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1. Overview of the Pre-Disaster Mitigation (PDM) Program

The Pre-Disaster Mitigation (PDM) program is authorized by Section 203 of the Stafford Act, 42 U.S.C. 5133. The PDM program is designed to assist states, territories, Indian tribal governments, and local communities to implement a sustained pre-disaster natural hazard mitigation program to reduce overall risk to the population and structures from future hazard events, while also reducing reliance on federal funding from future disasters. It is one of the five programs of the Federal Emergency Management Agency’s (FEMA) Unified Hazard Mitigation Assistance (HMA) Grant Program.

PDM grants are awarded annually on a nationally competitive basis and may be awarded through specific Congressional legislative action. The PDM grant requires an extensive application which must be completed online in the FEMA Mitigation Electronic Grants (eGrants) Management System. Additional information about this program can be found on the FEMA HMA Program website at http://www.fema.gov/government/grant/pdm/index.shtm.

2. Eligibility Requirements

2.1. Applicants and Sub-Applicants

The PDM program is administered by FEMA to applicants and sub-applicants. Only state emergency management agencies or a similar office is eligible to apply for FEMA for assistance as an applicant under the PDM program. In Pennsylvania, the Pennsylvania Emergency Management Agency (PEMA) is the designated PDM applicant. Each applicant may submit an unlimited number of sub-applications for eligible activities that the applicant has reviewed and approved in the online eGrants system.

While PEMA acts as the applicant, the following entities are eligible to apply as sub-applicants for assistance:

- State-level agencies and institutions, including hospitals, the Department of Conservation and Natural Resources, and the Department of General Services;
- Local governments, both municipal- and county-level; and
- Public colleges and universities.

All local applicants must be participants in good standing in the National Flood Insurance Program (NFIP) if the project is sited within the Special Flood Hazard Area. They must also be able to provide a minimum of 25% of costs from non-federal sources, either in cash or in-kind contributions. Additional information on eligible in-kind contributions, see 44 CFR Part 13.24. Small impoverished communities may be eligible to reduce their cost share to 10% of the total amount approved under the grant. Communities that wish to be considered small impoverished communities must provide documentation of their status with the appropriate sub-application.

Individuals, businesses, and private non-profit organizations are not eligible to apply for PDM funds, but an eligible applicant or sub-applicant may apply for funding to mitigate privately held structures.
2.2. Eligible Activities

PDM project proposals must completely address and substantially reduce the risk of future damage, hardship, loss, or suffering resulting from disaster. They must solve a problem independently or constitute a functional portion of a solution where there is assurance that a whole project will be completed. PDM funding can be used for both hazard mitigation planning and hazard mitigation projects at the local level.

The table below outlines selected PDM projects and plans that have been funded since 1999 in Pennsylvania. This list illustrates the variety of types of activities covered by the PDM program.

<table>
<thead>
<tr>
<th>PROJECT</th>
<th>COUNTY</th>
<th>JURISDICTION OR SUB-APPLICANT</th>
<th>PROJECT TYPE</th>
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<tr>
<td>Township of Abington Flood Mitigation Project</td>
<td>Montgomery</td>
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<td>Acquisition</td>
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<td>Armstrong County</td>
<td>Relocation</td>
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<td>Wayne</td>
<td>Wayne County</td>
<td>Relocation</td>
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<td>Yardley Borough Low Lift Pumps</td>
<td>Montgomery</td>
<td>Borough of Yardley</td>
<td>Floodproofing</td>
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<td>Sandycreek Township Flood Control Project</td>
<td>Venango</td>
<td>City of Franklin</td>
<td>Public Awareness and Education and Feasibility, Engineering, and Design Studies</td>
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<tr>
<td>For Infrastructure improvements, analysis, and other activities for disaster mitigation</td>
<td>Northampton &amp; Lehigh</td>
<td>Northampton &amp; Lehigh Counties</td>
<td>Other</td>
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<tr>
<td>For Infrastructure improvements, analysis, and other activities for disaster mitigation-Presque Isle State Park</td>
<td>Erie</td>
<td>Commonwealth Of PA, Department of Conservation and Natural Resources (DCNR)</td>
<td>Other</td>
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<td>Armstrong</td>
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<td>Elevation</td>
<td>Bucks</td>
<td>Yardley Borough</td>
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<td>Northumberland County</td>
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<td>Potter County Hazard Mitigation Plan 2</td>
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2.2.1. Planning
Planning activities that develop state, local, and university hazard mitigation plans (HMPs) that meet the planning criteria outlined in 44 CFR Part 201 are eligible for the PDM program. Hazard mitigation planning activities must primarily focus on natural hazards but may also address hazards caused by human-made events. Both single and multi-jurisdictional HMPs may be submitted for funding. A hazard mitigation planning sub-grant award must result in fully approved HMP, adopted by the county and participating jurisdictions prior to the existing HMP’s expiration date. Typically, this requires a 12-18 month planning period.

PDM money can also be used towards the dissemination of information pertaining to the planning application and the indirect management costs incurred during the application process. For more information on the amount of grant funding that can be used on these costs, please see the Unified HMA Guidance package for the current fiscal year.

2.2.2. Projects
Proposed hazard mitigation projects must primarily focus on natural hazards. Funding is restricted to a maximum of $3 million federal share per project sub-application. FEMA has established priorities and project eligibility criteria. The acquisition/relocation of repetitive loss structures is among the highest priority project types. Examples of eligible hazard mitigation projects include, but are not limited to:

- Voluntary acquisition of real property (i.e. structures and land, where necessary) for conversion to open space in perpetuity;
- Relocation of public or private structure(s);
- Elevation of existing public or private structures to avoid coastal or riverine flooding;
- Structural retrofitting and non-structural retrofitting (e.g., storm shutters, hurricane clips, bracing systems) of existing public or private structures;
- Construction of safe rooms (tornado and severe wind) for public and private structures that meet the FEMA construction criteria;
- Vegetation management for natural dune restoration, wildfire or snow avalanche;
- Protective measures for utilities water and sanitary sewer systems and/or infrastructure; and
- Storm water management projects and localized flood control projects, such as certain ring levees, bank stabilization, and floodwall systems that are designed specifically to protect critical facilities that do not constitute a section of a larger flood control system.

Projects submitted for consideration must be consistent with the goals and objectives in the State HMP. Local and university projects also must be consistent with the goals and objectives in the Local HMP.

2.3. Ineligible Activities
In general, the following project activities are **NOT** eligible for the PDM grant program:

- Major flood control and/or erosion projects such as the construction or repair of dikes, levees, floodwalls, seawalls, groins, jetties, breakwaters, dams, waterway channelization, and beach nourishment or re-nourishment;
- Water quality infrastructure projects;
- Projects that address ecological or agricultural issues related to land or forest management *(i.e., insects, diseases, weather-related damages, infestations)*;
- Warning and alert notification systems *(i.e., NOAA weather radios)*;
• Any phase or part of a project that is dependent on another phase or part that is not included in the project sub-application to be effective and/or feasible;
• Studies that do not result in a project (i.e., engineering designs, feasibility studies, flood studies, or drainage studies that are not integral to the proposed project);
• Flood studies or flood mapping (i.e., general hydrologic and hydraulic studies/analyses not integral or necessary for project design or feasibility determination);
• Dry flood proofing of residential structures;
• Generators and related equipment (i.e., generator hook-ups) for non-critical facilities;
• Generators and related equipment (i.e., generator hook-ups) for critical facilities that are not part of a larger eligible hazard mitigation project sub-application and is not directly related to the hazard(s) that threatens the critical facility;
• Any hazard mitigation activities involving demolishing an existing structure (i.e., commercial or residential building) and building a new structure (i.e., demolition/rebuild) in floodplains;
• Projects that solely address a human-made hazard;
• Response and communication equipment;
• Projects that solely address maintenance or repairs of existing structures, facilities, or infrastructure (i.e., dredging, debris removal, and dam repair/rehabilitation);
• Localized flood control projects that do not protect a critical facility;
• Localized flood control projects that constitute a section of a larger flood control system; and
• Any project for which another federal agency has primary authority.

