

STATE OF COLORADO

**DIVISION OF HOMELAND SECURITY
AND EMERGENCY MANAGEMENT**



HMA Program Planning Projects

A Handbook for Local Officials

STATE OF COLORADO
HAZARD MITIGATION ASSISTANCE
HAZARD MITIGATION PLANNING

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STATE OF COLORADO
HAZARD MITIGATION ASSISTANCE
HAZARD MITIGATION PLAN HANDBOOK

1. INTRODUCTION:

Hazard mitigation is any sustained action taken to reduce or eliminate long-term risk to people and property from natural hazards and their effects. Therefore, hazard mitigation actions are measured in terms of long-term hazard risk reductions and, when possible, the goal of hazard mitigation should be the permanent elimination of negative consequences resulting from a hazard. It is important to differentiate hazard mitigation from other phases of emergency management; chiefly because preparedness, response and recovery measures address the needs created by the occurrence of a disaster or emergency, rather than interrupting or eliminating the disaster caused cycle of damage, recovery and re-damage.

For the reason outlined above, the State of Colorado Division of Homeland Security and Emergency Management (DHSEM) encourages public and non-governmental agencies and organizations, private business and industry, and all Colorado citizens, to integrate hazard mitigation activities into their future development and sustainability plans.

On March 30, 2011, President Obama signed Presidential Policy Directive 8: National Preparedness (PPD-8), and the National Mitigation Framework was finalized in May 2013. The National Mitigation Framework comprises seven core capabilities, including Threats and Hazard Identification, Risk and Disaster Resilience Assessment, Planning, Community Resilience, Public Information and Warning, Long-term Vulnerability Reduction, and Operational Coordination. The Federal Emergency Management Agency's (FEMA's) Hazard Mitigation Assistance (HMA) programs provide funding for eligible activities that are consistent with the National Mitigation Framework's Long-term Vulnerability Reduction capability.

The Hazard Mitigation Grant Program (HMGP) is one of the HMA grant programs that support implementation of the National Mitigation Framework. The HMGP is authorized under Section 404 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (P.L. 93-288, as amended), hereinafter referred to by the simplified title "Stafford Act", and implemented by Title 44, Code of Federal Regulations, Sub-Part N, Part 206.431. Further, FEMA's Hazard Mitigation Assistance Unified Guidance, dated June 12, 2013, outlines eligibility criteria and grant utilization methodologies for HMA grants.

Any use of coercive methods, police powers, or eminent domain condemnation used in connection to any FEMA funded mitigation project is prohibited. Additionally, Section 308 of the Stafford Act and Title VI of the Civil Rights Act of 1964 require administration of all HMA programs in an equitable and impartial manner, without discrimination on the grounds of race, color, religion, nationality, sex, age, disability, English proficiency, or economic status.

This handbook supplements the law, regulations, and guidance mentioned above and focuses exclusively on the HMGP and its ability to fund hazard mitigation planning projects.

2. PURPOSE OF THIS HANDBOOK:

This guidance document was created to assist those applying for mitigation assistance through the Hazard Mitigation Assistance Program (HMA) offered by the Federal Emergency Management Agency (FEMA) and State of Colorado, DHSEM. It includes a step-by-step guide to the most common questions when filling out the Hazard Mitigation Plan Application. However, there may be additional assistance needed. If this occurs, please contact the DHSEM Mitigation Team at 303-915-2848. To review FEMA's HMGP requirements please refer to the website at [FY 2013 Hazard Mitigation Guidance | FEMA.gov](#) which can be downloaded.

3. PURPOSE OF HMA FUNDED HAZARD MITIGATION PLANS:

Mitigation plans are the foundation for effective hazard mitigation. A mitigation plan is a demonstration of the commitment to reduce risks from natural hazards and serves as a strategic guide for decision-makers as they commit resources.

The mitigation planning process includes hazard identification and risk assessment leading to the development of a comprehensive mitigation strategy for reducing risks to life and property. The mitigation strategy section of the plan identifies a range of specific mitigation actions and projects being considered to reduce risks to new and existing buildings and infrastructure. This section includes an action plan describing how identified mitigation activities will be prioritized, implemented, and administered.

Planning activities funded under HMA are designed to develop State, Indian Tribal, and local mitigation plans that meet the planning requirements outlined in 44 CFR Part 201. A mitigation planning subgrant award must result in a mitigation plan adopted by the jurisdiction(s) and approved by FEMA or it must result in a planning related activity approved by FEMA (e.g., incorporating new data into the Risk Assessment, or updating the Mitigation Strategy to reflect current disaster recovery goals) consistent with the requirements in 44 CFR Parts 201 and 206.

For FMA, funds shall only be used to support the flood hazard portion of State, Indian Tribal, or local mitigation plans to meet the criteria specified in 44 CFR Part 201. Funds are only available to support these activities in communities participating in the NFIP.

For links to mitigation planning and risk assessment resources, see Part X, C.2 in the [HMA Unified Guidance](#).

4. MULTI-HAZARD MITIGATION PROJECTS:

4.1. Eligible Hazard Mitigation Planning-Related Activities

Eligible activities include but are not limited to:

- Update or enhance sections of the current FEMA-approved mitigation plan, such as:
 - Risk and vulnerability assessment based on new information, including supporting studies, such as economic analyses;
 - Mitigation strategy, specifically strengthening the linkage to mitigation action implementation, with emphasis on available HMA project grant funding; or
 - Incorporate climate adaptation, green building, or smart growth principles into the risk assessment and/or mitigation strategy.
- Integrate information from mitigation plans, specifically risk assessment or mitigation strategies, with other planning efforts, such as:
 - Disaster recovery strategy (pre-or post), preparedness, or response plans;
 - Comprehensive (e.g., land use, master) plans;
 - Capital improvement or economic development plans;
 - Resource management / conservation plans (i.e., storm water, open space); or
 - Other long-term community planning initiatives (i.e., transportation or housing).
 - Building capability through delivery of technical assistance and training.
 - Evaluation of adoption and/or implementation of ordinances that reduce risk and/or increase resilience.

4.2. Ineligible Hazard Mitigation Planning

The following is a list of activities considered ineligible as “stand alone” planning-related activities:

- Hazard identification or mapping and related equipment for the implementation of mitigation activities (eligible under 5 Percent Initiative);
- Geographic Information System (GIS) software, hardware, and data acquisition whose primary aim is mitigation (eligible under 5 Percent Initiative);
- Public awareness or education campaigns about mitigation (eligible under 5 Percent Initiative);

- Project scoping or development (also referred to as “project planning”), such as BCA, engineering feasibility studies, application development, construction design, or EHP data collection; and
- Activities not resulting in a clearly defined product or product(s).

5. KEY DEFINITIONS & CONCEPTS:

GRANTEE: The State of Colorado enters into a FEMA-State agreement and in doing so becomes designated as the Grantee. The Governor designates an Authorized Representative (GAR); who may in turn appoint alternates and subordinates to implement the various assistance programs authorized by the President. The Grantee is required to develop and maintain a current FEMA approved State Standard Hazard Mitigation Plan in order to receive financial assistance.

SUBAPPLICANT & SUBGRANTEE: State agencies, local units of government, Tribal governments, and certain non-profit organizations qualify as applicants, and those with FEMA approved mitigation proposals are designated as subgrantees. The Grantee, through the Colorado DHSEM, enters into a grant agreement with subgrantees who are authorized to create the hazard mitigation plan. These grant agreements contain provisions to ensure HMGP funded projects are undertaken in a manner that is consistent with the requirements of 44CFR§206.434 and other federal and state regulations.

FUNDS AVAILABILITY: Applicants should be aware that historically the funds requested from the HMGP exceed the amount of money available. Therefore, applicants should regard the HMGP as a competitive grant, and should rank their proposals in priority order, highest first, second next, and so on.

NOTICE OF INTENT: Following a major disaster declaration, the Colorado DHSEM will notify potential HMGP applicants of the program’s availability. In response to such a notification, potential applicants should prepare and submit to the Grantee a “Notice of Intent (NOI)/ Pre-Application Scoring Worksheet” form (*see sample form*).

