



Washington State Military Department

Emergency Management Division

Mitigation Grant Programs Administrative Plan



(Ferry County Sheriff's Office photo)

Life, Property, Environment, and Economy



Washington Military Department

Emergency Management Division

Mitigation Grant Programs Administrative Plan

*Updated October 2012
For DR-4083 HMGP*

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Life, Property, Environment, and Economy

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I. INTRODUCTION

A. Purpose of Document

Mitigation Grant Programs Administrative Plan, October 2012 (herein referred to as the Administrative Plan) establishes the guidance, rules, and procedures used by the Emergency Management Division of the Washington State Military Department, (hereafter referred to as the Department) to administer the following mitigation grant programs funded by the Department of Homeland Security, Federal Emergency Management Agency (hereafter referred to as FEMA):

- Hazard Mitigation Grant Program (HMGP), authorized under Section 404 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1988, as amended (42 USC 5170c), and 44 CFR Part 206 Subpart N.
- Pre-Disaster Mitigation (PDM) program, authorized under Section 203 of the Stafford Act (42 USC 5133).
- Flood Mitigation Assistance (FMA) program, authorized under Section 1366 of the National Flood Insurance Act of 1968, as amended (42 USC 4104c), and 44 CFR Part 79.
- Repetitive Flood Claims (RFC) program, authorized under Section 1323 of the National Flood Insurance Act of 1968, as amended (42 USC 4030), and 44 CFR Part 79.
- Severe Repetitive Loss (SRL) program, authorized under Section 1361A of the National Flood Insurance Act of 1968, as amended (42 USC 4102a), and 44 CFR Part 79.

This Administrative Plan meets the requirements of 44 CFR Part 206.437. It is included by reference in the *Washington State Enhanced Hazard Mitigation Plan*, approved by FEMA on October 1, 2010. Additionally, the enhanced mitigation plan is incorporated by reference in the state's Comprehensive Emergency Management Plan (CEMP) in accordance with RCW 38.52.

Until revised, resubmitted for review and reapproved by FEMA, this plan covers the administration of the following mitigation grant programs:

- Hazard Mitigation Grant Program for DR-4083, July 20, 2012 Severe Storm, straight line winds and flooding disaster, declared September 25, 2012.
- FY2013 annual Hazard Mitigation Assistance grant programs, whose application period opened after September 25, 2012.

Programmatic requirements for the mitigation grant programs listed above are covered in FEMA's *Hazard Mitigation Assistance Unified Guidance*, June 1, 2010. Programmatic requirements for all future HMA grant programs will be covered by the

guidance in place at the date of the disaster declaration (for HMGP) or funding availability (for all other programs).

B. Intent of the Programs

The intent of the mitigation grant programs is to reduce the risk of future damage, hardship, loss, or suffering as a result of major disasters by providing financial support to implement mitigation planning initiatives and cost-effective hazard mitigation measures to eligible Applicants around the state. In addition, the purpose of the flood-related mitigation programs is to reduce or eliminate claims under the National Flood Insurance Program. Mitigation measures should be identified as part of the mitigation planning process of state and local governments or tied to goals and objectives of the state's Enhanced Hazard Mitigation Plan and the appropriate local hazard mitigation plan, required as a condition of receiving federal disaster assistance.

C. Eligible Applicants

Eligible Applicants include agencies of state government, local governments (city, town or county), special purpose districts, Indian tribes, and certain registered private nonprofit organizations providing like-government services and essential facilities. For the PDM and three flood-related programs, non-profit organizations are ineligible to apply directly and must be sponsored by an eligible local government (city, town, or county). For the flood mitigation programs, only communities as defined in 44 CFR Part 79.2(c) are eligible to apply; they also must meet other state criteria.

Jurisdictions that apply for assistance under the grant programs are called Applicants throughout this document. Once an Applicant receives grant funding, it is considered a Subgrantee. The terms Applicant and Subgrantee are used interchangeably in this document.

To be eligible to apply to the state of Washington for a project grant from any of the mitigation grant programs, Applicants must:

- Be participating and in good standing in the National Flood Insurance Program (NFIP), as required by the grant program or location of the proposed project. This requirement pertains to jurisdictions with authority over land use and includes cities, towns, and counties, and to federally recognized Indian Tribes.
- Be compliant with all appropriate requirements of the state's Growth Management Act (RCW 36.70A) OR be actively working toward resolving issues identified as non-compliant OR being in a GMA-compliant community (Indian Tribes are exempt from this requirement). However, if the proposed project (e.g., elevating homes in the floodplain) relates to the identified non-compliance issue (e.g., floodplain regulations), then the project would not be eligible for mitigation grant funding.

- Have a FEMA-approved hazard mitigation plan developed under 44 CFR Part 201 prior to:
 - Receipt of grant funding for HMGP.
 - Close of the application period, and prior to receipt of grant funding, for PDM, FMA and SRL programs.

II. RESPONSIBILITIES

A. State Government

The Department represents the State of Washington as Grantee, and administers the mitigation grant programs identified in this plan. The State Hazard Mitigation Programs Manager is the individual within the Department with primary responsibility for administering these programs; the current incumbent is Mark W. Stewart. This position / individual is designated as the State Hazard Mitigation Officer, per 44 CFR Part 206.433(c), and as the Alternate Governor's Authorized Representative – Mitigation in the FEMA – State Agreement.

In administering the mitigation grant programs, the State Hazard Mitigation Programs Manager, assisted by other Department mitigation staff, will:

1. For HMGP: Make recommendations to the Emergency Management Division Director and the Governor's Authorized Representative on the scope of the program for the Governor's request for federal assistance - Presidential disaster declaration. This may include:
 - a. State-wide or county-specific application of the HMGP.
 - b. A list of communities, jurisdictions, and agencies with an approved local hazard mitigation plan.
 - c. A list of communities, jurisdictions, and agencies with a local hazard mitigation plan under development, under review, and pending approval.
 - d. A review of the entities in the disaster-impacted areas that have approved plans and those that may not have approved plans at the time of the event.
2. Develop and/or distribute program and application guidance, funding criteria, application timelines, and application forms.
 - a. For each HMGP, the Department may limit the number of applications allowed per eligible Applicant, and the maximum project budget / grant award, based on the projected funding available for the disaster. In addition, the Department may bring unfunded applications from other mitigation programs into a HMGP.
 - b. For other mitigation programs, FEMA will publish the number of applications and maximum federal grant award in annual program guidance.
3. Solicit qualified mitigation planning or project proposals from eligible Applicants.

4. Provide technical assistance to eligible Applicants as staff and financial resources permit. This may include Applicant briefings on program-specific issues; application development, benefit-cost and other grant-related workshops; site visits to validate potential mitigation measures; attending community meetings and local mitigation planning workshops; and reviewing draft applications prior to submission. At a minimum, Applicants will be provided copies of the state's *Application Development Guide*.
5. Prioritize projects for funding:
 - a. HMGP – Convene, as needed, a Mitigation Grant Review Committee to review, evaluate, prioritize and recommend projects for funding using established evaluation criteria published with the grant applications. Such a committee will be convened when requests for funding exceeds available funds.
 - b. Other programs – The State Hazard Mitigation Programs Manager, assisted by other Department mitigation staff, and the Review Committee as necessary, reviews applications for compliance with published program guidance and cost effectiveness, and prioritizes them using established evaluation criteria.
6. Forward funding recommendations to FEMA for review and approval.
7. Withdraw projects from consideration, if necessary
8. Develop grant agreements with and administer distribution of funds to Subgrantees.
9. Submit quarterly and final reports to FEMA.
10. Monitor Subgrantee performance, including in-progress reviews of projects and draft mitigation plans, and arrange for a final engineering inspection of projects.

B. Applicant

To be eligible to apply for and receive grant funds for mitigation projects, Applicants must have developed and adopted a FEMA-approved hazard mitigation plan that meets the criteria of 44 CFR Part 201.6 (local governments, special districts, etc.) or Part 201.7 (Indian Tribes). State agencies are required to be part of the state's Enhanced Hazard Mitigation Plan that meets the criteria of 44 CFR Part 201.4 and Part 201.5.

Representatives of the Applicant are responsible for (at a minimum):

1. Identifying potential mitigation projects and planning initiatives.

2. Establishing local priorities, submitting Letters of Intent and applications to the state for funding consideration by announced deadlines.
3. Providing information, documentation and data necessary to comply with the National Environmental Policy Act (NEPA) and to support FEMA in its environmental and historic preservation analysis.
4. Providing information, documentation and data that will enable the state to:
 - a. Conduct benefit - cost analysis (note: Applicant may prepare its own benefit-cost analysis using FEMA-approved methodology and software modules).
 - b. Conduct preliminary environmental and floodplain management reviews.
 - c. Determine potential historic or archaeological impacts.
5. Submitting invoice vouchers with appropriate documentation for reimbursement.
6. Submitting quarterly and final reports to the Department by published timelines in grant agreements.
7. Assisting with performance reviews and project inspection by Department mitigation staff.

Additionally, the Chief Executive Officer of the Applicant, or its appropriate legislative body (e.g., City Council, County Board of Commissioners), must designate an Applicant Agent and an Alternate Applicant Agent specific to the individual mitigation grant program. The Applicant Agent and his or her alternate represents the Applicant to arrange for work, monitor and evaluate work completed, and provide all required documentation to the Department. The Applicant Agent must have authority to sign on behalf of the Applicant, such as legally binding the Applicant in the grant agreement.

C. Federal Government

The Administrator of FEMA Region X will review the Department's recommendations for funding mitigation planning initiatives and mitigation projects. FEMA is the final approval authority for grant awards for all plan and project grant applications. FEMA is responsible for preparing environmental and historic preservation review documents on the submitted projects to comply with the requirements of the National Environmental Policy Act (NEPA) and the National Historic Preservation Act (NHPA).

III. FUNDING OF ELIGIBLE PROJECTS

A. Federal

Funding for the mitigation grant programs varies: for HMGP, it is by disaster; and for PDM, FMA, RFC, and SRL programs, it is by Congressional appropriation and by Congressional directives.

FEMA approved Washington's enhanced hazard mitigation plan on October 1, 2010. As of this date, and for the following three years, the maximum amount of HMGP funding for each disaster will be up to 20 percent of the federal expenditures for the disaster, under all categories of the Public Assistance and the Individual Assistance programs, less administrative costs.

Only upon formal notification by FEMA that a Subgrantee's application and funding documents have been approved, will the Department develop a grant agreement and obligate federal funds for a specific planning initiative or mitigation project for the Subgrantee.

B. Subgrantee

The Subgrantee's share of eligible project costs is 25 percent, unless action by the Washington Legislature results in the state picking up half (or 12.5 percent) of the non-federal share. The Subgrantee's share may be composed of Subgrantee-generated revenue, other state funds, and public or private loans, etc. In general, the non-federal cost share may not include funds from other federal agencies or programs, except for those with authorizing statutes that explicitly allow the funds to be used as a cost share for other federal grants (e.g., Community Development Block Grant program can use used for the local share). In addition, funds contributing to the non-federal cost share for mitigation grant programs cannot be used as cost share for other federal grant programs.

Subgrantee contributions also can be in the form of documented third-party in-kind or donated services and material. Volunteer labor and materials, cash donations from other organizations and property owners, are some of the types of in-kind services that may be considered as part of the Subgrantee's share, per 44 CFR Part 13.24. In-kind contributions must be specifically identified in the grant application and in the budget to be eligible for consideration.

The Subgrantee's share of eligible project costs is tracked through documentation provided by the subgrantee and on a reimbursement spreadsheet maintained in the working project file (see below).

C. State

Subgrantees are expected to provide 25 percent of the eligible costs for an HMGP-funded mitigation project, unless the state elects to provide one half of the non-federal share, or 12.5 percent. State participation in the non-federal share of HMGP

is determined on a disaster-by-disaster basis. It is based on recommendation of the Governor, action by the Legislature, and established in the FEMA-State Agreement signed by the Governor. Historically, the state's participation has been one-half of the non-federal share (or 12.5 percent) of the approved project costs for Subgrantees, and the entire non-federal share (or 25 percent) for state agencies receiving HMGP funds.

Legislative approval was received for state participation in the non-federal share for DR-4056 HMGP; legislative action is pending for DR-4083 HMGP.

For the PDM, FMA, RFC and SRL programs, the entire non-federal share is the Subgrantee's responsibility; no state funds are provided.

The Department provides grant funding to Subgrantees on a **reimbursement-only** basis. Prior to disbursement of any awarded funds, the Department and the Subgrantee will execute a grant agreement that establishes the period of performance for each project, as well as outlining an agreed-upon scope of work that includes any programmatic, environmental and/or historic preservation conditions required by FEMA, project costs, and estimated completion schedules. The Department develops grant agreements following project approval and receipt of grant award documents from FEMA. The Department's goal is to develop and send a grant agreement for the approved project to the Subgrantee for signature within 90 days of the date of grant award.

For all grants, the Department maintains a working project folder that contains a copy of the Subgrantee's grant funding application, and copies of the following: the grant agreement and applicable contracting documents, grant award documents, any amendments or grant agreement changes, quarterly reports, A-19s (invoice vouchers seeking reimbursement) with supporting documentation for all eligible costs and a spreadsheet to track reimbursements by cost share (federal, state [if any], and Subgrantee), any correspondence related to the project, and final inspections and reports. (Official grant agreement files are maintained in the Military Department's Contracts Office.)

