

**Appendix A: The National
Flood Insurance Act of
1968, Sections 1366 and
1367, as Amended by the
National Flood Insurance
Reform Act of 1994,
Sections 553 and 554**

MITIGATION ASSISTANCE

Sec. 1366.³⁴ (a) AUTHORITY.--The Director shall carry out a program to provide financial assistance to States and communities, using amounts made available from the National Flood Mitigation Fund under section 1367, for planning and carrying out activities designed to reduce the risk of flood damage to structures covered under contracts for flood insurance under this title. Such financial assistance shall be made available to States and communities in the form of grants under subsection (b) for planning assistance and in the form of grants under this section for carrying out mitigation activities.

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(b) PLANNING ASSISTANCE GRANTS.--

(1) IN GENERAL.--The Director may make grants under this subsection to States and communities to assist in developing mitigation plans under subsection (c).

(2) FUNDING.--Of any amounts made available from the National Flood Mitigation Fund for use under this section in any fiscal year, the Director may use not more than \$1,500,000 to provide planning assistance grants under this subsection.

(3) LIMITATIONS.--

(A) TIMING.--A grant under this subsection may be awarded to a State or community not more than once every 5 years and each grant may cover a period of 1 to 3 years.

³⁴Sec. 553, National Flood Insurance Reform Act of 1994, Public Law 103-325, approved September 23, 1994, added Sec. 1366. Subsection (b) of Sec. 553 requires the Director to issue regulations to carry out Sec. 1366 no later than 6 months after the date of enactment of the Act.

(B) SINGLE GRANTEE AMOUNT.--A grant for planning assistance may not exceed--

(i) \$150,000 to any State; or

(ii) \$50,000 to any community.

(C) CUMULATIVE STATE GRANT AMOUNT.--The sum of the amounts of grants made under this subsection in any fiscal year to any one State and all communities located in such State may not exceed \$300,000.

(c) ELIGIBILITY FOR MITIGATION ASSISTANCE.--To be eligible to receive financial assistance under this section for mitigation activities, a State or community shall develop, and have approved by the Director, a flood risk mitigation plan (in this section referred to as a "mitigation plan"), that describes the mitigation activities to be carried out with assistance provided under this section, is consistent with the criteria established by the Director under section 1361, and provides protection against flood losses to structures for which contracts for flood insurance are available under this title. The mitigation plan shall be consistent with a comprehensive strategy for mitigation activities for the area affected by the mitigation plan, that has been adopted by the State or community following a public hearing.

(d) NOTIFICATION OF APPROVAL AND GRANT AWARD.--

(1) IN GENERAL.--The Director shall notify a State or community submitting a mitigation plan of the approval or disapproval of the plan not later than 120 days after submission of the plan.

(2) NOTIFICATION OF DISAPPROVAL.--If the Director does not approve a mitigation plan submitted under this subsection, the Director shall notify, in writing, the State or community submitting the plan of the reasons for such disapproval.

(e) ELIGIBLE MITIGATION ACTIVITIES.--

(1) USE OF AMOUNTS.--Amounts provided under this section (other than under subsection (b)) may be used only for mitigation activities specified in a mitigation plan approved by the Director under subsection (d). The Director shall provide assistance under this section to the extent amounts are available in the National Flood Mitigation Fund pursuant to appropriation Acts, subject only to the absence of approvable mitigation plans.

(2) DETERMINATION OF ELIGIBLE PLANS.--The Director may approve only mitigation plans that specify mitigation activities that the Director determines are technically feasible and cost-effective and only such plans that propose activities that are cost-beneficial to the National Flood Mitigation Fund.

(3) STANDARD FOR APPROVAL.--The Director shall approve mitigation plans meeting the requirements for approval under paragraph (1) that will be most cost-beneficial to the National Flood Mitigation Fund.

(4) PRIORITY.--The Director shall make every effort to provide mitigation assistance under this section for mitigation plans proposing activities for repetitive loss structures and structures that have incurred substantial damage.

(5) ELIGIBLE ACTIVITIES.--The Director shall determine whether mitigation activities described in a mitigation plan submitted under subsection (d) comply with the requirements under paragraph (1). Such activities may include--

(A) demolition or relocation of any structure located on land that is along the shore of a lake or other body of water and is certified by an appropriate State or local land use authority to be subject to imminent collapse or subsidence as a result of erosion or flooding;

(B) elevation, relocation, demolition, or floodproofing of structures (including public structures) located in areas having special flood hazards or other areas of flood risk;

(C) acquisition by States and communities of properties (including public properties) located in areas having special flood hazards or other areas of flood risk and properties substantially damaged by flood, for public use, as the Director determines is consistent with sound land management and use in such area;

(D) minor physical mitigation efforts that do not duplicate the flood prevention activities of other Federal agencies and that lessen the frequency or severity of flooding and decrease predicted flood damages, which shall not include major flood control projects such as dikes, levees, seawalls, groins, and jetties unless the Director specifically determines in approving a mitigation plan that such activities are the most cost-effective mitigation activities for the National Flood Mitigation Fund;

(E) beach nourishment activities;

(F) the provision of technical assistance by States to communities and individuals to conduct eligible mitigation activities;

(G) other activities that the Director considers appropriate and specifies in regulation; and

(H) other mitigation activities not described in subparagraphs (A) through (F) or the regulations issued under subparagraph (G), that are described in the mitigation plan of a State or community.

(f) LIMITATIONS ON AMOUNT OF ASSISTANCE.--

(1) AMOUNT.--The sum of the amounts of mitigation assistance provided under this section during any 5-year period may not exceed--

(A) \$10,000,000 to any State; or

(B) \$3,300,000 to any community.

(2) GEOGRAPHIC.--The sum of the amounts of mitigation assistance provided under this section during any 5-year period to any one State and all communities located in such State may not exceed \$20,000,000.

(3) WAIVER.--The Director may waive the dollar amount limitations under paragraphs (1) and (2) for any State or community for any 5-year period during which a major disaster or emergency declared by the President (pursuant to the Robert T. Stafford Disaster Relief and Emergency Assistance Act) as a result of flood conditions is in effect with respect to areas in the State or community.

(g) MATCHING REQUIREMENT.--

(1) IN GENERAL.--The Director may not provide mitigation assistance under this section to a State or community in an amount exceeding 3 times the amount that the State or community certifies, as the Director shall require, that the State or community will contribute from non-Federal funds to develop a mitigation plan under subsection (c) and to carry out mitigation activities under the approved mitigation plan. In no case shall any in-kind contribution by any State or community exceed one-half of the amount of non-Federal funds contributed by the State or community.

(2) NON-FEDERAL FUNDS.--For purposes of this subsection, the term "non-Federal funds" includes State or local agency funds, in-kind contributions, any salary paid to staff to carry out the mitigation activities of the recipient, the value of the time and services contributed by volunteers to carry out such activities (at a rate determined by the Director), the value of any donated material or building, and the value of any lease on a building.

(h) OVERSIGHT OF MITIGATION PLANS.--The Director shall conduct oversight of recipients of mitigation assistance under this section to ensure that the assistance is used in compliance with the approved mitigation plans of the recipients and that matching funds certified under subsection (g) are used in accordance with such certification.

(i) RECAPTURE.--

(1) NONCOMPLIANCE WITH PLAN.--If the Director determines that a State or community that has received mitigation assistance under this section has not carried out the mitigation activities as set forth in the mitigation plan, the Director shall recapture any unexpended amounts and deposit the amounts in the National Flood Mitigation Fund under section 1367.

(2) FAILURE TO PROVIDE MATCHING FUNDS.--If the Director determines that a State or community that has received mitigation assistance under this section has not provided matching funds in the amount certified under subsection (g), the Director shall recapture any unexpended amounts of mitigation assistance exceeding 3 times the amount of such matching funds actually provided and deposit the amounts in the National Flood Mitigation Fund under section 1367.

(j) REPORTS.--Not later than 1 year after the date of enactment of the Riegle Community Development and Regulatory Improvement Act of 1994 and biennially thereafter, the Director shall submit a report to the Congress describing the status of mitigation activities carried out with assistance provided under this section.

(k) DEFINITION OF COMMUNITY--For purposes of this section, the term "community" means--

(1) a political subdivision that (A) has zoning and building code jurisdiction over a particular area having special flood hazards, and (B) is participating in the National Flood Insurance Program; or

(2) a political subdivision of a State, or other authority, that is designated to develop and administer a mitigation plan by political subdivision, all of which meet the requirements of paragraph (1).

NATIONAL FLOOD MITIGATION FUND

Sec. 1367.³⁵ (a) ESTABLISHMENT AND AVAILABILITY.-- The Director shall establish in the Treasury of the United States a fund to be known as the National Flood Mitigation Fund, which shall be credited with amounts described in subsection (b) and shall be available, to the extent provided in appropriation Acts, for providing assistance under section 1366.

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note

(b) CREDITS.--The National Flood Mitigation Fund shall be credited with--

(1) amounts from the National Flood Insurance Fund, in amounts not exceeding--

(A) \$10,000,000 in the fiscal year ending September 30, 1994;

(B) \$15,000,000 in the fiscal year ending September 30, 1995;

(C) \$20,000,000 in the fiscal year ending September 30, 1996; and

(D) \$20,000,000 in each fiscal year thereafter;

(2) any penalties collected under section 102(f) of the Flood Disaster Protection Act of 1973; and

(3) any amounts recaptured under section 1366(i).

(c) INVESTMENT.--If the Director determines that the amounts in the National Flood Mitigation Fund are in excess of amounts needed under subsection (a), the Director may invest any excess amounts the Director determines advisable in interest-bearing obligations issued or guaranteed by the United States.

³⁵Sec. 554, National Flood Insurance Reform Act of 1994, Public Law 103-325, approved September 23, 1994, added Sec. 1367.

(d) REPORT.--The Director shall submit a report to the Congress not later than the expiration of the 1-year period beginning on the date of enactment of this Act and not less than once during each successive 2-year period thereafter. The report shall describe the status of the Fund and any activities carried out with amounts from the Fund.



Appendix B: FMA Regulations

FEDERAL EMERGENCY MANAGEMENT AGENCY
44 CFR Part 78 RIN 3067-AC45
Flood Mitigation Assistance

AGENCY: Federal Emergency Management Agency (FEMA).

ACTION: Interim final rule; request for comments.

SUMMARY: This interim final rule implements Secs. 553 and 554 of the National Flood Insurance Reform Act of 1994. Section 553 authorizes a Mitigation Assistance Program, which authorizes FEMA to provide grants to States and communities for planning assistance and for mitigation projects that reduce the risk of flood damages to structures covered under contracts for flood insurance. Section 554 establishes the National Flood Mitigation Fund to fund assistance provided under Sec. 553.

DATES: This interim final rule is effective April 29, 1997. We invite comments on this interim final rule, which should be received by June 18, 1997.

ADDRESSES: Please send any comments to the Rules Docket Clerk, Office of the General Counsel, Federal Emergency Management Agency, 500 C Street SW, Room 840, Washington, DC 20472, (facsimile) (202) 646-4536.

FOR FURTHER INFORMATION CONTACT: Robert F. Shea, Mitigation Directorate, Federal Emergency Management Agency, 500 C Street SW, Washington, DC 20472, (202) 646-3619, (facsimile) (202) 646-3104.

SUPPLEMENTARY INFORMATION: The enactment of Title V of the Community Development and Regulatory Reform Act, also known as the National Flood Insurance Reform Act of 1994 (the Act), created significant opportunities for mitigation. Section 553 of the Act authorizes a Mitigation Assistance Program which FEMA has designated Flood Mitigation Assistance (FMA). Section 554 establishes the National Flood Mitigation Fund to provide assistance under Sec. 553. These regulations implement the requirements of Secs. 553 and 554 of the Act. FMA was developed to address concerns regarding repetitively or substantially damaged structures, or both, and the associated claims on the National Flood Insurance Fund. The overall goal of FMA is to fund cost-effective measures that reduce or eliminate the long-term risk of flood damage to buildings, manufactured homes, and other insurable structures.

