North Carolina Emergency Management
Hazard Mitigation Grant Program Workshop

16 June 2022
Hazard Mitigation Grant Program

Schedule and Hazard Mitigation Program Overview

Steve McGugan, Assistant Director
Schedule:

9:00am  Welcome and Opening Remarks/Schedule and Program Overview
        Steve McGugan, Assistant Director

9:30am  Hazard Mitigation Planning
        Updating Local Mitigation Plan
        Chris Crew, Planning Supervisor

10:15am BREAK

10:25am Applications
        Preparing Disaster and Non-Disaster Grant Applications (Timelines and required documentation)
        Jason Pleasant, Development Supervisor

12:15pm LUNCH
Hazard Mitigation Grant Program

Schedule:

12:45pm  Subrecipient Management Costs
         Steve McGugan, Assistant Director

1:30pm  Project Implementation and Reimbursements
         Dalton Canter, Project Manager Team Lead
         Keauna Havvard, Legal Specialist
         Fred Lewis, Project Manager

2:15pm  BREAK

2:30pm  Project Closeout
         Meg Benedetti, Financial Compliance Supervisor

3:00pm  State Centric
         Status and Updates on State Centric Program
         Steven Jackson, Deputy Mitigation Section Chief

3:30pm  Workshop Wrap-Up/Questions
Hazard Mitigation Section Leadership

Assistant Director
Steve McGugan

Deputy Mitigation Section Chief
Steven Jackson

Planning
Chris Crew

Development
Jason Pleasant

Implementation
Kevin Phipps

Closeout/Administration/Legal
Jessica Lashbrook

Financial Business & Compliance Analysis
Meg Benedetti
Hazard Mitigation Grant Program

Project Managers

**Devan Francisco**
Ashe County
Bladen County
Catawba County
Craven County
Cumberland County
Edgecombe County
Nash County
Pamlico County
Pender County
Pitt County
Wayne County
Wilson County

**Jeffrey Polanco**
Beaufort County
Camden County
Carteret County
Johnston County
Jones County
Mecklenburg County
Moore County
Pasquotank County
Sampson County
Surry County
Tarboro, Town of
Tyrrell County

**David DuPre**
Brunswick County
Columbus County
Fayetteville, City of
Guilford County
Halifax County
Harnett County
Henderson County
Hoke County
Madison County
McDowell County
New Hanover County
Onslow County
Richmond County
Robeson County
Washington County

**Fred Lewis**
Bertie County
Currituck County
Dare County
Duplin County
Durham County
Gates County
Granville County
Greene County
Hyde County
Lenoir County
North Topsail Beach
Orange County
Randolph County
Planning

Chris Crew, Planning Supervisor
“Driving the train doesn’t set its course. The real job is laying the track.”

--Ed Catmull
Agenda

- New Guidance
- Mitigation Plan Updates
- Grant Funding Updates
- Questions
New Guidance

- New FEMA Strategic Plan
- New FEMA Hazard Mitigation Planning Guidance
- New FEMA High Hazard Potential Dam Repair
- New NCEM Hazard Mitigation SOP
Planning Matters

Highlights:

• The Enhanced State Hazard Mitigation Plan is being updated—draft submission to FEMA October 24, 2022

• Two final Regional Plans in update (Smokey Mountain and Pee-Dee Lumber) in FEMA review by June

• Next Plan due for update Wake County (expires 12/2/24)

• With the bulk of Regional Plans coming up for update in 2024-25 we will seek volunteers to start early and avoid a plan review backlog in 2025.
New Guidance

- New FEMA Strategic Plan 2022-2026

- The 2022-2026 FEMA Strategic Plan outlines a bold vision and three ambitious goals designed to address key challenges the agency faces during a pivotal moment in the field of emergency management.
Goal 1: Instill equity as a foundation of emergency management

• Executive Order 13985 (Jan. 20, 2021) defines equity as “the consistent and systematic fair, just, and impartial treatment of all individuals, including individuals who belong to underserved communities that have been denied such treatment, such as Black, Latino, and Indigenous and Native American persons, Asian Americans and Pacific Islanders and other persons of color; members of religious minorities; lesbian, gay, bisexual, transgender, and queer (LGBTQ+) persons; persons with disabilities; persons who live in rural areas; and persons otherwise adversely affected by persistent poverty or inequality.”

• Additionally, “underserved communities refers to populations sharing a particular characteristic, as well as geographic communities, that have been systematically denied a full opportunity to participate in aspects of economic, social, and civic life.”
Goal 2: Lead whole of community in climate resilience

- Climate change represents a profound crisis for the nation, making natural disasters more frequent, more intense, and more destructive. In 2020 alone, there were 22 weather and climate disaster events, with total losses exceeding $1 billion across the U.S. In comparison, the previous record set in both 2011 and 2017 was 16 disasters.

- These cascading and compounding impacts, propelled by climate change, pose the greatest risk to our communal and nationwide resilience.
Goal 3: Promote and sustain a ready FEMA and prepared nation

• From November of 2020 to November of 2021, FEMA was managing six times as many Stafford Act Events (166 emergency and major disaster declarations vs. 26), and responses to fire incidents were up 120% across the nation. This increase in frequency, severity, and complexity has heightened demands on FEMA and on the larger emergency management community.

• To adapt to the trend, FEMA must expand its approach to agency readiness and to national preparedness. The only way to achieve this is to increase the nation’s overall emergency management capabilities at all levels of government, as well as the private sector, the nonprofit sector, and among individuals.

https://www.fema.gov/about/strategic-plan
New Guidance

New FEMA Plan Review Guidance

• FEMA released updated State and Local Mitigation Planning Policy Guides, previously known as the “Plan Review Guides” in accordance with FEMA’s requirement that policies be reviewed and revised on a routine basis and reflect recent legislative changes and policy updates. Visit the Policy Updates webpage web to learn more about the changes.

• New guidance will not apply to plans currently in update/review, but will apply to next round of updates—no major changes to plan content or process anticipated.

New FEMA Plan Review Guidance

Highlights:

• Equity—how are states and local governments including all communities in Hazard Mitigation Planning

• Climate Change—how are states and local governments accounting for shifts in natural hazard risks associated with climate change (formerly “future conditions”)

• High Hazard Potential Dam Repair Program—new detailed guidance on addressing whole community and residual risk
Rehabilitation of High Hazard Potential Dams Program

FEMA released guidance on the Rehabilitation of High Hazard Potential Dams Program

- Over 5000 high hazard dams in NC
- Program provides funding to local governments to do technical and engineering investigation of hazardous dams to determine appropriate and cost-effective mitigation measures
- Funding amounts scheduled to increase in 2022-23 funding cycle--$22 million nationwide
- Local governments may apply for funds to address issues with both public and privately owned dams
- HHDPR Program is administered through the NCDEQ Division of Mineral, Land and Water Resources (NCEM helps to insure that Local/Regional Hazard Mitigation Plans are consistent with program guidance and requirements)

Plan Funding Update

HMGP DR-4487 COVID-19 Pandemic
  • 7% planning set-aside appx $4.1 million

DR-4487 Planning Funds will be devoted to
  • 2024-2026 Round of Regional Updates
  • 2025 State Plan Update
  • Planning related activities
    • Data Collection
    • Project Identification/Development
    • Outreach and engagement
Questions?
BREAK
Hazard Mitigation Grant Program

HMGP Development

Development Supervisor
Jason Pleasant

Grant Development Specialists
Jen Lewis
Kaine Riggan
Portia Baldwin
1. Know Resources
2. Understanding Roles and Responsibilities
3. Understand Grant Types
4. Understand Timelines
5. Understand Requirements
What is Development?

Development is the first of 3 phases. This phase begins after a disaster or during the grant cycle.

- **Disaster Grants** – These happen after a disaster
- **Non-Disaster Grants** – This is an annual grant cycle that is open across the country

Disaster Grant Development
- Begins after a disaster
- Communities are encouraged to engage the public for interest in mitigation
- Home Owners that are interested will apply with the community
- Communities build a letter of interest after they collect home owner interest (applications)
- HMGP collects all of the community letters of interest and begins work building applications
- This process takes 1-year to complete
- Applications are submitted to FEMA for review and funding

Non-Disaster Grants
- Announced every year later in the Summer
- Initiatives and priorities are defined by FEMA to fit into the National Mitigation Framework.
  - This helps coordinate mitigation efforts nationwide
  - This supports a “whole community” risk reduction strategy
- Communities present their mitigation ideas on Letters of Interest
- These become applications that compete nationally
Roles and Responsibilities:

**Local Governments** – Ultimately responsible for applying for and completing mitigation work

**State** – Direct, facilitate and oversee mitigation work

**FEMA** – Guide and fund mitigation work
Types of Mitigation Grants:

Non-Disaster (Annual) –

Building Resilient Infrastructure in Communities (BRIC)

Flood Mitigation Assistance

Disaster (Event Based) –

Hazard Mitigation Disaster Grants

*CPF Note

What are typical mitigation projects?

