

Virginia Dam Safety, Flood Prevention & Protection Assistance Fund

Loan and Grant Manual

Summer 2009 (June 14-August 14, 2009) Funding Round

**Developed by the Department of Conservation and
Recreation in Cooperation with the Virginia Resources
Authority**



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Part A Background and Introduction

Introduction

The purpose of this manual is to provide guidance regarding the policies, criteria, conditions, and procedures for determining project eligibility and awarding loans and grants from the Virginia Dam Safety, Flood Prevention and Protection Assistance Fund (the “Fund”) to local governments and private entities for specified dam safety and floodplain management issues pursuant to §10.1-603.16 et seq. of the Code of Virginia. For the purposes of this manual and the Fund, “local government” means any county, city, town, municipal corporation, authority, district, commission, or political subdivision created by the General Assembly or pursuant to the Constitution or laws of the Commonwealth, or any combination of two or more of these entities. “Private entities” means dam owners, whether individuals, partnerships, corporations, or other nongovernmental entities.

Virginia Dam Safety, Flood Prevention and Protection Assistance Fund

The Virginia Dam Safety, Flood Prevention and Protection Assistance Fund was established to:

1. Make matching grants and/or loans to local governments and to make loans to private entities owning dams for the correction of dam safety conditions (see category 1 projects description). State-owned and federally-owned dams, or dams not regulated pursuant to the Dam Safety Act (§10.1-604 et seq. of the Code of Virginia) are ineligible.
2. Make loans to a local government that has developed a low-interest loan program to provide loans or other incentives to facilitate the correction of dam deficiencies, as required by the Department of Conservation and Recreation (DCR), provided that the monies are to be used only for the program and that the dams to be repaired or upgraded are owned by private individuals or entities (see category 2 projects description).
3. Make matching grants to dam owners for the mapping of dam break inundation zones of dams regulated pursuant to the Dam Safety Act (§10.1-604 et seq. of the Code of Virginia) (see category 3 projects description).
4. Make matching grants to dam owners to conduct incremental damage analysis in accordance with the Virginia Impounding Structure Regulations (4VAC50-20) (see category 4 projects description).
5. Make matching grants or loans to any local government for the purpose of assisting the local government in the development and implementation of flood prevention plans, studies, and mapping (see category 5 projects description).
6. Make matching grants or loans to any local government for the purpose of assisting the local government in the development and implementation of flood prevention or protection projects, including damage mitigation and reduction activities (see category 6 projects description).

7. Provide up to \$50,000 annually for cost share with federal agencies in flood protection studies of statewide or regional significance. (For more information regarding this purpose of the Fund, which is not addressed through this manual, contact DCR)

The Fund consists of moneys appropriated by the General Assembly, assessments made on flood insurance premium income pursuant to §38.2-401.1 of the Code of Virginia, funds returned in the form of interest and loan principal by recipients of funding, income from the investment of monies contained in the Fund, and other public and private funds eligible for deposit.

The Fund is permanent and non-reverting and is administered and managed by the Virginia Resources Authority (VRA) in cooperation with the Department of Conservation and Recreation (DCR). The Director of DCR will determine the type and amounts of funding available prior to each funding period, and will specify the categories that will be considered for loan and/or grant assistance. The Director is authorized to make expenditures in accordance with § 10.1-603.16 et seq. and the terms of this guidance document following approval of applications from the Virginia Soil and Water Conservation Board (Board).

Virginia's Dam Safety Program

Provisions of the Virginia Dam Safety Act, (§ 10.1-604 et seq.) and its attendant regulations (4 VAC 50-20-10 et seq.) promulgated by the Virginia Soil and Water Conservation Board promote the proper and safe design, construction, operation and maintenance of dams in the Commonwealth. With few exceptions (including dams operated primarily for agricultural purposes which are less than 25 feet in height or which create a maximum impoundment capacity smaller than 100 acre feet, dams owned or licensed by the United States government, dams licensed by the State Corporation Commission that are subject to a safety inspection program, water or silt retaining dams approved pursuant to Code of Virginia § 45.1-222 or 225.1, and obstructions in a canal used to raise or lower water), the Act applies to dams that are twenty-five feet or higher and that create a maximum impoundment capacity of fifteen acre-feet or greater, and dams that are six feet or higher and create a maximum impoundment capacity of fifty acre-feet or greater. The Dam Safety Program's goal is to enhance public safety by administering an effective program that brings regulated dams under a Regular Operation and Maintenance Certificate.

Virginia's Floodplain Management Program

The Virginia Flood Damage Reduction Act of 1989 is administered by DCR through the Floodplain Management Program in DCR's Division of Dam Safety and Floodplain Management. The Program's objectives are to prevent loss of life, reduce property damage caused by flooding, and conserve the natural and beneficial riverine and coastal floodplains of the Commonwealth. The Program pursues these objectives by assisting localities in identifying flood risks, in communicating those risks to residents, and in managing development in identified flood hazard areas.

Part B DCR Loan/Grant Eligibility Criteria and Application Procedures

DCR Conditions and Limitations for Making Loans and Grants

- Loan and grant assistance will be awarded by category on a competitive scoring basis for eligible projects that meet the general conditions of this section and the specific criteria set out in the project category descriptions. Scoring criteria to be utilized for each project category is contained in Appendix C.
- Loans from the Fund require a minimum 10% match. Grants from the Fund require a minimum 50% match.
 - In any fiscal year in which grant funding is available, state law requires that the amount of grants issued shall not exceed 50% of the total amount collected in interest or income derived from the investment of monies in the Fund during the previous fiscal year as determined at the beginning of the fiscal year. **Based on this limitation, this year a total of \$25,000 is available for grants.**
- DCR, VRA, and the Board, in their discretion, reserve the right to provide funding at a level lesser than requested by the applicant, or to refuse to fund an applicant's request. Reasons for such determinations include, but are not limited to, attainability of the proposal, credit worthiness of the applicant, total funding determined to be necessary to complete the project, and total available funding.
- **The Summer 2009 Funding Round will accept applications from June 14 through August 14, 2009.**
- **Loans for category 1 (dam rehabilitation) projects will be limited to a maximum of \$300,000 per project. No more than \$900,000 total in loans will be authorized for this category during the Summer 2009 Funding Round (except as provided below).**
- **Loans for category 2 (locally administered dam rehabilitation program) programs will be limited to a maximum of \$300,000 per dam. The maximum award to any individual locality under this category is \$600,000. No more than \$600,000 total in loans will be authorized for this category during the Summer 2009 Funding Round (except as provided below).**
- **Grants for category 3 (dam break inundation zone mapping) will be limited to a maximum of \$5,000. No more than \$20,000 total in grants will be authorized for this category during the Summer 2009 Funding Round (except as provided below).**
- **Grants for category 4 (incremental damage analysis) will be limited to a maximum of \$2,000. No more than \$5,000 total in grants will be authorized for this category during the Summer 2009 Funding Round (except as provided below).**

