

**STATE OF CONNECTICUT  
DEPARTMENT OF EMERGENCY SERVICES  
& PUBLIC PROTECTION**



**Division of Emergency Management & Homeland Security**

**GRANT APPLICATION KIT  
October 2011**

**FOR USE IN APPLYING FOR THE FOLLOWING GRANT PROGRAMS:**

**Hazard Mitigation Grant Program  
Disaster Declaration FEMA-DR-1958-CT**

**Hazard Mitigation Grant Program  
Disaster Declaration FEMA-DR-4023-CT**

**DEADLINE FOR LETTERS OF INTENT  
November 10, 2011 at 11:59 PM**

**DEADLINE FOR APPLICATIONS  
December 31, 2011 at 11:59 PM**

**25 Sigourney Street  
Hartford, CT 06016  
860-256-0900**

This package has been developed to assist prospective Sub-grantees in the preparation of Hazard Mitigation Grant Program (HMGP). The package outlines the specific information required for the State and Federal government to review proposed mitigation activities.

### Special Requirement

**All municipalities that do not have a currently approved Local Hazard Mitigation Plan must submit a planning application for the creation or updating of their Local Hazard Mitigation Plan concurrent with any application for a project grant. Although a municipality may apply for a planning grant and also a project grant concurrently, project grants will not be awarded unless a municipality has a fully approved Local Hazard Mitigation Plan.**

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HMGP Grant Application Kit

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**Instructions to Applicants:**

Below are instructions for filling out each of the forms contained in this grant application kit. If you need assistance filling out this application kit, please call the Division of Emergency Management and Homeland Security (DEMHS) at 1-860-256-0900. For all forms that require an original signature, the signature location on the form will be indicated by this tab:



Much of the information in this application requires either checking a box  or placing an ( X ) within a pair of brackets. Please note that some information requires checking only one option and other information will ask you to check all options that apply to this application.

**Types of Projects Which Are Eligible Under This Grant:**

Projects which mitigate or eliminate damage resulting from natural disasters are generally eligible under the Hazard Mitigation Grant Program (HMGP). The following types of projects are being targeted for HMGP funding by this grant:

- 1) **Projects that protect flood prone homes or other insurable buildings:** Projects can include elevating a home or building to prevent flooding, purchasing and removing the building from the flood prone area, or constructing small levees or berms to prevent water from entering a building. In order to qualify for funding the building must be occupied, and insurable against flooding.
- 2) **Projects that protect buildings from wind damage:** Projects can include installing window and/or door shutters, impact resistant glass, or installing hurricane clips to attach the roof to the walls of the building. In order to qualify for funding the building must be occupied and insurable against wind damage.
- 3) **Local and State Hazard Mitigation Plans and Updates:** Planning projects may include state, regional or municipal hazard mitigation plans or updates. Note: A municipality must have an approved Local Hazard Mitigation Plan (either a stand-alone plan or as part of a Regional Plan) in order to receive a grant award. A grant application requires either an approved plan or the submission of a planning application concurrent with project application for HMGP funding.

**The Role of Municipalities in Selecting Projects:**

It is strongly recommended that municipalities reach out to their coastal or flood prone homeowners to make them aware of this grant program. Municipalities should be looking to their residents for projects such as, elevating homes or purchasing and removing homes from the floodplain, installing storm shutters, elevating utilities or installing hurricane resistant windows. The municipal role in the HMGP is to serve as the applicant on behalf of homeowners or businesses (or even town agencies) in applying for the HMGP grant.

**The Applicant Information and Data Sheet:**

The Applicant Information and Data Sheet on page 4 is the form that provides DEMHS with your municipal point of contact and other information. Please provide the requested information in boxes 1 – 13 of the form. Some boxes contain context sensitive help. To view the help screen for each box just pass your mouse pointer over the colored question field. A help box will appear with further instructions.

**Special Note:**

Box #4 on the form is specifically for the name of the person (typically the Chief Executive Official) who will sign the grant application on behalf of the municipality.

**Planning Requirement:**

A FEMA-approved Multi-Hazard Mitigation Plan in accordance with 44 Code of Federal Regulations Part 201 is a pre-requisite for a FEMA HMGP grant award. HMGP Sub-grantees must have a FEMA approved local hazard mitigation plan at time of obligation of funds. In order to ensure that plans are approved prior to a grant award being issued, all towns that do not have an updated Local Hazard Mitigation Plan are required to apply for funding to update their plans at the same time as they apply for funding to complete projects under the HMGP.

**Cost Overruns:**

Please note that the Federal Emergency Management Agency (FEMA) and the Department of Emergency Services and Public Protection (DESPP) shall not be responsible for any cost overruns: any cost overruns shall be the sole responsibility of the sub-grantee.

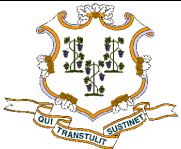
Should assistance be required in the preparation of your Sub-Application, you may wish to contact the DEMHS Mitigation Grants Project Manager Douglas Glowacki at [douglas.glowacki@ct.gov](mailto:douglas.glowacki@ct.gov) or by phone at (860) 256- 0917.

The Hazard Mitigation Grant Program (HMGP) application is a hardcopy/paper application submission. A complete HMGP application package may be downloaded from the DEMHS website at [www.ct.gov/demhs](http://www.ct.gov/demhs).

HMGP Program Guidance is available from the FEMA library at:  
<http://www.fema.gov/library/viewRecord.do?id=4225>

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# State of Connecticut

## Division of Emergency Management and Homeland Security

### Fiscal Year 2011 Grant Application – Disaster FEMA-DR-(1958 or 4023)CT

Additional Copies of this application kit are available by calling DEMHS at (860) 256-0900



1. Mail completed applications to:  
 Division of Emergency Management & Homeland Security, ATTN: Douglas Glowacki  
 25 Sigourney Street, 6<sup>th</sup> Floor, Hartford, CT 06106
2. In Addition, Please email your Completed Application to: [deanna.chaparro@ct.gov](mailto:deanna.chaparro@ct.gov)  
 With Subject Line: HMGP Grant Application 1958 / 4023

#### APPLICANT INFORMATION AND DATA SHEET

<b>1. Name of Municipality or Agency Applying For Subgrant:</b>	<b>2. Total Funding Requested:</b> \$ _____ Please note that FEMA & DESPP shall not be responsible for any cost overruns. Cost overruns shall be the sole responsibility of the sub-grantee.
<b>3. Point of Contact (Project Director) Name &amp; Address:</b> Name: _____ Title: _____ Organization: _____ Address Line 1: _____ Address Line 2: _____ City, State, Zip: _____ Phone: _____ Fax: _____ Email: _____	<b>4. Official Authorized to Sign for the Applicant:</b> Name: _____ Title: _____ Organization: _____ Address Line 1: _____ Address Line 2: _____ City, State, Zip: _____ Phone: _____ Fax: _____ Email: _____
<b>5. Street Address of Buildings Being Mitigated:</b> If the project being proposed involves privately owned buildings, provide the following information: Owner's Name: _____ Street Address Line 1: _____ Street Address Line 2: _____ City, State, Zip: _____ Phone #1: _____ Email: _____	<b>6. Financial Officer of Municipality or Agency</b> Name: _____ Title: _____ Organization: _____ Address Line 1: _____ Address Line 2: _____ City, State, Zip: _____ Phone: _____ Fax: _____ Email: _____

7. I, the undersigned, for and on behalf of the named municipality, do herewith apply for this subgrant, attest that, to the best of my knowledge, the statements made herein are true.

