State of Nebraska
ADMINISTRATIVE PLAN FOR THE
Hazard Mitigation Grant Program

For FEMA 4014-DR-NE and all Prior Disaster
Declarations

Administrative Plan

Nebraska Emergency Management Agency

Al Berndt, Governor’s Authorized Representative

(Supersedes the FEMA 1674-DR-NE Plan, FEMA 1706-DR-NE FEMA 1779-DR-NE Plan
and FEMA 1945-DR-NE Plan)
Definitions

**Activity:** Any mitigation measure, project, or action proposed to reduce risk of future damage, hardship, loss or suffering from disasters. Activities include both plans and projects.

**Activity Completion Date:** The date by which a sub grantee must complete an activity funded under a HMGP grant. Individual sub grant activity completion dates fall under the overall HMGP program grant to the State. The last activity completion date sets the period of performance for the HMGP program grant.

**Activity Completion Timeframe (ACT):** This is the sub grant equivalent of a period of performance. It is the period of time during which the sub grantee is expected to complete activities including plans, and liquidate HMGP program funds. HMGP program guidance limits individual activity completion timeframes to three years.

**Acquisition:** Generally, FEMA funded property acquisition projects consist of a community purchasing flood prone structures from willing sellers and either demolishing the structures or relocating the structures outside of the flood plain. Purchased properties are then maintained for open space purposes for perpetuity in order to restore and or conserve the natural flood plain functions.

**Applicant:** Any State agency, local government, Political subdivision, eligible tribal or native government/organization, or eligible non-profit organization submitting an application for assistance under the Hazard Mitigation Grant Program. An applicant is also referred to as a sub-grantee.

**Application:** The initial request for HMGP funding, as outlined in §206.436 of 44 CFR.

**Application Period:** For disasters declared on or after February 26, 2002, the 12 month period from the date of declaration that the State has to identify activities and submit its applications to FEMA (44 CFR §206.436(d). The application period is important because scope of work changes cannot be made after the application period expires. No new activities or activities that have not been pre-identified and submitted during the application period can be considered after the application period expires. The Regional Administrator may extend the application period by 30-day increments, not to exceed 180 days. The application period does not affect FEMA’s 24-month obligation deadline.

**Cost Overrun:** A cost overrun is an unanticipated increase in the cost of performing the specified objectives of an activity. Guidance on cost overruns can be found at 44 CFR §206.438(b).

**Cost Underrun:** A cost under run is an unanticipated decrease in the cost of performing the specified objectives of an activity. Cost under runs can be used to offset cost overruns for other HMGP activities within the same disaster. Cost under runs cannot be applied to new activities if the application period has expired.

**Duplication of Benefits:** Section 312 of the Stafford Act requires the President, in consultation with the head of each Federal agency administering any program providing financial assistance to persons, business concerns, or other entities suffering losses as a result of a major disaster or emergency, shall assure no such person, business concern, or other entity will receive such assistance with respect to any part of such loss as to which he has received financial assistance under any other program or from insurance or any other source.

**Equipment:** Any tangible, non-expendable, personal property having a useful life of more than one year and an acquisition cost of $5,000 or more per unit.

**FEMA/State Agreement:** A formal legal document stating the understandings, commitments, and binding conditions for assistance applicable as a result of a disaster declared by the President.

**Grant:** An award of financial assistance. The Federal share of HMGP equals 15% of the total cost of disaster assistance outlays.

**Grant application:** Means the request to FEMA for HMGP funding, as outlined in § 206.436, by a State or tribal government that will act as grantee.

**Grantee:** The entity to whom a grant is awarded and which is accountable for expending the funds provided. The Grantee is the entire legal entity, even if only a particular component of the entity is designated in the grant award document. For the purposes of this plan, except as noted in §206.431 of 44 CFR, the State is the grantee.

**Governor’s Authorized Representative (GAR)/Alternate Governor’s Authorized Representative (ALT GAR):** Is appointed by and represents the Governor in all activities related to implementing Public Law 93-288 as amended and in ongoing State
disaster/emergency preparedness, response and hazard mitigation activities defined in the State Emergency Operations Plan (SEOP) and Hazard Mitigation Plans.

**Governor’s Disaster Recovery Task Force (GDRTF):** A team of personnel comprised of appropriate NEMA staff and technical experts from other State, local, tribal, and federal agencies, all with decision making authority or contact with their agency decision makers. The GDRTF is chaired by the SHMO. The purpose of the GDRTF is to review, prioritize, and recommend selection of HMGP projects submitted by eligible applicants. Agency members will also assist with developing and reviewing the State Hazard Mitigation Plan.

**Hazard Mitigation:** Any cost-effective measure that will reduce the potential for damage from a natural disaster event, or any sustained action taken to reduce or eliminate long-term risk to life and property from a disaster.

**Hazard Mitigation Assistant Specialist (HMA Specialist):** The FEMA employee responsible for coordination post-disaster hazard mitigation activities with other government agencies at all levels.

**Hazard Mitigation Plan:** Section 322 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act as amended by §104 of the Disaster Mitigation Act of 2000 requires a State Hazard Mitigation Plan as a condition of receiving disaster assistance funds, excluding assistance provided pursuant to emergency provisions. To obtain Federal assistance each State, local, and tribal government must prepare a hazard mitigation plan with sections that include: a description of the planning process; an assessment of natural hazard risks; a description and analysis of hazard management policies, programs, and capabilities; a list of mitigation goals, objectives, and strategies to reduce or eliminate vulnerability; and a method to implement, monitor, evaluate, maintain, and update the mitigation plan.

**Hazard Mitigation Grant Program (HMGP):** The program authorized under §404 of the Stafford Act, which provides funding for certain mitigation measures identified through the evaluation of hazards conducted under Section 322 of the Disaster Mitigation Act of 2000.

**Hazard Mitigation Survey Team:** The FEMA/State/Local survey team activated following disasters to identify immediate mitigation opportunities and issues to be addressed in the Section 322 Hazard Mitigation Plan.

**In Accordance With (IAW):** An acronym used throughout the document to show compliance to a referenced authority.

**Incident Command System (ICS):** The Management concept that can be used to manage almost any event.

**Local/Tribal Mitigation Plan:** The plan required from local and tribal governments as a condition of receiving a project grant under the Hazard Mitigation Grant Program.

**Local Zoning:** Regulation of land use within its jurisdiction is normally a function of local government. In some cases, the local government may have already adopted land use regulations or zoning prior to a major disaster or emergency. Modification or updating based on current maps and model regulations may be necessary. Some remapping may be required. The existing land use regulation should be adequate to cope with the identified hazards, if properly enforced.

**Management Costs:** Any indirect costs, administrative expenses, and any other expenses not directly chargeable to a specific project that are reasonably incurred by a grantee or sub grantee in administering and managing a PA or HMGP grant award. For HMGP, management cost funding is provided outside of Federal assistance limits defined at 44 CFR §206.432(b).

**National Flood Insurance Reform Act and Disaster Assistance (NFIRDA):** Requires recipients for Federal Disaster Assistance for flood damage to real and or personal property to purchase and maintain flood insurance coverage if they want to remain eligible for federal flood disaster assistance.

**Period of Performance:** For the overall program grant this is the period of time during which the Grantee is expected to complete activities and obligate HMGP program funds. A grantee may not expend FEMA funds after the expiration of the specified period of performance unless that period is extended by FEMA. The grantee has up to 90 days following the expiration of the period of performance to liquidate valid expenditures made in the performance period. For HMGP, the last activity completion date sets the end date for the overall HMGP program grant.

**Pre Identified Activity:** A proposed activity that has been approved by the Grantee and has been forwarded to FEMA to approve should funds become available as a result of withdrawn sub grant applications or reductions in scopes of work. These applications must be prioritized and submitted within the application period and must note that they are to be held in reserve in the event of a reduced scope of work in another activity or a withdrawn activity. Applications for pre-identified activities must be complete, including benefit cost analysis, before they are submitted to FEMA.
Preliminary Damage Assessment (PDA): A survey to determine the magnitude and impact of damage caused by a disaster. The PDA is the basis for estimating total disaster related damage and evaluating the need to request a Presidential disaster declaration. The PDA is generally conducted jointly with FEMA, NEMA, and technical representatives from appropriate State agencies. The team also identifies immediate mitigation opportunities and issues to be addressed.

Program Income: Any gross income received by the sub-grantee directly generated by the grant supported activities or earned as a result of the grant agreement during the grant period. During the grant period is the time between the effective date of award and the ending date (close-out) of the award reflected in the final FEMA financial report.

Project: Any mitigation measure, project, or action proposed to reduce risk of future damage, hardship, loss, or suffering from disasters. The term “project” is used interchangeably with the term “measure.”

Private Non Profit Organizations (PNP): Any non government agency or entity that currently has: 1) an effective ruling from the Internal Revenue Service granting tax exemptions under section 501 (c), (d), or (e) of the Internal Revenue Code of 1954; and 2) Articles of Incorporation and by-laws filed with the State of Nebraska.

Public Utility: An organization formed for a public purpose whose direction and funding is provided by one or more political subdivisions of the State. All electric power facilities in Nebraska are political subdivisions of State or local government.

Regional Administrator (RA): The representative from FEMA Region VII who is responsible for approving the State Hazard Mitigation Plan and the State’s Administrative Plan for implementing the HMGP.

Scope of work: The specific goal, purposes and result of an approved mitigation activity, including the activity objectives, budget, activity completion date, and the period of availability of funds.

Span of control: Span of Control is the "Golden Rule" of ICS, and it determines how many organizational elements can be directly managed by a single individual.

Standard State Hazard Mitigation Plan (SHMP): Must be approved by FEMA in order for States to be eligible to receive Stafford Act assistance, excluding emergency assistance. The Hazard Mitigation Plan required under section 322 of the Stafford Act as a condition of receiving Federal disaster assistance under PL 93-288, as amended. The plan is the basis for the identification of measures to be funded under section 404.HMGP funding is based on fifteen (15) percent of the total estimated eligible Federal disaster assistance. This plan demonstrates the State’s goals, priorities, and commitment to reduce risks from natural hazards and serves as a guide for State and local decision makers as they commit resources to reducing the devastating effects of natural hazards.

State Hazard Mitigation Officer (SHMO): The representative of State government who is the primary point of contact in planning and implementing pre- and post-disaster mitigation programs and activities authorized under the Stafford Act. The State Hazard Mitigation Officer is Sheila Hascall.

State Land Use Regulations: For State-owned properties outside of a local jurisdiction, the responsible State agency adopts and enforces land use regulations. In some cases, these State regulations may serve as model regulations for local governments, which are responsible for regulating land use within corporate limits.

Sub-grant: An award of financial assistance under a grant by the grantee to an eligible sub-grantee. HMGP activities are sub-grants.

Sub-grantee: The government or other legal entity to which a sub-grant is awarded and which is accountable to the grantee for the use of the funds provided. A sub-grantee can be a State agency, local government, private non-profit organization, Indian Tribe or authorized tribal organization, or organization (not Nebraska Native corporations with ownership vested in private individuals) as outlined in Section §206.434 of 44 CFR.

Supplement: Means an amendment to the hazard mitigation application to add or modify one or more mitigation measures.

Void Activity: An activity application that has been submitted by the State to FEMA and is withdrawn before funds are awarded.

Voluntary Acquisition Program: City or county governments make offers to purchase flood plain property on a willing buyer-willing seller basis. If the seller rejects the offer government will not force sale by eminent domain or other measures.

Withdrawn Activity: A sub-grant that has been submitted by the State and awarded funds by FEMA, but is withdrawn by the State and will not be implemented.
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Introduction

Purpose (§206.437(b) (1))

The purpose of this Administrative Plan is to establish the organization, policies and procedures to be used by the Nebraska Emergency Management Agency (NEMA) in administering and managing the Section 404 Hazard Mitigation Grant Program (HMGP) under Section 404 of Public Law 93-288 as amended by the Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1988 (42 U.S.C. et seq) as implemented by 44 CFR Part §206 and the Disaster Mitigation Act of 2000 (DMA 2000) Section 322. This plan explains how the Governor’s Disaster Recovery Task Force (GDRTF) and NEMA interact to provide the Hazard Mitigation Grant Program to the citizens of Nebraska. This plan was designed to support the Hazard Mitigation Grant Program for all current and open disaster.

Authorities and References:

Federal

This Administrative Plan is established under the authority of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended, and Related Authorities:

- The Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288 as well as subsequent amendments
- Title 44 Code of Federal Regulations (CFR), Emergency Management and Assistance
- Executive Order 11988, Floodplain Management
- Executive Order 11990, Protection of Wetlands
- Executive Order 12612, Federalism
- Executive Order 12699, Seismic Safety of Federal and Federally Assisted or Regulated new Building Construction
- Executive Order 12898, Environmental Justice in Minority Populations and Low-Income Populations
- Single Audit Act Amendments of 1996
- National Environmental Policy Act (NEPA), PL 91-190, as amended
- National Endangered Species Act of 1973, as amended
- US Army Corps of Engineers, Clean Water Act, Section 404
- Americans with Disabilities Act (ADA)
- National Historic Preservation Act (NHPA)
- Freedom of Information Act
- 2 CFR 225, (OMB Circular A-87) Cost Principals for State and Local Governments
- OMB Circular A-102, Uniform Administrative Requirements for Grants and Cooperative Agreements
- 2 CFR 215, (OMB Circular A-110) Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations
- OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations
- Assurances submitted with the SF 424, Application for Federal Assistance
- Money and Finance: Treasury Regulations 31 CFR Part §205.6 Funding Techniques
- FEMA/State Agreement
- Statement of Policy Per Memorandum and Letters of Corresponence
- FEMA Mitigation BCA Toolkit
- Hazard Mitigation Assistance Unified Program Guidance 2010 June 1, 2009
  - Nebraska Disasters 1853, 1864, 1878, and 1902
- Hazard Mitigation Assistance Unified Program Guidance 2011 June 1 2010
  - Nebraska disasters 1924, 1945, 4013 & 4014
- State and Local Mitigation Planning How-To Guides (FEMA 386 1 thru 9)
- State Multi-Hazard Mitigation Planning Guidance under Disaster Mitigation Act of 2000
- Blue Book FEMA January 2008
State

State authorities or references are incorporated as follows:

- Reissue Revised Statutes of Nebraska, 1943 (RRS) Section 81-829.31, Sections 81-829.36 to 81-829.75, Nebraska Emergency Management Act.
- State Emergency Operations Plan (SEOP) February 2, 2009 can be found at http://www.nema.ne.gov/index_html?page=content/operations/opp_plan_home.html
- Nebraska Statutes governing the State Floodplain Management Program, RRS 31-1001 to 31-1023
- State of Nebraska Hazard Mitigation Plan, Revised April 25, 2011 can be found at http://www.nema.ne.gov/index_html?page=content/operations/hazmit_plan_home.html
- Local Government Emergency Operating/Contingency Plans

Administrative Plan Implementation

Requirements for the Hazard Mitigation Grant Program (HMGP) Administrative Plan (hereafter called the HMGP Admin Plan) are established under Chapter 44, Code of Federal Regulations §206.437. Under these requirements, the State must submit the Plan to the FEMA Regional Administrator (RA) for approval. This plan provides procedures in which funds made available through the Hazard Mitigation Grant Program (HMGP) will be administered. For each presidential disaster, NEMA will amend this Plan to address specific issues related to that disaster. All Nebraska Communities are eligible to participate in the Hazard Mitigation Grant Program but priority is first given to those communities located in the declared disaster area and communities that participate in the NFIP Program.

Development, Maintenance, Coordination and Implementation

The Plan is implemented after a federal declared disaster where HMGP funds are made available to the state. The plan is used in support of the Nebraska State Response Plan by establishing the procedures for administering the hazard mitigation grant program (HMGP) (Section 404 of the Stafford Act). The State Hazard Mitigation Officer (SHMO), is assigned to Planning Section in the Nebraska Emergency Management Agency (NEMA) of the Nebraska Adjutant Generals Office, has the overall responsibility for the HMGP. The SHMO maintains the HMGP Admin Plan. The plan will be reviewed and updated, as necessary, following each major disaster declaration. Updates, amendments, or plan revisions required to meet current policy guidance or changes in the administration of the HMGP will be made as required. Revisions will be forwarded to the FEMA RA for approval.

This plan covers all disasters through date of publication. At a minimum, NEMA will prepare any updates, amendments, or plan revisions required to meet current policy guidance or changes in administration of the HMGP.
Staffing Requirements and Staff Responsibilities [44 CFR §206.437(b) (3)] [44 CFR §206.437(b) (4) (i)]

NEMA maintains a full time staff of one Planning Specialist/Program Specialist I, working in the capacity of the State Hazard Mitigation Officer (SHMO) under the direct supervision of the Response and Recovery Section’s Unit and Section Supervisor. In the event of a disaster resulting in a significant amount of Hazard Mitigation Grant Program (HMGP) funding available to the state, sufficient staff will be hired, trained and employed through the State Department of Administrative Services (DAS) to manage the program dependent upon the scope of the disaster subject to authorization by the Governor’s Office. The following table is utilized to identify minimum desired staffing requirements dependent upon the total disaster scope and project needs. This table is the basis for a Hazard Mitigation Grant Program (HMGP) project for State Management Costs.

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<thead>
<tr>
<th>Small Disaster (&lt;$1.5 million HMGP funds)</th>
<th>Medium Disaster ($1.5 - $10 Million HMGP funds)</th>
<th>Large Disaster (&gt; $10 Million HMGP funds)</th>
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<td>1 - Planning Specialist/Project Specialist (SHMO)</td>
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<td>1 - Administrative Assistant</td>
<td>1 – Mitigation Specialist</td>
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<td>1 – Staff Assistant</td>
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<td>3 – Administrative Assistants</td>
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<td>1 – Fiscal Technician</td>
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State and Local Government Responsibilities

State Government

Prepare and submit, in accordance with the FEMA/State Agreement and Section 322 of the Stafford Act, a hazard mitigation plan or update to an existing plan;

Review local hazard mitigation plans to determine possible updates, and to identify potential projects;

Appoint a State Hazard Mitigation Officer to serve as the responsible individual for all matters related to the HMGP;

Follow up with State agencies and local governments to ensure that appropriate hazard mitigation actions are taken;

Ensure that the activities, programs and policies of all State agencies related to hazard evaluation, vulnerability, and mitigation are coordinated and contribute to the overall lessening or avoiding of vulnerability to natural hazards;

Serve as the Grantee for all funds under the HMGP;

Determine the priorities for funding;

Have on file an approved administrative plan for the HMGP.

Local Government

Appoint a Local Hazard Mitigation Officer, if appropriate;

Participate on Hazard Mitigation Survey Teams and Interagency Hazard Mitigation Teams, as appropriate.

Review local hazard mitigation plan to identify possible projects for funding, and to determine if an update is needed.

Specific roles and responsibilities for coordinating and implementing the 404 Hazard Mitigation Grant Program is assigned to NEMA staff as follows:
Governor’s Authorized Representative (GAR): The individual selected by the Governor of the state of Nebraska to represent him/her in activities related to the implementation of the Stafford Act. The GAR is empowered to execute on behalf of the State all necessary documents for disaster assistance, including approval of sub-grants.

Alternate Governor’s Authorized Representative (AGAR): The individuals elected by the Governor of the state of Nebraska to be an alternate to the GAR, whom is similarly empowered.

The GAR will:
- Approve project type and priority for each disaster using the Nebraska Hazard Mitigation Strategy and in coordination with the SHMO.
- Recommend projects for FEMA approval.
- Be responsible for verifying that applicant’s project(s) meet all the Federal requirements and are compliant with all applicable laws and regulations.
- Maintain financial records to include availability, obligation, and expenditures of HMGP funds.
- Ensure that the State HMGP is in compliance with the administrative requirements of 44 CFR Parts 13 and 206.
- Ensure both the State and sub grantees are in compliance with the audit requirements of 44 CFR Part 14.
- Process requests for reimbursement of funds based on documentation supplied by applicants.
- Review requests for project cost overruns, and if justified, forward to FEMA with a recommendation.
- Review and forward appeals within sixty days to FEMA, along with supporting documentation, and a recommendation.
- Be responsible for the Section 404 Hazard Mitigation Program (HMGP) and for development and maintenance of this plan.
- As the designated State Disaster Coordinator and in accordance with responsibilities outlined in the State disaster law, appoints State agency representatives to the State Hazard Mitigation Team (SHMT).
- Advises the Governor on the development, implementation and progress of the hazard mitigation program. Oversees the process governing the identification and selection of the Section 404 Hazard Mitigation Grant projects. Serves as the co-chair of the Governor’s Disaster Recovery Task Force.
- Appoints the State Hazard Mitigation Officer (SHMO) to serve as the point of contact for all matters relating to hazard mitigation planning and grant administration and implementation.

State Hazard Mitigation Officer (SHMO): (§ 206.437(b)(2)) The Governor’s Authorized Representative (GAR) designates the SHMO. The SHMO has overall management responsibility for the program and is the state official who is ultimately responsible for ensuring that the state properly implements the Hazard Mitigation Grant Program as authorized under the Presidential Disaster Declaration. The SHMO is the primary point of contact with FEMA, other Federal agencies, and local governments in mitigation planning and implementation of the mitigation programs and activities required under the Stafford Act. The GAR has authorized the SHMO to perform all functions necessary to administer the HMGP including but not limited to: financial requests, project submittals, and amendment requests. In this regard, the SHMO will monitor the activities of the Project Manager and lead the State Hazard Mitigation Team (SHMT).

- Ensure the Administration Plan is updated, outlining how the state will administer the Hazard Mitigation Grant Program.
- Ensure that the Nebraska Hazard Mitigation Strategy is current and identifies potential hazard mitigation projects, as well as establishes priorities among those projects.
- Implement the mitigation strategy for reducing the losses identified through State and local planning efforts. This includes the development of the state methodology for prioritizing and selecting the mitigation measures to be funded.
- Notify potential applicants of the availability of programs (HMGP & PDM) and provide technical assistance and appropriate materials on elements of the programs.
- Assist in preparing project applications, ensure applications are entered in NEMIS, ensure applications are complete and are submitted in a timely fashion to the FEMA Regional Administrator.
- Ensure compliance with laws and regulations in the distribution of financial assistance to eligible sub-grantees by the technical assistance staff.
- Ensure approved projects are monitored.
- Ensure that appropriate state agencies, federal agencies and representation from local agencies are on the State Hazard Mitigation Team and are involved as necessary with the hazard mitigation process.
- Ensure that all funded projects are consistent with the State Mitigation Plan.
- Ensure participation of the appropriate local agencies in the administration and implementation of the Section 404 Hazard Mitigation Grant Program and the development of local Mitigation Plans. Local governments must have a FEMA approved mitigation plan in order to be eligible to receive project funding through the HMGP.
- Coordinate with the GAR on all policy/regulatory issues. Review and make appropriate recommendation to the GAR regarding priority of project type, appeals, cost overruns/under-runs and all other program issues.
- Review and update the State Mitigation Plan and ensure that the planning process includes ongoing coordination with other State agencies, appropriate federal agencies, interested groups, and be integrated to the extent possible with other ongoing State planning efforts as well as other FEMA programs and initiatives.
- Coordinates the development and implementation of this plan and other State Hazard Mitigation plans.
- Coordinates activities of the SHMT to accomplish the program objectives of Sections 404 and 322.
- Serves as the responsible individual for compliance with Section 322 and for Section 404 Hazard Mitigation Grant Program (HMGP) grants management. Coordinates with the Public Assistance Officer. Assists with the implementation of Public Assistance 406 Mitigation program. Coordinating with State and Federal officials to ensure they understand the involvement of the Hazard Mitigation effort in the Public Assistance Program
- Provide technical assistance to local governments in the development of mitigation planning efforts (44 CFR Section 201).
- Identify and notify potential Subgrant applicants as to the availability of the program. This includes publication of information concerning the application process, program eligibility and key deadlines.
- Provides leadership for the involvement of other State agencies and local governments in the plan and grant development process and the subsequent implementation, monitoring and updating of the plan. Advises the Governor’s Disaster Recovery Task Force concerning the HMGP.
- Conducts hazard analyses to identify frequency, magnitude and location of hazard occurrences. Coordinate with appropriate technical agencies. Develops and implements a process for identifying potential hazard mitigation projects and for setting priorities among those projects. Coordinates with the GAR on policy and regulatory issues. Reviews and makes appropriate recommendations to GAR regarding appeals, cost overruns, and other program issues.
- Conducts mitigation training for team members as well as local officials. If necessary to pursue a mitigation objective, may request technical assistance and/or support from Federal Emergency Management Agency (FEMA) and other Federal agencies.
- Implement departmental procedures to monitor the status of approved projects, for processing extension requests and appeals, processing amendments, setting and monitoring activity completion timeframes for Subgrants and for closing out completed projects.
- Monitor sub grantee accounting systems to meet requirements of 44CFR parts 13 & 14.
- Ensure compliance with 44 CFR Part 13 and 206 2 CFR 225, and OMB Circulars A-87, A-102 and A-133, as they relate to the Hazard Mitigation Grant Program.
- Coordinate with the NEMA Fiscal/Budget Officer.
- Conduct site visits to monitor progress and provide technical assistance.
• Review and examine vendor uses to determine adequacy of services and compliance with state and federal rules, regulations and procedures. Perform budget reviews to determine cost/service appropriateness of each item and proper cost of each budget category.
• Examine documents to determine that expenditures are charged against correct appropriation accounts and that expenditures fall within the intent of the appropriation, the law, and are in the form in which the account was established.
• Provide assistance and information in the preparation of quarterly reports.
• Provide instruction to hazard mitigation staff on HMGP Program audit process, including file management and requirements.
• Develop, with assistance from the GDRTF, Nebraska-specific guidance for applicants.
• Gather, reconcile and prepare financial and program data pertaining to budgetary control, state and federal cost reports, personnel services and non-appropriated funds.
• Examine expenditures for propriety and reasonableness.
• Compose correspondence as necessary for areas of responsibility.
• Review current federal and state regulations concerning mitigation programs so as to maintain currency of knowledge and standards, which are necessary to the performance of sub-grantee review.
• Initiates duplication of benefits searches as it relates to acquisition, and elevations associated with the buyout process. Improves the integrity of reporting processes through meetings and various reporting mechanisms, as needed with state local and federal partners.
• Prepares and coordinates the review of appropriate programs, including but not limited to, review of annual reports, quarterly monitoring of work progress, review of quarterly reports received from the sub grantees.
• Provide technical assistance to sub-grantees through site visits, written correspondence and telephonic means.
• Explain to sub-grantees the purpose of and the procedures and obligations involved in a review.
• The SHMO in coordination with the Governor’s Task Force will determine priorities for funding. This determination must be made in conformance with 44 CFR §206.435.

Mitigation Specialist:

The Mitigation Specialist is responsible for program coordination and implementation. In addition to assisting the State Hazard Mitigation Officer in all aspects of mitigation, is a member of the State Hazard Mitigation Team. There will be one Mitigation Specialist for disasters with $1.5 Million in HMGP funds and greater.

• Maintain a computer management system for hazard mitigation activities, products, and the planning initiative. Maintain computer files for grant and sub grant activities, or ensure that the technical support is maintaining such computer files.
• Notify potential applicants of the availability of programs (HMGP & PDM) and provide technical assistance and appropriate handout materials on elements of the programs.
• Provide technical assistance to local governments in the development of mitigation planning efforts.
• Coordinate with State and Federal officials to ensure that they understand the involvement of the Hazard Mitigation effort in the Public Assistance program.
• Provide technical assistance to potential applicants and/or eligible sub grantee in developing and submitting applications and in completing projects.
• Implement departmental procedures to monitor the status of approved projects, for processing extension requests and appeals, processing amendments, and for closing out completed projects.
• Coordinate with the technical support staff in monitoring sub grantee accounting systems to meet requirements of 44CFR parts 13 and 14.
• Coordinate with the NEMA Budget/Fiscal Office.
• Conduct site visits to monitor progress and provide technical assistance.
• Review and examine vendor uses to determine adequacy of services and compliance with state and federal rules, regulations and procedures.
• Perform budget reviews to determine cost/service appropriateness of each item and proper cost of each budget category.
• Examine documents to determine that expenditures are charged against correct appropriation accounts and that expenditures fall within the intent of the appropriation, the law, and are in the form in which the account was established.
• Assist the State Hazard Mitigation Officer in conducting mitigation conferences and/or public meetings.

**Technical Support (Administrative Assistant):**

A technical support staff member would be a member of the SHMT responsible for assisting the State Hazard Mitigation Officer (SHMO) and Mitigation Assistant in all technical aspects of administration of the mitigation program if the disaster is of sufficient size that a specialist is required. There will be at least one administrative assistant and may be more depending on the size of the disaster. When multiple Technical support members are employed, the I.C.S. will be followed regarding span of control. In addition, this is professional work involving program and financial reviews of sub-grantee. Examples of work performed in addition to assisting the SHMO include, but is not limited to:

• Conduct on-site reviews of sub-grantee program operations and activities and financial records and report significant findings.
• Provide training on the Hazard Mitigation Grant Program (HMGP) for mitigation staff, N EMIS training, benefit cost analysis software training and management specific to HMGP projects.
• Conduct a Benefit Cost Analysis (BCA) on hazard mitigation projects.
• Review project proposals and data against FEMA requirements.
• Research Code of Federal Regulations, FEMA policy memos, management of state eligibility and terrorism mitigation projects.
• Provide technical assistance to local governments on the planning requirement of 44 CFR Section 201.
• Provide technical assistance to HMGP applicants and hazard mitigation staff.
• Provide assistance and information in the preparation of quarterly reports.
• Provide instruction to hazard mitigation staff on HMGP Program audit process, including file management and requirements.
• Develop, with assistance from the SHMT, Nebraska-specific guidance for applicants.
• Perform budget reviews to determine cost/service appropriateness of each item and proper cost of each budget category.
• Examine documents to determine that expenditures are charged against correct appropriation accounts and that expenditures fall within the intent of the appropriation, the law, and are in the form in which the account was established.
• Gather, reconcile and prepare financial and program data pertaining to budgetary control, state and federal cost reports, personnel services and non-appropriated funds.
• Examine expenditures for propriety and reasonableness.
• Compose correspondence as necessary for areas of responsibility.
• Review current federal and state regulations concerning mitigation programs so as to maintain currency of knowledge and standards, which are necessary to perform the sub-grantee review.
• Provide technical assistance to sub-grantees through site visits, written correspondence and telephonic means.
• Explain to sub-grantees the purpose of and the procedures and obligations involved in a review.
Fiscal Technician

For larger disasters a Financial Technician(s) will be assigned. The Financial Technician is responsible for assisting the State Hazard Mitigation Officer (SHMO) and Mitigation Assistant in all aspects of the financial administration of the mitigation program and is a member of the SHMT. Examples of work performed in addition to assisting both the SHMO and Mitigation Specialist includes, but is not limited to:

- Perform budget reviews to determine cost/service appropriateness of each item and proper cost of each budget category.
- Examine documents to determine that expenditures are charged against correct appropriation accounts and that expenditures fall within the intent of the appropriation, the law, and are in the form in which the account was established.
- Gather, reconcile and prepare financial and program data pertaining to budgetary control, state and federal cost reports, personnel services and non-appropriated funds.
- Examine expenditures for propriety and reasonableness.
- Provide financial management support to the Hazard Mitigation staff.
- Maintain financial and automated databases necessary to monitor funds to support recovery efforts.
- Informs management of areas of concern as it relates to problems associated with project funding.
- Maintain controls and reporting systems to fully support management decision-making and achieve the objectives of the SHMO.
- Be knowledgeable of 44 CFR Part 13, and OMB Circulars A-87, A-102 and A-133, as they relate to the Hazard Mitigation Grant Program.
- Performs a variety of initiation and monitoring duties.
- Monitors NEMIS as necessary to ensure over-obligation does not occur.
- Initiates duplication of benefits searches as it relates to acquisition, and elevations associated with the buyout process. Improves the integrity of reporting processes through meetings and various reporting mechanisms, as needed with state local and federal partners.
- Prepares and coordinates the review of appropriate programs, including but not limited to, review of annual reports, quarterly monitoring of work progress, review of quarterly reports received from the sub grantees.