3. Process Timeline

The PDM application cycle and timeline changes yearly, and the process usually begins in or around June. Dates and deadlines are advertised by FEMA and PEMA each year. An approximate process timeline is as follows:

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<th>Approximate Timeline</th>
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<tr>
<td><strong>June</strong></td>
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<td>PEMA Notifies communities of deadlines through mass mailings, webinars, and community outreach.</td>
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<td><strong>June – August</strong></td>
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<tr>
<td>PEMA solicits Pre-Application Forms (Letters of Interest) from interested eligible sub-applicants.</td>
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<tr>
<td><strong>October – November</strong></td>
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<tr>
<td>Sub-applicants scope and select hazard mitigation projects to pursue. PEMA mitigation staff gives eGrants access and assists sub-applicants with application process.</td>
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<tr>
<td><strong>November</strong></td>
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<td>PEMA reviews applications for completeness and eligibility, and ranks them.</td>
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<td><strong>Early December</strong></td>
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<tr>
<td>PEMA packages all Pennsylvania sub-applications together into one state application and submits to FEMA via eGrants.</td>
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<tr>
<td><strong>Early December – January</strong></td>
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<tr>
<td>FEMA reviews the applications for completeness and eligibility.</td>
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4. Pre-application Requirements

Interested hazard mitigation sub-applicants need to file a PDM Pre-Application Form (Letter of Interest) with PEMA in order to begin the PDM application process. This Pre-Application Form is included as Appendix A and should be completed by the sub-applicant agent: a municipality, county, or state agency/institution. For PDM planning grants, the Pre-Application Form (Letter of Interest) should be completed by the county but should include letters of support from individual municipalities pledging participation and eventual adoption of the HMP. PEMA Hazard Mitigation Officers will follow up on this Letter of Interest to ensure that the submission is an eligible project for the program.

Once a project is identified via the PDM Pre-Application Form (Letter of Interest), the community should fill out the Hazard Mitigation Project Opportunity Form. This form begins the creation of the scope of work for the project. It should be completed for each property to be included in a project. The Hazard Mitigation Project Opportunity Form can be found in 0.

Because all sub-applications must be submitted electronically using the FEMA eGrants system, it is also a pre-requisite to the application process that all sub-applicants must complete FEMA Independent Study course IS-30: Mitigation eGrants for Subgrant Applicants. This interactive computer-based course is designed to provide sub-applicants with basic knowledge about using the eGrants Management System.

Finally, sub-applicants must provide proof of adoption of the local or university hazard mitigation plan, usually in the form of a copy of the adoption resolution. Blank copies of adoption resolutions, along with additional HMP adoption information, are available in Pennsylvania’s Hazard Mitigation Planning Standard Operating Guide.
5. Project Scoping

Initial project scoping is essential to developing an effective project and a strong application. Project scoping helps establish that a sub-applicant is on the right track in the application process. The desired result of project scoping is the development of eligible project alternatives from which the most competitive PDM project(s) can be selected. Often, analysis of alternatives reveals two crucial components: 1) that a project addresses the frequency or repetitiveness of the problem and 2) that the project addresses damages to structures and contents, not nuisance damages.

There are five primary components of project scoping:

- **Eligibility**: the project should meet the eligibility criteria listed in Section 2: Eligibility Requirements.
- **Feasibility**: the project should effectively reduce losses and solve the problem as defined by the desired level of protection (i.e., protecting to the 1%-annual-chance flood).
- **Cost-effectiveness**: the project should effectively mitigate high-risk situations.
- **Environmental concerns**: scoping should address the negligible, minor, and major environmental impacts of the project and evaluate whether these impacts affect the viability of the project.
- **Community support**: the project should be acceptable to both the broader community and the property owners involved. There should be adequate administrative, technical, and fiscal support for the project.

Effective project identification, scoping, and screening are essential, but they take time, so sub-applicants should start early. It is also important to understand that a project that is a high community priority may not be a good fit for the PDM program. As a result, scoping and selecting projects before developing the detailed application has a number of benefits, including allowing sub-applicants to:

- Obtain critical information to determine feasibility, eligibility, and competitiveness;
- Streamline the application process;
- Confirm that the sub-applicant has an effective, eligible project before expending the time and effort needed to apply for funds; and
- Evaluate alternatives.

### 5.1. “Good” Projects and Applications

Good projects and applications require proper identification of the hazard and the threats it poses, and they define the population and structures at risk. They also meet or match the risk posed by the problem in both the level of protection provided by the project and the effectiveness and feasibility of the project. Projects that address high risk areas or structures should have a higher probability of being funded. “Good” project applications typically include a history of the hazard affecting the project area, including information on past damages caused by the hazard.
Important Considerations for Application Development:

- Assume the reviewer does not know anything about the sub-application area or region and may never be able to visit the project site.
- Remember that most of the information used to evaluate alternative projects should be provided up-front in the application.
- Fully describe the results of the project development process to illustrate that it was thoughtfully considered.
- Read the current year Unified HMA Guidance carefully and provide information accordingly for the PDM program!

5.2. Common Application Shortcomings

There are a few common application shortcomings seen in the PDM program that sub-applicants should be aware of:

- Project is not eligible under FEMA grant programs;
- Scope of work is inadequate, either because it gives too little detail, provides unclear descriptions, omits key data, or has no supporting maps/diagrams;
- Project is not well-developed or well-screened;
- Project is phased or is one component of a larger project;
- Project addresses a ‘nuisance’ issue rather than an actual property threat;
- Risk was not high;
- The hazard mitigation measure does not provide adequate protection;
- The calculated Benefit-Cost Ratio of the project is less than 1.0 (See Section 0);
- The cost of the mitigation measure is too high for level of protection provided; or
- Supporting documentation/detail is incomplete, inaccurate, and/or not credible.

6. Application Elements

There are seven essential components of the PDM application:

- Hazard Description,
- Scope of Work,
- Cost Estimate,
- Work Schedule,
- Benefit-Cost Analysis,
- Environmental Review, and
- Engineering Review.

This section gives a brief description of each of the application elements along with a short example of each component. A blank PDM application can be found in Appendix D to assist you with the development of your eGrants application.
6.1. Hazard Description

The hazard description provides a description of the problem and history of damage due to the hazard or hazards to be mitigated. All hazards being mitigated in each project should be described. The hazard(s) should be described using the geographic area identified in the project description along with maps, diagrams, at least five photos, and any studies indicating the vulnerability of the community to the hazard(s). The hazard description should detail the nature of the problem hazard(s), provide data that describes the hazard’s impact, document historical damage dates and figures, and provide storm event interval, if applicable.

Example Hazard Description:

The 1000 block of Main Street in Anytown, PA is located in the 1%-annual-chance flood hazard area. There has been significant damage to homes and to Main Street itself during extreme precipitation events and resulting flooding in recent years. There has been two feet of water in the six homes on the north side of the street three times in seven years, and there has been a total of 35 hours of road flooding. The average damage assessment to homes has totaled $25,000. and the loss of road function cost our jurisdiction $300,000.

6.2. Scope of Work (SOW)

The Scope of Work (SOW) is essentially a narrative description of the solution being proposed. It must be linked to the hazard or hazards described in the Hazard Description section of the application. It describes the methodology for implementing the mitigation action. The SOW should provide a clear, concise, and vivid description of the project being proposed along with the geographic location (latitude/longitude, street name(s), and block number(s)) of the project.

Houses to be acquired, relocated, or elevated should be listed with building-specific information, if available. The Scope of Work should also provide the specific sizes, lengths, locations, and capacities of pipes, pumps, and pump stations and should indicate the level of protection of the hazard mitigation project. Alternate properties should be included in case the primary targeted properties do not wish to participate.

