHSEM, Preparedness Bureau
P.O. Box 27111, Santa Fe, NM 87502

RE: Matching Funds Commitment Letter for Hazard Mitigation Planning Sub-grant

Dear Ms. Blackwell:

This letter is to serve as the "Funds Commitment Letter" as required for the Unified Hazard Mitigation Assistance Programs specifically regarding the **Hazard Mitigation Plan Up-date or creation** for **name of community**, New Mexico. The **name of community** multi-jurisdictional Hazard Mitigation Plan will include the following jurisdictions and tribal entities; **list all jurisdictions and tribal entities**.

The **community name** has budgeted a total of **\$local cost share amount, which is 25%** of the planning project total. The local match will be in the form of **in-kind services (personnel) and cash (media advertisement and printing)**. **Name of staff contact** will be the primary contact for **the jurisdiction name** in preparing the Hazard Mitigation Plan. **He/she** can be reached at **phone** and **email**.

Sincerely,

Name of authorized agent for the community

Title

EXAMPLE Letter of PARTICIPATION for Planning Sub-grant

(Required for entity or entities that will participate in the planning process and adopt the plan)

PLACE ON YOUR COMMUNITY LETTER HEAD

Date

Wendy Blackwell, CFM
State Hazard Mitigation Officer
NMDHSEM, Preparedness Bureau
P.O. Box 27111, Santa Fe, NM 87502

RE: Participation Letter for **name of lead jurisdiction** Hazard Mitigation Plan

Dear Ms. Blackwell:

This letter is to serve as the "Participation Letter" required for the Unified Hazard Mitigation Assistance Programs specifically regarding the **Hazard Mitigation Plan Up-date or creation** for **name of community**, New Mexico. The **name of your community or tribal entity** will be an active participant in the **name of lead jurisdiction** multi-jurisdictional Hazard Mitigation Plan. The **name of your community or tribal entity** has reviewed the **Local Plan Review Tool and/or the Tribal Planning Guidance**. We understand the expectations of an active participant in the planning process and commit to providing meaningful input into the **name of lead jurisdiction** Hazard Mitigation Plan, and to the Plan's adoption after receiving the FEMA Approval Pending Adoption letter.

Name of staff contact will be the primary contact for the **name of lead jurisdiction** multi-jurisdictional Hazard Mitigation Plan. **He/she** can be reached at **phone** and **email**.

Sincerely,

Name of authorized agent for the community

Title

New Mexico
Hazard Mitigation Administrative Plan
CFDA 97.039

Attachment 4
Sub-grant Application – Project



**NEW MEXICO DEPARTMENT OF HOMELAND
SECURITY & EMERGENCY MANAGEMENT**



**Hazard Mitigation Project Sub-grant
Application**

Initial Application Date:	Application Revision Date:
Jurisdiction:	
Project Name:	
Project Budget:	
Required Document Checklist	
<input type="checkbox"/> Completed Application <i>(Section 1 of Application, page 2)</i>	
<input type="checkbox"/> Assurances and Certifications <i>(Section 2 of Application, page 11)</i>	
<input type="checkbox"/> Commitment of 25% Match Letter	
<input type="checkbox"/> Standard Form 424 <i>(Separate digital file from this application)</i>	
For Construction or field disturbance projects also submit:	
<input type="checkbox"/> Map and photograph of project site	
<input type="checkbox"/> Construction Drawings <i>(100% Complete)</i>	
<input type="checkbox"/> Environmental Considerations Information <i>(Section 3 of Application, Page 18)</i>	
<input type="checkbox"/> Maintenance Agreement Letter	
<input type="checkbox"/> Background or reference studies/reports <i>(H&H studies, FIS, or drainage reports)</i>	

Submit two hard copies, and one digital copy of the completed application via one of the appropriate addresses identified below.

Fed Ex or UPS

Wendy Blackwell, State Hazard Mitigation Officer
NM DHSEM
13 Bataan Blvd.
Santa Fe, NM 87508

US Postal Service

Wendy Blackwell, State Hazard Mitigation Officer
NM DHSEM
PO Box 27111
Santa Fe, NM 87502

INSTRUCTION NOTES:

- Please feel free to attach additional sheets if more space is needed.
- Please provide a list of all attachments.
- Fields marked with a **red** asterisk are required.
- Additional materials may be required after initial review based on the project type.
- For questions or more information please contact Wendy Blackwell at 505-476-9676 or DHSEM.Mitigation@state.nm.us

SECTION 1

Sub-applicant Information			
*Name of Sub-Applicant:		*State: New Mexico	
*Type of Sub-Applicant (Check one)	<input type="checkbox"/> Local Government <input type="checkbox"/> Indian Tribal Government <input type="checkbox"/> Other:	<input type="checkbox"/> Special Government District <input type="checkbox"/> Private Non-Profit	
If private, Non-Profit, describe the legal status, function, and facilities owned:			
*State Tax number: (e.g. 11-111111)			
*Federal Tax number: (e.g. 11-111111)			
If other, please specify:			
*Federal Employer Identification Number (EIN):			
Tribal ID Number			
*DUNS Number			
*Is Sub-application subject to review by executive order 12372 Process?		<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	
*Is the Sub-applicant delinquent on any federal debt?		<input type="checkbox"/> YES <input type="checkbox"/> NO	
If yes, provide explanation:			

Primary Contact			
*First and Last Name			
*Title:			
*Agency/Organization:			
*Address:			
*City:	*State: New Mexico	*Zip Code	
*Phone:	*Fax:	*Other:	
*E-Mail:			

Alternate Contact			
*First and Last Name			
*Title:			
*Agency/Organization:			
*Address:			
*City:	*State: New Mexico	*Zip Code	
*Phone:	*Fax:	*Other:	
*E-Mail:			

General Community Information

Federal Identification Processing Standard Code (FIPS Code)

Project/Activity Description

State Legislative District

US Congressional District

Community Identification Number (CID Number for National Flood Insurance Program)

Community Rating System Number (Part of National Flood Insurance Program)

Is the community a Cooperating Technical Partner? (Part of National Flood Insurance Program) YES NO

Firewise Community Number

Has the community adopted the National Fire Protection Association Codes (NFPA 5000)? YES NO

Has the community adopted building codes consistent with the International Codes? YES NO

What is the community's Building Code Effectiveness Schedule (BCEGS) rating?

Current State Mitigation Plan

* Does the State in which the entity is located have a current FEMA-approved multi-hazard mitigation plan in compliance with 44 CFR Part 201? YES NO Not Known

If yes, please answer the following:

* What is the name of the plan? **New Mexico Natural Hazard Mitigation Plan**

* What is the type of plan? **Standard State Plan**

Current Community Mitigation Plan

* Is the entity that will benefit from the proposed activity covered by a current FEMA-approved multi-hazard mitigation plan in compliance with 44 CFR Part 201? "Yes" only if currently active YES NO Not Known

* If yes, please answer the following:

* What is the name of the plan?

* What is the type of plan? Check all that apply: Local Tribal Multi-Jurisdictional Multi-Hazard

* When was the plan approved by FEMA?

If no, please explain current status of Mitigation Plan up-date or creation:

* Does the entity have any other mitigation plan adopted? YES NO Not Known

If yes, what is the name of the plan and the date it was adopted?

* What is the expiration date of the State Plan? **September 18, 2018**

All Previous FEMA Planning and Project Grants

*Type of Grant	Performance Period		Federal Share Amount
	Beginning Date	Ending Date	
TOTAL			

*** Provide the title and description of your proposed mitigation project or activity. Refer to the Proposed List of Activities in Section 5 of the Application, page 26.**

- For **all projects** provide the percent of the population benefiting from this mitigation activity and a description of the calculation.
- For a **construction or land disturbance project**, the description should include the hazard being mitigated, the problem to be mitigated, the goals and objectives of the project, and the need for the activity. Also describe any critical facilities mitigated by the project. Estimate the effective lifespan of the project ('useful life'), explain who will be providing maintenance and repairs during that time, and provide an estimated maintenance schedule. Describe how the project will provide a long-term solution to the problem.
- For a mitigation activity that is **neither construction nor land disturbance** (such as public outreach or ordinance creation), include a description of the hazard being mitigated, the target audience and the end product.

*** For a construction or land disturbance project, describe the geographic area(s) impacted by the project. Include latitude and longitude in decimal format (8.730107, 167.738615) of the construction location. Attach a map showing the location of the project in relation to surrounding infrastructure and current development. If the project impacts Special Flood Hazard Area, include the floodplain delineation (flood zones and floodway) in the map and the Flood Insurance Rate Map (FIRM) panel information.**

If the construction project impacts structures, provide information as required on the Property Information Form (Section 3 of the Application, page 17). Please contact the State Hazard Mitigation Officer to determine if this applies to your project.

Included Not Applicable

*Will the mitigation project or activity leverage involvement of partners to enhance the outcome?

If yes, please explain:

*What outreach activities are planned relative to this mitigation activity? Consider press releases, web site, success stories, losses avoided analysis, etc.