Staff Assistant

This employee performs skilled typing and complex clerical work that requires the application of independent judgment. The work involves skilled typing of a variety of materials in final form and responsibility for format, charts and tables. The individual provides secretarial service for one or more individuals. Work involves making independent decisions concerning the procedure or process to be followed and the actions to be taken. Examples of tasks performed include, but are not limited to:

- Supervise and participate in the receipt and processing of correspondence; the preparation coding and typing of personnel, purchasing, supply, and financial and other documents; and the checking and posting of program transactions.
- Organize work and coordinate workflow; establish priorities, set deadlines and review work for adequacy, accuracy, timeliness and conformance with instructions and standard practice.
- Receive visitors and answer calls, ascertain purpose of calls and visits, and furnish information from knowledge of agency policies, rules and procedures.
- Perform a variety of supportive duties, set up and maintain files for the unit, make appointments and arrange travel and accommodations; maintain confidential files.
- Receive, open, log, sort and distribute mail, compose and/or type letters in reply; supervise the dispatch of outgoing mail.
- Compose and type correspondence and inter-office mail.
- Prepare and type a variety of materials that include standardized and statistical reports that involve selection and verification of data and establishment of appropriate format.
- Order supplies, maintain equipment and supply inventory.
- Operate standard office equipment.
State Public Assistance Officer

- Manage Public Assistance (PA) programs.
- Responsible for damage assessment as well as providing technical assistance and guidance to applicants for Public Damage Assistance.
- Support the SHMO in the management and administration of the HMP.
- During major disaster response and recovery operations provide technical assistance to potential HMGP applicants.
- Responsible for following hazard mitigation functions:
  - Assists in determining eligibility of projects and subgrantees.
  - Briefs potential applicants concerning assistance available.

State Hazard Mitigation Team

The State Hazard Mitigation Team (SHMT) is appointed by the GAR. Composition of the team will depend on type and location of disaster as well as scope of recovery required. Determination of staffing requirements and sources of staff necessary for administration of the program will be made during early phases of each disaster by the GAR in coordination with the SHMO. Support staff requirements will also be considered at that time. Therefore organizational information and staffing scheme cannot be provided in advance.

- In response to FEMA 4014-DR-NE and prior disasters, the SHMO is the coordinator for all HMGP activities for these disasters.
- In conformance with Section 322 of the Disaster Mitigation Act of 2000; the State has submitted a standard State Mitigation Plan that conforms with 44 CFR Part 201. The plan was approved by the Federal Emergency Management Agency (FEMA) Region VII on April 25, 2011 and will be in effect for three years from the approval.
- Evaluate hazards, identify strategies, provide technical assistance, coordinate resources and implement measures that will reduce the vulnerability of people and property to damage from hazards.
- Support the coordination of the Section 404 HMGP as follows:
  - Identification and selection of HMGP projects that are consistent with the Section 322 Hazard Mitigation Plan.
  - Make recommendations concerning eligibility, project criteria, procedures and priorities.
  - Individual SHMT agencies will conduct environmental and floodplain management reviews in accordance with agency statutory responsibilities.
  - Individual agencies as required will provide technical assistance to subgrantees.

Governor’s Disaster Recovery Task Force (GDRTF)

The Governor’s Disaster Recovery Task Force (GDRTF) was established by Governor’s Executive Order 94-3, January 19, 1994. The Task Force is composed of multiple State agencies. The SHMO has sole responsibility to administer the HMGP and is a member of the GDRTF. This allows the SHMO to have visibility and best apply the HMGP in concert with fellow state agencies responsible for Grant programs under their authorities. The GDRTF has the ability to assist in providing technical assistance to the SHMO at the SHMO’s request. Functions are as follows:

- Insure disaster relief and recovery operations are efficiently coordinated between all agencies.
- The Task Force will make a detailed examination of all features of State recovery efforts including hazard mitigation grant projects with emphasis on the efficient utilization of the resources made available by the Federal supplementary appropriations.
- DNR and NEMA will jointly co-chair the Task Force.

A list of GDRTF agency members is provided in Appendix A. Other State, federal and local agencies may be asked to participate as the need arises.

State Historic Preservation Office (SHPO)

The SHPO is responsible for:

- Surveying State historic resources
- Providing data on historic sites
- Providing technical assistance
- Ensuring compliance with preservation procedures and processes
- Assists in procuring preservation funding, as available.
Procedures [44 CFR §206.437(b) (4)]

As a result of a local emergency the State is available to assist with PDA’s. Upon a Federal disaster declaration, the State Mitigation Staff will meet, as a minimum, with the affected counties to discuss program availability and determine possible interest in mitigation activities. Native American Tribes, County, Local, Regional Emergency Managers, Natural Resources Districts, Public Power Districts and other entities are provided Mitigation Packets to solicit potential projects from their affected jurisdictions including eligible private non-profit organizations.

Applicants Identification/Notification [44 CFR §206.437(4) (i) and (ii)]

- The NEMA Hazard Mitigation Assistance Program exists in an effort to provide resources and assistance for mitigation activities within the State of Nebraska. The HMGP is one vehicle the State administers in an effort to accomplish successful mitigation activities to strengthen Nebraska’s resistance to hazards. This is a continual effort to identify and provide resources. The procedures below outline various methods that are deployed at time of disaster to notify potential applicant of available funding under the HMGP;

- As part of the request for a presidential declaration the governor will request the Hazard Mitigation Grant Program for the entire state or just the impacted counties. Once a presidential disaster is declared, the SHMO will consult with the GAR/AGAR, State Coordinating Officer, and the Hazard Mitigation Assistance Specialist to identify impacted jurisdictions that may have potential projects as identified during Preliminary Damage Assessments (PDA).

- The State Mitigation Staff will meet, as a minimum, with the affected counties to discuss program availability and determine possible interest in mitigation activities. County, Local, Regional Emergency Managers, Natural Resources Districts, Public Power Districts, Tribes and other entities are provided an information packet to solicit potential projects from their affected jurisdictions including eligible private non-profit organizations.

- The State will be available to participate in public meetings to provide information on the Hazard Mitigation Grant Program and to answer questions.

- Basic information on the HMGP will be disseminated to local governments, private non-profits, and Native American Tribes at the Public Assistance briefings. The SHMO will provide an overview of the program and provide an information packet with contact information. Interested applicants may obtain detailed information or technical assistance upon request.

- This Plan shall serve as a way of notification of availability of funds and project solicitation under disaster declaration FEMA DR-4014-NE and prior. Plan shall be posted on agency website for public availability,

- Hazard mitigation information will be disseminated at Public Assistance Applicants briefings.

- The SHMO will coordinate with the Hazard Mitigation Assistance Specialist (HMA SPECIALIST) in the preparation of a general announcement of the availability of the Section 404 program funding during a public assistance applicant's briefing. The announcement will be designed to create an "awareness" of the program with further detailed information being available upon request.

- The SHMO and NEMA Public Information Officer (PIO) may prepare a press release that describes the HMGP. The objective will be to ensure that potential applicants are provided information on the application process, HMGP eligibility and key deadlines.

- The SHMO will be the point of contact for applicants to obtain additional details relative to the Section 404 program. The SHMO will also be responsible for determining the scope of the Section 404 outreach effort through the media. Additional Section 404 briefings may be announced at that time.

- The SHMO will meet with the HMA SPECIALIST as required during the process to discuss the anticipated range and types of projects under consideration. A detailed program briefing for potential applicants may be scheduled, if appropriate. The briefing will include:
Section 404 program overview
Applicant eligibility
Application process
Project selection
Project management
Available technical assistance

- Notification will be provided by email or letter to the following entities: County, Regional, and Local Emergency Managers, Natural Resources Districts, Public Power Districts, Native American Tribes and other entities who have expressed interest in the program, entities known to have a potential mitigation opportunity, and entities with an approved local mitigation plan meeting the requirements of Section 322.

- The SHMO will conduct workshops (in areas where they may be appropriate) to assist local governments with a better understanding of the HMGP and PDM. The workshops will include a Section 404 Hazard Mitigation Grant Program overview, applicant eligibility, the application process, project selection, project management, and the type of technical assistance that is available. Technical workshops can also be conducted, as needed, to assist an applicant with completing a project application.

- The SHMO will review the State Mitigation Plan for potential project types and stacked applications.

- Full applications will be forwarded to applicants meeting the criteria set by the GDRTF. The full application package will include: an application, eligibility requirements, eligible project types, milestones, assurances, sample forms, sample resolutions, and key deadlines.

- The State must submit all HMGP project applications and funding requests to FEMA within 12 months of the date of the disaster declaration. The State may request the Regional Administrator to extend the application time limit by 30 to 90 day increments, not to exceed a total of 180 days. The State must submit justification with written request for an extension on the application submission time limit. Per 44 CFR Part §206.436; FY2010 HMA Unified Guidance Part VII A.6 (page 52) and FY2011 HMA Unified Guidance Part VII A.6 (page 53).

As part of the full application, Local governments, private non-profit, and Native American Tribes will be required to submit a completed SF 424 Application for Federal Assistance, SF 424D Assurances for Construction Programs/424B Assurances for Non Construction Programs (if appropriate), identification of the source, items, and value of items or resources that will be used for the non-federal match (i.e. in-kind) as identified in the scope of work, budget, program assurances, measurable milestones, designation of an authorized agent, a maintenance agreement, Federal tax number and a copy of an Internal Revenue Service (IRS) ruling letter (the tax exempt certificate) or State Certification, under State Law, of nonprofit status, articles of incorporation (if applicable), grant agreement articles, completed and Environmental and Historical Review Information, property site information (if applicable), and Cost/Benefit Questionnaires.

Application Procedures 44 CFR §206.436

- Upon notification of available funding eligible applicants will contact the SHMO to develop eligible applications. This will help the State in determining the types of projects being requested.

Projects may be submitted only by those political subdivisions, State agencies, and local governments who have an approved hazard mitigation plan. The exception, are applications being submitted for the 7% Planning Funds to develop a plan. See Eligible Activities. The applicants will need to submit their completed applications by the deadline established by the State. In turn the State has one year from the date of the approved disaster declaration to submit those applications receiving favorable consideration by the Governor’s Disaster Recovery Task Force. The application period is important because scope of work changes cannot be made after the application period expires. The Regional Administrator (RA) may extend the application period by 30-90 day increments, not to exceed 180 days.
Information required for each measure shall include the following:

- Name of Subgrantee,
- State or Local contact person for the measure,
- Location for the project, with the latitude and longitude of the potential project site,
- Detailed description of the measure,
- Line item cost estimate for the project,
  - Completed Project applications must be returned to NEMA within the application deadline for prioritization and include a benefit cost analysis reflecting a benefit cost ratio of 1:0 or greater. BCA’s must include supporting documentation of both costs and benefits.

- Completed applications must be returned to NEMA within the application deadline for prioritization. State mitigation staff reviews the applications for completeness and determines the benefit cost ratio (BCR) utilizing FEMA’s Benefit Cost Analysis (BCA) Module obtainable from FEMA’s BCA toolkit for technical assistance in developing BCA’s you may contact the SHMO or the BCA Helpline. The BCA Technical Assistance Helpline can be reached from 9 am - 5 pm (ET) Monday through Friday via a toll-free number: 1-866-222-3580 or e-mail: bchelpline@dhs.gov. Or visit http://www.fema.gov/government/grant/bca.shtm.
  - NEMA will only consider applications from Applicants and subapplicants that use a FEMA-approved methodology to conduct the BCA. Using FEMA-approved software will ensure that all calculations are prepared in accordance with OMB Circular A-94 and FEMA-standardized methodologies. FEMA provides software (BCA Version 4), written materials, and training that facilitate the process of preparing a BCA. BCA Version 4 is the only FEMA-provided software that may be used to conduct a BCA. BCA Version 4 is available from the appropriate FEMA Regional Office or from the BCA Technical Assistance Helpline http://www.bchelpline.com/
  - A non-FEMA BCA methodology may be used only when it addresses a non-correctable flaw in the FEMA-approved BCA methodologies or proposes a new approach that is unavailable using FEMA BCA software. Non-FEMA BCA methodologies may be utilized only if FEMA approves the methodology prior to submission of the application to FEMA. The Applicant/sub-applicant must verify that FEMA has reviewed and approved the alternative BCA software or methodology by providing an e-mail or letter signed and dated by FEMA.

- Mitigation projects must be cost effective to be eligible for HMA funding as demonstrated by a FEMA-validated BCA. A BCA evaluates the future benefits (projected losses avoided) of the project in relation to the project costs. This evaluation results in a Benefit-Cost Ratio (BCR). If the future benefits are equal to or greater than the cost, then the BCR is equal to or greater than 1.0 and a proposed activity is considered cost effective. If the benefits are less than the cost, then the BCR is less than 1.0 and the proposed activity is not considered cost effective. Only project sub-applications with a BCR of 1.0 or greater will be considered for HMA funding. For purposes of performing the BCA, the total cost must include annual maintenance costs for the proposed mitigation activity even though maintenance costs are not eligible project costs.

- Work schedule/milestones and associated activity completion dates for each project activity,
- Justification for selection,
- Alternatives considered and documented,
- Environmental information consistent with 44 CFR Part 9, Flood Management and Protection of Wetlands, and 44 CFR Part 10, Environmental Considerations; and
- Appropriate certification that matching funds will be made available.

The State will complete the application for Federal Assistance Form SF 424 (Appendix D, Attachment 2).

The Construction Programs Assurances Standard Form 424D (4-88) will be completed by the applicant’s representative at the request of the State after the project has been approved by FEMA. (See Appendix C, Attachment 2).
Applicants will be responsible to secure all necessary approvals, clearances, etc., prior to the beginning of work. This would include Corps of Engineers 404 permits, State Historical Society clearances, etc.

Determining Applicant Eligibility [44 CFR §206.437(b) (4) (iii)]

The following are eligible to apply for Hazard Mitigation Grant Program (HMGP) funding: State agencies, Local Governments, Political subdivisions, Private non-profit organizations or institutions that own or operate a private non-profit facility as defined in 44 C FR §206.221(e); and Indian tribes or authorized tribal organizations.

Private non-profit facility means any private non-profit educational, utility, emergency medical, or custodial care facility, including a facility for individuals who are elderly or disabled, and other facility providing essential governmental services to the general public, and such facilities on Indian reservations, according to CFR §206.221 (e).

Each nonprofit applicant must provide either:

- An effective ruling letter from the U.S. Internal Revenue Service granting tax exemption under Section 501 (c), (d), or (e) of the Internal Revenue Code of 1954, as amended; or
- State certification, under State law, of nonprofit status.

Native American Indian tribes or authorized tribal organizations shall provide appropriate tribal identification number or other proof of eligibility.

Nebraska Emergency Management will contact each of the 4 Native American Tribes to inform them of potential projects in their area. Also the state will contact the local emergency management coordinator within the reservation, Bureau of Indian Affairs and each of the four Native American Tribes located in Nebraska to be included in the process. The State Hazard Mitigation Team meetings are used to coordinate projects of other State Agencies.

Project Eligibility [44 CFR §206.434(c)]

For project eligibility under the HMGP, the following criteria must be met:

- During disaster recovery operations, efforts will be made to inform other potential applicants of the grant program. The HMGP can not be used to duplicate the programs of other Federal agencies, except under unusual circumstances (44 CFR Part §206.434 (g). The SHMO with the assistance of the SHMT will initiate a notification program to insure all potential subgrantees receive HMGP information.

- To be eligible for the Hazard Mitigation Grant Program, a project application must show the project complies with the requirements listed below. Guidance for applicants, checklists, and other information are provided in Appendix B, Attachments Section. Guidance for HMGP Acquisition Projects is listed in Appendix E
  
  - Be in conformance with the State Mitigation Plan and local mitigation plan approved under 44 CFR Part 201.
  - Have a beneficial impact upon the designated disaster area, whether or not located in the designated area.
  - Be in conformance with 44 C FR part 9, Floodplain Management and Protection of Wetlands, and 44 CFR part 10, Environmental Considerations.
  - Solve a problem independently or constitute a functional portion of a solution where there is assurance that the project will be completed. Projects that merely identify or analyze hazards or problems are not eligible. This does not preclude funding a study or analysis, as long as mitigation measure(s) actually result from the study or analysis and are part of the total project. The study and project can be done in phases.
  - Be cost effective and substantially reduce the risk of future damage, hardship, loss, or suffering resulting from a major disaster. The grantee must demonstrate this by documenting that the project:
o Addresses a problem that has been repetitive, or a problem that poses a significant risk to public health and safety if left unsolved.

o Will not cost more than the anticipated value of the reduction in both direct damages and subsequent negative impacts to the area if future disasters were to occur. Both costs and benefits will be computed on a net present value basis.

o Has been determined to be the most practical, effective, and environmentally sound alternative after consideration of a range of options. If possible, applicants should conduct or arrange for environmental and floodplain management reviews.

o Contributes, to the extent practicable, to a long-term solution to the problem it is intended to address.

o Considers long term changes to the areas and entities it protects, and has manageable future maintenance and modification requirements. The maintenance costs may not be included in the cost of the grant application; the applicant shall assure that it can/will provide maintenance, as appropriate, following completion of the project.

o Applicant participates in the NFIP. Federal grants cannot be given for acquisition or construction purposes if the site is located in a designated special flood hazard area which has been identified by the director for at least one year and the community is not participating in the NFIP. However, if a community qualifies for and enters the NFIP during the six month period following the major disaster declaration, a grant application may be considered by the State.

Projects may be of any nature that will result in protection to public or private property. Eligible projects include, but are not limited to:

- Structural hazard control or protection projects;
- Construction activities that will result in protection from hazards;
- Retrofitting of facilities;
- Property acquisition or relocation, as defined in 44 CFR §206-434 (e);
- Development of State or local mitigation standards;
- Development of comprehensive mitigation programs with implementation as a necessary component;
- Development or improvement of warning systems.
- Dead-end Storm Structures
- Replacement of Conductors to T-2 Conductors.
- Overhead to Underground Power Lines

Planning - The State may utilize up to 7% of the HMGP grant to be used to develop State, tribal and/or local mitigation plans, multi-hazard multi-jurisdictional mitigation plans. The plan must be adopted by the participating local jurisdiction(s) and then submitted to FEMA Region V for formal review and approval. Multi-jurisdictional plans are the most desirable plans to be submitted rather than single jurisdictional plans (For further information about the plans see 44 CFR Part 201).

5% Initiative – The State may use up to 5% of the HMGP funding available for projects that are difficult to evaluate under traditional cost effectiveness criteria. These projects must still conform to the State Hazard Mitigation Plan and include a narrative that describes the benefits of the project. These types of projects include but are not limited to:

- Generators for public critical facilities
- NOAA Weather Radios
- Hazard Warning Systems
- Education/Public awareness programs with mitigation as the central feature

(Projects funded through this initiative are determined on a case by case basis by the GDRTF).

- For Presidential major disaster declarations due to tornadoes and high winds, an additional 5 percent of the Grantee’s HMGP ceiling may be used to fund hazard mitigation measures (e.g., warning systems) to address the unique hazards posed by tornadoes.
Environmental/Floodplain Management Review [44 CFR §206.437(b) (4) (IV)]

NEMA staff will coordinate with the State Historical Preservation Office (SHPO), Nebraska Game and Parks commission and the United States Fish and Wildlife to identify any historic and/or environmental concerns for acquisition/demolition or other construction projects. Successful completion of environmental review requires the full participation of all of the HMGP partners, applicants, State and FEMA. Applicants of construction type projects are responsible for all environmental documentation in accordance with the requirements of the National Environmental Policy Act (NEPA) and Executive Orders including Environmental Assessments, if required, and all necessary permits from local, state, and federal agencies.

In support of the National Environmental Policy Act (NEPA) and to expedite FEMA’s environmental review, applicants and the State will take the following roles:

- Consult the appropriate agencies during the planning stages.
- Consider the viable alternatives to the proposed project, particularly when environmental issues or impacts are identified.
- Provide thorough and accurate information regarding details of projects, and environmental issues or resources in the project area.
- Conduct studies that are deemed necessary and appropriate to determine impacts.
- Ensure the applicant informs the public of the proposals and informs FEMA of potentially controversial issues or interested parties.
- Will coordinate floodplain reviews with appropriate agencies.

In addition, the applicant and State will gather and review factual information, resource maps, and comments from relevant environmental agencies and the public that addresses the environment in the project area, to include:

- Previously undisturbed land that may be affected.
- Waterways, floodplains/floodways, potential wetland areas, and water quality.
- Vegetated areas or areas of habitat threatened or endangered species.
- Archeological, historical, or cultural resources.
- Hazardous and toxic materials.
- Other natural areas that may be impacted such as groundwater aquifers, wild or scenic rivers, prime or important farmland.
- Low income and minority populations and socio-economic concerns.


Applicants will be responsible to secure all necessary approvals, clearances, etc., prior to the beginning of work. This would include but not limited to Corps of Engineers 404 permits, State Historical Society clearances, Nebraska Game and Parks Commission, US Fish and Wildlife Services, etc.
Project Priorities and Selection [44 CFR §206.437(b) (4) (v)]

- If it is necessary to select from a range of projects due to funding or other constraints, the GAR/SHMO and the GDRTF will, with the assistance of the NEMA if required by the volume of the applications, evaluate and prioritize all eligible applications. This ranking will be in accordance with the established criteria for funding of projects or better known as the “state priorities”.
- Once complete applications have been received, the GAR determines which projects will be forwarded to FEMA with a recommendation for approval. After the projects are selected at the State level, the State Eligibility Review is completed. This review ensures compliance with minimum project criteria as set forth in 44 CFR §206.434.
- The SHMO will be responsible for verifying that an applicant’s project is complete and eligible prior to submission to FEMA.
- The State will formally submit project applications with a recommendation for funding. The submission letter will certify that the state staff has reviewed the application for completeness and eligibility and the State will recommend a level of NEPA review.
- In order for the State to fully utilize the funds made available under the HMGP for the disaster, the State will submit additional (stacked) proposed HMGP project applications during the open application process that exceeds the established lock-in amount. The additional or stacked projects must meet all the HMGP eligibility requirements and may be funded at a later date should a cost under-run, withdrawal, or denial occur.

- Project Selection
  
  o Priorities ranked as follows:
    ▪ Measures that, if not taken, will have a detrimental impact such as potential loss of life, loss of essential services, damage to critical facilities, or economic hardship;
    ▪ Measures that have the greatest potential impact on reducing future disaster losses;
    ▪ Measures that best fit within an overall plan for development and/or hazard mitigation in the community, disaster area, or State.
    ▪ Priority will be given to those counties declared in the disaster area with all others receiving second priority.

- Governor’s Disaster Recovery Task Force will review HMGP projects before these projects are submitted to FEMA.

- Application Approval Process
  
  o Two copies of the application are submitted to the Nebraska Emergency Management Agency, Attention: State Hazard Mitigation Officer, 1300 Military Road, Lincoln, NE 68508-1090 for review. One copy is kept in a project file with NEMA and the other forwarded to FEMA.
  o After agency review, applications will be sent to the appropriate State agency for environmental and floodplain management review, if necessary. These reviews will be conducted in accordance with agency statutory and technical authorities for environmental and floodplain management.
  o Processed applications will be sent to the Regional administrator of FEMA Region VII for final review.

Project Monitoring/Evaluation and Technical Assistance
[44 CFR §206.437(b) (4) (vii) 44 CFR §206.437(b) (4) (x)]

“The State serving as grantee has primary responsibility for project management and accountability of funds as indicated in 44 CFR part 13. The State is responsible for ensuring that sub-grantees meet all program and administrative requirements.”

Upon notification of project approval, the grantee will notify the sub-grantee with an award letter and will provide the sub-grantee with appropriate information on Section 404 HMGP requirements and State policy and grant management in accordance with 44 CFR 13, as outlined in Appendix C.

Provide sub grantees with technical support to ensure all program and administrative requirements are in accordance with federal and state directives.
Monitor compliance and work progress on projects by conducting meetings, site visits, written correspondence, telephonic means and reviewing quarterly reports.

Funding and Grants Management

The cost share formula is Federal share shall not exceed 75%; a non-federal match of 25% will be provided.

- Non-federal documentation will include, but not limited to: Agency, Authorized Agent, funding type (i.e. cash, i n-kind, e quipment, materials, etc.), funds availability date, and fund commitment resolution or commitment letter.

- During the course of an HMGP operation the:
  - State (grantee) is required to provide quarterly progress reports to the Regional administrator of FEMA Region VII.
  - Applicants (subgrantees) are required to provide quarterly reports to NEMA, indicating the percent complete, status and completion date for each milestone or measure funded, using the provided form found in Appendix C, Attachment 4, within 15 days after the end of the first federal quarter following the initial grant award and must be submitted each quarter thereafter until the project is officially closed.
    - The grantee will then have 15 days to compile data from the subgrantees quarterly report submission (see Appendix D, Attachment 3). The grantee quarterly reports are due to FEMA 30 days after the end of each quarter. Grantee reports may be submitted via e-mail. Subgrantee reports may be submitted to NEMA via email as long as all the necessary signatures have been captured. The quarters follow the federal fiscal year rather than by calendar year.

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- For Disasters up through 1779; any problems or circumstances affecting completion dates, period of performance, scope of work, or project costs which will result in noncompliance with the approved grant conditions shall be described in a letter with adequate justification to FEMA through the State.
- For Disasters 1853 and newer NEMA will be establishing the activity completion timeframes for individual sub grants. NEMA will approve for Activity Completion Timeframe (ACT) extensions, as long as they do not go beyond the established Period of Performance (POP) OF THE GRANT. Timeframe extensions will be noted in the quarterly progress reports. NEMA will ensure that all approved activities are completed by the end of the POP by means of (but not limited to) Quarterly reports and Site Visits. For additional guidance see HMA Unified Guidance FY2010 & FY2011.

The state staff will review proposed project budget and determine items that are eligible project costs.

Spreadsheets will be maintained for each approved project to track appropriate cost share and expenses by line item.

Upon receipt of project approval from FEMA, the State will provide the following to the sub-grantee;

- Award letter from NEMA that includes:
  - Copy of the FEMA approval letter,
  - State/Local Agreement,
  - Funds Authorization

- Dependant on the type of project, additional guidance may be provided such as:
  - Hazard Mitigation Assistance Unified Program Guidance FY2010
  - Hazard Mitigation Assistance Unified Program Guidance FY2011
  - Use of Increased Cost of Compliance (ICC), for flood insured properties,
  - Guidance for demolition of acquired properties,
  - FEMA 386 series – State and Local Mitigation Planning How to Guide,
  - Any other guidance available that assists in the performance of the grant.
Management Costs

For all Major Disaster Declarations on or after November 13, 2007 NEMA is the responsible agency to ensure consistency with and implementation of Section 324 of the Stafford Act and 44 CFR part 207. Management costs are defined as any indirect costs, any administrative expenses and any other expenses not directly chargeable to a specific project that are reasonably incurred by a grantee or sub-grantee in administering and managing an HMGP grant award.

NEMA, as the grantee, has determined that no pass-through of management costs will be provided to the sub-grantees. Direct administrative costs incurred by a sub-grantee that can be identified to a specific project such as inspections, construction oversight, working with homeowners may be included in the project budget.

FEMA determines HMGP management cost lock-ins at the rate of 4.89% of the Federal share of projected eligible program costs under each major disaster declaration. Management cost lock-ins are determined at 30 days, 6 months, and 12 months from date of declaration or after the HMGP overall grant ceiling is established, whichever is later. Management costs will not exceed 20 million dollars for a single declaration except as described in 44 CFR §207.5 (d & e).

Upon notification of the preliminary management costs lock-in amount, NEMA will submit a project narrative to request initial funding, up to 25%, to the Regional Administrator. An interim funding request may be submitted at 6 months to the Regional Administrator when a bona-fide need for an additional 10% (no more than) obligation of funds is justified. Upon notification of the final lock-in amount NEMA must submit a final management cost funding request to the Regional Administrator with all supporting documentation attached.

No later than 120 days after the date of declaration, documentation will be submitted to support costs and activities for which the projected lock-in management cost funding will be used. In extraordinary circumstances, FEMA may approve a request by NEMA to submit support documentation after the 120 days. Documentation will include a description of activities, personnel requirements, and other costs for which NEMA will use management cost funding. Documentation will also include NEMA’s plan for expending and monitoring the funds provided; ensuring sufficient funds are budgeted for grant closeout.

NEMA may justify in writing to the Regional Administrator, any requests to change the amount of the lock-in or the cap, extend the time period before lock-in, or request an interim obligation of funding at the time of the 6-month lock-in adjustment in accordance with 44 CFR §207.5 (d & e).

NEMA has primary responsibility for grants management activities and accountability of funds provided for management costs related to administration of the HMGP as required by 44 CFR, part 13, especially §13.20, §13.22, and §13.36 and will ensure all charges will be properly documented.

For major disaster declarations, NEMA may expend management cost funds for allowable costs for a maximum of 8 years from the date of the major disaster declaration or 180 days after the established performance period for the HMGP, whichever is sooner. The period of availability may be extended only at the written request of NEMA, with the recommendation of the Regional Administrator, and with the approval of the Chief Financial Officer. Extension requests by NEMA must include a justification and demonstrate that there is work in progress that can be completed within the extended period of availability. In no case will an extended period of availability allow more than 180 days after the expiration of any performance period extensions approved under the HMGP for project completion.

Reporting requirements, closeout, audit requirements, and document retention will be in compliance with procedures as outlined in this plan.
Requests for Advance/Reimbursement [44 CFR §206.437(b) (4) (VI)]

NEMA does not entertain Advancements, they are in conflict with the normal claims process since the State has given up assets in anticipation of goods or services being rendered at a later date. Here is the reimbursement process:

A **modified** SF Form 270, Request for Reimbursement will be used internally by NEMA for processing fund requests through the fiscal office.

General principles for processing Requests for Funds are as follows:

- Check supporting documentation (property list, invoices, etc.) for validity and eligibility.
- Check for mathematical accuracy.
- Prepare **modified** SF 270 Form.
- Forward to Fiscal Office for processing.
- Copy all documents to project file.
- Concurrence by SHMO or other authorized HMGP personnel prior to fiscal request for reimbursement of the claims.
- SHMO or other authorized HMGP personnel notifies sub-grantee of reimbursement when processed by fiscal.

