

# DR-4683 & DR-4699 HAZARD MITIGATION GRANT PROGRAM (HMGP) NOTICE OF FUNDING OPPORTUNITY

## Overview

The California Governor's Office of Emergency Services (Cal OES) presents a mitigation funding opportunity for FEMA's Hazard Mitigation Grant Program (HMGP) through the Presidential Major Disaster Declarations, DR-4683 (Severe Winter Storms, Flooding, Landslides, and Mudslides) DR-4699 (Severe Winter Storms, Straight-line Winds, Flooding, Landslides, and Mudslides). This opportunity provides funding for communities to implement mitigation activities that reduce risk to life, property, and infrastructure from natural hazards. In California, natural hazards include wildfire, earthquake, drought, extreme heat, flooding, and other natural hazards as defined in the [State Hazard Mitigation Plan](#). HMGP funding can support the development of hazard mitigation planning, project scoping activities (i.e., Advance Assistance), and mitigation projects. This funding opportunity presents significant funding for eligible mitigation activities across the State. **Figure 1** below demonstrates the timelines associated with this funding opportunity.

In addition, Cal OES is continuing the [Prepare California Match Initiative](#) which provides funding to eligible California communities that are the most socially vulnerable and at the highest risk for future natural hazard events to help them meet the 25% non-federal (local) cost share requirement. Communities interested in Prepare California Match funding need to meet Prepare California eligibility requirements and specify their request to be considered for Prepare California Match funding within their submitted HMGP project Notice of Interest (NOI) and subapplication, as detailed in the Prepare California Match NOI section on page 4. Additional Prepare California Match eligibility considerations can be found in the Eligible Subapplicants section located on page 6.

**Figure 1: HMGP (DR-4683 & DR-4699) Funding Opportunity Timeline**



## Eligible Subapplicants

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Local governments—including cities, counties, special government districts, state agencies, and Tribal governments (federally and non-federally recognized tribes)—are considered eligible HMGP subapplicants. Certain private nonprofits may also be eligible for HMGP funding (consistent with 44 CFR §206.221 and 206.434).

### Hazard Mitigation Plan Eligibility Factors

Eligible subapplicants must have a FEMA approved and adopted local hazard mitigation plan (LHMP) or tribal hazard mitigation plan prior to the FEMA Notice of Grant Award. Eligible subapplicants that do not meet the hazard mitigation planning requirement may have their county or an eligible private nonprofit apply on their behalf. If a county or eligible private nonprofit applies on behalf of an eligible subapplicant, the county in which the work will be performed must meet the LHMP requirement<sup>1</sup>. Please note, state agencies meet this requirement through their inclusion in the 2018 California State Hazard Mitigation Plan.

If a jurisdiction does not have an LHMP, they may apply for grant funding to develop one. **Single jurisdiction plans are limited to a maximum federal share of \$150,000; multi-jurisdiction plans with less than 5 participants are limited to a maximum federal share of \$200,000; multi-jurisdiction plans with five (5) to nine (9) participating entities are limited to a maximum federal share of \$250,000; multi-jurisdiction plans with 10 participants, or more are limited to a maximum federal share of \$300,000.** A fully participating entity is defined as an entity which will fully participate<sup>2</sup> in the planning process, and who will adopt the plan upon receiving FEMA plan approval. Due to the length of time (approximately nine (9) months) it takes for plans to be awarded funding under this grant, it is important that communities evaluate their plan's current LHMP expiration date. This funding may not be available in time to support plan development, approval, and adoption for mitigation plans expiring before 2026.

### Additional Eligibility Factors

Mitigation projects must be eligible, feasible, cost-effective, and Environmental and Historic Preservation (EHP) compliant per FEMA's [Hazard Mitigation Assistance \(HMA\) Guidance](#). Projects must be stand-alone mitigation activities that reduce natural hazard risk as their primary benefit. Cal OES strongly encourages the submission of mitigation projects that achieve multiple benefits (i.e., environmental, ecosystem, economic benefits, etc.).

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<sup>1</sup>Check the hazard mitigation plan status by visiting the FEMA [interactive mitigation plan status viewer](#), and/or by **1)** contacting the [Cal OES HMA Branch](#) or **2)** visiting the Cal OES [Local Hazard Mitigation Program](#) website and scroll down to view county-specific LHMPs.