The Department will monitor Subgrantee conformance to the terms and conditions of the grant agreement and performance during the grant performance period using the Subgrantee's quarterly report, reimbursement requests, desk monitoring, and on-site monitoring visits. In addition, Department staff will make site visits to provide technical assistance as necessary or requested.

IV. GRANT MANAGEMENT

HMGP

In accordance with 44 CFR Part 207, the Department can request FEMA provide a management grant equal to 4.89 percent of the federal share of the estimated eligible program costs for administration of the Hazard Mitigation Grant Program. The grant is awarded after the Department provides adequate documentation to FEMA to

support the costs and activities for which the funding will be used. Management costs are defined in Part 207.2 as “ ... any indirect costs, administrative expenses, and any other expenses not directly chargeable to a specific project that are reasonably incurred by a Grantee or Subgrantee in administering and managing the ... HMGP grant award.”

These grant funds will partially reimburse the Department for its costs to support activities to administer and manage the HMGP. These costs include the regular time and overtime as well as the associated fringe benefits for the Department’s permanent, project, and non-permanent staff and disaster reservists that support the HMGP. The costs for goods and services, travel, per diem, and lodging, also are components of the Department’s administration and management costs.

The state has chosen **not** to provide Subgrantees an allowance for costs associated with the administration of HMGP grants out of the state management grant; cost of managing a project (e.g., construction management) should be covered by a separate line item in the budget and included in the project’s benefit-cost analysis. For other mitigation grant programs, Subgrantees can request up to 5 percent of the project budget for grant management costs, per program guidance.

1. FEMA Determination of State Management Cost Funding for HMGP

- a. Between 30 and 35 days after the declaration date, FEMA will provide the Department with the preliminary lock-in amount for management costs based on projections at that time of the federal share for the disaster. FEMA may obligate 25 percent of the estimated lock-in amount at this time.
- b. At 6 months after the date of declaration, FEMA will revise the preliminary lock-in amount for management costs based on the projections at that time of the federal share for the disaster.
- c. At 12 months after the date of declaration, FEMA will determine the final lock-in amount for management costs based on the projections at that time of the federal share for the disaster.

2. State Procedures for Requesting Management Cost Funding HMGP

- a. Following notification by FEMA of the preliminary lock-in amount, and within 120 days from the declaration date, the Department will submit a HMGP project narrative that describes the activities, projected personnel requirements, Subgrantee allowance, and other costs related to the management of the program for that disaster. Documentation to support the management activities, Subgrantee allowance and associated costs will include:
 - i. The Department’s plan for expending and monitoring the funds and ensuring sufficient funds are budgeted for grant closeout; and
 - ii. An estimate of the management funds that the Department will make available to Subgrantees for their administrative allowance.

- b. FEMA will approve or reject the HMGP project narrative on management costs within 30 days of its receipt.
- c. If FEMA rejects the initial narrative, it will provide to the Department definitive reasons for the denial as well as clearly identify the additional documentation required for approval. The Department will have 30 days to submit a revised narrative for consideration and approval.
- d. At 6 months after the declaration date, the Department may request an additional obligation of 10 percent of the management cost funds, based on the revised 6-month preliminary lock-in amount. This request for additional funds will include documentation to support the request.
- e. At 12 months after the declaration date, FEMA will notify the Department of the final lock-in amount. The Department will submit a final funding request, based upon the final lock-in amount, to the FEMA Regional Administrator. The final funding request will include any necessary revisions to the required supporting documentation. FEMA will obligate the remaining funds upon approval of the final request.

3. Quarterly Reports

The Department will provide quarterly reports to FEMA's Grant Programs Division on actual expenses of HMGP management costs following approval and funding of the initial HMGP project narrative.

4. Period of Availability

The HMGP management grant will be made available until 8 years from the date of disaster declaration, or 180 days following the latest performance period date of a Subgrantee project, whichever is sooner. By the 8 year anniversary date, the funds must be expended, drawn down and final payments made.

PDM, FMA, RFC, SRL

For these programs, Applicants can request and include grant management costs, up to 5 percent of the total project costs, as part of the budget in their grant applications. Cost of managing a project (e.g., construction management) is a separate line item in a budget and must be included in the project's benefit-cost analysis. The state can request up to 10 percent of awarded funds to pay for costs to manage these programs. FEMA makes project and program management funds available only upon approval of an application.

V. PROJECT ELIGIBILITY REQUIREMENTS

A. Federal Criteria

According to the requirements of 44 CFR Part 206.434, a project must:

1. Be in conformance with the State Enhanced Hazard Mitigation Plan and the applicable local mitigation plan approved under 44 CFR Part 201.
2. Be located in a community participating in good standing in the National Flood Insurance Program, for projects involving flood-insured properties or projects located within the Special Flood Hazard Area.
3. Meet all applicable federal, state, and local permit requirements, and not contribute to or encourage development in the floodplain, wetlands, or other hazardous areas, and support environmental justice (Federal Executive Orders 11988, 11990 and 12898).
4. Be cost effective and substantially reduce the risk of future damage, hardship or loss or suffering, in that it:
 - a. Addresses a problem that has been repetitive or that poses a significant risk if left unsolved.
 - b. Will not cost more than the anticipated value of the reduction in both damages and subsequent negative impacts to the area, if future disasters were to occur.
 - c. Has been determined to be the most practical, effective, and environmentally sound alternative after consideration of a range of options.
 - d. Contributes, to the extent practicable, to a permanent or long-term solution of the problem it is intended to address.
 - e. Considers long-term changes to the areas and entities it protects, and has manageable future maintenance and modification requirements.

B. State Criteria

A project also must be indentified in the applicable local hazard mitigation plan or support its goals and objectives. It also should meet one or more of the following state criteria:

1. Protect lives and reduce public risk.
2. Reduce the level of disaster vulnerability in existing structures.
3. Reduce the number of vulnerable structures through acquisition, relocation, flood proofing, seismic retrofitting, or other measures.
4. Avoid inappropriate future construction in areas known to be vulnerable to future disasters.

5. Restore or protect natural resources, recreation, open spaces, and other environmental values.
6. Develop and implement comprehensive programs, standards, and regulations that reduce disaster damage.
7. Increase public awareness of natural hazards, preventive measures, and emergency responses to disasters.
8. Upon completion, have affordable operation and maintenance costs.

VI. SOLICITATION OF APPLICATIONS

While each of the mitigation programs has a different funding mechanism, the basic process to solicit applications is the same.

HMGP

Following a Presidential Declaration of a Major Disaster, the State Hazard Mitigation Programs Manager and Department mitigation staff will publicize the HMGP and inform potential Applicants of the availability of mitigation grant funding in a variety of ways.

At a minimum, Department mitigation staff will provide information on the HMGP during Public Assistance program applicant briefings, and send information via email to local Emergency Management offices statewide, participants in the Public Assistance program, Washington State Association of Counties, Association of Washington Cities, State Agency Liaisons, Indian Tribes, and other interested parties and eligible applicants. Department mitigation staff also will distribute information at all mitigation training and briefings, and will post information on the Emergency Management Division's web page. At their discretion, the Department and FEMA may issue a joint press release describing the program.

Information disseminated about HMGP will include basic program information and requirements, "Letter of Intent" (LOI) for mitigation planning initiatives and projects, program timeline and application deadlines, and a point of contact for further information. After the Department analyzes Letters of Intent it receives, it will send full application packages to eligible Applicants with potentially eligible applications.

Only jurisdictions that submit a Letter of Intent will be eligible to submit an application for grant funding.

Depending upon the scope of the disaster and projected amount of available funds, the Department may limit the number of applications each eligible Applicant can submit, and limit the total project costs of each planning initiative and project. The Department will share this information with potential Applicants as early as its announcement of HMGP availability, but no later than the date at which it provides

applications to potential Applicants. Applications for HMGP grant funding are provided by the Department, and do not use FEMA's Internet based eGrants system.

PDM, FMA, RFC, SRL

For these mitigation programs, the Department at a minimum will notify communities of their availability upon receipt from FEMA of the Notice of Funding Availability and/or publication of annual program guidance. The Department will use a Letter of Intent process similar to that used for HMGP described above, as well as posting information on the Department's web page. The Department will base LOI and final application deadlines upon the dates that the state must submit its application materials to FEMA. Interim deadlines will be established to provide Department mitigation staff with sufficient time to review Letters of Intent and applications for eligibility, completeness, competitiveness, and cost effectiveness prior to the FEMA application deadline. Application for these programs will be through FEMA's Internet-based eGrants system.

VII. PROJECT IDENTIFICATION

In addition to the project application process outlined above, the State Hazard Mitigation Programs Manager and other Department mitigation staff may identify, encourage and provide direct and/or technical assistance to communities to develop and submit application for appropriate mitigation projects through the following processes:

1. Briefing Preliminary Damage Assessment survey teams on the Hazard Mitigation Grant Program and enlist their help in identifying potential mitigation projects.
2. Briefing the Public Assistance Project Worksheet Teams that will complete inspections of damaged facilities so that they may identify potential projects.
3. Reviewing unfunded grant applications from prior declared disasters or other mitigation grant programs.
4. Reviewing local hazard mitigation plans from declared jurisdictions.
5. Reviewing the disaster event vis-à-vis strategies in the State Enhanced Hazard Mitigation Plan to identify potential projects or project types that would benefit from expedited consideration and funding (e.g., acquisition of substantially damaged homes in the floodplain).

VIII. PROJECT CRITERIA

Project applications must meet FEMA and State eligibility criteria as outlined in this plan and in the pertinent version of FEMA's Hazard Mitigation Assistance grant programs guidance document. Each Applicant must consider a number of

alternatives, describe each alternative in its project application, and should involve the public in its decision making process. The Applicant must find that its Proposed Action is the most practical, effective and environmentally sound alternative after considering a range of options, and it must be found cost-effective using FEMA benefit-cost methodology. The Applicant must describe the methodology / process it used to select its Proposed Action.

For any proposed project in or affecting floodplains or wetlands, the Applicant must do the following for its application to be considered complete and to warrant further consideration:

1. Follow Public Notice Requirements of 44 CFR Part 9.8, which require providing the public with adequate information and opportunity to comment at the earliest possible time during the project / application development process. Department mitigation staff will provide a public notice template and publication instructions to Applicants upon request.
2. Provide an analysis of practicable alternatives, as required by 44 CFR Part 9.9(b). This part requires the identification and evaluation of alternatives to carrying out the Proposed Action in a floodplain or wetland, to include a) alternative sites outside the floodplain or wetland; b) alternative actions which essentially serve the same purpose but which have less potential to affect or be affected by the floodplain or wetland; and c) no action.

IX. APPLICATION PROCESS

HMGP

A. Submission of Applications to the State

The Department will solicit Letters of Intent from potential Applicants as described above. Letters of Intent are used as a screening tool to determine an Applicant's eligibility as well as potential eligibility of the proposed project or planning initiative, and to track potential demand for available program resources. The Department will send HMGP application packages, to include a copy of this Administrative Plan, to eligible applicants with potentially eligible projects. The Department additionally will notify those Applicants that are ineligible or which have proposed ineligible projects or planning initiatives of their ineligibility.

The Department will establish a date for completed applications to be returned, typically between 90 and 120 days from the date applications are mailed to potential Applicants. This date will allow enough time for Applicants to ensure compliance of environmental requirements and coordination with regulatory agencies, development of alternatives, and the public involvement process. Late applications will not be accepted; see page 24.

The Department will submit the state’s complete application packet to FEMA within 12 months of the date of the disaster declaration, per federal regulation. See example HMGP application timeline, below.

Example Hazard Mitigation Grant Program Application Timeline

Hazard Mitigation Grant Program (HMGP) available <u>statewide</u> for both planning grants and project grants.	
Dates of Incident Period	Disaster Event Incident Period.
Day 1	President declares disaster in initial counties.
Day 1-45 post declaration	Applicant briefings for Hazard Mitigation Grant Program conducted in declared counties.
Day 5	Letters of Intent, program information and timeline – Emailed to ALL County and City Emergency Management Offices, Tribal Emergency Managers, State Agencies, Association of Washington Cities, and Washington Association of Counties. LOIs, Fact Sheet, and program timeline posted on the State’s website – http://emd.wa.gov .
Day 60	Letters of Intent for projects and new or revised hazard mitigation plans must be submitted to and received by State EMD via fax, email, or postal mail. <u>Late LOIs will not be considered.</u>
Day 65	Application packets made available on the EMD web site to eligible applicants for mitigation construction projects and/or hazard mitigation planning initiatives.
Day 65-175	Technical and application development assistance to include review of draft application scheduled at the request of the applicant, as time allows. For projects in or affecting a floodplain or wetland, a minimum of one public notice required. Contact State EMD Mitigation Staff, below, for public notice template and proof of publication requirement. Consultation must be completed with State Department of Archaeology and Historic Preservation for buildings 49 years old or older.
Day 180	Applications must be submitted to and received by State EMD (one hard copy, one electronic copy on CD). <u>Late applications will not be considered.</u>
Day 181 – 360	Applications reviewed for completeness and cost-effectiveness by EMD staff. Eligible applications sent to review committee for prioritization and funding recommendation.
Day 365 post declaration	Deadline for State to forward prioritized list of HMGP applications to FEMA for environmental and historic preservation reviews, and funding consideration.
Prior to Funding Approval	All jurisdictions must have an adopted, FEMA-approved hazard mitigation plan to receive HMGP project funding. <u>Lack of approved plan means project grant award will be held by FEMA until the mitigation plan receives FEMA approval.</u> Obtain necessary permits, complete State Environmental Policy Act checklist. FEMA review for eligibility occurs within the first few months following application receipt. Applications that are recommended to FEMA for final review and funding approval might have from 4 to 18 months to prepare permits and SEPA checklist. Recommended applicants must be ready to begin the project within 30 days of a signed grant agreement (contract). Time constraints on projects due to environmental issues should be identified in the grant application.
Written requests for project / application development assistance and attendance at public meetings must be received no later than (Day 160) by Mark Stewart at mark.stewart@mil.wa.gov , via Fax at (253) 512-7205, or postal mail at Emergency Management Division, Building 20, MS: TA-20, Camp Murray, WA 98430.	

