

STATE OF ALASKA
SUBGRANTEE'S HANDBOOK
FOR
HAZARD MITIGATION FUNDING
(PUBLIC LAW 93-288, SECTION 404)



STATE OF ALASKA DEPARTMENT OF MILITARY AND VETERANS AFFAIRS
DIVISION OF HOMELAND SECURITY AND EMERGENCY MANAGEMENT

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Table of Contents

1. PURPOSE	3
2. DEFINITIONS	3
3. ACRONYMS	4
4. DIRECTION AND CONTROL	4
4.1 SUB-GRANTEE REPRESENTATIVE:	6
4.2 PROJECT MANAGEMENT:	4
4.3 TECHNICAL ASSISTANCE:	5
4.4 FINANCIAL MANAGEMENT (FUNDING):	5
4.5 PAYMENT OF ADMINISTRATIVE ALLOWANCE:	7
4.6 APPEAL OF STATE DECISION:	7
4.7 RECORDS AND REPORTS:	7
4.7.1 <i>Progress Reports:</i>	7
4.7.2 <i>Financial Status Reports:</i>	7
4.8 EQUIPMENT MANAGEMENT:	8
4.9 CLOSE-OUT PROCEDURES:	8
4.10 AUDITS:	8
5. DEVELOPMENT AND MAINTENANCE	9
6. ATTACHMENTS	9
6.1 REQUEST FOR FUNDS FORM	9
6.2 PROJECT QUARTERLY REPORT FORM	9
6.3 PROJECT FINAL NARRATIVE FORM	9
6.4 HMGP STATEMENT OF DOCUMENTATION FORM	9

1. PURPOSE

- 1.1 The purpose of this Subgrantee Handbook is to outline the management, fiscal, administrative procedures, and to identify the documents the Division of Homeland Security and Emergency Management will use to implement the provisions of the Robert T. Stafford Act, as amended 42 U.S.C 5121 et seq, September 1998 (Stafford Act) PL 93-288, §404, Hazard Mitigation activities.

2. DEFINITIONS

- 2.1 Alternate GAR, Alternate Governor's Authorized Representative (AGAR): Performs as the Alternate Governor's Authorized Representative (GAR) to represent the Governor in all activities related to implementing Public Law 93-288 as amended and serves as the alternate grant administrator for all funds provided under the Hazard Mitigation Grant Program when the GAR is not available. The AGAR performs all duties and assumes all responsibilities of the GAR when the GAR is not available. These duties include providing technical advice and assistance to an eligible subgrantee, ensuring that all potential applicants are aware of assistance available, and submitting those documents necessary for grant award.
- 2.2 Applicant: Any State agency, local government, 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 subgrantee.
- 2.3 Application: The initial request for HMGP funding, as outlined in §206.436 of 44 CFR.
- 2.4 Disaster Policy Cabinet (DPC): The DPC is chaired by the DMVA Commissioner or his designated representative and comprises commissioners of select agencies to provide recommendations to the Governor concerning disaster related matters. The role of the DPC includes approving requests for mitigation project funding and State-funded long-term recovery projects as well as supporting the State's commitment to disaster relief fund efforts.
- 2.5 Division of Homeland Security and Emergency Management (DHS&EM): The agency responsible for implementing the Hazard Mitigation Grant Program for the Governor.
- 2.6 Federal Hazard Mitigation Officer (FHMO): The FEMA employee responsible for coordinating post disaster hazard mitigation activities with other government agencies at all levels.
- 2.7 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.
- 2.8 Grant: An award of financial assistance. The Federal share of HMGP equals 15% of the total cost of disaster assistance outlays for disasters with costs under \$2 billion.
- 2.9 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 §206.435 of 44 CFR, the State is the grantee.
- 2.10 Governor's Authorized Representative (GAR): Represents the Governor in all activities related to implementing Public Law 93-288 as amended and serves as the grant administrator for all funds provided under the Hazard Mitigation Grant Program. The GAR's responsibilities include providing technical advice and assistance to an eligible subgrantee, ensuring that all potential applicants are aware of assistance available, and submitting those documents necessary for grant award.
- 2.11 Hazard Mitigation: Any cost-effective measure that will reduce the potential for damage from a natural disaster event, or any action taken to reduce or eliminate the risk to life and property from a disaster.
- 2.12 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.
- 2.13 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 §409 (Section 322 of the Disaster Mitigation Act of 2000 when guidelines are adopted).
- 2.14 In Accordance With (IAW): An acronym used throughout the document to show compliance to a referenced authority.
- 2.15 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.
- 2.16 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, DHS&EM, and technical representatives from appropriate State agencies. The team also identifies immediate mitigation opportunities and issues to be addressed.