FEMA will ask the Governor of each State to identify a point of contact (POC) for FMA. Each State, through the POC, will receive annual funding for technical assistance and planning grants through the annual Cooperative Agreements. States will distribute the planning grants at their discretion, in accordance with the specified grant limitations. The purpose of the planning grants is to develop or update a Flood Mitigation Plan that FEMA must approve before approving a project grant. In addition, States will be notified as to the allocation for FMA project grants each year. States will solicit and evaluate project applications, choosing those they wish to fund. The POC will review the applications for completeness, basic eligibility, and consistency with the approved Flood Mitigation Plan. The POC will forward these projects to FEMA for final approval and funding through a supplement to the annual Cooperative Agreement. All project applications, as well as Flood Mitigation Plans, must go through the POC to be accepted by FEMA, unless a State chooses not to coordinate the program. Alternative procedures allowing for direct coordination with FEMA are available in the following two circumstances. If a Governor chooses not to identify a POC to coordinate the FMA, communities may submit applications and plans directly to FEMA.

The regulations outline a basic planning process with minimum standards for the Flood Mitigation Plans. Existing plans, such as those credited through the Community Rating System or those prepared in conformance with Sec. 409 of the Stafford Act, 42 U.S.C. 5176, may meet the requirements of FMA with few or no modifications. The plan should summarize the planning process, and should be reviewed periodically by the community in order to remain a viable document. Flood Mitigation Plans must be formally adopted by the legal entity submitting the plan for FEMA approval.

All FMA projects must be consistent with the goals of FMA, that is, to reduce the risk of flood damage to structures insured under the National Flood Insurance Program (NFIP). Specifically, project eligibility is dependent on two components: the type of activity must be eligible (elevation, acquisition, etc.) and each project must meet a set of minimum criteria (cost effectiveness, environmental considerations, etc.).

The regulations address the need for States and communities to maintain liaisons with other organizations and agencies to better coordinate available programs. FMA strongly encourages States to maintain a multi-hazard interagency mitigation team or other coordinating body. The regulations for FMA were developed to be flexible enough to work with existing programs with complementary goals. With the limited funds available in FMA and in other mitigation programs, the ability to package programs will be important to potential applicants.

FEMA used an open process in the development of these regulations, coordinating with many of our constituent groups. Several forums were held to help identify issues and approaches to implementing FMA, and draft regulations were circulated for comment.

National Environmental Policy Act

An environmental review pursuant to the requirements of 44 CFR Part 10, Environmental Consideration, will be completed before publication of the final rule.

Executive Order 12898, Environmental Justice

Review of the socioeconomic conditions relating to this interim rule will be completed before publication of the final rule.

Executive Order 12866, Regulatory Planning and Review

This interim final rule is not a significant regulatory action within the meaning of Sec. 2(f) of E.O. 12866 of September 30, 1993, 58 FR 51735, but attempts to adhere to the regulatory principles set forth in E.O. 12866. The rule has not been reviewed by the Office of Management and Budget under E.O. 12866.

P.L. 104-121, Congressional Review of Agency Rulemaking

This interim final rule is not a “major rule” within the meaning of Sec. 804 of P.L. 104-121, Congressional Review of Agency Rulemaking. FEMA has submitted a report to Congress summarizing the scope and effect of the rule, as required by Sec. 801 of P.L.104-121.

Paperwork Reduction Act

A notice of the proposed information collections has been published in the Federal Register requesting comments on the planning requirements and other information collection instruments. FEMA will be submitting an OMB clearance package to OMB after the comment period is closed. Until OMB approval, FEMA cannot collect information under this rule. This includes Flood Mitigation Plans, Project Grant applications, and post-grant reports. FEMA will publish a Federal Register notice to notify potential applicants of OMB's approval and implementation for information collection purposes.

Executive Order 12612, Federalism

This interim final rule involves no policies that have federalism implications under E.O. 12612, Federalism, dated October 26, 1987.

Executive Order 12778, Civil Justice Reform

This interim final rule meets the applicable standards of Sec. 2(b)(2) of E.O. 12778.

List of Subjects in 44 CFR Part 78

Flood insurance, Flood mitigation assistance, Grant programs.

Accordingly, Chapter I, Subchapter B of Title 44 of the Code of Federal Regulations is amended by adding Part 78 to read as follows:

PART 78--FLOOD MITIGATION ASSISTANCE

- Sec.78.1 Purpose.
- 78.2 Definitions.
- 78.3 Responsibilities.
- 78.4 Applicant eligibility.
- 78.5 Flood Mitigation Plan development.
- 78.6 Flood Mitigation Plan approval process.
- 78.7 Grant application procedures.
- 78.8 Grant funding limitations.
- 78.9 Planning grant approval process.
- 78.10 Project grant approval process.
- 78.11 Minimum project eligibility criteria.
- 78.12 Eligible types of projects.
- 78.13 Grant administration.
- 78.14 Alternative procedures.

Authority: 42 U.S.C. 4001 et seq.; 42 U.S.C. 4104c, 4104d; Reorganization Plan No. 3 of 1978, 43 FR 41943, 3 CFR, 1978 Comp., p. 329; E.O. 12127 of Mar. 31, 1979, 44 FR 19367, 3 CFR, 1979 Comp., p. 376.

§ 78.1 Purpose.

(a) The purpose of this part is to prescribe actions, procedures, and requirements for administration of the Flood Mitigation Assistance (FMA) program, authorized by Sections 1366 and 1367 of the National Flood Insurance Act of 1968, 42 U.S.C. 4104c and 4104d.

(b) The purpose of FMA is to assist State and local governments in funding cost-effective actions that reduce or eliminate the long-term risk of flood damage to buildings, manufactured homes, and other insurable structures. The long-term goal of FMA is to reduce or eliminate claims under the National Flood Insurance Program (NFIP) through mitigation activities. The program provides cost-shared grants for three purposes: Planning Grants to States and communities to assess the flood risk and identify actions to reduce that risk; Project Grants to execute measures to reduce flood losses; and Technical Assistance Grants that States may use to assist communities to develop viable FMA applications and implement FMA projects. FMA also outlines a process for development and approval of Flood Mitigation Plans.

§ 78.2 Definitions.

(a) Except as otherwise provided in this part, the definitions set forth in part 59 of this subchapter are applicable to this part.

(b) Community means

(1) A political subdivision, including any Indian tribe or authorized tribal organization or Alaskan native village or authorized native organization, that has zoning and building code jurisdiction over a particular area having special flood hazards, and is participating in the NFIP; or

(2) A political subdivision of a State, or other authority, that is designated to develop and administer a mitigation plan by political subdivisions, all of which meet the requirements of paragraph (b)(1) of this section.

§ 78.3 Responsibilities.

(a) Federal. The Director will allocate available funds to each FEMA Region. The FEMA Regional Director will:

(1) Allocate Technical Assistance and Planning Grants to each State through the annual Cooperative Agreements;

(2) Approve Flood Mitigation Plans in accordance with Sec. 78.6; and

(3) Award all FMA project grants, after evaluating applications for minimum eligibility criteria and ensuring compliance with applicable Federal laws.

(b) State. The State will serve as grantee through the State Point of Contact (POC) designated by the Governor. The POC must have working knowledge of NFIP goals and processes and will ensure that FMA is coordinated with other mitigation activities at the State level. If a Governor chooses not to identify a POC to coordinate the FMA, communities may follow alternative procedures as described in Sec. 78.14. States will:

(1) Provide technical assistance to communities to assist them in developing applications and implementing approved applications;

(2) Award planning grants;

(3) Submit plans to the FEMA Regional Director for approval;

(4) Evaluate project applications, selecting projects to forward to the FEMA Regional Director for final approval; and

(5) Submit performance and financial reports to FEMA in compliance with 44 CFR 13.40 and 13.41.

(c) Community. The community will:

(1) Complete and submit applications to the State POC for the Planning and Projects Grants;

(2) Prepare and submit the Flood Mitigation Plan;

(3) Implement all approved projects;

(4) Comply with FMA requirements, 44 CFR parts 13 and 14, the grant agreement, applicable Federal, State and local laws and regulations (as applicable); and

(5) Account for the appropriate use of grant funds to the State POC.

§ 78.4 Applicant eligibility.

- (a) The State is eligible to apply for grants for Technical Assistance.
- (b) State agencies and communities are eligible to apply for Planning and Project Grants and to act as subgrantee. Communities on probation or suspended under 44 CFR part 60 of the NFIP are not eligible. To be eligible for Project Grants, an eligible applicant will develop, and have approved by the FEMA Regional Director, a Flood Mitigation Plan in accordance with Sec. 78.5.

§ 78.5 Flood Mitigation Plan development.

A Flood Mitigation Plan will articulate a comprehensive strategy for implementing technically feasible flood mitigation activities for the area affected by the plan. At a minimum, plans will include the following elements:

- (a) Description of the planning process and public involvement. Public involvement may include workshops, public meetings, or public hearings.
- (b) Description of the existing flood hazard and identification of the flood risk, including estimates of the number and type of structures at risk, repetitive loss properties, and the extent of flood depth and damage potential.
- (c) The applicant's floodplain management goals for the area covered by the plan.
- (d) Identification and evaluation of cost-effective and technically feasible mitigation actions considered.
- (e) Presentation of the strategy for reducing flood risks and continued compliance with the NFIP, and procedures for ensuring implementation, reviewing progress, and recommending revisions to the plan.
- (f) Documentation of formal plan adoption by the legal entity submitting the plan (e.g., Governor, Mayor, County Executive).

§ 78.6 Flood Mitigation Plan approval process.

The State POC will forward all Flood Mitigation Plans to the FEMA Regional Director for approval. The Regional Director will notify the State POC of the approval or disapproval of the plan within 120 days after submission. If the Regional Director does not approve a mitigation plan, the Regional Director will notify the State POC of the reasons for non-approval and offer suggestions for improvement.

§ 78.7 Grant application procedures.

States will apply for Technical Assistance and Planning Grants through the annual Cooperative Agreement between FEMA and the State. The State POC will be notified regarding their available funds for project grants each fiscal year. The State may forward project applications to FEMA for review at any time.

§ 78.8 Grant funding limitations.

(a) The Director will allocate the available funds for FMA each fiscal year. Each State will receive a base amount of \$10,000 for Planning Grants and \$100,000 for Project Grants, with the remaining funds distributed based on the number of NFIP policies, repetitive loss structures, and other such criteria as the Director may determine in furtherance of the disaster resistant community concept.

(b) A maximum of \$1,500,000 may be allocated for Planning Grants nationally each fiscal year. A Planning Grant will not be awarded to a State or community more than once every 5 years, and an individual Planning Grant will not exceed \$150,000 to any State agency applicant, or \$50,000 to any community applicant. The total Planning Grant made in any fiscal year to any State, including all communities located in the State, will not exceed \$300,000.

(c) A maximum of ten percent of the funds available for Project Grants will be allocated to Technical Assistance grants each fiscal year.

(d) The total amount of FMA Project Grant funds provided during any 5-year period will not exceed \$10,000,000 to any State or \$3,300,000 to any community. The total amount of Project Grant funds provided to any State, including all communities located in the State will not exceed \$20,000,000 during any 5-year period.

§ 78.9 Planning grant approval process.

The State POC will evaluate and approve applications for Planning Grants. Funds will be provided only for the flood portion of any mitigation plan, and Planning Grants will not be awarded to develop new or improved floodplain maps. The performance period for each Planning Grant will not exceed 3 years.

§ 78.10 Project grant approval process.

The State POC will solicit applications from eligible applicants, review projects for eligibility, and select applications for funding. Those project applications will then be forwarded to FEMA for final approval. FEMA will provide funding on a project by project basis through a supplement to the annual Cooperative Agreement. The FEMA Regional Director will notify States regarding the program schedule at the beginning of each fiscal year.

§ 78.11 Minimum project eligibility criteria.

The identification of a project or activity in an approved Flood Mitigation Plan does not mean it meets FMA eligibility criteria. Projects must:

(a) Be cost-effective, not costing more than the anticipated value of the reduction in both direct damages and subsequent negative impacts to the area if future floods were to occur. Both costs and benefits are computed on a net present value basis.

(b) Be in conformance with 44 CFR part 9, Floodplain Management and Protection of Wetlands; Executive Order 12699, Seismic Safety of Federal and Federally Assisted or Regulated New Building Construction; 44 CFR part 10, Environmental Considerations; and any applicable environmental laws and regulations.

(c) Be technically feasible.