Cost Overruns [44 CFR §206.437 (b) (4) (viii)]

Cost overruns are defined as additional funds necessary to complete the Statement of Work as specified in the HMGP application. Immediately upon recognition that the original scope of work approved and funded cannot be accomplished with the grant funds allocated, the grant administrator through the authorized representative of the sub grantee must submit a request for additional funds with the appropriate justification and documents to the SHMO. Upon receipt, the SHMO will review the documents, complete a new BCA and make a determination. If the request is justifiable, the SHMO will forward the request with the State’s recommendation to the FEMA Regional Administrator. If the cost overrun is not justifiable the SHMO will deny the request. In no case will the total amount obligated to the State exceed the funding limits set forth in 44 CFR §206.432(b).

Appeals Process [44 CFR §206.437 (b) (4) (ix)]

All sub-grantee appeals to FEMA decisions will be administered in accordance with 44 CFR §206.440.

All appeals will be processed through the Nebraska of Emergency Management Agency (NEMA). Appeals will contain documentation that justifies the request for reconsideration, monetary figures in dispute, and provisions in Federal law, regulation, or policy with which the applicant believes the initial action was inconsistent. Appeals must be submitted in writing through NEMA to Region VII. All second appeals will be sent through NEMA to the Associate Administrator for Mitigation in Washington D.C.

An appeal must be made within 60 days of the applicant’s receipt of FEMA’s denial decision. NEMA will forward any appeal from the applicant or a sub-grantee with a written recommendation to the Regional Administrator within 60 days of receipt.

NEMA will notify the sub-grantee of the decision in writing.
Administrative Requirements [44CFR 206.437(b) (4) (xi)]

NEMA has primary responsibility for project management and accountability of funds in compliance with 44 C FR, Parts 13 and 206. Sub Grantee Packet in Appendix C outlines the procedures upon which NEMA administers the Grant Program.

Benefit Cost Analysis

Benefit Cost Analysis (BCA) must be completed for all projects excluding “set-aside” initiative projects which will have a narrative that indicates that there is a reasonable expectation that future damage or loss of life or injury will be reduced or prevented by the activity. Only projects with a benefit to cost ratio of at least 1 will meet the minimum eligibility criteria. NEMA will provide documented methodology if the recommended FEMA module is not utilized. Methodology used must be consistent with FEMA models and be approved in advance by FEMA.

Duplication of Benefits

The State hazard mitigation staff will request Duplication of Benefits (DOB) information for each homeowner included in acquisition type projects. A preliminary duplication of benefits request is submitted to FEMA. After additional information and insurance coverage information is available, the State hazard mitigation staff submits an official DOB request.

Submission to FEMA

Upon completion of the benefit cost analysis, SHPO coordination, environmental review, and State eligibility review/certification, projects will be submitted to FEMA Region VII for final review and determination.

Project Implementation

NEMA will notify applicants of the FEMA determination. Applicants are required to develop a local administrative plan as part of their application that includes milestones.

During the project implementation phase, NEMA staff will coordinate closely with project sub-grantees to ensure the project is implemented according to the approved statement of work and in compliance with State and Federal requirements.

Program Income

Sub-grantees are encouraged to earn income to defray program costs. The same guidelines for grantee (State) program income as outlined in 44 CFR §13.25 will be used for sub-grantees funded through the 404 HMGP. Program income may be added to the funds committed to a sub-grantee and will be used for the purpose and under the conditions of the grant agreement, when approved by the State and FEMA.
Closeouts

Subgrant Closeout

- Upon Subgrant completion, the Subgrantee (applicant) shall notify the State in writing that the Subgrant has been completed in compliance with the approved Scope of Work (SOW) and will submit all required documentation. In addition, the State requires that all applicants submit a detailed final close out report. This report shall include, but is not limited to; date of disaster declared, application and grant approval dates, any amendment information as it applies, local match information, timeline of key milestones, all pertinent financial information and a copy of the applicant’s checkbook as it applies to the life of the grant. Additionally, expenditures have been documented and are consistent with the SF-424A or SF-424C and all program income has been deducted from total project costs as specified in the 44 CFR Section §13.25(g)(1).

- The Grantee will review the subgrant closeout package and will ensure that:
  - Each subgrant has been completed in compliance with the approved SOW and timeframe. The Grantee must conduct a site visit or collect photographs for a project subgrant to ensure the approved SOW was completed (Acceptance of photographs in lieu of site visits will be made at the discretion of the SHMO);
  - Each subgrant has been completed in compliance with all environmental or other conditions attached to it;
  - Actual expenditures have been documented as demonstrated by SF-424A and/or C;
  - For projects involving structures, the work was performed in accordance with all required permits and applicable building codes and the subgrantee has provided a letter from and appropriately registered professional engineer or architect to certify the integrity of the structure, as modified or protected by the approved project;
  - For projects involving an insurable facility, the required hazard insurance (e.g., NFIP) has been secured;
  - Geospatial coordinates, in the form of latitude and longitude with an accuracy of +/- 20 meters (64 feet), have been provided for the project.
  - For minor localized flood reduction, hazardous fuels reduction, and soil stabilization projects, an accurate recording of the official acreage, using open file formats geospatial files (i.e., shapefiles), has been submitted. For geocoding resources, see the HMA Unified Guidance FY2010 & FY2011 Part X C.3; and
  - For plans, a final copy of the FEMA-approved and community-adopted plan has been submitted.
  - The SHMO will ensure that all claims and costs were eligible and that work performed was in compliance with the approved project application; that all eligible funds have been paid to the subgrantee; that all work was completed according to FEMA requirements; that all costs were incurred as the result of eligible work; that all work was completed in accordance with provisions of the FEMA-State and State local agreements; that all payments were made according to Federal and State legal and regulatory requirements; that no bills are outstanding; and that no further requests for funding will be made for the project.
  - The SHMO will consult with the state fiscal officer to verify that programmatic and fiscal expenditure reports are consistent
  - For closeout of property acquisition and structure demolition or relocation projects, the Grantee will ensure compliance with 44 CFR Part 80, HMA Unified Guidance FY2010, FY2011 Part IX A.16 and A.18.
  - For closeout of mitigation reconstruction projects, the Grantee will ensure compliance with HMA Unified Guidance FY2010 and FY2011 Part IX D.9.
  - For closeout of Safe Room projects, the Grantee will ensure compliance with closeout requirements noted in HMA Unified Guidance FY2010 and FY2011Part 4 C.4.4

- Grantees should closeout subgrants as activities are completed. As Grantees closeout subgrants, the Grantee will submit de-obligation requests to FEMA as cost underruns are identified.

- After the review is completed a close-out letter will be sent to FEMA Region VII recommending the project be closed. This process must occur within 90 days from the project completion. The subgrantee is required to keep records for at least 3 years from the submission date of its final expenditure report in accordance with 44CFR §13.42 and The State of Nebraska law and procedures.
Grant Closeout

The Grantee has up to 90 days following the expiration of the grant POP to liquidate valid expenditures incurred during the POP. Cost under runs remaining after the POP expiration date must be reported to FEMA for de-obligation. The closeout process for the Grantee involves the following steps:

- The Grantee ensures all sub grants have been closed out; as mentioned in the previous section Subgrant Closeout section;
- The Grantee reconciles/adjusts sub grant costs, ensures that non-Federal share costs are documented, and that all costs submitted are eligible according to the FEMA-approved SOW;
- The Grantee receives and processes cost adjustments or returns unobligated funds to FEMA via SMARTLINK. Final payment is made to the Grantee;
- The Grantee submits a closeout letter to FEMA through the Governor’s Authorized Representative (GAR) or other designated representative with supporting documentation, including:
  - Statement that SOW(s) have been completed as approved and all EHP requirements have been satisfied;
  - Final Program Progress Report,
  - State Final Financial Status Report;
  - SF-270, Request for final reimbursement, if applicable, or request for de-obligation of unused funds, if applicable;
  - FEMA Form 20-18, Report on Government Property, if applicable;
- The Grantee notifies FEMA that the grant is ready for final closeout in accordance with 44 CFR §13.50.

The Grantee maintains the complete grant closeout records file for at least 3 years from the submission date of its single or last expenditure report in accordance with 44 CFR Part §13.42.

Audit Requirements [44 CFR §206.437(b) (4) (xi) and (xii)]

44 CFR 14, Administration of Grants; Audits of State and Local Governments, requires all sub-grantees expending $500,000 or more in a year in Federal assistance to have an audit conducted in accordance with the OMB Circular No. A-133 Audits of States, Local Governments, and Non-Profit Organizations.

- Audit Required. Non-Federal entities that expend $500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of this part.

- Single audit. No-n-Federal entities that expend $500,000 or more in a year in Federal awards shall have a single audit conducted in accordance with 44 CFR §14.2 except when they elect to have a program-specific audit conducted in accordance with paragraph (c) of Subpart B—Audits.

- Uniform audit requirements as set forth in 44 CFR Part 14 apply to all grant assistance provided under this plan. FEMA may elect to conduct a Federal audit on the disaster assistance grant or on any of the subgrants.

- Audit of NEMA and subgrantees will be conducted in accordance with 44 CFR Part 14, (Circular A-133). Audits will be organization wide and may be conducted annually or biannually.

- The audit of NEMA will be conducted by the Nebraska Auditor of Public Accounts. Audits of subgrantees will be conducted as specified in 44 CFR Part 14.

- NEMA will determine whether subgrantees have met the audit requirements by:
  - Maintaining records of all subgrantees provided $500,000 or more in disaster assistance funds.
  - Notifying those named subgrantees, in writing, that certification is required to show either that $500,000 or more was, or was not received by the subgrantee, during the fiscal year of the subgrantee.
NEMA will review, or contract for a review, the audits of subgrantees as they are submitted. Discrepancies involving State and/or FEMA funds will be resolved by NEMA.

- NEMA is required to determine whether the subgrantee spent Federal Assistance Funds in accordance with applicable laws and regulations. This determination will be made by a review of the claims, vouchers and other documentation submitted by the subgrantee to NEMA as well as the review of the audit report.

- Audit reports of NEMA will be provided to FEMA. Reports of subgrantees will be retained at NEMA.

General audit requirements in OMB Circular No. A-133 will be adhered to by NEMA as well as sub-grantees receiving FEMA Hazard Mitigation grant awards.

- The State will ensure that appropriate action be taken within 6 months if there is evidence of noncompliance. The State will provide a letter to FEMA.
- Nebraska Emergency Management Agency will notify the sub grantee by letter of the date and time an audit visit will be held.
- The sub grantee is to provide an area appropriate for viewing project files, invoices, titles, etc., as deemed adequate.

**Quarterly Reports [44 CFR §206.437(b) (4) (xiii)]**

Quarterly reports are required from each sub grantee 15 days after the end of each federal quarter to report financial expenditures, project status (see Appendix C). Quarterly reports will be summarized by NEMA and provided to FEMA no later than 30 days after the end of each federal quarter. A sample copy of the quarterly report is provided in Appendix F.

<table>
<thead>
<tr>
<th>Quarter</th>
<th>Start Date</th>
<th>Due to NEMA</th>
<th>Date</th>
<th>Due to FEMA</th>
<th>Date</th>
</tr>
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<tr>
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<td>January 1 To March 31</td>
<td>Due to NEMA</td>
<td>April 15</td>
<td>Due to FEMA</td>
<td>April 30th</td>
</tr>
<tr>
<td>3rd Quarter</td>
<td>April 1 To June 30</td>
<td>Due to NEMA</td>
<td>July 15</td>
<td>Due to FEMA</td>
<td>July 30th</td>
</tr>
<tr>
<td>4th Quarter</td>
<td>July 1 To September 30</td>
<td>Due to NEMA</td>
<td>October 15</td>
<td>Due to FEMA</td>
<td>October 30th</td>
</tr>
<tr>
<td>1st Quarter</td>
<td>October 1 To December 31</td>
<td>Due to NEMA</td>
<td>January 15</td>
<td>Due to FEMA</td>
<td>January 30th</td>
</tr>
</tbody>
</table>
Appendix A

NEMA Agency Members

Attachment 1 NEMA Agency members (Organization Chart)
Attachment 2 Governors Disaster Recovery Task Force
Core Governor’s Disaster Recovery Task Force (GDRTF)

Agency who support and participate in the activities of the Task Force.

Established by Governor’s Executive Order 94-3, January 19, 1994 the Task Force is composed of the following State agencies:
Nebraska Department of Natural Resources (DNR),
Nebraska Emergency Management Agency (NEMA),
Department of Health and Human Services (DHHS),
Department of Economic Development (DED),
Department of Environmental Quality (DEQ),
Department of Agriculture,
Department of Labor,
Department of Administrative Services,
Nebraska Game and Parks,
Department of Roads and Historical Society.

The Selected Federal agencies also support and participate in the activities of the Task Force.

US Army Corps of Engineers (USACE),
USDA emergency organizations,
US Department of Housing and Urban Development,
National Weather Service,
Environmental Protection Agency
Appendix B

Applicable Applications

Attachment 1 Project Application Hazard Mitigation Grant Program
Attachment 2 Planning Hazard Mitigation Grant Program
FORMS, RECORDS AND RELATED PROCEDURES FOR ALL HAZARD MITIGATION GRANT PROJECTS

- **Attachment 1**, Application for all Hazard Mitigation Grant projects. The form may be reproduced locally and may be requested electronically. To insure Hazard Mitigation Grant project eligibility criteria are met review the following points and fill out as completely as possible.

- **Applicant Checklist** for Hazard Mitigation Grant projects prior to submission to the State.
  - The project conforms to the State Hazard Mitigation Plan required under Section 322.
  - The project benefits the area declared under the declaration, whether or not located within the actual affected area.
  - The project solves a problem independently or constitutes a functional portion of a solution where there is assurance that the project as a whole will be completed.
  - The project solves a repetitive problem or one that poses a significant risk to public health and safety if left unsolved.
  - The project will not cost more than the anticipated value of the reduction in both direct damages and the subsequent negative impacts to the area if future disasters were to occur. Both costs and benefits will be computed on a net value basis. Using a FEMA approved method. BCA Software can be provided upon request.
  - The project is most practical, effective and environmentally sound alternative after consideration of a range of options.
  - The project contributes, to the extent practical, a long-term solution to the problem it is intended to address.
  - The project considers long term changes to the area and entities that it protects, and has manageable future maintenance and modification requirements. (The costs for such may not be included in the cost of the grant application; the applicant shall assure that it can/will provide maintenance, as appropriate following completion of the project.)
  - The project does not require Section 404 funding to substitute for or replace funding that is available under other Federal authorities, such as the Corps of Engineers and/or the USDA Natural Resources Conservation Service except under limited circumstances in which there are extraordinary threats to lives, public health or safety or improved property.
  - The project is in compliance with local and/or multi-jurisdictional all hazards plan.
  - The proposed activity in compliance with applicable local ordinances and standards.
  - The proposed activity is in compliance with state and federal regulations and legislation.
  - Proposed construction activity is in a community that participates in good standing with the NFIP program.
  - Once a Hazard Mitigation Grant Project is approved and citation of funds is received by this agency then the State-Local Contractual Agreement, and the applicable Assurances form(s) are executed.
What is the Hazard Mitigation Grant Program?
Authorized under Section 404 of the Stafford Act, the Hazard Mitigation Grant Program (HMGP) administered by the Federal Emergency Management Agency (FEMA) provides grants to States and local governments to implement long-term mitigation measures after a major disaster declaration. The purpose of the program is to reduce loss of life and property due to natural disasters and to enable mitigation measures to be implemented during the immediate recovery from a disaster.

How much funding is available?
HMGP can provide up to 15% percent which is calculated from the total amount of disaster assistance from both the Public Assistance (PA) and the Individual and Households Program (IHP). Once PA and IHP totals are estimated, FEMA determines the available HMGP funding. This funding can then be broken down into three types of project applications: 1) 7% Planning (does not have to demonstrate cost-effectiveness), 2) 5% Initiative (does not have to demonstrate cost-effectiveness), and 3) Regular (remaining percentage; must demonstrate cost-effectiveness). Examples of these project application types can be found within the administrative plan. All projects are cost shared at 75% federal funding and a 25% local match is required.

Completing the HMGP Application:
This application will enable you to compete in the state-wide competitive “post disaster” Hazard Mitigation Grant Program. This application is designed to capture the necessary information to meet program requirements. You’re encouraged to take your time, read through the questions carefully and provide as much detail as possible. This will enable the process to be the most efficient.

You may obtain an electronic copy of the following application by contacting the State Hazard Mitigation Officer by phone at (402) 471-7217 or by e-mail at sheila.hascall@nebraska.gov.
I. Applicant Information

Date:______  □ New Application . □Revised Application

A. Multi-Hazard Local Mitigation Plan (LMP) Status: Select...
   IF Approved:
   a) Plan Type: Select...
   b) Date of Approval by FEMA: ______
   c) Provide the location in the LMP (Section and Page Number(s)) that demonstrates the
      proposed project is in conformance with the LMP: ______
   d) Describe how the proposed project conforms with the LMP: ______

B. Project Title:______  County or Counties:______

C. Applicant Type: Select... Type of Application: Select...
   Private Non-Profit entities must meet the criteria defined in 44 CFR §206.221(e).
   □ Attach a copy of an Internal Service Revenue (IRS) ruling letter that grants tax exemption under
   Section 501 (c), (d), or (e), or a State certification under State law, of non-profit status.  □ If an
   educational facility, attach a copy of the facility admission policy.
   Recognized Indian Tribe or Organization Tribal Identification Number:______
   □ Attach proof of tribal eligibility

D. Federal Tax ID Number: ……………. ______  DUNS Number: ………______

E. State Legislative District(s) …………… ______  Congressional District(s) ………______

F. Is the Community/Communities in good standing with the National Flood Insurance Program: □
   Yes  □ No

G. Point of Contact:
   □ Mr.  □ Ms.  □ Mrs.  First Name: _____  Last Name: _____
   Title: _____ Organization: _____
   Street Address: _____ City: _____ State: Nebraska  Zip Code: _____
   Telephone: (_____ ) ____- _____  Fax: (_____ ) ____- _____  E-mail Address: _____

H. Alternate Point of Contact:
   □ Mr.  □ Ms.  □ Mrs.  First Name: _____  Last Name: _____
   Title: _____ Organization: _____
   Street Address: _____ City: _____ State: Nebraska  Zip Code: _____
   Telephone: (_____ ) ____- _____  Fax: (_____ ) ____- _____  E-mail Address: _____

I. Estimated Funding:

<table>
<thead>
<tr>
<th>Federal</th>
<th>Non-Federal</th>
<th>Applicant</th>
<th>Other</th>
<th>Total</th>
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<td>%</td>
<td>%</td>
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<td>$_____</td>
<td>$_____</td>
<td>$_____</td>
<td>$_____</td>
</tr>
</tbody>
</table>
II. Detailed Description of the Proposed Project

A. Describe the problem to be mitigated: ____

B. Provide a detailed description of the proposed project: ____

C. Does the project conform to the State and Local mitigation goals and/or plans? ____
   Explain (Cite location in plan(s) to support your answer): ____

D. Will the proposed mitigation measure provide an independent solution to the problem? ____
   Explain: ____

E. How does the proposed mitigation measure address a repetitive problem or a problem that poses a
   significant risk to public health and safety if left unresolved? Explain: ____

F. Discuss the negative impacts on the area if the proposed project is not approved: Explain:

G. Describe damage caused by previous and current disasters and associated costs: ____

H. Hazards to be Mitigated/Level of Protection

   1. Select the type(s) of hazards the proposed project will mitigate:

      - Agricultural
      - Drought
      - Earthquake
      - Flooding
      - Land Subsistence
      - Mud/Landslide
      - Severe Winter Storms
      - Thunderstorms
      - Terrorism
      - Tornado
      - Wildfires

   2. Fill in the number of people and amount of property protected by the project:

      Number of People: ____
      Number of Residential Properties: ____ Value of Residential Properties: $____
      Number of Commercial Properties: ____ Value of Commercial Properties: $____
      Number of Public Properties: ____ Value of Public Properties: $____
                  Value of Public Infrastructure $____

      Total Number of Properties: ____ Total Value of Structures: $____

   3. Provide the level of protection the proposed project will provide the total number of
      properties. (i.e. “23 structures protected against the 100-year (1%) flood” or “1 structure will
      have near absolute protection against 250 mph wind speeds”).

      List data in Flood Levels (10, 25, 50, 100, etc) or wind speeds (mph).

      ____ Structure(s) protected against the _____ year flood
      ____ Structures will have near absolute protection against _____ mph wind speeds

   4. The proposed project will provide protection against the hazard(s) specified above for _____
      years.

      Please explain the methodology used to determine the useful life of the project. (You can
      check the FEMA-standard for most project types which is located on the Mitigation BCA
      Toolkit) ____
II. Detailed Description of the Proposed Project continued

5. Engineered Projects Only (e.g. Bank Stabilization, Small structural projects)

Note: A Letter of Map Revision (LOMR) may be needed on this type of project. Any changes to the Flood Insurance Rate Maps (FIRM) need to be reflected on the flood maps, which is accomplished through the LOMR process. The construction of this project may lower the 100-year flood elevation and thus, possibly lower the flood insurance rates for structures in the project area.

Attach to this page ALL engineering calculations used to determine the above level of protection. List all attachments below.
1. 
2. 
3. 

III. Project Location

A. Site Address: (NOTE: If Acquisition, please use the Property Site Inventory Form)

1. City: _____ State: Nebraska Zip Code: _____ (This must be completed before project closeout)
2. Latitude of project location (decimal degrees): _____ (This must be completed before project closeout)
3. Longitude of project location (decimal degrees): ________ (This must be completed before project closeout)
4. Latitude and Longitude verification: Select... Specify Other: _____ Please specify the following in the Lat/Long comments below:
   For projection, indicate North American Datum (NAD) 83 or World Geodetic System (WGS) 84
   For accuracy, indicate the value in Feet or Meters
   When using street address, exclude P.O. boxes and 911 addresses
   Lat/Long Comments: ____

B. FIRMette (Flood Insurance Rate Map (FIRM)) showing Project Site: (application will not be reviewed if FIRM is missing from attachments)
   - Attach a copy of the FIRMette with the project site and structures marked.
   - A FIRMette is a paper copy of a user defined portion of a FIRM created from your computer.
   - To make a FIRMette 1) Go to [http://msc.fema.gov](http://msc.fema.gov) 2) Click on the ‘FIRMette Tutorial’ icon and follow instructions to create a FIRMette for your project location. (Note: If you wish to obtain a FIRM, they are typically available from your local floodplain administrator who may be located in the planning, zoning, or engineering office. Maps can also be ordered from the Map Service Center at (800) 358-9616, however it is strongly encouraged to use a FIRMette.)

   Using the FIRMette, determine the flood zone(s) of the project site (Check all zones in the project area).

   - NFIP Community Number: _____ Panel Number(s): ______
   - VE or V 1-30  C or X (un-shaded)  AE or A-130  AO or AH
   - B or X (shaded)  Floodway  A (no base flood elevation given)
III. Project Location continued

C. **For construction projects only.** Is the proposed project location shown on the Flood Insurance Rate Map in an area protected from the 1% chance of annual occurrence flood by a levee or other flood control structure?
   - [ ] Yes
   - [ ] No

   If yes, additional flood mitigation measures should be considered due to the risk of overtopping or failure of the structure. Precautions to protect lives and minimize damages in these areas are critical. Please provide a narrative to describe what measures have been considered or taken to address the risk of overtopping or failure of the structure:

   [ ]

D. Attach City or County Map with Project Site and Photographs (These are examples of the types of maps that can be used; additional space is provided to specify additional maps or references included in the application.) Check the appropriate boxes to indicate the attached maps

   - [ ] Attached copy of a city or county scale map (large enough to show the entire project area) with the project site and structures marked on the map.
   - [ ] Attached USGS 1:24,000 topographical map with project site marked on the map.
   - [ ] For acquisition or elevation projects, include a copy of the Parcel Map (Tax Map, Property Identification Map, etc.) with each property in the project clearly marked on the map. Use SAME ID as used on the Individual Housing Data Sheet.
   - [ ] Attached are overview photographs. The photographs should be representative of the project area, including any relevant streams, creeks, rivers, etc. and drainage areas which affect the project site or will be affected by the project.
   - [ ] For State Historical Preservation Officer's review, please attach two photographs of the properties at opposing angles so they may determine whether it is of historical value.

   [ ]
   [ ]

Attach a copy of each site photograph here
(Use additional pages as needed)

CLEARLY LABEL EACH PHOTO
# HMGP Property Site Inventory Form (PSI)

*Use one page for each property*

## Owner Information
- **First Name:**
- **Last Name:**
- **Co-Owner:**
- **Property Address:**
  - **City:**
  - **State:** Nebraska
  - **Zip Code:**
  - **County:**

## Title Holder Post Mitigation (community undertaking project):

## Mitigation Property Site Action:

### Mitigation Property Site Comments:

## Property Information:

<table>
<thead>
<tr>
<th>Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Age of Structure (year built):</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Pre-Event Fair Market Value:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Parcel Number:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Property Tax Id:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Latitude:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Longitude:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>SHPO Cleared:</strong></td>
<td>Select...</td>
</tr>
<tr>
<td><strong>SHPO Cleared Date:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Type of Residence:</strong></td>
<td>Select...</td>
</tr>
<tr>
<td><strong>Structure Type:</strong></td>
<td>Select...</td>
</tr>
<tr>
<td><strong>Foundation Type:</strong></td>
<td>Select...</td>
</tr>
<tr>
<td><strong>Basement:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Base Flood Elevation:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>First Floor Elevation:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Number of feet the lowest floor elevation of the structure is being raised above Base Flood Elevation (Only applicable when Property Action is Elevation):</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Benefit Cost Analysis:</strong></td>
<td>Yes</td>
</tr>
<tr>
<td><strong>Performed:</strong></td>
<td>By Whom:</td>
</tr>
<tr>
<td><strong>Benefit Cost Ratio:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Total Square Feet of Living Space:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Type of Residence:</strong></td>
<td>Select...</td>
</tr>
<tr>
<td><strong>Structure Type:</strong></td>
<td>Select...</td>
</tr>
<tr>
<td><strong>Foundation Type:</strong></td>
<td>Select...</td>
</tr>
<tr>
<td><strong>Basement:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Base Flood Elevation:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>First Floor Elevation:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Number of feet the lowest floor elevation of the structure is being raised above Base Flood Elevation (Only applicable when Property Action is Elevation):</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Benefit Cost Analysis:</strong></td>
<td>Yes</td>
</tr>
<tr>
<td><strong>Performed:</strong></td>
<td>By Whom:</td>
</tr>
<tr>
<td><strong>Benefit Cost Ratio:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Total Square Feet of Living Space:</strong></td>
<td></td>
</tr>
</tbody>
</table>

## National Flood Insurance Program Information:

<table>
<thead>
<tr>
<th>Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Flood Source:</strong></td>
<td>Select...</td>
</tr>
<tr>
<td><strong>Structure Located in:</strong></td>
<td>Select...</td>
</tr>
</tbody>
</table>

### Note:
An NFIP repetitive loss structure is defined as building with 2 or more insured losses greater than $1,000 within a 10-year period.

- **Repetitive Loss Structure:** Select...
- **2-3 Insured Losses Cumulatively <= building fair market value**
- **2-3 Insured Losses Cumulatively > building fair market value**
- **4 or more losses since 1978**
- **Not Applicable**

### Repetitive Loss Number:

### NFIP Policy Number:

### Insurance Policy Provider:

### Is there a Flood Insurance Rate Map (FIRM) available?  Yes  No

### Is the property site marked on the map?  Select...

## Flood Zone Designation

<table>
<thead>
<tr>
<th>Zone</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>VE or V 1-30</td>
<td></td>
</tr>
<tr>
<td>C or X (un-shaded)</td>
<td></td>
</tr>
<tr>
<td>AE or A-130</td>
<td></td>
</tr>
<tr>
<td>AO or AH</td>
<td></td>
</tr>
<tr>
<td>B or X (shaded)</td>
<td></td>
</tr>
<tr>
<td>Floodway</td>
<td></td>
</tr>
<tr>
<td>A (no base flood elevation given)</td>
<td></td>
</tr>
</tbody>
</table>

## FIRM Community Information

### Community Information:

### Map Specific Information for Selected Community

### Community: |
### Panel Number: |
### Date: |

## Legal Description:

### Comments:

© (This information is not required until the project is approved, but would be helpful if you can provide it at the time of application.)
For Tornado/Wind Safe Room Applicants Only

In accordance with FEMA policy, all community Tornado/Wind Safe Rooms must meet FEMA publication 361 in order to receive federal funds. The FEMA 361, Design and Construction Guidance for Community Tornado/Wind Safe Rooms publication may be found at [http://www.fema.gov/library/viewRecord.do?id=1657](http://www.fema.gov/library/viewRecord.do?id=1657).

1. Describe preliminary plans for the Tornado/Wind Safe Room area (Include floor plan sketch of proposed project):

2. Who will be the primary occupants to take shelter? (i.e. campers, residents without basements, etc.) Please explain:

3. Occupancy: (indicate approximate occupancy of building during each hour of the day)

<table>
<thead>
<tr>
<th>Time</th>
<th>2 AM – 3 AM</th>
<th>3 AM – 4 AM</th>
<th>4 AM – 5 AM</th>
<th>5 AM – 6 AM</th>
<th>6 AM – 7 AM</th>
<th>7 AM – 8 AM</th>
</tr>
</thead>
<tbody>
<tr>
<td>8 AM</td>
<td>9 AM – 10 AM</td>
<td>10 AM – 11 AM</td>
<td>11 AM – 12 PM</td>
<td>12 PM – 1 PM</td>
<td>1 PM – 2 PM</td>
<td>2 PM – 3 PM</td>
</tr>
<tr>
<td>4 PM</td>
<td>5 PM – 6 PM</td>
<td>6 PM – 7 PM</td>
<td>7 PM – 8 PM</td>
<td>8 PM – 9 PM</td>
<td>9 PM – 10 PM</td>
<td>10 PM – 11 PM</td>
</tr>
</tbody>
</table>

4. Include a narrative on the location and the number of occupants that will use the Tornado/Wind Safe Room during normal and adverse weather conditions.

5. Will the proposed Tornado/Wind Safe Room be an addition to an existing building?
   - Yes (complete question a)
   - No (complete question b)

   a. Complete the following information for the existing building/proposed Tornado/Wind Safe Room:

<table>
<thead>
<tr>
<th>Longest Width:</th>
<th>Size/Square Footage:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Longest Length:</td>
<td>Will the Tornado/Wind Safe Room area be above or below ground?</td>
</tr>
<tr>
<td>Construction Date:</td>
<td>Number of Stories:</td>
</tr>
<tr>
<td>Describe the current building configuration (also attach a sketch):</td>
<td></td>
</tr>
</tbody>
</table>

   b. Complete the following information for the proposed structure:

<table>
<thead>
<tr>
<th>Longest Width:</th>
<th>Longest Length</th>
</tr>
</thead>
<tbody>
<tr>
<td>Structure Size/Square Footage:</td>
<td>Will the Tornado/Wind Safe Room area be above or below ground?</td>
</tr>
<tr>
<td>Proposes Tornado/Wind Safe Room Area Square Footage:</td>
<td></td>
</tr>
<tr>
<td>Construction Type:</td>
<td>Number of Stories:</td>
</tr>
</tbody>
</table>

6. Estimated Completion Date for Design (mo/yr):构造 (mo/yr): [ ]

7. Estimated Yearly Maintenance Cost: [ ]

8. Preliminary Project Cost Estimate for Tornado/Wind Safe Room Area (amount to be included in application (fed + non-fed)-do not include estimated costs for optional amenities that the City will fund separately): $[ ]
9. What Flood Zone the building is in: (include copy of FIRMette) indicating location of the building – If the building is in the floodplain the elevation of a Tornado/Wind Safe Room must be built at the 100 year plus 1 foot or to the 500 year level, whichever is higher: 

[Redacted]
IV. History of Hazards/Damages in the Area to be Protected*

In this section describe all past damages from hazardous events in the project area. Include Presidentially declared disasters as well as events that did not result in a Presidential declaration.