*** Describe at least three alternatives considered to mitigate the problem. All projects (even those that do not disturb land) must include at least three alternatives. Include the following in your description of each alternative; physical area affected; construction methods, including excavation or earth moving activities; change from existing conditions; level of protection to be provided (frequency or intensity of event to be mitigated); long term solution to the source of the problem; risk to critical facilities; impact to natural/historic/cultural resources; general cost estimate; general schedule for implementation. Also, describe the process used to select the proposed project or activity as the best alternative. An example description of alternatives is included as Section 5 of the application, page 27)**

SUBJECT TO UPDATES

Scope of Work

** Describe and attach the Scope of Work. It should include a description of each task to be accomplished, identification of the responsible party, methodology for implementation, etc. It should describe staffing, use of consultants, Sub-grant oversight, etc.*

SUBJECT TO UPDATES

Construction Drawings

*** Describe and attach construction drawings.** *These drawings must be 100% complete and will be stamped by a professional engineer. A full description of what to include is detailed in Section 6, page 30.*

Project Schedule

*** Describe and attach the Project Schedule.** *Describe performance expectations and timeline for interim milestones and overall completion of the project. The schedule should refer to months as "1, 2, 3" and not calendar month names like "January".*

Cost Estimate

*** Describe and attach the Cost Estimate.** *The Cost Estimate should include all costs associated with the project or activity such as eligibility compliance (benefit cost analysis, environmental, historic, cultural resources), soil studies, floodplain management compliance, construction drawings, consultant contract oversight, construction oversight, Sub-grant oversight including close-out, and etc. (Please Note: Each line item needs to be rounded to the nearest whole dollar.)*

Cost Effectiveness

*** Describe the cost effectiveness of the project.** *The description should identify the hazard event frequency, the severity of damages and the types of properties/structures at risk. It should also describe if there are better alternatives to solve the problem. The description should also include a statement regarding how well documented and reasonable the costs are. If a Benefit Cost Analysis is not required, justify risk reduction compared to the cost of the project.*

Cost Benefit Analysis

*** Describe and attach the Cost Benefit Analysis, if required.** All construction projects, that are not part of 5% initiatives or listed within the FEMA SFHA pre-calculated benefits memo require a BCA. *Please utilize the most recent version of the FEMA software. <http://www.fema.gov/benefit-cost-analysis>*

Cost Share

*Project or Activity Cost Estimate	Dollars	Percentage
*Proposed Federal Share (up to 75%)	\$	%
*Proposed Non-Federal Share	\$	%

Non-Federal Funds

*Source Agency	*Name of Fund	*Funding Type (In-kind, cash, etc.)	*Amount (\$)
			\$
			\$
			\$
Grand Total			\$

Describe non-federal cost share:

Environmental Considerations Information

Attach the Environmental Considerations Information as described in Section 3 of the Application, page 18.

Project/Sub-grant Management

***Describe how the costs and schedule will be managed. Include a description of how successful performance will be assured. Describe the staff and resources needed to implement this mitigation activity and the applicant's ability to provide these resources.**

SUBJECT TO UPDATES

SECTION 2

Assurances and Certifications

Forms	Status
Part I: FEMA Form 20-16A, Assurances, Non-Construction Programs	<input type="checkbox"/> Incomplete <input type="checkbox"/> Complete
Part II: FEMA Form 20-16B, Assurances Construction Programs.	<input type="checkbox"/> Incomplete <input type="checkbox"/> Complete
Part III: FEMA Form 20-16C, Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibilities Matters; and Drug-Free Workplace Requirements.	<input type="checkbox"/> Incomplete <input type="checkbox"/> Complete
Part IV: SF-LLL, Disclosure of Lobbying Activities (Complete only if applying for a Sub-grant of more than \$100,000 and have lobbying activities using Non-Federal funds. See Form 20-16C for lobbying activities definition.)	<input type="checkbox"/> Incomplete <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable

FEMA Form 20-16A, Assurances-Non-Construction Programs

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 USC Section 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 CFR 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (PL 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 USC Section 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 USC Section 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 USC Section 6101-6107), which prohibits discrimination on the basis of age; (e) The Drug Abuse Office and Treatment Act of 1972 (PL 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (PL 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) Sections 523 and 527 of the Public Health Service Act of 1912 (42 USC 290-dd-3 and 290-ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 USC Section 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) Any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) The requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (PL 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provisions of the Hatch Act (5 USC Section 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of Davis-Bacon Act (40 USC Section 276a to 276a-7), Copeland Act (40 USC Section 276c and 18 USC 874), and the Contract Work Hours and Safe Standards Act (40 USC Section 327-333), regarding labor standards for federally assisted construction sub-agreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (PL 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 USC Section 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 USC Section 17401 et seq.); (g) protection of underground source of drinking water under the Safe Drinking Water Act of 1974, as amended, (PL 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (PL 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 USC Section 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 USC Section 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 USC Section 469a-1 et seq.)
14. Will comply with PL 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (PL 89-544, as amended, 7 USC 2131 et seq.) pertaining to the care, handling, treatment of warm blooded animals held research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 USC Section 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.
19. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act (29 USC Section 201), as they apply to employees of institutions of higher education, hospitals, and other non-profit organizations.

I, _____, hereby sign this form as of _____.

FEMA Form 20-16B, Assurances Construction Programs

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal Share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the comptroller General of the United States, and if appropriate, the States, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the assistance; and will establish a paper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure nondiscrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms to the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or state.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict to interest, or personal gain.
8. Will comply with Intergovernmental Personnel Act of 1970 (42 U.S.C. Sections 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's standards for a Merit System of Personnel Administration (5 C.F.R. 900-subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. Sections 4801-et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. Sections 1681-1683, and 1685-1686) which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. Sections 794) which prohibits discrimination on the basis of; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. Sections 6101-61-7) which prohibits discrimination on the basis of age; (e) the Drug Abuse Office Treatment Act of 1972 (P.L. 93-255), as amended, relating to non-discrimination on the bases of abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the bases of alcohol abuse or alcoholism; (g) Sections 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. Sections et seq.), as amended, relating to non-discrimination in the sale, rental or financing of housing; (i) and other non-discrimination provisions in the specific statutes(s) under which application for Federal assistance is being made, and (j) the requirements on any other non-discrimination Statues(s) which may apply to the application.
11. Will comply, or has already complied, with the requirements of Title II and III of the Uniform Relocation Assistance and Real Property Acquisition policies Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and Federally assisted programs. These requirements apply to all interest in real property acquired for project purpose regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. Sections 1501-1508 and 7324-7328) which limit the political activities of employment activities are funded in whole or impart with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. Sections 27a to 276a-7), the Copeland Act (40 U.S.C. Section 276c and 18 U.S.C. Section 874), the Contract Work Hours and Safety Standards Act (40 U.S.C. Sections 327-333) regarding labor standards for Federally assisted construction subagreements.
14. Will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance in the total cost of insurable construction and acquisition is \$ 10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (E.O.) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of

- flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management programs developed under the Coastal Zone Management Act of 1973 (16 U.S.C. Sections 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementations Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. Section 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); (H) Protection of Endangered species Act of 1973, as amended, (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. Sections 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
 17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and preservation of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 46s-1 et seq.).
 18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
 19. Will comply with all applicable requirements of all other Federal laws, Executive Orders, regulations and policies governing this program.
 20. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act (29 U.S.C. 201), as they apply to employees of institutions of higher education, hospitals, and other non-profit organizations.
 21. It will obtain approval by the appropriate Federal agencies of the final working drawings and specifications before the project is advertised or placed on the market for bidding; that it will construct the project, or cause it to be constructed, to final completion in accordance with the application and approved plans and specifications; that it will submit to the appropriate Federal agency for prior approval changes that alter the cost of the project, use of space, or functional layout; that it will not enter into a construction contract(s) for the project or undertake other activities until the conditions of the construction Sub-grant program(s) have been met.
 22. It will operate and maintain the facility in accordance with the minimum standards as may be required or prescribed by the applicable Federal, State, and local agencies for the maintenance and operation of such facilities.
 23. It will require the facility to be designed to comply with the "American Standard Specifications for Making Buildings and Facilities Accessible to, and Usable by, the Physically Handicapped," Number A117-1961, as modified (41CFR 101-17.703). The applicant will be responsible for conducting inspections to ensure compliance with these specifications by the contractor.
 24. If any real property or structure thereon is provided or improved with the aid of Federal financial assistance extended to the applicant, this assurance shall obligate the applicant, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for which the Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits.
 25. In making sub grants with nonprofit institutions under this Comprehensive Cooperative Agreement, it agrees that such grants will be subject to OMB Circular A-122, "Cost Principles for Non-profit Organization" including but not limited to, the "Lobbying Revision" published in vol 49, Federal Register, pages 18260 through 18277 (April 27, 1984).