- **Loans for category 5 projects (flood hazard identification plans, studies, and mapping) will be limited to a maximum of \$100,000 per project. No more than \$250,000 total in loans will be authorized for this category during the Summer 2009 Funding Round (except as provided below).**
- **Loans for category 6 projects (flood hazard damage mitigation and reduction activities) will be limited to a maximum of \$100,000 per project. No more than \$250,000 total in loans will be authorized for this category during the Summer 2009 Funding Round (except as provided below).**
- Should any funding available for categories 5 or 6 (flood prevention or protection projects and studies) remain following the approval of all qualifying projects for which applications are received, the remaining available funding may be utilized to fund remaining qualifying category 1 (dam rehabilitation) and 2 (locally administered dam rehabilitation program) proposals. Funding of qualifying category 1 (dam rehabilitation) projects will receive priority before additional category 2 (locally administered dam rehabilitation program) proposals are considered.
- Should any funding available for category 2 (locally administered dam rehabilitation programs) remain following the approval of all qualifying projects for which applications are received, the remaining funding may be utilized to fund remaining qualifying category 1 (dam rehabilitation) projects.
- Should any funding available for category 1 (dam rehabilitation) remain following the approval of all qualifying projects for which applications are received, the remaining available funding may be utilized to fund remaining qualifying category 5 (flood hazard identification plans, studies, and mapping) or category 6 projects (flood hazard damage mitigation and reduction activities)
- Should any funding available for category 3 (dam break inundation zone mapping) or category 4 (incremental damage analysis) remain following the approval of all qualifying projects for either of those categories, the remaining funding may be utilized to fund remaining qualifying projects within the other category.
- In order for a loan or grant to be authorized, an eligible project shall satisfy the following general conditions:
 - An application meeting the requirements set forth in this manual has been submitted to DCR within the specified application period.
 - The applicant has provided satisfactory assurances of match funding, property ownership, and adequate project maintenance and management (where applicable).
 - Where applicable, the applicant (if a locality or entity (for example, a corporation or homeowner's association)) has formally adopted a resolution requesting assistance from the Fund.
 - If a grant or loan is sought for a study, project or activity that will be carried out in concert with a federal agency, the applicant must have entered into, or have adopted a resolution to enter into, any necessary written agreement with the federal agency endorsing the study, project or activity, including any provisions for cost sharing.

- In the case of loans, the borrower must provide security and evidence of ability to repay the loan that is satisfactory to VRA.
- In order for a loan or grant to be authorized for a flood prevention or protection project or study, the following additional conditions must be satisfied:
 - If a purpose of the requested loan or grant is to acquire real property, satisfactory evidence has been presented that the applicant will in fact acquire the real property if the loan or grant is made. Any real property interests acquired with loan or grant funds for purposes of flood prevention or protection must be dedicated to public open space and recreation or other flood-compatible uses and must be protected as such through an easement.
 - A local government that applies for funding for flood prevention or protection projects or studies (project categories 5 or 6) must be participating in the National Flood Insurance Program (NFIP), and must not have probationary status or be under suspension.

Project Categories

1. Applicant-Owned Dam Rehabilitation

The purpose of this category is to assist in the rehabilitation of **High and Significant Hazard Potential dams** to bring them into compliance with the Dam Safety Act (§ 10.1-604 et seq. of the Code of Virginia) and the Virginia Impounding Structure Regulations (4VAC5-20-10 et seq.).

- Eligible applicants include local governments and private entities. **For the Summer 2009 Funding Round, only loan funding (not to exceed \$300,000 per project) is available.** Grant funding for local governments may be available in the future.
- Eligible projects include:
 - Necessary upgrades and safety modifications to High and Significant Hazard Classification dams which have been issued a current Conditional or Regular Operation and Maintenance Certificate by the Virginia Soil and Water Conservation Board. Loan closing may not occur until an Alteration Permit is obtained from the Board for any approved project. An Alteration Permit must be obtained by January 1, 2010.
- Priority will be given to dams holding a current Conditional Operation and Maintenance Certificate over dams holding a Regular Operation and Maintenance Certificate.

2. Locally administered Dam Rehabilitation Programs

The purpose of this category is to assist localities wishing to develop their own low-interest loan programs for privately owned dams located within their jurisdiction. **Only loan funding (not to exceed \$300,000 per dam with a \$600,000 maximum per locality) is available for this category.**

- Eligible applicants are limited to local governments.

- Eligible projects include:
 - Loans to a local government that has developed a low-interest loan program to provide loans or other incentives to facilitate the correction of High and Significant Hazard Potential dam deficiencies, as required by DCR, provided that the monies are to be used only for the program and that the dams to be upgraded are owned by private entities and hold current Conditional or Regular Operation and Maintenance certificates and will receive Alteration Permits issued by the Virginia Soil and Water Conservation Board prior to funding by the local program.

3. Dam Break Inundation Zone Mapping

The purpose of this category is to assist dam owners with the mapping of dam break inundation zones. **Grant funding (on a 50% match basis not to exceed \$5,000 per project) is available.**

- Eligible applicants include local governments and private entities. For the Summer 2009 funding round, private entities will be given priority for this category.
- Eligible projects include:
 - Development of dam break inundation zone maps showing the zone of inundation for dams or impounding structures holding current High, Significant, or Low Hazard Potential Conditional or Regular Operation and Maintenance Certificates issued by the Virginia Soil and Water Conservation Board.
 - All maps must be prepared in compliance with the Impounding Structure Regulations.
 - Priority will be given to development of maps for dams holding current High or Significant Hazard Potential Conditional or Regular Operation and Maintenance Certificates.

