



**FEMA**

# HHPD Grant Program Checklist

## Important Dates

**Please note:** Applying for an award under this program is a multi-step process and may take several weeks to complete.

| Key Dates and Times                |                             |
|------------------------------------|-----------------------------|
| Date posted to Grants.gov          | 05/08/2020                  |
| Application Submission Deadline    | 06/26/2020 at 5:00 PM [EST] |
| Anticipated Funding Selection Date | No Later Than 09/01/2020    |
| Anticipated Award Date             | No Later Than 09/30/2020    |

| Suggested Deadlines                |   |
|------------------------------------|---|
| Obtaining DUNS Number              | Four weeks before actual submission deadline (05/29/2020) |
| Obtaining valid EIN                | Four weeks before actual submission deadline (05/29/2020) |
| Updating SAM registration          | Four weeks before actual submission deadline (05/29/2020) |
| Starting application in Grants.gov | One week before actual submission start date (06/19/2020) |
| Final application in Grants.gov    | One week before actual submission deadline (06/19/2020)   |

The following reporting periods and due dates apply:

| Reporting Periods       | Report Due Date                     |
|-------------------------|-------------------------------------|
| August 1 – September 30 | October 30 (First Report)           |
| October 1 – January 1   | January 30                          |
| January 1 – March 31    | April 30                            |
| April 1 – June 30       | July 30                             |
| July 1 – September 30   | October 30 (including Final Report) |

## Eligibility

### Applicants

An applicant is defined as the entity (i.e., the state under this grant program) applying to the Federal Emergency Management Agency (FEMA) for a Federal award that will be accountable for the use of the funds. Once funds are awarded, the applicant becomes the recipient or pass-through entity or both.

- Each eligible state must designate one State Administrative Agency (SAA) to serve as the applicant for HHPD funding.
- Each state may submit only one HHPD grant application to FEMA.
- Given the requirements of this grant (e.g. National Flood Insurance Program participation, state and local hazard mitigation plans, floodplain management plan, risk prioritization, state dam



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safety agency approval of the award), applicants must pursue this grant in coordination with the State Dam Safety Officer and the State Hazard Mitigation Officer, regardless of which entity will implement the grant.

Eligibility criteria includes:

- Must have a dam safety program.
- The dams included on the applicant's list of eligible dams meet eligibility criteria.
- Have in place a FEMA-approved state hazard mitigation plan that includes all dam risks.
  - If the Applicant has a FEMA-approved state mitigation plan that does not include all dam risks, FEMA will inform the Applicant of the determination and the Applicant may request an extension to the mitigation plan requirement.
- The applicant's risk-based prioritization method meets minimum FEMA requirements
- Be registered in SAM and maintain active SAM registration at all times while under consideration, applying to, or maintaining an active federal award.
- Provide a valid DUNS number and EIN in application.
- Must be able to document the required cost share.
- If the applicant receives funding, all criteria for eligible subapplicants must be met.

## Subrecipients

Eligible subrecipients under FY2020 HHPD are non-federal governmental organizations (other than the designated applicant) and nonprofit organizations. Under FY 2020 HHPD, eligible subrecipients apply for and receive subawards directly from the SAA.

Eligibility criteria includes:

- Act in accordance with the state dam safety program and the project dam must be regulated by the state dam safety program. All activities must be approved by the state dam safety agency. Any engineering studies, plans, or design drawings and specifications must be approved, signed, and stamped by a qualified design professional registered in the state in which the project is located.
- Participate in, and comply with, the National Flood Insurance Program (NFIP).
- Commit to provide operation and maintenance of the project for the 50-year period following completion of rehabilitation.
- Subrecipients must have in place at the time of obligation of subgrant funds a local FEMA-approved hazard mitigation plan that includes all dam risks and complies with the Disaster Mitigation Act of 2000 (Public Law 106–390; 114 Stat. 1552).
  - If subrecipient does not have a local mitigation plan that includes all dam risks, they may request an extension to meet this requirement.
  - Nonprofit organizations that are subrecipients must be located in a local jurisdiction with a FEMA-approved hazard mitigation plan that includes all dam risks and complies with the Disaster Mitigation Act of 2000 (Public Law 106–390; 114 Stat. 1552).
- Carries out activities relating to the public in the area around the dam in accordance with the hazard mitigation plan.