B. Review, Ranking and Selection of Projects for HMGP

1. Review Process

As required by 44 CFR Part 206.435, Department mitigation staff will review all applications submitted by eligible jurisdictions for completeness, to ensure they meet state and federal eligibility criteria, and for cost effectiveness. Department mitigation staff will review the benefit-cost analysis submitted with project applications, or conduct its own based upon information provided by the Applicant for the project. As necessary, Department mitigation staff will obtain and use additional information, such as flood insurance studies or insurance claims payments, in its review of the cost effectiveness of the project. Department mitigation staff may substitute its own benefit-cost analysis in a project application if it determines that its analysis is more accurate and/or supported by documented data from credible sources.

A benefit-cost ratio of at least 1.0 calculated using FEMA methodology is required to demonstrate project cost effectiveness. The benefit-cost ratio may be used as a tiebreaker when projects are reviewed and prioritized.

All Applicants will be notified whether their application passes this initial review threshold. There is no appeal of the Department's decision of an application's ineligibility due to the application's incompleteness, lack of required documentation, and/or a benefit-cost ratio under 1.0.

If funding requested in the eligible applications in any of the three categories of HMGP funding – mitigation projects, mitigation planning initiatives, Five Percent Initiative projects – exceeds the amount available in that category, the Department will establish a Mitigation Grant Review Committee, to review, evaluate, and prioritize the applications within that category.

The Mitigation Grant Review Committee normally will consist of at least five members, to include at a minimum, the following:

- a. Two individuals from the Department's mitigation staff.
- b. One designee from a state agency that deals with issues related to the particular type or nature of the disaster (example: Department of Ecology representative for floods).
- c. Two or more individuals representing local government from outside of the declared disaster area or from a community not applying for HMGP funds.

The Department will seek local committee members that have experience in public works, engineering, land use planning, disaster grant administration, or other related experience. The committee also may consult experts from state,

local, and federal agencies. The Department may seek the assistance of the Washington State Emergency Management Association, Washington State Association of Counties, and the Association of Washington Cities to provide names of potential local committee members.

Committee members will serve without compensation, but will be reimbursed for authorized expenses incurred in the performance of their duties, in accordance with RCW 43.03.050 and 43.03.060, as now existing or hereafter amended.

The committee will review and prioritize those grant applications that pass initial eligibility screening. The committee will evaluate and prioritize applications and make funding recommendations to the Emergency Management Division Director based on criteria published with grant applications.

2. Ranking Process and Criteria

Ranking eligible projects and developing a recommendation for funding will include consideration of the following:

- a. Combined ordinal application score(s) as determined by the Mitigation Grant Review Committee.
- b. Available funding.
- c. State priorities for the HMGP based on goals and objectives in the State Enhanced Hazard Mitigation Plan, October 1, 2010.
- d. Geographical mix of submitted applications.
- e. Previous mitigation program participation and results.
- f. Current mitigation program participation. At its discretion, the Department may limit Applicants to five mitigation grant-funded projects they may hold at any one time, depending upon the following:
 - i. Demonstrated capability of the Applicant to administer previous and existing projects.
 - ii. Demand for currently available funds.
 - iii. State-announced priorities for the particular HMGP.
- g. As necessary, the benefit-cost ratio will be used as a tie-breaker when projects are prioritized and funding recommendations developed.

If the situation warrants, the Department may set aside a percentage of Hazard Mitigation Grant Program funds to implement specific projects or project types based on the disaster, or specific initiatives or strategies identified in the State Enhanced Hazard Mitigation Plan. Such initiatives will

be described in HMGP program announcements provided to all eligible applicants on program availability. Applications received for announced special projects and mitigation initiatives will be exempt from the Committee ranking process.

The Committee will develop and provide to the Emergency Management Division Director a prioritized list of projects to recommend to FEMA for approval and funding.

The Department's mitigation staff will formally notify Applicants of the results of the committee ranking and review process and of their recommended, or non-recommended, status, to include the rationale for the non recommendation. Applicants not being recommended for funding may appeal this decision under specific criteria.

3. Criteria For Non-Recommendation of Applications (HMGP)

The following are the criteria under which Department mitigation staff and / or the Mitigation Grant Review Committee will not recommend applications for funding to the Emergency Management Division Director:

- a. Application and / or required supporting materials were not received by the announced / published deadline.
- b. Application is incomplete as submitted.
- c. Project is not cost effective.
- d. Applicant does not meet the National Flood Insurance Program (NFIP) requirements for project or applicable grant program.
- e. Applicant is not in compliance with state Growth Management Act (GMA) or is not making progress to resolve non-compliance issues, as certified by the Washington Department of Commerce.
- f. Grant request exceeds established funding limits.
- g. Applicant has submitted more than the allowed number of applications.
- h. Project does not meet eligibility criteria in 44 CFR 206.434, or fails to meet application scoring minimums.
- i. Project merely identifies or analyzes a hazard or a problem (i.e., stand-alone studies).
- j. Proposed use of mitigation grant funds replace or are a substitute for funding available under other federal authorities, except when limited circumstances exist such as extraordinary threats to lives, public health or safety, or improved property.

Additionally, the Department reserves the right to not review, rank or submit an application from an eligible Applicant with serious unresolved audit findings related to performance or financial management.

4. Applicant Appeals

a. Criteria For Appeal

An Applicant may appeal a decision of the Department mitigation staff or the Mitigation Grant Review Committee on its application based on the following:

- i. Failure by the Department mitigation staff or Review Committee to follow the established review and adjudication process outlined in this plan.
- ii. Arbitrary or capricious decisions by the Department mitigation staff or Review Committee.

b. Appeal Process and Timeline

All Applicants will receive formal notification of whether their applications have been recommended for funding. This information also will be provided to the Emergency Management Division Director.

Applicants whose applications initially are not recommended for funding by the Department mitigation staff or Review Committee will be provided the specific reason for non-recommendation. Should an applicant wish to appeal the non-recommendation of their project, it must:

- i. Within 15 days of receipt of formal notice of non-recommendation, respond in writing to the specific items causing non-recommendation, with full justification or clarification to the Department mitigation staff / Mitigation Grant Review Committee. Additional information and/or documentation not included in the original application will not be considered.
- ii. The Department mitigation staff / Review Committee will review the appeal, make such additional investigation as necessary, and forward the appeal with a written recommendation to the Emergency Management Division Director.

All Applicants will be notified when an appeal of the Department mitigation staff's / Review Committee's recommendations has been filed. The notification will state that the appeal will delay all recommendations forwarded to the Emergency Management Division Director until the appeal process is complete, and that a successful appeal may result in a re-

ranking of the recommended projects and could affect funding for one or more applications.

The Emergency Management Division Director will review the material submitted and make any additional investigations as deemed appropriate. The Applicant will be notified of the Director's decision within 10 days of the Department's receipt of the formal "Appeal of Determination" packet.

If the Emergency Management Division Director denies the appeal:

- i. The original list of recommendations of the Department mitigation staff / Committee will be forwarded to The Adjutant General, State Military Department, with a copy of the appeal results.
- ii. All applicants will be notified of the appeal recommendation results and that the appeal process has been completed.

If the Emergency Management Division Director finds in favor of the appeal, the Department mitigation staff / Review Committee will take appropriate implementing actions:

- i. Reconsider and re-rank the entire listing of recommended projects, if necessary.
- ii. Notify affected Applicants; they not be allowed to appeal this decision.
- iii. A revised recommendation packet will be forwarded to The Adjutant General, State Military Department, for a decision. The information packet will include all appropriate documentation and explanation of appeal results. All decisions of The Adjutant General, State Military Department, are final.

Following any appeal period and / or appeal decision, a decision package will be submitted to the Emergency Management Division Director containing those projects recommended for submission to FEMA for review, final approval and funding. These projects may be ones proposed by the Department or that have been reviewed and ranked by the Mitigation Grant Review Committee. The Department will notify all Applicants whether and when their applications are being forwarded to FEMA.

C. Submission of Recommended Projects to FEMA (HMGP)

1. The State Hazard Mitigation Programs Manager will prepare a project package, for transmittal to FEMA by the Emergency Management Division Director, containing:

- a. A narrative describing the anticipated projects and justification for recommendation and rationale for each project.
- b. Copies of recommended applications and additional pertinent information.
- c. A certification by the Department that the projects meet all federal and state eligibility requirements.
- d. A completed SF 424 Application for Federal Assistance, which requests funding for all projects recommended.

Additionally, the Department may submit a prioritized list of state-recommended, unfunded projects as alternates for consideration if additional funds become available.

As information is available, the State Hazard Mitigation Programs Manager will update Applicants regarding the status of FEMA review of their applications.

2. Upon notification from FEMA, the State Hazard Mitigation Programs Manager will inform Applicants of FEMA's decision on their projects.

Funded Applications: Department mitigation staff will prepare grant funding agreements with Applicants, now considered Subgrantees, and provide them with a copy of *Guidelines for Approved Mitigation Grant Awards*. This document contains information on:

- Process for accounting for expenses and requesting reimbursement;
- Quarterly and Final reporting requirements;
- Grant agreement between the State and the Applicant.

Non-Approved / Unfunded Projects: Department mitigation staff will send a letter to Applicants on their non-approval / non-funded status. Applicants will be informed that they can appeal FEMA's decision according in accordance with 44 CFR Part 206.440.

D. Withdrawal of Recommended Projects (HMGP)

The Department may opt to withdraw an application from consideration by FEMA. Reason(s) may include, but are not limited to, the following:

1. Material errors, misrepresentation(s) or lack of substantiated information or data by the Applicant in the application.
2. Non-allowed cost increases or expenditures prior to FEMA approval of eligible pre-award costs or award of a grant.

3. Loss or reduction of committed funding or in-kind contributions for the non-federal share of the project or planning initiative.
4. Project implementation (i.e., construction for a project, plan development or review process) begins prior to grant award without previous approval of the Department and FEMA.
5. Project fails to maintain cost effectiveness.
6. Project, or Applicant, fails to maintain eligibility as outlined in 44 CFR Part 206.424, to include project cost effectiveness, participation and good standing in the National Flood Insurance Program (NFIP), as well as compliance with the state Growth Management Act (GMA).
7. Applicant fails to maintain program eligibility through a FEMA-approved hazard mitigation plan required by 44 CFR Part 201.

The Department reserves the right to postpone drafting a grant agreement or to deny funding if there is a significant problem with previous Subgrantee performance, such as failure to complete projects in agreed-upon times or according to required programmatic, environmental or historic preservation conditions; major cost overruns; failure to provide required documentation in a timely manner, etc. In such situations, the Subgrantee is responsible for developing and initiating corrective action satisfactory to the Department.

PDM, FMA, RFC, SRL

The Department will solicit, review and prioritize application for these nationally competitive mitigation programs in a process similar to the one described above, with the following exceptions:

1. Applicants submit program applications to the state via FEMA's eGrants system. Permission to use the system is granted to potential Applicants by the State Hazard Mitigation Programs Manager following submission of Letters of Intent.
2. The application timeline for these programs, established by State Hazard Mitigation Programs Manager, is based on Hazard Mitigation Assistance Unified Guidance published annually by FEMA. See example application timeline for these programs on page 23. Late applications will not be accepted; see page 24.
3. Department mitigation staff will review and prioritize applications based on applicable program guidance as well as criteria used to evaluate HMGP applications. During the review process, Department mitigation staff will provide feedback to Applicants on their applications and whether revisions are required; feedback will be provided in writing. Applications requiring additional work will be returned to Applicants via FEMA's eGrants system.

4. If time and / or the number of application allow, the Mitigation Grant Review Committee will be convened and consulted in the prioritization process prior to submission to FEMA. For these programs, state prioritization is used only in initial processing during the national evaluation, and is one of several factors used by FEMA to determine which applications are moved to the peer review, technical review, and cost effectiveness review portions of the national evaluation.