SIGNATURE OF AUTHORIZED OFFICIAL: X \_\_\_\_\_ DATE: \_\_\_\_\_



8. Applicant FEIN :

#### FEDERAL SINGLE AUDIT INFORMATION

##### ACKNOWLEDGEMENT OF FEDERAL SINGLE AUDIT SELF REPORTING REQUIREMENTS

- Sub-grantees that are required to undergo a Federal Single Audit as mandated by OMB Circular A-133 must alert CT DEMHS, in writing, to any specific findings and/or deficiencies with regards to the use of federal grant funds within 45 days of receipt of their audit report. This notification must identify the finding(s) / deficiencies and a corrective action plan for each.
- All sub-grantees must submit to CT DEMHS a copy of the audit report section pertaining to use of federal grant funds regardless of any findings or deficiencies, within 45 days of the receipt of that report.

*Please initial here \_\_\_\_\_ to indicate that you have read and understood this requirement.*

**Please note that the information required for boxes 9 through 13 refers to the sub-grantee's audit cycle.**

9. Applicant Fiscal Year End: _____	10. Date of Last Audit: _____
11. Dates Covered by Last Audit: _____ to _____	12. Date of Next Audit: _____
13. Dates to be Covered by Next Audit: _____ to _____	

State of Connecticut Division of Emergency Management and Homeland Security

**DEADLINE FOR APPLICATIONS: December 31, 2011 at 11:59 PM**

Summary of Project Application

Project Type (Place X in Brackets ( ) to all that Apply)

( ) Acquisition ( ) Elevation ( ) Relocation ( ) Culvert / Drainage

( ) Building Retrofit (e.g. Utility Room) ( ) Embankment Stabilization

( ) Updated Local Hazard Mitigation Plan ( ) Wind Mitigation ( ) Snow Mitigation

County \_\_\_\_\_ Congressional District \_\_\_\_\_

Fed Tax ID \_\_\_\_\_ FIPS Code \_\_\_\_\_

Project Title \_\_\_\_\_

Community in good standing with the National Flood Insurance Program ? Yes ( ) No ( )

Community has an updated Local Hazard Mitigation Plan ? Yes ( ) No ( )

Expiration Date of Local Hazard Mitigation Plan: \_\_\_\_\_  
(mm/dd/yy)

Below section to be completed by Sub-grantee:	
Sub-grantee Name (Municipality or Consultant) _____	Community Name _____
Project Title _____	
Below section to be completed by State:	
State Reviewer _____ Phone _____ Email _____	
Below section to be completed by FEMA:	
Date received in Region: Date Received at FEMA _____	
FEMA Reviewer _____ Phone _____ Email _____	

HMGP Grant Application Kit

Sub-Application Completion Checklist

This checklist will assist local communities and consultants in developing a complete Hazard Mitigation Grant Program (HMGP) Sub-Application. Project and plan Sub-Applications submitted for funding under disasters declared after June 1, 2009, shall use Hazard Mitigation Assistance (HMA) Unified Guidance: <http://www.fema.gov/library/viewRecord.do?id=4225>

\*Note: For Projects (e.g. Property Acquisition, Elevation, Culverts, Wind Mitigation Etc.) please **use Sections 1, 2 and 4 only.**

For Planning (e.g. Local Hazard Mitigation Plan Update) please **use Sections 3 and 4 only.**

Project Sub-Application Task	Page Number location in this Application	State Review	FEMA Review
<b>SECTION 1: PROJECT SUB-APPLICATION</b>			
A. Project location			
B. Description of Existing Conditions			
C. Scope of Work (Project Description)			
D. Project Photographs			
E. Project Maps			
F. Project Drawings			
G. Alternatives			
H. Work Schedule			
J. Project Cost Information			
I. Maintenance Schedule and Associated Cost			
K. Estimated Project Cost Share			
L. Other Funding Agencies			
M. Mitigation Plan Status & Information			
N. Public Notice/Official Newspaper Information			
O. Required Benefit-Cost Analysis (BCA)			
P. Environmental/Historic Preservation Information			
Q. Waterway/Waterbody/Wetlands Information			
R. Floodplain Location			
S. National Flood Insurance Program (NFIP)			
T. General Conditions			
U. Match Funding Certification			
V. Maintenance Agreement			
W. Property Acquisition/Relocation/Elevation Worksheet			
X. Property Acquisition/Relocation/Elevation Certification			



Project Sub-Application Task	Page Number location in this Application	State Review	FEMA Review
<b>Section 2: Property Acquisition/Elevation Projects</b>			
Property Acquisition/Relocation/Elevation Worksheet			
Photographs			
Substantial Damage Letter (If Available)			
Elevation Certificate			
Voluntary Transaction Letter			
Model Deed			
Tax Assessor Card			
Property Acquisition/Relocation/Elevation Certification			
<b>Section 3: Hazard Mitigation Plan (New Plans or Plan Updates)</b>			
Scope of Work (SOW)			
Work Schedule			
Plan Maintenance Schedule and Associated Costs			
Planning Cost Information			
Planning Cost Share (25%)			
Other Funding Agencies (if any)			
Mitigation Plan Status and Information			
<b>Section 4: Grant Conditions and Assurances</b>			
Special Conditions <b>(Signature Required)</b>			
General Conditions <b>(Signature Required)</b>			
Assurances <b>(Signature Required)</b>			
Maintenance Agreement <b>(Signature Required)</b>			

A. Project location

Provide below or attach a brief description of the project location. Include the name of the municipality and county, intersecting streets, and easily identified landmarks such as waterbodies and structures. Include the street address of the property, if applicable. For Planning Projects, provide a description of the jurisdictions (communities and their geography) involved in the planning proposal:

Please provide project Latitude and Longitude (decimal degrees, including six or more decimal places) in the spaces below or on additional sheets. For projects with multiple structures or sites, provide lat/long for each structure or site. For projects that cover larger geographic areas provide a lat/long for the key project element.