(d) Be in conformance with the minimum standards of the NFIP Floodplain Management Regulations at 44 CFR part 60.

(e) Be in conformance with the Flood Mitigation Plan; the type of project being proposed must be identified in the plan.

(f) Be located physically in a participating NFIP community that is not on probation or must benefit such community directly by reducing future flood damages.

§ 78.12 Eligible types of projects.

The following types of projects are eligible for funding through FMA, providing they meet all other eligibility criteria.

(a) Acquisition of insured structures and underlying real property in fee simple and easements restricting real property to open space uses.

(b) Relocation of insured structures from acquired or restricted real property to non hazard-prone sites.

(c) Demolition and removal of insured structures on acquired or restricted real property.

(d) Elevation of insured residential structures in accordance with 44 CFR 60.3.

(e) Elevation or dry floodproofing of insured non-residential structures in accordance with 44 CFR 60.3.

(f) Other activities that bring an insured structure into compliance with the floodplain management requirements at 44 CFR 60.3.

(g) Minor physical flood mitigation projects that reduce localized flooding problems and do not duplicate the flood prevention activities of other Federal agencies.

(h) Beach nourishment activities.

§ 78.13 Grant administration.

(a) FEMA may contribute up to 75 percent of the total eligible costs of each grant. At least 25 percent of the total eligible costs will be provided from a nonfederal source. Of this amount, not more than one half will be provided from in-kind contributions. Allowable costs will be governed by OMB Circular A-87 and 44 CFR part 13.

(b) The grantee must submit performance and financial reports to FEMA and must ensure that all subgrantees are aware of their responsibilities under 44 CFR parts 13 and 14.

(c) FEMA will recapture any funds provided to a State or a community under FMA and deposit the amounts in the National Flood Mitigation Fund if the applicant has not provided the appropriate matching funds, the approved project has not been completed within the timeframes specified in the grant agreement, or the completed project does not meet the criteria specified in the regulations in this part.

§ 78.14 Alternative procedures.

For the purposes of this part, alternative procedures are available which allow the community to coordinate directly with FEMA in implementing the program. These alternative procedures are available in the following circumstances. Native American tribes or authorized tribal organizations may submit plans and applications to the State POC or directly to the FEMA Regional Director. If a Governor chooses not to identify a POC to coordinate the FMA, communities may also submit plans and applications to the FEMA Regional Director.

Dated: March 13, 1997.

James L. Witt, *Director*.



Appendix C: CRS Floodplain Management Planning Process

CRS FLOODPLAIN MANAGEMENT PLANNING PROCESS

The NFIRA states that to be eligible to receive an FMA project grant, a State or community must have a FEMA-approved mitigation plan. An existing plan that has been credited through the Community Rating System (CRS) may meet the requirements of FMA with few or no modifications. The standard planning process for CRS applicants is excerpted below (taken from *CRS Application*, FIA 154, July 1996 edition).

- a. Organize to prepare the plan. Show in the plan or an attached memo:
 1. If the plan was prepared under the supervision or direction of a professional planner;
 2. If a committee was involved; if so, what community departments were represented; and/or
 3. If your community's governing board formally created or recognized the planning process or the committee.
- b. Involve the public. At a minimum, you must show in the plan or an attached memo when a meeting to obtain public input on the draft plan was held. Also show:
 1. If public meetings or other public information activities were implemented to explain the planning process and encourage input; and/or
 2. If the planning committee noted under a.2 and 3 above included representatives of the public; if so, how many meetings were held and what topics were discussed.
- c. Coordinate with other agencies. Show in the plan or an attached memo how the planning process coordinated with neighboring communities and local, regional, State, and Federal agencies that implement floodplain management activities. At a minimum, you must show that the draft action plan was sent to the other agencies for their comments. Also show:
 1. If the other agencies were asked for their input at the beginning of the planning process;
 2. If meetings were held with representatives of the other agencies; and/or
 3. If the plan includes a review of the community's needs, goals, and plans for the area.
- d. Assess the hazard. The plan must include a map and description of the known flood hazards and/or repetitive loss areas, and a discussion of past floods. Also show if the plan includes a map and description of other natural hazards.

- e. Assess the problem. The plan must discuss the number and types of buildings subject to the hazards identified in the hazard assessment. Also show if the plan:
 - 1. Describes the impact of flooding on buildings, infrastructure, and public health and safety;
 - 2. Describes the need and procedures for warning and evacuating residents and visitors;
 - 3. Identifies critical facilities, such as hospitals, fire stations, and chemical storage companies;
 - 4. Describes areas that provide natural and beneficial functions, such as wetlands;
 - 5. Includes a description of development trends and what the future brings for development and redevelopment in the floodplain, the watershed, and natural resource areas; and/or
 - 6. Includes a summary of the impact of flooding on the community and its economy.
- f. Set goals. The plan must include a statement of your floodplain management program's goals.
- g. Review possible activities. The plan must describe those activities that were considered and note why they were or were not recommended.
- h. Draft an action plan. The action plan specifies those activities appropriate to the community's resources, flood hazard, and vulnerable properties. Show in the plan where it recommends who does what, when it will be done, and how it will be financed. Also show if the action plan established post-disaster mitigation policies and procedures.
- i. Adopt the plan. Show that the plan was adopted by your community's governing body.
- j. Implement, evaluate, and revise. Show in the plan or an attached memo:
 - 1. If your community has procedures for monitoring implementation, reviewing progress, and recommending revisions to the plan in an annual evaluation report.
 - 2. If the evaluation report is prepared by the same planning committee that prepared the plan.



Appendix D: Environmental Documentation

FEMA'S ENVIRONMENTAL REVIEW PROCESS

For any project submitted and determined to be eligible for funding, prior to initiation of the project FEMA must undertake a review under the requirements of the National Environmental Policy Act (NEPA), as well as other applicable Federal environmental laws and Executive Orders. The FEMA project review process entails a number of steps; this appendix highlights only the environmental review step.

In general, applicants should make a reasonable effort to gather available information. To assist FEMA in its compliance with NEPA and several environmental laws that apply specifically to Federal agencies, and to expedite the review of the grant application, applicants are required to submit information and other environmental agencies' comments on proposed projects.

OVERVIEW

What is the National Environmental Policy Act (NEPA)?

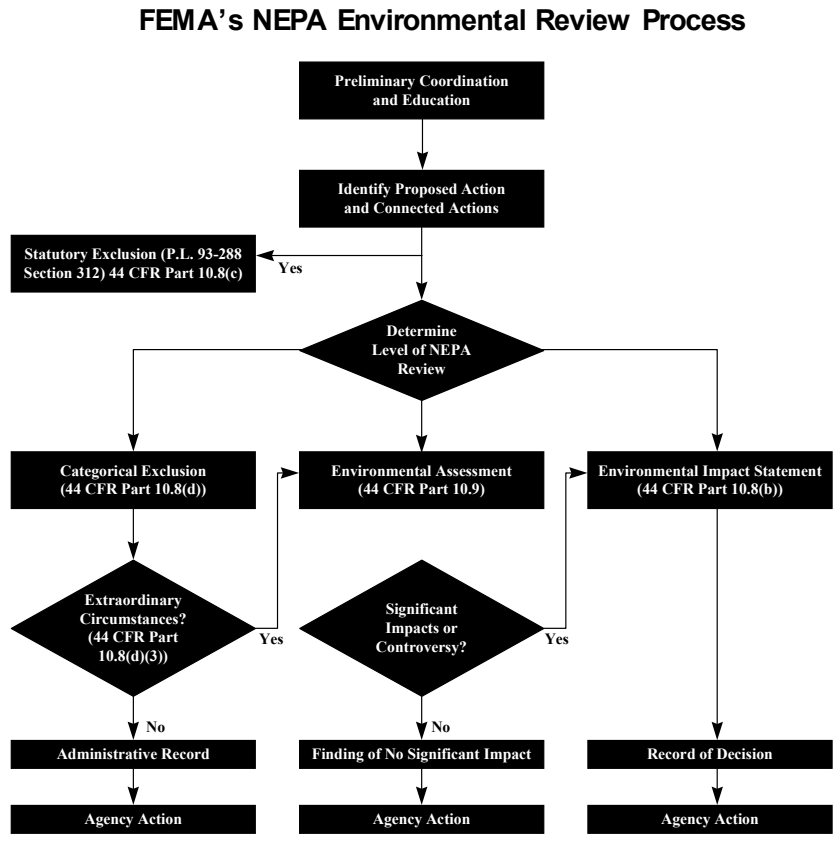
- ◆ NEPA is a Federal law which establishes a national policy for the protection and maintenance of the environment by providing for a process which all Federal agencies must follow to ensure that:
 - ◇ The Federal agency has considered the effects of their actions on the environment before deciding to fund and implement a proposed action, and
 - ◇ Environmental information is made available to other public officials and citizens before agency decisions are made and before actions are taken.

Note: Accordingly, the applicant may not initiate any action with respect to a project or a portion of a project proposed for FEMA funding until the NEPA review has been completed; doing so jeopardizes FEMA's participation in the funding for the project.

FEMA'S ENVIRONMENTAL REVIEW PROCESS (Continued)

What is the environmental review process?

The following flowchart summarizes the review process.



◆ All projects that are considered for Federal funding will be reviewed according to NEPA and other environmental laws. The review for other environmental laws is not depicted on this chart. The information and compliance process for these other laws is incorporated into the NEPA review process and document, so that it occurs simultaneously.

◆ For the NEPA

process, a determination is made if the project:

- ◇ Qualifies to be categorically excluded from the environmental review process,
- ◇ Requires an Environmental Assessment (EA), or
- ◇ Requires an Environmental Impact Statement (EIS).

What is the difference between a Categorical Exclusion, an Environmental Assessment, and an Environmental Impact Statement?

- ◆ A Categorical Exclusion is typically determined for projects which fit one of the categories of actions that FEMA has previously identified and listed as normally having minimal or no effect on the environment, proposing no significant change to existing environmental conditions, and not contributing to a significant cumulative environmental impact.

FEMA'S ENVIRONMENTAL REVIEW PROCESS (Continued)

In addition, when the FEMA Regional Director determines that a project qualifies to be categorically excluded, the director must assure and document that there are no "extraordinary circumstances," such as considerable impact on upstream or downstream resources, the presence of wetlands, protected species, historic resources or hazardous materials in the project area, or public controversy associated with the project. Certain types of mitigation projects such as the preparation of regulations, directives, manuals, or other guidance are often categorically excluded.

- ◆ An Environmental Assessment is conducted when a proposal does not qualify for a categorical exclusion. An assessment evaluates and concisely documents an action's potential for impacting the human and natural environment and is the basis for either a Finding of No Significant Impact (FONSI), in which case the project may proceed, or a determination that further study is required and an EIS must be prepared.
- ◆ An Environmental Impact Statement is a detailed document prepared for projects that will have a significant adverse effect on the human or natural environment and where that effect cannot be fully mitigated or is the subject of significant public controversy.

Note: A major difference between NEPA and similar State environmental laws is that these laws only assess and document impacts on the proposed alternative, whereas NEPA requires that feasible alternatives be assessed and documented. To comply with NEPA an EA or EIS must have identified and assessed at least one feasible alternative in addition to the proposed alternative and the "No Action" alternative.

What type of information does an Environmental Assessment or an Environmental Impact Statement include?

- ◆ Purpose and need for the action,
- ◆ Description of alternative solutions (including the proposed action),
- ◆ Description of social, natural, and economic resources that could be impacted by the project, with special attention to specific resources and issues relevant to the proposed action and alternatives, such as:
 - ◇ Water resources (hydrology, wetlands, floodplain management, and water quality),
 - ◇ Natural resources (plant and animal species and their habitats),
 - ◇ Physical environment (slope stability, soil and sedimentation),
 - ◇ Historic and archeological resources,
 - ◇ Air quality, and
 - ◇ Social and economic impacts (noise, traffic and circulation, affected population, minority and low-income populations, public facilities and services), and
- ◆ An analysis of the consequences of the proposed action and each alternative on those resources.

FEMA'S ENVIRONMENTAL REVIEW PROCESS (Continued)

How can an applicant assist in expediting the environmental review process?