Example Application Timeline for PDM / FMA / RFC / SRL Programs

Day 1	FEMA announces funding availability and program guidance for Fiscal Year
Day 5	Letters of Intent, program guidance, and application timeline – Emailed to ALL County and City Emergency Management Offices, Tribal Emergency Managers, State Agencies, Association of Washington Cities, and Washington Association of Counties. LOIs, Fact Sheet, and program timeline posted on the State's website – http://emd.wa.gov .
Day 60	Letters of Intent for projects and new or revised hazard mitigation plans must be submitted to and received by State EMD via fax, email, or postal mail. <u>Late LOIs will not be considered.</u>
Day 5-145	EMD staff provides access to eligible applicants to FEMA's eGrants Internet-based application system.
Day 5-145	Technical and application development assistance scheduled at the request of the applicant, as time allows. For projects in or affecting a floodplain or wetland, a minimum of one public notice is required. Contact State EMD Mitigation Staff, below, for public notice template and proof of publication requirement. Consultation must be completed with State Department of Archaeology and Historic Preservation for buildings 49 years old or older.
Day 150	Applications must be submitted to and received by State EMD via eGrants. <u>Late applications will not be considered.</u> All jurisdictions applying for project funds must have an adopted, FEMA-approved hazard mitigation plan prior to the announced application deadline. <u>Lack of approved plan means project grant application will not be accepted or considered.</u>
Day 151 – 180	Applications reviewed for program eligibility, completeness and cost-effectiveness by EMD staff. Eligible applications are prioritized for national evaluation.
Day 180	Deadline for State to forward prioritized list of applications to FEMA for consideration in national evaluation.
Day 181 – 270	Applications reviewed by FEMA regional and headquarters staff and submitted to national program evaluation.
Day 270	FEMA announces to state the results of national evaluation, indicating which applications are selected for funding and placed in "pre-award" status, and which applications are not funded because of inadequate funding or ineligibility.
Pre-Award (Prior to Funding Approval)	All jurisdictions must have an adopted, FEMA-approved hazard mitigation plan to receive project funding. <u>Lack of approved plan means project grant award will be held by FEMA until the mitigation plan receives FEMA approval.</u> Necessary permits, State Environmental Policy Act checklist, and consultation with State Historic Preservation Office for buildings 49 years old or older are required. FEMA review for eligibility occurs within the first few months following application receipt. Applications that are recommended to FEMA for final review and funding approval might have from 4 to 18 months to prepare permits and SEPA checklist. Recommended applicants must be ready to begin the project within 30 days of a signed grant agreement (contract). Time constraints on projects due to environmental issues should be identified in the grant application.
Written requests for project / application development assistance and attendance at public meetings must be received no later than (Day 120) by Casey Broom at casey.broom@mil.wa.gov , via Fax at (253) 512-7205, or postal mail at Emergency Management Division, Building 20, MS: TA-20, Camp Murray, WA 98430-5122.	

Late Applications

As described previously, the mitigation grant programs application process has two steps: a Letter of Intent followed by full applications. Only eligible jurisdictions that submit LOIs for eligible mitigation planning initiatives or projects will receive full application packages (for HMGP) or permission to access FEMA's eGrants application system (for other mitigation programs).

The Department's policy is that it will not accept Letters of Intent or application packages from Applicants beyond announced deadlines for any reason. Specific timelines for Applicants to deliver Letters of Intent and applications to the Department for each mitigation grant program are established by the Department and/or FEMA based on specific programmatic and legal requirements.

HMGP – If the Department determines that extraordinary circumstances exist (e.g., a second disaster is declared within a few weeks of the disaster declaration that originally made HMGP available), it will consider extending deadlines for receipt of Letters of Intent and / or full applications to the extent feasible given programmatic and legal requirements. If deadlines are extended, the Department will provide as much time as possible to 1) allow potential Applicants to respond to the new disaster and to prepare Letters of Intent or application packages for the initial HMGP, and to 2) provide the Department with adequate time to review applications and make funding recommendations to FEMA within legally prescribed timelines.

If the Department extends application deadlines for either Letters of Intent and / or application packages as a result of extraordinary circumstances, the extension will be announced and provided to all potential Applicants statewide. Late Letters of Intent and / or applications will not be accepted or considered for funding if they are received after the announced, revised deadlines.

PDM, FMA, RFC, SRL – The Department will not accept late Letters of Intent or applications beyond announced application deadlines for these programs for any reason. FEMA sets national application deadlines for these programs, and these deadlines are not subject to reconsideration or revision at the request of the State of Washington or any other state for any reason. The Department establishes interim deadlines in advance of FEMA's application deadline to accommodate its review of applications for eligibility, completeness, competitiveness, and cost effectiveness.

X. PROGRAM ADMINISTRATION

A. Organization

The Governor's Authorized Representative (GAR) oversees mitigation expenditures. The State Hazard Mitigation Programs Manager (SHMPM) is responsible for the daily operations and technical aspects of the program, hazard mitigation planning, and

administering the hazard mitigation grant programs noted in this document, and the State Enhanced Hazard Mitigation Plan.

The Department will review and update state mitigation plan in conjunction with participating state agencies as necessary, but at least every three years as required by 44 CFR Part 201.

B. Staffing

The following staffing pattern is used during normal, non-disaster period operations. Percentages below estimate the split of responsibilities for administering all mitigation grant programs:

Mitigation & Recovery Section Manager	10%
State Hazard Mitigation Programs Manager	90%

Following disaster declarations, the State Hazard Mitigation Programs Manager is designated the State Hazard Mitigation Officer under 44 CFR 206.433(c), identified as such on the Department’s organizational chart and confirmed by name in the Federal-State Agreement (included here by reference).

During active disaster recovery operations, the following notional baseline-staffing pattern is established. The number of personnel required, the percentage of time designated individuals will be tasked, and the length of tasking will be dependent on the size and number of disasters for which recovery operations are ongoing.

SHMPM	EMPS3*	100%	12 - 48 months
EM Program Specialist 2	EMPS2*	100%	9 - 48 months
EM Program Assistant	EMPS1*	100%	9 - 48 months
Reservist 1(Engineer)	RVST1	50%	6 - 24 months
Admin Support		50%	6 - 24 months

**Emergency Management Program Specialist*

C. Administration

The State Hazard Mitigation Programs Manager is responsible for project management and record keeping, including project files, which contain all correspondence, applications, reimbursement vouchers, receipts, reports, and related documentation. The State Hazard Mitigation Programs Manager will oversee preparation of the state-local grant agreement for each project outlining the work to be completed and its costs.

The State Hazard Mitigation Programs Manager will submit quarterly Programmatic Performance Reports on Form SF-PPR for each of the open grants and subgrants to FEMA, as required by 44 CFR 206.437(b)(4)(xiii). These will be based on the written progress reports provided by Subgrantees for each open project. A Subgrantee quarterly progress report format is shown in Appendix 1, Guidelines for Approved

Grants. Each Subgrantee will be required to submit a final report, and the State Hazard Mitigation Programs Manager will submit closeout documents to FEMA.

D. Financial Management

The Department will serve as the Grantee for the State of Washington for FEMA's mitigation grant programs, and is responsible for ensuring the State and Subgrantees will administer grant funds and implement projects in compliance with 44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, and the administrative requirements of 44 CFR Part 206 Subpart N, Hazard Mitigation Grant Program. Subgrantees are accountable to the Grantee for awarded funds.

Subgrantees are the legal entities to which the state awards money for projects and mitigation planning initiatives; Subgrantees can be a state agency, local government, special purpose district, private non-profit organization, or Indian Tribe. Subgrantees are responsible to the Grantee for expenditures, work performed, and reporting requirements.

The Department will ensure that costs associated with Grantee administration of the mitigation grant programs and with Subgrantees implementation of mitigation program subgrants are in allowable and in accordance with the requirements of 44 CFR Part 13.22 and Part 206.439. Washington Military Department Finance Division staff will submit quarterly Federal Financial Reports on Form SF 425 to FEMA for each of the open grants as required by 44 CFR Part 13.

1. Procurement

The Department will ensure the State and all Subgrantees comply with the procurement requirements of 44 CFR Part 13.36. The State will follow the policies and procedures it uses for procurement using non-federal funds. Subgrantees can use their own procurement procedures which reflect applicable local and state laws and regulations as long as those procedures also conform to the requirements of 44 CFR Part 13.36.

The Department will ensure that Subgrantees conduct all procurement transactions in a manner that provides full and open competition consistent with the standards of 44 CFR Part 13.36.

The Department will require Subgrantees to sign a certification that their organization and principals are not debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in federal contracts, and ensure that any sub-contractors also sign a similar certification.

The Department reserves the right to review Subgrantee procurement plans and documents, and require a Subgrantee to make changes to bring its plans

and documents into compliance with the requirements of 44 CFR Part 13.36. Further, the Department will ensure that a Subgrantee's procurement process requires contractors and subcontractors to provide adequate documentation with sufficient detail to support the costs of the project and to allow both the Subgrantee and Department to make a determination on eligibility of project costs.

2. Subgrantee Reimbursement

Eligible grant costs are ***reimbursed*** on an actual cost basis up to the grant agreement amount. The Department does not provide for advancement of funds for any of the mitigation grant programs unless authorized by the Washington Legislature, as state law prohibits gifting of funds. Should this policy change, procedures to implement this action will be developed and implemented.

Subgrantees are required to track project costs, and to submit reimbursement requests by approved budget cost category, as described in the grant agreement between the Subgrantee and Department. Subgrantees must provide copies of original documentation to clearly support the reimbursement request. Such documentation includes but is not limited to the following: timesheets or time and attendance records for staff that worked on the project, coded so that hours worked on the project are readily discernible; dated invoices or receipts for all goods and services purchased; copies of dated invoices on vendor / contractor letterhead for all professional services (e.g., consultants, engineering) provided or work performed by contractors and subcontractors, dated receipts for required permits and other project-related expenses, etc. Any project costs not supported by sufficient documentation will be disallowed and will not be reimbursed.

As part of each project file maintained by the Department's Mitigation Section, a spreadsheet will track approved project amounts, individual warrants and processing dates, total expenditures by federal, state, and local funding sources, total expenditures by approved budget cost category, and remaining funds. Payments shall be based on Subgrantee submittal of an A-19, Voucher Distribution form, with an original, pen-and-ink signature of a staff member authorized on the Grant Agreement's Signature Authorization Form. (See Sample A-19 Voucher Distribution Form, page 56). Requests for payments will be processed in a timely manner. The goal of the Department is to process payment requests to the Finance Division within 10 days of receipt. The goal of the Military Department's Finance Division is to process payments and issue a warrant within 10 days of receipt of the completed A-19 from the Department's mitigation staff.

Delays can occur if the Subgrantee's request-for-payment package is incomplete or contains inaccuracies. Department mitigation staff notifies a Subgrantee as soon as discrepancies are noted, and the reason for the delay will be noted in the project file. Upon receipt of the necessary documents, Department mitigation staff will complete its portion of the payment process.

3. Cost overruns

For HMGP, FMA and SRL, *if* additional funds are available, upon receipt of a written request from the Subgrantee, the Department may request the funds from FEMA Region X to cover additional eligible costs. A project must remain cost effective in order to receive additional grant funding. A grant agreement amendment will be developed and processed to include any additional funds prior to disbursement.

For PDM and RFC, cost overruns are 100 percent responsibility of the Subgrantee, per program guidance.

See Cost Increases / Overruns, Page 45.

4. Final Payment Requests

The Subgrantee must submit a final A-19 Voucher Distribution form and final report to the Department after the project work has been completed.

The Department will perform a final inspection of the completed project. A joint State/FEMA inspection will be conducted if necessary and appropriate. FEMA will notify and coordinate any additional inspections by FEMA staff prior to the inspection. Final payments will be made upon completion of the Department's final inspection as specified in the grant agreement. As necessary, the Department reserves the right to retain all or part of the state's 12.5 percent cost share pending project completion and closeout for HMGP projects; additionally, the Department reserves the right to retain federal funds in an amount equal to 10 percent of the project budget for such purposes for projects funded by other mitigation grant programs.

5. Recoupment of Federal Funds

Every effort is made to avoid those instances where applicants receive more funds than can be supported by documentation.

a. Grant still open:

- i. If work on the Subgrantee's project is in progress and an overpayment is determined, an adjustment will be made on the next request for reimbursement submitted on an A-19 Invoice Voucher. The adjustment will be documented and placed in the project file as well as filed with reimbursement documentation provided to the Finance Division.
- ii. If work on the Subgrantee's project has been completed, the Department will send a letter to the subgrantee requesting repayment of the funds for the unsupported costs. When a

Subgrantee is required to return overpayments to the State, the warrant must be made payable to the Washington Military Department, Emergency Management Division. Upon receipt, the warrant is forwarded to the Department's Finance Division for deposit and return to FEMA through the SmartLink system.

b. Grant closed:

If an overpayment is discovered after the grant is closed, a letter will be sent to the Subgrantee requesting repayment of the funds. The repayment process is the same as noted above. If unsupported costs are found following closure of the disaster, a letter will be sent to the Subgrantee requesting repayment of the funds. Repayment requests will address both federal and state funds. Upon receipt, the Finance Division will issue and forward a warrant for the federal funds portion to FEMA. The warrant will include a cover letter defining the applicable event and reason for the return of federal funds.

In either situation, the Subgrantee will be required to refund any federal and state funds within 30 days of receiving notification of the reimbursement requirement. If an appeal option is available the applicant may still submit the requested repayment, or file an appeal within sixty (60) days. An extension for returning the requested funds will be granted on an exception basis when an unusual circumstance prevents prompt reimbursement. The request must be made in writing. Unusual circumstances may include timing of board meetings to authorize payment and unexpected staff absences (e.g., medical, or death in family). Extensions typically are granted up to 30 days.