Latitude \_\_\_\_\_ Longitude \_\_\_\_\_

**This Section Not Required for Planning Applications**

B. Description of Existing Conditions

Provide below or attach a clear description of the existing conditions that your project is intended to mitigate. Provide a brief description of the existing conditions, including the type of hazard and cause of the problem (e.g. flooding from the Johnson Brook), the frequency with which damages occur, and number of properties/roads affected, number of repetitive loss properties and their addresses. You may include a sketch if you feel it will help describe the problem. Do not describe the proposed solution (yet).

### C. Scope of Work (Project Description)<sup>1</sup>

A detailed scope of work (SOW) is a description all work required to implement the proposed activity and the associated cost and timeframes. Provide a complete and detailed description of the proposed project including the following:

- Describe the source of the hazards and risk to life, safety and improved property that you are trying to solve
- Physical area to be affected by the proposed project
- For flood related projects please describe/discuss any potential upstream/downstream impacts of proposed improvements
- Survey, Design & Engineering, Permitting, Bidding & Advertising, Construction, Site Preparation, Erosion Control, Utility Relocation/Re-connection, Direct Administrative Cost and Project Close-out
- Construction methods, including excavation or earth moving activities, if applicable
- If project is implemented, explain how it will reduce future damages
- How is the project an improvement over the existing conditions? (Maintenance & repair is not considered an improvement and is not eligible under this grant program)
- Describe how the project is consistent with the goals, strategies and recommended actions outlined in your FEMA-approved Multi-Hazard Mitigation Plan
- Describe how proposed project would address the existing conditions previously identified
- Indicate the level of protection to be provided (frequency or intensity of event to be mitigated; e.g. 100-year flood, 100 mph wind event, etc.)
- Explain level of public involvement in the decision to select the proposed project
- Explain any project issues that may arise during the performance of this project (e.g. low public participation, large and complex organization) administrative, technical, economic, legal or environmental issues.
- Explain why the proposed project was selected over the other alternatives (see section D.)

*Note: If the project is intended to protect a critical facility from flooding, the project should be designed to provide protection from a 500-year event plus 1 foot. Critical facilities include residential homes, generating plants, other utility lines, nursing homes, housing for the elderly, fire and police stations, hospitals, and other facilities that provide public health and safety services.*

#### **For a Hazard Mitigation Plan, the Scope of Work must, but is not limited to the following:**

- State whether the proposed planning activity will result in a new hazard mitigation plan or an update of an existing hazard mitigation plan.
- Describe the planning process to be conducted, including public and stakeholder involvement, number and type of meetings, workshops, etc., and the existing plans and land uses which will be analyzed.
- A detailed description of the risk analysis methodologies to be undertaken including GIS and data collection, loss estimates, and vulnerability to existing and future buildings, critical facilities and vulnerable populations for each natural hazard.
- A description of the mitigation goals and actions the jurisdiction identifies along with the implementation and prioritization of each measure.

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<sup>1</sup> FEMA has developed sample SOWs to assist Applicants applying for funding under HMGP programs for several project types. Resources for developing SOWs are available from the FEMA Library (under **keyword** type in Scope then do a search). <http://www.fema.gov/library/irlSearch.do>

**C. Scope of Work**

Provide a description below of the proposed project or plan and the work to be accomplished:

Level of Protection: \_\_\_\_\_(e.g. 25-yr event)

**This Section Not Required for Planning Applications**

D. Project Photographs

Attach photograph of the project site. Digital photos are required. Also include photos of any structure or unique features likely to be impacted by the project. Note the position, direction, and date that the photo was taken on a drawing or sketch of the project site. The Sub-grantee should also provide aerial photography of the project area.

**This Section Not Required for Planning Applications**

E. Project Maps

Provide a site location map(s) that clearly identifies the proposed project. A United States Geological Survey (USGS) topographic quadrangle map or a detailed local road map is ideal for use as a location map. Provide the site location, including a north arrow, title, and legend from the original map on an 8-1/2 x 11 sheets. Additionally, Provide wetlands map or waterways (if applicable and available), roads, and other surrounding area should be noted. If applicable, identify adjacent community boundaries.

**Note: Assessor's maps are required for Acquisition/Relocation/Elevation projects.**

**This Section Not Required for Planning Applications**

F. Project Drawings

A drawing detailing the proposed project must be included in the Sub-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. **Detailed engineering plans are not required, but should be submitted if available.**

The following is a list of items that are typically included on project 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.

**1. Existing Conditions** *(existing structures are generally drawn with a dashed line)*

- Waterway name and direction of flow
- Waterway or shoreline 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 conservation areas
- Vegetated or forest areas that would be impacted

- Adjacent roadways
- Existing buildings & utilities
- Any structure/land feature likely to be impacted by the proposed project
- Cross-Section

**2. 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 waterbodies
- Limits and dimensions of shoreline stabilization (est. quantity)
- Major clearing of vegetation (est. area)
- Any structure or land feature modified by the proposed project
- Drainage area(s) (attach drainage calculations if available)
- Cross-Section

**This Section Not Required for Planning Applications**

G. Alternatives

Attach an evaluation of two (2) feasible alternatives to the proposed project. Try to avoid the “No Action” alternative. A description of the alternative projects may include but are not limited to:

- A description of the work to be accomplished
- The level of protection
- The pros and cons of that alternative
- A description of why this alternative was not selected
- Estimated project costs

***A detailed scope, budget, and work schedule is required for the proposed project only. (Not alternatives)***

**Alternative #1:**

Description:

Level of Protection (Years): \_\_\_\_\_

Estimated Cost:\$ \_\_\_\_\_

**Alternative #2:**

Description:

Level of Protection (Years): \_\_\_\_\_

Estimated Cost:\$ \_\_\_\_\_

H. Work Schedule

Please provide a detailed work schedule and timeframe for the proposed project (attach a separate schedule or add additional lines as necessary below).

Make sure work schedule allows for grant administration [sub-grant contract execution, close-out, etc], final design and permitting, bidding and advertising, and unanticipated delays. Also consider construction season – FEMA award/performance period may occur during non-construction season. Be conservative and request more time than you think you need – you will not be penalized for completing the project sooner than the requested performance period. FEMA allows up to a three year performance period from the date of grant award.

Task	Months from Award	
	Start	Complete

**Total estimated time for project completion \_\_\_\_\_(Months)**

I. Maintenance Schedule and Associated Cost:

Provide maintenance schedule for the useful life of the project and estimated annual maintenance cost.

(For planning Sub-Applications a plan maintenance process needs to be included for monitoring, evaluating and updating the mitigation plan within a five-year cycle.)



J. Project Cost Information:

A detailed line item budget/cost estimate including narrative that describes all anticipated cost associated with the Scope of work for the proposed project. Sub-grantees are encouraged to be conservative when developing project cost estimates - grant award notification and ultimate project implementation/construction may be more than one-year after initial Sub-Application submission.

