

HAZARD MITIGATION GRANT PROGRAM ADVANCE ASSISTANCE PROJECT APPLICATION



Applicant Information

1. **Applicant Legal Name:** City of Northfield Minnesota
2. **Organizational Unit:** Public Works Department
3. **Project Title:** Downtown Flood Improvements
4. **Applicant Type:** ☒ Local Government ☐ State Government
☐ Private Non-Profit (attach copy of Form 501c3)
5. **Is this a new or revised application?** ☒ New ☐ Revised
If revised, check appropriate box: ☐ Funding Change ☐ Timeline Extension
☐ Change in Scope of Work ☐ Other (specify below):

Enter explanations here, as needed (7-8 lines of text will fit in box, 900 character limit)

6. **Proposed Project Total Cost:** \$
Federal Share (%): \$ Local Share (%): \$

Certifications:

The undersigned assures fulfillment of all requirements of the Hazard Mitigation Grant Program as contained in the program guidelines and that all information contained herein is true and correct to the best of my knowledge. The governing body of the applicant has duly authorized the document, and hereby applies for the assistance documented in this application. [Also, the applicant understands that the project may proceed ONLY AFTER FEMA APPROVAL is gained.](#)

Typed Name of Authorized
Representative/Applicant Agent

Title

Telephone Number

Signature of Authorized Representative/Applicant Agent

Date Signed

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Answers to both 7 and 8 must be “YES” to be considered eligible for HMGP funding.

7. Does your community have a current FEMA approved multi-hazard mitigation plan? ☒ Yes ☐ No

8. Title of the Plan: Rice County Multi-Hazard Mitigation Plan)

9. Adoption date: 11/19/2019

10. Location of proposed project in mitigation plan strategies: Page 111 Section Mitigation Strategy

11. Is the project type covered in the State 322 Plan: ☒ Yes Page 0 Section

12. Does the community participate in the National Flood Insurance Program (NFIP)? ☒ Yes ☐ No

Is the community in good standing with the NFIP? ☒ Yes ☐ No

13. Tax ID Number: 41-6005424 FIPS Code (5 digit): 46924
Community ID Number (6 digit): ##### DUNS Number: 076484856

14. US Congressional District: MN 2 Congressman Name: Angie Craig, Senator Amy Klobuchar, Tina Smith

15. State Senatorial District: 20, 58 Senator Name: Rich Draheim & Matt Little

16. State Legislative District: 20B Representative Name: Todd Lippert
58B Representative Name: Patrick Garofalo
Representative Name:
Representative Name:

17. Primary Point of Contact

The Primary Point of Contact is the person responsible for coordinating the implementation of this proposal, if approval is granted.

☐ Ms. ☒ Mr. ☐ Mrs. First Name: David Last Name: Bennett

Title: Public Works Director/City Engineer

Address Line 1: 801 Washington Street

Address Line 2:

City: Northfield State: MN Zip: 55057

Office Phone: 507-645-3006 Mobile Phone:

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Fax Number: 507-645-3055

Email Address: david.bennett@ci.northfield.mn.us

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18. Authorized Applicant Agent

The Authorized Applicant Agent MUST be the chief executive officer, mayor, etc. This person must be able to sign contracts, authorize funding allocations or payments, etc.

☐ Ms. ☒ Mr. ☐ Mrs. **First Name:** Ben **Last Name:** Martig

Title: City Administrator

Address Line 1: 801 Washington Street

Address Line 2:

City: Northfield **State:** MN **Zip:** 55057

Office Phone: 507-645-3060 **Mobile Phone:**

Fax Number: 507-645-3055

Email Address: Ben.Martig@ci.northfield.mn.us

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Project Narrative – Advance Assistance

The City of Northfiel, MN requests Advance Assistance for DR-1941 pursuant to Section 1104 of the SRIA of 2013 to accelerate implementation of HMGP. The sub-applicant will use Advance Assistance to develop mitigation strategies and obtain data to prioritize, select and develop a future complete HMGP application in a timely manner, as described in the Project Description ([Scope of Work](#)) below.

Scope of Work (Project Description)

List proposed activities, estimate costs and deliverables.