4. Incremental Damage Analysis

The purpose of this category is to assist dam owners in conducting incremental damage analysis in accordance with 4VAC50-20-52 of the Virginia Impounding Structure Regulations.

Application for funding can be made in conjunction with an application for funding under category 3 (dam break inundation zone mapping) or separately. **Grant funding (on a 50% match basis not to exceed \$2,000 per project) is available.**

- Eligible applicants include local governments and private entities. For the Summer 2009 funding round, private entities will be given priority for this category.
- Eligible projects include:
 - Development of incremental damage analysis for dams or impounding structures holding current High, Significant, or Low Hazard Potential Conditional or Regular Operation and Maintenance Certificates issued by the Virginia Soil and Water Conservation Board.
 - Priority will be given to development of incremental damage analysis for dams holding current High or Significant Hazard Potential Conditional or Regular Operation and Maintenance Certificates.

5. Flood Hazard Identification Plans, Studies, and Mapping

The purpose of this category is to assist local governments with projects that:

- Develop new floodplain boundary information, based on historic or predicted flood events, and develop or improve floodplain maps;
- Supplement existing floodplain studies of limited detail; develop strategies and plans to prevent or mitigate damage from flooding, including protection of the floodplain resources; or
- Otherwise assist in the assessment of flood risks.

For the Summer 2009 Funding Round, only loan funding (not to exceed \$100,000 per project) is available. Grant funding may be made available in the future.

- Eligible applicants are limited to local governments.
- Eligible projects include, but are not limited to:
 - Development of flood studies, including:
 - Development of approximate flood studies utilizing accepted techniques in areas where no flood study has been performed.
 - Procurement of elevation data from aerial photography or other sources for use in developing flooding models along river or stream corridors.
 - Engineering, surveying, or cartographic activities necessary to support development of flood inundation maps.
 - Digital conversion of flood insurance rate maps or flood boundary and flood hazard maps into a useable geographic information system format.
 - Generation of “Letters of Map Revision” regarding significant FEMA mapping changes or errors.
 - Development of new hydrology to reflect development since initial map publication or study completion.
 - Conducting studies to determine the feasibility of installing local flood observation and warning systems (IFLOWS).
 - Development of Hazard Mitigation Plans, including:
 - Identification of changes in flood hazards from past development activities in a watershed.
 - Identification of the types and locations of flood hazards in areas subject to increasing development activity.
 - Identification of impacts to the community (i.e., loss of critical services, transportation, utilities, etc.) that could result from flood events.
 - Evaluation and prioritization of mitigation techniques to address identified impacts.

6. Flood Hazard Damage Mitigation and Reduction Activities

The purpose of this category is to assist local governments in implementing techniques necessary to mitigate and reduce flood impacts. **For the Summer 2009 Funding Round, only loan funding (not to exceed \$100,000 per project) is available.** Grant funding may be made available in the future.

- This category includes projects that:
 - Reduce or mitigate damage from flooding, such as the construction of levees and floodwalls;
 - Modify channels;
 - Divert flows;
 - Flood-proof, retrofit, demolish, or relocate flood-prone structures;
 - Install flood warning and response systems;
 - Accomplish floodplain evacuation and relocation of affected residents;
 - Accomplish redevelopment, acquisition and/or open space use;
 - Develop and implement information and education programs;
 - Accomplish post-flood mitigation; or
 - Develop and adopt land use controls aimed at reducing flood hazards.

- Eligible applicants are limited to local governments.

- Eligible projects include, but are not limited to:
 - Elevation of a structure so that the first floor height is above the base flood elevation.
 - Relocation of a structure out of the flood hazard area.
 - Acquisition of a property in a flood area, which includes demolition of the structure, removal of debris, and conversion of the property into permanent open space.
 - Development and administration of flood hazard education programs.
 - Acquisition and open-space preservation (or other compatible use) of floodplain properties.
 - Applying to a structure dry flood-proofing techniques that have been designed and approved by a licensed professional engineer.
 - Construction of flood controls that have been designed and approved by a licensed professional engineer.
 - Development and implementation of a flood warning notification system (such as reverse 911).
 - Installation of integrated flood observation and warning systems (IFLOWS).

Application and Selection Process

General Information and Deadline

Three copies of each application (including one originally-signed copy), together with all attachments and supporting documentation, should be sent to the Department of Conservation and Recreation at the address below. Applications will be accepted beginning on June 14, 2009. All applications must be postmarked by August 14, 2009.

Address:

Department of Conservation and Recreation
 Attention: Dam Safety, Flood Prevention & Protection Assistance Fund
 Division of Dam Safety and Floodplain Management
 203 Governor Street, Suite 206
 Richmond, Virginia 23219

It is important that applications be printed on one-sided pages. All pages must be 8.5 x 11 inches. Photographs are acceptable. All photos and images and their captions must be mounted on 8.5 x 11 inch paper and be of quality suitable for reproduction by photocopier. It is not necessary to submit 3 sets of original images, but all reproduced images must be clear and discernable. Images and photos will not be returned.

General Application Inquiries: contact the Department of Conservation and Recreation Division of Dam Safety and Floodplain Management at (804) 786-1712.

Project Application Contents (See Appendix A for the Application Form)

Section I – Organizational Data

Section I of the Application Form contains general organizational information, including the title, category, and location of the project, the amount of grant or loan funds requested, and contact information for the applicant or the applicant’s designated contact person.

Section II - Scope of Work Narrative

The requirements for the project’s Scope of Work narrative are outlined in Section II of the Application Form. The Scope of Work narrative should describe how the project meets the relevant scoring criteria contained in Appendix C, as well as how it accomplishes specific goals, objectives, strategies, or tasks. The roles and responsibilities of sponsors and cooperators should be identified. The specific activities, anticipated completion dates, reports, publications, maps, or other tangible accomplishments of the project that can be measured should be described.