- ◆ The applicant should make the State and FEMA aware of its intention to submit a project as early as possible.
- ◆ In anticipation of a FEMA grant, applicants should send a request for information and comments to all relevant State and Federal agencies.
- ◆ FEMA and the State will coordinate with the applicant to develop work tasks to expedite the preparation and completion of NEPA documentation and, where appropriate, to coordinate it with the review and documentation required by State environmental assessment laws.
- ◆ The applicant should share with FEMA and the State all information concerning the alternative actions considered during the early planning process, as well as all environmental information available to the applicant.
- ◆ The applicant may be asked to assist in identifying or documenting site conditions, such as the following:
 - ◇ Native American lands or treaty rights,
 - ◇ Socioeconomic impacts and minority and low-income populations,
 - ◇ Hydrologic regime, including wetland and floodplain conditions,
 - ◇ Topography and land form, including unique physical features, unstable soil, or steep slopes,
 - ◇ Habitat types, including any threatened or endangered species habitat,
 - ◇ Historic properties or districts,
 - ◇ Archeological resources, relics, or human remains, and
 - ◇ Toxic or hazardous waste sites.

PORTIONS OF 44 CFR PART 10 RELEVANT FOR APPLICANTS

10.7 (a)

Early Planning. The Regional Director shall integrate the NEPA process with other planning at the earliest possible time to ensure that planning decisions reflect environmental values, to avoid delays later in the process, and to head off potential conflicts.

10.7 (c)

(1) Technical Assistance to Applicants. The Council on Environmental Quality regulations requires agencies to provide for early involvement in actions which, while planned by private applicants or other non-federal entities, require some form of Federal approval. To implement the requirements of those regulations,

(i) The head of the FEMA offices and administration shall prepare, where practicable, generic guidelines describing the scope and level of environmental information required from applicants as a basis for evaluating their proposed actions, and make these guidelines available upon request.

(iii) Upon receipt of an application for agency approval, or notification that an application will be filed, the Regional Director shall consult as required with other appropriate parties to initiate and coordinate the necessary environmental analyses.

(2) To facilitate compliance with the requirements of paragraph (a) of this section, applicants and other non-federal entities are expected to:

(i) Contact the Regional Director as early as possible in the planning process for guidance on the scope and level of environmental information required to be submitted in support of their application;

(ii) Conduct any studies which are deemed necessary and appropriate by FEMA to determine the impact of the action on the environment;

(iii) Consult with appropriate Federal, Regional, State, and local agencies and other potentially interested parties during preliminary planning stages to ensure that all environmental factors are identified;

(iv) Submit applications for all Federal, Regional, State, and local approval as early as possible in the planning process;

(v) Notify the Regional Director as early as possible of all other Federal, Regional, State, local, and Native American tribe actions required for project completion so that FEMA may coordinate all Federal environmental reviews; and

(vi) Notify the Regional Director of all known parties potentially affected by or interested in the proposed action.

APPLICANT'S REQUEST FOR COMMENT

Applicants should submit a "Request for Comment" letter (see the following page) to relevant Federal, State, regional, and local agencies and to other interested parties. This information can serve several purposes. It may provide insight for the applicant into the design implications of the proposed project, identifying sensitive areas that might be avoided to minimize environmental impact on the community. It may also provide much of the information needed to meet the requirements of NEPA and other related Federal laws (such as the Endangered Species Act) for those who are undertaking the process and completing the documentation.

Federal Agencies:

Required:

Army Corps of Engineers or State agency with jurisdiction over wetlands
U.S. Fish and Wildlife Service
U.S. Natural Resources Conservation Service

As Appropriate:

U.S. Environmental Protection Agency
U.S. Department of Agriculture
National Marine Fisheries Service

State Agencies With Jurisdiction Over:

Required:

Cultural/Historic Resources (State Historic Preservation Officer)

As Appropriate:

Wildlife
Fish and Game
Natural Resources
Water Resources
Wetlands
Coastal Zones
Hazardous/Toxic Materials
Environmental Protection

Other State, Regional, or Local Agencies or Interested Parties:

As Appropriate

SUGGESTED FORMAT FOR "REQUEST FOR COMMENT" LETTER

Bob Smith
Minnesota Department of Wildlife

Dear Mr. Smith:

The City of Visseringville, in anticipation of a grant from the Federal Emergency Management Agency (FEMA) for the implementation of a flood mitigation project under FEMA's Flood Mitigation Assistance program, is seeking comments and information from authoritative agencies. In anticipation of this grant and to expedite environmental review, the City of Visseringville is requesting that the Minnesota Department of Wildlife provide any information available for the project area and comment on the possible environmental impacts of the proposed project and identified alternatives, as explained in the attached project description.

The City of Visseringville is not formally initiating consultation or undertaking compliance for FEMA under any of FEMA's Federal requirements. The City is seeking to provide FEMA with necessary information to assist in and expedite FEMA's compliance with the National Environmental Policy Act (NEPA) and all other environmental laws applicable to the project. The City and FEMA will use this information to fulfill their respective requirements when this project is submitted and considered for funding.

I am providing the enclosed description of the proposed project, the project area (with maps), and alternatives to the project for your review and comment. Please provide an expedited response to this request.

Sincerely,

Matthew Campbell
Mayor
City of Visseringville, Minnesota

The applicant should attach to this letter a detailed project description and maps, as appropriate, to accurately locate the project area and illustrate the project site, as well as any known physical or biologic site features. This will enable the commenting agency to provide accurate, useful comments.

ENVIRONMENTAL CONCERNS CHECKLIST

Check a box if that category is a potential issue to be investigated. Attach comments or relevant information to this checklist for those categories that have issues identified.

ENVIRONMENTAL ISSUES	NO ACTION	PROPOSED ACTION	ALT. #1	ALT. #2	ALT. #3
GEOLOGY					
Unique Features					
Mineral/Energy Resources					
Rock Slope Stability					
Depth to Impermeable Layers					
Subsidence					
Consolidation					
Rock Weathering					
Seismic Hazards					
SOILS					
Slope Stability					
Foundation Support					
Shrink-Swell					
Frost Susceptibility					
Liquefaction					
Erodibility					
Permeability					
Productivity (Farmland)					
SPECIAL LAND FEATURES					
Sanitary Landfills					
*Wetlands (indicate permit)					
Coastal Zones/Shorelines					
Mine Dumps/Spoil Area					
Prime Agricultural Farmland					
Other _____					
WATER RESOURCES					
Hydrologic Balance and Stream-flow Regimes (Downstream impacts)					
Groundwater					

ENVIRONMENTAL ISSUES	NO ACTION	PROPOSED ACTION	ALT. #1	ALT. #2	ALT. #3
Groundwater Recharge Areas					
Depth to Water Table					
Drainage/Stormwater Mgt.					
Sedimentation/Erosion					
Impoundment Leakage					
Floodplains (E.O. 11988)					
Floodway Alteration					
Water Quality					
Specially Designated Wild and Scenic Rivers					
BIOTIC RESOURCES					
* Threatened and Endangered Species					
Plant and Animal Habitat					
Diversity					
Site Productivity					
Nutrient Cycling					
Wilderness Areas					
Unique Ecosystems					
Specially Designated Natural Areas					
CLIMATE AND AIR					
Macro-Climatic Hazards					
Forest and Range Fires					
Heat Balance					
Wind Alteration					
Humidity and Precipitation					
Generation and Dispersion of Contaminants					
Shadow Effect					
Air Quality					
HISTORICAL/CULTURAL RESOURCES					
* Archeological Sites					
* Historical Structures					

ENVIRONMENTAL ISSUES	NO ACTION	PROPOSED ACTION	ALT. #1	ALT. #2	ALT. #3
* Culturally Significant Features					
SOCIO-ECONOMIC					
Land Use/Zoning					
Employment/Economic Base					
Community Services					
Health and Safety					
Waste Water Treatment					
Water Supply					
Housing					
Transportation					
Noise/Odor/Vibration					
Sense of Community					
Viability of the Community					
Local Government Taxation					
Conflict with Other Plans					
Elderly Populations					
* Low Income Populations (E.O. 12898)					
* Minority Populations (E.O. 12898)					
VISUAL RESOURCES					
HAZARDOUS MATERIALS					
Underground Tanks					
Hazardous Building Materials					
Hazardous Waste Sites					

SECTION 106 OF THE NATIONAL HISTORIC PRESERVATION ACT

This law will be most relevant for acquisition and elevation projects, which often affect historic structures.

Section 106 of the National Historic Preservation Act requires that Federal agencies “take into account the effect the undertaking [proposed project] may have on any district, site, building, structure, or object that is included in or eligible for inclusion in the National Register [of Historic Places].” Projects proposed for funding under the FMA require that FEMA identify resources in the area that may be affected by the project. Applicants have an obligation to assist FEMA in this task. FEMA must then obtain concurrence from the State Historic Preservation Officer (SHPO) on the eligibility of the identified resources and the potential to affect them. If there are adverse effects, FEMA, in cooperation with the applicant, must enter into consultation with the SHPO on ways to avoid or mitigate effects to cultural resources and develop an agreement with the SHPO that identifies the agreed-upon measures to mitigate effects.

Responsibility for compliance with the National Historic Preservation Act lies with the Federal agency funding the project—in this case, FEMA. Applicants are not responsible for resolving potential impacts to cultural/historic resources with the State Historic Preservation Office, as is required of Federal agencies. However, FEMA requires applicants to solicit comment and available information from the SHPO prior to submission of the project application. Applicants should also be aware that some States may have specific laws or requirements applicable to local governments proposing activities that may affect nationally or State-eligible historic or archeological resources.

Costs of compliance with Section 106 of the National Historic Preservation Act can be considered project costs.

Expedited or Potential-Screening Level of Resource Identification

Applicants will have provided adequate information on the structures in the project area or detailed information and maps of the project area and surroundings so that FEMA can undertake, in consultation with the SHPO, this first level of review for potential resources in the project area.

- ◆ **Historic Structures.** At a minimum, applicants must provide, for all structures to be affected by a project: an address, a date of construction, and at least one photograph (more photographs if possible). This information is often sufficient to determine National Register listing or eligibility status. The information can be used by FEMA or the SHPO to establish whether project structures are already on the National Register list. It will also enable the SHPO and FEMA to make a quick review and recommendation of eligibility.

SECTION 106 OF THE NATIONAL HISTORIC PRESERVATION ACT (Continued)

- ◆ **Archeology.** For projects disturbing the existing ground, the applicant should provide detailed topographic maps (USGS topographic quadrangle maps or larger scale) showing the exact location of the project, surrounding topography, and bodies of water. This information, in conjunction with a description of the project that addresses the extent of disturbance of previously undisturbed soil, may be adequate for the SHPO or other qualified archeologist to identify the potential for resources to be present or to be potentially affected. The locational information that is provided is used to search databases and records for other surveys or listed sites in the immediate vicinity. Other information such as soil maps, if readily available, will aid in a preliminary review.

Full Eligibility Research and Determination

In many circumstances more information is required (at the request of the SHPO or FEMA), often of a technical nature, that must be gathered and evaluated by a qualified architectural historian or archeologist.

FEMA, in consultation with the applicant, will identify a qualified professional meeting the Secretary of the Interior's qualifications to undertake survey work (historic structure or archeology). FEMA often identifies the potential for resources in the project's Area of Potential Effects (APE) and requests that the applicant arrange for a contracted professional to undertake this research/survey effort. This cost would be a cost-shared project cost, and once FEMA identifies this need and contacts the applicant, the project budget should be amended.



Appendix E: Acquisition Guidance



Guidelines for acquisition and relocation projects will be provided at a later date. In general, policies applicable to the Hazard Mitigation Grant Program (HMGP) will also apply to FMA projects.