- Residential –
  Eliminate Risk – Acquisitions (Buyouts)
  Reduce Risk - Elevations

- Infrastructure
  - Community Flood Control
  - Storm Water Management
  - Retention/Detention Ponds
  - Stream Restoration

- Smaller Projects:
  - Generators
  - Stream Gauges
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Who Can Apply?
- Local Governments
- States
- Tribes
- Territories

Who Cannot Apply?
- Individual Homeowners
- Business Owners
When Can We Apply?

**BRIC/FMA** – August/September. Applications are due the following January. Notices of Funding Opportunity (NOFOs) will specify deadlines for LOIs.

**HMGP** – As disasters are declared. Applications are due on the anniversary. Notices of Funding Availability (NOFAs) will specify deadlines for LOIs.
How Do We Start?

Everything starts with a Letter of Interest (LOI) in EMGrants. Following an NOFO/NOFA.
All Letters of Interest (LOIs) are submitted in EMGrants.

Note; LOIs are the “start point” for any mitigation project application.
Helpful hints for LOIs;

Gain access to EMGrants and FEMA Go early.

For each property - Screen properties for cost effectiveness, repetitive loss (flood zone), provide signed homeowner applications and paperwork, photos, maps, etc...

For the local government – Get a Designated Agent form filed, make sure the mitigation activity is in the local HM Plan, etc...

Start early, have a running list of properties or projects ready to go
Focus on Disaster Grants
Application Development for a Disaster Overview

**Submission Roster**
- Compiled list of projects that HMGP recommends developing
- Submitted to the NCEM Director
- Serves as the Director’s acknowledgement and endorsement of what project will be developed into applications

**Letters of Interest Due**
- From Jurisdiction to HMGP
- Done in EMGrants
- Necessary hard stop for input

**Application Development**
- Additional Information
- Screens out ineligible projects
- Numbers naturally reduce
- Application is from Jurisdiction

**Application Submission**
NEMIS

**FEMA Review Starts**
- Approval
- Award Letters issued

**Work begins**
--36 Month PoP from this point

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1 year from declaration to application due date
--Applications can be submitted before the due date but not after unless an extension has been applied for and granted
Step 1 - Following a disaster a county holds public meetings to gauge interest in HMGP
Step 2 – County submits a Letter of Interest (LOI) in EMGrants describing the project
**LOI Priorities**

### Ranking and Scoring Rubric for DR-4568-NC HMGP LOIs

For DR-4568, the State of North Carolina plans to prioritize 3 main project categories and allocate a portion of funding to each category:

- Residential Mitigation
- Commercial Structure mitigation (at the Director’s Discretion)
- Infrastructure Mitigation

#### Location

<table>
<thead>
<tr>
<th>Priority</th>
<th>Category</th>
<th>Scoring</th>
</tr>
</thead>
<tbody>
<tr>
<td>Priority 1</td>
<td>Projects Located in Declared Counties</td>
<td>+7</td>
</tr>
<tr>
<td>Priority 2</td>
<td>Projects Located in Non-Declared Counties with documented Isaias-related Damage</td>
<td>+4</td>
</tr>
<tr>
<td>Priority 5</td>
<td>Projects Located Outside of Priority Areas listed above</td>
<td>+1</td>
</tr>
</tbody>
</table>

#### Residential Mitigation

<table>
<thead>
<tr>
<th>Priority</th>
<th>Category</th>
<th>Scoring</th>
</tr>
</thead>
<tbody>
<tr>
<td>Priority 1</td>
<td>Mitigating Residential Structures with displaced homeowners</td>
<td>+10</td>
</tr>
<tr>
<td>Priority 2</td>
<td>Residential Structures with documented damages by Matthew, Florence and Isaias</td>
<td>+7</td>
</tr>
<tr>
<td>Priority 3</td>
<td>Mitigating Residential Structures Substantially Damaged during Isaias</td>
<td>+5</td>
</tr>
<tr>
<td>Priority 4</td>
<td>Mitigating Severe Repetitive Loss (SRL)/Repetitive Loss (RL) Residential Structures Damaged during Isaias</td>
<td>+3</td>
</tr>
<tr>
<td>Priority 5</td>
<td>Mitigating other Unmet Residential Needs as recommended by the County/City based on local conditions</td>
<td>+1</td>
</tr>
</tbody>
</table>

#### Commercial Mitigation

<table>
<thead>
<tr>
<th>Priority</th>
<th>Category</th>
<th>Scoring</th>
</tr>
</thead>
<tbody>
<tr>
<td>Priority 1</td>
<td>Mitigating Commercial Structures Substantially Damaged during Isaias</td>
<td>+7</td>
</tr>
<tr>
<td>Priority 2</td>
<td>Mitigating Commercial Structures Damaged during Isaias</td>
<td>+5</td>
</tr>
<tr>
<td>Priority 3</td>
<td>Mitigating other Unmet Needs as recommended by the County/City based on local conditions</td>
<td>+3</td>
</tr>
</tbody>
</table>

#### Infrastructure Mitigation

<table>
<thead>
<tr>
<th>Priority</th>
<th>Category</th>
<th>Scoring</th>
</tr>
</thead>
<tbody>
<tr>
<td>Priority 1</td>
<td>Flood Mitigation for Critical Facilities</td>
<td>+7</td>
</tr>
<tr>
<td>Priority 2</td>
<td>Stormwater Drainage improvements and related mitigation measures</td>
<td>+5</td>
</tr>
<tr>
<td>Priority 3</td>
<td>Flood Mitigation for non-critical facilities</td>
<td>+2</td>
</tr>
</tbody>
</table>
Step 3 – State and County build the project application

The Letter of Interest is a “start point”.

It is critical that you provide as much (if not all) information for an application. Detailed Budgets, Specifications, Scopes of Work, Property Details, Signed Homeowner Applications, Photos, Maps....
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This,

“This, Random County needs $200,000 to elevate 1 home”

Turns into...
What does a sub-application look like?
Step 4 – Project Sub-Application is submitted to FEMA Region IV in Atlanta
**Step 4** “Submission” closes after 1 year.

1. Projects are reviewed by FEMA (Programmatics, Technical and EHP).
2. RFIs are sent to the State for Clarification
3. Once fully reviewed, FEMA Funds
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Step 5 – FEMA Region IV “Awards” Individual Projects
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Intake

123 Main St
333 Jones Ln
525 Smith Rd
1200 Davis Dr
800 North St

Application Submission

FEMA Review

Federal Funds Obligated (FEMA Award)

FEMA Funded

1200 Davis St
333 Jones Ln
525 Smith Rd

Asbestos
Closing/Purchase
Demolition

Withdraw/Reimbursements Stop

Development 1yr

Implementation ~3 yrs

Closeout 90-Days

5 Homeowners want to participate
4 Homeowners are submitted on application

3 Homeowners are eligible and funded

1 Homeowner “Withdraws”
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Takeaways

• Time and complexity – Set expectations within communities

• FEMA determines *Eligibility*, not the State. The State’s goal is to help you submit as many eligible projects as possible.

• Just because you submit an LOI that does not mean it is awarded

This is YOUR project. Stay engaged and connected to the State and Homeowners
Questions?
Contact Information

Jason Pleasant - jason.pleasant@ncdps.gov

Portia Baldwin - portia.baldwin@ncdps.gov

Kaine Riggan - kaine.riggan@ncdps.gov

Jen Lewis - jennifer.lewis@ncdps.gov
LUNCH
Subrecipient Management Costs

Steve McGugan, Assistant Director
Hazard Mitigation Grant Program

Purpose

This presentation is being provided to outline the new rules and guidelines for processing and reimbursing subrecipient management costs. It is imperative that all sub-recipients must follow these updated guidelines in order to receive management cost funded for all Disaster and Non-Disaster Grants declared after October 5, 2018.

This presentation will also provide guidance for counties/communities that opt-out of State Centric program, in order to prevent ineligible construction and/or project costs being built into your project budgets.
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Agenda

❑ Federal Policy
❑ Management Costs
❑ Eligible Activities
❑ Disbursements
❑ Compliance
❑ Project Costs
❑ Key Takeaways
❑ Questions / Guidance
# Definitions

**Recipients** - The State of North Carolina

**Subrecipients** - Local governments, state agencies, non-federal tribes and private non-profits.

**Management Costs** - Any indirect cost, any direct administrative cost, and any other administrative expense associated with a specific project under a Disaster or Non-Disaster Grant.

**Administrative Costs** - Expenses incurred by a subrecipient in managing and administering the federal award to ensure that requirements are met.

**Indirect Costs** - Sometimes called “Overhead”
- Depreciation or use allowances on buildings and equipment
- Costs of operating and maintaining facilities
- Personnel and accounting administration

**Project Management Costs** - Any activities that are directly related to a project.
- Architectural
- Engineering
- Design Services

**Construction Management Costs (previous called Project Management)** - Activities that a Contractor may charge to manage, coordinate and supervise the construction process from project scoping to project completion.

**Period of Performance (POP)** - For HMGP begins with the opening of the application period and ends no later than 36 months from the close of the application period.
• On October 5, 2018, the President signed the Disaster Recovery Reform Act (DRRA) of 2018 into law. Section 1215 of the DRRA amended Section 324 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act). The DRRA defines Management Costs as an expense associated with managing specific projects under a Disaster or Non-Disaster Grant.