<sup>2</sup>The plan has been formally adopted by the governing body of the jurisdiction (e.g., City Council, County Commissioner, Tribal Council), ([44 CFR 201.6\(c\)\(5\)](#)). Participating means creating a FEMA approvable annex.

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## Prepare California Match Eligibility Determination

Eligible entities seeking to use Prepare California Match funding to meet HMGP's 25% non-federal (local) cost share requirement must be a county, city, special district, or tribal government. Private nonprofits and State agencies are NOT eligible for Prepare California Match. The eligible entity must apply for an HMGP project that directly and primarily benefits a community considered socially vulnerable and at high hazard risk according to the [Cal OES Hazard Mitigation Assistance Hazard Risk and Social Vulnerability Map](#)<sup>3</sup>. Cal OES utilizes the State-wide, 2018 Center for Disease Control (CDC) Social Vulnerability Index (SVI) and the American Community Survey data to determine social vulnerability. Communities that are eligible FEMA subapplicants but do not meet the criteria for Prepare California Match are still eligible to apply for the HMGP funding opportunity; however, they will be responsible for the non-federal (local) cost share for their project.

## Subapplication Process

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Interested subapplicants must submit a Notice of Interest (NOI) via the [Engage Cal OES Portal](#) prior to submitting a subapplication. Prior to submitting the NOI, subapplicants will need to be prepared to address the following questions:

- What is the natural hazard to be addressed?
- What is the problem caused by the natural hazard?
- What are the consequences if the project is not completed?
- What are the existing conditions and the proposed level-of-protection increase?
- Is this project shovel ready, Phased, or Advance Assistance/Scoping (see **Figure 2** below)

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<sup>3</sup> The Vulnerability Map shows all census tracts that **1)** exceed the 70th percentile in SVI **or** have a median household income of less than 80 percent of the state median, **and 2)** exceed the 85th percentile in any of the five (5) hazard categories, exceed the 70th percentile in overall hazard exposure, **or** have significant earthquake risk based on estimated shake intensity. Click on a census tract for more information about how the Overall Hazard Exposure Percentile is calculated. Hazard exposure is based on Cal OES' analysis of several datasets related to wildfire, flood, earthquake, drought, and heatwave frequencies. These sources include Pyrologix (wildfire), First Street Foundation (flood), National Risk Index for Natural Hazards (earthquake, drought, and heatwave), and Cal Adapt (wildfire and heatwave). Social vulnerability scores are based on the 2018 CDC Social Vulnerability Index.

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**Figure 2: HMGP Subapplication Types**

Type	Examples
<b>Planning</b>	Activities include developing a new hazard mitigation plan or updating a current mitigation plan.
<b>Planning Related</b>	Activities include updating or enhancing sections of the current FEMA-approved mitigation plan (risk and vulnerability assessments), integrating information from mitigation plans with other planning efforts (disaster recovery, comprehensive plans, long-term community planning initiatives), building capacity through delivery of technical assistance and training, and evaluating adoption and/or implementation of ordinances that reduce risk or increase resilience.
<b>Project (Shovel-Ready / Phased)</b>	Activities involve construction and/or physical work. Examples include but are not limited to property acquisition demolition or relocation, flood risk reduction, infrastructure retrofit, structural elevation, structural seismic retrofit, hazardous fuels reduction, defensible space, and generator(s) (If benefit cost analysis (BCA) feasible). Typically, a shovel ready project includes construction activities only and already has completed a 60% design development, has all the sites identified, and has completed CEQA. Phased projects include design activities (Phase I) and construction (Phase II).
<b>Advance Assistance</b>	Activities include the planning and technical studies needed for the development of future shovel ready mitigation projects and future completed HMA subapplications. Advance Assistance can be utilized when the preferred alternative is not known. The activities typically seen in AA include seismic assessments, H&H / modelling, alternative analysis, feasibility studies, 60% design, CEQA, EHP studies, BCA development, site selection, homeowner engagement, and a future project subapplication.
<b>5% Initiative</b>	Activities are defined as mitigation actions that meet all HMGP requirements but may be difficult to evaluate against traditional program cost-effectiveness criteria. Examples include early warning systems, post-disaster building code enforcement, public awareness and education for mitigation campaigns, hazard identification or mapping, new techniques/methods of mitigation and generator(s) (if protecting a critical facility and if there is insufficient data to evaluate a generator project using a standard HMA-approved Benefit-Cost Analysis (BCA) method).