Appendix F: FMA Application and Reporting Forms

Application Module

FEDERAL EMERGENCY MANAGEMENT AGENCY BUDGET INFORMATION--NONCONSTRUCTION PROGRAMS		See reverse for Paperwork Burden Disclosure Notice	Page 4 of 5 pages	OMB No. 3067-0206 Expires June 30, 1996
1. PROGRAM AGENCY AND ORGANIZATION ELEMENT TO WHICH REPORT IS SUBMITTED		3. RECIPIENT ORGANIZATION (Name and complete address, including zip code)		
4. EMPLOYER IDENTIFICATION		6. BUDGET PERIOD (Month, Day, Year) Beginning Date: _____ Ending Date: _____		
8. FEDERAL RATE SHARING (%)		7. Mark "X" in Appropriate Box <input type="checkbox"/> New Budget <input type="checkbox"/> Revised Budget. Enter Grant Number in Box 2 above Date of Budget Revision: _____		
9. PROGRAM ACRONYM CFDA NUMBER		5. RECIPIENT ACCOUNT NUMBER OR I.D. NO.		
10. Object Class		FMA Planning 83.536		
a. Personnel		FMA Tech. Asst. 83.536		
b. Fringe Benefits				
c. Travel				
d. Equipment				
e. Supplies				
f. Contractual				
g. Construction				
h. Other				
i. Total Direct Charges (10a to 10h)				
j. Indirect Charges				
k. Total (Sum of 10i & 10j)				
l. Federal Share				
Non-Federal Resources:				
m. Applicant				
n. State				
o. Local				
p. Other Sources				
q. Total (Sum of 10l to 10p)				
r. Program Income				
s. Detail on Indirect Cost				
Indirect Cost		<input type="checkbox"/> Provisional-Final <input type="checkbox"/> Predetermined <input type="checkbox"/> Fixed with Carry-Forward Total Amount of Indirect Cost: _____ Base: _____		
11. Signature of Authorizing Official		13. Telephone Number (Area code, Number and Extension)		
		Date Report Submitted		

Paperwork Burden Disclosure Notice

"Public reporting burden for this form is estimated to average 9.7 hours per response. The burden estimate includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing, reviewing, and maintaining the data needed, and submitting the form. Send comments regarding the accuracy of the burden estimate and any suggestions for reducing the burden to: Information Collections Management, Federal Emergency Management Agency, 500 C Street, SW, Washington, DC 20472."

INSTRUCTIONS

1. Enter FEMA.
 2. Enter grant or cooperative agreement identifier.
 3. Enter the name of the recipient to receive assistance.
 4. Enter the number assigned to the recipient by the Internal Revenue Service. This number should be the same as the number reported in item 6 of the applicant's Application for Federal Assistance, SF 424.
 5. Enter recipient account number or identification number.
 6. Enter the beginning and ending dates for the budget period submitted for approval.
 7. Mark the appropriate box for budget submission and date of budget revision.
 8. Enter Federal rate of sharing percentage.
 9. Enter each program acronym and CFDA number in the horizontal columns. Columns are to be used to report by Program.
 10. Enter the estimated amounts for:
 - 10a. Personnel costs.
 - 10b. Fringe benefits.
 - 10c. Travel.
 - 10d. Equipment to be purchased. **Note: Rented or leased equipment amounts are listed in Other, item (h).**
 - 10e. Expendable supplies.
 - 10f. Contractual costs.
 - 10g. Minor construction or renovation costs.
 - 10h. Rent, reproduction, telephone, rented/leased equipment, janitorial and security services, etc.
 - 10i. Enter the sum of items 10a through 10h.
 - 10j. Enter amount for the indirect charges (applicant must include a copy of the approved indirect cost agreement with the application).
 - 10k. Enter the sum of items 10i and 10j.
 - 10l. Federal Share. Enter the Federal share amount.
 - 10m. Non-Federal Resources. Enter the non-Federal amounts in items 10m through 10p that are being contributed by:
 - The applicant.
 - The State.
 - The local government.
 - Sources other than State or local governments.
 - 10q. Enter the sum of 10l through 10p.
 - 10r. Enter the amount of program income. Report income expected to be generated during the grant period.
 - 10s. Provide the details on type of rate, the rate or rates that are in effect during the funding period, the amount of base the rate is to be applied and the total amount of indirect costs. If additional space is required to provide an explanation, attach a schedule. **Note: Each time a FEMA Form 20-10 is submitted, the applicant is to attach the most recent negotiated Indirect Cost Agreement.**
 11. The individual's signature who has the responsibility for the submission of the budget data.
 12. Type or print the authorizing official's name and title.
 13. Telephone Number. Type or print the authorizing official's telephone number. Date Report Submitted. Enter the date of submission.
- Refer to Application Module, Part III-A, for detailed instructions.

FEDERAL EMERGENCY MANAGEMENT AGENCY BUDGET INFORMATION-CONSTRUCTION PROGRAMS		See reverse for Instructions and Paperwork Burden Disclosure Notice O.M.B. NO. 3067-0206 Expires June 30, 1998	
1. NAME OF APPLICANT		2. FEDERAL IDENTIFICATION NUMBER	
3. CFDA NUMBER 83-536 - FMA PJ		5. Grant Program, Functions, Activity	
4. BUDGET (Check one) <input type="checkbox"/> NEW <input type="checkbox"/> REVISED		Budget Period (Month, Day, Year) Beginning Date: _____ Ending Date: _____	
COST CLASSIFICATION	a. Total Cost	b. Cost Not Allowable	
c. Total Allowable Cost (Column a-b)			
6. Administrative expense	\$.00	\$.00	\$.00
7. Preliminary expense	\$.00	\$.00	\$.00
8. Land, structures, right-of-way	\$.00	\$.00	\$.00
9. Architectural engineering basic fees	\$.00	\$.00	\$.00
10. Other architectural engineering fees	\$.00	\$.00	\$.00
11. Project inspection fees	\$.00	\$.00	\$.00
12. Land development	\$.00	\$.00	\$.00
13. Relocation expenses	\$.00	\$.00	\$.00
14. Relocation payments to individuals and businesses	\$.00	\$.00	\$.00
15. Demolition and removal	\$.00	\$.00	\$.00
16. Construction and project improvement	\$.00	\$.00	\$.00
17. Equipment	\$.00	\$.00	\$.00
18. Miscellaneous	\$.00	\$.00	\$.00
19. SUBTOTAL (Sum of lines 6-18)	\$.00	\$.00	\$.00
20. Contingencies	\$.00	\$.00	\$.00
21. SUBTOTAL (Line 19 minus line 20)	\$.00	\$.00	\$.00
22. Project (program) income	\$.00	\$.00	\$.00
23. TOTAL PROJECT COSTS (subtract #22 from #21)	\$.00	\$.00	\$.00
24. Federal assistance requested calculations as follows: Multiply allowable costs from line 23c, by the (Federal Participation Percentage Approved by FEMA). Enter resulting Federal share in block 25. Enter eligible costs from line 23c x _____%			
25. Federal share			\$.00
26. SIGNATURE			DATE

Paperwork Burden Disclosure Notice

"Public reporting burden for this form is estimated to average 17.2 hours per response. The burden estimate includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing, reviewing, and submitting the form. Send any comments regarding the accuracy of the burden estimate and any suggestions for reducing the form to: Information Collections Management, Federal Emergency Management Agency, 500 C Street, SW, Washington, DC 2047."

INSTRUCTIONS

1. Enter the name of the State that is requesting Federal funds.
2. Enter the employer identification number of applicant as assigned by the Internal Revenue Service.
3. Enter the Catalog of Federal Domestic Assistance Number assigned to the program under which assistance is requested.
4. Mark the appropriate box.
5. Enter the program for which Federal funds are being requested.

Cost Classification:

(a) Total Cost. If this is an application for a "New" project, enter the total estimated cost of each of the items listed on lines 1 through 16 (as applicable). If this application entails a change to an existing award, enter the eligible amounts approved under the previous award.

(b) Cost Not Allowable. If this is an application for a "New" project, enter that portion of the cost of each item in column (a) which is not allowable for Federal assistance. If the application entails a change to an existing award, enter the adjustment (+ or -) to the previously approved costs from column (a) reflected in this application.

(c) Total Allowable Cost. This is the net of columns (a) and (b).

6. Enter estimated amounts needed to cover administrative expenses.
7. Enter the dollar amount needed to prepare the land for construction or for open space use. This item is not used to report in the SLA EOC program.
8. Enter amounts directly associated with the acquisition of land, existing structures, and related right-of-way.
9. Enter estimated basic fees for architectural engineering related to construction.
10. Enter amounts for other architectural engineering services, such as surveys, tests, soil borings, etc.
11. Enter construction monitoring, engineering inspections, and audit or construction and related programs.
12. This line will not be used.
13. Enter the dollar amounts needed to provide relocation advisory assistance, and the net amounts for replacement (last resort) housing.
14. Enter the estimated amount of relocation payments to be made to displaced persons, business concerns and non-profit organizations for moving expenses and replacement housing.
15. Enter the gross salaries and wages of employees for the grantee who will be directly engaged in performing demolition or removal of structures from developed land.
16. Enter the amounts for the actual construction of, addition to, or restoration of a facility. Also include in this category the amount of project improvements.
17. Enter estimated cost of office, shop, laboratory, safety equipment, etc., to be used at the facility.
18. Enter estimated miscellaneous costs. All indirect costs are to be reported here.
19. Total of lines 6 through 18.
20. This line will not be used.
21. This line will not be used if there is no entry in line 20.
22. Enter the estimated amount of program income to be earned during the grant/cooperative agreement period.
23. Subtract line 22 from line 21.
24. Enter the percentage of Federal share.
25. Enter the amount of Federal share (derived by multiplying the total allowable project costs from line 23, column "c" by the Federal percentage share approved by FEMA).
26. Enter the name and signature of the preparer and date.

Refer to Application Module, Part III-B, for detailed instructions.

FEDERAL EMERGENCY MANAGEMENT AGENCY NARRATIVE STATEMENT		OMB No. 3067-0206 Expires June 30, 1998																					
PAPERWORK BURDEN DISCLOSURE NOTICE "Public reporting burden for this form is estimated to average 4.2 hours per response. The burden estimate includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing, reviewing, and submitting the form. Send comments regarding the accuracy of the burden estimate and any suggestions for reducing the burden to: Information Collections Management, Federal Emergency Management Agency, 500 C Street, SW, Washington, DC 20472."																							
1. <input checked="" type="checkbox"/> PROGRAM NARRATIVE STATEMENT		<input type="checkbox"/> PERFORMANCE REPORT NARRATIVE																					
2. PROGRAMS <input type="checkbox"/> Preparedness <input checked="" type="checkbox"/> Mitigation <input type="checkbox"/> Response & Recovery	3. PARTICIPATION <table style="width: 100%; border: none;"> <tr> <td colspan="3" style="text-align: center;">COOPERATIVE AGREEMENTS</td> </tr> <tr> <td><input type="checkbox"/> SLA 100</td> <td><input type="checkbox"/> US&R</td> <td><input checked="" type="checkbox"/> FMA Planning</td> </tr> <tr> <td><input type="checkbox"/> SLA 50 w/o EOC</td> <td><input type="checkbox"/> SARA</td> <td><input checked="" type="checkbox"/> FMA Technical Assistance</td> </tr> <tr> <td><input type="checkbox"/> SLA 50 w/ EOC</td> <td><input type="checkbox"/> DPIG</td> <td><input checked="" type="checkbox"/> FMA Projects</td> </tr> <tr> <td><input type="checkbox"/> ATT</td> <td><input type="checkbox"/> CAP-SSSE</td> <td><input type="checkbox"/> CSEPP w/o EOC</td> </tr> <tr> <td><input type="checkbox"/> NAPI</td> <td><input type="checkbox"/> EP</td> <td><input type="checkbox"/> CSEPP w/ EOC</td> </tr> <tr> <td></td> <td><input type="checkbox"/> MAP</td> <td></td> </tr> </table>		COOPERATIVE AGREEMENTS			<input type="checkbox"/> SLA 100	<input type="checkbox"/> US&R	<input checked="" type="checkbox"/> FMA Planning	<input type="checkbox"/> SLA 50 w/o EOC	<input type="checkbox"/> SARA	<input checked="" type="checkbox"/> FMA Technical Assistance	<input type="checkbox"/> SLA 50 w/ EOC	<input type="checkbox"/> DPIG	<input checked="" type="checkbox"/> FMA Projects	<input type="checkbox"/> ATT	<input type="checkbox"/> CAP-SSSE	<input type="checkbox"/> CSEPP w/o EOC	<input type="checkbox"/> NAPI	<input type="checkbox"/> EP	<input type="checkbox"/> CSEPP w/ EOC		<input type="checkbox"/> MAP	
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4. RECIPIENT	5. REPORTING PERIOD	6. CONTROL NUMBER(S)																					
7. PERFORMING ORGANIZATION																							
8. NARRATIVE STATEMENT A. <u>Objectives and Need:</u> <p style="text-align: center;">SEE ATTACHED SHEETS FOR REPORTING DETAILS.</p> B. <u>Results or Benefit:</u> <p style="text-align: center;">SEE ATTACHED SHEETS FOR REPORTING DETAILS.</p> C. <u>Approach:</u> <p style="text-align: center;">SEE ATTACHED SHEETS FOR REPORTING DETAILS.</p> D. <u>Geographic Location:</u> <p style="text-align: center;">SEE ATTACHED SHEETS FOR REPORTING DETAILS.</p>																							

FEMA Form 20-22, APR 97

**EXAMPLE
PROGRAM NARRATIVE STATEMENT
FMA PLANNING GRANT**

A. OBJECTIVE AND NEED:

The State will assist communities in the development of Flood Mitigation Plans.