Example SOW:

The proposed project is to reduce flooding in the Friendly Neighborhood of Any Town, PA. During rain events the homes and buildings experience flooding due to stormwater run-off. The proposed project is to construct a 1-acre storm water retention pond, re-shape an existing diversion ditch, construct swales and install French drains. The proposed project will prevent this type of flooding from affecting 40 homes and 1 critical facility.
6.3. Cost Estimate

The Cost Estimate portion of the PDM application requires the sub-applicant to provide detailed cost estimates for the project. These costs may include materials, labor, and any associated fees. The Cost Estimate should employ a line item breakdown of all project costs with the item name, quantities, unit of measurement, costs, and cost estimate. It is important to provide the source of the estimate (documented local cost, bids from qualified professionals, published cost estimating guides, etc) to show that costs are reasonable. Providing lump sum costs should be avoided. The Cost Estimate should also show the federal/local funding cost share.

Contractor costs are an acceptable cost for PDM projects but should be identified up front. Any requests for project management and pre-award costs must be identified in the project application. These management fees are capped at 5% of the total funds requested in the sub-application and must be documented and included in the budget as a separate line item. For projects with multiple structures, like acquisition projects, program management costs must be either a percentage of the cost of each structure or a fixed fee per structure.

Hidden or contingency costs should not be included, and project maintenance costs after the initial implementation are not allowed.

<table>
<thead>
<tr>
<th>Example Cost Estimate:</th>
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<tbody>
<tr>
<td>Funding Summary:</td>
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<tr>
<td>Federal Share: $159,276.76 (75%)</td>
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<tr>
<td>Local Share: $53,092.24 (25%)</td>
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<tr>
<td>TOTAL PROJECT COST: $212,369.00 (100%)</td>
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<tr>
<th>Line Item Budget:</th>
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<tr>
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<td>Labor:</td>
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<td>Fees:</td>
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6.4. Work Schedule

The Work Schedule component of the PDM application should describe the anticipated project schedule, including the projected length of time needed to complete each task. It should indicate specific and measureable steps for implementation, and should cover all phases of the project, including surveys, appraisals, legal offers, closing, permitting, demolition, site preparation, etc. A Gantt chart schedule is a useful schedule summary tool; an example for a wind shutter installation mitigation project is provided below.

A PDM-funded hazard mitigation project has a three-year timeline that begins when the award letter from FEMA is received by PEMA through the eGrants system. PDM-funded planning grants should be completed in the time period before the existing HMP expires, allowing for a 12-18 month planning period.
Proposed Work Schedule for Wind Shutter Installation Project:

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</table>

6.5. Benefit-Cost Analysis (BCA)

Benefit-Cost Analysis (BCA) is a quantitative procedure that compares the cost-effectiveness of a hazard mitigation measure by taking a long-term view of avoided future damages as compared to the cost of a project. FEMA uses BCA to compare applications for funding and in awarding grants. The BCA must be conducted using the FEMA-approved BCA Toolkit, a free software package designed to facilitate the process of preparing a BCA. This toolkit and associated training can be accessed online at [http://www.bchelpline.com/](http://www.bchelpline.com/). Using this software will ensure that the calculations are prepared in accordance with Federal Regulations and will assist in providing adequate documentation to support cost-effectiveness. This software calculates the Benefit-Cost Ratio (BCR) of projects.

The accurate preparation of a BCA is a critical element of a project application and sub-application. Project sub-application BCRs must be 1.0 or greater in order to be accepted in eGrants as a valid project application. BCA is not required for planning grant sub-applications.

Example BCA:

An acquisition project has a total cost of $50,000. The project benefit (total net present value of benefits) totals $75,000 over 100 years.

$$BCR = \frac{75,000}{50,000} = 1.50$$
6.6. **Environmental Review**

Several sections of the PDM sub-application are designed to provide the necessary background for the environmental review, even if the application does not make it to the Environmental and Historic Preservation (EHP) Review (see Section 3: Process Timeline). The environmental review covers the projects’ impacts on the natural and human-made environment, particularly adverse impacts. When FEMA funds a hazard mitigation project, they are responsible for complying with environmental laws including:

- National Environmental Policy Act (NEPA),
- National Historical Preservation Act (Section 106),
- Endangered Species Act,
- Executive Orders, and
- Coastal Zone Management Act.

It is important that the sub-applicant make every effort at initiating the environmental review process as early as possible, as late-emerging environmental issues can derail otherwise feasible and cost-effective projects. The scope of work, budget, maps, photographs, and consideration of alternatives are all designed to provide background for environmental review.

6.7. **Engineering Review (when applicable)**

There is no specific engineering section on the PDM application. However, if an engineering review is applicable or required, and the data is available, sub-applicants should include the building code/standard being used and schematic or detailed engineering drawings, or engineering design. Other specific hazard mitigation techniques (elevation, drainage, wind retrofit, etc.) may require additional technical documentation. PEMA staff will be able to assist sub-applicants with determining what technical documentation is required.

7. **Application Review**

FEMA reviews and scores all applications based on the following four key elements:

- Eligibility and completeness,
- Cost effectiveness,
- Engineering feasibility and effectiveness, and
- Environmental and historic preservation compliance.

All eligible applications are electronically scored on the basis of predetermined, objective, quantitative factors in order to calculate a National Ranking Score for each sub-application. Key points in the national ranking process include: priority given to the sub-application by PEMA, assessment of hazard(s), plan status, community mitigation measures, percent of the population benefitting, critical facility protection, and small and impoverished community status.

All sub-applications are then sorted in descending order by score before being forwarded to the National Evaluation Panel (See Section 3: Process Timeline). The National Evaluation Panel uses the following factors in reviewing applications:

- Strategy for and identification of appropriate and useful performance measures to assure the success of the proposed mitigation activity;
- Sufficient staff and resources for implementation of the proposed mitigation planning process or proposed mitigation project;
PDM Project and Planning Funding Assistance

- Thoroughness of SOW that demonstrates an understanding of the planning process and describes a methodology for completing the proposed HMP;
- Reduction of the overall risks to the population and structures;
- Protection of critical facilities;
- Inclusion of outreach activities appropriate to the proposed mitigation project;
- Description of unique or innovative outreach activities appropriate to the planning process (e.g., press releases, success stories) that advance mitigation and/or serve as a model for other communities;
- Leveraging of federal/state/tribal/territorial/local/private partnerships to enhance the outcome of the proposed activity; and
- Durability of the financial and social benefits that will be achieved through the proposed mitigation project.

8. Award Administration and Reporting

After the PDM grant recipients are selected, FEMA will provide PEMA with an award package for successful sub-applications. This package includes an award letter, FEMA Form 76-10A, Obligating Document for Awards/Amendments, and Articles of Agreement, which must be signed by PEMA in eGrants and returned to FEMA for approval before funds can be obligated. These forms constitute an agreement to abide by the grant award terms and conditions. After the award package from FEMA is received by PEMA through the eGrants system, PEMA’s Division of Grants Management and Legal Department draft and execute a formal grant agreement between PEMA and the sub-applicant. The agreement drafting process can take time; sub-applicants are advised that work completed under a PDM-eligible project before the grant has been awarded or before the grant agreement has been finalized cannot be reimbursed! Work on the project or plan must begin within 30 days of this agreement being signed.

As is the case with most grant funding awards, there are some reporting requirements associated with the PDM program that begin when the award is given, not when work on the project or planning process commences. Grantees and sub-grantees must maintain both records of work and records of expenditures. The reporting requirements for PDM funding differ based on the delivery mechanism of funding. Sub-grantees receiving reimbursements for project costs must submit Quarterly Progress Reports to PEMA. Sub-grantees receiving an advance for project costs must submit Monthly Mitigation Reconciliation Reports as well as Quarterly Progress Reports to PEMA. Quarterly Progress Reports must be completed for the entire duration of the project, from the time of the award to FEMA Region III closeout. All reports sent to PEMA will be compiled and forwarded to FEMA Region III by January 15, April 15, July 15, and October 15 of each year.