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- Complies with section [5196\(j\)\(9\) of title 42](#) of the U.S. Code (as in effect on December 16, 2016) with respect to projects receiving assistance under this section in the same manner as recipients are required to comply in order to receive financial contributions from the Administrator for emergency preparedness purposes.
- Complies with [chapter 11 of title 40](#); Selection of Architects and Engineers.
- Has in place (or will be developed not later than 1 year after the date of execution of a project agreement and implemented not later than 1 year after the date of completion of construction of the project) a floodplain management plan to reduce the impacts of future flood events in the area impacted by the project. The floodplain management plan must address:
  - potential measures, practices, and policies to reduce loss of life, injuries, damage to property and facilities, public expenditures, and other adverse impacts of flooding in the area protected by the project;
  - plans for flood fighting and evacuation; and
  - public education and awareness of flood risks.

## Pass-Through Requirements

All pass-through entities must comply with Section 2 C.F.R. 200.331 requirements for pass-through entities.

Awards made to the SAA for HHPD carry additional pass-through requirements. Pass-through is defined as an obligation on the part of the SAA to make funds available to eligible subrecipients. The following requirements must be met to pass-through grant funds:

- The SAA must submit a revision or amendment to the Program Work Plan to FEMA for approval that describes the budget and project scope for each subrecipient in accordance with 2 C.F.R. § 200.308;
- The SAA must make a firm written commitment to passing through grant funds to subrecipients;
- The SAA's commitment must be unconditional (i.e., no contingencies for the availability of SAA funds);
- There must be documentary evidence (i.e., award document, terms, and conditions) of the commitment; and
- The award terms must be communicated to the subrecipient, including the requirement for a FEMA-approved mitigation plan that includes all dam risks.

## Required Application Documents

- List of all eligible high hazard potential dams in the state, including National Inventory of Dams identifiers (NID ID).
- Description of the state's risk-based prioritization method if the application includes activities for more than one dam.
- Statement that the applicant is able to comply with regulations associated with receipt of federal financial contributions from FEMA.



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- Assurance statement that subrecipients will meet all criteria listed in Section C.3, Subrecipient Eligibility Criteria.
- Assurance Statement that the 35 percent cost share requirements can be met.
- Program Work Plan: The applicant’s Program Work Plan must describe the process for selecting subrecipients and describe how HHPD funds will be used to advance HHPD priorities and performance goals. The Program Work Plan must clearly identify how the SAA proposes to meet the performance metrics identified in Section A.10, Performance Metrics. HHPD recipients may only fund activities and projects that are included and approved in the FY 2020 HHPD Program Work Plan and Budget.
  - Note: After the HHPD funds are awarded, the SAA must submit a revision or amendment to the Program Work Plan to FEMA for approval that describes the budget and project scope for each subrecipient in accordance with 2 C.F.R. § 200.308.
  - Note: The SAA must pass-through the HHPD subaward to eligible subrecipients within 90 calendar days of receipt of the funds.
  - HHPD recipients may only fund activities and projects that are included and approved in the FY 2020 HHPD Program Work Plan.
- Grant Management Plan: The applicant’s Grant Management Plan must clearly describe the SAA’s timelines and milestones for implementing the HHPD grant and demonstrates how HHPD funds will advance the HHPD priorities and performance goals. The Grant Management Plan must also describe methodology and data used to measure progress toward achieving the performance outcomes of the HHPD grant. At a minimum, the Grant Management Plan must include the items listed below:
  - Designation of the SAA responsible for program administration.
  - Identification of the State Official responsible for all matters related to the High Hazard Potential Dam Rehabilitation Grant Program.
  - Determination of staffing requirements and sources of staff necessary for administration of the program.
  - Establishment of procedures to:
    - Identify and notify potential subrecipients of the availability of the program.
    - Ensure that potential subrecipients are provided information on the application process, program eligibility, including the requirement for a FEMA-approved mitigation plan that includes all dam risks, and key deadlines.
    - Determine subrecipient eligibility, including the requirement for a FEMA-approved mitigation plan.
    - Submit revisions or amendments for FEMA review and approval.
    - Conduct environmental and floodplain management reviews.
    - Establish priorities for selection of projects.
    - Process requests for advances of funds and reimbursement.
    - Monitor and evaluate the progress and completion of the selected projects.
    - Review and approve cost overruns.
    - Process appeals.