SUB-GRANT APPLICATION: Upon receipt of all NOI Forms, the Grantee evaluates the applicant’s proposed projects against the minimum eligibility requirements established under FEMA and State guidelines. The Grantee will provide access to the HMGP application packages to all eligible applicants who have submitted an acceptable NOI. Additionally, the Grantee will advise all eligible applicants of its

priorities for distributing HMGP funding.

COST SHARING: The total project cost, once tabulated, is divided into federal and non-federal shares. The maximum federal share may not exceed 75% of the project's cost.

BONA FIDE NEED
RULE: FEMA will only consider HMGP proposals that undertake work related to mitigating a legitimate, or bona fide, need arising in, or sometimes before, and continuing to exist in the fiscal year for which the appropriation is/was made. In simpler terms, FEMA will not approve grant funding for any project that is already underway or complete before the project's approval can be granted by FEMA. Additionally, project costs cannot be incrementally approved as a way of providing partial funding to a project already underway.

DUPLICATION OF
PROGRAMS: Many federal grant programs prohibit duplication of program (DOP) payments or co-mingling funds between different grants. However, the Community Development Block Grant (CDBG) is a federal appropriation to states and certain communities that can be used to meet all or some of the non-federal match requirement under the HMGP. If used, you will be required to identify this source because the combination of FEMA HMGP and CDBG funds may trigger the requirement for a Single Audit Act report.

6. GETTING THE APPLICANT'S PROPOSAL STARTED:

Once an applicant decides to pursue an HMGP grant a series of sequenced steps should occur.

A. Applicant's Authorized Agent:

The applicant must pick an individual to manage development of the proposal. In many cases this individual will be an employee of the applicant who has knowledge of the applicant's organizational structure, local ordinances, and is aware of the problem(s) to be addressed through hazard mitigation. The selected individual is designated the "applicant's agent", and a resolution appointing the agent must be forwarded to the grantee with the applicant's NOI (*see sample Designation of Agent Resolution form*).

B. Duties Assigned to the Applicant's Authorized Agent:

The Authorized Applicant Agent **MUST** be the chief executive officer, mayor, etc. This person must be able to sign contracts, authorize funding allocations or payments, etc. The applicant's agent should become familiar with the laws, rules, regulations,

and guidance that pertain to the HMGP. The State of Colorado provides assistance to help guide the agent through this process and much of the information necessary to manage the application's development is included in this handbook. The applicant's agent will ultimately manage development of the applicant's HMGP proposal; to include assigning tasks to others; while retaining overall responsibility for the work. In many cases the applicant's agent will become the Subgrantee's Project Officer if and when the proposal is approved.

C. Keeping Potential Project Participants Informed:

It is human nature that people impacted by unfamiliar and disruptive events will take action to restore a normal station for themselves and their families as quickly as possible. Regrettably, some people will take the wrong actions following disaster, usually because factual information and awareness of better options are not available. For this reason it is highly encouraged that the applicant establishes a method of sharing accurate and timely information with its citizens. With regard to the HMGP, a public meeting to explain how the program might be utilized has been found to be useful. A public meeting allows people to express how their individual recovery plans are progressing and what assistance might be needed to complete the work. This exchange of information allows a comparison between individual and community-wide goals to occur, and inconsistencies between the two to be recognized earlier rather than later. Further, it can give public officials and community leaders insight into what mitigation priorities exist and how they should be ranked. Lastly, a sign-in sheet can be used during the public meeting that will help establish a tool for maintaining contact with people who might contribute to the planning process.

D. Budget Development:

Next, the applicant's agent should develop a budget for the proposal. In doing so the applicant can determine if the proposed hazard mitigation project is comprehensive, and if the resources needed to fulfill the non-federal share of the project's cost are within the means of the applicant.

The cost estimate describes all of the subapplicant's anticipated costs associated with the Scope of Work (SOW) for the proposed mitigation activity. Cost estimates must include detailed estimates of various cost item categories such as labor, materials, equipment, and subcontractor costs. **No lump-sum estimates will be accepted.** The cost estimate must identify the cost categories and value for which anticipated cash and third party in-kind contributions will be used to meet the non-federal cost share. Subapplicants must provide an explanation and documentation demonstrating how the cost estimate was developed and the basis for each cost element, such as salary and fringe benefit rates for personnel, bids from qualified professionals, and costs established in nationally published or local cost estimating guides.

The hazard mitigation planning cost estimate must include a line-item breakdown of costs associated with all elements described in the SOW, such as:

- Application pre-award costs, detailed in Section F: Pre-Award Costs;
- Meetings, including labor, travel expenses, and supplies;
- Data research and collection, including eligible mapping activities or risk assessment;
- Plan drafting, review, and final production;
- Information dissemination activities, including printing and advertising; and
- Professional development training, tuition, and travel for the purpose of carrying out the planning SOW.

The table below provides general pricing guidance for new plans and plan updates depending on the size of the population being served. Costs may exceed those listed in the table depending on the SOW and proposed final product (extensive mapping, new data collection, novel approach, etc.) Discussion will be necessary if the proposed costs are exceptionally higher than what is listed.

The Risk Assessment typically costs at least 35% of overall plan budget (cash portion/federal match) and may be up to 60% of plan budget based on whether the emphasis of the scope of work is on the risk assessment or the planning process.

Community Type	Population/RVIII Examples	Range of Costs (\$)
Special District Single-Jurisdictional	Water district	\$15,000-60,000
Small County Multi-Jurisdictional	Less than 20,000	\$20,000-50,000
Midsize County Multi-Jurisdictional (MJ)	20,000-200,000/ Summit County, CO, Mesa County, CO	\$40,000-70,000
Midsize City Single-Jurisdictional (SJ)	20,000-200,000/ Boulder, Missoula, Fargo	\$20,000-80,000
Urbanized County (MJ), Metropolitan Area (MJ), or Large City (SJ)	Greater than 200,000/ Arapahoe County, CO Denver, Colorado Springs, Salt Lake	\$50,000-250,000
State Plan Update	Range is for RVIII states	\$80,000-300,000

Factors affecting the range of costs are the following:

- Technical sophistication of scope of work
- Number and size of participating jurisdictions
- Number of significant hazards affecting planning area

- Variance of hazards/risk across planning area
- Update or new plan (costs of first round updates may be similar to new plans depending on quality of original plan; second round updates should start significantly decreasing)
- Local or out of state planning lead/contractor
- Post disaster (more to analyze – higher cost)
- Economy of scale (if several similar plans developed at once in a common area, costs go down)

E. Factors That Affect the Budget – Program Income:

Program income is a result of a project-related activity that generates cash or other items of monetary value. For example: a community holds a bake-off contest to raise funds for the non-federal share of the grant, using the bake-off to provide public participation and commenting on the plan. The money raised would be considered program income. Another example might be: Federal funds are advanced and deposited in an interest bearing bank account with the expectation that they will be used within the three days allowed by regulation. However, funds won't be needed for one month. Unless the state directs that the funds be returned, the money will remain in the account earning interest. The amount of interest earned is considered program income.

All program income must be reported on the project's quarterly report and those funds should be liquidated against project commitments before any other funds are utilized.

The applicant's agent probably will not be able to accurately predict program income until after the project's approval, but should develop a tracking system to offset and report the income. Any income earned after the grant has been closed-out may reside with the subgrantee and does not have to be reported as program income.

F. Pre-Award Costs:

Costs incurred after the application period has opened, but prior to the date of the grant award or final approval, are identified as pre-award costs. As with project costs, all pre-award costs need to be tracked and documented as if the subapplicant had received the award. Pre-award costs directly related to developing the application are eligible costs to include in the grant budget. Such costs may have been incurred, for example, to develop a benefit cost analysis, to gather environmental clearance data, for preparing design specifications, or for workshops or meetings related to development and submission of the application. Costs associated with implementation of the activity but incurred prior to grant award or final approval are not eligible (projects initiated or completed prior to grant award or full approval of the project are not eligible). To be eligible for grant funding, pre-award costs must be identified as

separate line items in the cost estimate of the subapplication. Applicants may identify such pre-award costs as their non-federal cost share. Applicants who are not awarded grants will not receive reimbursement for the corresponding pre-award costs.