A. Overview of Past Damages

Provide a detailed history of damages in the area, including direct and indirect costs. Include information for as many past incidents as possible. Attach any supporting documents. Direct costs should include damages to structures and infrastructure in the project area as a result of the hazard. Indirect costs should include the cost to the local government to respond to victims of the hazard in the project area, any interruption to local businesses, and losses of public services.

<table>
<thead>
<tr>
<th>Date</th>
<th>Level of Event</th>
<th>Damages</th>
<th>Indirect Costs (Describe)</th>
</tr>
</thead>
<tbody>
<tr>
<td>e.g. 10/7/89</td>
<td>50 year flood</td>
<td>Total of $195,000 in damages to 16 homes in project area</td>
<td>Emergency Services Evacuation of 58 people</td>
</tr>
<tr>
<td></td>
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</tr>
</tbody>
</table>

☐ List all Supporting Documentation Attached pertaining to Past Damages:

1. ______
2. ______
3. ______

Provide a narrative below describing historical damages in the proposed project area:_____

*For Acquisitions and Elevations, provide an overview in the section above to include specific damages to each property in the HMGP Property Site Inventory Forms (PSI).
V. Scope of Work/Budget

In this section, provide the details of all costs of the project. As this information is used for the Benefit-Cost Analysis, reasonable cost estimates are essential. As administrative costs are calculated on a sliding scale, do not include this in the budget. **Do not include contingency costs in the budget.**

A. Materials

<table>
<thead>
<tr>
<th>Item</th>
<th>Quantity</th>
<th>Unit of Measure</th>
<th>Cost per Unit</th>
<th>Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Select...</td>
<td>$</td>
<td>$</td>
<td></td>
<td></td>
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<td>Select...</td>
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<tr>
<td>Select...</td>
<td>$</td>
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<td></td>
</tr>
</tbody>
</table>

B. Labor (Include equipment costs)

<table>
<thead>
<tr>
<th>Description</th>
<th>Hours</th>
<th>Rate</th>
<th>Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$</td>
<td>$</td>
<td>$</td>
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<td>$</td>
</tr>
</tbody>
</table>

C. Fees Paid (Include any other costs associated with the project)

<table>
<thead>
<tr>
<th>Description of Task</th>
<th>Hours</th>
<th>Rate</th>
<th>Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$</td>
<td>$</td>
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<td>$</td>
<td>$</td>
<td>$</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Totals</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Materials</td>
<td>$</td>
<td></td>
<td></td>
</tr>
<tr>
<td>B. Labor</td>
<td>$</td>
<td></td>
<td></td>
</tr>
<tr>
<td>C. Fees Paid</td>
<td>$</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grand Total (Total Project Costs):</td>
<td>$</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Provide a budget narrative for the proposed project: _____
D. V. Scope of Work/Budget continued

E. **Funding Sources** (round figures to the nearest dollar) the maximum FEMA share for a HMGP project is 75%. The other 25% must be paid by the local sponsor. Note: You cannot match federal funds with federal funds; the only exception is Community Development Block Grant (CDBG) funding.

<table>
<thead>
<tr>
<th>Funding Sources</th>
<th>Funding Amount</th>
<th>Percentage of Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal Share (Estimated FEMA Share)</td>
<td>$</td>
<td>%</td>
</tr>
<tr>
<td>Non-Federal Share (See below for required details to document)</td>
<td>$</td>
<td>%</td>
</tr>
<tr>
<td>TOTAL Proposed Project Cost</td>
<td>$</td>
<td>100%</td>
</tr>
</tbody>
</table>

**Non-Federal Share Information:** (Use Source 1, additional source space is available if multiple sources are contributing to the proposed project (Source 2 and Source 3)).

**Match Assurance:** You must provide a letter or resolution from each source committing to their share(s) of the non-federal funding.

<table>
<thead>
<tr>
<th>Description</th>
<th>Source 1</th>
<th>Source 2</th>
<th>Source 3</th>
<th>Comments (Specify Other Source)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Source Agency:</td>
<td>Select...</td>
<td>Select...</td>
<td>Select...</td>
<td></td>
</tr>
<tr>
<td>2. Source Name of Non-Federal Share</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Type of Non-Federal Share:</td>
<td>Select...</td>
<td>Select...</td>
<td>Select...</td>
<td></td>
</tr>
</tbody>
</table>

F. **Project Work Schedule:** List the major milestones and timeframes for this project:
Example: Description: Demolition of 6 structures and removal of debris Timeframe: 30 days 1 month

<table>
<thead>
<tr>
<th>Milestone</th>
<th>Timeframe</th>
<th>Enter Number of Days and Month(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Description:</td>
<td>______</td>
<td>_____ days _____ month(s)</td>
</tr>
<tr>
<td>2. Description:</td>
<td>______</td>
<td>_____ days _____ month(s)</td>
</tr>
<tr>
<td>3. Description:</td>
<td>______</td>
<td>_____ days _____ month(s)</td>
</tr>
<tr>
<td>4. Description:</td>
<td>______</td>
<td>_____ days _____ month(s)</td>
</tr>
<tr>
<td>5. Description:</td>
<td>______</td>
<td>_____ days _____ month(s)</td>
</tr>
<tr>
<td>6. Description:</td>
<td>______</td>
<td>_____ days _____ month(s)</td>
</tr>
<tr>
<td>7. Description:</td>
<td>______</td>
<td>_____ days _____ month(s)</td>
</tr>
<tr>
<td>8. Description:</td>
<td>______</td>
<td>_____ days _____ month(s)</td>
</tr>
<tr>
<td>9. Description:</td>
<td>______</td>
<td>_____ days _____ month(s)</td>
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<tr>
<td>10. Description:</td>
<td>______</td>
<td>_____ days _____ month(s)</td>
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<tr>
<td>11. Description:</td>
<td>______</td>
<td>_____ days _____ month(s)</td>
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<tr>
<td>12. Description:</td>
<td>______</td>
<td>_____ days _____ month(s)</td>
</tr>
<tr>
<td>13. Description:</td>
<td>______</td>
<td>_____ days _____ month(s)</td>
</tr>
<tr>
<td>14. Description:</td>
<td>______</td>
<td>_____ days _____ month(s)</td>
</tr>
<tr>
<td>15. Description:</td>
<td>______</td>
<td>_____ days _____ month(s)</td>
</tr>
</tbody>
</table>
VI. Environmental Documentation

The applicant must provide certain environmental documentation to the State before the State and FEMA can adequately review any proposed project. Some projects require specific documentation depending upon the project type and its potential effects on the physical, biological, and built environment. The following sections will help you provide the necessary documentation for the project you are proposing. Each of the sections below will begin with a specific question, in which you will provide either a Yes, No, or Not Known response. In each section, If you select Yes or Not Known for any of the answers, please indicate why in the comments section provided and any information about this project that could assist NEMA and FEMA in its review.

A. National Historic Preservation Act – Historical Buildings and Structures

1. Does your project affect or is it in close proximity to any buildings or structures 50 years or more in age? Select...

If yes, you must confirm that you have provided the following:

☐ The property address and original date of construction for each property affected (unless this information is already noted in the Properties section),

☐ A minimum of two color photographs showing at least three sides of each structure (Please label the photos accordingly),

☐ A diagram or USGS 1:24,000 scale quadrangle map displaying the relationship of the property(s) to the project area.

To help FEMA evaluate the impact of the project, please indicate below any other information you are providing:

☐ Information gathered about potential historic properties in the project area, including any evidence indicating the age of the building or structure and presence of buildings or structures that are listed or eligible for listing on the National Register of Historic Places or within or near a National Register listed or eligible historic district. Sources for this information may include the State Historic Preservation Officer, and/or the Tribal Historic Preservation Officer (SHPO/THPO), your local planning office, historic preservation organization, or historical society.

☐ Consideration of how the project design will minimize adverse effects on known or potential historic buildings or structures, and any alternatives considered or implemented to avoid or minimize effects on historic buildings or structures. Please address and note associated costs in your project budget.

☐ For Acquisition/demolition projects affecting historic buildings or structures, have you provided any data regarding the consideration and feasibility of elevation, relocation, or flood proofing as alternatives to demolition?

☐ List all supporting Documentation Attached to Historic Buildings or Structures:
   1. _____
   2. _____
   3. _____
VI. Environmental Documentation Continued

☐ Additional Comments regarding Historic Buildings and Structures: _____

B. National Historic Preservation Act – Archeological Resources

1. Does your project involve disturbance of ground? Select...

   If Yes, you must confirm that you have provided the following:

   ☐ A description of the ground disturbance by giving the dimensions (area, volume, depth, etc.) and location

   ☐ The past use of the area to be disturbed, noting the extent of previously disturbed ground.

   ☐ A USGS 1:24,000 scale or other site map showing the location and extent of ground disturbance.

To help FEMA evaluate the impact of the project, please indicate below any other information you are providing:

☐ Any information about potential historic properties, including archeological sites, in the project area. Sources of this information may include SHPO/THPO, and/or the Tribes cultural resources contact if no THPO is designated. Include, if possible, a map showing the relation of any identified historic properties to the project area.

☐ List all Supporting Documentation Attached pertaining to Archeological Resources:
   1. _____
   2. _____
   3. _____

☐ Additional Comments regarding Historic Buildings and Structures: _____

C. Endangered Species Act and Fish and Wildlife Coordination Act

1. Are federally listed threatened or endangered species or their critical habitat present in the area affected by the project? Select...

   If yes, you must confirm that you have provided the following:

   ☐ Information you obtained to identify species in or near the project area. Provide the source and date of the information cited.

   To help FEMA evaluate the impact of the project, please indicate below any other information you are providing:

   ☐ Any request for information and associated response from the United States Fish and Wildlife Service (USFWS) or the Nebraska Game and Parks Commission, regarding potential listed species present and potential of the project to impact those species.
VI. Environmental Documentation Continued

☐ List all Supporting Documentation Attached pertaining to the Endangered Species Act and Fish and Wildlife Coordination Act:
   1. ______
   2. ______
   3. ______

☐ Additional Comments regarding Endangered Species Act and Fish and Wildlife Coordination Act:

2. Does your project remove or affect vegetation? Select...
   
   If yes, you must confirm that you have provided the following:
   
   ☐ Description of the amount (area) and type of vegetation to be removed or affected.
   
   ☐ A site map showing the project area and the extent of vegetation affected.
   
   ☐ Photographs or digital images that show both the vegetation affected and the vegetation in context of its surroundings.

   To help FEMA evaluate the impact of the project, please indicate below any other information you are providing:
   
   ☐ List all Supporting Documentation Attached pertaining to Vegetation:
      1. ______
      2. ______
      3. ______

   ☐ Additional Comments regarding vegetation: ______

3. Is your project in, near (within 200 feet), or likely to affect any type of waterway or body of water? ☐ Yes ☐ No ☐ Not Known

4. ☐ Does the project impact the South Platte, North Platte or Platte River? The area of concern is from the Nebraska/Wyoming and the Nebraska/Colorado state lines to Chapman, NE. With any new project causing a rise or depletion to the target area project applications will be required to follow the Platte River Recovery and Implementation Program; the objective of which is to reduce target flow shortages. All offset measures shall be constructed and operated or implemented so that they do not cause additional shortages to either target flows or state-protected flows.

   If yes, and project is not within an existing building, you must confirm that you have provided the following:
   
   ☐ A USGS 1:24,000 scale quadrangle map showing the project activities in relation to all nearby water bodies (within 200 feet).

   ☐ Any information about the type of water body nearby including: its dimensions, the proximity of the project activity to the water body, and the expected and possible changes to the water body, if any. Identify all water bodies regardless whether you think there may be an effect.
VI. Environmental Documentation Continued

☐ A photograph or digital image of the site showing both the body of water and the project area.

To help FEMA evaluate the impact of the project, please indicate below any other information you are providing:

☐ Evidence of any discussions with the US Fish and Wildlife Service (USFWS), and/or the Nebraska Game and Parks Commission concerning any potential impacts if there is the potential for the project to affect any water body.

☐ List all Supporting Documentation Attached pertaining to Waterway or Water Body:
1. 
2. 
3. 

☐ Additional Comments regarding Waterway or Water Body near your project: 

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

1. Will the project involve dredging or disposal of dredged material, excavating, adding fill material or result in any modification to water bodies or wetlands designated as “waters of the U.S.” as identified by the US Army Corps of Engineers or on the National Wetland Inventory? ☐ Yes ☐ No ☐ Not Known

If Yes, you must confirm that you have provided the following:

☐ Documentation of the project location on a USGS 1:24,000 scale topographic map or image and a copy of National Wetlands Inventory map or other available wetlands mapping information.

To help FEMA evaluate the impact of the project, please indicate below any other information you are providing:

☐ Request for information and response letter from the US Army Corps of Engineers and/or State resource agencies regarding the potential for wetlands, and applicability of permitting requirements

☐ Evidence of alternatives considered to eliminate or minimize impacts to wetlands.

☐ List all Supporting Documentation Attached pertaining to Water Bodies or Wetlands
1. 
2. 
3. 

☐ Additional Comments regarding Water Bodies or Wetlands for your project: 

47
VI. Environmental Documentation Continued

E. Executive Order 11988 (Floodplain Management)

1. Does a Flood Insurance Rate Map (FIRM), Flood Hazard Boundary Map (FHBM), hydrologic study, or some other source indicate that the project is located in or will affect a 100 year floodplain, a 500 year floodplain if a critical facility, an identified regulatory floodway, or an area prone to flooding? ☐ Yes ☐ No ☐ Not Known

If Yes, please indicate in the comments section below any documentation to identify the means or the alternatives considered to eliminate or minimize impacts to floodplains (See the 8 step process found in 44 CFR Part §9.6.) to help FEMA evaluate the impact of the project.

☐ Comments regarding Executive Order 11988 (Floodplain Management):

2. Does the project alter a watercourse, water flow patterns, or a drainage way, regardless of its floodplain designation? ☐ Yes ☐ No ☐ Not Known

If Yes, please indicate below any other information you are providing to help FEMA evaluate the impact of the project:

☐ Hydrologic/hydraulic information from a qualified engineer to demonstrate how drainage and flood flow patterns will be changed and to identify down and upstream effects

☐ Evidence of any consultation with U.S. Army Corps of Engineers (may be included under Part D of the Environmental Information).

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

☐ List all Supporting Documentation Attached pertaining to Altering Watercourse, Water Flow Patterns, or Drainage Ways:

1. ______
2. ______
3. ______

☐ Additional Comments regarding altering watercourse, water flow patterns, or drainage way for your project: ______

F. Farmland Protection Policy Act

1. Will the project convert more than 5 acres of “prime or unique” farmland outside city limits to a non-agricultural use? ☐ Yes ☐ No ☐ Not Known

☐ List all Supporting Documentation Attached pertaining to the Farmland Protection Policy Act:

1. ______
2. ______
3. ______

☐ Additional Comments regarding the Farmland Protection Policy Act and your project: ______
VI. Environmental Documentation Continued

G. RCRA and CERCLA (Hazardous and Toxic Materials)

1. Is there a reason to suspect there are contaminants from a current or past use on the property associated with the proposed project? ☐ Yes ☐ No ☐ Not Known

   If Yes, please indicate below any other information you are providing to help FEMA evaluate the impact of the project:

   ☐ Comments and any relevant documentation

   ☐ Results of any consultations with State or local agency to obtain permit with requirements for handling, disposing of or addressing the effects of hazardous or toxic materials related to project implementation

   ☐ List all Supporting Documentation Attached pertaining to Hazardous and Toxic Materials:
      1. ______
      2. ______
      3. ______

   ☐ Additional Comments regarding Hazardous and Toxic Materials and your project: ______

2. Are there any studies, investigations, or enforcement actions related to the property associated with the proposed project? ☐ Yes ☐ No ☐ Not Known

   If Yes, please indicate below any other information you are providing to help FEMA evaluate the impact of the project:

   ☐ Comments and any relevant documentation

   ☐ Results of any consultations with State or local agency to obtain permit with requirements for handling, disposing of or addressing the effects of hazardous or toxic materials related to project implementation

   ☐ List all Supporting Documentation Attached pertaining to Studies, Investigations, or Enforcement Actions
      1. ______
      2. ______
      3. ______

   ☐ Additional Comments regarding Studies, Investigations, or Enforcement Actions related to your project: ______

3. Do any project construction or operation activities involve the use of hazardous or toxic materials? ☐ Yes ☐ No ☐ Not Known

   If yes, please indicate below any other information you are providing to help FEMA evaluate the impact of the project:

   ☐ Comments and any relevant documentation.
VI. Environmental Documentation Continued

- Results of any consultations with State or local agency to obtain permit with requirements for handling, disposing of or addressing the effects of hazardous or toxic materials related to project implementation.

- List all Supporting Documentation Attached pertaining to Hazardous and Toxic Materials:
  1. _______
  2. _______
  3. _______

- Additional Comments regarding Hazardous and Toxic Materials related to your project:
  _______

4. Do you know if any of the current or past land-uses of the property affected by the proposed project or of the adjacent properties are associated with hazardous or toxic materials?  
   - Yes  
   - No  
   - Not Known

   If Yes, please indicate below any other information you are providing to help FEMA evaluate the impact of the project:
   - Comments and any relevant documentation.
   - Results of any consultations with State or local agency to obtain permit with requirements for handling, disposing of or addressing the effects of hazardous or toxic materials related to project implementation.

- List all Supporting Documentation Attached pertaining to Current or Past Land Uses:
  1. _______
  2. _______
  3. _______

- Additional Comments regarding current or past land uses related to your project:
  _______

H. Executive Order 12898, Environmental Justice for Low Income and Minority Populations

1. Are there low income or minority populations in the project’s area of effect or adjacent to the project area?  
   - Yes  
   - No  
   - Not Known

   If Yes, you must confirm that you have provided the following:
   - Description of any disproportionate and adverse effects to these populations.

   To help FEMA evaluate the impact of the project, please indicate below any other information you are providing:
   - Description of the population affected and the portion of the population that would be disproportionately and adversely affected. Please include specific efforts to address the adverse impacts in your proposal narrative and budget.
VI. Environmental Documentation Continued

☐ List all Supporting Documentation Attached pertaining to Executive Order 12898 & your project:
  1. 
  2. 
  3. 

☐ Additional Comments regarding Executive Order 12898: _____

I. Other Environmental/Historic Preservation Laws or Issues

1. Are there other environmental/historic preservation requirements associated with this project that you are aware of? ☐ Yes ☐ No

   If yes, please provide a description of the requirements, issues or public involvement effort:
   _____

2. Are there controversial issues associated with this project? ☐ Yes ☐ No ☐ Not Known

   If yes, please provide a description of the requirements, issues or public involvement effort:
   _____

3. Have you conducted any public meeting or solicited public input or comments on your specific proposed mitigation project? ☐ Yes ☐ No

   If yes, please provide a description of the requirements, issues or public involvement effort:
   _____

☐ List all Supporting Documentation Attached pertaining to Other Environmental/Historic Preservation Issues:
  1. 
  2. 
  3. 

☐ Additional Comments regarding other Environmental/.Historic Preservation Issues:
   _____

J. Summary and Cost of Potential Impacts

1. Having answered the questions in parts A. through I., have you identified any aspects of your proposed project that have the potential to impact environmental resources or historic properties? ☐ Yes ☐ No

   If yes, you must confirm that you have:

☐ Evaluated these potential effects and provided the materials required in Parts A through I. that identify the nature and extent of potential impacts to environmental resources and/or historic properties.

☐ Consulted with appropriate parties to identify any measures needed to avoid or minimize these impacts.
VI. Environmental Documentation Continued

- Considered alternatives that could minimize both the impacts and the cost of the project.
- Made certain that the costs of any measures to treat adverse effects are realistically reflected in the project budget estimate.
- List all Supporting Documentation Attached pertaining to potential impacts:
  1. _____
  2. _____
  3. _____
- Please enter additional Comments here: _____

VII. Maintenance Schedule and Associated Costs

A. Provide a maintenance schedule including cost information: _____

  1. Identify entity that will perform any long-term maintenance: _____
  2. If the entity/responsibly party for regular long-term maintenance is different than the entity signing and certifying this application, please attach a letter from the entity accepting performance responsibility. Check the appropriate box below:

   - Yes, letter is attached from responsibly entity/party identified above.
   - No a maintenance letter is not attached. If FEMA approves this application, the entity certifying this application is responsible for long-term maintenance for the proposed mitigation project.
  3. Additional Maintenance Comments: _____

VIII. Alternative Actions (This application will not be reviewed if this section is incomplete)

A. It is important to demonstrate that you have balanced engineering feasibility, cost, and avoidance of adverse environmental impacts considering a range of reasonable alternatives. The section below will help you document the process in which you have selected the most feasible alternative. Describe the process you used to decide that this project is the best solution to the problem. Below are some sample questions to consider as you write your narrative in the following comments section:

   - Have you considered the risks to critical facilities and structures and benefits to be obtained by mitigating this vulnerability?
   - Have you considered those areas or projects that present the greatest opportunities given the current situation and interest in your community?
   - Are you addressing a symptom or the source of the problem? Addressing the source of the problem is a long-term solution which provides the most mitigation benefits.
VIII. Alternative Actions continued

- If impacts to the environmental/historic preservation, natural, cultural, or historic resources have been identified, explain how your alternatives and proposed project avoid, minimize, or mitigate these impacts.

Process in which the proposed project was determined the best solution to the problem: ______

B. You are required to show at least two alternatives to the project you are proposing, one as a default is a “No Action Alternative”. List two feasible alternative projects to mitigate the hazards faced in the project area.

1. No Action Alternative

Provide discussion of the impacts on the project area if no action is taken: ______

2. Other Feasible Alternative: ______

Discuss viable and practicable alternatives to the project including scope of work, engineering details (if applicable), estimated budget and the impacts of this alternative.

a. Other Feasible Project Description and Scope of Work

Describe, in detail, the proposed project. Also, explain how the proposed project will solve the problem(s) and/or provide protection from the hazard(s). ______

b. Other Feasible Project Location

☐ Attach a map or diagram showing the alternative site in relation to the proposed project site.

☐ Photographs of alternative site

Attach copy of each site photograph here
(Use additional pages as needed)

CLEARLY LABEL EACH PHOTO
VIII.  Alternative Actions Continued

c.  Funding Sources (round figures to the nearest dollar) The maximum FEMA share for a HMGP project is 75%. The other 25% must be paid by the local sponsor. Note: You cannot match federal funds with federal funds; the only exception is Community Development Block Grant (CDBG).

<table>
<thead>
<tr>
<th>Funding Sources for the ALTERNATIVE Project</th>
<th>Funding Amount</th>
<th>Percentage of Total Cost</th>
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<tbody>
<tr>
<td>Federal Share (Estimated FEMA Share)</td>
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<td>%</td>
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<tr>
<td>Non-Federal Share (See below for required details to document)</td>
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<td>%</td>
</tr>
<tr>
<td>TOTAL Estimated Alternative Project Cost</td>
<td>$</td>
<td>100%</td>
</tr>
</tbody>
</table>

Non-Federal Share Information (Use Source 1, additional source space is available if multiple sources would contributing to the alternative project (Source 2).

<table>
<thead>
<tr>
<th>Description</th>
<th>Source 1</th>
<th>Source 2</th>
<th>Comments (Specify Other Source)</th>
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<tr>
<td>4. Source Agency:</td>
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<tr>
<td>5. Source Name of Non-Federal Share</td>
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<tr>
<td>6. Type of Non-Federal Share:</td>
<td>Select...</td>
<td>Select...</td>
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</table>

d.  Impacts of Other Feasible Alternative Project

Discuss the impact of this alternative on the project area. Include comments on these issues: Environmental Justice; Endangered Species; Wetlands; Hydrology (Upstream and Downstream Impacts); Floodplain/Floodway; Historic Issues; Hazardous Materials.

IX.  Approval Stipulations:

1.  If the proposed project receives FEMA approval:

   a. And the federal share of less than $1,000,000, does the Applicant or State desire a press release for the project?

<table>
<thead>
<tr>
<th>Applicant:</th>
<th>Yes</th>
<th>No</th>
<th>Not Applicable</th>
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<tbody>
<tr>
<td>State:</td>
<td>No Preference</td>
<td>Yes</td>
<td>No</td>
</tr>
</tbody>
</table>

   b. Does the applicant or State desire FEMA to notify the appropriate Congressional offices?

<table>
<thead>
<tr>
<th>Applicant:</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>State:</td>
<td>Yes</td>
<td>No</td>
</tr>
</tbody>
</table>
X. **Certifications:**

To the best of my knowledge and belief, all data in this application is true and correct. The governing body of the applicant has duly authorized this document, and hereby applies for assistance documented in this application. By signing this document you will act as the applicant’s agent in the performance of this grant. Also, the applicant understands that construction on the project may **not** proceed until FEMA approval is granted.

Typed name of Authorized Representative/Applicant Agent

Title ________________________________

( ) - __________________________

Telephone Number

Signature of Authorized Representative/Applicant Agent

Date Signed __________________________

---

**Is appropriate certification (a letter or resolution) included with your application that matching funds will be available to fund the non-federal share of the proposed project?**
What is the Hazard Mitigation Grant Program?
Authorized under Section 404 of the Stafford Act, the Hazard Mitigation Grant Program (HMGP) administered by the Federal Emergency Management Agency (FEMA) provides grants to States and local governments to implement long-term mitigation measures after a major disaster declaration. The purpose of the program is to reduce loss of life and property due to natural disasters and to enable mitigation measures to be implemented during the immediate recovery from a disaster.

How much funding is available?
HMGP can provide up to 15% which is calculated from the total amount of disaster assistance from both the Public Assistance (PA) and the Individual and Households Program (IHP). Once PA and IHP totals are estimated, FEMA determines the available HMGP funding. This funding can then be broken down into three types of project applications; 1) 7% Planning (does not have to demonstrate cost-effectiveness), 2) 5% Initiative (does not have to demonstrate cost-effectiveness) and 3) Regular (remaining percentage; must demonstrate cost-effectiveness). Examples of these project application types can be found within the administrative plan. All projects are cost shared at 75% federal funding and a 25% local match is required. This application falls under the 7% Planning application. In order to be eligible for the HMGP regular or 5% Initiative projects (and other FEMA funded mitigation activities), you must have a FEMA-approved State and local mitigation plan.

Mitigation Plan Requirements:
The outcome of a mitigation planning Subgrant award must be a FEMA approved hazard mitigation plan that complies with the requirements of 44 C FR Part 201. Hazard mitigation plans must be reviewed, adopted by the jurisdiction, and FEMA-approved before the end of the activity completion timeframe.

Mitigation Plan Resources:
FEMA has developed guidance materials to assist State and local officials in the development of mitigation plans, and to assist State and FEMA staff in review of mitigation plans. These materials are specifically linked to the requirements of 44 C FR Part 201. You may obtain these resources online by following the link below or by contacting the State Hazard Mitigation Officer. http://www.fema.gov/plan/mitplanning/planning_resources.shtm.

Completing the HMGP Application:
This application will enable you to compete in the state-wide competitive “post disaster” Hazard Mitigation Grant Program. This application is designed to capture the necessary information to meet program requirements. You’re encouraged to take your time, read through the questions carefully and provide as much detail as possible. This will enable the process to be the most efficient.

You may obtain an electronic copy of the following application by contacting the State Hazard Mitigation Officer at (402) 471-7217 or by e-mail at sheila.hascall@nebraska.gov.
IV. Applicant Information

Date:______  [ ] New Application [ ] Revised Application

J. Name of Applicant: ______

K. Multi-Hazard Local Mitigation Plan Type: Select...

L. Point of Contact:
   [ ] Mr.  [ ] Ms.  [ ] Mrs.  First Name: _____     Last Name: _____
   Title: _____ Organization: _____
   Street Address: _____ City: _____ State: Nebraska Zip Code: _____
   Telephone: (____) _____ - _____ Fax: (____) _____ - _____ E-mail Address: _____

M. Alternate Point of Contact:
   [ ] Mr.  [ ] Ms.  [ ] Mrs.  First Name: _____     Last Name: _____
   Title: _____ Organization: _____
   Street Address: _____ City: _____ State: Nebraska Zip Code: _____
   Telephone: (____) _____ - _____ Fax: (____) _____ - _____ E-mail Address: _____

V. Estimated Funding (Cost Shares): Please fill in the percentages and the dollar amounts requested for funding your plan.

<table>
<thead>
<tr>
<th>Federal %</th>
<th>Non-Federal %</th>
<th>Applicant %</th>
<th>Other %</th>
<th>Total 100%</th>
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</thead>
<tbody>
<tr>
<td>$_____</td>
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VI. Community Profile Information:

<table>
<thead>
<tr>
<th>Community Name:</th>
<th>Is FIRM OR FHBM available?</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>County Name:</td>
<td>Community Participates in NFIP:</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>FIPS Code:</td>
<td>Community Identification Number (CID):</td>
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<tr>
<td>Federal Tax ID Number:</td>
<td>State Legislative District:</td>
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<td>DUNS Number:</td>
<td>US Congressional District:</td>
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For multi-jurisdictional plans, the community profile information above is required for the applicant only.

Please list jurisdiction(s) to be covered by the plan for multi-jurisdictional plans, please separate jurisdictions with a semi-colon (example, Lancaster County; City of Lincoln): ______

A special note for those multi-jurisdictional plans: when identifying the jurisdictions to be included in the proposed plan consideration should be given to school districts, rural water districts, and special districts, etc.
VII. **Scope of Work Narrative:**

This planning application must describe the development of a hazard mitigation plan that complies with FEMA’s regulatory requirements in 44 CFR Part 201. The scope of work should explain the objectives, methodology, feasibility, outcomes, timeline, milestones, resources, deliverables, and benefits of, as well as reasons for, the proposed planning activity.

A. Is this planning application an:
   - [ ] Initial hazard mitigation plan
   - [ ] Update to an existing hazard mitigation plan

**Note:** An existing FEMA-approved hazard mitigation plan must meet Local Plan Update Guidance and resubmitted for FEMA-approval within 5 years to be eligible for HMGP project grant funding.