I, _____, hereby sign this form as of _____

FEMA Form 20-16C

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature on this form provides for compliance with certification requirements under 44 CFR Part 18, "New Restrictions on Lobbying; and 28 CFR Part 17, "Government-wide Debarment and suspension (Non-procurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Federal Emergency Management Agency (FEMA) determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

A. As required by the section 1352, Title 31 of the US Code, and implemented at 44 CFR Part 18 for persons entering into a Sub grantor cooperative agreement over \$100,000, as defined at 44 CFR Part 18, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement and extension, continuation, renewal, amendment, or modification of any Federal Sub-grantor cooperative agreement;

(b) If any other funds than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal Sub-grantor cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities", in accordance with its instructions;

Standard Form LLL Disclosure of Lobbying Activities Attached

(c) The undersigned shall require that the language of this certification be included in the award documents for all the sub awards at all tiers (including sub-grants, contracts under grants and cooperative agreements, and subcontract(s) and that all sub-recipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 44 CFR Part 67, for prospective participants in primary covered transactions, as defined at 44 CFR Part 17, Section 17.510-A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civilian judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or perform a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or locally) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

Explanation:

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 44 CFR Part 17, Subpart F, for grantees, as defined at 44 CFR part 17, Sections 17.615 and 17.623:

(A) The applicant certifies that it will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an on-going drug free awareness program to inform employees about:
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the Sub-grantor be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employee in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction.
- (e) Notifying the agency, in writing within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to the applicable FEMA awarding office, i.e. regional office or FEMA office.
- (f) Taking one of the following actions against an employee, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Require such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement or other appropriate agency.
- (g) Making a good effort to continue to maintain a drug free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

(B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

* Place of Performance			
Street	City	State	Zip

Section 17.630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for FEMA funding. States and State agencies may elect to use a Statewide certification.

I, _____, hereby sign this form as of _____

Standard Form LLL: Disclosure of Lobbying Activities

<p>* 1. Type of Federal Action</p> <input type="checkbox"/> a. contract <input type="checkbox"/> b. Sub-grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<p>* 2. Status of Federal Action</p> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post award	<p>* 3. Report Type</p> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <i>For Material Change Only:</i> Year : _____ Quarter : _____ Date of Last Report : _____
<p>4. * Name and Address of Reporting Entity:</p> Reporting Entity Type: <input type="checkbox"/> Prime <input type="checkbox"/> Sub-Awardee Tier, if known: Congressional District, If known:		<p>5. If Reporting Entity in No.4 is a Sub-Awardee, Enter Name and Address of Prime:</p> Congressional District, if known:
<p>* 6. Federal Department/Agency</p>	<p>* 7. Federal Program Name/Description CFDA Number, if applicable:</p>	
<p>8. Federal Action Number, if Known:</p>	<p>9. Award Amount, if Known: \$ _____</p>	
<p>0a. Name and address of Lobbying Registrant: <i>if individual, last name, first name, MI)</i></p>	<p>10b. Individuals Performing Services: <i>(including address if different from No.10a)</i></p> <p align="center">(Last Name, First Name, MI)</p>	
<p>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p>		

I, _____, hereby sign this form as of _____

SECTION 3

Environmental Considerations Information

Some projects that will not result in any physical change to the environment do not require an in depth environmental review. Such projects include public education, ordinance development or public service announcements. For these projects, a detailed scope of work explaining the activity should be sufficient for FEMA to conduct the environmental review for compliance.

For all other projects, please provide the items listed below which are based on project type. While these guidelines are as specific as possible, be aware that additional information may be needed on a case by case basis depending on the project's specific scope of work and location. Items such as studies, design plans, agency coordination and consultation letters help FEMA determine the proposed project's potential to affect natural and cultural resources such as species and critical habitats, migratory flyways, floodplains, wetlands, water and air quality, archeological and historic resources, viewsheds, etc.

After reviewing responses to all of the items listed under the appropriate project type, FEMA Region VI will make a determination as to if an Environmental Assessment will be required. A general description of when an Environmental Assessment is required can be found on page 7. Also, the definitions of acronyms used in this document are listed on page 7.

I. Drainage and Channelization

A. Scope of Work Details:

1. GPS coordinates and address (if available) for project site(s) in decimal format.
2. Age of existing drainage structures and/or bridges if affected.
3. Is the project an upgrade to an existing system or does it involve the installation of a new drainage system? Explain any drainage that is already in place in the project area (ditches curb and gutter sewers, pumps, etc.).
4. If stream work is involved, is the current stream natural or altered by manmade structures (dams, weirs, concrete lining, culverts, rip rap, etc.)? What length of natural channel will be modified and what are the modifications? If current channel is already modified, what additional improvements are proposed? Are any streams being rerouted? Explain in detail the location and mechanisms for achieving.
5. Describe any current or proposed bank stabilization measures.
6. If a detention pond is being excavated, describe current land use at proposed site.
7. Acreage, depth of new ground-disturbance and excavation. Linear feet of stream improvements if applicable.
8. What is the capacity of any existing system and what will be the capacity of the proposed new system?
9. Describe where the water will ultimately discharge (an existing water main, a channel, a detention pond, etc.) Does the receiving system have enough capacity to handle the new increase in flow?
10. Will property need to be acquired for project? If so who owns property and are they a willing seller? Are there deed restrictions or easements on that land?
11. Design plans, flow calculations, maps, drawings, photos, etc. to illustrate work to be completed.

B. Agency Consultation Letters:

1. SHPO response needed for all drainage projects.
2. USACE response, including any permit documentation.
3. State Department of Environmental Quality response.
4. NRCS response if developing in a previously undisturbed rural or agricultural area that contains prime or unique farmland.
5. Local floodplain administrator response if project in or affects the floodplain.
6. State Department of Wildlife response.

C. FIR with project location marked. Panel number and effective date should be included.

1. Drainage projects in the floodplain or that will impact the floodplain will require that the Sub-Applicant notify the public under Executive Order 11988 Floodplain Management.
2. Please provide FEMA with documentation of the public notice (date and media—paper, radio, public meeting, posing in a public building, etc.).

II. Wildfire Mitigation

A. Scope of Work Details:

1. GPS coordinates in decimal format and address for project site(s) and/or a boundary map of proposed work area.
2. Age of structure(s) in project area.
3. Provide complete project details. Describe type and amount (i.e. acreage, dimensions, etc.) of vegetation to be removed and/or modified. Does the project involve physical or chemical treatments, or both? What is the method of removal (bulldozer, mowing, individual tree removal, etc.)? How will the vegetation be disposed of—landfill, burning, temporary staging site, mulching, other? Will property need to be acquired for project? If so who owns property and are they a willing seller? Are there deed restrictions or easements on that land?
4. Plans, maps, drawings, photos, etc. to illustrate work to be completed.
5. Description of other current or future vegetation management activities in the area being funded by other entities.

B. Agency Consultation Letters:

1. SHPO response needed if (1) structure is 45 years or older; (2) ground is being disturbed; or (3) project is located in a Historic District.
2. USACE response needed if project in a wetland or in/near or otherwise affects a water of the U.S.
3. NRCS response if developing in a previously undisturbed rural or agricultural area that contains prime or unique farmland.
4. Local floodplain administrator response if project in or affects the floodplain. Removal of significant amounts of vegetation and groundcover can affect stormwater runoff.
5. State Department of Environmental Quality response.
6. State Department of Wildlife response.
7. Biological surveys, site assessments, or other studies that may assist in environmental review.

C. FIRM with project location marked. Panel number and effective date should be included.

1. Activities in the floodplain will require that the Sub-Applicant notify the public under Executive Order 11988 Floodplain Management.
2. Please provide FEMA with documentation of any early public notice (date and media—paper, radio, public meeting, posting in a public building, etc.).

III. Mitigation Reconstruction

A. Scope of Work Details:

1. GPS coordinates in decimal format and address for project site(s), including alternate properties. If there are multiple properties, an electronic spreadsheet with addresses and GPS coordinates is needed.
2. Age of all structure(s), including alternate properties.
3. Does a structure currently exist at the project site? Is FEMA paying for demolition?
4. Describe current and proposed foundation type.
5. Current and proposed building elevation height.
6. Describe dimensions, acreage, and depth of any ground-disturbance.
7. Will the new structure be built on the same footprint as the previous structure?
8. Previous footprint square footage and proposed footprint square footage.
9. Design plans, maps, drawings, photos, etc. to illustrate work to be completed.

B. Agency Consultation Letters:

1. SHPO response required if (1) structure is 45 years or older; (2) new ground is being disturbed and reconstruction is taking place on a new footprint; or (3) project is located in a Historic District.
2. USACE response needed if any portion of the project is in a wetland or in/near or otherwise affects a water of the U.S.
3. NRCS response if developing in a previously undisturbed rural or agricultural area that contains prime or unique farmland.

C. FIRM with project location marked. Panel number and effective date should be included.

1. If project located within the floodplain, provide alternative actions (including "no action" alternative) and narrative rationale for the decision to pursue the primary project.