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- Provide technical assistance as required to subgrantee(s) including coordination with State Hazard Mitigation Officer regarding mitigation plan requirement.
- Comply with the administrative and audit requirements of 2 CFR parts 200 and 3002.
- Provide quarterly progress reports to FEMA on approved projects.

## Required Actions

- Coordinate with dam safety program to submit a list of all eligible high hazard potential dams.
- A specific Dam Safety Deficiency (meeting the NID definition) is recognized and cannot be resolved with routine maintenance. The state dam safety agency has issued an official regulatory notice to the dam owner.
- Submit official regulatory notice that the dam owner has been notified of the Dam Safety Deficiency/Deficiencies (meeting the NID definition).
  - Official documentation must be on official state or dam safety program letterhead.
- Use risk-based prioritization method to rank eligible high hazard potential dams if the application includes activities for more than one dam. This method must:
  - Evaluate static, hydraulic, and seismic failure modes.
  - Evaluate downstream consequences resulting from a dam incident.
  - Comply with FEMA's Federal Guidelines for Dam Safety Risk Management for screening-level analysis.
  - Be objective and reproducible.
    - While some subjectivity is likely to exist, it should be limited to the extent possible.
  - Be consistent across the dam inventory for calculations or numerical estimates.
  - Document all assumptions used in the process.
- The HHPD grant recipients' performance will be evaluated on their progress on delivering the following outcomes: 1) Increased understanding of risk posed by eligible dams through studies, prioritization, planning, and preliminary engineering, 2) Reduced consequences through rehabilitation of eligible high hazard potential dams. To demonstrate the progress of the HHPD grant, the recipient must use the following metrics to measure performance outcomes:
  - The percentage of eligible high hazard potential that have implemented pre-construction rehabilitation activities under the HHPD grant, and the Population at Risk (PAR) associated with each dam.
  - The percentage of HHPD grant subrecipients that have developed floodplain management plans (see below for requirements), and the Population at Risk (PAR) associated with each dam.
  - The total non-federal investment (including in-kind contributions) applied toward eligible activities supporting the rehabilitation of eligible high hazard potential dams under the HHPD grant.
  - The anticipated losses avoided as a result of dam rehabilitation projects completed under the HHPD grant, and the Population at Risk (PAR) associated with the dam.



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- If proposed projects have the potential to impact the environment, applicant must participate in FEMA EHP review process.
  - eg – planning activities, engineering studies, pre-construction, and construction activities that physically affect the environment (eg – geothermal investigations, collecting soil samples, shear wave velocity tests, cone penetrometer tests, test pits, site surveys, in situ soil and rock testing, installation of monitoring instrumentation, construction, etc.).
  - Determine the information needed to comply with the National Environmental Policy Act (NEPA) (42 U.S.C. §§ 4321-4370h) as part of initial and ongoing planning in order to lessen potential impacts to the environment or cultural resources and to identify the best possible solution for the dam safety initiative.
  - An Environmental Assessment pursuant the requirements of NEPA may be necessary for dam rehabilitation or construction projects funded by FEMA and should therefore be accounted for as initial and ongoing project planning takes place.
  - Approval or funding of a dam rehabilitation plan or study under HHPD does not guarantee that additional EHP review will not be required if FEMA or another federal agency was to fund construction or rehabilitation activities that result from these grant activities.
- Commit to provide operation and maintenance of the project for 50 years following completion of rehabilitation.
- Provide assurance that the owner of the dam has developed and will carry out a plan for maintenance of the dam during the expected life of the dam.
  - Submit Operation and Maintenance Agreement where all applicable parties enter a legally binding contract to provide operation and maintenance of the project for 50 years following completion of rehabilitation or the expected life of the dam.
  - Assurance that the subapplicant will have adequate funding resources for Operation and maintenance activities to be carried out over 50-year period following completion of rehabilitation project.
- Submit application by established deadline.
  - Extensions to application deadline may be granted to applicants who can demonstrate good cause.
    - Good cause for an extension may include technical problems outside of the applicant’s control that prevented submission, or exigent emergency circumstances.
- Application forms and instructions are available at grants.gov.
  - To access these materials, go to <http://www.grants.gov>, select “Applicants” then “Apply for Grants.” In order to obtain the application package select “Download a Grant Application Package.” Enter the Assistance Listings (formerly CFDA) and/or the funding opportunity number located on the cover of this NOFO, select “Download Package,” and then follow the prompts to download the application package.
- Register and apply through grants.gov:
  - May take up to 4 weeks;
  - Obtain DUNS number;