MT-FMA-PL: The State will develop and update Flood Mitigation Plans to assess flood risk and identify actions to reduce flood risk.

B. RESULTS OR BENEFIT:

Selected communities will have regularly reviewed and currently updated Flood Mitigation Plans.

C. APPROACH:

1. The State will implement a planning grant application and review process to ensure that the following activities are completed:
 - a. Solicit community planning grant applications.
 - b. Evaluate community applications based on established State priorities.
 - c. Award planning grants to selected communities.
 - d. Monitor planning process at the local level.
 - e. Review plans and forward to FEMA for approval.
2. The State will ensure that communities follow the basic flood mitigation planning process consisting of the following activities:
 - a. Involve the public.
 - b. Coordinate with other agencies and organizations.
 - c. Assess the flood hazard and risk.
 - d. Establish floodplain management goals.
 - e. Develop possible mitigation actions.
 - f. Adopt plan.

D. BASIS OF EVALUATION:

The State will submit approvable Flood Mitigation Plans that comply with FEMA standards.

E. GEOGRAPHIC LOCATION:

Selected communities within the State.

**EXAMPLE
PROGRAM NARRATIVE STATEMENT
FMA TECHNICAL ASSISTANCE GRANT**

A. OBJECTIVE AND NEED:

The State will ensure that communities are able to submit viable, complete FMA applications, and implement approved projects in accordance with project scope and grant agreement.

MT-FMA-TA: The State will provide technical assistance to communities preparing applications for FMA planning or project grants, or implementing FMA-funded mitigation projects.

B. RESULTS AND BENEFIT:

The State will submit completed applications acceptable for funding, and successfully implemented projects.

C. APPROACH:

The State may:

1. Assist communities in completing applications for FMA planning or project grants or implementing FMA-funded mitigation projects.
2. Identify high flood risk communities.
3. Contact communities; inform communities of availability of FMA funding and related technical assistance.
4. Conduct planning workshops in selected communities.
5. Provide FMA guidance information to interested communities.
6. Review environmental impacts of selected project applications.
7. Visit approved project sites to ensure smooth project implementation.

D. BASIS OF EVALUATION:

The State will ensure that applications are approved quickly with minimal requests for additional information.

The State will ensure that approved projects are completed on schedule and in accordance with grant agreement and scope.

E. GEOGRAPHICAL LOCATION:

Selected communities within the State.

**EXAMPLE
PROGRAM NARRATIVE STATEMENT
FMA PROJECT GRANT**

A. OBJECTIVE AND NEED:

Repetitive flood losses will be reduced in selected communities within the State.

MT-FMA-PJ: The State will implement community flood mitigation projects that reduce flood losses to NFIP-insurable structures.

B. RESULTS AND BENEFIT:

The State will reduce the risk of flood damage to insurable structures in selected communities.

C. APPROACH:

1. The State will implement its project grant application and review process to ensure that the following activities will be completed:
 - a. Solicit community project grant applications.
 - b. Evaluate community applications based on established State priorities.
 - c. Conduct necessary environmental and benefit-cost analysis.
 - d. Forward applications to FEMA for review.
 - e. Award project grants to selected communities.
2. The State will also ensure that the project grant application and review process considers the following types of eligible activities:
 - a. Elevation or dry floodproofing
 - b. Acquisition
 - c. Relocation or demolition
 - d. Minor structural projects
 - e. Beach nourishment activities
3. The State will ensure selected projects will meet the following eligibility criteria:
 - a. Conform with FMA Plan.
 - b. Be located physically in an eligible community, or benefit such community directly.
 - c. Be technically feasible.
 - d. Be cost effective.
 - e. Conform with applicable Federal and State regulations and executive orders.

D. BASIS FOR EVALUATION:

The number of repetitive losses in selected communities will be reduced within the State.

E. GEOGRAPHIC LOCATION:

Selected communities within the State.

Reporting Module

FEDERAL EMERGENCY MANAGEMENT AGENCY FINANCIAL STATUS REPORT		See Reverse for Instructions and Paperwork Burden Disclosure Notice	Page <u>4</u> of <u>5</u> pages	O.M.B. No. 3067-0206 Expires June 30, 1998
1. FEDERAL AGENCY AND ORGANIZATIONAL ELEMENT TO WHICH REPORT IS SUBMITTED		2. FEDERAL GRANT OR OTHER IDENTIFYING NUMBER		
4. EMPLOYER I.D. NO.		3. RECIPIENT ORGANIZATION (Name and complete address, including zip code)		
5. RECIPIENT ACCT. NO. OR I.D.		6. FINAL REPORT <input type="checkbox"/> YES <input type="checkbox"/> NO		
7. BASE <input type="checkbox"/> CASH <input type="checkbox"/> ACCRUAL		8. Funding/Grant Period From: _____ To: _____		
9. PERIOD COVERED THIS REPORT From: _____ To: _____				
STATUS OF REPORT				
10. PROGRAM ACRONYM CFDA NUMBER		(a) FMA PL 83.536	(b) FMA TA 83.536	(c) FMA TA 83.536
a. Net Outlays		\$	\$	(e) TOTAL
b. Recipient share outlays				\$
c. Federal share of outlays				
d. Total unliquidated obligations				
e. Recipient share of unliquidated obligations				
f. Federal share of unliquidated obligations				
g. Total Federal share (Sum of line c and line f)				
h. Total Federal funds authorized for this funding period				
i. Unobligated balance of Federal funds (Line h minus line g)				
COMPUTATION OF TOTAL INDIRECT COST EXPENSE AS REPORTED ON LINES 10a TO 10 g.				
11a. Type of indirect cost rate (Place x in the appropriate box)		<input type="checkbox"/> Provisional-Final <input type="checkbox"/> Predetermined <input type="checkbox"/> Fixed with carry forward		
b. Indirect cost rate		%	%	%
c. Base		\$	\$	\$
d. Total Amount of indirect cost		\$	\$	\$
e. Federal share of indirect cost		\$	\$	\$
12. REMARKS: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation.				
13. CERTIFICATION: I certify to the best of my knowledge and belief that this report is correct and complete and that all outlays and unliquidated obligations are for the purposes set forth in the award document.				
TYPE OR PRINT NAME AND TITLE			TELEPHONE NO. (include area code, and extension)	DATE

Paperwork Burden Disclosure Notice

"Public reporting burden for this form is estimated to average 1 hour per response. The burden estimate includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing, reviewing, and submitting the form. Send comments regarding the accuracy of the burden estimate and any suggestions for reducing the burden to: Information Collections Management, Federal Emergency Management Agency, 500 C Street, SW, Washington, DC 20472."

INSTRUCTIONS

1. Enter the FEMA Regional Office which awarded the grant/cooperative agreement to your organization.
 2. Enter the number assigned by FEMA and listed in item 1 of the Obligating Document for Award/Amendment, FEMA Form 76-10A.
 3. Enter the name and address of the organization receiving the funds. This information should be the same information as shown in item 5 of FEMA Form 76-10A.
 4. Enter the number assigned to the recipient by the Internal Revenue Service. This number should be the same as the number reported in item 6 of the applicant's Application for Federal Assistance, SF 424.
 5. Enter the account number or other identifying number assigned by the recipient.
 6. Mark the appropriate box.
 7. Mark the appropriate box.
 8. Enter the beginning and ending dates of the current grant period.
 9. Enter the beginning and ending dates of the quarter being reported.
 10. Enter the program acronym for each program being reported. Enter the CFDA number assigned to the program being reported. Enter the cumulative amounts of:
 - 10a. Outlays for each program (Federal and non-Federal). Enter cumulative program outlays less any rebates, refunds, or other credits.
 - 10b. Non-Federal outlays that are included in line 10a.
 - 10c. Federal outlays that are included in line 10a.
 - 10d. Unliquidated obligations (Federal and non-Federal), including unliquidated obligations to subgrantees and contractors.
 - 10e. Non-Federal unliquidated obligations which are included in line 10d.
 - 10f. Federal share of unliquidated obligations included on line 10d.
 - 10g. Enter the total Federal share of outlays and unliquidated obligations.
 - 10h. The amount of Federal funds authorized for the grant period.
 - 10i. This amount should be line 10h minus line 10g.
 11. Report in this section the computation of total indirect costs reported on lines 10a through 10g.
 - 11a. Check the appropriate box.
 - 11b. Enter in each column the indirect cost rate(s) that were in effect during the reporting period. If more space is needed, attach a schedule showing the computation of indirect cost.
 - 11c. Enter in each column the amount of the base to which the indirect cost rate was applied.
 - 11d. Enter total amount of indirect cost charged during the report period.
 - 11e. Enter total amount of Federal share of the indirect cost.
 12. Self-explanatory.
 13. Enter the name, title, telephone number of the authorized certifying official, and date report was submitted.
- Refer to Outlays Module, Part I, for detailed instructions.

FEDERAL EMERGENCY MANAGEMENT AGENCY		PAGE 1 OF 1 PAGES	O. M.B. No. 3067-0206 Expires June 30, 1998
OUTLAY REPORT AND REQUEST FOR REIMBURSEMENT FOR CONSTRUCTION PROGRAMS 83.536 - FMA PJ		1. TYPE OF REQUEST <input type="checkbox"/> FINAL <input type="checkbox"/> PARTIAL	2. BASIS OF REQUEST <input type="checkbox"/> CASH <input type="checkbox"/> ACCRUAL
3. FEDERAL SPONSORING AGENCY AND ORGANIZATIONAL ELEMENT WHICH THIS REPORT IS SUBMITTED		4. FEDERAL GRANT OR OTHER IDENTIFYING NO. ASSIGNED BY FEMA	5. PARTIAL PAYMENT REQUEST NO.
6. EMPLOYER IDENTIFICATION NUMBER	7. RECIPIENT ACCOUNT OR OTHER IDENTIFYING NUMBER	8. PERIOD COVERED BY THIS REPORT	
		FROM (Month, day, year)	TO (Month, day, year)
9. NAME (Recipient Organization)		10. PAYEE (Where checks should be sent if different than item 9)	
ADDRESS (City, State and Zip Code)		ADDRESS (City, State and Zip Code)	
11. STATUS OF FUNDS			
CLASSIFICATION	PROGRAMS-FUNCTIONS-ACTIVITIES		TOTAL
	(a)	(b)	
a. Administrative expense	\$	\$	\$
b. Preliminary expense			
c. Land, structures, right-of-way			
d. Architectural engineering basic fees			
e. Other architectural engineering fees			
f. Project inspection fees			
g. Land development			
h. Relocation expense			
i. Relocation payments to individuals and businesses			
j. Demolition and removal			
k. Construction and project improvement cost			
l. Equipment			
m. Miscellaneous cost			
n. Total cumulative to date (sum of lines a thru m)			
o. Deductions for program income			
p. Net cumulative to date (Line n minus line o)			
q. Federal share to date			
r. Rehabilitation grants (100% reimbursement)			
s. Total Federal share (sum of lines q and r)			
t. Federal payments previously requested			
u. Amount requested for reimbursement			
v. Percentage of physical completion of project	%	%	%
12. CERTIFICATION I certify that to the best of my knowledge and belief the billed costs or disbursements are in accordance with the terms of the project and that the reimbursement represents the Federal share due which has not been previously requested and that an inspection has been performed and all work is in accordance with the terms of the award.	a. RECIPIENT	SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	DATE REPORT SUBMITTED
		TYPED OR PRINTED NAME AND TITLE	TELEPHONE (Area code, number and extension)
	b. Representative certifying to line 11 v.	SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	DATE SIGNED
		TYPED OR PRINTED NAME AND TITLE	TELEPHONE (Area code, number and extension)

FEMA Form 20-17, MAY 97

Paperwork Burden Disclosure Notice

"Public reporting burden for this form is estimated to average 17.2 hours per response. The burden estimate includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing, reviewing, and submitting the form. Send comments regarding the accuracy of the burden estimate and any suggestions for reducing the burden to: Information Collections Management, Federal Emergency Management Agency, 500 C Street, SW, Washington, DC 20472."