- 2.17 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.”
- 2.18 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) or the Internal Revenue Code of 1954; and 2) Articles of Incorporation and by-laws filed with the State of Alaska.
- 2.19 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.
- 2.20 Regional Director (RD): The representative from FEMA Region X who is responsible for approving the State Hazard Mitigation Plan and the State’s Administrative Plan for implementing the HMGP.
- 2.21 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. HMGP funding is based on fifteen percent (15%) of the total estimated eligible Federal disaster assistance, for disasters with recovery costs under \$2 billion. 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.
- 2.22 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 required under the Stafford Act.
- 2.23 State Hazard Mitigation Plan Advisory Committee (SHMAC): A team of personnel comprised of appropriate DHS&EM 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 SHMAC is chaired by the SHMO. The purpose of the SHMAC is to review, prioritize, and recommend selection of HMGP projects submitted by eligible applicants. Committee members will also assist with developing and reviewing the State Hazard Mitigation Plan and provide consultation on State level mitigation activities.
- 2.24 Subgrant: An award of financial assistance under a grant by the grantee to an eligible subgrantee.
- 2.25 Subgrantee: The government or other legal entity to which a subgrant is awarded and which is accountable to the grantee for the use of the funds provided. A subgrantee can be a State agency, local government, private non-profit organization, Alaska Native village, or organization (not Alaska Native corporations with ownership vested in private individuals) as outlined in § 206.434 of 44 CFR.
- 2.26 Supplement: An amendment to the hazard mitigation application to add or modify one or more mitigation measures.

3. ACRONYMS

- 3.1. AGAR – Alternate Governor’s Authorized Representative
- 3.2. DHS&EM – Division of Homeland Security and Emergency Management
- 3.3. DMVA – Department of Military and Veterans’ Affairs
- 3.4. DPC – Disaster Policy Cabinet
- 3.5. FEMA – Federal Emergency Management Agency
- 3.6. FHMO – Federal Hazard Mitigation Officer
- 3.7. GAR – Governor’s Authorized Representative
- 3.8. HMGP – Hazard Mitigation Grant Program
- 3.9. IAW – In Accordance With
- 3.10. NFIRDA – National Flood Insurance Reform Act and Disaster Assistance
- 3.11. PDA – Preliminary Damage Assessment
- 3.12. PNP – Private Non-Profit Organizations
- 3.13. RD – Regional Director
- 3.14. SHMO – State Hazard Mitigation Officer
- 3.15. SHMP – State Hazard Mitigation Plan
- 3.16. SHMPAC – State Hazard Mitigation Plan Advisory Committee

4. DIRECTION AND CONTROL

- 4.1 The Chief Executive Officer or Senior Elected Official of an organization or governmental entity who qualifies for public assistance and possible mitigation grants as a subgrantee will approve an individual to represent that entity in all §404 and §406 matters.
- 4.2 Project Management:

- 4.2.1 DHS&EM has primary responsibility for project management and accountability of funds as prescribed in 44 CFR, § 13 and in the funding section below. The GAR is responsible for ensuring that the subgrantee meets all program and administrative requirements. DHS&EM may require applicants to obtain a project manager or contractor to assist in developing or accomplishing projects.
- 4.2.2 DHS&EM may place special conditions or restrictions on grants to “high risk” subgrantees, as defined in 44 CFR § 13.12. DHS&EM will notify the subgrantee subject to these conditions in writing of the nature of the conditions, the reason(s) for imposing them, what action must be taken before the conditions will be removed, and the time period in which this must be accomplished, and the method of requesting reconsideration of the conditions.
- 4.2.3 The subgrantee shall submit a Project Quarterly Report Form ([Attachment 6.2](#)) to the GAR indicating the status and projected completion date for the project. Any problems affecting the completion date, scope of work, or project cost which could result in noncompliance with the approved grant conditions will also be included in the report.
- 4.2.4 The subgrantee normally has a defined period of performance indicated within the grant agreement starting from the activity approval and funding date. Any changes to the approved period of performance must be requested in writing at least 60 days before termination. DHS&EM and FEMA Region X must approve any deviation from this schedule.
- 4.2.5 The subgrantee will submit project cost overruns, with complete justification, to the GAR for approval. If approved, the GAR will subsequently submit cost overruns of the approved grant amount, with complete justification, to the FEMA Region Director for approval. In no case will the Federal cost for HMGP exceed either the 75% Federal share or fifteen percent (15%) of the estimated aggregate amount of grants identified in the Stafford Act and section II.B. of this document.
- 4.2.6 The sub-grantee must inform the funding agency of any event that occurs during the performance period which has a significant impact upon the grant or subgrant supported activity.
- 4.2.7 While DHS&EM undertakes to assist the subgrantee with the project by providing grant funds pursuant to this Grant Agreement, the project itself remains the sole responsibility of the subgrantee. DHS&EM undertakes no responsibility to the subgrantee, or to any third party, other than as is expressly set out in the Grant Agreement. The responsibility for the design, development, construction, implementation, operation, and maintenance of the project, as those phases are applicable to this project, is solely that of the subgrantee, as is responsibility for any claim or suit of any nature by any third party related in any way to the project.
- 4.2.8 The applicant shall defend at its own cost any and all claims or suits at law or in equity which may be brought against the subgrantee in connection with the project. The applicant shall not look to DHS&EM, or state or federal agency, or to any of their employees or agents, for any performance, assistance, or any payment or indemnity, including but not limited to cost of defense and/or attorney’s fees, in connection with any claim or lawsuit brought by any third party related in any design, development, construction, implementation, operation, and/or maintenance.

4.3 Technical Assistance:

- 4.3.1 Technical assistance may be given by FEMA and/or DHS&EM to assist either the grantee and/or subgrantee. Technical assistance may include assistance with data collection, project development and management, engineering and/or floodplain management assistance, and benefit cost determinations. Requests for technical assistance should be forwarded to the respective agency (FEMA or DHS&EM, as appropriate). Requests should be in writing, but alternative methods may be acceptable, as appropriate.

4.4 Financial Management (Funding):

- 4.4.1 Total approved project costs are split with a 75% Federal share and a 25% State share. Any additional program costs are not eligible, and are the responsibility of the subgrantee. However, in some instances cost overruns may be funded on a case-by-case basis, as determined by FEMA. State agencies are responsible for the 25% State cost share and will only be advanced or reimbursed up to the 75% Federal share.
- 4.4.2 Applicants must set-up separate accounts to facilitate tracking HMGP funds generated by different disasters.
- 4.4.3 All payments to a subgrantee go through a review and approval process within DHS&EM. The SHMO will review the request and the subgrantee file to determine payment amounts. The request will be reviewed and approved for payment by the SHMO, then routed through the DAS financial management staff for audit, the Planning, Analysis and Mitigation Program Manager for review, and to the GAR for final payment approval.
- 4.4.4 The subgrantee will use local standard operating procedures when procuring services or goods. Qualified State agencies will follow State Procurement Guidelines. Subgrantees must provide DHS&EM pre-award review procurement documents, such as requests for proposals (RFPs), invitations to bid (IFBs), or independent cost estimates (ICEs) etc.
- 4.4.5 A subgrantee may request an “Advance” of funds by completing the “Request for Funds Form,” ([Attachment 6.1](#)). The completed form must be typewritten and submitted to the State for approval and processing. DHS&EM will not accept handwritten requests. Faxed documents must be followed-up with a mailed original. Advance funds must be expended towards the approved scope of the project within 30 days of receipt, or they must be refunded to the State. The applicant must provide supporting documentation for all project expenditures for which advance funds are used prior to receiving

subsequent funding. Accruing interest on advance funds is not authorized, and any accrued interest must be returned to the State.