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- Register with SAM;
- Create grants.gov account;
- Add Profile to grants.gov account;
- EBiz POC Authorized Profile Roles;
- Track role status; and
- Electronic signature.
- Submit application to DHS via [grants.gov](https://www.grants.gov):
  - Create a Workspace;
  - Complete a Workspace;
  - Mandatory fields in forms;
  - Complete SF-424 Fields first;
  - Submit a Workspace;
  - Receive electronic acknowledgement of application; and
  - Track a Workspace.
- After submitting the initial application in grants.gov, eligible applicants will be notified by DHS/FEMA and asked to proceed with submitting their complete application package in ND Grants.
  - Applicants can register early with ND Grants and are encouraged to begin ND Grants registration at the time of announcement.
  - Submit following Standard Forms (SF) to be eligible to receive award under this grant:
    - SF-424A, Budget Information (Non-construction);
      - For construction under an award, submit SF-424C, Budget Information (Construction) in addition to or instead of SF-424A.
    - SF-424B, Standard Assurances (Non-construction);
      - For construction under an award, submit SF-424D, Standard Assurances (Construction), in addition to or instead of SF-424B.
    - SF-LLL, Disclosure of Lobbying Activities; and
    - Indirect Cost Agreement or Proposal, if the budget includes indirect costs and the applicant is required to have an indirect cost rate agreement or proposal.
  - Submit copies of the following Program-Specific Forms or Information in ND Grants:
    - Detailed Budget;
    - List of all eligible High Hazard Potential Dams;
    - Description of the state's risk-based prioritization method;
    - Statement that the applicant is able to comply with regulations associated with receipt of federal financial contributions from FEMA;
    - Assurance statements;
    - Program Work Plan; and
    - Grant Management Plan.
- An intergovernmental review may be required. Applicants must contact their state's Single Point of Contact (SPOC) to comply with the state's process under Executive Order 12372.
- Applications will be reviewed for completeness and eligibility and recommended for funding by FEMA Headquarters.



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- If awarded funding, an applicant should follow directions in the notification to accept the award. Failure to accept the grant within the 90-day timeframe may result in a loss of funds.
- All successful applicants for DHS grant and cooperative agreements are required to comply with DHS Standard Terms and Conditions.
- Recipients are required to submit financial and programmatic reports as a condition of their award acceptance and drawdown requirements.
- The recipient must submit a quarterly performance progress report (SF-PPR) for each award, submitted as either a word document or PDF file via ND Grants. Performance reports should include:
  - Reporting period, date of report, and recipient point of contact (POC) name and contact information.
  - SF-PPR must be used and submitted via ND Grants.
  - Project identification information, including FEMA project number, subrecipient, and project type using standard ND Grants/NEMIS project type codes.
  - Significant activities and developments that have occurred or have shown progress during the quarter, including a comparison of actual accomplishments to the work schedule objectives established in the subaward.
  - Percent completion and whether completion of work is on schedule; a discussion of any problems, delays, or adverse conditions that will impair the ability to meet the timelines stated in the subaward; and anticipated completion date.
  - Status of costs, including whether the costs are (1) unchanged, (2) overrun, or (3) underrun. If there is a change in cost status, the report should include a narrative describing the change. Also, include amount dispersed to subrecipient by activity.
  - A statement of whether a request to extend the award POP is anticipated.
  - Incremental funding amounts (SFM) and progress completed.
  - Additional information as required by FEMA to assess the progress of an award.
- Grant Award recipients will be monitored programmatically and financially on an annual and as needed basis by FEMA staff to ensure that the activities and project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met.
- Within 90 days after the end of the period of performance, or after an amendment has been issued to close out a grant, whichever comes first, recipients must submit a final FFR and final progress report detailing all accomplishments and a qualitative summary of the impact of those accomplishments throughout the period of performance.
  - If applicable, an inventory of all construction projects that used funds from this program must be reported with the final progress report.