The proposed project cost estimate should be as detailed as possible, including but not limited to all work required to implement the proposed mitigation activity:

- Pre-Award Costs (see HMA Program Guidance for eligible costs)
- Survey
- Design & Engineering
- Permitting
- Bidding & Advertising
- Construction
- On-site Construction Management
- Site Preparation
- Erosion Control
- Utility Relocation/Re-connection
- Project Close-out

Project costs should be as detailed as possible and include specific line item name, quantities, rates, units of measurement (SF, CY, LF, etc.), unit costs, etc. Sub-grantees should provide the source of the estimate (e.g. documented local cost, bids from qualified professionals, published national or local cost estimating guides). Lump Sums should be avoided when possible.

If ‘in-kind’ contributions of labor or materials devoted to the project are being claimed as part of the grant match requirements, provide documentation of the basis for the valuation of the contributions. Note: Home elevation and acquisition projects typically require a cash match. In the case of an acquisition the price offered for the home will be reduced by the amount of the match. In the case of an elevation the reimbursement rate will be equal to the federal cost share (e.g. the reimbursement amount will be 75% of the costs).

FEMA cannot fund contingency costs as part of a project budget. **Neither contingency nor escalation cost are permitted as individual line items in the cost estimate.** While “contingency line items” are not allowed, Sub-grantees may want to consider adjusting unit costs/quantities to reflect uncertainties in the cost estimate and/or unexpected construction conditions.

K. Estimated Project Cost Share

Provide the cost and funding cost share information (round figures to the nearest dollar). The maximum FEMA share for a HMGP project is 75%.

Funding Sources	Funding Amount	% of Total Costs
Federal	\$	Maximum 75%
Non Federal (local share)	\$	Minimum 25%
Total Project Cost	\$	100%

A match commitment letter is required for all projects. For private homeowner elevation/utility retrofit and acquisitions projects, where the non-federal share is being provided by the

homeowner(s), please include a letter from the homeowner(s) committing to the non-federal share and any ongoing or necessary maintenance. For a municipal project application please include a letter from the municipal Chief Executive Official committing to the non-federal share and any ongoing or necessary maintenance.

L. Other Funding Agencies

Has this project been submitted to any other Federal agency as a possible source of funding?

- Yes       No       Unknown

Has funding been approved for this project from any other Federal or State agency?

- Yes       No

If Yes, from either of the above, provide the following information:

Agency Name \_\_\_\_\_

Address \_\_\_\_\_

Contact Name \_\_\_\_\_

Phone Number \_\_\_\_\_

Amount      \$ \_\_\_\_\_

M. Mitigation Plan Status & Information (plan must meet requirements of 44 CFR Part 201):

( ) **Approved** (and Locally adopted) – please indicate FEMA approval date: \_\_\_\_\_

( ) **No Plan**<sup>1</sup> A FEMA-approved hazard mitigation plan – consistent with 44 CFR Part 201 – is a pre-requisite for all FEMA mitigation grant programs.

( ) **Expired Plan**<sup>1</sup>: Date of Plan Expiration: \_\_\_\_\_

<sup>1</sup>**All municipalities that do not have a currently approved Local Hazard Mitigation Plan must submit a planning application for the creation or updating of their Local Hazard Mitigation Plan concurrent with any application for a project grant. Although a municipality may apply for a planning grant and also a project grant concurrently, project grants will not be awarded unless a municipality has a fully approved Local Hazard Mitigation Plan.**

**Briefly describe how the proposed project is consistent with the goals, actions and strategies in the community's multi-hazard mitigation plan:**

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**This Section Not Required for Planning Applications**

**N. Public Notice/Official Newspaper Information**

FEMA is required to publish a Public Notice for any project that has the potential to affect a wetland or floodplain.

Provide the following about your community's official newspaper(s):

Newspaper #1

Name \_\_\_\_\_

Address \_\_\_\_\_

Telephone # \_\_\_\_\_

Newspaper #2

Name \_\_\_\_\_

Address \_\_\_\_\_

Telephone # \_\_\_\_\_

**This Section Not Required for Planning Applications**

**O. Required Benefit-Cost Analysis (BCA) Information**

**Sub-grantees will be required to submit one (1) electronic copy of the completed BCA (exported zip file) and one (1) printed hardcopy of the BCA report from the FEMA Benefit-Cost Analysis Software Version 4.5.5 as part of the official HMGP Sub-Application.**

Benefit-cost analysis (BCA) is a standardized, systematic way to count the benefits of a mitigation project and to compare these benefits to the costs of mitigation. A complete benefit-

cost analysis counts **all** of the significant direct benefits of a mitigation project. A benefit-cost analysis always involves looking at damages and losses twice: first, before mitigation (the “as-is” situation) and second, after mitigation. The benefits of a mitigation project are simply the difference in expected damages and losses before and after the mitigation project are completed.

To be eligible for federal funding assistance thru any of FEMA’s hazard mitigation grant programs, a mitigation project must be cost-effective (benefit-cost ratio of 1.0 or greater using the FEMA BCA software). The FEMA Benefit-Cost Analysis is the method used to determine the cost-effectiveness of a proposed hazard mitigation project. FEMA has developed a new/revised BCA Tool [Version 4.5.5] to assist Sub-grantees to determine the cost-effectiveness of their proposed mitigation project. FEMA will not accept project Sub-Applications with a benefit-cost analysis conducted using older versions of the BCA software; Sub-grantees must use Version 4.5.5. The FEMA BCA software (and related training materials) are available for download at: <http://www.bcahelpline.com/>

Benefits of a proposed mitigation project can generally be sorted into four main categories:

<p><b>Avoided Physical Damages</b></p>	<ul style="list-style-type: none"> <li>▪ Buildings</li> <li>▪ Contents</li> <li>▪ Infrastructure</li> <li>▪ Landscaping</li> <li>▪ Site Contamination</li> <li>▪ Vehicles</li> <li>▪ Equipment</li> </ul>
<p><b>Avoided Loss-of-Function Costs</b></p>	<ul style="list-style-type: none"> <li>▪ Displacement costs for temporary quarters</li> <li>▪ Loss of rental income</li> <li>▪ Loss of business income</li> <li>▪ Lost wages</li> <li>▪ Disruption time for residents</li> <li>▪ Loss of public services</li> <li>▪ Economic impact of loss of utility services</li> <li>▪ Economic impact of road/bridge closures</li> </ul>
<p><b>Avoided Casualties</b></p>	<p>Deaths Injuries Illnesses</p>
<p><b>Avoided Emergency Management Costs</b></p>	<p>Emergency operations center costs Evacuation or rescue costs Security costs Temporary protective measure costs Debris removal and cleanup costs Other management costs</p>

**This Section Not Required for Planning Applications**

P. Environmental/Historic Preservation Information

Please identify the environmental permits anticipated for project implementation (local Conservation Commission approval, Army Corps, etc.)