• Section 324(b) of the DRRA establishes the HMGP management cost as follows: Recipients will be reimbursed not more than 15% of the total amount of the HMGP award, of which not more than 10% may be used by the recipient and 5% by the subrecipient.

• FEMA issued an interim policy implementing this amendment HMGP Management Costs (Interim Policy) #104-11-1 signed on November 14, 2018.

Note: Key takeaway here - The way you are used to seeing Project Management in previous disasters PRE DR-4364 (Rockingham Tornadoes 2017) has changed.
What are Management Costs?

- Management Costs are:
  - Indirect costs
  - Direct administrative costs
  - Any other administrative expense associated with a specific project under a major disaster or Non-Disaster Award
  - Limited to costs incurred for **administering** the FEMA mitigation grant rather than **implementing** the proposed project

- FEMA provides funding at 100% and does not require a non-federal match

- Subrecipient’s amount of funds to manage awards are finalized at the 12 months lock-in (Disaster Grant) or at application submission (Non-Disaster Grant)

- Subrecipients may receive reimbursement of eligible Management Costs they **incur** while administering their subgrant, up to 5% of the total subgrant amount. The 5% cap is applied to the total subgrant project cost, including federal and non-federal cost shares.

**Note:** Key takeaway here - Management costs are for ADMINISTERING the grant, not implementing the project/project execution.
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**HMGP Management Cost Calculation**

- **75% Federal Share = $1.5M**
- **25% Non-federal Share = $500,000**
- **Total = $2M**

- **10% Recipient Share = $200,000**
- **5% Subrecipients Share = $100,000**
- **15% Total MC = $300,000**

**Note:** The Subrecipients Management Costs Share is 5% of eligible costs for each awarded project.
**Eligible Subrecipient Management Cost Activities**

- Personnel (time, effort, pay and activities)
- Fringe Benefits
- Travel (number of trips, mileage, etc.)
- Equipment (depreciable items)
- Supplies (expendable items)
- Contractual Services (not activities)
- Indirect Costs (pre-determined rate for rent, utilities, etc.)

*(Activities related to administering the grant itself, not the proposed project)*

**Eligible Subrecipient Management Costs Indirect Costs**

Sometimes called “Overhead”

- Depreciation or use allowances on buildings and equipment
- Costs of operating and maintaining facilities
- General administration and general expenses
- Personnel and accounting administration
- Must be claimed as management costs, cannot be claimed as project costs

**Note:** Staff time can be eligible for Management Costs if the staff is undertaking activities related to the receipt and administration of HMGP funding. Staff (time, effort, pay rate and activities) must be properly recorded to be eligible for reimbursement.
Administrative costs are expenses incurred by a subrecipient in managing and administering the federal award to ensure that requirements are met. Below are examples of eligible activities.

- Developing and submitting project applications
- Preparing and submitting required subaward reports
- Preparing and submitting reimbursement requests
- Corresponding or meeting with NCEM / FEMA (technical assistance or site visits)
- Facilitating and complying with States Subrecipient monitoring efforts and requirements
- Preparing, reviewing, and/or executing contracts and amendments for purposes of securing the subaward
- Conducting compliance activities associated with Federal Procurement requirements
- Documentation of the quality of work verification for quarterly reports and closeout of claims
- Closing out the subgrant (within the approved Period of Performance)
### Who is Eligible to Receive Management Costs?

<table>
<thead>
<tr>
<th>Recipients</th>
<th>Subrecipients</th>
</tr>
</thead>
<tbody>
<tr>
<td>- States, territories, and federally-recognized tribes</td>
<td>- Local governments, state agencies, non-federal tribes, and private non-profits</td>
</tr>
<tr>
<td>- A maximum of 10% of the total HMGP grant award can be used as Management Costs by the recipient</td>
<td>- Awarded at not more than 5% of the total amount of subaward</td>
</tr>
<tr>
<td>- FEMA provides Management Cost funds to the recipient who must offer to subrecipients</td>
<td>- Subrecipients apply for Management Costs through the recipient</td>
</tr>
<tr>
<td></td>
<td>- Recipients will reimburse funds to subrecipient for documented actual costs</td>
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<td></td>
<td>- Administrative costs supporting sub-application development may be retroactive</td>
</tr>
</tbody>
</table>
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How are Management Costs Obligated?

- Management cost awards will be provided in increments sufficient to cover documented eligible management costs for no more than one year unless contractual agreements require additional funding
- The table below explains how obligations will be handled by the size of the total subaward (federal share and required non-federal share)

<table>
<thead>
<tr>
<th>Total Award Amount</th>
<th>Obligation Timeframe</th>
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</table>
| Over $1 Million    | • Subrecipient MC for subawards >$1M (MC ≥ $50,000) follows **Strategic Fund Management (SFM)** process. May/may not be obligated on an annual obligation schedule  
• FEMA reviews budget and work schedule to ensure incremental obligation based on established project milestones through completion |
| $500,000 to $1 Million | • Subrecipient MC for subawards between $500k - $1M (or MC between $25K and $50K) will be obligated by FEMA in increments sufficient to cover recipient and subrecipient needs for no more than 1 year unless contractual funding is needed  
• Increment amounts based on applicant budget and schedule |
| Under $500,000     | • Subrecipient MC for subawards under $500K (MC <$25K) can be fully obligated at award except for closeout withholding |
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Award Adjustments & De-obligation of Management Costs

FEMA will reimburse management costs based upon actual costs, with 100% federal funding up to 5% of the HMGP total award amount for Subrecipients. Regardless of when subawards are obligated, if the total amount of the grant award is adjusted for any reason, FEMA will de-obligate management costs that exceed the 5% cap for subrecipients based on updated calculations. The State will reconcile subrecipient management costs against actual costs of the total award on a quarterly basis. See examples below.

<table>
<thead>
<tr>
<th>Initial Project Cost</th>
<th>Adjusted Project Cost</th>
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</thead>
<tbody>
<tr>
<td>The subrecipient submits a project application with a budget of $600,000, the subrecipient can apply for up to $30,000 in Management Costs (5% of $600,000). If the subrecipient is awarded $30,000 for Management Costs, the initial obligation amount is the amount needed for the first year of the project, and then an additional amount will be obligated annually each subsequent year based on need until the $30,000 is reached.</td>
<td>If the project application is later adjusted to say $400,000, the subrecipient’s Management Costs subaward would be reduced accordingly (equal to or less than $20,000, 5% of $400,000). In this example, FEMA could fully obligate the Management Costs subaward because it would be below the threshold of $25,000 and no longer subject to incremental funding. The additional amount obligated would depend on the amount previously obligated and the total amount obligated could not exceed 5% of the project award</td>
</tr>
</tbody>
</table>
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State Responsibilities-Subrecipient Management Costs

**Pre-Award**
- Inform subrecipients of Management Costs available for each project award (up to 5%)
- Track subrecipient acceptance/denial of Management Costs
- Apply for Management Costs to FEMA on behalf of subrecipient

**Award**
- Determine/document submission requirements for paying SRMC
- Reimburse subrecipient Management Costs (up to 5% CAP)
- Monitor and track expenses to ensure appropriate use of subrecipient funds
- Keep full documentation on file for monitoring/audit purposes

**Closeout**
- Work with subrecipient to audit records and collect missing documents
- Balance financials and update in EMGrants
- Conduct a site visit
- Archive project records
Subrecipient Responsibilities - Management Costs

Pre-Award

- Apply for (request) Management Costs (Non-Disaster submission). HM will do this for subrecipient for a Disaster grant.
- Develop Management Costs narrative and budget included with their HMGP application. May apply for no more than 5% of their total subaward amount for management costs.

Award

- In cases of multiple projects and/or disasters with awarded Management Costs, keep a careful financial tracking system to avoid duplication.
- Make sure costs are properly categorized as Management Costs.
- Include receipts/invoices when submitting reimbursement requests.

Closeout

- Determine final amount of Management Costs by reviewing final project cost (account for approved overrun or underruns) and actual Management Costs expenditures.
- Confirm there is no double-counting of costs between projects and between disasters.
- Retain records for at least three years after last fund disbursement or close-out.
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**Compliance**

**Monthly Progress Reports**

- Management Costs may be withheld by the State if the subrecipients fail to submit monthly progress reports on time and 100% accurate as of the reporting date.
- The State will reimburse up to 90% of planned Management Costs for a project incrementally.
- The final 10% of eligible Management Costs expenses will be withheld until the final/closeout progress and cost reports are submitted to ensure reimbursements don’t exceed 5% of actual project expenditures thus triggering a de-obligation action.

**Management Costs Schedule**

- The State monitors the subrecipient’s Management Costs using progress and cost reports submitted monthly or as needed/requested.
- If Subrecipient Management Cost funds are not fully expended, remaining funds will be de-obligated.
The State and subrecipient are expected to complete the federal award activities and to incur and expend approved funds within the Period of Performance (PoP).