B. Provide a narrative to explain the plan development process (i.e. hazard identification and risk assessment to result in identified mitigation activities) meeting compliance with the regulatory requirements in 44 CFR Part 201. The narrative should also describe how the planning activity will benefit constituents, identify the staff and resources needed to develop the plan, and describe the applicant’s ability to provide the resources: ______

C. Describe what jurisdictions/areas (i.e. watershed boundaries) are to be covered by the plan including the population to be covered (geographical area(s)) by the plan: ______

D. Describe the staff and resources needed to implement this mitigation activity and the applicant’s ability to provide these resources: ______

E. List additional comments or attachments provided in support of the proposed planning activity, as applicable:
   - [ ] Attachment 1: ______
   - [ ] Attachment 2: ______
   - [ ] Attachment 3: ______
   - [ ] Attachment 4: ______

Comments: ______
V. Budget:

In this section, provide the details of all costs of the plan. As administrative costs are calculated on a sliding scale, do not include these in the budget. **Do not include contingency costs in the budget.**

D. Materials

<table>
<thead>
<tr>
<th>Item</th>
<th>Quantity</th>
<th>Unit of Measure</th>
<th>Cost per Unit</th>
<th>Total Cost</th>
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E. Labor (Include equipment costs)

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<th>Description</th>
<th>Hours</th>
<th>Rate</th>
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F. Fees Paid (Include any other costs associated with the plan)

<table>
<thead>
<tr>
<th>Description of Task</th>
<th>Hours</th>
<th>Rate</th>
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**Totals**

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<tbody>
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<td>A. Materials</td>
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<td>B. Labor</td>
<td>$</td>
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<tr>
<td>C. Fees Paid</td>
<td>$</td>
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<tr>
<td><strong>Grand Total (Total Project Costs):</strong></td>
<td>$</td>
</tr>
</tbody>
</table>

D. Provide a budget narrative for the proposed plan: _____
VI. **Funding Sources** (round figures to the nearest dollar) the maximum FEMA share for a HMGP project is 75%. The other 25% must be paid by the local sponsor. Note: You cannot match federal funds with federal funds; the only exception is Community Development Block Grant (CDBG) funding.

<table>
<thead>
<tr>
<th>Funding Sources</th>
<th>Funding Amount</th>
<th>Percentage of Total Cost</th>
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<tbody>
<tr>
<td>Federal Share (Estimated FEMA Share)</td>
<td>$</td>
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<tr>
<td>Non-Federal Share (See below for required details to document)</td>
<td>$</td>
<td>%</td>
</tr>
<tr>
<td>TOTAL Proposed Planning Cost</td>
<td>$</td>
<td>100%</td>
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**Non-Federal Share Information:** (Use Source 1, additional source space is available if multiple sources are contributing to the proposed project (Source 2 and Source 3)).

**Match Assurance:** Must provide letters or resolutions from each source committing to their share(s) of the non-federal funding.

<table>
<thead>
<tr>
<th>Description</th>
<th>Source 1</th>
<th>Source 2</th>
<th>Source 3</th>
<th>Comments (Specify Other Source)</th>
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<td>7. Source Agency:</td>
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<tr>
<td>8. Source Name of Non-Federal Share:</td>
<td>Select...</td>
<td>Select...</td>
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<tr>
<td>9. Type of Non-Federal Share:</td>
<td>Select...</td>
<td>Select...</td>
<td>Select...</td>
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</table>

G. **Plan Work Schedule:** List the major milestones and timeframes for this plan:

**Example:** Description: Conduct kick-off meeting to define the goals and objectives of the planning process. **Note:** Ensure the work schedule accommodates sufficient time for the State and FEMA reviews, possible revisions, and subsequent reviews prior to formal adoption for approval, and if applicable, multiple jurisdictions’ coordination.

<table>
<thead>
<tr>
<th>Milestone</th>
<th>Timeframe</th>
<th>Enter Number of Days and Month(s)</th>
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<tbody>
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<td>30.</td>
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</tbody>
</table>
VII. Certifications:

To the best of my knowledge and belief, all data in this application is true and correct. The governing body of the applicant has duly authorized this document, and hereby applies for assistance documented in this application. By signing this document you will act as the applicant’s agent in the performance of this grant. Also, the applicant understands that no development of the plan may proceed until FEMA approval is granted.

______________________________________________
Typed name of Authorized Representative/Applicant Agent

______________
Title

(______) -
Telephone Number

__________________________
Signature of Authorized Representative/Applicant Agent

__________________________
Date Signed

** Is appropriate certification (a letter or resolution) included with your application that certifies matching funds will be available to fund the non-federal share of the proposed plan?
Appendix C
Sub Grantee Award Documents

Attachment 1. Sample Subgrantee Grant Agreement
Attachment 2. Construction Assurances Form to be submitted with Grant Agreement on all construction projects
Attachment 3. Non-Construction Assurances Form for all non construction awards
Attachment 4. Sample Subgrantee Grant Monitoring Forms
   (i.e. Quarterly Report, reimbursement Request Form, and Extension Request Form)
Attachment 5. Sample FEMA Award Letter
GRANT AGREEMENT

between

Nebraska Emergency Management Agency (NEMA)

and

Subgrantee

PROJECT TITLE:

GRANT AGREEMENT NO:

PROJECT NO:

FEDERAL TAX ID#:

SCOPE OF WORK

This Grant Assistance Agreement (AGREEMENT) is to provide (SUBGRANTEE) with federal assistance from the NAME OF GRANT PROGRAM funds for the above-referenced mitigation grant. The federal share shall not exceed $XXX or 75% of actual allowable project costs, whichever is less. The SUBGRANTEE shall provide at least $XXX (25%) through local non-federal (cash and/or in-kind) sources for actual allowable project costs. These funds are to assist the SUBGRANTEE with completing the approved scope of work in accordance with the work schedule, milestones, and scope of work that was submitted to and approved by the Nebraska Emergency Management Agency (NEMA) and the Federal Emergency Management Agency (FEMA). Any changes to the approved scope of work and/or amount budgeted must be submitted to and approved by NEMA prior to executing the changes. The SUBGRANTEE is required to obtain all necessary permits before construction begins.

AGREEMENTS

NEMA will provide financial oversight and management in the role of GRANTEE based on the grant guidance, the grant financial guide and all other applicable State and federal guidelines. The GRANTEE will provide technical assistance and direction to the SUBGRANTEE on programmatic and financial requirements. The GRANTEE will provide all appropriate documents and forms and make payments to the SUBGRANTEE to complete the approved scope of work.

The GRANTEE is responsible for monitoring SUBGRANTEE activities to provide reasonable assurance that the SUBGRANTEE administers federal awards in compliance with federal and State requirements. Responsibilities include the accounting of receipts and expenditures, cash management and the maintaining of adequate financial records.
Additionally, the SUBGRANTEE will be monitored quarterly by the GRANTEE to ensure that the program goals, objectives, timelines, budgets, and other related program criteria are being met. Monitoring will be accomplished through a combination of quarterly reporting, reviewing of expenditures for reimbursement, and when necessary; on-site monitoring. Monitoring will involve the review and analysis of the financial, programmatic, and administrative issues relative to the program, and will identify areas where technical assistance and other support may be needed.

The SUBGRANTEE will pass appropriate resolutions to assure NEMA that it is participating, and will continue to participate, in the National Flood Insurance Program, if mapped.

The SUBGRANTEE and the SUBGRANTEE’s AUTHORIZED REPRESENTATIVE agree to provide all supervision, inspection, accounting, and other services necessary to complete the scope of work from inception to closeout with the requirements set forth below.

I. ACTIVITY COMPLETION TIMEFRAME

The approved activity completion timeframe for this grant is from XXX through XXX. All work must be completed prior to the activity completion timeframe ending. The SUBGRANTEE shall not incur costs or obligate funds for any purpose pertaining to the operation of the project, program, or activities beyond the expiration date of the activity completion timeframe.

If a time extension is needed it must be requested at least 75 days prior to the activity completion timeframe end date. All requests must be supported by adequate justification submitted to NEMA in order to be processed. This justification is a written explanation of the reason or reasons for the delay; an outline of remaining funds available to support the extended activity completion timeframe; and a description of performance measures necessary to complete the project. Without the justification, extension requests will not be processed.

II. AUTHORITIES AND REFERENCES

The SUBGRANTEE shall comply with all applicable laws, regulations and policies as defined in the State of Nebraska Hazard Mitigation Administrative Plan. A non-exclusive list of laws and regulations commonly applicable to FEMA grants follows hereto for reference only.

- OMB Circular A-102 – Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments as implemented in 44 CFR Part 13
- Title 2 CFR Part 225 (OMB Circular A-87) – Cost Principles for State and Local Governments
- OMB Circular A-133 – Audits of States, Local Governments, and Non-Profit Organizations
- Robert T. Stafford Disaster Assistance and Emergency Relief Act (Stafford Act), 42 U.S.C. 5133, as amended by Section 102 of the Disaster Mitigation Act of 2000 (DMA)
- Title 44 of the Code of Federal Regulations (CFR)
- SUBGRANTEE’s application that was received and approved by NEMA and FEMA
- State of Nebraska Administrative Plan for the Hazard Mitigation Grant Program
III. GRANT MANAGEMENT SYSTEM

To ensure that federal funds are awarded and expended appropriately, the SUBGRANTEE will establish and maintain a grant management system. The standards for SUBGRANTEE organizations stem from the Office of Management and Budget’s (OMB) Uniform Administrative Requirements and Cost Principles. State, local and tribal organizations must follow the uniform administrative requirements standards in OMB Circular A-102, and cost principle standards in OMB Circular A-87. These standards combined with the audit standards provided within OMB Circular A-133, plus the requirements of the federal Cash Management Improvement Act constitute the basis for all policies, processes and procedures set forth in this grant management system for the SUBGRANTEE.

The SUBGRANTEE’s grant management system must:

• Include internal controls based on the American Institute for Certified Public Accountant’s (AICPA) definitions and requirements in the government-wide administrative requirements and cost principles
• Include a chart of accounts that includes a separate cost center, fund, or accounting codes for each federal grant or program
• Be in compliance with the Cash Management Improvement Act (CMIA), good business processes and Generally Accepted Accounting Principles (GAAP)
• Include procedures to minimize federal cash on hand
• Include the ability to track expenditures on a cash or accrual basis
• Include the ability to track expenditures in both financial and program budgets
• Include procedures to document all grant-related expenditures
• Include procedures to ensure expenditures are eligible and allowable
• Include the ability to fulfill government-required financial reporting forms

IV. PROCUREMENT

This agreement requires that all procurement is executed by the SUBGRANTEE. Procurement standards must be in accordance with the written adopted procedures of the SUBGRANTEE, provided that the local procurement standards conform to applicable State and Federal law and the standards identified in the 44 CFR. The SUBGRANTEE will ensure that every purchase order or other contract includes any clauses required by Federal statutes and executive orders and their implementing regulations.

V. AUDIT

SUBGRANTEE must comply with the requirements of the Single Audit Act Amendments of 1996 and the Office of Management and Budget (OMB) Circular A-133. Reference: Catalog of Federal Domestic Assistance (CFDA) Number: XXX
VI. PAYMENT REQUEST PROCESS

Payments to SUBGRANTEEES are based on eligible expenditures that are specifically related to the approved grant budget and scope of work. SUBGRANTEEES can request Reimbursement for allowable expenditures already paid at anytime during the activity completion timeframe.

Payments shall be limited to the documented cash requirements submitted by the SUBGRANTEE. The SUBGRANTEE must submit a completed Payment Request Form and provide supporting documentation of eligible project costs to receive payment of funds.

Reimbursement requests must include payment verification (i.e. paid invoices, receipts, payroll records with personnel activity reports, cancelled checks, general ledger print outs, etc.).

Payment of funds will not be made to a SUBGRANTEE until NEMA has this grant agreement signed and on file.

VII. Match Verification

The maximum federal share to this mitigation grant cannot exceed 75% of eligible grant expenditures. Therefore, the matching funds (cash and in-kind) must be at least 25% of eligible grant expenditures. The subgrantee is responsible for submitting proof of the local non-federal match that was used for their mitigation grant to NEMA. Expenditures must be in accordance with the approved scope of work and budget and in accordance with the 44 Code of Federal Regulations (CFR), Section §13.24, “Matching or cost sharing”

Cash match can be money contributed to the subgrantee by the subgrantee, other public agencies and institutions, private organizations and individuals as long as it comes from a non-federal source. Cash spent must be for allowable costs in accordance with the SUBGRANTEE’s approved scope of work and budget and must be applicable to the period to which the cost sharing or matching requirement applies.

In-kind match must comply with the requirements of the 44 CFR, Section §13.24 (matching or cost sharing). The value of in-kind contributions is also applicable to the period to which the cost sharing or matching requirement applies. The in-kind match provided must be documented by the third party contributing the in-kind services. The in-kind match must be specifically stated in the SUBGRANTEE’s scope of work and budget before in-kind match will be allowed to match any mitigation grant. Documentation can be a letter (on letterhead) from the third party stating the scope of their work, what is being contributed as it relates to the scope of work, the value, a statement to the effect that the value is normally charged, and a statement that the value is being waived on behalf of the subgrantee to meet the matching requirements to the sub-grantee’s mitigation grant or a spreadsheet detailing in-kind contributions certified by the Authorized Representative.

If the local match is insufficient to satisfy the local match requirements for receiving all available federal funds, the awarded federal funds will be reduced accordingly so as not to exceed the maximum federal share allowed under this award.
VIII. REPORTING REQUIREMENTS

The mitigation grant requires quarterly programmatic and financial reporting and progress relative to the approved scope of work. SUBGRANTEES are required to complete the quarterly progress report forms that are provided by NEMA and submit them by the 15th day following each federal fiscal quarter. (See administrative plan for specific date.)

WAIVERS

No conditions or provisions of this AGREEMENT can be waived unless approved by NEMA and the SUBGRANTEE, in writing. Unless otherwise stated in writing, NEMA's failure to insist upon strict performance of any provision of this AGREEMENT, or to exercise any right based upon a breach, shall not constitute a waiver of any right or obligation specified under this AGREEMENT.

AMENDMENTS AND MODIFICATIONS

This AGREEMENT may be amended or modified in reference to the grant funds provided, administrative procedures, or any other necessary matter, but not to take effect until approved, in writing, by NEMA and the SUBGRANTEE.

COMPLIANCE, TERMINATION AND OTHER REMEDIES

Unless otherwise stated in writing, NEMA requires strict compliance by the SUBGRANTEE and its authorized representative(s) with the terms of this AGREEMENT, and the requirements of any applicable local, state and federal statute, rules, regulations; particularly those included in the Assurances attached to this grant agreement.

NEMA may suspend or terminate any obligation to provide funding or demand return of grant funds, following notice from NEMA, if the SUBGRANTEE fails to meet any obligations under this AGREEMENT or fails to make satisfactory progress toward administration or completion of said project.

The SUBGRANTEE understands and agrees that NEMA may enforce the terms of this AGREEMENT by any combination, or all remedies available to NEMA under this AGREEMENT, or under any other provision of law, common law, or equity.

INDEMNIFICATION

1. It is understood and agreed by NEMA and the SUBGRANTEE and its agents that this AGREEMENT is solely for the benefit of the parties to this grant and gives no right to any other party.
2. The SUBGRANTEE, on behalf of itself and its successors and assigns, agrees to protect, save, and hold harmless NEMA and the State of Nebraska, and their authorized agents and employees, from all claims, actions, costs, damages, or expenses of any nature whatsoever by reason of the negligent acts, errors, or omissions of the SUBGRANTEE or its authorized representative, its contractors, subcontractors, assigns, agents, licensees, arising out of or in connection with any acts or activities authorized by this AGREEMENT. The SUBGRANTEE’s obligation to protect, save, and hold harmless as herein provided shall not extend to claims or causes of action for costs, damages, or expenses caused by or resulting from the negligent acts, errors, or omissions of NEMA, the State of Nebraska, or any of their authorized agents or employees.

3. The SUBGRANTEE further agrees to defend NEMA, the State of Nebraska, and their authorized agents and employees against any claim or cause of action, or to pay reasonable attorney’s fees incurred in the defense of any such claim or cause of action, as to which the SUBGRANTEE is required to protect, save, or hold harmless said parties pursuant to paragraph 2 of this part. The SUBGRANTEE’s obligation to defend, or to pay attorney’s fees for the defense of such claims or causes of action as herein provided, shall not extend to claims or causes of action for costs, damages, or expenses caused by or resulting from the negligent acts, errors, or omissions of NEMA, the State of Nebraska, or any of their authorized agents or employees.

ACKNOWLEDGMENTS

The SUBGRANTEE shall include, in any public or private release of information regarding the project, language that acknowledges the funding contribution through NEMA by FEMA.

INDEPENDENT CONTRACTOR STATUS OF APPLICANT

The SUBGRANTEE, its officers, employees, agents and council members shall all perform their obligations under this AGREEMENT as an independent contractor and not in any manner as officers, employees or agents of NEMA or the State of Nebraska. All references herein to the SUBGRANTEE shall include its officers, employees, city council/board members, and agents.

RESPONSIBILITY FOR PROJECT

While NEMA undertakes to provide technical assistance to the SUBGRANTEE and its authorized representative in the administration of the project, said project remains the sole responsibility of the applicant in accomplishing grant objectives and goals. NEMA undertakes no responsibility to the SUBGRANTEE, or any third party, other than what is expressly set out in this AGREEMENT.
ENTIRE GRANT AGREEMENT

This AGREEMENT sets forth the entire AGREEMENT between NEMA and the SUBGRANTEE with respect to subject matter hereof. Commitments, warranties, representations and understandings or agreements not contained, or referred to, herein or amended thereto shall not be binding on either NEMA or the SUBGRANTEE. Except as may be expressly provided herein, no alteration of any of the terms or conditions of this AGREEMENT will be effective without written consent of both parties.

IN WITNESS WHEREOF, NEMA and the SUBGRANTEE have executed this AGREEMENT by the signatures of authorized persons of both entities and on the dates indicated below:

Nebraska Emergency Management Agency

_____________________________________    ___________________________________
Al Berndt, Governors Authorized Representative   Authorized Representative

___________________________________  _______________________________________
Date       Date

________________________________________
Signature of Alternate Authorized Representative (optional)

________________________________________
Date
ASSURANCES - CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

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

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

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

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

3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.

4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.

5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.

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

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

8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM’s Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4601 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

10. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§250 dd-3 and 250 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
1. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

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


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

5. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1966, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).


18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

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

______________________________  _______________________________
Signature of Authorized Certifying Official  Title of
Authorized Certifying Official

______________________________  _______________________________
Applicant Organization  Date Submitted
ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

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

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

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

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

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

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-678), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

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

8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

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

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11718; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 178(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).


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

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

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

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

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

Signature of Authorized Certifying Official
Authorized Certifying Official

Applicant Organization
Date Submitted
These forms are copies of the Electronic (Excel) Project Monitoring Forms – To obtain an electronic copy please refer to the attachment or contact the Nebraska Emergency Management Agency State Hazard Mitigation Office (402) 471-7217.

### State of Nebraska
Hazard Mitigation Grant Program
Subgrantee Extension Request Form

### CONSIDERATIONS AND CRITERIA FOR REQUESTING A TIME EXTENSION

1. If unable to complete the project within the approved activity completion timeframe, the subgrantee must submit a formal written request for a time extension with justification to the State Hazard Mitigation Officer. Provided below are criteria which must be completed to facilitate the review of the extension request.

2. This request must be received by FEMA no later than 60 days prior to the expiration of the activity completion timeframe; therefore requests must be submitted to NEMA within 75 days of the expiration.

3. Requests for time extensions will be considered but will not be granted automatically and must be supported with adequate justification in order to be processed.

4. Failure to submit an extension request will result in a de-obligation of any funds not disbursed by the grantee within the approved activity completion timeframe. A subgrantee/grantee may not expend FEMA funds after the expiration of the grant performance period unless an extension is approved by FEMA.

5. The justification is a written explanation of the reason or reasons for the delay; an outline of the remaining project funds available to support the extended performance period; and a description of performance measures necessary to complete the project. Without adequate justification, extension requests will not be processed.

6. Verification is required to ensure "NO CHANGE TO THE SCOPE OF WORK (SOW)". A change to the approved SOW requires prior approval from FEMA. Any costs incurred as a result of an un-authorized SOW change will be disallowed.

### SUBGRANT AND SUBGRANTEE INFORMATION

<table>
<thead>
<tr>
<th>SUBGRANT INFORMATION</th>
<th>SUBGRANTEE POINT OF CONTACT INFORMATION</th>
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<tbody>
<tr>
<td>Grant (Disaster):</td>
<td>Name:</td>
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<td>Subgrant (Project):</td>
<td>Title:</td>
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<td>Project Title:</td>
<td>Phone:</td>
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<td>Project Description:</td>
<td>Email:(Alt POC)</td>
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### (1) STATUS OF ON-GOING ACTIVITY

Select Overall Status: (1) On Schedule
Percentage of Completion: 0%
Identify any prior change requests submitted but not yet approved: None

### (2) REASONS FOR DELAY

Provide a brief description below of circumstances encountered in project non-completion. For additional justification, provide a separate sheet and attach.

### (3) PROJECT COMPLETION

<table>
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<tr>
<th>Approved Application Timeframe</th>
<th>Milestone Status Code</th>
<th>Due Date</th>
<th>Revised Due Date (Requested)</th>
<th>Actual Completion Date</th>
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REVISED WORK SCHEDULE (IF NECESSARY)
Identify additional objectives/milestones (and associated completion dates) necessary to complete the project.

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<thead>
<tr>
<th>Milestone Description</th>
<th>Timeframe</th>
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<td>Start Date</td>
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<td>13</td>
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</tr>
</tbody>
</table>

Signature (Authorized Representative)  Date

By signing, you certify the project will be completed within the extended performance period without modifications to the approved statement of work and work will be completed in accordance with appropriate Program statute, regulation, and Grant Award Agreement Articles, if the extension is granted.
# State of Nebraska
## Hazard Mitigation Grant Program
### Reimbursement Request Form

## SUBGRANT AND SUBGRANTEE INFORMATION

<table>
<thead>
<tr>
<th>Grant (Disaster) Number:</th>
<th>0</th>
<th>Select Payment Request</th>
<th>Partial</th>
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</thead>
<tbody>
<tr>
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<tr>
<td>Project Title:</td>
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<tr>
<td>Project Description:</td>
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## SUBGRANTEE POINT OF CONTACT INFORMATION

<table>
<thead>
<tr>
<th>Name:</th>
<th>0</th>
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<th>0</th>
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<tbody>
<tr>
<td>Phone Number:</td>
<td>-</td>
<td>Email:</td>
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</table>

## PROJECT COSTS

<table>
<thead>
<tr>
<th>Select Cost Code:</th>
<th>(1) Cost Unchanged</th>
</tr>
</thead>
<tbody>
<tr>
<td>Justification for Change:</td>
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<table>
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<tr>
<th>Total Project Amount</th>
<th>Federal Share Amount</th>
<th>Non-Federal Share Amount</th>
<th>Subgrantee Administrative Allowance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Amount Awarded:</td>
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</tr>
<tr>
<td>Total Amount Requested to Date:</td>
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<tr>
<td>Total Amount Received to Date:</td>
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<tr>
<td>Total Reimbursement Request:</td>
<td></td>
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</tr>
</tbody>
</table>

Signature (Authorized Representative)_________________________ Date________

* By signing, you certify that all information above is true and correct and that all reported costs have been incurred in compliance with federal laws and local procurement policies and payment request has not been previously requested.

* Request for Reimbursement must be include payment verification (i.e. paid invoices, receipts, payroll records with personnel activity reports, cancelled checks, general ledger printouts, etc.)
State of Nebraska  
Hazard Mitigation Grant Program  
Subgrantee Quarterly Progress Report

### SUBGRANT AND SUBGRANTEE INFORMATION

<table>
<thead>
<tr>
<th>Grant (Disaster) Number:</th>
<th>Reporting Period</th>
<th>Report Date</th>
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<td>Project Description:</td>
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### SUBGRANTEE POINT OF CONTACT INFORMATION

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<tr>
<td>Phone Number:</td>
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### PROJECT COSTS

<table>
<thead>
<tr>
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<th>(1) Cost Unchanged</th>
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</thead>
<tbody>
<tr>
<td>Total Project</td>
<td>Federal Share</td>
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</table>

| Total Amount Awarded: | |
|----------------------| |
| Total Amount Requested to Date: | |
| Total Amount Received to Date: | |
| Total Reimbursement Request This Quarter (See Reimbursement Request Form) | |

### APPROVED WORK SCHEDULE (PROVIDED IN APPLICATION)

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<tr>
<th>Select Overall Status Code:</th>
<th>(1) On Schedule</th>
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<tr>
<td>Percentage Complete:</td>
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<tr>
<td>Activity Completion Due Date:</td>
<td></td>
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<tr>
<td>Revised Activity Completion Due Date (If applicable):</td>
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<table>
<thead>
<tr>
<th>Milestone Description</th>
<th>Approved Application Timeframe</th>
<th>Select Milestone Status Code</th>
<th>Due Date</th>
<th>Actual Completion Date</th>
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</table>
Provide a brief explanation of project activities to date; include any delays or cost changes that would affect project completion.

If delays have been encountered, please select from the list below whether an extension is anticipated. Please note, selection does not guarantee an extension approval will be granted. All funds incurred after the approved activity completion due date are unallowable. See extension worksheet for further details.

<table>
<thead>
<tr>
<th>Signature (Authorized Representative)</th>
<th>Date</th>
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</table>

By signing, you certify that all information above is true and correct.

These forms are copies of the Electronic (Excel) Project Monitoring Forms – To obtain an electronic copy please refer to the attachment or contact the Nebraska Emergency Management Agency State Hazard Mitigation Office (402) 471-7217
Re: FEMA-8888-DR-NE
Hazard Mitigation Grant Program (HMGP) Project Approval
Subgrantee: McCook Public Power District
Project#: 0088

Dear Mr. Berndt:

We are pleased to notify you that the U.S. Department of Homeland Security’s Federal Emergency Management Agency (FEMA) has granted approval for your application submitted by the McCook Public Power District for the Substation Circuit #5 project. FEMA will release funds to the State in the amount of $399,252. The non-federal match requirement of $133,084 will be provided through local funding.

FEMA has determined that this project takes place within the primary migration corridor for the Whooping crane, a Federally listed endangered species. The portion of the project that converts the above-ground lines from three-phase to single-phase takes place within areas the migrating Whooping crane would use as either roosting/nesting areas or foraging areas.

In order to reduce potential for bird strikes, FEMA requires bird flight diverters to be installed at intervals not greater than 30 linear feet. If the power line has wires that are vertically spaced, the bird deflectors should be installed on the top wire. FEMA requires this condition to meet Section 7 Endangered Species Act (ESA) compliance. The enclosed correspondence provides additional detail with respect to Section 7 ESA consultation.

The activity completion timeframe for this project is 36 months from the date of this approval letter. If the subgrantee is unable to complete the project within the approved timeframe, the subgrantee, through the grantee, must submit a formal written request for a time extension with justification to the Regional Administrator. The request must be received by FEMA no later than 60 days prior to the expiration of the activity completion timeframe. Failure to submit timely and complete extension requests will result in a de-obligation of any funds not disbursed by the grantee within the approved activity completion timeframe.

Quarterly progress reports for HMGP projects are required. Please include this HMGP project in your future quarterly reports.

A change to the approved statement of work (SOW) requires prior approval from FEMA. The National Environmental Policy Act (NEPA) stipulates that additions or amendments to HMGP Subgrantee statement of work (SOW) shall be reviewed by all state and federal agencies participating in the NEPA process. NEPA sign-off for all SOW additions or amendments is essential before the revised SOW can be approved by FEMA or implemented by the HMGP Subgrantee.

If you have any questions concerning this correspondence, please contact Tina G. Williams, Hazard Mitigation Assistance Specialist, at (816) 283-7918 or Melissa Jannsen, Chief, Hazard Mitigation Assistance Branch at (816) 283-7918.

Sincerely,

Robert G. Bissell, Director
Mitigation Division

Cc: State Hazard Mitigation Officer
Appendix D

NEMA / FEMA FORMS

**Attachment 1** State Financial Analysis Form
**Attachment 2** Application for Federal Assistance (FORM SF-424)
**Attachment 3** Grantee Quarterly report Form
**Attachment 4** Examples of Milestones for Various Types of Hazard Mitigation Projects (i.e. Acquisition, Utility Protective Measures, Safe Rooms, Critical Facilities, and Planning Projects)
**Attachment 5** ACH Enrollment Form
**Attachment 6** Request for Taxpayer Identification Number and Certification (W-9)
# NEBRASKA EMERGENCY MANAGEMENT AGENCY

## State Financial Analysis Form

<table>
<thead>
<tr>
<th>GRANT / PROGRAM</th>
<th>Declaration/Disaster &amp; Project(#)</th>
<th>AWARDING AGENCY</th>
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<td>FEMA-DR-NE-DHS-FEMA</td>
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**PAYABLE TO (Applicant Sub-grantee):**

- **ENTITY NAME:**
- **ATTENTION:**
- **MAILING ADDRESS:**
- **CITY / STATE / ZIP:**

<table>
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<tr>
<th>FIPS # / SUB-GRANT ID</th>
<th>NIS(EDGE)# ID</th>
<th>FEDERAL EIN (VENDOR CODE)</th>
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## Applicants Claim

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## Adjustments

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## Administrative

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## AMT Due Applicant

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## Reimbursed to Date

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**AWARD FFY:**

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## Comments and Exceptions:

- **Project #**
- **Reimbursement**

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**AUTHORIZATION TOTAL:**

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[^31]: Hazard Mitigation Officer
[^32]: Response and Recovery Supervisor
[^33]: Governor’s Authorized Representative
SF-424
APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION
   - Construction
   - Non-Construction
   - Preapplication
   - Construction
   - Non-Construction

2. DATE SUBMITTED
   - Applicant Identifier

3. DATE RECEIVED BY STATE
   - State Application Identifier

4. DATE RECEIVED BY FEDERAL AGENCY
   - Federal Identifier

5. APPLICANT INFORMATION
   - Legal Name
   - Organizational DUNS:
   - Address
     - Street:
     - City:
     - County:
     - State:
     - Zip Code:
     - Country:
   - Department:
   - Division:
   - Name and telephone number of person to be contacted on matters involving this application (give area code)
     - Prefix:
     - First Name:
     - Middle Name:
     - Last Name:
     - Suffix:
     - Email:
     - Phone Number:
     - Fax Number:

6. FEDERAL EMPLOYER IDENTIFICATION NUMBER (EIN)
   - 

7. TYPE OF APPLICANT

8. TYPE OF APPLICATION
   - New
   - Continuation
   - Revision

9. NAME OF FEDERAL AGENCY

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER
    CFDA TITLE

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT

12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.)

13. PROPOSED PROJECT:
   - Start Date:
   - End Date:

14. CONGRESSIONAL DISTRICTS OF:
   - a. Applicant
   - b. Project

15. ESTIMATED FUNDING
   - a. Federal $ .00
   - b. Applicant $ .00
   - c. State $ .00
   - d. Local $ .00
   - e. Other $ .00
   - f. Program Income $ .00
   - g. TOTAL $ .00

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?
   - a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:
     - DATE: 
   - b. NO. PROGRAM IS NOT COVERED BY E.O. 12372 OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?
   - a. Name of Authorized Representative
   - b. Title
   - c. Telephone Number
   - d. Date Signed
   - Yes
   - No

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS REQUIRED.
   - a. Name of Authorized Representative
   - b. Title
   - c. Telephone Number
   - d. Date Signed

Previous Editions Usable
Authorized for Local Reproduction

Standard Form 424
Prescribed by OMB Circular A-102
INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form used by applicants as a required face sheet for pre-applications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant’s submission.