G. Scope of Work Statement:

For a hazard mitigation plan, the SOW must:

1. **Identify New or Updated Plan**

State whether the proposed planning activity will result in a new hazard mitigation plan or an update of an existing hazard mitigation plan.

2. **Organize Planning Team**

Identify the jurisdiction(s) that will participate in developing the plan and describe the jurisdictions. For multi-jurisdictional plans, include a statement or statements of intent to participate in the planning activity, individually signed by each participating jurisdiction, and provide a statement on how the overall planning effort will be coordinated. The cost estimate must be reasonable for the jurisdictions that are participating, as shown by signed letters of intent.

However, this does not exclude eligible jurisdictions for which letters of intent were not provided from engaging in the planning process and adopting the plan.

The local jurisdiction will document the entire updated hazard mitigation planning process, including but not limited to:

- Review of the previous plan
- All changes from previous plan
- How the plan was prepared
- How the public was involved (i.e. workshops, community outreach)

As part of the public involvement process, local jurisdiction will invite previous members of the Local Planning Team (LPT). So that members should include a cross-section of the community, such as residents, government officials, community leaders, and business owners a wider range of new invites will be sent out. The updated LPT will:

- Review all sections of the previous plan and record changes.
- Collect all previous plan recommendations, monitoring reports, evaluations and any new studies since approval of previous plan.
- Hold public hearings, meetings, and/or workshops during the plan development period.
- Solicit input from citizens and professionals with knowledge of applicable hazards.

- Solicit input regarding the feasibility of potential mitigation measures for each hazard and the prioritization of mitigation actions and projects.
- Update all data possible including worst case scenarios
- Review action items
- Review the final draft of the plan and the plan's goals and proposed mitigation projects.
- Be involved in the implementation as well as the updating of the plan's goals and proposed mitigation projects.

3. Describe the Planning Process

Describe the process for plan development, clearly demonstrating that applicable regulatory requirements will be met. Document in detail (including who will be responsible for completing each task) the activities the jurisdiction(s) will complete to develop the plan, including: public involvement, identification of hazards, development of a comprehensive risk/vulnerability assessment, identification of mitigation goals and strategies, and plan implementation, and describe how these activities relate to the cost estimate;

- Completion of a thorough review of each section of the previous plan;
- Incorporation of appropriate updates to address gaps in each section of the plan;
- Inclusion of any new/modified/updated information (including hazard, land use, and development trends), findings, research, risk data, etc. in each section of the plan; and
- A discussion of how the plan was implemented since the approval of the last plan; and
- A discussion of whether the plan update process in the existing plan will be followed or what modifications to that process will be incorporated.

4. Risk Assessment (Hazard Identification and Vulnerability)

The purpose of this section is to provide a basis for hazard mitigation planning and will include:

Hazard Identification: Local jurisdiction will develop a description and prioritization of the natural hazards that have occurred within the communities. For this plan, the risk assessment section will assess each community's risks. The natural hazards categories, all must be **consistent with the State Hazard Mitigation Plan** include, but are not limited to:

- Flood-Related Hazards including dam failures as well as local historical data.

- Wind-Related Hazards (hurricanes, coastal storms, winter storms, tornadoes) based on Information provided by the National Weather Service
- Fire-Related Hazards (drought, wildfires) based on local historical data, the National Weather Service, and/or other applicable plans/sources.
- Geologic Hazards (earthquakes, landslides, sink holes) based on local historical information, and/or other applicable plans/sources.
- Other Hazards not listed above as determined by local history and experience. Consideration may also be given to human-caused hazards (i.e. chemical spills and/or fires)

Hazard Mapping: If maps are developed during the risk assessment process, ensure that the best available data is being used, building on local jurisdiction base data maps of areas affected by multiple natural hazards. In conjunction with mapping, the local jurisdiction will develop a comprehensive inventory (database) for use in developing map items relative to the multiple hazard area:

- 1) **Critical facilities**, including, but not limited to the following:
 - a) Emergency operations center, police/fire stations
 - b) Hospitals and emergency shelters
 - c) Water and wastewater treatment plants and associated pumping stations
 - d) Power generation, transmission, and delivery facilities
 - e) Special population centers, such as day-care facilities, nursing homes/elderly housing, correctional facilities
 - f) Hazardous material facilities
 - g) Evacuation routes

Intentional or unintentional human-caused hazards may be included in the plan, but they will not be reviewed as part of the FEMA review and approval process.

- 2) **All repetitive flood loss and substantial damage structures**, as defined by FEMA, if applicable.
- 3) **Maps** that depict the location of structures, land use, and population.
- 4) **Structures will be delineated by use** (e.g. residential, commercial, industrial, institutional, other)

Vulnerability Assessment: Based on the previous information, local jurisdiction will refine and update overview of each community's vulnerability to specific hazards. This vulnerability assessment, if possible, will include:

- Types and numbers of buildings, infrastructure, and critical facilities located in the identified hazard areas.
- All existing multiple hazard protection measures within the jurisdiction, including protective measures under the National Flood Insurance Program (NFIP).
- A description of each measure and the method of enforcement and/or the point of contact responsible for implementation of each measure.
- Historical performance of each measure and a description of improvements or changes needed.
- General description of land uses and development trends to incorporate future land use decisions.

5. Multiple Hazard Mitigation Strategy

Local jurisdiction will assist participating communities in developing local mitigation strategies specific to each community's exposure and impacts by identified natural hazards. The strategy will include:

1. A list of mitigation goal statements that focus on reducing the risks from the identified natural hazards. The goal development and project prioritization will be conducted by the LPT in coordination with representatives from each of the communities. An example of a goal statement and an objective would be:
 - a. **GOAL:** Increase coordination between Federal, state, municipal and private resources in pre-disaster planning, post-disaster recovery and continuous hazard mitigation implementation.
 - b. **OBJECTIVE:** Identify the availability of additional private and public sector financial incentives for homeowners, businesses and municipalities that will allow the development and implementation of cost-effective hazard mitigation measures in high-risk areas.

2. A section that identifies and analyzes a comprehensive range of specific mitigation actions and projects being considered to reduce the effects of each hazard, with particular emphasis on new and existing buildings and infrastructure. This section will include a list of prioritized hazard mitigation projects that best meet the communities' needs for multiple hazard damage reduction.
 - a. These projects may be non-structural (e.g.: planning, regulatory measures, property acquisition, retrofitting, elevation) or structural (e.g.: seawalls, dams, dikes) solutions.

- b. At a minimum, this list of prioritized projects will be based on a process that results in identification of cost effective hazard mitigation projects with public input, including:
 - i. An analysis of proposed mitigation projects focused on several key areas, including but not limited to: economic (including benefits and cost), engineering, technical, legal, environmental, social, and political feasibility. Selected options will best fit the community's needs and meet most or all aspects of the feasibility analysis.
 - ii. Coordination with relevant Federal and State agencies for input and technical assistance.

6. Hazard Mitigation Plan Maintenance Process Monitoring, Evaluating, And Updating: Local jurisdiction will assist the communities in conjunction with the LPTs, for the monitoring, evaluating and updating the plan.

Incorporation into Existing Planning Mechanisms: Local jurisdiction will assist the communities in the implementation and incorporation of the plans' goals into other local planning processes, such as a Comprehensive Plan, or other local by-laws and ordinances.

Implementation Schedule: The completed plan will include an implementation schedule with procedures for ensuring the plans' implementation, updating and revision every 5 years.

Continued Public Involvement: Local jurisdiction will work with the communities for continued public involvement.