- 4.4.6 Advances are limited to increments of 30% of the estimated total “FEMA Approved” project cost. Additional funding may be advanced as the applicant provides documentation to substantiate prior advance expenditures. Each subsequent request may not exceed 30% of the estimated total project cost. Total advances may not exceed 75% of the estimated project cost or 75% of the Federal share for qualified State agencies. Final payments will not be paid until the project is complete and all receipts and documentation are received by DHS&EM.
- 4.4.7 The applicant may request a “Reimbursement” of funds expended by completing the “Request for Funds Form,” (Attachment 6.1). The applicant must provide documentation that shows actual expenditures made support grant project activities and/or support functions described in the approved scope of work for the project. The request will be processed for payment once it is validated for authorized expenditures. Reimbursement may not exceed 75% of the estimated project cost or Federal share. Qualified State agencies will only be advanced or reimbursed in limited increments up to 75% of the 75% Federal share as the applicant provides documentation to substantiate prior expenditures. Final payment of the remaining 25% will not be paid until the project is completed and all documentation is received by DHS&EM.
- 4.4.8 If the request is denied, the GAR will inform the applicant in writing within thirty (30) days of the date of the request with an explanation for the denial. If approved, the request will be transmitted to the DAS financial management staff for processing per established accounting procedures.
- 4.4.9 Disbursement of funds will be as expeditious as possible to minimize the time between the grant award and actual disbursement. The State uses electronic funds transfer (EFT) procedures. Payments will be made by “Warrant” (check) only for extenuating circumstances.
- 4.4.10 If State “Warrants” are issued, they are valid for six months from date of issue. Stale dated warrants will be handled through “Unclaimed Properties” at:

Department of Revenue Division of Treasury Unclaimed Property Section P.O. Box 110405 Juneau, AK 99811-0405	or	Department of Revenue Division of Treasury Unclaimed Property Section Willoughby Ave., 11 th Floor Juneau AK 99811-0405
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If the warrant expires before the expiration of the performance period of the disaster and the applicant submits an affidavit that the:

- Warrant was lost;
- Warrant was stolen;
- Warrant was fraudulently cashed; or
- Applicant was unable to cash the warrant because they were:
 - Medically incapable of cashing the check and there is no one with a power of attorney that can act in the applicants behalf.
 - Outside the U.S.A. during the entire time the warrant was valid and could not find an institution willing to cash it.

The subgrantee can then request that the warrant be reissued. State warrants can be reissued indefinitely by contacting the Unclaimed Properties Section at the addresses above.

- 4.4.11 DHS&EM reserves the right to recapture funds in an amount equivalent to the extent of noncompliance, in the event the subgrantee fails to expend funds according to state law and/or the provisions of the agreement. Such right of recapture shall exist for a period not to exceed three years following agreement termination. Repayment by the subgrantee of funds under this recapture provision shall occur within 30 days of demand. In the event DHS&EM is required to institute legal proceeding to enforce the recapture provision, DHS&EM shall be entitled to its costs thereof, including reasonable attorney’s fees.
- 4.4.12 Subgrantees are permitted to rebudget within the approved direct cost budget to meet unanticipated requirements and may make limited program changes to the approved project, per 44 CFR § 13.03. However, all changes of the budget, scope of work, and program activities must be coordinated with DHS&EM and fully reported.
- 4.4.13 Final payments will not be paid until the project is complete and all receipts and documentation are received by DHS&EM. All payments to a subgrantee go through a review and approval process within DHS&EM. Prior to project closeout, applicants must reconcile their programmatic expenditures with actual financial activity. If funds remain after project completion, the remaining funds, and any interest accrued in excess of \$100 annually must be returned to the State.
- 4.4.14 Applicants for acquisition or relocation projects must provide copies of all documentation obtained from financing the home including contracts between applicants and home owners, vendors, and suppliers. Applicants must provide a

written report explaining what happened with each home, funds expended, and any information concerning project progress.

- 4.4.15 No expenditures made or obligations incurred following the grants completion date or performance period end shall be eligible, in whole or in part, for reimbursement.

4.5 Payment of Administrative Allowance:

- 4.5.1 Subgrantee administrative allowance costs are not allowed or reimbursed under the HMGP Grant Agreement. Indirect costs incurred by the subgrantee are the responsibility of the applicant. Administrative indirect costs incurred do not need to be tracked or reported quarterly.

4.6 Appeal of State Decision:

- 4.6.1 An eligible subgrantee may appeal any previously made determination related to an application for Federal assistance through the grantee (DHS&EM) (IAW 44 CFR § 206.440). Applicants whose projects are not selected by the Disaster Policy Cabinet will be notified by the State Hazard Mitigation Officer, and advised of the following appeal process:
 - 4.6.1.1 DHS&EM will provide guidance or technical assistance with writing an appeal if needed.
 - 4.6.1.2 Appeals must be submitted to the Governor's Authorized Representative (GAR) at DHS&EM, within 60 days of receipt of notice of non-selection.
 - 4.6.1.3 The written appeal must contain sufficient additional information and supporting documentation to warrant reconsideration. DHS&EM will review and evaluate the appeal then submit the documentation for the appellant's position, sighting specific monetary discrepancies or disputed provisions in Federal law, regulation, or policy. Upon completing the review and evaluation, DHS&EM will forward with a written recommendation to the Regional Director for action.
 - 4.6.1.4 DHS&EM will review and forward appeals from the subgrantee within 60 days of receipt.
 - 4.6.1.5 All appeals must be resolved by the GAR or his representative prior to the grant closeout period.