All NOIs must be submitted by the posted deadline, **May 10, 2023**. NOIs submitted after this date will be considered for the next available funding opportunity.

Cal OES will review NOIs for eligibility. If approved, eligible subapplicants will be invited via the [Engage Cal OES Portal](#) to complete and submit a full project subapplication. Cal OES will review all subapplications and submit projects to FEMA in accordance with the State's priorities (see funding priorities section).

Following submission to FEMA, the subapplications will be reviewed for eligibility, feasibility, cost-effectiveness, and EHP compliance prior to approving and awarding funds by FEMA. Depending on the subapplication type and complexity, the FEMA review process could range from 12-24 months. On average, local hazard mitigation

plans and plan updates take nine (9) months from submission to award. Subapplicant non-federal (local) cost share MUST be available at time of subapplication submission and at time of award. The subapplicant MUST also be ready to implement upon project award. Subapplicants that performed work related to a subapplication prior to its submittal and/or award may result in the subapplication being determined as ineligible and removed from funding consideration.

### **Prepare California Match NOI Requirements**

For those eligible entities interested in using Prepare California Match funding to meet HMGP's 25% non-federal (local) cost share requirement, there are three (3) requirements that must be included/addressed in their submitted HMGP NOI<sup>4</sup>:

1. The project/plan title MUST include "Prepare California Match".
2. In the "Brief Summary" question, the subapplicant MUST clearly describe how the proposed mitigation action achieves the funding priority criteria, as explained below in subsection "Addressing Funding Priority Criteria (Priorities 2-4)". Additionally, the subapplicant must demonstrate how the proposed action directly and primarily benefits eligible socially vulnerable and high hazard risk communities (include the census tract(s) numbers).
3. In the "Activity Cost" section, the subapplicant MUST record "Prepare California Match" in the source of subapplicant match question.

### **Funding Priorities**

Cal OES will prioritize and select HMGP subapplications for funding based on **Figure 3** below. Each row represents one (1) of the four (4) funding priorities, each of which include their own specific criteria that should be clearly demonstrated and explained throughout the subapplication.

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<sup>4</sup>Cal OES will review and select subapplications for the Prepare California Match Initiative, all eligible entities may not be selected, if not selected the subapplication may remain in the funding consideration but would be required to meet the non-federal (local) cost share requirement.



**Figure 3: HMGP (DR-4683 & DR-4699) Funding Priorities**

Type	Eligibility
<b>1. Local Hazard Mitigation Plans</b>	<p>Up to 7% of the total available HMGP funds for California may be used to fund the development of hazard mitigation plans, and hazard mitigation plan updates. Funding may be requested up to the following funding limits below.</p> <p>Planning subapplication priorities are as follows:</p> <ol style="list-style-type: none"> <li>1. MJHMPS<sup>5</sup> with at least 10 participants that promote whole community resiliency (Federal Share Cap \$300K);</li> <li>2. MJHMPS with five (5) to nine (9) participants that promote whole community resiliency (Federal Share Cap \$250K);</li> <li>3. MJHMPS with less than five (5) participants (Federal Share Cap \$200K); and</li> <li>4. Single Jurisdiction plans (Federal Share Cap \$150K).</li> </ol> <p>*Cal OES is prioritizing hazard mitigation plans with an expiration date during or after 2026.</p>
<b>2. Advance Assistance (AA)</b>	<p>Up to 25% of the total available HMGP funds for California, or \$10 million (whichever is less) may be used to develop and/or design projects for HMGP or other HMA programs. AA projects must result in a shovel-ready project subapplication, including identification of all site locations, 60% design, feasibility, CEQA<sup>6</sup> analysis, and a future subapplication that includes a benefit-cost analysis. Cal OES will consider AA projects that meet the following objectives:</p> <ol style="list-style-type: none"> <li>1. Protect a socially vulnerable<sup>7</sup> community; and</li> <li>2. Result in a project that would fall within the criteria outlined in funding priority #3.</li> </ol>
<b>3. Projects (Shovel-Ready and Phased Projects)</b>	<p>Any funds not expended under funding priority #1 &amp; 2 are available to fund priority projects that meet the following criteria:</p> <ol style="list-style-type: none"> <li>1. Projects with a Total Project Cost equal to or greater than \$5,000,000.00 that intend to achieve one or more of the following: <ol style="list-style-type: none"> <li>a. Protect a socially vulnerable community;</li> <li>b. Implement a nature-based solution to reduce risk and/or advance climate adaption goals;</li> <li>c. Advance whole community risk reduction;</li> <li>d. Protect high-impact critical infrastructure.</li> </ol> </li> </ol>