7. Plan Adoption

Describe the plan adoption process for the jurisdiction(s) to ensure sufficient time to complete the plan, as well as time for State and FEMA review and, if necessary, time to complete any required revisions and to formally adopt the plan. Additionally, for an update to a hazard mitigation plan, the SOW must include the reasons for the update and:

Plan Approval: The draft plan and Local Mitigation Plan Review Tool will be submitted to the State Emergency Management Agency who reviews it and if deemed approvable it is then submitted to FEMA/Region for final review and pending approval.

Local Adoption: Local jurisdiction will work with the participating communities for the Adoption of the pending approval plan by the communities' governing bodies

If available, the subapplication also should include a copy of the crosswalk from the FEMA approval of the previous plan. The subapplicant will provide the State with a list of mitigation capabilities and actions as directed for inclusion in the State HMP database.

Sample SOW

Purpose

The [insert name of local community(s)] will develop a local hazard mitigation plan [indicate whether plan is an update] to reduce potential losses from future disasters. The plan will meet the federal mitigation planning requirements of 44 CFR 201.6 to be eligible to apply for project grants under FEMA's Hazard Mitigation Assistance programs.

This will be a [indicate single jurisdiction or multi-jurisdictional] plan. [If multi-jurisdictional plan, include: The jurisdictions represented in the plan include: [list jurisdictions]. See attached statements of intent to participate in the project.] The [insert lead agency] will coordinate this planning project. The project will result in a FEMA approved local hazard mitigation plan that will be aligned with the [insert name of approved State Mitigation Plan].

Plan Development Tasks

The proposed planning project has five tasks:

- Task 1.** Organize Planning Team and Conduct Outreach Activities
- Task 2.** Document the Planning Process
- Task 3.** Conduct a Risk Assessment
- Task 4.** Develop a Mitigation Strategy
- Task 5.** Submit and Adopt the Plan

Task 1. Organize Planning Team and Conduct Outreach Activities

- A. The [insert lead agency] will establish a planning team to oversee the development of the plan. The planning team will include representation from each participating jurisdiction.
- B. The planning team will identify and involve stakeholders in the planning process including local and regional agencies involved in hazard mitigation activities, agencies that have the authority to regulate development, neighboring communities, and other public, private, and non-profit interests.

- C. The planning team will identify and conduct activities that involve all the participating jurisdictions to provide an opportunity for the public to participate in the plan's development.

Task 2. Document the Planning Process

The plan will document the planning process used to develop the plan and how the plan will be maintained within a five-year cycle, including the following information:

- A. How it was prepared, including who was involved in the process and how the public was involved.
- B. How each jurisdiction participated in the plan's development.
- C. How plans, studies, reports, and technical information were reviewed and incorporated.
- D. How each jurisdiction will continue public participation and monitor, evaluate, and update the plan within a five-year cycle.

The updated plan will document the current planning process undertaken to update the plan.

Task 3. Conduct a Risk Assessment

The plan will include a risk assessment developed by the planning team that includes the following:

- A. A description of the natural hazards that can affect the jurisdictions in the planning area, including each hazard's type, location, extent, previous occurrences, and probability of future events.
- B. A summary of the potential impacts of each hazard in the each jurisdiction.
- C. A description of the types and numbers of NFIP insured structures within each jurisdiction that have been damaged by floods.
- D. An overall summary of the vulnerabilities of each jurisdiction.
- E. An assessment of the capabilities, including the authorities, policies, programs, and resources, available to accomplish hazard mitigation of each jurisdiction.

The updated plan will include an assessment of the changes in development in hazard prone areas and how the vulnerability of each jurisdiction has been affected. The updated plan will also include hazard events that have occurred and any other appropriate changes in data and analysis since the last plan was developed.

Task 4. Develop a Mitigation Strategy

Each jurisdiction will participate in the development of a mitigation strategy that reflects the results of the risk assessment and includes the following:

- A. Overall goals for reducing risk in the planning area
- B. Specific mitigation actions and projects being considered to reduce the impacts identified in the risk assessment, with an emphasis on new and existing buildings and infrastructure for each jurisdiction.
- C. A description of each jurisdiction's participation in the NFIP and continued compliance with NFIP requirements, as appropriate.
- D. A description of how the mitigation actions identified will be prioritized, implemented, and administered by each jurisdiction.
- E. A process for how the mitigation strategy will be implemented into other planning mechanisms in each jurisdiction.

The updated plan will include an evaluation of the status of the hazard mitigation actions in the previous plan and the progress made in achieving goals and implementing actions. The planning team will revise the plan's priorities to reflect current conditions. The updated plan will describe how each jurisdiction incorporated the mitigation plan into other planning mechanisms as a demonstration of progress.

Task 5. Submit and Adopt the Plan

The [insert lead agency] will submit the final draft plan in digital copy and the FEMA Local Mitigation Plan Review Tool completed with page numbers of required elements to the [insert name of State agency] for initial review. If available, the subapplication also should include a copy of the crosswalk or Local Mitigation Plan Review Tool from the FEMA approval of the previous plan. The subapplicant will provide the State with a list of mitigation capabilities and actions as directed for inclusion in the State HMP database.

The State will forward the plan to FEMA Region VIII for review and conditional approval pending local adoption. Revisions to the plan will be made as required by the State and FEMA. After this review is completed and pending approval given, the plan will be formally adopted by the [insert name of decision-making body(s) of each jurisdiction]. Resolutions of adoption will be provided to the State and FEMA for final plan approval.

ATTACHMENTS

Attachments for a Planning HMGP Grant may include: (not inclusive) county floodplain maps, geographical map with jurisdiction boundaries marked, risk factors

page from previous plan, jurisdiction information, matrixes (these or other created ones), or other documentation such as a letter on county letterhead that each jurisdiction has signed that they will participate fully in the planning process (this will make a stronger application).

H. Period of Performance (POP):

The amount of time necessary to undertake and complete the applicant's proposal should be documented in terms of months necessary to complete the project. While it is not necessary to outline each and every step the applicant will take, key activities should be assigned an expected completion period in order to monitor the progress of the project.

From time of project approval, there are three timelines that may be appropriate, depending on whether your plan is an update or a brand new plan. Justification for any of the proposed timelines will be required with the subapplication. There are additional tasks listed in the sample schedules not included in the Plan Development section.

Subapplications should include a work schedule for all project tasks identified in the SOW. There will be three (3) months at the beginning and end of the POP to account for State/FEMA contracting and approval, as well as compliance and review closeout.

The schedule should identify timeframes for accomplishing significant milestones. For planning subapplications, it is critical that the work schedule allow sufficient time for State and FEMA reviews; preparation of required revisions, if needed; formal adoption by the jurisdiction(s); and FEMA approval.

The following tables are examples of 9, 12, and 15 month POPs. The tasks included are broken down further than what is necessary for the cost/budget in the application, but may help with budget development. The tasks listed can be compressed into the four categories of 1) Management costs/meetings; 2) Data gathering/mapping; 3) Hazard and Risk Assessment; and 4) Plan writing and editing.

Task	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6	Month 7	Month 8	Month 9
Identify and convene stakeholders									
Define goals and objectives									
Distribute original plan (if applicable)									
Create specialist groups									
Gather new and updated data									
Individual group breakout sessions									
Create new maps and graphics									
Update existing and incorporate new information									
Complete draft									
Open review up to the public									
Incorporate public comments									
Complete and approve final draft									
Submit to State of Colorado for review									

Task	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6	Month 7	Month 8	Month 9	Month 10	Month 11	Month 12
Identify and convene stakeholders												
Define goals and objectives												
Distribute original plan (if applicable)												
Create specialist groups												
Gather new and updated data												
Individual group breakout sessions												
Create new maps and graphics												
Update existing and incorporate new information												
Complete draft												
Open review up to the public												
Incorporate public comments												
Complete and approve final draft												
Submit to State of Colorado for review												

Task	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
Identify and convene stakeholders															
Define goals and objectives															
Distribute original plan (if applicable)															
Create specialist groups															
Gather new and updated data															
Individual group breakout sessions															
Create new maps and graphics															
Update existing and incorporate new information															
Complete draft															
Open review up to the public															
Incorporate public comments															
Complete and approve final draft															
Submit to State of Colorado for review															

I. Completing the HMGP Application:

The final step for this phase is to complete the HMGP application. The grantee will provide the format for the application and will also provide federal and state assurance documents required at the time of submission.