9. Resources

9.1. Federal

For PDM program overview information, please visit: http://www.fema.gov/government/grant/pdm/index.shtm.

The FEMA Library acts as the central repository for all FEMA documents and guidance. The Library can be accessed online at: http://www.fema.gov/library/index.jsp. Each fiscal year’s
Unified HMA Guidance as well as other grant application resources can be found by searching the Library.

Federal Technical Assistance for the PDM grant is available to sub-applicants at (866) 222-3580 or hmagrantshelpline@dhs.gov. These helpline options guarantee a 48-hour response time.

FEMA also provides technical assistance to sub-applicants for preparing the support data for specific sub-application elements:

- For assistance with Engineering Feasibility, contact enhelpline@dhs.gov.
- For assistance with Benefit-Cost Analysis, contact bchelpline@dhs.gov. Further online resources for BCA are located at http://www.bchelpline.com/BCAToolkit/index.html.
- For assistance with the Environmental/Historical Preservation Compliance data, contact ehelpline@dhs.gov.

9.2. State

General state resources for hazard mitigation, the PDM program, and other federal grant programs for mitigation can be found on PEMA’s website at:

http://www.portal.state.pa.us/portal/server.pt/community/programs_and_services/4547/hazard_mitigation/457689.

PEMA’s Bureau of Recovery and Mitigation provides technical assistance and troubleshooting for sub-applicants. For assistance, contact Tom Hughes, State Hazard Mitigation Officer, at (717) 651-2726 or thughes@state.pa.us, or Steve Boyer, PDM Project Officer, at (717) 651-2159 or steboyer@state.pa.us.

9.3. eGrants

The eGrants system can be accessed online at: https://portal.fema.gov/famsVuWeb/home. The mandatory FEMA Independent Study course IS-30: Mitigation eGrants for the Subgrant Applicants can be accessed at: www.training.fema.gov/EMIWeb/IS/IS30.asp.

FEMA has developed Frequently Asked Questions on the eGrants system, located at: http://www.fema.gov/government/grant/hma/mtegrants_faqs.shtm. Sub-applicants may also consult the Sub-grant Applicant Quick Reference Guide at: http://www.fema.gov/library/viewRecord.do?id=3267. FEMA is also developing further application aids that may be found by searching the FEMA Library.

For specific eGrants system issues, contact the Mitigation eGrants Helpdesk at (866) 476-0544 or MTeGrants@dhs.gov. This toll-free number is available Monday through Friday, 8am – 7pm.

10. Appendices

Appendix A: PEMA PDM Pre-Application Form/Letter of Interest

Appendix B: PEMA Hazard Mitigation Project Opportunity Form

Appendix C: eGrants Registration Guidance
Appendix D: Blank PDM eGrants Application

Appendix E: Planning Sub-Application Completeness Checklist

Appendix F: Project Sub-Application Completeness Checklist
Appendix A.  PDM Pre-Application/Letter of Interest

FEMA HAZARD MITIGATION ASSISTANCE UNIFIED GRANT PROGRAM  
(Non Disaster Grants) Letter of Interest

SUBJECT:  FEMA Hazard Mitigation Assistance Unified Grant Program (Non Disaster HM Grants)  
TO:  
State Hazard Mitigation Officer (SHMO)  
Pennsylvania Emergency Management Agency, Bureau of Recovery and Mitigation  
Hazard Mitigation Division 2605 Interstate Drive, Harrisburg, PA 17110

Dear SHMO:

The purpose of this notice is to inform you of our interest in participating in the Unified Hazard Mitigation Assistance Program for the federal fiscal year _______(FFY).

___________________________________________________________________________
Signature  Title  Date

APPLICANT COMMUNITY:________________________________________________________
COUNTY: _________________________________________________________________

PROJECT CONTACT

NAME: _________________________________________________________________________

TITLE: _________________________________________________________________________

AGENCY: ____________________________

ADDRESS: ________________________________________________________________

PHONE: _____________________________

EMAIL: ______________________________

TYPE OF PROGRAMS INTERESTED IN:

☐ Repetitive Flood Claims (RFC)  ☐ Flood Mitigation Assistance (FMA)  
☐ Severe Repetitive Loss (SRL)  ☐ Pre-Disaster Mitigation Grant Program (PDM)

TYPE OF ORGANIZATION:

☐ Municipal Government  ☐ Private Nonprofit  ☐ Public College/Univ. (PDM only)

☐ County Government  ☐ State Agency

LOCATION OF PROJECT: _____________________________________________________________________
____________________________________________________________________________________________

BRIEF DESCRIPTION OF PROJECT: ________________________________________________________________________________
______________________________________________________________________________________________

BRIEF DESCRIPTION OF PROBLEM TO BE SOLVED: ____________________________________________________________________________
______________________________________________________________________________________________

TOTAL ESTIMATED COST: __________________

SOURCE OF FUNDING FOR NON-FEDERAL SHARE: ______________________________________

FAX to PEMA at 717-651-2150 or mail to: State Hazard Mitigation Officer (SHMO)  
Pennsylvania Emergency Management Agency, Bureau of Recovery and Mitigation  
Hazard Mitigation Division 2605 Interstate Drive, Harrisburg, PA 17110

*PRE-APPLICATION MUST BE SUBMITTED BEFORE AN APPLICATION PACKET WILL BE SENT TO YOU
Appendix B: Hazard Mitigation Project Opportunity Form

HAZARD MITIGATION PROJECT OPPORTUNITY FORM

Community: ___________________________  Date: ________________

County: ________________________________

Project Contact Name/Title: ____________________________________________________________

AGENCY/Borough/Township: ___________________________________________________________

PROPERTY INFORMATION

PROJECT NAME: _________________________________________________________________

LOCATION OF PROJECT (ADDRESS): _________________________________________________

Latitude: ______________________________ Longitude: _________________________________

LOT: ______________________________ Block: _______________________________

PARCEL NUMBER: _________________________________________________________________

OR TAX PARCEL NUMBER: _________________________________________________________

ELEVATION: ______________________________ CERTIFICATE Y N

Is the property within the 100-year floodplain? Y N

The property is located on FIRM Panel Number: ___________________ D-FIRM: _____________

FLOOD INSURANCE: Y N  Date of Insurance Verification: ____________________________

BRIEF DESCRIPTION OF PROJECT:

BRIEF DESCRIPTION OF PROBLEM TO BE SOLVED:

COSTS:

TOTAL ESTIMATE COST OF PROJECT: $________________________

ASSESSMENT VALUE:_________________________ DATE OF ASSESSMENT:_____________________

SOURCE OF FUNDING FOR NON-FEDERAL SHARE:_______________________________

This project is already listed in the County Hazard Mitigation Plan:  YES  NO

This Project is tied to which goal and objective? _________________________________

COMMUNITY RANKING SCORE:_________________________  Date: _________________________
Appendix C. eGrants Registration Guidance

In order to submit a PDM project or planning grant application, all sub-applicants must be registered for and be granted access to FEMA’s eGrants system. This is a protected system and that requires authentication by PEMA staff in order to gain access. Access will not be granted until the user completes FEMA IS-30: Mitigation eGrants for Subgrant Applicants. The IS-30 certificate of completion must be faxed to PEMA-BORM at (717) 651-2150. Alternatively, the IS-30 certificate of completion can be scanned and emailed to Tom Hughes, State Hazard Mitigation Officer, at thughes@state.pa.us.

In the eGrants system, users select their own user ID and password. Please remember and protect these items as they are needed to access the eGrants system. The eGrants system requires Microsoft Internet Explorer, version 5 or later, with 128-bit encryption or Netscape internet browser, version 4.7 or later, with 128-bit encryption. There are seven screens to complete registration.

**Step 1: Navigate to the eGrants website**

To initiate the registration, visit: [https://portal.fema.gov/famsVuWeb/home](https://portal.fema.gov/famsVuWeb/home). Click on the “New User” button.
Appendix C: eGrants Registration Guidance

Step 2: Enter the validation characters

Step 3: Complete user profile

All items marked with an asterisk (*) are mandatory fields.