The PoP for HMGP begins with the opening of the application period and ends no later than 36 months after the application period closes.
Eligible Project Cost Activities

- Architectural, engineering, and design services
- Construction management activities that manage, coordinate, and supervise the construction process from project scoping to project completion are project costs

Construction Cost Lines

<table>
<thead>
<tr>
<th>Acquisitions</th>
<th>Elevations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Admin Legal Fees (appraisals, title work, recording fee, surveys and closing)</td>
<td>Cost to Elevate (Construction)</td>
</tr>
<tr>
<td>Land, Structures &amp; Right of Way (cost to purchase property)</td>
<td>Title Work</td>
</tr>
<tr>
<td>Relocation Expenses (URA Funds)</td>
<td>Deed Recording</td>
</tr>
<tr>
<td>Project Inspection Fees (asbestos/lead paint inspection &amp; abatement)</td>
<td>Temporary Relocation</td>
</tr>
<tr>
<td>Demolition &amp; Removal</td>
<td>Pre-Mitigation Survey &amp; Elev. Cert.</td>
</tr>
<tr>
<td>Misc. Construction Management</td>
<td>Termite Inspection</td>
</tr>
<tr>
<td></td>
<td>Engineering &amp; Feasibility (Bid Prep)</td>
</tr>
<tr>
<td></td>
<td>Post-Mitigation Survey &amp; Elev. Cert.</td>
</tr>
<tr>
<td></td>
<td>Asbestos/Lead Paint Insp. &amp; Abatement</td>
</tr>
<tr>
<td></td>
<td>Misc. Construction Management</td>
</tr>
</tbody>
</table>

Note: Any activity directly related to a project is not eligible and cannot be included under management costs
### Hazard Mitigation Grant Program

#### Acquisition Bid Sheet

<table>
<thead>
<tr>
<th>Work Phase</th>
<th>Itemized Work</th>
<th>Itemized Cost</th>
<th>Phase Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Pre-Acquisition Work</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Intake/DOB Calculation</td>
<td></td>
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<tr>
<td>Survey</td>
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<tr>
<td>Appraisal</td>
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<tr>
<td>Title Research</td>
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<tr>
<td>Document Prep</td>
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<tr>
<td><strong>Acquisition</strong></td>
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<tr>
<td>Legal Fee</td>
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<tr>
<td>Home Cost</td>
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</tr>
<tr>
<td>Closing Fees</td>
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</tr>
<tr>
<td><strong>Site Demolition</strong></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Asbestos/Lead Inspection</td>
<td></td>
<td></td>
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<tr>
<td>Asbestos/Lead Remediation</td>
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</tr>
<tr>
<td>Structure Demolition</td>
<td></td>
<td></td>
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<tr>
<td>UST/Other clearance</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Grade/Seed</td>
<td></td>
<td></td>
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</tr>
<tr>
<td><strong>Project Management</strong></td>
<td></td>
<td></td>
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<tr>
<td>Fee</td>
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<tr>
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<tr>
<td><strong>Total Project Time</strong></td>
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</table>
### Hazard Mitigation Grant Program

#### Elevation Bid Sheet

<table>
<thead>
<tr>
<th>Contractor Name</th>
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</thead>
<tbody>
<tr>
<td>Project #</td>
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<tr>
<td>Bid Date</td>
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**Bid Summary**

<table>
<thead>
<tr>
<th>Work Phase</th>
<th>Itemized Work</th>
<th>Itemized Cost</th>
<th>Phase Cost</th>
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<tr>
<td><strong>Pre-Elevation Activities</strong></td>
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<tr>
<td>Pre-Survey</td>
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<tr>
<td>Title Research</td>
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<tr>
<td>Engineering</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Asbestos/Lead Inspection</td>
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</tr>
<tr>
<td>Asbestos/Lead Remediation</td>
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</tr>
<tr>
<td>Temporary Lodging</td>
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<tr>
<td><strong>Construction</strong></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Utility Disconnect/Reconnect</td>
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</tr>
<tr>
<td>Raise/Lower</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Foundation Demo</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Foundation Construction</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Porches/Ramps</td>
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<td></td>
<td></td>
</tr>
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<td><strong>Post Elevation</strong></td>
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</tr>
<tr>
<td>Grade/Seed</td>
<td></td>
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<td></td>
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<tr>
<td>Record Fee</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Project Management</strong></td>
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<tr>
<td>Fee</td>
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<td></td>
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</tr>
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<td><strong>Total Bid:</strong></td>
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<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Project Time</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Subrecipient Management Costs

For any declarations or awards issued on or after October 5, 2018, FEMA HMGP Management Costs (Interim) Policy #104-11-1 requires the following:

As part of the management costs application process, subrecipients must provide a budget and narrative describing their anticipated management costs activities and expenses.

Sub-recipients must provide this budget narrative and request for annual SRMC to HM either after signing their MOA or anytime after notification of award.

Costs Categories include:

- Staff Position(s)
- Hourly/salary wage rate of employees
- Estimated number of hours
- Fringe Benefits- should be included during work over the life of the award
- Contractual Services- should be described and detailed rate specific to the project
Key Takeaways

- Subrecipient Management Costs are based on **ACTUAL** costs with 100% federal funding for up to 5% of the total award amount.

- Regardless of when subawards are obligated, if the total amount of the grant award is adjusted for any reason, FEMA will de-obligate management costs that exceed the 5% cap for subrecipients based on updated calculations.

- MC will be adjusted throughout the grant lifecycle (pre-award to closeout). The State will reconcile Subrecipient Management Costs against **ACTUAL** costs of the total award on a quarterly basis.

- Subrecipients will be reimbursed up to 5% of submitted **ACTUAL** costs expensed. Final adjustments to management costs will be made at closeout when the total award amount is determined based on actual costs to complete the scope of work.

- Any activities directly related to a project are not eligible under management costs. For example, architectural, engineering, and design services are project costs and cannot be included under management costs.

- Similarly, construction management activities that manage, coordinate, and supervise the construction process from project scoping to project completion are construction costs. These activities cannot be included under management costs.

- All management costs and project/construction costs must be submitted for reimbursement with required documentation to the State within 30-days of project completion or by the end of the period of performance date, whichever occurs first. Unspent funds will be de-obligated by FEMA during closeout.

- As soon as a county signs their MOA for management of the grant, or before, HM must receive your planned yearly need of SRMC, so HM can go to FEMA and have that amount loaded into the Payment Management System (PMS).
Questions?
Hazard Mitigation Grant Program

Project Implementation and Reimbursements

Dalton Canter, Project Manager Team Lead
Fred Lewis, Project Manager
Keauna Havvard, Legal Specialist
Agenda

- Project Implementation Process
- How to prepare a Request for Reimbursement (RFR)
- Required Documents for RFRs
- Questions
Hazard Mitigation Grant Program

Award
Property 1
Property 2
Property 3

MOA
MOA#: 4393-0000
County: X
MOA Amount: $123,456

This Memorandum of Agreement is between the County of X and the North Carolina Department of Public Safety, Division of

GA
GA#: 4393-0000
County: X
MOA Amount: $123,456

This Grant Agreement is between the County of X and the North Carolina Department of Public Safety, Division of

County X
Emergency Management
111 Office Street
County X, NC 22222
(123)-456-7890
An MOA is a legal binding agreement between the State of North Carolina and the sub-applicant that allows the State of North Carolina to carry out mitigation projects on behalf of the sub-applicant.
Hazard Mitigation Grant Program

Did the Sub-applicant opt-in or opt-out of the State Centric Program?

Opting in the State Centric Program means the state will:

- Obtain the contractors
- Oversee the project
- Pay invoiced work
- Close-out the project

State Centric Election Form for all North Carolina Sub-Applicants

From: ____________________________
(Insert Sub-Applicant Name Above)

Thru: NCEM HM Section
      NCEM Executive Director

For: Secretary, Department of Public Safety

Reference: Sub-applicant Selection for State Centric Support for Hazard Mitigation Grants DR-4393 (Hurricane Floyd), DR-4412 (Tropical Storm Michael) and DR-4465 (Hurricane Dorian)

OPT-IN Section

As a sub-applicant for one of the named disasters above, we select to participate in the State Centric Model. We request the State to provide all of the contract and payment support to complete the grant we received from FEMA. We will provide local support to our community by appointing a sub-applicant Point of Contact (POC) who will work with the North Carolina Emergency Management Hazard Mitigation Section on a reimbursement basis to assist in coordinating all work in the jurisdiction.

Sub-Applicant POC: ____________________________

OPT-OUT Section

As a sub-applicant for one of the named disasters above, we do not wish to participate in the State Centric model for the Hazard Mitigation Grant Program but choose to self-perform all work required to complete the grant. Attached is our plan and timeline for completing all work as required by the grant within the specified Period of Performance (POP). We certify funds have been set aside to rapidly complete this work and will promptly and monthly request reimbursements to demonstrate work is ongoing. We will provide required documentation and justification for all reimbursements, both project work and management costs. We will promptly sign the HMGF grant agreement upon receipt and adhere to all requirements within the grant agreement, specifically reporting, reimbursement and closeout documentation. If at anytime we fail to meet the requirements of this OPT-OUT selection or the terms of the Grant Agreement (GA), we understand the State may terminate the GA and we will automatically move into the State Centric plan with any penalties incurred due to contracted work being cancelled being paid by us, the sub-applicant, with no means of reimbursement through the HMGF grant.