The applicant should pay particular attention to the deadline established by the grantee for submission of the HMGP application. At the time of submission the applications will be designated a “proposal” and assigned a unique identification number.

7. MANAGING HMGP PROPOSALS – PRE-APPROVAL:

The grantee will conduct a completeness review of all HMGP proposals submitted by the deadline and may, based upon its findings, notify the applicant's agent that additional information or clarification of certain data may be necessary. The applicant should be prepared to respond to requests from FEMA, sent via the grantee, for additional information that may be needed to complete the National Environmental Protection Agency (NEPA) review.

After the HMGP proposal is reviewed by the grantee, the applicant may be asked to perform any or all of the following actions:

- a. Refine the proposal (i.e. expand the Problem Statement to elaborate on some "ripple effect" issue, clarify some detail included in the Proposed Solution, revise the budget to keep estimated costs close to the proposal's anticipated benefits, etc.).

While waiting for notification from FEMA on the grantee's Application for HMGP Award, the applicant may wish to get ready to manage the grant. Some recommended steps include:

- a. Ensure record and book-keeping systems are ready;
- b. Draft contracts, purchase orders, grant management procedures, etc.;
- c. Keep participants informed about the status of the proposal;
- d. Keep stakeholders & members of the media on your side; and,
- e. Keep in contact with the grantee and notify the office of any change.

In anticipation of approval of the proposal the applicant may wish to begin tracking of its in-kind contract work and force account contributions.

8. MANAGING AN APPROVED HMGP PROJECT:

A. The grantee will notify the applicant of the HMGP proposal's approval by FEMA.

Included in the FEMA approval will be a letter indicating the following:

1. Name of Project and National Emergency Management Information System (NEMIS) Project ID Number
2. Date of Approval
3. Approved Scope of Work
4. Approved Period of Performance
5. Approved Budget Amount
6. Quarterly Reporting Requirement

Also included will be a federal financial allocation advice form that shows the total funds approved for the project and the federal share amount deposited in the grantee's Smart-Link account.

At time of approval the subapplicant will be designated as the "Subgrantee" and the proposal will be deemed a "project."

B. Application for Federal Assistance, Grant Agreement, and Certifications:

The grantee will contact the subgrantee and arrange to implement the HMGP project through a kick-off meeting. This meeting may be in person or conducted remotely. The subgrantee will be asked to execute a Colorado Grant Agreement prior to disbursement of any HMGP or State funds.

C. Pay Requests:

Federal HMGP funds are awarded to cover the federal share of all direct project costs. A portion of the project's non-federal required matching funds may be awarded by the State of Colorado or provided under the CDBG if so approved. The remaining non-federal share must be matched from the source(s) indicated in the applicant's proposal. Generally, funds are provided on a reimbursement basis. Although the grantee reserves the right to waive the reimbursement rule for extraordinary circumstances, in most cases this action will be reserved to advancing funds necessary to acquire those real properties scheduled for closing within thirty days of the request for funds. Therefore, if your community does not have the financial resources to cover payments before receiving grant funds, you may want to plan ahead when it comes to scheduling closings or paying invoices.

Access to these funds will be through a Cash Advance Request Form (format to be supplied by the grantee during the kick-off meeting). The Cash Advance Request must be accompanied by supporting documentation showing expense(s) for which reimbursement is being sought. The State Hazard Mitigation Officer reviews all pay requests and documentation before processing the request. From that point each request generally takes 10-15 days before funds are deposited electronically into the applicant's account. In the event the subgrantee does not have electronic funds transfer (EFT) capabilities, a paper check (State Warrant) will be issued and mailed first-class to the subgrantee's business address.

The following are the procedures for completing and submitting a Cash Advance Request:

1. The community's Applicant's Agent prepares and submits a full or partial payment request for allowable costs outlined in the Grant Agreement and the FEMA approved scope-of-work.

2. The Cash Advance Request will specify the FEMA and DHSEM project numbers; the name of the subgrantee; requester's name; the project's title; and date of the request.
3. Additionally, the Cash Advance Request will outline the funds being requested based on both the budget line item and the cost share for each expense.

D. Rounding to Whole Dollars:

The federal government uses only whole dollar amounts when awarding and reconciling project awards. Therefore, the Letter of Credit Pay Request should also be prepared using a whole dollar amount system. Under this system each claimed expense is listed by approved budget line item and divided according to the authorized federal and non-federal cost shares. Tabulations are done line-by-line rather than by the total. Any line amount division resulting in fractional federal or state cost share will be rounded down if 49¢ or less and rounded up if 50¢ or more.

E. Certification & Authorization:

This part of the Form is self-explanatory; however, if the Letter of Credit Payment Request is not signed by the subgrantee's authorized agent or the Chief Executive or Fiscal Officer, the request cannot be processed and will be returned.

F. Scope of Work:

The approved Scope of Work (SOW) represents what information has been submitted, reviewed, and approved in the project. FEMA's approval letter will identify whether the plan will be funded. Only the activities on the approval letter will be eligible for project inclusion. The SOW will also include details on budget line items and if conditions exist that may affect continuance of the work.

In the event the subgrantee discovers that the approved SOW needs to be modified, the subgrantee will notify the grantee of the need for a change in writing. A Change of Scope is not guaranteed and the subgrantee should take all reasonable and necessary steps to limit or stop further project work until approval of the change has been granted by FEMA.

G. Activation of Subgrantee Project Support Systems:

The subgrantee should next activate all of its systems that were developed for support of the project. This includes drawing cash from the designated general or special account to open the project account; releasing advertisements for bid of design services; and, notifying the project participants that the project is approved.

H. Bidding Out Work:

The subgrantee must have written procedures that cover all procurement actions which must, at a minimum, comply with Federal requirements as stated by 44 CFR, Part 13.36. When procuring goods and/or services, the subgrantee's agent must use a fair and competitive process conducted pursuant to the applicable regulations and procedures outlined below:

1. In arranging for professional services, buyers are required to follow the procurement standards established by the Colorado Department of Personnel and Administration, State Purchasing Office. Local established procurement policies are allowed, if they are more stringent than State regulations.
2. All purchases are required to be made as prescribed in the appropriate state laws and the Federal *Uniform Administrative Requirements for Grants and Agreements* (2 CFR, Chapter II, Part 225 – formerly OMB Circular A-87).
3. “Cost-plus-percentage-of-cost” or “percentage of construction cost” contracting is prohibited and contract methodologies using same are not allowed.
4. In order to avoid awarding a contract to barred contractors, the subgrantee must conduct reasonable research into the background of bidders and sub-contractors before entering into a purchase agreement or contract.

I. Cost Over-Runs and Under-Runs:

It is understood that the project's budget was based on best available information, but it was still developed through an estimation process. Therefore, it is important for the subgrantee to identify when the project's budget has too little or too much money. The funds needed to cover cost over-runs should come from the approved project first.

When the approved project is able to restructure its budget to meet the requirement, the subgrantee can wait until its next quarterly report filing to notify the grantee of the change. However, when the subgrantee is unable to restructure its obligations to accommodate the cost over-run, the subgrantee must immediately notify the grantee of the situation and not incur any additional financial obligations. The grantee may have a small amount of reserve funds available to deal with over-runs or not. If no reserve funds are available, the grantee can examine other approved projects to determine if a cost under-run might exist, and if so, it can request from FEMA a de-obligation of funds from the donor project and a supplemental obligation of funds to the deficient project.

The obligation of funds to cover cost over-runs cannot be guaranteed since the HMGP is formula based and federal subscriptions may not exceed the grantee's total award.