Does your project affect or is it in close proximity to any buildings or structures 50-years or more in age?

- Yes                       No                       Unknown

If 'yes' please describe:

---

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Does your project involve the disturbance of ground?

- Yes                       No                       Unknown

If 'yes' please describe the past use and dimensions of the area to be disturbed:

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Are State and/or Federally listed threatened or endangered species or their critical habitat present in the area affected by the project?

- Yes                       No                       Unknown

If yes, please describe:

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**This Section Not Required for Planning Applications**

Q. Waterway/Waterbody/Wetlands Information

This information can be obtained from the National Parks Service.

1. Name: (waterway/body)

2. Nationwide Rivers Inventory Designation (<http://www.nps.gov/rtca/nri/states/ma.html>):

- Wild                       Scenic                       Recreational

Nationwide Rivers Inventory Designation (Continued)

Outstanding Resource Value:

- |                                    |                                        |                                   |
|------------------------------------|----------------------------------------|-----------------------------------|
| <input type="checkbox"/> Scenic    | <input type="checkbox"/> Recreational  | <input type="checkbox"/> Geologic |
| <input type="checkbox"/> Fisheries | <input type="checkbox"/> Water Quality | <input type="checkbox"/> Historic |
| <input type="checkbox"/> Cultural  | <input type="checkbox"/> Other         |                                   |

3. Is there a Flood Insurance Study (FIS) available for your community? Yes ( ) No ( )

**This Section Not Required for Planning Applications**

R. Floodplain Location

Flood mitigation and drainage improvement project Sub-Applications must include a **Firmette** or copy of the flood insurance rate map (FIRM). **The project location and community panel number must be clearly identified.** Firmette's can be created on-line from FEMA's map service center at:  
<http://msc.fema.gov/webapp/wcs/stores/servlet/femawelcomeview?storeid=10001&catalogid=10001&langid=-1>

**This Section Not Required for Planning Applications**

S. National Flood Insurance Program (NFIP)

1. Is the Community participating in the NFIP?

- If "Yes" provide the following:
- NFIP Community ID #(CID) \_\_\_\_\_  
Dated: \_\_\_\_\_

2. Is the project located in a Special Flood Hazard Area (SFHA)? Yes ( ) No ( )

3. Is the project located in a Regulatory Floodway? Yes ( ) No ( )

4. Based on the FIRM, indicate the flood zone(s) of the project site(s)

(e.g., A10, C, AE, V): \_\_\_\_\_

500-Year (base) flood elevation at the site is \_\_\_\_\_ Ft. [NGVD 29 (MSL) or NAVD 88]

100-Year (base) flood elevation at the site is \_\_\_\_\_ Ft. [NGVD 29 (MSL) or NAVD 88]

HMGP Grant Application Kit

50-Year (base) flood elevation at the site is \_\_\_\_\_ Ft. [NGVD 29 (MSL) or NAVD 88]

10-Year (base) flood elevation at the site is \_\_\_\_\_ Ft. [NGVD 29 (MSL) or NAVD 88]

Source of the (base) flood elevation \_\_\_\_\_ (This information can be provided as best available data from sources such as: CT DEEP, local planning and zoning offices or town engineering departments, etc.)

Coastal Barrier Resources Area             Otherwise Protected Area

5. Floodplain Consultation (*Coordination/consultation with the local floodplain administrator is strongly encouraged if the proposed project is located in, or near mapped special flood hazard areas*).

Local Floodplain Administrator:

Name: \_\_\_\_\_ Phone: \_\_\_\_\_

Local Floodplain Administrator consulted?    Yes    No    Date: \_\_\_\_\_

Provide Floodplain Administrator Comments:

T. General Conditions

The undersigned submits this Sub-Application under the Federal Emergency Management Agency's **Hazard Mitigation Grant Program (HMGP)**, and does hereby certify that the Sub-grantee will fulfill all requirements of the program.

The undersigned acknowledges that actions initiated and or completed without fulfilling the specific documentation and procedural requirements of the National Environmental Policy Act (NEPA) may not be considered for FEMA funding. In addition, no project Sub-grant can be considered for FEMA funding if the project was initiated prior to the award of the Sub-grant from the Connecticut Division of Emergency Management and Homeland Security (DEMHS).

The undersigned acknowledges that to retain eligibility for funding, the Sub-grantee may not initiate work on this project prior to FEMA and State approval. Furthermore, that as a condition of any project approval, the Sub-grantee acknowledges that they are responsible for obtaining all required permits and approvals (federal, state & local) prior to project initiation, including but not limited to obtaining easements, right-of-way access, etc. necessary for project implementation and long-term maintenance of the proposed mitigation activity. Copies of all permits are to be forwarded to DEMHS prior to project construction. Any modifications to the approved scope of work must be submitted to DEMHS and FEMA for approval. All site inspections and maintenance should be documented and maintained by the Sub-grantee, since this would be essential in determining the eligibility of federal funding for future damages arising at the sites.

The undersigned acknowledges that other types of federal assistance that have been received for this project have been identified within this Sub-Application. In addition, all requests or anticipated requests for funding made to other federal agencies or sources are also identified within this Sub-Application.

Signature \_\_\_\_\_

Date \_\_\_\_\_





U. Match Funding Certification

I hereby certify that the 25% local share of this project is available from:

( ) The individual homeowner/property owner(s) will provide the local match in its entirety.  
**(Please include a commitment letter from each homeowner committing to the non-federal share and any ongoing or necessary maintenance.)**

( ) Will be available within 3 months of submitting this project Sub-Application

( ) Will be available within \_\_\_\_\_ months of submitting this project Sub-Application and will require the following action by the Sub-grantee: \_\_\_\_\_  
\_\_\_\_\_

Describe the source of local share: \_\_\_\_\_  
\_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_



**This Section Not Required for Planning Applications**

V. Maintenance Agreement<sup>2</sup>

The *City/Town/County* of \_\_\_\_\_, State of \_\_\_\_\_, hereby agrees that if it receives any Federal aid as a result of the attached project Sub-Application, it will accept responsibility, at its own expense if necessary, for the routine maintenance of any real property, structures, or facilities acquired or constructed as a result of such Federal aid. Routine maintenance shall include, but not be limited to, such responsibilities as keeping vacant land clear of debris, garbage, and vermin; keeping stream channels, culverts, and storm drains clear of obstructions and debris; and keeping detention ponds free of debris, trees, and woody growth.

The purpose of this agreement is to make clear the Subgrantee’s maintenance responsibilities following project award and to show the Subgrantee’s acceptance of these responsibilities. It does not replace, supersede, or add to any other maintenance responsibilities imposed by any Federal law or regulation and which are in force on the date of project award.