2. If project in the floodplain, scope of work should indicate details on elevation heights.
3. Critical facilities must be elevated to the 500-year elevation.
4. Elevations in the floodplain will require that the Sub-Applicant notify the public under Executive Order 11988 Floodplain Management. Please provide FEMA with documentation of any early public notice (date and media—paper, radio, public meeting, posting in a public building, etc.).

IV. Facility Improvements and Retrofits

A. Scope of Work Details:

1. GPS coordinates and address for project site(s) in decimal format.
2. Age of all structure(s).
3. Provide complete project details.
4. Will improvements require going beyond the original footprint of the existing structure?
5. Dimensions, acreage, and depth of ground-disturbance.
6. Indicate location of work in relation to building: inside, outside, on top, below, etc.
7. Design plans, drawings, photos, etc. to illustrate work to be completed.

B. Agency Consultation Letters:

1. SHPO response needed if (1) structure is 45 years or older; (2) ground is being disturbed; or (3) project is located in a Historic District.
2. USACE response needed if project in a wetland or in/near or otherwise affects a water body.
3. Local floodplain administrator response if project in or affects the floodplain.

C. FIRM with project location marked. Panel number and effective date should be included.

1. If project in the floodplain, scope of work should indicate details on elevation heights of improvements.
2. Some improvements being carried out in the floodplain (such as flood walls) will require that the Sub-Applicant notify the public under Executive Order 11988 Floodplain Management. Please provide FEMA with documentation of the public notice (date and media—paper, radio, public meeting, posting in a public building, etc.).

V. Generators

A. Scope of Work Details:

1. GPS coordinates in decimal format and address for generator installation and/or storage site(s).
2. Age of structure(s).
3. Is the generator internal or external to the building?
4. Is it being placed on an existing pad or a new pad? Is it being placed on an existing or new elevated structure? Describe any protective enclosure that will be installed.
5. Is the generator fixed or portable?
6. Maps, photos, etc. to illustrate generator site.

B. Agency Consultation Letters:

1. SHPO letter needed if (1) structure is 45 years or older; (2) new ground is being disturbed; or (3) project is located in a Historic District.
2. USACE letter needed if project in a wetland or immediately adjacent to a water body.

C. FIRM with generator location marked. Panel number and effective date should be included.

1. If project in the floodplain, scope of work should indicate details on generator elevation heights.
2. If project in the floodplain, provide letter from local floodplain administrator summarizing elevation requirements under local floodplain ordinance.

Communication and Warning Systems

A. Scope of Work Details:

1. GPS coordinates in decimal format and address, if available, for project site(s).

2. Where is the device being mounted? On a pole, tower, building, etc.?
3. Provide tower or pole heights.
4. Are new poles being installed? Will they replace existing poles in the same location or will a new hole be required?
5. Are lattice or guy wires being installed?
6. Age of building if equipment being installed on a building.
7. Provide complete project details. For example, will new above or below ground utilities be installed?
8. Maps, photos, etc. to illustrate work to be completed.

B. Agency Consultation Letters:

1. SHPO response needed for all new towers, sirens, messaging systems, and warning systems.
2. For co-location on an existing building or structure, SHPO response needed if (1) structure is 45 years or older; or (2) project is located adjacent to historic resources or districts.
3. State department of wildlife response.
4. NRCS response if developing in a previously undisturbed rural or agricultural area that contains prime or unique farmland.

C. FIRM with project location marked. Panel number and effective date should be included.

1. If project in the floodplain, scope of work should indicate details on elevation heights of installations.
2. New installations being carried out in the floodplain might require that the Sub-Applicant notify the public under Executive Order 11988 Floodplain Management. Please provide FEMA with documentation of the public notice (date and media—paper, radio, public meeting, posing in a public building, etc.).

VII. Community Safe Rooms

A. Scope of Work Details:

1. GPS coordinates in decimal format and address for project site(s).
2. Age of structure(s) where safe room being installed.
3. Safe Room Location:
 - a. Inside an existing structure.
 - b. As part of a larger structure being constructed.
 - c. Connected to an existing structure.
 - d. As a stand alone facility.
4. Is structure being installed on original or new footprint?
5. Gross square footage of the safe room.
6. Dimensions, acreage of ground-disturbance.
7. Provide complete project details. For example, will access roads and parking lots be installed? Will new above or below ground utilities be installed?
8. Past site usage information.
9. Design plans, maps, drawings, photos, etc. to illustrate work to be completed.

B. Agency Consultation Letters:

1. SHPO response needed if (1) structure is 45 years or older; (2) ground is being disturbed; and/or (3) project is located in a Historic District.
2. USACE response needed if project in a wetland.
3. NRCS response if developing in a previously undisturbed rural or agricultural area that contains prime or unique farmland.
4. Local floodplain administrator response if project in or affects the floodplain.
5. State Department of Environmental Quality response.
6. State Department of Wildlife response.
7. Sub-Applicant should provide FEMA with copies of USFWS letters and response, if available.

C. FIRM with project location marked. Panel number and effective date should be included.

1. If project located within the 100- or 500-year floodplain, provide alternative actions (including "no action" alternative) and narrative rationale for the decision to pursue the primary project.

2. If project in the floodplain, scope of work should indicate details on elevation heights. Community safe rooms are considered critical facilities and must be elevated to the 500-year flood elevation.
3. Activities in the floodplain will require that the Sub-Applicant notify the public under Executive Order 11988 Floodplain Management. Please provide FEMA with documentation of any early public notice (date and media—paper, radio, public meeting, posting in a public building, etc.).

VIII. Individual Safe Rooms

A. Scope of Work Details:

1. GPS coordinates in decimal format and address for each residence where a safe room will be installed. If there are multiple properties, an electronic spreadsheet with addresses and GPS coordinates is needed.
2. Age of structure(s) where safe room being installed.
3. Is safe room above ground, underground, or being installed within an existing structure?
4. Indication of whether any homes are in a historic district.
5. An overall map with all safe rooms plotted is very helpful if available.

B. Agency Consultation Letters:

1. SHPO response needed if (1) structure is 45 years or older; (2) ground is being disturbed; and/or (3) project is located in a Historic District.
2. USACE response needed if project in a wetland.

C. FIRM with project location marked. Panel number and effective date should be included.

1. If project in the floodplain, scope of work should indicate details on elevation heights.
2. Activities in the floodplain will require that the Sub-Applicant notify the public under Executive Order 11988 Floodplain Management. Please provide FEMA with documentation of any early public notice (date and media—paper, radio, public meeting, posting in a public building, etc.).

Acquisition and Demolition

A. Scope of Work Details:

1. GPS coordinates in decimal format and address for project site(s), including alternate properties. If there are multiple properties, an electronic spreadsheet with addresses and GPS coordinates is needed.
2. Age of all structure(s), including alternate properties.
3. Maps, photos, etc. to illustrate project site.

B. Agency Consultation Letters:

1. SHPO response needed for any structures that are 45 years or older, including alternate properties, and if project is located in a Historic District.
2. USACE response needed if project in a wetland or otherwise affects a water body.
3. State Department of Environmental Quality response.

C. FIRM with project location marked. Panel number and effective date should be included.

X. Elevation

A. Scope of Work Details:

1. GPS coordinates in decimal format and address for project site(s), including alternate properties. If there are multiple properties, an electronic spreadsheet with addresses and GPS coordinates is needed.
2. Age of all structure(s), including alternate properties.
3. Describe current and proposed foundation type.
4. Current and proposed building elevation height.
5. Describe dimensions, acreage, and depth of any ground-disturbance.
6. Will the structure be elevated in place? Mechanism for elevation (i.e. crib/jack; on fill; 2nd story conversion, etc.)? If the structure will be removed from the foundation and temporarily stored to install new foundation, where will the structure be stored and how will it be transported?

7. Design plans, maps, drawings, photos, etc. to illustrate work to be completed.

B. Agency Consultation Letters:

1. SHPO response needed if (1) structure is 45 years or older; (2) new ground is being disturbed; or (3) project is located in a Historic District.
2. USACE response needed if project in a wetland or in/near or otherwise affects a water body.
3. State Department of Environmental Quality response.

C. FIRM with project location marked. Panel number and effective date should be included.

1. If project in the floodplain, scope of work should indicate details on elevation heights.
2. If project in the floodplain, provide letter from local floodplain administrator summarizing elevation requirements under local floodplain ordinance.
3. Elevations in the floodplain will require that the Sub-Applicant notify the public under Executive Order 11988 Floodplain Management. Please provide FEMA with documentation of the public notice (date and media—paper, radio, public meeting, posing in a public building, etc.).