Select a User ID whose minimum length is 7 characters and maximum length is 14. The User ID should be all lower-case and cannot contain special characters or spaces.

Ensure a valid e-mail address is used, as this is where the permission for access e-mail will be sent.
Step 4: Select a password

Passwords should be 8 characters in length with no special characters, all lowercase. After clicking “Submit,” the user ID and password are officially active; if necessary, the user can log off and log back in later to complete Steps 5 and 6.

Step 5: Request new privileges

After completing steps 1-4, the FEMA system should state, “Congratulations! Your account is registered.” At this stage, the User ID and password will grant access to eGrants. Once the account is created, sub-applicants should click the “Click here to request new privileges” button.

Next, navigate to the “Mitigation eGrants” button.

When prompted for a valid access ID, enter the code S42 (S must be capitalized) and click submit. This sends the request to PEMA.
Step 6: Notify PEMA of eGrants access request

After the online registration is complete, users must notify PEMA staff that they have requested permission to enter eGrants by contacting Tom Hughes, State Hazard Mitigation Officer, at (717) 651-2726 or thughes@state.pa.us or Steve Boyer, PDM Project Officer, at (717) 651-2159 or steboyer@state.pa.us.

An e-mail will be sent to the user after permission is granted. You are ready to start the eGrants application process!
Appendix D. **Blank PDM eGrants Application**

To facilitate eGrants online Application

*Indicates a required field

**Application Title:**
**Sub-Grant Applicant:**
**Application Number:**
**Application Year:**
**Grant Type:**
**Address:**

<table>
<thead>
<tr>
<th>Applicant Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>* Name of Applicant</td>
</tr>
<tr>
<td>* State</td>
</tr>
<tr>
<td>Congressional District</td>
</tr>
<tr>
<td>* Type of Applicant</td>
</tr>
<tr>
<td>Legal status, function, and facilities owned:</td>
</tr>
<tr>
<td>State Tax Number:</td>
</tr>
<tr>
<td>Federal Tax Number:</td>
</tr>
<tr>
<td>Other type name:</td>
</tr>
<tr>
<td>* Federal Employer Identification Number (EIN). If Indian Tribe, this is Tribal Identification Number.</td>
</tr>
<tr>
<td>What is your DUNS Number?</td>
</tr>
<tr>
<td>* Are you the application preparer?</td>
</tr>
<tr>
<td>* Is the application preparer the Point of Contact?</td>
</tr>
<tr>
<td>* Is application subject to review by Executive Order 12372 Process?</td>
</tr>
<tr>
<td>Is the applicant delinquent on any Federal debt?</td>
</tr>
<tr>
<td>Expansion:</td>
</tr>
<tr>
<td>* Community:</td>
</tr>
<tr>
<td>* Is this a small, impoverished community?</td>
</tr>
</tbody>
</table>
## Appendix D: Blank PDM eGrants Application

### Contact Information

<table>
<thead>
<tr>
<th>Title</th>
<th><em>First Name</em></th>
<th><em>Middle Initial</em></th>
<th><em>Last Name</em></th>
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<tr>
<th>Title</th>
<th><em>Agency/Organization</em></th>
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<table>
<thead>
<tr>
<th>Address 1</th>
<th>Address 2</th>
<th><em>City</em></th>
<th><em>State</em></th>
<th><em>ZIP</em></th>
<th><em>Phone</em></th>
<th><em>Fax</em></th>
<th><em>Email</em></th>
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### Alternate Point of Contact Information

<table>
<thead>
<tr>
<th>Title</th>
<th>First Name</th>
<th><em>Middle Initial</em></th>
<th>Last Name</th>
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<th><em>Agency/Organization</em></th>
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<table>
<thead>
<tr>
<th>Address 1</th>
<th>Address 2</th>
<th><em>City</em></th>
<th><em>State</em></th>
<th><em>ZIP</em></th>
<th><em>Phone</em></th>
<th><em>Fax</em></th>
<th><em>Email</em></th>
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</tbody>
</table>
## *Community Information*

Please provide the name of each community that will benefit from this mitigation activity.

<table>
<thead>
<tr>
<th>State</th>
<th>County Code</th>
<th>Community Name</th>
<th>CID Number</th>
<th>CRS Community</th>
<th>CRS Rating</th>
<th>State Legislative District</th>
<th>US Congressional District</th>
</tr>
</thead>
</table>

## Mitigation Plan Information

*Does your community have a current FEMA approved multi-hazard mitigation plan?*

*What is the name of the plan?*

*What is the type of plan?*

*When was the current multi-hazard mitigation plan approved by FEMA?*

If your community does not have a current FEMA approved multi-hazard mitigation plan please answer the following.

Do you have any other mitigation plans adopted in your community?

If Yes, please provide the following information.

<table>
<thead>
<tr>
<th>Plan Name</th>
<th>Plan Type</th>
<th>Attachment</th>
</tr>
</thead>
</table>

If you would like to make any comments, please enter them below.

## Mitigation Activity Information

*What type of activity are you proposing?*

*Title of your proposed activity:*

If you would like to make any comments, please enter them below.
## Problem Description

Problem Description: please describe the problem to be mitigated. Include the geographic area in your description.

Enter the Latitude and Longitude coordinates for the project area.

- **Latitude:**
- **Longitude:**

**Attachments:** (Attachments at end of document or uploaded via eGrants)

- Yes [ ] No [ ]

## Hazard Information

Select hazards to be mitigated

- If other hazards, please specify
- If you would like to make any comments, please enter them below.

## FIRM Information

*Is the project located within hazard area:*

- If other identified high hazard area, please specify:

**Is there a Flood Insurance Rate Map (FIRM) or Flood Hazard Boundary Map (FHBM) available for your project area?**

**Enter FIRM Panel Number:**

**Is the project site marked on the map?**

**Select Flood Zone Designation**
**Scope of Work**

* Describe the project: please explain how the project solves the problem?

If you would like to make any comments, please enter them below.

**Work Schedule**

<table>
<thead>
<tr>
<th>Phase</th>
<th>Total Phase Duration</th>
</tr>
</thead>
</table>

Estimate the duration for all phases

If you would like to make any comments, please enter them below.

**Properties**

<table>
<thead>
<tr>
<th>Property</th>
<th>Owner's Name</th>
<th>Address</th>
<th>City</th>
<th>State</th>
<th>Zip Code</th>
</tr>
</thead>
</table>
## Decision Making Process

Describe the process you used to decide that this project is the best solution to the problem.

Explain why this project is the best alternative.

Comments:

### Cost Estimate

<table>
<thead>
<tr>
<th>Item Name</th>
<th>Grant Budget Class</th>
<th>Sub-Grant Budget Class</th>
<th>Unit Quantity</th>
<th>Unit of Measure</th>
<th>Unit Cost ($)</th>
<th>Cost Estimate ($)</th>
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</table>

### Total Cost Estimate

<table>
<thead>
<tr>
<th>Match Sources</th>
<th>Total Project Cost Estimate</th>
<th>Federal Share Percentage</th>
<th>75.0%</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>No Federal Share Percentage</td>
<td>25.0%</td>
<td></td>
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</tbody>
</table>

- Proposed Federal Share
- Proposed Non-Federal Share

Dollars | Percentage
# Appendix D: Blank PDM eGrants Application

## Matching Funds

<table>
<thead>
<tr>
<th>Source Agency</th>
<th>Name of Source Agency</th>
<th>Funding Type</th>
<th>Amount ($)</th>
</tr>
</thead>
<tbody>
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</table>

*Grand Total $*

If you would like to make any comments, please enter them below.