Sub-Applicant POC: ____________________________

Sub-Applicant Designated Agent: ____________________________ (Printed Name)

Sub-Applicant Designated Agent Signature: ____________________________ DATE ____________________________
Hazard Mitigation Grant Program

State Centric MOA - Documents

• The following documents are needed from the Sub-applicant to prepare the MOA

  • The State Centric Election form
    • Must opt-in or opt-out on the form
    • Must be signed and dated by the Designated Agent or Point of Contact

  • The Designated Agent (DA) form
    • The Primary or Secondary Agent on the DA Form will sign the MOA
    • Must reflect current DA Primary or DA Secondary Agent
A Grant Agreement is a legal binding agreement under FEMA’s Hazard Mitigation Grant Program. The agreement between FEMA and the State of North Carolina allows the state to issue funding to approved sub-recipients to carry out mitigation projects and develop hazard mitigation plans.
HMGP Grant Agreements

If the sub-applicant opts-out of the State Centric Program:

• The sub-recipient will budget and manage the mitigation project from start to finish.

• The subrecipient must provide a business plan outlining the scope of work to be performed, a budget plan, and the capability of completing the work by the period of performance date.
HMGP Grant Agreements

• The following document is needed from the Sub-applicant to prepare the Grant Agreement

  • The Designated Agent (DA) form

    • The Primary or Secondary Agent on the DA Form will sign the MOA

    • Must reflect current DA Primary or DA Secondary Agent
Implementation and Project Management
Kickoff Meetings

State Centric
• Bid Procurement
• Site Visits
• Reimbursement Requests

Non-State Centric
• Progress Reporting/Updates
• Site Visits
• Reimbursement Requests
How to Prepare a Request For Reimbursement (RFR)
Hazard Mitigation Grant Program

Select, Projects - Project Listing
Hazard Mitigation Grant Program

Select the Project

<table>
<thead>
<tr>
<th>Program</th>
<th>Grant Name</th>
<th>Grant #</th>
<th>Applicant</th>
<th>Proj F#</th>
<th>Proj $#</th>
<th>Project Title</th>
<th>Proj...</th>
<th>Eligible Amt</th>
<th>F %</th>
<th>Expended %</th>
<th>Federal Paid Perc</th>
<th>State Paid Perc</th>
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<th>G.</th>
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<tbody>
<tr>
<td>HMGP</td>
<td>Hurricane Flor...</td>
<td>4383</td>
<td>County X</td>
<td>207</td>
<td></td>
<td>HMGP 4383-90...</td>
<td>ACQ</td>
<td>$100,000.00</td>
<td>75%</td>
<td>0%</td>
<td>0%</td>
<td>n/a</td>
<td>Open</td>
<td>J.</td>
</tr>
</tbody>
</table>
Click “Create New Request”
Click “New Reimbursement Request”
Hazard Mitigation Grant Program

Create New Expense

To create a new RFR, you must associate an expense.

Create new Expense
Choose Reimbursement “Type”
Reimbursement Types

For Work Completed, such as an Appraisal, choose “Cost Report”

For Administrative Costs, choose “Subrecipient Management Cost Report”
Hazard Mitigation Grant Program

Complete Invoice Information and Click “Add Project Cost”
Select the Cost Lines for this RFR, then click “Add”
Hazard Mitigation Grant Program

Enter Eligible Expenses

<table>
<thead>
<tr>
<th>Type:</th>
<th>Cost Report</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vendor:</td>
<td>Vendor New 1 (edit)</td>
</tr>
<tr>
<td>Invoice Number:</td>
<td>1234</td>
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<tr>
<td>Effective Date:</td>
<td>Jun 8, 2022</td>
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<tr>
<td>Invoice Paid Date:</td>
<td>Jun 19, 2022</td>
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<td>Total Documented Amount:</td>
<td>$800.00</td>
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Project Cost

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<tr>
<th>Property #1 - 123 Street - Appraisal: Appraisal</th>
<th>Amount Eligible</th>
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</thead>
<tbody>
<tr>
<td>($1,000.00, Balance: $1,000.00)</td>
<td>$800.00</td>
</tr>
</tbody>
</table>

Total: $800.00
Hazard Mitigation Grant Program

Remember to enter any comments that you have in the “Comments” section.
Hazard Mitigation Grant Program

Scroll up to the top and click “Create”
Hazard Mitigation Grant Program

After “Creating” the Expense, Upload Documents by clicking “Add Document” on the bottom of the page.
Hazard Mitigation Grant Program

Click “Back to Reimbursement Request”
After completing all steps and uploading supportive documentation, click “Submit”
Required Documents for Reimbursement Requests
Acquisitions

Signed HUD-1 / Settlement Statement

Proof of Deed of Transfer or Contract of Sales * (draft with Exhibit A Deed Restrictions and covenants)

Appraisal* - Complete document, invoice, cancelled check (front & back)

Survey* - Complete pdf document, invoice, cancelled check (front & back) – (check Appraisal Report Survey may be included)

Written Offer to Purchase* - Executed document

Statement of the Basis of Determination of Just Compensation* - Complete document

Duplication of Benefits Affidavit - Receipts for repairs must be included with completed document
Acquisitions Continued:

Proof of Payment for Total Reimbursement Request – ex. Cancelled check (front & back)

Statement of Voluntary Participation* - Executed document

Title Opinion* - Complete document, invoice, cancelled check (front & back)

*Request for Reimbursements & Supporting Documentation should be submitted upon completion of work/services. Holding RFR’s only slows down the reimbursement process.
Elevations

Survey - Complete pdf document, invoice, cancelled check (front & back)

Engineering Design/ Construction Drawing - Complete pdf document, invoice, cancelled check (front & back)

Proof of Recorded Deed & Restrictions * (draft with Exhibit A Deed Restrictions and covenants)

Proof of Payment for Total Reimbursement Request- ex. Cancelled check (front & back)
Demolitions

Demolitions Contracts - invoice, cancelled check (front & back)

Receipts for Disposal of Materials, invoice, cancelled check (front & back)

Asbestos Inspection Report - invoice, cancelled check (front & back)

Asbestos Abatement - invoice, cancelled check (front & back)

Applicant is responsible for ensuring that their demolition contractor adheres to the work restrictions known as “Best Practices: Acquisition, Demolition, and Debris Removal Stipulations for HMGP Projects,” as part of FEMA Public Assistance and Hazard Mitigation Grant Program eligible activities.
Hazard Mitigation Grant Program

BEST PRACTICES: ACQUISITION, DEMOLITION, AND DEBRIS REMOVAL STIPULATIONS FOR HMGP PROJECTS

North Carolina, Hurricane Florence (2/19/2019)

General Approach to Minimize Impact to Soil:
- Major demolition activities, including placement of vehicles and equipment, must be confined to areas where soils have been previously disturbed as exemplified by surface grading and utility trenching.
- When vehicles or heavy equipment are not in use, they shall be parked on hard or firm surfaces. Paved surfaces, if available within the project site limits, shall be used to the fullest extent possible.
- Vehicles and heavy equipment must operate on hard surfaces to avoid soil compaction and erosion into soft soils. If necessary, use steel mats, access roads, or high traction construction tires (e.g., timber, rubber) when operating on soft soils.
- Wherever possible, use tracked vehicles to reduce soil disturbance and minimize soil compaction.

Activity Specific Guidelines:
- Debris Removal
  - Avoid removal of trees. Instead cut trees to ground level and leave root balls in place. Removal of uprooted trees and woody debris from historic landscapes, historic parks, unplanted ground, and historic districts that do not align with right-of-way requires additional historic review. Removal of standing trees will require consultation with United States Fish and Wildlife Service, NC office.
- Decontaminate
  - Removal of all structure foundation and basement walls to at least one (1) foot below the finished grade of the site. Excavation will be limited to within two (2) feet of the foundation perimeter.
- Septic Systems/Well Drilled
  - Limit excavation to private property: within one (1) foot of the slab/masonry/sidewalk perimeter, and not more than one (1) foot below the depth of the asphalt/concrete to minimize soil disturbance.
- On Lot section/Removal
  - Locate an underground storage tank (UST) (i.e., heating oil tanks) using approved methods, which include using a magnetometer, pools, or GPS system. Tanks are not permitted.
- The Applicant is required to close any abandoned UST by having it cleaned to remove residual materials (hazardous waste) and then backfilled with clean certified fill (e.g., dry sand, gravel, or compost) or digging-up and removing the tank (removing any contaminated soil in the process). The contractor will limit potential soil disturbance that may include using smaller machines with two (2) feet wide buckets.

Septic Tanks

In septic tank decommissioning, the tank shall be documented from the main drain of the house and any waste pumped out by tanker. The old tank is either completely removed or, if left in place, disassembled, several holes punched onto the bottom, and tank filled using clean, non-biodegradable fill (sand, gravel, well) and cut off and filled securely. If removed, the contractor will limit potential soil disturbance and dispose of the old tank in a licensed or permitted waste disposal facility. The hole shall be filled with clean dirt, gravel or other acceptable material. The area must be graded and vegetative cover reestablished.

- Grading associated with these guidelines is not allowed without first addressing the potential for asbestos containing building materials. An asbestos inspection by an NC accredited asbestos inspector and an approved notification form (DRB5-378) will be required prior to any grading or chopping activities.