XI. **Relocation**

A. Scope of Work Details:

1. GPS coordinates in decimal format and address for project site(s), including alternate properties. Provide this information for existing site and proposed new site. If there are multiple properties, an electronic spreadsheet with addresses and GPS coordinates is needed.
2. Age of all structure(s), including alternate properties.
3. Provide past site usage information for proposed new site (urban, residential, industrial, agricultural, etc.). Include any site assessments of proposed relocation areas if available.
4. Describe current and proposed foundation type.
5. Current and proposed building elevation height.
6. Describe dimensions, acreage, and depth of any ground-disturbance.
7. Will the structure be temporarily stored somewhere other than its existing location? How will it be transported to the proposed new site?
8. Design plans, maps, drawings, photos, etc. to illustrate work to be completed.

B. Agency Consultation Letters:

1. SHPO response required.
2. USACE response needed if any portion of the project (current and proposed site) is in a wetland or in/near or otherwise affects a water body.
3. NRCS response if developing in a previously undisturbed rural or agricultural area that contains prime or unique farmland.
4. State Department of Environmental Quality response.
5. State Department of Wildlife response.

C. FIRM with project location marked. Panel number and effective date should be included.

1. Include current location and proposed location on the FIRM and clearly designate which is which.
2. HMA programmatic guidance prevents relocating a structure to an area within the 100 year floodplain.

When an Environmental Assessment is Required

If any of the following circumstances exists with any project, an Environmental Assessment is likely required. This list is not all inclusive and other project complexities may trigger an Environmental Assessment. FEMA will make the determination as to whether an Environmental Assessment is necessary.

- A. Greater scope or size than normally experienced for a particular category of action.

- B. Actions with a high level of public controversy.
- C. Potential for degradation, even though slight, of already existing poor environmental conditions.
- D. Employment of unproven technology with potential adverse effects or actions involving unique or unknown environmental risks.
- E. Presence of endangered or threatened species or their critical habitat, or archaeological, cultural, historical or other protected resources.
- F. Presence of hazardous or toxic substances at levels which exceed Federal, state or local regulations or standards requiring action or attention.
- G. Actions with the potential to affect special status areas adversely or other critical resources such as wetlands, coastal zones, wildlife refuge and wilderness areas, wild and scenic rivers, sole or principal drinking water aquifers.
- H. Potential for adverse effects on health or safety.
- I. Potential to violate a federal, state, local or tribal law or requirement imposed for the protection of the environment.
- J. Potential for significant cumulative impact when the proposed action is combined with other past, present and reasonably foreseeable future actions, even though the impacts of the proposed action may not be significant by themselves.

Acronyms

EHP—Environmental and Historic Preservation

FEMA—Federal Emergency Management Agency

FIRM—Flood Insurance Rate Map

HMA—Hazard Mitigation Assistance

NRCS—Natural Resources Conservation Service

SHPO—State Historic Preservation Office

USACE—United States Army Corps of Engineers

USFWS—United States Fish and Wildlife Service

SECTION 4

Proposed List of Activities

- 100.1 Public Awareness and Education (Brochures, Workshops, Videos, etc.)
- 103.1 Feasibility, Engineering and Design Studies
- 103.2 Feasibility, Engineering, and Design Studies - Safe Rooms
- 106.2 Other Non-Construction
- 200.1 Acquisition of Private Real Property (Structures and Land) - Riverine
- 200.2 Acquisition of Private Real Property (Structures and Land) - Coastal
- 200.3 Acquisition of Public Real Property (Structures and Land) - Riverine
- 200.4 Acquisition of Public Real Property (Structures and Land) - Coastal
- 200.5 Acquisition of Vacant Land
- 200.6 Acquisition of Private Real Property (Structures and Land) - Landslide
- 200.7 Acquisition of Private Real Property (Structures and Land) - Erosion
- 200.8 Acquisition of Private Real Property (Structures and Land) - Snow Avalanche
- 201.1 Relocation of Private Structures - Riverine
- 201.10 Relocation of Public Structures - Snow Avalanche
- 201.2 Relocation of Private Structures - Coastal
- 201.3 Relocation of Public Structures - Riverine
- 201.4 Relocation of Public Structures - Coastal
- 201.5 Relocation of Private Structures - Erosion
- 201.6 Relocation of Private Structures - Landslide
- 201.7 Relocation of Private Structures - Snow Avalanche
- 201.8 Relocation of Public Structures - Erosion
- 201.9 Relocation of Public Structures - Landslide
- 202.1 Elevation of Private Structures - Riverine
- 202.2 Elevation of Private Structures - Coastal
- 202.3 Elevation of Public Structures - Riverine
- 202.4 Elevation of Public Structures - Coastal
- 203.1 Wet Floodproofing Private Structures - Riverine
- 203.2 Wet Floodproofing Private Structures - Coastal
- 203.3 Wet Floodproofing Public Structures - Riverine
- 203.4 Wet Floodproofing Public Structures - Coastal
- 204.1 Dry Floodproofing Private Structures - Riverine (Commercial)
- 204.2 Dry Floodproofing Private Structures - Coastal (Commercial)
- 204.3 Dry Floodproofing Public Structures - Riverine
- 204.4 Dry Floodproofing Public Structures - Coastal
- 204.5 Dry Floodproofing Private Structures - Riverine (Residential-Historic)
- 204.6 Dry Floodproofing Private Structures - Coastal (Residential-Historic)
- 205.1 Retrofitting Private Structures - Wildfire
- 205.2 Retrofitting Public Structures - Wildfire
- 205.3 Non Structural Retrofitting/Rehabilitating Private Structures - Seismic
- 205.4 Non Structural Retrofitting/Rehabilitating Public Structures - Seismic
- 205.5 Structural Retrofitting/Rehabilitating Private Structures - Seismic
- 205.6 Structural Retrofitting/Rehabilitating Public Structures - Seismic
- 205.7 Retrofitting Private Structures - Wind
- 205.8 Retrofitting Public Structures - Wind
- 206.1 Safe Room (Tomado and Severe Wind Shelter) - Private Structures

- 206.2 Safe Room (Tornado and Severe Wind Shelter) - Public Structures
- 207.2 Mitigation Reconstruction
- 300.1 Vegetation Management - Natural Dune Restoration
- 300.2 Vegetation Management - Wildfire
- 300.3 Vegetation Management - Wind
- 300.4 Vegetation Management - Non Coastal Shoreline Stabilization
- 300.6 Vegetation Management - Erosion
- 300.7 Vegetation Management - Snow Avalanche
- 301.1 Shoreline Stabilization (Riprap, etc.)
- 302.1 Landslide Stabilization - Structural
- 302.2 Snow Avalanche Stabilization - Structural
- 303.1 Wetland Restoration/Creation
- 400.1 Utility Protective Measures (Electric, Gas, etc.)
- 401.1 Water and Sanitary Sewer System Protective Measures
- 402.1 Infrastructure Protective Measures (Roads and Bridges)
- 403.1 Stormwater Management - Culverts
- 403.2 Stormwater Management - Diversions
- 403.3 Stormwater Management - Flapgates/Floodgates
- 403.4 Stormwater Management - Detention/Retention Basins
- 404.1 Localized Flood Control System to Protect Critical Facility
- 405.1 Other Minor Flood Control
- 501.1 Other Major Structural Projects
- 601.1 Generators
- 602.1 Other Equipment Purchase and Installation
- 700.1 Management Costs - Salaries
- 700.2 Management Costs - Equipment
- 700.3 Management Costs - Office Space Rental
- 700.4 Management Costs - Supplies
- 701.1 Technical Assistance - Outreach/Training
- 701.2 Technical Assistance - Application Development/Review
- 701.3 Technical Assistance - Salaries & Expenses
- 800.1 Miscellaneous
- 91.1 Local Multi-hazard Mitigation Plan
- 92.1 State Multi-hazard Mitigation Plan
- 93.1 Tribal (Local) Multi-hazard Mitigation Plan
- 94.1 Tribal Multi-hazard Mitigation Plan
- 95.1 FMA or CRS Plan
- 96.1 Public Awareness and Education (Brochures, Workshops, Videos, etc.)

SECTION 5

Example of Proposed Alternatives

Below are example descriptions of alternatives text for a proposed detention basin. The text and formatting give examples of the level of detail and the type of description that is required. Describe the selection process used to identify the preferred alternative as the best option.

Alternative #1: Proposed Retention Basin

Description; The proposed project is the construction of a one-half acre stormwater retention basin with an earthen outlet that would release water into an existing diversion ditch. Construction would require the use of heavy machinery to excavate approximately 600 cubic yards of undisturbed soil. Removal of vegetation consisting of native grasses, shrubs, and mature trees would also be necessary. Heavy riprap would be installed at the outlet of the retention basin to guard against erosion. The existing diversion ditch would be graded and shaped over its 1000-foot length. Construction along the existing diversion ditch would begin at the retention basin and end at Grove Street, located approximately 1,000 feet north of the retention basin. All disturbed areas would be planted with native vegetation. Debris would be removed from the site and hauled to an approved disposal site. The project would divert stormwater runoff from west of the project site from entering the existing stormwater drainage system and overwhelming the system's capacity. The runoff from events through the 50-year level would be stored and gradually released through the outlet structure into the drainage diversion ditch. The diversion ditch would channel the flow directly into Meander Creek, bypassing the town's drainage system. The estimated cost of this project is \$33,925.