INSTRUCTIONS

1. Mark the appropriate box.
2. Mark the appropriate box.
3. Enter the name of the FEMA Regional Office which awarded the grant/cooperative agreement to your organization.
4. Enter the number assigned by FEMA. This number can be found in item 1 of the Obligating Document for Award/Amendment, FEMA Form 76-10A.
5. This item will not be used to report in the EOC program.
6. Enter the number assigned by the Internal Revenue Service. This number should be the same number reported in item 6 of the applicant's Application for Federal Assistance, SF 424.
7. This space is reserved for an account number or other identifying number assigned by the recipient.
8. Enter the beginning and ending dates of the quarter you are reporting on.
9. Enter the name and address of the organization receiving the grant. This information should be the same information as shown in item 5 of FEMA Form 76-10A.
10. Enter where checks should be sent if different than item 9.
- 11a. Enter amount expended for such items as travel, legal fees, rental of vehicles and any other administrative expenses. Include the amount of interest expense when authorized by program legislation.
- 11b. Enter the amounts pertaining to the work of locating and designing, making surveys and maps, sinking test holes, and all other work required prior to actual construction.
- 11c. Enter all amounts directly associated with the acquisition of land, existing structures, and related right-of-way (*this includes purchase, lease, and/or easements*).
- 11d. Enter basic fees for services of architectural engineers relating to construction (*this includes start-up services and preparation of project performance work plan*).
- 11e. Enter amounts for other architectural engineering services, such as surveys, tests, soil borings, etc. Do not include any amounts shown on line 11d.
- 11f. Enter construction monitoring, engineering inspection, and audit fees of construction and related programs.
- 11g. Enter all amounts associated with the development of land where the primary purpose of the grant is land improvement.
- 11h. Enter the dollar amounts used to provide relocation advisory assistance and net costs of replacement housing.
- 11i. Enter the amount of relocation payments made by the recipient to displaced persons, farms, business concerns, and nonprofit organizations
- 11j. Enter gross salaries and wages of employees of the recipient and payments to third party contractors directly engaged in performing demolition or removal of structures from developed land.
- 11k. Enter those amounts associated with the actual construction of, addition to, or restoration of a facility. Also, include the amounts for project improvements such as sewers, streets, landscaping and lighting.
- 11l. Enter amounts for all equipment, both fixed and movable, exclusive of equipment used for construction.
- 11m. Enter the amounts for all items not specifically mentioned above.
- 11n. Enter the total cumulative amount to date which should be the sum of lines 11a through 11m.
- 11o. Enter the total amount of program income applied to the grant or contract agreement except income on line j. Identify on a separate sheet of paper the sources and types of the income.
- 11p. Enter the net cumulative amount to date which should be the amount shown on line 11n minus the amount on line 11o.
- 11q. Enter the Federal share of the amount shown on line 11p.
- 11r. Enter the amount of rehabilitation grant payments made to individuals when program legislation provides 100 percent payment by the Federal agency.
- 11s. Enter the total amount of Federal share.
- 11t. Enter the total amount of Federal payments previously requested, if this form is used for requesting reimbursement.
- 11u. Enter the total amount being requested for reimbursement. This amount should be the difference between the amounts shown on lines 11q and 11t. If different, explain on a separate sheet.
- 11v. Enter the actual percentage of project already constructed.
12. The purpose of this item is to verify that the costs or disbursements are in accordance with the terms of the project.
- 12a. To be completed by the recipient official who is responsible for preparation and submission of the outlay report.
- 12b. To be completed by the official representative who is certifying to the percent of project completion as provided for in the terms of the grant or cooperative agreement. Refer to Outlays Module, Part III, for detailed instructions.

FEDERAL EMERGENCY MANAGEMENT AGENCY NARRATIVE STATEMENT		OMB No. 3067-0206 Expires June 30, 1998																					
PAPERWORK BURDEN DISCLOSURE NOTICE "Public reporting burden for this form is estimated to average 4.2 hours per response. The burden estimate includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing, reviewing, and submitting the form. Send comments regarding the accuracy of the burden estimate and any suggestions for reducing the burden to: Information Collections Management, Federal Emergency Management Agency, 500 C Street, SW, Washington, DC 20472."																							
1. <input type="checkbox"/> PROGRAM NARRATIVE STATEMENT		<input checked="" type="checkbox"/> PERFORMANCE REPORT NARRATIVE																					
2. PROGRAMS <input type="checkbox"/> Preparedness <input checked="" type="checkbox"/> Mitigation <input type="checkbox"/> Response & Recovery	3. PARTICIPATION <table style="width:100%; border: none;"> <tr> <td colspan="3" style="text-align: center;">COOPERATIVE AGREEMENTS</td> </tr> <tr> <td><input type="checkbox"/> SLA 100</td> <td><input type="checkbox"/> US&R</td> <td><input checked="" type="checkbox"/> FMA Planning</td> </tr> <tr> <td><input type="checkbox"/> SLA 50 w/o EOC</td> <td><input type="checkbox"/> SARA</td> <td><input checked="" type="checkbox"/> FMA Technical Assistance</td> </tr> <tr> <td><input type="checkbox"/> SLA 50 w/ EOC</td> <td><input type="checkbox"/> DFIG</td> <td><input checked="" type="checkbox"/> FMA Projects</td> </tr> <tr> <td><input type="checkbox"/> ATT</td> <td><input type="checkbox"/> CAP-SSSE</td> <td><input type="checkbox"/> CSEPP w/o EOC</td> </tr> <tr> <td><input type="checkbox"/> NAPI</td> <td><input type="checkbox"/> EP</td> <td><input type="checkbox"/> CSEPP w/ EOC</td> </tr> <tr> <td></td> <td><input type="checkbox"/> MAP</td> <td></td> </tr> </table>		COOPERATIVE AGREEMENTS			<input type="checkbox"/> SLA 100	<input type="checkbox"/> US&R	<input checked="" type="checkbox"/> FMA Planning	<input type="checkbox"/> SLA 50 w/o EOC	<input type="checkbox"/> SARA	<input checked="" type="checkbox"/> FMA Technical Assistance	<input type="checkbox"/> SLA 50 w/ EOC	<input type="checkbox"/> DFIG	<input checked="" type="checkbox"/> FMA Projects	<input type="checkbox"/> ATT	<input type="checkbox"/> CAP-SSSE	<input type="checkbox"/> CSEPP w/o EOC	<input type="checkbox"/> NAPI	<input type="checkbox"/> EP	<input type="checkbox"/> CSEPP w/ EOC		<input type="checkbox"/> MAP	
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FEMA Form 20-22, APR 97

**EXAMPLE
PERFORMANCE REPORTING NARRATIVE
FMA PLANNING GRANT**

A. OBJECTIVE AND NEED:

The State assisted six communities in the development of Flood Mitigation Plans.

MT-FMA-PL-1: The State developed and updated six Flood Mitigation Plans to assess flood risk and identify actions to reduce flood risk.

B. RESULTS OR BENEFIT:

The State regularly reviewed and updated six Flood Mitigation Plans.

C. APPROACH:

1. The State implemented a planning grant application and review process to ensure that the following activities were completed:
 - a. Solicitation of three community planning grant applications.
 - b. Evaluation of six community applications based on established State priorities.
 - c. Awarding of planning grants to seven communities located in (*town*).
 - d. Monitoring of the planning process, at the local level.
 - e. Review of three Flood Mitigation Plans and forwarding to FEMA for approval.
2. The State assured that six communities followed a basic flood mitigation planning process consisting of the following activities discussed at workshops, etc.:
 - a. Public involvement
 - b. Coordination with other agencies and organizations
 - c. Assessment of the flood hazard and risk
 - d. Establishment of floodplain management goals
 - e. Development of possible mitigation actions
 - f. Plan adoption

D. BASIS FOR EVALUATION:

The State submitted six approvable Flood Mitigation Plans from Communities A, B, C, D, E, and F that comply with FEMA standards.

E. GEOGRAPHIC LOCATION:

Six planning grants were awarded to Communities A, B, C, D, E, and F.

**EXAMPLE
PERFORMANCE REPORT NARRATIVE
TECHNICAL ASSISTANCE GRANT**

A. OBJECTIVE AND NEED:

The State ensured that twelve communities were able to submit viable FMA applications, and helped three communities implement approved projects in accordance with project scope and grant agreement.

MT-FMA-TA-1: The State provided technical assistance to twelve communities preparing applications for FMA planning or project grants, and implementing three FMA-funded mitigation projects.

B. RESULTS AND BENEFITS:

The State received twelve project and planning grant applications acceptable for funding, and successfully implemented projects in Communities A, B, and C.

C. APPROACH:

The State assisted twelve communities in completing applications for FMA planning and project grants, and implemented three FMA-funded mitigation projects

1. The State identified the following high flood risk communities: Community D, Community E, and Community F.
2. The State informed three communities of FMA funding and technical assistance opportunities through two workshops and two public meetings in Community G; two workshops and one public meeting in Community H; and two workshops and two public meetings in Community I.
3. The State delivered three planning workshops in Communities J, K, and L.
4. The State disseminated FMA guidance to three communities: Communities D, E, and F.
5. The State reviewed three environmental impacts for the following project applications: *(provide community project application numbers)*.
6. The State visited the following three project sites: *(provide community project application numbers)*.



D. BASIS FOR EVALUATION:

The State approved ten of twelve submitted project and planning grant applications with minimal request for additional information. The State implemented three projects on schedule and in accordance with grant agreement and scope.

E. GEOGRAPHICAL LOCATION:

In total, the State provided technical assistance to twelve communities: Communities A, B, C, D, E, F, G, H, I, J, K, and L.

**EXAMPLE
PERFORMANCE REPORT NARRATIVE
FMA PROJECT GRANT**

A. OBJECTIVE AND NEED:

The State reduced repetitive flood loss in six communities: Communities A, B, C, D, E, and F.

MT-FMA-PJ-1: The State implemented twelve community flood mitigation projects that will reduce flood losses to NFIP-insurable structures.

B. RESULTS AND BENEFITS:

The State reduced the risk of flood damage to two insurable structures in each of the following six communities: Communities A, B, C, D, E, and F.

C. APPROACH:

The State approved twelve project applications (and reviewed twenty, eight of which were declined) to ensure that they met eligibility criteria and were cost beneficial to the NFIP fund. (Refer to attached community project applications.)

D. BASIS FOR EVALUATION:

The State reduced the number of repetitive flood losses in Community A from 6 to 4, in Community B from 8 to 6, in Community C from 10 to 8, in Community D from 4 to 2, in Community E from 5 to 3, and in Community F from 5 to 3.

E. GEOGRAPHIC LOCATION:

The following communities received the two project grants each: Communities A, B, C, D, E, and F.



Appendix G: Glossary and List of Acronyms

GLOSSARY

Applicant: A State agency, community (as defined in Part 59 CFR 44), public entity, Native American tribe, Alaskan native village, or eligible private nonprofit organization.

Average Annual Erosion Rate: The average yearly amount of erosion that has occurred, and can be expected to continue at the same rate, at any given locality.

Beach Nourishment: For the purposes of this program, measures to facilitate the natural dune replenishment through the planting of native dune vegetation and/or installation of sand fencing.

Benefit-Cost Analysis: A quantitative procedure that assesses the desirability of a hazard mitigation project by taking a long-term view of avoided future damages to insurable structures as compared to the cost of a project. The outcome of the analysis is a benefit-cost ratio, which demonstrates whether the net present value of benefits exceeds the net present value of costs.

Community: 1) A political subdivision of a State or other authority, including any Native American tribe or authorized tribal organization or Alaskan native village or authorized native organization, that has zoning and building code jurisdiction over a particular area having special flood hazards, and is participating in the NFIP; or (2) a political subdivision of a State or other authority that is designated to develop and administer a mitigation plan by political subdivisions, all of which meet the requirements of (1) above.