Annual inspections should be documented and maintained by the Sub-grantee, since this would be essential in determining the eligibility of Federal funding for future damages arising at the project site.

To the best of my knowledge and belief, all data/information that is submitted within this Sub-Application is true and correct. I represent this Sub-grantee and am authorized by the governing body of this jurisdiction to commit the local matching share.

Signature \_\_\_\_\_

Date \_\_\_\_\_



<sup>2</sup> Note: the local share will be utilized to support the undertaking of this project during the specified performance period. Evidence of commitment will be made available to MEMA and/or FEMA upon request.

**This Section Not Required for Planning Applications**

W. Property Acquisition/Relocation/Elevation Worksheet

***(Prepare separate worksheets for each individual property)***

Property Owner \_\_\_\_\_ ( ) Public ( ) Private  
Tax Map, Lot or Parcel Number \_\_\_\_\_  
Rental Property ( ) Yes ( ) No  
Tenants Full Legal Name \_\_\_\_\_  
*(If more than one tenant provide separate sheet w/ complete list)*

Include three or more photographs showing the front, side and rear views of the structure as well as illustrating the surrounding properties. Digital photos are required.

If the structure has been certified “**Substantially Damaged**” please attach a copy of certification from your local flood plain administrator or local building inspector. For this property provide property owner’s name, street address and complete section 3 of this worksheet.

**1. Site Information**

Address (or Physical Legal Location): \_\_\_\_\_  
\_\_\_\_\_

- Structure located in 100-year floodplain: Yes ( ) No ( )
- Base Flood Elevation for Property: \_\_\_\_\_ft
- Lowest Finished Floor of Structure: \_\_\_\_\_ft (indicate elevation datum \_\_\_\_\_)

**2. Structural Information**

- Year of Construction \_\_\_\_\_
- Total Square Footage of Principal Structure \_\_\_\_\_ (sf)
- Building Type:
  - ( ) 1-Story w/o basement ( ) 1-Story w/ basement
  - ( ) 2-Story w/o basement ( ) 2-Story w/ basement
  - ( ) Split Level w/o basement ( ) Split Level w/ basement
  - ( ) Mobile Home ( ) Other \_\_\_\_\_

- Foundation Type:
  - ( ) Basement: Walkout ( ) Yes ( ) No
  - ( ) Crawlspace
  - ( ) Slab-on-grade

**3. Structure Cost Information**

**a. Acquisition – Total Cost \$ \_\_\_\_\_**

- Pre-Event Fair Market Value (*FMV*) \$ \_\_\_\_\_
- Estimated Cost for Demolition \$ \_\_\_\_\_
- Estimated Cost for Appraisal \$ \_\_\_\_\_
- Estimated Closing Costs \$ \_\_\_\_\_
- Estimated Cost for Site Restoration \$ \_\_\_\_\_
- Additional Fees/Surveys/Relocation Assistance \$ \_\_\_\_\_
- Other (*describe*) \_\_\_\_\_ \$ \_\_\_\_\_

**b. Relocation – Total Cost \$ \_\_\_\_\_**

- Fair Market Value of Existing Land \$ \_\_\_\_\_
- Architectural, Engineering, Surveying, etc. \$ \_\_\_\_\_
- Relocation Costs \$ \_\_\_\_\_
- Estimated Cost for Site Restoration \$ \_\_\_\_\_
- Estimated Cost for Appraisal \$ \_\_\_\_\_
- Other (*describe*) \_\_\_\_\_ \$ \_\_\_\_\_

**c. Building Elevation – Total Cost \$ \_\_\_\_\_**

- Utility Disconnection \$ \_\_\_\_\_
- Elevation of Structure \$ \_\_\_\_\_
- Construction of Foundation \$ \_\_\_\_\_
- Utility Relocation/Reconnection \$ \_\_\_\_\_
- Architectural, Engineering, Surveying, etc. \$ \_\_\_\_\_
- Incidental sitework/restoration \$ \_\_\_\_\_
- Finish Carpentry \$ \_\_\_\_\_
- Other (*describe*) \_\_\_\_\_ \$ \_\_\_\_\_

**d. Utility Elevation – Total Cost \$ \_\_\_\_\_**

- Construction of Utility Room \$ \_\_\_\_\_
- Moving Utilities \$ \_\_\_\_\_
- Connecting Utilities and Re-Ducting \$ \_\_\_\_\_
- Residual Value of Utilities<sup>1</sup> (If Unable to Move) \$ \_\_\_\_\_
- Finish Carpentry \$ \_\_\_\_\_
- Other (*describe*) \_\_\_\_\_ \$ \_\_\_\_\_

<sup>1</sup> The residual value of a utility is used in the estimate if the utility cannot be moved (e.g. old cast iron furnaces) by a contractor. The residual value is defined as the present value of the utility based on the operational capacity of the utility and the amortized value based on commonly accepted depreciation standards.

**This Section Not Required for Planning Applications**

**X. Property Acquisition/Relocation/Elevation Certification**

Participation in this Sub-Application is voluntary and prospective homeowners may withdraw their participation at any time prior to contract initiation.

Place an X in the Brackets ( ) next to one option:

- ( ) The Sub-grantee (municipality) will contribute the local matching share in its entirety.
- ( ) The individual homeowner/property owner(s) will provide the local match in its entirety. Please include documentation (commitment letter) from the homeowner(s) committing to the non-federal share and any ongoing or necessary maintenance.
- ( ) The Sub-grantee has asked homeowners to voluntarily donate up to 25% of proceeds of their property towards the Sub-grantee’s matching share. In doing so, the homeowner is essentially agreeing to accept a minimum of 75% of the fair market value for the purchase of their real property. Participation in property acquisition and relocation projects by property owners is voluntary. Documentation of voluntary interest for property acquisition must be submitted as part of the sub-application; sample ‘notices of voluntary interest’ are available at: [www.fema.gov/government/grant/resources/vol\\_notice2.shtm](http://www.fema.gov/government/grant/resources/vol_notice2.shtm)

**For structures that remain in the SFHA after the implementation of the mitigation project, flood insurance must be maintained for the life of the structure to an amount at least equal to the project cost or to the maximum limit of coverage made available with respect to the particular property, whichever is less.** Insurance coverage on the property must be maintained during the life of the property regardless of transfer of ownership of such property.