Land Based Paint:
- The demolition contractor will be responsible for complying with the OSHA Lead and Contamination Standard 1926.62 when demolishing houses damaged by Hurricane Florence.

FEMA reserves the right to conduct unannounced field inspections and observe debris removal activities to verify compliance with this "Best Practices" document. Failure to comply with these stipulations may jeopardize the Applicant’s receipt of federal funding.

FEMA, North Carolina Office of State Archaeology (OSA), State Historic Preservation Office (SHPO), and Tribal Historic Preservation Office (THPO) have agreed that the Applicant is responsible for ensuring that their demolition contractor adheres to these work restrictions known as "Best Practices: Acquisition, Demolition, and Debris Removal Stipulations for HMGP Projects," as part of FEMA Public Assistance and Hazard Mitigation Grant Program eligible activities.

Utility Lines
- Abandoned utility lines (e.g., water, sewer, natural gas) shall be disconnected and capped to meet safety or local code requirements. In cases where there are no above-surface, limited excavation within the utility right-of-way is allowed to cap these service lines.

Cemetery Buffer Zone
- Allow a 25 ft. buffer zone around cemeteries for all demolition projects.

Treatment of Unnaturalized Archeological Sites:
- Archeological Materials/Human Remains
  - If human remains or archeological features (e.g., middens, refuse, storage pits, privies, wells, cisterns) are uncovered during ground disturbance activities, work shall stop immediately in the vicinity of the discovery and all measures taken to avoid or minimize harm to the finds. The applicant will ensure that the archeological discovery is secured in place, access to the sensitive area restricted, and all measures taken to avoid further disturbance. The applicant or contractor will immediately notify the applicant of the discovery, with the applicant contacting the Office of State Archaeology (OSA)/SHPO/THPO and FEMA within 24 hours of the discovery. The documentation will be used by the agencies only for identification purposes and not duplicated or shared among confidential in accordance with 36 CFR 61.31(b). Work in the vicinity of the discovery may not resume until FEMA has completed consultation with OSA/SHPO, THPO, and other consulting parties as necessary—whether the discovery warrants additional examination and how to proceed in accordance with 36 CFR § 61.31(b).

- If human remains are encountered during permitted activities, all work shall stop, and OSA/SHPO/THPO and FEMA contacted immediately. In cases where human remains are determined to be Native American, FEMA shall consult with the appropriate tribal representatives, State Archaeologist and the Executive Director of the North Carolina Commission of Indian Affairs, and THPO. Additionally, FEMA shall follow the guidelines outlined in the ACHP’s Policy Statement Regarding the Treatment of Burial Sites, Human Remains, and Funerary Objects” (February 23, 2007) and any State-specific policies that may be enforced.

Asbestos Abatement Requirements:
- An asbestos survey is required for each property to determine the presence of asbestos prior to conducting a Hazard Mitigation and/or Public Assistance Project.
- Could be financially prudent for sub-grantees to contract all surveys within their area to one contractor. This allows for asbestos-free demolitions.
- Asbestos surveys can only be conducted by North Carolina accredited asbestos inspectors.
- All suspect and non-hazardous asbestos containing building materials (ACBM) must be tested for asbestos content. Any material having laboratory results greater than 1% asbestos is considered asbestos-containing.
- The notification form, DEIS 378, "Asbestos Patriot Application and Notification for Demolition/Removal" is required to be sent to the HHC before renovation/demolition activities begin. This will involve the removal of at least 100 square feet, 260 linear feet, or 30 cubic feet of asbestos containing material. This form is required ten working days before the renovation/demolition activity can begin. Form (one asbestos form) must be completed for each debris removal project.

Asbestos Continued, Other Issues:
- Burning asbestos associated with these guidelines is not allowed without first addressing the potential for asbestos containing building materials. An asbestos inspection by a NC accredited person and an approved notification form (DRB5-378) will be required prior to any burning.
- Subdiving associated with these guidelines is not allowed without first addressing the potential for asbestos containing building materials. An asbestos inspection by a NC accredited person and an approved notification form (DRB5-378) will be required prior to subdving or excavation activities.
Reporting Time for Subrecipient Management Costs

Employee – Name and Title of employee performing task

Hourly Rate – Hourly rate of employee performing task

Property Address – Address of damaged property being worked by employee

Activity worked – Detailed description of work completed by employee

Number of Hours Per Property – Total hours worked on property by employee
Example of document showing breakdown of Subrecipient Management Costs

<table>
<thead>
<tr>
<th>Emigrants #</th>
<th>Street Address</th>
<th>Owner</th>
<th>Closing Date</th>
<th>SUPPORTING TIME &amp; EFFORT DOCUMENTATION FOR STATEMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>5/2/2019</td>
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</table>

**Technical Services - Acquisition**

<table>
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<th>Staff Person</th>
<th>Title</th>
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<th>Hours</th>
<th>Charges</th>
<th>TOTAL CHARGES</th>
<th>PRIOR CHARGES</th>
<th>CHARGES THIS STMT</th>
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<td>10.00</td>
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<td>3.00</td>
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<td>Specialist</td>
<td>$4.00</td>
<td>7.00</td>
<td>$28.00</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Community Development</td>
<td>Specialist</td>
<td>$7.00</td>
<td>5.00</td>
<td>$35.00</td>
<td></td>
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<tr>
<td>Housing Rehabilitation</td>
<td>Demolition Specialist</td>
<td>$9.00</td>
<td>3.00</td>
<td>$27.00</td>
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**TOTAL ACQUISITION SERVICES**

<table>
<thead>
<tr>
<th>Technical Services - Demolition</th>
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</thead>
<tbody>
<tr>
<td>Housing Rehabilitation</td>
</tr>
<tr>
<td>Demolition Specialist</td>
</tr>
</tbody>
</table>

**TOTAL ACQUISITION & DEMOLITION SERVICES**

<table>
<thead>
<tr>
<th>Demolition Specialist</th>
</tr>
</thead>
</table>

**Acquisition Project**

<table>
<thead>
<tr>
<th>Project Management</th>
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<tbody>
<tr>
<td>HMGPR Grant No. 4287</td>
</tr>
<tr>
<td>Statement No.</td>
</tr>
<tr>
<td>Date</td>
</tr>
</tbody>
</table>
Hazard Mitigation Grant Program

Example of how documents need to be submitted through EM Grants

This will improve support times for both NCER approval and Finance distribution of reimbursements. Thank you for your cooperation!
Questions?
BREAK
Hazard Mitigation
Closeout Review

Meg Benedetti, Financial Compliance Supervisor
Hazard Mitigation Grant Program

Agenda

- Acquisition
- Elevation
- Mitigation Reconstruction
- Generators
- Questions
Hazard Mitigation Grant Program

Acquisition Projects

- Contracts for Services
- Documentation of Compliance
- Assurances for Subgrantees
- Preliminary Acquisition Notice
- Title Opinion
- Appraisal Report
- Survey
- Written Offer to Purchase
- Statement of the Basis for Determination of Just Compensation / DOB Affidavit
- Statement of Voluntary Participation
- Signed HUD-1
- Deed of Transfer / Contract of Sale
- Deed Restrictions
- Date of Demolition
- AW-501 / Transmittal / NFIP Compliance
- Withdrawal Letter
Acquisition Documents

LETTER OF COMPLIANCE

✓ States that the sub-grantee followed all local, state, and federal procurement policies
✓ On sub-grantee letterhead
✓ Signed by the signing authority
Hazard Mitigation Grant Program

Acquisition Documents

☑ Signed and Stamped by a Licensed Surveyor
Hazard Mitigation Grant Program

Acquisition Documents

NFIP / AW-501 FORMS

- Filled out by the sub-grantee
- Must be completed for all RL or SRL properties
- CID# is the community id assigned by FEMA can be found at https://www.fema.gov/cis/NC.html
- Repetitive Loss Number can be found in the NFIP database (SHMO has access)
Acquisition Documents

AW-501 TRANSMITTAL

✓ Filled out and signed by the signing authority

✓ Must fill out how many AW-501s were submitted

✓ Only need one Transmittal form per batch of AW-501s submitted
Acquisition Documents

NFIP COMPLIANCE MEMO

- Must be on sub-grantee’s letterhead
- Signed by the signing authority
- Must check how the AW-501 forms were submitted (either emailed or physically mailed)
- Must list all RL/SRL properties
Hazard Mitigation Grant Program

Acquisition Documents

WITHDRAWAL LETTER

- A letter from the homeowner or sub-grantee that states the property is being withdrawn and why
- Must be on applicable letterhead
Acquisition Documents

STATEMENT OF THE BASIS FOR DETERMINATION OF JUST COMPENSATION / DOB AFFIDAVIT

• Signed and dated by the sub-grantee

• If the Just Compensation Document does not have the DOB language, a DOB affidavit must be submitted

• The DOB Affidavit is signed by the homeowner, sub-applicant, and notarized if applicable
STATEMENT OF THE BASIS FOR DETERMINATION OF JUST COMPENSATION / DOB AFFIDAVIT

CITY OF DURHAM HAZARD MITIGATION GRANT PROGRAM (HMGF)
Acquisition - Duplication of Benefits (DOB) Disclosure Form

We, (Name), are voluntary participants in the City of Durham Hazard Mitigation Grant Program's Volunteer Buy-Out Program.