6. Accounting Codes

Expenditures recorded in the state's Agency Financial Reporting System (AFRS) for federal grants by the Military Department are coded to project codes. A project code is established for each disaster (e.g., DR-4083 is identified as project E301 in AFRS). Within each project, subprojects are identified (e.g., MI for mitigation), and each project is identified by what is called a project phase (e.g., GR for subgrantee reimbursements and MG for grant management). Also, within each project code, discrete project indices are established for tracking federal and state grant funds reimbursed to subgrantees, and for tracking costs charged to the state management grant. Such a coding structure in AFRS gives the department the ability to track expenditures in the required program structure, by funding source (federal, state) and grant cost, if the grant crosses biennia. The State Legislature appropriates expenditure authority for a two-year (biennium) budget period.

The project code also is included in the coding for the revenue transactions from the draw of federal funds. The coding indicates the federal funding source and the Catalog of Federal Domestic Assistance (CFDA) number.

7. Accounts Payable

Salary and Benefits – Timesheets support all direct program staff salaries and benefits. Timesheets are prepared by the program staff member, approved by the supervisor, and sent to the Payroll section of the Department's Accounting Office. Payroll staff reviews the timesheets, and communicates with program staff about any issues. The timesheets are input into the Time Management System (TMS). When finished inputting and reviewing, TMS is released by the Payroll staff to post the information to AFRS. The program staff's actual payroll warrants are issued via the Human Resource Information System. Program staff HRIS documents are coded to a clearing account in AFRS. TMS transfers the cost from the clearing account in AFRS to the appropriate coding.

Goods and Services – Program staff request the order of goods and services with a purchase request to the Procurement section. The Procurement section prepares a purchase order per state purchasing regulations. Copies are provided for the vendor, program staff, and Accounts Payable section. Once the goods and services are picked up or delivered, the program staff sends a signed receiving report to Accounts Payable. The signed receiving report is dated for the day the goods or services are received. Accounts Payable puts together a copy of the purchase order, invoice, and receiving report. The payment package is reviewed for the amount, coding, signatures, and dates. Then the payment package is approved and batched for payment. The batch is reviewed and approved by a higher-level accountant. The batch is input into AFRS and released. The payment is either paid by a warrant or electronic fund transfer.

Subgrantee reimbursement request – Program staff send a signed and approved A-19 Voucher Distribution document to Accounts Payable. The payment document is reviewed for the amount, coding, signatures, and dates. The payment package is approved and batched for payment. The batch is reviewed and approved by a higher-level accountant. The batched is input into AFRS and released. The payment is paid either by a warrant or electronic fund transfer.

Re-Issuance of a Warrant – Warrants are valid for 180 days. After 180 days, the warrant must be listed as Statute of Limitation before being reissued. If a warrant is lost or destroyed, a state affidavit must be filled out before the warrant can be reissued. Note: Payments to other state agencies are made using the Inter Agency Payment process or journal vouchers. Both processes are internal processes in AFRS.

8. Accounts Receivable

The Department uses the U.S. Department of Health and Human Services Division of Payment Management (HHS/DPM) Payment Management System

(PMS) system to draw funds approved by FEMA. Draws are made only after the expenditures have been made (i.e., costs are reimbursed), or occasionally simultaneous to the processing of an expenditure or transfer. Draws for reimbursements are made within five days after the close of the fiscal month per the SFY 2009 Cash Management Improvement Act (CMIA) Agreement. Per the agreement a draw will be made at the end of the calendar month if the amount is material.

The amount of the draw is determined by the difference between the expenditures and the revenue recorded to date in AFRS. The AFRS expenditures are reconciled to the grant spreadsheet maintained by Finance staff. The PMS draws are deposited electronically in a State of Washington bank account maintained by the Office of the State Treasurer. The accountant for a specific grant draws the funds. The cash receipts accountant prepares the document for posting to AFRS and the deposit with the State Treasurer. Draws for Military Department program cost are accumulated and drawn on a program-approved A-19 prepared by the Accounts Receivable section.

Note: Any interest payments are made directly between the United States Treasury and the State Treasurer. This only applies for grants that meet the criteria to be included in the CMIA agreement.

E. Reporting

Federal Financial Report (SF 425)

Disaster grant (HMGP) FFRs are prepared and submitted within 30 days after the close of a quarter or when the grant is closed. Non-disaster grant (PDM, FMA, RFC, SRL) FFRs are prepared and submitted within 30 days after the close of a quarter or when the grant is closed. The AFRS reports are reconciled to program expenditure records maintained by Mitigation staff, and then used in the preparation of the FFRs and to make PMS draws. The Washington Military Department accountant responsible for a grant prepares the FFR and the report is approved by the Governor's Authorized Representative or alternate. Federal and any state portion of any required match are both pulled from an AFRS report. The local match is provided by program worksheets. An extension for completing the quarterly FFRs is attained via e-mail from the appropriate budget staffer at FEMA Region 10, if required.

In addition, every six months, HMGP subgrantee and management expenditures are reconciled between mitigation program records and AFRS reports. This is done by Mitigation and State Finance staff to both track all expenditures and to continually refine the amount of state general funds needed in the state's Disaster Response Account for the state portion of the non-federal share of the HMGP.

Performance Progress Report (SF-PPR)

Quarterly performance progress reports are prepared on Form SF-PPR by Department mitigation staff following receipt of the quarterly reports that Subgrantees

are required to file by the 15th of the month following the close of the quarter. Department mitigation staff electronically submits the quarterly SF-PPRs for each open mitigation grant program to FEMA no later than the 30th of the month following the close of the quarter.

Federal Cash Transactions Reports Program Support Center (PSC) 272

The PSC 272 report is prepared electronically by the Accounts Receivable section of the Washington Military Department, and submitted to FEMA within 30 days after the close of each quarter. The PSC 272 is reconciled to the FFR and AFRS

F. Management of Equipment, Assets and Real Property

The Department will ensure Grantee and Subgrantee compliance with the requirements of 44 CFR Part 13.31, Real Property; 44 CFR Part 13.32, Equipment; and 44 CFR Part 80.19, Land Use and Oversight.

1. Equipment and Assets:

- a. Department: Any equipment and/or asset purchased with grant funds with a cost of \$5,000 or more will be tagged and posted to the Central Asset Management System (CAMS) by the Supply Officer 1. Additionally, any equipment that is small and attractive is tagged and posted to CAMS. Any equipment that is purchased with federal funds is indicated as such in CAMS. The Supply Officer 1 will make a physical inventory of fixed assets every two years. The physical inventory is reconciled to CAMS. Any missing assets are investigated and adjustments are made to CAMS. Any asset with a federal indication in CAMS will be disposed of according to the specific grants requirements. Upon grant closeout, the Department will submit a completed copy of the Tangible Personal Property Report, SF-428, and Attachment B – Final Report, SF-428B, with closeout documentation for all equipment purchased with grant funds.
- b. Subgrantee: Article IX, Paragraph 3 of each grant agreement with Subgrantees specifically identifies the requirements regarding the acquisition, tracking and disposition of equipment and other assets purchased with grant funds. Such equipment and assets includes emergency power generators and associated connecting equipment. Subgrantees will comply with the Federal Office of Management and Budget (OMB) Circular A-102 (or its replacement) in managing its equipment and other assets. Upon subgrant closeout, a Subgrantee will submit a completed copy of the Tangible Personal Property Report, SF-428, and Attachment B – Final Report, SF-428B, with its closeout documentation for all equipment purchased with grant funds.

2. Real Property (General):

Subgrantees are expected to use real property they have acquired or modified using mitigation grant funds for its originally authorized purpose as long as needed for that purpose, per the requirements of 44 CFR Part 13.31

Subgrantees are required to submit a completed copy of the Real Property Status Report, SF-429, and Attachment A, SF-429A, with closeout documentation for all real property purchased with grant funds. The Department will request disposition instructions from FEMA to assist Subgrantees that wish to convert the use of the property to another purpose or transfer ownership to another organization.

Subgrantees that wish to dispose of or transfer possession of real property must make a request in writing to the Department, to include a completed copy of the Real Property Status Report, SF-429, and Attachment C – Disposition Request, SF-429C. Disposition of property or conversion of its use may result in the Subgrantee repaying grant funds used for acquisition of the property.

3. Real Property Acquired for Open Space:

The acquisition and management of real property in the floodplain acquired for the purposes of converting it to open space in perpetuity is governed by requirements in 44 CFR Part 80.19. Subgrantees are required to submit a completed copy of the Real Property Status Report, SF-429, and Attachment A, SF-429A, with closeout documentation for all real property purchased with grant funds.

Real property acquired for open space must remain in the possession of the acquiring public agency. It can be transferred to another public agency or a qualified conservation organization, but only upon prior written approval of the FEMA Regional Administrator. Subgrantees that wish to transfer possession of acquired real property must make a request in writing to the Department, to include a completed copy of the Real Property Status Report, SF-429, and Attachment C – Disposition Request, SF-429C. The Department then will request disposition instructions from FEMA to provide to the Subgrantee.

XI. AUDIT REQUIREMENTS

Uniform audit requirements as set forth in 44 CFR Part 13.26 and 44 CFR Part 207.7(b) apply to all grant assistance provided under this program. FEMA may elect to conduct a federal audit on a mitigation grant program, any of the subgrants, or the state management grant. For individual communities with mitigation projects, subrecipient monitoring will occur on a regular basis and follow Department guidelines for subrecipient monitoring, which may include reviewing audit findings/reports provided by the State Auditor's Office.

Requirements of the Single Audit Act are included in section A.27 of the General Terms and Conditions of the mitigation programs grant agreement between the Department and the Subgrantees, and are included here by reference.

Any issue that could affect the performance of a Subgrantee will be analyzed to determine if it could impact the current grant, and, if so, determine follow-up actions to preclude findings from reoccurring within the scope of the current grant agreement. For programmatic audit findings, Department mitigation staff will work closely with Department financial staff to compile the necessary responses and actions within the proscribed timeframes

XII. CLOSEOUT PROCEDURES

A. Project / Subgrant Closeout

1. Subgrantees, within 60 days of the end of the project or period of performance, whichever is sooner, will submit closeout information in the form of a final report certifying that the project has been completed in accordance with the terms of the grant agreement, and provide to the Department all required documentation on work completed and project expenditures.
2. The Department, within 90 days of the end of the project or period of performance, whichever is sooner, will complete the following tasks: schedule a final inspection of the project with the Subgrantee, and notify FEMA of the inspection date, as appropriate; prepare a final inspection report with photographs and assemble required closeout documentation; review project expenditures and make final payment to Subgrantee; submit closeout report, final payment and required project documentation to FEMA; and place copies of closeout documentation into project files. As necessary, the Department will request an extension for the liquidation period from FEMA mitigation and grant management staffs.

B. Disaster / Grant Closeout

Upon completion of all projects within a declared disaster event in which HMGP funds have been obligated, the following steps will be taken to closeout the disaster records with FEMA. The Department will notify FEMA that all projects within a declared disaster event have been completed in accordance with grant agreements.

- Review all project files and final reports for that disaster.
- Reconcile HMGP disaster funds between the Department and FEMA to verify data to Department records.
- Draw-down Management Cost funds for remaining eligible expenses.
- Reconciliation of Management Costs funds as approved by FEMA for each disaster.

Upon final review and reconciliation of all completed documents, the disaster event shall be closed.

C. Recapture Of Funds

The Department will begin recapture actions in accordance with the terms and conditions of section A.17 of the grant agreement if at any time during the grant performance period, after the project closeout, or after the program closeout, the Department determines that the Subgrantee received federal and state funds to which it was not entitled. The Subgrantee will be notified in writing describing the finding and provided an opportunity to provide any documents or additional information. A copy of the letter will be provided to the Department's Finance Division. Department mitigation staff will work with the Department's Finance Division and Subgrantee to obtain the funds, to include any interest, if appropriate, and return them to the applicable funding sources (see Recoupment of Funds, page 28 for more detail).

XIII. ADMINISTRATIVE DOCUMENT REVIEW

This document will be reviewed annually, or after a Presidential Disaster Declaration (for HMGP) to ensure compliance with the law, implementing regulations, and state policies. It will be updated as needed to reflect regulatory, policy, or organizational changes to improve program administration.

XIV. RECORDS RETENTION

All records and files will be retained in accordance with federal and state laws and regulations, whichever is longer. RCW 40.14.060, Destruction, disposition of official public records or office files and memoranda, requires retention of records for six years following completion of a project (e.g., final payment and closure of subgrant / grant).

XV. AUTHORITIES AND REFERENCES

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended.

Federal Emergency Management Agency (FEMA) Regulations, 44 CFR Part 206, Subparts M and N, and Part 79.

FEMA Regulations, 44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.

Single Audit Act of 1984.

Revised Code of Washington, Chapter 38.52, Emergency Management.

XVI. DEFINITIONS

Selected definitions are shown below. A complete list of applicable definitions is found in 44 CFR Subpart N.

Applicant means a state agency, local government, special district, eligible private non-profit organization, or Indian Tribe seeking grant funding.