Item	Activity	Deliverable(s)	Estimated Cost	
1	Data Gathering	Field survey, asbuilts, GIS, drainage and hydraulic review of properties	\$	
2	Evaluate Flood Mitigation Strategies	Report with recommendations of flood solution to mitigate downtown flooding	\$	
3			\$	
4			\$	
5			\$	
6			\$	
7			\$	
8			\$	
9			\$	
10			\$	
11			\$	
12			\$	
13			\$	
14			\$	
Total Estimated Cost			\$	100%
Federal Share			\$	75.00%
Non-Federal Share			\$	25.00%

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Work Schedule

Following is a schedule of proposed milestones by quarter for all major activities by which the sub-applicant proposes to monitor progress for Advance Assistance:

Quarter	Activity	Milestone	Deliverable
1	Phase 1 - Data Gatehring	February 2021	Field survey, asbuilts, GIS, drainage and hydraulic review of properties
2	Phase 2 - Evaluate Flood Mitigation Strategies	April 2021	Report with recommendations of flood solution to mitigate downtown flooding
3			
4			
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6			
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11			
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15			

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Line Item Budget

The sub-applicant may request that FEMA obligate Advance Assistance funds incrementally, based on when the sub-applicant needs the funds. Please list the obligation schedule by activity

Activity	Initial Amount Requested	Second Amount Requested	Third Amount Requested	Total Requested
Phase 1 - Data Gatehring	\$	\$	\$	\$
Phase 2 - Evaluate Flood Mitigation Strategies	\$	\$	\$	\$
Describe, 75 character limit	\$	\$	\$	\$
Describe, 75 character limit	\$	\$	\$	\$
Describe, 75 character limit	\$	\$	\$	\$
Describe, 75 character limit	\$	\$	\$	\$
Describe, 75 character limit	\$	\$	\$	\$
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Describe, 75 character limit	\$	\$	\$	\$
Describe, 75 character limit	\$	\$	\$	\$

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Non-Federal Funding Share (25% of Total Project Costs)

List all sources and amounts utilized in the non-federal share including all in-kind services. In-Kind services may not exceed the 25% non-federal share. If any portion of the non-Federal share will come from non-applicant sources (donated services, private donation, etc.), attach letters of funding commitment for each non-applicant source.

Source	Name of Source Agency	Type Funding	Amount	Commitment Letter Attached
City of Northfield	City of Northfield	Local Funds	\$	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
			\$	<input type="checkbox"/> Yes <input type="checkbox"/> No
			\$	<input type="checkbox"/> Yes <input type="checkbox"/> No
			\$	<input type="checkbox"/> Yes <input type="checkbox"/> No

Required Documentation Attached

- ☒ Jurisdiction Details Form
- ☒ Detailed budget with narrative
- ☒ Funds commitment letter which lists the sources and amounts utilized in the non-Federal share requirement, including all in-kind services. Fund commitment letters from non-applicant sources.
- ☒ Assurances
 - [SF-424b](#)
 - [112-0-3C or 20-16C](#)
 - [SF-LLL \(only if engaging in lobbying activities\)](#)
- ☐ Completed SF-424, signed by the authorized representative of the jurisdiction. (optional for sub-applications in HMGP)
- ☐ Non-Construction Budget (SF-424a) (optional for sub-applications in HMGP)
- ☒ Designated Authorized Agent Documentation, designating the Chief Executive Officer or Mayor, to be able to sign contracts, authorize funding allocations or payments, etc. and signed by the ruling body of the applicant.

Additional Information

Provide any relevant information or explanation below.

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Provide any relevant information or explanation below.

The City of Northfield has had number floods of the Cannon River causing damage to private and public property along the river. The City is committed to a resilient and sustainable community that is forward thinking in planning for climate change impacts. Understanding this, the City wants study what options are available to mitigate future flooding.

Project Budget

Please provide budget costs below and the basis for the costs in the Project Budget Narrative. Note: The project will be managed according to this Project Budget and the budget approved in the application.

Line Items	Total Costs	Federal Share (75%)	Local Share (25%)
<i>Task A – Data Gathering</i>			
<i>Task B – Evaluate Flood Mitigation Solutions</i>			
Total Project Budget Requested:			

Project Budget Narrative

Provide a detailed narrative of the proposed project budget, work to be accomplished, and the basis for your estimates.

Phase 1 – Study and Determine Solutions for Recommended Improvement,

This project shall study options for improvements to mitigate future flooding of adjacent properties to the Cannon River Downtown.

There are five properties north of the Fourth Street Bridge along the Riverwalk that have flooded from recent events or had to deploy flood safety measures such as sandbags to prevent their properties from flooding. In addition, there are three properties south of the Fifth Street Bridge that the City doesn't believe they have flooded but they have had to sandbag their properties to prevent flooding.

There are three City park properties, Ames Park, Riverside Park, and Babcock Park that are prone to flooding,

Task A: Data Gathering

- Hold a project kick-off meeting to determine specific project details. This meeting will include discussing various project logistics such as the schedule for the study and provide more background on the project such as Northfield Vision for Downtown.
- Complete field survey of properties impacted by flooding
 - Downtown Riverwalk, and adjacent building low openings, and low floor elevations.
 - Ames Park along river
 - Riverside Park along river
 - Babcock park along river
- Gather As-builts and GIS Data from the City
- Review drainage and hydraulics for properties on the east and west side of the Riverwalk and identified in the attached exhibit.