We have read the attached Duplication of Benefits (DOB) fact sheet provided by the Federal Emergency Management Agency (FEMA) and understand that the City of Durham is required to deduct from the purchase price of my property certain types of assistance that we have received if we can prove, with receipts or similar documentation, that the funds were expended on their intended purpose and by the case of US Small Business Administration (SBA) loans, that the loans have not been reversed and that the property has not been repaired or restored to the flood damaged state by us or the City of Durham.

We understand that we have already authorized the State of North Carolina and the City of Durham to review the information provided below with the appropriate funding agencies. We understand that we have received an opportunity to review any discrepancies between the FEMA-provided amount of DOB and the actual amount you have certified. We understand, however, that the FEMA-provided amount will serve as the basis for settlement amount, in the absence of evidence to the contrary.

We certify that we have applied for and/or received the following federal benefits since March 7, 2014:

<table>
<thead>
<tr>
<th>Program Name</th>
<th>Applied For</th>
<th>Received</th>
</tr>
</thead>
<tbody>
<tr>
<td>FEMA Disaster Housing</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Individual and Family Grant (IAGF)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(IG funds for HOUSING REPAIRS ONLY)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hazard Mitigation Funds</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Small Business Administration (SBA)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Loans</td>
<td></td>
<td></td>
</tr>
<tr>
<td>National Flood Insurance Program (NFIP)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Settlements for STRUCTURAL DAMAGES</td>
<td></td>
<td></td>
</tr>
<tr>
<td>DAMAGES ONLY</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Private homeowner's insurance</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

We understand that our failure to fully disclose any benefits which we have received may disqualify us from the city's voluntary buy-out program, and we certify that the above is a full and complete disclosure of our receipt of flood related assistance.

DOB AFFIDAVIT

We understand that DOB is a complex issue, and as such, we understand that we may consult the City of Durham's Flood Recovery Staff for assistance in reviewing this matter, but that we are solely responsible for making decisions regarding our expenditure of the above listed federal funds.

This the 12th day of January, 2019

Owner's Signature: __________________________
Date: __________________________

City of Durham Staff Member or Agent: __________________________
Date: __________________________

NOTE: THIS FORM MUST BE NOTARIZED BY A NOTARY PUBLIC COMMISSIONED IN THE STATE OF NORTH CAROLINA.

STATE OF NORTH CAROLINA
COUNTY OF: Durham

(Notary Public's Name) (Notary Public's Signature)
Notary Public: __________________________
Date: __________________________

My Commission Expires: __________________________

STATE OF NORTH CAROLINA
COUNTY OF: __________________________

(Notary Public's Name) (Notary Public's Signature)
Notary Public: __________________________
Date: __________________________

My Commission Expires: __________________________
Acquisition Documents

STATEMENT OF VOLUNTARY PARTICIPATION

- Signed and dated by homeowner
- Must be signed after the project was awarded; not in the development stage

Statement of Voluntary Participation

This Agreement is made and entered into this 22nd day of September, 2013, by and between City of Durham, hereinafter referred to as "Sub-grantee," by its authorized agent, Sujit Ikka, and [REDACTED], hereinafter referred to as "Seller." The parties agree as follows:

1. Seller affirms that he/she/they are the owner/owners of property located at [REDACTED], Durham, NC, hereinafter referred to as "property."
2. Sub-grantee has notified Seller that the Sub-grantee may wish to purchase property, and, if Seller agrees to sell, Seller must permanently relocate from property.
3. Sub-grantee has notified Seller that it believes the fair market value (FMV) of property, as of September 12, 2013, is $1,372,876.21, as determined by appropriate valuation procedures publicized and implemented by Sub-grantee. The aforementioned FMV of the property is an estimate; a professional appraisal will be ordered at a later date.
4. Sub-grantee has notified Seller that Seller is not required to sell property and Sub-grantee will not use its power of eminent domain for the purpose of this acquisition project to acquire property if Seller chooses not to sell it.
5. Sub-grantee has notified Seller that if Seller agrees to sell property to Sub-grantee, such a transaction is voluntary. Consequently, Seller is not entitled to relocation benefits provided by the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, which are available to property owners who must sell their properties involuntarily.
6. Sub-grantee affirms that it has provided the notifications and explained the information described in the preceding paragraphs, and property identified above is not a part of an intended, planned, or designated project area where all or substantially all of the property within the area is to be acquired within specific time limits.
7. This Agreement shall expire on September 30, 2015, unless Seller has voluntarily sold property to Sub-grantee by that date.

[Signatures and dates redacted]
Hazard Mitigation Grant Program

Acquisition Documents

**SIGNED HUD-1**

- Filled out by attorney and signed by the applicable parties
- If using SARF Funds it must be indicated on form
Hazard Mitigation Grant Program

Acquisition Documents

DEED OF TRANSFER / CONTRACT OF SALE

• Must have stamp on top of first page showing it was filed in the county/town’s records
• Deed Restrictions and the Transfer Deed should be filed together
• Signed and dated by the homeowner and signing authority and notarized
Hazard Mitigation Grant Program

Acquisition Documents

DEED RESTRICTIONS

a. The State will notify the Grantee and any current holder of the property interest in writing and advise them that they have 60 days to correct the violation.

i. If the Grantee or any current holder of the property interest fails to demonstrate a good faith effort to come into compliance with the terms of the grant within the 60-day period, the State shall enforce the terms of the grant by taking any measures it deems appropriate, including but not limited to bringing an action at law or in equity in a court of competent jurisdiction.

ii. FEMA, its representatives, and assigns may enforce the terms of the grant by taking any measures it deems appropriate, including but not limited to 1 or more of the following:

a) Withholding FEMA mitigation awards or assistance from the State or Tribe, and Grantee; and current holder of property interest.

b) Requiring the transfer of title. The Grantee or the current holder of the property interest shall bear the costs of bringing the property back into compliance with the terms of the grant; or

c) Requiring an action at law or in equity in a court of competent jurisdiction against any or all of the following parties to the State, the Tribe, the local community, and their respective successors.

5. Amendment. This agreement may be amended upon signatures of FEMA, the State, and the Grantee only to the extent that such amendment does not affect the fundamental and statutory purposes underlying the agreement.

6. Severability. Should any provision of this grant or the application thereof to any person or circumstance be found to be invalid or unenforceable, the rest and remainders of the provisions of this grant and their application shall not be affected and shall remain valid and enforceable.

IN WITNESS WHEREOF, Bradshaw Volunteer Fire and Rescue Department, Inc. has caused the due execution of this instrument by [signature] [printed name] under authority of its Board of Directors and Mitchell County, North Carolina has caused its Chairman, [signature] [printed name] to execute this instrument on behalf of and under the authority of the Mitchell County Board of Commissioners.
Hazard Mitigation Grant Program

Acquisition Documents

DATE OF DEMOLITION

• Letter or some other type document that gives the exact date of demolition

• Should be within 90 days of the purchase of the property

• If outside the 90-day window, must provide reason why demolition was outside of 90 days
Elevation Documents

• Contracts for Services
• Bids
• Documentation of Compliance
• Pre-Mitigation Elevation Certificate
• Survey
• Feasibility Analysis

• Acknowledgement of Conditions
• Deed Restrictions
• Post-Mitigation Elevation Certificate
• Proof of Flood Insurance
• AW-501 / Transmittal / NFIP Compliance
• Withdrawal Letter
Hazard Mitigation Grant Program

Elevation Documents

**BIDS**

- Must show the bidding process occurred
- If only one bid was acquired, a second bidding process must occur
Hazard Mitigation Grant Program

Elevation Documents

PRE/POST MITIGATION ELEVATION CERTIFICATE

- Must be stamped on page 2
- The Post-Mit elevation must be higher than the Pre-Mit
Hazard Mitigation Grant Program

Elevation Documents

CERTIFICATION OF ENGINEERED FLOOD OPENINGS

• Must be signed and stamped by the surveyor
• Must be signed and stamped by the licensed engineer
• Must have the building address listed
• Must have the vent model and number of vents used
• Usually acquired from the manufacture of the flood vents
Hazard Mitigation Grant Program

Elevation Documents

FEASIBILITY ANALYSIS

• Completed by an engineer
• Must be stamped by a licensed engineer
Hazard Mitigation Grant Program

Elevation Documents

Acknowledgement of Conditions

- Filled out during the application stage of development
- Signed and dated by the homeowner and signing authority and notarized
Hazard Mitigation Grant Program

Elevation Documents

- Must have stamp on top of the first page showing it was filed in the county/town’s records
- Make sure the dates are fully complete at the top of page 1 (mm/dd/yyyy)
- In Section 11 make sure if there is a 20-year agreement renewal, the date for the 20 years is filled out and correct
- Signed by the homeowner and signing authority and notarized

Deed Restrictions

11. These restrictions shall affect and run with the Property and shall exist and be binding upon all parties and all parties claiming under them until **fill in - 20 years from date of Agreement**, and shall thereafter be extended for successive periods of ten (10) years each.
Hazard Mitigation Grant Program