Checklist for Scope of Work

- The proposal clearly describes all relevant aspects of the scoring criteria contained in Appendix C.
- The proposal clearly and specifically describes how the project will be implemented.
- The proposal describes how the project is part of a complete approach to addressing dam deficiencies or flood impacts.
- The proposal clearly describes the project location (i.e., locality, watershed, region, etc.)
- The proposal clearly describes the flooding or dam safety issues of concern and how the project will address these issue(s) (such as stormwater management, inundation mapping, repairs/rehabilitation, mitigation, etc.).
- The proposal clearly describes the work products (deliverables) to be developed as well as projected completion dates (i.e. final reports, workshops, GIS layers or data sets, etc).
- The proposal includes adequate information regarding the affected or involved parties and their respective roles, responsibilities, and commitments, if applicable.
- The proposal describes if and how the project is part of a cooperative program, partnership, or plan to prevent flood damage or a dam safety hazard.
- Floodplain mapping projects will need to adhere to the criteria established by the Federal Emergency Management Agency (FEMA) in “Guidelines and Specifications for Flood Hazard Mapping Partners”. These criteria are available at http://www.fema.gov/plan/prevent/fhm/ctp_main.shtm.
- All necessary attachments must be included.

Section III - Funding

Section III of the Application Form establishes the proposed budget for the project. It should include evidence of the source of the required match funds and documentation needed to determine loan security.

Application Review and Approval

Qualifying projects in each category are selected for funding on a competitive scoring basis. DCR will use the following procedure in determining the qualification of an application.

Department of Conservation and Recreation (DCR) Review

Applications will be received and reviewed by the DCR's Division of Dam Safety and Floodplain Management for completeness in accordance with the eligible grant and loan categories. Division staff will additionally review each complete application to determine its merits in accordance with the criteria set out in this manual. In the event of a scoring tie between eligible projects of equal priority pursuant to the scoring criteria contained in Appendix C, funding will be divided proportionately (in accordance with total amounts requested) among the projects.

The Division of Dam Safety and Floodplain Management staff will forward complete applications and recommendations to the Director of the DCR and will meet with the Director as needed to discuss and prioritize each application in accordance with the criteria set out in this manual.

Virginia Soil and Water Conservation Board Review

The Director of the DCR will recommend qualified projects for funding to the Board. The Board will consider the Director's recommendations and approve projects for funding in accordance with the criteria set out in this manual.

Virginia Resources Authority (VRA) Review

Following the Board's approval and pending further necessary submittals, the application will be forwarded to VRA for qualification according to its underwriting criteria, the execution of a loan or grant agreement, and funding. **All applications must qualify pursuant to VRA's criteria in order to be eligible for funding.**

Project Commencement and Schedule for Completion

Since the readiness of projects to proceed is a critical factor in maintaining the integrity of the program, projects will be required to commence and to be carried out in accordance with a schedule that will be developed following the approval of the project by the Virginia Soil and Water Conservation Board and VRA. If a project does not commence in a timely fashion, or fails to proceed in accordance with schedule, funding may be withdrawn from the project and the applicant may be required to reapply during the next funding round.

Reporting and Close-Out Guidelines for Grant and Loan Recipients

Following execution of a grant or loan agreement, successful applicants must submit quarterly reports to DCR by January 15, April 15, July 15, and October 15 for the previous quarter, unless an alternative reporting schedule is agreed to in writing by DCR. Appendix B contains the quarterly reporting form that is required to be submitted.

Where applicable, DCR will conduct project inspections as necessary to ensure conformance to loan and grant terms. Final project deliverables defined in the approved Scope of Work are due to DCR within 30 days following the project end date, unless another date is agreed upon.

**Part C Guidelines Regarding Grant/Loan Procurement via the Virginia
Resources Authority**

**Virginia Resources Authority (VRA) Specific Conditions and Limitations for Grants and
Loans**

In addition to the DCR conditions and limitations contained in Part B, **all applications for loan funding must be approved by the Virginia Resources Authority.** The Virginia Resources Authority (VRA) may require additional covenants and conditions as deemed necessary and resulting from VRA's loan underwriting and procedures and resulting loan security. Depending on the type of applicant and proposed loan security, VRA will request additional financial information to complete loan underwriting and establish loan terms and conditions. Upon successful underwriting, VRA will forward to the borrower a commitment letter and financing agreement setting forth the loan terms, covenants and conditions to be met prior to loan closing.

Disbursement of Grant and Loan Funds

Grant and loan funds will be disbursed to the recipient in accordance with a disbursement schedule developed by VRA and the recipient, in consultation with DCR. Any grants shall be disbursed on a reimbursement basis only. All requests for disbursement shall be delivered to DCR for approval. DCR shall forward the approved request to VRA for payment. Where applicable, DCR will conduct site visits and inspections to monitor project compliance with disbursement schedules.

Appendix A: Application Form

COMMONWEALTH OF VIRGINIA
Department of Conservation and Recreation
Dam Safety, Flood Prevention & Protection Assistance Fund

Application Form

Submit three (3) copies of each completed application to:

Department of Conservation and Recreation
Attention: Dam Safety, Flood Prevention & Protection Assistance Fund
Division of Dam Safety and Floodplain Management
203 Governor Street, Suite 206
Richmond, Virginia 23219

Section I – Organizational Data

Title of Project: _____

- Project Category (check all that apply):
- Applicant-Owned Dam Rehabilitation
 - Locally administered Dam Rehabilitation Program
 - Dam Break Inundation Zone Mapping
 - Incremental Damage Analysis
 - Flood Hazard Identification Plans, Studies, and Mapping
 - Flood Hazard Damage Mitigation and Reduction Activities

Name of Applicant: _____

Telephone Number: _____

Fax Number: _____

- Type of Applicant (check one):
- Public (local government)
 - Private (entities and individuals)