The sub-grantee (or property owner) must legally record, with the county or appropriate jurisdiction's land records, a notice that includes the name of the current property owner (including book/page reference to record of current title, if readily available), a legal description of the property, and the following notice of flood insurance requirements:

*This property has received Federal hazard mitigation assistance. Federal law requires that flood insurance coverage on this property must be maintained during the life of the property regardless of transfer of ownership of such property. Pursuant to 42 U.S.C. 5154a, failure to maintain flood insurance on this property may prohibit the owner from receiving Federal disaster assistance with respect to this property in the event of a flood disaster. The Property Owner is also required to maintain this property in accordance with the floodplain management criteria of 44 CFR Part 60.3 and City/County Ordinance.*

Sub-grantees receiving assistance for projects sited in an SFHA must ensure that these requirements are met by requesting the participating property owner(s) to sign an Acknowledgement of Conditions for Mitigation of Property in an SFHA with FEMA Grant Funds form and providing the form to FEMA prior to award or final approval. This form is available on the FEMA Web site at: <http://www.fema.gov/government/grant/resources/pre-award.shtm>

#### Y. Contact Information

For additional information concerning **HMGP project eligibility and/or Sub-Application process** contact:

Douglas Glowacki  
Deputy State Hazard Mitigation Officer  
State of Connecticut  
Department of Emergency Services and Public Protection  
Division of Emergency Management and Homeland Security  
25 Sigourney Street – 6<sup>th</sup> Floor  
Hartford, CT 06106  
Phone: 1-860-256-0917  
Email: douglas.glowacki@ct.gov

#### **State Hazard Mitigation Team Contacts:**

##### **FOR PROJECT APPLICATIONS...**

Douglas Glowacki  
Deputy State Hazard Mitigation Officer  
State of Connecticut  
Department of Emergency Services and Public Protection  
Division of Emergency Management and Homeland Security  
25 Sigourney Street – 6<sup>th</sup> Floor  
Hartford, CT 06106  
Phone: 1-860-256-0917  
Email: douglas.glowacki@ct.gov

##### **FOR PLANNING APPLICATIONS...**

Diane Ifkovic  
Senior Environmental Analyst  
State of Connecticut  
Department of Energy and Environmental Protection  
Inland Water Resources Division  
79 Elm Street – 3<sup>rd</sup> Floor  
Hartford, CT 06106  
Phone: 1-860-424-3537  
Email: diane.ifkovic@ct.gov

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## Appendix A – Mitigation Grant program resources



**Hazard Mitigation Grant Programs:**

PDM Info: <http://www.fema.gov/government/grant/pdm/index.shtm>

FMA Info: <http://www.fema.gov/government/grant/fma/index.shtm>

SRL Info: <http://www.fema.gov/government/grant/srl/index.shtm>

RFC Info: <http://www.fema.gov/government/grant/rfc/index.shtm>

Unified HMA Guidance: <http://www.fema.gov/library/viewRecord.do?id=4225>

Grant Applicant Resources: [http://www.fema.gov/government/grant/hma/grant\\_resources.shtm](http://www.fema.gov/government/grant/hma/grant_resources.shtm)

**e-Grants:**

e-Grants website: <https://portal.fema.gov/famsVuWeb/home>

e-Grants Course website: <http://training.fema.gov/EMIWeb/IS/is30.asp>

e-Grants Helpdesk: (866)476-0544 [mtegrants@dhs.gov](mailto:mtegrants@dhs.gov)

**Other Resources:**

Benefit-Cost Analysis Software Download and related Toolkit: <http://www.bcahelpline.com/>

Benefit-Cost Analysis Helpline: (866)222-3580 [bchelpline@dhs.gov](mailto:bchelpline@dhs.gov)

Engineering Helpline: (866)222-3580 [enghelpline@dhs.gov](mailto:enghelpline@dhs.gov)

Env./Historic Helpline: (866)222-3580 [ehhelpline@dhs.gov](mailto:ehhelpline@dhs.gov)

**Procedures for Developing Scopes of Work for a Draining/Stormwater Management Project:**

<http://www.fema.gov/library/viewRecord.do?id=1846>

**Procedures for Developing Scopes of Work for the Elevation of Floodprone Structures:**

<http://www.fema.gov/library/viewRecord.do?id=1844>

**Procedures for Developing Scopes of Work for Wind Retrofit Projects:**

<http://www.fema.gov/library/viewRecord.do?id=1876>

**Procedures for Developing Scopes of Work for Protective Measures Retrofit Projects for Utility, Water, and Sanitary Systems and Infrastructure:**

<http://www.fema.gov/library/viewRecord.do?id=1881>

**Property Acquisition Handbook for Local Communities:**

<http://www.fema.gov/government/grant/resources/acqhandbook.shtm>

**Engineering Case Studies by Project Type**

FEMA has developed sample engineering case studies to provide the types of information and data needed to ensure completeness of the sections of project applications affecting

## **Other Resources (Continued)**

engineering feasibility for several common mitigation measures. The Engineering Case Studies below are available from the FEMA Information Resources Library:

- [Minor Structural Flood Control Projects](http://www.fema.gov/library/viewRecord.do?id=1863) (<http://www.fema.gov/library/viewRecord.do?id=1863>)
- [Elevation](http://www.fema.gov/library/viewRecord.do?id=1862) (<http://www.fema.gov/library/viewRecord.do?id=1862>)
- [Acquisition](http://www.fema.gov/library/viewRecord.do?id=1861) (<http://www.fema.gov/library/viewRecord.do?id=1861>)
- [Wind Shutters](http://www.fema.gov/library/viewRecord.do?id=1864) (<http://www.fema.gov/library/viewRecord.do?id=1864>)
- [Non-Structural Seismic Retrofit](http://www.fema.gov/library/viewRecord.do?id=1865) (<http://www.fema.gov/library/viewRecord.do?id=1865>)
- [Structural Seismic Retrofit](http://www.fema.gov/library/viewRecord.do?id=1866) (<http://www.fema.gov/library/viewRecord.do?id=1866>)

## **Multi-Hazard Mitigation Planning Resources:**

FEMA's Hazard Mitigation Planning "How-to Guides" Website:

<http://www.fema.gov/plan/mitplanning/resources.shtm>

Mitigation Planning, Laws, Regulations & Guidance:

<http://www.fema.gov/plan/mitplanning/guidance.shtm>

FEMA's Multi-Hazard Mitigation Planning Website:

<http://www.fema.gov/plan/mitplanning/index.shtm>

## Appendix B – HMGP Project review criteria

**HMGP Project Evaluation Criteria**

**HAZARD MITIGATION GRANT PROGRAM  
Do Not Use for SRL Project Applications**

Town Name: \_\_\_\_\_ Reviewer Name: \_\_\_\_\_


<b>The extent to which the project ranks:</b>	<b>Low</b>					<b>High</b>	
	<b>0 0%</b>	<b>1 20%</b>	<b>2 40%</b>	<b>3 60%</b>	<b>4 80%</b>	<b>5 100%</b>	
Does the proposed measure prevent losses to a NFIP insurable building?							
Does the measure directly mitigate the effects of a frequent natural disaster such as flooding or high winds?							
Will the measure result in a long-term solution to a flooding problem & requires min. maintenance?							
Is the proposed measure multi-dimensional (Coupling Construction with Planning, Training or Improved Response Systems)?							
Does the proposed measure provide benefits to a large population of an area (e.g. Culvert upgrade, Bridge Replacement, Public Education...)?							
Does the project represent an innovative approach which can serve as a pilot project in another jurisdiction?							
Does the project have a Benefit to Cost Ratio greater than 1:1? (Projects which use a FEMA approved model to prove their benefits should be considered stronger than projects that only imply benefits without proof.)							
Will the measure eliminate future vulnerability to a common natural hazard (e.g. land acquisition, elevation of buildings, hurricane clips etc.)?							
Does the project protect a critical facility or community service such as a police station or school?							
Is the proposed measure located in a community that has recently or repeatedly suffered damages from natural disasters?							<b>Grand Total Score</b>
<b>Totals</b>							

## Appendix C – Assurances and Certifications



**UNITED STATES  
DEPARTMENT OF HOMELAND SECURITY  
Federal Emergency Management Agency  
Standard Assurances**

Print out these forms and fill in by hand (Type written is preferred)

<b>FEDERAL EMERGENCY MANAGEMENT AGENCY SUMMARY SHEET FOR ASSURANCES AND CERTIFICATIONS</b>		O.M.B. No. 3067-0206 Expires February 28, 2007
FOR FY	CA FOR (Name of Applicant)	
<p>This summary sheet includes Assurances and Certifications that must be read, signed, and submitted as a part of the Application for Federal Assistance.</p> <p>An applicant must check each item that they are certifying to:</p> <p>Part I <input type="checkbox"/> FEMA Form 20-16A. Assurances-Non-construction Programs.</p> <p>Part II <input type="checkbox"/> FEMA Form 20-16B. Assurances-Construction Programs.</p> <p>Part III <input type="checkbox"/> FEMA Form 20-16C. Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements.</p> <p>Part IV <input type="checkbox"/> SF LLL, Disclosure of Lobbying Activities (If applicable)</p> <p>As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the identified attached assurances and certifications.</p>		
Typed Name of the Authorized Representative		Title
Signature of the Authorized Representative		Date Signed
		
<p><b>NOTE:</b> By signing the certification regarding debarment, suspension, and other responsibility matters for primary covered transaction, the applicant agrees that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by FEMA entering into this transaction.</p> <p>The applicant further agrees by submitting this application that it will include the clause titled Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction, provided by the FEMA Regional Office entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions. (Refer to 44 CFR Part 17.)</p>		
<p><b>Paperwork Burden Disclosure Notice</b></p> <p>Public reporting burden for this form is estimated to average 1.7 hours per response. The burden estimate includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing, reviewing, and maintaining the data needed, and completing and submitting the form. Send comments regarding the accuracy of the burden estimate and any suggestions for reducing the burden to: Information Collections Management, Federal Emergency Management Agency, 500 C Street, SW, Washington, DC 20472. You are not required to respond to this collection of information unless a valid OMB control number appears in the upper right hand corner of this form. Please do not send your completed form to the above address.</p>		

FEMA Form 20-16, FEB 04

**FEDERAL EMERGENCY MANAGEMENT AGENCY  
ASSURANCES-NON-CONSTRUCTION PROGRAMS**

**Note: Certain of these assurances may not be applicable to your project or program. If you have any 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 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 U.S.C. 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 C.F.R. 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 (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. Section 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. Sections 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 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 (P.L. 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 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 Acts of 1968 (42 U.S.C. 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 Title II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 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 interest in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with provisions of the Hatch Act (5 U.S.C. Sections 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 the Davis-Bacon Act (40 U.S.C. Sections 276a to 276a-7), the Copeland Act (40 U.S.C. Section 276c and 18 U.S.C. Sections 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. Sections 327-333), regarding labor standards for federally assisted construction subagreements.
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 (P.L. 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 U.S.C. Section 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation 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); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 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 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).

14. Will comply with P.L. 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 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 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 U.S.C. 201), as they apply to employees of institutions of higher education, hospitals, and other non-profit organizations.

FEMA Form 20-16A (BACK)



**FEDERAL EMERGENCY MANAGEMENT AGENCY  
ASSURANCES-CONSTRUCTION PROGRAMS**

**Note: Certain of these assurances may not be applicable to your project or program. If you have any 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, access to 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 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 with the approved plans and specifications and will furnish progress reports and such other information as may be required by the 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 gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 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 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. Section 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 nondiscrimination. 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. Section 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. Sections 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 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 (P.L. 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 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 Acts of 1968 (42 U.S.C. 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.
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 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 interest in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with provisions of the Hatch Act (5 U.S.C. Sections 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.

13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. Sections 276a to 276a-7), the Copeland Act (40 U.S.C. Section 276c and 18 U.S.C. Sections 874), and 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, 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.

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 (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 U.S.C. Section 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation 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); and (h) protection of endangered species under the 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. Section 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 protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-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 agency 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 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 (41 CFR 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 transfer, 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 subgrants 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 Organizations" included in Vol. 49, Federal Register, pages 18260 through 18277 (April 27, 1984).

FEMA Form 20-16B (BACK)

<b>DISCLOSURE OF LOBBYING ACTIVITIES</b> Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352 (See reverse)		
1. Type of Federal Action:  a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	2. Status of Federal Action:  a. bid/offer/application b. initial award c. post-award	3. Report Type:  a. initial filing b. material change  For Material Change Only:  year          quarter  date of last report
4. Name and Address of Reporting Entity:  <input type="checkbox"/> Prime <input type="checkbox"/> Subaward Tier _____, if known:  Congressional District _____, if known:	5. If Reporting Entity in No. 4 is Subaward, 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:	
10. a. Name and Address of Lobbying Registrant: (If individual, last name, first name, MI):	b. Individual Performing Services (including address if different from No. 10a) (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 information 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.	Signature: _____  Print Name: _____  Title: _____  Telephone No.: _____ Date: _____	
<b>Federal Use Only:</b>		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)



**FEDERAL EMERGENCY MANAGEMENT AGENCY  
CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND  
OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS**

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 (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." Part 67 and Part 69. 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 section 1352, Title 31 of the U.S. Code, and implemented at 44 CFR Part 18, for persons entering into a 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 grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any other funds other 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 an employee of Congress, or employee of a member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

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

Standard Form LLL, "Disclosure of Lobbying Activities" attached.

*(This form must be attached to certification if non-appropriated funds are to be used to influence activities.)*

**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 local) 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.

**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 17.620: 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 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 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, 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) Requiring 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 faith 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 address, City, County, State, Zip code)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Check  if there are workplaces on file that are not identified here.

Section 17.630 of the regulations provide 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.