Task B: Evaluate Flood Mitigation Solutions

- Review flood solutions such as extending and rebuilding existing Riverwalk walls, new flood walls, temporary walls, property acquisition, and other solutions.
- Prepare preliminary cost analysis; provide estimated opinion of construction cost along with indirect costs.
- Develop operation and maintenance cost for proposed recommended solutions.
- Provide flood improvement options that will minimize the flooding of City park properties.
- Map 50-year, 100-year, and 500-year return periods pre-mitigation and post-mitigation

Total Cost - \$XX

Five proposal estimates were received and are attached to the application.

Letter of Commitment of Funds

City of Northfield
801 Washington Street
Northfield, MN 55057

As a potential sub-grantee in a Hazard Mitigation Assistance (HMA) Program, City of Northfield hereby commits the matching funds necessary for the proposed

Downtown Riverwalk Flood Improvements

After FEMA approval and during project implementation, the _City of Northfield acknowledges that it is responsible for providing a minimum of 25% of all eligible project costs or in local matching funds to comply with all grant cost share requirements.

As signed, we understand the responsibilities of a sub-grantee participating in the HMA program and hereby authorize the use of these non-federal funds for this proposed project.

Signature of Authorized Representative

Date

Signature of Authorized Representative

Date

Signature of Authorized Representative

Date

ASSURANCES - NON-CONSTRUCTION PROGRAMS

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

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

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

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

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL		TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED	

DEPARTMENT OF HOMELAND SECURITY
Federal Emergency Management Agency

**CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION
AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE
REQUIREMENTS**

O.M.B NO. 1660-0025
Expires September 30, 2017

PAPERWORK BURDEN DISCLOSURE NOTICE

Public reporting burden for this form is estimated to average 1.7 hours per response. The burden estimate includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing, and submitting the form. This collection of information is required to obtain or retain benefits. You are not required to submit to this collection of information unless it displays a valid OMB control number. Send comments regarding the accuracy of the burden estimate and any suggestions for reducing the burden to: Information Collections Management, Department of Homeland Security, Federal Emergency Management Agency, 500 C Street SW, Washington, DC 20472-3100, and Paperwork Reduction Project (1660-0025). **NOTE: Do not send your completed form to this address.**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 44 CFR Part 18, "New Restrictions on Lobbying" and 28 CFR Part 17, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Federal Emergency Management Agency (FEMA) determines to award the transaction, grant, or cooperative agreement.

1. LOBBYING

As required by section 1352, Title 31 of the U.S. Code, and implemented at 44 CFR Part 18, for persons entering into a grant or cooperating agreement over \$ 100,000, as defined at 44 CFR Part 18, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement.

(b) If any other funds than Federal appropriated funds have been paid or will be paid to any other person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or an employee of Congress, or employee of a member of Congress in connection with this Federal Grant or cooperative agreement, the undersigned shall complete and submit Stand Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

Standard Form-LLL "Disclosure of Lobbying Activities"
attached
(This form must be attached to certification if non-appropriated funds are to be used to influence activities.)

**2. DEBARMENT, SUSPENSION, AND OTHER
RESPONSIBILITY MATTERS (DIRECT RECIPIENT)**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 44 CFR Part 67, for prospective participants in primary covered transactions, as defined at 44 CFR Part 17, Section 17.510-A.

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of a or had a civilian judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or perform a public a public (Federal ,State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1) (b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause of default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

**3. DRUG-FREE WORKPLACE (GRANTEE OTHER THAN
INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 44 CFR Part 17, Subpart F, for grantees, as defined at 44 CFR Part 17.615 and 17.620-

A. The applicant certifies that it will continue to provide a drug-free workplace by;

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug free awareness program to inform employees about-

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant to be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will-

(1) Abide by the term of the statement; and

(2) Notify the employee in writing of his or her conviction for a violation of a criminal drug statute occurring ion the workplace no later than five calendar days after such convictions;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position, title, to the applicable FEMA awarding office, i.e., regional office or FEMA office.

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is convicted-

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation act of 1973, as amended; or

(2) Requiring such an employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, City, County, State, Zip code)

☐ There are workplaces on file that are not identified

Sections 17.630 of the regulations provide that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for FEMA funding. States and State agencies may elect to use a state wide certification.

Signature of Applicant Agent_____ Date:_____