Mailing Address: _____

Contact Person (if different): _____

Telephone Number: _____

Fax Number: _____

Contact Mailing Address: _____

Project Location (attach a map): _____

Hazard Class and DCR Inventory Number of Dam (if applicable): _____

Amount of Grant Funds Requested: _____

Amount of Loan Funds Requested: _____

Section II – Scope of Work Narrative

Please attach the scope of work for the project, including supporting documentation as necessary. Localities and entities seeking funding should additionally attach a resolution or other documentation requesting funding. **All applications must include a discussion and documentation of how the project meets the applicable scoring criteria contained in Appendix C.** Applicants are encouraged to utilize the scoresheets included in Appendix C to indicate the potential score of their application. **In addition, the description should include the following:**

1. Category 1 (applicant-owned dam rehabilitation), category 2 (locally administered dam rehabilitation program), category 3 (dam break inundation zone mapping), and category 4 (incremental damage analysis) projects:

- *Objectives and Need for Assistance:* Identify and describe any relevant issues or problems that will be addressed by the project.
 - For category 1 projects, the applicant must attach a copy of a current High or Significant Hazard Potential Conditional or Regular Operation and Maintenance Certificate and Alteration Permit issued by the Board.
 - For category 2 projects, the applicant must include a list of dams located within the locality that are being advanced for consideration for assistance. Such dams must hold High or Significant Hazard Potential Conditional or Regular Operation and Maintenance Certificates issued by the Board.
 - For category 3 projects, the applicant must include a copy of a current High, Significant, or Low Hazard Potential Conditional or Regular Operation and Maintenance Certificate issued by the Board.
 - For category 4 projects, the applicant must include a copy of a current High, Significant, or Low Hazard Potential Conditional or Regular Operation and Maintenance Certificate issued by the Board.
- *Results or Benefits Expected:* Briefly discuss the expected results and benefits of the project. Include a discussion and evidence that any structure or project receiving funding will be maintained following project completion.
- *Approach:* Briefly outline a plan of action pertaining to the scope and detail of how the proposed work will be accomplished. Identify other potential project partners and any agreements with those partners.
- *Alternatives:* Briefly describe any alternatives to the proposed activity that have been considered and the reason the project was selected.

2. Category 5 (flood hazard identification plans, studies, and mapping) and category 6 (flood hazard damage mitigation and reduction activities) projects:

- *Objectives and Need for Assistance:* Identify and describe any relevant issues or problems that will be addressed by the project.

- Include a detailed map of the area that is the subject of the application, evidence of participation in the National Flood Insurance Program, and a copy of land-use regulations that are compatible with the requirements of the NFIP.
- *Results or Benefits Expected:* Briefly discuss the expected results and benefits of the project. Where applicable, include a discussion and evidence that any structure or project receiving funding will be maintained following project completion.
- *Approach:* Briefly outline a plan of action pertaining to the scope and detail of how the proposed work will be accomplished. Identify other potential project partners.
 - If assistance is sought for a project that will be carried out in concert with a federal agency, provide evidence of an agreement with the federal agency endorsing the project.
 - If real property is to be acquired as a part of the proposed project, provide a purchase agreement or other evidence that the applicant will in fact acquire the real property in the event that funding is received.
 - If any portion of the project requires access to the property of another party, provide an agreement or letter granting permission for such access.
- *Relationship to Other Projects:* Where applicable, briefly describe the relationship between this project and other past, current, or future projects. If the applicant has received or applied for any other grants or loans of this nature (i.e. Hazard Mitigation Grant Program, Pre-Disaster Mitigation Grants, Repetitive Loss Reduction Grant, etc.) in the last five years, please identify these projects and describe any problems with meeting the obligations of the grant or loan.
- *Alternatives:* Briefly describe any alternatives to the proposed activity that have been considered and the reason the project was selected.

Section III – Funding

1. Budget Narrative: please attach a Budget Narrative detailing all proposed expenditures. The following items must be included:

- *Estimated total project cost:* this amount must reflect the total cost of bringing the project to completion. Estimates for all work to be completed by third parties (engineers, contractors, etc.) should be included.
- *Amount of funds requested from the Fund:* this is the total amount of any grant or loan assistance sought from the Fund. Include a detailed breakdown on how this funding is proposed to be allocated, e.g., amounts to be used for engineering, contractor expenses, materials and supplies, equipment, etc.
- *Amount of match funds and other funding available:* this amount, when combined with the amount of funding requested from the Fund, must reflect the total estimated project cost in order to demonstrate that all necessary funding has been secured to complete the project. Include a description of the source of these funds and evidence of the applicant's ability to obtain these funds in order to complete the project (in-kind services may not be

utilized as match funds). Also include a detailed breakdown on how this funding is proposed to be allocated, e.g., amounts to be used for engineering, contractor expenses, materials and supplies, equipment, etc.

2. Loan security and Financial Information (loan applicants only): please complete the applicable portion of this section for all applications for loan funding. **All loan security is subject to VRA approval; additionally, all applicants selected by the Virginia Soil and Water Conservation Board in accordance with the criteria set forth in this manual are subject to a financial capability analysis by VRA prior to being approved by VRA for funding.**

- *Private Entities:*

- What is the anticipated security for the loan? (check all that apply; attach additional sheets as necessary)
 - Homeowner’s association revenues
 - Other revenues
 - Reserve fund
 - Letter of Credit
 - Other (please provide detail)
- Please include the following financial information with your application:
 - Evidence of a fund reserve or a source of funds
 - Bank commitments for any letters of credit
 - If applicable, information related to a Homeowner’s Association or other entity applying for funding, including:
 - Agreements with homeowners, including evidence of fees/dues paid that may be used as a source of repayment for a loan
 - Association budget
 - Association financial statements or treasurer’s reports

- *Local Governments:*

- What is the anticipated security for the loan? (check all that apply; attach additional sheets as necessary)
 - Pledge of Revenues of water and or sewer system
 - Pledge of Revenues from some other source (please identify)
 - General Obligation Pledge of local government
 - Other (please provide detail)
- Please include the following financial information with your application:
 - Three (3) most recent audited financial statements of the applicant.
 - Latest interim (unaudited) financial statement
 - Current year budget
 - Current rate schedule for water and sewer rates (if pledge of water and sewer system revenues is checked above)
 - Listing of 10 largest users of sewer and water system (if pledge of water and sewer system revenues is checked above).