4.7 Records and Reports:

4.7.1 Progress Reports:

- 4.7.1.1 The subgrantee will submit a Project Quarterly Report Form ([Attachment 6.2](#)), to the State which will serve as the basis for the State reporting on the status and activity of all open projects to FEMA. The report will contain the status of open projects as prescribed by 44 CFR § 13.40 (b)-(c) and 206.438(C). The progress report will be submitted to DHS&EM within 15 days after the end of the first federal quarter following the initial grant award and shall be submitted each quarter thereafter for State administered disaster assistance programs authorized by the Stafford Act. Reports are due to DHS&EM: January 20, April 20, July 20, and October 20.
- 4.7.1.2 Quarterly reports are due the 20th of the month following the end of the quarter. If a jurisdiction has not submitted its reports in a timely manner, DHS&EM will contact this jurisdiction as a reminder of its reporting duties. DHS&EM will attempt to contact the jurisdiction by phone, email and/or letter several times during the quarter following the due date of the missing report. If no report for the prior quarter is received before the end of the next quarter, the grant may be terminated, and recoupment of all reimbursed expenditures may be sought.

4.7.2 Financial Status Reports:

- 4.7.2.1 The subgrantee will submit a quarterly financial report utilizing the Project Quarterly Report Form ([Attachment 6.2](#)) to DHS&EM 15 days after the end of the first Federal quarter following the initial grant award. Financial reports will be submitted quarterly thereafter for State administered disaster assistance programs authorized by the Stafford Act. Reports are due to DHS&EM: January 20, April 20, July 20, and October 20.
- 4.7.2.2 This report will consist of the following at a minimum:
 - 4.7.2.2.1 Total authorized for the project
 - 4.7.2.2.2 Total expenditures to date
 - 4.7.2.2.3 Total payments received to date
 - 4.7.2.2.4 Total advances received
 - 4.7.2.2.5 Total project funds remaining

- 4.7.3 Receipt of Hazard Mitigation Grant Program funding is a contractual agreement between the grantee and subgrantee. As the grantee, DHS&EM requires that quarterly and annual fiscal status reports be completed as a condition of receiving these funds. Project funding can be suspended or reimbursement sought if the required reports are not received as indicated above.

- 4.7.4 The subgrantee shall establish and maintain a financial management and accounting system that conforms to generally accepted accounting principles and complies with the Office of Management and Budget Circular No. A-102, "Common Rule", A-87 "Cost Principle Guidelines" or such equivalent system as DHS&EM may require.
- 4.7.5 Project Documentation Record Retention (44 CFR § 13.42): The subgrantee will be required to keep complete records of all work including (i.e. receipts, checks, job orders, contracts, equipment, equipment usage documentation and payroll information in paper, electronic or microfiche formats) funded under the Hazard Mitigation Grant Program as follows:
 - 4.7.5.1 The State of Alaska requires that records be retained for 3 years after final closeout of the disaster.
 - 4.7.5.2 If litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues arising from the action or three years whichever is later.
 - 4.7.5.3 The subgrantee is required to retain real estate transaction and property tracking records indefinitely.
 - 4.7.5.4 Awarding agencies may make special arrangements with grantees and subgrantee to retain any records which are continuously needed for joint use.
 - 4.7.5.5 Alternate forms of documentation such as microfilming, photocopying, or similar methods may be substituted for the original records.
- 4.7.6 Access to Records (44 CFR § 13.42 (e): All projects are subject to State and Federal audit or, examinations during the retention period. However, the subgrantee is not required to permit public access to their records unless required by Federal, State, or local law.
 - 4.7.6.1 The State may make random audits, checks, or inspections to determine that records are retained and available as required.