9. PROJECT CLOSEOUT:

A. Closeout Request:

Once all approved mitigation actions are complete, and all issues connected with same are extinguished, the subgrantee may request formal project closeout from the grantee. The closeout request must be in writing and the following supporting documentation must be attached:

B. Record Retention:

The subgrantee is required to maintain project documentation for at least three years after the project's "official" completion. In this case "official" means after all work is complete, all bills are paid and any non-expendable property is reconciled, all audit requirements (including Single Audit Act reporting) have been satisfied, and the grantee and FEMA agree that the project is complete. Project files with records that contain personally identifiable information (PII) are covered under the Privacy Act of 1975 (5 U.S.C. §522A, as amended). The subgrantee must maintain confidentiality of all PII records and can only release said records in accordance with the disclosure rules outlined in the Act. Further, the subgrantee must document all disclosures of PII information and re-set the three year record retention schedule to reflect the day of disclosure as the first day. These records are usually retained at the local level in accordance with local requirements.

C. Single Audit Act:

Any time a non-federal entity expends \$500,000 in federal grant awards in a single fiscal year it is required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996. The Single Audit Act review will incorporate review elements included in Office of Management and Budget (OMB) Circulars A-87, A-102, A-110, and A-133 (to include the current year's compliance supplement). Additional information about the Single Audit Act may be found online at:

http://www.whitehouse.gov/omb/financial_fin_single_audit

The cost of conducting an audit in compliance with the Single Audit Act is eligible for project reimbursement so long as the project award alone is \$500,000 or more and no other federal grant is in excess of the reporting threshold; or if the project award contributes 50% or more of the combined federal grants that equal or exceed \$500,000.00. If another federal award greater than the HMGP award exists, the cost for a Single Audit Act report will not be eligible.

Exhibit A: Pre-Application (Notice of Intent – NOI) Worksheet

NOTICE OF INTENT – PRE-APPLICATION ELIGIBILITY AND SCORING WORKSHEET
FOR THE FEMA HAZARD MITIGATION GRANT PROGRAM - FEMA-4145-DR-CO
HAZARD MITIGATION PLAN PROPOSALS

Applicant/Organization: _____ Proposed Activity Title: _____

Applicant Type: State Agency Tribal Government Local Government Private Non-Profit Organization

Primary Contact: _____ Primary Contact Title: _____

Address: _____ City: _____ County: _____

Zip: _____ Phone #: _____ FAX #: _____

Email Address: _____

Alternate Contact: _____ Alternate Contact Title: _____

Phone #: _____ Email Address: _____

Proposed Project: New Plan If a private nonprofit organization is the proposed applicant, is the intent to develop a hazard mitigation plan that will be approved by FEMA and adopted by the entity (the PNP)? Yes No Not applicable

If a private nonprofit organization (PNP) is the proposed applicant, are you developing a plan because your local government does not have one? Yes No Not applicable Plan Update

Name of existing plan: _____ Expiration date: _____

- Hazard(s): Avalanche Debris Flow Deposition Drought Earthquake
 Erosion Flood Hail Landslide Lightning Rock Fall Subsidence
 Swelling Soils Tornado Wildfire Windstorm Winter Weather Other: _____

Brief Description of the Proposed Project: _____

Entities to Be Invited to Participate in the Planning Process: _____

Describe Your Proposed Planning Process: _____

Proposed Timeline: _____ Number of People in the Planning Area: _____

Estimated Total Cost: _____ Federal Share: _____ Non-Federal Share: _____

Proposed Sources of funds for the Non-Federal Share: _____

The Applicant will complete the following worksheet to the best of its ability. Only one number per space provided. The Applicant's score may not exceed 100.

Rating Factor	Scoring	
	Applicant's Self Score	State Score
Will the plan fully address all moderate or high-risk natural hazards in the applicant's jurisdiction? 10 points if "yes", 0 points if "no"		0 or 10
Does the proposed planning process fit within the larger scope of master planning, comprehensive development planning, or long-term disaster recovery/resiliency planning? 20 points if "yes", 0 points if "no" or no explanation. Explain:		0 or 20
Will this plan also serve as an official community comprehensive plan or a land use plan? 20 points for "Yes-the intent is to develop a single plan that serves both purposes and adopt as such", 0 points for "No"		0 or 20
Is your local emergency management agency/office aware of this potential project? 5 points if "yes", 0 points if "no"		0 or 5
Is your local floodplain manager aware of this potential project? 5 points if "yes", 0 points if "no"		0 or 5
Determine the Community Median Income for the benefitting entity: 0 points if >\$100,001 or no source is stated; 2 points if \$80,001 - \$100,000; 4 points if \$60,001 - \$80,000; 6 points if \$40,001 - \$60,000; 8 points if \$20,001 - \$40,000; 10 points if < \$20,000. State your source for the determination:		0 to 10
Which of the following apply: 4 points for each "yes" answer. Specify which are claimed. <ul style="list-style-type: none"> The community has adopted a national model building code (ICC, IBC, BOCA, etc.). The community has adopted regulations or ordinances mitigating natural hazards. The applicant has a proven history of implementing mitigation/prevention measures. The local land use or comprehensive plan includes hazards and mitigation measures. Intense Developmental Stress¹ ¹ Intense Developmental Stress is defined as the lack of or inadequate infrastructure to support the rapidly changing socio-economic conditions in the jurisdiction submitting the application.	 _____ _____ _____ _____	0 to 20
Would this project provide economic/societal benefit to the local community? 2 points for each "yes" up to 10 points. Check all that apply. <ul style="list-style-type: none"> Residents Private sector (business / industry) Government (local, state, or special district) Disadvantaged persons (NEPA – social justice, ADA, Civil Rights, etc.) Nongovernmental organizations Explain your reasoning:	 _____ _____ _____ _____ _____	0 to 10
PRE-APPLICATION SCORE		
<p>CERTIFICATION:</p> <p>I understand this is only a pre-application notice of intent and not the entire application process. I acknowledge that moving further in the process is not a guarantee the project will ultimately be funded. I also understand there might be a technical benefit-cost analysis component in the application process. I certify to the best of my knowledge the statements made on this Notice of Intent/Pre-application are accurate and true.</p> <p>Applicant's Agent Signature:</p> <p>Date:</p>		

PROCEDURE: All Notice of Intent/Pre-Application Worksheets will be reviewed for eligibility, accuracy, and content. The likelihood of a proposed project successfully moving forward through the application process depends on many factors including, but not limited to, a potential applicant and project's eligibility, determining a positive benefit-cost ratio (if applicable), the ranking and costs of eligible projects received versus the amount of funding available.

- 1) Fill out the Notice of Intent/Pre-application (NOI) form.
- 2) Have the Applicant's Agent Sign the Certification.
- 3) Please send it back as a PDF or hard copy.
- 4) Return it to: marilyn.gally@state.co.us and kenneth.brink@state.co.us OR mail it to Attn. Ken Brink / Marilyn Gally at DHSEM, 9195 E. Mineral Avenue, Suite 200, Centennial, CO 80112
- 5) The first round of NOIs are due COB January 31, 2014. The second round of NOIs are due by COB March 14, 2014.
- 6) DHSEM staff will review them in February and March and either a) move the potential applicant forward to the next phase in the application process or b) provide comments on concerns raised during the review process.

STATE USE ONLY <i>The Colorado DHSEM will assign a reviewer to examine the Applicant's responses.</i> State Reviewer Questions	Yes	No
	<i>Attach explanation if needed</i>	
Is there evidence the applicant is (will be) capable of accomplishing the desired activity, based on previous grants performance, regional or state recommendation, and/or local mitigation plan capability assessment?		
Does the Applicant's proposal match at least one or more priorities identified by the State for mitigating the effect of hazards?		
Do you have confidence in the accuracy of the information provided by the Applicant in this Notice of Intent?		
Do you have knowledge of additional information capable of lending support to the applicant's proposal?		
Do you have knowledge of additional information capable of creating concern for the applicant's proposal?		
Would this project be eligible for an alternate funding source such as PA406, FMAP, EWPP, CDBG, SHMP, PDM etc.?		
State Reviewer Signature and Date:		
Reviewer Signature and Date:		

Exhibit B: Hazard Mitigation Plan Application



Colorado DHSEM Hazard Mitigation Application Multi-Hazard Mitigation Plan

THIS SECTION FOR STATE USE ONLY
DISASTER: _____

Colorado Identification Number: _____	<u>Colorado Point of Contact:</u> State Hazard Mitigation Officer
Date SHMO Received Application: _____	Colorado DHSEM
FEMA Application Submittal Date: _____	9195 East Mineral Avenue, Suite 200
	Centennial, Colorado 80112

NOTE: Application must be submitted in a digital format.