Level of Protection; 2% chance flood event ("50-year" flood event)

General Schedule; The projected time frame for completion is three months after the official date of approval. The following is a list of tasks, duration of each task, and projected end date.

Task	Duration	Total
Engineering Analysis and Design	2 weeks	2 weeks
Permitting	8 weeks	10 weeks
Bidding Process	4 weeks	14 weeks
Award Bid	1 week	15 weeks
Construction Staging	1 week	16 weeks
Excavation of basin, riprap placement	1 week	17 weeks
Grading, landscaping	1 week	18 weeks
Total estimated time for project completion:		18 weeks

General Cost Estimate; Use the following cost categories where applicable. Estimate the cost of the project and indicate whether the work will be accomplished by force account or by contract.

Project Administration	\$ _____
Engineering and Design	\$ _____
Site Acquisition	\$ _____
Labor	\$ _____
Materials and Supplies	\$ _____
Equipment	\$ _____
Staffing	\$ _____
Transportation	\$ _____
Other (specify)	\$ _____
TOTAL	\$ _____

Alternative #2: Comprehensive Stormwater Management Plan Creation and Implementation

Description; This alternative is the development and implementation of a comprehensive stormwater management plan. The plan will serve multiple purposes; 1) evaluate existing conditions in order to establish minimum standards for future storm-water management infrastructure, 2) identify and prioritize existing conditions for which improvements are needed to meet the newly established minimum standards, 3) officially adopt minimum standards for future development growth. The proposed scope of work includes;

Analysis of Existing Conditions; This analysis would identify and map sub-drainage areas using the Town's existing GIS system. The existing storm-water system would also be mapped using GIS. Runoff calculations would be made for different storm frequencies based on existing conditions.

Growth Scenarios; Development of three growth scenarios based on existing zoning regulations:

- Full growth scenario assumes total built-out of all undeveloped land;
- Moderate growth scenario assumes built-out at recent growth rate;
- Low-growth scenario assumes built-out at 1/2 recent growth rate.

Recommendations for Growth Management; Based on analyses of growth scenarios, develop recommendations for growth management.

Recommendations for Stormwater Management Improvements; Based on analysis of existing conditions, future growth projections, and runoff calculations, prioritized recommendations would be made for stormwater system improvements. Recommendations would be based on cost effectiveness analyses using estimated improvement costs over the level of effectiveness offered under each different storm frequency.

Development and Implementation of Stormwater Management Regulations; The Town of Applicant would conduct an analysis of other communities existing regulations that establish minimum standards for stormwater management systems. Appropriate regulations would be drafted for the Town of Applicant establishing such standards. These regulations would be presented to the Town Board for review and public hearing. It is anticipated that the Town Board would adopt the regulations as local law. This alternative should be utilized if alternative 1 is not selected. The estimated cost of this project is \$66,667.

Level of Protection; 25% chance flood event ("25-year" flood event)

General Schedule; The projected time frame for completion is *how many months* after the official date of approval. The following is a list of tasks, duration of each task, and projected end date.

<u>Task</u>	<u>Duration</u>	<u>Total Duration</u>
Describe task	1 week	1 week
Describe task	4 weeks	5 weeks
Describe task	6 weeks	11 weeks
Describe task	8 weeks	19 weeks
Describe task	16 weeks	29 weeks
Total estimated time for project completion:		29 weeks

General Cost Estimate; Use the following cost categories where applicable. Estimate the cost of the project and indicate whether the work will be accomplished by force account or by contract.

Project Administration	\$ _____
Engineering and Design	\$ _____
Site Acquisition	\$ _____
Labor	\$ _____
Materials and Supplies	\$ _____
Equipment	\$ _____
Staffing	\$ _____
Transportation	\$ _____
Other (specify)	\$ _____
TOTAL	\$ _____

Alternative #3: Acquisition of 15 Residences

Description; This alternative involves the acquisition of 15 residences located on High Street near Steuben Street. These properties have experienced repetitive basement flooding approximately three times per year when a nearby drainage diversion ditch backs up. This drainage ditch diverts flow to Meander Creek, but can only handle small rainfalls. During heavy rainfalls, when Meander Creek reaches flood levels, backwater flooding of these residences causes significant damages. Upon acquisition, the Town would demolish the structures to ground level, fill the basements with sand, and place topsoil over the sites, regrade and seed. The area would be maintained as a park in perpetuity. This alternative has been estimated to cost \$2,000,000. This alternative could be accomplished based on the level of funding that is available.

Level of protection; 1% chance flood event ("100-year" flood event)

General Schedule; The projected time frame for completion is *how many months* after the official date of approval. The following is a list of tasks, duration of each task, and projected end date.

<u>Task</u>	<u>Duration</u>	<u>Total Duration</u>
Describe task	1 week	1 week
Describe task	4 weeks	5 weeks
Describe task	6 weeks	11 weeks
Describe task	8 weeks	19 weeks
Describe task	16 weeks	29 weeks
Describe task	20 weeks	49 weeks
Describe task	3 weeks	52 weeks
Total estimated time for project completion:		52 weeks

General Cost Estimate; Use the following cost categories where applicable. Estimate the cost of the project and indicate whether the work will be accomplished by force account or by contract.

Project Administration	\$ _____
Engineering and Design	\$ _____
Site Acquisition	\$ _____
Labor	\$ _____
Materials and Supplies	\$ _____
Equipment	\$ _____
Staffing	\$ _____
Transportation	\$ _____
Other (specify)	\$ _____
TOTAL	\$ _____

SECTION 6

Construction Drawing Guidance

Construction drawings detailing the proposed project must be included in the application. The drawing should be large enough to show the location of existing structures, proposed structures, and surrounding areas that may be impacted by the project, such as staging areas and temporary access points. Existing and proposed conditions may also be shown on separate drawings. Please Note: Construction drawings need to be signed and stamped by a PE (Professional Engineer) "i.e. shovel ready".

The following is a list of items that are typically included on construction drawings and that should be included in drawings to the extent practicable. Some items may not be applicable for all projects. If exact dimensions or quantities are not known, provide estimates.

- A) Existing Conditions (existing structures are generally drawn with a dashed line)
- Waterway name and direction of flow
 - Waterway boundaries (water's edge)
 - Wetland areas
 - Right-of-way and property lines
 - North arrow
 - Existing structures (culverts, catch basins, drainage systems, retention ponds, etc.)
 - Special use or preserve areas
 - Vegetated or forest areas that would be impacted
 - Adjacent roadways
 - Existing buildings
 - Existing utilities
 - Any structure/land feature likely to be impacted by the proposed project
- B) Proposed Conditions (proposed structures are generally a solid line)
- Location and dimensions of proposed structures
 - Limits of proposed fill (est. quantity) or excavation (est. quantity)
 - Project limits
 - Limits of encroachment into wetlands or bodies of water
 - Major clearing of vegetation (est. area)
 - Any structure or land feature modified by the proposed project
 - Drainage area(s) (attach drainage calculations if available)
- C) Cross-section (for structural projects)
- Proposed structure
 - Dimensions
 - Existing shoreline
 - Bank slope and height
 - Waterway bottom
 - Ordinary High-water level (OHW)
 - Embankment stabilization
 - Any proposed modification
- D) Other Maps/Information (include what may be applicable)
- USDA-NRCS Soils Classification Map
 - National Wetlands Inventory Map (if applicable)
 - Tax maps (Acquisition/Relocation/Elevation projects only)

New Mexico
Hazard Mitigation Administrative Plan
CFDA 97.039

Attachment 5&6
Sub-grant Agreement – Plan & Project



**NEW MEXICO DEPARTMENT OF HOMELAND SECURITY
& EMERGENCY MANAGEMENT**
Obligating Award Document for
Federal Grant No. FEMA-XXXX-DR-NM CFDA No. 97.039