Appendix B: Quarterly Reporting Form

Instructions

- The information presented on this quarterly report, when combined, should be sufficient to indicate the status of the complete project for which funding is being received.
- For each category/column, provide a brief description.
 - For the “Brief Description of Activity” column, describe the portion of the project that will be discussed in the entries that follow. The portion of an overall project that is sufficient to constitute a separate activity will vary for each project; it is suggested that the funding recipient separate activities into categories that may be easily discussed within the context of the larger project. For example, for a dam rehabilitation project, initial lowering of the impoundment and necessary excavation surrounding the dam may be considered an activity within a larger project.
 - For the “Progress Achieved During this Quarter” column, summarize any actions taken during the quarter toward completing the activity, and the results of those actions.
 - For the “Progress Anticipated During Next Quarter” column, summarize what actions are expected to occur during the upcoming quarter that will further move the activity toward completion.
 - For the “Anticipated Completion Date for this Activity and Remaining Steps” column, note the approximate date by which the activity is expected to be complete, as well as a summary of what actions remain to be completed to bring this activity to completion.
- Attach additional sheets as necessary to complete any discussion. Additional copies of the reporting form may be attached if necessary due to number of activities undertaken.
- Submit the completed quarterly reporting form to:

Department of Conservation and Recreation
Division of Dam Safety and Floodplain Management
203 Governor Street, Suite 206
Richmond, Virginia 23219

**QUARTERLY REPORTING FORM
DAM SAFETY, FLOOD PREVENTION AND PROTECTION ASSISTANCE FUND**

Brief Description of Activity	Progress Achieved During this Quarter	Progress Anticipated During Next Quarter	Anticipated Completion Date for this Activity and Remaining Steps

Appendix C: Application Scoring Criteria

**CATEGORY 1: APPLICANT-OWNED DAM REHABILITATION
PROJECTS**

<i>Criterion</i>	<i>Description or Value</i>	<i>Check One</i>
<i>Current Information:</i>		
1. Is the applicant a local government (including counties, cities, towns, municipal corporations, authorities, districts, commissions, or political subdivisions created by the General Assembly or pursuant to the Constitution or laws of the Commonwealth, or any combination of these) or a private entity (including dam owners, whether individuals, partnerships, corporations, or other nongovernmental entities)?		
Local Government	Eligible for consideration under this category	
Private Entity	Eligible for consideration under this category	
Not a Local Government or Private Entity	Not eligible for consideration under this category	
2. Has the applicant provided evidence of an ability to provide the required match funds?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
3. Will the project result in the dam being in compliance with the Virginia Impounding Structure Regulations?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
4. Will the proposed project accomplish either a spillway upgrade or a repair improving the structural integrity of the dam?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
5. What type of Operation and Maintenance Certificate does the dam currently hold?		
Conditional	Given priority	
Regular	Considered for funding after all qualified projects for dams with Conditional Certificates have been funded	
None	Not eligible for consideration under this category	
6. What is the hazard potential classification of the dam?		
High	Given priority (all eligible High Hazard Potential dams considered before Significant Hazard Potential dams will be considered)	
Significant	Considered for funding only after no eligible High Hazard Potential projects remain	
Low	Not eligible for consideration under this category	

<i>Criterion</i>	<i>Description or Value</i>	<i>Check One</i>
7. What type of repair and/or upgrade is proposed?		
Emergency spillway upgrade and other repairs to improve the dam's structural integrity	5 points	
Emergency spillway upgrade only	3 points	
Repairs to improve the dam's structural integrity only	3 points	
8. How many residential units have been identified within the dam break inundation zone of the dam?		
20 or more	7 points	
11-20	5 points	
1-10	3 point	
0 (or undetermined)	0 points	
9. Are public roadways, public utilities, and/or commercial structures contained within the dam's dam break inundation zone?		
Public roadways, public utilities, and commercial structures	5 points	
Any two of the above	4 points	
One of the above	3 points	
None of the above	0 points	
10. What is the zoning of the property located within the dam's dam break inundation zone?		
Residential/Commercial/Industrial or equivalent	5 points	
Agricultural or equivalent (or undetermined)	3 points	
11. What is the public use of the impoundment created by the dam?		
Public water supply and public recreational access	5 points	
Public water supply only	3 points	
Public recreational access only	2 points	
No public access or use	0 points	
12. Has the dam owner complied with all annual inspection and reporting requirements during the last 5 years?		

<i>Criterion</i>	<i>Description or Value</i>	<i>Check One</i>
Yes	3 points	
No, or the dam has not been under certificate for a period of at least 5 years	0 points	

CATEGORY 2: LOCALLY ADMINISTERED DAM REHABILITATION PROGRAMS

<i>Criterion</i>	<i>Description or Value</i>	<i>Check One</i>
Current Information:		
1. Is the applicant a local government (including counties, cities, towns, municipal corporations, authorities, districts, commissions, or political subdivisions created by the General Assembly or pursuant to the Constitution or laws of the Commonwealth, or any combination of these)?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
2. Has the applicant provided evidence of an ability to provide the required match funds?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
3. Has the applicant demonstrated a commitment to repaying the loan if dam owners funded by the program do not repay the applicant?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
4. Does the proposed program require that all funds be used only for approved repairs to dams, and that all unused funds be returned to the Dam Safety, Flood Prevention and Protection Assistance Fund if not utilized?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
5. Do all dams to be funded by the proposed program hold current Regular or Conditional Operation and Maintenance Certificates issued by the Board?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
6. Does the proposed program require all dams to hold an Alteration Permit from the Board prior to their receiving funding from the locally administered program?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
7. Will the program result in all funded dams ultimately being in compliance with the Virginia Impounding Structure regulations?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
8. Are all dams to be considered for funding under the proposed program owned by private individuals or entities?		