## Cost Effectiveness Information

Attach the Benefit Cost Analysis (BCA), if completed for this project

- [ ] Completed (Attached / Electronic submission)
- [ ] Need Guidance

*What is the source and type of the problem?*

*How frequent is the event?*

*How severe is the damage?*

*What kinds of property are at risk?*

*Are there better, alternative ways to solve the problem?*

*Are the mitigation project costs well documented and reasonable?*

If you would like to make any comments, please enter them below.

## History of Past Damages

<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
<th>Description of Damage</th>
<th>Amount of Damage</th>
</tr>
</thead>
<tbody>
<tr>
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</table>

Total Amount of Damage
A. National Historic Preservation Act - Historic Structures

*1. Does your project affect or is it in close proximity to any buildings or structures of any kind? □ Yes □ No

If yes, please check the appropriate radio button below to identify any supporting information attached below or provided elsewhere in this application.

For each property affected, complete the Property Site Inventory in the Properties screen, including type of structure affected, its original date of construction, and at least two color photographs showing at least three sides of the structure.

For those buildings or structures over 49 years of age, do you have any of the following? If so check the box next to that item.

☐ Request for information and response letter from the State Historic Preservation Officer, and/or the Tribal Historic Preservation Officer, as well as other sources such as a local historical society.

☐ Documentation of any structures listed on the National Register of Historic Places, or are within or near a National Register Historic District, including, if possible a diagram or map of the relation of the buildings(s) to the area.

☐ Documentation of how the project design will minimize the effects on historic structures or suspected historic structures, and any alternatives to avoid or minimize effects on historic structures.

☐ For acquisition/demolition projects, data regarding consideration of elevation or relocation as alternatives.

Comments:

B. National Historic Preservation Act - Archeological Resources

*1. Does your project involve disturbance of ground? □ Yes □ No

If yes, please check the appropriate box below to identify any supporting information attached below or provided elsewhere in this application.

☐ Documentation of the amount of disturbance in dimensions, area and volume, the location of the disturbance, and the past use of the area to be disturbed, noting the extent of previously disturbed ground. Include a site map showing the extent of ground disturbance.

☐ Request for information and response letter from the State Historic Preservation Officer (SHPO), or the Tribal Historic Preservation Officer (THPO) and/or the Tribe's cultural resources contact if no THPO is present.

Comments:
Appendix D: Blank PDM eGrants Application

C. Endangered Species Act and Fish and Wildlife Coordination Act

1. Does your project remove vegetation? ☐ Yes ☐ No

If yes, please check the box below to identify any supporting information attached below or provided elsewhere in this application.

☐ Documentation of the amount and type of vegetation affected. Include a site map showing the extent of vegetation affected.

2. Is your project in or near any type of waterway or body of water (1/2 mile)? ☐ Yes ☐ No

If yes, please check the appropriate box below to identify any supporting information attached below or provided elsewhere in this application.

☐ Documentation of the type of water body nearby, its dimensions, the proximity of the project activity to the water body, and the expected and possible changes to the water body, if any. Identify all water bodies regardless whether you think there may be an effect. Include a site map showing the project activities in relation to all nearby water bodies within 1/2 mile.

☐ Request for information and response letter from the US Fish and Wildlife Service and your State Wildlife Agency.

3. Is the project not contained within existing structures, or may it result in changes or potential effects to the natural environment? ☐ Yes ☐ No

4. Are there threatened or endangered species or their critical habitat present in the project area or within the county the project is located within? ☐ Yes ☐ No

If yes, please check the box below to identify any supporting information attached below or provided elsewhere in this application.

☐ Request for information and response letter from the US Fish and Wildlife Service, your State Wildlife Agency, and the National Marine Fisheries Service (if there are any ocean-going fish) regarding potential species present and potential impacts to species.

Comments:

D. Clean Water Act, Rivers and Harbors Act, and Executive Order 11990 (Protection of Wetlands)

1. Will the project involve work near or in a waterway, dredging or disposal of dredged material, excavation, adding fill material or result in any modification to water bodies or wetlands designated as "waters of the U.S." as identified by the US Army Corps of Engineers or on the National Wetland Inventory? ☐ Yes ☐ No

If yes, please check the appropriate box below to identify any supporting information attached below or provided elsewhere in this application.

☐ Documentation of the project location on a copy of a National Wetlands Inventory map or other available wetlands mapping information.
Appendix D: Blank PDM eGrants Application

☐ Request for information and response letter from the US Army Corps of Engineers regarding potential for wetlands, and applicability of permitting requirements.

☐ Documentation of the alternatives considered to eliminate or minimize impacts to wetlands.

☐ Documentation that a permit has been applied for, and if available, provide a copy of permits obtained at time of project application.

Comments:

E. Executive Order 11988 (Floodplain Management)

*1. Is the project located in a FEMA identified 100 or 500 year floodplain (on a FIRM map), in a FEMA identified floodway, or identified as a floodplain through some other source? ☐ Yes ☐ No

☐ If yes, please check the box below to identify any supporting information attached below or provided elsewhere in this application.

☐ Documentation of the alternatives considered to eliminate or minimize impacts to floodplains.

*2. Does the project alter a watercourse, water flow patterns, or a drainage way, regardless of its floodplain designation? ☐ Yes ☐ No

☐ If yes, please check the appropriate box below to identify any supporting information attached below or provided elsewhere in this application.

☐ Documentation of the Hydrology/Hydraulic information from a qualified engineering to demonstrate how drainage and flood flow patterns are changed and that identifies down and upstream effects.

☐ Documentation of consultation with US Army Corps of Engineers (may be included under Part D of the Environmental Information).

☐ Request for information and response letter from the corresponding State agency, if applicable, with jurisdiction over modification of waterways.

Comments:

F. Coastal Zone Management Act

*1. Is the project located in the State's designated coastal zone (consult State Coastal Zone Management agency)? ☐ Yes ☐ No

☐ If yes, please check the radio button below to identify any supporting information attached below or provided elsewhere in this application.

☐ Permit from the appropriate State agency that implements the coastal zone management program or attach a request for information and response letter regarding coastal zone management requirements for the proposed activity.
### G. Farmland Protection Policy Act

1. Will the project convert more than 5 acres of farmland outside community limits?  
   - Yes □  
   - No □  

   If yes, please check the appropriate box below to identify any supporting information attached below or provided elsewhere in this application.
   - □ Completed USDA/NRCS Form AD-I006.  
   - □ Request for information and response letter from the Natural resource Conservation Service (NRCS).

### H. Hazardous and Toxic Materials

1. Is there a reason to suspect there are contaminants from a current or past use on the property associated with the proposed project?  
   - Yes □  
   - No □  

2. Are there any studies, investigations, or enforcement actions related to the property associated with the proposed project?  
   - Yes □  
   - No □  

3. Does any project construction or operation activities involve the use of hazardous or toxic materials?  
   - Yes □  
   - No □  

4. Do you know what the current and past land-uses are of the property affected by the proposed project and the adjacent properties?  
   - Yes □  
   - No □  

### I. Executive Order 12989, Environmental Justice for Low Income and Minority Populations

1. Is the project in an area of low income or minority populations?  
   - Yes □  
   - No □  

2. Will the project cause any changes that may affect nearby low income or minority populations, result in adverse effects, or change availability of services?  
   - Yes □  
   - No □  

### J. Other Environmental Laws or Issues

1. Are there other environmental requirements associated with this project that you are aware of?  
   - Yes □  
   - No □  

2. Are there any controversial issues associated with this project?  
   - Yes □  
   - No □  

3. Have you conducted any public meeting or solicited public input or comments on your specific proposed mitigation activities?  
   - Yes □  
   - No □
Provide a maintenance schedule including cost information
Identify entity that will perform any long-term maintenance
If you would like to make any comments, please enter them below.
Attach letter from entity accepting performance responsibility

**Evaluation Information (Part 1 of 4)**

* If applying for multiple mitigation activities, how do these activities relate (i.e., mitigation project as demonstration for public education; two different mitigation activities for the same structure; feasibility study and related mitigation activity.)? NOTE: Mitigation activities included in a given application must be related.