<sup>5</sup>Multi-Jurisdictional Hazard Mitigation Plan is defined as a plan jointly prepared by more than one jurisdiction, meeting all the requirements as outlined in 44 CFR 201.6. The term "Jurisdiction" is referred to as "local government" which is defined in 44 CFR 201.

<sup>6</sup>The California Environmental Quality Act (CEQA) generally requires state and local government agencies to inform decision makers and the public about the potential environmental impacts of proposed projects, and to reduce those environmental impacts to the extent feasible.

<sup>7</sup>Socially vulnerable community is defined as exceeding the 70th percentile in SVI **or** having a median household income of less than 80 percent of the state median via the [Cal OES Hazard Mitigation Assistance Hazard Risk and Social Vulnerability Map](#).

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Type	Eligibility
	<p>2. Projects with a Total Project Cost less than \$5,000,000.00 that intend to achieve one or more of the following:</p> <ul style="list-style-type: none"> <li>a. Protect a socially vulnerable community;</li> <li>b. Implement a nature-based solution to reduce risk and/or advance climate adaption goals;</li> <li>c. Advance whole community risk reduction;</li> <li>d. Protect high-impact critical infrastructure;</li> <li>e. Establish earthquake early warning systems.</li> </ul>
<p><b>4. Planning Related Activities, AA, and 5% Initiative</b> (non-socially vulnerable communities)</p>	<p>Funds will be allocated based on funding priorities #1-3. All subapplicants will be reviewed at a high level to determine the funding priority they fall in. Based on the number of subapplications received and the total funds available, projects in the priority #4 category may not be fully reviewed and RfId before selections are made.</p>

### Addressing Funding Priority Criteria

Subapplicants must demonstrate and explain the criterion as listed in Figure 3 above in order for the subapplication to be considered under funding. The following are examples and potential solutions for achieving these criteria:

1. "Protect a socially vulnerable community"
  - a. The subapplication must indicate and describe the protection to a socially vulnerable community (see footnote #3 for additional details). The subapplication should include maps demonstrating the project benefitting area and individual census tracts for the socially vulnerable population. The primary source for determining social vulnerability is the [Cal OES Hazard Mitigation Assistance Hazard Risk and Social Vulnerability Map](#).
2. "Implement a nature-based solution (NBS) to reduce risk and/or advance climate adaption goals"
  - a. NBS: The subapplication must indicate and describe how the project incorporates one or more nature-based solutions. Nature-based solutions are sustainable environmental management practices that: a) restore, mimic, and/or enhance nature and natural systems or processes and b) support natural hazard risk mitigation as well as economic, environmental, and social resilience efforts. Nature-based solutions use approaches that include, but are not limited to, restoration of grasslands, rivers, floodplains, wetlands, dunes, and reefs; living shorelines; soil stabilization; aquifer storage and recovery; and bioretention systems.
  - b. Climate Change: Projects should state how they address climate impacts related to Sea Level Rise (SLR), drought, increased precipitation, and/or more frequent storms, and also label throughout the scope of work as a



- climate adaptive project. Subapplications should state how the project will make communities more resilient against climate change.
- c. Future Conditions: Projects should also state how they anticipate future conditions (planning, design, and operations) and how the project will help communities better respond to these conditions. Therefore, they should address climate changes, demographic changes, population changes, and/or land use changes.
- 3. "Advance whole community risk reduction"
    - a. The project's benefitting area should protect at least 30% of the population. In addition, the subapplication should address how the project benefits the whole community, inclusive of children, individuals with disabilities, and others with access and functional needs; those from religious, racial, and ethnically diverse backgrounds; and people with limited English proficiency.
  - 4. "Protect high-impact critical infrastructure"
    - a. The subapplication must explain how the project mitigates natural hazard risk to critical physical structures, facilities, and systems that provide support to a community, its population, and its economy. This includes natural systems<sup>8</sup>.