<i>Criterion</i>	<i>Description or Value</i>	<i>Check One</i>
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
9. Are all dams to be considered for funding under the proposed program in need of emergency spillway upgrades or repairs to improve structural integrity?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
10. How many High Hazard Potential dams will be repaired through the program?		
Priority given to programs with greater numbers of High Hazard dams.		
11. If no High Hazard Potential dams will be repaired through this program, how many Significant Hazard Potential dams will be repaired?		
Priority given to programs with greater numbers of Significant Hazard dams if no programs funding High Hazard dams are proposed.		
12. What types of repairs will be funded by the program?		
Emergency spillway upgrades <u>and</u> repairs to improve structural integrity on <u>all</u> funded dams	7 points	
Emergency spillway upgrades <u>or</u> repairs to improve structural integrity on <u>all</u> funded dams	5 points	
13. How many residential units have been identified within the dam break inundation zones of the dams to be considered for funding?		
20 or more	7 points	
11-20	5 points	
1-10	3 point	
0 (or undetermined)	0 points	
14. Are public roadways and/or commercial structures contained within the dam break inundation zones of at least 50% of the dams to be considered for funding?		
Both public roadways and commercial structures	5 points	
Public roadways only	3 points	
Commercial structures only	3 points	

<i>Criterion</i>	<i>Description or Value</i>	<i>Check One</i>
Neither public roadways or commercial structures (or undetermined)	0 points	
15. What is the zoning of the properties located within the dam break inundation zones of the dams to be considered for funding?		
Inundation zones composed of an average area of 25% Residential/Commercial/Industrial or equivalent zoned properties	5 points	
Inundation zones composed of less than an average area of 25% Residential/Commercial/Industrial or equivalent zoned properties (or undetermined).	0 points	
16. If the applicant owns dams of its own, does the applicant hold Regular or Conditional Operation and Maintenance Certificates for each of those dams?		
Yes	3 points	
No	0 points	
17. What public uses are served by the impoundments created by the dams to be considered for funding under the program?		
Public water supply and public recreational access	5 points	
Public water supply only	3 points	
Public recreational access only	2 points	
No public water supply or public recreational access	0 points	

CATEGORY 3: DAM BREAK INUNDATION ZONE MAPPING

<i>Criterion</i>	<i>Description or Value</i>	<i>Check One</i>
<u>Current Information:</u>		
1. Is the applicant a local government (including counties, cities, towns, municipal corporations, authorities, districts, commissions, or political subdivisions created by the General Assembly or pursuant to the Constitution or laws of the Commonwealth, or any combination of these) or a private entity (including dam owners, whether individuals, partnerships, corporations, or other nongovernmental entities)?		
Local Government	Eligible for consideration under this category	
Private Entity	Eligible for consideration under this category	
Not a Local Government or Private Entity	Not eligible for consideration under this category	
2. Has the applicant provided evidence of an ability to provide the required match funds?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
3. Is a Regular or Conditional Operation and Maintenance Certificate held for the dam for which funding is sought?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
4. Will the dam break inundation zone map developed be in compliance with the requirements of the Virginia Impounding Structure Regulations?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
5. Is the dam or impounding structure owned by a private entity or local government?		
Private Entity	Given priority	
Local Government	Considered for funding only after all qualifying applications filed by private entities have been funded	
6. What is the currently-listed hazard potential classification of the dam?		
High or Significant	Given priority	
Low or undetermined	Considered for funding only after all qualifying applications for high or significant hazard dams have been funded	
7. Is a dam break inundation zone map a requirement of the dam's Conditional Operation and Maintenance Certificate (if applicable) or, if the dam is under a Regular Operation and Maintenance Certificate, does that certificate expire before July 1, 2010?		

<i>Criterion</i>	<i>Description or Value</i>	<i>Check One</i>
Yes	Given priority	
No	Considered for funding only after all qualifying applications meeting this criteria have been funded	
8. Has the owner of the dam complied with all annual inspection and reporting requirements during the previous 5 years?		
Yes	3 points	
No or dam has not been under certificate for a period of at least 5 years	0 points	
9. How many residential units have been identified within the probable inundation zone area (by preliminary estimate) of the dam?		
20 or more	7 points	
11-20	5 points	
1-10	3 points	
0 (or undetermined)	0 points	
10. Are public roadways and/or commercial structures located within the dam's probable dam break inundation zone area (by preliminary estimate)?		
Public roadways and commercial structures	5 points	
Public roadways only	3 points	
Commercial structures only	3 point	
Neither public roadways or commercial structures (or undetermined)	0 points	
11. What is the zoning of the property located within the probable dam break inundation zone area (by preliminary estimate) of the dam?		
Residential/Commercial/Industrial or equivalent	5 points	
Agricultural or equivalent (or undetermined)	3 points	

CATEGORY 4: INCREMENTAL DAMAGE ANALYSIS

<i>Criterion</i>	<i>Description or Value</i>	<i>Check One</i>
<i>Current Information:</i>		
1. Is the applicant a local government (including counties, cities, towns, municipal corporations, authorities, districts, commissions, or political subdivisions created by the General Assembly or pursuant to the Constitution or laws of the Commonwealth, or any combination of these) or a private entity (including dam owners, whether individuals, partnerships, corporations, or other nongovernmental entities)?		
Local Government	Eligible for consideration under this category	
Private Entity	Eligible for consideration under this category	
Not a Local Government or Private Entity	Not eligible for consideration under this category	
2. Has the applicant provided evidence of an ability to provide the required match funds?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
3. Is a Regular or Conditional Operation and Maintenance Certificate held for the dam for which funding is sought?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
4. Will the incremental damage analysis be conducted in compliance with the requirements of the Virginia Impounding Structure Regulations?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
5. Is the dam or impounding structure owned by a private entity or local government?		
Private Entity	Given priority	
Local Government	Considered for funding only after all qualifying applications filed by private entities have been funded	
6. What is the hazard potential classification of the dam?		
High or Significant	Given priority	
Low or not previously determined	Considered for funding only after all qualifying applications for high and significant hazard dams have been funded	
7. Has the dam owner additionally been granted funding under Category 3 (dam break inundation zone mapping)?		