* Is your community participating in the Community Rating System (CRS)?
  - Yes
  - No

  If yes, what is your CRS rating?

* Is your community a Cooperating Technical Partner (CTP)?
  - Yes
  - No

* Is your community a Firewise Community?
  - Yes
  - No

  If yes, please provide Firewise Community number.

* Has your community adopted building codes consistent with the International Codes?
  - Yes
  - No

* Has your community adopted the National Fire Protection Association (NFPA) 5000 Code?
  - Yes
  - No

* Have your community's building codes been assessed on the Building Code Effectiveness Grading Schedule (BCEGS)?
  - Yes
  - No

  If yes, what is your BCEGS rating?

* Does the State/Tribe in which your community is located have a current FEMA-approved mitigation plan?
  - Yes
  - No

**Mitigation Plan Information**

What is the name of the plan?

Plan type?

Date approved?

**Evaluation Information (Part 2 of 4)**

* Describe the desired outcome and methodology of the mitigation activity in terms of mitigation objectives to be achieved.

* Describe performance expectations and timeline for interim milestones and overall completion of mitigation activity.
* Describe the staff and resources needed to implement this mitigation activity and applicant's ability to provide these resources.

* Describe how this mitigation activity will incorporate State, Tribal, private, or local community involvement to enhance its outcome through partnership.

## Evaluation Information (Part 3 of 4)

* Describe how your community uses incentives to encourage mitigation (e.g., tax credits, building codes, waiver of building permit fee, FEMA-approved mitigation plan in place).

* Describe any outreach activities that are planned relative to this mitigation activity (e.g., signs, press releases, success stories, developing package to share with other communities, losses avoided analysis).

* Describe how this mitigation activity is creative/innovative.

* Describe how this mitigation activity will serve as a model for other communities (i.e., Do you intend to mentor other communities, Tribes or States? Do you intend to prepare a description of the process followed in this activity so that others may learn from the example?).

## Evaluation Information (Part 4 of 4)

* Please provide the percent of the population benefiting from this mitigation activity.

* Please explain your response.

* Net Present Value of Project Benefits (A)

* Total Project Cost Estimate (B)

* What is the Benefit Cost Ratio for the entire project (A/B)?

* Analysis Type

* What is the primary hazard to be mitigated?

Other Primary Hazard

Please provide any other hazards to be mitigated.

Other Secondary Hazard

* Does this mitigation activity protect a critical facility?

   If yes, please select the type of critical facilities to be protected

* Describe how this mitigation activity supports National Priorities, complies with Federal laws and Executive Orders, and is complementary to other Federal programs.

* Describe how this mitigation activity offers long-term financial and social benefits.
Appendix D: Blank PDM eGrants Application

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

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

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

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 USC Section 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 CFR 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (PL 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 USC Section 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 USC Section 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 USC Section 6101-6107), which prohibits discrimination on the basis of age; (e) The Drug Abuse Office and Treatment Act of 1972 (PL 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (PL 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) Sections 523 and 527 of the Public Health Service Act of 1912 (42 USC 290-dd-3 and 290-ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 USC Section 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) Any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) The requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (PL 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply with the provisions of the Hatch Act (5 USC Section 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of Davis-Bacon Act (40 USC Section 276a to 276a-7), Copeland Act (40 USC Section 276c and 18 USC 874), and the Contract Work Hours and Safe Standards Act (40 USC Section 327-333), regarding labor standards for federally assisted construction.
subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (PL 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 USC Section I’ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 USC Section I 7401 et seq.); (g) protection of underground source of drinking water under the Safe Drinking Water Act of 1974, as amended, (PL 93-523); and (h) protection of endangered species under the Endangered Special Act of 1973, as amended, (PL 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 USC Section 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 USC Section 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 USC Section 469a-1 et seq.)

14. Will comply with PL 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (PL 89-544, as amended, 7 USC 2131 et seq.) pertaining to the care, handling, treatment of warm blooded animals held research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 USC Section 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

19. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act (29 USC Section 201), as they apply to employees of institutions of higher education, hospitals, and other non-profit organizations.

Signed by (Name/Date)
You must read and sign these assurances by providing your password and checking the box at the bottom of this page.

Note: Fields marked with an * are required.

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

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

1. LOBBYING

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

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

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

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

Standard Form LLL Disclosure of Lobbying Activities Attached

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

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

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

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

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

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

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

Explanation:

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

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

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

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug free awareness program to inform employees about:

   (1) The dangers of drug abuse in the workplace;
   (2) The grantee's policy of maintaining a drug-free workplace;
   (3) Any available drug counseling, rehabilitation and employee assistance programs; and
   (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant to be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

   (1) Abide by the terms of the statement; and
   (2) Notify the employee in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction.

(e) Notifying the agency, in writing within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to the applicable FEMA awarding
office, i.e. regional office or FEMA office.

(f) Taking one of the following actions against such an employee, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
(2) Require such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement or other appropriate agency.

(g) Making a good effort to continue to maintain a drug free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

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

*Place of Performance*

<table>
<thead>
<tr>
<th>Street</th>
<th>City</th>
<th>State</th>
<th>Zip</th>
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</table>

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

Signed by (Name/Date)

**Disclosure of Lobbying Activities**

<table>
<thead>
<tr>
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<tbody>
<tr>
<td></td>
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<td>Material Change</td>
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<td>Quarter:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Date of Last Report:</td>
</tr>
</tbody>
</table>

4. *Name and Address of Reporting Entity:*
   Reporting Entity Type:
   Tier (if known):

5. If Reporting Entity in No.4 is a Subawardee, Enter Name and Address of Prime:
## Appendix D: Blank PDM eGrants Application

<table>
<thead>
<tr>
<th>Congressional District:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>6. Federal Department/Agency</td>
<td>7. Federal Program Name/Description</td>
</tr>
<tr>
<td>8. Federal Action Number <em>if Known</em></td>
<td>9. Award Amount <em>if Known</em></td>
</tr>
<tr>
<td>10a. Name and address of Lobbying Registrant: (if individual, last name, first name, MI)</td>
<td>10b. Individuals Performing Services: (including address if different from No.10a) (last name, first name, MI)</td>
</tr>
</tbody>
</table>

11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Signed by (Name/Date)
Appendix E. Planning Sub-Application Completion Checklist

There are thirteen required elements of a planning sub-application. Each of the required elements are outlined in the table below, which lists the application requirement element, a brief explanation of the information needed for the element, and provides space to check off the element.

<table>
<thead>
<tr>
<th>Application Requirement</th>
<th>Explanation of Information Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Applicant Information</td>
<td>Provide name, type, and state of sub-applicant, state and Federal tax numbers, and Federal Employee Identification number.</td>
</tr>
<tr>
<td>2. Contact Information</td>
<td>Provide the name, agency, and address of the point-of-contact for the sub-applicant. The point-of-contact must be an official within the sub-applicant’s agency or jurisdiction.</td>
</tr>
<tr>
<td>3. Sub-Application Name</td>
<td>The Sub-Application name should include the location of the proposed activity and the activity type (i.e., Dauphin County Hazard Mitigation Plan Update).</td>
</tr>
<tr>
<td>4. Community Information</td>
<td>Select the name of the community, entity, or agency that will benefit from the sub-application. If the community is not listed, advise PEMA and the FEMA Region III office. This should include a community profile with a brief description of the community including population, location, geographic areas of interest, and a description of state, regional, or national critical facilities within the community. If the planning grant is multi-jurisdictional, include an overall community profile as well as a brief profile for each participating jurisdiction. Multi-jurisdictional applications should also indicate how planning will be coordinated.</td>
</tr>
<tr>
<td>5. Mitigation Plan Information</td>
<td>Indicate whether the community, entity, or agency that will benefit from the sub-application and the state the sub-applicant exists within are covered by a FEMA-approved hazard mitigation plan and identify any past planning grants received.</td>
</tr>
<tr>
<td>6. Mitigation Activity Information</td>
<td>Include the type, intent, and title of the proposed planning activity. If the proposed planning activity is a comprehensive update to an existing mitigation plan, indicate how it will address deficiencies identified in the previous plan’s risk assessment. The updated plan must include a modified mitigation strategy and associate action items.</td>
</tr>
<tr>
<td>7. Hazard Information</td>
<td>Describe the area to be covered by the planning activity and identify the source of the hazards to be addressed in the planning activity. Include the location and extent, range of magnitude, past event history, and other applicable information that will demonstrate the need for planning efforts. If possible, attach a map or diagram that illustrates the hazard.</td>
</tr>
<tr>
<td>8. Scope of Work</td>
<td>Describe the goals and objectives of the planning activity and how it will be implemented. If the planning effort is multi-jurisdictional, describe how the mitigation planning efforts will be coordinated.</td>
</tr>
<tr>
<td>9. Cost Estimate</td>
<td>Provide all line-item anticipated and potential costs for each part of the planning activity, including the Federal/local cost share. Provide an Approved Indirect Cost Agreement, if applicable.</td>
</tr>
</tbody>
</table>
## PLANNING SUB-APPLICATION CHECKLIST