<table>
<thead>
<tr>
<th>Item</th>
<th>Entry</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Select Type of Submission.</td>
</tr>
<tr>
<td>2.</td>
<td>Date application submitted to Federal agency (or State if applicable) and applicant’s control number (if applicable).</td>
</tr>
<tr>
<td>3.</td>
<td>State use only (if applicable).</td>
</tr>
<tr>
<td>4.</td>
<td>Enter Date Received by Federal Agency Federal identifier number: If this application is a continuation or revision to an existing award, enter the present Federal identifier number. If for a new project, leave blank.</td>
</tr>
<tr>
<td>5.</td>
<td>Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, the organization’s DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.</td>
</tr>
<tr>
<td>6.</td>
<td>Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.</td>
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<tr>
<td>7.</td>
<td>Select the appropriate letter in the space provided.</td>
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<tr>
<td>8.</td>
<td>Select the type from the following list:</td>
</tr>
<tr>
<td>9.</td>
<td>Name of Federal agency from which assistance is being requested with this application.</td>
</tr>
<tr>
<td>10.</td>
<td>Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.</td>
</tr>
</tbody>
</table>

11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

12. List only the largest political entities affected (e.g., State, counties, cities).

13. Enter the proposed start date and end date of the project.

14. List the applicant’s Congressional District and any District(s) affected by the program or project.

15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.

16. Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.

17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.

18. To be signed by the authorized representative of the applicant. A copy of the governing body’s authorization for you to sign this application as official representative must be on file in the applicant’s office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
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<th>Federal Share</th>
<th>Grant Admin</th>
<th>Subgrant Admin</th>
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<th>Status Code</th>
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<th>Cost Code</th>
<th>% Complete</th>
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<td>Comments:</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>DR-Project</th>
<th>Subgrantee Information</th>
<th>Project Description</th>
<th>Project Status:</th>
<th>Total Project</th>
<th>Non-Federal Share</th>
<th>Federal Share</th>
<th>Grant Admin</th>
<th>Subgrant Admin</th>
<th>Subgrant Admin Paid To Date</th>
<th>Amount Dispersed to Applicant</th>
<th>Status Code</th>
<th>Cost Code</th>
<th>% Complete</th>
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</table>

<table>
<thead>
<tr>
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<th>Project Status:</th>
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<th>Non-Federal Share</th>
<th>Federal Share</th>
<th>Grant Admin</th>
<th>Subgrant Admin</th>
<th>Subgrant Admin Paid To Date</th>
<th>Amount Dispersed to Applicant</th>
<th>Status Code</th>
<th>Cost Code</th>
<th>% Complete</th>
</tr>
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<td>Comments:</td>
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<td></td>
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</tr>
</tbody>
</table>

**Project submission deadline:** / / 
7 % Planning: $0.00  
5 % Set Aside: $0.00  
Projects: $0.00  
Declaration Date: / / 

**Status Codes:** 1- On Schedule, 2- Suspended, 3- Delayed, 4- Canceled, 5- Completed, M-Moved  
**Cost Codes:** 1- Cost Unchanged, 2- Cost Overrun, 3- Cost Underrun, 4- See Comments
Sample Milestones for the Acquisition of Residential Structures

Project milestones should be included in the original project application and in each quarterly report until the project has been closed. Provided below are sample milestones for an acquisition project. The anticipated completion date of the project should be reflected by the project status below (On-schedule, delayed, completed, etc)

Quarterly Report Performance Period Date

<table>
<thead>
<tr>
<th>Total Project Status</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ On Schedule</td>
<td>Project approval date</td>
</tr>
<tr>
<td>□ Suspended</td>
<td></td>
</tr>
<tr>
<td>□ Delayed</td>
<td></td>
</tr>
<tr>
<td>□ Canceled</td>
<td></td>
</tr>
<tr>
<td>□ Completed</td>
<td></td>
</tr>
</tbody>
</table>

Work Schedule (Milestones)

<table>
<thead>
<tr>
<th>#</th>
<th>Description</th>
<th>Anticipated Completion Date</th>
<th>Actual Completion Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Develop and adopt flood buyout policy for community</td>
<td>1 month after project approval</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Begin appraisal and title searches</td>
<td>2 months after project approval</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Begin property closings</td>
<td>4 months after project approval</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Contracting for demolition</td>
<td>8 months after project approval</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Complete demolition for all projects</td>
<td>12 months after project approval</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Payment of all bills related to the buyout &amp; closeout site review with state scheduled</td>
<td>13 months after project approval</td>
<td></td>
</tr>
</tbody>
</table>

Work schedule/milestones should be created and used as a tool to compare project performance with the goals and objectives established. Upon project approval, dates should be formed that reflect anticipated completion dates for each milestone included in the project application and should be included in each quarterly report. Unmet milestones should be explained with a justification or reasons for a possible delay.

NOTE: These are example milestones and reflect “typical” project timeframes. Milestones and anticipated completion dates should be determined on a case-by-case basis taking into consideration size of project, construction seasons, etc.
Sample Milestones for Improvements of Power Lines
HMGP Project Type = 400.1 Utility Protective Measures (Electric, Gas, etc.)

Project milestones should be included in the original project application and in each quarterly report while the project is open. Provided below are sample milestones for an improvement of power lines. The milestones for the project should directly relate to the status of the project, which would be one of the five options as described below.

<table>
<thead>
<tr>
<th>Quarterly report Performance Period Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Project Status</td>
</tr>
<tr>
<td>☐ On Schedule</td>
</tr>
<tr>
<td>☐ Suspended</td>
</tr>
<tr>
<td>☐ Delayed</td>
</tr>
<tr>
<td>☐ Canceled</td>
</tr>
<tr>
<td>☐ Completed</td>
</tr>
</tbody>
</table>

### Work Schedule (Milestones)

<table>
<thead>
<tr>
<th>#</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>A.</td>
<td>“Community to Community” (Section 1 of Project)</td>
</tr>
<tr>
<td>1</td>
<td>Design Engineering</td>
</tr>
<tr>
<td>2</td>
<td>Right of Way Acquisition</td>
</tr>
<tr>
<td>3</td>
<td>Survey and Stake Structure</td>
</tr>
<tr>
<td>4</td>
<td>Requisition Materials</td>
</tr>
<tr>
<td>5</td>
<td>Construction</td>
</tr>
<tr>
<td>6</td>
<td>Settle Damages with land owners</td>
</tr>
<tr>
<td>7</td>
<td>Preparation of Reimbursement Request</td>
</tr>
</tbody>
</table>

| B. | “Community to Community” (Section 2 of Project)                              |
| 1  | Design Engineering                                                           |
| 2  | Right of Way Acquisition                                                    |
| 3  | Survey and Stake Structure                                                   |
| 4  | Requisition Materials                                                       |
| 5  | Construction                                                                 |
| 6  | Settle Damages with land owners                                             |
| 7  | Preparation of Reimbursement Request                                        |

| C. | States Request for Closeout                                                 |

Work schedule/milestones should be created to complement the projects goals and objectives and be used as a tool to compare performance with goals and objectives. Upon project approval, dates may be formed from the estimated days for each milestone and included in quarterly reports. Unmet milestones should be accompanied with a justification or reason for a possible delay.

Anticipated completion dates for the milestones identified above were not completed. A sample milestone exercise for this type of project would not allow an accurate display of the time needed to complete these actions. Each power pole project will vary depending on the power district, “sub-projects” involved, such as those indicated in the table for a stretch of line from community to community. Completion dates are formed when it is possible to get the line out of service to complete the work, depending on schedules of other projects, when the crews are available, weather, etc.
Sample Milestones for a Tornado Safe Room Project

Project milestones should be included in the original project application and in each quarterly report while the project is open. Provided below are sample milestones for the construction of a Tornado Safe Room. The milestones for the project should directly relate to the status of the project, which would be one of the five options as described below.

### Quarterly Report Performance Period Date

<table>
<thead>
<tr>
<th>Total Project Status</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ On Schedule</td>
<td>Project approval date</td>
</tr>
<tr>
<td>□ Suspended</td>
<td></td>
</tr>
<tr>
<td>□ Delayed</td>
<td></td>
</tr>
<tr>
<td>□ Canceled</td>
<td></td>
</tr>
<tr>
<td>□ Completed</td>
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</tbody>
</table>

### Work Schedule (Milestones)

<table>
<thead>
<tr>
<th>#</th>
<th>Description</th>
<th>Anticipated Completion Date</th>
<th>Actual Completion Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Complete Site Survey (to determine Flood elevation for Design, Tornado/Wind Safe Room must be above 500-year flood event)</td>
<td>Approx 30-60 days</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Complete Design</td>
<td>Approx 90-120 days</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Start Construction</td>
<td>Approx 12 to 18 mo after proj approval</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>End Construction</td>
<td>Approx 12 to 18 mo after proj approval</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Approval of Operations Plan/Emergency Kit</td>
<td>Approx 12-24 mo after proj approval</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>States Request for Closeout</td>
<td>Approx 12-24 mo after proj approval Approx 90 days</td>
<td></td>
</tr>
</tbody>
</table>

Work Schedule/milestones should be created to complement the project goals and objectives and be used as a tool to compare performance with the goals and objectives. Upon project approval, dates may be formed from the estimated days for each milestone and included in quarterly reports. Unmet milestones should be accompanied with a justification or reason for a possible delay.

**NOTE:** These are only estimated time frames and sample milestones. The time frame for each milestone noted above, may vary due to time of year that the project or design is approved (i.e. season, and/or severe weather conditions.)

These milestones are general. We realize that many steps may not be included above however; this does not restrict the state/community from adding or eliminating various milestones within their applications.

**Phase Project Approval**

**Phase I, Design,** this is funding to complete the architectural and engineering (design) of the Tornado/Wind Safe Room. This phase will be coordinated with FEMA to ensure the design is in accordance with the Design and Construction Guidance for Tornado/Wind Safe Rooms FEMA 361. No Construction may proceed until FEMA reviews and approves the design.

**Phase II, Construction,** FEMA will notify the Grantee in writing that the design was found acceptable, the approval may or may not include conditions. At this time funding will be released to complete the construction of the Tornado/Wind Safe Room.
Sample Milestones for the Protection of a Wastewater Treatment Plant/Critical Facility

Project milestones should be included in the original project application and in each quarterly report while the project is open. Provided below are sample milestones for the Protection of the Wastewater Treatment Plant/Critical Facility. The milestones for the project should directly relate to the status of the project, which would be one of the five options as described below.

Quarterly Report Performance Period Date

<table>
<thead>
<tr>
<th>Total Project Status</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ On Schedule</td>
<td>Project approval date</td>
</tr>
<tr>
<td>□ Suspended</td>
<td></td>
</tr>
<tr>
<td>□ Delayed</td>
<td></td>
</tr>
<tr>
<td>□ Canceled</td>
<td></td>
</tr>
<tr>
<td>□ Completed</td>
<td></td>
</tr>
</tbody>
</table>

Work Schedule (Milestones)

<table>
<thead>
<tr>
<th>#</th>
<th>Description</th>
<th>Anticipated Completion Date</th>
<th>Actual Completion Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Feasibility/Engineering Study/Preliminary Design</td>
<td>Approx 3-6 mo</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>FEMA approval of alternative selected</td>
<td>Approx 30 days</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>Final Design</td>
<td>Approx 30 days</td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td>NEPA</td>
<td>Approx 90 days</td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td>Bid Letting/Award for Construction</td>
<td>Approx 45 days</td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td>Purchase of Land Easements (if required)</td>
<td>Approx 120 days</td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td>Required Permits obtained</td>
<td>Approx 60 days</td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td>Construction</td>
<td>Approx 6-12 mo</td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td>Preparation of Reimbursement Request</td>
<td>Approx 90 days</td>
<td></td>
</tr>
</tbody>
</table>

Three years from start to finish should be the estimated maximum time needed to complete such projects, which would include any weather delays.

Work schedule/milestones should be created to complement the projects’ goals and objectives and be used as a tool to compare performance with the goals and objectives. Upon project approval, dates may be formed from the estimated days for each milestone and included in quarterly reports. Unmet milestones should be accompanied with a justification or reason for a possible delay.

**NOTE:** These are only estimated time frames and sample milestones. Several milestones could be completed simultaneously.

These milestones are general. We realize that many steps may not be included above however; this does not restrict the state/community from adding or eliminating various milestones within their applications.
Sample Milestones for Planning Projects

Project milestones should be included in the original project application and reflective in quarterly reports while the project is open. Provided below are sample milestones for mitigation planning projects. The milestones for the project should directly relate to the status of the project, which would be one of the five options as described below.

Quarterly Report Performance Period Date

<table>
<thead>
<tr>
<th>Total Project Status</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>On Schedule</td>
<td>Project approval date</td>
</tr>
<tr>
<td>Suspended</td>
<td></td>
</tr>
<tr>
<td>Delayed</td>
<td></td>
</tr>
<tr>
<td>Canceled</td>
<td></td>
</tr>
<tr>
<td>Completed</td>
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</tbody>
</table>

Work Schedule (Milestones)

<table>
<thead>
<tr>
<th>#</th>
<th>Description</th>
<th>Anticipated Completion Date</th>
<th>Actual Completion Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Development of Planning Committee</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>Risk Assessment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>Development of Mitigation Strategies</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td>Submission to FEMA for review prior to adoption</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td>Monitoring, Evaluating and Adoption</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>States Request for Closeout</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Work schedule/milestones should be created to complement the projects goals and objectives and be used as a tool to compare performance with the goals and objectives. Upon project approval, dates may be formed from the estimated days for each milestone and included in quarterly reports. Unmet milestones should be accompanied with a justification or reason for a possible delay.
# STATE OF NEBRASKA ACH ENROLLMENT FORM

**Mail or Fax to:** State Accounting - Operations  
**Attn:** Dee Ward  
**PO Box 94664**  
**Lincoln, NE 68509-4664**  
**Phone:** 402-471-0603  
**Fax:** 402-471-0687

- **New**  
- **Change**

**Email questions only to:** Dee.Ward@nebraska.gov  
*(Please do not email a form, thank you.)*

---

**Financial Institution Information**

<table>
<thead>
<tr>
<th>Name</th>
<th>Address</th>
<th>ACH Coordinators:</th>
<th>Phone</th>
<th>Fax</th>
<th>Nine Digit Routing Transit #</th>
<th>Depositor Account#</th>
<th>Depositor Account Title</th>
</tr>
</thead>
</table>

**Type of Account:**

- Checking
- Savings

**Check One of the Following:**

- Only payments to the State of Nebraska
- Only payments listed below (list the State Agency):

---

The State of Nebraska will provide the contact information to the financial institution so that the payee can be reached by the ACH. The financial institution will respond to the vendor by the opening of business on the second banking day following the submission date of the payment. Please submit the ACH plan to your financial institution regarding the services you are authorized to make available.

**(Please Print or Type - Signature Required)**

**Vendor Signature:**

**Authorized Bank Signature:**

**Name:**

**Title:**

**Date:**

---

The ACH Enrollment Form shall be completed by the vendor. If the vendor has any questions, please contact the State Accounting Division at 402-471-0604 or 402-471-2581.
# State of Nebraska Substitute Form W-9

**Request for Taxpayer Identification Number and Certification**

Give form to the requester. Do not send to the IRS.

<table>
<thead>
<tr>
<th>Internal Use Only</th>
</tr>
</thead>
<tbody>
<tr>
<td>NEW</td>
</tr>
<tr>
<td>PP</td>
</tr>
<tr>
<td>V</td>
</tr>
<tr>
<td>VP</td>
</tr>
</tbody>
</table>

---

**Printed Name:** __________________________________________

**Contact Phone:** _______________________

**E-mail:** __________________________________________

**Comments or Business/Entity Notes:**

_________________________________________________________________________________________________

_________________________________________________________________________________________________

_________________________________________________________________________________________________

_________________________________________________________________________________________________

**Internal Use Only:**

_________________________________________________________________________________________________

_________________________________________________________________________________________________

---

**W-9**

(form Rev. October 2007)

Department of the Treasury
Internal Revenue Service

---

**Part I**

Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on Line 1 to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see How to get a TIN on page 3.

**Note.** If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

---

**Part II**

Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and

2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and

3. I am a U.S. citizen or other U.S. person (defined below).

Certification Instructions. You must cross out Item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, Item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN. See the instructions on page 4.

---

**Printed Name:** _______________________

**Contact Phone:** _______________________

**E-mail:** _______________________

**Comments or Business/Entity Notes:**

_________________________________________________________________________________________________

_________________________________________________________________________________________________

_________________________________________________________________________________________________

---

**Internal Use Only:**

_________________________________________________________________________________________________

_________________________________________________________________________________________________

---
General Instructions
Section references are to the Internal Revenue Code unless otherwise noted.

Purpose of Form
A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:
1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners’ share of effectively connected income.

Note. If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester’s form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:
• An individual who is a U.S. citizen or U.S. resident alien,
• A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
• An estate (other than a foreign estate), or
• A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax on any foreign partners’ share of income from such business. Further, in certain cases where a Form W-9 has not been received, a partnership is required to presume that a partner is a foreign person, and pay the withholding tax.

Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid withholding on your share of partnership income.

The person who gives Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States is in the following cases:
• The U.S. owner of a disregarded entity and not the entity,
• The U.S. grantor or other owner of a grantor trust and not the trust, and
• The U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

Foreign person. If you are a foreign person, do not use Form W-9. Instead, use the appropriate Form W-8 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a “saving clause.” Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items:
1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

Example. Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity not subject to backup withholding, give the requester the appropriate completed Form W-8.

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS 28% of such payments. This is called “backup withholding.” Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

Payments you receive will be subject to backup withholding if:
1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the Part II instructions on page 3 for details),
3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See the instructions below and the separate Instructions for the Requester of Form W-9.

Also see Special rules for partnerships on page 1.

Penalties
Failure to furnish TIN. If you fail to furnish your correct TIN to a requester, you are subject to a penalty of $50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.
Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a $500 penalty.

Criminal penalty for falsifying information. Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Misuse of TINs. If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

Specific Instructions

Name

If you are an individual, you must generally enter the name shown on your income tax return. However, if you have changed your last name, for instance, due to marriage without informing the Social Security Administration of the name change, enter your first name, the last name shown on your social security card, and your new last name. If the account is in joint names, list first, and then circle, the name of the person or entity whose number you entered in Part I of the form.

Sole proprietor. Enter your individual name as shown on your income tax return on the “Name” line. You may enter your business, trade, or “doing business as (DBA)” name on the “Business name” line.

Limited liability company (LLC). Check the “Limited liability company” box only and enter the appropriate code for the tax classification ("D" for disregarded entity, "C" for corporation, "P" for partnership) in the space provided. For a single-member LLC (including a foreign LLC with a domestic owner) that is disregarded as an entity separate from its owner under Regulations section 301.7701-3, enter the owner’s name on the “Name” line. Enter the LLC’s name on the “Business name” line.

For an LLC classified as a partnership or a corporation, enter the LLC’s name on the “Name” line and any business, trade, or DBA name on the “Business name” line.

Other entities. Enter your business name as shown on required federal tax documents on the “Name” line. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on the “Business name” line.

Note. You are requested to check the appropriate box for your status (individual/sole proprietor, corporation, etc.).

Exempt Payee

If you are exempt from backup withholding, enter your name as described above and check the appropriate box for your status, then check the “Exempt payee” box in the line following the business name, sign and date the form.

Generally, individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends.

Note. If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding.

The following payees are exempt from backup withholding:

1. An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2),
2. The United States or any of its agencies or instrumentalities,
3. A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities,
4. A foreign government or any of its political subdivisions, agencies, or instrumentalities, or
5. An international organization or any of its agencies or instrumentalities.

Other payees that may be exempt from backup withholding include:

6. A corporation,
7. A foreign central bank of issue,
8. A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States,
9. A futures commission merchant registered with the Commodity Futures Trading Commission,
10. A real estate investment trust,
11. An entity registered at all times during the tax year under the Investment Company Act of 1940,
12. A common trust fund operated by a bank under section 584(a),
13. A financial institution,
14. A middleman known in the investment community as a nominee or custodian, or
15. A trust exempt from tax under section 664 or described in section 4947.

The chart below shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 15.

<table>
<thead>
<tr>
<th>IF the payment is for ...</th>
<th>THEN the payment is exempt for ...</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interest and dividend payments</td>
<td>All exempt payees except for 9</td>
</tr>
<tr>
<td>Broker transactions</td>
<td>Exempt payees 1 through 13. Also, a person registered under the Investment Advisers Act of 1940 who regularly acts as a broker</td>
</tr>
<tr>
<td>Barter exchange transactions and patronage dividends</td>
<td>Exempt payees 1 through 5</td>
</tr>
<tr>
<td>Payments over $600 required to be reported and direct sales over $5,0001</td>
<td>Generally, exempt payees 1 through 7 2</td>
</tr>
</tbody>
</table>

1See Form 1099-MISC, Miscellaneous Income, and its instructions.
2 However, the following payments made to a corporation (including gross proceeds paid to an attorney under section 6045(f), even if the attorney is a corporation) and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys’ fees, and payments for services paid by a federal executive agency.

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see How to get a TIN below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see Limited liability company (LLC) on page 2), enter the owner’s SSN (or EIN, if the owner has one). Do not enter the disregarded entity’s EIN. If the LLC is classified as a corporation or partnership, enter the entity’s EIN.
Note. See the chart on page 4 for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local Social Security Administration office or get this form online at www.ssa.gov. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/businesses and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting www.irs.gov or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, write “Applied For” in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

Note. Entering “Applied For” means that you have already applied for a TIN or that you intend to apply for one soon.

Caution: A disregarded domestic entity that has a foreign owner must use the appropriate Form W-8.

Part II. Certification
To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if items 1, 4, and 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). Exempt payees, see Exempt Payee on page 2.

Signature requirements. Complete the certification as indicated in 1 through 5 below.

1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983. You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983. You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

3. Real estate transactions. You must sign the certification. You may cross out item 2 of the certification.

4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. “Other payments” include payments made in the course of the requester’s trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

<table>
<thead>
<tr>
<th>For this type of account:</th>
<th>Give name and SSN of:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Individual</td>
<td>The individual</td>
</tr>
<tr>
<td>2. Two or more individuals (joint account)</td>
<td>The actual owner of the account or, if combined funds, the first individual on the account</td>
</tr>
<tr>
<td>3. Custodian account of a minor (Uniform Gift to Minors Act)</td>
<td>The minor</td>
</tr>
<tr>
<td>4. a. The usual revocable savings trust (grantor is also trustee)</td>
<td>The grantor-trustee 1</td>
</tr>
<tr>
<td>b. So-called trust account that is not a legal or valid trust under state law</td>
<td>The actual owner 1</td>
</tr>
<tr>
<td>5. Sole proprietorship or disregarded entity owned by an individual</td>
<td>The owner 3</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>For this type of account:</th>
<th>Give name and EIN of:</th>
</tr>
</thead>
<tbody>
<tr>
<td>6. Disregarded entity not owned by an individual</td>
<td>The owner</td>
</tr>
<tr>
<td>7. A valid trust, estate, or pension trust</td>
<td>Legal entity 4</td>
</tr>
<tr>
<td>8. Corporate or LLC electing corporate status on Form 8832</td>
<td>The corporation</td>
</tr>
<tr>
<td>9. Association, club, religious, charitable, educational, or other tax-exempt organization</td>
<td>The organization</td>
</tr>
<tr>
<td>10. Partnership or multi-member LLC</td>
<td>The partnership</td>
</tr>
<tr>
<td>11. A broker or registered nominee</td>
<td>The broker or nominee</td>
</tr>
<tr>
<td>12. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments</td>
<td>The public entity</td>
</tr>
</tbody>
</table>

Note. If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Secure Your Tax Records from Identity Theft
Identity theft occurs when someone uses your personal information such as your name, social security number (SSN), or other identifying information, without your permission, to commit...
fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund. To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

Call the IRS at 1-800-829-1040 if you think your identity has been used inappropriately for tax purposes.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

Protect yourself from suspicious emails or phishing schemes. Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts. If you receive an unsolicited email claiming to be from the IRS, forward this message to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS personal property to the Treasury Inspector General for Tax Administration at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: spam@uce.gov or contact them at www.consumer.gov/idtheft or 1-877-IDTHEFT(438-4338).

Visit the IRS website at www.irs.gov to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons who must file information returns with the IRS to report interest, dividends, and certain other income paid to you, mortgage interest you paid, the acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA, or Archer MSA or HSA. The IRS uses the numbers for identification purposes and to help verify the accuracy of your tax return. The IRS may also provide this information to the Department of Justice for civil and criminal litigation, and to cities, states, the District of Columbia, and U.S. possessions to carry out their tax laws. We may also disclose this information to other countries under a tax treaty, to federal and state agencies to enforce federal nontax criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism.

You must provide your TIN whether or not you are required to file a tax return. Payers must generally withhold 28% of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to a payer. Certain penalties may also apply.
Appendix E

Considerations Regarding Acquisition of Floodplain Real Property

ATTACHMENT 1 VOLUNTARY TRANSACTION AGREEMENT
ATTACHMENT 2 EXAMPLE DEED RESTRICTIONS
ATTACHMENT 3 VOLUNTARY ACQUISITION & RELOCATION APPLICANT DECISION TREE HOW TO DETERMINE PURCHASE OFFER
ATTACHMENT 4 DUPLICATION OF BENEFITS LETTER
ATTACHMENT 5 ASSURANCES FOR ACQUISITION PROJECTS
CONSIDERATIONS REGARDING ACQUISITION OF FLOODPLAIN REAL PROPERTY

• References:
  o 44 CFR Part §206.434
  o 44 CFR §80, FEMA Property Acquisition and Relocation for the Purpose of Open Space
  o Property Acquisition Handbook for Local Communities, FEMA 317, October 1998
  o FEMA 345/October 1999 Hazard Mitigation Grant Program Desk Reference
  o 44 CFR Parts 10, 13, and 14
  o OMB Circular A-133

• Policy Guidance:
  o Buyout HMG Project applications should address the following points:
    ▪ All floodplain property sellers are voluntary participants in the acquisition and/or relocation of real property. Reference must be made that Acquisition and/or Relocation projects are voluntary. This must be clearly established in the project documents.
    ▪ In accordance with 44 CFR Part §80, the following restrictive covenants shall be conveyed in the real property deed: (See Attachment 1 to Appendix 2)
      • The following restrictive covenants shall be conveyed in the deed to any property acquired, accepted, or from which structures are removed (hereafter called “the property”):
        o The property shall be dedicated and maintained in perpetuity for uses compatible with open space, recreational or wetlands management practices; and
        o No new structure(s) will be built on the property except as indicated below:
          ▪ A public facility that is open on all sides and functionally related to a designated open space or recreational use;
          ▪ A public rest room; or
          ▪ A structure that is compatible with open space, recreational, or wetlands practices, which the Director approves in writing before the construction of the structure begins.
          ▪ The premises shall remain in public ownership.
        o After completion of the project, no application for additional disaster assistance shall be made for any purpose with respect to the property to any Federal entity or source, and no Federal entity or source will provide such assistance.
        o The subgrantee accepts responsibility for monitoring and enforcing the deed language. Every three years the subgrantee will submit to FEMA through the State, a report certifying that the subgrantee has inspected the property within 30 days of the report and that the property continues to be maintained consistent with the provisions of the grant.
    ▪ In general, allowable open space, recreational, and wetland management uses include parks for outdoor recreational activities, nature reserves, cultivation, grazing, camping (except where adequate warning time is not available to allow evacuation), temporary storage in the open of wheeled vehicles which are easily movable (except mobile homes), unimproved, pervious parking lots, and buffer zones.
    ▪ Any structures built on the property according to the above paragraph (d) 1) of this section, shall be flood proofed or elevated to the Base Flood Elevation plus at a minimum one foot of freeboard.
    ▪ In order to carry out the tasks associated with monitoring the open space requirement the State will have the right to enter the parcel, with notice to the parcel owner. Subgrantees may identify the open space nature of the property on local tax maps to assist with monitoring. Whether the subgrantee obtains full title or a conservation easement on the parcel the State must work with the subgrantee to ensure that the parcel owner maintains the property in accordance with the land use restrictions.
    ▪ Acquisition lands shall be managed in full compliance with all land use and floodplain management regulations.

•
HMGP grants for acquisition of flood prone property cannot be made available in certain communities which do not participate in the National Flood Insurance Program (NFIP). Federal grants cannot be given for acquisition or construction purposes if the site is located in a designated special flood hazard area which has been identified by the Director for at least one year and the community is not participating in the NFIP. However, if the community qualifies for and enters the NFIP during the six-month period following the major disaster declaration, a grant application may be considered by the State. FEMA recommends that the States give priority to those communities that were participating in good standing in the NFIP before the disaster and are complying with NFIP requirements during reconstruction.

**Environmental Matters**

- To comply with the National Environmental Policy Act (NEPA), FEMA must conduct an environmental review of the proposed acquisition or relocation. Depending on the scope of the project, the review is documented in one of three forms:
  - A memorandum to the file indicating that the project is categorically excluded;
  - An Environmental Assessment (EA); or
  - An Environmental Impact Statement (EIS).

  - FEMA has published an amendment to its categorical exclusions (44 CFR Part 10) which excludes projects involving only the acquisition of properties and the demolition of structures from the need to perform an environmental assessment. Projects meeting this exclusion will generally require only a memorandum to the file, signed by the Regional Director, indicating the applicability of the categorical exclusion and compliance with other laws, such as the National Historic Preservation Act, the Endangered Species Act, and the Clean Water Act. FEMA and the State or applicant must coordinate with the State Historic Preservation Officer on all acquisition projects to ensure compliance with the Section 106 process. Projects involving actual structure relocation’s or new site developments will require an EA or EIS.

  - In addition to the elements identified at 44 CFR Part §10.9 and §10.10, the environmental review documents should contain descriptions of how the project meets the minimum requirements listed above, how the project was coordinated with other programs and agencies, and what the disposition of the property and structures will be. If the project involves the physical relocation of a structure to a new site, the environmental review should discuss the impacts to both the old site and the new one.

  - If a community is considering purchasing commercial or agricultural property, it should ensure that the owner provides information identifying any hazardous materials in the property. The community should require the owner to remove hazardous materials and containers, before purchasing such properties. FEMA funds cannot be used to purchase contaminated property. The owner must certify that any contamination has been cleaned up to meet Federal and State standards before the community can purchase any interest (including an easement for development rights) in the property. When the community purchases an easement for development rights only, the seller must agree to indemnify FEMA and the community for any liability arising from contamination of the property.

    - For each property identified for acquisition, the subgrantee should establish and document a fair market value. The value must be derived from a reasonable methodology that has been consistently applied throughout the community, such as independent appraisals, opinions of value, or a formula based on tax assessments. FEMA should coordinate with the State and the subgrantee in their determination of whether the valuation should be based on pre- or post-flood market value. However, all appraisals for the HMGP project should be based on the same terms.

The subgrantee should ensure that all property owners are treated fairly and are offered an equitable package of benefits. During major disaster recovery when purchasing flood damaged property the subgrantee must make certain deductions from the established fair market value before making a purchase offer. However, in these situations FEMA offers the State the option of providing a credit to property owners with flood insurance. Thus, the subgrantee would allow the property owner to retain an amount from the flood insurance claim settlement equal to up to five years of flood insurance premiums actually paid by the current property owner for a National
Flood Insurance Policy for structure coverage. (Normally the subgrantee must deduct the entire flood insurance settlement awarded for structure repair from the purchase offer in accordance with duplication of benefits procedures.) The amount retained would be in no case greater than the amount paid as claim settlement for building damage to the property; nor would it be more than premiums actually paid by the property owner for structure (as opposed to contents) coverage for the preceding five year period.