<i>Criterion</i>	<i>Description or Value</i>	<i>Check One</i>
Yes	Considered for funding only after all projects that have not already received grant approval under Category 3 have been funded.	
No	Given priority	
8. Has the owner of the dam complied with all annual inspection and reporting requirements during the previous 5 years?		
Yes	3 points	
No or dam has not been under certificate for a period of at least 5 years	0 points	
9. How many residential units have been identified (by preliminary estimate) within the probable inundation zone area (by preliminary estimate) of the dam?		
20 or more	7 points	
11-20	5 points	
1-10	3 points	
0 (or undetermined)	0 points	
10. Are public roadways and/or commercial structures located within the dam's probable dam break inundation zone area (by preliminary estimate)?		
Public roadways and commercial structures	5 points	
Public roadways only	3 points	
Commercial structures only	3 point	
Neither public roadways or commercial structures (or undetermined)	0 points	
11. What is the zoning of the property located within the probable dam break inundation zone area (by preliminary estimate) of the dam?		
Residential/Commercial/Industrial or equivalent	5 points	
Agricultural or equivalent (or undetermined)	3 points	

**CATEGORY 5: FLOOD HAZARD IDENTIFICATION PLANS, STUDIES,
AND MAPPING**

<i>Criterion</i>	<i>Description or Value</i>	<i>Check One</i>
<u>Current Information:</u>		
1. Is the applicant a local government (including counties, cities, towns, municipal corporations, authorities, districts, commissions, or political subdivisions created by the General Assembly or pursuant to the Constitution or laws of the Commonwealth, or any combination of these)?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
2. Has the applicant provided evidence of an ability to provide the required match funds?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
3. Is the applicant a participant in the National Flood Insurance Program (NFIP), and not currently under suspension or probation?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
4. Does the local jurisdiction in which the project area is located have a local floodplain ordinance and a history of enforcement?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
5. Does the applicant have a hazard mitigation plan?		
Yes	Given priority	
No	Eligible for consideration only if no applications from applicants with hazard mitigation plans remain	
6. Does the proposed project involve flood study, or amendments to a hazard mitigation plan or other project?		
Flood studies	Given priority	
Hazard mitigation plans and other projects	Eligible for consideration only if no flood study proposals remain	
7. Are residential units located within the area that is the subject of the proposal?		
Yes	Given priority	
No	Eligible for consideration only if no projects containing residences remain	

<i>Criterion</i>	<i>Description or Value</i>	<i>Check One</i>
8. Does the proposed project conform to the state and local hazard mitigation plans?		
Yes	5 points	
No	0 points	
9. If residential units are located within the area that is the subject of the proposal, how many are there?		
10 or more	5 points	
1-9	0 points	
10. Does the proposed project have a stated goal of prohibiting or limiting future residential development within the area that is the subject of the proposal?		
Prohibited	5 points	
Limited/regulated but not prohibited	3 points	
Not limited/prohibited/uncertain	0 points	
11. What is the value of any property permanently located within the project area?		
\$1 million or more	3 points	
Less than \$1 million	0 points	
12. Has the project area been the subject of a flood related loss in the past?		
Yes, within the past 10 years	5 points	
Yes, but greater than 10 years ago	3 points	
No	0 points	
13. If the proposed project will supplement/update an existing flood study, when was that study last updated?		
More than 10 years ago	5 points	
Within the last 10 years	3 points	
14. If the proposed project will supplement/update an existing flood study, what is the level of mapped detail in the current study?		
Approximate study	5 points	
Limited study	3 points	
Detailed study	0 points	

<i>Criterion</i>	<i>Description or Value</i>	<i>Check One</i>
15. If the proposed project will supplement/update an existing flood study, have significant errors been identified in the current study?		
Yes	5 points	
No	0 points	

**CATEGORY 6: FLOOD HAZARD DAMAGE MITIGATION AND
REDUCTION ACTIVITIES**

<i>Criterion</i>	<i>Description or Value</i>	<i>Check One</i>
Current Information:		
1. Is the applicant a local government (including counties, cities, towns, municipal corporations, authorities, districts, commissions, or political subdivisions created by the General Assembly or pursuant to the Constitution or laws of the Commonwealth, or any combination of these)?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
2. Has the applicant provided evidence of an ability to provide the required match funds?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
3. Does the proposed project comply with the local floodplain ordinance?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
4. Is the applicant a participant in the National Flood Insurance Program (NFIP) and not currently under suspension or probation?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
5. Does the local jurisdiction in which the project area is located have a local floodplain ordinance and a history of enforcement?		
Yes	Eligible for consideration under this category	
No	Not eligible for consideration under this category	
6. Does the applicant have a hazard mitigation plan?		
Yes	Given priority	
No	Eligible for consideration only if no applications from applicants with hazard mitigation plans remain	
7. Are residential units located within the area that is the subject of the proposal?		
Yes	Given priority	

<i>Criterion</i>	<i>Description or Value</i>	<i>Check One</i>
No	Eligible for consideration only if no projects containing residences remain	
8. If residential units are located within the area that is the subject of the proposal, does the proposed project abate a flood-related threat from all such units?		
Yes	Given priority	
No	Eligible for consideration only if no projects completely abating a threat remain	
9. Does the proposed project conform to the state and local hazard mitigation plans?		
Yes	5 points	
No	0 points	
10. If residential units are located within the area that is the subject of the proposal, how many are there?		
10 or more	5 points	
1-9	3 points	
0	0 points	
11. Does the proposed project have a stated goal of prohibiting or limiting future residential development within the area that is the subject of the proposal?		
Prohibiting	5 points	
Limiting/regulating but not prohibiting	3 points	
Not limiting/prohibiting/uncertain	0 points	
12. What is the value of any property permanently located within the project area?		
\$1 million or more	3 points	
Less than \$1 million	0 points	
13. Has the project area been the subject of a flood related loss in the past?		
Yes, within the past 10 years	5 points	
Yes, but it has been greater than 10 years	3 points	
No	0 points	
14. Is the proposed project a new project, or is the goal of the proposed project to supplement a project previously undertaken?		
New project	5 points	
Supplement to previous project	3 points	

<i>Criterion</i>	<i>Description or Value</i>	<i>Check One</i>
15. If real property will be acquired as a part of the project, will such real property be dedicated as open space or otherwise protected in a flood-compatible manner in perpetuity?		
Yes/project does not involve real property acquisition	5 points	
No	0 points	