<table>
<thead>
<tr>
<th>Application Requirement</th>
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<tbody>
<tr>
<td><strong>10. Match Sources</strong></td>
<td>Provide the sources of the non-Federal cost share for the proposed planning activity. This should include documentation to support the non-Federal cost share for both monetary and in-kind matches. If a community is seeking status as a small, impoverished community, documentation should be included here for a Federal share of up to 90%.</td>
</tr>
<tr>
<td><strong>11. Cost-Effectiveness Information</strong></td>
<td>Planning grants are exempt from the BCA process and do not have to be submitted for a planning sub-application. Simply enter “Exempt” in the Analysis Type box and “Plans” in the Exempt Type box.</td>
</tr>
<tr>
<td><strong>12. Evaluation Information</strong></td>
<td>Provide responses to the Evaluation Information section questions for each planning sub-application for competitive National Ranking and Evaluation and provide documentation to support the risk assessment. Be clear, concise, and vivid – help the evaluation committee envision the proposed plan.</td>
</tr>
<tr>
<td><strong>13. Assurances and Certifications</strong></td>
<td>If applicable, complete the Summary Sheet for Assurances and Certification, FEMA Form 20-16; Assurance – Non-Construction Programs, FEMA Form 20-16A; Certification Regarding Lobbying; Debarment, Suspension and Other Responsible Matters; and Drug-Free Workplace Requirements, FEMA Form 20-16C; and Disclosure of Lobbying Activities, Standard Form LLL.</td>
</tr>
</tbody>
</table>
Appendix F.  Project Sub-Application Completion Checklist

There are seventeen required elements of a project sub-application. While this checklist is similar to that of a planning sub-application, project sub-applications have the added elements of Properties, Decision-Making Process, Environmental/Historic Preservation, and Maintenance Schedule. Each of the required elements are outlined in the table below, which lists the application requirement element, a brief explanation of the information needed for the element, and provides space to check off the element.

<table>
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<tr>
<th>Application Requirement</th>
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<tr>
<td>2. Contact Information</td>
<td>Provide the name, agency, and address of the point-of-contact for the project sub-applicant. The point-of-contact must be an official within the sub-applicant’s agency or jurisdiction.</td>
</tr>
<tr>
<td>3. Sub-Application Name</td>
<td>The Sub-Application name should include the location of the proposed activity and the activity type (i.e., Anytown, PA Main Street Acquisition Project).</td>
</tr>
<tr>
<td>4. Community Information</td>
<td>Select the name of the community, entity, or agency that will benefit from the sub-application. If the community is not listed, advise PEMA and the FEMA Region III office. This should include a community profile with a brief description of the community including population, location, geographic areas of interest, and a description of state, regional, or national critical facilities within the community. This profile should include a synopsis and history of hazards that affect the community and any other information that will clarify the need for the proposed project.</td>
</tr>
<tr>
<td>5. Mitigation Plan Information</td>
<td>Indicate whether the community, entity, or agency that will benefit from the sub-application and the state the sub-applicant exists within are covered by a FEMA-approved hazard mitigation plan. Describe how the proposed project aligns with the goals, objectives, and stated priorities in the existing state and local planning documents. Include references to the appropriate planning documents (Section and page number).</td>
</tr>
<tr>
<td>6. Mitigation Activity Information</td>
<td>Include the title of and techniques employed in the proposed mitigation project, and indicate whether construction will be involved.</td>
</tr>
<tr>
<td>7. Hazard Information</td>
<td>Identify the hazard to be mitigated by the project and the location and dimensions of the project in terms of area, volume, and/or depth. Include the project site location on at least a 1:24,000 scale USGS topographic map. It is also helpful to include photographs of the project site, sketches, and any appropriate studies (like the appropriate FIRM panel).</td>
</tr>
<tr>
<td>8. Scope of Work</td>
<td>Describe the objectives, methodology, feasibility, outcomes, timeline, milestones, resources, deliverables, and benefits of the mitigation project. Provide the reasons for the proposed project, including work schedules and responsible parties for each activity.</td>
</tr>
</tbody>
</table>
## Appendix E: Sub-Application Completion Checklists

### PROJECT SUB-APPLICATION CHECKLIST

<table>
<thead>
<tr>
<th>Application Requirement</th>
<th>Explanation of Information Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>9. Properties</td>
<td>Provide a list of properties (and alternate properties) to be mitigated. The property information must include owner name, address, latitude and longitude of the property, type of structure, hazard to be mitigated, damage category, year built, flood zone designation, NFIP repetitive loss or severe repetitive loss property number (if applicable), property action, and property BCA information.</td>
</tr>
<tr>
<td>10. Decision-Making Process</td>
<td>Identify alternatives considered to address the hazard prior to deciding upon the proposed project and describe the process used to determine that the proposed project is the best alternative to solve the identified problem. State why the other alternatives were not chosen. This is essentially a narrative of the Project Scoping process.</td>
</tr>
<tr>
<td>11. Cost Estimate</td>
<td>Provide all line-item anticipated and potential costs for each part of the planning activity, including the Federal/local cost share. Provide an Approved Indirect Cost Agreement, if applicable.</td>
</tr>
<tr>
<td>12. Match Sources</td>
<td>Provide the sources of the non-Federal cost share for the proposed planning activity. This should include documentation to support the non-Federal cost share for both monetary and in-kind matches. If a community is seeking status as a small, impoverished community, documentation should be included here for a Federal share of up to 90%.</td>
</tr>
<tr>
<td>13. Cost-Effectiveness Information</td>
<td>Provide complete Benefit-Cost Analysis and documentation, including damage history, methodology used for the event frequency determination, and all BCAs to support the Benefit-Cost Ratio.</td>
</tr>
<tr>
<td>14. Environmental/Historic Preservation</td>
<td>Provide complete responses to the Environmental/Historic Preservation questions. Complete the environmental/preservation documentation.</td>
</tr>
<tr>
<td>15. Maintenance Schedule</td>
<td>Provide a maintenance schedule, including cost information, and identify the entity that will perform long-term maintenance.</td>
</tr>
<tr>
<td>16. Evaluation Information</td>
<td>Provide responses to the Evaluation Information section questions for each planning sub-application for competitive National Ranking and Evaluation and provide documentation to support the risk assessment. Be clear, concise, and vivid – help the evaluation committee envision the proposed plan.</td>
</tr>
<tr>
<td>17. Assurances and Certifications</td>
<td>If applicable, complete the Summary Sheet for Assurances and Certification, FEMA Form 20-16; Assurance – Non-Construction Programs, FEMA Form 20-16A; Certification Regarding Lobbying; Debarment, Suspension and Other Responsible Matters; and Drug-Free Workplace Requirements, FEMA Form 20-16C; and Disclosure of Lobbying Activities, Standard Form LLL.</td>
</tr>
</tbody>
</table>