1. Sub-Grant No.	2. Project Name	3. DUNS Number	4. Vendor Number
5. Recipient Address		6. Issuing Office and Address New Mexico Department of Homeland Security & Emergency Management PO Box 27111 Santa Fe, NM 87502	
7. Effective Date of This Action	8. DHSEM Grant Specialist:		Phone: Fax: 505-476-9695 Email:
9. Termination Date:			
10. Grant Award and Terms and Conditions: <i>(see attached Grant Terms and Conditions)</i> Total Awarded Amount: \$ FEDERAL SHARE: \$ LOCAL SHARE: \$ <i>Project Budget Details are funding allocations, and are not to be construed as expenditure authorizations or approvals. Grant program guidelines and Federal, State, and local contracting and procurement compliance requirements apply.</i>			
11. Grant Requirements, Assurances and Agreements: <i>(see Grant Requirements, Assurances and Agreements)</i> <i>The acceptance of a grant from the United States creates a legal duty on the part of the sub-recipient to use the funds or property made available in accordance with the conditions of the grant through the State.</i>			
12. Special Conditions: All payments shall be made upon an actual cost reimbursement basis. <ul style="list-style-type: none"> • All contracts must be pre-approved by DHSEM program and grant staff. • The Sub-recipient shall submit a Request for Payment along with all appropriate supporting financial and programmatic reporting documentation. RFA forms are not required. • Reimbursements can be requested on a quarterly basis or as needed. • Reimbursement requests will be held pending evaluation of performance and financial documentation. • Final payment of 15% will not be made until FEMA issues the final approval letter. • Quarterly Performance Reports and Quarterly Financial Reports are due on 10/15, 1/15, 4/15 and 7/15 for each year the sub-award is open. Request for reimbursement will not be processed if quarterly performance or financial reports are delinquent. 			
13. Recipient is required to sign and return the original of this document, as well as the signed and accepted grant requirements, assurances and agreements to the Issuing Address in block 6.			
14. Signature of Jurisdiction Grant Specialist		Date: _____	
Printed Name:		Phone: _____	
		Fax: _____	
		Email: _____	
15. Signature of Jurisdiction Chief Financial Officer		Date: _____	
Printed Name:		Phone: _____	
		Fax: _____	
		Email: _____	
16. Signature of Jurisdiction Signatory Official		Date: _____	
Printed Name and Title:		Phone: _____	
		Fax: _____	
		Email: _____	
17. DHSEM Signatory Official (Name and Title)		Date	

Grant Terms and Conditions (continued from Section 10 of Award)

(A) Scope of Work: XXXXX County has been awarded funds to up-date the XXXXX County Mitigation Plan. Funds shall be utilized as outlined in the approved budget as awarded by FEMA on **Effective Date**.

(B) Changes to Award: All change requests must be submitted in writing, or electronically to the DHSEM grant specialist, accompanied by a justification narrative and budget/spending plan, for review and approval. Changes must be consistent with the scope of the project and grant guidelines. Requests for changes will be considered only if the reporting requirements are current, and if terms and conditions have been met at the time the request. Changes in the programmatic activities, or purpose of the project, changes in key persons specified on the grant award, contractual services for activities central to the purposes of the award, requests for additional funding, change in project site, or release of special conditions will result in an amendment to this award.

(C) Reimbursements: Submit a *Request for Reimbursement* along with the *Financial Progress Report* form. Reimbursement shall be based upon authorized and allowable expenditures consistent with project narrative and grant guidelines, and submission of timely quarterly *Narrative* and *Financial Progress Reports*. Payments may be withheld pending correction of deficiencies. Reimbursement of expenditures may be requested at any time within the performance period so long as reports are current. Expenditures must be supported with source documentation (e.g. copies of invoices, receipts, timesheets with name/wage/hours, cost allocation, warrants, etc.).

- **Personnel Costs:** Payroll reports signed and certified by the chief financial officer that capture the employee name, position, coded allocation to the project, amount paid, are acceptable. Staff may not self-certify their own time and wages. XXXXX COUNTY shall retain all supporting payroll records, including time and attendance records signed by the employee and supervisor and copies of warrants as per the recordkeeping requirements in Section 1.J.
- **Contracts:** All sole-source procurements, single vendor response to a competitive bid, and contracts require DHSEM pre-approval prior to implementation. Copies of all contracts required for submission to DHSEM with the request for reimbursement.
- **Local Match:** Local matching funds must clearly support the source, the amount, and the timing of all matching contributions.

(D) Non-reimbursable Expenses:

- Transfer of funds between any programs
- Contracts, single vendor response to a competitive bid, and procurements > \$100,000 not pre-approved by DHSEM
- Sole source contracts and procurements not pre-approved by DHSEM
- Training and related travel costs not pre-approved by DHSEM
- Construction and renovation
- Indirect costs (p. 5, Financial Progress Report)
- Supplanting (using federal funds to purchase items previously budgeted for with state or local funds)
- Maintenance and/or wear and tear costs of general use vehicles and emergency response apparatus.
- Equipment purchased for an exercise cannot be used for permanent installation and/or beyond the scope of an exercise.
- Hiring of sworn public safety officers to fill traditional public safety duties or to supplant traditional public safety positions and responsibilities
- Weapons and ammunition
- Entertainment and sporting events
- Personal items such as laundry, personal hygiene items, magazines, in-room movies, personal travel
- Travel insurance, visa, and passport charges
- Lodging costs in excess of Federal or State per diem, as appropriate
- Lunch when travel is wholly within a single day
- Stand-alone working meals
- Bar charges, alcoholic beverages
- Finance, late fees, or interest charges
- Lobbying, political contributions, legislative liaison activities
- Organized fund-raising, including salaries of persons while engaged in these activities
- Land acquisition – Special circumstances may exist with HMGP and PDM programs
- Expenditures not supported with appropriate documentation when submitted for reimbursement. Only properly documented expenditures will be processed for payment. Unsupported expenditures will be returned to the jurisdiction for resubmission.

(E) Procurement: Procurement shall comply with local procurement policies and procedures, and conform to applicable State and Federal law and the standards identified in the Procurement Standards Sections of *28 CFR Parts 66 and 70, and OMB Circular A-102 "Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments."* Contractors that develop or draft specifications, requirements, Statements of Work, and/or Requests for Proposals (RFP) for a proposed procurement shall be excluded from bidding or submitting a proposal to compete for the award of such procurement. Local bidder's preference is not allowed for federally funded procurements. Procurement transactions shall be conducted to provide maximum open and free competition. **Each sole-source procurement, single vendor response to a competitive bid, and all purchases require prior approval of DHSEM.** DHSEM has provided a summary of documentation required for levels of procurement and attached it to the instructions on the quarterly *Financial Progress Reports*.

(F) Contracts: Any contract entered into during this grant period shall comply with local, State and Federal government contracting regulations. Contracts for professional and consultant services must include local, State and Federal government required contract language, a project budget, and require pre-approval by DHSEM prior to implementation. Contract deliverables must meet the intent of the grant application and grant requirements. Justification is required for compensation for individual consultant services, which must be reasonable and consistent with the amount paid for similar services in the market place. Detailed invoices, and time and effort reports are required for consultants. A summary of documentation required for levels of contracting is attached to the instructions on the quarterly *Financial Progress Reports*.

(G) Publications: Publications created with funding under this grant shall prominently contain the following statement: ***This Document was prepared under a sub-grant from the FEDERAL EMERGENCY MANAGEMENT AGENCY, and the NEW MEXICO DEPARTMENT OF HOMELAND SECURITY AND EMERGENCY MANAGEMENT. Points of view or opinions expressed in this***

document are those of the authors and do not necessarily represent the official position or policies of the Federal Emergency Management Agency of New Mexico Department of Homeland Security and Emergency Management.

(H) Audit Requirements: As the Federal grant recipient, the State of New Mexico requires a sub-recipient expending \$750,000 or more in total Federal funds in the organization's fiscal year to conduct an organization-wide audit in accordance with *OMB Circular A-133*. ~~X-X-X-X-X-X~~ will permit the State of New Mexico Grant and Program officials and auditors to have access to the sub-recipient's and third-party contractors' records and financial statements as necessary for the State of New Mexico to comply with *OMB Circular A-133*. Copies of audit findings must be submitted to DHSEM within 30 days after the County receives its audit report, or within a 9-month period of the grant closeout date, whichever is earlier, in accordance with *2 AAC 45.010*. Include the Federal agency name, program, grant number, and year; the CFDA title and number; and the name of the pass-through agency.

(I) Recordkeeping Requirements: Grant financial and administrative records shall be maintained for a period of three (3) years following the date of the closure of the grant award, or audit if required. Time and effort, personnel and payroll records for all individuals reimbursed under the award must be maintained. Property and equipment records shall be maintained for a period of three (3) years following the final disposition, replacement or transfer of the property and equipment.

(J) Performance Measures/Reporting: Quarterly Performance and Financial Reports shall demonstrate performance and progress relative to:

1. Acceptable performance on applicable critical tasks in Exercises using approved scenarios
2. Progress in achieving project timelines and milestones
3. Percent measurable progress toward completion of project
4. How funds have been expended during reporting period, and explains expenditures related to the project

Reports are due on 10/30, 1/30, 4/30, and 7/30 for each calendar year the award is open.

(K) Sub-recipient Monitoring Policy: Periodic monitoring is required to ensure that program goals, objectives, timelines, budgets and other related program criteria are being met. DHSEM reserves the right to periodically monitor, review and conduct analysis of the financial, programmatic and administrative policies and procedures such as, accounting for receipts and expenditures, cash management, maintaining adequate financial records, means of allocating and tracking costs, contracting and procurement policies and records, payroll records and means of allocating staff costs, property/equipment management system(s), progress of project activities, etc. This may include desk and field audits. Technical assistance is available from DHSEM staff. The **Monitoring Policy is available at <http://www.nmdhsem.org>**.