Governor's Authorized Representative (GAR) is the individual designated by the Governor to represent the state in activities related to the implementation of Public Law 93-288 as amended, and to serve as the Grant Administrator of funds.

Grant means an award of financial assistance.

Grantee shall mean the State of Washington.

Mitigation Grant Review Committee means the multi-member grant application review body at the state level.

Project means any eligible mitigation measure or action to reduce risk of future damage, hardship, loss or suffering from disasters. The terms "project" and "measure" are used interchangeably in federal regulations.

State Hazard Mitigation Officer (SHMO) means the individual designated as the responsible individual for all matters related, overall, to the Hazard Mitigation Grant Program, and the Sections 404 and 409 respectively of PL 93-288, as amended. For the State of Washington this function is conducted by the Department's State Hazard Mitigation Programs Manager, who has responsibilities for the daily operations and technical aspects of the program, hazard mitigation planning, and administering the Hazard Mitigation Grant Program and other FEMA-funded mitigation programs as noted in this document and the State Enhanced Hazard Mitigation Plan.

Subgrant means an award of financial assistance under a grant to an eligible Applicant.

Subgrantee means the Applicant, government or other legal entity to which a subgrant is awarded and which is accountable to the grantee for the use of the funds provided. *(This is the wording used to reference the Applicant on the FEMA funding documents.)*

State Enhanced Hazard Mitigation Plan is the state document that complies with the requirements of 44 CFR Part 201 that identifies hazards that impact the state, state facilities vulnerable to those hazards, statewide hazard damage reduction goals and strategies, the means to accomplish them, and a time frame for implementation.

Guidelines For Approved Mitigation Grant Awards



**Washington Military Department
Emergency Management Division**

Updated October 2012

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I. PURPOSE

The purpose of this appendix is two-fold: to outline the procedures that the Washington State Military Department, Emergency Management Division, hereafter referred to as the Department, will use to administer approved FEMA-funded hazard mitigation grants, and to assist Subgrantees in the implementation of their grant-funded projects. This appendix applies to the following grant programs:

- Hazard Mitigation Grant Program (HMGP), authorized under Section 404 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1988, as amended (42 USC 5170c), and 44 CFR Part 206 Subpart N.
- Pre-Disaster Mitigation (PDM) program, authorized under Section 203 of the Stafford Act (42 USC 5133).
- Flood Mitigation Assistance (FMA) program, authorized under Section 1366 of the National Flood Insurance Act of 1968, as amended (42 USC 4104c), and 44 CFR Part 79.
- Repetitive Flood Claims (RFC) program, authorized under Section 1323 of the National Flood Insurance Act of 1968, as amended (42 USC 4030), and 44 CFR Part 79.
- Severe Repetitive Loss (SRL) program, authorized under Section 1361A of the National Flood Insurance Act of 1968, as amended (42 USC 4102a), and 44 CFR Part 79.

Throughout this document the term “project” shall mean the action that is being funded through the identified mitigation program and FEMA grant award. The project can be either a construction-related project, or a mitigation planning initiative.

II. INTENT OF THE PROGRAMS

The intent of the mitigation grant programs is to reduce the risk of future damage, hardship, loss, or suffering as a result of major disasters by providing financial support to implement cost-effective hazard mitigation measures to eligible Applicants around the state. In addition, the purpose of the flood-related mitigation programs is to reduce or eliminate claims under the National Flood Insurance Program. Mitigation measures should be identified as part of the mitigation planning process of state and local governments, required as a condition of receiving federal disaster assistance.

III. FINANCIAL MANAGEMENT

The Department will serve as the Grantee for the State of Washington for FEMA’s mitigation grant programs, and is responsible for ensuring the State and Subgrantees administer grant funds and implement projects in compliance with 44 CFR Part 13, Uniform Administrative

Requirements for Grants and Cooperative Agreements to State and Local Governments, and the administrative requirements of 44 CFR Part 206 Subpart N, Hazard Mitigation Grant Program. The Subgrantee is the legal entity to which the Department provides grant funds for the proposed project. The Department will ensure that costs associated with Grantee administration of the mitigation grant programs and with Subgrantee implementation of mitigation program subgrants are allowable and in accordance with the requirements of 44 CFR Part 13.22, Part 206.439, and Part 207.6. The Subgrantee is responsible to the Department for providing and maintaining documentation supporting all expenditures, completing mitigation projects according to the approved scope of work and terms and conditions of the grant award, quarterly reports, final reports, etc.

IV. GRANT APPROVAL AND GRANT AGREEMENT TIMELINES

The Department will notify the Applicant upon FEMA's approval of the grant award. Grant agreements are executed once funds are obligated by the Federal Emergency Management Agency (FEMA) via a grant award. The Applicant / Subgrantee may not proceed with any work on the mitigation project or plan prior to grant award and execution of the project's grant agreement by the Subgrantee and the Department unless the Department and FEMA have approved certain work and costs as being eligible pre-award work and costs. Proceeding on any work not authorized in writing by the Department and FEMA will cause any and all costs for this work being deemed ineligible for reimbursement and possibly result in the grant award being terminated.

A grant agreement between the Department and the Subgrantee, prepared by Department mitigation staff, will include a description of the project scope of work, timelines and budget contained in the approved grant application and the FEMA award document, as well as legal, programmatic, environmental and historic preservation requirements related to the grant award.

Subgrantees must carefully review the terms and conditions of the grant agreement prior to signing it and accepting the grant award. In addition, the Subgrantee's Applicant Agent should provide the project manager with a copy of the grant agreement so that the project manager is fully aware of the terms and conditions of the grant agreement, including project and reporting deadlines.

The Subgrantee is responsible for obtaining required review and signatures in a timely manner. **Delays of more than 30 days in returning the completed grant agreement (unless extra time is specifically requested in writing, and approved in writing by the Department)** may be grounds for the withdrawal and termination of the subgrant award. One of the primary goals of the mitigation program is to fund jurisdictions that are ready to proceed once funding authority is received from FEMA. Lengthy delays have been indicative of other problems with the grants that have rendered them ineligible due to non-compliance with the federal criteria in 44 CFR.

V. GRANT AGREEMENT ADMINISTRATION MEETING

Department mitigation staff will meet with Subgrantee staff in charge of both project implementation and administration to discuss implementation of the project and details of the grant agreement. The purpose of the meeting is to establish communication and an understanding of the grant agreement requirements, Subgrantee accounting system, Department accounting requirements, eligible costs, billing procedures, and reporting. This meeting can be either in person or via conference call.

VI. PROJECT IMPLEMENTATION

Subgrantees must implement their projects as described in the scope of work, schedule and budget of the FEMA-approved grant application, FEMA grant award documents and the signed grant agreement. Environmental and historic preservation requirements specific to project implementation identified in the FEMA grant award documents are included in the grant agreement by the Department.

In addition, Subgrantees must follow programmatic requirements found in FEMA's *Hazard Mitigation Assistance Unified Guidance*, in implementing their projects. Guidance published June 1, 2010 applies to FY2011 and FY 2012 for Pre-Disaster Mitigation, Flood Mitigation Assistance, Repetitive Flood Claims, and Severe Repetitive Loss programs, and all Hazard Mitigation Grant Programs for disasters declared on or after June 1, 2010, including the HMGP for disasters DR-1963, DR-4056, and DR-4083. HMA guidance published in the future will specifically address the mitigation grant programs to which it will apply

A copy of the June 2010 program guidance can be found on the FEMA web site at the following address: <http://www.fema.gov/library/viewRecord.do?id=4225>.

VII. PROCUREMENT

Subgrantees must comply with the requirements of 44 CFR Part 13.36, Procurement, when purchasing services, supplies, and property funded by mitigation grant funding. Subgrantees can use their own procurement procedures which reflect applicable State and local laws and regulations, provided the procurements conform to applicable federal law and regulations and conducted in a manner that provides full and open competition.

Under the requirements of 44 CFR Part 13.36, Subgrantees must conduct all procurement transactions in a manner providing full and open competition; maintain records sufficient to detail the significant history of the procurement; make awards only to responsible contractors possessing the ability to perform successfully under the terms and conditions of a proposed procurement; and ensure that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders. Procurement requirements are provided to Subgrantees in Article IX Additional Special Conditions, Paragraph 2, Procurement, of the grant agreement.

The Department reserves the right to review Subgrantee procurement plans and documents, and require a Subgrantee to make changes to bring its plans and documents

into compliance with the requirements of 44 CFR Part 13.36. Further, the Department will ensure that a Subgrantee's procurement process requires contractors and subcontractors to provide adequate documentation with sufficient detail to support the costs of the project and to allow both the Subgrantee and Department to make a determination on eligibility of project costs.

The Department will ensure that Subgrantees conduct all procurement transactions in a manner that provides full and open competition consistent with the standards of federal procurement regulations.

In addition, to meet the requirements of 44 CFR Part 13.35, Subgrantees will be required to sign a certification that their organization and principals are not debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in federal grant-funded contracts. In addition, they will ensure that any subcontractors also sign a similar certification. Checks for debarment are made at the federal Excluded Parties List System web site at www.epls.gov; copies of the result of the search should be placed in the project file.

VIII. CONSTRUCTION PLAN REVIEW

The Department will review construction plans for conformance with the project scope of work as described in the FEMA-approved grant application. Reviews will take place at 50 percent, 90 percent and 100 percent design. Such reviews will be of plans, specifications and engineering, and will include review of bid tabs prior to solicitation of bids. Department mitigation staff will communicate findings of these reviews to Subgrantees, requesting changes as necessary to bring the plans into conformance with the approved scope of work. Subgrantees may not proceed to bid a project without concurrence from the Department that the plans conform to the approved scope of work. In addition, Department mitigation staff will meet with the Subgrantee before construction has begun to ensure all requirements of the grant award and grant agreement are communicated to and understood by the Subgrantee.

IX. TRACKING PROJECT COSTS, REQUESTING REIMBURSEMENT

The mitigation grant programs are operated on a reimbursement basis only. Reimbursement can be requested by a Subgrantee once work has been performed and invoiced to the Subgrantee. State law prohibits the gifting of state funds, therefore **no advance payment will be made** for any grant program. Advance payment is defined as funds provided to a Subgrantee in advance of the Subgrantee incurring the debt for work performed.

Subgrantees will use an A-19, State of Washington Invoice Voucher, to request reimbursement. A Subgrantee's Applicant Agent or appropriate designee identified on the signature authorization page of the grant agreement must sign the Invoice Voucher. An original pen-and-ink signature is required; A-19s with stamped signatures will not be

processed. All signatures will be validated by the Department against the signature authorization page in the grant agreement. Any invoice without a proper signature will be returned to the Subgrantee for correction.

For each A-19 Invoice Voucher, a Subgrantee must identify all costs on which the reimbursement request is based, including those costs the Subgrantee wants considered as non-federal match. A submitted A-19 must include copies of supporting documentation for all costs for which reimbursement is sought. Required documentation includes, but is not limited to, the following:

- Timesheets, time and attendance records, or similar documentation for staff that worked on the project, coded so that hours worked on the project are readily discernible and discreetly tracked.
- Dated invoices for all goods, services and equipment purchased.
- Dated invoices on vendor / contractor letterhead for all professional services rendered (e.g., consultants, engineering) or work performed by construction contractors and subcontractors.
- Dated invoices or receipts for required permits, miscellaneous expenses, etc.

Any in-kind contribution, e.g., personnel, materials, equipment, cash, etc., a Subgrantee wants considered for matching purposes must be identified specifically in the budget of the project application and documented as noted above in a reimbursement request.

Valuation of donated third-party contributions is covered in 44 CFR Part 13.24 (c-f). The value of donated time of Subgrantee staff is determined by their hourly wage plus benefits (excluding indirect costs), while the value of donated time of staff from other organizations is determined by their hourly wage only. The value of time from non-working volunteers can be determined by using the median hourly wage rate of the occupation of the volunteer represents as determined by Bureau of Labor Statistics wage data (www.bls.gov/oes/current/oes_wa.htm). Tracking of all donated time of staff from other organizations or volunteers must be accomplished through the use of sign-in / sign-out sheets, timesheets, or similar method to document time spent working on the project as noted above.

In addition, Subgrantees must assert in writing that each individual whose time is being claimed as a third-party contribution toward the project is not being paid through another federal source and is not being used as match in another grant-funded project.

Subgrantees must track and report project expenses for which reimbursement is sought by approved budget cost categories. Approved budget cost categories can be found in the signed grant agreement. Documentation of expenditures by approved budget cost categories should be made on a separate spreadsheet or table and included with each A-19. The spreadsheet / table must show expenditures by approved budget cost categories for the costs requested, for the project to date, and percentage of budget expended to date (see example approved budget and reporting format, next page).