4.8 Equipment Management:

- 4.8.1 44 CFR § 13.32(a)-(d) is very explicit concerning equipment management responsibilities. The grantee will use, manage, and dispose of equipment acquired under this grant IAW State laws and procedures. Additionally, the subgrantee will use the equipment for the project for which it is acquired for as long as needed. Once the original need is terminated the equipment can be used for other activities supported by the Federal government.
- 4.8.2 All equipment acquired with grant funding will be maintained on inventory following State of Alaska Procurement guidelines to include serial number, property identification tag, location, cost, and other tracking data. Physical inventory will be conducted annually and reconciled with property records every two years. Maintenance will be performed to ensure the equipment remains in functional order until disposition and appropriate records will be kept current in the Division's Logistics Office.
- 4.8.3 DHS&EM makes no claim to any capital facilities or real property improved or constructed with funds under any grant agreement, and by this grant of funds does not and will not acquire any ownership interest or title to such property of the subgrantee. The subgrantee shall assume all liabilities arising from the ownership and operation of the project and agrees to hold DHS&EM and the State of Alaska harmless from any and all causes of action arising from the ownership and operation of the project.
- 4.8.4 Equipment will be disposed of following State disposition regulations and as delineated in 44 CFR § 13.32(e)

4.9 Close-out Procedures:

- 4.9.1 The SHMO reserves the right to inspect all projects for compliance at any time and FEMA may also conduct an inspection of any project at any time.
- 4.9.2 Upon completion of all work approved in a project application, the SHMO or designee, will make a final inspection at the discretion of the SHMO, and submit certification of the project to the GAR. At the request of the GAR or the Regional Director (RD), a joint DHS&EM/FEMA team will perform the inspection for large projects. Projects less than \$100,000 may be certified by a desk audit of all project documentation at DHS&EM's discretion.
- 4.9.3 If inspection and review of subgrantee support documentation reveals problems in work performance and/or documentation of such work, the SHMO shall work with the subgrantee to correct the deficiencies before program closure. The State will forward final inspection documents to the RD to close the project.
- 4.9.4 Applicants are required to submit the following DHS&EM forms along with the supporting documentation no later than 60 days after the completion of work or the grants performance period ending date: Project Quarterly Report, Project Final Narrative, Statement of Documentation and a Request for Funds.

4.10 Audits:

- 4.10.1 The subgrantee is responsible for obtaining audits IAW 44 CFR § 13.26, the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507), and revised OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations. This requirement applies to all Mitigation Program Grant Projects.

- 4.10.2 Audit requirements will be IAW 44 CFR § Part 14 or OMB Circular A-128, as appropriate for all projects \$25,000 - \$100,000.
- 4.10.3 A subgrantee expending \$500,000 or more in total Federal financial assistance in a fiscal year will be required to have an audit made in accordance with the Single Audit Act Amendments of 1996 - OMB Circular A-133.
- 4.10.4 The subgrantee will be required to provide Alaska Division of Homeland Security and Emergency Management a copy of the Single Audit.
- 4.10.5 Even though a Single Audit is performed, subgrant recipients are also subject to additional audits by FEMA Office of Inspector General and State auditors for items not covered by the Single Audit.
- 4.10.6 The subgrantee will be advised to retain records and supporting documentation for 3 years after closeout of the disaster.
- 4.10.7 The GAR may request an audit for funds disbursed to a subgrantee at any time. The audit results will be submitted to the Regional Director for resolution based on the FEMA-State Agreement. The audit will determine whether the subgrantee has met the requirements outlined in this plan and expended HMGP funds IAW 44 CFR § 13.26 and 14.2, the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507), and revised OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations. If non-compliance is determined, the SHMO will ensure that appropriate corrective action is taken within six (6) months of audit completion.

5. DEVELOPMENT AND MAINTENANCE

This Sub-grantee's Handbook will be reviewed annually. Amendments will be made to meet current policy guidelines, as required.