PROJECT OVERVIEW

1. Applicant Legal Name: _____

Organizational Unit: _____

2. Applicant Type: Local Government State Government Private Non-Profit (Attach copy of 501c3)

3. Project Title: _____

4. Proposed Project Total Cost: _____

Federal Share (75%): _____

Non-Federal Match (25%): _____

5. Certifications:

The undersigned assures fulfillment of all requirements of the Hazard Mitigation Grant Program as contained in the program guidelines and that all information contained herein is true and correct to the best of my knowledge. The governing body of the applicant has duly authorized the document, and hereby applies for the assistance documented in this application. Also, the applicant understands that the project may proceed ONLY AFTER FEMA APPROVAL is gained.

_____	_____	_____
<i>Typed Name of Authorized Representative/Applicant Agent</i>	<i>Title</i>	<i>Telephone Number</i>
_____		_____
<i>Signature of Authorized Representative/Applicant Agent</i>		<i>Date Signed</i>

APPLICANT INFORMATION

1. Does your community have a current FEMA approved multi-hazard mitigation plan? Yes No

2. Is the community a member in good standing with the National Flood Insurance Program? Yes No

3. Has the community adopted the IBC nationally recognized building code? Yes No

4. FIPS Code: DUNS Number:

5. U.S. Congressional District: Congressperson Name:

6. State Senatorial District: Senator Name:

7. State Legislative District: Representative Name:

8. **Primary Point of Contact:**

The Primary Point of Contact is the person responsible for coordinating the implementation of this proposal, if approval is granted.

Ms. Mr. Mrs. First Name: Last Name:

Title: Organization:

Street Address:

City: State: Zip Code:

Telephone: Fax: Mobile: E-mail Address:

9. Alternate Point of Contact:

The Alternate Point of Contact is the person that can address questions or concerns in the Primary Point of Contact's absence.

Ms. Mr. Mrs. First Name: Last Name:

Title: Organization:

Street Address:

City: State: Zip Code:

Telephone: Fax: Mobile: E-mail Address:

10. Application Prepared by:

Ms. Mr. Mrs. First Name: Last Name:

Title: Organization:

Street Address:

City: State: Zip Code:

Telephone: Fax: Mobile: E-mail Address:

11. Authorized Applicant Agent:

The Authorized Applicant Agent MUST be the chief executive officer, mayor, etc. This person must be able to sign contracts, authorize funding allocations or payments, etc.

Ms. Mr. Mrs. First Name: Last Name:

Title: Organization:

Street Address:

City: State: Zip Code:

Telephone: Fax: Mobile: E-mail Address:

PROJECT DESCRIPTION

1. Describe, in detail, the proposed project. Explain: 1) who will be involved as part of the planning team, 2) methodology on how the risk assessment will be conducted, 3) what potential mapping will be completed, 4) what data will be used/needed, and 5) what kind of updates will be included (new data - LiDAR, additional maps, etc.). Include a description of the desired outcome.

Use this matrix to document who will be participating in the multi-hazard plan. Provide specific information for each jurisdiction, include county first. If additional lines are required, please attach an Excel spreadsheet.

Jurisdiction (County, City, Fire District, Water District, etc.)	Population	County/Local Floodplain Coordinator	NFIP Good Standing (Y/N)	CID Number	CRS Rating (if applicable)	Will Jurisdiction Fully Participate in Planning Process

2. Please discuss the existing (if applicable) current Hazard Mitigation Plan. When it was originally completed, has it been updated before, what are the major data gaps? Have there been any disasters in the plan area since the completion of the last plan? Please describe what, where, and severity. *What will be added to the updated plan that was not in the last version, i.e. how will this update be better than the last plan?*

-
3. Identify the jurisdiction (s) disaster loss history by disaster type.

4. Identify the natural hazards that the plan will address. Below is a list of hazards, please provide the information for each. Your previous plan may have these risk factors already listed for you. Include other hazards if not listed.

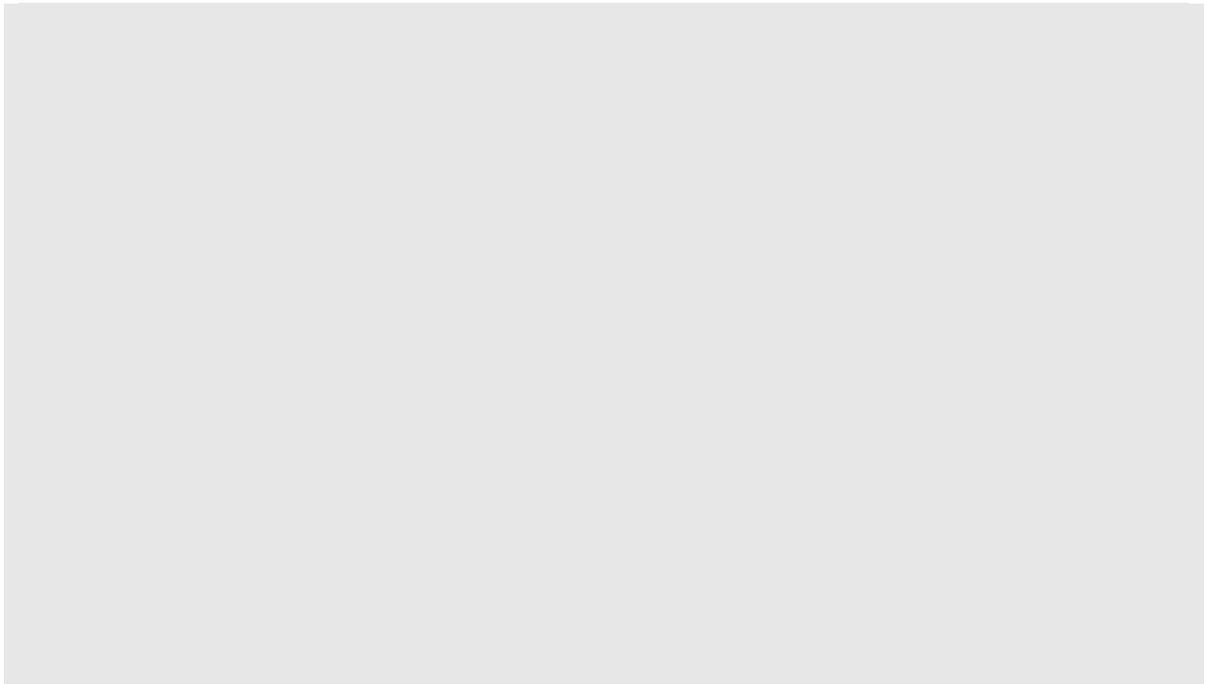
Categories are for frequency: N/A (not applicable) 1=High 2=Moderate 3=Low 4=Very low

Add severity: A=Catastrophic B=Critical C=Limited D=Minor

Hazard	Frequency	Severity
Wildfire		
Drought		
Extreme Temperatures		
Flood/Flash Flood/Ice Jams		
Hailstorms		
Landslide		
Lightning Strike		
Subsidence/Sinkhole		
Tornado/Windstorm		
Winter Storm		

5. Has the county/community initiated any mitigation measures or projects relative to the hazards identified? If so, please summarize them.