Example Approved Budget

Approved Budget Categories	Approved Budget	Total This Invoice	Total To Date	Percent Of Budget
Preliminary Engineering Report	\$15,605.00			
Design Engineering	\$110,430.00			
Sales or Use Tax	\$44,800.00			
Construction	\$607,350.00			
Close-Out Costs	\$1,815.00			
Total	\$780,000.00			

It is the Department's goal to process all reimbursement requests in a timely manner. The Department's Mitigation Section strives to process a request within 10 working days of receipt. The request will be reviewed for eligibility (i.e., reasonable, allowable, allocable) against the following:

- Approved budget and scope of work in the grant application and the signed grant agreement.
- 44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.
- The appropriate Office of Management and Budget information circular on federal grant cost principles, found in 2 CFR:
 - 2 CFR Part 225 – *Cost Principles for State, Local and Indian Tribal Governments* (formerly OMB Circular A-87).
 - 2 CFR Part 215 and 220 – *Cost Principles for Educational Institutions* (formerly OMB Circular A-21).
 - 2 CFR Part 230 – *Cost Principles for Non-Profit Organizations* (formerly OMB Circular A-122)

Once the reimbursement request and supporting documentation has been reviewed for eligibility, completeness and accuracy, it will be forwarded to the Military Department's Finance Division. The goal of the Finance Division is to process the reimbursement request and issue a warrant within 10 days of receipt from the Mitigation Section.

Delays can, and will, occur if the request for reimbursement is incomplete, inaccurate, or not signed by the individual(s) authorized on the signature authorization page of the grant agreement. Department mitigation staff will contact a Subgrantee for the necessary supporting documents or changes, and will process the request promptly upon receipt of required materials and documentation. If required supporting documentation is not provided within 14 calendar days of the Department's request, the Department reserves the right to return the reimbursement request to the Subgrantee.

X. BUDGET REVISIONS

Subgrantees have some flexibility to move funds between / among approved budget cost categories, as it is understood that costs for specific items or in specific cost categories occasionally come in under or over the projected budgeted amount. Therefore, transfer of funds between budget cost categories can be made as follows:

- Construction projects: Subgrantees shall obtain prior written approval and authorization from FEMA through the Department for any budget revision that would require additional funds.
- Non-construction projects: Subgrantees can administratively transfer up to a total of 10 percent of the approved budget between budget categories. Once the total transfer of funds between approved budget cost categories approaches 10 percent of the total approved budget for the project, the Subgrantee must request approval from FEMA, through the Department, to revise the approved project budget. Any requests for reimbursement for the project in which this 10 percent threshold has been reached will not be processed until the Subgrantee receives written authorization to revise the project budget / budget cost categories from the Department and FEMA.

XI. COST INCREASES / OVERRUNS

Hazard Mitigation Grant Program, Flood Mitigation Assistance, and Severe Repetitive Loss grant programs: A Subgrantee can request additional funds to cover a cost overrun. Additional funds are not automatically available, and should be considered the exception and not the rule.

In order for the Department to consider a request for additional funds, all of the following conditions must be met by the Subgrantee:

1. The increase must be used only for costs incurred on elements of the project specified in the approved scope of work and included in the project grant agreement;
2. All alternatives to fulfilling the intent of the project as approved have been fully explored and documented;
3. The cost increase is not a result of design or scope of work changes occurring after the grant agreement is signed, unless prior approval from the Department and FEMA has been obtained;
4. The Subgrantee has done everything to initiate implementation of the project in a timely manner and has had little or no control over the conditions which caused the cost overruns; and

5. The project must remain cost effective. A new benefit-cost analysis will be required and must accompany the Subgrantee's request.

The Department will evaluate each cost overrun request. If justified by the Subgrantee, and if additional funds are available, the Department may recommend FEMA approve additional funding for the project, only to the extent that funds are available and the project remains cost effective. FEMA must approve the cost overrun prior to implementation. When additional funds are approved, required cost shares must be maintained.

A Subgrantee must support cost overruns by providing justification (contractor invoices, receipts for goods and services, activity reports, progress reports, etc.) when seeking reimbursement from the Department.

Note: For Flood Mitigation Assistance and Severe Repetitive Loss grant programs, the State does not contribute to the cost share to any project funded by these programs, and will not contribute to a cost overrun experienced by Subgrantees implementing projects funded by these programs

Pre-Disaster Mitigation and Repetitive Flood Claims grant programs: Project cost overruns are for projects funded by these programs are solely the responsibility of the Subgrantee. Federal award amounts are final, no additional funds will be available. The State does not contribute to the cost share to any project funded by these programs, and will not contribute to a cost overrun experienced by Subgrantees implementing projects funded by these programs.

XII. TIME EXTENSIONS

Subgrantees may request an extension to the time allowed to complete their project, called the period of performance. A time extension request must be submitted by the Subgrantee to the Department no later than 60 days before the end of the Period of Performance. A time extension request must be in writing and identify the project, the reason(s) the project cannot be completed within the approved Period of Performance, a current status of the of the work, a timeline for completing the remaining elements, and an anticipated date of completion of the remaining work. Failure to timely submit a complete and timely extension request may result in denial of the time extension and loss of funding for the project.

XIII. REPORTING REQUIREMENTS

Subgrantees must submit written quarterly progress reports on their projects no later than the 15th day of the month following the end of each quarter (e.g., January 15 for quarter ending December 31). The reports are required by the grant award and terms and conditions of the signed grant agreement; the reporting dates are included in the grant agreement. The Department will provide blank forms on which Subgrantees can file their reports.

Quarterly reports are not optional and must be submitted even if no work has been accomplished by the Subgrantee during the reporting period, until a final report has been

submitted, and regardless of other activity in which the Subgrantee may be engaged. The Department will endeavor to send a courtesy reminder to Subgrantees at the end of each quarter.

Subgrantees that are consistently late or that fail to submit required quarterly reports can have funding temporarily suspended or the grant agreement terminated by the Department for non-performance.

A signed, final report is required from the Subgrantee when project is completed. The final report must be submitted to the Department within 60 days of the end of the project or the period of performance, whichever is sooner. A final report for a project typically consists of a signed final report form that briefly describes the project, its start and end dates, and costs, as well as separate, written certification of compliance with all environmental and historic preservation conditions placed on the project by FEMA. Department mitigation staff will assist Subgrantees with this reporting requirement.

For many mitigation projects, a Subgrantee must submit additional documentation prior to closing of the project; see Project Closeout, below.

XIV. GRANT AGREEMENT AMENDMENTS

A grant agreement is revised by execution of an amendment. An amendment can be initiated by either the Subgrantee or the Department. Grant agreements can be amended for a number of purposes including, but not limited to, revising the project implementation schedule, project budget or the approved scope of work. All amendment requests from the Subgrantee must be made in writing to the Department, and must include detailed justification as to why an amendment is necessary. Requests to extend a project schedule or period of performance must be submitted to the Department at least 60 working days prior to the end of the project schedule, or the performance period end date, whichever is soonest, to allow sufficient time to process the request and amend the grant agreement. The amendment shall not take effect until approved in writing by both the Subgrantee and the Department.

XV. TECHNICAL ASSISTANCE AND SUBRECIPIENT MONITORING

The Department will provide technical assistance to Subgrantees and will monitor their use of project funding and their performance during the approved period of performance, and for the life of any equipment or property purchased under the grant agreement, for compliance with federal and state audit requirements, federal grant guidance, and applicable federal and state financial regulations, as well as OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organization.

Technical assistance activities may include but are not limited to the following:

- Providing copies of grant program guidance and pertinent federal regulations and information circulars.

- Conducting a pre-project implementation meeting on the terms and conditions of the grant award and performance requirements outlined in the grant agreement.
- Providing interpretation of grant program guidance and federal regulations, and soliciting assistance from FEMA as necessary.
- Conducting training.
- Providing assistance with and processing requests for additional funds, revisions to the scope of work and period of performance, etc.
- Reviewing construction plans and bid tabs for conformance with the approved scope of work prior to solicitation of bids / start of construction.
- Reviewing draft hazard mitigation plans and providing comments on conformance with planning regulations at 44 CFR Part 201 and planning guidance.
- Working with Subgrantees to review progress, troubleshoot problems, and resolve issues.
- Providing updated guidance and regulations related to project implementation, as necessary or required.
- Providing guidance and assistance with closeout requirements.

Monitoring activities may include but are not limited to the following:

- Reviewing quarterly project performance reports.
- Reviewing reimbursement requests to ensure allowability and consistency with grant agreement budget.
- Reviewing all documentation related to Subgrantee completion of the FEMA-approved scope of work and compliance with the terms and conditions of the grant agreement.
- Conducting on-site visits with the Subgrantee and of the project to review work in progress, equipment records and inventories, verify source documentation for contracting, reimbursement requests and performance reports, verify other supporting documentation, and verify completion of the project. Work-in-progress visits for construction projects will be made at approximately 33 percent and 66 percent completion levels; a final visit will be made after construction is complete as part of project closeout.

XVI. ISSUANCE OF RULES AND INSTRUCTIONS

The Department may issue additional or modified rules, instructions, interpretations, and guides from time to time as necessary for the effective administration of the mitigation grant programs. Such changes will apply to all projects for which grant agreements are signed after the effective date of the change(s). Whenever possible, sufficient lead time will be given between the announcement and the effective date to avoid application to projects already in process at the time of the announcement. As necessary, grant agreements will be amended to include new requirements as described in any programmatic announcements.

XVII. TERMINATION FOR CONVENIENCE (44 CFR Part 13.44)

Except as provided in 44 CFR Part 13.43, awards may be terminated in whole or in part only as follows:

1. By FEMA with the consent of the Grantee or Subgrantee in which case the two parties shall agree upon the termination conditions, including the effective date and in the case of partial termination, the portion to be terminated or,
2. By the Grantee or Subgrantee upon written notification to FEMA, setting forth the reasons for such termination, the effective date, and in the case of partial termination, the portion to be terminated. However, in the case of a partial termination, if FEMA determines that the remaining portion of the award will not accomplish the purposes for which the award was made, FEMA may terminate the award in its entirety under either 44 CFR Part 13.43 or paragraph (a) of this section.

XVIII. PROJECT CLOSEOUT

Either the Department or the Subgrantee can initiate project close-out. The Subgrantee is required certify in writing the date the project was completed and the total amount expended on the project on the Final Report form (see page 59) submitted to the Department, as well as provide a variety of project-specific documentation within 60 days of project completion or 60 days after the end of the period of performance, whichever is sooner. The Department will conduct a site inspection and review supporting documentation for compliance with the requirements of the Grant Agreement, prepare its own Final Inspection report with photographs for the project, and conduct a final review of project finances before making final payment to the Subgrantee and requesting project closeout from FEMA. The Department will complete project closeout procedures within 90 days of the end of the project or 90 days after the end of the period of performance, whichever is sooner.

As necessary, the Department will request an extension for the liquidation period for a grant program from FEMA mitigation and grant management staffs.

Until the Subgrantee completes its closeout requirements, the Department reserves the right to retain all or part of the state's 12.5 percent cost share pending project completion and closeout for HMGP projects; additionally, the Department reserves the right to retain federal funds in an amount equal to 10 percent of the project budget for such purposes for projects funded by other mitigation grant programs.

For mitigation planning projects, the Subgrantee will be required to provide the Department with a copy of the adopted, FEMA-approved hazard mitigation plan prior to project closeout.

For construction projects, the Subgrantee shall provide the Department acceptable documentation supporting compliance with the terms and conditions of the Grant Agreement. General documentation supporting compliance with the Grant Agreement typically includes, but is not limited to, the following:

- Photographs of the structures or properties involved in the project **prior** to project implementation and **after** project implementation
- Digital geospatial coordinates (latitude and longitude) for each structure with an accuracy of ± 20 meters (64 feet).
- Copies of all required permits, and a certificate of occupancy or equivalent documentation from the appropriate regulatory authority for each structure to certify it is code-compliant.
- Written certification that the Subgrantee has met each of the environmental and historic preservation conditions of the grant award as described in the Grant Agreement.
- Copies of all compliance and consultation documentation required by the grant award as described in the Grant Agreement (e.g., coastal zone management consistency determination from Department of Ecology).
- Copies of all documentation related to inspection for and removal and disposal of asbestos and other hazardous materials from each property.

In addition, for structures that remain in the Special Flood Hazard Area after completion of mitigation, the Subgrantee must provide copies of proof of flood insurance and of the recorded deed restriction related to maintenance of flood insurance for each property within the SFHA.

Specific additional documentation requirements for projects to acquire properties for open space include, but are not limited to, the following:

- Copy of Real Property Status Report, SF-429, for the project, and for each acquired property a completed copy of Attachment A, SF-429A, along with photographs of the structure prior to acquisition as well as the cleared land after demolition and site restoration.
- Signed Statement of Voluntary Participation from owner of each acquired property.
- Documentation of dates of acquisition and structure demolition or removal from property.
- Copy of recorded open space deed restrictions for each acquired property.
- Copy of dated AW-501 form filed with National Flood Insurance Program for each acquired repetitive loss property.
- Documentation of consultation with Army Corps of Engineers and State Department of Transportation regarding future use of each property.

Specific additional documentation requirements for projects to elevate structures above the base flood elevation include, but are not limited to, the following:

- Photographs of the structures prior to elevation, and front, rear and side photos post-elevation.
- Copies of the pre-project elevation certificate for each structure, or documentation of methodology used to calculate the first-floor elevations.
- Copies of the post-project elevation certificate for each structure.
- Copies of all required permits and a certificate of occupancy or equivalent documentation for each elevated structure to certify that it is code-compliant.

- Certification by an engineer, floodplain manager or other senior official of the Subgrantee that each completed structural elevation is in compliance with local ordinances and National Flood Insurance Program regulations and technical bulletins.
- Copy of dated AW-501 form filed with National Flood Insurance Program for each elevated repetitive loss property.
- Copies of proof of flood insurance for each elevated structure.
- Copies of the recorded deed restriction related to maintenance of flood insurance for each property within the Special Flood Hazard Area.