Elevation Documents

CERTIFICATE OF OCCUPANCY

- Must have building address
- Signed and dated by building official
Hazard Mitigation Grant Program

Elevation Documents

PROOF OF FLOOD INSURANCE

• Must be active and up to date as of closeout submission

• Must have up to date flood insurance in perpetuity of the life of the property, as stated in the deed restrictions
Mitigation Reconstruction

- Contracts for Services
- Bids
- Documentation of Compliance
- Pre-Mitigation Elevation Certificate
- Survey
- Engineering Design / Construction Drawings
- Acknowledgement of Conditions
- Deed Restrictions
- Post-Mitigation Elevation Certificate

- Certification of Engineered Flood Openings
- Certificate from Building Official/Design Professional
- Certificate of Occupancy
- Final Inspection Report
- Proof of Flood Insurance
- Tax Card of New Structure
- AW-501 / Transmittal / NFIP Compliance Withdrawal Letter
Mitigation Reconstruction Documents

ENGINEERING DESIGN / CONSTRUCTION DRAWINGS

• Signed and stamped by a licensed engineer
Mitigation Reconstruction Documents

CERTIFICATE FROM BUILDING OFFICIAL/DESIGN PROFESSIONAL & FINAL INSPECTION REPORT

- **Cert from Building Official**: Signed and dated by building official or design professional stating the new structure was constructed to all the most recent North Carolina building codes

- **Final Inspection Report**: Signed, dated, and stamped by inspector after the new structure is complete

- Both are usually fulfilled by the Certificate of Occupancy
Mitigation Reconstruction Documents

- Must have square footage listed of the new structure
- The total square feet of new structure must be within 10% of previous structure

TAX CARD OF NEW STRUCTURE
Hazard Mitigation Grant Program

Generator Documents

- Contracts for Services
- Documentation of Compliance
- Purchase Bid
- Installation Bid
- Bill of Sale
- Post-Test Operational Feasibility Letter
- Maintenance Agreement
- GPS Waypoints
- Withdrawal Letter
Hazard Mitigation Grant Program

Generator Documents

BILL OF SALE

- Invoice of the purchased generator
Hazard Mitigation Grant Program

Generator Documents

POST-TEST OPERATIONAL FEASIBILITY LETTER

• Signed by the installer or applicable party that states that the generator was tested and functional after the installation.

Rockingham County Government
County Manager’s Office

January 10, 2022

State of North Carolina
Department of Public Safety
Division of Emergency Management
4218 Mail Service Center
Raleigh, NC 27699-4218

Re: PF-5161-0001-F Rockingham County Generator Mitigation Grant

To Whom It May Concern:

The subject generator was installed and tested June 21, 2021 and was working prior to closeout.

Sincerely,

[Signature]

Rockingham County Manager
Hazard Mitigation Grant Program

Generator Documents

MAINTENANCE AGREEMENT

• Signed and dated by the sub-grantee stating how the generator will be maintained
Questions?
State Centric

Steven Jackson, Deputy Mitigation Section Chief
Hazard Mitigation Grant Program

Agenda

- Program Description
- Benefits
- Updates
- Questions
North Carolina’s State Centric Pilot Program

What Does It Do?

- It allows the State to serve as the applicant and sub-applicant for HMGP grants for those counties who opt-in to the program.
- It allows the state to manage and pay for contract work to complete all grants awarded and assists the counties by removing the financial and management burden of completing all the work awarded under each grant.
- It speeds up the process for the homeowner needing the assistance.

Pilot Program is approved for 4393-Florence, 4412-Michael and 4465-Dorian.
What Does This Mean for the City/County?

• When FEMA approves an HMGP grant, the State will promptly begin the work required to meet the Scope of Work (SOW) of the grant.

• The State will obtain the contractors, oversee all project work, pay all invoiced work and close out the projects on our sub-recipient’s behalf.

• The State will work with each sub-recipient’s county staff to communicate with grant recipients so they are informed and have predictability when work will be completed on their homes.
Does the city/county still get management costs?

Yes! The State will still provide management costs to sub-recipients for any work your employees do managing the grant and assisting the Hazard Mitigation staff with work in the counties.
Benefits to Opt-In

- The counties/municipalities will not need to budget money to pay contractors and wait for reimbursements.

- The State will do all of the project management reducing project management burdens on limited county staffs.

- The State’s efforts will negate a sub-applicant’s need to contract out for consultants to do the grant’s SOW at a potentially higher cost than the management cost funds awarded under the grant.
State Centric Election Form for all North Carolina Sub-Applicants

From: ____________________________________________________

(Insert Sub-Applicant Name Above)

Thru: NCEM HM Section
NCEM Executive Director

For: Secretary, Department of Public Safety

Reference: Sub-applicant Selection for State Centric Support for Hazard Mitigation Grants DR-4393 (Hurricane Florence), DR-4412 (Tropical Storm Michael) and DR-4465 (Hurricane Dorian)

OPT-IN Section

________ As a sub-applicant for one of the named disasters above, we select to participate in the State Centric Model. We request the State to provide all of the contract and payment support to complete the grant we received from FEMA. We will provide local support to our community by appointing a sub-applicant Point of Contact (POC) who will work with the North Carolina Emergency Management Hazard Mitigation Section on a reimbursement basis to assist in coordinating all work in the jurisdiction.

Sub-Applicant POC:
-----------------------------------------------------------------------------------------------------------------------------

OPT-OUT Section

________ As a sub-applicant for one of the named disasters above, we do not wish to participate in the State Centric Model for the Hazard Mitigation Grant Program but choose to self-perform all work required to complete the grant. Attached is our plan and timeline for completing all work as required by the grant within the specified Period of Performance (POP). We certify funds have been set aside to rapidly complete this work and will promptly and monthly request reimbursements to demonstrate work is ongoing. We will provide required documentation and justification for all reimbursements, both project work and management costs. We will promptly sign the HMGP grant agreement upon receipt and adhere to all requirements within the grant agreement, specifically reporting, reimbursement and closeout documentation. If at any time we fail to meet the requirements of this OPT-OUT selection or the terms of the Grant Agreement (GA), we understand the State may terminate the GA and we will automatically move into the State Centric plan with any penalties incurred due to contracted work being cancelled being paid by us, the sub-applicant, with no means of reimbursement through the HM grant.

Sub-Applicant POC:
Sub-Applicant Designated Agent: ________________________________ (Printed Name)
Sub-Applicant Designated Agent Signature: _____________________________ DATE ____________
Some Constraints

- FEMA has approved the state centric model for DRs 4393 (Florence) / 4412 (Michael) / 4465 (Dorian) ONLY

- 5% Management Cost, if not used by counties, must be de-obligated and not used by the HM Section

- Management Cost will drive the size of the HM Staff and requires right-sizing of staff per management cost awards. Size of staff drives efficiency and completion of work within the Period of Performance (POP) of 36 months
Specific Discussion Points:

**Legal:**
- There will be no change to the liability assumed through grant agreements
- Front loading Memorandums of Understanding and Grant Agreements will allow for more deliberate reviews

**Contractual:**
Contracts with direct support elements can be legally reviewed well in advance of being fully executed

**Local Management Costs:**
Local Management Costs policies and procedures would remain in place. Local governments would remain “the face” of mitigation. Staffs will need to be able to conduct intake and routine homeowner interfacing. Local Management Costs will remain in place to provide this service locally.
### Current Project Status

<table>
<thead>
<tr>
<th>Project Type</th>
<th>Contracted/In Contracting</th>
<th>Waiting on Bids</th>
</tr>
</thead>
<tbody>
<tr>
<td>Generators</td>
<td>5</td>
<td>11</td>
</tr>
<tr>
<td>Elevations</td>
<td>1</td>
<td>3 Posted 6 Working 10 Awaiting Award</td>
</tr>
<tr>
<td>Acquisitions</td>
<td>0</td>
<td>14 Working 10 Awaiting Award</td>
</tr>
</tbody>
</table>
Questions?
North Carolina Emergency Management
Hazard Mitigation Grant Program Workshop
June 16, 2022

Wrap Up and Questions?

Steve McGugan
State Hazard Mitigation Officer

William C. Ray
Director
North Carolina Emergency Management
Hazard Mitigation Grant Program

Presentation Availability

This presentation will be posted and made available on our website.

Go to:

www.ncdps.gov

➢ Emergency Management
➢ Hazard Mitigation
➢ Resources
Hazard Mitigation Grant Program

Contact Information

Steve McGugan – State Hazard Mitigation Officer (steve.mcgugan@ncdps.gov)

Steven Jackson – Deputy Mitigation Chief (steven.jackson@ncdps.gov)

Chris Crew – Planning Supervisor (john.crew@ncdps.gov)

Jason Pleasant – Development Supervisor (jason.pleasant@ncdps.gov)

Kevin Phipps – Implementation Supervisor (kevin.phipps@ncdps.gov)

Jessica Lashbrook – Administrative/Closeout Supervisor (jessica.lashbrook@ncdps.gov)

Meg Benedetti – Financial Compliance Supervisor (meg.benedetti@ncdps.gov)