- The subgrantee should inform each property owner of what it considers to be the fair market value of the property. The subgrantee may wish to set a time limit with the property owner for the validity of a purchase offer. If the current property owner purchased the flood-damaged property after the disaster declaration, then the community cannot offer the owner more than the post-flood fair market value, i.e. the amount paid by the current owner for the damaged property.
- The subgrantee must conduct a title search for each property to ensure that there are no mortgages or liens outstanding at the time of sale. The Subgrantee Administrative Plan should include this stipulation.

- The Uniform Relocation Assistance and Real Property Acquisition Policies Act (URA) mandates that property owners receive just compensation for their property and relocation assistance from Federal acquisition programs. The URA also sets specific time limits and places other requirements on the acquiring agency. There are exceptions to the provisions of the URA, however, for voluntary transactions which meet the specific criteria found at 44 CFR Part 90. This exception requires that the acquiring agency (subgrantee) inform the property owner in writing:

  - That it will not use its power of condemnation to acquire the property in the event negotiations fail; and
  - What it believes to be the fair market value of the property.

- Note: The Hazard Mitigation and Relocation Assistance Act of 1993 provides a special exemption for acquisition and relocation projects implemented as a result of the Midwest flood disasters of 1993. This means that for those particular disasters, the URA does not apply if the following criteria are met:
  - The purchasing agency (subgrantee) notifies the property owner in writing that it will not use its power of condemnation to acquire the property;
  - The project is carried out by or through a State or unit of general local government; and
  - Assistance is provided to the project through FEMA or another Federal agency in response to the disaster.

  Although HMGP projects must meet the above criteria for voluntary programs, thus allowing an exception to URA provisions, FEMA recommends that the property owner and the subgrantee sign a Voluntary Transaction Agreement (Attachment 1). This ensures that the property owner understands that they are not automatically eligible for additional relocation benefits beyond the purchase price of the property.

- Mandatory URA Assistance for Displaced Tenants

  - Tenants who must relocate as a result of acquisition of their pre-flood housing are entitled to URA relocation benefits (such as moving expenses, rental payments, and relocation assistance advisory services), regardless of the owner’s voluntary participation. For details on these requirements, see 49 CFR Part 24, Subpart C.
  - A tenant displaced from a dwelling due to a FEMA funded acquisition project is entitled to rental assistance if:

    - That tenant occupied the displacement dwelling for 90 days preceding the negotiations for aquisition of the property; and
    - The tenant rents or purchases and occupies a decent, safe, and sanitary replacement dwelling within one year after the date he or she moves out of the original dwelling.

  The amount of assistance the community must pay to the tenant is derived from 49 CFR Part 80. The URA states that an eligible displaced tenant is entitled to:

  - Reasonable out-of-pocket moving expenses; and
  - Compensation for a reasonable increase in rent and utility costs incurred in connection with the relocation.
Compensation for rent increase shall be 42 times the amount which is obtained by subtracting the “base monthly rent” for the displacement dwelling from the monthly rent and average monthly cost of utilities for a comparable replacement dwelling, or the decent, safe, and sanitary replacement dwelling now occupied by the displaced person. The rental increase payment may not exceed a total of $5,250. Communities may exceed this limit in extraordinary circumstances, if necessary to ensure that a displaced tenant will be able to obtain and retain a decent, safe, and sanitary comparable unit outside of the floodplain.

The “base monthly rent” for the displacement dwelling is the lesser of the average monthly cost for utilities plus the rent at the displacement dwelling as determined by the Agency, or 30% of the tenant’s (the URA regulations define tenant as any individual, family, partnership, corporation, or association) average gross household income.

A rental assistance payment may, at the subgrantee’s discretion, be disbursed in either a lump sum or in installments. However, if any HUD programs are providing partial funding for the project, rental assistance payments may not be disbursed in a lump sum.

If the tenant chooses to purchase a comparable replacement dwelling, he or she may apply the amount of rental assistance towards the down payment.

Subgrantee Administrative Plan

Each community/subgrantee must develop a Local Administrative Plan that details the local level management of the HMGP. The subgrantee should work closely with the State Hazard Mitigation Officer to ensure that procedures and management systems are consistent with the State Administrative Plan. At a minimum the local Administrative Plan should include:

- A copy of the adopted local ordinance that supports the efforts of the grant project.
- The procedure and method to establish individual files for all participants in a buyout/relocation effort. Communication with all funding agencies to ensure that duplicate procedures are combined into one. For example, one filing system for all funding sources, if allowable.
- The accounting procedures to request funds from the state, track budget expenditures, etc. If terms and conditions of the grant approval include the potential to generate program income, the subgrantee should develop a plan of action to ensure the generated income is processed in accordance with agency guidelines.
- Staffing needs to accomplish project. If projected need is higher than the administrative award within the HMGP, the needed positions must be clearly outlined. For example: position description, budget needs, length of time, etc. Indication of community participation in other Emergency Management Programs. If yes, communities are cautioned against using staff funded under other Emergency Management programs for HMGP.
- Development of the procedure and method to be used to determine the purchase price of a structure. The procedure should include any optional funds being offered to participants in the program and method used to determine the base amount. A strategy that has timelines for offering. For example, homeowners in temporary housing should be prioritized first. Length of time purchase offer is available.
- Procedure to avoid duplication of benefits that individuals or businesses may have received prior to implementation of the grant agreement.
- A stipulation that homeowners must vacate the structure on or before the day the purchase agreement is signed. Establishment of a procedure to assist any tenants in the buyout program in their relocation.
• Development of appropriate deed language to ensure all restrictions are in accordance with this guidance (See Attachment 1). In addition, consider the purchase of Title Insurance with each home purchased.

• A statement that public ownership of flood-prone land is the intent of the program. Policy issued by FEMA Region VII states that no re-conveyance of land from public entity to private entity will be allowed.

• A method to handle salvage value that is in accordance with federal and state regulations. A procedure to accomplish demolition of structures purchased. The procedure should adopt existing policies and regulations from agencies that support the demolition efforts. If the demolition will be funded with HMGP funds, payment will be withheld at FEMA for this activity until all clearances/permits are acknowledged. We recommend that the subgrantee request asbestos inspection for all buyout homes prior to purchase. The cost for removal or treatment of the asbestos could have a significant impact on the cost of the project. The fire department may be trained in inspection/removal procedures; check with local agencies.

• A procedure to ensure historic structures will be protected until a mitigation decision is reached.

• A procedure to ensure that all amendments to the scope of work will be done in accordance with grant regulations. Amendments include budget and performance.

• A timeline inclusive of goals and milestones that sets the projected close-out date for the project.

Duplication of Benefits

- In the administration of HMGP grants for property acquisition, FEMA and the grantee should avoid any duplication of benefits with other forms of assistance. FEMA’s policy on duplication of benefits for individuals and families is mandated by Section 312 of the Stafford Act and is set forth in 44 C FR Part §206.191.

- Financial payments paid to homeowners for structural repairs to the flooded property will be deducted from the pre-flood appraisal or the replacement housing payment if not used for the intended purpose. The types of grants that will be considered advances toward the purchase price or replacement housing payment if receipts cannot be provided indicating proceeds were used for intended purpose include:
  - FEMA’s Individuals and Households Program (IHP)
  - The FEMA IHP programs are designed to assist households so they may be safely housed and to cover necessary expenses and serious needs following the effects of a disaster. To be initially considered for any type of FEMA IHP assistance, the affected home must be a primary residence, the home must be located in the declared disaster area, and necessary expense or serious need must have occurred in the declared area, and the applicant must be a United States citizen, an on-citizen national, or a qualified alien.

- Under the program, there are two types of assistance, Housing Assistance (includes Temporary Housing, Repair, Replacement, and Permanent Housing Construction); and Other Needs Assistance (includes personal property, medical, dental, funeral, and other items).
  - National Flood Insurance Program (NFIP) Settlements NFIP deductions will be researched and figured for any homeowner involved in the buyout that received NFIP settlements for real property. Only real property settlements will be deducted unless the owner has already made repairs and can verify with receipts.
  - Small Business Administration
All loans for real property that have been disbursed prior to closing will be repaid to SBA, provided there are a balance of funds after all other deductions. If there are any net proceeds after other lien holder deductions, these proceeds must be applied to the outstanding SBA loan. The proceeds will be applied until they are exhausted or the loan is paid off, whichever comes first.

The procedure for preventing the duplication of primary provider benefits follows.

- The subgrantee provides for the State and/or FEMA with a list of property owners who are participating in the property purchase program.
- The subgrantee (with the advice and assistance of the State and FEMA) should establish the fair market value of the property.
- The State and/or FEMA will inform the subgrantee of the amount of assistance (from primary providers) provided to each property owner as a result of the same event initiating the acquisition project.
- If insurance payments (to include private insurance for wind damage and/or flood claims), IHP grants and/or other disaster assistance were awarded for the purpose of making repairs to a structure, the subgrantee must reduce the purchase offer by the amount of the awards. Reductions should not be taken, however, for repairs which the homeowner can show (with receipts) were actually made.

Property owners who have SBA loans are either required to repay the loan or roll it over to a new property at closing.

- This procedure does not amount to the repayment of primary provider grant assistance (i.e. insurance settlements, etc.). The property owner may keep these benefits, but the Section 404 program cannot duplicate them by paying full pre-flood fair market value for the property. If the community is paying the post-flood fair market value of the property, no deductions for primary provider benefits are necessary.
- The Duplication of Benefits process is a critical step in all buyout programs. The subgrantee makes the preliminary Duplication of Benefits Research Request which must be submitted to FEMA Region VII as shown in Attachment 3 this Appendix. The seller must sign the Disclosure form so that the information can be released.
- After FEMA Region VII has received the request for duplication of benefits information a Settlement Sheet as shown in Attachment 4 will be prepared and mailed to the subgrantee (a copy of this form should also be provided to NEMA).

**Disposition of Property**

**Property Title and Re-conveyance**

- Depending upon the scope of the project, title to the property is treated in one of two ways:
  - Full title is acquired or accepted by a public entity (the community, a land trust organization, a State agency, etc.); or
  - The subgrantee acquires all development rights to the property, with the original owner retaining only the right to make use of the property for farming or quiet enjoyment.
- The subgrantee or other public property owner will seek the approval of the State grantee agency and the FEMA Regional Director before conveying ownership of the property to any other party. All development rights to the property must be retained by the subgrantee or other public entity. The FEMA Regional Director will only approve the transfer of properties that meet the criteria identified above.
- Note: In situations where the community is only acquiring development rights to the property, they can provide the property owner an additional incentive to accept the offer by:
- Paying to physically relocate the damaged structure to a new site outside of the floodplain; or
- Paying the pre-flood value of the structure and demolition and removal costs.

### Deed Restriction and Applicant Responsibility

- As a condition of receiving the grant, the applicants (community and State) shall enter into an agreement with FEMA that assures:
  
  - The property acquired, accepted, or from which structures are removed must carry a permanent deed restriction providing that the property be maintained for open space, recreational, or wetlands management purposes only;
  
  - The deed restriction must also stipulate that no future disaster assistance for any purpose from any Federal source will be sought or provided with respect to the property (Insurance claims such as NFIP and Federal Crop Insurance are not considered disaster assistance);
  
  - The deed restriction must also stipulate that no new structures will be erected on the property other than a public facility that is open on all sides or is a rest room and is functionally related to open space (structures that are walled on all sides must meet NFIP minimum requirements);
  
  - In fee simple transactions, the deed restriction must also stipulate that the new titleholder must obtain approval of the State grantee agency and the FEMA Regional Director before conveying ownership of the property to another public entity. Property transfer to private citizens and corporations will NOT be approved. All development rights to the property must be retained by the subgrantee or other public entity.
  
  - The subgrantee shall ensure that all structures be removed from the property within 90 days of losing and disposed of in accordance with applicable laws. (The FEMA Regional Director can grant an exception to this requirement if extenuating circumstances exist); and
  
  - The subgrantee accepts responsibility for monitoring and enforcing the deed restriction and/or easement language.

  - Allowable open space uses can include, but are not limited to parks, nature preserves, cultivation, grazing, and unimproved, permeable parking areas.
  
  - The demolition and debris removal related to acquired structures may be eligible for reimbursement under FEMA’s Infrastructure Support program if the structures represent a health and safety hazard. If costs of demolition do not qualify for Infrastructure Support, they can be cost-shared under the Section 404 program. If any parts of the structure are sold for salvage value, this amount is deducted from the total cost of the project.
  
  - The Subgrantee (or whoever holds legal title to the property) must provide for the continued maintenance (and costs of such) of the property once the initial debris removal, vegetative site stabilization, and new landscaping are complete.
  
  - The FEMA Regional Administrator may approve, on a case-by-case basis, the erection of structures which have not met the criteria above before commencement of construction. However, the structure must be constructed in compliance with the community’s floodplain management ordinance, meet NFIP minimum requirements, and be compatible with open space uses and floodplain management policies and practices.

  - Typical questions and answers concerning features of property acquisition under HMGP procedures are included as Attachment 5.
Statement of Voluntary Participation for Acquisition of Property of Open Space

THIS AGREEMENT is made and entered into on (date) ________________, by and between (name of Subgrantee)____________________, hereinafter referred to as “Subgrantee,” and (property owner)__________________, hereinafter referred to as “Seller.” The parties agree as follows:

1. Seller affirms that I/we own the property located at (legal address)__________________________, hereinafter referred to as “property.”

2. Subgrantee has notified Seller that the Subgrantee may wish to purchase the referenced property, and, if Seller agrees to sell, Seller must permanently relocate from property.

3. Subgrantee has identified that the purchase offer valuation of the property as of (date)____________ is $__________________, as determined by appropriate valuation procedures implemented by Subgrantee and based on FEMA acquisition requirements provided in 44 C.F.R. Part 80), and relevant program guidance as documented below Hazard Mitigation Grant Program.

4. Subgrantee has notified Seller that neither the State nor the Local Government will use its eminent domain authority to acquire the property for open-space purposes if the Seller chooses not to participate, or if negotiations fail.

5. Subgrantee has notified Seller that if the Seller agrees to sell the property to the Subgrantee the transaction is voluntary and the 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. Subgrantee affirms that it has provided the notifications and explained the information described in the preceding paragraphs to the seller, 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.

This Agreement shall expire on (date of closing) ______________, unless Seller has voluntarily sold property to the Subgrantee by that date.

Property Owner Signature ________________________________
Date ___________________

Property Owner Signature ________________________________
Date ___________________

Subgrantee’s Authorized Agent Signature _____________________
Date ___________________

FEMA FORM 81-112, FEB 08
FEMA Model Deed Restriction

Exhibit A is FEMA’s Model Deed Restrictions that support 44 C.F.R. Part 80 requirements. Applications requesting mitigation assistance to acquire properties for open space purposes must include a copy of the deed restriction language proposed to meet these requirements.

The deed conveying the property to the locality must reference and incorporate Exhibit A (or equivalent name). Any variation from the model deed restriction can only be made with prior approval from FEMA’s Office of Chief Counsel. Such requests should be made to the FEMA Regional Administrator through the relevant State or Tribal Office. Exhibit A shall be attached to the deed when recorded.

Exhibit A

In reference to the property or properties (“Property”) conveyed by the Deed between [property owner] participating in the federally-assisted acquisition project (“the Grantor”) and [the local government], (“the Grantee”), its successors and assigns:

WHEREAS, The Robert T. Stafford Disaster Relief and Emergency Assistance Act, (“The Stafford Act”), 42 U.S.C. § 5121 et seq., identifies the use of disaster relief funds under § 5170c, Hazard Mitigation Grant Program ("HMGP"), including the acquisition and relocation of structures in the floodplain;

WHEREAS, the mitigation grant program provides a process for a local government, through the State, to apply for federal funds for mitigation assistance to acquire interests in property, including the purchase of structures in the floodplain, to demolish and/or remove the structures, and to maintain the use of the Property as open space in perpetuity;

Whereas, [State or Tribe] has applied for and been awarded such funding from the Department of Homeland Security, Federal Emergency Management Agency (“FEMA”) and has entered into a mitigation grant program Grant Agreement dated [date] with FEMA and herein incorporated by reference; making it a mitigation grant program grantee.

Whereas, the Property is located in [Village/City/County], and [Village/City/County] participates in the National Flood Insurance Program (“NFIP”) and is in good standing with NFIP as of the date of the Deed;

Whereas, the [local government], acting by and through the [local government] Board, has applied for and been awarded federal funds pursuant to an agreement with [State] dated [date ] (“State-Local Agreement”), and herein incorporated by reference, making it a mitigation grant program subgrantee;

WHEREAS, the terms of the mitigation grant program statutory authorities, Federal program requirements consistent with 44 C.F.R. Part 80, the Grant Agreement, and the State-local Agreement require that the Grantee agree to conditions that restrict the use of the land to open space in perpetuity in order to protect and preserve natural floodplain values;

Now, therefore, the grant is made subject to the following terms and conditions:

1. Terms. Pursuant to the terms of the [select mitigation grant program] program statutory authorities, Federal program requirements consistent with 44 C.F.R. Part 80, the Grant Agreement, and the State-local Agreement, the following conditions and restrictions shall apply in perpetuity to the Property described in the attached deed
and acquired by the Grantee pursuant to FEMA program requirements concerning the acquisition of property for open space:

a. Compatible uses. The Property shall be dedicated and maintained in perpetuity as open space for the conservation of natural floodplain functions. Such uses may include: parks for outdoor recreational activities; wetlands management; nature reserves; cultivation; grazing; camping (except where adequate warning time is not available to allow evacuation); unimproved, unpaved parking lots; buffer zones; and other uses consistent with FEMA guidance for open space acquisition, Hazard Mitigation Assistance, Requirements for Property Acquisition and Relocation for Open Space.

b. Structures. No new structures or improvements shall be erected on the Property other than:

i. A public facility that is open on all sides and functionally related to a designated open space or recreational use;

ii. A public rest room; or

iii. A structure that is compatible with open space and conserves the natural function of the floodplain, including the uses described in Paragraph 1.a., above, and approved by the FEMA Administrator in writing before construction of the structure begins.

Any improvements on the Property shall be in accordance with proper floodplain management policies and practices. Structures built on the Property according to paragraph b. of this section shall be flood proofed or elevated to at least the base flood level plus 1 foot of freeboard, or greater, if required by FEMA, or if required by any State, Tribal, or local ordinance, and in accordance with criteria established by the FEMA Administrator.

c. Disaster Assistance and Flood Insurance. No Federal entity or source may provide disaster assistance for any purpose with respect to the Property, nor may any application for such assistance be made to any Federal entity or source. The Property is not eligible for coverage under the NFIP for damage to structures on the property occurring after the date of the property settlement, except for pre-existing structures being relocated off the property as a result of the project.

d. Transfer. The Grantee, including successors in interest, shall convey any interest in the Property only if the FEMA Regional Administrator, through the State, gives prior written approval of the transferee in accordance with this paragraph.

i. The request by the Grantee, through the State, to the FEMA Regional Administrator must include a signed statement from the proposed transferee that it acknowledges and agrees to be bound by the terms of this section, and documentation of its status as a qualified conservation organization if applicable.

ii. The Grantee may convey a property interest only to a public entity or to a qualified conservation organization. However, the Grantee may convey an easement or lease to a private individual or entity for purposes compatible with the uses described in paragraph (a), of this section, with the prior approval of the FEMA Regional Administrator, and so long as the conveyance does not include authority to control and enforce the terms and conditions of this section.

iii. If title to the Property is transferred to a public entity other than one with a conservation mission, it must be conveyed subject to a conservation easement that shall be recorded with the deed and shall incorporate all terms and conditions set forth in this section, including the easement holder’s responsibility to enforce the easement. This shall be accomplished by one of the following means:

a) The Grantee shall convey, in accordance with this paragraph, a conservation easement to an entity other than the title holder, which shall be recorded with the deed, or
b) At the time of title transfer, the Grantee shall retain such conservation easement, and record it with the deed.

iv. Conveyance of any property interest must reference and incorporate the original deed restrictions providing notice of the conditions in this section and must incorporate a provision for the property interest to revert to the State, Tribe, or local government in the event that the transferee ceases to exist or loses its eligible status under this section.

2. Inspection. FEMA, its representatives and assigns including the State or Tribe shall have the right to enter upon the Property, at reasonable times and with reasonable notice, for the purpose of inspecting the Property to ensure compliance with the terms of this part, the Property conveyance and of the grant award.

3. Monitoring and Reporting. Every three years on [date], the Grantee (mitigation grant program subgrantee), in coordination with any current successor in interest, shall submit through the State to the FEMA Regional Administrator a report certifying that the Grantee has inspected the Property within the month preceding the report, and that the Property continues to be maintained consistent with the provisions of 44 C.F.R. Part 80, the property conveyance, and the grant award.

4. Enforcement. The Grantee (mitigation grant program subgrantee), the State, FEMA, and their respective representatives, successors and assigns, are responsible for taking measures to bring the Property back into compliance if the Property is not maintained according to the terms of 44 C.F.R. Part 80, the property conveyance, and the grant award. The relative rights and responsibilities of FEMA, the State, the Grantee, and subsequent holders of the property interest at the time of enforcement, shall include the following:

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 assignees 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 the property interest.

b) Requiring 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) Bringing an action at law or in equity in a court of competent jurisdiction against any or all of the following parties: 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 remainder of the provisions of this grant and their application shall not be affected and shall remain valid and enforceable.
[Signed by Grantor(s) and Grantee, witnesses and notarization in accordance with local law.]

Grantor’s Signature ____________________________
Date ______________
Name (printed or typed) __________________________
Grantee’s Signature _____________________________
Date ______________
Grantee’s Name _______________________________
Grantee’s Title ________________________________

Last Modified: Wednesday, 02-Jul-2008 13:17:32 EDT
VOLUNTARY ACQUISITION AND RELOCATION
APPLICANT ASSISTANCE DECISION TREE
HOW TO DETERMINE PURCHASE OFFER

START

Did applicant have flood insurance for structure?

YES

Is insurance claim settlement less than or equal to actual premiums paid in previous five years?

YES

Offer: Market Value less FEMA IHP and other assistance awards for repairs.

NO

Subtract amount of actual premiums paid in last five years from settlement.

Offer: Market value less remainder of settlement and FEMA IHP or other assistance awards for repairs.

NO

Encourage applicant to apply for FEMA assistance or SBA loan.

Offer: Market Value less IHP grants.*
(Date)

(Name)  
Federal Emergency Management Agency  
Region VII, Mitigation Division, Attn.: DOB  
9221 Ward Parkway, Suite 200  
Kansas City, MO 64114

RE: Duplication of Benefits  
(Name)

Dear (Name):

The (Subgrantee/organization) is preparing to purchase several pieces of property. As part of the closure procedure, we are requesting that you review for benefits that the people have already received. This will prevent duplication of benefits. The disaster assistance award information will be used only for the purpose of avoiding duplication of benefits for a property acquisition project.

If you have any questions, feel free to contact me.

Sincerely,

(Name)  
(Title)

Enclosure
BENEFITS DISCLOSURE FORM

1. Name of Seller(s): ________________________________________________
2. Address: ________________________________________________________
3. Current Phone # (day/evening): _____________________________________
4. Damaged Dwelling Address: _________________________________________
5. NFIP Policy #: ________________________________________________
6. Insurance Company Name: ________________________________________
7. 5-Digit NFIP Company Code: _______________________________________
8. FEMA Control #: ________________________________________________
9. Seller(s) Social Security #: _________________________________________
10. Damaged Dwelling Phone #: _______________________________________
11. Have there been any repairs to the structure since the flood? YES or NO
12. Appraisal Amount: $____________________

SELLER(s)

X _______________________________________________________________

X _______________________________________________________________

Witness:

______________________________________________________________
Model Statement of Assurances for Property Acquisition Projects

SEND THIS STATEMENT OF ASSURANCES ATTACHED WITH THE PROJECT APPLICATION, OR SEND TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY AT THE TIME OF APPLICATION.

NOTE: If you have questions regarding any of these assurances, please consult the program guidance and contact the sponsoring agency.

Name of Project Sub-Applicant: _________________________________
State of Nebraska

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

1. Will ensure that participation by property owners is voluntary. The prospective participants have been informed in writing that participation in the program is voluntary, that the Sub-applicant will not use its eminent domain authority to acquire their property for the project purposes should negotiations fail;

2. Will ensure each property owner will be informed, in writing, of what the Sub-applicant considers to be the fair market value of the property. The Sub-applicant will use the Model Statement of Voluntary Transaction to document this and will provide a copy for each property after award;

3. Will accept all of the requirements of the FEMA grant and the deed restriction governing the use of the land, as restricted in perpetuity to open-space uses. The Sub-applicant will apply and record a deed restriction on each property in accordance with the language in the FEMA Model Deed Restriction. The community will seek FEMA approval for any changes in language differing from the Model Deed Restriction.

4. Will ensure that the land will be unavailable for the construction of flood damage reduction levees and other incompatible purposes, and is not part of an intended, planned, or designated project area for which the land is to be acquired by a certain date;

5. Will demonstrate that it has consulted with the US Army Corps of Engineers regarding the subject land’s potential future use for the construction of a levee system, and will reject future consideration of such use if it accepts FEMA assistance to convert the property to permanent open-space;

6. Will demonstrate that it has coordinated with its State Department of Transportation to ensure that no future, planned improvements or enhancements to the Federal aid systems are under consideration that will affect the subject property;

7. Will remove existing structures within 90 days of settlement;

8. Post grant award, will ensure that a property interested is conveyed only with the prior approval of the FEMA Regional Director and only to another public entity or to a qualified conservation organization pursuant to 26 CFR §1.170A-14;

Will submit every three years to the Grantee, who will then submit to the FEMA Regional Director, a report certifying that it has inspected the subject property within the month preceding the report, and that the property continues to be maintained consistent with the provisions of the grant. If the subject property is not maintained according to the terms of the grant, the Grantee and FEMA, its
9. representatives, designated authorities, and assigns are responsible for taking measures to bring the property back into compliance; and

10. Will not seek or accept the provision of, after settlement, disaster assistance for any purpose from any Federal entity with respect to the property, and FEMA will not distribute flood insurance benefits for that property for claims related to damage occurring after the date of the property settlement.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the identified assurances and certifications.

___________________________________
Type Name of Authorized Agent Title

______________________________     ________________________
Signature    Date Signed

Last Modified: Friday, 01-Oct-2010 13:13:31 EDT
Appendix F

Concepts of Operations and Fiscal Office Guidance

DR-1853-NE Disaster specific information (Page 122-126)
DR-1864-NE Disaster specific information (Page 127-131)
DR-1878-NE Disaster specific information (Page 132-136)
DR-1902-NE Disaster specific information (Page 137-141)
DR-1924-NE Disaster specific information (Page 142-146)
DR-1945-NE Disaster specific information (Page 147-151)
DR-4013-NE Disaster specific information (Page 152-156)
DR-4014-NE Disaster specific information (Page 157-161)
CONCEPTS OF OPERATIONS

- The HMGP is authorized by Section 404 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act as amended (PL 93-288), Section 322. Grants up to 75% Federal and 25% non-federal cost share may be made for projects approved by FEMA.

- The total amount of funding available for hazard mitigation projects to be completed within the area of a Presidential declaration of major disaster is based on funds derived from 15% of all FEMA disaster assistance (Individual Assistance (IA) plus Public Assistance (PA)) minus administrative costs, awarded for the disaster in question. Subgrant applications as defined in Section F, paragraph 1 of this plan can apply through NEMA for funding to accomplish potential projects.

- Coordination of Section 322 Hazard Mitigation Plans development and implementation will be the responsibility of the State Hazard Mitigation Officer. Updated plans will include re-evaluation of the hazards and a re-assessment of existing mitigation capabilities resulting in new or additional mitigation recommendations.

- Section 404 Administrative Plan will be reviewed by the GAR to assure compliance with law, implementing regulations and State policies. The GAR will update the plan, as needed, to reflect regulatory or policy changes as well as to improve program administration.

- For disasters declared after November 1, 2004 a local government must have a mitigation plan approved in order to receive any FEMA mitigation grants, including HMGP, Pre-Disaster Mitigation (PDM), Flood Mitigation Assistance (FMA), and Repetitive Flood Claims (RFC).

- The planning process as outlined in Section 322, and defined in 44 CFR Part 201 is provided below to guide in the mitigation planning process:

  ▪ A Description of the Planning Process: The plan will document the planning process used to develop the plan, including how it was prepared, who was involved in the process, and how the public was involved. This process would include an opportunity for the public to comment on the plan during the drafting stage and prior to plan approval. By including neighboring communities, local and regional agencies involved in hazard mitigation activities this enables incorporation, if appropriate, of existing plans, studies, reports, and technical information into the plan. This also allows influence of public concerns to be incorporated into the plan.

  ▪ Risk Assessment: The assessment will identify and describe the hazards likely to affect the area. This will include the location of the occurrence and the impact to the community and a list of all previous occurrences. A discussion should be included with the probability of future events. The plan will also provide a description of the jurisdictions vulnerabilities to the hazards described in the State Hazard Mitigation Plan. This description shall include an overall summary of each hazard and its impact on the community. All plans approved after October 1, 2008 must also address NFIP insured structures that have been repetitively damaged by floods.

  ▪ Mitigation Strategy: A description of mitigation goals to reduce or avoid long-term vulnerabilities from the identified hazards. The discussion should include how the goals were developed. The goals should be compatible with the goals the community has already identified in other community documents. The goals should correlate to the findings in the risk assessment. All local mitigation plans approved after October 1, 2008 must describe each jurisdiction's participation in the NFIP and identify goals, analyze, and prioritize actions related to the continued compliance with the NFIP.

  ▪ Coordination of Local Mitigation Planning: The plan should address how the group was formed and include which departments, groups, special interest groups, etc. were involved in the process. A mission statement and vision statement should be developed to describe the overall purpose of developing the plan. This will guide future leaders in reaching the goals established in the plan. These goals will and can be modified in future updates.
• Plan Maintenance Process: The local plan must be updated every five years. It is highly recommended that the group meet on a regular basis to ensure that the elements in the plan are still relevant and accurate. This is also a good time to develop the plan further; by updating and including zoning and building code changes, etc. After a disaster occurrence an update would be warranted to include any mitigation successes incurred or any failures. This may encourage a “rethinking” of priorities or changes in goals and objectives in the plan.

• Plan adoption and Assurances: The plan will document that the plan has been formally adopted by the governing body of the jurisdiction requesting approval of the plan. The adoption by the local governing body demonstrates the jurisdiction’s commitment to fulfilling the mitigation goals and objectives outlined in the plan. The adoption legitimizes the plan and authorizes responsible agencies to execute their responsibilities.

○ The State encourages multi-jurisdictional mitigation plans to cover wider geographic areas. This could be accomplished by developing a plan that covers a Natural Resources District (NRD) which covers many counties or a multiple county plan that covers a regional area.

○ For further information on the requirements see 44 CFR 201; and the State and Local Mitigation Planning “How-to-Guides”. For more information, references and guides visit [http://www.fema.gov/plan/mitplanning/index.shtm](http://www.fema.gov/plan/mitplanning/index.shtm).

○ NEMA will be responsible for the administration of the Section 404 HMGP process. This will be coordinated by the SHMO.

○ All funded projects must be consistent with the State Hazard Mitigation Plan. Projects must also be in accordance with procedures and priorities for the selection of mitigation measures. The GAR is responsible for project management and accountability of funds as indicated in 44 CFR Part 13. This includes the responsibility that subgrantees meet all program and administrative requirements.