For other project types, the Department will consult with the Subgrantee regarding documentation requirements for closeout during the Period of Performance.

XIX. POST-PROJECT MANAGEMENT OF EQUIPMENT, ASSETS, REAL PROPERTY

The Department will ensure Grantee and Subgrantee compliance with the requirements of 44 CFR Part 13.31, Real Property; 44 CFR Part 13.32, Equipment; and 44 CFR Part 80.19, Land Use and Oversight.

1. Equipment:

44 CFR Part 13.32 (c-e) and Article IX, paragraph 3 of each grant agreement specifically identifies the requirements regarding the acquisition, use, tracking and disposition of equipment and other assets purchased with grant funds. Such equipment and assets include emergency power generators and connecting equipment. Grantees and Subgrantees are required to comply with the Federal Office of Management and Budget (OMB) Circular A-102 (or its replacement) in managing its equipment and other assets. Subgrantees are required to submit a completed copy of the Tangible Personal Property Report, SF-428 and Attachment B – Final Report, SF-428B, with closeout documentation for all equipment purchased with grant funds.

2. Real Property (General):

Subgrantees are expected to use real property they have acquired or modified using mitigation grant funds for its originally authorized purpose as long as needed for that purpose, per the requirements of 44 CFR Part 13.31. Subgrantees are required to submit a completed copy of the Real Property Status Report, SF-429, and Attachment A, SF-429A, with closeout documentation for all real property purchased with grant funds. The Department will request disposition instructions from FEMA to assist Subgrantees that wish to convert the use of the property to another purpose or transfer ownership to another organization. Subgrantees that wish to transfer possession of real property must make a request in writing to the Department, to include a completed copy of the Real Property Status Report, SF-429, and Attachment C – Disposition Request, SF-429C. Disposition of property or conversion of its use may result in the Subgrantee repaying grant funds used for acquisition of the property.

3. Real Property Acquired for Open Space:

The management of real property acquired for the purposes of converting it to open space in perpetuity is governed by requirements in 44 CFR Part 80.19. Subgrantees are required to submit a completed copy of the Real Property Status Report, SF-429, and Attachment A, SF-429A, with closeout documentation for all real property purchased with grant funds.

Real property acquired for open space must remain in the possession of the acquiring public agency. It can be transferred to another public agency or a qualified conservation organization, but only upon prior written approval of the FEMA Regional Administrator. Subgrantees that wish to transfer possession of acquired real property must make a request in writing to the Department, to include a completed copy of the Real Property Status Report, SF-429, and Attachment C – Disposition Request, SF-429C. The Department then will request disposition instructions from FEMA to provide to the Subgrantee.

Monitoring and Reporting:

- a. The Department will ensure that Subgrantees that have acquired real property for open space will inspect each property every three years and make a report to the Department that the property continues to be maintained in a manner consistent with the requirements of 44 CFR Part 80.19, recorded deed restrictions and the original grant award. Subgrantees will make the report using Real Property Status Report, SF-429, and Attachment A, SF-429A, The Department will require Subgrantee open-space property reports no later than September 30 of the appropriate reporting year, and every three years thereafter.
- b. The Department will review Subgrantee reports, and conduct on-site spot checks in coordination with the Subgrantee, to ensure that properties acquired for open space are maintained according to the above-mentioned requirements. If the Department determines that any property is not being maintained in accordance with open-space requirements, it will notify the Subgrantee and/or any current holder of the property interest in writing by certified mail that it has 60 days to correct the violation. If the Subgrantee and/or current holder of the property interest fails to demonstrate a good faith effort to bring the property back into compliance with open-space requirements, the Department will take appropriate measures provided to the State as Grantee in 44 CFR Part 80.19 to enforce open-space requirements.
- c. The Department will provide a status report to FEMA by December 31 of the appropriate reporting year, and every three years thereafter, regarding the status of properties acquired for open space, and what actions, if any, the Department is taking to enforce open-space requirements on properties found in violation of those requirements.

XX. AFTER-THE-GRANT REQUIREMENTS (44 CFR Part 50)

Closeout of a subgrant does not affect the Department's or FEMA's right to disallow costs and recover funds based on a later audit or other review; records retention requirements of 44 CFR Part 13.42 and the grant agreement; property management requirements of 44 CFR Part 13.31 and Part 13.32; and audit requirements in 44 CFR Part 13.26,

XXI. AUDIT REQUIREMENTS

Non-federal Subgrantees receiving financial assistance of \$500,000 or more in federal funds from all sources, direct and indirect, are required to have a single or a program-specific audit conducted in accordance with Office of Management and Budget Circular A-133 – *Audits of States, Local Governments, and Non-Profit Organizations*. Non-federal entities that spend less than \$500,000 a year in federal awards are exempt from federal audit requirements for that year, except as noted in the circular. Circular A-133 is available on the OMB web site at http://www.whitehouse.gov/sites/default/files/omb/assets/a133/a133_revised_2007.pdf.

Subgrantees required to have an audit must ensure the audit is performed in accordance with Generally Accepted Auditing Standards, Government Auditing Standards (the Revised Yellow Book) developed by the Comptroller General, and the OMB Compliance Supplement. The Subgrantee is responsible for notifying the State Auditor's Office and requesting an audit. The Subgrantee must maintain records and accounts so as to facilitate the audit requirement and ensure that any subcontractors also maintain auditable records.

A Subgrantee is responsible for any audit exceptions incurred by its own organization or that of its subcontractors. Responses to any unresolved management findings and disallowed or questioned costs shall be included with the audit report. The Subgrantee must respond to Department requests for information or corrective action concerning audit issues within 30 days of the date of request. The Department reserves the right to recover from the Subgrantee all disallowed costs resulting from the audit.

Once the single audit has been completed, the Subgrantee must send a full copy of the audit to the Department and a letter stating there were no findings or if there were findings, the letter should provide a list of the findings. The Subgrantee must send the audit and the letter no later than nine (9) months after the end of its fiscal year(s) to:

Accounting Manager
Washington Military Department
Finance Division, Building #1 MS: TA-20
Camp Murray, WA 98430-5032

XXII. AUTHORITIES AND REFERENCES

- The Robert T. Stafford Disaster Relief and Emergency Assistance Act P.L. 93-288, as amended, Sections 404 and 322.

Mitigation Grant Programs Administrative Plan

- Federal Emergency Management Agency (FEMA) regulations, 44 CFR Part 201 (planning), Subpart N (Hazard Mitigation Grant Program).
- *Hazard Mitigation Assistance Unified Guidance*, June 1, 2010.
- FEMA Regulations, 44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.
- OMB Circular A-133, Single Audit Act of 1997.
- Chapter 38.52 - Revised Code of Washington, Emergency Management.
- *Washington State Enhanced Hazard Mitigation Plan*, October 1, 2010.
- State of Washington Mitigation Programs Administrative Plan, April 2012.

XXIII. GRANT AGREEMENT REPORTING FORMS

- Instructions for completing the Invoice Voucher
- Invoice Voucher – Payment Request
- Quarterly Report
- Final Report

Instructions for Completing the A-19 Invoice Voucher

1. **AGENCY NAME:**
Washington State Military Department
Emergency Management Division
ATTN: State Hazard Mitigation Programs Manager
BLDG #20
Camp Murray, WA 98430-5122
2. **VENDOR OR CLAIMANT:**
Applicant's name and mailing address.
This is the name that will be printed on the warrant, and the address is where the warrant will be mailed.
3. **VENDOR'S CERTIFICATE:**
Applicant Agent/Authorized Signatory **MUST** sign here

Your request will not be processed without an original pen-and-ink signature from an individual authorized to sign the certificate.
4. **FEDERAL TAX ID NUMBER**
5. **GRANT AGREEMENT / CONTRACT NUMBER**
6. **DESCRIPTION:**
Brief description of expenditures
7. **AMOUNT:**
This is the amount for which you are seeking reimbursement (total expenditures for this request, to include all cost shares – federal, state (if applicable), and subgrantee). **Do not** break out costs by federal, state, and local shares, and **do not** include only the federal / state (if applicable) shares.
8. **PREPARED BY:**
Please provide the name and phone number for the person responsible for financial questions (if different than Applicant Agent).

ATTACH THE FOLLOWING:

- Documentation that supports **all** expenditures and in-kind contributions included on the invoice voucher. Such documentation includes receipts for all goods and services, and documentation of staff personnel costs and in-kind contributions.
- Spreadsheet / table for expenditures by approved budget cost category that includes the total budget by approved budget cost category, expenditures by approved budget cost category for which the reimbursement is sought, and total expenditures to date by approved budget cost category.



**WASHINGTON STATE MILITARY DEPARTMENT
EMERGENCY MANAGEMENT DIVISION**

**Camp Murray, Washington 98430-5122
MITIGATION GRANT PROGRAMS**

**PROJECT GRANTS
QUARTERLY PROGRESS REPORT**

REPORTING PERIOD: ___Jan-Mar ___Apr-Jun ___Jul-Sep ___Oct-Dec Year ____

NAME OF APPLICANT AGENT: _____

TITLE: _____

JURISDICTION: _____

PROJECT TITLE: _____

ADDRESS: _____

PHONE(S) _____

EMAIL ADDRESS: _____

GRANT NUMBER (as listed on grant agreement face sheet): _____

FUNDING SOURCE (Which grant program): **HMGP** _____ **PDM** _____ **FMA** _____

1. Start date of project _____
2. Estimated completion date _____
3. Funds expended to date \$ _____
4. Anticipated cost overrun/under \$ _____
5. Please provide a summary of progress on your project for the time frame of _____, 20____ through _____, 20____, A report of "on schedule" or "progressing satisfactorily" is insufficient. Include information on problems you have encountered and assistance that you need from the state. Attach additional sheets if necessary.

Status (please check pertinent information):

Project Status

- (1) _____ Project on schedule
- (2) _____ Project suspended
- (3) _____ Project delayed
(new completion date *: _____)
- (4) _____ Project canceled

Project Cost Status

- (1) _____ Costs unchanged
- (2) _____ Cost overrun
- (3) _____ Cost underrun

*Please include written request for extension, see section X of the State Mitigation Grants Administrative Plan, April 2012 or Exhibit A.4 of the Grant Agreement.



**WASHINGTON STATE MILITARY DEPARTMENT
EMERGENCY MANAGEMENT DIVISION
Camp Murray, Washington 98430-5122
MITIGATION GRANT PROGRAMS
PLANNING GRANTS
QUARTERLY PROGRESS REPORT**

REPORTING PERIOD: ___ Jan-Mar ___ Apr-Jun ___ Jul-Sep ___ Oct-Dec Year _____

NAME OF APPLICANT AGENT: _____

TITLE: _____

JURISDICTION: _____

PLAN TITLE: _____

ADDRESS: _____

PHONE(S) _____

EMAIL ADDRESS: _____

GRANT NUMBER (as listed on grant agreement face sheet): _____

FUNDING SOURCE (Which grant program): **HMGP** _____ **PDM** _____ **FMA** _____

1. Start date of planning initiative _____ 2. Estimated completion date _____

3. Funds expended to date \$ _____ 4. Anticipated cost overrun/under \$ _____

6. Please provide a summary of progress on your planning initiative for the time frame of _____, 20____ through _____, 20____, A report of "on schedule" or "progressing satisfactorily" is insufficient. Include information on problems you have encountered and assistance that you need from the state. Attach additional sheets if necessary.

Please indicate on the following chart the percentage (%) of actions completed and the **current** estimated completion dates for these activities as of the end of the current reporting period.

Benchmarks	Percent Completed	Estimated Completion Date
Hazard Inventory		
Summary of Comprehensive Plans		
Review of Possible Mitigation Actions		
Completion of "Planning" Public Meetings		
Plan Approval by Governing Body		
Plan Submitted for State and FEMA Review		

*Please include written request for extension, see section X of the State Mitigation Grants Administrative Plan, April 2012 or Exhibit A.4 of the Grant Agreement.



Final Report
WASHINGTON STATE MILITARY DEPARTMENT
EMERGENCY MANAGEMENT DIVISION
Camp Murray, Washington 98430-5122

PRE-DISASTER MITIGATION PROGRAM
FINAL REPORT

Date:

NAME OF APPLICANT AGENT

JURISDICTION:

PROJECT TITLE:

ADDRESS:

PHONE Number(s):

EMAIL ADDRESS:

GRANT AGREEMENT NUMBER:

FUNDING SOURCE (from Grant Agreement Face Sheet): FEMA #:

1. Project Start Date:
2. Completion date:
3. Approved Project Costs:
4. Funds expended to date: \$
5. Cost overrun/underrun: \$
6. Request for Final Reimbursement: \$
7. Problems Encountered or Comments:

CERTIFICATION:

I hereby certify that to the best of my knowledge and belief the mitigation project for the Mitigation grant described above has been completed. All documents have been submitted, all work has been completed (following all applicable local, State, and Federal laws and regulations), and all costs claimed are eligible in accordance with the conditions of this grant. I certify that the attached A-19, State of Washington Invoice Voucher reflects the final costs for this project and funds requested.

Date

Signature of Applicant's Authorized Representative