6. Enter any additional comments related to the proposed project's description, if desired.



SCOPE OF WORK / BUDGET

This section details all of the costs estimated for the project and is broken into five areas that cover the main tasks when developing a plan (a) Pre-award costs; (b) Management costs and meetings; (c) Data gathering and mapping; (d) Hazard and risk assessment; and (e) Plan writing and editing. An in-depth cost proposal detailing each step of the planning process will also be accepted. The State is requesting quarterly reports detailing the activities and accomplishments for the period.

LINE-ITEM BUDGET

ATTACH EXCEL BUDGET HERE (if applicable)

1. TOTALS FROM SPREADSHEET:

a. Pre-award costs	\$	
b. Management costs/meetings	\$	
c. Data gathering/mapping	\$	
d. Hazard & risk assessment	\$	
e. Plan writing & editing	\$	

2. Total Project Cost (a+b+c+d+e)	\$	
Federal Refund Amount	\$	
Non-Federal Match	\$	

3. Non-Federal Funding Share (up to 75% of Total Cost, depending on local match provided)

List all sources and amounts utilized in the non-federal share including all in-kind services. If any portion of the non-Federal share will come from non-applicant sources (donated services, private donation, etc.), attach letters of funding commitment for each non-applicant source.

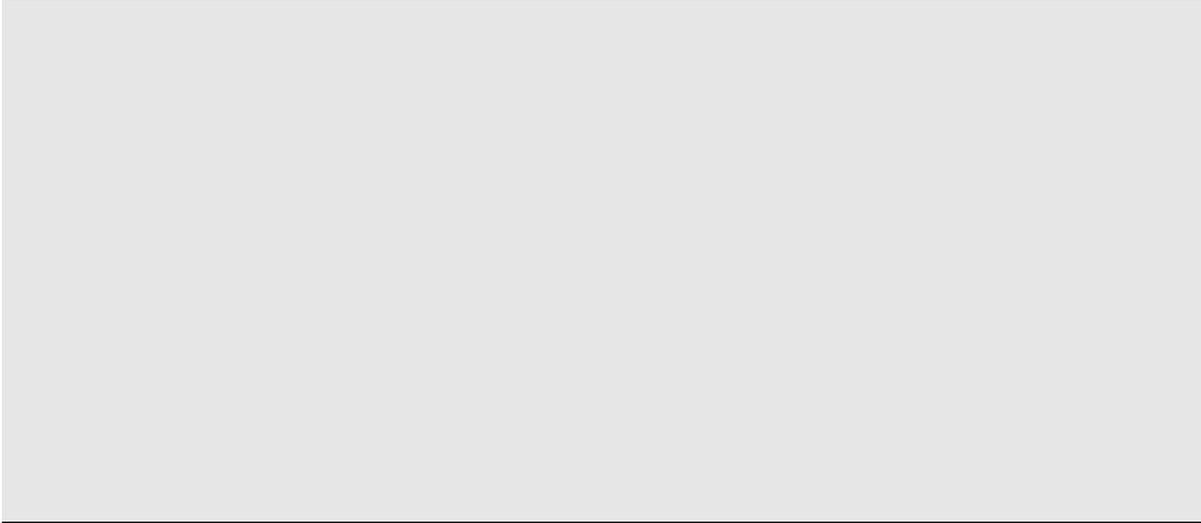
Source	Name of Source Agency	Type Funding	Amount	Commitment Letter Attached
			\$	
			\$	
			\$	
			\$	

Source = State, Local, Private Non-Profit, Other

Source Agency = Specific entity providing match

Type Funding = Administration, Cash, Consulting Fees, Engineering Fees, Equipment Operation/Rental, Labor, Supplies, Other

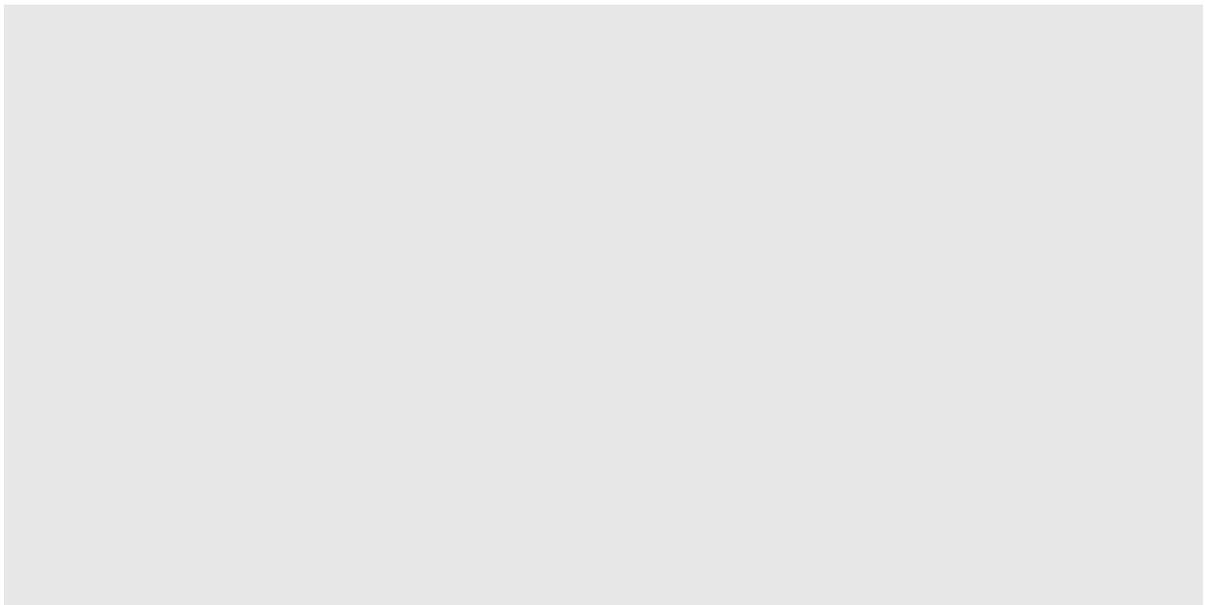
4. Describe how you will manage the costs and schedule, and how you will ensure successful performance.



5. Describe your experience with stakeholders such as various local, state, and federal government agencies, private sector, academic, or neighboring communities in an effort to reduce the risk from the hazards to which your county/community is exposed. If you do not have any experience with these entities, indicate what opportunities exist for engaging them.

6. Describe the staff and resources needed to implement this planning activity and the subapplicant's ability to provide these resources.

7. Enter any additional comments related to the proposed project's funding, if desired.



TIMELINE

1. Timeline

Insert the proposed work schedule as tasks to accomplish the overall goal of the proposed activity, i.e., appraisals, title search, closing, etc., and provide a description of the task’s purpose. This timeline will be used as a measurement tool for progress in the project’s implementation and is included in the required Quarterly Reports. Also, FEMA uses the timeline for determining the approved period of performance. It will be the basis used to justify delays or extensions, if necessary, and should be estimated carefully. Provide your own timeline if necessary. The first and last entries are state requirements and have already been entered.

Task 1:	FEMA/Colorado State Contract Process The State contract is the State’s legal mechanism required to ensure funding or services to the applicant. The timeframe reflects up to a 6 month period.	Timeframe:	3 Months
Task 2:		Timeframe:	
Task 3:		Timeframe:	
Task 4:		Timeframe:	
Task 5:		Timeframe:	
Task 6:		Timeframe:	
Task 7:		Timeframe:	
Task 8:	State Compliance Review and Closeout Financial and project reconciliation with local, state, and federal concurrence.	Timeframe:	3 Months
Total Timeframe (must not exceed 450 days, 15 months, or 1.25 years, depending on POP)		Timeframe:	

2. The start date for any proposed project begins upon FEMA approval. If a specific timeframe is needed, provide the timeframe and an explanation.

ASSURANCES

Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements

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.

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)." 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 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 extension, continuation, renewal, amendment, or modification of any Federal 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 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 the sub awards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontract(s)) and that all subrecipients 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.

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 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 against such 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).

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

TITLE

APPLICANT ORGANIZATION

DATE SUBMITTED