6. ATTACHMENTS

- 6.1 Request for Funds Form
- 6.2 Project Quarterly Report Form
- 6.3 Project Final Narrative Form
- 6.4 HMGP Statement of Documentation Form

REQUEST FOR FUNDS
Division of Homeland Security & Emergency Management
State Mitigation Grant Program

*Fill out a separate form for each project. Maximum allowed advance per request is 30% of approved project amount

<input type="checkbox"/> Public Assistance	<input type="checkbox"/> Hazard Mitigation Grant Program	<input type="checkbox"/> Pre-Disaster Mitigation Grant Program	<input type="checkbox"/> Other: _____
<input type="checkbox"/> Request For Advance	<input type="checkbox"/> Request For Reimbursement	<input type="checkbox"/> Request For Partial Payment	<input type="checkbox"/> Request For Final Payment
APPLICANT INFORMATION			
PROJECT NAME:		PROJECT NUMBER:	
APPLICANT NAME:			
STREET:			
CITY/ZIP:			
APPROVED PROJECT AMOUNT:		\$ _____	
TOTAL AMOUNT OF PRIOR PAYMENTS:		\$ _____	
AMOUNT THIS REQUEST: (Max advance 30% each request up to 75%. Max reimbursement 75%. State agencies 75% of the Federal Share)		\$ _____	
MAIL CHECK TO:		DEPOSIT CHECK FOR APPLICANT:	
		BANK NAME: _____	
		ACCOUNT #:	
THE APPLICANT AGREES:			
<ol style="list-style-type: none"> 1. That the funds will be placed in a special and separate account. 2. That the funds will be expended within 30 days of receipt. (<i>Applies to Advances Only</i>) 3. That the funds will be used only for approved actual eligible expenditures. 4. That any funds received, which are in excess of the approved actual expenditures, will be promptly refunded to the State upon completion of the project. 5. Any interest earned while these funds are on deposit will be promptly credited to the account. 6. No additional funds will be advanced until the applicant provides financial documents to DHS&EM verifying expenditures for any prior advance. 7. Reports on advanced funds are required on a quarterly basis, detailing the status of all advanced funds. This requirement is mandatory even if no expenditures have occurred. 			
DATE:		TITLE:	
SIGNATURE:			
FOR DHS&EM USE ONLY			
APPROVED: <input type="checkbox"/> DISAPPROVED: <input type="checkbox"/>		AMOUNT: \$ _____	
COMMENTS:			
DATE:		TITLE:	
SIGNATURE:			

HMGP Project Quarterly Report
Division of Homeland Security & Emergency Management
State Mitigation Grant Program

This form is required to be submitted on a quarterly basis for each Hazard Mitigation Grant Program (HMGP) Project. If you have any questions, please contact the State Hazard Mitigation Officer at 907-428-7000 or 1-800-478-2337 at the Division of Homeland Security & Emergency Management (DHS&EM). This form can be faxed to DHS&EM at 907-428-7009. Failure to report on time can result in lose of funding for projects and future grant awards.

Identify the performance period for this report: (a separate form is required for each Quarterly Report)

- April 1 to June 30 (report due to DHS&EM by July 20)
- July 1 to September 30 (report due to DHS&EM by October 20)
- October 1 to December 31 (report due to DHS&EM by January 20)
- January 1 to March 31 (report due to DHS&EM by April 20)

Applicant Name:		Telephone Number:
Project Coordinator / Representative:		Fax Number:
Disaster Number:	HMGP Project Number:	Today's Date:

Key dates and activity this quarterly report period that were accomplished; (for example, what major tasks were completed?)

Total funds awarded for project:	\$ _____
Total funds expended to date:	\$ _____
Estimated additional funds required to complete project:	\$ _____
Do you plan on exceeding the approved project amount? If Yes, explain above.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Estimated cost overrun:	\$ _____
Will you be requesting reimbursement for your cost overrun?	<input type="checkbox"/> Yes <input type="checkbox"/> No
How complete is the project?	_____ % Complete
What is the expected completion date of project:	_____

Note: The sub-grantee will submit projected cost overruns, with complete justification, to the Governors Authorized Representative (GAR) for approval immediately upon realization of the overrun expectation. If approved, the GAR will subsequently submit cost overruns of the approved grant amount, with complete justification, to the FEMA Region Director for approval.

Additional comments about the project: (Include any information about circumstances that could delay the estimated project completion date or an unexpected cost overrun).

Project Final Narrative
Division of Homeland Security & Emergency Management
State Mitigation Grant Program

This form is filled out when a project has been completed in full. A separate form must be submitted for each project. If you have any questions, please contact the Mitigation Section within the Division of Homeland Security and Emergency Management 907-428-7000. This form can be faxed to: Division of Homeland Security and Emergency Management, Attention State Hazard Mitigation Officer, at 907-428-7009.