• In considering project eligibility, FEMA policy is to act with care to assure that, in carrying out its grant programs, it does so in a manner that protects, restores, and enhances the quality of the environment and avoids or minimizes adverse environmental consequences. Overarching goals of the FEMA programs are to achieve use of the environment without degradation, or undesirable and unintended consequences, preserve historic, cultural, and natural aspects of national heritage, and achieving a balance between resource use and development within the sustained carrying capacity of the ecosystem involved. The National Environmental Policy Act (NEPA) provides a convenient vehicle for ensuring FEMA’s environmental policies are incorporated into project development. The environmental documentation included in Section VI of the project application provides the information necessary to demonstrate that these requirements are met during application development.
The program shall develop financial and administrative procedures to support the emergency management program before, during and after an emergency or disaster.

The program has adopted a responsive financial management and administrative framework that complies with federal, state, and local requirements and is uniquely linked to emergency operations. The framework provides for maximum flexibility to expeditiously request, receive, manage and apply funds in a non-emergency environment and in emergency situations to ensure the timely delivery of assistance. The administrative process is documented through written procedure. The program also possesses the capability to identify and access alternative funding sources and manage budgeted and specially appropriated funds.

**Requesting Funds for an Emergency or Disaster:**

The Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. §§ 5121-5206 provides for supplemental Federal assistance from FEMA to State and local governments and their citizens when a disaster or other emergency overwhelms them. The Stafford Act establishes a process for requesting and obtaining a Presidential major disaster declaration or emergency declaration, defines the type and scope of assistance available under the Stafford Act, and sets the conditions for obtaining that assistance.

*An electronic copy of the Stafford Act is located at FEMA’s website at: [http://www.fema.gov/library/stafact.shtm#top](http://www.fema.gov/library/stafact.shtm#top).*

The process leading to a Presidential declaration of a major disaster or emergency and the actions triggered by such a declaration are described in 44 CFR §206.31 through §206.40.

*Hard copies of the 44 CFR are located on the bookshelves of the Assistant Director and Fiscal Officer’s work area. Electronic copies are located at GPO’s website at: [http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1](http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1).*

Once a disaster or emergency occurs:

- If the situation is of such severity and magnitude that effective response is beyond the capabilities of the affected local governments, the local governments will declare a State of Emergency and call NEMA for assistance.

- If the situation is of such severity and magnitude that effective response is beyond the capabilities of the State and the affected local governments, the Governor will proclaim a State of Emergency and contact the Federal government for assistance as detailed in Nebraska RRS 81-829.40(3).

- Federal, State, and local officials will complete a joint Preliminary Damage Assistance (PDA) to survey the damaged area to estimate the extent of the disaster and its impact on individuals and public facilities.

- Based on the joint PDA, the Governor will request a Presidential Declaration of a major disaster or an emergency, if eligible under Federal requirements.

As part of the Governor’s Request, the Governor must note that the State’s emergency plan has been executed and the situation is of such severity and magnitude that effective response is beyond the capabilities of the State and the affected local governments and that supplementary Federal assistance is necessary. Based on the joint PDA, the Request includes an estimate of the amount and severity of the damages and losses and specifies the type of assistance desired.

Normally, the joint PDA is completed prior to the submission of the Governor’s Request. However, when an obviously severe or catastrophic disaster occurs, the Governor’s Request may be submitted prior to the joint PDA or the joint PDA requirement may be waived.
Based on the Governor’s Request, the President may declare a major disaster or emergency. If a major disaster or emergency is declared, the types of Federal assistance that will be provided are specified as well as the geographic areas eligible for each type of assistance.

Federal Disaster assistance available under a major disaster or emergency declaration falls into three categories:

- **Individual Assistance (IA)** – Provides assistance to affected individuals and households to enable them to address necessary expenses and serious needs, which cannot be met through other forms of disaster assistance or through other means such as insurance.
- **Public Assistance (PA)** – Provides assistance to affected States, local governments, and certain private nonprofit organizations for certain emergency work (i.e. debris removal, emergency protective measures) and for the repair or replacement of disaster-damaged facilities.
- **Hazard Mitigation Assistance (HMGP)** – Provides assistance to States, local governments, and certain private nonprofit organizations for actions taken to reduce future losses of life and damage to public and private property. In the event of a major disaster declaration, all counties within the State are eligible to apply for such assistance.

Once a major disaster or emergency is declared by the President:

- The Governor (on behalf of the State) and the FEMA Regional Administrator or designee (on behalf of the Federal government) will execute a FEMA-State Agreement. The FEMA-State Agreement states the understandings, commitments, and conditions for assistance and imposes legally enforceable obligations under which FEMA disaster assistance will be provided.
  - No FEMA funding will be authorized or provided to any grantees or other recipients, nor will direct Federal assistance be authorized by mission assignment, until the FEMA-State Agreement has been signed, unless waived by the Regional Director to begin the process of providing essential emergency services or temporary housing.
  - The FEMA-State Agreement includes a description of the incident and the incident period for which assistance will be made available, the type and extent of the Federal assistance to be made available, the funding commitment of the State and local governments and other terms and conditions.
    - **Secondary information can be found in the**
    - **Nebraska Emergency Management Act** RRS 81-829.31. RRS 81-829.36 to RRS 81-829.75t;

- Once the FEMA-State Agreement is signed, NEMA Fiscal staff:
  - Applies for Federal funds through FEMA.
  - Contacts the Business Manager who then contacts Nebraska’s Department of Administrative Services to request business units, specific to the declared disaster, for tracking receipts and expenditures.
  - Contacts the Agency’s Business Manager who has the ability to request the State funding necessary to match the federal disaster funding from the Governor’s Emergency Fund. Additional information on the Governor’s Emergency fund is located on the NEMA website under Response and recovery at [http://www.nema.ne.gov/index.html?page=content/divisions.html](http://www.nema.ne.gov/index.html?page=content/divisions.html)
Receiving Funds for an Emergency or Disaster:

- Within a few days after projects are approved by FEMA, the federal portion of the funds are deposited into the related Smartlink account for drawdown. Smartlink is part of the Federal Dept. of Health and Human Services’ Payment Management System (PMS). PMS is an automated system electronically accessible by recipients for funding and reporting purposes. Smartlink is the internet-based payment part of the system.

- Funds for emergency payments are drawn down from Smartlink and received within two federal business days prior to the anticipated payment. Funds are only requested for immediate disbursement needs to comply with Cash Management rules Prompt Payment act § 66-1523. A drawdown form is completed prior to entering the Smartlink system to help facilitate the entry of information into Smartlink. The Smartlink system tracks cash on hand and PMS may contact the Division if balances appear to be excessive prior to processing a drawdown request.

  The Smartlink system guides the requestor through the steps to complete a drawdown. Additional help is available at the PMS website at: http://www.dpm.psc.gov/.

- Within a day of the drawdown, a voucher is prepared for the amount of funds drawn down. Smartlink funds are transferred electronically and are received by the State Treasurer’s Office the next business day following the drawdown from Smartlink so long as it is requested prior to 5:00 p.m. EST. The NEMA Fiscal Officer prepares the ACH Deposit entry in the EDGE system which ensures the electronically transferred funds flow into the appropriate disaster specific Business Units.

- Overnight the Smartlink receipts are transferred electronically to EDGE and are available for payment of emergency or disaster payments on the second business day following the drawdown from Smartlink. EDGE is the Statewide Accounting & Reporting System, the State’s electronic payment system used by all state agencies for processing payables, receipt of deposit and creating state checks/warrants.

Paying Funds for an Emergency or Disaster:

- Once an emergency or disaster payment has been approved for payment, the IA, PA or HMGP program manager submits a hard copy of the approved paperwork to the NEMA Fiscal office for payment.

- Funds are ordered as discussed under “Receiving Funds for an Emergency or Disaster” above. The payments can be made once the funds are available in EDGE.

- Once funds are available, the request for payment and related expenditure request are forwarded to the Fiscal-PA Support person for payment.

- A Payment Voucher or an Intrastate Billing Transaction (IBT) is prepared. All expenditure payables are paid via Payable Vouchers from the EDGE system or via an Intrastate Billing Transaction (IBT). IBT is the State’s internet-based inter-funds system which includes the ability to pay other State agencies.

- Whether the payment is from EDGE as an electronic transfer, paper check, or IBT, a hard copy of the voucher and supporting documentation is reviewed by Program Managers, the Accountant and forwarded to the GAR for final approval. Once signed by the GAR or Alternate GAR it is then submitted for payment to the Business Manager.

- The Business Manager signs the EDGE Payable Voucher to indicate approval. For IBT vouchers, the electronic release of the inter-fund indicates approval.

- Once approved by DAS, Warrants are cut for the EDGE vouchers and funds are transferred electronically for, Automatic Clearing House (ACH) payments and IBT’s.

- Checks/warrants for EDGE vouchers are mailed the next state business day from the State Treasury. NEMA program staff then mails and/or emails the related payment information including a copy of the State Financial Analysis Form to the applicant requesting payment.

- The payment vouchers are posted to the Fiscal internal accounting system. Whether an EDGE voucher or a IBT, a copy of the voucher and supporting documentation are filed in the respective disaster vouchers file.
Managing Funds for an Emergency or Disaster:

- Monthly, Fiscal staff reconciles the receipts and expenditures for each fund and Business Unit per EDGE and per the Fiscal internal accounting system and corrects any differences.

- Periodically, but at least quarterly, Fiscal staff reviews reports from the internal accounting system to identify errors in funding, federal fiscal year, unit, etc. and corrects any differences.

- Shortly after any disaster or emergency payment is made, Fiscal staff generates reports for each applicant paid which are forwarded to the appropriate Program Managers. Each Program staff reconciles the figures per the Emergency Management Mission Integrated Environment (EMMIE from FEMA Disasters DR-1770-NE and newer) and the National Emergency Management Information System (NEMIS) and per the reports then corrects any differences. EMMIE and NEMIS are FEMA’s information system used to provide automated support to their employees in their day-to-day disaster assistance activities. It includes approved payment information for IA and PA.

- A Financial Status Report is submitted to FEMA for each disaster by the end of the month following the close of a calendar quarter. The quarterly report is completed in the same manner as for non-disaster/emergency grants.

- A Federal Cash Transaction Report reconciling cash on hand drawn via Smartlink is submitted to the Division of Payment Management (DPM) by the end of the month following the close of a calendar quarter. DPM is a division of the Health & Human Services Department responsible for the PMS (including Smartlink) and ensuring the proper cash management of Federal grant monies. The quarterly report is completed in the same manner as for non-disaster/emergency grants. Copies of the Federal Cash Transaction Report as submitted to the Division of Payment Management and related reports are submitted to FEMA by the end of the month following the close of a calendar quarter.

- A Financial Status Report, marked as a “final report” is submitted to FEMA to closeout a disaster. The final/closeout report is completed in the same manner as for non-disaster/emergency grants. Instructions for completing closeout FEMA reports are included in the EMAP standard “Instructions for FEMA reporting” section.

Responsibilities of NEMA Fiscal Office:

The Business Manager III is responsible for the Agency’s fiscal functions, state budget requirements, and grants administration including:

Fiscal functions:

- Drawdown or request for reimbursement of Federal funds
- Preparation of receipt of warrants/vouchers for amounts drawn down or reimbursed
- Payment of vouchers through the State’s accounting system and through IBT’s
- Posting of fiscal activity.
- Reconciliation of receipts and expenditures between the State’s accounting system and the internal accounting databases Additional information regarding Accounting is found in the Nebraska EDGE Accounting Manuals.
- Correction of coding or posting errors
- Correction of funding errors
- Secondary Documentation is located in the NEMA agency Directives 1003, 2211 and 2230.

State budget requirements:

- Preparation of NEMA’s portion of the agency state budget
- Input of data into the State’s budget system
- Responding to inquiries from the Division of Budget and Legislative Research
- Prepare fiscal notes for proposed legislation impacting NEMA
- Request state disaster match funds
- Monitor grants to ensure compliance with Office of Management and Budget (OMB) Circulars, applicable Code of Federal Regulations (CFR), and Office of Justice Programs (OJP) Financial Guidelines
The Administrative Plan will be implemented in response to DR-1853-NE declared July 31, 2009, as the result of Severe Storms, Tornadoes and Flooding. The severe weather system caused considerable damage throughout the declared areas; the incident period began on June 5, 2009 and ended on June 26, 2009.

The following counties were declared Marshall Arthur County, Box Butte County, Chase County, Cherry County, Custer County, Deuel County, Dixon County, Garden County, Hamilton County, Keya Paha County, Lincoln County, Morrill County, Pawnee County, Perkins County, Richardson County, Rock County, and Scotts Bluff County.

This section contains disaster specific information pertaining to DR-1853 declared July 31, 2009. It has been submitted to the FEMA Region VII Region Administrator and approved 44CFR paragraph 206.437(d)

A. Updates  
B. Roles.  
C. Disaster Priorities  
D. Members of the SHMT  
E. Anticipated Management costs
A. There are no updates or revisions to the basic plan effecting the administration of the program in this annex.

B. Roles

The following people are assigned the following roles and authorities in this disaster.

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<td>402-471-7182</td>
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<td>SHMO</td>
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Note: TBD, dependant on the number and diversity of HMGP project applications the SHMO will determine if additional staff is required to properly manage the overall grant program.
C. State Hazard Mitigation Program Priorities for FEMA-DR-1853-NE

1. Acquisition/Relocation or Demolition and Elevation of Flood Prone Properties

Elevation and Acquisition/demolition type projects will be considered as a priority. If this type project is selected, adherence to Federal and State directives including but not limited to the Hazard Mitigation Assistance Unified Guidance June 2009 will be required. Priority should be given to repetitive loss properties.

2. Community Safe Rooms, Safe Rooms for Schools and Public Buildings

Protecting school children from tornadoes continues to be one of the top initiatives for the State of Nebraska. The State Hazard Mitigation team determined construction of school safe rooms should always be an HMGP consideration. To design a successful safe room the criteria provided in FEMA 361, Design and Construction Guidance for Community Safe Rooms Second Edition 2008 and Hazard Mitigation Assistance Unified Guidance June 2009 must be followed.

Safe room space should contain the following safety type equipment, flashlights, fire extinguisher appropriate for use in a closed environment with human occupancy, first aid kits, battery operated NOAA weather radio, battery operated radio for commercial broadcasts, extra batteries, and the safe room operations plan. Safe room owner should refer to FEMA 361, Chapter 9 for other recommended equipment/supplies to assist in determining their specific needs.

3. Power Line Upgrades

Strengthening power distribution systems for rural electric and city owned utilities are essential to reducing suffering, economic loss and reliance on generator power. Consideration will be given to these type projects with the affected counties having first priority.

4. Protection of Critical Facilities

Protection of critical facilities, infrastructure and utility systems will minimize the vulnerability of the people, property, environment and economy of Nebraska and its communities from natural and manmade hazards.

5. 5% (Set Aside) Initiatives

Early hazard warning is essential to reducing potential injury and losses. Reverse 911 systems and other early warning systems and equipment to improve warning notifications, mapping related to initiatives, GIS software and equipment, generators, etc.

6. 7% Planning

Up to 7% of the HMGP grant may be used to develop State, tribal and/or local mitigation plans to meet the planning criteria outlined in 44 CFR Part 201.
D. Core Nebraska State Hazard Mitigation Team members

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Organization</th>
<th>Address</th>
<th>Phone</th>
<th>Email</th>
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<tbody>
<tr>
<td>Steve Sulek</td>
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<td>(DAS)</td>
<td>PO BOX 94947</td>
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<tr>
<td>Lara Huskey</td>
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<td>Lincoln, NE. 68509-4666</td>
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<tr>
<td>Thomas Jensen</td>
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<tr>
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<tr>
<td>Brian Podwinski</td>
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<td>Rex Amack</td>
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<tr>
<td>Sheila Hascall</td>
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<tr>
<td>Robert Puschendorf</td>
<td>Deputy State Historic Preservation Officer</td>
<td>Nebraska Historical Society</td>
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<tr>
<td>Brian Dunigan</td>
<td>Director</td>
<td>Nebraska Department of Natural Resources</td>
<td>300 Centennial Mall South</td>
<td>(402) 471-2366</td>
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</table>
E. Anticipated management costs:

1. **Pass-Though.** The State of Nebraska, as the grantee, has determined that no management costs will be provided to the sub-grantees. Direct administrative costs incurred by a sub-grantee that can be identified to a specific project such as inspections, construction oversight, working with home owners may be included in the project budget.

2. **Salaries, Travel & Per-Diem, Contract Services, Equipment, Supplies, and Miscellaneous**

   Full Time State Employees (FTE’s) are required to properly annotate their State of Nebraska Time and Leave Document (NEMA Form 1) to account for time charged to the management of the HMGP for this disaster. Charged time should be accounted for in 1/4 hour increments and the NEMA Form 1 must be annotated to indicate the total hours chargeable to this disaster’ Management Cost. Eligible time includes assisting applicants in project/plan development, application review, site visits, inspections, processing reimbursements, updating appropriate data records, meeting with applicants, etc.
DR-1864-NE

The Administrative Plan will be implemented in response to DR-1864-NE declared December 16, 2009, as the result of a Severe Winter Storm. The severe weather system caused considerable damage throughout the declared areas; the incident period began on November 16, 2009 and ended on November 17, 2009.

The following counties were declared Gage County, Jefferson County, Johnson County, Nemaha County, Pawnee County, Richardson County, and Thayer County.

This section contains disaster specific information pertaining to DR-1864 declared December 16, 2009. It has been submitted to the FEMA Region VII Region Administrator and approved 44CFR paragraph 206.437(d)

A. Updates
B. Roles.
C. Disaster Priorities
D. Members of the SHMT
E. Anticipated Management costs
A. There are no updates or revisions to the basic plan effecting the administration of the program in this annex.

B. Roles

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Note: TBD, dependant on the number and diversity of HMGP project applications the SHMO will determine if additional staff is required to properly manage the overall grant program.
C. State Hazard Mitigation Program Priorities for FEMA-DR-1864-NE

1. Power Line Upgrades

Strengthening power distribution systems for rural electric and city owned utilities are essential to reducing suffering, economic loss and reliance on generator power. Consideration will be given to these type projects with the affected counties having first priority.

2. Acquisition/Relocation or Demolition and Elevation of Flood Prone Properties

Elevation and Acquisition/demolition type projects will be considered as a priority. If this type project is selected, adherence to Federal and State directives including but not limited to the Hazard Mitigation Assistance Unified Guidance June 2009 will be required. Priority should be given to repetitive loss properties.

3. Community Safe Rooms, Safe Rooms for Schools and Public Buildings

Protecting school children from tornadoes continues to be one of the top initiatives for the State of Nebraska. The State Hazard Mitigation team determined construction of school safe rooms should always be an HMGP consideration. To design a successful safe room the criteria provided in FEMA 361, Design and Construction Guidance for Community Safe Rooms Second Edition 2008 and Hazard Mitigation Assistance Unified Guidance June 2009 must be followed.

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4. Protection of Critical Facilities

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5. 5% (Set Aside) Initiatives

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6. 7% Planning

Up to 7% of the HMGP grant may be used to develop State, tribal and/or local mitigation plans to meet the planning criteria outlined in 44 CFR Part 201.
D. Core Nebraska State Hazard Mitigation Team members

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The Administrative Plan will be implemented in response to DR-1878-NE declared February 25, 2010 as the result of Severe Winter Storms and Snowstorm. The severe weather system caused considerable damage throughout the declared areas; the incident period began on December 22, 2009 and ended on January 8, 2010.

The following counties were declared Adams County, Boone County, Boyd County, Brown County, Burt County, Butler County, Cass County, Cedar County, Cherry County, Clay County, Colfax County, Cuming County, Dakota County, Dixon County, Dodge County, Douglas County, Fillmore County, Frontier County, Furnas County, Gage County, Garfield County, Gosper County, Greeley County, Hamilton County, Harlan County, Holt County, Howard County, Jefferson County, Johnson County, Keya Paha County, Knox County, Lancaster County, Loup County, Madison County, Merrick County, Morrill County, Nance County, Nemaha County, Nuckolls County, Otoe County, Pawnee County, Pierce County, Platte County, Polk County, Richardson County, Rock County, Saline County, Sarpy County, Saunders County, Seward County, Stanton County, Thayer County, Thurston County, Washington County, Wayne County, Wheeler County, and York County.

This section contains disaster specific information pertaining to DR-1878 declared February 25, 2010 it has been submitted to the FEMA Region VII Region Administrator and approved 44CFR paragraph 206.437(d)

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B. Roles.
C. Disaster Priorities
D. Members of the SHMT
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Strengthening power distribution systems for rural electric and city owned utilities are essential to reducing suffering, economic loss and reliance on generator power. Consideration will be given to these type projects with the affected counties having first priority.

2. Acquisition/Relocation or Demolition and Elevation of Flood Prone Properties

Elevation and Acquisition/demolition type projects will be considered as a priority. If this type project is selected, adherence to Federal and State directives including but not limited to the Hazard Mitigation Assistance Unified Guidance June 2009 will be required. Priority should be given to repetitive loss properties.

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1. **Pass-Through.** The State of Nebraska, as the grantee, has determined that no management costs will be provided to the sub-grantees. Direct administrative costs incurred by a sub-grantee that can be identified to a specific project such as inspections, construction oversight, working with home owners may be included in the project budget.

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The Administrative Plan will be implemented in response to DR-1902-NE declared April 21, 2010 as the result of Severe Storms, Ice Jams and Flooding. The severe weather system caused considerable damage throughout the declared areas; the incident period began on March 6, 2010 and ended on April 3, 2010.

The following counties were declared Antelope County, Arthur County, Boone County, Boyd County, Butler County, Cass County, Colfax County, Cuming County, Dakota County, Dixon County, Gage County, Greeley County, Hayes County, Holt County, Howard County, Jefferson County, Johnson County, Lancaster County, Loup County, Madison County, Nance County, Nemaha County, Nuckolls County, Otoe County, Pawnee County, Pierce County, Platte County, Polk County, Richardson County, Saline County, Seward County, Sherman County, Stanton County, Thurston County, Valley County, Wheeler County, and York County.

This section contains disaster specific information pertaining to DR-1902 declared April 21, 2010. It has been submitted to the FEMA Region VII Region Administrator and approved 44CFR paragraph 206.437(d)

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B. Roles.
C. Disaster Priorities
D. Members of the SHMT
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C. State Hazard Mitigation Program Priorities for FEMA-DR-1902-NE

1. Acquisition/Relocation or Demolition and Elevation of Flood Prone Properties

Elevation and Acquisition/demolition type projects will be considered as a priority. If this type project is selected, adherence to Federal and State directives including but not limited to the Hazard Mitigation Assistance Unified Guidance June 2009 will be required. Priority should be given to repetitive loss properties.

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E. Anticipated management costs:

1. **Pass-Through.** The State of Nebraska, as the grantee, has determined that no management costs will be provided to the sub-grantees. Direct administrative costs incurred by a sub-grantee that can be identified to a specific project such as inspections, construction oversight, working with home owners may be included in the project budget.

2. **Salaries, Travel & Per-Diem, Contract Services, Equipment, Supplies, and Miscellaneous**

   Full Time State Employees (FTE's) are required to properly annotate their State of Nebraska Time and Leave Document (NEMA Form 1) to account for time charged to the management of the HMGP for this disaster. Charged time should be accounted for in 1/4 hour increments and the NEMA Form 1 must be annotated to indicate the total hours chargeable to this disaster’ Management Cost. Eligible time includes assisting applicants in project/plan development, application review, site visits, inspections, processing reimbursements, updating appropriate data records, meeting with applicants, etc.
The Administrative Plan will be implemented in response to DR-1924-NE declared July 15, 2010 as the result of Tornadoes, High Winds and Sever Flooding. The severe weather system caused considerable damage throughout the declared areas; the incident period began on June 1, 2010 and ended on August 29, 2010.

The following counties were declared Adams County, Antelope County, Arthur County, Blaine County, Boone County, Boyd County, Brown County, Buffalo County, Burt County, Cass County, Chase County, Cherry County, Cheyenne County, Colfax County, Cuming County, Custer County, Dawes County, Dawson County, Dodge County, Douglas County, Frontier County, Garden County, Garfield County, Greeley County, Harlan County, Hayes County, Holt County, Hooker County, Howard County, Jefferson County, Keya Paha County, Knox County, Lincoln County, Logan County, Loup County, Madison County, McPherson County, Morrill County, Nance County, Nemaha County, Nuckolls County, Otoe County, Perkins County, Phelps County, Pierce County, Platte County, Richardson County, Rock County, Sarpy County, Saunders County, Sheridan County, Sherman County, Sioux County, Stanton County, Thomas County, Thurston County, Valley County, Washington County, Wayne County, Webster County, and Wheeler County.

This section contains disaster specific information pertaining to DR-1924 declared July 15, 2010. It has been submitted to the FEMA Region VII Region Administrator and approved 44CFR paragraph 206.437(d)

A. Updates
B. Roles.
C. Disaster Priorities
D. Members of the SHMT
E. Anticipated Management costs
A. There are no updates or revisions to the basic plan effecting the administration of the program in this annex.

B. Roles

The following people are assigned the following roles and authorities in this disaster.

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Note: TBD, dependant on the number and diversity of HMGP project applications the SHMO will determine if additional staff is required to properly manage the overall grant program.
C. State Hazard Mitigation Program Priorities for FEMA-DR-1924-NE

1. Community Safe Rooms, Safe Rooms for Schools and Public Buildings

Protecting school children from tornadoes continues to be one of the top initiatives for the State of Nebraska. The State Hazard Mitigation team determined construction of school safe rooms should always be an HMGP consideration. To design a successful safe room the criteria provided in FEMA 361, Design and Construction Guidance for Community Safe Rooms Second Edition 2008 and Hazard Mitigation Assistance Unified Guidance June 2010 must be followed.

Safe room space should contain the following safety type equipment, flashlights, fire extinguisher appropriate for use in a closed environment with human occupancy, first aid kits, battery operated NOAA weather radio, battery operated radio for commercial broadcasts, extra batteries, and the safe room operations plan. Safe room owner should refer to FEMA 361, Chapter 9 for other recommended equipment/supplies to assist in determining their specific needs.

2. Acquisition/Relocation or Demolition and Elevation of Flood Prone Properties

Elevation and Acquisition/demolition type projects will be considered as a priority. If this type project is selected, adherence to Federal and State directives including but not limited to the Hazard Mitigation Assistance Unified Guidance June 2010 will be required. Priority should be given to repetitive loss properties.

3. Power Line Upgrades

Strengthening power distribution systems for rural electric and city owned utilities are essential to reducing suffering, economic loss and reliance on generator power. Consideration will be given to these type projects with the affected counties having first priority.

4. Protection of Critical Facilities

Protection of critical facilities, infrastructure and utility systems will minimize the vulnerability of the people, property, environment and economy of Nebraska and its communities from natural and manmade hazards.

5. 5% (Set Aside) Initiatives

Early hazard warning is essential to reducing potential injury and losses. Reverse 911 systems and other early warning systems and equipment to improve warning notifications, mapping related to initiatives, GIS software and equipment, generators, etc.

6. 7% Planning

Up to 7% of the HMGP grant may be used to develop State, tribal and/or local mitigation plans to meet the planning criteria outlined in 44 CFR Part 201.
D. Core Nebraska State Hazard Mitigation Team members

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1. **Pass-Though.** The State of Nebraska, as the grantee, has determined that no management costs will be provided to the sub-grantees. Direct administrative costs incurred by a sub-grantee that can be identified to a specific project such as inspections, construction oversight, working with home owners may be included in the project budget.

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The Administrative Plan will be implemented in response to DR-1945-NE declared October 21, 2010 as the result of a Severe Storm and High Wind event. The severe weather system caused considerable damage throughout the declared areas; the incident period began on September 13, 2010 and ended on September 13, 2010.

The following counties were declared Cass County, Johnson County, Nemaha County, Otoe County, Pawnee County, Richardson County, and Saunders County.

This section contains disaster specific information pertaining to DR-1945 declared October 21, 2010. It has been submitted to the FEMA Region VII Region Administrator and approved 44CFR paragraph 206.437(d)

A. Updates
B. Roles.
C. Disaster Priorities
D. Members of the SHMT
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Full Time State Employees (FTE’s) are required to properly annotate their State of Nebraska Time and Leave Document (NEMA Form 1) to account for time charged to the management of the HMGP for this disaster. Charged time should be accounted for in 1/4 hour increments and the NEMA Form 1 must be annotated to indicate the total hours chargeable to this disaster’ Management Cost. Eligible time includes assisting applicants in project/plan development, application review, site visits, inspections, processing reimbursements, updating appropriate data records, meeting with applicants, etc.
The Administrative Plan will be implemented in response to DR-4013-NE declared August 12, 2011, as the result of flooding. The flooding caused considerable damage throughout the declared areas; the incident period began May 24, 2011 through August 1, 2011.

The following counties were declared for Public Assistance: Burt, Cass, Dakota, Douglas, Garden, Knox, Lincoln, Nemaha, Otoe, Richardson, Sarpy, Scotts Bluff, Thurston, and Washington Counties.

The following counties were declared for Individual Assistance: Boyd, Burt, Cass, Dakota, Dixon, Douglas, Knox, Lincoln, Nemaha, Richardson, Sarpy and Washington Counties.

This section contains disaster specific information pertaining to DR-4013 declared August 12, 2011. It has been submitted to the FEMA Region VII Region Administrator and approved 44CFR paragraph 206.437(d)

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C. Disaster Priorities
D. Members of the SHMT
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C. State Hazard Mitigation Program Priorities for FEMA-DR-4013-NE

1. Acquisition/Relocation or Demolition and Elevation of Flood Prone Properties

Elevation and Acquisition/demolition type projects will be considered as a priority. If this type project is selected, adherence to Federal and State directives including but not limited to the Hazard Mitigation Assistance Unified Guidance June 2010 will be required. Priority should be given to repetitive loss properties.

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Up to 7% of the HMGP grant may be used to develop State, tribal and/or local mitigation plans to meet the planning criteria outlined in 44 CFR Part 201.
### D. Core Nebraska State Hazard Mitigation Team members

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E. Anticipated management costs:

1. Pass-Though. The State of Nebraska, as the grantee, has determined that no management costs will be provided to the sub-grantees. Direct administrative costs incurred by a sub-grantee that can be identified to a specific project such as inspections, construction oversight, working with home owners may be included in the project budget.

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The Administrative Plan will be implemented in response to DR-4014-NE declared August 12, 2011, as the result of Severe Storms, Tornadoes, Straight-line Winds and Flooding. The Severe storms, Tornadoes, Straight-line Winds and Flooding caused considerable damage throughout the declared areas; the incident period began June 19, 2011 through June 21, 2011.

The following counties were declared for Public Assistance: Buffalo County, Chase County, Dodge County, Dundy County, Furnas County, Hamilton County, Hayes County, Logan County, Phelps County, Polk County, Red Willow County, and York County.

This section contains disaster specific information pertaining to DR-4014 declared August 12, 2011 It has been submitted to the FEMA Region VII Region Administrator and approved 44CFR paragraph 206.437(d)

A. Updates
B. Roles.
C. Disaster Priorities
D. Members of the SHMT
E. Anticipated Management costs
A. There are no updates or revisions to the basic plan effecting the administration of the program in this annex.

B. Roles

The following people are assigned the following roles and authorities in this disaster.

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