(L) Penalty for Non-Compliance: For the reasons listed below, special conditions may be imposed, reimbursements may be partially or wholly withheld, the award may be wholly or partly suspended or terminated, or future awards, reimbursements and award modifications may be withheld. DHSEM may institute the following, but is not limited to, withholding authority to proceed to the next phase of a project, requiring additional or more detailed financial reports, additional project monitoring, and/or establish additional prior approvals. DHSEM shall notify the County of its decision in writing stating the nature and the reason for imposing the conditions/restrictions, the corrective action required and timeline to remove them, and the method of requesting reconsideration of the imposed conditions/restrictions. The County must respond within 5 days of receipt of notification.

- a. Unwillingness or inability to attain project goals
- b. Unwillingness or inability to adhere to Special Conditions listed in Block 12
- c. Failure or inability to adhere to grant guidelines and federal compliance requirements
- d. Improper procedures regarding contracts and procurements
- e. Inability to submit reliable and/or timely reports
- f. Management systems which do not meet federal required management standards

(M) Termination for Cause: If performance is not occurring as agreed, the award may be reduced or terminated without compensation for reduction or termination costs. DHSEM will provide 5 days notice to ~~X-X-X-X-X-X~~ stating the reasons for the action, steps taken to correct the problems, and the commencement date of the reduction or termination. DHSEM will reimburse only for acceptable work or deliverables, necessary and allowable costs incurred through the date of reduction or termination. Final payment may be withheld at the discretion of DHSEM until completion of a final DHSEM review. Any equipment purchased under a terminated grant may revert to DHSEM at the option of DHSEM.

(N) Termination for Convenience: Any project may be terminated upon convenience, in whole or in part, for the convenience of the Government. The Federal Emergency Management Agency and the DHSEM, by written notice, may terminate this grant, in whole or in part, when it is in the Government's interest. Allowable costs obligated and/or incurred through the date of termination shall be reimbursed. Any equipment purchased under a terminated grant may revert to DHSEM at the option of DHSEM.

(O) Project Implementation: Project implementation shall begin within the first reporting quarter.

- a. If a project cannot be operational within the first reporting quarter of the approved award date, the sub-grantee must submit a written statement signed by the signatory officials to DHSEM, justifying the implementation delay, expected starting date, and a formal request to extend the project start date past the first reporting quarter.

Grant Requirements, Assurances and Agreements (continued from Section 11 of the Award)

(A) The performance period for this grant award is 2/16/16 until 2/16/19. Monies may not be obligated outside of this time period. An obligation occurs when funds are encumbered, as with a purchase order and/or commitment of salaries and benefits. All obligated and encumbered funds must be liquidated within 45 days of the end of the performance period when the Final Progress Reports are due.

(B) The signature of the signatory officials on this award certifies that all financial expenditures, including all supporting documentation submitted for reimbursement, have been incurred by the jurisdiction, and are eligible and allowable expenditures consistent with the

grant guidelines for this project. **XXXXX COUNTY** shall follow the financial management requirements imposed on them by DHSEM, which includes the requirements of federal Emergency Management Agency.

(C) The signature of the signatory officials on this award attests to **XXXXX COUNTY understanding, acceptance, and compliance with Lobbying; Debarment, Suspension and other responsibility matters; Drug-free Workplace; Conflict of Interest, and Non-Supplanting certifications. Federal funds will not be used to supplant State or local funds. Federal funds must be used to supplement existing funds to augment program activities, and not replace those funds which have been appropriated in the budget for the same purpose.**

Potential supplanting may be the subject of application and pre-award, post-award monitoring, and audit.

(D) **XXXXX COUNTY shall ensure the accounting system used allows for separation of fund sources. These grant funds cannot be commingled with funds from other federal, state or local agencies, and each award is accounted for separately.**

(E) **XXXXX COUNTY shall comply with Federal Civil Rights Laws and Regulations: *Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Title IX of the Education Amendments of 1972, Age Discrimination Act of 1975, Americans with Disabilities Act of 1991.*** **XXXXX COUNTY** will take reasonable steps to ensure Limited English Proficient (LEP) persons have meaningful access to its programs and activities. *Executive Order 13347 Individuals with Disabilities in Emergency Preparedness* requires government to support safety and security for individuals with disabilities in situations involving disasters, including earthquakes, tornadoes, fires, floods, hurricanes, and acts of terrorism.

(F) **XXXXX COUNTY certifies that it has an Affirmative Action Plan/Equal Employment Opportunity Plan (for USDHS/DOJ grants). An EEO is not required for recipients of less than \$25,000.00 or fewer than 50 employees.**

(G) **XXXXX COUNTY certifies that its employees are eligible to work in the U.S. as verified by Form I-9, Immigration & Naturalization Service Employment Eligibility.**

(H) It is the responsibility of **XXXXX COUNTY as the recipient of these federal funds to fully understand and comply with the requirements of:**

- a. Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended, 42 U.S.C. 5121-5207, and Related Authorities, http://www.fema.gov/pdf/about/stafford_act.pdf
- b. 44 CFR: Emergency Management and Assistance, http://www.access.gpo.gov/nara/cfr/waisidx_00/44cfrv1_00.html
- c. OMB Circular A-102, *Grants and Cooperative Agreements with State and Local Governments* at www.whitehouse.gov/omb/circulars/a102/a102.html.
- d. 2 CFR 225 *Cost Principles for State, Local and Indian Tribal Governments* at www.whitehouse.gov/omb/circulars/index.html.
- e. OMB Circular A-110 *Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations* at www.whitehouse.gov/omb/circulars/index.html
- f. OMB Circular A-21 *Cost Principles for Educational Institutions* at www.whitehouse.gov/omb/circulars/index.html
- g. OMB Circular A-122 *Cost Principles for Non-Profit Organizations* at www.whitehouse.gov/omb/circulars/index.html
- h. OMB Circular A-133 *Audits of States, Local Governments and Non-Profit Organizations* at www.whitehouse.gov/omb/circulars/index.html
- i. CFR Title 48 Federal Acquisition Regulations Systems Chapter 1 Part 31 *Contract Cost Principles and Procedures*
- j. OMB Common Rule: *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*. Incorporated into individual Federal agency's *Code of Federal Regulations*.
- k. OGO *Financial Guide* www.dhs.gov/dhspublic/interweb/assetlibrary/Grants_FinancialManagementGuide.pdf
- l. New Mexico State Procurement Code <http://www.conwaygreene.com/nmsu/lpext.dll?f=templates&fn=main-h.htm&2.0>
- m. New Mexico Administrative Code Title 2 – Public Finance http://www.nmcpr.state.nm.us/NMAC/_title02/title02.htm

We certify we have read, understood, and accept the Grant Terms and Conditions, the Grant Requirements, and Assurances and Agreements, in accordance with this Award.

Jurisdiction Grant Specialist's Signature

Jurisdiction Chief Financial Officer's Signature

Jurisdiction Signatory Official's Signature

Attachment 7
Sub-grant Certification of Completion

Susana Martinez
Governor



M. Jay Mitchell
Cabinet Secretary

**DEPARTMENT OF HOMELAND SECURITY
AND EMERGENCY MANAGEMENT**

**HAZARD MITIGATION GRANT PROGRAM
Close Out Certification**

DHSEM Sub-grant Number: _____

FEMA Project Number: _____

Project Title: _____

Sub-grantee Name: _____

Certification

I hereby certify that, to the best of my knowledge and belief, all work and costs claimed are eligible in accordance with the 44 Code of Federal Regulations, all work claimed has been completed and all costs claimed have been paid in full.

Signature of Sub-grantee's Authorized Representative

Title

Date

I certify that all funds were expended in accordance with the FEMA-State Agreement.

Signature of Governor's Authorized Representative

Title

Date

Attachment 8

Sub-grant 'Grant Adjustment Notice'



NEW MEXICO DEPARTMENT OF HOMELAND SECURITY
AND EMERGENCY MANAGEMENT

MITIGATION GRANT ADJUSTMENT NOTICE

1. SUBRECIPIENT NAME AND ADDRESS (INCLUDING ZIP CODE)	3. GRANT NUMBER
	4. ADJUSTMENT NUMBER
	5. DATE
2. PROJECT TITLE	6. PROJECT DIRECTOR

SECTION I. DEOBLIGATIONS & REOBLIGATIONS

9. PREVIOUS GRANT AMOUNT \$ -	10. DEOBLIGATION AMOUNT \$ -
11. ADJUSTED AWARD AMOUNT 0.00	

SECTION II. CHANGES

12. CHANGE PROJECT DIRECTOR FROM _____ TO _____

SECTION III. OTHER ADJUSTMENTS & INFORMATION

14. **THE SUB-GRANT AGREEMENT WILL OFFICIALLY CLOSE UPON FEMA APPROVAL.**

15. TYPED NAME OF DESIGNATED OFFICIAL Emergency Manager M. Jay Mitchell, Cabinet Secretary	16. SIGNATURE OF AUTHORIZED OFFICIAL	
	Signature	Date
	Signature	Date