Comprehensive Building Code: An adopted law or ordinance whose purpose is to provide minimum standards to safeguard life or limb, health, property, and public welfare by regulating and controlling the design, construction, quality of materials, use and occupancy, location, and maintenance of all buildings and structures within a jurisdiction. The International Conference of Building Officials (ICBO) Uniform Building Code, the Building Code Officials and Administrators (BOCA) National Building Code, Southern Building Code Congress International (SBCCI) Standard Building Code, Council of American Building Officials (CABO) One and Two Family Dwelling Code, and the International Building Code are all considered to meet this criteria.

Cost-Effectiveness: A systematic quantitative method for comparing the costs of alternative means of achieving the same stream of benefits or a given objective. The benefits in the context of hazard mitigation are avoided future damages and losses. Cost-effectiveness is generally determined by performing a benefit-cost analysis.

Insurable Structure: A walled and roofed building, other than a gas or liquid storage tank, that is principally aboveground and affixed to a permanent site, as well as a manufactured home on a permanent foundation. An “insurable structure” also includes a building while in the course of construction, alteration, or repair, but does not include building materials or supplies intended for use in such construction, alteration, or repair, unless such materials or supplies are within an enclosed building on the premises.

Insured Structure: Structure covered by insurance under the National Flood Insurance Program (NFIP).

Non-Federal Funds: Financial resources provided by sources other than the Federal Government. The term does not include funds provided to a State or local government through a Federal grant, unless the authorizing statute for that grant explicitly allows the funds to be used as a match for other Federal grants.

Repetitive Loss: A structure covered by a contract for flood insurance under this title that has incurred flood-related damage on two occasions during a 10-year period ending on the date of the event for which a second claim is made, in which the cost of repair, on average, equaled or exceeded 25 percent of the value of the of the structure at the time of each such flood event.

State Point of Contact (POC): The State coordinator for FMA who also serves as the grantee.

Structure: A walled and roofed building, other than a gas or liquid storage tank, that is principally aboveground and affixed to a permanent site, as well as a manufactured home on a permanent foundation.

Substantial Damage: Damage of any origin sustained by a structure whereby the cost of restoring the structure to its pre-damaged condition would equal or exceed 50 percent of the market value of the structure before the damage occurred.

Technically Feasible: Term used to describe a project or action that utilizes design and construction methods and materials that are approved, codified, recognized, falls under standard or accepted levels of practice, or otherwise is determined to be generally acceptable by the design and construction industry.

LIST OF ACRONYMS

APE—Area of Potential Effects
BFE—Base Flood Elevation
BOCA—Building Code Officials and Administrators
CABO—Council of American Building Officials
CAP-SSSE—Community Assistance Program—State Support Services Element
CDBG—Community Development Block Grant
CFR—Code of Federal Regulations
COBRA—Coastal Barrier Resources Act
CRS—Community Rating System
EA—Environmental Assessment
EIS—Environmental Impact Statement
EP—Earthquake Program
FEMA—Federal Emergency Management Agency
FIPS—Federal Information Processing Standards
FIRM—Flood Insurance Rate Map
FMA—Flood Mitigation Assistance
FONSI—Finding of No Significant Impact
HMGP—Hazard Mitigation Grant Program
HP—Hurricane Program
ICBO—International Conference of Building Officials
ICC—Increased Cost of Compliance
MAP—Mitigation Assistance Program
NEMIS—National Emergency Management Information System
NEPA—National Environmental Policy Act
NFIP—National Flood Insurance Program
NFIRA—National Flood Insurance Reform Act of 1994
OMB—Office of Management and Budget
POC—[State] Point of Contact
PPA/CA—Performance Partnership Agreement/Cooperative Agreement
SBCCI—Southern Building Code Congress International
SFHA—Special Flood Hazard Area
SHMP—State Hazard Mitigation Program
SHPO—State Historic Preservation Officer
USFWS—U.S. Fish and Wildlife Service
USGS—U.S. Geological Survey



Appendix H: Other Applicable FEMA Publications

Federal Emergency Management Agency Hurricane Publications and Videos

December 1996

<u>Qty.</u>	<u>Publication No.</u>	<u>Title</u>
<input type="checkbox"/>	FEMA-247	Against the Wind (<i>English and Spanish</i>)
<input type="checkbox"/>	FEMA-270	Jason and Robin's Awesome Hurricane Adventure
<input type="checkbox"/>	FEMA-281	Hurricane Opal: Building Performance Assessment Report
<input type="checkbox"/>	L-105	Safety Tips for Hurricanes
<input type="checkbox"/>	L-107	Hurricane-Flood Safety Tips
<input type="checkbox"/>	L-212	Hurricane—Action Guidelines for Senior Citizens
<input type="checkbox"/>	L-213	Hurricane—Action Guidelines for School Children
<input type="checkbox"/>		Hurricane Wallet Card (<i>English</i>)
<input type="checkbox"/>		Hurricane Wallet Card (<i>Spanish</i>)
<input type="checkbox"/>	Video	Against the Wind
<input type="checkbox"/>	Video	Best Build I
<input type="checkbox"/>	Video	Best Build II
<input type="checkbox"/>	Video	Best Build III
<input type="checkbox"/>	Video	Hurricane—Prepare to Survive
<input type="checkbox"/>	Video	Hurricane—It's Not Just Another Storm
<input type="checkbox"/>	Video	Hurricane Watch—Preparing for the Uncertain
<input type="checkbox"/>	Video	Jason and Robin
<input type="checkbox"/>	Video	Stormwatch—Hurricane Preparedness for Hospitals
<input type="checkbox"/>		Totals

Federal Emergency Management Agency Flood Program Publications and Videos

December 1996

<u>Item #</u>	<u>Publication #</u>	<u>Publication Title</u>
3-0107	FEMA-15	Design Guidelines for Flood Damage Reduction <i>General information on flooding and how to properly design and build in flood-prone areas.</i>
8-0390	FEMA-54	Elevated Residential Structures <i>Proper design and construction methods for elevated buildings.</i>
8-0373	FEMA-55	Coastal Construction Manual <i>Design and construction techniques for construction in coastal high-hazard areas.</i>
8-0497	FEMA-85	Manufactured Home Installation in Flood Hazard Areas <i>How to properly install a manufactured home in a flood hazard area with emphasis on design of elevated foundations.</i>
3-0125	FEMA-100	Unified National Program for Floodplain Management <i>A conceptual framework to guide local, State, and Federal decisionmakers toward a balanced consideration of alternative goals, loss-reduction strategies, and tools. (See FEMA-248 for an update to this publication)</i>
3-0126	FEMA-102	Floodproofing Non-Residential Structures <i>Describes a variety of floodproofing strategies for commercial and industrial structures.</i>
3-0127	FEMA-114	Design Manual for Retrofitting Flood-Prone Residential Structures <i>Presents floodproofing techniques that can be used for existing residential structures.</i>
3-0131	FEMA-116	Reducing Losses in High-Risk Flood Hazard Areas: A Guidebook for Local Officials <i>A guidebook to help local governments improve their floodplain management programs for high-risk flood areas.</i>
3-0142	FEMA-165	Alluvial Fans: Hazards and Management <i>A booklet describing flood hazards on alluvial fans and suggested approaches to hazard management.</i>

<u>Item #</u>	<u>Publication #</u>	<u>Publication Title</u>
3-0164	FEMA-213	Answers to Questions About Substantially Damaged Buildings <i>Guidance on NFIP regulations governing substantially damaged structures.</i>
3-0178	FEMA-234	Repairing Your Flooded Home <i>Repair manual for homeowners on how to repair your home after a flood.</i>
	FEMA-248	A Unified National Program for Floodplain Management <i>Updates the information in FEMA-100.</i>
	FEMA-257	Mitigation of Flood and Erosion Damage to Residential Buildings in Coastal Areas <i>Profiles floodproof retrofitting in coastal States and communities.</i>
	FEMA-258	Guide to Flood Maps <i>A "how-to" booklet for reading Flood Insurance Rate Maps (FIRMs).</i>
	FEMA-259	Engineering Principles and Practices for Retrofitting Flood-Prone Residential Buildings <i>A comprehensive technical manual with specific guidance on financial, engineering determination of methods, and design practices for many floodproof retrofitting techniques.</i>
3-0180	FIA-22	Building Performance: Hurricane Andrew in Florida <i>Recommendations, observations, and solutions to building problems incurred during Hurricane Andrew.</i>
3-0181	FIA-23	Building Performance: Hurricane Iniki in Hawaii <i>Recommendations, observations, and solutions to building problems incurred during Hurricane Iniki.</i>
3-0183	FIA-TB-0	Technical Bulletins: User's Guide With Key Word and Subject Index <i>Provides a list of available technical bulletins, a key word/subject reference index for all the bulletins, and information about how to obtain copies of the bulletins.</i>

<u>Item #</u>	<u>Publication #</u>	<u>Publication Title</u>
3-0184	FIA-TB-1	Technical Bulletin 1: Openings in Foundation Walls <i>Guidance on the NFIP regulations concerning the requirement for openings in below-Base Flood Elevation foundation walls for buildings located in Zones A, AE, AI-A30, AR, AO, and AH.</i>
3-0185	FIA-TB-2	Technical Bulletin 2: Flood-Resistant Materials Requirements <i>Guidance on the NFIP regulations concerning the required use of flood-damage-resistant construction materials for building components located below the Base Flood Elevation in Special Flood Hazard Areas (both A and V Zones).</i>
3-0186	FIA-TB-3	Technical Bulletin 3: Non-Residential Floodproofing—Requirements and Certification <i>Guidance on the NFIP regulations concerning watertight construction and the required certification for floodproofed non-residential buildings in Zones A, AE, AI-A30, AR, AO, and AH whose lowest floors are below the Base Flood Elevation.</i>
3-0187	FIA-TB-4	Technical Bulletin 4: Elevator Installation <i>Guidance on the NFIP regulations concerning the installation of elevators below the Base Flood Elevation in Special Flood Hazard Areas (both A and V Zones).</i>
3-0188	FIA-TB-5	Technical Bulletin 5: Free-of-Obstruction Requirements <i>Guidance on the NFIP regulations concerning obstructions to floodwaters below elevated buildings and on building sites in coastal High Hazard Areas (Zones V, VE, and VI-V30).</i>
3-0189	FIA-TB-6	Technical Bulletin 6: Below-Grade Parking Requirements <i>Guidance on the NFIP regulations concerning the design of below-grade parking garages beneath buildings located in Zones A, AE, AI-A30, AR, AO, and AH.</i>
3-0202	FIA-TB-7	Wet Floodproofing Requirements <i>Guidance on the NFIP regulation concerning the design of wet floodproofing which is not recognized for residential homes, only for non-residential structures.</i>

<u>Item #</u>	<u>Publication #</u>	<u>Publication Title</u>
3-0124		NFIP Regulations for Floodplain Management and Flood Hazard Identification <i>44 CFR Regulations that pertain only to the Floodplain Management Program.</i>
3-0132	L-153	Retrofitting Flood-Prone Residential Structures (Brochure) <i>A companion brochure summarizing FEMA-114.</i>
3-0174	L-197	Unified National Program for Floodplain Management (Brochure) <i>A companion brochure summarizing FEMA-100.</i>
3-0179	L-198	After a Flood: The First Steps (Brochure) <i>A brochure that pulls pertinent first-step information from FEMA-234.</i>
3-0172	FF 81-78	Residential Basement Floodproofing Certificate (7/92) <i>A form provided to communities that have been granted a basement exception through FEMA Headquarters.</i>
	FF 81-31	Elevation Certificate <i>A form provided to communities participating in the NFIP for proper recording of elevated buildings.</i>
	FF 81-65	Floodproofing for Non-Residential Structures <i>A form provided to communities participating in the NFIP for proper recording of floodproofing non-residential buildings.</i>
	Poster-15	Repairing Your Flooded Home (English/Spanish) <i>Poster for use in public buildings with English on one side and Spanish on the other.</i>

Videos

Best Build I	Constructing a Sound Coastal Home
Best Build II	Construction in a Riverine Floodplain
Best Build III	Protecting a Flood-Prone Home

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