## Subapplication Requirements

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Cal OES will ONLY submit complete and FEMA credible<sup>9</sup> subapplications for funding consideration. This section provides important subapplication information and the required supporting documentation.

### Period of Performance

In accordance with the FEMA HMGP requirements, the period of performance for all subapplications can be up to 36 months.

### Cost Share

Eligible subapplicants will be responsible for covering the required 25% non-federal share (local match). If eligible and selected for Prepare California Match, Cal OES will cover the 25% non-federal share (local match).

### Benefit-Cost Analysis

A FEMA credible benefit-cost analysis (BCA) is required for phased and shovel-ready projects. BCAs are not needed for planning, planning-related, 5% initiative, and project scoping (i.e., Advance Assistance) activities.

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<sup>8</sup>Examples include mangroves and wetlands, oyster reefs, and sand dunes; permeable pavement and driveways; green roofs; and natural areas incorporated into city designs.

<sup>9</sup>Eligible, feasible, cost-effective, and EHP compliant.

## Environmental and Historic Preservation

Compliance with [all applicable Federal](#) and [California](#) EHP laws, executive orders, and regulations to assess potential impacts of a proposed project on affected physical, cultural (historic and archaeological), biological, and social resources is a condition of FEMA HMGP funding. Therefore, all HMGP project subapplications must undergo an [EHP review](#) as part of FEMA's eligibility review process prior to award. Projects for which actual physical work, such as groundbreaking, demolition, or construction has occurred prior to project award may be ineligible for funding.

## Procurement

All contracts and purchases must comply with Federal procurement guidelines outlined in 2 CFR 200 to be eligible for funding. Additionally, contracts and purchases must also comply with all applicable California and local procurement laws, regulations, and policies.

In accordance with 2 CFR 200, contractors who assist with grant subapplication development will be ineligible to compete for subsequent procurements/contracts on the same grant award due to conflict of interest in which an unfair competitive advantage is present [i.e., future Phase I (design/EHP) and/or Phase II work (construction)].

## Required Supporting Documentation

The following materials will need to be included as part of the subapplication in order to be considered complete:

1. Project Gantt Chart (Upload to Work Schedule Section)
2. Cost Estimate Narrative (Upload to Project Cost Estimate Section)
3. Maintenance Letter (Auto generated through Engage Portal)
4. Match Commitment Letter (Auto generated through Engage Portal)
5. Benefit-Cost Analysis Toolkit and Calculator PDF (Upload to BCA Section)
6. Benefit-Cost Analysis Methodology (Upload to BCA Section)
7. Benefit-Cost Analysis Documentation for Non-Default Values (Upload to BCA Section)
8. FEMA EHP Checklist (Upload to Environmental Review Section)

## Award and Grant Monitoring

Upon FEMA award, subrecipients will submit requests for reimbursement as work is completed. Cal OES requires subrecipients to submit reimbursement requests quarterly via submission of the quarterly report. Reimbursement requests will be subject to supporting documentation requirements to substantiate costs and validate eligibility against the approved subapplication and scope of work. Please note, work started prior to FEMA review and approval is not reimbursable and may result in total de-obligation of the project. Some non-construction, non-groundbreaking work may be

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eligible for reimbursement if included in the cost estimate and specified as “pre-award costs.”

Subrecipients are responsible for managing the day-to-day operations of their grant. Subrecipients are subject to quarterly progress and financial reporting, a closeout process, and site visits as deemed necessary by Cal OES.

## **Technical Assistance**

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Cal OES is pleased to provide technical assistance to interested subapplicants. Our subject matter experts are available to discuss project eligibility, the application process, or other related matters. Please reach out to [HMA@caloes.ca.gov](mailto:HMA@caloes.ca.gov) with questions or to schedule a call.