Applicant Name:		Telephone Number:
Project Coordinator / Representative:		Fax Number:
Disaster Number:	HMGP Project Number:	Today's Date:

Brief Description of Project/Scope of Work:

Physical Location of Project:

Key Dates and activity performed: (for example: date project was started, completed, describe activity, etc.)

Total Funds awarded for project:	\$ _____	
Total funds expended on this project:	\$ _____	
Cost over-runs expended on this project:	\$ _____	
Date this project was completed?	_____	

Additional comments about the project: (Include any information about circumstances that could delay the estimated project completion date or an unexpected cost overrun.)

STATEMENT OF DOCUMENTATION FORM (HMGP)
DIVISION OF HOMELAND SECURITY AND EMERGENCY MANAGEMENT

* This form is required to be filled out when a project is completed. The applicant will not receive final payment without this form.

(1) Applicant (State Agency, City, Community, Native Organization)	(3) Disaster Number	(5) State Application Number
	(4) Project Number	(6) Category of Work

(2) Brief Description of Damaged Facility or Protective Measures:

I CERTIFY:

- That all expenditures listed below are correct and cover only services performed or material used exclusively in disaster relief operations as authorized in the approved Project Application;
- That to the best of my knowledge and belief, all work and costs claimed are eligible in accordance with the grant conditions, all work claimed has been completed, and all costs have been paid in full.
- That salaries, wages and overtime payments claimed are in accordance with the applicant's policy as established prior to the disaster;
- That all work authorized in the approved Hazard Mitigation Grant Application was completed within the time limits set forth in the approved Project Application; and,
- That all obligations incurred by the applicant, as listed below, have been paid in full.

Date	Signature of Applicant's Authorized Representative
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	(8) Approved Amount as Listed in Project Application	(9) Actual Cost Incurred
(7) Description of Work		
F.A. Labor DHS&EM FORM 30-04a-HM		
Materials DHS&EM FORM 30-04b-HM		
F.A. Equipment DHS&EM FORM 30-04c-HM		
Supplies DHS&EM FORM 30-04d-HM		
Rental Equipment DHS&EM FORM 30-04e-HM		
Contract DHS&EM FORM 30-04f-HM		
Other		
TOTAL		

MATERIALS RECORD 30-04b

State of Alaska
DIVISION OF HOMELAND SECURITY AND EMERGENCY MANAGEMENT

PAGE _____ OF _____ PAGE(S)

LOCATION OF WORK: _____
DESCRIPTION OF WORK: _____
MATERIAL RECORD PREPARED BY: _____

TIME PERIOD _____ TO _____ 20__

Project No. _____

FEMA- _____ - DR P.A. No.: _____

CATEGORY: () A () B () C () D () E () F () G

VENDOR	DESCRIPTION	HOURS USED	QUANTITY	UNIT PRICE	TOTAL PRICE	DATE BOUGHT	CHECK NUMBER	DATE USED	Check one INFO. From	
									INVOICE	Stock
					0					
					0					
					0					
					0					
					0					
					0					
					0					
					0					
					0					
					0					
					0					
					0					
					0					
					0					
					0					
					0					
TOTAL PRICE					0					

Line Item	Explain the specific use for each materials purchase by line item
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	
11	
12	
13	

EQUIPMENT RENTAL RECORD 30-04e

State of Alaska
 DIVISION OF HOMELAND SECURITY AND EMERGENCY MANAGEMENT

PAGE _____ OF _____ PAGE(S)

LOCATION OF WORK: _____
 DESCRIPTION OF WORK: _____
 RENTAL RECORD PREPARED BY: _____

TIME PERIOD _____ TO _____ 20__

Project No. _____

FEMA- _____ - DR

P.A. No.: _____

CATEGORY: () A () B () C () D () E () F () G

TYPE OF EQUIPMENT <small>Indicate size, capacity, horsepower, make and model as appropriate</small>	DATE	HOURS USED	RATE PER HOUR		VENDOR	DATE PAID	INVOICE NUMBER	AMOUNT PAID	CHECK NUMBER
			W/ OPR	W/O OPR					
		HRS						0	
		HRS						0	
		HRS						0	
		HRS						0	
		HRS						0	
		HRS						0	
		HRS						0	
		HRS						0	
		HRS						0	
		HRS						0	
		HRS						0	
		HRS						0	
		HRS						0	
		HRS						0	
TOTAL THIS SHEET								0	

Line item	Explain what specific job was performed by each equipment line item
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	
11	
12	

